



**XIV. International Balkan and Near Eastern Congress Series on
Economics, Business and Management
Plovdiv / Bulgaria**

September 26-27, 2020

**University of Agribusiness and Rural Development/Bulgaria
University "St. Kliment Ohridski" Faculty of Economics/Republic of North Macedonia
IBANESS**

PROCEEDINGS

Editors

Prof.Dr. Dimitar Kirilov DIMITROV

Prof.Dr. Dimitar NIKOLOSKI

Prof.Dr. Rasim YILMAZ

XIV. International Balkan and Near Eastern Congress Series on Economics,
Business and Management-Plovdiv / BULGARIA

September 26-27, 2020
Plovdiv, BULGARIA

University of Agribusiness and Rural Development/Bulgaria
University "St. Kliment Ohridski" Faculty of Economics/Macedonia
IBANESS

PROCEEDINGS

Editors

Prof.Dr. Dimitar Kirilov DIMITROV

Prof.Dr. Dimitar NIKOLOSKI

Prof.Dr. Rasim YILMAZ



2020

Cataloging-In-Publication Data

Proceedings of XIV. International Balkan and Near Eastern Social Sciences Congress Series on Economics, Business and Management-Plovdiv / Bulgaria, September 26-27, 2020 / Ed. Dimitar Kirilov DIMITROV, Dimitar NIKOLOSKI, Rasim YILMAZ.

ISBN: 978-619-203-289-0

First Printed: September-2020

FOREWORD

International Balkan and Near Eastern Congress Series brings together many distinguished social and behavioral science researchers from all over the world. Participants find opportunities for presenting new research, exchanging information, and discussing current issues.

We are delighted and honored to host the IBANESS Congress Series in Plovdiv / Bulgaria. Presented papers have been selected from submitted papers by the referees. Sincere thanks to those all who have submitted papers.

We hope that through exchange of the presented researches and experiences, the Congress will enhance communication and dissemination of knowledge in Balkan and Near Eastern Countries.

The Organization Committee
September 26-27, 2020

Organization Committee

CO-PRESIDENTS

Prof.Dr. Dimitar KIRILOV DIMITROV, University of Agribusiness and Rural Development, Bulgaria

Prof.Dr. Dimitar NIKOLOSKI, University "St. Kliment Ohridski"-Bitola, North Macedonia

Prof.Dr. Rasim YILMAZ, Tekirdağ Namık Kemal University, Turkey

ORGANAZING COMMITTEE

Prof.Dr. Ahmet KUBAŞ, Tekirdağ Namık Kemal University, Turkey

Prof.Dr. Mariana IVANOVA, University of Agribusiness and Rural Development, Bulgaria

Asso. Prof.Dr. Dejan ZDRAVESKI, University "St. Kliment Ohridski"-Bitola, North Macedonia

Asso. Prof.Dr. Tatjana SPASESKA, University "St. Kliment Ohridski"-Bitola, North Macedonia

Assoc. Prof.Dr. Olivera KOSTOSKA, University "St. Kliment Ohridski"-Bitola, North Macedonia

SCIENTIFIC COMMITTEE

Prof.Dr. Alpay HEKİMLER, Tekirdağ Namık Kemal University, Turkey

Prof.Dr. Annamalia M. Sakthivel, Sur University College, Oman

Prof.Dr. Cem SAATÇIOĞLU, Istanbul University, Turkey

Prof.Dr. Dragica ODZAKLIESKA - University St. Kliment Ohridski-Bitola

Prof.Dr. Fatmir Memaj, University of Tirana, Albania

Prof.Dr. Gerhard RING, TU Bergakademie Freiberg, Germany

Prof.Dr. Günther LOSCHNIGG, University of Graz, Austria

Prof.Dr. Herbert Reginbogin, Touro College, USA

Prof.Dr. Kemal YILDIRIM, Anadolu University, Turkey

Prof.Dr. Ksenija Dumičić, University of Zagreb, Croatia

Prof.Dr. Letlhokwa George MPEDI, University of Johannesburg, South Africa

Prof.Dr. Mancheski Gjorgji, University "St. Kliment Ohridski"-Bitola, North Macedonia

Prof.Dr. Martha Starr, American University Washington D.C., USA

Prof.Dr. Mariana Ivanova, University of Agribusiness and Rural Development

Prof.Dr. Mi Jung PARK, Freie Universität Berlin, Germany

Prof.Dr. Nadka KOSTADINOVA, Trakia University, Bulgaria

Prof.Dr. Otto KAUFMANN, Max Planck Institut München, Germany

Prof. Dr. Patricia GEORGIEVA, University of Agribusiness and Rural Development

Prof. Dr. Safet Kozarević, University of Tuzla, Bosnia and Herzegovina

Prof. Dr. Shushma Patel, London South Bank University, UK

Prof. Dr. Slavica Rocheska, University "St. Kliment Ohridski"-Bitola, North Macedonia

Prof. Dr. Srdjan Redzepagić, University of Nice – Sophia Antipolis, France

Prof.Dr. Tatjana SPASESKA, University "St. Kliment Ohridski"-Bitola, North Macedonia

Prof.Dr. Thomas Paul, University of South Pacific

Prof.Dr. Todor RADEV, International University College, Bulgaria

Prof.Dr. Todorka ATANASSOVA-KALAYDZIEVA, Trakia University, Bulgaria

Prof.Dr. Zoran Ćirić, University of Novi Sad, Serbia

REFEREES

Prof.Dr. Ahmet AĞCA, Dumlupınar University, Turkey
Prof.Dr. Annamalia M. SAKKTHIVEL, Sur University College
Prof.Dr. Dilek ALTAŞ, Marmara University, Turkey
Prof.Dr. Günther LOSCHNIGG, University of Graz
Prof.Dr. İbrahim BAKIRTAŞ, Aksaray University, Turkey
Prof.Dr. İsmail Hakkı İNAN, Namık Kemal University, Turkey
Prof.Dr. Kemal YILDIRIM, Anadolu University, Turkey
Prof.Dr. Mariana IVANOVA, University of Agribusiness and Rural Development
Prof.Dr. Nurcan METİN, Trakya University, Turkey
Prof.Dr. Nadka KOSTADINOVA, Trakia University, Bulgaria
Prof. Dr. Slavica ROCHESKA, University "St. Kliment Ohridski"-Bitola, North Macedonia

SESSION CHAIRS

LIST of PARTICIPANTS

Program

CONTENTS

Tax Control As An Instrument To Combat Economic Crimes In Conditions Of Market Economy	1
Using Information Systems as a Competitive Advantage Tool	6
Wages In The Public And Private Sector, The Impact On The State Budget, Albanian case	15
Human Resources Audit in Albania	24
Bulgaria&Turkey: Further Strengthening Ties Through Future Economic Opportunities	30
The Problems Of Attracting Foreign Investment In The Economy Of The Republic Of Moldova	49
The impact of early internationalization in firm performance: The case of Western Balkan Countries. ...	60
Business Environment Assessment Using Accounting Regulatory Elements in Latvia	65
Skills Mismatch in the Labor Market a Precondition of Brain - Drain Phenomenon in Developing Countries with Special Emphasis in Kosovo	75
IFRS For SMEs: How To Improve The Harmonisation Of EU Accounting Legislation For SMEs?	83
Controlling systems and competitiveness at SMEs: A bibliometric network analysis	93
The Fact of Cultural Dimensions in the HR of Multinational Companies	101
Changes in Working Regulations for Refugees in Jordan	110
The History And Impact Of Industrialization In Ghana	117
Fostering Democracy in Latvia. Digital Participation Strategy	128
The Entrepreneurs' Role in Innovation: Developed versus Developing Countries	138
Title : "The Development of Insurance Market in Albania"	149
University Rankings – Challenges for University Management Decision Making and Academic Staff	156
Do Support Schemes Promote the Renewable Electricity in the Western Balkan Countries?	162
Cybersecurity challenges in Smart Cities – a Smart Governance Perspective	167
The effect of Foreign Direct Investment (FDI) on Industrialization: case of Ethiopian Economy	186
Application of Markov Chain to Model and Forecast CPI and Deflation (The Case of Bulgaria)	197
The Digital Transformation of the Finance Industry in Romania	204
Bank Selection And Consumer Decision-Making In The Banking Services Industry	212
New Service Business Model And Marketing Mix Of The Services of the E-banking	217
The Struggle for Democracy in Bulgaria: A Review About How the EU Contributes to Development of Democracy in Bulgaria	231
A Brief Analysis Over the Management and Leadership Reactions Under the COVID-19 Influence	242
Public Financial Support for Micro-enterprises in the COVID-19 Crisis	248
Correlation Between Organizational Creativity and Business Performance of Small and Medium – Sized Enterprises	263
Novel regional integrated ICT platform for Agriculture based on open standards	274
Basic Endogenous Economic Growth Model (Ak Model) - Evidence For Danube Region Of Bulgaria	285
Challenges and Problems Of Integration Of Digital Technology In Companies In Latvia	292
The Influence of Distributed Leadership on Ambidextrous Innovation: Mediating Role of Organizational Trust	301
Financing Of Sports By Municipalities	316
Who are the Drivers of Socially Responsible Consumption in Latvia? The Profile of Regular Consumers of Latvian Social Enterprise Products and Services	324
Foreign Trade Competitiveness with Agricultural Products: the case of Moldova	333
Big Data Analysis Process	338
Festival tourisms effect on economic growth: Case on Dokufest film festival (2015-2018)	346
Qualification Mismatch And Growth In The Eastearn European Region	358
Application of big data in Project Management	366
HR In Pubic Administration Of Albania (Politic Aspect)	371
The Role Of Gold In Conditions Of Economic Crisis	381
Conception, Legal Nature And Legal Affiliation Of Government Contracts In The Public Procurement System	387
Consumer's Behavior on Private Label Products	393
Input-Output Based Measures of Forward and Backward Linkages for Azerbaijan Processing Industry.	397
Sustainable Innovation Development in Jordanian SMEs And Startups.	404
Analysing the Child Protection Data in the Visegrad Countries, 2005-2016	413

The Effect of International Trade on Poverty and Economic Growth	422
A Bibliometric Analysis and Literature Review of Project Management in Small and Medium Enterprises.....	427
Film İzleyicisine Yönelik Pazarlama Halkla İlişkiler Uygulamaları	451
Covid-19 Algısının Sosyal Endişeler Üzerindeki Etkisinde “Sıkıntıya Dayanmanın” Aracılık Etkisinin İncelenmesi	464
Örgütlerde Toksik Lider ve Toksik İlişkiler	475
Leadership And Its Effect On Health Management	480
Osmanlı Matbuatındaki Fransızca Süreli Yayınlardaki Bankacılık Reklamları Üzerinden Bir Değerlendirme.....	491
Gottfried Keller’in “Kleider Machen Leute” Eserinden Hareketle, Toplumsal Algıların Oluşturduğu Yanılığlar	501
Marx Frisch ve Modern İnsanın Yaşama Dair Duyarsızlığı	507
Asgari Gelir Desteği İle Türkiye’de Yoksulluğun Giderilmesi	513
Tükenmişlik ve Örgütsel Tükenmişlik Üzerine Literatür Taraması.....	524
Sykes Picot’tan Günümüze Kırılğan Türkiye-Suriye İlişkileri ve Temel İhtilafı Alanlar	532
Türk Bankacılık Sisteminde Kamu, Özel ve Yabancı Sermayeli Mevduat Bankalarının 2015-2019 Yılları Arasındaki Finansal Performanslarının DuPont Sistemine Göre Karşılaştırmalı Olarak İncelenmesi	539
Türkiye’de Faaliyette Bulunan Bankaların Sermaye Yapılarına Göre Karlılıklarının Karşılaştırılması	549
Türkiye’de Sürdürülebilir Bir Kalkınma İçin Yenilenebilir Enerji Kaynakları.....	555
Banka Kredilerinin Ekonomik Büyüme Üzerine Etkisi: Türkiye Örneği	567
Kurumsal Sosyal Sorumluluk Projelerinin Dijital İletişimi: HeForShe Türkiye Twitter Sosyal Ağ Analizi..	582
Hipnozun Pazarlamada Kullanımı	593
Servet Bileşenlerinin Gelir Dağılımı Üzerindeki Etkisi.....	597
Gıda Sanayii ve Gelişme Olanakları	605
Tarımsal Pazarlamada İnovasyon ve Yeni Arı Ürünü Geliştirme	609
Türkiye ile AB Ülkeleri Arasında Sebze ve Meyve Ürünlerinde Karşılaştırmalı Üstünlük	616
Türkiye Cumhuriyet Merkez Bankası Faiz Kararlarının Ticari Bankaların Borç Verme Maliyetlerine Etkisi	622
Lojistik Sektörünün Bölge Kalkınmasına Etkisi.....	629
Alman Savaş Yazınında Anna Seghers	636
Göç Sonrası Dönem Türk-Alman Şiirinde H. Özdemir.....	641
Students 'Attitudes And Opinions On Leadership Attributes	646
Gönüllü Sade Yaşam Tarzının Faydacı ve Hedonik Tüketim Üzerine Etkisi.....	656
Tüketici Güven Endeksi İle Döviz Kuru Arasındaki İlişki	663
Post-Modernizm, Etik ve Adorno	670
Gönüllü Kölelikten Gönüllü Sadeliğe	677
Sağlık Sektöründe Ters Lojistik	683
Sağlık Sektöründe Nesnelerin İnterneti Ve Büyük Veri	689
Giyilebilir Cihazların Öğrenmedeki Etkileri	695
Marka Kişiliği Oluşturma.....	702
Markalaşma Neden Önemlidir?.....	707
Dijital Hastane	714
Giyilebilir Tıbbi Cihaz Pazarının Büyüme Nedenleri.....	720
Gıda Güvenliği ve Ekonomik Kayıplar Açısından Gıda Sahteciliği ve Önleme Çabalarının Değerlendirilmesi	727
Recycling and Damages of Used Vegetable Oils	735
Management Information Systems Development	743
Penetration of Factoring in the Turkish Economy	752
Turkey Wealth Fund	758
Predicting the Future Using Forward-Looking Indicators.....	765
Analysis of the Factors Affecting the Interest-Free Bond Issuance	771
Türk Gümrük İdaresinin Kurumsal Yapısı ve Dış Ticaretin Yönetimindeki Sorumlulukları.....	778
Katılım Bankacılığı ile Faiz Bankacılığının Kredi Maliyetlerinin İncelenmesi	798

The Role Of Market Orientation On Business Performance: An Empirical Analysis Within Retail Sector in Turkey	812
Dönüşümcü Liderliğin Müşteriye Yönelik Üretkenlik Karşılı İş Davranışları Üzerindeki Etkisi: Karşılıklı Tanıma Saygısı ve Karşılıklı Değerleme Saygısının Aracı Rolü	822
Türkiye’de Dış Ticaret - Karbon Salınımı İlişkisi: Toda-Yamamoto ile Granger Nedensellik Analizi	841
Leadership and Motivation	848

ABSTRACTS	856
The use of new technologies to improve the efficiency of education	857
Role of Business Games in Higher Education	858
Social Entrepreneurship: A Study of Successful Practices	859
Minimize transmission of systemic banking risk through automatic short-term intervention mechanisms (intra-day circuit breaker). A study on the Greek banking system and capital controls	860
Developing New Sets of Digital Skills In A Changing Online Environment	862
Importance of Local Entrepreneurship in Context of Regional Economic Development	865
Utilization of Scholarly Journal Articles in the Teaching and Learning of Teacher Education Courses	866
Social Entrepreneurship: Job Opportunities For Persons With Mental Disabilities	867
Self-Employed Ones Deserve a Pension Too! The Regulation Background of the Pension Savings for the Self-Employed Persons in Latvia	868
Challenges of The Aviation Sector Supply Chain in The Pandemic Context	869
Positive Impacts Of Free Trade Agreements On A Country Economy	870
Artificial Intelligence in Video Games Industry: Comparison between Historical and Modern Trends in the Industry	871
General Implementation Processes of Artificial Intelligence and Its Economic Effects in Hungary	872
Challenges of Educational Institutions Management in Alternative Financing of Development Projects	873
Textile, Garment and Shoe Production of Russia	874
Eğitim ve istihdam: pandemi ve postpandemi dönemi	875
Challenges in trends for management decisions in social inclusion in EU	876
Latvia's Experience in Determining the Payments of Finance and Capital Market Participants to its Finance Regulator	877
İşgücü Piyasasının İnsan Kaynakları Yönetimindeki Rolü	878
The Impact of COVID-19 on the Stock Markets: Evidence from North Macedonia	879
Socio economic status and impact of the USP and pricing on the purchase decision of the consumer ..	880
Koronavirüs Pandemisine Karşı Dünya Deneyimi	881
Determinants of Relationship Lending: The Case of Turkish SMEs	882
Relationship Lending and Innovation Tendency: The Case of Turkish SMEs	883
Yabancı Dil Almanca Öğretim Materyali Dijital Hikâye (Digitale Storytelling) İle İlgili Almanca Öğretmen Adaylarının Görüşlerinin İncelenmesi	884
Effective Communication Between Generation Including Social Media	885
Geçiş Ekonomilerinde Yolsuzluk İle Askeri Harcamalar Arasındaki Uzun Dönem İlişkisi	886
Çocuk ve Genç İşçilerin Korunmasına Yönelik Hukuki Düzenlemeler ve Bu Düzenlemelere Aykırılığın Hukuki Sonuçları	887
İş Güvencesi Hükümlerinden Yararlanmada Otuz İşçi Koşulunun Uluslararası Normlar ve Anayasal İlkeler Karşısında Durumu	888
Vergi Suçlarında Mütalaa'nın Yeri	889
Russian Market in Pandemic Period Tourism and Dimension of Health Tourism Plans for Turkey	890
KBMG ile Enflasyon Arasındaki İlişki: Gelişmekte Olan Ülkeler Örneği	891
The Effects Of Board Diversity On Firm Performance And An Application On Bist	892
Democratic Deficit in the EU	893
Kırklareli Üniversitesi'nde Kalite Güvence Sistemi: Kurgu, Uygulama, Sorunlar ve Çözümler	894
Türkiye – AB İlişkilerinin 60 Yılı	895
Türkiye'de Sağlık Turizmi Kapsamında Aracı Kuruluşlar: Medikal Seyahat İşletmeleri	896
'Schubert-Verlag.De' Uzaktan Öğrenme Araçlarının Almanca'yı Etkileşimli ve Özerk Öğrenme Olanakları Bakımından İncelenmesi	897
Çevresel Riskler ve Göç	898
Askeri Harcamalar ile Kamu Harcamaları Arasında Nedensellik Analizi	899
Attributes of Innovative School Administrators in a State University	900
Exploring the Potentials of Short Food Supply Chains with Special Regards to Locavore Shelves	901

Tax Control As An Instrument To Combat Economic Crimes In Conditions Of Market Economy

ADA STAHOVSKI¹

MAIA GRIU²

¹PhD Associate Professor, State University of Moldova, astahovski@gmail.com

²University Lecturer, University of European Studies of Moldova, maiaгриu@gmail.com

Rezumat: În acest articol autorul descrie însemnătatea controlului fiscal ca instrument de combatere a infracțiunilor economice, a efectelor și cauzelor apariției evaziunii fiscale și identificării măsurilor de intensificare a controlului fiscal, ca suport al creșterii economice.

Un instrument de combatere a infracțiunilor economice este informația contabilă, care reprezintă primul tip de informație care ar putea conține indicii sau semnale cu privire la apariția fenomenului de evaziune fiscală. Informația contabilă nu are un rol activ în identificarea evaziunii fiscale ci doar un rol pasiv. Capacitatea evaziunii fiscale la nivelul informației contabile ca atare este cea care generează atât „succesul” organizațiilor în evaziunea fiscală cât și „insuccesul” inspecției guvernamentale în identificarea evaziunii fiscale (actuale sau posibile).

Informația contabilă asigură accesibilitatea la posibilitatea de identificare a evaziunii fiscale. informația contabilă asigură verificarea respectării principiilor contabile, semnalarea timpurie cu privire la crearea condițiilor de evaziune fiscală în viitor.

Cuvinte cheie: Control fiscal, infracțiuni economice, evaziune fiscală, fraudă fiscală, administrare fiscală, informație contabilă.

Abstract: In this article, the author describes the importance of fiscal control as a tool for combating economic crimes, the effects and causes of tax evasion and the identification of measures to enhance fiscal control as a support for economic growth.

An instrument to combat economic crime is accounting information, which is the first type of information that may contain indicia or signals about the occurrence of the phenomenon of tax evasion. Accounting information has no active role in identifying tax evasion, but only a passive role. The ability of tax evasion at the level of accounting information as such is the one that generates both the "success" of organizations in tax evasion and the "failure" of governmental inspection in identifying tax evasion (current or possible).

Accounting information ensures the accessibility of tax evasion identification. the accounting information ensures the verification of compliance with accounting principles, early warning of the creation of tax evasion conditions in the future.

Keywords: Tax control, economic crime, tax evasion, tax fraud, tax administration, accounting information.

1. INTRODUCTION

Tax control represents an instrument for the supervision and determination by using different methods and techniques of the constitution of public financial resources and of the accumulation of fiscal revenues. The tax control means a number of activities intended to ensure the obligations for correct declaration and calculation to be fulfilled and the payment of the taxes and any other obligatory payments are to be made in due time to the state and budget and any other tax liabilities to be fulfilled under the laws in force. Under the laws in force, the individuals and legal entities that have fiscal obligations are subject to the tax control.

The tax control, as a component part of financial control, has an important contribution in ensuring the income that is to be transferred to the state budget from economic agents in the form of taxes, fees and any other payments. Tax control, regardless of who is carrying it out, implies the observance of joint rules of action and adoption of procedures, techniques, modalities and instruments of control.

2. ACCOUNTING INFORMATION - AN INSTRUMENT FOR COMBATING ECONOMIC CRIMES

An important tool for combating economic crimes is **accounting information**. This represents, logically and chronologically, the first type of information that could contain details or signals for the tax phenomenon of evasion.

The accounting information includes such values as opportunities whose update depends on the ability, competence and good faith of the government inspector in his attempt to prevent, detect, limit and sanction tax evasions. This results from the fact that the accounting system of any entity must have its own documentary basis, so that only systematic verification of the observance of the accounting principles, accounting policies and the normative and logical correlations between the position and flow indices of an organization can provide, obviously, those indices necessary and sufficient to declare the phenomenon of evasion.

In this context, therefore, the accounting information does not play an active role in identifying the tax evasion, but only a passive role, it is to contain the relevant information in this matter. The ability of tax evasion at the level of accounting information, as such, is what generates the "success" of organizations in tax evasion and the "failure" of government inspection to identify the tax evasion (existing or possible). This ability is the one that generates lots of early warning models or any other internal or external control procedures, which will make "visible" the information about tax evasion contained in the generic accounting information.

Based on the above, we can conclude, briefly, on the role that the accounting information plays in the detection, quantification and proof of tax evasion.

First of all, **the accounting information ensures the accessibility for identifying the tax evasion**. Indeed, the accounting information creates for the government inspector the minimum conditions to be able to detect any fraud against public interests. The tax evasion involves the identification of a difference (gap) between the budgetary obligations payable and those calculated / recorded / transferred.

Second, **the accounting information ensures the direct connection with the primary documents** that "attest" the occurrence of tax evasion. Indeed, as mentioned above, accounting produces both accounting information and its documentary support, i.e. the accounting information cannot be generated without a primary accounting document. In this way, the subject interested in the tax evasion examination obtains the way to detect the procedure in which the law was violated regarding certain accounting information given;

Third, **the accounting information provides verification of compliance with accounting principles**. The way in which the accounting information is generated, structured, registered and processed shows us the degree and the way in which the entity's accounting system observed the accounting principles, the accounting policies as well as the interest of the public administration in collecting the legal budgetary obligation created at the level of organization.

Accounting information is nothing more than the implementation of the recommendations on accounting standardization regarding accounting principles and the completion of financial statements, on the one hand, as well as the implementation of the accounting policy adopted at the level of organization (including aspects related to what it is called creative accounting), on the other hand. As a result, the first "court" that respects these principles and policies is the accounting information;

Fourth, **the accounting information ensures the quantification of the tax evasion produced**. Indeed, the accounting information has both a qualitative and a quantitative role: the numerical size of the altered accounting information (illegal or irregular accounting information) represents precisely the source for the quantitative determination of the tax evasion produced by simple calculation of the difference between the due budgetary obligation and the budgetary obligation calculated / registered / transferred by the organization that should be made by the state inspector. This role of accounting information is not exclusive, it can also be ensured by the financial information, in general, or by the tax information generated in the financial accounting records of the organization, but, above all, the genuine information about the dimensions of the tax evasion produced is provided at the level of accounting information;

Fifth, **the accounting information ensures early warning about the creation of tax evasion conditions in future.** Indeed, certain logical or major inconsistencies regarding the content of accounting information may make to the government inspector (or other stakeholder) signals about the possibility that, in future the conditions may be created to reduce the taxation base, i.e. the phenomenon of evasion may occur. Of course, early warnings are useful to the manager of the organization, insofar he (or his internal control system) is interested in detecting potential tax evasion.

The five general functions (which, together and in interdependence between them) constitute what we call the role of accounting information in detecting, quantifying and proof of tax evasion have a dynamic character: they change, in most cases, from the level of IT equipment in the organization to the level of statistical processing of the primary information, etc. It is undeniable, however, that the accounting information provides the "first line" in ensuring the conditions for the detection and quantification of tax evasion at the level of organization.

3. TAX CONTROL - ONE OF THE MAIN TOOLS TO COMBAT ECONOMIC CRIMES

The tax control, as the main tool for combating economic crimes, is exercised on different structures, which function both within the Ministry of Finance, as a central body, which also has financial control functions and within the Tax Inspectorates.

The aspects related to this instrument for combating economic crimes are presented through the organs to which they are subordinated as follows: state financial control system from executive power, financial accounting control from the executive power and financial accounting control from the legislative power. All these support the prevention and combating of tax evasion and fraud.

The increase of the number of tax controls, resulted from the need to increase budgetary funds and unpredictable legislation, has led to the increase of the number of tax disputes in recent years. Companies are becoming more aware of the need to claim infringed rights in court, at the opposite pole of past practices, when an amicable relationship with the taxation authorities was considered beneficial to the business.

The most common reasons for a company to become involved in a tax dispute are determined by the interpretable nature of the tax provisions as well as their lack of predictability. Today, it is known that not only the taxpayers, but also the representatives of the fiscal bodies are having difficulty in forming their unitary points of view regarding the effective application of certain tax provisions.

The intensification of the tax controls is interpreted in the increase of the number of tax contestations, considering that after the controls the administrative and tax documents are issued, which can be appealed against in court. In recent years, due to the intensification of the tax controls determined by the budgetary restrictions, and the intention to eliminate the tax evasion, the number of tax disputes has increased considerably.

4. TAX EVASION AND FRAUD

In recent years, the challenge of fraud and tax evasion has increased considerably. The globalization of the economy, the technological advances, and the internationalization of fraud and the resulting interdependence of the fiscal authorities of the Member States demonstrate the limits of strictly national approaches and emphasize the need for common actions.

All these support the prevention and combating of **tax evasion and fraud**. With regard to tax evasion, the following aspects were distinguished: the aspects related to causes, forms of manifestation, measures of cooperation and institutions competent within their sphere of action. The importance of the analysis of tax evasion derives both from its impact on the budget balance and from the implications it has on the general architecture of economic behavior.

Fraud and tax evasion limit the ability of Member States to collect revenues and carry out their economic policies. During the period of fiscal consolidation, when many states have to reduce spending and increase revenues, the implementation of the tax policy is even more difficult because of tax fraud

and tax evasion. The estimates of the size of the underground economy in the European Union, about one fifth of the Gross Domestic Product, reveal a first sign regarding the extent of the problem [2, p.320].

Also, tens of billions of euros, often undeclared and untaxed, are still in offshore jurisdictions and reduce national tax revenues. Given the magnitude of this phenomenon, intensification of the fight against tax evasion and fraud is not only a problem of income, but also of equity. It is important to note that, in general, the vast majority of EU taxpayers take steps to meet their tax obligations. Especially, in these economically difficult times, these correct taxpayers should not bear additional tax increases to compensate the income losses caused by those who commit fraud and tax evasion.

The tax evasion is an act of the taxpayers' intention to evade the payment of taxes and always leads to the governmental income decrease. One cause of tax evasion is the **weakness of the tax administration**. The economic taxpayer can practice tax evasion also if the sanction for this fact is low or the probability of being identified and sanctioned is low. Such behavior can occur despite the tax rate (therefore, despite the fiscal pressure, in general), and tax evasion can therefore occur even if the tax pressure decreases [4, p.167].

In practice, the following methods to evade from the payment of tax obligations can be met most often:

- incorrect and incomplete accounting management,
- increase of deductible / non-deductible expenses,
- non-registration of income,
- non-payment of tax obligations.

The purpose of the tax evasion accounting mechanism is to reduce the state's rights to deduct, according to the law, from the final income of the entity. As a result, a very important role is played by the internal audit which, as an advisor of the entity manager, must detect the accounting mechanism of tax evasion, inform the manager of the entity, make recommendations to remedy the situation, and then the entity manager has to implement the recommendations made to eliminate the tax evasion accounting mechanism, and seek to reduce the tax base referred to by the tax rules.

The EU countries currently have different standards for detecting “tax heaven” areas and therefore have different measures against them. This means that transactions involving tax haven can be carried out most easily through countries that have the most tolerant legislation. A common approach to detect and combat tax haven would prevent evaders from taking advantage of the differences existing in national systems.

To prevent companies from tax evasion, the EU countries should first consolidate conventions on avoiding double taxation - due to them, the companies active in several countries do not have to pay taxes in each of them. Existing loopholes allow companies to abuse these conventions and not pay taxes at all [1].

This form of tax evasion, also known as "**aggressive tax planning**", is recorded more often, and the plan of action recommends solving the technical and legal issues that make it possible.

If the member countries try to solve this issue on their own, there is a risk that the targeted companies will simply settle in another country with more permissive legislation. Actions at the EU level are needed to eliminate such loopholes and to ensure that no country suffers financial losses because it has acted alone.

As part of the fraud prevention process, the function of collection is an essential link. As a consequence, measures will be taken to ensure a more prompt reaction to the likelihood of tax evasion occurring during the tax collection period, namely the permanent analysis of the solvency indicators of the taxpayers in order to prevent the occurrence of the accumulation of large debts compared to the patrimonial situation, in this sense, avoiding the occurrence of the impossibility of forced execution.

5. CONCLUSIONS AND PROPOSALS

Based on the above, we can conclude, briefly, on the role that accounting information plays in the detection, quantification and proof of tax evasion.

- the accounting information ensures accessibility to identify the tax evasion,
- the accounting information ensures the direct connection with the primary documents,
- the accounting information ensures verification of compliance with accounting principles,
- the accounting information ensures the quantification of the tax evasion produced,
- the accounting information ensures the early warning regarding the creation of fiscal evasion conditions in the future.

We can confirm, that the accounting information provides the "first line" in ensuring the conditions for detection and quantification of tax evasion at the level of the entity. These five characteristics of accounting information represent the role of accounting information in the detection, quantification and proof of tax evasion.

Therefore, **the need for tax control within a country's tax system is recognized, and it is currently taking different forms from the past due to the modernization of society.**

The system of combating the effects of tax fraud is based on the awareness of financial and non-financial intermediaries, as well as of the economic agents who must cooperate in a responsible way with the authorities.

Also, the authorities with control competences within the law, and those of prudential supervision, will have to verify and control, within the service competences, the application of the legal provisions, and, if such control results the suspicions of money laundry or any other violations of legal provisions, will have to inform the authorities.

Other relationships between them may be as follows:

- * Increased tax pressure may lead to the need for new tax facilities to stop the Laffer curve effect, which increases moral hazard;
- * The increase of the fiscal administration imperfection can attract the increase of the fiscal pressure, to counteract the decrease of the budgetary receipts.

We also consider that institutions with control powers in the EU countries should cooperate to combat tax evasion.

LITERATURE REFERENCE

1. The European Commission. An action plan to strengthen the fight against tax fraud and tax evasion [online] http://ec.europa.eu/taxation_customs/resources/documents/taxation/tax_fraud_evasion/com_2012_722_ro.pdfv
2. Brezeanu P. Taxation, concept theories, policies and practical approaches. Bucharest: Wolterskluwer, 2010, 488 p.
3. Chițan V. Restartarea reformei fiscale – imperativ pentru sustenabilitatea finanțelor. În: Contabilitate și audit, 2013, nr.7, p. 28-36.
4. Enache T., Vilcu V., Dima G., Dragomir M. Evaziunea fiscală - rezultat al imperfecțiunii sistemului fiscal. Revista științifică „Studia Universitatis”, Universitatea de Stat din Moldova, Chișinău, 2012, nr.7 (57), p. 167- 170.

Using Information Systems as a Competitive Advantage Tool

Dr. Alba Demneri Kruja¹

Xhina Kamberi²

¹ Epoka University, akruja@epoka.edu.al, Orcid: 0000-0002-6902-1489

² Epoka University, xkamberi14@epoka.edu.al

Abstract: Benefits that Information Technology (IT) has given to the way of doing business are enormous and massively accepted by many businesses, which have shown the will to invest in this type of asset huge amounts of capital. IT and Information System (IS) are accepted as one of the most important intermediates that can fight the competition.

This research focuses on the usage of IS in Albanian businesses and the influence on their competitiveness. Quantitative methods of analysis are implemented. Data are collected through questionnaire distributed to enterprise managers. Study results show that there is a significant relationship between the enterprise size and IT/IS usage. At the same time, it is found that IT/IS usage has an influence on the enterprise competitiveness but still the cost and product differentiation does not need as a facilitator an IS.

Keywords: Information Technology, Information System, Competitive Advantage, Enterprises, Albania.

1. INTRODUCTION

The global environment of today's business is mostly characterized by some unprecedented pressures of competitive forces, and skeptical customers who claim more innovative and immediate solutions. Behind the success of these fast-changing business environments stand the way of trying to understand and optimize the business processes. Weill and Ross (2004) name as six assets that help to achieve this success: relationships, humans, intellectual, physical, financial and information technology (IT). From all these, they consider IT as one of the most important assets that help the businesses to manage these processes, and the asset that gives a significant impact to growing process and the value creation. IT is also a tool that has assisted in the process that businesses use to create competitive advantage within the sector that they are operating (Melville et al., 2004; Ferizi and Kruja, 2018; Hemmatfar et al., 2010; Kruja and Hysi, 2020).

Benefits that IT has given to the way of doing business are enormous and massively accepted by many businesses, which have shown the will to invest in this type of asset huge amounts of capital. IT is accepted as an intermedium that can fight the competition and this can be done by trying to improve not only the profitability of the company, but also the productivity and the quality of operations (Devaraj and Kohli, 2003; Kruja et al. 2019). By adopting IT and IS, businesses can deliver to the customer more quality services and stay/be more competitive in the market. Also, the communication between the supply chain is more effective and efficient, helping the managers to make the right decisions in the right time (Ahmeti and Kruja, 2020). Meanwhile, the benefit that comes from the IT are considered intangible, and for this reason, business owners choose not to measure technology payoffs.

Over the past years, enterprises in Albania, no matter the size or the sector they operate, have started to admit the benefits and the advantages that the IT has given to them to differentiate themselves from the competitors (Kruja, 2020a). Albania is considered a developing country and has no more than three decades dealing with the open trade economy and the development of the private sector (Kruja, 2020b). Differently from other countries, Albanian businesses are embraced with the technology later. At the beginning, most Albanian businesses and the public administrate were not familiar with the benefits and the use of IT, but it was year 2008 when the government declared the laws of "Digital Albania" and every Albanian started to get to know more about technology and the use of it. The use of IT in Public Administration showed the high usefulness that this tool had on supporting the increase of quality and effectiveness in performing the public functions (Taska and Zela, 2010).

The benefits that IT has brought to the businesses has been one of many reasons why the researchers have been focused a lot in this area of study. On the other side information systems (IS) refer to information and the complementary networks of hardware and software that people and organizations

use to collect, filter, process, create and also distribute data (Jessup and Valacich, 2008). Today, one of the challenges that any company may face is to find the right tool to be more competitive in the market. It is becoming very difficult for businesses to face this challenge without using IT/IS.

Through this research it is aimed to assess the IT-IS implementation influence on the competitive advantage of businesses operating in Tirana, capital city of Albania.

2. LITERATURE REVIEW

Investing in IT/IS, may be faced with a lot of changes and challenges (i.e. switching from paper work to electronic work, training employees etc.), but still the impact of this investment, in the overall performance of the business, is positive (Dehning et al., 2003). Orlikowski and Gash (1992) define IT as any form of computer-based information system including mainframe and microcomputer applications. Meanwhile, Turban et al. (2010) understand IT as a part of IS, but distinction between them needs to be clarified.

Laudon and Laudon (2012) define IS as how organizations and people use computers to collect, process, store, use (analyze) and distribute information. An information system can contain information about important things, places or people within the organization or about the environment that this system is designed to control (Stegăroiu and Stegăroiu, 2014). To distribute and process information and data, various IS may be implemented by businesses. IS help the business to ensure data integrity, or to improve and increase the efficiency and the effectiveness of the whole process (Bere et al., 2014; Shkrepa and Kruja, 2020).

Different businesses are faced with different situations and consequently each of them, when it comes in implementing, financing, deploying, and using IT, use different strategies. Therefore, some businesses have decided to deploy expensive IS like Enterprise Resources Planning (ERP), and other try to be focused more in one type of IS like Accounting Information System (AIS), Sales Management System (SMS), Customer Relationship Management (CRM) etc. But no matter of the type of the information system that it is used, the business should give a considerable attention to the effect that the IS has on the overall performance of the company.

Studies have found that the relation between business performance and the IT investment is positive (Dehning et al., 2003). Supporting the customer service strategy is a top priority for many business and IT executives (Karimi et al., 2001; Kim and Ham, 2007).

As the field of the strategic management has becoming more important and critical in the development of the business, the researchers have given more attention to the role that IT has (and more precisely information system) in what is called competitive advantage. Baltzan and Phillips (2010) defined competitive advantage as a product or service that an organization's customers value more highly than similar offerings from its competitors. A company, to always be a step ahead of competitors, must regularly find or develop new strategies. Competitive advantages are usually defined as temporary because the competitors usually tend to copy, or even improve, the products, services, or capabilities that other businesses offer to the client (Baltzan and Phillips, 2010). To succeed and to still survive, Porter (1985) suggested three basic strategies that each company should possess: cost leadership, differentiation, and focus. A great support to the cost leadership strategy was given by researchers like Booth et al. (2011) which showed that organization using IS reduce the cost of doing business or lower the cost of their customer(client/supplier). They also emphasize that by using IS "the organization can create differentiated features to distinguish the company from others".

Differently from Porter (1985), O'Brien and Marakas (2011) suggested three other strategies: innovation, growth, and alliance. He adds that the critical facilitator that these strategies can live, are the IS. Strategic IT is more related with finding new ways in expanding the market share or, trying to find new ways to reach the customer etc. (Sheng and Mykytyn, 2005).

Before year 1990, the economy of Albania was totally designed as a centralized economic system, where every economic transaction was statelly run, and the private sector or open market economy did not exist. Early 90s are best identified with the collapse of communism. During these years, Albania entered

a transitory phase which was very difficult for the economy of Albania and the private sector started to evolve. In a time when the world was being introduced with more sophisticated IS like ERP, Albanian businesses started to make the first steps in their journey. Research has shown that there exists a positive relationship over the years between investments, innovation, and enterprise performance in Albania (Kruja, 2020b). To gain a competitive advantage, businesses have chosen different approaches of investments and innovation. In this study the focus is on assessing the influence of IS/IS investments and innovation on providing a competitive advantage and performance improvement of businesses operating in Albania.

3. DATA AND METHODOLOGY

Primary data were collected through surveys distributed to 200 Albanian businesses mainly operating in Tirana County via email. Seeing that the feedback of the email was less than 10%, and 40 of the emails were invalid, it was decided to contact in person the firm's managers/owners and collect the necessary information through the prepared questionnaire. As a result, 15 questionnaires were collected online and 37 in person, followed also with open-ended questions to better understand the situation.

The questionnaire was designed in four sections. In the first session required general information of the company like: size of company, the sector that the company operates, and the years that this company has been operating in the market. Through the second session was collected information related to IS, types of IS used and the ways departments or workers communicate with each other. This part aimed to find any relation between IS and medium of communication within the company as well as any impact that IS has on the speed of communication between workers/ suppliers/ clients. The third session related with the online service that the company provides and the ways that the company interact with the customer. While the fourth session focused on collecting data related to the strategies implemented by the companies to achieve a competitive advantage.

Descriptive analysis, simple and multiple regression analysis were used to analyze the collected data and answer the research questions.

4. RESULTS

Most of businesses small businesses that have years' operating in the market, and 88,4% of them were SMEs, where 44,2% medium sized and 44,2% were small business, while 11,6% of them were large businesses. 29% of the firms were operating in manufacturing sector, 44% in service sector, 21% from retail sector, and only 6% from the tourism sector.

30,8 % of them have not used any form of IS. The owner of a business justifies this situation by saying:

"I don't need an IS because I have been dealing with this for 20 years and I am used with it. For the moment, I am not planning to invest in any IS. Maybe in the future if the demand for my products increases, I can implement any system to check the inventory."

On the other side, other owners/managers of small businesses answered that the main problem was the lack of experience. Most of them accepted the benefits that IT/IS can bring to them, but still were not ready to implement any type of IS because after lack of experience also lies the high cost of implementation and staff shortages.

Related to the 60,92% of the businesses implementing IS, most of them had started its usage since the company's establishment.

A multiple regression analysis was performed to test whether the size, sector and operating time had an impact on the owner/manager decision on IS implementation. The hypothesis is formulated as:

H1a: The size of the business does not have an effect in the IS usage.

H1b: The sector where the business does not have an effect in the IS usage.

H1c: Time operating in the market of the business does not have an effect in the IS usage.

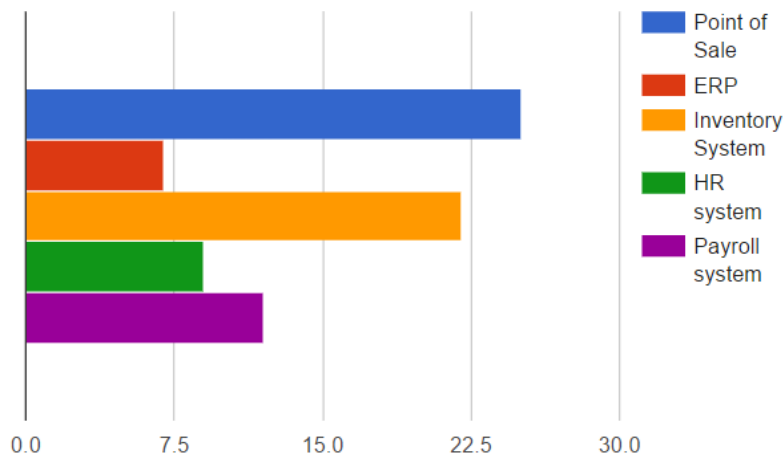
Using $p=0.05\%$ level of significance (table 1), it is seen that the size, and sector where the company operates does not have an effect in the IS usage, while operating time is significant. Regression resulted significant with a p-value of 0.00, and with an R square = 0.433 from where it can be concluded to a 43.3 of the variability in IS, is explained by the variability of the significant independent variable.

Table 1: Use of IS, Size of Business, Sector, Operating time

Model		Unstandardized		Standardized		
		Coefficients		Beta	t	Sig.
		B	Std. Error			
1	(Constant)	.656	.207		3.171	.003
	Size of business	.403	.076	.586	5.315	.000
	Sector	.113	.054	.229	2.111	.040
	Time operating in the market	.052	.050	.115	1.041	.303

When the businesses that use IS were asked about the type of IS they use (figure 1) , the most common answer was Point of Sale systems. Some businesses had only this system, while others had also other systems like Inventory control or Payroll systems. Only 7 businesses had implemented ERP, where 4 of them were big business and 3 of them were medium businesses. Big businesses had implemented at least 2 types of IS.

Figure 1: Types of Information Systems Used



Regarding the medium they choose to communicate within the business, or with suppliers and clients, majority still is following the traditional way by using phones. As seen in the table 2 below, 48 % have chosen the phone as the medium, while the email has a percentage of 21.2 %, and IS used as a medium of communication between workers in only 7.7%. The most preferred medium that the businesses choose to communicate with their suppliers and clients is phone (table 3), while it is seen an increase of the percentage of email with 4%, while the usage of IS as the medium of communication still stays the same, with 7.7 %.

Most of the businesses were confident that IS can increase and improve the communication within the business (table 4), and with their suppliers and clients. With an average 2.58 out of 3, the impact that IS can have in the process of decision making is high. As cited by some owners that used inventory control system, it was easier for them to check about the quantity available on the store about certain products. When asked whether “Is the information system you use fit to respond to the dynamic environment of your business?” the average 2.44 out of 3 shows that the IS that businesses use “can respond to the dynamic environment”.

With an average of 2.17 out of 3 (table 5) businesses tend to offer online service to the clients in Facebook, Instagram, or a Website, but still the most preferred are social networks. At the same time

businesses tend to provide up to date information to the customer through social networks or website, averages for both are almost the same, 2.15 and 2.17, respectively.

Table 2: Business Communication Means

		Frequency	Percent	Valid Percent	Cumulative Percent
Valid	All of above	11	21.2	21.2	21.2
	Email	11	21.2	21.2	42.3
	Hard copy Documents	1	1.9	1.9	44.2
	Using Information Systems	4	7.7	7.7	51.9
	Using Phone		48.1	48.1	100.0
	Total		100.0	100.0	

Table3: The Means of Communication within the Supply Chain

		Frequency	Percent	Valid Percent	Cumulative Percent
Valid	All of above	14	26.9	26.9	26.9
	Email	13	25.0	25.0	51.9
	Using Information Systems	4	7.7	7.7	59.6
	Using Phone	21	40.4	40.4	100.0
	Total	52	100.0	100.0	

Table 4: IS – Communication Impact

	Minimum	Maximum	Mean	Std. Deviation
Does IS increase the speed of communication?	1	3	2.37	.627
Does IS improve the communication?	1	3	2.54	.576
Is the information system you use fit to respond to the dynamic environment of your business?	1	3	2.44	.574
Does IS help in the process of decision making?	1	3	2.58	.537

Table 5: Online Service

	Minimum	Maximum	Mean	Std. Deviation
Does the company offer online customer service?	1	3	2.17	.648
Does the information system provide the customer with up-to-date information and at a faster time interval?	1	3	2.15	.916
Is it true that after installing IS it is easier to search information about the customer? "	1	3	2.29	.825
Does the information system provide a broader product promotion means?	1	3	2.17	.734

A considerable number of businesses claimed (an average of 2.15 out of 3) that the use of the IS, helped them a lot in decision making process and this has led to lower costs (table 6). Others asserted that IS does not have any direct impact to the costs, but since their services were offered online the relationship between the product (and quality) differentiation and IS, is high. Still, other businesses did not find the IS they use to differentiate their product or service. Some of them declared that:

"I use a point of sale systems, but I don't have a website. The point of sale systems does not help me to differentiate my product. If I was offering online products maybe there could have been any relationship".

Table 6: Descriptive Statistic: Competitive Advantage

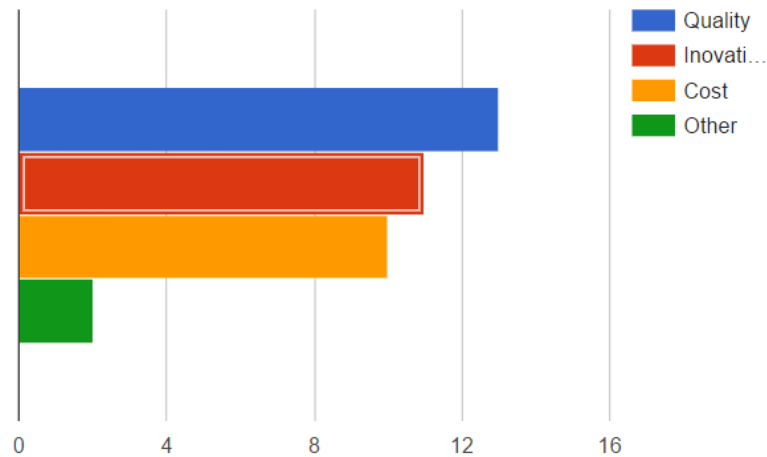
	Minimum	Maximum	Mean	Std. Deviation
Does the use of IS give you an advantage over your competitors?	1	3	2.25	.837

Does the quality of the product improve when IS are used?	1	3	2.08	.737
Does the initial cost of production / service lowers when using information systems?	1	3	2.15	.500
Do IS affect in the differentiation of your product? "	1	3	1.92	.837

Almost half of the businesses (48 %) were confident that the use of IS can give them a competitive advantage, while 27% decided to not answer, and 25% confirmed that they do not differentiate their selves from others only because they use IS.

About the ways how to can get a competitive advantage by using IS alternatives asked to business owners/managers were: (1)Product differentiation(innovative/unique); (2) Cost differentiation; (3) Quality differentiation; (4) Other Ways (figure 2). Even though some businesses did not use IS, they were confident that they could be more competitive if they were using any type of IS. Businesses that chose one of the alternatives above said that can be more competitive by using one of the strategies above but not by implementing IS. Two businesses suggested that they are more competitive because IS provides to them ways to give a faster response to the clients.

Figure 2: Ways that Businesses choose to gain Competitive Advantage



To test whether the use of IS has any significant effect on the competitive advantage a simple regression with the dependent variable Competitive Advantage and independent variable Use of IS was run. The hypothesis is formulated as:

H2: The use of IS does not provides a competitive advantage

Using 0.05 % level of significance, the hypothesis that the use of IS does not have a significant impact to the competitive advantage that the company can create, is rejected.

Table7: Regression 2: Use of IS and Competitive Advantage

Model		Unstandardized Coefficients		Standardized Coefficients		
		B	Std. Error	Beta	t	Sig.
1	(Constant)	.722	.385		1.874	.067
	Use of IS	.903	.220	.503	4.110	.000

Regression has a p-value of 0.00, so it is significant. R square is 0.253 from where we can conclude that 25.3 of the variability in depended variable is explained by variability in independent variables, which is not a good fit and is explained also by the standard error. When using a simple regression, it can be encountered the omitted variable bias (OVB) which occurs when are not included factors that may have

a significant effect in the dependent variable. To avoid this problem another regression with more independent variables is run. Three more hypotheses are tested:

H2a: No cost differentiation is gained from IS.

H2b: No product differentiation (unique/innovative) is gained from IS.

H2c: No quality differentiation is gained from IS.

Based on the p-values (table 8) the hypothesis that use of IS does not have any effect in the competitive advantage that the businesses create is still rejected. Related with three other hypothesis it is found that most of the businesses that took part in the survey did not find any differentiation in their product, costs, or quality. These results can be as consequence because only a small number of business offered product or services that had direct relation with IS.

Table 8: Regression 3: Use of IS, Strategies and Competitive Advantage

Model	Unstandardized Coefficients		Standardized Coefficients		
	B	Std. Error	Beta	t	Sig.
1 (Constant)	.081	.513		.158	.875
Use of IS	.703	.227	.391	3.093	.003
Do IS affect product differentiation?	.149	.136	.149	1.093	.280
Does the product/service cost lowers by IS usage?	.023	.212	.014	.109	.914
Does the product quality improve by IS usage?	.310	.154	.273	2.013	.050

5. CONCLUSION AND DISCUSSION

The importance of IS and IT has increased a lot because in today's business environment companies are always trying to find new ways to be more competitive. IT/IS has become one of the most used tools to create this advantage over the competitors.

This research investigated the relation between the use of IS in Albanian businesses and the competitive advantage that they create. Besides this, other objectives were achieved along the way like impact of IS on effective communication or impact of IS on performance of the business etc.

To answer research questions, a survey was conducted to different businesses in Albania. The questionnaire was divided in four parts where each part was concerned for different things like general description, communication means, web presence or competitive advantage.

The research revealed that percentage of the business that use IS is 69.2% while the businesses that do not use are 30.8%. Size of the company and the sector where the company operates have a significant impact on the use of IS, but still size is a bigger indicator when it comes to the usage of IS. This is seen by the coefficient of sector 0.11, which is almost 0, that shows that by increasing the sample size it is much easier to change.

Most of businesses that had not implemented any type of IS accepted the benefits that IT/IS can bring to them, but still were not ready to do such an investment because of lack of experience and high costs.

When it comes on the medium that businesses choose to communicate, majority still is following the traditional way by using phones. In communication within the business and within the supply chains phone has a percentage more than 40%.

Related with the effect that IS has in increasing the speed of communication, improving communication, helping in decision making, or increasing the efficiency and performance owners (or managers) were confident about the benefits but still some of them were not ready to implement any type of IS.

Businesses tend to offer online service to the clients in Facebook, Instagram or a Website, but still the most preferred are social networks, and most of them tend to provide up to date information to the customer through social networks or website.

Almost half of the businesses (48 %) that took part in the survey were confident that the use of IS can give them a competitive advantage, while 27% decided to not answer, and 25% said that they don't differentiate their selves from others only because they use IS.

Most of the businesses that took part in the survey did not find any differentiation in their product, costs, or quality because they are using IS, in other words, cost and product differentiation does not need as a facilitator an IS.

In order to get the maximum benefit from there IS investment, Albanian businesses should choose the most appropriate IS that includes all the IT elements that are needed, taking into account the demand as one of the most important indicators.

To conclude, this study can help to understand better the usage of IS in Albanian businesses and whether these businesses get advantage against their competitors by using IS. This study was done for businesses no matter the size, sector, or time they have been operating in the market. For further research about the competitiveness that is gained from IS, other studies can be done taking in consideration only SMEs or big businesses. Also, other variables can be used to check for impact of IS in competitive advantage.

REFERENCES

1. Ahmeti, E., & Kruja, A. D. (2020). Challenges and Perspectives of Supply Chain Management in Emerging Markets: A Case Study Approach. In Leadership Strategies for Global Supply Chain Management in Emerging Markets. IGI Global.
2. Baltzan, P., & Phillips, A. (2010). Business Driven Technology (Vol. 4). New York: McGraw-Hill Irwin.
3. Bere, A., Brijlal, P., & Naicker, V. (2014). The impact of Information Systems usage on productivity: A retrospective analysis and an empirical study in Cape Town tourism of South Africa. *African Journal of Hospitality, Tourism and Leisure*, 3(1), 1-10.
4. Booth, A., Roberts, R., & Sikes, J. (2011). How strong is your IT strategy? McKinsey on Business Technology, 23(7), 2-7.
5. Dehning, B., Richardson, V. J., & Zmud, R. W. (2003). The Value Relevance of Announcements of Transformational Information Technology Investments. *MIS Quarterly*.
6. Devaraj, S., & Kohli, R. (2003). Performance impacts of information technology: Is actual usage the missing link? *Management science*, 49(3), 273-289.
7. Ferizi, V., & Kruja, A. D. (2018). Coastline hospitality industry performance, challenges, and opportunities: evidence from Durres coastline. In *Managing Sustainable Tourism Resources* (pp. 14-38). IGI Global.
8. Hemmatfar, M., Salehi, M., & Bayat, M. (2010). Competitive advantages and strategic information systems. *International Journal of Business and Management*, 5(7), 158.
9. Jessup, L., & Valacich, J. (2008). *Information Systems Today* (3rd ed.). Pearson Prentice Hall.
10. Karimi, J., Somers, T. M., & Gupta, Y. P. (2001). Impact of information technology management practices on customer service. *Journal of Management Information Systems*, 17(4), 125-158.
11. Kim, W., & Ham, S. (2007). The impact of information technology implementation on service quality in the hotel industry. *Information Technology in Hospitality*, 4(4), 143-151.
12. Kruja, A. D., Hysa, X., Duman, T., & Tafaj, A. (2019). Adoption of Software as a Service (Saas) in Small and Medium-Sized Hotels in Tirana. *Enlightening Tourism*, 9(2).
13. Kruja, A.D. (2020a). Entrepreneurial Orientation, Synergy and Firm Performance in the Agribusiness Context: An Emerging Market Economy Perspective. *Central European Business Review*, 9(1), 56-75. doi: 10.18267/j.cebr.229.
14. Kruja, A. D. (2020b). Enterprise Investments, Innovation and Performance: Evidence from Albania. *International Journal of Innovation in the Digital Economy (IJIDE)*, 11(1), 68-80.

15. Kruja, A. D., & Hysi, K. (2020). Influence of Practice Management Software on Dental Services: A Case Study Approach. In *Networked Business Models in the Circular Economy* (pp. 241-267). IGI Global.
16. Laudon, K. C., & Laudon, J. P. (2013). *Management Information Systems* 13e.
17. Melville, N., Kraemer, K., & Gurbaxani, V. (2004). Information technology and organizational performance: An integrative model of IT business value. *MIS quarterly*, 28(2), 283-322.
18. O'Brien, J., & Marakas, G. (2011). *Management Information Systems* 10th Edition.
19. Orlikowski, W. J., & Gash, D. C. (1992). *Changing frames: Understanding technological change in organizations*. Cambridge: Massachusetts Institute of Technology.
20. Porter, M. E. (1985). *Competitive advantage: creating and sustaining superior performance*. New York: FreePress.
21. Sheng, Y. P., Mykytyn Jr, P. P., & Litecky, C. R. (2005). Competitor analysis and its defenses in the e-marketplace. *Communications of the ACM*, 48(8), 107-112.
22. Shkrepa, L., & Kruja, A. D. (2020). Information Systems and the Performance of the Hospitality Enterprises in Tirana. In *Developing Knowledge Societies for Distinct Country Contexts*. IGI Global.
23. Stegăroiu, C. E., & Stegăroiu, V. (2014). Information Systems as a Business Resource. *Annals of the „Constantin Brâncuși” University of Târgu Jiu, Economy Series*. http://www.utgjiu.ro/revista/ec/pdf/2014-04.Special/49_Stegaroiu.pdf.
24. Taska, E., & Zela, N. (June 2010). Roli dhe zhvilimi i E-Gov ne Shqiperi. Shtypshkronja Ilar.
25. Turban, E., Leidner, D., McLean, E., & Wetherbe, J. (2008). *Information Technology for Management*. John Wiley & Sons.
26. Weill, P., & Ross, J. W. (2004). *IT governance: How top performers manage IT decision rights for superior results*. Harvard Business Press.

Wages In The Public And Private Sector, The Impact On The State Budget, Albanian case.

Dr. Albana Demi (Mosho)¹

PhD. (c) Arjana Kadiu²

PhD. (c) Mimoza

Agolli³

¹Lecturer and researcher, “Aleksandër Moisiu” Durrës, Albania, e-mail: albanamosho@uamd.edu.al

²Lecturer and researcher, “Aleksandër Moisiu” Durrës, Albania, e-mail: arjanakadiu@uamd.edu.al

³Advanced Studies and Sustainable Development Center (ASSDC), e-mail: mimosa.agolli@gmail.com

Abstract: This study aims to analyze labor market and social partners, both involved in determining wage levels through general agreements and in different professions. It focuses on the relation between public and private sector in the country of Albania.

The prerequisite for negotiated wages in the country is to be higher than the official minimum, determined by a decision of the Council of Ministers. From the multitude of researches during the analysis, we will especially focus on the right to work and employment in the labor market. These comparisons based on detailed data, enable a complete analysis and at the same time provide a complete overview of the current situation.

The object of this paper is to review labor market policies and assess their effectiveness in the country of Albania. This will support evidence-based policy-making and decision-making and will focus not only on the statistical description of indicators of this market, but will also give a general overview of the causes and consequences related to them. It will highlight wages' features of each gender and age group, in order to better understand the gaps that currently exist between them.

The methodology involves an overview of Regional Dimensions of the Albanian Labor Market, with minimum wage as a threshold, main wage and income factors, developments in the labor market, minimum living aspects, pay gap in public-private sector, gender pay gap, social dialogue and Paying Negotiation Systems according to existing legislation on salaries.

The study is based on empirical research. The research consists of a combination of qualitative and quantitative methods. Thus quantitative and qualitative methods are applied, in order to interpret results and give a picture of the relationship between the subsistence minimum and the minimum wage. The research was designed to ensure that the data collected and interpreted focused on the objective of the study.

The topic concludes with main findings of the current situation, as well as recommendations based on a detailed analysis of national strategies. This aims to propose a better orientation for policymakers.

Keywords: wages, labor market, public sector, private sector.

Introduction

For this paper we are focused to the comparability between the public sector and the private sector by analyzing the wages in both sectors and the factors that affect the changes, as well as on the basis of the annual study published by INSTAT.

For the first time in Albania's history in 1927 (Ligji nr. 129, datë 28.10.1927 “Për pensionet civile”);, during the reign of King Zog, was introduced a public social insurance system, based on the system named "Pay as you go", set up according to the model created in 1889 by Bismarck, the prominent German Chancellor of the 19th century, "Pay for those who are retired today and others will pay for you tomorrow" (1862-1890).

During the communist regime in our country, the Young working generations would provide income for themselves, the elderly and individuals unable to work; this principle was inherited where everything was under autocratic, government control (1993).

During this period, when total lack of transparency prevails, no individual knew the percentage of the salary he paid for social contributions, or in case of disability, births or solidarity. The mandatory state

pension system, operated based on the principle of contribution and related to wage differences. The system was inherited even after the overthrow of the regime and has been reformed to adapt to socio-economic developments.

While the country was moving toward a market economy after the 1990-s, the pension system experienced major obstacles. The public pension system in Albania is currently represented by the Social Insurance Institute. Pension fund assets that accumulate over the years, constitute a financial resource, which should be carefully managed and constantly kept under control.

Minimum subsistence is the main social indicator, which is used to assess poverty and quality of life, as well as for the calculation of the minimum wage, minimum pension and social payments basis.

Methodology:

The research consists of a combination of qualitative and quantitative methods, to analyze wages in the public and private sector which allow flexibility and include an overview of the structure of the labor market in Albania, descriptive statistics, current employment practices. The data are presented in a descriptive way through the practice of cross tables, which reflect the average net monthly wage differences for identical models reviewed unconditionally.

Conclusions of this paper are the answer to finding the main and significant determinants that affect the payroll system in Albania.

Information

The legal framework used to regulate wage levels is based on the Constitution of the Republic of Albania, the Labor Code as well as bylaws. On this basis, the wages of employees in the public and local sector are determined by the decision of the Council of Ministers, while the wages of employees of independent institutions such as the Judiciary, People's Advocate and the National Radio and Television Council are determined by the Parliament.

Wages in the public sector are regulated annually by a decision of the Council of Ministers and rely mainly on GDP growth and economic performance.

The minimum wage is decided on the basis of the economic factors, economic development requirements, reduced unemployment, increased production, as well as the needs of employees and their families. It is important to take into account the overall standard of living of employees in the country, income received from social insurance and living standards of different social groups.

The Labor Code of the Republic of Albania requires that employees should not be paid below the minimum wage set by Council of Ministers. During the process of preparing and implementing labor legislation, including minimum wages, consultations are held with the National Labor Council. Permanent specialized tripartite commissions may also be set up under the auspices of the Council. There is a special standing committee on wages. The minister responsible for this makes proposals based on the recommendations of the commission regarding minimum wage at national level.

The wage data are collected from three separate institutions: National Institute of Statistics (INSTAT), the Ministry of Finance and Economy and the Ministry of Health and Social Protection.

- INSTAT provides data on average wages across the economy, including self-employed individuals, but does not provide a complete picture of wages outside the public sector.
- The Ministry of Finance and Economy conducts an annual survey to collect data on average of overall wages, in the public and private sector. This is the main direct source of information on wages in the public sector.
- Ministry of Health and Social Protection provides some general data on wages, but it does not have any data regarding wages in the private sector. As a result, the data on wages vary considerably and this affects the ability to collect data on wages and income.

Based on Tax legislation (Albania), the object of income tax is the personal income of individuals, the profit of natural and legal persons subject to the "Income Tax" Law, as well as the income for which the tax is withheld.

For individual incomes coming from outside of the territory of Albania, the "Model of the Convention on Income and Capital Tax" published by the OECD on April 2000, is applied.

The Bilateral Tax Agreements for the Elimination of Double Taxation in Albania are also applied.

According to Albanian tax legislation, an individual who resides in Albania during a tax year, continuously or intermittently, for a total of more than 183 days, is considered an Albanian resident for tax purposes. This applies regardless of citizenship or the country where the individual has vital interests.

The calculation of duration of stay in Albania includes the days of physical presence, i.e. not only the working days but also the days of arrival, departure, and holidays. An Albanian tax resident is every individual who completes one or both of the above criteria (residence criterion and residence time criterion).

According to Law no. 9136 dated 11/09/2003, "On the collection of compulsory social and health insurance contributions", as amended, Social and health insurance contributions are mandatory payments for all economically active persons, including self-employed individuals.

By paying social and health insurance contributions the contributor is insured to benefit from participation in the social and health insurance scheme: Old age pension; Reduced old age pension; Family pension; Disability pension; Partial disability pension; as well as from the health care scheme.

The contribution is calculated and paid on the gross salary, within the limits of the national minimum wage and the maximum wage for the effect of social security contribution, approved by the Council of Ministers decision, no. 809, dated 26.12.2018 "On determining the minimum wage nationwide".

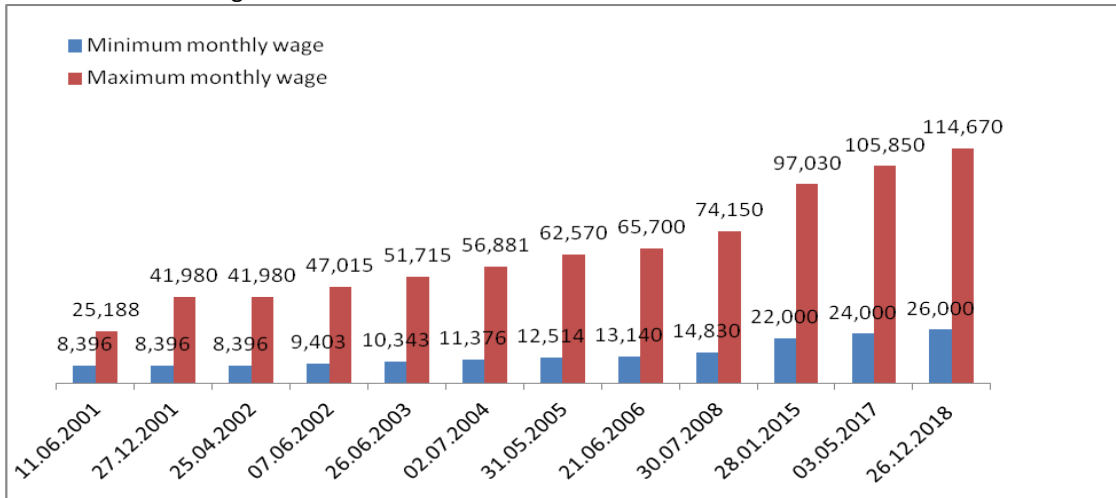
Currently, the minimum monthly salary for the purpose of calculating social security contributions from 01.01.2019 is 26,000 ALL and the maximum salary is 114,670 ALL. Under this scheme the employer pays 11.5% and the employee pays 9.5%. While for the health insurance scheme the contributions are paid on the gross monthly salary in the amount of 1.7% by the employer and 1.7% by the employee.

Tabel.1 Reference wages 2001 - 2019

DECISION		REFERENCE WAGES	
No. Decision of the Council of Ministers	DATE	Minimum monthly wage	Maximum monthly wage
402	11.06.2001	8,396	25,188
8852	27.12.2001	8,396	41,980
346	07.06.2002	9,403	47,015
446	26.06.2003	10,343	51,715
424	02.07.2004	11,376	56,881
385	31.05.2005	12,514	62,570
444	21.06.2006	13,140	65,700
1114	30.07.2008	14,830	74,150
77	28.01.2015	22,000	97,030
399	03.05.2017	24,000	105,850
809	26.12.2018	26,000	114,670

Source: Official Journals published by the Official Publications Center, Tirana, Albania

Graf. 1 Reference wages 2001 - 2019

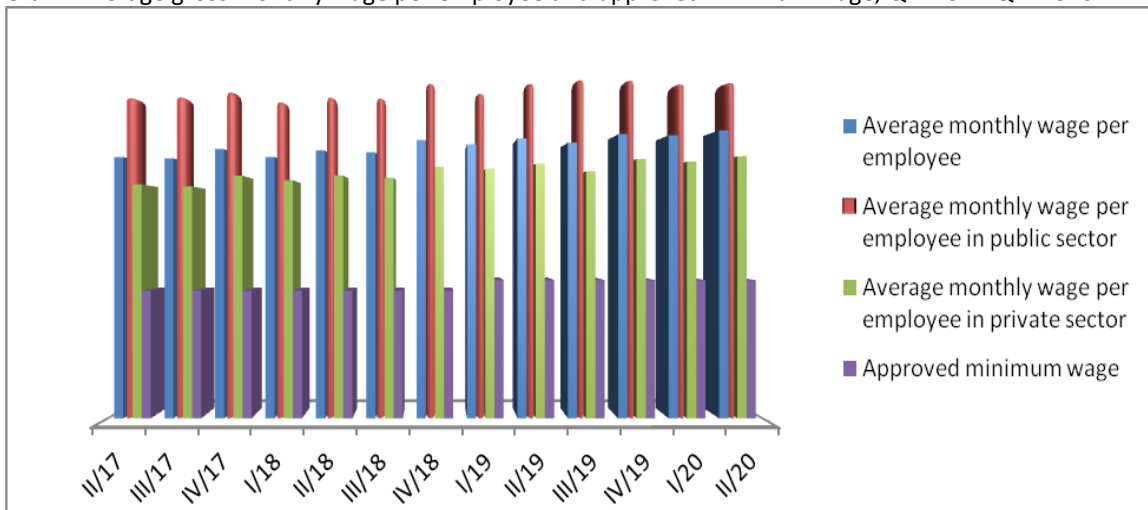


Tabel.2 Average gross monthly wage per employee and approved minimum wage, Q.2.2017-Q.2.2020

Description	Lekes												
	II/17	III/17	IV/17	I/18	II/18	III/18	IV/18	I/19	II/19	III/19	IV/19	I/20	II/20
Average monthly wage per employee	49,150	48,863	50,614	49,145	50,392	50,015	52,312	51,531	52,645	51,870	53,458	53,232	54,149
Average monthly wage per employee in public sector	60,500	60,650	61,600	59,728	60,595	60,494	63,276	61,384	63,207	63,911	63,826	63,116	63,389
Average monthly wage per employee in private sector	43,997	43,630	45,631	44,796	45,667	45,274	47,299	46,982	47,894	46,473	48,767	48,272	49,280
Approved minimum wage	24,000	24,000	24,000	24,000	24,000	24,000	24,000	26,000	26,000	26,000	26,000	26,000	26,000

Source: General Directorate of Taxation, social insurance contributors; INSTAT's calculation

Graf.1 Average gross monthly wage per employee and approved minimum wage, Q.2.2017-Q.2.2020



Regarding the graphical representations in the analysis considered for the quarters 2017-2020, the monthly salaries in the public sector are higher compared to those of the private sector. Payment of public sector wages has implications for monetary and fiscal policies which also have a material impact on private sector wages.

This impact could jeopardize the competitiveness of the economy and, through the weight of inflation, could undermine macroeconomic stability. Below are presented the income and expenditure approach on the Albanian GDP.

MAIN COMPONENTS OF QUARTERLY GDP BY INCOME APPROACH

REAL GROWTH RATES comparison with corresponding quarter of previous year (chain-linked volume measures, reference 2010 year (2010=100)).

Non-Seasonally Adjusted

NVE Rev.2		Gross value added by industry													
NACE Rev.2	Agriculture, forestry and fishing	Mining and quarrying; manufacturing; electricity, gas, steam and air conditioning supply; water supply; sewerage, waste management and remediation activities		Construction	Wholesale and retail trade; repair of motor vehicles and motorcycles; transportation and storage; accommodation and food service activities	Information and communication	Financial and insurance activities	Real estate activities	Professional, scientific and technical activities; administrative and support service activities	Public administration and defence; compulsory social security; education; human health and social work activities	Arts, entertainment and recreation, repair of household goods and other services	Gross value added	Taxes on products	Gross domestic product	
		Tot	of which: Manufacturing												
	1	2	2a	3	4	5	6	7	8	9	10	11=1+..+10	12	13=11+12	
2018*		1.18	15.73	6.27	2.49	4.41	-4.51	2.93	-0.06	6.62	1.56	4.88	4.11	3.81	4.07
2019**		0.39	3.01	5.12	-2.56	3.79	1.89	11.12	5.98	5.47	3.93	-14.66	2.15	2.88	2.24
2017	T1	2.10	-1.95	8.60	10.07	3.02	5.60	14.94	1.47	11.81	5.74	2.54	3.75	6.85	4.13
	T2	0.27	-0.74	9.82	16.13	4.36	9.59	11.31	1.79	7.80	7.49	1.63	4.37	2.55	4.14
	T3	0.64	-4.10	14.23	2.79	5.05	9.17	7.42	0.06	14.45	9.86	6.34	3.70	1.98	3.48
	T4	0.48	-0.20	16.33	0.95	4.03	-4.43	11.36	2.80	12.51	9.10	3.34	3.47	3.50	3.47
2018*	T1	1.37	17.86	9.45	2.52	2.28	-5.48	-1.19	-1.28	9.98	2.90	8.48	4.32	3.35	4.21
	T2	1.38	19.71	8.40	-0.99	5.45	-8.97	1.57	-0.34	10.30	1.57	10.37	4.46	3.54	4.35
	T3	1.43	14.41	2.88	6.15	6.47	-5.24	2.90	1.19	6.31	0.93	5.05	4.77	3.68	4.64
	T4	0.29	10.99	5.20	2.60	3.02	0.79	8.07	0.17	1.45	0.95	-1.83	2.93	4.70	3.12
2019**	T1	1.35	-4.50	6.08	8.01	4.35	6.64	8.76	8.49	6.55	3.44	-13.96	2.52	1.37	2.37
	T2	1.71	-0.76	6.33	-0.27	3.82	8.61	13.84	6.61	3.91	4.16	-15.55	2.22	4.92	2.56
	T3	0.52	9.25	5.14	0.82	4.92	-4.65	12.05	3.47	14.11	6.43	-19.43	4.18	4.12	4.17
	T4	-3.23	8.65	3.20	-12.89	2.13	-1.31	9.84	5.47	-1.80	1.96	-10.45	-0.23	0.78	-0.10
2020**	T1	3.41	-3.78	-8.21	-16.66	-3.65	-5.13	-7.18	2.96	-8.37	-0.31	1.06	-2.63	-1.79	-2.52

2018* Semi final
 2019/ 2020**Flash

Source: INSTAT / Albania

MAIN COMPONENTS OF QUARTERLY GDP BY EXPENDITURE APPROACH

REAL GROWTH RATES comparison with corresponding quarter of previous year (chain-linked volume measures, reference 2010 year (2010=100)).

Non-
 Seasonally
 Adjusted

		Total Final Consumption Expenditure ^					GFCF	Domestic Absorption	Export of Goods and Services		
		Total	Household Final Consumption Expenditure	Government Final Consumption Expenditure					Total	Export of goods	Export of s
				Total	Colective	Individual					
		1	2	3	4	5			7	8	9
2018*		3.00	3.18	0.71	2.04	-0.84	2.39	2.87	4.10	14.19	
2019**		3.37	3.26	3.79	3.84	3.73	-3.28	1.98	5.87	-8.27	
2017	T1	2.16	1.80	5.95	9.34	2.40	9.63	3.47	14.97	32.24	
	T2	2.45	2.19	5.26	8.97	1.22	12.40	4.35	23.38	9.62	
	T3	2.92	3.09	3.06	5.28	0.42	3.07	2.96	17.65	2.32	
	T4	2.58	3.41	-0.79	-4.29	3.52	1.66	2.30	-1.52	-7.47	
2018*	T1	2.90	2.63	3.95	6.11	1.50	4.22	3.18	9.51	17.57	
	T2	3.06	3.62	-2.13	-0.65	-3.86	0.40	2.54	5.09	15.41	
	T3	3.10	3.62	-1.06	-1.06	-1.04	3.87	3.27	1.11	14.38	
	T4	2.92	2.75	2.35	4.24	0.18	1.76	2.56	2.14	9.81	
2019**	T1	3.28	3.13	3.44	3.50	3.37	2.52	3.18	-1.11	-9.65	
	T2	3.99	3.78	5.50	6.42	4.40	-0.02	3.22	2.94	-13.08	
	T3	4.32	4.51	3.10	0.01	6.90	-1.46	3.16	10.58	-1.83	
	T4	1.84	1.52	3.18	5.33	0.63	-10.72	-1.40	9.66	-7.57	
2020**	T1	1.10	1.12	0.64	0.69	0.60	-16.69	-2.06	-2.13	-2.70	

Source: INSTAT / Albania

2018* / Semi final

2019/ 2020** /Flash

^ is included also Final Consumption Expenditure of Non-profit Institutions serving Household

Conclusion and Recommendations

The discussion of wage differences between the public and private sectors has been the subject of great interest to economists and policymakers, in Albania, factors affecting the profit margin between the public and private sectors may differ for low level salaries and for high level salaries.

Information on the level of monthly wages in Albania for the private sector is considered confidential and businesses aim to maintain the privacy of employees, while in the public sector the level of monthly wages is determined by the category of job for each employee of public administration.

The wage gap in the public and private sector and the fact that public wages are on average higher than in the private sector, indicates a country that is still in the development phase, has not created stability and affects the continuous changes in the next years.

Some of the main factors that have kept the minimum wage at low levels, especially in recent years, are related to economic and social factors, such as the emigration of labor force concretely in 2019, the number of emigrants is 43,835 people, an increase of 13.3%, compared with the year 2018.

Also there indicated the natural factors such as earthquakes on September 21,2019 and on November 26, 2019, as well as the COVID 19.

New policies need to be developed that boost the country's economy and focus on the current resources that Albania has. Priority should be given to the development of tourism, as you are one of the most promising industries in the country but also to the development of culinary and local production.

Creating a harmonized and well-articulated wage system for the public and private system would bring a much consolidated pension scheme, public and private as well which is current and very functional in developed countries.

Bibliography

Otto von Bismarck German Chancellor 1862-1890, SSA History Archives.

Ligji nr. 129, datë 28.10.1927 "Për pensionet civile"; Albanian Social Insurance Institution,

Albania, G. T. (n.d.). Law 8438, dated 28.12.1998, "On income tax" as amended. Tirana, Albania.

Law 8438, dated 28.12.1998, "On income tax" as amended.

Law No. 9920, dated 19.05.2008 "On tax procedures in the Republic of Albania"

VKM nr. 809, datë 26.12.2018 "Për përcaktimin e pagës minimale në shkallë vendi"

VKM 402date 11.06.2001 "For some issues pursuant to law no. 7703, dated 11.5.1993, "On social insurance in the Republic of Albania", amended by laws no. 7392, date 17.5.1995, no.8286, date 16.2.1998, no. 8392, dated 2.9.1998, no. 8575, dated 8.2.2000, no. 8776, dated 26.4.2001, no.7870, dated 13.10.1994, "On health insurance in the Republic of Albania "

VKM nr.8852, dated 27.12.2001 for an amendment to law no. 7703, dated 11.5.1993 "on social insurance in the Republic of Albania", amended by laws no. 7932, dated 17.5.1995, no. 8286, dated 16.2.1998, no. 8392, dated 2.9.1998, no.8575, dated 3.2.2000 and no.8776, dated 26.4.2001.

VKM nr. 346, date 13.6.2002 for some changes in the decision no. 402, date 11.6.2001 of the council of ministers "for some issues in implementation of the law no.7703, date 11.5.1993" for social insurance in the Republic of Albania ", amended with laws and law no. 7870, dated 13.10.1994 "on health insurance in the Republic of Albania", amended by relevant laws"

VKM no.446, dated 26.6.2003 for some changes in the decision no.402, dated 11.6.2001 of the Council of Ministers "for some issues in implementation of the law no.7703, dated 11.5.1993" on social insurance in the Republic of Albania ", amended and law no.7870, dated 13.10 1994 "on health insurance in the Republic of Albania", amended "

VKM no.424, date 2.7.2004 for some changes in the decision no.402, date 11.6.2001 of the council of ministers "for some issues in implementation of the law no.7703, date 11.5.1993" for social insurance in the Republic of Albania ", amended, and law no.7870, dated 13.10.1994 "on health insurance in the Republic of Albania", amended "

VKM no.385, dated 31.5.2005 for some changes in the decision no.402, dated 11.6.2001 of the Council of Ministers "for some issues in implementation of law no.7703, dated 11.5.1993" on social insurance in the Republic of Albania ", amended, and law no.7870, dated 13.10.1994 "on health insurance in the Republic of Albania", as amended"

VKM no. 444, dated 21.6.2006 for some changes in the decision no.167, dated 29.3.2006 of the council of ministers "for some issues in implementation of the law no.7703, dated 11.5.1993" On social insurance in the Republic of Albania "amended, and law no.7870, dated 13.10.1994 "on health insurance in the Republic of Albania" amended".

VKM nr.1114, date 30.7.2008 for some issues in implementation of laws no. 7703, date 11. 5.1993 "on social insurance in the Republic of Albania", amended no.9136, date 11.9.2003 "on the collection of compulsory social insurance contributions and health in the Republic of Albania", amended, and no.7870, dated 13.10.1994" on health insurance in the Republic of Albania ", amended.

VKM no. 77, dated 28.1.2015 "On mandatory contributions and benefits from the social security system and health care insurance".

Human Resources Audit in Albania

Albana GJONI¹

Elona FEJZAJ²

Kludia HOXHA³

¹ Agricultural University of Tirana, Faculty of Economy and Agribusiness, Finance and Accounting Department, agjoni@ubt.edu.al, mob:00355674114549

² Agricultural University of Tirana, Faculty of Economy and Agribusiness, Finance and Accounting Department, efejzaj@ubt.edu.al, mob:00355692306306

³ Agricultural University of Tirana, Faculty of Economy and Agribusiness, Finance and Accounting Department, kludia.kh11@gmail.com, mob:00355672480791

Abstract: The topic of this study focuses on human resource auditing and investigates the factors that affect increase in work efficiency. Within this study we will develop some hypotheses on this topic and will draw some conclusion by the end of it. This study will use some literature review, started by Barney and Grant who emphasize that it is the knowledge and skills of individuals that create value, so the focus should be on the tools for developing and maintaining human capital, followed by Armstrong, with his famous theory of human capital divided into intellectual, social and capital organizations. The findings of these authors led the study on investigating the human resource auditing as a key to work efficiency improvement.

Some work efficiency evaluating factors are function effectiveness, policies and procedures, management climate and motivation and performance evaluation. For these factors, data were provided through the survey on which the regression analysis was built, from which the hypotheses raised were tested. The Ordinal Regression method was used to construct the regression analysis. Of course there are many other factors that have an impact on work efficiency, which are considered as cause and effect (work efficiency) theoretically, but since they do not have sufficient empirical and statistical data are not taken into account in the ordinal analysis regression.

Results of the study show that function effectiveness and work efficiency have a positive correlation meaning that an increase in function effectiveness leads to an increase of work efficiency. On the other hand the changes in policies and procedures, also motivation and performance evaluation have a moderate correlation with work efficiency.

Keywords: Work efficiency, Human resources auditing, Function effectiveness, Performance evaluation.

1. Literature Review

The scope of HR auditing involves the implementation of HR policies and their implementation in the organization, regarding legal compliance - however most organizations do not have proper HR management and have many problems as they do not have clear organizational management strategies. They find it impossible to obtain the expected efficiencies from the final results (Amy, 2010). A human resources audit can go so far as to observe compensation practices, measure competition for wages nationally, and determine whether employers in many countries comply with relevant local regulations and comply with minimum wage laws (Mayhew & Media, 2009). Collinson Grant (hereinafter CG) is a prestigious auditing firm in the UK which makes frequent assessments of organizations operating in the market. Collinson Grant HRJ evaluates the quality of human capital and emphasizes the costs associated with HR services provided. They use manpower analysis, research, and interviews to investigate inputs and outputs, resources, risks, and how the latter will be measured. The goal is to test all HR processes - including those provided by outside forces - to review and evaluate what they achieve, and the cost of the whole process. (The hr-audit report of Collinson Grant, pg 2-3, 2017). Bontis et al., (1999), state that human capital represents the main factor of an organization, intelligence combined with skills gives the organization its distinctive characters. It is indeed the knowledge and skills of individuals that create value, so the focus should be on the tools for attracting, retaining, developing and preserving the human capital they represent. (Davenport, 1999), states that people have innate abilities, behaviors and personal energy and these elements constitute the human capital that they represent in their work and that is unique. Armstrong (2009), emphasizes that the Theory of Human Capital consists of three concepts; the first, Intellectual Capital, which is defined as the reserve and flow of knowledge available to an organization and is considered an inviolable resource. The second concept is Social Capital which consists of knowledge derived from relationship networks within and outside the organization. Social capital is defined by (Putnam, 1996) as a feature of social life networks, norms and beliefs, which enable participants to act together in the most effective way to achieve common goals. The final concept is the Capital Organization which is the knowledge institutionalized by an organization and stored in the database manual (Youndt, 2000). The added

value that people can contribute to an organization is highlighted in Human Capital Theory. The theory of human capital is related to resource-based theory as developed by Barney, (1991). Grant (1991) emphasizes that resources and skills are the main considerations in formulating a strategy: they constitute the main sources of benefit. Barney (1991) suggests that Resource-Based Theory implies a theory based on knowledge mixed with concepts from organizational economics and strategic management. He emphasizes that a resource should allow the organization to create and implement strategies that improve its effectiveness while meeting customer needs. Boxall (1996) states that "Theory Based View Resource" aims to improve resource capabilities, achieve a strategic fit between resources and opportunities, and also provide value from effective resource allocation. Resource-based theory provides a framework for examining the group of human resources that may or may not be capable of performing a particular task at an early stage. This theory focuses on the analysis of strengths and weaknesses, paying particular attention to the way in which the organization can conduct its business and remove obstacles.

Purcell (2003) states that the importance of resource-based theory is that it emphasizes the importance of Human Capital Management by investing in people through resources, talent management, and program development as a means to enhance organizational skills. Consistent with human capital-based theory, resource-based theory as Barney (1991) pointed out, can develop strategic skills and produce what Boxall & Purcell (2003) refer to as the "Human Resource Advantage" that will says, strategic alignment between resources and opportunities, providing added value from the effective allocation of resources, investing in those people who have the ability to think and plan strategically about the financial and managerial improvement of an organization.

The link between human resources and firm performance has dominated much of the debate within the HRM literature since the mid-1990s. Such research was conducted within the "best practices" paradigm to uncover a general link of high-performance or high-engagement work practices (Huselid 1995; Arthur 1994) and "best fit" studies that focus on coordinating HRM strategies with organizational strategies and contextual conditions to create the highest possible performance of the firm (Wright, 1998; Gratton and Truss2003).

Huselid (1995) has used several human resource management practices in his study which are; staff selection, performance appraisal, compensation, job posting, grievance procedures, information sharing, attitude appraisal, job management participation, recruitment efforts, employee training criteria and promotion. His study, "The Impact of Human Resource Management Practices on Corporate Turnover, Productivity, and Financial Performance," is a study that assessed the links between high-performance work practice systems and firm performance. The results based on a national sample of nearly one thousand firms showed that these practices have a significant economic and statistically significant impact on employee results (turnover and productivity) and short- and long-term measurements of corporate financial performance. Relying on the prediction that, the impact of high performance work practices on firm performance is partially possible to reciprocal relationships and links to competing strategies were limited. Kiboi (2006) conducted a study of performance contracting management perception in state-owned corporations. Oresi (2005) has studied employee performance management practices for court staff. Huselid (1995), Kiboi (2006) and Oresi (2005) despite studying one private sector and the other two state, relate to a point, which emphasizes the great influence that discipline has in the HR department, success a single department implies maximizing the total value of the entire organization without a doubt.

2. Research Methodology

Objective of the study was to estimate whether Human resource audit is a tool to measure the effectiveness of human resources and to provide accurate evidence in order to properly manage the latter.

Main Hypothesis of the study: Human resource auditing leads to the most effective measurement of an organization's HR functions. Other Hypothesis:

- If HR is in line with management policies, procedures and legal provisions then we will have increased efficiency at work.
- Good management climate affects the employee in better relations with colleagues, morale and job satisfaction.
- A prudent and fair performance appraisal, brings motivation to the employee and efficiency at work.

Referring to the problems of this topic, concepts that derive from both theory and practice, analyze the relationship that exists between the dependent variable, increasing effectiveness and efficiency at work, and independent variables such as effective measurement of HR functions of an organization, contribution that provide management policies, procedures and legal provisions, from the HR management climate which in turn has an impact on the employee referring to motivation, morale and job satisfaction. Increased effectiveness at work is the consequence concept for the phenomenon under study and is measured through the HR audit variable. The nature of this data will be addressed in the form of surveys for different levels of management.

Independent factors are:

Effective measurement of an organization's HR functions. This indicator, as an independent variable, positively affects all work processes of each employee of the organization, whether at a low managerial level or senior management, thus increasing the accountability, correctness of the initiative.

Contribution of management policies, procedures and legal provisions, reflecting on the ability of regulatory bodies to improve the performance of each employee, it is considered more than reasonable to note that all legal procedures and provisions help in a fairer and more effective management of the entire HR department but not only.

HR management climate, this is a factor that stems from the theory and fits into this research as a better and cooperative environment implies civic and altruistic behavior among employees, making it even easier for everyone to work and achieving the common goal, already mentioned, maximizing the value of the organization, motivation and periodic evaluation of the performance of the employees of the organization. Although it may seem very subjective as a factor, motivation and reward are one of the key points of effectiveness at work. Employees are always looking for a motive and appreciation from the superior, no matter how minimalist. Periodic performance appraisal is considered very important, and in our country the private sector has significant shortcomings in this regard, however in the following it will be tested through the survey how significant the problem is.

As other independent factors that cause a consequence on work effectiveness are the following variables:

- Organization size
- Age of the organization
- Sector
- market
- region

The data used to address this issue are primary because they were created by the survey conducted with 155 people where only 119 of them were the appropriate contingent for evaluation but there are also secondary data as they were obtained from different sources of information. The data has been processed and information has been extracted that best suits each issue in particular with its specifics. Regarding data sources, Microsoft Excel and SPSS were used for their processing, statistical data were provided through INSTAT, Bank of Albania (www.bankofalbania.org).

The model treated in this paper is of the form of ordinal regression. . In the case of this study, the Complementary log-log connection function Complementary log-log ($\ln(-\ln(1 - y^{\frac{1}{\alpha}}))$) was used because this function is used in cases where the higher selection categories (such as 3 and 4 here) were more So Complementary log-log is a good model when cumulative data is likely to grow quite slowly to 0 and then rapidly to 1. If the opposite happens, that is, the cumulative probability for lower results is high and, access to 1 is slow, negative log-log connection can accurately describe data.

		Frequency	No of questions	Average	Standard Deviation	Cronbach's alpha
ef_pun	1. No	6.7%				
	2. Abs No	19.3%				
	3. Neutral	30.3%				
	4. Ok	30.3%				
	5. Abs Ok	13.4%				
EF			5	3.36	1.02	.910

PPL		4	3.77	1.10	.931
KM		5	3.88	1.10	.942
MV		5	3.46	1.15	.941

There is a tendency for responses, of the neutral and most agreeable type, as I mentioned above when I explained why I used the Complementary log-log model. If we look at Cronbach's alpha coefficient is greater than 0.70 which means that the independent variables best explain the relationship to the dependent variable ef pun.

We see that the significance of this statistic suggests that the model is good (Hi-square significance = 0.000) less than 1%. So the factors considered, manage to fully explain efficiency at work (internal reliability). From here we can proceed with the estimation of the regression coefficients and see if the factors considered are important in the model. The following table provides this information.

Model Fitting Information				
Model	-2 Log Likelihood	Chi-Square	df	Sig.
Intercept Only	355.178			
Final	.000	355.178	16	.000

Link function: Complementary Log-log.

Referring to the data in the table below we interpret the results of the variables. For us the column of coefficients and that of the value Sig is important. β_1 is the regression coefficient that correlates efficiency at work with the effectiveness of functions and is estimated at 1.449, which means that when the effectiveness of functions changes by one unit, then efficiency at work is expected to change by 1.449 units. In terms of its importance it is evident that it is very high (0.000 or can be spoken with 99.9% certainty). EF is a statistically significant factor for the model, it has a positive sign, so the effectiveness of the functions results in an added value for the HR department at 99.9%. Then we continue with the management climate as another factor which has been statistically significant for the model with a level of 91% and also with an evaluation coefficient of 0.466, ie positive. While the MV variable is not significant for the model, the level of security is not satisfactory however the evaluation coefficient is positive 0.29 so there is a direct relationship between work efficiency and the fact how motivated and valued employees feel. However, it is worth noting that this may have been due to the receipt of a small amount of data. Increasing the number of respondents can improve this result.

One of the other influencing factors turns out to be the level of management. Management level 1 is more important than 2, compared to the 3rd (refer to the appendix at the end), with a coefficient of 1.468 and a security of 91.1%. People who work at low management levels are more likely to be more efficient at work than those at mid-level, because the motivations and ambitions are always higher for those employees who expect to be promoted to more lucrative positions.

The years of work are an insignificant factor, which shows that people who have 6-10 years employed in a company are more predisposed to be efficient than they with fewer years, add experience and responsibility here. Organizations that have a number of employees 11-49 (nr_punt = 2), compared to those with less so 1-10, (nr_punt = 1), are more organized and efficient (0.530 and security 92.7%) and this is logical and within expectations as market experience makes them more successful in many ways. The regions of Albania compared to Tirana, HR departments function less, and as a result have very low efficiency.

Test of Parallel Lines ^a				
Model	-2 Log Likelihood	Chi-Square	df	Sig.
Null Hypothesis	.000			
General	.000 ^b	.000	48	1.000

The null hypothesis states that the location parameters (slope coefficients) are the same across response categories.

a. Link function: Complementary Log-log.

b. The log-likelihood value is practically zero. There may be a complete separation in the data. The maximum likelihood estimates do not exist.

Parameter Estimates								
		Koef Estimate β_1	Std. Error	Wald	df	Sig.	95% Confidence Interval	
							Lower Bound	Upper Bound
Threshold	[efpun = 1.0]	.753	1.297	.337	1	.561	-1.790	3.296
	[efpun = 2.0]	2.859	1.320	4.689	1	.030	.271	5.447
	[efpun = 3.0]	4.615	1.349	11.713	1	.001	1.972	7.258
	[efpun = 4.0]	6.340	1.397	20.584	1	.000	3.601	9.078
Location	EF	1.449	.300	23.282	1	.000	.860	2.038
	PPL	-.335	.200	2.810	1	.094	-.727	.057
	KM	.466	.273	2.913	1	.088	-.069	1.000
	MV	.029	.235	.015	1	.903	-.433	.490
	firm_age	-.005	.009	.375	1	.540	-.023	.012
	poz_pun	-.163	.312	.273	1	.601	-.774	.448
	[manxh=1.0]	1.468	.862	2.901	1	.089	-.221	3.156
	[manxh=2.0]	.551	.327	2.835	1	.092	-.090	1.192
	[manxh=3.0]	0 ^a	.	.	0	.	.	.
	[vite_pun=1.0]	-1.258	.460	7.472	1	.006	-2.161	-.356
	[vite_pun=2.0]	-1.410	.427	10.921	1	.001	-2.246	-.574
	[vite_pun=3.0]	-.746	.389	3.675	1	.055	-1.509	.017
	[vite_pun=4.0]	0 ^a	.	.	0	.	.	.
	[nr_punt=1]	.059	.487	.015	1	.903	-.894	1.013
	[nr_punt=2]	.530	.296	3.205	1	.073	-.050	1.110
	[nr_punt=3]	0 ^a	.	.	0	.	.	.
	[rajon=1.0]	-.478	.341	1.965	1	.161	-1.146	.190
	[rajon=2.0]	.159	.514	.096	1	.757	-.848	1.165
[rajon=3.0]	-.141	.406	.120	1	.729	-.937	.655	
[rajon=4.0]	0 ^a	.	.	0	.	.	.	

Link function: Complementary Log-log.

a. This parameter is set to zero because it is redundant.

3. Conclusions

This study relied on a literature review and observation of the Albanian reality to answer the question of whether efficiency at work depends on the proper functioning of the HR department. The theory suggests that we should expect a positive relationship to emerge between the two. However, the observation of the case of Albania resulted in two conclusions:

The first relates to the relationship between the effectiveness of functions and efficiency at work which is positive. This means that when the effectiveness of the functions increases, the efficiency at work is also expected to increase. This is also supported by empirical analysis, where we distinguish the association of evaluation coefficients and the level of reliability for the two factors in question. The same situation is with the management climate.

The second relates to the importance of policies and legal procedures as a factor that determines efficiency at work, which is unsatisfactory along with motivation and evaluation. This is a result beyond the expectations and findings of the authors. The expectations were other, that these two factors be one of the main authors or contributors to work efficiency. However, it is worth noting that this may have been due to the receipt of a small amount of data. Increasing the number of respondents can improve this result.

The latter may pose a matter for further and in-depth addressing by other researchers in the future.

References

- Armstrong, M. (2009) Armstrong's handbook of human resource management practice, e (11th Edition). Kogan Page
- Armstrong, M. (2012). Armstrong's Handbook of Human Resource Management practice (12th Edition). Kogan page.
- Armstrong, M. (2012). Armstrong's Handbook of Human Resource Management practice (13th Edition). Kogan page.
- Barney, J. (1991). Firm Resources and Sustained Competitive Advantage
- Boxall, P. (1996). The Strategic Hrm Debate and the Resource - Based View of the Firm

- Collison Grant, H.R Audit <https://www.collinsongrant.com/disciplines/hr/hr>
- Davenport, Thomas O. (1999). Human capital. New York, 37-42
- Hamdallah, Madher E., Abed, Susan R. & Srouji (2013), Human Resource Factors and its Effect on Accountants in Jordanian Banks, Volume 13, 10-12.
- Harrell, F. E. (2015). Regression Modeling Strategies: With Applications to Linear Models, Logistic and Ordinal Regression, and Survival Analysis (2nd ed.). Springer. https://doi.org/10.1007/978-3-319-19425-7_1
- Norušis, M. J. (2012). IBM SPSS statistics 19 advanced statistical procedures companion. Prentice Hall.
- Putnam, R. (1996). Social and Unsocial Capital: A Review Essay of Robert Putnam's Making Democracy Work.
- Robert M. Grant (1991) The Resource-Based Theory of Competitive Advantage: Implications for Strategy Formulation
- Shaban, O. (2012). Auditing human resources as a method to evaluate the efficiency of human resources functions and to control quality check on HR Activities. International Business Research, vol 5 No. 3 pp. 122 – 131.
- Shiri, S. (2012). Strategic Role of Human Resource Audit in Organizational Effectiveness. Journal of Management and Public Policy, Vol. 3 No. 2, 39 –45.

Bulgaria&Turkey: Further Strengthening Ties Through Future Economic Opportunities

Alexandru Gribincea¹

Bestenigar Kara²

¹ Prof. Dr. Alexandru Gribincea, Free International University of Moldova (ULIM) – Chisinau, 52 Vlaicu Parcalab Str. Chisinau, Moldova, Email: agribincea@mail.ru

² PhD Candidate Bestenigar Kara, Free International University of Moldova (ULIM) – Chisinau, 52 Vlaicu Parcalab Str. Chisinau, Moldova, Email: bestenigar.kara.1989@gmail.com

Abstract: Bilateral relations between Turkey and Bulgaria have acquired a new dimension particularly for the past decade, which have been positively reflected on growth figures of both economies and trade volumes in recent years. In this study cooperation mechanisms in bilateral relations, countries' economic outlook and main areas of economic cooperation were examined. It was concluded that energy and agricultural sectors have a potential to increase bilateral foreign trade volume and to contribute to economic growth and market competitiveness of the countries. In this context important developments in countries' economies, bilateral tourism numbers and the sector's contribution to the national economies of Bulgaria and Turkey, electricity and natural gas sectors, overall bilateral foreign trade and bilateral foreign trade in agricultural products were analyzed.

Keywords: Bulgaria, Turkey, Foreign Trade, Agricultural Sector, Economy.

1. INTRODUCTION

“Unity makes strength”-, an expressive national motto of Bulgaria, which is also used on its coats of arms. From this point of view, cooperation, partnership and alliance became strategic concepts for countries particularly after the globalization process in order to provide political, economic and socio-cultural development at national and international levels. In this context countries give particular importance to bilateral relations through which they can cooperate and support each other on regional and global scales. Common past and culture as well as the sense of trust are among the leading factors affecting the development of these relations.

Within this frame Bulgaria and Turkey have a common history and culture, which date back to the 14th century and they are also neighbouring countries by a common border, while both countries have a coast on the Black Sea. Bilateral relations between the countries have significantly developed over the last two decades and have gained momentum especially in the last decade. In this sense Bulgarian Turks play an important “bridge role” in bilateral relations. Accordingly today Turkey and Bulgaria are two allied and friendly nations of which partnership is at strategic level.

In this context Bulgaria and Turkey have a high-level bilateral political, military and economic cooperation. They also play an active role in regional cooperation. While both countries show a tendency to similar foreign policy, they also support each other on global platforms.

Regarding economic relations, both countries have a strong partnership in terms of tourism, foreign trade and investment. Bilateral foreign trade of the two countries passed over US\$ 5 billion, and Turkish capitalized companies have an employer status in Bulgaria. However a significant potential was observed especially in energy sector and agricultural foreign trade together with several uncertainties and challenges which formed the study's the fundamental research area. In case of overcoming these difficulties, mentioned potential is expected to add a new dimension to both economies and economic relations between Turkey and Bulgaria.

In this direction descriptive and survey models as well as historical, comparison and statistical methods were utilized in this study, while qualitative and quantitative data were collected within the frame of research methodology.

- Historical method was used to determine the area of research, to acquire data, to analyse and to evaluate these data, and to find out previous, current statuses and results of the study for the future. In this way research area of the article named “Bulgaria&Turkey: Further strengthening ties through future economic opportunities” came forward, data were acquired within the scope of scientific research and mentioned data were developed by controlling whether they are veridical.

- By survey model and historical method again, general development process and its impacts on the study's components were searched.
- Dynamics in development of the study's main elements were studied by revealing their current statuses within the scope of the descriptive model.
- Comparison method was used to find out changes and similarities and to analyse reasons behind all these changes.
- Statistical method was used to calculate annual average changes, to classify and visualize datas through diagrams and tables.

Used datas in order to reflect developments, variables and indicators generated with recent historical and existing conditions in the study were acquired through various data collection techniques. In this sense literature and archive reviews were utilized as primary and secondary data collection techniques. Datas acquired from mentioned techniques fall into category of written and visual sources.

Within this framework various databases, reports, presentations and web-sites of national and international authorities related to given article via literature and archive reviews were studied to create verbal and visual analyses.

As a result of verbal analysis several important problems and obstacles, adopted policies and strategies as well as problem-oriented solutions were determined. Therewithal diagrams, tables and maps acquired as a result of literature review were prepared to demonstrate historical developments and changes.

In conclusion above-mentioned models and data collection techniques were utilized to reach the hypothesis.

2. SHORT HISTORY OF BILATERAL RELATIONS

Bilateral relations between Turkey and Bulgaria date back to the second half of the 14th century, when Plovdiv, – the second largest city of Bulgaria – was conquered by the Ottoman Empire. Bulgarians were imposed a tax on the side of Ottomans as a result of losing the Battle of Sırp Sındığı in 1364, made with Serbians. In 1382 Sofia – the largest city and the current capital of Bulgaria –, was conquered by the Empire. Then the city of Veliko Tarnovo fell in 1393, and Vidin in 1396 respectively. Although Constantine II took advantage of the Ottoman Interregnum that began in 1402 and reigned in Vidin until 1422, the Bulgarian Tsarism completely became history and the Ottoman period started in the country which continued throughout 456 years.

Considering duration of Ottomans' existence in Bulgarian territories, it's possible to observe that the Empire has left deep mark on the country in terms of cultural identity. As a result of this big cities such as Sofia, Plovdiv and Varna started to adopt Ottoman identity and there was a great "Turkization" process in the country. Conversely large numbers of Bulgarian people relocated to Istanbul and Anatolia. Bulgarians maintained to implement freely their religion by establishing Bulgarian Orthodox Church belonged to themselves.

With the regression of the Ottoman Empire and support of Tsarist Russia, National liberation movements flared up in Bulgaria as well as on entire Balkan Peninsula. The Empire which lost the Russo-Turkish War of 1877 – 1878, mostly made in Bulgarian territories, recognized Bulgaria as independent principality in 1878 and fully independent tsardom in 1908.

The League of Balkans consisting of Eastern Orthodox Kingdoms of Bulgaria, Greece, Serbia and Montenegro captured the large part of Eastern Thrace including Turkey's province Edirne by winning the First Balkan War in 1912. Bulgarians who drew near Istanbul endeavoured to conquer Ottoman territories. However Bulgaria returned the large part of these lands to the Empire following the Second Balkan War. The Bulgaria-Turkey border defined by the Treaty of Constantinople signed on 29 September 1913 between the Ottoman Empire and Bulgaria has been valid until today.

Bulgaria fought on the same front with the Ottoman Empire during the World War I (WWI) and with Germany during the World War II (WWII) such as Turkey, in both of which the country was defeated. Following WWII Bulgaria entered the socialist regime under the leadership of Georgi Dimitrov Mikhaylov and also with the support of Soviet army moved forward in the Balkans. Bulgaria remained as a member of the Warsaw Pact during the Cold War.

As a result of Ottoman marks left in Bulgaria, Turkish minority rights in the country were a considerable issue in foreign relations of Turkey with Bulgaria in the last four decades, particularly towards the end of the socialist regime. There were lots of Turks resided in different cities of the country including Kardzhali, Razgrad, Shumen, Targovishte, Silistra, Dobrich, Burgas, Ruse and Sofia. In this sense Bulgarian Turks relatively led a free life within the boundaries of the government. However in some periods they faced heavy pressure due to their language and religion. Bulgarian communist leader Todor Khristov Zivkov implemented the policy of Bulgarisation against Turks between 1984-1989. In this sense Turks were forced to change their names from Turkish to Bulgarian and Turkish language, customs and traditions were banned. In 1989 government were forced Turks who weren't pleased with the policy to migrate to Turkey by opening the borders. In the second half of 1989 about 300 thousand Bulgarian Turks emigrated to Turkey. In the same period the socialist regime was dissolved and the new democratic government gave Turks their Turkish names back and repealed heavy conditions effected them. Part of Bulgarian Turks who emigrated to Turkey turned back to Bulgaria. Afterwards National Assembly of the Republic of Bulgaria rejected the bill on the so-called Armenian Genocide in 2007 which also condemned the forced Bulgarisation policy in 2012, which was implemented during Zivkov regime ("Bulgaristan-Türkiye İlişkileri," 2020).

2. CURRENT RELATIONS

Bulgaria, where the socialist regime was dissolved with disintegration of Eastern Bloc in 1990, started to build its relations with Turkey on a solid ground. Accordingly development of bilateral relations between Turkey and Bulgaria have been continuing gradually since the beginning of 1990s.

So, Turkey and Bulgaria are two friendly, neighbouring countries today. Both parties endeavour to develop relations on the basis of mutual benefits. In this context the countries strengthened those relations, especially after signing bilateral cooperation agreements in strategic fields such as trade, investment, energy, infrastructure, tourism, transportation and science (See Table 1). Apart from that there are also comprehensive trade relationship and military cooperation between the parties and they are also allied countries which have similar political tendencies and play active role in regional cooperation processes.

Table 1: Bilateral Agreements Signed by Turkey and Bulgaria

Agreement Between The Republic of Turkey and The Republic of Bulgaria Concerning Mutual Promotion and Protection of Investments	1994
Commercial Economic Industrial and Technical Cooperation Agreement	
Agreement Between The Republic of Turkey and The Republic of Bulgaria for the Avoidance of Double Taxation with respect to Taxes on Income	
Agreement on Tourism Cooperation	1997
Free Trade Agreement (FTA)	1998 (ended) (Articles of agreement were replaced with the articles of the EU-Turkey Customs Union)
Long Term Agreement	1999
Bilateral Air Transport/Services Agreement	2004
Agreement on Maritime Trade and Transport	
Agreement for Scientific and Technological Cooperation	
Memorandum of Understanding on the Establishment of the Consultation and Cooperation Mechanism on Technical Regulations, Standardization, Conformity Assessment and Metrology	2009
Investment Cooperation Pact	2018

Relations between them have developed particularly with Bulgaria's market transition as noted above. And high level visits between them have increased in parallel with developing relations. In this sense Turkey-Bulgaria High Level Cooperation Council which brought bilateral relations to a new degree was firstly held on 20 March 2012 in Ankara, co-chaired by Bulgaria and Turkey's Prime Ministers. The Council established in 2009, presents the sign of "common will" to further develop bilateral relations between the two countries.

Since that period relations have entered into a positive course and have gained momentum. Visits at presidential, prime ministerial and ministerial levels especially over the last three years have proved this

situation. In this sense Turkish President Recep Tayyip Erdogan went to Bulgaria for working visit on 26 March 2018. Turkish Interior Minister Suleyman Soylu on 18 January 2019 and President of Religious Affairs of Turkey Ali Erbas paid a visit on 13-15 June 2019 respectively. Finally, Bulgarian Prime Minister Boyko Borisov who was in Turkey for the inauguration of TurkStream on 8 January 2020 met with Turkish President Recep Tayyip Erdogan who also paid a working visit to Turkey on 2 March 2020 (Republic of Turkey Ministry of Foreign Affairs, 2020: 66-67).

Turkey has always supported Bulgaria's integration with Euro-Atlantic structures from the beginning. While Turkey became a member of the North Atlantic Treaty Organization (NATO) in 1952, Bulgaria was accepted into the alliance in 2004. However it became a full member state of the European Union (EU) in 2007 and Turkey still is a candidate for full membership.

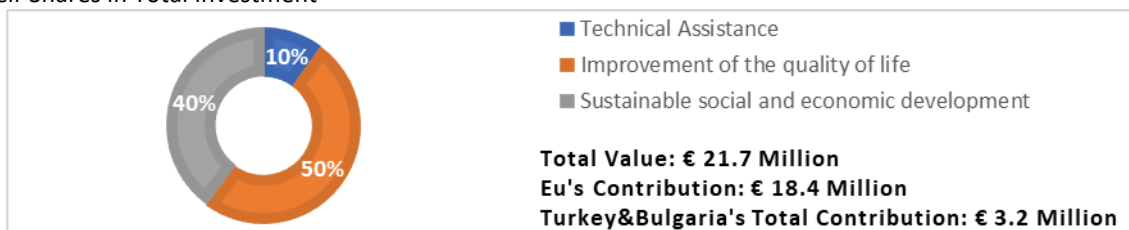
As already stated Bulgaria and Turkey are two countries playing active in regional cooperation. One of the most outstanding foreign policy tools in this context can be considered as the Organization of the Black Sea Economic Cooperation (BSEC). It's an international organization established on 25 June 1992 during the Istanbul Summit as a result of Turkey's initiations. It aims economic and political cooperation between member countries as well as peace, stability and prosperity in the Black Sea region. The Organization has currently 11 founding members including Turkey and Bulgaria. The Organization can also be defined as multilateral economic cooperation model based on principles of market economy.

Apart from that there is another important cooperation tool specific to Turkey and Bulgaria, called as INTERREG IPA Bulgaria-Turkey Cross-Border Cooperation Programme. It's an important EU programme, designed within the scope of EU's smart, inclusive and sustainable development strategy and in the light of relevant national strategic papers (Interrag IPA CBC Bulgaria-Turkey, 2020).

Except for national contributions of Bulgaria and Turkey, co-finance of the programme has been provided by INTERREG (European Territorial Cooperation) within the scope of the European Regional Development Bank and the Instrument for Pre-Accession Assistance (IPA) with allocation of funds. The aim of the programme is to ensure sustainable and steady development based on fundamental points, where both countries are strong in the field of cross-border cooperation to serve a stronger European cooperation and integration.

The Programme has been continuing since 2007. As part of it Burgas, Yambol and Haskovo districts in Bulgaria as well as Kırklareli and Edirne provinces of Turkey were involved. While sustainable social and economic development, improvement of the quality of life and technical assistance were identified as priority areas for the 2007-2013 period, total budget of the programme was € 21.7 million. In this sense half of that amount was spent for improvement of the quality of life (See Figure 1).

Figure 1: INTERREG IPA Bulgaria-Turkey Cross-Border Cooperation Programme 2007-2013: Priority Areas and Their Shares in Total Investment



Source: European Commission (2020).

Within the scope of the programme for the 2014-2020 period environmental protection, youth, support of sustainable tourism and technical assistance were identified as priority areas. While total amount of the programme for this period was € 29.6 million, both Bulgaria and Turkey financed about € 4.4 million (See Figure 2) in total. In this direction themes specified towards priority areas were research&innovation, educational&vocational training, network infrastructures in transport and energy, social inclusion, sustainable&quality employment, low-carbon economy, competitiveness of SMEs, environment protection&resource efficiency, efficient public administration, technical assistance, ICT, climate change adaptation&risk prevention.

Figure 2: INTERREG IPA Bulgaria-Turkey Cross-Border Cooperation Programme 2014-2020: Priority Areas and Their Shares in Total Investment



Source: European Commission (2020).

On the other hand it's also worthy to note that Bulgarian Turks play an important "bridge role" in bilateral relations. Turkish cognate society with the highest population in the Balkans lives in Bulgaria. That's why Turkey intends them to live as equal and reputable citizens of Bulgaria and to make effective contribution to the country's enhancement of welfare and development in every aspect.

In this sense Bulgarian Turks living in Bulgaria generated 8% of total population in 2019. In other words while the country's population was almost 7 million, approximately 560 thousand of that population consisted of Bulgarian Turks (Central Intelligence Agency, 2020). In return approximate number of Bulgarian Turks living in Turkey were 750 thousand in 2019 and they had a slice of 0.8% in Turkey's overall ethnicity pie. Majority of them have settled in northwestern of Turkey, mostly known as "European Turkey" (Findley, 2019).

It's also necessary to remind that international organizations became obligatory for international system with globalization process. They were founded by states as a tool mostly to find solutions for international problems faced by them. Considering the global conjuncture, these international problems are commonly focused on areas including national interests of states, political, economic, social and cultural reasons, security concerns and regulation of international structure. While international organizations generate solutions for problems faced by states, they also ensure better functioning of the international system, development of the sense of trust among member states, harmonization of states's policies, and development of international law. International organizations also create a global environment, where actors can better know, understand and assist each other and show their potential in every aspect.

Within this framework alongside of BSEC or NATO, both Bulgaria and Turkey meet on many other global platforms initially for their national interests and development, and for cooperation with other states and where they can also support each other. Working areas of these organizations are usually focused on political, economic, military, technical, social and cultural cooperation to provide peace and stability throughout the world. In this sense the Council of Europe, International Atomic Energy Agency, International Monetary Fund, Organization for Security and Cooperation, United Nations, World Health Organization, and World Trade Organization are among the most outstanding global organizations where Bulgaria and Turkey meet.

3. ECONOMIC SNAPSHOT OF BULGARIA AND TURKEY

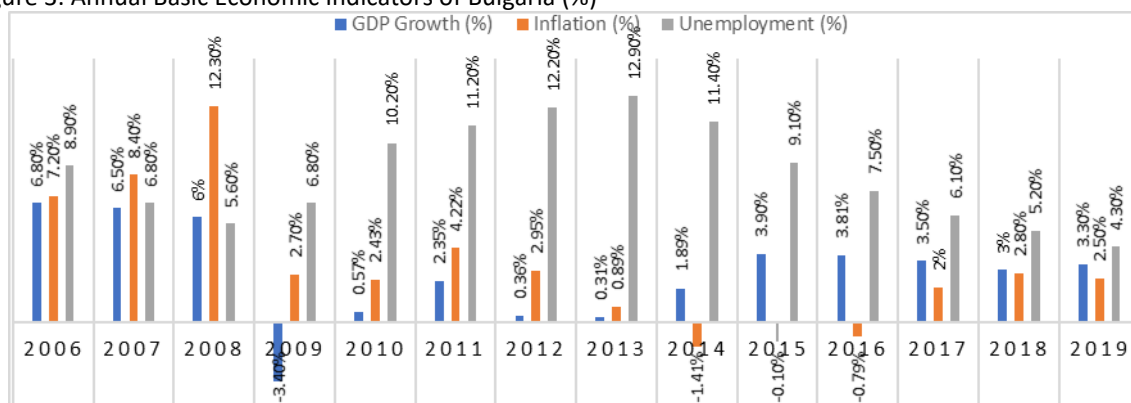
Economy of Bulgaria has shown a significant change over the last three decades. In this sense important reforms, including privatization of state-owned enterprises, trade liberalization, and tax system strengthening were observed in economy of the country after the socialist regime. Thanks to these reforms the Bulgarian economy is known today as an outward-oriented economy that operates according to conditions of free market economy of which private sector has medium-level development. Today the World Bank classifies Bulgarian economy as one of upper-middle-income economies in the world, while IMF defines it among emerging economies. The country which became a full member of EU in 2007, made important reforms in its economic structure due to EU membership conditions. Positive impacts of these reforms can be observed in basic indicators related to economy (See Figure 3).

As is known to all gross domestic product (GDP) is utilized commonly as an indicator to measure economic power of a country. Within this framework the most recent GDP of Bulgaria before joining the EU in 2006 was US\$ 34.3 billion. This amount reached up to US\$ 44.4 billion in 2007, when the country became a full member of the Union and maintained to increase in 2008 as well. With the impacts of the Great Recession (2007-2009) which had had negative reflections on the world economies until 2012 and cuts of gas supplies due to Russia-

Ukraine natural gas dispute, the country’s GDP fell from US\$ 54.439 billion to US\$ 51.999 billion in 2009. Today its value is about US\$ 67.9 billion and Bulgaria is the 73rd largest economy in the world.

Generally it’s possible to state that Bulgaria’s economic development maintains to make a good impression at national level year by year. Although annual GDP rate of the country didn’t grow as it was in pre-crisis period, it started to show recovery and continued to grow gradually. With regard to inflation rate the country experienced minimum level of inflation between 2014 and 2016. While it showed a slight increase in 2018 compared to previous year it remained stable with a small decrease in 2019. Yet it has quite lower rates considering pre-membership and post-crisis periods. Taking unemployment into account, the country encountered with highest-ever rate in 2013, which could fall to single digits only in 2015. However downward trend in unemployment rate of the country has been continuing since then.

Figure 3: Annual Basic Economic Indicators of Bulgaria (%)



Source: World Bank (2020).

On the other hand Bulgarian economy is expected to shrink in parallel with decreasing inflation and increasing unemployment rates in 2020 due to the COVID-19 pandemic shock and shutdown measures to prevent its spread (See Table 2). In this sense according to recent economic forecasts of IMF, the country’s annual inflation rate will fall to 1% in 2020 and GDP growth is expected to shrink by 4%, while unemployment rate is projected to reach up to 8% due to possible job losses mostly in services sector including retail, accomodation, entertainment, art, restaurants& food etc.

Table 2: Economic Forecasts for Bulgaria

Year	Bulgaria	
	2020	2021
Annual GDP growth (%)	-4,0	6,0
Inflation rate (%)	1,0	1,9
Unemployment rate (%)	8,0	4,5

Source: International Monetary Fund (2020).

Generally the economy showed a favourable development in itself and recovered better than many other Balkan countries especially after the Great Recession thanks to the reforms implemented in economic structure to provide EU’s requirements. However it was not enough to enhance a resilient and competitive economy at EU level as well as to catch up with other member states. Bulgaria is the poorest member of the EU at the moment. In this sense according to the European Commission’s recent progress report for Bulgaria, further modernisation of economy and improvement of business environment were needed. That’s why a wide range of additional structural reforms and investmens were required to increase productivity and provide full transparency and sustainable growth, particularly in the context of adverse population developments, considerable shortages of workers and rising regional disparities (European Commission 2020: 5).

Unlike the planned and centralized economy of Bulgaria, Turkey adopted import-substituting industrialization model for its economy until 1970s. And such as Bulgaria it has started to implement export-led and outward-oriented economy policies for sustainability and development since then. So today, Turkish economy can be defined as a free market economy, where goods and services can change hands between individuals and

institutions, liberal foreign trade policies are implemented, private sector plays the leading role and public sectors plays the regulatory role and competitive rules are applied (Gribincea et al., 2015: 79).

With reference to some global authorities, IMF currently describes Turkey as an emerging economy in the world, while World Bank considers it as an upper-middle-income country such as Bulgaria. On the other hand according to OECD, Turkey is among developing countries and the CIA World Factbook defines Turkey as one of the developed countries on a large scale. Turkey is also identified among the world’s newly industrialized economies by economists and political scientists.

Turkey was the 19th largest economy in the world and the 8th largest economy in Europe in 2019 with a GDP of US\$ 754.412 billion. And it’s an active member of G-20, (The Group of Twenty), where the most powerful economies in the world are represented.

Turkey is also among the leading producers in the world in different business lines including agricultural products, ready-made clothing and textile, motor vehicles, ships and boats and, other transport equipments, construction materials, consumer electronics and white goods. In this sense a great number of regions in Turkey can be characterized as industrialized societies. The country is one of the few countries that has successfully achieved the rapid transition to industrial society among Muslim countries.

Turkey has attached great importance to structural reforms in economy since 2000s. It has also harmonized its laws and regulations with EU standards. Within this frame reforms have been made in many areas including macroeconomic and fiscal policies and the country has transferred its government programs into practice which mostly focused on vulnerable groups and disadvantageous regions. As a result of this the country more than halved its poverty ratio between 2002 and 2015 and extreme poverty rate declined even faster (Kara et al., 2020: 95).

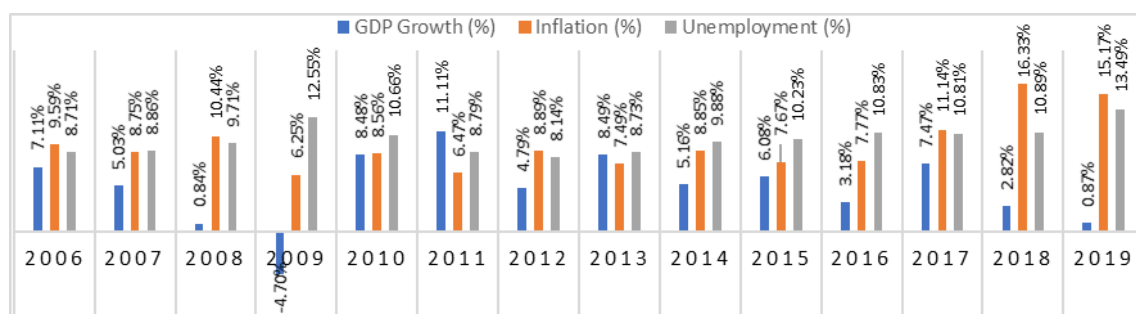
Although the Turkish government has played an important role in business lines of industry, banking, transportation and communication, a rapid development has been provided in private sector in recent years. Because alongside of those reforms which have been carried out in economic structure, privatization process has been accelerated, public finance has been regulated, and also important reforms have been implemented in sectors such as agriculture, health, social security, energy, transportation and communication, starting from financial markets.

Thanks to these reforms infrastructure of economic institutions have been strengthened, and economy has become more resilient against fluctuations likely to emerge in international markets by means of autonomous institutions. Capital markets have been revised in accordance with understanding of the modern era and most of bureaucratic obstacles have been removed or have been reduced to minimum (European Commission, 2019).

During this period Turkish economy encountered with the Great Recession. As in other countries of the world including advanced economies, negative impacts of this shock were also seen on Turkish economy. Within this framework Turkish and Bulgarian economies shrank 4,7% and 3,4% respectively in 2009.

However contrary to many other countries, including some top economies of the world, Turkish economy recovered faster and well from the Great Recession. In this sense it grew by 8,48% in 2010, 11,11% in 2011 and 7.4% alone in 2017 with the help of financial incentives, supportive macro prudential policies and loans provided through credit guarantee fund in order to recover economy and the impact of positive international conjuncture. With this growth it passed the G-20’s history as the fastest-growing country in 2017.

Figure 4: Annual Basic Economic Indicators of Turkey (%)



Source: World Bank (2020).

Taking into account the period of 2010-2019 in terms of economic growth, it's possible to state that Turkish economy has sustained to have an upward growth line despite fluctuations since the Great Recession. However a slowdown has been observed in reforms in some areas together with economic fragilities in recent years. This situation poses a risk in terms of losing the progress that has been made until today (World Bank, 2020).

Considering the increasing inflation and unemployment rates known as chronic stresses of Turkish economy, declining FDI, increasing fragilities in companies and in financial sector and disorder in implementation of reforms and corrective policy actions, macroeconomic outlook seems more fragile and uncertain. On the other hand ongoing geopolitical tensions in the region create risk that may further effect Turkish economy (World Bank, 2020).

Within this framework as a result of declining household consumption and fixed investment expenditures of private sector arising from rapid increase observed in inflation and interest rates and limitation of access to finance, Turkish economy grew below the target set by the government that specified in the Medium Term Programme. While Turkish economy was expected to grow by 5,5%, it expanded only 2,82% in 2018. And inflation reached 16,33% in 2018 which was the highest-ever rate over the past decade (See Figure 4). Within this framework economy went into recession in the fourth quarter of 2018 and shrank by 2,8%. Impact of high growth rates in the first, second and the third quarters of 2018 achieved through domestic demand and strong contributions from investment channels, which were 7,4%, 5,6% and 2,3% respectively had a positive influence on the ratio (Republic of Turkey Presidency of Strategy and Budget, 2019: 5).

Economic recession continued in the first two quarters of 2019 as well and Turkish economy contracted 2,3% in Q1 and 1,6% in Q2. That's why the government prepared the New Economic Programme 2019-2021 for recovery. Within the frame of the Programme, it was aimed to contribute to economic stabilization process by implementing tight money and fiscal policies and a sustainable growth policy by minimizing risks originating from external financing needs, current accounts and inflation (Republic of Turkey Ministry of Treasury and Finance, 2018: 15).

Policies and measures taken in the direction of the Programme affected economy positively and it grew 0,9% in the third quarter and 6% in the last quarter of 2019 respectively. In this sense while revenues earned from exports and tourism continued to be strong, they also supported a more moderate rebalancing process. Fluctuations in exchange rates were reduced and financial markets were normalized by interventions. By this means economic activities started to recover temperately (Palabıyık et al., 2019).

In the light of these developments Turkish economy gained momentum and returned to grow by 0,87% in 2019. Contrary to this unemployment rate reached the highest level in 2019 by 13,49%, even higher than the Great Recession period due to impacts of economic slowdown began in the second half of 2018. However together with economic stabilization unemployment rate is expected to recover gradually. It also reflected on inflation rates in 2019. Despite its relative decline in 2019, inflation remained at high level.

In regard to the year of 2020, the coronavirus pandemic which has plunged the global economy into a deep recession and has started to weaken social gains already, is expected to drag down economic growth and household income levels in Turkey as well. Disruptions in global trade, capital's being in search of a "safe haven" and rapidly increasing risk premia is estimated to effect export and tourism, access to financing, stability of currency and inflation of Turkey. In parallel with this investment is also expected to fall (World Bank, 2020: 90). In this sense according to IMF's estimations, while GDP growth of Turkey drops by 5%, unemployment rate reaches 17,2% in 2020 due to possible job losses (See Table 3). On the other hand inflation rate is expected to be 12% by demonstrating a relative decline compared to previous year.

Table 3: Economic Forecasts for Turkey

Year	Turkey	
	2020	2021
Annual GDP growth (%)	-5,0	5,0
Inflation rate (%)	12,0	12,0
Unemployment rate (%)	17,2	15,6

Source: International Monetary Fund (2020).

Within this framework when economies of Bulgaria and Turkey were generally compared in economic sense based on some fundamental indicators, it was observed that Turkish economy showed a stronger growth performance, particularly after the Global Recession, however it struggled with high inflation and unemployment rates contrary to Bulgarian economy. Both economies are expected to shrink significantly in 2020, but they are also estimated to make a progress gradually in 2021.

4. ECONOMIC RELATIONS BETWEEN TURKEY AND BULGARIA

As stated above Bulgaria has common historic and cultural background as well as borders with Turkey. That's why it is a strategic partner for Turkey. In economic sense Turkey is among top trade partners of Bulgaria. The large part of trade performed by Turkey with European countries through road are carried out over Bulgaria. Besides Bulgaria is a center of the Balkans geographically and it's also close to Turkey's production centers and industrial zones including the provinces of Istanbul, Bursa and Kocaeli. However the features that made Bulgaria attractive in the eyes of Turkish investors further increased due to developments such as Bulgaria's EU membership, nullification of tariffs in bilateral trade due to Bulgaria's involvement in the EU-Turkey Customs Union and corporate and personal income taxes' being at the rate of 10%. As a result of this the country offers opportunities both for investment and penetration to the EU market. By August 2020, the number of Turkish capitalized Bulgarian companies registered to the Bulgarian Chamber of Commerce and Industry were 2.244, a great majority of which operated actively, while the number of registered representative offices of Turkish companies were 990. Accordingly Turkey also has a employer status for Bulgarian citizens. In this sense a great number of major Turkish investors have made investment around €2.5 billion so far particularly in automotive, glass, aluminium processing industries, construction, health and energy sectors (Dükkancı, 2019). Both Bulgaria and Turkey intend to develop economic relations within the frame of "win-win" approach. Considering in terms of economy both parties envisage to develop cooperation on strategic fields as energy, transportation, water etc. However there is a great potential particularly in the fields of natural gas and electric energy (Turkish Embassy Office of the Commercial Counsellor in Bulgaria, 2019: 82).

4.1. Electric Energy

Bulgaria is the leading electricity exporter in Southeast Europe (the Balkans) and the 8th largest electricity exporter of EU, which also has a potential to further export electrical energy by utilizing renewables more efficiently. That's why it has a crucial role in energy balance on the Balkans. Accordingly energy sector of the country is based on electricity generation. Electrical energy is produced in local nuclear, thermal and hydroelectric power plants. It also plays an important role in economic development of the country and enables to export electricity in regional plan.

Bulgaria's electricity has importance for Turkey as well. The country is the main electricity supplier of Turkey (See Table 3), which has also the third largest share in Turkey's electricity exportation.

Table 3: Electricity Trade of Turkey by Countries (%)

Year	Country	Import	Export
2019	Bulgaria	88,66	4,34
	Georgia	11,17	
	Greece	0,17	95,66
2018	Bulgaria	83,29	5,29
	Georgia	16,27	
	Greece	0,44	94,71
2017	Bulgaria	76,02	3,03
	Georgia	18,08	
	Iran	5,88	-
	Greece	0,02	96,97
2016	Bulgaria	71,90	0,26
	Georgia	17,16	
	Iran	9,87	
	Syria	-	
	Greece	1,06	99,74

Source: Republic of Turkey Energy Market Regulatory Authority (2020: 47-48).

4.2. Natural Gas

As is known to all Turkey, which neighbours with Bulgaria is characterized as a “natural bridge” connecting Europe with Asia in every aspect including energy. Accordingly the country’s unique location turned it into a transit country at the moment between main suppliers and consumers which further contributes its ambition to become an energy hub. Especially after the government’s broad-visions strategies and huge investments in this direction by making use of endowed location, Turkey also strengthened its position at global energy arena. In this context TurkStream and Trans-Anatolian Natural Gas Pipelines which have begun to operate recently, have come into prominence. These two pipelines, enabling to deliver Russian and the Caspian natural gas to Europe also contributed to supply security and diversification in the region.

On the other hand Bulgaria also has a geostrategic location that makes it an important potential hub for distribution and transition of natural gas to Europe and the Balkans particularly from Russia and, perhaps from the Caspian Basin via the Trans Adriatic Pipeline (TAP) through Turkey in the near future.

In this direction, while TAP Project was expected to operate in October 2020, Russia has already sent 1 billion m³ of natural gas via TurkStream in January (2020). In this context 54% of that amount was delivered to Turkey and remaining 46% was sent to the Bulgaria-Turkey borders (Bloomberg HT, 2020).

Apart from that it’s worthy to note that the Lozenets-Nedlyasko Natural Gas Pipeline connecting Bulgaria with Turkey, was completed in August 2018 which was built in order to increase the Trans-Balkan pipeline’s capacity from 14 billion m³ to 15.75 billion m³ per year as well as to enable natural gas export to Europe. By virtue of the pipeline the line between Turkey and Bulgaria was merged. Accordingly the pipeline of which length is 20 kilometers, provides reverse flows between the two countries. Turkey which has increased its sphere of influence by TANAP and TurkStream, and Bulgaria which has already started to receive gas via the second line of TurkStream, attach importance to this pipeline in terms of supply security (Özgıda-İş Food Workers’ Union, 2018).

It’s also necessary to remind that Turkey discovered natural gas reserve in the Black Sea in August 2020, which was estimated to hold 320 billion m³ of natural gas. The government in this context announced that new discoveries in nearby areas of the Black Sea were very likely according to seismic datas and Turkey planned to further maintain its deep-sea drilling works. Taking Turkey’s natural gas consumption into account in 2019 for instance, the current discovered gas can meet the country’s domestic demand for 6.5 years, more or less. In this context Turkey initially prefers and aims to provide that natural gas for public use in 2023. On the other hand considering it’s foreign dependency rate of 99,16%, the discovered gas will reduce the country’s reliance on imports to some extent. In this way this amount of gas can make Turkey a producer to a certain degree and, with the new reserves likely to be discovered, the country even can become an exporter. In this case littoral states at the first stage, more particularly Romania, Bulgaria and Ukraine may be interested in buying gas from Turkey. As noted above, line between Turkey and Bulgaria has already been merged. Generally, all these countries are heavily reliant on natural gas imports. In this sense a regional forum might be established with littoral states in the future, when tangible datas on new gas reserves and their capacities are acquired for a possible market process and natural gas trade. Establishment of such a forum might provide benefits for all Black Sea countries in terms of foreign trade, additional supply source, supply security, regional cooperation etc.

4.3. Tourism

Tourism which has assumed as one of the most important macro variables in international economic relations and has been considered as one of the main contributor in meeting current account deficit has become a political economic concept over the last two decades. That’s why tourism is an important fact effecting a lot of parameters from foreign policy to social policies.

In this context as partner countries both Bulgaria and Turkey give particular importance to tourism for national development as well as to further develop bilateral relations. As already stated, both parties were signed a cooperation agreement on tourism in 1997.

Generally, tourism sector is quite developed in both Turkey and Bulgaria. And it is also a very important source of revenue for both countries’ national economies. In this sense Turkey was the 6th most visited country in 2019 which was also the 16th largest country and 14th fastest nation in the world with total contribution of tourism to GDP (US\$ 85 billion) in 2019. Within this framework tourism represented 11.3% of total Turkish economy, which also grew 10.1% in 2019. According to experts, the country showed a strong performance supported by security improvements, important infrastructure, accomodation and transportation investments,

including recently opened Istanbul Airport and fluctuations in exchange rates considering over the last five years.

Although tourism sector in Bulgaria had a remarkable slice by 10.8% in national economy, it shrank by 2.5% in 2019 contrary to Turkey, due to Russian tourists' tending to Turkey again and return of rival countries to the market including Egypt and Tunisia. Yet it's necessary to highlight that Bulgaria has an important potential in both summer and winter tourism with the Black Sea coast, cultural heritage, mountains, hot springs, vast plains, rivers, lakes and caves.

Regarding number of visitors, a great number of tourists were attracted by Bulgaria and Turkey in 2019. Within this framework total number of tourists visited Turkey were 51.7 million, while 12.5 million tourists visited Bulgaria in 2019. Bulgaria had the third largest number of tourists who visited Turkey in 2019 by 9.7%, after Russia and Germany (See Table 4), however the country jumped to the 2nd place in the first seven months of 2020. On the other hand Turkey was the second tourist generating country by almost 13%.

Table 4: Top Numbers of Tourists Visited Bulgaria and Turkey by Country in 2019

Name of Country	Tourists by Country	Number of Tourists	% of Total Number of Tourists*
Turkey	Russia	7 017 657	13.5%
	Germany	5 027 472	9.7%
	Bulgaria	2 713 464	5.2%
	The UK	2 562 064	4.9%
	Iran	2 102 890	4.0%
	Total	51 747 000	100%
Bulgaria	Romania	2 161 004	17.2%
	Turkey	1 628 231	12.9%
	Greece	1 277 610	10.1%
	Germany	948 492	7.5%
	Serbia	679 336	5.4%
	Total	12 552 152	100%

*Note: Percentages were calculated by author

Source: Republic of Turkey Ministry of Culture and Tourism (2019: 4), Republic of Bulgaria National Statistical Institute (2020)

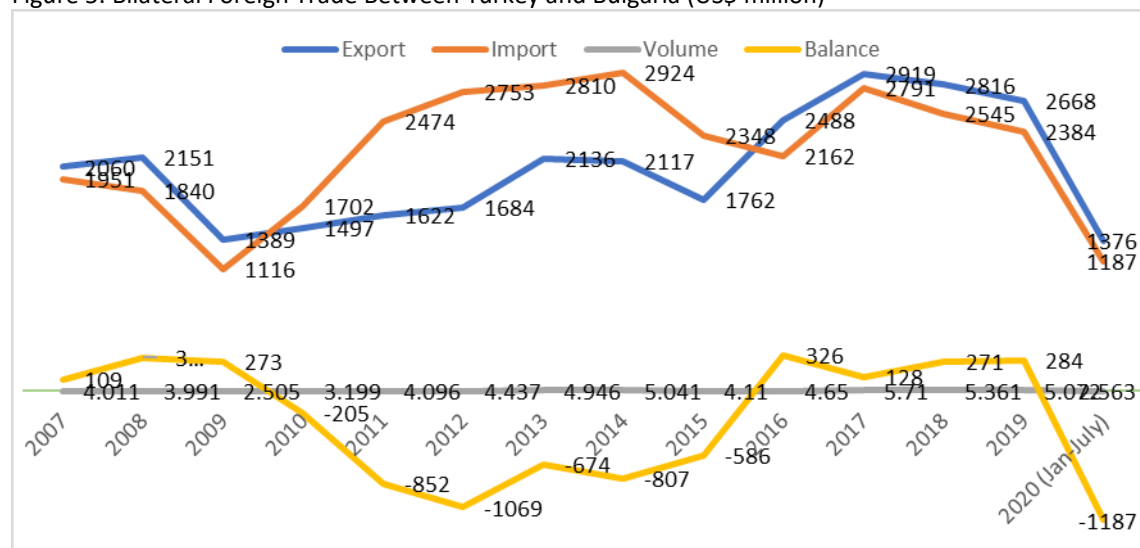
5. FOREIGN TRADE BETWEEN TURKEY AND BULGARIA

As already stated, there is a comprehensive foreign trade relationship between Turkey and Bulgaria at the present time. While Bulgaria is located on logistic corridor of Europe and the Balkans, Turkey considers the country as a strategic gate opening to EU markets. Bilateral trade between the parties was carried out until 2006 within the scope of the Free Trade Agreement, signed by the parties in 1998 (See Table 1). However after Bulgaria's EU membership in 2007, foreign trade began to be performed within the frame of the EU-Turkey Customs Union, which entered into force in 1995.

Taking the recent history of bilateral trade into account, annual average of volume of foreign trade grew about 26% between the years of 2002-2007. Turkey's share in total foreign trade of Bulgaria achieved a steady growth, which also became the largest export market of Bulgaria in this period. In this context Turkey's share was more than 10% in total exportation of Bulgaria and bilateral trade of the countries remained stable (Turkish Embassy Office of the Commercial Counsellor in Bulgaria, 2019: 83).

However with the impact of the Global Recession total volume of foreign trade declined 10% on yearly basis in 2008, and dropped by 37% in 2009 (See Figure 5 and Table 5). The highest level of trading volume which reached US\$ 4,01 billion in 2007, could be surpassed only by a small difference in 2011 with US\$ 4,09 billion. However it tended to recover in 2012 by US\$ 4,37 billion.

Figure 5: Bilateral Foreign Trade Between Turkey and Bulgaria (US\$ million)



Source: TurkStat (2020), Bursa Chamber of Commerce and Industry (2019: 10).

Table 5: Bilateral Foreign Trade Between Turkey and Bulgaria (US\$ million)

Year	Export	Share of Bulgaria in total Export (%)*	Import	Share of Bulgaria in Total Import (%)*	Volume	Balance
2007	2060	1,92	1951	1,14	4,011	109
2008	2151	1,62	1840	0,91	3,991	311
2009	1389	1,35	1116	0,79	2,505	273
2010	1497	1,31	1702	0,91	3,199	-205
2011	1622	1,20	2474	1,02	4,096	-852
2012	1684	1,10	2753	1,16	4,437	-1069
2013	2136	1,32	2810	1,07	4,946	-674
2014	2117	1,27	2924	1,16	5,041	-807
2015	1762	1,16	2348	1,09	4,110	-586
2016	2488	1,66	2162	1,06	4,650	326
2017	2919	1,77	2791	1,16	5,710	128
2018	2816	1,58	2545	1,10	5,361	271
2019	2668	1,47	2384	1,13	5,072	284
2019 (Jan-July)	1593	1,52	1390	1,14	2,983	203
2020 (Jan-July)	1376	1,52	1187	1,01	2,563	-1187

*Note: Shares were calculated by author.

Source: TurkStat (2020), Bursa Chamber of Commerce and Industry (2019: 10).

However bilateral trade took shape against Turkey simultaneously with the recovery process between 2010 and 2015, when Turkey started to have foreign trade deficit. In this sense annual average rate of imports from Bulgaria to Turkey grew 6,6%, and growth of Turkey's exports remained at the rate of 3,3%. As a result of this Turkey's annual trade deficit for 5 years averaged 838,6 US\$ million. In other words Bulgaria which had deficit around US\$ 237 million in 2009, when foreign trade showed a significant fall, it had trade surplus by US\$ 586 million in 2015 during the recovery. However growth trend reversed between 2015 and 2019.

In this sense annual growth rate of Turkey's exportation to Bulgaria averaged at 10,9% by dint of positive movements in volumes between 2017 and 2019, while average imports of Bulgaria grew about 0,3% annually. So, Bulgaria's exports to Turkey showed a lower performance than importation from Turkey between the years

of 2015 and 2019 compared to the 2010-2015 period¹. In the light of these developments Bulgaria’s trade surplus with Turkey narrowed by 75,1% between 2015 and 2018, which maintained to decline in 2019 as well (Turkish Embassy Office of the Commercial Counsellor in Bulgaria, 2019: 84).

It’s also worthy to note that bilateral trade showed a gradual development between 2015 and 2019 of which average growth rate was 4,29 % annually. In this sense foreign trade volume of Turkey and Bulgaria jumped to US\$ 5,710 billion in 2017 from US\$ 4,110 billion in 2015. However annual average of bilateral foreign trade volume dropped by 5,7% between 2017 and 2019, although both countries achieved to maintain trade volume above US\$ 5 billion in 2019.

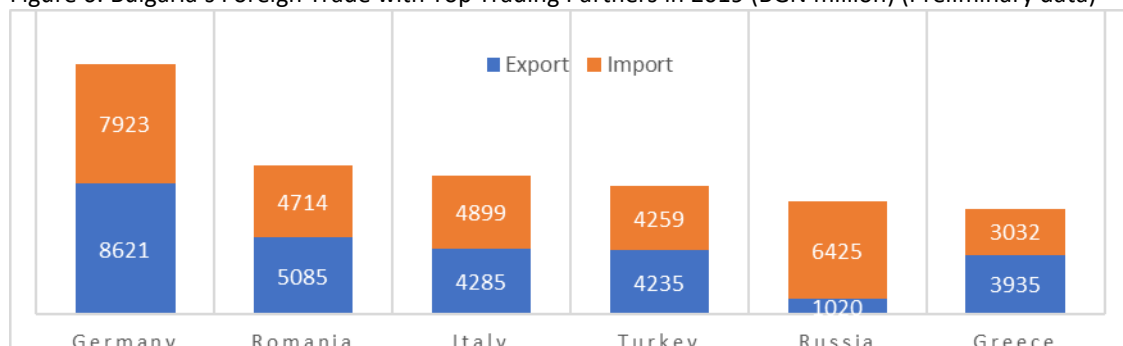
On the other hand according to recent data of the Turkish Statistical Institute, bilateral trade volume of Turkey and Bulgaria was US\$ 2,563 billion in the first seven months of 2020, which contracted by 14% due to negative impacts of the COVID-19 pandemic, compared to the same period of the previous year. In this context Turkey’s exports to Bulgaria dropped by 13,6% while imports fell by 14,6% parallel to declining demand. Within this period foreign trade on the side of Turkey was also affected negatively and Turkish trade surplus narrowed significantly compared to the same period of 2019. If this trend remains, bilateral trade is expected to develop against Turkey.

Regarding to partnership, Bulgaria was the 19th largest export partner and 22nd largest import partner of Turkey in 2019. However the country’s share in Turkey’s total foreign trade was 1,29% in 2019 and 1,32% in the first seven months of 2020 respectively. When the country’s share in total foreign trade of Turkey is taken into consideration generally, it remains around 1,3%. However between 2016 and 2019, when foreign trade volumes increased and Turkey began to have surplus, Bulgaria’s share in Turkey’s exports grew to a certain extent, in contrast with imports that remained at the same level with minor differences (See Table 5).

Contrary to this Turkey has a more significant share in Bulgaria’s foreign trade (See Figure 6). According to the recent preliminary datas of the Bulgarian National Statistical Institute, Turkey maintained to be among Bulgaria’s top trading partners in 2019 as well. In this sense the country was the 4th largest trade partner of Bulgaria after Germany, Romania and Italy, which was also the 4th major export market (Germany, Romania and Italy) and the 5th largest import source (Germany, Russia, Italy and Romania) in 2019. In this context Turkey’s share in Bulgaria’s foreign trade was 6,87%, while it had a share of 7,25% in country’s total exports and 6,53% in total imports.

It’s worthy note here that Russia is also among leading trade partners of Bulgaria. However Bulgaria has a more significant trade deficit in foreign trade with Russia than other countries due to large volume of energy imports.

Figure 6: Bulgaria’s Foreign Trade with Top Trading Partners in 2019 (BGN million) (Preliminary data)



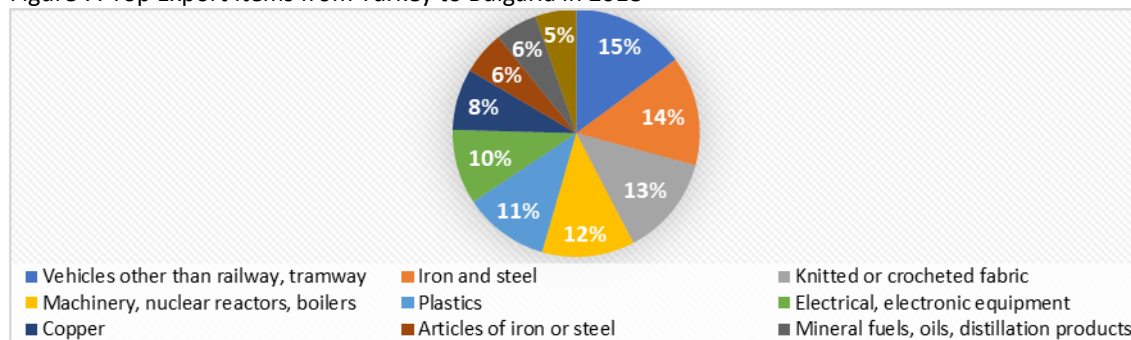
Source: Republic of Bulgaria National Statistical Institute (2020).

On the other hand bilateral foreign trade of Turkey and Bulgaria generally consists of industrial goods (See Figure 7 and Figure 8). In this sense motor land vehicles, iron and steel, knitted fabric, electrical machines and equipment, other machinery, plastic and copper ores were leading products that Turkey exported to Bulgaria in 2018. These items generated around 80% of Bulgaria’s total primary import items from Turkey.

¹ Growth rates for imports and exports for the given periods were calculated with the following formula: $[(\text{final value}/\text{start value})^{1/\text{year}-1}] * 100$.

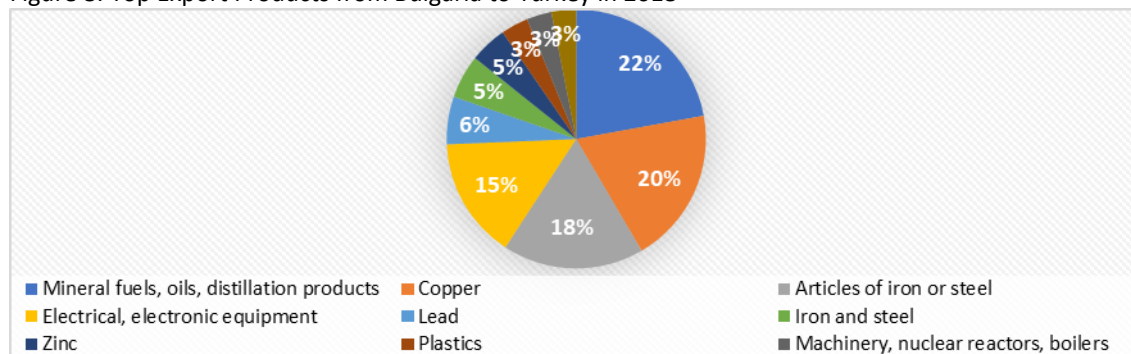
In addition to this, mineral fuels and oils, copper ores, iron and steel, electrical machines and equipment were among leading export products of Bulgaria to Turkey in 2018, excluding electricity that Turkey imported.

Figure 7: Top Export Items from Turkey to Bulgaria in 2018



Source: Trading Economics (2020).

Figure 8: Top Export Products from Bulgaria to Turkey in 2018



Source: Trading Economics (2020).

Generally it was observed that economic relations between the countries were at the highest level in recent years, excluding the year of 2020 considering bilateral foreign trade. However foreign trade of the two countries could have reached to higher volume with the contributions of Turkey's exports to Bulgaria. In this sense size of the Bulgarian market, relatively low purchasing power of Bulgarian citizens, difficulties faced by domestic importers in getting loans and ease of trading for Bulgarian citizens with EU members due to free movement of goods, services, people and capital were several reasons, preventing to discover the real trade potential between the two neighbouring states.

5.1. Agriculture

As already stated foreign trade between Turkey and Bulgaria has been performed within the frame of the EU-Turkey Customs Union (EUCU) since 2007. In this context the EUCU removes the customs tariffs and quotas and sets up a common external tariff for trade in goods including all industrial products and processed agricultural products, however it excludes raw agricultural products. That's why primary trade items of Bulgaria and Turkey were mostly based on industrial goods.

Since the EUCU doesn't include agricultural products, their exportation from Turkey to Bulgaria, or transit through Bulgaria rise difficulties in terms of regularity. This situation affects negatively the development of foreign trade between Turkey and Bulgaria in agricultural products.

Within the frame of agricultural sector it's also worthy to note that, share of agricultural productivity is lower in GDP of developed countries, which also gradually declines by years resulting from increasing activities in industrial and services sector. This situation has developed similarly in Bulgaria and Turkey as well. In this sense agricultural sector's share in Turkish economy was 8,13% in 2009, which fell by 6,43% in 2019 and, its share in GDP of Bulgarian economy was 4,24% which shrank by 3,19% in 2019 according to recent datas of Statista.

Despite its declining share in both economies, it has a significant impact on industrial sector and other sectors and, it will always be an irreplaceable sector for both countries in terms of employment and meeting the fundamental needs of their citizens, including nutrition, dressing or heating. Both countries' agricultural production has a very important potential by means of favourable geographic and climate structure and the sector in both countries are driven by EU funds and state subsidies along with important reforms made by governments. However there are common structural problems affecting the countries' agricultural sector negatively. Some of these problems are climate change, aging agricultural labor population, rural-to-urban migration, insufficient physical infrastructure and mechanization, problems related to land ownership, lack of access to finance, lack of qualified personnel, etc. In this sense problem-oriented technical and financial policies and strategies can be implemented for further productivity and improvement of the countries' agricultural sector, including proper integration of producers into finance, preparation of scientific reports in cooperation with national and international specialists in order to analyse current and future status of the sector and to estimate possible climate changes in agricultural regions of the countries and its possible impacts on products and producers, renovation of technical infrastructure within the frame of digitalization, promotion of young population to agricultural sector and establishment of agricultural institutons, institutes or universities in this direction and land arrangements etc.

Specific to country, agricultural sector has a strategic role in foreign trade of Turkey. Within this framework it is one of important sectors that helps to narrow Turkey's foreign trade deficit by having surplus in Turkey's total foreign trade in parallel with its increasing share in GDP of Turkish economy (See Table 6). In this context trade volume of agricultural products was US\$ 33,7 billion in 2018, which reached US\$ 34,4 billion with a growth of 2,6% by means of increased exports and imports in 2019. In this direction Turkey's exports and imports of these products increased by 2,26% and 1,6% respectively in 2019 compared to the previous year. In the light of these developments share of agricultural products in total foreign trade of Turkey also slightly grew in 2019, as it was seen in Table 6.

Table 6: Agricultural Sector's Share in Total Foreign Trade of Turkey in 2018 and 2019*

	2018			2019		
	Total Foreign Trade (US\$ million)	Agriculture (US\$ million)	Share of Agriculture (%)	Total Foreign Trade (US\$ million)	Agriculture (US\$ million)	Share of Agriculture (%)
Exports	177,168	19,276	10,8	180,832	19,725	10,90 (~11)
Imports	231,152	14,444	6,24	210,345	14,687	6,98 (~7)
Trade Volume	408,321	33,720	8,25	391,177	34,413	8,79(~8,8)
Balance	-53,983	4,832	-	-29,512	5,038	-

*Note: Shares were calculated by author.

Source: Turkish Statistical Institute (2020).

Regarding Bulgaria, the country's situation is similar with Turkey in terms of trade surplus. Trade of agricultural products has a quite crucial role in narrowing foreign trade deficit of the country (See Table 7). However, agricultural products in total foreign trade pie of Bulgaria have a bigger slice contrary to Turkey. But it's also worthy to note that Turkey is a larger country than Bulgaria either in terms of economic size and labour force or land area and population. Accordingly it's very predictable that Turkey's foreign trade (including agricultural foreign trade) representing over 60% of its GDP, is carried out in higher volumes.

Table 7: Agricultural Sector's Share in Total Foreign Trade of Bulgaria in 2017 and 2018

	2017			2018		
	Total Foreign Trade (€ million)	Agriculture (€ million)	Share of Agriculture (%)	Total Foreign Trade (€ million)	Agriculture (€ million)	Share of Agriculture (%)

Exports	27,915	4,171	14,94 (~15)	28,647	4,308	15,0
Imports	30,285	3,143	10,37	32,147	3,256	10,12
Trade Volume	58,201	7,314	12,56	60,795	7,565	12,44
Balance	-2,369	1,028	-	-3,499	1,052	-

Source: Republic of Bulgaria Ministry of Agriculture, Food and Forestry (2019: 61).

On the other hand when bilateral agricultural trade of Turkey and Bulgaria was taken into account, it was observed that Turkey had foreign trade deficit (See Table 8). However the country narrowed its trade deficit by 58% in 2018 compared to 2017. Contracted exports of Bulgaria in parallel with increased imports from Turkey paved the way for this situation. Contrary to that, bilateral agricultural trade volume showed a slight growth by 1% in 2018.

Table 8: Bulgaria's Agricultural Trade with Turkey in 2017 and 2018 (€ thousand)

Year	Export	Turkey's share in Total Export (%)	Import	Turkey's Share in Total Import (%)	Volume	Turkey's Share in Total Volume (%)	Balance
2017	266,841	6,39	111,269	3,54	378,110	3,8	155,572
2018	223,779	5,19	158,428	4,86	382,207	5,05	65,351

Source: Republic of Bulgaria Ministry of Agriculture, Food and Forestry (2019: 65).

Within this framework it's also worthy to remind that Turkey's general share in total foreign agricultural trade of Bulgaria grew in 2018 to a certain extent (See Table 8). But as already stated, these figures don't reflect the foreign trade volume of the two neighbouring countries. In this sense the "actual" bilateral foreign trade potential, particularly on Turkey's side especially in terms of agricultural products can't be evaluated sufficiently considering Turkey's import volumes in total foreign trade and foreign trade of agricultural products and the geographic proximity between Bulgaria and Turkey. Namely, Turkey's export capacity is quite higher than Bulgaria's import potential in almost all product lines. In other words being the 25th largest export economy of the world, Turkey has a great potential to meet a large proportion of Bulgaria's importation of agricultural products. On the other hand Bulgaria's share in Turkey's agricultural exports was only 0,96% in 2018, and the country became one of diminishing export markets of Turkey in 2019. Bulgaria as a full member of EU, benefits from favourable conditions provided by single market of EU in agricultural foreign trade. That's why more than one third of agricultural imports of Bulgaria was performed by EU members. In other words EU's share in total agricultural import of Bulgaria was 79% in 2018. Customs duties applied in agricultural products imported from Turkey, quotas and other conditions brought by the EU legislation affect Turkey negatively in terms of both bilateral agricultural trade and total foreign trade with Bulgaria. That's why it's quite necessary to set the conformity assessment documents and certificates in accordance with procedures in order to further increase total foreign trade volume and to increase foreign agricultural trade.

Finally, it's also necessary to highlight that, the Bulgarian import market offers great opportunities for Turkey in numerous product groups in agricultural, food and beverages sectors, which Turkey already has exported to the world in high numbers. However especially the reliance of food and beverages sectors on agriculture shouldn't be ignored. In this sense cocoa products, alcoholic and non-alcoholic beverages, biscuits, fresh, canned and frozen fruits and vegetables, fresh, chilled and frozen fish, crustaceans and molluscs, animals and vegetable fats and oils, fruit juices, nuts, legumes are among primary sectors, which also have potential in Turkey's exports to Bulgaria.

As noted above Turkey exports a considerable amount of products from these sectors to the world, however its export share is quite small or it gradually declines in Bulgaria's total importation. In this context Turkey's exports of frozen, fresh and chilled fish, fresh and chilled vegetables, legumes, fresh and dried citrus fruits, chemically unmodified sunflower, safflower and cotton seeds, fruit juices, canned vegetables and chocolate and other food preparations containing cocoa significantly declined in Bulgaria's imports in 2019. However, average tariff rates of these products were quite low to a certain extent (mostly averaged between 0%-0,9%), excluding fruit juices, cocoa and chocolate products and citrus fruits. Contrary to relatively low tariff rates, there was observed a remarkable situation in fresh and chilled tomato exportation of Turkey to Bulgaria.

Turkey was Bulgaria's top tomato importer by 67,6% in 2019, however, it had the highest rate of tariffs that averaged 15,9%. For instance, Albania, a non-EU nation, which was the 4th largest exporter of tomatoes to Bulgaria didn't pay tariffs in 2019. The similar situation was seen in Turkey's exports of biscuits, pastries and cakes in 2019. In this sense Turkey's total exportation of these products to the world was valued over US\$ 1 billion, which was also the second highest amount in total exportation of potential products. However its share in Bulgaria's import remained at 3,2%, mostly caused by tariff rates. Because Turkey's top export rivals of these products were EU members, which created a risk in terms of increasing share. On the other hand, Turkey's nuts exportation had the highest value in 2019 which accounted over US\$ 1,5 billion by means of fertile soils. However its share was only 1,1% in Bulgaria's total imports. While Turkey was the 4th largest nuts exporter to Bulgaria, its main rivals were the US, Greece, Ukraine and Germany. The US had the highest tariff rate by 2,3%, and Turkey paid only 0,6%. This situation gives Turkey a chance to increase its market share through its geographic proximity, production and export capacity.

So it's possible to state that Bulgaria's strong import demand from EU nations due to free movement of goods, easier access to suppliers, lower costs arising from the Union's single market policy leading to decline of Turkey's market share, and high tariffs and costs seem some of important risks preventing further exportation of Turkey to Bulgaria. On the other hand Turkey's geographic proximity, its product range and export capacity give opportunities to both economies especially in terms of enhancing the capacities of bilateral trade volume and market competitiveness. This situation will also make a major contribution to the countries' economies. That's why both Turkey and Bulgaria should focus on lacks in development of foreign trade and give weight to make necessary regulations for certificates and other documents and to further decline tariffs and other costs that might help to increase foreign trade and other relations related to economy.

6. CONCLUSION

Bilateral foreign relations between Turkey and Bulgaria gained momentum after cooperation agreements in strategic fields including, economy, investment, tourism, energy, infrastructure and transportation, which were also brought to a new dimension with the establishment of the High-Level Cooperation Council. Deep historical and socio-cultural links along with common borders, similar political approaches, active regional cooperation and supports at international arena will further strengthen the two countries' strategic partnership.

Although both economies drew a promising picture in terms of growth until 2019, Turkish economy had an unstable expansion compared to Bulgarian economy, considering the last three years, with the impacts of increasing unemployment and inflation together with fluctuations on exchange rates arose from speculative currency attacks. However both economies are expected to suffer from the negative impacts of the COVID-19 pandemic in 2020 in parallel with slowing global economy and shortage in global foreign trade and to recovery gradually in 2021.

Tourism, energy and foreign trade are prominent fields when bilateral economic relations are examined. While tourism partnership of Turkey and Bulgaria is quite developed according to number of visitors, energy and foreign trade have important potential in terms of contribution to the countries' economies.

Within this framework, Turkey has recently discovered a considerable amount of natural gas as already noted. In case of new explorations in higher volumes, Turkey might become an exporter. In such a case, littoral states of the Black Sea, including Bulgaria, which are geographically closed to Turkey and heavily reliant on foreign sources, might be interested in importation from Turkey at the first stage.

Apart from that, both countries give a particular importance to bilateral foreign trade. While Turkey is a natural bridge between Europe, Asia and the Middle East, Bulgaria is a gate opening to the Balkans and EU. Accordingly these countries complete each other geographically in terms of trade routes and both Bulgaria and Turkey are aware of this advantage.

Bilateral foreign trade has significantly increased, which also has developed in favour of Turkey in the recent years. However, the existing trade volume don't reflect the real capacity of the two neighbouring states. Agricultural sector "takes the center stage" in this context. Because Turkey's share in Bulgaria's total agricultural trade is quite low and agricultural foreign trade with Bulgaria develops against Turkey in terms of foreign trade coverage, although Turkey is named as "the country of agriculture" by means of large lands,

fertile soils, proper climate and unique location surrounded by three seas. This situation results from the scope of the EUCU and Turkey's current candidate status in EU. Since the EUCU doesn't cover agricultural products, Turkey's exports to Bulgaria rise difficulties in regularity and tariffs. On the other hand Bulgaria mostly carries out agricultural foreign trade with member states due to the Union's single market opportunity to member nations. That's why all these factors prevent to increase Turkey's share in Bulgaria's agricultural import market and the volume of bilateral foreign trade.

Turkey's geographic proximity, its product range and export capacity give opportunities to both economies especially in terms of enhancing bilateral trade and market competitiveness. This situation will also make a major contribution to the countries' economies and further strengthen economic ties. That's why both Turkey and Bulgaria should focus on lacks in development of foreign trade and give weight to make necessary regulations for certificates and other documents and to further decline tariffs and other costs that might help to increase foreign trade and other fields related to economy.

7. REFERENCES

- Bloomberg HT. (2020). TürkAkım üzerinden ilk 1 milyar metreküp gaz sevkedildi. Retrieved from: <https://www.bloomberght.com/turkakim-uzerinden-ilk-1-milyar-metrekup-gaz-sevk-edildi-2245072> (accessed August 30, 2020).
- Bulgaristan-Türkiye İlişkileri. (26 June 2020). In Wikipedia. Retrieved July 5, 2020, from https://tr.wikipedia.org/wiki/Bulgaristan-T%C3%BCrkiye_ili%C5%9Fkileri
- Bursa Chamber of Commerce and Industry (2019). Bulgaristan Sektör Raporu. Retrieved from: <http://www.salihlitso.org.tr/uploaded/dosyalar/BULGAR%C4%B0STAN.pdf> (accessed September 1, 2020).
- Central Intelligence Agency. (2020). The World Factbook. Retrieved from: <https://www.cia.gov/library/publications/the-world-factbook/fields/400.html> (accessed July 28, 2020).
- Dükkançacı S. (2019, June 24). Bulgaristan-Türkiye Ekonomik İlişkileri. Retrieved from: <https://bnr.bg/tr/post/101136205> (accessed September 1, 2020).
- European Commission. (2020). Bulgaria-Turkey'IPA Cross-border Co-operation Programme 2007-2013. Retrieved from: https://ec.europa.eu/regional_policy/en/atlas/programmes/2007-2013/crossborder/bulgaria-turkey-ipa-cross-border-co-operation-programme-2007-2013 (accessed August 4, 2020).
- European Commission. (2020). Country Report Bulgaria-2020. Retrieved from: <https://eur-lex.europa.eu/legal-content/EN/TXT/PDF/?uri=CELEX:52020SC0501&from=EN> (accessed August 20, 2020).
- European Commission. (2020). IPA-CBC Bulgaria-Turkey. Retrieved from: https://ec.europa.eu/regional_policy/en/atlas/programmes/2014-2020/bulgaria/2014tc16i5cb005 (accessed August 4, 2020).
- European Commission. (2019). Turkey: Political and Economic Situation. Retrieved from: https://eacea.ec.europa.eu/national-policies/eurydice/content/political-and-economic-situation-103_en (accessed August 28, 2020).
- Findley J. (2019, July 7). The Ethnic Groups of Turkey. World Atlas. Retrieved from: <https://www.worldatlas.com/articles/the-ethnic-groups-of-turkey.html> (accessed July 28, 2020).
- Gribincea, A., Kaya, S., Kara, B. (2015). Turkey and Romania- a promising partnership. Economics&Economy, 3(6), 73-86. Retrieved from: http://www.economicsandconomy.me/sites/economicsandconomy.me/files/5._kaya.pdf (accessed August 20, 2020).
- International Monetary Fund. (2020). World Economic Outlook (April 2020). Retrieved from: <https://www.imf.org/external/datamapper/datasets/WEO> (accessed August 18, 2020).
- Interreg IPA-CBC Bulgaria-Turkey. (2020). Genel Bilgiler. Retrieved from: <http://www.ipacbc-bgtr.eu/tr/genel-bilgiler> (accessed August 1, 2020).
- Kara, B., Gribincea, A., Coreachin, S., (2020). EU-Turkey Gas Unity: Opportunities and Constraints for Turkey to Become a Gas Hub. EcoSoEn Scientific Journal Economics, Social and Engineering Sciences, 1(2), 88-97. ISSN: 2587-344X
- Özğıda- iş Food Workers' Union. (2018). Türkiye ile Bulgaristan arasındaki Lozenets-Nedyalsko Boru Hattı açıldı. Retrieved from: <https://www.ozgidais.org.tr/haber/1180/turkiye-ile-bulgaristan-arasindaki-lozenets-nedyalsko-boru-hatti-acildi> (accessed August 31, 2020).
- Palabıyık D.Ç., Zengin D., Ünal A.Y., Çakır M.Ö.. (2019, December 18). Ekonomide 2019 böyle geçti. Anadolu Agency. Retrieved from: <https://www.aa.com.tr/tr/ekonomi/ekonomide-2019-boyle-gecti/1676870#:~:text=Ge%C3%A7en%20y%C4%B1l%C4%B1n%20son%20%C3%A7eyre%C4%9Finde%20y%C3%BCzde,ile%20yeniden%20b%C3%BCy%C3%BCme%20patikas%C4%B1na%20girdi.&text=Bu%20sayede%20ekonomik%20aktivitede%202019%20y%C4%B1l%C4%B1n%20ilk%20yar%C4%B1s%C4%B1nda%20%C4%B1l%C4%B1ml%C4%B1%20bir%20toparlanma%20ger%C3%A7ekle%C5%9Fti>. (accessed September 1, 2020).
- Republic of Bulgaria Ministry of Agriculture, Food and Forestry. (2019). Agricultural Report- 2019. Retrieved from: https://www.mzh.government.bg/media/filer_public/2020/02/11/agrarian_report_2019.pdf (accessed September 5, 2020).

- Republic of Bulgaria National Statistical Institute. (2020). Arrivals of visitors from abroad to Bulgaria by months and by country of origin. Retrieved from: <https://www.nsi.bg/en/content/7058/arrivals-visitors-abroad-bulgaria-months-and-country-origin> (accessed September 2, 2020).
- Republic of Bulgaria National Statistical Institute. (2020). Exports, imports and trade by groups of countries and main partner countries of Bulgaria in 2017 and 2018. Retrieved from: <https://www.nsi.bg/en/content/7991/main-trade-partners> (accessed September 3, 2020).
- Republic of Turkey Energy Market Regulatory Authority. (2020). Electricity Market Development Report 2019. Retrieved from: <https://www.epdk.gov.tr/Detay/Icerik/3-0-24/elektriklilik-sektor-raporu> (accessed August 30, 2020).
- Republic of Turkey Ministry of Culture and Tourism. (2019). Turizm İstatistikleri. Retrieved from: <https://yigm.ktb.gov.tr/Eklenti/69320,turizmistatistikleri2019-4pdf.pdf?0> (accessed September 2, 2020).
- Republic of Turkey Ministry of Foreign Affairs. (2020). 2020 Yılına Girerken Girişimci ve İnsani Dış Politikamız. Retrieved from: http://www.mfa.gov.tr/site_media/html/2020-yilina-girerken-girisimci-ve-insani-dis-politikamiz.pdf (accessed August 3, 2020).
- Republic of Turkey Ministry of Treasury and Finance. (2019). Yıllık Ekonomi Raporu 2018. Retrieved from: <https://ms.hmb.gov.tr/uploads/2018/10/YILLIK-EKONOM%C4%B0K-RAPOR-2018-e.pdf> (accessed August 30, 2020).
- Republic of Turkey Presidency of Strategy and Budget. (2019). Yeni Ekonomi Programı 2020-2022. Retrieved from: http://www.sbb.gov.tr/wp-content/uploads/2019/10/YeniEkonomiProgrami_OVP_2020-2022.pdf (accessed August 30, 2020).
- Trading Economics. (2020). Bulgaria exports to Turkey. Retrieved from: <https://tradingeconomics.com/bulgaria/exports/turkey> (accessed September 4, 2020).
- Trading Economics. (2020). Turkey exports to Bulgaria. Retrieved from: <https://tradingeconomics.com/turkey/exports/bulgaria> (accessed September 4, 2020).
- Turkish Embassy Office of the Commercial Counsellor in Bulgaria. (2019). Bulgaristan'ın Genel Ekonomik Durumu ve Türkiye ile Ekonomik-Ticari İlişkileri. Retrieved from: https://ticaret.gov.tr/data/5b8a43355c7495406a2276c0/2018_2019%20Bulgaristan%20Yillik%20Ulke%20Raporu.pdf (accessed August 31, 2020).
- Turkish Statistical Institute (2020). Dış ticaret istatistikleri. Retrieved from: http://tuik.gov.tr/PreTablo.do?alt_id=1046 (accessed September 1, 2020).
- World Bank. (2020). Bulgaria. Retrieved from: <https://data.worldbank.org/country/BG> (accessed August 25, 2020).
- World Bank. (2020). Fighting COVID-19 Spring 2020. Retrieved from: <https://openknowledge.worldbank.org/bitstream/handle/10986/33476/9781464815645.pdf> (accessed September 1, 2020).
- World Bank. (2020). Turkey. Retrieved from: <https://data.worldbank.org/country/TR> (accessed August 25, 2020).
- World Bank. (2020). Turkey: Country Overview. Retrieved from: <https://www.worldbank.org/en/country/turkey/overview#1> (accessed August 28, 2020).

The Problems Of Attracting Foreign Investment In The Economy Of The Republic Of Moldova

Aliona Balan¹

Liliana Cimpoieș²

¹ Ph.D., associate professor, Academy of Economic Studies of Moldova, balan.a@ase.md, ORCID:0000-0003-0094-7272

² Ph.D., associate professor, Academy of Economic Studies of Moldova, liliana.cimpoies@gmail.com, ORCID: 0000-0003-3709-9406

Abstract: Foreign investment has an undeniable impact on a country's economy, the chain of effects it creates affects both the production of goods and services and consumption, simultaneously motivating supply and demand. Foreign investment is the incentive that generates new economic activities and aims to obtain goods and services indispensable to a viable, prosperous economy. Promoting the appropriate policy by the recipient country towards foreign direct investment is an important and necessary component, as investment simply will not go where it is forbidden.

The actuality of the researched theme is determined by the need to amplify the investment process in the Republic of Moldova as a prerequisite for accelerating the economic development of the country, which is impossible to achieve without attracting foreign investment and improving investment policy in the Republic of Moldova. In the article we propose to analyze the trends of development of foreign investments in the Republic of Moldova, as well as the problems of attracting foreign investment in the economy of the Republic of Moldova. The results of the research are of major importance in outlining the landmarks regarding the improvement and promotion of the investment policy in the Republic of Moldova.

Keywords: foreign investment, growth, attracting foreign investment, problems, facilities.

1. INTRODUCTION

Increasing the well-being of the population is possible with the economic development of the country. A special role in this process is played by foreign investments, which generate several positive effects for the economy as a whole, as international practice shows.

Foreign investment is defined in the literature as that component of international flows that reflects the purpose of an entity resident in one country (the direct investor) to obtain an interest, in the short or long term, in a company resident in another country. (direct investment) [1 pp. 17-34].

Foreign investment, in Dumitru Slonovschi's approach, represents "an important real and financial flow in international economic relations, which is achieved in countries that recognize the property right of the foreign investor and offer certain facilities" [2 pp. 129-132].

Foreign investments produce positive effects on the process of economic development in the host country, both by traditional methods, related to the contribution to the capital stock and the increase of the investment return, as well as the results produced on the productivity of the destination economy. In addition, they can contribute to the creation of new jobs, to the development of the resources considered key in those economies and to the improvement of activity or revitalization of some regions. The particularly important role of foreign direct investment as a major factor in the development of emerging economies is also noted.

2. METHODS AND MATERIALS

During the research, the method of analysis of the literature in the researched field, the comparative method, scientific abstraction, etc. were used. Furthermore, the inductive method was used, with the help of which concrete facts were generalized whilst conclusions were analyzed, synthesized and formulated on the researched problem.

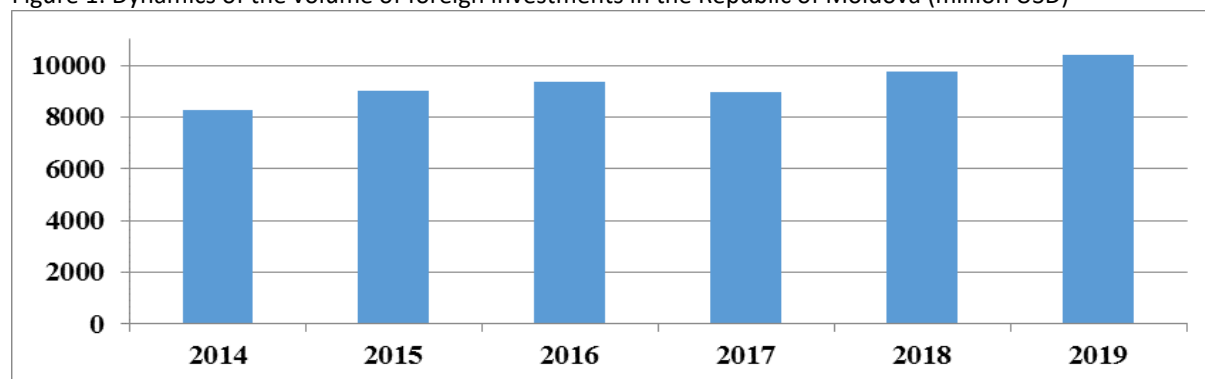
The informational support of the research is represented by the scientific publications at national level, as well as international studies, the reports elaborated by the National Bank of Moldova, the statistical data presented by the National Bureau of Statistics, other informational resources accessible on the Internet.

3. RESULTS OBTAINED AND DISCUSSIONS

The dynamics of foreign investments in the Republic of Moldova are presented in Figure 1. Foreign investments registered on 31.12.2019 a stock worth USD 10400.5 million, increasing by USD 658.3 million (+6.8%) compared to the end of 2018. This increase was due to the positive flow in the balance of payments (USD 694.37 million), price changes (USD 83.54 million) whilst the decrease is a result of fluctuations in interest rates. exchange of original currencies against the US dollar (-51.25 million USD) and other changes (-68.40 million USD).

The increase in foreign investment in the Republic of Moldova in 2019 was part of a general process of uneven growth, which has lasted since 2014 from USD 8248.4 million.

Figure 1: Dynamics of the volume of foreign investments in the Republic of Moldova (million USD)



Source: Elaborated by the author based on the source [10]

In terms of the business sector, foreign investors prefer to invest in fast-growing sectors. The largest foreign investments are directed to financial activities, manufacturing, wholesale and retail trade.

The distribution of direct investments in equity accumulated by economic activities is demonstrated in Table 1. The main areas of allocation of foreign direct investment were: financial activities, which in 2019 had a share (25.8%), manufacturing (21.7%). %, wholesale and retail trade (20.6%).

Table 1: Distribution of direct investments in accumulated equity by economic activities (%)

	2016	2017	2018	2019
Financial activities	29,9	24,7	25,2	25,8
Manufacturing industry	28,7	25,7	23,6	21,7
Wholesale and retail trade	14,4	16,9	16,1	20,6
Information and communications	11,0	9,0	8,7	8,0
Transport and storage	2,6	2,5	5,4	5,5
Real estate transactions	2,4	2,7	6,3	5,0
Production and supply of electricity and heat, gas, hot water and air conditioning	9,7	13,7	9,9	8,5
Other activities	1,3	4,8	4,8	4,9
Total	100,0	100,0	100,0	100,0

Source: Elaborated by the author based on the source [10]

At the same time, the Republic of Moldova failed to attract substantial foreign investment in agriculture, in the construction industry of agricultural machinery, branches that corresponded to the specialization of the national economy at the time of independence. These have contributed to changing the structure of the national economy, reducing the contribution of the agricultural sector to the formation of GDP (if in 1991 the agricultural sector contributed about 40% to the formation of the country's GDP, in 2019 - only 12.8%) [7].

In the Republic of Moldova there are a number of weaknesses and risks that represent a barrier to attracting foreign direct investment and investors.

In 2010, business people indicated the following disadvantages and risks in attracting foreign investment in the Republic of Moldova, a large part of which remains relevant to date [12]:

- political instability;
- the high degree of moral and physical depreciation of the fixed assets of the national economy sectors;
- insufficient development of the water, air and rail transport system, as well as of the highways;
- the ban on the acquisition of agricultural land by foreigners;
- poorly developed infrastructure in tourism;
- high cost of financing resources;
- poorly developed financial infrastructure and an incomplete range of financial instruments used.

Studies on the quality of the investment climate indicate the existence of serious barriers to investment, which is confirmed by the placement in international ratings.

In 2019, the experts of Moody's Agency assigned to the Republic of Moldova the credit rating at the level of B3 "stable", which was conditioned by low economic power and limited institutional power [4]. These factors make the economy sensitive to external shocks, as well as to cyclical and structural changes in relations with the country's main trading partners. It is emphasized that, although Moldova's economic outlook has improved, growth remains volatile, reflecting the vulnerability of the agricultural sector to climate conditions, as well as the economy's strong dependence on remittances from abroad.

Institutional capacity has improved under the IMF program, but government efficiency remains relatively low. Experts believe that the strong part of the country's credit rating is the relatively low level of debt - about 30% of GDP, as well as low costs of servicing it, due to the fact that most loans were obtained on favorable terms and are concessional. Moldova also remains moderately exposed to the risks of events caused by political factors. Moody's experts point out that continued progress in financial sector reforms and a strengthened governance profile can have a positive impact on the rating. To improve the rating it is necessary to remove long-term structural barriers, such as a poor business climate and labor shortage. Instead, Moody's may give a negative forecast and ultimately lower the rating, if political risk increases, the slowdown or change in IMF reform or a less prudent fiscal stance will undermine the government's relatively favorable fiscal performance.

In the "Doing Business 2020" Ranking, which evaluates the facilities for developing business, the Republic of Moldova ranks 48th among 190 countries, down one position from the previous rating [8]. In Doing Business 2020, out of 10 indicators, Moldova's position improved to five indicators, to four indicators it worsened and to one indicator it remained unchanged. The Republic of Moldova was particularly successful in obtaining construction permits, where it rose from 172nd to 156th. Most points were lost in the situation regarding the protection of minority shareholders, where the Republic of Moldova ranked 45th, dropping 12 positions. Regarding the access of credits, the Republic of Moldova occupies the 48th place (-4), in the connection to the power supply systems - the 84th place (-3), in the international trade - the 38th place (-3). The neighbors of the Republic of Moldova, Ukraine and Romania, ranked 64th and 55th, respectively. At the same time, Ukraine climbed seven positions in the ranking, and Romania dropped by three. Russia climbed three places in the standings and is in 28th place.

Currently, among the most important problems in terms of attracting foreign investment in the national economy remain the following:

- Deficit of qualified labor force, inflexibility of the labor market and insufficiency of specialists with the necessary qualifications [3]: According to the data of the National Bureau of Statistics, in 2019 the economically active population was 919.3 thousand, decreasing by 21.6% compared to 2018 [9].
- The educational supply of the education system does not correlate sufficiently with the demand from employers. This issue is particularly relevant for vocational and technical education, being largely caused by the lack of motivation and opportunities for the private sector to contribute more actively to the formation of the curriculum, the definition of vocational standards and the provision of practical training.
- Acute failure of properly developed industrial platforms. The Republic of Moldova remains in a situation where a large part of foreign companies prefer not to invest in construction, but only in equipment, in order to preserve the possibility of rapid mobilization and relocation. To attract foreign

direct mobile investment, the country must provide ready-to-use industrial halls. In Moldova, the rental prices of industrial spaces are not lower compared to other countries in the region. The territorial location of some industrial lands and platforms does not meet the requirements of investors, especially due to insufficient labor force, adequate qualification in the area, but often also due to the poor quality of access roads. The slow, even difficult in some places, process of obtaining a building permit from local public authorities and connecting to utilities increases the duration and costs of building new industrial halls.

Although the level of income tax from entrepreneurial activity is relatively low, the total tax burden exceeds the regional average. Also noteworthy is the relatively high level of the unobserved economy in the Republic of Moldova, which was estimated at 28% of GDP in 2019. The unobserved economy is an important factor in fraudulent tax evasion and unfair competition.

- The low level of predictability of tax legislation, the high level of fragmentation and ambiguity of the provisions on tax deductibility. These shortcomings have led to more disputes between investors and public authorities, which are usually more difficult to resolve due to the lack of a unified source of data, information, clarifications and previous decisions on investment disputes and disputes.
- Unsatisfactory road quality and transport infrastructure quality on key export delivery directions. Some efforts have been made in recent years to rebuild and repair roads, but they are clearly not enough.
- Inadequate character of the legal framework and institutional framework of the Republic of Moldova. There are major gaps in the legislation itself, as well as in the way it is implemented, caused by inadequate governance of the economy, vulnerability of institutions, poorly developed business culture, political and macroeconomic instability, as well as the unpredictability of the business environment. The business regulatory framework does not provide effective and clear guarantees for investors: there is no practice of investment agreements that provides clarity on the rights and obligations of both parties, mechanisms for resolving tax problems (such as early tax settlement) and no mechanisms for resolving investor complaints.
- The large number of state controls, as well as their discretionary nature. In particular, many investors claim that institutions often abuse the right to organize controls by intervening in companies without good reason, control decisions and necessary documents [5]. Moreover, inspectors often request additional information and documents, which create direct and opportunity costs and consume business time due to the lack of a unified system of electronic registers, which would provide inspectors with all necessary information and documents about companies subject to direct controls, without the need to involve companies in the process of obtaining them.
- Low quality of governance and vulnerability of public institutions. Compared to other countries in the region, the Republic of Moldova has one of the most unsatisfactory scores on the Corruption Perceptions Index, developed by Transparency International. In 2019, the Republic of Moldova was awarded the score of 32 points (the overall average score was 43 points), ranking 120th out of 180 countries. (In 2018, the Republic of Moldova with a score of 33 points ranked 117th out of 180 countries) [11]. Corruption increases the level of uncertainty about the business environment and derives from excessive bureaucracy, increased discretion in policy formulation and implementation, inefficiency of the justice system, low wages in the public sector and low levels of economic freedom.
- Deficiencies related to the improper implementation of laws and uncertainty regarding the protection of property rights. In particular, the institutional framework in this area is fragmented, weak and unstable. The main problems are: the strategic lack of the position of Investment Ombudsman, which would protect investors from possible abusive regulations and which would facilitate the settlement of investment disputes and disputes of a strong institution, which would promote important investment projects, and the lack of a functional settlement mechanism of investor complaints.

In small countries, such as the Republic of Moldova, the problem of attracting foreign investment is aggravated by the small volume of the domestic market and the relatively low purchasing power of the population. There is also a remarkable increase in the pressure on the internal resource system (especially on the labor market and infrastructure), in connection with the increase in the volume of foreign direct investment.

In our opinion, it is necessary to make changes in the following strategic directions:

- There is a need to improve the investment policy in the country in order to continue to encourage investments in the priority branches of the country.
- It is necessary to continue attracting investors in strategic sectors. In this context, it would be welcome to develop a new strategy as a continuation of the Industrial Development Program for 2018-2020, and within its implementation, the creation of clusters and other pilot projects for the development of the industrial sector.
- Effective measures are needed to combat the shadow economy, as a source of unfair competition, tax fraud, smuggling, money laundering and other problems.
- It is vitally important to fight corruption in all manifestations - from the political (top) to the usual.
- It is necessary to streamline the reform of the judiciary to ensure the real rights of investors.

In order to increase the investment process in the Republic of Moldova, it is necessary to improve the investment climate through the following measures:

- It is necessary to continue the activities of MIEPO (Organization for Investment Attraction and Export Promotion of Moldova) to promote a positive investment image of the country can become fruitful. An example of such an effort is Moldova Business Week. It may also be useful to promote the investment projects of the Republic of Moldova at international forums in different countries, as well as in bilateral intergovernmental agreements.
- It is necessary to continue the collaboration of foreign investors with vocational and higher education institutions to connect student training programs to the needs of employers.
- We consider beneficial the simplification of the fiscal legislation and the improvement of the fiscal administration procedures in the interest of the investors.

4. CONCLUSION

Investițiile străine reprezintă un factor primordial pentru creșterea și dezvoltarea economică a Republicii Moldova. Investițiile contribuie direct la completarea necesarului de resurse interne și la dezvoltarea factorilor competitivi de producție. Însă, pentru a beneficia de aceste investiții, este necesară soluționarea problemelor ce țin de stimularea investițiilor și crearea unui climat investițional favorabil, care implică stabilitate economică și legislativă, o politică fiscală adecvată, ajustarea capitalului uman, o infrastructură de afaceri dezvoltată etc. În concluzie, atragerea investițiilor străine reprezintă o provocare pentru autoritățile publice în contextul în care nu există deocamdată o soluție care să fie de succes pentru orice țară. Important este însă ca fiecare țară să conștientizeze efectele pe care investițiile străine le au asupra creșterii economice și să stabilească diferite direcții de acțiune prin care să atragă acest capital extern, folosindu-se totodată de avantajele competitive și încercând în permanență să îmbunătățească situația actuală.

Foreign investment is a key factor for the growth and economic development of the Republic of Moldova. Investments directly contribute to the need for domestic resources and to the development of competitive factors of production. However, in order to benefit from these investments, it is necessary to solve the problems related to stimulating investments and creating a favorable investment climate, which implies economic and legislative stability, an adequate fiscal policy, human capital adjustment, a developed business infrastructure, etc.

In conclusion, attracting foreign investment is a challenge for public authorities in the context in which there is not yet a successful solution for any country. However, it is important for each country to be aware of the effects that foreign investment has on economic growth and to establish different directions of action to attract this external capital, while taking advantage of competitive advantages and constantly trying to improve the current situation.

REFERENCES

1. DEMIAN, Gabriela-Laura. Politici și instrumente de atragere a investițiilor străine directe. În: Revista Transilvană de Științe Administrative 1 (36). 2015. [Accesat 10.06.2020]. Disponibil: file:///C:/Users/Admin/Desktop/494-979-1-SM.pdf
2. SLONOVSCHI, Dumitru. Canalele de transmisie a efectelor investițiilor străine directe. În: Analele Institutului de Economie, Finanțe și Statistică, Nr. 1, 2012, pp. 129-132. ISBN 978-9975-4176-4-8
3. Hotărârea Guvernului Republicii Moldova cu privire la aprobarea Strategiei naționale de atragere a investițiilor și promovare a exporturilor pentru anii 2016-2020 și a Planului de acțiuni pentru implementarea acesteia: nr. 511 din 25.04.2016. În: Monitorul Oficial al Republicii Moldova. 2016. nr. 114-122

4. Agenția internațională de rating Moody's Investors Service a menținut ratingul Moldovei la nivelul B3 „stabil”. [Accesat 10.06.2020]. Disponibil: https://infomarket.md/ro/macroeconomy/Agenia_internaional_de_rating_Moodys_Investors_Service_a_meninut_ratingul_Moldovei_la_nivelul_B3_stabil
5. Consiliul Economic de pe lângă Prim-ministrul Republicii Moldova, ședința din 8 octombrie 2015. [Accesat 10.06.2020]. Disponibil: <http://www.gov.md/ro/content/consiliul-economic-al-prim-ministrului-discutat-problema-controalelor-de-stat-republica>
6. Index of Economic Freedom 2019: Moldova se află la coada Europei și are un scor mai prost decât Burkina Faso și Uganda. [Accesat 15.06.2020]. Disponibil: <https://www.jurnal.md/ro/news/ffda6b2824db48a7/index-of-economic-freedom-2019-moldova-se-afla-la-coada-europei-si-are-un-scor-mai-prost-decat-burkina-faso-si-uganda.html>
7. Produsul intern brut în anul 2019. [Accesat 10.06.2020]. Disponibil: <https://statistica.gov.md/newsview.php?l=ro&idc=168&id=6605>
8. Doing Business 2020. [Accesat 10.06.2020]. Disponibil: <https://www.doingbusiness.org/>
9. Populația economic activă a Republicii Moldova a scăzut în 2018. [Accesat 10.06.2020]. Disponibil: <http://m.m.m.w.tvmoldova.md/social/populatia-economic-activa-a-republicii-moldova-a-scazut-in-2018/>
10. Poziția investițională internațională. [Accesat 15.06.2020]. Disponibil: <https://www.bnm.md>
11. Transparency International lansează Indicele Percepției Corupției 2019. [Accesat 10.06.2020]. Disponibil: https://www.ipn.md/ro/transparency-international-lanseaza-indicele-perceptiei-coruptiei-2019-7542_1070997.html#ixzz6MsQ2zwfZ
12. ГИЛАН, Андрей. Чем Молдова отпугивает российских инвесторов. [Accesat 10.06.2020]. Disponibil: http://www.old.businessclass.md/маркетинг/Чем_Молдова_отпугивает_российских_инвесторов/?lg=ro

Culture of Capitalism and its Effects on Human Behaviour. Tibor Scitovskys' Economic Approaches

András Schlett¹

¹Pázmány Péter Catholic University, Budapest, Hungary, Heller Farkas Institute of Economics, Pázmány Péter Catholic University, Budapest, Hungary; e-mail: schlett.andras@jak.ppke.hu, Orcid: 0000-0001-5108-1734

Abstract: Tibor Scitovsky (1910-2002) the famous professor at Stanford University is known as a forerunner of behavioural economics, who presented a new challenge to the conventional economic models and he was one of the first economists to deploy the results from cognitive psychology in his studies. Critics of mainstream economics focus on the differences between abstract models and reality and consider the potential reasons for these differences. Scitovsky reverses this question and focuses on the distorting effects of modern capitalism on human behaviour. Can we say that neoclassical models, the notion of 'homo oeconomicus' are the manifestation of the intrinsic feature of capitalism? As such, these can serve as a benchmark for analysing human behaviour. Scitovsky integrates into his research the results of other disciplines of social sciences, especially the closed, reserved field of psychology. In the 21st century, more and more economists recognise the importance of his studies, especially his results related to welfare and happiness. Scitovsky recognised that welfare economics must be more than just studying how the economy operates. The societal-psychological aspects and their impacts must be taken into account as well.

Keywords: Tibor Scitovsky, Culture of Capitalism, Behavioural economic, Welfare, Human desires, Social stimulation

Introduction

Scitovsky advanced strictures on the problems of economics in the era of modern market economy. He argued that contrary to plausible expectations, a rapid increase in average incomes is not accompanied by an increase in well-being, joy and satisfaction. One of his main arguments is that the well-being of an individual does not correspond consumption and it cannot be measured easily. Certain types of consumption are "joyless" if they lack elements that are risky or challenging and therefore, they do not provide the feeling of satisfaction, accomplishment and enjoyment. Why do the majority of people still place great importance on income and goods that money can buy? (Scitovsky, 1990; Di Giovinazzo, 2014)

Scitovsky started from two main assumptions:

- Several pleasures in life depend on the person's level of income.
- Consumers know what is good for them and this guides their choices.

The price of efficiency

Scitovsky pointed to the problem that goal achievement is almost fetishized in our time. He argued that concentrating too much on the goal may deprive us from enjoying participation in activities that are pursued for their own sake. Mankind invented many activities so that we can enjoy them: games, sports, creative or artistic activities are pleasurable and make our lives joyful and pleasant. These so-called autotelic activities, which are pursued for their own sake, do not need external motivation or reward, they carry the intrinsic reward in themselves. The way to achieving the goal or immersion is often more satisfying than attaining the actual goal. On the other hand, focused attention during rational calculation brings alienation and diminishes the experience. Careful, meticulous planning, logic, compulsion to comply, standardization or time efficiency all demolish pleasure. Dividing life into goals and sub-goals permeates modern society. Future oriented planning, neat to-do lists are counterproductive to preoccupation. Goal achievement and result-oriented thinking pervades every aspect of life. In this day and age, people try to eliminate randomness, nothing is left to chance, everything reflects purposeful design and planning. There are innumerable examples of how human attitudes to our basic activities in life have changed. Activities of pure relaxation, leisure or recreation have slowly been disappearing or have become exotelic activities. Modern man has his garden designed by landscapers, has his body built by trainers, and although they are very efficient, they do not give him satisfaction or pleasure any longer. His own presence is sacrificed for efficiency (Pugno, 2014).

The great cult of the 'perfect moment' was established, and very few people realise that the perfect moment cannot be created through rational planning and organising. The 'perfect moment' cannot be planned, therefore checking off the goals on the bucket lists motivates people in the wrong direction by taking away the sense of experiencing joy and pleasure or the feeling of being immersed. There has been quite a vogue for mindfulness activities and trainings to try and reduce stress and alienation. It is a fact that time management has dramatically changed. Leisure time is considered less 'useful' when it comes to well-being. If people do leisure time activities that they value more than work, their income may decrease but their life satisfaction may increase. Our modern education system is also permeated by a utilitarian vision. This oversimplified and uniform interpretation of knowledge highlights the importance of the practical value and commercial viability of education. The motivation behind this conviction is that the only use of knowledge would be its practical application in the production processes. On that view, such knowledge (often referred to as 'techné') forms the cornerstone for progress and is an important element of the competition among the nations and individuals. Revenue-generating knowledge is valued more than skills that can make life meaningful. We do not choose to study areas which are important or satisfactory for us, but the ones that generate revenue or immediate use. Pure research conducted by the researcher's curiosity (autotelic) is replaced by the practical use of projects offered by grant schemes (exotelic). Researchers are like entrepreneurs, the measure of their success is the short-term economic and social benefits of the projects and the commercial value of their results. In project based research attention is turned to the compliance with external objectives: we have to research what can be sold or where a need exists. This utilitarian approach to knowledge, study and our everyday activities does not take into account the fact that these are sources of joy and personal fulfilment as well as tools for dealing with an important problem of mankind - to reduce boredom (Scitovsky, 2000). Scitovsky discussed his views on boredom and its harmful consequences. He argued that the lack of consumption skills, i.e. the skills to meaningfully spend leisure time may trigger boredom and escalate into destructive behaviour or violence.

Scitovsky stressed the generalist character of consumption skills by referring to the great educational power of humanities and liberal arts and to the importance of humanistic culture and arts pursued for their own sake. Since culture doesn't have immediate utility, American consumers who grew up on utilitarian traditions keep a wary eye on it. However, the need for stimulation hasn't perished from modern man, and the entertainment and leisure industry is eagerly fulfilling this need. To replace the lost ability of using leisure time in a meaningful way, modern man has a wide choice of „superstimuli”. Sensory experience is at the heart of this behaviour. Excessively stimulating activities offered by the entertainment and leisure industry (e.g. extreme sports, addictive computer games) are intended to mediate the necessary sensation of reward in the midbrain, which will stimulate the person to search for more enjoyment and will get used to the relatively high joy ceiling. It's no coincidence that by the turn of the century, the entertainment and leisure industry has a 70% share of all consumptions in the US, whereas the share of spending on material needs (e.g. accommodation, clothes, food) was only 12% (Scitovsky, 2000).

Separation efforts versus social stimulation

Scitovsky observed that although the main source of pleasure is social stimulation, a rational lifestyle, a utilitarian, work-centred culture can lead to economising on time and attention to others even though the quality and richness of relationships improve the feeling of joy to a bigger extent than income growth or consumption.

In the American culture, individualism and the importance of the private sphere is highly esteemed. People value or measure themselves by the things they individually achieved in life. Children are encouraged to be independent and self-reliant.

Scitovsky highlighted the - albeit narrowing - difference between the attitudes of the Europeans and Americans by using time-use statistics. He argued that the separation efforts of Americans are in sharp contrast with the family-oriented attitude of traditional societies. He argued that evidence lies for example in elderly people's residential mobility and rootlessness (Scitovsky, 1990, p. 162).

The mind-set rooted in the puritan traditions and ethical spirit promotes the virtues of work and frugality as a superior model, which leads to diligence and attentiveness. If possession and accumulation form the basis of identity, happiness is reduced to usefulness or utility. Gaining of wealth is no longer the way to satisfy the immediate material needs but is the purpose of life. Making money is also the measure of the effectiveness and efficiency of work. Possession is the basis of identity and people become not more than just each other's

utility functions. Money is not only a medium of exchange any longer but is used to measure the value of people, which is a proof of the individual's social utility.

Scitovsky's views on motivations and goals of choices leads us to the analysis of the complexity of human activity. It looks at the psychological trap that is hidden in the common approach of economics about happiness. Scitovsky found it contradictory that although people living in a modern society have to make compromises less often since they can draw on the rich reservoir of several alternatives and make decisions, an ever larger number of people are still unhappy.

In his views, the reason is that in our modern world, the comfort-oriented dimension of consumption became dominant. The gains of comfort are apparent and immediate. It is the most natural to prefer them in our decision making even if we later found them irrational. Psychology clearly demonstrated long ago that the reward (instantaneously and noticeably improved well-being) received immediately after an activity means positive reinforcement, which can lead to repetition (Scitovsky, 1990, pp. 69-70).

The value of cumulated goods (family, community, friendship) become apparent on the long run and it is difficult and time-consuming to measure. In the long term, however, the effect of the absence or inadequate consumption of socio-cultural goods become obvious.

The concept of marginal utility - the change in the utility of a goods from an increase in its consumption - holds true only in the case of comfort-oriented goods. The reverse is true for cumulative goods: we gradually - not immediately - become aware of the loss of joy. In our everyday activities (eating, work, sexuality), dimensions that can improve our comfort take centre stage. These biological activities serve not only to relieve tension, but are complex social-cultural activities, since construction is in accord with the nature of every human being. Eating serves not only to meet the needs and comfort of our body but is a socio-cultural construction which can satisfy your mind, thus delivers a superior experience. Cooking practices, fantasy, the pleasure of eating goes far beyond preparing instant, semi-finished food products lightning-fast and the standardised, unrelieved world of fast food restaurants (Scitovsky, 1990, pp. 154-155). Sexuality is also more than just stress relief or reproduction. It aims to strengthen and deepen the relationships. To win your love's heart, having a relationship or sexuality in a relationship can bring much more joy than a sexual intercourse (Schlett, 2018, pp. 66-67). Furthermore, the function of work is not only to generate income but it has a perfecting potential and it can give satisfaction through which people can achieve mental, spiritual development. In developed societies however, citizens often seem to be satisfied with the reduced function of such activities. Lunch becomes a working lunch, work becomes income generation, friendship becomes relationship capital, parenthood turns into childcare. Such changes reduce the real value of the activities. We eat as quickly as possible, as simple as possible in the headlong dash of daily life, while the related social functions are gradually disappearing, even though quality food requires more time and attention than consuming instant, pre-prepared products. The function and meaning of work has also changed fundamentally. As human beings have become alienated from work has the conviction become more widespread that the aim of work is the increase in efficiency and productivity or its income-generating capacity. An activity that used to be joyful and gratifying became an obligation and a duty, merely a means for people to become successful and to get rich. For many people living in our modern times, the actual income has become the only ambition of work (Scitovsky, 1990, p. 83.)

What causes the shift in priorities? Why was the complexity of human activity reduced? In the course of making rational choices, people focusing only on the immediate benefits are thrust into a world of re-planning. They will never experience the particular phases of the activities, instead they will rather return to the starting line. The lack of cumulative goods which could mean the fulfilment of human existence leads to dissatisfaction and have serious long term consequences. A big cancer on the western world is that families disintegrate and the remaining families do not fulfil their purpose. The opportunities offered by modern technology and the pseudo-solution of virtual reality have provided the illusion of belonging somewhere. Such artificial communities however, are unsteady and it is easy to step out of them. The next stage after escaping into a virtual reality is the substitution of human relationships with services, pseudo-families or hired friends. The well-known postmodern trends in society created a service of „hiring humans”. Why should people adapt? Why should they fight their battles with real, flesh and blood people?

In countries with a high level of GDP, solutions are offered to almost all the potential problems by the industry of hiring humans. Family members, friends, girlfriends, whole families, wedding guests, babies, old people, chat friends, disciplinarians, apology people, running buddies can be borrowed. Looking at the current trends in

society, there has been an increasing demand for such services. Service providers proudly believe that, in their way, they create - even if only seemingly and temporarily - a balance in their customers' lives.

According to Scitovsky, the change in people's attitudes is due to the distorting role of puritan ethics in capitalist culture. Earning money and the collection of goods became a priority, while culture, the value and beauty of nature became irrelevant. The ethos proclaiming the supremacy of production and wealth encourage economic development by supporting certain attitudes of the individuals, such as commitment, rational mentality, goal centred actions and the ethical implication of them. The rational lifestyle of Westerners, their mundane orientation and approach to see their successes and losses as an enterprise foster economic growth. When these aspects become moral obligations, they will lead people to behave accordingly. These reduced attitudes or prevailing sentiments then put enormous pressure on the individuals. Science, especially human resource management, applies many of Scitovsky's first novel approaches, in particular the one that is important from the perspective of income generation, which justifies Scitovsky's assertions.

Motivation theories often cite Scitovsky's concept of arousal that analyses the differences of activation of the nervous system among the personality types. The main ambition of humans is the drive toward joy, the avoidance of pain, however there is an optimal degree of activation that provides higher comfort levels and wellbeing. The degree of activation is different for each personality type, since extroverts and introverts need different amounts and types of stimulation. When Scitovsky systematically studied the motivational role of activation, he pointed out that the basis of the gap between them is the pursuit of the optimal degree of activation. The degree of activation of extroverts is low, while in case of introverts it is high. Scitovsky stated that activities which are too challenging for an individual can lead to anxiety, while activities which are not challenging enough can lead to boredom (Scitovsky, 1990, pp. 35-36)

Summary

In his works, Scitovsky criticised the conventional economic concept of utility. These phenomena became the centre for his attentions in the 1970s when Robert Lucas and Thomas Sargent, two economists from Chicago provided the theoretical foundations of the theory of rational expectations. They argued that the market economy should be regarded as a machine which is operated by a clearly defined, eternal, universal economic reality. The most important feature of this theory is that it is suitable for applying mathematical methods, which became more important in scientific research than compliance with reality itself. Scitovsky questioned the applicability and relevance of science that is hermetically separated from the problems of the real world.

Scitovsky pointed out to the limitations of mainstream economics. Human beings were in the centre of his studies and did not attribute overdue significance to the prevailing quantitative methodology. His statements were formulated based on what he saw around him in the world. He intended to go to the very root of the economic and social phenomena, and he tried to integrate into his research the results of the other disciplines of social sciences, especially the closed, reserved field of psychology. In the 21st century, more and more economists recognise the importance of his studies, especially his results related to welfare and happiness.

List of Sources

- BIANCHI, M. (2003). Questioning economist: Tibor Scitovsky's attempt to bring joy into economics. *Journal of Economic Psychology*, 24. 391–407.
- DAVIDSON, R. (2004). *Well-being and Affective Style: Neural Substrates and Biobehavioural Correlates*. Philosophical Transactions of the Royal Society. London
- DI GIOVINAZZO, V. (2014). *A Matter of Character: The relevance of Erich Fromm's work to Scitovsky's critique of the consumer society*. Presented at History of Economics Society, June 20-21-22, 2014. Montreal, Canada
- E. EARL, P. (1992). 'Tibor Scitovsky'. In: Samuels, W.J. (ed): *New Horizons in Economic Thought: An Appraisal of Ten Leading Economists*, Aldershot, Edward Elgar Publishing Ltd, 265-293.
- LAYARD, R. (2005). *Happiness: Lessons from a New Science*. London: Allen Lane.
- PUGNO, M. (2014). Scitovsky, behavioural economics, and beyond. *Economics - The Open-Access, Open-Assessment E-Journal*, Kiel Institute for the World Economy (IfW), vol. 8, 1-29.
- SCHLETT, A. (2018). *Kapitalizmus, mint kulturális megszaladás*. In: Katona Klára (Szerk.): *A piac és az állam az ember szolgálatában. Aktuális társadalmi, gazdasági kérdések a Katolikus Egyház tanításának tükrében*. Heller Farkas Könyvek 4. Budapest, Pázmány Press 65-83.
- SCITOVSKY, T. (1964). *Papers on Welfare and Growth*. USA, Stanford University Press

- Scitovsky, T. (1972). What's Wrong with the Arts is What's Wrong with Society, *American Economic Review*, May 1972.
- Scitovsky, T. (1976). *The Joyless Economy: An inquiry into human satisfaction and consumer dissatisfaction*. New York: Oxford University Press.
- Scitovsky, T. (1987). *Human Desires and Economic Satisfaction*. Wheatsheaf, Brighton, Volume 7, Issue, 1 January 1987, 95-96.
- Scitovsky, T. (1990). *Az örömtelen gazdaság – Gazdasági alapvetések*, Budapest, Közgazdasági és Jogi Könyvkiadó
- Scitovsky, T. (1991). Hindsight Economics. *BNL Quarterly Review*, No. 178. September 251-270.
- Scitovsky, T. (1996). My own criticism of the Joyless Economy, *Critical Re-view*, 10(4), 1996. 595-606.
- Scitovsky, T. (1997). *Egy „büszke magyar” emlékiratai*. Budapest, Közgazdasági Szemle Alapítvány
- Scitovsky, T. (2000). The wages of boredom. *New Perspectives Quarterly*, Spring, 2000. 45-51.

The impact of early internationalization in firm performance: The case of Western Balkan Countries.

Arjona Çela¹

¹PhD (c), Department of Economics, Epoka University, Tirana, Albania, acela@epoka.edu.al

Abstract: Earliness of firm internationalization is phenomenon that has seen an increasing interest recently in the field of international business due to increasing number of small and medium firm internationalizing very early in developed economies. However, in transition countries this concept have not been studies, especially in the region of Western Balkan Countries where to our best knowledge there is almost no other study to have analyzed this concept. Early internationalizes are those firms that internationalize shortly after their inception. Entry foreign markets early can have its advantages such as flexibility and first-mover advantages but also bear risks due to firm's limited availability to resources or liabilities of smallness and newness that affect performance outcomes. Because international experience is seen as very important factor in international performance due serving as proxy for international knowledge, lacking this experience questions early internationalizes success in international markets. Therefore, using cross-sectional data from latest surveys conducted in this region, this study analyzes earliness of firm internationalization in WBC and how does this impact firm international performance in WBC. Empirical findings of the study show a negative impact of earliness of internationalization in international performance for the WBC.

Keywords: firm internationalization, early internationalization, firm performance, international business

1. Introduction

Internationalization is very important for survival and growth of firms. Especially in small and transition economies where the domestic market size and the demand is very small. Therefore, is necessary that firm of these countries go international to learn, survive and grow in an increasing global competition. Early and rapidly, internationalization is mostly seen in the last two decades due to technology that has facilitated the production communication and transportation. With the increase number of firm going internationally early after their inception there is also an increasing interest from researchers to study this type of firms (Bembom & Schwens, 2018; Jain, Celso, & Kumar, 2019; Zucchella, Palamara, & Denicolai, 2007), to analyze how they go internationally so early considering the fact that traditional theories such as Uppsala theory do not predict this type of behavior from firms. Uppsala theory predict an incremental internationalization of firms, an internationalization with stages that start in the beginning with sporadic exports to geographically near places and continues with FDI investment in the later stages. The most important factor to this theory in firm internationalization is experiential knowledge and the lack of this factor and resources in early internationalizing firms will lead to them performing poorly in and having difficulties to survive in the foreign markets. However, evidence has shown that these firms not only have survived international markets despite their lack of resources and experience but also expanded very quickly. Literature suggest that early internationalizing firms benefits from their small size and flexibility. They do not have very complex organizational routines such is the case of big enterprises and this give them flexibility to learn and adapt faster. In addition, do to their lack or resources they have to force themselves, in order to survive to gain these resources through networks and relationships. Forcing themselves to find ways to survive and grow in international markets gives them experience and organizational capabilities that are impossible to gain in the domestic markets. Most of the times these capabilities formed stick with them through for a long time and enable them to grow even more. However, as there are histories of success there is also failure. Internationalization is strategic decision and an investment to the firm and early internationalization can have a negative impact on these firm's performances, especially firms in transition countries that lack proper institutional support from their home countries and constantly changing institutional environment (Ciszewska-mlinaric, Obloj, & Wasowska, 2017). Most of the theories in international business are developed in developed countries and recently there is growing literature testing them in emerging countries. However, transition countries have very different environment even compared to emerging countries (Caputo et al., 2016). Therefore, to fill this lack of literature the aim of this paper is to study the effect of early internationalization in performance of transition countries.

2. Literature review

Earliness of firm internationalization is phenomenon mostly associated with Born Global firms (BG) and International New Ventures (INV) internationalizing shortly after their inception. Mcdougall & Oviatt (1996) of new venture internationalization was a starting point for more reach aiming to explain this phenomenon. Nowadays with the new development in technology and countries coming more closer together in terms of trade, faster internationalizing firms started to emerge especially in emerging countries and the researchers have dedicated an increasing interest to them (Zhou & Wu, 2014). In general these are small and medium firms that internationalize very rapidly and skip the stages of internationalization as described by Uppsala model of incremental internationalization where firms engage more in international markets as they knowledge about them increases (Johanson & Vahlne, 1997; Knight & Liesch, 2015). The BG in literature are defined as “entrepreneurial start-ups that form and near their founding seek to drive a substantial amount of revenue from the sales of products in international markets” (Knight & Cavusgil, 2004), while INV are “business organization that from origin seek to drive significant competitive advantages from the use of resources and sales of outputs from multiple countries” (Mcdougall & Oviatt, 1996). However, there is no clear distinction between these two types of firms and literature often uses them interchangeably. Both definition include some elements of earliness and speed, however, it is very important to highlight that the concept of earliness and speed are two different things that need to be distinguished from each other. Earliness refer to the time between firm inception and its first international market entry, while speed refers to intensity and scope of international activity or how rapidly the firms increase their international commitment once they have made their initial commitment (Autio et al., 2000).

Researchers distinguish between advantages and disadvantages of earliness in firm internationalization or the positive effect and negative effect that makes them more or less likely to succeed. Early internationalization can positively affect firm’s international performance by giving them first-mover advantages (Mohr & Batsakis, 2017). First- mover advantages means that early market entry of business offer them competitive advantages and positive profits. Firms that entry markets early and become the first investors tend to remain leader in those markets as they create networks and relationships and are the first to access resources.

Another most studied concept that is believed to have helped firms internationalize early is learning advantage of newness (LAN) (Zhou & Wu, 2014). The main idea of this concept is that firms that new firms that do not have a history are more likely to learn faster. In addition, when these firms are not very large adapt faster to changes and are more flexible. These firms due to being very young lack organizational routines, are more open and flexible to new opportunities, and learn. They are also more willing to devote resources and efforts towards learning from foreign markets. Sapienza, Autio, George, & Zahra (2006) study the effect of early internationalization in firm’s growth and survival taking a dynamic capabilities approach, which represent the firm capacity to reconfigure it capabilities to new environment. They argue that the early a firm internationalize the more permanent effect will it have in the dynamic capabilities of exploring opportunities in international markets. Therefore, as firms internationalize early they will face with the need to adapt rapidly to new environments, to deal with uncertainties and risks they poses and this will enable them to learn faster and will have a permanent impact in organizational routines and capabilities. Since, when firms enter foreign markets early, they will have to generate and develop new organizational routines.

Looking from the perspective or resource based view approach as state in the Resource based view (RBV) theory firms can grow and expand in international markets if they have unique resources and keep the sustainability of their performance through developing new resources. As Mcdougall & Oviatt (1996) states unique resources are very important for new ventures in the early stages of internationalization. Therefore, early internationalization is facilitated from unique resources but also help through generating new resources. According to Santhosh (2019) earliness of internationalization enable small enterprises to access capital in the field of IT and finance which are very essential for expansion.

Based on these arguments it can be said that early internationalization through forcing firms to learn and adopt to uncertainties and risks in international markets, facilitated also by their flexibilities generated from their small size and through enabling firms to use their existing and generating new unique resources, has a positive effect in their performance. Lu & Beamish (2006) studies the effect of export and FDI profitability and growth of SME and concludes that FDI investment of firms at an early stage of internationalization has a positive effect in firms growth performance.

However, despite the growing literature there is still a gap that need to be filled. In transition countries this concept have not been studies, especially in the region of Western Balkan Countries (WBC) where to our best knowledge there is almost no other study to have analyzed this concept. Transition countries have unique characteristics as they are going through a process of transformation of their economies and institutional framework (Thai & Turkina, 2014). Therefore, it is very important to study the firm's internationalization in these economies and also test the existing theories that have been mostly developed in advanced economies. In addition, internationalization of firms coming from these countries offers a great opportunity for their growth and development, as they are small economies. Therefore, this study purpose is to analyze earliness of firm internationalization in WBC and how does this impact firm international performance in this region.

Therefore based on the literature review presented above we formulate our hypothesis as below:

H1: Earliness of internationalization has a positive impact on international performance.

3. Methodology

3.1 Data source

Data used for this analysis were obtained from Business Environment and Enterprise Survey conducted on six WBC. This survey is jointly conducted by the World Bank Group, the European Bank for Reconstruction and Development (EBRD), the European Investment Bank (EIB), and the European Commission (EC). This survey is a firm-level survey that servers as representative of sample of firms in the private sector in this region. The composition of it includes a broad range of topics such as finance, innovation, infrastructure, corruption, crime and measures of business performance. In addition, it also includes measures of business internationalization such as the amount of direct and indirect exports, the time the firms have entered the international markets etc. This survey is conducted in 144 countries and uses a global methodology. The latest data collected by this survey in WBC are the data of 2019.

3.1 Variables and models

Dependent variable

The dependent variable used to measure firm international performance in this analysis is firm foreign sales to total sales. These two variables are widely used as representative of firm performance. There are important indicator of a firm's performance.

Independent variables

Our main independent variable earliness of internationalization is measured as the time period of the number of years from inception to the beginning of first foreign sales. In the survey the question directed to firm's owners or managers is

Earliness = First export year – Inception year

Other independent variables used are age measured as the number of years the firm has been operating since inception, *innovation* represent by two variables product and process innovation which are dummy variables that take value one if the firms have introduced any improved product or services during the last three years. *Foreign ownership* is measured, as the percentage of firm's owned by private foreign individuals, organization or companies. *International contact* and *Political* are dummy variables that take value one if the firms have international contact or if the owner has been select in any political position. We have included also four industry dummy variables that take value one if the firm belong to a certain industry and zero otherwise, which are *retail, service, construction and wholesale*. The empirical model used is an OLS model for cross-sectional data. The depended variable is multiplied with dummies of small medium and large firms. The dummy of small is a dummy that takes value of if the firm has less than 50 employees, medium takes value one if the firms has more than 50 but less than 250 employees and large take value one if the firm has more than 250 employees. These dummy variables that measure the size of the firm are created according to European Commission (EC) categorization of firms based in the number of employees.

Table 1 give a correlation matrix of the data used in the model. Looking at this table it can be concluded that there is no problem of correlation observed in our variables. While in table 2 there are presented the result of regression where there are conducted three regression models for small, medium and large firms.

Table 1: Correlation matrix of variables

	1	2	3	4	5	6	7	8	9	10	11	12
FSTS	1.00											
Age	-0.13	1.00										
Foreign ownership	0.23	-0.04	1									
Process innovation	0.00	0.01	0.05	1								
Process innovation	-0.04	0.04	0.04	0.35	1							
International contact	0.00	0.14	0.00	0.05	0.05	1						
Political	0.01	-0.13	0.03	0.00	0.01	-0.11	1					
Earliness	-0.35	0.69	-0.08	-0.03	0.01	0.06	-0.08	1				
Retail	-0.27	-0.01	-0.06	-0.05	-0.03	-0.09	0.05	0.05	1			
Service	0.00	-0.02	0.00	-0.06	-0.08	-0.03	0.06	-0.12	-0.11	1		
Const.	-0.12	-0.02	-0.04	0.04	0.00	0.01	0.05	0.00	-0.05	-0.06	1	
Whol.	-0.18	-0.07	-0.04	-0.03	-0.05	-0.06	-0.03	-0.04	-0.09	-0.12	-0.05	1

Table 2: Regression results

Variables	Small FSTS	Medium FSTS	Large FSTS
Age	-0.00173	0.00192	0.00465***
Private foreign	-0.00105	-0.00142	-0.00118
Process innovation	-0.161***	0.210***	0.154***
Product innovation	-0.0302	-0.0525	-0.042
International contact	-0.0532**	0.00985	0.0221
Political	-0.0261	-0.0321	-0.0207
Earliness	-0.0366	-0.0267	0.0148
Retail	-0.0259	-0.0308	-0.0187
Service	-0.0206	-0.0212	0.0186
Construction	-0.0249	-0.0279	-0.0208
Wholesale	0.0325	0.0523	-0.0745
Constant	-0.0471	-0.0554	-0.0511
Observations	-0.00173	-0.00842***	-0.00582***
R-squared	-0.00123	-0.00168	-0.0012
Method	-0.147***	-0.216***	-0.0321
	-0.0217	-0.0302	-0.0216
	0.132***	-0.195***	-0.0812***
	-0.0463	-0.0385	-0.0175
	-0.0557	-0.249***	-0.0187
	-0.0521	-0.0273	-0.0378
	0.00364	-0.249***	-0.0580***
	-0.0462	-0.0263	-0.0204
	0.280***	0.255***	0.0687
	-0.0552	-0.0672	-0.0569
Observations	650	650	650
R-squared	0.101	0.162	0.124
Method	OLS	OLS	OLS

4. Conclusions

This study uses data of BEEPS survey for 2019 to study the effect of early internationalization in firm performance for the case of transition WBC. The empirical results of the models in table 2 show that earliness of internationalization has a negative effect in the internationalization of small firm. In other words, for firms that have less than 50 employees according to our finding, going very early in international appears to have a negative impact. The same results appear to be also for medium and large firms. These findings are not as expected and predicted. Firms internationalization as it is mentioned in the literature review beside it benefits it can have for firms, is that investment and requires capabilities and resources. In addition to this, it requires institutional support from home country institutions. Firms in transition countries face multiple constraints in their home countries such as financial constraints, corruption or poor institutional infrastructure (Ur Rehman, Çela, Morina, & Sulçaj Gura, 2019). Therefore, for these firms might be risky to go in international markets early without having the capabilities and resources. Facing international market competition from firms coming from advanced countries can be difficult to manage. In this case, our finding suggest that internationalization of firms originating from transition countries should be decision well studied and should not be rushed.

References

- Autio, E., Sapienza, H. J., Almeida, J. G., Goulet, P., Korsgaard, M. A., Mcdougall, P., ... Yli-renko, H. (2000). EFFECTS OF AGE AT ENTRY , KNOWLEDGE INTENSITY , AND IMITABILITY ON INTERNATIONAL GROWTH. 43(5), 909–924.
- Bembom, M., & Schwens, C. (2018). The role of networks in early internationalizing firms: A systematic review and future research agenda. *European Management Journal*, 36(6), 679–694. <https://doi.org/10.1016/j.emj.2018.03.003>
- Caputo, A., Matteo, M., Marina, P., Leo, D., Dana, P., Caputo, A., ... Pellegrini, M. M. (2016). Internationalisation of firms from Central and Eastern Europe A systematic literature review. *European Business Review*, 28(6), 630–651. <https://doi.org/10.1108/EBR-01-2016-0004>
- Ciszewska-mlinaric, M., Obloj, K., & Wasowska, A. (2017). Internationalisation choices of Polish firms during the post-socialism transition period : The role of institutional conditions at firm ' s foundation Internationalisation choices of Polish firms during the. *Business History*, 6791(August), 1–39. <https://doi.org/10.1080/00076791.2017.1332045>
- Jain, N. K., Celo, S., & Kumar, V. (2019). Internationalization speed, resources and performance: Evidence from Indian software industry. *Journal of Business Research*, 95(February 2018), 26–37. <https://doi.org/10.1016/j.jbusres.2018.09.019>
- Johanson, J., & Vahlne, J.-E. (1997). The internationalization process of the firm-a model of knowledge development and increasing foreign market commitments. *Journal of International Business Studies*, 8(1), 23–32. <https://doi.org/10.1057>
- Knight, G. A., & Cavusgil, S. T. (2004). Innovation , organizational capabilities , and the born-global firm. 124–141. <https://doi.org/10.1057/palgrave.jibs.8400071>
- Knight, G. A., & Liesch, P. W. (2015). Internationalization : From incremental to born global. *Journal of World Business*. <https://doi.org/10.1016/j.jwb.2015.08.011>
- Lu, J. W., & Beamish, P. W. (2006). SME internationalization and performance: Growth vs. profitability. *Journal of International Entrepreneurship*, 4(1), 27–48. <https://doi.org/10.1007/s10843-006-8000-7>
- Mcdougall, P. P., & Oviatt, B. M. (1996). NEW VENTURE INTERNATIONALIZATION , STRATEGIC CHANGE , AND PERFORMANCE : A FOLLOW-UP STUDY. 6568(95), 23–40.
- Mohr, A., & Batsakis, G. (2017). Internationalization Speed and Firm Performance : A Study of the Market-Seeking Expansion of Retail. *Management International Review*, 57(2), 153–177. <https://doi.org/10.1007/s11575-016-0284-9>
- Santhosh, C. (2019). Earliness of SME internationalization and performance Analyzing the role of CEO attributes. *Journal of Entrepreneurship in Emerging Economies.*, 11(4), 537–549. <https://doi.org/10.1108/JEEE-11-2018-0132>
- Sapienza, H. J., Autio, E., George, G., & Zahra, S. A. (2006). A capabilities perspective on the effects of early internationalization on firm survival and growth. *Academy of Management Review*, 31(4), 914–933. <https://doi.org/10.5465/AMR.2006.22527465>
- Thai, M., & Turkina, E. (2014). Internationalization of Firms from Economies in Transition. *Internationalization of Firms from Economies in Transition*. <https://doi.org/10.4337/9781783474707>
- Ur Rehman, N., Çela, A., Morina, F., & Sulçaj Gura, K. (2019). Barriers to growth of SMEs in Western Balkan countries. *Journal of Management Development*, 38(1), 2–24. <https://doi.org/10.1108/JMD-09-2018-0273>
- Zhou, L., & Wu, A. (2014). Earliness of internationalization and performance outcomes: EXPLORING the moderating effects of venture age and international commitment. *Journal of World Business*, 49(1), 132–142. <https://doi.org/10.1016/j.jwb.2013.10.001>
- Zucchella, A., Palamara, G., & Denicolai, S. (2007). The drivers of the early internationalization of the firm. *Journal of World Business*, 42(3), 268–280. <https://doi.org/10.1016/j.jwb.2007.04.008>

Business Environment Assessment Using Accounting Regulatory Elements in Latvia

Baiba Zvirbule¹

¹University of Latvia, Faculty of Business, Management and Economics, baiba.eu@gmail.com, Orcid: 0000-0002-0430-2765

Abstract: The article examines the interaction between the business environment and accounting regulatory framework. The rules included in the accounting regulatory framework actually stem from the company's own need to arrange information flows within the company, rational use of products, cash flow and control over the funds of the company itself and their sources. The author examines the impact of the accounting regulatory framework on the business environment by dividing the regulatory framework into blocks according to the scope of their regulation, i.e. the rules determining the basic accounting principles, tax legislation and the regulation determining the information disclosure requirements. Each of the blocks identifies research issues that arise from accounting regulation and effect the business environment.

In conclusion, the author creates a multi-factor regression equation to determine the number of companies in Latvia's business environment based on the indicators of accounting regulation. This multi-factor regression calculation can be applied in any country of the world where there is both accounting outsourcing and mandatory legal requirement for the annual report to be audited by a sworn auditor. In conclusion, the author concludes that the basic structure of the business environment of Latvia is formed from small companies and, at the same time, the structure of the business environment highlights the stability of medium and large enterprises. During certain periods when the business environment is affected either by targeted (2007) or by external circumstances (2014), the turnover of large companies is also suffering, which suggests that business environment in Latvia is vulnerable.

Keywords: business environment assessment, accounting framework standards, tax legislation, disclosure standards.

1. INTRODUCTION

The business environment is like a living organism with its inner world and outer space. Entrepreneurship is a system that supports the economy and forms the basis for the development of the national economy. Business is the sector that ensures the creation of added value and is one of factors forming the gross domestic product of the country, and thus the welfare and growth factors of the nation (Keišs, 1999). The role of the accounting regulation is to provide support for the full business cycle, accounting calculations and monitoring of an company full business cycle. The rules included in both the basic accounting principles and the rules governing disclosure requirements actually stem from the company's own need to organize: information flows within the company, rational use of products, cash flow and control over the company's own funds and their sources.

By analysing the accounting regulatory framework created by the legislator, the author two of the regulatory blocks – the regulatory frameworks for basic principles and the regulatory framework for information disclosure – evaluates as stimulating the company's activities, because in the absence of legislative constraints, it would be possible to save funds on accounting, document storage, different control systems in the short term, but the work done on accounting results in the long term. At the time when a company needs to analyse its historical development and as a company grows, when “memory” control is lost and documentaries control becomes necessary, the regulatory frameworks are like support for timely implementation into the company.

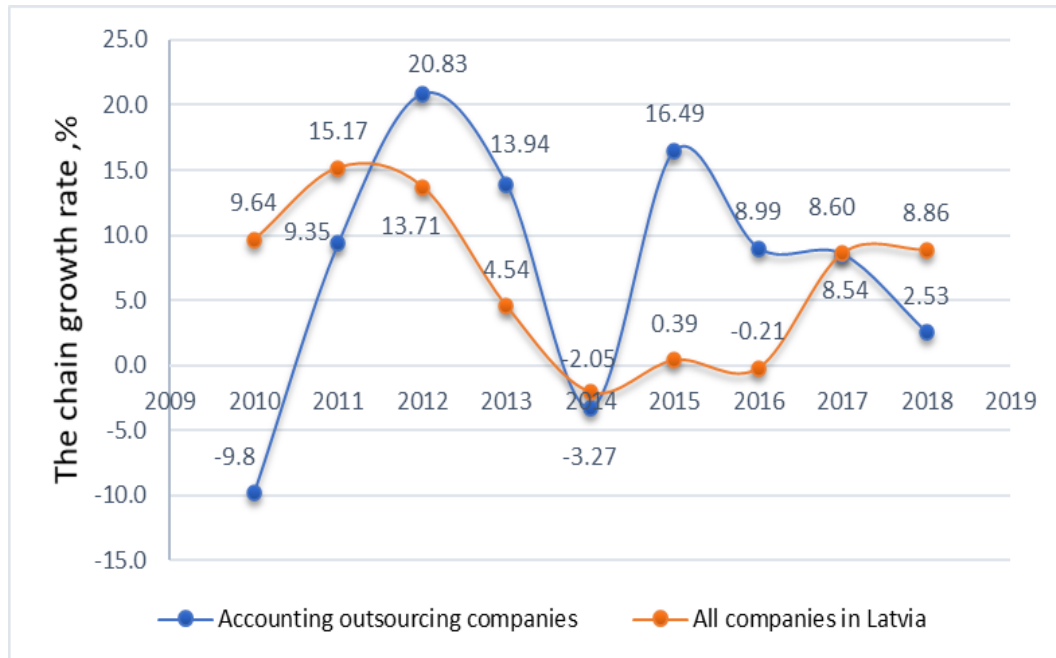
Taxes in accordance with the Law of the Republic of Latvia “On Taxes and Duties” are a mandatory periodic or one-off payment for ensuring the revenues of the State budget or local government budgets and the funding of the functions of the State and of local governments (Law “On Taxes and Duties”, 1995, s. 1). It follows from the Law that taxation, by definition, is not an incentive instrument for companies, it is an element of obligations and, at the same time, an increasing cost.

2. THE ROLE OF THE REGULATORY FRAMEWORK FOR BASIC PRINCIPLES OF ACCOUNTING IN THE ASSESSMENT OF THE BUSINESS ENVIRONMENT

Based on the regulatory framework for basic principles of accounting of the Law “On Accounting” in 2020 and on the current issue of solving the qualification issues of accountants in 2021, and at the same time setting up as priority accounting outsourcing in Latvia, the analysis uses data on the number of accounting outsourcing companies, changes in turnover dynamics and relationships with the number of all companies in Latvia and the

dynamics of their turnover. Data selected for analysis, falling within the heading group of NACE 2.0 code M6920 “Calculation, Accounting, Audit and Auditing Services; Tax Consulting”, reduced by the number of audit companies and the turnover of audit companies.

Figure 1: The chain growth rate of the turnover of accounting outsourcing companies and all Latvian companies, as a percentage



Source: author created, based on data from the Central Statistical Bureau of Latvia, 2020

In periods where the number or turnover of companies is increasing, the number or turnover of accounting outsourcing companies is increasing too, or the turnover of outsourcing companies is increasing at a faster rate than the growth rate of the turnover of all companies, it can be concluded that companies are increasingly outsourcing their accounting to outsourced accountants.

However, it is important to take into account the peculiarities of the Latvian market that smaller companies are more interested in outsourcing, but the situation is not clear in practice, as large companies also outsource some of their accounting work, such as salary calculations, due to various considerations, including internal confidentiality.

There are a number of criteria for the hiring or outsourcing of the accounting officer, but the most important ones are the stable values of the market economy – quality and price. The analysis of statistical data from 2010 to 2018 shows that the popularity of accounting outsourcing is increasing, some points showing a reverse trend, but overall only the last three periods show a drop in growth rates, although starting in 2021 outsourcing licensing is likely to change confidence and outsourcing providers could grow rapidly.

Turnover is an indicator of the size of the company, while assessing the dynamics of the turnover of the accounting outsourcing companies and comparing them to the overall growth rate of the companies, it can be concluded that the pace of growth rate in two years from nine is similar, and it would be possible to observe the correlation, but in the other seven periods the growth rate is different.

In order to determine whether there are statistically significant correlations between the indicators, a factor analysis is performed, correlation coefficients between all the values are calculated, creating a correlation matrix.

In order to confirm the thesis that companies choose to use accounting outsource services more and more, i.e. trust their quality and value their price as appropriate, both turnover correlations and turnover growth correlations are examined.

Table 1: Correlation matrix of factor analysis of accounting outsourcing companies and all Latvian companies with p values

<i>Study indicators</i>	Acc. comp. amount	Acc. comp. amount increase	Acc. comp. turnover	Acc. comp. turnover increase	All comp. amount in Latvia	All comp. amount increase in Latvia	All comp. turnover	All comp. turnover increase
Acc. comp. amount	***	-0.737	0.931	0.339	0.965	0.020	0.890	-0.593
Acc. comp. amount increase	0.023	***	-0.815	0.252	-0.797	0.586	-0.652	0.564
Acc. comp. turnover	< 0.001	0.007	***	0.206	<u>0.961</u>	-0.192	<u>0.905</u>	-0.383
Acc. comp. turnover increase	0.372	0.513	0.594	***	0.198	<u>0.504</u>	0.327	<u>0.132</u>
All comp. amount in Latvia	< 0.001	0.010	<u>< 0.001</u>	0.609	***	-0.039	0.826	-0.586
All comp. amount increase in Latvia	0.959	0.097	0.621	<u>0.166</u>	0.921	***	-0.084	-0.109
All comp. turnover	0.001	0.057	<u>0.001</u>	0.390	0.006	0.830	***	-0.265
All comp. turnover increase	0.093	0.114	0.309	<u>0.736</u>	0.097	0.781	0.490	***

Source: author created, based on data from the Central Statistical Bureau of Latvia, Lursoft IT Ltd, 2020

* The upper diagonal part of the table contains correlation values

* The lower diagonal part of the table contains corresponding p values

* According to the statistical theory, it is assumed that the relationship is statistically significant if $p < 0.05$

In absolute terms, the change in turnover of accounting companies compared to the change in turnover of all companies in Latvia shows a correlation of 0.905 ($p = 0.001$), the turnover relationship is considered to be close, but correlation of turnover growth rates are linked to 0.132 ($p = 0.736$), so there is no correlation between the growth rates. Figure 1 shows the dynamics of the relationship between growth rates, which, in the author's view, is the most accurate indicator of the closeness of both variables.

From the analysis of both indicators, it can be concluded that the indicators to be studied are related to each other, but there is no reason to conclude that the demand for accounting outsourcing is also increasing in a linear way as the turnover of all company's in Latvia increases. The author conclude from the above that, as the company's turnover increases, or as the company becomes larger, it does not contribute demand of the accounting outsourcing services, this claim applies on the condition that the increase in turnover is made up of companies in the business environment but does not increase the number of companies.

Based on the conclusions reached above, and taking into account the peculiarities of Latvia that small companies choose to outsource accounting, the relationship between the increase in the number of all companies in Latvia and the turnover of accounting outsourcing companies is further explored. The study does not take advantage of the dynamics of the number of companies in both studied groups, because as the number of companies increases, it may choose to outsource from an existing outsourcing company that has already demonstrated itself on the market. The correlation of the absolute values of researched subjects is 0.961 ($p < 0.001$), so the relationship is close. While also investigating the chain growth rate of the number of companies and the chain growth rate of the turnover of accounting outsourcing companies, the correlation is 0.504 ($p = 0.166$), so the relationship is average, but the preferred p value for confirming the relationship is $p < 0.05$. The statement allows to confirm that there is a tendency in Latvia to outsource accounting services to young, small businesses, but currently companies make decision to choose accounting outsource option in a slow way.

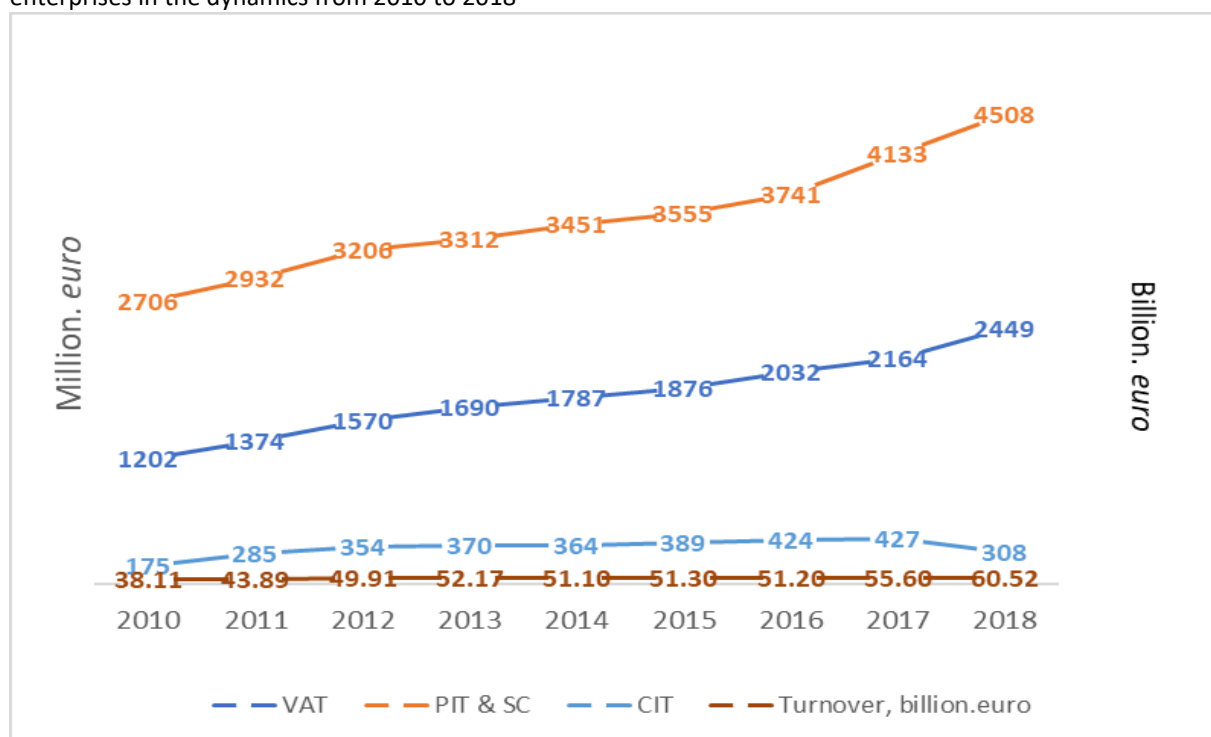
3. ASSESSMENT OF TAX REVENUE AND BUSINESS TURNOVER RELATIONSHIPS

For the quantitative analysis of the tax legislation block are identified such taxes related to the daily work of the accountant as:

1. VAT (value added tax) – turnover tax;
2. PIT (personal income tax), SC (social contributions), solidarity tax - collected in a single group based on a single feature, i.e. labour taxes;
3. CIT (corporate income tax) – a tax characterising the financial outcome of the business, the data serve that purpose until 1st of January 2018, when the new CIT calculation procedure come into force, i.e. the reinvested share of the profit is excluded from the CIT taxable base.

In order to investigate whether tax revenue trends have a direct relationship with business environment activities and the situation, the revenue development of the three tax groups selected for analysis are studied compared to the overall turnover rates of companies.

Figure 2: Comparison of tax and social contribution revenues with the total changes in the turnover of enterprises in the dynamics from 2010 to 2018



Source: author created, based on data from the Central Statistical Bureau of Latvia, 2020

Tax revenues have increased steadily in whole period until 2017 and will continue to 2018 for all taxes except CIT, because since the entry into force the new framework that CIT does not have to pay for the share of reinvestigating earnings, it has provided financial support to companies of the uncollected CIT of almost than EUR 120 million. The expected effects of these changes in the dynamics of CIT are: a possible increase in investment in fixed assets of companies, and therefore a higher rate of growth in turnover over the coming reporting periods could be expected.

In order to explain the closeness of the relationships between the changes of all the parameters to be studied, a factor analysis is carried out by drawing up a correlation matrix, structured in Table 2.

Table 2: Correlation matrix with p values of tax revenues and corporate turnover

Study indicators	VAT	Labour taxes	CIT	Turnover
VAT	***	0.993	0.607	0.938
Labour taxes	<0.001	***	0.552	0.931
CIT	0.083	0.124	***	0.663
Turnover	<0.001	<0.001	0.051	***

Source: author created, based on data from the Central Statistical Bureau of Latvia, 2020

* The upper diagonal part of the table contains correlation values

* The lower diagonal part of the table contains corresponding p values

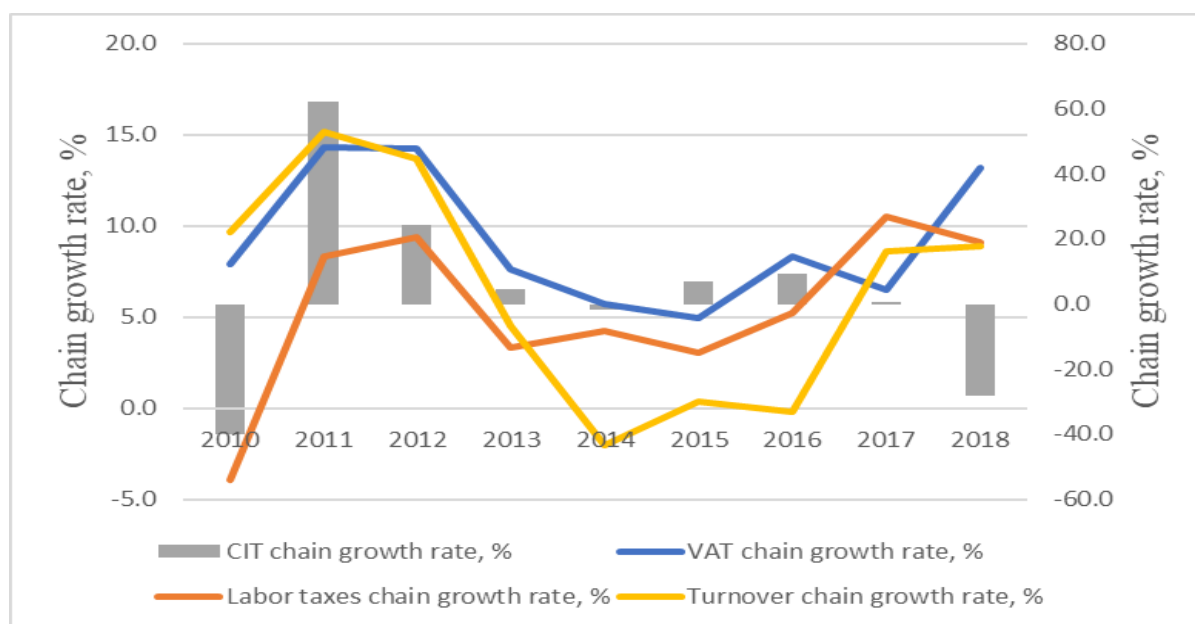
* According to the statistical theory, it is assumed that the relationship is statistically significant if $p < 0.05$

For taxes directly related to the company's turnover, i.e. VAT (correlation 0.938 and $p < 0.001$) and labour taxes (correlation 0.931 and $p < 0.001$), the matrix shows close relationships between the factors, but CIT does not establish close links with any of the subjects. In the analysis of the correlation matrix, the author concludes that the increase in turnover, although theoretically it should also contribute to the increase in profit, which appears in the CIT increase, respectively, in practice is average close, i.e. correlation is 0.663 and $p = 0.051$.

For example, in 2014, when VAT and labour tax revenues continue to grow, CIT revenues shows a drop of around EUR 6 million (Figure 2). Similarly, the decline is seen in the turnover figures for 2014, with continued increases in labour taxes and VAT. Although, according to the results of the factor analysis, VAT and labour taxes are closely linked to turnover rates, in certain periods the correlation in absolute terms is not expressed or the indicators are in reverse trend.

By exploring the chain growth rates shown in Figure 3, the relationship between tax revenue dynamics can be determined more precisely than by studying absolute figures. The dynamics of growth rates shows that turnover rates already declining in 2012, while the trend of labour tax increases is maintaining a rise, but the rate of VAT growth is not maintaining so much but keeping pace unchanged. Although in absolute terms 2013 shows a positive trend, i.e. the volume of all taxes collected is increasing, the growth rate clearly marks a sharp downturn.

Figure 3: Comparison of the chain growth rates of the Latvian business turnover, taxes and social contributions revenue in dynamics from 2010 to 2018



Source: author created, based on data from the Central Statistical Bureau of Latvia, 2020

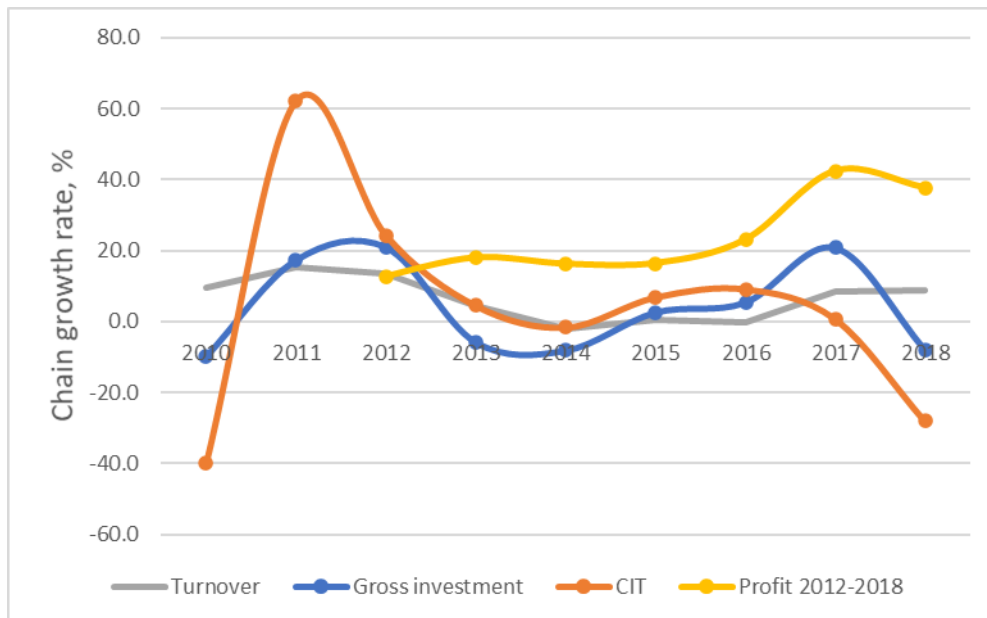
A somewhat uncharacteristic situation on the market appears in 2014, when turnover rates continue to fall sharply, reaching negative value, the same situations is with VAT trend, but the growth rates of labour tax revenues are increasing again. Such a situation on the market may occur at the time when entrepreneurs, despite rapidly falling turnover rates and possibly lost internal or external markets, are forced to raise wages for specialists (if they were reduced before), who form the company's professional basis but do not want to accept reduced wages and are starting to migrate into the labour market, thereby creating a threat to the company's stability. The 2015 and 2016 growth rates represent market attempts to regain stability, which in 2017 can be considered recovered. In the last two years of the rapid and non-turnover changes of the VAT curve the author explains with the extension of the VAT reverse order base, which may result in a situation that, immediately after a change in the first reporting periods the amount of VAT to be refunded from the State

treasury is increasing, but as shown by the curve, it is rapidly recovering what has been missed in the subsequent reporting periods and even overtakes the amount lost in the fall.

The growth rates of the collected CIT differ significantly comparing with the dynamics of the other indicators, therefore it is represented differently and postponed to the right of Figure 3. In the dynamics of CIT, the first and last reporting period is very different, when the effects of the previous economic crisis in 2007-2009 were still felt in 2010, and the new CIT arrangements already entered into force in 2018, excluding the share of reinvested profit from the taxable base. Therefore, CIT after 1st of January 2018 partially loses its statistical significance in the analysis of the selected factors, but the question remains whether investments were made at a higher level during that period.

By investigating the growth rates of gross investment compared to the growth rates of company turnover, collected CIT volume and profit growth rates, the author comes to the conclusion: the assumption will not be confirmed, that the CIT reduction could be compensated with an increase in gross investment and gross investment volume even decrease in 2018, following CIT declining rates, although turnover rates remain a constant growth trend. The fact, that companies do not make investments in 2018 has likely been affected by the decline in the chain growth rate of profit, although in absolute terms it keeps a rise of 1136 million.

Figure 4: Business turnover, gross investment and CIT chain growth rate dynamics from 2010 to 2018 (profit dynamics from 2012 to 2018)



Source: author created, based on data from the Central Statistical Bureau of Latvia, 2020

The profit figures are included in the figure only from 2012, because previous periods highlight the effects of the previous crisis (2007-2009), that prevents a qualitative comparison of data, because up to 2011 shows a dramatic decrease in the growth rate of profits, i.e. -19645 percent, the absolute figures for 2010 and 2009 profits were critical low compared to the rest of the data during the studied period.

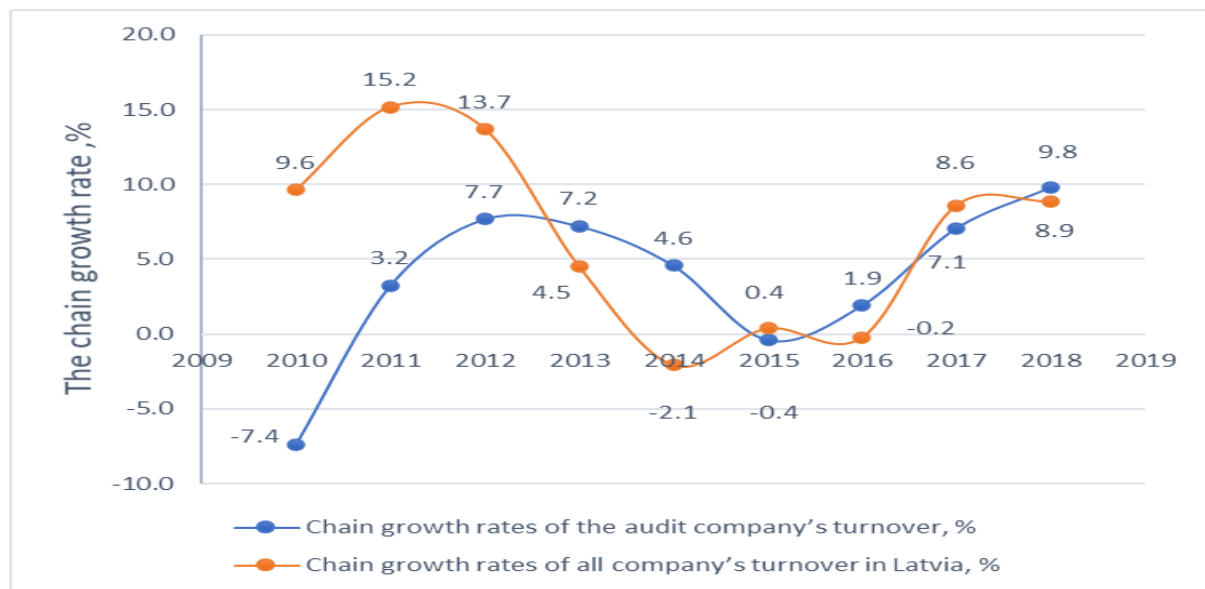
In summarizing the relationship between tax revenues and business turnover, the author concludes that the dynamics of labour taxation are relatively inflexible, because the rapid changes in the business environment, which affect turnover, are not always able to make equally dynamic changes to labour costs and therefore the amount of taxes collected. In order to maintain a high-quality workforce, in a situation where turnover is falling, entrepreneurs cannot reduce labour costs proportionally, in practice this compensation of labour expenses is covered by lost profit. On the other hand, regarding the changes to the CIT framework in 2018, entrepreneurs have initially responded cautiously and to recover their share of profits after the crisis a short-term strategy has primarily been implemented, but without rushing to reinvest it. In the short term the expected outcome from entrepreneurs in the reinvestment of profits is slow, that confirmed by the fall in gross investment in 2018. The impact of the long-term changes in regulation framework of CIT could be concluded at the end of 2022.

4. EMPIRICAL ANALYSIS OF STATISTICAL INDICATORS OF DISCLOSURE

The regulatory framework of disclosure requirements as the central regulatory enactment on the quantity and quality of information provided by companies is identified in the LR “Law on the Annual Financial Statements and Consolidated Financial Statements”. The veracity of the information provided by the final statement of the annual report specified by the Law and the conformity of the company’s data, as well as the quantitative and qualitative content of the information included in the annual report and compliance of the annual report with the law shall be attested by a sworn auditor. It should be noted that for small companies, the statutory audit of a sworn auditor is not mandatory, but in practice medium-sized companies often invite an auditor to give assurance to both capital holders and external users about the completeness of the company’s financial data.

The purpose of the analysis is to determine the importance of the presentation of the audited annual report in Latvia. For data analysis in dynamics quantitative indicators such as the number of commercial companies of sworn auditors and the dynamics of their turnover relationship with all Latvian turnover are selected. In order to find out whether the recruitment of sworn auditors in Latvia is increasing in order to get audit report of annual report, the turnover data of the auditors' companies are being studied in dynamics from 2010 to 2018 and their relationship with the turnover rates of all companies in Latvian.

Figure 5: The dynamics of chain growth rates of the audit company’s turnover and all Latvian companies turnover between 2010 and 2018



Source: author created, based on data from Lursoft IT, Ltd, 2020

The dynamics of the chain growth rate of the turnover of the auditors' companies, compared to the dynamics of the turnover of all Latvian companies, are more gradual, which makes it possible to conclude that the dynamics of the auditors' business indicators are only partly related to rapid changes in the business environment in Latvia (Figure 5). In view of the fact that the statutory audit examination of the annual accounts of the sworn auditor is mandatory under specific criteria determined by LR “Law on the Annual Financial Statements and Consolidated Financial Statements”, the author concludes that the most rapid changes in the business environment in Latvia are bringing small business activities. According to the author, based on the mandatory nature of the Law, the turnover curve of the audit companies describes the overall stability of medium and large companies in Latvia.

By examining in detail the sharpest drop in turnover of auditors companies in 2015, compared to 2012 when turnover rate was nearly 20 times higher, 41 companies out of 105 experienced a decrease in turnover, based on that fact the author concludes the decrease in turnover cannot be explained by the narrowing of one or more large companies, but by the total market swings that have affected nearly half of the audit companies and probably also nearly half of the audited entities.

The author welcomes the relatively rapid increase in turnover growth rate of auditors' companies last year, because it is a clear indicator that the situation in business environment of Latvia is improving with one or two positive factors:

1. The number of companies requiring audit under the Law, or at the same time the number of companies that voluntarily choose to present their choice of confirming the completeness of the data contained in the annual report, is increasing. In addition, the criteria for recruiting a sworn auditor to examine an annual report have been increased several times in the dynamics.

For the first time, the criteria were increased in 2007, second time was on 1st of January 2014, when the changeover to the euro took place. Last time criteria for recruiting a sworn auditor to examine an annual report was on 1st January 2016, when the new, current LR “Law on the Annual Financial Statements and Consolidated Financial Statements” entered into force.

2. The turnover of companies already receiving audit services is increasing, because in practice the audit price depends on the company's turnover.

In order to make sure about the business relationship between the audit companies and all Latvian companies, a correlation matrix including all study indicators is drawn up.

Table 3: Correlations matrix with p values of quantifiable sizes of audit companies and all companies in Latvia

<i>Study indicators</i>	Audit comp. amount	Audit comp. turnover	Audit comp. turnover increase	All comp. amount in Latvia	All comp. turnover in Latvia	All comp. turnover increase
Audit comp. amount	***	0.969	0.551	0.946	0.909	-0.489
Audit comp. turnover	<0.001	***	0.611	0.892	0.941	-0.366
Audit comp. turnover increase	0.124	0.081	***	0.399	0.812	0.131
All comp. amount in Latvia	<0.001	0.001	0.288	***	0.826	-0.586
All comp. turnover in Latvia	0.001	<0.001	0.008	0.006	***	-0.265
All comp. turnover increase	0.182	0.332	0.738	0.097	0.490	***

Source: author created, based on data from the Central Statistical Bureau of Latvia, Lursoft IT Ltd, 2020

* The upper diagonal part of the table contains correlation values

* The lower diagonal part of the table contains corresponding p values

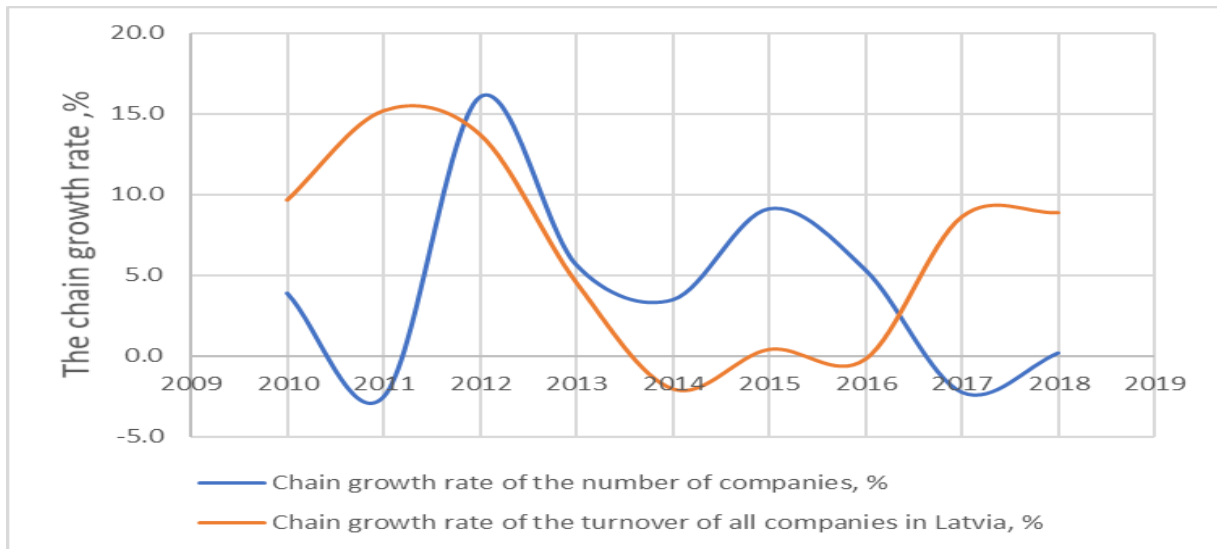
* According to the statistical theory, it is assumed that the relationship is statistically significant if $p < 0.05$

Although there is no linear correlation between the turnover rates of both groups of companies in Figure 5, the correlation between the absolute values of the turnover of auditor companies and all companies in Latvia is 0.941 and $p < 0.001$, so the relationship between the absolute indicators is close. Studying the correlation of turnover growth rates, the author concludes that the relationship between turnover growth rates does not exist, the correlation is 0.131 and $p = 0.738$. This is confirmed by the irregularity of the growth rates observed in Figure 5, that has consequently affected the correlation factors of the relationships. Since turnover growth rates do not constitute a relationship, it leads to make conclusion about the structure of the business environment, that there is a significant amount of small companies which consequently results in a change in the overall company turnover, but these changes are not related with audit companies.

Based on the explored correlation of indicators, the author concludes the business environment in Latvia mostly consist of small businesses, because based on correlation matrix (Table 1) as the turnover of accounting outsourcing companies changes, this takes place at a similar rate (correlation 0.961, $p < 0.001$) as changes in the number of all companies in business environment in Latvia.

In order to confirm or deny the statement regarding the heterogeneity of the business environment structure, the relationship between the chain growth rates of the number of companies in Latvia and their turnover is investigated. The data are summarised in Figure 6.

Figure 6: The chain growth rates of the number of companies in Latvia and the turnover between 2010 and 2018, as a percentage



Source: author created, based on data from the Central Statistical Bureau of Latvia, 2020

In order to confirm the assumption that business environment in Latvia is based on small businesses, the growth rate of the number of companies should exceed the turnover rate of companies, but in order to confirm the opposite, the turnover growth rate should exceed the growth rate of number of companies.

During the period between 2011 and 2016, the trend of both growth rates is similar, which means that changes in the turnover rate of companies also lead to a change in the number of companies and this situation are typical in a business environment dominated by small businesses. Figure 6 charts at both ends represents the situation, that between 2010 and 2011 and between 2016 and 2018 the opposite trend appears, i.e. despite the reduction in the number of companies, the overall growth of companies turnover continues, this situation leads to the conclusion that medium and large companies are forming during these periods of time, pushing small businesses out of the market. Studying the correlation matrix in Table 1, the correlation between the absolute values of the number of companies and their turnover is 0.826, $p = 0.006$, so the relationship is close, while the correlation between their chain growth rates is -0.109 , $p = 0.781$, so there is no direct linear relationship. This leads to the conclusion that the business environment in Latvia is based on small businesses with individual episodes where competition or any external situation leads to the exclude small companies from the market. According to the author, the correlation factor of absolute values 0.826 (between number of companies un their turnover) does not represents an increase in the number of large companies on the market, since each newly created company (which increases the number of companies) is not able to produce an increase in turnover in business as can be achieved by medium and large companies.

5. CONCLUSION

Summarizing the results obtained using quantitative analysis methods and compiling their assessment and conclusions about specific features of the business environment, which is due to the impact of the regulatory framework for accounting, the author constitutes a multi-factor regression equation which would explain the number of companies in the business environment based on factors deriving from the accounting regulatory framework.

As it was concluded above, the figures for outsourcing companies' turnover could serve as an indicator of the number of small businesses, because the peculiarity of the Latvian business environment is that accounting outsourcing currently mostly use small companies, that has also been demonstrated by factor analysis. And at the same time the health of the life cycle of large companies is characterized by turnover rates of auditors' companies. A certain proportion of companies consists of other companies, such as small companies, which do not outsource accounting services, as well as medium-sized enterprises that do not fall under the statutory audit criteria mandatory by law.

Based on the above, and using the turnover rates of accounting outsourcing providers and audit companies in dynamics from 2010 to 2018, a regression equation is established to calculate the total number of companies in Latvian business environment:

$$Z=60633.33 + 0.5195X - 0.7094Y \quad (1)$$

Where:

Z – The number of all Latvian companies,

X – Turnover of accounting outsourcing companies,

Y – Turnover of audit companies.

For the calculation of the regression equation performed, the reference error or adjusted R-squared is 0.9067, which is considered to be a statistically high probable indicator, because the maximum possible value is 1. The p value is 0.0003424, this indicator also confirms the statistically high-probable value of the resulting regression equation coefficients, because the desired level is $p < 0.05$.

By concluding the assessment of the quantitative performance of the business environment, using the elements of the accounting regulatory framework, the author concludes that the structure of participants in the business environment is not homogeneous. The obtained regression equation confirms the previously obtained conclusions. In certain periods when the business environment is affected either by targeted conditions (2007) or by external circumstances (2014), the large company turnover is also suffering, which suggests that Latvia's business environment is vulnerable.

REFERENCES

- Keišs, S (1999) Economic Growth and Stability Problems in Entrepreneurship. The Environment of Entrepreneurial Activity: Juridical Base and Quality. School of Business Administration Turība. Riga. pp.100-109.
- LR law "On taxes and Duties", available on www.likumi.lv, (1995).
- LR "Law on the Annual Financial Statements and Consolidated Financial Statements", available on www.likumi.lv, (2016).
- Data of Central Statistical Bureau: IKG 10_100. Gross domestic product, per capita and per employee, available on: http://data1.csb.gov.lv/pxweb/lv/ekfin/ekfin__ikp__IKP__ikgad/IKG10_010.px/, 2020.
- Data of Central Statistical Bureau: MBG 151. Detailed composition of household consumption expenditure (ECOICOP) average per households member per year (euro), available on: http://data1.csb.gov.lv/pxweb/lv/sociala/sociala__mb__izdevumi/MBG151.px/, 2020.
- Data of Central Statistical Bureau: PCG 021. Consumer price indexes and changes in groups and sub-groups (ECOICOP), available on http://data1.csb.gov.lv/pxweb/lv/ekfin/ekfin__PCI__ikgad/PCG021.px/, 2020.
- Data of Central Statistical Bureau: SGB010. Companies' main business indicators, available on http://data1.csb.gov.lv/pxweb/lv/uzn/uzn__uzndarb/SBG010.px/, 2020.
- Data of Central Statistical Bureau: UFG 040. Profits or losses of companies by type of activity (LV NACE 2.red.), available on http://data1.csb.gov.lv/pxweb/lv/uzn/uzn__uznemfin__ikgad/UFG010.px/, 02020.
- Data of Central Statistical Bureau: VFG030. General government sector detailed tax and social contribution revenue by type or sub-sector (million euro), available on http://data1.csb.gov.lv/pxweb/lv/ekfin/ekfin__valdfin__ikgad/VFG030.px/table/tableViewLayout1/, 2020.

Skills Mismatch in the Labor Market a Precondition of Brain - Drain Phenomenon in Developing Countries with Special Emphasis in Kosovo

Prof.Ass.Dr. Besime Ziberi¹

¹Teaching Professor, Faculty of Economics, AAB College, Kosovo, e-mail:besime.ziberi@universitetiaab.com

Abstract: The main aim of this study is to analyze the skills mismatch in labor market as a precondition of brain - drain phenomenon in Kosovo as a developing country. Due to the lack of secondary data related skills match vs. mismatch in labor market, profiles created by education and skilled migration in Kosovo, this study indirectly tries to shed light on the possibility that the mismatch of skills requirements in the job market is a precondition for brain - drain phenomenon in the future. The data used in this paper is secondary data gathered from Kosovo Agency of Statistics on the main variables in the analysis included: (i) employment rate vs. unemployment, (ii) employment by sectors, (iii) average wages in the public and private sector and (iv) number of students in education

This study, through descriptive and comparative analysis, concludes that although the unemployment rate in total shows a downward trend, in the structure, the unemployment rate with university degrees shows an upward trend. Seen by the growing number of university graduates, this refers to a skills mismatch in the labor market. The paper comes with some additional conclusions and recommendations.

Key words: University graduate, Job market, Skills mismatch, Brain - drain

Introduction

The education of a people is a key factor of growth and a country's economic development. Quality education is a topic of recent debate. Perhaps a quality education is seen as the key to a country's success, all forces must be oriented towards the connection between 'input' - spending dedicated to education and 'output' - profiles created by education always taking into account labor market demands. Quality education is expected to have a positive impact on increasing the employment rate, thus reducing social needs for assistance and social assistance and various programs which are the burden of passive labor market policies. The main strength and challenge at the same time, of the policy makers of educational policies is precisely the path of transmission between education, the labor market and economic growth. As countries pursue educational policies aimed at integrating their economies, political systems, and social structures into a broader and more powerful union, it is clear that higher education, research, and innovation are critical components of to fully understand the potential benefits of these changes (Harry et.al 2008).

As countries pursue educational policies aimed at integrating their economies, political systems, and social structures into a broader and more powerful union, it is clear that higher education, research, and innovation are critical components of to fully understand the potential benefits of these changes. Since expectations from graduates, at any level of education, are a priori - to end with the appropriate knowledge and skills corresponding to the study cycle, this does not happen in most cases. Such a phenomenon is more prominent in developing countries. As is usually the case in developing countries, where university graduates are growing (according to the principle of quantity) but are not in the labor market. This is how the need to study the quality of education arises.

It is worth noting that on the road to the development of the education sector, the amount of education, expressed in terms of the number of students enrolled and their graduation, is a necessary condition that must be met. While quality is a condition of sufficient education as a public good. Although in terms of both quantity and quality, they can be followed and in the same step, rationality dictates that first of all the first condition is met - that of quantity and then that of quality. Investing in education primarily means investing in human resources which means creating a skilled workforce that will influence the creation of innovations, increase productivity and wages, reduce the demand from the state for financing various social programs will increase the state budget from tax accumulation and all this is expected to have a positive impact on the country's economic growth. The benefits of investing in education do not end here, there is a long list not to say endless of the benefit of the state and society as a whole from the proper education of the population starting from: increasing the number of skilled labor, creating profiles adequate based on the demands of the labor market while meeting the needs of the market, increasing productivity, increasing wages and improving standards of living thus increasing the country's economy accompanied by increased social welfare. Viewed from this prism,

the expression arises as to what happens if university graduates are out of the job market as a result of incompatibility of the skills required by the job market and offered. This mismatch of skills is a prerequisite for creating the brain-drain phenomenon in developing countries. Brain drain is an expression of British origin commonly used to describe one of the most sensitive areas in technology transfer specifically refers to skilled professionals who leave their native lands in order to seek more promising opportunities elsewhere. It is precisely the university graduates who cannot find a job within their profile tend to be those who will be looking for a job abroad, precisely to practice their profession, career advancement, better standard of living, social welfare and political and economical security.

1. Review of related literature

Investing in education is beneficial to society as a whole, both micro and macro, and has a direct and indirect impact on the system, this is especially true in countries with weak labor market regulations and weak social security systems. (Gangl, 2004). All developing countries in the broadest sense of the word are faced with the "quality" of the workforce, which means that young people generally graduates of university (diploma holders) are faced with irregular employment and this really causes a inconsistency of profiles created by education with the profiles required by the labor market. An inconsistency of this nature lies in the skills possessed by the university-graduate workforce and the skills required by the real sector, which at the same time poses a very significant obstacle to the country's economic development.

Other forms of incompatibility of qualifications and skills are likely to have deteriorated, such as in some cases employees may be employed in occupations which are below the qualifications they possess (over-skilled employees for the country of work based on the level of education) or engaged in professions that normally require skills that the workforce does not have (employees skilled against job requirements), in both cases the incompatibility of skills affects satisfaction and wages. individual employees as well as firm productivity, it can also lead to increased staff turnover (Quintini, 2011). In cases of non-compliance on the basis of qualifications and skills when we have under assessment, specifically when university graduates are employed in professions below their qualifications, it is a cause for brain - drain.

In developing countries, the case of incompatibility of workforce skills extends to the framework of both cases, both in terms of quantity and quality. This refers to the fact that the number of skilled workers measured in this way by their education level does not correspond to the size of the quantity required for these types of skills / profiles / professions.

The incompatibility of skills depends on many aspects, first of all it depends on the qualification of the workforce in certain jobs, this means that if there is no opportunity to create new jobs at the state level, Qualified employees, measured by their level of education, will agree to work in those jobs that are required, this in the long run will negatively affect by reducing productivity. Also in the opposite case of non-compliance as a result of inadequate qualification, in both cases non-compliance leads to reduced productivity negatively affecting the development of sectors at the micro level and beyond at the level of growth and economic development of the country while it also caused the brain drain phenomenon.

The mismatch of educational policies with the needs of the labor market creates "inadequate profiles" dominated by profiles of socio-economic and human sciences, which are not in line with the demands of the labor market, so it is important that public funding policies education should be oriented towards the creation of skilled labor, which is also the basis for the economic development of a country. Thus, human resources: "constitute the fundamental basis for the creation of the wealth of nations.. Capital and natural resources are passive factors of production; Human beings are active agents who accumulate capital, exploit natural resources, build social, economic and political organizations, and take care of the country's economic development.

It is clear that a country that is unable to develop the skills and knowledge of its people and use them effectively in the national economy will not be able to develop anything else. (Harbison, 1973). One reason is that the Western Balkan countries are new to the transition process, and so Foreign Direct Investment, diversification from traditional sectors, and job creation in the private sector are still stagnant compared to EU member states. At the same time, these countries are facing the phenomenon of very large emigration and brain drain, thus resulting in high remittance flows that likely contribute to wage reservation, hinder external competition, and thus contribute as well. in the long duration of unemployment (Kovtun, et al., 2014). In the

economic literature dedicated to education, employment and economic growth, there are a number of studies that come to different conclusions..

According to Bakare, (2006) the impact of increased investment in human capital in Nigeria using the 'vector autoregressive error corrections' mechanism concludes that there is a significant functional and institutional link between investment in human capital and economic growth in Nigeria's case because of a 1% reduction. Investment in human capital negatively affects economic growth, thus reducing Gross Domestic Product by 48.1% in the period 1970 - 2000. Odeleye, (2012) studies the relationship between investment in education and economic growth using primary data and secondary data. The first model used is to test the performance of teachers in primary schools and the second model is the OLS method to test the link between real gross domestic product and current government spending dedicated to education, government capital expenditure and gross capital formation. The model shows that in the Nigerian case an increase of 1% in capital expenditures dedicated to education leads to a decrease of 0.17% in Gross Domestic Product. However, capital expenditures on education, which is expected to stimulate economic growth, have been found to be insignificant and against economic theory.

Biagi & Lucifora, (2008) have studied the impact of education on the unemployment rate using data from labor surveys for ten European countries and conclude that higher education (measured from the perspective of the labor force with secondary education and above) reduces the unemployment rate, together for the less educated and for the more educated measured by years of schooling) but keeping the other variables unchanged, both demographic variables and those of business cycles.

Expenditures on education and training as a proportional number of GDP are a good indicator if we want to know how much states pay for public education.

The situation of "on the part of the educated, but in the quantitative aspect" came into play, as a result of the education policy in the countries of the Western Balkans as countries thus developing which does not meet the needs of the labor market.

At the same time the creation of new jobs will be able to be exploited if the lack of skills is addressed in advance. Education reforms in developing countries are generally designed for political reasons or guided by the principle, "more is better in the state of better is more", mass education, populist versus the principle of quality and thus not related to the needs of labor market, educational policy design is inherently based on analysis and research, yes reforms but not pro forms! (Bexheti & Mustafi, 2015).

2. Research Methodoly and Data

This scientific paper is based on the review of international literature on the importance of education, educated people and non-harmonization of skills requirements in the labor market as a precondition for the creation of the brain drain phenomenon.

In the reviewed literature we do not have a lot of research addressed on the disharmony of profiles in the labor market as a precondition for the brain – drain phenomnom specifically university graduates who for various reasons are likely to leave the homeland seeking work in their profession abroad. This paper concretely tends to clarify a factor not very much discussed specifically the skilles mismatch in the labor market as a precondition for the creation of the brain - drain phenomenon. The research in question is descriptive, analytical and comparative. This study is mainly based on secondary data provided by the World Bank, the Statistics Agency of Kosovo, the Ministry of Finance and others. The secondary data are processed and presented graphically by the author himself which are presented in the next section. The secondary data are processed by the author himself and presented in the form of tables and graphs in the next section.

3. Results and Discussion

In this section we interpret the results using tables and graphs.

Table 1. Employment rate by the level of education (2013-2019)

	2013	2014	2015	2016	2017	2018	2019
No school	0.5	0.3	0.1	2.2	2.1	4.2	3.6
I -IX classes	19.0	17.9	15.0	11.3	13.5	13.8	9.8
Secondary vocational	42.5	40.0	36.2	33.1	36.1	84.9	34.5
Secondary gymnasium	13.3	15.7	21.2	27.0	31.7	37.4	28.5
Tertiary	24.7	26.1	27.5	53.2	60.2	68.9	62.8

Source: Kosovo Agency of Statistics, author's calculations, <https://ask.rks-gov.net/>

In the above table - the employment rate according to the educational level, we can see an increasing trend of the no school category, where in 2013 the employment rate was 0.5 and in 2019 the employment rate reached 3.6. Regarding the level of employment of category I - IX classes, the trend of employment is decreasing from 19% to 9.8%. The secondary vocational category marks a downward trend from 42.5 in 2013 to 34.5 in 2019, the secondary gymnasium category marks an increasing trend from 13.3 to 28.5 in 2019. The Tertiary category concretely with a university level from 2013 specifically from 24.7 to 60.2 in 2017 to continue the trend further to 68.9 in 2018 and then is shown a decrease trend in 2019 to 62.8 percent.

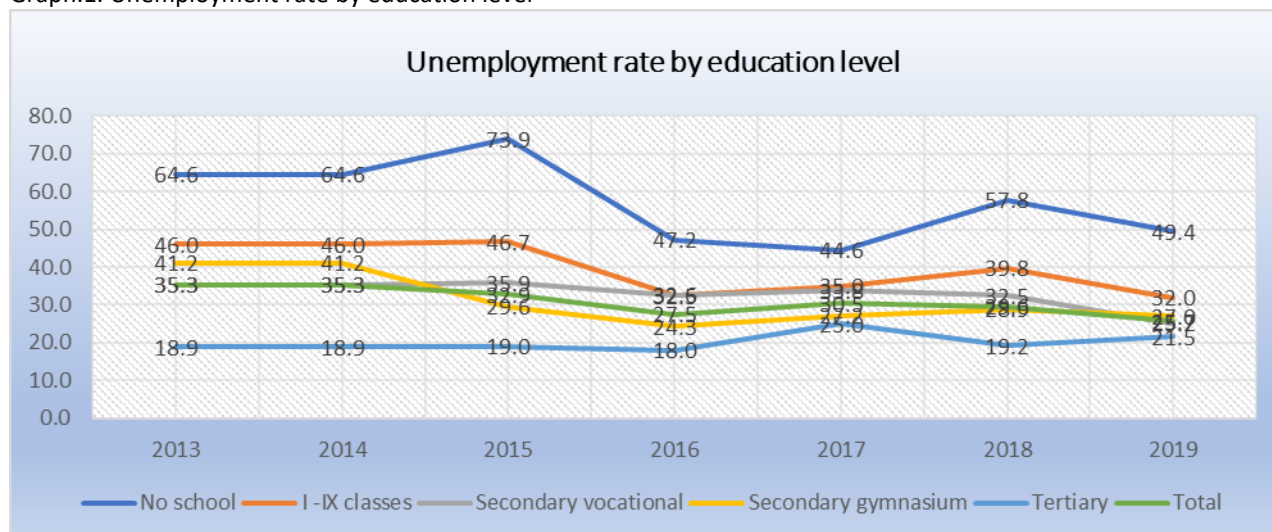
Table 2. Unemployment rate by the level of education (2013-2019)

Unemployment rate (%)	2013	2014	2015	2016	2017	2018	2019
No school	64,6	64,6	73,9	47,2	44,6	57,8	49,4
I -IX classes	46,0	46,0	46,7	32,6	35,0	39,8	32,0
Secondary vocational	35,3	35,3	35,9	32,5	33,8	32,5	25,2
Secondary gymnasium	41,2	41,2	29,6	24,3	27,2	28,9	27,0
Tertiary	18,9	18,9	19,0	18,0	25,0	19,2	21,5
Total	35,3	35,3	32,9	27,5	30,5	29,6	25,7

Source: Kosovo Agency of Statistics, author's calculations, <https://ask.rks-gov.net/>

In the above table related total unemployment rate we can see an decrease trend in the total unemployment rate over the years from 2013 to 2019, respectively by 35.3 percent in 2013, the total unemployment rate decreases to 25.7 in 2019. However, if we analyze in structure the rate of unemployment rate with tertiary education (university) we can see that in 2013 the unemployment rate with the highest level of education (Tertiary/University) was 18.9 and in 2019 the unemployment rate reaches 21.5. This increase trend in the unemployment rate of university graduates corresponds to a mismatch of job skills requirements.

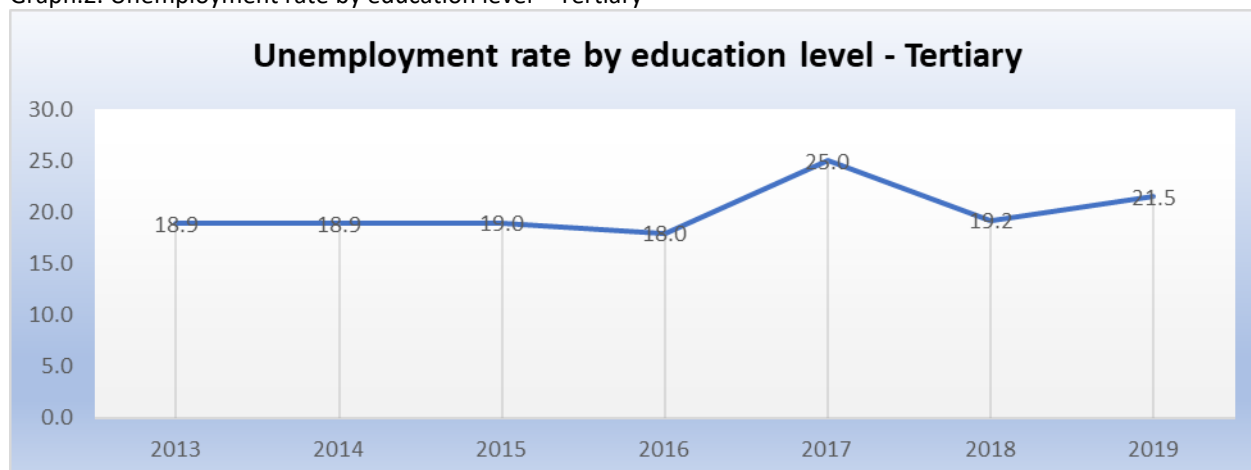
Graph.1. Unemployment rate by education level



Source: Kosovo Agency of Statistics, author's calculations, <https://ask.rks-gov.net/>

The unemployment rate according to the level of education is also presented through graphs where it is clear that in all educational levels the unemployment rate is declining and only at the level of university education the unemployment rate is increasing.

Graph.2. Unemployment rate by education level – Tertiary



Source: Kosovo Agency of Statistics, author's calculations, <https://ask.rks-gov.net/>

The graph on the unemployment rate with university education has been selected to be presented in particular for the fact of importance in this study. As can be seen in the graph, the unemployment rate with the highest level of education marks an increasing trend.

This addresses the fact that the profiles created by education system do not correspond to the professions required in the labor market, which may also be the cause in the future of the phenomenon of brain - drain, specifically the migration of the educated population to a country with the perspective to find a job in their profile, career advancement, well-being and standard of living.

Table 3. Employment by activities (2012-2019)

	2012	2013	2014	2015	2016	2017	2018	2019
<i>Agriculture, forestry and fishing</i>	4,6	5,9	2,6	2,3	4,2	4,4	3,5	5,2
<i>Mining and quarrying</i>	1,2	1,3	1,1	0,8	1,1	1,2	0,9	0,6
<i>Manufacturing</i>	14,3	12,6	13,8	14,7	13,2	13,2	10,3	11,9
<i>Electricity, gas, steam and air conditioning supply</i>	2,3	1,7	1,7	1,8	1,6	1,8	1,8	1,4
<i>Water supply, sewerage, waste management</i>	1,2	1,2	1,0	1,5	2,0	1,2	1,3	1,1
<i>Construction</i>	9,5	11,4	10,9	9,5	11,5	12,9	11,9	12,6
<i>Wholesale and retail trade, repair of motor vehicles and motorcycles</i>	13,4	12,8	14,4	14,4	14,8	14,7	17,0	17,0
<i>Transportation and storage</i>	3,5	3,2	3,4	2,8	3,2	2,7	3,3	3,7
<i>Accommodation and food service activities</i>	4,8	5,3	6,0	6,6	6,4	6,6	6,9	6,4
<i>Information and communication</i>	2,3	2,9	2,9	3,2	2,2	2,6	3,4	3,8
<i>Financial and insurance activities</i>	2,2	2,2	1,8	2,0	1,9	1,7	2,0	1,7
<i>Real estate activities</i>	0,2	0,2	0,0	0,1	0,1	0,1	0,1	0,1
<i>professional, scientific and technical activities</i>	1,8	2,0	2,0	1,8	2,0	2,2	1,8	2,7
<i>Administrative and support service activities</i>	4,7	3,8	3,4	3,6	3,3	3,8	2,9	3,9
<i>public administration and defense, compulsory social security</i>	5,0	4,9	6,4	7,4	7,4	6,1	7,0	6,6
<i>Education</i>	12,0	11,1	11,9	12,2	10,6	9,5	11,3	10,0
<i>Human health and social work activities</i>	7,5	8,1	7,2	6,2	5,6	6,5	5,8	5,3
<i>Arts, entertainment and recreation</i>	2,2	1,7	1,5	1,5	1,7	1,4	1,3	1,3
<i>other service activities</i>	3,9	3,6	3,4	4,2	3,6	4,4	4,8	2,7
<i>*Activities of households as employers</i>	1,6	2,2	2,9	2,4	2,6	2,1	1,7	1,2
<i>Activities of extraterritorial organizations and bodies</i>	1,7	1,9	1,5	1,2	0,9	1,0	1,0	0,7

Source: Kosovo Agency of Statistics, author's calculations, <https://ask.rks-gov.net/>

The table presents employment over the years according to activities. The table presents all activities and the employment rate, as we can see employees in education mark the decreasing trend to 10%, financial and insurance activities also marks the decreasing trends from 2.2 (2012) to 1.7 in 2019.

This table is a good address of activities to see closely which of these activities can be expected to increase or decrease employment in the future, from where young people can be further determined for their future professions.

Table 4. Gross and net salary in public and private sector

	The average salary		Public Sector		Private Sector		Public enterprises		Public Sector (KCB) and Public Enterprises	
	Gross	Net	Gross	Net	Gross	Net	Gross	Net	Gross	Net
2012	431	384	407	353	367	333	518	465	424	384
2013	444	393	415	356	367	333	549	491	446	403
2014	482	430	465	408	358	326	624	556	511	459
2015	510	451	511	441	367	333	651	578	542	486
2016	519	457	525	449	371	337	660	586	549	492
2017	528	471	532	474	384	348	667	592	551	493
2018	558	498	573	509	401	364	699	620	560	501

Source: Kosovo Agency of Statistics, author's calculations, <https://ask.rks-gov.net/>

Following the employment by sectors, in the table above we present the average salary by the public and private sector. A very important indicator of the expectations of young people when choosing professions is the salary. In this direction is seen that the salaries offered by the public sector mark an increasing and positive trend and in comparison with the average salary in the private sector is much higher, namely the gross salary in the public sector in 2012 was 407 euros and the net 353 euros and in 2018 the gross salary reaches 573 euros and the net salary 509 euros which compared to the gross salary in the private sector in 2012 was 367 euros while the net salary 333 and in 2019 is gross salary is 401 euros respectively the net salary reaches 364 euros.

Considering 2018, although in both public and private sector the trends are increasing, we still conclude that the gross and net salary in the public sector is much higher than the gross and net salary in the private sector. Specifically, the net salary in 2018 in the public sector is 509 euros, while the net salary in the private sector is 364 euros. Also, salaries in Public enterprises reach 620 euros and in the public sector and public enterprises 501 euros. In principle, the public sector as an employer is more attractive in terms of wages and better working conditions. If young people are oriented to the profile to meet the needs of the public employer, the unemployment rate will again increase in the coming years as a result of overcrowding in the public sector.

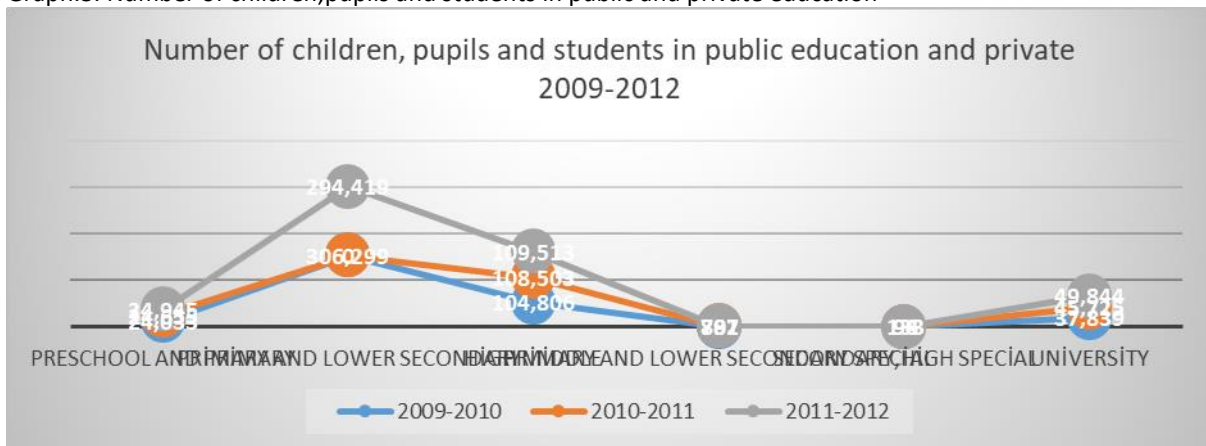
Table 5. Number of children, pupils and students in public education and private 2009-2012

	Preschool and Primary	Primary and lower secondary	High middle	Primary and lower secondary special	Secondary, high special	University
2009-2010	24.033	306.299	104.806	791	94	37.839
2010-2011	24.655	.	108.503	807	98	45.725
2011-2012	24.945	294.419	109.513	782	133	49.844

Source: Kosovo Agency of Statistics, author's calculations, <https://ask.rks-gov.net/>

In the table above we have presented number of children, pupils and students in public and private education for time period 2009-2012, As we can see from the table the number of students in higher education secondary, high special, marks an increasing trend from 94 to 133 and the number of students in the university shows an increasing and positive trend from 37,839 thousand to 49,844, although in the absence of data it is assumed that the number of students in private and public universities will double by 2019.

Graph.3. Number of children,pupils and students in public and private education



Source: Kosovo Agency of Statistics, author's calculations, <https://ask.rks-gov.net/>

In the above graph we can also see an increasing trend of number of students in Universities from 37.839 in 2009-2010 the number reached 49.844 by 2011-2012.

4. Conclusions and recommendations

The main purpose of this study was to analyze skills mismatch in labor market as a precondition of the brain drain phenomenon. The two main conceptual variables of this study are precisely the mismatch of skills in the labor market and the brain drain phenomenon historically viewed, are very little treated as influential variables in each other. This study on the framework of its originality claims to highlight a slightly different spirit of analysis, specifically to analyze whether the skills mismatch may cause the of brain – drain phenomenon in developing countries, specifically in the case of Kosovo.

In the absence of secondary data over the years on the emigration rate of the skilled workforce; the demand for skills in the labour market and the the profiles created by education, we have tried to indirectly present these effects by used the secondary data from the Kosovo Agency of Statistics on the main variables in the study including: the number of employments according to the educational level vs. unemployment rate by the level of education, average salary of the private and public sector (gross and net) and the number of students in the school.

Utilizing descriptive and comparative analysis through tabular and graphical presentations, the paper concludes that the unemployment rate according to the highest level of education (university) marks an increasing trend in that structure where the total unemployment rate marks a downward trend also in this view is seen. a mismatch between what profile education creates and what exactly the labor market needs,

Among other things, the paper points out that based on the average salary between the private and public sectors, the average salary is much higher in the public sector compared to the private sector, which alludes to the attraction of young people to these professions for the sake of salary and standard of living. Considering that the state capacity for employment from year to year is significantly met, again from this point of view, there will still be a mismatch between supply and demand for occupations in the labor market.

The paper comes with some suggestions that in the future education policies should be oriented towards skills in the job market and triangle public institutions, higher education and business institutions in order to take preventive measures against the phenomenon of brain drain in the future.

Some concrete suggestions:

- The government should increase the productive expenditures dedicated to education, in order to meet the demands of the labor market and act as a catalyst from the degree holders and the labor market. Educational policy design should be based on the principle of concrete analysis and research.
- The government should be very careful in managing public spending dedicated to education in order to increase the skills of the workforce.

- The government should direct public spending on education towards productive sectors that will contribute to improving the standard of living, thus contributing to economic growth in general.
- The government should create training programs for young people to get involved in the work based on the learning experience, thus improving the quality of labor supply in the local labor market.
- A network should be created and operated that will match the skills required in the labor market with those developed in the education system.
- Higher education institutions need to create integrated academic programs with companies.

Bibliography

- Bakare, A., 2006. The Growth Implications of Human Capital Investment in Nigeria.
- Bexheti, A. & Mustafi, B., 2015. Impact of Public Funding of Education on Economic growth in Macedonia. Berg, Issue 98.
- Biagi, F. & C., L., 2008. Demographic and education effects on unemployment in Europe. Labour Economics, 15(5), pp. 1076-110.
- Biagi, F. & Lucifora, C., 2008. Demographic and education effects on unemployment in Europe. Labour Economics, 15(5), pp. 1076-110.
- Gangl, M., 2004. 'Institutions and the structure of labour market matching in the United States and West Germany'. European Sociological Review, 20(3), pp. 87-171.
- Harbison, F., 1973. Human Resources as the Wealth of Nations.
- Kovtun, D. et al., 2014. Boosting Job Growth in the Western Balkans, s.l.: IMF Working Paper European Department .
- Odeleye, A. T., 2012. Education and Economic Growth in Nigeria: A Comparative Analytical Approach. European Journal of Globalization and Development Research, 5(1).
- Quintini, G., 2011. Over-qualified or under-skilled: A review of existing literature". OECD Social, Employment and Migration Working Paper, Issue 121.

IFRS For SMEs: How To Improve The Harmonisation Of EU Accounting Legislation For SMEs?

Corinna Meyer¹

Natalja Tocelovska²

¹ Riga Graduate School of Law, Corinna.Meyer@rgsl.edu.lv

² Riga Graduate School of Law, Natalja.Tocelovska@rgsl.edu.lv, ORCID: 0000-0002-1235-6579

Abstract: Harmonisation of the financial reporting legislation is recognised and supported by the European Commission both by the regulation policies (Directive 2013/34/EU) and the ongoing initiatives (Capital Markets Union). Still, the success of Directive 2013/34/EU is doubtful and often criticised by both academic and professional communities- the excessive number of options led to 27 different accounting systems where the comparability of the financial statements across the Union is low. The ongoing Capital Markets Union initiative additionally stresses the lack of harmonisation of accounting practices as one of the main obstacles to an integrated capital market and addresses the issue. Small and medium-sized entities (SMEs), which constitute 99,8 % of all companies within the non-financial part of the EU's economy (Eurostat, 2020), are a subject to a potential implementation of International Financial Reporting Standards (IFRS) for SMEs, which have been developed particularly in this regard. Still, the European Union is reluctant to adopt the IFRS for SMEs.

There is vast academic research present on the introduction and adoption of the IFRS and IFRS for SMEs. For the latter, the authors focus on developing economies as the ones more likely to implement the IFRS for SMEs or have already done so. However, existing studies often disagree on the factors determining a country's decision regarding adoption, there is no unified view on the feasibility of IFRS for SMEs application in the EU.

This aim of this article is to explore a background for a harmonised regulatory framework for SMEs' financial reporting obligations, identify significant incompatibilities between the IFRS for SMEs and EU accounting legislation, and recommend legislative changes necessary for an EU-wide IFRS for SMEs implementation. The main findings reveal that while the EU is reluctant to implement it, the IFRS for SMEs carries the potential to follow the example of the full IFRS and could improve the degree of harmonisation of accounting rules for SMEs. The main drawback of the IFRS for SMEs is seen in the cost burden for SMEs since the standard's complexity is too high for small companies with no separation of small and medium-sized entities. The main counterarguments consist of the potential decrease in the cost of capital and a country's improved ability to attract investment. The latter corresponds to the aim of the ongoing Capital Markets Union project. As the further steps towards the harmonisation of the EU accounting legislation, the authors suggest introducing a common SME definition for European Union and the IFRS for SMEs, changing identified incompatibilities of the IFRS for SMEs with the EU accounting directives and re-examining the EU Accounting Directive due to its unsuccessful harmonisation attempts. A stronger EU involvement in the standard-setting process of the International Accounting Standards Board is recommended. The research methods used in this article are scientific publication analysis and document analysis.

Keywords: IFRS for SMEs, financial reporting, harmonisation of law, accounting standards, SMEs.

1. INTRODUCTION

Small and medium-sized enterprises (SMEs) are the backbone of the European economy. They significantly contribute to economic output, technological innovation, and job creation. Within the non-financial part of the economy of the European Union, SMEs constitute 99,8 % of all companies and generate 54,8% of the value-added (Eurostat, 2017). Whilst currently performing their business operations predominantly on national territory, SMEs carry an unexploited growth potential, related to widening their geographical scope of operations and better access to funding from international investors. The success of a cross-border expansion as well as attracting foreign capital is typically related to the stakeholders' ability to understand the financial reporting of the respective company – the investment decisions are often based on financial statements' analysis. However, for a foreign stakeholder not familiar with the national accounting regulations, the financial statement analysis of SMEs in different jurisdictions might easily lead to confusion and faulty conclusions.

Harmonisation of companies' financial reporting obligations is essential to economic decision-making in an international business environment. The degree of harmonisation for small and medium-sized entities is still relatively low but the acceptance for the IFRS for SMEs is increasing in recent years. Currently, the standard is being revised and its standard-setting body is awaiting comments from its stakeholders. While the European Union (EU) is reluctant to adopt the IFRS for SMEs, the success of its internal harmonisation attempts by the Directive 2013/34/EU (Accounting Directive) is doubtful and often criticised by the Accounting Directive's

stakeholders and researchers. The excessive number of options led to 27 different accounting systems and left the comparability of small and medium-sized entities' financial statements across the EU flawed.

This aim of this article is to explore a background for a harmonised regulatory framework for SMEs' financial reporting obligations, identify significant incompatibilities between the IFRS for SMEs and EU accounting legislation, and recommend legislative changes necessary for an EU-wide IFRS for SMEs implementation. The research provides the limitation for the EU public corporate reporting based on several directives, regulations, and recommendations including a range of financial and non-financial reporting requirements in the form of on Directive 2013/34/EU. Moreover, the comparative analysis of EU accounting legislation with the IFRS for SMEs is limited to certain financial reporting issues based on previous research on incompatibilities of the IFRS for SMEs with the former EU accounting framework and refers to the indisputable mismatches. The primary sources of law required for this research comprise legislation of the European Union and standards issued by the International Accounting Standards Board: IFRS for SMEs (2009) – first issued version; IFRS for SMEs (2015) – first revised version; Directive 2013/34/EU, the EU Accounting Directive which stipulates the financial reporting and accounting obligations of certain undertakings with limited liability; Fourth Council Directive 78/660/EEC and Seventh Council Directive 83/349/EEC which together constitute the predecessors of the Accounting Directive.

The article is structured in the following way: the literature review provides a wide-ranging rationale behind the harmonised regulatory environment for financial reporting obligations is described by analysing the existing academic research. After defining the levels of accounting legislation, IFRS is introduced, the standard IFRS for SMEs is brought into focus, discussed, and examined regarding its current spread and applicability criteria. In this context, the importance of SMEs for the economy of the European Union and the differing definitions by the European Commission and the standard-setter are analysed. The research discussion reviews the current accounting legislation for small and medium-sized entities in the EU and presents the existing identification of incompatibilities between the IFRS for SMEs and the Accounting Directive. In the result of this study, the authors analyse the findings and propose recommendations for further academic research. The research methods used in this article are scientific publication analysis and document analysis.

2. LITERATURE REVIEW

The regulatory framework for accounting in the European Union can be characterised as a complex formation of laws, guidelines, interpretations, professional recommendations, and accounting standards. The traditional national and international levels of accounting legislation are complemented by the supranational regulatory level in the European Union. The study of Grosu and Chersan (2011) pointed on a similar function of all three different sets of regulations on accounting (national, supranational, and international) to provide a normative framework for financial statements' form and content. The European Commission (2020) has emphasised the supranational role to enhance the global convergence of accounting standards and provide consistency and comparability of financial reporting across the EU. According to Posner (2010), differences between national accounting legislation created a major obstacle to cross-border economic integration. The strive for a more harmonised regulation of the corporate financial reporting with the aim to stipulate cross-border transactions and the free flow of capital has been widely accepted and implemented by both academic and professional communities. The practical development of International Financial Reporting Standards (IFRS) and IFRS for SMEs can be characterised as the important actions in harmonisation of the international accounting legislation.

The apparent success of the development and circulation of IFRS is supported by the evidence that 144 out of 166 profiled jurisdictions require IFRS Standards for all or most companies with public accountability. In the result, 27 000 domestically listed companies on 88 major stock exchanges around the world use IFRS (IFRS Foundation, 2018). What appears to be widespread adoption, according to PWC (2019) faces the major challenges from several major capital markets: the main capital markets without an IFRS mandate are the US, where there are currently no plans for change for local reporting entities (full IFRS is allowed for non-US filers), Japan, which permits voluntary adoption but has not set a mandatory transition date, and China, where domestic accounting standards have been further amended resulting in many of its principles generally being in line with IFRS. Moreover, Nobes (2013) pointed out that even in adopting jurisdictions, restrictions to the standards and the emergence of national versions can be observed. That corroborates critics such as those of Kothari et al (2010) that a globally dominant standard setter is rather incapable of meeting the heterogeneous

political and economic demands of the global economy, and thus it ultimately results in a situation where IFRS are developing into country-specific rules.

Despite the critique, the application and development of the IFRS are present and evolving. The situation with the IFRS for SMEs lacks a similar pattern. The IFRS Foundation defines IFRS for SMEs as a stand-alone document being independent of the full IFRS (the complete list of International Accounting Standards, IFRS, and interpretations issued by the International Accounting Standards Board), yet based upon the same concepts and principles as the full IFRS, those being established in the Conceptual Framework (IFRS, 2020a). Therefore, the nature of the disclosures required for a complete set of financial statements under IFRS for SMEs is very similar to the nature of those required by IFRS for listed companies. However, there are significantly fewer disclosure requirements for SMEs. The IFRS for SMEs consists of about 230 pages, compared to more than 3,000 pages of full IFRS. There are also some changes to recognition and measurement requirements (Ram and Newberry, 2017). Bohusova (2011) stressed that the recognition and measurement principles were simplified for the IFRS for SMEs in areas such as (but not limited to) financial instruments, goodwill and intangible assets with an indefinite life, research and development costs, property, plant and equipment, and intangible assets. Topics such as earnings per share are logically not included in the SME standard since an SME under the definition of the International Accounting Standards Board (IASB) does not issue shares.

The relative simplicity of IFRS for SMEs is criticised by academics as increasing the cost burden on the SMEs: Bautista-Mesa et al (2019), Hyblova, 2019, Kaya and Koch (2015). Bautista-Mesa et al (2019) highlighted the main drawback of the conversion from local accounting standards to IFRS for SMEs was the cost burden for SMEs. More precisely, opponents of the standard within the EU argued that implementation would result in increased costs for financial statement preparation and the training of employees (Hyblova, 2019). The study of Kaya and Koch (2015) showed that switching to the IFRS for SMEs as the primary body of accounting standards would be particularly costly in European civil law countries, as they tended to link their accounting legislation closely to regulatory matters, such as insolvency or taxation. Thus, a change in accounting rules would imply either a reform of tax and commercial laws or a double reporting burden for companies in meeting the obligations of national tax and commercial laws as well as the accounting requirements by the IFRS for SMEs. The increased costs for more harmonised financial reporting however are commented as natural by Damak-Ayadi et al (2020). By applying the IFRS for SMEs, a country would improve its financial statements' transparency and contribute to improved international comparability. That would facilitate SMEs' access to international financing, ultimately resulting in growth (Damak-Ayadi et al, 2020). According to Kaya and Koch (2015), the link between the implementation of the standard and the country's increased ability to attract loans is not empirically proven.

Further areas of criticism include the complexity of IFRS for SMEs. While the standard is supposed to specifically reflect the information required by external users of SMEs' financial statements, that being primarily about cash flows, liquidity, and solvency, the IFRS for SMEs requires the reporting entity to prepare a cash flow statement (IFRS, 2020). While the current EU accounting rules do not require SMEs to prepare a cash flow statement (Directive 2013/34/EU), preparation of the cash flow statement would constitute additional work. Hyblova (2019) stressed that the complexity of the standard is deemed yet too high for small companies, although it has been already significantly reduced compared to the full IFRS. This type of critique is to a certain extent relatable to the fact that the IASB does not make any differentiation in the size of SMEs. Therefore, small companies with 40 employees would be facing the same reporting efforts as a medium enterprise with 240 employees (if they are both not publicly accountable, thus classified as an SME according to the IASB). However, here it must be considered that the IASB designed the IFRS for SMEs for companies that choose or are required to publish general purpose financial statements. If a small company, however, is obliged to report solely to owners, tax, or other governmental authorities, the IASB does not consider these reports as general purpose financial statements (International Accounting Standards Board, 2016). Thus, the IASB did not intend the IFRS for SMEs to replace the rules for those non-general-purpose financial statements. The decision about which entities are required to publish general purpose financial statements is with each jurisdiction and not the IASB.

Another point of critique is targeting the IASB's due process in the development of the SME standard. The due process has been subject to a critical review regarding its suitability for representing SMEs. As discussed before, the due process is aimed at enhancing the IASB's legitimacy by allowing stakeholders to voice their opinion in the standard-setting process. Bautista-Mesa et al (2019) argue that this due process failed in the case of the IFRS for SMEs and thereby leaves the IASB with a lack of legitimacy. This failure is attributable to an inadequate

representation of SMEs' preferences. Financial statement preparers' participation in the due process for the IFRS for SMEs was significantly lower compared to the due process for the standards for listed companies. Therefore, the authors accuse the IASB of not knowing the real preferences of the users of the standard. Eventually, they suggest that attempts must be made to adapt the IFRS for SMEs to the actual preferences of SMEs by improving the IASB's due process and shifting the focus to gathering SMEs' opinions and needs. Whether the board has taken steps to better engage SMEs as the preparers of statements into the process of revising, remains unclear at this moment.

The IFRS for SMEs is intended to apply exclusively to entities that meet the definition of an SME provided by the IASB, thus having no public accountability. Other than that, even if an entity had the right or obligation under the law of its national jurisdiction to apply the standard, it could not claim compliance with IFRS for SMEs (IFRS, 2020). Within that group of non-publicly accountable entities, each jurisdiction may further narrow the scope of entities that may apply the standard. In other words, although there is no size threshold in the IFRS for SMEs, a national legislator may add such (IFRS, 2020a). Furthermore, if an entity asserts the conformity of its financial statements with the IFRS for SMEs, the IASB requires it to comply with all the provisions of the standard (IFRS, 2020). Consequently, an amended version to comply also with another set of regulations will result in a non-conformity with the standard. Warren et al (2019) pointed out the contradiction between the title of the standard and its SME definition which does not refer to typical characteristics of small or medium-sized entities, such as not exceeding a certain turnover, balance sheet total, or the number of employees, but instead appears to cover all entities which are not already subject to the full IFRS.

Compared to the full IFRS, the implementation of IFRS for SMEs is unevenly spread. Despite the relatively large number of 86 out of 166 profiled jurisdictions requiring yet mostly only permitting the use of it, these are currently almost exclusively developing countries (IFRS, 2020). While the geographical division of the academic research on the IFRS for SMEs is skewed to the developing countries: Bautista- Mesa et al (2019), Bohusova (2011), Kaya and Koch (2015), the authors define the common factors determining a country's decision regarding adoption. Kaya and Koch (2015) found that the existence of local accounting standards and high quality of governance negatively impacts the adoption of IFRS for SMEs. Moreover, in common law jurisdictions and where full IFRS are applied to private companies, the likelihood of IFRS for SMEs adoption increases. Bonito and Pais (2018) came to similar results stating that the absence of national accounting standards, having experience of applying full IFRS and a common-law environment favoured adoption of the standard. However, contradictory to what Kaya and Koch (2015) found, foreign aid, quality of national financial accounting standards, and the relationship between tax rules and accounting standards are identified as nonsignificant factors. Furthermore, they found a low level of education in a country to increase the likelihood of adoption. The latter, however, was deemed nonsignificant by Sellami and Gafsi (2018). Their study disagreed on a country's prior adoption of full IFRS impacting its decision to adopt the IFRS for SMEs and similar to Kaya and Koch (2015) found the reliance on external funding to be a significant factor favouring a country's decision. The study added the overall importance of SMEs in a country as well as an external openness degree as positively impacting factors.

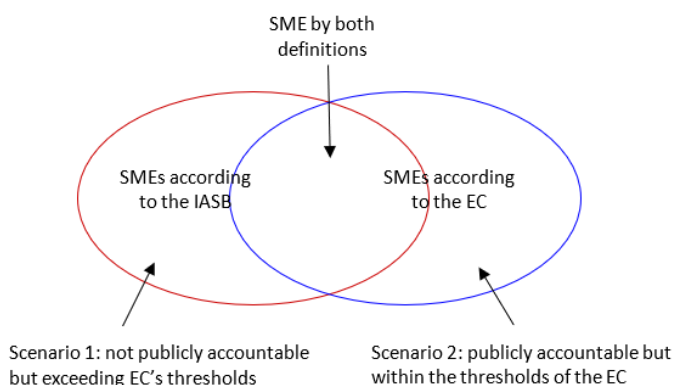
3. RESEARCH DISCUSSION

The existing EU legislation on financial reporting is aimed to ensure consistency and comparability across the EU. Furthermore, according to the European Commission (2020), it promotes the global convergence of accounting standards, which is achieved mainly through Regulation 1606/2002/EC and the implementation of full IFRS for consolidated statements of listed companies. Since the IASB issued its standard for SMEs for the first time in 2009, the EC has been seeking the opinion of EU stakeholders on the standard and has evaluated its suitability for the EU as part of the review of the two then applicable directives on accounting, the predecessors (the Fourth (78/660/EEC) and the Seventh company law Directive (83/349/EEC)) of the currently applicable one (Directive 2013/34/EU). The review of the accounting directives aimed at the reduction of administrative burden on small companies, thereby freeing up resources for growth and job creation. It intended to increase the effectiveness, relevance, and understandability of financial reporting and to protect the needs of the Accounting Directives' users thus facilitating the functioning of the EU Single Market and encouraging cross-border business activities (European Commission, 2011). An implementation of the IFRS for SMEs, however, is currently not under consideration. Incompatibilities of the EU Accounting Directive with the provisions of the IFRS for SMEs are amongst the main reasons for the EU's reluctant attitude.

The incompatibilities of the EU Accounting Directive with the provisions of the IFRS for SMEs are found already on the level definition on the SME. While there is no universally shared definition for SMEs in place, the quantitative size criteria such as the number of employees, annual turnover, or balance sheet total are traditionally applied. The European Commission has established thresholds defining micro, small and medium-sized companies based on quantitative criteria which it considers appropriate for providing objective evidence for the size of an undertaking. These criteria are subsequently updated. The latest update came with the adoption of Directive 2013/34/EU in 2013. To summarise the EC's definition, an SME within the EU is an entity that has a balance sheet total not exceeding EUR 20 000 000, a net turnover not exceeding EUR 40 000 000 and/or an average number of employees during the financial year not exceeding 250, at least two of those criteria being fulfilled (European Commission, 2020a). For small companies, the EC leaves it to the Member States to impose higher thresholds for the financial criteria (balance sheet total and net turnover). However, those shall not exceed EUR 6 000 000 for a balance sheet total and EUR 12 000 000 for a net turnover. These thresholds are applicable both to determine the scope of the required disclosure for financial reporting and establish the exemption of small companies from having their annual accounts audited.

When compared to the EC, the IASB has adopted a wider definition in its standard for SMEs, neither using quantitative size nor legal form as criteria. Instead, according to the IASB's definition, SMEs are all entities that are not publicly accountable, yet publish general purpose financial statements for external users. As external users, it lists non-managing owners, creditors, and credit rating agencies. Further, it defines public accountability of an entity as trading its debt or equity in a public market, as being in the process of issuing such instruments for those trading purposes, or as holding assets in a fiduciary capacity for a broad group of outsiders as one of its main business activities (IFRS, 2020). The latter applies to most banks, credit unions, insurance companies, securities brokers, and mutual funds, to which the IFRS for SMEs is therefore not applicable. Due to the existing divergence in the definitions used by the IASB and the EC in the hypothetical case of an EU adoption of the IFRS for SMEs, that would result in two potentially problematic scenarios illustrated in Figure 1.

Figure 1: Divergent definitions of an SME by the IASB and the EC



Source: Authors' work based on IFRS for SMEs and Directive 2013/34/EU, Art. 3.

In the case of the first scenario, a company that under the EC's definition ceases to be an SME because it exceeds more than one of the size criteria may still qualify as an SME as defined by the IASB. Therefore, in case of an implementation of the IFRS for SMEs, it would be unclear whether the standard applies to such an entity. Most likely, the definition of the EC would prevail and serve as the jurisdiction's restriction of the scope of application of the IFRS for SMEs. Ultimately, the standard would not apply to those entities exceeding the threshold of the EC, even if they are not publicly accountable. In the case of the second scenario, a company that is not an SME under the IASB's definition because it is publicly accountable can still be considered an SME under the EC's definition provided it does not exceed two of the three thresholds. However, since a publicly accountable entity as defined by the IASB (thus no SME) is equivalent to an entity to which full IFRS apply through Article 4 of Regulation 2002/1606/EC, that entity would have to prepare its consolidated accounts in accordance with full IFRS no matter whether it is an SME according to the EC or not. Nevertheless, even its unconsolidated annual accounts would then be excluded from the scope of the IFRS for SMEs as it does not qualify as an SME according to the IASB. Therefore, an additional set of rules for such an entity's unconsolidated annual statements would still be necessary. As per the discretionary provision of Regulation

1606/2002/EC, the Member States may permit or require full IFRS to those companies' statements. Thus, the entity in this second scenario would either report according to the full IFRS or the respective national accounting rules, depending on the Member State. However, it would also be conceivable for the EU to exert pressure on the IASB for an extension of the applicability of the IFRS for SMEs to the unconsolidated annual accounts of publicly accountable entities that qualify as an SME under the EC definition. Under the existing setting, however, only if an entity qualifies as an SME under both the EC's and the IASB's definitions would it be permitted to use the standard.

Additionally, in 2010 the European Financial Reporting Advisory Group upon request of the European Commission submitted six identified incompatibilities of the IFRS for SMEs with the EU accounting directives. For that purpose, an incompatibility means an accounting treatment required by the IFRS for SMEs but not being permitted under the EU Accounting Directives (EFRAG, 2010). The incompatibilities concern the following: extraordinary items, financial instruments at fair value, amortisation of goodwill and the underlying useful life, recognition of negative goodwill in profit or loss, presentation of unpaid subscribed capital and the reversal of goodwill impairment losses.

The subsequent step from the European Commission to decrease the existing incompatibilities of the IFRS for SMEs with the EU Accounting Directive could be evaluated as unproductive. As a step in reviewing and developing the EU accounting regime, in 2011 an impact assessment accompanying the original proposal from the European Commission for Directive 2013/34/EU was carried out. In line with the objectives of the accounting directives' review, this assessment established several policy options by which the accounting framework of the EU could have been improved. One of those options considered the creation of a wholly new accounting framework by the adoption of the IFRS for SMEs for mandatory use within the EU, except for micro-companies. Within this option, the approval mechanism and an endorsement procedure would be needed, suggesting that it could be similar to the one being in place for the full IFRS. Eventually, however, the assessment of the available policy options for replacing the previous accounting directives resulted in a rejection of adopting the IFRS for SMEs at the EU level arguing that the objectives of simplification and reduction of administrative burden would not adequately be met by adoption of the IASB's standard (European Commission (2011)). Thus, notwithstanding the efforts in analysing the suitability of the IFRS for SMEs, in 2013 the Commission chose another option: the adoption of its new Accounting Directive 2013/34/EU by merging and improving its predecessors.

Despite the existing reluctant attitude of the EC to introduce IFRS for SMEs, the EC provides Member States with the option to adopt the IFRS for SMEs subject to the condition that the standard is modified to comply with the Accounting Directive (European Commission (2020b)). The only Member State that the IASB reports as permitting SMEs to apply IFRS for SMEs is Ireland. However, Ireland has merely developed a national standard that is based on the IFRS for SMEs but contains significant amendments to comply with EU legislation (IFRS, 2020b). As stated earlier, a company that does not comply with all the standard's provisions cannot assert compliance with it. Moreover, a modified standard would deviate from the IASB's intention to globally harmonise accounting standards as the respective EU Member State would still apply a different version than other (i.e. non-EU) jurisdictions that permit or require the full use of an unaltered IFRS for SMEs.

Through the adoption of the Directive 2013/34/EU, the EC intended to provide a simplified accounting regime for small and medium-sized businesses, thus aiming at relieving them of administrative burden. Furthermore, micro-entities shall be provided with an even lighter regime (European Commission, 2020). The Accounting Directive stipulates the financial reporting and accounting obligations of certain undertakings with limited liability. Thus, companies that are not subject to the full IFRS and would theoretically be eligible subjects to the IFRS for SMEs, currently fall within the scope of the Accounting Directive. National requirements in the following areas are intended to be harmonised by the Directive: presentation and content of annual or consolidated financial statements, presentation and content of management reports, the measurement basis companies use to prepare their financial statements, an audit of financial statements, the publication of financial statements, the responsibility of management with regards to all above" (European Commission, 2020).

As a minimum for their annual financial statements, the Accounting Directive requires the respective undertakings to prepare a balance sheet and the profit and loss account, complemented by the notes to the financial statements. Additional statements may be required by the Member States, yet not for small entities (Directive 2013/34/EU). Thus, a cash flow statement for small entities may not be required by the law of a Member State which marks a significant difference to the IFRS for SMEs where such a statement is mandatory.

Recitals 3 and 4 of the Accounting Directive establish the grounds for the simultaneous coordination of national provisions regarding annual financial statements, their presentation and content, management reports, the measurement base used and publication by certain types of undertakings with limited liability: firstly, some companies conduct business in more than one Member State and secondly, the third-party safeguards of limited liability companies are otherwise limited to their net assets.

While the further differentiation between micro, small and medium-sized entities is not provided for in the IFRS for SMEs, for the EU, the classification according to size thresholds is crucial for the differentiation of the accounting and reporting obligations to which each category is subject. For instance, the requirement to have an audit depends on the size-classification of an entity as well. According to the Accounting Directive's Article 34, only the financial statements of public-interest entities, medium-sized and large entities are subject to an audit. A company that classifies as small is not required to have an audit to be relieved of administrative burden. The Accounting Directive in its 43. recital argues that small companies require only to a limited extent the assurance of third parties regarding the financial statements, as in many cases the shareholders also act as management. However, the Accounting Directive does not prevent the Member States from imposing such an audit requirement on small entities.

According to the European Federation of Accountants and Auditors for SMEs (EFAA), the European Commission has neglected to maximise its opportunity to develop a better accounting framework for the EU. It argues that the Commission did not take into consideration its Small Business Act which provides a comprehensive SME policy framework. Furthermore, the Commission focused on the most commonly used principles and policies within the Union when developing the Accounting Directive. That approach was criticised as not constituting an appropriate means to achieve an innovative and future-driven development of the Single Market (European Federation of Accountants and Auditors for SMEs, 2013). On a more fundamental level, the EFAA criticised that the principles of subsidiarity and proportionality were not sufficiently considered in the drafting process. The principle of subsidiarity holds that the EU may legislate only where the action is more effective at the EU level than at the national, regional, or local level (European Commission (2020c). The principle of proportionality, which is closely linked to that of subsidiarity, aims at ensuring that the Union's actions do not exceed what is necessary to attain the agreed objectives (European Commission (2020d). While the Accounting Directive allows the Member States to impose further disclosure requirements for certain items of financial statements of medium-sized and large companies, it provides no such options for small undertakings although the latter are less likely to participate in cross-border activities, thus their user base might be rather local and their accounting obligations may therefore rather be subject to legislation made on a national level. By harmonising the accounting requirements of the smallest of companies and the largest ones (by full IFRS) in Europe to the fullest extent, yet not for the medium-sized and large limited liability entities, the EU has created an illogicality, according to the EFAA (European Federation of Accountants and Auditors for SMEs, 2013).

The Directive 2013/34/EU is one of twelve EU directives on company law-related issues. Their impact on national company law, however, is rather small because the implementation and construction of EU law in that area tends to differ among the Member States, strongly influenced by prior corporate law provisions and the local legal culture (De Luca, 2017). That leads to a major criticism voiced by the research, which reveals that the EC has failed to achieve its desired comparability of financial statements across the EU (Hyblova and Kolcavova, 2017; European Federation of Accountants and Auditors, 2016). At the heart of this criticism are various Member State Options (MSOs) as to how the provisions of the Accounting Directive are to be transposed into national law. These options either allow the Member States to increase requirements or it has been left open for them to 'permit or require' certain practices. Both increased requirements and exemptions may relate to a certain class of undertakings wholly or in part. MSO may also allow a Member State to exempt only certain undertakings, for instance, small undertakings from certain requirements (Directive 2013/34/EU). Harmonisation efforts and the capacity of financial statements to provide for comparable information to users across the European Union are deemed to be degraded by the high number of MSOs (Hyblova, 2019).

While the parallel evolvement of IFRS for SMEs and the Accounting Directive took place with limited potential to renew the motivation for the alignment, the increasing focus of the EC towards the creation of the united capital market could change the situation. One of the objectives of the EU is to build an integrated single market for capital across the Union both for public and private capital markets (European Commission, 2015). The improved access to the market-based financing would decrease the dependence of European companies on the bank-based financing as well as facilitate the funding process. Through the objective of creating a Capital Markets Union (CMU), the EU aims to remove obstacles to cross-border investment, diversify the

financing of the economy, and reduce the cost of raising capital. This should support general economic growth and job creation in Europe (European Commission, 2020e). In 2018, the EC conducted a comprehensive assessment, called Fitness Check of EU Supervisory Reporting Requirements for which it sought feedback on the EU public reporting framework from its stakeholders (European Commission, 2018). The outcome showed that the Accounting Directive was overall regarded as effective in contributing to the protection of its stakeholders' interests but concerning its contribution to the objective of an integrated capital market it was regarded as less effective. This was mainly attributed to the high degree of flexibility offered to the Member States by the large number of MSOs. While the objective of the CMU is a cross-border investment where the size of the companies in focus covers the SMEs, the authors conclude that it is, therefore, necessary to re-examine whether the Accounting Directive is an appropriate means of regulating and harmonising the accounting obligations of SMEs or whether the IFRS for SMEs could be of greater benefit in achieving the objectives of the Commission's CMU initiative.

4. CONCLUSION

This research aimed to explore a background for a harmonised regulatory framework for SMEs' financial reporting obligations, identify significant incompatibilities between the IFRS for SMEs and EU accounting legislation, and recommend legislative changes necessary for an EU-wide IFRS for SMEs implementation. Having examined that the current EU legislation on financial reporting is not achieving a sufficient degree of harmonisation, both internally and with a view to global comparability, the authors have presented the IFRS for SMEs as an effective alternative.

Full IFRS provide for a qualitative, internationally recognised, and widely acknowledged set of rules that is intended to improve the international harmonisation of accounting legislation. Although its standard-setting body is sometimes met with criticism, and there is a divergence of opinion in academic research on the efficacy of the IFRS, the majority of EU stakeholders is against an introduction of EU-carve-ins in the legally defined endorsement process of the IFRS for listed companies in the EU as this would hamper the objective of a harmonised global accounting framework. A stronger EU involvement in the IASB's standard-setting process is, however, considered desirable, even though the EU is already exerting considerable pressure on the IASB.

Due to SMEs' importance for the economy and strong international demand to cater to their specific needs, the IASB developed the IFRS for SMEs. While the EU is reluctant to implement it, the IFRS for SMEs carries the potential to follow the example of the full IFRS and could improve the degree of harmonisation of accounting rules for SMEs. The current definitions of SMEs by the EC and the IASB are diverging. Therefore, only entities that qualify as SMEs under both definitions are eligible to apply the standard, so that an all-encompassing replacement of the EC accounting requirements for SMEs by the standard is not feasible. The authors suggest introducing a common SME definition for the European Union and the IFRS for SMEs.

Compared to the full IFRS, the implementation of IFRS for SMEs is unevenly spread and skewed to the developing countries. The common factors determining a country's decision regarding adoption of the IFRS for SMEs as defined by the academics are the experience of applying full IFRS, absence of national accounting standards, a common-law environment favoured adoption of the standard, and the reliance on external funding

The main drawback of the IFRS for SMEs is seen in the cost burden for SMEs since the standard's complexity is deemed yet too high for small companies and there is no separation of small and medium-sized entities. The main counterarguments consist of the potential decrease of cost of capital and a country's improved ability to attract it through implementing the standard, which would result in economic growth. The latter corresponds to the aim of the ongoing Capital Markets Union project. Factors that are supported by the academic research to influence a country's decision to adopt the standard are the previous experience of applying full IFRS, a common-law environment, the absence of a national accounting system, and the reliance on external funding.

From the initial comparison of the first version of the IFRS for SMEs (2009) and the previous EU directives on accounting, six incompatible topics have been identified: extraordinary items, measurement of financial instruments, amortisation of goodwill and the underlying useful life, recognition of negative goodwill, presentation of subscribed called-up capital unpaid, and the reversal of goodwill impairment losses.

Despite the existing reluctant attitude of the EC to introduce IFRS for SMEs, the EC provides Member States with the option to adopt the IFRS for SMEs subject to the condition that the standard is modified to comply

with the Accounting Directive. The only Member State that the IASB reports as permitting SMEs to apply IFRS for SMEs is Ireland. However, Ireland has merely developed a national standard that is based on the IFRS for SMEs but contains significant amendments to comply with EU legislation.

Through the adoption of the Directive 2013/34/EU, the EC intended to provide a simplified accounting regime for small and medium-sized businesses, thus aiming at relieving them of administrative burden and an even lighter regime for micro-entities. National requirements in the following areas are intended to be harmonised by the Directive: presentation and content of annual or consolidated financial statements, presentation and content of management reports, the measurement basis companies use to prepare their financial statements, an audit of financial statements, the publication of financial statements, the responsibility of management with regards to all above.

There is a necessity to re-examine the EU Accounting Directive due to its unsuccessful harmonisation attempts. In the review of the two predecessors of the Accounting Directive, the IFRS for SMEs was considered as a policy option to create a completely new accounting framework but was eventually rejected because of its accused shortcomings in meeting the objectives of simplification and reducing the administrative burden for small companies, and because of its incompatibility with the EU accounting rules. However, the current EU Accounting Directive is mainly criticised for its large number of Member State Options which are degrading the comparability of financial statements and hampering the overall harmonisation objective. Concerning its contribution to the EC's ongoing policy objective of creating an integrated capital market, the Accounting Directive was, therefore, deemed ineffective.

REFERENCES

- Bautista-Mesa, R., Munoz-Tomas, J. M., Horno-Bueno, M. P. (2019). Does the IASB know the needs of SMEs? A comparative analysis between the IFRS for SMEs and full IFRS due processes. *Spanish Accounting Review*, 22(2), 203-217. DOI: [org/10.6018/rcsar.382261](https://doi.org/10.6018/rcsar.382261)
- Bohusova, H. (2011). The implementation of the IFRS for SMEs in the EU. *Acta Universitatis Agriculturae et Silviculturae Mendelianae Brunensis*, 59(2), 43-50. DOI: [10.11118/actaun201159020043](https://doi.org/10.11118/actaun201159020043)
- Bonito, A. and Pais, C. (2018). The macroeconomic determinants of the adoption of the IFRS for SMEs. *Spanish Accounting Review*, 21, 116-127. DOI: [10.1016/j.rcsar.2018.03.001](https://doi.org/10.1016/j.rcsar.2018.03.001).
- Damak-Ayadi, S., Sassi, N. and Bahri, M. (2020). Cross-country determinants of IFRS for SMEs adoption. *Journal of Financial Reporting and Accounting*, 18, 147-168. DOI: [10.1108/JFRA-12-2018-0118](https://doi.org/10.1108/JFRA-12-2018-0118).
- De Luca, N. (2017). *European Company Law: Text, Cases and Materials*. Cambridge: Cambridge University Press, 2017
- Directive 2013/34/EU of the European Parliament and of the Council of 26 June 2013 on the annual financial statements, consolidated financial statements and related reports of certain types of undertakings, amending Directive 2006/43/EC of the European Parliament and of the Council and repealing Council Directives 78/660/EEC and 83/349/EEC Text with EEA relevance OJ L 182, 29.6.2013, p. 19–76. Retrieved from: <https://eur-lex.europa.eu/legal-content/EN/TXT/?uri=CELEX%3A32013L0034>
- EFRAG (2010). Advice on compatibility of the IFRS for SMEs and the EU Accounting Directives (2010): p. 1. Retrieved from: <https://www.efrag.org/Assets/Download?assetUrl=%2Fsites%2Fwebpublishing%2FProject%20Documents%2F172%2FLetter%20to%20European%20Commission.pdf>
- European Commission (2011). Impact Assessment accompanying the original proposal from the Commission for Directive 2013/34/EU SEC(2011) 1289 final. Retrieved from: https://eur-lex.europa.eu/resource.html?uri=cellar:6fd0296f-2992-4b0d-8d0e-8e2db360c27d.0001.01/DOC_1&format=PDF
- European Commission (2015) Q & A on the Green Paper on building a Capital Markets Union (2015). Retrieved from: https://ec.europa.eu/commission/presscorner/detail/en/MEMO_15_4434
- European Commission (2018). Summary Report of the Public Consultation on the Fitness Check on the EU framework for public reporting by companies 21 March 2018 - 31 July 2018 (2018): pp. 8-9. Retrieved from: https://ec.europa.eu/info/sites/info/files/business_economy_euro/banking_and_finance/documents/2018-companies-public-reporting-feedback-statement_en.pdf
- European Commission (2020). Financial Reporting. EU IFRS endorsement process. Retrieved from: https://ec.europa.eu/info/business-economy-euro/company-reporting-and-auditing/company-reporting/financial-reporting_en
- European Commission (2020a). Thresholds defining micro, small and medium-sized companies based on Directive 2013/34/EU, Art. 3. Retrieved from: https://ec.europa.eu/info/law/accounting-rules-directive-2013-34-eu/implementation/guidance-implementation-and-interpretation-law_en
- European Commission (2020b). Financial reporting obligations for limited liability companies (Accounting Directive) – frequently asked questions. Retrieved from: https://ec.europa.eu/commission/presscorner/detail/de/MEMO_13_540
- European Commission (2020c). Glossary. Subsidiarity. Retrieved from: https://ec.europa.eu/regional_policy/en/policy/what/glossary/s/subsidiarity.

- European Commission (2020d). Glossary. Proportionality. Retrieved from: https://ec.europa.eu/regional_policy/en/policy/what/glossary/p/proportionality.
- European Commission (2020e). What is the capital markets union? Retrieved from: https://ec.europa.eu/info/business-economy-euro/growth-and-investment/capital-markets-union/what-capital-markets-union_en.
- European Federation of Accountants and Auditors for SMEs (2013). EFAA Position Paper A Revision of the Accounting Directives – Missed Opportunity? Retrieved from: <https://www.dstv.de/pruefende-berufe/pruefung-internationales/efaa-position-paper-missed-opportunity1>
- European Federation of Accountants and Auditors (2017). Invitation to Comment – Enhancing Audit Quality in the Public Interest. Retrieved from: https://www.efaa.com/cms/upload/efaa_files/pdf/Publications/Comment_letters/2016/20160603_IAASB_Comment_Enhancing_Audit_Quality_Public_Interest.pdf
- Eurostat (2017). Number of persons employed by enterprise size class. Retrieved from: https://ec.europa.eu/eurostat/cache/digpub/keyfigures/vis/DIR_KF2_24_1/index.html?country=EU28
- Grosu M. and Chersan, I. C. (2011). Critical analysis of current national accounting regulations - compliance or non-compliance with European Directives. The USV Annals of Economics and Public Administration, 11, 211-218. Retrieved from: <http://annals.seap.usv.ro/index.php/annals/article/view/386/395>
- Hyblova, E. (2019). The current problems of harmonization of accounting for small and medium-sized enterprises. Economic Research-Ekonomska Istraživanja, 32(1), 604-521. DOI: 10.1080/1331677X.2018.1561317.
- Hyblova, E. and Kolcavova, A. (2017). The Consequences of “Options” in the Directive 2013/34/EU of the European Parliament and of the Council on the Financial Statements. Acta Universitatis Agriculturae et Silviculturae Mendelianae Brunensis, 65(4), 1349-1357
- IFRS (2020). IFRS for SMEs Standard 2015. Retrieved from: http://eifrs.ifrs.org/eifrs/sme/en/IFRS%20for%20SMEs_Standard_2015.pdf
- IFRS (2020a). A jurisdiction can make the IFRS for SMEs a requirement even if it has not adopted the full IFRS. IASB. Supporting materials for the IFRS for SMEs Standard. Retrieved from: <https://www.ifrs.org/supporting-implementation/supporting-materials-for-the-ifrs-for-smes/>
- IFRS (2020b) Jurisdiction profile of Ireland. Retrieved from: <https://www.ifrs.org/use-around-the-world/use-of-ifrs-standards-by-jurisdiction/ireland/#application>
- IFRS Foundation (2018). Use of IFRS Standards around the world. Retrieved from: <https://cdn.ifrs.org/-/media/feature/around-the-world/adoption/use-of-ifrs-around-the-world-overview-sept-2018.pdf>
- International Accounting standards Board (2016). A Guide to the IFRS for SMEs. Retrieved from: <https://cdn.ifrs.org/-/media/feature/groups/smes/major-documents/guide-to-the-ifrs-for-smes-march-2016.pdf?la=en>
- Kaya, D. and Koch, M. (2015). Countries’ Adoption of the International Financial Reporting Standard for Small and Medium-sized Entities (IFRS for SMEs) – Early Empirical Evidence. Accounting and Business Research, 45(1), 93-120. DOI: 10.1080/00014788.2014.969188
- Kothari, S.P. Ramanna, K. and Skinner, D.J. (2010). Implications for GAAP from an analysis of positive research in accounting. Journal of Accounting and Economics, 50, 246-286. DOI: 10.1016/j.jacceco.2010.09.003
- Nobes, C. “The continued survival of international differences under IFRS,” Accounting and Business Research 43, 83-111. DOI: 10.1080/00014788.2013.770644.
- Posner, E. (2010). Sequence as explanation: The international politics of accounting standards. Review of International Political Economy, 17, 639-664. Retrieved from: <https://datubazes.lanet.lv:3977/doi/full/10.1080/09692291003723748>
- PWC (2019). IFRS and US GAAP: similarities and differences. Retrieved from: <https://www.pwc.com/us/en/cfodirect/assets/pdf/accounting-guides/pwc-ifrs-us-gaap-similarities-and-differences.pdf>
- Ram, R. and Newberry, S. (2017). Agenda entrance complexity in international accounting standard setting: the case of IFRS for SMEs. Abacus 53(4), 485-512. DOI: 10.1111/abac.12122.
- Sellami, Y.M. and Gafsi, Y. (2018). What Drives Developing and Transitional Countries to Adopt the IFRS for SMEs? An Institutional Perspective. Journal of Corporate Accounting and Finance, 29(2), 34-56. DOI: 10.1002/jcaf.22331.
- Warren, R., Carter, D. B., and Napier C.J. (2019). Opening up the politics of standard setting through discourse theory: the case of IFRS for SMEs. Accounting, Auditing & Accountability Journal, 33, 124-151. DOI: 10.1108/AAAJ-04-2018-3464.

Controlling systems and competitiveness at SMEs: A bibliometric network analysis

David Kosztyi¹

Zita Fodor²

Mehrzad Abdi Khalife³

¹Szent István University, kosztyi1@gmail.com, ORCID: 0000-0003-1518-1038

²Szent István University, fodor.zita@gtk.szie.hu, ORCID: 0000-0002-3696-0105

³Szent István University, Hungary, Mehrzad.Abdi.khalife@phd.uni-szie.hu, ORCID: 0000-0002-8397-2686

Abstract: It has now become truly clear that the productivity and efficiency of the SME sector play a significant role in the development of any national economy. There is a widespread view in international literature that competitiveness can be increased through the use of control systems, regular performance monitoring, and personalized KPIs. Our paper is aimed at studying the scientific production only around controlling systems and competitiveness. In this study, the global scientific literature on competitiveness was explored by bibliometrics. Network maps displayed the relationships among keywords, authors, countries, and journals dealing with the connection between competitiveness and controlling systems at SMEs. Thus, we restricted our search to papers indexed in the Web of Science Core Collection, whose topics are “controlling systems”, “SMEs” and “competitiveness”. This bibliometric study draws the landscape of the current state and trends of controlling driven competitiveness at SMEs.

Keywords: controlling system, SMEs, competitiveness, controlling, *small and medium enterprises*

1. INTRODUCTION

Within the globalizing world of the final decade, little and medium-sized endeavors (SMEs) have become increasingly vital players within the financial improvement of an advanced market economy and developing districts. Authors increasingly share the see (for example, Koh et al., 2017 or Saxena, 2012) that little and medium-sized ventures make a major commitment to the financial advancement and work levels of person nations and locales. It has presently ended up exceptionally clear that the efficiency and productivity of the SME segment play a noteworthy part within the advancement of any national economy (Nanjundan, 1994), but it can moreover be watched that the expanding competition due to globalization postures challenges for the SME division. (Huin, 2004).

The point of this paper is to analyze metadata of all the papers recorded within the Web of Science Core Collection, whose topic is “controlling”; “SME”; and “competitiveness”. Competitiveness stakeholders come from a few areas: business economics, operations research management science, development studies, etc. This paper gives valuable information for them on the most journals inquisitive about publishing papers on this subject, as well as on the advancement of themes tended to in those papers.

Our research on SME competitiveness and controlling starts in 1975, and until 2019, there are 172 papers on this theme. The reason for such confinement is that Web of Science is the foremost vital database of scientific papers, whose measurements are broadly utilized in the scholarly appraisal in several nations. Also, it progresses the examination including a graphical representation of citation, journal, and author’s systems, utilizing the VOSviewer program.

Bibliometric studies have gotten to be a new and buoyant teach, given the significance postured on the appraisal of scientific production in later times. Eugene Garfield, with the foundation of the Institute for Scientific Information (ISI) within the 1960s, started the metrification of papers, journals, analysts, and institutions. Scientific papers are presently compiled and recorded expansive databases, which permit to measure distinctive perspectives of such papers, such as the number of creators, keywords, topic, citations, organization collaboration, etc. The method of reasoning for indexing articles is the following: authors cite other papers due to its association with the core idea of his/her paper. Given that authors must select carefully which papers to cite, counting as it were the foremost relevant and most closely related to his/her paper, most cited papers seem to reflect the significance of them inside its discipline. Institutions can get important data around the individual and aggregate impact.

In any case, the significance of bibliometric studies goes beyond the institutional level. They may help new analysts of discipline to understand the degree of a topic, new patterns, and its advancement through time. In this sense, it is diverse from a conventional literature overview.

This kind of examination is conceivable due to the accessibility of enormous databases such as the Web of Science. This indexing benefit is an imperative input of the evaluation process in academia. The Web of Science is a citation indexing service, managed by Clarivate Analytics, and constitutes a specific list of journals and conference proceedings, with indexing coverage from 1898. It covers more than 59 million records. The firm produces several impact metrics included in the Journal Citation Report, e.g. Impact Factor, Eigen factor, 5-year Impact Factor, among others. These measurements are accessible on a membership premise.

There are numerous bibliometric studies of a wide assortment of issues. For example, Cobo et al. (2011) analyze the topical assessment of the Fuzzy Sets Theory. Bonilla et al. (2015) analyze the scholarly inquire about created in Latin America in financial matters between 1994 and 2013. Cancino et al. (2017) create a bibliometric investigation of the publications of the Computers & Industrial Engineering between 1976 and 2015. Related to financial matters there are several cases. Andrikopoulos et al. (2016) performed a bibliometric examination within the economics by reviewing the primary forty years of the Journal of Econometrics, centering on collaboration patterns and the internationalization of research in econometrics. Otherwise, Costa et al. (2019) demonstrated through bibliometric analysis, that how turned to a vital scientific field the Behavioral Economics and Behavioral Finance.

Thus, our paper can be considered an extended commitment to the literature, giving a full overview of the current patterns on SME competitiveness, and controlling research, and recognizing top researchers, institutions, and journals in this field.

2. METHODOLOGY

2.1. Bibliometric network analysis

Bibliometric network examination is a viable device combining bibliometrics and social network analysis (SNA) to examine a particular field of science (Reuters, 2008; Zou et al., 2018). SNA and maps based on network information permits for the application of frameworks considering in bibliometric science. Such examination permits for the development of a network based on the connections among countries, journals, organizations, authors, and keywords related to the examined topic (Chen et al., 2016).

VOSviewer (version 1.6.15) program was utilized to perform the bibliometric analysis in this study. This computer program permits the creation, visualization, and investigation of maps based on bibliometric network information. The output comes about are shown in clusters to allow for clear visualization of the existing associations among the bibliometric information.

The main technical terms used by the software:

- co-authorship: for countries,
- co-occurrence: for keywords,
- citation analyses: for scientific journals.

2.2. Bibliographic data acquisition

The documents in this study were retrieved from the Web of Science search engine on August 14th, 2020 using these search inputs:

- For SME: *“SMEs” or “Small and Medium Enterprises” or “small and medium sized enterprises” or “small and medium sized enterprise” or “small and medium sized businesses” or “small and medium sized business” or “small and medium scale enterprises” or “small and medium scale enterprise” or “small and medium scale businesses” or “small and medium scale business” or “small and medium size enterprises” or “small and medium size enterprise” or “small and medium size businesses” or “small and medium size business” or “small to medium enterprises” or “small to medium enterprise” or “small to medium businesses” or “small to medium business” or “small to medium sized enterprises” or “small to medium sized enterprise” or “small to medium sized businesses” or “small to medium sized business” or “small to medium scale enterprises” or “small to medium scale enterprise” or “small to medium scale businesses” or “small to medium scale business” or “SMMEs” or “SMME” or “micro, small and Medium Enterprises” or “micro, small and Medium Enterprise” or “ micro, small and Medium*

businesses” or “micro, small and Medium business” or “micro, small and medium sized enterprises” or “micro, small and medium sized enterprise” or “micro, small and medium scale enterprises” or “micro, small and medium scale enterprise” or “micro, small and medium sized businesses” or “micro, small and medium sized business” or “micro, small and medium scale businesses” or “micro, small and medium scale business” or “small & medium enterprises” or “small & medium enterprise” or “small & medium sized enterprises” or “small & medium sized enterprise” or “small & medium sized businesses” or “small & medium sized business” or “small & medium scale enterprises” or “small & medium scale enterprise” or “small & medium scale businesses” or “small & medium scale business” or “micro, small & Medium Enterprises” or “micro, small & Medium Enterprise” or “micro, small & medium sized enterprises” or “micro, small & medium sized enterprise” or “micro, small & medium scale enterprises” or “micro, small & medium scale enterprise” or “micro, small & Medium businesses” or “micro, small & Medium business” or “micro, small & medium sized businesses” or “micro, small & medium sized business” or “micro, small & medium scale businesses” or “micro, small & medium scale business” or “Family business” or “Family businesses” or “Family enterprises” or “Family enterprise” or “small enterprise” or “small enterprises” or “small business” or “small businesses” or “Small and Medium firms” or “small and medium sized firms”

- For Controlling: *“controlling system” or “regulating” or “supervising” or “management control” or “controlling” or “system for controlling” or “monitoring system” or “system for monitoring” or “regulating system” or “PERFORMANCE-MEASUREMENT SYSTEMS”*
- For Competitiveness: *“competitiveness” or “competition” or “competitivy” or “PERFORMANCE”*

The time frame was set to include all available publication years in the Web of Science Core Collection (WSCC) database which is automatically set from 1975 to 2019. All data was saved as “Tab-delimited (Win, UTF-8)” files which contained “Full Record” and “Full Record and Cited References” content. The “Full Record” and “Full Record and Cited References” content were respectively used for co-authorship and co-occurrence analyses (e.g., network maps of authors, countries, and keywords) and citations analysis (e.g., a network map of scientific journals).

3. RESULTS AND DISCUSSION

3.1. Temporal trend analysis

Figure 1. Sum of times cited by year

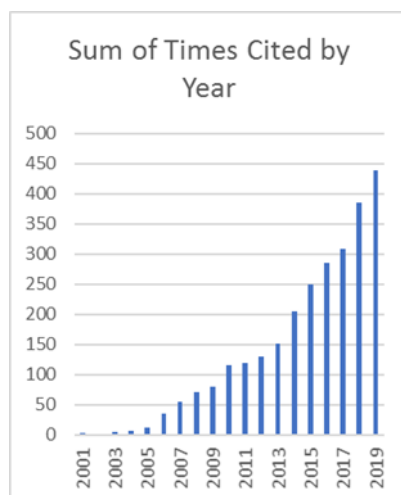
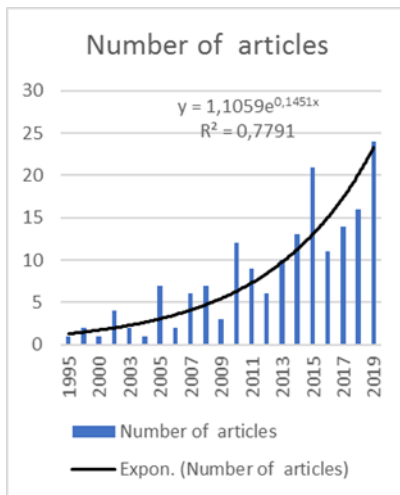


Figure 2. Number of articles



The WSCC database search resulted in 172 scientific articles published in the timeframe from 1975 to 2019. As shown in Fig. 1, the research interest in SME competitiveness, and controlling began to grow near linearly starting in 1995 and continued to increase through 2019. Fig.2 shows the sum of times cited these keywords by year. From these two figures, we can see that this topic year after year it is becoming a more and more researched field, in terms of its special aspect it is an even more exciting statement for us.

3.2. Bibliometric network analysis

3.2.1. Co-occurrence keywords network

Analysis of keywords helps to identify the content of the publication in these years. The analysis of the co-occurrence of keywords generated 843 results. Setting a minimum number of 5 occurrences required to be included in the co-occurrence keywords network, 60 keywords were selected (Fig. 3). Surprisingly, “SMEs” rank only third in the keywords selected. The first two places are performance and strategy.

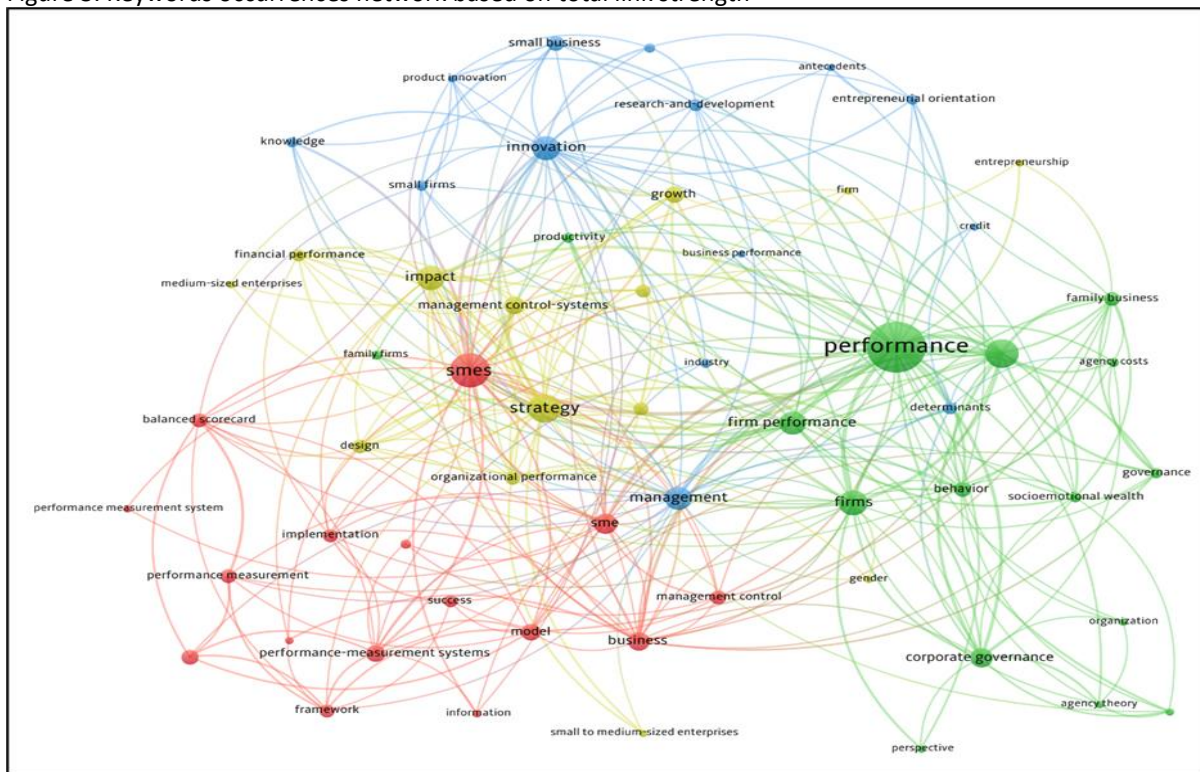
The top 7 keywords following “performance”, “strategy” and “SMEs” were “ownership”, “innovation”, “firms”, “firm performance”, “impact”, “business”, and “management”. Fig. 3 shows the importance and relationship of the top 10 keywords listed in Table 1. The size of their nodes reflects their total link strength indicating that these keywords occur frequently in the literature regarding SME competitiveness and controlling.

As can be seen in Figure 3, performance is a prominent element of the network. Its relationship is formed with soft keywords related to the organization. In contrast, "SMEs", where "performance measurement", "management control", "BSC" is closely related. The third large cluster is formed around the "strategy", close keywords are "growth" and "impact". The fourth cluster is centered around innovation, with the keywords "knowledge", "research development" and, surprisingly, "management".

Table 1: Top 10 keywords (ranked according to the total link strength)

Keyword	Total link strength	Links	Occurrences
performance	176	49	48
strategy	123	49	24
smes	105	46	29
ownership	103	38	24
innovation	101	41	19
firms	95	44	20
firm performance	78	43	18
impact	78	38	19
business	73	38	14
management	71	42	18

Figure 3. Keywords occurrences network based on total link strength



3.2.2. Co-authorship countries network

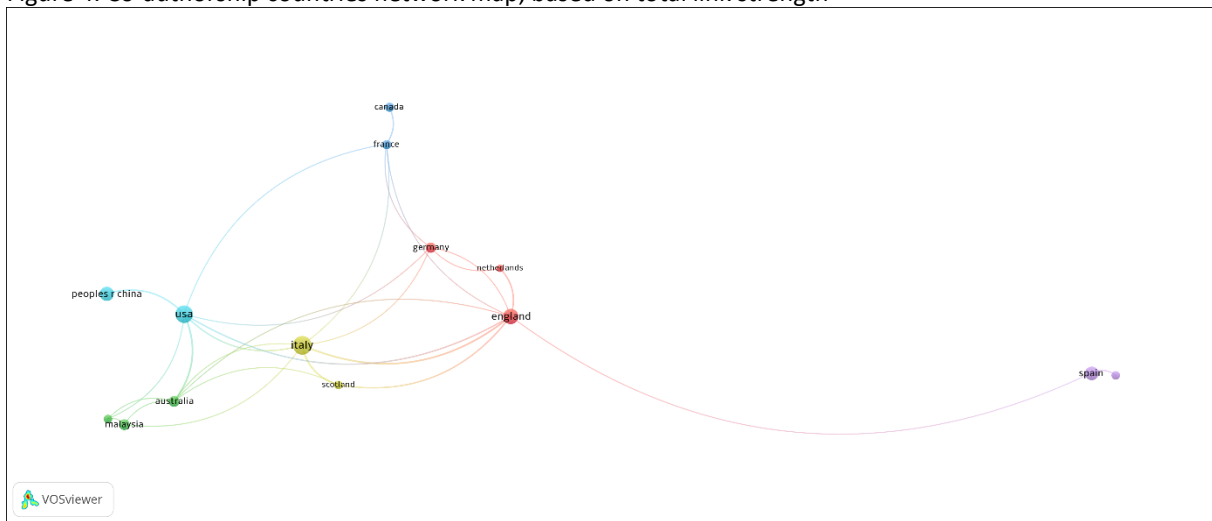
Documents with no more than 25 countries per article were considered for the co-authorship countries network (Table 2). Of the 52 countries that met this requirement, 14 met the threshold of having at least 5 publications on “SME competitiveness and controlling” and were connected in the network map shown in Fig. 4.

The top 3 countries are also well visible on the network of contacts, where their distances do not show a close correlation. Based on their proximity, 6 closer clusters emerge. The first include England, Germany, and the Netherlands. The second cluster is Australia, Indonesia, and Malaysia. The third cluster is France and Canada. The fourth cluster is Italy and Scotland. The fifth cluster is Spain and Portugal. The last cluster is the USA and the People's Republic of China.

Table 2: Top 5 countries ranked by total link strength.

Country	Total link strength	Links	Documents	Citations
England	13	8	18	304
Italy	12	7	26	984
USA	12	7	24	825
Australia	8	6	10	341
France	6	5	7	181

Figure 4. Co-authorship countries network map, based on total link strength



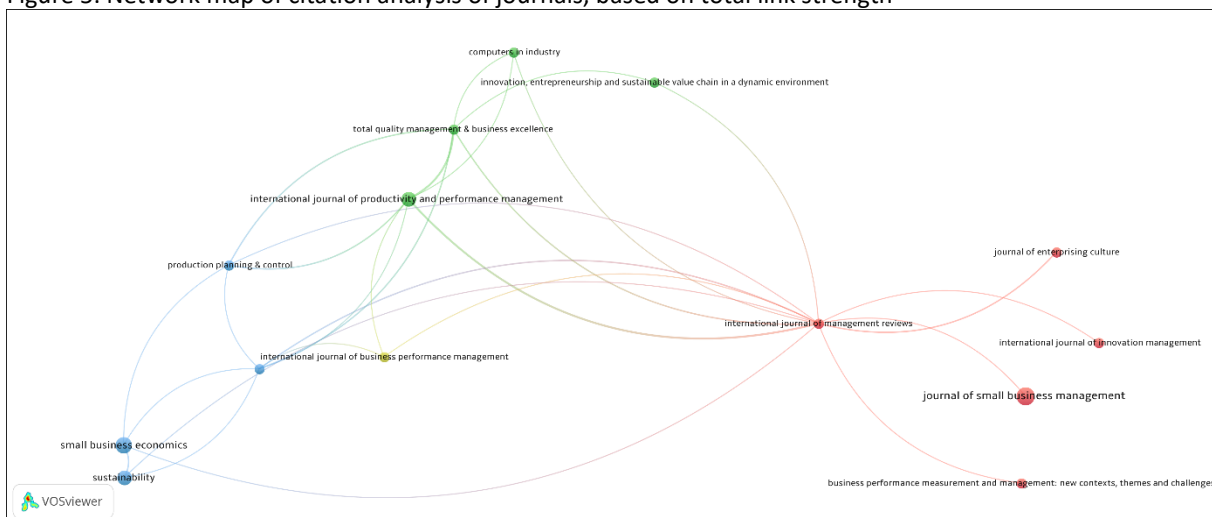
3.2.4. Citation analysis of journals

The citation analysis resulted in a network map containing 14 sources out of 52 that met the threshold of having at least 5 publications on the topic (Fig. 5). The top 5 journals listed in Table 3 are ranked based on total link strength. The list of top 5 journals did not include the journal with the most citations, Small business economics (334), which means that this journal, which specializes specifically in small business topics, is distinguished from other more related journals. The top 5 journals included journals related to management, business, and planning, and the topics of these journals represent a greater overlap than journals dealing only with small business topics.

Table 3: Top 5 journals, based on total link strength

Journal	Total link strength	Links	Documents	Citations
international journal of management reviews	19	13	2	290
international journal of productivity and performance management	13	6	4	139
total quality management & business excellence	12	6	2	56
international journal of operations & production management	9	7	2	91
production planning & control	7	5	2	36

Figure 5. Network map of citation analysis of journals, based on total link strength



4. CONCLUSION

In this study, we explored the global scientific literature on the issue of “SME competitiveness and controlling”. Research on the competitiveness of small and medium-sized enterprises is an increasingly researched topic due

to their significant role in the economy. (Koh et al., 2017 or Saxena, 2012) However, their efficiency lags behind that of larger firms in most cases. The bibliometric analysis provides an opportunity to explore the research of this special field. The total number of scientific articles published on the subject (172) revealed that the issue of “SME competitiveness and controlling” is a relatively under-explored, less exciting field, although it is starting to get more and more emphasis year by year.

The research also revealed that the relationship between the research countries is still weak, we see long distances in Figure 4. A closer relationship can be found between geographically closer countries, except for the stronger relationship between the US, and the People’s Republic of China, Canada, and France.

Research findings include that the keyword in the topic is not competitiveness but performance. This outstanding result is illustrated in Figure 3. Thus, it opened a new horizon for our future research.

An increasing trend of publications focusing on “SME PERFORMANCE and controlling” is expected in the next future. Considering the growing weight of SMEs in the economy it is desirable that future studies would explore the issue of small and medium-sized businesses performance adopting an interdisciplinary perspective.

In conclusion, the combined use of social network analysis and bibliometrics proved to be a useful approach for performing comprehensive literature reviews by applying systems thinking in bibliometric science.

REFERENCES

1. Andrikopoulos, A., Samitas, A., and Kostaris, K. (2016). Four decades of the journal of econometrics: Coauthorship patterns and networks. *Journal of Econometrics*, 195(1):23 – 32. Bonilla, C. A., Merigó, J. M., and Torres-Abad, C. (2015). Economics in Latin America: a bibliometric analysis. *Scientometrics*, 105(2):1239–1252.
2. Arend, RJ; Wisner, JD (2005), Small business and supply chain management: is there a fit?, *JOURNAL OF BUSINESS VENTURING*, (403-436), 0883-9026
3. Becchetti, L; Trovato, G (2002), The determinants of growth for small and medium sized firms. The role of the availability of external finance, *SMALL BUSINESS ECONOMICS*, (291-306), 0921-898X
4. Berger, AN; Frame, WS; Miller, NH (2005), Credit scoring and the availability, price, and risk of small business credit, *JOURNAL OF MONEY CREDIT AND BANKING*, (191-222), 0022-2879
5. Besser, TL (1999), Community involvement and the perception of success among small business operators in small towns, *JOURNAL OF SMALL BUSINESS MANAGEMENT*, (16-29), 0047-2778
6. Cancino, C., Merigó, J. M., Coronado, F., Dessouky, Y., and Dessouky, M. (2017). Forty years of computers & industrial engineering: A bibliometric analysis. *Computers & Industrial Engineering*, 113:614 – 629.
7. Cavalluzzo, KS; Cavalluzzo, LC; Wolken, JD (2002), Competition, small business financing, and discrimination: Evidence from a new survey, *JOURNAL OF BUSINESS*, (641-679), 0021-9398
8. Chen, D., Liu, Z., Luo, Z., Webber, M., Chen, J., 2016. Bibliometric and visualized analysis of energy research. *Ecol. Eng.* 90, 285–293.
9. Classen, N; Carree, M; Van Gils, A; Peters, B (2014), Innovation in family and non-family SMEs: an exploratory analysis, *SMALL BUSINESS ECONOMICS*, (595-609), 0921-898X
10. Cobo, M., Lpez-Herrera, A., Herrera-Viedma, E., and Herrera, F. (2011). An approach for detecting, quantifying, and visualizing the evolution of a research field: A practical application to the fuzzy sets theory field. *J. Informetrics*, 5:146–166.
11. Cocca, P; Alberti, M (2010), A framework to assess performance measurement systems in SMEs, *INTERNATIONAL JOURNAL OF PRODUCTIVITY AND PERFORMANCE MANAGEMENT*, (186-200), 1741-0401
12. Costa, D. F., Carvalho, F. d. M., and Moreira, B. C. d. M. (2019). Behavioral economics and behavioral finance: A bibliometric analysis of the scientific fields. *Journal of Economic Surveys*, 33(1):3–24.
13. Garengo, P; Biazzo, S; Bititci, US (2005), Performance measurement systems in SMEs: A review for a research agenda, *INTERNATIONAL JOURNAL OF MANAGEMENT REVIEWS*, (25-47), 1460-8545
14. Garengo, P; Bititci, U (2007), Towards a contingency approach to performance measurement: an empirical study in Scottish SMEs, *INTERNATIONAL JOURNAL OF OPERATIONS & PRODUCTION MANAGEMENT*, (802-825), 0144-3577
15. Huin, S.F. (2004). Managing Deployment of ERP Systems Using Multi-agents. *International Journal of Project Management*, 22, 511-517.
16. Koh, S. C. L, Demirbag, M., Bayraktar, E., Tatoglu, E., & Zaim, S. (2007). The impact of supply chain management practices on performance of SMEs. *Industrial Management & Data Systems*, 107(1), 103 - 124.
17. Nanjundan, S. (1994). Recent Developments in Small Scale Industry in Selected Countries and Lessons for India. National Council of Applied Economic Research and Friedrich-Naumann Stiftung, New Delhi.
18. Reuters, T., 2008. Whitepaper Using Bibliometrics, vol. 12 Thomson Reuters.
19. Saxena, V.D. (2012). Internationalization of SMEs n India: Opportunities and challenges. *South Asian Journal of Marketing and Management Research*, 12(9), 219-228.

20. Watson, J; Robinson, S (2003), Adjusting for risk in comparing the performances of male- and female-controlled SMEs, JOURNAL OF BUSINESS VENTURING, (773-788), 0883-9026
21. Zou, X., Long, W., Le, H., 2018. Visualization and analysis of mapping knowledge domain of road safety studies. Accid. Anal. Prev. 118 (June), 131–145 <https://doi.org/S0001457518302744>.

The Fact of Cultural Dimensions in the HR of Multinational Companies

Deniz HORUZ¹

Selim ÇÖREKÇİOĞLU²

Reham Al HANAKTA³

¹PhD school of Management and Business Administration Szent Istvan University, H-2100 Gödöllő, Péter Károly utca 1 Hungary, dnzhoruz@gmail.com, Orcid: 0000-0002-7140-8973

²PhD school of Management and Business Administration Szent Istvan University, H-2100 Gödöllő, Péter Károly utca 1 Hungary, corekcioglu.selim@phd.uni-szie.hu, Orcid: 0000-0003-3412-2703

³PhD school of Management and Business Administration Szent Istvan University, H-2100 Gödöllő, Péter Károly utca 1 Hungary, rehamhana1211@gmail.com, Orcid: 0000-0002-3954-2072

Abstract: The main purpose of this study is to analyze the fact of cultural dimensions of HR in multinational companies, where they are located in Turkey. Comparing the result of Hofstede's research for Turkey. To see if there is a common result for only the Human Resources department, rather than including the other whole departments of companies.

The article will examine only two of six dimensions of Hofstede which are Masculinity and Uncertainty Avoidance.

It is research conducted to examine the relationship between the cultural dimensions of Hofstede and the human resources department in multinational companies. Three different human resource departments of multinational companies operating in Turkey have been chosen as the application area. The qualitative research method was adopted, and data was compiled by online interviews based on a 6-item question prepared in advance. I have had interview 15 people in total. Hofstede's results for Turkey has prompted multinational to learn as to whether the same for employees in Human Resources departments. The research was created especially about the significance of the lack of theoretical research on culture and cultural practices in Turkey to see to what extent can reflect.

Keywords: Human Resources, Cultural Dimensions, Geert Hofstede

1. Introduction

The process of globalization is a process that deeply affects the world and creates different results. Many authors state that there is a direct and mutual relationship between multinational enterprises and the process of globalization. Accordingly, multinational enterprises have emerged as a part of the process of globalization. On the one hand, multinational enterprises have an impact on the globalization process. For these reasons, it would be appropriate to examine the process of globalization to better understand multinational enterprises. (Lendzion, 2015)

The concept of a multinational corporation is evident in the mind of a company that has more than one nation. But this will certainly be a misevaluation. Because all companies must have a national capital and an organization agreement to establish. In general, the multinational corporation is the name given to national companies established in any country with national capital and having activities in the international arena. For this reason, the multinational company and the international company have the same meaning and there is no difference between them in terms of structural, functional, or legal aspects. (Günay, 2005)

There is a strong relationship between the globalization process and multinational enterprises. While multinational enterprises have the opportunity to do business in many different geographies and cultures thanks to globalization, they have an accelerating effect on the globalization process. In this process of interaction, either national or multinational, human resources is one of the important factors for enterprises. (Jovanovic, 2010)

In almost all modern management definitions, the management of human resources is considered the most important challenge of the science of management. In a multinational enterprise, human resources are becoming more important than ever. Because in multinational enterprises, human resources are diversified by a side effect resulting from the breadth of the business area of the enterprise. Particularly, it will be necessary to make special efforts for employees from different cultures to serve a common purpose in harmony. It would be useful to focus on human resources management before coming to human resource problems in multinational enterprises. (Eroğlu E. , 1999)

2. Literature Review

As studies are analyzing the fact of cultural dimensions in the HR department in multinational companies, we need to know the relationship between globalization, human resource management, and cultural topics.

A Brief History of Globalization

Globalization is not essentially a new phenomenon. The history of globalization dates back to the time when the relations between human communities living in different geographies were established.

However, it can be said that globalization has taken its current form by passing through three stages. These stages can be listed as follows: the period from the late 19th century to the 1914s, the period from 1914 to 1945, and the period after 1945-50.

From the end of the 19th century to the 1914s, globalization is seen to be at a fairly advanced level, especially in the economic sense. In this period, the barriers and tariffs for international trade fell to almost non-existent levels, the integration of global markets deepened, transportation costs, and restrictions on the free movement of persons in the international arena decreased to the lowest levels. (Gürün, 2001)

This air, which developed in favor of globalization, was reversed in the period from 1914 to 1945-50. Starting with World War I, continuing with the Great Depression. This period, which ended with the end of World War II, is a period in which the dynamics of globalization and global integration flows have been seriously disrupted. Political tendencies such as extreme nationalism, economic protection, and self-sufficiency are typical features of this period.

In the period after 1945-50 and especially after 1980, globalization gained a great acceleration and reached an unprecedented level. There are various reasons for this situation. In economic terms, international trade volume and the pace of international capital flows have reached unprecedented levels, and global production processes have undergone a major transformation. On the other hand, especially in the post-World War II period, political globalization gained momentum in order not to experience such a great war again. Furthermore, in the technological sense, a communication revolution took place in this period, which influenced almost every part of the globe. Finally, and especially after 1980, the environmental, demographic, and cultural dimensions of globalization have begun to take place at the top of the world agenda. (Bolat & Seymen, 2005)

Basic Features of Multinational Enterprises

Multinational companies have some common characteristics compared to companies that have not become multinational. Some basic characteristics of multinational companies; operating in more than one country, centralized audit, monitoring of a policy that is appropriate for all company segments, and being enterprises that control the activities of small companies in different countries. (Paşaoğlu 2015)

According to Bartlett and Ghoshal, the common features of multinational corporations are (Günaydı, 2007):

- The distribution of capital shares to two or more countries,
- Providing top-level managers from the main center in the country,
- Although branches in host countries have a certain autonomy, long-term goals and policies are being created by the main center in the country of origin,
- They should only consider their profit and interests without considering the development and economic problems of their host countries.

Although these findings of Bartlett and Ghoshal are partially correct, they can be discussed in many ways. According to Jenkins, for a company to be a multinational enterprise, a few criteria should be considered. These criteria are (Günaydı, 2007):

- The scale of the branches owned or controlled by the company or the number of partner companies,
- Number of countries undertaking value-added activities, such as mines, farms, factories, sales locations, banks, offices, and hotels,

- The ratio of global goods, profits and revenues traded by affiliated companies in all production,
- The degree of ownership or shareholding of international management,
- It is the creation and expansion of a model in which the network of economic activities in different countries increases and system-based advantages increase.

Many scientists, although different definitions indicate the following common characteristics of multinational corporations:

- They are not companies that are owned by many countries, but companies operating in many countries.
- Its main areas of activity are the production, distribution, and marketing of one or more goods and services at the international level through capital and information flow.
- Multinational companies influence and control all their activities through central decisions.
- Multinational companies have strong financing structures.
- They have modern and superior technology. The international dissemination of this technology is made by the central decision-making bodies of the company to serve its interests or, in other words, monopolistic positions.
- Multinational corporations are mainly based on private capital and they are anonymized in terms of capital structures. They are managed by the professional executive group and represent this central authority.
- The main purpose is to protect the integrity of the company and maximize the profit of the parent company and the country.
- Multinational companies are not affected by national and international instability in the short term.

Purpose and Importance of Human Resources Management

All activities to ensure and coordinate the human resources of an organization constitute HRM. In other words, HRM is a collection of activities to find qualified personnel for an organization and to keep them in the organization.

Human resources management aims to increase producer participation in the organization. It should aim to improve the quality of working life by providing better quality and efficient human resources and directing it to the organizational goals. The objectives for Human Resources Management are of utmost importance. (Vardarlier, 2016)

In general, HRM programs target three dimensions that determine performance. The activity is to achieve the goals of certain organizational goals. An organization is as effective as it achieves its strategic goals. Productivity; the ratio of the findings obtained to the sources used in obtaining them. The higher the rate, the greater the manager's efficiency. The motivational climate is the behaviors that affect employees' performance levels. (Asiltürk, 2018)

To explain the basic objectives of human resources management;

- Achieving organizational objectives through employees,
- Ensuring full capacity utilization and achieving optimal performance levels,
- Improving the performance of the entire organization by raising the qualifications of employees,
- Employee career steps and career development,
- Arrangements for ensuring the integrity of human resources policies and business plans,
- Finding the hidden creativity of employees and providing an environment to stimulate the energies,
- Development of effective use of resources, personnel and recruitment policies according to the needs of the organization,
- It is the creation of conditions that will improve innovation, teamwork, and total quality understanding.

If HRM strives to achieve the first goal alone, the people in the enterprise will not be different from a means of production. The second aim, however, is to keep staff far from the means of production and reveal the fact that businesses exist for humans and humans. In particular, information workers must provide satisfaction with their work. Because knowledge workers show less organizational commitment than industrial workers, and they attach great importance to satisfaction with the work they are committed to contributing to his/her personal development and his/her expertise. The reasons for the importance of HRM can be summarized as follows (Aydın, 2000):

- Globalization and competition,
- Rapid developments in information technologies,
- To be able to enter new emerging markets,
- Efforts to grow and grow in existing markets,
- The consciousness of consumers, changing their demands and needs,
- The development of the concept of total quality, the participation of employees in the management and requests for more democratic management,
- Difficulties in recruiting, retaining, and motivating information workers.

The Effects of Globalization on Human Resources Management

- Human resources management, along with the globalization process, has begun to gain an international dimension. The need for human resources with knowledge, skills, and talents that are different from the competition in the international marketplace in today's world, where technology, capital, and other inputs are provided in a very short period and competition has last experienced intense and threatening dimensions, has become more important than ever. In the past, While working in a narrower scope in the field of human resources since it works on a case basis, It began. One of the most important indicators of global business strategies is HR management in ever-changing work environments and in work environments where different views are in common. The widespread Internet, the geographical by removing the distance and time differences from the middle, In addition to being able to work, a universal labor market has also created a market. However, it has also made it difficult for internet workers to maintain long-term stability in the company. With the diversity of the workforce in geographical, cultural, and ethnic areas traditional HR practices have been inadequate. (Eroğlu O. , 2014)
- As the globalization process increases, the importance of national boundaries decreases. Governance the number of participants from foreigners is increasing. Globalization requires the work of a team free of prejudices such as nationality, race, religion. HR has become a much more difficult and complex business process than its predecessor, as companies have had to learn how to keep employees from different cultures who have different mindsets to be successful in the global marketplace. In the practice of multinational companies, the psychology and behavioral dimension of the individual is taken into account. The individual's loyalty and participation increases, and the alienation of the workforce from the business are getting out of the way. With such advanced management models implemented by multinational corporations, it appears that they have significantly increased the motivation and productivity of human resources. (Gürün, 2001)

Geert Hofstede's Study on the Subject of Culture

-Cultural Dimensions of Hofstede

According to the Dutch researcher Geert Hofstede (1980), culture is the common mental programming in the environment in which people live. Culture is not unique to individuals, it is a feature that surrounds individuals with the same education and life experience, not hereditary, derives from the social environment of one's genes. Culture is very difficult to change and is very slow. Hofstede has wondered whether differences are arising from national cultures and has carried out a worldwide survey for this purpose. Hofstede handled IBM (International Business Machines), one of the world's largest multinational organizations, based in New York,

from 1967 to 1973. To measure and evaluate the culture and the national cultures of the members of this organization, which has branches in more than 50 countries, the questionnaire questions have been translated into 20 different languages and applied to approximately 116,000 people from 70 different countries working under IBM. (Hofstede, 2001)

Hofstede has found that six dimensions help explain how and why people from various cultures are affected. These are Power Distance, Individualism, Masculinity, Uncertainty Avoidance, Long Term Orientation, and Indulgence.

***Uncertainty Avoidance**

The group is structured and includes mental mechanisms in which they can adapt to situations in which the focus is ambiguous or undefined. The attitude of people against uncertainty stems from cultural values. Individuals with low levels of uncertainty cannot be successful in adapting to uncertain situations; their resistance to change is high. The levels of success of these people decrease rapidly in high-alert, information-loaded environments.

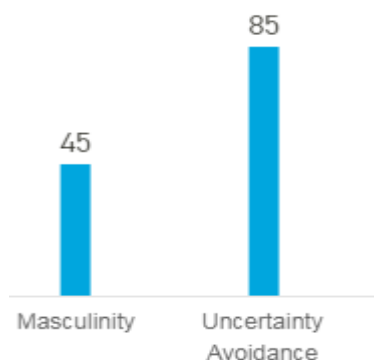
In cultures with high uncertainty avoidance, formal rules, and more need for absolute reality than cultures with low uncertainty avoidance; There is less tolerance for people and groups who exhibit different ideas and behaviors. Communities with high Uncertainty Avoidance tend to exhibit relatively more emotionality. These societies have a high level of anxiety and high work stress. A high emotional response to change is shown. Cultures with low Uncertainty have lower stress levels and weaker superegos, and a high degree of acceptance of disagreement. Besides, there is a tendency to take relatively more risk in cultures where uncertainty avoidance is low.

Hofstede (1980), Turkey has high uncertainty avoidance based on the flows among countries. Greece, Portugal, Belgium, Japan, Peru, France, Spain, China, and Argentina are the other countries where high uncertainty avoidance Hofstede's done and the order in which they are in the upper ranks than Turkey. Countries such as Singapore, Hong Kong, Sweden, Ireland, India, Canada, etc., are less likely to avoid uncertainty. (Hofstede, 2001)

***Masculinity**

According to Hofstede, if a society's assertiveness, money-making, and materialist tendencies stand out as dominant values, it can be said that if the importance given to human beings is in the background, the dominant values of these societies take male culture forward. Indicators of female culture, interpersonal relationships, and the importance given to people, the general quality of life is to keep ahead. Concepts associated with femininity in the traditional sense in societies include, compassionate, kind, loyal, loving towards children. Among them, sensitivity to others, understanding from the state, being generally loving, and understanding, warm behavior can be added. On the other hand, when we examine the traditional male values in societies, aggression, passion for elevation, is said to be the attitude we said, being athletic and competitor, having a dominant and oppressive attitude, being self-confident, independent and attitude-maker stand out. (Hofstede, 2001)

Table: 1



Source: <https://www.hofstede-insights.com/country-comparison/turkey/>

3. Method and Data Set

The method, in this study, the qualitative research method was adopted, and data were compiled by online interviews based on a 6-item question prepared in advance. Interviewees were asked to score 1 to 5 for each question. 1 is the lowest and 5 is the highest point. I have interviewed 15 people in total.

Data Collection, in this study, the opinions of the human resources department of the companies whose name is branded have been examined by the interview technique about the fact of the cultural dimensions of Hofstede on the human resources department. For this purpose, three companies were identified.

Interviews vary from ten minutes to half an hour depending on the availability of human resources specialists. The participants wanted to keep the company names and their names hidden. All the interviews took place in the city of Hatay in Turkey.

Data Analysis, In the interview with the participants of this study, a semi-structured interview form consisting of six questions was used by the researcher. The opinions of the people working in the human resources department were transmitted based on confidentiality and coded without giving their names. The coding was determined as the interviewee and the number was given as 1st Interviewee, 2nd Interviewee, 3rd Interviewee, 4th Interviewee, and so on.

In this study, the data obtained from online interviews were analyzed by using descriptive analysis method. The descriptive analysis method was used to analyze the data obtained from online interviews by describing the interviews that were thought to contain very valuable information. Also, the answers obtained from the questions asked during the interview, observations, and document reviews and the findings obtained from the website were interpreted by content analysis.

According to the descriptive analysis, the data obtained are summarized and interpreted according to the previously determined themes. Direct citations are frequently taken to reflect the views of the interviewed individuals. The purpose of this kind of analysis is to present the findings to the reader in an edited and interpreted manner. The data obtained for this purpose are first described systematically and clearly. Then, these descriptions are explained and interpreted, cause-effect relationships are examined, and some results are reached.

4. The Purpose of Research and Hypothesis

Based on the cultural dimensions of Hofstede's study, it is aimed to understand the fact of these dimensions in the Human Resources department. The hypothesis created to test these are listed below.

H1: People, who work in HR, have a high level of Uncertainty Avoidance.

H2: The Masculinity is not more dominant than the femininity in HR.

5. Result

UNCERTAINTY AVOIDANCE

1)What is the acceptability of differences in views of ideas among employees within the company? 1-5 p

2)How often do you take risks at work? 1-5 p

3)Do you have strict business rules within the company? 1-5 p

According to answers to the first question show us that employees accept different types of opinions in the workplace. Most of them into getting new ideas from a different perspective. **3rd Interviewee** said that Since the company has a harmony of Turkish and Russian structure, we do have a lot of different ideas. **5th Interviewee** said that Everybody has a different thought, nobody's idea can be the same. But in that way, you can find common ideas. Because of that, I am really into learning new things from different colleagues.

According to answers to the second question, Half of the employees more likely prefer to take a risk and the other half of them do not prefer to take a risk in the companies. Some of them would prefer to be sure about the result to take a risk. Some of them think taking a risk is a big challenge. **12th Interviewee** said that If I can handle the result of risks, I can take. Otherwise, I do not prefer to take risks. **7th Interviewee** said that I take risks, but depending on the situation, you can not develop unless you take risks.

According to answers of the third question show us that employees have strict rules in the companies. Some of them said that those rules are most likely to have a good working environment. **10th Interviewee** said that We have certain business rules to ensure a smooth working environment for all who work in the company. **12th Interviewee** said that We have our business rules to ensure order in the workplace. **7th Interviewee** said that We have business rules that regulate workflow and ensure our efficiency.

Table: 2

Uncertainty Avoidance								
	Scale	1)What is the acceptability of differences in views of ideas among employees within the company?		2)How often do you take risks at work?		3)Do you have strict business rules within the company?		Average of number of answers
		Person	Percentage	Person	Percentage	Person	Percentage	
Low	1	0	0%	3	20%	1	7%	5.66
	2	0	0%	3	20%	0	0%	
Neu.	3	0	0%	3	20%	2	13%	1.66
High	4	5	33%	2	13%	5	33%	6
	5	10	67%	4	27%	7	47%	

According to Hofstede's result for Uncertainty Avoidance dimension's score is 85 and thus there is a big need for rules and laws. Generally, people avoid risks and unknowns results. They usually prefer situations that they can control. According to my questions, the first and second one represents a low level of uncertainty and the third one represents a high level of uncertainty. Because of that, I calculated the third question's high level with the other two questions' low level and its low level with the other two questions' high level. According to my results of interviews that show us, also there is a high uncertainty avoidance for the HR department in the workplace. The avoidance from mistakes is a need for employees in the companies. Instead of going further and have a result of something, they would rather stay and not get into taking any risks in the workplace. According to Hofstede's result for multinational companies in Turkey, That dimension also has the same result for the HR department in companies.

-Turkey, according to the result of Hofstede, has a high level of Uncertainty Avoidance. According to my interviewee's result, also they have a high level of Uncertainty Avoidance in the HR department. At the end of this result, H1 is supported.

MASCULINITY

1)What is the attitude of human resources when employees have any external problems? Is there any material or moral support to its employees? 1-5 p

2)Does the company determine the motivation of employees in terms of competition and success? 1-5 p

3)It is said that there is admiration for successful people? How do you agree with that? 1-5 p

According to the answers of interviewees for the first question show us that Human resources generally are ready to help for every case of problems. **7th Interviewee** said that If employees have any problems and reflect this to business life, HR helps them as much as they can. **8th Interviewee** said that Especially when employees need extra money. We try to help out of the salaries of the employees by giving extra money in case of an emergency. For example, when they decide to get married or engage, they may need extra money. **10th Interviewee** said that If Personnel suffering from health problems or financially, HR care about their personnel and they help with any issues.

According to answers of interviewees for the second question show us that most of them are agree on motivation has a connection with competition and success in the company. **13th Interviewee** said that I agree with that. There are other factors, but success and competition are very effective in motivation. But some of them said that the competition is good but It does not have a good result all the time. Besides that, some of them thought success is key to having motivation in business life. If success is achieved at the end of a thing, the employee will be motivated by it. A couple of them thought that being a difference is a plus in the

workplace. **6th Interviewee** said that People who make a difference in working life will be more successful. Without competition, there is no success.

According to answers of interviewees for the third question show us that, most employees do not hide they admire to the successful people. Cause they prefer to have that kind of people around them in the company to get motivation. **10th Interviewee** said that This kind of person is important in the workplace. We need to be admired them. Cause they already reached the point and they can be a good example for co-workers to motivate them for the next achievement. **7th Interviewee** said that Successful people have reached a certain level and have made the success of their own. I think it is an admiration for people who do not accept their failure. Because I can say that these people are more ambitious. Couple of them though If that kind of person can share their experiences and open to developing other people, they can not skip admiration. **13th Interviewee** said that If people who are successful within the company are not selfish and can share success, I would admire such people.

Table: 3

Scale		Masculinity						Average of number of answers
		1)What is the attitude of human resources when employees have any external problems? Is there any material or moral support to its employees?		2)Does the company determine the motivation of employees in terms of competition and success?		3)It is said that there is admiration for successful people? How do you agree with that?		
		Person	Percentage	Person	Percentage	Person	Percentage	
Low	1	0	0%	0	0%	0	0%	5.66
	2	0	0%	2	13%	2	13%	
Neu.	3	2	13%	4	27%	1	7%	2.33
	4	3	20%	2	13%	4	27%	
High	5	10	67%	7	47%	8	53%	7

According to Hofstede's result, Turkey's score is 48 on the feminine side of the scale. That means people focus on having good communication/relationships with other people. They care about people and would like to help with anything. Also, people focus on a high level of life. On the other hand, They need a job because of living life. Furthermore, people are more affectionate to unlucky people. According to my questions, the first one represents a feminine side. The second and third questions represent a masculine side. Because of that, answers to the first question shows this high level for femininity is strong in the HR department. According to this result, I calculated this high level with the other two questions' low level and low level with the other two questions' high level. In that way, that makes more sense to understand the total result in the companies. The end of the calculation shows us that the HR department has a masculine side in the companies. That means employees prefer to have motivation from competitions in the companies. That means employees focus on ambition. Also, employees prefer to work because of living. This comparison shows us that even though Turkey's result has a feminine society, the HR department is more likely to be a masculine society.

-Turkey, according to the result of Hofstede, is a feminine society. According to my result of Interviewee's result, they are more likely to be a masculine society in the HR department. At the end of this result, H3 is not supported.

6.Conclusion

The culture of the company is shaped by being influenced by the culture of the society in which it operates and can be divided into subcultures. In such cases where cultural differences arise, managers should first manage these differences within the framework of cultural awareness and then turn this into a competitive advantage that creates cultural diversity.

Today, some businesses cannot go beyond fulfilling the legal requirements for the management of differences, while others are trying to make these differences a competitive tool. The differences here refer to cultural differences as well as differences that can be understood at first glances, such as age, gender, race, disability.

The issue of the management of cultural differences is essentially a matter dealt with in the management of differences but can be considered as a separate study subject because it is very comprehensive.

In this study, the results of the answers of interviewees, who were working in the HR department, reached similar results with Hofstede's research for Turkey. According to the answers of the Interviewees and the results of Hofstede for Turkey, the following results can be made by comparing the results.

- Turkey, according to the result of Hofstede, has a high level of Uncertainty Avoidance. According to my interviewee's result, also they have a high level of Uncertainty Avoidance in the HR department. At the end of this result, H1 is supported.
- Turkey, according to a result of Hofstede, is a feminine society. According to my result of Interviewee's result, they are more likely to be a masculine society in the HR department. At the end of this result, H2 is not supported.

References

1. Asiltürk, A. (2018). İNSAN KAYNAKLARI YÖNETİMİNİN GELECEĞİ: İK 4.0. *Journal of Awareness*, 527-544.
2. Aydın, A. (2000). İnsan Kaynakları Yönetiminin Değişen Yüzü: Stratejik İnsan Kaynakları Yönetimi Modu. *Öneri Dergisi*, 77-84.
3. Bayar, F. (2005). *Uluslararası Ekonomik Sorunlar*. İstanbul.
4. Bolat, T., & Seymen, O. A. (2005). *Küreselleşme ve Çok Uluslu İşletmecilik*. Ankara: Nobel Basımevi.
5. Eroğlu, E. (1999). İşletmelerde İnsan Kaynakları Bölümünün Gelişimi ve İşlevleri. *Anadolu Üniversitesi İletişim Bilimleri Fakültesi Dergisi*, 267-282.
6. Eroğlu, O. (2014). Uluslararası İnsan Kaynakları Yönetimi ve Ulusal Kültürel Zorluklar. *Pamukkale Üniversitesi Sosyal Bilimler Enstitüsü Dergisi*, 91-102.
7. Günay, S. (2005). *Küreselleşme ve Çok Uluslu İşletmecilik*. Ankara: Nobel Basımevi.
8. Günaydı, A. C. (2007). *Çokuluslu Şirketler ve İstihdam*. İstanbul: Yayınlanmamış Yüksek Lisans Tezi.
9. Gürün, F. (2001). *Globalleşme ve Çokuluslu Şirketlerin İnsan Kaynakları Yönetimine Etkileri*. Ankara: Türk Tarih Kurumu Basınevi.
10. Hofstede, G. (2001). *Culture's Consequences; Comparing Values, Behaviours, Institutions and Organizations Across Nations*. Thousand Oaks, CA: Sage Publications.
11. Paşaoğlu, Didem. 2015. "Analysis of the Relationship Between Human Resources Management Practices and Organizational Commitment from a Strategic Perspective: Findings from the Banking Industry". *Procedia - Social and Behavioral Sciences*, 11th International Strategic Management Conference, 207 (Ekim): 315-24. <https://doi.org/10.1016/j.sbspro.2015.10.101>.
12. Jovanovic, M. N. (2010). Is Globalisation Taking Us for a Ride? *Journal of Economic Integration*, 501-549.
13. Küçükönel, H. (2003). *Havayolu İşletmelerinde İnsan Kaynakları Yönetimi*.
14. Lendzion, Jarosław Piotr. 2015. "Human Resources Management in the System of Organizational Knowledge Management". *Procedia Manufacturing*, 6th International Conference on Applied Human Factors and Ergonomics (AHFE 2015) and the Affiliated Conferences, AHFE 2015, 3 (Ocak): 674-80. <https://doi.org/10.1016/j.promfg.2015.07.303>.
15. Türkeul, F. (2016). *TÜRK KÜLTÜR-KİŞİLİK YAPISININ İNSAN KAYNAKLARI YÖNETİMİNE ETKİLERİ ÜZERİNE BİR DEĞERLENDİRME*. İstanbul: Yüksek Lisans Tezi.
16. Vardarlıer, Pelin. 2016. "Strategic Approach to Human Resources Management During Crisis". *Procedia - Social and Behavioral Sciences*, 12th International Strategic Management Conference, ISMC 2016, 28-30 October 2016, Antalya, Turkey, 235 (Kasım): 463-72. <https://doi.org/10.1016/j.sbspro.2016.11.057>.

Changes in Working Regulations for Refugees in Jordan

Doaa M. F. Jarrar

PhD Student, Alexandre Lamfalussy Faculty of Economics, University of Sopron, Hungary, Email:
doajarrar@yahoo.com, Orcid: 0000-0001-8227-7051

Abstract: Jordan as a country that is well-known of its safety in the Middle East, has received different waves of refugees over the course of decades from neighbouring and other countries in the region, whom were fleeing wars, political persecution or other types of discrimination.

(UNHCR, 2020) With a population of 747,031 refugees residing in Jordan, it's considered that it has the second highest share of refugees pro capita today. Which increase the burdens on a country that has limited natural resources (water and energy) and an emerging market. However, with continuation of conflicts and wars in the country of origin, part of these refugees have been living in Jordan for so many years now, which make them to reconsider the country for long-term residency.

Moreover, with a saturated job market, refugees from different groups face so many difficulties in accessing job opportunities due to many reasons, but mostly the work regulations. Therefore, this article is focusing on the changes that has been implemented to the work regulations concerning refugees, and how these regulation were affecting differently each group, based on a comparative study approach that compares the changes in regulations over time.

Keywords: Refugees in Jordan, refugees' integration, refugees' employment.

1. Introduction

Jordan has been always considered as one of the most important host countries of refugees in the Middle East through so many years. By receiving refugees through different waves, especially after the establishment of the Hashemite Kingdom of Jordan in 1921; Jordan has always had a very high percentage of the population formed by refugees; either by those gained the citizenship after some years, or those who are still holding the refugees status until today. Which made Jordan a diversified country in the region with a variety of cultures and openness to host people from neighbouring countries.

(UNHCR, 2019) by hosting the second highest share of refugees pro capita today, the pressure has increased on the usage of the natural resources (water and energy), and the infrastructure of the country, knowing that the country is considered poor in terms of water and energy, which make it suffer more with the increasing of the population on its land.

However, (UNHCR, 1967) despite that Jordan didn't sign the **1951 Refugee Convention**¹, Jordan has always been cooperative through dealing with the refugees' related issues and crises. Therefore, the country has implemented several changes to integrate the refugees within the hosting communities, which also include the changes in labour market integration and concerning regulations.

Therefore, this article highlights the major changes in the labour and other regulations concerning the refugees' employment and the stages these changes have gone through. In addition, the article will also explain the different refugees' status in Jordan, and slightly introduce the history of the biggest refugees' populations in Jordan.

2. Literature Review

Jordan has received different waves of refugees over the course of decades from neighbouring and other countries, whom were fleeing wars, political persecution or other types of discrimination.

¹ The 1951 Refugee Convention is "a legal document signed by 145 parties, where the UNHCR serves as a guardian of, and defines the term 'refugee' and outlines the rights of the displaced, as well as the legal obligations of States to protect them". Source: UNCHR <https://www.unhcr.org/3b66c2aa10>

Among those waves, the biggest refugees' populations were formed by refugees from: Palestine, Iraq and Syria, while also Jordan received refugees from other countries like Yemen, Libya, Sudan, Somalia and others countries.

Moreover, according to the UNHCR the refugee term is defined as *"someone who is unable or unwilling to return to their country of origin owing to a well-founded fear of being persecuted for reasons of race, religion, nationality, membership of a particular social group, or political opinion."*², somehow, those moved to Jordan to establish their own business, or had job offers before relocating were not registered as refugees nor counted at the UNHCR statistics; as they were considered as economic migrants who seek a better life and still enjoy the benefit of being citizens of their own countries and/ or the benefits given to them from Jordan as investors.

Therefore, actual numbers of those fled to Jordan along with the refugees waves were higher than the UNHCR statistics, therefore, only the available statistics are mentioned below which are not accurately reflecting the full picture.

2.1. Palestinian Refugees

Palestinian refugees are considered the biggest group of non-Jordanians who are living today in Jordan. It's also estimated that half of the Jordanian population is from Palestinian origins³.

Today, according to the United Nations Relief and Works Agency for Palestine Refugees in the Near East, (UNRWA, 2018) 2.2 million Palestinian refugees are registered and living in Jordan, which is as mentioned, doesn't reflect the whole number of Palestinians in Jordan and will be later explained briefly.

Those refugees or migrants came to Jordan through several waves starting from 1948, and were grouped as:

2.1.1. First wave, 1948:

As a result of the 1948 Arab-Israeli war, an estimated number of (Al Hussein, 2013) 726,000 Palestinians fled to neighbouring countries; Jordan, Syria and Lebanon, or were displaced internally to other Palestinian cities in the West Bank, later occupied in 1967. Figure 1 shows the number of Palestinians fled their country and their distribution over neighbouring countries in 1948.

Jordan received the highest number of those refugees, (Al Hussein, 2013) either the 10% received inside the Jordanian borders of 1948 or the 38% moved to West Bank, which became part of Jordan in 1951, in addition, some of those who were first displaced to the West Bank in 1948, had to flee again to Jordanian cities in 1967, as a result of 1967 Arab-Israeli war.

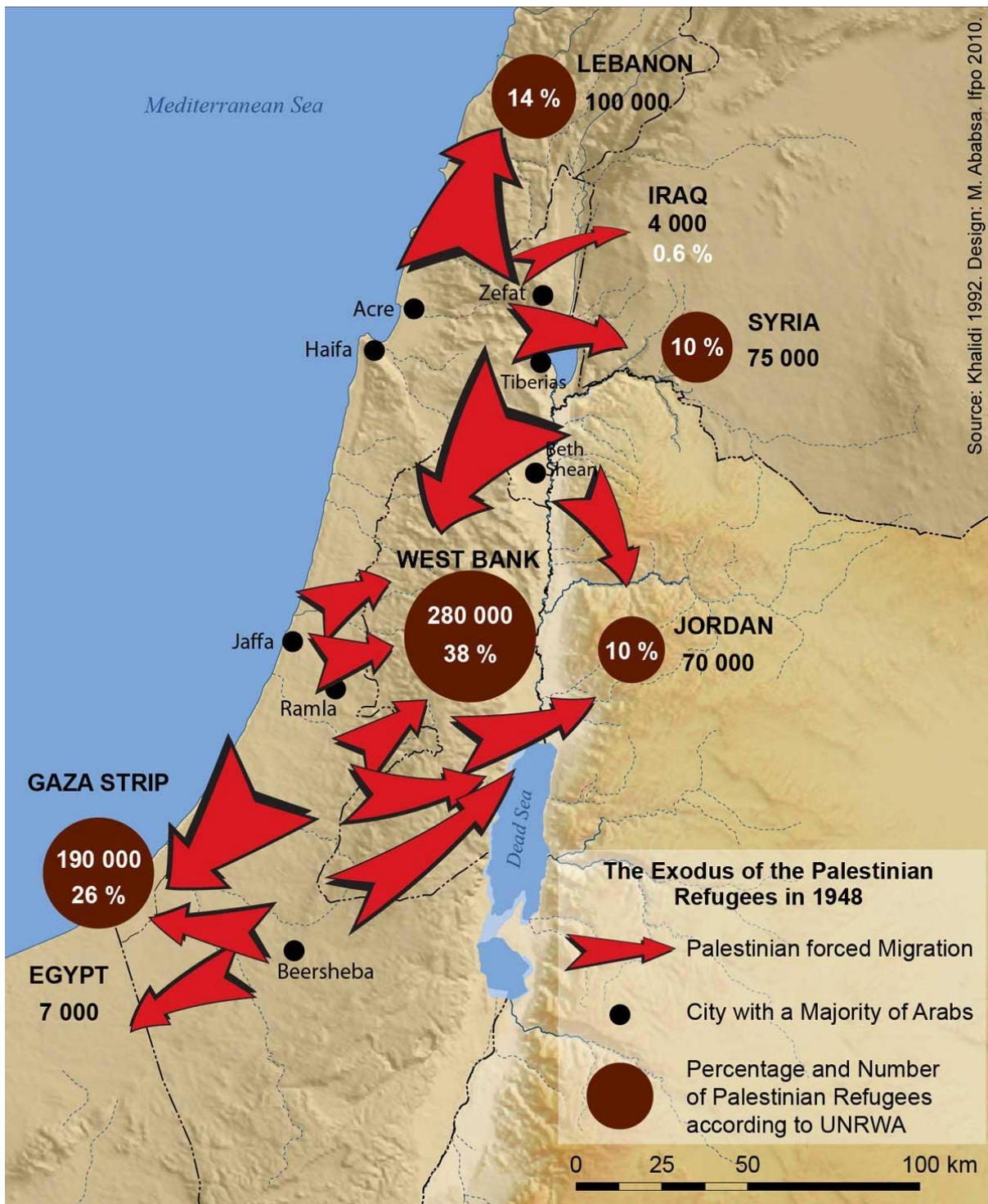
Most of those refugees received the Jordanian citizenship later in 1954⁴, however, they were still registered as refugees according to the UNRWA.

2 Internet source: UNHCR <https://www.unhcr.org/afr/what-is-a-refugee.html>

3 Internet source: Palestinian-Origin Jordanians Deprived of their Nationality, February 1, 2010, Human Rights Watch <https://bit.ly/2TC7nAg>

4 Internet source: Legal Status of Palestinian Refugees in Jordan, the Palestinian Association for Human Rights "Witness" <https://bit.ly/3ei7WHA>

Figure 1: The distribution of Palestinians into neighbouring countries in 1948



Source: Atlas of Jordan⁵

⁵ Source: Hussein, J. A. 2013. Jordan and the Palestinians. In Ababsa, M. (Ed.), Atlas of Jordan: History, Territories and Society. Beirut: Presses de l'Ifpo. doi:10.4000/books.ifpo.5014

2.1.2. Second Wave, 1967

The second Arab-Israeli war which happened in 1967 resulted in another wave of refugees who fled from the West Bank to Jordan, it was estimated that (Al Hussein, 2013) 440,000 Palestinians from both West Bank and Gaza fled to Jordan, including those who fled before in 1948 to seek refuge in West Bank from other occupied cities at that time.

As West Bank was considered part of Jordan since 1951 until 1988, those arrived from West Bank were considered as Jordanian citizens, however, those arrived from Gaza, (will be later referred to as Gazans) were considered Palestinian refugees, which until today are not entitled to the Jordanian citizenship and only eligible for a Jordanian temporary passport, (UNRWA, 2018) it is estimated until the end of 2017 that 158,000 Palestinian refugees under this category are now residing in Jordan.

2.1.3. Other Waves

Other Palestinians came later to Jordan, (Al Hussein, 2013) as a result of the Gulf conflict in 1990 – 1991, around 250,000 Jordanians of Palestinian origins moved to Jordan, and they were mostly entitled to the Jordanian citizenship, as those Palestinians who lived outside the West Bank during the period from (1951 – 1988) were entitled to the citizenship, just like those were residing inside the West Bank which was considered part of Jordan for those years.

Moreover, after the start of the Syrian war, another wave moved from Syria to seek refuge in Jordan, (UNRWA, 2018) which as of end of 2017 is estimated to be 17,000 Palestinians.

2.2. Iraqi Refugees

Jordan was the home for many Iraqis during so many years; escaping several wars or insecure situations to the most welcoming neighbouring country, or search for work opportunities and a better life. However, (Olwan, 2009) after the US-Led invasion to Iraq in 2003, a massive wave of Iraqi refugees arrived to Jordan at that time and the following years.

With an open-borders policy towards Iraqis, before it was changed, the estimated number of Iraqi registered refugees entering Jordan was difficult to be determined, however, despite that the estimated number in 2007 was up to 1 million, (Olwan, 2009) official numbers were found to be between 450,000 to 500,000 as of May 2007. Today, according to the (UNHCR, 2020), the registered Iraqi refugees in Jordan are 67,076 refugees, which definitely doesn't include Iraqi investors or economic migrants in the country.

2.3. Syrian Refugees

Jordan is considered one of the most affected countries by the Syrian war since 2011, (UNHCR, 2020) the number of Syrian refugees reside in Jordan and registered with the UNHCR data was over 656,737, which doesn't include economic migrants and investors, just like the case of Iraqis. As Jordan also has applied an open-borders policy towards Syrians, before it was changed due to the current situation, many Syrians fled to Jordan after the war, however, they were able to establish their own businesses or secure job opportunities and reside legally in the country without being registered as refugees.

Moreover, as the Syrian refugees crisis got more attention within the recent years, due to the size of the crisis and the huge number of refugees being affected, (Barbelet et al., 2018) Jordan has signed the Jordan Compact agreement with the European Union (EU) in February 2016, in which Jordan shall improve the access for Syrian refugees to education and legal employment, in return for grants and loans of billions of dollars.

2.3.1. Jordan Compact

(European Commission, 2017) A partnership agreement was signed in London, in February 2016 between the European Union and Jordan, in which Jordan agreed on improving the living conditions for both Syrian refugees in Jordan and vulnerable host communities, which includes issuing 200,000 work permits for Syrian refugees, in return, Jordan was promised to receive financial assistance in grants, loans and other trade agreements through three years, from 2016 -2018.

3. Methodology

The main concern of this paper is to focus on work and employment regulations concerning refugees living in Jordan and the changes that has been faced by each group, therefore, the methodology was based on collecting Secondary Data though reviewing a wide range of documents including; the Jordanian Labour Law, and the changes that have been implemented on it during the selected period of time for this study, UN agencies and Humanitarians organizations reports and statistics such as, UNHCR, UNRWA.. etc., in addition to published media that reflected official changes and implementations.

Therefore, the study is based on a comparative study approach that compares the changes in regulations over time and toward different groups of refugees.

3.1. Study Questions

Data analysis of reviewing the secondary data resulted in answering the research questions of this paper, which are:

- Are refugees allowed to work in Jordan?
- What are the main changes in the work and employment regulations concerning refugees in Jordan?
- Is there any difference in work regulations that have been implemented to different refugees groups (example Syrians vs. Palestinians refugees)?

4. Findings

4.1. Refugees Access to Work in Jordan

The Jordanian labour law considers refugees as expatriates (foreign workers), therefore, those regulations applied to foreign workforce is also applied to them. Moreover, Jordan classifies most of the professions as closed occupations to non-Jordanians⁶, which are classified in terms of refugees' (foreigners) accessibility as below:

- Closed Jobs; only Jordanians are allowed to work for: this includes administrative, sales, decoration and design (interior and exterior), electrical and mechanical car maintenance, hairdressing.
- Closed Jobs but with exemption for some cases upon request, which also requires the approval of the Minister of Labour and concerned unions or ministries. This is applied to the following sectors: engineering, medical, education and vocational training, communication technology, finance and banking, insurance, tourism, fitness and sports clubs, aviation and other activities, in which the organization proves that the job was publicly announced for Jordanians, and no Jordanian applicant has applied, qualified or is willing to fill the position.
- Opened Jobs: (ILO, 2017) limited to the construction, agriculture, manufacturing, and service sectors. In addition to rare jobs that either:
 - o The job itself is not common in the Jordanian job market (rare), therefore, Jordanian applicants are not available.
 - o The experience needed to perform the job is so specific and requires a high level of speciality that doesn't exist, or very rare among Jordanian applicants.
 - o New technological and other specialities that still new to the Jordanian market and need the expertise of expatriates to be transferred to other Jordanian workers.
 - o In some case of the previously mentioned jobs, such for university professors, some specialities are rare among Jordanians, therefore, the higher educational institute needs to prove that the job couldn't be fulfilled by a Jordanian within the same field of speciality and the needed experience.

⁶ Access to the closed jobs for non-Jordanians through the Ministry of Labor: <https://bit.ly/3d1F0n1>

- Foreign Investment: if the corporate is owned by a foreign investor, it can employ non-Jordanians, however, this includes other conditions and specific quotations for the hired Jordanians.

Moreover, although that as of November 2019, (UNHCR, 2019b) the number of work permits of Syrian refugees has reached 159,000 permits since 2016, which reflects an optimistic number for the Jordan Compact efforts in improving the Syrian refugees access to the job market, however, (Leghtas, 2018) the total number includes renewed permits, which means that the actual number of those were entitled to work permits was so much less than the announced number by the UNHCR, as many Syrians have been working in Jordan since the decision, with annual renewal, which means that in so many cases multiple permits belonged to the same person. In addition, many of the issued permits were within the opened jobs categories, and not according to the refugees' qualifications. In result, many of them chose the informal way of accessing jobs, which is considered illegal.

4.2. Main Changes in the Refugees' Employment Regulations

- Closed jobs for non-Jordanians: as previously mentioned, the Jordanian Labour Law has classified specific jobs as closed for non-Jordanians and also explained the cases in which permissions are issued for foreign workers (expatriates), however, the above mentioned details were only declared in 2019 by HE Mr. Nidal Bataineh, Minister of Labour. Before that date, the closed Jobs were only limited to 11 professions⁷ which were: administrative and accounting, telephone systems related jobs, store workers, sales, decoration, electrical and car mechanical maintenance, drivers, security guards, and office-boys. However, after 2019, the closed jobs were more expanded and exemptions followed more strict conditions, as to make job opportunities more available to Jordanian nationals and to control the process of expatriates' workers in the country.
- At the beginning of 2016⁸, it was required by those with temporary Jordanian passports, including Gazans, to issue work permits and pay the fees of those permits by themselves. Which wasn't the case before that date, as Gazans were working at the private sector, despite the regulations, as they were not entitled to issue work permits which give them and the employers the chance to turn a blind eye to the actual regulations concerning non-Jordanians, however, since 2016, the new regulations affected those who had have secured jobs for so many years and were suddenly entitled to issue work permits, that also required continuous renewal of their passport, adding an additional cost to the permits issuing.

4.3. Differences in Employment Regulations over Refugees Groups

Palestinian refugees with temporary Jordanian passports were among the most benefited refugees groups in accessing job market, however, this was changed as mentioned earlier in 2016, and they were entitled to issue work permits such as other groups. However, some of them were able to maintain their current jobs within the private sector, even after the new regulation, as they have been working in Jordan for long time and already had a career path that made their employers keep them in some cases.

In February 2009⁹, Iraqis in Jordan, especially investors were granted facilities by the Jordanian government in so many terms, this included easy of movement on borders, annual renewal for residence permits for families and dependents (parents), and for investors who have been residing in Jordan for ten years are granted a temporary residence permit for five years, in addition to the easiness of purchasing real estates and cars in addition to the access to the driving license, which is more strict to be permitted for other refugees groups.

Therefore, wealthy Iraqis were more able to access job opportunities as they were more able to purchase residency permits.

(Hawkins et al., 2019) Syrian refugees are more eligible to receive basic aids and financial assistance than refugees from other nationalities like Yemenis or Sudanese. Although this is not related to the access of the Job market, however, it gives them a little advantage than others to access life needs. In addition, so many

7 Internet source: Amman Net, October, 2019 <https://ammanet.net/العمل-28-مهنة-مغلقة-ومقيدة-أمام-العمالة-الوافدة-تعرف-عليها>

8 Internet source: Ranya Al-Sarayreh, January 9, 2016, Al-Ghad Newspaper, October, 2019 <https://bit.ly/3cZnO18>

9 Internet source: Ammon News, February 19th , 2009 <https://www.ammonnews.net/article/34427>

educational and training opportunities were open in Jordan for refugees to prepare them for the job market, and mostly, Syrian refugees were among the most benefited groups from the scholarships to access these opportunities.

(European Commission, 2017) Jordan Compact gave 200,000 work opportunities to Syrian refugees, despite that the actual numbers were less than the targeted number as mentioned earlier, however, this gave more privilege to the Syrian refugees than other refugees groups in accessing job opportunities, and the agreement only included Syrians, while other refugees groups were still struggling in accessing job market.

5. Conclusion & Recommendations

In conclusion, despite that Jordan was providing a safe host for refugees over so many decades, showing a very welcoming attitude towards hosting them in contrary to other complicated procedures towards refugees in other countries in the region, refugees still face a huge problem in getting integrated within the community today.

Accessing the labour market, is considered as the most important and sustainable aspect for refugees to be integrated in any community, therefore, in respect to the aim of controlling the Jordanian labour market and maintain job opportunities for Jordanian citizens, in a market that is considered saturated, some solutions would be compromised for both parties, such as:

- Distinguish between the regulations concerning refugees and other non-Jordanian workers (expatriates), by opening the access for jobs that can't be filled by Jordanians for refugees first, which also lower the cost of importing foreign workforce.
- Increase the opened jobs categories to include other professions from other sectors, while keeping quotations on permits issuing for refugees to control more access for Jordanians to these jobs.
- Take into consideration the years in which these refugees have been residing in Jordan, and add a sealing in which after they can get equal rights in accessing job market of Jordanians, especially Gazans, who have been residing in Jordan since 1967.

Lastly, leaving refugees without a proper access to jobs and more dependants on humanitarian aids, will make them feel isolated and not integrated within their host community which may lead to harmful results on the long run.

References

- Al Husseini, J. (2013). Chapter 5: The Exodus of Palestinian Refugees. In M. Ababsa, Atlas of Jordan. History, Territories and Society (11 June 2014, pp. 230–245). Presses de l'Ifpo, Institut français du Proche-Orient. <http://books.openedition.org/ifpo/5014>
- Barbelet, V., Hagen-Zanker, J., & Mansour-Ille, D. (2018). Lessons learnt and implications for future refugee compacts. 8.
- European Commission. (2017, March). Jordan Compact (EU-Jordan Partnership). <https://ec.europa.eu/neighbourhood-enlargement/sites/near/files/jordan-compact.pdf>
- Hawkins, A., Assad, R., & Sullivan, D. (2019). Citizens of Somewhere—A Case Study of Refugees in Towns (Amman, Jordan). <https://reliefweb.int/sites/reliefweb.int/files/resources/RIT%2BReport%2BAmman%2BJordan.pdf>
- ILO, International Labour Organization. (2017). Work Permits and Employment of Syrian Refugees in Jordan—ILO.pdf.
- Olwan, M. Y. (2009). Iraqi Refugees in Jordan: Legal Perspective. European University Institute, 16.
- UNHCR, The United Nations High Commissioner for Refugees (1967). The 1951 Refugee Convention. UNHCR. <https://www.unhcr.org/1951-refugee-convention.html>
- UNHCR, The United Nations High Commissioner for Refugees (2019, November). UNHCR Jordan Fact Sheet—November 2019_0.pdf. http://reporting.unhcr.org/sites/default/files/UNHCR%20Jordan%20Fact%20Sheet%20-%20November%202019_0.pdf
- UNHCR, The United Nations High Commissioner for Refugees (2020). Jordan Fact Sheet—April 2020.pdf.
- UNRWA, The United Nations Relief and Works Agency for Palestine Refugees in the Near East (2018, March). Protection in Jordan. UNRWA. <https://www.unrwa.org/activity/protection-jordan>

The History And Impact Of Industrialization In Ghana

Dolores Mensah Hervie¹

Prof. Anna Törőné Dunay²

¹Doctoral School of Management and Business Administration, and Institute of Business Economics, Leadership, and Management, Szent István University, Páter K. Str., Gödöllő, 2100, Hungary, Hervie.Dolores.Mensah@phd.uni-szie.hu, dhervie@atu.edu.gh

²Institute of Business Economics, Leadership, and Management, Szent István University, Páter K. Str., Gödöllő, 2100, Hungary, Dunay.Anna@gtk.szie.hu

Abstract: Industrialization means economies migrating from agriculture to a global expansion of mechanized manufacturing processes and services. The purpose of this paper is to examine the history of industrialization, its impact on economic development in the world and Ghana in particular. Looking further at Ghana's industrial policy and the key emerging issues that the leadership of the country would have to implement to ensure its success. The aim of this paper was accomplished by reviewing literature on the study. It was found out that Industrial Revolution started in Britain and spread to the rest of the world. Industrialization has been categorized into four phases. The first two phases happened mostly in the western world and the rest of the world joined in the remaining phases. It was also discovered that although each industrial revolution is deemed a distinct occurrence, all the four phases can be considered as experiences and developments built upon of the earlier revolution and leading to more advanced forms of economic growth and technological advancement. Ghana's industrialization started after World War II and has gone through stages of development to enhance education and technological advancement, employment generation and alleviation of poverty through strategies and policy formulation. It is recommended that the government of Ghana should take the necessary steps to enforce its industry policy since its achievement would be measured by the rate at which it promotes privatization particularly, SMEs within a very competitive industrial sector to increase and generate opportunities for employment and decrease poverty and uneven distribution of resources and services in Ghana.

Keywords: Industrialization, Ghana, Economic Growth, Strategy, Policy

1. INTRODUCTION

Industrialization started in the 18th Century in Britain and spread to the remaining parts of the world. According to Chappelow (2019), "Industrialization is the process by which an economy is transformed from primarily agricultural to one based on the manufacturing of goods". Individual work was substituted by automated bulk manufacturing, and artisans were substituted by production lines. The features of industrialization include economic growth, more efficient division of labour, culture and the use of technological innovation to solve problems.

The technological changes comprised the use of materials like iron and steel, the invention of new machines for production and energy sources like fuels, petroleum, that allowed increase in production.

The industrial revolution brought together groups of people in the production process. Most production operations before the late eighteenth century centered on households, with collaboration and specialization among ten or fewer people. Even though many early industrial factories were small, they promoted the grouping of greater numbers of people for the production process. They also increased the amount of specialization; tasks were subdivided, so the total production was increased even aside from the new technology. Revolutions in technology and in the organization of production—yielded one clear result a great increase in the total output of goods and in individual worker output. Per capita productivity went up, in some cases massively (Stearns, 2013).

The first and second industrialization experience took place in the western world including other developed countries like Japan. The rest of the world joined during the third revolution. The purpose of this paper is to look at the history of industrialization, its impact on economic development in the world and Ghana in particular. Looking further at Ghana's industrial policy and the key emerging issues that the leadership of the country would have to implement to ensure its success. The objective of this study was accomplished through the review of literature on the subject matter.

2. HISTORY OF INDUSTRIAL REVOLUTION

The first industrial revolution started in 1760 with the invention of the steam engine. This transformed the world's economy from an agrarian and handicraft economy to one dominated by industry and machine manufacturing. The steam engine allowed the shift from farming and feudal society to the new manufacturing process. This transition involved the use of coal as the main energy while trains were the main means of transportation. Textile and steel were the leading industries in terms of employment, value of output, and capital invested (Xu, David and Kim, 2018).

The second Industrial Revolution started in the late 19th and 20th centuries. Modern industries began exploring the use of natural resources that was not earlier utilized like lighter metals, alloys and synthetic products such as plastics, as well as new energy sources. Combined with these were developments in machines, tools, and computers that gave rise to the automatic factory. Although some segments of industry were almost completely mechanized in the early to mid-19th century, automatic operation, as distinct from the assembly line, first achieved major significance in the second half of the 20th century.

Minority ownership of production that described the Industrial Revolution in the early to mid-19th century changed to a wider distribution of ownership through purchasing of ordinary stocks by individuals and institutions such as insurance companies. During that period, a change in political theories occurred: instead of the laissez-faire ideas that dominated the economic and social thought of the classical Industrial Revolution, governments generally moved into the social and economic realm to meet the needs of the more complex industrial societies (Brian Duignan-Encyclopedia Britannica 23-10-2019). During this period, there was increase in competition and persistent demand for orders from factories amidst the perception that employees would accept firm standard and work more faster if they are trained and well remunerated.

The third revolution began in the second half of the 20th Century. It saw the introduction of notable technologies such as the internet, digital revolution and mainframe and personal computers. The inception of digitization disrupted industries significantly especially, global communications and energy. Electronics and information technology began to automate production and moved supply chains globally. It gave rise to nuclear energy, automation and electronics. Managers gave more importance to their human resource. There was emphasis on employer-employee relationship. Programmes to increase wages and fringe benefits were developed. Personnel management gave way to human resource management which looks at the broader picture. According to (Beer, 2017), the third industrial revolution saw decelerating of GDP across the globe as a result of a two decade of decline in productivity. However, there was economic turnaround when the European Union instituted its "Smart Europe" plan to construct road maps to evolutionalized a new infrastructure of 5G internet, renewable energy, and automated driverless transport internet. A similar move also took place in China, US and most parts of the world (Beer, 2017).

The 21st Century (4th revolution), brought about largely digital, biological and physical innovations. Fourth Industrial Revolution is built up on the Third. The use of digital technologies to engender product design and three-dimensional (3D) printing, which can create solids object by building up successive layers of materials came into being. When compared with previous industrial revolutions, the Fourth is evolving at an exponential rather than a linear pace (Xu, David and Kim, 2018).

Like previous revolutions, the Fourth has the potential to raise income levels and improve the quality of life for populations around the globe. To date, those who have gained the most from it have been consumers able to afford and access the digital world; technology has made possible new products and services that increase the efficiency and pleasure of lives (Schawb, 2015). According to (Schawb, 2015), technological innovation may also lead to a supply-side miracle, with long-term gains in efficiency and productivity. Transportation and communication costs would drop, logistics and global supply chains may become more effective, and the cost of trade would diminish, all of which could open new markets and drive economic growth.

(Brynjolfsson and McAfee, 2011) state that the revolution could yield greater inequality, particularly in its potential to disrupt labour markets. As automation substitutes for labour in developed economy, the net displacement of workers by machines might worsen the gap between returns to capital and returns to labour. On the other hand, it is also possible that the displacement of workers by technology could, in aggregate, result in a net increase in safe and rewarding jobs.

3. INDUSTRIALIZATION IN GHANA

Ghana's industrialization started after world war II. There were few factories and most of them felled timber and logs for export. This contributed a little to economic growth because the colonial masters focused on exporting raw materials from the then Gold Coast (Ghana) while at the same time creating an economic system heavily dependent on manufactured products from Britain (Ackah, Adjasi and Turkson, 2014).

After Ghana's independence, the new government embarked on an extensive import substitution programme; Import Substitution Industrialization (ISI) strategy with the aim of transforming Ghana's industrial edifice that would reduce dependence on colonial powers and other foreign economies for goods. It sought to utilize Ghana's natural domestic resources to satisfy the basic needs of its population, create jobs, and integrate and promote technological progress. ISI was to diversify the predominantly agrarian economy, create employment for the rapidly growing population, raise per capita incomes, improve the balance of payments and project the economy on the path of sustained and rapid economic growth. At the centre of the ISI strategy was the development of large-scale, capital-intensive manufacturing industries owned and managed by the state (Ackah, Adjasi and Turkson, 2014).

The government invested so much into infrastructural development and state-owned manufacturing industries in the mid-1960s. performance of privately-owned enterprises declined. The increase in industrial output over the 1960s did not encourage economic growth or improve per capita incomes, as envisaged. Rather, over this period, real GDP declined steadily from 4.8 per cent in 1961 to 1.1 per cent in 1966. From the 70s to 80s. there were political instability, different governments came with different inappropriate macroeconomic policies which had negative impact on the industrial sector and financial performance in addition to some external shocks, Ghana's industrial sector declined drastically in economic and financial performance. During this same period, exports earnings dropped, there was significant reduction in capital flows and official aid as well as the loss of creditworthiness (World Bank Report, 1985).

Now Ghana's industrialization is picking up and this is shown in Table 1below:

Ghana's industry sector is the highest growing sector with a GDP share of 10.6. Growth Rates of Gross Domestic Product at Constant 2013 prices (percentage)

Sector	2014	2015	2016	2017	2018
Agriculture	0.9	2.3	2.9	6.1	4.8
Industry	1.1	1.1	4.3	15.7	10.6
Services	5.4	3.0	2.8	3.3	2.7

Source: Ghana Statistical Service Annual 2013 to 2018 GDP, April 2019 Edition

Ghana is one of the fastest-growing economies in Africa today. The Ghanaian labour market is characterized by a situation where about 230,000 new job seekers enter the job market annually. According to (Ghana Statistical Service, 2016), about two-thirds (67.6%) of the labour force are employed, 9.1 percent are unemployed and 23.3 percent are currently not in the labour force. This is a significant improvement from what transpired a decade ago.

Ghana is one of the countries in Africa expanding its fiber optic network. Most primary, secondary and tertiary schools have internet access. There are emerging private universities whose specialty is information technology. The critical stage to administratively manage the performance of this labour force toward specific industrialization drive. There should be corresponding research to monitor and evaluate achievement and lessons to be learnt to achieve industrialization in this sector.

(The Economist: Intelligent Unit report, 2019) indicates that a few countries have begun to address the impact of automation through educational policy, which is expected to boost the importance of education related to STEM (science, technology, engineering and mathematics) and of soft skills, which allow workers to trade on their uniquely human capabilities.

According to (Opoku and Boachie, 2019), there is a perception that Africa is lacking behind because the continent appears to have hopped a major developmental phase. Without industrialization economic growth in Africa cannot be sustained and transformed. (Opoku and Boachie, 2019), again mentioned that this perception has led to leaderships in the continent and development agencies in the past few years to formulate and implement policies for key industrialization. Examples of these key policies and programmes to transform Africa are Africa Union's Agenda 2063, and the New Partnership for Africa's Development (NEPAD) which have

made economic development the centre piece of attaining the associated objectives. The Africa Development Bank (AfDB) has also made industrialization number three of its five priorities of transmuting the African economy (Opoku and Boachie, 2019; Africa Growth Initiative, 2016).

In the past few years, Ghana has shifted its attention in its industrialization strategy. The policy of government is geared up towards wealth creation by transmuting the disposition of the economy to achieve growth, alleviate poverty, and protect the vulnerable/excluded within a decentralized, democratic environment (Ackah et al., 2018). The government had aimed at stabilizing the economy and laying the groundwork for sustainable, fast, and job creation agro-based industrial growth. It was the objective of the World Bank-International Monetary Fund sponsored Interim Poverty Reduction Strategy Programme (PRSP) (2000–2), the Growth and Poverty Reduction Strategies, GPRS I (2003–5) and GPRS II (2006–9) which was private sector-led industrial production through the application of science and technology (Ackah et al., 2018).

Currently, Ghana's broad industrial policy is focused on enabling the private sector particularly, SMEs to increase sustainable employment and technological capability within a highly competitive manufacturing sector, promote agro-based industrial development to add value to productions and Ghana's traditional and non-traditional exports, to reduce poverty and inequalities to the barest minimum and redistribute industries across the country (Ackah et al., 2018).

4. CONCLUSION AND RECOMMENDATION

Industrialization brought rapid expansion of innovation and infrastructure to developed countries, emerging economies like Ghana is learning from this towards its own industrialization drive. Ghana is gradually building industrial capacity and growth. Its industrial drive is projected at 9.8% in 2019 and 5.9% in 2020. Between 2000 to 2017, the total value of machinery imports increased fourfold to \$670 million. This rapid increase in machinery import had a substantial adverse effect on the country's current account balance, but it reflects a gradual shift towards industrialization. The industrialization drive would bring major disruption in the labour market and calls for automated educational policy that would focus on education related to science, technology, engineering and mathematics. The government of Ghana should take the necessary steps to enforce its industry policy since its achievement would be measured by the rate at which it vests the private sector particularly, SMEs within a very competitive industrial sector to increase and generate opportunities for employment and decrease poverty and uneven distribution of resources and services in Ghana.

REFERENCE

- Ackah, C., Adjasi, C. and Turkson, F. (2014) 'Scoping study on the evolution of industry in Ghana', WIDER Working Paper, 2014/075(1), pp. 1–37.
- Ackah Charles, Adjasi Charles and Turkson Festus (2018), *Industrial Policy in Ghana Its Evolution and Impact*, Oxford university Press, DOI:10.1093/acprof:oso/9780198776987.003.0003.
- African Development Bank (2019) *African Economic Outlook (AEO)*, Avenue Joseph Anoma 01 BP 1387 Abidjan 01, Côte d'Ivoire
- Africa Growth Initiative, (2016). *Foresight Africa: Top Priorities for the Continent in 2016*. Africa Growth Initiative at Brookings, Washington, DC.
- Erik Brynjolfsson and Andrew McAfee (2011), *Race against the machine: how the digital revolution is accelerating innovation, driving productivity, and irreversibly transforming employment and the economy*, Library of Congress Cataloging-in-Publication Data. P. cm. cISBN 978-0-9847251-0-6
- Eric Evans Osei Opoku and Michael Kofi Boachie, (2019), *The environmental impact of industrialization and foreign direct investment*, Hong Kong School of Economics, University of Cape Town, Middle Campus, Rondebosch 7701, South Africa, doi.org/10.1016/j.enpol.2019.111178
- Ghana Statistical Service (2016) '2015 Labour force report', Report, pp. 1–216. doi: 10.1017/CBO9781107415324.004.
- Ghana Statistical Service (GSS) Report (2019), *Rebased 2013-2018 Annual Gross Domestic Product Head Office Economic Statistics Directorate*, Accra, Ghana
- Jeff Beer (2017), *Will the Third Industrial Revolution Create an Economic Boom that Saves the Planet?* online publication.
- Jim Chappelow (2019), *Understanding Industrial Revolution*, (<https://www.investopedia.com/terms/i/industrialization.asp> 25-10-2019)
- Peter N. Stearns (2013), *The Industrial Revolution in World History*, 4th edition, Published 2018 by Routledge 711 Third Avenue, New York, NY 10017, USA 2 Park Square, Milton Park, Abingdon, Oxon OX1 4 4RN
- Schwab, K. (2015). *The Fourth Industrial Revolution: What It Means and How to Respond*. Retrieved from <https://www.weforum.org/agenda/2016/01/the-fourth-industrial-revolution-what-it-means-and-how-to-respond/> 2019-10-26).

- Xu, M., David, J. M. and Kim, S. H. (2018) 'The fourth industrial revolution: Opportunities and challenges', International Journal of Financial Research, 9(2), pp. 90–95. doi: 10.5430/ijfr.v9n2p90.
- World Bank. (1985). Ghana - Industrial policy, performance and recovery (English). Washington, DC: World Bank. Available at [\[http://documents.worldbank.org/curated/en/832361468032174119/Ghana-Industrial-policy-performance-and-recovery\]](http://documents.worldbank.org/curated/en/832361468032174119/Ghana-Industrial-policy-performance-and-recovery).

Analysis Of Factors Contributing To Unemployment In Ghana

Dolores Mensah Hervie¹

Prof. Csaba B. Illés²

¹Doctoral School of Management and Business Administration, and Institute of Business Economics, Leadership, and Management, Szent István University, Páter K. Str., Gödöllő, 2100, Hungary
Hervie.Dolores.Mensah@phd.uni-szie.hu and dhervie@atu.edu.gh

²Institute of Business Economics, Leadership, and Management, Szent István University, Páter K. Str., Gödöllő, 2100, Hungary, illes.B.Csaba@gtk.szie.hu

Abstract: High unemployment rate is a concern to most countries and Ghana is not an exception. Although Ghana is experiencing high economic growth and performance during its democratic dispensation with an average rate of 7.8% from 2017 to 2019 but there is still a rise in unemployment with an average rate 6.6% between 2018 and 2019. The purpose of this study is analyse the factors that are contributing to the surge in unemployment in the country. Desk review method was used to unearth and elucidate the factors that has led to the upsurge. It was found out among other things that Ghana has a strong informal structure that makes it unattractive for the educated labour force. More so, there is high population growth with an average change of about 2% annually, high average lending rate of 27.8% in the second quarter in 2019 from the bank of Ghana which make it difficult to access loans for start-up businesses. The unemployed has little knowledge of the labour market and Ghana's educational curriculum is theoretically biased. It was recommended that government should create a database of unemployed and firms (private, government, NGOs), and make it accessible to the public so that vacancies can quickly be occupied. Government should introduce entrepreneurship as a core subject from secondary to tertiary level and link the educational sector to industry.

Keywords: Unemployment, Unemployment rate, Labour Force, Economic growth

1. INTRODUCTION

Unemployment is a phenomenon in almost all countries in the world. According to the International Labour Organization Report (2019), an estimation of 172 million people was unemployed in 2018 and this figure is likely to increase by 1million in 2020 due to expanding labour force. The International Labour Organization (ILO) defines unemployment as people of working age (16 + years) who are without work and categorize them into the following:

- a. 'without work' during the reference period, i.e. were not in paid employment or self-employment.
- b. currently available for work, i.e. were available for paid employment or self-employment during the reference period.
- c. seeking work, i.e. had taken specific steps in a specified recent period to seek paid employment or self-employment.
- d. Future starters, that is, persons who did not look for work but have a future labour market stake (made arrangements for a future job start) are also counted as unemployed, as well as participants in skills training or retraining schemes within employment promotion programmes, who on that basis, were "not in employment".

According to (Honorati and Johansson de Silva, 2016), Ghana achieved high economic growth in the 1990s and was accelerated and sustained by prices of its major export commodities such as cocoa and gold during the period between 2000 and 2010, and the beginning of the country's oil production in commercial quantities in 2011. The consistent growth brought Ghana into lower-middle-income status in 2011, with a forecast GDP growth of 13.4 percent from the World Bank Global Economic Report. In spite of this remarkable economic progress, Ghana's employment elasticity dropped in the 1990s from 0.64 to 0.4 between 2005 and 2008 (ILO, 2008), since then, the country has been struggling with high incidence of job loss and job-seeking (Baah-Boateng, 2013).

Ghana's Statistical Service 2010 Population and Housing Census shows that 14 per cent of the country's working age population was inactive outside the school system while 633,994 people, representing 5.8 per cent of the labour force, were unemployed. Unemployment was one of the major labour market challenges in Ghana (Baah-Boateng 2013). It depicts the readiness of unemployed people desire to work and an indication of

the health of an economy. (Baah-Boateng 2013) again states that limited availability of job opportunities to the labour force suggest policy failure with socio-political and economic implications. To him, the inability of jobseekers to obtain productive employment tends to create dissatisfaction among the unemployed and causes some of them, especially the youth, to resolve to social vices such as bribery, robbery, prostitution, social and political tension. Unemployment slows down growth of the economy because human capital of the country is underutilized. Persistent joblessness usually leads to poverty and loss of faith in the government. More so, it may lead to loss of potential income tax revenue to the country.

Although Ghana's unemployment rate stood at 6.7 percent as of 2018, there are certain factors that is aggravating the joblessness situation in the country. The purpose of this paper is to analyze the factors contributing to unemployment in Ghana, its effects and suggest solutions that can be used to avert the problem.

The paper is structured into four sections. The literature on the factors and effects of unemployment is discussed in section two after the introductory section. Section three indicates the methodology used and the last section discusses the conclusion and recommendations for the alleviation of unemployment in Ghana.

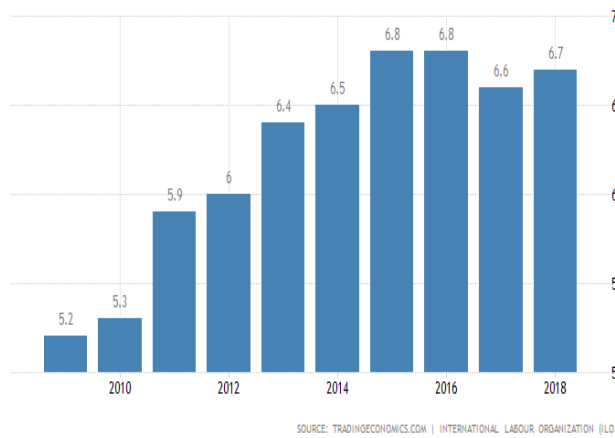
2. LITERATURE REVIEW

(Aryeetey and Baah-boateng, 2015) state that the relevance of economic growth is measured by its impact on the quality of life of the populace through the creation of enough good quality jobs

The overall employment levels in Ghana are marginally higher than the Sub Saharan Africa (SSA) average, with a higher employment-to-population. For instance, in 2010 SSA had an average rate of 65.2 while Ghana had 67.4 in the same year. Again in 2013 Ghana's average rate of 75.4 compared to SSA, which was 65.5 (Aryeetey and Baah-boateng, 2015). However, unemployment particularly among the youth continue to be a crucial socio-economic and political challenge in Ghana. Even though Ghana's economic growth has been remarkable, it has not translated into the creation of sufficient jobs for the rapidly growing labour force, and joblessness is higher among the educated youth than the less educated.

Over the years, governments of Ghana had introduced and implemented programmes with the objective of creating jobs. For example, during the first republic (1963-1970), a seven-year development plan was established to address post-independence development and unemployment challenges (Ministry of Employment & Labour Relations Policy, 2014). Other strategies were adopted in the 1980s known as Economic Reform Programme (ERP) and the Structural Adjustment Programme (SAP) to achieve economic liberalisation and privatisation of inefficient state and quasi-governmental businesses and commerce. These two programmes rather had negative consequences on employment which pressured the government to introduce a programme of Action to Mitigate the Social Cost of Adjustment (PAMSCAD). Through PAMSCAD community projects were established to generate employment for the rural families, low income workers, the unemployed and susceptible urban family units. It also offered small enterprise loan for women and small-scale miners. The mid 1990s saw the Vision 2020 which was meant to promote Ghana to attain a middle-income country status, also sought to build employment advancement mediations into all macroeconomic and production policies to reduce high unemployment levels. Subsequently, government has executed several projects and programmes in the bid to increase employment. They comprise extension and development of Skills Training and Employment Placement Programme (STEPP), National Youth Employment Programme (NYEP), the Graduate Entrepreneurial & Business Support Scheme (GEBSS), Microfinance and Small Loans Centre, Rural Enterprises Programme, and Young Entrepreneurs Programme all in the quest to reduce unemployment in the country (Ministry of Labour and Human Resources, 2013) .

In spite of government efforts in mitigating high unemployment rate, along with significant macro-economic growth and stability in the country, unemployment remains a big challenge in Ghana. As (Asmare and Mulatie, 2014), indicate the problem of unemployment persists in good economic times and further worsens in bad economic times. Below are some graphs showing the rate of unemployment in Ghana from 1998 to 2018. They were adopted from the World Bank Statistical data (Statista) 2019 and the International Labour Organization Report.



The graphs show the trends of persistent unemployment in Ghana. 1999 experienced the peak of unemployment at a rate of 10.1%, it went down significantly in 2008 (4.66%) and ever since, it has been rising steadily but marginally declined from 2015. From the above graphs, it may seem that unemployment in Ghana is relatively low. However, the challenge is that only comparatively small percentage of the labour force is formally recorded as unemployed which conceals the real enormity of the severity of employment in the country (Poku-Boansi and Afrane, 2011). The aim of this paper is to assess factors contributing to unemployment issues in Ghana.

2.1. FACTORS CONTRIBUTING TO UNEMPLOYMENT

According to (Baah-Boateng, 2013), “unemployment is the result of interaction between demand for and supply of labour”. The demand for labour stems from the inclination or need of companies to employ labour for production which turns into growth of national output. Therefore, economic growth with low employment content of growth could consequently increase rate of unemployment. In contrast, the supply of labour is also a function of the growth and quality of the labour force, drove mainly by the increase of the working age population and quality of human resources correspondingly. A higher rate of unemployment may again arise if higher growth of the labour force is not accompanied by enough job opportunities. Furthermore, an economy also suffers from structural unemployment if the quality of labour does not meet companies’ hiring requirement.

He again argued that the low educational background of some Ghanaian labour force or lack of skills required in the job market is a cause of the high rate of unemployment. Although according to the World Education Services, the gross enrollment rate (GER) in secondary education rose from 57 percent in 2012 to 73 percent compared to other countries like Nigeria 42 percent and Pakistan 45.5 percent, and tertiary education also grew immensely over the years, the total number of tertiary students increased from 16,161 in 1980 to 444,000 in 2017 (from UIS data). (source: <https://wenr.wes.org/2019/04/education-in-ghana-18/12/2019>). It is important to note that those with basic education had not obtained employable skill to secure jobs in the formal sector of the labour market. More so, most of the graduate youth who read humanities and social sciences find it difficult to get jobs compared to those who read practical and professional programmes like Engineering, Computer Science and Medicine.

(Owusu-Ansah and Poku, 2012), said that Ghana’s high unemployment rate seems to buttress a research conclusion that showed that the skills being developed in graduates by the tertiary education process in general are not matching with the national workforce need. Now the world is a global village, innovation, technology and technical skills are relevant in today’s business world hence Ghana Education Service (GES) is commended for the introduction of the Science Technology Engineering and Mathematics (STEM) project in secondary school and encourage girls into this project. Entrepreneurship should be a component of this

project. Higher education curriculum should also incline to meet the fast advancing and changing world of employment.

The lack of knowledge of labour market issues makes it difficult for even the unemployed with required professional and practical skills to be placed in the right employment. According to (Poku-Boansi and Afrane, 2011), Ghana lacks the institutional capacity to facilitate the functioning of the labor market and manpower planning.

Furthermore, the (United Nations, Economic and Social Affairs, Population Division, 2019), indicates that Ghana's population growth rate is at an average of 2.2 percent in 2019 with an estimated yearly increase of 644,747. This may be putting pressure on the labour force and could be contributing to the high incidence of unemployment in the country. Most Economists tie development to population growth, in the sense that the latter could have adverse effect on rather limited resources.

Ghana is an agriculture-centric country. Agriculture is seen as the backbone of the country like other African countries but most unemployed particularly the youth lack interest in agriculture. There is a perception that farming is for illiterates and less educated in society. From the Ministry Food and Agriculture (MOFA), the average age of farmers in Ghana is 55 years and life expectancy averages between 55 to 60 years. Also, the agro-processing sector provides seasonal employment adding up to the seasonal unemployment problems in Ghana.

(Aryeetey and Baah-boateng, 2015), state that one peculiar challenge that has contributed to unemployment is the inability for Ghana to translate its improved economic performance into the job creation, better income and livelihood. The structure of the economy remains very informal, with a move in the country's national output structure from agriculture to low-value service activities in the informal sector. The onset of commercial production of oil raised the share of the industrial sector in national output. Nevertheless, the constant decline in manufacturing value added weakens Ghana's economic transformation effort to promote high and reliable incomes and improve the livelihoods of the people.

Small and Medium Scale Enterprises (SMEs) have contributed immensely to GDP growth across the globe especially, emerging economies in the area of job and wealth creation, lessening poverty and improving incomes. For instance, a study conducted by (J. Obi et al., 2018) on 60 SMEs and 600 respondents in Nigeria revealed that SMEs are important drivers for economic development. In spite of the contribution of SMEs to employment and the support from the government for these small businesses to absorb more labour has not yielded the anticipated outcome. (Twumasi, 2013) associated this to the high interest rate, difficulty in accessing loans, weak and unreliable infrastructure.

A research conducted in Ethiopia, (Asmare and Mulatie, 2014) revealed that favoritism, corruption, bias, and discrimination in different forms were the major factors responsible for youth graduates' unemployment. This evidence is consistent with most African countries including Ghana as indicated by (Qadar & Muhammad, 2013; Rahman, 2018).

Ghana is currently going through a significant fiscal and economic challenges as a result of the new educational policy introduced by the government in 2017, that is, the free Senior High School education. This policy has been prioritized by the government and from the 2019 annual petroleum report, 57.9 percent of revenue generated from this sector was devoted to the educational sector and physical infrastructure. The remaining 42.1 percent was used for three other priority sectors like agriculture and health. This unbalance should be checked to enable appreciable growth for other sectors of the economy.

2.2. EFFECTS OF UNEMPLOYMENT

High unemployment rate is having severe social, economic and political effects on the country. For instance, persistent joblessness leads to desperation, frustration and depression. It drives some of the unemployed especially the youth to engage in social vices such as robbery, prostitution and drug addiction. According to (Poku-Boansi and Afrane, 2011), studies have shown that prevalence of sex-related diseases, especially HIV/AIDS, is increasing among the youth as a result of idleness. Mental and psychiatric problems are also reported to be on the rise. Another troubling effect is the decline interest in formal education and its devaluation by the youth because of unpleasant situations.

High unemployment has adverse effect on productivity. (Durant and Powell, 2015) indicate that prolonged joblessness could lead to loss of talent and skills. This is because the unemployed are unable to put their knowledge and capabilities into contributing to economic growth. The government also losses out on taxes and income generation.

Unfortunately, Ghana has no social protection plan for the unemployed, for example, unemployment benefits like the developed economies, which would have lessened the financial burden of the many unemployed before finding any paid job.

From (Kontoh, 2016), the informal sector employs about 88% of the working populace mainly comprising small to medium-scale businesses (SMEs). These SMEs are made up of irregular employment, casual workers, family workers and predominantly people engaged in own-account work such as traders, sellers, farmers and artisans. To him, the earnings gap between the formal and informal sector is enormous, likewise the standard of living resulting in many living in abject poverty (Kontoh, 2016). This unfortunate situation makes the informal sector unattractive to the unemployed who are well educated.

Severe level of unemployment could lead to brain drain since unemployed citizens may prefer to offer their invaluable service and expertise to another country other than their own. This could have adverse effect on the country either socially or economically brain drain is often common among very key professional careers like nurses, engineers, teachers, and doctors.

3. METHODOLOGY

This study involves the review of existing literature on unemployment in Ghana, analysing the relevant factors that has contributed to the perennial issue of joblessness in spite of encouraging economic growth and performance. Desk review method was basically adopted for this study in addition to current information to the subject matter.

4. CONCLUSION AND RECOMMENDATION

It can be concluded that the main issues that is contributing to the persistent unemployment in Ghana are less entrepreneurship models and capital assessment for startup businesses in the curriculum used by the educational sector, more input into government basic school level is semi urban and rural areas, mismatch between supply and demand of labour, the inability of the informal sector to absorb the excess unemployed labour due to high bank lending rate and inaccessibility to loan facility for startup unemployed with no collateral. Moreover, with annual increase in growth of population which requires more interventions to match this increase to the job market, lack of knowledge of the labour market by the unemployed and less focus to informal sector in the area of training to manage and sustain business are some of the factors contributing to unemployment in Ghana.

It is recommended that government should be assiduous in implementing the National Employment Policy (NEP) launched in 2015, with the objective of “creating gainful and decent opportunities for the growing labour force to improve their living conditions and contribute to economic growth for national development within the framework of equity, fairness, security and dignity”.

Government should introduce the study of entrepreneurship as a baseline programme in the educational curriculum from basic to tertiary levels and initiate policies that would promote the setting up of more SMEs. The educational sector should also be linked with industries to facilitate integration. The Central Bank (Bank of Ghana), should also introduce monetary policies that would reduce bank lending rates and encourage investments, access to loan facilities and start up capitals for the unemployed who would want to start their own businesses.

The Ministry of Employment and Labour relations recently launched the Youth Employment Agency Job Centre with the aim of using technology to connect job seekers to employers. The Youth and Employment Agency (YEA) has also initiated three job driven modules known as “the Artisan Directorate”, “Work Abroad” and “Flagship Project” all in the bid of job creation. In addition to these initiatives, the Ministry can create a correct and consistent database of all unemployed labour force, available firms (government, private sector and NGOs) in the country. This database should be at the Centre and also made public for all interested parties to access.

The Ministry of Employment and Labour Relations should introduce programmes that would inform the unemployed labour force about the labour market. Furthermore, government should put measures in place to make the Ghanaian economic structure more formal. This according to (Dasgupta, 2016), would ensure robust legal protection for informal employees and allow for better working conditions and worker benefits. It would also create opportunities for SMEs to access financial markets.

The informal sector should have significant boost in order to engage youth from basic level who want to venture into private business and imbue investment as a culture so that businesses could expand.

Finally, it is recommended that once agriculture remains the backbone of the Ghanaian economy, government should invest more into that sector by introducing more mechanized technologies to expand the sector in order to create more job opportunities.

REFERENCE

- Aryeetey, E. and Baah-boateng, W. (2015) 'WIDER Working Paper 2015/140'.
- Asmare, Y. and Mulatie, M. (2014) 'A Tale of Youth Graduates Unemployment', *Global Journal of HUMAN-SOCIAL SCIENCE*, 14(4).
- Durant Lauren and Powell Brendan. (2015), The social and economic impact of youth Unemployment, *HR PULSE* (April 21, 2015)
- Ghana Statistical Service (2013), GSS 2010 Population and Housing Census, National Analytical Report
- Honorati, M. and Johansson de Silva, S. (2016) Expanding Job Opportunities in Ghana, *Expanding Job Opportunities in Ghana*. doi: 10.1596/978-1-4648-0941-5.
- J. Obi, et al. (2018), Contribution of small and medium enterprises to economic development: Evidence from a transiting economy, Data in Brief <https://doi.org/10.1016/j.dib.2018.03.126>
- Kaunain Rahman (2018), Overview of corruption and anti-corruption in Ghana, U4 Anti-Corruption Helpdesk, Transparency International, Jekteviksbakken 31, Bergen
- Khumalo, Z. Z. and Eita, J. H. (2015) 'Determinants of Unemployment in Swaziland', *Journal of Applied Sciences*, 15(9), pp. 1190–1195. doi: 10.3923/jas.2015.1190.1195.
- Kontoh, E. K. (2016) 'Graduate Unemployment Crisis in Ghana : Our Leaders must act quickly', (April).
- Manzoor Qadar and Niaz Muhammad (2013), Unemployment is an Outcome of Corruption, *International Journal of Advanced Research in Economics and Commerce* Volume: 1 ISSN_NO: 2348 -234
- Ministry of Employment and Labour Relations, (2014), National Employment Policy Volume 1
- Ministry of Labour and Human Resources (2013) National Employment Policy, 1, pp. 1–50.
- Monami Dasgupta (2016), Moving from informal to formal sector and what it means for policymakers, The World Bank Job Group
- Owusu-Ansah, W. and Poku, K. (2012) 'Entrepreneurship education, a panacea to graduate unemployment in Ghana', *Journal of Humanities and Social Science*, 2(15), pp. 211–220. Available at: http://www.ijhssnet.com/journals/Vol_2_No_15_August_2012/26.pdf. Poku-
- Boansi, M. and Afrane, S. (2011) 'Magnitude and Impact of Youth Unemployment in Ghana', *West Africa Review*, 18(18). Available at: <http://www.africaknowledgeproject.org/index.php/war/article/view/775>.
- United Nations (2019), Department of Economic and Social Affairs, Population Division. *World Population Prospects 2019: Data Booklet (ST/ESA/SER.A/424)*.
- World Bank (2012) *Global economic prospects, managing growth in a volatile world (Vol. 2): Main report (English)*. Global economic prospects; Vol. 5. Washington, DC: World Bank.

Fostering Democracy in Latvia. Digital Participation Strategy

Eduards Lielpeters¹

¹ University of Latvia, Eduards.Lielpeters@lu.lv , ORCID: <https://orcid.org/0000-0002-8928-1704>

Abstract: Citizen participation is a crucial aspect of a democratic country, not only ensuring democratic governance but also providing the legitimacy of the decisions made by the public administration. The complications arise if there is low citizen participation and at the same time citizens are not trusting public institutions and are questioning decisions made by public institutions. To solve this problem public administration needs to find new methods on how to foster citizens participation – nowadays that also means to consider digital solutions. There are several good preconditions for the development of digital democracy in Latvia. The internet is comparatively fast both for computers and smartphones, and most citizens are actively using it. Latvian public institutions also are represented online. Institutions are publishing information on social media, many public services are available online, and use of digital solutions is encouraged by the state-issued eSignature that allows to sign electronic documents and approves identity in the digital environment. Hence, there is undeniable digital progress in Latvia, the question is if this digital environment could also be used to foster democracy in a modern and citizen-friendly manner.

The aim of the research is to evaluate opportunities and limitations in ways how digital environment and modern engagement methods could be used in Latvia to increase citizen participation and strengthen their trust in public institutions. Methods of the research are a survey to Latvian citizens, as well as a content analysis of entries published on Facebook.com pages of all thirteen Latvian ministries in the period from July 2019 until December 2019. Results of the research are indicating that there are noticeable differences in communication styles of public institutions, as well as, on social media comparatively seldom are published information about citizen participation opportunities or decisions made with the participation of citizens or their representatives. At the same time citizens are interested to use digital solutions to participate in the decision-making process and they are supporting a unified style of communication for Latvian public institutions on social media. Considering the results of the research there is developed a digital participation strategy that could be implemented by public administration in Latvia. Successful implementation of the strategy would help public institutions to become more open to citizens, changing the current top-down communication style to a more collaborative environment. As a result, common digital space would be developed where citizens can be engaged in the decision-making process of public administration, thus helping public institutions to foster democracy in Latvia and become closer to citizens.

Keywords: Citizen participation, Digital democracy, Public administration, Social media

1. INTRODUCTION

Nowadays it is common practise that citizens have access to information about the decision-making process of public administration. For this purpose, public institutions are providing information in their home pages, representatives of the institutions are often explaining their activities and future plans in mass media, as well as, institutions are maintaining social media accounts for direct transfer of information. Decisions made by public administration should be in favour of citizens, therefore citizens not only have rights to be informed of the decision-making process but also be part of it in a considerable capacity. That can be done directly by participating in advisory institutions, public discussions or fulfilling other active involvement tasks, as well as, citizen representation can be done indirectly – by delegating decision-making power to competent representatives via elections. The complications arise if there is low citizen participation both directly and indirectly, hence – decisions made by public administration are made with low citizen engagement. It is a common problem in many democratic countries. Nevertheless, it can become a risk for democratic countries if citizens are not trusting public institutions and are questioning decisions made by public institutions. Low rates of citizen participation that goes together with low trust to public institutions are also observable in Latvia. Thus, considering this as a topical problem, the goal of the article is to analyse the current situation in Latvia and possible solutions, particularly, opportunities of the digital environment that could be used to foster democracy in Latvia.

There are several positive preconditions why digital environment can be seen as a potential solution that can help to foster democracy in Latvia. Firstly, in Latvia the internet is fast and easily available, secondly, citizens are actively using it and are also active on social media, especially youth. Thirdly, also public institutions are represented in the digital environment, providing information and online services, offering access to open data, and communication on social media. In Latvia, there is no doubt whether institutions should be represented in

the digital environment. Nevertheless, for now, the online presence of institutions are chaotic and very various. The author of the article is suggesting raising the level of quality how institutions are using the digital environment – switching from short-time goals and individual initiatives to a common long-term strategy. Thus, not only maintaining one-way dissemination of information but also developing direct two-way communication with citizens, hence, also educating citizens about the decision-making process and motivating them to take a more active role in the process.

Although results of the study are indicating that digital environment can be used in Latvia for fostering democracy it is important to point out, that there are limitations as digital innovations and online communication cannot be seen as an individual solution that could foster citizens trust in institutions and participation in the decision-making process. Nevertheless, the use of the digital environment can help to improve the current situation and help to develop citizen and government relationships in a contemporary manner. It should be also noted that it is a long-term process to develop common digital space where citizens and government institutions can communicate and cooperate, still, implementation of such digital strategy should be started as fast as possible to ensure that government is fully represented in the digital environment that is still developing and will be developing even faster with more active use of 5G internet. Nevertheless, if the youth is already now spending most of their time online, also institutions should communicate with them online to ensure that in future they can become citizens that are interested to participate in the decision-making process of public administration.

2. OVERVIEW OF THE CURRENT SITUATION

Citizen participation is a crucial aspect of a democratic country, not only ensuring democratic governance but also providing the legitimacy of the decisions made by the public administration. In Latvia citizens have comparatively good opportunities how to utilize their democratic rights, however, not all citizens are eager to use them. The easiest choice for citizens is voting in regional and national elections thus delegating their decision-making power to competent representatives. Like other countries, also in Latvia citizen participation in elections are slowly decreasing. In latest 2018 Parliament elections voted 54.56% of citizens (Central Election Commission of Latvia, 2018), in the latest 2017 Municipalities elections 50.39% of citizens (Central Election Commission of Latvia, 2017). Hence, almost half of the citizens have various reasons not to participate in elections. In the day-to-day decision-making process are participating even lower number of citizens although participation opportunities are comparatively wide. In the coordination of citizen participation in Latvia important role is assigned to non-governmental organisations. Although citizens individual participation is possible, officially it is advised that citizens engage in the decision-making process as representatives of non-governmental organisations (Valsts kanceleja, 2020A). Considering that only around 5% of Latvian citizens are members of non-governmental organisations (Parresoru koordinācijas centrs, 2017), decisions made in cooperation with non-governmental organisations are still done with the participation of a small number of citizens. It is possible that in the silent majority there are people that could provide useful input for the decision-making process but maybe they do not have the motivation to become members of non-governmental organisations, maybe they do not have time to attend face-to-face meetings, or maybe public administration just has not reached out to them and have not taken an interest in their views. Hence, it is a challenge for public administration to comprehend the reasons why citizens are not participating in the decision-making process and how this situation could be improved. Is it enough with more active promotion of current participation opportunities or maybe there should be developed new methods for participation? Ian Thynne and B. Guy Peters pointed out that state organisations can work with organisations of the market and civil society using one or more of three interrelated capacities: “state organisation as a service collaborator, state organisation as a network synthesiser, and state organisation as an instinctive adaptor” (Thynne & Peters, 2015, p. 81). Public institutions can choose and have to choose which role they are taking in cooperation with citizens. Maybe, if the usual types of participation are not attracting the majority of citizens, institutions should become instinctive adaptors and provide new types of participation opportunities. Thus, public administration should also investigate the digital environment as a new place that could be used for cooperation with citizens.

Representation of public administration in the digital environment and a need for more active citizen participation is promoted by international organisations. OECD Recommendation on Digital Government Strategies was published in 2014, suggesting four main goals that should be reached, also to encourage engagement and participation of public, private and civil society stakeholders in policymaking (OECD, 2014). United Nations are supporting digital cooperation looking on it as a necessary environment that could help

governments, private sector, civil society and other stakeholders to achieve Sustainable Development Goals, they suggested fourteen key principles of digital cooperation, for example, consensus-oriented, agile, open, innovative and tech-neutral (The United Nations, 2019). Council of Europe in 2017 developed their Guidelines for citizen participation stating that “the right to civil participation in political decision-making should be secured to individuals, non-governmental organisations and civil society at large” also pointing out that one of the main principles that should be provided in the participation process is “accessibility through the use of clear language and appropriate means of participation, offline or online, and on any device” (Council of Europe, 2017). United Nations have also emphasized the importance of youth participation. In the youth strategy from five priorities that are outlined the fourth one - Youth and Human Rights is also devoted to support civic and political engagement of youth (The United Nations, 2018). European Parliament’s report on e-democracy in the European Union was adopted in 2017, emphasizing that “the purpose of e-democracy is to promote a democratic culture that enriches and reinforces democratic practices, by providing additional means to increase transparency and citizens’ participation” (European Parliament, 2017). Council of the European Union in the Council Conclusions on Democracy pointed out that there are several challenges to democracy that has emerged in the 21 Century (Council of the European Union, 2019), as a solution to those challenges suggesting that civil society should be strengthened and the use of online technologies in strengthening democratic participation should be promoted.

Considering that rates of citizen participation are comparatively low in Latvia, in the national strategic documents citizen participation is recognised as a field where improvement is needed. In the Sustainable Development Strategy of Latvia until 2030 citizen participation is described under the priority “Innovative Government and Public Participation”, pointing out to Public Participation in the Policy-making, Civic Education and Social Integration, and E-government and Public Innovation as the main directions where future development is needed (Saeima, 2010). In the Information Society Development Guidelines for 2014 -2020 is emphasized that “It is important to draw a special attention to the development and use of ICT options, which help to organise a dialogue with the public through the social network platforms and common forms of electronic communication; thus, making the communications with the public more modern and accessible” (VARAM, 2019). Latvian public administrations current activity in the development of digital participation opportunities is happening in close connection with the framework of Open Government Partnership. Latvia has developed three national action plans and the fourth one was approved for implementation in January 2020 (Valsts kanceleja, 2020B). In the fourth action plan from the six new commitments, four of them are significantly helping further development of the digital democracy environment in Latvia (Open Government Partnership, 2020). Nevertheless, development of digital participation opportunities in Latvia is still insufficient and initiatives are usually being developed in the project type basis without comprehensive overview and unified management. Digital solutions can support the decision-making process if they are used appropriately, however, they also bring new challenges for the public administration. As Lindquist and Huse emphasized: “Digitally-fueled developments in transparency, open data and portals, engagement, and information-sharing have been taking place, but governments have selectively embraced these tools, and not yet widely embraced them to move governance and accountability to new thresholds.” (Lindquist & Huse, 2017, p. 644). Similarly, also in the study of collaborative governance models, it was emphasized that the main challenge is “the movement from experimentation and pilots to large-scale usage of e-participation applications” (Bolívar, 2018, p. 13) Therefore, public institutions must not only have a desire and necessity to use digital environment but also motivation and strategy how to do that more successfully. Citizens have to know how their input was used in the decision-making process, as “providing additional opportunities for participation that then get accumulated in simple counting tables or word clouds may fail to satisfy participants that their contribution was valued” (Longo, 2017, p. 531). Hence, public administration needs to develop new ways how to demonstrate citizens where and how their participation has made an impact on the decision-making process and in the final result.

Several preconditions could provide positive support for the development of digital participation in Latvia. Internet is easily accessible and it is comparatively fast – in 2019 the internet was used in 85.4% of households (Central Statistical Bureau of Latvia, 2020). Latvian citizens are active on social media, in 2019 from all citizens 65% were participating in social networks which is above the EU average – 54% (Eurostat, 2020). Latvian public institutions also are represented online. Many public services are available online and the use of digital solutions is encouraged by the state-issued eSignature that allows to sign electronic documents and approves identity in the digital environment. Also, public institutions in Latvia are active on social media, nevertheless, often communication is in top-down and one-way style, thus institutions are not able to attract large amounts

of followers. However, international studies are suggesting that public institutions should take social media more seriously. Results of the study about political engagement and social media use in the 2013 Czech Parliamentary elections suggested that: “..those who have been politically active online during the election campaign are also more likely to vote in elections; they engage in offline conversations about politics more often; they are more frequently present at demonstrations or pre-election rallies” (Štětka & Mazák, 2014, p. 11). Mijail Naranjo-Zolotov and his colleagues emphasized citizen empowerment as a core determinant for e-participation, looking to empowerment from four dimensions: competence or self-efficacy; meaning or individual judgment of the value of an e-participation action; the impact of e-participation action that is producing the effects or influence intended by the citizen; and self-determination or choice to become responsible for an outcome of e-participation (Zolotov-Naranjo et al, 2018, p. 369). Another positive precondition to developing digital democracy in Latvia is the relatively small population - less than two million people, which makes it easier for public institutions to reach a larger part of the population and implement rapid changes faster. For example, in Spring 2020, in the time of Covid-19 crisis, Latvia was one of the first countries to develop Covid-19 contact tracing application, as well as implement an e-parliament platform, allowing plenary sittings to be held remotely (Saeima, 2020). Hence, there is undeniable digital progress in Latvia, the question is if this digital environment could also be used to foster democracy in a modern and citizen-friendly manner. To foster citizen participation in Latvia and use current digital opportunities, there is a need for common digital policy. For the purpose to develop the successful policy it is important to understand the current digital situation and citizens attitude towards digital democracy.

3. GOAL AND METHODOLOGY

The goal of the research is to identify the current situation of the digital environment and analyse citizens attitude towards the possible development of digital democracy in Latvia. Accordingly, the current situation of government institutions presence on social media is identified by the content analysis method and citizen opinion is obtained by conducting an online survey.

With the content analysis is analysed the content of 13 Facebook pages of Latvian ministries in the six months period – from July 2019 until December 2019. In this period all ministries together have published 3181 entries. Content is analysed according to three groups of indicators – content indicators, message indicators and feedback indicators (overall 13 main indicators that are composed of more than 60 sub-indicators). Latvian Ministries are selected for the content analysis as they are already obligated to provide opportunities for citizen participation in the decision-making process. Content of Facebook pages is analysed because it is most often used social media in Latvia and this social media is used by all ministries.

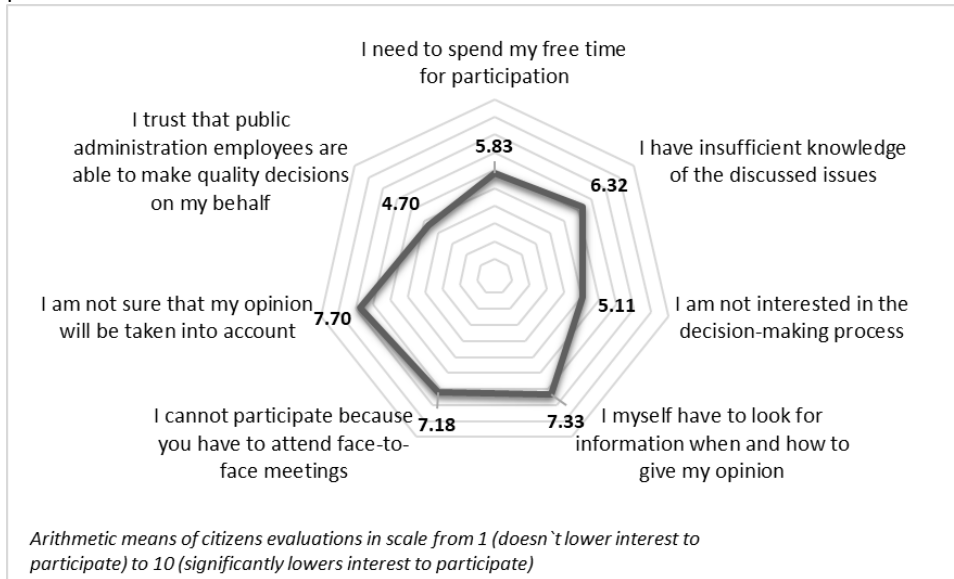
To obtain citizen opinion about the current situation and possible future development of digital democracy citizen survey is implemented. Citizen survey was conducted online from September 2019 until May 2020, using online research survey software QuestionPro. In this period 314 surveys were received representing citizens from all age groups and all regions of Latvia. The survey was identifying citizens attitude towards public administrations online communication and digital activities, as well as, citizens willing to participate in the decision-making process in the digital environment.

4. RESULTS OF THE RESEARCH

The results of the citizen survey and social media content analysis are suggesting that in Latvia citizens and public institutions are relatively still living in different and separated worlds. There is needed additional activity from the public institutions to ensure that citizens are cooperating with institutions in the digital environment, as well as, institutions are understanding and tackling those doubts and obstacles that are hindering citizens from participation in the decision-making process of public administration.

In the survey, citizens were asked to evaluate aspects that might lower their interest to participate in the decision-making process. Seven different aspects were provided (See Figure 1) and respondents were asked to evaluate them in scale from 1 – doesn't lower interest to participate to 10 - significantly lowers interest to participate. The highest assessments were given to the doubts if provided opinion will be considered by public administration (7.70), a requirement to participate in face-to-face meetings (7.18), a necessity to search for information about participation opportunities (7.33) and insufficient knowledge of the discussed issue (6.32). Those four obstacles can be reduced by some degree with the public administrations' digital initiatives, for example, more thoughtful use of social media or the use of online and digital solutions.

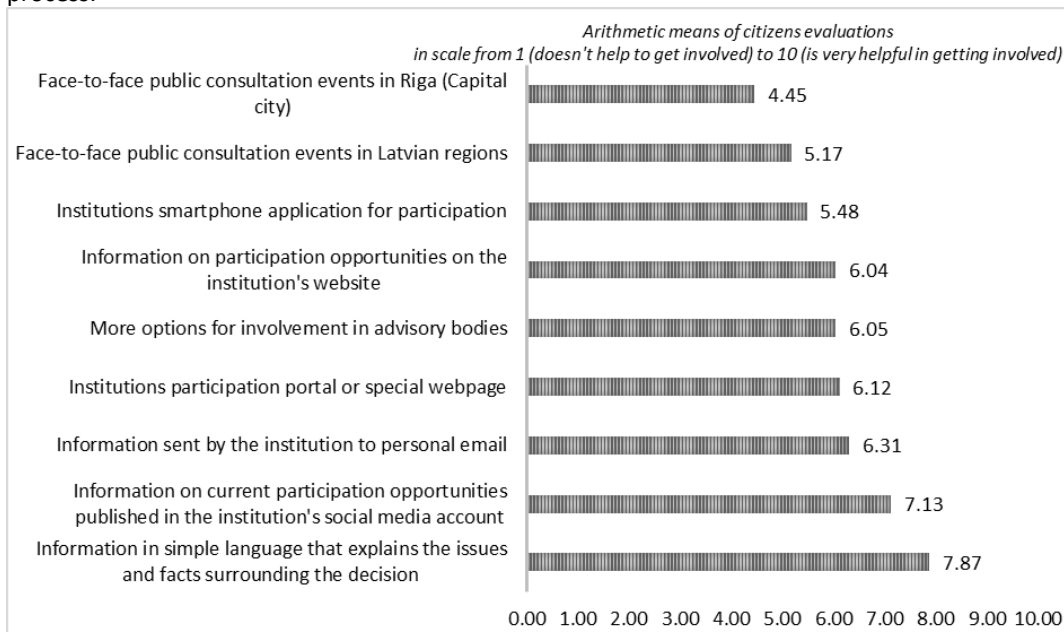
Figure 1: Citizens evaluation of aspects that are lowering their interest to participate in the decision-making process.



Source: Author's construction based on the author's conducted survey to citizens (2019, 2020), n=314

In the survey respondents were also asked to evaluate activities that would encourage their participation in the decision-making process. Respondents could evaluate nine different options (See Figure 2) in the scale from 1 - doesn't help to get involved to 10 - is very helpful in getting involved. The list consisted of both online and offline options and they were listed in alphabetical order. The highest assessment 7.87 gained the option to receive in a simple language the information that explains the issues and facts surrounding the decision. From the offline participation opportunities, the highest assessment was given to participation in advisory bodies, with condition that they are made open to individual participation for those who are not members of non-governmental organizations or representatives of lobby groups. From the offline participation opportunities, the lowest assessment was given to face-to-face meetings in Latvia's Capital city Riga – 4.45, that was followed by face-to-face meetings in regions of Latvia.

Figure 2: Citizens evaluation of options that would encourage their participation in the decision-making process.

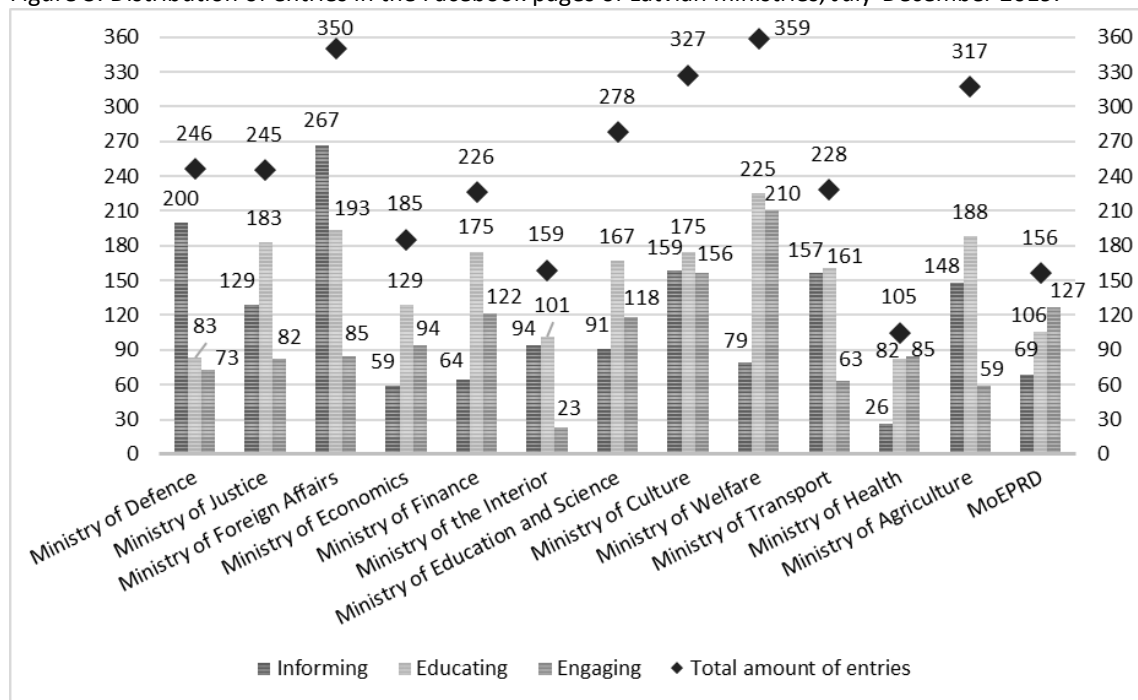


Source: Author's construction based on the author's conducted survey to citizens (2019, 2020), n=314

The content analysis confirmed that social media activity varies both by institutions and by months – the largest social media activity was in November, but the lowest activity was in July. This difference is determined mainly because of the topical events, however, for some institutions, the vacations of representatives might also be the reason as there are noticeable periods of several days when no entries are made. Usually, most of the ministries are publishing at least one entry per day, however – some institutions are more active, such as Ministry of Welfare or Ministry of Foreign Affairs, as well as, some institutions are less active, especially Ministry of Health which in the analysed period was publishing information on social media irregularly and made almost four times fewer entries than the most active institution - Ministry of Welfare.

In the Facebook entries published by ministries, it was analysed if the message is informative, educating or engaging, considering that in some cases each entry could include aspects from more than one aspect. It was observed that ministries have different communication styles (See Figure 3) – For example, Ministry of Foreign Affairs and Ministry of Defence are often publishing informative entries, but Ministry of Finance often publish educational posts. Nevertheless, engaging posts in most ministries are still a minority, hence, communication still is top-down with an exception in some ministries. Also, entries that are about citizen participation were published rarely – in the analysed period, 141 entries contained information about citizen participation opportunities or decisions made with the participation of citizens or their representatives, hence, only 4% from the total amount of entries.

Figure 3: Distribution of entries in the Facebook pages of Latvian ministries, July-December 2019.

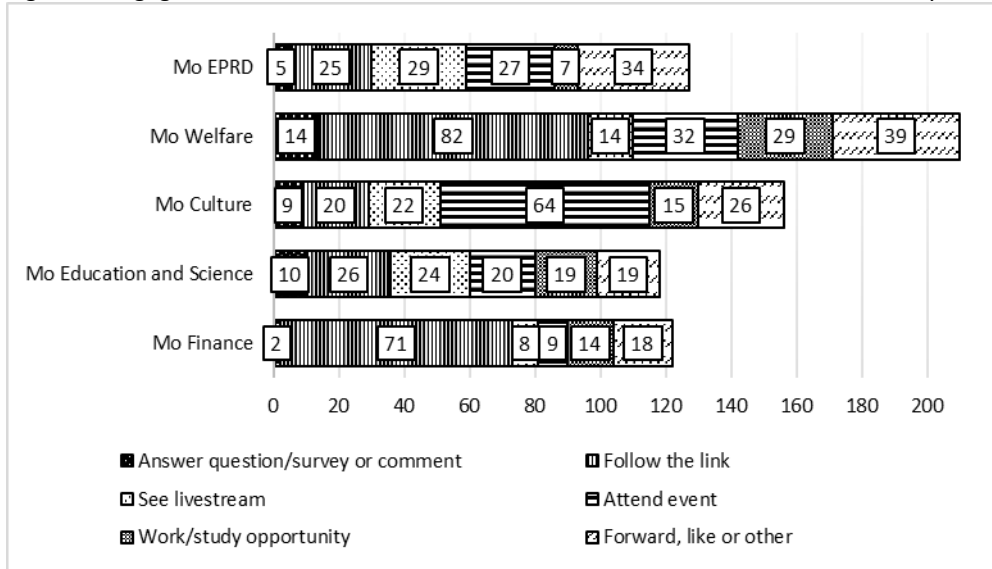


Source: Author’s construction based on the author’s conducted content analysis in 2020, n=3181

When looking closer to specific engagement methods that are used in the Facebook entries of Latvian ministries in the content analysis were recognised encouragement to provide comment, answer question or survey; follow a link to gain additional information; see the live stream of event, meeting or interview; attend a face-to-face event; use the opportunity to start working in the institution or study in the field that is connected with institutions field of responsibility; as well as, forward or like entry or engage in some other way. In the Figure 4 are demonstrated the distribution of the determined engagement methods in entries of five Latvian ministries, those which have been the most active in the use of engaging entries (at least 100 times and more in the analysed period). Ministry of Welfare and Ministry of Finance are often using active language to point out that followers can get additional information if they are following a link that is provided in the social media entry. Ministry of Culture, as well as, Ministry of Environmental Protection and Regional Development (MoEPRD) in the analysed period were also active in recommending events that were organised by the ministry or its subordinate institutions. Nevertheless, the least often used method for all ministries were the one that is

seen as a significant advantage of the social media – opportunity to have two-way communication with followers encouraging them to provide comment, answer a question or fill in a survey.

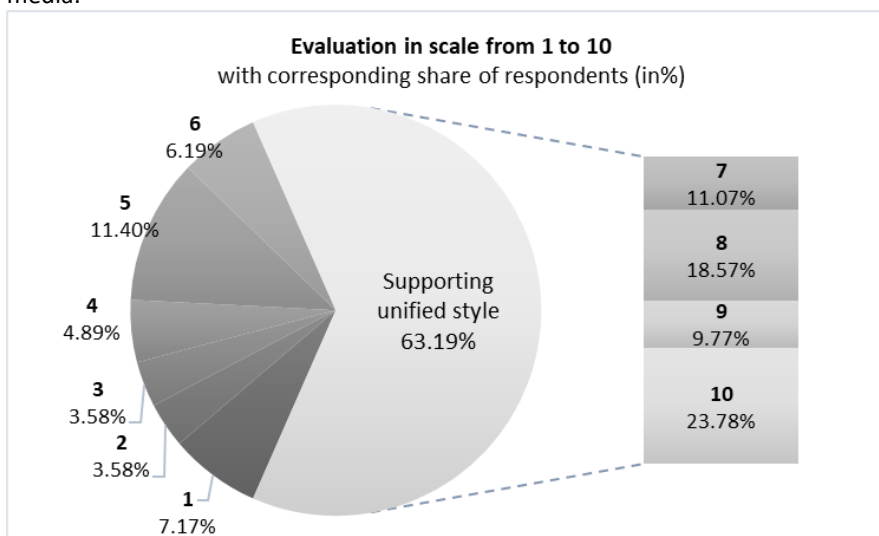
Figure 4: Engagement methods used in the Facebook entries of Latvian ministries, July-December 2019.



Source: Author’s construction based on the author’s conducted content analysis in 2020, n=733

As demonstrated by the results of content analysis, Latvian ministries are having very various communication styles on social media, some are more open to citizens than others. And in some cases social media are still used as another channel where ministry is disseminating press-release-type information, ignoring opportunities that social media can offer for two-way communication or visual content creation. Considering that Latvian public administration is comparatively small, it would be possible to introduce guidelines on the use of social media, thus, ensuring that all institutions are communicating with citizens in the same style. In the citizens survey was identified citizens opinion about such a solution. Respondents were asked to evaluate their attitude towards a unified style of communication for Latvian public institutions on social media. In the scale from 1(not needed) to 10(it definitely should be introduced) average evaluation was 6.91. Analysing the distribution of evaluations (See Figure 5) it is noticeable that citizens are demonstrating comparatively larger support towards the suggestion that Latvian public administration should have a unified communication style - from all respondents` 63% are supporting this idea by evaluating it with 7, 8, 9 or 10.

Figure 5: Citizens attitude towards a unified style of communication for Latvian public institutions on social media.



Source: Author’s construction based on the author’s conducted survey to citizens (2019, 2020), n=314

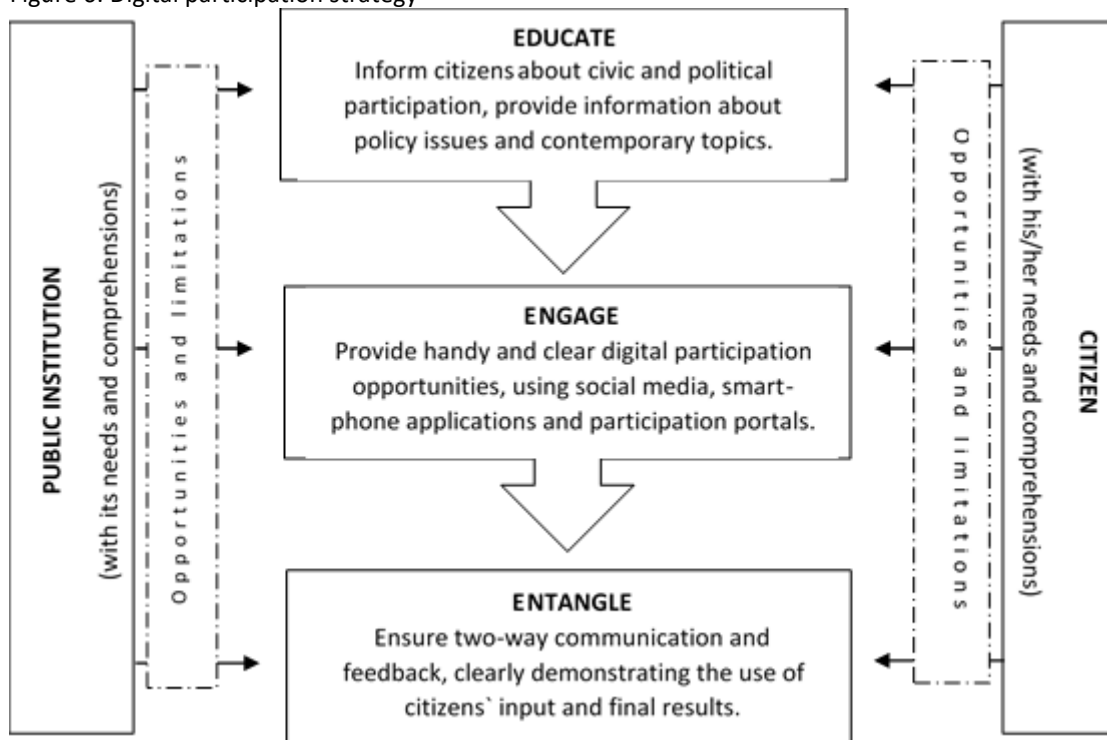
Latvian digital environment comparatively is well developed, and citizens already have plenty of opportunities on how to gain information online and interact with public institutions. Also, the communication of institutions on social media is helping to explain the activities of public administration to citizens. Nevertheless, current communication styles and digital skills are very various, thus, also many public institutions are still distant from citizens and are communicating in a top-down manner. To increase overall quality, develop a more open attitude and cultivate two-way communication there is needed exchange with good practices between institutions and potentially also the development of common communication style in all Latvian public institutions, or at least in those ones that are focusing on citizens as partners not just simple recipients of information or service.

5. DIGITAL PARTICIPATION STRATEGY

Development of common digital communication style and consolidation of best digital communication practices would help public institutions to become more attractive to citizens, create a more unified public image of Latvian institutions and provide support to those institutions that for now are not implementing their digital presence as successfully as others. Nevertheless, considering the two-way communication opportunities, that digital environment can offer, the author is suggesting that common digital strategy is designed and implemented with a purpose not only to provide information to citizens in a highly more thoughtful manner but also to gain feedback, opinions and ideas back from citizens. Hence, designing and implementing it as a digital participation strategy, thus supporting the long-term goal to foster democracy in Latvia and increase citizen participation in a contemporary and citizen-friendly manner.

The proposed Digital participation strategy consists of three steps or levels (See Figure 6) that must be implemented sequentially. In the first step, citizens are educated about civic and political participation and certain policy issues to ensure that they are competent and motivated to participate in the decision-making process. This first step is followed by the engagement part where digital solutions are used to gain citizens opinion and attitudes with the aim to design public policies and regulations that are more successfully meeting citizens needs and expectations. The third step is encouraging citizens to trust in public institutions and the participation process. This aim is reached by providing feedback on citizens input and demonstrating final results that are gained with the help of citizens participation.

Figure 6: Digital participation strategy



Source: Author's construction, 2020

All three steps of the Digital participation strategy can be in some degree impacted by the needs and comprehensions, both from the side of public administration and citizens. Also, in each step, some opportunities and limitations must be considered to ensure successful implementation of the level and provide preconditions to continue the next step of the strategy. As the main opportunities are comparatively high level of the digital environment in Latvia and active online presence of both citizens and institutions. For Latvian public administration, the main limitations are finances and technical capacity, digital skills of representatives of institutions, and public administrations readiness to engage citizens in the decision-making process. For citizens, the main limitations are trusting in institutions, access to information about the decision-making process and knowledge that is needed to participate in the decision-making process. Citizens limitations are gradually reduced if the digital participation strategy is implemented successfully. The bigger challenge is to overcome those limitations that are on the side of public administration as they are asking for long-term thinking and future-oriented mindset – that is not always commensurable with the needs of public administration, especially if decisions of public institutions are being impacted by political parties. Therefore, it is essential that responsible representatives of the institutions understand the significance of citizen participation in the decision-making process, have comprehension about the digital environment and its future development, as well as, are ready to be innovative and foster citizen participation, using opportunities that 21st Century is offering.

6. CONCLUSIONS

It is without doubts that digital environment will continue its development in the future and will become an even more important part of everyday life, especially after the implementation of 5G internet. Therefore, for the public administration, it is important to be directly and personally represented in the digital environment and be able to develop it as common space where institutions can explain government positions but citizens can reach institutions and participate in the decision-making process, fostering citizens trust in public institutions and democracy.

Until now the development of digital democracy in Latvia is mostly encouraged by countries international commitments and citizen participation is strengthened mostly by initiatives of non-governmental sector. If Latvian public administration would like to foster citizen participation and trust in public institutions, they should be the ones who are making the first step providing a contemporary and convenient environment where dialogue with society could be maintained.

In the last ten years, it has become an ordinary reality in Latvia that public institutions are represented on social media and seldom there are discussions when this presence is questioned as useless. Nevertheless, digital development of Latvia and citizen habits now is allowing to level-up this online communication and change comprehension of the sole purpose why and how public institutions are using social media. Implementation of Digital participation strategy in Latvia would change the online environment from short term and topical agenda-driven to a comprehension of the long-term goal of common digital space where citizens can interact with institutions also becoming an active part of the decision-making process. Hence, social media communication style should be changed from informative to educational and engaging, thus also changing citizen-government relations from *us and them* to *we - who are working together*.

Overall, there are several good examples of the use of the digital environment and social media in Latvia that could foster digital democracy. Therefore, it is important that knowledge, experience and good practice is identified and combined, as well as, considering international examples and tendencies. Latvia is a comparatively small country, thus also the amount of public institutions is comparatively small - that could help to foster the development of the common digital strategy. As a first step, there can be the development of a common digital map of all social media and digital presence that Latvian public institutions are maintaining – that could also help citizens to follow public institutions and engage with them online more easily.

ACKNOWLEDGMENTS

The paper was supported by the project “INTERFRAME-LV”

REFERENCES

- Bolívar, M. P. R. (2018). Creative citizenship: the new wave for collaborative environments in smart cities. *Academia Revista Latinoamericana de Administración*, 31(1), 277-302.
- Central Election Commission of Latvia. (2018). 13. *Saeimas vešanas – aktivitāte*. <https://sv2018.cvk.lv/pub/Activities>
- Central Election Commission of Latvia. (2017). 2017. *gada 3. jūnija pasvaldību vešanas*. <http://pv2017.cvk.lv/Activities>
- Central Statistical Bureau of Latvia. (2020). *Access to a computer/ the Internet by households*. http://data.csb.gov.lv/pxweb/lv/zin/zin_01ikt_datori_MS/ITMG010.px/table/tableViewLayout1/
- Council of Europe. (2017). *Guidelines for civil participation in political decision making*. https://search.coe.int/cm/Pages/result_details.aspx?ObjectID=09000016807509dd
- Council of the European Union. (2019). *Council Conclusions on Democracy*. <https://data.consilium.europa.eu/doc/document/ST-12836-2019-INIT/en/pdf>
- European Parliament. (2017). *Resolution on e-democracy in the European Union: potential and challenges*. http://www.europarl.europa.eu/doceo/document/A-8-2017-0041_EN.html
- Eurostat. (2020). *Database: Science, technology, digital society – Digital economy and society – ICT usage in households and by individuals - Internet use*. <https://ec.europa.eu/eurostat/data/database>
- Lindquist, E. A., & Huse, I. (2017). Accountability and monitoring government in the digital era: Promise, realism and research for digital era governance. *Canadian Public Administration / Administration Publique Du Canada*, 60(4), 627-656.
- Longo, J. (2017). The evolution of citizen and stakeholder engagement in Canada, from Spicer to #Hashtags. *Canadian Public Administration / Administration Publique Du Canada*, 60(4), 517-537.
- OECD. (2014). *Recommendation of the Council on Digital Government Strategies*. <https://www.oecd.org/gov/digital-government/Recommendation-digital-government-strategies.pdf>
- Open Government Partnership. (2020). *Latvia Action Plan 2019-2021*. <https://www.opengovpartnership.org/documents/latvia-action-plan-2019-2021/>
- Parresoru koordinācijas centrs. (2017). *Nacionālā attīstības plāna 2014.-2020. gadam un Latvijas ilgtspējīgas attīstības stratēģijas līdz 2030. gadam īstenošanas uzraudzības ziņojums*. <https://www.pkc.gov.lv/lv/valsts-attistibas-planosana/nacionalais-attistibas-plans/nap2020-merki-un-istenosana>
- Saeima. (2020). *Parlaments gatavs darbam e-Saeimas režīmā*. <https://www.saeima.lv/lv/aktualitates/saeimas-zinas/28981-parlaments-gatavs-darbam-e-saeimas-rezima>
- Saeima. (2010). *Sustainable Development Strategy of Latvia until 2030*. https://www.pkc.gov.lv/sites/default/files/inline-files/LIAS_2030_en_0.pdf
- Štětka, V., & Mazák, J. (2014). Whither slacktivism? Political engagement and social media use in the 2013 Czech Parliamentary elections. *Cyberpsychology: Journal of Psychosocial Research on Cyberspace*, 8(3), article 7.
- The United Nations. (2019). *The Age of Digital Interdependence. Report of the UN Secretary-General's High-level Panel on Digital Cooperation*. <https://www.un.org/en/pdfs/DigitalCooperation-report-for%20web.pdf>
- The United Nations. (2018). *Youth 2030 – working with and for youth. United Nations youth strategy*. https://www.un.org/youthenvoy/wp-content/uploads/2018/09/18-00080_UN-Youth-Strategy_Web.pdf
- Thynne, I., & Peters, B. G. (2015). Addressing the Present and the Future in Government and Governance: Three approaches to Organising Public Action. *Public Administration and Development*, 35(2), 73– 85.
- Valsts kanceleja. (2020B). *Atverta parvaldība*. <https://www.mk.gov.lv/lv/content/atverta-parvaldiba>
- Valsts kanceleja. (2020A). *Līdzdalības iespējas*. <http://tap.mk.gov.lv/sabiedribas-lidzdaliba/sabiedribas-lidzdaliba/>
- VARAM. (2019). *Information Society Development Guidelines for 2014-2020*. http://www.varam.gov.lv/eng/darbibas_veidi/e_gov/?doc=13317
- Zolotov-Naranjo, M., Oliveira, T., Casteleyn, S. (2018). Citizens' intention to use and recommend e-participation: Drawing upon UTAUT and citizen empowerment. *Information Technology & People*, 32(2), 364-386.

The Entrepreneurs' Role in Innovation: Developed versus Developing Countries

Assoc. Prof. Dr. Eglantina Hysa¹

Msc. Egl Mansi²

¹Epoka University / Faculty of Economics and Administrative Sciences, Department of Economics,
ehysa@epoka.edu.al, ORCID: 0000-0002-3429-5738

²Epoka University / Faculty of Economics and Administrative Sciences, Department of Economics,
emansi15@epoka.edu.al

Abstract: According to the literature, an entrepreneur is the promotor of innovation. However, the existence of the entrepreneur only is not sufficient enough to achieve a big scaled innovation, otherwise defined as Big-I innovation. To better understand and explain the process of economic boost, this paper considers the innovation framework adopted from Hindle and redesigned by adding another important component to its' framework. To our understanding, to achieve Big-I innovation, there has to be a strong foundation and collaboration among four dimensions: (1) Entrepreneurial capacities; (2) Productive opportunities; (3) Small-i innovation; and (4) Organizational structure. This paper aims to consider these four elements in order to compare their levels of innovation and to answer the question of divergence among developing and developed countries. The concluding discussions consider that developing countries may have some entrepreneurial capacities and small-i innovations, which are not sufficient enough to make Big-I innovations happen. In addition, the discussions go beyond that by identifying some new areas of research.

Key Words: Entrepreneur, Innovation, Developing Countries, Developed Countries

1. INTRODUCTION

For many decades economic growth was calculated based on capital and labor, nowadays we see that the focus is more on technological innovations (Vladi and Hysa, 2019) and human capital. Human capital is a complexed matrix of health, education, inherited and learned abilities and skills, etc. As such, motivation by better health, better skills and education contribute to a growth in the human capital base which is a determinant of economic growth (Frasholli and Hysa, 2015). Thus, the economic resources to achieve growth (labor, capital, land and entrepreneurship) can be improved through investment, exploration, education and technology innovation (Berhani and Hysa, 2013).

Furthermore, empirical evidence strongly supports the theory too, adding that not only human capital positively affects the economic growth of a country, but the economic growth, in turn, positively influences the human capital (Hysa, 2018). This is considered a vicious cycle having continuous positive effects though the time. Besides human capital, the latest studies are focused on human development. While in the late 1980s, the central focus of economists was the income growth, in the beginning of 1990s, the focus shifted toward the quality of life and the development strategies were oriented from production to welfare improvement (Hysa, 2011).

Whereas technological innovation, sometimes defines as invention, is a new idea manifested whereas innovation is the successful implementation of this new idea (McKeown, 2008). Successful entrepreneurship is a process that involves planning, implementation and management as well as cooperation of others in order to exploit an opportunity for profit (Veeraraghavan, 2009).

There are many definitions of entrepreneur. Often, an entrepreneur is defined as a person who works for himself/herself and involves in great amount of risks to run his/her own business and to maximise the profits. The last studies have defined another type of entrepreneur, defined as the new entrepreneurship. In this case there is another term defining the entrepreneurs, the intrapreneurs.

Intrapreneur is a person who is the manager or the employ of a company, identifying problems and obstacles within the company and optimizing solutions to improve the situation. In most of the cases, the intrapreneurs take the initiatives by themselves to drive progress, without necessarily having the guidance from the managerial bodies. Some of their characteristics are quite evident and highly impacting the company. For instance, an intrapreneur shows full commitment to the tasks and engagement within the company. They are aware of challenges and opportunities within and outside their working place because they are good observer. In addition, they can immediately understand, accept the conditions and reflect. As a consequence, they can quickly adapte to the volatile conditions and create solutions for new starting points and enhancement.

Their main personal characteristics are inner-motivation and self-confidence. The combination of these two characteristics are considered to be the promotor of their progress. They are constantly searching for the best solution, they are confident of their steps, and they continuously prefer to go ahead, without being constrained by circumstances or other people. As such, intrapreneurs, being managers or employer within the company, they are considered to be valuable human capital assets. They can bring progress and even innovation, prosperity and development.

This study is focused on the literature and empirical analysis of the role of entrepreneurs in innovation. In addition to this, through this work we want to identify and distinguish the entrepreneurs' effect on countries at different level of economic development. The paper is structured as following. First, we explore the existing literature on the innovation and the role of entrepreneurs. Secondly, we propose an adopted model from that of Hindle, and bringing a new additional dimension. Then we explore and compare the innovation environment in developing and developed countries. Last session is devoted to conclusion and discussions.

2. LITERATURE REVIEW

Hindle (2002) constructed a model that make some clear differentiation between what he refers to as 'Big-I' and 'small-i' innovation. "Small-i" refers to new knowledge of any kind whereas the "Big-I" refers to implementation of new ideas and value-creation (Hancock and Bager, 2004). According to the above-mentioned model, the integration of small-i innovation, entrepreneurial capacities and productive opportunities make happen the Big-I innovation. Livingstone (2000) defines "Big-I" innovation as, 'the process whereby new ideas are transformed, through economic activity, into a sustainable value-creating outcome.' To better understand the model of Hindle, we collect some literature on the three components that are involved in pushing the Big-I innovation.

2.1. Entrepreneurial Capacities

Even though there is a clear distinct among entrepreneur and intrapreneur, it is generally observed that the literature uses the term "entrepreneur" for both cases. Thus, even in this paper we are using the same term for both situations. According to the literature, the main characteristics of the entrepreneurs are individual abilities and cognitive capabilities, such as, risk acceptance or their tolerance for ambiguity (Braunerhjelm, 2010). They are considered to be risk takers and proactive in decision making. A considerable number of studies state that another characteristic of entrepreneur is their stronger need to achieve for self-efficacy as well as preferences for autonomy (Williamson, 1971; Schere, 1982; van Praag and Cramer, 2001; Sorenson and Singh, 2007; Benz and Frey, 2008). Some previous studies suggest that entrepreneurs bring innovative ideas to the business using knowledge, social skills etc. One of the early views on the innovative opportunities is that these opportunities are the result of systematic and purposeful efforts to create knowledge and new ideas by investing in research and development (R&D) (Cohen and Levinthal, 1989). However, some empirical studies have shown that, small and entrepreneurial firms could substantially contribute to aggregate innovation even though they had modest investments for R&D (Feldman and Audretsch, 1999). Meanwhile there are other authors such as Sutter (2010) who defines the entrepreneurs a person to enjoying other people's and one's own life, a person who has ability to control emotions, capability to enthusiasm other people, etc. All these components have been incorporated in the "psychological capital" index, which is an important determinant of entrepreneurial endeavor (Audretsch et al, 2011).

2.2. Productive Opportunities

The first pioneer in explaining productivity opportunities, Penrose (1959), links productivity opportunities in internal factor only, emphasizing the knowledge- and resource-based theories of the firm. Meanwhile, more modern literature in this general tradition does try to consider factors both internal and external to the firm, in their definition of opportunities (Holmén et al., 2007). McKelvey (2016) give an insightful understanding of productive opportunities. He argues that the firms experience three types of opportunities – technological opportunities, market opportunities, and productive opportunities. We consider that the productive capacities are to be searched for and not taken as given. This is consistent also with the findings of Miozzo and DiVito (2018) that suggest the emergence and the development of the science-based firms, which would bring back productive opportunities. According to their study, in order to have good productive opportunities, it is essential for the firms to be based on technology and external partnerships. This might have positive effects in the decline of uncertainty as well.

2.3. Small-i Innovation

Small-i innovation refers to new knowledges (Hancock and Bager, 2004) and new ideas, that often pass through different stages, testing, changing and improving. Small-i innovations are as much as important as Big-I innovations because they are the starting point. During the period of exploration, although entrepreneurs have developed ideas, the challenge is for them to come up with the best strategy to put in practice their innovative ideas and start their first business (Alfaro et al., 2019). Every innovation starts with an idea, which develops and if it successfully passes the development stages and then if it is accepted and absorbed by the market, then we have to do with a Big-I innovation.

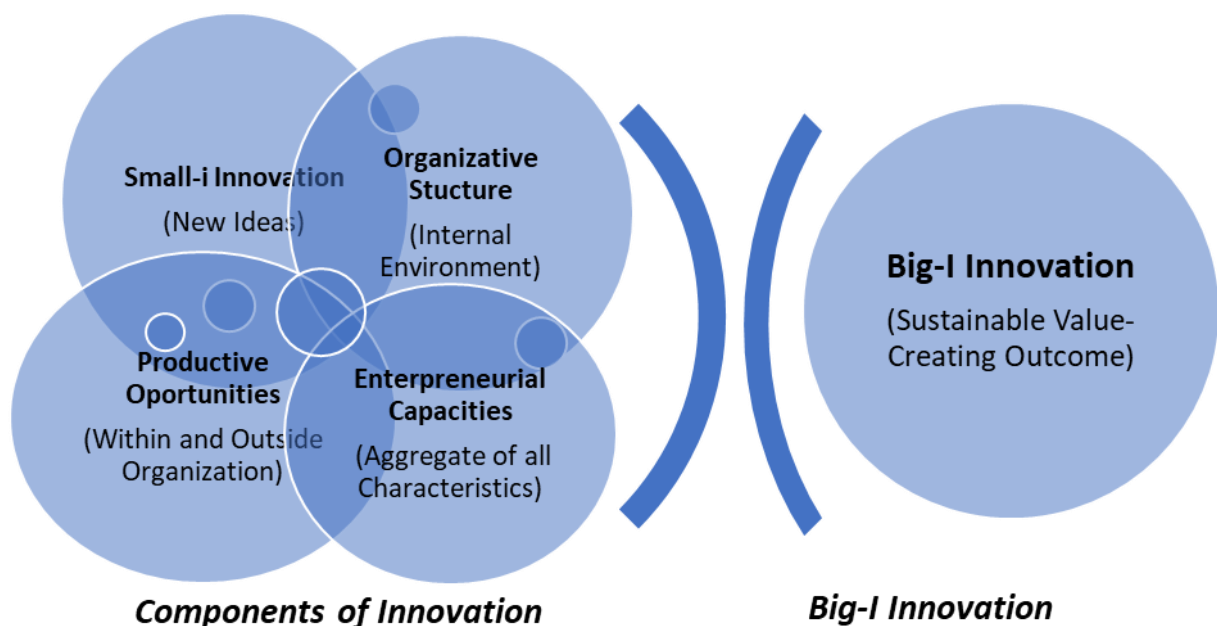
2.4. Big-I Innovation

Whereas Big-I innovation is defined by Livingstone (2000) as “the process whereby new ideas are transformed, through economic activity, into a sustainable value-creating outcome”. Furthermore, Hancock and Bager (2004) add that “in an entrepreneurial setting, the process of creating ‘Big-I’ is not static, but iterative and therefore requires constant managerial effort, the quality of which is dependent upon entrepreneurial capacity”. Study of Rehman et al. (2020) strongly suggests that continuous support to public R&D in pre and post economic crisis accelerate the technological innovation in the private sector. Thus, it is important to continuously invest of further progress of the research and development (innovation), even in turbulent times, because this might bring the company to another stage comparing to its; competitors. In addition, innovation is found to be the key of a sustainable development (Hysa et al. 2020) and a sustainable value-creating outcome.

3. FRAMEWORK OF INNOVATION STRUCTURE

The base of our model is established on that of Hindle (2002) and we add to this model the fourth component we consider to be important in the interaction with the other three components. Figure 1 presents the innovation structure based on the above-mentioned model. In addition, we add to this model a fourth component, that of organizational structure of the company (or any other type of economic actor). The internal environment of the organization is extremely important given the fact that it might serve as a barrier to the entrepreneurial spirit or as a fundamental supporter of it.

Figure 1. Innovation Structure and its' Overall Framework



Sources: Adapted from Hindle (2002) and further elaborated from author

The innovation structure is constructed from four pillars that support each other and make Big-I innovation happen. The first pillar is the existence of an/some entrepreneur/s within the organization, leader itself or

employees, embodied with characteristics mentioned above such as, risk-taker, vital, self-confident, etc. The entrepreneurs are supposed to come up with new ideas and to initiate the small-i innovations. As supported above, small-i innovation, otherwise defined as new knowledges, has to take some developing stages to test the idea, and make the necessary improvements. The third pillar, productive opportunities, refers to the internal and external opportunities that drive to productivity. In addition to the model of Hindle, we propose the fourth pillar to be involved in the outcome of Big-I innovation. The proposed element to complete the chain is the organizational structure, which refers to the internal environment, which is related to the facilities and support given to the entrepreneurs and new ideas. Even though the study of Hysa and Cela (2019) is a macro-level study which finds that good governance positively contributes to human development, we can consider this finding valid even for micro-level studies. This means that a good company governance positively contributes to its employees (positively affect the internal environment), which in turn supports the entrepreneur spirit and new ideas to come up.

Indeed, to make a clear distinction between internal factors of productivity opportunities and internal environment representing the organizational structure, the first one is the efficient usage of the existent capacities within the organization (human capital, physical capital, etc), while the second one is mostly related to behavior and mentality of the administrators of the company. There are two options to be considered in this regard: 1- If the entrepreneur is the leader of the company himself, it is extremely important that aside a successful entrepreneur to be a good leader embodied with the leadership skills. Only in this case, the entrepreneurial takeovers can be reinforced by an internal collaboration of other employees. 2- If the entrepreneur is an employee or a group of employees, then it is crucial that they are fully understood by their leaders, and the management bodies of the company are in total support of the incentives of the new ideas that need to go ahead with the next steps of small-i innovations, that aspire the Big-I innovations.

If the entrepreneurs are employees, thus intrapreneur, it is crucial to offer the employees good working conditions. Their motivation is important to their output. Hysa and Mansi (2020) through their study found out that income level and education were two key factors affecting happiness, that might be related to their motivation as well. Thus, if it is invested in the education, training and skills of the employees and at the same time, their wages are at the expected level, it is mostly probable that the intrapreneurs feel themselves comfortable and do not think to have their own companies.

Alfaro et al. (2019) explain the period of transformation (from small-i to big-I innovation), a period in which the organization passes through some structural. On our understanding, the companies should have some established based on organizational structures, which do support the entrepreneurial spirit, and/or the organization develop itself through the ongoing phases.

Simply said, if we agree on the design of the Big-I innovation system to be a 3C-based: Capacity-Connection-Culmination, then we interrelate the components of innovation as such: Capacity (entrepreneurial capacities, small-i innovations, productive opportunities)-Connection (productive opportunities, organizational structure)-Culmination (Big-I innovation).

4. DEVELOPED AND DEVELOPING COUNTRIES

Due to economic disparities between countries, one can expect that there will be gaps between Developed countries and Developing countries when it comes to innovation and the birth of successful entrepreneurs. In High Income Countries we expect that the role of entrepreneurs to be more supportive especially towards creating new business, ventures and moreover taking risks. Entrepreneurship is a vital part of economic and social development, and essential to the modern economy's continued dynamism.

In this session we want to find out the obstacles that developing and developed countries are facing considering the innovation framework presented above. As such, we are exploring some key figures on innovation and make a comparison among these two groups.

Different analysis reveal that the intrinsic work values of the owner-manager are the strongest drivers of innovative and proactive behaviors, but other work values are also associated with entrepreneurial orientation. In addition, growth-oriented behaviors contribute favorably to innovativeness and proactivity, whereas more survival-oriented managers show less risk-taking actions (Soininen, Puumalainen, Sjögrén, Syrjä, & Durst, 2013).

Table 1 considers three main data on innovation, (1) early-stage entrepreneurial activities, which surprisingly in most of the cases, the developing countries are showing higher entrepreneurial activities than the developed

countries; (2) perceived as new products and services in the market (defined as innovation), developed countries are having better results; and (3) perception of other people toward entrepreneurs, which is highly rated in both of the country categories.

Table 1. Entrepreneurial Behavior and Attitudes (Developed vs. Developing Countries, year 2007)

Developed Countries				Developing Countries			
Countries	TEA (1)	Innovation (2)	Successful Entrepreneurs (3)	Successful Entrepreneurs (3)	Innovation (2)	TEA (1)	Countries
Canada	18.8	43.18	73.96	74.57	25.51	9.87	China
France	3.92	48.63	74.21	82.01	25.26	13.3	Egypt
Germany	5.28	23.74	77.9	56.18	25.6	9.28	India
Ireland	8.93	42.73	81.88	80.95	11.58	7.47	Indonesia
Italy	4.28	28.22	73.21	79.4	16.15	13.3	Iran
Japan	4.68	24.68	51.96	69.25	27.6	11.5	Saudi Arabia
Luxembourg	9.05	57.13	69.95	68.57	29.66	13	South Korea
Netherlands	9.92	22.52	67.5	74.86	26.35	11	South Africa
Sweden	7.29	29.05	70.52	60.13	20.19	8.56	Taiwan
Switzerland	8.47	24.93	73.2	74.48	29.29	21.6	Thailand
United Kingdom	8.4	27.06	75.6	87.77	18.67	8.97	UAE
United States	13.6	35.93	75.49	77.77	13.86	23.3	Vietnam

(1) TEA: Total early-stage entrepreneurial activity

(2) Percentage of those involved in TEA who indicate that their product or service is new to at least some customers and that few/no businesses offer the same product

(3) Percentage of population age 18–64 who agree with the statement that in their country, successful entrepreneurs receive high status

Source: Retrived from Alfaro et al. (2019) which was adopted from Global Entrepreneur Monitor database.

However, in table 2, we notice differences shown when comparing two economic levels. The fear that prevents entrepreneurs from starting a new business, is higher in developing countries than in developed ones. The cause of this could be as a result of unstable economic situations. However, the difference shown does not appear to be that significant when taking other variables into play. What was interesting enough, is that despite the risk being much higher in developing countries, the entrepreneurial intention rate is again much higher in developing countries than in developed ones. This could come as a result of external conditions and the opportunities the country has to offer, so they are not lacking in either entrepreneurial capabilities not productive opportunities. Nonetheless, when comparing the employee activity rate that is part of organizational structure, we can clearly see that developing countries are significantly lower when it comes to employee involvement launching new goods, services or other units.

Table 2. Entrepreneurial Behavior and Attitudes (Developed vs. Developing Countries, year 2019)

Developed Countries				Developing Countries			
Countries	FFR	E.Intentions(2)	Emp. Acc(3)	Emp. Acc(3)	E.Intentions(2)	FFR(1)	Countries
Canada	47.17	11.86	5.40	0.16	21.42	44.65	China
France	29.68	9.12	5.45	0.23	61.58	54.79	Egypt
Germany	31.39	14.59	6.26	0.17	33.30	62.37	India
Ireland	27.64	5.37	7.47	1.82	28.14	46.66	Indonesia
Italy	43.51	4.34	0.72	3.19	37.85	36.20	Iran
Japan	45.65	12.92	1.90	3.19	32.32	41.78	Saudi Arabia

Luxembourg	27.13	9.18	6.65	0.37	11.90	49.79	South Africa
Netherlands	42.92	10.93	5.99	1.35	25.65	32.82	South Korea
Sweden	23.87	10.74	5.24	2.30	14.37	31.03	Taiwan
Switzerland	44.49	7.62	5.35	4.49	37.36	52.69	Thailand
United Kingdom	35.10	13.68	8.08	8.24	38.50	41.73	UAE
United States	13.6	35.93	6.47	0.60	24.96	46.63	Vietnam

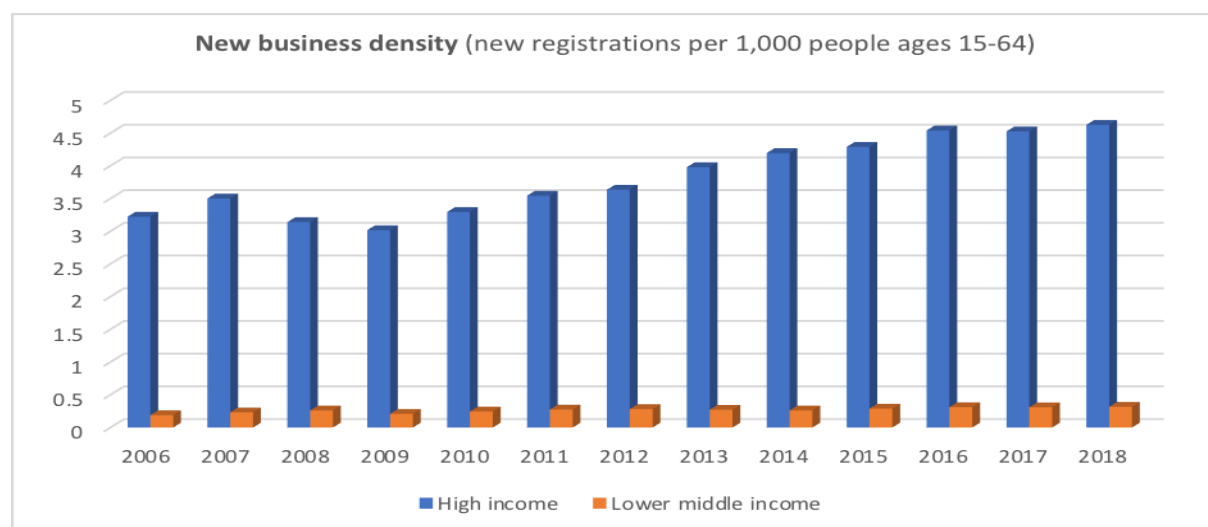
- (1) Fear of Failing Rate: Percentage of 18-64 population (individuals involved in any stage of entrepreneurial activity excluded) who indicate that fear of failure would prevent them from setting up a business.
- (2) Percentage of 18-64 population (individuals involved in any stage of entrepreneurial activity excluded) who are latent entrepreneurs and who intend to start a business within three years
- (3) Rate of involvement of employees in entrepreneurial activities, such as developing or launching new goods or services, or setting up a new business unit, a new establishment or subsidiary

Source: Authors own elaboration, Global Entrepreneur Monitor database 2019.

Figure 2 represents the new business density in high and lower-middle income countries. New Business Density is a valuable indicator that takes into account the effect of institutional regulatory, policy, and macroeconomic changes on new business registration. It is a critical element of a competitive private sector. All limited liability companies are included in the data irrespective of size. In the Figure 2, we can immediately observe that High Income Countries have a higher density rate when compared with Lower middle income countries. In 2018, the difference between HIC and LMIC is with almost 4,3 new registrations happening per 1000 people. In High Income countries, the one with the most registrations was the UK while in Lowe Middle Income countries, South Africa took the lead. What's important to add is that, while the number of new registrations is increasing, it does not alone tell us whether these businesses thrive and succeed in the future. The important thing that an entrepreneur values is having the ability to positively impact and transform their community, thus creating new job entries. That is why, even though South Africa is thriving when compared with its peers, sustaining its businesses seem to be an issue with Lower Middle Income countries.

Another trend we notice from the figure, is that during 2008-2010, the number of business registration in developed countries fell with approx. 0.5 due to the global financial crisis happening around the world. Meaning that without strong financial support and with a sustainable economy, entrepreneurs have a hard time not only taking risks and creating new ventures but also have trouble finding resources to back up and support their ideas. These low performances might be also related to low investment in technology, thus problems with productive opportunities and organizational structures.

Figure 2. New Business Density (High vs. Lower Middle-Income Countries)



Source: World Bank's Entrepreneurship Survey and database, <http://www.doingbusiness.org/data/exploretopics/entrepreneurship>.

In table 3, we focus more on the productive opportunities and entrepreneurial activities that differ between the two economic levels. Surprisingly enough, in all the three indicators that are Financing for entrepreneurs, Governmental support, and R&D transfer, both Developed and Developing countries show the same trends. The framework conditions can be closely correlated with behavior and attitudes as we saw before. So, in both countries, the environment supports and finds resources to fund enterprises.

Table 3. Entrepreneurial Framework Conditions (Developed vs. Developing Countries, 2019)

Developed Countries				Developing Countries			
Countries	Financing (1)	Gov't support (2)	R&D transfer (3)	R&D transfer (3)	Gov't support (2)	Financing (1)	Countries
Canada	3.16	3.14	2.66	3.28	3.36	3.41	China
France	2.84	3.59	2.87	2.15	2.62	2.81	Egypt
Germany	3.13	2.60	2.89	3.15	3.46	3.37	India
Ireland	2.93	2.56	2.63	3.29	3.41	3.24	Indonesia
Italy	2.80	2.39	2.90	2.11	2.11	2.16	Iran
Japan	3.03	3.03	2.77	2.62	3.50	3.00	Saudi Arabia
Luxembourg	2.71	3.38	3.17	3.02	3.63	3.02	South Korea
Netherlands	3.64	3.41	3.22	2.53	2.35	3.53	South Africa
Sweden	3.07	2.37	2.66	3.27	3.42	3.27	Taiwan
Switzerland	3.24	3.39	3.58	3.03	2.77	3.03	Thailand
United Kingdom	3.13	2.61	2.42	3.04	3.72	3.04	UAE
United States	3.47	2.75	2.74	2.19	1.90	2.27	Vietnam

(1) The availability of financial resources—equity and debt—for small and medium enterprises (SMEs) (including grants and subsidies)

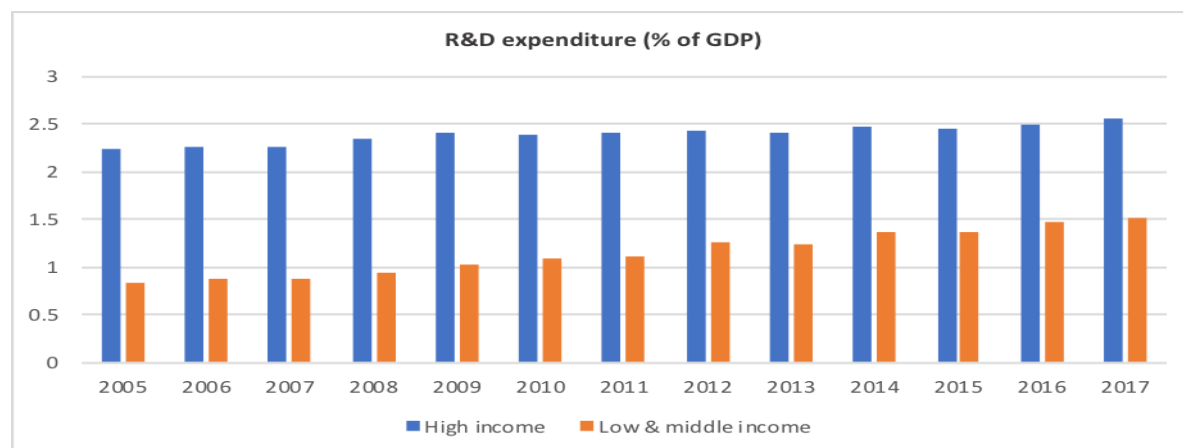
(2) The extent to which public policies support entrepreneurship - entrepreneurship as a relevant economic issue

(3) The extent to which national research and development will lead to new commercial opportunities and is available to SMEs

Source: Global Entrepreneur Monitor database.

On the other hand, as we can observe from figure 3, the R&D is significantly greater in High Income countries than it is in Low- & Middle-Income countries. Low income countries tend to invest less not only in R&D but also in training, licensing new technologies and more. That is why we see a gap, especially in innovation between the two economic levels.

Figure 3. R&D expenditure in Developed and Developing Countries, 2005-2017



Source: Compiled by the Authors, World Bank 2020.

To analyze organizational structure, we have used several indicators to compare the two different economic levels. 1- Leadership Index we observe from Table 4 that Developed countries seem to have a higher score than Developing ones. In Developing countries, the index is lower compared to Developed countries. This is caused from corruption, low performance and bad governance. It also shows assertive leadership and a culture where it seeks permission. 2- Development Opportunities Satisfaction: In Developed countries we see that entrepreneurs support employees with an opportunity to develop their skills and knowledge. In Developing countries, overall, we see that they show lower levels of opportunities. Employees need support throughout their career to advance personal skills and contribute to the success of the business. 3- Motivational Index: The index is much higher in Developed countries. They are more motivated for improvement and driven to create new ventures. However, the same can't be seen for developing countries since it shares a low index. The internal environment doesn't feel motivated in creating new ideas.

Table 4: Organizational Structure, (Developed vs Developing, 2018)

Developed Countries				Developing Countries			
Countries	Leader (1)	DOS (2)	MI (3)	MI (3)	DOS (2)	Leader (1)	Countries
Canada	6.8	6.0	3.26	0.92	6.6	7.2	China
France	6.4	5.7	2.85	1.37	5.0	5.7	Croatia
Germany	6.8	5.9	3.17	0.55	7.2	7.5	India
Ireland	6.6	5.9	2.23	1.75	6.7	6.7	Indonesia
Italy	6.7	5.7	2.73	1.45	5.1	6.3	Serbia
Japan	5.3	4.8	1.94	1.34	6.3	7.1	Brazil
Luxembourg	6.2	5.8	4.65	1.46	6.2	7.1	South Africa
Netherlands	6.4	6.0	7.76	3.20	5.6	6.1	South Korea
Sweden	6.1	5.4	4.40	2.32	5.5	6.1	Taiwan
Switzerland	6.8	5.8	9.15	3.56	7.2	7.1	Thailand
UK	6.7	6.2	3.74	2.48	6.3	6.9	UAE
USA	7.0	6.5	6.94	4.60	6.9	7.0	Vietnam

(1) Focus on creativity to increase employee effectiveness.

(2) Development opportunities satisfaction: company provides opportunities for growth.

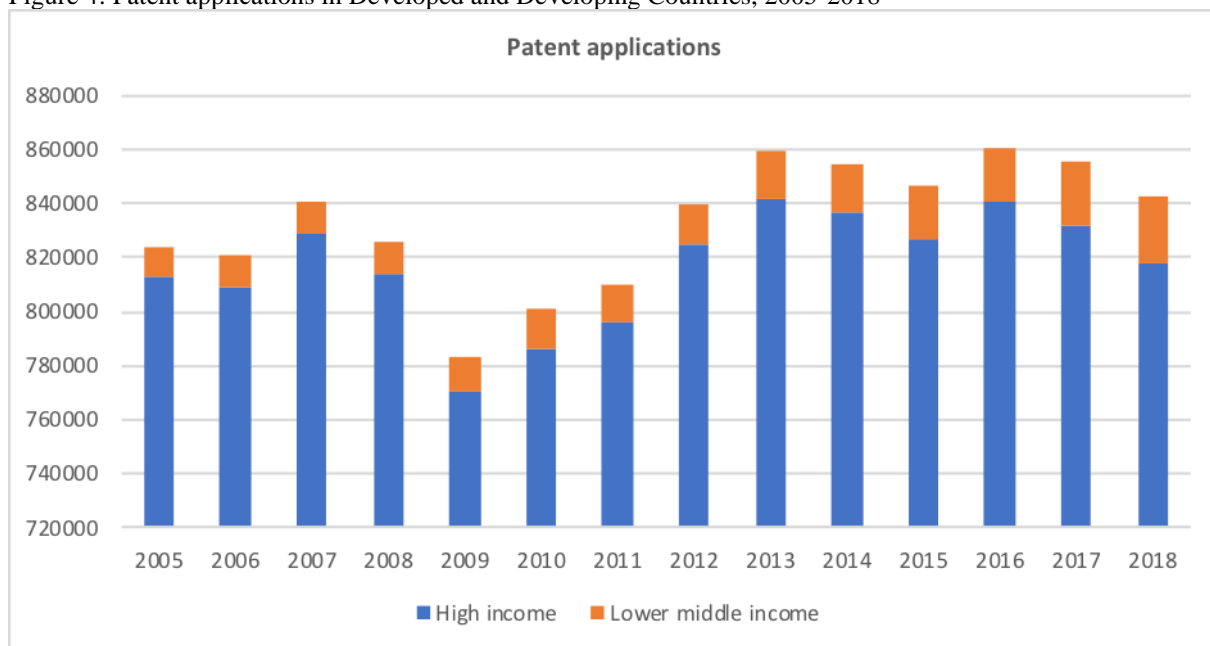
(3) Motivational Index: Percentage of those involved in TEA that are improvement-driven opportunity motivated, divided by the percentage of TEA that is necessity-motivated

Source: Gem, 2019 & Global Employee Engagement Index, 2019

When it comes to big innovations, we have included patent registrations. From Figure 4, it is noticeable that Developed countries have higher patent applications when compared to lower middle-income countries. Furthermore, what's evident is that during the financial crisis of 2008-2009, we see an immediate drop in Developed countries, however that does not appear to be the case for developing countries. They keep the same pace as before, unaffected by the crisis. During the last years, there has been an increase in the patent application in developing countries, could be because of tighter regulations and protection of innovations.

This may also be correlated with the fact that, looser regulation when it comes to protecting their properties, businesses feel a higher rate of failure.

Figure 4: Patent applications in Developed and Developing Countries, 2005-2018



Source: Compiled by the Authors, World Bank 2020.

Table 5: Review of all indicators, (Developed vs Developing Countries, 2020)

Indicators	Developed Countries	Developing Countries
Small-i Innovation (1)		
<i>Innovation</i>	Developed countries are showing good results	Despite the disparities in economic level, they are catching up with developed countries
Productivity Opportunities (2)		
<i>Financial Resources</i>	In both economic levels, the financial support is almost the same, with minor differences.	
<i>Governmental Support</i>	In both economic levels, the governmental support is almost the same, with minor differences.	
Entrepreneurial Capacity (3)		
<i>Fear of Failing Rate</i>	Unlike in Developing countries, the FFR is lower	The fear of failure is higher in developing countries. The cause of this could be as a result of unstable economic situations.
<i>Entrepreneurial Intentions</i>	Again, in developed countries, EI is lower than in developed countries.	The entrepreneurial intention rate is again much higher in developing countries than in developed ones.
<i>R&D transfer</i>	Almost in the same levels with minor differences. In R&D expenditure, the % is higher in Developed countries	Same level, however in R&D expenditure, the investment is less
<i>TEA</i>	On most cases, they stand below Developing Countries	Performing better than Developed Countries
<i>Successful Entrepreneurs</i>	In both economic levels, they show high levels of perception of other people toward entrepreneurs	
<i>New Business Density</i>	High Income Countries have a higher density rate	Low Income Countries have lower density rate, with South Africa having the highest density
Organizational Structure (4)		
<i>Entrepreneurial</i>	The rate of employee involvement is	The rate is significantly lower when compared to

<i>Employee Activity Rate</i>	higher.	developed countries. Causes may be the risk of failure, and little innovation
<i>Leadership</i>	Overall the Leadership Index is much higher in Developed countries	The index is lower compared to Developed countries. This is caused from corruption, low performance, bad governance. It also shows assertive leadership and a culture where it seeks permission.
<i>Development Opportunities Satisfaction</i>	In Developed countries we see that entrepreneurs support employees with an opportunity to develop their skills and knowledge.	Overall, we see that developing countries show lower levels of opportunities. Employees need support throughout their career to advance personal skills and contribute to the success of the business.
<i>Motivational Index</i>	The index is much higher in Developed countries. They are more motivated for improvement and driven to create new ventures	Low Index. The internal environment doesn't feel motivated in creating new ideas
Big-I Innovation (5)		
<i>Patent Application</i>	Developed countries have higher patent applications when compared to lower middle-income countries.	Much lower application, however during the financial crisis of 2008-2009, unlike Developed countries, they show an increase in patent application

Source: Compiled by the Authors, 2020.

5. CONCLUSION

This paper tries to analyze the role of entrepreneurs in innovation when comparing developed with developing countries. In this work we want to identify and distinguish the effects of entrepreneurs in macro- and micro-level innovation approaches. The influence of innovation across countries is significant, particularly when comparing different levels of the economy such as developed vs developing countries. In a global economy it can play a significant role in catch-up and growth. This is the case thanks to diverse entrepreneurial innovations.

Our model is derived from GEM and we use 11 indicators. The results provide confirmation of discrepancies in the value of entrepreneurship for developing countries and developed. Linking the data and figures with the proposed innovation framework (figure 1), we come up with the following concluding remarks: Developing countries are facing difficulties in Productivity Opportunities and Organizational Structures. As we mentioned in table 5, firms in developing countries have two constraints: 1- Financial constraints especially in smaller firms where funds are lacking and Organizational constraints in larger firms where the entrepreneur is responsible for facing every decision. We notice that in developing countries, the employees do not feel motivated to engage with creative ideas or pursue in innovative activities. Given the governmental and financial constraints in developing countries, overcoming these differences in attitudes (such as Employee involvement) is not simple nor easy; however, the finding suggests that it is a needed task to implement. However, on indicators such as Innovation, TEA, Entrepreneurial Intentions and even in R&D transfer we notice that developing countries are performing well and may even surpass the developed countries.

REFERENCES

- Alfaro, E., Yu, F., Rehman, N. U., Hysa, E., & Kabeya, P. K. (2019). Strategic management of innovation. In *The Routledge Companion to Innovation Management* (pp. 107-168). Routledge.
- Audretsch, D. B., Falck, O., & Heblich, S. (Eds.). (2011). *Handbook of research on innovation and entrepreneurship*. Edward Elgar Publishing.
- Benz, M., & Frey, B. S. (2008). Being independent is a great thing: Subjective evaluations of self-employment and hierarchy. *Economica*, 75(298), 362-383.
- Berhani, R., & Hysa, E. (2013). *The Economy of Albania Today and Then: The Drivers to Growth*. The 4th International Conference on European Studies (p. 598).
- Braunerhjelm, P. (2010). *Entrepreneurship, Innovation and Economic Growth-past experience, current knowledge and policy implications*.
- Cohen, W. M., & Levinthal, D. A. (1989). Innovation and learning: the two faces of R & D. *The economic journal*, 99(397), 569-596.

- Feldman, M. P., & Audretsch, D. B. (1999). Innovation in cities: Science-based diversity, specialization and localized competition. *European economic review*, 43(2), 409-429.
- Frasholli, D., & Hysa, E. (2015). Investment in health and economic inclusion of south eastern European countries. *Revista de Stiinte Politice*, (46), 247.
- Global Entrepreneur Monitor database, <https://www.gemconsortium.org/data>.
- Hancock, M., & Bager, T. (Eds.). (2004). *Global Entrepreneurship Monitor: Denmark 2003*. Børsen.
- Hindle, K. (2002). small-i or BIG-I? How entrepreneurial capacity transforms 'small-I' into 'Big-I' innovation: some implications for national policy. *Telecommunications Journal of Australia*, 52(3), 51-63.
- Holmén, M., Magnusson, M., & McKelvey, M. (2007). What are innovative opportunities?. *Industry and innovation*, 14(1), 27-45.
- Hysa, E. (2011). Corruption and human development correlation in Western Balkan countries. *Euro Economica*, (4 (30)), 148-157.
- Hysa, E. (2018). Human Capital Trajectory: Performance of Albania and Serbia in catching up the EU countries. *Review of Innovation and Competitiveness: A Journal of Economic and Social Research*, 4(2), 27-40.
- Hysa, E., & Çela, A. (2019). Relationship between Governance and Human Development in European Countries: Panel Regression Analysis. In *International Academic Conference, Rome, Italy*.
- Hysa, E., & Mansi, E. (2020). Happiness and Economic Growth: Western Balkans and European Union. In *Happiness and Contemporary Society: Conference Proceedings Volume*, P. 105-113.
- Hysa, E., Kruja, A., Rehman, N.U., Laurenti, R. (2020). Circular Economy Innovation and Environmental Sustainability Impact on Economic Growth: An Integrated Model for Sustainable Development. *Sustainability*, 12, 4831.
- Livingstone, C. (2000). *The Warren Centre Innovation Lecture 2002*. Sydney: The Warren Centre for Advanced Engineering.
- McKelvey, M. (2016). Firms navigating through innovation spaces: a conceptualization of how firms search and perceive technological, market and productive opportunities globally. *Journal of evolutionary economics*, 26(4), 785-802.
- McKeown, M. (2008). *The truth about innovation*. Pearson Education India.
- Miozzo, M., & DiVito, L. (2018). Productive opportunities, uncertainty, and science-based firm emergence. *Small Business Economics*, 1-22.
- Penrose, E. (1959) *The Theory of the Growth of the Firm*. Basil Blackwell, Oxford.
- Rehman, N. U., Hysa, E., & Mao, X. (2020). Does public R&D complement or crowd-out private R&D in pre and post economic crisis of 2008?. *Journal of Applied Economics*, 23(1), 349-371.
- Schere, J. L. (1982). Tolerance of Ambiguity as a Discriminating Variable Between Entrepreneurs and Managers. In *Academy of management proceedings (Vol. 1982, No. 1, pp. 404-408)*. Academy of Management.
- Soininen, J. S., Puimalainen, K., Sjögrén, H., Syrjä, P., & Durst, S. (2013). Entrepreneurial orientation in small firms – values attitudes-behavior approach. *International Journal of Entrepreneurial Behavior & Research*.
- Sorenson, O., & Singh, J. (2007). Science, social networks and spillovers. *Industry and Innovation*, 14(2), 219-238.
- Sutter, R. C. (2010). *The psychology of entrepreneurship and the technological frontier—A spatial econometric analysis of regional entrepreneurship in the United States*. George Mason University.
- Utterback, J. M., & Abernathy, W. J. (1975). A dynamic model of process and product innovation. *Omega*, 3(6), 639-656.
- Van Praag, C. M., & Cramer, J. S. (2001). The roots of entrepreneurship and labour demand: Individual ability and low risk aversion. *Economica*, 68(269), 45-62.
- Veeraraghavan, V. (2009). Entrepreneurship and innovation. *Asia Pacific Business Review*, 5(1), 14-20.
- Vladi, E., & Hysa, E. (2019). The Impact of Macroeconomic Indicators on Unemployment Rate: Western Balkan Countries. In *International Firms' Economic Nationalism and Trade Policies in the Globalization Era (pp. 158-181)*. IGI Global.
- Williamson, O. E. (1971). The vertical integration of production: market failure considerations. *The American Economic Review*, 61(2), 112-123.
- World Bank's Entrepreneurship Survey and database, <http://www.doingbusiness.org/data/exploretopics/entrepreneurship>

Title : “The Development of Insurance Market in Albania”

Phd.Elona Fejzaj ¹

Phd.Albana Gjoni ²

Msc.Fjorela Bregu ³

¹ Agricultural University of Tirana, efejzaj@ubt.edu.al , Orcid: 0000-0002-8771-5521

² Agricultural University of Tirana, agjoni@ubt.edu.al

³ Agricultural University of Tirana, fjorela.bregu@agrimatco-eu.com

Abstract: The insurance market is of great importance in the development of society, its sustainability as a financial market is vital for the economy. Insurance plays an important role in risk management and they have the role of protecting the individual and the economy in general. But even though they transfer the risk they cannot avoid an injury or an illness, so they cannot protect the individual from the calamities of life. To a considerable extent, what the person owns can be protected, mainly property, also through compensation. Mental and physical stress as well as illnesses can be reduced if the individual has the necessary knowledge about illnesses and takes preventative measures for them. Due to some special characteristics, especially for our country, this market is considered a fragile market, especially when judged on the general concept of increasing competition. This is probably because the competition in this market can bring problems, unlike other markets where it is considered vital for their development, or from the fact that until recently it was a monopoly in our country. These are the reasons that have prompted me to address in general the panorama of the insurance market, where i will focus more on the analysis of the features of this market, limiting this analysis to figures in the years 2002-2018 for the case of Albania. .

The purpose of this paper is to study and measure the level of competitiveness in the insurance market, as well as to show how vital the latter is for the development of the insurance market. Based on this level we define the features of the market as a market in competition, monopolistic competition, oligopoly or monopoly. In addition to the theoretical treatment, the impact of GDP / capita and the level of concentration of the three largest companies in the insurance market in Albania on the total insurance premium will be studied. The right selection of the model and its testing is one of the most delicate links in the situation analysis process. The analyzes underline that premium, GDP / capita and the level of concentration show a positive correlation between them. This paper aims to provide information on the state of the insurance market in Albania and its characteristic features. The conclusions reached are consistent with the theory .

Keywords: GDP, Insurance,Market,Risk.

Literature review

The features that differentiate this market from other markets, as well as the reasons that lead to its regulation have to do with the asymmetry of information, which means that the insured has difficulty understanding complicated insurance contracts and lacks the ability to assess the adequacy and proportionality of their risk premium. This aspect of asymmetry is called “Lack of transparency” (Ziv-Av, 2006). Insurers suffer from a lack of information about insured risk. Thus from information asymmetry two problems arise:

1. Bad choice,
- 2.Moral risk.

Bad selection represents a problem of asymmetric information that occurs before the transaction occurs. Bad choice in financial markets occurs when potentially insured individuals are more likely to produce an undesirable (bad) result. In the case of bad choice individuals have a greater incentive to insure and pay low premiums due to the insurer’s inability to assess the current risk faced by the insured. Hence the number of people seeking insurance and losses increase. As a result, we have an increase in the insurance premium that affects its non-purchase by individuals at lower risk. This means that only those persons who are at high risk will be covered by insurance. If we extend this analysis to the long run, we can say that this market would go bankrupt.

Moral risk is about changing the behavior of the insured after buying the insurance policy. Thus, we will have higher risks which lead to higher costs. The reasons for the emergence of moral risk are the change in the behavior of the insured and the inability of the insurer to anticipate this change and prevent it by excluding such behavior in insurance contracts. So, the above-mentioned phenomena can be seen as the two failures of the classical market which make the regulation of this market acceptable and necessary. The problem of moral

risk can be solved through regulation through commitment to the production of information, through legal regulation by the government, financing through financial intermediaries.

But the main reason for the need to regulate the insurance market is the basic feature of this market, the necessity of a high level of financial stability due to the "long tail" nature of insurance products. This feature means that at the time of purchasing the insurance policy, the insured receives a simple promise. Therefore, the solvency of the insurer requires more certainty than the solvency of the insured, as the value of a pledged product totally depends on the ability to hold it (Abraham, 2005). Trust is an important element of the insurer's willingness to put insurers in "custody", or to rely on their services for future planning.

The reasons for regulating the insurance market are consumer and market protection. The essence of this protection is to guarantee the solvency, the stability of insurance companies and the insurance market as a whole. For the insured to be protected, it is not enough just to regulate solvency, as insurance companies not only set predatory prices, but also abuse the latter in cases where competition is limited. Therefore, consumer protection has been stated as the main objective of insurance supervisory authorities in trying to achieve a fair balance in the insurance market.

Methodology of the study

Concentration within an industry can be defined as the degree to which a small number of firms make up the total output in the market. The value of top firms or top firms can be three or a maximum of five. If the concentration is low, it simply means that the larger firms are not influencing market output and the industry is considered to be highly competitive. On the other hand, if the concentration is high, it means that the larger firms influence the production or services offered in the industry market, then it is said to be oligopolistic or monopolistic. The most common measure for calculating market concentration is the Herfindahl-Hirschman Index (HHI). This index is calculated by adding the square root of the market share of each individual firm in the industry. The concentration ratio is a simple measure of industrial concentration and is based on calculating the size of the market share of the "N" largest firms in the industry. Hirschmann ("HHI") measures market concentration by summing the percentages of market shares squared of all industry enterprises.

According to (Rohades, 1993) markets with an HHI less than 1000 are considered "decentralized", those with an HHI of 1000 to 1,800 are 'moderately concentrated', and those with an HHI greater than 1,800 are "very focused." The measurement of the Herfindahl-Hirschman index (HHI) for the insurance market in Albania is performed by the competition authority. The HHI index is the most widely used index by the Competition Authority to determine the degree of market concentration. Its value varies from 0 indicating perfect competition to 10,000 indicating monopoly.

Concentrations in the insurance market lead to rising prices. According to Fisinger¹⁵, the premium in some countries with a high level of government regulation and insurance market concentration leads to premiums which are on average 117% higher than in countries with a lower and more competitive level of regulation. Premiums in competitive markets are significantly lower than premiums in highly regulated markets. But one problem with regulation is that insurers will not have enough incentive to offer a variety of insurance policies.

In an optimal insurance policy, the premium fully reflects the behavior of the insured. Thus, monitoring may be better in competitive insurance markets than in regulatory ones. Also, the premium does not reflect the behavior of the insured and does not provide optimal control of moral risk. Empirical studies have shown that the degree of market concentration has negative effects.

Analyses of results of the empirical model

The method used in the study on regulation and concentration in the competitive insurance market in Albania consists in the processing of secondary data for the period 2002-2018 obtained on the official website of AFSA, INSTAT, Bank of Albania, relevant insurance companies and their processing using the econometric model in the electronic system Eviews. The data belong to the non-life insurance companies operating in the insurance market, for the time series from 2002 to 2018 regarding the focus on the three companies largest, Gross Domestic Product (GDP / capita) as well as premiums for non-life insurance policies for a period of 17 years.

The model used is similar to the model of (Brewer, 2004). We are dealing with a multiple regression model with two independent variables. The equation of the reduced form of the premium is defined as follows:

$$\text{Premium} = B_0 + B_1 * CR_3 + B_2 * \text{GDP} / \text{capita} + t + ut \quad (1)$$

Where: Premium represents the dependent variable and shows the level of premiums for non-life insurance policies sold in years, while the independent variables are: CR3 represents the level of concentration of three companies in the market for premiums, GDP / capita indicates the level of per capita income, t indicates the years taken in the analysis, while B0, B1 and B2 are the regression parameters that link the mean value of the dependent variable to the independent variables, otherwise called coefficient.

Where: contains all unobserved variables that affect the premium level. Indicates the error term that describes the prime effect of all factors other than the variables CR3 and GDP / capita.

- At the end of the econometric analysis we want to discover the relationship that exists between GDP / capita, CR3 and the premium for non-life insurance companies in conditions when other factors are taken as unchanged.

The purpose of using this model is to examine the impact that concentration and GDP / capita have on gross written premium.

From a first point of view on the model, but also starting from the conclusions of researchers, treated in the literature, we expect that: firstly, we have a relationship between independent variables and the dependent variable and secondly this relationship is fair and positive. From the studies of others we have seen that there is a connection between concentration and premium and this is a fair and positive connection. This means that a high concentration will bring high premium. According to Fisinger42, the premium in some countries with a high level of government regulation and high insurance market concentration leads to premiums which are on average 117% higher than in countries with a lower and more competitive level of regulation. We also expect to have a positive correlation between GDP / capita and gross written premium. From studies we have that GDP / capita has a positive impact on gross written premium. This means that the higher the GDP per capita, the higher will be the income of individuals in a country's economy, which would translate into more income that needs to be provided and thence to more insurance contracts and a higher premium as a result of the increased demand to secure income in one of the forms of insurance.

To enable this model, several tests have been performed such as: Functional form test - if the model we want to use is a good model for analysis, normalcy - if the residues have a normal distribution, stability - if the model is stable over time, multicollinearity-whether the variables are related to each other, homoskedasticity, autocorrelation, and stationarity needed to arrive at the final form of the model and to give as accurate a conclusion as possible in the relationship between the variables taken in the study.

To arrive at the evaluation of the final empirical model of the form:

$$\text{Premium} = B_0 + B_1 * CR_3 + B_2 * \text{GDP} / \text{capita} + ut \quad (2)$$

some econometric tests based on (Osmani, 2017) have been performed, which are presented as follows:

The test of the functional form

To find out the most suitable model for the variables considered, we use the log-log

Hypothesis in this case are :

H0: the model is not good model (model # Premium C CR3 GDP_PER CAPITA)

Ha: the model is good (model Premium CR3, GDP_PER CAPITA) Ramsey RESET Test

Equation: UNTITLED

Specification: PRIMI C CR3 PBB_FRYME

Omitted Variables: Squares of fitted values

Value	Df	Probability
t-statistic	2.129872	13
F-statistic	4.536355	(1, 13)
Likelihood ratio	5.088556	1
F-test summary:		
Sum of Sq.	Df	Mean Squares
Test SSR	13920433	1
Restricted SSR	53812730	14
Unrestricted SSR	39892297	13

Unrestricted SSR	39892297	13	3068638.
LR test summary:			
Value		Df	
Restricted LogL	-151.3483	14	
Unrestricted LogL	-148.8040	13	

Unrestricted Test Equation:

Dependent Variable: PREMIUM

Method: Least Squares

Date: 03/04/20 Time: 19:43

Sample: 2002 2018

Included observations: 17

Variable	Coefficient	Std. Error	t-Statistic	Prob.
C	39157.14	23164.17	1.690418	0.1148
CR3	-271.1388	168.3281	-1.610776	0.1312
PBB_FRYME	-72.80697	47.56786	-1.530592	0.1498
FITTED^2	0.000269	0.000126	2.129872	0.0529
R-squared	0.739323	Mean dependent var	5339.824	
Adjusted R-squared	0.679167	S.D. dependent var	3092.668	
S.E. of regression	1751.753	Akaike info criterion	17.97695	
Sum squared resid	39892297	Schwarz criterion	18.17300	
Log likelihood	-148.8040	Hannan-Quinn criter.	17.99643	
F-statistic	12.29006	Durbin-Watson stat	1.515928	
Prob(F-statistic)	0.000428			

Dependent Variable: LOG(PRIMI)

Method: Least Squares

Date: 03/04/20 Time: 20:04

Sample: 2002 2018

Included observations: 17

Variable	Coefficient	Std. Error	t-Statistic	Prob.
C	-3.687752	8.843705	-0.416992	0.6830
LOG(PBB_FRYME)	1.492444	0.664781	2.245018	0.0414
LOG(CR3)	0.848375	1.219687	0.695568	0.4981
R-squared	0.648872	Mean dependent var	8.438040	
Adjusted R-squared	0.598711	S.D. dependent var	0.550960	
S.E. of regression	0.349019	Akaike info criterion	0.891405	
Sum squared resid	1.705400	Schwarz criterion	1.038442	
Log likelihood	-4.576941	Hannan-Quinn criter.	0.906021	
F-statistic	12.93574	Durbin-Watson stat	1.255480	
Prob(F-statistic)	0.000658			

Since the data we use are time series data, which belong to the period 2002-2018, we use the Choe test to see how consistent the data is over time. In the case of time series data, it may be that the data have different trends over a period of time (having structural pattern change). The model is stable if it is the same for the whole period and unstable when we have different models for different sub-periods. Through this test we will try to see if we have the same pattern before and after 2008, the year in which the global economic crisis began.

The hypotheses that arise for this model are:

H0: SKG = SKG1 + SKG2 (the model is stable)

Ha: SKG ≠ SKG1 + SKG2 (the model is not stable)

The testing is done using the Fisher test

$$F = SKG - (SKG1 + SKG2)SKG1 + SKG2 * n - 2kk \text{ Chow}$$

Breakpoint Test: 2020

Null Hypothesis: No breaks at specified breakpoints

Varying regressors: All equation variables

Equation Sample: 2002 2018

F-statistic	0.297079	Prob. F(3,11)	0.8268
Log likelihood ratio	1.324408	Prob. Chi-Square(3)	0.7233
Wald Statistic	0.891236	Prob. Chi-Square(3)	0.8275

Included observations: 17

Coefficient	Uncentered	Centered
Variable	Variance	VIF
C	78.21111	10914.88
LOG(CR3)	1.487635	3710.391
LOG(PBB_FRYME)	0.441933	2031.493

Included observations: 17

Variable	Coefficient	Std. Error	t-Statistic	Prob.
C	-485.8987	465.8534	-1.043029	0.3193
LOG(CR3)	134.4626	136.9203	0.982050	0.3472
(LOG(CR3))^2	-9.267765	10.21234	-0.907506	0.3836
(LOG(CR3))*(LOG(PBB_FRYME))	-9.747245	8.936513	-1.090721	0.2987
LOG(PBB_FRYME)	69.89510	62.58303	1.116838	0.2879
(LOG(PBB_FRYME))^2	-2.471985	2.222780	-1.112114	0.2898
R-squared	0.264366	Mean dependent var	0.100318	
Adjusted R-squared	-0.070013	S.D. dependent var	0.193963	
S.E. of regression	0.200638	Akaike info criterion	-0.104060	
Sum squared resid	0.442814	Schwarz criterion	0.190015	
Log likelihood	6.884514	Hannan-Quinn criter.	-0.074829	
F-statistic	0.790619	Durbin-Watson stat	1.476642	
Prob(F-statistic)	0.577899			

We see that $F_v = 0.79 < F_k = 3.08$ at the 5% significance level (there is not enough evidence to refute the null hypothesis at this significance level. This means that our model does not suffer from heteroskedasticity). The White test is considered a better test than others as it checks for the relationship of residues to both explanatory variables and their squares and interactions.

The conclusions we draw from the use of the empirical model are:

1. We used the functional form test and found that the model in the form of log log is the best model to do the analysis of the variable that we took in the study
2. We used the normality test to see that the residues also have normal distribution.
3. We used the Cho test and saw that the model is stable and does not change throughout the period we have been studying.
4. The model does not suffer from multicollinearity, the test showed that there is no close linear relationship between the explanatory variables (variables CR3 and GDP_period). So the variables chosen are good.
5. The model does not suffer from heteroskedasticity, so the standard errors of a variable, monitored over a period of time, are constant.

The final model is:

$$\text{Log}(\text{logprimi}) = -3.68 + 0.17 * \text{Log}(\text{pbb_fryme}) + 0.38 * \text{Log}(\text{logcr3})$$

So, it turns out that the variance of the premium variable is explained 65% of the variables used in the estimated regression, also both coefficients have the theoretically predicted sign and are statistically significant.

An increase of GDP / capita by 1% will lead to an increase in the growth rate of the premium by 0.17% in conditions when other factors are taken as unchanged, also an increase of 1% of the growth rate of the market concentration will lead to an increase in the premium growth rate by 0.38% in conditions when other factors are taken as unchanged.

Historically lower interest rates, volatile financial markets and low GDP growth are negatively impacting the insurance industry's profit margins. From the latest findings we have that regulatory and financial changes continue to challenge insurance companies. These may include the need to regulate risk management processes and enhance organizational control functions.

Conclusions and Recommendations

From the study of concepts taken from the literature in relation to this paper we reach the following conclusions:

1. Regulation for the insurance market arises as a need for asymmetry of information that exists in this market. The two problems that arise from information asymmetry in the insurance market are: bad choice and moral risk. The reasons for market regulation are consumer and market protection which meant guaranteeing the solvency and stability of insurance companies as well as the insurance market as a whole. The problem of moral risk can be solved through regulation through commitment to the production of information, through legal regulation by the government, financing through financial intermediaries. Regulation in a competitive market is seen from two points of view: a) from a positive point of view we have that regulation is necessary for both efficiency and competition b) from a negative point of view we have that regulation reduces efficiency as the regulation rate is inappropriate, because the authorities regulators set lower or higher prices compared to competitive prices. In conclusion the regulated rate does not necessarily lead to competitive prices if the market structure itself is not in full competition.
2. Competition in the insurance market, although considered by most as vital for the performance of the insurance market, there are also those studies that qualify competition with a negative impact on this market. Researchers Guisepe De Feo, Jean Hindriks (2009) and Dahlby (1987), proponents of the idea that competition has a negative impact on the insurance market came to the conclusion that the problems of information asymmetry on bad choice and moral risk are more negative and more difficult to resolve in competition rather than in monopoly. They also argued that a monopoly insurance contract could provide greater coverage than in competition, in the case where the proportion of contracts covering high risks is greater than those covering low risks.
3. Positive views regarding competition for the insurance market are: the competition process ensures that premiums are almost the same over time; the competition process helps control moral hazard
4. The level of concentration of the three to five largest companies in the insurance market gives features to this market. If the concentration is low, the industry is considered to be very competitive. If the concentration is high, the industry is considered to be oligopolistic or monopolistic. Empirical studies have shown that the degree of market concentration has negative effects. The less competitive the market, the more standardized policies and the less differentiated the risk, the less incentive insurance companies will have to control the moral risk leading to a higher accident rate. . The most common measure for calculating market concentration is the Herfindahl-Hirschman Index (HHI).

Conclusions from descriptive and comparative analysis:

1. The Insurance Market in Albania has its beginnings on July 31, 1991. The insurance market was a state monopoly in the period 1992-1998, Oligopol for the period 1999-2003, from 2004-2014 monopolistic competition while for the period 2015- 2018 this market is valued with the features of an oligopoly market. According to the annual report for 2018 issued by the Supreme State Audit, the insurance market is presented with the features of an oligopoly market.

2. The insurance market in Albania operates mainly as a result of the income generated by compulsory insurance with the main product being the motor. The voluntary product "Debtor's Life" is the one that occupies the highest percentage in the Life line. These are negative indicators of the insurance culture in the country, evidence that the free will to insure is low.

3. The problems of the insurance market in Albania are: lack of information regarding insurance, lack of education to be insured, high level of compulsory insurance compared to voluntary insurance, fierce competition, low level of income. The Albanian Insurance Bureau and the management of the Compensation Fund have been in a stalemate for years, turning into the biggest problem of the insurance market. The insurance market is not complete from a regulatory point of view, to a considerable extent the market operates on the basis of self-regulatory parameters.

4. Compared to the countries of the Western Balkans, Albania has the smallest number of non-life insurance companies per capita. There are 11 companies operating in the insurance market in Albania, 8 of them belong to non-life insurance and 3 of them to life. The explanation of our country's position in comparison with the countries of the Western Balkans in terms of the insurance market is related to the fact that the insurance market in our country is a market which operates in a dynamic environment and without rules. Also, and due to various factors such as culture, income level or regulatory framework.

5. The characteristics of the insurance market in our country based on the measurement of the level of concentration by means of the HHI index are those of an oligopolistic market. After HHI marked the value of 1215, based on EC data but also according to Rhodes (1993) it is considered as moderately concentrated, which means that it has the features of an Oligopol market. Which we also have from the report of the Supreme State Audit which evaluates this market as an Oligopol market.

However, the comparison of our country's insurance with EU countries, shows the level of competitiveness of this market in Albania, which is still not at satisfactory levels, as there is still work to be done, in order to improve this market. Regarding this fact, I would recommend as very important the undertaking of initiatives by both the FSA and insurance companies to promote the services they provide, in order to increase the level of awareness of individuals.

Historically lower interest rates, volatile financial markets and low GDP growth are negatively impacting the insurance industry's profit margins. From the latest findings we have that regulatory and financial changes continue to challenge insurance companies. These may include the need to regulate risk management processes and enhance organizational control functions.

Bibliography

- AMF, (2019) https://amf.gov.al/pdf/publikime2/raport/RAPORTIVJETOR2019_1.pdf
- Abraham, K., (2005): "Insurance Law and Regulation", No.4, pp.25-40
- Hoti I, Insurance Industry and Risk Management. Non-Life Insurance Products, Life, Health, Pensions, etc. Institute of Financial Engineering for Banking and Insurance.
- Naqellari, A., Hoti, A., & Angjeli, G. (n.d.). Insurance Market in Albania, Degree of Concentration and Consequences in the Economy, Seventh International Conference
- Guiseppe De Feo, Hindriks, H, (2009), "Harmful competition in the insurance markets", fq. 6-18
- Guri, R. (2007). "The necessity of a risk-based model in the insurance market in Albania", Economy and business. Vol: Nr1,2,3,4, Tirana..
- Finsinger, J. and Schmidt, F.A., (1992): "Prices, Distribution channels and regulatory intervention in European insurance markets", University of Vienna, Business Economics Institute 1992, working paper, fq. 33-54,
- Kozarev S., Peressin L. (2013), "Efficiency of the transition of insurance markets in South-Eastern European countries" fq. 158-160 URL: <http://ëëë.asecu.gr/Seeje/issue21/issue21-kozarevic-peressin-valentinuz.pdf>
- Zyka, E., & Myftaraj (Tomori), E. (2014). Factors affecting the insurance sector development: Evidence from Albania. The Romanian Economic Journal, 171 - 188.
- Lipson, J. D., (2001): " Gats and Trade in Health Insurance Service ", World Health Organization, Nr. 7, working paper, fq. 6,
- Porrini, D, (2015), "Risk Classification Efficiency and the Insurance Market Regulation". Fq. 445-454

University Rankings – Challenges for University Management Decision Making and Academic Staff

Evija Rusite¹

Biruta Sloka²

¹ University of Latvia, Evija.Rusite@lu.lv, ORCID: <https://orcid.org/0000-0002-0007-5534>

² University of Latvia, Biruta.Sloka@lu.lv, ORCID: <https://orcid.org/0000-0003-2129-053X>

Abstract: Global competition in higher education from one side and demographic challenges from other side has rided important challenge for management of universities in aspect of university rankings. Different steps are taken by university management and numerous research on different aspects of university rankings are carried out world-wide. Research methods used for current research: Scientific publications and previous conducted research results analysis, analysis of different results by several university ranking systems used in many parts of the globe, analysis of ranking results in different university ranking systems, analysis of expert survey on higher education management. For expert survey it was used evaluation scale 1-10 for investigation of importance of different influencing factors and making availability to make deeper evaluations by the experts of higher education management. For analysis of expert survey results it was used indicators of descriptive statistics (indicators of central tendency or location – arithmetic mean, mode, median; indicators of variability – range, variance, standard deviation, standard error of mean) and crosstabulations. Research results have indicated that many results on investigation of university performance which recently is carried out using different information technology tools and artificial intelligence could play an important role for results in university rankings and respective organisation of university management decision preparation and realisation to improve results important for international university rankings.

Keywords: University rankings, university management, academic staff, management decisions.

1. INTRODUCTION

Global competition in higher education is taking place recently on a very taff level: from one side are demographic challenges as in many developed countries dramatic lack of young people and from other side has rided important challenge for management of universities in aspect of university rankings. Different steps are taken by university management and numerous research on different aspects of university rankings are carried out world-wide. Research methods used for current research: scientific publications and previous conducted research results analysis, analysis of different results by several university ranking systems used in many parts of the globe, analysis of expert survey on higher education management. For expert survey it was used evaluation scale 1-10 for investigation of importance of different influencing factors and making availability to make deeper evaluations by the experts of higher education management. For statistical analysis of expert survey results it was used indicators of descriptive statistics (indicators of central tendency or location – arithmetic mean, mode, median; indicators of variability or dispersion – range, variance, standard deviation, standard error of mean) and crosstabulations. Research results have indicated that many results on investigation of university performance which recently is carried out using different information technology tools and artificial intelligence could play an important role for results in university rankings and are especially important for respective organisation of university management decision preparation and realisation to improve results which are becoming more and more important for international university rankings.

2. THEORETICAL FINDINGS

University rankings are studied from different perspectives and in many parts of the globe investigating different influencing aspects on university rankings: role and significance of science, level of academic staff, share of international students and other aspects including from the revealed preferences of the applicants (Csató, Tóth, 2020) with researcher Csató, Tóth from Hungary findings that they have demonstrated that the ranking given by the least squares method has favourable theoretical properties, is robust with respect to the aggregation of preferences, and performs well in practice. The suggested ranking is worth considering as a reasonable alternative to the standard composite indice (Csató, Tóth, 2020). Such very mathematical approach for university rankings could be very widely discussed as such approach is very different from numerous already used university ranking systems used by international academic as well as business community. Researchers have identified are researched in-depth different approaches and applications for university

rankings including self-defined information (Ferrer-Sapena, et al, 2020). As we see from the everyday work at university and study international academic findings it is noticed that “Universities compete to improve their ranking in the different ranking systems and expend resources toward this goal. Higher rankings attract elite students, research funds, government and public support, among other benefits” (Alsmadi, et al, 2020). Such findings are underlined also in other research results of other researchers published in previous years publications (Rusite, Sloka, 2019; Marginson, van der Wende, 2007; Hou, 2012; Hazelkorn, 2018; Bagley, Portnoi, 2014; Shahjahan, Morgan, 2016; Hazelkorn, 2014). Besides that researchers (Alsmadi, et al, 2020) write “However, perhaps the most influential ranking system in U.S. contexts—the U.S. News & World Report Best Colleges rankings—has largely remained unchanged for decades, leading researchers to question how highly-ranked institutions remain atop the rankings (Alsmadi, et al, 2020). Several researchers have stressed that there exist effect of methodological variations on university rankings and associated decision-making and policy (Hosier, Hoolash, 2019; Kehm, 2014; Marginson, 2007; Markpin, et al, 2013; Jabnoun, 2015). Researchers have studied possibilities to rank universities using database on university research performance on Scopus and WoS (Markpin, et al, 2013); fewer indicators having several versions, for example, using five international university rankings (Doğan, Al, 2019) have investigated either university ranking and accreditation are related (Rybinski, 2020). The study of Doğan and Al (2019) has used MDS and cosine similarity measure for revealing the similarity of indicators. Researchers concluded that “... ranking data is skewed that require conducting nonparametric statistical analysis; therefore, MDS is used” (Doğan, Al, 2019). The study of researchers Doğan and Al (2019) has covered all ranking years and all universities in the ranking lists and was stressed that it was different from the similar studies in the literature that Doğan and Al (2019) have analyzed data for shorter time intervals and top-ranked universities in the ranking lists. Researchers Doğan and Al (2019) has concluded that the similarity of intra-indicators for URAP, NTU and RUR was analyzed based on the literature review. Researchers from United States of America Alsmadi, I., Taylor, Z.W., Childs, J. have examined all institutions reporting complete statistics to U.S. News in 2018 (n = 228) and have develop experimental algorithms to learn which ranking criteria most contribute to an institution’s overall ranking. As researchers (Alsmadi, et al, 2020) have mentioned and analysed “... of the 28 major ranking metrics, most algorithms demonstrated that predicted graduation rate, six-year graduation rate, and peer assessment best predicted overall U.S. News ranking. However, predicted graduation rate and peer assessment are highly subjective and speculative in nature, possibly contributing to the sustained stratification of U.S. News rankings” (Alsmadi, et al, 2020). It is often practice in different approaches use different ranking systems and state arguments why the respective ranking system is better than other university ranking systems. Researcher from United Kingdom in his research has stated “Global university rankings seek to illustrate the performance of institutions on an international level and are used by many institutions to help them to reach strategic goals, as such, they have become synonymous to some as an indicator of quality and desirability” (Shreeve, 2020). Further researcher from United Kingdom has pointed out aspects mentioned also in other research “As global university rankings become further embedded as a basis on which students, universities, faculty and policy-makers make decisions on their future, the question of whether institutions from across the globe with their own nuances, strengths and ambitions can be considered truly comparable remains relevant” (Shreeve, 2020). Researcher from United Kingdom Shreeve has mentioned aspects which are discussed also in other research “Following the widespread focus on becoming a ‘globally successful’ institution, numerous countries have launched initiatives to incite ambitions to become ‘top-ranking’” (Shreeve, 2020). Many people have noticed that universities in Taiwan are among the highest ranked universities in the world and researcher Shreeve has mentioned “The Ministry of Education (MOE) in Taiwan launched a series of funding opportunities to assist institutions to become globally recognised, an ambition that they have now achieved” (Shreeve, 2020). As it is mentioned by researcher Dowsett, L. from Australia who has mentioned “Institutional league tables, such as the Academic Ranking of World Universities, have become part of the global higher education landscape” (Dowsett, 2020). The research results of Dowsett, L. included in scientific paper has discussed findings from a longitudinal study examining four Australian universities over a fifteen year period which traces how international rankings have come to be articulated in university strategy (Dowsett, 2020). The research findings correspond to the aspects discussed and concluded also by other researchers (Collins, Park, 2016; Hazelkorn, 2007; Hazelkorn, 2014b; Mathew, Cherukodan, 2018). Through an analysis of annual reports and strategic plans, this inquiry highlights the impact of rankings on the institutions, with a particular focus on their research strategy. The selected universities demonstrate that they act strategically in how they seek to both influence and respond to annual ranking releases. The results show that specific changes in strategic direction not only improve a university’s market position but can also contribute to a significant rise in their rank (Dowsett, 2020). There are also several critical evaluations on university ranking systems (Berbegal-Mirabent, Ribeiro-Soriano, 2015) but we need to take into

account that we like the system of university rankings or do not like but more smart decision is to take into account how the world academic and business community react and prepare management decisions for the result reflections and results for more better university rankings.

3. EMPIRICAL RESEARCH RESULTS

Scientific discussions in scientific publications, in scientific conferences as well as in discussions of university management representatives indicate that more often used university ranking systems are important even if the university ranking systems are different and influence of different indicators does differ. Main results of performance of Baltic universities in QS ranking is reflected in table 1.

Table 1: QS World University Rankings (II)

Performance of Baltic universities in QS ranking (September 1, 2020)

University	Rank	TOTAL	Academic reputation	Employer reputation	Student-to-faculty ratio	Citations per faculty	International faculty ratio	International student ratio
University of Tartu (EE)	321 (2018)	32,8	20,4	21,6	82,7	18,9	22,4	20
	285 (2020)	35	25,3	15,2	83,4	18,5	29,6	26
Vilnius University (LT)	488 (2018)	24,1	16,9	31,8	60,2	6,1	11,7	6
	423 (2020)	27	19,6	21,6	74,6	5,9	10,9	4,9
Vilnius Gediminas Technical university (LT)	581-590 (2018)	-	-	36	42,4	-	-	29,9
	651-700 (2020)	-	-	19,1	37,8	-	-	18,7
Tallin University of Technology (EE)	601-650 (2018)	-	-	21,3	32,9	-	35	43,4
	651-700 (2020)	-	-	-	27	-	37,3	28
Riga Technical University (LV)	751-800 (2018)	-	-	23,9	26,8	-	15,9	28,7
	701-750 (2020)	-	-	19,8	28,2	-	17	37,5
Kaunas University of Technology (LT)	751-800 (2018)	-	-	21,2	36,7	-	-	-
	801-1000 (2020)	-	-	-	32,2	-	-	-
Riga Stradins University (LV)	801-1000 (2020)	-	-	-	-	-	-	78,5
Tallin University (EE)	801-1000 (2020)	-	-	-	-	-	29,2	25,7
University of Latvia (LV)	801-1000 (2018)	-	-	-	26,6	-	-	-
	801-1000 (2020)	-	-	-	18,3	-	-	-

	(2020)							
Vytautas Magnus university (LT)	801-1000 (2018)	-	-	-	-	-	28,1	-
	801-1000 (2020)	-	-	-	-	-	27,6	18,7

Source: author's construction based on QS Rankings

As it is mentioned in official information “The **Wall Street Journal/Times Higher Education** College Rankings gives students and their families the information that they need to help them choose where to study. The ranking of more than 800 universities is based on 15 individual performance indicators and responses from more than 170,000 current college students, collected through **THE's** annual US Student Survey” (THE, 2020). University management in many countries carefully study influence of used aspects in rankings making more attention to aspects possible to influence for university rankings, for example, giving more attention (in respect to financial motivation) to scientific publications with high impact factors for indexed in databases, realizing strategies for international staff involvement in university work, making differences in academic staff and student share and other factors important for international university rankings. Baltic countries universities actively work for being recognized in international rankings and main results of leading universities in Baltic countries (Latvia, Lithuania and Estonia) are included in table 2.

Table 2: The Times Higher World University Ranking (III)

Performance of Baltic universities in THES ranking (Situation on September 1, 2020)

World rank 2019	World rank 2020	University	Country
301-350	251-300	University of Tartu	Estonia
801+	601-800	University of Latvia	Latvia
601-800	801-1000	Tallin University of Technology	Estonia
601-800	801-1000	Vilnius University	Lithuania
-	801-1000	Tallin University	Estonia
-	801-1000	Vilnius Gediminas Technical university	Lithuania
801+	1001+	Kaunas University of Technology	Lithuania
801+	1001+	Riga Technical University	Latvia
-	1001+	Latvia University of Life Sciences and Technologies	Latvia
-	1001+	Vytautas Magnus university	Lithuania

Source: <https://www.timeshighereducation.com/world-university-rankings>

Taking into account the recent scientific discussions in academic publications and ranking results in different university ranking systems it was designed and conducted expert survey on most important aspects to be taken into consideration for taking management decisions at the respective university. Main indicators of descriptive statistics of international expert evaluations on higher education institutions rankings are included in table 2.

Table 3: Main indicators of descriptive statistics of international expert evaluations on higher education institutions rankings

Statistical indicators	Rankings of HEIs have significant role in the development of HEIs	It is important to define the accessible rankings position in the strategy of HEI			HEI must determine such goals and results of performance that favour the higher ranking position	Devoting of too great attention to the highest ranking positions causes the definition of incorrect priorities of the HEI development and restrict the ensuring of the main activities of HEI	How important should be the academic reputation survey in rankings?	How important should be the employer reputation survey in rankings?
		in the scale of the world	in the regional scale	in the national scale				
Mean	5,57	6,00	5,29	6,43	5,29	8,00	3,71	3,43
Standard Error of Mean	1,110	1,091	1,304	1,043	1,107	1,000	0,808	0,948
Median	6	8	8	8	7	9	3	2
Mode	8	8	8	8	7; 8	10	3	1; 2
Standard Deviation	2,936	2,887	3,450	2,760	2,928	2,646	2,138	2,507
Range	7	7	7	8	7	7	6	6
Minimum	1	1	1	1	1	3	1	1
Maximum	8	8	8	9	8	10	7	7

Source: author's calculations based on Evija Rusite conducted international expert survey, n=7; Evaluation scale 1 - 10, where 1 - fully disagree / absolute insignificant to 10 - fully agree / very significant

Data of expert evaluations indicate that most important (with higher average evaluations by experts) is “Devoting of too great attention to the highest ranking positions causes the definition of incorrect priorities of the HEI development and restrict the ensuring of the main activities of higher education institutions” and it is important to define the accessible rankings position in the strategy of higher education institution firstly in the national scale, than in the scale of the world and less important was ranking in the regional scale

4. CONCLUSION

University rankings are becoming more and more important for student attraction, research financing availability, employer's attitude to graduates for further employment options;

Several researchers have offered different approaches for university rankings and there are studies to use them for taking management decisions at the respective universities for university academic staff motivation but for international rankings still are used rather complicated but already recognized university ranking systems.

Higher education ranking experts have mentioned that it is important to define the accessible rankings position in the strategy of higher education institution firstly in the national scale, than in the scale of the world and less important was ranking in the regional scale

REFERENCES

- Alsmadi, I., Taylor, Z.W., Childs, J. (2020). U.S. News & World Report Best Colleges rankings: Which institutional metrics contribute to sustained stratification? *Scientometrics*, 124(3), 1851-1869.
- Bagley, S., Portnoi, L. (2014). Setting the Stage: Global Competition in Higher Education. *New Directions for Higher Education*, 168, 5-11.
- Berbegal-Mirabent, J., Ribeiro-Soriano, D.E. (2015). Behind league tables and ranking systems: A critical perspective of how university quality is measured. *Journal of Service Theory and Practice*, 25(3), 242-266.
- Collins, F.L., Park, G.-S. (2016). Ranking and the multiplication of reputation: reflections from the frontier of globalizing higher education. *Higher Education*, 72(1), 115-129.

- Csató, L., Tóth, C. (2020). University rankings from the revealed preferences of the applicants. *European Journal of Operational Research*, 286(1), 309-320.
- Doğan, G., Al, U. (2019). Is it possible to rank universities using fewer indicators? A study on five international university rankings. *Aslib Journal of Information Management*, 71(1), 18-37.
- Dowsett, L. (2020). Global university rankings and strategic planning: a case study of Australian institutional performance. *Journal of Higher Education Policy and Management*, 42(4), 478-494.
- Ferrer-Sapena, A., Erdogan, E., Jiménez-Fernández, E., Sánchez-Pérez, E.A., Peset, F. (2020). Self-defined information indices: application to the case of university rankings. *Scientometrics*, 124(3), 2443-2456.
- Hazelkorn, E. (2018). Reshaping the world order of higher education: The role and impact of rankings on national and global systems. *Policy Reviews in Higher Education*, 2(1), 4-31.
- Hazelkorn, E. (2014a). Reflections on a Decade of Global Rankings: What we've learned and outstanding issues. *European Journal of Education*, 49(1), 12-28.
- Hazelkorn, E. (2014b). Rankings and the global reputation race. *New Directions for Higher Education*, 168, 13-26.
- Hazelkorn, E. (2007). The impact of league tables and ranking systems on higher education decision making. *Higher Education Management and Policy*, 19(2), 1-24.
- Hosier, M., Hoolash, B.K.A. (2019). The effect of methodological variations on university rankings and associated decision-making and policy. *Studies in Higher Education*, 44(1), 201-214.
- Hou, A. (2012). Development of Taiwan's Research Excellence Initiative and Its Impact on Taiwan Higher Education. *Journal of International Higher Education*, 5(2), 70-73.
- Jabnoun, N. (2015). The influence of wealth, transparency, and democracy on the number of top ranked universities. *Quality Assurance in Education*, 23(2), 108-122.
- Kehm, B.M. (2014). Global university rankings - Impacts and unintended side effects. *European Journal of Education*, 49(1), 102-112.
- Marginson, S. (2007). Global university rankings: Implications in general and for Australia. *Journal of Higher Education Policy and Management*, 29(2), 131-142.
- Marginson, S., van der Wende, M. (2007). To rank or to be ranked: The impact of global rankings in higher education. *Journal of Studies in International Education*, 11(3-4), 306-329.
- Markpin, T., Premkamolnetr, N., Ittiritmeechai, S., Wongkaew, C., Yochai, W., Ratchatahirun, P., Lamchaturapatr, J., Sombatsompop, K., Kanok-Nukulchai, W., Inn Beng, L., Sombatsompop, N. (2013). The effects of choice of database and data retrieval methods on research performance evaluations of Asian universities. *Online Information Review*, 37(4), 538-563.
- Mathew, K.S., Cherukodan, S. (2018). Impact of scholarly output on university ranking. *Global Knowledge, Memory and Communication*, 67(3), 154-165.
- Rybinski, K. (2020). Are rankings and accreditation related? Examining the dynamics of higher education in Poland. *Quality Assurance in Education*, 28(3), 193-204.
- Rusite, E., Sloka, B. (2019). Importance of Academic Staff Attitude towards the Rankings of Higher Education Institutions, *Proceedings of International Scientific Conference "Economic and Social Development"*, 2019, 1194-1201.
- Shahjahan, R.A., Morgan, C. (2016). Global competition, coloniality, and the geopolitics of knowledge in higher education. *British Journal of Sociology of Education*, 37(1), 92-109.
- Shreeve, R.L. (2020). Globalisation or westernisation? The influence of global university rankings in the context of the Republic of China. *Compare*, 50(6), 922-927.
- THE - The Wall Street Journal/Times Higher Education (2020). Information on university ranking organization, available at https://www.timeshighereducation.com/rankings/united-states/2020#!/page/0/length/25/sort_by/name/sort_order/asc/cols/stats

The paper was supported by the National Research Programme project "INTERFRAME-LV"

Do Support Schemes Promote the Renewable Electricity in the Western Balkan Countries?

Fatbardha Morina¹

¹ Research Assistant, Department of Banking and Finance, Epoka University, Tirana, Albania, fmorina@epoka.edu.al, ORCID: <https://orcid.org/0000-0003-2460-7723>

Abstract: The role of the energy is fundamental in each economy and serves as the first input for manufacture and for our daily activity. Due to climate changes, the development of the renewable energy sector is crucial to provide energy for future generations and to save the environment by providing energy without emission. The investment in renewable energy projects required a high level of capital and in order to be profitable, the role of government is fundamental. The aim of this paper is to analyze the progress in renewable electricity in WBC with great renewable energy sources (RES) potential and the support from the government to promote energy from RES. The development of renewable energy contributes to economic growth and energy security. Analyzing the renewable energy sources and policies from each government toward renewable energy lead on the development of a new cooperation strategy among countries to produce renewable energy for international trade. The shift from fossil fuels to renewable energy it is seen as an alternative source to provide energy for future generation if in the near future we have lack of fossil fuels and to reduce the pollution in the environment.

Keywords: renewable energy, feed-in-tariffs, tradeable green certificates.

1. INTRODUCTION

Energy security is the prioritized issue among politicians, especially for countries that are energy import dependency. Fossil fuels such as oil and gas are the main sources that are used for many years to generate energy and to fulfill the energy demand. Since the oil-shocks in 1973 and 1978, the issue of energy security becomes a major concern. The fluctuation of oil prices, the shortage of fossil fuel resources and the fear of dependency on imports have increased the attention of policymakers to implement policies that become countries less energy import dependent. Also, the awareness on climate changes foster the development of strategies in favor of environmentally friendly energy policies with less pollution and more sustainable. The energy sector is the most significant contributor to environmental problems and consequently to climate change. Thus, the importance of energy and the challenges associated with it led to the building of well-designed policies and efficient structuring of energy markets. The European Union (EU) countries have putted some targets related to greenhouse gas (GHG) emissions that should be reduced with 20% by 2020 from 1990 levels (Saikku & Soimakallio, 2008). The deployment of renewable energy sources (RES) is considered the main solution to achieve environmental targets and energy security. Country energy' policies toward the development of renewable energy technologies provide positive externalities effects such as the production of energy with less pollution, increasing economic growth and creating job opportunities (Aune, Golombek, & Kittelsen, 2008). Different instruments across the EU countries are used to stimulate energy production from renewable energy sources such as feed-in tariffs (FIT), tradeable green certificates (TGC), tax credits or subsidies for investments. Also, in Western Balkan countries, the development of clean energy is one of the three strategic areas of investment framework together with infrastructure and SME development. WBC consist of six countries such as Albania, Bosnia and Herzegovina, Kosovo, Montenegro, the Republic of North Macedonia and Serbia. All countries want to be part of the EU and the stage for countries like Albania, North Macedonia, Serbia and Montenegro are official candidates. While Kosovo and Bosnia and Herzegovina are potential membership candidates. The energy sector in WBCs faces dual challenges, firstly the transition from a centralized state-controlled system to open and competitive markets and secondly as EU member states the challenge towards decarbonation. Low energy productivity is the main characteristic of Western Balkans since these countries have a common historical and economical background and emerge from the socialist era. As other transition economies, these countries have done a progress in energy productivity over the 10 years and the difference between transition economies and the European Union member states is moderate. Thus, the benefits of integrating renewable energy into their sustainable energy strategies seem crucial to fulfilling the gap between energy demand and energy supply.

The aim of this paper is to investigate the progress in renewable electricity in Western Balkan Countries and to examine the role of support schemes in promoting renewable energy. These countries have a higher potential to produce energy from renewable energy sources but the question is if they are utilizing renewable energy sources in a good way and the government is putting targets related to the share of energy generated from RES in order to foster their development.

2. SUPPORT SCHEMES IN THE WBCS

A stable framework for the promotion of energy from renewable energy sources is established in the European Union that tends to be a leader in the fight against climate change. But also, the support of the government with various support schemes is fundamental to achieve the target of 32% RE share in gross final consumption by 2030 among EU countries (Resch et al., 2019). The main support schemes related to renewable energy promotion in the EU are Feed-in tariffs (FITs), Feed-in premium (FIPs), Tradeable green certificate (TGC) and other support schemes. The feed-in tariff system provides a fixed amount to the operators for each unit of energy generated from RES and is considered with low risk since it provides stable income flows. Similarly, to the FIT system, plan operators under Feed in Premium support schemes have to market the electricity generator directly to the electricity market and they receive an additional payment on top of the electricity market prices. The main advantage of Feed in Premium is market orientation that ensures a remuneration of the electricity price for all RES-E power plants. Countries that operate under the Tradeable Green certificate, power plant operators receive a certification for the share of green energy generation and they can sell at a market that functions based on supply and demand and therefore provide additional income to the market price of the final energy sold. Other policies are in form of investments support, tax incentives and low interest loans for RES-E that support the development of mature technologies such as Photovoltaics (Held, Ragwitz, Gephart, de Visser, & Klessmann, 2014). In Western Balkans countries is established the feed in tariff policy to promote RES-E. Also, countries such as Albania and Croatia are moving more toward market-based support schemes such as feed-in-premium (FIP) systems in order to accelerate the investment framework.

3. INVESTIGATION OF RES POTENTIAL AND THE STATE OF RES-E

Western Balkan countries have a higher potential of RES and investigating the RES potential for each country could help in the policies related to the energy sector and especially given the importance for RES sectors that need to be further developed.

Albania is characterized by favorable conditions toward renewable energy generation due to its geographical position and natural resources. Currently, the contribution of hydropower to Albania energy consumption accounts for approximately half and the rest is fulfilled by coal. But although the high potential of hydropower, in most cases Albania is energy dependency from its neighbors. However, the country has high potential in renewable energy sources such as biomass, solar, energy and wind energy. But the main renewable energy technology that contributes to the final energy consumption in 2017 is from solar and biomass respectively 13.2 and 168 ktoe (NANR, 2017). In Albania are some projects to build small hydro plants and projects are facing challenges by residents and non-profit organizations, but two plants are under construction with a total capacity of 84 MW (WBIF, 2019).

Bosnia and Herzegovina possess potential of primary energy sources. It has large resources of coal reserves, hydro power potential. Since, the use of coal increases the pollution in the environment, finding alternative sources will be a solution. BiH is characterized by the high potential of geothermal energy, wind energy, solar and biomass energy (Leki, 2008). In order to promote the use of renewable energy form renewable energy sources, the Ministerial Council adopted the Decision in line with the Energy Community Treaty on the 18th of October 2012 and putted a target of 40% share of its renewable energy sources in the final consumption to be achieved before 2020 (NREAP, 2016).

The Republic of North Macedonia is endowed with good hydro, wind, and solar resources but the investment in renewable energy in the past decade have been limited. The energy demand is significantly covered with fossil fuel that was responsible for 54% of energy generation in 2017. Since the Republic of North Macedonia has a lack of fossil fuel resources, finding alternative resources to ensure energy is fundamental. Thus, the focus toward environmental issues and energy security is achieved through government renewable energy policies. Since 2016, the incentive to foster the development of solar thermal collectors and the use of pellets stoves is to reduce the Value Added Tax (VAT) from 18% to 5%. The contribution of renewable energy to final energy

consumption during 2017 is 4.8 ktoe for geothermal technology and 228.4 ktoe for biomass. Also, the republic of North Macedonia plans to extend the generation from solar PV up to 200 MW.

Kosovo The electricity in Kosovo is generated by two large and several small hydropower plants (HPPs) and around 98% of Kosovo’s electricity is provided by two lignite power plants (1171 MW) IRENA (2017). Kosovo has significant potentials to produce green energy by the use of renewable energy sources especially form wind and solar PV. Duo to mountainous terrain, only a fraction of wind can be used at cost-effective and wind speeds ranging from 4-6 m/s in most suitable identified areas. According to Azemi (2016) wind projects are not attractive for investors since they will provide a payback only after 12-13 years. In addition, the period of support schemes of 10 years is considered not enough and make this investment risky. In 2017, Kosovo has installed new hydropower production that has increased their capacity. Also, additional investment in solar PV projects is made with a total installed capacity of 602 KW(Zdravstva, 2018).

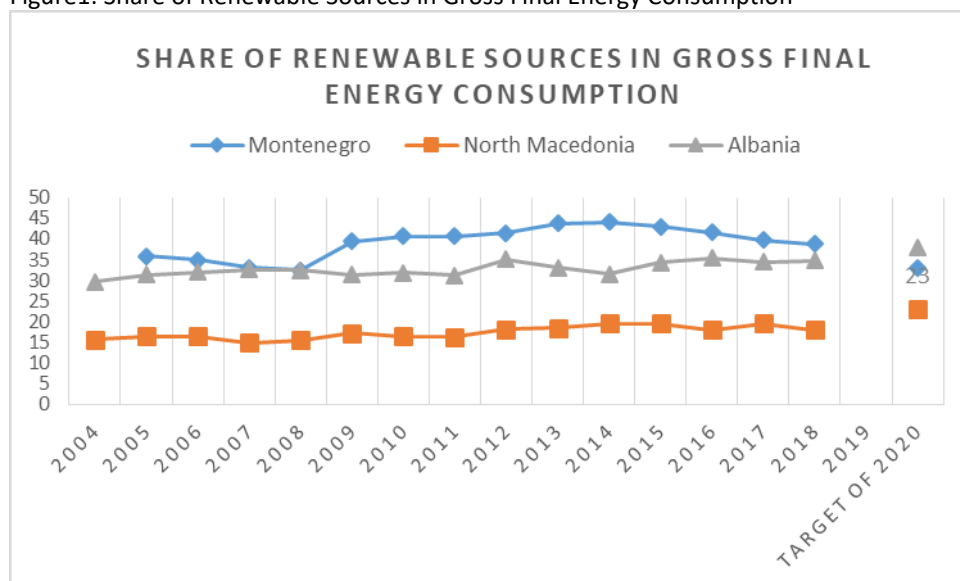
Montenegro ensures energy generation mainly by hydropower that plays an important role. During recently years the focus has changed toward solid biomass consumption in the heating and cooling sector. The target of 33% share of renewables in gross final energy consumption is overachieved in Montenegro. The plan to develop Solar PV and small hydro in Montenegro is considered an interesting investment option in the country with over 18MW installed by 2015 IRENA (2017). Montenegro has a favorable condition for solar PV since it has many hours of sunshine per year and investment in this sector is attractive for investors. On the other hand, wind projects face some obstacles related to the land lease and expropriation procedures.

Serbia has high and unused potential to produce energy from renewable energy sources. The Iban River, the Morava River, the Dube and the Drina River are considered as high potential for large hydropower plants. The study by Mikicic, Radicevic, & Djuricic (2006) show that Serbia has a high potential for wind energy that is about 20 TWh/year. Also, in Serbia are considerable potential for geothermal and hydrothermal installation (Karakosta, Flouri, Dimopoulou, & Psarras, 2012). The main problem that faces small projects is land right that restricts the investment that is considered risky by investors.

As it is shown in figure 1 and 2, all countries are close or near to their goals by 2020 related to the share of renewable energy in gross final energy consumption. The target for Albanian that should be committed in 2020 is 38% (NANR, 2019). In 2018, the share of renewables in the Gross Final Energy Consumption (GFEC) amounted to 35% that with the improvement of support schemes is expected to meet its 2020 target. North Macedonia is far away from its target of 23% and the share of RES to gross final energy consumption in 2018 is 18.11%.

In Montenegro, the share of RES exceeds the target of 33% in 2018. Meaning that the purpose to develop renewable energy generation is achieved and the support schemes seem to be effective and more attractive for investors to enlarge installation.

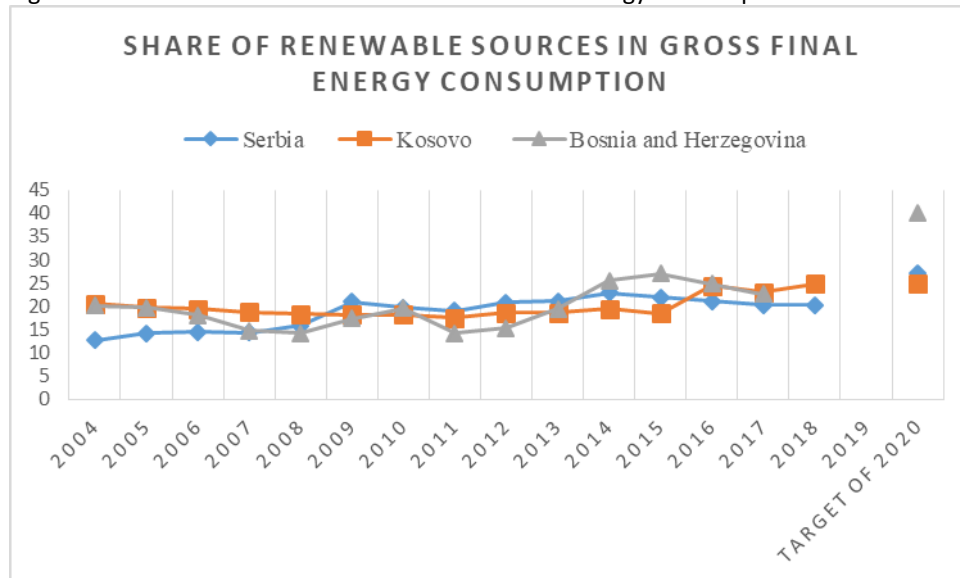
Figure1: Share of Renewable Sources in Gross Final Energy Consumption



Source : Eurostat

Serbia might not achieve the target of 27% share in final energy consumption in 2020. In 2018 the share of RES in GFEC was 20.32% meaning that is around 7% below projection. The share of renewable energy in Bosnia and Herzegovina was 22.7% in 2017 and the target to be achieved in 2020 is 40%. Action plans should be taken in order to create favorable investment conditions to enhance new installation and to increase the usage of green energy from RES. The situation is favorable in the case of Kosovo that the share of RE in 2018 is 24.89% near to its target of 25% in 2020.

Figure 2: Share of Renewable Sources in Gross Final Energy Consumption



Source : Eurostat

4. POLICY IMPLICATIONS

Western Balkan Countries (WBCs) are highly reliance on fossil fuels, despite the high potential to produce energy through the utilization of renewable energy sources. These countries are planning to add new coal power capacity by 2030 that is in contradiction with commitments under the Energy Community Treaty. Thus, improving air quality and reducing emissions in the energy sector is crucial for the region. Enhancing energy generation from renewable energy sources (RES) requires support from government and administrative procedures' facilities. Despite the difference among countries related to the share of RES-E in WBCs, the situation seems optimistic for achieving the target of 2020 since they have high renewable energy resources. In order to achieve the set target for 2020, countries are planning to meet mainly by small or large hydropower. Thus, to overcome the investment barriers and being a continuous project the effectiveness of support schemes is fundamental.

5. CONCLUSION

WBCs were characterized by low energy productivity and high reliance on fossil fuels. But, over the past 10 years, the energy sector faces many changes and uneven progress was made among WBCs. They face the challenging task of achieving the targets related to the share of renewable energy to final energy consumption putted by the Energy Community. Main barriers relay on high capital investment that needs the support from government to invest, the aging transmission and grid infrastructure, regulatory uncertainty related to support schemes, lack of finance. Despite the progress made in the energy sector, they are not well prepared to follow the decarbonization path implemented by the EU. The renewable energy sources that are widely adopted in WBCs are wind and solar PV. The development of renewable energy is enhanced through feed-in tariffs and directed towards hydropower. Thus, the use of renewable energy from RES is crucial for achieving objectives of energy policies such as economic development by creating new job opportunities; ensure energy supply and environment protection. Investment in RES capacities that are implemented through Feed-in Tariff support schemes are increased during recently years, but since they are in their early stages it is needed to revise these

policies in order to be more attractive for investors. As it is knowing the energy sector in these countries has an old transmission grid, problems with the infrastructure it needs financial support to promote renewable energy and to increase investments.

The effectiveness of support schemes in the Western Balkan region is tightly connected with the regulatory and institutional conditions. It is well known that renewable energy investment requires high capital investment but in order to be more attractive for investors in the region and to reduce the risk perception of the region, the strength of support schemes for renewable is fundamental.

REFERENCES

- Azemi, V. (2016), Coordinator, KOSID, Interview by M. Dukan, 26 February 2016
- Aune, F. R., Golombek, R., & Kittelsen, S. A. C. (2008). The European Energy Market-Challenges and Trends. In *Liberalizing European Energy Markets* (pp. 1–32). Edward Elgar Publishing.
- Held, A., Ragwitz, M., Gephart, M., de Visser, E., & Klessmann, C. (2014). Design features of support schemes for renewable electricity. <https://doi.org/DESNL13116>
- IRENA. (2017). Cost-Competitive Renewable Power Generation: Potential across South East Europe. International Renewable Energy Agency (IRENA). Abu Dhabi. Retrieved from https://irena.org/publications/2017/Jan/Cost-competitive-renewable-power-generation-Potential-across-South-East-Europe%0Ahttp://www.irena.org/-/media/Files/IRENA/Agency/Publication/2017/IRENA_Cost-competitive_power_potential_SEE_2017.pdf
- Karakosta, C., Flouri, M., Dimopoulou, S., & Psarras, J. (2012). Analysis of renewable energy progress in the western Balkan countries: Bosnia-Herzegovina and Serbia. *Renewable and Sustainable Energy Reviews*, 16(7), 5166–5175. <https://doi.org/10.1016/j.rser.2012.04.040>
- Leki, A. (2008). Energy Sector in Bosnia and Herzegovina: Current Status and Plans. In *Sustainable Energy Technologies: Options and Prospects* (pp. 321–329). Springer Netherlands.
- Mikicic, D., Radicevic, B., & Djuricic, Z. (2006). Wind energy potential in the world and in Serbia and Montenegro. *Facta Universitatis - Series: Electronics and Energetics*, 19(1), 47–61. <https://doi.org/10.2298/fuee0601047m>
- NANR. (2017). Albania Renewable Energy Progress Reports 2016-2017.
- NANR.(2019). Renewable Energy. National Agency of Natural Resources. <https://doi.org/10.1109/iccep.2011.6036306>
- NREAP. (2016). National Renewable Energy Action Plan of Bosnia and Herzegovina.
- Resch, G., Hiesl, A., Liebmann, L., Türk, A., Frieden, D., Neumann, C.,Mezosi, A. (2019). Study on 2030 overall targets for the Energy Community. Vienna.
- Saikkku, L., & Soimakallio, S. (2008). Top-down approaches for sharing GHG emission reductions: uncertainties and sensitivities in the 27 European Union Member States. *Environmental Science and Policy*, 11(8), 723–734. <https://doi.org/10.1016/j.envsci.2008.07.002>
- WBIF. (2019). Investing in clean energy in the Western Balkans.
- Zdravstva, M. (2018). Renewable Energy Progress Report of the Republic of Kosovo 2016-2017. Retrieved from <http://msh-ks.org/departamentet/departamenti-per-zhvillim-strategjik-shendetesor>

Cybersecurity challenges in Smart Cities – a Smart Governance Perspective

Gabriel-Cristian Sabou¹

Irina Maiorescu²

¹ The Bucharest University of Economic Studies, gabriel.sabou@com.ase.ro, Orcid: 0000-0001-6428-2930

² The Bucharest University of Economic Studies, irina.maiorescu@com.ase.ro

Abstract: There is a rising number of cities that choose to implement smart solutions for facilitating their administrative processes and for increasing the welfare of citizens. The transformation of a city into a smart one is not easy; it requires, besides a thorough planning of the Information and Communication Technology infrastructure in terms of usability and security, the cooperation, involvement and feedback of citizens in using it - the smart governance. The current paper analyses in the scientific literature the smart city challenges, focusing on smart governance and potential security issues threatening this component. Starting from these aspects, it proposes one smart governance web GIS (Geographical Information Systems) application designed for civic engagement in Bucharest, describing both the usability and security challenges it must answer to.

Keywords: web applications, GIS, smart cities, cyber security, smart governance

1. Introduction

In general, a smart city is considered as “smart” when it uses Information and Communications Technology (ICT) and the infrastructure to facilitate a better living for its citizens (Ijaz, Shah, Khan & Ahmed, 2016). One of the most widely adopted smart city models is the one created by the U.S. National Institute of Standards and Technology (NIST) (Khatoun & Zeadally, 2016) and it contains six categories to be taken into consideration: smart environment, smart mobility, smart economy, smart governance, smart people and smart living, with Internet of Things (IoT) as the enabling technology (Baig et al., 2017). All these components help a smart city having efficient urban services, smart buildings services and cyberspace services (Khatoun & Zeadally, 2017). Nevertheless, using technology for a smart city management is not without risks. Cyber security must be planned and included in every component of the smart city network, in order to avoid digital attacks that aim to access, modify or destroy sensitive information, to steal resources or to interrupt the normal flow of the processes (CISCO, 2020)

A research conducted by (Ferraz & Ferraz, 2014) classifies the security issues within a smart city into nine categories:

- (1) Access to information from applications
- (2) Information Tracking
- (3) Citizen Tracking
- (4) User/Citizen data loss
- (5) Crossed access to information in data centers
- (6) Crossed access in client side
- (7) Lack of Security in Depth
- (8) Viral effect in urban environment
- (9) Infection traceability and recovery.

From an analysis of the literature, however, it seems that the most common security threats in a smart city refer to location and individual privacy issues (Ijaz, Shah, Khan & Ahmed, 2016).

Privacy leakage in data may be prevented by using security and privacy techniques like encryption, anonymity and access control (Ferraz & Ferraz, 2014) (Elmaghraby & Losavio, 2014) Also, when looking to protect the privacy and availability of stored and processed data in cloud, clear text should be avoided. Encrypting data and sending cipher texts to the cloud server for storage and processing is necessary to prevent cyberattacks (Zhang, Ni, Yang, Liang, Ren, & Shen, 2017). According to (Gubbi, Buyya, Marusic & Palaniswami, 2013), the most frequent types of attacks on web applications refer to:

- (1) Injections
- (2) Broken Authentication.
- (3) Sensitive Data Exposure.

- (4) XML External Entities (XXE).
- (5) Broken Access Control.
- (6) Security Misconfiguration.
- (7) Cross-Site Scripting XSS.
- (8) Insecure Deserialization.
- (9) Using Components with Known Vulnerabilities.
- (10) Insufficient Logging & Monitoring.

A smart city collects privacy sensitive information from citizens and environment, processes and manipulates it, impacting people's lives (OWASP, 2020).

Indeed, it is important to protect retrieved data from the system, but it is just as important to ensure that the most useful and relevant data for the city is received from users and environment. Gaining the confidence of users and designing the most appropriate applications for their use is a challenge for developers, as citizens' involvement in using apps is essential for the smart dynamics of the city. The smart governance, which is different from e-government, requires those ICT solutions that improve decision-making processes through collaboration among various stakeholders, including government and citizens. (Pereira, Parycek, Falco & Kleinhans, 2018) Civic engagement is absolutely necessary for achieving smart governance.

Indeed, e-government aims to provide citizens with access to all information services through official government websites, obtaining thus efficient coordination between various institutions and feedback from citizens (Khatoun & Zeadally, 2017). However, smart governance goes further on, and involves the community in building the objective data needed by authorities to make decisions.

2. Problem formulation

As seen above, Smart governance relies on stakeholders' involvement in community problems. Hence, there is a need to develop an interactive online platform between authorities and citizens, companies, public institutions and other stakeholders, an online civic engagement platform.

2.1. The usability within online civic engagement platforms

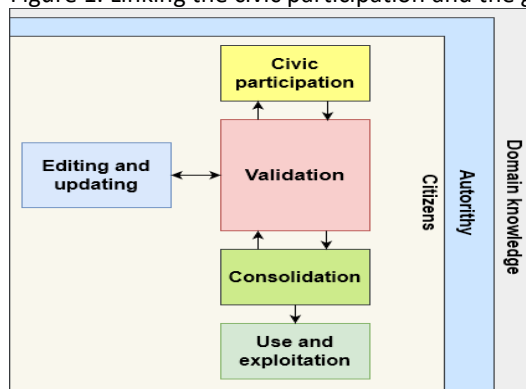
A useful online civic engagement platform for governance must facilitate good communication between all stakeholders, so that efficient appropriate decisions may be taken.

As it can be noticed, in Figure 1, an important feature is to allow civic participation and consultation about the policies of the city and about the future projects that are intended to be implemented. Here the citizens must be able to interact with the stakeholders implied in those projects, to share their opinions.

Also, the platform must allow gathering proposals and ideas from the local community, because the citizens and companies located in the city are the ones facing the problems within it.

Implementing within the platform the possibility to survey users' opinions is another benefic future for this kind of platforms, because in this way the authority may obtain objective data about specific questions, relevant for the city population.

Figure 1. Linking the civic participation and the governance for smart cities (Moreno-Ibarra & Torres-Ruiz, 2019)



The possibility to have direct communication between all stakeholders brings transparency and instant updates about the news and the progress of every project user contributed to or are interested about.

The design of the platform must provide those visual elements that will help users navigate and find easily their topics of interest. Using GIS for real time mapping of those issues signaled by users to authorities (i.e. environmental hazards, traffic and infrastructure problems, etc) may facilitate the overall understanding of city's sensitive areas and lead to better smart decision making. The Geographic Information System (GIS) is a suite of software destined for the management of various processes using the analysis of spatial data and information received.

GIS gives the possibility to organize information in layers displayed on maps and render 3D scenes, visually offering deeper insights to the scattered information, finding clusters, relationships and patterns (ESRI, 2020).

Web GIS can be defined as any GIS that uses web technology to communicate between a server and a client (A. Enterprise, 2020). Using a web platform, GIS based, where users can contribute with information, gives the authorities and stakeholders that complex visual understanding of various phenomena happening in the city and contributes to real time effective decision making for improving the problematic areas as resulted from analysis. The advantages of using such a platform are obvious, since the costs of repeatedly gathering relevant data from citizens in a statistically significant manner through surveys are incomparably higher.

Of course, validation and checking of retrieved data is required in order to edit and update the status of a certain location or event. With every new checked for validity information, database is more and more consolidated and appropriate for further analyses.

2.2. Protecting from Broken Authentication

Broken Authentication is a web vulnerability which happens when an attacker has access into a web application without proper credentials. When a user logs into his account, a session ID is created and this session corresponds only to that account. A valid session ID works for a certain duration of time which is established by the system designer (Hassan et al., 2018). If the web application is not crafted securely, the attacker may use some of these techniques to bypass users' credentials (GeeksforGeeks, 2020):

- *Credential stuffing* – the attacker has a standard list of many passwords and usernames and he may use brute-force for logging into user's account
- *Misconfigured Session Timeouts* – this happens when a user logs out from his account and the attacker may use the session ID of the user for logging in the user account.
- *Passwords attack* - are not properly hashed and salted – an attacker may gain access to the system's password database, and if the user passwords are not properly hashed and salted, then the user passwords are exposed (Hdiv, 2020).

3. Problem solution

When designing this application for Smart governance the two issues described above were addressed: security of authentication component and the usability of the web-GIS based platform component.

3.1. Security of authentication

Broken Authentication Vulnerability is a severe issue because it exposes the platform to attacks that may lead to data breaches and important financial losses (GeeksforGeeks, 2020)

Some of the preventive solutions are:

- *Multifactor authentication implementation* – setting several simultaneous authenticating means (password, answering questions, mobile confirmation, etc)
- *Password checking* – implementing a system in the registration phase for verifying if the user password is one commonly used passwords; also, here is important to set a certain level of complexity to be met by the password (length, types of mandatory characters or symbols to be used, etc)
- *Limiting access to account* or increasingly delay access as failed logs in occur. All failures should be logged and platform administrators should receive warning when credential stuffing, brute force, or other attacks are detected. (Hdiv, 2020)
- *Using a secure, built-in session manager* that generates a new random session ID with high entropy

after user's logging in. Session ID should not appear in the URL; it should be securely stored and invalidated when user is idle or after he logs out (Hdiv, 2020).

For the authentication part, there was needed both the interface – the *Front-end part*, where Bootswatch themes for Bootstrap were used (see Figure 2)

Figure 2. Registration form to web GIS application

The registration form is titled "Register" and features a user icon. At the top, a yellow banner indicates "Password must be at least 6 characters" with a close button. Below this are four input fields: "Name" (containing "Alexandru"), "Email" (containing "alex@yahoo.com"), "Password" (with five dots), and "Confirm Password" (with five dots). A green "Register" button is positioned below the password fields. At the bottom, there is a link that says "Have An Account? Login".

User registration requires email validation (multifactor validation) and, also, there was set a rejection message for those passwords not complex enough.

For the security of authentication *in the Back-end*, there were used: Node.js – a JavaScript runtime, Passport – authentication middleware for Node.js, mongoDB – for storing the data in the database and the following npm packages: bcryptjs, mongoose, passport-local, express-js-layouts, connect-flash and express session.

3.2. A web-based GIS design proposal for enhancing smart governance through civic engagement

After logging in, the user is able to see a list of areas where he can report a problem or suggest a solution for improvement. Each area has a specific color (for example, green for environment, red for traffic hazards, etc). After selecting the appropriate area of reporting (i.e. environment, infrastructure etc), a flag with the color of the selected area is available for user to place on the integrated city map. A pop up window is opened where the user can describe the noticed problem (see figure 3).

Figure 3. Mapping the problematic areas by users



This web-GIS based application contains several layers: the first layer is the base map layer, while the other layers give information about the various areas of interest.

More than 3 different users are required to pin point to a certain problem so that it is considered valid information and visually displayed as an issue on the map.

This information is stored in a MySQL database of the Apache server and is integrated with ArcGIS Server, being accessible for visualization in individual layers or overall layers by all stakeholders.

Validated information is sent in real time to destined authorities for further processing and decision making.

Conclusion

The way a city evolves into a Smart City depends both on the technology used and on the manner citizens and other stakeholders use this technology to send data and give feedback about day to day living in the city. The smart governance – one of the key components of a smart city, relies on the communication between stakeholders, on their active involvement in signaling problematic areas and suggesting improvement solutions. Because citizens come from various cultural and educational backgrounds, they are of all ages and have different understanding of technology, it is necessary to develop smart governance applications keeping this in mind.

Regardless of the design complexity, it is necessary to take into consideration the security of users' data – both personal and generated by them while using the platform. The current paper proposed an effective means of communication between Bucharest citizens and authorities, by using a web GIS based platform in order to signal various problems or to suggest potential solutions for the already acknowledged ones. This platform is described both in terms of steps taken to ensure users' personal data security and in terms of usability.

References:

- A. Enterprise. (2020, May 2). "About web GIS," Retrieved from <https://enterprise.arcgis.com/en/server/latest/create-web-apps/windows/about-web-gis.htm>.
- Baig, Z. A., Szewczyk, P., Valli, C., Rabadia, P., Hannay, P., Chernyshev, M., ... & Syed, N. (2017). Future challenges for smart cities: Cyber-security and digital forensics. *Digital Investigation*, 22, 3-13.
- CISCO. (2020, May 3). CISCO. Retrieved from <https://www.cisco.com/c/en/us/products/security/what-is-cybersecurity.html>.
- Elmaghraby, A. S., & Losavio, M. M. (2014). Cyber security challenges in Smart Cities: Safety, security and privacy. *Journal of advanced research*, 5(4), 491-497.
- ESRI. (2020, May 2). "What is GIS". Retrieved from <https://www.esri.com/en-us/what-is-gis/overview>.
- Ferraz, F. S., & Ferraz, C. A. G. (2014, December). Smart city security issues: depicting information security issues in the role of an urban environment. In 2014 IEEE/ACM 7th International Conference on Utility and Cloud Computing (pp. 842-847). IEEE.
- GeeksforGeeks. (2020, April 15). "Broken Authentication Vulnerability," Retrieved from <https://www.geeksforgeeks.org/broken-authentication-vulnerability/>.
- Gubbi, J., Buyya, R., Marusic, S., & Palaniswami, M. (2013). Internet of Things (IoT): A vision, architectural elements, and future directions. *Future generation computer systems*, 29(7), 1645-1660.
- Hassan, M. M., Nipa, S. S., Akter, M., Haque, R., Deepa, F. N., Rahman, M., ... & Sharif, M. H. (2018). Broken authentication and session management vulnerability: A case study of Web application. *International Journal of Simulation Systems, Science & Technology*, 19(2), 6-1.
- Hdiv.(2020, April 7)"What is broken authentication?", Retrieved from <https://hdivsecurity.com/owasp-broken-authentication>.
- Ijaz, S., Shah, M. A., Khan, A., & Ahmed, M. (2016). Smart cities: A survey on security concerns. *International Journal of Advanced Computer Science and Applications*, 7(2), 612-625.
- Khatoun, R., & Zeadally, S. (2016). Smart cities: concepts, architectures, research opportunities. *Communications of the ACM*, 59(8), 46-57.
- Khatoun, R., & Zeadally, S. (2017). Cybersecurity and privacy solutions in smart cities. *IEEE Communications Magazine*, 55(3), 51-59.
- Moreno-Ibarra, M., & Torres-Ruiz, M. (2019). Civic participation in smart cities: the role of social media. In *Smart Cities: Issues and Challenges* (pp. 31-46). Elsevier.
- [OWASP. (2020, March 14). Retrieved from <https://owasp.org/www-project-top-ten/>.
- Pereira, G. V., Parycek, P., Falco, E., & Kleinhans, R. (2018). Smart governance in the context of smart cities: A literature review. *Information Polity*, 23(2), 143-162.
- Zhang, K., Ni, J., Yang, K., Liang, X., Ren, J., & Shen, X. S. (2017). Security and privacy in smart city applications: Challenges and solutions. *IEEE Communications Magazine*, 55(1), 122-129.

Corporate Social Responsibility practice: Case of Small and Medium Enterprises (SME) In Ethiopia

Gemechu Abdissa (PhD Student)¹

Prof. Anna Töróné Dunay (Professor)²

¹Faculty of Economics and Social Sciences, Szent István University 1 Páter K. Str., Gödöllő, 2100, Hungary ,
gemechu.mtu@gmail.com OR shuremo.gemechu.abdissa@phd.uni-szie.hu, <https://orcid.org/0000-0002-7806-9388>

²Faculty of Economics and Social Sciences, Szent István University 1 Páter K. Str., Gödöllő, 2100, Hungary
Dunay.Anna@gtk.szie.hu, <https://orcid.org/0000-0003-0254-9243>

Abstract: The purpose of this study is to comprehend corporate social responsibility practices of business firms in Ethiopia particular to small and medium enterprises (SME). As the concept of corporate social responsibility is a recent phenomenon in Ethiopia like other developing countries, little studies have been made so far on the subject area. Systematic literature review was used to identify and analyze 42 corporate social responsibility articles collected from high quality scientific research data base. The review showed that corporate social responsibility commitment includes environmental conservation, stakeholder's involvement, economic growth, ethical approach, responsible practice, moral obligation, accountability, and corporate responsiveness. Even though some studies were conducted on corporate social responsibility practice in Ethiopian business context, most of them were focused on large firms and multinational companies. So, little attention was given to small and medium enterprise (SME) corporate social responsibility practice and very scant research works were found on this area. Thus, all stakeholders specially academicians, practitioners, and research institutes have to make an extensive research work on corporate social responsibility practice at small and medium enterprise level.

Key words: corporate social responsibility, small and medium enterprise, environmental conservation

Introduction

In today's competitive world, society expects more from business firms to be ethical and socially responsible more than the legal requirements. The most crucial force in all organization at the moment is the economic, environmental and sociopolitical shifts taking place in the world (Martínez, et al., 2018). Business stakeholders are more concerned about company engagement in numerous economic, environmental, and social aspects than solely profit making to stay in operation. In this regard corporate social responsibility is an ever-increasing important component of business world.

Even though the concept of corporate social responsibility was started to be studied in the mid- twentieth century, it has been significantly developed in the past two decades (Carroll & Shabana, 2010). Corporate social responsibility includes different aspects like stakeholder's involvement, economic growth, environmental conservation, ethical approach, responsible practice, moral obligation, accountability, and corporate responsiveness (Rahman & Post, 2012). Sustainability theory is one of the major streams of literatures targeting not only investors, but also the well-being of society and customers in the form of practices focusing at conserving natural environment (Valdez Juárez, 2017). The rise of international quality and environmental certifications are focused on corporate social responsibility indicates the importance of such certificate in increasing competitiveness among companies (Lee, 2008).

Corporate social responsibility conducted by business enterprises involves not only legal and economic commitments, but also other responsibilities towards society and including its contribution (Carroll, 2009). Carroll also indicates researchers agree that corporate social responsibility have a multiple advantage for organizations, community well-being, sustainability, labor rights, and human development for business profitability. Firms which have socially responsible strategies in their corporate social responsibility program have a competitive advantage and highly reputable in society (Yiu Chan, 2014). Study conducted by (Skowron-Grabowska et al., 2016) indicates, more than the financial dimension of a company, the social and environmental activities are much important for the operation of business enterprise.

Corporate social responsibility helps small and medium enterprises (SME) to gain several advantages like reputation, trust, motivation, attracting better employees, cost reduction and increased revenues (Zafar & Farooq, 2014). Since there are ample literatures that have various models to integrate and determine corporate social responsibility in big organizations, the best option for small and medium enterprise (SME) is to

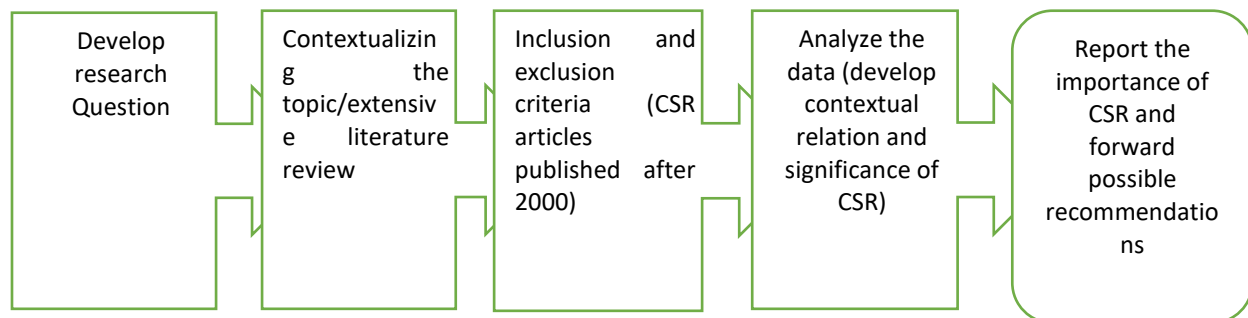
adapt these models and attempt to gain similar results as in large organization. The models are centered on activities, social, environmental (ethical-legal) and economic (Geva, 2008; Ma, 2012).

However, literatures regarding corporate social responsibility were centered on large business organization and multinational companies in which small and medium enterprises (SME) received little attention from researchers and practitioners (Attig, et al., 2013). There is a very scant research done on corporate social responsibility of small and medium enterprises in developing countries (Ciliberti, et al., 2008). The authors also indicate that contribution of corporate social responsibility in small and medium enterprises (SME) both in developed and developing nations has been seen as extra activity and are not forced to generate a report for environmental and social sustainability as required in large firms.

The aim of this study is to see corporate social responsibility practice in Ethiopian business context particular to small and medium enterprises. In relation to this, the study was concentrated on the concept, theories, activities, and implementation practice of corporate social responsibility.

Materials and Methods

For this particular study, the reviewer constructs research questions to see the practice of corporate social responsibility of business firms in Ethiopia specifically small and medium enterprises (SME). To get the expected research output, I gathered more than 65 articles from Google Scholar, ResearchGate, Emerald Insights, ScienceDirect, and Mendeley. The author also employed systematic literature review and develops the inclusion and exclusion criteria by focusing only on the concept of corporate social responsibility and papers published after 2000 only. Accordingly, 42 articles were reviewed for this specific study and the structure of the method is depicted as follows.



Source: own compile

Definition of Corporate Social Responsibility

Even though corporate social responsibility is enormously popular phrase in a modern society nowadays, there is no agreement between scholars and practitioners on precise meaning of corporate social responsibility. For instance, (McWilliams & Siegel, 2001), defines corporate social responsibility as “actions that appears to further some social goods, beyond the interest of the firm and that which is required by law”, whereas (Husted & Allen, 2006) considers corporate social responsibility to be wider as “ the obligation to respond to the externalities created by market action”.

Many scholars recognize that the definition of corporate social responsibility varieties depending on context or the environment. According to (Fassin et al., 2015; Schlierer et al., 2012), there is a big discrepancies in the judgment of social responsibilities in various nations which have culturally particular versions of social responsibilities understanding. The difference of the definition also depends on unique political ritual, government policies, or legal requirements regarding social responsibility of business organizations (Doh & Guay, 2006; Knudsen et al., 2015). The difference is also depend on the societal awareness of social responsibility and corporate social responsibility, between small and big industries, between individual corporate leaders (Colombo et al., 2019; Glavas, 2016).

The international labor organization portrayed the definition of the European commission as the most accepted definition for corporate social responsibility. It defines as “a management concept where by companies integrate social and environmental concerns in their business operation and interactions with their stakeholders on a voluntary basis” (European Commission, 2001 p.6). The commission also underlines “socially

responsible means not only fulfilling legal expectations, but also going beyond compliance and investing more into human capital, the environment and the relations with stakeholders”.

Corporate Social Responsibility (CSR) Practice and Small and Medium Enterprise (SME)

Even though small and medium enterprises (SME) have a vital role in implementing corporate social responsibility (Jansson et al., 2017), there is a lot of misunderstanding that corporate social responsibility is only applicable in giant and very productive business organizations (Meyer et al., 2017). In large business organizations as well as small and medium enterprise (SME), corporate social responsibility is serving as a channel in which the business firms can contribute to societal goal (Schmidt et al., 2018).

Execution of corporate social responsibility have a vital role to alleviate the adverse impacts of business operation on the community that causes the exhaustion of the natural resources in the long-run (Doshmanli et al., 2018; Melissen et al., 2018). Creating smooth relationship between the business and community and to be a forerunner of environmental preservation practice are among some of the mechanism for corporate social responsibility implementation (Van Woerkom & Van Zeijl-Rozema, 2017).

However, earlier studies confirmed that, corporate social responsibility implementation is different depending on the benefit of stockholders (Pirsch et al., 2007), company size (Lepoutre & Heene, 2006), and financial position (Mark-Ungericht & Weiskopf, 2007). Study conducted by (Deephouse & Carter, 2005) indicates that, the size of an enterprise can affect its reputation, performance, visibility and its relationship with the environment. Large firms are most active in practicing and implementing corporate social responsibility activities (Graafland, 2018). As (Kucharska & Kowalczyk, 2019) confirmed, company size affects corporate social responsibility practice, corporate performance, and reputation.

Theories of Corporate Social Responsibility

Enormous researches have been done on corporate social responsibility specifically in the past two decades (Jamali & Karam, 2018). So that we have now significant understanding of drivers and effects, the organizational importance, and contextual variety of corporate social responsibility (Aguinis & Glavas, 2012). However, in order to have a basic common understanding about corporate social responsibility, it is better to use theory reviews for explaining corporate social responsibility in more detail (Frynas & Yamahaki, 2016; Mellahi et al., 2016).

There are two major forms of theories which are employed in the corporate social responsibility literature (Mellahi et al., 2016). These are theories linked with the internal and external drivers of corporate social responsibility. Institutional theory, resource dependency theory, stakeholder theory, and legitimacy theory are external which analyses the relationship between the company and society. Whereas agency-based theory and resource-based theory are focus on identifying company management and social values of employees of the organization. The fundamental notions of each theories are presented in the following table.

Table.1 Theoretical Viewpoints on Corporate Social Responsibility

Theory	Fundamental Assumptions	Main CSR related rationale
Agency theory	Managers as agents have distinct incentives and objectives from their principal	CSR driven by alignments between agents and principals
Institutional theory	Firm’s survival and growth depend on acquiring legitimacy within institutional environments	CSR driven by conformity to different institutional context
Legitimacy theory	Firms operate on the basis of social contract with society and their survival and growth depend on legitimacy	CSR acts to retain congruence between society’s and organizational objectives
Resource based view	Performance differentials among firms are influenced by firm-specific non-market resources and capabilities	CSR acts as specialized skill or capability to gain a competitive advantage
Resource dependency theory	Firm’s survival and growth hinge on accessing requisite resources from external parties	CSR driven by dependence on key resources of specific external actors

Stakeholders theory	Firms are affected by stakeholder actions and therefore must attend to their interests	CSR driven by organization's relationships with specific external actors
---------------------	--	--

Source: (Frynas & Yamahaki, 2016)

Practice of Corporate Social Responsibility in Ethiopia

In developing countries like Ethiopia, corporate social responsibility is not a usual business activity and it is a recent phenomenon. The implementation of corporate social responsibility is very low in Ethiopia though the concept is discussed at colleges, universities and higher governmental levels (Potluri & Temesgen, 2008; Robertson, 2009). The study of (Elifneh, 2015) also shows that, there is no well-established ethical code of conduct for corporate social responsibility implementation and the governance system is mere control of decision making.

However, though it is on and off type without definite strategy and goals, there are some efforts to practice corporate social responsibility in large local business enterprises in Ethiopia. Dashen brewery factory, Ethiopian Airline, MIDROC (Mohammed International Development and Organization Companies), Awash Bank and ZTE (Zhong Xing Telecommunication Equipment) are some of the them (Asfaw et al., 2016). Non-Governmental Organizations (NGOs) in Ethiopia are focusing on rehabilitating the damage caused by irresponsible business practice rather than working proactively with government, stakeholders, and business corporation (T. S. Asfaw et al, 2017).

Most firms in Ethiopia are not thinking about corporate social responsibility, but instead, they are competing for economic survival as black market plays great role in country's economy (Nelson et al., 2013). However, people do not want only profit anymore, but would like to see companies to care about environment and social factors.

Conclusion and Recommendations

Corporate social responsibility conducted by business enterprises is not only the legal obligation, but also about the issue of survival and how to cope up with the rival firms. It helps small and medium enterprise (SME) to get the advantage of good reputation, trust, cost reduction, and large market shares. However, more than profit making, business firms needs to think about the social well-being and environmental conservation which seems to be implemented by business firms with good financial position. So that, by recognizing the importance of small and medium enterprises (SME) and its contribution for economic development, Ethiopian government have to work on capacitating and creating enabling environment like develop a very strict regulation which demands a report from each business firms at some specified time to ensure corporate social responsibility implementation.

In Ethiopia, the ideology of corporate social responsibility is not well-developed even in large companies let alone the small and medium enterprises. So, there is poor practice and implementation in this regard. Though there are some studies conducted on corporate social responsibility practice in Ethiopian context, most of them were focused on large firms and multinational companies and there is a very scant research works on small and business enterprise (SME) corporate social responsibility practice. Thus, academicians, practitioners, universities, research institutes, and business corporations have to conduct an extensive mega research that produces practical results which lays a ground for country's strategic framework of corporate social responsibility practice in Ethiopian business context.

References

- Aguinis, H., & Glavas, A. (2012). What We Know and Don't Know About Corporate Social Responsibility: A Review and Research Agenda. *Journal of Management*, 38(4), 932–968. <https://doi.org/10.1177/0149206311436079>
- Asfaw, T. S., Botes, V., & Mengesha, L. G. (2017). The role of NGOs in corporate environmental responsibility practice: evidence from Ethiopia. *International Journal of Corporate Social Responsibility*, 2(1). <https://doi.org/10.1186/s40991-017-0013-0>
- Asfaw, Y. A., Gebreegziabher, A. H., & Aregawi, H. K. (2016). Examining the Relationship between Corporate Social Responsibility and Financial Performance of Manufacturing Companies in Tigray Regional State, Ethiopia. *Ethiopian Journal of Business and Economics (The)*, 5(2), 214. <https://doi.org/10.4314/ejbe.v5i2.3>
- Attig, N., El Ghoul, S., Guedhami, O., & Suh, J. (2013). Corporate Social Responsibility and Credit Ratings. *Journal of Business Ethics*, 117(4), 679–694. <https://doi.org/10.1007/s10551-013-1714-2>

- Carroll, A. B. (2009). A History of Corporate Social Responsibility: Concepts and Practices. *The Oxford Handbook of Corporate Social Responsibility*, (May), 1–20. <https://doi.org/10.1093/oxfordhb/9780199211593.003.0002>
- Carroll, A. B., & Shabana, K. M. (2010). The business case for corporate social responsibility: A review of concepts, research and practice. *International Journal of Management Reviews*, 12(1), 85–105. <https://doi.org/10.1111/j.1468-2370.2009.00275.x>
- Ciliberti, F., Pontrandolfo, P., & Scozzi, B. (2008). Investigating corporate social responsibility in supply chains: a SME perspective. *Journal of Cleaner Production*, 16(15), 1579–1588. <https://doi.org/10.1016/j.jclepro.2008.04.016>
- Colombo, S., Guerci, M., & Miandar, T. (2019). What Do Unions and Employers Negotiate Under the Umbrella of Corporate Social Responsibility? Comparative Evidence from the Italian Metal and Chemical Industries. *Journal of Business Ethics*, 155(2), 445–462. <https://doi.org/10.1007/s10551-017-3503-9>
- Deephouse, D. L., & Carter, S. M. (2005). An examination of differences between organizational legitimacy and organizational reputation. *Journal of Management Studies*, 42(2), 329–360. <https://doi.org/10.1111/j.1467-6486.2005.00499.x>
- Doh, J. P., & Guay, T. R. (2006). Corporate social responsibility, public policy, and NGO activism in Europe and the United States: An institutional-stakeholder perspective. *Journal of Management Studies*, 43(1), 47–74. <https://doi.org/10.1111/j.1467-6486.2006.00582.x>
- Doshmanli, M., Salamzadeh, Y., & Salamzadeh, A. (2018). Development of SMEs in an emerging economy: Does corporate social responsibility matter? *International Journal of Management and Enterprise Development*, 17(2), 168–191. <https://doi.org/10.1504/IJMED.2018.090827>
- Elifneh, Y. (2015). The Corporate Social Responsibility Practices and Concerns of Addis Ababa University: Implications for Higher Learning Institutions in Ethiopia. *Ethiopian Journal of Business and Economics (The)*, 4(2), 309. <https://doi.org/10.4314/ejbe.v4i2.5>
- Fassin, Y., Werner, A., Van Rossem, A., Signori, S., Garriga, E., von Weltzien Hoivik, H., & Schlierer, H. J. (2015). CSR and Related Terms in SME Owner–Managers’ Mental Models in Six European Countries: National Context Matters. *Journal of Business Ethics*, 128(2), 433–456. <https://doi.org/10.1007/s10551-014-2098-7>
- Frynas, J. G., & Yamahaki, C. (2016). Corporate social responsibility: Review and roadmap of theoretical perspectives. *Business Ethics*, 25(3), 258–285. <https://doi.org/10.1111/beer.12115>
- Geva, A. (2008). Three models of corporate social responsibility: Interrelationships between theory, research, and practice. *Business and Society Review*, 113(1), 1–14. <https://doi.org/10.1111/j.1467-8594.2008.00311.x>
- Glavas, A. (2016). Corporate Social Responsibility and Organizational Psychology: An Integrative Review. *Frontiers in Psychology*, 7(February), 1–13. <https://doi.org/10.3389/fpsyg.2016.00144>
- Graafland, J. (2018). Does Corporate Social Responsibility Put Reputation at Risk by Inviting Activist Targeting? An Empirical Test among European SMEs. *Corporate Social Responsibility and Environmental Management*, 25(1), 1–13. <https://doi.org/10.1002/csr.1422>
- Husted, B. W., & Allen, D. B. (2006). Corporate social responsibility in the multinational enterprise: Strategic and institutional approaches. *Journal of International Business Studies*, 37(6), 838–849. <https://doi.org/10.1057/palgrave.jibs.8400227>
- Jamali, D., & Karam, C. (2018). Corporate Social Responsibility in Developing Countries as an Emerging Field of Study. *International Journal of Management Reviews*, 20(1), 32–61. <https://doi.org/10.1111/ijmr.12112>
- Jansson, J., Nilsson, J., Modig, F., & Hed Vall, G. (2017). Commitment to Sustainability in Small and Medium-Sized Enterprises: The Influence of Strategic Orientations and Management Values. *Business Strategy and the Environment*, 26(1), 69–83. <https://doi.org/10.1002/bse.1901>
- Kellerman, F. (2014). Furcht vor dem Bürgerkrieg; Die Regierung in der Ukraine geht härter denn je gegen Demonstranten vor - Die Eskalation könnte Strategie sein. *Die Welt*, COM(2001)(COM(2001)366final), 20–23. Retrieved from http://eur-lex.europa.eu/LexUriServ/site/en/com/2001/com2001_0366en01.pdf
- Knudsen, J. S., Moon, J., & Slager, R. (2015). Government policies for corporate social responsibility in Europe: A comparative analysis of institutionalisation. *Policy and Politics*, 43(1), 81–99. <https://doi.org/10.1332/030557312X656016>
- Kucharska, W., & Kowalczyk, R. (2019). How to achieve sustainability?—Employee’s point of view on company’s culture and CSR practice. *Corporate Social Responsibility and Environmental Management*, 26(2), 453–467. <https://doi.org/10.1002/csr.1696>
- Lee, M. D. P. (2008). A review of the theories of corporate social responsibility: Its evolutionary path and the road ahead. *International Journal of Management Reviews*, 10(1), 53–73. <https://doi.org/10.1111/j.1468-2370.2007.00226.x>
- Lepoutre, J., & Heene, A. (2006). Investigating the impact of firm size on small business social responsibility: A critical review. *Journal of Business Ethics*, 67(3), 257–273. <https://doi.org/10.1007/s10551-006-9183-5>
- Ma, J. (2012). A Study on the Models for Corporate Social Responsibility of Small and Medium Enterprises. *Physics Procedia*, 25, 435–442. <https://doi.org/10.1016/j.phpro.2012.03.108>
- Mark-Ungericht, B., & Weiskopf, R. (2007). Filling the empty shell. the public debate on CSR in Austria as a paradigmatic example of a political discourse. *Journal of Business Ethics*, 70(3), 285–297. <https://doi.org/10.1007/s10551-006-9111-8>
- McWilliams, A., & Siegel, D. (2001). Corporate social responsibility: A theory of the firm perspective. *Academy of Management Review*, 26(1), 117–127. <https://doi.org/10.5465/AMR.2001.4011987>

- Melissen, F., Mzembe, A. N., Idemudia, U., & Novakovic, Y. (2018). Institutional Antecedents of the Corporate Social Responsibility Narrative in the Developing World Context: Implications for Sustainable Development. *Business Strategy and the Environment*, 27(6), 657–676. <https://doi.org/10.1002/bse.2023>
- Mellahi, K., Frynas, J. G., Sun, P., & Siegel, D. (2016). A Review of the Nonmarket Strategy Literature: Toward a Multi-Theoretical Integration. *Journal of Management*, 42(1), 143–173. <https://doi.org/10.1177/0149206315617241>
- Meyer, M., Narjoud, S., & Granata, J. (2017). When collective action drives corporate social responsibility implementation in small and medium-sized enterprises: The case of a network of French winemaking cooperatives. *International Journal of Entrepreneurship and Small Business*, 32(1–2), 7–27. <https://doi.org/10.1504/IJESB.2017.086002>
- Nelson, J., Ishikawa, E., & Geaneotes, A. (2013). Developing inclusive models: A review of Coca-Cola’s manual distribution centers in Ethiopia and Tanzania. *Havard Kennedy School and International Finance Corporation*, 3(6), 511. <https://doi.org/10.2217/pmt.13.66>
- Pirsch, J., Gupta, S., & Grau, S. L. (2007). A framework for understanding corporate social responsibility programs as a continuum: An exploratory study. *Journal of Business Ethics*, 70(2), 125–140. <https://doi.org/10.1007/s10551-006-9100-y>
- Potluri, R. M., & Temesgen, Z. (2008). Corporate social responsibility: An attitude of Ethiopian corporates. *Social Responsibility Journal*, 4(4), 456–463. <https://doi.org/10.1108/17471110810909867>
- Rahman, N., & Post, C. (2012). Measurement Issues in Environmental Corporate Social Responsibility (ECSR): Toward a Transparent, Reliable, and Construct Valid Instrument. *Journal of Business Ethics*, 105(3), 307–319. <https://doi.org/10.1007/s10551-011-0967-x>
- Robertson, D. C. (2009). Corporate social responsibility and different stages of economic development: Singapore, Turkey, and Ethiopia. *Journal of Business Ethics*, 88(SUPPL. 4), 617–633. <https://doi.org/10.1007/s10551-009-0311-x>
- Rodríguez Martínez, A., Moyano Fuentes, J., & Jiménez Delgado, J. J. (2018). Estado actual de la investigación en Responsabilidad Social Corporativa a nivel organizativo: consensos y desafíos futuros. *CIRIEC-España, Revista de Economía Pública, Social y Cooperativa*, (85), 143. <https://doi.org/10.7203/ciriec-e.85.6858>
- Schlierer, H. J., Werner, A., Signori, S., Garriga, E., von Weltzien Hoivik, H., van Rossem, A., & Fassin, Y. (2012). How Do European SME Owner-Managers Make Sense of “Stakeholder Management”? Insights from a Cross-National Study. *Journal of Business Ethics*, 109(1), 39–51. <https://doi.org/10.1007/s10551-012-1378-3>
- Schmidt, F. C., Zanini, R. R., Korzenowski, A. L., Junior, R. S., & do Nascimento, K. B. X. (2018). Evaluation of sustainability practices in small and medium-sized manufacturing enterprises in Southern Brazil. *Sustainability (Switzerland)*, 10(7). <https://doi.org/10.3390/su10072460>
- Skowron-Grabowska, B., Tomski, P., Dunay, A., & Csaba, B. I. (2016). Multidimensionality of Decision-Making of Corporate Social Responsibility in the Strategy of Enterprises. *Zeszyty Naukowe Politechniki Częstochowskiej Zarządzanie*, 24(1), 7–16. <https://doi.org/10.17512/znpcz.2016.4.2.01>
- Valdez Juárez, L. E. (2017). Corporate Social Responsibility: Its Effect on SMEs. *Journal of Management and Sustainability*, 7(3), 75. <https://doi.org/10.5539/jms.v7n3p75>
- Van Woerkom, P. M., & Van Zeijl-Rozema, A. (2017). Improving local implementation of an MNC’s global CSR strategy: The importance of stakeholders. *International Journal of Business Environment*, 9(3), 247–265. <https://doi.org/10.1504/IJBE.2017.10008888>
- Yiu Chan, L. (2014). UW Tacoma Digital Commons Corporate Social Responsibility of Multinational Corporations Recommended Citation. Retrieved from https://digitalcommons.tacoma.uw.edu/cgi/viewcontent.cgi?article=1018&context=gh_theses
- Zafar, F., & Farooq, M. (2014). Corporate social responsibility in small and medium enterprises to achieve organizational benefits. *International Journal of Scientific and Engineering Research*, 5(1), 2276–2283.

Reverse Logistics Process of Used Plastics Water Bottles Supply Chain in Ethiopia: Review

Gemechu Abdissa (PhD Student)¹

Csaba Bálint Prof. Dr. Illés (Professor)²

¹ Faculty of Economics and Social Sciences, Szent István University 1 Páter K. Str., Gödöllő, 2100, Hungary ,
gemechu.mtu@gmail.com OR shuremo.gemechu.abdissa@phd.uni-szie.hu, <https://orcid.org/0000-0002-7806-9388>

² Faculty of Economics and Social Sciences, Szent István University 1 Páter K. Str., Gödöllő, 2100, Hungary ,
(Illes.B.Csaba@gtk.szie.hu), <https://orcid.org/0000-0001-9546-2897>

Abstract: Reverse logistics supports the idea of a circular economy in changing the linear business version of product flow to a model of closed material energy cycles. The principle of reverse logistics involves return policy administration, product recall protocol, repairs processing, product packaging, parts management, recycling product disposition management to enhance environmental sustainability. The purpose of this study is to review reverse logistics practice of plastic bottle manufacturers in Ethiopia. Moreover, the study also proposes Business Model Canvas (BMC) for plastic bottle business owners by describing the nine building blocks of the model. The legal framework of plastic bottles waste management in Ethiopia is also one part of the review. According to different studies regarding the used plastic bottle water waste disposal in Addis Ababa, capital city of Ethiopia, more than 75% of the plastic wastes are not circular. Incineration, landfilling and thrown the used plastic bottles to the roadside is highly visible in the environment which makes the city and the surrounding areas dirty and unhealthy for living. Even though plastic waste disposal regulations were formulated, due to lack of community awareness on solid waste management and negligence of waste proclamations, almost all towns of Ethiopia were affected by plastic waste materials like other developing countries. So, it is recommended for all stakeholders; government, business owners, plastic bottle water producers, and community at large must give due consideration to waste disposal particular to the non-biodegradable wastes in urban and rural areas of Ethiopia. As a business solution for plastic bottle producers, it is better to practice the business canvas model described in this paper.

Key words: Reverse logistics, Supply Chain, environmental sustainability, business canvas model, circular economy.

Introduction

It is undeniable that reverse logistics is attracting the interest of researchers and industrial practitioners due to its value for supply chain performance and the expanded demands from various stakeholders. As Govindan et al. (2015) reveals, it is long time since customers are more aware than ever about environmental matters and pushing companies to apply reverse logistics in their supply chain process. Furthermore, Vanalle et al. (2017) and Zhu & Geng (2013) indicates, business organizations are incorporating reverse logistics in their supply chain in reaction to rigorous environmental rules established by authorities, rival force and managers' commitment. Likewise, the society in which the companies run their business require them to implement environmentally sensible practices, and forcing the organizations to include reverse logistics in to their strategic plan and business process (Abdullah & Yaakub, 2015).

Managers of business organization are under the pressure of environmental awareness to run their business sustainably by applying the triple bottom line agenda: economic, environmental and social dimensions. Nowadays, the use of bottled water has been increased and supposed to increase in the future as world population is growing. The boosted consumption of bottled water over the tap water is accredited to the consumers preferences, marketing promotion, portability and cleanness of the bottled waters (Saylor, Prokopy, & Amberg, 2011). The impact of bottled water on overall environmental pollution is very high due to ineffective waste management and emissions as a result of polyethylene terephthalate (PET) recycling procedure (Chilton, Burnley, & Nesaratnam, 2010). But the objective may not be realized without collaboration of all actors in business operation. One of the mechanisms are implementation of green supply chain management (GSCM) and joint attitudes are essential for firms pursuing to reduce their effect on the sustainability of environment to gain a competitive advantage (Vachon & Klassen, 2007).

Habitually, most manufacturing firms cannot give due attention to reverse logistics process which have an adverse effect on the environment, rather they are concentrating on forward logistics activities (Azevedo,

Carvalho, & Cruz Machado, 2011). Environmental preservation is a joint program of business owners and government on power both in developed and developing countries. Ethiopia is among the countries taking an action to make and implement the green economy. Plastic bottles are one of the solid wastes that affects the environment negatively. Currently, large number of the community in urban areas of Ethiopia favor to utilize bottled water at home, work place, or hotels without proper consideration of its impact on environment of the plastic package of water used(Ensermu, 2014). Therefore, the objectives of this study are;

- to overview reverse logistics process of used plastic bottles of water package in Ethiopia,
- legal frameworks of plastic bottle waste managements in Ethiopia, and
- Forward canvas model for business solution of plastic bottle manufacturers in Ethiopia.

Materials and Methods

For this particular study, the reviewer constructs research questions to see the practice of Reverse Logistics Process of Used Plastics Water Bottles Supply Chain in Ethiopia. To get the expected research output, I gathered more than 80 articles from google scholars, research gates, emerald insights, science directs, Web of Science, and mendeley. The author also employed systematic literature review and develops the inclusion and exclusion criterias by focusing only on the concept of corporate social responsibility and papers published after 2000 only. Accordingly, 41 articles and published annual reports were reviewed for this specific study and the structure of the method is depicted as follows.

Reverse Logistics: Overview

Rogers & Tibben-lemcke (2001) defined reverse logistics by emphasizing recycling as a way firms can become ecofriendly as the environmental effects of the supply chain can minimized by the actions taken in the supply chain process. According to the European working group, reverse logistics is defined as “the process of planning, implementing, and controlling backward flow of raw materials, in process inventory, packaging and finished goods from a manufacturing or used point to a point of recovery or point of proper disposal” as cited in (de Brito & Dekker, 2004). The principle of reverse logistics involves return policy administration, product recall protocol, repairs processing, product packaging, parts management, recycling product disposition management (Greve & Davis, 2013).

The ultimate goal of reverse logistics is minimizing utilization of energy and raw materials by plastic producers which in turn have a positive effect for environmental protection in sustainable development(Graczyk & Witkowski, 2011). Accordingly, reverse logistics is a crucial role in building green supply chain and its significance have been widely acknowledged. For instance, reverse logistics has established qualified association like Reverse Logistics Executive Council (RLEC) in United States of America which work together with academic circle, and the European commission supports REVLOG and RELOOP projects which work on reverse logistics(Rogers & Tibben-lemcke, 2001). The restructure of the supply chain to manage material returns is crucial to efficiently recycle, remanufacture or disposing of wastes(Dowlatshahi, 2005).

Due to its economic and environmental significance, reverse logistics are becoming demanded by all stakeholders (Ilgin, 2011). The objectives of reverse logistics are to reduce activities that have a negative impact on the environment. Validating this statement, Ashby et al. (2012) affirm the main goal of reverse logistics is to get rid of environmental waste like hazardous wastes, energy, emission and solid waste (used bottles) that endangers the environment. Incorporating tangible reverse logistics routines into the company’s supply chain have a great advantage for the organization as well as the environment. Reverse logistics lowers waste and improve company’s profits(Lau & Wang, 2009), and gives support for the organization to take action to the ever fluctuating demands of customers and the community at large (Guta et al., 2014).

Business owners in developing countries are very rare in applying the reverse logistics in the supply chain for their discarded plastic bottles after used. Nevertheless, in most developing countries, reverse logistics in the supply chain encompasses substantial size of the informal economy (Kinobe, Gebresenbet, Niwagaba, & Vinnerås, 2015). Moreover, the reverse logistics chains in developing economies are not coordinated and depend on recyclables collected from waste dispensing vans and provisional trash dumpsites (Matter, Dietschi, & Zurbrügg, 2013).

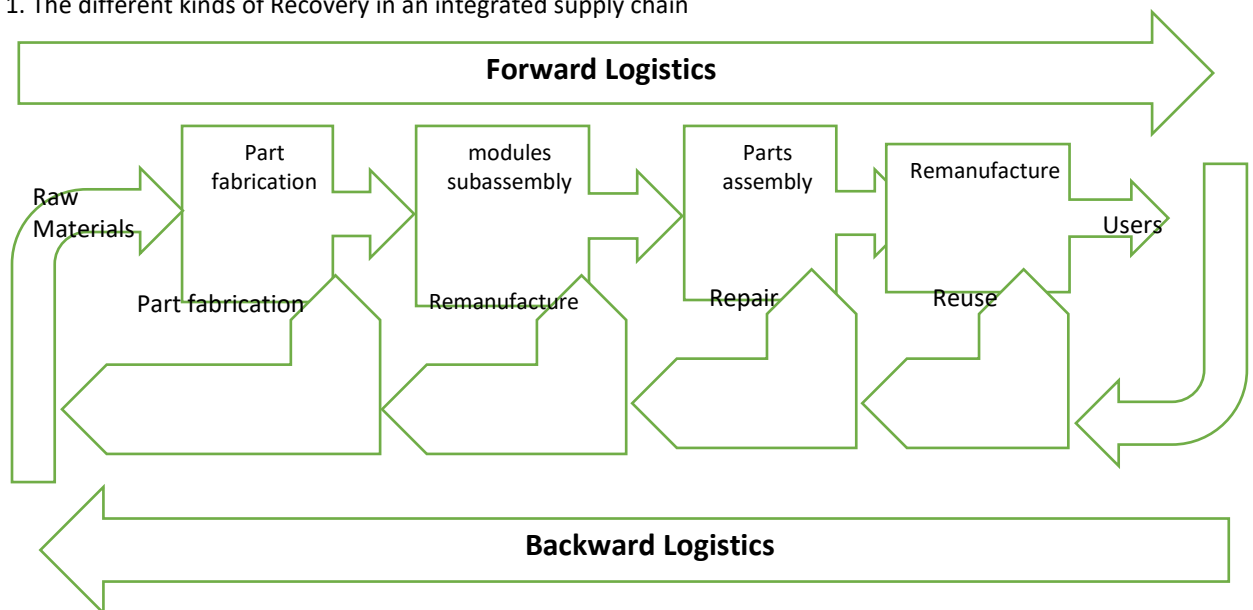
As natural resources are scarce and most of them are unrenovable, unwise and an increased usage have been damaging their existence in the future(Boryczko, Hołda, & Kolenda, 2014). Due to sustainability issue, it is important to adopt one of the alternatives of sustainable waste management like recycling to safeguard our scarce natural resources. Rather than focusing on waste disposal approaches, it is better to consider a waste as a later additional resources (Huysman et al., 2015). Since recycling is the process of changing wastes to materials that have an economic value, there is a chance to reduce the quantity of waste collected and disposal (Matter et al., 2013).In nut shell, Reverse logistics powered by factors such as environmental laws, firms' responsibility, financial, and quality service of customers (Nnorom & Osibanjo, 2008).

Reverse Logistics Activities

Reverse logistics supports the clue of a circular economy in changing the linear business version of materials movement to a model of closed material energy cycles. Employing reverse logistics flow to reduce, reuse, and recycle wastes help company to build a good image (Van Seters Richard HG, 1990). There are many activities in reverse logistics idea that the firm needs to keep on returned materials and must distinguish viable place for the returned products (i.e. production line, distribution, reassembly lines). Because of the varieties of products in the reverse flow, there are many options of reverse logistics activities (Thierry, Salomon, van Nunen, & van Wassenhove, 1995). These are direct reuse, repair, refurbishing, remanufacturing, cannibalization, recycling, incineration, and landfilling.

Reuse is one of the main activities of reverse logistics in which the product can be utilized once more for similar function it was made originally. Seles et al. (2016) portrayed reuse includes the salvaging of any element of the product that has been come back to the organization that have retain some form of value. Moreover, reuse entails cleaning of used products, getting back of functional packaging materials, refurbishing and repair(Guta et al., 2014). From all reverse logistics systems, reuse is deemed as the most eco-friendly waste management practice(Amemba, 2013).

Fig. 1. The different kinds of Recovery in an integrated supply chain



Graczyk & Witkowski (2011) discussed some of the reverse logistics activities as follows; repairing is to bring back the used materials to working orders though the quality of the repaired materials is not as good as the original product. Refurbishing is to regain some qualities of used products though it is less precise when compared to the new ones. It involves the incorrect modules and substituting with working parts. The objectives of remanufacturing are to make the used product as new as the original one. In cannibalization, only few portions of the used products which are recoverable can be selected and reused. In recycling, the returned product identity is not preserved as in the case of the previous activities. The purpose of recycling is to reuse the used products as raw materials to manufacture new products. In European countries like Germany and UK, 75 percent of the metals are recycled from the abandoned parts(Thierry et al., 1995).

Recent studies show that the distribution of packed bottle water to the Ethiopian domestic and international market is increasing at an alarming rate as the community prefer bottled water more than the taped water. However, environmental experts and the country's regulation regarding the environment provoked the issue of environmental sustainability since the plastic water package is not ecofriendly. So that, reverse logistics is not an option to implement for Ethiopian companies producing packed water in order to recycle/reuse the plastic packages after collecting from the end users since it lasts hundreds of years to decompose (Ensermu, 2014).

There are several possible putting locations of waste plastic in the environment including disposal in landfills, recycling, incineration, and unregulated dumping (Joshi, Seay, & Banadda, 2019). According to Ensermu (2014) findings regarding the used bottled water disposal in Addis Ababa Ethiopia, only 3.5% of the used plastic bottles are returned to collectors for recycling, while 35.9%, 37.3% and 23.2 % of the used plastic water bottles are throwing in rubbish bin, reused, and disposed anywhere respectively. There are many factors contributing to the low performance of solid waste management in Ethiopia. For instance, financial problems and lack of experience on; waste reduction, recycling of wastes, finding energy option, waste separation and composition are some of the challenges (Regassa, Sundaraa, & Seboka, 2011).

Legal Framework of Reverse Logistics and Solid Waste Management

To have a concrete picture and understanding of the existing waste management method and their compatibility with environmental legislations and the resulting effect, it is helpful to explore the legal systems that govern waste. Governments and concerned organizations establish regulation to make pressure on business firms to implement green practices such as reverse logistics. As Govindan et al. (2015) indicates the European case, the Waste Electrical and Electronic Equipment (WEEE) directives dictates producers of electrical and electronic materials to collect, recycle and recover their used products. In addition to this, state members are obliged to strive to meet the long term goal of recycling 50% of their households waste under the waste (European Parliament and Council, 2008). This directive pushes all governmental and non-governmental organizations to build approaches of recycling plastics materials.

Japan has a legislative on recycling (containers and packaging recycling Act, 1997) in the Asian sub-region which forces business owners to collaborate in realizing recycle and reuse of plastic materials. Most industry owners are strictly following the environmental rule by integrating reverse logistics in their supply chain. For instance, the study made by Darnall et al. (2008) and Laosirihongthong et al. (2013) shows that companies are determined to implement green practice like reverse logistics in order to save their business from legal consequences related to environmental laws. Likewise, in the case of Africa, Adebambo & Adebayo, (2014) revealed that food and beverage companies of Nigerian are obliged to incorporate reverse logistics in to their supply chain due to environmental policies.

Even though the country has environmental proclamation on waste disposal, it does not explicitly explain about plastic water bottles after usage. Regardless of the country proclamation, nearly all used plastic materials in Ethiopia does not substantiate the law and affecting the sustainability of environment. Due to lack of community awareness on solid waste management and negligence of waste proclamations, almost all towns of Ethiopia were affected by plastic waste materials similar to other developing countries (G/michael, 2002; Kassaye, 2018). So, plastic manufacturers, government, non-government organizations, civic societies, and organizations working on environmental issues are the key partners of the business model.

Business Model canvas (BMC) for plastic bottle manufacturers in Ethiopia

The business model canvas shows the complete picture of the building blocks of business development. The selected business solution will boost the performance of plastic water bottle manufacturers by showing the pillars to be considered during the operation to sustain the business development.

Value proposition

According to the country cluster of EUROMAP – European Plastics and Rubber Machinery (Organizer, 2020) confirms that, Ethiopia's plastics industry is fast growing. Ethiopia imports virgin plastic raw materials (100%) mainly from Middle East, Europe and Asia. So, the implementation of the circular flow of plastic bottles have many significances for the country. First, it reduces company's dependency on virgin plastic raw materials imported from the abroad by enabling to use the recyclable bottles as secondary raw materials and becomes

more economical as it alleviate the costs associated with the imports of primary plastic raw materials from Middle East, Europe and Asia. Environmentally, it helps to reduce wastes from used plastic bottles and make the surrounding clean and conducive to live in. Second, the job opportunity created for individuals who collects the used plastic bottle from households, universities, hotels, recreational areas and from anywhere to return to the factory to be recycled. Finally, the circular business solution contributes to the plastic bottle manufacturers and the economic development of the country is significant because of the job opportunity for the citizen, the individual per capital (income) has increased, more tax revenue stream for the government.

Key Resources and Activities

Recycling is the method of utilizing recuperated materials to produce a new product. For biological items like plastics, the idea of recovery can also extend to involve energy recovery, where the calorific worth of the substance is used by regulated incineration as a power. This idea is the foundation of the 4Rs policy in waste management idiom: - in declining order of environmental attractiveness-reduce, reuse, recycle(material), and recover(energy), with landfill as the least desirable waste management method(Hopewell et al. 2009). There are some recovery alternatives for typical products such as reusing, recycling, remanufacturing, and refurbishing. From all this recovery options, recycling is more suitable for bottled water products. The main fabric of plastic bottles is polyethylene terephthalate (PET) which can be simply recycled and reprocessed in making plastic bottles(Matar et al. 2014). These activities require financial support from donors and government of Ethiopia for environmental preservation and sustainability, new technologies to back up the recycling process and energy saving, creativity (entrepreneurial ability for new ideas), used plastic bottles and manpower to collect the wastes, sorting and transporting.

Key Partnership

Among the key partners in circular business model, government play the role of formulating rules and regulation to enact the plastic bottle waste management. The Federal Democratic Republic of Ethiopia has endorsed many international conventions to mitigate the problem of solid waste management in the country (Kassahun & Birara, 2018). According to solid waste management proclamation of Ethiopia FDRE (2007), emphasize the importance of community engagement to avoid the negative impact of solid wastes that enhance the benefits from the wastes. Article 8 of sub-article (1) of the proclamation states, “it shall be unlawful to put on the market any plastic bag that that is not labeled to how whether it is biodegradable or not”. Additionally, sub article (2) of Article 8 of the proclamation indicates, it is prohibited to grant permission for the manufacturers or importation of any nonbiodegradable plastic bags with a wall thickness of 0.03 millimeters and less than 0.03 millimeters.

Customer Segment and Relationship

Customer is a backbone of all types of business. Hotels, restaurants, governmental institution like universities, sectoral office, urban dwellers, and non-governmental organizations are the key customer segment in the model. So, having a good relationship with this customer segment for plastic bottle water have a competitive advantage. Awareness creation on non-biodegradability of the plastic bottles, having long term contractual agreement with key customers on recycling, building company image to get a position in the minds of key customer segment.

Distribution Channel

The other key element of the business model is product and service distribution channels. Horvath et al. (2018) stated, rather than searching for new suppliers, it is cost advantageous to use the current supply chains. Moreover, using sharing platform where products and services are shared among customers is a new and cost advantageous system of product distribution method. In addition to this, practicing reverse logistics in supply chain process helps the plastic bottle manufacturers to be competitive in the business environment.

Cost structure and Revenue Streams

The cost structure of the circular business solution as stated by Horvath et al., (2018) includes research and development; feasibility studies such as, profitability, pilot test, SWOT analysis, production cost, capital and operating cost estimation; technology selection – both mechanical and electrical; environmental compliance audit; channel cost-raw materials and vendor selection. The revenue streams come from government and non-government financial supports; cost reduction due to the shift from virgin raw materials to recyclable secondary plastics bottles.

Table 1: The Business Model Canvas (BMC) of used plastic bottles in Ethiopia.

Key Partners: <ul style="list-style-type: none"> ▪ Government ▪ Plastic bottle manufacturers ▪ NGOs ▪ Civic societies 	Key Activities: <ul style="list-style-type: none"> ▪ Reuse ▪ Remanufacturing ▪ Recycling ▪ Refurbishing 	Value Proposition: <ul style="list-style-type: none"> ▪ Environmental friendly waste management. ▪ Energy saving ▪ Economical usage of resources ▪ Improved society life (clean environment)
Key Resources: <ul style="list-style-type: none"> ▪ Finance support from government and other donors ▪ Collected plastic bottles from customers (Secondary raw materials) ▪ Entrepreneurial skills ▪ Technology 	Customer Segment: <ul style="list-style-type: none"> ▪ Hotel owners ▪ Universities and government organizations ▪ Urban dwellers 	Distribution Channel: <ul style="list-style-type: none"> ▪ Green supply chain (forward and reverse logistics) process. ▪ Involving Wholesalers and retailers of manufactured plastic bottled water and used plastic water packages. ▪ Sharing with government waste management system.
Customer Relation: <ul style="list-style-type: none"> ▪ Delighting the customer by delivering more than their expectation ▪ Contractual agreement which will be forced by environmental regulation for long term relationship in the supply chain process. ▪ Business promotion and awareness creation. 	Cost Structure: <ul style="list-style-type: none"> ▪ Feasibility analysis (expenses of the study for the business viability). ▪ Cost of collecting used bottles, ▪ Overhead cost and related operational costs. 	Revenue Stream: <ul style="list-style-type: none"> ▪ Reduced cost due to recyclable bottles (less price for secondary raw materials). ▪ Promotion of the business by government and international NGOs (financial support and other incentives). ▪ Its acceptance by society which increase market share

Source: Summarized from reviewed papers (own compilation)

Conclusion

Reverse logistics strengthens the idea of circular economy by shifting the linear business model of product movements to the green supply chain by getting return the used items to points of their origin to be reused or remanufactured. Managers and policy makers are considered as the forefront in implementing the triple bottom line principle: economic, social and environmental to sustain economic development. Recently, consumption of bottled water is increasing due to aggressive market promotion, convenience of the package to use at home, recreation areas, at hotel, and on transport. Even though Ethiopia is one of the countries who accepts to implement green economy, consumers are throwing solid wastes like used plastic bottles everywhere on roadsides though few of them are giving back to the bottle collectors to recycle or reuse.

Among the different activities of reverse logistics like reuse, repair, refurbishing, remanufacturing, recycling and incineration; landfill is the most undesirable waste disposal mechanism. Reusing, recycling, remanufacturing, and refurbishing are also the different options of recovering used products. Since the main

fabric of plastic bottles is polyethylene terephthalate (PET) which can be easily recycled and reprocessed in making water bottles, recycling is the best alternative to recover used bottled water products.

Green supply chain is pressured by rules and regulations set by governments and other institutions working on environmental preservation. Ethiopia has endorsed many international conventions on green environment to reduce effects of the used plastic bottles waste. However, due to lack of community awareness and producer negligence, most used plastic bottles and wastes are not recycled. Landfilling and incineration which are not favorable for the environment are the most way of plastic bottle waste disposal in Ethiopia.

In line to the reverse logistics process in supply chain, business canvas model (BCM) is a best business solution in circular transition. Ethiopia is one of the countries who accepts to implement green economy. The business solution model describes the key elements in business operation that have economical, environmental, and social advantage. The current review focused on reverse logistics of plastic bottles in Ethiopia. Future researches can focus on plastic waste management in the country to safeguard the environment and community at large.

Reference

- Abdullah, N. A. H. N., & Yaakub, S. (2015). The pressure for reverse logistics adoption among manufacturers in Malaysia. *Asian Journal of Business and Accounting*, 8(1), 151–178.
- Adebambo, O., & Adebayo, I. T. (2014). Empirical Study of the Effect of Reverse Logistics Objectives on Economic Performance of Food and Beverages Companies in Nigeria. *International Review of Management and Business Research*, 3(3), 1484–1494.
- Amemba, C. S. (2013). Green Supply Chain Best Practices in Hospitality Industry in. *Global Journal of Commerce & Management Perspective*, 2(3), 7–18.
- Ashby, A., Leat, M., & Hudson-Smith, M. (2012). Making connections: A review of supply chain management and sustainability literature. *Supply Chain Management*, 17(5), 497–516. <https://doi.org/10.1108/13598541211258573>
- Azevedo, S. G., Carvalho, H., & Cruz Machado, V. (2011). The influence of green practices on supply chain performance: A case study approach. *Transportation Research Part E: Logistics and Transportation Review*, 47(6), 850–871. <https://doi.org/10.1016/j.tre.2011.05.017>
- Boryczko, B., Hořda, A., & Kolenda, Z. (2014). Depletion of the non-renewable natural resource reserves in copper, zinc, lead and aluminium production. *Journal of Cleaner Production*, 84(1), 313–321. <https://doi.org/10.1016/j.jclepro.2014.01.093>
- Chilton, T., Burnley, S., & Nesaratnam, S. (2010). A life cycle assessment of the closed-loop recycling and thermal recovery of post-consumer PET. *Resources, Conservation and Recycling*, 54(12), 1241–1249. <https://doi.org/10.1016/j.resconrec.2010.04.002>
- Darnall, N., Jolley, G. J., & Handfield, R. (2008). Environmental management systems and green supply chain management: Complements for sustainability? *Business Strategy and the Environment*, 17(1), 30–45. <https://doi.org/10.1002/bse.557>
- de Brito, M. P., & Dekker, R. (2004). A Framework for Reverse Logistics. *Reverse Logistics*, 3–27. https://doi.org/10.1007/978-3-540-24803-3_1
- Dowlatshahi, S. (2005). A strategic framework for the design and implementation of remanufacturing operations in reverse logistics. *International Journal of Production Research*, 43(16), 3455–3480. <https://doi.org/10.1080/00207540500118118>
- Ensermu, M. (2014). Trends in Bottled water Use Survey in Addis Ababa : Implication on Reverse Logistics of Bottled Water Manufacturing in Ethiopia. *International Journal of Science and Research*, 3(9), 934–942.
- European Parliament and Council. (2008). Directive 2008/98/EC of the European Parliament and of the Council of 19 November 2008 on waste and repealing certain directives (Waste framework. LexUriServ. Do, 3–30. <https://doi.org/2008/98/EC.; 32008L0098>
- FDRE. (2007). Solid waste management proclamation. *Federal Negarit Gazeta*, 8.
- G/michael, G. (2002). Domestic Solid Waste Management in Mekelle. 152.
- Govindan, K., Soleimani, H., & Kannan, D. (2015). Reverse logistics and closed-loop supply chain: A comprehensive review to explore the future. *European Journal of Operational Research*, 240(3), 603–626. <https://doi.org/10.1016/j.ejor.2014.07.012>
- Graczyk, M., & Witkowski, K. (2011). Reverse logistics processes in plastics supply chains. *Total Logistic Management*, no. 4(4), 43–55.
- Greve, B. C., & Davis, J. (2013). Recovering Lost Profits by Improving Table of Contents. *Ups*.
- Guta, B., Ababa, A., McLeod, F., Allen, J., Vijayan, G., Kamarulzaman, N. H., ... Zailani, S. H. M. (2014). RELATIONSHIP BETWEEN REVERSE LOGISTICS PRACTICES AND ORGANIZATIONAL PERFORMANCE (The Case of East Africa Bottling Share Company) Ababa University in Fulfillment of the Requirements for the Degree of Masters of Arts in Logistics and Supply Chain Management. *International Journal of Supply Chain Management*, 3(1), 2226–3624. <https://doi.org/10.11648/j.ijefm.20150306.14>
- Hopewell, J., Dvorak, R., & Kosior, E. (2009). Plastics recycling: Challenges and opportunities. *Philosophical Transactions of the Royal Society B: Biological Sciences*, 364(1526), 2115–2126. <https://doi.org/10.1098/rstb.2008.0311>

- Horvath, B., Mallinguh, E., & Fogarassy, C. (2018). Designing Business Solutions for plastic waste management to enhance circular transitions in Kenya. *Sustainability (Switzerland)*, 10(5). <https://doi.org/10.3390/su10051664>
- Huysman, S., Debaveye, S., Schaubroeck, T., Meester, S. De, Ardente, F., Mathieux, F., & Dewulf, J. (2015). The recyclability benefit rate of closed-loop and open-loop systems: A case study on plastic recycling in Flanders. *Resources, Conservation and Recycling*, 101(June), 53–60. <https://doi.org/10.1016/j.resconrec.2015.05.014>
- Ilgin, M. A. (2011). The disassembly line: balancing and modeling, by S.M. McGovern and S.M. Gupta. *Production Planning & Control*, 22(7), 723–724. <https://doi.org/10.1080/09537287.2011.584780>
- Joshi, C., Seay, J., & Banadda, N. (2019). A perspective on a locally managed decentralized circular economy for waste plastic in developing countries. *Environmental Progress and Sustainable Energy*, 38(1), 3–11. <https://doi.org/10.1002/ep.13086>
- Kassahun, T., & Birara, E. (2018). Assessment of Solid Waste Management Practices in Bahir Dar City, Ethiopia. *Pollution*, 4(2), 251–261. <https://doi.org/10.22059/poll.2017.240774.311>
- Kassaye, A. Y. (2018). Contemporary institutional solid waste management practices of Haramaya University, Eastern Ethiopia. *African Journal of Science, Technology, Innovation and Development*, 10(2), 219–238. <https://doi.org/10.1080/20421338.2018.1443412>
- Kinobe, J. R., Gebresenbet, G., Niwagaba, C. B., & Vinnerås, B. (2015). Reverse logistics system and recycling potential at a landfill: A case study from Kampala City. *Waste Management*, 42, 82–92. <https://doi.org/10.1016/j.wasman.2015.04.012>
- Laosirihongthong, T., Adebajo, D., & Choon Tan, K. (2013). Green supply chain management practices and performance. *Industrial Management & Data Systems*, 113(8), 1088–1109. <https://doi.org/10.1108/IMDS-04-2013-0164>
- Lau, K. H., & Wang, Y. (2009). Reverse logistics in the electronic industry of China: A case study. *Supply Chain Management*, 14(6), 447–465. <https://doi.org/10.1108/13598540910995228>
- Matar, N., Jaber, M. Y., & Searcy, C. (2014). A reverse logistics inventory model for plastic bottles. *International Journal of Logistics Management*, 25(2), 315–333. <https://doi.org/10.1108/IJLM-12-2012-0138>
- Matter, A., Dietschi, M., & Zurbrugg, C. (2013). Improving the informal recycling sector through segregation of waste in the household - The case of Dhaka Bangladesh. *Habitat International*, 38, 150–156. <https://doi.org/10.1016/j.habitatint.2012.06.001>
- Nnorom, I. C., & Osibanjo, O. (2008). Overview of electronic waste (e-waste) management practices and legislations, and their poor applications in the developing countries. *Resources, Conservation and Recycling*, 52(6), 843–858. <https://doi.org/10.1016/j.resconrec.2008.01.004>
- Organizer, L. (2020). Review on plastprintpack Ethiopia 2019. (June).
- Regassa, N., Sundaraa, R. D., & Seboka, B. B. (2011). Challenges and Opportunities in Municipal Solid Waste Management: The Case of Addis Ababa City, Central Ethiopia. *Journal of Human Ecology*, 33(3), 179–190. <https://doi.org/10.1080/09709274.2011.11906358>
- Rogers, D. S., & Tibben-lemcke, R. (2001). *JOURNAL OF BUSINESS LOGISTICS*, Vol.22, No. 2, 2001 129. 22(2), 129–148.
- Saylor, A., Prokopy, L. S., & Amberg, S. (2011). What's wrong with the tap? Examining perceptions of tap water and bottled water at Purdue University. *Environmental Management*, 48(3), 588–601. <https://doi.org/10.1007/s00267-011-9692-6>
- Seles, B. M. R. P., de Sousa Jabbour, A. B. L., Jabbour, C. J. C., & Dangelico, R. M. (2016). The green bullwhip effect, the diffusion of green supply chain practices, and institutional pressures: Evidence from the automotive sector. *International Journal of Production Economics*, 182, 342–355. <https://doi.org/10.1016/j.ijpe.2016.08.033>
- Thierry, M., Salomon, M., van Nunen, J., & van Wassenhove, L. (1995). Strategic Issues in Product Recovery Management. *California Management Review*, 37(2), 114–135. <https://doi.org/10.2307/41165792>
- Vachon, S., & Klassen, R. D. (2007). Supply chain management and environmental technologies: The role of integration. *International Journal of Production Research*, 45(2), 401–423. <https://doi.org/10.1080/00207540600597781>
- Van Seters Richard HG, D. A. (1990). *Journal of Organizational Change Management*. *Journal of Organizational Change Management Organization Development Journal Iss Leadership & Organization Development Journal*, 3(6), 349–361. Retrieved from <http://dx.doi.org/10.1108/09534819010142139%5Cnhttp://%5Cnhttp://dx.doi.org/10.1108/01437730910981935>
- Vanalle, R. M., Ganga, G. M. D., Godinho Filho, M., & Lucato, W. C. (2017). Green supply chain management An investigation of pressures, practices, and performance within the Brazilian automotive supply chain. *Journal of Cleaner Production*, 151, 250–259. <https://doi.org/10.1016/j.jclepro.2017.03.066>
- Zhu, Q., & Geng, Y. (2013). Drivers and barriers of extended supply chain practices for energy saving and emission reduction among Chinese manufacturers. *Journal of Cleaner Production*, 40, 6–12. <https://doi.org/10.1016/j.jclepro.2010.09.017>

The effect of Foreign Direct Investment (FDI) on Industrialization: case of Ethiopian Economy

Gemechu Abdissa (PhD Student) ¹

Csaba Bálint Prof. Dr. Illés (Professor) ²

¹Faculty of Economics and Social Sciences, Szent István University 1 Páter K. Str., Gödöllő, 2100, Hungary ,
gemechu.mtu@gmail.com OR shuremo.gemechu.abdissa@phd.uni-szie.hu, <https://orcid.org/0000-0002-7806-9388>

² Faculty of Economics and Social Sciences, Szent István University 1 Páter K. Str., Gödöllő, 2100, Hungary ,
(Illes.B.Csaba@gtk.szie.hu), <https://orcid.org/0000-0001-9546-2897>

Abstract: Among the techniques used to stimulate foreign investment to boost industrialization in developing countries like Ethiopia is by increasing the inflow of foreign direct investment (FDI). Hence, the main objective of this study is to assess the effect of foreign direct investment on industrialization of Ethiopian economy by gathering secondary data from published reports of world bank, international monetary fund, world investment reports; and scientific studies from high quality research database indexed Scopus, ResearchGate, ScienceDirect, Mendeley, and google scholar. The data gathered was analyzed by using charts to see the trend of the data over some selected years.

The empirical reviewed papers revealed a positive relationship between foreign direct investment and industrialization. From report analysis, foreign direct investment inflow to Ethiopia is increasing though there are some fluctuations due to political unrest in the country since 2014. In relation to this, over the same selected years analysis when the FDI inflow increases, the contribution of the industrial sector to country's gross domestic product (GDP) growth surpass that of agriculture and service sector.

It was concluded from the finding that foreign direct investment has a substantial effect on industrialization of economy. It was recommended that, the government should revise any policy bottlenecks that disgusts foreign investors to reap the technology transfer, new production system, and managerial skill sharing to build industry-based economy which guarantee for sustainable development and growth.

Key Words: foreign direct investment inflow, industrialization, sustainable development, gross domestic product, developing country

1. Introduction:

Researchers agreed that industrialization plays a vital role for sustainable development which has a long-lasting benefit for country's economic growth. According to (Szirmai & Verspagen, 2015), industrialization can accelerate economic growth by which countries can create more considerable variety of goods and service. Foreign direct investment (FDI) is perceived as a major instrument of technology transfer throughout countries as the inflow of foreign direct investment (FDI) comprises discovering about new technology, materials and new production system (Bodman & Le, 2013). In addition to this, the author also indicates Foreign direct investment (FDI) can fast-track growth in the form of generating employment, fulfilling the huge investment demands, and sharing knowledge and managerial skills in the host country.

To undertake trade liberalization and market economy, Ethiopian government has carried out significant economic reform in 1992 aiming at removing trade barriers and controlled economy (Astatike & Assefa, 2006). Along with the structural transformation of the country's economy, government of Ethiopia also revised the industrial policy which found as the central challenge of growth and development in order to create an enabling policy framework for foreign direct investment (FDI) inflow.

Since the 1992 economic reform in Ethiopia, a comprehensive industrial policy was formulated in 2002/03 which was more specific, and many implementation strategies were developed to realize its effectiveness. According to (Gebreyesus, 2016), among the successive development plans which were designed to implement the industrial policies are; plan of action for sustainable development and eradication of poverty (PASDEP) 2005/6-2009/10, sustainable development and poverty reduction program (SDPRP) 2002/03-2004/05, growth and transformation plan I (GTP-I) 2010/11-2014/15, growth and transformation plan II (GTP-II) 2015/16-2019/20.

According to the analysis of (Haile, 2015), though the first growth and transformational plan was centered on agricultural sector, the second growth and transformational plan was focused on urbanization and industrial

sector. Following the implementation of this policies, substantial amount of foreign direct investment (FDI) inflow was recorded in the history of the country's investment and industrial course.

Thus, the theme of this study is to show the influence of foreign direct investment (FDI) on Ethiopian industrialization and economic contribution of foreign direct investment (FDI) inflows to the country.

2. Related Literature Review

There is an insight in the literature that industrialization can generate jobs opportunity and thus reduce unemployment (Athukorala & Sen, 2015), reduce poverty, hasten technological development, and boost economic expansion and growth (Hausmann et al., 2005; Kimura & Chang, 2017). According to (Ortiz et al., 2009), industrialization can benefit the country through employment generation, stimulation of other sector of the economy, development of skilled manpower, improved economic growth and development. The study of (Abdullah & Egb, 2010) argue that the advancement of new systems for production and technology depends on the modernization process of large scale manufacturing plants.

Despite this understanding of industrialization, less actions have been taken in most African countries industrial development in meaningful way (Chen et al., 2015). In the process of industrialization, socio-economic, financial institutions and political ideology of a country play an important role though foreign direct investment (FDI) takes the lion share for industrialization of the host country (Samouel, 2014).

Most of the literatures focused on the impact of foreign direct investment on economic growth and little studies have been made on the impact of foreign direct investment on industrialization specially in Africa. Among the studies made on the subject area, some findings showed that a positive relationship between foreign direct investment (FDI) and industrialization of countries. For instance, study conducted by (Yao & Wei, 2007) indicated that there is a positive relationship between production efficiency and foreign direct investment (FDI) as FDI is the main channel of technology and knowledge transfer. The study of (Danmola et al., 2017) pointed the positive influence of foreign direct investment on manufacturing output and the effect is statistically significant.

The positive influence of foreign direct investment on industrialization confirms the effectiveness of policy reform of Ethiopian government on industrial policy and trade liberalization. The Ethiopian government made the reform to boost the efficiency and productivity, as well as to increase the competitiveness of the industrial sector. The implication of the policy is to maintain sustainable economic development by giving priority for local investment which is the prerequisite for foreign direct investment. Enabling environment like infrastructures and conducive industrial policy are the founding stone to attract foreign investors.

However, the study of (Gui-Diby & Renard, 2015) indicates negative relationship between foreign direct investment (FDI) and industrialization after they look into the effect of foreign direct investment (FDI) inflows on industrialization of African countries. Likewise, (Njangang et al., 2018) also found negative relationship between foreign direct investment (FDI) and industrialization after they conduct the study on the impact of Chinese foreign direct investment on industrialization of African countries.

There are some debating issues on the link between foreign direct investment and export performance of a country. Transfer of technology, linkage to new market, and experience sharing are among the common views through which foreign direct investment supports export of host country's performance. However, there are some studies that shows foreign direct investments are competing for domestic investments and directly focusing on domestic market without substantially increasing export performance (Bhatt, 2013).

Though foreign direct investment encourages the export performance of countries, getting the full benefit is depending on the negotiating power of host country (Zhang, 2005). Foreign direct investment increases productivity by not only firms receive foreign capital but also via spillover effect in which foreign direct investment can negatively affect resource allocation that slow down economic activities in the presence of distortionary economic policy (Kutan & Vukšić, 2007).

3. Materials and Methods

Research shows that industrialization have a vital role in economic development of a country through production of variety of goods and services. In addition to this, foreign direct investment (FDI) can be perceived

as a pacemaker for industrialization through technology transfer, sharing knowledge and managerial skill in the host country.

The objective of this study is to see the influence of foreign direct investment (FDI) on industrialization of Ethiopian economy. To attain the research objective, the researcher gathered articles and secondary data from high quality research database like Google Scholars, ResearchGate, ScienceDirect, Emerald Insight, World Bank Reports, International Monetary Fund (IMF) reports, World Investment Reports by focusing on foreign direct investment and its influence on growth and development. The secondary data gathered from reports was analyzed by using charts to see the trend of the data over some selected years. Literature reviews was used to see the statistical significance of the impact and relationship between foreign direct investment and industrialization.

4. Discussion and Analyses

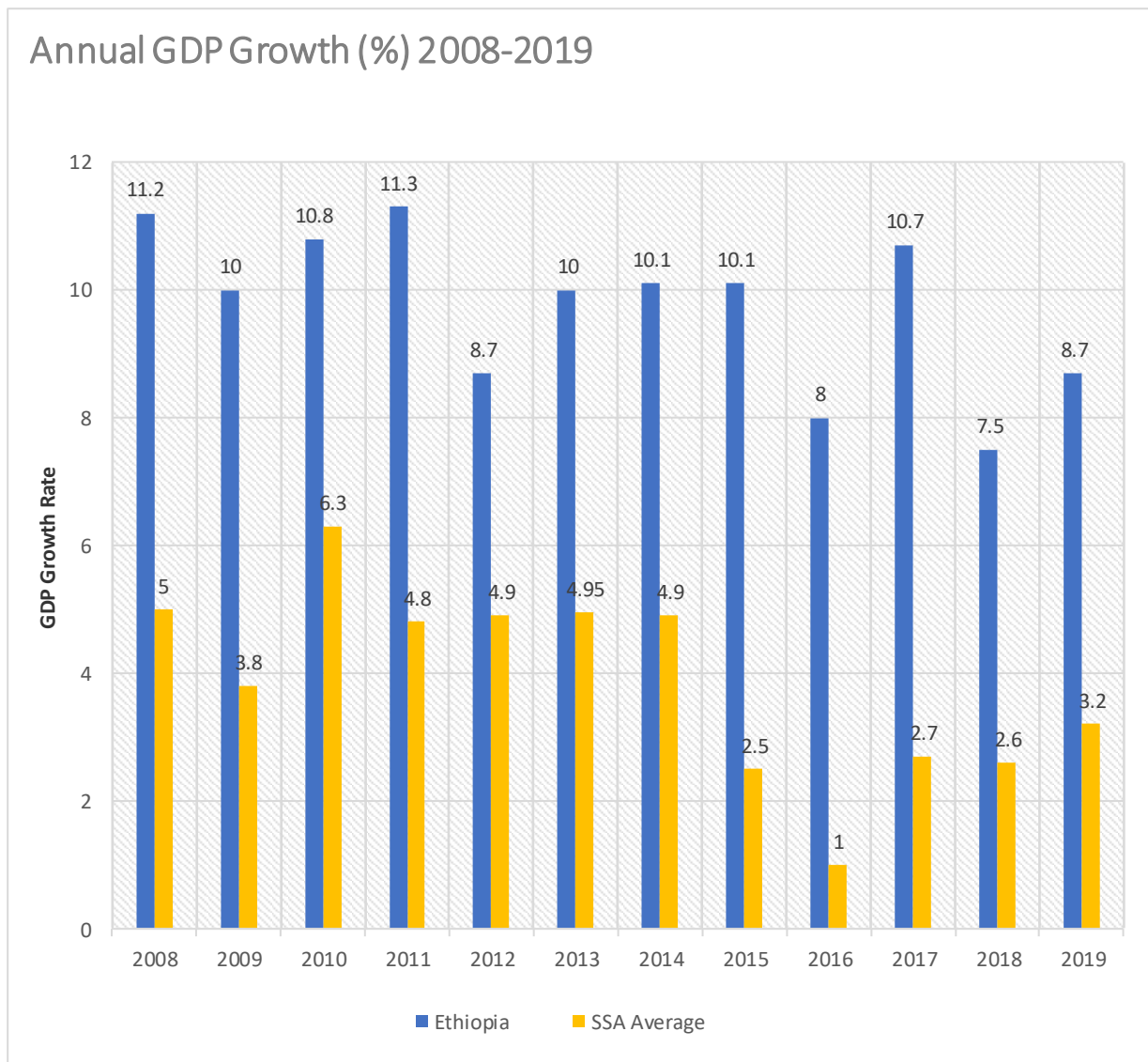
Developmentalism and industrial policy in Ethiopia from the 1990s

When the Ethiopian People Revolutionary Democratic Front (EPRDF) first came to power in 1991, addressing the crisis in agriculture was a fundamental concern, with agricultural recovery also seen as a spark for renewed commitment to industrialization. In 1994, the government adopted the Agricultural Development-Led Industrialization (ADLI) strategy, to which it adhered for more than two decades. The industrial development strategy (IDS) adopted in 2003 emphasized export-led industrialization, and focused on labor-intensive industries, the development of infrastructure to support rapid economic growth, and the development of small enterprises for massive job creation and poverty reduction (Atingi-Ego & Miyazaki, 2014). The Ethiopian government focused on the transition to a market economy and recovery in the 1990s, followed by execution of the industrial development strategies in the 2000s.

The country is determined to build a developmental state, a state that promotes skills, technology and productive investment for all citizens, farmers and firms rather than patronage and personal gains for a few and has taken a number of steps for its realization ever since the present government assumed power in 1991. The first several years in the 1990s under the interim government were spent in solidifying the new regime based on a multi-party-political system and ethnicity-based federalism, re-establishing a market-oriented economic mechanism and global linkage, and drafting a new constitution. During this early period, the concept of Agricultural Development Led Industrialization (ADLI) was introduced as the key policy thrust for national development in the first half of the 1990s. After overcoming a series of difficulties arising from internal politics, external conflicts, droughts and famines, Ethiopia by the early 2000s became ready to earnestly undertake economic development strategies guided by ADLI principles. The two national development plans of The Sustainable Development and Poverty Reduction Program (SDPRP) 2002/03-2004/05 and A Plan for Accelerated and Sustained Development to End Poverty (PASDEP) 2005/06-2009/10 were drafted and executed (Plan, 2014).

From around 2008 to present, Ethiopia’s overall growth performance has been good. Real GDP growth has been 9.9% per annum on average, which makes the fastest economic growth in Sub-Sahara Africa (UNCTAD, 2019). This broad-based high growth has been supported by structural reforms that have been introduced through industrial sector development.

Fig.1: Ethiopian GDP Performance From 2008 to 2019



Source: IMF, 2019

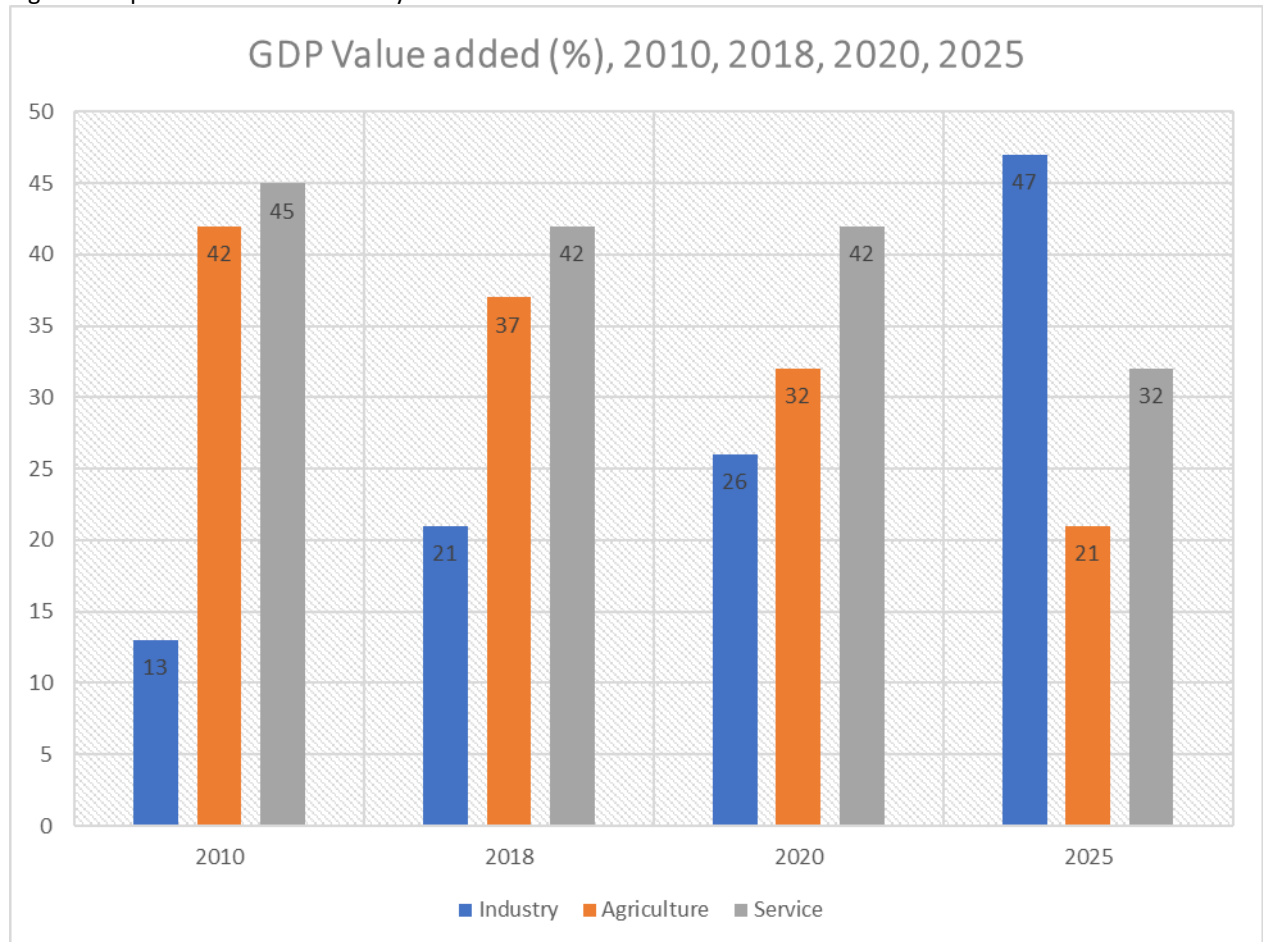
From the above chart (figure 1), one can conclude that, the Ethiopian economic development strategies guided by agricultural Development Led-Industrialization (ADLI) principle is an effective strategy that can play a significant role in GDP growth by double digits from 2008-2017 though it decline in 2018 and 2019 due to political turbulences in the country.

In policy making, the government has learned and adopted various industrial policy methods and tools such as the monthly Export Steering Committee (copied from the previous Korean model), benchmarking, business process re-engineering (BPR), scaling up of pilot projects and, most recently, kaizen (factory improvement) from Japan—through self-study as well as cooperation with development partners. Also, in the mid-2000s, the political concept of Democratic Developmentalism (DD) was formulated to pursue democratic and market-oriented development under strong state guidance and globalization pressure.

In rural Ethiopia, population growth has increased the number of subsistence households and their consumption and input requirements. It has also increased the volume and growth rate of labor force actively participating in rural labor market. To create employment for the surplus rural labor and to supply the consumption requirements of the rural households it is necessary to establish consumer goods industry. This means the country should replace manufactured products imported from other countries by products manufactured at home for reasons of balance of payment and sustained growth. There is a need for substantial protection of domestic manufacturing industries (Tegenu, 2011).

Ethiopia has shifted from being an agricultural-led economy to service based-driven economy. However, nowadays, the industrial sector has been the fastest growing sector over the past few years, owing to infrastructure development. Industry is forecast to continue with this growth course accounting for 47% of GDP by 2025(UNCTAD, 2018). This projection is expected to make the industries sector the largest GDP contributor and making Ethiopia to become an industrial-based economy.

Fig.2: Ethiopian GDP Value Added by Sector Over Selective Years and Forecasts

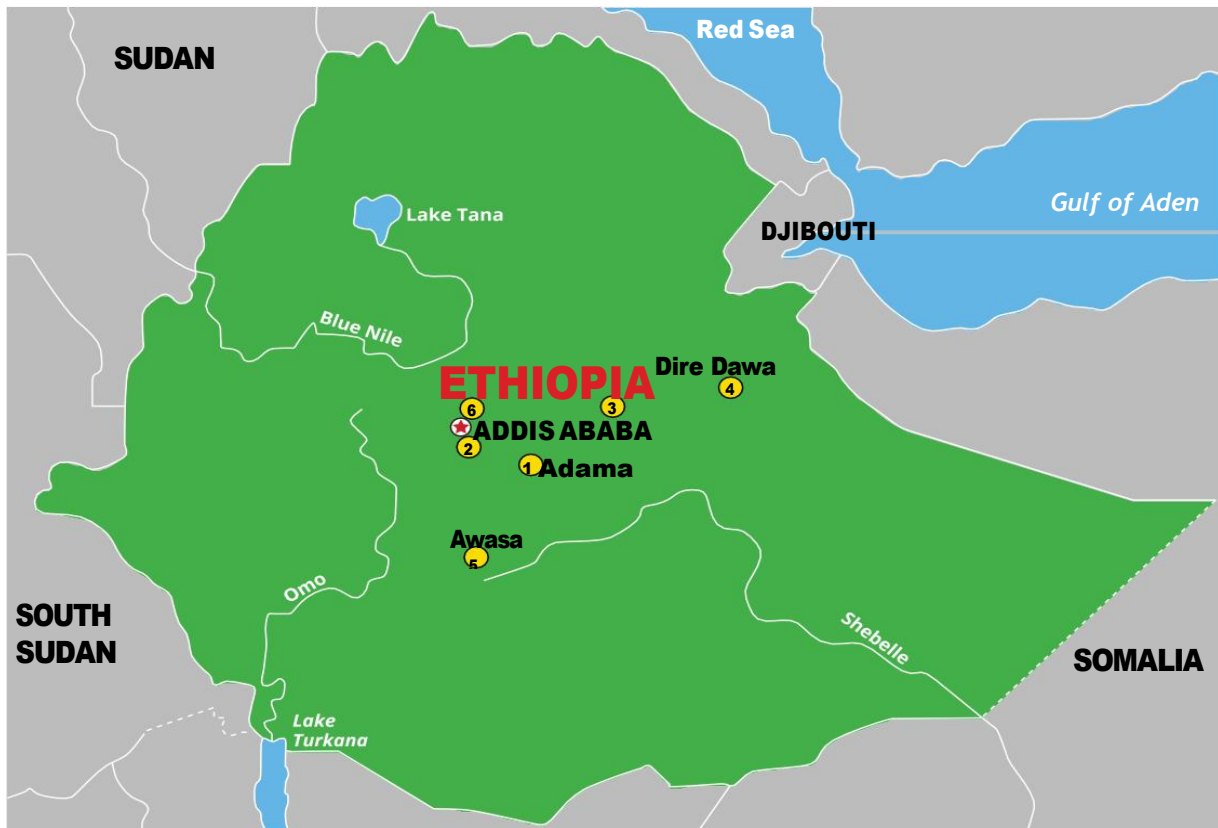


Source: United Nations, 2018

The above chart (figure 2) indicates, Ethiopian government has given a due consideration for an industrial sector to make the country the hub of industry in Africa. One can conclude from the figure, the contribution of the service and agricultural sector to the GDP is decreasing while the contribution of the industrial sector to GDP is increasing at an alarming rate.

According to gross transformation plan II of Ethiopia, apparel sector has given priority and taken as a main contributor to transform the country to lower middle-income by 2025. The government has taken an initiative to construct special economic zone in the form of industrial parks to attract export-oriented foreign direct investment specially on the area of garment and textile factories to make the country the hub of light manufacturing.

Fig.3: Ethiopia's Special Economic Zone (SEZ).



Source EIC, 2019

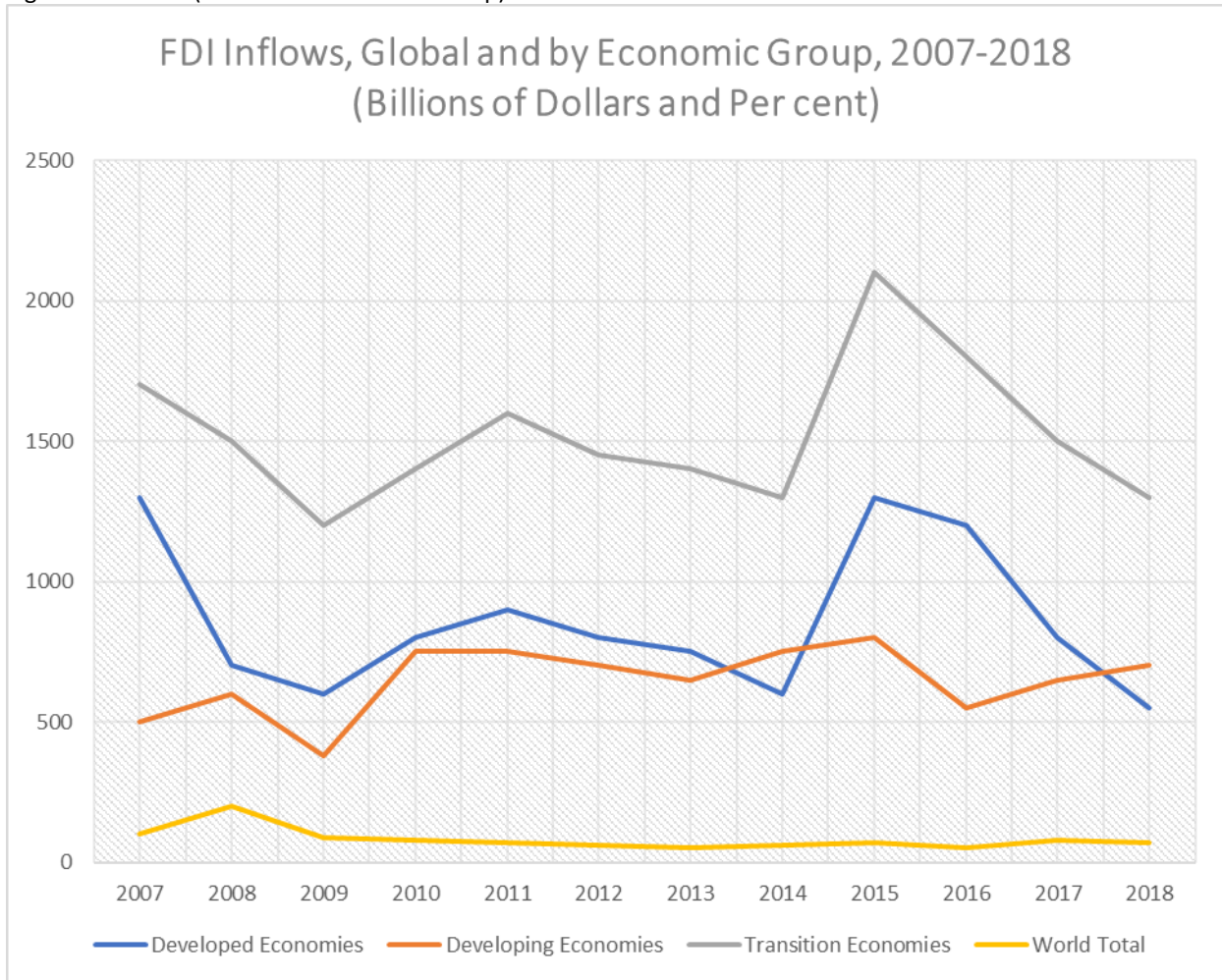
(1) Adama Industrial Park.; Cluster: Textiles, Status: In operation, (2) Bole Lemi Phase II.; Cluster: Textiles & apparel, Leather. Status: Upcoming, (3) Debre-Birhan Industry Park; Cluster: Textiles & garments, agro-processing. Status: Upcoming, (4) Dire-Dawa Industrial Park; Cluster: Multiple sectors (Heavy industries, textiles, vehicle assembly, food & processing, chemicals. Status: Upcoming, (5) Hawassa Industrial Park; Cluster: Textiles & garments. Status: In Operation, (6) Kilinto Industrial Park; Cluster: Pharmaceuticals. Status: Upcoming.

From the above chart (figure 3), it is possible to conclude that the special economic zone is a good opportunity to attract foreign investors to increase the flow of foreign direct investment (FDI) to the country. As the industrial zone is open for both local and foreign private investors, the chance of knowledge transfer, technology transfer and sharing new system of production among the local and foreigners is very high which paves the way for the country to make an industry based economy.

Global Trends of Foreign Direct Investment (FDI) Flows

Global foreign direct investment (FDI) flows fall down in 2018, mainly due to large scale repatriations of accumulated foreign earnings by united states multinational enterprises (MNEs) following tax reforms introduced in the country at the end of 2017 (UNCTD, 2019).

Fig.4: FDI Inflows (Global and Economic Group)



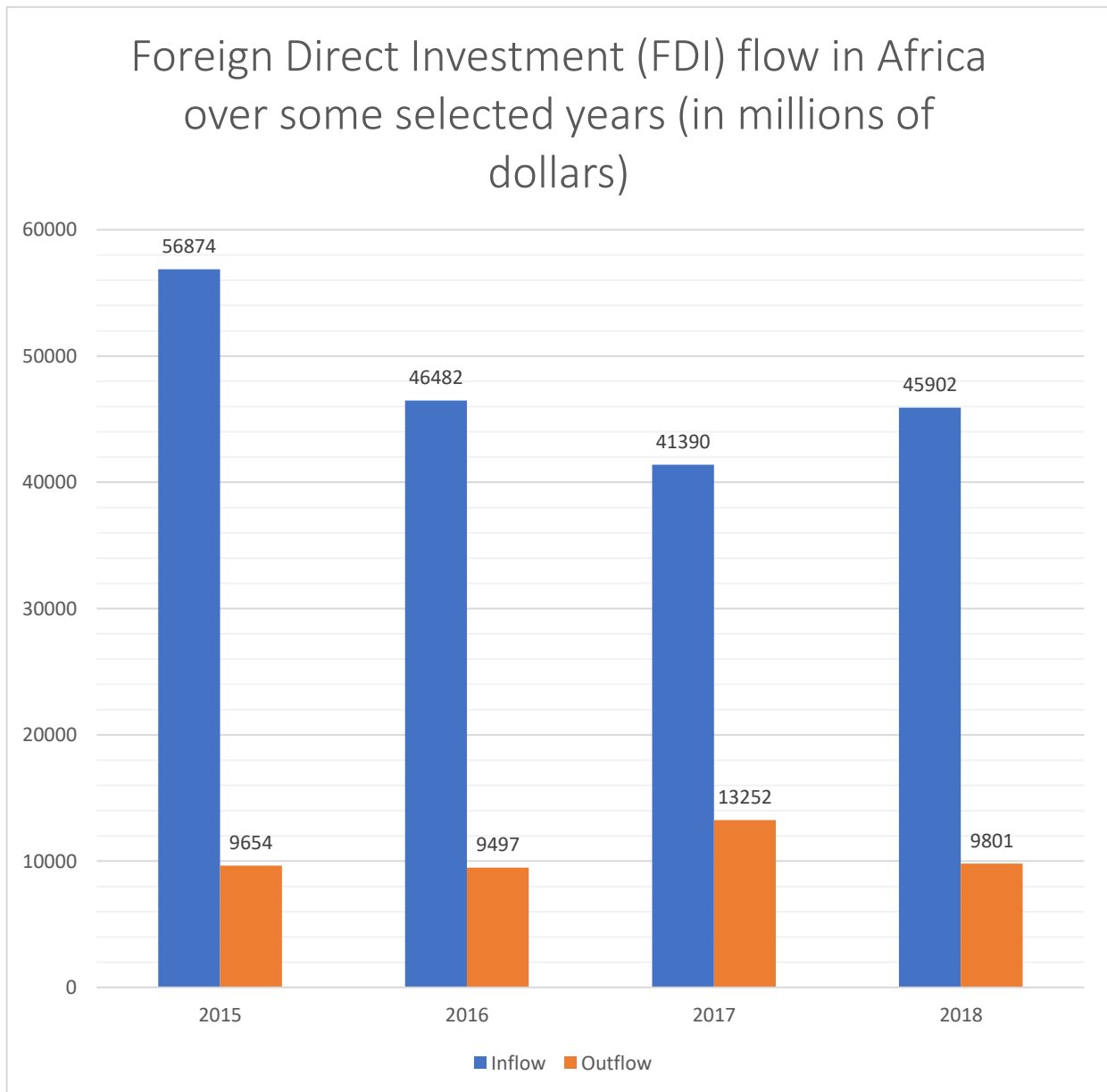
Source: UNCTD, 2019

The chart (Figure 4) shows that the inflow of foreign direct investment in the developed and transition economies is declining while that of the developing economies is increasing. However, due to substantial effect of developed and transition economies, the total flow of world foreign direct investment is decreasing. From this analysis, we can conclude that, developing economies like Ethiopia is using an effective strategy to attract foreign investors in order to realize the dream to make the nation an industrialized economy.

Foreign Direct Investment (FDI) flows in Africa

The flow of foreign direct investment in Africa showed rise regardless of the global downward trend in 2018. It shows the rise to \$46 billion, an 11 per cent increase after successive decline in 2016 and 2017 (Conference & Trade, 2015; UNCTD, 2019). According to the conference reports, rising prices of and demand for some commodities led to sustained resource seeking investment. A few economies such as Kenya, Morocco and Tunisia saw an encouraging increase in diversified investment. The report also revealed the FDI in South Africa made a significant recovery after several years of low-level inflows. However, in large recipient of foreign direct investment in the continent like Nigeria, Egypt, and Ethiopia showed a decline in 2018.

Fig.5: FDI Flow (in and out) in Africa over some selected years



Source: World Investment Report, 2019

From the chart (Figure 5), the flow of foreign direct investment in African countries is decreasing over the year 2015 – 2017 though it showed an increase in 2018. The political unrests in many African countries including Ethiopia over the past four successive years was badly affect their foreign direct investment and become a major factor for the slowdown of economic activities.

Foreign Direct Investment (FDI) flows in Ethiopia

Based on the criteria of gross domestic product (GDP) per capita growth, Ethiopia is one of the tops fastest growing economies in the world between the year 2000 and 2016 (Dan Kopf, 2017). Ethiopia will continue to be the fastest growing economy of Sub-Sahara Africa in 2019 with 8.5% followed by Rwanda with 7.8% and Senegal with 6.7% growth (IMF, 2019). However, despite its economic growth over the last decades, 24 % of Ethiopian population is living below poverty level and remains as the poorest countries in the world (World Bank, 2019). According to the World Bank report, Ethiopia's population is expected to reach 126 million by 2025, from 107 million in 2018.

Ethiopia starts economic liberalization in 1992 which encourages foreign direct investment (FDI) inflows after the end of the socialist system which restricted the involvement of the private sector and nationalized foreign owned private firms (UNCTAD, 2002). By using the export-led strategy, Ethiopia has been transformed to the open market strategy in which the foreign direct investment inflow was substantially increased from \$0.000 USD in 1992 to \$3.3 billion USD in 2018 (UNCTAD, 2019).

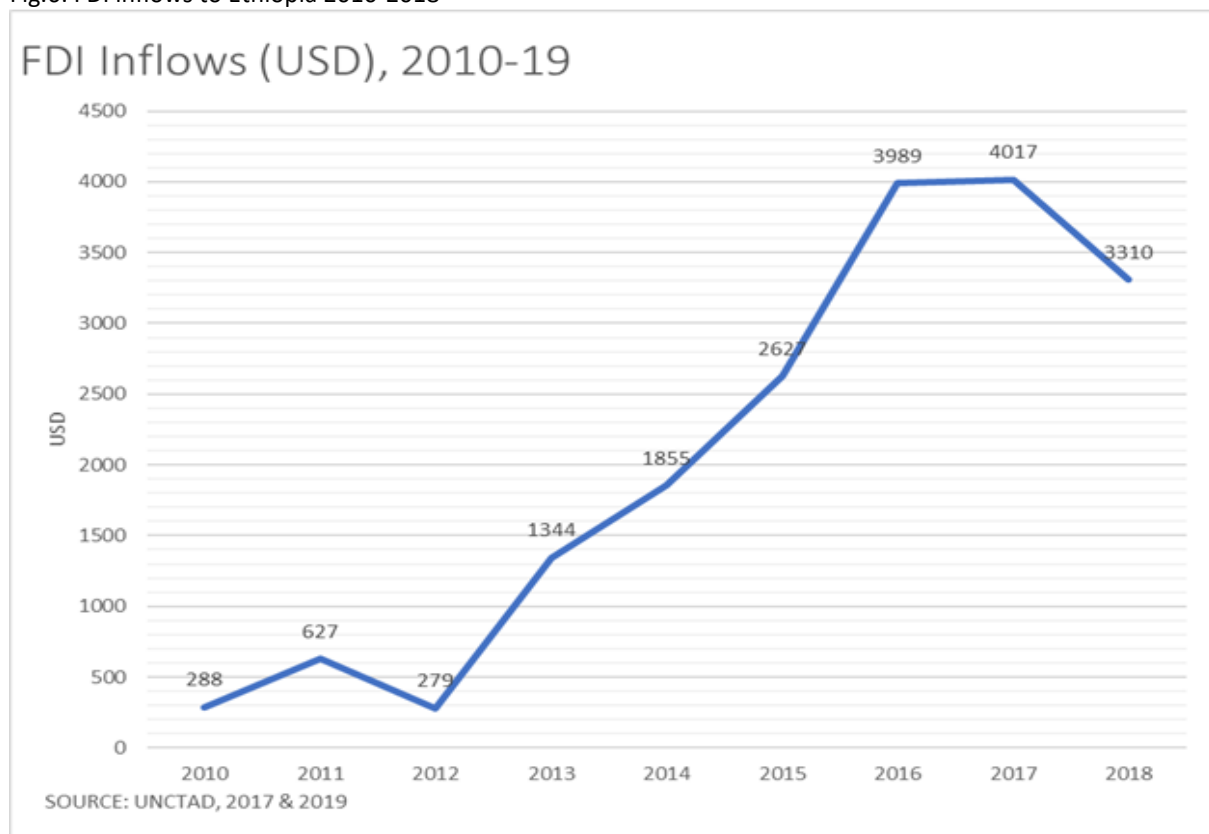
The year between 2006 and 2010 is a time when apparel exporters moved to Ethiopia in seeking low cost production and it is noted as the first export oriented foreign direct investment movement in Ethiopia (Paul & Dorothee, 2019). Ethiopia has been attracting export oriented light manufacturing as the country was taken part of an initiative to make Africa the hub of global manufacturing market (UN, 2018). Another advantage for Ethiopia to attract export-oriented foreign direct investment (FDI) is the increment of labor cost and other production costs in Asian countries that forces multinational enterprises to see for lower production costs in Africa shift their investments to the continent (Paul & Dorothee, 2019).

The inflow of the light manufacturing like apparel, leather, and electronics has increased in Ethiopia (UN, 2019). Ethiopia is working to become a low middle-income country by 2025 and has implemented the Growth Transformation Plan II (GTP II) – its national plan for economic and structural transformation – towards realizing its 2025 vision through a sustainable average real GDP growth of 11% (NPC, 2016).

Next to Egypt, Ethiopia is one of the countries in top list of Foreign Direct Investment (FDI) destination in Africa having \$3.1 billion in 2017 (Michie, 2019). Even though Ethiopian economic activities have been negatively affected by political unrest in the country during the past four years of 2014-2018, the inflow of foreign direct investment (FDI) remains positive due to good promotional activities and enabling environments like infrastructure and industrial park developments.

Since 2013, FDI inflows have doubled, primarily boosted by investments in manufacturing, industrial parks and large infrastructural projects such as the Great Renaissance Dam and the Modjo-Hawassa highway (*World Investment Report*, 2019). Investments can be expected to remain inflated considering the country's infrastructural plans and the creation of multiple special economic zones (SEZs). According to the report, another factor which is expected to fuel investments is the recent launch of the African Continental Free Trade Area (AfCFTA) which aims to boost economic integration and intra-Africa trade by 60% within three years.

Fig.6: FDI inflows to Ethiopia 2010-2018



From the above chart (Figure.6), foreign direct investment inflows to Ethiopia is increasing at an alarming rate over the year 2010-2018 though it decreases in 2011 and 2018. In addition to infrastructures, government investment on industrial parks, mega projects that fuel the inflow of foreign direct investment, as Ethiopia is diplomatic center for other African countries and open policy of privatization, the growth in the flow of FDI continues and building an industry based economy is not far as a result of capital flows, technology transfer, and managerial skill shares of foreign investors in Ethiopia.

5. Conclusions

Literatures are focused on the impact of foreign direct investment on economic growth and development and very scant studies were found that suit to this particular study. Among the research conducted on the subject area, the result of their study indicates a positive relationship between foreign direct investment and industrialization. The findings of this studies substantiate the effectiveness of policy reform on industrialization and trade liberalization by the government of Ethiopia after the end of the socialist government 1992 which restricts the involvement of private sector and nationalization of foreign owned private firms.

Even though the Ethiopian government is determined to build developmental state that promotes skills, technology, and productive investment for all citizen, farmers and firms, it is not performing as expected since large corporations like telecommunication, electric powers, sugar industries, and all giant corporations are still owned by the government. As theories indicate, privatization and flow of foreign direct investment (FDI) have a substantial effect on growth and development. Foreign direct investment increases the efficiency and effectiveness of productivity of all sectors. Among other things the output of manufacturing sector is boosted by the technology transfer, managerial skill, and new production systems adapted by foreign investors.

Generally, Foreign direct investment (FDI) inflows to Ethiopia is increasing at an alarming rate over the year 2010-2018 though it decreases in 2011 and 2018. In addition to infrastructures, government investment on industrial parks, mega projects that fuel the inflow of foreign direct investment, as Ethiopia is diplomatic center for other African countries and open policy of privatization, the growth in the flow of FDI continues and building an industry based economy is not far as a result of capital inflows, technology transfer, and managerial skill shares of foreign investors in Ethiopia.

References

- Abdullah, M. R., & Egb, C. (2010). Selection criteria framework for choosing industrialized building systems for housing projects. Association of Researchers in Construction Management, ARCOM 2010 - Proceedings of the 26th Annual Conference, 1131–1139.
- Astatike, G., & Assefa, H. (2006). Determinants of Foreign Direct Investment in Ethiopia: A time-series analysis. 27.
- Athukorala, P. C., & Sen, K. (2015). Industrialisation, employment and poverty. *Routledge Handbook of Industry and Development*, (31), 84–96. <https://doi.org/10.4324/9780203387061>
- Atingi-Ego, M., & Miyazaki, M. (2014). Report Beijing Declaration. *International Monetary Fund*, 14(303), 1–76.
- Bhatt, P. R. (2013). Causal relationship between exports, FDI and income: The case of Vietnam. *Applied Econometrics and International Development*, 13(1), 161–172.
- Bodman, P., & Le, T. (2013). Assessing the roles that absorptive capacity and economic distance play in the foreign direct investment-productivity growth nexus. *Applied Economics*, 45(8), 1027–1039. <https://doi.org/10.1080/00036846.2011.613789>
- Chen, G., Geiger, M., & Fu, M. (2015). Manufacturing FDI in Sub-Saharan Africa. 1–55. Retrieved from <https://openknowledge.worldbank.org/handle/10986/22352>
- Conference, U. N., & Trade, O. N. (2015). UNITED NATIONS CONFERENCE World Investment Report 2015 Country fact sheet : 9–10.
- Dan Kopf, 'The story of Ethiopia's incredible economic rise' (26 October 2017). Retrieved from <https://qz.com/africa/1109739/ethiopia-is-one-of-the-fastest-growing-economies-in-the-world/>
- Danmola, R. A., Olateju, A. O., & Aminu, A. W. (2017). The Impact of Foreign Direct Investment on the Nigeria Manufacturing Sector: A Time Series Analysis. *European Scientific Journal*, ESJ, 13(31), 521. <https://doi.org/10.19044/esj.2017.v13n31p521>
- Gebreyesus, M. (2016). Industrial Policy and Development in Ethiopia. *Manufacturing Transformation*, 27–49. <https://doi.org/10.1093/acprof:oso/9780198776987.003.0002>
- Gui-Diby, S. L., & Renard, M. F. (2015). Foreign Direct Investment Inflows and the Industrialization of African Countries. *World Development*, 74, 43–57. <https://doi.org/10.1016/j.worlddev.2015.04.005>
- Haile, T. G. (2015). Comparative Analysis for the SDPRP, PASDEP and GTP of the FDR of Ethiopia. *Global Journal of Business, Economics and Management*, 5(1). <https://doi.org/10.18844/gjbem.v5i1.61>

- Hannah Edinger & Masego Ntsoane 'Invest in Ethiopia Structural reforms set to unlock East Africa's largest economy', 2019. Deloitte
- Hausmann, R., Pritchett, L., & Rodrik, D. (2005). Growth accelerations. *Journal of Economic Growth*. *Journal of Economic Growth*, 10(4), 303–329. <https://doi.org/10.1007/s10887-005-4712-0>
- IMF Annual Report 2019. Retrieved from <https://www.imf.org/external/pubs/ft/ar/2019/eng/assets/pdf/imf-annual-report-2019.pdf>
- Implementation of the Third United Nations Decade for the Eradication of Poverty” (2018 – 2027) Retrieved from <https://www.un.org/development/desa/socialperspectiveondevelopment/united-nations-decade-for-the-eradication-of-poverty/third.html>
- Invest in Ethiopia Structural reforms set to unlock East Africa's largest economy. (2019). (June).
- Kimura, F., & Chang, M. S. (2017). Industrialization and poverty reduction in East Asia: Internal labor movements matter. *Journal of Asian Economics*, 48, 23–37. <https://doi.org/10.1016/j.asieco.2016.10.005>
- Kutan, A. M., & Vukšić, G. (2007). Foreign Direct Investment and Export Performance: Empirical Evidence. *Comparative Economic Studies*, 49(3), 430–445. <https://doi.org/10.1057/palgrave.ces.8100216>
- Michie, J. (2019). Transnational corporations. In *The Handbook of Globalisation, Third Edition (Vol. 26)*. <https://doi.org/10.4337/9781788118606.00015>
- Njangang, H., Nembua, C. C., & Ndeffo, L. N. (2018). Can Chinese foreign direct investment promote industrialization in African countries? Can Chinese foreign direct investment promote industrialization in African countries? (89726). Retrieved from https://mpra.ub.uni-muenchen.de/89726/2/MPRA_paper_89726.pdf
- NPC. (2016). Federal Democratic Republic of Ethiopia " Growth and Transformation Plan II (GTP II) (2015/16-2019/20) Volume I : Main Text. Federal Democratic Republic of Ethiopia Volume I : Main Text, I(Gtp II).
- Ortiz, C. H., Castro, J. A., & Badillo, E. R. (2009). Industrialization and growth: Threshold effects of technological integration. *Cuadernos de Economía (Colombia)*, 28(51), 75–97.
- Paul M. Barrett & Dorothee Baumann-Pauly, (2019). 'Made in Ethiopia: Challenges in the Garment Industry's New Frontier' Plan, T. (2014). Ethiopia's Industrialization Drive under the Growth and Transformation Plan *. 1.
- Samouel, B. (2014). What are the Determining Factors of Industrialization in Africa ? (September), 1–15.
- Szirmai, A., & Verspagen, B. (2015). Manufacturing and economic growth in developing countries, 1950-2005. *Structural Change and Economic Dynamics*, 34, 46–59. <https://doi.org/10.1016/j.strueco.2015.06.002>
- Tegenu, B. T. (2011). The Idea of Industrialization in Ethiopia : Fundamental Issues for Debate By Tsegaye Tegenu. 1–7.
- United Nations Conference on Trade and Development (UNCTAD), (2002). 'Investment and innovation policy review of Ethiopia'
- United Nations Conference on Trade and Development. (2019). *World Investment Report 2019*. (June), 1–237. Retrieved from https://unctad.org/en/PublicationsLibrary/wir2019_en.pdf
- Yao, S., & Wei, K. (2007). Economic growth in the presence of FDI: The perspective of newly industrialising economies. *Journal of Comparative Economics*, 35(1), 211–234. <https://doi.org/10.1016/j.jce.2006.10.007>
- Zhang, K. H. (2005). How does FDI affect a host country's export performance?: The case of China. *Conference of WTO, China and Asia*, (309), 1–17. Retrieved from <https://faculty.washington.edu/karyiu/confer/xian05/papers/zhang.pdf>

Application of Markov Chain to Model and Forecast CPI and Deflation (The Case of Bulgaria)

Georgi Georgiev¹

¹ PhD student, Department of Economics, “Angel Kanchev” University of Ruse, e-mail: gmgeorgiev@uni-ruse.bg

Abstract: The aim of the current research is to prove that deflation could be forecasted despite the fact that it is not such an often event. That is why CPI time series data of Bulgaria for the period from February 1995 to March 2020 have been used for a discrete time stochastic modeling and simulation, based on transition probability matrix approach of the Markov chain process. Three types of models according to the number of the states are applied to the analyzed data. The analysis is implemented by the help of Matlab. The comparison between the real data and synthetic one shows a high degree of reliability. Predicting changes in CPI are important since downwards and upwards movement may seriously affect both individuals and companies profoundly. Also, it is important to mention that focus of the paper is deflation, not inflation because nowadays it seems that exactly deflation rather than inflation is a bigger threat to the economy. However, it is not made a difference between the so-called “good” and “bad” deflation in the research. As a conclusion it could be said that although deflation is a rare event, it could be forecasted by the help of random walk models which have the Markov property. Future work may include developing a quantum Markov chain. This will further enhance the predictive accuracy of the specific model.

Keywords: deflation, forecasting, Markov chain, Matlab

1. INTRODUCTION

The ability to forecast the future is a key to a better decision-making process. This statement is relevant for every sphere of life. When we speak about economy this becomes really important because such an opportunity can provide us the possibility to have the knowledge what can happen to the price of goods and our income in near future. The topic becomes even more interesting when we speak about rare and harmful events such as deflation.

First, it should be said that different scientific methods have been used for conducting the present study and respectively gathering the necessary information, as the particular choice is based on the preliminary analysis of the significance of the considered events, i.e. the views presented below are based on the method of scientific abstraction, in which some factors are considered to be significant and others not, and therefore those that are not essential for the survey are ignored in the explanation of the phenomenon. The statistical data is taken directly from the website of the National statistical institute of the Republic of Bulgaria. Also, among the others general scientific methods there are the principles of analysis and synthesis. Their advantage is that the studied process of economic reality is divided into its constituent elements in order to facilitate their study, and then they again are combined very carefully such that not to fall into the so-called fallacy of composition and fallacy of division in which true hypotheses about single and separated economic processes or phenomena are accepted as true and for more general economic reality without any proof of this. Special attention is also paid to minimizing the risk of performing an analysis in the conditions of the well-known post hoc fallacy, known also as fallacy of false cause, in which a certain phenomenon occurred before another or in parallel with it, but it is concluded that the first one is the cause of the second, as well as the observance of *ceteris paribus*.

Deflation is a rare event. However, it is widely feared and opposed. One of the reasons for this is the common opinion that deflation could be considered as one of the most harmful economic phenomena, even more dangerous than inflation. That is due to the fact that looking back into the historical records it is associated mainly with negative aggregate demand shocks, resulting in decline of real output and a high rate of unemployment. That could be seen most clearly during the Great Depression period. However, it should be mentioned that deflationary episodes have often, but not always, been periods of recession or depression. It is typical in modern literature to distinguish at least between two types of deflation “good” and “bad”. Some authors also write about the so called “ugly” deflation which is typically represented by the Great Contraction (1929 – 1933) when international trade collapsed by almost 65% and unemployment reached the huge level of

25%¹. Deflation could be measured by a few indexes. One of the most common and appropriate is CPI. Knowing whether the CPI will go upward or downward and an approximate value we will be able to take better decisions for economic policy. CPI as every index is very difficult to be accurately predicted because it is a typical representation of a random process. Despite that a lot of different models have been created for forecasting such data. The current research analyses CPI trends by determining probabilities that the CPI transitions between various states. The analysis is done in a discrete manner by the use of Markov chains so to model and forecast the future movements of the index. The exposition consists of a few sections. First, the concept of both deflation and stochastic process is introduced and after that Markov theory and properties of Markov chains are discussed. Finally, three models according to the number of states are applied to the current data and every scenario is explained in details. The computing environment Matlab is used for the purpose.

2. EXPOSITION

2.1. Basic concepts of deflation

If prices go up, this is called inflation. Otherwise, if they decrease for a long period and for example the CPI this month is 3% but the next becomes 2% and after that is 1.5% we have disinflation. If CPI goes below 0 the economy is in deflation. Deflation means a negative growth rate while disinflation is a change in the rate of inflation in a means of a decrease². So, deflation could be described as the opposite process of inflation but it is not just inflation with the sign reversed. According to the Macmillan dictionary³ it is a general reduction of prices and the level of economic activity. Similar are the definitions in the Oxford and Cambridge dictionaries. Exactly in Cambridge Dictionary⁴ deflation is characterized as an economic situation in which prices fall and this leads to a reduction in wages and government spending which is a prerequisite for low levels of growth.

According to the standard AS – AD framework there are two main mechanisms which could push the economy to deflation. On the one hand deflation can occur as a result of the short-run AS curve expanding and its shifting to the right without being accompanied by an expansion of AD. On the other hand, there is another possibility – contracting and shifting of AD curve to the left but not with coincidental move of the AS. Taking into consideration the above mentioned there are two possible origins of deflation both supply- and demand-side shock.

Also, it should be mentioned that there are two main strands in contemporary deflation theories. The first one regards deflation as something seriously harmful mainly because of the fear that deflation might put the economy in a liquidity trap. For the economists like Paul Krugman or Ben Bernanke deflation is something like a “seldom benign”. They are also feared from this process because either a positive supply shock can lead to a deflationary spiral of prices and thus to lower economic growth. The second strand is represented by names such as Michael Bordo, Claudio Burio and others. Their view point is that deflation can be good at times, and not at others. That is why they might be called the Good-versus-Bad deflation school. In other words good deflation is caused by a positive supply shock and bad deflation by a negative demand shock. However, it is out of the scope of the current paper to investigate the controversial question whether deflation is always bad for the economic development. Nevertheless, which theory we choose to believe in more, it is absolutely true fact that deflation is not an often economic phenomenon. That is why it is extremely important for every person, who is participating in the decision-making process to know when we could expect such an event.

To make it a little simple and easier to understand the process of deflation could be illustrated by the following example: Let us imagine that one of our favorite PC games costs 100 BGN today, but we know that its price will be reduced to 90 BGN tomorrow. Here the question is what to do – to buy or not to buy. Probably more

1 The 9 principle effects of Great Depression [online] Available at: <<https://www.thebalance.com/effects-of-the-great-depression-4049299>> [Accessed 15th August 2020]

2 Angelov, I. Bulgaria is in deflation (Ангелов, И. България навлезе в дефлация) [online] Available at: <https://www.iki.bas.bg/english/CVita/angelov/No261.htm> [Accessed 16th August 2020]

3 Deflation [online] Available at: <https://www.macmillandictionary.com/dictionary/british/deflation> [Accessed 16th August 2020]

4 Deflation [online] Available at: <https://dictionary.cambridge.org/dictionary/english/deflation> [Accessed 16th August 2020]

rational is to postpone our consumption and to buy the game tomorrow or at another day if there is a chance the price to become even less than 90 BGN. Now we can see clear the paradox⁵ of deflation. Falling prices of some goods is something good for the consumers because they will have more money to buy other goods and services. Despite that, parallel and continuous fall of prices of many goods can really destroy the economy. When this occurs it is better for consumers to postpone their consumption. Finally, we have a situation in which people spend less today, in hope of buying at a cheaper price tomorrow. This is especially risky for the business because when prices fall companies will make less profit and in such condition every businessman will try to cut costs and prevent losses. One way is to reduce staff costs by cut wages or reducing people from staff. It is a well-known fact that when income fall people will typically spend less money – which could lead to a new further price cutting in order to sell anything at all. This creates a spiral effect. Prices need to be reduced again and with falling income may come unemployment if business can no longer afford to keep workers. Also, during deflation there is a serious redistribution from debtors to creditors which can lead very easily to bankruptcy. Deflation can either slow down the investment process and this way again to be a serious problem for the economic development.

Last but not least we know much more about inflation, while there has been only limited experience of deflation so probably due to this fact we are not able to conduct as effective policy as we would like.

In a conclusion, I would like to point out that whether we speak about deflation caused by a positive supply shock or a negative demand shock it could always turn to a really bad process for the economic development. That is why it is important to know when it will occur. In the next few paragraphs I will try to present the basics of stochastic process and how to model and use a Markov chain so to be able to forecast similar time series data.

2.2. Basic concepts of stochastic processes and Markov chains

A stochastic process can be described as a kind of mathematical model that evolves over time in a probabilistic manner⁶. In other words it is any process describing the evolution in time of a random phenomenon. Such events are almost everywhere around us from weather forecasting through medical decision-making to economic analysis. It is absolutely clear from the above mentioned that stochastic models are exactly the opposite of deterministic ones. The main difference between the two is that a deterministic model describes exactly the behavior of specific system over time. The opposite the stochastic one shows different possibilities of the so-called realization of the process, because its evolution is at least partially random and if the process is run several times, it will not give the same results. This is the main reason to accept stochastic models as more realistic despite the fact that deterministic ones are generally easier to analyze. The easiest formal definition of a stochastic processes it that it is a family of random variables $\{X_\theta\}$, indexed by a parameter θ where θ belongs to some indexed set Θ . Θ most often represents time⁷. Further investigation related to the topic of stochastic process is out of the scope of current research. That is why it is continued with explanation of Markov chains which are a special kind of such process.

As it was mentioned before Markov chains are important classes of stochastic processes, mainly because they satisfy the memoryless property which means that the distribution of the next state depends on the current state. In other words, a Markov chain is a collection of random variables $\{X_i\}$, having the property that given the present the future is conditionally independent of the past. A typical example of a Markov chain is a single random walk⁸. The formal definition of a Markov chain is the following:

$$P(X_{n+1}=i_{n+1}|X_n=i_n, X_{n-1}=i_{n-1}, X_{n-2}=i_{n-2}, \dots, X_0=i_0)=P(X_{n+1}=i_{n+1}|X_n=i_n) \quad (1)$$

This means that if the current state of the process is known, no additional information about its previous states is needed to make the best possible prediction for the future states of the process. The simplification allows a

5 What is deflation? [online] Available at: <https://www.bankofengland.co.uk/knowledgebank/what-is-deflation> [Accessed 23rd August 2020]

6 Baudoin, F., 2010. International Encyclopedia of Education (Third Edition), Purdue University, West Lafayette, IN, USA, pp.451 – 452.

7 Introduction to stochastic processes [online] Available at <https://www.kent.ac.uk/smsas/personal/lb209/files/notes1.pdf> [Accessed 23rd August 2020]

8 Markov chain [online] Available at: <https://mathworld.wolfram.com/MarkovChain.html> [Accessed 23rd August 2020]

really significant reduction in the number of parameters when studying such a process. A Markov chain is called a sequence of random events with a finite or countable number of results, characterized by the property – in a fixed current state the next one does not depend on previous states. It means that X_{t+1} depends upon X_t , but it does not depend upon X_{t-1}, \dots, X_1, X_0 , so only the most recent point in the trajectory affects what happens next⁹.

The process of moving from one state of the system to another with the associated probabilities of each transition is known as the chain¹⁰. The transition probabilities form an $m \times m$ transitional probability matrix T , where:

$$T=[p_{ij}] = \begin{bmatrix} p_{11} & p_{12} & \dots & p_{1m} \\ p_{21} & p_{22} & \dots & p_{2m} \\ \vdots & \vdots & \ddots & \vdots \\ p_{m1} & p_{m2} & \dots & p_{mm} \end{bmatrix} \quad (2)$$

Each row of T is the probability distribution relating to a transition from state i to state j . States i and j are said to communicate if there exists a path between them. It must be true that i is reachable from j in a finite number of transitions and also that j is reachable from i in a finite number of transitions for any two states i and j to communicate. A state i is said to be periodic if all paths leading from state i back to i have a length that is a multiple of some integer k , such that $k > 0$ for the smallest possible k ¹¹. If all states of a chain communicate and are not periodic, then the chain is said to be ergodic. Other explanation is that the rows represent now, or from (X_t) while the columns represent next, or to (X_{t+1}). Entry (i,j) is the conditional probability, exactly the probability of going from state i to state j .

$$p_{ij} = P(X_{t+1} = j | X_t = i) \quad (3)$$

Also, the transition matrix P must list all possible states in the state space S .

A chain is said to have a steady state distribution if there exists a vector π such that given a transition matrix T we have the following equation:

$$\pi T = \pi \quad (4)$$

If a chain is ergodic then we are guaranteed the existence of this steady state vector π , which can be viewed as the distribution of a random variable in the long run¹². This steady state probability vector π of an m state random walk can also be obtained as:

$$\lim_{n \rightarrow \infty} T^n = \begin{bmatrix} \pi_1 & \pi_2 & \dots & \pi_m \\ \pi_1 & \pi_2 & \dots & \pi_m \\ \vdots & \vdots & \ddots & \vdots \\ \pi_1 & \pi_2 & \dots & \pi_m \end{bmatrix} \quad (5)$$

Finally, once again a Markov chain represents a mathematical system in which the probability of transitioning to any particular future state is dependent on the current state and time elapsed. There is no matter how the process arrived at its present state because the possible feature states are fixed.

2.3. Numerical experiments

As it was said in the very beginning the analysis is based on the CPI data for Bulgaria and the main idea is to forecast whether we will have inflation or deflation in the near future. Given the formulation of a transition matrix and its steady state, now we can set up a system of classification of the Consumer price index (CPI) for Bulgaria. The idea of using Markov chains to forecast the behavior of indexes is popular mainly through potential investors who are interested in market trends so to be able to take a better decision for an optimum investment strategy. However, this is more typical for market indexes, not for such that show the behavior of

9 Chapetr 8: Markov Chains [online] Available at: <https://www.stat.auckland.ac.nz/~fewster/325/notes/ch8.pdf> [Accessed 25th August 2020].

10 Winston, W.L., 2004. Introduction to Probability Models: Operations Research. 4th Edn., Brooks Cole Cengage Learning, USA., ISBN: 10: 053440572X, pp: 729.

11 Ibid

12 Isaacson, D.L. and R.W. Madsen, 1985. Markov Chains: Theory and Applications. 1st Edn., R.E. Krieger Pub. Co., New York, ISBN-13:9780898748345, pp: 256.

the economic system as a whole. Three applications of Markov analysis will be considered for the current research, namely:

1. Probabilities of CPI moving up or down (Model №1). Here, we have two states.
 - 1.1. State 1 in which the value of CPI is lower than the one of the previous month.
 - 1.2. State 2 in which the value of CPI is higher than the one of the previous month.
2. Probabilities of CPI moving up or down or remaining the same. It is important to note that under remaining the same it should be understood that the index is in the interval between -0.3 to 0.3. (Model №2). Here, we have three main states. They are almost the same with these in Model 1 but there is one additional state of the index.
 - 2.1. The first one is the probability the value of index to fall with more than 0.3.
 - 2.2. The second chance is to be between -0.3 and 0.3.
 - 2.3. The third one is to rise with more than 0.3.
3. Probabilities of CPI to be in a particular interval. (Model №3) Here, we have six states as follows:
 - 3.1. State 1 – the probability the value of CPI to go down more than 0.3
 - 3.2. State 2 – the probability the value of CPI to fall between 0.15 and 0.3
 - 3.3. State 3 – the probability the value of CPI to remain the same or to fall up to 0.15
 - 3.4. State 4 – the probability the value of CPI remain the same or to rise up to 0.15
 - 3.5. State 5 – the probability the value of CPI to rise between 0.15 and 0.3
 - 3.6. State 6 – the probability the value of CPI to rise more than 0.3

The above mentioned intervals are indicative and the choice of specific values depends on the specific economic situation. The third model is designed to be more precise than the first two, because the concept that the economy is moving "up" or "down" is now more detailed and better defined.

Now, we should do the calculations by the help of Matlab.

The transition matrix T_1 for the first model, accurate to four decimal places, was found to be:

$$T_1 = \begin{pmatrix} 0.4606 & 0.5394 \\ 0.6593 & 0.3407 \end{pmatrix} \quad (6)$$

After that we found the following:

$$\lim_{n \rightarrow \infty} T_1^n = \begin{pmatrix} 0.5499 & 0.4500 \\ 0.5500 & 0.4499 \end{pmatrix} \quad (7),$$

indicating that $\pi_1 = (0.55; 0.45)$ (8)

The probability of a decrease in the value of the CPI is higher than that of an increase. It can be concluded that the trend in the near future is the value of the index to decrease. Basing on the given model there cannot be made a conclusion about the magnitude of this increase.

The transition matrix T_2 for the second model, accurate to four decimal places, was found to be:

$$T_2 = \begin{pmatrix} 0.3419 & 0.2051 & 0.4530 \\ 0.2658 & 0.4177 & 0.3165 \\ 0.5385 & 0.2115 & 0.25 \end{pmatrix} \quad (9)$$

After that we found the following:

$$\lim_{n \rightarrow \infty} T_2^n = \begin{pmatrix} 0.39 & 0.2633 & 0.3467 \\ 0.39 & 0.2633 & 0.3467 \\ 0.39 & 0.2633 & 0.3467 \end{pmatrix} \quad (10),$$

indicating that $\pi_2 = (0.39; 0.2633; 0.3467)$ (11)

The highest probability of the second model is the value of CPI to decrease with more than 0.3. The probability to happen this is about 39%. The second most likely probability (0.35%) is the CPI to rise with more than 0.3. The least chance is the value of CPI to be in the interval between -0.3 and 0.3. The probability for this case is 26%

Also, the so-called expected value is calculated.

$$EV = -0.026 \quad (12)$$

The expected value is negative and is approximately is -0.026. It can be concluded that the trend in the near future is that the value of the index will not make major changes. At the beginning of next month, a slight decrease in the index by about -0.026 units can be expected.

The transition matrix T_3 for the third model, accurate to four decimal places, was found to be:

$$T_3 = \begin{pmatrix} 0.3419 & 0.0342 & 0.0342 & 0.0769 & 0.0598 & 0.453 \\ 0.2174 & 0.1304 & 0.0435 & 0.2174 & 0.1304 & 0.2607 \\ 0.2308 & 0.1538 & 0.0769 & 0.1538 & 0 & 0.3846 \\ 0.2308 & 0.1538 & 0.0769 & 0.1154 & 0.0385 & 0.3846 \\ 0.4118 & 0.1176 & 0.0588 & 0.0588 & 0.1176 & 0.2353 \\ 0.5385 & 0.0769 & 0.0385 & 0.0577 & 0.0385 & 0.25 \end{pmatrix} \quad (13)$$

After that we found the following:

$$\lim_{n \rightarrow \infty} T_3^n = \begin{pmatrix} 0.39 & 0.077 & 0.043 & 0.087 & 0.057 & 0.347 \\ 0.39 & 0.077 & 0.043 & 0.087 & 0.057 & 0.347 \\ 0.39 & 0.077 & 0.043 & 0.087 & 0.057 & 0.347 \\ 0.39 & 0.077 & 0.043 & 0.087 & 0.057 & 0.347 \\ 0.39 & 0.077 & 0.043 & 0.087 & 0.057 & 0.347 \end{pmatrix} \quad (14),$$

indicating that $\pi_3 = (0.39; 0.077; 0.043; 0.087; 0.057; 0.347)$ (15)

Again, the highest probability of the third model is the value of CPI to decrease with more than 0.3. The probability to happen this is about 39%. The second most likely probability (0.35%) is the CPI to rise with more than 0.3. The least chance is the value of CPI to be in the interval between -0.15 and 0. The probability for this case is only 0.043.

Also, the so-called expected value is calculated.

$$EV = -0.0175 \quad (16)$$

The expected value is negative and is approximately is -0.018. It can be concluded that the trend in the near future is that the value of the index will not make major changes. At the beginning of next month, a slight decrease in the index by about -0.018 units can be expected.

From the conducted numerical experiments we can conclude that application of Markov chains for CPI data forecasting is very successful. The particular analysis is based on 302 observations from February 1995 to March 2020. According to the data from the National statistical institute at the following month – April 2020 the value of CPI is -0.6. It is the same as the one during the previous month. Despite this fact, it is obvious that the value of CPI continues to be negative. The following two months the value of CPI is again negative. It is important to mention that the application of Markov chains to different kinds of time series aims not to predict the exact value but its trajectory.

3. CONCLUSION

The research shows the necessity of using mathematical and statistical methods for forecasting the behavior of different economic variables. This will help us to better predict the effects of particular economic policies and also to improve the decision-making process. Future aspects of study should be focused on the use of neural networks, differential equations and especially quantum methods for time series forecasting. Another aspect which should be mentioned is that similar numerical experiments have been implemented for data not only for Bulgaria. In the most cases the results were enough adequate to the real world data. It could be concluded that using Markov chains to analyze data which future values are mainly dependent to its present state, not to the past ones, is a very good instrument for bettering the process of decision-making. This model can be improved by developing a new one, which includes the capabilities of traditional Markov chains and quantum analyses or directly the use of the so-called Quantum Markov Chains.

REFERENCES

1. Baudoin, F., 2010. International Encyclopedia of Education (Third Edition), Purdue University, West Lafayette, IN, USA, pp.451 – 452.
2. Isaacson, D.L. and R.W. Madsen, 1985. Markov Chains: Theory and Applications. 1st Edn., R.E. Krieger Pub. Co., New York, ISBN-13:9780898748345, pp: 256.

3. Winston, W.L., 2004. Introduction to Probability Models: Operations Research. 4th Edn., Brooks Cole Cengage Learning, USA., ISBN: 10: 053440572X, pp: 729.
4. <https://www.thebalance.com/effects-of-the-great-depression-4049299>
5. <https://www.iki.bas.bg/english/CVita/angelov/No261.htm>
6. <https://www.macmillandictionary.com/dictionary/british/deflation>
7. <https://dictionary.cambridge.org/dictionary/english/deflation>
8. <https://www.bankofengland.co.uk/knowledgebank/what-is-deflation>
9. <https://www.kent.ac.uk/smsas/personal/lb209/files/notes1.pdf>
10. <https://mathworld.wolfram.com/MarkovChain.html>
11. <https://www.stat.auckland.ac.nz/~fewster/325/notes/ch8.pdf>

The Digital Transformation of the Finance Industry in Romania

Georgiana-Loredana Schipor¹

Cristina Duhnea²

¹ Ovidius University of Constanta, Faculty of Economic Sciences (ROMANIA), loredanaschipor.uoc@gmail.com, Orcid: 0000-0002-6944-3315

² Ovidius University of Constanta, Faculty of Economic Sciences (ROMANIA), cristina@duhnea.net, Orcid: 0000-0001-8846-4405

Abstract: Financial Technology (FinTech) is currently a completely new industry, which supports both on innovation and new technologies to provide financial services to the customers, in an evolutionary process that puts together finance and technology. The Romanian financial market also explores the global FinTech opportunities, addressing significant challenges to the traditional financial institutions. The present paper outlines the online banking penetration of the current financial market, the investment volume in FinTech, its potential to accelerate the digital transformation in the banking sector and the main premises of the FinTech development in Romania. The main objective of the paper was to explore the customers' awareness related to digital services and FinTech and to test their trust in such solutions. The methodological approach is based on analytical and descriptive methods, using a set of information sources, from annual reports, statistical data, academic research and questionnaires. The value of the paper was amplified by the individual customers' perspective related to the financial industry transformation, which was extremely relevant for the main assumptions of the current research. There were analyzed the clients' opinions regarding disruptive technologies and their attitudes towards the digital transformation of the financial sector in Romania, focusing on: Internet banking, crowdfunding, payment systems, cryptocurrencies or trading platforms. The determinants of the FinTech solutions and the banking digitalization process were investigated in accordance with the features of one of the most sophisticated public: the banking services customers. The results of the paper provide a clear overview of the Romanian banking sector in terms of digital innovation from the clients' perspective, relying on the ratio between the advantages and the risks of the FinTech development. The paper reveals a surprisingly competitive mechanism between the banks and the FinTech corporations, sustained by a high level of awareness of FinTech services among customers and a reactive position of the banks which empowers them with more authority and expands the market.

Keywords: financial technology, digitalization, innovation, banking services

1. INTRODUCTION

The post-crisis economic context and the failure of the traditional financial institutions to provide a reliable transactional framework draw attention to new forms of banking and the emergence of Fintech companies, as an important element of competition on the market that enhance the digital transformation of the financial sector. The instability factors that have caused the 2008 crisis were connected to the mistrust issues of the banking clients and a decreased level of transparency, remodeling the banking system through a reconstruction process focused on the online services. The banking clients refined the system, requiring more transparency and payment mechanisms that can be made in comfortable ways.

Fintech companies are using technology and innovations in order to provide financial services to the customers, leading to a new industry where traditional banks are both competitors and partners. Moreover, the basic perception of Fintech companies is that they will not replace the traditional financial institutions, emphasizing their willingness to collaborate (Duna, A.F., and Ilioiu, R.L., 2017).

On the one hand, the main advantage of such cooperation for traditional financial institutions is the opportunity to stimulate and profit from the digital transformation. Fintech companies have the potential to create better products for the banking clients, improving efficiency and decreasing prices, incorporating "the whole plethora of technology that is used in finance to facilitate trades, corporate business or interaction and services provided to the retail consumer" (Micu, I. and Micu, A., 2016, p. 380). On the other hand, financial technology (FinTech) is also related to associated risks, such as: high financial volatility, cybercrime issues or data and consumer protection (Manta, O., 2018).

FinTech is currently well represented in the following fields: payment systems, financial research, insurance, crowdfunding, investment management, deposit and lending. Alt, R. and Puschmann, T. (2012) categorization is based on four main criteria: (1) according to the financial sector, (2) the business process which it addresses, (3) the interaction type and (4) the customer segment. In the same vain, Haddad, C. and Hornuf, L. (2018)

categorize the Fintech companies into nine types of business, according to the field of action: (1) asset management, (2) exchange services, (3) financing, (4) insurance, (5) loyalty programs, (6) payments, (7) regulatory technology - regtech, (8) risk management and (9) others.

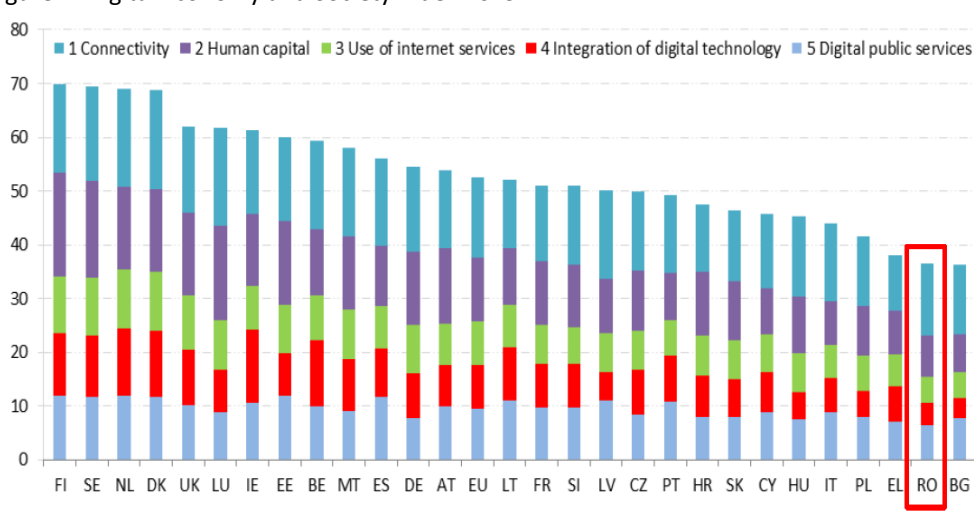
Despite the opportunities provided by the FinTech industry in Romania, few research papers are focused on the subject, without a clear investigation of the customer's perceptions regarding the digital transformation of the finance industry in Romania. This paper explores the gap, starting from the customers' awareness related to digital services and FinTech and then, testing their trust in such solutions. The clients' opinions regarding disruptive technologies were analyzed in order to identify the consumer involvement in the process, considering the consumer sophistication features.

While the main premises of the Fintech industry are the financial inclusion of the population and the infrastructure, we will outline the online banking penetration of the current financial market using a large set of indicators that reveal the current status of the FinTech development in Romania and the traditional financial institutions adjustment to the new technological trends.

2. DIGITALIZATION IN THE ROMANIAN CONTEXT

We have started the analysis by investigating the technological infrastructure available now in Romania, as a precondition of the future digital development in the financial industry. The Digital Economy and Society Index (DESI), which is a composite index that summarizes the digital performance of EU member states, relies on five main dimensions: (1) connectivity, (2) human capital, (3) use of Internet services, (4) integration of digital technology and (5) Digital Public Services. Figure 1 shows the unfavorable rank of Romania (27) in the DESI 2019, with a score of 36.5, one of the lowest scores on the overall index (EU score: 52.5). The Romanian rank remained stable compared to the previous year, despite the slight improvements of almost all dimensions, due to the slow progress. The Connectivity dimension has the best performance, due to the fast broadband coverage (76% households), fast broadband take-up (55% households), ultrafast broadband coverage (75% households) and ultrafast broadband take-up (45% households). Except the fast broadband coverage, all other mentioned criteria were above the EU average: 41% households - fast broadband take-up, 60% households - ultrafast broadband coverage and 20% households - ultrafast broadband take-up.

Figure 1. Digital Economy and Society Index 2019



Source: <https://ec.europa.eu/digital-single-market/en/scoreboard/romania>

The human capital perspective suggests limited opportunities for the Romanian people aged between 16 and 74, the values remaining lowest among the EU member states. Only 29% of Romanians have basic digital skills and 10% individuals have advanced digital skills, well below the European Union average for the same indicators (57% for basic digital skills and 31% for advanced digital skills).

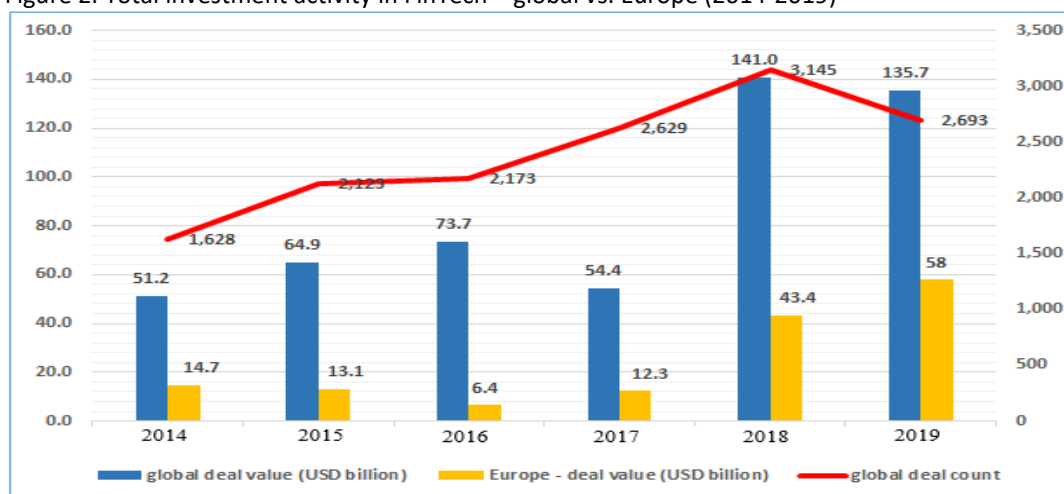
Romania has also the lowest score (32,9) for the use of internet services, while the EU average score is 53,4. According to the figures included in the DESI 2019 report, 21% of individuals have never used the internet and 68% of individuals aged 16-74 are Internet users, compared to the EU average of 83%. An interesting fact is that Romanians prefer to use the Internet services mainly for social networks (86% of the internet users), ranking first in the EU (65% - the EU average).

Romanians are engaging in video calls (51%), music, videos, games (63%) or read the news (69%), while the activities involving their financial resources are far below the EU average. The online shopping is practiced with less frequency than in the rest of the EU (26% of internet users in Romania and 69% of internet users – the EU average), while selling online attract only 5% of the internet users, compared to EU average (23%). In this respect, only 10% of the internet users trust in digital technology to do online banking, while the EU average is about 64%.

For integration of digital technology and digital public services, there are also low scores, suggesting the peripheral position of Romania for the use of Cloud services (7% of enterprises), electronic information sharing (17% of enterprises), e-commerce turnover (5% SME turnover). However, Romania ranks 14th for big data and seventh for e-Government users, while for the e-Health services the figures are closed to the EU average.

According to the KPMG International, the global Fintech investments in 2019 hit USD 135.7 billion and 2,693 deals, demonstrating an increasingly competitive market and a consolidation of the Fintech segments, despite the moderate decline of the investment volume. Figure 2 outlines an increasingly interest for the Fintech industry, suggesting that the investment volume grew steadily from USD 51.2 billion in 2014 to USD 135.7 billion in 2019. In Europe, the growth of the Fintech investment volume was boosted by the Worldpay's acquisition, with digital banking and payments as increasingly attractive areas for investors. This interest is also reflected in the consumer's preferences, according to the study conducted by Gulamhuseinwala, I., Bull, T., & Lewis, S. (2015) on a sample of 1485 respondents. More than 45% of the respondents aged between 25 to 34 were willing to use Fintech products in the foreseeable future and more than 25% of them were using two or more products provided by the Fintech companies.

Figure 2. Total investment activity in FinTech – global vs. Europe (2014-2019)



Source: authors' compilation using data from <https://assets.kpmg/content/dam/kpmg/xx/pdf/2020/02/pulse-of-fintech-h2-2019.pdf>

Fintech's expressions in the Romanian market are led to the cashless payments, robo-advisory services, peer-to-peer credit and crowdfunding platforms, expanding the public's demands to the next level. PayPal, Revolut or ApplePay are becoming serious competitors for MasterCard or Visa, while the emergence of cryptocurrencies like Bitcoin, Ethereum or Litecoin has rapidly changed the financial system through the blockchain features: transparency, decentralization and consensus.

Volt - Instant money transfer App, a product of Volt Finance in cooperation with Mastercard, Visa, Libra Internet Bank and Romcard is an alternative for mobile banking, which is faster than a regular bank transfer. The permanent functionality is completed by a friendly interface, Volt being simpler than an electronic wallet.

Pago is an easily to manage application recommended by Visa and Banca Transilvania that facilitates the payment of utility bills in a secure way, through an advanced cryptography system. It also offers the possibility to electronic upload the prepaid cards, to purchase RCA policy or any kind of insurance

Instant Factoring facilitates the development of SMEs by turning the invoices into liquidity in less than 24 hours through the blockchain technology. Currently, the application is available only in RON, the eligibility response is sent in max. 2 hours and the client has a permanent access to all the details of its account. The platform that provides innovative financing solutions for small businesses was the winner of Business Review Awards 2019 at the section Innovation in Technology.

Revolut, the British Fintech launched in Romania in May 2018, is another digital financial service alternative with a record growth in the local market. In February 2020 Revolut announced one million users in Romania, our country being the third largest market for the company. Romanian users made over 58 million transactions since its entry on the Romanian financial market, with a total value exceeding EUR 3.8 billion. The average age of Revolut users in Romania has increased from 32 to 34 years and most come from large urban areas. Surprisingly, despite the general mistrust of the Eastern European customers, the Romanian public was more receptive, Revolut building a network based on recommendations.

Revolut allows its users to open a current account in the application in few minutes, hold and exchange currencies using the interbank exchange rate, make free national/international transfers, and spend money worldwide without hidden fees and commissions, using a VISA or MasterCard contactless card. In 2020, Revolut has also launched the junior version, dedicated to the children and their parents, that aims to promote healthy financial management habits from an early age, under the guidance of a responsible adult.

Various start-up companies exploiting the customer's need to obtain as many financial benefits as possible have transformed the country in a potential attractive destination of Fintech investments. They have also changed the client's financial habits, offering them a sort of independence in managing their money and a much wider range of opportunities to choose from.

3. RESEARCH METHODOLOGY

After developing an analysis based on the literature, annual reports and statistical data, we consolidated our research by conducting an empirical study based on a questionnaire. The research presents an overview of the customers' perceptions related to the Fintech industry and the level of banking digitalization.

We used an online version of the questionnaire distributed through email addresses and other media tools (as a Google form link). The distribution of questionnaires was employed between March 2020- May 2020 in Constanta County and we obtained 275 valid questionnaires. The research involved a qualitative analysis of several questions' answers regarding aspects of using digital banking and fintech innovations and testing three null hypotheses.

Data processing was done using SPSS version 23.

The questionnaire' design and the sample

The questionnaire was designed to obtain a relevant insight on the consumer behavior related to the online banking services, offering a picture of perception regarding the digital banking services and the fintech companies. The questionnaire was divided in two parts: (1) questions related to the services offered by the traditional financial institutions and (2) questions related to the general awareness about the Fintech term, its applicability and features.

The factual questions were blended with the interpretative ones and there were formulated direct questions (*What is the bank / banks you are currently cooperating with?*) or open questions (*Please specify the measures taken in this regard*), the topics addressed being organized in an easy way, stimulating the respondent to formulate opinions to support the research hypotheses. The questions directed to identify the level of knowledge about Fintech terminology (*Have you heard about the term "FinTech"?*) were followed by control questions regarding the source of this information (*Where did you first hear the term FinTech?*), using single choice, multiple choice, multiple choice grid or Likert scale.

Moreover, the questionnaire included questions regarding the emotional context (*To what extent do you feel that the bank you are cooperating with has adapted its services to your needs in the context of the COVID-19*

pandemic?), the expectations (*Do you think the FinTech industry will grow in the next three years?*) or the respondents' experiences (*How often do you use the following payment methods: cash, debit/credit card, contactless debit/credit card, digital banking?*).

The consistency of the methodological tools used in this paper, together with the variety of the analyzed indicators (the use of internet services, number of individuals with basic/advanced digital skills, number of individuals that use online banking, global Fintech investments, etc.) allows clear conclusions about the direction of the financial industry in Romania and the intensity of the digital transformation in banks. Two major themes (traditional banks and Fintech companies) were related in order to identify the customers' perceptions regarding the innovative technologies and their attitudes towards the digital transformation of the financial sector in Romania, with a special focus on trust as a key factor of sector development and prerequisite of its appearance.

There were collected 275 valid questionnaires, from 214 women (65.1%) and 61 men (34.9%), aged between 18 and 65. The distribution of sample by residence divide the respondents into the following categories: 176 individuals from urban population (64%) and 98 individuals from rural population (36%).

4. HYPOTHESES, RESULTS AND DISCUSSIONS

We formulated and tested three null hypotheses:

H01: There is no correlation between the level of trust that consumers of banking services in Romania have in digital banking and the sufficiency of the digital banking services accessed by the respondents in relation with their current needs.

A Pearson correlation coefficient was used to test the relationship between the two variables.

The test results revealed a positive correlation between the two variables, $r = 0.370$, $n = 275$, $p = 0.001$.

The null hypothesis is not confirmed.

H02: There is no correlation between the level of trust that consumers of banking services in Romania have in digital banking and the level of satisfaction with digital banking services for the respondents.

The test results revealed a rather strong positive correlation between the two variables, $r = 0.519$, $n = 275$, $p = 0.001$.

The null hypothesis is not confirmed.

The result demonstrate that trust is a determinant of customer satisfaction with digital banking services for the respondents

H03: There is no correlation between the level of trust that consumers of banking services in Romania have in digital banking and the level of trust that these consumers also have in the fintech companies' financial services.

The test results revealed a slight positive correlation between the two variables, $r = 0.222$, $n = 275$, $p = 0.001$.

The null hypothesis is not confirmed.

The result for the third hypothesis shows that the trust in the digital banking services it not necessarily means that those consumers will be willing to access financial services offered by the fintech companies even the tool to offer such services is identical for banks and fintech companies – the internet.

In order to deepen the research, we analyzed some qualitative aspects from the answers offered to the questions from the questionnaire used.

An investigative direction, as can be seen in the figure 3, is represented by the factors influencing the consumers of banking services' choice for a certain bank to collaborate with.

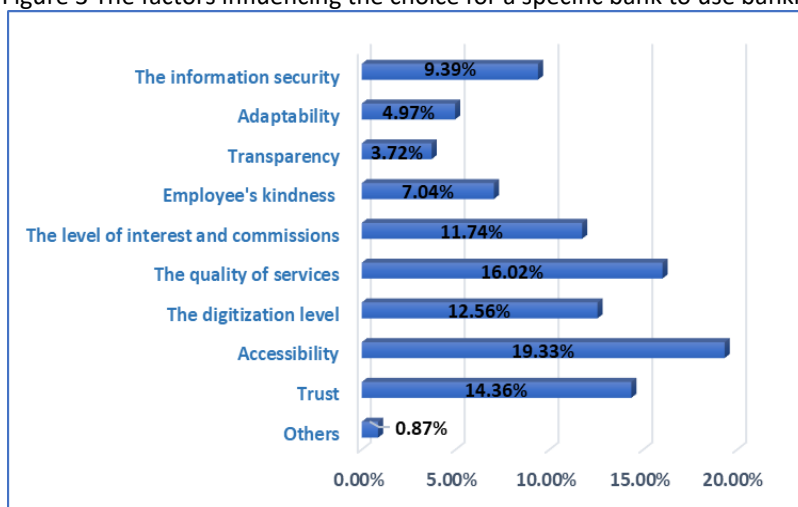
Referring to all the banking products used by consumers, the most frequently mentioned factor was accessibility, with a percentage of 19.33%. The trust and the quality of banking services are the following specified factors and only 12.56% of the answers considered that the level of digitalization influenced the decision regarding a specific bank. Transparency is the least considered factor in choosing the bank.

Asked about the reasons for using internet banking, 233 of the respondents stated that accessibility is the most important factor.

Regarding the purpose of using digital banking services, 196 of the respondents mentioned the payment of bills as the main reason, of which 90 stated only this purpose and 106 also mentioned the domestic and international transfer of funds and the financial assistance. Consistent with the conclusion of the first part of the study on the basic digital skills of the population in Romania, the answer to the question on the frequency of use 140 of the respondents stated that they use monthly and only 64 mentioned using such services weekly or daily.

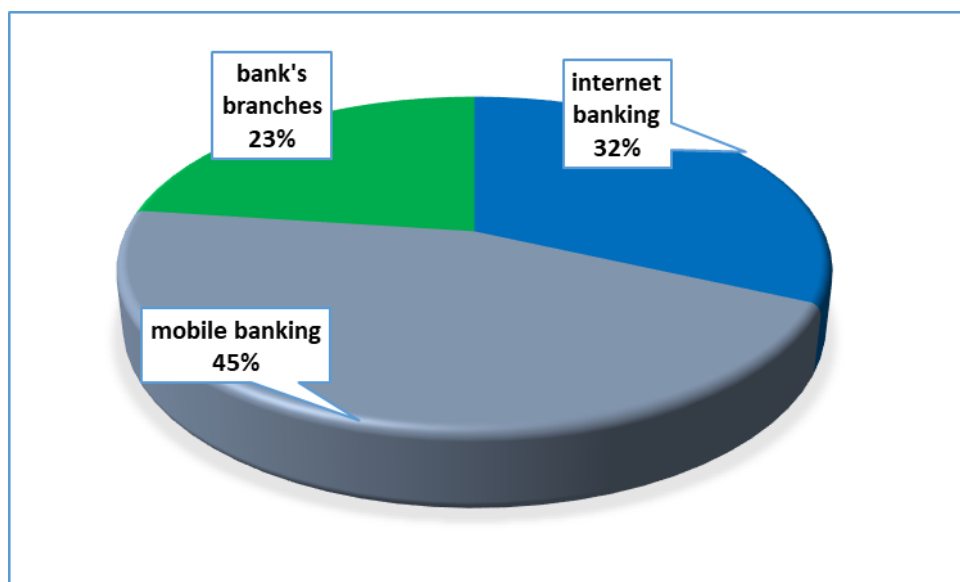
In order to cover the continuously preoccupation of both academia and bank managers on balancing the channels to provide banking services as payments or loans, we asked about the customers' option when dealing with banking services. Just 23% of the respondents mentioned visits to the bank' branches, higher percentages were registered for the use of internet banking and mobile banking (more than 40%).

Figure 3 The factors influencing the choice for a specific bank to use banking services



Source: authors' compilation of data retrieved from questionnaires

Figure 4 Channels to access the banking services



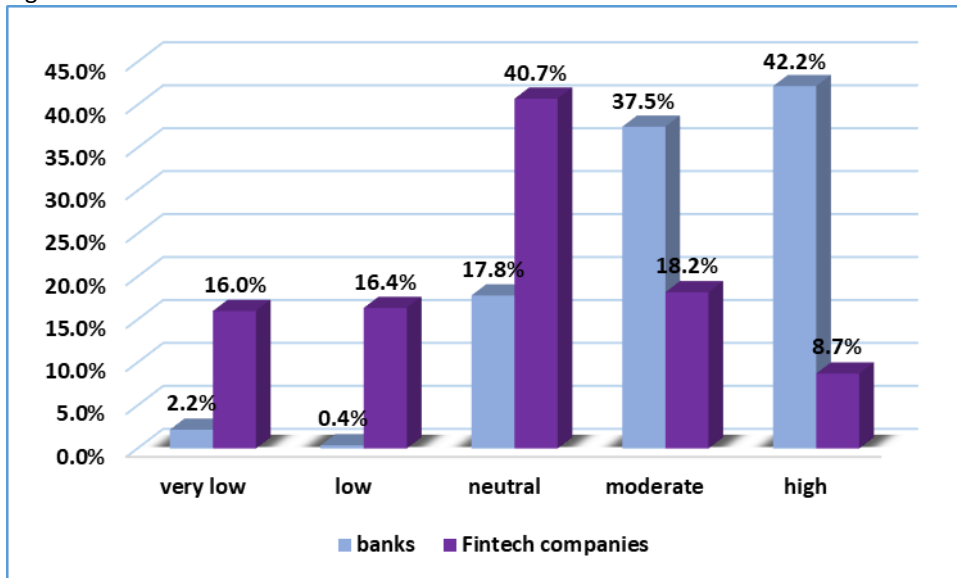
Source: authors' compilation of data retrieved from questionnaires

As we shown in the previous sections of the paper, the recent developments of the Fintech companies services in Romania encourages the conclusion that many customers of traditional banking services accessed through digital banking will confidently access the innovations brought to the financial market by Fintech companies. comparing the level of trust in the two categories of financial services from the answers given in the

questionnaire, as shown in Figure 5, we can see that, for now, trust in banks is much higher in terms of digital banking services compared to those offered by the Fintech companies. 42% of respondents credited bank with a high level of trust comparing with only 8.7% for the Fintech companies. Asked when they discovered the financial services offered by the Fintech companies most of the respondents (182) mentioned the year 2019.

That is why the analysis of the level of trust in such services compared to the digital banking services that customers have known for years must be analyzed in the context of the novelty for the public.

Figure 5 Level of trust – Banks versus Fintech



Source: authors' compilation of data retrieved from questionnaires

Investigating the main cause of concern about the use of financial services offered by the Fintech companies, we found that in the first place (83 respondents) is the level of security of their money and investments, then the lack of experience of these service providers (36), the cyber-attacks (28) and the customer data protection (27) among others.

Among the reasons why respondents would access the financial services of the Fintech companies most often was mentioned the quality of services (73), followed by the accessibility as ease of use (46), and tariffs (32). Only 18 of the respondents mentioned the speed with which such services are provided.

Regarding the Fintech companies they know of, only 52 of the respondents stated that they do not know any of them, 222 referred to at least one of those present on the Romanian market, among which 125 mentioned only Revolut (97) or Revolut and others (28), confirming the conclusions from the analysis of the financial services offered by Fintech companies in Romania, from the first part of the paper. More than 50% of the respondents also declared that, in their opinion, the Fintech industry will grow in the new three years.

5.CONCLUSIONS

Our study is just a first step in the direction of broader research to investigate the consumer preferences for new ways to provide banking services compared to the penetration of a new and highly dynamic industry - that of traditional financial services provided a decade ago only by the banks and offered today by companies that develop disruptive innovative technologies.

In order to create a correct image of the level at which Romanian consumers can access digital financial services regardless of their provider, we performed an analysis of the degree of digitalization of the Romanian society compared to the European level. Unfortunately, the conclusions we have reached show that Romania of the 21st century is at the lowest level of the European ranking in terms of digitalization, but especially the use of digital tools for managing financial resources and accessing financial services. If in terms of connectivity we are above the European average in terms of digital skills are on the lowest positions with only 29% of the population having basic digital skills and 10% of the population having advanced digital skills.

In parallel with these realities, we cannot ignore the fact that in an extremely short time, fintech companies like Revolut have reached 1 million users in Romania and their average age is only 34 years. On the other hand, the growth of several Romanian companies that offer such financial services shows that the national market is not only a source of new customers but is ready to give providers on this extremely dynamic niche.

The questionnaire-based research investigated issues regarding the level of confidence that consumers have on the one hand in terms of digital banking services and on the other hand in terms of financial services provided by Fintech companies, the criteria used to choose a specific bank, the types of banking services often accessed by the customers and the channels preferred by them to receive these services.

Using the Pearson correlation coefficient to verify three null hypotheses we came to the conclusion that there is a positive relationship but of different intensities between the trust that consumers have in digital banking services, the level of sufficiency with their current digital banking services, the satisfaction they have with these services, and the trust which it provides to the services offered by fintech companies.

The research carried out in this paper showed on the one hand the customers' interest for digital banking as well as for the financial services offered by Fintech companies but also the limited penetration of these services in terms of frequency of use and the complexity of services accessed.

The lack of the basic digital skills, the concern regarding their money' security and issues regarding data protection are reasons, in reality, for a use of digital banking services still quite low on the Romanian market but the accessibility and the low transaction costs seem to be important motivations for the growth of the two segments analyzed in our study.

In order to obtain consistent and relevant results for the academic environment and equally for the management of such service providers (banks and Fintech companies), we intend to develop a future research in order to investigate the satisfaction of the consumer of digital banking services in terms of its determinants and to extend the research to larger populations.

REFERENCES

- Alt, R., & Puschmann, T. (2012). The Rise of Customer-Oriented Banking – Electronic Markets are Paving the Way. *Electronic Markets*, 22(4), 203-215.
- Duna, A.F., & Ilioiu, R.L. (2017). New management challenges for the banking sector in Romania: traditional, digital or Fintech. What's the next big step?. *Proceedings of the International Management Conference*, 11(1), 241-247.
- Gulamhuseinwala, I., Bull, T., & Lewis, S. (2015). FinTech is gaining traction and young, high-income users are the early adopters. *The Journal of Financial Perspectives*, 3(3), 16-23.
- Haddad, C., & Hornuf, L. (2019). The emergence of the global fintech market: economic and technological determinants. *Small Business Economics*, 53, 81–105.
- Manta, O. (2018). Financial Technologies (Fintech), Instruments, Mechanisms and Financial Products. *Internal Auditing & Risk Management*, 4, 78-102.
- Micu, I., & Micu, A. (2016). Financial Technology (FinTech) and its Implementation on the Romanian Non-Banking Capital Market. *SEA – Practical Application of Science*, 11, 379-384.
- European Commission. (2019). Digital Economy and Society Index 2019, Country Report Romania. Retrieved from <https://ec.europa.eu/digital-single-market/en/scoreboard/romania>
- KPMG International. (2020). Pulse of Fintech H2 2019. Retrieved from <https://assets.kpmg/content/dam/kpmg/xx/pdf/2020/02/pulse-of-fintech-h2-2019.pdf>

Bank Selection And Consumer Decision-Making In The Banking Services Industry

Gezim Simoni¹

¹Ph.D Candidate, University of Tirana, Faculty of Economy, Marketing Department, Tirana Albania, e-mail:gezim.simoni@yahoo.com

Abstract: Political developments in Eastern and Southeastern Europe enabled the free market economy, privatization, globalization, and consequently competition in every industry. The service industry and in particular the banking services industry has undergone a radical transformation in terms of services provided, technology and product innovation. Organizations part of the banking services industry in Albania, as a result of competition on the one hand, but also growing market demand on the other hand, have intensified efforts to innovate products, new channels of their delivery and a modern technology. The banking industry as part of the service industry has changed radically in the last 30 years in Albania. New marketing practices conditional and closely linked to major developments in information technology applied in banking industry. The development of information technology has brought major changes and is constantly transforming banking industry in Albania. Distribution of banking services via the internet is an indication of significant changes in the industry. Internet banking is one of the new distribution channels of banking services based on the Internet. From the study, it's found that internet banking as a new channel of distribution of banking services applied in this industry, has positively influenced by bringing benefits to organizations, by reducing the costs of service delivery, promoting and positioning services, targeting new customer segments. This study focuses on the role of internet banking in the selection of the bank by individual customers of commercial banks operating in Albania. The questionnaire for collecting data was the instrument used and SPSS for their analysis. The study shows that internet banking influences consumers in the selection of the bank from where they will receive banking services.

Keywords: banking selection, banking industry, individual consumer.

INTRODUCTION

In a dynamic environment in which organizations operate, the dynamics which are conditioned by increasing competition within the banking services industry on the one hand and the ever-increasing demands of consumers in terms of quality and level of service they expect, is necessary to identify the factors that determine consumer decision-making, the role of marketing variables in this decision-making. The growing demand of consumers in the banking services market conditions organizations to increase their efforts to capture, increase, satisfy and retain the consumer. In this regard, banking organizations in Albania are oriented towards identifying marketing factors that affect and determine decision-making in the selection of the bank to consumers. The economic development of countries has brought about many changes in the economic and business environment around the world. Albania is no exception to these changes and almost all industries, including the banking sector, are affected in one way or another. As a result, the banking sector in Albania is becoming increasingly powerful. Commercial banks as well as banks operating in other developing and developed countries are paying more attention to providing more facilities and services to their customers. In current years, institutions strategy and marketing research have focused on the identification, creation, and delivery of services based on the preference of their customers. Many research projects have been carried out in different countries to understand and predict customer behavior as it evolves over time and within different environments, situations and cultures that present themselves. Marketers have now specifically tailored marketing strategies for each group of customers holding specific or similar patterns of behavior and consumption to gain their business. With growing competitiveness in the banking industry, and similarity of services offered by banks (Holstius and Kaynak, 1995), it has become increasingly important that banks identify the factors that determine the basis upon which customers choose between providers of financial services. Those marketing constructs researches related to retail customers has been developed, in which the market segmentation, preferences, bank loyalty, bank service quality, selection decisions, bank image, satisfaction and multiple bank users are included (Mokhlis et al., 2008). As the banking industry is considered increasingly competitive since nearly two decades, the financial services industry has the task of differentiating their organizations and their offerings in order to attract customers (Blankson et al., 2007). In this regard, the basic aim of the study is to examine the basic motivational factors in customers' bank selection in Albania. Specifically, the study focuses on identifying the role that internet banking plays in the selection of the bank for individual consumers in the context of Albania.

LITERATURE REVIEW

There are extensive studies about the topic in the area of determining the factors which are considered crucial for a customer while selecting a bank. Banks are the major type of deposit taking institution; they make their living predominantly by taking deposits which represent their liabilities and loaning these funds to borrowers which represent their assets. They loan out funds at a higher interest rate than the funds, and the difference represents their gross profit margin before expenses and tax. In addition, banks can earn commissions and fees by selling various products such as foreign exchange services, safe custody services, advice, account management charges, credit card facilities, insurance and so forth (Pilbeam, 1998).

According to Aldlaigan (2005), factors that determine bank choice in consumers should guide management to design a marketing strategy to attract as many customers as possible. Laroche et.al (1986), emphasize that the quality of service is primary for the consumer in relation to banking services. Khazeh and Decker (1992) highlight the role of "price" as determinant in bank decision-making. Almossawi (2001), highlights reputation, parking, staff, A.T.M., as determining factors. Zineldin (1996) identifies as friendly determinants in decision-making the friendly behavior of staff, the accuracy of transactions, the efficiency in correcting mistakes. Ta & Har (2000), highlights high interest rates, convenient location, quality of service. Mylonakis, Malliaris and Siomkos (1998), identify the appropriate location, quality of service, lack of order, focus on customers. Almossawi reviewed the criteria for selecting banks working by college students aged 19-24 in Bahrain, where bankers, reputation, availability of parking space near the bank, kindness of bank staff, availability and location of automated cars found as determinants. Plank et al. studied "gender" differences in selection criteria. Men attach more importance to staff recognition and attention, while women set higher relative values of comfortable service, feelings of comfort in the bank, polite approaches to staff, and so on. Kennington et al. examined variables affecting the choice of bank customers in Poland. According to the research findings, it turns out to have been the reputation, price and service, the main variables that consumers seek. Gupta and Torkzadeh surveyed 500 residents of Winnipeg, Canada. The results showed that the most important factors were careful account management, interest rate of payment, courtesy and courtesy, transaction procedures. Ta and Har presented a decision hierarchy for the selection of the bank in Singapore based on nine criteria which were: High interest rate, suitable location, quality of service, facilities, quality of "self-banking", low commissions, rates low loans, long operating hours, university privileges and recommendations from the five banks with which the student has accounts as alternatives. The result revealed that the high interest rate on savings accounts is the most important factor in undergraduate students, in the decision to select banks (Ta and Har). Lee and Marlowe tried to identify how they decided consumers of financial institutions to open a current account. The study showed that ease (in terms of office location, salary lending and deposits direct), low commissions, minimum required balances, personalized services and range of services are the main criteria for decision-making, where these can vary according to the socio-economic and demographic profile of the clients. Lymperopoulos et al. examined the selection criteria that determine the selection of banks by customers for mortgage loans emphasizing the quality functional service and its importance in establishing strong relationships. Devlin (2002) analyzed consumer selection criteria in the UK retail banking market. It was found that the groups with the lowest financial knowledge were influenced by the location of the branch and the recommendations they received. In groups with higher financial knowledge, it turned out to take into account service attributes, rate of return, and low fees in their selection.

Safakli (2007) conducts a study in Northern Cyprus to examine the bank selection criteria employed by customers. The findings indicate that the most crucial criteria affecting customers' bank selection decisions are bank image, service quality and efficiency, parking facilities, convenient location, financial factors and affected opinion. The study indicates that it would be crucial to deal with different demographic characteristics of respondents as distinctive segments and treat different priorities in their bank selection process.

Mokhlis et al. (2008) argue that even though the majority of students are unemployed and have to depend on their educational loans, they still represent a crucial target market for banking services. They discuss the 9 factors which are considered significant by undergraduate students in selecting a bank as well as to examine whether undergraduates will be a homogeneous group concerning the way they select a bank. Results of the factor indicate that undergraduate students consider secure feelings as the most influential factor in affection of selecting a bank. ATM service and financial benefits are the second and third crucial factors in order when choosing a bank to patronize. The finding also indicates that undergraduate students are not a homogeneous group in the bank selection process,

Katircioglu et al. (2011) conducts a survey of 248 bank customers regarding the bank selection instrument in two cities of Romania: Bucharest and Constanta. They identify that seven crucial bank selection criteria of Romanian people are providing extensive ATM services, giving personal attention to customers, availability of internet banking and telephone, confidentiality of the bank for customer records, reputation and image of the banks, appearance of staff to be presentable and the number of branch offices around the country. In this case, “the number of branch offices around the country” are the most crucial factors determining customers’ bank selection.

METHODOLOGY

Research methods according to Mattheus B. and Ross L. (2010) are quantitative, qualitative or integrated. The quantitative method chosen for the research is characterized by: Positive approach, research questions can be posed as hypotheses for testing. Research questions or hypotheses are answered through statistical analysis, the researcher usually knows what he is looking for. The quantitative method is characterized by: The model, which is defined before data is collected. The objective is the approach of study (the researcher does not participate). As an instrument is used questionnaire or survey which are considered optimal for research of this nature. Data can be presented with numeric codes, labels. Generalizations can be made from the data. Deductive approach, which is the research approach, according to Trochim (2002), induction is usually described as the movement from specific to general while deduction begins with the general and ends with the specific. The quantitative study used enables the application of various statistical tests in order to test hypotheses and draw conclusions, Saunders et al (2009). The instrument for collecting primary data in the study is the questionnaire. The design of the questionnaire is based on the review of the literature and the conceptual model in order to achieve the objectives of the study. Primary data collection through the questionnaire instrument requires less time to collect data, is costly but allows a collection of data from a sample of a larger size compared to interviews (Gay & Airasian, 2000). Sample framework, list of population members Mattheus B. and Ross L. (2010). The search was done in the consumer segment Individuals. The sample size according to Mattheus B. and Ross L. (2010), up to 1000 members of the population is considered appropriate and applied by all research organizations. Sample size for study 650. Probabilistic sample, random, stratified. This approach is used in experimental research surveys, and in cases where quantitative data are collected. Choosing such an approach enables the researcher to perform statistical data analysis Mattheus B. and Ross L. (2010).

DATA ANALYSIS

In order to study the factors that affect the preference of consumers of banking services in Albania, the study has adopted a quantitative research approach. Before the survey was conducted, we conducted a pilot test to determine the validity of the research questionnaire and to improve it. To check the reliability of the data, we adapt one of the most common internal stability indicators: Cronbach's alpha test on SPSS 19, value 0.7 limit as reference. The resulting value indicates that the questionnaire is reliable. Following the answers received, in this case, as in general, researchers will use the Statistical Package for Social Sciences to analyze it. SPSS is one of the most widely used programs for statistical analysis in the social sciences (Pallant, 2010). The variables grouped into factors, are listed as follows: The bank has a well-known brand name, the bank has good security management, the bank offers differentiated service by segments, the bank offers parking, the bank offers mobile banking, the bank has an appropriate distribution of branches, the bank has a large number of branches, the bank has low service commissions, the bank offers good interest rates, the bank offers low interest rates on loans, opening a current account is simple, the bank has simple lending procedures, the bank offers a variety of debit cards, the bank offers a variety of credit cards, the bank offers gifts to customers, the bank offers many forms of lending, the bank has a large number of A.T.M, bank A.T.M. in suitable places, the bank offers fast service, bank offers internet banking, bank employees are friendly and polite, employees have knowledge skills and expertise, appropriate appearance and attire of employees, suitable facilities for providing services. Even in this study, as in other analog studies, SPSS is used for simple descriptive data, which describe the average score of the factors. To determine the factors that influence the choice of the bank, the answers reflect in a way the order of importance of the various factors. Since there are many influential factors in this study, after collecting the answers from the questionnaires, the authors conducted advanced statistical procedures of factor analysis. Because there are a large number of variables tested in research, the authors use a technique of summarizing and reducing data, “Analysis of the Exploratory Factor,” which analyzes as well as

simplifies the relationships between those variables (Pallant, 2010). In the study, before proceeding with factor analysis and deciding whether a certain data set is suitable for factor analysis, Kaiser-Meyer-Olkin (KMO) and the Bartlett Test should be done before factor the resulting values are such that factor analysis can yield valuable results. A score above 0.5 is a value that is considered acceptable, meanwhile, the Bartlett's test of sphericity, the sphericity test should be less than 0.05, in which case the zero hypothesis of lack of correlation between variables is also rejected acceptable. Reliability, safety, assurance, value added to services, access, responsibility, there are six factors in which study variables are included. The internet banking variable is included in the access factor, where the variables are included, the bank has a large number of A.T.M, bank A.T.M. in suitable places, the bank offers fast service, bank offers internet banking. From the factor analysis of the variables included in the six factors that determine the selection of the bank to individual consumers, in particular, the access factor, internet banking and the number of ATMs that the bank has, have the highest values.

CONCLUSIONS

This study was conducted to examine the factors that determine the decision to select banks in Albania. The focus of the study was the identification of the role of internet banking in the selection of the bank by individual consumers. The research findings revealed that although all explanatory variables exerted some influence on the decision to select bank customers in the study area, technology factors and specifically Internet banking as a variable are considered important. The conclusion of the study is that the main factors that bank customers in Albania consider important in their banking selection have been identified to a large extent and the special role of internet banking as a variable, part of the factors. This is explained by the different coefficients of the corresponding regression identified. It is therefore recommended that banks should receive proper recognition of these factors as a guide in designing their future strategies for competitors advantage.

REFERENCES

- Al Mossawi, M. (2001), "Bank selection criteria employed by college students in Bahrain: an empirical analysis", *International Journal of Bank Marketing*, Vol. 19 No. 3, pp. 115-25.
- Anderson W.T., Cox E.P. and Fulcher D.G., Bank selection decision and marketing segmentation, *Journal of marketing*, 40(1), 40-5 (1976).
- Arora R., Cavusgil S.T. and Nevin J.R., Evaluation of financial institutions by bank versus savings and loan customers: an analysis of factor congruency, *International Journal of Bank Marketing*, 3(3), 47-55(1985).
- Berger, N.A., and Mester, L.J., Inside the Black Box: What Explains Differences in the Efficiencies of Financial Institutions? *Journal of Banking and Finance*, Vol. 21, No. 7, 1997, pp. 895-947.
- Devlin J.F. and Ennew C.T., How the young choose financial services: a quantitative analysis, 34th EMAC Proceedings, University Bocconi, Milan (2005).
- Elliot M.B., Shatto D. and Singer C., Three customer values are key to marketing success, *Journal of Retail Banking Services*, 18(1), 1-7 (1996)
- Gupta , A. and Dev S. (2012) "Client satisfaction in Indian banks: an empirical study" *Management Research Review* Vol. 35 No. 7, 2012 pp. 617-636 .
- Karjaluto H., Selection criteria for a mode of bill payment: Empirical investigation among Finnish bank customers, *International Journal of Retail & Distribution Management* 30(6), 331-39 (2002).
- Katircioglu, S.T.,Tumer, M, andKilinc, C. (2011), Bank selection criteria in the banking industry: An empirical investigation from customers in Romanian cities', *African Journal Of Business Management*, Vol. 5 No. 14, pp. 51-58.
- Khazeh K, and Decker WH. (1993), How customers choose banks? *Journal of Retail Banking*, Vol. 14 No. 4, pp. 41-44.
- Kaynak, E, and Whiteley, A.(1999), Retail bank marketing in Western Australia, *International Journal Of Bank Marketing*, Vol. 17 No. 5, pp. 221-232
- Kennington C., Hill J. and Rakowska A., Customer selection criteria for banks in Poland, *International Journal of Bank Marketing*, 14(4), 12-21 (1996).
- Lee J. and Marlowe J., How consumers choose a financial institution: decision-making criteria and heuristics, *International Journal of Bank Marketing*, 21(2), 53-71 (2003).
- Lee, J. and Marlowe, J. (2003). How Consumers Choose a Financial Institution: Decision Making Criteria and Heuristics, *International Journal of Bank Marketing*, 21(2), pp. 53-71,
- Lymperopoulos, C., Chaniotakis, I.E., and Soureli, M., The Importance of Service Quality in Bank Selection for Mortgage Loans, *Managing Service Quality*, Vol. 16, No. 4, 2006, pp. 365–379.

- Mylonakis, J., Malliaris, P. and Siomkos, G., Marketing-driven Factors Influencing Savers in the Hellenic Bank Market. Journal of Applied Business Research, 14, No. 2, 1998, pp. 109-116.
- Mylonakis, J., P. Malliaris and G. Siomkos (1998), Marketing-driven factors influencing savers in the Hellenic bank market. Journal of Applied Business Research, Volume 14, No.2, pp. 109-116.
- Pallant, J. (2010), SPSS survival manual: A step by step guide to data analysis using SPSS. , Maryborough Victoria, Canberra, Australia, McPherson's Printing Group
- Philip Kotler, Gary Armstrong 14 E (2013) "Principles of Marketin" New Jersey Pearson Prentice Hall .Strategy in the Swedish Banking Industry, The TQM Magazine, 17(4), 329-344 (2005)
- Safakli, O. (2007), A research on the basic motivational factors in consumer bank selection : evidence from Northern Cyprus, Banks And Bank Systems : International Research Journal, Vol. 2 Issue 4, pp. 93-100.
- Saunders, M., Lewis, P. & Thornhill, A. (2012) —Research Methods for Business Students|| 6th edition, Pearson Education Limited.
- Ta, H. P. and Har, K. Y. (2000). A study of bank selection decisions in Singapore using the Analytical Hierarchy Process. International Journal of Bank Marketing, Vol. 18 Issue: 4, pp.170-180.
- Zineldin M., Quality and Customer Relationship Management (CRM) as Competitive

New Service Business Model And Marketing Mix Of The Services of the E-banking

Goran Kokaroski¹

Karolina Ilieska²

¹PhD Student, Faculty of Economics – Prilep ,goran.kokaroski@t.mk

²PhD, Faculty of Economics – Prilep, kilieska@yahoo.com

Abstract: The development of society and ICT creates a need for a new service paradigm, a paradigm for the 21st century. The service market was never wider, and competition between the services of E-banking has never been greater. The service business model defines the creation of service as a "production of service". Therefore, strategy, planning, and optimization of processes, as well as personalization of the service of E-banking, is needed.

The services of E-banking have specific characteristics that significantly differentiate them from the products. The specifics of the service concerning the product imply that the elements of the marketing mix of the product "4Ps" extend with four more elements of the marketing mix of the service.

Behavior management models represent a systemic and efficient approach to the development of the marketing service of a Bank that helps managers in setting up an adequate marketing strategy and program.

In this paper also we will research the implementation of e-banking and how it reflects toward improving the effects of the bank operations in the Republic of North Macedonia and increasing the satisfaction of their clients.

What are the perspectives of the implementation of E-banking, the capacity of its usage in the course along with bigger and better development of the service?

Keywords: models, services, marketing, mix, users, e-banking

Introduction

The new economy implies changing the paradigm for service activities. The development of marketing strategies based on knowledge for the marketing of production goods is insufficient and inefficient to develop a successful marketing strategy for services.

The old paradigm of services must be changed. It implies that¹: products do not differ from the services; all things are observed from the perspective of production; suggest inappropriate strategies.

Many services in the old paradigm have opposite characteristics: tangibility, divisibility, heterogeneity, and sustainability.

The old paradigm of services is determined by the following conditions: lack of PC, Internet, and website; lack of mobile phones; state regulation of competition and reduced intensity of innovation; limited use of insignificant service activities; lack of knowledge for improving the quality of the service; the application of a technology-based self-service is at an early stage.

The development of society and ICT creates a need for a new service paradigm, a paradigm for the 21st century. However, replacing one paradigm with another is suddenly a rejection of the previous scientific achievements as a whole². It is therefore necessary to gradually simultaneously change the paradigm of service activities.

The new paradigm should include marketing transactions that do not involve the transfer of ownership.

New service business model

The new paradigm should be useful and meaningful. The evaluation criteria are as follows: identifying the needs/priorities for academic research; incorporating the previous concept and useful conclusions; creating competitive strategies and opportunities for their implementation; determining the wishes of the user of the service to gain more value.

¹ Vargo, L., & Lusch, F. Evolving a Services dominant logic, *Journal of Marketing* 68, 1-17, 2004

² Kuhn, T., :The Structure of Scientific Revolution, p. 113, 1970

The new paradigm will allow the user to receive services as follows: related to the product: cars, furniture, appliances, equipment; related to place and space: hotel, office, a table in a restaurant, seat in an airplane; work and expertise: technical maintenance, cleaning, consultant; assistance in physical access and use: museum, theme parks, zoo; network access and usage: credit cards, insurance, telecom.

The new paradigm of service activities provides benefits for managers. These are the following: finding new opportunities for market appearance as well as creating new strategies, finding new partners; creating relational marketing with the user of the service and the user's loyalty strategies; full utilization of resources; the user receives the service on time; complex service involves a mix of physical, human, and network elements, but the time of use of each of these elements varies differently.

The service market was never wider, and competition between services has never been greater.

The new paradigm provides new benefits for service users, such as:

- Production goods can be the basis for the services, for example, the car is issued rent a car, the user receives instructions for use, the way of reservation, the location of the facility, privileges from the program for loyal users;
- Services include the sale of a wider physical entity and there is a desire and opportunity for users to choose a seat on the plane, a table in the restaurant, a room in the hotel. In some cases, contact with other users is an alternative to a more expensive offer of services;
- Expertization is unbearable but the benefits of it can be maintained by the user of the service;
- Time plays a central role in most services;
- The price of the service gets a new aspect and it must be about the quality and value that the user receives;
- More users have the opportunity to share the service, it can increase the quality of life and reduce the cost of the service and also solve the problem of limited resources.

The service business model defines the creation of service as a "production of service" and therefore it is about the industrialization of the service business model. Strategy, planning, and optimization of processes are needed. Also as a result of the fact that most users want "personal touch" comes to personalize the service.

Specific characteristics of the services

The services have specific characteristics that significantly differentiate them from the products. They are:

1.Untouchability

- Services are ideas and concepts that are part of the process;
- The user trusts the service provider, his reputation and that trust help him to predict the quality of the service and make the right choice.

Untouchability is the most commonly mentioned feature of services. Services are difficult to offer, but the service is difficult to understand because the service can not be seen, tried, touched. But services have properties that are experienced. Experience, attention, satisfaction are measured after using the service. Experiencing and expectations are subjective. The users dedicate special attention to the touching elements of the service: appearance and behavior of employees, the equipment used, the company name. Based on these, the user forms the perception of the quality of the service.

2.Inseparability

- Services are created and consumed at the same time;
- Services can not be entered into inventory;
- The service can not be separated from the service provider (in the restaurant you order the food, and people and the object are indivisible from the quality service you need to get);
- The demand fluctuation can not be achieved before consumption.

The user perceives all the visible elements of the service during its use, therefore it is difficult to control the provision of the service (transport by bus or restaurant service when there is a huge crowd).

3. Heterogeneity

- From the perspective of the client there is a wide variation of the service offer;
- Personalization of services increases their heterogeneity;
- The perceived quality of service varies from one user to another (air travel can vary significantly because of the different training of flight crew; the concert is different for two evenings);

Heterogeneity creates problems in standardization and quality control of services. The solution to this problem is required in the education and motivation of the employees in the service company.

4. Short duration

- Every service is short-lived;
- The service can not be stored because if the service capacity is not used, the provider will lose opportunities;
- Service capacity assessment and planning are key aspects of service management.

Short duration is a consequence of the previous characteristics. The excess of the service that is not used can not be stored (night accommodation in a hotel at lower weekend prices can not be realized later in another period). It is necessary to develop a system of services that takes into account the changing demand according to the seasonal and time factor (crowding in the public city transport during the morning when traveling in the workplace or at noon when returning, hotel accommodation in the season and off-season).

5. Lack of ownership

- The service can not be owned as a product;
- The user has access to the service for a limited period (insurance policy for a certain period for which he has paid, airline ticket for a certain period).

Buying a service does not end with the transfer of its ownership to the user.

Instruments of the marketing of services "8p's"

Services marketing has certain specifics and they are: the marketing mix has multiple variables; closer links between marketing and operations; user interface; incentive management; determining prices.

Service marketing differs from product marketing primarily with the necessity of the user's participation in the process of creating the service.

This process requires perceiving the need for: user perceptions management; educating the user; understanding what the user perceives as value; expectation management; management of the promises for the service from the service company.

"With the rise in service activities and the increase in the value addition of services from productive goods, the line of division between services and the product sometimes becomes obscure"³

"There are no service industries. There are only industries whose service components are more or less than those of other industries. Everyone is in the service area."⁴

The specifics of the service concerning the product impose the elements of the marketing mix of the product "4P" expand with four more elements of the marketing mix of the service. Thus elements of the marketing mix of the service are service product; place and time; promotion; price; service ambient; process; people; productivity and quality.

The service offer is the first variable for which a decision is made when deciding on the marketing mix of the service. Service companies rarely offer only one service. Most often, the offer covers several or more services.

³ Oliva, R., Kallenberg, R. : "Managing the Transition from Products to Services", International Journal of Service Industry Management 14, no. 2: 160-172 (2003)

⁴ Levitt, T. : "Marketing for Business Growth", New York, Mc Graw-Hill, pp5 (1974)

The simultaneous provision and use of the service as well as the inability to store the services are the basic features of the service that should be taken into account when deciding the place and time as a variable in the marketing mix of the service.

The top service, although the price is affordable and easily accessible, will not be used if potential users do not inform us about its existence, features, and advantages offered the price and the place where it is offered.

The cost of the service is a particularly important variable in the marketing mix of services. The specificity of the service due to its intangibility gives strategic importance to the price of the service and sets it as one of the most important factors for achieving the competitive advantage of the service company.

The service ambience is a "raw material" for the production of the service.⁵ In this way, it becomes part of the service and an important variable in the marketing mix of the service.

With the elements of the service ambient, it tries to compensate for the untouchability of the service.

The service company product does not constitute only the set of elements that constitute the service, but it is also the results that are achieved by giving the service.

The results largely depend on the impact of that part of the service-producing process that is transparent to the user.

The process of providing a service for the user is part of the service itself. This process consists of elements such as procedures, mechanisms, methods, tasks, steps, routine activities, as well as the order of their execution.

The people (employees) in the service company involved in the process of providing and using the service are an important element of the service marketing mix.

They represent an important factor for differentiating from the competition. It is necessary to understand their place and role in the service company, but also their attitudes and values.

Employees in the service company have a dual interaction, such as the surroundings and the internal organization and structure.

"Productivity and quality of service are interconnected and indivisible as the two sides of the same banknote."⁶ The productivity of the service is measured as a degree of effective utilization of the entry into the service process in the output that needs to satisfy the expectations of the users for the service. Quality of service is the extent to which the service meets the expectations of the user.

Models for managing with behaviors of users of the service

Models for managing with behaviors of users of the service

User behavior management models represent a systemic and efficient approach to the development of the marketing service of a service company that helps managers in setting up an adequate marketing strategy and program.

However, for these models to be used, two conditions must be met.

The first condition based on the given marketing objectives must be to develop a multi-phase model for user behavior that is necessary for the committed company.

The second condition - the frequency of performance of user behavior must be measured to gather basic data and information.

The characteristic behavior management model for users consists of the following stages:

1. Identifying a behavioral problem;
2. An analysis of the unplanned costs of the user;

⁵ Dosen, Dj.: "Marketing usluga", Mikrorad, Zagreb, 2002, pp108

⁶ Jakoski, B. : "Marketing na uslužni dejnosti", Skopje, pp 260, 2006

3. Development and implementation of a behavior change strategy;
4. Measurement of behavioral change;
5. Acceptance of behavioral change;
6. Maintenance of behavior;
7. Implementation of the strategy;
8. Assessment for strategy advancement.

The first phase defines a problem that is not sufficiently used in terms of marketing. The problem may be to refrain from purchasing certain services because they are not appropriately represented and cannot contact them.

In the second phase, when the problem is defined, one must analyze the interdependence of the behavior of users and the environment.

The development and application of the strategy for changing customer behavior are covered in the third phase of the model.

The fourth and fifth stages take into account that once the strategy has been applied, the behavior must be re-measured to determine whether the problem is solved successfully. If the behavior of users is not significantly changed, it is necessary to return from the beginning to re-analyze all possibilities and to develop new strategies. Sometimes a very small change in behavior is sufficient for the marketing strategy to be successful.

In the sixth phase of the model, if the strategy proves to be successful, it is going to maintain the behavior of users.

In the seventh phase, the service company must, after developing and maintaining the behavior, reconsider whether such behavior is being met adequately and often enough to achieve the intended goals. If a new problem occurs in the behavior of users, then the further implementation of the model is blocked and the entire procedure is returned from the beginning. This is repeated until the behavior is brought in line with the goals of the service company.

Finally, in the eighth phase, the marketing strategy is reconsidered for its possible advancement, for which there is always an interest and objective conditions.

The "Servuction"⁷ model specifies the creation value for the user in a specific way.

The user of the service acquires value through an interactive process of his experience gained from the use of the service.

The seduction system of the service company is defined as "System and coherent organization of all physical and human elements in the user-service relationship that is required for the organization of service provision with certain commercial features and a certain quality".⁸

According to the model, the service company is divided into two parts: a visible part and an invisible part for the user of the service.

The visual part consists of the physical environment and the contact staff of the service company⁹ (employees who come in contact with the user in the process of providing the service). The invisible part is necessary support of the visible part.

Users A and B are also parts of the model.

The basic message of the model is that the set of values for the user A stems from the interaction with the visible physical environment, the persons who provide the service and the user B, which means that it arises from the interactive process or experience.

⁷ Eiglier, P., Langeard, E. : "Servuction -Le marketing des services", McGraw-Hill, Paris, 1987

⁸ Eiglier, P., Langeard, E. : "Servuction -Le marketing des services", McGraw-Hill, Paris, 1987

⁹ Shostack, L. : "Service Positioning Through Structural Change", Journal of Marketing, Vol 51 No.1, 1987, pp 34-43

The relationship between the elements of the Servuction system is reciprocal and acts in two directions. There are three sets of relationships between the elements:

1. Primary relations - represent an interaction between the service company and the market;
2. Internal relations - represent an interaction between the elements of the service company and link its visible and invisible part (to the user);
3. Relationships that arise due to the simultaneous use of the service by two or more users - represent an interaction between users A and B and determine the consequences that such mutual relations of users have on the perceived service on the side of each of them.

The Blueprinting concept is used to effectively manage the behavior of users of the service. The development of a detailed graphical representation of the logical order of operations in the process of providing services is called Blueprinting.

The identification of the steps and their duration in the service delivery process enables the detection of bottlenecks, the identification of the places of the user's contact with the service, and the change in the user's behavior. All this enables diversification and differentiation of the service.

Such an overview allows the service company to "look inside", but it also allows users to participate in its creation. The users describe the process of providing a service, that is, the role they have in the process, as well as the process of using the service

The value of the Blueprinting concept consists of the possibilities it offers to better understand the location and duration of the user's contact with the service.

About e-banking

E-banking plan

With the emergence of the processes for a transition to electronic operation of the banking sector, the creation of an electronic bank, the processes for planning and managing e-banking are initiated, which to date has been followed by a huge number of changes. For the complete implementation of the plans for electronic banking, it is important to conceptualize the elementary principles for the success of the process itself, ie to determine the goals, the necessary resources, the necessary finances, and the time. As basic principles, the above four provide an opportunity to create a detailed plan for accessing the creation of a strategy for the functioning of the overall concept of e-banking. Taking into account that the commercial banks for the realization of the plan they have prepared for electronic banking are preparing a blurred budget for investments to develop software solutions and platforms to support new applause for newer generations of personal computers, smartphones, digital tablets - portable, the development of this segment is considered to be at a faster pace and is moving towards attracting more and more users. The electronic or digital economy is growing rapidly and in that part it is safe to say that the banking sector is almost at the top of this revolution. This type of economic processes, electronic and digital, still have the primacy of a driver in the new way of doing business, but whether it will remain so or there will be a movement towards new services that use Internet wallpapers is for the institutions in the sector to answer. Developing countries could embrace Western models and e-banking planning, given that this concept is being developed in developed countries. Continued economic and banking reforms are a key condition for e-banking to be able to be planned and implemented in developing countries. This will include continuous reforms of various trade, banking, and bureaucratic infrastructures, to enable the development of information and communication technology, and thus the development of e-banking infrastructure. Great attention should also be paid to the field of banking training in the planning and use of electronic channels for the distribution of services and products.

Objectives of e-banking

The main goal of the commercial banks, due to which they invest significant funds for the introduction of new technologies in the operation, however, is to achieve a competitive advantage, greater efficiency and increase profits. The high development of information technologies, the greater availability of highly educated and professional staff, and the deregulation of the banking market greatly contribute to achieving many goals for which commercial banks sought to achieve by introducing e-banking. Greater comfort and reliability is achieved

for consumers, reducing the risk of financial losses because the electronic mode of operation allows banks to keep records of all transactions performed. Banks have greatly reduced their operating costs, increasing profits that can be categorized as financially caused by an increase in the number of customers and non-financial, which is caused by an increase in employee morale.¹⁰ Most banks and financial institutions in the developed world have established an online presence for several reasons. Some banks are there only because their competition is also present on the web. Some use it as a bank channel that is part of their distribution. E-banking has developed greatly as a result of technological development in the field of computers and communication, but there are many other factors and challenges that play an important role in its development. According to authors Jayawardhena and Foley, the challenges for banks are fourfold.¹¹ The goals of e-banking in this area are very clear: first, they need to meet the demands of customers who are complex and rapidly changing then, they have to deal with existing and new market participants third, they need to cope with the pressure of fast delivery of their services, and fourth, banks need to continuously develop new and innovative services to compete with the competition. Perhaps one of the goals is the challenge of having a widespread network of branches is no longer the main source of competitive advantage, so e-banking by many banks is considered a key tool for addressing these challenges.

E-banking has developed greatly as a result of technological development in the field of computers and communication, but many other factors and challenges play an important role in its development. According to authors Jayawardhena and Foley, the challenges for banks are fourfold. The goals of e-banking in this area are very clear: first, they need to meet the demands of customers who are complex and rapidly changing then, they have to deal with existing and new market participants third, they need to cope with the pressure of fast delivery of their services, and fourth, banks need to continuously develop new and innovative services to compete with the competition. Perhaps one of the goals is the challenge of having a widespread network of branches is no longer the main source of competitive advantage, so e-banking by many banks is considered a key tool for addressing these challenges. Knowing that e-banking is a huge investment, the question arises as to the motivation of commercial banks to introduce it, given the many problems and risks it poses. The main goals for the acceptance and more intensive introduction of electronic banking in banks are the following:¹²

1. Customer demand - with the advent of the digital economy, customers are increasingly looking for value, 24-hour availability, products designed to their specific needs, with the lowest possible costs and as soon as possible. To meet these requirements, banks have been in a position to find new, innovative ways to create value for customers of their services, and e-banking is considered an innovative way of working that will meet customer expectations.
2. Achieving a competitive advantage - since Internet banking is becoming more and more popular and widely accepted in most parts of the world, this in itself is not a special competitive advantage, at least not in developed countries. Banks need to invest a lot more if they want to keep up with the competition. This means combining e-banking with additional services, such as superior customer service or cross-selling, developing new, innovative products, and more. The development of the Internet and other communication channels has developed new types of interactions between consumers, the market, and suppliers. These interactions can provide a huge flow of information in all directions. Effective use of this information can be another major source of competitive advantage for banks in the future.
3. Increased sales to existing customers, financial services markets in most developed countries are significantly developed and there is limited space for them to create new markets. This means that the most acceptable way for banks to grow is to sell more products to existing customers. In some cases, such as Woolwich in the UK, each e-banking user has an average of four financial products, a significantly higher number than traditional banking customers.

¹⁰ Uroš T., „Elektronsko bankarstvo“, Visoka beogradska poslovna škola- visoka škola strukturnih studija, Beograd, 2008, pp.139

¹¹ Shah, M. & Clarke, S. E-banking management. Issues, solutions and Strategies. Information Science Reference. Hershey. New York, 2009, pp33

¹² Shah, M. & Clarke, S. E-banking management. Issues, solutions and Strategies. Information Science Reference. Hershey. New York, 2009, pp168-169

4. Achieving greater efficiency, some banks see e-banking as an opportunity to reduce operating costs, as the cost of an e-banking transaction is much lower than other service delivery channels. E-banking can also help reduce operating costs as banks can significantly reduce the number of branches or branches, introduce new more efficient business processes, and new ways of communicating between employees. All of this may seem like an unnecessary and expensive investment at first, but in the long run it can prove extremely important and allow banks to survive the economic pressures. Therefore, the goals for the introduction of electronic banking are primarily due to the banks' attempt to keep the old customers and gain new ones, which is related to the banks' efforts to increase their reputation by accepting innovations, to respond to the introduction of innovative services. by competitors, to develop mass services tailored to the needs of the client and to reduce operating costs by streamlining business processes.

E-banking strategy

Numerous changes have taken place in banking in the last twenty years. In part, they are the result of political, economic, technological, and demographic changes that have affected developed countries and transition countries, and in part they are the result of internal changes in the overall financial sector. If you compare modern banking with a traditional one, you can see many essential differences. The new business philosophies of the banks from which new strategies emerge are characterized by customer orientation as opposed to traditional profit-oriented banking. Due to the growth of living standards around the world and the increasing competition on a global scale, changes in the banks' business philosophy have become inevitable. However, the e-banking strategy in commercial banks is not only from a marketing point of view, but it also covers all sectors in the operation of the business bank and needs to be harmonized at all levels. Strategic models were first developed in major banking systems in the developed world and then accepted and adopted by developing countries.

The largest number of banks that have established a strategy for multiple distribution channels in e-banking is in the United States, and in Europe, the banks in the Scandinavian countries are the furthest, followed by the United Kingdom, Germany, Italy, Spain, and France.

At the beginning of this century, the strategy of multiple distribution channels in e-banking became the most important model for working in Europe. Hence, research shows three main strategic models of e-banking in Europe:¹³

- Customer Relationship Management - According to this model, the bank's strategy is focused on managing the relationship between the bank and the client to develop and maintain long-term and successful cooperation. The most important target is customers with great financial potential in which the bank strives to become an exclusive provider of banking services. Services are available online and by phone or smartphone 24 hours a day, seven days a week;
- Specialists for certain needs (to be a leader in providing services for a smaller market segment). In this model, the bank concentrates on solving specific customer problems. In such cases, the bank charges high fees from its customers because it provides very specific and sophisticated services;
- Low pricing of services - in this strategy or model the bank provides standardized services to a large number of customers and thus achieves lower single costs and thus lower costs of services. In such a situation, the Internet is the most acceptable telephone and mobile banking due to its specific characteristics: speed, convenience, and low prices, as ideal distribution channels of banking services.

For a successful strategy in the introduction and development of e-banking, certain preconditions need to be met:

Population

- Information knowledge - the ability to use the Internet successfully;

¹³ Jovanović , Petar: „Kompetetntnost projektnih menadžera“,Udruženje ya upravljanje projektima Srbije,Beograd,2008,str.96.

- Ethical behavior - accepting and respecting the rules of trade, avoiding harmful behavior;
- Economic power-consumption power, savings, account, payment card;
- Knowledge of the electronic payment system

Bank

- Customer commitment - to customize the bank's website according to the ability and need of the customers;
- High quality, convenience, and reliability of services;
- Clear goals and a clear strategy for electronic banking;
- Resources of the bank (staff);

State

- Clear and comprehensive legislation - data protection and data transfer law, penal provisions against the misuse of electronic banking services, electronic signature laws, digital systems for clearing interbank transactions and transfer of funds;
- Assistance in the development of e-banking - the speed of obtaining approvals for the introduction of new services, an efficient surveillance system against offenders and the fight against e-crime

Internet

- Developed internet network and system;
- Speed and availability for internet connection;
- Low cost of internet services

In addition to the banks that are building the e-banking strategy and thus are a step towards the introduction of the same, the other participants in the system should give their contribution so that the users for whom the service is intended to accept and use it as much as possible. Low information literacy and high prices of telecommunications services are an obstacle in the main part of the e-copper strategy for which banks strive to focus on widespread use. Here, banks cannot contribute to increasing the number of customers, and thus the strategy does not show good results.

Banks today need to move quickly, accurately, and promptly, redesign their networks, and redirect staff costs to strengthen their team, and this is considered one of the key parts of the e-banking strategy.

The new integrated online and offline digital bank needs a new organizational and technical pillar to enable it to gain experience for as easy a service as possible, which is focused on customers who are tailored to the different needs across all channels. offline modalities free banks to start changing and reorganizing the channel and product and geographically mobilize around customer segments as the main strategy of e-banking.

Case study - Hypothesis testing

For the needs of the preparation of this paper, in the part of the primary research, three types of questionnaires have been developed, for banks as service providers, for natural persons and legal entities, ie companies as users of the service with optimal extract, as follows:

- Individuals: Optimal excerpt 139 respondents (Basic set 1,808,131; probability of assessment 95%; margin of error 4.99%)
- Legal entities (business entities): Optimal extract 73 business entities (Basic set 72,315; probability of assessment 95%; margin of error 5%)
- Banks; Optimal excerpt 5 banks (Basic set 15; probability rating 95%; margin of error 4.68%)

Bank Questionnaire

F - Factor test for

Q.6	The implementation of electronic banking affects the improvement of the effects of the bank's operations (answer from 1 to 5 where "1" is the weakest and "5" is the strongest)	1	2	3	4	5
	Response by banks	0	0	0	1	4

and

Q.7.9	E-banking services increase the satisfaction of your customers	1	2	3	4	5
	Response by banks	0	0	0	1	4

H₀: The implementation of electronic banking does not affect the improvement of the effects of the operation of the banks in the Republic of North Macedonia and increase the satisfaction of their clients.

F-Test Two-Sample for Variances		
	Variable 1	Variable 2
Mean	4,8	4,8
Variance	0,2	0,2
Observations	5	5
df	4	4
F	1	
P(F<=f) one-tail	0,5	
F Critical one-tail	0,156538	

$1 > 0,1565$, **H₀** it is rejected, and the hypothesis is accepted

H₁: The implementation of electronic banking affects the improvement of the effects of the operation of banks in the Republic of North Macedonia and increasing the satisfaction of their customers.

The main hypothesis is confirmed: The implementation of electronic banking affects the improvement of the effects of the operation of banks in the Republic of North Macedonia.

Regression

Factor regression question no.13 with question no.5

Q.13	The implementation and promotion of e-banking is in line with global trends (answer from 1 to 5 where "1" is the weakest and "5" is the strongest)	1	2	3	4	5
	Response by banks	0	0	1	2	2

and

Q.5	What does your e-banking service offer?	Online application for different types of products that the bank offers	Reviews of account balances	Execution of various types of transactions in the payment operations in the domestic payment system through all payment systems	Review of the balance of foreign currency accounts	Payments from foreign currency accounts abroad (foreign currency remittances, letters of credit, etc.)	Other
	Response by banks	3	5	5	5	1	5

SUMMARY OUTPUT								
Regression Statistics								
Multiple R	0,845154							
R Square	0,714286							
Adjusted R Square	0,619048							
Standard Error	0,516398							
Observations	5							
ANOVA								
	<i>df</i>	<i>SS</i>	<i>MS</i>	<i>F</i>	<i>Significance F</i>			
Regression	1	2	2	7,5	0,071422			
Residual	3	0,8	0,266667					
Total	4	2,8						
	<i>Coefficients</i>	<i>Standard Error</i>	<i>t Stat</i>	<i>P-value</i>	<i>Lower 95%</i>	<i>Upper 95%</i>	<i>Lower 95.0%</i>	<i>Upper 95.0%</i>
Intercept	2,2	0,765942	2,872281	0,063931	-0,237568	4,637568	-0,237568	4,637568
X Variable 1	1	0,365148	2,738613	0,071422	-0,162065	2,162065	-0,162065	2,162065

The regression coefficient is 0.71 and when changing the independent variable "What does the offer of your e-banking service contain" for 1 dependent variable "Implementation and promotion of electronic banking are appropriate to global trends" changed by 0.37.

The auxiliary hypothesis is confirmed: 1. The implementation and promotion of electronic banking in the banks in the Republic of North Macedonia is in line with global trends.

Correlation for factors

Q.14	The implementation of e-banking affects the improvement of the bank's performance (answer from 1 to 5 where "1" is the weakest and "5" is the strongest)	1	2	3	4	5
	Response by banks	0	0	0	2	3

and

Q.15	Reasons to submit an e-banking offer (answer from 1 to 5 where "1" is the weakest and "5" is the strongest)	1	2	3	4	5
Q.15.1	Profit	1	2	3	4	5
	Response by banks	0	3	2	0	0
Q.15.2	Convenience for work and functioning (both for the bank and for the clients)	1	2	3	4	5
	Response by banks	0	0	0	2	3
Q.15.3	Retain existing customers	1	2	3	4	5
	Response by banks	0	0	0	3	2
Q.15.4	New trends	1	2	3	4	5
	Response by banks	0	0	0	0	5
Q.15.5	To attract new customers	1	2	3	4	5
	Response by banks	0	0	0	4	1
Q.15.6	Competitiveness	1	2	3	4	5
	Response by banks	0	0	0	0	5
Q.15.7	Customer Requirements	1	2	3	4	5
	Response by banks	0	1	2	1	1
Q.15.8	Other	1	2	3	4	5
	Response by banks	5	0	0	0	0

	Column 1	Column 2	Column 3	Column 4	Column 5	Column 6	Column 7	Column 8	Column 9
Column 1	1								
Column 2	-0,166667	1							
Column 3	0,166667	0,666667	1						
Column 4	-0,166667	0,166667	-0,166667	1					
Column 5	0	0	0	0	1				
Column 6	-0,612372	-0,408248	-0,612372	0,612372	0	1			
Column 7	0	0	0	0	0	0	1		
Column 8	-0,480384	0,080064	-0,080064	0,880705	0	0,784465	0	1	
Column 9	0	0	0	0	0	0	0	0	1

The highest degree of addiction of 0.88 is among the factors: To retain existing customers and customer requirements.

There is a dependency of 0.78 between the factors: To attract new customers and customer requirements.

There is a 0.67 dependence between Profit and Occupational Factors (both for the bank and for the clients).

The auxiliary hypothesis is confirmed: 2. The implementation of electronic banking affects the improvement of the performance of the banks in the Republic of North Macedonia.

Questionnaire for companies (legal entities)

F - Factor Test for:

Q.8	How much money does your company make through the electronic banking systems you use in the banks where you are a customer (per year)	Up to 100,000 denars, approximately 1500 euros	100,000-500,000 denars, approximately 1500-9000 euros	500,000-1,000,000 denars, approximately 9000-15000 euros	1,000,000-5,000,000 denars, approximately 15000-90000 euros	Over 5,000,000 denars, over 90000 euros
	Answer by companies (legal entities)	2	26	4	1	1

and

Q.6	How often do you use e-banking for your company's needs?	Daily	Weekly (several times a week)	Monthly (several times a month)	Annually (several times a year)
	Answer by companies (legal entities)	21	6	4	3

H₀:How much money your company makes in electronic banking transactions systems that you use in banks where you are a customer does not depend on how often you use electronic banking for the needs of your company.

F-Test Two-Sample for Variances		
	Variable 1	Variable 2
Mean	2,205882	1,676471
Variance	0,532086	1,013369
Observations	34	34
df	33	33
F	0,525066	
P(F<=f) one-tail	0,034300	
F Critical one-tail	0,559340	

0,525 < 0,559 H₀, but the hypothesis is accepted that the amount in denars your company makes through the electronic banking systems you use in banks where you are a customer does not depend on how often you use electronic banking for the needs of your company.

The auxiliary hypothesis is confirmed:

The efficiency of the operation of the companies in the Republic of Macedonia is increased by using electronic banking services.

Questionnaire for individuals (clients)

F - Factor Test for:

Q.10	Are you satisfied with the service provided by the banks where you are a customer in the area of electronic banking services (on the following questions mark from 1 to 5, where 1 is the weakest and 5 is the strongest)	1	2	3	4	5
	Customer response (individuals)	18	25	15	30	51

and

Q.3	Do you prefer to use payment cards (answer from 1 to 5 where "1" is the least and "5" is the most)	1	2	3	4	5
	Customer response (individuals)	11	0	8	56	64

H₀: Whether you are satisfied with the service provided by the banks where you are a customer in the area of electronic banking services does not depend on whether you prefer to use payment cards.

F-Test Two-Sample for Variances		
	Variable 1	Variable 2
Mean	3,510791	4,165468
Variance	2,135752	1,211552
Observations	139	139
df	138	138
F	1,762823	
P(F<=f) one-tail	0,000480	
F Critical one-tail	1,324461	

$1,76 > 1,32$, **H₀**, it is rejected, and the hypothesis is accepted

H₁: Whether you are satisfied with the service provided by the banks where you are a customer in the area of electronic banking services depends on whether you prefer to use payment cards.

The auxiliary hypothesis is confirmed: The implementation of electronic banking affects the increase of the customer satisfaction of the banks in the Republic of North Macedonia.

Conclusion

From the answers to the questions asked to the commercial banks, it can be freely concluded that the offer they have is aimed at both legal entities and individuals, which is the first time it has been offered more than ten years ago. The number of users of this type of service according to the information provided by commercial banks is just over 20%, given that users of this type of service have a business relationship with several banks and use different distribution channels from e-banking.

A very small part of the commercial banks deviate from the offer, ie almost all of them have a similar offer for their clients. Larger banks in any case have more financial and human resources, and thus their offer contains greater and more significant opportunities for customers. Advanced services, such as payments in international payment systems, require more knowledge of the type of work or procedure to be performed and the type of skills used to use the e-banking option itself. Undoubtedly, if we evaluate according to the answers received from the commercial banks, we can freely conclude that the implementation of electronic banking affects all effects and processes in the operation, which is very positive, which contributes to the increasing development of the institution itself and thus to achieve the set goals. goals and accomplishment of all tasks.

According to the answers from the commercial banks, the implementation of electronic banking has a high degree of influence on the effects of the operation of the bank itself and improves its performance. The surveyed commercial banks are generally guided by the information and requests they receive from their customers, which confirms that the effects of the implementation of electronic banking completely improve all the processes of the functioning of the institution.

Literature/References

- Eiglier, P., Langeard, E. : "Servuction -Le marketing des services", McGraw-Hill, Paris, pp. 213, 1987
- Dosen, Dj.: "Marketing usluga", Mikrorad, Zagreb, pp 108, 2002,
- Ilieska, K., "Marketing na usluzi", Bitola, pp. 33-36, 2009
- Jakoskii, B. : "Marketing na uslužni dejnosti", Skopje, pp.260, 2006
- Kuhn, T., : "The Structure of Scientific Revolution", pp. 113, 1970
- Levitt, T. : "Marketing for Business Growth", New York, Mc Graw-Hill, pp 5 , 1974
- Oliva, R., Kallenberg, R.: "Managing the Transition from Products to Services", International Journal of Service Industry Management 14, no. 2: 160-172, 2003
- Vargo, L., & Lusch, F. Evolving a Services dominant logic, Journal of Marketing 68, 1-17, 2004
- Shostack, L. : "Service Positioning Through Structural Change", Journal of Marketing, Vol 51 No.1, pp 34-43, 1987
- Uroš T., "Elektronsko bankarstvo", Visoka beogradska poslovna škola- visoka škola strukturnih studija, Beograd, 2008, pp.139
- Shah, M. & Clarke, S. E-banking management. Issues, solutions and Strategies. Information Science Reference. Hershey. New York
- Jovanović, Petar: „Kompetetntnost projektnih menađera“, Udruženje za upravljanje projektima Srbije, Beograd, 2008, pp.96.

The Struggle for Democracy in Bulgaria: A Review About How the EU Contributes to Development of Democracy in Bulgaria

Hasan Onur DEMİR¹

Varna Free University “Chernorizets Hrabar”, Administration Management Political Science,
onur_demir1177@hotmail.com, ORCID: <https://orcid.org/0000-0002-0194-1393>

Abstract: The dissolution of Soviet Union meant that both end of the Cold War and end transition from bipolar world to unipolar World. But for the Eastern Bloc countries, it was a beginning of a new era, the democracy era. After the Soviet Union collapsed, an intense relationship started between the EU and Eastern European Countries. The Transition into common market, integration to the West and democratization of those countries were had been supported by the EU because it was crucial for the security of the EU. As a result of this, the EU started to enlarge toward Central and Eastern Europe and today they are an alliance of 27 countries. For a long time communist party was in power in Bulgaria, where political pluralism and democratic political participation were very limited, a democratic structure had been started to build in early 1990s. Elections were held for the first time in 1990 after the World War II. To complete their integration to the West, Bulgaria applied for full membership to the EU on 16 December 1995 and negotiations started on 15 February 2000. A Road Map was provided to ensure that Bulgaria meets the requirements which includes many conditions to develop democratic institutions among others for full membership to the EU. They have struggled against organised crime, corruption, bribery but eventually Bulgaria became a full member of the EU on 1 January 2007 despite of some shortcomings. Bulgaria has achieved significant and large-scale success to implement and maintain democratic process and institutions. The benefits of enlargement to the EU and the contributions of the enlargement policy of the European Union to the democratization movement in Bulgaria will be examined in this paper by examining and comparing reports of European Commission.

Key Words: Bulgaria, the EU, Democracy

1. INTRODUCTION

The II. World War had caused enormous devastation in Europe. The European Coal and Steel Community (ECSC) was established by 6 countries (Belgium, Federal Germany, Luxembourg, France, Italy and the Netherlands) in 1951 in order to remove the effects of destruction and instability left behind by the II. World War and to restore peace and prosperity in the continent again. In 1957, it was decided to establish an economic community based on the free movement of labour and goods and services. Thus, by signing the Treaty of Rome in 1957, the European Economic Community (EEC) was founded. The aim of the EEC was to establish a common market in which goods, workforce, services and capital flow freely. Although the aim of these communities was to erase the traces of the economic depression created by the II. World War, they were the first steps towards the political integration of Europe, that is, its unity.

The EU, from the 1950s to the present, has gone through six stages of enlargement in the process. The success of the Community prompted the UK, Denmark and Ireland to apply for Community membership. The three countries became members in 1973, following a period of discussion, which France vetoed twice accession of Britain in 1963 and 1967. The Community expanded south with the joining of Greece in 1981 and Spain and Portugal in 1986. The number of members reached 12. Following the fall of the Berlin Wall, the unification of Germany on 3 November 1990, the liberation and democratization of Central and Eastern European countries from Soviet control, and the dissolution of the Soviet Union in December 1991 changed the political structure of Europe. After these events, the member states began negotiations on a new Treaty, the main features of which were agreed at the European Union Summit held in Maastricht on 9-10 December 1991. The Maastricht Treaty, also known as the Treaty of European Union, entered into force on 1 November 1993. In 1995, with the accession of Austria, Finland and Sweden, the number of members of the European Union increased to 15. In 2004, the biggest wave of enlargement in the history of the European Union took place and 10 new countries (Cyprus, Czech Republic, Estonia, Latvia, Hungary, Lithuania, Malta, Poland, Slovakia and Slovenia) joined the European Union. In 2007, the number of EU members increased to 27 with the accession of Bulgaria and Romania. The European Union, which was founded to realize the dream of "United Europe" under the leadership of 6 countries after the II. World War finally became a union with 28 (Now it is a union with 27 members after Brexit) members in 2013 with the accession of Croatia.

The collapse of the Union of Soviet Socialist Republics (USSR) and the end of the Cold War represent a new process not only for European politics, but also for the internal politics and regime dynamics of the Eastern bloc countries. The integration of the Eastern Bloc Countries with Western Europe was crucial for Europe's security. After the collapse of the Soviet Union, problems such as ethnic and religious conflicts, immigration, bad economic conditions that could lead to instability and the end of the peace environment were also threats to the security of Europe. Therefore, the European Union, which is a powerful regional actor, aimed to include the former eastern bloc countries in accordance with the Copenhagen criteria. In this period, the EU, which carried out its policies of enlargement and deepening together, used its normative power to enable the countries in the region to take important steps in the transformation process and towards democratization. The one-party regimes in the eastern bloc countries collapsed; free and fair elections were followed by subsequent reforms.

In this paper, the benefits of enlargement to the EU and the contributions of the enlargement policy of the European Union to the democratization movement in Bulgaria which made EU membership the main target in foreign policy in the post-Soviet period and its impact on the political transformation of Bulgaria will be highlighted.

2. CENTRAL AND EASTERN EUROPEAN (CEE) ENLARGEMENTS POLICY OF THE EU

After the collapse of the Soviet Union, the integration of the former eastern bloc countries to the west was on the agenda of the community. Because the political instability that might occur due to the power void in the current political situation was also a threat to the security of the EU. (Kaya, 2016:216) But the political, economic and administrative situations of these countries were not suitable for their integration with the west. Therefore, a framework of possible enlargement had to be determined. The establishment of unity, peace and prosperity in the continent could be achieved by the participation of these countries in the community by meeting certain criteria. The EU which pioneers values such as the rule of law, human rights, democracy and the free market economy and seeks to adopt these values throughout Europe. The inclusion of states that comply with these conditions and adopt common European values to the community would have had a great political and economic contribution. These conditions that countries wishing to join the EU must fulfil, also known as the "Copenhagen Criteria", include:

-POLITICAL CRITERIA: The existence of institutions that guarantee democracy, the rule of law, human rights and minority rights.

-ECONOMIC CRITERIA: The existence of a free market economy that functions and can also withstand competitive pressures and other free market forces within the Union.

-ADOPTING THE COMMUNITY LEGISLATION (ACQUIS): To have the capacity to fulfil the obligations required for membership in order to stick to the goals of the political, economic and financial union. (21-22 June 1993 Copenhagen European Council Presidency Conclusions, 2011)

The possible gains of enlargement in line with the common goals and values of the community are described as follows: *Enlargement has proved a historic opportunity contributing to ensure peace, security, stability, democracy, the rule of law as well as growth and prosperity in the European Union as a whole. Enlargement is equally helping the EU to become a more competitive and dynamic economy and be better prepared to meet the challenges of a globalised and changing world. (Brussels European Council Presidency Conclusions, 2006:17)*

It is underlined that the enlargement will ensure the preservation of peace and stability in the continent by promoting the prevention of tension and potential conflicts in Europe. The priority policies of the EU for the Balkans are controlling ethnic conflicts, reducing immigration caused by poverty and war, establishing and adopting pluralist democratic structures, respecting human rights and protecting minority rights, establishing free market economy structures (Canveren & Öztürk, 2018:54).

Bulgaria, one of the former eastern bloc countries, applied for the EU membership in 1995 and after the European Union Commission expressed its positive opinion on 15 July 1997, negotiations started in 2000 (Karluk, 2014:3). It was asked to prepare a road map that includes a calendar of progress and pre-accession assistance for Bulgaria and Romania in October 2002 Brussels Summit until December 2002 Copenhagen Summit (Brussels European Council 24 and 25 October Presidency Conclusions, 2002:3). The aim of the roadmap was to determine the reforms to be carried out, to ensure that Bulgaria and Romania meet the criteria for full membership and to provide pre-accession financial support (Communication from the

Commission to the Council and The European Parliament Roadmaps for Bulgaria and Romania, 2002:1). According to the roadmap, Bulgaria, which is on track successfully on the political criteria, needs to continue to make efforts to fulfil the economic and *acquis* criteria (Communication from the Commission to the Council and The European Parliament Roadmaps for Bulgaria and Romania, 2002:6). According to the roadmap, Bulgaria had not fully met the “*acquis*” criteria. It says:

*“Bulgaria still needs to make sustained efforts to develop sufficient administrative and judicial capacity to implement and enforce the *acquis*. As well as continuing horizontal reform of the public administration, it needs to focus in particular on developing the capacity to be part of the internal market and to apply the *acquis* in areas such as agriculture, environment and regional policy. Further efforts are also required to establish the necessary administrative capacity to ensure the sound and efficient management of EC funds”.* (Communication from the Commission to the Council and The European Parliament Roadmaps for Bulgaria and Romania, 2002:6)

It was also emphasized that meeting the economic criteria depends on the progress in these areas. It is explained as *“the efficiency of the administrative and judicial system has to be reinforced, to allow economic agents to make decisions in a climate of stability and predictability. Administrative procedures affecting the enterprise sector, including bankruptcy procedures, must be streamlined.”* (Brussels European Council 24 and 25 October Presidency Conclusions, 2002:7). It is suggested that the implementation of the planned reforms would support the Bulgarian economy to attract higher investments that will enable it to compete in the union. The areas that Bulgaria needs to develop described as:

- *Progress in the privatisation programme*
- *Development of small and medium-sized enterprises, in particular the number of start-ups*
- *Implementation of the programme to reduce and simplify licensing procedures*
- *Reform of customs and tax administrations*
- *Efficiency of bankruptcy procedures*
- *Development of financial intermediation and the non-banking financial sector*
- *Enforcement of property rights*
- *Number of transactions and prices of agricultural land*
- *Volume and quality of public investment, including infrastructure, education environment and health.*
- *Reduction of State Aid, in particular in the energy and transport sectors* (Communication from the Commission to the Council and The European Parliament Roadmaps for Bulgaria and Romania, 2002:8).

Lastly, it was stated that Bulgaria has made great progress on the road to accession, but there are still reforms to be done as mentioned before. It was also announced that efforts of Bulgaria and Romania to join to the EU on January 1, 2007 was supported.

3. DEMOCRATIZATION PROCESS IN BULGARIA

The dynamics of the political structure in Bulgaria have changed radically in the post-1990 period, as in other Balkan countries that were under the influence of the Soviet Union during the Cold War. In Bulgaria, where the communist party was in power for a long time, political pluralism and political participation was low, the democratization process started in the early 1990s. However, the signs of the communist era continued to affect the political situation in the country. Democratic elections were held for the first time in 1990 after the WW II, and the Bulgarian Socialist Party (BSP), which is the continuation of the Bulgarian Communist Party, won the first elections with a high rate of 47.15 percent and gained the majority in the parliament and established the first government after the communist period (edd.nsd.uib.no, 1990).

Although the elections are a positive step for democratization, but they are not enough by themselves. If we want to talk about a democratic regime in a country, this regime should have many characteristics other than free elections. Constitutional administration, personal rights and freedoms, check and balance system, equal

and individual voting rights, and a pluralist administration respecting minority rights are some of the values that a healthy democratic regime should have (Heywood, 2015:240-241).

After the elections in Bulgaria, a new constitution was adopted in 1991. This constitution enshrined the principle that all citizens, regardless of race, gender, religion, education, belief, status, ethnic origin, have equal rights (National Assembly of the Republic of Bulgaria-Constitution, n.d. Article 6) In the constitution, Bulgaria is defined as a parliamentary republic and it is stated that it takes power from the people (Article 1). In addition, it was stated that there could be no law on the constitution and the principle of separation of powers was adopted (Article 5&8). The freedom of belief of citizens is also guaranteed by this constitution (Article 14). One of the principles in the new constitution is parliamentary supremacy. The Council of Ministers is elected by the National Assembly and the Presidency possesses only a suspensory veto on legislation passed by the National Assembly (Bell, 1991:374). Judicial independence is also guaranteed in this constitution by in article 117: *“The judiciary shall be independent. In the performance of their functions, all judges, court assessors, prosecutors and investigating magistrates shall be subservient only to the law.”*

The establishment of liberal democracy also leads to the emergence of liberal capitalism. Because the political composition is based on the socio-economic texture of the society and is shaped accordingly. Economic structures are often linked to ideologies and political ideas. USSR is the best example for this, the economic structure was shaped by ideology itself. Due to the strong mutual relations between political institutions and the socio-economic structure, political institutions that are not suitable for this may transform over time. Political regimes taken from the west in underdeveloped countries turn into dictatorships due to the differences in the economic structure.

Taking its power from liberal democracy and free market principles, the European Union has had a transformative influence over those who want to join. The way the European Union uses this transformative power is reflected in the Copenhagen criteria. The European Union can only include states with a compatible political and economic structure. The other way around would not be useful for the continuity and effectiveness of the union. Therefore, the union, accustomed to creating a single and unified Europe, tries to do so according to certain standards, as it can be understood from its precondition of compliance with the Copenhagen criteria.

The democratic framework that was tried to be built in post-communist Bulgaria was encouraged after joining the European Union became the main foreign policy target of Bulgaria (Dimitrova, 2001:60). After the UDF took office in 1997, a program called "2001 program" aimed at the institutional structuring of the country's future, security and democracy came to the agenda (Dimitrova, 2001). Much of "Program 2001" included the economic and financial reforms needed to achieve economic stability and to carry out structural reform. Following the success in this reform process, foreign investment increased, inflation decreased and the economy started to grow. Thus, financial growth following democratic development strengthened the belief in democracy. The success of the reforms made during this period enabled Bulgaria, which was punished by not being included in the Luxembourg group countries, to be invited by the European Union to start negotiations in 2000.

Finally, it should be emphasized that the European Union membership has been an incentive for the institutional reforms required for the democratization of civil-military relations (Önen, 2018:35). As a result of the 1991 elections, a civil defense minister took office for the first time after decades (Dimitrova, 2001:67). According to article 100 of the Bulgarian Constitution, the elected president is also the chief of Armed Forces and has the authority to appoint and dismiss higher command of Armed Forces and shall bestow all higher military ranks on a motion from the Council of Ministers. In addition, the defence budget is approved by the National Assembly and attached to the Parliament, the National Security Committee was created in 1991 with the aim to provide parliamentary control over the Armed Forces (Dimitrova, 2001).

4. CONCLUSION

The European Union is today the most important economic and political union in the world, as well as a strong regional and global organization. The union, which wanted to expand its sphere of influence in the post-Soviet period, began to get closer to the eastern bloc countries, which could endanger the integrity and stability of Europe. Trying to transition to liberal democracy and free market economy in the 1990s, Bulgaria made entering the European Union its main target in foreign policy. In this context, Bulgaria, which showed a slower development compared to the Luxembourg group countries, achieved to become a member of the EU in 2007

by adapting to the Copenhagen criteria thanks to the reforms carried out. These reforms enabled the development of democratic institutions in the country and thus Bulgaria could more easily adapt to the free market economy.

REFERENCES

- (1990, June). Retrieved August 30, 2020, from edd.nsd.uib.no: http://edd.nsd.uib.no/webview/index.jsp?study=http%3A%2F%2F129.177.90.166%3A80%2Fobj%2FStudy%2FBGPA1990_Display&mode=cube&v=2&cube=http%3A%2F%2F129.177.90.166%3A80%2Fobj%2FCube%2FBGPA1990_Display_C1&top=yes
- 21-22 June 1993 Copenhagen European Council Presidency Conclusions. (2011, February 8). Retrieved from Directorate for EU affairs: https://www.ab.gov.tr/302_en.html
- Bell, J. D. (1991). *Politics, Power, and the Struggle For Democracy in South-East Europe*. (K. Dawisha, & B. Parrott, Eds.) New York: Cambridge University Press.
- Brussels European Council 24 and 25 October Presidency Conclusions. (2002, November 26). Retrieved August 27, 2020, from European Consilium: https://www.consilium.europa.eu/uedocs/cms_data/docs/pressdata/en/ec/72968.pdf
- Brussels European Council Presidency Conclusions. (2006, June 15/16). Retrieved August 03, 2020, from European Council: https://www.consilium.europa.eu/ueDocs/cms_Data/docs/pressData/en/ec/90111.pdf
- Canveren, Ö., & Öztürk, Ç. (2018). Merkezi ve Doğu Avrupa Ülkeleri ile Batı Balkanların Karşılaştırmalı Analizi. *Sosyal Bilimler Enstitüsü Dergisi*, 5(1), 46-64.
- Communation from the Comission to the Council and The European Parliament Roadmaps for Bulgaria and Romania. (2002, November 13). Retrieved August 27, 2020, from European Comission: <https://ec.europa.eu/transparency/regdoc/rep/1/2002/EN/1-2002-624-EN-F1-1.Pdf>
- Dimitrova, D. G. (2001, March). The Republic of Bulgaria's Transition to Democracy: Political and Social Implications. Monterey, California: Naval Postgraduate School.
- Heywood, A. (2015). *Siyasetin Temel Kavramları*. (H. Özler, Trans.) Ankara: Adres Yayınları.
- Karluk, R. (2014). Avrupa Birliğinin Balkanlara Genişlemesi: Balkan Ülkelerine Üyelik Perspektifi. In S. Sarı, A. H. Gencer, & İ. Sözen (Ed.), *INTERNATIONAL CONFERENCE ON EURASIAN ECONOMIES 2014* (pp. 1-9). Skopje: Beykent University.
- Kaya, E. (2016, December). The Last EU Enlargement and Its Balkan Members. *Trakya University Journal of Social Science*, pp. 213-233.
- National Assembly of the Republic of Bulgaria-Constitution. (n.d.). Retrieved 09 1, 2020, from National Assembly of the Republic of Bulgaria: <https://parliament.bg/en/const>
- Önen, H. G. (2018). Civil-Military Relations in the Balkans: The Determinants of Democratic Transformation. *The Academic Elegance*, 5(10), 31-43.

Concept Of Budgeting – A Guide To The Success Of Future Business Results

Igor Zdravkoski¹

Ljupce Markusheski²

Spire Lazaroski³

Pece Nikolovski⁴

Miroslav Andonovski⁵

¹ University St.Kliment Ohridski – Bitola, Faculty of Economics – Prilep, igo.rzdravkoski@uklo.edu.mk

² University St.Kliment Ohridski – Bitola, Faculty of Economics – Prilep, ljmarkusoski@t.mk

³ University St.Kliment Ohridski – Bitola, Faculty of Economics – Prilep, spire.lazaroski@uklo.edu.mk

⁴ University St.Kliment Ohridski – Bitola, Faculty of Economics – Prilep, nikolovskipec@yahoo.com

⁵ University St.Kliment Ohridski – Bitola, Faculty of Economics – Prilep, miroslav.andonovski@uklo.edu.mk

Abstract: Numerous activities take place in large organizations, but also in various enterprises.

But one particularly important activity is accounting planning or budgeting.

This means that the operation of enterprises is based on analysis, with special reference to cost-benefit analysis.

Namely, budgeting has its own specifics, and from all of them it is necessary to emphasize the balanced principle of planning.

In fact, planning always starts with a balance sheet, a planned income statement, and a cash flow statement.

In essence, the term accounting planning in our country in Macedonian literature and budget practice and budgeting differ.

However, for a long time the difference between these terms has been overcome.

For that reason, as well as due to the unification of accounting in the Western developed world with us, the term accounting planning has been replaced by the term budgeting.

Planning is understood as the scope of planned costs and planned outcomes.

Namely, budgeting, ie accounting planning is a complete set of activities that quantify the tasks of the organization in advance (ahead of time).

In fact, budgeting allows for early relief from certain difficulties, as well as achieving business efficiency. It then allows for work harmony, operational efficiency, and minimizing problems.

Namely, the budgeting compares the planned and actual results, greater control is achieved, but as accurate results as possible are determined.

Therefore, budgeting and the use of planning and factual data create invaluable benefits for business management.

Keywords: budgeting, results, success, development, future.

INTRODUCTION

In practice, budgeting in organizations needs to be done in one calendar year.

In fact, the annual plan is divided into four quarters to make it easier to compare and revise. It does not have to be a set time, accounting planning can be done for a longer period of time (eg. 3 or 5 years).

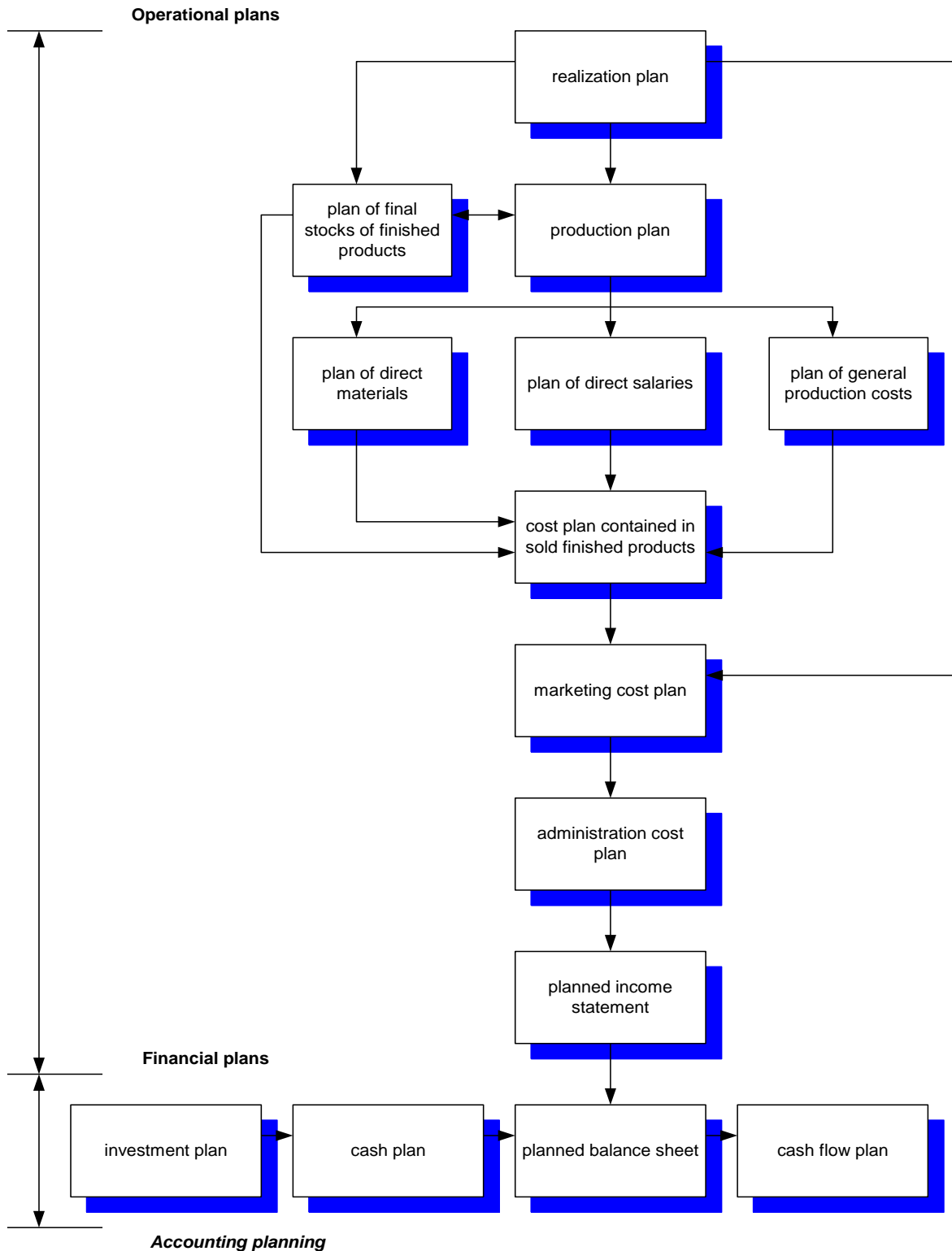
Namely, budgeting is in constant improvement and it is a continuous process that should monitor and control various activities in enterprises. All of this, budgeting, controlling, monitoring, provides data that management needs to use accurately in a timely manner. The development of business entities imposes all the needs that are inevitable in today's functioning. Creating the future of enterprises can be ensured by calculating the actual costs as well as determining the results.

Therefore, today when we have large companies that require information and data on costs, procurement, inventories, receivables, liabilities and the like, budgeting gets its place, role and importance.

Today, modern organizations work steadily, based on continuous budgeting. This means that accounting planning needs to provide analytical indicators for the entire planning period.

Then, the created plans should be divided according to the managers depending on the group where they are needed. The division of plans will be operational (sales plan, production plan and stock plan of finished products) and financial plans (investment plan, cash plan, planned balance sheet and planned income statement).

Figure.1 Accounting planning - Budgeting



1.METHODS FOR CREATED A MAIN BUDGET

In the operation of enterprises, it is always necessary to prepare short-term financial plans that would cover the period of one business year.

However, depending on the type and size of the organization, some companies may develop long-term strategic plans for a period of five or ten years.

Normally, all this is so that the management of the company can realize the planned goals (plans) in the given period. In the context of such plans, the main budget of the organization is created. This process of strategic planning requires the knowledge, experience and motivation of professionals in charge of the success and development of the organization.

Namely, the future of the business entity and the continuity of the employees' operations are ensured.

In such planning, it is necessary to set the directions in which the business entity should move. Each plan is compiled with the most accurate figures and data, it is necessary to minimize the risk, as well as unpleasant surprises. Also, the plans should contain data from previous years, planned results, as well as certain potential opportunities. This means the opportunity to create and produce a new product, ie service, entering new markets, investment opportunities and so on. When implementing long-term plans, there may be a need for revisions or certain changes.

Therefore, managers with great responsibility should follow the activities "step by step".

In coordination with professionals, plans can also be subject to budget analysis, as business owners are concerned about future operations. All this is due to the fact that the work creates pressures and unplanned problems, and the managers are not able to see the shortcomings. An efficient budgeting system is the opposite of this, and managers have a greater responsibility to do so.

2.BUDGETS ANALYSIS AND BUDGETING

In order to achieve a high level of accuracy of the results, the accounting planning, ie budgeting, evaluates the results according to previously determined reference points (basics). It is useful to conduct the evaluation gradually so that problems can be more easily identified.

Through it, management has a "clear picture" of what actions should be taken during which period. Budgeting needs to have standards for evaluating results.

Conducting an evaluation should be appropriate, as it can lead the organization to an undesirable situation. Depending on the need, it can be applied in whole or in part.

After the evaluation, the management should have a realistic concept, the effect should be achieved and the employees should be satisfied. When conducting the evaluation, employees need to be able to comment on the problems and shortcomings they encounter. They are affected by the effects achieved; they should be consulted for certain solutions.

Namely, it is easy for any employee to be demotivated, to cause discouragement among the employees. Because every failure for them is a problem, unfulfillment of the tasks, they are worried about their budgets, about their future. With the start of the budgeting process, it is necessary to take care of the weight of the planned goals and objectives. It is necessary to provide conditions, opportunities for fulfilling the set results.

Namely, the budget and budgeting of the organization is an operational plan that has been made to achieve the goals.

This operational plan begins with the sales budget that initiates the procedure for the implementation of other plans (for production, labor, costs, materials, etc.).

In fact, the sum of all these budgets (plans) represents the concept of budgeting. All this, at the end of the year, through the adoption of the main budget and the realization of the budgeting process, it is necessary to meet the goals of the company in the largest possible percentage.

3. OPERATING AND FINANCIAL PLANS

Organizations start each year with numerous activities. But to start the new calendar business year, the preparation begins a few months back. This means that it is necessary to plan the income statement, as well as to specify the most important plans.

The start of the planning process is done with the sales plan, the production plan expressed in quantity, the plan of spending, the plan of direct wages, the plan of final stocks of finished products and direct materials, the plan of general production costs, and the plan of costs for sales and administrative activities.

From this, we can emphasize that there is a logical order in which budgets need to be prepared. In addition to this part, budgeting should be rational, there should be an opportunity to follow up between plans, as well as a simple way of processing.

This means that by fulfilling the first plan, it is easier to create the second, third, etc.

Namely, the first, the sales plan is the starting point in the accounting planning, where the production plan is added.

These plans condition the supplies of materials and finished products that depend on the planned realization. By determining the quantity (number) of products, the production plan is created, and hence the stocks of materials and products are determined. This plan shows us the planned quantity to be collected with the planned stocks at the end of the year, where it gives us the total required quantity. From the determined quantity for each product, the stock at the beginning of the year is deducted, so that the obtained difference is the quantity that should be found during the year.

Table 1. Production plan for 2020.

	Production	
	Product A	Product B
planned sales	100.000	20.000
planned final stocks	<u>25.000</u>	<u>4.000</u>
total	75.000	16.000
reduced for initial stocks	2.500	500
quantity to be produced	<u>72.500</u>	<u>15.500</u>

**The amounts are given hypothetically in Macedonian currency denars.*

Namely, budgeting also includes the plan of consumption of direct materials. Of course, this plan is based on the production plan, which is also related to the material procurement plan.

From here, we will get the purchase amount when the projected consumption will increase for the projected stock at the end of the year and thus the obtained quantity will be reduced for the initial stocks. Accounting planning also prepares a plan for direct payments based on the number of hours per unit of product and the base paid. This means that, based on the quantity to be produced and the planned direct hours for work, the quantity of total hours that are considered to be spent as direct labor on individual products is determined.

Then, the established quantum of working hours is multiplied by the base of payment and thus the total amount of direct salary expenses will be obtained by individual products. In budgeting, a plan for general production costs is also created by dividing the costs of fixed (maintenance, depreciation, taxes, audit) and variable (auxiliary materials, energy, indirect wages).

Whereas, the stock plan at the end of the year refers to direct materials and finished products. This plan is based on the plan of procurement of materials, which means that the planned amount of direct materials that is planned at the end of the year, according to the type, is multiplied by their price per unit of product.

In fact, the amount of stock of finished products at the end of the year is seen from the production plan. Budgeting the plan of the cost price per unit of product is a set of direct materials for production, direct salaries for production and general production costs.

Namely, this will be the cost price on the basis of which the stocks of finished products are valued. In terms of the cost of sales activities and administrative costs, it is important to note that they are costs of production and are not an integral part of the cost of stocks of finished products. In the plan, the costs are divided into

marketing and administrative costs. Budgeting also includes the plan of the cost price of the realization of the finished products. This plan is prepared on the basis of reviews of direct materials and stock of finished products. The planned income statement plays a special role in accounting planning.

This plan is prepared on the basis of the sales plan, the cost plan contained in the finished products sold, and the cost plan for sales activities and administrative costs. Financial plans for budgeting are also very important. The need to create financial budgets facilitates the concept of budgeting and provides a realistic plan of financial resources.

Namely, the organizations, in addition to production, sales, etc. have investment activities.

Therefore, the investment plan is content that provides its own methodological solutions. An investment project is a very complex process and therefore such plans refer to longer periods. Also, in these projects there is a need to engage large financial amounts.

However, the second part, income and return on investment can not be expected at once.

Hence, there is a need to prepare a plan for each investment project, which will predict the time when the net effect of the invested funds is expected. The preparation of the monetary plan is based on the initial balance sheet.

From here, we take the data on receivables, stock of materials, current liabilities and begin the budgeting of cash.

Namely, it is necessary to make calculations for cash inflows and outflows that will be divided by quarters, and then by months. This is followed by delimitation of wages, taxes, investments, etc. On several occasions in the paper, we have emphasized that this is a complex budgeting process.

Therefore, in order to get a complete concept of budgeting, it is necessary to make more plans.

In fact, the whole procedure is effected as a sublimation in a planned final balance sheet and a planned income statement.

CONCLUSION

In the paper we can conclude that in accounting planning, ie budgeting, it is necessary to start from the lower starting base and continue upwards gradually. This means that a solution is not expected from the highest level of management by directive, but the benefit of budgeting comes if general workers, lower-ranking managers, department managers are involved, and then to reach the top of the organization's management.

When it comes to accounting planning, it is very important to calculate and estimate sales costs, as well as budget expenditures and revenues. Budgeting efficiency can be achieved by meeting the needs of employees in different departments (sales, manufacturing, etc.). It is necessary to record all the notifications for the specifics, problems, shortcomings that will enable neutral budgeting in all plans.

In this way, the Budget Board will be able to present the complete budget for the next business year. Also, do not neglect the quarterly evaluation of the results of the work in the whole organization. It should be a continuous process, because the budget period coincides with the accounting period.

Then, all the fulfillments and non-fulfillments of the plans can be monitored, so that it can be intervened in a certain period. The purpose of the control is to improve the operation, the management should compare and determine the deviations that will occur, the various variations and so on.

In order for the main budget to be realized, it is necessary for the other budgets to correspond with the foreseen and specified numbers.

In the budgeting process, managers have an obligation to make additional calculations that will be included in the main budget.

Therefore, the operational budgets, the investment consumption budget, as well as the financial budgets are first conceived.

Through carefully planned budgets, accounting planning, ie budgeting, will form a complete picture of the operation and without hesitation will approach the realization of the set goals the next business year.

REFERENCES

1. Horngren, C. T., Sundem, G. L., Elliott, J. A., & Philbrick, D. (2010). "Introduction to Financial Accounting", 9th edition, (translation into Macedonian), Magor doo, Skopje, Republic of North Macedonia.
2. Horngren, Foster, Datar,. (2000). "Cost Accounting", 10th edition, Prentice Hall, New Jersey, USA.
3. Markovski, S., Nedev,B. (1995). "Accounting of business management", UCMS, Faculty of Economics – Skopje, Republic of North Macedonia.
4. Stevanović, N., Malinic, D., (2003). "Management Accounting", Faculty of Economics –Belgrade, Serbia.
5. Vitanova,G. (2008). "Practicum for managerial accounting", UCLO, Faculty of Economics – Prilep, Republic of North Macedonia.
6. Wild, J. J., Shaw, K. W., & Chiappetta, B. (2010). "Fundamental Accounting Principles", 19th edition, (translation into Macedonian), Akademski pecat –Skopje, Republic of North Macedonia.

A Brief Analysis Over the Management and Leadership Reactions Under the COVID-19 Influence

Ilie Margareta¹

Ilie Constantin²

¹ OVIDIUS University from Constanta, Economic Science Faculty, Romania, ilie.marga@gmail.com

² OVIDIUS University from Constanta, Faculty of Mechanical, Industrial and Maritime Engineering, Romania, ilie.ctin@yahoo.com, Orcid: 0000-0002-1086-2371

Abstract: The world as we know it will be changed as the result of COVID-19 influence over every aspect of human life. Health, human interaction (psychology), trade, governance and other areas suffers from the necessary adoption of action to minimize the effects of the virus spread and the business losses. So, in these conditions, there are numerous attempts to analyse how the management and leadership should change in order to achieve a low disruption percentage in their businesses. The aim of the present work is to briefly analyse the main directions that the current inquiries are considering as major influences over businesses progresses. The attention is focused on the data and information distributed by the most known organization like The Economist, Forbes, World Economic Forum, etc., that have as goal to offer a view over the world businesses situation. The method is based on analysing which are the most important activities and actions that management and leadership should focus on in order to overcome the negatives effects of COVID-19 disruptions, but also who can benefit from this pandemic crisis. Also, the paper examines the sources of data that these evaluations are based on. In the conclusion the authors consider that the effects of analysis are based more upon the surveys and questioners directed to managers, entrepreneurs or businesses, than a theoretical approach and/or mathematical – computer simulation of actual events and possible future evolutions.

Keywords: management, leadership, COVID-19.

Introduction

Still under the influence of the COVID-19 we are looking around us and try to comprehend how our life was changed and furthermore how much from the present situation will become a part of the future everyday life. Looking back at the beginning of the present year ones cannot forget the way different people react in the face of the COVID-19 illness spread across the world. First the emptying stores mainly of groceries and toilet paper or guns (especially in the United State), then closing businesses, unemployment, lack of social interaction as humans been are inherited (face-to-face), dearth, poverty propagated across the world, if we recall only some of the negative effects over everyday life of most of us.

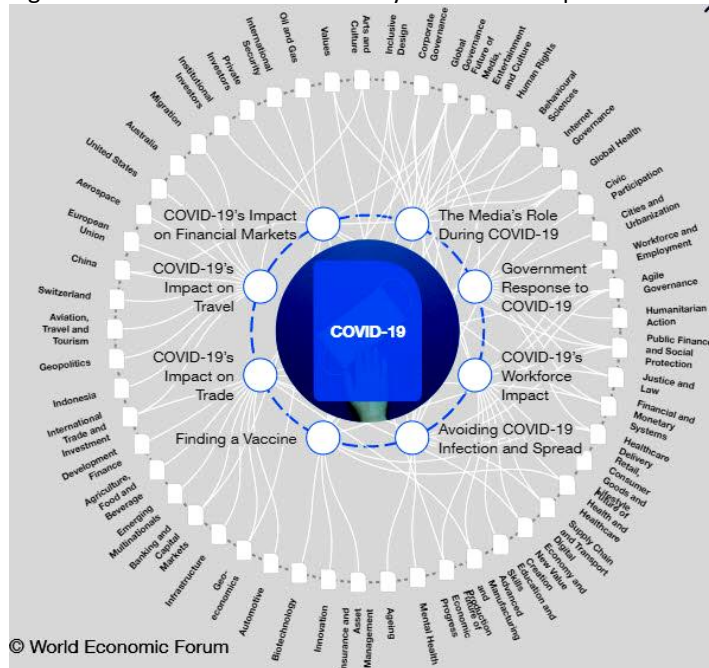
Now when we are gradually returning to a most known common state there are still domains like tourism, educations air transportation, retail trade, etc. that awaits to restore their activities. But even that their functions will be reinstate, their activities are if not disrupted at least modified. At a brief view it looks like many of us were not prepared to react or adapt to the new socially and/or economically conditions, from the point of view of consumer, employed, entrepreneur or everyday human.

Considering the research interest of the authors, forward we will concentrate our attention over the Management and Leadership reactions over the March – May period of most known organization like The Economist, Forbes, World Economic Forum, etc., organisations that have as goal to offer a view over the world businesses situation.

Actual data

According to World Economic Forum (WEF) [1] the most influenced domains by the spread of COVID-19 where: travel, trade, financial markets, workforce, medicine and media (see figure 1). Those business who offer 'non-essential services' were disrupted most: restaurants, hair & lifestyle, fitness & health, clothing & retail, theatres, culture & entertainment venues.

Figure 1. Most influence domains by the COVID-19 pandemic according to World Economic Forum.



Source: World Economic Forum. Strategic Intelligence [1].

Still, firms such as the following can hybridize their services: accountants, lawyers, physiotherapists, teachers & tutors, interior designers, architects. (“Hybridized services are those services that easily transform from face-to-face into digital services, into collaboration, communication, exchange, consulting and transactions online.”) [8]

According to WEF the European Union losses €1 billion per month only because of the decrease in tourist arrivals from China, who’s tourist also will leave a big hole in other countries tourism like Australia or Indonesia (Bali). In Europe even in the frontiers of the European Union countries as Spain, Germany, Portugal and Hungary partially closed their borders or reintroduced border controls (Austria, Czech Republic).

” In April 2020, the World Trade Organization announced that global merchandise trade was set to plummet by between 13% and 32% in 2020 as a result of the COVID-19 pandemic.” [1]. The trading operations were forced online, employees working from home, and a lot of the trade was covered by the home delivery companies. Trade shows and conferences have been postponed or cancelled, affecting the revealing new products or technologies. “The world’s factory”, China, was affected in term of declines in domestic factory output, construction activity, retail sales and goods shipping.

In March, the Dow Jones Industrial Average, recorded its second-worst day of trading in its 124-year history. Also, Europe and Japan suffered convulsions (mostly negatives) in their financial markets and asset prices. Adding to this, the sharp decline of the oil price per barrel due to lack of demand, has hurt Russia and the Middle East. The reactions were measures that tried to safeguard the global growth through the implementing of stimulus. While Europe (European Central Bank) uncovered an emergency €750 billion bond-buying program, US and Australia considered rate cuts.

The job losses in the US (mid-March - mid-May 2020) recorded 38 million persons. “Around the world, organizations have had to reckon with a new reality where they cannot support the number of employees they could previously, or simply cannot expect employees to take daily commutes in ways that may put them at increased risk of exposure to the coronavirus.” [1]. Again, China had problems in keeping the workforce employed or working as scheduled especially having difficulties implementing coronavirus-related safety measures and due travel disruptions. Problems also founded in Europe or US.

The medical community was unprepared for a virus as COVID-19. The searching for a vaccine is not unitary, as the research are conducted in different nonrelated companies, rumours spreading the idea of unethical financial interventions of powerful countries in the researching companies. Also, different tries of using other already existing vaccines or treatments were not supported by the World Health Organization, emphasizing the feeling of heterogeneity in searching for a cure.

As in different countries the nation-wide quarantine was implemented, the media become a public-health educator in the public eyes. One of the most important problem that media could influenced in COVID-19 pandemic quarantine was “people’s mental health as they steadily consume negative news while making disruptive lifestyle adjustments - like working from home and limiting social interaction due to shelter-in-place measures”[1].

But not all effects of COVID-19 look negative, the pandemic outbreak could determine changes to the management and business that could be beneficial as The Economist write in an article on the March 7th edition [2]. As the organizations were more and more under the pandemic thread the travel, conference attend and/or come into the office of their employees was diminished to the point of stoppage. So, the home remote working was adopted, leaving the big offices buildings empty but still paid for the rent. The situation occurs in a time of long discussion about how inefficiently office space is used and how offices prevent employees from working productively (according to a survey of 600,000 desk-jockeys by Leesman, where two in five respondents were unhappy about their offices). In these conditions the first beneficial transformation (that is not necessary unknown, especially to the IT firms) is the teleworking and the development of videoconferencing software developments. The examples of Slack and Zoom already demonstrate the need and the technology potential.

On other side of COVID-19 negative influence over businesses, a major shock was felt in the supply chains activities. The lean technology and just-in-time delivery (pioneered by Toyota in the 1970s and used massively since then) was disrupted by the closing the boundaries, having employees stopped in quarantine zones. Considering at least two months of blockage as current situation and the fact that “ the median firm in the S&P 500 carries only 66 days of inventory, and some have far smaller buffers than even that—Apple has just nine days, according to data from Bloomberg” [2] and, also, the impossibility to shift production as big companies does in case of natural disasters, the supply of actual and potential subcontractors simultaneously looks affected (due to the wide world pandemic, especially in China). But even here there are two possible benefits. One is the need to cover bigger inventories and to do so the need to manufacture more goods, so more production. The other gain, that all of us benefits somehow these days, is the suppliers delivering at home. This last domain will flourish next period as we saw its advantages, but also will support others industries like transportation, vehicle industry, real estate (need for warehouses), robots (for automate storage and delivery), IT (for automation, scheduling, etc.).

Analysis of actual data

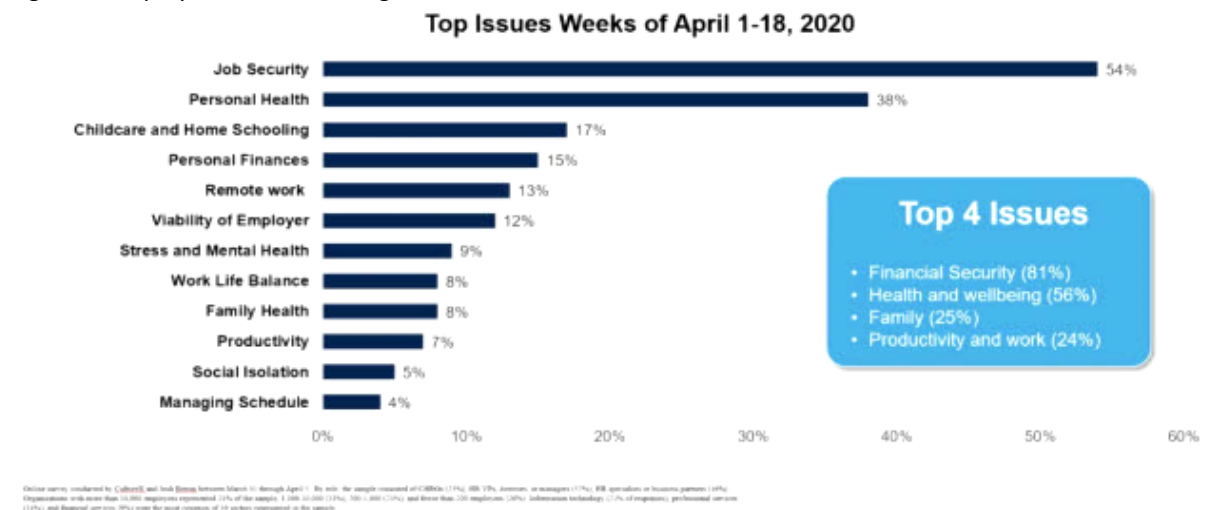
Method of research used for the present paper was the reading of multiple articles with the subject: COVID-19 crisis and its influence over the Business, Management and leadership, and extract the common directions of behaving in order to minimize the negative effects of the pandemic. Even the number of articles was at first extensive (several dozen) the authors concentrated their attentions to the ones revealed by known publishers and try to avoid taking into consideration the articles with no recognised references or information. So, the number of referenced articles decline rapidly.

In order to prepare and act quickly to the business and social transformation in time of COVID-19 and after it, we have to accept the remaining modifications that will be accepted as better suited for future development and we have to be more prepared for disruptions.

Analyse workforce locations, travel and transportation.

Don’t forget to put the wellbeing of your employees as top priority as there are the greatest asset of any organisation. In a pulse survey managed by MIT Sloan Management Review, CultureX and Josh Bersin (HR expert and founder of the Josh Bersin Academy) the top issues employees have on their minds during the COVID-19 crisis include, considering the importance [3]: “job security, personal health, childcare and home schooling, personal finances, remote work, visibility of their employer, stress and mental health, work life balance, family health, productivity, social isolation, managing schedule” (see figure 2).

Figure 2. Employees worries during the COVID-19.



Source: SMARP [3].

For better planning and managing first an analysis of exactly where workforce is located and how many workers are in affected or exposed territories [4]. If possible, they might ask to work from home and the necessary logistics must be implemented. Also, based on their location and transportation the work schedule should be reviewed and redefined. The absence due to sickness or caring for relatives, or for reporting illness should be clearly well-defined in internal procedures and the organisation must be ready to apply them.

“No executive has ever been faulted for over-communication.” As a leader, pay attention to your communication technique and strategies, be methodical, and be as “visible” as you can possibly be. Communicate as much as you can, mainly informally, and be sure that people can contact you: it is a bad signal that a leader if a leader is unreachable when crisis strike. Be accessible and be relaxed talking about personal concerns as well as the business [9].

Organizations would have to find alternative working agreements and reconsider every day working activities as they must conform to local labour laws in a way that sets first the health and safety of employees [5]. Procedure and protocols for visitors going to company sites and offices should be identified. Considered plans for the event of lengthy school closures that affect working parents.

Review your crisis and continuity plans.

Together with a crisis or continuity plan (that well-run business has) every business will develop a specific pandemic plan. Generic plans need to be adapted and tailored to cope with the specific challenges of an epidemic [5]. The difficulties in implementing the plans will be the gathering data and the control of the flows of data through the organisation as the employees must work remotely or the workforces are offshore. Companies need to guarantee that plans are commonly stress-tested to guarantee they are fit for objective in line with their current operating activities [6].

Assess the supply chain.

The way you are thinking the connections between different level of suppliers must be reconsidered starting with the most critical products and looking well beyond first- and second-tier suppliers to the raw materials, if possible. When operating with disrupted supply chains, businesses need to keep regular contact with suppliers and know about their capacity to deliver goods and services, and develop recovery plans. When required, swiftly take into consideration complementary and/or alternatively supply chain alternatives. Rethink the supply chain model, control digital ecosystems and market networks, and facilitate newer ways of cooperation to work around disrupted supply chains [5].

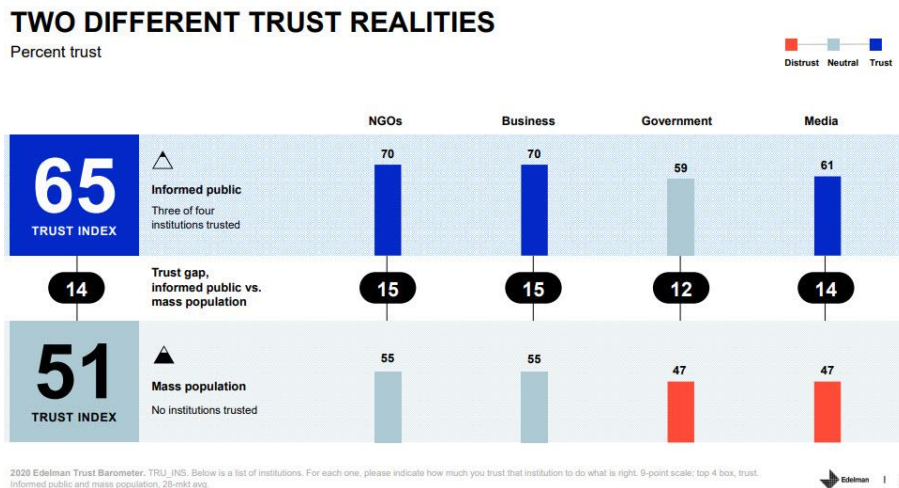
Analyse and identify potential points of disruption.

Businesses should be generally ready for legal obstructions during business-as-usual situations. Unexpected crises can however present sudden legal challenges. Because pandemic affects first the peoples, as workforce of the organisation, it is imperative to find the teams and individuals on whom critical activities or services depend on.

Determine the right way of communication.

Confusion and misinformation have spread alongside the COVID-19 virus, even that employers try hard to maintain their employees advised. In an survey made by Edelman Trust Barometer in 2020 (figure 4), the most trusted organizations are NGO's and businesses in front of Government and media, by both the informed public and mass population (even there is a substantial gap between those two).

Figure 4. Business is more trusted than both government and the media.



Source: Edelman Trust Barometer 2020 [7].

Reliability and truthfulness of messaging is fundamental, as it is the reassurance expected from the top of the business, the workforce will need to know that their wellbeing is vital to the company. The communication could be modified in regards with relevant stakeholders needing to establish new trusted methods or technologies to collect and record proofs of activities, agreements, contracts, etc. Virtual working needs to be properly enabled with adequate IT equipment.

There checklist that any business can take into consideration when preparing to respond to actual COVID-19 crisis, like the “16 crisis management tips to help you limit the impacts COVID-19 have on your business and your employees's health and wellbeing” developed by smarp, here in figure 3.

Figure 3. “16 crisis management tips to help you limit the impacts COVID-19 have on your business and your employees's health and wellbeing”.



Source: SMARP [3].

The main tips cover the assurance of employees' health, communications and management plans.

Conclusion

The actual analysis of the big media and research are based more upon the surveys and questionnaires directed to managers, entrepreneurs, employees or businesses, than a theoretical and/or mathematical – computer simulation approach of actual events and possible future evolutions

To the remains of the COVID-19 that we need to recover from, we can add the drought in East Europe and the need to secure the massive digital data poured on the internet especially as a response to the government imposed "stay at home" policy. Also, it is important to be aware of the supplementary data security risks that remote working can introduce.

Tech is only part of the change as the communications with employees, customers and stakeholder it is modifying not only in terms of technology, but also in terms of method and content. Thus, the companies should provide employees with additional possibilities to communicate with each other, both formally and informally, so all the various social features of the office environment are not lost or damaged. The present used infrastructure will be used further, at least a part of it, even after the lockdown, so the companies should not remove it immediately.

The management and leadership should focus more on the productivity of employees than the fixed specific time schedule that they must work on. So, the workforce must comprehend when they are most productive and, where reasonably possible, align their work patterns to that.

Plans must be developed and procedures elaborated in order to quickly shift from one supplier to another or several different supply chains should be considered in case of supply chain disruptions. Also, the risk and change management should be applied at full capacities as the disturbances occur more and more and at a faster pace. Maybe a different type of just-in-time delivery would be followed.

Implementing new technologies as IoT, additive manufacturing and 3d printing will allow instant shifting of manufacturing capacities from one geographical area to another.

References

1. <https://intelligence.weforum.org/topics/a1G0X000006O6EHUA0?tab=publications>
2. Covid-19 is foisting changes on business that could be beneficial, The Economist, Business, March 5th, 2020, @: <https://www.economist.com/business/2020/03/05/covid-19-is-foisting-changes-on-business-that-could-be-beneficial>
3. The Ultimate COVID-19 Crisis Management Checklist for Employers (2020), Apr 30, <https://blog.smapr.com/ultimate-coronavirus-crisis-management-checklist>
4. Melanie Butler, Kristin Rivera (2020), Seven key actions business can take to mitigate the effects of COVID-19, strategy+business, WORLD VIEW, March 6, @: <https://www.strategy-business.com/blog/Seven-key-actions-business-can-take-to-mitigate-the-effects-of-COVID-19?gko=4c0d1>
5. Falco Weidemeyer, (2020), The COVID-19 outbreak is forcing companies to explore how they can survive while grappling with crises of mammoth proportions, EY, 21 April, @: https://www.ey.com/en_ae/covid-19/covid-19-crisis-management-essential-ten-better-questions-to-ask
6. Rick Eagar, Tom Teixeira, Karim Taga, Saverio Caldani, Leading businesses through the COVID-19 crisis, @: https://www.adlittle.com/en/COVID19_CEOFirstLearnings
7. Edelman Trust Barometer 2020, (2020), 20th ANNUAL EDELMAN TRUST BAROMETER, @: <https://www.edelman.com/sites/g/files/aatuss191/files/2020-01/2020%20Edelman%20Trust%20Barometer%20Global%20Report.pdf>
8. Avi Lambert, (2020), The Importance of Leadership in COVID19, Lambert Strategy Group, @: <https://www.lambert-strategy.com/blog/the-importance-of-leadership-in-covid19>
9. Mark Nevins, Leadership In The Time Of COVID-19, Forbes, March 19, 2020, @: <https://www.forbes.com/sites/hillennevins/2020/03/19/leadership-in-the-time-of-covid-19/>
10. COVID-19. Managing cash flow during a period of crisis, (2020), Deloitte, @: <https://www2.deloitte.com/content/dam/Deloitte/global/Documents/About-Deloitte/gx-COVID-19-managing-cash-flow-in-crisis.pdf>

Public Financial Support for Micro-enterprises in the COVID-19 Crisis

Ilona Beizitere¹

Biruta Sloka²

Ieva Brence³

¹ Mg.oec., candidate for doctoral degree; Researcher – Parliament of the Republic of Latvia, ilona.beizitere@gmail.com; ORCID: <https://orcid.org/0000-0002-4238-8010>

² Dr.oec., Professor, Senior Researcher – University of Latvia, Faculty of Business, Management and Economics, Institute of Economic and Management Research, Biruta.Sloka@lu.lv; ORCID: <http://orcid.org/0000-0003-2129-053X>

³ Dr.sc.admin, Guest senior researcher – Latvia University of Life Sciences and Technology; ieva.brence3@gmail.com; ORCID: <https://orcid.org/0000-0002-0652-1187>

Abstract: The economic crisis caused by the coronavirus COVID-19 has brought many unexpected challenges for businesses, governments and policy makers forcing them to change their pre-determined operating strategy rapidly. It also encourages business financiers to look for new types and directions of financial support. The aim of our study is to find out the reaction of the state by promoting the availability of public financial support in the form of financial instruments for micro-enterprises, which is the largest proportion of SMEs in Latvia. Even before the current economic crisis, it has been observed that the challenges for micro-enterprises to access external financing are even greater than for other types of SMEs. In an ad hoc survey of companies registered in Latvia, entrepreneurs were asked to disclose the sources of financing used in their practice in the period 2015-2017. The aim of the survey was to find out to what extent the availability of public financial support for micro-enterprises solves the problem of access to external funding. Of all 1869 micro-enterprises, entrepreneurs indicated sources of financing: 4% - public support loan, 6% - EU funds financing, 1% - venture capital funds and business angels, 3% - bank loan with public support guarantee, but traditional sources (bank loan, credit line, overdraft, leasing, factoring) - 26%. Surprisingly, a large proportion relied solely on internal funding, although almost half of the micro-enterprises surveyed needed new or additional funding. The availability of public financial support is particularly important now, in the shadow of COVID-19. The reliance of companies solely on internal financing is associated with the risk of a lack of working capital during the economic downturn and can lead to business disruption. Our task is to investigate the availability of public funding for micro-enterprises and the solutions offered to companies to overcome the difficulties caused by the negative effects of COVID-19. Based on the available surveys of entrepreneurs and on the regulatory enactments developed in Europe and the Latvian government, an attempt has been made to determine the desired criteria and conditions for the support of micro-enterprises to reduce the consequences of COVID-19.

Keywords: Financial instruments, Micro-enterprises, Public financial support.

1. INTRODUCTION

Countries in times of economic crisis caused by the coronavirus COVID-19 need to support the businesses affected. Many companies have been suspended for a shorter or longer period. Many of them are even threatened with insolvency and bankruptcy. However, state aid must be provided with caution. There is a need to develop and structure state aid mechanisms that, on the one hand, provide equal support to all without discriminating against any one company, but on the other hand, it is necessary to develop criteria (OECD, 2020b). Criteria are needed to ensure that companies that were already on the verge of bankruptcy before the coronavirus pandemic started did not apply for or receive support. The purpose of State aid is to provide support to companies whose activity has declined as a direct result of the spread of the virus and not as a result of reasons other than the pandemic. Another aspect of providing support is that the government should also be wary of introducing mechanisms that use the allocated funding for specific state-defined purposes, thus interfering too much with the market economy (OECD, 2020b). It is important to distinguish between the planned public financial support under the existing European Union (hereinafter EU) funds allocated to each Member State and those intended to mitigate the effects of the coronavirus, EU Parliament and Commission till 29.08.2020 have accepted different 138 regulations related to small and medium sized enterprises and COVID19 (EUR-Lex, 2020).

In previous surveys, European small and medium-sized enterprises (hereinafter SMEs) have reported restrictions on access to external financing, and micro-enterprises have felt the most limited (e.g. European Central Bank, 2019; Kwaak et al., 2019). According to an OECD (2020a) study, due to the constraints imposed by national governments on the spread of COVID-19, the biggest victims are the smallest businesses, which have a relatively small business size (both in terms of raw material and labour supply and their cooperation with other companies). Employees of micro-enterprises are in the highest risk category of losing their job -

almost 30% of all enterprises in the risk group are micro-enterprises (OECD, 2020a) and other studies has supported this finding.

The survey (European Central Bank, 2020) on the access to finance of enterprises covered the period from October 2019 to March 2020 identified that SMEs reporting rapid deterioration in economic environment in context of COVID-19. Deterioration in economic outlook and SMEs' financial situations having strong negative impact on availability of finance. More than a third of micro-enterprises expect a negative impact from unpredictable inflation and an increase in financing costs.

The aim of our study is to find out the reaction of the state by promoting the availability of public financial support in the form of financial instruments for micro-enterprises (hereinafter MEs), which is the largest proportion of SMEs in Latvia. The study focuses on the availability of financial support in Latvia particular to MEs according to the European classification system (European Commission, 2003). MEs account for 94 % of all the economically active enterprises in Latvia (Central Statistical Bureau of Latvia, 2019). Start-ups are also covered in the context of this study, as companies in the early stages of their development largely meet the MEs criteria.

A range of financial instruments providing for public support have been developed in the EU to offer alternative financial products for entrepreneurs. Financial instruments are measures of financial support products provided on a complementary basis from the budget in order to address specific policy objectives of the EU in the form of equity or quasi-equity investments, loans or guarantees and other risk-sharing instruments (Regulation (EU, Euratom), 2018).

To follow the regulations of EU and to distribute available financing to SME's in Latvia it is necessary to take into account recent regulations accepted by Parliament of Republic of Latvia (Saeima) and Cabinet of Ministers but also previous research results of a survey on SME's financing aspects.

The aim of the survey was to investigate how common the problem of companies' access to external financing was depending on their size. The second aspect in the context of the evaluation was the availability of public funding to MEs in the situation of seemingly wide availability of EU funds for Latvian companies. By looking at companies' perceptions of public financial support implemented via the financial offerings of the joint-stock company "Development Finance Institution Altum" (hereinafter - ALTUM), we have tried to highlight the differences between the ambitions of MEs to access finance, including public financial support instruments, and practical obstacles.

A computer-assisted web interview (CAWI) questionnaire was sent to all companies with publicly available e-mail addresses during the period from 1 October 2017 to 25 January 2018. The request to complete the questionnaire was addressed to the person in charge of the company's finances. The target population was all companies of Latvia operating in sectors eligible for state aid. The entire segment studied included all active enterprises registered in the Latvian Register of Enterprises with 11 defined NACE codes, i.e. a total of 32,308 enterprises. To improve representativeness, data were weighted by industry share.

In an ad hoc online survey (WAPI) of companies, entrepreneurs were asked to disclose their sources of financing in the three-year period from 2015 to 2017. Valid responses were received from 2511 companies, of which 1879 were MEs. Respondents identified the diversity of financial sources and the factors that most affect their performance. According to the data processed by the SPSS, MEs preferred bank financing (short and long term – 11%) among deferent sources, while only 4% of respondents used loans supported by public funding. Surprisingly, although almost half of the MEs needed new or additional funding, a large number relied solely on internal finance.

The obtained results suggest that, despite the policies put in place and implemented to improve access to public finances, including the MEs, there have been few targeted measures and the proposals submitted would be delayed.

The authors (Arner et al., 2020) have suggested financial aspects of a strategy to prepare for crises. They emphasize heavy, temporary financial support for individuals and SMEs to avoid infrastructure loss and maintain their ability to organize a response to avoid mass insolvency. Authors notes that "effective policies and public programmes require sufficient calibration to target supply side obstacles in the provision of those essential needs".

The aim of the article is to shed light on the topicality of the availability of public support funding for micro-enterprises offered under EU funds money.

2. PUBLIC FINANCIAL SUPPORT – THEORETICAL ASPECTS

2.1. Differences in obtaining finances for micro enterprises

Several researchers have found that in terms of business scale and company size, small-sized business and in our case they are MEs, separate from their larger types. For example, Storey & Greene (2010) have stated that “it makes clear that small businesses are not just scaled-down big businesses: they behave, respond, and are organized differently to large organizations”. Thus, the needs of MEs for financing and also for public financial support are separate from those of larger businesses.

Many studies point to the importance of overcoming financial constraints to foster the growth of the SME sector. However, when facilitating the availability of funding, it should be take account that MEs have distinct opportunities and needs for funding. In the past, for example, Pissarides (1999) emphasized this and pointed to the underdeveloped local financial system. He also stressed that smaller companies have a lack of suitable financing instruments.

Several authors (e.g. Moritz et al., 2016) have emphasized in their research that the importance of firm size in accessing finance and small business is more limited in access to finance than in larger firms. The importance of financial institutions in providing adequate funding was emphasized. However, only the EIF researchers (Masiak et al., 2017a), based on a survey of EU firms, reported, moreover, in the context of the EU MEs definition, that micro firms differ in their financing patterns from small and medium-sized companies. Results reveal that micro firms are more likely to use internal funding.

Studies from previous years have shown that there are different practices in the use of state aid in different countries, and that access to finance for small businesses, including MEs, is characterized by different aspects. In many countries, micro firms appear less likely to be financed by subsidized financial instruments, even though they are often targeted by specific support programs. Studies of Mexican micro firms (with a fewer than 15 employees) by Woodruff (2001), Hernández-Trillo et al. (2005), found that micro firms, although government support was also available, relied more on informal sources as opposed to bank loans. In Australia, ASBFEO (2019) micro firms (with employees up to 4) pointed to difficulties in obtaining funding compared to larger size companies. There large businesses access more government support than any other size of business.

Several authors state in their studies that public support, especially through guarantee schemes, is beneficial for smaller-size businesses, including MEs. Garsija-Tabuenka & Crespo-Esperts (2010) has investigated the impact of guarantee programmes on companies in Spain. The conclusion was that guarantee programs positively impact companies that are performing worse and have difficulties in implementing their projects. Thus, such support in the form of guarantee is beneficial for the smallest enterprises. When MEs do receive public funding, their performance matches that of the bigger sized companies. Zecchini & Ventura (2009) showed that that well-focussed public guarantee schemes in Italy contribute to easing credit rationing for disadvantaged companies. Cowling (2010) who studied credit rationing in the UK small business sector and the impact of the UK government initiated loan guarantee scheme, obtained confirmative evidence that the scheme, providing for a collateral, significantly enabled access to debt finance for small, credit constrained firms. Lelarge et al. (2010) results suggest that the French loan guarantee programme significantly affected the development of newly created firms. Asdrubali & Signore (2015) demonstrated that in the States of Central, Eastern and South-Eastern Europe, MEs and newly developed companies have been the ones to win the highest gains from the guarantee programs between 2005 and 2012.

Research results demonstrate that the situation has not essentially changed over time, for example, Bukvic & Bartlett (2003) found that in Slovenia the high cost of financing may be the key financial barriers for SME growth. More than two thirds of the small businesses finance over half of their start-up capital from their own savings.

Janda et al. (2013) explored the possibility of rural Polish micro-entrepreneurs receiving Polish government funding and various programs of rural and entrepreneurial development. Based on the results, they recommended public support carefully targeted at the right support groups. In addition, banks and financial institutions should not apply the same standards to all companies.

Further, the government grants have a positive effect on companies receiving external funding. Researchers Islama et al. (2018) showed that the receipt of government grants for start-ups was a positive signal has contributed to the acquisition of venture capital. Thus, policy makers may consider involving venture capital in the design of start-up's support programs.

With regard to the launch of new MEs and the development of particularly innovative ideas, not only access to funding is needed, but also support for the implementation of their initiative in the form of advice and counselling. As researcher Smus (2017) findings, those entrepreneurs who receive support and business environment experience in accelerator centres are more likely to achieve better business results. The authors point to the need for start-ups to provide financial and non-financial support for the implementation of innovative projects.

Researchers (Masiak et al., 2017a) indicate that support programs have been created in the EU focusing on MEs should be tailored specifically to small businesses' needs and should be separated from more general SMEs support. However, even though some programs designed specifically for micro firms do exist, the implied costs to apply for public support programs can be high. Hence, indirect public support programs (e.g., through portfolio guarantees for financial intermediaries) that use standard financing channels - in particular, banks, microfinance institutions and other providers of finance for microenterprises - are likely to be more efficient, as these mechanisms mitigate the collateral requirements for micro firms to obtain bank loans and do not require additional application process. In a context where companies are increasingly turning to alternative sources of non-bank funding, including public funding from EU funds, the role of policy makers is growing to increase the size of businesses of all sizes, incl. MEs access to a diverse set of funding instruments (OECD/European Union. (2019).

It has been emphasized for several years that SMEs have difficulty accessing finance and that access should be improved through state aid (EC, 2011). Until recently, it was found that micro and small enterprises are less confident to talk to banks about financing than are medium-sized and large enterprises. Overall, 13% of all MEs in the EU consider access to finance to be a major problem. In addition, for public financial support, the number of SMEs that reported deterioration was higher than the number of SMEs reporting an improvement (Kwaak et al., 2019). Researchers in many countries have investigated those important aspects in their research.

2.2. EU Funds and Regular Public Financial Support

More than half of all European Fund for Strategic Investments funds earmarked for financial instruments in the 2014-2020 programming period went to financial instruments to support SMEs (European Commission - fi-compass, 2019).

Although the European Commission (hereinafter EC) makes improvements to simplify and clarify the conditions for SME financing with public support, there is a specific condition that the state aid may only be used to target market failures (EUR-Lex, 2008).

Analyzing and comparing national funding gaps and market failures in SME financing, researchers (European Commission - fi-compass, 2019) found that Latvia is characterized by the SME debt financing gaps appear to have increased over the first half of 2019; Banks in Latvia have kept credit standards constant, but reported an increase in loan demand.

In order to identify market failures, an ex-ante evaluation to assess the financing needs of SMEs for the development of EFSI-supported financial instruments some countries have focus not only on support in particular industrial sectors, but also on SME size, age, technological readiness and / or the risks associated with specific debt financing required in certain segments of the economy. In this context, several groups of companies were identified for public funding support. It has been found (European Commission - fi-compass, 2019) that micro-enterprises (with less than nine employees) often face greater difficulties in accessing debt finance than larger SMEs. Micro-enterprises are also included in other identified supported segments. Innovative SMEs often face greater difficulties in accessing external financing (including debt financing) compared to larger innovative companies and / or SMEs that do not develop innovative projects. Younger SMEs may also face more difficulties in obtaining financing than older SMEs due to a lack or absence of credit history in banks which often is important requirement to get loan. Some SMEs may have difficulty accessing debt finance if they have very limited tangible assets that hamper their ability to provide collateral to a bank or

credit institution. Banks and other credit institutions are challenged to finance projects in new, hitherto unknown, industries.

Guarantees are an essential financial instrument for public support for companies. EU Member States use government-backed credit guarantee schemes to guarantee loan portfolios disbursed by financial intermediaries and banks. By reducing the risk of credit institutions to counterparties, the EIF reduces market failures in access to credit for SMEs and supports technology, innovation, growth and employment (European Commission - fi-compass, 2019).

The pre-crisis study (Bertoni et al., 2019) concluded that EIF-guaranteed loans had a number of positive effects on firms' assets, sales and employment. Companies also had a better chance of survival and a less chance of going bankrupt. In addition, the positive impact was stronger for young and smaller companies, which generally do not have a good credit history. Greater positive impact on those operating in the service sector rather than manufacturing, but the effect does not seem to be greater in high-tech and knowledge-intensive sectors than in low-tech sectors.

2.3. Different options for support during the crisis

The factors of the COVID-19 crisis are significantly different from the previous global financial crisis, so there is uncertainty about the behaviour of entrepreneurs and the prudence of financiers in designing support instruments (Cowling et al., 2020, Dealroom & Sifted, 2020; Kraemer-Eis et al., 2020; Uziako, 2020).

Several measures supported by EU funds are available to existing and new financial intermediaries. The COSME program provides them with more risk coverage, allowing them to use simplified eligibility criteria and a fast approval process to support SMEs so that they can provide working capital loans to SMEs (European Commission, 2020a).

In addition to the European funds already available to Member States, the European Commission and the European Investment Fund (EIF) have made it possible to provide € 8 billion in funding to provide cash relief to at least 100,000 European SMEs affected by the coronary pandemic (European Commission, 2020b). Funding policy-makers Europe recognize that one of the direct economic consequences of a coronavirus pandemic is a sudden lack of liquidity in companies. It is emphasized that SMEs are generally most affected by the crisis and it is important to support them with sufficient liquidity to survive the crisis. However, in this situation, banks are not encouraged to lend money to SMEs, as the risk inherent in business has increased too rapidly. Therefore, EU public support is in the form of new guarantees to provide loans to SMEs. As a result, the EIF offers specific European Fund for Strategic Investments-backed guarantees to the market to limit the impact of the pandemic on SMEs and small mid-caps. Key features of these guarantees will be: Simplified and quicker access to the EIF guarantee-A higher risk cover – up to 80% of potential losses on individual loans (as opposed to the standard 50%);-Focus on working capital loans across the EU;-Allowing for more flexible terms, including postponement, rescheduling or payment holidays (European Commission, 2020b).

The authors Brault & Signore (2020) support the view that credit guarantees from EU funds help to maintain and increase growth and employment at the company level. Therefore, using them to support businesses could be an effective way of overcoming the current crisis. However, the economic impact of the national guarantee schemes assessed so far has varied from country to country, depending on the volume of credit guarantees used and national industrial characteristics. An essential factor in using guarantee schemes to mitigate the effects of the crisis is the changing ability of European countries to withstand the fiscal consequences of possible future defaults on guaranteed loans. It should be noted that the absolute number of defaults would increase during the crisis.

The economic impact of the COVID-19 pandemic has also affected the private equity and venture capital ecosystem, potentially limiting funding for technology and innovation. This, in turn, could be detrimental to European and business-led competitiveness (Kraemer-Eis et al., 2020).

Venture capital investment is an early stage form of private equity financing that is mainly targeted at companies before they have “started mass production / distribution to complete research, develop a product definition or design, including market testing and prototyping” (Invest Europe, 2020). Thus, access to finance, including access to venture capital finance, is relevant to the segment of young and innovative companies, which is a major driver of job creation and innovation.

A study (Fuertes-Callén et al., 2020) on the growth of start-ups in Spain in the first 8 years have found confirmation that “that companies that are healthy in their early years will go ahead in a greater proportion than those that start with many difficulties”. Such a finding points to the need to provide support, including in the form of financial resources, to entrepreneurs in the early stages of their creation and development of the company.

Researcher Mason (2020) concluded that immediate government intervention in most EU countries is aimed at supporting small businesses and, in particular, providing them with liquidity. He therefore has proposed timely support for innovative, high-growth and potentially high-growth companies, given that such companies could provide a sustainable way out of the crisis in the medium and long term. Using examples from the UK for state aid to SMEs to overcome the crisis, the author recommends innovative, high-growth companies to develop products using public financial support instruments, involving venture capital funds and business angel investments.

The authors (Arundale & Mason, 2020) have noted that most of these negatively affected companies will be particular MEs (with less than 10 employees) and with low growth potential or ambition. With adequate support and funding, some can develop into fast-growing companies that underpin private equity and business finance, and that foster innovation, job creation and productivity growth.

The scientific studies and scientific publications in previous years have shown that start-ups supported by EIF publicly funded venture capital investments generated higher returns and more job creation in the first five years after these investments than in the scenario without venture capital investments. In addition, researches have shown that venture capital investments in start-ups have helped to achieve higher levels of liquidity, investment and borrowing, which could be crucial in overcoming the COVID-19 crisis (Kraemer-Eis et al., 2018; Kraemer-Eis et al., 2020).

With financial intermediaries already in place in many countries, European business policy-makers are able to respond quickly to mitigating the negative effects of Covid-19. In Europe has developed a set of programs to provide government support for businesses, innovation and at both national and EU level - loans and loan guarantees, grants, venture capital funds, tax incentives, etc. During the coronavirus pandemic, governments have put in place a large number of support measures for the small business sector to help them keep cash, providing loan financing both directly and providing guarantees to banks, subsidizing staff costs and allowing for deferral of taxes, business rates and social security payments. However, Arundale & Mason (2020) point out that these schemes will have limited benefits for high-growing companies. The authors provide example of the UK CBILS scheme, which provides financial support in the form of guaranteed bank loans to small businesses that lose revenue and cash flow is disrupted as a result of the COVID-19 outbreak, requiring companies to qualify standard pre-crisis bank lending criteria. Some other support schemes include contradictory and even unenforceable conditions.

In turn, researcher in his studies Uziako, A. (2020) describing the impact of the COVID-19 crisis on the survival of companies in the USA, emphasizes the importance of internal money savings. A business survey conducted at the end of March found that 37% of responding companies would not be able to survive a pandemic for less than a month without any assistance, while another 24% could survive without assistance for only two months. Another survey found that one of the biggest obstacles to a successful survival in a pandemic was insufficient cash flow.

Cowling et al. (2020) have identified (although the findings relate to the United Kingdom) which types of companies and in what way are most at risk if closure lasts for some length of time. Overall, their empirical evidence showed that MEs were more likely to be represented in both immediate risk (no cash holdings) and medium-term risk (no evidence of building up cash reserves) categories. These key findings suggest that, in order to ensure that companies suffer as little as possible from the COVID-19 crisis, the basic starting point would be to improve cash and liquidity in the micro-enterprise population. Providing the right kind of incentives is essential to help SMEs stay solvent during a long period of recession. The authors found that often small amounts of grant funding can have a significant strategic impact on small businesses to support their revenue generation potential. Therefore, the government should consider offering small grants to SMEs that want to start new activities or new innovative business practices.

The OECD (2020a) assesses the impact of coronavirus restrictions on business and focuses on supported segments. The crisis is affecting business performance, reducing both demand and supply. Although all types of companies are affected in this way, start-ups are particularly vulnerable to such a blow, as they lack business

experience and also the existing savings, resources to ensure the smooth running of the business. The biggest victims of the government's restrictions on the spread of coronavirus are the smallest entrepreneurs, as their business size is relatively small (both in terms of raw material and labour supply and in cooperation with other companies). The sectors most affected are road transport, construction, sales, air transport, the tourism sector, the real estate business and various personal services (hairdresser, manicure, etc.). Employees of micro-enterprises are in the highest risk category of losing their job - almost 30% of all enterprises in the risk group are micro-enterprises.

According to data compiled by the OECD (2020b) on solutions to support enterprises, it has been found that most countries implement public support in the form of measures offered by the EU (increased guarantees, direct short-term loans, deferred payments) and have introduced simplified administrative procedures. Some countries (Colombia, Austria, Spain, Brazil) grant loans only to companies operating in specific sectors (mainly tourism and hospitality).

Meanwhile, the Danish government sets a loan guarantee of almost 70% of the loan (OECD 2020b) amount if the income of the borrowing company has fallen by at least 50% as a result of the spread of the virus. In several countries (Germany, Italy, Austria, Switzerland, etc.), the government has significantly raised the guarantee threshold. In Germany, for example, it has been increased to EUR 2.5 billion.

Elsewhere, the usual models for supporting private banks are applied, such as the central bank setting a lower reserve threshold for banks to invest more money in loans to support companies.

Many countries (Canada, the Czech Republic, Denmark, Germany, etc.) are implementing plans to apply a new market strategy to enable SMEs to expand into a new market to balance the existing market. Financial support in the form of export guarantees helps to implement new export opportunities.

Start-ups are a particularly vulnerable category, as they are often unable to qualify for government benefits. Therefore, many countries (France, Germany, Great Britain, Switzerland, Portugal, Canada, etc.) have developed special initiatives specifically for financial support for start-ups in the form of loans, investments and guarantees. In addition, the schemes also provide support not only to companies that have already started operations before the virus and have experienced a significant decline, but (in Denmark) support is also available in the pre-seed phase of a start-up.

Interestingly, that Nanda & Nicholas (2014) looked at how funding constraints affected companies' innovative performance during the Great Depression. They find that the sharp decline in the availability of external bank finance not only affected the level of innovation, but also changed the innovation trajectory from more experimental, radical innovation to gradual and sustainable innovation.

3. EMPIRICAL RESEARCH RESULTS AND DISCUSSION

3.1. Results

At the beginning of 2018, data were obtained from the company's survey in order to find out the possibilities of Latvian micro-enterprises to obtain financing and to identify the most popular sources used during the last 3 years. The aim of the survey was to find out the financing needs of entrepreneurs in strategically important sectors of the country, the preferences of companies when choosing sources, and the extent to which micro-enterprises have sought and obtained public support. The processing of the survey data, reliability tests was performed by the data analysis program in the SPSS environment, and it indicates a high Cronbach's alpha coefficient (Table 1).

Table 1: Data reliability tests by SPSS

Case Processing Summary				Reliability Statistics	
		N	%	Cronbach's Alpha	N of Items
Cases	Valid	1879	100,0	0,823	13
	Excluded ^a	0	0		
	Total	1879	100,0		

a. Listwise deletion based on all variables in the procedure.
 Source: Authors' constructions.

In the survey, responses from 2511 companies were considered valid, and 1879 responses were received by micro enterprises are reviewed and analysed here. In addition, the survey identified factors that significantly affect the company's growth. Among the 13 restrictive factors included in the survey, it was identified two factors that characterize the importance of availability to finance. These are "access to finance" and "unstable cash flow". The micro enterprises that have indicated them (on a 5-point scale evaluations by respondents answered, that is essentially or almost essentially) will be covered in more detail later in this paper.

Of those micro enterprises for whom access to finance is the most important restrictive factor for the development of the company, the most frequently mentioned are those micro companies aged 2 to 5 years (40%), but rarely young companies up to 2 years of micro enterprise. A similar distribution depending on the micro enterprises age is also present for the group for which a significant limitation is the unstable cash flow (Table 1).

Table 1: Distribution of micro-enterprises (in %) on the relevant restrictive factors by the micro enterprise age

Restrictive factors	Age of micro enterprise			
	Less than 2 years	Between 2 years and 5 years	Between 5 years and 10 years	More than 10 years
Access to finance (n=667)	6	40	30	24
Unstable cash flow (n=779)	6	37	30	26

Source: Authors' calculations based on the survey of companies in Latvia (n=1879)

The types of financing sources or borrowed products offered to entrepreneurs in the survey of entrepreneurs in Latvia to indicate that they have used for the period 2015-2017 by the responses of the entrepreneurs are included in Table 2.

Table 2: Sources of financing of companies by types or products of financing

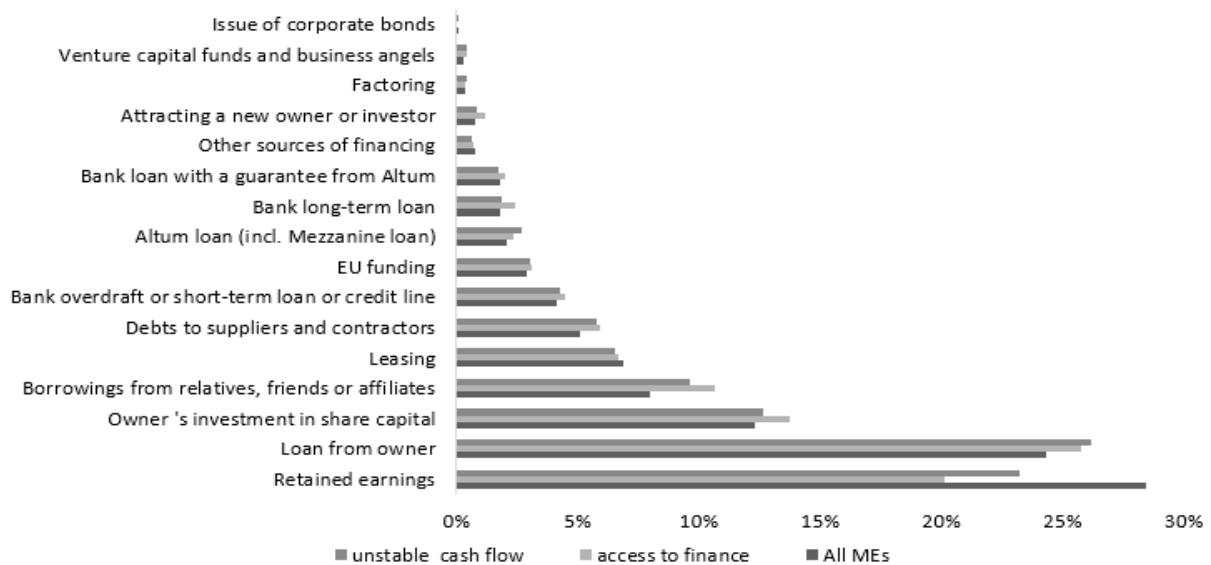
Funding sources	Types or products of financing
Internal financing	Retained earnings
	Additional owner 's investment in share capital
	Loan from owner
	Other borrowings from relatives, friends or affiliates
Financing by banks or leasing companies	Bank loan with a public support guarantee from ALTUM
	Credit line, bank overdraft or short-term loan
	Bank long-term loan
	Leasing
	Factoring
Other external sources of finance	Public support ALTUM loan (incl. mezzanine loan)
	Debts to suppliers and contractors
	EU funding
	Issue of corporate bonds
	Attracting a new owner or investor
	Venture capital funds and business angels
	Other sources of financing, such as an on-line loan portal or platform

Source: Authors' construction based on the survey of companies in Latvia (n=2511)

In the survey of entrepreneurs on the question "What types of financing does your company use or has used in 2015-2017 years?" of all 1879 MEs indicated sources: 3% - bank loan with ALTUM guarantee, 4% - ALTUM loan, 6% - EU funding, 1% - venture capital funds and business angels, but 12% - bank long-term loan, credit line, bank overdrafts or short-term credit, however, most of all - 64% relied on internal financing sources.

Data included in Figure 1 show the frequency of all funding sources used by MEs compared to those for which "access to finance" and "unstable cash flow" are relevant.

Figure 1: Share of micro-enterprises by sources of financing used by the factors limiting their operations on “access to finance” (n=667) and “unstable cash flow” (n=779) (in %)



Source: Authors' calculations based on the survey of companies in Latvia (n=1879).

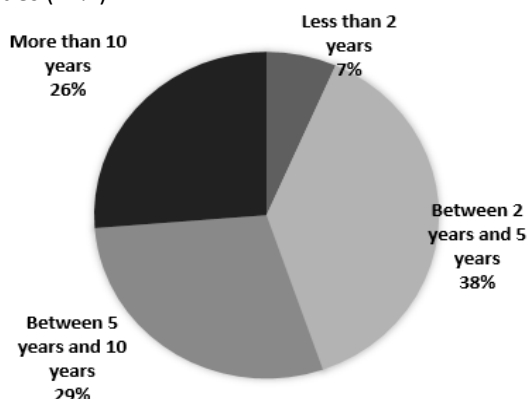
Most of the MEs for which access to finance and also unstable cash flow were a significant constraint were represented industries: construction, tourism, information and communication services, woodworking, retail trade. When looking at those companies that have used internal financing for development, the same industries can be mentioned: construction (28%), tourism (21%), information and communication services (16%), woodworking (6%) and retail trade (5%).

The industries most likely to be affected by the time of COVID-19 are considered cultural and creative industries and accommodation and food services. In previous years, internal financing for development had used only 3% of MEs in cultural and creative industries and 2% of MEs in accommodation and food services.

In the research period 2015-2017, 49% of the surveyed MEs have needed new or additional funding. However, only 15% (or 141) of ME turned to ALTUM in an attempt to obtain finance. ALTUM, on the other hand, refused funding of 55 MEs, but only 34 MEs received the required funding in full. 26 MEs refused to fund ALTUM themselves, and the most common reasons for refusal were: too complicated a process, too much paperwork, collateral requirements were too high, and the money offered was too expensive.

Regarding the additional external financing needed in the future, 38% of the MEs would confirm the answer, but 18% was hard to say. Of those MEs for whom additional external financing needed the most, the most frequently mentioned are those aged 2 to 5 years (38%), but less need was expressed young companies up to 2 years old (Figure 2).

Figure 2: Distribution of micro-enterprises in need of external financing in the future (n=716) by age of their activities (in %)



Source: Authors' calculations based on the survey of companies in Latvia (n=1879).

Distribution of responses by micro-enterprises by industry branches on limiting factors for getting financing are included in table 3.

Table 3: Breakdown of share of micro-enterprises by sector on limiting factors (in %)

Industry	Limiting factors for micro enterprises			
	need of external finance in future	limiting factor “access to finance”	limiting factor “unstable cash flow”	internal funding has been used
	n=716	n=667	n=779	n=1796
Information and communication services	73	49	46	95
Chemistry and pharmacy	71	54	29	92
Tourism	59	51	24	97
Accommodation and food services	52	43	44	95
Energy	52	46	48	92
Light industry	48	32	52	93
Retail trade	47	46	59	97
Transport and storage	44	38	44	91
Cultural and creative industries	42	46	42	96
Mechanical engineering, metalworking, equipment production	39	37	48	97
Electronics, optics, telecommunications	38	38	50	100
Agriculture, fisheries	37	40	38	96
Manufacture of building materials	32	37	41	98
Construction	30	28	39	95
Food production	30	26	28	98
Woodworking	19	45	45	100

Source: Authors' calculations based on the survey of companies in Latvia (n=1879).

Data included in Table 3 demonstrate that almost all companies in all industries relied on internal financing (retained earnings, additional owner's investment in equity, borrowing from the owner, other borrowings from relatives, friends or affiliates). The need of external finance in future was most often pointed out for companies operating in the industry: information and communication services, chemistry and pharmacy, tourism, accommodation and food services and energy. “Access to finance” was more restrictive factors for MEs operating in chemistry and pharmacy, tourism, information and communication services, retail trade. The most unstable company cash flow was for MEs in industries: retail trade, light industry electronics, optics, telecommunications and energy. There were an average number of companies (42-46%) operating in the cultural and creative sectors in the aspects considered.

3.2. Discussion

The authors (Arundale & Mason, 2020) shed light on the unattractive picture of the impact of the current coronavirus crisis on business finance. The amount and number of transactions of both private and venture capital investments has decreased. Investors are cautious and trying to strengthen their existing investment portfolios. The lack of venture capital will mean that many start-ups that might otherwise have thrived are likely to close. Lack of funding prevents companies that are attracted to develop and expand. There would be a

lack of funding for redundant workers who want to start their own business. They would benefit from a training program to start a new business.

EIF researchers (Kraemer-Eis et al., 2020) have estimated that the COVID-19 pandemic could have a strong and immediate adverse effect on the functioning of the European private capital market in support of entrepreneurship. They concludes that in the absence of an appropriate response from support policy makers, the COVID-19 crisis will limit funding for technologies and innovations that could be detrimental to European competitiveness, including its ability to anticipate the risk of a future pandemic or similar systemic shocks. The study reveals that the economic consequences of the COVID-19 pandemic will vary depending on geography, industry and stage of investment development and other aspects. The funding gap may be particularly significant in regions where private and venture capital funding support for entrepreneurship is not developed. This is likely to exacerbate existing disparities in cohesion (Mason, 2020; Dealroom and Sifted, 2020).

These findings also apply to Latvia, where private and venture capital financing was not a popular form of financing for MEs in the start-up phase neither during the current crisis nor in the period 2015-2018 before (Beizitere, 2018). Venture capital funding per capita in 2019 in Latvia was 10 EUR, compared to 55 EUR on average in Europe, but, for example, in neighbouring countries Lithuania - 59 EUR, Estonia - 64 EUR, Finland - 132 EUR, Sweden - 273 EUR (Dealroom and Sifted, 2020).

In the Member States, EU-funded programs for entrepreneurs are implemented through local financial institutions such as banks and venture capital companies, using a wide range of FIs. In Latvia, the principal financial intermediary ALTUM offers a number of financial instruments, including especially for micro-enterprises and start-ups. The results of ALTUM's financial report (ALTUM, 2020d) indicate that in the first quarter of 2020 the biggest impact is felt in the slowdown in the growth of the guarantee portfolio, as many companies suspended their projects during the period of uncertainty due to the global spread of Covid-19. The growth rate of the loan portfolio has also slowed down.

To overcome the consequences of the spread of Covid-19 for companies that have experienced difficulties in meeting their obligations to credit institutions ALTUM offer credit guarantees that will allow banks to defer principal payments for up to two years, and attract guarantees for existing financial services. On the other hand, working capital loans are offered to companies that have significantly reduced their operations and need additional resources to maintain their operations (ALTUM, 2020c). An important condition is that both financial instruments offered by ALTUM are intended only for companies affected by the Covid-19 virus crisis. In order to receive ALTUM aid, a company must demonstrate that the aid will help it survive the crisis and continue to operate successfully.

Since the introduction of the support financial instrument on 25.03.2020 until the beginning of June, a total of 342 companies have received a working capital loan for the total amount of 69 million euros, most of which are micro (41%) companies (ALTUM, 2020a). Until now, companies working in the service sector (31%), manufacturing (24%) and trade companies (24%), as well as transport (9%), construction (7%) and agriculture (3%) most actively use working capital loans.

Latvia does not offer specific support instruments to mitigate the impact of COVID-19 through venture capital funds, although state support to companies through ALTUM has so far been provided. ALTUM offers wide public support especially in the start-up phase of the business through 3 acceleration funds, 1 seed and start-up venture capital funds, 2 growth venture capital funds.

Our survey of the most frequently used financial sources in 2015-2017 showed that public support financing was not popular among micro-enterprises. Entrepreneurs relied more on internal financing.

The data of the Register of Enterprises (Lursoft, 2020) show that in the first half of 2020, one fifth less new enterprises were registered than in the corresponding period of the previous year, thus showing the lowest indicator during the last 17 years. Among the companies liquidated in the first half of the year, more than a quarter represent the trade sector, while a tenth represent professional, scientific and technical services, covering sub-sectors such as legal and accounting services, advertising and market research services. A large number of companies that have closed down are also in the construction, transport and storage and processing industries. On the other hand, the accommodation and catering services sector, which was one of the first to feel the effects of the Covid-19 crisis, when the flow of tourists stopped, is not among the sectors whose companies have been liquidated more than others have this year.

Prior to the rollout of COVID-19 in late 2019, a survey of ALTUM business start-ups among 300 respondents found that most new entrepreneurs start their business with personal savings (ALTUM, 2020b). Compared to the research conducted in 2017, the use of personal savings for business financing has grown from 76% to 85%. Another 21% of the surveyed business start-ups have indicated that they use the capital of the attracted partners, but 16% of the respondents attract family savings to start a business. Nevertheless, ALTUM's management has indicated that the opportunities for companies to receive funding are much greater than those used so far. Entrepreneurs use only 8-10 million euros of ALTUM funding available to business start-ups each year, although ALTUM's funding capacity is almost five times higher.

Thus, the question may arise whether companies in Latvia, especially micro, receive sufficient public financial support in conditions when various financial instruments are offered and theoretically, a large amount of public funds (both EU funds and ALTUM) is available.

For its part, the OECD (2020b) recommends that national governments should take into account the following when preparing support measures:

- Care should be taken not to introduce mechanisms that require the use of funding or support for specific purposes, thereby interfering too much with the market economy. The best mechanism would be to allocate funds and allow the company to choose how to use those funds.
- It is necessary to assess the long-term consequences of the implemented policy in order not to sacrifice long-term goals for short-term benefits. However, global priorities, such as environmental protection, should be kept in mind through the implementation of various aid programs.
- It is advisable to ensure transparent implementation of assistance programs to make sure that the money paid in taxes is not only allocated to large companies, but also to smaller companies.
- It is desirable to provide mechanisms to help all types of companies to obtain financing by cooperating with private investors (banks, private venture capital investors, etc.). It should be noted that in the current situation of uncertainty, private investors are much more selective and cautious in assessing the risk of financing each company. This means that companies with poorer financial performance and lower turnover may find it much more difficult to obtain financing. Therefore, governments need to think about how to fill these gaps and provide mediation between private investors and companies.

4. CONCLUSION

In Latvia, state financial support measures for companies have been developed, which are available and are also offered to micro-enterprises. Latvia implements support mechanisms for companies recommended and supported by European institutions - extension of liabilities, loan guarantees and direct loans to SMEs. Such support is also available to micro-enterprises, but their willingness and ability to use the support offered is debatable. A survey of companies showed that in recent years, among micro-enterprises, financial instruments with public support have not been popular. Companies relied more on internal sources of financing. This raises concerns as to whether the current situation will change companies' attitudes, given that the aid measure was targeted at companies that did not have significant difficulties in meeting their financial obligations prior to the spread of the coronavirus.

The practice of other countries shows that other forms of direct and indirect support are possible, which, combined with financial support instruments, could lead to a better result in reducing the impact of the coronavirus. Latvia has not developed a special venture capital offer combining public and private investments for micro-enterprises, including those in the start-up phases.

Some suggestions to policy makers and financial institutions are offered:

- The Covid-19 crisis poses a variety of challenges for businesses: for some - immediate cash flow problems, while for others new opportunities. Both strands should be managed and supported by appropriate public funding, offering the most appropriate financial instrument. For example, micro-enterprises implementing innovative projects should be able to offer venture capital investments rather than guaranteed bank loans.
- The government should also be wary of introducing mechanisms that force the granted funding or support to be used for specific pre-defined purposes, thus interfering too much with the market economy. The best mechanism would be to provide funding and allow the company to choose how to use the funds.

- Modifications or additions to existing government financial support schemes for micro-enterprises and start-ups are needed, which are in line with the characteristics of companies with high growth potential.
- During the constraints of COVID-19, many micro-enterprises were forced to innovate and create new hitherto unknown fields of activity and products in order to survive. Financial institutions should be encouraged to develop specific financial support instruments for such companies.
- It is important for business start-ups and also for new micro-enterprises to provide financial and non-financial support for the implementation of innovative projects.
- In addition, there is an urgent need to renew training programs supported by the government as well as local governments to retrain redundant workers and provide them with business planning and financing advice.

ACKNOWLEDGEMENTS

We are grateful to the Marketing and Public Opinion Research Center (SKDS) for assistance in conducting the survey of entrepreneurs.

The research was supported by the National Research Program “INTERFRAME-LV” and the National Research Programme Project “Towards the Post-pandemic Recovery: Economic, Political and Legal Framework for Preservation of Latvia's Growth Potential and Increasing Competitiveness” (“reCOVery-LV”).

REFERENCES

- ASBFEO (2019). Small business counts: small business in the Australian economy. Australian Small Business and Family Enterprise Ombudsman, July. Retrieved from: <https://www.asbfeo.gov.au/sites/default/files/documents/ASBFEO-small-business-counts2019.pdf> (Accessed 20 August 2020).
- ALTUM (2020a). ALTUM atbalsts krizes skartiem uzņēmumiem bus pieejams arī turpmāk; krizes laika veicināta 264 miljonu eiro ieplusana tautsaimniecībā (ALTUM support for companies affected by the crisis will continue to be available; During the crisis, 264 million euros were facilitated into the economy). 10.06.2020. Retrieved from: <https://www.altum.lv/lv/jaunumi/altum-atbalsts-krizes-skartiem-uznemumiem-bus-pieejams-ari-turpmak-krizes-laika-veicinata-264-miljonu-eiro-ieplusana-tautsaimnieciba> (Accessed 20 August 2020).
- ALTUM (2020b). Biznesa uzsaceju petijums 2020.02.25 (Business Startups Study 2020.02.25). Retrieved from <https://www.slideshare.net/ALTUMlv/biznesa-uzsaceju-ptjums-20200225> (Accessed 21 August 2020).
- ALTUM (2020c). Business | Covid19. Retrieved from: <https://www.altum.lv/en/>
- ALTUM (2020d). Unaudited interim condensed financial report for the three-month period ended 31 March 2020. Retrieved from: https://www.nasdaqbaltic.com/market/upload/reports/altm/2020_q1_en_eur_con_ias.pdf (Accessed 20 August 2020).
- Arner, D.W., Barberis, J.N., Walker, J., Buckley, R.P., Dahdal, A.M., Zetsche, D.A.. (2020). Digital Finance & The COVID-19 Crisis (April 16, 2020). University of Hong Kong Faculty of Law Research Paper No. 2020/017.
- Arundale, K., Mason. C. (2020). Private Equity & Venture Capital. Riding the COVID-19 Crisis. A New World Post COVID-19. *Innovation in Business, Economics & Finance 1*, pp. 193-204.
- Asdrubali, P., Signore, S. (2015). The economic impact of EU guarantees on credit to SMEs-evidence from CESEE countries', Technical report, EIF Working Paper. European Economy - Discussion Papers 2015 - 002, Directorate General Economic and Financial Affairs (DG ECFIN), European Commission. Retrieved from: <https://www.econstor.eu/bitstream/10419/176659/1/eif-wp-29.pdf> (Accessed 25 August 2020).
- Beizitere, I. (2018). Is Availability of Financial Instruments a Challenge for Micro Enterprises? Proceedings of the 10th International Scientific Conference "New Challenges of Economic and Business Development – 2018: Productivity and Economic Growth". Riga, Latvia, May 10-12, 2018. Riga: University of Latvia, 2018. pp. 30–41.
- Bertoni, F. Brault, J., Colombo, M.G., Quas, A. (2019). Econometric study on the impact of EU loan guarantee financial instruments on growth and jobs of SMEs. EIF Working Paper 2019/54, EIF Research & Market Analysis. February 2019.
- Brault, J., Signore, S. (2020). Credit Guarantees in the COVID-19 crisis – Relevance and Economic Impact. SUERF Policy Note. Issue No 176. June 2020. Retrieved from: <https://www.suerf.org/policynotes/14869/credit-guarantees-in-the-covid-19-crisis-relevance-and-economic-impact> (Accessed 25 August 2020).
- Bukvic, V., Bartlett, W. (2003). Financial barriers to SME growth in Slovenia. *Economic and Business Review for Central and South-Eastern Europe*, 5(3), 161–181.
- Central Statistical Bureau of Latvia (2019). SRG030. Economically Active Enterprises of Market Sector in Statistical Regions, Cities and Counties by Size Group According to the Number of Employees and Main Economic Activity (NACE Rev. 2). Retrieved from: http://data1.csb.gov.lv/pxweb/en/uzn/uzn__01_skaitis/?rxid=d8284c56-0641-451c-8b70-b6297b58f464&tablelist=true (Accessed 20 July 2020).
- Council of the European Union. (2019). Council conclusions on the implementation of EU Macro-Regional Strategies – Adoption, Brussels, 10.05.2019. Retrieved from:

- https://ec.europa.eu/regional_policy/sources/cooperate/macro_region_strategy/pdf/council_conclusions_17052019.pdf (Accessed 20 August 2020).
- Cowling, M. (2010). The role of loan guarantee schemes in alleviating credit rationing in the UK. *Journal of Financial Stability*, 6(1), 36–44.
- Cowling, M., Brown, R., Rocha, A. (2020). Did you save some cash for a rainy COVID-19 day? The crisis and SMEs International Small Business Journal: Researching *Entrepreneurship*, 2020, 1-12.
- Dealroom.co and Sifted.eu (2020). What does it take? Europe’s startup ecosystem navigating the COVID-19 crisis. Launch Report – 22 April. Retrieved from: <https://europeanstartups.co/reports/launch-report-european-startups> (Accessed 20 August 2020).
- European Central Bank (2019). Survey on the Access to Finance of Enterprises in the Euro Area. April to September 2019. November 2019. Retrieved from: https://www.ecb.europa.eu/stats/ecb_surveys/safe/html/index.en.html (Accessed 22 August 2020).
- European Central Bank (2020) Survey on the Access to Finance of Enterprises in the Euro Area. October 2019 to March 2020. May 2020. Retrieved from: https://www.ecb.europa.eu/stats/ecb_surveys/safe/html/index.en.html (Accessed 22 August 2020).
- European Commission (2003). Commission Recommendation of 6 May 2003 concerning the definition of micro, small and medium-sized enterprises (Text with EEA relevance) (notified under document number C(2003) 1422). *Official Journal L* 124, 20.05.2003, p. 36–41
- European Commission (2011). COMMUNICATION FROM THE COMMISSION An action plan to improve access to finance for SMEs. /* COM/2011/0870 final */
- European Commission (2020a). Access to finance for SMEs. Retrieved from: https://ec.europa.eu/growth/access-to-finance_en (Accessed 20 August 2020).
- European Commission (2020b). Coronavirus: Commission and European Investment Fund (part of EIB Group) unlock €8 billion in finance for 100,000 small and medium-sized businesses. Press release. Brussels, 6 April 2020. Retrieved from: https://ec.europa.eu/commission/presscorner/detail/en/ip_20_569 (Accessed 27 August 2020).
- EUR-Lex (2020). Documents issued by EU Parliament and Commission related to COVID 19 and Small and Medium Sized Enterprises till 29.08.2020. Retrieved from: https://eur-lex.europa.eu/search.html?textScope=ti-te&textScope0=ti-te&DTA=2020&qid=1598691836252&DTS_DOM=ALL&type=advanced&lang=en&andText0=COVID-19&SUBDOM_INIT=ALL_ALL&andText1=Small%20and%20medium%20sized%20enterprises&DTS_SUBDOM=ALL_ALL (Accessed 29 August 2020).
- EUR-Lex (2008). Consolidated version of the Treaty on the Functioning of the European Union - PART THREE: UNION POLICIES AND INTERNAL ACTIONS - TITLE VII: COMMON RULES ON COMPETITION, TAXATION AND APPROXIMATION OF LAWS - Chapter 1: Rules on competition - Section 2: Aids granted by States - Article 107 (ex Article 87 TEC). *Official Journal of the European Union*, C 115, 09 May 2008.
- European Commission - fi-compass. 2019. Gap analysis for small and medium-sized enterprises financing in the European Union. Final report. December 2019. Retrieved from: <https://www.fi-compass.eu/publication/factsheets/gap-analysis-small-and-medium-sized-enterprises-financing-european-union> (Accessed 20 August 2020).
- Fuertes-Callén, Y., Cuellar-Fernández, B, Serrano-Cinca, C. (2020) Predicting startup survival using first years financial statements, *Journal of Small Business Management*, DOI: 10.1080/00472778.2020.1750302
- García-Tabuenca, A., Crespo-Espert, J.L. (2010). Credit guarantees and SME efficiency. *Small Business Economics*, 35(1), 113–128.
- Hernández-Trillo, F., Pagjn, J.A., Paxton, J. (2005). Start-up capital, microenterprises and technical efficiency in Mexico. *Review of Development Economics*, 9(3), 434–447.
- Islama, M., Fremeth, A., Marcusc, A. (2018). Signaling by early stage startups: US government research grants and venture capital funding. *Journal of Business Venturing*, 33, 35-51.
- Invest Europe (2020). Investing in Europe: Private Equity activity 2019. Retrieved from: <https://www.investeurope.eu/research/data-and-insight/> (Accessed 20 August 2020).
- Janda, K., Rausser, G., & Strielkowski, W. (2013). Determinants of profitability of Polish rural micro-enterprises at the time of EU Accession. *Eastern European Countryside*, 19, 177-217.
- Kraemer-Eis, H., Botsari, A., Gvetadze, S. and Lang, F. (2018). EIF VC survey 2018 – fund managers’ perception of EIF’s value added. EIF Working Paper 2018/51, EIF Research & Market Analysis.
- Kraemer-Eis, H., Botsari, A., Lang, F., Pal, K., Pavlova, E., Signore, S., Torfs, W. 2020. The market sentiment in European Private Equity and Venture Capital: Impact of COVID-19. EIF Working Paper 2020/64, EIF Research & Market Analysis.
- Kwaak, T., Cheikh, N., de Kok, J., Kruithof, B., Snijders, J., Stoilova, V. (2019). Survey on the Access to Finance of Enterprises (SAFE). Analytical Report 2019. November 2019. European Commission. Retrieved from <https://ec.europa.eu/growth/access-to-finance/data-surveys> (Accessed 18 August 2020).
- Lelarge, C., Sraer, D., Thesmar, D. (2010). Entrepreneurship and credit constraints: Evidence from a French loan guarantee program, *International differences in entrepreneurship*, University of Chicago Press; 243–273.
- Lursoft (2020). 2020. gada pirmie seši mēneši biznesā: jaunu uzņēmumu mazāk, bet mazāk arī likvidēto (The first six months of 2020 in business: fewer new companies, but less liquidated ones). 08.07.2020. Retrieved from: <https://blog.lursoft.lv/2020/07/08/2020-gada-pirmie-sesi-menesi-biznesa-jaunu-uznemumu-mazak-bet-mazak-ari-likvideto/> (Accessed 19 August 2020).

- Masiak, C., Block, J.H., Moritz, A., Lang, F., Kraemer-Eis, H. (2017). Financing Micro Firms in Europe: An Empirical Analysis. EIF Working Paper 2017/44, EIF Research & Market Analysis.
- Mason, C. (2020). The Coronavirus Economic Crisis: Its Impact on Venture Capital and High Growth Enterprises, Gavigan, J. editor, Publications Office of the European Union, Luxembourg, 2020, ISBN 978-92-76-18432-4. Retrieved from: <http://publications.jrc.ec.europa.eu/repository/handle/JRC120612> (Accessed 20 August 2020).
- Moritz, A., Block, J. H., Heinz, A. (2016). Financing Patterns of European SMEs – an Empirical Taxonomy. *Venture Capital*, 18(2), 115–148.
- Nanda R., Nicholas T. (2014), Did bank distress stifle innovation during the Great Depression?, *Journal of Financial Economics*, 114(2), 273-292.
- OECD (2019). The Missing Entrepreneurs 2019: Policies for Inclusive Entrepreneurship, OECD Publishing, Paris. Retrieved from: <https://doi.org/10.1787/3ed84801-en> (Accessed 20 August 2020).
- OECD (2020a). Coronavirus (COVID-19): SME Policy Responses. Retrieved from: https://read.oecd-ilibrary.org/view/?ref=119_119680-di6h3qgi4x&title=Covid-19_SME_Policy_Responses (Accessed 20 August 2020).
- OECD (2020b). Government Support and Covid-19 Pandemic. Retrieved from: https://read.oecd-ilibrary.org/view/?ref=128_128572-w5qyf5699d&title=Government-support-and-the-COVID-19-pandemic (Accessed 20 August 2020).
- Pissarides, F. (1999). Is lack of funds the main obstacle to growth? ERBD's experience with small and medium-sized businesses in central and eastern Europe. *Journal of Business Venturing*, 14(5-6), 519–539.
- Regulation (EU, Euratom) (2018). 2018/1046 of the European Parliament and of the Council of 18 July 2018 on the financial rules applicable to the general budget of the Union, amending Regulations (EU) No 1296/2013, (EU) No 1301/2013, (EU) No 1303/2013, (EU) No 1304/2013, (EU) No 1309/2013, (EU) No 1316/2013, (EU) No 223/2014, (EU) No 283/2014, and Decision No 541/2014/EU and repealing Regulation (EU, Euratom) No 966/2012. *Official Journal of the European Union*, L 193/1, 30.7.2018, pp. 1–222.
- Smus, T.R. (2017). Sources of SUPPORT and funding innovative start-ups. *International solutions. The Central European Journal on Social Sciences and Humanities (KNUV)*, 2(55), 127-142.
- Storey, D.J., Greene, F.J. (2010). *Small business and entrepreneurship*. Harlow : Financial Times Prentice Hall.
- Uzialko, A. (2020). COVID-19 Second Wave: How to Prepare for Another Company Shutdown. Retrieved from: <https://www.business.com/articles/covid-19-second-wave-business-closures/> (Accessed 23 August 2020).
- Woodruff, C. (2001). Firm finance from the bottom up: microenterprises in Mexico, Stanford Center for International Development, Working Paper 112.
- Zecchini, S., Ventura, M. (2009). The impact of public guarantees on credit to SMEs. *Small Business Economics*, 32, 191–206.

Correlation Between Organizational Creativity and Business Performance of Small and Medium – Sized Enterprises

Iva Klepić, mag.oec.¹

Zdenko Klepić, PhD²

Mirela Mabić, MSc³

¹ University of Mostar, iva.kleplic@sum.ba, ORCID: 0000-0002-7348-5673

²University of Mostar, zdenko.kleplic@sum.ba, ORCID: 0000-0002-9044-5489

³Faculty of Economics, University of Mostar, mirela.mabic@ef.sum.ba, ORCID: 0000-0002-1529-7797

Abstract: In modern business conditions, small and medium enterprises are facing strong, global competition and while competing with large enterprises, they have to locate, develop and use both their own strengths and market opportunities in order to survive and develop. Creativity, being an ability to observe situations, things and phenomena from a new perspective and to find new and original solutions, is one of the most powerful tools enabling small and medium enterprises to compete, survive and develop on the market. Creativity for small and medium enterprises is especially important today when innovation and change play a major role in the entrepreneurial process.

The basic aim of this research is to establish whether and in what extent a correlation between organizational creativity and business performance of small and medium enterprises exists.

The survey has been conducted in small and medium enterprises of the Herzegovina Region in the Federation of Bosnia and Herzegovina in 2019. An original survey questionnaire was prepared for the research, which gathered the opinions of top managers on organizational creativity, as well as on four business performance perspectives based on Balanced scorecard model.

Data were analysed using SPSS for Windows 20.0. The following statistical procedures were used: Pearson's coefficient of correlation, t-test for independent samples, Spearman's correlation coefficient and Mann-Whitney U test (depending on the result distribution).

Research results showed organizational creativity and business performance in small and medium enterprises observed from the following: the Financial Perspective, the Customer Perspective, the Internal Business Process Perspective and the Learning and Growth Perspective. The correlation analysis results indicate that there is a significant positive correlation between the scores of organizational creativity and all dimensions of BSC effectiveness. The results obtained for individual and team creativity show that the scores for creativity are in a significantly positive correlation with two dimensions of effectiveness - internal business dimension and learning and growth dimension. Besides, if the analysis is conducted based on a common grade of creativity and a common grade of efficiency, it is found there is a significant, positive correlation between these two variables.

The paper includes a comparison with similar research and the recommendations for future research.

The originality of this work lies in a link between creativity and business performance of small and medium-sized enterprises as viewed through Four Perspectives of the Balanced Scorecard. Also, no such research has been conducted in B&H to investigate the connection between creativity and business performance of small and medium-sized enterprises.

Keywords: balanced scorecard; correlation; creativity; performance; small and medium enterprises

1. INTRODUCTION

Small and medium enterprises represent the main driver for the development, innovation, competitiveness and employment in many countries.

In modern business environment, small and medium enterprises strive to fight for their survival and development in increasing and more globalized competition. In their effort to survive and develop, small and medium enterprises mainly rely on human resources. They are unique for every enterprise and represent the living factor of every organization making highest contribution to the achievement of objectives and business performance with their know-how, abilities, motivation, loyalty and creativity.

There is numerous empirical evidence of positive impact of creativity on profitability, competitiveness, survival and innovation of enterprise (Andari et al., 2007; Huggins & Clifton, 2011; Cooke & De Popris, 2011).

According to Madžar (2018, p. 4) researches on creativity resulted in a study made by Adobe Systems Incorporated (2012), which was conducted on a sample of 5000 people in the USA, Great Britain, Germany, France and Japan. The study showed that 8 out of 10 people think that encouraging creativity is the most

important for economic growth, and almost two thirds of examinees think that creativity is important for the society. The results also showed that 75% of examinees think they are under pressure in order to be productive and not creative and only 39% consider themselves creative at their workplace.

According to Goldstein (2016) creativity is the driver of innovation and the key factor for development of personal, professional, entrepreneurial and social skills.

Rowe (2004, p. 136) emphasises the importance of creative management within organization and thinks that the creative leaders are those who have the capability of managing the future because they are ready to face the unknown and see problems as challenges. They understand the world around themselves, make alliances, recognize the importance of responsibility, manage complexity, use modern technologies and encourage creativity.

Creativity or creative productivity is a result of mental process of creating new or partially new ideas, approaches, activities or concrete things which contain originality (Madžar, 2018, p. 10).

It is very important for organizations to take into consideration an individual, a group or a team, furthermore the whole organizational system, but equally the strategic framework when choosing interventions which encourage creativity (Mumford, 2000; Gumusluoglu & Ilsev, 2009).

Interest for organisational creativity has been increasing over the past years. According to a research made by Gu et al. (2017, p. 152) organizational creativity is in intermediary relationship between the leadership and innovative behaviour of all employees.

The basic aim of the research is to come to a knowledge of correlation between organizational creativity and business performance and to answer the question whether or not creativity has influence on business performance of enterprise.

Business performance of enterprises was observed according to the Balanced Scorecard model. A balanced scorecard views an organization from four different perspectives in order to measure its success. Each of these perspectives focuses on a different side of a company, creating a balanced view of the organization. The perspectives on which this method focuses, are the financial perspective, the customer perspective, the internal business processes perspective, the learning and growth perspective.

Numerous authors have dealt with the key elements of the balanced scorecard and their application in small and medium enterprises (Von Bergen & Benco, 2004, p. 15-18) pointing out that the Balanced Scorecard model can equally be applied to small and medium-sized businesses as well as to large companies. In a book dealing with the implementation of balanced scorecards in small and medium enterprises, Robert Kaplan (Biazzo & Garengo 2012, p. 5) points out that it is incorrect to observe that the balanced scorecard can only apply in large and global companies, emphasizing the need for small and medium-sized enterprises to use this approach for measuring the success.

2. THEORETICAL BACKGROUND

2.1. Creativity

In modern business environment, human resources are recognized as the most important factor of every organization on global market, with reached levels of development of information and communication sciences as well as of the sciences and technologies.

Drucker (2005, 24) points out that a company (or any other institution) has only one true resource – the people. According to Bahtijarević-Šiber (1999, xviii) human resources represent the living factor of organization which increasingly contribute to achieving organizational goals with their know-how, skills, capabilities and creativity. They significantly differ from the material and financial resources which are available to competitors on the market because they are unique for every enterprise and may not be copied. People, their development and motivation are becoming the main tool of competitive ability and advances on the extremely competitive and global market.

A recent article in *The Economist* (Frymire, 2006, p. 11) argues that the biggest challenge the organizations face today is not to find or hire cheap workers, but rather to hire individuals with “brainpower (both natural and trained) and especially the ability to think creatively”. In essence, the argument put forth in mentioned article

was that if companies wanted to succeed in the global economy, they needed some individuals who had talent to develop new ideas, and also novel and useful approaches to their work.

Creativity is defined as the production of high quality, original, and elegant solutions to problems (Besemer & O'Quin, 1999; Christaans, 2002; Ghiselin, 1963; Mumford & Gustafson, 1988).

According to Vujić (2010, p. 194) creativity is a new and original way of thinking and acting, which always deviates from standard methods of searching for solutions for certain problem, situation or conflict.

According to Horng et al. (2015, p. 1353-1373) creativity represents the capability of creating new, original contents (ideas, concept, techniques, methods, models, products, organizations) which the environment will perceive as relevant and valuable for society. According to Giura & Vasile (2017, p. 113-118) creativity is a vital source of organization in time when the innovation is a key factor in everything referring to business performance, as well as non-profit activities. Therefore, it is necessary to focus the organizational management on those factors which encourage creative manifestation of human resources on every level in all organizational processes.

Creativity is truly a multi-level construct in that creativity as well as both a process and an outcome are meaningful at different levels of analysis (Chen et al., 2004). For example, as an outcome creativity refers to the production of novel and useful products or services by an individual, a group, or an organization. In contrast, creative processes refer to the steps taken or creative acts that result in an outcome. Creative processes can also be undertaken at all three levels of analysis (Zhou & Shalley, 2007, 305): individual, team and organizational.

Numerous scientific but also practical researches have focused on what creativity means in organizational environment and what leads employees and teams to be creative at work.

Research results have shown that individual differences, management practices, feedback from leaders and co-workers, social networks, and the organizational climate, along with many other factors can either stifle or enhance creativity at work (e.g., Amabile, 1996; Gilson & Shalley, 2004; Gough, 1979; Scott & Bruce, 1994; Tierney & Farmer, 2002; Zhou, 1998).

Creativity, requires individuals with creative characteristics, who feel free from threat and pressure, and who work in a supportive environment. The innovation process begins with the creativity of individuals so the generation of a new idea is a cognitive process located within individuals, albeit fostered by interaction processes, for example, in teams (Mumford and Gustafson 1988). Creative cognitions occur when individuals feel "free from pressure, safe, and positive" (Claxton, 1997). High levels of stress lead to a reliance on habitual solutions. (Zhou & Shalley, 2007, p. 215). A large majority of authors agree that the environment is very important for creative process (Zhu, 2013; Andriopoulos, 2001; Cummings, 1965).

A great deal of the theoretical and empirical work in the creativity arena opens by stating that creativity should significantly increase performance; it should be a driver of team effectiveness, and be positively associated with organizational change and success (Zhou & Shalley, 2007, p. 304).

At the individual level of analysis, researchers claim that individuals range in their creative abilities and the jobs range in their levels of required creativity and that when those two complement each other, higher levels of positive effect ensue (Livingstone et al., 1997; Scott & Bruce, 1994; Shalley et al., 2000). In contrast, at the group level of analysis, researchers have focused their attention to more objective outcomes finding that creativity is positively related to performance. (Gilson et al., 2005; West & Anderson, 1996).

By encouraging creativity in organizations, it is possible to achieve some competitive advantage and to elevate organization from the mediocre to the excellent organizations.

Vicari (1998) described high organizational creativity as a continuous engagement of employees and managers in creative efforts, which resulted in innovation.

Encouraging creativity and innovation is the primary goal of management in every organization.

2.2. Balanced Scorecard

Business success can be measured by numerous financial or quantitative and qualitative measures. Quantitative data are more objective since they are listed numerically and are equally considered by all observers. However, these data are based on a particular accounting information system for legal and tax

considerations that may distort the reality of the business. Despite the objectivity of financial indicators, they actually reflect past performance and do not necessarily point to the sustainability of success in the future. Over the last twenty years, great emphasis has been placed on the qualitative benchmarks of business success and achievement of company goals. Therefore, a multitude of standards has been developed focusing on quality and not quantity.

According to Kaplan and Norton (2001) one of the methods often used in many pieces of research, although modified in various forms, is the Balanced Scorecard (BSC) method that represents a combination and a kind of balance between quantitative and qualitative business results.

The BSC framework is based on the balance between leading and lagging indicators, which can respectively be thought of as the drivers and outcomes of companies' goals. When used in the Balanced Scorecard framework, these key indicators tell management or owners whether or not they are accomplishing companies' goals and whether or not they find themselves on the right track to accomplish future goals.

A balanced scorecard views an organization from four different perspectives in order to measure its success. Each of these perspectives focuses on a different side of a company, creating a balanced view of an organization.

The perspectives that this method focuses on are: the financial perspective, the customer perspective, the internal business processes perspective and the learning and growth perspective. Balanced Scorecard shows you a way to make strategy actionable. As a framework for action, it can be updated and creates a renewable methodology and framework (Nair, 2004, p. 5).

Numerous authors have dealt with the key elements of the balanced scorecard and their application in small and medium enterprises (Von Bergen & Benco 2004, p. 15-18) pointing out that the Balanced Scorecard model could equally be applied to small and medium-sized businesses as well as to large companies. Robert Kaplan (Biazzo & Garengo, 2012, p. 5) in the Foreword of the book dealing with the implementation of balanced scorecards in small and medium enterprises, points out that it is incorrect to observe that the balanced scorecard can be applied only in large and global companies, emphasizing the need for small and medium-sized enterprises to use this approach for measuring success.

Nair (2004, p. 3) points out that the corporation, both big and small, can fail for several reasons. But the most significant cause of failure is not a lack of strategy, but the incapacity to execute on a balanced strategy. Balanced Scorecard exists to serve this incapacity.

2.3. Small and Medium Enterprises

Small and medium enterprises represent more than 99% of the total number of enterprises and employ almost 70% of the total number of employees. Small and medium enterprises are the main drivers of innovation, employment and social and local integration in Europe. In many of its documents, the European Union has put small and medium enterprises at the top of their priorities, emphasizing the need to help this sector.

SME-s in Bosnia and Herzegovina are even more important given the fact that the economy during the war and afterwards has significantly collapsed. It is expected that small and medium enterprises could and should be the backbone of Bosnia and Herzegovina's development, which could enable faster growth and development.

Bosnia and Herzegovina is a complex state that consists of two entities, the Federation of Bosnia and Herzegovina, the Republic of Srpska and the Brcko District. The definition of SME-s is not fully harmonized and each entity, as well as the Brcko District, has its definition and classification.

Table 1: Classification of Small and Medium Enterprises in Bosnia and Herzegovina

Classification criteria	Federation of BH			Republic of Srpska		District Brcko		
	Small		Medium	Small	Medium	Small	Medium	
	Micro	Small		Micro	Small			
Number of employers	1 - 9	10 - 49	50 - 249	1 - 9	10 - 49	50 - 249	1 - 49	50 - 249
Income in KM (000)	400	4000	30000	10000		50000	2800	11000
Balance Sheet (Assets) in KM (000)	400	4000	40000	10000		43000	1400	5500

Source: Research of the Author in the Laws of Bosnia and Herzegovina

2.4. Setting Hypothesis

The defined problem and the set objectives of the research have determined the hypotheses set for this research. There is one main and four ancillary hypotheses.

H1 – “The correlation between organizational creativity and business performance of small and medium enterprises exists”.

The main hypothesis presumes that organizational creativity, viewed through individual, team and organizational creativity, is correlated with business performance of small and medium enterprises through four perspectives: financial perspective, customer perspective, internal business processes perspective and learning and growth perspective.

The additional hypotheses assume that organizational creativity is correlated with each of the BSC perspectives, separately.

H 1a – A correlation exists between organizational creativity and the business performance of small and medium-sized enterprises from a financial perspective;

H 1b – A correlation exists between organizational creativity and the business performance of small and medium-sized enterprises from a customer perspective;

H 1c – A correlation exists between organizational creativity and the business performance of small and medium-sized enterprises from the internal business processes perspective and

H 1d – A correlation exists between organizational creativity and the business performance of small and medium-sized enterprises from the learning and growth perspective.

3. METHODOLOGY OF RESEARCH

3.1. The scope of the research, methods of collecting and processing data model

The empirical research was conducted in the Federation of Bosnia and Herzegovina, more specifically, in the area of Herzegovina during the months of April and May in the year 2019. For participation in the study, 73 enterprises were called and 32 of them participated (response rate was 43.8%). According to the distribution of the enterprises, based on the size of the enterprise, the sample consisted of 18 (56.2%) small and 14 (43.8%) medium-sized enterprises. The criterion for defining SME-s was one-dimensional. Small businesses are those up to 49 employees and medium ones between 50 and 249 employees.

An originally prepared, a three-part questionnaire was used in the research. The first part of the questionnaire held a set of questions about the characteristics of the enterprise.

The second part referred to the evaluation of the effectiveness of the enterprise using the four dimensions of the Balanced Scorecard (BSC) - Financial perspective, Customer perspective, Internal business perspective, and Learning and Growth perspective. Every dimension had contained four items that were graded from 1 to 5. The meaning of these grades was as follows: 1- a large drop; 2- a small drop; 3- stagnation; 4- a small growth; 5- a large growth.

The third part of the questionnaire focused on the evaluation of the creativity of the enterprise that included individual, team creativity, and organizational creativity in the period from 2015 to 2019. The degree to which the participant agreed with the said statement ranged from 1 to 5 with the following meanings of the grades: 1 – Strongly disagree; 2 – Disagree; 3 – Neither agree nor disagree; 4 – Agree, 5 – Strongly agree (Likert scale of agreement).

The questionnaire was created using the Google forms option and the link to the survey questionnaire was sent to the companies by mail. Responses of the enterprises were recorded in Microsoft Excel. The collected data was encoded and entered into the SPSS database. The data was analysed in SPSS for Windows 20.0. Shapiro-Wilk test was used for normality testing. Variables that did not deviate from the normal distribution are expressed as mean (standard deviation) and as median [interquartile range]. The Pearson's correlation coefficient and the t-test for independent samples (if the variables did not deviate from the normal distribution) and the Spearman's correlation coefficient and Mann-Whitney U test (if the variables deviated

from the normal distribution) were used to evaluate the correlation and test the significance of the differences. The statistical significance limit was set at $p = 0.05$.

3.2. Operationalization of variables

The variable organizational creativity in hypotheses was measured through individual, team and organizational creativity. Individual creativity of employees is measured by setting questions which refer to personal characteristics and work environment characteristics that encourage individual creativity. Team creativity was measured by setting questions which refer to the role of work teams in encouraging creativity. Examinees stated their opinions on questions such as the manner of communication within the team, procedures for team decision making, sharing ideas within team members and the size of the team. Indicators of organizational creativity are organizational methods of encouraging the creation and sharing of ideas, cooperation between certain sections, reward system and similar.

The other variables are the business performance of SMEs viewed from four perspectives that Balanced Scorecard method focuses on: the financial perspective, the customer perspective, the internal business processes perspective and the learning and growth perspective.

The financial perspective of SMEs is measured by the following indicators: income, profit, costs and loss;

The customer perspective of SMEs is measured by: market share, retention of existing customers, retrieving new customers and customer satisfaction.

The internal business processes perspective of SMEs is measured by: introducing innovations to business process, percentage of made errors, finishing production and supplying the product/service to customers in time and after-sales service/customer service.

The learning and growth perspective of SMEs is measured by: investments in training and education of employees, enabling employees to use new technologies, mutual employee collaboration and knowledge sharing and empowerment and consideration of employee suggestions.

4. RESULTS OF RESEARCH AND DISCUSSION

The results of the research on the characteristics of the enterprises involved in the research are presented in the Table 2.

Table 2: Sample Characteristics

		Number of enterprises			
		Whole sample (n=32)	%	Small enterprises (n=18)	Medium-sized enterprises (n=14)
Activity of the enterprise	Agriculture	1	3.1	0	1
	Manufacturing	3	9.4	1	2
	Construction	2	6.2	1	1
	Wholesale and retail	4	12.5	2	2
	Tourism and hospitality	8	25.0	7	1
	Insurance	2	6.2	0	2
	Other	12	37.5	7	5
Date of establishment	Before 1991	7	21.9	3	4
	From 1991 to 1995	7	21.9	2	5
	From 1996 to 2010	8	25.0	6	2
	After 2010	10	31.2	7	3
Number of employees	1-9	7	21.9	7	0
	10-49	11	34.4	11	0

	50-249	9	28.1	0	9
	250+	5	15.6	0	5
Legal form	Limited liability company	20	62.5	14	6
	Joint stock company	7	21.9	1	6
	Other	5	15.6	3	2
Ownership structure	Private property - one owner	11	34.4	9	2
	Private property - multiple owners	15	46.9	6	9
	State ownership	3	9.4	1	2
	Mixed ownership with majority state ownership	2	6.2	1	1
	Mixed ownership with majority private ownership	1	3.1	1	0

Source: Research of the Author

The largest share of the researched companies has 25% tourism and hospitality, followed by Wholesale and retail of 12.5%, and Manufacturing.

The largest number of companies (31.2%) was founded after 2010 and then from 1996 to 2010, 25% of them.

With regard to the number of employees, 56.2% of them are small businesses, those with less than 50 employees, while 43.8% of them are medium-sized companies with between 50 and 250 employees.

Most companies (62.5%) are legally organized as a limited liability company. In private ownership is 81.3% of all researched companies, while 34.4% of companies have one owner and the 46.9% of them has multiple owners.

Means for creativity and effectiveness of a business, according to the BSC perspectives for the whole sample and according to the size of the enterprises are shown in Table 3.

Table 3: Evaluation of the creativity and effectiveness of the enterprise

		Whole sample (n=32)	Small enterprises (n=18)	Medium-sized enterprises (n=14)	p ^a
Creativity	Individual (IC)	3.97 (0.45)	3.92 (0.44)	4.03 (0.48)	0.519
	Team (TC)	3.85 (0.51)	3.85 (0.47)	3.86 (0.57)	0.969
	Organisational (OC)	3.95 (0.60)	3.93 (0.52)	3.97 (0.71)	0.840
Balanced Scorecard (perspective)	Financial (BSC1)	3.83 (0.56)	4.00 [0.81]	3.75 [0.75]	0.728 ^b
	Customer (BSC2)	4.00 [0.69]	3.99 (0.63)	4.07 (0.70)	0.718
	Internal business (BSC3)	3.69 (0.67)	3.71 (0.61)	3.66 (0.76)	0.845
	Learning and growth (BSC4)	3.84 (0.71)	3.75 (0.73)	3.96 (0.69)	0.405

Results are expressed as mean (standard deviation) or median [interquartile range]

^a t test for independent samples; ^b Mann-Whitney U test

Source: Research of the Author

A significant difference in the creativity and effectiveness between small and medium-sized enterprises was not found. Despite that, it is interesting to view the means for the questioned variables.

The means for creativity show insignificant differences between small and medium-sized enterprises. Means for both have been around 4 which, analysed within the context of the researched statements, indicating that within these enterprises it is encouraged to freely express new ideas, team effort is nurtured, problems are approached rationally, individual diversity and open communication between employees is also supported. As far as effectiveness goes, the mean for all four BSC dimensions, the same as with the creativity, are around 4 which indicates an improvement in all four dimensions.

Table 4. shows coefficients of correlation between creativity and effectiveness of the enterprises for the whole sample and according to the size of the enterprises.

Table 4: Correlation between creativity and effectiveness of the enterprises for the whole sample and according to the size of the enterprises

	Perspective	Creativity		
		Individual (IC)	Team (TC)	Organisational (OC)
Whole sample	Financial (BSC1)	0.141	0.294	0.428*
	Customer (BSC2)	0.257 (S)	0.339 (S)	0.429* (S)
	Internal business (BSC3)	0.539**	0.453**	0.503**
	Learning and growth (BSC4)	0.713**	0.458**	0.551**
Small enterprises	Financial (BSC1)	0.306	0.042	0.237
	Customer (BSC2)	0.126	-0.058	0.086
	Internal business (BSC3)	0.414	-0.085	0.032
	Learning and growth (BSC4)	0.663**	0.206	0.404
Medium-sized enterprises	Financial (BSC1)	0.008 (S)	0.474 (S)	0.522 (S)
	Customer (BSC2)	0.618*	0.712**	0.707**
	Internal business (BSC3)	0.676**	0.918**	0.871**
	Learning and growth (BSC4)	0.771**	0.765**	0.725**

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

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

Numbers represent the value of the Pearson's correlation coefficient r, unless otherwise stated (S) – Spearman's rho

Source: Research of the Author

The results of correlation analysis show that there is a significant positive correlation between the scores of organizational creativity and all dimensions of BSC effectiveness. The results obtained for individual and team creativity show that the scores for creativity are in a significantly positive correlation with two dimensions of effectiveness - internal business dimension and learning and growth dimension. In addition, if the analysis is conducted on the basis of a common grade of creativity and a common grade of efficiency, it is found there is a significant, positive correlation between these two variables (Pearson's correlation coefficient $r = 0.612$; $p < 0.05$).

In the subgroup of small enterprises, a significant positive correlation was found between individual creativity and learning and growth dimension.

In the subgroup of medium-sized enterprises, a significant positive correlation was found between all three aspects of creativity (individual, team and organizational) and three dimensions of the BSC: customer dimension, internal business dimension and learning and growth dimension.

Analysis based on a common grade of creativity and a common grade of efficiency in the subgroup of small enterprises did not show significant correlation statistically (Pearson's correlation coefficient $r = 0.285$; $p = 0.252$), while in the subgroup of medium-sized enterprises the correlation was positive and significant (Pearson's correlation coefficient $r = 0.916$; $p < 0.05$).

In accordance with the results obtained in this research, it can be stated that the hypothesis H 1 set in this research has been fully confirmed - The correlation between organizational creativity and business performance of small and medium enterprises exists.

It can also be stated that each of the four additional hypotheses were confirmed and, in accordance with the obtained results of the research, it was confirmed that a correlation between organizational creativity and business performance of small and medium enterprises existed, viewed from the four perspectives of the Balanced Scorecard (BSC) - Financial perspective, Customer perspective, Internal business perspective, and Learning and Growth perspective.

5. CONCLUSION

Human resources represent the most important resource of every organization. Human resources are the total knowledge, skills, capability, creativity, motivation and loyalty one organization has at its disposal.

Not only in practice but also in theory, creativity is recognized as one of the most important dimensions of human resources, having a significant influence on achieving goals and organizational competitiveness.

Creativity represents the ability to view situations, objects and phenomena from a new standpoint and to find new, original solutions or just the capability to see things in a new way. It is very important nowadays when innovation and change play a crucial role in entrepreneurial process.

Creativity is viewed and analysed on three levels: individual, team and organizational level. Creativity is especially significant to small and medium enterprises which represent the backbone of every economy and the source innovation and competitiveness of national economies; therefore, the support to small and medium enterprises because of their role and the importance is set in top priorities in the European Union as well as in many other countries. Small and medium enterprises dispose of limited resources and factors which can distinguish them on the global market and make them competitive are some creative and innovative employees.

Because the results of researches conducted so far, as well as the results of this research have shown that a significant positive correlation existed between organizational creativity and business performance of small and medium enterprises, it would be necessary for small and medium enterprises to encourage and develop creativity in organizations. Organizations should create organizational climate and build organizational culture which will be encouraging for any individual, team and organizational creativity.

Organizations need to create environment where employees are free to create, innovate, experiment and take limited and reasonable risk.

If employees work under pressure and stress and if they are sanctioned for their mistakes and failure, they will work according to a set pattern and the creativity and innovation will fail.

Considering the limits of the research, the results obtained must be taken with a reserve and can't be the basis for making general conclusions. They may serve as starting points for some further research.

Extent of the sample and the method of creating the research sample represent the limits in the research.

In the research were also used some qualitative data that enable subjectivity because a subjective evaluation of state as well as of impacts has been conducted.

A recommendation for any future research is to enlarge the sample and when choosing enterprises which will be surveyed, more attention should be drawn to the structure of small and medium enterprises, considering the size, ownership, business activity and well as their territorial dispersion.

Furthermore, for some future research beside the qualitative data, certain quantitative data need to be used, and the research should be repeated in a certain period of time in order to see the changes and make a comparison.

REFERENCES

1. Amabile, T. M., Conti, R., Coon, H., Lazenby, J. & Herron, M. (1996). Assessing the Work Environment for Creativity. *Academy of Management Journal*, 39 (5), 1154-1184
2. Andari, R., Bakshi, H., Hutton, W., O'Keefe, A. & Schneider, P. (2007). *Staying ahead? The economic contribution of the creative industries*. London: Department for Culture, Media and Sport.
3. Andriopoulos, C. (2001). Determinants of organisational creativity: a literature review. *Management Decision*, 39, 834-840.
4. Bahtijarević-Šiber, F. (1999). *Management ljudskih potencijala*. Zagreb: Golden marketing.
5. Besemer, S. P. & O'Quin, K. (1999). Confirming the three-factor creative product analysis matrix model in an American sample. *Creativity Research Journal*, 12 (4), 287-296.
6. Biazzo, S. & Garengo, P. (2012). *Performance Measurement with the Balanced Scorecard - A Practical Approach to Implementation within SMEs*. Heidelberg, Dordrecht, London, New York: Springer.
7. Chen, G., Mathieu, J. E. & Bliese, P. D. (2005). A framework for conducting multi-level construct validation. *Multi-level issues in organizational behavior and processes*, 3, 273-303.
8. Christiaans, H. H. C. M. (2002). Creativity as a design criterion. *Communication Research Journal*, 14 (1), 41-54.
9. Claxton, G. L. (1997). *Have brain, tortoise mind: Why intelligence increases when you think less*. London, UK: Fourth Estate.
10. Cooke, P. & De Propriis L. (2011). A Policy Agenda for EU Smart Growth: The role of the Creative and Cultural Industries. *Policy Studies*, 32 (4), 365 - 375.
11. Cummings, L. (1965). Organizational Climates for Creativity. *The Academy of Management Journal*, 8 (3), 220-227.
12. Drucker, P. (2005). *Najvažnije o menadžmentu*. Zagreb: MEP Consult.
13. Eardley, A. & Uden, L. (2010). *Innovative Knowledge Management - Concepts for Organizational Creativity and Collaborative Design*. IGI Global
14. Eisenberg, E. M., Goodall, H. L. & Trethewey, A. (2009). *Organizational Communication-Balancing Creativity and Constraint*. 6th edition. Boston, USA: Bedford/St. Martin's.
15. Ghiselin, B. (1963). Ultimate criteria for two levels of creativity. In C. W. Taylor & F. Barron (Eds.), *Scientific creativity: Its recognition and development* (pp. 30-43). New York, NY: Wiley.
16. Gilson, L. L., Mathieu, J. E., Shalley, C. E. & Ruddy, T. M. (2005). Creativity and standardization: Complementary or conflicting drivers of team effectiveness?. *Academy of Management Journal*, 48 (3), 521-531.
17. Guira, A. & Vasile, M. (2017). Organizational Entropy and Creative Potential. *Quality – Access to Success*, 18 (157), 113-118
18. Gough, H. G. (1979). A creative personality scale for the Adjective Check List. *Journal of Personality and Social Psychology*, 37 (8), 1398-1405.
19. Gu, H., Duverger, P. & Yu, L. (2017). Can innovative behavior be led by management? A study from the lodging business. *Tourism Management*, 63, 144-157, DOI:10.1016/j.tourman.2017.06.010
20. Gumusluoglu, L. & Ilsev, A. (2009). Transformational leadership and organizational innovation: The roles of internal and external support for innovation. *Journal of Product Innovation Management*, 26(3), 264-277.
21. Horng, J. S., Tsai, C. Y., Liu, C. H. & Chung, D. Y. C. (2015). Measuring employee's creativity: A new theoretical model and empirical study for tourism industry. *Asia Pacific Journal of Tourism Research*, 20 (12), 1353-1373
22. Hoßbach, C. (2019). *Organizational climate for creativity- Exploring the influence of distinct types of individual differences*. Halle, Germany: Springer Fachmedien Wiesbaden-Springer Gabler.

23. Huggins, R. & Clifton, N. (2011). Competitiveness, creativity and place-based development. *Environment and Planning A*, 43(6), 1341-1362.
24. Kaplan, R. S. & Norton, D. P. (2001). *The Strategy focused organization – how balanced scorecard companies thrive in the new business environment*. Boston, MA: Harvard Business School Press.
25. Livingstone, L. P., Nelson, D. L. & Barr, S. H. (1997). Person-environment fit and creativity: An examination of supply-value and demand-value ability versions of fit. *Journal of Management*, 23 (2), 119–146.
26. Madžar, D. (2018). *Organizacijska kreativnost i konkurentska prednost poduzeća u turizmu i ugostiteljstvu (Doktorska disertacija)*. Sveučilište u Rijeci - Fakultet za menadžment u turizmu i ugostiteljstvu Opatija.
27. Mumford, M. D. (2000). Managing creative people: Strategies and tactics for innovation, *Human Resources Management Review*, 10 (3), 313.-351
28. Mumford, M. D. (Ed.), (2011). *Handbook of Organizational Creativity*. USA: Academic Press - Elsevier Inc.
29. Mumford, M. D. & Gustafson, S. B. (1988). Creativity syndrome: Integration, application, and innovation. *Psychological Bulletin*, 103 (1), 27–43.
30. Nair, M. (2004). *Essentials of Balanced Scorecard (Vol. 31)*. New Jersey, USA: John Wiley and Sons.
31. Scott, S. G. & Bruce, R. A. (1994). Determinates of innovative behavior: A path model of individual innovation in the workplace. *Academy of Management Journal*, 37 (3), 580.-607.
32. Shalley, C. E., Gilson, L. L. & Blum, T. C. (2000). Matching creativity requirements and the work environment: Effects on satisfaction and intent to turnover. *Academy of Management Journal*, 43 (2), 215–223.
33. Shalley, C. E. & Gilson, L. L. (2004). What leaders need to know: A review of social and contextual factors that can foster or hinder creativity. *The Leadership Quarterly*, 15(1), 33-53.
34. Stein, E. W. (2014). *Fostering Creativity in Self and the Organization - Your Professional Edge*. New York, USA: Business Expert Press.
35. Tierney, P. & Farmer, S. M. (2002). Creative self-efficacy: Its potential antecedents and relationship to creative performance. *Academy of Management Journal*, 45(6), 1137–1148.
36. Vicari, S. (2013). *La creatività dell'impresa: Tra cas e necessita (Creativity: A case of necessity)*. Milano, Italy: Etas Libri.
37. Von Bergen, C. W. & Benco, C. D. (2004). *A balanced scorecard for small business*. In Proceedings of the United States Association for Small Business and Entrepreneurship Conference (pp. 15-18).
38. Zhou, J. (1998). Feedback valence, feedback style, task autonomy, and achievement orientation: Interactive effects on creative performance. *Journal of Applied Psychology*, 83 (2), 261–276.
39. Zhou, J. & Shalley, C. E. (2007). *Handbook of Organizational Creativity*. New York, USA: Lawrence Erlbaum Associates - Taylor & Francis Group.
40. Zhu, Z., Bilton, C. & Cummings, S. (2014). Creative management in practice: bisociation with „timely balance“.In: C. Bilton & S. Cummings (Eds.) *Handbook of management and creativity. Cheltenham (pp. 369-385)*. Edward Elgard Publishing,
41. West, M. A. & Anderson, N. (1996). Innovation in top management teams. *Journal of Applied Psychology*, 81 (6), 680–693.

Novel regional integrated ICT platform for Agriculture based on open standards

Ivo PAUNOVSKI¹

Dimitar KOVACHEVSKI²

¹MBA graduate, School of Business Economics and Management, University American College Skopje, Macedonia, ivo.paunovski@uacs.edu.mk, Orcid: 0000-0003-1303-3883

²Associate Professor, PhD, School of Business Economics and Management, University American College Skopje, Macedonia, dimitar.kovachevski@uacs.edu.mk

Abstract: The agricultural industry is very important part of each economy, but agriculture also plays an important role in the effort to preserve the natural environment. Over the next decade, global demand for agricultural products is expected to increase, although it will grow at a slower rate. Increased productivity on less land with less water is becoming a priority. Agricultural productivity varies in different regions. Introduction of digital technology in agriculture is a precondition for increased productivity, but in order to facilitate further development, it is necessary to build an integrated agricultural platform. There were several efforts especially within the EU to create such a platform mainly based on open standards. The aim of this paper is to introduce an alternative reference model of regional agricultural platform (semi-open agricultural platform). Semi-open agricultural platform means that some of the software components should be delivered as commercial software from partner companies, while other platform components should be delivered as open source. Developing a basic architecture framework of Semi-open agricultural platform with associated business model of collaboration was the first objective of this paper. Second objective was related to platform promotion strategy and platform viability, sustainability and benefits.

Keywords: Integrated platform, Cloud, IoT, Agriculture, Partnerships

1. Introduction

The agricultural industry is very important part of each economy, but agriculture also plays an important role in the effort to preserve the natural environment. Over the next decade, global demand for agricultural products is expected to increase, although it will grow at a slower rate. Population growth is considered the first major driver of consumer growth (OECD / FAO, 2016). Increased productivity on less land with less water is becoming a priority. Agricultural productivity varies in different regions. North American countries produce 65 times more agricultural products per farmer than countries in sub-Saharan Africa (Ethiopia, Malawi, Madagascar, Zambia, Tanzania, Uganda, Ghana, Botswana and Nigeria) (World Bank, 2018). In the last 20 years, a number of scientists have conducted researches in an attempt to identify the reasons for the difference in agricultural productivity between countries around the world.

According to Fuentes JR and Mies V. (2012), adoption of technology is a key tool for improving agricultural productivity. Mahmud and Ahsan (2016) found that the use of new technology in Taiwan resulted in higher profitability of manufacturers due to the possibility of reducing the influence of intermediaries. The Halewood and Surya (2012) study shows that using technology has facilitated access to markets information, resulting in a 36 (thirty-six) percentage increase in agricultural income in countries such as Kenya, Ghana, Uganda and Morocco. The study by Teye et al (2012) emphasizes that the introduction of new technologies in agriculture is crucial for increased productivity, however, the adoption of technology is closely linked to local challenges. In Eastern and Southern Europe, the costs and demographic issues have been identified as key inhibitors for the introduction of new technologies, while in more advanced economies, where agriculture as industry is highly developed, standardization of new technologies and data integration were recognized as key inhibitors for further development.

According to research by Sørensen et al (2010), the lack of integration and standardization leads to inefficient business processes and reduces the possibility of rapid and simple integration of new technology and services. Nikkilä, Seilonen & Koskinen (2010) also recognized that data integration and standardization is of particular importance for the further development of agriculture as they encourage and enable the efficient exchange of information.

In order to better align the processes in the European agribusiness, the EU has funded a number of projects such as SmartAgriFood, ICTAGRI (www.ict-agri.eu), agriXchange (www.agriXchange.eu) and FutureFarm.

All these projects, each from their own aspect, gave a certain overview of the future agricultural platform. The success of the envisaged models were based on the future commitment of the consortium partners in the projects that generally came from the academic field in the form of research centers and faculties. However, it

seems that EU most ambitious project in this domain was the promotion of the FIWARE platform. Namely in 2014, the EU and the consortium of multinational companies promoted the FIWARE, an open standards platform for developing projects in various verticals such as smart city projects, smart agriculture, etc. The initial budget for the project was around 80 (eighty) million euros. FIWARE project has been criticized from the outset as a waste of money. This was partly because FIWARE was built as bulky and inflexible platform with some design flaws and lack of updated documentation, but maybe even more important, because this project did not had a clear vision how to motivate software companies to start using the platform for developing purposes, nor did it define an appropriate way in which they can monetize (Salhofer, 2018).

In order to have a comprehensive overview about agricultural productivity, it is also necessary to make a summary of digital technologies (generic technological building blocks) used in agriculture. In accordance with the literature review, often mentioned technologies in agriculture are technologies based on sensor networks (Bastiaanssen et al., 2000), then Cloud Computing (Hashem et al., 2015) and Internet of Things (IoT) (Weber and Weber, 2010). All of these technologies are the foundation of so-called "smart agriculture" (Tyagi, 2016; Babinet Gilles et al., 2015).

In accordance with research made by Charvat K. (2012), the new future services in agriculture should be developed based on following technologies:

- Internet of Things (IoT);
- Cloud computing;
- Spatial Data and Geographic Information Systems;
- Development based on an open platform

Digital technologies in agriculture generate a large amount of data, leading to investment in infrastructure for data storage and processing (Nandyala and Kim, 2016; Hashem et al., 2015). Even though Big Data seem to become very popular and useful technology in different vertical markets, it started to be applied in agriculture as of late (Lokers et al., 2016), when stakeholders have started to see its prospective benefits (Bunge, 2014; Sonka, 2016).

From the foregoing it can be concluded that introduction of digital technology in agriculture is a precondition for increased productivity, but in order to facilitate further development, it is necessary to build an integrated agricultural platform. There were several efforts especially within the EU to create such a platform, but it appear that most of them are not being much used in Eastern and Southern Europe.

It seems that the creation of a regional integrated platform for agriculture focused on end users instead of developers is a more appropriate approach. In this article, an alternative reference model of such a platform (semi-open agricultural platform) will be introduced.

2. Result and Discussion

2.1. Basic requirements of Semi-open agricultural platform

Most of the EU funded projects related to development of integrated platform were leveraging the benefits from open source development such as lower initial cost, flexibility and openness. However, there are several disadvantages associated with open source development like long-term cost, lack of extensive technical support and security.

The idea behind the new proposed alternative reference model is to grasp the best of the two worlds (proprietary and open source platform). Semi-open agricultural platform means that some of the software components should be delivered as commercial software from partner companies (products like ERP application, mobile applications, etc.), while other platform components (core integration engine and platform adapters needed to connect the platform to OSS / BSS systems) should be delivered as open source.

The decision for open source license should be based on the following factors:

- Is it possible to make changes to a given component with another one without the source code rebuilding and deployment?
- Does changing a given components mean changing the functionality of the services (e.g. Cloud service, sensor service, application services) that users receive from the platform?

There are several types of architecture used in designing software applications. Among the most commonly used architectures are the Monolithic Type of Software Solution, the Microservices and SOA (Service Oriented Architecture).

Each of these approaches has its advantages and disadvantages, and the elected approach depends on what needs to be obtained as a result. Microservices are better suited for smaller and better-partitioned WEB based systems in which micro services provide the developer a greater control over the application. Service Oriented Architecture is better adapted for large and complex environments of business applications that require integration of many heterogeneous applications.

Bearing in mind that the proposed semi open designed of agricultural platform is based on set of commercial services and open API interfaces, the most appropriate approach is the use of Service Oriented Architecture, because this architecture allows different heterogeneous applications to work together through different languages and platforms. The Service Oriented Architecture is based on the principle of loose-coupled applications interconnected through the API interface in order to simplify the implementation and maintenance of the platform. Loose-coupled elements will reduce the platform provider dependences from individual components (modules) that are part of the overall design of the platform. As the name implies, services are the basic building blocks in Service Oriented Architecture and they can be combined in order to create composite services.

The first step in creating a semi-open agricultural platform is based on defining a package of non-functional and functional requirements.

Non-Functional Requirements

Non-functional requirements include various aspects of agricultural platform such as: Scalability, Performance, Compatibility and portability, Configuration and modularity, Internationalization, Flexibility, Integration, Security, Open standard and Databases. The brief overview of the non-functional requirements of the agricultural platform is given below:

- **Scalability:** Ability for horizontal scaling (adding new servers for handling of increasing number of users). In order to meet this criterion, the platform from a technical point of view should be based on Cloud technology.

In terms of infrastructure, Cloud infrastructure owned by the vendor or Cloud infrastructure from one of the public Cloud providers such as Amazon (Amazon SNS -Simple Notification Services and Amazon AWS) or Microsoft (Azure Messaging Service and Azure platform) could be used;

- **Performance:** Response time of maximum 20 seconds when Internet speeds are less than 400 kb/s. The performance of the platform at low internet speeds is of particular importance given that the lack of broad band internet in rural areas is probably a challenge for all European countries;
- **Compatibility and portability :**
 - Mobile applications must be supported by smartphones with iOS and Android operating system;
 - The administrative portal should be supported by almost all major search engines such as Safari, Chrome and Microsoft Edge;
- **Configuration and modularity:**
 - The platform should have ability to switch on/off a particular module (application) For example 2 (two) modules could be available for one country, while 3 (three) modules could be available for another country;
 - Rebranding per country (logo, color, font) should be enabled;
- **Internationalization (platform services for multiple countries) :**
 - The platform should be able to take into account the specific requirements of users from different markets: style, idea, culture, etc.
 - The platform should support internationalization: languages, text direction, dates, etc.
- **Flexibility:** The architecture of the platform should support integration of multiple data sources that can be configured differently for different countries. This section is of particular importance for end users in the domain of information and notifications delivery;
- **Integration:** An API should be provided for third-party software companies that would like in the future to integrate their product into the agricultural platform;
- **Security:** The security should be ensured on several levels. The first level is the level of network security (ex. firewall, antimalware, antispam security etc.). The second level of protection is based on creating backups that are stored in accordance with the provider's data storage policy or is based on specific application requirements. The connection between the server infrastructure and data storage

devices should be encrypted with AES technology and AES and SSL security protocols. The data stored on the data storage devices should also be encrypted.

The third level is role/permission based security. System should also enforce password policy and/or complexity such as minimum length, numbers, and alphabet requirements and upper and lower case constraint. User authentication should be controlled only by user account and password in order to reduce the complexity (no certificates, biometric etc.)

- Open standard: With the exception of commercial applications, other segments of the agricultural platform should be based on one of the following open standards: EUPL (European Union Public License), GNU, General Public License, or Apache License.
- Database: There should be three types of database: Personal database, OLTP (Online Transaction Processing System) and OLAP (Online Analytical Processing System) database
 - The personal database is a separate database that stores the end users personal data. In accordance with local laws, this database may need to be stored in different location compared to OLTP and OLAP databases. MySQL can be used for storing end users personal data.
 - The main function of OLTP is to store, update, change and delete transaction data. The OLTP database is updated frequently, with each transaction from sensor equipment or from ERP. The OLTP system is a major source of data for the OLAP database. Communication between OLTP and OLAP databases is via the ETL tool (extract, transform, load). ETL combines three database functions into one tool to pull data out of one database and place it into another database. As OLTP database, PostgreSQL or MS SQL can be used.
 - OLAP is an online analytical data processing system. Based on predefined tools in the OLAP database, complex analyzes can be performed that will enable the user to get a more dimensional view of the data. OLAP enables a process of generating a needed information on demand from a large database to facilitate the analysis and decision making process. MS Analysis Service can be used in this domain.

Functional Requirements

Functional requirements include features that are closely linked with the business value of the platform itself. There are functional requirements that are generic and service-independent and functional requirements that are closely related with the services that will be provided by the agricultural platform.

In the first group we may include:

- Admin portal: Admin portal should have several functionalities like User management, News moderation and editing, Knowledge base management, Taxonomy management and ability to add new content providers (RSS);
- Users profiles: Platform should enable different users profile such as:
 - Admin: The responsible person is a vendor's employee. This is a super user who administrates the system and its users and provides the supervision on its functionality;
 - Content manager: The responsible person is a vendor's employee who uses the system for moderating the news and managing content in knowledge base;
 - Farmer: A person who has family/small farm and uses the system to learn about agricultural business, receive news and updates in agriculture;
 - Guest user: A user that uses the system for basic functionality and other free features without registration in the system;
 - Acceleration partner (optional): A person who is hired or contracted by the vendor for engaging farmers;
 - Consultant / Expert: A person who is hired or contracted by the vendor for providing consulting services to farmers.
- Identification and registration flow. For authentication purposes, platform should expose exactly the same API as the current vendor IDM (ID Management). Admin Portal will allow managing user roles and permissions. There should be ability to use application as Guest. Limited set of features will be available for guest. User should be prompted to register in order to use features requiring authentication.

In the group of functional requirements that are closely related with the services that will be provided by the agricultural platform we may include :

- Agricultural ERP system enhanced with decision support system based on Big Data analysis;
- IoT services;
- GIS;
- Marketplace;
- Consulting services;
- Knowledge base;
- Information's;
- Notifications;
- Internationalization;
- WEB and Mobile Application.

These features will be further detailed in the text, within the description of the Service Oriented Architecture.

2.2. Service Oriented Architecture of the agricultural platform

Draft version of agricultural platform Service Oriented Architecture consist of 5 (five) levels namely Object oriented level, Component level, Service level, Process and Presentation level. All levels of the digital platform are interlinked with different types of services like API, REST, TCP / IP and HTTPS .

- API represent a set of functions and procedures that allow one application to access certain functionality of another application;
- REST is a web-based API that uses URL and HTTP protocol. The reason for using the REST API is because of its simplicity, lower security requirements and compatibility with WEB search engines;
- TCP / IP is a set of standardized rules that allow computers to communicate on a computer network such as the Internet;
- HTTPS is an extension of HTTP that provides encrypted communication protocol.

Level 1 - Object-based level

The first level is an object-based level, where all commercial applications are located. Other user applications that would be developed as an open source applications and databases that contain business functionality are also deployed on this level. In accordance with Service Oriented Architecture, the design of the object-based level is modular and the communication between the modules would take place in accordance with the pre-defined protocols. This approach will enable easier and faster integration of different commercial applications, but will also eliminate the dependence that would eventually arise from commercial software vendors that were initially selected. All "objects" at this level can be used to build complex services. This level should make all functionalities available for other levels. API calls should also be used for communication purposes with the Admin API Gateway and respective clients on the next level (components level)

Several different modules such as My Farm Module, Knowledge Base Module, Finance Module, Information Module as well as Marketplace Module should be integral part of this level. With the exception of My Farm module, all other elements should be open based.

- My Farm should include an agricultural ERP enhanced with decision support system and IoT sensor integration platform.

Agricultural ERP systems should include all modules that are present in small and medium-sized enterprise ERP systems (cash, orders for sales and purchases, e-business and online stores, invoicing, inventory management and storage, human resources, salaries, customs, fixed assets, services and other), but should also include different modules for different lines of agricultural activity such as module for bees, goats / sheep, poultry, pigs, horses, cattle , then module for cereals, nutrition, vegetable and forest. Agricultural ERP should contain tools for business intelligence (Big Data analytics). By using the parameters and information that come from different sources, these tools should be able to provide recommendations for improving the agricultural process.

The IoT Sensor Integration Platform should be responsible for collecting and editing IoT sensor data. The platform should contain various software libraries (SDKs) that will enable integration of any device over

the Internet. Additionally, the platform should be capable to do a management of any certified sensor equipment. Management includes provision of sensor information, connection monitoring, configuration management, sensor software management, office statistics charts, sensor restart commands, etc.

- A knowledge-based module should contain information on the best practices for growing different crops, based on which the farmer can make quality and timely decisions. Content manager within the admin portal should create the content manually. This section would also contain a segment on frequently asked questions as well as a segment of consulting services through which farmers could connect directly with consultants. Integration of Moodle platform might be the one of the most appropriate solutions here;
- Finance module need to be connected to external sources in order to be able to provide information related to exchange rates, loans and insurance terms and conditions. This module should provide online payments;
- Information module needs to be connected to an external provider of content. Within this module, the latest information about agriculture should be obtained (ex. prices of agricultural products on local markets). This module should include the ability to receive information from multiple different sources. The information should be approved and rebranded by the content manager within the Admin portal. Each rebranded content should be accompanied with information about the data source;
- Marketplace module should be proprietary software that offers the possibility of buying and selling.

Level 2 - Component level

Second level is the level of components where the elements that are responsible for the realization of the functionality of the services are located.

Level 3 - Services level

The intermediate level is the level of services, where all services that perform business functions, are located. The level of services connects the lower layers (object-based level and component level) with higher-level levels (process level and presentation level). This level should include the following individual services:

- Agricultural ERP;
- Various sensor equipment services such as weather station, pest monitoring system, livestock farming sensor network etc;
- Marketplace services;
- Separate services per state for Prices, Marketplace and Information
- Push server service intended for sending notifications and recommendations based on weather changes;
- Digital engagement platform services. This platform enables optimization of every contact that users make with the company, starting from the pre-sale process, sales to customer care, in order to increase the level of customer satisfaction;
- Consulting services. The farmer can submit questions with photo, description and select category of request from predefined list. Experts in each category will have access to the questions in their category. Expert will receive mail notification for each new question in the respective category. Each expert may have access to multiple categories assigned by admin. Expert can view the list of questions (statuses: open/closed) and provide answer via Admin portal. Farmer should receive notification about each answer from expert and he may close the request and rate the expert (stars from 1 to 5). Admin will be able to view basic report per Expert (statistics of asked/answered questions, rating) via Admin Portal.

The list of these services should be identical to the list of functional requirements associated with the services that a previously reviewed.

Level 4 - Process level

The next level is the level of processes. At this level, through service orchestration, services should be combined in order to create a single application. With a combination of services a composite services are created. Composite services bring additional benefits to farmers such as:

- Composite service that include Pest monitoring system, weather forecasts and agricultural ERP should provide information that will allow farmers to spray when and where is needed. On the other hand

farmers wants to limit spraying as much as possible because of costs and consumer awareness of healthy food;

- With the integration of agricultural ERP with precision livestock farming sensor network, the farmer can allocate costs and revenues down to specific animal.

Level 5 - Presentation level

The highest level is the presentation level and this is the agricultural platform access point for end user. This level should allow creation or translation of user requests and display of the received information. An access point can be a WEB application or a mobile application available for Android and iOS. Proposed technical stack that can be used for User interface is: JS, HTML5, Angular2, TwitterBootstrap and Node.js.

2.3. Platform business model

The concept of Semi-open agricultural platform is based on partnerships as an alternative model for developing new competences in comparison with internal growth or merger and acquisitions processes. In order to reduce the time to market and to create a win-win partnership, the provider of agricultural platform should define a procedure for selecting and engaging two type of partners:

- Partners with specific solutions that are technically capable to be integrated within the semi-open based agricultural platform;
- Indirect sales partners.

Based on best practice, several type of partnership models can be used for partner's engagement. These partnership models can vary from Basic or Advanced partnership model for partners involved in development of a new solution or Platinum, Gold, Silver partnership model for Indirect sales partners. Having said that, these partnership models should include different benefits and different revenue quota on annual level.

The cost structure for creating a semi-open agricultural platform should be based on a capital or investment (CapEx) type of cost. The cost structure associated with partnerships should be based on a variable type of operating (OpEx) cost. For different types of partnerships, different types of business model needs to be developed. For partnerships related to the creation of new services, the revenue sharing model should be applicable. For indirect sales, it is recommended to use a sales commission.

2.4. Payment and Service activation procedure

The majority of applications, at least initially, should be partner applications. Therefore, user registration, activation and service collection information must be registered not only in the agricultural platform provider OSS and BSS system but also in the partner OSS and BSS system. Agricultural platform services should be available through WEB application for fixed users and mobile application for mobile users. The WEB application is a user portal for purchasing, using, managing and canceling services. Mobile application should be free of charge. This means that downloading the app from GooglePlay or the Apple Store should be free of charge, and the login user should use the same credential as for the WEB application.

End user identification is the first step in buying services. This process should be completed thru provider web portal. After the user registration, process for buying or canceling the services should be done electronically via WEB portal through the payment and services activation/deactivation processes. In the following part of this paper, we will look at both of these processes separately:

- Payment process (illustrated in Figure 1 - marked in green color).

The WEB portal should have a catalog of services where the user can choose services of interest. Within the catalog of services, in addition to the description of the services, there should be also information about the price of the service and the method of payment. By selecting the service of interest, the user selects a functionality that he wants to use. After accepting the terms of use of the service and after the credit card payment, the WEB portal through the platform adapters sends information to platform provider BSS system and at the same time sends information to the partner company BSS system. The information should include data about who is the user, what kind of licenses are ordered, for what period of time and the payment method. The information sent to the provider BSS and partner BSS will differ in the monetary amount given that the partner company should have information about its own part of the revenue share.

The proposed revenue-sharing model between the platform provider and the service vendor is 50 (fifty) percent : 50 (fifty) percent from the profit. Namely, if the retail price of the service that the customer

bought is 100 (one hundred) euros per month and if the cost of creating and maintaining the platform is 30 (thirty) percent of the price of any service, then the provider of the agricultural platform and the service vendor share 35 (thirty-five) euros each. The 100 (one hundred) euros revenue together with the accompanying information about the user and the service is recorded as information in the platform provider BSS system, while in the vendor BSS system, the information about 35 (thirty-five) euros revenue is recorded together with the same accompanying information about the user and the service.

- Service activation process (illustrated in Figure 1 - marked in grey color)

After completing the service purchasing process, the service activation process begins. The partner company activates licenses in its BSS system and sends information about the activated license to the provider's agricultural platform through the API. On the other hand, the provider BSS system sends information to the agricultural platform about the retail price of the service. The agricultural platform transmits this two pieces of information via the API call to the WEB portal, which further down transmits this information to the end user.

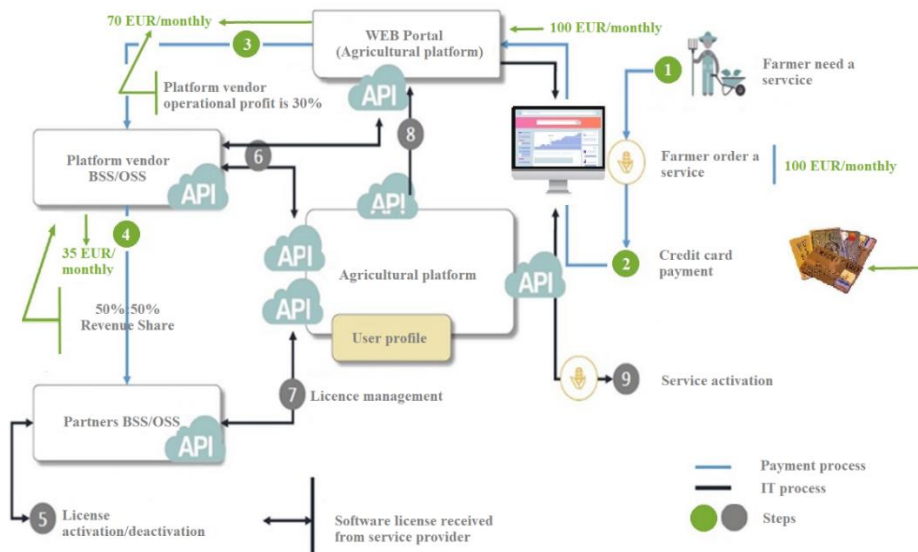


Figure 1. A simplified model of the activation and payment process

The service cancellation and payment termination process is identical to the service purchasing/ activation process defined above. The difference is only in the initial part. User instead of accessing the catalog section of all available services, he accesses the section where he has insight into the company active services. In addition to each service from the list of active services, there should be a "deactivate" button, which initiate the process for service deactivation and payment termination.

2.5. Promotion of the agricultural platform

Promotion of the semi-open agricultural platform and related services should be conducted in two phases. The first phase of service promotion should take place during the agricultural platform development period and integration of the first partner applications. The promotion should take place into two directions. The first direction is aimed at investing in "pilot projects" with prominent agricultural enterprises, and the second is aimed at hiring consultants who would organize workshops for the end users of the pilot projects.

The goal of these workshops is to provide farmers with better understanding how to use the software and other equipment available for the pilot project. As part of the pilot project, each selected agricultural farm should receive a package of services enriched with IoT sensor equipment, free of charge in 6 months period. The selection of farms should be random, but in close cooperation with some farmers association, due to greater popularization and support of the promotion process. Farmer association employees could be used as consultants. Although consultants should have basic technical knowledge, they should initially need to attend to appropriate training organized by partners who have developed the appropriate services. Transfer of knowledge should be completed with the process of consultant certification. Upon completion of this process, consultants should be able to perform functional counseling services during the pilot projects. Functional counseling means at least the following: motivating why to use a certain functionality, explaining the benefits of that functionality, assisting in the interpretation and understanding of various data arising from the services

and holding regular meetings and discussions. Through this working principle, feedback from the pilot projects should be provided. These feedbacks should be used in the process of development and upgrading of an agricultural platform.

The second phase of the promotion should start after the completion of the pilot projects. This is a phase in which marketing activities should help in promotion and sale of services.

2.6. Platform viability and sustainability

The proposed concept of an agricultural platform has regional/EU and national wide character. From a technical point of view, this platform is an open standard platform that empowers every ICT or consulting company to offer their products/services on the platform. On other hand due to services localization and adaptation to local legislation, the platform has a national character (platform will be intended for users in a particular country).

As previously described, some software components of the platform and the core integration engine will be open source, but the rest of the platform including all the products will be proprietary. Reputable regional companies that have a solid base of satisfied customers should be elected as partner companies that are going to deliver the commercial applications. Not only will these companies help in building the platform, but they it will also help in platform promotion and monetization. Partner companies will have a dedicated support team and should allocate a development team for future development of the platform.

2.7. Platform benefits

Introducing a semi-open agricultural platform is an alternative method of implementing a regional integrated agricultural platform. This approach differs from the cumbersome EU projects that are generally entirely based on an open platform. EU projects are focused on building a platform for development companies, while in this use case scenario, semi-open agricultural platform is focusing on end users. The semi-open agricultural platform benefits can generally be expressed within the following 6 (six) areas:

- The ability to automatically collect data directly from the field (sensor network) should improve the fields monitoring and can provide new capabilities to predict and act;
- Decision support system could provide a recommendations for improving the agricultural process;
- The close contact with consultants and use of early warning systems can provide timely response to a large number of hazards;
- Marketplace services will give greater insight into the primary and final products prices. In addition, the Marketplace could provide Web Store integration that will enable the sale of products on the open market;
- Openness and standardization will enable rapid integration of new ICT elements (applications, services, monitoring systems) on the platform without a possibility for vendor locking;
- Partners that are going to provide the proprietary software will ensure premium support and further service development.

Given that the introduction of the semi-open agricultural platform is a proposed concept that has not yet been implemented, a direct empirical measurement of the benefits of creating a semi-open agricultural platform is not feasible. However, based on macro-level surveys, 25 (twenty-five) percent and up to 35 (thirty-five) percent increase of productivity is expected, while the farm profit in the first years will remain the same due to the introduction of new costs for services. After the initial period of 2 (two) years, in addition to productivity gains, agricultural profitability is expected to rise.

3. Conclusion

The agricultural industry is vital part of each economy, but it also plays a crucial role in an attempt to protect the natural environment. Similar to GDP per capita, agricultural productivity varies in different regions. It is well documented that introduction of digital technology in agriculture is a precondition for increased productivity, but in order to facilitate further development, it is necessary to build an integrated agricultural platform. There were several efforts especially within the EU to create such a platform mainly based on open standards, but it appear that most of them are not being much used in Eastern and Southern Europe. In this article, an alternative reference model of regional agricultural platform (semi-open agricultural platform) is introduced in order to leverage the best of two words (proprietary and open source approach).

A semi-open platform means that part of the software components will be delivered as commercial software by partner companies, while the rest of the component will be delivered as open source software. The openness of the platform is intended to ensure the seamless integration of any new product or service, so that farmers will not be limited to the choice of one vendor equipment.

Bearing in mind that the proposed semi open designed of agricultural platform is based on set of commercial services and open API interfaces, the most appropriate approach is the use of Service Oriented Architecture, because this architecture allows different heterogeneous applications to work together through different languages and platforms. The draft version of Service Oriented Architecture contains 5 (five) levels namely Object oriented level, Component level, Service level, Process and Presentation level. All levels of the digital platform are interlinked with different types of services like API, REST, TCP/IP and HTTPS.

The first level is an object-based level. Several different modules such as My Farm Module, Knowledge Base Module, Finance Module, Information Module as well as Marketplace Module should be integral part of this level. With the exception of My Farm module, all other elements should be open based. The second level contain elements that are responsible for the realization of the functionality of the services. On the third level, all services are located. The fourth level is responsible for creation of composite services, while the fifth level or Presentation level is an agricultural platform access point for end user.

Creating a semi-open agricultural platform will enable the possibility of using advanced technology, which is a guarantee for increased efficiency in agriculture. Having in mind that semi-open agricultural platform is a proposed concept that has not yet been implemented a direct empirical measurement of the benefits of creating a semi-open agricultural platform is not feasible. In accordance with the literature review that covers the macro-level surveys in agriculture, it is expected and increased efficiency in a region of 25 (twenty-five) percent and up to 35 (thirty-five) percent.

References

- Babinet, Gilles et al., (2015): The New World economy, s.l.: Report addressed to Ms Segolene Royal, Minister of Environment, Sustainable Development and Energy, working group led by Corinne Lepage.
- Bastiaanssen, W., Molden, D., Makin, I., (2000): Remote sensing for irrigated agriculture: examples from research and possible applications. *Agric. Water Manage.* 46 (2), 137–155.
- Bunge, J. (2014): Big data comes to the farm, sowing mistrust: seed makers barrel into technology business, s.l.: Wall Street Journal (Online).
- Charvat K. (2012): From external drivers to future challenges. ICT for agriculture, rural development and environment .Where we are? Where we will go? 51-58
- Fuentes J.R. and Mies V.(2012): Productivity Differences in Developing and Developed Countries: Where are the Bottlenecks? Available on-line at https://www.isid.ac.in/~pu/conference/dec_12_conf/Papers/RodrigoFuentes.pdf. Access on 25.03.2018
- Halewood, N.J; Surya, P. (2012): Mobilising the Agricultural Value Chain in 2012, Information and Communication for Development – Maximising Mobile, World Bank, Washington D.C.
- Hashem, I., et al., (2015): The rise of “big data” on cloud computing: review and open research issues. *Inform. Syst.* 47, 98–115.
- Information Systems in Precision Agriculture. In: *Computers and Electronics in Agriculture* 70 (2): 328-336.
- Lokers, R., et al., (2016): Analysis of Big Data technologies for use in agro-environmental science. *Environ. Model. Software* 84, 494–504.
- Mahmud S. and Ahsan K. (2016): Role of ICTs in Agriculture/Rural Development and Governance in Taiwan: A Report on Study Visit, Published by Bangla Desh Academy for Rural Development, Comilla, Bangla Desh.
- Nikkilä, R, Seilonen, I & Koskinen K (2010): Software Architecture for Farm Management Nandyala, C.S., Kim, H.-K., (2016): Big and meta data management for U-agriculture mobile services. *Int. J. Software Eng. Appl. (IJSEIA)* 10 (1), 257–270.
- OECD/FAO (2016): OECD-FAO Agricultural Outlook 2016-2025, OECD Publishing, Paris. http://dx.doi.org/10.1787/agr_outlook-2016-en. Access on 30.06.2019
- Salhofer P. (2018): Evaluating the FIWARE Platform A Case-Study on Implementing Smart Application with FIWARE. Proceedings of the 51st Hawaii International Conference on System Sciences 2018. Страна 5797-5805
- Sonka, S. (2016): Big data: fueling the next evolution of agricultural innovation. *J. Innovation Manage.* 4 (1), 114–136.
- Sørensen, C. G., Fountas, S., Nash, E., Personen, L., Bochtis, D., Pedersen, S. M., ... Blackmore, S. B. (2010). Conceptual model of a future farm management information system. *Computers and Electronics in Agriculture*, 72(1), 37-47. <https://doi.org/10.1016/j.compag.2010.02.003>.
- Teye, F., Holster, H., Pesonen, L., Horakova, S. (2012): Current Situation on Data Exchange in Agriculture in EU27 and Switzerland, ICT for Agriculture, Rural Development and Environment, T., Mildorf, C., Charvat, Jr. (Eds), Czech Centre for Science and Society Wirelessinfo, Prague, pp. 37-47.
- Weber, R.H., Weber, R., (2010): Internet of Things. Springer, New York, NY

World Bank (2018): DataBankMicrodataData Catalog. Available on-line at
<https://data.worldbank.org/indicator/EA.PRD.AGRI.KD>. Access on 25.03.2018

Basic Endogenous Economic Growth Model (Ak Model) - Evidence For Danube Region Of Bulgaria

Assoc. Prof. Kamelia Assenova, phd

Ruse university, Republic of Bulgaria, kamelia_a@yahoo.com

Abstract: The economic development of Bulgaria characterizes with regional imbalances. They come from historically shaped differences in the development of social processes (social, economic, governance) in the regions. The imbalances are formed about GDP per capita, the age and educational structure of the population, the level of employment (unemployment), the income per capita and distribution of investments. Due to it, the main objective of regional economic policy is overcoming of the imbalances. The current development need to ensure equal good living conditions in all parts of the country.

The main theory for economic development nowadays is the research of Solow. According his theory, main factors for economic growth are: capital(K), labour force (L) and technology. The simplest version of this endogenous growth model is AK model. According this model, the production function is assumed to be linear with single factor of growth - capital stock or investments. The model assumes that the population is constant.

The Danube region, object of this research, includes 11 districts in the North Bulgaria. They are part of 3 economic regions. These districts are lower developed; some of them are poorest regions in EU. The GDP of Danube region is 16,09% of GDP of Bulgaria in 2017. The average income per capita in the region is 9249.70 BGN by 14280 BGN average for the country in 2017.

The research by the creation of mathematical model calculates the impact of one growth factor - foreign and local investments - in the region in short and long term. It will define their influence on the growth and in perspective it could use their increasing for advancing development of Danube region compared with other in the country.

Keywords: economic growth, factors of economic growth, regional development

Introduction

The economic development of Bulgaria's characterizes by strong regional imbalances. They come from historically shaped differences in the development of social processes (social, economic, governance) in the regions. The imbalances are formed about GDP per capita, the age and educational structure of the population, the level of employment (unemployment), the income per capita and distribution of investments. Due to it, the main objective of regional economic policy is overcoming of the imbalances. The current development needs to ensure equal good living conditions in all parts of the country.

As known, the economic growth defines as an increase of Gross Domestic Product(GDP) in a country for one year. The increasing of aggregate supply will allow better to meet the needs of citizens. According to its economic characteristics, the economic growth could be extensive or intensive. The current conditions of globalization of the economy, liberalization of market, capital and labor force' movement require the search of instruments for realizing intensive type of economic growth.

The Danube region in Bulgaria includes 11 Bulgarian administrative units (NUTS level 3) as part of 3 planning regions (NUTS level 2) - the districts of Vidin, Vratsa, Montana, Lovech, Pleven, as part of the North-West planning region; districts Veliko Turnovo, Gabrovo, Ruse, Razgrad, Silistra as part of the North Central Region; Dobrich District, belonging to the North-East Planning Region. Vidin, Vraza and Montana are the slowest-growing administrative units and the poorest regions, both nationally and within the EU. The region covers almost half of the country's territory. But GDP produced in the Danube region in 2017 represents 16.09% of the country's GDP. The average GDP per capita for 2017 is BGN 9249.70, compared to the national average - BGN 14280, which is 64.77%. Due to it, research tries to find the impact of main factor for advancing development of Danube region in Bulgaria compared with others in the country.

1. BASIC ENDOGENOUS ECONOMIC GROWTH MODEL (AK MODEL)

The main neoclassical growth model was developed by Solow. This model uses a production function as follows:

$$Y = F(K) + F(L) + F(A)$$

Where

Y – aggregate supply or Gross domestic product (GDP)

K - capital or investment

L - labor force

A - the measure of the level of technology.

1.1 Basic Endogenous Economic Growth Model (AK Model) - theoretical approach

Rebelo (1991) provided the simplest version of the endogenous growth model, the AK model. It is characterized by the following production function:

$$Y = AK$$

where

Y - GDP,

A - constant ensuring the proportionality of income or GDP relative to capital

K - the capital stock or investment.

This model belongs to the first generation of endogenous growth models (Acemoglu, 2009). The accumulated capital along with risk of projects determine the volume of investment (Rebelo, 1991; Jones, 2002). The production function is assumed to be linear with its single factor of growth - capital stock or investment. The population is considered to be constant (Rebelo, 1991) and therefore the population growth rate is zero. The endogenous nature of the model is based on the result that the economic policy of the government has an impact on household saving patterns and, therefore, on the accumulated capital and the investments in the country. The assumption of a production function rejects the possibility of exogenous technological change suggested by the Solow model and leads to the conclusion that the rate of technological growth should be equal to 0 (Rebelo, 1990). The main characteristic of the AK model is the constant return on scale, confirm by the production function and, in particular, the constant return on the accumulated capital. Rebelo (1990) explains the existence of a constant return on scale by the lack of such scarce resources as land in the process of creation of capital stock. Based on these assumptions, the production function becomes proportional and linear with the capital.

The constant return on capital accumulation guarantees a constant addition to the total output equal to A per unit of additional capital (Jones, 2002). By the AK model accumulated capital sets volume of investments. In this way, an economic policy geared toward increasing of investments through savings will have long-term effects on the growth of a country's income and will lead to significant differences in income between countries (Rebelo, 1991). This is the main conclusion of the AK model. But this model is an initial version of factor analysis of growth.

1.2 Model for Danube region

It creates mathematical model to calculate the impact of main factor of growth – investments.

$$GDP = \beta_0 + \beta_1 X_1 + \beta_2 X_{21} + \beta_3 X_{22} + e_{i,t} \quad (1)$$

where

GDP – Gross Domestic Product annually for the region

X_1 – direct foreign investment annually for the region

X_2 – direct local investment annually for the region

Second part of the research calculates the change of GDP per 1 BGN direct foreign, respectively local, investments. It will show the efficiency of 1 BGN foreign or local investments.

$$E = \frac{\Delta GDP}{\Delta I} \quad (2)$$

where

GDP – Gross Domestic Product annually for the region
 ΔDI – direct foreign or local investments annually for the region

1.3. LIMITATIONS OF THE RESEARCH

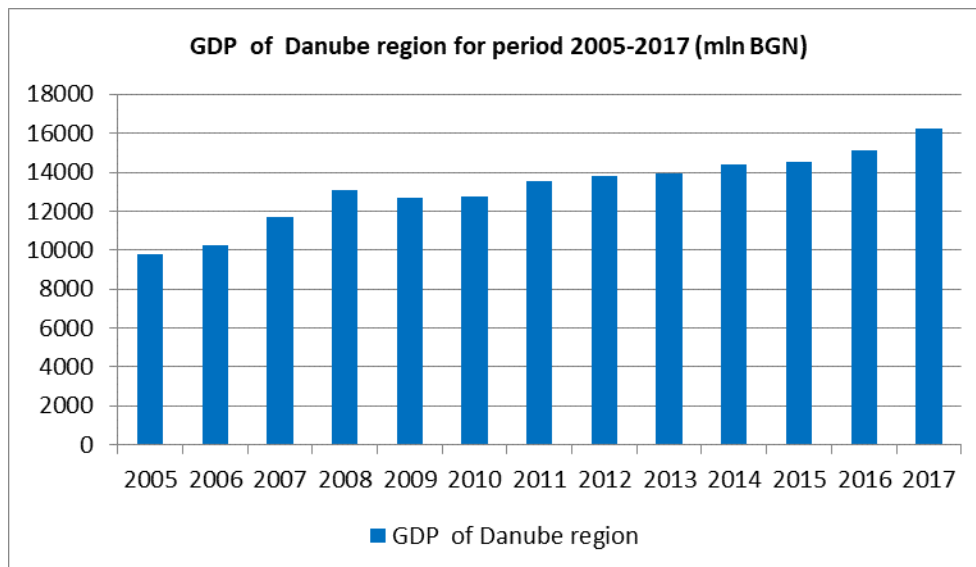
- Because the different way to be made the data by National statistic – with or not accumulation, monthly, quarterly or annually, chronologically presented – the different variables are recalculated to be mathematically compatible;
- The research recognizes as the single factor capital.
- Foreign direct investment delivers to the economy more innovative technology and techniques, new approach to education and management of human resources.
- Local direct investment depends on accumulated capital in the country. Its volume is a result from local decisions.
- It is very difficult to distinguish the impact of factors' variables on the changes of GDP or such are the result from automatic adjustment and due to it, the research suggests as a reason for changes only the influence of independent variable.

1.4. VARIABLES

- GDP annually in current prices. It used current prices, because in this case it possible to account different stage of economic cycle.
- GDP is measured by final expenditure.
- Foreign direct investments in EURO, recalculated in BGN by fix currency rate 1.9558 in Bulgaria.
- Local direct investments.

2. DATA ANALYZE

Graph 1

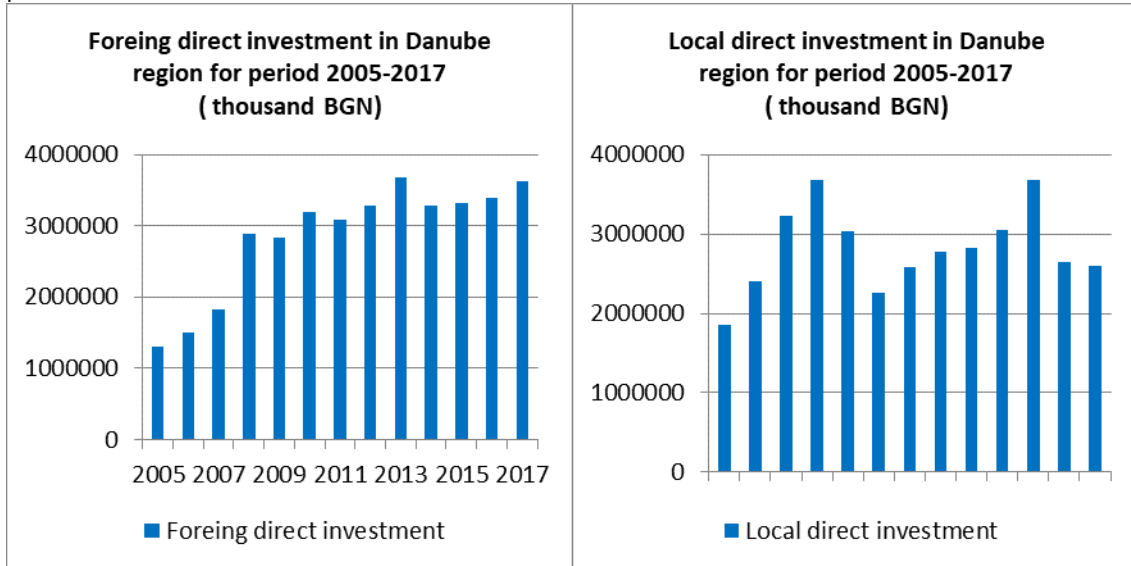


Source: BG National statistic

The foreign direct investments rise with strong rate during the period 2005-2008 – respectively with 15.83 %, 20.36 % and 58.48%. Between 2009 - 2011 there are two years with negative rate. The biggest decrease of foreign direct investments is in 2014 with minus 10.59 %. Last three years of research period they increase with small pace from 1 to 6.70 %.

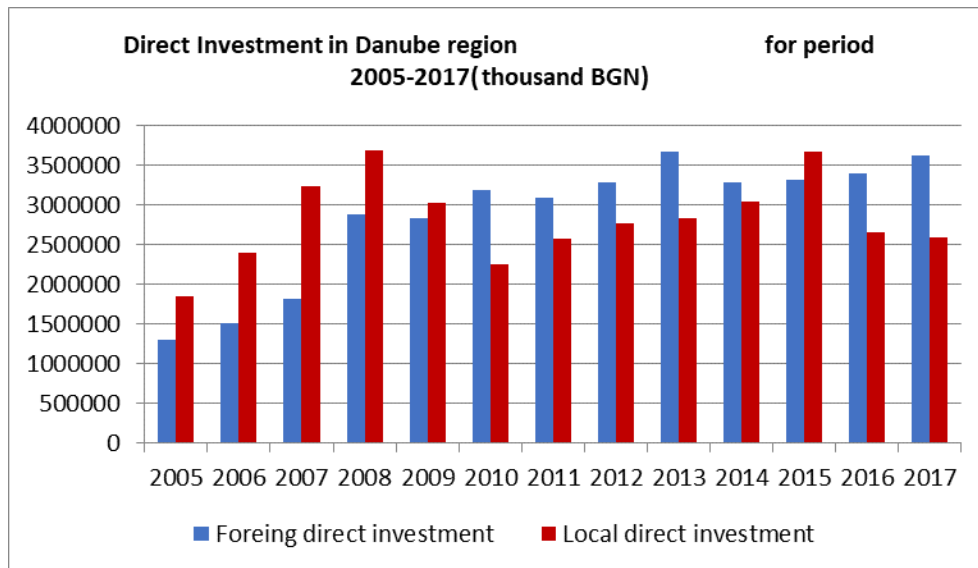
The local direct investments increase strongly during the same period as foreign. It is between 2005-2008 – respectively with 29.16%, 34.78% and 13.92%. In next two years they reduce sharply with minus 17.85% and minus 25.91 %. Between 2012 and 2015 local direct investments raise from 2% to 14%. The biggest negative change is in 2016 when they reduce with minus 27.90 % and this tendency continues in 2017.

Graph 2



Source: BG National statistic

Graph 3



Source: BG National statistic

3. Results

By the testing of model it calculated following results:

On Tab. 1. Model Summary is given the coefficient of determination of the single factorial regression model. As expected, the coefficient is $R^2 = 0,855$, which means almost a functional link. Also, the coefficient is statistically significant (Table 2, Sig. < $\alpha = 0,05$).

Table 1

Model Summary				
Model	R	R Square	Adjusted R Square	Std. Error of the Estimate
1	,925 ^a	,855	,826	765,34565

a. Predictors: (Constant), LDI, FDI

Table 2

ANOVA ^b						
Model		Sum of Squares	df	Mean Square	F	Sig.
1	Regression	34519367,201	2	17259683,600	29,466	,000 ^a
	Residual	5857539,568	10	585753,957		
	Total	40376906,769	12			

a. Predictors: (Constant), LDI, FDI

b. Dependent Variable: GDP

In the Table 3. Coefficients - are defined the standardized coefficients for the single factorial regression model for main factor of economic growth.

Table 3

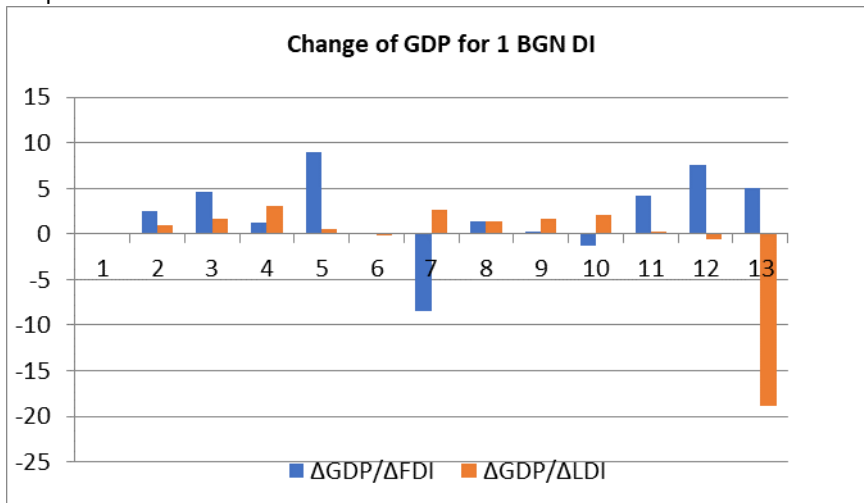
Coefficients ^a						
Model		Unstandardized Coefficients		Standardized Coefficients	t	Sig.
		B	Std. Error	Beta		
1	(Constant)	6519,530	1278,597		5,099	,000
	FDI	,002	,000	,895	7,030	,000
	LDI	,000	,000	,081	,639	,537

a. Dependent Variable: GDP

The statistical analysis shows the coefficient of determination for direct foreign and local investments is significant. The economic analysis notes strongest impact of investments in the region on the aggregate supply, measured with GDP. The investments have two effects: direct-increasing the aggregate demand and there for aggregate supply for current year and indirect - additional multiple effects on the aggregate demand and the GDP in next several years. The capital expenditure, because long duration of each stage of their turnover, retains the impact on the aggregate demand and therefore on the GDP for long period of time. The impact in the current year is stronger, indicating these costs immediately produce a high demand for goods and services. As known from the theory, as a result - income increases and employment reduces not only in sectors, where the capital spending made, but in others. It leads to an increase of aggregate demand, not only through investment (I), but also indirectly through the consumer spending (C). The correlation coefficient for foreign direct investments, calculated for the region is very strong and probably shows they add to GDP because better management, nowadays technology and techniques. Higher income paid in foreign companies adds to multiply effect of these investments through consumption. The correlation coefficient for local direct investment is lower compared with such for foreign direct investments and shows worse organisation compared with international companies and small add to the result – GDP.

On next stage of the research is calculated the efficiency of direct investments – foreign and local. On the Graph below shows the changes of GDP by 1 BGN foreign or local direct investments.

Graph 4



Source: BG National statistic and own calculations

CONCLUSION

The economic development of Bulgaria's characterizes by strong regional imbalances. As a result, it found different usage of the factors of growth and the conditions of business. It causes lower productivity, different level of income, of public services, quality of life and, as a result, welfare in different point of the country. The well - being is main goal of every economic policy.

Regional differences comes from historically shaped differences in the development of social processes (social, economic, managerial) in individual regions. In this way, imbalances are observed about GDP per capita, distribution of investments, the age and educational structure of the population, the level of employment (unemployment), income per capita. For this reason, the main objective of regional economic policy is overcoming the imbalances and realizes advancing development in order to make equally good living conditions in all parts of the country.

It creates model with single factor of economic growth - investments. The economic analysis notes strongest impact of foreign direct investments in Danube region on the aggregate supply, measured with GDP. It due to better management, nowadays technique and technology. The local direct investments have weak effect on GDP. The aggregate supply rises when they reduce sharply, because increasing of productivity of labour. The investments have two effects: direct - increasing the aggregate demand and there for aggregate supply for current year and indirect - additional multiple effect on the aggregate demand though consumer expenditure. The calculated results requires to increase foreign and improve the efficiency of local direct investments in the future. It will provide advancing development of Danube region compared with others in the country.

References:

1. National statistic Bulgaria – Infostar – annually data – www.nsi.bg
2. Assenova, Kamelia (2013), Interest rate and Economic Growth, Lap Lambert Academic publishing, Saarbrucken, Germany, ISBN 978-3-659-44647-4
3. Assenova, Kamelia (2019), Current stage and perspectives for the advancing development of Danube region - Factors of growth, Journal Knowledge, Vol.34.1, ISSN 2545-4439, p. 119-125
4. Assenova, Kamelia (2020) What adds more to the economic growth in Danube region – foreign or local direct investment?, Journal Knowledge, ISSN 2545-4439, (forthcoming)
5. Acemogly, Daron(2009), Introduction to Modern Economic Growth, Princeton University Press, ISBN 9780691132921
6. Assenova S. (2020), Indicators, influencing on the optimization of run in public passenger transport, Journal Knowledge, ISSN 2545-4439, (forthcoming)
7. Borensztein E., De Gregorio J. and Lee J. (1998) "How does Foreign Direct Investment affect Economic Growth?" Journal of International Economics, 45, pp. 115-135.
8. Camba-Mendes G, G. Kapetonios, F. Papailias, M. Weale (2015), Forecasting the industrial production growth for euro area countries, ECB, Working paper 1773
9. Jones, Charles(2002), Sources of U.S. Economic Growth in a World of Ideas, American Economic Review, vol.92(1), p.220-236

10. Monastiriotti, V and G. Petrakos (2009), Local Sustainable Development and Spatial Cohesion in Post – transition Balkans: in search in developmental model, [http://www.lse.ac.uk/europeanInstitute/research/he ... /GreeSE/GreeSE29.pdf](http://www.lse.ac.uk/europeanInstitute/research/he.../GreeSE/GreeSE29.pdf)
11. Petrakos, G and P. Arvanitidis (2008), Determinants of Economic Growth, *Journal Economic Alternatives* , 2008/ Issues 1, p. 11-26
12. Pirimova, V.(2001),Growth, cyclicity, conjuncture, Publishing house „ Stopanstvo”, Sofia, ISBN 954-494-449-4
13. Podpiera J., R.Faesen,A. Stepanyan (2017), A Fresh Look at Potential Output in Central, Eastern and Southeastern European Countries, IMF, Working paper 17/37
14. Rebelo, Sergio T,Robert King (1990), Public Policy and Economic Growth: Developing Neoclassical Implications, , *Journal of Political Economy*, 98(5),p. 126-150
15. Rebelo, Sergio T. (1991), Long-Run Policy Analysis and Long-Run Growth, *Journal of Political Economy*, 99(3),p. 500–521.
16. Stimson, Robert J., Stough, Roger R., Roberts, Brian H.(2002),Regional economic development. Analysis and Planning Strategy,Publishing house Springer, ISBN978-3-662-04913-6
17. Straub St. (2016), Infrastructure and Growth in Developing Countries: Recent Advances and Research Challenges, World Bank Policy Research, Working paper 4460
18. Western Balkans& Eastern Europe& Regional Instability and Resilience to external shocks (2017), USAID, Regional Growth Project

Challenges and Problems Of Integration Of Digital Technology In Companies In Latvia

Kate Lase¹

Biruta Sloka²

¹ University of Latvia, kate.cipane@gmail.com, ORCID: <https://orcid.org/0000-0002-2267-8096>

² University of Latvia, biruta.sloka@lu.lv, ORCID: <http://orcid.org/0000-0003-2129-053X>

Abstract: Digitalization in Latvia recently has gained special importance as Latvian business sector still scores below EU average level on integration of digital technology. According to the Eurostat only 43% of the inhabitants of Latvia have basic or above basic digital skills in 2019 and the supply of ICT specialists does not match the growing demand in the labour market what makes it difficult for companies to ensure its success in the virtual environment.

Purpose of the study is to analyse main challenges and problems of integration of digital technology in companies in Latvia.

The tasks of the study:

- 1) to analyse theoretical background of integration of digital technology
- 2) to analyse existing research of integration of digital technology in companies
- 3) to analyse challenges and problems of integration of digital technology in Latvia

Research methods used in preparation of the paper: scientific publication and previous conducted research results analysis, analysis of Digital Economy and Society Index, analysis of Central Statistical Bureau of Latvia data and Eurostat data, as well as OECD materials which are prepared using indicators of descriptive statistics (indicators of central tendency or location - arithmetic mean, mode, median), indicators of variability (indicators of dispersion - range, standard deviation and standard error of mean), cross-tabulations and analysis of variance - ANOVA are used. The results of analysis indicated that Latvia would benefit from motivating life-long learning, investing on digital technology and raise awareness of the importance of digitization in SMEs, however, for decision makers there are several challenges that need to be overcome.

Keywords: digitalization, digital skills, digital technology, internet.

1. INTRODUCTION

On June 10, 2016, the European Commission published a new Skills Agenda for Europe where digital skills are defined as a basic competence, the same level as reading or writing. According to the statistics only 58% of Europeans had basic or above basic digital skills, while in Latvia this level was 48% in 2017. Nowadays almost every workplace requires employees to be digitally skilled at least in some level, as most of the operations are carried using various software and platforms. Technological revolution and further advancements indicate that specialists with digital skills will continue to be highly in demand by the companies worldwide, and this situation creates a big challenge for the labour market in general, as statistics show that there is still a room for growth. The situation itself creates a big debate whether people can keep up with the pace of how the technologies are being evolved as currently there is a big rivalry between companies and institutions to employ various information and communication technology (ICT) specialists. According to Eurostat¹, the number of these specialists in the EU grew by over 39 per cent between years 2011 and 2018. In year 2018 the average rating of the ICT specialists employed in the EU was 3.9%, relative share of Finland was 7.2% in Finland, but only 1.7% in Latvia, having the lowest rating between the EU. In March 12, 2019, the World Economic Forum² published an article about the widening digital skills gap as the European Commission stated there could be more than 756 thousand unfilled jobs in the ICT sector by year 2020, and at least 133 million new ICT roles generated globally by 2022.

Purpose of the study is to analyse main challenges and problems of integration of digital technology in companies in Latvia.

¹Eurostat, ICT Specialists by Employment, available https://ec.europa.eu/eurostat/statistics-explained/index.php/ICT_specialists_in_employment#Number_of_ICT_specialists [20.08.2020.]

² World Economic Forum, the digital skills gap is widening fast. Here's how to bridge it, available <https://www.weforum.org/agenda/2019/03/the-digital-skills-gap-is-widening-fast-heres-how-to-bridge-it/> [20.08.2020]

The tasks of the study:

- 1) to analyse theoretical background of integration of digital technology
- 2) to analyse existing research of integration of digital technology in companies
- 3) to analyse challenges and problems of integration of digital technology in Latvia

Research methods used in preparation of the paper: scientific publication and previous conducted research results analysis, analysis of Digital Economy and Society Index, analysis of Central Statistical Bureau of Latvia data and Eurostat data, as well as OECD materials which are prepared using indicators of descriptive statistics (indicators of central tendency or location - arithmetic mean, mode, median), indicators of variability (indicators of dispersion - range, standard deviation and standard error of mean), cross-tabulations and analysis of variance - ANOVA are used. The results of analysis indicated that Latvia would benefit from motivating life-long learning, investing on digital technology and raise awareness of the importance of digitization in SMEs, however, for decision makers there are several challenges that need to be overcome.

2. INTEGRATION OF DIGITAL TECHNOLOGY IN COMPANIES: THEORETICAL FRAMEWORK

Digital transformation

Digital transformation refers to an enterprise business model that applies new or existing digital technologies and products or services into digital variants to offer a tangible product to their customers.³ Study in South Africa was investigating how retail organizations adopt digital transformation and probe into the understanding and perception of digital transformation itself. The results of the study revealed that there is a good understanding of digital transformation from participants within the South African retail industry, but the core technologies perceived by participants as driving digital transformation in the retail industry is e-Commerce solutions, big data and analytics, and cloud adoption being. The findings from the study also affirmed that there is a consistent association between the adoption of new digital technologies and digital transformation.⁴

Social media

There are a fast-growing number of researches regarding social media usage in companies. Social media is emerging as an important technology for business strategy. Some authors even highlight their potential to influence international business and export marketing strategies.^{5 6} Hansen and Kien⁷ indicate that exponential growth of social media and mobile resulted in many organizations realizing that an online presence is required to reach out and connect with their digital savvy customers. Digital savvy customers follow brands on social media and expect to be able to view store inventory online to enable them to do “showroom” shopping before going into a physical store. Rogers indicate that capturing data from tools such as Facebook, LinkedIn and blogs are essential to integrate the information into the sales process.⁸

Study in Spain⁹ was researching how digital technologies have forced small- to medium-sized enterprises (SMEs) to reconsider and experiment with their business models (BMs) and how this contributes to their

³ O. Gassmann, K. Frankenberger, M. Csik. (2014). The business model navigator: 55 models that will revolutionize your business. Cambridge: Pearson, <https://doi.org/10.3139/9783446437654.003>

⁴ Van Dyk, R., Van Belle, J.-P. (2019). Factors influencing the intended adoption of digital transformation: a south African case study. *Computer Science and Information Systems*, 18, 519–528. DOI: 10.15439/2019F166

⁵ Berthon P.R., Pitt L.F., Plangger K., Shapiro D. (2012). Marketing meets Web 2.0, social media and creative consumers: Implications for international marketing strategy, *Business Horizons*, 55(3), 261-271

⁶ Okazaki S., Taylor C.R. (2013). Social media and international advertising: Theoretical challenges and future directions, *International Marketing Review*, 30(1), 56-71.

⁷ R. Hansen and S. Sia, 2015. Hummel's Digital Transformation Toward Omni-channel Retailing: Key Lessons Learned. *MIS Quarterly*, 14(2), 132 - 149.

⁸ D. L. Rogers, 2016. The digital transformation playbook: rethink your business for the digital age, Columbia: Columbia University Press. <https://doi.org/10.7312/roge17544>

⁹ Bouwman, H., Shahrokh, N., Moline-Castillo F. J., Reuver, M. (2018). The impact of digitalization on business models. *Emerald Publishing Limited*, 20 (2), 105-124.

innovativeness and performance. Results of the study indicated that the use of social media and big data in business model innovation (BMI) is mainly driven by strategic and innovation-related internal motives and BMI driven by social media and big data has a positive impact on business performance.

Digital skills

Digital skills have been on research agenda for the past years due to technological changes, as well as such term as “digital skills gap” has become recognized. The term digital skills gap is related to the difference between existing digital skills people possess and needed digital competencies of the workforce to manage technologies. In researches the digital skills gap has been mostly related to certain skills required in the workplace¹⁰, as there is no surprise that these technologies have a big impact on the way people live and manage their daily routines. As these skills become even more relevant, there has to be a sustainable way to acquire them, e.g., *Siddiq et al.*¹¹ conducted a research in Norway on the impact teachers have on developing students’ digital skills and concluded that teachers’ classroom practice makes a big impact on how students’ digital skills can evolve. 21st century digital skills are classified as information digital skills, communication digital skills, collaboration digital skills, critical-thinking digital skills, creative digital skills, and problem-solving digital skills¹². Information digital skills are related to searching, evaluating and managing digital information in various search engines as well as the ability to digitally manage various forms of digital information (e-mails, files etc.). Information digital skills are considered to be essentially relevant as they are also related to assessment of information credibility regarding information source.

Big data

The big data tools and applications spread and they will change long- standing ideas about decision making, management practices, competitive strategy formulation, and value creation. Big data and business analytics, mainly driven by practice, have been used to predict or explain what caused certain outcomes.¹³ *Agarwal and Dhar*¹⁴ highlight how the experiments conducted on Facebook were popular in the media, because they raised issues regarding the protection of privacy and individuals’ rights. Since then, big data analytics have evolved and are increasingly used by companies, economists, marketers, or political scientists to analyze and predict numerous phenomena, from stock prices, to purchase behavior and voting intentions. Going further, the generated knowledge from big data and business analytics may be used to target people with specific information to influence perceptions, attitudes, or behavior, over time.

Cloud computing

Cloud computing is a key pillar of the digital transformation technology ecosystem.¹⁵ It offers organisations more choices as regards how to run infrastructures, save costs and delegate liabilities to third-party providers.¹⁶ The main advantages of cloud computing including: cost efficiency, almost unlimited storage, backup and recovery, automatic software integration, easy access to information, quick development, agility, easier scale of services and delivery of new services.¹⁷ Study in Saudi Arabia¹⁸ was investigating cloud

¹⁰ Oberlander, M., Beinicke, A., Bipp, T. (2020). Digital competencies: A review of the literature and applications in the workplace, *Computers & Education*, 146, 103752, <https://doi.org/10.1016/j.compedu.2019.103752>

¹¹ Siddiq, F., Scherer, R., Tondeur, J. (2016). Teachers’ emphasis on developing student’s digital information and communication skills (TEDDICS): A new construct in 21st century education, *Computers & Educations*, 92-93.

¹² Laar, E., Deursen, A., Dijk, J., Haan, J. (2019). Determinants of 21st-century digital skills: A large-scale survey among working professionals. *Computers in Human Behavior*, 100, 94.

¹³ Reed, D.A., Dongarra, J. (2015). Exascale Computing and Big Data. *Communications of the ACM*, 58(7), 56-68.

¹⁴ Agarwal, R., Dhar, V. (2014) Editorial—Big data, data science, and analytics: the opportunity and challenge for IS research. *Information System Research*. 25(3). 443–448

¹⁵ Briscoe, G., Marinos, A. (2009). Digital ecosystems in the clouds: Towards community cloud computing. 3rd IEEE Int Conf Digit Ecosyst Technol DEST '09. 103-108. doi:10.1109/DEST.2009.5276725.

¹⁶ Sivasakthi, M., Jeyakumar, M. N. (2015) Cloud Computing : Introduction and Research Perspective. *International Conference on Computing and Intelligence Systems*, 4, 1364-1367.

¹⁷ Apostu, A., Puican, F., Ularu, G., Suciuc, G., Todoran, G. (2013). Study on Advantages and Disadvantages of Cloud Computing - the Advantages of Telemetry Applications in the Cloud. *Recent Adv Appl Comput Sci Digit Serv.*, 118-123.

computing roles to achieve the digital transformation in public sector organization. The study indicated that the governmental public sectors in Saudi Arabia are still not widely adopting cloud computing in their work and security, privacy and loss of governance are still the main obstacles for adopting cloud computing technology, although some organizations recognized their lack of knowledge in this field.

3. EMPIRICAL RESEARCH RESULTS

In order to get a broader view of the challenges and problems of digitalization, different data sourced were used in this research – Digital Society and Economy index (DESI), data of Eurostat and Central Statistical Bureau of Latvia and survey “Shopping Habits in the Internet in 2017 in Latvia”.

Digital Society and Economy index (DESI) is a composite index that summarises some 30 relevant indicators on Europe’s digital performance and tracks the evolution of EU Member States, across five main dimensions: Connectivity, Human Capital, Use of Internet, Integration of Digital Technology, Digital Public Services (Eurostat; 2019).

The survey “Shopping Habits in the Internet in 2017” was realised at the end of 2017 and beginning of 2018 in Latvia in co-operation with company *iMarketing*, University of Latvia and Chamber of Trade and Commerce of Latvia. The survey was located on one of the most popular internet platforms in Latvia *inbox.lv*¹⁹ and randomly selected possible respondents were invited to fill the survey. It was ensured that each respondent can fill the survey only once. All data of the survey were obtained in SPSS to provide deep data analysis using indicators of descriptive statistics (arithmetic mean, mode, median, variance etc.), cross-tabulations, testing of statistical hypotheses and correlation analysis.

The sample of the survey consisted of 2513 responses. In table 1 is included detailed information the demographic characteristics of the sample.

Table 1. Demographic characteristics of the respondents in survey on internet shopping in Latvia

		N	Percent
Gender	Female	878	62,9
	Male	518	37,1
Age	Under 18	26	1,8
	18-24	135	9,6
	25-34	357	25,3
	35-44	369	26,2
	45-54	324	23,0
	55-64	157	11,1
	65+	41	2,9
Region	Riga and the region of Riga	676	48,0
	Kurzeme district	222	15,8
	Latgale district	148	10,5
	Vidzeme district	214	15,2
	Zemgale district	147	10,4
The last time of purchase or order of a product or service online	Over the last 30 days	1343	63,4
	Two months ago	281	13,3
	Three months ago	108	5,1
	Six months ago	113	5,3
	I do not remember	273	12,9

Source: Authors calculations based on the survey in 2018, n=2513

¹⁸ Al-Ruithe, M., Benkhelifa, E., Hameed, K. (2018). Key Issues for Embracing the Cloud Computing to Adopt a Digital Transformation: A study of Saudi Public Sector. *Procedia Computer Science*, 130, 1037-1043.

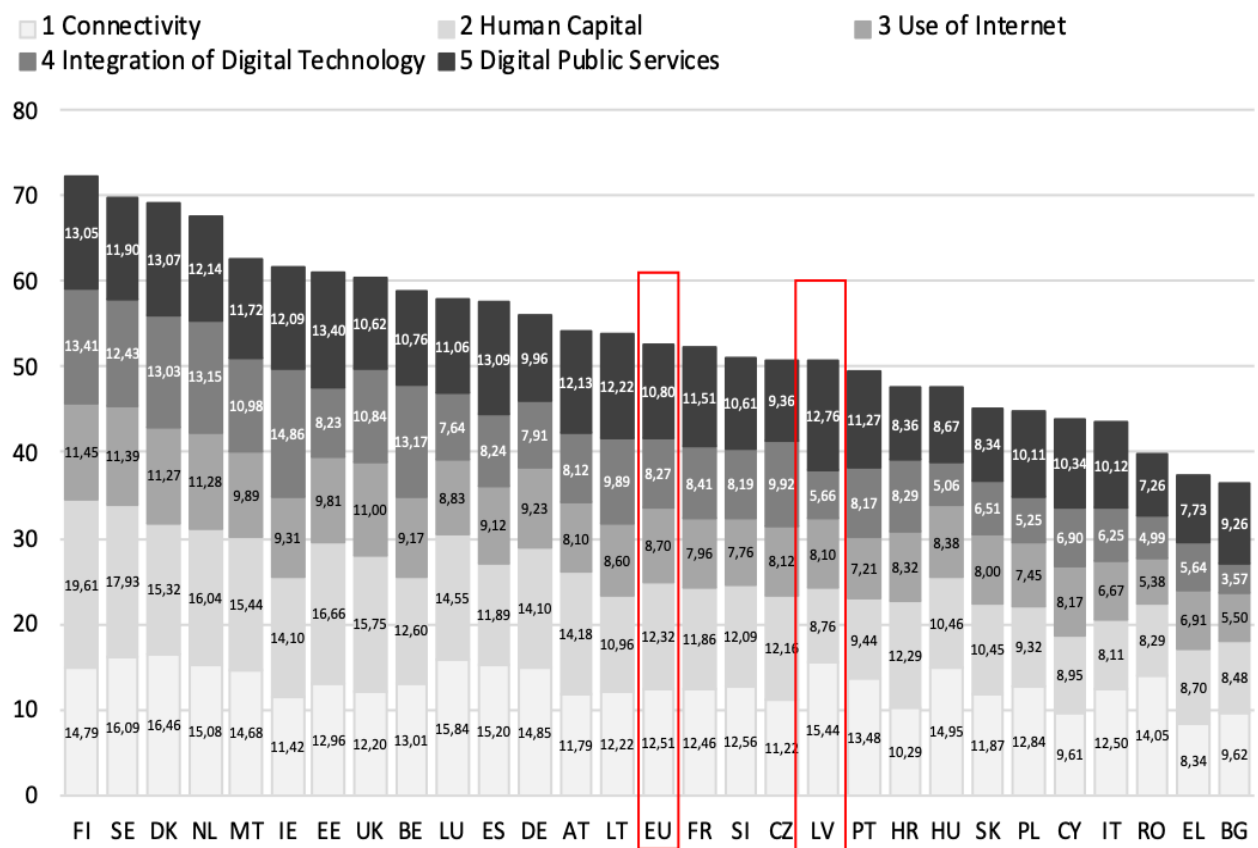
¹⁹ TOP 20 websites in February 2019 (in Latvia), Gemius, available: <https://www.gemius.lv/all-reader-news/gemius-publice-interneta-lapu-top-20-februari-2019.html> [viewed 20.06.2020.]

The sample of the survey consisted more of female respondents than male. The most represented age group was from 35 to 44 years (26,2%), however also respondents from 25 to 34 years (25,3%) and from 45 to 54 years (23%) were represented properly. The least represented groups were under 18 years old (1,8%) and over 65 years old (2,9). Almost half of the respondents were from Riga or Riga region (48%), but the remaining respondents were evenly distributed in the other regions of Latvia. Most of the respondents had been shopping online in the last six month and only 12,9% did not remembered the last time shopping online, but what is important - all respondents have been shopping online.

3.1. Integration of digital technology in companies in EU

Since 2010 Digital Agenda for Europe aims to stimulate the European economy by ensuring that the digital single market delivers sustainable economic and social benefits as this digital economy is growing faster than any other industry²⁰. Results of Digital Economy and Society Index in European Union countries are included in Figure 1.

Figure 2. Digital Economy and Society Index 2020



Source: Authors construction based on data bases of Eurostat, 2020.

The statistics shows that Digital Economy and Society Index in Latvia is below average level of European Union, while Lithuania and Estonia are above the average level of EU. Connectivity dimension measures the deployment of broadband infrastructure (fixed broadband, mobile broadband) and its quality, access to fast and ultrafast broadband and prices. Situation in Latvia is in the same level as in Finland, Montenegro and Spain, and Latvia is in better position in connectivity than Lithuania and Estonia. The second dimension - human capital – measures the skills needed to take advantage of the possibilities offered by digital and Latvia is in relatively bad position comparing to Finland, Sweden, Luxembourg and even Estonia and Lithuania; these data shows that internet user skills should be improved in Latvia. The third dimension is Use of Internet which

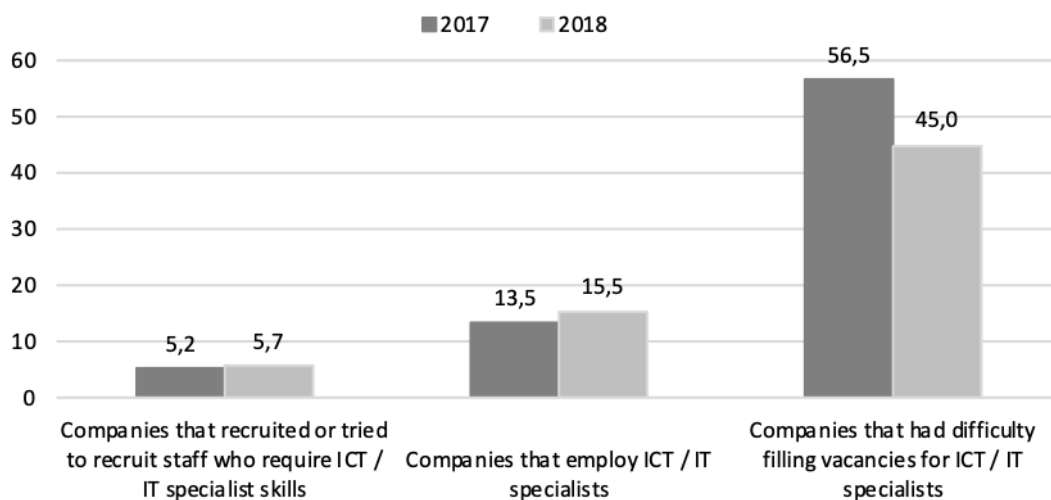
²⁰ Digital Agenda for Europe, Available: <https://eur-lex.europa.eu/LexUriServ/LexUriServ.do?uri=COM:2010:0245:FIN:EN:PDF> [viewed: 20.08.2020.]

accounts for a variety of online activities, such as the consumption of the online content (videos, music, games, etc.) video calls as well as online shopping and banking. Also, in this dimension Latvia is below EU average level and in the same level as Austria, Czech Republic and Croatia. The fourth is Integration of digital technology dimension which measures the digitalisation of businesses and e-commerce. By adopting digital technologies, businesses can enhance efficiency, reduce costs and better engage customers and business partners. Furthermore, Internet as a sales outlet offers access to wider markets and potential for growth. In this dimension Latvia is in one of the lowest levels in European Union followed only by Greece, Poland, Romania, and Bulgaria while situation in Lithuania is better than in Estonia. The last fifth dimension Digital public services measure the digitalisation of public services, focusing on e-Government and e-Health where Latvia is above EU average level and is almost in the same level as Finland, Sweden, Netherlands, Denmark and Estonia. From these five dimensions Connectivity and Digital public services dimension are above EU average level, while such dimensions as Human Capital, Use of Internet and Integration of Digital Technology especially should be improved in following years.

3.2. Problems and challenges of integration of digital technology in companies: case of Latvia

The current Latvian Digital Agenda Strategy dates back to 2013, when the Latvian government approved the Information Society Development Guidelines for 2014-2020²¹. The guidelines cover ICT education and skills, internet access, modern and efficient public administration, e-services and digital content for society, cross-border cooperation for the digital single market, ICT research and innovation, and trust and security. Many plans and projects are in place to implement the strategy. As Digital Economy and Society Index 2020 reflects that situation in Latvia is critical in such dimensions as Human Capital, Use of Internet and Integration of Digital Technology, following research is devoted to indicate challenges and problems of integration of digital technology in detail in companies in Latvia. Percentage of ICT and IT specialist in companies in Latvia are revealed in Figure 3.

Figure 3. Percentage of ICT/IT specialists in companies (with 10 or more employees) in Latvia in 2017 and 2018.



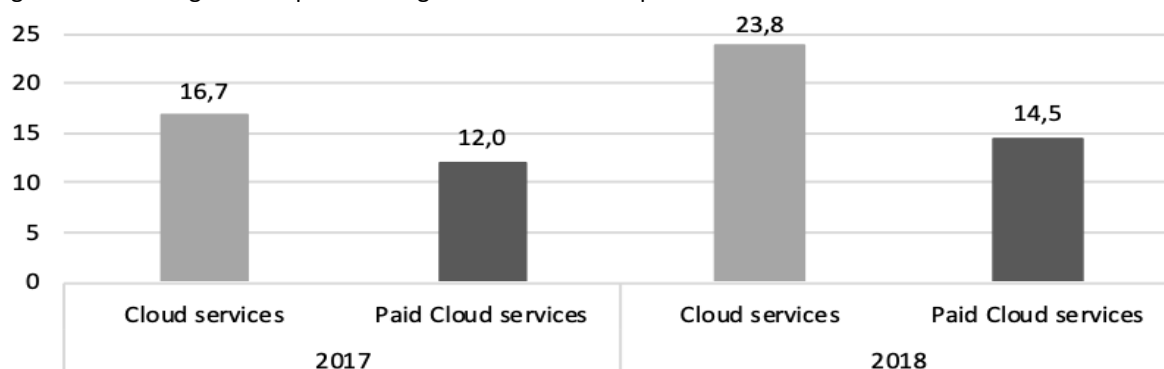
Source: Authors construction based on data bases of Central Statistical Bureau of Latvia, 2020.

Data included in Figure 3 show an increase in companies the employ ICT/IT specialists in 2018 comparing to 2017. Companies that have had difficulties filling vacancies for ICT/IT specialists have decreased for more than 10% in 2018 what indicate that these difficulties have been easy to overcome. Small increase is for companies that recruited or tried to recruit staff who require ICT/IT specialist skills what indicate that this field should be improved as ICT/IT specialists are crucial for successful existence of almost all companies from different fields.

Cloud services are commonly used a lot globally, however situation in Latvia is not that good. Percentage of companies using cloud services are included in Figure 4.

²¹ POLSIS, available: <http://polsis.mk.gov.lv/documents/4518> [viewed: 28.08.2020.]

Figure 4. Percentage of companies using cloud services and paid cloud services in Latvia in 2017 and 2018.



Source: Authors construction based on data bases of Central Statistical Bureau of Latvia, 2020.

The statistics show that both - companies that use cloud services and companies that use paid cloud services have increased in 2018 comparing to 2017, however companies which use paid cloud services are less than those who use cloud services for free. It is important to raise awareness of importance of qualitative and safe cloud service usage as there exist safety threats which can be crucial for company.

The technological development and further advancements indicate that specialists with digital skills will continue to be highly in demand by the companies worldwide, and this situation creates a large challenge for the labor market in general, as statistics show that there is still room for growth. As much as digital skills also e-commerce development is crucial for successful development of economy. Survey “Shopping habits on the Internet in 2017” has been researching reasons on internet use in Latvia and the main statistical indicators on respondent’s evaluations on use of the Internet are included in table 2.

Table 2. Main statistical indicators on respondent’s evaluations on use of Internet in Latvia at the end of 2018

Statistical indicators	Work	Shoppin g	Use of Social Networks	Communicatio n with friends, relatives	Read New s	Search Informatio n	Chec k e - mail	Watc h Video	Manage payment s
N	Valid	2166	2166	2166	2166	2166	2166	2166	2166
	Missin g	0	0	0	0	0	0	0	0
Mean	7.16	6.86	8.47	7.91	7.76	8.83	8.76	7.70	8.62
Std. Error of Mean	0.069	0.059	0.053	0.056	0.055	0.043	0.049	0.056	0.056
Median	8	7	10	9	9	10	10	9	10
Mode	10	10	10	10	10	10	10	10	10
Std. Deviation	3.210	2.739	2.449	2.597	2.547	1.996	2.285	2.590	2.619
Variance	10.302	7.503	5.997	6.746	6.485	3.984	5.220	6.707	6.857
Range	9	9	9	9	9	9	9	9	9
Minimum	1	1	1	1	1	1	1	1	1
Maximum	10	10	10	10	10	10	10	10	10

Source: Authors calculations based on survey in 2018, n= 2166,

Evaluation scale 1 – 10, where 1- do not use; 10 – use very often

The results of survey analysis indicate that most of respondents use internet, firstly, for searching information with rather big average evaluations (arithmetic mean, mode and median) by respondents and the smallest variability indicated by standard deviation and other indicators of variability, secondly, for checking e-mail with rather big average evaluations (arithmetic mean, mode and median) by respondents and the rather small variability indicated by standard deviation and other indicators of variability and, thirdly, for managing payments. Respondents had different views as all evaluation scale 1- 10 was used by respondents of the survey.

The lowest evaluations were on internet use in Latvia was used for shopping which is different from many other developed countries. As this aspect is important in Digital Economy and Society Index and should be seriously studied why inhabitants in Latvia are so inactive on use of internet for shopping – what are the main reasons of their concerns and what conditions have to be improved to be on the same wave as developed world.

Distribution of responses on respondent’s evaluations on use of the Internet for shopping in Latvia is included in table 3 where it is seen that rather big share of inhabitants in Latvia do not use Internet for shopping of use it very seldom.

Table 3. Distribution of responses on respondent’s evaluations on use of Internet for Shopping in Latvia in 2017

Evaluations	Frequency	Percent	Valid Percent	Cumulative Percent
1	108	5.0	5.0	5.0
2	80	3.7	3.7	8.7
3	115	5.3	5.3	14.0
4	111	5.1	5.1	19.1
5	319	14.7	14.7	33.8
6	168	7.8	7.8	41.6
7	236	10.9	10.9	52.5
8	285	13.2	13.2	65.7
9	173	8.0	8.0	73.6
10	571	26.4	26.4	100.0
Total	2166	100.0	100.0	

Source: Authors calculations based on survey in 2018, n= 2166,

Evaluation scale 1 – 10, where 1- do not use; 10 – use very often

As the data included in table 3 indicate that 5% of respondents do not use internet for shopping, but half of respondents gave evaluation 7 or less affirming that online shopping is not the primary activity consumer do online.

4. CONCLUSION

1. Digitalization and integration of digital technologies in companies is becoming more and more important for SME to be competitive and to survive in digitalized world. It makes for numerous topics for academic research world-wide.

3. Among all five dimensions in Digital Economy and Society Index Latvia scores best in e-government as well as in connectivity - Latvia is well equipped with very high-speed fixed network infrastructure, has near-complete 4G coverage of households, and is prepared for 5G deployment. Digital skills in Latvia needs to be seriously improved as they are below EU average and without relevant progress. Higher level of digital skills is needed to make the national labor market more inclusive and to improve business productivity, because on Integration of digital technology dimension Latvia ranks 24th among EU countries. It is important to raise awareness of importance of digitalization in small and medium enterprises as there is a big potential for e-commerce in Latvia.

4. Percentage of companies that recruited or tried to recruit staff who require ICT/IT specialist skills and companies that employ ICT/IT specialists have been increasing in 2018 comparing to 2017 and companies that have had difficulties filling vacancies for ICT/IT specialists have been decreasing.

5. Companies in Latvia that use cloud services and those which use paid cloud services have increased in 2018 comparing to 2017, however companies which use paid cloud services are less than those who use cloud services for free. However less than one fifth of companies in Latvia use cloud services at all. It is important to raise awareness of benefits of cloud services and importance of qualitative and safe cloud service usage as there exist safety threats which can be crucial for company.

6. E-commerce development is very slow in Latvia and one of the reasons are low level of digital skills on internet and digital technology. Survey “Shopping habits on the Internet in 2017” highlighted that shopping is the least common activity internet users do while online. It is important for decision makers to promote life-long learning and invest on digital technology.

REFERENCES

- Agarwal, R., Dhar, V. (2014) Editorial—Big data, data science, and analytics: the opportunity and challenge for IS research. *Information System Research*. 25(3). 443–448
- Al-Ruithe, M., Benkhelifa, E., Hameed, K. (2018). Key Issues for Embracing the Cloud Computing to Adopt a Digital Transformation: A study of Saudi Public Sector. *Procedia Computer Science*, 130, 1037-1043.
- Apostu, A., Puican, F., Ularu, G., Suciu, G., Todoran, G. (2013). Study on Advantages and Disadvantages of Cloud Computing - the Advantages of Telemetry Applications in the Cloud. *Recent Adv Appl Comput Sci Digit Serv.*, 118-123.
- Berthon P.R., Pitt L.F., Plangger K., Shapiro D. (2012). Marketing meets Web 2. 0, social media and creative consumers: Implications for international marketing strategy, *Business Horizons*, 55(3), 261-271
- Bouwman, H., Shahrokh, N., Moline-Castillo F. J., Reuver, M. (2018). The impact of digitalization on business models. *Emerald Publishing Limited*, 20 (2), 105-124.
- Briscoe, G., Marinos, A. (2009). Digital ecosystems in the clouds: Towards community cloud computing. 3rd IEEE Int Conf Digit Ecosyst Technol DEST '09. 103-108. doi:10.1109/DEST.2009.5276725.
- D. L. Rogers, 2016. The digital transformation playbook: rethink your business for the digital age, Columbia: Columbia University Press. <https://doi.org/10.7312/roge17544>
- Digital Agenda for Europe, Available: <https://eur-lex.europa.eu/LexUriServ/LexUriServ.do?uri=COM:2010:0245:FIN:EN:PDF> [viewed: 20.08.2020.]
- Eurostat, ICT Specialists by Employment, available https://ec.europa.eu/eurostat/statistics-explained/index.php/ICT_specialists_in_employment#Number_of_ICT_specialists [20.08.2020.]
- Laar, E., Deursen, A., Dijk, J., Haan, J. (2019). Determinants of 21st-century digital skills: A large-scale survey among working professionals. *Computers in Human Behavior*, 100, 94.
- O. Gassmann, K. Frankenberger, M. Csik. (2014). The business model navigator: 55 models that will revolutionize your business. Cambridge: Pearson, <https://doi.org/10.3139/9783446437654.003>
- Oberlander, M., Beinicke, A., Bipp, T. (2020). Digital competencies: A review of the literature and applications in the workplace, *Computers & Education*, 146, 103752, <https://doi.org/10.1016/j.compedu.2019.103752>
- Okazaki S., Taylor C.R. (2013). Social media and international advertising: Theoretical challenges and future directions, *International Marketing Review*, 30(1), 56-71.
- POLSIŠ, available: <http://polsis.mk.gov.lv/documents/4518> [viewed: 28.08.2020.]
- R. Hansen and S. Sia, 2015. Hummel's Digital Transformation Toward Omni-channel Retailing: Key Lessons Learned. *MIS Quarterly*, 14(2), 132 - 149.
- Reed, D.A., Dongarra, J. (2015). Exascale Computing and Big Data. *Communications of the ACM*, 58(7), 56-68.
- Siddiq, F., Scherer, R., Tondeur, J. (2016). Teachers' emphasis on developing student's digital information and communication skills (TEDDICS): A new construct in 21st century education, *Computers & Educations*, 92-93.
- Sivasakthi, M., Jeyakumar, M. N. (2015) Cloud Computing : Introduction and Research Perspective. *International Conference on Computing and Intelligence Systems*, 4, 1364-1367.
- TOP 20 websites in February 2019 (in Latvia), Gemius, available: <https://www.gemius.lv/all-reader-news/gemius-publice-interneta-lapu-top-20-februari-2019.html> [viewed 20.06.2020.]
- Van Dyk, R., Van Belle, J.-P. (2019). Factors influencing the intended adoption of digital transformation: A South African case study. *Computer Science and Information Systems*, 18, 519–528. DOI: 10.15439/2019F166
- World Economic Forum, the digital skills gap is widening fast. Here's how to bridge it, available <https://www.weforum.org/agenda/2019/03/the-digital-skills-gap-is-widening-fast-heres-how-to-bridge-it/> [20.08.2020]
- The paper was supported by the National Research Programme project "INTERFRAME-LV"

The Influence of Distributed Leadership on Ambidextrous Innovation: Mediating Role of Organizational Trust

Khadija Aya Hamza ¹

¹ Management and business studies, khadija.hamza@yahoo.fr, ORCID: 0000-0001-6762-5409

Abstract: The purpose of this study is to test the influence of distributed leadership on ambidextrous innovation which means the simultaneous use of exploitation innovation and exploration innovation, with the mediating role of organizational trust.

The research has two main objectives. First, it analyzes the relationship between distributed leadership and ambidextrous innovation. Second, it investigates the magnitude of organizational trust mediation role in the relationship between distributed leadership and ambidextrous innovation. Principal Component Analysis (PCA) and Partial Least Square (PLS) methods have been used to examine our primary data which has been collected from a distributed questionnaire dedicated to senior executives and middle managers as a part of quantitative research integrating 120 Tunisian companies specialized in the field of ICT. Our findings reveal that distributed leadership has a positive and significant effect on ambidextrous innovation and confirm the mediating role of organizational trust in that link.

These findings emphasize the importance of distributed leadership and organizational trust existence within companies to increase employee's motivation, sharing and feeling of autonomy and commitment to innovation projects.

Keywords: Leadership, Innovation, Distributed Leadership, Ambidextrous Innovation, Organizational Trust.

1. INTRODUCTION

It turned out that nowadays most of companies, choose to get involved in only one innovation activity which can be either exploitation or exploration, but the actual business environment is becoming increasingly unstable. This instability pushes companies to seek for new methods and new approaches to become more flexible and innovate more. One of these methods, we can cite the ambidextrous innovation where companies should conduct simultaneously exploration and exploitation business activities (Jansen et al., 2006). The literature related to this subject, has shown that a multitude of studies focused on the development of ambidextrous innovation determinants, like knowledge management practices (Darroche, 2005), learning (Bril, 2002), organizational culture (Denison and Mishra, 1995), and leadership styles (Bass, 1985; Burns, 1978). In this perspective, Berraies and Bchini (2019), highlighted that the ambidextrous leadership style, which is considered as a mixture between transactional leadership and transformational leadership optimizes ambidextrous innovation. They confirmed that this type of leadership is necessary to resolve conflicts and reconcile the paradox of the simultaneous combination of long-term experimental actions of exploration and actions of exploitation of short-term efficiency, while maintaining strategic coherence.

Regarding our study, we will particularly focus on distributed leadership, which is considered as a new type of leadership, mostly treated in studies related to education and still underdeveloped in business and management field, which resulted to a theoretical and empirical gap. It is for this reason; it could be interesting to study it and study its effect on ambidextrous innovation. Following this direction, Previous studies have shown that distributed leadership can facilitate spontaneous collaboration, intuitive relationships, as well as mutual support and sharing between members of different units and organizational levels (Gronn, 2002).

In addition, achieving ambidextrous innovation is not that easy, because it requires certain techniques, tools and skills and since the link between it and distributed leadership seems to be complex. Therefore, it is appropriate to study the variables that can mediate this relationship. Accordingly, apart from the fact that our study seeks to see the effect of distributed leadership on ambidextrous innovation, it will also study the mediating role of the organizational trust in that link. Adler et al., (1999), showed the importance of this variable in the relations between colleagues and mentioned that it is considered as a facilitating variable for ambidextrous innovation. It has a huge effect on increasing the level of creativity of employees and their commitment to ensure innovation activities.

Several studies investigated the effect of leadership styles on ambidextrous innovation, but little research was dealing with especially the effect of distributed leadership on ambidextrous innovation. Without forgetting that no previous research has studied the mediating role of organizational trust in the relationship between distributed leadership and ambidextrous innovation. That is why, our research offers both theoretical and empirical perspectives in accordance with the correlation between the studied variables. It aims to further explain three main concepts, which are the distributed leadership, innovation ambidexterity and organizational trust, as well as identifying the model demonstration of the relationship between them.

2. LITERATURE REVIEW

2.1. Distributed Leadership

The concept of leadership is as old as history (Asrar-ul-Haq and Anwar, 2018). According to Rost (1991), it has a wide range of definitions but a consensus on this matter has not been established yet (Berraies and Bchini, 2019). Our literature reveals that leadership theories have been refined and modified with passage of time and none of the theory was completely irrelevant (Zakeer *et al.*, 2016). First, trait theory was based on the characteristics of leaders and helps to predict the effectiveness of leadership styles (Allen, 1998; Mann, 1959; Fiedler, 1967; Kirkpatrick and Locke, 1991). Second, the behavioral theory placed a great emphasis on studying the determinants of a leader's behavior (McGregor, 1966; Blake and Mouton, 1994; Likert, 1967; Tannenbaum and Schmidt, 1973) and finally the situational theory, highlighted the importance of contextual factors like for example the type of work, type of external environment, characteristics of the followers, etc.. (Bass, 1981; Goldsmith 2003; Fiedler, 1967; House, 1971; Vroom and Jago, 1988). Despite the greatest efforts made by researchers, these classical theories had a limited utility with a minimalist recognition of the initial areas of leadership and the simplistic understanding of the interactions' natures, hence the appearance of modern theories containing the transactional and transformational approaches. Burns (1978), was the first researcher who made a distinction between these two leadership styles. He presented the transformational leadership as a process of motivating followers for their performance and predicting a clear future for them and presented the transactional leadership as a process of social exchange, which has an impact on the employee's performance in relation to the settled objectives.

The topic of leadership always remains a complex phenomenon. It presents several types, styles, modes and different forms. In this perspective, our study will focus mainly on distributed leadership style, which has been characterized as a collective form, where members can collect expertise by working together. Moreover, it does not have a clear definition yet, and this is due to its history. However, it is now widely used by researchers, especially in the educational field. This concept was rightly adopted as a research framework allowing understanding the set of leadership practices in an organization, including a formal and informal, planned and emerging activity (Lumby, 2019). "The distributed leadership exists when several people can take part in leadership activities to achieve common objectives in a shared context" (Spillane, 2006, p.7). It was also defined as "A practice where team members share the responsibility and participate fully in leadership tasks, such as setting goals and motivating." (Serban and Roberts, 2016, p.195). Distributed leadership is not limited to recognize that several people are involved in the practice of leadership, but also addresses their involvement in exploring interactions between individuals. In addition, it refers to these new theories, which try in a comparable way to resolve obstacles and discontent. This explains quite simply that no one directs and dictates the group, but rather all the members of the organization or the institution have the authority. The concept of distributed leadership has two main dimensions: First, the team management characteristics (Gronn, 2002; Spillane, 2006; Leithwood and Jantzi, 2000) including trust, communication and cooperation to ensure the cohesion. Second, there are the leadership functions that according to Hulpia *et al.*, (2010), it should contain the vision definition, people development (Leithwood *et al.*, 2004) and Monitoring.

As everyone knows, today's organizations are facing many challenges, such as achieving strategic desired goals, problem solving and the efficient use of scarce resources in a highly competitive environment. To achieve this, previous studies suggested that companies capable of applying the ambidextrous innovation are the best qualified to generate unachievable results and solve the most difficult problems.

2.2. Ambidextrous innovation

Innovation is never seen as phenomenon, but a long and cumulative process of many decision-making and organizational processes, going from the new idea's generation phase to the implementation phase (Urabe, 1988). Afuah (1998), classified innovation according to its nature as follow: technological innovation, market innovation and administrative innovation.

Several authors mentioned the situations of uncertainty that can arise during the development of innovative products and their marketing, by proposing two forms of innovation: organizational exploitation, where part of the product development corresponds closely to current knowledge of the company (Rahmouni and Yildizoglu, 2011; Benner and Tushman, 2003), and organizational exploration which consists of new technologies and new knowledge development (Benner and Tushman, 2003; Levinthal and March 1993; Jansen *et al.*, 2006; Lenfle, 2008). The concept of innovation was evolved according to many theories. Schumpeter's theory (1883-1950), introduced the term into the economic circuit which causes the "Economic Evolution" (Burger-Helmchen *et al.* 2016). Evolutionary theory, is where the researchers were able to present innovation as a process (Winter, 1987; Cooper *et al.*, 1979), then as a learning process (Tremblay, 2003; Rosenberg, 1982) and finally as a complex interactive process (Tremblay, 2003; Kline and Rosenberg, 1986). Open innovation theory aroused a great interest in recent years because companies must depend on external collaborations in terms of information and research continuously in processes, products and services and to increase competitive advantages over competitors (Chesbrough, 2017). Finally, the lead user's theory of Von Hippel (1986), postulated that main users can be used as a source of innovative products or services.

Regarding the ambidextrous innovation, it refers to the ability to simultaneously pursue two important activities which are exploration and exploitation (Fu *et al.*, 2018). Fourné *et al.*, (2019) defined it as a balance between exploration and exploitation in accordance with the concepts of compromise, this is the extent to which exploration and exploitation go hand in hand. This conceptualizes innovation as a complex and dynamic process through which companies try to develop capacities by exploring new resources or exploiting new combinations of resources. Exploration capacity is when a business begins to acquire, develop and apply new technological knowledge, resources and innovation skills, while exploitation capacity refers to the ability of a business to refine and develop new uses of existing knowledge, resources and skills to facilitate the constant improvement of innovation (Lisboa *et al.*, 2011). In previous research, the authors identified ambidextrous innovation as a dynamic form showing the power of a company to integrate, build and reconfigure internal and external skills to cope with rapidly changing environments. The ambidextrous innovation helps companies to improve both the effectiveness and efficiency of the company so they can increase the performance. This type of innovation has two forms. First, it can be considered as Structural ambidexterity which consists in separating the exploration from the exploitation and this in different organizational units (Duncan, 1976; Christensen and Bower, 1996; Benner and Tushman, 2003). Second, it can be considered as a contextual ambidexterity, which is based on the context and the organizational culture and focuses mainly on the search for contextual and behavioral explanations of the ambidexterity phenomenon Gibson and Birkinshaw (2004).

2.3. Effect of distributed leadership on ambidextrous innovation

Because of a constantly changing environment, numerous researchers showed that distributed leadership is there to improve the level of flexibility, coordination and allocation of resources (Lewis *et al.*, 2014). They stated that if an organization wants to achieve exploration innovation, leaders must adopt strategies that meet the needs of multiple competition and differentiation. Distributed leadership is then a dynamic ability that determines the level of holistic thinking in an organization that provides adaptation and strategic agility (O'Reilly and Tushman, 2008). It increases the organization's desire to assess and apply new technologies and skills, allows to pose challenges, take risks, and inspire others, which pushes members to be effective communicators, who can mobilize the commitment to realize the potential of radical innovation. Organizations often establish routines to maximize the efficiency of their business operations and improve innovation. In this line, distributed leadership encourages companies to use existing knowledge to improve their products in accordance with current organizational processes and practices (Lewis *et al.*, 2014). It empowers employees and increases their productivity in terms of innovation (Jansen *et al.*, 2009). Moreover, it emphasizes meeting organizational requirements and maintaining formal standards and focusing on the repeated use of experiences and practices aimed at improving work efficiency (Jansen *et al.*, 2009). For the sake of efficiency and coherence, distributed

leadership favors ways of doing things, implements routines that take advantage of past experiences when updating and refining existing innovations (Bass, 1990).

Thus, we can say that distributed leadership promotes knowledge sharing, which leads companies to effectively integrate new knowledge and it promotes the creation and refinement of knowledge associated with exploration and exploitation and therefore it can potentially help an organization to overcome the tension between the two types of innovation in different ways. From this perspective, we can deduce our first hypothesis:

H1: *Distributed leadership has a positive effect on ambidextrous innovation.*

2.4. Organizational trust

The attention on organizational trust topic has been increased recently in organization's studies and the agreed concept definition remains difficult to achieve. Trust is generally considered to be a dynamic phenomenon operating systematically within and between individuals, groups and organizations (Tschannen-Moran and Hoy, 2000). Organizational trust is strongly linked to individual human behavior and the effectiveness of the group within the organization. Indeed, organizational trust is conceptualized in different ways. It is most often associated with situations of personal conflict, uncertainty about the outcome, and problem solving. According to the conceptualization of Luhmann (1979), organizational trust represents the level of trust that an individual has towards another to act in a fair, ethical and predictable manner. Griffin (1987), defined organizational trust as "Relying on the characteristics of an object, or the occurrence of an event, or the behavior of a person in order to achieve a desired but uncertain goal" (Griffin, 1987, p.104). Organizational trust is then closely linked to the behavioral characteristics of workers, their jobs and their organizations. According to Argyris (1964), it is also positively associated with openness, the experimentation of new behaviors, and non-threatening comments on performance. It has an impact on the quality of group problem solving and decision making.

Adler et al., (1999), emphasized that organizational trust is seen as key sources of ambidexterity, it motivates members to rely on each other and on the whole organization. This means that the existence of justice and fairness in the involvement of individuals in the decision-making process and in the activities of the organization is very important. Creating an open culture where people are willing to take risks, trust and respect each other, and where they are able to learn and seek out opportunities, can be an effective way to foster the values, behaviors and norms that result in the exchange, synthesis and application of knowledge. In this sense, organizational trust can be a way to reach flexibility, openness, collaboration, and sharing. Seth and Sethi (2009), mentioned that organizational trust aims to encourage people to seek new ideas, new technologies and approaches that can lead to new and more radical products (Amabile, 1988). It would be wrong to assume that individuals in their discussions with each other limit their sharing only on ideas of exploitation or on ideas of exploration. Concretely, it is difficult, if it is impossible, to know in advance the result of an idea or if this will lead to a breakthrough or a more modest advance. Thus, this study suggests that the presence of an organizational trust culture is considered as very important for fostering exploitation and exploration capabilities with the potential to lead to a progressive and radical innovations. The existence of organizational trust in the company can facilitate the synthesis, exchange and application of the knowledge acquired internally and have external sources. This combination of practices becomes a learning ability that provides a competitive advantage for the organization by allowing it to engage in both exploitation and exploration (Gibson and Birkinshaw, 2004). We can then propose our second hypothesis:

H2: *Organizational trust has a positive effect on ambidextrous innovation.*

2.5. Mediating role of organizational trust

Perceived capacity or skill is essential for trusting organizational relationships between leaders, since members are unlikely to develop trust with each other unless they believe everyone can fulfill roles by distributing leadership functions (Whitener et al., 1998). Distributed leadership is also one of the cornerstones of organizational trust. The empirical support for this has not been really considerable, but some studies showed that distributed leadership has a positive effect on collaborators with regard to various criteria, such as justice, congruence, satisfaction, efficiency, extra-role behaviors and organizational learning (Garcia-Morales et al., 2006). Distributed leadership has generally been shown to be associated with organizational trust because it facilitates the development of Self-determination and

collective commitment to the vision. The mentioned leadership type leads to the perception of the best skills in terms of making good decisions (Kirkpatrick and Locke, 1991). Finally, from our literature review we can say that distributed leadership facilitates the development of organizational trust, because it involves concern for individuals and collective needs of employees as well as behavior in accordance with married values (Bass, 1985). In this perspective, we can deduce our third hypothesis:

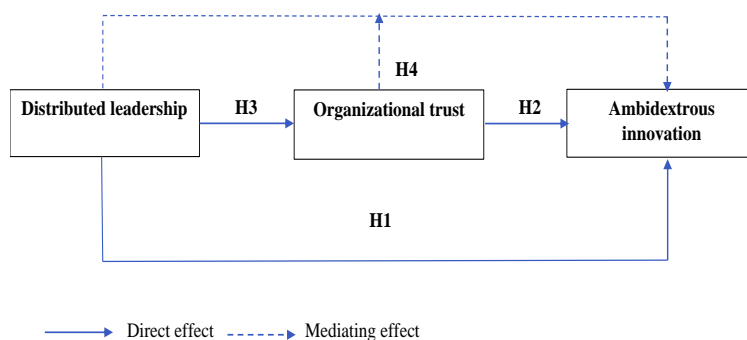
H3: *Distributed leadership has a positive effect on organizational trust.*

Creating and facilitating an environment based on organizational trust is necessary for learning led by the distributed leadership style (Taylor, 2000). High levels of satisfaction and performance undoubtedly require organizational trust. Simply adopting leadership behaviors does not guarantee that members will be satisfied or that they will be motivated to perform. Employees must trust the organization and the leader who will distribute the functions in order to make additional efforts to perform. If the collaborators believe that the leader is not really concerned about their well-being, integrity or he is incompetent they will have little chance of trusting him and therefore they will be dissatisfied and will not be motivated to cooperate fully, which will influence their creativity with the aim of innovating and ensuring both exploitation and exploration activities. Therefore, distributed leadership requires trust because of the uncertainty inherent in changing the quo status. In this perspective, we can say that organizational trust is important because it is a history of risky behavior (Mayer et al., 1995). In addition, employees need to trust each other to cooperate and fully engage in the common vision (Bass, 1985), as well as to respond positively to intellectual stimulation and ensure ambidextrous innovation. In this context, we can say that having organizational trust, would reduce transaction costs and can prevent opportunistic behaviors, so that companies can put more energy and resources, absorb and use the knowledge (Lane et al., 2001). Indeed, organizational trust boosted by a distributed leadership type can increase transparency, the initiative of interorganizational learning, creativity as well as innovation of exploitation and exploration simultaneously (Lane et al., 2001).

As a conclusion, it turned out from hypotheses H2 and H3, that the variable organizational trust is an important mediating variable regarding the relationship between distributed leadership and ambidextrous innovation. We can then deduct our fourth hypothesis:

H4: *Organizational trust mediates the positive relationship between distributed leadership and ambidextrous innovation.*

Figure 1: Research model



3. METHOD

3.1. Setting and data collection

In order to test our hypotheses, we realized a survey based on a questionnaire that was first pre-tested and next administrated to a sample of senior executives and middle managers working for companies specialized in the ICT field such as ICT companies, banks, insurance companies and business consultancy with different sizes, which are likely to put and implement both exploitation and exploration activities (Oehmichen et al., 2017) and require a distributed leadership style. We have targeted the senior executives and middle managers as respondents because they are the most involved ones in innovation decisions and the conception of innovation

ideas. We administered 120 questionnaires to nearly Tunisian companies specialized in the ICT field, but a total of 74 responses were received, integrating 71 usable responses, representing a recovery rate of 60 %.

Table 1: Sample demographics

Gender	Number	Percentage
Male	59	83.10%
Female	12	16.90%
Age		
Between 25 and 40	39	54.93%
Between 40 and 55	23	32.39%
More than 55	8	11.27%
Less than 25	1	1,41%
Activity sector		
Banking	26	36.62%
ICT	18	25.35%
Telecommunication	12	16.90%
Communication	9	12.68%
Technology	4	5.63%
Consulting	2	2.82%
Business Size		
Between 50 and 500 employees	25	35,21%
Less than 50 employees	10	14,08%
More than 500 employees	36	50,70%

(Table1) depicts the sample demographics. The sample integrates 59 men (83.10%), and 12 women (16.90%). This result is consistent, showing the limited presence of Tunisian women in top executives' positions and in boards of directors. Moreover, in terms of age, the results highlight that those who occupy the most senior management and middle manager positions in the mentioned types of companies, are of a certain age which is between 25 and 40 (54.93%). As for firms' sector of activity, the firms surveyed belong mostly to the banking sector (36.62%) and ICT sector (25.35 %). Finally, we noticed that most of the surveyed companies employ more than 500 employees (50,70%).

3.2. Measuring Instruments

In order to operationalize the research variables, we used multi-item measurement scales drawn from the literature. To measure the distributed leadership, we distinguished two main parts. The first part deals with the management functions of the team members, based on strength of vision, favorable leadership behavior (Hoy and Tarter, 1997), educational support and intellectual stimulation (Leithwood and Jantzi, 2000) and finally supervision. The second part focused on the team management characteristics, based on the ambiguity of roles (Rizzo *et al.*, 1970), group cohesion (Litwin and Stringer, 1968) and the degree of goal consensus (Staessens, 1990). To measure them, we chose a scale of ten items, five items for management functions and 5 items for team management characteristics. Regarding the ambidextrous innovation, we measured both types of innovation and we adopted the scales developed by Jansen *et al.* (2009) containing seven items for exploitation innovation and seven items for exploration innovation and finally for the organizational trust, we opted 4 items scale according to the theory of Nyhan and Marlowe (1997). The used questionnaire is provided in the Appendix.

The responses were based on a 5-point Likert scale ranging from 1 "strongly disagree" to 5 "strongly agree". Prior to hypotheses testing, we conducted both an exploratory factor analysis (EFA) via SPSS 21.0 and a confirmatory factor analysis using SMART PLS 3 (PLS: partial least squares) to test dimensionality and to assess the psychometric properties of the different constructs. Regarding EFA, we performed a principal component analysis (PCA) in the basis of Varimax rotation method (Table2). We eliminated items with low factor loadings (Hair *et al.*, 2010). The (table2) shows that the percentage of explained variance of all constructs generated by the PCA exceeds 50 per cent, which is considered as satisfactory (Hair *et al.*, 2010).

Table 2: Dimensionality and reliability of constructs

Construct	Number of items	Total explained variance (%)	Cronbach´s Alpha	Composite reliability	AVE
Ambidextrous Innovation	8		0.894	0.920	0.615
Distributed Leadership	7	84.947%	0.970	0.975	0.849
Organizational Trust	4	70,369%	0.849	0.901	0.703

Thereafter, we assessed reliability of constructs though the Cronbach Alpha index generated by the SMART PLS 3 software. **(Table2)** outlines that this index ranges from 0.849 to 0.970 and thus is greater than the cut-off of 0.7 suggested by Nunnally (1978). Thus, all scales have good quality reliability. To study the validity of the measurement scales, we also used the data collected by the Smart PLS 3 software which allowed us to determine the convergent validity as well as the discriminant validity of the measurement instruments. According to Fornell and Larcker (1981), the convergent AVE validity of measurement instruments can only be satisfactory if the degree of AVE of each variable is greater than 0.5. The **(table2)** shows that the convergent validity of the different constructs varies between 0.615 and 0.849, which shows the good convergent validity of the different measurement scales used for the dependent and independent variables. The discriminant validity accounts for the difference of a construct compared to the others. Indeed, the scale of measurement corresponding to a construct must not be strongly correlated with a scale of measurement of another construct. The measurement indicators that relate to a given construct explain the variance of it better than any other construct (Pupion, 2012). All the values on the diagonal of the **(table3)** below represent the square root of the mean variance extracted (AVE). These values are greater than the correlations between the variables taken two by two. As a result, the measuring instruments have good discriminant validity.

Table 3: Discriminant Validity

	AI	LD	CO
AI	0.784		
LD	0.727	0.922	
CO	0.612	0.380	0.838

AI: Ambidextrous Innovation, **LD:** Distributed Leadership, **CO:** Organizational Trust.

4. RESULTS

The structural equation model is a statistical model developed to carry out causal relationships, based on a theoretical model linking several measured concepts via observable indicators (Vinzi *et al.*, 2010). There are two types of techniques for modeling structural equations. We will first start with covariance-based techniques, which incorporate a confirmatory approach to data analysis such as LISREL, AMOS, EQS and MPLUS software. These techniques suffer from several flaws such as the need for a large sample size, the normality of the data, and having at least four indicators for each construction in order to execute a model in an appropriate manner (Davari and Rezazadeh, 2013). For the second type of modeling of structural equations, the techniques based on the components or the partial least squares (PLS), are techniques applying a different procedure to analyze the data containing models of measurement, structural models and finally a global model. Furthermore, this approach is considered necessary when it is not possible to carry out a method that relies on covariance for reasons of nonconforming data or when the data do not follow the normal distribution. In addition, it works well with a small sample size and it is possible to have single element constructions in the studied model (Davari and Rezazadeh, 2013). Thus, several software have been introduced to manage this technique such as PLS Graph, Warp PLS, and Smart PLS 3, represents one of the best PLS software in terms of user-friendly interface and analytical capabilities and extraordinary graphics, that's why we decided to use it for the analysis of our study data.

4.1. Quality of the model

It is essential to evaluate the quality of the model before testing the hypotheses formulated, and this via two indices which are, the GOF (Goodness of fit) index and the coefficient of determination (R²). If R is greater than 0.1, the model will therefore be significant. And this is the case for our study since the coefficient of determination of the two dependent variables ambidextrous innovation and organizational trust corresponds respectively to 0.645 and 0.108. In general, the term quality of fit (GOF) is associated with statistical tests of hypothetical models. Examples of such tests are found in most discussions of least squares theory and multivariate analysis.

The GOF calculation is done as follows:

$$\text{GOF} = \sqrt{[(\text{average of AVE}) * (\text{average R}^2)]}$$

It must be greater than 0.3, which is the case with our study: **GOF = 0.3196**. All these indices are detailed in (table4):

Table 4: GOF index calculation

Variable	AVE	R ²
Ambidextrous innovation		0.645
Distributed leadership	0.849	
Organizational trust		0.108
GOF= 0.3196		

4.2. Testing the direct effects

To test the hypotheses that we formulated in the theoretical part, we used the results of the Smart PLS 3 software and (Table 5) presents the findings.

Table 5: Test of direct effects

Hypotheses	Effect	β	T	P-Value
H1	Distributed leadership – Ambidextrous Innovation	0.572	5.739	0.000
H2	Organizational trust – Ambidextrous Innovation	0.312	2.741	0.006
H3	Distributed leadership – Organizational trust	0.380	3.063	0.002

β : Factorial contribution, T: Student's T, P-Value: Fisher's F

For Hypothesis H1, the analysis of data shows that distributed leadership has a positive and significant effect on ambidextrous innovation ($\beta = 0.572$; $T = 5.739 > 1.96$; $P\text{-Value} = 0.000 < 0.05$). Therefore, hypothesis H1 is confirmed.

For hypothesis H2, data analysis highlights that organizational trust has a positive effect on ambidextrous innovation ($\beta = 0.312$; $T = 2.741 > 1.96$; $P\text{-Value} = 0.006 < 0.05$). Therefore, the H2 hypothesis is confirmed.

For hypothesis H3, the analysis of data from the Smart PLS 3 software highlights that distributed leadership has a positive effect on organizational trust ($\beta = 0.380$; $T = 3.063 > 1.96$; $P\text{-Value} = 0.002 < 0.05$). Therefore, hypothesis H3 is confirmed.

As for the mediating effect in the research model, we adopted the method recommended by Baron and Kenny (1986). Indeed, this method is the most used in the mediation analysis and integrates four steps. The first condition is to establish that there is a significant relationship between the independent variables and the dependent variable without including the mediator variable. According to this, the independent variable (distributed leadership) must have a positive effect on the dependent variable (ambidextrous innovation). The

PLS results confirm that this relationship is positive and significant (β 0.572; $T = 5.739$, $P\text{-Value} = 0.000$). Next, in the second step of Baron and Kenny (1986)'s method, we must highlight that the independent variable significantly affects the mediating variable. In this perspective, the independent variable (distributed leadership) must have a significant effect on the mediating variable (organizational trust) ($\beta = 0.380$; $T = 3.063 > 1.96$; $P\text{-Value} = 0.002 < 0.05$) which is the case here according to the results presented in (table5) (significant positive effect). Then, in the third step, we must establish a significant link between the mediating variables and the dependent variable. Our mediating variable (organizational trust) has a significant positive effect on the dependent variable (ambidextrous innovation) according to our findings showed in (table 5) ($\beta = 0.312$; $T = 2.741 > 1.96$; $P\text{-Value} = 0.006 < 0.05$). According to Baron and Kenny (1986), the fourth step is to assess if the mediation is total or partial. If the regression coefficient highlighting the link between the independent variable and the dependent variable is equal to zero under the mediating effect, the mediation is total. In this line, the mediating variables should absorb a quantity of the direct effect or the entire effect. According to this we can say that in our study, the link between distributed leadership and ambidextrous innovation remained significant following the introduction of the organizational trust variable. This allows us to say that the variable organizational trust mediates the relationship between distributed leadership and ambidextrous innovation and therefore the H4 hypothesis is confirmed.

5. DISCUSSION

The objective of our research was to analyze the link between distributed leadership and ambidextrous innovation and see the role played by organizational trust as a mediating variable in that link. In the line of current stream of research that focused on organizational ambidexterity, we defend the idea that distributed leadership is a key factor to ambidextrous innovation. Results generated by the SMART PLS 3 software, showed that at the level of Tunisian companies specialized in the ICT field, distributed leadership has a positive and significant effect on ambidextrous innovation. These results converge with those generated by (Lewis et al., 2014; O'Reilly and Tushman, 2008; Jansen et al., 2009; Bass, 1998) studies mentioning that this kind of leadership can positively affect flexibility, agility and company's adaptation, which can help in overcoming the organization's inertia and respond to all the new environment challenges and daily changes and exactly promotes exploration innovation. They mentioned as well that it can support exploration innovation through learning flows when it comes to the organization's members motivation in sharing their intuitions, being curious and coming up with creative observations (Bass, 1998). Similarly, these results support partially the study of Jansen et al. (2009), who found that distributed leadership strengthens the existing strategies, emphasizes the increasing of the effectiveness of current practices and communicates benefits of improvements to existing innovation trajectories. In this sense, these findings corroborate the study of Crossan and Berdrow (2003), mentioning that according to the theory of organizational learning, distributed leadership facilitates the tension between exploration and exploitation, and the study of Somech et al., (2009), explaining the positive effect by the fact that distributed leadership favors the emergence of a cooperative management style, especially in conflict situations. Cooperative leadership style is a way to encourage the team members to listen carefully to each other's points of view and integrate opposing positions to find the right solutions. The distribution of roles, and participation in decision-making and the feeling of autonomy are also essential assets so that employees have a sense of belonging, which will subsequently increase the creativity leading to creation and the refinement of knowledge associated with exploration and exploitation innovations.

Moreover, our data analysis highlights that organizational trust is significantly and positively associated to ambidextrous innovation. This corroborates the study results of Hurley and Hult (1998), who encouraged companies to apply a culture of organizational trust, in order to push individuals to take risks, learn together and seek opportunities to ensure both exploitation and exploration innovations. Admittedly, we live today in a world where trust is no longer present because of the problems that each company could face, whether internally or externally. But this does not prevent that in each company it must be a certain trust level between colleagues to be more flexible, more open to collaboration and sharing. Today's authors encourage the presence of trust at the organizational level to facilitate the synthesis, exchange and application of knowledge acquired internally and externally. This combination of practices allows the organization to generate radical reports and incremental innovations simultaneously (Lawson et al., 2009). It can be then a learning ability that provides a competitive advantage for the organization. The field of ICT is a very broad and very rich field. The day when a company in this field thinks of exploiting existing products and services or exploring new ones, this implies a great effort from the members of the company and a very significant risk taking. It is for this reason that each company must ensure a certain organizational trust culture to promote the commitment of

employees to these innovation activities, to be more competitive and to distinguish itself from competitors, and according to these practices that researchers have tried to explain the confirmation of this assumption.

Regarding the significant result showing the positive effect of distributed leadership on organizational trust, demonstrated in the testing part of our study, it corroborates the study of Kouzes and Posner (1993), who showed that distributed leadership is one of the cornerstones of organizational trust. Since self-determination and collective commitment to the vision ensured by distributed leadership increases organizational trust. As well, distributed leadership leads to the perception of the best skills in terms of making good decisions and having the ability to achieve the vision which can thus increase the employee's organizational trust. Marrying and embodying common values leads employees to identify and admire their roles, which also increases their confidence. Individualized and collective consideration (i.e. being concerned for the well-being of everyone and meeting all individual and collective needs) means that employees believe that everyone cares about each other's like humans rather than a means. Therefore, this will automatically increase the organizational trust.

From our findings we could make a conclusion that distributed leadership type favors the organizational trust, which in turn improves the ambidextrous innovation, this means that organizational trust significantly mediates the link between the two variables. This result corroborates the study of Taylor (2000), showing that the creation and facilitation of an environment based on organizational trust is necessary for learning led by the distributed leadership style. Taylor mentioned that if the leader is not concerned with sharing and distributing the functions of leadership with his collaborators and that he is not concerned with the well-being, integration and participation of collaborators in decision-making, the latter will not trust each other and therefore they will be less motivated to innovate, unhappy and their learning process will decrease which will certainly affect their creativity thereafter. Certainly, the Tunisian employee always has the need for concern, recognition and the possession of a certain power to feel that his/her presence and his/her value in the company. Therefore, this power will allow him/her to have trust in everything and subsequently motivate him/her to innovate and to be more creative, more independent and more committed to innovation projects. Therefore, the introduction of the organizational trust variable will boost the practices of distributed leadership which will certainly have a positive effect on ambidextrous innovation.

6. CONCLUSION

A lot of studies focused on the determinants of innovation. One of the developed ideas was addressed to the effect of leadership on innovation. However, the literature review shows that little studies was attempted to define this relationship empirically. Furthermore, few studies have highlighted the relationship between distributed leadership and ambidextrous innovation. It is for this reason, that this research was aimed to see the degree of influence of distributed leadership on ambidextrous innovation and the mediating role of organizational trust in that link.

From our literature review, we were able to understand that distributed leadership is considered as a new concept, where it has a positive and significant effect on ambidextrous innovation. After carrying out a survey of a set of Tunisian companies specialized in the ICT field, following a questionnaire intended for senior executives and middle managers, we were able to bring out a new fact, mentioning that organizational trust can play a mediating role between distributed leadership and ambidextrous innovation variables, which means that sharing leadership functions, creates a feeling of belonging, autonomy and motivation among the employees, which can positively affect their organizational trust and subsequently they become more and more creative. This mediating role has not really been developed yet in previous research.

6.1. Theoretical implications

This study contributes to the innovation literature in three important areas. First, our study found that distributed leadership fosters the ambidextrous innovation, unlike previous studies that have focused on just one type of innovation, either exploitation or exploration. Our research has clearly revealed and confirmed the mediating effect of organizational trust that no previous research had the chance to confirm it. The ambidexterity that we have talked about throughout our research, uses appropriate technologies and cultural environments to improve the intellectual capital and performance of an organization. These results contribute to the literature on learning, organizational trust and innovation within organizations by providing new information on the role of distributed leadership in promoting the ambidextrous innovation and the mediating role of organizational trust.

6.2. Managerial implications

The results of this study have three consequences for managers and organizations. First, organizations are motivated to use a distributed leadership model to achieve the ambidextrous innovation. Several trends in the design, use and structure of the organization underscore the importance of distributed leadership. The complexity and ambiguity often encountered by organizations make it impossible for a single leader to successfully perform all the necessary leadership functions. Second, existing research on teamwork emphasizes the organizational trust work that motivates people. Indeed, Employees must have a certain organizational trust to increase their motivation, sharing and feeling of autonomy and commitment to innovation projects to be more creative and apply their knowledge and skills in favor of innovation. As a result, employees have more opportunities to shape and participate in leadership functions to ensure the organization's ambidextrous innovation. Third, flat organizational structures and the widespread presence of self-directed teams emphasize the need for leadership from the whole team or organization rather than from the single individual leading a hierarchical structure. Indeed, the distributed leadership model is an inspiration in times of change.

6.3. Limitations and research perspectives

Although this work allowed us to achieve our objectives as well as to respond to our research problem by obviously making very important managerial and theoretical contributions, there are certainly some limits that should be considered in the future studies. First, regarding this hard and complex situation of Coronavirus pandemic, we faced a problem in finding a maximum number of respondents especially because of the lockdown state where a lot of companies closed or sent their employees to work from home and it was not easy for us to collect as much replies as we can to our questionnaire dedicated to the senior executives and middle managers. However, finding the maximum number of respondents makes the search more valid and reliable. Then, this study is limited by the sampling method used, which consists of collecting data only from companies specialized in the ICT field. The hypotheses have been confirmed in the context of these industries, but our sample limits the possibility of generalizing these results to other industries. Future research should cover more industries and businesses than those in our sample. Third, although we have taken great care to minimize the common method and the bias of a single respondent, future studies may attempt to provide longitudinal analysis in order to increase confidence in the causal claims of our model. Another issue that would benefit from the efforts of business leaders aimed to apply this study to other countries, including developed and emerging economies, to determine whether the conclusions may be valid in other contexts or not. It would also be interesting to integrate other moderating or mediating variables into our research model. Finally, it would also be interesting to carry out a qualitative study in addition to a quantitative study.

REFERENCES

- Ahmed, Z., Nawaz, A., & Khan, I. (2016). Leadership Theories and Styles: A Literature Review. *Journal of Resources Development and Management*, 16.
- Adler, P., Goldoftas, B., & Levine, D. (1999). Flexibility versus efficiency? A case study of model changeovers in the Toyota production system. *Organization Science*, 10 (1), 43-68. doi.org/10.1287/orsc.10.1.43
- Afuah, A. (1998). *Innovation management: Strategies, implementation and profits*. New York: Oxford University Press.
- Allen, D. W. (1998). How nurses become leaders: Perceptions and beliefs about leadership development. *Journal of Nursing Administration*, 28 (9), 15-20. doi: 10.1097/00005110-199809000-00005
- Amabile, T. (1988). A model of creativity and innovation in organizations. *Research in Organizational Behavior*, 10, 123-67.
- Argyris, C. (1964). *Integrating the individual and the organization*. New York: John Wiley.
- Asrar-ul-Haq, M., & Anwar, S. (2018). The many faces of leadership: Proposing research agenda through a review of literature. *Future Business Journal*, 4 (2), 179-188. doi.org/10.1016/j.fbj.2018.06.002
- Baron, R. M., & Kenny, D. A. (1986). The moderator-mediator variable distinction in social psychological research: Conceptual, strategic, and statistical considerations. *Journal of Personality and Social Psychology*, 51, 1173-1182. doi: 10.1037//0022-3514.51.6.1173
- Bass, B. M. (1985). *Leadership and performance beyond expectation*. New York: Free Press.
- Bass, B.M. (1981). *Stogdill's Handbook of Leadership: A Survey of Theory and Research* (revised and expanded version). The Free Press, New York.
- Bass, B.M. (1990). *Bass and Stogdill's Handbook of Leadership: Theory, Research and Managerial Applications*. New York: Free Press.
- Benner, M. J. & Tushman, M. L. (2003). Exploration, exploitation, and process management: the productivity dilemma revisited. *Academy of Management Review*, 28 (2), 238-56. doi: 10.2307/30040711

- Berraies, S., & Bchini, B. (2019). Effect of leadership styles on financial performance: Mediating role of exploitative and Exploratory innovations case of knowledge-intensive firms. *International Journal of Innovation Management*. doi: 10.1142/s1363919619500208.
- Blake, R., & Mouton, J. (1964). *The Managerial Grid: The Key to Leadership Excellence*. Houston, TX: Gulf Publishing Company.
- Bril, B. (2002). Apprentissage et contexte. *Intellectica*, 35(2), 251-268. doi: 10.3406/intel.2002.1669
- Burger-Helmchen T., Hussler C., & Cohendet P. (2016). *Les grands auteurs en management de l'innovation et de la créativité*. EMS Editions.
- Burns, J. (1978). *Leadership*. New York: Harper & Row.
- Chesbrough, H. (2017). The Future of Open Innovation: The future of open innovation is more extensive, more collaborative, and more engaged with a wider variety of participants. *Research-Technology Management*, 60 (1), 35-38. doi.org/10.1080/08956308.2017.1255054
- Christensen, C. M. & Bower, J. L. (1996). Customer power, strategic investment, and the failure of leading firms. *Strategic Management Journal*, 17 (3), 197-218. doi.org/10.1002/(SICI)1097-0266(199603)
- Cooper, R. G., & More, R. A. (1979). Modular risk management: an applied example. *R&D Management*, 9 (2), 93-99. doi: 10.1111/j.1467-9310.1979.
- Crossan, M. M., & Berdrow, I. (2003). Organizational learning and strategic renewal. *Strategic Management Journal*, 24 (11), 1087-1105. doi.org/10.1002/smj.342
- Darroche, J. (2005). Knowledge management, innovation and firm performance. *Journal of Knowledge Management*, 9 (3), 101-115. doi.org/10.1108/13673270510602809
- Davari, A., & Rezazadeh, A. (2013). Structural equation modeling with PLS. *Tehran: Jahad University*, 215 (2), 224. doi.org/10.1108/EBR-10-2013-0128
- Denison, D. R., & Mishra, A. K. (1995). Toward a theory of organizational culture and effectiveness. *Organizational Science*, 6(2), 204-223. doi: 10.1287/orsc.6.2.204
- Duncan, R.B. (1976). The ambidextrous organization: Designing dual structures for innovation. In R. H. Kilmann, L.R. Pondy and D. Slevin (eds.), *the management of organization design: Strategies and implementation*. New York: North Holland.
- Fiedler, F. E. (1967). *A theory of leadership effectiveness*. New York: McGraw-Hill.
- Fornell, C., & Larcker, D. F. (1981). Evaluating structural equation models with unobservable variables and measurement error. *Journal of marketing research*, 18 (1), 39-50. doi: 10.2307/3151312
- Fourné, S. P. L., Rosenbusch, N., Heyden, M. L. M., & Jansen, J. J. P. (2019). Structural and contextual approaches to ambidexterity: A meta-analysis of organizational and environmental contingencies. *European Management Journal*. doi: 10.1016/j.emj.2019.04.002.
- Fu, L., Liu, Z., & Liao, S. (2018). Is distributed leadership a driving factor of innovation ambidexterity? An empirical study with mediating and moderating effects. *Leadership & Organization Development Journal*, 39 (3), 388-405.
- Garcia-Morales, V., Llorens-Montes, F. & Verdu-Jover, A. (2006). Antecedents and consequences of organizational innovation and organizational learning in entrepreneurship. *Industrial Management & Data Systems*, 106 (1-2), 21-42. doi.org/10.1108/02635570610642940
- Gibson C.B. & Birkinshaw J. (2004). The Antecedents, Consequences and Mediating Role of Organizational Ambidexterity. *Academy of Management Journal*, 47 (2), 209-226. doi.org/10.5465/20159573
- Goldsmith, M. (2003). *The many facets of leadership*. Upper Saddle River, NJ: Financial Times/Prentice Hall.
- Griffin, R. W., Skivington, K. D., & Moorhead, G. (1987). Symbolic and International Perspectives on Leadership: An Integrative Framework. *Human Relations*, 40 (4), 199-218. doi: 10.1177/001872678704000402
- Gronn P. (2002). Distributed leadership as a unit of analysis. *Leadership Quarterly*, 13 (4), 423-451. doi: 10.1016/S1048-9843(02)00120-0
- Hair, J., Hult, G., Ringle, C., & Sarstedt, M. (2014). *A Primer on Partial Least Squares Structural Equation Modeling (PLS-SEM)*. Thousand Oaks (CA): Sage Publications.
- House, R.J. (1971). A Path Goal Theory of Leader Effectiveness. *Administrative Science Quarterly*, 16 (3), 321-339. doi: 10.2307/2391905
- Hoy, W. K., & Tarter, C. J. (1997). *The road to open and healthy schools: A handbook for change*. Thousand Oaks, CA: Corwin Press.
- Hulpia, H., Devos, G., & Van Keer, H. (2010). The Influence of Distributed Leadership on Teachers' Organizational Commitment: A Multilevel Approach. *The Journal of Educational Research*, 103 (1), 40-52. doi: 10.1080/00220670903231201
- Hurley, R. F., & T. M. Hult. (1998). Innovation, market orientation, and organizational learning: An integration and empirical examination. *Journal of Marketing*, 62 (3), 42-54. doi: 10.2307/1251742
- Jansen, J. J. P., Van Den Bosch, F. A. J. & Volberda, H. W. (2006). Exploratory innovation, exploitative innovation, and performance effects of organizational antecedents and environmental moderators. *Management Science*, 52(11), 1661-1674. doi: 10.1287/mnsc.1060.0576
- Jansen, J.J.P, Vera, D., & Crossan, M. (2009). Strategic leadership for exploration and exploitation: The moderating role of environmental dynamism. *The Leadership Quarterly*, 20 (1), 5-18. doi.org/10.1016/j.leaqua.2008.11.008

- Kirkpatrick, S. & Locke, E. (1991). Leadership: do traits matter?. *Academy of Management Executive*, 5 (2), 48-60. doi.org/10.5465/ame.1991.4274679
- Kline, S., & Rosenber, G. (1986). An overview of innovation, In: Landau, R., Rosenberg, N. (eds), *The Positive Sum Strategy: Harnessing Technology for Economic Growth*, Washington, DC, National Academy Press, pp. 275-305.
- Kouzes, J. and Posner, B. (1993). *Credibility: How leaders Gain and Lose It, and Why People Demand It*. Jossey-Bass, San Francisco, CA.
- Lane, P.J., Salk, J.E., & Lyles, M.A., (2001). Absorptive capacity, learning, and performance in international joint ventures. *Strategic Management Journal*, 22 (12), 1139-1161. doi.org/10.1002/smj.206
- Lawson, B., K. J. Petersen, P. D. Cousins, & R. B. Handfield. (2009). Knowledge sharing in Interorganizational product development teams: The effect of formal and informal socialization mechanisms. *Journal of Product Innovation Management*, 26 (2), 152-172. doi.org/10.1111/j.1540-5885.
- Leithwood, K., & Jantzi, D. (2000). Transformational school leadership effects: A replication. *School Effectiveness and School Improvement*, 10 (4), 451-479. doi.org/10.1076/sesi.10.4.451.3495
- Leithwood, K., Louis, K. S., Anderson, S., & Wahlstrom, K. (2004). *How leadership influences student learning (Executive Summary)*. New York: The Wallace Foundation; University of Toronto, Ontario Institute for Studies in Education; and University of Minnesota, Center for Applied Research and Educational Improvement.
- Lenfle, S. (2008). Exploration and project management. *International Journal of Project Management*, 26 (5), 469-478. doi.org/10.1016/j.ijproman.2008.05.017
- Levinthal, D. A. & March, J. G. (1993). The myopia of learning. *Strategic Management Journal*, 14 (2), 95-112. doi.org/10.1002/smj.4250141009
- Lewis, M. W., Andriopoulos, C., & Smith, W. K. (2014). Paradoxical leadership to enable strategic agility. *California Management Review*, 56 (3), 58-77. doi.org/10.1525/cmr.2014.56.3.58
- Likert, R. (1967). *The human organization: its management and values*. New York: McGraw-Hill.
- Lisboa, A., Skarmeas, D., & Lages, C. (2011). Entrepreneurial orientation, exploitative and explorative capabilities, and performance outcomes in export markets: A resource-based approach. *Industrial Marketing Management*, 40 (8), 1274-1284.
- Litwin, G. H., & Stringer, R. A. (1968). *Motivation and organizational climate*. Boston: Harvard University.
- Luhmann, N. (1979). *Trust and Power: Two works by Niklas Luhmann*. Brisbane: John Wiley and Sons.
- Lumby, J. (2019). Distributed Leadership and bureaucracy. *Educational Management Administration & Leadership*, 47 (1), 5-19. doi.org/10.1177/1741143217711190
- Mann, R. D. (1959). A review of the relationships between personality and performance in small groups. *Psychological Bulletin*, 56 (4), 241-270. doi.org/10.1037/h0044587
- Mayer, R. C., Davis, J. H., & Schoorman, F. D. (1995). An Integrative Model Of Organizational Trust: Past, present, and future. *Academy of Management Review*, 20 (3), 709-734. doi: 10.5465/AMR.2007.24348410
- McGregor, D. M. (1966). *Leadership and Motivation*. Cambridge, MA: MIT Press.
- Nunnally, J.C., & Bernstein, I.H. (1994). *Psychometric Theory*. New York: McGraw-Hill.
- Nyhan, R. C., & Marlowe, H. A. (1997). Development and Psychometric Properties of the Organizational Trust Inventory. *Evaluation Review*, 21 (5), 614-635. doi.org/10.1177/0193841X9702100505
- O'Reilly, C. A., & Tushman, M. L. (2008). Ambidexterity as a dynamic capability: Resolving the innovator's dilemma. *Research in Organizational Behavior*, 28, 185-206. doi.org/10.1016/j.riob.2008.06.002
- Oehmichen, J., Heyden, L.M.M, Georgakakis, D., & Volberda, H.W (2017). Boards of directors and organizational ambidexterity in knowledge-intensive firms. *The International Journal of Human Resource Management*, 28 (2), 283-306. https://doi.org/10.1080/09585192.2016.1244904
- Pupion, P.C., (2012). *Statistiques pour la gestion: applications avec Excel, SPSS, Amos et SmartPLS*. Dunod.
- Rahmouni, M., Yildizoglu, M. (2011). Motivations et déterminants de l'innovation technologique: Un survol des théories modernes. Working papers.
- Rizzo, J. R., House, R. J., & Lirtzman, S. I. (1970). Role conflict and ambiguity in complex organizations. *Administrative Science Quarterly*, 15 (2), 150-163. doi.org/10.2307/2391486
- Rosenberg, N. (1982). *Inside the Black Box: Technology and Economics*. Cambridge: Cambridge University Press.
- Rost, J. C. (1991). *Leadership for the twenty-first century*. New York: Praeger.
- Schumpeter, J.A. (1911). *The Theory of Economic Development*. Harvard University Press, Cambridge.
- Serban, A. & Roberts, A. (2016). Exploring antecedents and outcomes of shared leadership in a creative context: a mixed-methods approach. *Leadership Quarterly*, 27, 181-199. doi.org/10.1016/j.leaqua.2016.01.009
- Seth, R., & A. Sethi. (2009). Can quality-oriented firms develop innovative new products?. *Journal of Product Innovation Management*, 26 (2), 206-21. doi: 10.1111/j.1540-5885.2009.00346.x
- Somech, A, Desivilya H.S, & Lidogoster A.H. (2009). Team conflict management and team effectiveness: the effect of task interdependence and team identification. *Journal of Organizational Behavior*, 30 (3), 359-378. doi: 10.1002/job.537
- Spillane, J. P. (2006). *Distributed leadership*. San Francisco: Jossey-Bass.

Staessens, K. (1990). De professionele cultuur van basisscholen in vernieuwing. Een empirisch onderzoek in V.L.O.- scholen, The professional culture of improving elementary schools. An empirical research in VLO-schools. Unpublished doctoral dissertation, KULeuven, Belgium.

Tannenbaum, R., & Schmidt, W.H. (1973). How to Choose a Leadership Pattern. *Harvard Business Review*, 51, 162-180.

Taylor, E. (2000). Analyzing research on transformative learning theory, in Mezirow, J. and Associates (Eds), *Learning as Transformation: Critical Perspectives on a Theory in Progress*, Jossey-Bass, San Francisco, CA, pp. 185-217.

Tremblay, (2003). N. A. L'autoformation, pour apprendre autrement. Montréal: Presses de l'Université de Montréal.

Tschannen-Moran, M., & Hoy, W. K. (2000). A Multidisciplinary Analysis of the Nature, Meaning, and Measurement of Trust. *Review of Educational Research*, 70 (4), 547-593. doi: 10.2307/1170781

Urabe, K. (1988). *Innovation and the Japanese management system*. Berlin: Walter de Gruyter.

Vinzi, V. E., Trinchera, L., & Amato, S. (2009). PLS Path Modeling: From Foundations to Recent Developments and Open Issues for Model Assessment and Improvement. *Handbook of Partial Least Squares*.

Von-Hippel, E. (1986). Lead users: a source of novel product concepts. *Management Science*, 32 (7), 791–805. doi:10.1287/mnsc.32.7.791

Vroom, V.H. and Jago, A.G. (1988). *The New Leadership: Managing Participation In Organizations*. Prentice-Hall, Englewood Cliffs, New Jersey.

Whitener, E., Brodt, S., Korsgaard, M. & Werner, J. (1998). Managers as initiators of trust: an exchange relationship framework for understanding managerial behavior. *Academy of Management Review*, 23 (3), 513-30. doi.org/10.5465/amr.1998.926624

Winter, S.G. (1987). Knowledge and competence as strategic assets. In: D.J. Teece, ed., *The competitive challenge: Strategies for industrial innovation and renewal*. Cambridge, Mass.: Ballinger.

APPENDIX

Distributed leadership

<i>Questions</i>	<i>Answers</i>				
The leader sets out a long-term vision for the management team.	1	2	3	4	5
The leader discusses the vision of the organization.	1	2	3	4	5
The leader compliments the employees.	1	2	3	4	5
The leader helps employees.	1	2	3	4	5
The leader explains his criticism to the collaborators.	1	2	3	4	5
The leader is available after working hours to help employees when needed.	1	2	3	4	5
The leader watches over the personal well-being of employees.	1	2	3	4	5
The leader encourages the pursuit of the employees' own professional learning objectives.	1	2	3	4	5
The leader encourages to try new practices compatible with the employees' own interests.	1	2	3	4	5
The leader provides organizational support for the integration of employees.	1	2	3	4	5
The leader assesses the performance of employees.	1	2	3	4	5
The leader participates in the collective assessment of employees.	1	2	3	4	5
The leader participates in the formative evaluation of employees.	1	2	3	4	5

Ambidextrous Innovation

<i>Questions</i>	<i>Answers</i>				
Our unit accepts requests that go beyond existing products and services.	1	2	3	4	5
We regularly seek and approach new customers in new markets.	1	2	3	4	5
We market completely new products and services in our unit.	1	2	3	4	5
We are experimenting with new products and services in our local market.	1	2	3	4	5
We invent new products and services.	1	2	3	4	5
Our unit regularly uses new distribution channels.	1	2	3	4	5

We frequently use new opportunities in new markets.	1	2	3	4	5
We frequently refine the supply of existing products and services.	1	2	3	4	5
We are introducing improved but existing products and services for our local market.	1	2	3	4	5
We regularly implement small adaptations to existing products and services.	1	2	3	4	5
We are increasing economies of scale in existing markets.	1	2	3	4	5
Reducing the costs of internal processes is an important objective.	1	2	3	4	5
We are improving the efficiency of our provision of products and services.	1	2	3	4	5
Our unit extends services to existing customers.	1	2	3	4	5

Organizational Trust

<i>Questions</i>	<i>Answers</i>				
I have a great confidence that the organization will treat me and my staff fairly.	1	2	3	4	5
The level of trust between workers and super-reviewers is very high in our organization.	1	2	3	4	5
The level of trust between the people I work with on a regular basis is very high.	1	2	3	4	5
The degree to which we can depend on each other in this organization is very high.	1	2	3	4	5

Financing Of Sports By Municipalities

Kiril Borissov, PhD¹

¹College of Healthcare and Sports -Plovdiv

Abstract: The role of municipalities in the development of sports is significant and therefore the municipalities rely heavily on creating the best conditions for the development of grassroots sports. There are different traditions in different countries around the world and different experiences have been established regarding the organization and financing of sports in municipalities. The publication reviews good practices in developed countries regarding the financing of sports. A comparative analysis with the practice of the Bulgarian municipalities for the development of sports is made and conclusions are made for increasing the efficiency of the used municipal funds for sports.

Key words: grassroots sport in municipalities, financing sports by local authorities, sport facilities, ratio between government and local financing of sports.

Introduction

The analysis of the foreign experience for the participation of the local authorities in the management of sports, despite the big differences in the different countries, allows to conclude that the local authorities in their activity give priority to the following directions of sports activity: school and student sports; mass sports for different groups of the population, especially women, the elderly, people with disabilities; construction, modernization and maintenance of sports facilities; support for high-performance sports, team sports and highly qualified athletes; assistance to sports clubs. Given that the tasks to be solved by local authorities are very different in different countries, their characteristics and analysis should be shown separately by country.

1. Review of the experience of developed countries in financing sports at the municipal level

In the UK, local authorities have four main tasks:

- 1) improving the sports and leisure services offered by the various organizations in the city or district;
- 2) coordination of the sports and leisure activities with the measures for protection of the environment;
- 3) improving the awareness of citizens about the services provided, including in the field of physical education and sports;
- 4) flexibility in the provision and management of leisure and sports services so that citizens can develop independently.

In the UK, the responsibility of local authorities for the development of sport is mainly linked to the responsibility for active recreation of citizens. The components of active recreation usually include sports and all kinds of physical activity, recreation in nature, children's games, cultural events, tourism, organization of leisure time of youth and the whole population.

The local government not only deals with direct supply in the field of sports and leisure, it also provides support to private, voluntary, commercial organizations, when their activities are for the benefit of the population. The assistance provided is mainly of two types: the first consists in making sports facilities available to people for a fee or free of charge, and the second in exchange for financial deductions. Local departments and divisions of education support organizations that deal with leisure and leisure time for young people and the entire local population. This is done through the schools, using their sports facilities in extracurricular time to organize activities for young people living in the surrounding areas. But the main concern of local authorities is the support of the activities of sports clubs and health centers, which is expressed in the distribution of subsidies, primarily for staff remuneration.

The brief analysis of the structure of local government expenditures for the development of leisure and active recreation shows that much of the financial and human resources are focused on traditional types of activities, namely: development of the network of fitness clubs and improvements in urban parks. Municipal authorities are trying to attract funding for sports and the private sector. However, not all sports leaders in the UK have

the same attitude towards attracting the private sector to finance sports on the ground, as the volume of state subsidies decreases in proportion to the absorption of private capital.

Of particular interest is the private sector in the operation of municipal sports facilities and the provision of sports and rehabilitation services. This initiative of the local government, known as the British one, is carried out on a competitive basis. Currently, more than 20% of public facilities are managed by private organizations. Pursuing a policy for the development of mass sports, it is necessary to ensure the return on investment, as well as to guarantee the interests of the municipality. The development of sports activities as an integral part of the strategy for recreation and leisure of municipalities is a profitable and necessary business. Financially, fitness clubs in the UK are independent structures. They have their own budget, their own financial control and accountability. The main source of income for sports clubs are sponsorship (mainly from local companies), donations or subsidies from public organizations, fundraising events (including charity events), membership fees. Special programs are being developed to attract new members. There is a specific scale of priorities, among which the main attention is paid to advertising campaigns for different age groups, the printing and distribution of brochures and flyers, as well as the control of the effectiveness of activities.

The governments of the federal states in Germany work closely with the federal government and national sports organizations, as well as with cities and municipalities. According to their autonomy, organizational issues in the provinces are resolved differently. There are various sports support programs in the country, which differ in historical, financial and territorial features. These programs solve four main tasks in the federal states:

- assistance in the construction of sports facilities;
- development of sports in schools and universities;
- assistance to sports organizations and clubs;
- aid for special target groups.

The main task is to ensure equal conditions for sports in different settlements. The development of sport in the provinces depends on the historical traditions, the financial situation and the attitude of the provincial government towards sport. An important place in the activities of the provinces is occupied by the assistance of sports organizations. Such assistance is provided only when there are not enough own funds and opportunities to solve the problems of these organizations. Depending on the support system, subsidies are provided to sports organizations for both grassroots and high-performance sports. The subsidies are for payments to the administration, purchase of sports equipment, for travel of competitors to competitions, for training activities and organization of competitions.

Of great importance is the financial support of sports organizations for training and retraining, as well as for the remuneration of instructors, coaches, competition organizers. The provinces allocate significant funds for all this every year. In all provinces in recent years are actively funded sports activities for people in special groups - the disabled, the elderly, prisoners and others. The programs "Sport as a disease prevention", "Sport for foreigners", "Sport for prisoners" are being implemented.

The Conference of Ministers of Sport of the Provinces announced the provision of assistance to these special groups as one of the main objectives of state funding. Municipal authorities in counties, cities and municipalities are the main assistants to the activities of sports clubs. Municipalities and cities provide municipal sports facilities free of charge to sports clubs, despite the significant costs of their maintenance and high rents, with the exception of swimming pools and sports facilities, which are used inefficiently.

The Congress of the German Gymnastics Union in 1994 demanded the inclusion in the statutes of the territorial municipalities of the point "promotion of sports", which is still mandatory for municipalities. In German municipalities on key issues for the promotion of sport, decisions are made by the Municipal Council, which is increasingly becoming a body for ratification of political decisions. According to a survey of sports department heads, local party organizations, whose leaders often head public sports organizations, have a strong influence on sports policy decisions. According to their autonomy, organizational issues in the provinces are decided differently. There are also different forms of promoting sports. If one province allocates targeted funds to promote sport, others - determine determine this through the budget.

The second aspect of supporting sport is the construction of sports facilities, but specifically in schools and universities, and the remuneration of physical education teachers in secondary schools. These include activities

to improve the qualifications of physical education teachers, the system of school sports competitions (such as the All-German Youth Games and the Youth Preparing for the Olympic Games), sports days and school sports holidays, and the promotion of young people. talents and collaboration between schools and sports clubs.

Aid to sports organizations is the third largest aspect of the promotion of sport by the provinces. The so-called institutional assistance must be distinguished from assistance under projects and programs. Depending on the aid scheme, contributions to sports organizations for the general purposes of grassroots and competitive sports (including management costs) are made through the provincial budget or directly as deductions from sports lotteries, within the provincial budget. This support scheme also includes the training and retraining of staff in the form of remuneration of instructors, leaders of youth organizations, specialists in sports for people with disabilities and sports with higher achievements.

Assistance for special target groups is targeted assistance from public institutions and groups that dedicate their activities to sports insurance for socially vulnerable members of society. These are sports for adults, sports for prisoners, sports for drug addicts, sports

The tasks that are solved by the local authorities in **Spain** can be illustrated by the example of the province of Catalonia. According to Article 38 of the Sport Act 1988 in Catalonia, the competences of the municipalities include: issues of: a) the general development of physical culture and sport in autonomy, especially school sport, the promotion of extracurricular sports activities and physical culture for health-improving purposes ; b) construction and modernization of sports facilities; (c) supervision of the maximum possible use of existing sports facilities; d) cooperation with all public and private institutions for the performance of the tasks determined by this law. The law of Catalonia prescribes the municipalities to implement the sports and health policy and the development of physical culture and sports, aimed at the maximum full use of sports facilities located in the municipalities and subordinate to them. Municipalities with a population of more than 20,000 inhabitants in accordance with the Law on Local Self-Government have sports facilities for public use with staff to provide sports and rehabilitation services.

The main trend of the sports management at the municipal level is the pursuit of decentralization, namely - the creation of regional councils, managing and controlling the sports facilities located in a given area within its competence. The experience of the Municipal Council of Barcelona under the name "Maximum sport for school" is popularized throughout the country. The Municipal Council of Barcelona sets minimum standards for school sports facilities in the city - halls with a size of not less than 120 m², two locker rooms of 40 m², a complex sports core for various sports with a size of not less than 30 by 18 m. Coincidentally, almost all local councils today implement programs for the construction and use of school sports centers, making them open to anyone outside of school hours. Another important aspect of the activity of the Spanish municipalities is the establishment of schools for primary sports training, as well as municipal sports schools.

Until 1970, in many cities in Italy there were commissions for sports and exercise in the fresh air. Then in a number of cities they were united and began to be called recreation commissions.

The tasks of these committees include the following issues:

- providing all citizens with the necessary conditions for sports and exercise;
- work in close cooperation with the relevant social security, the school council and other municipal bodies dealing with these issues;
- management of urban sports facilities, owned by the municipality;
- financing through the municipal budget of the activity of the sports organizations.

One of the tasks of the commissions for recreation is together with the other municipal bodies to apply preventive measures against the uniformity of the forms of physical activity among the young people. The Commission aims to give everyone the opportunity to use this form of recreation and to engage in the sport he or she deems most appropriate and important.

Article 18 of the Sports Act of the Province of Tuscany identifies six priority areas for the work of the Regional Council:

- development of physical culture among children aged 3-14;
- development of physical activity and sports among people with disabilities;

- development of physical activity and sports among women;
- training of young people in different sports;
- conducting competitions;
- support for the development of sport in areas with unfavorable conditions.

The National Olympic Committee of Italy (CONI), which has its organizations in all regions, provides great assistance to local authorities in Italy for the development of sport in the regions and provinces. The CONI Regional Council carries out the following activities:

- coordinates, organizes and carries out the sports activity on the territory of the district in close contact with the regional representation of the National Sports Federation;
- makes proposals for the implementation of a coordinated policy for the development of sports in the region, paying special attention to increasing the number of sports facilities and their management, compliance with sanitary norms in sports, recruiting volunteers as technical assistants in sports organizations;
- develops sports activity among the youth, organizing children's and student games and championships, Olympic training centers and school sports camps;
- makes proposals for the most appropriate use of the funds of KONI, intended for maintenance and development of the activity of the sports associations;
- cooperation with all organizations and movements interested in the development of sport.

The regional council usually consists of a delegate from KONI and four members. The President and a regional representative for sports facilities are elected from the Council.

These bodies together with the local municipal administration contribute to the development of sports and physical culture, namely: education and training of young athletes in Olympic training centers, youth sectors in national sports federations, school sports camps during youth sports games; training of athletes in preparation for competitions; maintaining the physical shape of the population through amateur sports and sports activities.

The role of local authorities and their actions in the field of physical culture and sport in **France** can be reduced to three areas:

- 1) construction and modernization of sports facilities in view of the needs of the population;
- 2) organization of different types of physical activity and sports - for all groups of the population;
- 3) finances.

In 1995, the National Center for Territorial Public Functioning conducted a survey in about 400 French municipalities with a population of more than 5,000 inhabitants. According to this survey, most municipalities prefer the development of grassroots sports, focusing on the maintenance of sports facilities, youth sports policy (schools, colleges, universities) and physical culture for health purposes.

Noting the sharp increase in sports budgets of municipalities, experts emphasize that this is mainly due to the increase in salaries and staff in sports organizations, clubs, as well as at the expense of the reduced number of volunteers working in sports, without remuneration. This is considered an alarming symptom. As for the direct implementation of sports policy in the departments, municipalities and regions, it can be defined as follows. The municipality deals with the development of sports in schools, sports and recreation centers and unorganized sports among the population, the construction and maintenance of sports facilities, the organization of sports events. The department coordinates the sports movement because there are already various commissions and federations in its structure that deal with the organization of both sports for all and high-achievement sports, including professional sports, as well as the construction of sports facilities. Regions perform the same functions as departments, but at the regional level.

The presence of sports services in the municipality also depends on its size. For example, 90% of municipalities with a population of more than 5,000 have sports services. Depending on the population, the sports services are managed by a secretary general or his deputy. Commissions often set up in municipalities, headed by a deputy mayor in charge of sports, are a kind of advisory body. The municipal sports service is called an

association whose goal is to coordinate the activities of all organizations and individuals involved in the development of sports.

The sports service performs three functions: administrative - this includes the budget and investment; technical (maintenance of sports facilities) and sports (schools, sports clubs at the place of residence).

Usually in the sports service in a settlement with inhabitants between 40 and 150 thousand, which has a sports complex and a swimming pool, 12 - 38 employees work.

Municipalities exercise strict control over the use of subsidies as intended, even when they are not large.

In the **United States**, state and city sports administrations solve the following tasks:

- 1) planning, construction and operation of sports facilities built with taxpayers' money;
- 2) financing of sports projects;
- 3) attracting new professional teams to cities, which has a positive effect on their economies (one of the reports of the Chamber of Commerce notes that the economic effect of having a professional baseball or football team in the city is about \$ 150 million per year) ;
- 4) holding various sports events.

In many cities in the United States, sports commissions have been set up; it serves not only the territory of Orlando, but also its suburbs.

The main task of the commission is to support the sports activities of all sports organizations, clubs, teams and sports competitions operating in the city, which not only stimulate the city's economy, but provide entertainment for its residents and are part of their lifestyle. .

Among the six main goals of the commission, priorities are: to organize and hold international and national competitions in the city, close ties with national sports federations, the US Olympic Committee, the National Student Sports Association and professional leagues. In addition, the commission deals with the city's sports infrastructure, especially those sports facilities where competitions are held. In total, the city has about 250 sports facilities, 20% of which are privately owned.

The commission carries out all its activities on the basis of contracts concluded with the local authorities in the listed four regions and two cities, as well as with other sports organizations.

The US authorities attach great importance to the legal framework for the development of sport. For example, industrial and business circles in the state of Texas have come up with an initiative to make the physical activity program mandatory in the system of long-term measures to protect the health of employees. The Texas Legislature has a key role to play in developing the Health and Fitness Act for employees. The adoption of this law significantly expands the possibilities of the state management bodies for the development of sports and rehabilitation activities in state institutions and higher education institutions.

At the European Conference "Sport and Local Government" (Gödöllő, Hungary, 3 February 1996), the representative of Great Britain A. Smith formulated the following advantages of the organization of sports activities in the municipalities:- health benefits from regular sports activities;

- strengthening the sense of community from joint activities;
- improving the quality of life;
- contribution to the development and revitalization of the economy;
- better integration of generations;
- a means of reducing crime, especially among young people.

Perhaps it is only in underdeveloped countries that the debate on who and how should finance the development of sport continues - the state, local authorities or stakeholders themselves. In most developed European countries, an effective mechanism for the implementation of funds from various sources of funding for sport has already been developed.

The funds allocated by the government are spent on the maintenance of state sports bodies (where they exist), professional sports, sports events and the construction of sports facilities on a national scale, training, research

and information activities. The funds of the local authorities are intended mainly for the development of mass and youth sports, partly for professional sports, maintenance of sports clubs, construction and operation of municipal sports facilities.

The participation of local authorities in the development of mass and youth sports has great social benefits - maintaining and strengthening health, improving the quality of life, increased sense of community, prevention of drug and youth crime, inclusion of children, adolescents, adolescents and girls to a healthy lifestyle, character formation and social responsibility in young people.

The data in Table 4 show a predominant share of local sports funding, previously allocated from the state budgets of the EU countries. Exceptions are Portugal and Hungary.

Table 1 Ratio of between government and communities sports funding in European countries [1]

Country	Share of government,%	Share of local community, %
Germany	2	98
Great Britain	5	95
Switzerland	8	92
Sweden	10	90
Finland	15	85
Danmark	16	84
France	23	77
Spain	24	76
Italy	43	57
Portugal	46	54
Hungary	65	35

As it is clear from the review of the financing of sports at the level of local authorities in the developed Western and Central European countries, the prevailing practice at this level is to allocate priority funds for the development of grassroots and youth sports, as well as for the construction of sports sites that are owned by the municipalities.

2. Financing of sports by the municipalities in Bulgaria

The procedure for financing the sports clubs by the municipalities is established in the special ordinances, which each municipality adopts for the terms and conditions of financial support of the sports clubs operating on its territory. The aim is to improve the quality of the work of the sports clubs, to create favorable conditions for maximum performance of the better athletes, to increase the number of children and young people actively involved in sports and to promote mass sports. The amount of financial support is determined according to the criteria specified in the relevant ordinance in compliance with the principles of equality, legality, publicity and transparency. The municipalities support sports clubs developing sports activities and / or social tourism with a seat and address of management on the territory of the respective municipality.

Most often the requirements for financing are for the sports clubs to have a seat and address of management on the territory of the respective municipality; to be registered as non-profit legal entities, in accordance with the requirements of the Non-profit Legal Entities Act; to be entered in the Public Register of Legal Entities Developing Public Benefit Activity, kept by the Ministry of Justice; to be a member of the respective sports federation; to be entered in the register of sports clubs kept by the Ministry of Youth and Sports; not to have financial obligations to the respective municipality; to keep records in accordance with the Accounting Act and the relevant accounting standards; if possible to have coaches with the respective professional qualification, according to the legislation of the Republic of Bulgaria; to lead an active training process and participate in sports events at municipal, regional, national and / or international level; to have been registered and to have operated on the territory of the municipality at least one year before the year of application for financial support.

Funding is usually not provided by municipalities to sports clubs registered as commercial companies, as well as to non-profit legal entities operating for private benefit; to legal entities engaged in an activity that does not meet the definition of sport, according to § 1, item 31 of the Additional Provisions of the Physical Education

and Sports Act, as well as to legal entities performing sports activity in respect of which there is no established in accordance with the relevant statutory order sports federation.

The review of the criteria according to which the municipalities finance the sports clubs on their territory shows that these are strict requirements, which refer to:

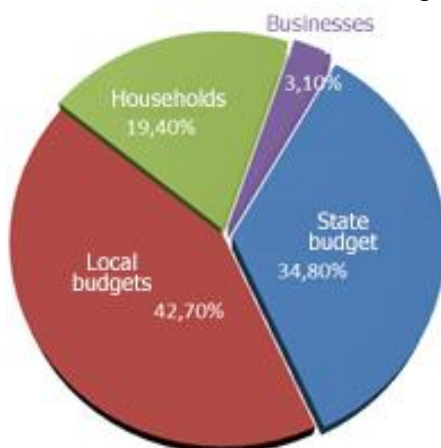
1. Achieved results in the International Sports Calendar / ISC / and the State Sports Calendar / DSC / for the previous year;
2. Competitors of sports clubs, who participated and ranked in the Balkan, European and World Championships for the previous year;
3. Competitors of sports clubs, who participated and ranked in the State and zonal championships for the previous year;
4. Competitors of sports clubs participated and ranked in International tournaments for the previous year;
5. Stimulating the development of children's and youth sports - range of athletes and teams by age groups of sports clubs that took part in the State Championships in the previous year;
6. Organizing and conducting traditional for the municipalities sports events by the sports clubs;
7. Organizing and conducting by the clubs of sports events on the territory of the municipality;
8. Organizing and conducting competitions and tournaments included in the Student Sports Calendar in the previous year;
9. Availability of own sports and material base;
10. The usual costs associated with the training and competition process;
11. Availability of own revenue sources.

Preference is given to sports clubs that do not use free sports facilities for training and sports-competitive activities, representing state or municipal property, sports clubs that work with children and engage them in their free time and sports clubs that work with children and disadvantaged young people.

Funds from municipal budgets can be spent on building a new and maintaining the existing sports base; to support the activities of sports clubs depending on their category; to finance activities aimed at improving the health and physical capacity of the population.

For Bulgaria, this structure looks as follows: state funding of sports - 77.5% (from the budget of the IMC - 34.8%, from local budgets - 42.7%; households participate with 19.4%, companies - 3.1%. Although insufficient funds , which are allocated by the state budget and local budgets prevail as a relative share among other sources of funding for sports in Bulgaria.

Fig.1 Structure of the sources for financing of sports in Bulgaria



According to a study by Vladimir Andreff [2], regarding the structure of sources of funding for sports in the 27 EU countries, 36.2% (of which 11.9% from the ministries of sports, 24.3% from local budgets), 49.7% from households and 14.1% from companies are due to the state budget.

Conclusion

From the review of the international experience and practice of the Bulgarian municipalities regarding the priorities in the financing of sports the following conclusion can be made: the funds that the municipalities allocate for financing the sports should be directed to the construction of a new and maintenance of the existing sports base; to support the activities of sports clubs depending on their category; to finance activities aimed at improving the health and physical capacity of the population] to develop grassroots sports.

References

- [1] www.sportsovet.ru/docs/Doklad_2-n.doc (seen on 17.09.202-) Report of the Council to the President of the Russian Federation for the Development of Physical Culture and Sports (2014) www.sportsovet.ru/docs/Doklad_2-n.doc (seen on 17.09.2019)
- [2] Andreff,W. (2009) Public and private sport financing in Europe: the impact of financial crisis. paper presented at the 84th Western Economic Association International Conference, Vancouver, June 29 – July

Who are the Drivers of Socially Responsible Consumption in Latvia? The Profile of Regular Consumers of Latvian Social Enterprise Products and Services

Kristīne Casno¹

Daina Šķiltere²

Biruta Sloka³

¹ Mg.sc.admin. cand.for doctoral student, University of Latvia, kristine_casno@yahoo.com, ORCID: <https://orcid.org/0000-0001-9160-6566>

² Dr.oec. Professor, University of Latvia, Department of Management Sciences, Daina.Skiltere@lu.lv, ORCID: <http://orcid.org/0000-0003-2870-4002>

³ Dr.oec. Professor, University of Latvia, Department of Management Sciences, Biruta.Sloka@lu.lv, ORCID: <http://orcid.org/0000-0003-2129-053X>

Abstract: The purpose of this innovative study is to capture the profile of the regular consumers of Latvian social enterprises' products and services in order to help Latvian social enterprises make consumer-oriented business decisions and develop relevant marketing strategies. This research is also a significant first step towards identifying the characteristics of socially responsible consumers in Latvia, providing valuable information for public authorities willing to support further development of social economy and socially responsible consumption in Latvia. Research results are based on analysis of survey of 329 respondents and conducted by Kristīne Casno. Research methods: scientific publications analysis, quantitative research methods - analysis of descriptive statistics, crosstabulations. Authors have identified the regular consumer of Latvian social enterprises' products and services as predominantly a Millennium generation female from Riga with a university (Bachelor level) degree. Despite the fact that respondents are regular consumers of social enterprises' products and services with slightly above average information level about social enterprises, opportunity to support social causes is not the primary motivator. Authors recommend Latvian social enterprises to pay more attention to in-store atmosphere and price and quality aspects of their products. Public authorities should primarily highlight the aforementioned aspects in campaigns supporting social entrepreneurship and socially responsible consumption.

Key words: social enterprise, socially responsible consumption, consumer behaviour

1. Introduction

Social enterprises are getting more and more important in many countries as the society as whole is becoming increasingly more tolerant to people with disabilities and willing to support their activities by purchasing products and services from social enterprises to support people with disabilities in their way to employment and in feeling as valuable members of society. Academic researchers in many countries are devoting their research attention to several aspects on making social entrepreneurship more efficient, sustainable and valuable including application of specific marketing tools for product and service promotion. With socially responsible consumption and social entrepreneurship both continuing to grow in terms of popularity, the respective disciplines have a lot to learn from each other. Knowing who the socially responsible consumer is and how to best approach him/her, provides greater efficiency of marketing efforts on behalf of social enterprises, public authorities looking to promote socially responsible consumption as well as commercial enterprises with established corporate social responsibility practices.

Valuable research studies on various aspects of social entrepreneurship are continuing to proliferate, providing new insights and sharing recommendations that can be applied in other cultural and environmental contexts. Morris et al. (2020, p. 2-13) have provided an excellent overview of "great divides" within social entrepreneurship research where there are no clear-cut answers yet given the complexity of the phenomenon. They propose to address these divides by applying "an inclusive process perspective on social entrepreneurship" calling on removal of strict criteria and highlighting explicitly the essence and complexity of the social entrepreneurship process: "Social value creation is often messy and inefficient, especially in the formative stages. The process is chaotic, unpredictable, and uncontrollable. Stages interact and overlap and can be pursued simultaneously, with feedback loops where developments in one stage require revisiting an earlier stage. Activities such as innovation and resourcing are ongoing. It is ultimately an emergent process with ongoing learning and adaptation, where what one creates is often quite different than what one intended" (Morris et al., 2020, p.13-15). Erpf et al. (2020) have investigated the social entrepreneurship phenomenon in Lithuania highlighting the challenges of the field caused by a narrow definition of the concept of social enterprise, attributing it to a work integration social enterprise. However, they also highlight positive

developments indicating that “It becomes trendy to socially engage while making profits...” (Erpf et al., 2020, p. 22) and emphasize the significant potential of the younger generations in becoming the driving force of social entrepreneurship. Aponte et al. (2019, p.141-142) have analyzed macro level environmental factors that affect the development of social entrepreneurship. They conclude that a country’s economic development determines the level of activity of social entrepreneurship – i.e. social entrepreneurship is flourishing in lower income level countries but present in “innovation driven economies” at a significantly lesser level. A number of recent research studies have also provided insights in the area of social enterprise marketing. Researchers from Taiwan have asked question “In pursuit of goodwill?” in their cross-level effects of social enterprise consumer behaviours (Tsai, Hung, Yang, 2020). In the study it has been stressed that “social innovation and social enterprises have not only changed the concept of operating nonprofit organisations but have also blurred the line between society and business” (Tsai, Hung, Yang, 2020). Authors of the respective research have stressed that “the current social purpose environment is dynamic and continuously evolving, with firms needing to balance dual social-business goals” (Tsai, Hung, Yang, 2020). This aspect is raised also by other researchers (Casno, Škiltere, Sloka, 2019b). The scientific paper of researchers from Taiwan “employs the decomposed theory of planned behaviour to deconstruct goodwill and commerce factors and analyses the behavioural intentions of consumers when they are purchasing social enterprise products and services” (Tsai, Hung, Yang, 2020). Additionally, the study of researchers from Taiwan “uses a cross-level perspective to examine the role of reference groups and adopts a hierarchical linear model for verification” (Tsai, Hung, Yang, 2020). The results of researchers from Taiwan “suggest that consumer behavioural intention increases with the level of perceived behavioural control” (Tsai, Hung, Yang, 2020). Besides that researchers from Taiwan have concluded that “attitude is the main factor influencing consumer purchases of social enterprise products and services” (Tsai, Hung, Yang, 2020) which corresponds to results of many other researchers. Researchers from Taiwan have concluded that “consumers consider the opinions of members of their reference groups when purchasing social enterprise products (Tsai, Hung, Yang, 2020) which are very alike with other findings (Humphery, 2019; Casno, Škiltere, Sloka, 2019b; Choi, Kim, 2013). The researchers from Taiwan have suggested that “social enterprises can communicate service concepts and strengthen product links by highlighting their goodwill-related nature” (Tsai, Hung, Yang, 2020) which corresponds to many other researcher findings and suggestions (Casno, Škiltere, Sloka, 2019b; Humphery, 2019).

Researchers from Taiwan recommend that social enterprises “should also increase the transparency of organisational operations to enhance consumer confidence in social enterprise products and positive goodwill connectivity” (Tsai, Hung, Yang, 2020) what is also supported by findings of other researchers (Humphery, 2019; Han, 2017; Casno, Škiltere, Sloka, 2019a). Researcher Sao from Sount Corea have analysed also the effects of social norms and perceived benefits on purchase intention for the fashion products of social enterprises and have studied “the relationships among two social norms (injunctive norms and descriptive norms), three perceived benefits (cause benefits, psychological benefits, and social image benefits), and purchase intention were investigated respectively” (Sao, 2019). The recommendations of researcher from South Corea Sao are “...the owners or marketers of social enterprises need to create a social atmosphere in which more consumers buy the fashion goods for social enterprises and emphasize consumers' psychological benefits that they feel mentally more comfortable by purchasing the fashion goods of social enterprises” (Sao, 2019). Many of mentioned aspects are on great importance and we include them also in our empirical research. On motivation of consumers to purchase products and services offered by the social enterprises and role of the marketing there is a significant attention by researchers (Hibbert, Hogg, Quinn, 2005; Leigh, Gabel, 1992; Shaw, 2004) giving also practical recommendations for social enterprises being useful for everyday use and application. Researchers Casno, Škiltere, Sloka (2020) have highlighted the invaluable role information dissemination activities play in driving social economy, reporting that consumers with higher information levels about social enterprises make socially responsible purchases more often. The growing attention to marketing aspects in social enterprises is a positive and much-needed trend that hopefully will continue in the future.

As social enterprises worldwide are doing their best to promote their cause by sharing their social impact stories and thus inviting the society to make socially responsible purchase decisions, social entrepreneurship and socially responsible consumption are becoming increasingly intertwined, indicating a need to explore how each of the spheres can benefit from one another. As Nova-Reyes et al. (2020) indicate, socially responsible consumption behavior has only relatively recently (since 2017) developed into a solid research field with a focus on the “ethical consumer” (Nova-Reyes et al., 2020, p.15) whereas previously the questions of socially responsible consumption were mainly addressed through the lens of corporate social responsibility. Academic researchers have found that “Consumers are becoming increasingly socially conscious when making their

purchasing decisions, which in turn is providing an incentive for firms to integrate social responsibility considerations into their product offerings” (Prendergast, Tsang, 2019). Socially responsible consumption and support for products and services produced by social enterprises is on research agenda for many researchers (Roundy, 2017; Anderson, 2018; Lee, Cho, 2019; Lee, Lee, Ma, 2018; Palacios-González, Chamorro-Mera, 2018). The researchers from United States of America have concluded with regards such personal characteristics as self-efficacy and openness “that marketers should focus on these good traits when creating advertisements to encourage sustainable consumption” (Song, Kim, 2018). Durif F. et al., 2011, p.215 refer to a blossoming “responsible market” and, which is also relevant not only for large multinational firms but also for social enterprises, call for a need to identify who the socially responsible consumers are in order to develop strategically enhanced and more efficient marketing targeting those segments.

Researchers have discovered that social enterprises apply specific marketing tools (Bandyopadhyay, Ray, 2019). The findings of many researchers (Satar, John, 2016; Hati, Idris, 2019; Bonar, Karlsson, 2019; Bull, Crompton, 2006; Choi, Junyong, 2016) came to the suggestions that “marketing in social enterprises has different issues and challenges when compared to marketing practices adopted by conventional business organizations” (Bandyopadhyay, Ray, 2019). They are forced to address the varied expectations of the stakeholders in a resource-constrained situation, which creates problems for them (Bandyopadhyay, Ray, 2019). The reserachers have concluded that “the fact that resource constraints, legacy mindset, and lack of marketing skills limit the impact of marketing practices in social enterprises (Bandyopadhyay, Ray, 2019). Researchers (Bandyopadhyay, Ray, 2019) have stressed that many social entrepreneurs survive through cost-effective marketing techniques and many aspects have to be taken into consideration.

In the light of the aforementioned, a better understanding of the profile of the socially responsible consumer is a valuable tool especially for social enterprises which aim to achieve a double-bottom line with their operations as well as for authorities aiming to promote socially responsible consumption. There have been numerous attempts to identify profiles of socially responsible consumers by integrating various measurement scales and approaches (Durif, 2011), however, as indicated by Adamoviciute (2013, p.754), they “are not fundamental”. While Durif (2011) have established socially responsible consumers as women of approximately 50 years of age, Johnson, Chattaraman (2020), highlight the social responsibility aspects of the Milenium generation. Researchers have investigated socially responsible consumptions via lens of gift-giving and identified a consumer typology considering if the purchase was made for personal consumption or as a gift (Green, et al., 2014). As indicated by Pelligra and Vasquez (2020), a persons level of empathy has a significant positive effect over socially responsible purchase decisions. Adomaviciute (2013) has highlighted the potential importance of emotional aspects versus utilitarian aspects within socially responsible consumer behavior. Although in scientific literature there is no unanimous evidence suggesting that women are more prone to socially responsible choices (Bechetti et al., 2018, p.3631), an experimental study by Becchetti et al. (2018) suggests that women tend to show greater inclination towards socially responsible behaviour at certain cirumstances.

Andrei et al. (2017) highlight the important role of personal characteristics and values in determining socially responsible behavior and report that such a personal characteristic as consumer’s need for uniqueness positively affects a person’s perception of his/hers personal power to make a contribution to social and environmental problems by means of socially responsible consumption suggesting the significant capacity of so called “high uniqueness” consumers, who are also eager to embrace innovations, to disseminate socially responsible consumption behaviors further in societies (Andrei, 2017, p.1337). Johnson and Chattaraman (2020, p.1), considering the popularity of socially responsible consumption among consumers belonging to Millennial generation, have reported that socially responsible consumption for Millennials is a means of signaling their “benevolence to themselves and others” highlighting the little importance they assign to validation from their social group with respect to socially responsible consumption. Rather, Millennials can be encouraged to be socially responsible with regards their consumption choices by encouraging them “to make a difference through individual behavior” (Johnson, Chattaraman, 2020, p.14). Socially responsible consumption, given the various social and economic challenges faced by societies across the world, has significant potential to bring about positive change and is thus calling for increased attention towards getting to know who the socially responsible consumers are and how to best approach them.

2. Material and Methods

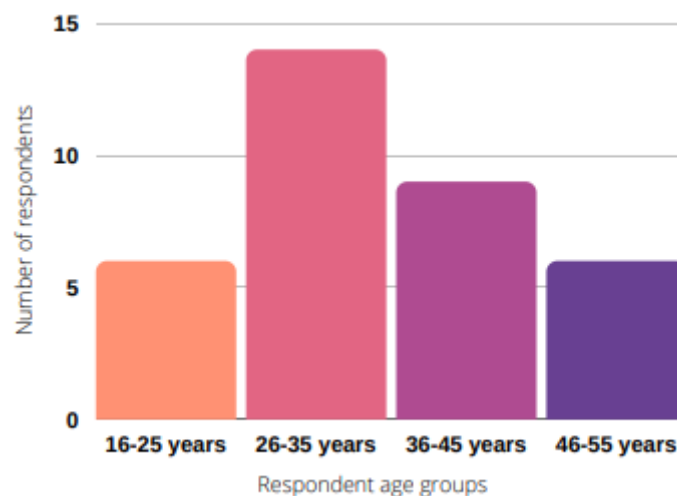
For research purposes, a quantitative research design was applied consisting of a survey realized with the help of *QuestionPro* tool, requesting respondents, among other questions (including demographic aspects), to

indicate their information level about social enterprises on a scale of 1-10, their purchasing frequency of social enterprise products, indicate if they had previously purchased products and services from various social enterprises operating in the area of charity shops, culture, education and design products and also evaluate the importance of various factors that motivate socially responsible purchases on a scale of 1-10. The survey was filled out in full by 224 respondents and delivered a total of 329 responses. Majority of the respondents had previously purchased products and services from Latvian social enterprises. For the purposes of the study, Authors defined regular consumers as those respondents who indicated they had made purchases from Latvian social enterprises' more than 9 times or more in 2018 in order to increase the probability of capturing the consumers who consciously shop with social responsibility in mind. The study further analysed a unique sample of 37 regular, socially responsible social enterprise consumers in order to establish the main characteristics of a socially responsible consumer in Latvia.

3. Results and Discussion

Overall, despite the fact that the proportion of regular consumers of social enterprises products and services is relatively small (15.6% or 37 of all respondents who provided an indication of their purchasing frequency of 9 times or more in 2018), it provides a unique reflection of the socially responsible consumers' profile in Latvia. Majority of the aforementioned respondents (23), had made socially responsible purchases at least 13 times or more in 2018. From the demographic point of view, the socially responsible consumer in Latvia is a female, since only 3 male respondents matched the regular consumer profile. With regards age, as indicated in Figure 1 below, majority of socially responsible consumers are of 26 to 35 years of age, which coincides with the *Millenium* generation.








Figure 1: Age groups of the socially responsible consumers in Latvia



Source: Authors' construction based on questionnaire developed by Kristine Casno and survey conducted in 2019, n=329

Overall, majority of the socially responsible consumers hold a Bachelor's degree (48.6%), or a Master's degree (22.9%) and reside in Riga (65.7%), or administrative territories surrounding Riga (14.3%). As reflected in Figure 2 below, among Latvian socially responsible consumers such social enterprises as "Otra Elpa", "Kalnciema kvartāls" and "Kaņepes kultūras centrs" have gained most recognition.

Figure 2: Overview of social enterprises where regular consumers of Latvian social enterprises' products and services have previously made purchases

Social enterprise	Social cause and mission	% of respondents with previous purchases from social enterprise
	To support various charity projects from revenue generated from sales of second-hand donations of clothes etc.	86.10%
	To preserve and renovate wooden architecture buildings by providing a cultural meeting platform for community	75.80%
	To promote cultural diversity and creativity by organizing various cultural events	61.80%
	To educate of parents and strengthen family values	54.30%
	To promote inclusion of formerly incarcerated persons in society by selling used and antique furniture from Sweden	42.40%
	To promote social inclusion of people with disabilities by providing job opportunities, training and selling various arts & crafts	35.30%
	To generate interest in science among young population by providing access to science centres, workshops etc.	32.40%

Source: Authors' construction based on questionnaire developed by Kristīne Casno and survey conducted in 2019, n=329

The unifying themes that those social enterprises portray are sustainable use of clothing and other goods, community, preservation of cultural and family values and promotion of creativity in culture and education. Those aforementioned topics characterize the interests and values of the Latvian socially responsible consumers. Almost all of the social enterprises included in Figure 2 are most recognized by consumers of age group 26-35 except for social enterprises “Zinoo”, “Mammām un tētiem” (*for Mothers and Dadies*) and “Visi Var” (*Everyone Can!*) which are slightly more popular among consumers of age 36-45, which can be explained by the high focus on family oriented topics among those social enterprises.

Although the respondents are a unique group of socially responsible consumers with rather regular purchasing habits from social enterprises, their average information level about Latvian social enterprises, as reflected in Table 1 below, is not considerably above the average information level of the entire group of respondents (i.e. 5.06)

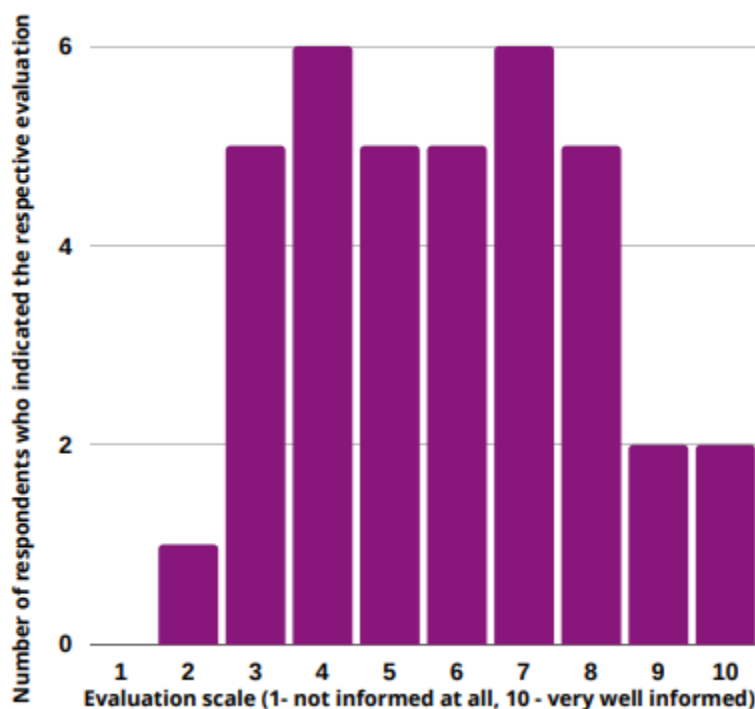
Table 1: Main statistical indicators of descriptive statistics on question “To what extent are you informed about social enterprises in Latvia?” among regular consumers of social enterprise products and services

Statistical indicators		Values
N	Valid	37
	Missing	0
Mean		5.84
Median		6
Mode		4; 7
Standard Deviation		2.141
Variance		4.584
Range		8
Minimum		2
Maximum		10

Source: Authors' construction based on questionnaire developed by Kristīne Casno and survey conducted in 2019, evaluation scale 1-10, where 1 – not informed at all, 10 – very well informed

The above data, although showing a positive tendency, is an indication of insufficient informational capacities of Latvian social enterprises in terms of conveying their message to their regular consumers. As reflected in Figure 3 below, there is still a considerable proportion of socially responsible consumers (almost 46%) with information levels of 5 below.

Figure 3: Distribution of socially responsible respondents by evaluations on level of information about Latvian social enterprises



Source: Authors’ construction based on questionnaire developed by Kristīne Casno and survey conducted in 2019, evaluation scale 1-10, where 1 – not informed at all, 10 – very well informed

Raising the informational level of socially responsible consumers specifically, may have a significant positive impact on social economy in Latvia. This would potentially require further development of consumer loyalty and strengthening of the mutual cooperation among social enterprises themselves and possible increase of education level of employees of the social enterprises especially in marketing field and rise of digital skills. The average evaluations of various motivations to purchase social enterprise products and services, as reflected in Table 2 below, provide interesting highlights about this unique group of socially responsible consumers.

Table 2: Main statistic indicators of regular consumers of social enterprises’ products and services evaluations on various factors motivating to make purchases from social enterprises

		Friendly service	Convenient shopping online	Convenient location of the social enterprise	Opportunity to support social causes	Information in the social networks and website	Pleasant atmosphere	Price of the product /service	Quality of the product / service	Unique-ness of the product/ service
N	Valid	34	32	34	35	33	34	34	33	35
	Missing	3	5	3	2	4	3	3	4	2
Mean		8,76	5,97	8,59	8,63	8,24	9,03	8,88	8,94	8,46
Median		9	6	9	9	8	9	10	10	9
Mode		10	5	10	10	10	10	10	10	10

Standard Deviation	1,539	3,021	1,459	1,573	1,562	1,291	1,552	1,368	1,837
Variance	2,367	9,128	2,128	2,476	2,439	1,666	2,410	1,871	3,373
Range	5	9	5	5	5	5	6	4	8
Minimum	5	1	5	5	5	5	4	6	2
Maximum	10	10	10	10	10	10	10	10	10

Source: Authors' construction based on questionnaire developed by Kristīne Casno and survey conducted in 2019, evaluation scale 1-10, where 1- not motivating; 10 – very motivating, n=329

Latvian socially responsible consumers, on average, are most motivated to purchase social enterprise products and services by the pleasant atmosphere provided by social enterprises. Taking into consideration the domination and primacy of digital aspects in the everyday lives of Milenials, the aforementioned may potentially be an interesting characteristic of socially responsible consumers, further enhanced by the relatively low importance they assign to online shopping opportunities. The second and third most important motivational factors for socially responsible consumers are the quality and price of the products and services which suggests that this consumer group is still quite demanding and will not be convinced to purchase solely on social responsibility aspects. This is also further validated by the comparatively low evaluation, on average, of the factor "Opportunity to support social causes" and signals to Latvian social enterprises that social impact alone will not drive sales, unless backed by pleasant atmosphere, good quality and price ratio of the product and friendly service.

While this innovative study provides interesting and valuable insights with regards regular, socially responsible consumers of Latvian social enterprises' products and services, it does have several limitations which Authors suggest to be addressed in future studies. First, the study focused on Latvian social enterprises operating in the business to customer (B2C) market. For a wider picture, it would be useful to also survey and explore the opinions of the social enterprise consumers in the business to business market, which may provide additional insights. Second, only social enterprises operating in the area of charity shops, culture and education as well as design products as were included in the study. Broadening the scope of social enterprises may result in more comprehensive portrayal of the Latvian socially responsible consumer. Third, this study did not explicitly focus on deliberating if the consumers considered themselves to be socially responsible. It would be valuable to explore other aspects of social responsibility in combination with consumption of social enterprises' products and services in the future.

4. Conclusions

Regular consumers of Latvian social enterprises' products and services, who also can be deemed as Latvian socially responsible consumers, are primarily Milenium generation females belonging to age group of 26-35 with Bachelor level education and residing in Riga. The most recognized Latvian social enterprises within this consumer group are "Otra Elpa" (*Second Breath*), "Kalnciema kvartāls" (*Kalnciema Quarter*) and "Kaņepes kultūras centrs" (*Kaņepe Culture Centre*) which reflect importance of such values as sustainable development, culture and community. Although the aforementioned consumers regularly purchase social enterprise products and services, their information level about Latvian social enterprises is only slightly above average, indicating significant room for improvement in terms of loyalty and deeper relationship building. Latvian socially responsible consumers are not primarily driven by the opportunity to support social causes. Instead they find pleasant atmosphere, quality and price of the products and services to be most stimulating. Authors recommend social enterprises and public authorities promoting awareness of social enterprises in Latvia to take into consideration that the aforementioned factors in their decision making processes and build their communication strategies accordingly.

ACKNOWLEDGEMENT

The preparation of this paper is within the National Research Program “LATVIAN HERITAGE AND FUTURE CHALLENGES FOR THE SUSTAINABILITY OF THE STATE” project “CHALLENGES FOR THE LATVIAN STATE AND SOCIETY AND THE SOLUTIONS IN INTERNATIONAL CONTEXT (INTEFRAME-LV)”.

REFERENCES

- Adomaviciute, K. (2013). Relationship between utilitarian and hedonic consumer behaviour and socially responsible consumption. *Economics and Management*, 18(4), 755-760.
- Anderson, M. (2018). Fair trade and consumer social responsibility: Exploring consumer citizenship as a driver of social and environmental change. *Management Decision*, 56(3), 634-651.
- Andrei, A.G., Gazzola, P., Zbucea, A., Alexandru, V.A. (2017). Modelling socially responsible consumption and the need for uniqueness: a PLS-SEM approach. *Kybernetes*, 46(8), 1325-1340.
- Aponte, M., Alvarez, M., Lobato, M. (2019). Social entrepreneurship and economic development: A macro-level perspective. *Social Business*, 9(2), 141-156.
- Bandyopadhyay, C., Ray, S. (2019). Social enterprise marketing: review of literature and future research agenda. *Marketing Intelligence & Planning*, 38(1), 121-135.
- Bechetti, L., Salustri, F., Pelligra, V., Vasquez, A. (2018). Gender differences in socially responsible consumption. An experimental investigation. *Applied Economics*, 50(33), 3630-3643.
- Bonar, I., Karlsson, P.S. (2019). Marketing Scottish social enterprises using a label?. *Social Enterprise Journal*, 15(3), 339-357.
- Bull, M., Crompton, H. (2006). Business practices in social enterprises. *Social Enterprise Journal*, 1(2), 42-60.
- Casno, K., Šķiltere, D., Sloka, B. (2019a). The Information Channels that Matter: The Case of Social Enterprise Customers in Latvia. *Regional Formation and Development Studies*, 3(29), 21-34.
- Casno, K., Šķiltere, D., Sloka, B. (2019b). Factors that Motivate Latvian Consumers to Purchase Products and Services from Social Enterprises in Latvia: The Case of Socially Responsible Consumption. *European Integration Studies*, 13, 90-99.
- Casno, K., Šķiltere, D., Sloka, B. (2020). The Power of Information: A Key Component for the Successful Performance of Latvian Social Enterprises. University of Latvia 12th International Conference "New Challenges in Economic and Business Development–2020: Economic Inequality and Well-Being", Conference proceedings (in print).
- Choi, E.J., Kim, S.-H. (2013). The study of the impact of perceived quality and value of social enterprises on customer satisfaction and re-purchase intention. *International Journal of Smart Home*, 7(1), 239-252.
- Choi, G., Junyong, K. (2016). Effects of displaying social enterprise certification information on consumers' product evaluations and purchase intentions. *Journal of Global Scholars of Marketing Science*, 26(2), 185-197.
- Durif, F., Boivin, C., Rajaobelina, L., Francois-Lecompte, A. (2011). Socially Responsible Consumers: Profile and Implications for Marketing Strategy. *International Review of Business Research Papers*, 7(6), 215-224.
- Erpf, P., Butkeviciene, E., Pučetaite, R. (2020). Between de Jure and de Facto: Embedding Western Concepts of Social Entrepreneurship in Post-Socialistic Reality. *Journal of Social Entrepreneurship*, April, 1-28.
- Green, T., Tinson, J., Peloza, J. (2014). Giving the Gift of Goodness: An Exploration of Socially Responsible Gift-Giving. *Journal of Business Ethics*, 134(1), 29-44.
- Han, J. (2017). Social Marketisation and Policy Influence of Third Sector Organisations: Evidence from the UK. *Voluntas*, 28(3), 1209-1225.
- Hati, S.R.H., Idris, A. (2019). The role of leader vs organisational credibility in Islamic social enterprise marketing communication. *Journal of Islamic Marketing*, 10(4), 1128-1150.
- Hibbert, S., Hogg, G., Quinn, T. (2005). Social entrepreneurship: understanding consumer motives for buying the big issue. *Journal of Consumer Behaviour*, 4(3), 159-172.
- Humphery, K. (2019). The accidental enterprise: Ethical consumption as commerce. *Geoforum*, 85, 92-100.
- Johnson, O., Chattaraman, V. (2020). Signalling socially responsible consumption among millennials: an identity-based perspective. *Social Responsibility Journal*, 1-20, in print (available in SCOPUS data base).
- Lee, H.-H., Lee, M., Ma, Y.J. (2018). Consumer responses to company disclosure of socially responsible efforts. *Fashion and Textiles*, 5(1), Article number 27.
- Lee, J., Cho, M. (2019). New insights into socially responsible consumers: The role of personal values. *International Journal of Consumer Studies*, 43(2), 123-133.
- Leigh, J., Gabel, T. (1992). Symbolic interactionism: its effects on consumer behaviour and implications for marketing strategy. *Journal of Services Marketing*, 6(3), 5-16.
- Morris, M.H., Santos, S.C., Kuratko, D.F. (2020). The great divides in social entrepreneurship and where they lead us. *Small Business Economics*, February, 1-18.
- Nova-Reyes, A., Munoz-Leiva, F., Luque-Martinez, T. (2020). The Tipping Point in the Status of Socially Responsible Consumer Behaviour Research? A Bibliometric Analysis. *Sustainability*, 12(8), 1-23.
- Palacios-González, M.M., Chamorro-Mera, A. (2018). Analysis of the predictive variables of the intention to invest in a socially responsible manner. *Journal of Cleaner Production*, 196, 469-477.

- Pelligra, V., Vasquez, A. (2020). Empathy and socially responsible consumption: an experiment with the vote-with-the-wallet game. *Theory and Decision*. In print (available in SCOPUS data base).
- Prendergast, G.P., Tsang, A.S.L. (2019). Explaining socially responsible consumption, *Journal of Consumer Marketing*, 36(1), 146-154.
- Roundy, P.T. (2017). Social entrepreneurship and entrepreneurial ecosystems: Complementary or disjoint phenomena?, *International Journal of Social Economics*, 44(9), 1252-1267.
- Satar, M.S., John, S. (2016). A conceptual model of critical success factors for Indian social enterprises. *World Journal of Entrepreneurship, Management and Sustainable Development*, 12(2), <https://doi.org/10.1108/WJEMSD-09-2015-0042>.
- Seo, M.J. (2019). The effects of social norms and perceived benefits on purchase intention for the fashion products of social enterprises. *Journal of the Korean Society of Clothing and Textiles*, 43(5), 699-710.
- Shaw, E. (2004). Marketing in the social enterprise context: is it entrepreneurial?. *Qualitative Market Research: An International Journal*, 7(3), 194-205.
- Song, S.Y., Kim, Y.-K. (2018). Theory of Virtue Ethics: Do Consumers' Good Traits Predict Their Socially Responsible Consumption? *Journal of Business Ethics*, 152(4), 1159-1175.
- Tsai, J.-M., Hung, S.-W., Yang, T.-T.(2020). In pursuit of goodwill? The cross-level effects of social enterprise consumer behaviours. *Journal of Business Research*, 109, 350-361.

Foreign Trade Competitiveness with Agricultural Products: the case of Moldova

Liliana Cimpoies¹

Aliona Balan²

¹ Ph.D., associate professor, Academy of Economic Studies of Moldova, lcimpoies@ase.md, ORCID: 0000-0003-3709-9406

² Ph.D., associate professor, Academy of Economic Studies of Moldova, a.balan@ase.md, ORCID:0000-0003-0094-7272

Abstract: The aim of this paper is to analyze the trade advantages and/or disadvantages of Moldova's agricultural commodities on world markets. The study period will include data from 2010 to 2019. The data used will be examined for agricultural and food commodities by using the aggregations HS 01-24 corresponding to agri-food products according to the Combined Nomenclature of Goods. In order to assess the competitiveness of certain agricultural or food commodities, trade indicators as Lafay index and Trade Balance Index (TBI) are calculated. In order to group the commodities with potential trade advantages or disadvantages a "product mapping" approach will be used. According to the obtained results, Moldova has advantages for some trade traded commodities as oil seeds and oleaginous plants, cereals, beverages, edible fruits and nuts, animal or vegetable fats and oils, preparations of vegetables.

Keywords: agricultural and food commodities, product mapping, trade.

1. INTRODUCTION

Over the last decades the global trade flows intensity had grown considerable and imposed various changes among the main exporters. Despite the fact that the leading positions belong to developed countries which represent net exporters, yet the situation of the developing countries also improved on global market. Many of them specialized and found their share on the world's market by increasing their competitiveness in certain commodities or sectors. Based on trade theory approach, (international) competitiveness and the concept of comparative advantage are close related. According to it, competitiveness is "the ability of a country to utilize efficiently its resources that allows it to benefit from a comparative advantage of the world market"(Latruffe, 2010).

For the Republic of Moldova, agricultural and food products are the main exported commodities. Thus is important to assess their competitiveness on world market, to estimate the possible advantages and disadvantages and to strengthen the position of those products which performance could improve. The aim of this paper is to analyze the possible trade advantages or disadvantages of Moldova on the world agricultural markets.

2. MATERIAL AND METHODS

The analysis aims to present the potential of the agricultural commodities on the world market. Thus, the analysis is made by focusing on the 24 aggregations of the agricultural commodities according to the Harmonized system of the Combined Nomenclature of Goods. Moreover, the commodities further are divided into agricultural products (HS 01-15) and food products (HS 16-24).

In order to assess the comparative advantages of domestic trade balance and international competitiveness a product mapping approach will be used. According to the product mapping approach (Widodo, 2009) the commodities can be distributed into 4 groups based on two Revealed Symmetric Comparative Advantage (RSCA) index and Trade Balance Index (TBI).

According to TBI index we can determine is the country is a net exporter or net importer in some specific group of products. TBI can be computed as:

$$TBI_{ij} = (X_{ij} - M_{ij}) / (X_{ij} + M_{ij}) \quad (1)$$

where, X_{ij} and M_{ij} represent the export and import flows of country i among the group of products j . Trade Balance Index can take values between -1 and +1. When TBI register a value of -1 a country is a net importer and in the case of a value of +1 the country is a net exporter.

However, some researchers propose a modified product mapping scheme where the RSCA index is substituted with Lafay index. This is explained because the RSCA does not take into consideration the real intensity of imports, thus it is proposed to replace this indicator with Lafay index (Smutka et. al 2018). This estimation based on Lafay index and TBI allows to obtain a more precise information about the real competitiveness of the agri-food trade commodity structure (Smutka et. al. 2018).

Lafay index (LFI) is a trade estimator that does not consider world variables. Lafay index allows us to investigate bilateral trade among countries/regions. LFI provides an explanation on how comparative advantages develop over time and allows a comparison of the strength of comparative advantage of the individual products and product groups for countries and/or regions. The Lafay index for a country i and a product j is calculated as:

$$LFI_j^i = 100 \times \left(\frac{x_j^i - m_j^i}{x_j^i + m_j^i} - \frac{\sum_{j=1}^N (x_j^i - m_j^i)}{\sum_{j=1}^N (x_j^i + m_j^i)} \right) \times \frac{x_j^i + m_j^i}{\sum_{j=1}^N (x_j^i + m_j^i)} \quad (2)$$

In this case x_j^i and m_j^i represents the exports and imports of product j of country i towards and from a region, while N is the number of items/products. The Lafay index can take positive values which indicates to the existence of comparative advantages for an item/product, when the value of the LFI is large it indicates to a higher degree of specialization.

According to the new product mapping approach the results are still divided into four groups based already on Lafay index and TBI. In group A are included commodities with comparative advantage (LFI>0) and export specialization (TBI>0); in group B – commodities with comparative advantage(LFI>0) but with lack of export specialization (TBI<0). For both group C and D are included commodities without a comparative advantage (LFI<0). The commodities in group C will have export specialization (TBI>0), while group D will lack export specialization (TBI<0).

3. RESULTS AND DISCUSSIONS

The examined period imposed changes in Moldova's trade flows. Thus, there was an increase in both total exports and imports. Moldova's exports increased by 80% and represented 2,779 million US dollars, while imports increased by 50% and accounted 5,842 million US dollars in 2019. Moldova is net importer of gas and energetic resources, thus the overall trade balance remains negative. The largest group of exported commodities is represented by the agri-food products. Agricultural and food commodities have share of about a half in total exports registering 43% in 2019. Agri-food imports register a smaller share of 14% in 2019. The agri-food trade balance is maintained positive, Moldova being a net exporter of agricultural and food commodities (Table 1).

Table 1. Dynamics of Moldova's foreign trade activity, 2010-2019

	2010	2012	2014	2016	2018	2019
Total exports, million US dollars	1,541.4	2,161.8	2,339.5	2,044.6	2,706.1	2,779, .1
Total imports, million US dollars	3,855.2	5,212.9	5,316.9	4,020.3	5,760.1	5,842.4
Exports of agri-food products, million US dollars	732.2	878.8	1,065.3	945.4	1,167.3	1,211.1
Imports of agri-food products, million US dollars	591.5	743.3	719.3	608.1	774.3	815.8
Share of agri-food products in total exports, %	47.50%	40.65%	45.54%	46.24%	43.14%	43.58%
Share of agri-food products in total imports, %	15.34%	14.26%	13.53%	15.12%	13.44%	13.96%

Source: based on data from National Bureau of Statistics

Changes in the territorial distribution of Moldova's trade flows had occurred. During this period still the main trading partners remain European Union countries and C.I.S. member states. E.U. market had become the main partner for Moldova's commodities, particularly during the viewed time series the trade flows to E.U. market continuously expanded. This was determined by a closer collaboration with E.U. countries and benefiting from General System of Preferences and Autonomous Trade Preferences which granted some facilities for several agricultural products as sugar and beverages (Cimpoies, 2015). The greater impact on the bilateral trade flows with E.U. was generated by signing the Deep and Comprehensive Free Trade Agreement (DCFTA) in 2014.

DCFTA contributed to a greater expansion of Moldova's exports towards E.U. (approximately 10%). Particularly a great benefit from DCFTA had the agricultural and food products. The exports of agri-food products towards E.U. market had increased of over 50% after DCFTA implementation. This large increase in the case of agri-food

commodities that are considered less competitive is proof that trade liberalization has not a negative impact on Moldova's agri-food trade. For agri-food products main partner on the E.U. market remains Romania, followed by Poland., Italy, Germany etc.

Trade flows with E.U are related to the evolution of economic dynamics in the member states that affects the level of investment, labor force employment rate. In general terms, the contribution of E.U. to the increase of Moldova's exports had a positive impact. In 2012 and 2013 the economic situation from E.U. member states affected also the slowdown in Moldova's exports activity.

Table 2. Moldova's agricultural trade structure according to the results of product mapping approach, 2019

Group B:					Group A:				
HS	Exports	Share in exports	Imports	Share in imports	HS	Exports	Share in export	Imports	Share in imports
					12	261,517.1	9.4	37,158.7	0.6
					10	232,129.2	8.4	22,567.6	0.4
					22	217,384.0	7.8	62,899.1	1.1
					08	211,608.5	7.6	71,251.36	1.2
					15	66,974.9	2.5	19,747.3	0.3
					20	72,828.65	2.6	26,838.5	0.5
					01	10,014.9	0.4	5,549.6	0.1
					14	1,121.9	0.0	199.9	0.0
Group D:					Group C:				
HS	Exports	Share in export	Imports	Share in imports	HS	Exports	Share in export	imports	Share in imports
03	0	0.0	47,288.4	0.8					
13	21.2	0.0	1,343.8	0.0					
05	448.3	0.0	6,989.7	0.1					
17	10,135.7	0.4	17,795.1	0.3					
23	25,457.5	0.9	31,847.9	0.5					
09	1,743.8	0.1	17,917.79	0.3					
16	23.3	0.0	17,343.8	0.3					
06	2,035.7	0.1	20,033.4	0.3					
18	8,475.9	0.3	25,828.2	0.4					
11	1,523.1	0.1	24,228.1	0.4					
02	8,727.9	0.3	41,760.6	0.7					
19	16,582.9	0.6	50,393.2	0.9					
24	22,372.4	0.8	65,306.3	1.1					
04	18,988.5	0.7	64,580.4	1.1					
07	9,358.3	0.3	65,942.0	1.1					
21	8,667.7	0.3	71,088.1	1.2					

Source: own calculations

The relation with C.I.S. market experienced a constant decrease, caused by the restrictive measures applied by Russian Federation in several years (2006 & 2013 interdiction for wine exports, 2014 imposed tariffs and interdiction of fruits and meat exports), the economic recession in Ukraine and Belarus. From 2013 a constant decrease of exports towards this market is observed.

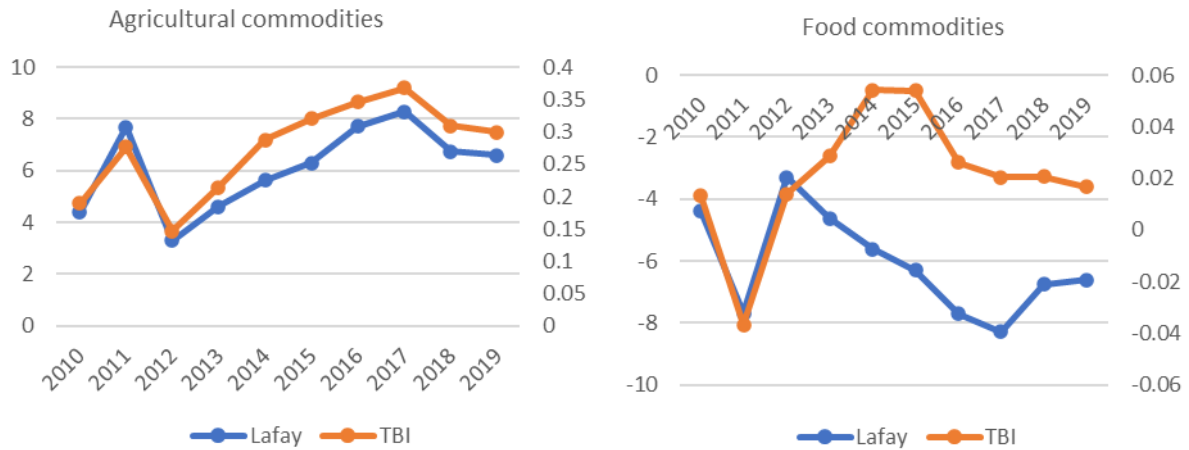
On the C.I.S. market important trade partners are Ukraine, Russia, Belarus. Ukraine is an important trade partner for both Moldova's imports and exports.

For a country to fully benefit from its trade activity is important to increase the competitiveness of the commodities that reveal a trade advantage. The results of "product mapping" approach reveals that Moldova had trade advantages and positive trade balance index for eight agricultural and food commodities (Table 2).

Moldova has positive Lafay index and TBI for commodities as oil seeds and oleaginous plants, cereals, beverages, edible fruits and nuts, animal or vegetable fats and oils, preparations of vegetables etc.

Moreover, the country has both competitive advantage (based on Lafay index) and presents positive trade balance index for six agricultural commodities and only two food products (HS 22, HS 20).

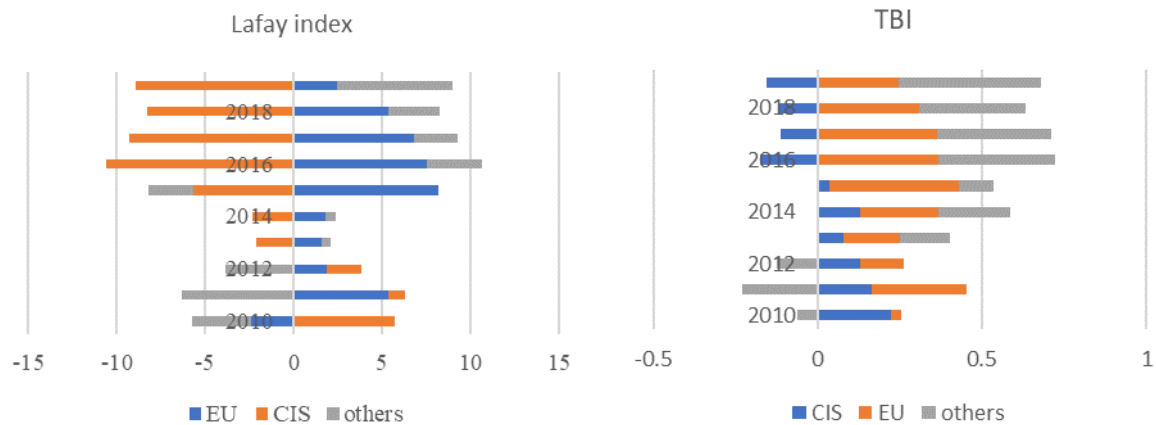
Figure 1. Competitiveness of agricultural and food commodities based on Lafay index and TBI results, 2001-2019



Source: own calculations

According to the Lafay index and TBI estimated separately for agricultural commodities (HS 01-15) and food commodities (HS16-24) trade advantages are obvious for agricultural products (Fig. 1), while foodstuffs in general present disadvantages.

Figure 2. Competitiveness of agricultural and food commodities with main trading partners based on Lafay index and TBI results, 2001-2019



Source: own calculations

Until 2011, Moldova had competitive disadvantage and positive trade balance in relation with E.U. Market. Nevertheless, analyzing trade competitiveness by main trading partners (Fig. 2) an obvious increase is obvious in the case of E.U. market and other trade partners, while in relation to C.I.S. countries trade disadvantages increase after 2013. In relation to other trading partners, the competitive advantages started to increase after 2013. In the case of trade relations with E.U., the increase in competitiveness after 2013, coincides with signing the DCFTA that could have generated the increased agri-food trade flows on the European market. An important step for Moldova's comparative advantages increase depends on the level of integration on the European market.

4. CONCLUSIONS

The examined period imposed changes in Moldova's trade flows. Thus, there was an increase in both total exports and imports. Moldova's exports increased by 80%, while imports increased by 50%. The agri-food trade balance is maintained positive, Moldova being a net exporter of agricultural and food commodities. During this period E.U. strengthen its position as main market for Moldova's exports. The final contribution to this closer collaboration had the Deep and Comprehensive Free Trade Agreement.

Moldova has positive Lafay index and TBI for commodities as oil seeds and oleaginous plants, cereals, beverages, edible fruits and nuts, animal or vegetable fats and oils, preparations of vegetables etc. According to the Lafay index and TBI estimated separately for agricultural commodities and food commodities (HS16-24) trade advantages are obvious for agricultural products, while foodstuffs in general present disadvantages. Moldova had competitive disadvantage and positive trade balance in relation with E.U. market being noticed an obvious increase, as well as with other trade partners, while in relation to C.I.S. countries trade disadvantages increase in the same period.

References

1. Cimpoeș L. (2015). The potential of Moldovan agri-food products on EU markets. Rural Areas and Development series, vol. 12., pp.21-33
2. Latruffe L. (2010). "Competitiveness, Productivity and Efficiency in the Agricultural and Agri-Food Sectors," OECD Food, Agriculture and Fisheries Papers 30, OECD Publishing.
3. Smutka L., Maitah M., Svatos M. (2018). Changes in the Czech agrarian foreign trade competitiveness – different groups of partners' specifics. Agric. Econ. – Czech, 64:399-411
4. Widodo T. (2009). Comparative advantage: Theory, empirical measures and case studies. Review of Economic and Business Studies, vol. 4, pp.57-82

Big Data Analysis Process

Ljupce Markusheski, Ph D1

Igor Zdravkoski, Ph D2

Miroslav Andonovski, Ph D3

Spiro Lazareski, Ms C4

1Faculty of Economics – Prilep, Republic of North Macedonia, ljupce.markusoski@uklo.edu.mk.

2Faculty of Economics – Prilep, Republic of North Macedonia, e-mail: igor.zdravkoski@uklo.edu.mk.

3Faculty of Economics – Prilep, Republic of North Macedonia, e-mail: miroslav.andonovski@uklo.edu.mk.

4Faculty of Economics – Prilep, Republic of North Macedonia, e-mail: spire.lazareski@uklo.edu.mk.

Abstract: Collection and analysis of large, variable and diverse data, called the large term Big Data is now a very important process, which allows companies to build a clear competitive advantage. Down a recent activity involving the analysis of such data sets was reserved only for the largest companies. For some time, however this approach begins to change, which results in the above analyzes may be carried out also in small and medium-sized enterprises. Field called Big Data Analysis, becoming more common allows smaller companies to compete with the largest. This is possible because it is outdated methods of making business decisions solely on the basis of luggage experience and intuition are replaced by leaning on a huge one the amount of data regarding both user traffic on the Internet and in the Internet everyday life. The limit of the use of such data may be only the limit of ideas in the heads of analysts.

Due to the fact that data analysis in the Big Data area is becoming more and more common solution, it is worth analyzing the benefits of implementation this technology. However, to remain an objective and conscious beneficiary Big Data should not forget about the negative aspects of such implementations and threats that are associated with it.

The importance of Big Data doesn't revolve around how much data you have, but what you do with it. You can take data from any source and analyze it to find answers that enable 1) cost reductions, 2) time reductions, 3) new product development and optimized offerings, and 4) smart decision making.

Keywords: Big Data, Data Minig, , Data Analysis, Databases, Data Warehouse.

1. INTRODUCTION

Collection and analysis of large, variable and diverse data, called the large term Big Data is now a very important process, which allows companies to build a clear competitive advantage. Down a recent activity involving the analysis of such data sets was reserved only for the largest companies. For some time, however this approach begins to change, which results in the above analyzes may be carried out also in small and medium-sized enterprises. Field called Big Data Analysis, becoming more common allows smaller companies to compete with the largest. This is possible because it is outdated methods of making business decisions solely on the basis of luggage experience and intuition are replaced by leaning on a huge one the amount of data regarding both user traffic on the Internet and in the Internet everyday life. The limit of the use of such data may be only the limit of ideas in the heads of analysts.

Due to the fact that data analysis in the Big Data area is becoming more and more common solution, it is worth analyzing the benefits of implementation this technology. However, to remain an objective and conscious beneficiary Big Data should not forget about the negative aspects of such implementations and threats that are associated with it.

The importance of big data doesn't revolve around how much data you have, but what you do with it. You can take data from any source and analyze it to find answers that enable 1) cost reductions, 2) time reductions, 3) new product development and optimized offerings, and 4) smart decision making. When you combine big data with high-powered analytics, you can accomplish business-related tasks such as:

- Determining root causes of failures, issues and defects in near-real time.
- Generating coupons at the point of sale based on the customer's buying habits.
- Recalculating entire risk portfolios in minutes.
- Detecting fraudulent behavior before it affects your organization.

2. BIG DATA

Big Data is a phrase used to mean a massive volume of both structured and unstructured data that is so large it is difficult to process using traditional database and software techniques. In most enterprise scenarios the volume of data is too big or it moves too fast or it exceeds current processing capacity.

Big Data has the potential to help companies improve operations and make faster, more intelligent decisions. The data is collected from a number of sources including emails, mobile devices, applications, databases, servers and other means. This data, when captured, formatted, manipulated, stored and then analyzed, can help a company to gain useful insight to increase revenues, get or retain customers and improve operations.

Before businesses can put big data to work for them, they should consider how it flows among a multitude of locations, sources, systems, owners and users. There are five key steps to taking charge of this big “data fabric” that includes traditional, structured data along with unstructured and semi structured data.

1) Set a big data strategy

At a high level, a big data strategy is a plan designed to help you oversee and improve the way you acquire, store, manage, share and use data within and outside of your organization. A big data strategy sets the stage for business success amid an abundance of data. When developing a strategy, it’s important to consider existing – and future – business and technology goals and initiatives. This calls for treating big data like any other valuable business asset rather than just a byproduct of applications.

2) Know the sources of big data

- **Streaming data** comes from the Internet of Things (IoT) and other connected devices that flow into IT systems from wearables, smart cars, medical devices, industrial equipment and more. You can analyze this big data as it arrives, deciding which data to keep or not keep, and which needs further analysis.
- **Social media** data stems from interactions on Facebook, YouTube, Instagram, etc. This includes vast amounts of big data in the form of images, videos, voice, text and sound – useful for marketing, sales and support functions. This data is often in unstructured or semi structured forms, so it poses a unique challenge for consumption and analysis.
- **Publicly available data** comes from massive amounts of open data sources like the US government’s data.gov, the CIA World Factbook or the European Union Open Data Portal.
- **Other big data** may come from data lakes, cloud data sources, suppliers and customers.

3) Access, manage and store big data

Modern computing systems provide the speed, power and flexibility needed to quickly access massive amounts and types of big data. Along with reliable access, companies also need methods for integrating the data, ensuring data quality, providing data governance and storage, and preparing the data for analytics. Some data may be stored on-premises in a traditional data warehouse – but there are also flexible, low-cost options for storing and handling big data via cloud solutions, data lakes and Hadoop.

4) Analyze big data

With high-performance technologies like grid computing or in-memory analytics, organizations can choose to use all their big data for analyses. Another approach is to determine upfront which data is relevant before analyzing it. Either way, big data analytics is how companies gain value and insights from data. Increasingly, big data feeds today’s advanced analytics endeavors such as artificial intelligence.

5) Make intelligent, data-driven decision

Well-managed, trusted data leads to trusted analytics and trusted decisions. To stay competitive, businesses need to seize the full value of big data and operate in a data-driven way – making decisions based on the evidence presented by big data rather than gut instinct. The benefits of being data-driven are clear. Data-driven organizations perform better, are operationally more predictable and are more profitable.

3. BIG DATA ANALYSIS PROCESS

Big Data Analysis is a complete process of examining large sets of data through varied tools and processes in order to discover unknown patterns, hidden correlations, meaningful trends, and other insights for making data-driven decisions in the pursuit of better results.

Today, Big Data is one of the most important discussions among business leaders and industry captains. We are today living in a digitally-driven world, due to which every enterprise is going after Big Data in order to derive valuable insights out of the huge amount of raw data. So, in this blog post, we will learn what Big Data Analytics is, why it is so important, and what its various features and advantages are.

Big Data is primarily measured by the volume of the data. But along with that, Big Data also includes data that is coming in fast and at huge varieties. Primarily, there are three types of Big Data, namely:

- Structured Data
- Unstructured Data
- Semi-structured Data

Big Data can be measured in terms of terabytes and more. Sometimes, Big Data can cross over petabytes. The **structured data** includes all the data that can be stored in a tabular column. The **unstructured data** is the one that cannot be stored in a spreadsheet; and **semi-structured data** is something that does not conform with the model of the structured data. You can still search semi-structured data just like structured data, but it does not offer the ease with which you can do it on the structured data.

The structured data can be stored in a tabular column. Relational databases are examples of structured data. It is easy to make sense of the relational databases. Most of the modern computers are able to make sense of structured data.

Unstructured data, on the other hand, is the one which cannot be fit into tabular databases. Examples of unstructured data include audio, video, and other sorts of data which comprise such a big chunk of the Big Data today.

The semi-structured data includes both structured and unstructured data. This type of data sets include a proper structure, but still it might not be possible to sort or process that data due to some constraints. This type of data includes the XML data, JSON files, and others.

For most businesses and government agencies, lack of data isn't a problem. In fact, it's the opposite: there's often too much information available to make a clear decision.

With so much data to sort through, you need something more from your data:

- You need to know it is the right data for answering your question;
- You need to draw accurate conclusions from that data; and
- You need data that informs your decision making process

In short, you need better data analysis. With the right data analysis process and tools, what was once an overwhelming volume of disparate information becomes a simple, clear decision point.

To improve your data analysis skills and simplify your decisions, execute these five steps in your data analysis process (Figure 1):

Figure 1. 5 Tips For Security Data Analysis



Step 1: Define Your Questions

In your organizational or business data analysis, you must begin with the right question(s). Questions should be measurable, clear and concise. Design your questions to either qualify or disqualify potential solutions to your specific problem or opportunity.

For example, start with a clearly defined problem: A government contractor is experiencing rising costs and is no longer able to submit competitive contract proposals. One of many questions to solve this business problem might include: Can the company reduce its staff without compromising quality?

Step 2: Set Clear Measurement Priorities

This step breaks down into two sub-steps: A) Decide what to measure, and B) Decide how to measure it.

A) Decide What To Measure

Using the government contractor example, consider what kind of data you'd need to answer your key question. In this case, you'd need to know the number and cost of current staff and the percentage of time they spend on necessary business functions. In answering this question, you likely need to answer many sub-questions (e.g., Are staff currently under-utilized? If so, what process improvements would help?). Finally, in your decision on what to measure, be sure to include any reasonable objections any stakeholders might have (e.g., If staff are reduced, how would the company respond to surges in demand?).

B) Decide How To Measure It

Thinking about how you measure your data is just as important, especially before the data collection phase, because your measuring process either backs up or discredits your analysis later on. Key questions to ask for this step include:

What is your time frame? (e.g., annual versus quarterly costs)

What is your unit of measure? (e.g., USD versus Euro)

What factors should be included? (e.g., just annual salary versus annual salary plus cost of staff benefits)

Step 3: Collect Data

With your question clearly defined and your measurement priorities set, now it's time to collect your data. As you collect and organize your data, remember to keep these important points in mind:

Before you collect new data, determine what information could be collected from existing databases or sources on hand. Collect this data first.

Determine a file storing and naming system ahead of time to help all tasked team members collaborate. This process saves time and prevents team members from collecting the same information twice.

If you need to gather data via observation or interviews, then develop an interview template ahead of time to ensure consistency and save time.

Keep your collected data organized in a log with collection dates and add any source notes as you go (including any data normalization performed). This practice validates your conclusions down the road.

Step 4: Analyze Data

After you've collected the right data to answer your question from Step 1, it's time for deeper data analysis. Begin by manipulating your data in a number of different ways, such as plotting it out and finding correlations or by creating a pivot table in Excel. A pivot table lets you sort and filter data by different variables and lets you calculate the mean, maximum, minimum and standard deviation of your data.

As you manipulate data, you may find you have the exact data you need, but more likely, you might need to revise your original question or collect more data. Either way, this initial analysis of trends, correlations, variations and outliers helps you focus your data analysis on better answering your question and any objections others might have.

During this step, data analysis tools and software are extremely helpful. Visio, Minitab and Stata are all good software packages for advanced statistical data analysis. However, in most cases, nothing quite compares to Microsoft Excel in terms of decision-making tools. If you need a review or a primer on all the functions Excel accomplishes for your data analysis.

Step 5: Interpret Results

After analyzing your data and possibly conducting further research, it's finally time to interpret your results. As you interpret your analysis, keep in mind that you cannot ever prove a hypothesis true: rather, you can only fail to reject the hypothesis. Meaning that no matter how much data you collect, chance could always interfere with your results.

As you interpret the results of your data, ask yourself these key questions:

Does the data answer your original question? How?

Does the data help you defend against any objections? How?

Are there any limitation on your conclusions, any angles you haven't considered?

If your interpretation of the data holds up under all of these questions and considerations, then you likely have come to a productive conclusion. The only remaining step is to use the results of your data analysis process to decide your best course of action.

By following these five steps in your data analysis process, you make better decisions for your business or government agency because your choices are backed by data that has been robustly collected and analyzed. With practice, your data analysis gets faster and more accurate – meaning you make better, more informed decisions to run your organization most effectively.

Want to draw the most accurate conclusions from your data? Click below to download a free guide from Big Sky Associates and discover how the right data analysis drives success for your organization.

4. BENEFITS OF USING SOLUTIONS BASED ON BIG DATA ANALYSIS

Among the positive aspects of the implementation of applications based on analysis Big Data, we can distinguish the ease of searching related information offers, recommendation systems and dynamic pricing. It is possible, thanks to the collection of various e-commerce software by suppliers type of data, such as geographical distribution, emotional tendencies users, their behavior during shopping, but also connections with social groups, hobbies, preferred companies and all others preferences. This data can be used in the future to increase the level customer satisfaction. E-commerce service providers use information and

communication technologies through diversified data mining techniques to provide personalized services to clients, or redesign websites according to defined requirements.

Searching for information

Consumers who are driven by emotions are susceptible to suggestions, thanks why it is easier to manage their demand for your dream products. Speed and The convenience of searching for information on the Internet is one of the basic ones aspects that encourage customers to shop online. Using site Big Data analysis tools are able to filter and search huge amounts data to provide only those matching the user's profile. Technology text mining technology is used inside the network, to find correlations between text searches and catalogs products and any coincidences. The very concept of Big Data is strictly related to finding dependencies and offering the right ones products to the right people at the right price at the right time. An example is Google, which personalizes search results on based on user profiles, as well as Amazon, which offers various pages main with different products on offer for practically every user. It's all about getting to know your consumer by connecting different data sources to get what they really need.

Recommendation system

Recommendation systems have become a very popular solution among such giants as Amazon, eBay, Netflix, Monster and other sites sales, where products are recommended to users. This the solution creates a relationship between the e-supplier and the buyer. This relationship consists in exchange of information, such as hobbies or all kinds of preferences, received from a given user on offers tailored to his needs, which he undertakes give him a supplier. In this model both sides gain, and its details conceal in collaborative filtration based on users points in the point space. Collaborative filtering systems they use user interaction and product information at the same time ignoring the other factors to create suggestions. Selected for this purpose algorithms are designed to find the closest suggestion, taking into account relationship between products and users. Other algorithms are based on an example of suggesting typical products to new customers about which it has too little data - this is what happens with the Cold starting algorithm. An additional algorithm of interest is the cluster analysis algorithm, which involves grouping similar users and products to optimize the analysis of huge data matrices.

Dynamic valuation

A method of regulating the value of goods consisting in determining various prices of individual products depending on the customer, location, type of product and time. Dynamic price fixing has become more popular with spreading internet marketing. The concept is the most common defined as the purchase and sale of products on the markets on which prices they can be adapted to the conditions of demand and supply at the level transaction. The reason for such practices is the intention to maximize profit sellers by imposing the highest price on the customer that they are willing to pay for pay the product. Customer reactions to this scheme will be significant impact on their satisfaction with shopping and subsequent intentions of behavior. An example is Amazon, where the prices of products change every day, weekly or monthly with an adequate 5%, 10% and 15%. Using this methods have become more practical in the era of increased shopping popularity online.

Customer service

Providing high-quality customer service is an important key to happy clients. Big Data enables significant improvement of services provided at using deep data analysis. Some customers may not complain about it products through official channels available on the website. Instead, they can use appropriate groups in the media social networks. Therefore, it is extremely important to have data about such clients and exceptional vigilance to detect this kind of behavior and address double quickly. Big Data is used to expand processes Business. Sellers can optimize their assortment based on predictions from search trends, customer behavior or forecasts weather. One of the ways to increase customer satisfaction is use of radios adapters and sensors to enable the customer tracking orders.

5. NEGATVE ASPECTS OF USING SOLUTION BASED ON BIG DATA ANALYSIS

In addition to a number of benefits that result from the implementation of Big-based analyzes The date, increasing the value of services provided to the customer, also exist threats that may be caused by the implementation of such solutions. The following examples present the negative effects of using this solution.

Privacy and data security

Privacy in Big Data is one of the most awesome aspects controversies due to the characteristics of Big Data analyzes in the environment e-commerce. Large accumulation of data becomes very desirable by hackers, because there is a high probability that with this amount of data, certain files or documents will contain sensitive and sensitive data. The large diversity of data in Big Data leads to difficulties in management them by businesses, which can lead to a situation where people third parties will gain access to them, and this violates data protection regulations.

Addiction to shopping

The problem associated with addiction to shopping is frequent, but insufficiently noticed side effect in the world of e-commerce. Addiction to certain behaviors is an individual failure in controlling your desires. For those addicted to shopping, they become uncontrollable they are eager to spend money not only on things they like, but also for things that they will never use after buying. In this case, Big Data analysis they can suggest to the customer many products similar to those that have already been purchased by him, which in extreme situations may even lead to bankruptcies of vulnerable customers.

Group influence

Consumers are susceptible to the influence of the social groups in which they are they find, as well as those to whom they aspire to join. The influence of such groups may be directed by change the way you think about a given product at a time when the unit will analyze the group's opinions on it. People often buy goods, to express yourself and at the same time show belonging to groups of people who think similarly. In case potential customers browse products in groups, where many people give their opinion, thanks to Big Data technology they will be in the future flooded with ads suggesting their purchase, ultimately to him lead.

6. CONCLUSION

Data mining can be used for reducing costs and increasing revenues. Data mining is one of the fundamental steps in the Data Analytics process. It is the step wherein you perform the Extract, Transform, and Load for getting the right data into data warehouses. It also takes on the task of storing and managing data based in multidimensional databases. Within data mining, we have some recent phenomena that are based on contextual analyzing of big data sets to discover the relationship between separate data items. The objective is to use a single data set for different purposes by different users. Finally, data mining is also assigned with the task of presenting the data which has been analyzed in a simple yet effective way.

There are various tools in Big Data Analytics that can be successfully deployed in order to parse data and derive valuable insights out of it. The computational and data-handling challenges that are faced at scale mean that the tools need to be specifically able to work with such kinds of data.

The advent of Big Data changed analytics forever, thanks to the inability of the traditional data handling tools like relational database management systems to work with Big Data in its varied forms. Also, data warehouses could not handle data of extremely big size.

The era of Big Data drastically changed the requirements for extracting meaning from business data. In the world of relational databases, administrators easily generated reports on data contents for business use, but these provided little or no broad business intelligence. For that, they employed data warehouses, but data warehouses generally cannot handle the scale of Big Data, cost-effectively.

REFERENCES

- [1] Anil Maheshwari, (2020), Big Data Made Accessible, Kindle Edition.
- [2] Soraya Sedkaoumi, (2018), Data Analytics and Bid Data, Wiley Online Libery.
- [3] Govindaraju, Raghavan and Rao, (2015) Big Data Analytics, 1st Edition, Imrint: Elsevier, Nort Holland.
- [4] Kenneth Cukier, (2014), Big Data: A revolution That Will Transform How We Live, Work and Think, Wiley.
- [5] Thomas H. Davenport, (2014), Big Data at Work: Disspeling The Myths, Uncovering the Opportunities Hardcover, Harward Business School Publishing Corporation.
- [6] Michael Minelli, Michele Chambers, Ambiga Dhizaj, (2013), Big Data, Big Analytics: Emerging Business Intelligence and Analytic trnds for Today's Businesses, Wiley.
- [6] Domingos, P., Hulten, G., (2000), Mining High-Speed Data Streams. Proceedings of the Sixth ACM-SIGKDD International Conference on Knowledge Discovery and Data Mining, Boston, MA, pages 71–80.

WEBSITES

1. https://www.tutorialspoint.com/excel_data_analysis/data_analysis_process.htm
2. <https://searchbusinessanalytics.techtarget.com/definition/big-data-analytics>
3. <https://www.bigskyassociates.com/blog/bid/372186/The-Data-Analysis-Process-5-Steps-To-Better-Decision-Making>
4. <https://www.happiestminds.com/Insights/big-data-analytics/>
5. <http://lean-management.pl/technologie/wprowadzenie-do-data-mining>
6. <https://www.informit.com/articles/article.aspx?p=2473128&seqNum=11ata>

Festival tourisms effect on economic growth: Case on Dokufest film festival (2015-2018)

Luan VARDARI¹

¹University of Prizren “UKSHIN HOTI”. Faculty of Economics. luan.vardari@uni-prizren.com, Orcid: 0000-0003-3212-5783

Abstract: Festivals are very important in the history of human being. It gives peace and breaks the monotony of the people. DokuFest is one of the most successful and best-known festivals in the region and the world for documentary and short films. DokuFest's impact on the country's cultural life is one aspect that has already been highly appreciated by many acquaintances of this field. In addition to the cultural aspect, DokuFest has a great impact on the economy of Prizren in particular, but also in Kosovo in general.

The purpose of this study is to measure the economic impact of the nine-day festival between 2015 – 2018 in the city of Prizren. Because of the high informality that exists in Kosovo, the exact measurement of this influence and the cash flow is difficult. For this reason, a questionnaire was compiled, supplemented by 3,015 respondents - participants in DokuFest. In addition to the surveys, data from the Kosovo Tax Administration on revenues from the city of Prizren were obtained during the summer months. TAK data show that it has higher incomes during the month of the DokuFest festival.

Analysis were made using the SPSS 23 program, based on questionnaires and data from 2015-2018. The results show us that the DokuFest Kisa Film Festival in Prizren had a serious effect on the economy of the city during the dates set. Most of the participants in the survey responded that DokuFest was not only in festivals but in the next months it was tourism.

Keywords: Festival Tourism, Film Festival, Economic Growth, Kosovo

Jel Codes: L83, F43, Q56

1. INTRODUCTION

DokuFest is one of the most successful and best-known festivals in the region and the world for documentary and short films. Numerous artists from all over the world participate in this festival. DokuFest's impact on the country's cultural life is one aspect that has already been highly appreciated by many acquaintances of this field.

In addition to the cultural aspect, DokuFest has a great impact on the economy of Prizren in particular, but also in Kosovo in general. The economic impact was demonstrated in 2011 through an analysis conducted by the GAP Institute in cooperation with DokuFest, where based on the 20% import trend and the number of visitors it was estimated that the impact of DokuFest 2011 on Gross Domestic Product (GDP) of 3.1 million euros, while together with consumer spending, the value reached 3.8 million euros (GAP, 2011).

The main beneficiaries of this festival were local businesses in the city of Prizren, such as hotels, landlords, restaurants, cafes, outpatients, but also businesses at the national level, such as airline companies, banks and telecommunications companies. This festival is also known for creating job opportunities, creating new investments, raising tax revenues, and stimulating the local economy through tourism.

In the 14th edition of DokuFest, that is 2018, there were more than 25,000 participants. Of them, about 12,000 or 48%, participated for the first time, while their average age was about 26 years. From 2011 until now, the number of participants has increased by more than 50% and based on previous trends, this number will continue to grow even more in the coming years. As a result, the impact of DokuFest 2018 on Gross Domestic Product, prone to import of 48%, is estimated at 2.4 million euros annually. If consumption expenditures are calculated, the annual impact is estimated to be over 4.7 million euros.

This paper presents the direct and indirect impact of the festival on Gross Domestic Product as well as macroeconomic forecasts for the years 2015-2018.

2. LITERATURE REVIEW

Cundy (2013) in his article he is dedicated to festivals and their role in tourism. First, what events can be considered as festivals. In a joint work by Polish and Slovak geographers. The purpose of the article is to compensate for the lack of geographical works related to festive tourism. The aim of the author is to present

festivals as a study object in tourism geography, to define the tourism holiday definition, and to determine its main impacts on the tourist space (functions and disadvantages of tourism). Moreover, the festival's tourism individuality is expressed through multiple influences on various elements of the tourist space. Festivals have an impact on natural heritage, for example by promoting nature conservation. They represent material and non-material culture and attract tourists to places of cultural heritage. They are events that promote culture and make it possible to experience it, give tourists fun and offer them an opportunity to spend their free time in an interesting way. They also have an impact on tourist infrastructure. They provide an opportunity to exchange information and ideas as well as to learn. Favors promote tolerance and multiculturalism. All of these elements are the positive influences (functions) of festive tourism.

Congcong (2014) in his paper presents the concepts and characteristics of festive tourism; Second, it analyzes the status of the development of the Shanghai tourism festival and the questions of existence; Then, at the Shanghai Tourism Festival as an example for empirical analysis, to analyze the impact of festive tourism in the city. Finally, according to the problems posed by constructive suggestions, to provide a reference for the sustainable development of festive tourism in Shanghai.

Pedersen and Mazza (2011) Studying the cities of Copenhagen and Rome asked why the public authorities of these cities set up their film festivals in an already saturated field of international film festivals? The paper approached this issue by focusing on the dilemma of inclusion and exclusion that late adopters and newcomers face when trying to put themselves within an institutionalized area.

Getz (2010) in his paper analyzes the nature and purpose of the festival's studies by examining the compilation and analysis of a comprehensive review of the literature of 423 research articles published in the English language press. These are marked and their topics are classified according to a predefined framework. This method enabled the identification and discussion of three main discourses, namely the roles, meanings and influences of festivals in society and culture, festive tourism and festival management. The findings focus on discovered research blanks and the need for greater interdisciplinarity to advance the festival's field of study.

3. METODOLOGY

The purpose of this study is to measure the economic impact of the nine-day festival in the city of Prizren. Because of the high informality that exists in Kosovo, the exact measurement of this influence and the cash flow is difficult. For this reason, in this article, in cooperation with DokuFest organizers, they have compiled a questionnaire that was completed by 1,015 respondents - participants in DokuFest. The number of visitors to DokuFest, which was held in the years 2015 - 2018, based on the number of tickets sold to watch movies displayed in the city's eight cinemas and participants in other activities organized by DokuFest, was over 15,000.

The sample of 1,015 respondents shows 1/15 of total DokuFest visitors, or every fourth person who bought something in DokuFest stores. This sample is considered inclusive and accepted. The survey was conducted with resident and non-resident visitors of the city of Prizren.

In addition to the surveys, data from the Kosovo Tax Administration on revenues from the city of Prizren were obtained during the summer months. Tax Administration of Kosovo data show that it has higher incomes during the month of the DokuFest festival.

4. DOKUFEST'S ECONOMIC IMPACT

The organization of the DokuFest festival has a direct and indirect impact on the country's economy. The direct impact comes from costs that are directly related to the organization of events. While the indirect impact includes persons or enterprises benefiting from the organization of this event, which in the case of DokuFest are entrepreneurs offering services to visitors in transport, food, recreation, accommodation, seasonal employment as a result of increased economic activity and others.

Direct Impact - For the organization of the DokuFest festival (for a year), a total of € 315,430 was collected from various donors, sponsors, own source revenues and borrowings. Of this amount, over 131,000 euros have been spent on human resources, accommodation and transport; 29,000 euros in marketing; 18,000 euros in equipment, logistics, and maintenance; and 136,000 euros in prize winners, DokuNights, DokuPhoto, DokuKids,

Panels, Master Classes and Workshops, and so on. So direct beneficiaries of the festival are the persons or enterprises that are directly involved in the organization of the festival.

Table 1. DokuFest's impact on gross domestic product (GDP) for 2015 – 2018

Years		2015		2015		2016		2017		2018		Total 4 Year
Nr. Of Visitors		15,000		15,000		16,500		18,150		19,965		Direct Impact
Visitor Residence	Proportion	Expenses	Total Expenses in DokuFest	EUR	Growth	EUR	Growth	EUR	Growth	EUR	EUR	EUR
Prizren	25%	102	382,500	198,900	10%	218,790	10%	240,669	10%	264,736	923,095	
Prizren Outside	38%	184	1,048.800	545,377	10%	599,914	10%	659,905	10%	753,895	2,531.090	
Insternational Visitors	37%	221	1,228.215	638,672	10%	702,539	10%	772,793	10%	850,072	2,964.076	
Total expenditures in Prizren / Kosovo		2,659.515		Direct Impact on Economics	1,382.948	1,521.243		1,673.367		1,840.704	6,418.261	
The money multiplier in circulation in the medium term (4 Year)		1,78		2,461.647	2,707.812	2,978.593		3,276.452		11,424.504		

Indirect Impact - On the other hand, due to the increase in the number of visitors and consequently the consumption, during the DokuFest festival (for a year) have benefited many business enterprises in Prizren that provided accommodation, food, transport, recreational services others. Also, compared to July 2015, during August when DokuFest was held, tax revenues increased by 44% 1. Below are some of the indirect benefits that come from the residents of Prizren as well as other visitors from Kosovo and other countries of the world. This impact is calculated from the average costs declared by visitors to the survey. Based on the collected data, Prizren citizens spend on average nine euros per day. This amount includes daily expenses for food, transportation, and recreation. Compared to the usual days, during this festival Prizren citizens almost double the daily expenses, from nine euros to 17 euros a day.

Table 2. Impact on consumer spending for 2015 – 2018

Years		2015		2015		2016		2017		2018		Total 4 Year
Nr. Of Visitors		15,000		15,000		16,500		18,150		19,965		Direct Impact
Visitor Residence	Proportion	Expenses	Total Expenses in DokuFest	EUR	Growth	EUR	Growth	EUR	Growth	EUR	EUR	EUR
Prizren	25%	102	382,500	382,500	10%	420,750	10%	462,825	10%	509,108	1,775.183	
Prizren Outside	38%	184	1,048.800	1,048.800	10%	1,153.680	10%	1,269.048	10%	1,395.753	4,867.481	
Insternational Visitors	37%	221	1,228.215	1,228.215	10%	1,351.037	10%	1,486.140	10%	1,634.754	5,700.146	
Total expenditures in Prizren / Kosovo		2,659.515		Direct Impact on Economics	2,659.515	2,925.467		3,218.013		3,539.814	12,343.809	
The money multiplier in circulation in the medium term (4 Year)		1,78		4,733.937	5,207.330	5,728.063		6,300.870		21,970.00		

5. MACROECONOMIC IMPACT

The assumptions of the macroeconomic model for the economic impact of DokuFest are:

The total number of visitors to DokuFest 2015 is about 15,000 people. 25% of the participants were from Prizren; 38% outside Prizren but residents of Kosovo, and 37% international visitors. The amount spent on visitors is taken from the survey and it is estimated that the participants from Prizren spend an average of 102 euros throughout the festival, persons outside Prizren spend on average 184 euros, while visitors from abroad spend 221 euros. In this model are presented two projections, the first table includes the economic impact and removes the effect of the import, while the second table represents all the costs. Expenditure data show that a large number of consumptions is concentrated in services, which are largely local. However, according to data from the Kosovo Agency of Statistics (KAS), 48% of consumed products are imported, unlike the economic

impact analysis of DokuFest 2011, when the import trend was assumed to be 20% has the lowest impact on GDP decline than the value of 2015 that is 48%. Similarly, to the first report, this year's model predicts the economic impact and impact on consumption for 4 years, including the effect of multiplier or cash flow after initial spending. In 2015, cash flow is estimated at 1,782, a value that is calculated from TAK data on the change of GDP and household consumption, in 2016 is 2,46, in 2017 is 2,97 and in this year is 3,27. Based on the previous trend of increasing the number of visitors, this model predicts a 10% increase over the next three years. While the cost per person and the proportion of Prizren, foreign and international participants remain the same.

6. RESULT

In this report is estimated the economic impact of the DokuFest festival. In conclusion, this festival has increased its economic activity (GDP) to over 2.4 million euros. If consumption expenditures are calculated, the annual impact is estimated to be over 4.7 million euros. Compared with the preliminary analysis, that of the economic impact of DokuFest 2011, this year the impact on spending has increased by about 24%, while the number of visitors by 50%.

Based on Table 1, the number of participants is expected to increase by 10% each year by 2018, while the impact on gross domestic product (GDP) is projected to reach 2.4 million in 2015 to 3.2 million in 2018. Similar growth expected to be in consumption, Table 2 predicts that the increase from 4.7 million in 2015 will exceed 6.3 million in 2018.

Both in 2015-2018, the main beneficiaries of the festival are expected to be local businesses in the city of Prizren, such as coffee shops, restaurants, street vendors, hotels, landlords, etc., but also businesses at the national level, such as airline companies, banks or telecommunications companies. Also, increase in revenues was recorded in the Tax Administration of Kosovo (TAK). Compared to July 2015, while DokuFest was held, tax revenues increased by 44%. Economic impact is not limited to the city of Prizren, because the growth of economic activity through the multiplier is circulating money throughout Kosovo.

REFERENCES

- Cundy W. (2013). "Festival Tourism – The Concept, Key Functions And Dysfunctions In The Context Of Tourism Geography Studies". *Geografický Časopis / Geographical Journal* 65 (2013) 2, 105-118.
- Congcong T. (2014). "The Study of Festival Tourism Development of Shanghai". *International Journal of Business and Social Science* Vol. 5 No. 4. Special Issue – March 2014.
- Pederssen & Mazza (2011). "International Film Festivals: For the Benefit of Whom?". *Culture Unbound (Journal of Current Cultural Research)*, Volume 3, 2011: 139–165.
- Getz D. (2010). "The Nature and Scope Of Festival Studies". *International Journal of Event Management Research* Volume 5, Number 1.
- GAP Institute Dokufest 2011 Report, (2011). GAP Institute Think Thank, Prishtina, Kosova. http://www.institutigap.org/documents/22462_TheEconomicImpactofDokuFest.pdf

The COVID-19 Generated Crisis and the Impact on the Higher Education in the Field of Economics

Mariana JUGANARU ¹

Ion-Danut JUGANARU ²

Andreea-Daniela MORARU ³

¹ Ovidius University of Constanta, Romania, mjuganaru@univ-ovidius.ro

² Ovidius University of Constanta, Romania, djuganaru@univ-ovidius.ro

³Ovidius University of Constanta, Romania, amoraru@univ-ovidius.ro, Orcid: 0000-0002-9329-3230

Abstract: The university year 2019-2020 is affected by a series of rapid, sudden, and significant events with serious present and future consequences. It will go down in history also with the image of a completely transformed teaching activity, without precedent in the recent times. Years from now, we might consider this university year as the year the education in general, and especially higher education, were reset in order to meet the requirements and embrace the opportunities of the new technologies.

In Romania, as well as in other countries, bearing in mind the pandemic threat, the authorities decided to limit persons' movement and circulation, to suspend unessential activities, as well as face-to-face classes, and to continue didactic activities on-line. The effects of these decisions reflected soon enough in the sudden remission of economic activities. If these effects were visible and quite simply to notice and even quantify, the impact and consequences on the educational activities were less obvious.

However, the authors, as academics, noticed after more two months of online higher education activities that students reacted differently to the sudden switch to online activities and to the general restrictions affecting their everyday life. The present questionnaire based quantitative research focuses on the identification and study of Economy students' perceptions, reactions, and opinions related to the changes in their educational activities, due to the current crisis. The sample is composed of bachelor and master degree students with majors in the economic field, from the Faculty of Economic Sciences, Ovidius University of Constanta, Romania. The conclusions of the research may be useful especially in the view of the realignment of the higher education systems, in order to face the challenges of an increasingly volatile international context.

Keywords: economic higher education, crisis, challenge.

1. Introduction

Higher economic education in Romania emerged in an institutionalized form in April 1913, with the establishment of the first profile institution "Academy of Higher Commercial and Industrial Studies" in Bucharest (in 1967 changed its name to the Academy of Economic Studies). However, examples of economic training at academic level have been noticed since 1843, when within the Mihaileana Academy of Iași, courses in Political Economy and Accounting were taught. Only in 1962, the Faculty of Economic Sciences was established, as a component part of the "Alexandru Ioan Cuza" University (considered the oldest higher education institution in Romania, founded in 1860) (www.uaic.ro). In Cluj, between 1948-1959, the "Bolyai" University comprised the Faculty of Economics, Law, and Public Administration (it should be mentioned that the history of academic education in Cluj began long before, in the sixteenth century). In 1961, the Faculty of Economic Sciences was established, as part of the structure of Babeş-Bolyai University (<https://www.ubbcluj.ro/ro/despre/prezentare/istoric>). In October 1966, within the University of Craiova, the Faculty of Economic Sciences was established. (www.ucv.ro). Subsequently, in 1967, the Faculty of Economic Sciences was established at the West University of Timișoara. (www.uvt.ro). These were the university centers in Romania where, until 1989, economic education was carried out, with a training duration at bachelor's level, of four or five years. The political, economic, and social changes that have taken place since 1990 have led to very wide-ranging changes, including in the economic higher education. On the one hand, many new university centers have emerged, both public as well as private and, on the other hand, faculties with economic profile have been established in all major cities in the country. At the same time, there was a wide diversification of university study programs and specializations in the economic field. The "Bologna Process" also had a significant impact on the evolution of economic higher education in Romania, which reorganized the duration of higher education and, hence triggered multiple changes in the development of teaching and research activities. Currently, economic education (in the form of bachelor's and master's degree programs) is conducted in 52 educational institutions in Romania (Official Gazette of Romania, no.727bis/04.09.2019 <http://www.monitoruljuridic.ro/monitorul-oficial/727-bis/2019-09-04/>).

Ovidius University of Constanta is the largest European university in the Black Sea area. The city of Constanța, the largest in the historical region of Dobrogea and in the whole South-East of Romania, is an ancient metropolis, with an existence of over 2,500 years. Dobrogea is the region that has always attracted attention, through its geographical position, but also through the richness and diversity of natural resources. The first higher education institution in Constanta was founded in 1961, and in March 1990 it became Ovidius University, a multidisciplinary university, with bachelor's, master's and doctoral programs (<https://www.univ-ovidius.ro/uoc/presentation-UOC>). Economic higher education has been developed at Ovidius University since 1990, but the Faculty of Economics (as a separate structure within the university) was established in 1995. At present, the faculty is one of the most important in the university and its' educational offer includes eight undergraduate programs in the following domains: Business Administration, Accounting, Finance, Management, Marketing, Economics and International Business and eight master's degree programs in the following fields: Business Administration, Accounting, Finance, Management, Economics and International Business. Undergraduate programs are organized as full-time and distance learning, and master's programs are organized only as full-time.

Due to the coronavirus crisis, in Romania, as in other countries, classes were suspended and the continuation of the activity was possible only online. This decision has had a series of consequences on the education activity as well several social and psychological implications for students. Naturally, the particularities of various higher education domains influenced the manner of the development of the online classes as well as the students' opinions. The objective of our present study is to find the economic students opinions regarding the online classes, the challenges they faced during this time, and their perception towards the appropriateness to conduct economic higher education in the online environment.

2. The interdependence between education and sustainable development

Education, considered a fundamental human right, is regulated by various official acts, at national and international level, such as the Romanian Constitution, Art. 32 - Right to education, the EU Charter of Fundamental Rights, Art. 14 - The right to education, and is supported by multiple actions of various international organizations (<https://epale.ec.europa.eu/ro/content/rolul-de-lider-al-unesco-agenda-educatiei-2030>).

The UN General Assembly calls on the Member States "to provide inclusive and equitable quality education at all levels and to ensure that all people have access to lifelong learning opportunities that can help them to participate fully in society and to contribute to sustainable development". (<https://en.unesco.org/news/general-assembly-highlights-unescos-leading-role-education-2030-agenda>).

With regard to sustainable development, the United Nations World Commission on Environment and Development (or the Brundtland Commission) has stated since 1987 that it reflects concerns about "meeting the needs of present generations, without compromising the ability of future generations to satisfy its own needs" (<https://www.edu.ro/educa%C8%9Bie-pentru-dezvoltare-durabil%C4%83>).

From the concerns that will be presented next, it is obvious that, on the one hand, there is a relationship of mutual conditioning between education and sustainable development, and on the other hand, education and sustainable development have the same ultimate goal: increasing the quality of life.

One may notice a significant moment in the orientation of education towards sustainable development in 2005, when a High-level meeting of Education and Environment Ministries took place in Vilnius and the United Nations Economic Commission for Europe (UNECE) adopted the UNECE Strategy for Education for Sustainable Development (https://www.unece.org/fileadmin/DAM/env/esd/01_Typo3site/LearningFromEachOther.pdf). The strategy was adopted by Romania and the other UNECE member states (<https://www.edu.ro/educa%C8%9Bie-pentru-dezvoltare-durabil%C4%83>).

The Strategy for Education for Sustainable Development draws attention to the fact that education has a complex dimension and must be regarded as a human right, a condition and a tool for ensuring sustainable development. Education for sustainable development "can generate a change in people's mindsets, enhancing their ability to create a safer, healthier and more prosperous world, thus improving the quality of life" (<https://www.edu.ro/educa%C8%9Bie-pentru-dezvoltare-durabil%C4%83>).

UNESCO defined the concept of Education for Sustainable Development (ESD) in 2014, appreciating that ESD "allows every human being to acquire the knowledge, skills, attitudes and values necessary to shape a sustainable future" (<http://www.unesco.org/new/en/unesco-world-conference-on-esd-2014/resources/what-is-esd/>).

As part of the work of the UN summit in New York in 2015, the 2030 Agenda for Sustainable Development was adopted. Through this document, the UN has provided a universal agenda with clear and quantifiable objectives. The 2030 Agenda includes a set of 17 Sustainable Development Goals (SDGs) and an action plan for the next 15 years to eradicate extreme poverty, combat inequality, injustice and protect the planet by 2030. (<http://dezvoltaredurabila.gov.ro/web/about/>). Objective 4 of the 2030 Agenda is entitled Quality Education and refers to the directions of action, but also to the essential role of education in ensuring the sustainable development of society.

Romania participated in 2016, in Batumi, in the Eighth Environment for Europe Ministerial Conference. On this occasion, the framework for the future implementation of the UNECE Strategy for Education for Sustainable Development was adopted and the need to implement ESD to achieve the objectives of the 2030 Agenda was established, in particular with regard to Objective 4 and target 4.7. (<https://www.edu.ro/educa%C8%9Bie-pentru-dezvoltare-durabil%C4%83>). Target 4.7 stipulates, among others, that by 2030, students acquire "the knowledge and skills necessary to promote sustainable development", emphasizing the role of culture in sustainable development (<http://dezvoltaredurabila.gov.ro/web/objective/odd4/>).

The Global Education Meeting held in Brussels, Belgium, on 3-5 December 2018 recalled "the right to inclusive quality education and the fundamental role of education, training, lifelong learning, higher education and research as key drivers for sustainable development" (<https://en.unesco.org/themes/education/globaleducationmeeting2018>).

On 19 December 2019, the UN General Assembly adopted the resolution "Education for Sustainable Development in the framework of the 2030 Agenda for Sustainable Development" (<https://en.unesco.org/news/general-assembly-highlights-unescos-leading-role-education-2030-agenda>). With this resolution, the UN General Assembly calls on UNESCO to support Member States in their efforts to promote education for sustainable development (<https://en.unesco.org/news/general-assembly-highlights-unescos-leading-role-education-2030-agenda>).

3."Classical" learning or virtual learning?

The achievements in the technological environment represent permanent challenges for the transformation of our lifestyle, and of the development of the entire national and world economic, social, and political activity. The learning activity has been, throughout the history of human existence, visibly influenced by the development of technology.

The reality of the last decades shows the presence (also in Romania) of a phenomenon of co-existence between the form of classical learning (face to face,) and learning in the virtual environment, the electronic one, based on the new information and communication technologies.

For the Romanian higher education, this co-existence of the classical learning system (face to face, in a well-defined framework in place and time), with the virtual one is presented in the National Education Law (National Educational Law https://www.edu.ro/sites/default/files/_fi%C8%99iere/Minister/2017/legislatie%20MEN/Legea%20nr.%201_2_011_actualizata2018.pdf).

The organization and development of undergraduate study programs, according to Law 1/2011 is carried out in three distinct forms, respectively: 1) full-time education, 2) part-time education and 3) distance learning, while master's degree programs are organized as full-time education and part-time education (National Educational Law https://www.edu.ro/sites/default/files/_fi%C8%99iere/Minister/2017/legislatie%20MEN/Legea%20nr.%201_2_011_actualizata2018.pdf).

Full-time education involves the direct meeting at the university headquarters, of students and professors in order to carry out educational and/or research activities. Teaching activities are mostly scheduled to take place daily, throughout the semester.

Part-time education is organized in the form of synthesis and application training courses, which are scheduled in a compact and regular manner. The activities are carried out through direct meetings at the university headquarters of students and professors, complemented by other means of training specific to distance learning.

Distance learning has the particularity of using specific electronic, computer, and communication resources, self-learning and self-assessment activities complemented by specific tutoring activities (National Educational Law

https://www.edu.ro/sites/default/files/_fi%C8%99iere/Minister/2017/legislatie%20MEN/Legea%20nr.%201_2_011_actualizata2018.pdf).

Distance learning is designed as a form of organization of teaching processes that offers students the opportunity to personally choose the place and time to train/self-train. (ARACIS- Specific Standards on External Quality Assessment Undergraduate Studies and Master's Degree Programs in Distance Learning (Id) and Part-Time Education (Ifr) (<https://www.aracis.ro/en/about-aracis/#>)).

Distance learning and part-time education have been designed as alternative forms of higher education, offering the possibility of initial training, further training or professional conversion of a wide range of people in different fields. The main requirement is that the study resources be made in specific technology, in printed or digital format, posted on the e-Learning platform and / or in other fully functional virtual communication and learning environments (<https://www.aracis.ro/en/about-aracis/#>)

The concept of e-learning, which is talked about more and more often and which is becoming increasingly visible in many countries refers to that educational reality that is achieved through electronic networks and the involvement of new communication and multimedia technologies. E-learning, the modern form of learning, can be understood as an innovative, interactive, student-centered approach, which makes the information environment the main working tool (<http://www.constantincucos.ro/2020/04/mediul-virtual-de-invatare-virtuti-servituti>; <http://www.constantincucos.ro/2020/03/caracteristici-si-criterii-de-calitate-a-unui-continut-didactic-de-tip-e-learning>). E-learning is achieved with the help of new information and communication technologies - especially through the Internet. Communication between professor and student, transfer of knowledge, distribution of study materials, and evaluation of learning outcomes are done through the Internet.

Even if, at present, we are talking about the coexistence of the two forms: classical learning and virtual learning, we must also note the presence / assimilation and use of elements / tools of new information and communication technologies even in what we call classical learning. Thus, the activities take place in spaces (classrooms, seminars, laboratories), equipped with the necessary equipment, Internet connection, in order to ensure a modern educational process, and teachers and students use: PC, laptop, video projector, smart board, virtual library, as well as various learning and communication platforms.

4. Online classes - the form of survival during the state of emergency in Romania

The first cases of coronavirus in Romania were confirmed on February 26, 2020, (<https://www.digi24.ro/stiri/actualitate/sanatare/2-luni-de-la-primul-caz-de-coronavirus-din-romania-bilantul-a-ajuns-intr-un-punct-cheie-1297644>). On March 11, 2020, the World Health Organization declared that the coronavirus outbreak had become a pandemic, and in Romania, also on March 11, it was decided to suspend education courses, then, on March 16, 2020, a state of emergency was declared. These first measures brought radical changes, the entire economic and social activity was reduced and reorganized, and drastic traffic restrictions were imposed on people, all with the aim of protecting their health.

From March 11, 2020, face-to-face courses were suspended, by decision of the Ministry of Education and Research, and the education system suddenly switched to online courses, respectively computer-assisted training, to ensure continuity of learning and training.

This decision impacted all actors in the educational system: students, professors, administrative staff, but also parents. On the one hand, each higher education institution had, until 11 March 2020, a certain functional infrastructure for e-learning, used only for Distance Learning. After this moment, each university began to make decisions in order to ensure the development of an appropriate training process. On the other hand, professors and students in full-time education are forced to reconfigure all teaching activities online. In economic higher education there are very few disciplines that include laboratory activities, which, it can be

said, has been an advantage in organizing the online activity. Moreover, for professors and students new requirements have emerged for the development of the learning activity: endowment and availability of necessary equipment, Internet connection, appropriate space for activities, in their own home. The online activity will take place, according to the decisions taken so far, throughout the 2019-2020 academic year.

5. Research methodology and data analysis

In order to attain the study objective a descriptive research of quantitative type was employed. The research tool was a questionnaire with 21 questions. The questionnaires was created in Google forms and distributed to among students of the Faculty of Economic Sciences, Ovidius University of Constanta, between 6th and 21st of May 2020. The questionnaire was distributed randomly among both bachelor and master degree students, from all years of study, and enrolled in both full-time and distance learning study programs.

The sample size (N) was determined using the formula (Daniel and Cross, 2013):

$$N = \frac{\frac{z_{\alpha}^2 \times p(1-p)}{e^2}}{1 + \frac{z_{\alpha}^2 \times p(1-p)}{e^2 P}}$$

where P is the size of the general population, z_{α} is the z-score, e is the margin error, and p is the probability to obtain an affirmative answer to the question addressed.

In this study, P=1,930 (representing the current student population of the faculty), corresponding to a confidence level of 95%, e=0.06, p=0.5. The resulting sample size is 235.

By the end of the period of questionnaire availability, 275 responses had been recorded, which were subsequently subject to analysis using IBM SPSS Statistics version 20.

Several research hypotheses were formulated.

H01. There is no difference among students in full-time education bachelor degree, master degree, and distance learning in their appreciation that online learning is more suitable for economic higher education than traditional learning.

H02. There is no difference among students that participated in online learning before and those who did not in their appreciation that online learning is more suitable for economic higher education than traditional learning.

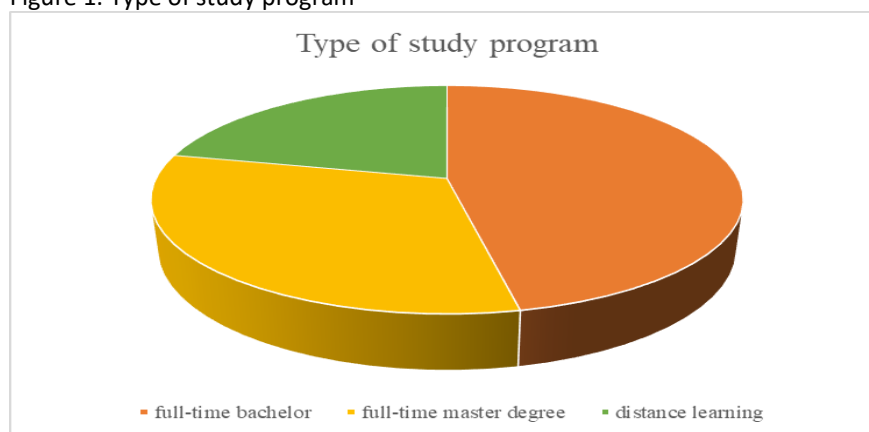
The structure of the sample

Most of the respondents reported female gender (76.4%), while 23.6% reported male gender.

With regard to the residence environment, the vast majority indicated they live in urban areas (76.3%), while the rest live in rural areas (23.7%).

46.7% of the respondents are enrolled in full-time bachelor study programs, 31.8% in full-time master degree programs, while 21.5% in distance learning programs (figure 1).

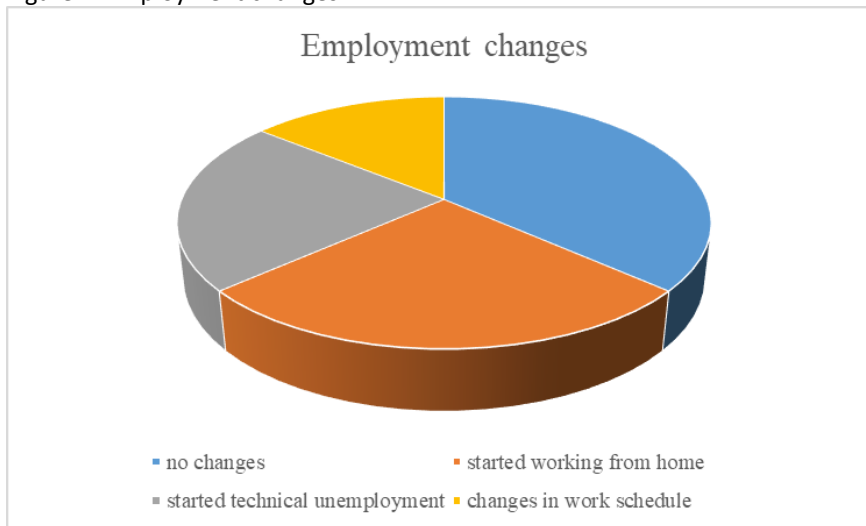
Figure 1. Type of study program



44.4% are in their second year of study, 30.9% are in their first year, while 24.7% are in their third year.

More than half of the respondents, 50.7% are not currently employed. 40.9% are employed in the private sector, while 8.4% are employed in the public sector. The respondents that are currently employed were asked next about the changes that occurred in their respective professional activity as a result of the crisis. 36.5% revealed that they experiences no changes, 27% of the respondents indicated they starting working from home, 22.3% started technical unemployment, while 14.2% experienced changes in their work schedule.

Figure 2. Employment changes



Data analysis

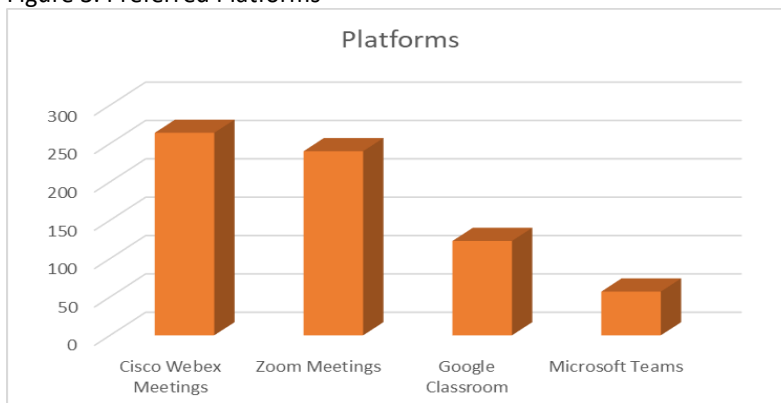
The received responses revealed that most of the respondents considered as appropriate (35.6%) and even very appropriate (47.3%) the decision to move the classes online, following the enforcement of the emergency state. Only 9.8% found the decision inappropriate, while 4% considered it extremely inappropriate.

Only 30.4% of the respondents have previously conducted online learning activities, including here also the students enrolled in distance learning programs, which had an important online component even before the occurrence of the crisis.

Regarding their personal equipment for participation in the online classes, the respondents asserted that it was sufficient (81.8%), while only 2.5% considered it was definitely insufficient. Most of them used very intensively their smartphones (64.62%) and their laptops (66.18%). They also used, but to a lesser degree, personal computers and tablets. Most respondents owned the equipment they used, only 21.4% used borrowed equipment (smartphone, laptop, tablet).

The most used platforms during this period seem to have been Cisco Webex Meetings (96.7% reportedly used it) and Zoom Meetings (87.3%). They also indicated they used Google Classroom (44.7%) and Microsoft Teams (20.7%).

Figure 3. Preferred Platforms



In order to evaluate the degree of the difficulties the respondents faced during this time, a five point semantic differential was employed (from 1 - very little difficulties to 5 - very important difficulties). The average score is 2.3 thus indicating the respondents face only little difficulties. These difficulties included: technical difficulties (poor Internet connection, difficulties in using or malfunctioning of equipment) – 73.1%, logistic difficulties related to living conditions or equipment availability -7.6%, or individual difficulties related to own lack of knowledge and skills or health issues -31.3%.

Most respondents considered that the learning materials for economic education are well suited for online classes (43.8%), while only 16.8% considered they are little suited.

70.6% of the respondents asserted that all the subjects and disciplines they study could be very well studied online. The rest indicated several disciplines considered unsuitable for online classes: sports and physical education (this discipline is mandatory in the first two years of study)-11.6%, econometrics, statistics, accounting, mathematics, and the specialized practical training –less than 8%.

A five point semantic differential (from 1 - very little difference to 5 - very important difference) was used to assess the perceived difference between the traditional classes and online classes. The average score was 3.4, indicating a rather neutral perception on the matter.

A set of statements were formulated and the respondents were asked to evaluate them on a five point Likert type scale (from -2 highly disagree to +2 highly agree). A first statement referred to the attractiveness of the online classes compared to the traditional classes, and the average score was 0.5, indicating a neutral stance. Another statement referred to the flexibility in time management offered by the online classes and the average score was 1.01, indicating the respondent agreed with the statement. A higher score of 1.17 was calculated for the statement concluding that online education has increased the availability of free time. The respondents also agreed that the online classes offered them the opportunity to save money (average score 1.28). The next statement referred to a sentiment of isolation that students may feel due to the online classes. However, the average score of 0.21 indicated a rather neutral opinion. The next two statements expressed the lack of connection with colleagues, and respectively, with the professors that the online classes involve. The average scores were 0.74 and 0.81, respectively, indicating the respondents generally agree with the statements. The next statement referred to students receiving less information during the online classes compared to the traditional classes and the average score (-0.35) indicated the respondents rather disagree with the statement.

36,7% considered that traditional classes are more suitable than online classes, while 27.6% considered that online classes top traditional classes. A rather important part of the respondents, 30.2% considered them equally suitable, while 5.5% could not express an opinion on the matter.

Testing the research hypotheses

H01. There is no difference among students in full-time education bachelor degree, master degree, and distance learning in their appreciation that online learning is more suitable for economic higher education than traditional learning.

A Chi square test was employed to test the hypothesis. The test results, $\chi^2(20) = 33.752$, $p=0.028$ revealed that the null hypothesis is rejected.

H02. There is no difference among students that participated in online learning before and those who did not in their appreciation that online learning is more suitable for economic higher education than traditional learning.

A Chi square test was employed to test the hypothesis. The test results, $\chi^2(15) = 22.779$, $p=0.089$ revealed that the null hypothesis is accepted.

6. Conclusions

It is obvious that the entire human society is transforming due to digitalization. All economic and social activities have been transforming during the past years, and what we are witnessing now is an acceleration of these transformations. Learning and education are naturally following this path of transformation and it is vital that all stakeholders acknowledge and prepare for the challenges these transformations incur. This was the main motivation of our research- to find out economic students opinions about online learning and the

challenges it brings, about the differences compared to traditional learning, and the suitability of economic disciplines for online learning.

The results revealed that the students faced only little and mainly technical difficulties and the vast majority declared that their personal endowment was sufficient in order to allow them to participate properly in online learning. Almost half of the respondents considered that the learning materials for economic education are well suited for online classes and 70.6% asserted that all the subjects and disciplines they study could be very well studied online.

The respondents agreed that online learning allowed more flexibility in their time management, and that online education has increased the availability of free time and was an opportunity to save money.

At the same time, the respondents stated they missed the face-to-face interaction with their peers and their professors. The general opinion was that they received the same amount of information as during the face-to-face classes. 36,7% considered that traditional classes are more suitable than online classes, while 27.6% considered that online classes top traditional classes; 30.2% considered them equally suitable, while 5.5% could not express an opinion on the matter.

Our research represents merely a starting point in the study of how online learning impacted economic higher education during this global crisis. The authors intend to extend the research to other domains, such as engineering and applied sciences, in order to conduct comparative studies.

7. References

1. Babes-Bolyai University, <https://www.ubbcluj.ro/ro/despre/prezentare/istoric>
2. Al.I. Cuza University of Iasi, www.uaic.ro
3. University of Craiova, www.ucv.ro
4. West University of Timisoara, www.uvt.ro
5. Official Gazette of Romania, no.727bis/04.09.2019 <http://www.monitoruljuridic.ro/monitorul-oficial/727-bis/2019-09-04/>
6. Ovidius University of Constanta, <https://www.univ-ovidius.ro/uoc/presentation-UOC>
7. <https://epale.ec.europa.eu/ro/content/rolul-de-lider-al-unesco-agenda-educatiei-2030>
8. <https://en.unesco.org/news/general-assembly-highlights-unescos-leading-role-education-2030-agenda>
9. Ministry of Education and Research, Romania, Education for Sustainable Development, <https://www.edu.ro/educa%C8%9Bie-pentru-dezvoltare-durabil%C4%83>
10. Learning from each other, The UNECE Strategy for Education for Sustainable Development https://www.unece.org/fileadmin/DAM/env/esd/01_Typo3site/LearningFromEachOther.pdf
11. UNESCO; World Conference on ESD, <http://www.unesco.org/new/en/unesco-world-conference-on-esd-2014/resources/what-is-esd/>
12. <http://dezvoltaredurabila.gov.ro/web/about/>
13. <http://dezvoltaredurabila.gov.ro/web/obiective/odd4/>
14. <https://en.unesco.org/themes/education/globaleducationmeeting2018>
15. National Educational Law https://www.edu.ro/sites/default/files/_fi%C8%99iere/Minister/2017/legislatie%20MEN/Legea%20nr.%201_2011_actua lizata2018.pdf
16. The Romanian Agency for Quality in Higher Education, <https://www.aracis.ro/en/about-aracis/#>
17. <http://www.constantincucos.ro/2020/04/mediul-virtual-de-invatare-virtuti-servituti>
18. <http://www.constantincucos.ro/2020/03/caracteristici-si-criterii-de-calitate-a-unui-continut-didactic-de-tip-e-learning>
19. <https://www.digi24.ro/stiri/actualitate/sanatate/2-luni-de-la-primul-caz-de-coronavirus-din-romania-bilantul-a-ajuns-intr-un-punct-cheie-1297644>
20. Daniel, W.W.; Cross, C.L. Biostatistics, A Foundation for Analysis in the Health Sciences, tenth edition Wiley, 2013

Qualification Mismatch And Growth In The Eastern European Region

Mariya Neycheva¹

¹Burgas Free University, mneicheva@abv.bg, ORCID: 0000-0001-6738-6946

Abstract: The present study aims at exploring the impact of vertical qualification mismatch of higher education graduates on economic growth by using an extended version of the Mankiw, Romer and Weil's model of growth with human capital. The sample includes the eleven new EU member states from Central and Eastern Europe between 2000 and 2016. The paper tries to bring empirical evidence to the mixed theoretical views on the link between mismatch and growth. The outcome implies that an increase of the share of tertiary education graduates in the active population does not lead to a higher growth rate per se. The impact of human capital becomes positive and statistically significant only if the properly matched graduates i.e. those with occupations requiring tertiary education are included in the model instead of the total country's stock of human capita. On the contrary, the impact of overeducated on per capita growth rate is negative. These results are robust to the changes in the method used to measure the extent of mismatch. In the light of that, the results have important practical implications for the education policy in the developed countries given the increasing average educational attainment of the population accompanied by a rising education mismatch.

Keywords: vertical qualification mismatch, higher education, economic growth, Eastern Europe.

1. INTRODUCTION

The latest studies in the field of labor market draw attention on the rising qualification mismatch. The mismatch is defined as a difference between one's educational degree and the qualification required by his or her job. It is classified as either horizontal or vertical. Eurostat (2009, p. 131) defines horizontal mismatch as employment position which is not in the same field as the educational qualification of the employee. On its side, vertical qualification mismatch is employment below or above the theoretical skill level being acquired (Eurostat, 2009, p. 131). A worker is said to be over/under-qualified if he or she has a higher/lower educational level than needed for the job performed. This study focuses on the vertical qualification mismatch. According to the estimates, about one-third of workers in the developed world experience qualification mismatch (OECD, 2013) as the vertical one prevails. It appears to be rather a persistent than temporary phenomenon (Mavromaras et al., 2013). The primary reasons for that is the continuously increasing participation in education. As a result, the supply of education by degrees outpaced its demand. Another reason is the accelerating exit rates of older workers who usually possess lower education than younger people entering the active population.

The current study [1] aims at quantifying the impact of overeducation of tertiary education graduates on the growth rate of real GDP across the 11 new EU member states from the region of Central and Eastern Europe, henceforth NMS.

The paper is organized as follows. Section 1 discusses the approaches used to measure the vertical qualification mismatch and outlines some trends across the NMS. Section 2 describes the study's methodology and presents an analysis of the empirical outcome. Section 3 tests the robustness of regression output by adopting a dynamic approach to education mismatch. The last part of the paper gives some concluding remarks.

2. APPROACHES USED TO MEASURES VERTICAL QUALIFICATION MISMATCH

This section summarizes the approaches used to measure qualification mismatch and presents some statistical data on overeducation among university graduates. The measurement methods could be classified into two major groups: statistical data assessment and workers' self-assessments. One popular approach of the first type is based on systematic job analysis. It involves a comparison between the educational degrees according to the International Standard Classification of Education (ISCED) and the required degree according to the International Standard Classification of Occupations (ISCO) of Organization of Economic Cooperation and Development. This study is based on this measure of vertical qualification mismatch due to its objectivity and availability of comparable data for a large panel of European countries.

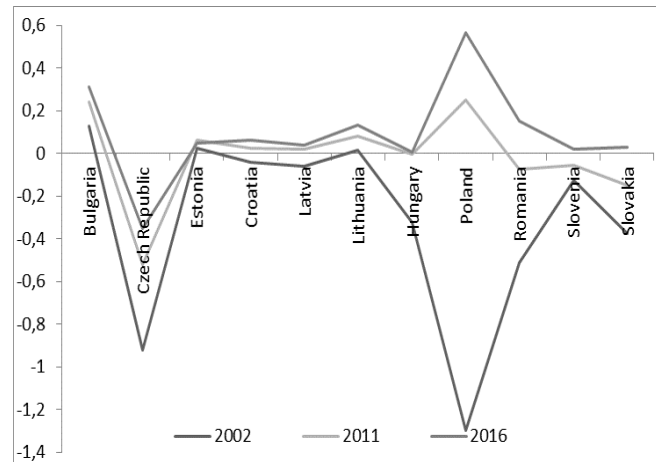
The main drawback of this approach is its implicit assumption that attainment of a certain educational degree guarantees accomplishment of a set of presumed knowledge, skills and competences. But, the latter is dependent on the quality of education in the country as well as the personal characteristics in case of over- and under-achievers at school (Chevalier, 2003). Therefore, some persons might be wrongly identified as overeducated whilst, in fact, their real qualification just matches the job they hold since they have not acquired the skills that can be the basis of competence development after hiring. It is worth mentioning another important disadvantage of the method. It assumes fixed mapping over a longer period of time between the educational levels and job categories. But, in case of rapid changes in technologies, organizations and the way of doing business such a time-invariant map would not adequately represent the educational requirements for some occupations. As a result, an individual with a given educational degree who takes a lower-level job would continue to be classified as over-educated few years later while, actually, he or she might possess the right education for that job if the nature or the scope of the occupation has changed over the years without that being considered by the static mapping framework. On its side, that might bias the statistics regarding the extent of the qualification mismatch. One way to correct that is to subtract such workers from the mismatched whereas counting them as properly educated. Such an approach is adopted in section 4 below.

The second method for approximating the extend of qualification mismatch assumes a comparison between one's education and the average educational level of workers in the job the person holds (Groot and van den Brink, 2000; Mendes de Oliveira, Santos and Kiker, 2000; Ramos et al., 2009). People whose level of education exceeds the mean, median or mode by, for example, one standard deviation are considered to be over-educated. This method results in an objective assessment since the proper education-occupation mapping is defined by the market. But, its important disadvantage is related to the quality of country's educational system. If school does not provide relevant skills and knowledge there would be a downward bias in the evaluation of overeducation. The reason is that some people with higher educational degrees might take jobs located down the occupational ladder instead of jobs corresponding to their degree due to lack of presumed theoretical knowledge or skills. That might bias upward the mean educational level for some occupations. As a results, some of over-educated would misleadingly be counted as properly educated. An example is a woman with a bachelor degree who works as an office assistant. If a prevailing number of employees having completed tertiary education take such jobs, that woman would not be counted as over-educated while, in fact, her job does not require a university degree.

As it was mentioned above, the second group of methods is based on subjective self-assessments. Mismatch is recorded in case of a difference between the educational degree (or skills) required for the specific job taken by an employee and his or her actual educational level (or skills) (Frei and Sousa-Poza, 2005). Alternatively, one might report his or her opinion regarding the minimum level of education necessary to perform his or her job.

The study utilizes the first approach for measuring the degree of vertical qualification mismatch. Taking into account the mapping matrix being proposed by the International Standard Classification of Occupations (ISCO-08), the over-educated comprise the university graduates taking any job position different from Managers, Professionals, Technicians and Associate professionals. Utilizing that definition, figure 1 shows the rate of overeducation among the active population having completed university education across the eleven new EU member states. It compares the incidence of mismatch in 2000, 2011, and 2016.

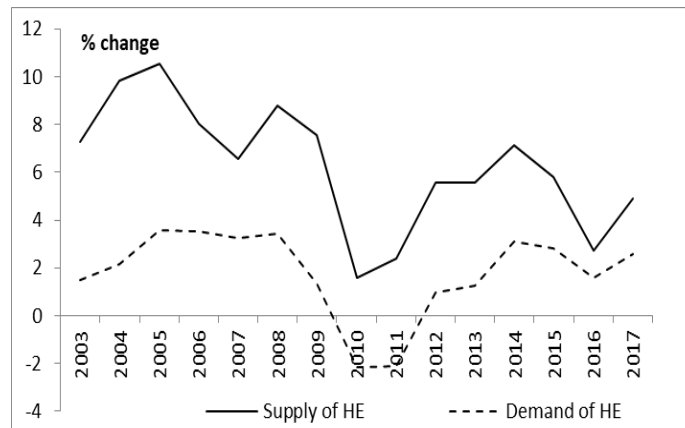
Figure 1: Supply and demand of tertiary education across the new member countries*
 (a) Supply minus demand of higher education



*Difference between the number of tertiary education graduates representing the supply of higher education and the number of properly matched tertiary education graduates representing the demand of higher education. The values are expressed in thousands.

Source: Eurostat, author's calculations

(b) Percentage change in the demand and supply of higher education*



*Average values for the new member states are presented.

Source: Eurostat, author's calculations

The first graph illustrates the difference between the supply of university graduates in the active population (in thousands) and the demand calculated as the number of employees taking jobs requiring at least a bachelor degree (in thousands). It indicates an existence of surplus of workers with higher education. That is clearly expressed since the year 2011 onwards. In 2016, all countries but the Czech Republic report a larger supply than the demand of university graduates. However, the second picture showing the rate of change of the respective supply and demand implies that recently (2016-17) the supply of tertiary education approaches its demand thus shrinking the recorded surplus. In view of these figures, the next section draws attention on the impact of overeducation on GDP per capita growth rate.

3. IMPACT OF VERTICAL MISMATCH ON THE RATE OF ECONOMIC GROWTH ACROSS THE NEW EU MEMBER STATES: METHODOLOGY AND STUDY RESULTS

The model of economic growth with human capital developed by Mankiw, Romer and Weil (1992), henceforth MRW model, is a widely used instrument for exploring economic growth and its underlining determinants. An

overview of its modifications could be found in Neycheva (2019). This study also utilizes the MRW model but, in order to examine the effect of overeducation of tertiary education graduates on long-run growth rate the model has been extended by differentiating between the stock of human capital and the vertically (mis)matched employees (see, eq. 1 below).

In this section the rate of vertical qualification mismatch is measured by applying a static approach. It assumes a fixed mapping between one's educational degree completed according to ISCED (International Standard Classification of Education) framework and occupations based on International Standard Classification of Occupations (ISCO). Following the descriptive analysis of mismatch of higher education graduates given above, the next section introduces a revised dynamic approach of estimating the rate of (mis)match. The annual data are supplied by the Labor Force Survey of the European Statistical Office (EUROSTAT). The survey presents the distribution of the graduates by a range of occupations following ISCO-08 (OECD, 2013). The investigated time period is 2000-2016. The sample comprises Bulgaria, Czech Republic, Estonia, Latvia, Lithuania, Hungary, Poland, Romania, Slovenia, Slovakia, and Croatia. The next lines present a mathematical description of the MRW model, the regression equations and the variables as well as the econometric output.

The regression models are presented by eq. (1). The total economy's stock of human capital is denoted by *HKSTOCK*. The rate of vertical qualification match (*VQM*) is included in equation (1a) while the rate of vertical qualification mismatch (*VQMIS*) is in equation (1b) below:

$$d \log y_t = a_0 + a_1 \log(y_0) + a_2(\log(s_k) - \log(n + g + \delta)) + a_3 \log(HKSTOCK) + a_4 \log(VQM) + \varepsilon$$

(1a)

$$d \log y_t = a_0 + a_1 \log(y_0) + a_2(\log(s_k) - \log(n + g + \delta)) + a_3 \log(HKSTOCK) + a_4 \log(VQMIS) + \varepsilon$$

(1b).

The dependent variable (*dlog y_t*) is the first difference of real Gross Domestic Product (GDP) per unit of active population calculated in logs. The output per unit at the beginning of each time period is presented by *log y₀*. The rate of investments in physical capital (*s_k*) is approximated by the fixed capital formation in both public and private institutions expressed as a share of GDP.

The rate of qualification mismatch (*log VQMIS*) comprises the active population with tertiary education (ISCED 5-8) holding jobs different from Managers, Professionals, Technicians and Associate professionals expressed as percentage of all tertiary education graduates in the labor force. It is also calculated in logs. Alternatively, the share of matched higher education graduates expressed in logs is denoted by *log VQM* in (1a). The overall stock of human capital (*HKSTOCK*) comprises the active population (15-74 years of age) having completed at least upper secondary education (ISCED 3-8). The construction of the variables in this way solves the problem of potential correlation between *HKSTOCK* on the one side and the variables *VQMIS* or *VQM* on the other side which would adversely affect the econometric outcome. Thus, the correlation coefficient turns to be small (0.15) and insignificant.

The parameter *n* equals the percentage change of the active population between 15 and 74 years of age. In the relevant studies the rate of capital depreciation (*δ*) is usually set at 3% annually while *g* is supposed to equal 2% per year. Therefore, for the sum (*g+δ*) the annual value of 5% is used most often. In order to get estimates as close as possible to the real-life data, here *g* is approximated by annual productivity growth across the countries under investigation. The average value over the examined period for the sample as a whole is 3% per year. Therefore, with an annual depreciation rate of 3%, the value of (*g+δ*) is fixed to 6% since it seems more realistic.

In the regression models the variables *dlog y_t*, *log y₀*, *s_k*, *VQM*, *VQMIS* and *n+g+δ* are introduced as five-year averages over the examined period i.e. 2000-2004, 2001-2006, and so on. That helps for the the cyclical fluctuations in the economic activity to be flattened and the tendencies in the growth path to be examined.

With regard to that, it should be pointed out that as it is usual for panel data the econometric output sheds light on the link between education (mis)match and real GDP per capita growth for the sample as a whole. It does not give a rationale for conclusions and implications on a country basis. In order to tackle the potential problem of heteroscedasticity or general correlation of observations within a cross-section, we use the Panel Estimated General Least Squares (EGLS) method with SUR (Seemingly Unrelated Regressions) weights (Beck and Katz, 1995).

As it is reasonable, the variable $\log y_0$ has a negative slope thus proving the cohesion across the new EU members. The countries with a lower initial income per capita are expected to grow faster. The results also imply that the higher percentage of graduates whose education just matches the educational standards for their occupations accelerates the GDP per capita rate of change (table 1, model 1). This is evident by the positive and statistically significant slope of the variable VQM .

Table 1: Estimation of the restricted MRW model^a extended by the rate of vertical qualification (mis)match

	Model 1 ^b	Model 2
Dependent variable: first difference of log GDP per a unit of active population (dlog yt)		
const	-0.015 (0.242)	1.153*** (0.315)
$\log y_0$	-0.167*** (0.006)	-0.164** (0.012)
$\log s_k - \log (n+g+\delta)$	0.095*** (0.009)	0.084*** (0.014)
$\log HKSTOCK$	0.170*** (0.039)	0.123* (0.074)
$\log VQM^c$	0.200*** (0.031)	
$\log VQMIS^c$		-0.034*** (0.007)
N of obs.	99	99
adj. R sqr.	0.913	0.734
Normality of residual (p-value)	0.205	0.233
Pesaran CD test (p-value) ^e	0.744	0.495

^aThe abbreviation MRW refers to the neoclassical growth model with human capital developed by Mankiw, Romer and Weil (1992)

^bPanel EGLS estimates using period SUR weights are presented. Standard errors are in parentheses.

^cPercentage of active population with higher education working as Managers, Professionals, Technicians and Associate professionals.

^dPercentage of active population with higher education with any occupation different from Managers, Professionals, Technicians and Associate professionals.

^ePesaran's cross-section dependence test. Null hypothesis: No cross-section dependence in residuals.

On the contrary, qualification mismatch does not positively contribute to the rate of GDP growth (table 1, model 2). Though small (-0.034), the regression coefficient for $\log VQMIS$ is negative and statistically significant at the 5% level (see table 1, model 2). Taking into account that this is a "log-log" relation, the result shows that if the share of the vertically mismatched holding at least a bachelor degree increases by one percentage point, the growth rate of aggregate output might decrease by 0.03%. The larger absolute value of the slope coefficient for the properly educated (0.2) implies that the impact of the qualification match on growth is stronger.

It must also be pointed out that in all cases the variable measuring the country's overall human capital stock ($\log HKSTOCK$) is also positively related to the growth rate in the long run. But its impact is lower than that for properly educated employees ($\log VQM$) due to the counter-effect of overeducation on the real GDP

increments. Thus, the empirical outcome suggests that not only the overall quantity of human capital matters for the growth dynamics but also its distribution among just-, over-, and undereducated population.

4. ROBUSTNESS OF THE REGRESSION OUTPUT: A MODIFIED APPROACH TO VERTICAL MISMATCH

The previous section relies on the static approach assuming fixed mapping over a long period of time between educational attainment and jobs (Sparreboom and Tarvid, 2016, p. 23). As it was mentioned earlier, a major drawback of such an approach is that it does not take into account the impact of technological changes on workers' qualification, knowledge and skills. It is likely that employers respond to these new challenges to the labor market by increasing the qualification requirements for some jobs down the ladder which having been traditionally occupied by people with lower educational background. In this vein, the abovementioned negative result about the link between overeducation and growth might be affected by this disadvantage of the static approach. In response to that in the current section a revised "dynamic" view to vertical qualification mismatch is adopted.

Since 2011 onwards, the number of vertically mismatched employees are reduced by clerical support workers with higher education. The occupations include secretaries, office clerks and administrative assistants, receptionists, human resources specialists, labor relations specialists, bookkeeper assistant, etc. The reason is that individuals in these jobs intensively employ digital technologies to a greater or lesser extent. In the new member countries their share changed almost three times since 2002 onwards – from 11.5% to 30.4% as a larger jump has been recorded after the year 2011.

The descriptive statistics for the newly constructed variables $\log VQM_{new}$ and $\log VQMIS_{new}$ shows that in all cases the vertical mismatch diminishes after subtraction of clerical support workers. However, the biggest percentage decrease has been recorded for the Czech Republic (10.5%), Romania, Croatia, and Slovakia (5.6%). These numbers indicate that in these economies a significant part of higher education graduates have been employed at positions of support workers requiring upper secondary education.

The regression model is estimated using that newly calculated indicator of qualification (mis)match. The variable denoted $VQMIS_{new}$ (table 2, model 1) presents the percentage of active population with higher education with any occupation different from Managers, Professionals, Technicians and Associate professionals up to 2010. Since 2011 clerical support workers have also been excluded from the group of mismatched. The dummy variable equals 0 up to 2010, and 1 afterwards (table 2). The model contains also an interaction term $\log VQMIS_{new} * dummy$ which equals 0 up to 2010 and has the same value as $\log VQMIS$ from then onwards. That would allow for a better evaluation of the impact of the newly adopted dynamic framework on the regression results. In the second modification (table 2, model 2) the properly matched individuals according to the new measurement method ($\log VQM_{new}$) have been introduced. In addition, an interaction term with the dummy variable is also defined ($\log VQM_{new} * dummy$). The estimation method is the same as that in the previous section. That allows for the comparison of the results and ascertains the robustness of the regression output as well.

The results once again confirm that an increase of the overall stock of human capital ($\log HKSTOCK$) is positively related to the real GDP per head increments. If the former grows by 1%, the latter would rise by 0.17-0.18%. Yet, the negative impact of vertical qualification mismatch remains despite the newly adopted method for measuring it. This is evident by the regression coefficient for the interaction term ($\log VQMIS_{new} * dummy$) which measures the impact of oversupply of higher education after the year 2011. The output presented in table 2 also proves the robustness of the results discussed in the previous section.

At first glance, the addition of clerical support workers to the vertically matched graduates leads to a counter-intuitive outcome since the regression coefficient of the variable $\log VQM_{new}$ (table 2, model 2) is below zero and statistically significant. But, the interaction with the dummy regressor gives evidence that the result might be explained by the structural change in the data. Probably, the negative slope of $\log VQM_{new} * dummy$ is affected by the growing share of employees with tertiary education holding clerical jobs after the year 2011. The results also show that a rise of the jobs down the ladder occupied by college or university graduates does not contribute to growth successfully. Thus, the second econometric output once again provides support for the hypothesis that the rising rate of vertical qualification mismatch is always negatively associated to the income per capita changes.

The following explanations might be given for the negative link between qualification mismatch and economic growth. First, overeducated workers receive lower wages than their just-educated peers which exhibits a downward pressure on per capita income growth. Second, higher education graduates might possess theoretical knowledge but at the same time might lack necessary practical skills and competences for the positions down the occupational ladder which they occupy. Yet, they are employed due to the lack of adequate labor supply. Third, overeducation might lead to lower job satisfaction which affects productivity and hence growth adversely.

Table 2: Panel estimates of the restricted MRW with a dynamic view of vertical (mis)match

	Model 1 ^a	Model 2
Dependent variable: first difference of log GDP per a unit of active population (dlog yt)		
const	0.283 (0.418)	1.195** (0.594)
log y ₀	-0.115*** (0.016)	-0.124*** (0.014)
log s _k - log (n+g+δ)	0.083*** (0.015)	0.079*** (0.014)
log HKSTOCK	0.169* (0.098)	0.184* (0.099)
log VQMnew ^b		-0.168** (0.077)
log VQMnew*dummy		-0.024*** (0.002)
log VQMISnew ^c	0.060*** (0.017)	
log VQMISnew*dummy	-0.041*** (0.004)	
N of obs.	99	99
adj. R sqr.	0.817	0.821
Normality of residual (p-value)	0.554	0.503
Pesaran CD test (p-value) ^e	0.245	0.244

^aPanel EGLS estimates using period SUR weights are presented. Standard errors are in parentheses.

^bPercentage of active population with higher education who work as Managers, Professionals, Technicians and Associate professionals up to 2010, clerical support workers have been added since 2011 onwards.

^cPercentage of active population with higher education with any occupation different from Managers, Professionals, Technicians and Associate professionals up to 2010; since 2011 clerical support workers have been excluded.

^dDummy equals 0 over the period 2000-2010 and 1 over the period 2011-2016.

^ePesaran's cross-section dependence test. Null hypothesis: No cross-section dependence in residuals.

5. CONCLUSION

This paper draws attention on the link between vertical qualification mismatch and the rate of growth in the long run. It utilizes the extended neoclassical model of growth in order to find empirical evidence on that relation. The regression outputs confirm the positive growth impact of the overall human capital stock and the contribution of the properly matched university graduates taking positions such as Managers, Professionals, Technicians and Associate professionals. On the other hand, the increasing percentage of people whose education is above the requirements for the job positions they hold, affect growth negatively. The inclusion of clerical support workers to the properly educated graduates leads to a negative result regarding the link between university education and growth.

From a policy perspective the study implies that, in general, investments in human capital and the broader access to education benefit the long-run economic development. But, the attention should be drawn not only

to the graduation rate per se but also on the distribution of the country's human capital by educational degrees or the fields of study. Higher educational attainment of the population does not always go hand in hand with adequate skills which affects negatively technology adoption and firm performance at a micro level and resource misallocation at a macro level. Improved quality of education, life-long learning and career guidance are among the measures for mismatch reduction. In light of the study outcome, a better match between educational attainment of the labor force and the specific economic structure might solve the problem of rising qualification mismatch across the European countries and enhance their long-run prospects for growth. As the current study is one of the first ones exploring the direct relationship between (mis)match and economic growth further evidence is needed in this regard.

[1] This paper is written as part of the scientific project titled IRISI, financed by the Bulgarian National Science Fund under a contract № KP/06/OPR 01/4/ 21.12.2018.

REFERENCES

- Beck, N., & Katz, J. (1995). What to do (and not to do) with time-series cross-section data. *American Political Science Review*, 89, pp. 634-647.
- Chevalier, A. (2003). Measuring over-education. *Economica*, 70, pp. 509-531.
- Eurostat. (2009). *The Bologna process in higher education in Europe. Key indicators on the social dimension and mobility* (Office for Official Publications of the European Communities: Luxembourg).
- Frei, C., & Sousa-Poza, A. (2011). Overqualification: permanent or transitory? *Applied Economics*, 14(11), pp. 1837-1847.
- Groot, W., & van den Brink, H. (2000). Overeducation in the labor market: a meta-analysis. *Economics of Education Review*, 19, pp. 149-158.
- Mavromaras, K., Mahuteau, S., Sloane, P., & Wei, Z. (2013). The effect of overskilling dynamics on wages. *Education Economics*, 21(3), pp. 281-303.
- Mendes de Oliveira, M., Santos, & M., Kiker, B. (2000). The role of human capital and technological change in overeducation. *Economics of Education Review*, 19(2), pp. 199-206.
- Neycheva, M. (2019). How might the negative impact of higher education on growth be explained? The role of vertical qualification (mis)match in an MRW-type model. *Economics of Transition and Institutional Change*, 27(4), pp. 943-969.
- OECD (2013). Skills outlook. *OECD*, Paris.
- Ramos, P., Suriñach, J., & Artis, M. (2009). Regional economic growth and human capital: the role of overeducation. Research Institute of Applied Economics, WP 2009/04.
- Sparreboom, T., & Tarvid, A. (2016) Imbalanced Job Polarization and Skills Mismatch in Europe. *Journal of Labour Market Research*, 49, pp. 15-42.

Application of big data in Project Management

Mehrzad Abdi Khalife¹

Amir Hosian Kamali Dolatabadi²

Csaba B. Illes³

Anna Dunay⁴

¹ Doctoral School of Management and Business Administration, and Institute of Business Economics, Leadership, and Management, Szent István University, Páter Károly 1, Godollo 2100, Hungary e-mail, Mehrzad.Abdi.khalife@phd.uni-szie.hu ORCID: 0000-0002-8397-2686

² Department of Industrial Engineering, Islamic Azad University, Robat Karim branch, Robat Karim, Iran, e-mail, ORCID: 0000-0002-8843-9573

³ Institute of Business Economics, Leadership, and Management, Szent István University, Gödöllő, Hungary, e-mail, Illes.B.Csaba@gtk.szie.hu, ORCID: 0000-0001-9546-2897

⁴ Institute of Business Economics, Leadership, and Management, Szent István University, Gödöllő, Hungary, e-mail, Dunay.Anna@gtk.szie.hu ORCID: 0000-0003-0254-9243

Abstract: Data is nowadays available in unlimited abundance in the digital human lifestyle. This abundance of data should be analyzed and the information should be exploited from this unlimited source. Digging and ordering the disorder surrounded by big data is an effort to exploit the information. The data can be structured or non-structured data and the available software can analyze the data or extraction of information from those data needs new methodology. The science of dealing with un-structured data is big data and in the current modern life is applicable in all scientific and practical fields. Project is the foundation of our modern society and the projects are all over in today's modern society. To manage the project, project management is a field of science and it uses different tools and techniques to be more efficient and effective. Big data analysis is not an exception in the project management toolbox. Here we study the rise of usage of big data in the project management field and we frame the framework of big data usage in project management. At the end of the study, the future of big data usage applications in project management are recommended and it can be enlightening the way practitioners and scholars in project management.

Keywords: Big data, digitalization, project management, application, future approach

1. Introduction and literature review

Project management is not a new concept and science, in the old-time project managers were from the royal family, or an elite member of society or military leaders (Garel 2013), but the modern project management introduced after World War II as an independent science (Weaver 2007, Uchitpe, Uddin et al. 2016). Project management institute defines the project as a sequence of activities with a close end with targeting the defined or undefined achievement and results (Project Management 2017). The project management as a field of science is growing day by day and the new concept and science are adding to the project management field (Silvius 2017). These changes and the scale of the project, plus the nature of project complexity is making the project business a risky and complex business (Elonen and Artto 2003, Ahern, Leavy et al. 2014, Rivera and Kashiwagi 2016).

Garel in 2013 reviewed the history of project management from its early days (Garel 2013), and in the new age of modern project management some method was the main technique for controlling the projects, Critical path method (CPM), work breakdown structure (WBS) (Vanhoucke 2012) and program evolution and review techniques (PERT) (Sapolsky 1972) were used as individual methods for controlling project by project managers and progressively these techniques along with new techniques concatenated and integrated into standards. Project management standards are starting to shape in a different part of the world, in the United States the international organization for standardization (ISO) presented ISO 21500 (ISO 2018), and in parallel project management institute (PMI) introduced the project management body of knowledge (PMBOK) (Project Management 2017), In United Kingdom (UK) PRINCE2 came to life by AXELOS (Office of Government Commerce 2009), and many more in the other places. These standards become the most practical platform for project managers.

Even though with all these efforts all over the world still projects are inefficient and ineffective (Lepatner 2007, (PwC) 2009, Rivera and Kashiwagi 2016), hence scholars did not stop to work on new models and platform for

project management and they introduced several models for improving the project team efficiency (Kashiwagi 1991, Rivera and Kashiwagi 2016). The decision-making process in most of the projects does not work properly and the project managers decide after it occurs and it is because of the amount of information and non-transparency in information (Elonen and Artto 2003, Ahern, Leavy et al. 2014, Rivera and Kashiwagi 2016). This is a place that technology can come to life.

At the start of the twenty-one century the digital data revolution had begun and most of the non-digital data transferred to digital data and the volume of data growth day by day (Hilbert and López 2011). Big data is the field of data science working with data in which traditional software cannot extract the information by traditional data processing algorithm (Breur 2016). If data scientists cannot work with data processing software for analyzing the big volume of data and the processing needs a new way of analysis it can be called the big data analysis (Olsson Nils and Bull-Berg 2015). The big data has different application from health care system (Alvarez Hernández 2020, Lv and Qiao 2020, Ma, Cheng et al. 2020, Pramanik, Lau et al. 2020) to social science (Liu and Guo 2016, Karamshuk, Shaw et al. 2017, Oswald and Putka 2017).

Here in this study based on the literature, the comprehensive study conducts big data applications in project management. The study organized methodology in the second section, data gathering methods and technic came in the third section. The fourth section demonstrates the results and in the fifth section, the discussion around the subject has been conducted. In the end, the conclusion came and future research potential discussed.

2. Methodology

Here in this article by using of bibliometrics analysis method tries to visualize the keywords metrics to find the application of big data in project management. To empower the scholars and have a better understanding of the science field of research bibliometrics analysis methods are handy (Pauna, Buonocore et al. 2019). These methods are applying to analyze the authors, geography regions, publisher body, contributors institutes and keywords occurrences (Chen, Liu et al. 2016). VOSviewer is one of the bibliometrics analysis software and it has been selected to use in this study (Corsi, Pagani et al. 2019, Lawal, Klink et al. 2019, Yıldız 2019). The software uses for clustering and network mapping and visualization of the study history (Van Eck and Waltman 2010).

After the keyword network analysis, the narrative literature review methodology came to picture and used for comprehensive interpretation of the field of study, this method is based on researchers' experiences for better understanding the science field (Kirkevold 1997). This method seems informal compare with the other literature review method such as a systematic literature review (Jahan, Naveed et al. 2016). The narrative literature review has been used to identify the research hypotheses and also shape the conceptual framework (Cronin, Ryan et al. 2008).

3. Data

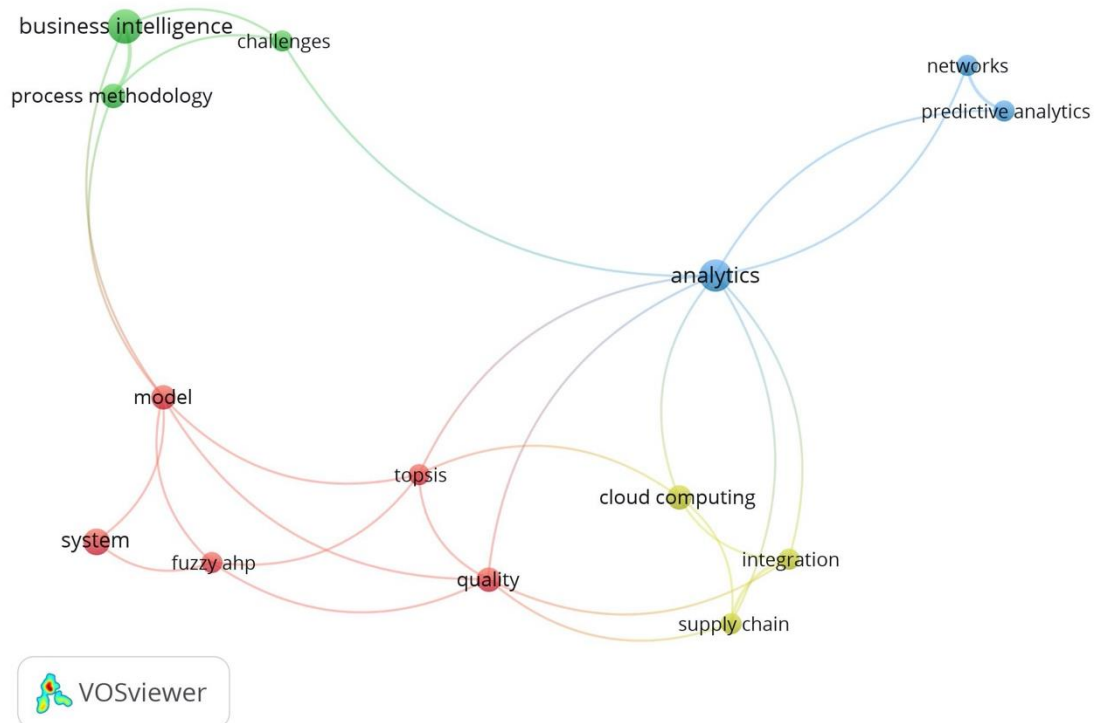
Mainly for data collection, there are two approaches, the first is to go through all the scientific databases and collect all the record regarding the subject and then refine the article and eliminate the duplication (Holub and Johnson 2018), a problem with this method is that the researchers need to go to all databases and there is no guaranty for the article quality, and because most of major journals and conferences are referenced in well-known databases parallelly then there would be a lot of duplication elimination. The second approach is to select one major well recognized scientific website and conduct the research and based on that result do further analysis (Merediz-Solà and Bariviera 2019). Here for this study the later has been selected which is more practical.

The three main publication databases are Web of Science Core Collection (WoSCC), google scholar, and Scopus, The converge of google scholar are wider than the other databases but because there are non-peer-reviewed articles from non-scientific journals and conferences here was not considered (Martín-Martín, Orduna-Malea et al. 2018). The other two databases are covered mostly in the same area and there is a slight difference between them, there is no exact preference between these two databases, here the researcher decided to use Web of Science. To conduct the search the "big data" keyword along with the keywords "project" or "projects" have been searched by researcher in WoSCC and the result was 129 publication record which are the base of further analysis. The search conducted in April 2020.

4. Results and discussion

To analysis the result here in this article keywords network analysis is used, one of the ways to know the publication content and the publication focus is through keywords (Zhang, Yu et al. 2015). For the keyword analysis, both authors' keywords and the keywords plus are considered and the analysis is based on the combination of both keywords. The network is generated by VOSviewer software (Corsi, Pagani et al. 2019, Lawal, Klink et al. 2019, Yıldız 2019) and the software has been used the natural language processing (NLP) method in this regard (Van Eck and Waltman 2010). In the end, 20 top keywords have been selected and among them, the keywords which are related to the big data and project management have been eliminated because the focus of the study is on those two main keywords and here researchers are looking for these keywords application. Hence, keywords such as "project management", "management", "big data", "data science", "big data analysis", "big data project" were eliminated from the keyword network. The keyword network illustrates in figure 1 and it shows the four different clusters. By analyzing the keywords in each cluster the clusters show the big data application in project management.

Figure 1: keywords network for "big data" application in "project management"



The first cluster which is red cluster is about modeling and system in the application of big data in project management, the second cluster is green and it talks about the business intelligence processes, the third cluster is about the prediction and use of big data in prediction of the future events in projects this cluster represent by blue color, and the last is yellow color cluster and it is about cloud computing and the integration of the supply chain by using big data for project management.

5. Conclusion

This study goes through the literature and history of the application of big data in the field of project management, in the study the data collected from the well recognizable scientific database. The database is Web of Science core collection (WoSCC) and 129 publication is recorded from search. The search keywords are "big data" and "project" or "projects", and the first publication was in 2012 and the search data was in April 2020. For analyzing the content the keywords network is used and VOSviewer software is assisting for creating the network. Hence the four cluster network is shaped and the further analysis has been conducting based on these 4 cluster networks. To show the content of cluster researchers of this study named each cluster. The first cluster named modeling and system application, the second cluster called business intelligence processes, the

third cluster is the prediction of the future event in projects, and the last one labeled cloud computing and integration. All these clusters are under the application of big data in project management subject.

Project management is a vast area of knowledge and it has different sub-knowledge areas. This study shows there are several untouched areas of study in project management by applying big data analysis, such as communication, human resources, risk management and other areas. This opens the potential for further studies in the application of big data analysis in project management. And far enough the subject is young and there are a lot of rooms to expand and explore in this subject.

Reference

- (ISO), I. O. f. S. (2018). Standard 31000:2018—Risk Management.
- (PwC), P. (2009). "Need to know: Delivering capital project value in the downturn." Retrieved November 01, 2019, from <https://www.pwc.com/co/es/energia-mineria-y-servicios-publicos/assets/need-to-know-eum-capital-projects.pdf>.
- Ahern, T., B. Leavy and P. J. Byrne (2014). "Complex project management as complex problem solving: A distributed knowledge management perspective." *International Journal of Project Management* 32(8): 1371-1381.
- Alvarez Hernández, J. (2020). "Big data, creación de valor en nutrición clínica." *Endocrinología, Diabetes y Nutrición*.
- Breur, T. (2016). "Statistical Power Analysis and the contemporary "crisis" in social sciences." *Journal of Marketing Analytics* 4(2): 61-65.
- Chen, D., Z. Liu, Z. Luo, M. Webber and J. Chen (2016). "Bibliometric and visualized analysis of energy research." *Ecological Engineering* 90: 285-293.
- Corsi, A., R. N. Pagani, J. L. Kovaleski and V. Luiz da Silva (2019). "Technology transfer for sustainable development: Social impacts depicted and some other answers to a few questions." *Journal of Cleaner Production*: 118522.
- Cronin, P., F. Ryan and M. Coughlan (2008). "Undertaking a literature review: A step-by-step approach." *British journal of nursing (Mark Allen Publishing)* 17: 38-43.
- Elonen, S. and K. A. Arto (2003). "Problems in managing internal development projects in multi-project environments." *International Journal of Project Management* 21(6): 395-402.
- Garel, G. (2013). "A history of project management models: From pre-models to the standard models." *International Journal of Project Management* 31(5): 663-669.
- Hilbert, M. and P. López (2011). "The World's Technological Capacity to Store, Communicate, and Compute Information." *Science* 332(6025): 60.
- Holub, M. and J. Johnson (2018). "Bitcoin research across disciplines." *The Information Society* 34(2): 114-126.
- Jahan, N., S. Naveed, M. Zeshan and M. Tahir (2016). "How to Conduct a Systematic Review: A Narrative Literature Review." <http://www.cureus.com> 8.
- Karamshuk, D., F. Shaw, J. Brownlie and N. Sastry (2017). "Bridging big data and qualitative methods in the social sciences: A case study of Twitter responses to high profile deaths by suicide." *Online Social Networks and Media* 1: 33-43.
- Kashiwagi, D. (1991). Development of a Performance Based Design/Procurement System for Nonstructural Facility System. Doctor of Philosophy, Arizona State University.
- Kirkevold, M. (1997). "Integrative nursing research—an important strategy to further the development of nursing science and nursing practice." *Journal of advanced nursing* 25(5): 8.
- Lawal, I. A., M. Klink, P. Ndungu and B. Moodley (2019). "Brief bibliometric analysis of "ionic liquid" applications and its review as a substitute for common adsorbent modifier for the adsorption of organic pollutants." *Environmental Research* 175: 34-51.
- Lepatner, B. (2007). "Keynote address: Broken buildings, busted budgets."
- Liu, H. and G. Guo (2016). "Opportunities and challenges of big data for the social sciences: The case of genomic data." *Social Science Research* 59: 13-22.
- Lv, Z. and L. Qiao (2020). "Analysis of healthcare big data." *Future Generation Computer Systems*.
- Ma, C., X. Cheng, F. Xue, X. Li, Y. Yin, J. Wu, L. Xia, X. Guo, Y. Hu, L. Qiu and T. Xu (2020). "Validation of an approach using only patient big data from clinical laboratories to establish reference intervals for thyroid hormones based on data mining." *Clinical Biochemistry*.
- Martín-Martín, A., E. Orduna-Malea, M. Thelwall and E. Delgado López-Cózar (2018). "Google Scholar, Web of Science, and Scopus: A systematic comparison of citations in 252 subject categories." *Journal of Informetrics* 12(4): 1160-1177.
- Merediz-Solà, I. and A. F. Bariviera (2019). "A bibliometric analysis of bitcoin scientific production." *Research in International Business and Finance* 50: 294-305.
- Office of Government Commerce, O. (2009). *Managing Successful Projects with PRINCE2* (2009 ed.), the Stationery Office, .
- Olsson Nils, O. E. and H. Bull-Berg (2015). "Use of big data in project evaluations." *International Journal of Managing Projects in Business* 8(3): 491-512.
- Oswald, F. L. and D. J. Putka (2017). "Big data methods in the social sciences." *Current Opinion in Behavioral Sciences* 18: 103-106.

- Pauna, V. H., E. Buonocore, M. Renzi, G. F. Russo and P. P. Franzese (2019). "The issue of microplastics in marine ecosystems: A bibliometric network analysis." *Marine Pollution Bulletin* 149: 110612.
- Pramanik, I., R. Y. K. Lau, A. K. Azad, S. Hossain, K. Hossain and B. K. Karmaker (2020). "Healthcare Informatics and Analytics in Big Data." *Expert Systems with Applications*: 113388.
- Project Management, I. (2017). *A guide to the project management body of knowledge*.
- Rivera, A. and D. Kashiwagi (2016). "Creating a New Project Management Model through Research." *Procedia Engineering* 145: 1370-1377.
- Sapolsky, H. (1972). *The Polaris System Development: Bureaucratic and Programmatic Success in Government*. Cambridge, Harvard University Press,.
- Silvius, A. J. G. (2017). "Sustainability as a new school of thought in project management." *Journal of Cleaner Production* 166.
- Uchitpe, M., S. Uddin and C. Lynn (2016). "Predicting the Future of Project Management Research." *Procedia - Social and Behavioral Sciences* 226: 27-34.
- Van Eck, N. J. and L. Waltman (2010). "Software survey: VOSviewer, a computer program for bibliometric mapping." *Scientometrics* 84(2): 523-538.
- Vanhoucke, M. (2012). *Project Management with Dynamic Scheduling*, Springer-Verlag Berlin Heidelberg.
- Weaver, P. (2007). "A brief history of project management " *APM* 19(11).
- Yıldız, T. (2019). "Examining The Concept of Industry 4.0 Studies Using Text Mining and Scientific Mapping Method." *Procedia Computer Science* 158: 498-507.
- Zhang, J., Q. Yu, F. Zheng, C. Long, Z. Lu and Z. Duan (2015). "Comparing keywords plus of WOS and author keywords: A case study of patient adherence research." *Journal of the Association for Information Science and Technology* 67.

HR In Pubic Administration Of Albania (Politic Aspect)

Msc. Miljana Xhakolli¹

¹Tirana International Airport (TIA). miljana.xhak@hotmail.com

Abstract: Human resources are already part of an important functionality of an institution, but not always seen with this ambiguity as a result of the lack of existence as a previous field. Over time, any product of society is allowed or eliminated, but today in human resources we look as imperative. Organizational commitment to increasing the performance of organizations and HR performance is a necessity for the economic dynamics we face. The study highlights the processes / practices that have a direct impact on individual and organizational performance. The study has considered public organizations operating in the Tirana area.

To analyze more specifically the organization's performance and the performance of individuals within the organization, processes / practices such as recruitment and selection, training and development, motivation, reward and compensation, career guidance, and performance appraisal have been considered. This study attempts to highlight the positive but negative side of the human resource field itself. It has developed and if today we can say that we have given more importance than what should be given by hyperbolizing the very importance of human resources

Key words : Human resources, development, public administration, processes, performance organizations

INTRODUCTON

Human resource management is focused on developing employee skills , job support , democratic leadership styles by sunning staff involvement and increasing commitment to sustainable institutional development and successful market performance. This study focuses on exploring practices, culture, processes, and factors that affect individual employee performance and organizational performance. So, human resource management is problematic, at least in recent years, in the Albanian state administration . Organizations in Albania in general are not interested in a contemporary management of their resources and as a result face problems of various kinds. Other problems, which arise in human resource management and which negatively affect the increase of their capacity, can be listed as follows:

- Recruitment of human resources, as one of the main challenges, to accept people of knowledge;
- Employee motivation within the organization is not based on merit
- Compensation / reward
- Career management
- Necessary training abroad / Within the country
- Organizations attach little importance to the Human Resources department
- Difficulties in measuring performance

Often in Albanian of allowing other admistraten was not given due importance to human burimive department but seen as gjjithetheperfshires department in the sense that an employee of this department do any work to be possible even without proper training.

The following analysis shows that in Albania this knowledge is lacking and, consequently, there is a great need for formal training of staff, requalifying it. The success of economic and social development of different countries is measured by the quality of human resources. The peculiarities of work, as a factor of production and social development, are reflected in the condition and quality of human resources, which are prepared for it for a very dynamic current labor market.

Objectives of the study:

The object of this paper is

- Examine the relationships between variables which are human resource management processes / practices such as: recruitment, training and development, motivation, career direction, compensation /

reward as well as performance appraisal and dependent variables that are individual performance and performance of the institution .

- This study will analyze the correlative relationships between dependent and independent variables, as well as their impact on individual and institutional performance.
- Exploring the practices and processes of human resource management, ie the factors that influence the increase of individual performance in public institutions and also to identify the performance influenced by these factors.
- Research on the study of processes / practices that affect the performance of human resources in institutions and the extent of their impact on the performance of the institution in general

Methodology

The nature of the study for the purpose of this study is quantitative which analyzes the data collected through structured interviews (questionnaire), intertwined with qualitative research which not only produces conclusions about elements that are not affected by quantitative research, but at the same time provides more understanding. good quantitative study data. The construction of this study was carried out based on primary and secondary data. Primary data have been requested in relation to the judgments and attitudes of local government managers in Albania. These data were provided through the questionnaire distributed in several important municipalities in Albania as well as through direct communications with specialists and managers of local public organizations to whom the research was focused. The secondary data are provided by publications of well-known authors in the field of management as well as data from institutions such as the Ministry of Municipality of Tirana, Municipality of Durrës.

1. Development of Albania in time

Public administration in Albania is a necessary process and continuous, which is closely connected with the process of integration in Euro Union pian (EU). Public administration reform has consistently been among the priorities of the Albanian government as a key instrument for improving the quality of services provided to citizens and businesses, and as a condition for the country's integration processes. With the entry into force of the Stabilization and Association Agreement (SAA) in 2009, Albania is focused gold in the development and implementation of transparent and impartial recruitment, management of human resources, career development in the public service, continuous training, promotion of ethics in administra Ten public as well as e-government.

Obtaining candidate status on June 24, 2014 marks an important step forward in Europe integration, which requires a professional administration and human and material resources to enable the implementation of national policies and objectives , which are undertaken in the context of compliance. of obligations in this regard. The crosscutting reform it to Public Administration

The strategy will provide a general framework for public administration reform for the period 2015-2020. The strategy will serve as a strategic document , which was drafted following previous documents approved by the Cypriot government regarding the reform of administration and the fulfillment of EU integration obligations.

In September 2009, the Albanian government approved the Interdepartmental Public Administration

Reform Strategy 2009-2013 which aimed to build and strengthen the general capacity management in Albania, through the modernization of the Albanian public administration and the strengthening of key institutions.

The same priorities are included in the European Partnership document, in the National Strategy for Development and Integration 2007-2013, and in the National Plan of the Albanian Government for the Implementation of the Stabilization and Association Agreement.

The Inter-Sectoral Strategy for Public Administration Reform in 2009-2013 focused only on civil service issues , leaving out of its scope other issues related to control over administration, and focusing not only on civil service but also on elements of other important to address the need to improve services provided to citizens

and businesses, to increase transparency and accountability or issues such as governance innovation, priorities which are also defined in the Government's political program for 2013-2017.

To determine the pillars on which this strategy is based, there are also documents of international organizations used in addition to the internal analysis conducted by the Department of Public Administration (DAP) and the analysis of the reports of the institutions involved in this field.

Thus, based on an analysis of the latest Progress Report of the European Commission for Albania (2013 and 2014), some issues, which are still unresolved, or issues that need further improvement, have been highlighted, such as following: the need for the adoption of the new law on administrative procedures; strengthening the role of the Department of Public Administration, its effective coordination with other institutions, the implementation of its decisions, as well as the implementation of court decisions; making the Human Resource Management Information System (HRMIS) fully functional and expanding it in addition to its connection to the Treasury System; poor analytical capacity and high turnover of staff in the ministry, along with insufficient transparency and lack of consultation in most cases with stakeholders who continue to hinder the process of drafting legislation; the need to improve regulatory impact assessment and implementation in addition to implementing and monitoring approved legislation

The latest World Bank report states that the Public Administration Sector Strategy (CPARS) Reform for 2009-2013 failed to cover many issues related to the effective Public Administration. Various components of the Intersectoral Strategy for Public Administration Reform were spread to other strategies. Fragmentation is one of the reasons why this strategy was mainly related to human resource management. Improving the provision of services and improving the accountability of public officials will be considered in parallel with the capacity building of the public Administration. The new cross-sectoral strategy of public administration reform 2015-2020 is more expanded and is built on four basic elements:

- 1- Improving the provision of services to citizens;
- 2- Increasing the accountability of public officials;
- 3- - More decision-making delegations;
- 4- Promoting professionalism in the civil service and meritocracy in recruitment.

Important steps, which can be summarized as follows, were taken during 2013 - 2014 in order to consolidate the functioning of an efficient institutional network, as well as towards a stable and sustainable system of professional administration:

- Completion of legal reform in the civil service through the adoption of the new law 152/2013 "On Civil Servants" and bylaws in its implementation, as one of the steps required to obtain candidate country status;
- Commencement of the implementation of mass civil service recruitment according to Law 152/2013, which provide a high degree of objectivity and eliminate the impact of institutions on recruitment staff ;
- Building an online application system for candidates for vacancies and electronic management of application files by increasing the transparency of the process and reducing costs for applicants;
- Strengthening control over public administration by reforming the judicial system and starting the functioning of the administrative court;
- Creating a general legal framework for the organization and functioning of the public administration by setting standards for its establishment and operation, as well as for the typologies of executive government institutions in addition to setting standards regarding the creation of organizational structures and schemes.
- Drafting and approval by the Council of Ministers of the draft law "Code of Administrative Procedure";
- The creation of a stop for the provision of services, as well as the use of information technology has expanded to increase the speed of distribution, to store data and to ensure transparency.

However, the public administration faces major challenges in key sectors when it releases its own tasks, which are related to sustainability and depoliticization, the establishment of effective control mechanisms, Strict enforcement of civil servants law and implementation of transparency recruitment procedures, increasing the quality of services provided to citizens, the fight against corruption and the use of information technology in the provision of services

2. Political influence on human organizations and resources

Much has been written about the transformation of the workplace brought about by technology, changes in cultures, including population growth, economic globalization, shifting the diversity of the workforce, global life systems, global social change, advances in learning, and the movement of spirituality. However, there has been little discussion about the changes made by politics and power.

Politics is one of the main causes of global economic globalization and the resulting changes in the international workplace. States exercise different political levels of power over organizations and the subsequent development of human resources.

the network of government and the political systems of nations and states respond

the demands of the public and organizations by exercising authority and policy-making on the allocation of resources, values and services. Government policy influences decisions such as what individuals and organizations make, when and how, and what can be delivered in that context.

International governance that affects organizations is concerned with trade and cooperation between nations and global order and security.

But in most cases, the state involves more than just the government; it also includes stakeholders and influential business leaders and even some powerful international organizations and non-supervisory actors.

Governments are gradually changing the importance attributed to human resource management in public sector management. Governments understand this. Staff management in the public sector is one of the most powerful and least valued ways to achieve their political and strategic objectives. Some are increasingly becoming aware of their special responsibility to act as a "model employer" in society.

3. What strategy should governments pursue when it comes to HRM?

Previous discussion has provided as arguments about performance and ethics why the quality of HRM in the public sector should be a central concern of governments.

The question is: what strategy to follow governments when it comes to HRM and its reforms?

The main message of the report is the content and sequence of HRM reform will depend on the existing structure of public administration in a given country.

Governments are well advised to start and almost always do where they find themselves, developing and gradually adapting to meet the demands of the day instead of trying for a MBN "Year Zero" with some model models designed by a more "practice" good "international. It's this "street addict" character of public service institutions and procedures, the result of their history at least as much as the cultural differences that explain why governments change to such an extent in the basic structures they have put in place to manage staff.

However, it is worth remembering Edward Said's lapidary phrase: "History cannot be cleaned up like a blackboard." The United Nations Committee of Experts on Public Administration was one of the earliest advocates of this view, which was most recently highlighted in the World Development Report 2004. While some countries need to lay the foundations for HRM by setting the framework necessary legal and regulatory and ensuring the pursuit of these policies, other countries, where the foundations are strong, already have the luxury of building them.

Q Everitt well advised to focus their efforts, as often as possible, to the institutionalization of a unique civil service career, before leaving the more complex initiatives such as decentralization of HRM and the introduction of a system based in position

4. Case study

In defense of this micro thesis are taken into consideration both public institutions such as the municipality of Tirana and Durres. are distributed 150 sheets in each institution a questionnaire consisting of mass importance

and efficiency of HRM in public admistraten but only 9 0 from the Municipality Tirana and 70 from Durres Municipality managed to be achieved as part of the employees refused to give their opinion about this department and 20 of them did not agree to answer me back part 4 of pyetsoreit after element of policy in the d he wanted to remain neutral even though it became clear that the name and surname of the employee is not necessary or mandatory .

In this chapter the results of the study are analyzed quantitatively and qualitatively. The aim of this analysis is to answer the research questions of the study which are related to the skills and opportunities that exist for local public organizations in Albania in terms of implementing HRM, with the aim of increasing organizational performance and removing it from interventions. political This analysis is followed by several paragraphs which complement the whole study. These paragraphs present the manner and results that the implementation of the HRMB in an organization causes in the performance of that organization as well as the potential problems that such a development may cause.

Such a presentation of the analysis of the study results, combined with the real possibilities, the current situation in Albania and the possible problems of this process are believed to be a good basis to generate and better understand the conclusions and recommendations of this study.

Structural analysis

The composition of the selected sample, interviewed during the study process provides a necessary information not only to better understand the results of research questions, but at the same time gives a relatively realistic picture of the structure of human resources in Albania.

4.1 - Professions taken in the study

The first question of this questionnaire was “ 1. *What is your job position?* ”. The purpose of such a question was to better identify the selected sample and to analyze the answers according to different categories of respondents.

Table: 1.1 Number of respondents according to their position in the municipalities of Tirana and Durres

Position	Number
Adminis tor	6
Manager	45
responsible	35
High level specialists	14
specialists	60
total	160

From the collection and analysis of the answers of 160 respondents it was seen that there were 5 categories of professions:

1. Administrator 6 respondents . This category includes head of the institution (mayor), head of administrative units of municipalities and regional administrator.

2. 45 surveyed managers . In this category are included *directors* and *directors of directorates* in various local units. It is worth noting that 1 0 of the respondents specified that they are directors of human resources and each of them has a staff of at least 5 members.

3. Responsible, 35 respondents. This category includes all those specialists who perform specific tasks themselves and at the same time lead a certain sector within the power organization.

local; such are the heads of the finance, accounting, environmental protection, budget, treasury, licensing, etc. offices. Each of them managed in addition to his own work and at least 1 other employee.

4. High level specialists but without managerial responsibilities . From this category, 14 people were surveyed who perform important tasks in the organization such as specialists in the directorate of human resources, tax collection, infrastructure, real estate registration, education, agriculture and veterinary medicine, etc.

5. Specialists, 60 respondents. This category includes mid-level professions in organizations such as financiers, cashiers, trainers, project coordinators, etc.

4.2 Age of respondents

The age groups included in this study are four. Their division is done by following the way of traditional divisions that INSTAT designs for age groups for employment statistics and taking into account the age range of the respondents in this study. Respondents' ages fluctuate within the 23-year to 64-year range.

Table: 1.2 Number of respondents by age group

Table: Number of respondents by age group.	
Age group	Number
Age group 23-34	88
Age group 35-44	50
Age group 45-54	12
Age group 55-64	10
Total	160

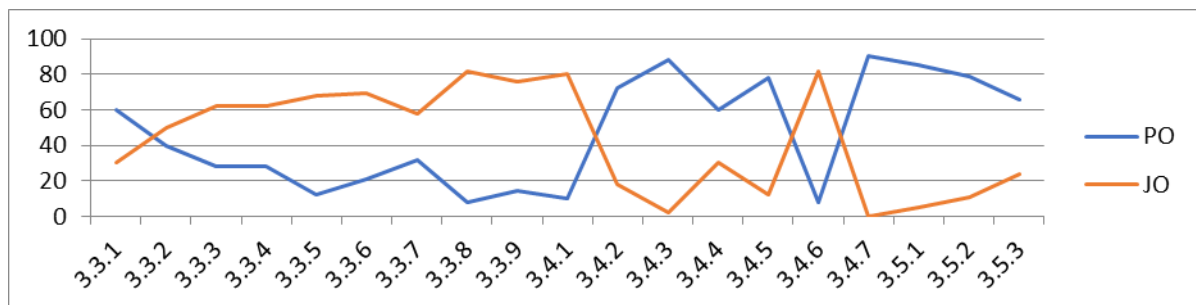
4.3 Among the most important elements of HR are evaluation, performance and motivation and such sites are required to answer these questions:

Table 1.8 gives the respondents' answers to the motive , evaluation and performance

ASSESSMENT, PERFORMANCE, MOTIVATION
3.3.1. Do you know the HR performance evaluation system?
3.3.2. Do you think the ECB's performance appraisal system is effective?
3.3.3. Do you consider performance appraisal standards and their control / evaluation system reasonable?
3.3.4. Does the performance appraisal system allow corrections for reasonable causes and arguments?
3.3.5. Are job and achievement records kept in order to objectively evaluate performance?
3.3.6. Is there a training needs planning system?
3.3.7. Is there a distribution of training based on equality, merit, compliance with tasks / functions, and the needs of each?
3.3.8. Have you made any remarks or comments regarding treatment inequalities related to training? If so, give comments.
3.3.9. Have you presented your needs to be qualified or trained and have they been considered? He gives comments.
3.4.1. Do you consider the distribution of human resources efficiently within the directorate / sector where you work?
3.4.2. Do you consider yourself overloaded compared to others within the structure where you work or even with others outside of it if you have objective reasons? (associate with comments, why?).
3.4.3. Are you planning your work day?
3.4.4. Do you do your daily chores?
3.4.5. Are you left with unfulfilled tasks?
3.4.6. Do you assess that your job position is in line with your knowledge, education or experience? Accompany with comments.
3.4.7. Do you evaluate teamwork efficiently?
3.4.1. Do you consider it efficient to allocate human resources within the directorate / sector where you work?
3.4.2. Do you consider yourself overloaded compared to others within the structure where you work or even with others outside of it if you have objective reasons? (associate with comments, why?).
3.4.3. Are you planning your work day?
3.4.4. Do you do your daily chores?
3.4.5. Are you left with unfulfilled tasks?
3.4.6. Do you assess that your job position is in line with your knowledge, education or experience? Accompany with comments.
3.4.7. Do you evaluate teamwork efficiently?
3.5.1. Have you developed / performed other tasks that do not belong to your workplace? (Gives comments on how many cases, how often, etc.)
3.5.2. Have you developed a system for setting priorities in performing daily tasks? If so, give with comments, how much you have realized within the day / term (in%).
3.5.3. Have you been drawn to or taken any action not to perform work duties? If so, give comments on how many cases. If

not, why not?						
		MUNICIPALITY TIRANE		MUNICIPALITY DURRES		
QUESTION	PO	NO	COMMENTS	PO	NO	COMMENTS
3.3.1	60	30	-	60	10	-
3.3.2	40	50	-	20	50	-
3.3.3	28	62	-	12	58	-
3.3.4	28	62	-	13	57	-
3.3.5	12	68	-	8	62	-
3.3.6	21	69	-	11	59	-
3.3.7	32	58	-	28	42	-
3.3.8	8	82	7 COMMENTS ABOUT FEAR TO COMPLETE FROM WORK	15	55	11 COMMENTS ABOUT FREQUENCY TO EXPECT FROM WORK
3.3.9	14	76	15 COMMENTS ABOUT FEAR TO COMPLETE FROM WORK 2 COMMENTS THE REQUEST IS INJURED	23	47	20 COMMENTS ABOUT FREQUENCY TO EXPECT FROM WORK
3.4.1	10	80	-	12	58	-
3.4.2	72	18	25 COMMENTS FOR INDEPENDENT DIVISION OF WORK 5 COMMENTS FOR MORE DIRECTORS OF WORK	61	8	32 COMMENTS FOR INDEPENDENT DIVISION OF WORK
3.4.3	88	2	-	70	0	-
3.4.4	60	30	-	55	15	-
3.4.5	78	12	-	56	14	-
3.4.6	8	82	37 COMMENTS I STUDIED IN ANOTHER	5	65	12 COMMENTS I STUDIED IN

			FIELD 5 COMMENTS HAVE LOWER INDIVIDUALS			ANOTHER FIELD 2 I AM PROMOVED WITHOUT MERTOCRACY
3.4.7	90	0	-	69	1	-
3.5.1	85	5	23 COMMENTS I REQUESTED FROM EMPOYER TO DON'T TALK 3 COMMENTS I HAVE TAKEN ORDERS	67	3	15 COMMENTS WERE ORDER FROM THE EMPLOYER
3.5.2	79	11	-	67	13	-
3.5.3	66	24	36 PREVENTION FOR DISCLOSURE FROM WORK 5 COMMENTS FOR EXPERIENCE BEFORE	63	7	38 PRESENTATION FOR DEFENSE FROM WORK



Grafic of Tirana & Durrës

As we noticed from the graphs and giving answers we encounter many problems in public administration. Mostly the comments show that there is a fear of employees for dismissal and non-functionality of human resources. Training is not in line with the profile and requirements of employees although most of them are silent in the face of the fear of being unemployed.

What is to be noted is the knowledge of every employee about the job profile that is not unified by the degree obtained but strange is the ignorance of this phenomenon from human resources or we can throw the hypothesis of a dysfunctional system.

Conclusion

Based on the analysis of the basic data of the questionnaire regarding the focus group, some conclusions can be given about the survey process, conclusions which can be considered as conclusions of the study itself. Based on these preliminary conclusions, some valuable recommendations are presented below, mainly for policymakers and senior managers in Albania.

In more detail, from the analysis of the basic data of the questionnaires we can draw some conclusions as follows.

First, an important element of the HRUP is staff knowledge. One element that provides data on the quality and level of knowledge is the quality of the questionnaire itself. Of the 196 respondents, 36 failed to complete the questionnaire correctly. I consider this a relatively high figure if we take into account that the survey was attended by individuals with higher education and qualified with Master programs and another part have conducted various trainings inside and outside the country. This fact does not necessarily prove the lack of knowledge but let one of the options be open: either the knowledge is lacking for 18% of the respondents, or the knowledge is taken but not being used properly.

Second, the vast majority of respondents are relatively young, from 23 years old to 34 years old. There are 88 respondents or 55% of them in this age range. This is important data because the main power of change and implementation of these innovative management and strategy practices lies precisely in these ages which do not possess the knowledge and at the same time with the information to make the change and improve the practices and methods of work due to lack of experience and short life of individuals in the employment relationship.

Third, frequent job changes and especially frequent change make it more difficult to achieve the knowledge needed to implement an HRM according to the organization's strategies. From the data collected in the study group obtained, it is observed that persons with secondary work experience predominate. Experienced people from 6-30 years of work are the core of development and the source of innovation in the organization.

Institutions obtained under study bring to light the many political changes that take place in the country but by not creating stability by employees then it will be impossible to create a sustainable work. an opportunity to be promoted in his profession and to give innovation from his energy but the part we just discussed remains skeptical as long as we talk about public services.

Fourth, the occasional political changes in public organizations and especially in those of local government have had their consequences on the sustainability of staff in the organization. As the above analysis proved, senior managers and specialists in Albania often move almost in sync with the political changes in the institution and each manager has one or two employees depending on it, which makes it possible to more closely monitor individuals and stay of faster production of services but on the other hand produces an inflation of the administration creating instability among employees. Such a level of circulation is a warning sign that the system is not working as it seems.

Bibliography

- Equal Pay Act of 1963 (Pub. L. 88-38) (EPA)
The Americans With Disabilities Act of 1990
Storey, J. (2001) *Menaxhimi i burimeve njerëzore: Një tekst kritik* (edn 2). Londër: Thomson Learning
Silva, S. (1997), *Zhvillimi i burimeve njerëzore për konkurrencën: një prioritet për punëdhënësit*.
Raporti i fundit i Progresit i Komisionit Evropian për Shqipërinë (2013 dhe 2014)
Raporti i Progresit 2013 i Komisionit Evropian për Shqipërinë
Raporti i Bankës Botërore nr. 82013-AL, *Rishikimi i Financave Publike të Shqipërisë*, maj 2014
Greer, C. (1995). *Strategy and human resources: A general managerial perspective*. Englewood Cliffs, NJ: Prentice Hall.
Soft and hard models of human resource management: Catherine truss
Greer, C. (1995). *Strategy and human resources: A general managerial perspective*. Englewood Cliffs, NJ: Prentice Hall.
Hendry, C. and Pettigrew, A. (1990). 'human resource management: an agenda for the 1990s'. *international journal of human resource management*
Jay B. Barney 2001 "Is the resource-based "view" a useful perspective for strategic management research? Yes".
Handbook for Strategic HR: Best Practices in Organization Development from the od network hardcover – november 28, 2012 by John vogelsang

- Human Resource Management By Robert L. Mathis, John H. Jackson
- Strategic Reward: Making it Happen By Michael Armstrong, Duncan Brown
- Employee Reward By Michael Armstrong
- Gutteridge, T (1986). Organizational career development systems: The state of practice. In Douglas T. Hall and Associates (Eds.), *Career development in organizations*. (pp. 50- 94). San Francisco: Jossey-Bass Publishers
- Binding of IASB to organizational performance
- Human resource management and performance by Stephen Wood 1999
- The Oxford Handbook of Human Capital edited by Alan Burton-Jones, J. -C. Spender
- Strategy and Humna rexouses management –P.Boxall&J.Pucell
- Bazuar në publikimin e National Academy of Public Administration, me titull: "The case for Transforming Public-Sector Human Resources Management", viti 2000, faqe 14-17.
- Mwita, J.I. (2000). Performance Management Model, a system-based approach to system quality. *The International Journal of Public Sector Management*, 13(1): 19-12
- Sheppeck, M.A., & Militello, J. (2000). Strategic HR configuration and organizational performance. *Humam Resources Management*, 9(1): 5-16.
- Kuvaas, B. (2006). Performance appraisal satisfaction and employee outcomes: Mediating and moderating roles of work motivation. *The International Journal of Human Resource Management*, 17(3): 504-522.
- Pfeffer, J. (1994). *Competitive advantage through people*. Harvard Business School Press, Boston: MA.
- Ligji Nr. 90/2012, "Për organizimin dhe funksionimin e administratës shtetërore"
- Popovich, M.G. (1998). *Creating High-Performance Government Organizations: A Practical Guide for Public Managers*. New York: Jossey-Bass.
- Organizata për Bashkëpunim dhe Zhvillim Ekonomik (OECD) (1999), "Parimet Evropiane për Administratën Publike", Dokumentet e SIGMA, Nr. 27, OECD Publishing.doi:10.1787/5kml60zwdr7h-en
- Instituti Evropian i Administratës Publike (2012), E ardhmja e punësimit publik në administratën publike qendrore.
- Organizata për Bashkëpunim dhe Zhvillim Ekonomik (OECD) (1999), "European Principles for Public Administration", SIGMA Papers, No. 27, OECD Publishing, <http://dx.doi.org/10.1787/5kml60zwdr7h-en>.
- Olive Lundy, Alan Cowling, "Strategic Human Resource Management", Routledge, 1996 - Business & Economics - 356 faqe.
- Armstrong, M. (2006). *A handbook of Human Resources Management Practice*. 10th Edition, Kogan Page Publishing, London.
- Stephen P. Robbins, 1997, "Essentials of Organizational Behavior"
- Byremo, C., (2015). Does HRM lead to improved organizational performance? Master thesis in Organization, Leadership and Work. Department of Sociology and Human Geografy. Faculty of Sciences. University of Oslo.
- Olive Lundy, Alan Cowling, "Strategic Human Resource Management", Routledge, 1996 - Business & Economics - 400 faqe.
- Emerald Group, *Management Decision Jurnal*, Prill 2012, Satwinder Singh, Tamer K Darwish, Ana Cristina Costa, Neil Anderson, "Measuring HRM and organisational performance: concepts, issues, and framework"
- Adrian Wilkson, (1999). "Employment relations in SMEs", *Employee Relations*, Vol. 21, fq. 206 - 217
- Becker, Brian and Barry Gerhart (1996). The impact of human resource management on organizational performance: progress and prospects. *Academy of Management Journal*, vol. 39
- Kaufmann, Daniel, Aart Kray and Massimo Mastruzzi (2003). *Governance Matters III: Governance Indicators for 1996–2002*. Washington, D.C.: World Bank
- Kaufmann, Daniel (1999). Governance redux: the empirical challenge. In *The Global*
- Rauch, James E. and Peter Evans (2000). Bureaucratic structure and bureaucratic performance in less developed countries. *Journal of Public Economics*, vol. 75, No. 1 (January), pp. 49–71

Web

- <https://www.itagroup.com/insights/evolution-of-human-resources-management>
- https://www.mindtools.com/pages/article/newTMM_Taylor.htm
- <https://www2.deloitte.com/content/dam/Deloitte/us/Documents/human-capital/hc-2017-global-human-capital-trends-us.pdf>
- https://www.etf.europa.eu/sites/default/files/m/C12578310056925BC125781700404655_NOTE8D3FQP.pdf
- Annual Report 2011 of the Civil Service Commission
- <http://www.dap.gov.al/images/Legjislacionishc/Ligji%20152%20perditesuar.pdf>
- https://www.drejtesia.gov.al/wp-content/uploads/2017/11/Kodi_i_Procedures_Administrative-1.pdf
- <http://www.dap.gov.al/images/Legjislacionishc/Ligji%20152%20perditesuar.pdf>
- <http://www.dap.gov.al/dap/evente/198-raporti-vjetor-2017-i-dap-permiresim-i-ndjeshem-i-indikatoreve>
- <http://www.kmshc.al/en/kreu/>

The Role Of Gold In Conditions Of Economic Crisis

Prof.Ognyana Stoichkova, PhD¹

¹University of Agribusiness and Rural Development

Abstract: Gold is a serious investment asset. Its role has been proven in the history of money circulation as collateral for money and as a medium of exchange. A number of reasons affect the use of gold in the economy. But always in times of economic crisis, its price rises as a result of increased investment interest in this precious metal. At the present stage, there is an increased interest on the part of governments to increase their gold reserves, which leads to a strong tendency to increase the price of the precious metal. The publication discusses the reasons for the rise in the price of gold and trends in the use of gold as an investment instrument.

Key words: gold standard, gold reserves, gold price, investment gol, gold demonetization

Introduction

During a crisis, a prudent investor looks for stable and secure investments, such as those in precious metals. So it was, so it is, and so it will be. It is no coincidence that over the last decade there has been a strong trend towards a steady increase in the price of gold. Meanwhile, governments around the world have been trying to solve their economic and financial problems by printing money, which has not led to economic stability. The market reacted with increased interest in investing in gold and the price of the precious metal went up.

1. The role of gold as collateral for the money supply

As is well known, before the introduction of paper money into circulation, people used gold and silver coins as money. After the end of World War II, the US dollar, "tied" to the gold standard, became the main means of payment. But later it was also separated from gold, which allowed the United States to become a "producer" of money. It will be recalled that the Gold Standard is a monetary system in which the value of a country's currency is equivalent to a certain amount of gold. This means that all paper money and coins in circulation can be converted into gold at a fixed rate. Countries that use this model undertake to buy and sell the precious metal at a pre-announced price.

Today, however, this currency system is not used by any country in the world. Britain abandoned the gold standard in 1931, and the United States abandoned it in 1933. The last "remnants" of securing the dollar with gold assets were removed in 1971.

Then the gold standard was replaced by the so-called "fiat money". The term comes from the Latin word fiat, which means "to be done", "consent, approval, permission, decree", as the money is established by government decree. They are not convertible into anything else (such as gold), nor do they have any fixed value.

In the years following the 2008 financial crisis and the subsequent "financial injections" by leading central banks, opinions in support of the gold standard began to be heard more and more often.

But why is he still attractive? The advantage of the gold standard is that it limits the so-called "printing of money", as the amount of money in circulation is limited to the physical amount of gold available. In this way, the danger of too high inflation is avoided.

However, the aim of monetary policy includes not only controlling inflation but also deflation. And the history of the United States and other countries that used the gold standard at one time shows that such restrictive regimes do curb inflation, but on the other hand, too strict their application can lead to economic instability and even political turmoil.

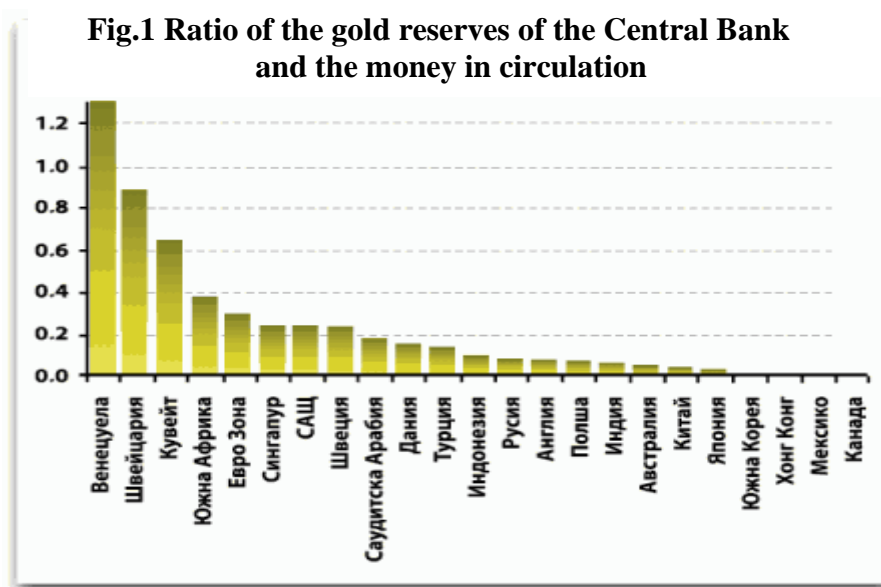
The gold standard in its ideal form lasted less than 50 years - from 1871 to 1914.

This is a period of world peace and prosperity, which coincides with a sharp increase in yields of the precious metal. But the gold standard is an expression, not a reason for this prosperity. It turns out that the world needs a more flexible tool to regulate international trade.

And although it no longer serves as collateral for the money supply, gold retains other important functions in the modern economic system. It is still an important financial asset for governments and central banks, securing the loans they lend to their governments.

In a free market, gold can be seen as an alternative to any other currency - the euro, the dollar, the Japanese yen or the British pound. Moreover, gold as a whole maintains its relationship with the movement of the dollar in the long run.

Statistics show that when the dollar depreciates, the price of gold usually rises and vice versa. During more severe market turmoil, it acts as an "asylum asset" for investors who use it as a safeguard against instability.



The chart shows how small the gold cover of currencies issued by countries with larger economies is.

Until recently, gold was considered the investment of the pessimist - an investor who always expects an economic cataclysm. Some economists believe that gold is simply an unnecessary relic of the past and has no application in the current modern economic system.

However, many are beginning to change their views, given the emerging bubbles in real estate, technology and stocks. Even ordinary people, witnessing the collapse of the world's largest bank, the Royal Bank of Scotland, the world's largest insurer AIG, and many other financial institutions, are increasingly aware of the need for financial security, of investments that have been tested. in time and history, and those that can protect them from the vicious practices of governments and financial institutions.

Until recently, people believed that real estate (housing,etc.) provided this stability and guarantee. But now, after the 2008 crisis, it is clear that properties are highly overvalued and a long payback period is expected. Should we invest in gold? In order to answer this question, the opportunities for investment in gold must be analyzed. They are two: buying investment gold and gold jewelry.

Investing in gold is in the form of standard coins and bars of pure gold. In order to achieve the status of a financial asset, investment gold is exempt from VAT and its price is very close to the stock price of the metal, and at any time there are prices for redemption.

The other alternative - investing in gold jewelry has the following disadvantages: VAT is charged on gold jewelry, more expensive to manufacture with the value of labor and lower purchase prices than the stock price of gold.

The price of gold has reached its highest level in seven years amid worries about global growth due to the coronavirus epidemic and speculation that the Federal Reserve will ease its monetary policy before the end of the year.

On the BNB website as of August 24, 2020, the price of one troy ounce of gold is BGN 3,214.62 and only one year before amounted to BGN 3.260 billion.¹

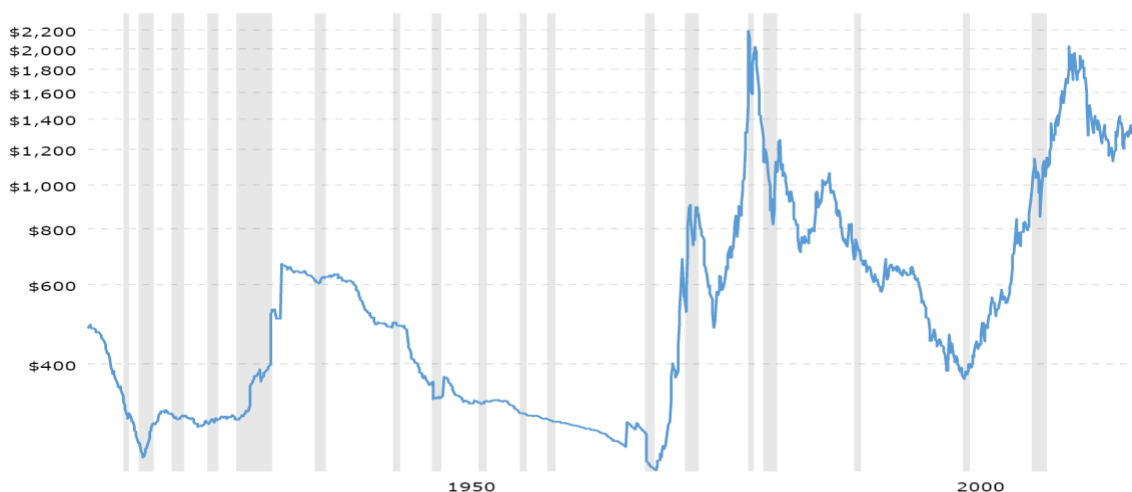
At international markets the price of the gold exceeds 2 (two) thousand dollars. In just one year, according to official BNB statistics, the item "Monetary gold and other instruments in monetary gold" in the balance sheet of the Issuing Department recorded an increase of over BGN 1 billion. This is a net accounting profit for the BNB, as a result of keeping 41 tons investment gold. This fact has a direct positive effect in maintaining the reported record price levels for Bulgarian gold reserves on indicators in the BNB Annual Financial Statements for 2020.

Table1. Monthly balance sheet of the BNB Issuing Department as of 31.07.2020

ASSETS	thousands BGN	LIABILITIES	thousands BGN
Cash and deposits in foreign currency	24 274 610	Banknotes and coins in circulation	19 250 069
Monetary gold and other instruments in monetary gold	4 265 569	Liabilities to banks	17 570 751
Investments in securities	26 001 167	Liabilities to government and budget organizations	9 264 975
		Liabilities to other depositors	1 009 316
		Deposit of Banking Department	7 446 235
TOTAL ASSETS:	54 541 346	TOTAL LIABILITIES:	54 541 346

According to Art. 8, para. (4) of the BNB Act "The remainder of the annual excess of revenues over the bank's expenses shall be paid each year into state budget revenues", and in Art. 36 of the same law states that "all profits of the bank as a result of a change in the price of gold are credited to a special reserve account".² This accounting profit and the amount of our stored gold and foreign exchange reserves ensures the stability of the currency board and the financial system of Bulgaria as a country in ERM II.

Fig. 2. The price of gold from 1970 to 2019



Source: <https://macrotrends.net> (seen on 25.08.2020)

The presented chart shows the price of gold from 1970 to 2019. The chart shows the constant increase in the price of investment gold from the end of the past and the beginning of the XIX century. In 1915, the precious metal cost \$ 484.54 an ounce. As of February 22, 2019, the price is \$ 1,322 per troy ounce. The lowest value of

1 www.bnb/statistica (seen on 25.08.2020)

2 The Law of BNB www.bnb.bg › documents › bnb_law › laws_bnb_bg

gold was registered in October 1970 - 231 dollars, and the highest - in January 1980 - 2193 dollars. This phenomenon has its reasons.

Government monetary policies based on zero interest rates and the printing of money have led to the devaluation of world currencies, and commodity and food prices have risen significantly as a result of this currency depreciation. Terms such as "quantitative relief", "stimulus package", etc. in effect, they cover up the aggressive printing of money by central banks, temporarily fueling the economy, thus creating the illusion of its recovery. It is this devaluation of currencies that is the reason for the growing investment interest in gold.

It turns out that the safest is the physical possession of gold. Investors are beginning to see the truth that when gold is a real, physical asset, they do not run the risk of the other party failing to meet its obligation to supply the metal. In fact, the value of gold does not change. What is changing is the purchase value of the currencies that express its price. Although the price of gold fluctuates, it is not the value of gold that changes, but the value of currencies.

For example, in 2009 and 2010, the US government drastically devalued the dollar by increasing the money supply, buying 1.5 trillion of its own bonds with newly printed money. In addition, the US government plans to buy additional government bonds worth another \$ 600 billion in the first half of 2011, thus financing the largest deficit in its history.

This process is known as "monetization" (from the English verb "monetize"). Monetization is a process in which, due to a government's oversupply of government securities on international markets and investor distrust, the central bank itself buys treasury bonds with newly printed money. Simply put and understandable, the state is financed by printing money. The result is inevitable - fast-growing inflation and a collapsing currency. Low interest rates and debt problems in developed economies stimulate demand for gold.

In 2019, the crisis in the European Union was just one of the many reasons that pushed the price of gold up. The Federal Reserve, with its attempts to monetize government debt through another printing of money, has prompted a number of financial institutions and central banks to buy gold. Huge demand from China has raised the status of gold as a major investment in the Asian bloc. The root cause of this is rooted in US zero-interest policy. Zero interest means that money does not bring a return, therefore it depreciates. From this, investors lose.

Therefore, a prudent investor chooses real-value instruments, such as precious metals, rather than depreciating uncovered paper money. In fact, this has been the main reason for centuries to require money to be covered so that governments cannot finance themselves by printing money and thus devalue it themselves. Gold is this alternative investment, precisely because it is in limited quantities, has real value and is not subject to the influence of governments.

In general, many factors can cause fluctuations in the price of gold. In addition to the above, we should include: the law of supply and demand, inflation, interest rates, political instability and foreign exchange market movements.

2. Economic growth or decline

Governments around the world continue to pursue monetary and financial policies that devalue their national currencies, both in the United States and in Europe, Japan and China. The dollar will continue to be vulnerable and the potential for accelerating inflation will remain real. Despite warnings of economic growth and optimistic forecasts, the structural problems that are deeply rooted in the financial system and facing the governments of the United States, Europe and Japan have not yet been overcome, and real solutions are lacking.

The functioning of the global financial system in our time leads only to the fact that the demand for gold grows significantly, its price also follows an upward trend, approaching its real value. Unfortunately, Europe and the United States have never found an effective solution to their financial and economic problems, which has exacerbated the problems. At the same time, there is a constant postponement of measures to deal with the crisis. The indebtedness of the countries is increasing, the printing of money continues, and this deepens the problems even more. These policies, pursued by almost all governments around the world, will further deepen the crisis in the coming years and ensure rising gold prices.

Table 2. Gold price forecast from September 2020 to December 2021³

month	price	month%	total%
2020			
September	2069	3.8	35.9
October	2046	-1.1	34.4
November	1961	-4.2	28.8
December	1879	-4.2	23.5
2021			
January	1852	-1.4	21.7
February	1842	-0.5	21.1
March	1830	-0.7	20.2
April	1885	3.0	23.9
May	1930	2.4	26.8
June	1921	-0.5	26.2
July	1924	0.2	26.4
August	1853	-3.7	21.7
September	1937	4.5	27.3
October	1981	2.3	30.2
November	1941	-2.0	27.5
December	1954	0.7	28.4

According to the World Gold Council, the leaders in official gold reserves are the United States with 8134 tons of gold, followed by Germany with 3364 tons, the International Monetary Fund with 2814 tons, Italy with 2452 tons, France with 2436 tons, Russia with 2300 tons, China with 1948 tons, Switzerland and Switzerland with 1040 tons. In the Balkans, Turkey is the leader with 583 tons, followed by Greece with 114 tons and Romania with 104 tons, and Bulgaria ranks fourth with its gold reserve of 40.8 tons ahead of Serbia with 31.3 tons and Northern Macedonia with 6, 9 tons of gold reserves.

Table 3. Top 10 countries with the largest gold reserves for 2018

Rating	country	Gold reserves in tons	% of total gold and foreign exchange reserves
1	USA	8133.5	74.9%
2	Germany	3369.7	70.6%
3	Italy	2451.8	66.9%
4	France	2436	61.1%
5	Russia	2150.5	19.1%
6	China	1874.3	2.5%
7	Switzerland	1040	5.5%
8	Japan	765.2	2.5%
9	Netherlands	612.5	65.9%
10	India	608.7	6.4%
...
47*	Bulgaria	40.4	5.99%

Source: <http://www.infostock.bg/infostock>. according to the IMF and the World Gold Council (WGC) (accessed 26.08.2020)

* The data for Bulgaria refer to May 2019 <https://profit.bg/klasatsii> (seen on 26.08.2020)

³ <https://capital.com/bg> (seen on 25.08.2020)

A number of analysts expect a positive trend in the price of gold metal and predict that in five years the price of gold will reach \$ 8083,559⁴.

Conclusion

Is gold a safe investment? Just like any other investment tool, investing in gold is not a guarantee of success. It is quite a risky asset, so perhaps investing all the money in this precious metal is not the best idea. The bottom line, however, is that gold can be a reasonable addition to an investment portfolio in times of economic uncertainty.

References

www.bnb/statistica

www.bnb.bg › documents › bnb_law › laws_bnb_bg

<https://capital.com/bg>

<http://www.infostock.bg/infostock>

<https://macrotrends.net>

<https://profit.bg/>

⁴ <https://capital.com/bg> (seen on 25.08.2020)

Conception, Legal Nature And Legal Affiliation Of Government Contracts In The Public Procurement System

Oxana Florya¹

Natalia Sciuchina²

¹PhD in Law, Assoc. Prof., T.G. Shevchenko Transdnistrian State University, Department of Business and Labor Law, flor_70@mail.ru, Orcid: 0000-0002-1108-2860

²Doctor of Juridical science, Prof., T.G. Shevchenko Transdnistrian State University, Department of Entrepreneurial and Labor Law, nataliashchukina@gmail.com, Orcid: 0000-0001-5858-4924

Abstract: The article considers the concept of a state contract in the legislation and law of the PMR. The author notes that in connection with the adoption of the PMR Law "On Procurement in the Transdnistrian Moldavian Republic" dated November 26, 2018 No. 318-Z-VI, the problem of determining the legal nature of the state contract becomes relevant. The author presents an analysis of existing scientific works on the problem of the legal nature of the state contract, provides the views of authors exploring the concept of "state contract" in the theory of law. The study of the legal phenomenon of the state contract from the point of view of researchers of civil and administrative law, as well as from the position of the legislator, revealed its civil law nature and concluded that the state contract, by virtue of its specificity, differs from all varieties of civil law contracts and takes special place in the contract system.

Keywords: state procurement system, state contract, public procurement, state needs, municipal needs, supply of goods for state needs, state customer, administrative contract, civil law contract, legal nature of the state contract.

JEL codes: K12, K15, K23.

1. Introduction.

The public procurement system in the Transdnistrian Moldavian Republic (in the text - Pridnestrovie, Transdnistria) is a relatively new institution and is at the stage of development and improvement of the organizational mechanism of public procurement management.

Until recently, issues related to the supply for state needs were regulated by the provisions of the Law PMR No. 173-Z of July 2, 1999 "On the supply of products for state needs", "On the republican budget for the corresponding financial year", "On the budget system in Pridnestrovie". A more detailed regulation of legal relations related to the placement of orders and the execution of contracts for the supply of goods, the performance of work, the provision of services for state and municipal needs was carried out on the basis of by-laws and regulatory acts, in particular, Decree of the Government of the PMR No. 19" On the implementation of the Law The Pridnestrovian Moldavian Republic "On the supply of products for state needs" dated January 29, 2015, No. 36 "On approval of the regulations governing the departmental tender, conclusion of contracts for the procurement of goods, performance of work, provision of services, issuance of conclusions, registration and financing of dog ovsors concluded by organizations funded from budgets of various levels "dated January 30, 2014, Order of the Government of the PMR No. 105" On the Supply of Products for State Needs "dated February 19, 2014. The introduction of legal field of the Republic of the Law of the PMR "On Procurement in the Transdnistrian Moldavian Republic" dated November 26, 2018 No. 318-3-VI (hereinafter - the Law No. 318-3-VI) (Collection of legislative acts of the Transdnistrian Moldavian Republic, 2018, No. 48, Art. 2348).

The new law clearly spells out the principles of the state procurement system, the legal status of procurement participants, the mechanism of procurement activities, including the grounds and procedure for concluding, executing, terminating a state (municipal) contract. Law No. 318-Z-VI raised the public procurement system to a new level, a significant step was taken to increase the efficiency of using budgetary and extra-budgetary funds, to ensure transparency and transparency in placing orders, to prevent corruption and other abuses in the field of placing orders, as well as to prevent disputed situations related directly to the execution of the state (municipal) contract. The basis of this law was a systematic approach to the formation and placement of state and municipal orders, from procurement planning to monitoring the implementation of contracts. The law is based on the experiences and developments of regulatory acts in force in the Russian Federation in the field of state (municipal) procurement, as well as foreign experience in the construction and operation of the contract system.

2. The concept of a state contract in the public procurement system

In accordance with the Transdnistrian Law “On Procurement in the Transdnistrian Moldavian Republic” dated November 26, 2018 No. 318-Z-VI “the state system in the field of procurement of goods, works, services to ensure state (municipal) Needs - the totality of the participants of the state system in the field of procurement and the actions carried out by them in accordance with the legislation of the PMR and other regulatory legal acts in the field of procurement aimed at ensuring state (municipal) needs. ”

The definition of state needs is disclosed in the following regulatory provision: “state needs - provided in accordance with the expenditure obligations of the Transdnistrian Moldavian Republic at the expense of the republican budget and extrabudgetary sources of financing the needs of the Transdnistrian Moldavian Republic in goods, work, services necessary to carry out the functions of the Transdnistrian Moldavian Republic “. At the same time, the legislator separates the concepts of “state needs” and “municipal needs”, which are understood as “the needs of municipalities provided for in accordance with expenditure obligations of municipalities at the expense of local budgets in terms of goods, work, services necessary to carry out their activities”.

Analysis of these legal concepts allows us to highlight the following essential elements of state and municipal needs: state and municipal needs are the needs of the Transdnistrian Moldavian Republic, municipalities, as well as state customers themselves; these needs are associated with the implementation of the functions and powers of these entities; these needs are met at the expense of the state budget, as well as extra-budgetary sources of financing; the delivery of goods, the performance of work, the provision of services (including the acquisition of real estate or rental property) is carried out on the basis of a civil law contract.

The definition of a state (municipal) contract is enshrined in Article 3 of Law No. 318-Z-VI, which is understood as “an agreement concluded on behalf of the Transdnistrian Republic (municipality) with a state (municipal) customer to ensure corresponding state (municipal) needs”.

In the framework of domestic civil legislation, the legal basis for the institution of public procurement was paragraph 4, chap. 30, part 2. Civil Code of the Transdnistria (hereinafter - the Transdnistrian Civil Code). In Art. 541-550 highlighted the issues of delivery of goods for state (municipal) needs, carried out on the basis of a state contract for the supply of goods for state needs, as well as aspects of contracts for the supply of goods for state and municipal needs concluded in accordance with it.

The legal content of public procurement is given in article 541 of the Transdnistrian Civil Code. The supply of goods for state needs is carried out on the basis of a state contract for the supply of goods for state needs, as well as contracts for the supply of goods for state needs concluded in accordance with it, while “the needs of the republic is defined in the manner established by law are provided for by budgetary funds and extrabudgetary sources of financing. ”

The main distinguishing feature of these agreements is the special purpose for which they are concluded - the satisfaction of the needs of public education. The specifics of the subject of the agreement, in turn, determine the special subject composition, structure of contractual relations, the procedure for concluding, executing, amending and terminating.

Under a state contract for the supply of goods for state needs (hereinafter referred to as the state contract), the supplier (contractor) undertakes to transfer the goods to the state customer or, on his instructions, to another person, and the state customer agrees to ensure payment for the delivered goods (Article 542 of the Civil Code). It will be right to note that, in essence, in the Civil Code, only relations for the supply of goods for state needs were subject to legal regulation, and even this is not very complete. At the same time, according to paragraph 2 of Art. 541 of the PMR Civil Code, the laws governing the supply of goods for state needs are applied to relations for the supply of goods for state needs that are not regulated by the relevant norms of the PMR Group. Such law is Law No. 318-Z-VI, which is referred to above, which is a comprehensive act containing norms of both public and private law. It affects the subject, the subject composition, goals, the procedure for concluding, amending and terminating the state contract, unilateral refusal to execute it, as well as the responsibility of the parties for violation of the terms of the contract.

It seems to be a complication as a result of the adoption of Law No. 318-Z-VI of an organizational approach to meeting public needs, focused on the conclusion and execution of a state contract, naturally, it will entail discussions on the industrial branch of state contracts, they are the subject of administrative (Bahrah D.N.,2000. p. 162; Tikhomirov Yu.A. 1998,p. 189-190)or civil law (Shershenevich G.F., 1911. p. 544).

3. The legal nature and industry affiliation of the state contract in the public procurement system

Understanding the legal nature of the state contract is of undeniable scientific interest. This issue continues to be controversial and various points of view are expressed on it.

Based on the analysis of existing scientific works on the legal nature of the state contract, it can be stated that the assessment of the role and place of the state contract in the system of contracts is dependent on whether the scientists consider it prevailing and subject to legal protection: private or public. E. V. Solomonov and A. A. Yuritsin note that “issues of the branch affiliation of social relations arising from the fact of satisfying state and municipal needs will always be an occasion for diametrically opposed scientific research.” (Solomonov E.V., Yuritsin A.A. 2016, p. 24 – 29).

In the theory of law, there are many doctrinal approaches to determining the legal nature of a state contract and its place in the system of civil law contracts. In our opinion, from the whole range of judgments about the legal regime of the state contract, three main theses can be distinguished: 1) the state contract belongs to administrative law; 2) belonging to civil law; 3) intersectoral affiliation.

The first concept was formulated by representatives of the science of administrative law (in particular, such Russian researchers as D.N. Bakhrakh, A.I. Elistratov, Ts.A. Yampolskaya, Yu.A. Tikhomirov, M.A. Vasiliev, etc.). (Tikhomirov Yu.A., 1998, p. 189-190).

Scientists believe that the state contract should be considered from the point of view of its public law nature, as an administrative legal act, which underlies the administrative mechanism for regulating public procurement. Based on this, scientists rank the state contract as an administrative contract, which, in turn, is an institute of administrative law (Novoselov V.I. 1969, p. 40-45).

Only certain features of a civil law contract are characteristic of him.

Representatives of the administrative concept proceed from the fact that the norms of administrative law in comparison with the norms of civil law prevail in the regulation of relations on the formation, placement and execution of a state contract. The main objective of the state contract is to achieve socially significant results in those areas where direct government influence is ineffective, which in turn “determines the use of public law means and methods of regulating the relations of the parties to the contract.” (Novoselov V.I. 1969, p. 42-43).

From the perspective of administrative law, most lawyers consider a state contract. The main arguments of jurists on the essence of the administrative regime of the state contract are, as a rule, “public service goals” (Bahrah D.N., 2000, p. 162), unequal position of counterparties (“power of one side in relation to the other”) (Novoselov V.I. 1969, p. 40-45), “terms of the contract that go beyond the scope of private law” (Vedel J. , 1973,p .164-165). It is difficult to agree with these arguments.

The most correct point of view of the state contract is the point of view of P.S. Tarabaev. He points out that “the purpose of the state contract, the provision of state needs, cannot serve as a basis for recognizing the presence of public elements in this contract” (Tarabaev P. S., 2008, p. 86).

The presence of such a goal as "satisfaction of public needs" allows you to legally qualify the contract in the civil law system. Civil law, in turn, determines the features of the conclusion and execution of a state contract, as well as the features of the civil liability of the parties for non-fulfillment or improper performance of obligations.

On the unequal position of subjects. By concluding a state contract, a public authority enters the sphere of civil law regulation based on the autonomy of the will of equal entities (Gorbunova L.V., 2003, 74).

In this case, its parties establish civil rights and obligations, but not administrative ones (Blinov V.G., 2009, p. 101). The presence between the parties of a power of subordination relationship, according to M.I. Braginsky generally excludes the possibility of applying not only civil law, but also the very design of the contract as such (Braginsky, M.I. , 2001, p. 18).

The Transdniestrian Civil Code (Art. 437) recognizes as an agreement the agreement of two or more persons on the establishment, amendment or termination of civil rights and obligations. Thus, we can say that the state contract is an agreement of two or more persons with special legal status, which takes into account the mutual will of equal parties and is aimed at the emergence of mutual rights and obligations.

On special conditions that go beyond private law. The reason for such reasoning is that relations for the procurement of goods for the needs of the state are not homogeneous - they are regulated by both public and private law.

Along with the application in the field of regulation of state contracts of the general principles of civil law (non-binding, freedom of contractual terms, autonomy, formal legal equality of the parties, mutual responsibility, etc.), for government contracts are typical signs that go beyond private law and limit the application general principles of private (contractual) law.

These features gave rise to some scholars to emphasize the intersectoral nature of the state contract. M.I. Braginsky and V.V. Vitryansky noted that "along with civil law contracts exist that are used outside the specified industry. All of them are agreements aimed at the emergence of a set of rights and obligations, which together constitute the legal relationship generated by the agreement." (Braginsky, M.I., 2001, p. 18). They called these treaties diverse. A.V. Demin called such agreements "an integrated legal act containing both civil and administrative elements" (Demin A.V., 1997, p. 148).

The conclusion that "state contracts belong to the complex sphere of legal regulation in which public law intervention is diverse" (Popondopulo V.F., 1994, p. 54) is made by other authors.

An integrated approach regarding the legal nature of the state contract is the most interesting. It harmoniously combines both theses on the administrative nature of the contract and theses on its civil essence.

In due time V.I. Novoselov mentioned that "along with the turnover based on civil law relations, there is a sphere of turnover based on a combination of civil law regulation methods, expressed in the implementation of the principle of legal equality of the parties, and administrative and legal regulation methods, manifested in the process of implementing the principle of administrative subordination parties" (Novoselov V.I., 1969, p. 13). It is indisputable that this "joint" legal area is regulated not by some independent branch of commercial law, but by the complex norms of administrative and civil law.

Idea V.I. Novoselova was developed in the A.V. Demin's papers. Solving the issue of the industry affiliation of the state contract A.V. Demin, indicates that the regulatory acts governing state contracts are complex in their content, structure, subject and methods of regulation and include civil and administrative law. Moreover, administrative norms are of a special nature, establishing exemptions and industry specifics for this category of contracts in relation to the general provisions and principles of obligation (civil) law that make up the "general regulatory framework" of contract law.

A.P. Alekhin and Yu.M. Kozlov, emphasizing that "state contracts (agreements), as legal forms for the implementation of government orders, combine elements of administrative and civil law contracts" (Alekhin A.P., Kozlov Yu.M., 1994, p. 68). V.V. Balakin also draws attention to the complex nature of the state contract, emphasizing that "the state contract ... possesses all the features of an administrative contract and at the same time has a private law color" (Balakin V.V., 2004, p. 152).

L.I. Shevchenko believes that the state contract is not an ordinary civil law, entrepreneurial contract. The revealed features characteristic of the state contract allow us to consider it as a civil law contract, which includes separate administrative (public) elements (Shevchenko L. I., 2001, p. 268).

The state contract is inherently a complex and complex contract, which includes the norms of civil and administrative law. It combines the elements of two treaties: civil and administrative law, and its legal regime is characterized by the presence of both public law and private law principles. Its structure is called upon to ensure a reasonable balance of interests of the main parties to the contractual obligation, one of which is public law education. The legal structure of the state contract is also aimed at ensuring the stability of the entire contract system, the entire economic turnover. The special role of the state contract is not in the movement of material goods characteristic of a civil contract, but in the organization of the coordinated activities of various entities aimed at satisfying state needs (Gladkov V.S., 2008, p. 9).

Proponents of the civil law concept justify that the state contract belongs to private law sectors. They all agree that the state contract has a number of significant features that allow it to be considered as a special kind of civil law contracts. As examples, it is permissible to mention the works of Russian civilians P.S. Tarabaeva, L.V. Gorbunova, O.A. Kamalova, V.A. Vlasova, S.V. Dikareva, L.V. Anreeva and others.

“The legal nature of the state contract is far from obvious. Given the vast scope of the possible application of state contracts, there are reasons to assume that the state contract as such is a special type of civil contract ” (A.P. Sergeev, Yu.K. Tolstoy, 2005, p. 71).

G. F. Shershenevich pointed out that any contracts with the treasury are subject to the general rules of civil law, but in addition, the law in other normative legal acts gives further detailed special decrees. And, as a rule, such rules, with few exceptions, are in the nature of instructions for administrative institutions, and not legal norms, and therefore should not be subject to consideration in the framework of civil law studies (Shershenevich G.F., 1911, p. 544).

A proponent of classifying a state contract as a civil law contract is N. N. Zabolina. According to N.N. Concern “relations for the supply of goods for state needs are not managerial, subordinate with the dominance of one of the parties, but are property, the parties of which are equal, and, as a result, civil law. The legal status of a public authority as a party to a contract for the supply of goods for state needs is determined by its civil legal capacity, and not by competence as a subject of public law” (Zabolina N.N., 2006, p. 8).

K.I. Zabojev argues the position on the exclusively civil-law nature of the concept of “contract” as following: “the study of the origin and historical meaning of the term” contract ”indicates that this category is inextricably accompanied by freedom of expression of the will of the parties to the contract, which implies, first of all, freedom to conclude a contract, and also freedom in determining the nature of the contract and its terms. As a consequence of these signs of freedom of contract, an integral part of it is the equality of subjects entering into contractual relations. In this connection, it seems that such a legal category as “contract” cannot regulate vertical relations with the participation of subjects of public law having, as one of the elements, the subordination or dependence of one “counterparty” on another within the framework of the relationship regulated by the contract ”(Zabojev K.I., 2002, p. 17-22).

M.V. Shmeleva assigns a state contract, by virtue of its specificity, a special place in the system of contracts and considers it as an independent type of civil law contract possessing only its inherent features, which include: a special subject composition; special character, emerging in the process of conclusion and execution of relations; availability of special conditions for concluding and executing a state contract (Shmeleva M.V., 2015, p. 248–253).

4. Discussion and Suggestions

It should be noted that the assignment of a state contract to a private law institution is the most true and correct. property liability for non-performance or improper performance of the state contract in the form of forfeit or damages, which is a civil sanction; application of civil law methods to ensure the fulfillment of obligations arising from the state contract; conclusion procedure - bidding, which is used in civil law; the need to create essential conditions without which a state contract cannot be concluded; the rules for amending and terminating the state contract are similar to the rules for amending and terminating the contract in civil law; relationships reflect the movement or creation of material goods; the basic rules on a state contract are contained in civil law.”(Tarabaev P.S., 2008, p. 42-46)

On the civil law regime, he first of all says its very definition as a “ contract ”.

State contracts are concluded not only in the field of supply, but also in the performance of work and the provision of services. Their systemic nature was emphasized by the legislator in the unification of public procurement, both in the supply of goods and in the performance of work and the provision of services, in a single concept. In this regard, “on the basis of the provisions of the current civil law, it can be argued that, depending on the content and nature of the relations that mediate the state contract, the latter may be given the character of a particular type of civil law contract: supply, contract, provision of services, etc. .d. ” (Braginsky, M.I. , 2002, p. 17).

To summarize, we can propose the following definition of a state contract. A state contract is a civil contract for the supply of goods, the performance of work, and the provision of services in order to meet the needs of the state or a municipality in goods, work, and services necessary for the quality performance by public law entities of the functions assigned to them or to ensure their vital functions, and which are provided for in the expenditure of the republican (local) budget.

References

- Alekhin, A.P., Kozlov, Yu.M. Administrative law of the Russian Federation: textbook. Part 1: The essence and basic institutions of administrative law. M., 1994, p. 68.
- Andreeva. L.V. Procurement of goods for federal state needs: legal regulation. - M., 2009, p. 222-223.
- Balakin, V.V. Bidding as an institution of civil law in a modern market economy: dis. ... cand. legal sciences. M., 2004, p. 152.
- Bahrah, D.N. Administrative Law: A Short Training Course. M., 2000, p. 162;
- Blinov, V.G. Legal regulation of private and public relations in the supply of goods for state needs: dis. ... cand. legal Sciences / Blinov V.G. - Kazan, 2009, p. 101;
- Braginsky, M.I. Contract Law. Book One: General Provisions / M. I. Braginsky, V.V. Vitryansky. - M.: Statute. 2001.-p. 18.
- Braginsky, M.I. Contract Law. P. 3: Contracts for the performance of work and the provision of services / M.I. Braginsky, V.V. Vitryansky. - M., 2002.-C 17.
- Civil law. T. 2: Textbook. / Ed. A.P. Sergeev, Yu.K. Tolstoy. M., 2005, p. 71.
- Collection of legislative acts of the Transdnistrian Moldavian Republic, 2018, No. 48, Art. 2348.
- Demin, A.V. State contracts (public law aspect) // Economy and law. 1997. No. 8. -C. 148.
- Elistratov A.I. The sketch of administrative law, M., 1922. - S. 95-101; Yampolskaya Ts.A. On the theory of an administrative contract // Soviet State and Law. 1966. No. 10. - S. 132.
- Gladkov, V.S. The state order in the field of public administration of the economy: dis. ... cand. legal sciences. - Rostov-n / D, 2008, p. 9.
- Civil law. T. 2: Textbook. / Ed. A.P. Sergeev, Yu.K. Tolstoy. M., 2005, p. 71.
- Gorbunova, L.V. The supply of food for state needs under Russian civil law: Dis. ... cand. legal sciences. Samara, 2003.-S. 74.
- Novoselov, V.I. To the question of administrative contracts // Jurisprudence. 1969. No. 3, p. 40-45.
- Popondopulo, V.F. On Private and Public Law // Jurisprudence, 1994, N 5, p. 54.
- Solomonov, E.V., Yuritsin, A.A. The subordination mechanism of the legal regulation of relations within the framework of the contract procurement system to satisfy public needs // Bulletin of the Omsk Law Academy. - 2016. - No. 1. - p. 24 - 29.
- Shevchenko L. I. Problems of the formation of contractual relations of supply in the context of the formation of a market economy in the Russian Federation: diss ... doct. legal sciences. Kemerovo, 2001. p. 268.
- Shershenevich, G.F. Textbook of Russian civil law. - M., 1911. p. 544.
- Shmeleva, M.V. The concept and legal nature of the state contract // Bulletin of the Saratov State Law Academy. - 2015. No. 2 (103), p.248–253.
- Tarabaev, P. S. Civil regulation of the supply of goods for federal state needs: author. diss. cand. legal Sciences, Yekaterinburg, 2008. S. 86;
- Tarabaev, P.S. The State contract as a category of private law // Economy and Law. 2008. No. 5. P. 42-46.
- Tarabaev, P.S. Features of a state contract for the supply of goods for federal needs as a civil contract // Economy and Law. 2008. No. 1, p.30-35.
- Transdnistrian Civil Code. Part II and III. Normative documents by branches of law. - Tiraspol.-Likris Publishing House, 2010, p. 38-42.
- Tikhomirov, Yu.A. Administrative Law and Process Course. M., 1998. --p. 189-190;
- Vedel, J. Administrative Law of France M., 1973, p.164-165.
- Zaboev, K.I. The principle of freedom of contract in Russian civil law: Author. dis. ... cand. legal Sciences. - Ekaterinburg, 2002, p. 17-22.
- Zabotina, N. N. Legal nature of legal relations arising in connection with the conclusion of contracts for the supply of goods for state needs: author. dis. ... cand. legal sciences / Zabotina N.N. - Volgograd, 2006, p. 8.

Consumer's Behavior on Private Label Products

Panagiotis Gatomatis¹

Katerina Paraskevopoulou²

¹University of Patras, Ass.Prof. Dept. of Business Science and Technology, pगतomatis@upatras.gr

²University of Patras, kparaskevopoulou@gmail.com

Abstract: In a rapidly developing world, companies and especially supermarkets started to produce products under private labels. Due to their characteristics, private label products tend to antagonize famous branded products. Their low price and their good quality attract customers. In the past, consumers tended to believe that expensive products had great value. However, nowadays they realize that cheaper products under the "umbrella" of private labels have similar quality characteristics and value as the branded.

A survey, which aims to present what influences the buying decision for or against private label products, is conducted. Special questionnaires were given to 122 consumers, who were from different age groups and educational levels. According to consumers, private label products are chosen mainly due to their low price and the promotion made by the supermarkets. Customers believe that these products have good quality characteristics almost as good as branded products. As a result, they are open to buy again private label products that are launched in a supermarket if their previous experience of using the same label was positive. On the other hand, in the case the prices and the quality between private and branded label products are almost equal, consumers remain loyal and choose the branded product.

Keywords: Consumer Behavior, Product Marketing, Promotion, Buying Criteria, Private Label Product

Introduction

In Greece nowadays supermarkets sell products with specific brand names, a private label, which is owned by the company within which they are sold. In the last decade, businesses have developed and many of them are expanding their operations in many countries. Thus, the companies have realized the enormous power they hold, as they have direct communication with the consumers and they have loyal consumers that choose their stores to be served. As a result, they concluded that they may increase their growth by creating their label and selling products that belong to their own company.

What influence consumer behavior to buy a product

In order to investigate consumer behavior in the private label products that are found in the market, it is important to analyze some main characteristics of the products, as defined by the science of marketing.

According to the literature, a product can be a tangible or intangible good. The products are designed, and produced to meet certain consumer needs. Tangible goods are sold in physical or online stores, whereas they are some intangible goods that are referred as services (Stark, 2015). In our research, we focus on material products, which are offered on supermarkets and have specific characteristics, the most important of which will be analyzed below.

The most important element of a product is its image: how it looks, how it is, its shape, its color, its size which is imprinted in the mind of the consumer, as well as features that connect the consumer's feeling towards this product. The consumer, when uses a product develops some feelings about it, positive or negative, neutral, indifferent, etc. if the use of the product has a positive impact on the consumer's life, he will connect this feeling with the product label and image. The analysis following refers to the connection to product packaging and labeling.

The package of the product is relative not only with the protection of the good but with its image in the consumer's mind as well. The package characteristics will differentiate it from other products. Thus, companies spend time and money on designing the packaging of a product as it has been discovered via research that consumer behavior is significantly affected by the packaging (Deaton, Muellbauer, 1980). Concluding, the consumer makes the buying decisions by judging the product's packaging.

However, the most important thing on a package is its label/logo, which differentiates it from other similar products. A label is very important in the consumer's mind. If a product is inserted in the market with a famous

company's label, it attracts royal consumers that choose and try this new product. Concluding, a successful label is a marketing and promotion requirements (Tzortzakis & Tzortzakis, 2008).

The reasons why the consumer prefers private label products

Private label products, in the past, were not advertised or they did not follow any specific strict marketing strategy. As a result, they were able to keep their prices low. In the first launched years, these products were not a threat to branded products, however, over the years private labels began to gain market share and at present, they have become fully competitive.

Today, supermarkets create and promote products with a private label via the "umbrella" method. This method promotes a variety of products, which belong to many different categories that meet consumer needs. The main aim of the private label is to create value for consumers and not decreases the company's cost. (Kapferer, 2013). In this case, value is relevant to cheap but quality products.

The number of private label products, which are launched in the market, and the companies that produce them are increasing. These products mimic the original products (Kapferer, 2013) that are similar to branded companies. The companies that produce branded products have the experts in the Research & Development and Marketing departments, who design, develop, and promote new innovative products that meet the consumer needs. As a result, the cost of designing and launching new products on the market does not affect companies that follow the private label method, with similar but cheaper products. The legislation about the unfair competition (ND 146/1994), which ensures the copyright and interests of the manufacturing industries, applies to private label products by European law since 1980. Another important legislation is the one that concerns the costing, the initial and final price, and the profit margin (AD 14/89).

Private label products have advantages and disadvantages. The main advantage of these products are the low price they bear. In the past, consumers tended to believe that expensive products had better quality characteristics than a cheaper one. At present, this is a wrong conclusion, as companies focus on product quality due to the fact that the last increases the product's life cycle. In addition, another important fact is the variety of supermarket products. Most of these products cover consumer needs and thus the consumer searches the most appropriate product for him. Last but not least, if a product under the "umbrella" of private label has good quality characteristics, it can extend its value to other products of the same label. To be more specific, the human mind easily accepts the rule of generalization, so the main idea is the following: if the product 1 and 2 of a label has quality features, then the products 3, 4, 5... of the same label has good quality features too. According to the generalization rule, all or at least most of the products under the same "umbrella" label have good or at least quite good quality characteristics.

On the other hand, the main disadvantage of this method is that "new" labels cannot enhance a climate of trust in their first years of launching. The private label products are almost exact copies with similar characteristics with the branded products, their only difference is their low price. Due to the pricing strategies in their first years of entering the market, retailers have a small profit margin

Comparing private label products and branded products, branded products seem to be gaining ground. The brand name of a product differentiates the products that carry it from the rest (David A. Aaker, 1991). The brand logo of a product is much more than a simple name or a symbol. It is a carrier of emotions and experiences. When a consumer sees a certain brand, the memory or the feeling of his previous use repeating in his mind. The brand exists in more market places compared to private label products that only exist in specific shops, in our case in specific supermarket chains. Lastly, when a product's life cycle is closed, the trademark will remain alive and strong, as a result when a brand company launches its next product, the consumer will choose it due to their satisfaction from brands other products. They choose the same brand as they have become royal customers.

The criteria that influence the consumer decision to buy private label products

For a better understanding of consumers' behavior toward private label products, a mention in buying consumer behavior will be presented.

Consumption has a great role in the customer's daily life (Statt, 1997), so in the mid-1960s business executives, who wanted to promote their products, decided to study customers' behavior. As a result the science of

buying behavior appeared. Consumers' behavior refers to the process of purchasing decisions and the choice of a product or service, but also the activities that follow the purchase, such as its use and its evaluation of how much it covered the consumer's need (Nelson, 1970). The American Marketing Association mentions that during the consumption process, a multi-level interaction takes place between emotion, knowledge, and environment (Bennett, 1995).

According to the literacy, the buying process has 3 stages: the pre-buy processes (product selection), the buying process (product buy), and the post-buying processes (evaluation: the feeling of satisfaction/dissatisfaction). The science of consumer behavior, mainly emphasizes on the importance of the pre-buying stages without reducing the importance of the activities that follow (Wilkie, 1990).

Analyzing the stages of the consumer process, they are extended on 6 stages: in the first stage the consumer recognizes or realizes that he has a need to cover and that he will cover it through the purchase of a product or service. In the second stage, the consumer searches information about the product or service that will meet his need in the best possible way. After receiving information from a variety of sources (relatives, friends, market research, internet research, etc.) he comes to the third stage the evaluation of the alternatives. The fourth step is the final decision on whether or not to buy the good for which he has done the research. In the fifth stage follows the purchase of the good and in the last stage of the consumer process, the consumer evaluates the product. The result of the evaluation will lead him to choose again the same product or not.

Having studied the stages of the consumer process, we will specialize in our research on the consumer's attitude towards private label products. According to the bibliography, consumers choose 122 from a variety of products to one with private labels as they believe that the last has the same quality characteristic as the premium price products (Balabanis, Craven, 1997). As a result, it is noted an increase in the preference of private label products.

Research Objectives

Nowadays in shops and in our study supermarkets consumers can choose from a variety of products, some of them are private label products of a particular supermarket. Private label products have advantages as well as disadvantages compared to branded products. But what do consumers think about supermarket private label products? Why they chose them against branded products. This article will present the consumer's criteria that affect their preference to buy private label products.

Methodology

A primary survey has been conducted with the use of questionnaires. The questionnaires were shared in a sample of 122 consumers in the geographical area of Greece. The questionnaire was created in electronic form and published on social media (Facebook and LinkedIn). Among the respondents are professionals, students, employers, private and public servants as well as retirees. Their age presents significant diversity, 16% of them are 18-25 years old, 24% are 26-35 years old, 26% are 36-45 years old whereas the other 32% are 46 years old and above.

Results

According to questionnaires, two-thirds of the responders prefer to buy their daily products from supermarket chains rather than from small local product shops. The 80% of these supermarket chains have each own private label products.

The consumers' majority (26%) mentioned that they chose the products that will buy based on their price, 19% of the consumers chose based on the products price and 17% of the consumers are affected by the good promotion and 14% are affected by their friends' opinion.

One-third of the consumers visit the supermarket with a list and buy not only the needed products but others that do not need as well. One-third of them go to a supermarket without a list and buy the needed products and others with no use for them. The last third was very influenced by the product prices that buy products that do not need due to their cheap price.

Consumers were asked if private label products were of the same quality with branded label products. Almost half of the responders (48%) claim that private label products have equal quality characteristics with the branded products, 36% of the consumers believe that private label products are of lower quality whereas a 16% think that they have a higher quality compared to the branded products.

Through the questionnaires was noted that in the case, a consumer has to choose between a private label product and a branded one with almost equal price, the consumer chooses the branded label product. As it was mentioned in the explanation, if the price is almost the same, buyers prefer a brand they know and trust.

On the other hand, in the case of a difference in price, 52% of the consumers chose private label products due to their low price, and the other 48% stay loyal to branded products.

Conclusions

Taking everything into account, in the past, consumers tended to believe that the cheapest products were of lower quality. However, nowadays, people seem to be turning to private label products and in some cases they even prefer them over similar products from branded companies. The fact that 56% of consumers believe that private label products are almost of the same quality as branded products show that private label products are very well promoted by supermarket companies and these products win the quality challenge against the branded one. One important fact, which companies should take into consideration, is that the consumer is open to buy again private label products that are launched in a supermarket if their previous experience of using the same label was positive. Lastly, in the case the prices and the quality between private and branded label products are almost equal, consumers will choose the branded product. Thus more research should be conducted on how to increase the newly launched private label value until they gain loyal consumers.

Bibliography

- Αυλωνίτης, Γ., Δημητριάδης, Σ. & Ήντουνας, Κ., Στρατηγικό Βιομηχανικό Μάρκετινγκ, Rosili, Αθήνα, 2015
Δημητριάδης, Σ. & Τζωρτζάκη, Μ.Α., Μάρκετινγκ, Rosili, Αθήνα, 2010
Κέφης, Ν.Β., Διοίκηση Ολικής Ποιότητας, ΚΡΙΤΙΚΗ, Αθήνα, 2014
Σιώμος, Ι.Γ., Συμπεριφορά Καταναλωτή & Στρατηγική Μάρκετινγκ, ΣΤΑΜΟΥΛΗΣ, Αθήνα, 2011
Τζωρτζάκης, Κ. & Τζωρτζάκη, Α., Αρχές Μάρκετινγκ, Η ελληνική Προσέγγιση, Rosili, Αθήνα 2008
Douglas, D. & Jeffrey, C., Στατιστική των Επιχειρήσεων, ΚΛΕΙΔΑΡΙΘΜΟΣ, Αθήνα, 2010
Karferer, J.N., Διοίκηση Μάρκας Σύγχρονες Στρατηγικές, Rosili, Αθήνα, 2013
Patric, J.M & Bruce H.C., Μαντζιμεντ, ΚΛΕΙΔΑΡΙΘΜΟΣ, Αθήνα, 2002
Petrof, V.J., Τζωρτζάκης, Κ., & Τζωρτζάκη Α., Μάρκετινγκ Μαντζιμεντ, Rosili, Αθήνα, 2002
Aaker David A., Managing Brand Equity, The Free Press, New York, 1991
Balabanis, G. and Craven, S. (1997) Consumer Confusion from Own Brand Lookalikes: An Exploratory Investigation. *Journal of Marketing Management*, 13, 299-313
Baltas, G. (2001b), Nutrition Labelling: issues and policies, *European Journal of Marketing*, 35(516), 708-721
Deaton, A., Muellbauer, J., *Economics & Consumer Behavior*, Cambridge University Press, USA, 1980
Jensen, M.C., and W. H. Meckling (1976): "Theory of the firm: managerial behavior, agency costs and ownership structure", *Journal of Financial Economics*, 3(4), 305-360
Nelson P., *Information and Consumer Behavior*, Journal of Political Economy, New York 1970
Sheth N., Newman I., Gross L., 1991, "Why We Buy What We Buy: A Theory of Consumption Values", *Journal of Business Research*, 22, pp. 159-170
Statt, D.A., *Understanding the consumer: a psychological approach*, Houndmill: Macmillan Business, 1997
William, L. Wilkie, *Consumer Behavior*, Wiley, 3rd edition, Canada, 1994

Input-Output Based Measures of Forward and Backward Linkages for Azerbaijan Processing Industry

Rashid JABRAILOV¹

¹Junior lecturer and PhD student at Azerbaijan State Oil and Industry University,

E-mail: rashid.cabrayilov@asoiu.edu.az, ORCID:0000-0002-1165-9498

Abstract: The recent slowdown in Azerbaijan's economic growth has highlighted the need for measures to ensure sustainable economic development. Fluctuations in the extractive industries in global markets, especially in the oil sector, have led to macroeconomic instability in the country's economy and have once again highlighted the importance of developing the processing industry. The study explores the theoretical basis for ensuring the integrated development of the processing industry and proposes a methodology for identifying priority processing industry fields, also, establishes an input-output model based on intermediate consumption indicators between the spheres of economic activity of Azerbaijan and assesses inter-sectoral interdependence relations. To identify inter-sectoral dependencies, forward and backward linkages were measured and priority areas of Azerbaijan's processing industry were identified based on the strength of linkages. The article uses the Chenery-Watanabe and Rasmussen methods to measure strength of forward and backward linkages.

Keywords: processing industry areas, forward and backward linkages, input-output model, interdependence relations, inter-sectoral balance.

1. INTRODUCTION

Based on international experience, we can say that every country that has undergone a certain process of development has experienced one or two periods of rapid socio-economic growth [10, p.7]. Azerbaijan also experienced such a period of growth in 2004-2010. Such socio-economic growth of the country has been achieved thanks to the mining industry, ie the oil and gas industry. The average growth rate recorded in the oil and gas industry up to 25% in the mentioned period caused the country's overall economic growth (12.9%) to be higher than the world average [1].

This period of rapid socio-economic growth can be marked as the first period of economic growth in the country. However, the potential of the extractive industry is limited, and the country's sustainable development cannot be based entirely on the extractive industry. Dependence on raw materials export cannot be the basis of a development strategy for the republic, which aims at sustainable and inclusive development of the economy. It is considered expedient to build the country's development strategy on the processing industry, which is more sustainable, has unlimited prospects and promises a future.

Friedrich List, one of the prominent representatives of the German school of political economy, in his book "National System of Political Economy" stressed that there is no single economic system that applies to all countries, and each country needs to define its own economic system. List introduced the term national economy as the main issue that economics should study. He believed that economics should be developed not by studying the most general laws and patterns, but by studying the national economic characteristics of each country. Accordingly, there is a need to study the opportunities and potential for the development of the processing industry of the country, to identify the areas of processing industry with the highest economic profitability.

The fact that the process of economic development is a variable, complex and complicated process has led to the emergence of a number of different approaches, theories, interpretations, concepts and claims. These development theories attempt to identify different methods, tools and strategies to achieve economic development goals. Examples of these development theories are the Rostov model of stages of growth, the Harrod-Domar model, Levis' two sector model, Hollis Chenery's model of structural change and development patterns, international dependence theories, lack of coordination model, gradual development theories and neoclassical counter-revolutionary models [4, p. 34-35].

However, experience shows that in many cases the application of these development models in developing countries is not possible due to lack of mass investment opportunities. After the World War II, economists in Europe focused on the policy of reconstruction and began to explore various options to promote economic development. A number of development models by economists - big push (Paul Rosenstein-Rodan 1943,

1984), growth based on unlimited labor supply (Arthur Levis two sector model 1954), gradual economic growth (Vlt Whitman Rostov 1956), balanced economic growth (Ragnar Nurske 1953) and unbalanced economic growth (Albert Hirschman 1958). Albert Hirschmann questioned whether the big push theory and other balanced growth theories could free the economy from the low-level equilibrium trap, and instead proposed his own unbalanced economic growth strategy [3, s. 57].

According to Rosenstein-Rodan, the least developed countries have not been able to use their huge economic potential due to the lack of large-scale investment (large investments in social infrastructure) and are trapped in a low-level equilibrium trap. Private enterprises are not interested in investing in education and socio-economic infrastructure, which have a wide range of positive effects, as they will not be able to absorb all the results of such investments. Therefore, public investment is necessary to give a "big push" to initial industrialization. An initial leap in economic development would trigger the flow of private investment and economic growth will maintain its pace [4, s. 62].

Hirschman, on the other hand, does not accept that a big push policy can accelerate economic development, because its implementation requires a high level of a number of skills, such as poorly developed entrepreneurship and management skills in developing countries. He also claims that government cannot finance industrialization in all areas at the same time, and that social infrastructure investments are overstated. According to Hirschman, in cases where there is not enough social overhead capital, it is more effective to invest in the protection, subsidization, financing or direct investment in productive activities than in spending on social infrastructure.

He suggests the creation of "campaign mechanisms" to remove various obstacles to economic development. Public investment in key industries will increase the procurement costs of industries and create greater profit opportunities for private investment in industries that provide intermediate products to these industries. Supply shortages of the processing industries in order to carry out the production process creates profit opportunities in supplying sectors and encourages private investment. Similarly, the domestic production of a new product creates high profit opportunities in the processing industry, which uses the products of this sector as intermediate consumption, and thus encourages private investment in such areas. Thus, targeted (unbalanced) public investment can lead to the development of a large-scale economic structure [7, p. 471].

In his theory of unbalanced economic growth, Hirschman suggests that the state's economic policy should focus on the development of leading industries, as the result a growth in leading industries will create conditions for the development of all other industries. Linking other industries with key sectors leads to the development of forward and backward linkages between these industries.

2. LINKAGES

Inter-sectoral linkages are a cause-and-effect concept, as the production relations between a key sector A, and industry B will lead to the development of industry B. Based on this, we can say that industry B will not exist without the production linkages of industry A. Such an approach shows the importance of inter-sectoral production relations, the benefits of production relations for the development of other areas and economic development as a whole [7, p.475].

Inter-sectoral linkages are usually calculated using input-output tables. With a simple approach, we can explain the forward linkages of an industry as the part of the total output of the sector consumed by other industries, and the backward linkages similarly, reflect purchases from other industries in the total output of one industry.

Leontief's input-output model is the most successful method for analyzing such inter-dependencies between sectors of the economy. Input-output coefficients that help to evaluate the forward and backward linkages of the processing industry can be determined on the basis of two approaches. The first approach reflects the inputs and output of the processing industry in natural values, while the second approach uses monetary units that represent the values of these variables. It is more appropriate to use the second approach in research, as it is impossible to generalize the costs and products of the sectors, expressed in different units, as envisaged in the first approach. Comparison of the strength of the backward and forward linkages of industries serves as a mechanism that allows to identify "key" or "leading" sectors of the country economy.

Analysis of linkages are used for studying the interdependence of industries. Rasmussen, Chenery&Watanabe, and Hirschman methods based on input-output tables can be used to measure these relationships. In addition

to these models, direct requirement coefficients and direct output coefficients or the hypothetical extraction method are used to identify key sectors.

2. 1. Linkages based on Chenery-Watanabe method

Typically, inter-sectoral linkages are measured in two main categories. The first is based on the input-output coefficients and the Leontief inverse matrix. The second is a hypothetical extraction method developed by Strassert that allows the measurement of changes in output volume in the event of a decrease in intermediate demand.

Backward and forward linkages are descriptive tools of the interdependence of industries in terms of the scale of operations. Linkages allow us to assess the direct and indirect effects of growth in final demand on total output.

Although Rasmussen was the first to suggest the possibility of using forward and backward linkages in the study of intersectoral dependencies, the first research to measure them belongs to Chenery and Watanabe. Backward linkages based on the Chenery-Watanabe (CW) method are calculated as the columns sums of the direct requirement coefficient matrix (matrix A). The strength of the CW backward linkage of each j industry is calculated as [11, p.8]:

$$BL_j^{CW} = \sum_{i=1}^n \frac{x_{ij}}{X_j} = \sum_{i=1}^n a_{ij} \quad (1)$$

Where:

BL_j^{CW} - shows the strength of backward linkage for j industry for Chenery-Watanabe method;

a_{ij} –represents the input coefficients matrix.

CW forward linkages are calculated as the sum of the rows of the output coefficient matrix (matrix B). The strength of the CW forward linkage of the sector is calculated by the following formula:

$$FL_i^{CW} = \sum_{j=1}^n \frac{x_{ij}}{X_i} = \sum_{j=1}^n b_{ij} \quad (2)$$

Where:

FL_i^{CW} – represents forward linkages of i sector based on Chenery-Watanabe method;

b_{ij} - represents the output coefficients matrix (Matrix B).

The Chenery-Watanabe method is based on direct input/output coefficients and allows to measure only the direct effects formed by interdisciplinary relations [10, p.12]. Therefore, we can call these indicators "direct" backward and forward linkages. These indicators are unweighted indices, based on the fact that all areas are equally important in the input-output tables. Changes can be made to the CW method using weighted indices instead of unweighted. The weight of direct input coefficients are determined by the share of each sector in the final demand, and the weight of output coefficients are determined by the amount of value added generated by each sector.

2.2. Linkages based on Rasmussen method

Rasmussen's method, unlike the Chenery-Watanabe method, is based on Leontief inverse matrix when calculating the strength of linkages. Backward linkages are defined as column sum of the Leontief inverse matrix [12, p. 13]:

$$BL_j^R = \sum_{i=1}^n l_{ij} \quad (3)$$

Where:

l_{ij} – denotes Leontief inverse matrix $(I - A)^{-1}$;

BL_j^R - denotes the backward linkages for j industry, reflecting the effects of increased final demand.

The strength of forward linkages based on the Ramussen method is calculated as the sum of the rows of Leontief inverse matrix:

$$FL_i^R = \sum_{j=1}^n l_{ij} \quad (4)$$

FL_i^R – shows forward linkages for i sectors. This indicator shows how one unit increase in final demand of each industry will affect the output of sector i . It also measures the extent to which one unit increase in the primary input of i industry affects the growth of output in all sectors.

3. EMPIRICAL ANALYSIS

The input-output tables are used to calculate the above-mentioned backward and forward linkages. Input-output tables based on intermediate consumption indicators are prepared by the State Statistics Committee of the Republic of Azerbaijan since 2001 on a 5-year basis. In the intermediate consumption tables compiled by the Statistics Committee, the areas of activity are classified into 96 sectors and presented in the form of a 96x96 matrix. In order to simplify the calculations, the article aggregates the sectors in 15 areas (according to the classification of economic activities of the Statistics Committee) (https://www.stat.gov.az/source/system_nat_accounts/az/013.xls).

The sectors are defined as follows:

1. Agriculture, hunting and forestry products
2. Mining industry
3. Food industry
4. Light industry
5. Oil refinery industry
6. Chemical industry
7. Construction materials industry
8. Metallurgical industry
9. Machine-building industry
10. Electricity, gas and water
11. Construction services
12. Trade, real estate and commercial services
13. Transport, post and communication
14. Financial intermediation, insurance and pension services
15. Education, health and social services

The empirical analyzes in the article are based on the 2016 Intermediate Consumption Indicators provided by the Statistics Committee.

Table 1. 2016 input-output table for Azerbaijan economy (thousand AZN)

		<i>i</i> sectors														
		1	2	3	4	5	6	7	8	9	10	11	12	13	14	15
<i>j</i> sectors	1	772417.3	0.0	405231.5	17679.3	0.0	165.0	0.0	0.0	0.0	0.0	0.0	31898.1	0.0	0.0	9021.8
	2	5.1	1446156.3	0.0	0.0	588061.4	437.1	12090.2	79040.0	482.3	807793.3	942190.1	7606.7	150.8	55.2	0.0
	3	24201.3	7851.4	546307.2	0.0	0.0	266.2	0.0	0.0	91.8	0.0	0.0	112216.3	299.8	2075.6	28322.5
	4	12042.9	35238.4	32935.7	14075.7.8	0.0	3354.8	1957.0	763.9	6393.8	3753.3	76325.6	36979.0	20980.2	20510.8	32182.4
	5	245752.7	59442.9	42316.4	2179.5	318919.7	38648.1	5506.6	2944.2	17249.4	30170.5	828336.4	724741.9	546208.1	22629.6	116279.0
	6	89227.6	71361.1	59819.3	13923.7	4622.6	14220.1.5	12327.1	10182.5	21798.5	19614.3	163574.0	49699.4	13220.2	17584.7	82124.2
	7	32372.0	19593.7	26650.5	118.9	0.0	2678.1	58970.4	3944.2	6646.9	364.3	380447.4	10080.4	2137.1	44.7	82.5
	8	30353.1	146276.5	19269.1	160.2	1246.1	4084.4	2276.0	49218.0	76505.4	13979.5	810228.2	52358.9	10393.2	156.8	2643.6
	9	231080.7	168590.2	34808.7	10004.7	3122.7	4564.3	8907.4	17667.5	243479.2	86658.5	229804.9	551406.5	339896.0	247775.0	74217.7
	10	357013.8	45785.1	172189.2	8271.5	53116.9	11827.5	42177.3	7465.3	12058.2	59916.1	79158.3	208958.1	61656.5	21359.2	53878.2
	11	130471.9	39664.3	12773.3	1620.3	80011.6	6043.9	149.8	1833.3	19364.6	79639.7	1109925.3	526157.1	95401.8	580509.8	213265.5
	12	725211.9	318000.5	670043.8	53959.3	126599.4	80155.3	50897.8	63141.4	279710.8	72588.4	1577344.1	2799694.1	432802.6	657221.7	352197.6
	13	394842.3	194636.9	138487.4	8625.5	159125.5	7955.9	7650.9	10358.4	6629.9	95300.0	534664.9	168726.6	224460.7	9012.8	17395.8
	14	100452.9	50212.5	114524.2	14924.0	21557.2	12253.2	42567.3	2647.9	16679.4	24771.9	143496.0	766429.0	36953.0	293108.6	71308.0
	15	7448.7	39144.8	2680.5	136.1	0.0	1104.7	1994.4	155.7	37167.3	141.5	7160.8	120122.0	61957.9	107322.1	94886.7
Total output	622355.4	2132901.8	317993.6	10178.1	246780.0	46299.3	45269.1	44752.6	127490.0	223220.1	1368547.6	1933446.1	612359.2	553401.6	455500.9	

Source: Prepared by the author by aggregating sectors on the basis of data of the State Statistics Committee of Azerbaijan

In the table, sectors i represent producer industries and sectors j represent consumer industries. x_{ij} shows the share of products and services produced in sector i consumed in sector j . The data in the table is initially reflected in the value units. The indicators expressed in the initial monetary value in the table can be replaced by technical coefficients. These coefficients are called direct input coefficients. Direct input coefficients can be obtained by dividing the indicator displayed in each cell of intermediate consumption by the sum at the end of the column (gross output of the sector).

$$a_{ij} = \frac{x_{ij}}{x_j} \quad (5)$$

Direct input coefficients (a_{ij}) show how much of the goods and services produced in sector i are used to produce a single quantity of product in sector j . The backward and forward linkages based on the Chenery-Watanabe method can be calculated by finding the direct input coefficients (matrix A) according to formula 5.

Table 2. Linkages based on Chenery-Watanabe method

		Backward linkages	Forward linkages
1	Agriculture, hunting and forestry products	0.5066	0.4292
2	Mining industry	0.1239	0.9419
3	Food industry	0.7164	0.1891
4	Light industry	2.6759	1.4386
5	Oil refinery industry	0.5496	0.5523
6	Chemical industry	0.6820	0.5961
7	Construction materials industry	0.5467	0.1946
8	Metallurgical industry	0.5572	0.2742
9	Machine-building industry	0.5838	0.6162
10	Electricity, gas and water supply	0.5800	0.4305
11	Construction services	0.5029	0.4191
12	Trade, real estate and commercial services	0.3190	2.1290
13	Transport, post and communication	0.3015	0.4604
14	Financial intermediation, insurance and pension services	0.3577	0.4852
15	Education, health and social services	0.2520	0.0986

To calculate linkages based on the Rasmussen method, it is first necessary to calculate the Leontief inverse matrix. Leontief inverse matrix reflects the amount of direct and indirect demand for products of all other industries for the production of a single unit product in a given industry. The following formula is used to calculate the inverse matrix:

$$L = (I - A)^{-1} \quad (6)$$

Where L is the Leontief inverse matrix; I is identity matrix; A is the direct requirements matrix.

Table 3. Linkages based on Rasmussen method

		Backward linkages	Forward linkages
1	Agriculture, hunting and forestry products	1.851	0.773
2	Mining industry	1.157	2.366
3	Food industry	2.179	1.233
4	Light industry	-8.316	-2.795
5	Oil refinery industry	1.797	1.655
6	Chemical industry	2.219	1.169
7	Construction materials industry	1.882	1.243
8	Metallurgical industry	1.842	1.376
9	Machine-building industry	1.956	1.392

10	Electricity, gas and water supply	1.776	1.193
11	Construction services	1.764	1.458
12	Trade, real estate and commercial services	1.503	1.557
13	Transport, post and communication	1.478	1.247
14	Financial intermediation, insurance and pension services	1.553	1.010
15	Education, health and social services	1.355	1.118

4. CONCLUSION

According to Table 2, the food industry, light industry and chemical industry have the strongest backward linkages in Azerbaijan. Sectors with strong forward linkages are mining industry, trade, real estate and commercial services, light industry and mechanical engineering industry. According to the Chenery-Watanabe method, the key sectors of the Azerbaijani economy are light industry, oil industry, chemical industry, mechanical engineering and trade, real estate and commercial services.

The results of the Rasmussen method are slightly different from the Chenery-Watanabe method. According to the strength of linkages, the mining industry, food industry, oil industry, chemical industry and machine-building industry are distinguished as key sectors. As can be seen, in addition to the processing industry, the mining industry is also distinguished as a key industry in terms of linkages. The main reason is forward linkages of the mining industry. Thus, the mining industry provides raw materials for the chemical industry and the oil refining industry.

According to Rasmussen's method, the sectors with the strongest backward linkages are agriculture, hunting and forestry; food industry; chemical industry; construction materials industry and machine building industry. Sectors with the strongest forward linkages include mining industry; oil refinery industry; machine building industry; construction services and trade, real estate and commercial services.

REFERENCES

1. Bela Balassa, Jonathan Levy. Accounting for economic growth: The case of Norway. World Bank Development Research Center. Discussion paper № 17.
2. D'Hernoncourt J., Cordier M., Hadley D. (2011) Input-output multipliers specification sheet and supporting material. Université Libre de Bruxelles.
3. Debraj Ray(1998) Development Economics. Princeton University Press, New Jersey.
4. Fidelis Ezeala Harrison (1996) Economic Development: theory and policy applications. Praeger Publishers, Connecticut.
5. Handbook of input-output table: compilation and analysis. United Nations, New York, 1999.
6. Həsənlı Y.H. (2012) Azərbaycan iqtisadiyyatının sahələrarası əlaqələrinin modelləşdirilməsi. Bakı.
7. Hirschman, Albert O. (1959) The Strategy of Economic Development. An early contribution setting out the benefits of intersectoral linkages for economic development. Connecticut, Yale University Press, American Journal of Agricultural Economics, Volume 41, Issue 2, p.468–479.
8. https://www.stat.gov.az/source/system_nat_accounts/az/013.xls
9. Leontief W. (1951)The Structure of the American Economy, 1919-1929. New York, Oxford University Press, 282 p.
10. Mehmet Kula. (2008) Supply - use and input-output tables, backward and forward linkages of the Turkish Economy. The 16th Inforum World Conference in Northern Cyprus, 01-05 September 20 p.
11. Strategic Road Map for the National Economic Prospects of the Republic of Azerbaijan, Baku 2016, 111 p.
12. Umed Temurshoev (2004) Key sectors in the Kyrgyzstan economy. Academy of Sciences of Czech Republic, Economics Institute. Discussion Paper Series, November, 38 p.
13. Ziyad Səmədzadə (2009) Çin qlobal dünya iqtisadiyyatında. "Elm və Təhsil" Press, Baku, 608 p.

Sustainable Innovation Development in Jordanian SMEs And Startups.

Reham Al-Hanakt¹

Deniz Horuz²

Selim Corekcioglu³

¹PhD school of Management and Business Administration Szent István University. H-2100, Gödöllő, Páter Károly utca1 Hungary, rehamhana1211@gmail.com, ORCID: 0000-0002-3954-2072

²PhD school of Management and Business Administration Szent István University. H-2100 Gödöllő, Páter Károly utca1 Hungary, dnzhoruz@gmail.com, Orcid: 0000-0002-7140-8973

³PhD school of Management and Business Administration Szent István University. H-2100 Gödöllő, Páter Károly utca1 Hungary, corekioglu.selim@phd.uni-szie.hu, Orcid:0000-0003-3412-2703

Abstract: This paper focuses on the performance measurement and reporting systems adopted by SMEs. Eco-innovation is the development and application of a business model, shaped by a new business strategy that embeds sustainability across all the business operations based on a life cycle thinking approach, and in collaboration with partners along the whole value chain.

Researchers show a range of advantageous and disadvantageous characteristics for Eco-innovation and broader sustainability issues in (SMEs) and startups. For instance, resource constraints (Lack of time, personnel, financial capital, or knowledge) may result in a reluctance to invest in and implement eco-innovations. On the other hand, lean and flexible organizational structures may allow for fast responses to customer and market demands for eco-innovations. It is obvious that identifying an (SME's) specific eco-innovation strategy helps to understand why it chooses to engage in eco-innovation.

While prior research has often dealt with sustainability-oriented innovations (SOIs) in large firms, the last decade has begun to generate broad knowledge on the specificities of (SOIs) in small and medium sized enterprises (SMEs) as they are increasingly recognized as central contributors to sustainable development. However, this knowledge is scattered across different disciplines.

As a key instrument for promoting green growth, business-driven “green” or “ecological” innovations” can induce growth and employment, and achieve resource efficiency or decoupling. There is also a necessity to diagnose green growth strategies in Jordan, and to provide required insights into steps of action for green growth and SDG implementation in various sectors.

Key words: sustainable innovation, small and medium enterprises, startups, and eco innovation.

Introduction

Since 1972 the United Nations Conference on the Human Environment, when the Sustainable Development term was launched, this term has been enriched with new attributes such as environmental issues and bio/green innovation related to ecological factors. (Schiopoiu & Mihai, 2019)

The World Commission on Environment and Development (WCED) report notes that sustainable development requires firms to simultaneously develop long-term economic, social and environmental principles. (Galpin, et al., 2015)

Economic growth, based on the sustainable development concept, enables emerging economies to gradually close the gap with more developed economies. Activities that develop an economy in transition may include increasing the standards of living, developing competitive industrial and commercial base, and improving infrastructure.

Sustainable development is very effective for present and future resource management in the economic and environmental dimensions. It is very important for equality and eliminating disproportions in the access to resources available in a given territory in the social dimension. Moreover, it is essential for integrating the building and planning of functional environmental areas and reducing pressure on the environment in the dimension; and for its effective, clear, and participative management in the institutional dimension. (Krzysztof & Jasińska-Biliczak, 2018)

Small and medium sized enterprises (SMEs) and the business environment can be both a challenge but also, an opportunity. The challenges for SMEs include access to fewer resources (human, financial, physical and informational) and it can be extremely difficult for SMEs to implement sustainable-driven innovation practices.

On the other hand, the challenge of sustainable innovation may carve out new business opportunities and competitive advantage for their businesses. (Hansen & Klewitz, 2012)

(SMEs) must maximize any competitive advantage created by human resources, which consists of training, innovation, and CSR. (Schiopoiu & Mihai, 2019). A key issue in the emerging debate on small and medium-sized benefit corporations concerns how these companies—with limited reach and considerable financial and human resource constraints—can effectively absorb their added social responsibility. In particular, such firms need to manage their dual mission, integrate social and environmental goals in their business model, and incorporate accountability mechanisms; all while scaling up and garnering the necessary resources to be economically competitive.

This paper focuses on the performance measurement and reporting systems that are adopted by SMEs. Eco-innovation is the development and application of a business model, which is shaped by a new business strategy that embeds sustainability across all the business operations based on a life cycle thinking approach, and in collaboration with partners along the whole value chain. The approach is employed with a goal to enhance the performance and competitiveness of companies. (programme, 2019)

Giving example of success not only to companies in Jordan, but had the potential to serve as inspiration to similar companies in the region looking to embrace innovation and sustainability. (SwitchMed, 2018)

Today, appropriate technology is often developed using open source principles, which have led to appropriate open-source technology, that has been proposed as a new model enabling innovation for sustainable development. This is exemplified by research that ties sustainability to innovation and operational efficiency or environmental impact assessment. SMEs also emphasize care for future generations and social capital. Therefore, it seems possible to raise their innovation level as a process through the realization of the sustainable development concept. Innovative processes that occur within enterprises are also known to be successful innovation management models. (Krzysztof & Jasińska-Biliczak, 2018)

Discussion

1. Small and medium enterprises

It is important to note that eco-innovations must not necessarily be of a technological nature, but may also include process innovations such as, introducing new product lifecycles. Firms today need systemic approaches to sustainability if they are to be competitive for the long term. Without a diligent effort to create an organizational infrastructure that supports the development of a sustainability strategy, the firm's efforts to successfully implement a sustainability strategy will be severely hindered.

When the organization's commitment to sustainability cascades through the organization, several benefits can accrue. First, at the individual employee level, in-role and extra-role performance can be enhanced. Second, the level of employee engagement and commitment also can increase. Third, the firm's reputation may also be enhanced, which makes the organization attractive to potential employees, as well as customers and investors. Finally, a commitment to sustainability, create a culture of sustainability, that can be rewarded by increases in brand equity, market share and customer loyalty. (Galpin, et al., 2015)

Researchers show a range of advantageous and disadvantageous characteristics for Eco-innovation and broader sustainability issues in (SMEs). For instance, resource constraints (Lack of time, personnel, financial capital, or knowledge) may result in a reluctance to invest in and implement eco-innovations. On the other hand, lean and flexible organizational structures may allow for fast responses to customer and market demands for eco-innovations. It is obvious that identifying an (SME's) specific eco-innovation strategy helps to understand why it chooses to engage in eco-innovation. For example, increasing the eco-efficiency of their production processes, influences organizational, product, and/or process innovations. (Hansen & Klewitz, 2012)

The green growth idea became the "distinguishing theme" of the Rio+20 conference in 2012, which adopted green economy guidelines to achieve green growth as a tool for sustainable development. Since then, green growth has been critically reviewed with regard to its role of promoting neoliberal capitalism. Furthermore, in the context of the global and poor countries, green growth needs to accommodate the complex socio-economic processes related to poverty, address structural imbalances, and be embedded within social welfare and poverty-reduction policies. Nevertheless, green growth has remained a strong guiding paradigm, which many countries including South Africa, South Korea, Jordan, Kenya, and others, have sought to integrate into

national strategies. As a key instrument for promoting green growth, business-driven “green” or “ecological” innovations” can induce growth and employment, and achieve resource efficiency or decoupling. There is also a necessity to diagnose green growth strategies in Jordan, and to provide required insights into steps of action for green growth and SDG implementation in various sectors.

One study provides a unique assessment of green growth in the water sector in Jordan. Jordan emerged as a reaction to unsustainability pressures in the water sector. These pressures arise from needs to find alternative resources, use the same resources more than once, increase use efficiency, and conservation as well as, decrease the reliance on other sectors such as energy. The presented businesses have in common that they are enabled by technology and eco-innovations that were incorporated into their business plans. Further, they combine the use of renewables with elements from concepts such as decoupling, eco-innovations, circular production, or bio-economy. This corresponds to the notion of green growth and indicates the sustainability future of businesses in the area of natural resources.

Jordan has developed a national green growth plan with the support of donors; on the green growth agenda, the water sector of Jordan is a good case since it has some potential that can be utilized within the government’s push to implement green growth strategies. First, the difficult hydrological and physical preconditions, (e.g., big elevation differences, high costs of transporting water from source to cities), make cost- and resource-efficient technologies and processes even more pressing and can fuel innovation in this sector. Second, Jordan with its “vast tracks of sun-bleached and windswept land” holds a good potential for renewable energy generation, especially in solar and wind energy, but also in biogas production to provide reliable and clean energy for water supply. Renewables are highly needed to decrease the energy dependence on neighboring countries and to decrease the energy subsidy cost for the water sector. Third, the refugee crisis puts strain on the local economy, but offers some opportunities as well. Donor organizations are eager to support Jordan into framing the discourses about water mismanagement and the need for reforms. (Engelmann, et al., 2019)

There are common challenges facing a widespread and self-sustaining implementation of green growth in the region, such as the high energy and water subsidies, the dominance of inefficient public corporations, and the lack of funds and policies to encourage eco-innovations and entrepreneurship. Therefore, some recommendations can be made based on insights gathered during that research. First, there is a need to facilitate a sustainable reproduction of scalable green innovations and business models that have spillover effects into neighboring sectors such as agriculture and energy, and thus to other sections of the economy. Second, it is recommended to prioritize investments in the suggested key industries by enhancing capacities for research and development (R&D), encouraging competition in the development of green growth ideas and strengthening capabilities for the creation of an environment favorable for investments in the water sector. (Engelmann, et al., 2019)

Companies need to strive for fast adaptation and those capable of doing so, will gain long-term sustainable competitive advantage over others. Adaptation to ecological constraints is a part of innovation capability.

Well-drafted environmental standards advance companies to reorganize their activities and develop new technological solutions that do not only reduce pollution and result in more efficient use of resources, but can also help them gain the market-leader role through innovations by deploying the advantage of being the first one to react.

Innovations serving the principles of sustainable development can be divided into three categories: At the level of system optimization, the structure of existing production and consumption systems remains unchanged and its gradual development is simply achieved. This category includes the application of innovations and end-of-pipe solutions to improve eco-efficiency of various products, services, and production and consumption systems. The second category: At the level of system redesign, reorganization of supply and consumption systems, modification of certain subsystems and interactions are usually carried out by means of functional, sustaining innovation, within the frameworks of the existing context. The third category is system innovation. It is the level where not only persistent optimization of products and/or services and processes takes place under the terms of the existing infrastructure and institutional framework, but also the whole system, i.e. constituents, their relationships and interactions, is changed. It requires emergence and spread of innovations that break with prevailing solutions and principles and help to make the whole system more sustainable. (Toth, et al., 2018)

The involvement of owners/managers is essential for long-term sustainability since it affects the behavior of employees. Challenges that (SMEs) are currently facing regarding the dynamism of environment and increased competitiveness will need to be resolved by quality and agility of work force. Flexibility of employees is a critical determinant of business success, and enables the organization to cope with dynamic changes and innovate. Every employee should be like an entrepreneur on his position; everybody should know the processes and know his role in the process of creating financial results. (Kohnová & Papula , 2019)

While prior research has often dealt with sustainability-oriented innovations (SOIs) in large firms, the last decade has begun to generate broad knowledge on the specificities of (SOIs) in small and medium sized enterprises (SMEs) as they are increasingly recognized as central contributors to sustainable development. However, this knowledge is scattered across different disciplines.

(SME) strategic sustainability behavior ranges from resistant, reactive, anticipatory, and innovation-based to sustainability-rooted, innovation practices at the product, process, and organizational level. Results show that research is still strong on eco-innovation rather than on innovation from a triple bottom line perspective (economic, social, and environmental dimension), that is, (SOIs) of (SMEs). A theoretical contribution is the development of an integrated framework on (SOIs) of (SMEs) where we delineate how distinct strategic sustainability behaviors can explain contingencies in types of innovation practices.

Furthermore, the more proactive (SME) behaviors argue that they possess higher capabilities for more radical (SOIs) with the innovation process itself changing. Therefore, that interaction with external actors (e.g. Customers, authorities, and research institutes) can ultimately increase the innovative capacity of (SMEs) for (SOIs). There are gaps with regard to radical (SOIs), streamlined innovation methods, the role of (SMEs) in industry transformation and in sustainable supply chains, as well as a need for a stronger theoretical debate on (SOIs) of (SMEs). (Klewitz & Hansen, 2014)

2. Startups

The Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ) GmbH, Orange Jordan and the Jordanian Information and Communications Technology Association (int@j) have commissioned Impact MENA with a study to explore the impact and contribution of startups in the Jordanian economy with a special focus on technology and technology-enabled startups. Impact MENA is a regional consulting and advisory firm providing services to investors, governments, universities and other stakeholders in the entrepreneurship and innovation ecosystem in the Middle East and North Africa.

This study emphasizes that Technology Based Startups (TBSs) in particular and Information and Communications Technology (ICT) firms in general are considered as an enabler for the implementation of the global Sustainable Development Goals (SDGs). The SDGs and their associated targets offer a transformational vision for the future by 2030. These goals are intended to help mobilizing efforts to end all forms of poverty, fight inequality and tackle climate change among others.

(TBSs') social and environmental impact created through their products and services offered, linkages, inclusion, as well as innovation and learning, can be identified based on the following impact areas, all of which are aligned with the United Nations Sustainable Development Goals (SDGs), with some impact areas more obvious than others, as shown in table 1 below.

Table 1- technology-based startups impacts aligned with sustainable development goals.

Impact level	Impact description	Related SDGs
Primary impact	New job creation for unemployed individuals (especially often disadvantaged groups including youths and females) have a strong social impact component contributing to poverty reduction, gender equality, decent work and economic growth as well as reduced inequalities.	SDG1 No poverty SDG5 Gender equity SDG8 Decent work and economic growth SDG10 Reduced inequalities
Secondary impact	TBSs targeting challenges e.g. in energy, Agriculture, health, transportation, or education provide additional social and/or environmental impacts to the local ecosystem, and can help to improve living conditions.	SDG3 Good health SDG4 Quality education SDG6 clean water SDG7 Affordable and clean energy SDG9 industry and innovation SDG11 sustainable cities and communities SDG12 Responsible consumption and production SDG13 climate action SDG5 life on land
Tertiary impact	TBSs can help to develop ICT platforms to encourage and strengthen collaboration Between the private, public and citizen sectors contributing to integration and self-reliance.	SDG16 Peace, justice and strong institutions SDG17 Partnership for the goals

Source: - Impact MENA study (2019)

2. 1 Social and Environmental Impact:

The study present various case studies highlighting various impact types related to SDGs. MellBell Electronics is an example of a high-potential Jordanian tech startup with a high export Intensity as almost all of the company's revenue is coming from international markets (US, Europe, Japan and Middle East). The startup is active in an open-source electronic prototyping kits and designs and manufactures single-board microcontrollers and microcontroller kits for building digital devices and interactive objects that can sense and control both physically and digitally.

A key issue faced by this startup-included issue with customs and shipping processes, increasing the cost and time of R&D and manufacturing activities, ultimately reducing the competitiveness of the startup in global markets. The key suggestions from the founders to reduce barriers to growth included establishing a special

economic zone that caters to the special needs of tech startups; improving customs process (time, cost and consistency); and establishing protected zones where startups can test new technologies.

MRAYTI is another example of a new breed of shared economy platforms and startups emerging in Jordan, disrupting traditional business models, and creating at the same time a social impact model that was not possible before. This startup is Jordan's first specialized mobile beauty salon. It was launched with a vision that beauty should be accessible, affordable, and non-time consuming. This startup provides services such as haircuts, hair styling, as well as makeup to women in their houses, offices, and gatherings wherever they are and whenever they want. The social impact created focused on job creation for women that otherwise are unlikely to be able to secure fairly - paid job opportunities.

DARB is another example that has developed Jordan's first automated cleaning solution for solar panels. The system has been tested on a large scale and provided a significant improvement in power generation efficiency. In addition to the obvious environmental impact achieved by reducing losses in energy and water, the company's impact includes also the creation of high value highly needed jobs for engineers and technicians in designing and manufacturing novel technology products. This business model is evolving from providing products to technology solutions providers (B2B) into providing full solutions directly to end consumers with maintenance contracts (B2C). DARB also considers providing the solution as a service with energy saving sharing model.

In addition, MAWDOO3 has done for Arabic content on the web more than any other private led organization in the region. Mawdoo3 provides the largest Arabic language content platform in the world. Mawdoo3 was the first globally to introduce AI web services and a comprehensive Natural Language Processing (NLP) toolkit for developers and the first Arabic speaking digital Assistant (called Salma) that answers factoid questions from the Mawdoo3 platform. The impact of the startup includes next to job creation across the region and country, an increase in Arabic content on the web by providing high quality educational resources to Arabic users, thus increasing the learning and knowledge transfer. (Impact MENA team, et al., 2019)

- 3. SwitchMed** is an initiative that supports and connects stakeholders to scale up eco and social innovations. The United Nations Industrial Development Organization (UNIDO), implements SwitchMed. SwitchMed Programme was launched in 2013 by the European Union to speed up the shift to sustainable consumption and production patterns. Its activities benefit 8 countries in the Southern Mediterranean: Algeria, Egypt, Israel, Jordan, Lebanon Morocco, Palestine and Tunisia.

In cooperation with the SwitchMed Programme and financed by the European Union, the Jordanian National Strategy and Action Plan for Mainstreaming Sustainable Consumption and Production into Agriculture/Food Production, Transport, and Waste Management Sectors in the Hashemite Kingdom of Jordan (2016-2025) aims at supporting the implementation of agreed on (SCP) strategic, operational objectives and actions at the national level.

Strategic objectives identifies operational objectives and specific actions for each of the three consumption and production priority areas selected: Agriculture/ Food Production, Transport, and Waste Management. In addition, cross-cutting actions relevant to all three consumption and production priority areas are identified.

3.1 Agriculture and Food Industry:-

Operational Objective 1: Develop the policy and legal framework to promote sustainable agriculture and food production and consumption. In the country, with special focus on organic agriculture and arid tolerant agriculture, engaging Local communities and small-medium scale producers, distributors and retailers of sustainable agriculture and food products.

Operational Objective 2: Establish innovation and knowledge platforms and networks and promote best environmental practices and technologies in all of agriculture/food production life cycle from land-use planning and Sustainable Land Management (SLM), growing, harvesting and food processing allowing efficient management of resources and minimizing environmental impacts.

Operational Objective 3: Sensitize and educate food producers, retailers and consumers, and support the development of appropriate market tools and information, in order to promote sustainability throughout the Value Chains of Agriculture and Food Production Management, as well as Food Processing and Food Distribution.

3.2 Transport Sector:

Operational Objective 1: Develop the policy, legal and governance framework to promote sustainable production and consumption in transport; to encourage the implementation of zero emission and low carbon transport policies; and to ensure that citizens are at the core of the transport policy.

Operational Objective 2: Develop public transport systems with sufficient density; Pursue a multimodal approach to facilitate active modes of mobility and establish innovation and knowledge bases for low-carbon zero emission transport alternatives; promote best environmental practices and technologies in transport; support effective infrastructure allowing efficient management of transport resources, benefiting from gains in the energy efficiency renewable energy and energy efficiency law and its regulations and environmental protection.

Operational Objective 3: Sensitize and educate transport sector-involved national stakeholders including auto retailers and consumers (Drivers) and passengers; support the development of appropriate market tools and information; and provide incentives to promote sustainability throughout the value chains of transport management.

3.3 Waste Management Sector:

Operational Objective 1: Develop the policy, legal and governance framework for enabling a (SCP) -based national integrated waste management system; develop sustainable practices for waste collection and management; promoting sustainable provision of waste management services and encouraging the implementation of “waste as a resource” policies and practices.

Operational Objective 2: Develop (SCP)-Based Integrated System for waste Management; establish innovation and knowledge for waste conversion alternatives; promote best environmental practices and technologies; support development of waste management infrastructure; allowing efficient management of waste as a resource; benefiting from Gains in waste to energy schemes and minimizing environmental impacts of the waste across its life cycle.

Operational Objective 3: sensitize and educate waste management sector-involved national stakeholders including services providers and support the development of appropriate market tools, information, and incentives to promote sustainability throughout the value chains of sustainable waste management services provision.

High prices for energy and imported raw materials remain a challenge to many industrial (SMEs) in Jordan and weaken the competitiveness of Jordanian business in the global market. In addition, Jordan is one of the most arid regions of the world and remains dependent on imported expensive carbon-intensive fossil fuels for energy. This situation requires that the distribution of the already scarce natural resources is done in the most efficient way. Consequently, enabling the industry to become more resource efficient would not only reduce production costs and the economic situation of businesses, but it would be a valuable contribution to a better resource consumption in Jordan.

Responsibly managed products throughout their life cycle In order to accelerate a development that can both maintain a continued economic growth and ensure a sound resource availability, innovative and applicable tools that are required can spur industries to find resource efficient ways on how to deal with waste, energy and water. If other businesses decide to take on the approach of a resource efficient production in the industry of Jordan, the Resource Efficient Cleaner Production (RECP) concept could become a core element of assisting the economic development of the country, contribute to a more equal resource distribution, and maintain the role of the industry as a job creator. A more resource efficient production will also help businesses to generate, while increasing productivity and maintaining access to international markets with good quality products that meet international standards.

Therefore, if Jordan’s industry is about to change and tap into the full extent of its potential, it is fundamental that other businesses and sectors pick up and follow the business case of (RECP) to accelerate this development, UNIDO, together with stakeholders from the civil society, government and the industry have developed a scaling-up roadmap on how to expand the (RECP) concept in Jordan.

An action plan that will support the facilitation and reinforcement of national competencies around the topic of (RECP) and green growth has been developed with the ambition to mainstream the (RECP) approach throughout the industry in Jordan. (Jordan, 2018)

4. Supporting eco and social grassroots innovations:

National workshop organized in each of the SwitchMed target countries in order to develop

Different spheres of their projects, get inspired by other initiatives and help one another during the particularly sessions. Specifically, the training aims to provide practical expertise in what

Concerns community initiatives while giving them the opportunity to take important steps in the development of their projects. A key component of the training is the module dedicated to analyze in depth the issues to tackle to start an initiative. Through the practical exercises, the Leaders of the initiatives must prototype their projects, develop a canvas model particularly addressing the social eco-innovation within grassroots initiatives and develop a SWOT analysis.

Afterwards, all the trainees have the opportunity to apply for the supporting phase of the programme to receive further coaching and technical support for the development and implementation of their initiatives. (Jordan, 2018)

5. Enabling access to finance for Green entrepreneurs in Jordan:

Green startups have received some governmental attention, mainly those in the renewable energy market; however, awareness of other Green Entrepreneurship areas is still limited. Access to finance in Jordan remains a challenge, not only for startups and entrepreneurs, but also for business in general. Referred to as “getting credit” by the World Bank’s Doing Business report – Jordan ranked 159 out of 189 countries in 2017 in terms of getting credit, indicating an extremely low rank. (Jordan, 2018)

6. Recommendations for the Promotion of Green Entrepreneurship, Eco, and Social Innovations in Jordan:

- 6.1** Develop and implement a strong national strategy for supporting green entrepreneurs as key factors in the transition to a green economy, with provisions for awareness raising, promotion of green entrepreneurial ideas, and support from the business sector and public institutions.
- 6.2** Establish a platform for green entrepreneurs that will centralize all existing relevant informational resources (including support and training programs, financial assistance, guides and best practices, etc.)
- 6.3** Establish platforms to build relationships between funding organizations and governmental institutions and to support direct partnerships between green entrepreneurs and funding organizations.
- 6.4** Step up efforts to raise awareness among the people of Jordan about the environmental benefits of green goods and services and the economic opportunities they can provide.
- 6.5** Develop policies and regulations that provide financial incentives for green initiatives, including tax cuts, tax exemptions and grace periods for payment of taxes (such as income and sales taxes and licensing and custom fees).
- 6.6** Introduce economic and policy instruments such as cash awards and financing schemes to increase the financing opportunities available to green entrepreneurs, and assist in establishing mutual trust between entrepreneurs and financiers.
- 6.7** Develop more Project Financing Schemes with emphasis on supporting national funds so they have more power and flexibility in financing projects.
- 6.8** Support providers (especially those from academia and those that provide incubation services) should develop advanced awareness raising programmes that highlight the positive contributions of green entrepreneurs to sustainability plans and that describe the clear link between green entrepreneurship and social wellbeing and economic prosperity of the nation.
- 6.9** Connect research activities related to green entrepreneurs with business support centers.
- 6.10** Establish awards and certifications for green entrepreneurs to attract more individuals to this sector.
- 6.11** Support the establishment of more laboratories and production facilities in Jordan to spur innovation in the areas of energy efficiency and energy production.
- 6.12** Keep informed about green entrepreneurship initiatives and best practices at the regional and international levels. (Production, 2017)

References

- Engelmann, J., Al-Saidi, M. & Hamhaber, J., 2019. Concretizing Green Growth and Sustainable Business Models in the Water Sector of Jordan. Resources, 10 May.8(2).
- Klewitz, J. & Hansen, E. G., 2014. Sustainability-oriented innovation of SMEs: a systematic review. Journal of Cleaner Production, Volume 65, pp. 57-75.

- Kohnová, L. & Papula, J., 2019. Who Drives Innovation Activities? Evidence from Innovative European Countries. Proceedings of the 15th European Conference on Management, Leadership and Governance., November. pp. 236-255.
- Toth, J., Szlovák, S. & Magda, R., 2018. Innovations Connected to Methanol in the Service of Blue Economy. Visegrad Journal on Bioeconomy and Sustainable Development, 7(1), pp. 7-10.
- Galpin, T., Whittington, J. L. & Bell, G., 2015. Is your sustainability strategy sustainable? Creating a culture of sustainability. Emerlad, 15(1), pp. 1-17.
- Hansen, E. J. & Klewitz, J., 2012. The Role of an SME's Green Strategy in Public-Private Eco-innovation Initiatives: The Case of Ecoprofit. journal of small business and entrepreneurship, 25(4), pp. 451-477.
- Impact MENA team, Kalaldehy, F. & Al-Homsi, J., 2019. Jordan's Startup Economy Assessing the economic contribution and potential of tech and tech-enabled startups, s.l.: Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ) GmbH.
- Jordan, S. P., 2018. Switchmed Magazine. [Online]
Available at: <https://www.switchmed.eu/en/e-library/national-supplement-jordan>
[Accessed 15 March 2020].
- Krzysztof, M. & Jasińska-Biliczak, A., 2018. Innovations and Other Processes as Identifiers of Contemporary Trends in the Sustainable Development of SMEs: The Case of Emerging Regional Economies. Sustainability MDPI, 27 April.
- Production, R. A. C. f. S. C. a., 2017. Promotion of Green Entrepreneurship and Grassroots Ecological and Social Innovations in Jordan, s.l.: SwitchMed Programme.
- programme, S. U. e., 2019. Eco-innovating with Jordanian SMEs, s.l.: s.n.
- Schiopoiu, A. B. & Mihai, L. S., 2019. An Integrated Framework on the Sustainability of SMEs. Sustainability, 30 October. pp. 1-22.
- SwitchMed, T., 2018. Finance of eco-innovative businesses in Jordan, s.l.: The SwitchMed.

Analysing the Child Protection Data in the Visegrad Countries, 2005-2016

Assist. Prof. Dr. Richard RESPERGER¹

¹University of Sopron, Faculty of Economics, Institute of Economics and Methodology, Hungary
resperger.richard@uni-sopron.hu

Abstract: Children left without parental care are an especially vulnerable group in the society. Preventing such children from entering public care and providing substitute care programmes are among the most challenging tasks, even at the present day. The welfare of children deserves special attention, trends in the use of public care can tell us great deal about levels of social cohesion in the society. Supporting the reform of childcare systems has been a priority for UNICEF in CEE and CIS countries for the last three decades. Countries committed to reforms highlight the importance of family-based care and promoting deinstitutionalisation. The aim of this paper is to compare selected indicators and aspects related to the formal care in the Visegrad countries. The Visegrad Group is the cultural and political alliance of Czechia, Hungary, Poland and Slovakia. The author has chosen the comparative analysis method for accomplishing the goal of the paper – to analyse some child protection data between 2005 and 2016 according to data published by the UNICEF TransMonEE database. TransMonEE is a database of social and economics indicators for the welfare of children, young people and women in Central and Eastern Europe and Central Asia. This study focuses on two types of formal care: children living in residential care or family-based care. The findings of this analysis reveal that residential care is decreasing, the alternative family-based care is expanding in the analysed four countries. Within the formal care there is a tendency to place children into foster families. The foster care is viable alternative instead of the institutions. At the same time, it is very important that the child welfare and family support services and also the different forms of state subsidies are to be provided for families, which can prevent an unwarranted removal of children from their families.

Keywords: child protection, formal care, residential care, family-based care, TransMonEE database

JEL Classifications: J10, J13, I30

1. INTRODUCTION, LITERATURE REVIEW

The United Nations Convention on the Rights of the Child (UNCRC, adopted in 1989) was the first international treaty to state the full range of rights belonging to children. These rights are economic, social, political, civil and cultural. The Convention deals with the child-specific needs and rights. It requires that states act in the best interests of the child. The Convention acknowledges that every child has certain basic rights. Including the right to life, his or her own name and identity, to be raised by his or her parents within a family or cultural grouping, and to have a relationship with both parents, even if they are separated. The Convention obliges states to allow parents to exercise their parental responsibilities, and also obliges signatory states to provide separate legal representation for a child in any judicial dispute concerning their care and asks that the child's viewpoint be heard in such cases. The Convention stipulates that the family has primary responsibility for raising children and providing them with living conditions suitable for healthy development. It also recognizes the duty of the state and society to provide the family with such support as may be needed in order to fulfil these obligations. The provisions of the Convention concerning „the family as the ideal setting for satisfying the needs of children” (UNICEF 2007: 51). The family is the fundamental group unit of society and the natural environment for the growth of children, efforts should primarily be directed to enabling the child to remain in or return to the parental care, or other close family members. The state should ensure that families have access to forms of support. According OECD (2011: 11), „countries differ considerably, however, in the types and intensity of support provided.” These differences are rooted in countries’ histories, their attitudes towards families, the role of government and the relative weight of the family policy objectives. We do not discuss them in this study, nevertheless we highlight that the main aim of child protection system over Europe is to ensure that children grow up in a family. The state must help support the family in the child rearing. These supports are largely provided by the state and their main aim is to help children growing up in a family (Rózsás 2008: 22). „Every child and young person should live in a supportive, protective and caring environment that promotes his/her full potential. Children with inadequate or no parental care are at special risk of being denied such a nurturing environment” (Guidelines, 2010: 4).

Many reasons and circumstances leading to children falling out of family care: orphanhood, poverty, poor social skills, family crisis, drug or alcohol problem, lack of parenting skills, psychological / psychiatric problems, behavioral problems, physical and sexual abuse, child neglect. (UNICEF 1997: 63; KSH 2004: 12; Krámer–

Szotyori 2005: 9, etc.) Browne et al. (2005) also mention other social reasons (family ill health and capacity, parents in prison), abandonment, disability and (according SOS, 2005: 3; SOS, 2007:3-4) HIV/Aids, migration, violence and wars/emergency situations, especially in CIS countries. Poverty is not the only cause of separation, but an important one. Family poverty is often quoted as a key factor in a family's decision to place their children into formal care. „Often families are simply seeking day-care facilities to be able to work, or educational facilities in the localities where they live.” When they find such services unavailable, or inaccessible, they resort to boarding schools or institutions instead (UNICEF, 2010: 4). Single parenthood, migration, deprivation of parental rights, disability of the child are other factors which are often mentioned as causes.

Where the child's own family is unable, even with appropriate support, to provide adequate care for the child, or abandons or relinquishes the child, the state is responsible for protecting the rights of the child and ensuring appropriate alternative (substitute) care, with or through competent local authorities and duly authorized civil society organizations. It is the role of the state to ensure the supervision of the safety, and development of any child placed in alternative care and the regular review of the appropriateness of the care arrangement provided. All decisions should be to ensuring the child's safety, and must be grounded in the best interests and rights of the child concerned.

Most children live at home in own family, but a few live with other (foster) families or guardians and a few live in institutions. Removal of a child from the care of the family should be seen as a measure of last resort and should, whenever possible, be temporary and for the shortest possible duration. The alternative care for children should be provided in family-based settings. Generally, when children need to live away from their families, they will stay with foster parents. Foster care is preferable option over residential care, because it enables a child to be cared in a family-like environment. Nevertheless, residential care and family-based (foster) care complement each other in meeting the needs of children. Alternatives should be developed in the context of an overall deinstitutionalization strategy (Guidelines, 2010: 2-6). „De-institutionalisation is much more than closing institutions or orphanages” (Eurochild, 2011: 6). It is about systemic reform including investment in universal family-support, early intervention and prevention, gatekeeping, as well as high quality alternatives.

Since child protection in CEE-countries have more similarities we first delineate traits that characterize countries in the analysis. It should be noted that in this article we are not going to analyse the countries' child protection system. Before the change of regime in these (former Socialist) countries giant institutions were traditionally operating. The majority of children in state-care; who are abused and neglected, and those with disabilities; were placed in institutions. (UNICEF 1997; UNICEF 2010)

In the early 1990s, during the transition from the Soviet period, restructuring the institutional system was put on the agenda. Conditions for childcare have changed. According SOS (2005; 2007), there are many studies about the negative effect of institutional upbringing, and the studies on placements seem to point to a positive outcome of foster-family upbringing. Factors behind restructuring were inefficiency due to high operational costs and financial difficulties of big institutions on the one hand and a shift to more family oriented options in professional ideas relying on western experiences (Hellinckx 2002; Carter 2005, Nowackia–Schoelmerich 2010, UNICEF 1997; UNICEF 2010). In the beginning institutions were aiming to establish smaller family type housing then foster care was coming to the front as alternative for institutional care. Several authors (Domszky 2004; Herczog 2007; Rózsás 2008; Rácz 2009; Rakó 2010; Resperger 2014) agree that restructuring was necessary due to the changing social environment and the need of children.

The shift in paradigm can be seen not only in institutional restructuring but in changing attitudes towards families. Childcare must be considered primarily as family task so breeding in family must have preference. However, if out-of-home care is the only solution a substitute care must be provided for children abused that is as close to family care as possible. Instead of institutional housing the opportunities of family type care and housing should be looking for that are also priorities in child protection laws in several countries according to UNCRC guidelines. Child Protection Act in the V4-countries: Hungary 1997, Czech Republic 1999, Poland 2005, Slovakia 2005.

These CEE-countries have adopted measures designed to encourage fostering, in order to reduce over-reliance on institutional care, and much of the legislation adopted since 1989 recognizes the principle that institutionalization shall be a last resort. Countries have also amended their legislation to prevent unwarranted removal of children from their families and to reduce resort to institutional placement (UNICEF, 2010).

From the 90's CEE-countries made efforts to propagate foster care system and to reduce the numbers of insitutional placement. The reform progressively continued in the years of 2000 and 2010. As a result in child housing the family based care came into prominence.

2. DEFINITIONS AND OBJECTIVES

There are two primary options for *subtitute care* services: foster care and residential care. In this present article we concentrate on our international comparison of these two primary options. A third option is the adoption, changes the legal status between the child and his or her new family. A fourth option is the placement in daygroup care where the children come home only in the evening (UNICEF, 2007: 57). Article 20 of the UNCRC sets forth the right of children who have no family, who have been abandoned or who cannot be cared for by their parents, to special protection and alternative care (formal care). Article 20 (Part 2) mandates that alternative care be provided when a child is deprived of his or her family environment.

2.1. Definitions

There are two forms of alternative care under the Guidelines for the Alternative Care of Children (shortly Guidelines) (Part III. 29. (b) (i) and (ii)):

- *informal care* is defined as „any private arrangement provided in a family environment, whereby the child is looked after on an ongoing or indefinite basis by relatives or friends (informal kinship care) or by others in their individual capacity, at the initiative of the child, his/her parents or other person without this arrangement having been ordered by an administrative or judicial authority or a duly accredited body”,

- *formal care* is defined as „all care provided in a family environment which has been ordered by a competent administrative body or judicial authority, and all care provided in a residential environment, including in privat facilities, whether ornot as a result of administrative or judicial measures”. Formal care refers to all children in residential care or family-based care.

These are the forms of formal care:

- *residential care*: care provided in any non-family-based group setting, in facilities housing large or small numbers of children. Residential care (or insitutional care) can be defined as a group living arrangements for children where care is provided by remunerated adults, and who would normally work in shifts (SOS, 2007: 15). Children in residential care include children in infant homes, in orphanages, in boarding homes and schools for children without parental care or poor children, disabled children in boarding schools and homes, family-type homes, SOS villages, etc. Children in punitive institutions are normally excluded.

- *foster care*: children in foster care are in formal care in the legal sense, but placed with foster families rather than in institutions. Foster parents are responsible for minors. The foster parent normally is remunerated by the state for their services (special fee and allowances) (UNICEF, 2010: 11).

- *guardianship*: a care arrangement for underage children and legally recognised disabled persons. Guardians (who often relatives, e.g. grandparents) are a legally appointed adult representative for a child securing minor's upbringing, administer his affairs and not obligated personally to take care of the child (UNICEF, 2010: 11).

2.2. Objectives

This article aims to analyse the situation of formal care in selected CEE-countries: Czech Republic (also known by its short-form name, Czechia), Hungary, Poland and Slovakia (later it's referred to as V4). What are the trends in formal care in these analysed countries, that is the main question of this article. Therefore, two core indicators for children in formal care are discussed below, namely rate of children living in formal care and proportion of all children in formal care (ratio of children in residential versus family-based care). According UNICEF (2009b: 12), „Family-based alternative care is recognized as the most appropriate for children's healthy development. Residential options are generally appropriate for only a small minority of children in care and are often best used on a short-term basis.”

For the analysis used data come from the UNICEF TransMonEE 2019 database. In this article we analyse the data between 2005 and 2016.

3. MATERIAL AND METHOD

3.1. Geographical coverage

The transition countries in Europe are classified today into two political-economic entities: Central and Eastern Europe (CEE) and Commonwealth of Independent States (CIS). The CEE/CIS is a heterogeneous region, but the countries within it share the common inheritance of centrally planned economies and all of them have been engaged in a process of transition to the market economy since 1989–1991 (UNICEF, 2009a: 9). According to the World Bank (2008), "the transition is over" for the countries that joined the European Union.

The term CEE includes all the Eastern bloc countries west of the post-World War II border with the former Soviet Union, the independent states in former Yugoslavia (which were not considered part of the Eastern bloc), and the 3 Baltic states that chose not to join the CIS with the other 12 former republics of the USSR.

For the present analysis involved CEE (and EU members) countries: Czech Republic, Hungary, Poland and Slovakia (together: V4-countries, Visegrad Group).

3.2. Data coverage

The monitoring of social and economic situation of children in transition countries was initiated by the UNICEF Innocenti Research Centre (IRC) in 1992 as part of the project on Public Policies and Social Conditions (MonEE Project).

The annually updated TransMONEE database (Transformative Monitoring for Enhanced Equity) contains a range of statistical information in the CEE and CIS countries. The latest version of TransMonEE database released in June 2019, contains relevant social and economic indicators divided into next six topics: population, fertility, education, child protection, juvenile justice and crime, social protection.

The database is updated every year thanks to the collaboration of national statistical offices. The data represents an important tool, inter alia, for governments, civil society organizations, international organizations in considering their decisions, policies and programmes (UNICEF, 2007).

3.3. Data comparability

Since UNICEF began monitoring the situation of children in transition countries in the early 1990s, there have been several changes which have led to tools for data collection. In general, the availability of information for studying the condition of children has improved, and the country-level capacity for analysis has increased. National statistical offices have strengthened their ability to collect and analyse data especially through increasing the use of survey, and country reports on the condition of children have been published.

UNICEF has supported attempts to improve and standardize definitions used in administrative data on child protection. Rácz (2009) mentions the incomplete data as a barrier of national or international comparative research for children or young people. However, we had all data we need for chosen countries so we were able to compare them. The MonEE project is an unique source of international data on key child protection indicators. The UNICEF's databases are very useful in the sense that collects data from each country, but during the analysis of the data in many cases we need to look at the table notes. As with any cross-national statistical database, concepts and measures may differ widely across countries. Despite these concerns, MonEE offers an unparalleled opportunity to examine historical trends spanning three decades (UNICEF, 2010: 4, 10).

4. ANALYSIS AND RESULTS

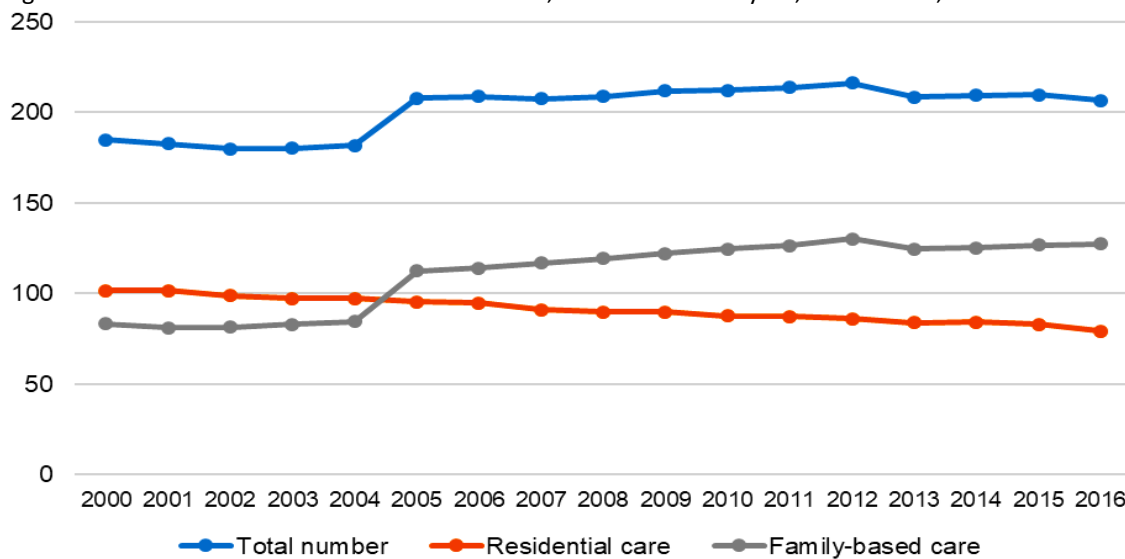
4.1. Trends in formal care

Examining absolute number of children we found that total number of children in formal care decreased in the analysed period. In the four reference countries the total number of children in formal care was 207,9 thousand in 2005 and 206,6 thousand in 2016. Although overall we can see no change in the numbers, but there was an internal structural change, nearly 15 thousand more children have been cared in family-substitute way.

An analysis of trends shows that the total number of children in residential care in the selected countries has fallen between 2005 and 2016, from 95,5 to 79,3 thousand children. In parallel with, the total number of children in family-based care has increased in the same times, from 112,4 to 127,3.

It can be observed that until 2004 the majority of children within the formal care was in residential (institutional) care. The turning point was in the mid-decade and since 2005 the number of children in family-based care has exceeded the number of those living in residential care. (see Figure 1)

Figure 1: Trends in formal care in the V4-countries, at the end of the year, in thousand, 2000-2016



Source: Own created according to TransMonEE 2019 database (2020)

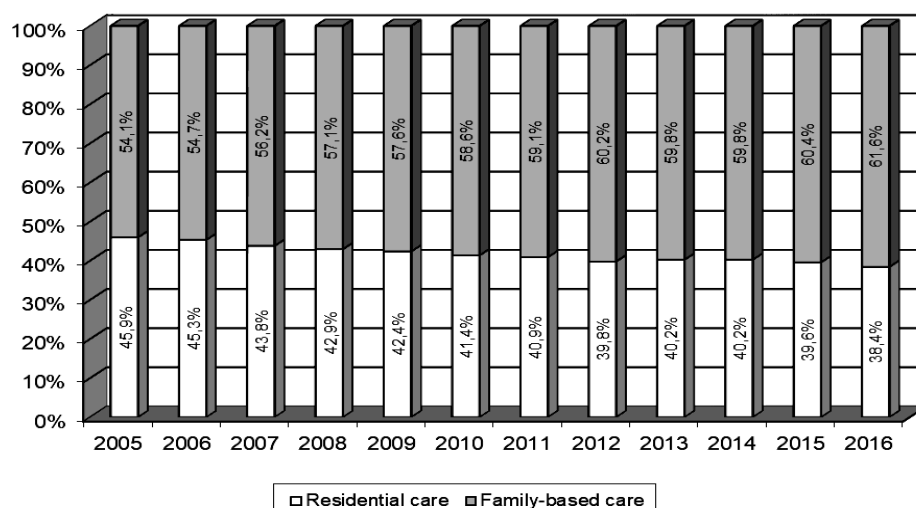
It is seen that while the number of children living in residential care has decreased the family-based care (foster parents and guardians) has gradually emerged as a viable alternative in V4-countries. So, there is a tendency to place children in family-based care. But the placement chosen depends on a variety of factors, like the availability of foster parents or the consent of the biological parents to foster family placement.

4.2. Residential versus family-based care

In 2005 on the basis of proportion of two types of formal care 45,9% of children lived in residential care (all residential care institutions should be included, whether private or government-run). By 2016 the number of children in residential care decreased compared to 2005, but in spite nearly 40% of the children are still growing up in institutions. All in all, it can be favorable that the proportion of children in family-based care increased in the analysed period.

The number of children living in family-based care in V4-countries has gone up from 54,1% of all children in formal care in 2005, to 61,6% of all children in formal care in 2016. (see Figure 2)

Figure 2: Proportion of all children in formal care in the V4-countries, 2005-2016



Source: Own created according to TransMonEE 2019 database (2020)

In 2005 the proportion of children in residential care was above 80% in the Czech Republic (87,3%). At the same time in Hungary the proportion of children in residential care was the lowest (25,7%) and it was 42,6% in Poland and 53,1% in Slovakia. To 2016 all CEE countries in question proportionally less children were in residential care than before and parallel with it the proportion of family-based care has increased everywhere. Among the analysed countries the proportion of children in residential care has to a large degree decreased in Czech Republic (in 2016 was 61,3%, down from 87,3 in 2005). (see Table 1a)

Table 1a: Number of children in formal care in the V4-countries, at the end of the year, 2005

	Total number of children in formal care	of which:			
		in residential care	share of total (%)	in family-based care	share of total (%)
Czech Republic	30 495	23 622	87,3	6 873	12,7
Hungary	30 382	7 819	25,7	22 563	74,3
Poland	131 625	55 765	42,6	75 597	57,4
Slovakia	15 627	8 304	53,1	7 323	46,9

Source: Own created according to TransMonEE 2019 database (2020)

According to the 2016 data family-based care is most popular in Hungary (79,4%). The next are Poland and Slovakia (65,2% and 65,0%) with relatively high proportion of family-based care. Then come Czech Republic (38,7%), where the proportion of children in family-based care was under 40%. In the Czech Republic the proportion of children in residential care is traditionally high, this is the case in 2016 (61,3%) as well. The latter leads to a conclusion that state support to families is still not enough and institutional intervention is needed. (see Table 1b)

Table 1b: Number of children in formal care in the V4-countries, at the end of the year, 2016

	Total number of children in formal care	of which:			
		in residential care	share of total (%)	in family-based care	share of total (%)
Czech Republic	35 980	22 045	61,3	13 935	38,7
Hungary	32 319	6 673	20,6	25 646	79,4
Poland	130 907	45 497	34,8	85 410	65,2
Slovakia	14 685	5 137	35,0	9 548	65,0

Source: Own created according to TransMonEE 2019 database (2020)

Notes: Hungarian data include children over 18 years old, since 2000 include children placed into guardian care, since 2005 include non-public residential care. Since 2012 Polish data include children aged 18 years old and older in foster care. Slovakian data refer to 2012, from 2013 the substitute family care are not included.

4.3. Ratio of all children in foster care

Now, we are including another indicator, which is not among the two UNICEF indicators, but this is important to cite. This indicator (ratio of all children in foster versus residential care) shows the proportion of children cared for by foster parents.

In 2016, in three countries (Hungary, Poland and Slovakia) the proportion of children in foster care actually also were higher than in institutions, compared with Czech Republic, where the children were placed mostly in residential care.

Children were placed with foster parents in the largest proportion (66,9%) in Hungary. More than half of the children were living with foster families in Poland (55,2%) and in Slovakia (63,5%). In Czech Republic the proportion of all children in foster care was the lowest (33,1%). (see Table 2)

Table 2: Proportion of all children in foster care in the V4-countries, at the end of the year, 2016

	Total number of children in family-based care	of which:		Proportion of foster care* (%)
		children cared for by guardians	children cared for by foster parents	
Czech Republic	13 935	3 013	10 922	33,1
Hungary	25 646	12 177	13 469	66,9
Poland	85 410	29 260	56 150	55,2
Slovakia	9 548	562	8 958	63,5

Source: Own created according to TransMonEE 2019 database (2020)

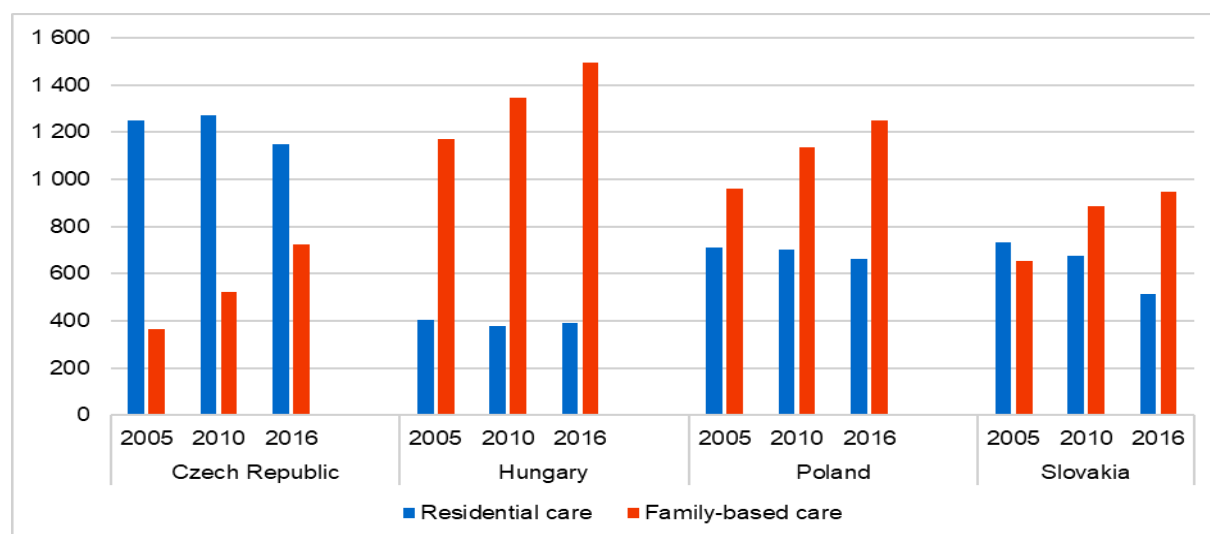
Notes: *Numerator: number of children in foster care, Denominator: total number of children in formal care without guardians (residential care + foster care). Slovakian data refer to 2012, data refer to foster and substitutive family care for 2000-2012.

4.4. Rates of children in formal care

A more appropriate and realistic picture is presented with the use of rates (number of children living in formal care per 100.000 child population), accounting for the impact of demographic change.

The rate of children in residential care in all V4-countries has decreased from 2005 to 2016. (see Figure 3)

Figure 3: Rates of children living in formal care in the V4-countries, 2005-2016



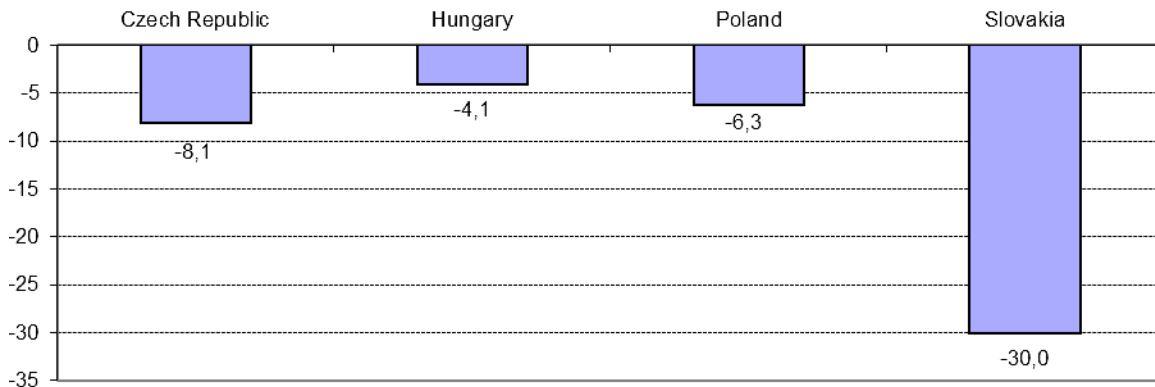
Source: Own created according to TransMonEE 2019 database (2020)

Notes: Since 2012 Polish data include children aged 18 years old and older in foster care. Slovakian data refer to 2012, from 2013 the substitute family care are not included.

Besides the increase in family-based care, there are clear signs of a reduction in the rates of children being placed in institutions. In cases of all analysed countries, there has been an decrease in residential care, where the number of children living in institutions was traditionally high in 1990s. This suggests that alternative family-based forms of childcare may be expanding, but are not necessarily replacing the previous reliance on institutional care.

On average, 678,5 children per 100.000 were living *in residential care* in 2016, while same rate was 774,1 in 2005. The highest decrease was in Slovakia (-30,0%) in 2016 compared with 2005. (see Figure 4a)

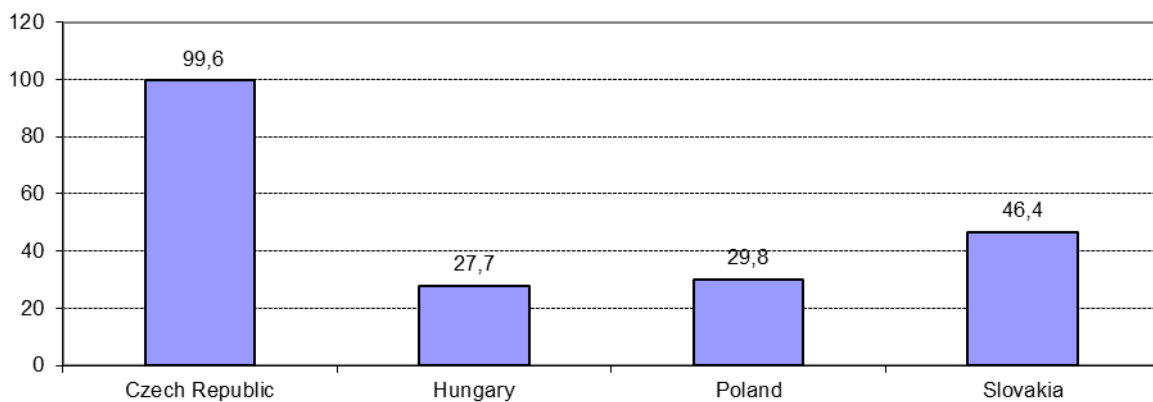
Figure 4a: Changes in the rates of children in residential care, percentage change, 2005-2016



Source: Own created according to TransMonEE 2019 database (2020)

Rates of children living in family-based care grew in all analysed countries from 2005 to 2016, reflecting the promotion of alternatives to institutionalisation in selected countries. The highest increase was in Czech Republic (99,6%). (see Figure 4b)

Figure 4b: Changes in the rates of children in family-based care, percentage change, 2005-2016



Source: Own created according to TransMonEE 2019 database (2020)

Notes: Since 2012 Polish data include children aged 18 years old and older in foster care. Since 2000 Slovakian data refer to foster/guardian care and substitute family care (children placed in substitute family care comprise about 60% of all children in family type care), and from 2013 the substitute family care are not included.

5. CONCLUSIONS

In this article we analysed two core indicators of child protection, using UNICEF TransMonEE database. For the analysis we chose four Central European countries (Visegrad Group), which has similarities to the child protection in several ways. Every country in the CEE region has been engaged in the reform of child protection system since 1989. The reform articulates the importance of family-based care and deinstitutionalisation. Due to the reform efforts a recent progress in alternative childcare is that the countries analysed have preferred child-friendly solutions.

The findings of this analysis reveal that residential care is decreasing, the alternative family-based care is expanding in Visegrad countries. Within the formal care there is a tendency to place children into foster families. The foster care is viable alternative instead of institutions. At the same time, it is very important that the basic supply (child welfare and family support services) and also the different forms of state subsidies (especially cash grants to families with infants to cover household costs and also to support endangered families with social services) are to be provided for families, which can prevent an unwarranted removal of children from their biological families.

REFERENCES

- Browne, K. – Hamilton, G. C. – Johnson, R. – Chou, S. (2005): Young Children in Institutional Care in Europe. *Early Childhood Matters* 105 (Dec. 2005), pp. 15-19.
- Carter, R. (2005): *Family Matters: a study of institutional childcare in Central and Eastern Europe and the former Soviet Union*. Every Child. London.
- Domszky, A. (2004) (szerk.): *Gyermekevédelmi szakellátás*. Budapest, NCSSZI. 282 p.
- Guidelines (2010): *Guidelines for the Alternative Care of Children*. UN General Assembly 64/142.
- Eurochild Annual Report 2011. Brussels - Belgium, June 2012. 28 p.
- Hellinckx, W. (2002): Residential care: Last resort or vital link in child welfare? *International Journal of Child and Family Welfare*, 5/3, pp. 75-83.
- Herczog, M. (2007): *A gyerekek családból való kiemelésének – intézményi elhelyezésének megelőzése, elkerülése*. Budapest. 34 p.
- Krámer, V. – Szotyori, V. (2005): *Intézményben élő gyermekek: megelőzés és alternatív gondoskodás*. *Család, Gyermekek, Ifjúság*, XIV. évf. 2005/5. pp. 8-12.
- KSH (2004): *History of professional child protection provision in the XX. century*. Hungarian Central Statistical Office. Budapest 2004. 68 p.
- Nowackia, K. – Schoelmerich, A. (2010): Growing up in foster families or institutions: Attachment representation and psychological adjustment of young adults. *Attachment & Human Development* Vol. 12, No. 6, November 2010, pp. 551–566.
- OECD (2011): *Doing Better for Families*. OECD Publishing, 27 Apr 2011. 276 p.
- Rácz, A. (2009): *Posztadoleszcensek az ontológiai stádiumban megrekedt állami gyermekvédelem rendszerében*. Műhelytanulmányok, Digitális archívum (16) 2009/1. MTA Politikai Tudományok Intézete, Budapest.
- Rakó, E. (2010): *Gyermekevédelmi intézményekben elhelyezett gyermekek életkörülményeinek vizsgálata*. PhD értekezés. Debrecen. 263 p.
- Rózsás, E. (2008): *A gyermekjogok tartalma, érvényesülése és védelme*. PhD disszertáció. Pécs, 233 p.
- Resperger, R. (2014): *A magyar gyermekvédelem a változások tükrében...* PhD disszertáció. Sopron, 179 p.
- SOS (2005): *A Child's Right to a Family: Family-based Child Care: The Experience, Learning and Vision of SOS Children's Villages*. Position Paper of SOS-Kinderdorf International.
- SOS (2007): *Children without parental care or at risk of losing it*. SOS KDI-recommendations, background paper. 17 p.
- UNICEF (1997): *Children at risk in Central and Eastern Europe: perils and promises*. *Economies in Transition Studies, Regional Monitoring Report - No. 4*. International Child Development Centre. Florence - Italy, 170 p.
- UNICEF (2007): *Law Reform and implementation of the Convention on the Rights of the Child*. The United Nations Children's Fund. Florence – Italy.
- UNICEF (2009a). *Innocenti Social Monitor 2009*. Innocenti Research Centre. Florence - Italy, 2009 Aug. 150 p.
- UNICEF (2009b): *Manual for the Measurement of Indicators for Children in Formal Care*. Better Care Network. New York – USA, January 2009. 66 p.
- UNICEF (2010). *At home or in a home? Regional Office for CEE/CIS*. Geneva - Switzerland, 2010 September. 69 p.
- UNICEF (2019): *TransMonEE database*. On the Internet: <http://transmonee.org/database/download/>
- World Bank (2008): *Unleashing Prosperity: Productivity Growth in Eastern Europe and the Former Soviet Union*. Washington, p. 42.

The Effect of International Trade on Poverty and Economic Growth

Selim COREKCIOGLU¹

Deniz HORUZ²

Reham Al HANAKTA³

¹ Szent Istvan University , PhD school of Management and Business Administration, Budapest, HUNGARY, Corekcioglu.selim@phd.uni-szie.hu, ORCID: 0000-0003-3412-2703

² Szent Istvan University , PhD school of Management and Business Administration, Budapest, HUNGARY, dnzhoruz@gmail.com, ORCID: 0000-0002-7140-8973

³ Szent Istvan University , PhD school of Management and Business Administration, Budapest, HUNGARY, rehamhana1211@gmail.com, ORCID: 0000-0002-3954-2072

Abstract: A great deal is being written and said about there are economically and socially differences, among developed countries and developing countries. It is important to emphasize, one of the main purpose of developing countries is to eliminate these differences with developed countries. If we go deep to the root of the topic which is the development of countries, it should be understood not only in the economic field, but also in the social field. When talking about economic development, acceleration of technological development, increase in production, increase in trade, increase in the share of industrial production in national income are important. Moreover, economic development of countries will also ensure their development in the social field, for example, the quality of life will be better. In this paper, the effect of international trade on poverty and economic growth was discussed. According to the result of this research, it was found the relation among international trade, growth and poverty. The international trade has effect on economy in many ways such as technology, competitiveness and productivity and poverty.

Keywords: poverty, economic, growth, international, trade

1. INTRODUCTION

(Vernon, 1966) claims that as a result of the economic growth resulting from the increase in technological development and investment capacity, the competitiveness of the country will increase, and its export capacity will increase.

In a group of developing countries, despite much higher growth rates than industrialized countries, living standards are falling. Average real incomes are also rising with increasing growth, but there is no positive development in segments in absolute poverty. it is a barrier (Çelikel, 2004).

Foreign trade consists of import and export transactions. Increasing exports and reducing imports in countries are among the important goals. The decisions and measures taken by the countries to achieve these goals constitute the foreign trade policy. People's needs are constantly increasing. Efforts to meet these needs have led countries to foreign trade. One of the main goals of countries is economic growth (Kesgingöz & Karamelikli, 2015).

Increasing the impact of the industrial sector on economic growth is important for growth (Dilek, 2016). Since the financing of development investments depends on the income from exports, export revenues must be increased in order to accelerate the development. A change in exports causes a change in GDP in the same direction. In other words, the increase in exports causes an increase in economic growth. So, household income increases and hence a poverty rate decreases (Xu, 1996).

The Heckser-Ohlin-Samuelson (HOS) Model indicates the importance of trade liberalization for growth and increasing real wages in developing countries (Jayme, 2001). Internal growth models, on the other hand, point to the importance between foreign trade and growth. Grossman and Helpman attribute the reason for long-term growth to the spread of information as a result of internal technological innovations. According to Grossman and Helpman, foreign trade will provide the spread of new technologies along with the increase in productivity and this will increase economic growth (Grossman & Helpman, 1994).

Although it is obvious that there is a relationship between foreign trade and growth, there are also teachings that argue that foreign trade is insignificant in terms of economic growth or do not deal with this issue at all. In the 1960s, models that see the main source of growth as foreign trade have gained a certain place as export-based growth models. However, modern growth theories see foreign trade as only one of the sources of

growth. Actually, the relationship between foreign trade and growth is two-way. That is, while foreign trade affects growth; growth also affects foreign trade (Bartels et al., 2009).

While investigating the direction and degree of the relationship between foreign trade and growth, considering only exports within the scope of foreign trade and testing the validity of the export-based growth hypothesis may yield very different and misleading results. As (Awokuse, 2008) stated, in the analysis of foreign trade-growth relations, analyzes that only consider export and neglect imports can give false findings. For this reason, evaluating the relationship between exports and imports with growth will be beneficial in terms of reaching more realistic findings and developing more correct policy recommendations. Countries, such as Turkey, with production sectors that are significantly dependent on imports should be included in the analysis as a third variable in their imports besides exports. If the foreign currency resources of the country are to be used effectively, it is important to correctly determine the growth-export-import relationship (Saraç, 2013).

In general, it is seen that exports have a positive effect on growth. This effect will lead to an increase in productivity along with excess production in the economy. It is also due to the increase in exports generating gains from economies of scale and positive externalities (Tyler, 1981). For this, countries must have a certain level of industrialization and development. Underdeveloped and developing countries that have achieved this level of industrialization will have significant effects on the economic structure with the export-based growth process.

In the 20th century, protectionist policies were implemented in many developing countries as part of the import substitution strategy. The main purpose of protectionist policies is to protect the manufacturing sector, which is in the first stage of industrialization. In the early 1980s, countries noticed that internal strategies are not sustainable, so many developing countries have started to leave protectionist and restrictive trade policies (Sönmez, 2018). The international trade deficit was expected to resolve the problems in the balance of payments of developing countries, accelerate technological progress and economic growth. This change in strategies has led to a significant increase in the trade integration of developing countries. The transition from inward-looking strategies to outward-looking strategies has not only changed the amount of trade; it also differentiated the composition of trade between countries (Dollar, 2004). Today's integration is more important than before and trade is one of the most important aspects of globalization.

It is generally accepted that trade and economic growth are closely related and that when per capita income increases, poverty also decreases. But it is a fact that policies will affect how much the poor benefit from growth and welfare increase. In general, empirical results show that open trade policies with subsidies, competitive exchange rates and low taxes are more desirable for growth than protectionist trade policies. However, it can be said that the existence of foreign markets and foreign trade policies does not guarantee success in trade-driven economic growth and poverty reduction. Other factors such as human resources, investment, prevailing macroeconomic policies and management are also crucial to taking full advantage of opportunities from world markets (Perera & Lee, 2013).

In the second section following the introduction part of the paper is research methodology, third section is literature review and last section is research results findings and conclusions.

2. RESEARCH METHODOLOGY

Given this evidence as a research methodology, literature review was used in this study. Articles from different essential sources on international trade, growth and poverty were studied. Finally, the main factor is to reach ultimate conclusion and offer for Turkish Economy.

3. LITERATURE REVIEW

(Topalli & Alagöz, 2015) examined the relationship between export, import and economic growth. By using the the panel co-integration analysis and causality test, they found a bidirectional causality between economic growth-import and economic growth-exports in the long run.

In the another paper, it was investigated the validity of export-oriented growth by using VECM methods for the Canadian economy in 1961-2004 and it was found a one-way causality relationship from real exports to real GDP (Awokuse, 2003).

(Balassa, 1985) in her study conducted with the data of 43 developing countries between 1973-1979, found that the differences in economic growth rates between countries are affected by the differences in investment rates and the growth rates of the labor force.

In this study, the long-term effects of exports and imports on industrial production and hence economic growth are analyzed within the framework of the VECM model. Model results reveal the saving will be a factor to increase the economic growth momentum in Turkey's exports. In other words, the export-oriented growth hypothesis was confirmed. Therefore, it can be said that the implementation of economic policies that will create an increase in exports is important in achieving and maintaining macroeconomic stability. Although the increase in imports may be the dynamics of growth in the short term due to the fact that the industrial sector is significantly dependent on the imports of intermediate and capital goods, the cointegration relationship obtained in the study indicates that the increase in imports negatively affects industrial production in the long run. This situation reveals that the export-oriented growth hypothesis was not confirmed. For this reason, decisive implementation of commercial policies aimed at reducing the foreign trade deficit is important to achieve stable growth rates (Özcan & Özçelebi, 2013).

The validity date for Turkey to export-led growth hypothesis using data for the period 1999-2013 in line with the objectives of the study were questioned. As a result of the unit root tests applied, it is seen that the variables contain unit root at the level, but the variables whose difference is taken are stationary. The result obtained from the Johansen cointegration test carried out later indicates that there is a long-term causality relationship between variables. Finally, according to the results of the error correction mechanism test, which takes into account the dynamic nature of the variables and strengthens the Granger Causality test, which is not sufficient on its own, the direction of causality between exports and growth is bidirectional in the short run and from export to growth in the long run. that's why the only way for the long term in Turkey; The fact that the country's exports are dependent on imported inputs, that is, due to cheap imported inputs and abundance of foreign exchange, may depend on the increase in exports. Because its production in labor-intensive sectors will naturally prevent a long-term causality from economic growth to export, from technology transfer and attracting productive investments to the country (Sağlam & Egeli, 2016).

(Pomponio, 1996) applied Granger causality analysis with VAR model in his study covering 66 countries and the years 1965-1985. As a result of his study, he found no strong evidence to support the hypothesis that exports lead to an increase in production in the bivariate causality test. As a result of the three-variable causality analysis in which he added the investment variable, mixed results were obtained indicating that investment and exports increased growth.

By covering (1989: 2-2011: 4) period, The effects of exports and imports on economic growth were investigated using the non-linear econometric method and it was determined that exports and imports positively affect economic growth in both periods during the periods of contraction and expansion in the periods of the economy. With these results, it is revealed that the opinion of the export oriented industrialization strategy and the endogenous economic growth theory regarding the relationship between import and economic growth is valid within the period covered by the study (Saraç, 2013).

In this study, the short and long term relationships between exports, imports and economic growth are investigated for Turkey. For analysis, real data of 1980-2016 were used in the study. By using ARDL bounds test and co-integration test, it was found that export-led growth and import-led growth strategies may be applied in Turkey. Between import and export, it was also found co-integration (Yenisu, 2019).

(Huang et al., 2007) tried to find the effect of trade liberalization on the agricultural sector and poverty in China. As a result of the analysis in the study, it seems that trade liberalization in China affects the agricultural sector more positively. Thus, it was observed that the liberalization of agricultural trade in the country caused an increase in household income and a decrease in poverty.

(Milanovic, 2002) stated on the positive effect of globalization on poverty and emphasized that while globalization increased the amount of income per capita, it increased inequality in income distribution gradually.

In his study by (Agenor, 2002) for developing countries, he revealed that there is a non-linear relationship between globalization and poverty. The author emphasized that while globalization increases poverty in countries with low levels of globalization, high-level globalization decreases poverty.

(Ravallion & Lokshin, 2006) claims that the effects of trade liberalization and poverty on both macro and micro-based approaches are questionable in traditional globalization discourse. He emphasized that the traditional macro approach in particular is insufficient in explaining the trade-poverty relationship. Although the relationship between trade liberalization and poverty is uncertain for developing countries, he argued that opening to the outside under certain conditions reduces poverty. According to them implementation of a well-defined social policy together with commercial reforms will be effective in reducing poverty.

4. CONCLUSION

International trade has many benefits such as efficiency in resource use, technology transfer, increasing the benefit of consumers increasing the efficiency and productivity of companies by increasing competition. Relationships between international trade economic growth, and poverty have an important place in the economic literature for many years. Accordingly, in the export-oriented industrialization hypothesis, it is claimed that exports will affect the economic growth positively by using the resources in the country. As a result of the economic growth resulting from the increase in technological development and investment capacity, the competitiveness of the country will increase and its export capacity will increase.

Studies show that globalization has an important role to reduce poverty in developing countries. Trade openness is not a direct strategy for poverty reduction, but it has both negative and positive effects on the poverty. Many analyzes on this issue support that trade liberalization leads to higher economic growth if other subsidiary, tax and grant policies related to trade reform are effectively implemented.

When describing the relationship between openness and poverty, it is necessary to answer the question of benefit for whom. It is generally accepted that openness has a growth effect through technological advances and investments and creates new markets and employment opportunities. The important thing is that the poor benefit from these new market and employment opportunities and the wages can be increased and the number of the poor can be reduced. It is a fact that the poor are less mobile due to their education, health and living conditions and are more affected by external shocks. If the trade openness creates markets that demand more unskilled labor, it may have positive effects on poverty in the short term, but for sustainable growth and low poverty rates, it is essential to increase the number of skilled labor force by increasing the education and information equipment in the regions. Only in this way, technology and information dissemination, which is possible with trade openness, can be achieved, and it can be aimed to accelerate the formation and growth of sectors that require high technology.

REFERENCES

1. Agenor, P.-R. (2002). Does Globalization Hurt the Poor? (SSRN Scholarly Paper ID 636284). Social Science Research Network.
2. Awokuse, T. O. (2003). Is the Export-Led Growth Hypothesis Valid for Canada? *The Canadian Journal of Economics / Revue Canadienne d'Economie*, 36(1), 126–136. JSTOR.
3. Awokuse, T. O. (2008). Trade openness and economic growth: Is growth export-led or import-led? *Applied Economics*, 40(2), 161–173.
4. Balassa, B. (1985). Exports, policy choices, and economic growth in developing countries after the 1973 oil shock. *Journal of Development Economics*, 18(1), 23–35.
5. Bartels, F., Buckley, P., & Mariano, G. (2009). Multinational Enterprises' Foreign Direct Investment Location Decisions within The Global Factory | UNIDO (pp. 1–146). United Nations Industrial Development Organization.
6. Çelikel, A. (2004). Küreselleşmenin gelir eşitsizliği ve yoksulluk üzerindeki etkileri. *İstanbul Ticaret Üniversitesi Dergisi*, 7(6), 215–239.
7. Dilek, S. (2016). Oyun Teorisi Eşliğinde Sanayi Ekonomisi.
8. Dollar, D. (2004). Globalization, poverty, and inequality since 1980. In *Policy Research Working Paper Series (No. 3333; Policy Research Working Paper Series)*. The World Bank.
9. Grossman, G. M., & Helpman, E. (1994). Endogenous Innovation in the Theory of Growth. *Journal of Economic Perspectives*, 8(1), 23–44.

10. Huang, J., Jun, Y., Xu, Z., Rozelle, S., & Li, N. (2007). Agricultural trade liberalization and poverty in China. *China Economic Review*, 18(3), 244–265.
11. Jayme, F. G. (2001). Notes on trade and growth. In *Textos para Discussão Cedeplar-UFMG* (No. td166; *Textos Para Discussão Cedeplar-UFMG*). Cedeplar, Universidade Federal de Minas Gerais.
12. Kesgingöz, H., & Karamelikli, H. (2015). Dış ticaret-enerji tüketimi ve ekonomik büyümenin co2 emisyonu üzerine etkisi. *Kastamonu Üniversitesi İktisadi ve İdari Bilimler Fakültesi Dergisi*, 9(3), 7–17.
13. Milanovic, B. (2002). True World Income Distribution, 1988 and 1993: First Calculation Based on Household Surveys Alone (SSRN Scholarly Paper ID 308899). Social Science Research Network.
14. Özcan, B., & Özçelebi, O. (2013). İhracata Dayalı Büyüme Hipotezi Türkiye İçin Geçerli Mi? *Yönetim ve Ekonomi: Celal Bayar Üniversitesi İktisadi ve İdari Bilimler Fakültesi Dergisi*, 20(1), 1–14.
15. Perera, L. D. H., & Lee, G. H. Y. (2013). Have economic growth and institutional quality contributed to poverty and inequality reduction in Asia? *Journal of Asian Economics*, 27, 71–86.
16. Pomponio, X. Z. (1996). A causality analysis of growth and export performance. *Atlantic Economic Journal*, 24(2), 168–176.
17. Ravallion, M., & Lokshin, M. (2006). Testing Poverty Lines. *Review of Income and Wealth*, 52(3), 399–421.
18. Sağlam, Y., & Egeli, H. A. (2016). İhracata Dayalı Büyüme Hipotezi: Türkiye Örneği. *Dokuz Eylül Üniversitesi Sosyal Bilimler Enstitüsü Dergisi*, 17(4), 517–530.
19. Saraç, T. B. (2013). The Effects of Exports and Imports on Economic Growth: Turkey Case. *Ege Akademik Bakış Dergisi*, 13(2), 181–194.
20. Sönmez, F. D. (2018). Ticaretin Yoksulluk Üzerine Etkisi; Türkiye İçin Temel Bulgular. *Öneri Dergisi*, 13(50), 35–51.
21. Topalli, N., & Alagöz, M. (2015). Gelişmekte Olan Ülkelerde İhracat, İthalat ve Ekonomik Büyüme İlişkisi: Panel Eşbütünleşme ve Panel Nedensellik. *International Journal of Social and Economic Sciences*, 5(2), 122–126.
22. Tyler, W. G. (1981). Growth and export expansion in developing countries: Some empirical evidence. *Journal of Development Economics*, 9(1), 121–130.
23. Vernon, R. (1966). International Investment and International Trade in the Product Cycle. *The Quarterly Journal of Economics*, 80(2), 190–207. JSTOR.
24. Xu, Z. (1996). On the Causality between Export Growth and GDP Growth: An Empirical Reinvestigation. *Review of International Economics*, 4(2), 172–184.
25. Yenİsu, E. (2019). Türkiye’de İhracat, İthalat ve Ekonomik Büyüme İlişkisi: ARDL Sınır Testi Yaklaşımı. *Gaziantep Üniversitesi Sosyal Bilimler Dergisi*, 18(3), 1175–1193.

A Bibliometric Analysis and Literature Review of Project Management in Small and Medium Enterprises

Shahbaz Ahmad Saadi¹

Dr. Anna Dunay²

Mehrzad Abdi Khalife³

¹ Szent Istvan University, Godollo, Hungary, Shahbaz.Saadi@phd.uni-szie.hu, ORCID: 0000-0003-3857-9663

² Szent Istvan University, Godollo, Hungary, dunay.anna@szie.hu, ORCID: 0000-0003-0254-9243

³ Szent Istvan University, Godollo, Hungary, mehrzad.abdi.khalife@phd.uni-szie.hu, ORCID: 0000-0002-8397-2686

Abstract: For any economy, Small to Medium Enterprises (SMEs) play a vital role, through employment and wealth generation. Project management (PM) is very much important for the management of innovation and growth in these SMEs. In SMEs small projects are managed through PM tools and techniques. The extent of the use of PM tools and methodologies depends on the size of firms. All organizations of different sizes spend almost the same proportion of capital on projects. The use of PM tools and techniques is lesser in smaller organizations. In case of technology difference the high-tech organizations invest higher in PM than low-tech organizations. Due to the smaller number of employees in micro and small industries, low-level hierarchy or bureaucratic PM is used. Levels are used. In the case of medium-sized enterprises, traditional versions of PM are used. The important success factors for project management are stakeholder management, planning, monitoring and control. The time and resource allocation are other success factors for PM in SMEs.

The topic "Project management" has been receiving increasing attention in the scientific researcher's community, but specifically "project management in SMEs" was unable to find its place. There are few publications in the last two decades of the 20th century. Most of the publications with this concern can be traced back to the last two decades. Despite this small number of publications in a short time, makes it necessary to carry out a bibliometric study to observe research cluster, emerging topics, and leading scholars relating to countries. This paper aims to study the scientific production only around PM in SMEs. We restricted our research to papers indexed in the web of Science Core Collection, with the title and topic, "Project management in SMEs". Special tools were used to analyze the data. VOSviewer was used for data organizing and analysis. The different relationship maps and figures were prepared for this purpose. This bibliometric study analyses the available related literature on the topic. This study gives further direction for researchers to find close relationships between different areas of PM, to help the low and high technology SMEs.

Keywords: Small and Medium Enterprises, SMEs, Bibliometrics analysis, Project Management, PM.

1. INTRODUCTION

This study is based on a bibliometric analysis technique to review the characteristics of the research material in the field of PM in SMEs. In this chapter, the definitions and relationships between the main terms are discussed. Literature has revealed that the subject of project management in small and medium enterprises has gained a dominant role in academia because of its practical importance in the production and service industry (Matt D.T., Rauch E., 2020).

1.1 Project Management (PM)

Mostly the role of project management applies in construction and engineering projects. The PM techniques and tools have a great influence on innovation, growth, and the productivity of firms. Most PM managers believe that higher complexity decreases the performance of the project. However, so far research has failed to establish this causal relationship conclusively (Bjorvatn, T., & Wald, A. 2018). PM success is an extremely interesting topic from a scientific, as well as a practical point of view. Many PM models for project management success are already available which indicates the level of thoughts to achieve PM successful (Radujković, M., & Sjekavica, M., 2017). A cross-country study claims that there is a positive relationship between project management methodology and PM success. The project management methodology used by an organization accounts for 22.3% of the change in project success (Joslin, R. & Müller, R., 2015).

1.2 Small and Medium Enterprises (SMEs)

Small and Medium Enterprises (SMEs) are the major segment of any economy. SMEs are playing a very vital role in employment generation, resource utilization, and income generation. In USA manufacturing sector organization with 500 or fewer workers are considered as SMEs, but in wholesale trades, SMEs contains 100 or

less (Madani, 2018). Therefore, SMEs are vital for the economic growth of any country (Bello, A., Jibir, A., & Ahmed, I. 2018). SMEs are 99% of all businesses in the EU. Almost the same economic role and influence of SMEs may be noted in other regions of the world. The role and influence of SMEs on the economic development of the developing countries were greater than in developed countries (Turner, Ledwith, Kelly, 2010).

Table1: Definition of MSMEs by EU

SME category	No. of Employees	Turnover	or	Total Balance sheet
Medium-sized	< 250	≤ € 50 m		≤ € 43 m
Small-sized	< 50	≤ € 10 m		≤ € 10 m
Micro-sized	< 10	≤ € 2 m		≤ € 2 m

Source: European Commission

1.3 PM in SMEs

Most of the studies that have been carried out in project management relate to large firms and complex projects. Only a few studies are conducted for PM practices in SMEs (Sadkowska, J. Et al., 2020). Turner and Ledwith (2016) revealed that The projects implemented in SMEs are fewer so the PM practices are applied more informally. The formality level increases with the increased size of the firm. Regardless of SME size, social performance, and business success is influenced using PM tools and techniques. The size of the SME is positively and significantly related to the usage of PM tools and techniques. Normally old SMEs use fewer PM tools and techniques for managing their products (Sane, S. 2019). There are two main factors for PM success factor in these SMEs, the position of Project Manager and project planning technique used. That means project planning by the project manager who is most of the time owner of the business determines the success factor. Another success factor is family involvement which decreases with the increase of PM tools and techniques (Sadkowska, 2018).

1.4 Bibliometric analysis

Bibliometric analysis is the quantitative method of content and citation analysis for academic journals, books, and researchers (Bornmann, L. 2014). "A bibliometric analysis consists of applying statistical methods to determine qualitative and quantitative changes in a given scientific research topic, establish the profile of authors" (Rey-Martí, A. et al. 2016). According to Kokol et al. (2015), the bibliometric analysis is important because of the necessity to determine the impacts of the huge funding for R&D. The bibliometric analysis is also very important for PM and PM in SMEs. This research aims to adopt this technique to sort the previous studies for evaluating productive scientific organizations, countries/regions, agencies, and authors. The study also determines the citation impact, and trends of co-authorship and co-occurrence of keywords in the context of countries.

Several bibliometric analysis studies have been carried out in different fields like management, Human resource, marketing, entrepreneurship, organizational behavior, climate change, micro and macro-economics, including Project. Some examples are, studies conducted by Blessinger (2007), Mukherjee (2010) and Jabeen, (2015) discovered the trends in global research publications in the subject of PM.

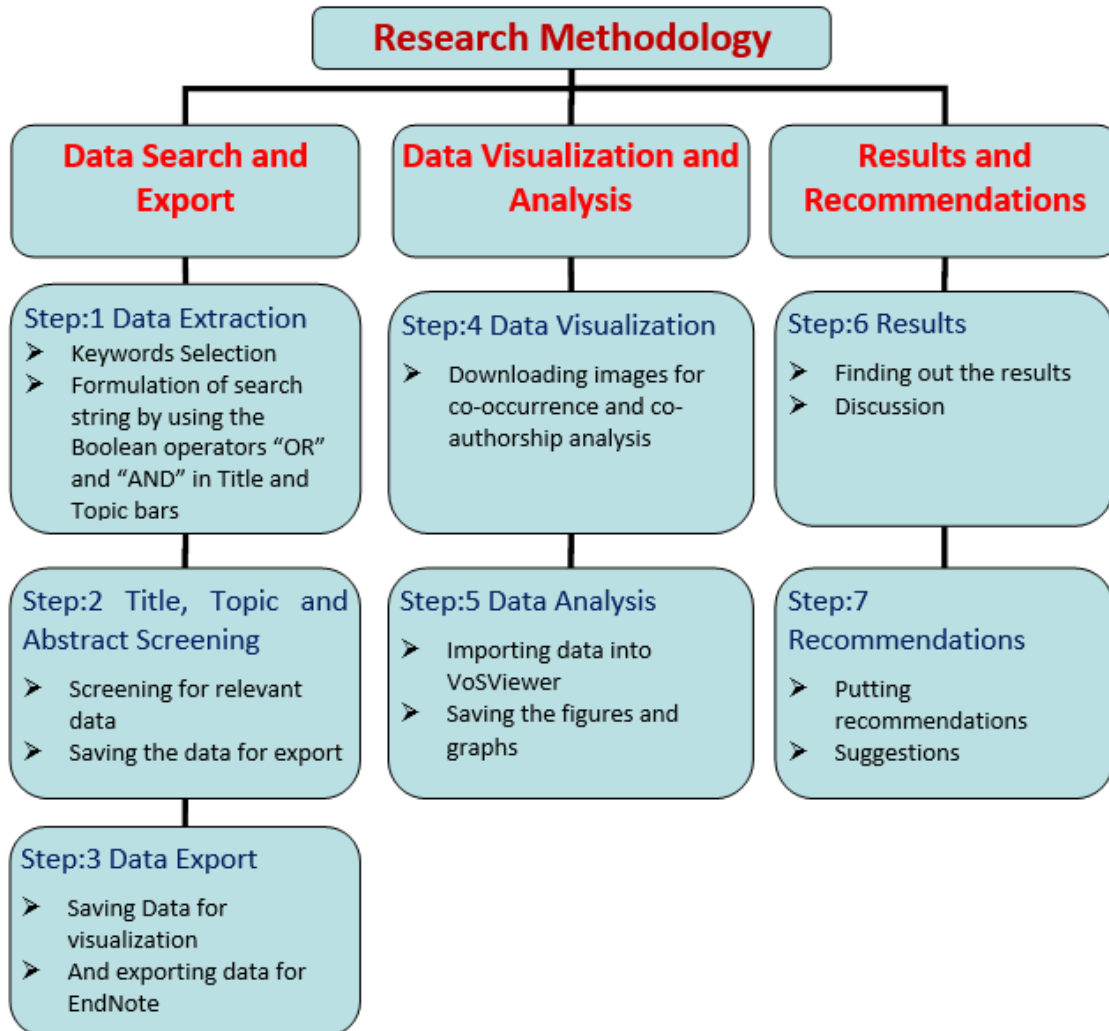
2. DATA SOURCES AND EXTRACTION

Data were obtained from the Web of Science (WoS) Core Collection database. WoS is one of the most reliable and enriched databases which provides data in a vast range in almost every field of life. It contains all article types and indexes. WoS gives details of authors/ institutional addresses, and bibliographic references for every article (Mongeon & Paul-Hus, 2016). The WoS database was freely accessible for the researchers through the platform of Szent Istvan University Hungary. Some other researchers have used WoS along with Scopus for bibliometric analysis on Project management. Some examples are Pollack, J., & Adler, D. (2015), López-Robles, J. R., Otegi-Olaso, J. R., & Porto-Gómez, I. (2018), Huang, Y. W. (2018). The researchers can find a considerable amount of published materials on project management using WoS.

It is very important to select the keywords to find related data. In total 50 unique keywords were used to find the studies relating to the topic of Project Management in SMEs. Two rows were used for searching the articles

containing the Project management in title and SMEs in their topics to get the required results. In the first search bar, all related keywords for “Project management” like “Project managements”, “Management of projects”, “Managing projects”, “Management of project” and “Managing project” were used with the Boolean string “or” in-between them. In the second search bar keywords relating to SMEs were entered under the tab of Topic. Some of them were “small and medium-sized enterprises”, “small and medium scale enterprises” and “micro, small and Medium Enterprises”.

Figure 1: Research Methodology



Source: Self Drawn

The language filtered was English and the period was remained maximum by default. Only 77 most related documents were saved as a marked list and were exported to EndNote online. Moreover, all the abstracts were screened by reading. The abstract screening technique gave an advantage over other bibliometric studies because of the low number of data set. The large data sets may include irrelevant documents because is not possible to apply abstract screening technique on them. The abstract screening provides increased content relevancy, reliability, and enhanced validity for the research results. The software used for visualization and analysis was VOSviewer version 1.6.15. The following Fig. 1 shows the research methodology used for analysis and visualization of the sample data.

3. RESULTS AND DISCUSSION

Only 77 records relevant to this research area were saved. The low number of screened records shows that there is less research activity relating to Project Management in SMEs. One of the strong reasons behind this seems to be fewer funding opportunities in this field of study. Only one out of a total of 25 funding agencies named ENDESA funded two articles in 2007. All the other 24 members contributed to one each.

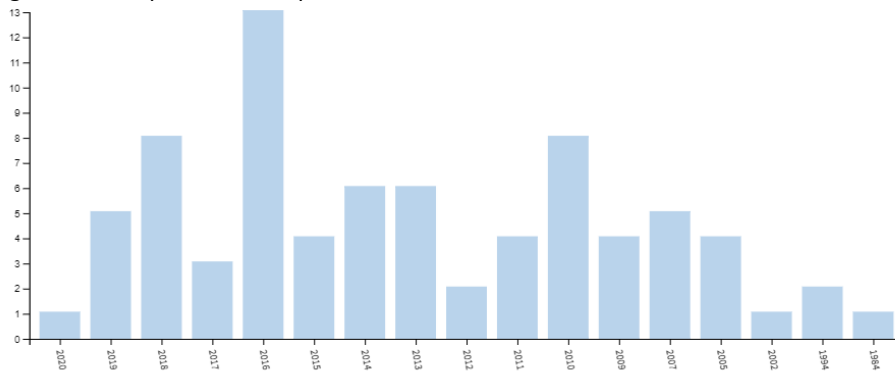
3.1. Characteristics of the data

Out of 77, 37 studies were proceeding papers and 38 articles. Only one book chapter and one book review were included. In the distribution of Natural Science, Engineering, and Biomedical Research mostly journal articles give results (Larivière, et al. 2006). But recent studies revealed that journal articles have also become the major source of knowledge in Humanities scientific research (Mongeon & Paul-Hus, 2016). The 77 records in this selection were authored by 198 from 30 countries and published in 94 sources. Two group authors were IEEE and IOP also contributed to this field. The h-index for the data sample was 9 and the average citations per item were 5.42.

3.2. Annual academic and scientific production

The first article was published in 1984 on this topic and the major contributions stated to be published after 2010. Figure 2 shows that the maximum of studies was in 2016 in the subject with thirteen publications. The publication trend is not steady and there is no specific pattern in the number of publications.

Figure2: Timespan scientific production in the field of PM in SMEs

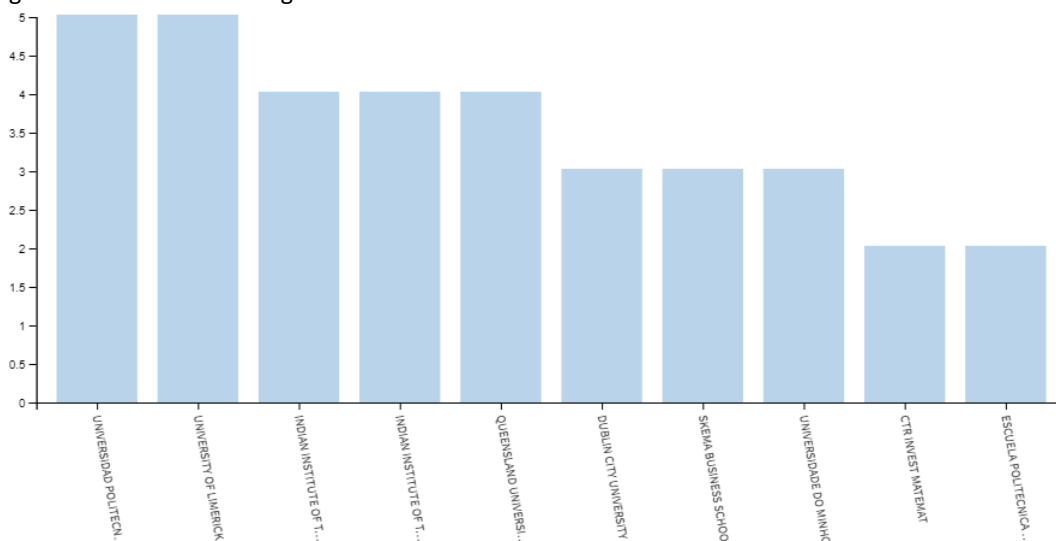


Source: WoS core collection

3.3. Leading productive organizations and countries

There are many contributing organizations in this subject area. Some of them are leading organizations with three, four, or five publications. The graph in figure 3 shows these most productive organizations which are Universidad Politecnica De Madrid, The University of Limerick, Indian Institute of Technology Delhi, Indian Institute of Technology System, and the Queensland University of Technology Qut with an equal number of contributions. Figure 3 shows these contributions in the bar graph.

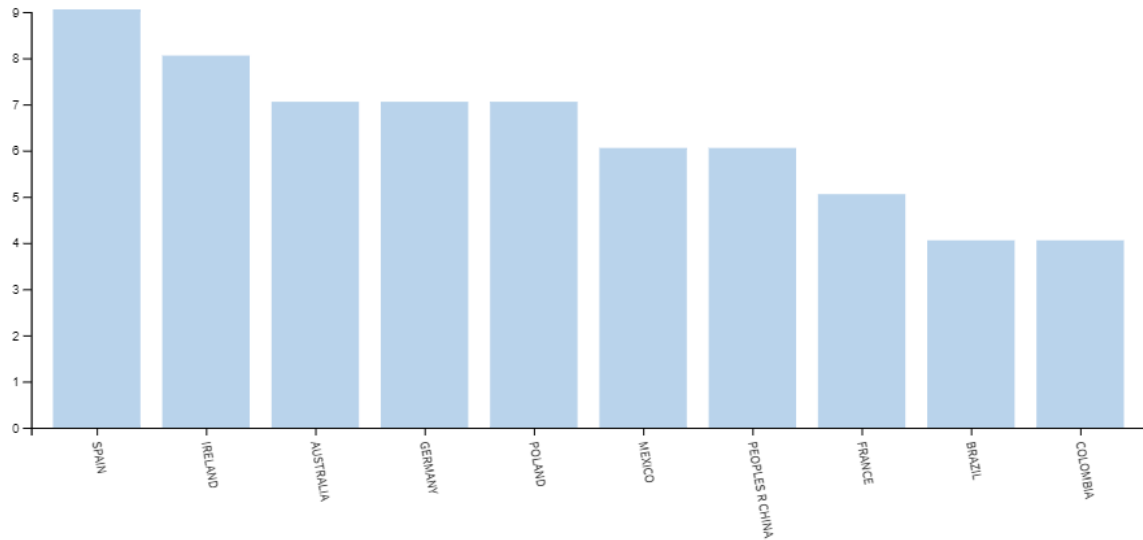
Figure 3:Contribution of organizations in the field of PM in SMEs



Source: WoS core collection

Figure 4 shows the contribution of all countries on the subject. It shows that Spain is on the top of the list and its followers are Ireland and Australia. The top contributor countries are mainly from Europe and the topic got more focus in this region.

Figure3: Contribution of countries in the field of PM in SMEs



Source: WoS core collection

3.4 Co-Authorship and Bibliographic Coupling in the context of countries

The cooperation between the Authors of different countries is shown in the co-authorship graph in figure 4. There is a low level of collaboration between the countries in this study topic. There is just one main cluster with the cooperation of countries which shows the collaboration of Spain. Authors from China, Malaysia, Portugal, Germany, Brazil, Australia, and the USA worked on the subject just intercountry.

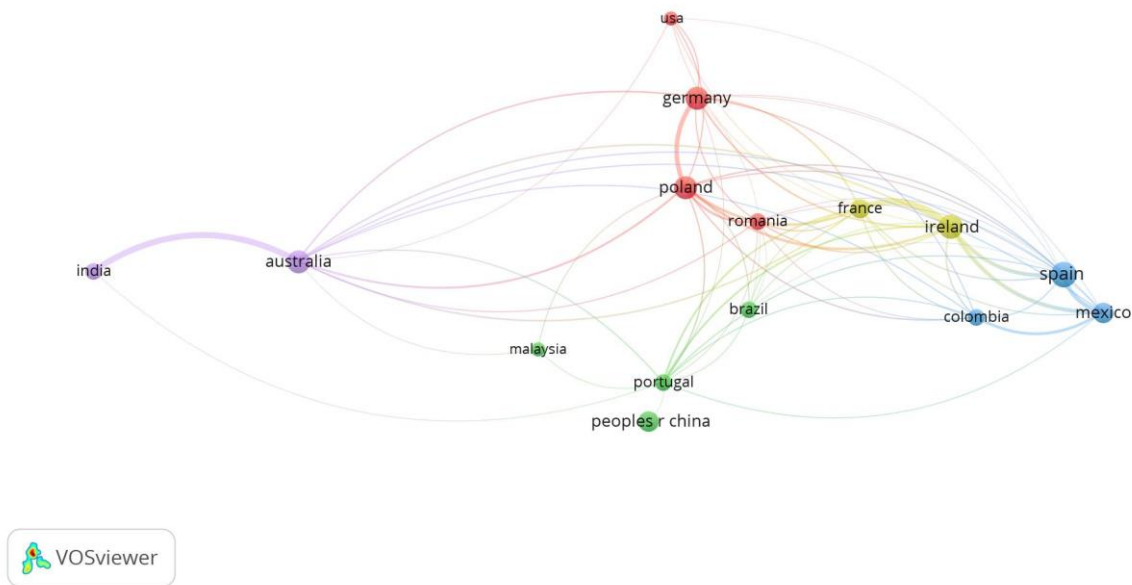
Figure2: Co-Authorship in context of Countries in the field of PM in SMEs



Source: WoSViewer (WoS core collection)

The situation is different in the bibliographic coupling between the contributing countries. The authors from different countries have cited other researchers irrespective of region or nation. Figure 6 illustrates the bibliographic coupling of publication in the field of PM in SMEs.

Figure 6: Bibliographic coupling in the context of countries in the field of PM in SMEs

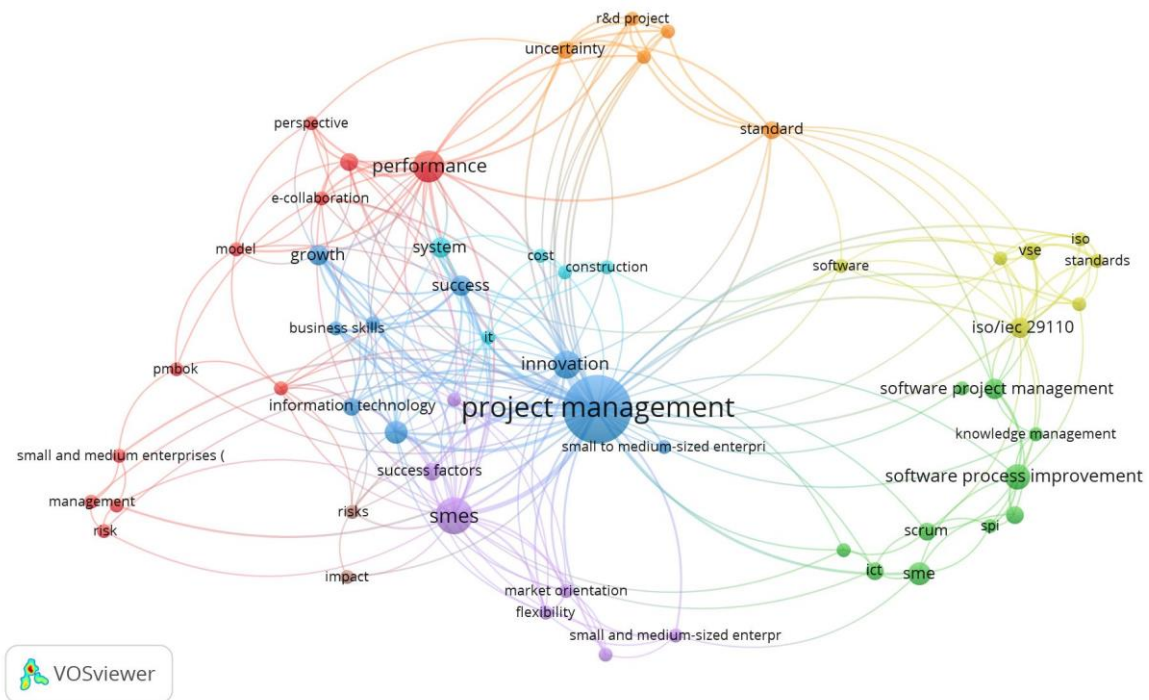


Source: WoSViewer (Data from WoS)

3.5 Keywords Map

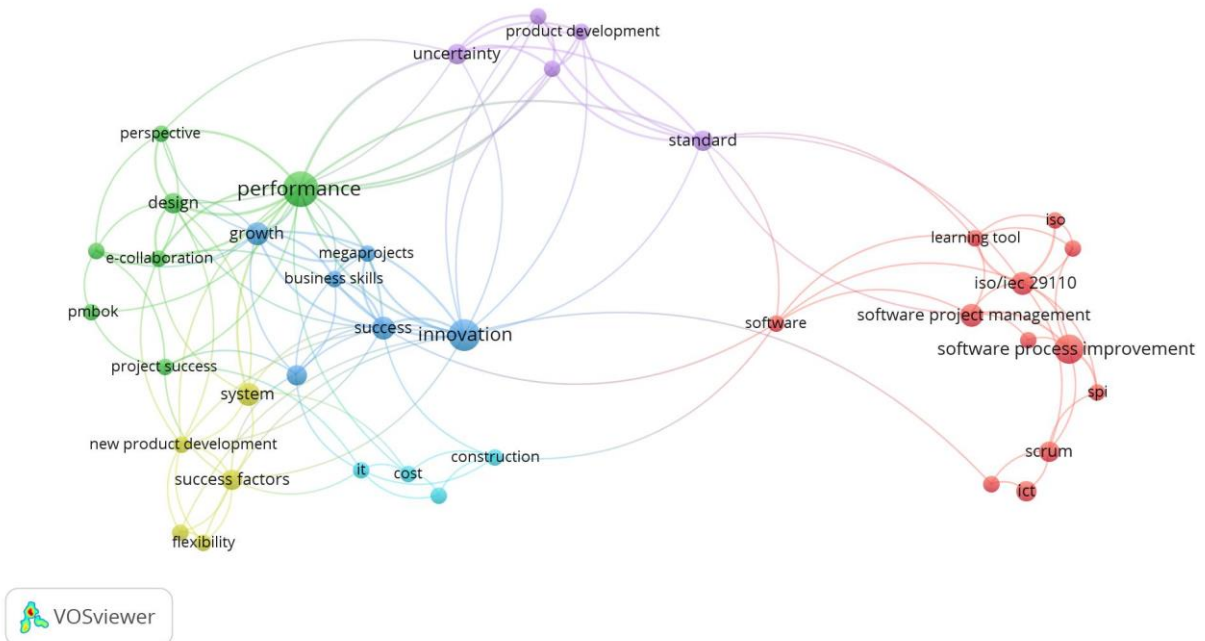
By using the software, publication keywords of the content of the sample publication were analyzed. In this regard, the top keywords with at least two-time occurrences have been selected. Figure 5 shows the top 56 keywords with this criterion. In this figure, the network and the connection of these keywords are shown. The main keywords for this study were “project management” and “SMEs”. The next step was to eliminate the main search keywords because these keywords are the search keywords, hence they appear in most of the publications. To find out the other main keywords of the research area it was needed to eliminate them. Figure 6 shows a new network and connection of the keywords after elimination with a total of 39 keywords. Table 2 shows the clustering of these 39 top keywords, along with the number of occurrences. Performance and innovation are the top two keywords and the following keywords are Software process improvement, project management software, ISO, growth, and success.

Figure 5:56 selected keywords analysis



Source: WoSViewer (Data from WoS)

Figure5: 56 selected keywords analysis



Source: WoSViewer (Data from WoS)

Table2: Keywords Occurrences

Row	Keyword	Cluster	Occurrences
1	Software process improvement	1	6
2	ISO/IEC 29110	1	4
3	Software project management	1	4
4	ICT	1	3
5	scrum	1	3
6	Agile project management	1	2
7	ISO	1	2
8	Knowledge management	1	2
9	Learning tool	1	2
10	Process improvement	1	2
11	Software	1	2
12	SPI	1	2
13	Performance	2	9
14	Design	2	3
15	E-Collaboration	2	2
16	Model	2	2
17	Perspective	2	2
18	PMBOK	2	2
19	Project success	2	2
20	Innovation	3	7
21	Growth	3	4
22	Success	3	4
23	Information technology	3	3
24	Business skills	3	2
25	Megaprojects	3	2
26	System	4	4
27	Success factors	4	3
28	Flexibility	4	2
29	Market orientation	4	2
30	New product development	4	2
31	Standard	5	3
32	Uncertainty	5	3
33	Product development	5	2
34	R&D project	5	2
35	Standardization	5	2
36	Construction	6	2
37	Cost	6	2
38	IT	6	2
39	Training	6	2

Source: WoSViewer (Data from WoS)

4. CONCLUSION

Project management is a branch of social science with various applications. The application of project management is not limited to one industry. On the other hand, small and medium enterprises play a significant role in the current economy. The application of project management in SMEs is investigated in this study. For this purpose, the web of science (WoS) core collection database has been selected as a scientific publication database. Different variations of the two main keywords have been selected. These two main keywords are “project management” and “Small and Medium enterprises”. The data was collected in the second quarter of 2020 and the result was 77 publication. Further analysis was based on these 77 publications. The number of scientific characteristics of publications like the cooperation and collaboration of the authors and contributing countries were analyzed. The number of publications per year does not show any specific trends and the cooperation of countries is very low. The European countries are at the top of contributors with Spain in the first place.

For analysis of publication content, keywords of the sample data were used. The keywords with two-time occurrences were selected as top keywords in the subject. Fifty-six keywords were identified, and the network of these keywords was drawing for a total of fifty-six and reduced thirty-nine keywords. Based on the analysis

of these networks, performance and innovation are two main concepts in the publication and the other following concepts are ISO, growth, and success.

Overall, the low number of publications and the low cooperation rate of the countries proves the high research potential in the subject, which is an important and practical subject. Moreover, the main discussed content is very limited, and it can be expanded to another topic and subject. In conclusion, the high potential in future studies is obvious.

REFERENCES

- Bello, A., Jibir, A., & Ahmed, I. (2018). Impact of small and medium scale enterprises on economic growth: Evidence from Nigeria. *Global Journal of Economics and Business*, 4(2), 236-244.
- Bornmann, L. (2014). How are excellent (highly cited) papers defined in bibliometrics? A quantitative analysis of the literature. *Research Evaluation*, 23(2), 166-173.
- Bužavaitė, M., Ščeulovs, D., & Korsakienė, R. (2019). Theoretical approach to the internationalization of SMEs: Future research prospects based on bibliometric analysis. *Entrepreneurship Sustain*, (2019), 6.
- Huang, Y. W. (2018). Project Management Research in IJPM and PMJ: A Bibliometric Analysis. *International Journal of Innovation, Management and Technology*, 9(6), 217-223.
- Joslin, R. & Müller, R. (2015), Relationships between a Project Management Methodology and Project Success in Different Project Governance Contexts. *International Journal of Project Management*, 33(6), 1377–1392.
- López-Robles, J. R., Otegi-Olaso, J. R., & Porto-Gómez, I. (2018). Bibliometric analysis of worldwide scientific literature in Project Management Techniques and Tools over the past 50 years: 1967-2017.
- Madani, A.E. 2018. SME Securitization in SME Policy: Comparative Analysis of SME Definitions. *International Journal of Academic Research in Business and Social Sciences* 8 (8): 103–114. <https://doi.org/10.6007/IJARBS/v8-i8/4443>.
- Matt D.T., Rauch E. (2020) SME 4.0: The Role of Small- and Medium-Sized Enterprises in the Digital Transformation. In: *Matt D., Modrák V., Zsifkovits H. (eds) Industry 4.0 for SMEs. Palgrave Macmillan, Cham*. https://doi.org/10.1007/978-3-030-25425-4_1
- Mongeon, P., & Paul-Hus, A. (2016). The journal coverage of Web of Science and Scopus: A comparative analysis. *Scientometrics*, 106(1), 213–228. <https://doi.org/10.1007/s11192-015-1765-5>.
- Pollack, J., & Adler, D. (2015). Emergent trends and passing fads in project management research: A scientometric analysis of changes in the field. *International Journal of Project Management*, 33(1), 236-248.
- Radujković, M., & Sjekavica, M. (2017). Project management success factors. *Procedia engineering*, 196, 607-615.
- Rey-Martí, A., Ribeiro-Soriano, D., & Palacios-Marqués, D. (2016). A bibliometric analysis of social entrepreneurship. *Journal of Business Research*, 69(5), 1651-1655.
- Sadkowska, J., Ciocoiu, C. N., Totan, L., Prioteasa, A. L. (2020). PROJECT MANAGEMENT IN SMALL AND MEDIUM ENTERPRISES: A COMPARISON BETWEEN ROMANIA AND POLAND. *Economic Computation and Economic Cybernetics Studies and Research*, 54(1), 197-214.
- Sadkowska, J. (2018), Do Problems in Project Teams Explain the Influence of Family Involvement on Project Management Activities? A Family-Firm Perspective. In C. U. Bilgin M., Danis H., Demir E. (Ed.), *Consumer Behaviour, Organizational Strategy and Financial Economics, Eurasian Studies in Business and Economics* (pp. 145–158). Cham: Springer.
- Sane, S. (2019). Effect of using project management tools and techniques on SMEs performance in developing country context. *International Journal of Managing Projects in Business*, Vol. 13 No. 3, pp. 453-466. <https://doi.org/10.1108/IJMPB-11-2018-0251>.
- Turner, J. R., Ledwith, A. & Kelly, J. (2009), Project Management in Small to Medium-sized Enterprises. *International Journal of Managing Projects in Business*, 2(2), 282–296.

Examining Destination Brand Personality of Albania based on the perceptions of domestic tourists

PhD Candidate Sonila Cela¹

Msc. Mariola Muci²

¹Epoka University, Department of Business Administration, scela@epoka.edu.al, Orcid: 0000-0001-8288-3692

²Epoka University, Department of Business Administration, mmuci16@epoka.edu.al

Abstract: Tourism industry is one of the fastest growing and most competitive industries all around the world. In order to retain a competitive advantage, destination countries are scheming new strategies to come up with unique identities as tourism places. The purpose of this paper is to analyse the concept of brand personality as an essential element of destination branding. The concepts of brand and brand personality are well defined in literature but their application in tourism is quite new therefore DMO-S need to build up their destinations as brands in order to help their positioning and to attract tourists. This is achieved through destination branding and destination personality building practices. Adopting Aaker's (1997) Brand Personality Scale, this paper seeks to identify how locals ascribe personality traits to Albania as a tourist destination country and whether destination personality has positive impact on perceived destination image. Hence this study makes possible the reconstruction of Albanian destination personality through a quantitative research where a questionnaire is used to interview a sample of 200 people, a target group age of 18-45 years old Albanian residents as one of the most active age group making domestic traveling.

Keywords: Tourism, brand, brand personality, BPS, destination.

1. Introduction

Today, destinations are facing a tougher competition than they have ever faced before. All destinations around the world are competing for the tourist attention. In such a highly competitive market, the performance of those tourism destinations depends on the capability to build up effective marketing and management strategies.

The idea of product or brand personality comes from the theory of *symbolism*. It is mentioned that consumers view their ideal products as an extension of themselves, and therefore their purchasing behaviour is stimulated by the symbolic value of the product (Mowen, 1990). In theoretical terms, brand personality reflects the "set of human characteristics associated with a brand" (Aaker J. L., 1997). It evokes emotional links between brands and consumers and gives the latter a tangible reference point, which is vivid, alive, and more complete than the sense conveyed by a generic offering (Upshaw L. 1995).

Faced with growing global competition in which destinations are becoming highly substitutable, destination marketing organizations (DMOs) are in a constant battle to attract tourists. In response, DMOs are increasingly seen to embrace branding initiatives such as the use of taglines and logos to attract visitors and expenditures to their respective destinations (Blain, 2005)

This represents a trend shifting upwards because these practices have led to better understanding of visitor's experience, more tourism awareness created among them and more revenues generated by the hosting countries. Understanding customer's perception towards the destination is very important in building the right marketing strategy for promoting the right places in the proper communication channels in the proper time.

Tourists usually experience emotional connections with the destination they are visiting and to analyse this phenomenon an examination of destination personality through the perception of tourists is highly required. This assists DMO-S in identifying which personality traits of the country should be emphasized more in their marketing effort, where the only goal is to improve visitors experience and increase their satisfaction.

Marketing studies demonstrate that brand personality perceptions can vary across cultures. Different target markets who possess distinct cultural backgrounds undoubtedly have different perceptions about destination personality. By focusing on the case of Albania, a country located in the heart of the Europe, this study will critically investigate and explain some of the main personality traits that these tourist country possess

In order to be able reconstruct the Albanian personality as a destination country it is highly required the creation of a survey which includes several questions about how Albanians perceived their country and what

personality traits they give to Albania. It is worth mentioning that personality perceptions generated from questionnaires or interviews may not unavoidably reflect those originally experienced at the destination.

The overall objective of this study is to critically study the brand and brand personality traits concepts with relation to destination marketing. By building up a brand personality for Albania this paper tends to fully examine those personality traits and their measurement for Albania. The Aaker's Brand Personality Dimensions are referred as a scale for identifying the Brand Personality of Albania.

2. Theoretical Background

2.1 Brand and Destination branding

A brand is a 'name, sign, term, symbol, or design, or a combination of them, intended to identify the goods and services of one seller or group of sellers and to differentiate them from those of competition' (AMA). Still, the brand is more than just a logo or symbol. The definition of a brand has been discussed between numerous authors such as (Aaker D. A., 1996) , (Aaker D. a., 2000) , (Kapferer, 1997) and (Upshaw, 1995). (Kapferer, 1997) see the brand definition from a customer's viewpoint. He states that "a brand is an impression perceived in a client's mind of a product or a service. It is the sum of all tangible and intangible elements, which makes the selection unique. A brand is not only a symbol that separates one product from others, but it is all the attributes that come to the consumer's mind when he or she thinks about the brand. Such attributes are tangible, intangible, psychological and sociological features related to the product." (Kapferer, 1997)

Brand personality and brand image are concepts which are well documented in the marketing and business literature but the application of the branding theories to places, particularly to tourism destination is quite new. The meaning of 'destination brand' is often misunderstood. Destination branding is described as a destination's competitive identity by (Anholt, 2007). In a simpler way the destination brand it's **what makes a place memorable and distinctive** because it tremendously differentiates that tourism destination from all the others. Branding is also represented as a very important indicator in positioning destinations, this for the fact that an increasing number of countries are rapidly emerging as tourism destinations worldwide and each one of them is highly competing for the travellers and tourists attention and visit.

As defined by (Anholt, Handbook on Tourism Destination Branding, 2010) a destination brand refers to the qualities of a place as somewhere attractive to visit. Eventually, a destination brand needs to create an emotional bond with its visitors and what's more important to represents its 'sense of place' to them.

2.2 The meaning and conceptualization of brand personality.

Brand personality, usually refers to the human characteristics related with the brand, product or even place. Brand personality is not a new discovery by the academicians. Firstly the concept of brand personality was mentioned in early 1950s (Gardner, 1995) and has been developed throughout the contribution from different sectors, such as advertising, retail, public relations and communication. The term "brand personality" is supposed to be created by advertisers. Since then, some efforts are made, but regardless the efforts, academicians are struggling in order to create a high-level of awareness among researchers towards the brand personality.

If we go into a deeper analysis of Brand Personality as a theoretical concept it is effortlessly noticeable that there is a relation among brand personality traits and human personality traits. This is because both of these personality traits share almost the same conceptualization but of course that they differ from one another by the way they are formed. Perceptions of human personality traits are inferred on the basis of an individual's behaviour, physical characteristics, attitudes and beliefs, and demographic characteristics (Park, 1986). In contrast, perceptions of brand personality traits can be formed and influenced by any direct or indirect contact that the consumer has with the brand (Plummer, 1985)

These perceptions about personality associated with objects facilitate consumers' interaction with the nonmaterial world (Fournier, 1998)In addition, consumers build up a relationship with a brand based on its figurative value which, in turn, makes the brand alive and very lively partner on their minds

Initially, (Biel, 1993) suggested that brand personality evokes the emotions of the brand but (Aaker J. L., 1997) stated that “brand personality can provide a link to the brand’s emotional and self-expressive benefits as well as a basis for consumer/brand relationships and differentiation”.

So it was Jennifer Aaker an American Social-Psychologist who came up with a clear (brand personality scale – BPS) to measure the brand personality in 1997. Aaker’s work is based on her own perception of – what brand personality is. (Aaker J. L., 1997) defined brand personality as – “(The set of human characteristics associated with a brand)”. She developed her wide known model in 1997 by exploring the brand personality based on 114 traits across 37 brands that covered across all product categories.

This definition has a strong connection with anthropomorphism (transferring the human characteristics to the non-humans). It is a correct supposition of this definition that all human characteristics can be transferred to the brands also. The scale Aaker constructed came up with 5 dimensions with underlying 15 facets of brand personality.

Any human’s personality is affected by external factors such as relationships with friends, relatives or family. Similarly, the personality of the brand can be affected by a numerous factor.

In the practical level, brands can be categorized by personality descriptors, such as energetic, extrovert, youthful, or sophisticated (Keller, 1998) For example, the proper word to describe Apple products is *genuine*, *confident* to describe Zara and *feminine* to describe Chanel perfumes. Correspondingly, tourism destinations can be described using human personality traits

2.3 Aaker’s Brand Personality Scale (BSP)

The BSP scale Aaker developed in 1997 was composed of 5 dimensions with underlying 15 facets of brand personality. Facets are measured by a set of ‘traits’. The trait measures are taken using the Brand Personality Scale (1 = not at all descriptive, 5 = extremely descriptive) rating to point.

First dimension developed was Sincerity and its facets are *down-to-earth* which means being family-oriented and also small town then the next facet is *honest* which includes being real, *wholesome* is in the context of being original, and *cheerful* means being sentimental and friendly at the same time.

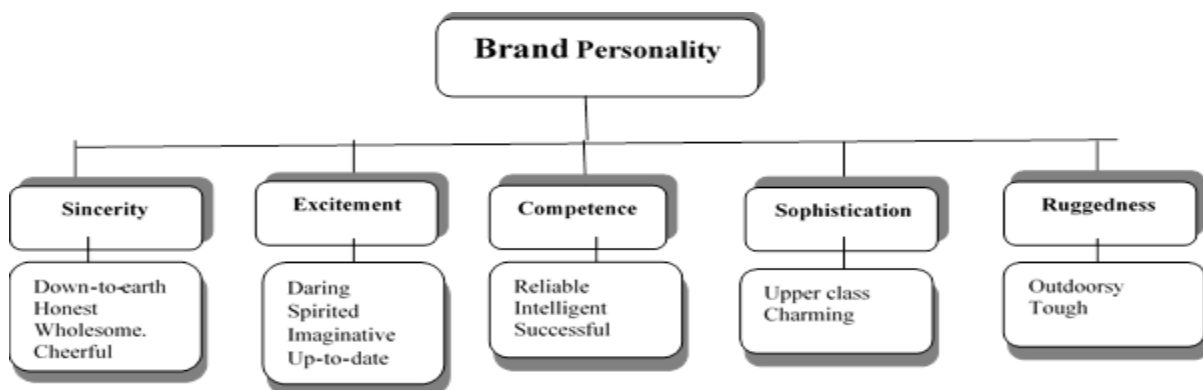
Second dimension developed was Excitement and its facets are *daring* which includes being trendy and exciting then comes the next facet which is *spirited* and this means being cool and young, *imaginative* has to do which being unique and *up-to-date* means being independent and contemporary.

Third dimension developed by Aaker was Competence and its facets are *reliable* which means being hard-working and secure then the next facet is *successful* which includes being a leader and confident and last facet of third dimension is *intelligent*.

Fourth dimension developed was Sophistication which two facets are *upper-class* that means being glamorous and good-looking and *charming* which represents the fact of being feminine and smooth.

The last and fifth dimension of BSP is Ruggedness. *Outdoorsy* is one facet of ruggedness which represents the fact of being masculine or western and the next facet is *tough* which means being rugged.

Figure 1 Aaker's Brand Personality model



2.4 Brand personality of tourism destination countries.

It is accepted that Aaker's (1997) BSP can be used to measure the personality traits that visitors give to destinations they visit. Many researchers while studying destination brand personality has considered the five dimensions of Aaker's Brand Personality Model,

Hosany & Ekinci in their study measured the five dimensions of Aaker's BPS. Some facets resulted to be ineffective because there were no possibilities for them to be used to tourism destinations. The conclusion of their study resulted in a set of 27 facets, which were equally distributed across the three dimension developed by Aaker: **sincerity** (intelligent, sincere, successful, reliable, down-to-earth, wholesome), **excitement** (original, daring, exciting, spirited) and **conviviality** (family oriented, friendly, charming). These dimensions are strongly related to satisfaction, fun and enjoyment. So (Hosany & Ekinci, 2006)study provides strong evidence that the personality traits can be used in visitor's evaluation of destinations they visit.

Jennifer Aaker in her study demonstrates the validity of the brand personality model. The Brand Personality Scale (BPS) developed by her contains five basic dimensions: excitement, sincerity, sophistication, competence, and ruggedness. Similarly, researchers have further broadened the scope of personality model to envelope destinations. So, destination personality is defined as the "human characteristics associated to a place". She was based on 114 personality traits on 37 brands in different product categories by over 600 individual's representative of the U.S. population.

Destinations can be attributed with human personality traits in a direct way through citizens of the nation, hotel employees, and tourist attractions, or merely through the tourist's imagery (Aaker J. L., 1997)Hence, undeniably is admitted that a fixed destination personality can help the destination country to successfully influence the personality which for sure affects the tourist's behaviour and grow the revenues from tourism.

Destination personality is considered as an important element of destination branding, as such is studied for different destination like cities and places. Also many researchers have examined brand personality in relation with image and tourist's behavioral intentions. (Usakli and Baloglu 2011), Another research has examined the relationships among destination brand personality and destination brand image. The study found that four dimensions of the destination brand personality scales (vibrancy, competence, contemporary and sincerity) are significantly related to the destination brand image, while sophistication dimension is not significant in predicting destination brand image (Unurlu, Çiğdem; Kucukkancabas 2011). Papadimitriou at al (2015) found that personality traits of sincerity and excitement are significant in the domestic urban context to influence past visitors' and nonvisitors' overall destination image perceptions. (Papadimitriou, Apostolopoulou, and Kaplanidou 2015). Using Aaker's (1997) brand personality scale, another study examined the brand personality of Latvian cities and evaluated the possibilities of using character traits in brand positioning.(Brencis and Ķikuste 2015). Thus , brand personality studied in relation to image , positioning and touristic behaviours (loyalty) is strongly emphasised as an important component of Destination Branding. Therefore, studying the destination personality of brand Albania gains significance for destination competitiveness and positioning.

2.5 Tourism background in Albania

The tourism industry occupies a key place in the economy and is an important source for the development of the country (INSTAT 2018). If you type on Google: Tourism in Albania you will see plenty of articles from international websites or national ones that give valuable information of what Albania offers to tourists.

Table 1-Domestic Travel Reason-Instat

Why Albanian residents travel within the country?	
Holidays & Free time	24%
Relatives/ friends visits	58%
Business	10%
Others	8%

Albania is considered to be "A New Mediterranean Love" and "Europe's Last Secret" by Lonely Planet.

Who is Albania?

Albania is located in South-Eastern Europe with a 2.94 million population and it is ranked as the 138-th most populous city in the world. It is washed up by the Jon and Adriatic sea in the West. Albania borders Montenegro, Kosovo, Macedonia and Greece.

Albanian most populated cities are Tirana which is also the capital city with 850000 residents then is Durres with 200000 residents and Vlora is the third most populated city.

Albania is defined as the place of majestic snow – capped peaks and unspoiled rugged coastline by ranking it as the number one destination in Europe to be visited in 2011 (Planet).

Tourism attractions in Albania are characterized by archaeological heritage from Illyrian, Greek, Roman and Ottoman times, unspoiled beaches, rocky topography, appetizing traditional Albanian cuisine, unique traditions and what's more important as a country with extremely hospitable people. If you go to the North of Albania the breathtaking view of giant mountains also called as "Bjeshket e Shqiperise" will stick in your mind forever. If you go to the South-West of you will definitely notice the wonderful coastline called "Riviera e Shqiperise". It can be said proudly that there are very few places in the world where mountains, rivers, beaches and historical heritages lie within the borders of one country as in Albania do.

In each and every city of Albania are easily findable some historical roots but what is more important is the fact that Albania is home to two UNESCO world heritage sites. **The first one is Butrint** (Buthrotum), an ancient Greek-Roman city. It is one of the most interesting archaeological places to be visited because still it can be seen the outlines and ancient walls of the prehistorical buildings, statues and amphitheatres also.

Meanwhile Berat is also part of UNESCO world heritage sites. Berat is the most ancient Albanian city, which dates more than 3 thousand years ago. Berat is well known for its architecture and the heritage within it. It is known as the "Town of a Thousand Windows", due to the huge number of windows of the elderly decorated houses overlooking the city.

Taking in consideration the foreign tourists that have arrived in Albania in the period 2014-2018 the arrivals of foreign tourists coming in Albania were approximately 23.6 million. Only during 2018, the arrival of foreign citizens is 15.8% more than 2017. (INSTAT, 2018)

Based on INSTAT statistics foreign citizens entering in Albania, come mainly from: Kosovo (35 %), North Macedonia (11 %), Greece (9 %), Montenegro (6 %) and Italy (7 %).

Meanwhile taking in consideration the Albanian residents travelling within the country, most preferred destinations for touristic or business reasons in Albania for the year 2017 are: Tirana district (28 %), Vlorë district (13 %), Korçë district (11 %). For the year 2017, higher percentage of trips for "Holidays and free time" is registered in Vlore district (35%) (INSTAT, 2017)

3. METHODOLOGY

The framework used in the paper is the BPS of Jennifer Aaker (1997). The personality traits of this framework have been used to set up the survey and to develop an objective analysis of the brand personality of Albania

This study has an investigative nature and its ultimate goal is to investigate, by applying (Aaker J. L., 1997) BPS, whether residents ascribe brand personality characteristics to Albania. The focus of this analysis was to spot what were the experiences people recorded in Albania and furthermore what were their emotions during these experiences. Of course it was essential to implement the Primary Research method in order to gain more information for Albania as a touristic place through the eyes of the residents. The primary research method consisted in structured questions which include the implementation of surveys among Albanian residents. Targeted groups were the residents of the (18-45 years old) group ages. It was an intentional selection because referring to an INSTAT study (INSTAT, Tourism in Figures, 2018) these group ages are the main people who frequent touristic sites of Albania.

The survey was constructed with three sections. One composed by a checkbox question and several multiple choice questions related to personality traits of Albania. This section were designed referring to (Aaker J. L., 1997) BSP scale. The second section aimed the top of mind associations for the main tourism drivers. The responder personal information and demographic section was placed at the ending part of the survey which included age, gender, education level and yearly spending on domestic tourism.

The survey was pretested on a small sample of respondents with the ultimate goal to test the question content, form layout and difficulty level in order to identify and eliminate problems. It was done 3 days before officially starting sharing the survey to the target group. During this time the 10 selected respondents answered the questions and the functionality was checked.

The data collection was conducted online for a period of 10 days.

It's safe to say that the complete anonymity of the respondents was maintained during this process. The sampling method used was the cluster sampling where the target subpopulations were mutually exclusive and still collectively exhaustive. In total were gathered 200 responses from different target group respondents. Target were people from (18-45) years old because they are the main groups who frequent touristic sites of Albania.

4. DATA ANALYSIS.

Upon the data collection, the process of analyses was realized based on the sections of the survey.

Descriptive Summary of the sample demographics

		Percentage %
Gender	Male	44
	Female	56
Age	18-24	38
	25-29	43
	30-45	19
Education	High School	13
	Bachelor Studies	37
	Master Studies	37
	PhD Studies	13
Spending in Domestic Travel in ALL	up to 30,000	19
	30,001-50,000	38
	Over 50,000	43

As it is noted from the descriptive table, 43% of age groups who took the survey were of 25-29 years old because that segment of the population posses extended opportunities to travel and posses the capabilities of proper understanding the touristic offerings of Albania as a result they can make a proper judgement of Albanian brand personality.

As for the education and yearly spending on domestic tourism, these questions were selected to be part of the survey with the only intention to represent a more complete background of the respondents who took the survey. From respondents 37% of sample were graduated in bachelor and master. This indicator helped to understand best their judgement about topic at hand.

Another section of the survey was testing the treats Based on Aaker's (1997) BSP model. The respondents were asked to choose the traits they thought that fit best to Albania from the 25 personality traits provided to him. The table below illustrates the responds people gave. Each person had to select more than one answer that's why table displays the number of responses for each trait. The average of number of respondents is calculated in order to notice the highest ranked dimension. Each of the trait which is mentioned 48 and up is highlighted with blue.

	Trait	Number of Responses	Average
Sincerity	Down to earth	24	37.2
	Wholesome	16	
	Honest/Real	52	
	Confident	22	
	Friendly	72	
Excitement	Daring	0	18.8
	Spirited	0	
	Imaginative	0	
	Up to date/Contemporary	10	

	Young	28	
	Cool	60	
	Trendy	30	
Competence	Reliable	0	21
	Intelligent	48	
	Successful	0	
	Independent	28	
	Hard working	34	
	Secure	16	
Sophistication	Upper class	0	17
	Glamorous	30	
	Charming	16	
	Feminine	6	
	Smooth	30	
Ruggedness	Rugged	20	34
	Masculine	48	

As it is illustrated in the *figure 9* the 25 personality traits of Aaker BPS were selected: Friendly, Cool, Real, Masculine, Intelligent, Hard-working, Glamorous, Smooth, Trendy, Young, Independent, Down-to-Earth, Confident, Rugged, Secure, Wholesome, Charming, Contemporary and Feminine. The statistics show that “Friendly” was the most selected personality trait for Albania by 72 of respondents which by Aaker’s model is related to **Sincerity** then comes Cool selected by 60 of them which is related to **Excitement**, Real was selected by 52 respondents and it was related to **Sincerity** and Masculine by 48 related to **Ruggedness** dimension.

DESCRIPTIVE STATISTIC ANALYSIS

Mean	15.5
Standard Deviation	8.8
Mode	15.0
Median	14.0

By developing descriptive statistics analysis such as below it was found the mean, median, mode and standard deviation of the personality traits. We observe that standard deviation is lower (8.8), therefore, most of the numbers are close to the mean (15.5) which means that answers were similar to each other so there were no so much variety among the answers.

The aim of this study is to build up the brand personality of Albania as a whole picture and in order for this picture to be completed it was needed a deep analyse of some of the most important touristic components of the country. Another section of the survey asked the brand associations related to the touristic components. After selecting 5 most essential touristic components of Albania some literature review was done in order to be able to identify various keywords used for those components which were created by the tourism specialists, academicians and ordinary people.

1	1	1
2	2	2
3	3	3
4	4	4
5	5	5
6	6	6
7	7	7
8	8	8
9	9	9
10	10	10

The first touristic component selected is **Albanian touristic attractions** and its keywords were: Colourful, Outdoorsy, and Explorative.

As the figure shows, the most appropriate word to describe attractions of Albania by 42% of the residents was Outdoorsy. This personality trait corresponds to Aaker BSP (1997) Ruggedness

Albanian Architecture was the second component of tourism and the 3 most used keywords for architecture were: Ancient Rooted, Uniform, and Modern. Statistics show that 36 % of respondent's judge Albanian architecture as Uniform. This may have come as a result of Communist regime that Albania had for years. Uniformity can be related with being secure and this represents **Competence**

Albanian Culture is another very important touristic component and referring the statistics Albanian cultures is defined by the majority of residents with 44% as Patriarchal. Since patriarchal denotes a system of society mostly controlled by men it means that Masculine dimension fits perfectly to the Albanian Culture which is facet of **Ruggedness**.

One of the touristic components that should be missed is the **Albanian Nightlife** since in Albania the frequentation of the nightlife is like a "must" for everybody. The statistics show that 39% of 100 respondents think that the nightlife except of being Unruly and fancy is most of the time Vibrant and this is connected with being **excited** or somehow spirited by Aaker.

The last component taken in analysis is the **Albanian Cuisine**. The most frequent keywords used for cuisine were Contemporary, Traditional and Internationally Influenced. But respondent's judgements about this component are that Albanian cuisine is very traditional. Based in Aaker model traditionalism is connected with **Sincerity**.

5. Conclusions and Discussions

This paper aimed to examine and analyse the brand personality concept developed by J. Aaker, in tourism industry in order to see if it was relevant for destinations also. By understanding what tourism personality truly represents I was capable to build up the tourism personality of Albania based on national resident's judgement for the topic at hand.

After making the analysis of the theoretical background of the topic, the survey created helped a lot to jump into conclusions. The findings of the survey supported Aaker's Brand Personality Scale (BPS) and showed that her study is very compatible with Albanian personality as a destination country. Majority of Albanian respondents could ascribe to Albania **three of five personality dimensions** developed by Aaker and they fitted completely to Albania as a destination country. Three main personality traits that could best describe Albania in Albanian resident judgements were: *Sincere, Rugged and Excited*.

The research is open to questioning and of course that some difficulties were faced for obtaining the proper information needed. One of the limitations for this study was the lack of the scientific studies related to Albanian tourism components. It was faced some difficulty in finding the proper Albanian literature where this paper would be based on. So as for limitations is safe to mention that the survey in English language was an issue. The fact is that respondents weren't familiar with some of the personality traits used in the survey so the pretesting phase helped a lot in understanding what to do better in order to get the valid results.

Based on previous researchers also mentioned in study background the destination personality is a relatively new topic which is being developed. Even though, in this paper I managed to built up the destination personality of Albania by collecting responses of Albanian citizens as a target group.

The findings of this study were very interesting and relevant. DMO-s should take into consideration these kinds of studies in order to develop more the scope of marketing process of the touristic places. By doing such an analysis these organizations would have a deeper understanding of the destinations and would be able to create more meaningful and impactful marketing campaigns. Therefore, the foreign tourists and the native residents would be more willing to visit places and as a result more "tourism dollars" would be generated.

REFERENCES

- Aaker, D. A. (1996). *Building Strong Brands*. New York: Free Press
- Aaker, D. and Joachimsthaler, E., (2000) "Brand Leadership" – The Free Press – New York.
- Aaker, J. L. (1997). "Dimensions of Brand Personality." *Journal of Marketing Research*, 34:347-56.
- Anholt, S.: *Handbook on Tourism Destination Branding*, World Tourism Organization, 2010
- Anholt, S (2007) 'Competitive Identity: A new model for the brand management of nations, cities and regions', *Policy & Practice: A Development Education Review*, pp. 3-13.
- AMA (American Marketing Association) retrieved from <https://www.ama.org/resources/Pages/Dictionary.aspx?dLetter=G>
- Biel, A. L. (1993), *Converting Image into Equity. Brand Equity & Advertising: Advertising's Role in Building Strong Brands*.
- Blain, C., S. E. Levy, and B. Ritchie (2005). "Destination Branding: Insights and Practices from Destination Management Organizations." *Journal of Travel Research*, 43 (4): 328-38
- Brencis, Ainārs, and Naura Ķikuste. 2015. "Brand Personality in Positioning of Latvian Cities." XVI Turība University Conference Towards Smart, Sustainable and Inclusive Europe: Challenges for Future Development, 42.
- Fournier, Susan. (1998). *Consumers and Their Brands: Developing Relationship Theory in Consumer Research.. Journal of Consumer Research*. 24. 343-73.
- Gardner, B. B. and Levy, S. J. (1955) 'The Product and the Brand', *Harvard Business Review* 33: 33–59.
- Hosany, Sameer & Ekinci, Yuksel 2006. "Destination image and destination personality: An application of branding theories to tourism places," *Journal of Business Research*, Elsevier, vol. 59(5), pages 638-642, May.
- INSTAT Institute of Statistics [Albania]. (2016) retrieved from <http://www.instat.gov.al/media/4609/tourism-in-figures-2018.pdf>
- Kapferer, Jean-Noël. (1997). *Strategic brand management: new approaches to creating and evaluating brand equity*. New York : Free Press ; Toronto : Maxwell Macmillan
- Keller, K. L. (1998). *Strategic Brand Management: Building, Measuring and Managing Brand Equity*. Upper Saddle River, NJ: Prentice Hall
- LONELY Planet retrieved from <https://www.lonelyplanet.com/albania>
- Mowen, J. C. (1990). *Consumer Behaviour*. 2nd ed. New York: Macmillan.
- Park, Bernadette (1986), "A Method for Studying the Development of Impressions of Real People," *Journal of Personality and Social Psychology*, 51 (5), 907-917.
- Pike, S., and C. Ryan (2004). "Destination Positioning Analysis through a Comparison of Cognitive, Affective, and Conative Perceptions." *Journal of Travel Research*, 42 (May): 333-42.
- Plummer, Joseph T. (1985), "Brand Personality: A Strategic Concept for Multinational Advertising," in *Marketing Educators' Conference*, New York: Young & Rubicam, 1-31.
- UNESCO retrieved from <https://whc.unesco.org/en/statesparties/al>
- Unurlu, Çiğdem; Kucukkancabas, Selin. 2011. "The Effects of Destination Personality Items on Destination Brand Image." *International Conference on Eurasian Economies 2013*, 83–88.
- Upshaw L. 1995. *Building Brand Identity: A Strategy for Success in a Hostile Market Place*. New York: Wiley.
- Usakli, Ahmet, and Seyhmus Baloglu. 2011. "Brand Personality of Tourist Destinations: An Application of Self-Congruity Theory." *Tourism Management* 32 (1): 114–27. <https://doi.org/10.1016/j.tourman.2010.06.006>.

The Role Of Development Banks To Support Small And Medium Business

Teodora Popova ¹

Mariana Vergieva, PhD

¹PhD student, University of agribusiness and rural development, Plovdiv

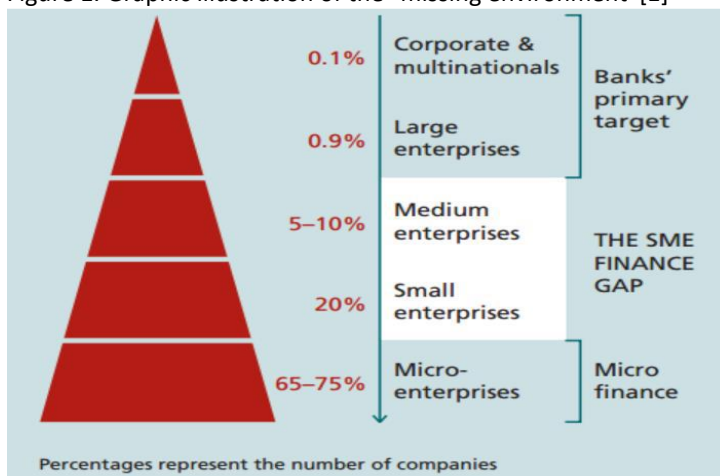
Abstract: The role of development banks grew in the early nineteenth century. Most often, their strategic goals have the function to encourage and stimulate the activities of small and medium-sized businesses. In this role, development banks are proving to be more mobile and efficient than traditional commercial banks. This is because development banks are most often state-owned banks and this helps them to show more flexibility and maneuverability in financing small businesses. countries and focuses on the activities of the Bulgarian Development Bank

Introduction

Most often, the mandates of development banks provide for them to support small and medium-sized businesses.

In the SME sector, there are "market failures" that manifest themselves in the form of large discrepancies between the demand for financial resources and their supply by commercial banks (De Mel et al., 2011). The International Finance Corporation (IFC) estimates that such a financial gap outside high-income countries is estimated at \$ 700-850 billion. This phenomenon is called the "missing middle" and is a consequence of a situation in which large companies have unimpeded access to credit products in local banks and international capital markets, and the resource needs of small companies are obtained by non-bank microfinance organizations, while their financial needs are somewhere in the middle and are not met (Fig. 1).

Figure 1. Graphic illustration of the "missing environment"[1]



1. Preconditions for the intervention of development banks in lending to small and medium-sized businesses

In general, for the economies of many developed and developing countries, the SME sector is key and represents over 50% of GDP - in the US and UK - 50%, Brazil and China - 60%, Germany - 79%, Italy - 80%. SMEs in Bulgaria contribute to 75% of employment (68% in the EU) and 62% of value added (58% in the EU) [2]. Along with this circumstance, one can look for preconditions on the part of the so-called "Market failure". When lending to small and medium-sized enterprises, commercial banks face a number of problems that explain the existence of "market failures" in this segment:

- small and medium-sized enterprises operate in a competitive environment and are extremely unstable compared to large companies, which implies significant instability in the profits of small and medium-sized enterprises and a high probability of default for this group of borrowers.
- Loans to small and medium-sized enterprises are associated with high transaction costs per unit of credit because lending costs are relatively high and the amount of loans is small.

- Banks face the problem of providing long-term capital for small and medium-sized enterprises, as commercial banks often do not have access to long-term financing in developing countries and therefore rely on short-term liabilities (deposits). By issuing long-term loans to borrowers, banks take risks due to discrepancies in the terms of repayment of loans and deposits.

- The risks for small and medium-sized enterprises vary for different companies, their high diversity complicates the process of assessing financial risks by commercial banks. Therefore, commercial banks need special technologies to provide various credit products for small and medium-sized enterprises. Their lack means that banks try to avoid the market of small and medium enterprises and invest in highly profitable government debt.

- Imperfect and asymmetric information between lenders and borrowers resulting from the non-transparency of SMEs has a negative impact on this segment of the credit market.

The participation of the state is important for solving this problem. Several macroeconomic arguments in favor of state support for the SME sector have been put forward in the scientific literature:

1. SMEs increase competition and therefore have positive externalities on efficiency, innovation and overall productivity growth across the country.

2. SMEs are more productive than large companies, but institutional barriers and "market failures" hinder their development.

3. The development of SMEs leads to more job creation than large companies, as they are mostly labor-intensive. There are also researchers who do not accept all the arguments of the above statement.[3]

In industrialized countries, there is a long tradition of providing subsidized loans and grants to all types of SMEs in order to increase their competitiveness. To address the effects of the recent global financial and economic crisis of 2007-2009 and the outbreak of the Great Recession, many countries have made further efforts to support the SME sector, which has been significantly affected by the declining phase of the credit cycle. For example, in the United States, a special law is being passed - the Small Business Jobs Act, focused on increasing lending to small businesses. The European Central Bank's Long Term Refinancing Operation (LTRO) program also aims to stimulate bank lending to the SME sector [4]. Such support for the SME sector should not be temporary, but systematic, which would guarantee the work of institutions such as BR, for which the development of the SME sector is a key area (it accounts for an average of 20-25% of the BR loan portfolio).

Of course, we are talking about universal BR, ie. financial institutions whose activities are not aimed at supporting a particular sector of the economy or for categories of economic agents. BRs provide mainly financial support to SMEs through intermediary financial institutions providing an "intermediate loan". Among the BRs that directly finance SMEs are, for example, the Bulgarian Development Bank, the National Development Bank of Botswana, the Brazilian Development Bank (Banco Nacional de Desenvolvimento Econômico e Social, BNDES) and the Korean Development Bank.

Commercial banks are considered to be typical intermediaries in the credit market for enterprises. Although among them there may be so-called infrastructure organizations, such as leasing and factoring companies, microfinance organizations and investment funds. This model of development of the SME lending sector is attractive in that when it operates, BRs not only do not compete with private players, but also refer the procedure for determining and monitoring the risk to the competence of commercial banks. Lending to SMEs directly from the BR would be associated with significant additional costs - both labor and capital costs, and costs for the development of specialized methodologies, mainly in the field of SME risk assessment.

2. Concepts of interaction between development banks and partner banks

In the mechanism of interaction between BR and partner banks it is necessary to distinguish two main concepts: selection of partner banks and selection of methodology for selection of partner banks.

The selection of BR partner banks should be understood as a process of interaction between the partner banks and the development bank. This process includes: the application procedure for a potential partner bank; the analysis of its financial condition; the decision of the BR on the allocation of funds to a commercial bank for purposes favorable to economic development and the establishment of credit limits for the partner bank.

The choice of methodology for selection of partner banks means a set of criteria and models that allow the development bank with a high degree of reliability to decide on the possibility of granting financing to a commercial bank.

The criteria for selection of partner banks in the different BRs differ. It can be said that the main ones are:

- A. Existence of an audit.
- B. Current long-term credit ratings of the bank.
- C. Acceptable level of capital adequacy ratio and compliance with prudential standards established by the Central Bank.
- D. Experience in working with the SME segment.
- E. Disclosure of the ownership structure.
- F. Positive business reputation of the bank and its owners (the bank's management).

It is important to note that the exact criteria for selection of BR partner banks are subject to bank secrecy. Information on the criteria set by the Black Sea Trade and Development Bank (BSTDB) is the application form for partner banks, published on the bank's website.[5]

As BRs are hybrid institutions, an important criterion for them is the presence of a positive effect on the development of the economy of a certain region from the activities of the partner bank, its social responsibility and others. At the same time, the main target audience in the segment of lending to SMEs for BR are regional banks, they have a comparative advantage in the collection and use of inaccurate information (soft information, ie information about a borrower that is incorrectly reflected in its financial statements). as they have fewer levels of governance than large banks with a complex hierarchical structure. In addition, they are territorially close to their borrowers and have strong local ties.[6]

Due to the use of an individual approach to non-transparent borrowers from small and medium-sized banks, SMEs also have a rather low mobility to change the servicing bank. This is also reflected in the conditions / costs for financing by them. A number of authors.[7] have found that SMEs with long-term banking relationships borrow at lower interest rates and provide collateral in fewer cases

For small banks, BR financing is particularly important, as this category of banks has very limited opportunities to enter the capital markets. For this category of banks, cooperation with BR (especially with extremely demanding international partners) means reducing the asymmetry of information for other investors and proving their own reliability, which in the future may lead to improved access and conditions for attracting external financing.

For some commercial banks, the interaction with BR is also strategic: they start to be financed by several financial institutions at once, especially since the requirements for partner banks in many BRs are similar, which leads to a decrease in the marginal cost of obtaining a new credit line. the partner bank. In addition, some BRs (mostly international) have a mandate to develop the financial sector, in connection with which they can not only provide loans to certain categories of borrowers and investments for certain purposes, but also distribute subordinated loans and also invest in equity capital. In the conditions of underdeveloped capital markets in many countries, the activity of BR gives a significant advantage for the partner bank

BR's joint work with both large state-owned banks and branches of foreign banks (and banking groups) establishes advantages for BR, which are expressed in the fact that large state-owned banks have high reliability, low risk and state protection. .

In addition, the level of technical support from BR experts required for large banks is usually minimal. In such a case, competition may arise between BRs and private players, as large banks are not financially constrained institutions and have wide access to alternative sources of financing, such as bond loans. The financing of large state-owned banks fits in well with Peter Bauer's criticisms of development aid in general: "It's a great way to transfer money from poor people in rich countries to rich people in poor countries,"[8] which shows that institutions for development they must allocate funds between the categories of economic agents with extremely limited access to external financing. It is important to note several reasons determining the benefits for large / foreign banks from cooperating with BR. For some BRs, the main advantage is the low (subsidized)

cost of financing. Regarding the possibility of cooperation with BRs, which provide financial resources at market prices, large and foreign banks have the opportunity to:

- diversify sources of funding;
- raise funds in times of economic downturn (when the supply of external loans by economic agents is reduced, but not in BRs that have counter-cyclical policies);
- maintain relationships with BRs (this may be important for this category of banks, as they often act as BR partners in syndicated transactions).

The financing of SME support programs by BRs is carried out both in national (for these purposes international BRs are becoming more active in issuing bond loans in the national currencies of the countries) and in foreign currency in the form of loans or credit lines, and interest rates can be fixed or floating. Depending on the value, they can also be subsidized on the market. In addition, loan agreements often prescribe a grace period for the partner bank to pay interest. The standard term of credit agreements is 5-7 years.

To reduce the likelihood of adverse selection and moral hazard, BRs closely monitor both the targeted spending of funds (for example, through specialized forms for reporting the loan portfolio / separate loan transaction) and the condition of the partner bank through agreements.

Agreements (conventions) (from English "covenant" - agreement, contract) - these are special conditions contained in the loan agreements of BR with partner banks, aimed mainly at preventing the so-called (cases of default - "events of default"). In the practice of financial markets, such conditions are found not only in credit transactions, but also in the issuance of bond loans. In case of breach of the agreement (convention) by the partner bank, BR has the right to request early repayment of the loan, which in practice is extremely rare. In addition, lenders may require accelerating the repayment of the loan, reviewing the terms of the loan agreement, and imposing restrictions on the granting of new loans.[9]

On the positive side of the agreements is that, as Burley and Mester [10] point out, they provide for the possibility of reviewing the terms or early repayment of loans due to breach of agreement, which allows for the effectiveness and flexibility of financial contracts.

It is noted in the financial literature that in practice contracts may include restrictions on changing the structure of owners, a ban on mergers, maintaining the composition of management, regular submission of financial statements and more. Typically, financing agreements relate to the activities of the partner bank as a whole, for example, capital requirements are set.

The successful role of BR in supporting SMEs is the number (share) of partner banks that continue to provide financial support to SMEs from own funds or other sources of external financing after the expiration of a loan agreement with BR, which shows the sustainability of support for SMEs of partner banks. Therefore, some BRs offer additional advisory support that allows partner banks to reduce the risks of potential borrowers, to better identify their needs and develop products for them, as well as to establish long-term relationships with the most attractive SMEs. The assistance of BR in this process is important, because when concluding an agreement with BR, the departments of the financial institutions of BR and the department of partner banks often interact without the direct participation of the SME Lending Department (if any).

Thus, an internal institutional barrier arises within the bank - a kind of "Chinese wall", when credit experts, especially in regional offices, do not always understand exactly what product they should offer to borrowers, and this hinders the promotion of credit products for SMEs and the use of credit lines from BR.

The ultimate goal - the formation of a sustainable product - can be achieved if BR provides a certain time limit for the terms of interaction with one or another financial institution, after which the partner bank becomes an independent institution from BR, at least for individual products.

According to the official report of the European Commission and based on the ten basic principles of the Small Business Act in the EU - Small Business Act (SBA), small and medium enterprises (SMEs) are the most important part (99.8%) of the economic structure of Bulgaria. They provide 65.2% of value added and 75.4% of employment in our country, which is significantly above the EU average - 56.8% and 66.4% respectively. SMEs in Bulgaria employ an average of 4.4 people, compared to 3.9 in the EU as a whole. In 2019, the number of jobs in SMEs is expected to increase by about 46,500. The implementation of the SBA in Bulgaria shows results that are below the EU average in some of the basic principles. The data show that the weakest performance of our

country is in the field of entrepreneurship, "responsive administration", the environment and skills and innovation. The indicators for state aid and public procurement, access to finance, the single market and internationalization are in line with the EU average.

In terms of access to finance for SMEs, the results are in line with the European average. The main challenge for Bulgarian SMEs is to overcome the losses from bad loans, measured as a percentage of total turnover, which increased from 3.6% in 2016 to 4.1% in 2017. According to this indicator, our country is one from the worst performing among EU member states.[11]

Banks' willingness to lend has improved, leading to lower interest rates on loans. Bulgaria's performance in capital financing for new and developing companies for the last two years decreased from 3.2 to 2.8 points. SMEs in our country lag behind in terms of access to alternative sources of funding, such as "crowdfunding" and "business angels". Venture capital remains underdeveloped, with investments declining from 0.02% of GDP in 2009 to a negligible amount in 2017, making Bulgaria one of the worst-performing Member States. The participation of Bulgarian SMEs in European programs managed by the European Commission and the EU, with direct application in Brussels (Horizon 2020, COSME, Erasmus +, Creative Europe, Life, Interreg), is still extremely weak.

Several initiatives have been taken to improve SMEs' access to finance. These include:

- The Law on Payment Services and Payment Systems creates a regulatory framework that includes specific requirements for payment service providers, especially online, to limit and control the risks associated with payment security.
- The Juncker Plan Loan Program aims to increase SME financing opportunities with a guarantee mechanism and counter-guarantee through the Small and Medium-sized Enterprises Competitiveness Program (COSME).
- The National Guarantee Fund 2017/2018, providing guarantees on loans up to BGN 1 million. Only new loans for SMEs, including start-ups, are eligible for the program. These loans are granted for both working capital and investment needs. Also included are loans for the implementation of projects under the operational programs and the rural development program for the period 2014-2020.
- Amendments to the European Structural and Investment Funds Management Act ensure that the principle of financial management applies to national co-financing programs.

Conclusion

Development banks have great opportunities to support small and medium-sized businesses. This role is also part of the mandate of the Bulgarian Development Bank as a central task. There are opportunities in this direction and they must be used effectively. The experience of most development banks in the world proves it. Good initiatives have been taken in our country to improve the access of SMEs to appropriate financing. The Bulgarian Development Bank has already gained good experience over the years in working with commercial banks through various guarantee instruments, which is a guarantee for the continuation of the flow of liquidity to small and medium-sized businesses in the country.

References

- [1] The SME Banking Knowledge Guide/IFC Advisory Services. 2009. P.11.
- [2] Nacionalna Strategiya za nasarchavane na malkite I sredni predpriyatiya 2014-2020 MEE, 2013
- [3] Beck T. SME Finance: (2010) What have we learned and what do we need to learn? The Financial Development Report. World Bank. No. 10. p.95.
- [4] Beck T., Degryse H., De Haas R., von Horen N. When Arm's Length is too Far. Relationship banking over the credit cycle. SRC Discussion paper No. 33. (2015). p.58 p.
- [5] Questionnaire on the website of the Bank :http://www.bstadb.org/publications/BSTDB_QUESTIONNAIRE_TF_Sept_10.pdf (seen on 03.06.2019 r.).
- [6] Mester L., Nakamura L., Renault M. (2005). Checking accounts and bank monitoring. Federal Reserve Bank of Philadelphia. No.5-14.. 38 p.
- [7] Berger A., Udell F. (1995) Relationship lending and lines of credit in small firm finance // Journal of Business. No. 68(3). p. 351.
- [8] A voice for the poor /The Economist. May 2002. <http://www.economist.com/node/1109786> (seen on 06.06.2019 r.)

- [9] Roberts M., Sufi A. (2009) .Control Rights and Capital Structure: An Empirical Investigation // The Journal of Finance. — Vol. LXIV(4). p. 1657.
- [10] Berlin M., Mester L. (1992). Debt covenants and renegotiation/Journal of Financial Intermediation. Vol.2. p. 95.
- [11] <https://ubclubs.eu/анализ-на-развитието-на-мсп-в-българия> (seen on 1.08.2019)

Film İzleyicisine Yönelik Pazarlama Halkla İlişkiler Uygulamaları

Ayşe Babayağmur Apa¹

Prof.Dr. Filiz Balta Peltekoğlu²

¹ Marmara Üniversitesi / Sosyal Bilimler Enstitüsü, Halkla İlişkiler Bölümü Doktora Öğrencisi,
ayseapa@marun.edu.tr, ORCID: 0000-0002-2445-9276

² Marmara Üniversitesi / İletişim Fakültesi, Halkla İlişkiler Bölümü,
filiz@marmara.edu.tr, ORCID: 0000-0001-6667-1737

Özet: Kimilerince pazarlama, kimilerince halkla ilişkiler disiplinine dahil olması gerektiği düşünülen pazarlama halkla ilişkileri, kimi akademisyenlerce yeni bir disiplinin doğuşu olarak değerlendirilir. Thomas Harris pazarlama halkla ilişkilerini pazarlama amaçları doğrultusunda halkla ilişkiler strateji ve taktiklerinin uygulanması olarak tanımlar. Pazarlama halkla ilişkilerinin amacı farkındalık yaratmak, satışı teşvik etmek ve tüketicilerle markalar arasında iletişimi kolaylaştırmaktır. Bir filmin pazarlama halkla ilişkileriyle, izleyicilerin filmle ilgili bilgi edinmesini sağlamak ve farkındalık yaratarak izleyicileri filmi izlemeye motive etmektir. Modern yönetim teorisyenleri tüketici memnuniyetini pazarlama konseptinin merkezine yerleştirmiştir. “Tüketici kraldır” felsefesine göre tüketicilerin öncelikle ne istediğinin ortaya konulması büyük önem taşır. Bununla beraber konu sanat, kültürel ve yaratıcı endüstriler olunca, tüketiciye merkeze yerleştirmek kimi itirazları da beraberinde getirmektedir. Bu çalışmanın çıkış noktası izleyicinin ve pazarlama halkla ilişkilerinin film endüstrisinin neresinde konumlandığıdır. Film endüstrisinde gişe beklentileri doğrultusunda hedef kitlenin ilgisini çekebilecek tür ve konulara, “marka” karakter, oyuncu ve yönetmenlere, internet fenomenleri ve “influencer”lara yatırım yapılmakta, hedef izleyiciye ulaşabilmek için hem geleneksel hem de yenilikçi halkla ilişkiler stratejileri çizilmektedir. Üstelik yeni iletişim teknolojilerinin getirdiği olanaklar pazarlama halkla ilişkilerine yepyeni uygulamalar sunmakta, sınırsız hayal gücü, sosyal medyanın sınırsız olanaklarıyla buluştukça, yepyeni kanallar doğmakta, var olanlar popülerliğini hızla kaybedebilmektedir. Bununla birlikte sosyal paylaşım ağlarının filmlerin pazarlama halkla ilişkilerinde çok etkin olduğu, hatta geleneksel medya kanallarına ayrılan finansal ve insan kaynağını daralttığı dikkati çekmektedir. Çalışmada konu üzerinde bugüne kadar yapılan nicel araştırmalar, çeşitli kurumlarca hazırlanan raporlar ve boxoffice verilerinden derlenen istatistiksel analizlerinin yanı sıra; yapımcı ve yönetmenlerle derinlemesine mülakatlara dayanan nitel araştırma yöntemi izlenmiştir. Örnekleme, evrenin çeşitliliğini ve farklılığını yansıtmaya yönelik amaçlı örnekleme yöntemiyle belirlenmiş, filmleri bir milyon seyircinin üzerinde izlenen yönetmenlerin yanı sıra, ana akım sinemada daha küçük çaplı prodüksiyonlar gerçekleştiren yönetmenler ve festivallere yönelik filmler üreten bağımsız yönetmen ve yapımcılara da yer verilmiştir. Mülakatlardan elde edilen veriler betimsel analiz yöntemleriyle özetlenmiş ve metin içerisinde verilen savları destekleyecek şekilde yerleştirilmiştir.

Anahtar Kelimeler: Film Endüstrisi, Pazarlama Halkla İlişkileri, gişe, sinema, izleyici

GİRİŞ

Küreselleşme toplumsal, ekonomik ve politik işleyişi dönüştürürken bir yandan da kültürel işleyişi derinden etkilemiş, yeni iletişim teknolojileri ise küresel kültürün yayıncısı, dönüştürücüsü ve dağıtıcısı konumuna gelmiştir. Teknolojik gelişmelerin iletişim dünyasına yansımaları ve sosyal medyanın doğuşu, kurumların insana, paydaşlarına, kamuoyu beklentilerine, iletişim ve halkla ilişkilere bakışlarını yeniden şekillendirmiş, halkla ilişkiler araç ve yöntemlerini önemli ölçüde etkilemiş, pazarlama anlayışlarını değiştirmiştir. Amerikalı iletişim uzmanları Jay Conrad Levingston ve Micheal Levine’in geleneksel uygulamalardan ayırmak için “gerilla halkla ilişkiler” olarak niteledikleri “post” halkla ilişkiler ve pazarlamada, kitlesel uygulamalardan uzaklaşmış, bilişim teknolojilerinden yararlanmak vazgeçilmez olmuştur (Asna, Halkla İlişkiler Eğitiminde Yeni Yaklaşımlar, 2008). Öte yandan geleneksel pazarlama ve halkla ilişkiler uygulamaları da değişerek, birbiriyle yondeleşmiş; ayrılmaz bir bütün olmuştur. Bu çalışmanın odaklandığı film endüstrisindeyse, halkla ilişkiler ve pazarlama hiçbir endüstride olmadığı kadar iç içe geçmiş durumdadır. Thomas Harris Pazarlama Halkla İlişkilerinin ilk ve klasik kaynağı olarak değerlendirilen The Marketer’s Guide to Public Relations adlı kitabında pazarlama halkla ilişkilerin film endüstrisinde muhtemelen başka hiçbir endüstride olmadığı kadar hızlı ve net sonuç verdiğini belirtmiştir. Eğer tanıtım, reklam ve promosyon uygulamaları vizyonda anında karşılık bulamazsa, film birkaç hafta içinde vizyondan çekilebilir (Harris, 1993, s. 140).

Yapılan Literatür çalışmalarında sinema ve halkla ilişkileri bir araya getiren akademik çalışmaların (örneğin Bayçu, 2016, Akar, 2018, Tümbek Tekeoğlu, 2016) çoğunlukla filmlerin üretildikten sonraki dönemle ilgilendiği ya da sponsorluk/ ürün yerleştirme gibi konuları incelediği görülmüştür. Bu kapsamda film endüstrisinde pazarlama halkla ilişkileri filmin hedef kitleye ulaştırılması ve tanıtımından ibaret olmakta ve filmin reklamı, fragmanı, afişi, film oyuncularını ile yapılan röportajlar, eleştirmen ve köşe yazarlarının yorumları, galalar ve magazin içerikli haberlerin kitle iletişim araçları vasıtasıyla dağıtılması ile sınırlandırılmaktadır. Bu çalışmanın

amacı pazarlama halkla ilişkilerinin filmlerin yapım öncesi ve yapım süreçlerinde de belirleyici olduğunu ortaya koymaktır. Ana akım film endüstrisinde izleyicinin neyi talep ettiği yakından takip edilip, estetik açıdan güzel olmasa da talep edilen sunulmaktadır. Filmlerin halkla ilişkiler ve pazarlama stratejileri, ürün ortaya çıktıktan sonraki tanıtım döneminde değil, ilk iş olarak, filmin konusu bile belli olmadan çizilmektedir. İzleyici talepleri filmlerin anatomisini belirleyebilmekte, sinemacılar çoğu zaman halkla ilişkiler ve pazarlama uzmanları tarafından hazırlanan sinopsisler doğrultusunda hazırladıkları senaryoları hayata geçirebilmektedir.

Çalışmada literatür araştırmaları ve endüstri verilerinin istatistiksel analizlerinin yanı sıra, yapımcı ve yönetmenlerle derinlemesine mülakatlara dayanan nitel araştırma yöntemi izlenmiştir. Örneklem, evrenin çeşitliliğini ve farklılığını yansıtmaya yönelik amaçlı örnekleme yöntemiyle belirlenmiş, filmleri bir milyon seyircinin üzerinde izlenen yönetmenlerin yanı sıra, daha küçük çaplı prodüksiyonlar ve festivallere yönelik filmler üreten bağımsız yönetmen ve yapımcılara da yer verilmiştir. Görüşmelerin bir kısmı yüzyüze, bir kısmı ise online olarak yapılmıştır.

1. PAZARLAMA HALKA İLİŞKİLERİ

1.1. Pazarlama Halkla İlişkilerinin Gelişimi

İletişim, tarihsel ve toplumsal koşullara bağlı olarak aralıksız bir değişim içindedir. Ancak bu değişim tarihin hiçbir döneminde sosyal medyanın bir çığ gibi toplumun üzerine düşüp, toplumu kendi içine katarak büyümeye başladığı günden beri yaşanan dönüşüm kadar hızlı ve belirleyici değildir. Jan Van Dijk “The Network Society” isimli kitabında, yeni medyanın yapısal olarak en önemli karakteristiğinin telekomünikasyon, veri iletişimi ve kitle iletişiminin tek bir ortamda entegrasyonu olarak nitelendirilebilecek yöndeşme (convergence) süreci ve etkileşimli ortamların gelişmesi olarak belirler (Dijk, 2006, s. 6-8). Yeni medya haberleşmeden eğlenceye, boş zaman kullanımlarından çalışma ve üretme biçimlerine kadar, farklı kamusal ve özel alan deneyimlerini birbirine yaklaştırır. Öte yandan kendisi de bu deneyimlerin hızını ve kapsamını genişletecek bir biçimde yakınlaşmaya; farklı iletişim imkanlarını tek bir medya üzerinden işler/erişilir hale getirecek bir biçimde yöndeşmeye başlamıştır. Pazarlama ve halkla ilişkiler de bu yöndeşmeden payını alarak bir taraftan gelenekselden dijitalle doğru hızlı bir dönüşüm içerisindeyken, bir taraftan da birbiriyle yöndeşmektedir.

Kotler’e göre Pazarlama 2.0, enformasyon çağında ortaya çıkmıştır. Ürünün değerini belirleyen müşterilerin tercihleri birbirlerinden çok farklıdır. Bu doğrultuda pazarlamacı pazarı bölümlere ayırmak, özgül bir hedef pazar için üstün bir ürün geliştirmek zorundadır. Pazarlama 3.0 pazarlamayı insan özelemleri, değerleri ve ruhu düzeyine çıkarır. Hedef kitle, seçtiği ürün ve hizmetlerde sadece işlevsel ya da duygusal tatmin aramamakta, insan ruhunun tatminini de aramaktadır. Dijital dünyanın yaygınlaşması ve sosyal medyanın daha anlatımcı bir özellik kazanmasıyla, tüketicilerin görüş ve deneyimlerini aktararak diğer tüketicileri etkileme gücü de artmaktadır. Duyguların açıklanma ortamı olan sosyal medya markayı kişiselleştiren, hedef kitle ile sürekli iletişim içinde olmayı sağlayan bir araçtır. Bu yalnızca tüketici sürekliliğini değil; sadakatini de artırır (Toros, 2016, s. 30-31). Markalar hızla değişen teknolojilere ayak uydurmak için daha esnek ve kolay uyum sağlayabilir olmak durumundayken, bir taraftan da kendi özgün karakterleri ve itibarları eskisinden de önemli hale gelmektedir. Pazarlama 4.0’da markalar artık olmak istedikleri gibi görünmemektedir. Ya göründükleri gibi olmak ya da oldukları gibi görünmek zorundadır. Çünkü ikisi arasında oluşabilecek bir tutarsızlık anında müşteriler tarafından fark edilmekte, Twitter, Facebook, YouTube vb. sosyal mecralar aracılığıyla dakikalar içerisinde küresel çapta duyulabilmektedir (Kotler, Setiawan, & Kartajaya, 2016, s. 12).

Bu gelişmeler ışığında bir yanda reklamın güvenilirliği ile tüketicilerin satın alma etkisi sorgulanırken; öte tarafta kurumların olumlu imajlarının ve itibarlarının tüketicilerin satın almaya yönelik tutum ve davranışları üzerinde daha etkili olduğu inancının öne çıktığı söylenebilir. Balta Peltekoğlu’na göre işletmeler, kurumsal itibarı sağlamak, kurum ya da ürünle ilgili olumlu imaj yaratmak, markalarını konumlandırmak veya farklılaştırmak ve bu sayede yatırımcılar gözünde büyüme gösterebilmek için iletişim karmaşasının tüm elemanlarından yararlanmak durumundadır. Bu da bütünleşik pazarlama iletişimini gündeme taşımıştır (Balta Peltekoğlu F. , Halkla İlişkiler Nedir?, 2014). Bir iletişim kampanyasının amacına ulaşabilmesi için pazarlama stratejisiyle uyum içinde olması gerekir. Bir iletişim uzmanına düşen görev de tüm tutundurma bileşenleri hakkında yeterli bilgiye sahip olmak ve pazarlama amaçlarına uygun iletişim stratejisini oluşturabilmektir, zira “Bütünleşik Pazarlama İletişimi” mantığı “sinerji”de gizlidir (Balta Peltekoğlu F. , 2010, s. 48).

Bütünleşik pazarlama ile iş dünyasında yıldızı parlayan halkla ilişkilerin odak noktası *Gerilla* yaratıcılıktır. Gerilla terimi ilk kez 1984 yılında Jay Conrad Levinson kullanmıştır. Gerilla Tanıtım, Gerilla Pazarlama, Gerilla Yaratıcılık

kitaplarından sonra, Micheal Levine Gerilla Halkla İlişkiler kitabıyla literatüre yeni bir kavram daha eklemiştir. Gerilla Halkla İlişkiler yaratıcı ve düşük maliyetli taktiklere dayanır. (Levinson) Bir gerillanın ormanda bulunduğu her şeyi silah olarak kullanması gibi, her şey bir pazarlama aracı olarak kullanılabilir. Dev prodüksiyonları yapacak bütçelere sahip olmayan gerillalar için yaratıcılık adeta bir zorunluluktur. Halkla ilişkilerin medyada bedelsiz veya çok az bedellerle yer alabilmenin sırlarını iyi bilmesi de gerilla pazarlamayı halkla ilişkilere yaklaştıran bir unsurdur (Göksel & Köseoğlu, 2017, s. 99).

Kotler pazarlama halkla ilişkileri pazarlama ve halkla ilişkilerden doğan sağlıklı bir tomurcuğa benzetir. Pazarlama halkla ilişkileri bir markanın paydaşlarının kalplerini ve beyinlerini kazanmak için güçlü bir ses olmakla kalmaz; aynı zamanda birçok açıdan daha etkin bir ses olur. Haberlerden oluşan mesajlar, reklamlardan ulaşan mesajlardan çok daha etkilidir, kültürel ve sportif etkinliklere sponsorluk yapan, katkıda bulunan markalar, dişe dokunur işlere yatırım yaptıkları için daha fazla ilgi ve saygı kazanır (Harris, 1993, s. v. önsöz). 1990'lı yılların başından itibaren pazarlama halkla ilişkilerine ayrılan kaynaklar artan oranlarda ayrılmaktadır. Pazarlama yöneticilerinin yaptırdığı bir araştırmanın sonucuna göre, işletmelerin dörtte üçü pazarlama halkla ilişkilerinden yararlanmakta ve bu uygulama marka farkındalığı oluşturmada hayli etkili olmaktadır (Balta Peltekoğlu F. , 2010, s. 67). 1991 yılında yazdığı makalesi "Why Your Company Needs Marketing Public Relations" adlı makalesinde Thomas Harris, pazarlama halkla ilişkilerini şirketleri ve ürünleri tüketicilerin ihtiyaçları, talepleri, ilgi ve merakıyla teşhis eden, güvenilir bilgi iletişimi ve izlenimiyle satın almayı ve tüketici memnuniyetini teşvik eden programları planlama, uygulama ve geliştirme sürecidir." şeklinde tanımlar. (Harris, Why Your Company Needs Marketing Public Relations) Pazarlama halkla ilişkileri güçlü bir ürün ve/veya hizmet satış odağı olan disiplinler arası entegre bir yaklaşımdır. Klasik halkla ilişkilerde kurum itibarı, marka algısı, örgüt içi sorunlar, çevreyle iletişim, kurum içi iletişim gibi konularla ön plandayken; pazarlama halkla ilişkileri satışı ve müşteri memnuniyetini teşvik etmek, şirketleri ve ürünleri/hizmetleri tüketicilerin istekleri, ihtiyaçları, çıkarları ve özel ilgi alanları ile bağdaştırmak, bunun için gerekli piyasa ve tüketici araştırmalarını yürütmek, tüketicilere güvenilir bilgi aktarmak ve onlarla etkileşim içinde olmak, pazarlamayı bütünsel bir planlama, yürütme ve değerlendirme programıyla sürdürmek başlıca çalışma alanlarıdır.

1.2. Ödenmiş, Edinilmiş, Kazanılmış Medya Bağlamında Pazarlama Halkla İlişkileri

Pazarlama halkla ilişkileri, internet ve sosyal medyanın gelişimiyle doğrudan ve interaktif bir biçimde hedef kitleleri ile iletişim imkânı bulmuştur. Tüketici ile duygusal bir ilişki kurmayı başaramamış olan geleneksel pazarlama yöntemlerinin girdiği çıkmazda, pazarlama halkla ilişkilerinin sihirli değneği tüm kurumlarca uygulanmaya başlamıştır. Sosyal medyayla serpilerek pazarlama halkla ilişkilerinin vaadi şirketler ve tüketiciler arasında gerçek, dürüst, samimi, duygusal ilişkiler kurarak uzun soluklu bir güven inşa etmektir.

Tüketicilerle kurulmak istenen bu uzun soluklu ve güvene dayanan iletişimin nasıl kurulması gerektiğini araştıran Andrew ve Galak, 2012'de yayımladıkları "The Effects Of Traditional And Social Earned Media On Sales: A Study Of A Microlending Marketplace" adlı çalışmalarında hangi endüstride olurlarsa olsunlar, markaların tüketicileri ile iletişim kurdukları iletişim araçlarını üç farklı mecrada geliştirdiklerini belirtmişlerdir (Andrew & Galak, 2012).

- **Ödenmiş medya;** her türlü mecrada bedel karşılığı yayınlanan içeriklerdir.
- **Edinilmiş medya;** web sitesi, facebook, instagram, twitter hesapları gibi bir markanın kendi oluşturduğu içeriklerdir.
- **Kazanılmış medya** ise tüketicilerin oluşturduğu mecralar olarak tanımlanabilir. Yani tüketicinin doğrudan markanın kendisiyle veya o marka hakkında kendi çevresi ile olan her türlü iletişimini kapsar. Sosyal mecrada marka hakkında yapılan paylaşım ve yorumlardan, e-ticaret sitelerindeki ürün değerlendirmelerine kadar her türlü içerik kazanılmış medyaya örnek olarak verilebilir. Postmodern dünyada tüketiciler artık markanın yukarıdan sunduğu vaatler yerine, "F-Faktör"üne yani arkadaşlarının, ailesinin, markanın fanları ve takipçilerinin görüşlerine güvenmekte, yorumları, değerlendirmeleri ve eleştirileri baz almaktadır.

Birbirleriyle entegre olması gereken bu üç mecra türü de pazarlama halkla ilişkileri için vazgeçilmezdir. Hem birbirlerini tamamlamakta hem de güçlerini artırmaktadır. Birinin yetersizliği ya da eksikliği ise diğer ikisini olumsuz etkilemektedir.

Film endüstrisinde ödenmiş medya çoğunlukla televizyon, radyo, gazete, dergi, outdoor reklamlar vb. geleneksel uygulamaları ve dijital reklamları aklı getirir. TV, radyo, dergi ve gazete reklamları eski önemini kaybetmekle beraber hala tercih edilebilen iletişim araçlarındandır. 1980'li yıllara kadar çok salonda gösterime

giren ve haftalarca gösterimde kalan Yeşilçam filmleri bu başarılarını gazete ilanları ve afişler üzerinden (falanca filmin 7. zafer haftası gibi) bir övünç kaynağı olarak sunarlardı. Gazetelerin sinema eklerinde yer almak ve özellikle film eleştirmenlerinin film hakkında yazdığı köşe yazıları izleyiciye ulaşmak için önemli araçlardı. 1980'lerle TV reklamları, 1990'larla radyo reklamları ve outdoor reklamlar önem kazanmış, son dönemdeyse tüketiciye doğrudan ulaşabilen dijital reklamlara ayrılan bütçe diğer kalemlerin önüne geçmeye başlamıştır.

Bu mecralarda doğrudan reklam vermenin yanı sıra en çok uygulanan stratejilerden biri de gazete, dergi, TV ve sosyal medya kanallarında magazinsel haber niteliği olan etkinlikler düzenlenmesidir. Oyuncular ve yönetmenle yapılan söyleşiler izleyicide ticari bir algı yaratmadığı için daha olumlu bir itibar yaratmaktadır. En sık kullanılan stratejilerden biri de "sınırlı sayıda gazetecinin davet edildiği press janket yani basın toplantılarıdır. Film gösterime girmeden önce gazeteciler ve film eleştirmenleri seçilmiş bir bölgede bir veya birkaç gün oyuncularla ve prodüksiyon ekibiyle röportajlar gerçekleştirir. Bu toplantı veya röportajlar birçok medya aracı tarafından yayınlanır ve halka iletilir (Kılınçarslan, 2015, s. 40). Filmlerin galalarında filmin oyuncuları, yönetmeni vs. ile yapılan söyleşilerin yanı sıra, galaya katılan ünlülerle yapılan röportajların medyada yer alması da film tanıtımlarına büyük katkı sağlamaktadır. Öte yandan sosyal medyanın gittikçe artan kullanımıyla, etkinliğe katılan diğer ünlülerin yaptığı paylaşımlar, filmin vizyonundan önce pozitif WOM yaratmakta ve etkinliğe çarpan etkisi yapmaktadır. Vizyon öncesi film gösterimleri de yıllardır kullanılan pazarlama halkla ilişkileri araçlarındandır. Bu gösterimler hem seyircinin tepkisini ölçebilmeyi hem de filmi gören izleyiciler sayesinde bir WOM yaratmayı hedefler.

Andrew ve Gallack'ın "Edinilmiş Medya" olarak nitelendirdikleri web sitesi, facebook, instagram, twitter hesapları, youtube kanalı gibi bir markanın kendi oluşturduğu içerikler film endüstrisinde çok etkindir. Filmin sosyal medyada paylaşılması ve elektronik WOM'u çoğunlukla filmin kendi resmi hesapları üzerinden yürür. Anasponsor Sponsorluk ve İletişim Danışmanlığı firmasının 2018 Yılı Yerli Yapımlar Sponsorluk İnfografiği Raporuna göre, 2018 yılında 100 binin üzerinde gişe yapan 49 yerli filmin %80'inin yani 39 filmin kendine özgü web sitesi bulunmaktadır. (Anasponsor, 2018 Yılı Yerli Film Sponsorlukları İnfografiği, 2019) Bu 49 filmin 44 tanesinin (%90) kendine özel Facebook hesabı, 39'unun (%80) Twitter hesabı, 34'ünün (%70) Instagram hesabı bulunmaktadır. Filmlerin 38'i (%78) YouTube paylaşımları yapımevinin YouTube kanalı üzerinden, 11'i (%22) filme özel YouTube kanalı üzerinden yapılmıştır.

Web sitesi kullanımında bir efsane olan Blair Witch Project internetin bir filmin tanıtımında nasıl kullanılabileceğinin deneysel bir örneğidir. 1994 yılında Maryland ormanında kaybolan üç amatör belgesel sinemacının kaybolması haberiyle başlayan "The Blair Witch Project", bir sene sonra izleri bulunan kayıp kişilerin çektikleri video görüntülerinden oluşuyordu. Bu anlamda seyirciyi "Acaba bunlar gerçekten oldu mu?" gibi kuşkulu sorulara sevk etti. Yaratılan merak ve ilgi, filmin web sitesinin yüzbinlerce tıklanmasını ve harcanan maliyetin çok üstünde bir hasılat elde edilmesini sağlamıştır (Ceylan, 2014).

Filmin resmi sosyal medya hesaplarının yanı sıra Persona Marketing yani film karakterlerine ait sosyal medya hesapları açmak, bu hesaplardan eğlenceli sosyal medya paylaşımları yaparak bu karakterler etrafında bir persona da yaratmak sık kullanılmaya başlayan örneklerdendir. Twitter'da 700 bin takipçisi olan oyuncak ayıcık Ted buna iyi bir örnektir.

Afiş ve posterler sinemanın doğduğu günden beri kullanılan ancak modası hiçbir zaman geçmeyecek materyallerdir. İzleyici posterdeki görselden filmin türü ve konusu hakkında ön fikir edinir. İzleyicilerinin akıllarında film çoğunlukla afişle bütünleşir ve hatırlanır. Yönetmen Can Ulkar 22.02.2020 tarihindeki söyleşisinde afişte kullanılacak tanıtım yazısının hedef izleyiciye göre nasıl şekillenebileceğini şöyle anlatmıştır. "Ayla'da ABD'deki posterlerde veya basın alt yazılarında Türk Askeri vurgulanmadı. Ama Türkiye'de Türk Askeri yazıldı. Ben Ayla'nın milliyetçi olduğunu düşünmüyorum ama Türkiye'de milliyetçi olduğu düşünüldü ve sevildi. Türk askeri hem çok iyi savaşır hem de çok vicdanlıdır." dendi. Ama mesela Amerika'da bu nokta hiç konuşulmadı." (Ayla'nın ABD posterinde tanıtım yazısı olarak "The Daughter of War" kullanılırken Türkiye'deki afişlerinde "Ay Yüzlü Bir Kızla Ay Yıldızlı Bir Askerin 65 Yıllık Anlatılmamış Hikayesi" kullanılmıştır.)

Filmin fragmanının amacı da izleyiciye filmin tarzı ve konusu hakkında ipuçları verip, izleyicide merak uyandırmaktır. Sinemanın ilk zamanlarında fragmanlar yine sinemalarda gelecekte vizyona girecek filmlerle ilgili izleyiciyi bilgilendirmek için oluşturulmuştur. Televizyon ve sosyal medyanın hayatımıza girmesiyle önemi daha da artmıştır. Fragmanlardaki imgeler özel olarak seçilerek izleyicinin izleme-görme arzusunun şiddetlenmesi ve devamlılığının sağlanması amaçlanmaktadır. Tıpkı reklam filmlerinde olduğu gibi fragmanlarda da imgeler çoğu zaman psikolojik derinlikli bir biçimde sunulmaktadır. Görsel efektler, müziğin yüksek sesle kullanımı ve bir dış anlatıcının varlığıyla, masal formunun psikolojik etkileme mekanizmasını kullanılır ve izleyicinin aidiyet

duygusu en üst noktada tutulmaya çalışılır (Kılınçarslan, 2015, s. 32). Türkiye’de Hollywood’da olduğu gibi filmler henüz preprodüksiyon aşamasındayken için ön fragmanlar ve kısa filmler potansiyel seyircilerin haberdar olması sosyal medyada paylaşılmaktadır. Cem Yılmaz filmlerinde (AROG, Yahşi Batı ve Arif V 216) bu stratejiyi etkin bir şekilde kullanmıştır. Özellikle Arif V 216 (2018) için çok sayıda 1 dakikalık kısa teaser in sosyal medyada dolaşması sağlanarak seyirci merakı beslenmiştir. Teaserlar filmden parçalar olabileceği gibi, oyuncular ve yaratıcı ekiple yapılan özel söyleşilerin yerleştirildiği, veya backstage görüntülerinin yer aldığı kısa klipler de olabilir. Filmle, prodüksiyonla, oyuncular ve yaratıcı ekiple ilgili bilgiler, hazırlanan kısa videolar ve materyaller basınla da paylaşılır.

2018 ve 2017 yıllarında Müslüm, Arif V 2016, Aile Arasında gibi filmlerin vizyonda ulaştıkları çok yüksek seyirci rakamlarına karşılık, fragmanlarının aynı ölçüde izlenmediği, starların yer aldığı ve tanıtımları birçok kanaldan yürütülen bu filmlerin gişe başarısının Youtube kanallarının tıklanmasıyla pek orantılı olmadığı görülmektedir. 2017 yılında vizyona giren ve fragmanları 18 ve 9 milyon kişi tarafından izlenen Cumali Ceber, Şansımı Seveyim ve Oha Diyorum gibi sosyal medya fenomenlerinin başrollerinde olduğu filmlerin fragmanlarının çok yüksek sayılarda izlenmelerine rağmen, gişe başarılarının aynı ölçüde yüksek olmadığı görülmektedir. Bu istatistik bize fragmanın seyredilmesiyle hasılatın birebir doğru orantıda olmadığını gösterir. Bununla beraber Cumali Ceber’in 461 bin seyirciye, Oha Diyorum’un 230 bin seyirciye ulaşması YouTuber’ların sinemada ticari karşılıkları olduğunu göstermiştir. Bu hasılatlar bahsi geçen düşük bütçeli filmler için büyük rakamlardır ve YouTube üzerinden gelen şöhretin sinemada bir karşılığının olup olmadığını gösteren ilk denemelerdir. 2018 yılında vizyona giren fenomen filmi Enes Batur Hayal mi Gerçek mi? ise 600 kopyayla 1,5 milyon seyirciye ulaşmıştır. Bu başarıda Enes Batur’un 5 milyon takipçisiyle en tanınan fenomen olmasının yanı sıra; filmin prodüksiyonun da benzerlerine kıyasla (çocukların ilgisinin yüksek olacağı da öngörülerek) daha özenli ve küfürsüz olması ve diğer fenomen filmlerinin yaz aylarında vizyona girmesine rağmen, Enes Batur’un sömestr tatilinde vizyona girmesinin etkisi olduğu söylenebilir. Filmin yönetmeni Kâmil Çetin 29.05.2020 tarihinde yapılan görüşmede filmin başarı nedenlerini şöyle özetlemiştir: “Enes Batur filmi projesi ilk geldiğinde ben açıkçası YouTuberları pek tanıımıyordum... İzledim baktım, ciddi bir takipçisi var. Merak da ettim açıkçası... Başarısının nedeni; zaten Enes’in kendi hayat hikayesiydi bu. Kendi yazdı zaten. Senarist arkadaş da onu tamamladı ve ben orda şunu yaptım. Enes oyuncu değildi. Oynayanlar da oyuncu değildi hepsi YouTuberlardı. Onlara çok ağır rol vermek yerine, kendi hayatları olduğu için daha rahat bıraktım. O yüzden daha samimi oldu. Takipçilerinin yaş sınırı belliydi zaten. Onlara göre rahat anlayabilecekleri bir kahramanlık hikayesi, zirveye çıkması, daha sonra tekrar çakılması. Bence insanlar samimi buldular bu yüzden o kadar izlendi. Hatta ben birkaç veliden duydum. Çocuğumu bu filme götürmek istemiyordum ama götürdüm. Çıkacaktım salondan. Başına baktım. Sonuna kadar izledim dediler. Bu da beni sevindirdi.”

Lisanslı ürünler film hayranlarına yönelik filmle ilgili ürünlerdir. Hollywood’da bugüne kadar çekim mekanlarından, kıyafetlere, Harry Potter’ın asası gibi filmlere kullanılan materyallerden, tematik parklara, kırtasiye malzemelerine varan sınırsız sayıda lisanslı ürün geliştirilmiş, milyarlarca dolarlık ekonominin oluşması sağlanmıştır. Türkiye’de lisanslı ürünler genellikle çocuklar ve gençler için özel olarak geliştirilen oyuncaklar, kırtasiye malzemeleri, karakter figürleri, cep telefonu uygulamaları (Recep İvedik app), müzik CD’leri, afişler, oyun kartları, kutu oyunlar (gorapoly, gorabirader, gora solitaire, gora puzzle gibi) ve hatta lisanslı yiyecek-icecekler (kutu süt, kola, su, vb.) olarak karşımıza çıkar. Bu konuda en erken uygulamalardan biri Cem Yılmaz’ın GORA filmi ile Ülker’in Cola Turka içeceğinin aynı anda birbirlerine sinerji içinde piyasaya sürülmesidir. Cola Turka’nın aynı ürün yerleştirmeli kullanımı benzer şekilde Cem Yılmaz’ın Yahşi Batı (2009) filminde de görülmektedir. Filmin piyasaya çıkmasıyla hızlı yemek zincirlerinde ve bakkallarda Yahşi Batı temalı şişelerde Cola Turca satışları olmuştur (Akser, 2018).

Film endüstrisinde yarışmalar, çekilişler, promosyonlar vb. satış tutundurma etkinlikleri de filme farkındalık sağlar, markasını ve imajını güçlendirir. Bu alanda en büyük başarılarından biri Açlık Oyunları/ The Hunger Games’e aittir. “Virtual Hunger Games” adını verdikleri strateji ile oluşturulan Hunger Games Games ile izleyicilerin filmdeki karakterlerin yaşadıklarını yaşayabilmeleri, filmi deneyimleyebilmeleri sağlanmıştır (Simpson, 2012).

“Kazanılmış Medya”yı inşa etmek için en önemli adım her şeyden önce, iyi ve kaliteli farkındalık yaratan, değer katan, eğitici ve güven inşa eden içerik oluşturmaktır. Konuşmaya değer içeriklerle sosyal medya öncesi yüzbinlere dolar harcayarak yapılabilecek tanıtım, sosyal medyada birkaç saat içerisinde yüzbinlerce sosyal medya paylaşımıyla yapılabilmektedir. Her yıl üretilen binlerce film arasında fark edilmek için filmlerin Pazarlama Halkla İlişkilerinde inovatif yöntemler kullanmak çok önemli hale gelmiştir. Film tanıtımının bilindik başarılarından biri Blinkbox isimli Birleşik Krallık film ve TV yayın hizmetinin Game of Thrones dizisinin üçüncü

sezonunun başlangıcıyla aynı zamana rastlayacak bir şekilde, bir ejderhanın kafatasını Dorset'te bulunan bir kumsala yerleştirmesidir. Bir otobüs büyüklüğünde olan bu kafatası, doğal olarak oldukça fazla ilgi görmüş, sosyal medyada binlerce kez paylaşılmış ve yaklaşık olarak 250 farklı medya organında kendine yer bulmuştur. Bu hamleyle, Game of Thrones'un Blinkbox'ta yayımlandığı gün, şirket yıllık %632 oranında bir gelir artışı yakalamış ve o zamana kadarki en büyük günlük ticaretini gerçekleştirmiştir (Altan, 2018).

Filmlere veya filmin promosyonuna filmin izleyici kitlesini dahil etmek de gerçek fanların asla kaçırmayacağı, muazzam bir WOM yaratacak bir metottur. Yarışmalar düzenlemek, kick-starter olarak planlanan kalabalık yaratacak toplantılar, izleyicilerinizi FGR olarak kullanmak filmlerin pazarlama halkla ilişkilerinde izlenen yollardandır. Bu metodun en büyük ve kapsamlı örneklerinden biri The Dark Night filminde uygulanmıştır. Filmin viralleri lansmanından neredeyse bir yıl önce başlamış, Vali Harvey Dent adına bir seçim kampanyası yürütülmüş ve konu ile ilgili birçok gazete haberi yapılmıştır. Virallerle oluşturulan tüm görüntüler ise filmin bir parçası olarak kullanılmıştır. Sonuçta filmde 1 milyar doların üzerinde gişe geliri elde edilmiştir (htt6).

Kazanılmış medyanın taşıdığı hayati önem Nielsen tarafından 2013 yılında yayınlanan bir araştırmada doğrulanmıştır. Araştırmanın sonuçlarında WOM "Word of Mouth Advertising" (kulaktan kulağa reklam) kavramının, tüketiciler arasında en çok güvenilen kaynak olduğu belirtilmektedir. Anket katılımcılarının %84'ü tanıdığı kişilerin tavsiyesinin en güvendiği kaynak olduğunu belirtmiştir (Nielsen, 2013). Bu doğrultuda "Word of Mouth" ile fazlasıyla ortak paydası olan kazanılmış medyanın, markaların güvenilirliği için büyük bir referans niteliği taşıdığı söylenebilir. Aynı zamanda, kazanılmış medyanın müşterileri/ izleyicileri harekete geçirme etkisi, diğer kanallara göre çok daha yüksektir. Kazanılmış medyayı denkleme ekleyerek, satın alınan ve sahip olunan medya kanallarının etkinliği ikiye katlanabilir ve çok zor ulaşılabilecek kitlelere erişim imkânı bulunabilir.

2. FİLM ENDÜSTRİSİNDE İZLEYİCİ

2.1. İzleyici Profili Filmlerin Yapısını Değiştirebilir mi?

Modern yönetim teorisinin kurucusu kabul edilen, akademisyen ve danışman Peter Drucker 1954 yılında yayınladığı makalesinde tüketici memnuniyetini pazarlama konseptinin merkezine yerleştirmiş, Kotler de tüketiciyi merkeze alan teorileri sürdürmüştür. Bu teorilerden yola çıkan Vargo ve Lusch da 2004 yılında yaptıkları akademik çalışmalarında, bir hizmetin ancak tüketici tarafından tüketildiğinde değer kazandığını ileri sürmüştür. Onlara göre bir işin değeri yalnızca tüketim deneyimiyle değerlendirilebilir. 2006 yılında yaptıkları çalışmalarında ise tüketiciyi değer ortak yaratıcısı (co-creator) olarak atfederler (Lusch & Vargo, 2006). "Tüketici kraldır" felsefesine göre tüketicilerin öncelikle ne istediğinin ortaya konulması büyük önem taşır. Bununla beraber konu sanat, kültürel ve yaratıcı endüstriler olunca, tüketiciyi merkeze yerleştirmek kimi itirazları da beraberinde getirmektedir. Sinema bir sanatsa, tüketicinin istekleri ve ihtiyaçları ne derece önemli olmalıdır? Müşteri memnuniyeti fikirleri, sanatsal tasarım işleriyle nasıl uyum sağlayabilir?

Bu sorulara cevap verebilmek ve yaratıcı endüstriler ve sanatların pazarlama analizlerine bir çerçeve oluşturabilmek için Fillis (2004), O'Reilly (2004) ve Rentschler (1999, 2004) pazarlama teorisini yeniden tanımlamayı denemişlerdir. Bu noktada karşılaştıkları en büyük problemse literatürdeki pazarlama odaklılık teorilerinin, sanata transfer edilebilirliklerindeki eksiklik olmuştur. Kotler'e göre eğer pazar odaklılığın birinci koşulu müşterilerin tatmin olmasıysa, bu film pazarlama ile uyumlu bir hale getirilebilir. Eğer filmler izlenmek için üretiliyorlarsa, izleyici üzerine odaklanmak şarttır. Ama film endüstrisinde tüketici tatmini, tüketicilere ne izlemek istediklerini sorup, onları üretmekle değil, yüksek teknik ve sanatsal değeri olan filmler üreterek de sağlanabilir (Kerrigan, 2010, s. 4). Bu yaklaşım pazarı doğru segmentlere ayırabilmek ve bu segmentlerin beklentilerini karşılayabilmenin önemine vurgu yapar.

Günümüzde hangi endüstride olursa olsun yeni bir ürünün lansmanı, var olan bir ürünün relansmanı, marka itibarının geliştirilmesi, başarılı bir ürün gamının genişletilmesi, dağıtım kanallarının ve hedef pazarların ve marka tutundurma etkinliklerinin yenilenmesi gibi tüm pazarlama halkla ilişkileri stratejileri iyi bir araştırmaya dayanmak zorundadır. Bu doğrultuda proje geliştirme aşamasının birçok etabında pazar araştırmaları yürütülmeye başlanmıştır. Ancak film endüstrisinde araştırma diğer alanlara göre çok daha zordur. Çünkü alanda çok daha fazla değişken vardır ve insanların beğenisi çok görecelidir. Bu doğrultuda endüstrideki büyük aktörlerin uluslararası reklam ajanslarından destek aldığı görülmektedir. Columbia Pictures McCann Erickson ile, Universal DDB Worldwide ile, Disney Western Media ile, Warner Bros ise Grey Advertising ile çalışmaktadır (Lieberman & Esgate, 2002, s. 29).

Hollywood’da 1920’lerden itibaren market ve küçük ölçekli izleyici tercihleri araştırmalarının ilk örnekleri görülmeye başlamıştır. 1930’lardan sonra Büyük Depresyon ve getirdiği oto-sansüre bir cevap olarak daha bilimsel veri toplama ve müşteri temelli araştırmalar yürütülmüştür. II. Dünya Savaşı’ndan sonraysa Hollywood’un dünya pazarlarındaki hakimiyetinin devamını sağlayacak yapım ve izleyici profili araştırmaları hızlanmıştır. Buna karşılık Türkiye’de yapılacak Ar-Ge çalışmalarına referans olabilecek, sinema seyircisinin demografik, sosyo-ekonomik ve kültürel profiline, davranış biçimlerine ilişkin ayrıntılı ve sistematik veriler bulunmamaktadır (Şentürk, 2014, s. 124). Bu alanda en yaygın olarak kullanılan araştırmalar reklam, medya planlama, film yapım veya dağıtım şirketleri tarafından özel şirketlere yaptırılan çalışmalardır (Tanrıöver H. U., 2011).

Türkiye film endüstrisinin dönemsel değişen dinamiklerine paralel şekilde, sinema seyircisi profili de zaman içinde büyük bir değişim yaşamıştır. 1970’lerde temel izleyici kitlesini düşük ve orta sınıftan aileler oluşturmaktadır. Çoğunlukla evlerinde televizyon bulunmayan bu kesim için sinema önemli bir sosyalleşme aracıdır. Yeşilçam’da bu doğrultuda ailelerin hep beraber gidip izleyebileceği, çoğu birbirinin benzeri, başrollerinde sevilen ünlüler olan filmler üretilmiştir. Bu filmler büyük ölçüde Türk Sineması’nın kronik sorunu olan sermaye yetmezliğinin üstesinden gelen ve yerli film üretimini bugün bile aşamayan bir düzeye getiren “Bölge İşletmeciliği” adı verilen sistemin ürünleridir. Bu üretim tarzında, bölge işletmecileri yapımcılara hangi tür filmlerin rağbet gördüğüne dair raporlar vererek nasıl bir film istediklerini (filmin konusunu, oyuncularını hatta yönetmenini) söylemiş ve yapımcılar da filmi bölge işletmecilerinin; dolaylı olarak da seyircinin talebine göre şekillendirmiştir. 1970’lerin sonu ve 80’lerle beraber aileler televizyonlar ve videoların başında toplanmaya başlayınca sinemanın hedef kitlesi gençlere ve özellikle eğitimsiz erkeklere kaymıştır. Üretilen filmlerin çoğunluğunu da bu kitleye hitap edebilecek vurdulu kırdılı B filmler¹, arabesk filmler ve erotik komediler oluşturmuştur. Sinema seyircisi profilindeki değişiklikler doğrudan filmlerin türü ve karakteristiğine yansımıştır.

Günümüzde Türkiye Film Endüstrisinin en büyük dağıtımçı firması CGV Mars Media tarafından IPSOS’a yaptırılan araştırmadan alınan verilere göre seyircinin %52’sinin 30 yaş altında olduğu görülmektedir. Mars Grubuna ait olan Cinemaximum salonlarında izleyicinin yaş ortalaması daha da düşmekte, seyircinin %77’si 30 yaş altında kalmaktadır. Sinema seyircisi yaş ortalaması ise 25.5’tir. Bu veri yapımcılar için önemli bir kıstas teşkil eder. Zira her film vizyona girmeden önce sinema genel müdürlüğü tarafından çeşitli yaş kategorilerine göre bir sınıflandırma yapılmaktadır. Genç seyircilerin sinema izleyici profilinde önemli bir paydaya sahip olması, yaş kategorisiyle sınırlanan filmlerin doğrudan daha az seyirciye hitap etmek zorunda kalmaları anlamına gelir. Bu belirlemeler, ebeveynlerin çocukları için hangi filmlerin uygun olacağını belirlemelerinin yanı sıra; ailecek gidilen sinema etkinliklerinde anne babanın hangi filmleri izleyemeyeceğini de belirler. Yanında çocuğuyla sinemaya giden ebeveynin seçenekleri en baştan sınırlanmıştır. Yönetmen Kamil Çetin 29.05.2020 tarihli görüşmede yaş sınıflandırmasına verilen önemin teenage gençlerin sinemaya ilgisi ve katkısının fazla olmasından kaynaklandığını ve onların sinemada filmi izleyebilmesi için bazı filmlerde senaryo aşamasında müdahalelerde bulunduğunu belirtmiştir. Yönetmen Can Ulkar 22.02.2020 tarihindeki söyleşisinde yaş sınırlamaları doğrultusunda kimi zaman oto sansür uygulayabildiklerini şu şekilde belirtmiştir. “Biz zaten bazı sansürler uyguluyoruz. Dağıtımçı tarafından gelenleri de uyguluyoruz. Müslüm ilk yazıldığında bambaşkaydı. Birçok şeyi sansürledik... +13 +15 +18’e giden bir süreç var. Bir de denetleme var. Bu doğrultuda herkesin seyrebileceği bir standartla bozmadan bir şey yapmayı denedik. Oldu da aslında. Çok gidene oldu, çok seveni de oldu...Yani ana akım sinemada kendi sansürümüzü yapıyoruz. Bunun da ana olarak gişe korkusundan yapıyoruz.” Buna karşılık Litman (1983) ve Austin (1980) bu sınırlamaların filmlerin izlenme oranını arttırmaya yönelik bir etkisi olduğundan bahseder. ABD’de bir film R veya X olarak sınıflandırıldığında, yani 18+ seyirciyle sınırlandırıldığında, film yasak bir nesne aurası kazanır. Böylece özgürlüğü kısıtlanan ya da tehdit altına giren seyirci yasak filme karşı dürtüsel bir istek duyar. The Last Temptation of Christ (1988), Crash (1996) ve Natural Born Killers (1994) vb. filmler sansürlendiğinde ve vizyondan kaldırılmak istendiğinde elde edilen tanıtım gücünün paha biçilmez olduğu belirtilmiştir (Kerrigan, 2010).

Nüfusun cinsiyete göre dağılımı da izleyiciye ulaşmada bir anahtardır. Yine IPSOS’un gerçekleştirdiği araştırmaya göre Cinemaximum izleyicisinin %57’sinin erkek olduğu bulgusuna ulaşılmıştır. Bu ilginç izleyici profili film stüdyoları ve sektördeki pazarlama halkla ilişkileri yöneticileri için de hedef kitleyi teşkil eder ve doğrudan

¹ **B filmi**, Hollywood’da ardi ardına *İki Film Birden* olarak gösterilen filmlerin ikincisine verilen isimdir. Bu filmler genellikle düşük bütçeli, "yıldız oyuncu" barındırmayan filmlerdir. Bu tür alt-filmler yapma geleneğinin 1950’lerin sonlarına doğru terk edilmiş olmasına karşın, *B filmi* terimi; ne *sanat filmi* ne de *porno film* olarak adlandırılacak herhangi bir düşük bütçeli ticari sinema filmi ifade edecek şekilde, daha geniş bir anlamda kullanılmaya devam etmiştir.

üretilecek filmlerin içeriği üzerinde dramatik bir etki yaratır. Bu doğrultuda gençlerin ve özellikle genç erkek izleyicilerin hoşlarına gidecek filmlerin daha çok izleneceği öngörülmekte, bu profilin hoş vakit geçireceği komedi filmleri ve özel efektlerle dolu aksiyon filmleri, senaryosuna pek de önem verilmeden birbiri ardına üretilmektedir. Türkiye’de tüm zamanların ilk 100 filmi incelendiğinde bu profile uygun filmlerin daha çok izlendiği; Recep İvedik, Düğün Dernek, Eyvah Eyvah, Hababam Sınıfı gibi komedi filmlerinin ve Müslüm, Dağ 2, Fetih 1453, Kurtlar Vadisi Irak, New York’ta Beş Minare gibi güçlü maskülen karakterlerin domine ettiği savaş/ mafya/ aksiyon filmlerinin yılı birincilikle kapattıkları görülmektedir. Tüm zamanların en çok izlenen 100 filminin türlerine göre bir ayırım yapıldığında, gişe filmlerinin tür olarak dar bir alana sıkıştığı, komedi filmlerinin en büyük yüzdeyi elde ettikleri görülmektedir. Bu doğrultuda Türkiye’de filmin türünün filmin izleyici profiline uygun olacak şekilde belirlendiği söylenebilir.

2019 yıl sonu itibarıyla tüm zamanların en çok izlenen ilk yüz filminin 63’ü komedidir. Yapımcıların gişede kolay karşılık bulan, ağırlıklı iki boyutlu, olağanüstü hareketlerde bulunan, toplumsal normları hiçe sayıp uçlarda yaşayan karakterler üzerinden yapılan komedi filmlerini tercih ettikleri görülmektedir. Vizyona girdikleri yılları genellikle birinci kapatan Recep İvedik serisi, Eyvah Eyvah serisi, Düğün Dernek serisi bu veriyi destekler niteliktedir. Deniz Yavuz 08.03.2020 tarihinde yapılan görüşmede Türkiye’de filmlerin çoğunlukla aynı tür olmasını şöyle açıklamıştır: *“Son dönemde komedi ve korku filmlerinin yapım maliyetleri hayli düşmüştür. Düşük maliyetlerle yüksek bilet satışları hedeflenmekte ve çoğunlukla bu girişimler başarısızlıkla sonuçlanmaktadır. Nitelik açısından ne yazık ki filmler vasatın altında kalmaktadır. Birbirini tekrarlayan, sinemaseveri ciddiye almayan basit espriler ve görüntülerle dolu filmlerden bahsedebiliriz. Bu filmlerin hiçbirinde yapım tasarımı departmanının varlığından bahsedemeyiz. Bu tür filmlerin üreticilerini daha çok ticari amaçlar uğruna yola çıkmış girişimciler olarak görmek mümkün...”*

En çok izlenen 100 filmin üçte ikisinin komedi filmi oluşu, sinemanın izleyiciye günlük hayatın kaygısını unutturan ve dışarıyı dışarda bırakmaya yardımcı olan bir “kaçış alanı” sağladığı yönündeki tezleri destekler niteliktedir. Oskay’a göre sorunlar karşısında üzülen, çaresizlik hisseden izleyici için, gazete, radyo ve TV programlarında “kaçış olanağı” sunan haberler ve programlar çekici gelmektedir (Oskay, 2015, s. 85). Bu yaklaşımla, sinemada sorunlarından uzaklaşmak isteyen izleyiciye yönelik komedi filmlerinin çokça üretilmesinin nedeni “kaçış olanağı” arayan izleyicinin talebine bir karşılık verme isteği ile ilişkilendirilebilir. Sosyo-ekonomik durumu, eğitimi, yaşı, vb. özellikleri ne olursa olsun, her segmentten izleyici bir “kaçış alanı” arayabilir. 26.02.2020 tarihli görüşmede yönetmen/akademisyen Ulaş Cihan Şimşek Recep İvedik serisinin izleyiciden gelen bu talebi doğru okuduğunu vurgulamıştır. *“Bugün memleketimizde çok izlenen iki filmde biri Recep İvedik, diğeri de Selçuk Aydemir’in filmleri. İyi kötüyü bir yana bırakalım. Bunu ben değerlendiremem. Ama filmleri izleyen kiminle konuşsam diyor ki, “çok güldük ama çok kötü filmdi.” Bu bana büyük bir ironi gibi geliyor... Bence Şahan ve Togan çok değerli insanlar 80 milyonluk ülkede bir açık gördüler. Hiçbirimizin başaramadığımızı başardılar.” Ulaş Cihan Şimşek’in bu ifadesi de “kaçış alanı” tanımlamasıyla ilişkilendirilebilir. 22.02.2020 tarihli söyleşisinde Can Ulkar da Türkiye’deki sinemasını Güney Kore ile karşılaştırarak Güney Kore sinemasında tektipleşmenin önüne geçildiğini belirtmiştir. *“...Hem aksiyon filmleri var, korku var aynı zamanda çok güzel değişik dramaları var. Seyirci sinemaya gitmeye çekilmiş. Biz de bunu nasıl başaracağımızı, seyirciyi sinemaya nasıl çekeceğimizi düşünmek zorundayız. Önü çok net olmayan bir endüstrinin içindeyiz. Futbol nasıl artık sadece spor değilse, sinema da artık sadece sanat değil. Sadece iyi futbola, sadece iyi filmle ilerleyemiyorsunuz. Yönetmenin pazarlanması gerekiyor, filmin pazarlanması gerekiyor, oyuncuların pazarlanması gerekiyor.”**

Öte yandan seri filmler de izleyiciyi perdeye çekebilecek etkin bir unsur olarak görülür. Güvenilir olmayan bir sektör olarak değerlendirilen film endüstrisinde, denenmiş, sınanmış, izleyicinin beğendiği filmlerin çok satanlar listesine gireceğine kesin gözü ile bakılmaktadır. Bir yapıt kötü bile olsa içindeki eski güzel yapıtları anımsatan klişe ve efektlerin başarıyı garantilediğine inanılmaktadır. Türkiye’de bugüne kadar en çok izlenen ilk 10 filmin 5’i, ilk 100 filmin 54’ü seri filmidir. Deniz Yavuz seri filmlerin çoğunlukla sinemaya bir katkısı olmadığını düşünmektedir. 08.03.2020 tarihli görüşmede *“Yarattığı, yaratacağı atmosfer, hikâyenin kurgusu açısından merak uyandıran, malzemesi elverişli olan hikâyelerin devamları potansiyel sinema izleyicisi için her zaman cazip olmuştur. Bu filmlerle karşılaşan izleyici sinemaya giderek bu girişimlerin karşılığı vermektedir. Yalnızca önceki bölümün yüksek bilet satışına ulaşmasına bakarak yeni bir devam filmi çekmek ise manasızdır. Üreticisini pek tabii ki mutlu edebilir ama sinema olgusuna ve geleceğe bir katkısı yoktur.”* şeklinde belirtmiştir. Yönetmen Baran Seyhan 24.06.2020 tarihinde yapılan görüşmede günümüz sinemasının seyirci ile kurmuş gibi görüldüğü bağın tamamen bir yanılısamadan ibaret olduğunu belirtmiştir. *“Yalnızca sınırlı sayıdaki ve birkaç türdeki filmler dışında genel itibarıyla sinemamızın seyirci ile arasında bir bağ yok. Seyircisi olmayan sinemanın varlığı tartışma götürür.”*

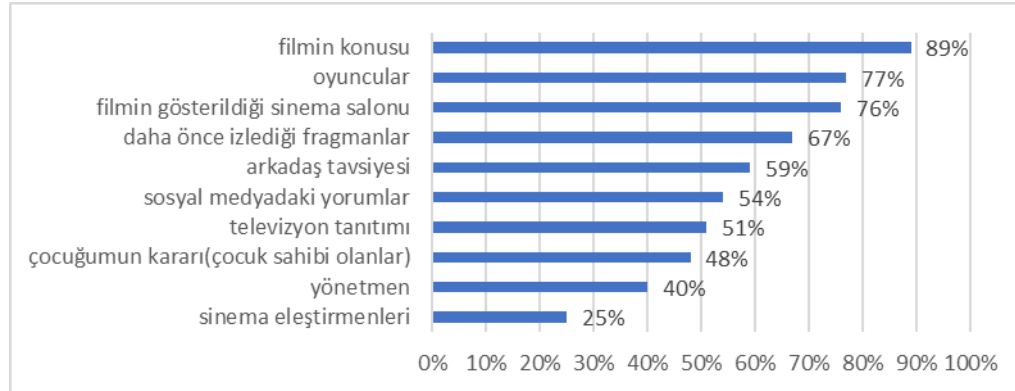
Konu sanat, kültürel ve yaratıcı endüstriler olunca, tüketicuyu merkeze yerleştirmek yukarıdaki gibi haklı itirazları da beraberinde getirmektedir. Bununla beraber sanat sanat için mi, toplum için mi, ya da sinema bir sanat mıdır tartışmaları bir yana bırakılırsa, realist bir bakış açısıyla sinemanın ancak seyircisiyle ayakta durabilecek, istikrar sağlayabilecek ve gelişebilecek bir alan olduğu söylenebilir. Bu sebeple, film endüstrisinde proje geliştirilirken, filmin ulaşmak istediği seyirci kitlesinin doğru analiz edilmesi hayati önem taşır. Doğru analizse ancak belirli saha çalışması verilerine dayanarak mümkün olabilir. Ancak film endüstrisinde tüketici tatmini, sadece tüketicilere ne izlemek istediklerini sorup, sanatsal değerine bakılmaksızın isteneni üretmekle de sağlanamaz. Bu filmlerin tektipleşmesini ve sadece çoğunluğun isteklerine cevap verilmesini beraberinde getirebilir.

2.2. İzleyicinin Film Seçme Kriterleri Nelerdir?

Diğer tüm endüstrilerde olduğu gibi film endüstrisinde de pazarlama halkla ilişkileri, ürünün hem üretimini hem de tüketimini kapsar. Kerrigan and Yalkin (2009) bir filmi tüketmenin sadece filmi izlemekle bitmediğini vurgular. Eğer izleyici isterse, filmi izleme öncesi ve sonrasında arkadaşları veya filmin izleyicileriyle filmi yorumlayarak, online siteleri ziyaret ederek filme ilişkin yorumları okuyarak veya yorum yazarak da bir filmi defalarca tüketebilir. Filmin yönetmeni ve senaristinin diğer filmlerini araştırabilir, film müziklerini üreten müzisyenler veya besteciler hakkında bilgi toplayabilir. Yani bir filmin tüketimi döngüsel ve kitaplar, müzik, televizyon, gazete/ dergi makaleleri gibi diğer kültürel ürünlerden ilham alabilir (Kerrigan, 2010, s. 10).

İzleyici tüketmek istediği filmi seçerken eğlence ve kaliteli vakit geçirmek en önemli faktörler olsa da bu ilginin bir amacı vardır. Pringle'a göre eğer tüketici belirli bir hizmet ya da ürünü arıyorsa marka mesajlarını seçerek algılar. Dolayısıyla bir eğlence aracı olan sinema da pazar ekonomisi içerisinde yerini alır ve filmler pazarlanabilir markalara dönüşür (Bayçu, 2016).

Grafik 1: Seyircinin Film Seçme Kriterleri



Kaynak: Sinema İzleyici Profili Araştırması, IPSOS - Mars Media, (2016)'dan derlenmiştir.

Yukarıdaki tabloda CGV Mars Media'nın 2016 yılında IPSOS'a yaptırdığı izleyici profili araştırmasından derlenen izleyicinin film seçme kriterleri görülmektedir. Ankete katılan 2935 kişiden film seçerken karar vermelerinde etkili olan unsurları sıralamaları istenmiştir. Verilen en yüksek iki skora göre oluşturulan yukarıdaki tabloda görülebileceği gibi, katılımcıların %89'u filmın konusu, %77'si filmın oyuncularınının film seçiminde etkili olduğunu belirtmiştir.

İzleyicinin seçimi, çoğu zaman filmde yer alan yıldızların tanınırlığı ve izlenme potansiyeliyle ölçülür. Yönetmen Kamil Çetin 29.05.2020 tarihli görüşmede bir filmın senaryosunun yazılırken ve oyuncuları seçilirken pazarlama halkla ilişkileri kaygısının olduğunu belirtmiştir. "Devlet destekli filmlerde çok önemsenmese de, kendi özkaynaklarını kullanan diğer yapımcıların çok değer verdiği bir konu bu. Sonuçta kimse koyduğu paranın batmasını istemez. Yani kar edemese bile en azından zarar etmek istemez. Ve bunun içinde tabii ki seyircinin afişte fragmanda görmek istediği belirli resimler, isimler var. Ve bu yüzden PR ve pazarlama kaygısıyla bazen oynatmak istediğiniz oyuncuyu oynatamayıp, PR için tanıtım için değeri olan oyuncuları oynatmak durumunda kalabiliyorsunuz. Bu da Türk sinemasının gerçeklerinden biri. Yapabileceğiniz bir şey yok bu konuda çok fazla. Ama gişe kaygısı olmayan filmlerde, devlet destekli olsun, festivale giden ve sadece festival için düşünülen filmler olsun, onların çok fazla PR ve gişe kaygısı olmadığı için daha çok istedikleri oyuncuları oynatabiliyorlar." Yönetmen Hakan Algül ise 20.06.2020'de yapılan görüşmede oyuncu seçiminde PR kaygısının öne geçmediğini belirtmiştir. "Benim Ata Demire ile çektiğim 5 ya da 6 film var. Bir tane Gupse Özay'la var, bir tane Şahin İrmak'ın yazdığı senaryo var. Daha çok senaryoları ve fikirleri, öyküleri başrol oyuncularının yazdığı filmlerde rol

aldım. Oyuncu seçerken asıl olan şudur, kasti yaparken de başrol oyuncusu yani senariste, en uygun oyuncularından seçmeye çalışıyoruz. Provalar yapıyoruz, okuma provaları, “audition”lar yapıyoruz. Biraz cast konusunda ince eleyip sık dokuyan biriyimdir. Setin içindeki oyuncu uyumu benim için önemlidir. Öyle bu meşhur, bunun PR’ı var gibi bir cümle olmuyor hayatımızda.” Yönetmen Can Ulkar da 22.02.2020 tarihli söyleşisinde oyuncu seçimi konusunda kendini şanslı hissettiğini, kendi istediği oyuncularla çalıştığını ama bir noktada yapımcının ve dağıtımının isteklerinin de devreye girmeye başladığını belirtmiştir. “Her şey “film eşittir seyirci sayısı” ile ölçülüyor. Çok seyirci gelirse yönetmen alkışlanıyor, az seyirci gittiği zaman yönetmen başarısız kabul ediliyor bu da yanlış aslında.”

Yönetmen/ akademisyen Ulaş Cihan Şimşek 26.02.2020 tarihindeki görüşmede yıldızlarla çalışmanın etkisini şöyle anlatmıştır: “Bizde bir projeye başlıyorsunuz. İlk soru oyuncuları kim. Bunu herkes soruyor. Mekân kiralamaya gidiyorsunuz. Onlar bile soruyor. Parasını vereceğiz mekânı kiralayacağız. O bile bu PR kültürünün bir parçası olmuş durumda. Bunun kanal tarafını, reklam tarafını, afiş tarafını hiç konuşmuyorum bile. Şunu eklemek lazım; belki bu kriz bize noname ve daha makul fiyatlı oyuncuları kullanmamıza izin verecek. Ben en çok bunu ondan dolayı istiyorum. Çünkü yıldızlarla çalışabilme imkânı yaratmak çok zor. Onlara zaten reklam kampanyası da geliyor. Dijital de geliyor... Ve o oyuncu parçalanıyor. O PR’ın bir parçası haline geliyorsun. Ve o oyuncuyla bir film çekmek istiyorsan o oyuncunun yıl içinde iki üç haftasını kendine ayırman lazım. Ama bu mümkün olmuyor.” Yönetmen Şahin Yiğit de 26.05.2020’de yapılan görüşmede bir oyuncunun marka değeri filmin gişesine doğrudan etki ettiğini belirterek şöyle devam etmiştir. “Bütün yapımcılar markalaşmış, PR’ı olan oyuncular tercih eder. Ama elbette bu gişe filmleri için geçerli. Bir festival filmi veya belgesel çektiğimde oyuncunun PR değeri ikinci plana düşer ve bu noktada oyuncunun yeteneğiyle yol almak isterim. Bir belgeselde ve festival filminde marka değeri çok önem taşımaz ama şu avantajı var; marka değerli oyuncular da böyle projelerde yer almak istedikleri için en azından daha ulaşılabilir ve erişilebilir bir bütçe ve imkana sahip olabiliyoruz... Hiç gişe kaygısı olmayan bir filmde bile marka değeri olan bir oyuncu yer alırsa, sizin de marka değerinizi artırıyor.” Ancak Yiğit marka bir oyuncu oynatmak istenildiğinde karşılaştıkları sıkıntıları da belirtmiştir. “Örneğin oyuncu BKM’nin kadrolu oyuncusu çıkıyor ve bu oyuncularla çalışma ihtimalimiz söz konusu olamıyor. Bu oyuncuların serbest piyasada rekabet eden diğer yapımcıların filmlerinde de oynayabilmelerinin önünün açılması gerekiyor. Böyle olmadığı sürece marka değeri olmayan yetenekleri bile oynatsanız, seyirci profili marka algısı olmayan oyuncularla pek ilgilenmiyor ve ilgi göstermiyor. Bu da gişelere yansıyor ve yapımcı batıyor.”

Filmin yapımcısı ve yaratıcı ekibi bir filmin pazarlanabilir olmasını arttırabilir. Yönetmen Hakan Algül 20.06.2020 tarihli görüşmede “ana akım bir endüstriden bahsetmek istiyorsak mutlaka yapım firmalarının güçlü yapım firmaları, para kaygısı olmayan yapım firmaları olması lazım” diyerek yapımcının önemini vurgulamıştır. “Prodüksiyon olarak BKM ile çalıştım ben bu filmlerde. 9 filmim var 8’ini BKM ile yapmışım. Ana akım sinemada, yani seyirci sinemasında BKM zaten güçlü bir marka, çok fazla sayıda kopya ile giriyor salonlara. PR’ını yaparken de reklam ve tanıtımda bütçe ayırıp, ona göre tanıtım yapıyor. Dolayısıyla hem salon sayısı olarak hem de PR ve tanıtım olarak güçlü çıkıyorduk. Bu da seyircinin duymasına sebep oluyordu”. Yönetmen Can Ulkar da 22.02.2020 tarihli söyleşisinde aynı noktayı vurgulamıştır. “Ayla Oscar Adayı olduğu için insanlar daha çok merak edip gitti. Oscar’a gidecek, Oscar’ı kazanacak falan dendi. Sonra Müslüm vizyona girerken bu sefer şöyle dendi, Ayla’nın yapımcısından. Bu sefer de o prim yaptı.”

Bir filmin estetik ve sanatsal kalitesinin önemli bir göstergesi olan ödüllerin izleyici üzerinde etkili olduğu bilinmektedir. Oscar, Emmy, Altın Küre, Altın Palmiye gibi ödül törenlerinde yarışmak bile filmler için önemli bir tanıtım aracıdır. Türkiye’de ABD ve Avrupa’daki kadar etkili olmamasına rağmen ve ödül verilen filmlerin niteliklerinin sorgulanmasına rağmen Altın Portakal, Altın Koza, İstanbul Film Festivali gibi ödül törenleri önemli tanıtım araçlarıdır (Bayçu, 2016). 5 milyondan fazla seyirci tarafından izlenen Ayla filmi, 2017 yılında Türkiye’nin Oscar Adayı olarak lanse edilmiş, aday adaylığından adaylığa seçilememesine rağmen “Oscar” önemli bir tanıtım malzemesi olarak kullanılmıştır. Yönetmeni Can Ulkar’a göre Ayla’nın gişe başarısında filmin kalite algısının yüksek oluşu etkili olmuştur. 22.02.2020 tarihindeki söyleşisinde “Türkiye’de çok para harcandı, çok kişi izledi öyleyse bu çok iyidir, çok pahalıysa çok iyidir algısı var. Oysaki çok pahalı olan her zaman çok da iyi değildir. Ama bu algı pazarlamada işe yarıyor. 10 bin kostüm, 150 günde çekildi... Evet doğru bunların sayesinde daha güzel çıktık ama burada pazarlama stratejisi de önem kazanıyor. Ayla Oscar Adayı olduğu için de insanlar daha çok merak edip gitti... Oscar’a gidecek, Oscar’ı kazanacak falan dendi.” şeklinde belirtmiştir. Filmin ilk hafta sonu açılış toplam seyirci sayısı 312 bin civarında kalmışken (Recep İvedik 4 ve 5’in ilk haftasonu açılışları 1,6 milyon’dur), oluşturulan bu algı ve WOM sayesinde izlenme oranı gittikçe yükselmiş, vizyonda kaldığı salon sayısı 8. Haftasında bile 400’ün üzerinde kalmış, 46 hafta vizyonda kalarak 5.589.872 seyirciye ulaşmış, tüm zamanların en yüksek 5.6.7. hafta sonu izlenme rekorunu elde eden yerli film olmuştur. Başka bir

örnek olarak Tolga Karaçelik'in yazıp yönettiği yeni filmi Kelebekler verilebilir. Kelebekler Dünya'nın en prestijli festivallerinden biri olan ve bu yıl 32'si düzenlenen Sundance Film Festivali'nde hem festivalin açılış filmi olmuş hem de Dünya Sineması Büyük Jüri Özel Ödülü'nü almıştır. Bu başarı gişe başarısının artmasını da sağlamıştır, 31 hafta vizyonda kalan film, bağımsız filmleri sinemada izleme alışkanlığı olmayan izleyiciyi salonlara çekmeye başarmıştır (NTV Sanat, 2018).

IPSOS'un araştırmasında öne çıkan başka bir önemli unsur, arkadaş tavsiyesidir. İzleyicilerin %60'ı film seçimlerinde arkadaşlarından etkilendiğini belirtmektedir. Bu veri de WOM ve kazanılmış medyanın önemini kanıtlar niteliktedir. Sinema eleştirmenleriyse izleyiciyi film izlemeye motive eden en zayıf faktör olarak görülmektedir. Bunun yerine sosyal medyada görüşlerini paylaşan "yeni kanaat önderleri" olan sosyal medya fenomenlerinin seçimleri izleyiciyi etkilemektedir. Üstelik izleyici bu yeni kanaat önderlerinin paylaşımlarında ödenmiş ve kazanılmış ayrımını da başarıyla yapabilmektedir. Balta Peltekoğlu ve Demir Askeroğlu'na göre çok eski bir iletişim kanalı olan WOM, internet ve sosyal medya aracılığıyla daha yüksek hızla ve erişim oranı ile gerçekleştirilebilmektedir. Fenomenler dijital ortamın yeni kamuoyu önderleri haline gelmekte, e- WOM dijital fenomenlerin desteği ile stratejik bir nitelik kazanmaktadır (Balta Peltekoğlu & Demir Askeroğlu, 2019) Balta Peltekoğlu ve Tozlu'nun 2018'de sunulan Sanatsal Faaliyetlerin Halkla İlişkilerinde Yeni Nesil Kamuoyu Önderleri araştırma verileri de genç nüfusun çok önemli bir yüzdesinin (%74) en az bir sosyal medya fenomenini takip ettiği, bu kitlenin yarısının sosyal medya fenomenlerinin yayınladığı mesajları her gün mutlaka takip ettikleri ve bu topluluğun %72,9'unun ise fenomen olarak sevdikleri bir sanatçıyı takip ettikleri bulgusu ortaya çıkmaktadır. Araştırmanın korelasyon sonuçlarına bakıldığında ise sanatsal tercihler ile sevilen sanatçıların takip durumu karşılaştırıldığında, en yüksek oranda sırasıyla; sinema tercihi, müzik tercihi, tiyatro tercihi ve resim sanatı tercihi konusunda yapılan paylaşımların yönlendirici olduğu görülmektedir. (Balta Peltekoğlu & Tozlu, 2018) Vizyona girdiği ilk hafta başarısı çok yüksek olmamakla beraber, 4. 5. 6. ve 7. haftalarında en çok izlenen film olan Ayla'nın başarısı, pozitif e-WOM'un filmlerin izlenme oranlarını arttırabildiğinin açık bir göstergesidir. Türü ve dramatik yapısıyla Türk sinemasının en çok izlenen diğer filmlerinden ayrılan Ayla'nın bir diğer başarısı da izleyiciyi çok iyi analiz edip, sıradan olmayan ama izleyici beklentilerine de cevap verebilme başarısıdır. Bu veriler yapımcıların geleneksel yöntemlerin yanında, pozitif WOM yaratacak edinilmiş ve kazanılmış medya mecralarını çok iyi kullanabilmesi gerektiğini doğrulamaktadır.

4. SONUÇ

Yeni iletişim teknolojilerinin pazarlama halkla ilişkilerini nasıl değiştireceği ve hangi noktaya getirebileceğinin henüz öngörülebilir bir cevabı yok. Sınırsız hayal gücü, sosyal medyanın sınırsız olanaklarıyla buluştukça, yepyeni iletişim kanalları doğup, var olanlar popülerliğini hızlıca kaybedebilmekte veya dijital ortama uyarlanabilmektedir. Film endüstrisinde ürün ömrü çok kısadır; bir filmin vizyona girdiği ilk birkaç hafta başarının yakalanabilmesi şarttır. Buna karşılık tüketicinin yani izleyicinin beğenisiyse son derece öznel. Eğer tanıtım ve pazarlama stratejileriniz vizyonda anında karşılık bulamazsa, filminiz her yıl üretilen binlerce film arasında fark edilemez ve birkaç hafta içinde vizyondan çekilebilir. Buna karşılık pazarlama halkla ilişkilerinin film endüstrisinde başka hiçbir endüstride olmadığı kadar hızlı ve net sonuç verdiği sayısız örnekle ortaya konulmuştur. WOM yaratabilecek nitelikli içeriklerle sosyal medya öncesi yüzbinlere dolar harcayarak yapılabilecek tanıtım, sosyal medyada birkaç saat içerisinde yüzbinlerce sosyal medya paylaşımıyla yapılabilmektedir. Bu doğrultuda kazanılmış medyanın izleyiciyi harekete geçirme etkisi de göz önüne alınarak, hem geleneksel pazarlama halkla ilişkileri stratejilerinin hem de kazanılmış medyaya yönelik yenilikçi pazarlama halkla ilişkileri uygulamalarının bir filmin potansiyeline ulaşabilmesi, tanınması ve takdir görebilmesi için hayati önem taşıdığı söylenebilir.

Bununla beraber kültürel ve sanatsal bir endüstri olan film endüstrisinde sadece tüketici tatminini ön planda tutan ve tek amacı hedef kitleyi ve pazarı büyütmek, sanatsal değerine bakılmaksızın isteneni üretmek olan bir pazarlama halkla ilişkileri stratejisi yürütmek de, sağlıklı büyümenin önünde büyük bir engel teşkil edecektir. Bu stratejiler filmlerin tektipleşmesini ve sadece çoğunluğun isteklerine cevap verilmesini beraberinde getirebilecektir. Endüstrinin sağlıklı büyüebilmesi için, sinema izleyicisini doğru segmentlere ayırabilmek, bu segmentlerin ne tür filmlere nasıl tepki vereceğini öngörmek, farklı hedef izleyiciye göre film çeşitliliği sağlamak pazarlama halkla ilişkilerinin temel hedefi olmalıdır.

KAYNAKÇA

- Abisel, N. (2005). Türk Sineması Üzerine Yazılar. Ankara: Phoenix Yayınları, .
Akser, M. (2018). PanoramaKadir Has Üniversitesi Dergisi. <http://panorama.khas.edu.tr/dosya-turk-sinemasinda-blockbusterlar-595>

- Altan, S. (2018). Geçtiğimiz Yıllardan 10 Harika Deneysel Pazarlama Örneği . <https://pazarlamasyon.com/gectigimiz-yillardan-10-harika-deneysel-pazarlama-ornegi/>
- Anasponsor. (2018). 2017 Yılı Yerli Film Sponsorlukları İnfografiği. <https://blog.anasponsor.com/2017-yili-yerli-film-sponsorluklari-infografiği/>
- Anasponsor. (2019). 2018 Yılı Yerli Film Sponsorlukları İnfografiği. <https://blog.anasponsor.com/2018-yili-yerli-film-sponsorluklari-infografiği/>
- Andrew, & Galak. (2012, October). The Effects Of Traditional And Social Earned Media On Sales: A Study Of A Microlending Marketplace. Journal Of Marketing Research, Vol. 49(No. 5), 621.
- Asna, A. (1988). Halkla İlişkiler.
- Asna, A. (2008). Halkla İlişkiler Eğitiminde Yeni Yaklaşımlar. M. Işık içinde, Tüm Yönleriyle Halkla İlişkiler ve Tanıtım (s. 98). Konya.
- Balta Peltekoğlu, F. (2010). Kavram ve Kuramlarıyla Reklam. İstanbul: Beta.
- Balta Peltekoğlu, F. (2014). Halkla İlişkiler Nedir? İstanbul: Beta.
- Balta Peltekoğlu, F., & Demir Askeroğlu, E. (2019). Dijital Halkla İlişkiler: Fenomenler Dijital Marka Elçisi Olabilir Mi? Selçuk Üniversitesi İletişim Fakültesi Akademik Dergisi, 1044-1067.
- Balta Peltekoğlu, F., & Tozlu, E. (2018). Sanatsal Faaliyetlerin Halkla İlişkilerinde Yeni Nesil Kamuoyu Önderleri. II. Uluslararası Multidisipliner Çalışmaları Kongresi.
- Baudrillard, J. (1997). Tüketim Toplumu. İstanbul: Ayrıntı Yay.
- Bayçu, S. (2016). Film Pazarlamasında Başarılı Bir Halkla İlişkiler İçin Gündem Belirleme.
- Bernays, E. I. (1952). Public Relations. University of Oklahoma Press.
- Burney, K. (2015). The Star Wars Marketing Force Awakens on Social Media with 234 Million Interactions . <https://trackmaven.com/blog/star-wars-marketing-force-awakens-on-social-media/>
- Ceylan, E. (2014). Düşük Bütçelerle İnanılmaz Hasılatlar Yapan 16 Efsane Film. <http://onedio.com/haber/dusuk-butcelerle-inanilmaz-hasilatlar-yapan-16-efsane-film-249326>
- Cheng, T. (2014). "Public Relations And Promotion in Film: How It's Done And Why It's Important" Syracuse University Honors Program Capstone Projects. Paper 782.
- Chomsky, N. (2016). Medya Denetimi. İstanbul: Everest.
- Combs, J., & Combs, S. (1994). Film Propaganda and American Politics. NY: Routledge.
- Dijk, J. V. (2006). The network society. Sage Publications.
- Eğilmez, M. (2018). Tarihsel Süreç İçinde Dünya Ekonomisi. İstanbul,: Remzi,.
- Erdoğan, İ. (2006). Teori ve Pratikte Halkla İlişkiler. Ankara: Erk.
- Ertan Tunç. (2014). Türk Sinemasının Ekonomik Yapısı. Türk Sineması Araştırmaları, <https://www.tsa.org.tr/tr/yazi/yazidetay/30/turk-sinemasinin-ekonomik-yapisi>. <https://www.tsa.org.tr/tr/yazi/yazidetay/30/turk-sinemasinin-ekonomik-yapisi>
- Erus, Z. (2007). Film endüstrisi ve dağıtım: 1990 sonrası Türk sinemasında dağıtım sektörü. Selçuk Üniversitesi İletişim Fakültesi Akademik Dergisi, 4(4), s. 5-16.
- Grunig, J., & White, J. (2005). Halkla İlişkiler Kuram ve Uygulamasında Dünya Görüşlerinin Etkisi. J. E. Grunig içinde, Halkla İlişkiler ve İletişim Yönetiminde Mükemmellik. İstanbul: Rota Yayınları.
- Göksel, A., & Köseoğlu, Ö. (2017). P. D. PAZARLAMA içinde, Tüm Yönleriyle Halkla İlişkiler ve Tanıtım (s. 57). Konya.
- Harris, T. L. (1993). Th Marketer's Guide to Public Relations. New York: John Wiley & Sons.
- Harris, T. L. (tarih yok). Why Your Company Needs Marketing Public Relations. Public Relations Journal, Vol. 47, No. 9.
- Hayward, S. (2012). Sinemanın Temel Kavramları. İstanbul: Es Yayınları.
- Kılınçarslan, Y. (2015). Sinemada Bir Pazarlama Unsuru Olarak Film Fragmanları. Karadeniz Teknik Üniversitesi İletişim Araştırmaları Dergisi, 5.2, s. 32-53.
- Kirel, S. (2018). Kültürel Çalışmalar ve Sinema. İstanbul: Ithaki.
- Kanzler, M. (2014). The Turkish Film Industry, Key developments 2004 to 2013. Strasbourg: European Audiovisual Observatory (Council of Europe).
- Kerrigan, F. (2010). Film marketing. Oxford: Elsevier.
- Kotler, P., Setiawan, I., & Kartajaya, H. (2016). Marketing 4.0: Moving from traditional to digital. John Wiley & Sons.
- Lesly, P. (1959, October). Public Relations and the Challenge of Marketing Revolution. Journal of Marketing, American Marketing Association, s. 1-6.
- Levinson, J. C. (tarih yok). What is Guerilla Marketing. <http://www.gmarketing.com/>
- Lieberman, A., & Esgate, P. (2002). The entertainment marketing revolution: Bringing the Moguls, the Media, and the Magic to the World. FT Press.
- Lukk, T. (1997). Movie Marketing: Opening The Picture And Giving It Legs. Beverly Hills: Silman.
- Lusch, R. F., & Vargo, S. L. (2006). Service-dominant logic: reactions, reflections and refinements. Marketing theory, 6.3, s. 281-288.

- Mattelart. (tarih yok). İletişimin Dünyasallaşması. İstanbul: İletişim.
- Nielsen. (2013). Under The Influence: Consumer Trust In Advertising: <http://www.nielsen.com/us/en/insights/news/2013/under-the-influence-consumer-trust-in-advertising.html>
- Norris, C. (1990). What's Wrong with Postmodernism. Londra: Wheatsheaf.
- NTV Sanat. (2018). <https://www.ntv.com.tr/sanat/kelebekler-sundance-film-festivalinde-en-iyi-film-secildi,WNIkOWI0UyXSQHF5FyuJw>
- Odabaşı, Y. (2004). Postmodern Pazarlama. İstanbul: MediaCat.
- Okay, A., & Okay, A. (2005). Halkla İlişkiler. İstanbul: Der Yayınları.
- Oskay, Ü. (2015). İletişimin ABC'si. İstanbul: İnkılap.
- Özen, E., & Çelenk, S. (2006). Sinema Endüstrisinin Ekonomik Yöndeşme Eğilimleri: Hollywood Örneği. İletişim Araştırmaları.
- Özön, N. (1995). Karagözden Sinemaya Türk Sineması ve Sorunları 1. Cilt. İstanbul: Kitle Yayınları, 1995, s. 25. Aktaran: Sevim, a.g.m., s.74.
- Raaij, W. F. (1993). "Postmodern Consumption: Architecture, Art, and Consumer Behavior". W. Van Raaij , & G. Bamossy içinde, E - European Advances in Consumer Research Volume 1, (s. 550-558). Provo, UT: Association for Consumer Research.
- Ransome, P. (2005). Work, consumption and culture: Affluence and social change in the twenty-first century. . Sage. se-sam. <http://se-sam.org/turkiye-sinema-tarihi/>
- Silver, J. (1999). "The Blair Witch Project: a marketing case study.". <http://eprints.qut.edu.au/41191/>
- Simpson, B. (2012). imediconnection. <http://www.imediconnection.com/articles/ported-articles/red-dot-articles/2012/jul/11-innovative-movie-marketing-campaigns/>
- Sinema Sektörüne Destekler. (tarih yok). Sinema Genel Müdürlüğü: <https://sinema.ktb.gov.tr/TR-144743/sinema-sektorune-destekler.html>
- Sütçü, C., & Akyazı, E. (2006). Yeni İletişim Ortamları ve Bilgi Uçurumu. Yeni İletişim Ortamları ve Etkileşim Uluslararası Konferansı Bildiri Kitapçığı.
- T.C. Kültür ve Turizm Bakanlığı Teftiş Kurulu Başkanlığı. (tarih yok). <https://teftis.ktb.gov.tr/TR-14493/sinema-filmlerinin-degerlendirilmesi-ve-siniflandirilma-.html>
- Tanrıöver, H. U. (2011). Türkiye'de Film Endüstrisinin Konumu ve Hedefleri (Cilt <http://www.ito.org.tr/itoyayin/0024397.pdf>). İstanbul: İTO Yayınları.
- Tanrıöver, H. U. (2011). Türkiye'de Film Endüstrisinin Konumu ve Hedefleri. İstanbul: İTO Yayınları.
- Teksoy, R. (2005). Sinema Tarihi. İstanbul: Oğlak Yayınları.
- Toros, D. (2016). Sosyal Medya ekosisteminde Pazarlama Halkla İlişkileri: MPR ve WEB 2.0. F. B. Peltekoğl içinde, İletişimin Gücü. İstanbul: Beta.
- turksineması.com. (tarih yok). <http://www.turksineması.com/1961-1970/>
- Şentürk, D. D. (2014). Türkiye'de Film Endüstrisi, 2011-2015. İstanbul: İstanbul Ticaret Odası, İstanbul Düşünce Akademisi,.
- Waterhouse, D. (2014). 1 in 3 Moviegoers Would Buy A Movie Ticket After Watching An Online Trailer Or Ad, Says New Study. <https://unruly.co/news/article/2014/10/16/1-3-moviegoers-buy-movie-ticket-watching-online-trailer-ad-says-new-study/>
- <http://demographia.com/db-pc1929.pdf>
- <https://www.youtube.com/watch?v=aRNwGimhok4>
- <https://www.youtube.com/watch?v=1pd74lt-yVo>
- <https://www.youtube.com/watch?v=a2wNpiiR3ZU>

Covid-19 Algısının Sosyal Endişeler Üzerindeki Etkisinde “Sıkıntıya Dayanmanın” Aracılık Etkisinin İncelenmesi

Öğr. Gör. Bekir DEĞİRMENCI¹

¹Adiyaman Üniversitesi / Besni Meslek Yüksekokulu, Büro Hizmetleri ve Sekreterlik,
bdegirmenci@adiyaman.edu.tr, ORCID: 0000-0001-5236-5245

Özet: Küresel dünyayı etkisi altına alan Covid-19 pandemisi olumsuz sonuçlarıyla insanoğlunun yaşam koşullarını önemli ölçüde tehdit etmektedir. Konuyla ilgili bilim dünyasında birçok araştırma yapılmakta olup pandemi sürecinde ağırlıklı olarak fiziksel tahribatlarını araştıran yayın sayısı oldukça fazladır. Konunun ciddiyeti dikkate alındığında virüsün insanın manevi yani psikolojik yapısını olumsuz yönde etkileyen çok az çalışmaya rastlanmıştır. Bu çalışma pandemi sürecinin insanlar üzerinde yarattığı olumsuz psikolojik etkilerinin ortaya konması yönüyle literatürde önemli bir boşluğu dolduracağı düşünülmektedir. Ayrıca yapılan araştırma kapsamında covid-19 salgının ulaştırma sektörü çalışanları üzerindeki psikolojik etkileri ortaya koyan bir çalışmaya rastlanmamış olması çalışmanın orijinalliğini güçlendirmiştir. Bu bağlamda araştırmanın amacı covid-19 algısının sıkıntıya dayanma üzerindeki etkisinde sosyal endişelerin aracılık rolünü ortaya koymak olmuştur. Elde edilen bulgular göstermektedir ki covid-19 algısının sosyal endişe üzerinde etkisi bulunmaktadır. Aynı zamanda elde edilen bir diğer bulgu ise sosyal endişenin sıkıntıya dayanma üzerinde pozitif ve anlamlı bir etkisinin bulunduğudır. Çalışma kapsamında ulaştırma sektöründe çalışan 146 kişiye ulaşılmıştır. Sanal ortamda anket formu oluşturulması, whatsapp üzerinden anket formlarının gönderilmesi, çalışanların psikolojik durumlarının ortaya konması, ancova analizleri ve çağdaş aracılık yöntemleri kullanılmasıyla araştırmaya zenginlik katılmıştır.

Anahtar Kelimeler: Covid-19 Algısı, Sosyal Endişe, Sıkıntıya Dayanma, Ulaştırma Sektörü

Abstract: The Covid-19 pandemic, which affects the global world, threatens human living conditions significantly with its negative consequences. A lot of research is being done in the scientific world on the subject and the number of publications that mainly investigate the physical destruction of the pandemic process is quite large. Considering the seriousness of the issue, there have been very few studies of the virus affecting the psychological structure of the human being in a negative way. It is thought that this study will fill an important gap in the literature in terms of revealing the negative psychological effects of the pandemic process on humans. Furthermore, the fact that there was no study that revealed the psychological effects of the covid-19 outbreak on transportation sector workers reinforced the authenticity of the study. In this context, the purpose of the research has been to establish the mediating role of social concerns in the impact of covid-19 perception on labour. The findings show that the perception of covid-19 has an effect on social anxiety. Another finding was that social anxiety had a positive and meaningful effect on coping with adversity. The study reached 146 people working in the transport sector. We have participated in the research by creating a questionnaire in a virtual environment, sending questionnaire forms via WhatsApp, revealing the psychological status of employees, using ancova analyses and modern mediating methods.

Key Words: Covid-19 Perception, Social Anxiety, Labour, Transport Sector

1. GİRİŞ

COVID-19 virüsü, SARS-CoV ve MERS-CoV’unda içine bulunduğu beta-coronavirus (beta- koronavirus) ailesi içinde yer alan bir virüs türü olup, 2019 yılında ortaya çıkıp kısa zaman içerisinde hızla tüm dünyayı etkisine almış ve durum küresel bir salgın yani “pandemi” olarak ilan edilmiştir (World Health Organization [WHO], 2020). Başlıca solunum yolu enfeksiyonuna neden olan bu virüs bireylerin sadece fiziksel sağlığını tehdit etmekle kalmayıp aynı zamanda ruhsal sağlık üzerinde de hem akut hem de uzun vadeli etkiler ortaya çıkarabilmektedir (Almond ve Mazumder, 2005: 258). Özellikle salgının ortaya çıkışı ve vaka sayılarının arttığı dönemlerde bireylerin artan düzeyde korku, endişe ve stres algıladığı gözlenmiştir (Rajkumar vd., 2020: e102066). Önceki çalışmalarda, ağır akut solunum yolu yetersizliği sendromu (SARS) gibi bulaşıcı hastalıkların bireylerin anksiyete, depresyon ve stres düzeylerini artırabildiği gösterilmiştir (Wu, K. K., Chan, S. K., ve Ma, T. M., 2005: 39-42). Bunun yanında salgına yönelik temel önlem olan sosyal izolasyon bireylerin yaşam biçimini ve alışkanlıklarını dramatik biçimde değiştirmiştir. Bu değişimin uzun vadede belirli ölçüde kalıcı olacağı düşünülmektedir. Bu değişimlerden ikisi uzaktan eğitim ve işyerlerinin çalışanlarına evden çalışma fırsatı sunmasıdır. Bir yönüyle bu salgın tüm dünyada “online” sistemlerin işleyişinin test edildiği, iş yapma şekillerinin değiştiği yeni bir döneme kapı açmıştır. Zorunlu izolasyon nedeniyle sosyal ilişkiler azalmış ve yalnızlık duygusu artmıştır (Holt-Lunstad, 2017: 127-130). Sosyal ilişkilerin ruh sağlığını koruyucu rolü göz önüne alındığında salgının olumsuz ruhsal etkileri kaçınılmaz hale gelmiştir. Bu salgın, toplumsal ve ekonomik düzeni derinden etkileyen, kurumlara yönelik güven duygusunu sarsan, değerleri sorgulatan, belirsizlik ve korkunun hâkim

olduğu evrensel bir varoluşsal kriz oluşturmuştur. Ortaya çıkış nedeninin tam olarak bilinmemesi, virüsün gözle görülebilmesi ve toplumun tüm kesimindeki bireylerin risk altında olması salgını küresel bir travmaya dönüştürmüştür. Travma sonrası beklenen psikolojik tepkilerin tamamı salgın döneminde adım adım gözlenmiştir. Yaşanan belirsizlikle birlikte hastalık kapma endişesiyle yaşanan korku, mutsuzluk, ümitsizlik, çaresizlik gibi duygular da salgın halini almıştır (Bozkurt ve diğ., 2020: 305).

Salgının yayılmasını önlemek için farklı ülkelerde alınan çeşitli önlemler, bireylerde panik ve stresin artmasına neden olmuştur. Bazı ülkelerde, insanlar yiyecek stoklamaya başladılar ve hatta silah sahibi olmaya başladılar. COVID-19 korkusu nedeniyle ABD, Türkiye, İtalya ve Fransa'dan insanların intihar ettiği haberi yayılmıştır. Pandeminin ilk aşamasında, uzmanlar fiziksel sağlığı korumanın yollarını açıkladılar. Hastalık yayıldıkça akıl sağlığını korumanın da önemini vurgulamaya başlanmıştır. Salgının bireysel düzeyde çaresizlik, hastalık ve ölüm duygularını tetiklediği söylenebilir. Korku genellikle ilkel bir duygudur ve gerçek ya da algılanan bir tehdit karşısında ortaya çıkar. Bu duygu, şimdiki zaman içindir, çünkü bir tehdit edici olduğuna inanılan bir duruma o anki tepki olarak verilmektedir. Nabızın artması, kas sertliği ve korku durumunda solunumun hızlanması gibi bazı fizyolojik semptomlar, vücudu tehlikede olduğunda bir cevap üretmeye hazırlar (Bakioğlu ve diğ., 2020: 1).

Belirsizliğe tahammülsüzlük, bir bireyin, olsa da olmasa da olumsuz bir şeyin meydana gelebileceğini kabul etmeyi reddetme eğilimi olarak tanımlanmıştır (Dugas ve diğ., 2001). Hayatın birçok yönünün belirsizliklerle dolu olduğu düşünüldüğünde, belirsizliğe tahammülsüzlüğün bireyler için çok zor olacağı beklenmektedir. Buhr ve Dugas (2002) belirsizliğe tahammülsüzlüğün dört boyutu olduğunu belirlemiştir. Bu boyutlardan ilki, belirsizliğin harekete geçememe duygularına neden olmasıdır; ikincisi belirsizlik stresli ve üzücüdür, üçüncü olarak, beklenmedik olaylar olumsuz olacaktır ve kaçınılmalıdır ve dördüncüsü, geleceğin belirsizliği adaletsizdir. Carleton ve ark. 2007 yılında yapmış oldukları çalışmada, anksiyeteye duyarlılık ve belirsizliğe tahammülsüzlüğü araştırdıkları çalışmada, iki yapının birbiriyle ilişkili ancak birbirinden bağımsız olduğunu bulmuştur. Bu çalışmanın bir başka bulgusu da belirsizliğe tahammülsüzlüğün ileriye dönük kaygı ve engelleyici anksiyete olmak üzere iki boyutu olduğudur. Bu durumda belirsizliğe tahammülsüzlük korku ve kaygı ile ilgili bir yapı olmakla birlikte yıkıcı ve yanlış değerlendirmelerin bir bileşeni olabilmekte ve pozitifliği etkileyebilmektedir (Satici ve ark. 2020b).

Covid-19 salgını 2019 yılının sonlarında başlamış olup 2020 yılında tüm dünyayı etkisi altına almıştır. Bu bağlamda Türkiye'de bu salgının etkileri gerek insan canı gerekse de mal kayıplarıyla bir çok insanın zarar görmesine neden olmuştur. Covid-19 algısının insanoğlunu hem fiziksel hem de psikolojik yönden bıraktığı tahribatlar oldukça tehlikeli boyutlara ulaşmıştır. Gerek maddi gerekse de manevi açıdan Covid-19 salgınında en fazla olumsuz etkilenen meslek gruplarından birisi de ulaştırma sektörü çalışanları olmuştur. Bu çalışma yerli ve yabancı literatürde daha önce ulaştırma sektöründe çalışanların Covid-19 salgınına ilişkin düşünceleri ve onların salgın sonrası psikolojik durumlarında ne tür etkilere maruz kaldıklarını ortaya koymayı amaçlamıştır. Araştırma bu alanda yapılan ilk çalışma olması nedeniyle literatüre önemli katkılar sağlayacağı düşünülmektedir.

Çalışma kapsamında ilk olarak Covid-19 kavramı incelenmiştir. Sonrasında endişe ve sıkıntıya dayanma kavramları incelenmiştir. Çalışmanın sonraki aşamasında metod kısmına değinilmiş ve bu kapsamda analizlere yer verilmiştir. Çalışma sonuç kısmıyla son bulmuştur.

2. TEORİK ARKA PLAN VE HİPOTEZLERİN GELİŞTİRİLMESİ

2.1. Covid-19Algısı

Koronavirüs büyük bir virüs ailesi olarak tanımlanmaktadır ve soğuk algınlığından Orta Doğu Solunum Sendromu (MERS-CoV) ve Ağır Akut Solunum Sendromu (Severe Acute Respiratory Syndrome, SARS-CoV) çeşitli hastalıklara yol açan türlerinin olduğu bilinmektedir (Kiroğlu, 2020: 81). Koronavirüsler (CoV), soğuk algınlığı gibi toplumda yaygın görülen, kendi kendini sınırlayan hafif enfeksiyon tablolarından, Orta Doğu Solunum Sendromu (Middle East Respiratory Syndrome, MERS) ve Ağır Akut Solunum Sendromu (Severe Acute Respiratory Syndrome, SARS) gibi daha ciddi enfeksiyon tablolarına neden olabilen büyük bir virüs ailesidir. Koronavirüslerin insanlarda bulunan ve insandan insana kolaylıkla bulaşabilen çeşitli alt tipleri (HCoV-229E, HCoV-OC43, HCoV-NL63 ve HKU1-CoV) olduğu gibi, hayvanlarda bulunan ve insanlara geçerek ağır hastalık tablolarına neden olabilen alt tipleri de (SARS-CoV, MERS-CoV) bulunmaktadır. 31 Aralık 2019'da Dünya Sağlık Örgütü (DSÖ) Çin Ülke Ofisi, Çin'in Hubei eyaletinin Wuhan şehrinde etiyojisi bilinmeyen pnömoni vakalarını bildirmiştir. 7 Ocak 2020'de etken daha önce insanlarda tespit edilmemiş yeni bir koronavirüs (2019-nCoV)

olarak tanımlanmıştır. Daha sonra 2019-nCoV hastalığının adı COVID-19 olarak kabul edilmiş, virüs SARS CoV'e yakın benzerliğinden dolayı SARS-CoV-2 olarak isimlendirilmiştir (Ekiz ve diğ., 2020: 140).

COVID-19'un semptomları arasında ateş, yorgunluk, kuru öksürük, kas ağrısı ve nefes darlığı bulunur ve ölüm oranı son birkaç ay boyunca dalgalanma göstermektedir. Yaklaşık% 15'lik başlangıç ölüm oranı ilk etapta raporlandıktan sonra ölüm oranı daha sonra% 4.3 ile% 11 arasında değiştiği tespit edilmiştir. Etkilenen ülkeler arasında, İtalya şu anda en yüksek ölüm oranına (2 Nisan 2020 itibarıyla% 7.94, 13.000'den fazla ölüm) ve ardından İspanya'ya (% 4.50, 9000'den fazla ölüm) ve Çin'de(% 3.98, 4000'den fazla ölüm) sahiptir (Paol ve diğ., 2020: 2).

Covid-19 salgını, önceki SARS ve MERS ile kıyaslandığında çok daha hızlı yayılmaktadır. Hastalığın şiddeti yaş ve eşlik eden diğer kronik hastalığın varlığına göre farklılık göstermektedir. WHO'ya göre (2020) bağışıklığı zayıf kişiler, 65 yaş üstü yetişkinler, kalp rahatsızlıkları olan kişiler, astımlı kişiler, obezitesi olan kişiler, HIV, karaciğer ve böbrek hastalığı olan kişiler yüksek risk grubunda yer almaktadır. 2003 yılında ortaya çıkan ve Covid-19 ile benzerlikler taşıyan SARS salgınında, hastalığa yakalanan her 10 kişiden 1'i hayatını kaybetmiş olup, ölüm oranı yüzde 10 civarındaydı. MERS ise daha da ölümcül bir hastalıktı. Covid-19'a yakalananlar arasındaki ölüm oranı diğer iki salgından düşük olsa da ülkeden ülkeye büyük farklılıklar göstermektedir. Mevcut rakamlar incelendiğinde vaka sayısı ve ölüm oranında en yüksek olan ülkelerin başında Amerika Birleşik Devletleri, Rusya ve Brezilya gelmektedir (Bozkurt ve diğ., 2020: 306).

Dünya tarihinde salgınlar önemli kırılma noktalarından biri olmuştur. Salgınların hanedanlıkların el değiştirmesinden sömürgecilığe ve hatta iklim değişikliğine kadar kalıcı ve büyük etkileri olmuştur. Örneğin, I. Dünya Savaşı sırasında ortaya çıkan İspanyol Gribi 500 milyondan fazla kişiye bulaşmış ve 18 ay içinde 50 -140 milyon insanın ölümüne sebep olarak insanlık tarihinde bilinen en büyük salgın olmuştur. İspanyol Gribinin bir özelliği, zayıf, yaşlı ve çocuklardan çok, sağlıklı genç erişkinleri etkilemiş olmasıdır. Kimi tarihçilere göre dört yıl süren I. Dünya Savaşının sona ermesinde önemli bir etkiye sahiptir. 1350'li yıllarda Avrupa'da etkili olan "kara ölüm" de denen Veba ise 25-50 milyon insanın ölümüne sebep olmasının yanı sıra ekonomileri, yönetim sistemlerini hatta üretim teknolojilerini dahi değiştirmiştir. Karantinanın icadı da bu salgın döneminde olmuştur. Deniz ticareti yapan Venedikliler vebanın Kuzey Afrika ve Suriye taraflarından dönen gemilerle taşındığını fark edince, bu gemileri mürettebatı ve yükleriyle 40 gün tecrit etmeye başlamışlardır. Karantina terimi, Latince "40" anlamına gelen "Quadraginta" kelimesinden türetilmiştir (Bozkurt ve diğ., 2020: 307).

Khafaie ve Rahim (2020), COVID-19 ile ilişkili vaka ölüm ve iyileşme oranlarını dikkate alarak uluslararası bir analiz yapmışlardır. 12-23 Mart tarihleri arasında toplam vaka sayısı $\geq 1,000$ olan ülkelerin dikkate alındığı çalışmalarının sonuçlarına göre İtalya'nın vaka ölüm oranı her iki zaman noktası için de incelenen tüm ülkelerin en yükseği çıkmıştır. Veriler aynı zamanda, İtalya'nın 12 Mart'ta vaka bildiren tek Avrupa ülkesi olmasına rağmen, İspanya ve Fransa'nın 23 Mart'ta sırasıyla % 6,16 ve % 4,21 ile en yüksek vaka ölüm oranına sahip olduğunu göstermiştir. Verelst, Kuylen ve Beutels (2020) yaptıkları çalışmada Avrupa sağlık sistemlerinin koronavirüs hastalığından dolayı aşırı baskı altında olduğunu belirterek, ülkeye özgü kümülatif COVID-19 ölümleri (yoğunluk yaklaşımı) ve aktif COVID-19 vakalarını (büyüklük yaklaşımı) sağlık sistemi kapasitesi ölçümleriyle (hastane yatakları, sağlık çalışanları ve sağlık harcamaları) ilişkilendirmişlerdir. 25 Mart 2020'de 11 Mart'ta İtalya'ya göre en yüksek baskıyı yaşayan ülkeler İtalya, İspanya, Hollanda ve Fransa olduğu görülmüştür. Yaptıkları analizler birçok Avrupa ülkesinin yakında mevcut sağlık kapasitesini aşabilecek sağlık baskısı ile karşı karşıya kalabileceğini göstermektedir. İspanya'daki sağlık baskısının zaten çok yüksek seviyelerde olduğunu belirttikleri çalışmalarında, Hollanda ve Fransa için, temel sağlık kapasitesi üzerindeki baskı 11 Mart'ta İtalya'nın yaşadığı baskıyı aştığını vurgulamışlardır (Tekin, 2020: 337-338).

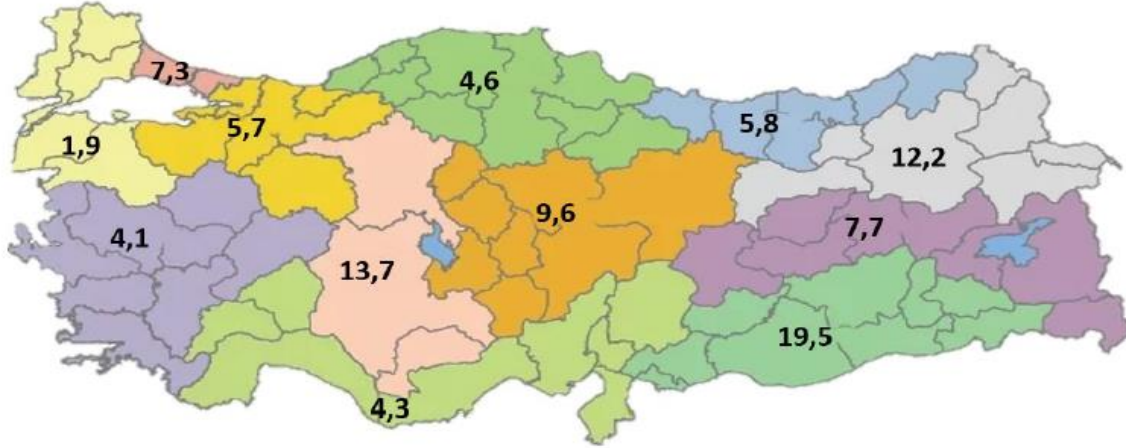
Mevcut çalışmaya ilişkin literatür taraması ve veri toplama süreci Haziran-Temmuz ve Ağustos 2020 tarih aralığını kapsamaktadır. Bu süreçte Türkiye'de sağlık bakanlığının Covid-19 salgınıyla ilgili paylaşmış olduğu 27 Temmuz 2 Ağustos 2020 (1 haftalık tarih aralığında) tarihleri arasında kamouyuyla paylaştığı verilere yer verilmiştir.

Türkiye'deki ilk COVID-19 vakasının görüldüğü 11 Mart 2020 tarihinden itibaren toplam 4.904.695 test yapılmıştır. 27 Temmuz - 2 Ağustos tarihleri arasındaki test sayısı 313.265'tir.

- Türkiye'de toplam 233.860 laboratuvar onaylı COVID-19 vakası bulunmakta olup COVID-19 nedeniyle toplam 5.728 ölüm bildirilmiş ve Sağlık Bakanlığı tarafından onaylanmıştır.
- COVID-19 nedeniyle toplam hastaneye yatış sayısı 126.865 olup 27 Temmuz - 2 Ağustos tarihleri arasındaki hastaneye yatırılan yeni hasta sayısı 3.565'tir.

- Bir önceki haftaya göre; COVID-19 test sayısında artış, ölüm sayısında ve hastaneye yatırılan yeni hasta sayısında azalma görülmüştür.
- Sağlık Bakanlığı tarafından onaylanan ölümlere ilişkin ölüm hızı %2,45'tir (Sağlık Bakanlığı Haftalık Covid 19 Raporu, Erişim adresi: <https://sbsgm.saglik.gov.tr/TR,66424/covid-19-situation-report-turkey.html>).

Şekil 1: Türkiye İstatistiki Bölge Birimleri Sınıflandırılması Son 1 Haftada 100.000 kişiye düşen Vaka Sayısı



İstanbul	7,3
Batı Marmara	1,9
Ege	4,1
Doğu Marmara	5,7
Batı Anadolu	13,7
Akdeniz	4,3
Orta Anadolu	9,6
Batı Karadeniz	4,6
Doğu Karadeniz	5,8
Kuzeydoğu Anadolu	12,2
Ortadoğu Anadolu	7,7
Güneydoğu Anadolu	19,5
Türkiye	8,1

Tablo 1: Cinsiyet ve Yaş Grubuna Göre Onaylanmış Vakalar İçindeki Ölüm Hızı, (%), Türkiye*

Ölüm Hızı**	Yaş Grubu							
	< 2	2-4	5-14	15-24	25-49	50-64	65-79	80+
Erkek	0,43	0,06	0,03	0,01	0,41	4,22	16,43	31,81
Kadın	0,25	0,00	0,05	0,04	0,20	1,73	8,80	22,37
Toplam	0,35	0,03	0,04	0,03	0,31	3,03	12,44	26,31

*02/08/2020 tarihi dahil toplam ölüm sayısı

** Ölüm hızı, ilgili cinsiyet ve yaş grubunun toplam ölüm sayısının aynı gruba ait toplam vaka sayısına bölünerek hesaplanmıştır.

Tablo 1'de görüldüğü Covid-19 vakalarına bağlı ölüm oranları yaş ilerledikçe daha da fazla yaşandığı ortaya çıkmıştır.

Geçmişteki yapılan araştırmalar salgın hastalıklar sırasında halkın ve sağlık çalışanlarının kaygılarının yükseldiğini göstermektedir (Taylor, Kingsley, Garry ve Raphael, 2008). 2003 yılında bazı ülkelerde görülen SARS salgını sırasında Hong Kong'da yapılan bir araştırmada örneklemde yüksek düzeyde stres, çaresizlik ve travma sonrası belirtiler gibi psikolojik tepkilerin yaygın olarak görüldüğü bulunmuştur (Lau ve ark., 2005). Leung ve

arkadaşları (2005) tarafından yürütülen boylamsal bir çalışmanın sonuçları da SARS hasta-lığına yakalanma veya bu nedenle ölebilme olasılığını yüksek algılayan katılımcıların kaygı puanlarının anlamlı biçimde yüksek olduğunu göstermiştir. Ayrıca, bu çalışmada kadınların, 30-49 yaş aralığında olanların ve düşük eğitim düzeyine sahip katılımcıların kaygı düzeyi açısından risk grubunda oldukları bulunmuştur. Hong Kong'da kuş gribi salgını sırasında yürütülen bir başka çalışmada ise algılanan ölümcüllük düzeyinin SARS salgını sırasındaki yüksek stresle ve kaçınma davranışlarıyla (hastaneye gitmemek, son üç ayda ka- natlı hayvan eti yememek gibi) ilişkili olduğu bulun- muştur (Lau, Kim, Tsui ve Griffiths, 2007). Jones ve Salathé (2009) ise katılımcıların H1N1 le ilgili kaygı düzeylerinin salgının başlangıcında arttığını ve zaman içinde beklendiği şekilde azaldığını göstermişlerdir. Kaygı düzeyinin bireylerin alacakları önlem davranışları üzerinde aracı rolü olduğu da bu araştırmanın önemli bulguları arasındadır (Çırakoğlu, 2011: 51).

Tüm bu bilgiler ışığında aşağıda yer alan hipotezler geliştirilmiştir:

H1: Covid 19 algısı sıkıntıya dayanmayı anlamlı bir şekilde etkiler.

2. Covid 19-Algısı Sosyal Endişe İlişkisi

Endişe, negatif duygu yüklü ve nispeten kontrol edilemeyen bir düşünce ve imaj dizisidir. Sonuçları belli olmayan; ancak bir veya birden fazla olumsuz sonucu olma ihtimali olan bir durum ya da olayla ilgili sorunu, zihinsel olarak çözebilme için uğraş verme girişimi anlamına gelmektedir. Borkovec'in kaçınma teorisi, endişenin çoğunlukla sözlü bir etkinlik olduğunun altını çizer. Daha duygusal, çekinilen materyalden uzak durma, duygusal acılardan kurtulma, duygusal ve fizyolojik kontrol hissi kazanmaya hizmet eder (Aydın, 2017: 233). COVID-19 pandemisinin, hem sağlık personeli hem de halk arasında şizofreni, anksiyete, depresyon ve akut stres bozukluğu dahil olmak üzere zihinsel bozukluk riskini artırdığı ilişkin bulgular elde edilmiştir. Aynı zamanda, araştırmacılar COVID-19 pandemisinin olumsuz etkilerinin aşırı hastalık, öfke, alkol / tütün kötüye kullanımı, boşanma ve intihar korkusunda artışlara yol açtığını tahmin ediyorlar (Arpacı ve diğ., 2020: 2). Covid-19 virüsü iki şekilde sağlık sorunlarına neden olmaktadır. Birincisi, virüsün doğrudan oluşturduğu bedensel sağlık problemleri, diğeri ise salgın ile ilişkili anksiyete, panik ve endişe gibi ruh sağlığı sorunlarıdır. Psikoloji bilimi uzun yıllar psikolojik kötü olma durumlarıyla ilgilenmiştir. Psikolojik iyi hallerle ilgilenen çalışmaların sayısı son yıllarda artmaya başlamıştır. Psikolojik sermayenin iyimserlik (optimism) boyutu; bireyin gelecekte olacak iyi şeylere yönelik beklentilerinin ötesinde bireyin pozitif, negatif, gelecekte, şuan da ya da geçmişte yaşadığı olayları açıklarken kullandığı sebepler ve atfetmelerle ilgilidir (Değirmenci, 2019: 49). Covid-19 sadece bir medikal sağlık krizi olarak değil, aynı zamanda akıl sağlığı için de acil durum olarak düşünülmelidir. Bulaşıcı hastalıklar sadece bireylerin fiziksel sağlığını etkilemekle kalmayıp, aynı zamanda enfekte olsun olmasın tüm nüfusun psikolojik sağlığını ve refahını da etkilemektedir. Salgının ilk zamanlarında virüsün ortaya çıkardığı fiziksel sonuçlar daha çok dikkat çekmiş ve ruh sağlığı sonuçları üzerinde durulmamıştır. Ancak, salgın sona erse bile normal hayatımıza geri döndüğümüzde psikolojik etkileri muhtemelen aylarca hatta yıllarca sürecektir (Bozkurt ve diğ., 2020: 307).

Belirli fobiler diğer anksiyete bozukluklarını tetikleyebilir ve intihar eğilimi, majör depresyon, anksiyete bozuklukları ve fiziksel, zihinsel veya duygudurum bozuklukları ile birlikte olduğu bildirilmektedir (Ausín, Muñoz, Castellanos ve García, 2020 ; Corchs vd., 2006 ; Keyes , Deale, Foster ve Veale, 2020 ; Witthauer ve diğ., 2016). COVID-19 salgını, insanların rutinlerini bozar ve bu nedenle kaygı ve fobik reaksiyonları ortaya çıkarır (Li ve ark., 2020 ;

Duan ve Zhu, 2020 ; Wang, Cheng, Yue ve McAleer, 2020 ; Xiao, 2020). Öte yandan, anekdot deneyimlerinde, insanların COVID-19 ile enfekte olmaktan korktukları sıklıkla belirtilir. Önceki çalışmalar, deprem veya tsunami gibi doğal afetlerin; patlamalar, savaşlar veya terörizm gibi insan yapımı felaketler; veya MERS, SARS veya Ebola gibi salgın hastalıklar, kısa ve uzun vadede fobi, anksiyete, depresyon, umutsuzluk ve düşmanlık gibi zararlı duygulara yol açmaktadır (Colorado, 2017 ; Hossain, Sultana ve Purohit, 2020 ; Qi, Yang, Tan, Wu ve Zhou, 2020 ; Steinberg ve Daniel, 2020). Bu nedenle, beklendiği gibi, insanlar COVID-19 salgını karşısında fobik reaksiyonlar yaşamaya başladılar. Pandemi hızla yayıldıkça, COVID-19'un kolay bulaşma potansiyeli, tedavi eksikliği ve virüsle ilişkili ölümlerin daha yüksek seviyeleri nedeniyle artan psiko-patolojik sorunlara yol açması beklenmektedir (Duan ve Zhu, 2020 ; Gao ve diğ., 2020 ; Rothan ve Byrereddy, 2020). Tüm bu bilgiler ışığında aşağıda belirtilen hipotez geliştirilmiştir.

Ausín, B, Muñoz, M, Castellanos, MÁ, & García, S (2020). Prevalence and characterization of specific phobia disorder in people over 65 years old in a Madrid community sample (Spain) and its relationship to quality of

life. International Journal of Environmental Research and Public Health, 17(6), 1915.
doi:10.3390/ijerph17061915.

H2: Covid 19 algısı sosyal endişeyi pozitif ve anlamlı şekilde etkiler.

2.3. Sıkıntıya Dayanma

Sıkıntıya dayanma (SD) olumsuz psikolojik durumları yaşantılama ve bunlara dayanma kapasitesi olarak tanımlanmıştır (Simons ve Gaher 2005). Simons ve Gaher'e göre sıkıntı bilişsel ya da fiziksel süreçlerin bir sonucu olarak ortaya çıkabilmekte ancak kendini emosyonel bir durum olarak göstermektedir. Sıkıntıya dayanma bütün emosyonel durumları kapsamakta ve bunların kontrol altına alınabilip alınamayacağını ifade etmektedir (Brown ve ark. 2005). Leyro ve ark. (2010) ise sıkıntıya dayanmayı algılanmış ya da gerçekten olmakta olan olumsuz duygulanım ve caydırıcı psikolojik ve/veya fiziksel durumlara dayanma kapasitesi olarak tanımlamıştır. Bu bağlamda sıkıntıya dayanma bireyin olumsuz duygusal durumlarla ilgili değerlendirme ve beklentilerinden oluşan bir meta-emosyon olarak kabul edilir (Sargın ve diğ., 2012: 153).

Varoluşçuluk, bu hiçliğin farkına varmaktır. İnsanın varoluşu yalnızca onun hissettiği bir şeydir. O kendini bilen bir varoluştur, kendisi yoksa hiçbir şey yoktur. O zaman kişi şöyle düşünebilir: 'Madem ki farkına vardığım şey sadece bana aittir, öyleyse onun ne olacağı benim elimdedir', yani 'nasıl istersem öyle yaparım' dolayısıyla hayatın anlamını oluşturma sorumluluğu, gerçekte kişinin kendisine ait olan bir oluşumdur. Yani yaşamın anlamı, bizim ona verdiğimiz anlamdır. İşte özgür olma, kişiye yaşamın anlamını verme sorumluluğu getirir. Bu sorumluluğun farkına varma ise Jean Paul Sartre' a göre kaygı demektir ve insanın varoluşunun temelinde bulunur. Sartre, kaygı durumunu belirtmek için Heidegger gibi kaygı (angst) terimini kullanmaz. O, daha çok bu durumu karşılamak için bulantı (nausea) veya iç daralması terimlerini kullanır. Ancak her iki terim de aynı durumu karşılar. Çünkü iki filozofun da kullandığı iki farklı kavramın ortak ifadesi insanın iç sıkıntısı (ki buradaki iç sıkıntısı gündelik olmayıp hiçbir zaman tamamlanmayan, yani natamam olan insanın kendi sonlu zamanı çerçevesinde kendini oluşturması hareketinde ortaya çıkan bir sıkıntıdır) olarak değerlendirilebilmektedir. Heidegger de tıpkı Kierkegaard'da olduğu gibi kaygı ve korku kavramlarını birbirinden ayırır. "Kaygının korkudan ve belirli bir şeye atıfta bulunan benzer kavramlardan farklı olduğunu belirtmek zorundayım; halbuki kaygı olanağın olanağı olarak özgürlüğün etkin oluşudur." Heidegger de korkuyu bir şeyden korku olarak niteler ancak kaygı öyle değildir. Kaygı'nın nedeni belli değildir. Kierkegaard, Heidegger de kaygının temel bir duygu olduğunu söylemişlerdir (Aydın, 2017: 153).

Sıkıntıya dayanma sadece hastalıkların etyopatogenezinde değil aynı zamanda psikoterapide arttırılması hedeflenen ve tedaviye yanıtı belirleyen etmenlerden birisi olarak da kabul edilmektedir. Özellikle sınır kişilik bozukluğunun tedavisinde kullanılan diyalektik davranışçı tedavi ve alkol, kannabis ve sigara bağımlılığında tedaviyi bırakma, erken relaps gibi durumlarda sıkıntıya dayanmanın önemli bir belirleyici olduğu tespit edilmiştir (Linehan ve ark. 2006, Lynch ve ark. 2007, Daughters ve ark. 2005).

Bu bilgiler ışığında aşağıda belirtilen hipotezler geliştirilmiştir.

H3: Sosyal endişe sıkıntıya dayanmayı anlamlı bir şekilde etkiler.

H4: Sosyal Endişe covid-19 algısının sıkıntıya dayanma üzerindeki etkisinde aracılık rolü vardır.

3. METHOT

3.1. Örneklem ve Yöntem

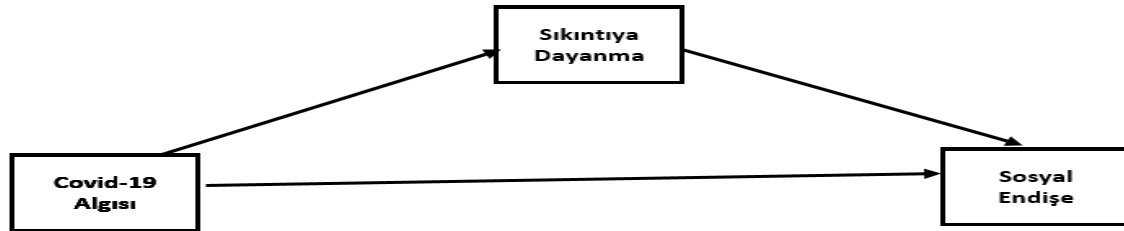
Bu çalışma Ulaştırma Sektöründe çalışanların Covid-19 algılarının sosyal endişeleri üzerindeki etkisinde sıkıntıya dayanıklılıklarının aracı etkisini ortaya koymak amacıyla yapılmıştır. Araştırmanın yardımcı amaçları ise katılımcıların kronik rahatsızlıkları bulunma durumu, çevrelerinde Covid-19 vakasının bulunması durumu ve Covid-19 rahatsızlığı geçirme durumlarına göre Sosyal endişe ve sıkıntıya dayanma durumlarının farklılık gösterip göstermediğini test edilmiştir. "Science of Web", "Google Akademi", Dergipark, Ulakbilim, Researchgate sitelerinde detaylı inceleme yapılmasına rağmen Covid-19 konusuyla ilgili literatürde ulaştırma sektöründe çalışanların "algı-tutum ve davranışlarını" ölçmeye yönelik herhangi bir çalışmaya rastlanmamıştır. Covid-19 pandemi süreci birçok meslek dalını olduğu gibi ulaştırma sektörü çalışanlarını da derinden etkilemiştir. Bu bağlamda onların düşüncelerine önem vermek ve psikolojik ruh hallerini ortaya koyabilmek literatürü zenginleşmesine katkı sağlamıştır.

2019 son çeyreği ve 2020 dönemi pandemi dönemi olduğu için maalesef veri toplama ortamı fiziki ortamda sağlanamamıştır. Bundan en büyük etken sosyal mesafe kuralı, insanların psikolojik olarak kendini tedirgin hissetmesi gibi nedenlerle araştırma kapsamında anket verileri sanal ortamda hazırlanmıştır. Sanal form hazırlarken google forum linkinin sağlamış olduğu hizmetten faydalanılmıştır (<https://docs.google.com/forms/>). Sonrasında hazırlanan sorular cep telefonundan Whatsapp uygulama programına atılmıştır. Telefondaki program aracılığıyla anket soruları ulaştırma sektöründe çalışanlara ulaştırılmıştır.

Anket toplam 4 kısımdan oluşmaktadır. Birinci kısımda demografik sorular (7 madde), ikinci kısımda Covid-19 algısı 8 madde, üçüncü kısımda Sosyal endişe soruları (5 madde) son bölümde ise sıkıntıya dayanıklılık sorularının yer aldığı (15 madde) yer almıştır. Etrafta yolcu ve yük taşıyan tanıdıklara ulaşılmaya çalışılmış, ayrıca yurtiçi kargo, aras kargo firma çalışanlarıyla irtibata geçilmiş, Adıyaman, Gaziantep ve Urfa bölgesinde lojistik hizmeti gören firma temsilcileriyle de irtibata geçilmiştir. Besni Şöförler Odası ve Adıyaman Şöförler Odası başkanlarıyla da irtibata geçilerek bilimsel çalışma konusunda destek istenmiştir. Gösterilen tüm çabalara rağmen katılım 146 kişi ile sınırlı kalmıştır.

Anket formunda kullanılan ölçeklerin alındığı kaynaklar şu şekildedir: Covid-19 Algısı Ölçeği Çirakoğlunun 2012 yılında yapmış olduğu çalışmadan faydalanılmaya karar verilmiştir. Öncelikle ilgili ölçeği kullanmak amacıyla 16 Nisan 2020 tarihinde yazarın okanc@baskent.edu.tr adresinden mail atılarak ölçeğin kullanılmasına ilişkin izin istenmiştir. 17 Nisan 2020 tarihinde yazardan olumlu dönüş sağlanmış ve gerekli müsaade alınmıştır. Ölçeğin Covid-19 Algısı 5 madde tehlikelilik ve 3 madde bulaşıcılık olmak üzere 8 maddeden oluşmaktadır. Ölçeğin tehlikelilik boyutunun ilk 4 maddesi ve bulaşıcılık boyutunun ilk maddesi olumsuz ifadeler olduğu için analizlerden önce veri girişinden sonra ters kodlanmıştır. Anket formunun 3.kısımında yer alan “Sosyal Endişe” faktörü 5 maddeden oluşmaktadır. Sosyal endişe boyutunun kullanıldığı orijinal ölçek Arpacı ve arkadaşları tarafından 2020 yılında geliştirilen “COVID-19 Fobi Ölçeği'nin (C19P-S)” bir boyutunu oluşturmaktadır. Ve bu ölçekten faydalanılmıştır. Sıkıntıya Dayanma ölçeği ise Salgın ve arkadaşları tarafından 2012 yılında geliştirilmiştir. Ölçek 3 boyuttan oluşmaktadır. Bunlar tolerans boyutu 9 madde, Regülasyon boyutu 3 madde ve son olarak 3 maddeden oluşmaktadır. Öz yeterlilik boyutunun ilk maddesi olumsuz soru olduğu için ters kodlanmıştır. Anket formunda cevaplama seçenekleri olarak 5'li likert ölçeği kullanılmıştır (1=Kesinlikle katılmıyorum, 5= Kesinlikle katılıyorum).

3.2. Hipotetik Model



3.3. Tanımlayıcı İstatistikler

Tablo 2: Katılımcıların Demografik Özellikleri (N= 146)

Özellikler	Kategori	Frekans	Yüzde (%)
Çalışma Ananınız	Yolcu Taşıma	91	62,3
	Yük Taşıma	55	37,7
Yaş	18-25	12	8,2
	26-33	23	15,8
	34-41	45	30,8
	42-49	45	30,8
	50 +	21	14,4
Eğitim	İlkokul	66	45,2
	Lise	62	42,5

	Yükseköğretim	10	6,8
	Fakülte	5	3,4
	Lisansüstü	3	2,1
Kronik Rahatsızlığınız Var mı?	Evet	39	26,7
	Hayır	107	73,3
Covid-19 Rahatsızlığı Yaşadınız mı?	Evet	1	0,07
	Hayır	145	99,3
Yakın çevrenizde Covid-19 salgınına yakalanan oldu mu?	Evet	19	13,0
	Hayır	127	87,0

Tablo 2 incelendiğinde katılımcıların çoğunluğu yolcu taşıma işi yaptıkları görülmektedir (n=91 kişi). Katılımcıların yaş grubu incelendiğinde en fazla katılımın 34-41 yaş aralığı (n=45 kişi) ve 42-49 yaş aralığı (n=45 kişi) olduğu görülmektedir. Eğitim durumuna bakıldığında en fazla katılımın ilköğretim mezunu olduğu tespit edilmiştir (n=66). Katılımcılara “kronik rahatsızlıklarının” bulunup bulunmadığı sorulduğunda 39 kişi evet yanıtını vermiştir. Katılımcılara Covid-19 hastalığı yaşadıkları sorulduğunda sadece 1 tane olumlu yanıt alınmıştır. Demografik sorulardan sonuncusu ise katılımcılara yakın çevrelerinde Covid-19 rahatsızlığı geçiren oldu mu? Sorusuna 19 kişi evet yanıtını vermiştir. Aynı zamanda çoklu normallik testinin yapılmasında ve verilerin normal dağılıp dağılmadığının tespitinde demografik sorular önemli bulguların elde edilmesine yardımcı olmuştur. Araştırmada değişkenlerin ortalama, standart sapma, basıklık ve çarpıklık değerleri hesaplanmıştır. Shao'nun 2002 yılında yapmış olduğu çalışmada ya göre çalışmada kullanılacak verilerin normal dağılım göstermesi, çarpıklık ve basıklık değerlerinin ± 3 arasında olmasına bağlıdır (Demirağ, 2019: 205).

Tablo 3: Normallik Testi

Değişkenler	Ortalama	Standart Sapma	Çarpıklık	Basıklık
Covid 19 Algısı	3,2594	0,05592	-0,0660	0,0335
Sosyal Endişe	3,5863	0,07144	0,0307	-0,0224
Sıkıntıya Dayanma	3,3598	0,06604	-0,0356	-0,185

Tablo 3'te görüldüğü gibi basıklık ve çarpıklık değerleri ± 3 aralığında yer aldığı görülmüştür. Anket formuna ilişkin soru maddeleri Google forum sayfasından hazırlanması sebebiyle ve katılımcıların anket formlarını dijital ortamda yanıtladıkları ve sistemin katılımcıya boş soru bırakılarak bir sonraki soruya geçme şansı tanımadığı ve uç değeri ilişkin sistemin insan kaynaklı hatalardan arındırdığı için kayıp veri ve uç değer analizi yapılmamıştır. Normalliğin sağlanmasıyla parametrik testlerin uygulanması koşulu sağlanmıştır.

Tablo 4: Güvenilirlik Analizi

Değişkenler	Cronbach Alpha	Madde Sayısı
Covid 19 Algısı	0,690	8
Sosyal Endişe	0,748	5
Sıkıntıya Dayanma	0,901	15

Tablo 4 incelendiğinde 3 değişkene ilişkin güvenilirlik katsayı değerlerinin 0,60 eşik değerinin üstünde olduğu tespit edilmiştir (Şahin ve Gürbüz, 2016: 164). En düşük cronbach alpha değeri “Covid-19 Algısı” ölçeğine ait iken (0,690) en yüksek güvenilirlik değeri “sıkıntıya dayanma” ölçeğine aittir (0,901).

Tablo 5: ANCOVA Analizi

Öneri	Test of Between Subject Effects (p<0,05) olmalı	Levene's Test of Equality of Error Variance (P >0,05) olmalı	R ²	Ortalama ve Grup Aralığı (En Yüksek Grup)
Ö1. Yaş değişkeninin Sosyal Endişe Üzerindeki Etkisinde Covid-19 Algısının Kontrol Rolü Bulunmaktadır.	0,03	0,518	0,109	26-33 yaş gurubu Mean=3,941
Ö2. Aylık Gelirin Sosyal Endişe Üzerindeki Etkisinde Covid-19 Algısının Kontrol Rolü Bulunmaktadır.	0,016	0,058	0,083	6001 TL ve üzeri Mean= 4,328

Tablo 5'te görüldüğü gibi Yaş değişkeninin sosyal endişe üzerindeki etkisi anlamlıdır (p=0,03) ve bu etkide Covid-19 algısının kontrol değişkeni olarak etkisi bulunmaktadır. Aylık gelirin sosyal endişe üzerindeki etkisi anlamlıdır (p=0,016). Bu etkide Covid-19 algısının kontrol değişkeni olarak etkisi bulunmaktadır (<https://www.youtube.com/watch?v=HVCEL6SOcJI>).

Tablo 6: Covid-19, Sosyal Endişe ve Sıkıntıya Dayanma Değişkenleri Arasındaki Çoklu Korelasyon Sonuçları

Değişkenler	P Değeri	Korelasyon Katsayısı	Sonuç
Covid-19-Sosyal Endişe İlişkisi	0,001	0,261	İlişki Var
Sosyal Endişe-Sıkıntıya Dayanma İlişkisi	0,000	0,458	İlişki Var
Covid-19-Sıkıntıya Dayanma İlişkisi	0,660	-	İlişki Yok

Tablo 6'da görüldüğü gibi Covid-19 Algısı ile Sosyal Endişe arasında ilişki bulunmuştur (p=0,001 ve r=0,261). Bu ilişki zayıf seviyede anlamlıdır. Gürbüz ve Şahin (2016) belirttiği gibi $0 < r \leq 0,3$ aralığında orta düzeyde anlamlı ve pozitif bir ilişkinin varlığından bahsedilmiştir (sayfa 264). Sosyal Endişe ile Sıkıntıya Dayanma arasında pozitif ve orta düzeyde anlamlı bir ilişki bulunmuştur (p=0,000 ve r=0,458). Covid-19 ile Sıkıntıya dayanma arasında ise ilişkiye rastlanmamıştır (p=0,660).

Tablo 7: Hipotezlerin Çağdaş Aracılık Yöntemiyle (PROCESS v3.4.1 by Andrew F. Hayes) Test Edilmesi

Hipotezler	P Değeri	R ² Değeri	Bootstrap (Güven Aralığı Değerleri)		SONUÇ
			LLCI	ULCI	
H1	0,660	-	-	-	P>0,05. Reddedilmiştir.
H2	0,01	0,261	,102	,420	Kabul Edilmiştir.
H3	0,000	0,384	,263	,505	Kabul Edilmiştir.
H4	0,000	0,125	,332	,211	Kabul Edilmiştir.

Tablo 7 de görüldüğü üzere H1 dışındaki hipotezler desteklenmiştir. Covid-19 algısının Sıkıntıya dayanma üzerindeki etkisinde sosyal endişenin aracılık rolü bulunmaktadır. Ve bu sonuç dolaylı etkiden bahsetmeyi mümkün kılmıştır. Etkinin boyutu (Effect) değeri 0,125 olup, bu değer modeldeki aracılık etkisinin orta değere yakın olduğunu göstermektedir (Preacher ve Kelley, 2011: 104).

4. SONUÇ

2019 yılının son çeyreği 2020 yılında tüm dünyayı derinden sarsan Covid-19 salgını tüm dünyada gerek can kaybı gerek maddi kayıplar gerekse de psikolojik yönden insanlığı derinden etkilemiştir. Bu çalışmanın ana teması ulaştırma sektörü çalışanlarının covid-19 algısına yönelik psikolojik durumlarının ortaya konulması amaçlanmıştır. Bu noktada sıkıntıya dayanma ve salgınla ilgili endişeleri tespit etmeye yönelik katılımcılara

birtakım sorular sorulmuştur. Araştırmadan elde edilen bulgular incelendiğinde çarpıcı sonuçlarla karşılaşılmıştır. Bu kapsamda elde edilen bulgulardan birincisi, ulaştırma sektörü çalışanlarının yaş değişkenine bağlı olarak sosyal endişelerini ölçmek olmuştur. Elde edilen sonuç yaş değişkeninin sosyal endişe üzerinde etkili bir faktör olduğu görülmüştür. Bu etkide covid-19 algısı kontrol değişkeni olarak kullanılmış ve etkisinin bulunduğu saptanmıştır. En fazla sosyal endişe duyan yaş grubu 26-33 arası yaş grubu olmuştur. Diğer yandan yaş grubunun sosyal endişe üzerindeki etkisi %10 civarındadır. Yani sosyal endişenin %10'luk kısmını yaş grubu karşılamaktadır (Tablo 5).

Çalışma kapsamında elde edilen ikinci bulgu ise aylık gelirin sosyal endişe üzerindeki etkisinde covid-19 algısı kontrol değişkeni olarak kullanıldığında anlamlı bir ilişkinin varlığıdır. Buna göre aylık gelir durumunun sosyal endişe üzerindeki etkisi %8 civarındadır. Ve en fazla sosyal endişeye sahip gelir grubu (6001 TL ve üzeri) gelire sahip çalışanlar olmuştur (Tablo 5).

Çalışma kapsamında elde edilen üçüncü bulgu ise Covid-19 algısı ile sosyal endişe arasındaki ilişki olmuştur. Katılımcıların covid-19 algısıyla sosyal endişe arasında pozitif ve anlamlı bir ilişki bulunmuştur ($p=0,001$ ve $r=0,261$). Bu ilişki zayıf düzeyde olsa da elde edilen bu sonuç göstermektedir ki bireylerde covid-19 algısı arttıkça sosyal endişeye bağlı fobide de artış olmaktadır (Tablo 6).

Katılımcıların sosyal endişeleriyle sıkıntıya dayanma güçleri arasında orta düzey pozitif ve anlamlı bir ilişki bulunmuştur. Bu sonuç göstermektedir ki kişilerin sosyal endişeleri arttıkça sıkıntıya dayanma güçleri daha fazla artış gösterildiği bulunmuştur (Tablo 6).

Tüm bu elde edilen veriler ışığında Covid-19 algısının bireylerde yaratmış olduğu psikolojik tahribatların onlarda sosyal endişelerini arttırdığı aynı zamanda sosyal endişeye sahip bireylerin sıkıntılarla mücadele etme güçlerinin daha fazla olduğu ortaya konulmuştur. Elde edilen bulgular literatürdeki boşluğu dolduracağı umulmaktadır.

KAYNAKÇA

- Ancova Analizi. <https://www.youtube.com/watch?v=HVCEL6SOcJI>. Erişim Tarihi: 11 Ağustos 2020.
- Aydın, P. Ç. (2017). Kaygı ve Endişe. *Türkiye Klinikleri J Psychiatry-Special Topics* 2017;10(4):228-36, <https://www.researchgate.net/publication/331302354>.
- Bozkurt, Y, Zeybek, Z, Aşkın, R. (2020). Covid-19 Pandemisi: Psikolojik Etkileri ve Terapötik Müdahaleler. *İstanbul Ticaret Üniversitesi Sosyal Bilimler Dergisi*, 19 (37), 304-318. Retrieved from <https://dergipark.org.tr/tr/pub/iticusbe/issue/55168/753233>.
- Corchs, F, Mercante, J P, Guendler, V Z, Vieira, D S, Masruha, M R, Moreira, F R, ... Peres, M F (2006). Phobias, other psychiatric comorbidities and chronic migraine. *Arquivos de Neuro-Psiquiatria*, 64(4), 950–953. doi:10.1590/S0004-282X2006000600012.
- Covid-19 Haftalık Durum Raporu (27 Temmuz-2 Ağustos 2020). Erişim Adresi: <https://sbsgm.saglik.gov.tr/TR,66424/covid-19-situation-report-turkey.html>. Erişim Tarihi: 4 Ağustos 2020.
- Çırakoğlu, O. C. (2011). Domuz Gribi (H1N1) Salgınıyla İlişkili Algıların, Kaygı ve Kaçınma Düzeyi Değişkenleri Bağlamında İncelenmesi. *Türk Psikoloji Dergisi*, Haziran 2011, 26 (67), 49-64.
- Değirmenci, B. (2019). Kamu Çalışanlarının Psikolojik Dayanıklılık Psikolojik İyi Olma İlişkisinde İyimserliğin Aracılık Rolü. *Türk Sosyal Bilimler Araştırmaları Dergisi*, 4 (1), 47-63. Retrieved from <http://tursbad.hku.edu.tr/tr/pub/issue/44945/532954>.
- Demirağ, B. (2019). Marka İmajı, Algılanan Hizmet Kalitesi, Müşteri Tatmini ve Algılanan Değerin Marka Sadakatı Üzerindeki Etkisinin İncelenmesi: 5 Yıldızlı Sayfiye ve Şehir Otelleri Örneği. Yayınlanmamış Doktora Tezi, Hasan Kalyoncu Üniversitesi Sosyal Bilimler Enstitüsü, Gaziantep.
- Ekiz, T., İlman, E, Dönmez, E . (2020). Bireylerin Sağlık Anksiyetesi Düzeyleri ile Covid-19 Salgını Kontrol Algısının Karşılaştırılması. *Uluslararası Sağlık Yönetimi ve Stratejileri Araştırma Dergisi*, 6 (1), 139-154. Retrieved from <https://dergipark.org.tr/tr/pub/usaysad/issue/54067/729076>.
- Gürbüz, S. ve Şahin F. (2016). Sosyal Bilimlerde Araştırma Yöntemleri (Gözden Geçirilmiş 3. Baskı). Seçkin Yayıncılık. Ankara.
- Keyes, A, Deale, A, Foster, C, & Veale, D (2020). Time intensive cognitive behavioral therapy for a specific phobia of vomiting: A single case experimental design. *Journal of Behavior Therapy and Experimental Psychiatry*, 66, 101523. doi:10.1016/j.jbtep. 2019.101523.
- Khafaie, M. A., & Rahim, F. (2020). Cross-country comparison of case fatality rates of COVID-19/SARS-COV-2. *Osong Public Health and Research Perspectives*, 11(2), 74.
- Kiroğlu, F. (2020). COVID-19 Pandemi Ortamında Çalışma Koşulları ve Genel Sorunlar. *Meyad Akademi Dergisi*, 1(1), 9-90.
- Li, W, Yang, Y, Liu, Z H, Zhao, Y J, Zhang, Q, Zhang, L, ... Xiang, Y T (2020). Progression of mental health services during the COVID-19 outbreak in China. *International Journal of Biological Sciences*, 16(10), 1732–1738. doi:10.7150/ijbs.45120.
- Paol, S., Ambra, F., Francesco, A., Elena. D. F., Rosanna, D. P., Antonino, U., Mark, D. G. (2020). Validation and Psychometric Evaluation of the Italian Version of the Fear of COVID-19 Scale. *International Journal of Mental Health and Addiction* <https://doi.org/10.1007/s11469-020-00277-1>.

- Preacher, K. J. Ve Kelley, K. (2011) Effect size measures for mediation models: Quantitative strategies for communicating indirect effects. *Psychological methods*, 16, 93-115.
- Sargın, A. E., Özdel, K., Utku, Ç., Kuru, E., Yalçınkaya-Alkar, Ö., & Türkçapar, M. H. (2012). Sıkıntıya Dayanma Ölçeği: Geçerlik ve güvenilirlik çalışması. *Bilişsel Davranışçı Psikoterapi ve Araştırmalar Dergisi*, 1(3), 152-161.
- Tekin, B. (2020). Covid-19 Pandemisi Döneminde Ülkelerin Covid-19, Sağlık Ve Finansal Göstergeler Bağlamında Sınıflandırılması: Hiyerarşik Kümeleme Analizi. *Finans Ekonomi ve Sosyal Araştırmalar Dergisi*, 5 (2), 336-349. DOI: 10.29106/fesa.738322.
- Verelst, F., Kuylen, E., & Beutels, P. (2020). Indications for healthcare surge capacity in European countries facing an exponential increase in coronavirus disease (COVID-19) cases, March 2020. *Eurosurveillance*, 25(13), 20

Örgütlerde Toksik Lider ve Toksik İlişkiler

Birgül DEMİR¹

¹Dr. Cemil Taşçıoğlu Şehir Hastanesi birdemir67@gmail.com ORCID: 0000-0003-0714-7251

Özet: yaşadığımız yüzyılda sağlık sektörü kamu ve özel ayırmaksızın hizmet üreten birimlerde çalışanların sağlığına ve üretkenliğine etki eden yönetici tutumlarının sonuçları incelenmiştir. Sağlık çalışanlarının örgüte bağlılığını, motivasyonunu düşüren toksik lider tutum ve davranışları ele alınmıştır. Toksik tutum ve davranışların nasıl örgüt kültürü haline gelebileceği tartışılmıştır. Toksik iletişime maruz kalan çalışanların içinde bulunduğu zor koşullar ortaya konmuştur. Kabus bir ortamda çalışan sağlıkçıların çalışma barışı, çalışma isteği, örgütsel bağlılık, gelecek süreçte örgütte devam edip etmeme konusundaki kararı irdelenmiştir. Topluma sağlık üretirken çalışma ortamında toksik lider davranışlarına maruz kaldıkları için psikolojik ve fizyolojik bakımdan sağlıkları bozulmaktadır. Toksik bir ortamda etkin sağlık hizmeti üretilememektedir. Çalışanın yaşama zevinci olumsuz etkilemekte aile bireyleri ile çevresinde bulunanlar arasında sosyal iletişimi bozulmaktadır. Bu olumsuzlukların sonucu olarak başta sağlık çalışanı sağlığını kaybetmekte, topluma kaliteli etkin sağlık hizmet sunumu yapılamamakta, sağlıkta kaynakların boşa harcanmasına neden olmaktadır. Toksik lider davranışları örgütsel bağlılığı ve örgütsel performansı düşürmektedir. Sağlık sektöründe kaliteli h sağlık çalışan performansının azalmasına neden olmaktadır. Gelecekte çalışanın örgüt içinde kalması, mevcut yeteneklerini ve becerilerini örgüt yararına kullanması toksik ilişkilerin örgütteki yönetici davranışlarındaki mevcudiyetiyle yakından ilişkilidir. Toksik ilişkilerin düşük düzeyde, huzurlu ve güvenli ortamlarda, sağlık çalışanları daha çok örgütüne bağlı, performansı yüksek sağlık hizmeti sunmaktadır.

Anahtar Kelimeler: Toksik Lider, Duygusal Bağlılık, Görev Performansı

Abstract: The results of the managerial attitudes affecting the health and productivity of the employees in the units that produce services without separating the health sector, public and private, in our century have been examined. Toxic leader attitudes and behaviors that reduce the commitment and motivation of healthcare professionals to the organization are discussed. It has been discussed how toxic attitudes and behaviors can become organizational culture. Difficult conditions of workers exposed to toxic communication are revealed. Work peace, willingness to work, organizational commitment, and the decision whether to continue in the organization in the future of healthcare professionals working in a nightmare environment were examined. As they are exposed to toxic leader behaviors in the working environment while producing health for the society, their health deteriorates in psychological and physiological terms. Effective healthcare services cannot be produced in a toxic environment. It negatively affects the joy of life of the employee and social communication between family members and those around her deteriorates. As a result of these negativities, especially the healthcare worker loses her health, quality and effective health service cannot be provided to the society, and the resources in health are wasted. Toxic leader behaviors decrease organizational commitment and organizational performance. Quality h in the health sector causes a decrease in health worker performance. Staying in the organization of the future employee and using his / her current talents and skills for the benefit of the organization are closely related to the presence of toxic relationships in management behavior in the organization. In peaceful and safe environments with low toxic relationships, healthcare professionals are more committed to their organization and provide high performance healthcare services.

Key Words: Toxic Leader, Emotional Commitment, Task Performance

1. GİRİŞ

İşletmeler kuruluş amacı maddi ve beşeri kaynaklarını toplumsal ve örgütsel maksimum faydaya dönüştürmektir. Sürekli varlıklarını sürdürebilmeleri, başarılı üretim ve hizmet sürecinin yönetilmesinden geçmektedir. Sağlık sektöründe kaliteli hizmet üretimi hizmet alanların ve sunanların memnun kalmaları ile ilgilidir. Çalışanın çalışma ortamında karşılanması gereken istekleri, elzem olan ihtiyaçları örgütsel başarının temelini oluşturmaktadır. Sağlıkta yönetici görevlendirmesi özellikle yöneticilik alanında yüksek öğretim görmüş, iletişim konusunda yetenekli, çalışanların duygu hallerinden anlayan bireyler seçilmelidir. Fakat yönetici eğitimi alıp almadığına bakılmaksızın, hele bir de doktorsa sorumlu, yönetici olmasında bir mahsur görülmemektedir. Sorunlu kişilik yapısına sahip, psikolojik rahatsızlığı olanların yönetici pozisyonunda görev verilmesi toksik liderler olasılığının önünü açacağından çalışanların psikolojik ve fizyolojik sağlığının kaybına neden olacaktır. Etkin ve verimli sağlık hizmeti aksayacaktır(Goldman (2006, 733-746). Toplumun sağlık hizmeti alması tehlikeye düşmektedir. Toksik lider, örgütteki statüsünden kaynaklı gücünü, çalışanları kendi çıkarları doğrultusunda yönetmek için kullanmaktadır. Çalışanı aşağılayıcı rencide eden, motivasyonunu kırıcı eylemlerde bulunmaktadır. Takipçilerinin başarısından beslenen, kendisine mal eden toksik lider, olumlu durumları sahiplenip kendi başarısı gibi göstermektedir. Çalışma ortamında ortaya çıkan problemlerde çalışanı suçlayıcı yaklaşımlar içine girmektedir.

Örgütsel Bağlılık, çalışanların örgütün tüm değerlerini sahiplenmektedir. Yanlış giden şeyleri istekle gönüllü olarak üstesinden gelmek için çaba göstermektedir. Bulunduğu ortamda mutlu, huzurlu, sorumlularına güvenen çalışan, özveriyle yeteneklerini üretim sürecine dâhil etmektedir. Örgütsel bağlılığın yüksek olduğu kurumlarda, çalışan performansı da yüksek olmaktadır. Celep (2000, 157)' Toksik lider tutum ve davranışlarının yaygın olduğu örgütlerde ise örgütsel bağlılık oranı düşük olabilmektedir.

Örgüt Performansını yükseltmenin ve kurumsal amaçlara ulaşmanın yolu çalışanı motive edecek örgüt politikalarını uygulamaktır. Örgüt yönetiminden sorumlu yöneticilerin, toksik lider olmayan bireylerin örgütte yer almasına dikkat edilmelidir (Xia vd. 2019,53). Toksik lider tutumlarının örgüt içinde toksik ilişkiler şeklinde yayılmasına izin verilmemelidir. Çalışanlara adil, eşitlikçi ve güven veren alanlar yaratılmalıdır. Böylece örgütte kalmaya gönüllü, istekli çalıştığı kurumun değerlerine bağlı çalışanların sayısı artırılabilir. Örgütsel amaçlara daha kolay ulaşılabilir.

2. TOKSİK LİDER

2.1. Toksik Liderlik

Toksik Lider, kavramsal olarak ilk olarak Whicker tarafından 1996 literatürde kullanılmaya başlanmıştır. Liderlik türlerinden toksik lider, tacizci, yıkıcı, zehirli ve karanlık kişilik özelliklerine sahiptir. Çalışma ortamında çalışanları sürekli taciz ederek motivasyon, çalışma isteğini kırmaktadır. Yönetici konumundan dolayı, örgüt kaynaklarını kendi çıkarı doğrultusunda ve boşa harcanmasına neden olmaktadır. Çalışanların örgüte bağlılığını düşürmektedir. Çalışanlar maruz kaldıkları tutumlar karşısında çalışma isteği kalmadığından dikkati dağınık, keyifsiz çalışmaktadır (Tepper 2000, 178). Çalışanlar toksik lider davranışları ile zehirlenen çalışma ortamında öfkeli, endişeli bir nevi paronaya tutum ve davranış içine girmektedir (Goldman (2006, 733-746). Bu koşullarda çalışan, üretkenliğini, beceri ve yeteneklerini kullanmak isteği yok olmaktadır (Neuman and Baron 2005, 15). Sürekli savunma halinde, yöneticiden gelecek bir sonraki davranışın ne olacağı beklentisi içerisinde çalışmaya odaklanamamaktadır. Bu olumsuzlukların sonucu olarak başta sağlık çalışanı sağlığını kaybetmekte, topluma kaliteli etkin sağlık hizmet sunamamaktadır. Toksik lider, bencil, zorba, dengesiz davranışları çalışanları, çalışma ortamını sürekli zehirlenmektedir (Taiwo 2010,300). Toksik lider, çalışanların enerjisini sömüren, nezaketten uzak kaba, anti sosyal ilişkileri takipçilerini bezdirmektedir. Çalışan istemeye istemeye işe gelen bir an önce mesai tamamlayıp o ortamdan uzaklaşmak istemektedir. Çalışanlar kendini özgürce ifade etmesine izin vermeyen aşırı kontrol, baskılayıcı otoriter esnek olmayan örgüt politikaları da toksik olabilmektedir. Zamanında örgüt içi önlemler alınmadığı takdirde örgüt kültürü haline gelebilmektedir.

Toksik liderlik, Bencil, Çıkarıcı, Değerbilmez, olumsuz ruhsal durum olmak üzere dört alt boyuttan oluşmaktadır.

Çıkarıcı; takipçilerini, örgüt kaynaklarını kendi amaç ve çıkarı için çalışmaya zorlamaktadır. İletişim anında korku yayarak isteklerini yaptırmaktadır. Örgütsel başarıların sonuçlarından sadece kendine pay çıkarıp takipçilerini göz ardı etmektedir (Appelbaum and Roy-Girard 2007, 19).

Bencillik; takipçileri küçük düşürecek eylemleri sık sık tekrarlayarak onları aşağılamaktadır (Reed 2004, 68; Lipman-Blumen 2005, 3). Korku çemberini genişleterek gözdağı verip kendi isteklerini zorbalıkla kabul ettirmekte ve yaptırmaktadır.

Değerbilmez; her olumlu sonucun arkasında kendi varlığını hissettirmektedir. Gerçekte başarının arkasındaki hakkı olana hakkını teslim etmemektedir. Toksik davranışlarıyla takipçilerinin çalışma isteğini kırmaktadır.

Olumsuz ruhsal durum; takipçilerini rahatsız eden kötü niyetli ruh hali ile ortamı zehirlenmektedir. Çalışanların motivasyonunu kırma konusunda oldukça başarılı hamlelerde bulunmaktadır. Zamanını çalışanlarını nasıl manipüle edeceğini planlamakla geçirmektedir.

2.2. Toksik Lider Özellikleri

Kurumdaki yöneticiler toksik davranışlar sergiliyorlarsa o kurumda güçlü veya zayıf düzeyde toksik özellikler görülebilecektir. Sadece kendini düşünen, bencil davranışlarda bulunan liderler ve yöneticiler asıl görev ve sorumluluklarını yerine getiremeyecekler kurumdaki çalışanların ruhuna ve çalışma isteklerine katkıda bulunacakken üzerlerine düşen hem kişisel hem de kurumsal sorumluluklarını yerine getirmemiş olacaktırlar. Çalışanların kuruma faydalı olabilmelerini sağlamak, onları kuruma kazandırabilmek liderlerin ve yöneticilerin toksik etki ve davranışlardan arınmaları ile mümkündür. Yönetici ve liderlerin toksik özelliklerden arınabilmeleri de ancak kişisel ve kurumsal çaba ve gayret ile olabilir (Xia vd., 2019, 53).

Whickar'a (1996) göre toksik lider, geçimsiz, iyi niyetli olmayan ve sürekli kaygı taşıyan liderdir. Aynı zamanda bu tip liderler sürekli başkalarının sırtından yükselme eğilimindedir. Ben merkezli, zayıf karakterli ve güven oluşturmeyen kişilerdir (Junqueira vd. 1996, 131). Çelebi vd.'ne(2015, 250) göre, zehirli liderler olarak da adlandırılan toksik liderler; çalışanlara ve kuruma olumsuzluk veren ve olumsuzluğa doğru iteleyen ve zararlar veren liderlerdir.

Çalışma hayatında karşılaşılan toksik davranış göstergeleri kısaca Tablo 1'de ki gibidir:

Tablo 1. Çalışma Hayatında Toksik Davranış Göstergeleri

Başkalarının düşüncelerine güvenmeme	Başkalarını aşağılama, alaycı sözler söyleme
Pasif ve agresif davranışlar gösterme	Yetkisini cezalandırmak için kullanma
Kendi alanını koruma	Yersiz ve düşünmeden eleştirme
Çalışma arkadaşlarının davranışlarını gözetleme	Başkalarının hatalarını ortaya çıkarma

Kaynak: Holloway, E. L. and Kusy, M. E. (2010). Disruptive and Toxic Behaviors in Healthcare: Zero Tolerance, The Bottom Line and What To Do About It. Medical Practice Management, 335-340.

Tüm bu bilgilerin ışığında toksik liderlerin özellikleri şu şekilde sıralanabilir (Lipman-Blumen 2005, 2-3):

- Takipçilerini zaman içerisinde, küçük düşürerek, yalnız bırakarak, korkutarak, moralini bozarak, haklarından mahrum ederek, kapasitelerini kısıtlayarak ve ağır konuşarak kasıtlı şekilde kötü bir hal içerisine sokarlar.
- Takipçilerinin temel insani haklarından mahrum etmeye uğraşırlar.
- Yolsuzluk veya herhangi bir adli olayı, etik olmayan davranışları rahatlıkla gösterebilirler.
- Takipçiler üzerindeki etkileri ve güçlerinin artması yönünde davranıp onların kapasitelerini kısıtlamak yolu ile kendisine bağımlı hale gelmesine çalışırlar. Kendilerini takipçilerini savunup koruyabilecek tek kişi olarak göstermek isterler.
- Yapıcı her eleştiriye yok sayıp, tehdit ve otorite ile boyun eğmeyi sağlarlar.
- Var olan sorun ve problemleri bilinçli şekilde yanlış teşhis ederek takipçilerinin yanlış yönlendirilmesini sağlarlar.
- Totaliter rejim oluşturmaya çalışır ve yeni liderlerin seçilmesini engelleyecek tedbirler alırlar.
- Kendilerine günah keçisi belirleyip onlara diğerlerinden daha kötü davranırlar. Ayrıca diğer departman çalışanlarına da göstermelik şekilde kendi departman çalışanlarından daha kötü davranırlar.
- Problemleri doğru teşhis edemez çözüm yollarında sık sık hata yaparlar.
- Sıklıkla yalan söylerler.
- Karanlık, yıkıcı, taciz eden tutum ve davranışlar gösterir
- Örgüt içi problemlerin kaynağını ortaya çıkarma, çözme noktasında yeteneksizdir.
- Takipçilerin başarısını kendi başarısı gibi gösterir, olası problemleri çalışanlara yükler.
- Baskıcı bir sistem kurarak, yeni demokrat ve aydın kişilerin seçilmesini engelleyen ortam hazırlar
- Çalışanlar üzerinde korku çemberi oluşturup, boyun eğmelerini sağlar.
- Çalışanları itibarsızlaştırıp, kendine bağımlı hale getirmektedir.
- Takipçilerinde aldatıp, yanıltarak sanki onların çıkarlarına hizmet ediyormuş algısı uyandırmaktadır.

3. ÖRGÜTSEL PERFORMANS

3.1. Örgüt Performansı Tanımı

Örgütsel Performans, örgütsel çıktılarının, örgütün varlığını sürdürmesine tehdit oluşturmeyen, pozitif yönde ki artışlardır. Kuruluşların amaç ve hedefleri yakalamak için çalışanların gösterdiği, üstün gayret ve çaba performans olarak tanımlanmaktadır (Inuwa 2016, 93). Performans çalışanların fiziksel, zihinsel çabalarının

(Dirks ve Ferrin 2002, 612) tümünün aktif olarak kullandıkları üretim sürecidir (Aydın 2004, 51). Örgüt başarısını yükselten, gelecekte olabilecek tehditleri zamanında algılayıp çözüm üretecek yeterliliğe sahip bireyleri yetiştirmek, örgüte kalıcılığını sağlamakta örgütsel bir performanstır. Saygı, güven bunalımının yaşanmadığı, çalışanlarının sürekli destek gördüğü mutlu huzurlu ortamları sunma çabası da örgütsel bir performanstır (Fındıkçı 2006, 401). Toksik yönetici özelliklerine sahip bireylerin barınmasına izin vermeyen örgüt politikaları çalışan performansının etkin olarak ortaya çıkmasına olanak sağlayan örgütsel performanstır. Toksik tutun ve davranışlar çalışanların iyi niyetlerinin ortaya çıkmasına, örgüt yararına katkı yapan somut değerlere dönüşmesini baskılamaktadır. Dolayısıyla çalışan performansı beraberinde örgütsel performansı düşürmektedir.

Performans kavramı, çalışanın işine bağlılığını, iş verimini ve çalışma isteğini doğrudan açıklayan bir kavramdır. Kurumların hedeflerine ulaşarak başarılı olabilmesi ve daha üst düzey rekabet koşullarına ulaşabilmesi çalışanların performansları ile yakından ilişkilidir. Bunun için kurumlar, çalışanlarının performanslarını yakından takip eder ve değerlendirirler. Çalışan performansı, sadece işe yönelik davranışları değil, işe yönelik olmayan davranışları da kapsamaktadır. Çalışanın iş performansı üzerinde örgüte karşı takınmış olduğu olumsuz tutum ve belirsizlik onun çalışma performansında azalmalara yol açmaktadır. Bireysel öğeler çalışanın kendi karakter özelliklerinden kaynaklanan unsurlardır (Reyhanoğlu ve Akın 2016, 443). Bu nedenler ile toksik duygu hissi performansı negatif etkileyecektir. Near ve Miceli (2008, 270) örgüt performansına etkisi olan bir grubun kendini sorumlu hissetmesi ötürü daha sesli davrandığını belirtmişlerdir. İslam ve Zyphur'un (2005, 94) yapmış oldukları çalışma göstermektedir ki, gruplar konum olarak güçlü olduklarında düşük olduklarından daha fazla ses davranışı sergilemektedir.

4. TOKSİK LİDERLİK VE ÖRGÜT PERFORMANSI İLİŞKİSİ

Performansı etkileyen en baş kavram motivasyondur. motivasyon bireyi belirlenmiş bir hedefe doğru adım atmak için gerekli çabalar bütünüdür (Ergül 2005, 68). Çalışanın çalışmış olduğu örgütten maddi ve manevi beklentilerinin karşılanıp karşılanmadığı motivasyonu üzerinde etkilidir. Bu bağlamda toksik örgütlerde manevi doyum sağlanmadığı bir gerçektir (Fındıkçı 2006, 375). Performansı etkileyen diğer bir unsur olan iş tatmini takdir edilme duygusu ile beslenmektedir (Erdil vd., 20011, 18). Toksik bir örgütte çalışanlar takdir edilmediği gibi aynı zamanda küçümsenmekte ve alay konusu olmaktadır. Bu nedenle toksik liderlik biçimi iş tatminini de negatif yönde etkileyecektir. Çalışan performansı çalışma ortamından güçlü şekilde etkilenmektedir. Çalışma ortamı hem fiziki açıdan ergonomik ve uygun olmalı hem de iletişimin kuvvetli olduğu pozitif enerjiye sahip bir ortam oluşturulmalıdır (Erdil vd., 2011, 21). Toksik örgütlerde negatif enerji, ben merkezli ve çıkara dayalı kurulmuş olan iletişim düzeyi performansı negatif etkileyecektir.

5. SONUÇ

Tüm çalışma ortamları farklı derecelerde toksik özellikler barındırmaktadır ve toksik tutum örgütün içerisine yerleştiği andan itibaren düzenli ve hızlı bir biçimde yayılmaktadır. Toksik liderler başarıları ile etik olmayan tüm tutum ve davranışlarını maskeleyebilmektedirler. Bu tarz liderler aynı zamanda eleştirileri yok sayarak tehdit ve aşağılama yolu ile çalışanlara boyun eğmeyi öğretmek istemindedirler. Bu süreçte çalışanlarına bazen kendilerini iyi hissettirecek dengeleyici şekilde davranmakta, onlara olmayacak ütopyalar ve gelecek resmi sunarak bundan mahrum kalma korkusunu hissettirerek kendilerine bağlama yolunu seçebilmektedirler. Tüm bu süreçte bilinçaltı yaymaya çalıştıkları his ise kendisi ile mücadele edilmemesi gerektiridir.

Toksik liderlik özellikleri, örgütlerin hangi sektörde olursa olsun örgüt üyelerinin modunu düşürmektedir. Bu da çalışan performansı dolayısıyla örgüt performansını düşürmektedir. Çalışan zoraki işe gelen, isteksiz bir şekilde mesai doldurup bir an önce ortamı terk etmek çabası içine girmektedir. Örgüt üyelerine serbestlik tanımayan, bunaltıcı, sıkıcı, motivasyon düşürücü, toksik yönetici tutum ve davranışları zamanla örgüt üyelerince sahiplenip kendi aralarında normal bir davranış haline gelebilmektedir. Aslında en tehlikelisi de örgüt üyelerince normalleşen toksik davranışlardır. Bu da zehirli ilişkilerin yaygınlaşmasına örgüt içi toksik iletişim kavramını ortaya çıkarmaktadır. Çünkü zamanla örgüt kültürü haline gelebilmektedir. Çalışanı örgütle bağlarını koparan toksik lider tutum ve davranışları örgütsel politika haline gelmesine izin veren örgütsel yaklaşımlardır. Öncelikle çalışanı psikolojik ve fizyolojik sağlığını bozmaktadır. Çalışan iş üretmek yerine toksik lider davranışlarıyla baş etmeye çalışmaktadır. Kendine gelebilecek saldırıların beklentisi, kaygısı içinde adeta bir paronaya gibi davranmaktadır. Kuruluşların yoğun rekabet koşullarının üstesinden gelebilmek için çalışanın üstün beceri ve yeteneklerini kullanacakları cezp edici ortamlar sunmak gerekmektedir. Topluma sağlık hizmeti sunarken kendi sağlığını kaybeden örgüt üyeleri yerine, çalışmaktan keyif alan bireyler oluşturulabilir. Sağlıklı toplum, sağlıklı sağlık çalışanları tarafından üretilebilir. Çalışanlara serbestlik tanıyarak, bilgi beceri, yeteneklerini kullanabilecekleri ortamlar yaratıldığında, kendilerine değer verildiği algısı oluşmaktadır. Kendi değerini

hissettiren işletmelerde çalışanların örgütlerine sadakatle bağlı oldukları çalışmalarla ortaya konmuştur. Böylece çalışan performansı yükselmektedir. Dolayısıyla örgüt performansı beraberinde yükselmektedir.

KAYNAKÇA

- Aydın Şule, «Örgütsel Stres Yönetimi.»Dokuz Eylül Üniversitesi Sosyal Bilimler Dergisi, 6 (3) (2004): 49-74.
- Appelbaum H. Stevenve David Roy-Girard,«Toxins in the Workplace: Affect on Organizations And Employees.»Corporate Governance: The International Journal of Business in Society, 7 (1) (2007): 17-28.
- Celep Cevat, Eğitimde Örgütsel Adanma ve Öğretmenler. Anı Yayıncılık, 2000.
- Çelebi Nurhayat, Halim Güner ve Veysel Yıldız, «Toksik Liderlik Ölçeğinin Geliştirilmesi.» Bartın Üniversitesi Eğitim Fakültesi Dergisi, 4 (1) (2015): 249-268.
- Dirks T. Kurt ve Donald L. Ferrin, «Trust in Leadership: Meta-Analytic Findings And Implications For Research And Practice.»Journal of Applied Psychology, 87 (4)(2002): 611-628.
- Erdil Oya, Halit Keskin, Salih Zeki İmamoğlu ve Serhat Erat, «Yönetim Tarzı ve Çalışma Koşulları, Arkadaşlık Ortamı ve Takdir Edilme Duygusu İle İş Tatmini Arasındaki İlişkiler: Tekstil Sektöründe Bir Uygulama.» Doğu Üniversitesi Dergisi, 5 (1) (2011): 17-26.
- Ergül Hüseyin Fazlı, «Motivasyon ve Motivasyon Teknikleri.» Elektronik Sosyal Bilimler Dergisi, 4 (14) (2005): 67-79.
- Fındıkçı İlhami, İnsan Kaynakları Yönetimi, İstanbul: Alfa Yayıncılık, 2006.
- Reed, Colonel George E. «Toxic Leadership.» Military Review, 84 (4) (2004): 67-71.
- Goldman Alan,«High Toxicity Leadership: Borderline Personality Disorder And The Dysfunctional Organization.» Journal of Managerial Psychology, 21(8)(2006): 733-746.
- Holloway, E. L. and Kusy, M. E. (2010). Disruptive and Toxic Behaviors in Healthcare: Zero Tolerance, The Bottom Line and What To Do About It. Medical Practice Management, 335-340.
- Inuwa Mohammed,«Job Satisfaction And Employee Performance: An Empirical Approach.» The Millennium University Journal, 1(1) (2016): 9-103
- Islam Gazi ve Michael. J. Zyphur, «Power, Voice, And Hierarchy: Exploring The Antecedents Of Speaking Up In Groups.» Group Dynamics: Theory, Research, And Practice, 9 (2) (2005): 93-103.
- Junqueira C. V. Angela, Egler Chiari ve Patrick Wincke, «Comparison of The Polymerase Chain Reaction With Two Classical Parasitological Methods For The Diagnosis of Chagas Disease In An Endemic Region of North-Eastern Brazil.» Transactions of The Royal Society of Tropical Medicine And Hygiene, 90 (2) (1996): 129-132.
- Lipman-Blumen Jean,«The Allure of Toxic Leaders: Why Followers Rarely Escape Their Clutches.» Ivey Business Journal, 69 (3) (2005): 1-8.
- Near P. Janet ve Marcia P. Miceli, «Wrongoing, Whistle-Blowing, And Retaliation in The US Government: What Have Researchers Learned From The Merit Systems Protection Board (MSPB) Survey Results.» Review of Public Personnel Administration, 28 (3) (2008):263-281.
- Neuman H. Joel ve Robert Baron, «Aggression in The Workplace: A Social-Psychological Perspective.» Counterproductive Work Behavior: Investigations of Actors And Targets, 7(2005): 13-40.
- Reed, Colonel George E. «Toxic Leadership.» Military Review, 84 (4) (2004): 67-71.
- Reyhanoğlu Metin ve Özden Akın, «Toksik Liderlik Örgütsel Sağlığı Olumsuz Yönde Tetikler Mi?» Itobiad: Journal of The Human & Social Science Researches, 5(3). (2016): 442-459.
- TaiwoAkinyele Samuel,«The Influence of Work Environment on Workers Productivity: A Case of Selected Oil And Gas Industry In Lagos, Nigeria.» African Journal of Business Management, 4(3)(2010):299-307.
- Tepper, Bennett J. "Consequences of abusive supervision." Academy of management journal 43(2) (2000): 178-190.
- Xia Ying, Li Zhang ve Mingze Li, «Abusive Leadership And Helping Behavior: Capability or Mood, Which Matters?» Current Psychology, 38 (1) (2019): 50-58.

Leadership And Its Effect On Health Management

Prof. Dr. Buket AKSU¹

Lecturer. Hasan Ali HUSSEIN¹

¹Altınbaş University / Faculty of Pharmacy, Pharmacy Management department., buket.aksu@altinbas.edu.tr
ORCID:0000-0001-7555-0603

² Altınbaş University / Faculty of Pharmacy, pharmaceutical technology dep. hasan.hussein1@altinbas.edu.tr,
ORCID:0000-0001-5051-4550

Abstract: Leadership in health care focuses mainly on achieving the goal of effective health care delivery as a team under the guidance of another team member. Leadership in the health sector has become a key point in improving patient safety and health management as a whole.

Delivering effective health care services to patients may be more efficient when health care professionals unite and act as a single body that is patient oriented. By developing a structure where leadership influences health management, the outcome of services rendered to patients is being greatly ameliorated.

The Institute of Medicine (IOM) has outlined a number of actions which health care organizations need to implement in order to improve patient safety.

The Baldrige National Quality Program also recognizes the importance of leaders and has stated the roles of leaders and what is expected of them in order to achieve excellence in health care.

Leadership models are the fundamentals of leadership, which determine whether the objectives will be met as in the interest of the organization.

This research was aimed to determine the impact of leadership on health management. This explores the characteristics of a leader, leadership styles that may be implemented, and their effect on outcome in a health care organization.

Keywords: leadership, patient safety, health management, health care

1. INTRODUCTION

Healthcare and adequate management of medical facilities is a large issue facing the industry today. From patient experience, specialized health care with competent professionals, transparency on operational costs among others are the major factors hospitals deal with (MH Life Sciences, 2020). In 2018, it was expected that healthcare organizations in the United States would spend more than \$1.5 trillion to adapt to evolving information services. A large aspect of patient care is their medical history and accurate information being captured, so professionals are designing application programming interfaces (APIs) to streamline data sharing and doctor collaboration.

The role of leadership and leaders played within any organization is vital to maintain order and ensure processes and procedures are followed accordingly. The healthcare industry requires even more emphasis on the leadership styles employed within their facilities, as the lives of their patients are in the hands of the nurses and doctors that treat them.

Orlando in 2001 hosted the National Summit on the Future of Education and Practice in Health Management and Policy to discuss this educational emergency that the healthcare management programs currently in use at that time were not aligned to the correct syllabuses and there was a gap between the generic method of leadership used and the procedures that hospitals need in order to care for patients adequately (Begun et al., 2018:133). The unique characteristics of hospitals confirmed that an academic-practitioner focus would strengthen healthcare facilities if taught to prospect leaders and hospital managers.

Hospitals are progressive in nature and constantly evolve to the technological advancements within the global context of patient care. As new machinery is created and scientific breakthroughs on medicine and vaccines are discovered, hospitals must respond timeously to avoid negatively affecting their patients (Alloubani and Almatari, 2014:118). The skills required for an effective leader are often misunderstood and not many know what equates to a successful manager of a department, let alone hospital environments.

2. LEADERSHIP

Historically, management and leadership styles were broad in context and not specific to an industry or sector, however over the last few decades, with technology expanding at such an exponential rate, the “one size fits all” notion is no longer viable (Alloubani and Almatari, 2014:120). In certain countries a formal degree of education and knowledge is required to run a healthcare facility, whereas in other regions the expertise required is not as developed, especially for development countries or those of middle-income status. Regardless of these points, there is a shared responsibility to improve patient care in all hospitals (Hahn and Gil Lapetra, 2019:3).

Across all researchers it is agreed upon that ethical standards, credibility and trustworthiness are important factors when looking for a leader and developing management programs. Educators within the healthcare field have battled for years to successfully identify the ideal set of skills and abilities that a leader should possess, and in the late 20th century, management programs began to market their courses to the healthcare profession procedures (White and Nayar, 2006:335). In today's advanced age, the learning needs are determined by audience profiles, academic techniques and conveyance of information. This is to say that more programs geared towards the healthcare industry are being created in the educational sector to align the needs of patient care with the attributes of a successful leader that will manage hospital administration.

A key facet of leadership and leadership styles is the ability to achieve collaboration and motivate the performance of others. Effective leaders make for efficient teams. Thus, the role of influence and the positive effects of leaders on teams, and hence health outcomes were also investigated.

2.1. Qualities Needed by Leaders

The nursing profession and by extension doctors and surgeons, have an extremely stressful job and can only function as well as the institution they employed in will allow. This requires that certain qualities and attributes be available in the leaders that are chosen to run hospital administration (Cherian and Karkada, 2017:4). Even in developed countries, many hospital environments are challenged by the demands of patient care, increasing need for access to patient-centered care, monetary constraints and even quality and safety of the medical facility. Clinical leadership is vital to ensure patients are treated with highest quality care within a timely delivery system of integrity and professionalism. An example study done in Australia focused on using nurse unit managers (NUMs) to take on clinical leadership roles. This was done by allocating 70% of the NUMs time to medical procedures and nursing functions while the rest was focused on administrative tasks and management support (Daly et al., 2014:1). The notion to employ a professional who has knowledge and experience with patient care far outweighs the costs of instituting formal training programs or hiring management staff. This has its drawbacks in that fully working nurses have to limit their time with patients in order to lead their team and ensure management procedures are followed to achieve expected outcomes. Coupled with an increased workload of varying functions, the chances of the NUMs burning out is greatly amplified.

White and Nayar (2006) conducted a study on competencies between healthcare education institutions and conclude that nine domains were used:

1. leadership,
2. healthcare delivery systems,
3. cost-finance,
4. technology,
5. accessibility,
6. professional staff relations,
7. marketing,
8. quality-risk management, and
9. ethics

Seven clusters made up from 26 individual competencies were acknowledged. These clusters are similar to the sub-categories of the HLA model, though terminology differs. The specific clusters are:

1. charting the course,
2. developing work relationships,
3. broad influence,
4. structuring the work environment,

5. inspiring commitment,
6. communication and
7. self-management.

Another model described by White and Nayar (2006) uses the following domains:

1. leadership,
2. critical thinking,
3. science/analysis,
4. management,
5. political and community development,
6. communication.

The authors found that four domains were common across various competency models. These are:

1. leadership,
2. communications
3. business skills,
4. industry or business knowledge.

A model, derived from factor analysis for nursing executives specifically, listed core domains of competencies as

1. personal integrity,
2. strategic vision/action orientation,
3. team building/communication skills,
4. management and technical competencies,
5. people skills,
6. personal survival skills/attributes (Carroll, 2005:146)

Baker (2003) lists the domains and competencies of The National Center for Healthcare Leadership (NCHL) healthcare leadership competency framework. These have been adapted below in Table 1 to provide examples of competencies under each domain.

Table 1: Examples of competencies

Domain	Competency	Example
Leadership	Develop human capital	Coaching, mentoring, performance reviews
Collaboration and Communication	Manage adverse events	Quality Action Team to determine why it occurred and measures to prevent it
Management Practice	Manage resource allocation	Ensuring stringent lock-up measures and perform checks of stock
Learning and Performance Improvement	Improve the quality of patient care	Evidence-based best practices
Professionalism	Address the health needs of communities	Set up special education (e.g. skin cancer) or wellness clinics
Personal and Community Health Systems	Understand the global, national and community context	Online research to stay abreast of changes to legislation

Reference: Adapted and extended from Baker (2003:30)

The characteristics that constitute an effective leader incorporate these competencies as a broad scope of learning objectives and behaviors (Standish, 2018:269). In relation to health management, leaders need to possess these skills and attributes before they can be further developed in the context of healthcare, as there are qualifying attributes when human interaction and care is involved (Baker, 2003:32).

Zumalia (2016) described strategic leadership competencies as vastly different from the general leadership, as it required high levels of management of an organization (Norzailan et al., 2015:62). The authors go on to state that discipline towards effective strategies requires critical thinking, while others dispute that “creativity and inventiveness” should be the focal point. Norzailan (2015) proposed five methods of strategic thinking that adds value to leaders and their individual management styles.

(1) Systems Perspective requires a micro and macro perspective of front-end procedures as well as internal activities within an organization to understand the complex connection between each component that creates an “interconnectedness” to the functions that are vital to the business. This allows the leaders to know the end-to-end dealings of all aspects and provides a broad outlook on whether all the departments are efficiently working together (Norzailan et al., 2015:65). For example, in the healthcare industry, there are certain medical cases that require urgent surgery or attention, and this takes up either another room, bed or operating room (and there is limited space). A hospital manager needs to understand the intricate medical terminology and factors that would support the professionals’ decision to move a patient above another in order to provide emergency care. In some incidents this is not always agreed upon between doctors and surgeons if more than one patient is in critical condition and will fight for their patient to be seen to first. This instance is where hospital administration must intervene to mitigate the situation by determining the risks and threats imposed if one patient is operated on before the other. If for further clarity, the former patient was scheduled for a heart bypass but another patient with multiple organ failure is rushed into the emergency room, the leader must use “systems perspective strategic thinking” to decide whether the heart bypass patient should be moved to another facility or is his condition stable enough?

(2) Intent Focused is goal driven with specific aims in mind. A professional with this attribute can see the long-term focus of the organization and anticipate future changes in environments (Liedtka, 1998:76). The talks about the issue of technology advancement and a situation can be derived that hospital managers need to focus on the overall intent of their industry; to provide continual health care services. If one cannot foresee the needs of the organization, is not focused on the end goal, or does not adapt to medical progression then the system fails in its overarching mission.

(3) Intelligent Opportunism is the third instalment of competencies, in that a leader can evaluate new opportunities to adapt their strategies to evolving environments. A study done by Salavati et al. in 2017 showed that most professionals can assess situations using this strategic thinking method, however it is not as well developed as it could be. Zakaria (2016) and fellow researchers concurred with Norzailan (2015), and even showed that managers and leaders who hold a certain level of academic qualification utilized this type of thinking more in comparison to other professionals that graduated earlier (Zakaria et al., 2016:2).

(4) Thinking in Time refers to the ability to connect the present, past and future together, that assists in understanding the gap between the current environment and the ideal one of the futures. Norzailan (2015) describes it as “an appreciation for the past, gives us a sense of continuity and what can possibly be achieved”. This method of strategic thinking allows leaders to make decisions about current events based on past experience. For example, certain seasons of the year have significantly increased rates of car accidents and suicides, such as Christmas and Thanksgiving. Administrators will do well to remember the past and stock up on medical equipment and medicine in expectation of these events, and even employing additional nursing staff would be advantageous.

(5) The last model in this journal is Hypothesis-Driven strategic thinking refers to planning for the unknown future by testing assumptions in order to plan for certain occurrences. For the healthcare industry, it is important to anticipate any threatening event, whether it be a terrorist attack or a mentally ill patient that torments the other wards, would need a contingency plan in place.

This model is not limited to these five examples and intellectualized strategic thinking also includes aspects of; creative, vision-driven, systematic and market-orientated thinking that can be adapted to a multitude of industries that should utilize effective leadership techniques.

The Baldrige National Quality Award Program (MBNQA) annually awards various industry categories, recognizing companies that have integrated successful management systems. The criteria for the Excellence Framework emphasize on leaders that can manage institutions as a whole within context of exceptional performance management (Mortimer, 2020:2). These principles are measured based on aspects such as, leadership and how upper management leads an organization to achieve desired results; strategic plans and directions the organization plans to implement to improve performance; how they make use of information and data analysis to enhance procedures; operational coordination designs and customer satisfaction results and reputation (ASQ, 2020).

2.2. Major Theories/Models In Leadership

Models of leadership and management used within healthcare institutions and compare various aspects of differentiating notions.

2.2.1. The ACHE Healthcare Executive Competencies Tool

The American College of Healthcare Executives (ACHE) Healthcare Executive Competencies Tool was compiled by the Healthcare Leadership Alliance (HLA) and describes five leadership domains (Stefl, 2008:360). These are presented in Table 2 below.

Table 2: Description of ACHE Domains

Domain	Description
Communication and Relationship Management	(a) Effective communication with internal and external clients; (b) Effective relationship building and maintenance; (c) Interact constructively with persons and teams.
Leadership	(a) Inspiring excellence; (b) Develop and motivate with a common vision (c) Effective change management to meet strategic goals.
Professionalism	(a) Uphold ethical standards and professional conduct; (b) Take responsibility for patient and community outcomes; (c) Service orientated; (d) Continuous development and learning.
Knowledge of the Healthcare Environment	(a) Cognizant of the healthcare environment
Business Skills and Knowledge	(a) Application of systems thinking; (b) Application of business principles to: a. Financials b. Human resources c. Governance and dynamics d. Strategic planning e. Marketing f. Information g. Risk h. Quality

Stefl (2008:36)

ACHE makes use of the Dreyfuss model to measure the level of skill development of an individual. The categories are: (1) novice, (2) advanced beginner, (3) competent, (4) proficient, and (5) expert. Stefl (2008:360) notes that a novice manager would check their policy manuals to ensure the correct procedures are being followed while more proficient managers can pick up clues from the environment and pattern recognition so that intuition plays a greater role in the decision-making process.

While ACHE and other models designed for the healthcare industry follow the same process of reviewing literature to determine competencies and make use of specialists and practitioners for validation, these competencies must be continuously updated as the industry changes. For example, technological developments may result in new skills being required, or new evidence-based techniques may change protocols. Staff in the industry have the challenge of keeping up with advances in the field; this requires a continuous learning approach and may result in new competencies being added to the tool. Evidence-based decision-making (EBDM) demands that managers change to encompass new information that has been validated and act upon it, with improved outcomes for patient care (Janati et al. 2018:436).

One advantage of ACHE is that the domains, being generic, and demonstrating a shared knowledge basis that crosses boundaries, increases collaboration and mutual respect in the profession, according to Stefl (2008). According to Begun, Butler, and Stefl (2018) healthcare managers want to be professionals which brings status, higher incomes and job satisfaction. Effective leadership is an asset (Cherian and Karkada, 2017:1). There is also a call for greater association between professions regarding leadership competencies (Garman et al. 2019:3). These trends support better training for leaders and more relevant, generic competencies, making

management worth striving for as an individual. As noted by Hahn and Lapetra (2019), leaders must also ensure that they represent the professions they work for and share accountability for its standing.

A huge benefit of the assessment tool is that it can be utilized during the training period to ensure that nurses enter the field with the “knowledge, skills, and abilities” (KSAs) they will need in their careers (Stefl, 2008). This produces more competent staff who are already primed during education to embrace evidence-based protocols and reflective practices that promote ongoing learning. They will also be focused on self-development and having a Personal Development Plan (PDP) not only in place but utilized. The HLA is used by nursing staff as an instrument for progression in their careers (White and Nayar, 2006). Its directory provides all the necessary tools to determine certification and are linked to educational programs to improve competencies.

The drawback is the lack of evidence pointing to the attainment of a competency resulting in improved performance (Bradley, 2003:25). This requires ongoing research to map out the link between scores and work outcomes. For the competencies to prove themselves applicable, they must be able to demonstrate real connections to performance. Longitudinal studies that follow participants in studies may provide additional insight. In a field test, all respondents claimed that all the competencies were necessary though not equally so (Stefl, 2008). However, this does not indicate its connection to performance. White and Nayar (2006) highlight the importance of linking competencies to job performance and for educational programs to prepare students for the competencies they will require in practice.

Not all competencies and areas apply equally to all staff in the industry (Stefl, 2008). For example, the IT manager will require specific skills and in-depth knowledge that a nursing manager would not require. Thus, while some competencies are generic to all managers in the healthcare field, others are not relevant, or are less significant for performing required duties.

The ACHE tool provides a sound foundation for a PDP. This provides advantages to the industry as it produces more staff from training who are committed to continuous learning and self-reflection. The development path can be individualized while overall providing a broad base of commonality that steers staff in the strategic direction of their institutions and within the greater context of healthcare. The tool can also be used to prepare or assess job descriptions (Stefl, 2008).

From the viewpoint of healthcare managers, the evidence-based decision making (EBDM) model is vital in managing physician decisions of a patient. A study by Rousseau (2008) showed that only 15% of the tested hospital’s doctors made decisions on patient care based on past evidence. This statistic shows that not anyone can be a healthcare manager and that doctors would not do well to make administrative decisions. Hospitals that have high quality experiences with administration manager, tend to benefit the lower mortality rates, improved performance and overall better staff well-being (Agarwal et al., 2016). Conceptual framework of the EBDM model started in the 1990s (Barends et al., 2015:2), was introduced as an innovative notion in the leadership and management sector. It encouraged the process of healthcare managers learning to critically appraise evidence from specific research as the core functionality of the hospital. Various factors are vital to implementing an EBDM cycle, and in the first of two phases, roles of the system are categorized into; facilitators; barriers and predicators. This phase requires that the leadership style considers the facilities, possible red tape to hospital procedures and HLA specifications for healthcare management. Phase two of the EBDM cycle is to design management techniques that will take into account the past experiences and align decisions to evidence-based situations (Janati et al., 2018).

Developing a global competency was proposed by Hahn and Lapetra (2019) to include specific objectives that would ensure effective leadership styles are implemented in precise characteristics of the healthcare industry. The goals of the initiative were to provide a professional discipline in healthcare management aspects across all geographical borders and to draw attention to leadership and management systems for communities. The objectives suggested (Hahn & Lapetra, 2019):

- That an internationally agreed upon set of skills and foundational competencies are required for all healthcare managers
- These core competencies must be used as a global framework to develop training and employment aspects of learning
- Human resources managers should develop long-term pathways to direct careers for leaders in the health segment

- Flexibility is considered in all aspects due to the fast-changing nature of the healthcare industry
- A control of peers and development based on the formalization of this charter. Promotion and acceptance of these competencies must be worldly accepted and implemented

Garman, Standish & Wainio (2019) concurred with these factors that a widely used competency model be used to incorporate a strong leadership strategy across all healthcare professionals.

Many healthcare organizations have voiced concern that the quality of the knowledge and practical experience of health management graduates, is not ideal and will ultimately impact patient care and team morale in any medical facility. For this reason, the literature reviewed provides clarity as to the basic skill set that leadership professional should possess to successfully manage hospital administration procedures. The information gathered here is a steppingstone to testing competency programs that incorporate a more practical component, designed around the medical field and patient dynamics to ensure positive outcomes. Robbins, Bradley and Spicer's (2001) assessment tool provides additional concepts of healthcare management that should be considered for all teaching programmes graduating competent professionals. The proposed tool focuses on developing (1) technical skills pertinent to the responsibilities of health facility leader; (2) industry knowledge specific to clinical processes; (3) conceptual reasoning that employs an inductive and deductive approach; and (4) emotional intelligence or EQ that determines the characteristics of effective leaders (Robbins et al. 2001).

To understand the connection to leadership skills, one must first define what the medical field determines as patient outcomes and then examine how positive outcomes are achieved (Tinker, 2014:). Measuring outcomes is important to improve health of the population, lessen staff burnout and reduce cost of healthcare per capita. In 30% of studies done to research patient satisfaction, morbidity rates and clinical complications, errors in medication prescribed and mortality rates were the most common examined outcomes to be of concern (Taylor et al, 2015:174).

Doctors have a different idea of expected outcomes versus the patients that they care for. In the United States, healthcare is based on treating diseases and medical conditions, but only 1% of surgeries were reported to be measured. Medical professionals can achieve the outcomes that both doctors and patients want, through effective collaboration and communication. Kilpatrick (2015) defined four aspects of patient care that is vital to manage and keep up to date with:

In this example an eighty-two-year-old man has presented with blockages in three coronary arteries and all carotids (Kilpatrick, 2015). The patient will be having a cardiac bypass operation followed by another surgery to open up a carotid artery. Particularly this situation warrants special attention to the patients progress and recovery, and to achieve the expected outcomes the following requirements were defined:

- Symptom and conditions check, calls for continuous updates of patient files to monitor changing health problems. For the elderly patient, who experienced fainting spells would need to be recorded for official record;
- Functional status refers to being able to perform their normal daily living activities. This scenario for example could limit the patient's working capabilities due pain;
- Quality of life is held by the patient in their definition of what institutes quality of life. Doctors should collaborate with the patient to understand what life experiences they are missing out on based on these components; and
- Risk factors would incorporate the doctor's knowledge on the patient's medical history. Strokes are major risks of blocked carotid arteries, and this information is critical to monitor the patient's recovery.

Adapted from Health Patient-Centric Care

An online study done selected 20 studies from eight databases and discovered that a clear and positive significance to patient outcomes was determined by "positive relational leadership styles". This study concluded that even though the evidence is strong and supports the hypothesis that implementing nurses into leadership positions were beneficial, further testing and updating management models should be examined (Wong et al., 2013:709).

A similar notion of linking transformational leadership (TL) skills through nurses was published in 2019. Job satisfaction (JS) and nurse-assessed patient outcomes (APO) was investigated with structural empowerment

(SE) and quality of care (QOC) in a Pakistan hospital. Six hundred nurses working over 17 governmental facilities completed a survey on the hypothesis that a constructive influence occurs for patient outcomes when these five aspects are integrated with leadership training and development. The survey found that TL, SE and JS complimented each other, whereas TL and APO, SE and APO, and JS and APO do not align efficiently (Asif et al., 2019:2381).

3. IDEAL LEADERSHIP STYLES THAT WILL ACHIEVE EXPECTED HEALTH OUTCOMES

The medical profession is a highly stressful and fast-paced environment, and certain qualities are needed by a leader in order to effectively run a healthcare facility (Cherian & Karkada, 2017:1). Some researchers state that critical thinking is the most important factor when one is studying to be a leader, while others disagree and say that creativity should be emphasized on.

One researcher Norzalian (2016) suggested five methods that could assist leaders in managing their individual styles, while describing what aspects constitute a good leader. It was reviewed that strategic thinking was favored over creativity in management styles, as the medical field is analytical and objective in nature and requires a similar approach to maintaining hospital reputation of achieving expected outcomes.

Below a table outlines the strategic thinking competencies and the actions that make up a good leader.

Table 3: Strategic Thinking Competencies

Domain	Skill
Systems Perspective	Understanding of the whole situation and how each department interlinks with each other
Intent Focused	Being able to see the long-term benefits and consequences to decisions
Intelligent Opportunism	Ability to evolve to changing environments based on industry standards
Thinking in Time	Refers to having in-depth knowledge of past, present and future events to anticipate future contingencies
Hypothesis-Driven	Being able to anticipate events based on strategic planning for unforeseen circumstances

Dechasakul, and Jirachiefpattana (2014:2)

3.1. Positive Implications of Effective Leadership Styles

It was reported that 13 studies were done over the span of thirteen years, showing a large improvement in staff collaboration and patient outcomes based on the facilities that implemented team building and communication exercises. A narrative review by Weaver, Dy and Rosen (2014) is shown in the results that each year the teambuilding exercises improved the environments and patient outcomes the more communication and working together was enforced in healthcare facilities. 10 out of the 13 studies experienced decreases in morbidity and mortality rates and their expected outcomes were met more frequently. Entwistle et al (2012) conducted a synthesis of the available literature pointing out that the leadership models proposed are often specific to the doctor or nurse’s profession and doesn’t consider the personal experiences of each patient.

3.2. Connection Between Effective Leadership, Collaboration and Positive Health Care Outcomes

Considering assessment tools such as HLA’s Executive Competencies (Stefl, 2008) and evidence-based management (EBM) (Janati et al. 2018:436), the skills under each relevant domain title shows basic management requirements that constitute a good leader. Under leadership, aspects of being able to motivate employees to work towards a common goal and inspiring the team to perform better greatly improves the working environment and promotes communication through teamwork activities (Garman et al. 2019). The connection here is that when employees such as nurses and doctors are happier in their profession, they want to perform better and take pride in their work. From minimizing work stress and employee depression through

effective leadership skills, patient care is maintained at a higher degree of quality. If nurses are less stressed, fewer mistakes are made that could jeopardize expected outcomes.

Communication is a key factor of any effective team and being able to interact in a constructive manner that incorporates collaboration among team members (Cherian & Karkada, 2017) promotes strong management skills for all staff, allowing them to communicate with patients more efficiently. A leader that can bridge the gap between the service patients receive and the basic communication skills medical professionals require, is a vital management attribute of health facility leaders. This shows another positive relationship between acquiring these leadership skills and the ultimate outcome of patient care.

In the context of business skills and knowledge of the healthcare profession, skills such as applying critical systems thinking, being focused on intent and developing human capital are all agreed upon factors, and aspects of each are seen across multiple management models, including Baker's (2003) NCHL competency framework researched in chapter 2.1. Understanding the dynamics of medical institutions and applying business principles such as risk management and human resources (to name a few) within in healthcare environments is an important requirement for leaders managing health professionals. One method of managing construction staff for example, will not be effective for a nurse or doctor. And being able to distinguish management procedures through EBM are necessary due to the differing characteristics of patient care and people-orientated services.

One innovative idea by Asif and team (2019) reviewed was transformational leadership (TL) using managing nursing staff to take over hospital administration. The outcome of the study was not as hypothesized that the five mentioned elements would improve patient outcomes when integrated together. The participants survey answers showed that quality of care and patient approval is greater when transformation leadership is established, allowing the nurses to formulate respectable relationships (Asif et al., 2019). As solid evidence identified, nurse-assessed quality of care, adverse patient outcomes and transformational leadership were the greatest aspect influenced and alluded to the concept that TL is the most important measurement tool for evaluating areas that need improvement and reducing undesirable outcomes.

3.3. Managing Health Outcomes for Patient Care

Various associations have been instrumental in identifying aspects that make up a good leader and creating frameworks of competencies and management tools that positively influence healthcare and patient outcomes. The HLAs approved model was researched and discovered to be quite effective, and as such many facilities incorporate aspects of the framework. This is in part due to the findings of studies done by the ACHE and EBM that showed such beneficial results. Mostly the combined perception of many health associations like HLA, IOM and MBNQP has had the most noticeable effect, as they have spent decades investigating and the characteristics of the healthcare industry and experimenting with leadership styles that achieve expected outcomes.

Simple concepts such as strategic thinking and problem-solving skills have been adapted on to customize educational curricula to focus on hospital management and the focal areas that allow future leaders to enter the profession with industry knowledge and vital skills that will efficiently run hospital administration. One alternative model using structural equations proposed that nursing staff who already have practical experience in hospital environments and understands expected patient outcomes, could be skilled up to take on a management role. Through the five elements, the nurses would consequently have increased satisfaction for their profession and feel empowered in their position of leader. Transformational leadership shows a great opportunity to decrease failed patient outcomes and improve quality of care, while also cutting out the process of employing a manager. Those studying to be in hospital leadership positions are not generally certified nurses or doctors, so developing the skills of the current staff is an interesting concept that could see the improvement of patient outcomes for many healthcare facilities.

Expected patient outcomes can be achieved with leaders who have the necessary skills and competencies that will see positive implications. Weaver, Dy and Rosen (2014), Entwistle et al (2012) proved that leadership initiatives such as team building exercises and more integrated communication efforts vastly enhanced the quality of care given and overall decreased death rates. The psychological connection between staff feeling appreciated and encouraged to perform better and improved patient outcomes is a significant element to analyze and research in future.

The generalized concept of leadership in the health care sector is that it must provide safe and high-quality care services to patients and one successful way to achieve this and mitigate organizational issues is to manage the departments at all levels (Ayeleke et al. 2018:30). Growing interest and attention to the health industry and leadership has been viewed across the world, and researchers are understanding the delicate characteristics of hospital environments, realizing that skills, knowledge and attitudes are essential attributes for effective leaders.

For years leadership styles have been incorporated as general models that can be utilized in multiple industries. However, with advancing technology and scientific innovation taking prevalence in the medical field, specialised leadership skills are necessary to correctly manage healthcare facilities. From being able to understand the bigger picture of how different medical procedures and patient outcomes interlink with each other, to focusing on long-term strategies (Salavati et al., 2017:4332) that will anticipate plausible changes in the industry, it is clear that medical environments need to be discussed in detail. Utilizing the knowledge and skills of a medical professional that already knows the field, is the most effective leadership technique deduced from this study. The HLA Executive Competency Assessment Tool is of significance when incorporated into the nursing training and development syllabus as new graduates are already competent in the key factors of effective management.

4. CONCLUSION

In all the studies reviewed in this dissertation, it is widely recognized that certain leadership styles fit for the medical profession have a comprehensive and clear benefit to improving expected patient outcomes.

Also we can notice the recommendations of world health organization (WHO) about 8 stars education programs for the pharmacists at the undergraduate education levels that include teaching about leadership and the management skills, which refers to the importance of such abilities if acquired by healthcare providers.

An effective leader is one who can bring a team together to collaborate for the betterment of patients and the care they provide and is just as significant as having industry knowledge and experience. In many aspects of working environments, satisfied employees that are motivated to improve and want to develop themselves for personal advancement are just some of the reasons that communication is instrumental when managers are leading their team.

Discussion of the findings to this study indicate that very few negative implications exist when certain skills and leadership styles are utilized by management. Many studies have been done on different countries of alternating social and economic characteristics, and even developing counties have discovered that improved patient outcomes reduces the cost of healthcare per capita, subsequently refining the economy.

REFERENCES

- Agarwal, R., Green, R., Agarwal, N. and Randhawa, K. (2016), 'Benchmarking management practices in Australian public healthcare', *Journal of Health Organization and Management*, Vol. 30 No. 1, pp. 31-56.
- Alloubani, A. and Almatari, M., 2014. EFFECTS OF LEADERSHIP STYLES ON QUALITY OF SERVICES IN HEALTHCARE. *European Scientific Journal*, [online] 10(18), pp.118-129.
- Al-Sawai, A., 2013. Leadership of Healthcare Professionals: Where Do We Stand?. *Oman Medical Journal*, 28(4), pp.285-287.
- Asif, M., Jameel, A., Hussain, A., Hwang, J. and Sahito, N., 2019. Linking Transformational Leadership with Nurse-Assessed Adverse Patient Outcomes and the Quality of Care: Assessing the Role of Job Satisfaction and Structural Empowerment. *International Journal of Environmental Research and Public Health*, 16(13), p.2381.
- Ayeleke, R., Dunham, A., North, N. and Wallis, K., 2018. The Concept of Leadership in the Health Care Sector. *Leadership*.
- Baker, G., 2011. The contribution of case study research to knowledge of how to improve quality of care. *BMJ Quality & Safety*, 20(Suppl 1), pp. i30-i35.
- Barends, E., Villeneuve, J., Briner, R. and tenHave, S. (2015), 'Managers' Attitudes And Perceived Barriers to Evidence-Based Management an International Survey', In *Searchof Evidence*; VU University Press, Amsterdam.
- Begun, J. W., Butler, P. W., & Stefl, M. E. (2018). Competencies to what end? Affirming the purpose of healthcare management. *Journal of Health Administration Education*, 35, 133–155.
- Bradley, E. H., Cherlin, E., Busch, S. H., Epstein, A., Helfand, B., & White, W. D. (2008). Adopting a competency-based model: Mapping curricula and assessing student progress. *The Journal of health administration education*, 25(1).
- Carroll, T.L. "Leadership Skills and Attributes of Women and Nurse Executives: Challenges for the 21st century." *Nursing Administration Quarterly* 29(2) (2005): 146-154.
- Chen, T., 2018. Medical leadership: An important and required competency for medical students. *Tzu Chi Medical Journal*, 30(2), p.66.

- Cherian, S., & Karkada, S. (2017). A review on leadership in Nursing. *International Journal of Nursing Research & Practice*, 4(1).
- Daly, J., Jackson, D., Mannix, J., Davidson, P. and Hutchinson, M., 2014. The Importance Of Clinical Leadership In The Hospital Setting. [online] Dove Press. Available at: <<https://www.dovepress.com/the-importance-of-clinical-leadership-in-the-hospital-setting-peer-reviewed-fulltext-article-JHL>> [Accessed 15 May 2020].
- Dechasakul, N., & Jirachiefpattana, W. (2014). The Influence of Communication Competence on Software Development Management Practices. *Journal of Advanced Management Science* Vol, 2(2).
- Dixon-Woods, M., Cavers, D., Agarwal, S., Annandale, E., Arthur, A., Harvey, J., Hsu, R., Katbamna, S., Olsen, R., Smith, L., Riley, R. and Sutton, A., 2006. Conducting a critical interpretive synthesis of the literature on access to healthcare by vulnerable groups. *BMC Medical Research Methodology*, 6(1).
- Entwistle, V., Firnigl, D., Ryan, M., Francis, J. and Kinghorn, P., 2012. Which Experiences of Health Care Delivery Matter to Service Users and Why? A Critical Interpretive Synthesis and Conceptual Map. *Journal of Health Services Research & Policy*, 17(2), pp.70-78.
- Fu, R., Gartlehner, G., Grant, M., Shamliyan, T., Sedrakyan, A., Wilt, T., Griffith, L., Oremus, M., Raina, P., Ismaila, A., Santaguida, P., Lau, J. and Trikalinos, T., 2011. Conducting quantitative synthesis when comparing medical interventions: AHRQ and the Effective Health Care Program. *Journal of Clinical Epidemiology*, 64(11), pp.1187-1197.
- Garman, A. N., Standish, M. P., & Wainio, J. A. (2019). Bridging worldviews: Toward a common model of leadership across the health professions. *Health Care Management Review*.
- Hahn, C., & Gil Lapetra, M. (2019). Development and Use of the Leadership Competencies for Healthcare Services Managers Assessment. *Frontiers in Public Health*, 7. doi: 10.3389/fpubh.2019.00034
- Kumar, R., 2013. Leadership in healthcare. *Anaesthesia & Intensive Care Medicine*, 14(1), pp.39-41.
- Janati, A., Hasanpoor, E., Hajebrahimi, S. and Sadeghi-Bazargani, H., 2018. Evidence-based management – healthcare manager viewpoints. *International Journal of Health Care Quality Assurance*, 31(5), pp.436-448.
- Liedtka, J. M. (1998). Strategic thinking: can it be taught?. *Long range planning*, 31(1), 120-129. Melnikovas, A., 2017. Towards an Explicit Research Methodology: Adapting Research Onion Model for Futures Studies. *Tiltai*, 76(1).
- Kabir, S. M. H., Robel, S. D., & Hashim, J. B. (2017). Lead Competencies Matrix to Develop Potential Future Leaders of Malaysia. *International Journal of Business and Management*, 1(2), 62-69.
- Robbins, C. J., Bradley, E. H., Spicer, M., & Mecklenburg, G. A. (2001). Developing leadership in healthcare administration: A competency assessment tool/Practitioner application. *Journal of Healthcare Management*, 46(3), 188.
- Salavati, S., Jahanbani Veshareh, E., Safari, H., Veysian, A. and Amirnezhad, G., 2017. Strategic thinking and its related factors in a medical science university in Iran. *Electronic physician*, 9(5), pp.4332-4340.
- Sfantou, D., Laliotis, A., Patelarou, A., Sifaki- Pistolla, D., Matalliotakis, M. and Patelarou, E., 2017. Importance of Leadership Style towards Quality of Care Measures in Healthcare Settings: A Systematic Review. *Healthcare*, 5(4), p.73.
- Stefl, M. (2008). Common Competencies for All Healthcare Managers: The Healthcare Leadership Alliance Model. *Journal Of Healthcare Management*, 53(6), 360-373.
- Leung, L., 2015. Validity, reliability, and generalizability in qualitative research. *Journal of Family Medicine and Primary Care*, 4(3), p.324.
- Taylor, M. S., Wheeler, B. W., White, M. P., Economou, T., & Osborne, N. J. (2015). Research note: Urban street tree density and antidepressant prescription rates—A cross-sectional study in London, UK. *Landscape and Urban Planning*, 136, 174-179.
- Weaver, S., Dy, S. and Rosen, M., 2014. Team-training in healthcare: a narrative synthesis of the literature. *BMJ Quality & Safety*, 23(5), pp.359-372.
- White, K., & Nayar, P. (2006). Evidence-based healthcare management competency evaluation: alumni perceptions. *The Journal of Health Administration Education*, 335-350.
- Uecke, O., 2012. Contribution to research, limitations, and future research. How to Commercialise Research in Biotechnology? pp.262-265.
- Wong, C., Cummings, G. and Ducharme, L., 2013. The relationship between nursing leadership and patient outcomes: a systematic review update. *Journal of Nursing Management*, 21(5), pp.709-724.
- ZAKARIA, K., NAHID, H., MINA, M., REZA, M., SADAT, A. and SHIRIN, G., 2016. THE RELATIONSHIP BETWEEN STRATEGIC THINKING AND HOSPITAL MANAGERS' PRODUCTIVITY IN TEACHING HOSPITALS OF SHIRAZ. [online] Sid.ir. Available at: <<https://www.sid.ir/en/journal/ViewPaper.aspx?ID=489173>> [Accessed 5 May 2020].

Osmanlı Matbuatındaki Fransızca Süreli Yayınlardaki Bankacılık Reklamları Üzerinden Bir Değerlendirme

Doktora Öğrencisi, Can Ünsal¹

¹Eskişehir Osmangazi Üniversitesi/ Fen-Edebiyat Fakültesi/ Tarih Anabilim Dalı/ can_unsal1985@hotmail.com/
ORCID:0000-0003-1080-4160

Özet: III. Selim'in tahta çıkmasını müteakip 1789 Fransız ihtilali sonrasında Osmanlı Devleti duraklama dönemi olarak geçse de bir reform ve modernleşme sürecine girmiştir. Öncelikle *Nizam-ı Cedid* ile askeri alanda başlayan reformlar, ilerleyen süreçte bürokrasi, ekonomi, kültür ve edebiyat gibi birçok alana da yayılacaktır. 1839 *Gülhane Hatt-ı Hümayunu* ile başlayan Tanzimat sürecine gelindiğinde Osmanlı ekonomisindeki tımar sistemi ve kadim ekonomik dengeler bozulma sürecinin üst seviyelerindeydi. Tanzimat sonrasında bürokrasi, ekonomi, hukuk, basın ve kültürel alanlarda büyük ölçüde Fransa'dan esinlenecektir. Osmanlı'nın Avrupa iktisadi sistemine eklenmeye çalıştığı süreçte iç ve dış borçlanma, kapitülasyonlar gibi kavramlar öne çıkmaktadır. 1854 yılında alınan ilk dış borç, 1863 yılından itibaren öne çıkan Galata Bankerleri, Osmanlı ekonomik iflasının bir tablosu olabilecek olan Duyun-u Umumiye kurumu gibi negatif olguların yanı sıra, 1876 Kanun-u Esasi ile başa gelen II. Abdülhamid'ten Osmanlı Devletinin sonuna kadar hasta adam olarak görülen Osmanlı İmparatorluğu bir ekonomi ve sanayi alanlarında da büyük atılımlar gerçekleştirmeye çalışacaktır. Osmanlı Devleti'nde çıkan ilk gazete Fransız elçiliğinin bastığı *Bulletin des Nouvelles* yani haberler bülteni isimli Fransızca gazetedir. Osmanlı'da yabancı dilde basın mefhumuna da baktığımızda yine en ağır ve baskın dil olarak da Fransızca'yı görmekteyiz. 1789'dan Osmanlı Devleti'nin sonuna kadar süren reform sürecinde de birçok alanda Fransa örnek alınmıştır. Osmanlı klasik ekonomisinin bozulması, 1838 Baltalimanı Ticaret Antlaşması ile Osmanlı pazarlarının dış pazarlara açılması, 1854 yılından itibaren dış borç alınmaya başlaması gibi olgular olumsuz bir tablo yansıtırsa da aynı zamanda da Osmanlı ekonomisinde bir reform sürecini de simgelemektedir. Bu olgularla birlikte 19. yy.'ın ortalarından itibaren Galata Bankerleri çatı ismiyle nitelendirilebileceğimiz gayrimüslim grup bankerlik fonksiyonu icra etmekteydi. Osmanlı Devleti'nde ilk banka ise 1847 yılında kurulan *Bank-ı Osmani Şahane* olmakla birlikte, Osmanlı bankacılık sektöründe birçok yabancı menşeli bankayı da görebilmekteyiz. Bu çalışmada Fransızca süreli yayınlardaki bu bankaların reklamlarından yola çıkarak Osmanlı Devleti'nde bankacılığın gelişimi ve çerçevesi hakkında bir değerlendirme yapmaya çalışılacaktır.

Anahtar Kelimeler: Osmanlı Devleti, Osmanlı İktisat Tarihi, Osmanlı Matbuatında Fransızca Süreli Yayınlar, Osmanlı'da Bankacılık, Reklam

1. GİRİŞ

Osmanlı Devleti'nde reform dönemi olarak geçen süreç 1789 Fransız İhtilali döneminde tahta çıkan III. Selim ile askeri alanda başlamıştır ve yeni bir tablo da böylece ortaya çıkmıştır. Osmanlı Devleti'nin klasik dönemdeki işleyişi böylelikle idari, bürokratik, sosyal, kültürel, ekonomik ve birçok alanda değişmeye başlayacaktır. Osmanlı'da modernleşme kavramı dediğimizde 1839 Gülhane Hattı Hümayunu önemli bir dönemeçtir. Tanzimat denilen tarihi süreç de bu fermanla birlikte başlayıp Osmanlı'nın sonuna kadar devam edecektir. 17. yy.'da bozulmaların baş gösterdiği Osmanlı ekonomisi, 1845'te alınan ilk dış borç ile birlikte ilk büyük yarasını almış olsa da bundan sonraki süreç aynı zamanda ekonomik ve iktisadi bir transformasyon dönemi olacaktır. Osmanlı Devleti'nde bankacılık kavramı da Tanzimat sürecinde ortaya çıkacaktır. Osmanlı Devleti'nde ilk banka 1847 yılında kurulan Dersaadet (*Banque de Constantinople*) bankasıdır. Bu tarihe kadar Osmanlı Devletindeki gayriresmi kambiyo ve döviz işlemleri büyük ölçüde gayrimüslim sarraflar tarafından yapılmaktaydı. Bu alanda nüfuzları güçlü olan kişiler hassaten Galata Bankerleri olarak adlandırılan bankerlerdi. Osmanlı Devleti'ndeki kurulan ilk bankanın kuruluşunda yer alan iki Galata bankerisi ise *J. Alleon* ve *T.H. Baltazzi* isimli iki gayrimüslimdir. İlerleyen dönemlerde yabancı sermayeli bankalar hem Osmanlı Devleti topraklarında kurulacak hem de yine Avrupa sermayeli bankalar Osmanlı Devleti'nde şubeler açacaklardır. 1875-1922 tarihleri arasında Osmanlı topraklarında 7 adet yabancı sermayeli banka kurulmuştur. Osmanlı Devleti'ndeki ilk gazete 1795 yılında çıkan Fransız elçiliğinin gazetesi olan *Bulletin des Nouvelles* isimli gazetedir. Cumhuriyet tarihi de dahil olmak üzere Türkiye topraklarında 700'den fazla Fransızca periyodik çıktığını görmekteyiz. Bu çalışmada Osmanlı matbuatındaki Fransızca süreli yayınlardaki hassaten ekonomiyle ilgili yayınlardaki bankacılık reklamları üzerinden bir değerlendirme yapmaya çalışacağız. Öncelikle Osmanlı Devleti'ndeki modernleşme kavramından kısaca bahsettikten sonra iktisadi transformasyonu inceleyeceğiz. Devamında çalışmamızda kullandığımız 7 adet bankacılık reklamının muhteva analizleri yapıldıktan sonra son olarak bu reklamlar üzerinden Osmanlı Devletinde bankacılığın gelişimi üzerine bir değerlendirme yapmaya çalışacağız.

2. Osmanlı Matbuatında Fransızca Basın ve Osmanlı Modernleşmesi Kavramına Genel Bir Bakış

1493 yılında kuyumcu *Gutenberg*'in, o güne kadar süregelen bütün baskı olgusundan farklı olarak birbirinden bağımsız harfleri dökerek İncil'in baskısını yapması dünya tarihinde çok önemli bir dönüm noktasıydı. Harflerin yerini değiştirebilerek farklı kelimelerin yazılabilmesi tab sanatının daha seri olmasına ve çeşitlenmesine yol açmıştı. Bu olgu da bilginin daha hızlı yayılarak matbaanın keşfi ile Rönesans, Reform ve Aydınlanma süreçlerinin dinamosu olacaktır. Gutenberg'in bu keşfi ile ilk basılan kitap İncil olmuştur ve baskısı 1440-1450 yılları arasında sürmüştür. Gutenberg'in bu sanatını ve zanaatını çeşitli kişilere de öğretmiştir. Böylelikle 1467'de Roma'da 1470'de Paris'te, 1474'de Valensiya'da, 1477'de Westminster'da (İngiltere), 1468'de Basel'de (İsviçre), 1473'de Uthrecht'de (Hollanda), 1476'da Belçika'da ve 1493 yılında da İstanbul'da matbaalar kurulmuştur (Gerçek, 2019: 393-395).

Erdel'li bir mühtedi olan *Müteferrika*'nın, III. Ahmed'in fermanı ve Şeyhülislam Yenişehirli Abdullah Efendi fetvasıyla 1493 yılında ilk Türk matbaası kurulmuştur fakat Osmanlı topraklarındaki ilk gazete olma özelliğini gösteren *Bulletin des Nouvelles* isimli gazeteyi 1795 yılında görebilmekteyiz. Fransız elçiliğinin matbaasında basılan bu gazete ile Osmanlı matbuatında Fransızca basın mefhumunun başlangıcını temsil etmektedir. *Ziyad Ebüzziya*'ya göre Osmanlı Devleti'nde toplamda 22 yabancı dilde basın faaliyetini görebilmekteyiz. Osmanlı matbuatındaki yabancı dillerde basın dediğimizde en baskın dil olarak da Fransızca'yı görmekteyiz. Öyle ki Osmanlı döneminin yanı sıra Cumhuriyet tarihi de dahil olmak üzere tamamı ya da kısmi olarak 700'den fazla Fransızca periyodik vardır diyebiliriz (Groc, Çağlar, 1985: XIV). Osmanlı matbuatındaki Fransızca süreli yayınlar dediğimizde tamamıyla Osmanlı topraklarında gerek Müslim gerek Gayrimüslimlerin çıkartmakta olduğu kısmi veya tamamı Fransızca olan periyodiklerden bahsetmekteyiz. Çalışmamızın temelini oturan bankacılık reklamlarını da bu bahsettiğimiz Fransızca süreli yayınlardan elde etmiş bulunmaktayız.

1699 Karlofça ve 1718 Pasarofça antlaşmaları sonrasındaki hal ve durum Osmanlı Devletinde birçok alanda değişim ve dönüşümü gerekli kalmaktaydı. Osmanlı yabancı basınında Fransız dili nasıl etkili ise Osmanlı modernleşmesinin geneline baktığımızda Fransız etkisini net biçimde görebilmekteyiz. Osmanlı modernleşmesi ilk olarak askeri alanda kendisini göstermiştir. III. Mustafa (1757-1774) ve I. Abdülhamid (1774-1789) padişahlıkları süresinde fikren harekete geçirilen askeri İslahatlar reel olarak III. Selim (1789-1807) döneminde *Nizam-ı Cedit* hareketi ile kendisini gösterecektir. Fransa'dan getirilen askeri uzmanlar ile birlikte orduda çeşitli ıslahat hareketlerine girişilecektir. Fakat bu yenilik çabalarını yürütmek kolay olmayacaktı. Zira Rumeli'deki kaos, isyanlar, yeniliğe kapalı tutucu halk tabakası ve yerlerini başkasına kaptırmak istemeyen yeniçeriler bu yeniliklerin önünde ciddi engeller teşkil etmekteydiler. Bu olgular sonucunda 1807 yılında III. Selim tahttan indirildi ve yeni ordu dağıtıldı (Ahmad, 2019: 28). II. Mahmud'un maceralı şekilde tahta çıkmasının ardından askeri reformlar *Sekban-ı Cedit* ile devam etmekteydi. II. Mahmud, 1826 yılında reformların önündeki en büyük engellerden birisi olan Yeniçerileri mecazi değil gerçek anlamda topa tutarak yok etmiştir. Rumeli'deki muhtariyet isteklerinin getirdiği karışıklıklar, Kavalalı Mehmed Ali Paşa gibi sorunlarla cebelleşirken bile II. Mahmud reformist politikasından vazgeçmemiştir ve 31 yıllık taht hayatı boyunca büyük yeniliklere imza atmıştır. 1839 yılında Gülhane Hattı Hümayunu ile başlayacak olan Tanzimat, İslahat süreçlerinin de kökenleri bu dönemde atılarak merkezileşme çabaları hız kazanmıştır (Karal, 2017: 144, 151, 152).

1821 yılı ise Osmanlı modernleşmesi ve batılılaşması adına önemli bir olay olan Tercüme odasının kurulduğu yıldır. 1793 yılında Londra'da ilk mukim elçiliğin kurulması ile birlikte Osmanlı hariciyesi dil bilen nitelikli memurlara ihtiyaç duymaya başlamıştır. 1821 Mora isyanına kadar Osmanlı Devletinde tercüme faaliyetlerini büyük ölçüde Fenerli Rumlar yürütmekteydi. Mora İsyanı sürecinde bu tercümanların, tercümanlık kisvesi altında ajanlık yaptıkları anlaşılınca bu konuda değişime gidilerek Tercüme odası kurulmuştur. Tercüme odası adını haiz kavram için kurulmuş olsa da zamanla bir diplomat ve bürokrat okuluna dönüşerek Tanzimat'ın mimarları olan Mustafa Reşid Paşa, Keçecizade Fuad Paşa, Mehmed Emin Ali Paşa gibi önemli isimler bu kurumdan yetişmişlerdir. Osmanlı'nın 19. yy. aydın profiline kalıbının dökülmeye başladığı yer bu kurumdur diyebiliriz (Balci, 2013: 187).

1839 yılında Gülhane Parkında okunan Hattı Hümayun, 500 seneden fazladır süregelen, klasik Osmanlı Devleti yönetim ve işleyiş sisteminin köklü bir dönüşümünün başlangıcıydı. Osmanlı yönetiminde yarı anayasal bir dönüşüm süreci olan Tanzimat sürecinde şüphesiz ki neredeyse tüm dünyayı etkileyen, 1789 Fransız İhtilali ile yayılan Ulus Devlet kavramı rüzgarının da etkisi büyüktür. Tanzimat sonrasında kölelik ve angarya gibi kavramlar kaldırılmıştır. Hukuki bağlamda masumiyet karnesi kavramı da getirilmiştir. Böylelikle din temelli bir millet sisteminin yerini medeni hukuk, merkezîyetçi bir ulus devlet bağlamı ile vatandaşlık kavramı getirilmeye çalışılmıştır. Bu yenilikçi hareketleri sırtlayan bürokratlar ise Tercüme Odasından yetişen bürokrat profilindeki kişilerdir diyebiliriz (Ortaylı, 2014: 101, 105).

İdari alandaki yeniliklerin yanı sıra hukuk alanında da çeşitli gelişmeler yaşanmaktaydı. Ticaret mahkemelerinde artık Müslim üyelerin yanı sıra Gayrimüslim üyeler de olabilecekti. Osmanlı vatandaşlarının kendi arasında veya Gayrimüslimlerle yaşadıkları anlaşmazlıklarda karma mahkemeler Avrupa ticaret kanununa göre yargılama yapacaklardı. 1850 yılında çıkarılan ticaret kanununda da Fransız ticaret kanunu örnek alınmıştır. Tanzimat dediğimiz dönemde kodifikasyon çalışmaları yoğun şekilde devam etmiştir. Fransız Medeni Kanunu (Code Civil) Türkçe'ye tercüme edilmiştir. 1867'de Cevdet Paşa öncülüğünde hukuk resepsiyonunda önemli bir kilometre taşı olan *Mecelle*'nin yazımı için de bir komisyon oluşturulmuştur. Mecelle ise klasik şer'i hukuk ile Fransız medeni kanununun bir çeşit hukuki mutasyon ile birleştirilmesi yani bir kodeks çalışmasıdır. Mecelle 10 yıllık bir süre zarfında tamamlansa da II. Abdülhamit döneminde bu komisyon dağıtılmıştır (Mardin, 2014: 127, 136-139).

İdari, bürokratik ve bu bağlamda bulunan alanlardaki reformlar II. Abdülhamit (1876-1909) dönemine kadar sürmüştür. II. Abdülhamid dönemindeki en büyük idari reform çalışması ise yine Abdülhamid'in tahta çıkmasını sağlayan olgu olan 1876 yılında ilan edilen *Kanun-u Esasi*'dir. İlk tahlilde Kanunu Esasi ile merkezîyetçi, Anayasal ve parlamenter bir yönetime geçilmiş gibi gözükse de parlamentonun toplanması, tatili, bakanların atanması gibi maddeler ve yetkiler dolayısıyla yasama ve yürütme yine sadece padişah'ta toplanmıştı. II. Meşrutiyet'e kadar çerçeve bu şekilde olacaktı. II. Abdülhamid döneminde basın alanında da sansür olgusunun yoğun şekilde yerleştiğini de görmekteyiz. 1857 yılında yayınların denetimi için *Maarif-i Umumiye Nezareti* kurulmuştur. 1862 yılında ise bu kuruma bağlı olarak *Matbuat Müdürlüğü* kurulmuştur. 1864 yılında da Fransa'daki örneğine bakılarak bir Matbuat Nizamnamesi çıkarılmıştır. 1867 yılında ise Ali Nizamname olarak da bilinen bir kanun ile gerek iç basın, gerek dışarıdan gelen basın denetim altına alınmaya çalışılmıştır ve yoğun şekilde sansüre tabi tutulmuşlardır (Kabacalı, 1990: 26). Osmanlı matbuatındaki özellikle Fransızca periyodikler tüketim olgusunu sosyolojik bağlamda değiştirmekteydi. Kültürel ve ekonomik açılardan da Galata, Pera (bugünkü İstiklal Caddesi) kültürel, entelektüel ve ekonomik bağlamda merkez konumundaydılar.

3. Osmanlı Devleti'nde 1789 Fransız İhtilali Sonrası Ekonomik ve İktisadi Transformasyon

Osmanlı iktisadi hayatındaki değişim ve dönüşümü anlayabilmek için öncelikle Osmanlı klasik iktisadi anlayışına genel açıdan bakmaya çalışacağız. Osmanlı klasik iktisadi anlayışını analiz edebilmek için iktisat tarihi duayeni Mehmet Genç'in belirttiği ilkelerden yola çıkmamız gerekmektedir. Osmanlı'nın klasik döneminde iktisadi faaliyetlerini yöneten veya denetleyen resmi bir kurum bulunmamaktaydı. İktisadi faaliyetlerin çıkış noktası birebir iktisadi amaçlara dayanmıyordu. Tali amaçların getirisi olarak iktisadi faaliyetler meydana gelmekteydi. Osmanlı Devletinde 1500-1800 yılları arasında etkin olmuş bu iktisadi ilkeler ise İaşe (Provizyonizm), Gelenekçilik (Tradisyonalizm) ve Fiskalizmdir. İaşe ilkesi bağlamında malın piyasadaki arzını ucuz, kaliteli ve bol olması gerekiyordu. Osmanlı'da bu bağlamda müdahaleci bir iktisadi anlayışı benimsemiştir. Gelenekçilik ilkesi doğrultusunda da bu iktisadi statükoyu korumaya çalışmıştır. Fiskalizm ilkesi de yine o dönemde geçerli olan merkantilizm akımı bağlamında hazine gelirlerinin en yüksek seviye çıkarılmaya ve bu seviyede muhafaza edilmeye çalışılmasıdır. (Genç, 2017: 40-46). Ayrıca klasik Osmanlı iktisadi anlayışının temelinde duran önemli bir olgu da tımar sistemidir. Askeri teşkilatlanma ve vergi sistemi açısından çok önemli olan tımar sistemi Tanzimat'a kadar da devam etmiştir.

Osmanlı klasik döneminde hazine ise iç ve dış olarak ikiye ayrılmaktaydı. Bu hazineler Topkapı Sarayında bulunmaktaydı. 17. ve 18. yüzyıllarda yaşanan mali sorunlar sonucunda dış hazine boşaldığında zaman zaman iç hazineden de borç alınmıştır. Vergi sistemine baktığımızda ise Şer'i ve Örfi olmak üzere iki ana başlık görmekteyiz (Cezar, 2011: 1458-1461). 17. yy.'da Avrupa'da yaşanan ticari dönüşümler, silah endüstrisinin başkalaşması gibi olgular Osmanlı ekonomisinde de artık merkezîyetçi çözümlerin ortaya çıkması gerekliliği kendisini göstermekteydi. Güzel bir şekilde uzun süre işleyen tımar sistemi artık çözülmeye başlamıştı. Bu durum karşısında devlet, tağış ve kemer sıkma politikası gibi yollara başvurmaktaydı. Ekonomik döngüde problem yaratan olgulardan birisi de tımar vergilerini toplayan iltizam sahiplerinin bu haklarını para karşılığında üçüncü kişilere devretmesi veya satmasıydı. Bu durum devletin tahsil edeceği ücretin takipte çok zorlanması anlamına gelmekteydi. Böylelikle hazineye para akışı düzenli olamamaktaydı. Bu sorunlar zincirleme şekilde birikmeye başlamıştı ve nakit sıkıntısı baş göstermişti. Bu soruna çözüm arayan devlet, tımara sahip bazı ordu ve devlet adamlarını iltizam karşılığında maaşlarını hazineye bırakmaları şeklinde bir fikir ortaya atmıştı fakat bu da toptan bir çözüm olamamaktaydı (Batmaz, 1996: 39-42).

Osmanlı Devletinin Avrupa ile ticari münasebetleri ilk olarak kapitülasyonlar aracılığı ile olmuştur. 1838 yılında İngiltere ile imzalanan Baltalimanı Ticaret Antlaşmasına kadar çeşitli tarihlerde kapitülasyonlar verilmiştir. 1838'deki bu antlaşma da kapitülasyon sınıfına dahil olmasına rağmen mahiyet ve sonuçları açısından farklıdır.

Zira Bu antlaşma ile Osmanlı toprakları dış ticaret pazarına açılmaktaydı. Osmanlı Devletinin ister istemez ekonomi alanında da giriştiği reform süreci Fransız İhtilali sonrasında ortaya çıkan Ulus devlet kavramı ile eklemli olan Milli ekonomi sistemine de geçişi simgelemektedir. Fakat şunu anlamamız gerekir ki Osmanlı iktisat tarihi, Avrupa ekonomik strüktürü ile bir türlü eklenememenin tarihidir de denilebilir. Öyle ki Osmanlı ekonomisindeki reformlar, sürekli olarak dış borçlanma gibi negatif bir ekonomik olgu gölgesinde gerçekleşmiştir. 1854'teki ilk dış borçlanma ile birlikte, Avrupa sürekli olarak Osmanlı Devleti'nin bitişine kadar bu durumu bir müdahale aracı olarak kullanacaktı. 1850'den başlayarak da demiryolu inşasında bazı Avrupa kökenli şirketlere çeşitli ayrıcalıklar verilmekteydi. Ayrıca 1867 yılından itibaren de yabancıların Osmanlı Devleti'nden toprak satın almasına da izin verilmiştir (Pamuk, 2017: 96).

Osmanlı dış borçlanması ve bankacılık konusunu son bölümde işleyeceğiz. Osmanlı ekonomik reform sürecinde bir diğer önemli olgu ise sanayileşmedir. Osmanlı sanayileşme atılımı II. Abdülhamid ile yükseldikten sonra İttihat ve Terakki döneminde de devam edecektir. O dönemki Türkçülük ideası ve Milli politikalar kapsamında sanayileşme hamleleri Osmanlı Devletinin sonuna dek sürecektir. Hatta bu hamleler Cumhuriyet kurulduktan sonra Atatürk'ün milli atılım politikaları kapsamında ona da ilham verecektir. Osmanlı sanayi atılımındaki en büyük parça ise II. Abdülhamid dönemindeki demiryolu inşaatlarıdır. İlk olarak 1851 yılında İngilizlerin üstlenmesiyle İskenderiye-Kahire arasında 211 km'lik bir demiryolu inşa edilmiştir. 1856 yılında ise Anadolu'daki ilk demiryolu olan İzmir-Aydın hattının inşası için bir İngiliz firmasına imtiyaz verilmiştir. Demiryolu inşaatı ekonominin gelişmesine de olumlu olarak yansımıştır. 1881 yılında toplamda 1780 km olan demiryolları, 1908 yılında ise 5883 kilometreye ulaşmıştır. Bu da bize göstermektedir ki demiryolu inşaatı en yoğun haliyle II. Abdülhamid döneminde gerçekleşmiştir. Osmanlı Devleti'nin sonuna dek toplamda 8.619 km demiryolu 9 hat olmak üzere inşa edilmiştir (Bulut, 2019: 251). Salt insan gücü ile Avrupa sanayi tarzına yetişemeyeceği açık olan Osmanlı Devleti'nde bu açığı giderebilmek adına 1864 yılında *Islah-ı Sanayi Encümeni* kurulmuştur. 1880 yılında ise Avrupa örnek alınarak kurulan *Dersaadet Ticaret Odası* örneğini de görmekteyiz. Bu kurum devlet ile özel teşebbüsler, tüccarlar ve üreticiler arasında iletişim aracı olarak fonksiyon göstermekteydi. Sanayi islahı bağlamında nitelikli eleman yetiştirebilmek için *Islahhane* ve *Sanayi Mektepleri* kurulmuştur. Bu kurumlara genelde kimsesiz çocuklar alınarak yetiştirilmekteydi. Böylelikle bu kurumlar günümüz Çocuk Esirgeme Kurumu ve Meslek liselerinin de prototipidir denilebilir. Bu mekteplerde kunduracılık, terzilik, matbaacılık gibi meslek eğitimleri ve kimya, teknik çizim, matematik gibi dersler de verilmekteydi (Koç, 2010: 209-211).

Son olarak Tanzimat ve sonrasındaki dönemde Osmanlı Devleti'nde kurulan sanayi tesislerinden örnekler vereceğiz. Beykoz Çini Fabrikası (1845), Yıldız Çini Fabrika-i Hümayunu (1890-1892), Elektrik üretimi alanında; Dolmabahçe Gazhanesi (1853), Beylerbeyi Sarayı Gazhanesi (1863), Yedikule Gazhanesi (1880), Kadıköy Hasanpaşa Gazhanesi (1891), Silahtarağa Elektrik Santrali (1910-1913), Üsküdar Elektrik Fabrikası (1911), Deri ve kundura alanında; Osmanlı İttihat Saraçlık Anonim Şirketi (1913), Beykoz Ayakkabı Fabrikası (1884), Tekstil ve hazır giyim alanında; Feshane-i Amire (1839), İslimye Şayak Fabrikası (1840), Hereke Fabrika-i Hümayunu (1843-1845), Bursa İpek Fabrikası (1846), İzmir Kumaş Fabrikası (1861), İzmit İpek Fabrikası (1880), Kimya alanında; İzmir Yağ Fabrikası (1850), Beykoz Mum yağı Fabrikası (1863), Asit Fabrikası (1891), Galata Yüksek Kaldırım Pil Fabrikası (1917), Makine ve Metal alanında; Zeytinburnu Demir Fabrikası (1843), Yedikule Şimendifer Fabrikası (1843), Eskişehir Demiryolu İnşa Fabrikası (1894), Zeytinburnu Mavzer ve Fişek Fabrikası (1902), Savunma Sanayii alanında; İstinye Tersanesi (1856), Cebehane-i Amire (1868) (Erdem, 2016: 24-25).

4. Osmanlı Matbuatındaki Fransızca Süreli Yayınlardan Bankacılık Reklamları Örnekleri ve Muhteva Analizi

Ek-1'deki 'Deutsche Orientbank' bir Alman Bankasıdır. Reklam 1911 yılında çıkmış olan politik, siyasi ve ticari bir gazete olan *La Dépêche*'ten alınmıştır. Gazete İstanbul'da çıkmaktadır. 1911 yılının Aralık ayındaki bir sayısından alının bu reklamda öncelikle Alman doğu bankasının fondatörlerinden bahsedilmiştir. Devamında Berlin'de, Hamburg'da, İstanbul'da, Bursa'da, Mersin'de, Adana'da, Dedağaç'ta, Edirne'de, Halep'te, İskenderiye'de, Kahire'de ve muhtelif yerlerde şubeleri olduğundan bahsedilmektedir. Ayrıca bu bankanın 31 Ocak 1906 tarihinde İstanbul Alman Elçiliği nezdinde resmi olarak sicile geçirildiği de belirtilmektedir. Galata'daki, Pera'daki ve Kadıköy'deki şubelerinin adresleri de belirtilerek son olarak haftalık çalışma saatleri belirtilmiştir.

Ek-2'deki Selanik bankasına ait bu reklam 1911 yılında çıkmış olan politik, siyasi ve ticari bir gazete olan *La Dépêche*'ten alınmıştır. Gazete İstanbul'da çıkmaktadır. Selanik Bankası yazısının altında bankanın tamamen ödenmiş sermayesinin 20 milyon Fransız Frangı olduğu belirtilmiştir (Fr simgesinin bu periyodik Fransız periyodüğü olduğu için Fransız Frangı cinsinden belirtildiğini düşünmekteyiz). Rezerv sermayesinin ise 2 milyon Fransız Frangı olduğu belirtilmiştir. Reklamda bankanın İstanbul'da Galata'da, Vezneciler yokuşunda ve Pera'da

şubelerinin olduğu belirtilmiştir. Bankanın ayrıca Selanik'te, İzmir'de Beyrut'ta, Kavala'da, Samsun'da, Edirne'de, Manastır'da, Üsküp'te, Dedeağaç'ta, Drama'da ve Trablus'da da şubelerinin bulunduğu belirtilmiştir. Reklamda ayrıca bankanın sezonluk bürolarının bulunduğu yerler belirtilerek son olarak da Selanik bankasının bütün kambiyo işlemlerini yaptığının yanı sıra konsinye malları da kabul ettiği belirtilmiştir.

Ek-3'deki Atina (Yunan) bankasına ait bu reklam 1911 yılında çıkmış olan politik, siyasi ve ticari bir gazete olan *La Dépêche*'ten alınmıştır. Gazete İstanbul'da çıkmaktadır. Reklamın üst kısmında bankanın ödenmiş sermayesinin 50 milyon, rezervlerinin ise 10 milyon 480 Fransız Frangı olduğu belirtilmiştir. Reklamın devamında bankanın Yunanistan'da 7, Girit'te 3, Türkiye'de 14 yerde, Mısır'da 4 yerde, Londra'da, Kıbrıs'ta, Sudan'da ve Hamburg'ta şubelerinin olduğu belirtilmiştir.

Ek-4'teki reklam bir İtalyan bankasına ait olup, 1910 Ocak ayında çıkan *La Gazette Financière* isimli ticari ve politik gazeteden alınmıştır. Gazete İstanbul'da çıkmaktadır. Reklamın üst kısmında bankanın anonim şirket olduğu, 19 Şubat 1907'de açıldığı ve ödenmiş sermayesinin 3 milyon Fransız Frangı olduğu belirtilmiştir. Bankanın idari bürosunun Venedik'te, İstanbul'daki şubesinin ise Galata'da olduğu belirtilmiştir. Reklamın son kısmında ise bu bankada yapılan bankacılık işlemleri olan; çeklerle ilgili işlemler, telgraf ile Avrupa'da ve Türkiye'de her türlü alım satımın ve bankacılık işlemlerinin yapıldığı belirtilmiştir.

Ek-5'teki reklam bir Fransız bankasına ait olup, 1914 yılında çıkan *La Gazette Financière* isimli ticari ve politik gazeteden alınmıştır. Gazete İstanbul'da çıkmaktadır. Reklamın üst kısmında bankanın ticaret ve sanayi alanında hizmet verdiğinden ve ödenmiş sermayesinin 60 milyon Fransız Frangı olduğundan bahsedilmektedir. Bankanın merkezinin Paris'te olduğu belirtilirken, yöneticilerinin Maurice Rouvier ve René Boudon olduğu da eklenmiştir. Bankanın İstanbul sorumlusunun M. Menasche olduğu ve İstanbul şubesinin Galata'da olduğu da eklenmiştir. Reklamda son olarak da bankada her türlü kambiyo ve borsa işlemlerinin yapıldığı da belirtilmiştir.

Ek-6'daki reklam bir Fransız kredi kurumuna ait olup, 1911 yılında çıkan *La Gazette Financière* isimli ticari ve politik gazeteden alınmıştır. Gazete İstanbul'da çıkmaktadır. Lyon Kredi Kurumu başlıklı reklamda kurumun 1863'te kurulduğu ve ödenmiş sermayesinin 250 milyon Frank olduğu belirtilmektedir. Kurumun İstanbul ana şubesinin Galata'da, Pera'da ve Sultan Hamamı yakınında da bürolarının olduğu aktarılmıştır. Reklamın devamında şube ve bürolarda kiralık kasaların mevcut olduğu ve konsinye mal alım satımının da yapıldığı da belirtilmiştir.

Ek-7'deki reklam bir İtalyan Bankasına ait olup, 1912 yılında çıkan *La Gazette Financière* isimli ticari ve politik gazeteden alınmıştır. Gazete İstanbul'da çıkmaktadır. Reklamın üst kısmında kurumun 1880'de kurulduğu ve ödenmiş sermayesinin 100 milyon kuruş olduğu belirtilmiştir. Ana merkezinin Roma olduğu belirtilen bankanın İstanbul bürosunun da Galata'da olduğu belirtilmiştir. Ayrıca bankanın Mısır'da, İspanya'da, Kudüs'te, Malta'da, Fransa'da ve çeşitli yerlerde şubelerinin olduğu da aktarılmıştır. Reklamın son kısmında ise bankanın İstanbul şubesinde, her türlü döviz işlemlerinin, yurtdışından çek ve telgraf işlemlerinin, borsa işlemlerinin yapıldığı ve kiralık kasalarında bulunduğu altı çizilmiştir.

5. Reklam Örnekleri ve Muhteva Analizleri Üzerinden Osmanlı Devleti'nde Bankacılığın Gelişimi Hakkında Bir Değerlendirme

Çalışmamızdaki örnekler, İstanbul'da basılan Fransızca gazetelerden *La Gazette Financière* ve *La Dépêche*'ten alınmıştır. *La Dépêche* 1911 yılında çıkmıştır. *La Gazette Financière* ise 1909-1914 yılları arasında çıkmıştır. Bu iki gazetede politik ve ticari gazeteler olmakla birlikte *La Dépêche* günlük, *La Gazette Financière* ise haftalık olarak çıkmaktaydı. Örneklerde sunduğumuz ve muhtevasını tercüme ettiğimiz bu reklamlardan yola çıkarak Osmanlı Devleti'ndeki ekonomik reform sürecinin önemli bir parçası olan bankacılığın gelişimi hakkında bir değerlendirme yapmaya çalışacağız. 1838 Baltalimanı ticaret antlaşmasıyla birlikte Avrupa sermayesi Osmanlı pazarlarına net şekilde giriş yapmıştır. Bu olgunun sonucunda Avrupalı tüccarlar, yerli tüccarların ödediği %8'lik iç ticaret vergisini vermek zorunda değildiler (Kıray, 1995: 70). 1854 Kırım Savaşının da getirdiği ekonomik yüklerle birlikte Osmanlı Devleti için dış borçlanma kaçınılmaz hale gelmekteydi. Kuşkusuz ki dış borçlanmanın sebepleri sadece bunlardır diyemeyiz fakat son tahlilde bardağı taşıran son damlalar bu olaylardır denilebilir.

Osmanlı Devletinde bankacılık kavramı kurumsal bir mahiyet arz edene kadar bu türden işlemleri çoğunlukla gayrimüslim sarraflar veya bankerler hem şahsen hem de ailesel bazda yürütmüşlerdir. Sarraflar ve bankerler bankalar kurulana kadar varlıkları saklama, yabancı paraları değiştirme, kredi verme gibi kambiyo işlemlerini üstlenmekteydiler. Osmanlı pazarlarının dışa açılımı ve Osmanlı ekonomisinin Avrupa ekonomisi ile eklemlenme süreciyle birlikte sarraflar zamanla kurumsallaşarak banka kavramına doğru ilerlemişlerdir. Osmanlı'daki ilk

banka olan Dersaadet bankasından önce devletten izin almayarak faaliyette bulunan İzmir Bankası (Smyrna Bank) İzmir İsveç Konsolosluğu himayesinde kurulmuştur fakat resmi izinleri olmadığı için sonrasında kapatılmıştır (Serdaroğlu, 2011: 43, 48, 52). Bu bağlamda Osmanlı Devleti'ndeki ilk banka 1847 yılında kurulan *Dersaadet Bankası (Banque de Constantinople)* olmakla birlikte bu bankanın kuruluşunda yer alan iki Galata bankeri ise *J. Alleon* ve *T.H. Baltazzi* isimli iki gayrimüslimdir. Bu bankanın temel kurulma amacı ise Osmanlı lirasının İngiliz paund'u karşısındaki değerini sabit tutarak yani 1 Sterlin=110 kuruş kabul edilerek ticaret hayatına taze kan pompalamaktır. Bu bankanın ömrü 1852 yılına kadar devam etmiştir (Karta, 2014: 158).

1854'teki ilk dış borçlanma sonrasında 1856 yılında ilan edilen Islahat fermanı ve Paris Antlaşması ile Osmanlı Devletinin Avrupa devletler sistemine *de facto* dahil olması ile birlikte Avrupa finansı Osmanlı ekonomisi ile daha fazla entegre olmaya başlayacaktır. 1856 yılında İngiliz ve Fransız ortaklığıyla *Bank-ı Osmani (Ottoman Bank)* kurulmuştur. 1863'te ise onun devamı niteliğinde olan *Bank-ı Osmani-i Şahane* kurulmuştur. Bu bankanın varlığı 2001 yılında Garanti Bankasına katılmasına kadar devam etmiştir. Bu banka her türlü bankacılık faaliyetlerini yapmakla birlikte bazı işlemleri de vergi ve harçlardan muaf bulunmaktaydı (Biber, 2009: 37). Osmanlı Devletine yüksek faizle borç verebilme olgusu ve bunun getireceği kârlı kazanç ihtimali yabancı sermayeli bankaların Osmanlı topraklarında şube açma hevesini körüklemekteydi. Bu minvalden baktığımızda 1856-1875 yılları arasında Osmanlı topraklarında yabancı menşei ve sermayeli 11 banka kurulmuştur. 1875-1922 yılları arasında ise yine yabancı sermayeli 7 adet banka kurulmuştur. Osmanlı'daki ilk yerli ve milli banka olan Ziraat Bankasının 1888 yılında kurulmasına dek Osmanlı'da bankacılık bağlamında hep yabancı sermayeli bankaları görmekteyiz. Bu bankalar sadece hazineye borç vermekle kalmamış aynı zamanda en büyük pay demiryolları olmak üzere çeşitli sektörlerde yatırımlarda da bulunmuşlardır. Dışardan bakıldığında Osmanlı'ya borç vermek gibi negatif bir tablo ile sahneye çıkan yabancı bankalar, Osmanlı finansının gelişmesi ve modernleşmesi bağlamında pozitif katkı sağlamışlardır denilebilir (Apak, Tay, 2012: 68).

1854 yılından itibaren alınan dış borçların ödemesi çıkmaza girdiğinde 1881 yılında çıkartılan bir muharrem kararnamesi ile 1881 yılında *Duyun-u Umumiye* adlı kurum kurulmuştur. Bu kurumun amacı Avrupalıların Osmanlı'dan alacaklarının ödenme sürecini denetlemektir. Kurumun idaresi ise İngiliz, Fransız, İtalyan, Avusturya ve Osmanlı Devletinden temsilcilerle sürdürülmekteydi. Avrupa bu kurumu farklı amaçlarla Osmanlı Devletine baskı yapmak için de kullanmışlardır. Osmanlı Devleti için olumsuz bir olguyu üstlenen bu kurumun kurulmasıyla birlikte borç faizleri düşmüştür ve böylece yabancı sermaye likiditesi artarak Avrupalı sermayedarların Osmanlı topraklarındaki yatırımları da artış göstermiştir. Osmanlı ekonomisi için bu olumsuz tablodaki yegane olumlu yönler ise bunlardır. Yabancı sermayeli bankaların Osmanlı topraklarında yaptıkları yatırımlara örnekler vermek gerekirse; Almanya, 1888 yılında *Deutsche Bank* aracılığıyla Bağdat demiryolu projesine girmiş ve 1889 yılında *Anadolu Osmanlı Şimendifer Kumpanyası* isimli demiryolu şirketi kurulmuştur. Sefer Şener ve Cüneyt Kılıç'ın *Osmanlı'dan Günümüze Türkiye'de Yabancı Sermaye* adlı makalelerinde Kepenek ve Yentürk (2001:12)'den naklettikleri tablodaki verilere göre; Osmanlı Devleti'ndeki yabancı sermayelerin yaptıkları yatırımlarda birinci sırada % 62,9 ile demiryolları, ikinci sırada % 9,6 ile bankacılık ve sigorta, üçüncü sırada ise % 7,6 ile sanayi sektörleri yer almıştır. Aynı tabloda bu yatırımların getirisi bağlamında sıraladığında birinci sırada banka ve sigorta %10,8, ikinci sırada dış borç % 8,7 ve üçüncü sırada sanayi yatırımları %8,6 ile yer almıştır (Şener, Kılıç, 2008: 26, 27). Bu açıdan baktığımızda diyebiliriz ki Osmanlı ekonomik modernleşmesi sürecinde yabancı sermayeli bankaların faaliyetleri silik değildir ve kendi özgül ağırlıkları olmuştur. Bu olgunun da farklı bir yansımasını yine Osmanlı topraklarında çıkan Fransızca periyodiklere reklam vermelerinde de görebilmekteyiz. Zira faaliyetlerini sürdürdükleri dönemde bu gazetelere reklam vermeleri faaliyetlerini ve sermayelerini genişletme isteklerini de bizlere gösteren tarihi vesikalardır.

4. SONUÇ

1699 Karlofça, 1718 Pasarofça Antlaşmaları Osmanlı Devleti'nin artık yükselme döneminin bittiğini ve entegre olması gereken kendi içinde modern bir düzen oluşturması gerektiğini simgelemekteydi. Aydınlanma ve süreci ve 1789 Fransız İhtilali ile birlikte III. Selim dönemiyle birlikte daha önceden tohumları atılan modernleşme süreci askeri alanda *Nizam-ı Cedit* konsepti ile başlamıştır. Böylece özellikle 1839 Gülhane Hattı Hümayunu ile başlayan Tanzimat süreci itibarıyla modernleşme kavramının hatları belirginleşmeye başlamıştır. Osmanlı Devleti'nin son dönemlerine dek devam edecek olan bu süreçte idari, bürokratik, ekonomik, sosyal, kültürel ve birçok alanda büyük dönüşümler yaşanmıştır. 1795'te Osmanlı topraklarında çıkan ilk gazete de Fransız dilindedir. Cumhuriyet tarihi de dahil olmak üzere 700'den fazla Fransızca periyodik bu topraklarda çıkmıştır. Osmanlı modernleşmesinde birçok olgu ve kurum bazında Fransızlardan etkilenilmiştir ve örnekler alınarak entegre edilmeye çalışılmıştır. Osmanlı matbuatında yabancı dilde basın dediğimizde en dominant unsur da

Fransız dili ve periyodikleridir diyebiliriz. İlber Ortaylı'nın da belirttiği üzere 'Osmanlı iktisadi tarihi, tarihi süreç içinde Avrupa ile iktisadi bütünleşme sorununu kapsar'. Osmanlı klasik iktisadi vizyonunun temelindeki tımar sisteminin bozulmasıyla birlikte hazine açıkları vesaire gibi ekonomik sorunlar da baş göstermeye başlamıştır. 1847 yılında Osmanlı Devleti'nde kurulan ilk banka kurulana kadar kambiyo ve döviz değişimi gibi bankacılık işlemlerini ekseriyetle gayrimüslim olan bankerler tarafından yürütülmekteydi. Duyunu Umumiyle birlikte kurumlaşan Osmanlı'nın dış borç handikapı süreci aynı zamanda Osmanlı ekonomisinin Avrupa finansı ile eklenmeye çalışma süreci olacaktır. 1838 Baltalimanı Antlaşmasıyla birlikte Osmanlı pazarlarının Avrupa sermayelerine açılması ve Osmanlı'ya verilen dış borçların yüksek faizleri yabancı sermayeli bankaları finansal olarak cezbetmiştir. Bu bağlamda 1875-1922 yılları arasında Osmanlı topraklarında 7 tane yabancı sermayeli banka kurulmuştur. Çok sayıda da yabancı sermayeli banka Osmanlı topraklarında şubeler açmışlardır. Osmanlı matbuatındaki Fransızca süreli yayınlardaki bu bankaların reklamları da bu tarihi olguları farklı bir perspektiften incelemek adına bize değişik bir pencere aralamıştır. Bu kurumlar reklamlar vererek karlarını arttırmaya ve faaliyet alanlarını da geliştirmeye çalışmışlardır. Bu çalışmada öncelikle Osmanlı modernleşmesi kavramından Osmanlı Matbuatındaki modernleşme ve Fransızca basından da bahsederek genel bir tablo çıkarmaya çalıştık. Sonrasında Osmanlı ekonomisindeki değişim ve dönüşümünün temel dinamiklerinden bahsetmeye çalıştık. Devamında Osmanlı matbuatındaki Fransızca süreli yayınlardan aldığımız 7 adet bankacılık reklamı örneğinin muhteva analizini yaptık. Son olarak da bu örnekler üzerinden Osmanlı finansında bankacılık kavramının gelişimini bu örneklerle harmanlayarak incelemeye çalıştık.

KAYNAKÇA

- Ahmad, F. (2019). Bir Kimlik Peşinde Türkiye, İstanbul: İstanbul Bilgi Üniversitesi Yayınları.
- Apak, S. , Tay, A. (2012). Osmanlı Devleti'nin 19. Yüzyıldaki Finansal Sisteminde Osmanlı Bankası'nın Yeri ve Faaliyetleri, Muhasebe ve Finans Tarihi Araştırmaları Dergisi, (3), 63-103.
- Balcı, S. (2013). Tercüme Odası, İstanbul: Libra Kitap.
- Batmaz, E. (1996). İltizam Sisteminin XVIII. Yüzyıldaki Boyutları. Tarih Araştırmaları Dergisi, 18 (29), 39-50.
- Biber, A. E. (2009). Osmanlı İmparatorluğu'nun Dünya Sistemine Eklemlenme Süreci ve Azgelişmişliğin Evrimi, Uluslararası İnsan Bilimleri Dergisi, (6) 1, 28-44.
- Bulut, M. (2019). Sultan II. Abdülhamid Dönemi Eğitim ve Ekonomiye Yeniden Bir Bakış. M. Bulut, M. E. Kala, N. Salık, M. Nar (Ed.) Sultan II. Abdülhamid Dönemi içinde. İstanbul: İZÜ Yayınları.
- Cezar, M. (2011). Mufassal Osmanlı Tarihi (IV. Cilt). Ankara: Türk Tarih Kurumu.
- Ebüzziya, Z. (1985). Osmanlı İmparatorluğunun Türkçe Dışındaki Basını, Türkiye'de Yabancı Dilde Basın Sempozyumu, 27-46.
- Erdem, E. (2016). Sanayi Devriminin Ardından Osmanlı Sanayileşme Hamleleri: Sanayi Politikalarının Dinamikleri ve Zaafiyetleri. Erciyes Üniversitesi İktisadi ve İdari Bilimler Dergisi, (48), 17-44.
- Genç, M. (2017). Osmanlı İmparatorluğunda Devlet ve Ekonomi. İstanbul: Ötüken Neşriyat.
- Gerçek, S. N. (2019). Matbuat Tarihi, İstanbul: Büyüyen Ay Yayınları.
- Groc, G. , Çağlar, İ. (1985). La Presse Française de Turquie de 1795 à Nos Jours, İstanbul: Isis Press.
- Kabacalı, A. (1990). Türkiye'de Basın Sansürü. İstanbul: Gazeteciler Cemiyeti Yayınları.
- Karal, E. Z. (2017). Osmanlı Tarihi V. Cilt Nizam-ı Cedid ve Tanzimat Devirleri (1789-1856) Ankara: Türk Tarih Kurumu Yayınları.
- Karta, N. (2014). 18. ve 19. Asırda Avrupa'da Para, Banka ve Mevduat Alanında Yaşanan Gelişmelerin Osmanlı İmparatorluğu Yansımaları, Atatürk Üniversitesi İktisadi ve İdari Bilimler Dergisi, (28) 1, 149-164.
- Kıray, E. (1995). Osmanlı'da Ekonomik Yapı ve Dış Borçlar, İstanbul: İletişim Yayınları.
- Koç, B. (2010). Osmanlı Devleti'nde Islahane ve Sanayi Mekteplerinin Kuruluş Sürecine Dair Bazı Gözlemler. Modern Türklük Araştırmaları Dergisi, 7(2), 199-217.
- Mardin, Ş. (2014). Türk Modernleşmesi, İstanbul: İletişim Yayınları.
- Ortaylı, İ. (2014). İmparatorluğun En Uzun Yüzyılı, İstanbul: Timaş Yayınları.
- Pamuk, Ş. (2017). Türkiye'nin 200 Yıllık İktisadi Tarihi, İstanbul: Türkiye İş Bankası Kültür Yayınları.
- Serdar, Ü. S. (2011). Osmanlı Devleti'nde İlk Banka: Dersaadet Bankası ve Poliçe İşlemleri, (Yüksek Lisans Tezi) İstanbul Üniversitesi Sosyal Bilimler Enstitüsü, İstanbul.
- Şener, S. , Kılıç, C. (2008). Osmanlı'dan Günümüze Türkiye'de Yabancı Sermaye, Bilgi, (16), 22-49.

EKLER

Deutsche Orientbank A. G
Société Anonyme Allemande
FONDÉE PAR :
Dresdner Bank, A.Schaafhauser'scher Bank
verein et Nationalbank für Deutschland.
BERLIN, HAMBURG, CONSTANTINOPLE,
BROUSSE MERSINE, ADANA, DÉDÉAGATCH,
ANDRINOPLE, ALEP, ALEXANDRIE, LE
CAIRE, MANSOURAE, MINIEH, TANTAH,
BENI-SOUF, MOUSKY, TANGER, CASA-
BLANCA.
Enregistrée auprès du Consulat Gé-
néral d'Allemagne à Constantinople le 31
janvier 1906.
Siège à Galata : Rue Voivoda, Agopian
Han.
Agence à Péra, Grand'Rue, No 407 vis-à-
vis la Brasserie Yanni.
Agence à Stamboul : Dileiz Zadé Han
Agence à Kadi-Keuy : en face du débar-
cadère.
Heures de Caisse 9 1/2 à .
Les Vendredi 9 1/2 à 1

Ek-1.

Banque de Salonique
Capital entièrement versé Fr. 20.000.000
RÉSERVE Fr. 2.000.000
SIEGE CENTRAL A CONSTANTINOPLE
A GALATA : Rue Voivoda, Immeuble Assicura-
zioni Generali.
A STAMBOUL : Rue Achir effendi Kiatubhané
et Ghezzié Hachi, Rue Veznedjler.
A PÉRA : Grande Rue de Péra, à côté de la
légalion de Hollande.
Succursales :
SALONIQUE, SMYRNE, BEYROUTH, CAVALLA,
SAMSOON, ANDRINOPLE, MONASTIR, USKUB,
DÉDÉAGHADJE, XANTHIE, DRAMA, TRIPOLI
DE SYRIE.
Bureaux :
KOCMANOVA, GUMUDDINA, SOUFFELI, KIRK-
KILISSÉ.
Bureaux saisonniers :
GUEWOHLI, VODENA (ouverts de juin à sep-
tembre).
La BANQUE de SALONIQUE s'occupe
de toutes opérations de Banque, fait des
Avances sur Marchandises et accepte des
marchandises en consignation et en dé-
pôt.
Service spécial de CAISSE d'ÉPAR-
GNE.

Ek-2.

BANQUE D'ATHENES
(SOCIÉTÉ ANONYME)
Capital entièrement versé : 50.000.000
Réserves „ 10.480.000
Siège Social à ATHENES
Succursales :
EN GRÈCE : Le Pirée, Patras, Syra, Cala-
mata, Tripolitza, Volo, Larissa.
EN CRÈTE : La Canée, Candie, Réthymo.
EN TURQUIE : Constantinople (Succur-
sale à Galata avec Agence à Stamboul,
Samsoun, Trébizonde, Kérassunde,
Smyrne, Chio, Port-Vathy (Samos),
Mersine, Adana, Salonique, Serrès, Ca-
valla, Xanthie, Janina.
EN EGYPTE : Alexandrie (avec Bureau-
Annexe dans le quartier de Midan),
Le Caire (avec Bureau-Annexe dans le
quartier de Mousky), Zagazig, Man-
sourah.
A LONDRES : (22, Fenchurch Street E.C.).
A Limassol (Chypre). A Khartoum
(Soudan).
A HAMBOURG : (7 Buschstrasse).

Ek-3.

SOCIETA' COMMERCIALE D'ORIENTE
SOCIÉTÉ ANONYME
Constituée le 19 Fév. 1907
Capital: 3, 000, 000 de francs
entièrement versé

SIÈGE ADMINISTRATIF :
VENISE: Campo dei Frari
SIÈGE de CONSTANTINOPLE :
AZARIAN HAN, Galata, Rue Voïvoda

Escompte et recouvrement d'effets. Emission de Chèques et lettres de crédit. Ordres télégraphiques et traites sur toutes les villes d'Europe et de Turquie Achat et vente de valeurs de toute espèce.
Avance sur titres et en général toutes opérations de Banque.

Ek-4.

BANQUE FRANÇAISE
POUR LE COMMERCE ET L'INDUSTRIE
Société Anonyme au Capital de 60.000.000 de frs.
ENTIÈREMENT VERSÉS
SIÈGE SOCIAL :
9, rue Boudreau, Paris (près de l'Opéra), IX
Téléphone : 451-71 451-72 451-84 et 448-92
Adresse Télégraphique : FRANCOMIN, Paris.

Fondateur : M. MAURICE ROUVIER
Président : M. RENÉ BOUDON

Agent à Constantinople :
J. M. MENASCHE
Assicurazioni Han-Galata

OPÉRATIONS DE LA BANQUE
La Banque Française pour le Commerce et l'Industrie traite toutes les opérations de banque et de bourse.

Ek-5.

CRÉDIT LYONNAIS
Fondée en 1863
SOCIÉTÉ ANONYME
Capital : 250 millions de Francs
Entièrement versé

Agence principale à GALATA

Bureau à PÉRA	Bureau à STAMBOUL
Grand'Rue de Péra	Place Sultan Lamam

L'Agence principale ainsi que les bureaux de Péra et de Stamboul possèdent des coffres-forts à louer, défiant toute concurrence comme solidité et modicité de loyer.

Des salons sont mis à la disposition des porteurs de titres de crédit tant à l'Agence principale qu'à son bureau de Péra.
Le bureau de Stamboul fait des avances sur marchandises et accepte des marchandises en consignation et en dépôt libre dans son dépôt spécial de Sirkédji.

Ek-6.



Ek-7.

Gottfried Keller'in "Kleider Machen Leute" Eserinden Hareketle, Toplumsal Algıların Oluşturduğu Yanılgılar

Öğrt. Gör.Dr. Coşkun DOĞAN¹

¹Trakya Üniversitesi Eğitim Fakültesi, Yabancı Diller Bölümü Mehmet Akif Ersoy Yerleşkesi 22030 EDİRNE,
e-mail: coskundogan2002@yahoo.de, ORCID İD: <https://orcid.org/0000-0002-6072-2721>

Özet: Bireylerin toplum içerisindeki statülerini belirlenmesi bazen toplumsal yanılgılar nedeniyle yanlış olabilmektedir. Özellikle toplumsal ön yargılar, iyi, kötü; zengin, fakir; suçlu, suçsuz gibi bazı olumlu ve olumsuz bireysel değerlendirmeler de hata yapılmasına kaynaklık etmektedir. Kişilerin dış görümleri, onların toplumsal mevkilerini veya sahip oldukları zenginlikleri yansıtmamaktadır. Bu anlamda yapılacak her tür değerlendirme yaşamın gerçeklerinden uzak olacak ve toplumu yanılgılara sürükleyecektir. Görünümle gerçekte olan arasındaki farkı görebilmek, her zaman toplumsal yanılgılardan kaynaklanan olumsuzlukları ortadan kaldıracaktır.

İsviçreli realist dönem yazarlarından Gottfried Keller'in toplu hikayelerinden oluşan "Seldwyla'nın İnsanları (Die Leute von Seldwyla)" eserinin ikinci ciltinin bir bölümünü oluşturan "Kleider machen Leute" hikayesi konusu itibarıyla dönemine uygun olarak bir değişim komedisi üzerine kurgulanmıştır. Yazar, hikayenin içerisinde bir anlatıcı olarak bir alman atasözü olan "Kleider machen Leute" cümlesinden hareketle, yaşamın içerisinde görünen her şeyin aslında gerçekte olduğundan farklı olduğunu göstermek istemektedir. Yazar, gerçek yaşamda insanların dış görünümüne göre değerlendirilmesine karşı eleştirel bir yaklaşım sergilemektedir. İnsanların kafasında oluşturdukları görünümle saygınlık ilişkisinin, gerçeklikte bağdaşmadığı ve bu anlamda yaşanan olaylar raslantısal olsa da suçlusu gereksiz beklentisi olan insanların olduğu vurgulanmaktadır.

Bu çalışmada bir terzi çırağının prens gibi değerlendirilmesinden kaynaklanan toplumsal algı yanılgısının konu edildiği eserden hareketle; dış görünümünden dolayı insanların değerlendirilmesinin yanlış olabileceği vurgulanacaktır. Toplumsal yanılgıların ve ön yargıların ortadan kaldırılarak bireylerin daha gerçekçi yargılara ulaşması, toplumsal barış açısından önemli bir olgudur. Bireylerin giyim tarzından ve görünümünden hareketle değerlendirme yapmak onları yüceltmek veya küçümsemek gibi tutumların yanıltıcı olabileceği nedeniyle, gerçekçi bir bakışla ilgili kaynaklar irdelenerek nitel araştırma şeklinde yorumlaya dayalı olarak incelenecektir.

Anahtar Sözcükler: Dış Görünüm, Toplumsal Algı, Önyargı,

Gottfried Keller's "Kleider Machen Leute" Misconceptions From Social Perception Basend On The Artwork

Abstract: Sometimes determining the status of individuals in society can be wrong due to social misconceptions. Social prejudices in particular are good, bad; rich poor; Some positive and negative individual evaluations such as guilty and not guilty also cause mistakes. Their external views do not reflect their social positions or the wealth they possess. Any assessment to be made in this sense will be far from the realities of life and will cause the society to be mistaken. Seeing the difference between appearance and reality will always eliminate the negativities caused by social illusions.

Based on the story of the "Kleider machen Leute", which is part of the second volume of the "People of Seldwyla (Die Leute von Seldwyla)" composed of the collective stories of the Swiss realist period writer Gottfried Keller, is based on a change comedy in accordance with its period. The author wants to show that everything that appears in life is different from what it actually is, based on the sentence "Kleider machen Leute", a German proverb as a narrator in the story. The author shows a critical approach to the evaluation of people according to their appearance in real life. It is emphasized that the relationship between dignity created by people's minds is incompatible with reality, and although the events in this sense are random, people with guilty unnecessary expectations.

In this study, starting from the work on which the perception of social perception arising from the evaluation of a tailor's apprentice as a prince; It will be emphasized that evaluation of people may be wrong due to the external view. It is an important phenomenon in terms of social peace for individuals to reach more realistic judgments by eliminating social misconceptions and prejudices. Since the attitudes such as appraising or underestimating individuals from the clothing style and appearance can be misleading, sources related to a realistic view will be examined and interpreted in the form of qualitative research.

Keywords: External Appearance, Social Perception, Bias

1. GİRİŞ

İsviçreli realist yazar Gottfried Keller'in "Kleider machen Leute" eseri, her toplumda geçerliliği olan insanların toplum yaşam içerisinde konumlandırılmasında materyalist bakış açısının oynadığı rolü göz önüne sermektedir. İnsanı dış görünümü ile değerlendirmek ve bazı yargılara varmak, toplumsal yanlışların temelini oluşturmaktadır. Yanlışların kaynağı, insanın kendi eliyle inşa ettiği eşyalar üzerinden, insanların yüceltilmesi veya ötelenmesidir. İnsanı insan yapan olgu kendisi değil de belirli eşyalar gibi algılanması, toplumsal ön yargılara kaynaklık etmektedir. Bu eserde elbise üzerinden farklı bir bakış açısından aktarılan toplumsal değerlendirmelerin, aslında kültürlerarasında çok ta farklı olmadığı görülmektedir.

Realizm, insan yaşamını değiştiren teknolojik gelişmelerin sonucunda çıkmıştır. Toplum yapılarının değişimine neden olan teknoloji duygusallıktan çok görünüme değer veren pozitivizm felsefesini ortaya çıkarmıştır. Gözlemin çok önemli olduğu felsefenin edebiyata yansımaları, insanı merkezine alarak olduğu gibi bir anlatımla olmuştur. Ancak aslında her şeyin olduğu gibi görünmediğini ve toplumların kültürel yapıları ile mali güç dengeleri kıskacındaki yargıları olduğu vurgulanmaktadır. Realist edebiyat düşüncesinde yanıltıcı olduğu düşünülen duygular fazla yer bulmamakla birlikte çevresel faktörler insanların karakterinin oluşumuna büyük katkı sağlamaktadır.

İnsanın toplumsal bir varlık olması düşüncesinden hareketle, toplumun kültürel yapısından etkilenmektedir. Aidiyeti olduğu toplumun üyesi olabilmesi ancak kültürlenme yoluyla gerçekleşmektedir. Toplumsal davranış, tutum ve düşünceler bireyin o toplum içerisinde belli bir karaktere sahip olmasını sağlamaktadır. Birey toplumsal beklentiler çerçevesinde hareket etmek ve değerlendirmeler yapmak zorundadır. Bazen bu da toplumsal yanlışların ve ön yargılı davranışların olmasına neden olmaktadır.

Tüm toplumlarda saygın bir kişi olarak görülme için iyi giyinmek ve şık görünmek önemli bir göstergedir. Ancak bu her zaman doğru olmayabilmekte ve bireyin gerçek statüsü ile uyumlayabilmektedir. Aldatıcı görünüm sadece bireyi değil toplumu da yanlışlara sürüklemektedir. Toplumun görünümle bireylere değer biçme zaafından, bazı kimseler faydalanmakta ve kendilerine çıkar elde etmektedirler. Gottfried Keller'in bu eseri bu konuda çok çarpıcı bir örnek teşkil etmektedir.

2. GOTTFRIED KELLER'İN OTOBİYOGRAFİSİ, ESERLERİ VE EDEBİ YÖNÜ

Gottfried Keller (1819-1890) İsviçre'nin Zürih şehrinde fakir bir zanaatkar olan tornacının olarak doğmuştur. Bu nedenle çocukluk ve gençlik yılları geçim sıkıntısı içerisinde geçmiştir. Babasının erken ölmesi ve kardeşlerinin sayısının çokluğu nedeniyle iyi beslenememiş tüberküloz hastalığı geçirmiştir. Keller, farklı bir öğrenci kimliği taşıdığından, toplumun klişe düşünceleri ile ters düşmüş ve okul yaşamında her zaman öğretmenleri ile çatışma içerisinde olmuştur. Bir dönem ressamlığa özenmiş (1840) ve bu tutkusu onun Münih kentine yolunun düşmesine neden olmuşsa da, bu alanda pek başarılı olamamıştır. Bu yetersizlik onda büyük bir hayal kırıklığı yaşatmış ve kendi şehri Zürih'e (1842) geri dönmüştür. Radikal tutumları ve siyasi yönü kuvvetli olan Keller, Zürih kent yönetiminin kendisine sağladığı olanakla, edebiyatın merkezi olan Heidelberg'e gitmiştir. Burada kaldığı altı yıl (1842-1848) filozof Feuerbach'dan dersler almış ve ondan oldukça etkilenmiştir. Bu anlamda materyalist düşüncesi daha ağır basmıştır. 1848-1850 yılları arasında çok hareketsiz bir dönem geçiren Keller bu süreci özellikle okumu ve daha sonra Berlin'de (1850-1876) yaşamıştır. Emekli olduktan sonra ölümüne kadar Zürih'de oturmuş ve yaşamını serbest yazar olarak sürdürmüştür.

Aytaç'a (2021:356) göre, Gottfried Keller'in yazar olarak yaşamı iki bölümde incelenmesi gerekmektedir. Yazarlık döneminin ilk bölümünde "Der grüne Heinrich" eserinin ilk şekli ile "Die Leute von Seldwyla" eseri içerisindeki beş noveli bulunmaktadır. İkinci döneminde ise, Berlin yaşamında (1850-1855) tasarlamış olduğu eserlerden oluştuğu görülmektedir. Özellikle Zürih'de yaşadığı dönem de on beş yıl (1861-1876) yazarın eser üretimi durağan durumdadır. Gottfried Keller'in başlıca eserleri yıllara göre şu şekildedir.

Gedichte, 1846, ("Şiirler"); Nettare Gedichte, 1851, (Daha Yeni Şiirleri); Der grüne Heinrich, 4 cilt, 1854, (Yeşil Heinrich); Die Leute von Seldteyla, 1856, (Seldwyla'lılar); Siehen Leğenden, 1872, (Yedi Efsane); Romeo und Julia auf dem Dorfe, 1876, ("Romeo ve Juliet Köyde"); Züricher Novellen, 2 cilt, 1878, (Zürih Hikâyeleri); Martin Salander, 1886; Sämtliche Werke und ausgewählte Briefe, 3 cilt, (ö.s.), C.Heselhans (yay.), 1956-1958, Gesammelte Gedichte (1883) (<http://sosyoloji.com/gottfried-keller-kimdir-hayati-kitaplari-hakkinda-bilgi/42401.html>).

Gottfried Keller'in edebi kişiliğine yaşamış olduğu hayal kırıklıkları, ümitsizlikler yansımış ve eserlerinde bunları dile getirmeye çalışmıştır. Özellikle kendisinin gençliğinde geçirdiği yoksul yaşam, çatışmacı kişiliği ve yaşamış

olduğu sonlandırılmamış aşk maceraları yazarın eserlerinde kendine yer bulmuştur. Yeşil Heinrich (Der grüne Heinrich) eserinde bu konuların işlendiği bir oluşum romanıdır. Gottfried Keller, döneminde Aydınlanmacı geleneğini sürdüren ve siyasete ilgi duyan bir yazardır. Kendisi demokrasi, doğaya olan inancı ve hoşgörüyü eserlerinde vurgulamıştır. Dili çözümleyici bir araç olarak kullanması onun karakteristik özelliklerindedir. “Die Leute von Seldwyla” eserinde ki novellerinde kullandığı hiciv dilin yorum gücünü ne kadar iyi kullandığının bir göstergesidir. Türk ve Dünya Ünlüleri Ansiklopedisinde bu eserle ilgili şunlar ifade edilmektedir.

Die Leute von 'Seldwyla (Seldwyla'lılar) adlı kitabındaki öyküler, bu türün Almanca yazı lmiş en iyi örnekleri olarak değerlendirilir. İsviçre insanlarına özgü yaşama biçimlerini, duygulan, trajedileri yergici bir bakışla, ayrıntıların tüm renkliliği içinde yeniden canlandıran bu öykülerde Keller'in basit, samimi ve sıcak bir üslubu vardır. Dili çözümleyici, açık ve dolaysızdır (<http://sosyolojisi.com/gottfried-keller-kimdir-hayati-kitaplari-hakkinda-bilgi/42401.html>).

Gottfried Keller'in din karşıtı yaklaşımı ve tarihe olan ilgisi, şiirlerinde yer bulmaktadır. Ayrıca döneminde eğitim konusuyla ilgilenen yazarlardan biridir. Bireyin topluma uyumlu bir birey olabilmesi için eğitimin bir koşul olduğunu savunmaktadır. Fakat eğitime yönelik hassas tutumu son dönemlerinde son bulmaktadır.

3. EDEBİYATTA REALİZM AKIMI

1848 Fransız devrimi ve endüstri alanında yaşanan hızlı gelişmeler insan yaşamında büyük değişikliklere neden olmuştur. Özellikle Fransa ve Avrupa'nın diğer ülkelerinde geleneksel yaşamın son bulması, ifadesini sanat ve edebiyatta bulmakta da gecikmedi. Ressamlar günlük yaşamı eserlerine yansıtmaya istekleri, yaşamın tüm doğallığı ile ortaya çıkarılması düşünceleri bu akımın başlamasına vesile olmuştur. Endüstri alanında yaşanan değişimler sonucunda toplumun yeni bir çıkış arama çabası sürecinde yaşanan toplumsal sorunların her alanda ortaya konması realist düşüncenin temelini oluşturmaktadır. Bu yeni yüzyılın insanlığı toplumsal, kültürel, ekonomik ve politik olarak nasıl yapılandıracağı konuları ile ilgilenmektedir. Erich Auerbach'a (Aytaç 2012) göre realizm, gerçeği dile getirmek, günlük olayların bir taklidi demektir. Realist edebiyat eserleri çoğunlukla düz yazıdır. Noveller çok popüler yazın türü hale gelmiştir. Realist eserlerde kahramanlardan çok olaylar önemlidir. Bu anlamda Aytaç realist edebiyatın başlıca konuları ile ilgili şunları söylemektedir.

Realist edebiyatın başlıca konular, sosyal sorunlar, devlet ve toplum düşüncesi idi. Bu konuları gereği gibi işlemek için, toplum ilişkileri hakkında ayrıntılı bilgi şarttı. Çevre, henüz natüralizmdeki gibi amaç değildir ama insanın dünyasıyla çekişmesini aydınlatması bakımından önemlidir. Realist edebiyatın odak noktasını insan oluşturur. Ruhsal fonksiyonların niteliği ve onların vücutla olan ilişkileri, deneysel yolla açıklanmaktaydı. Bütün gerçek dünya, insanın ruhu tarafından erişilebilir görüldüğünden, insan ruhuyla insanın çevresi arasındaki gerilimler, edebiyatın başlıca konuları sayılıyordu (Aytaç, 2012:357-358).

Realist dönemin düşüncesi tiyatro eserlerine pek uygun bir düşünce yapısına sahip değildir. Realist yazarların çoğunluğu toplumun orta ve alt tabakasından gelmektedir. Realizm tarihsel ve kültürel olarak insanlığın geçmişini irdelemiştir. İnsanın doğa ile uyumunu ön palan çıkarmak istemesine karşın, endüstriyel gelişmeler bu doğal yapıyı bozmuştur. Bu da yapaylığı berberinde getirmiştir. Toplumsal sınıfların oluşması, mali güce bağlı toplumsal statüyü ön plana çıkarmıştır. Bu bağlamda dinin bu güce bağlı statünün beraberinde getirdiği sorunları çözemediği için pek değerli görülmemiştir. Hiciv bütün realist yazarların kullandığı bir yazın biçimidir. Yazarlar kişisel yorumlardan, abartılardan ve duygusalıktan uzak bir tutum sergilemekteydiler. Bu anlamda Tufan realist dönemdeki edebiyatla ilgili şöyle demektedir.

Neredeyse her edebiyat eserinde bir nebze Gerçekçilik mevcuttur. Zira okuyucuların tanık oldukları karakterleri ve dünyayı tanınması ve tanımlaması açısından Gerçekçilik kritik bir öneme sahiptir. Gerçekçi yazarlar, benzersiz özelliklere sahip eserler yazmaya yönelmişti: Hikâyeler ya da çizimler basitti ve karakterler ikincil durumdaydı. Anlatı karakterleri alt veya orta sınıftan olma eğilimindeydi ve şiir dilinde değil, insanların gündelik diliyle konuşuyorlardı. Ayrıca, yazarın kişisel yorumları neredeyse hiç duyulmuyordu (Tufan, 2019: 3).

Dünyayı kusursuz olarak niteleyen romantik akımın düşüncesine karşı olarak gelişen Realizm, sıradan insanların yaşamlarını en doğal haliyle olduğu gibi yapılacak bir anlatım biçimiyle, sanat ve edebiyat alanlarında temsil etme ve göz önüne serme anlayışıdır.

4. ESERİN İÇERİK AÇISINDAN KISACA DEĞERLENDİRİLMESİ

Gottfried Keller'ın Seldwyla'nın İnsanları (Die Leute von Seldwyla) eseri içerisinde bulunan birçok novelden biri olan "Kleider machen Leute" (Giyisiler insanlar yapar), realist bir bakış içerisinde yazılmıştır. Bu eserde yazar realizm akımının ön plana çıkardığı mali güç ve statü ikilisinin birlikteliğini göstermektedir. Aslında Gottfried Keller, insanı insan yapan kendisi değil, dış görünümü yani toplum içerisinde giyesilerinin temsil ettiği konumdur, düşüncesini alaycı bir şekilde eser ve yaşadığı İsviçre de bir kasaba halkı üzerinden anlatmıştır. Bu kasabada yaşayan insanların yaşama dair iyi ve kötü alışkanlıkları yazar tarafından ince alaycı tarzda gerçekçi bir şekilde aktarılmıştır. Novelin özeti Ünal ve Yücedağ'ın (2015:52) aktarımıyla şöyledir.

"Wenzel Strapinski isimli genç bir terzi çırağı soğuk bir Kasım günü, aç ve üşümüş bir halde yollara düşmüştür. Elinde, terzilikten kalma bir yükseük bulunmaktadır. Oldukça gösterişli kıyafetlerinden dolayı, dilenmek onun için zordur. Yolda, oldukça gösterişli bir at arabasına rastlar ve arabacı onu arabaya davet eder. Bir süre ilerledikten sonra, araba Goldach'ta, bir otelin önünde durur. Arabanın ihtişamına kapılan insanlar, içinden bir asilzadenin çıkacağından emindir. Otel görevlileri Strapinski'yi görünce elleri ayaklarına dolanır ve bu asilzadeyi memnun etmek için elinden geleni yapar. Strapinski, şaşkındır; bu nedenle önüne gelen yemeklere önce tedirginlikle yaklaşır; ancak kısa süre sonra bu yanlış anlaşılmanın anlaşılacağını ve alacağı cezayı düşününce, yemeğin tadını çıkarmaya karar verir. Yemekten sonra oradan kaçıp gitmeyi, yaptığının yanlış olduğunu benimser; ancak bir soylunun Goldach'ta olduğu haberi hemen yayılmıştır ve Strapinski gitmeye karar vermişken, şehrin ileri gelenleri onu görür ve bir şeyler içmek için yanlarında götürürler. Nüfuz sahibi olan bu kişiler de onun gözüne girmek için türlü numaralar yaparlar. Onlarla oyun oynar ve para kazanır. Zaman geçtikçe yasadığı arada kalmışlık, onu yine yollara düşürür. Bu sırada şehrin kaymakamı ve kızı Nettchen ile karşılaşır. Nettchen'i görene kadar gitmek konusunda kararlı olan Strapinski, onu gördükten sonra orada kalma sebebi olarak Nettchen'i görür. Birbirlerine asık olurlar ve evlenmeleri söz konusu olur. Kaymakam da, kızının bir asilzade ile evlenerek kontes olacağı için memnundur. Nisan günü, her şey oldukça gösterişli başlamıştır. Goldachlılar ve Seldwylalılar da hünerlerini sergilemek için oradadır. Bu gösteride "Terziler, elbise yapar" ve "Elbise, insan yapar" sloganları önem taşımaktadır. Seldwylalıların Strapinski'nin ustası da bulunmaktadır ve onu tanıyarak tüm yalanları ortaya çıkarır. Oradan hızla uzaklaşan Strapinski, soğukta kalır. Nettchen da onun pesinden gider, onu bulur. Hikâyenin doğrusunu ondan dinleyerek, Strapinski'yi yalnız bırakmayacağını, onunla evleneceğini söyler. Babasından çeyiz parasını alarak Seldwyla'ya yerleşirler. Büyük bir miktar para söz konusu olduğu için tüm Seldwylalılar tarafından benimsenirler. Strapinski'nin Seldwyla'nın terzibaşı olması sağlanır ve sonunda Strapinski ailesi, Seldwyla'da bir kuruş bırakmadan oradan uzaklaşır." (Keller, Kleider machen Leute, 1958)

Okuyucunun eserin ilk başından beri bildiği bu aldatmacanın eğlendirici bir yönü vardır. Romantik ve heyecan verici olayların beklentisi ile yaşayan Goldbach kasaba halkının, bu ihtiyacını iyi giyimli olan Strapinski karşılamıştır. Aslında arabada kimin olduğu önemli değildir. Aldatılmanın kişiyi mutlu ettiğini ve dünyada herkesin görünümlere verdiği değerlerin sahte mutluluklar getirdiği "kıyafetler insan yapar" cümlesi içerisinde yatmaktadır. Gerçekte olanla görünüm arasındaki çizgiyi kişinin kendi aklı belirlemektedir. Kişinin arzu ettiği olaylara bakış açısı çok önemli hale gelmektedir. Yazarın bu eserde vermek istediği her görünümün arkasındaki gerçeklikler kişiyi aldatabilmektedir. Burada her toplum bireyin statüsü ile görünümünü ilişkilendirmektedir. Bu anlamda Kökçü şöyle düşünmektedir.

Hikâyenin başkahramanı terzi Strapinski'nin başından geçenler bir nevi zamanının popülist filozofu olan mizah kahramanı bizim Nasreddin Hoca'nın Ye Kürküm Ye fıkrasını anımsatmaktadır. Kişiliğin bilgelikle, akıl ile değil maddiyat ile değerlendirildiğini vurgulayan bu fıkra Keller'in novellasına benim okumam sırasında bir nevi ön ayak oldu (Kökçü, 2017:2)

Görünümünden kaynaklanan toplumsal statü elde ediniminin sadece Goldach halkında söz konusu değildir. Her toplumun mal varlığı ile insanı değerlendirme düşüncesi yanıltıcıdır. Yazar eserin ilk başında edilgen bir kahramandan yola çıkarak, yüksek bir sosyal statü verilen terzi yamağının oyunu devam ettirmesi, çevresindeki beklentileri olan insanların onu yücelterek beklenti içerisine girmesi her dönem ve yerde olabilecek tutum. Terzi yamağının sürdürdüğü lüks yaşam oyununun ortaya çıkması ile birlikte, maddi durumu iyi olan nişanlısının onu bu durumdan kurtarması ve novelin mutlu sonla bitmesi de romantik bir algının sonucu olsa gerek. Yazarın ağzından bizzat anlatılan olayın nedeni, okuyucuya kahramanın başından geçenlerin gerçekliğine inandırmaktadır. Temelde realist düşüncede olağanüstü olayların geçtiği durumlara yer verilmemektedir. Konu

gerçek yaşamdır. Eserde çevresindeki insanların düşünce koşullardan etkilenecek karakter kazanmış bir kahraman vardır.

5. TOPLUMSAL ALGI VE YANILGILAR

Toplum ve birey aralarında büyük bir etkileşimin olduğu birbirinden ayrılamaz iki olgudur. Ancak toplumun oluşumu bireyin yaşamından daha önce olduğundan, toplumsal birikimler çeşitli yollarla bireye aktararak, bireyin o toplumun bir üyesi olması sağlanmaktadır. Yani bireyin toplumsallaşması, o toplumun değer, yargı ve davranış kurallarını benimsemesiyle olanaklı hale gelmektedir. Bireylerin davranış ve yaşam biçimine bakarak ait olduğu toplumun yapısı hakkında bilgi sahibi olunabilmektedir. Bireyin içerisinde yaşadığı toplumun etkisi içerisinde insanları, nesnelere ve onlara karşı sergilenen davranışları algılayarak tutumlar oluşturmaya "Toplumsal Algı" denmektedir. Algının değişmezlik özelliği bireylerin yanılığa düşmesine neden olmaktadır. Bu eser dede Goldach kasabasında yaşanan ilginç hikaye, aslında oradaki halkın yaşama bakış açısını, beklentilerini ve bireylerin toplumsal statülerinin nasıl değerlendirildiğini göstermektedir. Onları yaşamı algılama biçimleri onları bir dereceye kadar mutlu etmiştir. Ancak, algılanan bazı kişi veya durumların değişmezliği ilkesi, onları, terzi yamağı ile düşüncelerinde yanılığa düşürmüştür. Algıda yanılma konusunu Aydın şu şekilde ifade etmiştir.

Algının yukarıda açıkladığımız özellikleri (Seçicilik, Değişmezlik, Örgütlenme ve Derinlik), daha önce belirttiğimiz gibi, günlük yaşam açısından büyük önem taşır. Örneğin, algımızın değişmezlik özelliği olmasaydı, bir kez gördüğümüz bir nesneyi bir başka koşul altında tanımamız; örgütlenme özelliği olmasaydı belki de nokta ve çizgilerden başka bir şey görmememiz mümkün olmazdı. Bununla birlikte, algımızın özellikleri zaman zaman gördüklerimizi yanlış değerlendirmemize, yani algı yanılmalarına yol açabilmektedir (Aydın, 2005:221).

Bir bireyin statüsü, toplum içerisindeki yerini ve saygınlığını ifade etmektedir. Her bireyin toplum içerisinde bir statüsü vardır. Bireylerin toplum içerisinde konumlandırılmaları toplum içerisindeki aldıkları rollere göre belirlenmektedir. Bu anlamda bireyin toplum içerisinde üstlendiği rol ile statüsü arasında sıkı bir ilişkisi söz konusudur. Ancak asıl olan bireyin toplumsal statüsüdür. Toplumsal statülerin kazanımı her zaman belli bir çaba ile gerçekleşmemektedir. Bazen doğrudan bireye aktarılan statüler de mevcuttur. Birey tutum ve davranışlarını bu statüye göre belirlemektedir (Novelin kahramanı terzi yamağı Strapinski'nin çaba sarf etmeden kazandığı prens statüsü gibi). Bu anlamda Özkalp şöyle demektedir.

Toplumsal statülerin insan davranışları açısından önemli yönü, her statünün bireye rehberlik ederek nasıl davranacaklarını göstermesidir. Toplumsal statülerin hemen tüm insan gruplarında mevcudiyeti, onu toplumsal yapıdan ayrılamaz kılar. Her statü kendini sahip olduğu semboller ile belirgin kılar (Özkalp, 2005:46).

Toplum ve bireylerin algılarında duyuların ve bunları usa vurumların ne kadar önemli bir olgu olduğu yanlış toplumsal algıların ortadan kaldırılması açısından çok önemlidir. Bir olaya yaklaşımda bireylerin algıları sadece işitmekle değil, görmek ve dokunmakla da veya hissetmekle de gerçekleşmektedir. Yalnızca toplumsal deneyimler veya anlatılanlardan yola çıkmak algıların yanlış oluşma nedenlerindedir. Çünkü verilen bilgilerin çoğu dışarıdan başkasının düşüncesi ile işlenen bilgilerdir. Kişi kendinin oluşturmadığı bir algı konusunda yanılığa düşme olasılığı yüksektir. Buna bağlı olarak kendi düşüncesi ile var edemediği algı bireyi önyargıya yöneltebilmektedir. Özellikle toplumsal önyargıların, düşünmeyen ve her şeyi duyum yoluyla öğrenen bireylerin olayları doğru algılamasının önünde büyük engeller oluşturmaktadır.

Terzi yamağı Strapinski ile ilgili prens algısı Goldach kasaba halkının tamamen duyum ve görünüm üzerinden oluşturulmuştur. Onların bu yanlış algılamaları sonucunda rahata kavuşan Strapinski rolü oynamaya devam etmiştir. Çünkü bu durum onu belli bir süre mutlu etmiştir. Ayrıca kasaba ileri gelenlerin menfaat umdukları Strapinski, onların bu önyargılı ve tutumlarından sıkılmıştır. Aslında Strapinski bulunduğu durumun belirsizliği nedeniyle oynadığı rolden sıkılmıştır. Aşk onu durdurmuş ve yine aşık olduğu kızın ve ailesinin Strapinski ile ilgili yanlış algılamaları söz konusu ve ta ki ustası onu tanıyana kadar, kasaba halkının yanılırları devam etmiştir.

6. SONUÇ

İsviçreli yazar Gottfried Keller, kendi yaşadığı çağın toplumsal değer yargılarının değişmesine komedi türünde yazmış olduğu "Elbiseler insan yapar"(Kleider machen Leute) eseriyle eleştirel bir bakış sergilemiştir.

İnsanların kendilerinin ürettiği bir nesne üzerinden toplumsal statü kazanmaları, Keller'in merkezinde insanın bulunduğu realist düşüncesi ile çelişmektedir. Bu nedenle Keller, bu eserde toplumun insanları mali gücün ifadesi görünümünden yola çıkarak değerlendirme yöntemini komedi şeklinde ele almıştır.

Bir terzi yamağının macera yaşama isteğinden yola çıkan yazar, Goldach kasaba halkının beklentilerini de göz önüne alarak kendi ağzından bir anlatımla toplumsal bir sorun olan bireyin görünümünden hareketle değerlendirme yapılmasının yanlışlığını ortaya koymaktadır. Bunu yaparken daha eserin başından itibaren okuyucuyu yanıltmadan, Strapinski'yi gerçek kimliği ile tanıtmaktadır. Burada Strapinski'ye prens statüsü veren Goldach kasaba halkını suçludur yoksa kendisine verilen prens rolünü devam ettiren Strapinski mi? İşte yazar bu ikilemin çözümünü, eserin sonunda terzi yamağının toplumsal statüsünü ortaya çıkararak okuyucudan beklemektedir.

Toplumsal statü ve bireylerin üstlenmiş olduğu rollerin yakın ilişkisi, bireyler hakkında değerlendirme yapılmasına olanak tanımaktadır. Ancak dünya da artık teknolojik gelişmelerin bireylere kazandırdığı maddi kazanımlara göre bireylere toplumsal statü verme eylemi çoğu kez toplumu yanılgıya düşürmektedir. Görünüm açısından bireye toplumun değer verdiği bir statünün verilmesi, toplumu oluşturan bireyleri de gerçekleştiremeyecek beklentiler içerisine sokmaktadır. Çağın bir hastalığı haline gelen görünümünden hareketle önyargılı hükümlere varmak, çoğu kez toplumsal değer yargılarının zarar görmesine neden olmaktadır. Bu nedenle toplumsal tutum ve davranışlarının bireye, yaşadığı olaylar hakkında gerçek değerlendirme yapma olanağı sunması gerekmektedir.

Bireyler, toplumsal değer yargılarını belirli bir yapı, süreklilik ve anlam bağlamında algılamaktadır. Duyu organlarının uyarıcı özellikleri beyin tarafından yorumlanarak anlamlı bir duruma getirilmesi sonucunda algı oluşmaktadır. Birey toplum etkileşimi düşüncesinden hareketle, algıların değişmezlik özelliği toplumsal algı yanılgılarına neden olmaktadır. Görünüm ve kişi arasındaki ilişki giyim üzerinden değerlendirildiğinde bireyin statüsü konusunda bir yanılgı içerisine girilmiştir. Bu nedenle toplumun bir üyesi olan bireyin davranışsal olarak yanlış yapmasına yol açacaktır. Görünümle gerçeklik arasında doğru değerlendirme yapılmadığı sürece, bu toplumsal algı yanılgılarından birçok çıkarıcı birey faydalanacaktır.

7. KAYNAKÇA

- Aydın, Orhan (2005). "Davranış Bilimlerine Giriş", (Üniteler 11-12-15-16) A.Ü. Açıköğretim Fakültesi Yayınları, 4. Basım, No:722, Eskişehir
- Aytaç, Gürsel (2012). "Çağdaş Alman Edebiyatı", 5. Baskı, Doğu Batı Yayınları, Ankara
- Keller, Gottfried (1958). "Kleider machen Leute", Reclam Verlag, Stuttgart
- Keller, Gottfried (1990). "Seldwyla İnsanları", (M. Togar, Çev.) Cem Yayınevi, İstanbul
- Kunze, Karl /Oblaender, Heinz (1976). "Grundwissen Deutsche Literatur", 1. Baskı, Ernst Klett Verlag, Stuttgart
- Meydan Yıldız, S.G. (2018). "Kültür Sosyolojisinde Methodoloji Tartışmaları: İdeoloji Olarak Kültür ve Eylem Olarak Kültür", Gazi İktisat ve İşletme Dergisi, Sayı 4(3), s: 173- 184), Ankara
- Nürnberg, Helmuth (1995). "Geschichte der deutschen Literatur", 24. Basım, Bayerischer Schulbuch- Verlag, München
- Özkalp, Enver (2005). "Davranış Bilimlerine Giriş", (1-8. Üniteler) A.Ü. Açıköğretim Fakültesi Yayınları, 4. Basım, No:722, Eskişehir
- Sebüktekin, Hasan (1994). "Deutsche Sprachgeschichte in Frage und Antwort", Gazi Büro Kitabevi, Ankara
- Ünal, Arif & Yücedağ, Gülcan (2015). "Gottfried Keller'in "Kleider machen Leute" Adlı Eserinin Manevi Bilim Yöntemine Göre İncelenmesi", Akademik Bakış Dergisi, Sayı.50 (2), s.48-59
- https://tr.qwe.wiki/wiki/Gottfried_Keller#Gottfried_Keller_Foundation
- <http://sosyoloji.com/gottfried-keller-kimdir-hayati-kitaplari-hakkinda-bilgi/42401.html>
- ttufan@gazeteduvar.com.tr
- <https://koekcuem.blogspot.com/2017/05/kellerin-realizmdeki-madde-alsn-ye.html>

Marx Frisch ve Modern İnsanın Yaşama Dair Duyarsızlığı

Öğrt. Gör.Dr. Coşkun DOĞAN¹

¹Trakya Üniversitesi Eğitim Fakültesi, Yabancı Diller Bölümü Mehmet Akif Ersoy Yerleşkesi 22030 EDİRNE,

e-mail: coskundogan2002@yahoo.de, ORCID İD: <https://orcid.org/0000-0002-6072-2721>

Özet: İnsanoğlu toplumsal bir varlıktır. İçinde yaşadığı toplumun bir üyesi olabilmesi için her birey kültürlenerek toplumsallaşmaktadır. Toplumun normlarına uymak zorundadır. Toplumsal değer yargılarını, yine toplumu ayakta tutan kurumlar aile, çevre ve okuldan öğrenmektedir. Aksi halde toplum dışında kalmasına neden olmaktadır. Ancak birey toplum etkileşimi dinamikdir. Yaşanılan ortam ve çağa göre değişmektedir. İnsanoğlu modernleştikçe bireyin refah düzeyi yükselmekte ama insan varlığına ve çevresinde olanlara kayıtsızlığı artmaktadır.

Marx Frisch, İsviçre edebiyatının Almanca yazarlarından biridir. Kendisi II. dünya savaşını yaşamış biri olarak toplumu iyi gözlemlemiş eserlerinde genellikle bireyin politikleştirilmiş yönünü ön plana çıkarmaktadır. Toplumsal değer kalıplarından uzak durarak ön yargılardan sıyrılmak ve ideolojileri geri planda tutarak bireyin özgürlüğünü ön plana çıkarmak eserlerinde ki hedefi olmuştur.

Marx Frisch, "Biedermann ve Kundakçılar (Biedermann und die Brandstifter) eserinde teknolojinin modern insana sağladığı yaşamsal kolaylıkların yanında insanların nasıl öz değerlerinden uzaklaştığını göstermektedir. Modern insanların kendi dışında gelişen ve aslında tüm insanlığı ilgilendiren kötülüklerin verdiği zararlara karşı duyarsız kalmaları, bir fabrikatörün yaşamından kesitle gün yüzüne çıkarılmaktadır. Temelde bu eser çerçevesinde dünyada yaşanan kötülükler karşısında korkak modern insanın bireysel güçsüzlüğü vurgulanmaktadır.

Bu çalışmada, Marx Frisch'in yaşamı ve edebi kişiliği ön plana çıkarılarak, "Biedermann ve Kundakçılar" (Biedermann und die Brandstifter) eseri bağlamında insanoğlunun toplumsal olaylara karşı duyarsızlığı irdelenecektir. Görünürde çok güvenilir olan dünyada kötülüklerin nasıl oluştuğunu, modern bireyin kendi yaşamının sağladığı konforu ön planda tutarak olumsuz olaylara kayıtsız kalışı, Marx Frisch'in eserinden hareketle nitel bir araştırma şeklinde yorumlamaya dayalı olarak incelenecektir.

Anahtar Kelimeler: Toplumsallaşma, Modern İnsan, Kayıtsızlık, Önyargı

Marx Frisch and The Insensitivity Of Modern Man To Life

Abstract: Human beings are a social being. Every individual is cultured and socialized so that he can become a member of the society he lives in. It has to comply with the norms of the society. Institutions that sustain social value judgments and the society are learning from the family, environment and school. Otherwise, it causes it to be out of society. However, individual community interaction is dynamic. It depends on the environment and age. As human beings modernize, the level of well-being of the individual increases, but his indifference to human existence and those around him increases.

Marx Frisch is one of the most important writers of Swiss literature in German. Himself II. As someone who has experienced the world war, he often emphasizes the politicized aspect of the individual in his works that have observed the society well. It has been his goal in his works to stand out from prejudices by avoiding social value patterns and to prioritize the freedom of the individual by keeping ideologies in the background.

Marx Frisch said, "Biedermann and Arsonists (Biedermann und die Brandstifter) show how technology moves away from the core values of people as well as the vital amenities provided by modern people. The fact that modern people are insensitive to the damage caused by the evil that develops outside of itself and which actually concerns all humanity is revealed in a section from the life of a factory. Basically, within the framework of this work, the individual weakness of the cowardly modern man in the face of the evils experienced in the world is emphasized.

In this study, the life and literary personality of Marx Frisch is emphasized and the insensitivity of human beings to social events in the context of his work "Biedermann and Arsonists" (Biedermann und die Brandstifter) will be examined. It will be analyzed as a qualitative research based on the interpretation of how the evils occur in the seemingly reliable world, the indifferent incident of negative events by prioritizing the comfort of the modern individual's own life, based on Marx Frisch's work.

Key Words: Socialization, Modern Man, Indifference, Prejudice

1. GİRİŞ

Birey yaşadığı toplumun bir parçasıdır. Toplum olmadan birey, birey olmadan da toplum olmaz. Bireyleri topluma bağlayan bazı özgün toplumsal değerler vardır. Bunların en başında kültür gelmektedir. Toplumsal kültürün aktarımı ise dil ile gerçekleşmektedir. Böylece dil bireyleri toplumsallaştırarak toplumsal bütünlüğü sağlamaktadır. Ancak dilin bir iletişim aracı olmaktan çıkarak, sözcüklerin anlamını yitirdiği, önyargılı bir yapıya dönüştüğü durumda toplum yapısı bozulacaktır. Bireyler çevresindeki gelişen olaylara kayıtsız kalacaktır.

Marx Frisch, bu eserinde dili oluşturan sözcüklerin yalan üzerinden kullanılmasının, bireyleri gerçeklerden uzaklaştırırken, gerçekleri görmezlikten gelme tutumlarına yönelttiğini vurgulamaktadır. Ayrıca teknolojinin modern insanı medyatik bir ön yargılı dil kullanmaya teşvik ettiğini belirtmektedir. Bu da dil, düşünce ve davranışlar arasında bir çelişki oluşturmaktadır. Asıl olan önyargılı bir şekilde sözcüklerin üstünü örterek bireyi gerçek yaşam içerisinde gerçekleştiren ve tüm toplum düzenini bozabilecek olumsuzluklara arkasını dönmesine neden olan modern toplumun bireysel rahatlığıdır. Bu modern toplum yaşamının rahatlığı bireyleri korkak ve kötülöklere karşı güçsüzleştirmiştir.

Marx Frisch, “Biedermann ve Kundakçılar (Biedermann und die Brandstifter) eserinde ilk başta sadece bireyi etkileyen ve daha sonra herkesi etkileyecek toplumsal olaylara, toplumun diğer bireylerinin tepkisiz kalmalarına eleştirel bir yaklaşım sergilemektedir. Modern insanın kendi konforunu düşünerek dünyada yaşanan tüm kötülöklere kayıtsız kalmalarının zararını aslında tüm insanlar çekecektir. Bu anlamda ekonomik gelişmelerin insan yaşamını çok etkilediği dünyada, maddi olarak güçlenen bireyin gittikçe dünyada yaşanan kötü olaylara karşı ilgisiz kalması, bireyin toplumsal sorunlara karşı güçsüzlüğünü göstermektedir.

2. MARX FRİSCH’İN OTOBİOGRAFİSİ, ESERLERİ VE EDEBİ YÖNÜ

1911 yılında İsviçre’nin Zürih şehrinde doğan Max Frisch savaş sonrası Alman Edebiyatının en önemli yazarlarından biridir. Asıl mesleği mimarlık olan yazar, eserlerinde ülkesi İsviçre’nin sorunlarına eğilmiştir. Çok erken yaşta edebiyata olan ilgisi çok erken yaşta başlamış ve henüz on altı yaşında Stahl” adlı bir tiyatro eseri yazmıştır. Yine bu süreçte birkaç daha tiyatro eseri yazan Max Frisch, Zürih Üniversitesinde başladığı Alman Filolojisi eğitimini 1933’teki babasının ölümü üzerine ve maddiyat sorunları nedeniyle yarıda bırakmak zorunda kalmıştır. Annesi ile kendisinin geçimini sağlamak için birçok gazetede muhabir olarak çalışmıştır. Bu süreç onun yazarlık kariyeri için bir yetiştirme dönemi olmuştur. Yine kendisi gibi İsviçreli olan Gottfried Keller’in “Der grüne Heinrich” eserini okuduktan sonra, kendisini yazarlık konusunda yetersiz göyerek tüm eserlerini yakarak bir daha yazmamaya karar vermiştir.

Gazeteci olarak tüm Avrupa’yı gezmiştir. Ancak kendisi 1936- 1940 yılları arasında yine Zürih’te mimarlık okumuş ve mimar olmuştur. Ancak savaş nedeniyle bir süre asker olan Marx Frisch bu yıllarda yeniden yazmaya başlamıştır. Bir süre kendi mesleği olan mimarlığı yapmış ama yazar tarafı daha ağır bastığı için mesleğini bırakmıştır. Mimar olarak çalıştığı sürede Zürih kentinin bir mimari yarışmasında “Freibades Letzigraben” ilk ödülünü kazanarak kendi mimar bürosunu açmış ve 1947-1949 yılları arasında inşa ettiği Max-Frisch-Bad olarak bilinen Açık yüzme havuzu “Freibades Letzigraben” Max Frisch’in en büyük tek mimari yapısı olarak kalmıştır. Halen günümüzde kültür anıtı olarak bulunmaktadır. Plastik sanatlara oldukça ilgi duyan Frisch, ressamlarla çok sık biraya gelmiştir. Mimarlık yaparken, mesleği ile ilgili yaşadığı dönemin birçok sosyal sorunları ile ilgilenmiştir.

Mimarlığı bıraktıktan sonra dünyanın birçok ülkesinde (Amerika, Meksika, Rusya, Japonya, İsrail gibi) yazar olarak bulunmuş ve buralarda günlükler (Tagebuch) yazmıştır. Kendisi gibi mimar olan eşi ile 1942 yılında evlenmiş ve 1959 yılında ayrılmıştır. Yazar olarak, Bertolt Brecht sonrası tiyatrodaki Alman dilinde yazan en önemli isimlerdendir. 1958’deki Georg Büchner Ödülünün yanı sıra başka ödüller de kazandı. Max Frisch, 1947 yılında Bertolt Brecht ve Friedrich Dürrenmatt ile tanışmıştır. 1951’de Rockefeller- Bursu bir sene Amerika Birleşik Devletlerine gitti. Max Frisch, 4 Nisan 1991 tarihinde Zürih, İsviçre’de 80 yaşında ölmüştür. Vasiyeti gereği, cesedi yakılarak külleri arkadaşları tarafından ateşte savrulmuştur. Marx Frisch’in en önemli eserleri şunlardır.

Nun singen wir wieder 1945, Die Chinesische Mauer 1946, Don Juan oder Liebe zur Geometrie 1953, Stiller 1957, – Homo Faber 1957, – Biedermann Und Die Brandstifter (Biedermann Ve Kundakçılar) 1958, – Andorra (oyun) 1961, – Mein Name sei Gantenbei (İsmim Gantenbei olsun) 1964, – Tagebuch 1972, – Montauk Don Juan ya da Geometri Aşkısı (oyun) 1975, Günlükler 1946-1949, Günlükler 1966-

1971 (Kont Öderland, Sessizliğin Yanıtı, Locarno’lu Eczacının Düşü, Biyografi, Yine Başladılar Şarkılarına, İnsan Nedir ki...),– Locarnolu Eczacının Düşü 1995, (<https://www.biyografi.net.tr/max-frisch-kimdir/>).

Max Frisch hemen hemen tüm eserlerinde ülkesi İsviçre’nin sorunlarını işlemiş ve sorgulamıştır. Yazarın, mimarlık mesleği gereği kendi alanına yönelik olarak İsviçre’de mesken sorunları, şehircilik planları oldukça ilgi alanı olmuştur. Aslında Marx Frisch gezgin biri olarak daha çok toplumların kimlik problemlerini gündeme taşımıştır. Bu anlamda yazmış olduğu eserler ile bu konulara dikkat çekmeyi başarmıştır. Max Frisch’in edebi eserlerinde genel olarak şu konular işlenmiştir:

Birey tam bir kesinlikle kendi kimliğine nasıl ulaşabilir? İnsan kendi biyografisini nasıl oluşturabilir? İnsan hayatında bilimin ve zihnin rolü çerçevesinde, doğa-insan ilişkilerinde insanın yetersizlikleri; Toplumda insana yüklenen kimlik ile kişinin kendi olmak istediği kimlik arasındaki uyumsuzluk, konuları yazarın eserinde en sıkıla işlediği konulardır(https://tr.wikipedia.org/wiki/Max_Frisch).

Marx Frisch eserlerinde genellikle kişisel konular üzerinden hareket ederek herkesi ilgilendiren olayları gündeme getirmektedir. Tiyatro eserlerinde Aytaç’a (2012:392) göre, Wilder ve Brecht’ten oldukça etkilenmiştir. Alman dilini Brecht’ten sonra tiyatro alanında en önemli yazardır.

3. SAVAŞ SONRASI EDEBİYAT AKIMI

II. Dünya Savaşı’nın Almanya’nın 8 Mayıs 1945 yılında tamamen teslim olmasıyla birlikte, Almanya ve Alman dilini konuşan ülkeler için tarihsel açıdan yeni bir dönem başlamıştır. Savaşı kazanan devletler, savaşın kurbanı olan savaşın öncesinde ve esnasında her anlamda etkilenmiş Almanca konuşan halkın edebiyatını da belirlenmesinde rol oynamışlardır. Nazi döneminde Almanya’yı terk eden yazarlar ve Almanya’da kalıp yaşanan olumsuzluklara sesiz kalan yazarlar savaş sonrası nazi döneminin eleştirisini yapmaya başlamıştır. Özellikle Berthold Brecht ve Heinrich Böll, savaş döneminin toplumsal felaketlerini ve savaş dönemi insanın karakteristiğini edebiyata yansıtmışlar ve Almanya’nın her iki blokunda da çok sık okunan yazarlardır. Nürnberg’er bu konuda şöyle düşünmektedir.

1945 Alman edebiyatı için yeni bir gelişme başlangıcı olsa da, sanatsal düşünce olarak yeni bir gelişme dönemi olmadığı sonraki zamanlarda görülmüştür. Edebiyatta 1933 den beri açıkça yapılan bölünmüşlüğü savaş sonrası siyasi görünümüdür. Milliyetçi sosyalistler iktidara geldiklerinde, dünya görüşleri zıtlık gösteren yazarlarla bağlantı kurulamayacak şekilde edebiyata değil her alanda bir ayırım olmuştur. Hitler döneminin sona ermesiyle birlikte ayrılmış edebiyatın tekrar tesisi için, 1945’den sonra yeni bir anlayış ve kültürel çizgiye çekmeyi olanaklı hale getirecek koşullar oluşmuştur (Nürnberg’er, 1995:347).

Savaşta her şeyini ve nüfusunun bir bölümünü kaybetmiş, açlık, sefalet içerisinde bulunan insanların olduğu Almanya’nın edebiyatı da görünümüyle eşdeğer şekilde isimlendirilmiştir. Yıkıntı edebiyatı (Trümmerliteratur), gerçeği olduğu gibi aktararak gelecek kuşağa savaşın ve nedenlerinin olumsuz yönlerini göstermeyi amaçlamıştır. Savaş sonrası insanın ruh halini yansıtan eserler kaynağını savaştan alan eserler yazılmıştır. O dönemlerde Alman edebiyatını etkileyen farklı dünya görüşleri ve edebiyat akımları (Marksizm, varoluşçuluk, psikanaliz, ekspresyonizm ve sürrealizm) olmuştur. Konu seçimi genelde tabu kabul edilen, üzerinde konuşulamayan konulara yönelmiştir. Bu anlamda Aytaç düşüncelerini şöyle ifade etmektedir.

Savaşı yaşamış olanların eserleri organik bir gelişimden değil, bir felaketten, savaştan kaynağını alma eserlerdir. Ve yazarları çoğu kez etrafına bakınmaya, karşılaştırmalar yapmaya, özümlemeye fırsat bulamamış kişilerdir. O yüzden gerçekçi ve şüpheci tonda yazmışlar, romantizme ve kahramanlık havasına kapılmamışlardır (Aytaç, 2012:360).

Alman Edebiyatının, savaş sonrası dönemde, alman dilinin kullanımıyla ilgili sorunları vardır. Bunun en büyük nedeni Almanya’nın ikiye bölünmesidir. Almanya’nın batı kısmı Amerikan egemenliğinde ve kültürel etkisi altında iken, doğu kısmı ise Sovyetler Birliği’nin egemenliği ve kültürel etkisindedir. Siyasal olarak farklı düşüncelere ve dünya görüşüne sahip iki ülkenin kültür politikası altında Alman dilini kullanımı farklılığı ortaya çıkmıştır. Bu anlamda Aytaç şöyle demektedir.

Dil konusunda Almanya’nın bir özel problemi vardır: Siyasal yönden ikiye bölünmüş ülkenin her birinde ayrı dünya görüşü ve buna bağlı kültür politikası egemen olduğundan birçok kelimelere farklı anlamlar

yükleme, farklı kısaltmalar (Abkürzungen), farklı yabancı dillerden kelime alma eğilimi söz konudur (Aytaç, 2012:365).

Savaş ve Almanya'nın bölünmesi ile birlikte 1945 sonrası siyasi ve ekonomik gelişmelerin edebiyat alanında üretilen eserlerin konularının arka planlarını oluşturmuştur. Yazarla da dünyada yaşanan bu kadar farklılığa rağmen hızlı şekilde değişen dünya düzeninde insanın konumunu sorgulamışlardır.

4. ESERİ İÇERİK AÇISINDAN DEĞERLENDİRİLMESİ

Marx Frisch "Biedermann ve Kundakçılar (Biedermann und die Brandstifter) eserini 1946-1949 yayınlanmış olan "Günlükler (Tagebuch)" de bir taslak şeklinde oluşturmuştur. Eser ilk olarak 1953 yılında Bavvera radyosunun yazardan radyo oyunu talebi üzerine ilk kez yayınlanmıştır. Fakat daha sonraki yıllarda (1957) Zürih tiyatrosu yazardan bir tiyatro eseri istediğinde Marx Frisch eseri bir radyo oyunundan tiyatro eserine dönüştürmüştür. Tiyatro eseri olarak Biedermann ve Kundakçılar bir perdelik ve altı sahnelik bir oyundur. Eser "Öğretisiz öğretici bir parça" (Ein Lehrstück ohne Lehre) başlığını taşımaktadır. Eserin kısaca içeriği şu şekildedir.

Jacob Biedermann, bir şampuan fabrikasının sahibidir. Ve her gün yazılı medyadan anarşik kundakçılık olaylarını okuyor ve oldukça öfkeleniyordu. Böyle bir dönemde serseri bir arkadaşı olan Josef Schmitz, Eisenring'le gelerek, Biedermann'dan onun yanında barınmak istediklerini söyler. Zorbalıkları ve tehlikeli işler peşinde oldukları görünümünden her yönüyle belli olan bu insanlara karşı fabrikatör, saf davranır ve onların oyununa gelir ve onların fabrikanın deposunda kalmalarına izin verir. Depoda benzin bidonlarının yuvarlanmasını, dinamik fitillerini gördüğü halde müdahale etmez seyirci kalır. Fabrikatör, bir akşam her iki kundakçıyı akşam yemeğine çağırarak kim olduklarını ve ne istediklerini sorar. Kundakçılar, yalan söylemeden direk olarak kundakçı olduklarını söylerler. Fakat Biedermann, şehirde çok kundak olayları olduğunu bildiği halde, kundakçıların dediğine inanmaz bir şaka olabileceğini düşünür. Hatta onların kendisinden istediği kibrit kutusunu verir. Kendi evi yanmaya başladığında bile Biedermann, onların kundakçı olduğuna halen inanmamaktadır (Frisch, Biedermann und die Brandstifter, 1963).

Eserde Aytaç'a (2012:398) göre, ticaret hayatında ince hesaplarıyla ünlü iş adamlarının, hayatın başka alanlarında saf ve beceriksiz oluşları, kötünün gücünü hesap etmekten aciz kalışları, bir sosyal parodi tarzında gösterilmektedir. Bu eserin Türkçeye çevirisini yapan İpşiroğlu eserle ilgili şöyle düşünmektedir.

Aymazoğlu ((Biedermann) bir aptal, bir korkak mı, yoksa bana dokunmayan yılan bin yaşasın hesabı mı yapmakta? Masalda, kurdun geldiğini ve kendisini yiyeceğini gördüğü halde, herhalde kurt değildir, diye kendini avutan eşek gibi, Aymazoğlu da göz göre göre gelen tehlikeyi görmezden gelir. Frisch, Hitler Almanyası'nı düşünerek yazdığı bu oyunda faşizmin tırmanış nedenini sıradan vatandaşın aymazlığında görür. Sıradan vatandaş pısrıklığı, korkaklığı, iki yüzlülüğü, umursamazlığı ile faşizme kucak açmıştır (Doğan, 2011:1).

Toplumsal yaşam açısından tehlikeli olabilecek kötülüklerin varlığının bilinmesine rağmen, gerçekleşmeyeceğini düşünerek hiç bir şey yapmamak, kötücülerin tüm amaçlarına ulaşmasına olanak vermek anlamına gelmektedir.

5. YAŞAMA YÖNELİK TOPLUMSAL ALGI VE DUYARSIZLIK

İnsan toplumsal bir varlıktır. İnsanın biyolojik gelişim süreci nedeniyle, doğumundan itibaren yardıma muhtaçtır. Bu nedenle üyesi olduğu toplumun bir üyesi olması gerekmektedir. Bu bağlamda ait olduğu toplumun değer yargılarını, düşünce tarzını ve davranış biçimlerini toplumsal kurumlar aracılığı ile öğrenmek zorundadır. İnsanların yaşamı boyunca tutumları ve davranışlar nesilden nesile aktarılmış toplumsal kültürel değerlerden öğrenilmektedir. İnsan davranışlarının hiçbiri tesadüfi değildir. Bireyin kendine özgün olarak toplumsal davranışları edinme süresi bireyin toplumsallaşması anlamına gelmektedir. Bu anlamda Özkalp şöyle demektedir.

Toplumsallaşma bir etkileşim sürecidir. Bu süreçle birey bir kimlik kazanır ve yaşadığı toplumun bir üyesi haline gelir. Toplumsallaşma birey ve toplum arasında bir bağ oluşturur. Bu bağ o kadar kuvvetli ve önemlidir ki ne birey ne de toplum bu bağ olmadan varlığını sürdürmez (Özkalp, 2005:77).

Birey, çevresinde bulunan toplumun diğer üyelerinin davranış ve tutumlarını izleyerek kendi davranışlarını bu yönde düzenlemeye çalışmaktadır. Bireyde toplumun etkisi ile oluşan bu davranışlar onun çevresinde olan

olayları ve insanları algılamasına ve bu yönde tutumlar oluşturmasına neden olmaktadır. Bu bağlamda toplumun yanlış ve ön yargılı algıladığı olaylara yönelik oluşturulan tutumlar bireyi yanılgıya sürüklemektedir. Bu yanılgılar, bireyi aymaz ve olaylara duyarsız bir tutum sergileyecektir. Biedermann und die Brandstifter eserini Türkçeye çeviren İpşiroğlu “Biedermann” kişiliğini “Aymazoğlu” olarak çevirirken eser ve ve bu tür kişilikler için şunları söylemiştir.

“Aymazoğlu bir aptal, bir korkak mı, yoksa bana dokunmayan yılan bin yaşasın hesabı mı yapmakta? Masalda, kurdun geldiğini ve kendisini yiyeceğini gördüğü halde, herhalde kurt değildir, diye kendini avutan eşek gibi, Aymazoğlu da göz göre göre gelen tehlikeyi görmezden gelir. Frisch, Hitler Almanyası’nı düşünerek yazdığı bu oyunda faşizmin tırmanış nedenini sıradan vatandaşın aymazlığında görür. Sıradan vatandaş pısrıklığı, korkaklığı, ikiyüzlülüğü, umursamazlığı ile faşizme kucak açmıştır”(Akt: Doğan, 2011:5).

Birey kendi tutum ve davranışlarını edinirken, toplumun etkisi kadar kültürde anahtar bir rol oynamaktadır. Toplumun kültürel öğelerinin bireyin kendi benliğini oluşturmasında ve tutumlar belirlemede çok etkilidir. Çevresel koşullara ve toplumun ihtiyaçlarına yönelik olarak tarihsel süreç içerisinde oluşturulan kültürel öğeler, dinamik olduğu için zamanla değişebilmektedir. Özellikle çağın beraberinde getirdiği teknolojik gelişmeler toplumsal yapıları ve kültürel değerleri değiştirmektedir. Teknolojinin beraberinde getirdiği hızlı iletişim ve ulaşım olanakları bireyleri sürekli bir meşguliyet içerisine sokmaktadır. Birey çağdaş bir yapıya sahip olurken, toplumun kendisine yansıtması olduğu algıların birçoğunun yetersiz izlenimler ve bilinçsiz çıkarımlarla edinilen tutumlar olduğunu fark edemeyecek kadar meşguldür. İşte bu bağlamda kendisi çevresinde olan olaylara duyarsız ve kayıtsız kalabilmektedir. Toplumsal değerleri gerçek özellikleri ile öğrenmeden basmakalıp bir yapıya sahip benlik geliştirmektedir. Böylece, Biedermann kimliğinde olduğu gibi modern ve korkak bir insan tipi ortaya çıkmaktadır. Bu durumda da kötü niyetli kimselerin amaçlarını gerçekleştirmelerini görmezlikten gelerek korkak bir tutum içerisine girmektedirler. Toplumsal duyarsızlık konusunda yazar Canbaz şöyle demektedir.

Bize dokunmayan yılanı Evran olmasına izin vermemeliyiz. O yılanın gün gelip bize sokacağını hatta yutacağını şimdiden düşünmeliyiz. İnsanlar birbirlerine bu yönde eğitilmeliler. Birbirlerine örnek olmalı, birbirlerini cesaretlendirmeliler. Kaldı ki toplumlar değerleriyle, yanlış olana toplu tepkilerle ayakta kalırlar. Böylelikle devamlılıklarını sürdürürler. Bizim gibi köklü toplumların bu toplumsal duyarsızlıktan acilen kurtulması gerekir. Aksi halde yanlışların doğruları götürmesine ramak kalmıştır. Birileri yapar değil, ben yapmalıyım bu ben olabildim dememiz gerekir. Yanlış insanları cesaretlendirmeyelim, yanlışlar doğrulara hükmetmesin. Yanlış bir davranışı gördüğünde, göğsünü gere gere duyarlı davranan, tepki veren, savunan, adam gibi adamlar çoğalsın (Canbaz, 2019: 2)

Çağın hastalığı olan duyarsızlık, yanlış algı sahibi olmak ve topluma, belli gerçekliği olmayan algıların pompalanması sonucu oluşan yargılardır. Bu anlamda bireyler çevresindeki olan bütün olaylara ilgisiz kalmaktadır. Empati kuramazlar. Kendi dışında gelişen olayları görmez ve duymazdan gelir. Dünyada yaşanan tüm kötü olayların günün birinde kendisini ve kendi yaşam alanını da etkileyeceğini düşünmez. Modern birey toplumsal sorumluluktan kaçmaktadır. İnsanları olumsuz yönde etkileyen olayları algılama ve derhal tepki vermek, modern toplumları oluşturan bireylerin zaman kaybı olarak görmesinden ve nasıl olsa biri ilgilenir düşüncesinden kaynaklanmaktadır. Bu tutum bulaşıcıdır ve günün birinde tüm toplumu oluşturan bireyleri etkileyecektir. Toplumlara oluşturan çevresine ve yaşam alanlarına duyarlı bireylerin varlığı, toplumsal yanlış algılamaya, duyarsızlık gibi olumsuzlukları ortadan kaldıracaktır.

6. SONUÇ

Teknolojinin insan yaşamına getirmiş olduğu kolaylıklar, insanları toplumsal sorumluluk almaktan uzaklaştırmıştır. Çok hızlı yayılan zehirli bir gaz etkisi yapan toplumsal duyarsızlık, tarihe bakıldığında her zaman insanlığın başına büyük felaketler getirmiştir. Marx Frisch’in bu eserinde, Alman toplumunun Hitler faşizminin yükselişine nasıl duyarsız kaldığını ve önce kendi toplumuna sonrada tüm dünyada ki insanlığa ne gibi büyük zararlar verdiğini, sadece Fabrikatör Biedermann üzerinden örnek bir anlatımla dile getirmiştir.

Toplumsal duyarsızlıkların, insanlığı ne kadar büyük felaketlere sürükleyebileceği insanlığın tarih sahnesinde yaşanmış bir gerçekliktir. Toplumu oluşturan bireylerin algılarının gittikçe duyarsızlaştığı bir dünya günün birinde yaşanılır olmaktan çıkacaktır. Çünkü her geçen zaman içerisinde kötücüler insanlığın yaşam alanlarını

kendi çıkarları doğrultusunda yok etme içerisindedir. Yaşanan tüm küçük olumsuzlukları ciddiye alarak gösterilecek tepkiler belki de büyük kötü olayların oluşmasının önüne geçecektir. Bu bağlamda her bireyin, gelecekte barış içerisinde bir dünya yaşamı için toplumsal sorumluluk alması gerekmektedir.

Dünyada yaşanan sorunlar artık, her toplumu ilgilendirmektedir. Toplum ve toplumu oluşturan bireylerin her biri her nerede olursa olsun insan yaşamını olumsuz olarak etkileyen olaylara karşı güç birliği yapmalı ve olayların çözümüne katkıda bulunmalıdır. Aksi halde toplumların varlıklarını sürdürmesi olanaksızdır. Yaşanan kötülöklere duyarsız kalan toplumlar, dağılmakta ve yok olmaktadır.

Kötü gelişen olaylara salt kendisine zarar vermeyecek düşüncesi ile duyarsız kalmaya ve tepki vermemeye devam etmek, korkak bir davranış şeklidir. Toplumsal olaylara karşı farkındalık ve duyarlı bir tutum sergilemek, birçok insanın hayatını olumlu yönde değiştirebileceği gibi, toplumların yaşam kalitesini arttıracaktır. Dünyayı her yönüyle yaşanabilir kılmak için tüm insanlığın kendi gücünün farkına varmaları, " bana neciliği" bırakarak olumsuzluklara karşı bir bütün oluşturmaları ve sorumlu davranmaları beklenmektedir.

7. KAYNAKÇA

- Aytaç, Gürsel (2012). "Çağdaş Alman Edebiyatı", 5. Baskı, Doğu Batı Yayınları, Ankara
- Doğan, Yalçın (2011). "Kundakçılar Bizde de Oynadı", Hürriyet Gazetesi 09.Mart 2011
- Frisch, Marx (1963). "Biedermann und die Brandstifter", Suhrkamp Verlag, İlk baskı (Erster Auflage) Frankfurt am Main
- Kunze, Karl /Oblaender, Heinz (1976). "Grundgewissen Deutsche Literatur", 1. Baskı, Ernst Klett Verlag, Stuttgart
- Kuruyazıcı, Nilüfer (2011). "Günlükler 1946-1949 Üzerinden Marx Frisch'i Anlamak",
- Meydan Yıldız, S.G. (2018). "Kültür Sosyolojisinde Methodoloji Tartışmaları: İdeoloji Olarak Kültür ve Eylem Olarak Kültür", Gazi İktisat ve İşletme Dergisi, Sayı 4(3), s: 173- 184), Ankara
- Nürnberg, Helmuth (1995). "Geschichte der deutschen Literatur", 24. Basım, Bayerischer Schulbuch- Verlag, München
- Özkalp, Enver (2005). "Davranış Bilimlerine Giriş", (1-8. Üniteler) A.Ü. Açıköğretim Fakültesi Yayınları, No:722, Eskişehir
- Sebüktekin, Hasan (1994). "Deutsche Sprachgeschichte in Frage und Antwort", Gazi Büro Kitabevi, Ankara
- <https://www.biyografi.net.tr/max-frisch-kimdir/>, Erişim Tarihi: 23.05.2020
- https://tr.wikipedia.org/wiki/Max_Frisch, Erişim Tarihi: 25.05.2020
- <http://www.duyurugazetesi.com.tr/toplumsal-duyarsizlikta-nereye-kosuyoruz-7390yy.htm>, Erişim Tarihi: 30.05.2020
- <http://www.tpocg.org/blog/toplumsal-sorunlara-duyarsizligin-nedeni-seyirci-etkisi>, Erişim Tarihi: 30.05.2020

Asgari Gelir Desteği İle Türkiye’de Yoksulluğun Giderilmesi

Dr. Öğretim Üyesi Duygu YÜCEL¹

¹Trakya Üniversitesi/Edirne Sosyal Bilimler MYO, Muhasebe ve Vergi Uygulamaları, duyguyucel@trakya.edu.tr,
Orcid: 0000-0002-2665-6732

Özet: Günümüzde yaşanan küresel ekonomik krizler, ekonomik büyümelerin istihdam yaratamaması, güvencesiz ve esnek istihdam koşullarının oluşması, tüketim alışkanlıklarının değişmesi, gelir dağılımında adaletsizlik, kayıt dışı istihdamın varlığı, tarım kesiminin çözülmesi, göç ve terör olguları, tüm dünyada olduğu gibi Türkiye’de de yoksulluğun derinleşmesine ve kalıcı hale gelmesine neden olmuştur. Günden güne daha ciddi bir hal alan yoksulluk olgusu, kendine özgü bir davranış modeli de geliştirmiştir. Yoksul bireylerin kendilerine ait olan bu davranış modeli, yoksulluk kültürünün oluşmasını sağlamaktadır. Bu şekilde öncelikli sorunlardan biri olan yoksulluk probleminin, acil bir şekilde çözüme kavuşturulması gereklidir. Bu kapsamda Asgari Gelir Desteği yöntemi Türkiye’de uygulanabilir. Ayrıca bu yöntemin istihdam sağlamaya yönelik faaliyetlerle birlikte yürütülmesi, çözümü kalıcı hale getirebilecektir. Asgari Gelir Desteği, geliri belli bir düzeyin altında bulunan ihtiyaç sahiplerine, düzenli ve nakit olarak kamu kaynaklarından sağlanacak gelir desteği uygulamasıdır. Uygulanacak olan gelir garantisinin, yoksul bireyin belli bir güvenceye ve asgari düzeyde maddi yaşam hakkına sahip olmasına yetecek miktarda olması gerekmektedir. Bu destek yoksul bireye temel bir güvence oluşturacağı için, hayata karşı kaybettiği güveni tekrar elde etmesini, ekonomik ve toplumsal hayata katılmasını sağlayacaktır. Bu çalışmada yoksulluğu giderme ve yoksul bireye gelir güvencesi sağlama açısından Asgari Gelir Desteği, bir yöntem olarak sunulmuş ve teorik olarak incelenmiştir.

Anahtar Kelimeler: Gelir Dağılımı, Yoksulluk, Asgari Gelir Desteği.

With Minimum Income Support Poverty Alleviation in Turkey

Abstract: Nowadays experienced global economic crisis, the inability to create jobs economic growth, the formation of precarious and flexible employment conditions, changing consumer habits, income distribution injustice, undeclared presence of employment, dissolution of the agricultural sector, migration and terrorism cases, as well as all over the world and in Turkey poverty deepening and made it permanent. The phenomenon of poverty, which is becoming more serious day by day, has also developed a unique behavior model. This behavioral model, which belongs to the poor individuals, creates a culture of poverty. In this way, the poverty problem, which is one of the primary problems, needs to be resolved urgently. In this context, minimum income support method applied in Turkey. In addition, carrying out this method together with activities aimed at providing employment will make the solution permanent. Minimum Income Support is the application of income support to be provided from public sources regularly and in cash to those in need whose income is below a certain level. The income guarantee to be applied should be sufficient for the poor individual to have a certain amount of security and a minimum right to life. Since this support will constitute a basic guarantee for the poor individual, it will enable it to regain its confidence in life and to participate in economic and social life. In this study, Minimum Income Support is presented as a method and theoretically examined in order to eliminate poverty and provide income assurance to the poor.

Keywords: Income Distribution, Poverty, Minimum Income Support.

1. GİRİŞ

Neo liberal ekonomik düzen içinde yoksulluğun giderek artan eğilimi, çalışmayan yoksullar kadar çalışan yoksulların da ortaya çıkması, ekonomik büyümenin yeterince istihdam yaratamaması, geçim düzeyinin gittikçe düşmesi gibi sorunlar, bir sosyal hak olan insan onuruna yakışır yaşam standardına ulaşma konusunu gözler önüne sermiştir. Bu bağlamda hükümetler, yoksulluğu ve onun yarattığı ekonomik ve sosyal boyutlu sorunları çözmek için politikalar geliştirmek zorunda kalmışlardır. Birçok Avrupa ülkesi yoksulluğu bir kader olarak görmekten vazgeçerek, yoksullukla mücadeleyi bir hak ve görev olarak kabul etmiştir.

Özellikle Türkiye’de 1990’larda yüzeye çıkan yoksulluk sorunu, acil çözüm bulunması gereken sorunlardan biri haline gelmiştir. Liberal politikalar, esnek istihdam, göç, terör, gelir dağılımındaki sorunlar, kayıt dışı istihdam, yüksek oranlı işsizlik yoksulluğun en temel nedenlerindedir. Makro anlamda bu sorunları çözmeden yoksulluğu ortadan kaldırmak çok da olası değildir. Ancak en azından yoksul birey ve grupların mağduriyetlerini çözmek mümkündür.

Bu amaçla başta Avrupa ülkeleri olmak üzere birçok ülke, aynı ve nakdi yardım programları oluşturmuş, sosyal güvenlik sistemlerini daha etkin hale getirmiştir. Bu uygulamalardan biri de Asgari Gelir Desteği uygulamasıdır.

Yoksul birey ve gruba sağlanan sürekli gelir ile bireyin temel hak olan yaşam hakkını devam ettirmesine olanak sağlanmaktadır.

Türkiye’de uygulamada olan Asgari Gelir Desteği bulunmamakla birlikte, Asgari Gelir Desteğine benzer uygulamalar söz konusudur. Sürekli ve küçük miktarda sağlanan gelir desteğinin, yoksulluğu azaltmada etkili olabileceği, özellikle de çaresizliği giderebileceği şüphesizdir. Ancak bu gelir desteğinin işgücü piyasasına girişi özendirici nitelikte olması gerekmektedir.

2. KAVRAMSAL YAKLAŞIM

Türkiye’de yoksulluk ile mücadelede girmeden önce yoksulluk ve Asgari Gelir Desteği kavramlarının ne olduğu konusuna kısaca değinmek gerekmektedir.

2.1. Yoksulluk Kavramı

Maddi ve maddi olmayan denilebilen her iki durumu da kapsayan yoksulluk kavramı, bu özelliğinden dolayı çok çeşitli yönlerden tanımlanabilmektedir. Ayrıca boyutunun, ölçüm yöntemlerinin, algılanma biçiminin toplumdan topluma farklılık göstermesi yoksulluk tanımını zorlaştırmakta ve kesin bir tanım yapılmasını engellemektedir.

Türkiye İstatistik Kurumu (TÜİK)’e göre dar anlamda yoksulluk, açlıktan ölme ve barınacak yeri olmama durumudur. Geniş anlamda yoksulluk ise bireylerin gıda, giyim ve barınma gibi imkânlarının aslında yaşamlarını devam ettirmeye yettiği, ancak toplumun genel düzeyinin gerisinde kaldığı durumu ifade etmektedir (Ensari, 2010: 9). Dünya Bankası yoksulluğu asgari yaşam standardına erişememe durumu olarak tanımlamaktadır. Temel ihtiyaçları karşılayamamanın yanında yeterli eğitim alamama, sosyal güvenceye sahip olamama, sosyal ve kültürel etkinlikler içinde yer alamama, sosyal ilişkilerin zayıf olması gibi maddi olmayan yoksulluk durumları da manevi yoksulluk kavramını ortaya çıkarmıştır (Kulaksız, 2014: 93). Diğer önemli yoksulluk kavramları da mutlak ve görece yoksulluktur. Mutlak yoksulluk, bireyin asgari düzeyde sadece biyolojik olarak yaşamını sürdürebilecek gelir düzeyini bile yakalayamaması durumudur (Odabaşı, 2009: 15). Görece yoksulluk ise toplumun genel düzeyine göre diğer bir deyişle toplumun ortalama refah düzeyine göre, belli bir sınırın altında gelir veya harcamaya sahip olma durumunu ifade etmektedir (TÜİK, 2013).

Mutlak ve görece yoksulluk kavramlarının haricinde de birçok açıdan yoksulluğu tanımlamak mümkündür. Geniş bir anlama sahip olan yoksulluk olgusu, gelir durumu, işsizlik, göç, ekonomide meydana gelen konjonktürel dalgalanmalar, yaşam şekli, eğitim ve sağlığa erişim durumu, siyasi karar alma sürecine katılabilme ve temsil edilebilme, kültürel imkânlara erişme, mal ve mülk edinebilme gibi birçok farklı durumdan etkilenmekte ve birçok farklı türe bürünebilmektedir. (Çelik, Vural ve Tuncer, 2017: 43-44). Tablo 1’de yoksulluğun farklı boyutları ve tanımları bir bütün halinde verilmiştir.

Tablo 1: Yoksulluk Türleri

YOKSULLUĞUN TÜRÜ	YOKSULLUĞUN TANIMI	YOKSULLUĞU AZALTMANIN AMACI
Mutlak Yoksulluk	Yaşamak için gerekli olan fiziki ihtiyaçları karşılayan kaynaklardan yoksun olma.	Temel ihtiyaçların karşılanması
Görece Yoksulluk	İçinde yaşanılan topluma göre normal kabul edilen bir hayat sürmek, toplumda kendisine biçilen rolleri oynayabilmek ve toplumsal ilişkilere katılabilmek için gerekli olan yaşam standartlarından yoksun olma	Toplumdaki diğer bireylere denk/eşit olma
Objektif Yoksulluk	Tespit edilebilir ve doğruluğu kanıtlanabilir bir standart ya da standartlar setinin aşağısında kalma durumu	Bireylerin standartların üzerine çıkarılması
Subjektif Yoksulluk	Kişilerin ya da hane halkının kendileri için uygun görecekları belirli bir tatmin düzeyini sağlamaya yetecek bir gelire	Birey tercihleri esas alınarak oluşturulan asgari ihtiyaçların

	sahip olamamaları	karşılanması
Gelir Yoksulluğu	Satın alma gücünden yoksun olma veya bir nevi parasızlık	Satın alma gücünün artırılması
İnsani Yoksulluk	Bireyin insan olarak toplumsal hayata katılabilmesi veya insanca yaşam için gerekli olan iktisadi, sosyal ve kültürel temel olanaklardan yoksun olması	Eğitim, sağlık vb. hizmetlere ulaşımın ve kalitenin artırılması
Kırsal Yoksulluk	Kırsal alanda geçinme olanaklarının ve umudunun yitirilmesi	Kırsal alandaki gizli işsizliğin önlenmesi
Kentsel Yoksulluk/Yeni Yoksulluk	Kent özelinde yaşanan yoksulluk	Kentlere göçün önlenmesi
Geçici Yoksulluk	Kısa vadeli ve kalıcı olmayan yoksulluk	Konjonktürel dalgalanmaların asgarileştirilmesi ve sigorta düzenlemeleri
Kronik Yoksulluk/Ultra Yoksulluk	Yoksulluğun bireylerin yaşamlarında uzun süre etkili olarak kalıcı hale gelmesi	Yoksulluğun nesilden nesile geçişini önleme
Bağımlı Olma	Hayatını sürdürebilmek için başkalarının yardımına muhtaç olacak şekilde yaşam için elzem olan varlıklardan yoksun olma	Kendi kendine yeterlilik
Sosyal Dışlanma	Kişiyi/aileyi ekonomik ve sosyal faaliyetlerden izole eden yoksunluk ve marjinalleşme süreci	Toplumsal dışlanmanın önlenmesi
Yetenek Yoksunluğu/ Kapasite Yoksunluğu	Yeterli bir yaşam standardı sürdürmek ve medeni, siyasi, ekonomik ve sosyal haklardan yeterince yararlanabilmek için gerekli olan güç, güvenlik, tercih, olanak ve yeteneklerden yoksun olma	İnsani gelişim
Yoksulluk Kültürü	Yoksulluğa maruz kalmış grupların ortak inanç, değer ve kültürlerinin tarihi süreç içinde kurumsallaşması	Marjinalleşme, çaresizlik, dışlanma vb. önlenmesi

Kaynak: Çelik, Vural ve Tuncer (2017:44-45).

2.2. Asgari Gelir Desteği Kavramı

Negatif Gelir Vergisi ya da vatandaşlık geliri olarak da adlandırılan Asgari/Minimum Gelir Desteği, belli bir seviyenin altında gelire sahip olan bireylere, kamu kaynaklarından düzenli olarak aktarılan nakit gelir transferini ifade etmektedir (Coşkun, Güneş ve Ortakaya, 2011: 131). Minimum gelir kavramından ilk kez 1526 yılında Juan Luis Vives “Yoksullara Yardım Üzerine” isimli kitabında bahsetmiş ve dünyanın tüm insanlara ait olduğunu, mülkiyet sahibi olanların yoksullara yardım etmesi gerektiğini ifade etmiştir (Yapıcı ve Karabulut, 2018: 354). Kavram ikinci olarak 1791 yılında Thomas Paine tarafından “İnsan Hakları” isimli kitabında kullanılmıştır (Coşkun vd., 2011: 131). “Yoksul ve sigortalı olmayan bireylere basit bir bağış yapılmasını temel bir görev” olarak belirtmiştir (Yapıcı vd., 2018: 354). 1946 yılında Geroge Stigler, belirli bir gelir düzeyinin altında gelire sahip olanlara, devlet tarafından ödeme yapılmasını ifade eden bir gelir vergisi teorisini ifade etmiştir. Milton Friedman ise bu konuya 1962 yılında değinmiş ve nakit gelir desteğini öne süren Nakit Gelir Vergisi kavramından bahsetmiştir (Coşkun vd., 2011: 132). Uygulamadaki tarihsel örnekler ise şunlardır: İngiltere’de 16.Yüzyıl Elizabeth döneminde uygulanan İngiliz Fakirleri Koruma Yasası, 1961 yılında Danimarka’da uygulanan Social Bistand, 1963 yılında Hollanda’da uygulanan Algemene Bijstand, 1974 yılında Belçika’da uygulanan Minimex, 1988 yılında Fransa’da uygulanan Revenue Minimum d’Insertion, İspanya’da 1980-1990 yılları arasında uygulanan yasalar (1988 yılında Bask Bölgesi, 1990’da Katalonya ve diğerleri) ile Portekiz’de 1997 yılında ve Almanya’da 19. Yüzyılda uygulanan yoksul yardımı uygulamaları bunlardan birkaçıdır (Avrupa Birliği Türkiye Delegasyonu, 2012: 3; Erdem, 2006: 1).

Asgari Gelir Desteği toplum yararı için çalışma ya da eğitim alma gibi bir takım koşullara bağlı olarak verilebileceği gibi, hiçbir koşul da istenmeyebilir. Genellikle devlet tarafından hiçbir şart (örneğin, daha önce çalışıp çalışmadığı, prim ödeyip ödemediği, herhangi bir sosyal statüye sahip olup olmadığı gibi) aranmadan verilmektedir. Asgari Gelir Desteği uygulaması hak temelli olup, amacı yoksul bireyi, yaşamını sürdürebilmesi için gerekli olan minimum yaşam seviyesinin üzerine çıkarabilmektir. “Ademi merkezi yapı”ya sahip olan uygulamada kural ve kriterler mevcut olup, merkezi hükümet tarafından belirlenmektedir. Yardım alabilme konusunda hak sahibi olma ve seçilebilme kriterleri oldukça önemlidir. Eğer yoksullukla mücadele etmek isteniyor ise bu tarz sosyal yardımların hem miktarının artırılması hem de sadece belli bir marjinal grubu değil tüm yoksul bireyleri kapsayıcı biçimde oluşturulması gerekmektedir (Karaaslan, 2020: 19; Coşkun vd., 2011: 132-135).

Uygulamada Güvenceli Asgari Gelir, Negatif Gelir Vergisi, Temel Gelir, Artan Oranlı Destek gibi birçok Asgari Gelir Desteği modeli mevcuttur (Avrupa Birliği Türkiye Delegasyonu, 2012: 5-6).

Asgari Gelir Desteği neredeyse her Avrupa ülkesinde uygulanmaktadır. Özellikle Avrupa Birliği (AB) ülkeleri sosyal koruma ve sosyal içerme politikaları kapsamında, vatandaşlarına işsizlik yardımı, aile ve çocuk parası, sakatlık yardımı gibi farklı fayda programları ve asgari gelir destekleri sağlamak amacıyla bir takım önlemler almaktadır. Asgari gelir planlarının hedefi çalışma çağındaki insanlardır. Bu şekilde geliri sürdürmeyi, eşitsizlikleri gidermeyi ve yoksulluğu azaltmayı amaçlayan AB, hiçbir finansal desteğe sahip olmayan bu insanlar ve onların bakmakla yükümlü oldukları kişiler için, asgari bir yaşam standardı oluşturmak istemektedir (European Commission (EC), 2019).

Avrupa Konseyi üyesi ülkeler tarafından kabul ve taahhüt edilen Avrupa Sosyal Şartı (Avrupa Sosyal Haklar Sözleşmesi), 1961 yılında imzalanmış ve 1965 yılında yürürlüğe girmiştir (Erdoğan, 2008: 123). Avrupa Sosyal Şartı, çalışma hakkı, sosyal güvenlik hakkı, adil ücret hakkı gibi temel sosyal ve ekonomik hakları koruyan, medeni ve politik hakları garanti eden Avrupa İnsan Hakları Sözleşmesi’ni takviye eden bir Avrupa Sözleşmesidir. Buna göre bütün insanlara ırk, cinsiyet, renk, din siyasi görüş, soy, sosyal köken ayrımı yapılmaksızın, tüm sosyal haklardan yararlanma imkânı sağlanacaktır (Sarmış ve Şahin, 2014: 24). Türkiye Avrupa Sosyal Şartı’nı 1989’da imzalamıştır. Daha sonra 2 Nisan 1996 yılında Şart, Gözden Geçirilmiş Avrupa Sosyal Şartı olarak yeniden oluşturulmuş, 6 Ekim 2004 ‘de bazı maddelerine çekince konularak kabul edilmiş, 27 Haziran 2007’de onaylanmış ve 1 Ağustos 2007’de yürürlüğe girmiştir (Sarmış ve Şahin, 2014: 25-26).

Ayrıca 1986 yılında Belçika’da kurulan “Temel Gelir Avrupa Ağı (Basic Income European Network-BIEN)”, yoksul bireylere belli bir gelir sağlanması konusundaki tüm düşünce ve eylemleri “Temel Gelir” kavramı altında toplamıştır (Yapıcı ve Karabulut, 2018: 355-356). Avrupa Birliği Komisyonu asgari gelir planı ile ilgili olarak “Avrupa Asgari Gelir Ağı (EMIN) ve Avrupa Referans Bütçeleri Ağı” olmak üzere iki ağ kurmuştur (EC, 2019).

Bunun yanı sıra, 1990 yılında AB üyesi ülkeler arasında, “Sosyal Korumaya İlişkin Karşılıklı Bilgi Sistemi (Mutual Information System on Social Protection-MISSOC)” kurulmuş ve sosyal koruma hakkında sürekli bilgi alış-verişi sağlamayı amaçlamıştır (EC, 2010).

AB Asgari Gelir Uygulaması ile ilgili olarak 2-3 Temmuz 2019 tarihinde Yunanistan’da ilk Yapılandırılmış Diyalog toplantısı gerçekleştirilmiştir. Toplantının amacı Avrupa Sosyal Haklar Sütununun 14. Prensibinin gerçekleştirilmesini sağlamak amacıyla ülkelerin asgari gelir ile ilgili deneyimlerini araştırmak ve paylaşmaktır (EC, July 2019). Bunun için yeterli ve erişilebilir bir asgari gelir sağlama planı oluşturulmasına imkân verilmiştir. Asgari Gelir uygulaması ile ilgili İkinci Yapılandırılmış Diyalog, 14-15 Kasım 2019’da Malta’da yapılmıştır. Rapor ulusal asgari gelir planlarını ve uygulama yöntemlerini tasarlama amacı içermektedir (EC, November 2019).

Ayrıca AB ülkelerinde uygulanan Asgari Gelir Desteği uygulamaları büyük ölçüde istihdamı teşvik eder niteliktedir. Örneğin İngiltere’de kendisinin ve/veya eşinin haftada belli bir saat aralığında çalışıyor olması yardımı hak etmesinin temel koşullarından biri olmaktadır (Karaaslan, Kış 2015: 30).

3. TÜRKİYE’DE YOKSULLUĞUN GÖRÜNÜMÜ

Türkiye’de yoksulluk sorunu özellikle 1990’lı yıllarda gündeme gelmiştir. 24 Ocak 1980 Kararları ile birlikte dışa açık büyüme modeline geçilmiş, neo-liberal politikalar benimsenmiş ve Türkiye’de yeni bir dönem başlamıştır. Yeni neo-liberal dönemde finansal liberalizasyon önem kazanırken devlet küçülmüş, piyasa hâkimiyeti ön plana çıkmıştır. Küreselleşme, yapılan özelleştirme politikaları, istihdamın görünümünü değiştirmiş, güvenli istihdamı azaltmış, kayıt dışılık ve esnek istihdam gibi uygulamaları yaygınlaştırmış, işsizlik ve yoksulluk sorununun fark

edilir olmasını sağlamıştır. 1990'lı yıllarda yaşanan ekonomik krizler ve 1999 Depremi, ardından gelen işsizlik, yüksek enflasyon, adaletsiz gelir dağılımı yoksullukla mücadeleyi ön plana çıkarmıştır (Özaydın, 2014: 102,104; Şentürk, 2014: 289). Ayrıca süreç içerisinde ücretlerin düşük olması da yeni bir yoksulluk kavramı yaratmış “çalışan yoksullar” ortaya çıkmıştır (Şentürk, 2014: 294).

Türkiye’de yapılan sosyal yardımlara ve sosyal hizmet harcamalarına rağmen, yoksulluk oranındaki artış ciddi boyutlara ulaşmaya devam etmektedir. Birincil gelir dağılımını etkileyen büyüme, kalkınma, istihdam ve fiyat politikaları yoksullukla mücadele etme amacıyla tam olarak örtüşmemektedir. Özellikle 2001-2008 yılları arasında uygulanan büyüme politikaları yeterince yatırım ve üretim artışı sağlayamamış ve dolayısıyla istihdam yaratamamıştır (Bedir, Ocak 2012: 100-101).

TÜİK tarafından yapılan 2002-2015 Yoksulluk Çalışmasında 2009 yılı için gıda yoksulluğu %0,48; gıda + gıda dışı yoksulluk %18,08; harcama esaslı göreceli yoksulluk oranı ise %15,12 olarak gerçekleşmiştir (TÜİK, Yoksulluk sınırı yöntemlerine göre fert yoksulluk oranları 2002-2015). TÜİK 2015 Yoksulluk Çalışmasında, satın alma gücü paritesine göre kişi başı günlük 2,15 dolar sınırında yoksulluk oranı %1,68 iken; kişi başı günlük 4,3 dolar sınırında bu oran %1,58 olarak gerçekleşmiştir (TÜİK, 18 Ekim 2016).

TÜİK 2018 yılı Gelir ve Yaşam Koşulları Araştırması’na göre Türkiye’de göreceli yoksulluk oranı bir önceki yıla göre 0,4 puan artarak %13,9 olarak gerçekleşmiştir. Finansal sıkıntıya olma durumunu ifade eden maddi yoksunluk oranı ise %26,5 olmuştur. Sürekli yoksulluk oranı 2017’de %14 iken 2018’de %12,7 şeklindedir. Toplumun en zengin %20’sinin toplumun en yoksul %20’sine oranını gösteren P80/P20 oranı, 2018 yılında 7,8’e yükselmiştir. En yüksek gelir grubunun toplam gelirden aldığı pay %6,1’dir (TÜİK, 18 Eylül 2019).

TÜİK 2019 İşgücü İstatistiklerine göre ise Türkiye genelinde işsizlik oranı bir önceki yıla göre 2,7 puanlık artış ile %13,7; tarım dışı işsizlik oranı 3,1 puanlık artış ile %16,0 olarak gerçekleşmiştir (TÜİK, 20 Mart 2020). TÜİK Nisan 2020 İşgücü İstatistiklerine göre ise işsizlik oranı geçen yılın aynı dönemine göre 0,2 puanlık bir azalışla %12,8 olarak gerçekleşmiştir. Nisan 2020 döneminde kayıt dışı çalışanların oranı %28,7; tarım dışı sektörde kayıt dışı çalışanların oranı ise %17,3 olmuştur. Ayrıca genç nüfusta gerçekleşen işsizlik oranı da geçen yılın aynı dönemine göre 1,2 puanlık bir artışla %24,4; istihdam oranı ise 7 puan azalarak %26,1 şeklinde gerçekleşmiştir. İşgücüne dâhil olmayanların sayısı Nisan 2020’de geçen yılın aynı dönemine göre 4.072 artarak 32.932 bin kişi olmuştur (TÜİK, 10 Temmuz 2020). Bu kadar sayıda kişinin işgücüne dâhil olmaması ekonominin üretim yönünü zayıflatarak yoksulluğu beslemektedir.

Tablo 2: İşteki Duruma Göre Kayıt Dışı İstihdam 2007-2017 (%)

Yıllar	Ücretli veya maaşlı	İşveren	Kendi hesabına	Ücretsiz aile işçisi	Tarım	Tarım dışı	Toplam
2007	29,4	27,8	65,9	95,8	88,1	32,3	45,4
2008	26,4	27,9	66,9	95,5	87,8	29,8	43,5
2009	26,2	26,9	68,4	91,4	85,8	30,1	43,8
2010	25,7	25,0	68,0	92,2	85,5	29,1	43,3
2011	25,1	22,4	65,6	92,2	83,9	27,8	42,0
2012	22,0	18,6	64,4	91,7	83,6	24,5	39,0
2013	19,9	15,3	62,5	91,9	83,3	22,4	36,7
2014	19,6	14,7	61,0	89,3	82,3	22,3	35,0
2015	18,3	12,9	60,1	89,9	81,2	21,2	33,6
2016	18,2	15,9	61,7	90,7	82,1	21,7	33,5
2017	18,3	17,0	63,3	90,8	83,3	22,1	34,0

Kaynak: T.C. Kalkınma Bakanlığı, On Birinci Kalkınma Planı (2018: 40).

Tablo 2’de görüldüğü üzere kayıt dışı çalışan oranı 2017 yılı için tarımda %83,3; tarım dışında %22,1 olarak gerçekleşmektedir. Toplamda 2007 yılında %45,4 olan bu oran 2017’ye gelindiğinde %34,0’a gerilemiştir. Ancak yine de oldukça yüksek bir oran söz konusu olmaktadır. Bir diğer önemli husus da ücretsiz aile işçisi olarak çalışan kesimin oranının yüksekliğidir. Hiçbir gelir elde etmeden çalışan bu kesimin 2007 yılındaki oranı %95,8 iken 2017 yılına gelindiğinde çok küçük bir azalma ile %90,8 olduğu görülmektedir. Kayıt dışı çalışma bir yandan sosyal güvenlik sisteminde gelir kaybına yol açarken, diğer yandan da gelir azaltıcı-gider arttırıcı sosyal risklerle karşılaşmaları durumunda yoksulluklarının artmasına ve dolayısıyla sosyal dışlanmaya maruz kalınmasına yol açmaktadır (T.C. Kalkınma Bakanlığı, On Birinci Kalkınma Planı, 2018: 39).

Toplumun eğitim düzeyi de yoksulluğun en önemli nedenlerinden biridir. Eğitim düzeyinin yetersizliği bireyin 21. Yüzyıl için gerekli vasıflara ulaşamamasına yol açmaktadır. Düşük eğitim, vasıfsız işler ve düşük gelir düzeyi bireyi yoksulluğa itmektedir. TÜİK Nisan 2019- Nisan 2020 İşgücü İstatistiklerine bakıldığında, yükseköğretim görenlerin istihdam oranı %65,6 iken, lise eğitimi alanların %40,5; lise altı eğitim görenlerin ise %36,0 olduğu görülmektedir. Eğitim düzeyi arttıkça istihdam oranı da artmaktadır (TÜİK, Nisan 2019-Nisan 2020 İşgücü İstatistikleri).

TÜİK Adrese Dayalı Nüfus Kayıt Sistemi Sonuçlarına göre, çalışma çağındaki nüfus oranı 2019 yılında %67,8'dir. Çalışan birey başına düşen çocuk ve yaşlı birey sayısını gösteren Toplam Yaş Bağımlılık Oranı 2019'da %47,5'e yükselmiştir. Aynı araştırma sonuçlarına göre 2019'da il ve ilçe merkezlerinde yaşayanların oranı %98,8; köy ve beldelerde yaşayanların oranı ise %7,2 olarak bulunmuştur (TÜİK, 04 Şubat 2020). Türkiye'de köylerden kentlere yapılan göçlerin bu kadar yüksek oranda gerçekleşmesi, yoksulluğu etkileyen bir diğer göstergedir.

Görüldüğü üzere kayıt dışı çalışmanın yaygın olması, eğitim düzeyinin ve elde edilen gelirin düşük olması, işsizlik oranının yüksekliği ve işsiz kalma süresinin uzunluğu Türkiye'de yoksulluk olgusunu ciddi boyutlara taşımakta (Bedir, 2012: 102) ve tüm bu yaşananlar yatırım dengesizliğine ve tekrar işsizliğe yol açarak yoksulluğu beslemeye devam etmektedir.

4. TÜRKİYE'DE YOKSULLUK İLE MÜCADELEDE ASGARİ GELİR UYGULAMASI

4.1. Türkiye'de Sosyal Yardım Sistemine Kısa bir Bakış

Sosyal devlet ilkesi gereğince “kişi, kurum ve toplumun baş edemediği yerde önleyici ve/veya yerine geçici çözümler sunmak” devletin görevleri arasında bulunmaktadır. Vergilerle finanse edilen ve karşılık olmaksızın yapılan sosyal yardımlar “geçinme güclüğü içinde olan ve toplumdan dışlanma tehlikesiyle karşılaşan kişilerin, yoksul veya az gelirli insanların veya sosyal grupların yaşamlarının güvence altına alınması konusunda, kamu sorumluluğu ilkelerinin kabul edilmesinden doğmaktadır” (DPT, 2001: 51). Türkiye'de Aile ve Sosyal Politikalar Bakanlığı kurularak kurumsal birliktelik sağlanmaya çalışılmıştır (Coşkun vd., 2011:136). (Bakanlığın adı daha sonra Aile, Çalışma ve Sosyal Hizmetler Bakanlığı olarak değiştirilmiştir).

Türkiye'de yoksullukla mücadelede ilk sosyal yardım düzenlemesi 1976 yılında çıkarılan, emeklilik hakkına ya da geçimlerini sağlayacak kimseye sahip olmayan, 65 yaş üzeri yoksul, yaşlı ve çalışamayacak durumda olan özürlihlere belirli bir aylık bağlanmasını öngören 2022 sayılı Kanun'dur. Bir sonraki düzenleme 29.05.1986 tarih ve 3294 sayılı Sosyal Yardımlaşmayı ve Dayanışmayı Teşvik Kanunu'dur. Bu Kanun hükümlerince kurulan Sosyal Yardımlaşma ve Dayanışma Teşvik Fonu, 01.12.2004 tarihinde yürürlüğe giren 5263 sayılı Kanun ile Sosyal Dayanışma ve Yardımlaşma Genel Müdürlüğü'ne dönüştürülmüştür. Ayrıca Dünya Bankası ile Türkiye arasında 14 Eylül 2001'de Sosyal Riski Azaltma Projesi (SRAP) imzalanmıştır. SRAP, Hızlı Yardım, Şartlı Nakit Transferi (ŞNT), Yerel Girişimler ve Kurumsal Gelişim şeklinde farklı yardım uygulamalarından oluşmaktadır. 5510 sayılı Sosyal Sigortalar ve Genel Sağlık Sigortası Yasası ile farklı kural ve uygulamalarla hizmet veren üç sosyal kurum olan Emekli Sandığı, Bağkur ve SSK tek bir rejim altında toplanmış, tüzel kişilikleri sonlandırılmış ve tüm mal varlıkları Sosyal Güvenlik Kurumu (SGK)'ya devredilmiştir (Metin, 2012: 139-142). 5502 ve 5510 sayılı Kanunlarla adil, kolay ulaşılabilir, mali açıdan sürdürülebilir ve yoksulluğa karşı etkin bir koruma sağlayan bir koruma sistemi hedeflenmiştir. Birleşmiş Milletler Sürdürülebilir Kalkınma Zirvesi'nde kabul edilen 2030 Kalkınma Hedeflerinde de yoksullukla mücadeleye yer verilerek, ortadan kaldırılmasının kalkınma için vazgeçilmez olduğu vurgulanmıştır (T.C. Kalkınma Bakanlığı, 11. Kalkınma Planı, 2018: X). Ayrıca 1990'lı yılların sonunda Sivil Toplum Kuruluşları (STK)'lar da yardım sürecinde aktif rol almaya başlamıştır (Şentürk, 2014:292).

Günümüzde sosyal koruma adına geline durumunu rakamlar açısından değerlendirecek olursak; Tablo 3 ve Tablo 4'de sosyal koruma harcamalarının GSYH'ye oranı ve harcama rakamları verilmiştir.

Tablo 3: Sosyal Koruma Harcamalarının GSYH'ye Oranı 2017- 2018 (%)

	2017	2018
Sosyal koruma harcamaları toplamı	12,3	11,9
İdari masraf ve diğer harcamalar	0,2	0,2
Sosyal koruma yardımları toplamı	12,1	11,7
Hastalık/sağlık bakım	3,3	3,3
Engelli/malûl	0,4	0,4
Emekli/yaşlı	5,9	5,7

Dul/yetim	1,4	1,4
Aile/çocuk	0,5	0,5
İşsizlik	0,3	0,3
Sosyal dışlanma b.y.s.	0,2	0,2

Kaynak: TÜİK (12 Aralık 2019).

Tablo 3'e göre, 2018 yılında GSYH'nin %11,9'unu sosyal koruma harcamaları oluşturmuştur. Sosyal koruma yardımlarının GSYH içindeki payı ise %11,7 olarak gerçekleşmiştir. Sosyal koruma harcamaları içinde %5,1 ile en yüksek payı emekli/yaşlılar alırken, bunu %3,3 ile sağlık/hastalık bakımı, %1,4 ile dul/yetim harcamaları izlemektedir.

Sosyal koruma yardımlarının %9'u şartlı olarak verilmiştir. Şartlı verilen yardımlar içinde en büyük payı %37,7 ile aile/çocuk yardımları alırken bunu %28,1 engelli/malül yardımları; %15,5 hastalık/sağlık bakımı yardımları şeklinde gerçekleşmiştir. Sosyal koruma yardımlarının %67,3'ü ise nakdi olarak verilmiştir. Sosyal koruma kapsamında maaş alan kişi sayısı 13 milyon 766 bin kişi olmuştur (TÜİK, 12 Aralık 2019). Görüldüğü üzere Türkiye'de gerçekleştirilen sosyal yardımların çok önemli bir kısmı şartsız ve nakdi olarak verilmektedir.

Tablo 4: Sosyal Koruma Harcamaları 2002-2018 (Milyon TL)

	2002	2006	2010	2014	2015	2016	2017	2018
Sosyal Koruma Harcamaları Toplamı	33 537	84 891	148 450	247 244	280 074	336 520	382 665	442 607
İdari Masraflar ve Diğer Harcamalar	744	1 795	2 205	4 332	5 163	5 744	7 108	6 697
Sosyal Koruma Yardımları Toplamı	32 793	83.096	146 245	242 912	274 912	330 776	375 557	435 910
Hastalık/Sağlık Bakımı	13 994	30 080	49 429	73 322	80 463	91 330	103 077	121 444
Engelli/Malul	782	1 733	4 280	9 251	10 124	11 982	13 317	14 840
Emekli/Yaşlı	13 241	38 222	71 725	117 390	133 515	162 139	184 984	214 133
Dul/Yetim	3 460	9 721	14 148	28 931	32 719	39 615	44 687	52 262
Aile/Çocuk	842	1 956	3 681	7 580	8 901	12 319	14 866	16 986
İşsizlik	84	552	1 624	3 167	5 263	8 172	8 672	10 358
Sosyal Dışlanma B.Y.S.	390	831	1 359	3 271	3 927	5 218	5 853	5 887

Kaynak: T.C. Cumhurbaşkanlığı Strateji ve Bütçe Başkanlığı, Sosyal Koruma ve Gelir Dağılımı Göstergeleri; Sosyal koruma harcamalarının yardım türlerine göre dağılımı, 2000-2018.

Tablo 4'de ise Sosyal Koruma Harcamalarının 2002-2018 yılları arasında gösterdiği değişim verilmektedir. Buna göre, yoksullukla mücadele kapsamında yıllar itibari ile sosyal koruma harcamalarının artma eğiliminde olduğu görülmektedir. 2018 yılında Gayri Safi Yurtiçi Hasıla (GSYH)'da bir önceki yıla göre %2,8 artış yaşanmıştır (TÜİK, 29 Mayıs 2020). Sosyal koruma harcamaları ise 2018 yılında %15,7 artarak 442.607 milyon TL'ye ulaşmıştır. Sosyal koruma harcamalarının aynı dönemde GSYH artışından daha fazla artış gösterdiği görülmektedir. Sosyal koruma yardımlarının toplamı ise 435.910 milyon TL olarak gerçekleşmiştir. Bu sosyal koruma yardımı içinde en büyük payı 214.133 milyon TL ile emekli/yaşlı kesim almaktadır. İşsizlik yardımları ise 10.358 milyon TL'dir. Görüldüğü üzere, Türkiye'de sosyal koruma harcamalarının neredeyse tamamı sosyal koruma yardımları olarak yapılmaktadır. Yapılan yardımlara rağmen yoksullukla mücadelede istenilen sonuca ulaşamamıştır.

4.2. Türkiye'de Asgari Gelir Uygulamasıyla Yoksulluğun Giderilmesi

Yoksullukla mücadelede en önemli politikardan biri hem pasif hem de aktif yönde uygulanan istihdam politikalarıdır. Aktif istihdam politikaları doğrudan işe yerleştirme şeklinde uygulanan politikalar. Pasif istihdam politikaları ise işsiz bireylere gelir desteği sağlamaya yönelik politikalar (Gündüz, 2006: 42). Birçok Avrupa ülkesi, yoksullukla mücadele kapsamında sosyal yardım ve asgari gelir uygulaması konusunda benzer yaklaşımlar içinde olmakla beraber, miktar ve yöntem gibi bir takım farklılıklar geliştirmişlerdir.

Türkiye'de ise sosyal yardım uygulamaları genellikle acıma ve maneviyat duygusu ön plana çıkarılarak yapılmaktadır. Hemşerilik, aynı partiden olma, aynı dini gruba mensup olma, komşuluk, aile ve akraba ilişkileri gibi unsurlar üzerinden yapılan yardımlar ile risk altında bulunan ve yoksul olan bireyler hayata tutunmaktadır (Şentürk, 2014: 289). Ayrıca Türkiye'de yoksullukla mücadele etmek için ayrılan kaynakların yoksul bireylere ulaştırılması da, kanaat önderleri ya da devlet yetkililerinin inisiyatifine bırakılmıştır (Koca, Ağustos 2015: 501).

Türkiye’de her hangi bir kamu kurumunun yardım programından yararlanabilmenin en önemli şartı, her hangi bir sosyal güvenceye sahip olmamaktır. Eğer birey sosyal güvenlik sistemine dâhil ise sosyal yardım kapsamındaki hizmetlerden yararlanamamaktadır. Bu durum farklı bir sorunu da gündeme getirmekte, istihdamın sosyal yardım kriteri dışında bırakılmasına neden olmaktadır (Şentürk, 2014: 294).

Uygulanacak Asgari Gelir Desteği yardımlarının kriterlerinin çok özenli belirlenmesi gerekmektedir. Kimlerin bu destekten yararlanması gerekecek, yardım miktarı ne kadar olacak, yararlanma süresi olacak mı ya da süresiz mi kullanılacak, ikamet ya da vatandaşlık koşulu aranacak mı, yaş koşulu olacak mı şeklindeki soruların cevaplarının dikkatli bir biçimde belirlenmesi ve mağduriyeti giderici kapsamda oluşturulması gerekmektedir.

Türkiye’de bu kriterler kanunlar kapsamında belirlenmiştir. Buna göre destekten yararlanmak için bireyin oturma hakkına sahip olması gerekir. Yaş kriteri ise 5510 sayılı Kanunun “bakmakla yükümlü olunan kişi” tanımına göre, kişilerin en az 25 yaşını doldurmaları halinde programdan yararlanmaya hak kazanmaları şeklinde düzenlenmiştir. Maksimum yaş sınırı ise 2022 sayılı 65 Yaşını Doldurmuş, Muhtaç, Güçsüz ve Kimsesiz Türk Vatandaşlarına Aylık Bağlanması Hakkında Kanun’a göre düzenlenmiştir. Yardım miktarının ise kişinin temel ihtiyaçlarını karşılayacak şekilde belirlendiği görülmektedir (Günder, 2013: 96-98).

Türkiye’de tam anlamıyla birebir uygulanan Asgari Gelir Desteği bulunmamaktadır. Ancak bazı uygulamalar kapsamı bakımından Asgari Gelir Desteği uygulamasına benzemektedir. 5510 sayılı Kanunun 4-1/a Maddesi Kapsamında yapılan aylık ve gelir destekleri (detaylı inceleme için bkz. SGK İstatistik Yıllıkları, 2008-2018), düzenli nakdi bir gelir sağlaması bakımından, Asgari Gelir Desteği uygulamasına benzemektedir. Sosyal Yardım ve Dayanışma Vakfı (SYDV) tarafından verilen parasal yardımlar, Yaşlı ve Özürlü Yardımları, Şartlı Nakit Transferleri (ŞNT) Asgari Gelir Desteği uygulamalarına en yakın olanlardır. Ayrıca çeşitli nedenlerle işsiz kalanlar için uygulanan 4C Statüsü “İstihdam Programlı Asgari Gelir Desteği” için bir örnek teşkil etmektedir. Eşi vefat etmiş kadınlara yapılan düzenli ödemeler, evde bakım hizmetleri, şartlı eğitim ve sağlık yardım programları da Asgari Gelir Desteği uygulamasına benzer uygulamalardır (Karaaslan, 2015: 23-25).

Bilindiği üzere Türkiye’de yoksulluk özellikle çocuklu aileleri etkilemekte, hatta çocuk ve kadın erkeklere oranla daha dezavantajlı duruma gelmektedir. Kadının eğitimsiz olması ve iş hayatına katılamaması, doğurganlık oranını arttırmaktadır. Eğitimin kadını daha bilinçli hale getirerek bu oranı azaltacağı bir gerçektir. Bu nedenle özellikle kız çocuklarında okullaşma oranının artırılması ve dolayısıyla kadının işgücü sürecine dâhil edilmesi yoksullukla mücadelede önem arz etmektedir (Buğra, Keyder ve Erdem, t.y.:11-12).

Asgari Gelir Desteği politikası yoksul bireyleri “yardıma muhtaç zavallı kesim” olmaktan çıkaracaktır. Düzenli nakit gelir desteğini oldukça faydalı alanlarda kullanmak, topluma fayda sağlayacaktır. Özellikle yoksul bölge okullarında verilen bir öğün yemek ve ahevlerinin devamlılığı şeklinde uygulanan önemli sosyal yardımlar gibi. Ayrıca bu destekler piyasa açısından birer satın alma gücü yaratacak, dolayısıyla üretimi ve istihdamı artırıcı bir etki oluşturacaktır (Buğra vd., t.y.: 8-23).

Yoksullukla mücadelede sosyal yardım ve hizmet sisteminin etkinliğinin sağlanması, asgari gelir güvencesinin oluşturulması ve bu yardımların gerçek yoksullara ulaştırılabilmesi de oldukça önemli bir unsurdur. Sosyal yardımların insanları hazır paraya ve çalışmadan yardım almaya alıştıracığı, tembelliğe ve dilencilliğe sevk edeceği şeklinde düşünceler söz konusu olmaktadır. Bu eleştiriler haksız da değildir. Bu nedenle, birçok Avrupa ülkesinde uygulandığı üzere “topluma yararlı faaliyet koşullu gelir desteği” uygulamaları, Türkiye’de de uygulanabilir (Metin, Ocak 2012: 146; Buğra vd., t.y.:21-22).

Ayrıca bu tarz temel gelir uygulamalarının maliyetli oluşu, ücretleri düşürücü etki yaratacağı, istihdam yaratma askısının hükümetler adına yok olacağı şeklinde eleştiriler de yapılmaktadır (Topateş, Temmuz 2012: 144).

Uygulanan temel gelir politikaları, istihdamın bir alternatifi olarak düşünülmemelidir (Topateş, Temmuz 2012: 148). Özellikle uygulanacak olan Asgari Gelir Desteği politikasının istihdam politikaları ile ilişkili olması gereklidir. Çalışmak isteği ve gücünde olup da iş bulamayan ve dolayısıyla yoksullaşan bireylerin, iş aramalarının ve işgücü piyasası ile bağlantılarının devam ettirilmesinin sağlanması gereklidir. Bunun yanı sıra yoksul bireyler iş gücü programlarına da dâhil edilmelidir (Metin, Ocak 2012: 147). Türkiye’de son yıllarda, yoksul bireylerin yapılan cömert sosyal yardımlardan mahrum kalmamak adına, isteyerek istihdam dışında kalma eğilimi içinde bulunabilecekleri kaygısı duyulmaktadır. Bu sorunun giderilmesi amacıyla Ekonomi Koordinasyon Kurulu tarafından Nisan 2010’da “Sosyal Yardım-İstihdam İlişkisinin Kurulması Eylem Planı” oluşturulmuştur. Buna göre yardım başvurusunda bulunan ve yardım alan hanelerde çalışabilir durumda olan tüm bireylerin, İŞKUR veri tabanına kaydedilmesine ve aktivasyon uygulamalarında değerlendirilmesine karar verilerek, uygulama Nisan

2011’de aktif olarak başlatılmıştır (Coşkun, Güneş ve Ortakaya, 2011: 144-145). İstihdamdan kaçınmayı önleyecek diğer önemli bir husus da destek miktarıdır. Asgari Gelir Desteği miktarının, “asgari ücretten” düşük tutulması ve yoksulları tembelleğe itmeyecek şekilde uygulanması gerekmektedir (Metin, Ocak 2012: 147).

5. SONUÇ

Uygulanan Neo-liberal politikalar ve esnek istihdam modelleri öncelikle işsizliğe yol açarak, yoksulluğun derinleşmesine neden olmuştur. Yoksulluk olgusunun ekonomik boyutunun yanında insani ve sosyal boyutunun da mevcut olması, birçok soruna yol açmakta, bireyi savunmasız hale getirmektedir. Bu nedenle çözüm odaklı yaklaşımların sadece ekonomik değil sosyolojik boyutlu da olması gerekmektedir. Bu bağlamda yoksul bireyi hayata bağlayacak temel bir gelire sahip olması, öncelikle yoksulluğun yarattığı dışlanma, özgüven eksikliği, eğitimsizlik gibi sorunların ortadan kalkmasına, insanca yaşama olanaklarının sağlanmasına zemin hazırlayacaktır.

Türkiye’de Asgari Gelir uygulamasının bir sosyal hak olarak düşünülmesi gerekmektedir. Türkiye’deki genel anlayış ne yazık ki, merhamet, acıma duygusu üzerinden yürütülmekte, sorumluluk topluma verilmekte ve bir sadaka kültürü yaratılmaktadır. Yoksullukla mücadelede “vatandaşlık” anlayışı içinde, objektif kriterler doğrultusunda, keyfi uygulamalardan ve siyasi kaygılardan uzak, refah anlayışı içinde, ideal kriterler çerçevesinde ve mağduriyeti giderici biçimde Asgari Gelir Desteği uygulamasının hayata geçirilmesi önemlidir. Risk altında bulunan, gerçek anlamda yardıma muhtaç olan birey ve gruplara ulaşılması da diğer önemli bir husustur. Yoksul bireyin incitilmesine ve dışlanmasına fırsat verilmeksizin, insan onuruna yakışır bir şekilde yaşamasını sağlayacak bir gelir desteği, bireyin özgüvenini destekleyerek sosyal ve ekonomik hayata katılımını sağlayacaktır.

Türkiye’de tam anlamı ile bir Asgari Gelir Uygulaması mevcut değildir. Sosyal hizmet ve sosyal yardım sistemi gelir desteğine benzer aynı ve nakdi yardımlar yapmaktadır. Ancak cömert bir şekilde uygulanan sürekli bir nakit gelir ya da sosyal yardımlar (birkaç kurumdan aldığı düşünülecek olursa) ne yazık ki yoksul bireyi iş gücü piyasasına girmekten alıkoymaktadır. Bu kapsamda özellikle istihdam odaklı gelir desteği uygulamaları, bireyi üretim sürecine dâhil edecek, yoksulluktan kurtulmasına olanak sağlayacaktır. Bu tür bir yaklaşım üretim ve istihdam artışı da sağlayarak, piyasa ekonomisine ivme kazandırmış olacaktır.

Önemli olan yoksul birey ya da grupların, sürekli yardım almasının alışkanlık haline getirilmeden, yoksulluk sürecinden çıkmasına ve hayata tutunmasına yardım edilmesidir. Bireyin başta ekonomik olmak üzere sosyal ve kültürel hayata katılımı, yoksulluğun yarattığı kendine özgü davranış kalıplarından kurtulup, özgüven duygusu kazanmasına yol açacak ve yoksulluk bir üst kuşağa taşınmayacaktır.

Sosyal sağlık sisteminin istikrarlı, siyasi kaygılardan uzak, tüm toplumu kapsayıcı, mağdur, çaresiz birey ve gruplara cevap verebilen bir yapıya dönüştürülmesi, acıma odaklı bireysel yardımlar yerine devletin sorumluluğu altında özellikle topluma yarar sağlayıcı faaliyetlerde bulunmayı, işgücüne dâhil olmayı teşvik edici bir uygulama, yoksullukla mücadelede faydalı olabilecektir.

KAYNAKÇA

- Avrupa Birliği Türkiye Delegasyonu. (2012). Avrupa Birliği’nde Asgari Gelir Programları Raporu. Sosyal Güvenlik Kurumunun Kapasitesinin Artırılması için Teknik Destek Projesi, Türkiye, <https://www.avrupa.info.tr/tr/news/sosyal-guvenlik-kurumunun-kapasitesinin-artirilmesi-projesi-ciktilari-yayinlandi-5005> (01.09.2020).
- Bedir, E. (Ocak, 2012). Yoksullukla mücadelede yeni bir tartışma alanı: Vatandaşlık geliri. Sosyal Güvenlik Dergisi, 1(1), 92-116. www.dergipark.gov.tr/download/article-file/116802 (15.12.2017).
- Buğra, A., Keyder, Ç. Ve Erdem, I. (t.y.). Sosyal yardım uygulamaları ve topluma yararlı faaliyet karşılığında asgari gelir desteği uygulaması. Birleşmiş Milletler Kalkınma Programı (UNDP) için Hazırlanan Rapor. <https://spf.boun.edu.tr/tr/research-reports?page=2> (28.07.2020).
- Coşkun, S. ve Güneş, S. ve Ortakaya, F. (2011). Asgari gelir desteği ve Türkiye’de uygulanabilirliği: bir model denemesi. Gazi Üniversitesi İktisadi ve İdari Bilimler Fakültesi Dergisi, 13(3). 129-158.
- Çelik, K., Vural, İ.Y. ve Tuncer, G. (2017). Dünya’da ve Türkiye’de yoksulluğun genel görünümü: 2002 sonrası döneme ilişkin bir değerlendirme. Recep Tayyip Erdoğan Üniversitesi Sosyal Bilimler Dergisi, 5, 41-79. <https://dergipark.org.tr/tr/pub/rteusbe/issue/32015/331347> (11.08.2020).
- Devlet Planlama Teşkilatı (DPT). (2001). Sekizinci Beş Yıllık Kalkınma Planı Sosyal Hizmetler ve Yardımlar Özel İhtisas Komisyonu Raporu. http://www.sbb.gov.tr/wp-content/uploads/2018/11/08_SosyalHizmetlerveYardimlar.pdf (07.08.2020).
- Ensari, S. (Nisan, 2010). TÜİK’in yoksulluk analizleri üzerine. Güncel, Maliye Finans Yazıları, 24(87), 9-15.

- Erdem, I. (2006). Avrupa’da asgari gelir uygulamaları. Boğaziçi Üniversitesi Sosyal Politika Forumu (SPF) Araştırma Raporu. İstanbul. <https://spf.boun.edu.tr/research-reports?page=2> (28.07.2020).
- European Commission (EC). (2010). Mutual Information System on Social Protection-MISSOC. <https://ec.europa.eu/social/main.jsp?catId=815&langId=en> (01.09.2020).
- EC. (2019). Employment, Social Affairs & Inclusion. Income Support <https://ec.europa.eu/social/main.jsp?catId=1092&langId=en> (24.07.2020).
- EC, (July, 2019). Employment, Social Affairs & Inclusion. Structured Dialogue on Minimum Income. <https://ec.europa.eu/social/main.jsp?langId=en&catId=1092&eventsId=1438&furtherEvents=yes> (27.07.2020).
- EC. (November, 2019). Employment, Social Affairs & Inclusion. Second Structured Dialogue on Minimum Income Implementation. <https://ec.europa.eu/social/main.jsp?langId=en&catId=1092&eventsId=1530&furtherEvents=yes> (27.07.2020).
- Erdoğan, G. (2008). Avrupa sosyal şartı ve gözden geçirilmiş Avrupa sosyal şartı. TBB Dergisi, 77, 123-166.
- Günder, Z. (2013-II). Türkiye için asgari gelir desteği programı önerisi ve yoksullukla mücadelede verimliliği. Ö.F. Çolak (Ed). TISK Akademi, 8(16), 92-118. www.tisk.org.tr (12.08.2020).
- Gündüz, A. Y. (Kış-2006). Türkiye’de yoksullukla mücadele üzerine bir inceleme. Elektronik Sosyal Bilimler Dergisi, 5(15),34-55, ISSN:1304-0278. www.e-sosder.com (28.07.2020).
- Karaaslan, İ. (Kış, 2015). Avrupa Birliği uygulamaları çerçevesinde Türkiye için istihdam odaklı asgari gelir desteği arayışları. İnsan & İnsan, 3, 18-36. www.insanveinsan.org (06.12.2017).
- Koca, M. (Ağustos 2015). Sosyal dışlanma sorunu ve asgari gelir desteğinin gerekliliği. Uluslararası Sosyal Araştırmalar Dergisi, 8(39), 501-510.
- Kulaksız, Y. (Eylül-Aralık, 2014). Yoksulluk bağlamında çocuk işgücü. ÇSGB Çalışma Dünyası Dergisi, 2(3), 91-111. <http://www.calismadunyasi.gov.tr/pdf/sayi5/05.pdf> (07.08.2020).
- Metin, B. (Ocak, 2012). Yoksullukla mücadelede asgari gelir güvencesi: Türkiye’de sosyal yardım ve hizmet sisteminde mevcut durum asgari gelir güvencesi ihtiyacı. Sosyal Güvenlik Dergisi, 2(1), 117-151. www.dergipark.gov.tr/download/article-file/116804 (15.12.2017).
- Odabaşı, F. (Haziran, 2009). Yoksullukla mücadelede istihdamın rolü. BSYD Gen. Md. Sosyal Yardım Uzmanlık Tezi. Ankara. <https://www.ailevecalisma.gov.tr/uploads/sygm/uploads/pages/uzmanlik-tezleri/14-yoksullukla-mucadelede-istihdam-rolu-ferhat-odabasi.pdf> (07.08.2020).
- Özaydın, M.M. (2014). Yoksullukla mücadelede sosyal yardımlara vatandaşlık temelli bir alternatif: Temel gelir. Finans Politik & Ekonomik Yorumlar, 51(589), 93-107.
- Sarmış, İ. ve Şahin, O. (2014). Avrupa Sosyal Şartı. F. Aydın (Ed.). Ankara: T.C. Çalışma ve Sosyal Güvenlik Bakanlığı Yayın No:06. www.ailevecalisma.gov.tr (27.07.2020).
- Şentürk, M. (2014). Türkiye’de kamunun ve STK’ların sosyal yardım uygulamaları: yeni eğilimler ve ihtiyaçlar. Sosyoloji Dergisi, 3(28), 2014/1, 285-307.
- T.C. Cumhurbaşkanlığı Strateji ve Bütçe Başkanlığı. Sosyal Koruma ve Gelir Dağılımı Göstergeleri. <http://www.sbb.gov.tr/sosyal-koruma-ve-gelir-dagilimi-gostergeleri/> (06.08.2020).
- T.C. Kalkınma Bakanlığı. (2018). On Birinci Kalkınma Planı (2019-2023). Sosyal Güvenlik Sisteminin Sürdürülebilirliği: Özel İhtisas Komisyonu Raporu. Ankara. <http://www.sbb.gov.tr/wp-content/uploads/2020/04/SosyalGuvencilikSistemininSurdurulebilirligiOzellhtisasKomisyonuRaporu.pdf> (07.08.2020).
- T.C. Sosyal Güvenlik Kurulu (SGK). İstatistik Yıllıkları. 5510 Sayılı Kanunun 4-1/a Maddesi Kapsamında Aylık ve Gelir Alanların Dağılımı, 2008-2018. http://www.sgg.gov.tr/wps/portal/sgk/tr/kurumsal/istatistik/sgk_istatistik_yilliklari (12.08.2020).
- TÜİK (Türkiye İstatistik Kurumu). (2013). Yoksullukla ilgili tanımlar. Gelir ve Yaşam Koşulları Araştırması Mikro Veri Seti (Panel) 2013. http://www.tuik.gov.tr/MicroVeri/GYKA_Panel_2013/turkce/metaveri/tanim/yoksullukla-ilgili-taniimler/index.html (07.08.2020).
- Topates, H. (Temmuz 2012). Çalışma ve yurttaşlık ilişkisi bağlamında temel gelir. Çalışma İlişkileri Dergisi, 3(2), 131-153
- TÜİK. Yoksulluk sınırı yöntemlerine göre fert yoksulluk oranları, 2002-2015. <http://www.tuik.gov.tr/UstMenu.do?metod=temelist> (11.08.2020).
- TÜİK. (18 Ekim 2016). Yoksulluk Çalışması, 2015. Haber Bülteni, Sayı: 21867 <http://www.tuik.gov.tr/PreHaberBultenleri.do?id=21867> (05.08.2020).
- TÜİK. (18 Eylül 2019). Gelir ve Yaşam Koşulları Araştırması, 2018. Haber Bülteni, Sayı: 30755. <http://www.tuik.gov.tr/PreHaberBultenleri.do?id=30755> (05.08.2020).
- TÜİK. (12 Aralık 2019). Sosyal Koruma İstatistikleri, 2018. Haber Bülteni, Sayı: 30625. www.tuik.gov.tr (12.08.2020).
- TÜİK. (04 Şubat 2020). Adrese Dayalı Nüfus Kayıt Sistemi Sonuçları, 2019. Haber Bülteni, Sayı: 33705. <http://www.tuik.gov.tr/HbGetirHTML.do?id=33705> (06.08.2020).
- TÜİK. (20 Mart 2020). İşgücü İstatistikleri, 2019. Haber Bülteni, Sayı: 33784. <http://www.tuik.gov.tr/PreHaberBultenleri.do?id=33784> (06.08.2020).
- TÜİK. (29 Mayıs 2020). Dönemsel Gayrisafi Yurt İçi Hasıla, I. Çeyrek: Ocak – Mart, 2020. Haber Bülteni, Sayı:33604. <http://www.tuik.gov.tr/HbGetirHTML.do?id=33604> (11.08.2020).

- TÜİK. (10 Temmuz 2020). İşgücü İstatistikleri, Nisan 2020. Haber Bülteni, Sayı: 33788. <http://www.tuik.gov.tr/HbGetirHTML.do?id=33788> (06.08.2020).
- TÜİK, (Nisan 2019-Nisan 2020). Eğitim durumuna göre işgücü durumu, Nisan 2019, Nisan 2020. <http://www.tuik.gov.tr> (07.08.2020).
- TÜİK. Sosyal koruma harcamalarının yardım türlerine göre dağılımı, 2000-2018. www.tuik.gov.tr › PrelstatistikTablo (11.08.2020).
- Yapıcı, F. ve Karabulut, Ş. (Temmuz-Aralık 2018). 16. Yüzyıldan 21. Yüzyıla temel gelir düşüncesinin yeniden doğuşu. Erciyes Üniversitesi İktisadi ve İdari Bilimler Fakültesi Dergisi, 52, 353-380. DOI: 10.18070/erciyesiibd.416810 (11.08.2020).

Tükenmişlik ve Örgütsel Tükenmişlik Üzerine Literatür Taraması

Öğr. Gör. Elif Üler¹

¹Yozgat Bozok Üniversitesi, Çekerek Fuat Oktay Sağlık Hiz. MYO., Tıbbi Hizmetler ve Teknikler Bölümü, Tıbbi Tanıtım ve Pazarlama Programı, elif.uler@bozok.edu.tr, ID: 0000-0002-2536-544X

Özet: Tükenmişlik bireyin yaşadığı olumsuzluklar sonucu enerji ve güç kaybına uğramasına paralel olarak gelişen olumsuzluklar nedeniyle örgütsel davranış alanında birçok araştırmaya konu olmuştur. Kavram ilk olarak 1970’li yıllarda Freudenberg tarafından daha sonra bu konu hakkındaki en önemli isim olan Christina Maslach tarafından yapılan araştırmalarla örgütsel davranış literatürüne sokulmuştur. Tükenmişlik her bireyde ayrı reaksiyonlara neden olmakla birlikte, bireyin bir kurumda çalışmaya başlamasından bir sene sonra kişiden kişiye değişen nedenlerin meydana gelmesi sonucu ortaya çıkmaktadır. Tükenmişlik sendromu yüz-yüze ilişkilerin yoğun olarak yaşandığı meslek grubu çalışanlarında daha fazla görülmektedir. Bu nedenle tükenmişlik multidisipliner olarak çalışılmaktadır. Tükenmişliğe neden olan faktörler genel olarak kişisel ve örgütsel olmak üzere iki boyutta sınıflandırılmaktadır.

Tükenmişlik sendromu ilk önce gerek çevresel gerekse psikolojik nedenlerle bireysel olarak yaşanmaya başlasa da kişinin tükenmişlik hissine kapılması sonrasında etkileri çalışılan örgütü de etkilemektedir. Özellikle yüz yüze ilişki gerektiren meslek dallarında çalışanlarda meslek hastalığı şeklinde görülebilmektedir. Tükenmişliğin kişide yabancılaşma, bıkkınlık gibi negatif olaylara neden olması kişinin iş yaşamında performansının düşmesine, işi bırakma niyetine girmesine, iş doyumunu sağlayamamasına ve çalıştığı kuruma karşı bağlılık geliştirememesine neden olmaktadır. İncelenen çalışmalarda tükenmişliğin alt boyutu olan duygusal tükenme ve duyarsızlaşma anlamlı olarak ilişkilendirilirken, kişisel başarı hissi düşüklüğü ve çalışılan konular arasında anlamlı bir ilişki tespit edilememiştir.

Bu çalışmada, öncelikle tükenmişlik üzerine literatür taraması yapıldıktan sonra 2019 ve sonrası tarihlerine ait dergipark.gov.tr.’da yayınlanmış on makale belirli bir kriter aranmaksızın tesadüfi olarak seçilip incelenmiş ve tükenmişlik sendromu multidisipliner olarak çalışıldığı için farklı disiplinlerden çalışmalara yer verilmiştir.

Anahtar kelimeler: Tükenmişlik, Örgütsel Tükenmişlik

1.GİRİŞ

İlk kez 1970’li yıllarda tanımlanan tükenmişlik kavramı, kişilerin iş performansını olumsuz olarak etkilemesi nedeniyle örgütlerde sosyal bir problem olarak ele alınmaya başlamış ve bu konuda birçok araştırmacının çalışmasına neden olmuştur. Kavramla ilgili olarak en yoğun çalışma Christina Maslach tarafından yapılmış ve bu kavrama ilişkin olarak Maslach Tükenmişlik Envanteri Ölçeği (1981) literatüre kazandırılmıştır.

Araştırmacıların yapmış oldukları çalışmalarda tükenmişlik sendromunu yoğun olarak yaşayan meslek gruplarının genellikle birebir insan ilişkilerinin yoğun olduğu meslek grupları olduğu saptanmış bu nedenle de kavram multidisipliner bir konu olarak işletme, sağlık, eğitim başta olmak üzere birçok alan tarafından çalışılmıştır.

1.2. Tükenmişlik Kavramı

İngilizce Literatürde “Burnout” olarak geçen kavram yerli yazında “Tükenmişlik” adıyla yer almaktadır. Kavram 1961 yılında Grene tarafından yayınlanan “Bir Tükenmişlik Olayı (A Burn-Out Case)” isimli romanla anlatılmıştır (Derin ve Demirel, 2011: 511).Bireylerin özel ve iş yaşantısında önemli bir sorun olarak karşımıza çıkmakta olan tükenmişlik sendromu literatürde ilk kez 1974 yılında Freudenberg’in tıp personelleri arasında yapmış olduğu araştırmada kullanılmış ve “Yıpranma, başarısız olma, enerji ve güç kaybı sonrası bireyin isteklerini karşılayamaması ve içsel motivasyonda tükenme” durumu olarak ifade edilmiştir (Sılığ,2003: 10).

Dolgun tarafından yapılan tanımda tükenmişlik “özel yaşam ve iş yaşamı arasında stresle mücadelede yetersizlik” olarak (Dolgun, 2012; 288), Cherniss, “stres yaratan durumların üstesinden gelmede başarısız olma” (Güllüce ve İşcan, 2010: 8), Edelwich ve Brodsky, “iş hayatındaki negatif etkenler nedeniyle kişinin çalışma isteği, iş yapmaya olan ilgisi ve işe karşı kararlılığını kaybetmesi” (Deryakulu, 2005: 36) olarak ifade edilmiştir. Günümüzde yerli ve yabancı yazında tükenmişliğe ilişkin olarak yapılan en yaygın tanım Maslach tarafından yapılan tanım olarak kabul edilmektedir. Maslach, tükenmişliği “İşi nedeniyle insanlarla yoğun ilişki de bulunanlarda görülen duygusal tükenme, duyarsızlaşma ve düşük kişisel başarı hissi” olarak tanımlamaktadır

(Budak ve Sürvegil, 2005: 96). Maslach, yüz yüze etkileşim içinde olan kişilerin genel olarak idealist, heyecanlı, işe adanmışlık duygusu yüksek ve özverili kişiler olduklarını ve bu nedenle doğrudan hizmet sektöründe çalışan kişilerin kişilik özellikleri nedeniyle tükenmişlik sendromunu daha yoğun olarak yaşadıklarını ifade etmektedir. Tükenmişlik sendromunu psikoloji bilimi farklı açılardan ele almıştır. Klinik psikoloji tükenmişliğin göstergelerini ve zihinde oluşturmuş olduğu etkileri ele alırken, sosyal psikoloji çalışma ortamına, iş ilişkilerine, üretkenliğe yoğunlaşmış, endüstri psikolojisi ise üretkenlik, iş memnuniyeti, işten ayrılma ve işe gitmeme üzerine araştırmalar yapmıştır. Genel olarak bakıldığında ise tükenmişlik yaşayan kişilerin hayatlarında olumlu bir değişiklik olacağına dair umutlarının olmadığı görülmüş, fiziksel olarak hasar yaşamış kişilerin enerjilerini kayb ettikleri, duygusal olarak hasar yaşayanların ise motivasyonlarını ve hayata dair olumlu düşüncelerini yitirdikleri tespit edilmiştir (Kapusuz, 2016: 36-37).

Tükenmişlik kavramı Maslach tarafından üç boyutta ele alınmıştır. Bunlar; duygusal tükenme, duyarsızlaşma ve kişisel başarıyı etkileyen faktörler olarak gruplandırılmıştır (Budak ve Sürvegil, 2005:96, Erdoğan, 2016: 107-108).

1.2.1.Duygusal Tükenme

Duygusal Tükenme, tükenmişliğin ilk ve en dikkate değer boyutudur. Bireylerin fiziki ve duygusal dünyalarında hissel olarak yaşamış oldukları çöküntü olarak tanımlanabilir (Çoşkun, 2012: 65, Ay ve Aşaroğlu, 2010: 1172). Bu dönemde birey çalışma ortamında iletişimsizlik, hizmet verdiği kişilerin sorunlarına karşı öfke, kaygı, utanç duyma ve işyerinde korku yaşamaktadır ve genel olarak bireyin duygusal yönden yaşamış olduğu çöküş sonrasında yaşadığı fiziksel ve duygusal çöküşü ifade etmektedir. Bireyin gün içerisinde ruhsal dünyasında hissettiği tahrip olmuşluğu ifade etmektedir (Arı ve Tuncay, 2010: 113). Duygusal bitkinlik olarak da ifade edilen bu durum daha sonrasında duyarsızlaşma veya kendine yabancılaşma olarak adlandırılan tükenmişlik sendromunun diğer bir boyutuna neden olmaktadır.

1.2.2.Duyarsızlaşma

Tükenmişlik sendromunun ikinci boyutunu oluşturmaktadır. Bireylerin çalıştıkları ortamda etkileşimde oldukları veya hizmet verdikleri bireylere karşı ilgisiz davranmaları, küçük düşürücü sözler söylemeleri, bireyleri umursamamaları, dalga geçer gibi bir tavır içinde olmaları durumudur (Yıldırım ve İçerli, 2010: 124, Demir ve Kara, 2014: 427). Başka bir ifadeyle duygusal olarak tükenmişlik yaşayan kişilerin bu tükenmişliği işleri gereği bire bir ilişkilerde buldukları kişilere negatif olarak yansıtma ve kişilere göstermiş oldukları katı tutumları ve işe karşı kişinin tepkisizleşmesini ifade etmektedir. Kişi bilinçli olarak çevresine karşı bir mesafe koymaktadır.

1.2.3.Düşük Kişisel Başarı Hissi

Tükenmişlik sendromunun üçüncü boyutudur. Bireyin kendisini olumsuz bir şekilde değerlendirmesi, işine odaklanamaması, yaratıcılığını kaybetmesi ve işe yaramadığını düşünmesi durumudur (Aküzüm ve Özmen, 2014: 35, Yıldırım ve İçerli, 2010: 124). Duygusal tükenme sonrasında duyarsızlaşan birey, kendini yetersiz olarak değerlendirmekte ve negatif bir psikoloji içerisine girmektedir. Bireyin artık geleceğe yönelik planlarının olmadığı ve umutsuzluk içine düştüğü aşama olarak ifade etmek mümkündür.

Maslach araştırmalarının da tükenmişlik - iş stresi ve bireyselleşme – sosyal etki olarak iki konuya odaklandığını, tükenmişlik süreci modelinin açıklanabilmesinde kişisel, sosyal ve içeriksel değişkenlerin birbiriyle ilişkisinin anlaşılmasını kolaylaştıracağını ifade etmektedir (<https://maslach.socialpsychology.org/> E.T. 29.08.2020). Maslach ve Jackson tükenmişliğin iş-görevler tarafından yerine getirilen görevlerde soruna neden olabilmekte, iş-görevin etkileşimde olduğu diğer iş-görevler, müşteriler ve kurumlar için de sorun teşkil edebilmektedir. Tükenmişlik, bireysel olarak fiziksel yorgunluk, uykusuzluk, alkol ve uyuşturucu kullanımını artırmakta, evlilik ve aile yaşantısında sıkıntılara neden olabilmektedir. Tükenmişliğin anlaşılabilmesi iş stresinin önlenmesini sağlayacak, işe alım, eğitim gibi konulara yol gösterebilecektir (Erdoğan, 2018: 99).

Günümüzde çalışma hayatında yaşanan yoğun rekabet, kişiler arası ilişkilerin zayıflaması, teknolojik gelişmelere adaptasyon, yaşamı sürdürebilmenin zorlaşması gibi nedenler kişisel faktörler olarak bireyleri tükenmişlik sendromuna itmektedir. Bunun yanı sıra kişilerin içerisinde yer aldığı çevre de tükenmişlik sendromunun oluşmasında etkili olmaktadır. Bu kapsamda kişilerin tükenmişlik sendromu yaşamalarına ilişkin olarak Maslach ve Leiter tarafından örgütsel (çevresel) faktörler iş yükü, kontrol, ödüller, aidiyet, adalet ve değerler başlıkları

altında sınıflandırılmıştır (Budak ve Sürvegil, 2005: 96). Yine Dolgun tükenmişliğe neden olan faktörleri aşırı iş yükü, zaman baskısı, çalışma saatlerinin yoğunluğu, gözetim ve kontrol sistemlerinin çalışanlar üzerindeki baskısı, çalışanların içerisinde yer aldıkları örgütlerde görülen rol çatışmaları ve rol belirsizlikleri, örgütlerde iş kurallarının ödüllendirici olmaması, çalışanlara uygulanan ücret politikasının düşük olması ve kişiler arası eşitsizlik olarak belirtmiştir (Dolgun, 2012: 297-299).

1.3. Tükenmişliğin Sebepleri ve Belirtileri

1.3.1. Tükenmişliğin sebepleri

Tükenmişliğe her birey ayrı reaksiyon vermekte ve genel olarak birey bir örgüt de çalışmaya başladıktan bir yıl sonra farklı nedenlerin bir araya gelmesi sonucu tükenmişlik ortaya çıkmaktadır (Erdoğan, 2018: 102). Bu açıdan bakıldığında tükenmişliğe neden olan faktörler kişisel ve örgütsel olmak üzere sınıflandırılabilir (Kapusuz, 2016: 39).

1.3.1.1. Kişisel Faktörler:

Tükenmişliğe neden olan kişisel faktörler, demografik özellikler, çalışma süresi, sosyal destek ve sosyal güvenlik, kişilik, beklentiler, kişinin yaşam biçimi, sosyal ve destekleyici ilişkilerin olmaması, mükemmeliyetçilik şeklinde ifade edilebilir.

1.3.1.2. Örgütsel Faktörler:

Tükenmişliğe neden olan örgütsel faktörler, çalışma koşulları ve çalışma ortamının bireyde oluşturduğu stres, örgütsel değerler ve bireysel değerler arasındaki farklılıklar, kişinin çalışma ortamında kabul görmemesi, örgütsel iletişimsizlik, belirsiz yada aşırı iş beklentisi, katı kurallar ve yüksek baskı ortamı, elverişsiz çalışma koşulları, rol belirsizliği ve rol çatışmaları, çıkar çatışmaları, aşırı iş yükü, yönetici ve işgören arasında yaşanan olumsuz etkileşim şeklinde ifade edilebilir.

1.3.2. Tükenmişliğin Belirtileri

Tükenmişlik bireylerde gizli bir süreç halinde gelişmektedir. Bu nedenle de sıklıkla depresyon, kaygı ve stres gibi durumlarla karıştırılmaktadır. Tükenmişliğin bireylerde sağlık açısından ve iş kalitesi açısından çeşitli aksaklıklara yol açtığı yapılan araştırmalarla kanıtlanmıştır. Genel olarak literatüre bakıldığında tükenmişliğin neden olduğu aksaklıklar fiziksel, davranışsal ve psikolojik olarak üç boyutta incelenmektedir (Acar, 2016: 17-18, Adıgüzel, 2016: 44, Ardiç ve Polatçı, 2008: 73, İzgar, 2012: 131-132, Sılığ, 2003: 11);

1.3.2.1. Tükenmişliğin Fiziksel Belirtileri

Tükenmişliğin fiziksel belirtileri, kalp ve mide rahatsızlıkları, uykusuzluk, alkol ve sigara tüketiminde artış veya bağımlılık, sık sık gribal enfeksiyon geçirme, kilo alma veya verme, kolesterol yüksekliği olarak ifade edilmektedir.

1.3.2.2. Tükenmişliğin Davranışsal Belirtileri

Tükenmişliğin davranışsal belirtileri, işten nefret etme ve işe gitmek istememe, çabuk öfkelenme, bireyin kendini izole etmesi ve içe kapanması, unutkanlık, özgüven eksikliği, çalışılan kuruma güven ve ilgi kaybı, birinci dereceden ilişki içerisinde olunan çevreyle problem yaşama, olaylar karşısında alınganlık ve kolay ağlama olarak ifade edilmektedir.

1.3.2.3. Tükenmişliğin Psikolojik Belirtileri

Tükenmişliğin psikolojik belirtileri, ailesel sorunlar, uykusuzluk, ilgisizlik, hayal kırıklığı, umutsuzluk, endişe, yabancılaşma hissi, depresyon olarak ifade edilmektedir.

1.4. Tükenmişlikle ilgili Alınacak Tedbirler

Tükenmişlikle ilgili fiziksel, davranışsal ve psikolojik olarak belirtiler gösteren birey örgüt hayatında da çeşitli sıkıntılar yaşamaktadır. Bunlar genellikle işi savaştırmama, işe geç gelme, işe ve örgüte karşı ilgisizlik, verdiği hizmetin karşı tarafta doyumsuzluk yaratması, işte var olamama, işi bırakma eğilimi veya performans düşüklüğü, sürekli hastalanma, iş kazalarında artış gibi nedenlere sebep olmaktadır (Çapulcuoğlu, 2012: 28). Tükenmişliğin neden olduğu olumsuzlukları giderebilmek için alınması gereken önlemler bireysel ve örgütsel

olmak üzere iki grupta toplamıştır (Dolgun, 2012: 303, Ardiç ve Polatçı, 2008: 76, Güllüce, 2006: 34-36, Erdoğan, 2018: 105-106, Kaçmaz, 2005: 31-32).

1.4.1. Bireysel Önlemler

Tükenmişlik sendromuyla başa çıkabilmek için alınması gereken bireysel önlemler, birey beslenmesine dikkat etmeli, egzersiz yapmalı, dinlenmeli, sosyal aktiviteler bulmalı, seyahat etmeli, iyimser düşünmeli ve karamsarlıktan kurtulmalı, tükenmişliği şiddetli boyut da yaşıyorsa destek almalı, amaçları ve öncelikleri belirlenerek yeni bir çalışma programı düzenlemeli, enerji ve zamanını doğru kullanmalı, yaşadığı sıkıntıları paylaşmalı, işi iş yerinde bırakmayı, karşısındakine hayır demeyi öğrenmeli, konferans, seminer gibi etkinliklere katılması ifade edilmektedir.

1.4.2. Örgütsel Önlemler

Tükenmişlik sendromuyla başa çıkabilmek için örgütlerin alması gereken önlemler, kişilerin bireysel karar vermelerine olanak tanınmalı ve kararlara katılımı sağlanmalı, adil bir ödül sistemi geliştirilmeli, işin sorumlulukları gözden geçirilmeli ve gerekirse kişiye yardımcı bir personel sağlanmalı, örgütsel bağlılık ve takım çalışması sağlanmalı, rol çatışmalarını engellemek için açık ve net görev tanımları belirlenmeli, mümkün olan zamanlarda işgörenlerin iş yerinden uzaklaşması sağlanmalı, görev yeri değişiklikleri veya kariyer fırsatları desteklenmeli, hizmet içi eğitimler ve örgüt içi danışmanlık hizmeti verilmesi ifade edilmektedir.

Günümüz de her birey aşırı stres, yoğun iş temposu, rekabet, yaşam mücadelesi içerisinde zaman zaman tükenmişlik sendromuna yakalanabilmektedir. Tükenmişlik üzerine yapılan ilk çalışmalardan bu yana yaklaşık olarak geçen kırk senelik dilimde kavramla ilgili yabancı ve yerli literatürde farklı alanlardan araştırmacıların yoğun olarak konuyla ilgili çalıştığı görülmektedir. Özellikle birebir ilişkilere dayanan çalışma ortamlarında, çalışanların sıklıkla yaşamış olduğu tükenmişlik sendromumultidisipliner bir alan olarak araştırmacıların ilgisini çekmiştir. Bu çalışma kapsamında da örgütsel tükenmişlikle ilişkilendirilmiş farklı olgular ve farklı alanlardaki çalışmalar değerlendirilmiştir. Çalışmanın ikinci bölümünde 2019 ve sonrası dergipark.gov.tr de yayınlanmış on makale tesadüfi bir şekilde seçilerek incelenmiştir.

2. MAKALELERİN DEĞERLENDİRİLMESİ

Bu bölümde tükenmişlik üzerine farklı disiplinler tarafından çalışılan on makale incelenmiştir. Makalelerin taranmasında güncel bilgilerin paylaşılması amacıyla 2019 yılı ve sonrası dergipark.gov.tr'da yayınlanan on makale her hangi bir kritere bakılmaksızın tesadüfi olarak seçilmiştir.

2.1. Akademisyenlerin Algıladıkları Mobbing ve Mesleki Tükenmişlik Düzeylerinin Çeşitli Değişkenlere Göre İncelenmesi

Dr. Öğr. Üyesi Ayfer Öztürk tarafından yapılan çalışma Bartın üniversitesinde farklı ünvana sahip 90 akademisyenle yapılmıştır. Araştırmada akedemisyenlerin algıladıkları mobbing ile mesleki tükenmişlik düzeyleri çeşitli faktörlere göre incelenmesi amaçlanmıştır.

Araştırmaya katılan akademisyenlerin unvanları değişiklik göstermektedir. Araştırmada algılanan mobbing ve tükenmişlik düzeyinin yaş, cinsiyet, medeni durum ve akademik unvana göre anlamlı bir değişiklik göstermediği tespit edilmiştir. Fakat kıdem yılına göre algılanan mobbing ve tükenmişlik düzeyinin değişiklik gösterdiği ve 21 yıl ve üzeri kıdem yılına sahip akademisyenlerde mobbing düzeyinin düştüğü, tükenmişlik düzeyinin arttığı tespit edilmiştir.

2.2. Aşırı İş Yükü ve Tükenmişlik Sendromunun İşten Ayrılma Niyeti Üzerine Etkisi: Satış Personelleri Üzerine Bir Araştırma

Araştırma Dr. Öğr. Üyesi Emel Faiz tarafından Düzce ili merkez ilçe de bulunan farklı sektörlerde çalışmakta olan 300 satış personeliyle gerçekleştirilmiştir. Araştırmada yüksek iş yükü ve tükenmişlik arasındaki ilişki ve bunun işten ayrılma kararına etkisi incelenmiştir.

Araştırmaya katılan deneklerin demografik özellikleri ne bakıldığında, satış personellerinin kadın ve erkek oranları birbirine yakın iken bekar satış personeli oranı daha fazladır. Lise mezun satış personeli oranı örneklemin neredeyse yarısını içermektedir. Araştırmaya katılan satış personellerinin hizmet verdiği sektörler gıda, hazır giyim ve bilişim sektörlerini içermektedir. Genel olarak ise sektörde 10 senenin altında bir deneyime

sahip oldukları tespit edilmiştir. Araştırmada satış personelinin iş yükü algısının orta düzeyde olduğu, müşterilerine ve işlerine ait tükenmişlik düzeylerinin orta olduğu ve kişisel başarı düzeyindeki düşüklük hissini çok düşük olduğu ve tükenmişlik yaşanmadığı tespit edilmiştir. Satış personellerinin işten ayrılma niyetleri de düşük düzeydedir. Korelasyon testi sonuçları değerlendirildiğinde duygusal tükenmişliğin işten ayrılma niyeti üzerinde tükenmişliğin diğer boyutlarına göre daha etkin olduğu tespit edilmiştir. Aşırı iş yükü, duygusal tükenme ve duyarsızlaşma ile işten ayrılma niyeti arasında pozitif yönde olumlu bir ilişki tespit edilirken, kişisel başarıda düşme hissi ile işten ayrılma arasında anlamlı bir ilişki tespit edilememiştir. Faiz tarafından yapılan araştırmanın sonuçlarının Onay ve Kılıcı, Aslan, Üstün ve Doğan tarafından daha önce yapılan çalışmaları desteklediği belirtilmiştir.

2.3.Hemşirelerde Tükenmişlik Düzeyinin Çeşitli Değişkenlere Göre İncelenmesi; Bir Üniversite Hastanesi Örneği

Uzun ve Mayda tarafından yapılan araştırma Bolu’da bir Üniversite hastanesinde 192 hemşire ile yapılmıştır. Araştırmada hemşirelerin tükenmişlik düzeyinin belirlenmesi ve sosyo-demografik faktörlerle ilişkisinin incelenmesi amaçlanmıştır.

Araştırmada bekar olan hemşireleri tükenmişlik düzeyinin, evli olan hemşirelere göre daha yüksek olduğu yine bayan hemşirelerin erkek hemşirelere göre tükenmişlik düzeylerinin yüksek olduğu tespit edilmiştir. Araştırma da hemşirelerin duygusal tükenme düzeyleri yüksek, duyarsızlaşma düzeyleri orta ve kişisel başarı düzeyi ise ters orantılı olarak çıkmıştır. Tükenmişlik düzeyinin artmasında kişilerin demografik özellikleri, meslek tatmini, bireysel ve örgütsel özelliklerin etkili olduğu gözlenmiştir.

2.4.Örgütsel Bağlılığın Tükenmişliğe Etkisi İş Tatmininin Aracılık Rolü Mersin İli Kamu Hastaneleri Hemşirelerine Yönelik Bir Uygulama

Doç.Dr. Abdullah Çalışkan ve Uz. Hemşire Hayriye Özkan tarafından yapılan çalışmanın amacı 3 boyutu olan örgütsel bağlılığın tükenmişliğe etkisi ve bu etkide iş tatmininin aracılık yönünün olup olmadığının tespitine yöneliktir. Mersin ilinde sağlık sektöründe çalışan 400 sağlık çalışanına anket uygulanarak yapılmıştır.

Araştırmada örgütsel bağlılığın tükenmişliği anlamlı olarak etkilediği görülmüştür. Örgütsel bağlılığın boyutlarından duygusal bağlılık, devam bağlılığı ve normatif bağlılık ile tükenmişlik arasındaki ilişkinin anlamlı olduğu tespit edilmiştir. Araştırma sonucunda örgütsel bağlılık ve tükenmişlik arasında negatif yönlü bir ilişki olduğu tespit edilmiştir. Çalışkan ve Mayda tarafından yapılan araştırmanın sonuçlarının Güneş vd.,Reilly, Salehi ve Gholtash, Singh vd., tarafından daha önce yapılan araştırmaları desteklediği belirtilmiştir.

2.5. Tükenmişliğin İş Yaşam Dengesi ve Çalışan Sağlığı Üzerindeki Etkisi: Banka Çalışanları Üzerine Bir Araştırma

Araştırma Prof.Dr. Hatice Özutku tarafından Afyon ilinde 12 banka şubesinde çalışan 221 çalışan üzerinde yapılmıştır. Çalışma da banka çalışanlarının tükenmişlik boyutlarının fiziksel sağlık durumu ve iş yaşam dengesi üzerine etkilerinin incelenmesi amaçlanmıştır.

Katılımcılar da tükenmişliğin alt boyutları incelendiğinde duygusal tükenme ve duyarsızlaşma yüksek, kişisel başarı hissinde ise orta seviyede olduğu belirlenmiştir. Çalışanların eğitim düzeyi ile duygusal tükenme ve duyarsızlaşma arasında anlamlı bir ilişki tespit edilemez iken eğitim düzeyi ile kişisel başarı hissinde düşme arasında anlamlı farklılık olduğu belirlenmiştir. Duyarsızlaşma boyutu ve yaş arasında anlamlı farklılığa rastlanmıştır ve genç banka çalışanlarında, duyarsızlaşma düzeyinin, daha yaşlı çalışanlaragöre bir miktar yüksek olduğu saptanmıştır.

Tükenmişliğin boyutlarından “duygusal tükenme” ve “duyarsızlaşma”nın iş yaşam dengesi üzerinde anlamlı bir etkisinin olduğu saptanmıştır. “Kişisel başarı” değişkeninin ise iş yaşam dengesi üzerinde anlamlı bir etkisi bulunmamıştır. Tükenmişliğin boyutlarından “duygusal tükenme”, “duyarsızlaşma” ve “kişisel başarı” değişkenlerinin banka çalışanlarının sağlık durumu üzerinde anlamlı bir etkisinin olduğu saptanmıştır. Analiz sonuçlarına göre duygusal tükenmedeki ve kişisel başarı düzeyindeki azalış sağlık durumundaki olumsuzluğu artırmaktadır. Duyarsızlaşmadaki artış ise tükenmişliğe bağlı psikolojik kökenli sağlık sorunlarındaki olumsuzluğu bir miktar azaltmaktadır. Yapılan araştırmanın sonuçları daha önce yapılmış olan Akbolat ve Işık, Helvacı ve Turhan, Ergin’in çalışmalarıyla benzerlik göstermektedir.

2.6. Tükenmişlik Sendromu: Kamu Kuruluşu Çalışanları Üzerine Bir Uygulama

Araştırma Dr. Öğr. Üyesi Halime Göktaş Kulualp ve yüksek lisans öğrencisi Ömer Sarı tarafından Ankara da bir kamu kuruluşunda yarı yapılandırılmış mülakat tekniği uygulanarak 14 kişi ile yapılmıştır. Araştırma da bireylerde görülen tükenmişlik sendromunun, nasıl bir psikolojik durumun göstergesi olduğu, buna sebep olan etmenlerin neler olduğu ve kurumların rolünün neler olması gerektiğine yönelik görüşlerinin alınması amaçlanmıştır.

Araştırma da çalışanların tükenmişlik sendromuna yönelik düşünceleri “duygu kontrolü, insan psikolojisi, iş ilişkileri, zaman yönetimi, sosyal norm, olumsuz duygu durum ve duygusal tükenme” şeklinde gruplara ayrılarak incelemeye alınmıştır. Çalışanların tükenmişlikle ilişkilendirilen, duygu kontrolü konusunda elde edilen ortak yargı çalışanların mesleklerini severek yaptıklarından dolayı kurum içindeki kurallara severek ve isteyerek uydukları şeklindedir. Ruhlen kendilerini kötü hissettikleri zamanlarda kurallara uymak ve görevlerini yapmak zor gelmektedir fakat çalışanlar kurallara uymak zorunda olduklarının farkındadırlar ve bu kurallara uymak için çaba sarfetmektedirler. İş ilişkileri ile ilgili elde edilen ortak sonuç çalışanların beklentisi, çevresel etkiler ve kurumsal beklentileri farklı olabilmektedir. Sosyal norm ve tükenmişlik sendromu hakkında çalışanlar ahlak dışı ve kural dışı davranış veya olaylar yaşandığında kendilerini çaresiz hissetmektedirler. Olumsuz duygu durumuyla ilgili karşılaştıkları sorunlara insanların kendileri neden olmuş gibi davrandıklarını düşünmektedirler. Duygusal tükenme ile ilgili olarak çalışanlar evlerindeki sorumluluğailaveten kurumda da sorumluluklarının olmasının aşırı iş yüküne neden olduğunu ve bu durumun bazı zamanlarda iş çıkışında ruhen çöküntü ve bitkinlik yarattığını ifade etmişlerdir. Çalışanların duygusal emek davranışlarına zorlanması çalışanlar üzerinde iş tatminsizliği, bitkinlik ve tükenmenin kaynağını oluşturmaktadır.

2.7. Lider-Üye Etkileşiminin Öğretmen Stres, Tükenmişlik ve Depresyonu Üzerindeki Rolü

Çalışma Selçuk Demir tarafından 2018-2019 Eğitim-Öğretim yılında görev yapmakta olan öğretmenler arasında küme örnekleme yöntemiyle 48 okulda 437 öğretmenle yapılmıştır. Araştırmada lider-üye etkileşiminin öğretmenlerdeki olumsuz tutumları, stres ve tükenmişlik düzeylerini etkilediği tespit edilmiştir. Öğretmenlerle yapılan görüşmede iş yükünün fazla olmasının öğretmenlerde çaresizlik hissini öne çıkardığı tespit edilmiştir. İyi bir lider-üye etkileşiminin olmaması çalışanları olumsuz etkilemektedir. Dolayısıyla iyi bir lider-üye etkileşimi içinde olunması stres ve tükenmişliğin neden olduğu depresyonu engellemektedir.

2.8. Sağlık Çalışanlarının Tükenmişlik ve İşe Bağlı Gerginlik Düzeylerinin İncelenmesi

Araştırma Doç.Dr. Sibel Karaca Sivrikaya ve Hemşire Meltem Erişen tarafından Bursa ilinin Mustafakemalpaşa ilçesi Devlet Hastanesi’nde çalışan 181 sağlık personelinin katılımıyla yapılmıştır.

Araştırmaya katılanlardan 18-30 yaş arasında olan personelin tükenmişlik duyarsızlaşma alt boyutu yüksek, tükenmişlik kişisel başarı alt boyutu düşüktür. Erkeklerin kişisel başarı alt boyutu puanı daha yüksek ve anlamlı yine bekar personelin tükenmişlik duyarsızlaşma alt boyutu puan ortalaması daha yüksek ve anlamlıdır. Bir yıldan az çalışan sağlık personelinin tükenmişlik duyarsızlaşma alt boyutu puanı ile 10 yıl ve üzerinde çalışan kişilerin, tükenmişlik kişisel başarı hissi alt boyutu puanı anlamlı ve yüksektir. Araştırmaya katılan sağlık personeli tükenmişliğin her üç boyutunda da yüksek puan almış ve özellikle hemşirelerde tükenmişlik düzeyi daha yüksek bulunmuştur. Araştırmadan elde edilen verilerle sağlık çalışanlarının yüksek olarak tükenmişlik sendromuna bağlı kaldıkları ve iş doyumuna istedikleri ölçüde sahip olamadıkları tespit edilmiştir.

2.9. Yöneticilerin Karanlık Kişilik Özelliklerinin Çalışanların Tükenmişlik Düzeylerine Etkisi

Çalışma Dr. Öğr. Üyesi Emrah Özsoy tarafından İstanbul’daki özel bir bankanın farklı şubelerinde çalışan toplam 243 kişiyle yapılmıştır. Araştırmada çalışan personelin yöneticilerinden algılamış oldukları karanlık karakter özelliklerinin (narsisizm, Makyavelizm ve psikopati), çalışanlarda oluşabilecek tükenmişliğe olan etkisi incelenmiştir.

Araştırma da çalışan personelin yöneticilerin karanlık kişilik özelliklerini algılaması ve tükenmişlik düzeyi arasındaki ilişki orta kuvvette, pozitif yönde ve anlamlıdır. Yöneticilerin narsisizm eğiliminin çalışanların tükenmişliklerine olan etkisi, yöneticilerin makyavelizm ve psikopati eğilimlerine oranla daha zayıf olmuştur. Ayrıca yaş, çalışma deneyimi ve gelir oranı ile tükenmişlik ve yöneticilerden algılanmış olan karanlık karakter özellikleri arasındaki ilişkiler anlamlıdır. Yalnızca çalışma deneyimi ve düşük kişisel başarı hissi arasındaki ilişki zayıf kuvvette ve negatif yönlüdür. Çalışan personelin yöneticiden algılamış olduğu karanlık kişilik

özelliklerinin, tükenmişliğe olan etkisi incelendiğinde; yalnızca yöneticilerden algılanmış olan psikopati eğilimi çalışanlarda tükenmişliği (duygusal tükenme ve duyarsızlaşma kapsamında) pozitif yönde etkilemiştir.

2.10.Mesleki Tükenmişlik, Makyevelizm, Psikolojik Sözleşme İhlali ve Demokratik Liderlik Arasındaki İlişkilerin Smartpls ile Analizi

Çalışma Dr.Öğr.Üyesi Yavuz Kağan Yasım tarafından Ankara’da hizmet sektöründe görev yapan 148 satış personeliyle anket uygulaması yapılarak gerçekleştirilmiştir. Araştırmanın amacı, satış personelinin mesleki tükenmişlik, makyevelistlik, psikolojik sözleşme ihlal algısı ve liderlerin demokratiklik seviyesi arasındaki ilişkiyi belirlemeye yöneliktir.

Araştırmanın sonuçlarına göre psikolojik sözleşme ihlali ile ahlaki yoksunluk, statü arzusu, diğerlerine güvensizlik, duygusal tükenme, duyarsızlaşma ve demokratik liderlik arasında anlamlı birer ilişki bulunmuştur. Demokratik liderlik ile statü arzusu, kontrol arzusu, duygusal tükenmeve kişisel başarısızlık hissi arasında da anlamlı ilişki bulunmuştur. Psikolojik sözleşme ihlalinin, makyevelizm ve mesleki tükenmişliğin alt boyutları arasındaki ilişki yönü pozitif yönlüdür. Bundan dolayı psikolojik sözleşme ihlali algısında meydana gelen bir artış makyevelist tutum ve mesleki tükenmişliğin de artışına sebep olabileceği sonucu elde edilmiştir. Psikolojik sözleşme ihlali ile liderin demokratikliği arasında bulunan ilişkinin yönünün negatif olduğu görülmüştür. Liderin, yönetim sırasında sergileyeceği demokratik tutum ve davranışlar çalışanların psikolojik sözleşme ihlalinin algılamasında zayıflığa neden olabilmektedir. Demokratik liderlik ile makyevelizmin alt faktörleri arasındaki ilişki pozitif yönlü ve zayıftır. Demokratik tutum içinde olan liderlerde çalışan personelin kendi kararlarını verme yönünde oluşturdukları örgütsel iklim, çalışan personeli makyevelist tutuma yönlendirebilmektedir. Demokratik liderlik ile mesleki tükenmişliğin duygusal tükenme ve başarısızlık hissi alt faktörlerinde ise ilişkinin yönü negatiftir. Liderlerin demokratik bir tutum sergilemelerinin çalışanların tükenmişlik hissini azaltabileceği sonucuna varılmıştır.

3.SONUÇ

Genel olarak bakıldığında yüz yüze ilişkilerin yoğun olduğu meslek dallarında çalışan kişiler de çalışma hayatının ilk yılından itibaren başlayan tükenmişlik sendromu örgütlerde kişiyi olumsuz bir ruh haline sokmaktadır. Olumsuz ruh hali içinde olan birey, iş yerinde var olamamakta ve sıkıntılar yaşamaktadır. Örgütsel açıdan bakıldığında bu sıkıntılar işi bırakma eylemiyle son bulmaktadır. Bir personelin yetiştirilmesi sürecinde işletmenin yapmış olduğu masraflar göz önüne alınırsa iş-görenlerin tükenmişlik sendromu yaşamaları işletmeler için ekstra bir külfet teşkil etmektedir. Bu nedenle tükenmişlik sendromuna karşı bireylerin alması gereken önlemlerin dışında işletmelerinde bu konuda duyarlı olmaları ve iş-görenlerin ruhsal ve fiziksel sağlıkları için gerekli önlemleri almaları gerekmektedir.

Yapılan çalışmalarda, tükenmişliği tetikleyen mobbing, narsizm, makyevelizm gibi faktörler olduğu ve tükenmişliğin işten ayrılma niyeti, örgütsel bağlılığın ve iş tatmininin gelişmemesi, psikolojik kaynaklı sağlığın bozulması gibi olayların etkenleri arasında olduğu görülmüştür. Araştırmalarda negatif olgularla tükenmişlik arasında genel olarak olumlu ve anlamlı ilişkiler tespit edilmiştir. Tükenmişliğin alt boyutlarından duygusal tükenme ve duyarsızlaşma olumlu ve anlamlı ilişkilendirilirken, kişisel başarı hissinde düşme de anlamlı ilişkilendirilme görülmemiştir (Öztürk, 2019, Çalışkan ve Özkan, 2019, Özutku, 2019). İncelenen çalışmalarda kişisel başarı hissi düşüklüğünün tükenmişlikle ilişkisi negatif yönlüdür. Bu durum kişilerin yaşamış oldukları sorunlardan kendilerini değil çevreyi sorumlu tuttıklarının bir göstergesi olmaktadır. İnsanoğlunun hata yaptığını kabul etmeme psikolojisinin bu durumda etkili olduğu, gerek yöneticilerin gerekse çalışanların eleştirel bir bakış açısına sahip olmadığı ve bu nedenle de sorunlar yaşadığı düşünülmektedir.

KAYNAKÇA

- Acar, F.M., 2016, “Okul Öncesi Öğretmenlerinin Tükenmişlik ve İş Doyumu Düzeylerinin Bazı Değişkenler Açısından İncelenmesi”, Çağ Üniversitesi Sosyal Bilimler Enstitüsü Psikoloji Anabilim Dalı, Yüksek Lisans Tezi, 2016
- Adıgüzel, İ., 2016, “Okul Öncesi Öğretmenlerinin Sınıf Yönetimi Becerileri ile Tükenmişlik Düzeyleri Arasındaki İlişki”, Recep Tayyip Erdoğan Üniversitesi, Sosyal Bilimler Enstitüsü, Yüksek Lisans Tezi, Rize.
- Aküzüm, C. ve Özmen, F., (2014), “Eğitim Denetmenlerinin Mesleki Gelişim, Tükenmişlik ve İş Tatminine İlişkin Bir Meta-Sentez Çalışması”, Elektronik Sosyal Bilimler Dergisi, Cilt: 13, Sayı: 49, Diyarbakır, s.35.
- Ardıç, K. ve Polatçı, S., 2008, “Tükenmişlik Sendromu Akademisyenler Üzerinde Bir Uygulama(GOÜ Örneği)”, İktisadi Ve İdari Bilimler Fakültesi Dergisi: 10(2), 1-28.

- Arı, G.S. ve Tuncay, A., 2010, "Yöneticiye Duyulan Güven ve Tükenmişlik Arasındaki İlişkiler: Ankara'daki Devlet Hastanelerinde Çalışan İdari Personel Üzerinde Bir Araştırma, Atatürk Üniversitesi İktisadi ve İdari Bilimler Dergisi, Cilt: 24, Sayı: 4, Erzurum, s.115.
- Ay, M. ve Avşaroğlu, S., 2010, "Muhasebe Çalışanlarının Mesleki Tükenmişlik, İş Doyumu ve Yaşam Doyumlarının İncelenmesi 1-Mesleki Tükenmişlik Düzeyleri", Uluslar arası İnsan Bilimleri Dergisi, Cilt: 7, Sayı: 1, Sakarya, s.1172.
- Budak, G., ve Sürgevil, O., 2005, "Tükenmişlik ve tükenmişliği etkileyen örgütsel faktörlerin analizine ilişkin akademik personel üzerinde bir uygulama", Dokuz Eylül Üniversitesi İktisadi ve İdari Bilimler Fakültesi Dergisi, 20(2).
- Çalışkan, A. ve Özkan H., 2020, "Örgütsel Bağlılığın Tükenmişliğe Etkisi İş Tatmininin Aracılık Rolü Mersin İli Kamu Hastaneleri Hemşirelerine Yönelik Bir Uygulama", Afyon Kocatepe Üniversitesi Sosyal Bilimler Dergisi, Cilt:22, Sayı:1, s. 180-194
- Çapulcuoğlu, U., 2012, "Öğrenci Tükenmişliğini Yordama da Stresle Başa Çıkma, Sınav Kaygısı, Akademik Yetkinlik Ve Anne-Baba Tutumları Değişkenlerinin İncelenmesi", Mersin Üniversitesi Eğitim Bilimleri Enstitüsü, Yüksek lisans Tezi, Mersin.
- Çoşkun, M.K., 2012, "Din Kültürü ve Ahlak Bilgisi Öğretmenlerinin Tükenmişlik Düzeylerinin Çeşitli Değişkenlere Göre İncelenmesi", Elektronik Sosyal Bilimler Dergisi, Cilt: 11, Sayı: 41, Diyarbakır, s.65.
- Demir, S., 2019, "Lider-Üye Etkileşiminin Öğretmen Stres, Tükenmişlik ve Depresyonu Üzerindeki Rolü", Ege Eğitim Dergisi, 20(1), 291-304.
- Derin, N. ve Demirel, E.T., 2012, "Tükenmişlik Sendromunun Örgütsel Bağlılığı Zayıflatıcı Etkilerinin Malatya Merkez' de Görev Yapan Hemşireler Üzerinde İncelenmesi", Süleyman Demirel Üniversitesi İktisadi ve İdari Bilimler Fakültesi Dergisi, Cilt: 17, Sayı: 2, Isparta, s.511.
- Deryakulu, D., 2005, "Bilgisayar Öğretmenlerinin Tükenmişlik Düzeylerinin İncelenmesi", Eğitim Araştırma Dergisi, Cilt: 19, Sayı: 19, Ankara, s.36.
- Dolgun, U., 2012, "Tükenmişlik Sendromu"(Ed.Derya Ergun Özler) Örgütsel Davranışta Güncel Konular, Ekin Basım Yayın Dağıtım, 287-312, Bursa
- Erdoğan, P., 2018, "Pozitif Psikolojik Sermayenin Örgütsel Vatandaşlık Davranışı, Örgütsel Sinizm ve Tükenmişlik üzerine etkisi: Sağlık Sektöründe bir uygulama", Selçuk Üniversitesi Sosyal Bilimler Enstitüsü İşletme Ana Bilim Dalı İşletme Bilim Dalı, Konya
- Faiz, E., 2019, "Aşırı İş Yükü ve Tükenmişlik Sendromunun İşten Ayrılma Niyeti Üzerindeki Etkisi: Satış Personelleri Üzerinde Bir Araştırma", Çalışma İlişkileri Dergisi, 10(1), 26-38.
- Güllüce, A.Ç. ve İşcan, Ö.F., 2010, "Mesleki Tükenmişlik ve Duygusal Zeka Arasındaki İlişki", Eskişehir Osmangazi Üniversitesi İktisadi ve İdari Bilimler Fakültesi Dergisi, Ekim 2010, 5(2), s. 7-29
- Güllüce, A.Ç., 2006, "Mesleki Tükenmişlik ve Duygusal Zeka Arasındaki İlişki(Yöneticiler Üzerinde bir Uygulama)", Atatürk Üniversitesi Sosyal Bilimler Enstitüsü İşletme Anabilim Dalı, Yüksek Lisans Tezi, Erzurum
- Izgar, H., 2012, "Çalışanlarda Stres Ve Tükenmişlik (Editör: Hüseyin Izgar), Endüstri Ve Örgüt Psikolojisi", Eğitim Yayınevi, 127-140, Konya
- Kaçmaz, N.,2005, "Tükenmişlik (burnout) sendromu", İstanbul Tıp Fakültesi Dergisi, 68(1), 29-32.
- Kapusuz Gökçen, A., 2016, "Kişilik Özellikleri ile Tükenmişlik İlişkisinde psikolojik Sermayenin Etkileri", Osmaniye Korkut Ata Üniversitesi Sosyal Bilimler Enstitüsü İşletme Anabilim Dalı, Doktora Tezi, Osmaniye
- Kulualp, H.G. ve Sarı, Ö., 2019, "Tükenmişlik Sendromu: Kamu Kuruluşu Çalışanları Üzerine Bir Uygulama", Süleyman Demirel Üniversitesi Sosyal Bilimler Enstitüsü Dergisi, (35), 211-230
- Özsoy, E., 2019, "Yöneticilerin Karanlık Kişilik Özelliklerinin Çalışanların Tükenmişlik Düzeylerine Etkisi", Selçuk Üniversitesi Sosyal Bilimler Meslek Yüksekokulu Dergisi, 22(1), 194-203.
- Öztürk, A.,2019, "Akademisyenlerin Algıladıkları Mobbing ve Mesleki Tükenmişlik Düzeylerinin Çeşitli Değişkenlere Göre İncelenmesi", İBAD Sosyal Bilimler Dergisi, 314-325.
- Özutku, H., 2019, "Tükenmişliğin İş Yaşam Dengesi ve Çalışan Sağlığı Üzerindeki Etkisi: Banka Çalışanları Üzerine Bir Araştırma",PamukkaleUniversityJournal of SocialSciencesInstitute/Pamukkale Üniversitesi Sosyal Bilimler Enstitüsü Dergisi, (36).
- Sılığ, A., 2003, "Banka Çalışanlarının Tükenmişlik Düzeylerinin Çeşitli Değişkenler Açısından İncelenmesi", T.C. Eskişehir Anadolu Üniversitesi Eğitim Bilimleri Enstitüsü Yayınlanmamış Yüksek Lisans Tezi, Eskişehir.
- Sivrikaya K., S. ve Erişen, M., 2019, "Sağlık Çalışanlarının Tükenmişlik ve İşe Bağlı Gerginlik Düzeylerinin İncelenmesi", Anadolu Hemşirelik ve Sağlık Bilimleri Dergisi, 22(2), s.121-129
- Uzun, L.N., ve Mayda, A.S., 2020, "Hemşirelerde Tükenmişlik Düzeyinin Çeşitli Değişkenlere Göre İncelenmesi: Bir Üniversite Hastanesi Örneği", Konuralp MedicalJournal/Konuralp Tıp Dergisi, 12(1).
- Yasım, Y.K., 2020, "Mesleki Tükenmişlik, Makyavelizm, Psikolojik Sözleşme İhlali ve Demokratik Liderlik Arasındaki İlişkilerin Smartpls ile Analizi", İBAD Sosyal Bilimler Dergisi, Sayı:6 , s.87-101
- Yıldırım, M.H. ve İçerli, L., 2010, "Tükenmişlik Sendromu: Maslach ve Kopenhag Tükenmişlik Ölçeklerinin Karşılaştırmalı Analizi", Organizasyon ve Yönetim Bilimleri Dergisi, Cilt: 2, Sayı: 1, s.s.124-125.

Sykes Picot'tan Günümüze Kırılgan Türkiye-Suriye İlişkileri ve Temel İhtilafı Alanlar

Engin KOÇ¹

¹Dr. Öğr. Üyesi, Bursa Teknik Üniversitesi, İnsan ve Toplum Bilimleri Fakültesi, Uluslararası İlişkiler Bölümü,
engin.koc@btu.edu.tr, ORCID: <https://orcid.org/0000-0003-3682-8718>

Özet: Bu çalışmada ikinci Dünya Savaşı sonrasında SSCB'nin dağılması Soğuk Savaş dönemi Türkiye-Suriye ilişkileri üzerine bir analiz yapılmaktadır. Bununla birlikte ikili ilişkilerde günümüze kadar ihtilafı alanlarda yaşanan krizler irdelenecektir. Çalışmada Türkiye-Suriye arasındaki karşılıklı ilişkiler Osmanlı Devletinin son döneminden itibaren ele alınarak uluslararası konjonktürel bağlam, bölgesel sorunlar ve ülkelerin iç dinamiklerinden kaynaklanan sorunlar çerçevesinde bir inceleme yapılmıştır.

Soğuk Savaş döneminde, Suriye, SSCB bloğunda yer alırken, Türkiye'nin tercihi Batı yanında olmuştur. 1957 de ayrıca SSCB, Suriye ordusunu askeri anlamda baş tedarikçi olarak desteklemiştir. Bu askeri işbirliği Türkiye'nin güvenlik endişesi ile alakalı olarak bazı yanlış algılamaların kaynağı olmuştur. Ayrıca 1998'de Suriye'nin Türkiye'yi bölmek ve bir Kürt devleti kurmak isteyen PKK terör örgütüne açık desteğinden dolayı Türkiye, Suriye'ye karşı askeri güç kullanmayı Şam rejiminin geri adım atmasıyla son anda durdurmuştur. İkili ilişkilerde Adana Mutabakatı sonrası yaşanan yumuşama ile birlikte kısa bir dönem ikili ilişkilerde önemli gelişmeler olsa da Arap Baharı döneminin ilk aylarında ilişkiler tekrardan bozulmuştur. Bu anlamda ikili ilişkilerin oldukça kötü bir düzlemde devam etmesinin en önemli nedenlerinden birisi de tarafların geçmişteki olumsuz ilişkileri olmaktadır. Bu çalışmada Türkiye ve Suriye arasındaki gelgitli ilişkiler temel ihtilafı alanlar bağlamında analiz edilecektir.

Anahtar Kelimeler: Soğuk Savaş, Türkiye, Suriye, SSCB, ABD, PKK

Abstract: In this article, have been making an analysis on Turkey-Syria relations during the Cold War, when after second World War till dissolution of the USSR . As you are going to recognise at this work in further pages which has started to explain bilateral relations between Turkey and Syria from the last period of Ottoman State , because some problems which have emerged in last century still have been effecting two countries and creating some negative ideas in decision makers minds.

In the time of the Cold War, Syria as a country had been taking place together with USSR block while Turkey's choice with West side. In 1957 USSR also had supported to Syria army as chief supplier. This militarial cooperation had became source of some misperceptions by Turkey regarding with his security concerns. Furthermore in 1998, because of the Syrian clear suport to PKK terrorist group which wants to divide to Turkey and set up a Kurdish country ,Turkey had gaved up to use military force against to Syria in last moments. In period of Cold War Turkey has felt security concerns from Syria and USSR that this concerns make him close with Israel and USA.

Key Words: Cold War, Turkey, Syria, USSR, USA, PKK

1. GİRİŞ

Osmanlı imparatorluğu Suriye ve Lübnan topraklarını Yavuz Sultan Selim tarafından 1516 yılında Mercidabık Savaşı sonunda topraklarına katmış ve Osmanlı egemenliği 1918'e kadar yaklaşık 400 yıl bu bölgede sürmüştür. Osmanlı İmparatorluğu bölgeyi merkezden gönderdiği valiler ya da paşalar aracılığıyla esnek bir şekilde yönetmiştir. Bununla birlikte Sultan'a karşı sorumlu olan bu valiler siyasi anlamda (paşalar) geniş yetkilere sahip olmuştur (Arı, 2008: 104). Bunun yanında Osmanlı Devletinin Ortadoğu ve Kuzey Afrika vilayetlerinde bölgede önemli rollere sahip din adamları, aşiret reisleri ve tüccarlarda bu bölgelerin Osmanlılar tarafından kontrol edilmesini kolaylaştırmıştır.

I. Dünya savaşının başlamasıyla birlikte Osmanlı ordusunun Mısır, Suriye Hicaz cephelerinde komutan olarak bahriye Nazırı Cemal Paşa tayin edilmiştir. Cemal Paşa'nın bölgede katı yönetim sergilemesi Lübnan ve Suriye merkezli Arap Milliyetçiliğini de tetiklemiştir. Arap milliyetçi liderlerinin çoğunluğu Avrupa ya da Amerikan üniversitelerinde eğitim görmüştür. Bu Arap aydınlar, Osmanlı idaresindeki Suriye'de öncelikli bazı idari reformlar yapılmasını talep etmişlerdir. Daha sonra başlattıkları hareketi giderek yaygınlaştırarak merkezi idareye karşı bağımsızlık talebine dönüştürmüşlerdir. Bu da Cemal Paşa'nın bu gelişmeleri kontrol etmek için sert tedbirlere başvurmasını netice vermiştir. Bu dönemde kurulan gazi örgütlerden Şerif Hüseyin oğlu Faysalın da üye olduğu El Fatat (EL Cemiyeye el Arabiyya el Fatat) ve El Ahd adlı örgüt gelmekteydi. I. Dünya savaşının başlamasıyla beraber Cemal Paşa denetimlerini sıklaştırmıştır. Bu dönemde Paşa, El Fatat'ın üyelerini

tutuklatmış ve Osmanlı ya karşı yıkıcı faaliyet gösteren birçok örgüt üyesini 6 Mayıs 1915 sabahı Şam ve Beyrut meydanlarında idam ettirmiştir. Nitekim Mekke Şerifi Hüseyin 5 Kasım'da kendisini Arap ülkeleri kralı ilan etti. Ancak bu esna da İngiltere ile Fransa arasında yapılmış olan 16 Mayıs 1916'daki antlaşmayla (Sykes-Picot) Halep, Hama, Humus ve Şam'ı da kapsayacak şekilde bütün Suriye Fransa'nın kontrolüne verilmiştir (Arı, 2008: 109-110).

Osmanlı Devletinin Orta Doğu'da 400 yıldır kontrol ettiği topraklar, İngiliz hükümetini temsilen Mark Sykes ile Fransız hükümetini temsilen Georges Picot tarafından imzalanan 16 Mayıs 1916 tarihli gizli anlaşma (Sykes Picot Anlaşması) ile paylaşılmıştır. Bu anlaşmaya göre, Fransa; Ortadoğu'da Suriye, Lübnan, Kilikya ve Musul gibi önemli bölgeleri İngiltere ise Ürdün, Irak ve Kuzey Filistin'i ele geçirmiştir. Filistin'in geriye kalan ve Müslümanlar-Hristiyanlar tarafından kutsal olarak kabul edilen toprakları üzerinde uluslararası bir hükümet ve sınırları net olarak belli olmayan bir Arap devleti kurulması kararlaştırılmıştır (Sander, 2009: 382). Osmanlı Devleti'nin Suriye toprakları Fransızların 1918-1920 yılları arasında işgale uğramıştır. Milletler Cemiyetinin 1922 yılında Fransız Mandasını tanıması ile Fransızlar siyasi anlamda Suriye'de resmi statü elde etmiştir. 1923 yılında ise Fransızlar Suriye bölgesini daha rahat yönetebilmek adına Suriye ve Lübnan diye iki bölge oluşturmuştur (Owen ve Pamuk, 2015: 89). Fransızlar ayrıca, Suriye'de uzun yıllardır barış ve huzur içerisinde yaşayan dini, etnik ve mezhepsel gruplar arasında var olan harmoniyi bozarak bu grupların birbirlerine karşı çatışacak şekilde siyasal dengeyi inşa etmiştir.

Fransızlar, Suriye ve Lübnan'a anlaşılması karışık olan dini, ekonomik ve politik çıkarları nedeniyle müdahale ettiklerini savunmuştur. Ayrıca Fransızlar bölgedeki Marunilerin (Lübnan'da yaşayan Arap Hristiyanlar) yüzyıllardır eğitilmesi ve dinlerini öğrenmesi adına bölgedeki varlıkları için normatif iddialarını desteklemeye çalışmıştır (Cleveland, 2008: 243). Bununla birlikte Fransızlar daha çok kırsalda yaşayan ve çiftçilik ile uğraşan Arap Alevileri (Nusayri) Suriye'nin güvenlik ve askeri bürokrasisine katalize ederek sonraki yıllarda yaşanacak askeri darbe ve mezhepsel otokrasinin temellerini atmıştır. Bu dönemde yeni kurulan Türkiye Cumhuriyeti ise İngiltere ve Fransa'nın saldırgan tutumlarını kabul etmemekle birlikte daha çok Anadolu'daki işgali sonlandırma ve Misak-ı Milli sınırlarını güvenli hale getirme önceliğine sahip olduğu için Suriye'deki gelişmelerle doğrudan ilgilenmemeyi tercih etmiştir. Bu çalışmada, Türkiye ve Suriye ilişkilerinde önemli belirleyici role sahip olan Hatay Sorunu, 1957 Bunalımı, Sınırı aşan sular - terör meselesi ve son olarak Arap Baharı dönemi Türkiye-Suriye ilişkilerinde yaşanan süreçler analiz edilecektir.

2. 1919-1939 TÜRKİYE-SURİYE İLİŞKİLERİNDE HATAY SORUNU

Fransa, 1936 yılında Suriye ve Lübnan'a bağımsızlık verme kararı almıştır. Bu karar sonrası Türkiye yeni kurulan Suriye ve Lübnan devleti ile daha yakından ve daha rasyonalist bir şekilde ilgilenmeye çalışmıştır. Fransa'nın bu kararı çerçevesinde Hatay'ın bulunduğu İskenderun Sancağı da Suriye topraklarının bir parçası sayılmaktaydı. Bununla birlikte bölgedeki Fransa'nın sahip olduğu egemenlik hakları doğrudan Suriye'ye geçme durumundaydı. Hatay, Musul'a benzer şekilde, Misak-Milli sınırları içinde olmakla beraber milli mücadele esnasında kurtarılamamıştır. Bu nedenle İskenderun Sancağı'nın Suriye'nin egemenliğine geçme durumu Türkiye'ye hamleler yapmak için uygun fırsatlar vermiştir (Arı, 2010: 257). Türkiye'nin bu meseledeki temel iddiası Fransa'nın Suriye'ye bağımsızlık vermesi sonrası, harekete geçerek bağımsızlık Hakkının İskenderun Sancağına da verilmesini istemiştir. Bu anlamda Türkiye öncelik olarak sorunu Fransa ile çözmeye çalışmıştır. Bunun en önemli nedeni, Türkiye Suriye'nin bağımsızlığını desteklemekle birlikte gelecekte iyi ilişkilere sahip olmak istemiştir (Umar, 1999:215). Ayrıca, Hatay'ın nüfusunun çoğunluğunun Türk olması ve Türkiye'nin tezlerini olası bir tercih durumunda destekleyeceklerini anlaşılması üzerine Türkiye, Hatay konusunda daha ısrarlı ve yapıcı davranmaya başlamıştır.

Türkiye, 1937-1939 arası dönemde Avrupa'daki revizionist-anti revizionist kampaşmayı kendi çıkarı açısından önemli fırsatlara çevirmeyi başarmıştır. Bu anlamda sorunu diplomatik yolla çözümlenmeyi başarmıştır. İskenderun Sancağı'nın Hatay adıyla ayrı bir devlet olması 1938'de kabul edilmiştir. 1939 yılında ise Hatay, Türkiye'ye bağlanma kararı almıştır. Bununla birlikte Hatay sorunu Türkiye ve Suriye arasında Fransa'nın 1945'te Suriye ve Lübnan'dan tamamen çekilmesinin ardından tekrar ciddi bir problem olmaya başlamıştır (Arı, 2008: 199). Türkiye'nin bu süreç sonrasında Hatay'ı kendi topraklarına ilhak etmesi tamamıyla uluslararası hukuka uygun ve silah kullanmadan gerçekleşmiştir. Ayrıca Türkiye bu kararını Fransa ve Milletler Cemiyetinin de desteğini alarak gerçekleştirmiştir (Oran, 2014: 48). 1939 yılında Türkiye'ye bağlanan Hatay'ın statüsü Suriyeli elitler ve politikacılar tarafından Türkiye ile yaşanan krizlerde oldukça sık bir şekilde günümüze kadar gündeme gelmeye devam etmektedir. Bu nedenle Türkiye ve Suriye ilişkileri arasında en problematik sorun

alanına sahip olunan yer Hatay Sorunu olmaktadır. Türkiye ve Suriye arasında 1950 yılı sonrasında ortaya çıkan siyasi, ekonomik ve güvenlik sorunlarında Hatay meselesi Şam rejimi tarafından ısrarlı bir şekilde dile getirilerek Türkiye'ye uluslararası baskı kurmak için kullanılmıştır. Bununla birlikte Şam rejimi, Hatay meselesini Suriye halkı nazarında canlı tutmak için Hatay'ı devlet haritalarında ve eğitim müfredatında kendi sınırları içerisinde günümüze kadar göstermeye devam etmiştir.

3. SOĞUK SAVAŞ BAĞLAMINDA BAĞDAT PAKTI VE SURİYE BUNALIMININ İLİŞKİLERE OLUMSUZ ETKİLERİ

Suriye'de ise iç politik gelişmeler Irak ve Mısır'dan oldukça farklı bir seyir izlemiştir. I. Arap-İsrail Savaşı'nın kaybedilmesi, Suriye'de merkezi yönetimin başarısızlığı olarak algılanmıştır ve bu algı, 1949 yılında Hüsnü Zaim tarafından organize edilen Suriye'nin ilk askeri darbesine zemin hazırlamıştır (Slater, 2002: 86). Böylece Suriye, bu tarihten itibaren darbelerle yönetilen bir devlet haline gelmiştir. 1949 yılından 1971'e kadar Suriye'de yaşanan askeri darbelerin temel dayanağı, Arap-İsrail Savaşı'nın kaybedilmesi olarak gösterilmiştir (Mercan, 2012: 54).

Baas'ın 1954'den itibaren Suriye politikasında ağırlığının artmasının ardından Suriye'de 1963 yılında yapılan darbe ile ülke yönetimine tamamen egemen olmasının sonrasında Hatay sorunu iki ülke arasındaki ilişkilerin önemli bir parçasını yeniden oluşturmuştur. Hatay'ın Türkiye'ye katılması Türkiye'nin sadece Suriye ile ilişkilerini değil aynı zamanda Orta Doğu ülkeleri ile ilişkilerini de olumsuz yönde etkilemiştir (Arı, 2008:104). William Polk (Polk, 2007. 120-121) şöyle açıklamaktadır; İran ve Türkiye'ye komşu olmak Irak'ın güvenliğini etkileyen bir unsurdur. Sözgelimi, uzaktaki Mısır'ın böyle ciddi bir endişesi yoktu. Öte yandan, Mısır görece yalnızlığı içinde Sovyetler Birliği ile flört edebilirken, Nuri'nin değerlendirmesine göre Irak için Sovyetler Birliği ciddi bir tehdit kaynağıydı. Bu nedenle 1954'ten itibaren Türkiye ve İran'la daha yakın ilişkiler kurmaya yöneldi; 1955'te Ruslarla ilişkileri kesti. Orta Doğu'nun egemen gücü olarak Britanya'nın rolünü devr alan ABD'nin sonradan Bağdat Paketi olarak anılan yapıyı derlemeye başlaması üzerine, bu oluşuma şevk ile katıldı". Bununla birlikte Suriye'de oldukça farklı gelişmeler yaşanmıştır.

Mısır'da Nasır ise, halkın ekonomik ve siyasi istikrarsızlıklar nedeniyle İngiliz destekli kraliyet ailesine tepkisinin giderek güçlenmesini ve İsrail yenilgisini kendisi için oldukça verimli bir şekilde kullanmıştır. Nasır, yenilginin temel müsebbibi olarak monarşi ve İngilizleri kabul ederek askeri bir darbe ile Mısır monarşisini ortadan kaldırmayı başarmış ve Mısır'ın Sovyetlere yakınlaşmasını sağlamıştır. Bunun yanında Türkiye ve İsrail arasında giderek artan ilişkiler Suriye başta olmak üzere İsrail karşıtı Arap ülkeleri giderek rahatsız etmiştir. Suriye, Batı ve İsrail müttefikleri Türkiye'ye karşı Soğuk Savaş konjontörünü de dikkate alarak Sovyetler ve Mısır ile yakınlaşmaya çalışmıştır.

Sovyetler Birliğinin Orta Doğu'ya sızmasını önlemek amacıyla Orta Doğu ülkeleri arasında bir ittifak kurma fikri esasına öncelik olarak Amerika'dan gelmiştir. Fakat bu fikir Türkiye tarafında gerçekleştirilmiş ve 1955 Şubatında Türkiye ile Irak arasında Bağdat'ta bir ittifak antlaşması imzalanmıştır. Nisan 1955'te İngiltere, Eylül 1955'te Pakistan ve Kasım 1955'te İran Bağdat Paketi'ne katılarak, bu savunma ve işbirliği ittifakı genişletilmiştir. Bu genişlemeye rağmen Irak'ın dışında kalan "Arap" ülkelerinin katılması için yoğun çalışmalar yapılmıştır. Fakat bu amaç başarısız olduğu gibi Orta Doğu fiilen üç gruba bölünmüştür. Birinci grup, Pakta katılan İran, Irak ve Pakistan; ikinci grup, Bağdat Paketine şiddetle cephe alan Mısır, Suriye, Suudi Arabistan ve Yemen; üçüncü grup ise her iki grubun dışında kalan Ürdün ve Lübnan. Bu bölünme Sovyet Rusya'nın Orta Doğu'ya girmesini kolaylaştırıcaktır. Halbuki Bağdat Paketi Orta Doğu'yu Sovyet Rusya'ya karşı birleştirmek amacı ile yapılmak istenmiştir (Armaoğlu, 2005: 491-492). Suriye, Bağdat Paketine müdahil olmadığı gibi Pakt'ın emperyalist bir arzu ile kurulduğuna dair yoğun bir tartışmaya girmiştir. Sovyetler 'in Ortadoğu'da giderek etkinliğini arttırması ABD ve müttefiklerinin karşı politikalar yürütmesini netice vermiştir.

ABD Başkanı Eisenhower 5 Ocak 1957'de Kongreye gönderdiği Eisenhower Doktrini olarak bilinen mesajda ABD Kongresinden aşağıdaki hususlarda kendisine yetki verilmesini talep etmiştir. Bunlar;

1. Bağımsızlığını kazanmak için ekonomik kalkınma çabası içine giren Orta Doğu ülkelere ekonomik yardım yapmak.
2. Bunlardan isteyen ülkelere askeri yardım yapmak.

3. Bu ülkelerin istemeleri şartında “milletlerarası komünizmin kontrolü altında bulunan bir ülkeden gelecek açık silahlı saldırılar karşısında” Amerikan silahlı kuvvetlerinin kullanılması (Armaoğlu, 2005: 502) dir.

ABD ve onun en önemli bölgesel müttefiki olan Türkiye'nin Ortadoğu siyasetinde giderek nüfuzunu arttırması ve Suriye ile kronik sorunların hala devam etmesi Suriye'de Sovyet sempatisini akımların güç kazanmasına ve Türkiye karşıtı grupların birleşmesini kolaylaştırmıştır. Bununla birlikte Ankara tarafından bakıldığında Türkiye'nin elinde Suriye konusunda tedirgin olmak için yeterli tarihsel tecrübe ve sorunlu alanlar vardı. Bununla birlikte bu sorunlar hükümet tarafından hem iç siyasette hem de ABD ile ilişkilerde oldukça fazla bir şekilde kullanılmıştır. Türkiye, Suriye ile yaşanan gerginliklerde olayın başından beri bir silahlı müdahalede bulunmaya niyeti olmamasına rağmen Türkiye'nin müttefiki ABD dahi endişelenmiştir. Bu bağlamda Türkiye'nin aldığı askeri tedbirler Arap ülkelerinin Türkiye'ye karşı duyduğu kaygıyı artırdı ve Türk-Arap ilişkilerine uzun yıllar zarar vermiştir (Baş, 2002: 106). Suriye'nin 1957 yılında Sovyetlere yakınlaşarak askeri, siyasi ve ekonomik ilişkilerini geliştirmek istemesi gerek ABD gerekse de Türkiye tarafından stratejik bir tepki olarak algılanmış ve ikili ilişkiler daha da gerilmeye başlanmıştır.

1957 yılında ABD ve Suriye arasında diplomatik krize sebebiyet veren ABD elçilik görevlilerinin Suriye'den sınır dışı edilmesi olayında Türkiye, Suriye sınırına askeri yığınak yaparak tepki vermiş ve Suriye-Sovyetler yakınlaşmasını kabul etmeyeceğini göstermiştir. Bununla birlikte, Sovyetler 'in Suriye'yi desteklemek adına Türkiye'ye nota vermesi ve Türkiye-Suriye arasında çıkacak sıcak bir çatışmada Türkiye'nin başına büyük bir felaket geleceği konusunda uyarılmıştır. BMGK'nin sorunun çözümü konusundaki yardımları neticesi ile sıcak çatışmaya varmadan sorun çözülmüştür (Balci: 2013: 97). Türkiye'nin bu bunalım esnasında en önemli temel endişesi Kuzey sınırlarında hissetmiş olduğu Komünist yayılmayı güney sınırlarında engellemek etkili olmuştur. Fakat Türkiye'nin bu hamlesi ABD ve SSCB'yi de içine alacak süper güçler arasında bir satranç oyununa dönüşmüştür.

Bununla birlikte, 1960'ın ilk yıllarında ABD ve Türkiye arasında yaşanan çıkar çatışması Türk dış politikasını derinden etkilemiştir. Küba Füze Krizi, Esnek Karşılık stratejisi ve 1964 yılında Jhonson Mektubu gibi gelişmeler önemli itici etkenler olmuştur. Bu yıllarda yaşanan olaylar Türkiye'nin çok taraflı bir dış politika benimsemesi gerçeğini gözler önüne sermiştir. Bu süreç sonrası Türkiye Üçüncü Dünya ve Orta Doğu ülkelerine daha fazla önem göstermiş ve yakınlaşma politikasını yavaş yavaş hayata geçirmiştir. Bunun ilk göstergesi 1967 Arap-İsrail savaşında Türkiye'nin açıkça İsrail'i destekleyecek olan ABD'nin İncirlik üstünü kullanmasına izin vermemesi olmuştur. Türkiye'nin gerek liman gerek hava alanı ve hava sahasının İsrail'e yardım amacıyla kullanılmasına izin verilmesiyle bir anlamda Arapları destekleyen bir tavır ortaya konmuştur. Hemen arkasından Türkiye 1969'da da Rabat'da toplanan İslam Konferansı Örgütü'nün kurulmasına yönelik konferansa iştirak etmiş ve burada ortaya çıkan kararlar doğrultusunda oluşan İslam Konferansı Örgütü'nde de fiilen yer almaya başlamıştır (Arı, 2010: 268). Türkiye'nin 1974 Kıbrıs müdahaleleri sonrasında uluslararası toplumda maruz kaldığı yalnızlık ve yaptırımlar Türk devletinin üçüncü dünya ülkeleri ile ilişkileri geliştirme ve komşularla iyi ilişkileri yeniden güçlendirme stratejisinin de ne kadar doğru bir adım olduğunu göstermiştir. Bu süreç Suriye ile de yakınlaşmaya sebebiyet verse de çok uzun soluklu bir gelişme yaşanmamıştır.

4. HAFIZ ESAT DÖNEMİ TÜRKİYE-SURİYE İLİŞKİLERİ SU VE TERÖR SORUNLARI

Davutoğlu'na göre “Suriye kendi sınırlarını aşan tarihi bir misyon sahibi olduğu görüşünü bir ulusal mutabakat vurgusu olarak ısrarla dile getirmektedir. Kendisini Arapçılık fikrinin ve Arap kimliğinin doğduğu merkez olarak gören Suriye pan-Suriye hedefini pan-Arap hedefinin ön şartı olarak görmekte ve Suriye- merkezli kademeli bir Arap birliği fikrini ulusal stratejinin eksenine oturmaktadır. Bu kademeli stratejiye göre Suriye kendisinden koparılan doğal uzantılar olarak gördüğü Lübnan (Mercan, 2012: 85-87), Ürdün, Filistin ve Hatay'ı da kapsayan Şam-merkezli ve Doğu Akdeniz eksenli Büyük Suriye'yi pan-Arap idealinin kaçınılmaz ön şartı olarak görmektedir. Doğu Akdeniz eksenli olması açısından Levant strateji olarak adlandırılabilir bu strateji Suriye'yi bir taraftan Arap olmayan bölge ülkeleri ile (Türkiye ve İsrail) bir karşılıklı gerilim alanına soktuğu gibi diğer taraftan da bölgenin diğer Arap unsurları ile kaşı karşıya getirmektedir (Davutoğlu, 2010:362).” Bu anlamda Türkiye ve Suriye'nin sınır ve komşuluk sorunları bağlamında Hatay meselesine ek olarak sınırı aşan sular ve terör örgütleri üzerinden ciddi güvenlik sorunları da bulunmaktadır.

1987'deki Türkiye ve Suriye arasında imzalanan protokol uyarınca Türkiye; Suriye'ye saniyede ortalama 500 m3 su vermeye devam etmiştir. Bununla beraber, 1990 Körfez Krizi ile yolları ayrılan Irak ve Suriye'nin Türkiye'ye yönelik bir ortak cephe oluşturmaları özellikle Irak'ın içinde bulunduğu istikrarsız durum itibarıyla zorlaşmıştır.

Körfez Krizi öncesinde 1990 Ocağında GAP projesi çerçevesinde Atatürk Barajı için su tutma girişimi Türkiye ile Suriye ve Irak'ı karşı karşıya getirmiştir. Söz konusu ilişkilerin gerginleşmesi üzerine diğer Arap ülkeleri tarafsızlıklarını koruyamayacaklarını ve Türkiye aleyhine tutum takınacaklarını belli etmişlerdir. Dicle'den Türkiye yeterince yararlanamadığı ve tamamına yakını zaten Irak'a geçtiği için ve bundan Suriye'nin yararlanma imkânı olmadığı için pazarlığı bu iki ülke Fırat üzerinde yoğunlaştırmaya çalışarak ortak egemenlik tezi çerçevesinde Fırat'ın suyunun paylaşılmasını istemişlerdir (Arı, 2010a: 150) Özal, Suriye, Ürdün ve Suudi Arabistan'ın batısında Ceyhan ve Seyhan nehirlerinden sağlanacak olan suyla "barış boru hattı" ve Suudi Arabistan'ın doğusuyla küçük Arap Körfezi emirliklerine su sağlayacağı "Körfez Boru Hattı" projelerini geliştirdi. Su sağlanacak çok sayıda ülkenin yaratacağı siyasi problemler ve proje maliyetinin yüksek olması sebebiyle bu projeler hayata geçirilemedi. Ama yine de, Özal'ın Türkiye'yi bölgede önde gelen bir ekonomik ve siyasi güç haline getirme isteğinin ne derece güçlü olduğunu gösteriyor. Su, Türkiye ile güney komşuları arasında bir işbirliğinden çok, anlaşmazlık meselesi olmuş ve yaşanan diğer sürtüşmeleri daha da güçlendirmiştir.

Suriye yönetimi "terörizmi" düşmanlarına karşı bir silah ve Ortadoğu'da yayılmaya yönelik bir güç olarak kullanmıştır. Bu karanlık savaşın kontrolünü, bir diktatör olan eski Devlet Başkanı Hafız Esad zamanında, ülkenin "Haber alma ve Güvenlik birimlerini kullanarak elinde tutmuştur. Suriye'nin İstihbarat birimleri, (Muhaberat) Batı ülkelerine, İsrail'e, Ortadoğu'da barış isteyen Arap ülkelere ve Esad yönetimine ters düşen gruplara yönelik terör eylemlerini, el altında bulundurdukları terör taşeronlarına ihale etmişlerdir (Başar, 1996. 3). Suriye hükümeti, Türkiye ile 1987 ve 1992'de PKK'ya ülkesindeki faaliyetlere izin vermemeyi öngören protokoller imzalamış olmasına rağmen gereğini yerine getirmemiştir. 1993'ten itibaren Türkiye bu nedenle Suriye'ye karşı daha sert politika izlemeye başlamış, 1998 Ekim'inde ise Öcalan'ı ülkesinden çıkarmak ya da Türkiye ile çatışmaktansa PKK liderini ülkesinden çıkarmayı tercih etmesi, iki ülke arası ilişkilerde dönüm noktası olmuştur. Bu gelişme sonrası Türkiye-Suriye arasındaki ilişkilerde yeni bir dönem başlamıştır (Arı, 2010a: 150).

1995 yılının ilk aylarında Türkiye'nin Güneydoğu Anadolu bölgesinde yaşanan terör faaliyetleri ülkenin diğer bölgelerine de sıçramıştır. PKK'nın Hatay'dan Türkiye'ye girmesi ve terör eylemlerinde bulunması neticesinde Türkiye, Suriye sınırına askeri yığınak yapma ve silahlı kuvvetlerini aktif hale getirme kararı almıştır. Bununla birlikte, Türkiye, İsrail ile var olan ilişkilerini geliştirerek Askeri Alanda Eğitim ve Teknik İşbirliği Anlaşması imzalamıştır. Suriye bu anlaşmadan oldukça tedirgin olarak bu anlaşmanın Araplara karşı yapıldığını iddia etmiştir (Sarıaslan, 2019:35). 1995 yılında Suriye'nin su sorunu üzerindeki anlaşmazlığı uluslararası platformlara taşınması, Hatay'ın Suriye toprağı olduğu üzerindeki propaganda faaliyetleri, Yunanistan ile ilişki kurarak Türkiye'ye gözdağı vermesi Ankara-Şam arasında var olan PKK sorunu ilişkileri daha da germiştir. 1998 yılında aradaki sorunların çözülmemesi hatta daha da karmaşık bir şekilde artması Türk Kara Kuvvetleri Komutanı Suriye'yi Türkiye'nin iç işlerini müdahale etmek ve istikrarını bozmak ile itham etmesi ifadesi ile Şam yönetimi açık bir şekilde uyarılmıştır (Balcı: 2013: 220-221).

1998 yılında iki ülke arasında gerçekleşen Adana Mutabakatı kapsamında düşmanca ilişkilere son verilmeye çalışılmış sonrasında Suriye lideri Baba Esat'ın cenaze törenine Cumhurbaşkanı Ahmet Necdet Sezer'in katılımı ikili ilişkileri daha iyi göstergelere çıkaracağını işaretlemiştir. Türk iç ve dış politikasından ise, bakıldığında Öcalan'ın yakalanması, rejimi tehdit olduğu söylenen Refah Partisi'nin kapatılması iç politikada irtica ve güvenlik oluşumlu söylemlerin seviyesinin oldukça azalmasını sağlamıştır. Ayrıca Türkiye, maruz kaldığı ekonomik krizler ve AB'nin istediği yapısal reformları gerçekleştirmek adına Türkiye'ni dış politikasında da çok önemli değişiklikler olmuştur (Balcı: 2013: 247-248).

5. ARAP BAHARI DÖNEMİ TÜRKİYE-SURİYE İLİŞKİLERİNDE ÇATIŞMA ALANLARI

1998 yılında Türkiye ve Suriye arasında imzalanan Adana mutabakatı ikili ilişkilerde oldukça önemli bir dönüm noktası olmuştur. Bu tarihten sonra Suriye, PKK ve Türkiye karşıtı diğer terör örgütlerine kademeli olarak desteğini azaltan Şam yönetimi ile Ankara arasında 2011 Mart ayına kadar devam edecek iyimser ilişkiler hâkim olmuştur. Türkiye'nin Suriye üzerinde 2005 sonrası artan baskıyı azaltmak amacıyla diplomatik faaliyetlerde bulunması ve uluslararası platformlarda Suriye'yi koruyucu bir tavır takınması ikili ilişkilerdeki güven boyutunu arttırmıştır. 2009 yılında iki ülke arasındaki vizelerin kaldırılarak iş ve turizm alanlarında gelişmelerin yaşanması ve sonrasında imzalanan serbest ticaret anlaşmaları ikili ilişkilerin zirve yaptığı dönemleri göstermektedir. 2010 yılında Tunus'ta başlayan Arap Baharı halk hareketleri (isyanları) sonrası Arap Dünyasında diktatör rejimlerin ardı ardına yıkılmasının etkisi Suriye'yi Mart 2011'de tedirgin etmeye başlamıştır.

Esat rejimi Mart 2011’de Suriye’nin Der’a kentinde başlayan protestolara oldukça sert bir şekilde müdahale etmiştir. İlerleyen günlerde ülkenin diğer bölgelerinde artan protesto hareketleri rejimin daha da sertleşmesine ve buna paralel olarak Türkiye ile ilişkilerin zedelenmesi dönemi başlamıştır (Baczko, Dorronsoro ve Quesnay, 2017:30-35). Türk yetkililer Esat’ı bir an önce demokratik reformları yürürlüğe koyması ve muhalefete karşı sert tepki vermemesi gerektiği konusunda uyarıya da Şam yönetiminden bu konuda karşılık görememiştir. Haziran 2011’de Suriye muhalefetinin Türkiye’de toplantılar düzenlemesi ve 9 Ağustos 2011 tarihinde dönemin Dışişleri Bakanı Davutoğlu’nun Şam ziyaretinin istenildiği gibi olumlu geçmemesi ikili ilişkileri kopma seviyesine getirmiştir (Sarıslan, 2019:49-51). Türkiye, her ne kadar Suriye ile diplomatik ilişkileri sürdürmek istese de Suriye rejiminin barışçıl protestolara oldukça sert müdahalesi Türkiye’yi rejim ve halklar arasında bir tercihe zorlamıştır. Çatışmaların Suriye’de giderek yayılması, Türkiye sınırına biriken yüzbinlerce kişinin durumu ve rejimin Türkiye’nin çabalarını görmemesi ikili ilişkilerin kopmasını kolaylaştırmıştır.

Bununla birlikte Türkiye’nin Müslüman Kardeşler başta olmak üzere Suriye muhalefetine açık destekte bulunması, Suriye’nin de Türkiye karşıtı terör örgütleri ile ilişkilerini geliştirmesini ve Suriye sınırları içerisine de tekrardan PKK ve DHKP-C terör örgütüne hareket alanı yaratmasını da kolaylaştırmıştır. Bununla birlikte, Türkiye sınırları içerisinde meydana gelen bazı bombalı eylemler ve suikastlarda Suriye istihbaratının izi olması Türkiye-Suriye ilişkilerini oldukça derinden etkilemişse Türkiye’nin daha sert politikalara yönelmesini netice vermiştir.

Zengin’in ifade ettiği şekliyle “Orta Doğu’da Mısır olmadan savaş Suriye olmadan barış olmaz sözü” Suriye’nin bölgesel denklemlerinde etkisini göstermesi açısından çarpıcıdır. Suriye, Filistin-İsrail meselesindeki konumu İran ile özel ilişkileriyle, Lübnan içi dengelerdeki rolüyle, bölgedeki örgütlerle olan bağlantılarıyla Orta Doğu haritasında en kritik birkaç ülkeden biri durumunda” (Zengin, 2010:221). Bu da Suriye’nin Hizbullah, Hamas ve hatta PKK gibi örgütler ile her daim yakın temas içerisinde olduğunu teyit etmektedir. Suriye Savaşı öncesi Hizbullah’ın üzerinde daha güçlü egemenlik kurabilen Suriye iç savaşta tamamıyla İran ve Hizbullah’a bağımlı kalmıştır. Öyle ki Nasrallah Suriye protestolarının ilk günü Amerikan –İsrail olarak gördüğü kışkırtmaları daha sonraki dönemde ise İsrail’e karşı Suriye sınırlarının içinde verilen mücadele olarak tanımlamıştır ((Baczko, Dorronsoro ve Quesnay, 2017: 183). Suriye sorununun giderek karmaşık bir hale gelmesi ile 2013 yılında kendisini Suriye’de güvensiz olarak hisseden Hamas, Körfez ülkeleri özellikle Katar’a yakınlaşarak Suriye’den uzaklaşmıştır fakat İran ile 2014 yılı başlarında tekrar iletişime geçmiştir ((Baczko, Dorronsoro ve Quesnay, 2017: 183). Hizbullah’ın Türkiye karşıtlığı ve iç savaşta mezhepsel bir zeminde okuması örgütün Suriye rejimi yanında daha güçlü durmasını ve İran’dan daha fazla destek almasını kolaylaştırmıştır. Suriye iç savaşının hızlı bir şekilde etki alanının genişlemesi İran, Türkiye, Suudi Arabistan ve Katar gibi bölgesel güç olan ülkelerde karşı karşıya gelmelerine neden olmuştur. Bununla birlikte Rusya, Suriye’deki çıkarlarını korumak ve ABD de bölgedeki, nüfuzunu sağlamlaştırmak için Suriye krizine doğrudan ve dolaylı araçlarla müdahalede bulunmuştur.

Türkiye, Suriye ile yaşanan diplomatik ve siyasi krizler neticesinde 2015-2020 tarihleri arasında birçok kez Suriye’ye askeri anlamda müdahale etmek zorunda kalmıştır. 22 Şubat 2015 tarihinde Suriye sınırları içerisindeki Türk toprağı sayılan Süleyman Şah türbesinin taşınması, PKK ve DAESH terör örgütlerine karşı 24 Ağustos 2016 tarihinde başlanılan Fırat Kalkanı operasyonu bunların en önceleridir. Bununla birlikte 2018 yılında başlanılan Zeytin Dalı Harekâtı ve Ekim 2019’daki Barış Pınarı Harekâtı Türkiye’nin Suriye’deki oldukça önemli müdahaleleri olmuştur. Ayrıca son olarak ise Şubat 2020’de ki Bahar Kalkanı Harekâtı ile Ankara, Suriye’deki varlık ve çıkarlarını önemli ölçüde korumak istemiştir (Sarı, 2020). Türkiye ve Suriye arasında iç savaş süresince yaşanan çatışma ve rekabet Libya, Doğu Akdeniz ve iki ülkenin de nüfuz sahibi olmak istediği diğer bölgelerde sıçrayarak taraflar aralarındaki rekabeti daha şiddetli ve keskin bir şekilde sürdürmüştür.

6. SONUÇ

Türkiye ve Suriye halkları çok uzun yılların birikimi olan dini, mezhepsel, kültürel, ekonomik ve siyasi bağlara sahip olmaktadır. Osmanlı Devleti’nin son yıllarında yaşanan talihsiz olaylar ve Suriye’nin bağımsız bir devlet olma sonrası Hatay meselesi başta olmak üzere iki ülkenin bir dizi sorunlara sahip olduğu bu çalışmada analiz edilmiştir. Türkiye ve Suriye ilişkileri bütün dünyayı etkileyen soğuk Savaş süreci de oldukça etkilemiştir. Türkiye’nin NATO ve ABD müttefiki olması, Suriye’nin ise Sovyetlere yönelmesi ikili ilişkilerde yaşanan sorunlara ideolojik sorunları da etkilemiş olduğu çalışmada ulaşılmıştır. Bununla birlikte, Soğuk Savaş paranoyası ile 1957 yılında Türkiye ve Suriye arasında yaşanan bunalımda Türkiye’nin temel endişesi Sovyetler ’den hissettiği tehdidin güney sınırlarına inmesine engel olmak. Suriye ise, ABD ve müttefiklerinin Ortadoğu’da rahat hareket etmesini engellemek ve içi işlerinde daha özgür olmak adına Sovyetler ile yakınlaşmayı tercih ederek ABD ve

Türkiye ile gergin ilişkiler yaşamıştır. Her ne kadar ikili ilişkiler zaman zaman düzleme eğilimi göstermiş olsa da iki ülkenin sahip olmuş olduğu sınırı aşan sular üzerindeki hak iddialarında bulunması iki tarafında birbirlerine karşı sert söylemler kullanmasını ve meselenin bir güvenlik sorununa dönüşmesine neden olmuştur.

Soğuk Savaş sonrasında ilk yıllarında Türkiye’de artan PKK saldırıları ve bunun Türkiye açısından kabul edilemez bir seviyeye ulaşması iki ülke arasında olası savaş senaryolarının gündeme getirildiği bir durumu ortaya çıkarmıştır. Tarafların sıfır toplamlı bir oyundan karşılıklı kazan kazan stratejilerine döndüğü Adana Mutabakatı sonrası süreç iki ülke arasındaki ilişkilerin zirve yaptığı yıllar olmuştur. Ortak askeri tatbikatlar, vizelerin kaldırılması ve serbest ticaret anlaşmaları bu sürecin en önemli meyveleri olmuştur. 2011 Mart ayında Suriye’ye sıçrayan Arap Baharı halk hareketleri Türkiye’yi rejim ve halk arasında bir tercihe zorlamıştır. Türkiye ve Suriye arasında başlayan bu ihtilaf Türkiye’nin rejimi meşru otorite olarak kabul etmeyerek Suriye muhalefetini desteklemesini netice veren süreci başlattığı yukarıda analiz edilmiştir. Ayrıca Türkiye diplomatik araçların kullanılması sonrası kendi ulusal sınır ve güvenliğini terör ve rejim unsurlarına karşı kontrol altına almak adına sert askeri önlemler alma mecburiyetinde kalmıştır.

KAYNAKÇA

- Arı, T. (2008). Geçmişten Günümüze Ortadoğu ,Siyaset, Savaş ve Diplomasi, 4.b., Bursa, Mkm Yayınları
- Arı, T. (2010). Uluslararası İlişkilere Giriş,2.b.,Bursa,mkm yayınları
- Arı, T. (2010a). Yükselen Güç; Türkiye-ABD İlişkileri ve Orta Doğu, Mkm Yayınları, Bursa
- Armaoğlu, F. (2005). 20 yüzyıl Siyasi Tarihi, 15b. İstanbul, Alkım Yayınevi
- Baczko, A., Dorronsoro G. ve Quesnay, A. (2017). Suriye Bir İçsavaşın Anatomisi, Çev. Ayşe Meral, İstanbul: İletişim Yayınları
- Balcı, A. (2013). Türkiye Dış Politikası: İlkeler, Aktörler, Uygulamalar, Etkileşim Yayınları, İstanbul, 2013
- Baş, A. (2002).”1957 Suriye Krizi ve Türkiye”, History Studies, volume 4/1,
- Başar,C. (1996). Terör Dosyası ve Suriye, Uluslararası Araştırmalar Merkezi Yayınları, Lefkoşa
- Cleveland, W. (2008). Modern Ortadoğu Tarihi, Çev. Mehmet Harmancı, Agora Yayınevi, İstanbul
- Davutoğlu, A. (2010). Stratejik Derinlik Türkiye’nin Uluslararası Konumu,51b., İstanbul: Küre Yayınları
- Hale, W. (2003). Türk Dış Politikası 1974-2000, çev. Petek Demir, Mozaik Yayınevi,İstanbul
- Mercan, M. H. (2012). Suriye Rejim ve Dış Politika, İstanbul: Açılım Kitap
- Oran, B. (2014). Türk Dış Politikası: kurtuluş Savaşından Bugüne Olgular, Belgeler, Yorumlar:1919-1980, Ed. Baskın Oran, 19 b., Cilt 1, İletişim Yayınları, İstanbul
- Owen R. ve Pamuk, Ş. (2015). 20.Yüzyılda Ortadoğu Ekonomileri Tarihi, 2b, Sabancı Üniversitesi Yayınları, İstanbul
- R. Polk, W. (2007). Irak’ı Anlamak, çev.Nurettin Elhüseyini,2.b.İstanbul,NTV Yayınları
- Sander, O. (2009). Siyasi Tarih İlk Çağlardan 1918’e, 18.b. İstanbul, İmge Kitapevi Yayınları
- Sarı, İ. (2020) “Suriye İç Savaşı Onuncu Yılına Girerken”, 26.03.2020, <https://iramcenter.org/suriye-ic-savasi-onuncu-yilina-girerken/> (e.T. 15.08.2020)
- Sariaslan, F.K. (2019). Ortadoğu ve Türkiye, Ankara: Nobel Yayınları
- Slater, J. (2002) “Lost Opportunities for Peace in the Arab-Israeli Conflict: Israel and Syria, 1948-2001,” International Security, Vol. 27, No. 1
- Umar Ö. O. (1999) Osmanlı Yönetiminde ve Fransız Mandası Döneminde Suriye’de Arap Bağımsızlık Hareketleri (1908-1938),Yayımlanmamış Doktora Lisans Tezi, (Elazığ: Fırat Üniversitesi, 1999)
- Zengin, G. (2010). HOCA Türk Dış Politikasında “Davutoğlu Etkisi” , İstanbul, İnkılâp Kitabevi,2010

Türk Bankacılık Sisteminde Kamu, Özel ve Yabancı Sermayeli Mevduat Bankalarının 2015-2019 Yılları Arasındaki Finansal Performanslarının DuPont Sistemine Göre Karşılaştırmalı Olarak İncelenmesi

Doç. Dr. Erdal ARSLAN¹

Dr. Öğr. Üyesi Ali BORA²

¹Selçuk Üniversitesi, İİBF, İktisat Bölümü, erdalarslan@selcuk.edu.tr, ORCID 0000-0003-4892-2963.

²Selçuk Üniversitesi, Sosyal Bilimler MYO, Finans Bankacılık ve Sigortacılık Bölümü, ali.bora@selcuk.edu.tr, ORCID 0000-0002-1766-0123

Özet: Türk Bankacılık Sisteminde mevduat bankaları sermaye yapılarına göre kamu sermayeli mevduat bankaları, özel sermayeli mevduat bankaları ve yabancı sermayeli mevduat bankaları olarak gruplandırılmaktadır. Yıllar itibariyle artışlar gösterse de 1954 yılında 14 olan kamu sermayeli mevduat bankası sayısı 1964 yılında 12'ye, 1986 yılında 8'e, 1992'de 6'ya, 1995'te 5'e, 1998'de 4'e gerilemiş, 2001 yılında 3'e düştükten sonra bu yıldan itibaren 3 olarak varlığını devam ettirmiştir. 2006 yılına kadar özel sermayeli mevduat bankalarının sayısı yabancı sermayeli mevduat bankalarının sayısından yüksek olurken, 2006 yılında bu durum değişmiş ve yabancı sermayeli mevduat bankaları sayı olarak özel sermayeli mevduat bankalarını geçmiştir. 2015 yılından itibaren Türk Bankacılık sisteminde 3 kamu sermayeli mevduat bankası, 9 özel sermayeli mevduat bankası ve 21 yabancı sermayeli mevduat bankası faaliyetine devam etmektedir. DuPont sistemi ilk başlarda şirketlerin finansal performanslarını, finansal oranlardan özkaynak karlılığı ile ölçmek için kullanılan, daha sonra bankacılık sektörüne uyarlanarak bu sektörde de kullanılmaya başlanan bir finansal analiz tekniğidir. DuPont sisteminde özkaynak karlılığının kaynağı detaylı olarak analiz edilmektedir. Bu çalışmada Türk Bankacılık Sektöründe faaliyet gösteren mevduat bankaları sermaye sahipliğine göre gruplandırılarak, 2015-2019 yılları arası finansal performansları DuPont sistemine göre karşılaştırmalı olarak incelenmektedir. Kamu sermayeli mevduat bankaları 2015-2018 yılları arasında sektör ortalamasının üzerinde özkaynak karlılığı elde ederken 2019 yılında sektör ortalamasının altında özkaynak karlılığı elde etmiş, özel sermayeli mevduat bankaları ağırlıklı olarak sektör ortalamasının altında kalmış, yabancı sermayeli mevduat bankaları ise özellikle 2018 ve 2019 yıllarında sektör ortalamasının üzerinde özkaynak karlılığına sahip olmuşlardır. Bu çalışmada özellikle sektör ortalamasının altında özkaynak karlılığı elde eden banka gruplarının başarısızlıklarının kaynakları DuPont sistemi ile incelenmektedir. Çalışmada Türkiye Bankalar Birliğinin yayınlamış olduğu istatistikler ve raporlardan elde edilen veriler kullanılmıştır.

Anahtar Kelimeler: DuPont Sistemi, Finansal Oran Analizi, Türk Bankacılık Sistemi, Bankaların Performansları, Özkaynak Karlılığı

Abstract: In the Turkish Banking System, deposit banks are grouped according to their capital structures as state-owned, private-owned and foreign-owned banks. Although it has increased over the years, the number of deposit banks with public-owned which was 14 in 1954, declined to 12 in 1964, 8 in 1986, 6 in 1992, 5 in 1995, 4 in 1998 and after falling to 3 in 2001, it continued to exist as 3 from this year. Until 2006, the number of private-owned deposit banks was higher than the number of foreign-owned deposit banks, while in 2006 this situation changed and foreign-owned deposit banks passed private-owned deposit banks as a number. Since 2015, 3 state-owned deposit banks, 9 private-owned deposit banks and 21 foreign-owned deposit banks have been operating in the Turkish Banking System. The DuPont system is a financial analysis technique primarily used to measure the financial performance of the companies by their return on equity from financial ratios, then adapted to banking sector and used in this sector. In the DuPont system, the sources of return on equity is analyzed in detail. In this study, deposit banks operating in the Turkish banking sector are grouped according to capital ownership and their financial performance between 2015-2019 is examined comparatively according to the DuPont system. State-owned deposit banks between the years 2015-2018, while getting a return on equity above the industry average achieved a return on equity lower than the sector average in 2019, private-owned deposit banks under the industry average, foreign-owned deposit banks particularly in 2018 and 2019 have return on equity above the industry average. In this study, the sources of failures of bank groups that achieve return on equity below the sector average are examined with DuPont system. In the study, data obtained from statistics and reports published by The Banks Association of Turkey were used.

Keywords: DuPont System, Financial Ratio Analysis, Turkish Banking System, Performance of Banks, Return on Equity

1. GİRİŞ

Bankaların faaliyetleri sonucunda ortaya çıkan finansal performansları değişik yöntemlerle ölçülmektedir. Bu ölçme yöntemlerinden biri de finansal oran analizidir. Bu yöntem kolay anlaşılabilir olması nedeni ile tercih edilmektedir. DuPont sistemi çoklu oran analizi yöntemi olarak da ifade edilmektedir. Bu analizde banka

faaliyetleri sonucu özkaynak karlılığına göre değerlendirilmektedir. Özkaynak karlılığı banka sahip ve ortakların bankaya sermaye olarak koydukları her bir TL karşılığı elde ettiği karı göstermektedir. Bu çerçevede özkaynak karlılığı banka sahip ve ortakları ile potansiyel yatırımcılar için önemli bir gösterge olmaktadır. Diğer bankalarla karşılaştırılarak bir bankanın özkaynak karlılığına göre başarılı ya da başarısız olduğu ortaya konabilmektedir. Özkaynak karlılığında problem olan bankanın bu başarısızlığının nedeni DuPont sistemine göre özkaynak karlılığı bileşenleri incelenerek ortaya konabilmektedir. Türk Bankacılık Sektöründe sahiplik yapılarına göre mevduat bankaları kamu sermayeli, özel sermayeli ve yabancı sermayeli mevduat bankaları olarak gruplandırılmaktadır.

Türk Bankacılık Sektöründe sahiplik yapılarına göre banka gruplarının sayısı incelendiğinde yıllar itibarıyla artış gösterse de 1954 yılında 14 olan kamu sermayeli mevduat bankası sayısı 1964 yılında 12'ye, 1986 yılında 8'e, 1992'de 6'ya, 1995'te 5'e, 1998'de 4'e gerilemiş, 2001 yılında 3'e düştükten sonra bu yıldan itibaren 3 olarak varlığını devam ettirmiştir. 2006 yılına kadar özel sermayeli mevduat bankalarının sayısı yabancı sermayeli mevduat bankalarının sayısından yüksek olurken, 2006 yılında bu durum değişmiş ve yabancı sermayeli mevduat bankaları sayı olarak özel sermayeli mevduat bankalarını geçmiştir. 2015 yılından itibaren Türk Bankacılık Sektöründe 3 kamu sermayeli mevduat bankası, 9 özel sermayeli mevduat bankası ve 21 yabancı sermayeli mevduat bankası faaliyetine devam etmektedir.

Çalışmanın giriş bölümünden sonra gelen literatür incelemesinde DuPont sistemi kullanılarak yapılan banka finansal performans incelemeleri ile ilgili çalışmalar ve ulaşılan sonuçlar değerlendirilmiş, üçüncü bölümde Türkiye Bankalar Birliği (TBB) istatistik ve raporları kullanılarak 2015-2019 dönemi Türk Bankacılık Sektörünün yapısı ile ilgili bilgiler verilmiş, dördüncü bölümde DuPont sistemi ve bileşenleri hakkında bilgi verilmiş ve beşinci bölümde Türk Bankacılık Sektöründe sahiplik yapılarına göre bankalar DuPont finansal analiz yöntemine göre incelenmiştir.

2. LİTERATÜR İNCELEMESİ

Ajmera (2012) tarafından yapılan çalışmada DuPont modeli ile 2006-2011 yılları arası bankacılık sektörünün finansal sağlığı analiz edilmiş, PBIDT/Satışlar oranı en yüksek banka SBI, Satışlar/Net varlıklar oranı en yüksek Corporation Bankası, PBDIT/Net varlık oranı en yüksek SBI, Dena Bank ve Corporation Bankası, PAT/PBDIT oranı en yüksek Dena Bank, Net varlık/Net değer oranı en yüksek Baroda Bank ve Özkaynak karlılık oranı (ROE) en yüksek SBI olarak belirlenmiştir.

Balaj (2015) tarafından yapılan çalışmada Kosova'da yerli ve yabancı bankaların 2001-2007 dönemine ait finansal performansları DuPont finansal analiz modeli kullanılarak karşılaştırmalı olarak incelenmiş; yabancı bankaların daha etkin ve karlı olduğu, daha yüksek aktif karlılığı ve özkaynak karlılıklarına sahip olduğu belirlenmiştir. Yabancı bankaların yüksek özkaynak karlılık oranları yüksek faiz marjından kaynaklandığı belirlenmiş, bu durum, yabancı bankaların maliyet yönetiminin daha iyi olduğu ve yüksek kaldıraç oranı kullandıklarının göstergesi olarak değerlendirilmiştir. Yabancı bankalarla karşılaştırıldığında yerli bankaların daha yüksek aktif verimliliğine rağmen düşük karlılığının nedeni zayıf kalitede kredi portföyüne bağlı olarak yüksek kredi karşılıkları maliyetleri olarak belirlenmiştir. Buna göre, yerli bankaların çoğunlukla düşük kredibiliteye sahip müşterilere sahip olduğu sonucuna ulaşılmıştır.

Haider (2016) tarafından yapılan çalışmada Hindistan bankacılık sektörünün en büyük kamu ve özel sermayeli bankalarından Baroda Bank ve HDFC Bank'ın finansal karlılığı Dupont yöntemiyle analiz edilmiş, HDFC Bank'ın Baroda Bank'a göre finansal kaynakları daha etkin yönettiği sonucuna ulaşılmıştır.

Rooplata (2016) tarafından yapılan çalışmada Hindistan'da 19 ulusal banka performansı DuPont analiz yöntemiyle incelenmiş, sonuçta Baroda Bank ile India Bank karşılaştırılmış, Baroda Bank son beş yılda en yüksek karı elde etmesine rağmen India Bank daha yüksek özkaynak karlılığı elde etmiştir. Bu durumda daha yüksek kar elde eden bankanın daha yüksek özkaynak karlılığı elde edeceği anlamına gelmediği sonucuna ulaşılmıştır.

Rahman ve Mia (2018) tarafından yapılan çalışmada 15 Bangladeş ticaret bankasının DuPont yöntemiyle 2010-2016 dönemine ait finansal performansları incelenmiş, çalışma sonucunda Dhaka Bank en yüksek, AB Bank'ın ise en düşük özkaynak karlılığına sahip olduğu belirlenmiştir.

AlAli (2019) tarafından yapılan çalışmada Kuveyt bankalarının 2012-2017 dönemi finansal performansları DuPont sistemine göre analiz edilmiş, National Bank of Kuwait aktif karlılığına göre en iyi banka, Ahli United bankası ikinci en iyi banka olmuş, özkaynak karlılığına göre ise Ahli United bankası en iyi performansa sahip

banka, National Bank of Kuwait ise ikinci en iyi banka olmuştur. Diğer taraftan en kötü performansa sahip bankanın ise Warba bankası olduğu, AlAhli bankasının da onu takip ettiği belirlenmiştir.

Ülkelerle ilgili yapılan çalışmaların yanında Türk Bankacılık Sektöründe faaliyet gösteren bankaların finansal performansları ile ilgili çalışmalar da mevcuttur. Bunlardan Önal ve Sevimeser (2006) tarafından yapılan çalışmada Türk bankacılık sektöründe faaliyet gösteren bankaların sahiplik yapılarına göre etkinlikleri karşılaştırılmıştır. Çalışmanın sonucunda en etken banka grubunun yabancı bankalar olduğu, bu banka grubunu kamu bankalarının takip ettiği ve özel bankaların etkinlik açısından listenin sonunda yer aldığı sonucuna ulaşılmıştır.

Aktaş ve Kargın (2007)'a ait çalışmada, 2003 – 2006 döneminde Türk bankacılık Sisteminde faaliyet gösteren yabancı bankalar ile ulusal (kamu ve özel) bankalar bazı finansal oranlar açısından karşılaştırılmıştır. Çalışmanın sonucuna göre, yabancı bankaların daha yüksek sermaye yeterlilik oranlarına ve daha yüksek likidite oranlarına sahip olduğu belirlenmiştir. Aktif kalitesi ve karlılık oranları açısından yabancı bankalar ile ulusal bankalar arasında anlamlı bir farklılık bulunmamıştır.

Akbulut ve Albayrak (2009) çalışmalarında, Türkiye’de mülkiyet yapısı açısından bankaların performansı ve bu mülkiyet yapılarının hangi faktörlere göre ayrıştığını incelemiştir. Çalışmada temel bileşenler analizi ile mevduat bankaları için yıllara göre performans endeksleri elde edilmiş, elde edilen endekslere göre genelde yabancı bankaların özel ve kamu bankalarından daha iyi bir performansa sahip olduğu görülmüştür.

Ata (2009) tarafından yapılan çalışmada, Türk bankacılık sektöründe yer alan yerli ve yabancı bankalar finansal performansları açısından karşılaştırılmış, bankacılık sektörüne yabancı sermaye girişinin bankaların performansı üzerindeki etkisi analiz edilmiştir. Çalışmanın sonucunda performans göstergeleri açısından yerli bankaların yabancı bankalara oranla daha etkin olduğu ancak özellikle faiz dışı giderin toplam aktife oranı, aktif karlılığı ve faaliyet karının toplam aktife oranı açısından yabancı bankaların etkinliğinin arttığı ortaya konmuştur.

Yücel (2009) tarafından yapılan çalışmada, Türkiye’de faaliyet gösteren 3’ü kamu, 10’u özel sermayeli mevduat bankası ve 11 tanesi de Türkiye’de kurulmuş yabancı bankadan oluşan 24 bankanın, 2002-2007 yılları arasındaki performansları değerlendirilmiştir. Çalışmanın sonucunda 2002 yılında kamu bankalarının; sermaye, likidite, kredi ve karlılık oranları bakımından yabancı bankalar ve özel sermayeli bankaların önüne geçtikleri belirlenmiş, bu durum 2003 – 2004 yıllarında benzer biçimde devam etmiş, 2005 yılında ise yabancı ve özel sermayeli bankaların lehine dönmeye başlamıştır.

Demirel, Atakişi ve Abacıoğlu (2013) tarafından yapılan çalışmada, özel, kamu ve yabancı mevduat bankalarının faaliyet oranları ve karlılık göstergeleri, 2002 Mart – 2012 Haziran arasında üçer aylık veriler kullanılarak incelenmiştir. Çalışmada, “personel giderleri / toplam aktif” ve “operasyonel giderler / toplam aktif” oranlarında kamu bankalarının daha verimli çalıştığı tespit edilmiştir. Özel karşılıklar sonrası net faiz geliri / toplam aktifler oranında kamu sermayeli mevduat bankalarının, net faiz geliri / toplam aktifler oranında ise yabancı sermayeli bankaların daha yüksek karlılık göstergelerine sahip olduğu belirlenmiştir.

Kandemir ve Arıcı (2013)’de, Türkiye’de faaliyet gösteren mevduat bankalarının mülkiyet yapılarına göre gruplandırılarak 2001 – 2010 dönemine ait performansları karşılaştırmalı olarak analiz edilmiştir. Yapılan çalışma sonucunda, 2001 krizi sonrasında mevduat bankalarının yüksek sermaye yeterlilik ve likidite oranlarına sahip oldukları, yabancı sermayeli mevduat bankalarının aktif kalitesi ve yönetim kalitesi açısından en iyi performans gösteren banka grubu olduğu sonucuna ulaşılmıştır.

Gümüş ve Nalbantoğlu (2015) tarafından yapılan çalışmada, kamu, yerli özel, yabancı sermayeli ve katılım bankalarından oluşan Türk Bankacılık Sektörünün 2002 – 2013 dönemi performansı, CAMELS analiz yöntemiyle karşılaştırmalı olarak incelenmiştir. Çalışma sonucunda, yerli özel sermayeli bankaların yönetim kalitesi ve karlılıkta başarılı performans gösterdiği ve güçlü sermaye yapıları ile en yüksek nota sahip banka grubu olduğu belirlenmiştir. Kamu sermayeli bankaların güçlü sermaye yapısı ve aktiflerindeki düzelme nedeni ile ikinci sırada yer aldığı, yabancı sermayeli bankaların ise takip oranlarının artmasının karlılık ve yönetim kalitesi üzerindeki etkileri nedeni ile zayıf bir görünüme çizdiği sonucuna ulaşılmıştır.

Arslan (2017) tarafından yapılan çalışmada Türk Bankacılık Sisteminde aktif büyüklüğüne göre ilk yedi bankanın 2003–2015 dönemi faaliyetleri oran analizi yöntemi ile karşılaştırmalı olarak incelenmiş, çalışma sonucunda sektör paylarına göre bankalar sıralandığında; incelenen oranların tamamında aynı kamu bankası ilk sırayı alırken, karlılık oranlarında; sektör paylarında ilk sırayı alan kamu bankası incelenen dört orandan ikisinde ilk

sırayı almakta, diğer iki orandan birinde özel sermayeli banka diğerinde ise yabancı sermayeli banka ilk sırayı aldığı belirlenmiştir.

Gümüş ve Çıbık (2018) tarafından yapılan çalışmada DuPont yöntemi kullanılarak borsada işlem gören gayrimenkul yatırım ortaklığı şirketleri içindeki 25 şirketin özsermaye verimlilik analizleri yapılmış, bu analizler sonucunda en iyi işletme Ak Merkez GYO işletmesi olduğu, şirketin özsermaye verimliliğinin yüksek olmasının sebebi net kar marjının yüksek olması ve aktif devir hızı oranının da diğer işletmelere göre yüksek olması sonucuna ulaşılmıştır.

3. TÜRKİYE'DE 2015-2019 DÖNEMİ BANKACILIK SİSTEMİNİN YAPISI

Türk Bankacılık Sisteminde mevduat bankaları sermaye yapılarına göre kamu sermayeli mevduat bankaları, özel sermayeli mevduat bankaları ve yabancı sermayeli mevduat bankaları olarak gruplandırılmaktadır. Yıllar itibariyle artışlar gösterse de 1954 yılında 14 olan kamu sermayeli mevduat bankası sayısı 1964 yılında 12'ye, 1986 yılında 8'e, 1992'de 6'ya, 1995'te 5'e, 1998'de 4'e gerilemiş, 2001 yılında 3'e düştükten sonra bu yıldan itibaren 3 olarak varlığını devam ettirmiştir. 2006 yılına kadar özel sermayeli mevduat bankalarının sayısı yabancı sermayeli mevduat bankalarının sayısından yüksek olurken, 2006 yılında bu durum değişmiş ve yabancı sermayeli mevduat bankaları sayı olarak özel sermayeli mevduat bankalarını geçmiştir. (Türkiye Bankalar Birliği, 2020).

Tablo 1: Türk Bankacılık Sisteminde Sahiplik Yapılarına Göre Banka Sayıları, 2015-2019

Mevduat Bankaları	2015	2016	2017	2018	2019
Kamu Sermayeli	3	3	3	3	3
Özel Sermayeli	9	9	9	9	9
Yabancı Sermayeli	21	21	21	21	21
Toplam	33	33	33	33	33

Kaynak: Türkiye Bankalar Birliği, 2020.

Tablo 1'e göre 2015-2019 dönemi boyunca Türk Bankacılık sisteminde 3 kamu sermayeli mevduat bankası, 9 özel sermayeli mevduat bankası ve 21 yabancı sermayeli mevduat bankası faaliyet göstermiştir.

Tablo 2: Bankaların Sektör Payları (%), 2019

Mevduat Bankaları	Toplam Aktifler	Krediler	Mevduat
Kamu Sermayeli	36,3	38,5	40,3
Özel Sermayeli	33,2	30,6	35,1
Yabancı Sermayeli	23,2	22,0	24,7

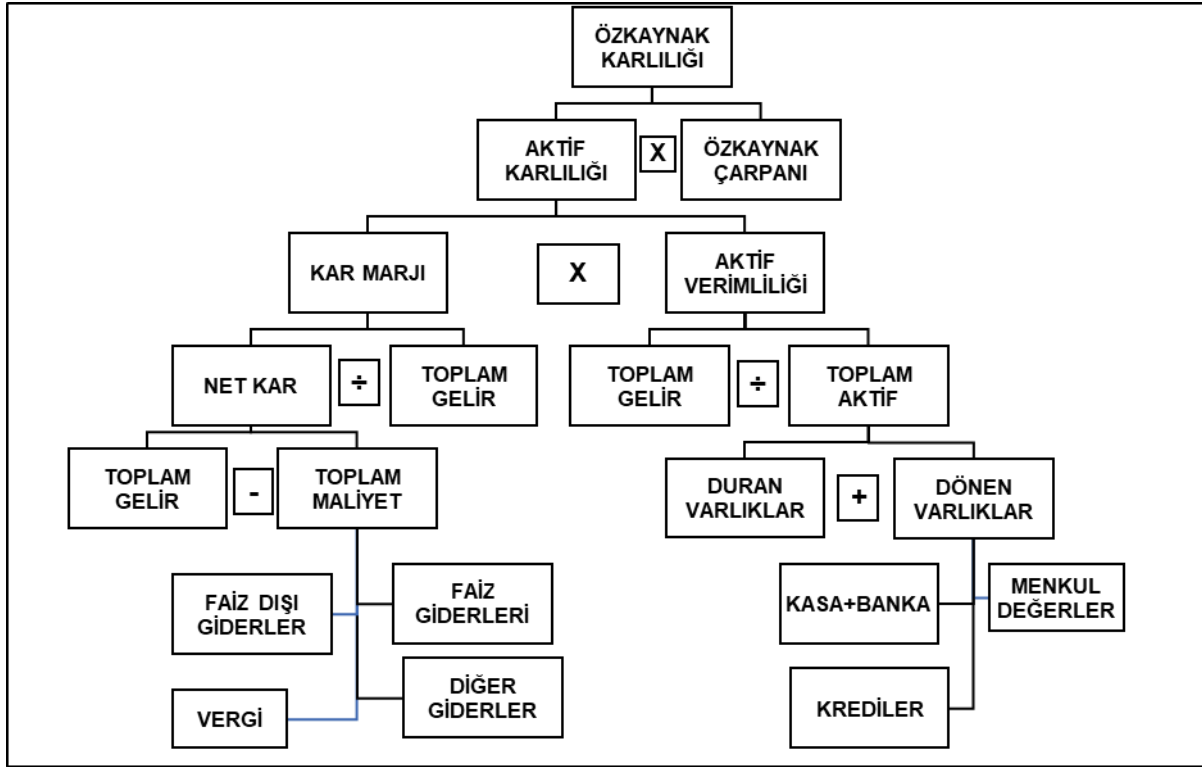
Kaynak: Türkiye Bankalar Birliği, 2020.

Tablo 2'ye göre bankaların sektör payları toplam aktifler, krediler ve mevduata göre 2019 yılı için incelendiğinde; kamu sermayeli mevduat bankalarının diğer iki banka grubundan daha yüksek paya sahip olduğu görülmektedir. Özel sermayeli bankalar kamu sermayeli bankaların ardından ikinci sırada gelmektedir.

4. DUPONT FİNANSAL ANALİZ YÖNTEMİ

Birleşik oranlar analizi olarak da ifade edilen DuPont sistemi ilk kez 1919 yılında bir kimya firması olan Du-pont firması tarafından kullanıldığı için bu isimle isimlendirilmektedir (Gümüş ve Çıbık, 2019, 2182). Bu analiz yöntemi öncelikle şirketler tarafından kullanılmış, daha sonra model geliştirilerek bankacılık sektöründe finansal performansın ölçümü için kullanılmaya başlanmıştır (Balaj, 2015, 72). Bu sistemde özkaynak karlılığının kaynağı detaylı olarak analiz edilmektedir.

Şema 1: Bankacılık Sektörü Açısından DuPont Şeması



Kaynak: Berk, 1999: 53; Tandon vd., 2016: 66.

DuPont sistemi, işletmenin dönemsel faaliyetinin sonucunu nihai olarak özkaynak karlılığı ile ölçen çoklu finansal oran analizi yöntemidir. Şema 1'de gösterilen özkaynak karlılığını oluşturan bileşenler aşağıdaki şekilde formüle edilmektedir (Rose ve Fraser, 1988: 201).

$$\text{Özkaynak Karlılığı} = \frac{\text{Net Kar}}{\text{Toplam Özkaynak}} \quad (1)$$

$$\text{Özkaynak Karlılığı} = \text{Aktif Karlılığı} \times \text{Özkaynak Çarpanı} \quad (2)$$

$$\text{Özkaynak Karlılığı} = \frac{\text{Net Kar}}{\text{Toplam Aktifler}} \times \frac{\text{Toplam Aktifler}}{\text{Toplam Özkaynak}} \quad (3)$$

$$\text{Aktif Karlılığı} = \text{Kar Marjı} \times \text{Aktif Verimliliği} \quad (4)$$

$$\text{Özkaynak Karlılığı} = \text{Kar Marjı} \times \text{Aktif Verimliliği} \times \text{Özkaynak Çarpanı} \quad (5)$$

Özkaynak karlılığı dönem sonu elde edilen net karın toplam özkaynaklara bölünmesi (1) ile bulunmaktadır. Özkaynak karlılığı aktif karlılığı ile özkaynak çarpanının çarpılması (2) sonucu da hesaplanabilmektedir. Aktif karlılığı kar marjı ile aktif verimliliği çarpılarak elde (4) edildiği dikkate alındığında özkaynak karlılığı; kar marjı, aktif verimliliği ve özkaynak çarpanının çarpılması (5) ile hesaplanabilmektedir. Eğer bankanın özkaynak karlılığında bir problem varsa bu problemin kaynağının bulunması açısından bu formül yol gösterici olmaktadır. Buna göre bir bankanın özkaynak karlılığı sektör ortalamasının altında kalmışsa bunun nedeninin kar marjından mı, aktif verimliliğinden mi yoksa özkaynak çarpanından mı kaynaklandığı kolayca belirlenebilmektedir.

5. TÜRK BANKACILIK SEKTÖRÜNDE SAHİPLİK YAPILARINA GÖRE BANKALARIN DUPONT FİNANSAL ANALİZ YÖNTEMİNE GÖRE İNCELENMESİ

Bu bölümde banka gruplarının 2015-2019 dönemine ait finansal performansları DuPont sistemine göre incelenecektir. Bu incelemede önce özkaynak karlılığı ve bileşenleri daha sonra aktif karlılığı ve bileşenleri ele alınacaktır.

5.1. Özkaynak Karlılığı ve Bileşenlerinin Analizi

Özkaynak karlılığı net dönem karının özkaynaklara bölünmesiyle hesaplanmakta ve banka sahip ve ortaklarının bankaya sermaye olarak koydukları her bir TL karşılığı elde ettiği karı göstermektedir. Özkaynak karlılığı ayrıca aktif karlılığı ile özkaynak çarpanının çarpılmasıyla hesaplanabilmektedir. Aktif karlılığı net dönem karının toplam aktiflere bölünmesiyle elde edilmektedir. Bankanın yapmış olduğu gelir getirici yatırımlar (plasmanlar) ile üstlendiği risk derecesini gösteren özkaynak çarpanı toplam aktiflerin özkaynaklara bölünmesi ile elde edilir. Finansal analiz sonucunda özkaynak karlılığı düşük olan bankanın bu olumsuzluğunun kaynağı aktif karlılığının veya özkaynak çarpanının düşük olmasında aranır. Banka ya aktiflerini karlı plasmanlarda kullanmamıştır veya özkaynaklara göre daha az aktif bulundurmaktadır. Tablo 3'te banka gruplarının 2015-2019 dönemi özkaynak karlılığı ve bileşenleri incelenmekte, ardından tablo değerlendirilmektedir.

Tablo 3: Özkaynak Karlılığı ve Bileşenleri

Özkaynak Karlılığı (Net Dönem Karı / Özkaynak) (%)						
Mevduat Bankaları	2015	2016	2017	2018	2019	Ortalama
Kamu Sermayeli	14,7	16,1	17,5	13,5	8,7	14,1
Özel Sermayeli	9,0	13,5	13,6	13,2	10,0	11,9
Yabancı Sermayeli	11,0	12,3	13,7	14,3	12,5	12,8
Sektör Ortalaması	10,8	13,5	14,3	13,4	10,6	12,5
Aktif Karlılığı (Net Dönem Karı / Aktifler) (%)						
Mevduat Bankaları	2015	2016	2017	2018	2019	Ortalama
Kamu Sermayeli	1,5	1,6	1,7	1,2	0,7	1,3
Özel Sermayeli	1,0	1,5	1,5	1,5	1,2	1,3
Yabancı Sermayeli	1,2	1,4	1,5	1,6	1,5	1,4
Sektör Ortalaması	1,2	1,5	1,6	1,4	1,2	1,4
Özkaynak Çarpanı (Toplam Aktifler / Özkaynaklar) (X)						
Mevduat Bankaları	2015	2016	2017	2018	2019	Ortalama
Kamu Sermayeli	10,0	10,2	10,6	10,9	11,3	10,6
Özel Sermayeli	9,1	9,1	8,8	8,5	8,2	8,7
Yabancı Sermayeli	9,1	8,9	8,7	8,6	8,2	8,7
Sektör Ortalaması	8,9	9,0	9,0	9,0	8,9	9,0

Kaynak: Türkiye Bankalar Birliği, 2020.

Tablo 3'e göre mevduat bankalarının 2015 – 2019 dönemi özkaynak karlılığı incelendiğinde; 2015 yılında sadece özel sermayeli bankalar %9 ile %10,8 olan sektör ortalamasının altında kalmıştır. Ortalama aktif karlılığı ile özkaynak çarpanından oluşan özkaynak karlılığı bileşimine bakılarak bunun nedeni incelendiğinde; özkaynak çarpanının sektör ortalamasının üzerinde olmasına rağmen ortalama aktif karlılığın sektör ortalamasının altında olduğu görülmektedir. 2015 yılında özel sermayeli bankaların sektör ortalamasının altında özkaynak karlılığına sahip olmasının nedeni aktif karlılığının sektör ortalamasından düşük olmasıdır. 2016 yılında yabancı sermayeli bankaların %12,3 olan özkaynak karlılığı %13,5 olan sektör ortalamasının altında kalmıştır. Bunun nedeni aktif karlılığı ve özkaynak çarpanından oluşan özkaynak karlılığı bileşenlerinin her ikisinin de sektör ortalamasının altında kalmasıdır. 2017 yılında ise hem özel sermayeli hem de yabancı sermayeli bankalar sırasıyla %13,6 ve %13,7 ile sektör ortalaması olan %14,3'ün altında kalmıştır. Her iki banka grubunun da başarısızlığının temel nedeni aktif karlılığının ve özellikle de özkaynak çarpanının sektör ortalamasının altında kalmış olmasıdır. 2018 yılında özel sermayeli bankalar %13,2 özkaynak karlılık oranı ile %13,4 olan sektör ortalamasının altında kalmıştır. Özel sermayeli bankaların bu başarısızlığının nedeni aktif karlılığının sektör ortalamasının üzerinde olmasına rağmen 8,5 kat özkaynak çarpanı ile 9,0 kat olan sektör ortalamasının altında kalmasıdır. Aynı yılda kamu sermayeli bankalarının, %1,2 aktif karlılığı ile %1,4 olan sektör ortalamasının altında kalmasına rağmen,

yüksek özkaynak çarpanı nedeni ile sektör ortalamasının üzerinde özkaynak karlılığına sahip olduğu görülmektedir. 2019 yılı özkaynak karlılığında hem kamu sermayeli bankalar hem de özel sermayeli bankalar sektör ortalamasının altında kalırken yabancı sermayeli bankalar yaklaşık iki puan sektör ortalamasının üzerinde orana sahip olmuştur. Bu yılda kamu sermayeli bankalar %8,7 ile sektör ortalamasının 2 puan altında kalarak en düşük özkaynak karlılığına sahip banka grubu olmuştur. Özkaynak karlılığı bileşenleri incelendiğinde bunun nedeninin kamu sermayeli bankaların 11,3 kat ile sektör ortalaması olan 8,9 katın üzerinde özkaynak çarpanına sahip olmasına rağmen, %0,7 aktif karlılığı ile %1,2 olan sektör ortalamasının 0,5 puan altında kalması olduğu görülmektedir. Bu durumda kamu sermayeli bankalar, yüksek özkaynak çarpanı ile özkaynaklara göre yüksek aktif bulundurmasına ve daha fazla risk almasına rağmen aktiflerin karlılığının düşük olması nedeniyle düşük özkaynak karlılığına sahip olmuşlardır.

Aynı çerçevede banka gruplarının 2015-2019 dönemi ortalama değerleri karşılaştırıldığında; %11,9 ile sadece özel sermayeli bankaların sektör ortalaması olan %12,5'in altında kaldığı görülmektedir. Bunun nedeni hem aktif karlılığının hem de özkaynak çarpanının sektör ortalamasının altında olmasıdır.

Tablo 3'e göre banka gruplarının 2015 – 2019 dönemi toplam aktiflerin özkaynaklara oranı olarak formüle edilen ve bankaların risk durumunu gösteren özkaynak çarpanı incelendiğinde; kamu sermayeli bankaların dönem boyunca en yüksek katsayıya sahip olduğu görülmektedir. Bu durum, kamu sermayeli bankaların daha fazla yabancı kaynak toplayarak fon kullandığını ve daha fazla risk aldığını göstermektedir. Bununla birlikte, 2015 yılında hem özel sermayeli bankalar hem de yabancı sermayeli bankalar, 2016 yılında özel sermayeli bankalar sektör ortalamasının üzerinde özkaynak çarpanına sahip olurken diğer yıllarda sektör ortalamasının altında kalmışlardır. Bu durum özel sermayeli ve yabancı sermayeli bankaların daha az risk üstlendiğini göstermektedir. Daha düşük özkaynak çarpanı aktif karlılığına bağlı olarak özkaynak karlılığını etkilemektedir.

5.2. Aktif Karlılığı ve Bileşenlerinin Analizi

Bankaların aktif karlılığı net karın toplam aktiflere bölünmesi ile elde edilmektedir. Ayrıca aktif karlılığına kar marjı ile aktiflerin verimliliğinin çarpılması sonucunda da ulaşılmaktadır. Kar marjı net karın toplam aktiflere bölünmesiyle, aktif verimliliği ise toplam gelirlerin toplam aktiflere bölünmesi ile elde edilmektedir. Aktif karlılığı incelenen bankanın bu oranı diğer bankaların ortalamasını gösteren sektör ortalamasının altında ise bankanın performansının zayıf olduğu değerlendirilmektedir. Aktif karlılığı sektör ortalamasının altında olan bir bankada problemin kaynağını tespit etmek için bu oranı oluşturan bileşenlere bakmak gerekir. Problem ya kar marjının veya aktif verimliliğinin düşük olmasından kaynaklanır. Kar marjı düşük olan banka yeterli düzeyde finansal ürün ve hizmet satışı gerçekleştirmiş ancak düşük net kar elde etmiş demektir. Bu durum, banka çalışanlarının çabasının yeterli düzeyde kara çevrilememiş olduğunu göstermektedir. Aktif verimliliğinin düşük olması toplam aktiflerin yeterince gelir getirecek plasmanlarda değerlendirilmediğini göstermektedir. Banka aktiflerinden nakit değerler ve maddi duran varlıklar bankaların faaliyetlerinin sürdürülmesi için gerekli olan aktiflerden olsa da gelir getirici aktiflerden değildir. Tablo 4'te banka gruplarının 2015-2019 dönemi aktif karlılığı ve bileşenleri incelenmekte, ardından tablo değerlendirilmektedir.

Tablo 4: Aktif Karlılığı ve Bileşenleri

Aktif Karlılığı (Net Dönem Karı / Aktifler) (%)						
Mevduat Bankaları	2015	2016	2017	2018	2019	Ortalama
Kamu Sermayeli	1,5	1,6	1,7	1,2	0,7	1,3
Özel Sermayeli	1,0	1,5	1,5	1,5	1,2	1,3
Yabancı Sermayeli	0,9*	1,4	1,5	1,6	1,5	1,4
Sektör Ortalaması	1,2	1,5	1,6	1,4	1,2	1,4
Kar Marjı (Net Kar / Toplam Gelir**) (%)						
Mevduat Bankaları	2015	2016	2017	2018	2019	Ortalama
Kamu Sermayeli	16,8	17,2	17,3	11,1	6,7	13,8
Özel Sermayeli	13,0	16,0	16,7	13,1	10,5	13,9
Yabancı Sermayeli	10,3	14,3	16,9	13,3	11,9	13,3
Sektör Ortalaması	14,0	16,4	17,5	13,0	10,4	14,3
Aktif Verimliliği (Toplam Gelir/Toplam Aktifler) (%)						
Mevduat Bankaları	2015	2016	2017	2018	2019	Ortalama

Kamu Sermayeli	8,3	8,6	8,8	10,6	10,5	9,4
Özel Sermayeli	8,3	8,7	8,8	11,4	11,0	9,6
Yabancı Sermayeli	8,6	9,0	9,3	12,0	12,1	10,2
Sektör Ortalaması	8,2	8,6	8,7	10,9	10,7	9,4

Kaynak: Türkiye Bankalar Birliği, 2020.

*Bu oran TBB verilerinde %1,2 olarak açıklanmıştır. %0,9 TBB verilerinde açıklanan net karın toplam aktiflere bölünmesi ile elde edilen sonuçtur.

**Toplam Gelirler = Faiz Gelirleri + Temettü Gelirleri + Net Ticari Kar/Zarar + Net Ücret Komisyon Gelirleri + Diğer Faaliyet Gelirleri

Tablo 4'e göre banka gruplarının 2015-2019 dönemi aktif karlılığı incelendiğinde; 2015 yılında kamu sermayeli bankalar %1,5 ile %1,2 olan sektör ortalamasının üzerinde orana sahip olurken, özel sermayeli bankalar %1,0 ile yabancı sermayeli bankalar ise %0,9 ile sektör ortalamasının altında kalmıştır. Hem özel sermayeli bankaların hem de yabancı sermayeli bankaların aktif karlılığının sektör ortalamasının altında kalmasının nedenini belirlemek için aktif karlılığını oluşturan kar marjı ve aktif verimliliği değerlerine bakmak gerekir. Bu çerçevede özel sermayeli bankaların aktif verimliliği %8,3 ile %8,2 olan sektör ortalamasının üzerinde olmasına rağmen %13,0 olan kar marjı %14,0 olan sektör ortalamasının altında kalmıştır. Yabancı sermayeli bankalar da %8,6 aktif verimliliği ile sektör ortalamasının üzerinde bir orana sahipken, %10,3 kar marjı oranına sahip olması nedeni ile aktif karlılığı sektör ortalamasının altında kalmıştır. Buna göre 2015 yılında hem özel sermayeli bankaların hem de yabancı sermayeli bankaların aktif karlılığının sektör ortalamasının altında kalmasının nedeni düşük kar marjı olduğu sonucuna ulaşılmaktadır. 2016 yılında kamu sermayeli bankalar %1,6 ile %1,5 olan sektör ortalamasının üzerinde, özel sermayeli bankalar %1,5 ile sektör ortalaması ile aynı iken yabancı sermayeli bankalar %1,4 ile sektör ortalamasının altında kalmıştır. Yabancı sermayeli bankaların aktif karlılığı bileşenleri incelendiğinde; sektör ortalamasının altında kalmasının nedeni kar marjının %14,3 ile %16,4 olan sektör ortalamasının altında olması sonucuna ulaşılmaktadır. 2017 yılında hem özel sermayeli bankalar hem de yabancı sermayeli bankalar %1,5 aktif karlılığı oranı ile %1,6 olan sektör ortalamasının altında kalmıştır. Bu olumsuzluğun nedenini bulmak için banka gruplarının aktif karlılığı bileşenleri incelendiğinde; her iki banka grubunun da aktif verimliliği sektör ortalamasının üzerinde olmasına rağmen kar marjının sektör ortalamasının altında kaldığı görülmektedir. 2017 yılında özel sermayeli ve yabancı sermayeli banka gruplarının aktif karlılığının sektör ortalamasının altında kalmasının nedeni kar marjının sektör ortalamasından düşük olmasıdır. 2018 yılında sadece kamu sermayeli bankalar grubunun aktif karlılığı oranı sektör ortalamasının altında kalmıştır. Bunun nedenini belirlemek için aktif karlılığı bileşenleri incelendiğinde; hem kar marjı hem de aktif verimliliği sektör ortalamasının altında kaldığı görülmektedir. 2019 yılında kamu sermayeli bankaların %0,7 aktif karlılık oranı ile %1,2 olan sektör ortalamasının 0,5 puan altında kaldığı görülmektedir. Bunun nedeni incelendiğinde hem kar marjının hem de aktif verimliliğinin sektör ortalamasının altında kaldığı görülmektedir. Özellikle %6,7 olan kar marjının %10,4 olan sektör ortalamasının yaklaşık 3,7 puan altında kalması bu olumsuzluğun temel nedeni olmaktadır.

Aynı çerçevede Tablo 4'e göre banka gruplarının 2015-2019 dönemi ortalama değerleri karşılaştırıldığında; yabancı sermayeli bankalar %1,4 ile sektör ortalaması ile aynı ortalama orana sahipken hem kamu sermayeli bankalar hem de özel sermayeli bankalar sektör ortalamasının altında ortalama orana sahip olmuşlardır. Banka gruplarının aktif karlılığı bileşenleri incelendiğinde üç banka grubunun da sektör ortalamasının altında oranlara sahip olduğu görülmektedir. Bu durumun temel nedeni sektör ortalamasında kalkınma ve yatırım bankalarının oranlarının da yer almasıdır. Dolayısıyla sektör ortalamasını yükselten oranların kalkınma ve yatırım bankalarına ait olduğu ortaya çıkmaktadır. Kar marjı oranı ortalamasında üç banka grubunun da sektör ortalamasının altında kalmasına rağmen, yabancı bankaların sektör ortalaması ile aynı aktif karlılığa sahip olmasının nedeni; sahip oldukları %10,2 aktif verimliliği oranı ile sektör ortalaması olan %9,4'un üzerinde olmalarıdır. Bu durum, yabancı sermayeli bankaların kamu sermayeli ve özel sermayeli bankalara göre aktiflerini daha fazla gelir getirici yatırımlarda kullandığını göstermektedir.

6. SONUÇ

Çalışmada, DuPont çoklu oran analizi yöntemiyle Türk Bankacılık Sektöründe faaliyet gösteren mevduat bankaları kamu sermayeli, özel sermayeli ve yabancı sermayeli bankalar olarak sahiplik yapılarına göre gruplandırılarak finansal performans göstergesi olarak kullanılan özkaynak karlılığı ve bileşenleri karşılaştırmalı olarak incelenmiştir. Çalışma sonucuna göre, özkaynak karlılığı açısından 2015 yılında sadece özel sermayeli

bankalar sektör ortalamasının altında kalmıştır. Ortalama aktif karlılığı ile özkaynak çarpanından oluşan özkaynak karlılığı bileşimine bakılarak bunun nedeni incelendiğinde; özkaynak çarpanının sektör ortalamasının üzerinde olmasına rağmen ortalama aktif karlılığın sektör ortalamasının altında olduğu görülmüştür 2015 yılında özel sermayeli bankaların sektör ortalamasının altında özkaynak karlılığına sahip olmasının nedeni aktif karlılığının sektör ortalamasından düşük olmasıdır. 2016 yılında yabancı sermayeli bankaların özkaynak karlılığı sektör ortalamasının altında kalmıştır. Bunu nedeni hem aktif karlılığının ve hem de özkaynak çarpanının sektör ortalamasının altında kalmasıdır. 2017 yılında hem özel sermayeli hem de yabancı sermayeli bankalar sektör ortalamasının altında kalmıştır. Her iki banka grubunun da olumsuzluğun temel nedeni aktif karlılığının ve özellikle de özkaynak çarpanının sektör ortalamasının altında olmasıdır. 2018 yılında özel sermayeli bankalar sektör ortalamasının altında kalmıştır. Özel sermayeli bankaların bu olumsuzluğun nedeni aktif karlılığının sektör ortalamasının üzerinde olmasına rağmen özkaynak çarpanının sektör ortalamasının altında kalmasıdır. Aynı yılda kamu sermayeli bankaların %1,2 aktif karlılığı ile %1,4 olan sektör ortalamasının altında kalmasına rağmen yüksek özkaynak çarpanı nedeni ile sektör ortalamasının üzerinde özkaynak karlılığına sahip olduğu görülmektedir. 2019 yılı özkaynak karlılığında hem kamu sermayeli bankalar hem de özel sermayeli bankalar sektör ortalamasının altında kalırken yabancı sermayeli bankalar yaklaşık iki puan sektör ortalamasının üzerinde orana sahip olmuştur. Özkaynak karlılığı bileşenleri incelendiğinde; bunun nedeninin kamu sermayeli bankaların sektör ortalamasının üzerinde özkaynak çarpanına sahip olmasına rağmen, %0,7 aktif karlılığı ile %1,2 olan sektör ortalamasının 0,5 puan altında kalması olduğu görülmektedir. Bu durumda kamu sermayeli bankalar, yüksek özkaynak çarpanı ile özkaynaklara göre yüksek aktif bulundurmasına ve daha fazla risk almasına rağmen aktiflerin karlılığının düşük olması nedeniyle düşük özkaynak karlılığına sahip olmuşlardır. Aynı çerçevede banka gruplarının 2015-2019 dönemi ortalama değerleri karşılaştırıldığında; %11,9 ile sadece özel sermayeli bankaların sektör ortalaması olan %12,5'in altında kaldığı görülmektedir. Bunun nedeni hem aktif karlılığının hem de özkaynak çarpanının sektör ortalamasının altında olmasıdır.

KAYNAKLAR

- Ajmera, B. C. (2012), "Analysis of Financial Health of Banking Industry Through Dupont Model", *Global Journal of Research In Management (GJRIM)*, 2(2), 58-75. Erişim adresi: <http://www.publishingindia.com/gjrim/40/analysis-of-financial-health-of-banking-industry-through-dupont-model/190/1489/>, 05.09.2020
- Akbulut, R. ve Albayrak, A. S. (2009), "Mevduat Bankalarında Performansın Mülkiyet Yapısına Göre Finansal Göstergelerle İncelenmesi". *Finans Politik & Ekonomik Yorumlar*, 46 (530), 27 – 40.
- Aktaş, H. ve Kargın M. (2007), "Türk Bankacılık Sektöründeki Yabancı ve Ulusal Bankaların Finansal Oranlar Açısından Karşılaştırılması", *Yönetim ve Ekonomi*, 14(2), 31 – 45.
- Alali, M. S. (2019), "The Use of DuPont Modified Financial Model in Evaluating the Financial Performance of Kuwaiti Banks," *Journal of Banking and Financial Dynamics*, 3(1), 1-9. Erişim adresi: <http://ecsenet.com/index.php/2576-6821/article/view/32>
- Arslan, E. (2017), "Türk Bankacılık Sisteminde Aktif Büyüklüğüne Göre İlk Yedi Bankanın Karlılık ve Verimlilik Açısından Karşılaştırmalı Analizi: 2003 – 2015 Dönemi", *Sosyal Ekonomik Araştırmalar Dergisi*, 17(34), 170-192.
- Ata, H. A. (2009), "Banka Yabancılaşmasının Türkiye'deki Yerli ve Yabancı Bankalar Açısından Karşılaştırılması", *Atatürk Üniversitesi İktisadi ve İdari Bilimler Dergisi*, 23 (4), 109 – 124.
- Balaj, D. (2015), "A Comparison of Financial Performance of Domestic and Foreign Banks in Kosovo by Using DuPont Model", *Acta Universitatis Danubius. (Economica)*, 11(6), 71-86. Erişim adresi: <http://journals.univ-danubius.ro/index.php/oeconomica/article/view/3053/3027>, 06.09.2020
- Berk, N. (1999), *Finansal Yönetim*, 4. Baskı, İstanbul: Türkmen Kitabevi.
- Demirel, E., Atakışi A. ve Abacıoğlu S. (2013), "Bankacılık Faaliyet Oranlarının Panel Veri Analizi: Türkiye'deki Kamu, Özel ve Yabancı Sermayeli Bankaların Durumu", *Muhasebe ve Finansman Dergisi*, 59, Temmuz, 101 – 112.
- Gümüş, U. T. ve Çıbık, E. (2018), "Borsa'da İşlem Gören Gayrimenkul Yatırım Ortaklığı İşletmelerinin Birleşik Oran Analizi (Dupont) Yöntemiyle Performansının Ölçülmesi", *Hitit Üniversitesi Sosyal Bilimler Enstitüsü Dergisi*, 11(3). 2178-2194. doi:10.17218/hititsosbil.421602. Erişim adresi <https://dergipark.org.tr/tr/pub/hititsosbil/issue/39369/421602>
- Gümüş, F. B. ve Nalbantoğlu, Ö. (2015), "Türk Bankacılık Sektörünün CAMELS Analizi Yöntemiyle 2002-2013 Yılları Arasında Performans Analizi", *AKÜ İİBF Dergisi*, XVII (2), 83 – 106.
- Haider, A. (2016), "Comparative Analysis of Financial Efficiency of Bank of Baroda and HDFC Bank Using DuPont Model", *International Journal of Research in Management, Economics and Commerce*, 6(8), 9-18. Erişim adresi: http://indusedu.org/pdfs/IJRMEC/IJRMEC_907_96475.pdf
- Kandemir, T. ve Arıcı, N. D. (2013), "Mevduat Bankalarında Camels Performans Değerleme Modeli Üzerine Karşılaştırmalı Bir Çalışma (2001-2010)", *Süleyman Demirel Üniversitesi İktisadi ve İdari Bilimler Fakültesi Dergisi*, 18 (1), 61 – 87.
- Önal, Y. B. ve Sevimeser, N. C. (2006), "Yabancı Banka Girişlerinin Türk Bankacılık Sistemine Etkileri: Yerli Ve Yabancı Bankaların Etkinlik Analizi", *Ç.Ü. Sosyal Bilimler Enstitüsü Dergisi*, 15 (2), 295-312.

- Rahman Z. ve Rubel M. (2018), “Deconstruction of ROE: An Implementation of DuPont Model on Selected Bangladeshi Commercial Banks”, *International Journal of Economics and Financial Research*, 4(6), 165-170. Erişim adresi: URL: <http://arpgweb.com/?ic=journal&journal=5&info=aims>
- Rooplata P. (2016). “DuPont Analysis of Nationalised Banks in India”, *International Journal of Management, IT & Engineering*, 6(12), 211-223. Erişim adresi: https://www.ijmra.us/2016ijmie_december.php
- Rose, P. S. ve Fraser D. R. (1988), *Financial Institutions*, Texas: Business Publications.
- Tandon, D., Singh, H. ve Singh K. (2016), “Profitability Valuation In Indian Banks – Emperics via David Cole Model”, *IOSR Journal of Business and Management*, e-ISSN: 2278-487X, p-ISSN: 2319-7668, 64-83. Erişim adresi: <http://www.iosrjournals.org/iosr-jbm/papers/IESMCRC/Volume%202/64.83.pdf>
- Türkiye Bankalar Birliği (2020), Türkiye’de Bankacılık Sistemi 1959 - 2019, Temmuz. Erişim adresi: <https://www.tbb.org.tr/tr/bankacilik/banka-ve-sektor-bilgileri/istatistiki-raporlar/59>
- Yücel, L. İ. (2009), “Türkiye’de Faaliyet Gösteren Kamu Bankaları, Özel Sermayeli Bankalar ve Yabancı Bankaların Performanslarının 2002–2007 Döneminde Temel Bileşenler ve Faktör Analizi İle Değerlendirilmesine İlişkin Bir Uygulama”, *Yönetim ve Ekonomi Araştırmaları Dergisi*, (12), 118 – 138.

Türkiye’de Faaliyette Bulunan Bankaların Sermaye Yapılarına Göre Karlılıklarının Karşılaştırılması

Doç. Dr. Erdal Arslan¹

Fatimatüzzehra Türkoğlu²

¹ Selçuk Üniversitesi İktisadi ve İdari Bilimler Fakültesi İktisat Bölümü, erdalarslan@selcuk.edu.tr, ORCID:0000-0003-4892-2963

² Selçuk Üniversitesi, İktisadi ve İdari Bilimler Fakültesi İktisat Bölümü, fatmazehra.turkoglu@gmail.com ORCID: 0000-0003-2052-3987

Özet: Kar kavramı gelirlerin giderlerden fazla olması ile elde edilen kazançtır. Karlılık bir işletmenin faaliyetlerine devam edilebilmesi için gereklidir. Karlılık bankacılık sektöründe özellikle performans kıyaslamalarında kullanılan bir ölçüttür. İşletmelerde olduğu gibi bankacılık sektöründe de bankaların faaliyetlerine devam edebilmesi için kar elde edilmelidir. Aktif karlılık; işletmelerin kaynaklarını ne derece verimli kullandığı yansıtan bir orandır. Çalışmada Türk Bankacılık sektöründe faaliyette bulunan bankaların sermaye yapılarına göre ayrımı Türkiye Bankalar Birliği’nde bulunan tabloya göre düzenlenmiştir. Bu çalışmanın amacı Türk Bankacılık sektöründe faaliyette bulunan bankaların karlılık oranlarının, sermaye yapısı gruplamasına göre kıyaslamaktır. Çalışmada Türkiye Bankalar Birliği’nden alınan veriler kullanılmıştır. 2009-2019 yıllarını kapsayan ortalama aktif karlılık oranları, dönem net karının özkaynaklara oranları ve sektör ortalaması verileri oran analiz yöntemi ile incelenmiştir. Çalışmanın sonucuna göre; 2009-2019 yıllarında Türk Bankacılık sektöründe faaliyette bulunan bankaların karlılığı söz konusudur. Türk Bankacılık sektörünün karlılığını inceleyen diğer çalışmaların sonuçlarıyla çalışmanın sonucu paralellik göstermektedir. Çalışmada asıl üzerinde durulan sermaye yapısı gruplamasında ise 2009 yılında karlılığı en yüksek bankalar, kamusal sermayeli bankalar olurken en düşük karlılığa yabancı sermayeli bankalar sahiptir. Bu durum özellikle son iki yıl için yabancı sermayeli bankalar lehine değişmektedir. 2018-2019 yıllarında ortalama aktif karlılığı ve dönem net karının özkaynaklara oranı en yüksek olan bankalar; yabancı sermayeli bankalar olurken, en düşük olan bankalar ise kamusal sermayeli bankalardır.

Anahtar Kelimeler: karlılık, kar, aktif kar, bankaların sermaye yapısı, özkaynak oranı.

1. GİRİŞ

Bankacılık sektöründe performans karşılaştırılması için incelenen ölçütlerden biri de karlılık oranlarıdır. Kar ve karlılık her sektörün ayakta kalabilmesi ve faaliyetlerine devam edilmesi için gereklidir. Kar; gelirlerden giderlerin ve vergilerin çıkarılması sonucunda elde kalan kazançtır. Kar için birbirinden farklı tanımlamalarda mevcuttur. Bankacılık sektöründe karlılık hep incelenen bir ölçüttür. Karlılıkla ilgili çeşitli oranlar ve analizler kullanılarak pek çok araştırma yapılmıştır.

Bu çalışma Türk Bankacılık sektöründe faaliyette bulunan bankaların sermaye yapısı gruplaması ile karlılıklarını kıyaslamaya yöneliktir. Çalışmada öncelikle karlılık tanımlanacak, karlılık konusu ile ilgili daha önce yapılmış çalışmalara yer verilecektir. Çalışmada Türk Bankacılık sektöründe faaliyette bulunan bankalar sermaye yapısına göre gruplandırılacaktır. Türkiye Bankalar Birliği’nden alınan ortalama aktif karlılığı ve dönem net karının özkaynaklara oranı verileri, oran analiz yöntemi ile incelenecektir. Çalışma 2009-2019 yıllarını kapsayacaktır. Çalışmanın amacı güncel veriler kullanılarak karlılığın hangi grupta görece fazla olduğunu tespit etmek olacaktır.

2. KARLILIK

Bankaların da amacı bütün işletmeler gibi kar elde etmektir. Bankacılık sektöründe karlılığın analizi farklı yöntemler kullanılarak gerçekleştirilebilmektedir. Karlılığın ölçülmesi/belirlenmesi bankaların sektörel performansı açısından oldukça önemlidir.

Kar en basit haliyle gelirlerin giderlerden fazla/artık olması şeklinde ifade edilebilir. Net dönem karı; net faiz gelirleri ile net faiz dışı gelirlerinin toplamından vergi giderlerinin düşürülmesidir. (Takan ve Boyacıoğlu, 2013, s.103).

Özkaynak karlılığı ise banka ortaklarının, bankaya yapmış oldukları yatırımların kazancını ölçmek için kullanılır.

3. LİTERATÜR

Türk Bankacılık sektöründe; sektörel analizler için farklı yöntemler kullanılmaktadır. Bankaların performanslarına ilişkin yapılan analizlerde oran analizi, veri zarflama analizi, vb. örnek olarak gösterilebilir. Performans tespitinin yanı sıra, performans üzerine etki eden unsurlar üzerine de çalışmalar yapılmaktadır. Bu çalışmalarda bankacılık sektörü; mülkiyet yapıları, ölçekleri vb. unsurlar göz önüne alınarak sınıflandırılabilir (Mustafa & ATUKALP)

Bu çalışmada Türk Bankacılık sektöründe faaliyette bulunan bankaların sermaye yapıları sınıflamasına göre dönem net karının toplam aktiflere oranı ile dönem net karının özkaynaklara oranı verileri kullanılarak karlılık performansları karşılaştırılacaktır.

Emir'in 1999 yılında yapmış olduğu çalışmada 1988-1996 yıllarını kapsayan, Türk ticaret bankalarının etkinliği ve verimliliği incelenmiştir. Çalışmanın elde ettiği bulgulara göre aktif karlılık, net faiz marjı, özsemayenin mevduata oranı ile bankaların mülkiyet yapıları arasında ilişkili olduğu sonucuna varılmıştır. Elde edilen diğer bir sonuç ise yabancı sermayeli bankalarının performansı en yüksek seviyede iken en düşük seviyede olan kamu bankalarının sadece özsermaye/mevduat oranında en yüksek seviyeye sahip olmasıdır (Aktaran; Emir ve Atukalp, 2018, s.585).

Bumin 2009 yılında yaptığı çalışmada, 2002-2008 dönemi verilerini kapsayan, Türk bankacılık sektörünün kârlılık performansını, özkaynak kârlılık oranının ayrıştırılması ile incelemiştir. Bumin kârlılık performansı kıyaslaması yaparken, bankaları fonksiyonlarını ve sermaye yapılarını göz önüne alarak sınıflandırmış ve çalışmasında oran analizi yöntemini kullanmıştır. Çalışmanın elde ettiği bulgulara göre, genel olarak bankacılık sektörünün karlılığı artış gösterirken 2008 Küresel Finansal kriz nedeni ile 2008 yılında karlılık oranlarında düşüş görülmüştür. Ancak 2009 yılının ilk aylarından itibaren ekonominin iyiyeye gideceği yönündeki beklentiler ile bankacılık sektöründe karlılığın artacağı tahmin edilmiştir. (Bumin, 2009)

Dinçer, Gençer, Orhan ve Şahinbaş 2011 yılında yapmış oldukları çalışmalarında bankacılık sektörünün performans sonuçlarını gösteren CAMELS oranları 2002 -2009 arası dönemi kapsayacak şekilde kullanılarak Türk bankacılık sektöründe faaliyet gösteren mevduat bankalarının karlılıkları analiz edilmiştir. Çalışmada ele alınan dönem 2001 ve 2008 krizine denk gelmektedir. Özellikle Türk bankacılık sektöründe önemli değişikliklere sebep olan 2001 krizinin sektöre etkisini incelenmeyi hedeflemişlerdir. Çalışmanın sonucuna göre 2001 krizinden sonra bankaların karlılıklarında bir artış söz konusudur. (Dincer, Gencer, Orhan, & Sahinbas, 2011)

Sarıtaş ve Saray'ın 2012 yılında yaptıkları çalışma Türk bankacılık sektörünün karlılık performansını 2002 2009 dönemini kapsayan veriler kullanılarak oran analizi yöntemi ile incelemektedir. Çalışmanın elde ettiği sonuca göre bankacılık sektöründe 2002 yılından beri karlılık oranlarında bir artış eğilimi söz konusudur. 2008 yılında yaşanan krizle birlikte bankacılık sektörünün karlılığında bir azalış meydana gelse de 2009 yılı ile birlikte karlılıkta tekrar artış sağlanmıştır. (SARITAŞ & Saray, 2012)

Kibritçi Artar ve Atılgan Sarıdoğan'ın 2012 yılında yaptıkları çalışmalarında Küresel Finansal Krizin Türk bankacılık sektörüne olan etkisi incelenmiştir. Çalışmanın elde ettiği sonuca göre Türkiye 2001 krizinden alması gereken dersi almış mali yapısı krizden sonra güçlenmiştir. Özellikle bankacılık sektöründe gerçekleşen birçok düzenleme Türkiye ekonomisinin iyileşme sürecinde etkin bir rol oynamıştır. Çalışmanın sonuca göre 2008 krizinin etkisi ile bankacılık sektörünün karlılığında bir azalış meydana gelse de 2009 yılı ile yeniden bankacılık sektörünün karlılığı artışa geçmiştir. (Artar, 2012)

Selimler'in 2015 yılında yaptığı çalışmada 2007-2013 arası dönemi kapsayan verilerle Türk bankacılık sektöründe faaliyette bulunan bankalar; banka grupları esas alınarak, krediler, sorunlu krediler, bilanço ve gelir tablosu kalemleri kullanılarak oran analizi yöntemi ile incelenmiştir. Çalışmanın elde ettiği sonuçlara göre takipteki kredilerin aktif kalitesi, sermaye yeterliliği, net faiz marjı, likidite, kârlılık oranları üzerinde olumsuz bir etkiye sebep olduğu saptanmıştır. (Selimler, 2015)

Pehlivan'ın 2015 yılında yaptığı çalışma Türk bankacılık sektörünün verimliliği üzerinde durmuştur. 2005-2014 yıllarını kapsayan çalışmada aktif ve özkaynak verimliliği ile şube ve personel verimliliği, oran analizi yöntemi kullanılarak analiz edilmiştir. Çalışma da özkaynak karlılığı kamusal sermayeli bankalarda görece yüksek, aktif karlılığı, personel verimliliği ve şube verimliliği kalkınma ve yatırım bankalarının da diğerlerine göre yüksek olduğu sonucuna varılmıştır. Türk bankacılık sektöründe 2009 yılından itibaren olumlu gelişmelerin yaşandığı sonucu elde edilmiştir. (Pehlivan, 2015)

Altay ve Olkan'ın 2015 yılında yaptıkları çalışmalarında Kuzey Kıbrıs Türk Cumhuriyeti'nde faaliyette bulunan ticari bankaların 2009-2013 yıllarını kapsayan performanslarını oran ve trend analizi yöntemleri ile incelemişlerdir. Çalışmada performans kıyaslamasında, verimlilik, karlılık, aktif yapısı ve kalitesi, büyüme, likidite, sermaye yeterlilik oranları, kaldıraç, döviz pozisyonu verileri kullanılmıştır. Çalışmanın sonucuna göre performans ile bankaların ölçekleri arasında doğru bir ilişki olduğu tespit edilmiştir. Büyük ölçekli bankaların performans verilerinin diğerlerine görece daha yüksek olduğu saptanmıştır. Ek olarak şube bankalarının, yerel bankalara görece daha iyi performans gösterdiği de tespit edilmiştir. (OLKAN & ALTAY, 2015).

Emir ve Atukalp'ın 2018 yılında yaptıkları çalışmada Türk bankacılık sisteminde faaliyette bulunan mevduat bankaları, aktif kalitesi ve karlılığı 2003-2016 dönemini kapsayan veriler kullanılarak oran analizi yöntemi ile incelenmiştir. Çalışmanın elde ettiği sonuçlara göre küresel kriz karlılık oranlarında bir azalışa sebep olmuştur. 2009 yılından itibaren karlılık tekrardan yükselmeye başlamıştır. Ancak ilerleyen dönemde karlılık oranlarında azalış eğilimi görülmüştür. Karlılık oranlarında dalgalı bir seyir sözkonusu olduğu tespit edilmiştir (Emir & Atukalp, 2018).

4. VERİ SETİ ve YÖNTEM

Bu çalışmada Türk bankacılık sektöründe faaliyette bulunan bankaların sermaye yapısına göre ayırım yapılarak 2009-2019 dönemini kapsayan aktif karlılık oranları ve özsermaye karlılığı oranları kullanılarak karlılık analizi; oran analizi yöntemi ile incelenecektir. Veriler Türkiye Bankalar Birliği'nden alınmıştır.

5. TÜRK BANKACILIK SEKTÖRÜNDE FAALİYETTE BULUNAN BANKALAR

Tablo 1: Türk Bankacılık Sektöründe Faaliyette Bulunan Bankalar

1.Kamusal Sermayeli Bankalar
Türkiye Cumhuriyeti Ziraat Bankası A.Ş.
Türkiye Halk Bankası A.Ş.
Türkiye Vakıflar Bankası T.A.O.
2.Özel Sermayeli Bankalar
Adabank A.Ş.
Akbank T.A.Ş.
Anadolubank A.Ş.
Fibabanka A.Ş.
Şekerbank T.A.Ş.
Turkish Bank A.Ş.
Türk Ekonomi Bankası A.Ş.
Türkiye İş Bankası A.Ş.
Yapı ve Kredi Bankası A.Ş.
3.Yabancı Sermayeli Bankalar
Alternatifbank A.Ş.
Arap Türk Bankası A.Ş.
Bank Mellat
Bank of China Turkey A.Ş.
Burgan Bank A.Ş.
Citibank A.Ş.
Denizbank A.Ş.
Deutsche Bank A.Ş.
Habib Bank Limited
HSBC Bank A.Ş.
ICBC Turkey Bank A.Ş.
ING Bank A.Ş.
Intesa Sanpaolo S.p.A.
JPMorgan Chase Bank N.A.
MUFG Bank Turkey A.Ş.

Odea Bank A.Ş.
QNB Finansbank A.Ş.
Rabobank A.Ş.
Société Générale (SA)
Turkland Bank A.Ş.
Türkiye Garanti Bankası A.Ş.
4.Kalkınma ve Yatırım Bankaları
Aktif Yatırım Bankası A.Ş.
BankPozitif Kredi ve Kalkınma Bankası A.Ş.
Diler Yatırım Bankası A.Ş.
GSD Yatırım Bankası A.Ş.
İller Bankası A.Ş.
İstanbul Takas ve Saklama Bankası A.Ş.
Merrill Lynch Yatırım Bank A.Ş.
Nurol Yatırım Bankası A.Ş.
Pasha Yatırım Bankası A.Ş.
Standard Chartered Yatırım Bankası Türk A.Ş.
Türk Eximbank
Türkiye Kalkınma ve Yatırım Bankası A.Ş.
Türkiye Sınai Kalkınma Bankası A.Ş.
5. Tas. Mev. Fon. Devredilen Bankalar
Birleşik Fon Bankası A.Ş.

(TBB, 2018, s.244)

6. TÜRK BANKACILIK SEKTÖRÜNDE FAALİYETTE BULUNAN BANKALARIN SERMAYE YAPILARINA GÖRE KARLILIĞININ KARŞILAŞTIRILMASI

Aktif karlılık; işletmelerin sahip olduğu varlıklarını ne kadar verimli kullandığını yansıtan bir orandır. İşletmenin tüm yatırımlarını kapsamaktadır. Aktif karlılık formül olarak aşağıdaki şekilde hesaplanabilmektedir (Takan ve Boyacıoğlu, 2013, s. 107).

Aktif karlılık= Net Kar /Ortalama Aktifler

Tablo 2: . Net Dönem Karı / Toplam Aktifler (%) (Ortalama Aktif Karlılığı)

Bankaların Sermaye Yapıları	2009	2010	2011	2012	2013	2014	2015	2016	2017	2018	2019
Kamusal Sermayeli Bankalar	2,6	2,3	1,6	1,8	1,6	1,4	1,4	1,7	1,7	1,2	0,7
Özel Sermayeli Bankalar	2,4	2,4	1,7	1,8	1,6	1,3	1,1	1,2	1,5	1,5	1,2
Yabancı Sermayeli Bankalar	1,9	1,4	1,5	1,4	0,6	0,8	0,9	1,7	1,5	1,6	1,5
Sektör Ortalaması ¹	2,3	2,033	1,6	1,733	1,266	1,666	1,133	1,533	1,566	1,433	1,133

(TBB, Türkiye’de Bankacılık Sistemi, 2009-2019).

¹ Sektör ortalaması verileri, bankaların sermaye yapısı ayırımına göre, yıllık aritmetik ortalamalarına göre hesaplanmıştır.

Bankaların performans göstergelerinden biri karlılıktır. Net dönem karının (zararının) toplam aktiflere oranı; ortalama aktif karlılığı bankaların performanslarının karşılaştırılmasında kullanılan oranlardandır. Tablo 2.de bankalarının sermaye yapısı gözetilerek bir karşılaştırma yapabilmek için, 2009-2019 yıllarını kapsayan veriler Türkiye Bankalar Birliği'nden alınmıştır. Kamusal sermayeli bankaların ortalama aktif karlılık oranları incelendiğinde 2009 yılında 2,6 ile en yüksek orana sahipken, 2010-2015 yıllarını kapsayan dönemde ortalama aktif karlılığında düşüş eğilimi söz konusudur (2012 yılı hariç). 2016-2017 yıllarında kamusal sermayeli bankaların ortalama aktif karlılığı 1,7'dir. 2018'de bu oran 1,2 iken 2019 yılında 0,5'lik bir düşüş ile 0.7 olarak sermaye yapıları gözetilerek yapılan ayırmada en düşük oran kamusal sermayeli bankalara aittir. Özel sermayeli bankaların 2011- 2016 yılları arasında ortalama aktif karlılığında bir düşüş eğilimi görülmektedir. 2016-2018 yıllarında özel sermayeli bankaların ortalama aktif karlılığı yeniden artmış olsa da 2019 yılında bir önceki yıla kıyasla 0,3'lük bir azalma ile ortalama aktif karlılık oranı 1,2'dir. 2009 yılında en düşük oran 1,9 ile yabancı sermayeli bankalara aittir. Ayrıca yıllar itibari ile sektör ortalamaları incelendiğinde 2009-2010 yıllarını kapsayan dönemde kamusal sermayeli ve özel sermayeli bankaların aktif karlılık oranları; ortalamanın üzerinde seyrederken, 2011-2019 yıllarını kapsayan dönemde aktif karlılık oranları sektör ortalamasının altında seyretmiştir. Yabancı sermayeli bankaların aktif karlılığı 2009-2015 yıllarını kapsayan dönemde sektör ortalamasının altında seyir gösterirken, 2016 yılı itibari ile sektör ortalamasının üzerinde aktif karlılık oranına sahip olmuştur. Tablo genel itibari ile incelendiğinde yabancı sermayeli bankaların 2009-2015 yıllarını kapsayan dönemde ortalama aktif karlılık oranları diğer bankalara kıyasla düşüktür. 2016 yılı itibari ile yabancı sermayeli bankaların ortalama aktif karlılığı oranları artış göstermiş, 2017-2019 yılları verilerinde %0,1 değişim ile neredeyse son üç yılda sabit bir seyir yakalanmıştır. 2019 yılında sermaye yapıları gözetilerek yapılan ayırmada, 1,5 ile en yüksek oran yabancı sermayeli bankalara aittir.

Bankacılık sektöründe karlılık analiz edilirken kullanılan bir diğer oran ise öz sermaye karlılığı oranıdır. Aşağıda bu oranın formülize edilmiş hali bulunmaktadır (Takan ve Boyacıoğlu, 2013, s.107).

Özsermaye karlılığı= Net Kar / Özsermaye

Tablo 3: Dönem Net Karı/ Özkaynaklar (%)

Bankaların Sermaye Yapıları	2009	2010	2011	2012	2013	2014	2015	2016	2017	2018	2019
Kamusal Sermayeli Bankalar	27,2	23,4	17,3	16,2	17,0	13,4	13,9	16,5	17,5	13,5	8,7
Özel Sermayeli Bankalar	18,5	17,6	14,4	13,3	14,0	11,5	9,7	10,8	13,6	13,2	10,0
Yabancı Sermayeli Bankalar	13,1	10,6	12,3	10,9	6,0	7,4	8,1	14,9	13,7	14,3	12,5
Sektör Ortalaması ²	19,6	17,2	14,6	13,4	12,3	10,7	10,5	14,0	14,9	13,6	10,4

(TBB, Türkiye'de Bankacılık Sistemi 2009-2019).

Tablo 3' te 2009-2019 yıllarını kapsayan dönem net karının özkaynaklara oranı verileri Türkiye Bankalar Birliğinden alınmıştır. Kamusal sermayeli bankaların dönem net karının özkaynaklara oranı incelendiğinde 2009 yılında 27,2 ile hem kendi grubunda ilerleyen yıllara göre hem de sermaye yapısı gözetilerek yapılan ayırma göre en yüksek orana sahiptir. 2009-2012 yıllarını kapsayan dönemde kamusal sermayeli bankaların dönem net karının özkaynaklara oranında bir düşüş eğilimi söz konusudur. 2013 yılında bir artış olsa da 2016 ya kadar yeniden düşüş eğilimi söz konusu olmuştur. 2017 yılında 17,5'lik oran 2018'de 4,0 azalarak 13,5 olur iken bu oran 2019 yılında 4,8'lik bir düşüşle 8.7 olarak hem kendi içinde hem de sermaye yapısı gözetilerek yapılan ayırmada en düşük seviyededir. Özel sermayeli bankaların 2009-2015 yıllarını kapsayan dönemde dönem net karının özkaynaklara oranının da bir düşüş eğilimi söz konusudur (2013 yılı hariç). 2016 yılından itibaren artışa

² Sektör ortalaması verileri, bankaların sermaye yapısı ayırımına göre, yıllık aritmetik ortalamalarına göre hesaplanmıştır.

geçen oran 2018-2019 yıllarında yeniden düşmüştür. Yabancı sermayeli bankaların dönem net karının özkaynaklara oranı incelendiğinde 2009-2019 yıllarında dalgalı bir seyir söz konusudur. Ayrıca yıllara göre sektör ortalamaları baz alındığında, kamusal sermayeli bankaların 2009-2017 yıllarını kapsayan dönemde dönem netkarının özkaynaklara oranı, ortalamanın üzerinde bir orana sahiptir. 2018-2019 yıllarını kapsayan dönemde ise kamusal sermayeli bankaların dönem net karının özkaynaklara oranı, ortalamanın altında bir orana sahiptir. Özel sermayeli bankaların dönem net karı oranları incelendiğinde sektör ortalamasına yakın bir seyir izlediği görülmektedir. Yabancı sermayeli bankaların net dönem karı oranları 2009-2015 yıllarını kapsayan dönemde sektör ortalamasının altında bir orana sahip iken 2016-2019 yıllarını kapsayan dönemde, dönem net karı oranı sektör ortalamasına yakın bir seyir izlemiştir. Dönem net karının özkaynaklara oranı verileri genel itibari ile incelendiğinde, 2009 yılında sermaye yapıları gözetilerek yapılan grupta 13,1 ile en düşük orana sahip olan yabancı sermayeli bankalar 2019 yılında grup kıyaslamasında 12,5 ile en yüksek orana sahiptir.

4. SONUÇ

Karlılık bankacılık sektöründe performans ölçmeye yarayan bir orandır. Kar elde etmek faaliyete devam edebilmek için gereklidir. Bu çalışmada Türk Bankacılık sektöründe faaliyetine devam eden bankaların karlılık kıyaslaması sermaye yapıları gözeterek gerçekleştirilmiştir. Oran analiz yöntemi kullanılan bu çalışmanın sonucuna göre 2009-2019 yıllarını kapsayan süreçte Türk Bankacılık sektöründe faaliyette bulunan bankaların karlılık oranların pozitif olduğu tespit edilmiştir. İncelenen veriler doğrultusunda genel itibari ile 2018-2019 yılında bir düşüş eğilimi söz konusudur. Tablo 2 ve Tablo 3'te yer alan 2009-2019 yıllarını kapsayan oranlar incelendiğinde, Türk Bankacılık sektöründe faaliyette bulunan bankaların sermaye yapısına göre yapılan kıyaslamada, 2009 yılında kamusal sermayeli bankaların karlılık oranlarının grup içinde en yüksek orana sahip iken yabancı sermayeli bankaların ise en düşük orana sahip olduğu saptanmıştır. Ancak ilerleyen dönemlerde karlılık oranlarını incelendiğinde, özellikle de 2019 yılında yabancı sermayeli bankalar en yüksek orana sahip iken kamusal sermayeli bankalar grup kıyaslamasında en düşük orana sahiptir.

KAYNAKÇA

- Artar, O. K. (2012). Küresel finansal krizin Türkiye'de bankacılık sektörü mali yapısına etkileri.
- Bumin, M. (2009). Türk Bankacılık Sektörünün Karlılık Analizi: 2002-2008. Maliye ve Finans Yazıları, 1(84), 39-60.
- Dincer, H., Gencer, G., Orhan, N., & Sahinbas, K. (2011). A performance evaluation of the Turkish banking sector after the global crisis via CAMELS ratios. Procedia-Social and Behavioral Sciences, 24, 1530-1545.
- Emir, M., & Atukalp, M. E. (2018). Türk bankacılık sisteminde mevduat bankalarının aktif kalitesi ve kârlılık analizi.
- Mustafa, E., & ATUKALP, M. E. TÜRK BANKACILIK SİSTEMİNDE MEVDUAT BANKALARININ AKTİF KALİTESİ VE KÂRLILIK ANALİZİ. Atatürk Üniversitesi İktisadi ve İdari Bilimler Dergisi, 32(3), 577-600.
- OLKAN, L. A., & ALTAY, O. A. (2015). 2009-2013 DÖNEMİNDE KKTÇ'DEKİ TİCARİ BANKALARIN PERFORMANS ANALİZİ.
- Pehlivan, P. (2015). Türk bankacılık sektörü verimliliğinin rasyo analizi yöntemi ile incelenmesi: 2005-2014. Dayanışma Dergisi, 12(1), 29-40.
- SARITAŞ, H., & Saray, C. (2012). TÜRK BANKACILIK SEKTÖRÜNÜN KARLILIK PERFORMANSININ ANALİZİ. Pamukkale Üniversitesi Sosyal Bilimler Enstitüsü Dergisi(11), 23-37.
- Selimler, H. (2015). Sorunlu kredilerin analizi, banka finansal tablo ve oranlarına etkisinin değerlendirilmesi.
- Takan, M. ve Boyacıoğlu, M. (2013). Bankacılık Teori, Uygulama ve Yöntem (6. Basım). Ankara: Nobel Yayın.
- Türkiye Bankalar Birliği (2019). Bankalarımız, 2018.
- Türkiye Bankalar Birliği (2020) <https://www.tbb.org.tr/tr/bankacilik/banka-ve-sektor-bilgileri/istatistiki-raporlar/59>, (Erişim Tarihi:18.06.2020).

Türkiye’de Sürdürülebilir Bir Kalkınma İçin Yenilenebilir Enerji Kaynakları

Doç. Dr. Erdal Arslan¹

Güllü Güzel²

¹ Selçuk Üniversitesi İktisadi ve İdari Bilimler Fakültesi İktisat Bölümü, erdalarslan@selcuk.edu.tr,
ORCID:0000-0003-4892-2963

² Selçuk Üniversitesi İktisadi ve İdari Bilimler Fakültesi İktisat Bölümü, gullu.guzel58@gmail.com
ORCID:0000-0002-0874-3760

Özet: Geleneksel enerji kaynaklarının hızla tükenmesi ve bu tür kaynakların çevre ve insan sağlığına verdiği zararlar konusunda bilinçlenmenin artması elektrik enerjisi üretiminde yenilenebilir kaynakların kullanılmasının önemini giderek artırmaktadır. Bu çalışma ile birlikte klasik kalkınma anlayışı yerine yenilenebilir enerji kaynaklarına dayalı sürdürülebilir bir kalkınma anlayışı benimsenmiş ve incelenmiştir. Bu süreçte yenilenemeyen enerji kaynaklarına alternatif olarak doğan yenilenebilir kaynakların ortaya çıkış sürecine, gerekliliğine ve Türkiye’nin bu alanda yapmış olduğu kalkınma çalışmalarına değinilmiştir. Çalışma ile birlikte sürdürülebilir bir kalkınmanın ekonomi, çevre ve sosyal boyutları incelenerek enerji ihtiyacını karşılarken oluşan çevre problemlerine de değinilmiştir. Dünden bugüne artış gösteren enerji arz ve talebi ile birlikte çevresel problemlerin ulaştığı son nokta ve bu problemlerin ortadan kalkması için alternatif olarak görülen yenilenebilir enerji kaynakları ve bu kaynakların çeşitleri, ek olarak da Türkiye’de mevcut kullanım alanları ve bu kaynakların gelecek tahminlerine dair bir inceleme yapılmıştır. Dünya’da ki bu enerji problemini yenilenebilir kaynaklar yoluyla aşmanın hem canlılara hem ekonomilere pozitif yönde etki sağlayacaktır. Anlaşıldığı üzere yenilenebilir enerji kaynakları sayesinde hem sürdürülebilir bir ekonomik kalkınma sağlanırken hem de küresel ısınmanın ve iklim değişiklikleri gibi negatif dışsallıkların çözümüne ulaşabilmemizi sağlayacak tek alternatif yol olarak karşımıza çıkmaktadır. Bu bilgiler ışığında çalışmanın amacı ise ekonomik, çevresel ve sosyal çerçeveden bakılarak sürdürülebilir kalkınmanın sağlanmasında çevreyle ve doğayla uyumlu zararsız yenilenebilir enerji kaynaklarının zaman harcanmadan uygulamalara eklenmesi düşüncesinin geliştirilmesi vardır.

Anahtar Kelimeler: Yenilenebilir enerji kaynakları, sürdürülebilir kalkınma, kalkınma politikaları, çevre ve uyum, verimlilik.

1.GİRİŞ

Kalkınma ve enerji arasındaki bağlantı birçok iktisatçı tarafından inceleme konusu olmuştur. Dünya nüfus artış hızının ise giderek artması sebebiyle gelişen teknolojik yenilikler ile birlikte ihtiyaçlarda büyümektedir. Günümüzde üretimin temel girdisi enerjidir çünkü üretmek için enerji tüketmek gerekir. Buna ek olarak üretilen malların tüketimi içinde enerji gerekmektedir. Dolayısıyla üretimden tüketime her aşamada enerjinin kıt bir varlık olduğunu söyleyebiliriz. Ülkelerin ariyeten Türkiye’nin de ihtiyaç duyduğu enerji büyük ithalat ve ihracatlara söz konusu olmaktadır. Bu nedenle bu makalede yenilenemez enerji kaynaklarından ziyade minimum maliyetli ve uzun dönemde sürdürülebilirliği olan yenilenebilir enerji kaynaklarından bahsedilmiştir. Türkiye’nin günümüzde enerji alanında aldığı başarılar göz ardı edilemeyecek kadar sağlamdır. Mevcut elimizdeki enerji kaynaklarını yeni belirlenen hedefler çerçevesinde sağlam ve tutarlı adımlarla ilerletmektedir. 2019 yılı politikalarını da evrimleşmeye açık bir şekilde geride bırakırken içinde bulunduğumuz 2020 yılı içinde daha düşük maliyetli fikir ve uygulamalar açıklanmaya devam etmektedir (Kavaz, 2019: 1).

Enerji kaynaklarının ucuz ve güvenilir bir şekilde temin edilmesi gerekliliği diğer bir yandan bu sürecin çevreye ve topluma verebileceği zararları en az’da veya tamamen yok edilebilecek şekilde tutma fikrini odak noktasında bulundurmıştır. Ülke ekonomileri kalkınma süreci dahilinde bugünkü ihtiyaçları karşılarken gelecek nesillerin ihtiyaç duyacağı enerji kaynaklarını yok etmeden ekonomik, çevresel ve sosyal gelişimin sağlanması zorunluluğu ile birlikte sürdürülebilir kalkınma kavramı ortaya çıkmıştır. Bu çalışmanın amacı klasik kalkınma anlayışının yerini alan çevreyle uyumlu sürdürülebilir kalkınma anlayışını ve yenilenebilir enerji kaynaklarının kullanılmasının sürdürülebilir bir kalkınma için zorunluluğunu ortaya koymaktır.

2. LİTERATÜR

Yenilenebilir enerji hakkında bir inceleme yapıldığında, literatürlerde bu konu ile ilgili en çok bağdaştırılan konular ekonomik büyüme ve sürdürülebilir kalkınma olmaktadır. Türkiye üzerine de enerji tüketimi kalkınma, büyüme ilişkisini inceleyen pek çok çalışma bulunmaktadır.

Çepik (2015) Türkiye'nin enerji kaynakları potansiyeline dair yaptığı çalışmada Türkiye'nin sadece kendi ürettiği rüzgar enerjisini kullanarak toplam enerji ihtiyacının tamamını karşılayabileceği kanısına varmıştır. Çalışmanın devamında ise Almanya ve İspanya gibi güneş enerjisi kaynağına en çok sahip olan birçok ülkeden Türkiye'nin daha fazla potansiyele sahip olduğu anlaşılmıştır (Çepik, 2015)

Apergis ve Payne (2010), 1985-2005 yılları arasında OECD'ye üye 20 ülkenin yenilenebilir enerji tüketimi ve ekonomik büyüme verileri ile ilgili bir panel veri çalışması yapmıştır. Yapılan Granger nedensellik testine göre iki değişken arasında hem uzun hem de ve kısa dönemde çift yönlü bir nedensellik ilişkisi görülmektedir (Apergis & Payne, 2010)

Akay ve diğerleri (2015), seçmiş oldukları Orta Doğu ve Kuzey Afrika ülkelerinin yenilenebilir enerji, büyüme ve karbondioksit emisyonları arasındaki ilişkiyi incelemişlerdir. 1988-2010 yılları arasını göz önünde bulunduran çalışma için panel vektör oto regresyon yaklaşımı kullanılmıştır. Ortaya çıkan sonuçlara göre yenilenebilir enerji ve büyüme arasında çift yönlü bir nedensellik ilişkisi bulunmuştur. Bu sonuca ek olarak ise enerji talebindeki ani bir yükselişin büyümeyi pozitif etkilediği anlaşılrken, yenilenebilir enerji tüketiminin artması ise karbondioksit emisyonunu azalttığı anlaşılmaktadır (Akay, Abdiyeva, & Oskonbaeva, 2015)

Özşahin, Mucuk ve Gerçeker (2016), ekonomik gelişme ve yenilenebilir enerji talebi arasındaki ilişkinin yönünü anlamaya yönelik bir çalışma yapmışlardır. Bu çalışma Türkiye ve BRICS ülkeleri dahilinde yapılmış olup 2000-2013 yıllarının verileri alınmıştır. Panel veri analizi yapılan çalışmaya homojenlik testi ve yatay kesit bağımlılığı uygulanmıştır. Ortaya çıkan sonuçlara göre çalışmaya konu olan 2 değişken arasında uzun dönemli pozitif bir ilişki olduğu ortaya çıkarılmıştır (Özşahin, Mucuk, & Gerçeker, 2016)

Bakırtaş ve Çetin (2016), G20 ülkeleri üzerinden 1992-2010 yılları arasını kapsayan dönemin verilerini ele alarak ekonomik büyüme ve yenilenebilir enerji kaynakları arasındaki ilişkiyi incelemişlerdir. Çıkan sonuçlara göre ekonomik büyüme uzun dönemde yenilenebilir enerji tüketimini pozitif yönde etkilediği sonucuna varılmıştır.

Usta ve Berber (2017), tarım, sanayi, konut ve ulaştırma sektörlerine sahip olan bir ekonominin enerji talebi ve büyümesi ilişkisini nedensellik testleri Toda ve Yamamoto ile sınamıştır. Çalışma sonucunda ulaştırma ve sanayi sektörlerinde enerji talebi ve büyüme arasında çift yönlü nedensellik tespit edilmiştir (Usta & Berber, 2017)

Bhattacharya ve diğerleri (2016), yenilenebilir enerji tüketiminin ekonomik büyüme üzerine olan etkisini, yenilenebilir enerji kaynaklarını en çok kullanan ülkelere ilk 38'ini dahil ederek incelemişlerdir. İlk 38 ülkeyi ise Ernst&Young Global Limited'in yaptığı Yenilenebilir Enerji Çekicilik Endeksi'ne göre belirlemişlerdir. 1991-2012 dönemleri arası verileri alınarak yapılan panel veri analizinde seçilmiş olan 38 ülkenin %57'sinde yenilenebilir enerji talebinin artmasının ekonomik çıktığı 'da arttırdığı sonucuna varılmıştır (Bhattacharya, Paramati, Öztürk, & Bhattacharya, 2016)

Büyükyılmaz ve Mert (2010), Türkiye için 1960-2010 yılları arasını kapsayan veriler ile MS_VAR analizi yapılmıştır. Bu çalışmanın sonucunda ekonomik büyüme ve yenilenebilir enerji talebi arasında çift yönlü bir nedensellik sonucuna varılmıştır (Büyükyılmaz & Mert, 2010)

3. SÜRDÜRÜLEBİLİRLİK NEDİR?

Sürdürülebilirlik kavramı pek çok alanda kullanılmaktadır. Bu kavramın temel anlamı bugünü ve geleceği olumsuz yönde etkilemeden yaşamı devam ettirmek olan "sürdürülebilirlik" teknoloji alanındaki gelişmeler neticesinde enerji kaynağının yenilenebilirliği ile beraber sorgulanmaya başlanmıştır. Sürdürülebilirlik tanımı; bireylerin oluşturduğu toplumun sosyal, bilimsel, kültürel, doğal ve beşeri gibi kaynaklarını ileriye düşünerek dengeli kullanmasını ve bu düşünce ile ilgili bir saygı temelini oluşturulması sürecidir. Sürdürülebilirlik, çevre, insan, ekonomi ve günümüz bireylerinin ilerdeki kuşaklar için üstlendikleri sorumluluklar arasındaki ilişkiyi betimlemektedir (Tıraş, 2011, s. 59).

4.SÜRDÜRÜLEBİLİR KALKINMA NEDİR?

1960 yılından sonra verimlilik ve karların artış hızının düşmesi ile sermaye birikimindeki büyük daralma neticesinde kapitalist düzen yüzyılın en uzun süreli olan kriz dalgasına adım atmıştır. Bu krizin temelinde sermaye yetersizliğinin olması, sermayenin özgürleşmesini ve ulus ötesi nitelik kazanmasını dolayısıyla küreselleşme kavramını gündeme getirmiştir. İlerdeki kuşakların geleceğinin ve sermayesinin bu krizi gidermek amacıyla kullanılması anlamına gelen bu tartışma“sürdürülebilir kalkınma” kavramını gün yüzüne çıkarmıştır. Freman ve Soete bu kavramı şuan ki kuşağın ihtiyaçlarını, doğal çevreyi ve bu çevrede bulunan kaynakların yenilenmesini engelleyecek bir yıkıma uğratmadan ilerdeki kuşaklara aktarılmasını sağlayan ekonomik bir sistem şeklinde tanımlamışlardır. Bu tanım ile, ekonomik sistemin uzun dönemde insan ihtiyaçlarını karşılarken ekolojik dengenin devamlılığına dayandırılması amaçlanmıştır (Tıraş, 2011, s.60).

Tablo-1: Sürdürülebilir Kalkınma İçin Uluslararası Platformlarda Atılan Adımlar

	1972	Stockholm Konferansı
	1987	Ortak Geleceğimiz Raporu
1992		Rio Zirvesi
1996		Habitat II Zirvesi
1997		Rio+5 Zirvesi
2002		Johannesburg Zirvesi
	2006	AB 6. Çerçeve Programı
	2010	V. Dünya Kentsel Forumu
2012		Rio+20 Zirvesi

(Seydioğulları, 2013, s. 21)

Sürdürülebilir kalkınma alanında atılan adımlar tarihsel bir sıra çerçevesi ile yukarıdaki tabloda gösterilmiştir. Bu tabloda yer vermediğimiz sürdürülebilir kalkınma alanında atılan ilk adım 1962 yılında Rachel Carson’un çevre bilim, yaygın hastalıklar ve zehir bilim alanları üzerine yaptığı “Silent Spring-Sessiz Geliş” isimli çalışmasında, tarımsal böcek ilaçlarının yıkıcı yönlerini göstermesi ile atılmıştır. Bu tür çalışmalar 1970’li yıllar boyunca devamlılığı arz etse de, Roma Kulübünün 1972’de yayınladığı “Limits to Growth-Büyümenin Sınırları” çalışması ile ekonomi-çevre-toplum arasında hedeflenen dengenin oluşturulması ile ilgili yapılacak çalışmalara farklı bir boyut katmıştır. “Sürdürülebilir Kalkınma” terimi ilk kez Uluslararası Doğa ve Doğal Kaynakları Koruma Birliği (IUNC) tarafından düzenlenen ‘Dünya Koruma Stratejisi’ isimli makale ile ortaya çıkmıştır. 1983’de kurulan Dünya Çevre ve Kalkınma Komisyonu, Başkanı Brundant’ın deyimiyle bu komisyon gelecekteki kuşakların çıkarlarını göz önüne alacak politikaları yürütecektir. Brundant kalkınma kavramını, sadece gelişmemiş veya gelişmekte olan ülkelerin varlığını devam ettirmek amacıyla gerçekleştirdiği iktisadi olgularla sınırlandırmak istememiştir. Başrol olan çevre, toplumların içinde yaşamını devam ettirdiği yerdir, Kalkınma ise o yerdeki şartlarımızı güçlendirmek için yapılan devinimlerin tamamı çerçevesinde gerçekleşir. Sürdürülebilir kalkınma kavramının Global anlamda kullanılması 1987’de Dünya Çevre ve Kalkınma Komisyonu’nun hazırladığı ‘Ortak Geleceğimiz (Brundtland Raporu)’ isimli rapor sayesinde gerçekleştirilmiştir. Bu raporda (Brundtland Raporu) sürdürülebilir kalkınma kavramı ilerdeki nesillerin, ihtiyaçlarını karşılamaya yönelik kapasite ve imkanların azaltılmadan, şimdi gerek duyduğumuz ihtiyaçların giderilmesidir (Özyol, 2009, s.1).

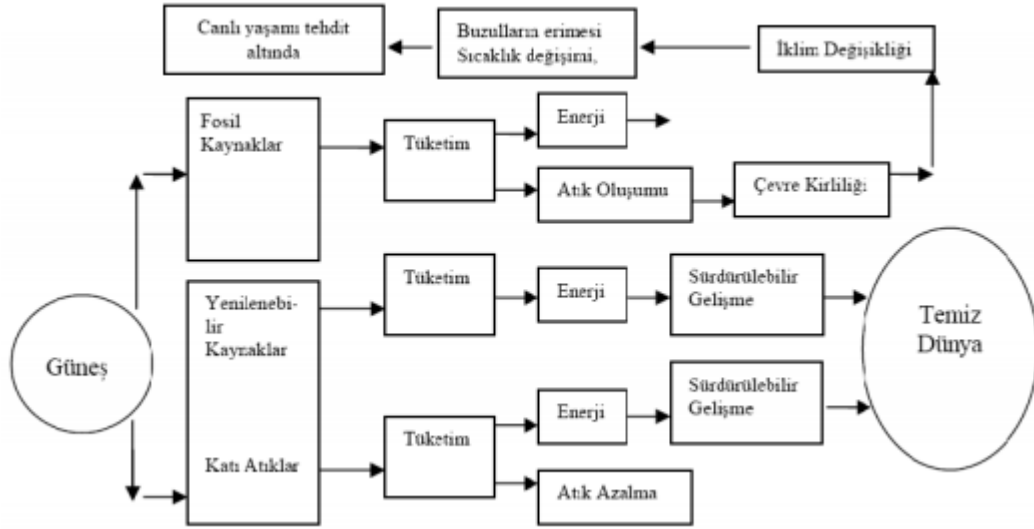
5.SÜRDÜRÜLEBİLİR KALKINMA ÇERÇEVESİNDE EKONOMİ, ÇEVRE VE TOPLUM

Çevre kavramı yaşadığımız bir ortam olmanın yanında dünya üzerindeki tüm canlıların birbirleriyle etkileşimlerini devam ettirdikleri fiziki, sosyal, ekonomik ve kültürel bir çerçeve oluşturmaktadır. Sanayi devriminden sonra ekonomik kalkınmayı sağlamak amacıyla doğayı tahrip eden ülkeler sürecin başında bu durumu çok dikkate almamış ve yıkıcı üretim arzını günbegün arttırmaya devam etmişlerdir. Bunlara ek olarak I. Ve II. dünya savaşlarında gitgide yükselen sanayileşme çevreyi tahrip etmeye devam etmiştir. Bu süreç dahilinde üretimin artması, insanların refahlarını da paralel bir şekilde arttırmış ve üret-tüket liberal yaklaşımı ile doğa özgürce sömürülmüştür ek olarak da çevreye verilen tahribatın görünmesine engel olunmuştur (Dinç, 2008, s.3).

Ülkeler baskın güç olabilmek adına çevreyle denge sağlamayan üretim yöntemleri ile silah sanayi ve nükleer teknolojilerini geliştirerek doğa tahribatına zemin hazırlamışlardır. Çevre kirliliğinin birincil nedeni fosil

yakıtlardır çünkü; üretimde bu yakıtların kullanılması havaya bazı zehirli gazların salınmasına dolayısıyla da atmosferin delinmesine, asit yağmurlarına ve kalitesiz havaya yol açmaktadır (Erten, 2006, s.28).

Şekil-1: Enerjinin Kullanım Şekli, Çevresel Etki ve Sürdürülebilirlik Dönüşüm



(Selici, Utlu, İlten, 2006)

Yukarıda şekilde enerjilerin türlerine göre kullanıldığında çevre üzerindeki etkileri ve sürdürülebilirlikleri görülmektedir. Daha önce dünyaya en çok zarar veren kaynağın fosil yakıtlar olduğunu belirtmiştik ancak buna ek olarak her ne kadar fosil yakıtlar gibi olmasa da yenilenebilir enerji kaynaklarının da çevreye zararlar verdiği görüşü üzerine bilimsel makaleler bulunmaktadır. İşte tam bu noktada sürdürülebilir kalkınma kavramı ortaya çıkmaktadır. Kalkınma sürecinde üretim nedeniyle çevrede yapılan tahribatı minimuma indirmek sürdürülebilir kalkınmanın hedefidir ama bu kavramın önündeki en büyük engel ise kısa vadeli çıkarları göz önüne alarak büyümeye çalışmaktır. Bu durumun gerçekleşmemesi için uluslararası kuruluşlar belli yaptırım ve yasalar düzenlemektedirler. Yaptırımların oldukça ağır olmasının nedeni ise bazen bir ülkenin doğaya vermiş olduğu tahribatın tüm ülkeleri etkilemesidir. Sürdürülebilir kalkınma ile dünyamıza verilen yıkıcı hareketlerin oldukça ciddi olduğu farkına varılmıştır.

Tablo-2: Enerji Kaynaklarının Sera Gazı Emisyon Rakamları (2019)

Kaynak	Min.-Max. Sera Gazı Emisyonu (ton-CO ₂ /GWh)	Ortalama Sera Gazı Emisyonu (ton-CO ₂ /GWh)
Linyit	790-1372	1054
Kömür	756-1310	888
Fuel-oil	547-935	733
Doğal Gaz	362-891	499
Nükleer	2-130	66
Biyokütle	10-101	26
Hidroelektrik	2-237	26
Güneş	13-731	23
Rüzgar	6-124	10

(Konyalı, 2019, s. 7)

Yukarıdaki tablo 2'ye baktığımızda da doğaya özellikle ozon tabakasına verilen zararları fosil yakıtlara karşılık yenilenebilir enerji kaynakları üzerinden çevreye etkisini karbon salınım oranları yoluyla görebiliriz. Bilim insanlarının yaptıkları çalışmalara göre fosil yakıt kullanımı her ne kadar zararlı olduğu kabul edilmiş olsa da 1980'lerde 6.630 milyon ton olan bu rakam 2008'de 11.630 seviyelerine çıkmıştır. Günümüzde ise bu kaynağın zararlarını fark eden bilinçli bir kesimin oluşması ile uzun dönemde sürdürülebilirliği yüksek olan elektrikli arabalarda büyük bir talep artışı yaşanmıştır (Konyalı, 2019, s. 7).

Şuana dek sürdürülebilir kalkınmanın devamlılığının sağlanabilmesi adına yapılan çalışmalara şu örnekleri verebiliriz;

- ✚ Teknolojik gelişmelerin arttırılması
- ✚ Yapısal önlemler
- ✚ Yasal düzenlemeler
- ✚ Vergilerde teşvik
- ✚ Destekleyici kredilerin arttırılması
- ✚ Eğitim ve bilgilendirme çalışmalarının artması

Türkiye’de de çevrenin korunması amaçlanarak Anayasa başta olmak üzere, tüzük ve yönetmelikler oluşturulmuştur. Çevre koruma kanunu Anayasamıza ilk olarak 1982 yılında girmiş olup üretim ve çevre arasındaki dengenin var olması savunulmuştur lakin bu dengenin nasıl sağlanacağına dair hiçbir ilke bulunmamaktadır. Bu nedenle anayasada korunması gereken çevrenin alanı belirlenmediği gibi sürdürülebilir kalkınma kavramının da 1982 Anayasasında yeterince açık bir şekilde belirtilmediği anlaşılmaktadır (Egeli, 1996, s.44).

6.TÜRKİYE’NİN SÜRDÜRÜLEBİLİR KALKINMA POLİTİKALARI

1978’de Türkiye’de çevrenin güvenliği ve sürdürülebilirliği yönündeki politikaların uygulanabilmesi amacıyla Başbakanlık Çevre Örgütü kurulmuştur. Sürdürülebilir bir kalkınmanın ilk hedeflendiği durum 1990-1994 yılları arası VI. Beş yıllık kalkınma Planıdır. Fakat bu alanın ilk devinimler 1999’ da Türkiye’nin Avrupa Birliğine aday ülke olarak kabul edilmesi ile başlamıştır. Türkiye’nin Avrupa Birliğine aday gösterilmesi ile AB’ye uyum politikaları ile ilgili belli bir takım çalışmaları ortaya koyması gerekmektedir. Bu çalışmalardan en önemlisi ise AB çevre politikalarına uyum olduğu için Türkiye Çevre ve Orman Bakanlığı 2006’da çevre uyum stratejisi çalışmasını hazırlayarak ihtiyaç duyulan teknik ve kurumsal altyapı çalışmalarına başlanmıştır. Bu politikaların uygulanabilmesi için AB finansal yardımlarda da bulunmaktadır (Çevre ve Orman Bakanlığı, 2006, s. 71).

Türkiye’de sanayileşmenin gitgide hız kazanması ve nüfustaki artışla beraber evsel atıkların devasa bir hal alması ile 2019 yılında kişi başına düşen su miktarı 1400 metreküp civarındadır. Bu miktarın 2030 yılına gelindiğinde ise 1000 metreküpün altına düşeceği tahmin edilmektedir. Avrupa ülkeleri ise su kaynakları bakımından Türkiye’nin 6-7 katı seviyesindedir. Türkiye’nin 3 tarafı denizlerle çevrili olduğu için yetersiz alt yapı sorunları nedeni ile kirlenme oranı arttıkça AB uyum sürecine ters düşen çevresel problemler baş göstermiştir.

Tablo-3: Türkiye’nin 2012-2020 Dönemleri Arasında Çevre Yatırımları İçin İhtiyaç Duyduğu Finansman Miktarı

	2012	2013	2014	2015	2016	2017	2018	2019	2020
Su Sektörü	3164	3263	3445	3813	4052	4238	4351	4478	4584
Katı Atık Sektörü	992	1042	1135	1182	1182	1184	1184	1276	1276
Hava Sektörü	4	4	4	4	4	4	4	4	4
Ekk Sektörü	1226	1295	1390	1488	1382	2096	2196	2313	2428
Doğa Koruma Sektörü	26	28	30	30	32	33	37	39	33
Toplam	5412	5632	6004	6517	6652	7555	7772	8110	8325

(Çevre ve Orman Bakanlığı, 2019, s. 58)

Yukarıdaki tablo-3’te Türkiye’nin 2012-2020 arasında AB’ye girme sürecinde yapması gereken yatırımların tutarları bulunmaktadır. Yapılması gereken bu yatırımların finansmanı ise, Avrupa Birliği’nin vereceği krediler, devlet bütçesinden, özel sektör harcamalarından ve İller Bankası ile uluslararası finans kuruluşlarından alınan krediler yolu ile desteklenecektir. Aslında Avrupa Birliğine uyum süreci Türkiye’nin çevre ile ilgili yetersizlikleri ve problemlerine yönelebileceği bir fırsat oluşturmuştur. Çünkü bu süreçle birlikte kirliliği ve atık problemini en aza indirmek veya tamamen yok etmek amacıyla çevreye uyumlu teknoloji ve Ar-Ge araştırmalarına devlet tarafından büyük teşvikler sunulmuştur. 2010-2014 yılında T.C. Enerji ve Tabii Kaynaklar Bakanlığı Tarafından yayınlanan stratejik plana göre sürdürülebilir enerjinin kaynakları bakanlığın ana hedefleri arasında bulunmaktadır. Bu planda özellikle vurgulanan maddeler şunlardır;

- ✚ Ekonomik bir gelir sağlayabilecek yenilenebilir enerji kaynaklarına ilişkin projelerin üretilmesi ve hız kesmeden uygulanması.
- ✚ Yenilenebilir enerji kaynaklarıyla uyumluluk dahilinde yeni üretim teknikleri, yasal düzenlemeler ve teknolojik gelişmelerin sağlanması.
- ✚ Türkiye'nin hidroelektrik enerjisinin yüksek ölçüde kullanılması ve özel sektöründe bu enerji alanında yatırımlar yapması için gerekli teşviklerin verilmesi.
- ✚ Tüketim talebindeki değişimlerle uyum sağlayabilecek esneklikte hidroelektrik üretmeye elverişli su kaynaklarının geliştirilmesi.
- ✚ Hidroelektrik santrallerin finansal açıdan analizleri, günümüz koşullarına uygun değerlendirilecektir.
- ✚ Elektrik iletim sistemlerinin daha fazla rüzgar enerjisi ile yürütülmesini sağlamak
- ✚ Jeotermal kaynaklarımızı mevzuata uygun olarak koruyarak sürdürülebilirlik özelliklerini devam ettirmek
- ✚ Jeotermal enerjinin katkısı ile elektrik üretimini arttırmak için bu alana özel sektörün dahil edilmesi.
- ✚ Doğal kaynaklara zarar vermeyen bir teknolojik gelişmenin sağlanması.

1992'de Rio zirvesi neticesi ile yapılmış olan Birleşmiş Milletler Çölleşme İle Mücadele Sözleşmesi'ne Türkiye 1994'de imzalayarak katılım sağlamıştır. Biyolojik Çeşitlilik sözleşmesini ise 1994'te imzalayarak ilk imzalayan ülkeler arasında yerini almıştır. 2004'te Birleşmiş Milletler İklim Değişikliği Sözleşmesini Türkiye'nin üzerine büyük finansal sorumluluklar yüklemesine rağmen belli koşullar üzerinden anlaşarak kabul etmiştir. 2009'da da Japonya'nın kentlerinden biri olan Kyoto'da KYOTO protokolüne üye olunarak Türkiye'de çevreyle dost bir gündem oluşturulmuştur (Enerji ve Tabii Kaynaklar Bakanlığı, 2014, s.29).

Türkiye'ye tarihsel perspektiften bakıldığında 5. Yıllık kalkınma planlarının asıl hedef noktasının sürdürülebilir bir kalkınmanın sağlanması olduğu gözlemlenmektedir. İnsanları çevre hakkında bilinçlendirmek ve sürdürülebilir kalkınma için kaynakların belirlenmesi gibi planlar nedeniyle 1998'de Ulusal Çevre Stratejisi ve Eylem Planı hazırlanmıştır. Hazırlanan tüm çalışmalar 2002'de toplanan Johannesburg zirvesinde gösterilmiş ve bu sunuma göre bir uygulama planı oluşturularak 2004 yılında Ulusal Sürdürülebilir Kalkınma Komisyonu kurulmuştur. 2000'de ise kabul edilen 1000 yıl hedefleri ile sağlık, eğitim ve enerji alanlarında çalışmalar hazırlanarak uygulamaya konulmuştur (Kalkınma Bakanlığı, 2012, s. 11).

7.YENİLENEBİLİR ENERJİ KAYNAKLARI VE SÜRDÜRÜLEBİLİR KALKINMA İLİŞKİSİ

Enerji, 2 nedenden dolayı devamlı olarak dünya'nın tartıştığı konuların başında gelmektedir. İlk neden kaynakların sınırsız olmaması iken, ikinci neden ise enerji dönüşüm teknolojilerinin doğaya ve dünyamıza verdiği zararlarıdır. Toplumsal refah ve standartlar ile enerji tüketimi arasındaki ilişki incelendiğinde enerji kaynaklarının bizlere sonsuza kadar yeterli olmayacağını anlamaktayız. Bu anlamda sonsuza ulaşmanın tek yolu yenilenebilir enerji kaynaklarının kullanımı ile olanak sağlamaktadır.

Doğada fazlasıyla hali hazırda kullanılmayı beklediğini düşündüğümüz doğal zenginliklerin bilinçsiz bir şekilde tüketilmesi sonucu dünya üzerindeki bütün ülkeleri, varlıkları ve çevreyi olumsuz yönde etkilemeye devam edecektir. Bu problemin tüm ülkeleri etkilemesi sonucunda ve gelecek nesillerin ihtiyaç duyacakları kaynakların tükenmesini önlemek amacıyla 1987'de Birleşmiş Milletler Çevre ve Kalkınma Dünya Komisyonu "sürdürülebilir kalkınma" kavramının gelişmesini sağlayarak ülkeleri bu konuda bilinçlendirmeye çalışmıştır (Kulözü, 2005, s.1).

Sürdürülebilir kalkınma denilince ilk akla gelen kavram yenilenebilir enerjidir çünkü yenilenebilir enerji sayesinde uzun dönemli ve sağlıklı bir kalkınma süreci elde edilebilir. Şuan gelişmiş ülkelere baktığımızda ekonomilerinde enerjinin özellikle de yenilenebilir enerjinin oynadığı büyük rolleri görebiliriz. Uluslararası verilere baktığımızda kişi başına düşen kömür, petrol enerjisi gibi dönüşüme uğramaksızın elde edilmiş birincil enerji kaynaklarının tüketimi ülkelerin refah seviyelerinin ölçülmesinde önemli bir etmendir.

Enerji kaynakları nitelik bakımından yenilenebilir enerji kaynakları ve yenilenemez enerji kaynakları olarak ikiye ayrılırlar. Bu nedenle uzun vadeli olarak ve kullanımı durumunda zararının olmaması nedeni ile yenilenebilir enerji kaynaklarına ilişkin inceleme ve teknolojik çalışmaların arttırılmasına olanak sağlanmalıdır. Bu kapsamda sürdürülebilir enerji gereksinim duyduğumuz enerjiyi minimum maliyeti ve devamlılığı sağlayan politika, teknoloji ve uygulamaları amaçlamaktadır (Adaçay, 2014, s. 88).

Sürdürülebilir kalkınmanın sağlanması; toplumsal refahın arttırılması, ekonomik sistemde üretimin devamını sağlayabilmek için, giderek artmakta olan nüfus artışı ve ekonomik büyüme nedeniyle ihtiyaç duyulan enerji

gereksiniminin giderilmesini zorunlu kılmaktadır. Yenilenebilir enerji, sürdürülebilir kalkınma, ekonomi ve doğayla uyumu sayesinde büyük bir ihtiyaç konumundadır. Enerji üretiminin sürdürülebilirliğini sağlayabilmek uzun dönemli kalkınmanın en önemli koşullarından biri olmanın yanı sıra uluslararası politika içinde hayati bir önem taşımaktadır. Bu sonuçlar neticesinde çevresel sorunları en aza indirmek, Türkiye'nin jeopolitik konumunu da düşünerek enerji kaynaklarının yeniden gözden geçirilmesi ve yenilenmeyen enerji kaynaklarına alternatif yeni kaynaklar bulunmalıdır (Seydioğulları, 2013, s. 24).

Gelinen noktada, petrol ve kömür gibi doğaya zararlı ve yenilenemeyen kaynaklar yoluyla üretilen enerjinin tüketimi, dünyamızın doğal işleyişini, ormanlarımızı ve denizlerdeki biyolojik çeşitliliği büyük seviyelerde tahrip etmiştir. Dünya'da ki bu enerji problemini yenilenebilir kaynaklar yoluyla aşmanın hem canlılara hem ekonomilere pozitif yönde etki sağlayacaktır.

Anlaşıldığı üzere yenilenebilir enerji kaynakları sayesinde hem sürdürülebilir bir ekonomik kalkınma sağlanırken hem de küresel ısınmanın ve iklim değişiklikleri gibi negatif dışsallıkların çözümüne ulaşabilmemizi sağlayacak tek alternatif yol olarak karşımıza çıkmaktadır.

8.YENİLENEBİLİR ENERJİ KAYNAKLARININ TARİHSEL GELİŞİMİ

Yenilenebilir enerji kaynaklarının tarihi M.Ö. 5000 yıllarına kadar dayanmaktadır. O tarihlerde rüzgar enerjisi kendisine; gemilerin yelkenlerinin hareket ettirilmesinde, mısır, buğday öğütürerek un yapımında ve tarımda sulama amacıyla kullanım alanı bulmuştur. M.Ö. 200 yıllarında ise rüzgar enerjisi Çin, İran ve Afganistan da yel değirmeni ve su pompalarının gelişmesinde yerini almıştır (Altuntaşoğlu, 2003, s. 53).

Jeotermal enerji ise Romalılar tarafından ısınma amacı ile kullanılmıştır. Türkiye'de de ilk olarak aynı kullanım amacı ile 1964'te Gonen'de kullanılmıştır. 1860 yılında güneş enerjisi kullanılarak buhar makinesi çalışmalarına hız verilmiştir. Tarihsel açıdan bakacak olursak yenilenebilir enerji kaynaklarının kullanımı 1973 yılında meydana gelen petrol krizi ile hızlanmıştır. Çünkü 1973 krizi ile petrol arzında daralma ve buna paralel olarak da petrol fiyatlarında büyük bir artış meydana gelmesiyle ülkeler daha ucuz maliyetli enerji kaynakları aramaya başlamışlardır. Bu arayışa ek olarak hükümetlerin Ar-Ge için ayrılan bütçeleri arttırılmış ve teşvik politikaları ile öncelik kazanmıştır. Ülkelerin ve insanların doğal çevre hakkında bilinçlenmesi sebebiyle petrol gibi negatif dışsallığı yüksek olan bir kaynağın uzun dönemde çevre ile olan dengesinin sürdürülemeyeceği anlaşılmıştır.

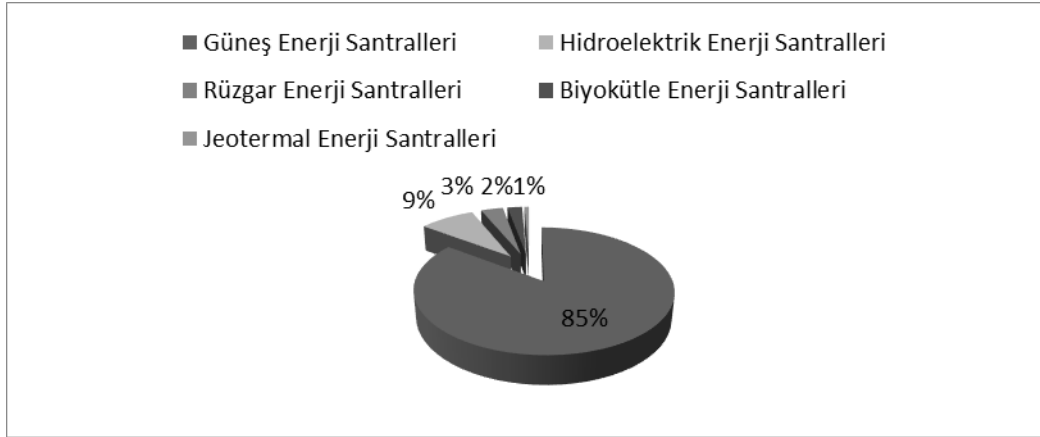
En fazla kullanılan kaynak listesinin başında hidroelektrik, rüzgar ve jeotermal enerji gelmektedir. Güneş enerjisi ise güneş panellerinin kurulması için gerekli olan büyük alanlara sahip olunmaması ve verimliliğinin yatırım maliyetlerini karşılayamaması nedeni ile tercih edilen yenilenebilir enerji kaynaklarından değildir. İktisadi açıdan bakılacak olursa maliyetleri ve yapım aşamaları uzun olmasına rağmen uzun dönemde büyük karlılıkları nedeni ile özel sektör tarafından en çok tercih edilen enerji kaynaklarından ikisi rüzgar ve hidroelektrik santralleridir. Bunlar haricinde ise dalga enerjisi ve hidrojen enerjisi gibi yenilenebilir enerji kaynakları diğerlerine oranla daha az tercih edilmektedir (Çepik, 2015, s. 69).

8.1.Yenilenebilir Enerji Kaynakları

Yenilenebilir enerji, doğanın kendi evrimsel süreci içinde iken, ileri bir günde de mevcut halini koruyabilen enerji kaynağıdır. Birincil enerji kaynakları ise kullanımı şuan için mecbur olan ancak doğaya da oldukça büyük zararlar veren kaynaklardır. Bu gibi zararlı enerji kaynaklarının yerini ise günümüze doğru güneş enerjisi, jeotermal enerji, rüzgar enerjisi, hidrolik ve hidrojen enerjisi, deniz kökenli enerjiler ve biyokütle enerjisi almaktadır (Güneş, 2000).

Yenilenebilir enerji kaynakları ile geleneksel yakıtlar 4 farklı pazar olan, güç üretimi, sıcak su, alan ısıtma, otomobil yakıtları ve kırsal faaliyetlerinde rekabet etmektedir. Güç üretim kapasitesinin neredeyse %4'ü yenilenebilir enerji ile sağlanmaktadır. Ülkemizdeki birçok alanın sıcak su ve ısıtma mekanizması güneş, jeotermal ve biyokütle ile oluşturulmaktadır. Dünya üzerinde 40 milyon ev güneş enerjisi ile ısınmaktadır. Biyokütle enerjisi sanayi, evsel kullanım ve tarımda önemli rollere sahip bir kaynaktır. Özellikle gelişmekte olan ülkelerde yemek yapımı ve biyogaz yerine oldukça tercih edilmeye başlanmıştır. Dünya'da 2 milyon daha çok hanede ise aydınlatma amacı için güneş fotovoltaikleri kullanılmaya başlanmıştır. Yenilenebilir enerji kaynakları dünya genelinde toplam enerjinin yaklaşık olarak %20'sini oluşturmaktadır.

Şekil-2: Türkiye’de Yenilenebilir Enerji Santralleri Adedi (2019)



(TEİAŞ, 2019)

Şekil 2’de TEİAŞ’ın 2019 yılına ait açıkladığı verilerde en fazla santral sayısına sahip olan birincil enerji kaynaklarını görmekteyiz. Açıklanan verilerle göre Türkiye’de 6.901 adet güneş enerjisi santrali (5.995 MW), 682 adet hidroelektrik enerji Santrali (28.503 MW), 275 adet rüzgar enerji santrali (7.591 MW), 181 adet biyo-kütle enerji santrali (801.6 MW) ve 54 adet jeotermal enerjisi santralli bulundurmaktadır.

Tablo-4: Yenilenebilir Enerji Kaynaklarının Gelecek Tahminleri

	2020	2030	2040
Toplam Tüketim(tep)	11425	12352	13310
Biyokütle	1791	2483	3271
Büyük Hidrogüç	309	341	358
Jeotermal	186	333	493
Fotovoltaik	24	221	784
Rüzgar	266	542	688
Güneş	66	244	480
Güneş Termal Elektrik	3	16	68
Deniz (gel-git,okyanus)	0.4	3	20
Yenilenebilir Enerji	23.6	34.7	47.7

(T.C. Enerji ve Tabii Kaynaklar Bakanlığı, 2019)

Yukarıdaki tablo 4’te ton eşdeğer petrol (tep) olarak 2040 yılına kadar enerji planlaması yer almaktadır. Avrupa Yenilenebilir Enerji Konseyi’ne (EREC) göre 2040 yılı itibarıyla dünyanın enerji ihtiyacının yaklaşık %50’si yenilenebilir enerji kaynakları ile sağlanacaktır. 2040 Yılında özellikle en çok kullanılan yenilenebilir enerji kaynağı olarak rüzgar ve fotovoltaik yerini alacaktır. Fotovoltaik, güneş pilleri veya dizinleri kullanılarak güneş’ten elektrik elde etmeyi sağlayan bir kaynaktır. Bu sistemlerin gücü 50 MW’ın üzerindedir.

9.TÜRKİYE’NİN YENİLENEBİLİR ENERJİ KAYNAKLARINA DAİR POLİTİKALARI

Ülkemizin enerji politikası, Türkiye’nin ihtiyacı olan enerjiyi, ekonomik ve sosyal kalkınmayı güçlendirerek buna ek olarak da çevreyi göz önünde bulundurarak yeterli ve güvenilir bir biçimde olması amaçlanmaktadır. Uzun yıllar boyunca dünya eko-sistemine büyük zararlar verilmesi nedeni ile Türkiye’de dahil olmak üzere yenilenebilir enerji kaynaklarına yönelerek zararlı sistemlere karşı anlaşmalar imzalanmıştır. Yenilenebilir enerji kaynaklarının kullanımının arttırılmasına yönelik enerji ithalatı konusunda yerli enerji teşvik edilmiştir fakat son 20-25 yıla bakıldığında enerji alanında yatırım denildiği zaman fosil yakıtlar ile ithal kaynaklara doğru bir yönelme olduğu gözlemlenmektedir (Gücüyeter, 2015, s. 35).

Türkiye enerji ihtiyacının büyük bir bölümünü başka ülkelerden ithal etmesi, cari açıktaki büyüme trendinin de artmasına sebep olmaktadır. Günümüz enerji ihtiyacının önemli kısmı fosil yakıtlardan karşılandığı için

Türkiye’deki güneş, jeotermal, rüzgar vb. yenilenebilir olan enerji kaynaklarının değerinin anlaşılmasına neden olmuştur. Türkiye’nin yıllık olarak toplam yaratmış olduğu güneş enerjisi 1.527 kWh/m² olduğu anlaşılmıştır. Güneş enerjisi hem elektrik hem de ısı üretimi alanında kullanılmaktadır. Günümüzde Konya-Karapınar bölgesinde kurulması beklenen 1.000 MWe kapasiteli güneş enerjisi üreten santralinin dünyanın en büyük güneş santrallerinden biri olması bekleniyor (T.C. Enerji ve Tabii Kaynaklar Bakanlığı, 2020a).

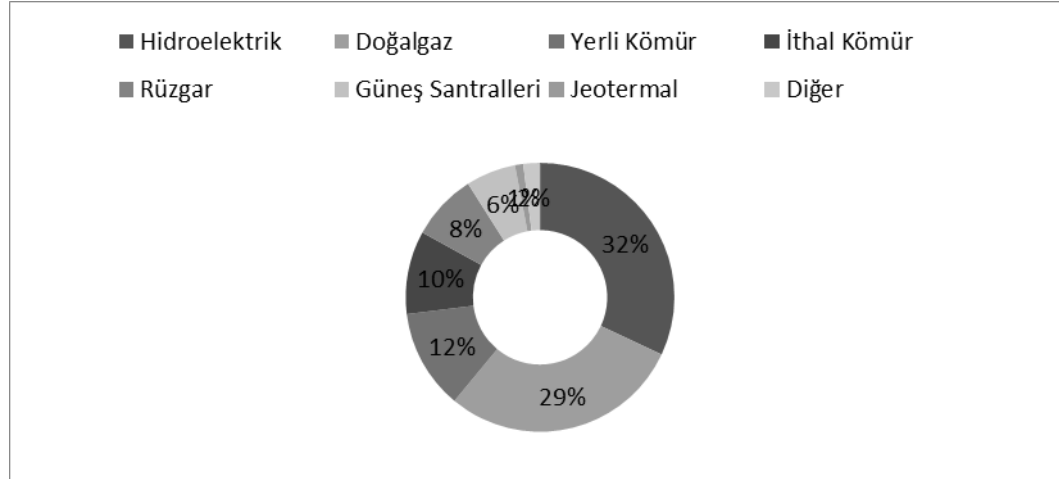
Türkiye’de rüzgar enerjisi ise özellikle kırsal kesim için büyük önem taşımaktadır. 20. Yüzyılın sonları itibari ile Türkiye rüzgardan enerji elde etme konusu ile çalışmalara başlamıştır. Özellikle Çanakkale Boğazı civarı, Bozcaada, Gökçeada, Sinop, İnebolu, Bozkurt, Samsun, Bandırma, Balıkesir, Çorlu, Edremit, Ayvalık, Dikili, Çeşme, Bodrum, Bergama, Antakya, Anamur, Silifke, Mardin, Malatya, Erzurum, Seydişehir, Karaman ve Afyon gibi yerlerin rüzgar enerjisi üretimine büyük olanaklar sağlaması Türkiye’nin bu alanda ilerlemesine neden olmuştur.

Jeotermal enerji’ye baktığımızda dünya genelinde üretimi çok fazladır ama Türkiye’ye bakarsak eğer farklı sıcaklığa sahip çok çeşitli jeotermal kaynaklar bulunduğunu söyleyebiliriz. Türkiye’deki jeotermal kaynakların yüzde 90’ı düşük ve orta derecededir ısınma gibi doğrudan uygulamalarda yer almaktadır. Geri kalan yüzde 10 ise elektrik üretimi gibi dolaylı uygulamalarda kullanılmaktadır (T.C. Enerji ve Tabii Kaynaklar Bakanlığı, 2020c).

Biyokütle enerjisine baktığımızda ise Türkiye sahip olduğu organik atık oranının devasa boyutları neticesiyle bu enerji türünde de büyük bir kapasiteye sahip olmaktadır. Türkiye’de biyokütle atık kapasitesi yaklaşık olarak 8.6 milyon ton eşdeğer petrol (MTEP) olduğu ve biyogaz kapasitesinin ise 1.5-2 MTEP olduğu düşünülmektedir. Bu tür atıkların enerjiye dönüştürülmesi sürecinin çevre kirliliğini önleme anlamında çok önemli olduğunu ve Türkiye’nin enerjide dışa bağımlılığını azaltma konusunda büyük bir role sahip olduğunu söyleyebiliriz (Şenol vd., 2017, s. 89).

Türkiye’ye bakıldığında hala fosil yakıtlara olan bağımlılığının fazla olduğu gözlemlenmektedir. Ama jeopolitik açıdan Türkiye’nin dünya hidrokarbon transferlerinin gerçekleştirildiği Doğu-Batı ve Kuzey-Güney yönünde geçiş noktaları üzerinde bulunması Türkiye’nin olmadığı bir enerji oyununda küresel çapta başarılı olunamayacağını kanıttır. Ama bu jeopolitik konumun iyi yönleri olduğu gibi birçok kötü getiriyi de yanında bulundurmaktadır. Bunlardan ilki ise dünya üzerindeki birçok savaş noktalarına komşu olmasıdır. Bu açıdan yaşana birçok sorun dahilinde yenilenebilir enerji kaynaklarından hidroelektrik enerjisi üretimi dışında verimli gittiği söylenemeyecektir.

Şekil-3: Türkiye’nin Toplam Kurulu Gücü (2019)



(TSKB, 2019)

Şekil 3 'te de gösterildiği gibi Hidroelektrik santrallerinin toplam kurulu gücü %32 gibi büyük bir rakamdır. Yenilenebilir enerji santrallerinin toplam kurulu güç içindeki payının artmasının birincil nedeni ise son yıllarda kurulmuş olan rüzgar ve lisansız güneş enerjisi santrallerinden kaynaklanmaktadır.

Tablo-5: Türkiye Toplam Kurulu Gücü ve Yenilenebilir Enerji Kaynaklarının Payı (2019)

Türkiye Toplam Kurulu Gücü	Yenilenebilir Enerji(TKG)	Yerli Kaynakların Payı	Yenilenebilir Enerji Payı
91.267 MW	43.163 MW	%61	%48

(TSKB, 2019)

Tablo 5'e göre 2019 yılı Nisan ayında TSKB' nin açıkladığı verilere göre Türkiye'nin toplam kurulu gücü 91.267 MW' dir. Bu rakamın %48'i yenilenebilir enerji kaynaklarından oluşurken %61'i ise yerli kaynaklardan oluşmaktadır. Türkiye'nin toplam kurulu gücü 91.267 MW iken bu oranının 43.163 MW'sini yenilenebilir enerji kaynakları oluşturmaktadır.

10.TÜRKİYE'DE YENİLENEBİLİR ENERJİNİN GELECEĞİNE DAİR DEĞERLENDİRMELER

2020'ye girdiğimiz bu günlerde hala 2019 yılının muhasebesi incelenirken bir yandan da gelecek yıllar için enerji alanında uygulanması planlanan projelerde hızla oluşturulmaktadır. Bu açıdan 2019 performans gösterileri ile 2020 hedefleri arasında bir karşılaştırma yapmamız gerekmektedir.

Tablo-6: Seçili Göstergelerde 2019 Sonu Performansı ve 2020 Hedefleri

Gösterge	Birim	2019	2020
Birincil Enerji Talebi	BTEP	152.250	157.170
Elektrik Talebi	WMh	315.2 milyon	329.6 milyon
Yenilenebilir Enerji Kaynaklarının	%	33.0	36.4
Elektrik Üretimindeki Payı			
Kurulu Güç	MW	91.267	96.700

(ETKB, 2019)

(Not: BTEP: Bin Ton Eşdeğer Petrol, MWh: Megawatt saat, MW: Megawatt)

Tablo-6'da 2019 yılının son zamanları ile birlikte elektrik enerjisine karşı olan talebin yaklaşık olarak 315 milyon MWh olduğu görülmektedir. Bu bilgiye ek olarak Türkiye'nin her yıl %5 oranında artış gösteren elektrik enerjisi talebinin 2020 yılında' da bu devamlılığı sürdürerek 330 milyon MWH seviyesinde olacağı düşünülmektedir. Oluşan bu talebin büyük bir kısmı ise yenilenebilir enerji kaynakları ile karşılanacaktır. Bu bağlamda 2020 yılında kurulu gücün 96.700 MW seviyelerine ulaşması ve ortaya çıkan bu artışın büyük bölümünü ise yenilenebilir enerji kaynaklara dayalı santraller ile olması amaçlanmaktadır.

Türkiye'de yenilenebilir enerji sürecinde, özellikle son yıllarda çıkarılan kanun ve yasalara göre dönüşümlü enerji alanında geç kalınan noktalar üzerine önemli adımlar atılmıştır. Türkiye'nin yüksek bir potansiyele sahip olduğu güneş enerjisinin kullanımının artırılmasına dair gerekli düzenlemeler yapılarak önümüzdeki yıllarda büyük bir artış yaşanacağı öngörülmektedir. Türkiye aynı zamanda coğrafi konumu sayesinde rüzgar enerjisi alanında büyük bir yatırım merkezidir ama mevcut kapasitenin oldukça az miktarı tüketilmektedir. Bu konu ile ilgili kullanımı arttırmak amacıyla devletin desteğinin artarak devam edeceği yeni hedefler içerisinde yer almaktadır.

11.SONUÇ

Enerjiye duyulan ihtiyacın gitgide artması, fosil yakıtların miktarlarının sınırlı seviyede olması ve tükenibilme ihtimali yeni ve sürdürülebilir enerji kaynaklarının zorunluluğunu ortaya çıkarmıştır. Yenilenebilir kaynaklar ile doğaya zarar vermeden enerjiye duyulan ihtiyacın teminini sürdürebilmek çok önemlidir. Teknoloji gün geçtikçe gelişmeye devam etmekle birlikte doğal kaynakların sayısında da bir azalma meydana getirmektedir. Bu kaynakların korunması ve yerine ikamelerinin oluşturulması yönünde yatırımların artırılması artık zorunlu hale gelmiştir. Gelişimini sürdüremeyen az gelişmiş ülkelerdeki yoksul insanları ise tükenen kaynaklar çok daha fazla zorlamaktadır. Kalkınmakta olan ülkelerdeki oluşan nüfus artışı nedeni ile enerjiye olan bağımlılıklarında da bir artış yaşanmıştır. Bu nedenle enerjiye olan ihtiyaca cevaben yenilenebilir enerji kaynakları ikame etmektedir.

Yenilenebilir enerji kaynakları, çevresel etkiler ve sürdürülebilir kalkınma açısından incelendiğinde bu değişkenler arasında güçlü bir ilişkinin olduğu gözlemlenmektedir. Sürdürülebilir kalkınmanın sağlanabilmesi için öncelikle yenilenebilir enerji kaynaklarının kullanımının artırılması, çevreye verilen zararın en aza

indirilmesi veya yok edilmesi ve eldeki enerji kaynaklarının verimli bir şekilde kullanılması gerekmektedir. Enerjinin arz ve talep esnasında ortaya çıkardığı çevresel problemleri minimuma indirgeyen ve kaynakların ekonomik ve sürdürülebilir bir şekilde optimum'da planlanmalıdır.

KAYNAKLAR

- Adaçay, F. R. (2014). Türkiye için enerji ve kalkınmada perspektifler. *Aksaray Üniversitesi İktisadi ve İdari Bilimler Fakültesi Dergisi*, 6(2), 88.
- Akay, Ç., Abdiyeva, R., & Oskonbaeva, Z. (2015). Yenilenebilir enerji tüketimi, iktisadi büyüme ve karbondioksit emisyonu arasındaki nedensellik ilişkisi: Orta doğu ve Kuzey Afrika ülkeleri örneği. *International Conference on Eurasian Economies*, 2015,
- Apergis, N., & Payne, J. (2010). Renewable energy consumption and economic growth: evidence from a panel of OECD countries. *energy policy*, 38(1), 656-660.
- Altuntaşoğlu, Z. (2003). Sürdürülebilir kalkınma ve yenilenebilir enerji. (Bildiri). *Dokuzuncu Türkiye Ulusal Enerji Kongresi*, İstanbul.
- Bakırtaş, İ., & Çetin, M. (2016). Yenilenebilir enerji tüketimi ile ekonomik büyüme arasındaki ilişki: G20 ülkeleri. *Sosyoekonomi*, 24(28), 131-145.
- Büyükyılmaz, A. & Mert, M. (2015). CO2 emisyonu, yenilenebilir enerji tüketimi ve ekonomik büyüme arasındaki ilişkinin MSVAR yaklaşımı ile modellenmesi: Türkiye örneği. *Journal of World of Turks*, 7(3), 103-118.
- Bhattacharya, M., Paramati, R., Öztürk, İ., & Bhattacharya, S. (2016). The effect of renewable energy consumption on economic growth: evidence from top 38 countries. *Applied Energy*, 162, 733-741.
- Çevre ve Orman Bakanlığı. (2019). *AB Entegre Çevre Uyum Stratejisi (UÇES)*. Ankara: UÇES.
- Çevre ve Orman Bakanlığı. (2006). *AB Entegre Çevre Uyum Stratejisi (UÇES)*. Ankara: UÇES.
- Çevre ve Orman Bakanlığı. (2006). *AB Entegre Çevre Uyum Stratejisi (2007-2023)*, 2006.
- Çepik, B. (2015). *Sürdürülebilir Kalkınma Çerçevesinde Türkiye’de Yenilenebilir Enerji Politikaları*. Doktora Tezi, Maltepe Üniversitesi Sosyal Bilimler Enstitüsü, İstanbul.
- Diñç, G. (2008). Avrupa insan hakları sözleşmesi’ ne göre çevre ve insan. (1. Baskı). Ankara: Şen Matbaa.
- Egeli, G. (1996). Avrupa birliği ve Türkiye’de çevre sorunları.(Bildiri). *TÇV Yayınları*, Ankara.
- Erten, S. (2006). Çevre eğitimi ve çevre bilinci nedir, çevre eğitimi nasıl olmalıdır?. *Çevre ve İnsan Dergisi*, 65, 28.
- Güneş, M. (2000). *Türkiye’nin Enerji Sorunu İçin Alternatif Çözüm Önerileri Ve Rüzgar Enerjisinin Önemi*. Yüksek Lisans Tezi, Adnan Menderes Üniversitesi Sosyal Bilimler Enstitüsü, Aydın.
- Güçüyeter, İ. (2015). *Enerji Piyasasının Mevcut Görünümü ve Yenilenebilir Enerji Şirketlerinin Mali Performansları Açısından Karşılaştırılması: Türkiye Uygulaması*. Yüksek Lisans Tezi, Erzincan Üniversitesi Sosyal Bilimler Enstitüsü, Kayseri.
- Konyalı, İ. (2019). *Türkiye İçin Mevcut Enerji Üretimine alternatif Yenilenebilir ve Sürdürülebilir Enerji Kaynaklarının Seçimi*. Yüksek Lisans Tezi, Hacettepe Üniversitesi Sosyal Bilimler Enstitüsü, Ankara.
- Kavaz, İ. (2019). Türkiye’ nin enerjide gelecek vizyonu. *Seta-Perspektif*, (252), 1.
- Kulözü, N. (2005). Yenilenebilir enerji politikaları: Fransa örneği. (Bildiri). *III. Yenilenebilir Enerji Kaynakları Sempozyumu Bildirileri*, Mersin.
- Özyol, A. (Mayıs 2009). Sürdürülebilir Kalkınma, <https://www.orsam.org.tr/>, Erişim Tarihi: 06.06.2020.
- Özşahin, Ş., Mucuk, M., & Gerçeker, M. (2016). Yenilenebilir enerji ve ekonomik büyüme arasındaki ilişki: BRICS-T ülkeleri üzerine panel ARDL analizi. *Siyaset, Ekonomi ve Yönetim Araştırmaları Dergisi*, 4(4), 111-130.
- Seydioğulları, H. S.(2013). Sürdürülebilir kalkınma için yenilenebilir enerji. *TMMOB Şehir Plancıları Odası*, 23(1), 21.
- Selici, T., Utlu, Z., & İlten, N. (2006). Enerji kullanımının çevresel etkileri ve sürdürülebilir gelişme açısından değerlendirilmesi. (Bildiri). *III. Yenilenebilir Enerji Kaynakları Sempozyumu*, Mersin.
- Şenol, H., Elibol, A., Emre, A. Ü., & Şenol, M. (2017). Türkiye’de biyogaz üretimi için başlıca biyokütle kaynakları. *Bitlis Eren Üniversitesi Fen Bilimleri Dergisi*, 6(2), 89.
- Tıraş, H.(2011). Sürdürülebilir kalkınma ve çevre: teorik bir inceleme. (Bildiri). *Erciyes Üniversitesi Sosyal Bilimler Enstitüsü*, Kayseri.
- T.C. Enerji ve Tabii Kaynaklar Bakanlığı. (2014). Enerji ve Tabii Kaynaklar Bakanlığı 2014 Yılı Sayıştay Denetim Raporu, 2014.
- T.C.Enerji ve Tabii Kaynaklar Bakanlığı. (2009). 2010-2014 Stratejik Planı Raporu, 2009.
- T.C. Kalkınma Bakanlığı. (2012). Türkiye’de Sürdürülebilir Kalkınmanın Mevcut Durumu, 2012.
- T.C.Enerji ve Tabii Kaynaklar Bakanlığı. (2019). Yenilenebilir Enerji Kaynaklarının Gelecek Tahminleri. <https://www.enerji.gov.tr/tr-TR/Anasayfa>, Erişim Tarihi:06.06.2020.
- Türkiye Sınai Kalkınma Bankası (2019). *Elektrik ve Yenilenebilir Enerji*. http://www.tskb.com.tr/i/assets/document/pdf/elektrik-ye-tr_web.pdf, Erişim Tarihi: 16.06.2020.
- Türkiye Elektrik İletim A.Ş. (2019). *Türkiye’nin Kurulu Güç Miktarı*. Ankara: TEİAŞ.

- T.C. Enerji ve Tabii Kaynaklar Bakanlığı (2020a). *Petrol*. Erişim. <https://www.enerji.gov.tr/tr-TR/Sayfalar/Petrol>, Erişim Tarihi: 12.12.2019.
- T.C. Enerji ve Tabii Kaynaklar Bakanlığı (2020c). *Güneş*. Erişim. <https://www.enerji.gov.tr/tr-TR/Sayfalar/Gunes>, Erişim Tarihi: 12.12.2019.
- Usta, C., & Berber, M. (2017). Türkiye’de enerji tüketimi ekonomik büyüme ilişkisinin sektörel analizi. *Ekonomik ve Sosyal Araştırmalar Dergisi*, 13(1), 173-187.

Banka Kredilerinin Ekonomik Büyüme Üzerine Etkisi: Türkiye Örneği

Fatma AKACAN ¹

Doç. Dr. Erdal ARSLAN ²

¹Selçuk Üniversitesi, İktisadi ve İdari Bilimler Fakültesi, İktisat Ana Bilim Dalı, İktisat Tarihi,
fatmaakacan45@gmail.com, ORCID: 0000-0002-2922-6121

²Selçuk Üniversitesi, İktisadi ve İdari Bilimler Fakültesi, İktisat Ana Bilim Dalı, İktisat Tarihi,
erdalarlan@selcuk.edu.tr, ORCID: 0000-0003-4892-2963

Özet: Finansal gelişmeler ekonomik büyüme kavramını önemli derecede etkilemekte ve mali sistem içerisinde yer alan finansman kurumları ekonomik büyümenin gerçekleştirilmesi için önemli roller üstlenmektedir. Mali piyasalarda yer alan bankaların ekonomide çok farklı rolleri bulunmaktadır. Bunlar; finansal piyasalar ile reel piyasalar arasında etkileşimi sağlamak, bireylerin ve kurumların fon gereksinimlerine destek olmak ve oluşturulan fon desteği ile efektif talebin meydana gelmesini dolayısı ile iktisadi kalkınmayı da sağlamaktadır. En önemlisi ise, kurumlara ve bireylere sağlamış olduğu finansmanlar sayesinde ekonomik büyümeyi canlandırmasıdır.

Finansal gelişme ve ekonomik büyüme kavramları arasında birçok çalışma yapılmıştır. Yapılan çalışmaların çoğunda finansal gelişme aracı olarak banka kredileri esas alınmıştır. Çalışmalar neticesinde farklı sonuçlara ulaşılmış, bazı çalışmalar banka kredileri ile ekonomik büyüme arasında çift yönlü ilişkinin kuvvetli olduğunu ortaya atarken diğer çalışmalar ise ilişkinin zayıf olduğunu ispat etmiştir. Bu çalışmada Türkiye ekonomisinde 2012 ve 2019 yılları arasında bankalar aracılığıyla verilen banka kredilerinin gelişimi ve banka kredi kavramıyla ekonomik büyüme kavramı arasındaki ilişki ele alınmıştır.

Çalışmada öncelikli olarak Türkiye’de yıllara göre üçer aylık veriler kullanılarak banka kredi hacminin gayri safi yurtiçi hasılaya etkileri incelenmiş ve bu verilerden yola çıkılarak yıllara göre karşılaştırılmaya çalışılmıştır. Çalışmanın analiz kısmında, bankacılık sektörüne ait toplam kredi hacminin ekonomik büyüme üzerindeki etkileri Johansen Eşbütünleşme Testi, Vektör Hata Düzeltme Modeli ve Etki-Tepki fonksiyonları aracılığıyla açıklanmıştır. Analiz sonuçları değerlendirildiğinde ise, banka kredileri ile ekonomik büyüme arasında kısa ve uzun dönemde eş bütünleşme ilişkisinin olduğu sonucuna varılmıştır.

Anahtar Kelimeler: Ekonomik Büyüme, Kredi, Cari Açık, Enflasyon, Faiz Oranı

Abstract: Financial developments significantly affect the concept of economic growth, and financial institutions within the financial system play important role in achieving economic growth. Banks in financial markets have very different roles in the economy. These; It also ensures economic development by ensuring interaction between financial markets and real markets, supporting the fund needs of individuals and institutions, and realizing effective demand with the fund support created. Most importantly, it stimulates economic growth thanks to the financing it provides to institutions and individuals.

Many studies have been conducted between the concepts of financial development and economic growth. Bank loans are used as a financial development tool in most of the studies. As a result of the studies, different results have been reached, while some studies have revealed that the bilateral relationship between bank loans and economic growth is strong, other studies have proven that the relationship is weak. This study focused on the relationship between the development of the bank loans through banks between 2012 and 2019 in Turkey's economy and bank lending with the concept of the concept of economic growth.

The study primarily examined the effects of three bank loan volume using monthly data on gross domestic product in Turkey and has tried over the years compared to the years starting from this data. In the analysis part of the study, the effects of the total credit volume of the banking sector on the economic growth are explained through the Johansen Cointegration Test, Vector Error Correction Model and Impact-Response functions. When the analysis results are evaluated, it is concluded that there is a cointegration relationship between bank loans and economic growth in the short and long run.

Key Words: Economic Growth, Credit, Current Account Deficit, Inflation, Interest Rate

1. GİRİŞ

Kalkınmakta olan ülkeler için ekonomik büyümenin gerçekleştirilmesi son derece önem taşımaktadır. Son yıllarda yaşanan teknolojik gelişmeler sonucu iletişim ağlarının piyasalar bakımından sınırsız hale getirilmesi, bankacılık sektöründe yaşanan pek çok gelişme fonların ve tasarrufların hayat geçirilmesi süresince etkili rol oynamaktadır. Özellikle bankacılık sektöründe yer alan bankaların kredi kanalları vasıtasıyla pek çok tasarruf

yatırıma dönüştürülmektedir. Bu bakımdan bankacılık sektöründe kredi kanalı fon akışını sağlamak amacıyla etkin bir şekilde kullanılmalıdır.

Kredi kanalı parasal aktarım mekanizmasının dört önemli kanalından birini oluşturmaktadır. Bu kanallar faiz oranı kanalı, döviz kuru kanalı, varlık fiyatları kanalı ve kredi kanalı olarak 4 kanala ayrılmış vaziyettedir. Bu dört kanal finansal yapının gelişmişlik düzeyi ile çok yakından bağlantılı şekilde ortaya çıkmaktadır. Kredi kanalının etkin ve verimli şekilde çalışması finansal sistemin gelişmişlik düzeyini de ortaya koymaktadır. Kredi kanalı aktif bir şekilde doğru kanallara fon akışını sağladığı müddetçe piyasa kredilerde artış yaşanmakta ve dolayısıyla reel ekonomi olumlu açıdan etkilenmektedir. Finansal yapının gelişmişlik seviyesinin yüksek olması, güvenli olarak fon akışının sağlanabilmesi, finansal araçların sayesinde tasarrufların yatırımlara dönüşmesi gibi gelişmeler bankalar aracılığıyla sunulan krediler sayesinde yaşanmaktadır.

Bu çalışmada Türkiye’de banka kredileri ile ekonomik büyüme arasındaki uzun ve kısa dönemli ilişkinin yönleri belirlenmeye çalışılmıştır. Banka kredileri ile ekonomik büyüme arasındaki ilişkinin yönünün belirlenebilmesi için, banka kredi kavramı, ekonomik büyüme kavramı geniş anlamda ele alınmıştır. Daha sonra ise, parasal aktarım mekanizması kanalları, kredi kanalının işleyişi ve işleyişi için gerekli koşullarından bahsedilmiştir. İlişkinin yönünün belirlenebilmesi adına istatikselsel analizler yapılmıştır. Analiz için kullanılan veriler, TCMB Elektronik Veri Tabanından elde edilmiştir. 2012Q3-2019Q3 arası üçer aylık veri seti analiz için kullanılmıştır. İstatikselsel yöntemlerle kullanılan “gayri safi yurt içi hâsıla” değişkeni ekonomik büyümeyi, “banka kredileri” değişkeni toplam reel kredi hacmini ve “faiz” değişkeni ise reel faiz oranını temsil etmektedir.

2. EKONOMİK BÜYÜME KAVRAMI VE KREDİNİN TANIMI

2.1. Ekonomik Büyüme

Ekonomik büyüme genel tanım itibariyle, üretilen mal ve hizmetlerin parasal değerlerinde bir önceki döneme göre artış göstermesini ifade etmektedir. Gayri safi yurt içi hâsıla, ulusal sınırlar içerisinde belli bir ülkenin belli bir döneminde üretmiş olduğu tüm nihai mal ve hizmetlerin piyasa fiyatları üzerinden elde edilen toplam değerine denilmektedir (Mucuk, 2017: 3). Ekonomide emek, sermaye, toprak ve girişim kabiliyetlerinin hepsinin tam kapasite kullanılması halinde elde edilen hasılaya potansiyel GSYİH denilmektedir. Uzun vadede gerçekleşen büyümeler potansiyel GSYİH ile ölçülmektedir (Parasız, 2003: 10). Gayri safi yurt içi hasılanın hesaplanmasında üretim, gelir ve harcama yöntemi olmak üzere 3 adet farklı yöntem kullanılmaktadır (Mucuk, 2017: 3).

GSYİH rakamları, bir ekonominin büyüklüğü hakkında önemli bilgiler vermektedir. GSYİH oranları ülke ekonomisine ışık tutmakta fakat bazı durumlar söz konusu olduğunda ekonomik büyümenin ölçülmesinde sıkıntılar yaşanabilmektedir. Ekonomik verilerin ölçülmesinde karşımıza çıkan engeller aşağıda maddeler halinde verilmektedir:

- Kayıt dışı yollarla elde edilen ekonomik faaliyetler ve kazançlar,
- Piyasa dışı gerçekleşen ekonomik faaliyetler,
- Üretim sonucunda oluşan negatif dışsallıklar,
- Yeni ürünlerin vermiş olduğu yaşam kalitesindeki değişiklikler,
- Boş zaman (Mucuk, 2017: 4).

Her ülkenin ekonomik, sosyal, kültürel ve siyasi yapıları birbirinden farklılık göstermektedir. Ülkelerin farklı ekonomik yapıları sahip olması sonucunda her ülkenin ekonomik faktör belirleyicisi benzer olmamaktadır. Bu nedenle iktisatçıların ülkeler için ortak belirlemiş olduğu dört adet ekonomik belirleyici bulunmaktadır. Bu faktörler; emek, sermaye, doğal kaynaklar ve teknolojik gelişmeden oluşmaktadır.

2.2. Kredinin Tanımı

Literatürde çok farklı anlamlarda kullanılan ve tarif edilen kredi kavramı, genel ifade ile ödünç alınmış veya verilmiş para olarak tanımlanmaktadır. Bir diğer açıklayıcı tanım ise, bir bireye ödünç para verilmesi, mal veya

hizmete kefalet ya da garanti edilmesi sonucunda daha sonra geri alınmak şartıyla malın, paranın ve hizmetin satılması işlemidir (Demir, 2015: 40). Kredilerin 4 adet temel unsuru bulunmaktadır. Bunlar; zaman, güven, risk ve gelir unsurudur.

Birinci unsur olan zaman, bankalar aracılığı ile müşterilere açılan kredilerin sınırı belli olan bir zaman dilimi içerisinde geri ödenmesi anlamına taşımaktadır. Kredinin kredi olarak değerlendirilebilmesi için zaman faktörünün bulunması gerekmektedir. Zaman unsurunun yer almadığı bankacılık işlemleri kredi olarak değerlendirilmemektedir. İkinci unsur olan güven unsuru, krediyi temin eden banka ile krediyi alan kişi ve kurumlar arasında sözleşme esnasında oluşması gereken unsurdur. Üçüncü unsur, risk unsurudur. Bankacılık sektöründe risk faktörü krediyi alan karşı tarafın krediyi istenilen zamanda ve miktarda geri ödememesidir. Dördüncü unsur ise, gelir unsurudur. Gelir unsuru, bankaların bankacılık sektöründe yapmış oldukları işlemlerden farklı gelir türleri elde etmektedirler. Gelir unsuru, bankacılık sektörünün toplam geliri içerisinde en önemli kısmını oluşturmaktadır (Aktaran: Özgür, 2019: 8).

Kredilerin temel olarak 3 adet işlevi bulunmaktadır. Bunlar; kaldıraç etkisi, tüketim etkisi ve ekonomik etkisidir. Kredinin temel işlevleri aşağıda maddeler halinde açıklanmaktadır.

- **Kredilerin Kaldıraç Etkisi:** Firmalar karlılıklarını artırmak ve büyüme yönünde faaliyet göstermek gibi amaçlarını gerçekleştirmek için yeterli miktarda sermayeye sahip olmayabilirler. Bu nedenle yatırımcılar finansman ihtiyaçlarını karşılamak amacıyla bankalardan kredi talebinde bulunurlar. Firmaların bankalardan sağlamış oldukları fonların büyüklüğüne finansal kaldıraç denmektedir (Kuzu, 2018: 7).
- **Kredinin Tüketim İşlevi:** Ekonominin durgun olduğu dönemlerde bankalar tarafından sunulan kredi imkânları ile piyasada mal ve hizmet alımlarında hızlanma olmaktadır. Bu durumda bankalar toplamış oldukları tasarruf fazlalıklarını kredi kanalı yoluyla piyasaya sunmakta ve piyasaya sunulan krediler sonucunda olumsuz ekonomik koşullara karşı korunabilmektedirler(Kuzu, 2018: 7).
- **Kredinin Ekonomik Etkisi:** Bankaların sağlamış olduğu fonlar ekonomide mali aracılık fonksiyonlarını yerine getirmektedir. Bankalar mali aracılık fonksiyonlarını yerine getirirken piyasanın genişlemesine, piyasaların hareketlenmesine, milli gelir seviyesinin yükselmesine ve istihdam oranlarının artmasına destek olmaktadır (Kuzu, 2018: 8).

3. PARASAL AKTARIM MEKANİZMASI VE KREDİ KANALININ İŞYEİŞİ

3.1. Parasal Aktarım Mekanizması

Parasal aktarım mekanizması, para otoritelerinin uyguladığı para politikalarının makroekonomik değişkenler üzerindeki etkisini gösteren mekanizma olarak ifade edilmektedir. Merkez bankalarının etkin para politikası araçlarını doğru kullanabilmeleri, doğru değerlendirmeleri sebebiyle para politikası uygulamalarının makro değişkenler üzerindeki etkilerinin hangi kanallar aracılığıyla gerçekleştiğini tespit etmek önemlidir(İnan, 2001: 4). Merkez bankaları 1980'li yıllardan beri ekonomide uygulanan para politikalarının ekonomiyi nasıl etkilediğini anlamak ve kamuoyu ile bu etkiyi paylaşmak için parasal aktarım mekanizmasını kullanmaktadır (TCMB, 2013: 2).

Parasal aktarım mekanizması, reel sektör ile finans sektörü arasındaki bağlantıyı kuran en önemli mekanizmadır. Parasal aktarım mekanizması, bireylerin ve kurumların aktiflerinde önemli rol oynamaktadır. Ekonomide para arzı arttığında emisyon hacmi artarak özel sektörün elinde bulundurduğu para miktarı da artmaktadır. Özel sektördeki para artışı ile tahvil alımları da artarak faizlerde düşüş yaşanmaktadır. Düşen faiz oranları yatırımların olumlu etkilenmesini sağlayarak yatırımların artmasına ve tüketim harcamalarının yükselmesine neden olmaktadır. Ekonomide yaşanan parasal şoklar bireylerin ve kurumların servetlerinin artmasına, harcamaların yükselerek dolaylı yoldan ülke gelirinin yükselmesine sebep olmaktadır. Böylece parasal aktarım mekanizması aracılığıyla uygulanan para politikaları ekonomik yapı üzerinde etkili olabilmektedir (TCMB, 2013: 2).

3.1.1. Parasal Aktarım Mekanizması Kanalları

Faiz Kanalı: Parasal aktarım mekanizmalarında en sık kullanılan faiz kanalı, geleneksel Keynesyen standart aktarım kanalı olarak da adlandırılmaktadır (Mishkin, 1995: 651). Faiz kanalının işleyişi şu şekilde olmaktadır. Merkez bankası devlet tahvili alım satımı yaparak para arzını değiştirmektedir ve faiz oranları üzerinde etkileşime neden olmaktadır. Dolaylı olarak para arzında ve faiz oranlarında yaşanan değişiklikler toplam talebin de değişmesine neden olmaktadır (Yiğitbaş, 2014: 72).

Beklentiler Kanalı: Parasal aktarım mekanizmasına ait beklentiler kanalı, ekonomideki karar alıcıların gelecek yıllara ait enflasyon öngörülerini ilk başta olmak üzere, ekonomik ortamda gerçekleşmesini umdukları yenilikler vasıtasıyla faaliyet gösteren kanal olarak tanımlanmaktadır (TCMB, 2013: 6). Ekonomik beklentiler, geçmiş dönemlere ait makroekonomik büyüklüklere ve ekonominin sahip olduğu yapıya göre belirlenmektedir (Cengiz, 2009: 237).

Döviz kuru kanalı: Döviz kuru kanalı, yerel paralar ile yabancı paralar arasında yaşanan reel değişimlerin meydana getirmiş olduğu dış ticaret hareketleri aracılığıyla çalışan aktarım kanalı olarak tanımlanmaktadır (İnan, 2001: 4). Faiz oranlarına bağlı olarak çalışan döviz kuru kanalı, net ihracatta ve milli gelirden değişimlere neden olmaktadır (Örnek, 2009: 107).

Kredi Kanalı: Para politikaları ekonomide dalgalanmaları ve ekonomik istikrarı etkileyecek güce sahiptirler. Para politikalarının ekonomide hangi kanalları nasıl etkilediği önem arz etmektedir. Bu bakımdan para politikalarının işleyişi için kredi kanalının işleyişini de iyi anlamak gerekmektedir. (Yükseltürk, 2010: 2). Kredi kanalının işleyişi 2 yoldan olmaktadır. Birincisi banka kredi kanalı, ikincisi ise bilanço kanalıdır (Yiğitbaş, 2014: 72). Banka kredi kanalı şu şekilde işlem görmektedir. İlk olarak banka kredilerinin piyasada kullanılması ekonomide genişletici bir etki yaratarak bankaların rezervlerinin artmasına neden olmaktadır. Ve böylece bankaların vermiş oldukları banka kredilerinde de artış gözlenmektedir. Banka kredisine başvuran bireyler ve kurumların kredilerdeki artıştan yararlanmaları yatırım harcamalarının artmasına bağlı olarak ülke hâsıla düzeyinin de artmasına katkıda bulunmaktadır (İnan, 2001: 4).

Banka kredi kanalının en iyi ve bağımsız bir şekilde işleyebilmesi için 3 ana koşulu sağlanması gerekmektedir. Bu 3 koşul aşağıda maddeler halinde verilmektedir (İşcan, 2003: 21-22) ;

- Halka arz edilen tahviller ile firma bilançolarının yükümlülük tarafında yer alan banka kredileri tam ikame olmamalıdır. Ancak böyle bir varsayım altında firmaların kredi arzlarında meydana gelen düşmeyi doğrudan hane halklarından telafi edememektedir.
- Bankacılık sektöründeki rezerv miktarlarının Merkez Bankası tarafından değiştirilmesiyle, kredi miktarları da değişmektedir.
- Fiyat uyarlaması, para politikasının “nötr” olmasını engelleyecek şekilde tam olmamalıdır.

Banka kredi kanalının etkin çalışması için gerekli iki koşul bulunmaktadır. Bu iki koşul, banka kredileri ile menkul değerler arasında tam ikame olma özelliğinin bulunmaması, diğeri ise, banka dışı kaynaklar ile banka kredileri arasında tam ikame edilebilir özelliğinin bulunmaması gerekmektedir (Kashyap, 1993: 82-96).

Banka kredi kanalının etkin çalışmasına engel olan faktörler aşağıda yer almaktadır;

- Kamu bankalarının mevcudiyeti,
- Kamu kesimi finansman açığının varlığı,
- Finansal sistemin büyüklüğü ve kaynakların dağılımı,
- Bankacılık sisteminde yoğunlaşma
- Bankacılık sektöründe yaygın olarak ortaya çıkan holding bankacılığı ve grup kredileşme yapısı,
- Risk tabanlı sermaye yeterliliği rasyosu (Şahin, 2011: 37).

4. TÜRKİYE’DE BANKA KREDİLERİNİN MAKROEKONOMİK DEĞİŞKENLER ÜZERİNDEKİ ROLÜ

Banka kredilerinin makroekonomik değişkenler üzerinde etkisi konusunda ekonomistler arasında farklı sonuçlara ulaşılmıştır. Ekonomistler arasında farklı fikirler ortaya çıkmasına rağmen banka kredilerinin tasarrufların kredi kanalı aracılığıyla piyasaya aktarıldığı ve dolaylı olarak birçok değişken üzerinde de etkileşimi olduğu göz ardı edilememektedir. Banka kredilerinin enflasyon, büyüme, cari açık, yatırım ve istihdam gibi makroekonomik değişkenler üzerindeki rolleri hakkında kısa açıklamalarda bulunulacaktır.

4.1. Kredilerin Enflasyona Etkisi

Ekonomide öneme sahip olan finansal araçlar ve varlıklar paranın değerinde dalgalanmalara neden olarak piyasalarda satın alma gücüne etki etmektedirler. Kredi piyasalarındaki aktörlerde meydana gelen değişimler piyasanın değişmesine neden olmaktadır. Finansal piyasalarda aracılık faaliyetlerini yürüten bankalar, piyasada oluşacak fiyat değişimlerinden etkilenmektedirler (Okay, 2002: 101).

Piyasada birçok firma finansal ihtiyaçlarının karşılanması amacıyla finansal kurumlar olan bankalardan kredi talebinde bulunmaktadırlar. Firmalar kredilerin geri ödenme vakti gelince, kredi talebinde bulunduğu esnada belirlenmiş olan faiz oranı üzerinden geri ödeme yükümlülüğüne girmektedir. Eğer bu durumda piyasada enflasyon oranları yüksek oranlarda seyrederse bundan faiz oranları da etkilenerek yükselişe geçmektedir. Bu durum ise, faiz oranlarındaki yükselişin borçlanma maliyetinde artışa neden olmaktadır. Enflasyon, piyasaya sunulan banka kredilerinde azalmaya neden olmakta ve bankacılık sektörünün verimini kısmaktadır. Sonuç olarak, piyasada canlanmanın önüne geçen enflasyon ekonomik büyümenin de gerçekleştirilmesinde engel teşkil etmektedir (Bilgin ve Kartal, 2009: 67).

4.2. Kredilerin Yatırım ve İstihdam Üzerine Etkisi

Bankacılık sektöründeki kredi hacmi arttığında ekonomide mali piyasanın genişlemesine ve böylece istihdam, milli gelir oranlarında artış yaşanmasına katkı sağlamaktadır. Finansal yapının gelişmiş yapıyla, güvenli fon akışının reel kesim ile buluşturulması yeni yatırımların artmasına ve istihdamın olumlu etkilenmesine sebep olmaktadır (Ceylan ve Durkaya, 2010: 21). Finansal sistemin etkin çalışması sonucu kredi miktarında meydana gelen artışla reel kesime ulaştırılan fon sayesinde yeni istihdam ve yatırım imkânları sağlanmış olacaktır (Bekiroğlu, 2010: 150).

4.3. Kredilerin Cari Açık Üzerindeki Etkisi

Kredi genişlemesi ekonomik aktörlerin ek bir gelir elde etmesine, satın alma gücünün artmasına sebep olmaktadır. Bu anlamda satın alma gücü artan girişimciler ve bireyler hem iç talebi hem dış talebi olumlu ve olumsuz şekilde etkileyebilmektedir. Satın alma gücü artan bireyler ve kurumlar tüketimin, yatırım harcamalarının artmasına neden olmaktadırlar (Akçayır ve Albeni, 2016: 560). Örnek olarak, bireysel krediler vasıtasıyla satın alma gücü artan bireyler ekonomide tüketim ürünlerine olan talebi artırarak piyasa fiyatlarında değişikliklere ve enflasyona neden olmaktadır. Yükselen enflasyon oranları sonucunda cari açık sorunu ortaya çıkmaktadır. Bu bakımdan kredilerin artması, ithal mallara olan talebin artmasına yurtiçi talepteki fiyat yükselmelerinden dolayı yurtiçi talebin düşmesine sebep olmaktadır. Sonuç olarak, dış ticaret banka kredilerinde yaşana gelişmelere bağlı olarak farklı döngülere girebilmektedir (Yüksel ve Özseri, 2016: 6).

4.4. Kredilerin Ekonomik Büyüme Üzerindeki Etkisi

Ekonomilerde mali sistem ile gelişmişlik seviyesi arasında paralellik bulunmaktadır. Dünyada birçok gelişmiş ve gelişmekte olan ülke mali sistemleri bakımından karşılaştırıldığında, ülkelerin mali piyasalarındaki derinlik ile gelişmişlik düzeylerinin paralellik gösterdiğine dikkat çekilmiştir. Fakat ekonomistler arasında finansal gelişmeden ekonomik büyümeye doğru mu yoksa ekonomik büyümeden finansal gelişmişlik düzeyine doğru mu etkileşim bulunmaktadır konusunda fikir ayrılıkları yaşamaktadır. Bazı iktisatçılar ekonomik büyümeden finansal gelişmişliğe doğru bir ilişkinin yönü olduğunu savunmuştur. Bazıları ise, finansal gelişmişlik düzeyinden ekonomik büyümeye doğru ilişkinin olduğunu savunmuştur (Güven, 2002: 95).

Bankalar, yerine getirmiş oldukları görevler ve fonksiyonlar sonucunda ülkelerin ekonomik büyümelerini gerçekleştirmesinde önemli rol oynamaktadır. Finansal sistem içerisinde yer alan bankaların ekonomik büyümedeki rolünü vurgulayan çalışmalar arasındaki en önemlisi Joseph Schumpeter'in ortaya koymuş olduğu çalışmadır. Bu çalışmaya göre, banka kredileri toplumsal tasarrufun etkin dağılımında önemli bir paya sahiptir (Tandoğan ve Özyurt, 2013: 53). Türkiye'de bankacılık sektörü finansal piyasaların ve ekonomilerin şekillenmesine, pazar ağlarının genişlemesine, finansal piyasalara yönelik ekonomik politikaların geliştirilmesine katkı sağlamaktadır. Bu bakımdan banka kredileri, ekonomik büyümeyi kısa ve uzun dönemli olarak etkilemektedir (Koç, 2015: 137).

Hem üreticilerin hem de tüketicilerin ekonomik faaliyetlerin devamlılığının sağlanmasında etkili olan banka kredileri, en önemli finansman kaynakları arasında yer almaktadır. Tüketiciler, bankalardan aldığı krediler vasıtasıyla ihtiyaçlarını karşılayarak, piyasada toplam talebin diri tutulmasını sağlamış olacaktır. Üreticiler ise, tüketiciler için gerekli olan mal ve hizmetleri daha iyi sunmak ve talebi karşılamak amacıyla bankaların kredi imkânlarından yararlanarak üretimi desteklemiş olacaktır. Bu durumda hem tüketiciler hem de üreticiler ekonomide canlılığa ortak olarak ekonomik büyümenin gerçekleştirilmesinde katkıda bulunmaktadırlar (Timsina, 2014: 3).

Kredilerin ekonomik büyüme üzerindeki etkileri (İşipek, 2005: 61):

- Ekonomik faaliyetlerin devamlılığını sağlama,
- Tedavül faaliyetlerinin devamlılığını sağlama,
- Milli gelir ve istihdama katkı sağlama,
- Girişimciler ve yatırımcılar için sermaye birikimi sağlama,
- Ekonomide arz ve talep hareketliliğini sağlama.

Bankaların farklı sektörlerde dağıtmış oldukları krediler büyümenin gerçekleştirilmesinde önemli bir araç olarak görülmektedir. Banka kredilerinin ekonomik büyüme üzerindeki etkilerinden kısa bir şekilde bahsetmek gerekirse, işletmeler ve firmalar bankalardan talep ettikleri fonlar aracılığıyla yatırımlarını, harcamalarını yapmaktadırlar. Böylece büyümeyi gerçekleştirmektedirler.

5. TÜRKİYE'DE BANKA KREDİLERİ VE EKONOMİK BÜYÜME ÜZERİNE AMPİRİK BİR ANALİZ

5.1. Banka Kredileri ve Ekonomik Büyüme Arasındaki İlişkiye Dayalı Literatür Taraması

Güven (2002), Türkiye'de kredi kullanımı ve ekonomik büyüme arasındaki ilişkiyi inceleyen ilk çalışmalardan biridir. Güven'in yapmış olduğu bu çalışmada 1988-2001 dönemi için 3'er aylık banka kredilerindeki yüzde değişim ile büyüme değişkeni için GSYİH'daki reel yüzde değişim kullanılmıştır. İki yüzdesel değişim arasındaki ilişki Granger Nedensellik, Varyans Ayrıştırması ve Regresyon Analizi gibi farklı ekonomik yöntemler kullanılmıştır. Çalışma sonucunda kredi ile büyüme oranları arasında Granger Nedensellik ilişkisi bulunmamıştır. Fakat Varyans Ayrıştırması ve Regresyon Analizleri sonucunda krediler ile ekonomik büyüme arasında pozitif yönlü ilişki olduğu ortaya konmuştur.

Ceylan ve Durkaya (2010), bu çalışmada Türkiye'de yurtiçinde olan kredi hacmi ile ekonomik büyüme arasındaki nedensellik ilişkisi test edilmeye çalışılmıştır. Uygulama kullanılan Granger Nedensellik analizi sırasında 1998-2008 dönemlerine ait üçer aylık veriler kullanılmıştır. Çalışmada kullanılan analizler sonucunda, ekonomik büyümeden kredilere doğru tek yönlü bir nedensellik ilişkinin olduğu tespit edilmiştir.

Çeçe (2012), bu çalışma banka kredilerinin direkt olarak ekonomik büyüme üzerine etkileri üzerine yapılmış bir ekonometrik çalışmadır. Çalışmada, 2002:1-2012:1 dönemleri arasındaki GSYİH, banka kredileri ve kredi faiz oranlarına ait üçer aylık verilerle Birim-Kök Testi, VAR Analizi, Vektör Hata Düzeltme Modeli, Eş-Bütünleşme analizi ve Granger Nedensellik testleri kullanılmıştır. Türkiye'de çalışmanın kapsadığı yıllar arasında banka kredilerinden ekonomik büyümeye doğru tek yönlü bir nedensellik ilişkisinin olduğu ispat edilmiştir.

Mercan (2013), bu çalışmada Türkiye'de toplam yurtdışı kredi hacminin iktisadi büyüme üzerine etkileri 1992-2011 dönemlerine ait üçer aylık veriler kullanılarak Sınır testi yaklaşımı ile test edilmiştir. Sınır testi yaklaşımı ile

elde edilen sonuçlara göre, değişkenler arasında eş-bütünleşmenin olduğu sonucuna varılmıştır. Tespitlere göre, uzun dönemde kredi hacminin büyüme üzerine etkisi pozitif ve istatistiki olarak anlamlı bulunmuştur. Değişkenler arasındaki nedensellik testinde, kredi hacmi ile büyüme arasında çift yönlü bir ilişki tespit edilmiştir.

Tiryaki (2014), bu çalışmada Türkiye'nin 1999-2014 dönemine ait bireysel kredi ve diğer kredi göstergelerinin iktisadi büyüme ve cari açık değişkenleri üzerindeki etkileri incelenmiştir. Yapılan analizler sonucunda, bireysel kredilerle GSYİH arasında pozitif bir nedensellik ilişkisine dayandığı tespit edilmiştir. Cari hesap dengesi üzerinde ise negatif bir nedensellik ilişkisi içinde olduğu sonucuna varılmıştır. Türkiye'de cari açık sorunun önüne geçilebilmesi için bireysel nitelikteki ve diğer kredilerde kısıtlamalara gidilmesi gerektiği ifade edilirken bir yandan da kredilerdeki sınırlandırılmaların büyüme üzerindeki olumsuz etkisine dikkat çekilmiştir.

Begeç (2015), Türkiye'deki yurt içi kredi hacminin iktisadi büyüme, enflasyon, cari açık, enflasyon ve büyüme üzerine etkileri incelenmeye çalışılmıştır. 2000-2014 dönemine ait çeyrek veriler kullanılarak ekonometrik analiz yapılmıştır. Veriler arasındaki nedensellik ilişkisi Granger nedensellik testi ile incelenmiş ve ekonomik büyüme, işsizlik ve enflasyondan kredi hacmine doğru tek yönlü nedensellik ilişkisinin olduğunu ortaya koymuş ayrıca kredi hacmi ile cari açık dengesi arasında herhangi bir ilişkinin olmadığını da kanıtlamıştır.

Göçer vd. (2015) Türkiye'deki bankacılık sektörüne ilişkin toplam kredi hacminin, istihdam ve ekonomik büyüme üzerindeki etkilerini birim kök testi, eş bütünleşme ve en küçük kareler yöntemleriyle araştırmışlardır. Bu araştırmalar sonucunda 2000-2012 dönemleri arasında Türkiye'deki kredi hacmindeki artışlarla büyüme ve istihdam arasında pozitif yönlü bir ilişkinin olduğu saptanmıştır.

Toru (2017), bu tez çalışmasında Türkiye'deki 2000-2016 dönemleri arasındaki Türkiye'deki banka kredilerinin ekonomik büyüme üzerindeki etkileri inceleme altına alınmıştır. Çalışmada kullanılan veriler üçer aylık veriler olarak kullanılarak bankaların kredi hacimlerinin GSYİH'ya etkileri ele alınarak karşılaştırmalı olarak analizleri yapılmıştır. Çalışmada analiz olarak ERS Sınaması ve Eş-Bütünleşme analizleri kullanılmıştır. Çalışmada kullanılan modeller sonucunda, kredi piyasalarındaki iyileşme hem ekonomik büyümeyi hem de gelir dağılımı adaletinin sağlanmasında olumlu etkiler göstermektedir.

Apaydın (2018), çalışmada Türkiye'deki Liberizasyon süreci sonrası banka kredilerinin gelişimi, sektörel dağılımı ve ekonomik büyüme üzerine etkileri incelenmiştir. Türkiye'de 2000-2016 dönemine ait verileriyle Gecikmeli Dağıtılmış Otoregresif (ARDL) modeli kullanılmıştır. Çalışma sonucunda elde edilen bulgulara göre, kullanılan krediler arasında tarım ve sanayi sektörüne ait kredilerde azalma yaşanırken inşaat ve hizmet sektöründeki kredilerde artış kaydedilmiştir. Sanayi sektörüne ait kredilerde artış ekonomik büyümeye ivme kazandırmıştır.

Baş ve Kara (2018), bu çalışmada bankacılık sektörüne ait krediler ve ekonomik büyüme arasındaki ilişki 2008-2018 dönemleri arasındaki üçer aylık veriler kullanılarak analiz edilmiştir. Çalışmada ARDL modeli dâhilinde kısıtlanmamış hata düzeltme modeli ve sınır testi yaklaşımı uygulanmıştır. Çalışmadan elde edilen bulgulara göre hem kısa hem de uzun dönemde bankacılık sektörünün kredi büyümesinin ekonomik büyümeyi olumlu etkilemiştir.

5.2. Türkiye'de Banka Kredileri ve Büyüme İlişkisinin Ekonometrik Analizi

Çalışmada banka kredilerini temsil eden reel kredi hacmi, reel faiz oranlarını temsil eden faiz oranları ve ekonomik büyümeyi temsil eden Gayri Safi Yurtiçi Hâsıla verileri kullanılmaktadır. Çalışmada kullanılan veriler Türkiye Cumhuriyet Merkez Bankası Elektronik Veri Dağıtım Sistemi (EVDS) web adresinden elde edilmiştir.

2012:Q3-2019:Q3 dönemine ait üçer aylık verilerin kullanıldığı çalışmada, kredi hacmindeki değişim değişkeni toplam kredileri temsil etmekte ve GSYİH değişkeni ise büyümeyi temsil etmektedir. Söz konusu iki değişken arasındaki ilişkinin daha sağlıklı yorumlanabilmesi açısından faiz oranları da bu analize eklenmiştir. Analizler ham verilerle E-Views 9.0 programı kullanılarak elde edilmiştir. Çalışmada 2012:Q3-2019:Q3 dönemi için Eşbütünleşme Analizi ve Hata Düzeltme modeli kullanılmıştır. Bu modelleri uygulama amacı değişkenler arasındaki uzun ve kısa dönem ilişkisini belirleyebilmektir.

5.3. Birim Kök Testi

Birim kök testi, zaman serilerinin durağanlığını araştırmak ve serilerin birim kök içerip içermemesi yapılan bir testtir. Bir zaman serisi birim kök içermesi serinin durağan olmadığını ifade etmektedir. Sağlıklı bir modelleme için doğru tahminler ve değerlendirmeler yapılabilmesi için serilerin birim kök içerip içermediğinin bilinmesi için tüm etkilerden arındırılması gerekmektedir. Serilerin durağanlığını test etmek için genellikle kullanılan yöntemlerden biri Augmented Dickey-Fuller (ADF) testidir (Gujarati, 2011: 206).

Tablo 1: GSYİH Düzeyde Birim Kök Testi

	t-Statistic	Prob.*
Augmented Dickey-Fuller test statistic	-1.629694	0.4537
Test critical values:		
1% level	-3.711457	
5% level	-2.981038	
10% level	-2.629906	

Seçilen değerlerin durağanlığının tespiti için ADF test istatistiği MacKinnon kritik değerlerine göre, ADF test istatistiği MacKinnon kritik değerinden mutlak değer olarak küçük olduğundan dolayı GSYİH değişkeninin, düzeyde birim kök içerdiği sonucuna varılmıştır.

Tablo 2: GSYİH Birinci Derece Birim Kök Testi

	t-Statistic	Prob.*
Augmented Dickey-Fuller test statistic	-12.46843	0.0000
Test critical values:		
1% level	-3.724070	
5% level	-2.986225	
10% level	-2.632604	

Serinin birinci farkı alındığında ise GSYİH değişkeni durağan hale gelmektedir.

Aşağıdaki Tablo 3 ve Tablo 4’de banka kredileri için birim kök testi yapılmıştır.

Tablo 3: Banka Kredileri Düzeyde Birim Kök Testi

	t-Statistic	Prob.*
Augmented Dickey-Fuller test statistic	-1.319194	0.6063
Test critical values:		
1% level	-3.689194	
5% level	-2.971853	
10% level	-2.625121	

Aşağıdaki tabloda ise serinin birinci farkı alındığında banka kredi değişkeni durağan hale gelmektedir.

Tablo 4: Banka Kredileri Birinci Derece Birim Kök Testi

	t-Statistic	Prob.*
Augmented Dickey-Fuller test statistic	-4.974414	0.0004
Test critical values:		
1% level	-3.699871	
5% level	-2.976263	
10% level	-2.627420	

Aşağıdaki Tablo 5 ve Tablo 6’da faiz oranları için birim kök testi yapılmıştır.

Tablo 5: Faiz Oranı Düzeyde Birim Kök Testi

	t-Statistic	Prob.*
Augmented Dickey-Fuller test statistic	-1.119976	0.6935
Test critical values:		
1% level	-3.689194	
5% level	-2.971853	
10% level	-2.625121	

Durağanlığın tespit edilmesi için, ADF test istatistiği MacKinnon kritik değerlerine göre, ADF test istatistiği MacKinnon kritik değerinden mutlak değer olarak küçük olduğu için faiz değişkeni, düzeyde birim kök içermektedir.

Tablo 6: Faiz Oranı Birinci Derecede Birim Kök Testi

	t-Statistic	Prob.*
Augmented Dickey-Fuller test statistic	-4.705907	0.0009
Test critical values:		
1% level	-3.699871	
5% level	-2.976263	
10% level	-2.627420	

Serinin birinci farkı alındığında ise faiz değişkeni durağan hale gelmektedir.

5.4. Optimal Gecikme Uzunluğunun Belirlenmesi

Değişkenler arasındaki eş bütünleşme ilişkisinin araştırılmasında en uygun gecikme uzunluğunun belirlenebilmesi için VAR metodu ile en uygun gecikme uzunlukları araştırılmış ve en uygun gecikme uzunluğu 1 olarak belirlenmiştir. Tüm bilgi kriterleri VAR modeli tahmini için en uygun gecikme uzunluğunun 1 olduğu kararına varılmıştır.

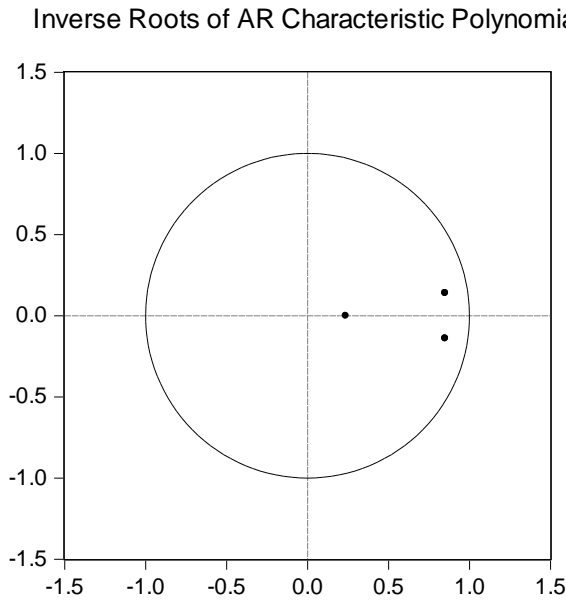
Tablo 7: VAR Modeli İçin Optimal Gecikme Uzunluğu

Lag	LogL	LR	FPE	AIC	SC	HQ
0	53.98408	NA	4.60e-06	-3.776599	-3.632617	-3.733785
1	97.23583	73.68816*	3.66e-07*	-6.313765*	-5.737838*	-6.142512*
2	105.7290	12.58245	3.91e-07	-6.276221	-5.268348	-5.976528

5.5. Modelin Durağanlığı

Modelin durağanlığını tespit etmek için AR Karakteristik Polinomunun ters köklerinin birim çember içerisindeki konumuna bakılmıştır. AR Karakteristik Polinomunun ters kökleri, birim çember içerisinde yer aldığı için modelin durağanlık sorunu taşımadığını ve modelin durağan olduğu anlamına taşımaktadır.

Şekil 1: AR Karakteristik Polinomun Ters Köklerin Birim Çember Konumu



5.6. Johansen Eşbütünlüğe Testi

Yapılan analizlerde ikiden fazla değişken varsa uzun dönem denge ortaya çıkmaktadır. Ve bu durumda Johansen Eşbütünlüğe testi kullanılmaktadır. Johansen Eşbütünlüğe testi özdeğer ve öz vektörlere dayanılarak hesaplanan bir testtir. Bu testin ilk aşamasında durağanlık dereceleri belirlenmektedir. Aynı derecede durağa olan seriler için uygun gecikme sayıları bulunmaktadır. Model için uygun gecikme sayısının belirlenmesi için öncelikli olarak VAR modelinin kurulması gerekmektedir. Akaike ve Schwarz bilgi kriterleri ile gecikme sayıları belirlenmektedir.

Aynı seviyede durağan olan değişkenler arasındaki uzun dönem ilişkisini belirlemek amacıyla Johansen eşbütünlüğe testi yapılmaktadır. Bu çalışmada serilerin uzun dönemde birlikte hareket edip etmediklerini tahmin etmek üzere Johansen (1988) ve Johansen Juselius (1990) tarafından geliştirilen teknik kullanılmıştır. Koentegre vektörlerin sayısını ve anlamlılığını belirlemek amacıyla Johansen tekniği kapsamında İz (Trace) ve En büyük Özdeğer (MaxEigenvalue) olmak üzere aşağıda tabloda belirtilen iki ayrı test uygulanmaktadır (Yılmaz ve Tezcan, 2007: 9).

Johansen Koentegrasyon testi bağlamında hesaplanan İz ve En Büyük Özdeğer istatistiklerinin sonuçları, Johansen ve Juselius (1990) tarafından belirlenen kritik değerler ile karşılaştırılarak uzun dönem ilişkisi tespit edilmiştir. İz ve En Büyük Özdeğer istatistikleri kritik değerlerden büyük olduğu durumda, seriler arasında uzun dönem ilişkinin olduğu kararına varılmıştır.

Tablo 8: Sınırsız Eşbütünlüğe Sıralaması Testi

Hypothesized No. of CE(s)	Eigenvalue	Trace Statistic	0.05 Critical Value	Prob.**
None *	0.629702	41.50001	29.79707	0.0015
At most 1	0.309888	14.67697	15.49471	0.0661
At most 2 *	0.158602	4.662638	3.841466	0.0308

Tablo 9: Sınırsız Eşbütünlüğe Sıra Testi (Maksimum Özdeğer)

Hypothesized No. of CE(s)	Eigenvalue	Max-Eigen Statistic	0.05 Critical Value	Prob.**
None *	0.629702	26.82305	21.13162	0.0071
At most 1	0.309888	10.01433	14.26460	0.2110
At most 2 *	0.158602	4.662638	3.841466	0.0308

Gerek trace istatistiği gerekse max-eigen istatistiği seriler arasında 1 adet koentegre vektörün olduğunu ortaya koymuştur. Bu sonuç söz konusu değişkenlerin uzun dönemde birlikte hareket ettiklerini göstermektedir.

Tablo 10: Normalize Edilmiş Koentegrasyon Katsayı Sonuçları

Normalized cointegrating coefficients (standard error in parentheses)		
LOGGDP	LOGCRD	LOGINT
1.000000	-0.018733 (0.02073)	-0.390395 (0.04671)

Normalize edilmiş koentegrasyon katsayılarının sonuçlarına göre; kredilerdeki ve faiz oranlarındaki artış ekonomik büyümeyi olumlu yönde etkilemektedir.

5.7. Hata Düzeltme Modeli (ECM)

Hata düzeltme modeli, zaman serileri analizinde kısa ve uzun dönem ilişkisi arasındaki dengesizliğin giderilmesi ve eş bütünleşen değişkenler arasındaki nedenselliğin kısa ve uzun dönem incelenmesi için kullanılan yöntemdir. Değişkenler arasındaki kısa dönem ilişkisini belirlemek üzere hata düzeltme modeli uygulanmıştır. Hata düzeltme modeli katsayısı negatif ise bu sonucun istatistiksel olarak anlamlı olduğunu göstermektedir. Elde edilen kısa dönem katsayılarına göre; kredilerdeki artış ekonomik büyümeyi olumlu yönde etkilerken; faizlerdeki artış büyümeyi negatif etkilemektedir.

Tablo 11: Vektör Hata Düzeltme Modeli Sonuçları

Cointegrating Eq:	CointEq1		
LOGGDP(-1)	1.000000		
LOGCRD(-1)	-0.018733 (0.02073) [-0.90382]		
LOGINT(-1)	-0.390395 (0.04671) [-8.35817]		
C	-5.816563		
Error Correction: CointEq1	D(LOGGDP) -0.535628 (0.26221) [-2.04273]	D(LOGCRD) 3.731109 (1.47625) [2.52743]	D(LOGINT) 1.123393 (0.38902) [2.88772]
D(LOGGDP(-1))	0.133410 (0.24039) [0.55498]	-0.947338 (1.35339) [-0.69998]	-0.327330 (0.35665) [-0.91780]
D(LOGCRD(-1))	0.023801 (0.04302) [0.55330]	-0.264493 (0.24219) [-1.09211]	-0.109249 (0.06382) [-1.71179]
D(LOGINT(-1))	-0.198067 (0.16431) [-1.20547]	0.916712 (0.92505) [0.99099]	0.400793 (0.24377) [1.64414]
C	0.007401 (0.00878) [0.84290]	-0.032452 (0.04944) [-0.65643]	0.005764 (0.01303) [0.44243]
R-squared	0.190658	0.243706	0.292593

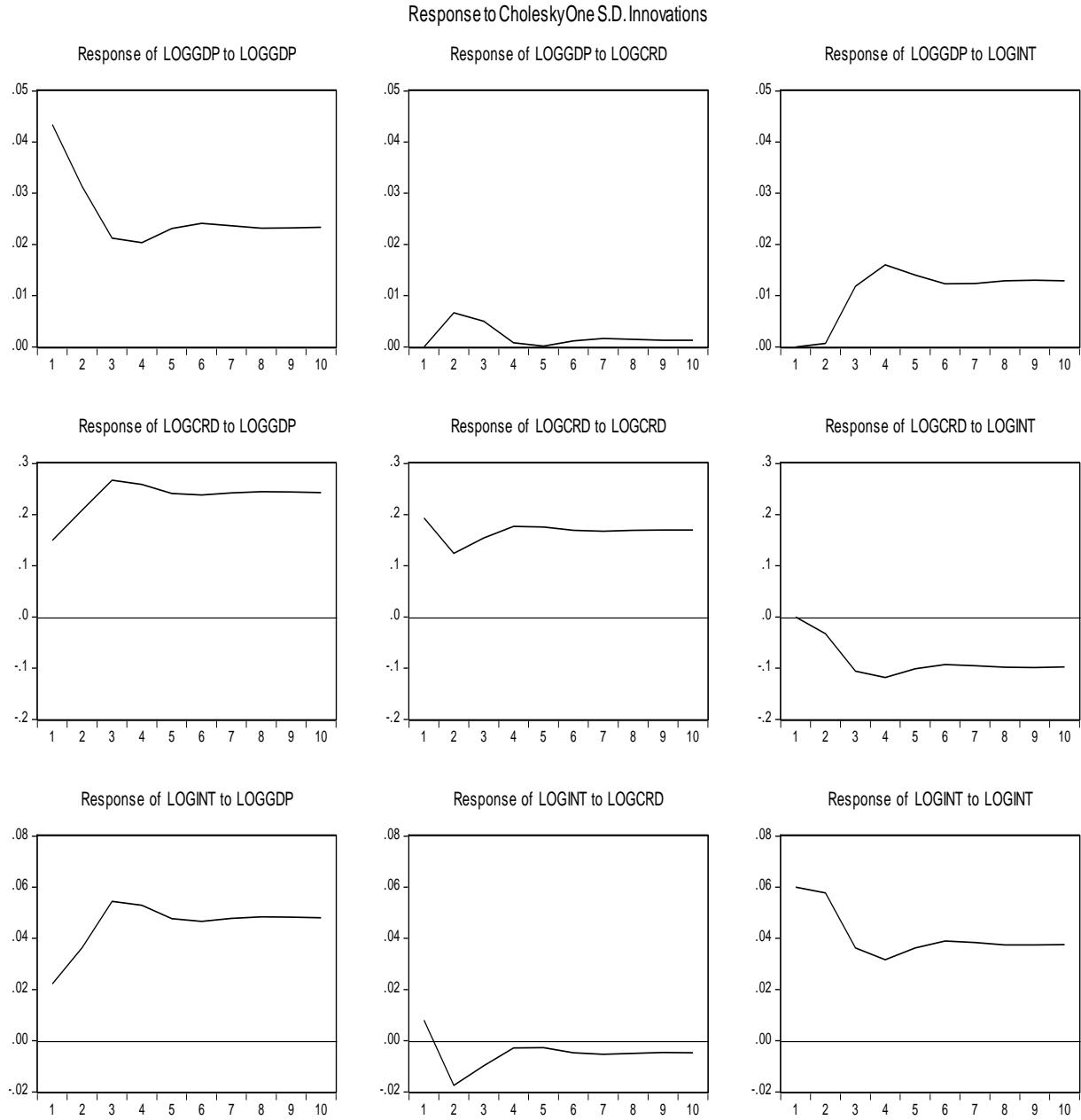
Adj. R-squared	0.043504	0.106198	0.163974
Sum sq. resids	0.041528	1.316306	0.091410
S.E. equation	0.043447	0.244606	0.064459
F-statistic	1.295640	1.772302	2.274874
Log likelihood	49.13120	2.472260	38.47993
Akaike AIC	-3.268978	0.187240	-2.479994
Schwarz SC	-3.029008	0.427210	-2.240025
Mean dependent	0.004684	-0.018307	0.012101
S.D. dependent	0.044424	0.258730	0.070498

Vektör hata düzeltme modelinin sonuçları, hata düzeltme teriminin negatif ve istatistiksel olarak anlamlı olduğunu göstermiştir. Bu sonuçlar banka kredileri ile ekonomik büyüme arasında uzun dönemli bir ilişkinin bulunduğunu doğrulamaktadır.

5.8. Etki Tepki Fonksiyonları

Etki-Tepki fonksiyonları VAR analizi ile bulunan ve rassal hata terimlerinden birindeki bir standart sapmalı şokun, içsel değişkenlerin şimdilik ve gelecekteki değerlerine olan tepkisini gösteren fonksiyonlardır. Bu anlamda GSYİH, banka kredileri ve faiz oranları için 12 dönemlik (12 aylık) etki-tepki değerleri aşağıdaki şekilde gösterilmektedir. Değişkenlerden birine 1 standart hatalık şok verildiğinde diğer değişkenlerin verdiği tepki, etki-tepki fonksiyonları yardımıyla gösterilebilmektedir. Etki-tepki analizleri; kredilere verilen bir şoka ekonomik büyümenin ilk iki dönemde artış ile diğer taraftan ekonomik büyüme üzerinde yaratılan bir şokun sonucunda ise, kredilerin artış ile tepki verdiği sonucuna ulaşılmıştır. Diğer bir yandan faiz oranlarına verilen bir şok kredileri negatif yönde etkilemektedir. Krediler üzerinde yapılan bir şok faiz oranlarının düşmesini de beraberinde getirmektedir.

Şekil 2: Etki Tepki Fonksiyonları (CRD-GDP-INT)



6. SONUÇ

Büyüme sürecinde olan ekonomiler, ekonomik büyüme için gerekli olan finansman ihtiyacını temin edebilmek için finansal sistem içerisinde yer alan bankaların sunmuş oldukları kredilere başvurmaktadır. Bu anlamda devreye giren banka kredileri kalkınmada ve ekonomik büyümeyi gerçekleştirmede önemli role sahiptir. Türkiye’de fon talep edenlerin çoğunun fon ihtiyacını banka mevduatları karşılamaktadır. Ve bu nedenle Türkiye’de mali sistem ile ekonomik büyüme arasında bağımsız bir ilişki olmadığı açıktır.

Türkiye’de bankacılık sektörü toplam kredi hacminin ekonomik büyüme üzerindeki etkileri Johansen Eşbütünleşme Testi, Vektör Hata Düzeltme Modeli ve Etki-Tepki fonksiyonları yardımıyla analiz edilmiştir. Analizde 2013-2019 arası dönemine ait üçer aylık veriler kullanılmıştır. Yapılan deneye dayalı analizler

değerlendirildiğinde uygulanan birim kök testi sonucunda, serilerin düzeyde durağan olmadığı ve birinci farkları alındığında durağan hale geldikleri, yani I(1) olduğu görülmüştür. Gerçekleştirilmiş olan Eşbütünleşme testleri sonucunda seriler arasında Eşbütünleşme ilişkisinin olduğu ve serilerin uzun dönemde birlikte hareket ettikleri sonucu elde edilmiştir. Analiz sonuçları değerlendirildiğinde banka kredileri ile ekonomik büyüme arasında kısa ve uzun dönemde eş bütünleşme ilişkisinin olduğu sonucu çıkarılmıştır. Bankacılık sektörü kredi büyümesinin ekonomik büyüme üzerinde etkisinin daha uzun süreli ve sürdürülebilir olabilmesi için kullanılan kredilerin daha verimli yatırım alanlarında değerlendirilmesi gerekmektedir.

Analiz sonuçları değerlendirildiğinde bankacılık sektöründe kredi büyümesi ile ekonomik büyüme arasında kısa ve uzun dönemde eş bütünleşme ilişkisinin olduğu görülmektedir. 2008 krizi sonrası hem Türkiye’de hem de dünyada bankacılık sektörü kredi büyümesinin literatürde ulaşılan yaygın sonuçlar gibi kredi genişlemesinin hem kısa hem de uzun dönemde ekonomik büyüme üzerinde pozitif etkisi olduğu tespit edilmiştir. Fakat bankacılık sektörü kredi büyümesinin ekonomik büyüme üzerinde pozitif etkisinin sürdürülebilir olabilmesi için kredilerin tüketim amaçlı kullanımından ziyade, verimli yatırım alanlarında değerlendirilmesi gerekmektedir. Çünkü 2008 krizinde yaşanan aşırı ve etkin olmayan kredi büyümesi sadece finansal sistemi değil aynı zamanda reel sektörü de kapsayacak şekilde etkilemektedir.

Çalışmada elde edilen bulgulara göre, iç talebe dayalı olarak büyüyen ve özel sektör kesiminin tasarrufların düşük miktarlarda seyrettiği Türkiye ekonomisinde yatırımların büyük bir kısmının banka kredileri ile finanse edildiği durum düşünüldüğünde kredilerin makroekonomik değişkenleri önemli ölçüde etkilediği söylenebilmektedir. Kredi hacmindeki artış ekonomik büyüme ve istihdamı olumlu yönde etkilerken cari açık ve enflasyonu olumsuz yönde etkileyerek arttırma eğilimine girmektedir. Sonuç olarak ekonomiyi yöneten otoritelere ekonomileri dengede sağlamak için önemli sorumluluklar düşmektedir. Otoriteler bu konuda seçici kredi uygulaması türü politikalar geliştirerek ekonomik büyümeyi ve istihdamı sağlamaya yönelik kredilere kolaylık sağlamalıdır. Yurt içi talep enflasyonuna neden olacak, ithal lüks tüketimini arttıracak kredi taleplerinin önüne set çekebilmeyi sağlaması gerekmektedir.

KAYNAKÇA

- Akçayır, Ömer, Albeni, Mesut (2016). Türkiye’de Kredi Genişlemesinin Cari Açığa Etkisi: Sınır Testi Yaklaşımı. Çankırı Karatekin Üniversitesi İktisadi ve İdari Bilimler Fakültesi Dergisi, 6(1), 557-583.
- Bekiroğlu, Cemil (2010). Türkiye’de İşsizlik Sorununun Çözülmesinde Uygulanan Ekonomi Politikalarının Analizi. Finans Bankacılık Yüksek Lisans Programı, Kadir Has Üniversitesi Sosyal Bilimler Enstitüsü, İstanbul.
- Bilgin, Mehmet Hüseyin, Kartal, Fikret (2009). Türkiye’de Enflasyon Ve Bankacılık Sektörü Kredileri: 2002-2008 Dönemi Üzerine Bir İnceleme. Maliye ve Finans Yazıları, 1(85), 65-78.
- Cengiz, Vedat (2009). Parasal Aktarım Mekanizması İşleyişi ve Ampirik Bulgular. Erciyes Üniversitesi İktisadi ve İdari Bilimler Fakültesi Dergisi, (30), 225-247.
- Ceylan, Servet, Durkaya, Mehmet (2010). Türkiye’de Kredi Kullanımı-Ekonomik Büyüme İlişkisi. Atatürk Üniversitesi İktisadi Ve İdari Bilimler Dergisi, 24(2), 21-35.
- Demir, Selçuk (2015). Bireysel Kredilerin Ekonomik Büyüme Üzerindeki Etkisi: Türkiye Örneği. Doktora Tezi, İstanbul Üniversitesi Sosyal Bilimler Enstitüsü, İstanbul.
- Gujarati, Domador. N. (1999). Essentials Of Econometrics. Irwin/Mcgraw-Hill, (2. Baskı), Boston.
- İnan, Emre Alpan (2001). Parasal Aktarım Mekanizmasının Kredi Kanalı Ve Türkiye. Bankacılar Dergisi, 39, 3-20.
- İşcan, Ayşe, Banka Kredilerinde Daralmanın Ekonomik Etkileri ve Krizlerdeki Gelişimi. "TCMB Bankacılık ve Finansal Kuruluşlar Genel Müdürlüğü." Uzmanlık Yeterlilik Tezi, Ankara (2003).
- İşipek, Pervin (2005). Banka Stratejik Yönetim Açısından Kredi Riski Yönetim Modelleri. İstanbul.
- Güven, Samih (2002). Türkiye’de Banka Kredileri ve Büyüme İlişkisi. İşletme İktisat Ve Finans Dergisi, (197), 88-100.
- Kashyap, Anil K. Vd. (1993). Monetary Policy And Credit Conditions: Evidence From The Composition Of External Finance. American Economic Review, 83(1), 78-98.
- Koç, Selahattin (2015). Türkiye’de Bankaların Sektörler Bazında Kullandıkları Krediler İle Ekonomik Büyüme Arasındaki İlişki: 1999-2011. Muhasebe Ve Finansman Dergisi, 135-156.
- Kuzu, Durmuş Ali (2018). Kredi Hacmini Belirleyen Faktörler: Türk Bankacılık Sektörü Uygulaması. Muhasebe Finansman Doktora Programı, Başkent Üniversitesi Sosyal Bilimler Enstitüsü, Ankara.
- Mucuk, Mehmet (2017). Makro İktisat Teori ve Türkiye Uygulaması (3.Baskı). Konya: Billur Yayınevi.
- Okay, Ersin (2002). Türk Bankacılık Sektöründe Risk ve Kriz. İstanbul Ticaret Üniversitesi Dergisi, 95-122.
- Örnek, İbrahim (2009). Türkiye’de Parasal Aktarım Mekanizması Kanallarının İşleyişi. Maliye Dergisi, (156), 104-125.

- Özgür, Serdar (2019). Bankacılık Sektöründe Kredi Riski Kredi Türevleri: Ampirik Bir Uygulama. İşletme Yüksek Lisans Programı, Hacettepe Üniversitesi Sosyal Bilimler Enstitüsü, Ankara.
- Tandoğan, Dilek, Özyurt, Hasan (2013). Bankacılık Sektörünün Ekonomik Büyüme ve Sürdürülebilir Ekonomik Kalkınma Üzerine Etkisi: Türkiye Ekonomisi Üzerine Nedensellik Testleri (1981-2009). Marmara Üniversitesi İktisadi ve İdari Bilimler Fakültesi Dergisi, 35(2), 49-80.
- Timsina, Neelam (2014). Impact Of Bank Credit On Economic Growth İn Nepal. Nepal Rastra Bank, Research Departmant, (22), 1-23.
- TCMB (Türkiye Cumhuriyeti Merkez Bankası). (2013).Türkiye Cumhuriyet Merkez Bankası 2013 Yılı Faaliyet Raporu (Rapor No: 978-605-4911-06-6). Ankara: Miki Matbaacılık San. Tic. Ltd. Şirketi.
- Şahin, Arzu (2011). Türkiye’de Banka Kredileri ve Büyüme İlişkisi Üzerine Bir Uygulama:1995-2010. Yüksek Lisans Tezi. Dumlupınar Üniversitesi Sosyal Bilimler Enstitüsü, Kütahya.
- Yiğitbaş, Şehnaz Bakır (2014). Türkiye’de Banka Kredileri ve Konjonktür Dalgalanmaları Arasındaki İlişkinin Analizi. Türkiye Bankalar Birliği Bankacılar Dergisi, (90), 19-32.
- Yüksel, Serhat, Özsarı, Mustafa (2016). Türkiye’deki Bireysel Krediler ile Enflasyon ve Cari İşlemler Açığı Arasındaki Nedensellik İlişkinin İncelenmesi. Econworld Konferansı, Roma.

Kurumsal Sosyal Sorumluluk Projelerinin Dijital İletişimi: HeForShe Türkiye Twitter Sosyal Ağ Analizi

Prof.Filiz Balta Peltekoğlu¹

Öğr.Gör.Dr. Emel Demir Askeroğlu²

¹Marmara Üniversitesi /İletişim Fakültesi, Halkla İlişkiler ve Tanıtım Bölümü, filiz@marmara.edu.tr, ORCID: <https://orcid.org/0000-0001-6667-1737>

²Tekirdağ Namık Kemal Üniversitesi/Çerkezköy Meslek Yüksekokulu, Pazarlama ve Reklamcılık Bölümü, edemir@nku.edu.tr., ORCID: <https://orcid.org/0000-0003-3953-5734>

Özet: Kurumsal sosyal sorumluluk projeleri sadece kuruma ve/veya markaya yönelik algıyı etkilemesi nedeniyle değil, kurumsal sosyal sorumluluk anlayışının kurum kültürü haline gelebilmesi ve paydaşlarla iletişim ve etkileşim açısından da önemli bir işlev üstlenir.

Yapılan araştırmalar tüketicilerin, kurumların ve/veya markaların toplumsal yarar sağlayan projelere destek vermeleri beklentisi içinde olduklarını, toplumsal sorunların çözümüne katkı sağlayan markaları tercih ettiklerini göstermektedir. Örneğin Pelsmecker'e (2001:285) göre eğer proje haklı bir nedene dayanıyorsa tüketicilerin %54'ü daha yüksek fiyata satın almayı kabul etmektedir. Hakim ve MS (2018), tarafından kaleme alınan çalışmada kurumsal sosyal sorumluluk projelerinin marka tercihi üzerinde olumlu etkisi olduğu ifade edilmektedir. He ve Lai (2014) makalelerinde, kurumsal sosyal sorumluluk projelerinin marka imajını etkileyerek marka sadakati oluşturduğunu ortaya koymaktadır. Lai, C., Chiu, C., Yang vd. (2010) araştırmalarında kurumsal sosyal sorumluluk ve kurumsal itibarın endüstriyel marka değeri ve marka performansı üzerinde olumlu etkileri olduğu sonucunu elde etmişlerdir.

Bu nedenlerle kurumlar açısından kurumsal sosyal sorumluluk projelerinin yaşama geçirilmesi kadar, iletişimi de önem taşımaktadır. Nitekim kurumsal sosyal sorumluluk projeleri gerek kurumsal amaçlar, gerekse projelerin amaçlarının gerçekleştirilmesi açısından iletişime gerek duyar. Zira kurumsal sosyal sorumluluk projelerine kamuoyu desteğini sağlayacak farkındalığın oluşturulması (Balta Peltekoğlu ve Tozlu, 2018: 297), iç ve dış paydaşların desteğine katkı sağlayacağı gibi, hedef kitleyle etkileşimin ilk adımı olması açısından da önemlidir.

İletişim teknolojilerinin gelişmesiyle birlikte, markalar açısından yeni iletişim ortamlarından yararlanma fırsatı doğmuş, kurumsal sosyal sorumluluk projelerinin iletişiminde ülkemizde de genç nüfus tarafından yaygın biçimde kullanılan dijital iletişim kanalları önem kazanmıştır.

Dijital medya, paydaşlar tarafından yaygın biçimde kullanılması, etkileşime açık olması ve pratik ölçülebilir yöntemlerinin olması gibi nedenlerle kurumların ve/veya markaların kurumsal sosyal sorumluluk projelerinin iletişiminde de tercih edilen iletişim kanalı haline gelmiştir.

Bu çalışmada kurumların ve/veya markaların kurumsal sosyal sorumluluk kampanyaları bağlamında paydaşlarıyla iletişimlerinde Twitter'dan yararlanma düzeylerinin anlaşılması amacıyla sosyal ağ haritalarının çıkarılarak paydaşlarıyla etkileşim düzeylerinin belirlenmesi amaçlanmaktadır. Bu amaçla Kapital GFK 2018 raporu ile kurumsal sosyal sorumluluk konusunda en başarılı bulunan projelerden HeForShe 2019 yılı Twitter hesap analizi gerçekleştirilmiştir.

Nodexl programı kullanılarak kampanyanın sosyal ağ analizi yapılmış, yıl içerisindeki etkileşim haritası ortaya konulmuş, paydaşlarla diyalog oranları elde edilmiştir.

Anahtar sözcükler: Twitter, kurumsal sosyal sorumluluk, kurumsal sosyal sorumluluk iletişimi, halkla ilişkiler, dijital iletişim, sosyal ağ analizi

Digital Communications of Corporate Social Responsibility Projects: HeForShe Turkey Twitter Network Analysis

Abstract: Corporate social responsibility projects are critical in corporate communications not only because they affect perception towards the company or the brand, but also because they reinforce social responsibility to become the corporate culture and maintain an important role in stakeholder interactions. Prior research states that consumers expect brands and corporations to engage in social responsibility, and prefer brands that add value to the resolution process of pressing social issues.

Hence, corporate social responsibility projects carry weight in how brands are able to project themselves to society. With the emergence of digital communications technologies, brands have had access to new communication platforms to engage with their consumers. Digital media being widely used by the stakeholders, promoting engagement and being easy to

measure and analyze, has become the prominent platform through which brands and corporations choose to execute and communicate any corporate social responsibility projects.

This study aims to understand how and to what extent brand and corporations utilize Twitter as a medium to communicate with their stakeholders during corporate social responsibility campaigns and develop a social network map to analyze the engagement levels of corporate social responsibility initiatives. The Capital GFK 2018 Report and Twitter account analyses of the most successful social responsibility campaigns of HeForShe 2019 constitute the base for this study. A social network analysis was conducted using Nodexl in order to discern the annual engagement rates and engagement with stakeholders.

Keywords: Twitter, corporate social responsibility, corporate social responsibility communication, public relations, digital communication, social network analysis

1. GİRİŞ

Kurumsal sosyal sorumluluk (KSS), kurumların ekonomik, hukuksal ve ahlaki sorumlulukları ile birlikte gönüllü sorumluluk olarak da ifade edilen hayırseverlik bağlamında gerçekleştirilen projeleri de kapsamaktadır. Bu nedenle kurumsal sosyal sorumluluk projelerinin kurumlara yönelik toplumsal beklentiler arasında yer aldığı ifade edilebilir.

Nicoli ve Komodromos'a göre, bir kuruluş perspektifinden kurumsal sosyal sorumluluk projelerinin tüm hedef kitleye yayılması, topluma sağladığı yarar kadar önemlidir. Bunun en önemli nedenlerinden bir tanesi, KSS iletişiminin kurumun tüketici, müşteri ve paydaş tutumları üzerinde olumlu etkileridir (Nicoli ve Komodromos, 2019: 2). Bunun yanında, kurumların topluma ve toplumsal sorunlara karşı duyarlılıklarını ifade edebilme biçimi olarak kurumsal sosyal sorumluluk projelerinin iletişiminin, projelerin toplumsal amacına ulaşabilmesi açısından olduğu kadar, kurumlara olan katkıları nedeniyle de önemli olduğu söylenebilir.

Kurumsal sosyal sorumluluk projelerinin iletişiminin önemi ise genel bir yaklaşımla projenin toplumsal amacına ulaşabilmesi, paydaş katılımının artırılması ve kurumsal iletişim amaçlarına katkı sağlayabilmesi ana başlıkları ile ifade edilebilir. İletişim teknolojilerinde yaşanan gelişmeler, her alanda olduğu gibi kurumsal sosyal sorumluluk projelerinin iletişiminde yararlanılan araç ve yöntemlere de yansımaktadır.

Nitekim iletişim teknolojileri hem bireylerin hem de kurumların iletişim biçimlerini etkileyerek, kurumların iletişim stratejileri ile iletişim araç ve yöntemlerinde değişikliklere yol açmakta, kurumlar, zamanlarının önemli bir bölümünü internette geçiren paydaşlarına ulaşmak için dijital yöntemlerden yararlanmaktadır (Balta Peltekoğlu ve Demir Askeroğlu, 2020: 4). Söz konusu gelişmeler sonucunda kurumsal sosyal sorumluluk projelerinin iletişim sürecinde sosyal medya önemli bir paylaşım kanalı haline gelmiştir.

2. SOSYAL AĞLARDA İLETİŞİM

Safko'ya göre; sosyal ağların insanlar kadar eski bir tarihe sahip olduğunu söylemek olanaklıdır, zira tüm canlılarda olduğu gibi insanlarda da günlük yaşamlarıyla ilgili iletişim kurma ve paylaşma konusunda içgüdüsel bir gereksinim bulunmaktadır. Tarih öncesi çağlardan bu yana var olan, çeşitli araç ve yöntemlerle gerçekleştirilen iletişim, teknolojik gelişmelerle birlikte araç ve yöntemler bağlamında önemli bir değişiklik yaşamaktadır. Dijital teknolojilerin hızla gelişmesiyle sosyal medya gündelik yaşama dahil olmuştur. Safko'ya göre tüm bu değişimlerde değişmeyen tek şey ise; temel bağlantı gereksinimidir (Safko, 2010: 467).

Sosyal ağ kavramı, internet kavramının doğal uzantısıdır. Brown'a göre, (2009:50) toplumun hayal gücünü yakalayan sosyal ağlar için ilk amaç, eski okul arkadaşlarıyla yeniden iletişim kurmaktır. Söz konusu amaçla Classmates.com 1995 yılında Amerika Birleşik Devletleri'nde kuruldu ve sosyal ağlar çevrimiçi topluluklara dönüştü. Günümüzde ise popüler sosyal ağ siteleri milyonlarca kişi tarafından kullanılmakta ve kullanıcıların sosyal ağlarda etkileşim kurabileceği yeni yollar ortaya çıkmaktadır. Günümüzde sosyal ağlar e-posta tarzı mesajlaşma ve anlık mesajlaşma (IM) veya sohbet olanağı sağlamakta, dosya paylaşımına, bloglamaya izin vermekte ve video yayınlayanlar gibi her türlü diğer platformlardan içerik içermektedirler.

Twitter ise kısa metin içeren en fazla 140 karakter yazmaya olanak veren iletilerin herkes tarafından okunabilme ya da gruplarla sınırlandırma yaparak okunabilme olanağı sunan, temmuz 2006 yılından beri hizmet vermekte olan bir mikroblog uygulamasıdır. Twitterda hashtag (etiket) adı verilen bir ön ek kullanılarak, bir şey eklenebilir, bir arama yapılabilir ya da bir konu hakkında bilgi paylaşılabilir (Brown, 2009: 37).

Mart 2006'da Jack Dorsey, Evan Williams, Biz Stone ve Noah Glass tarafından oluşturulan ve Temmuz 2006'ya kullanıma açılan (Aldahdouh ve Aldahdooh, 2019:1) Twitter'ın

“we are social 2020” verilerine göre dünyada 340 milyondan fazla Türkiye’de ise 11.8 milyon kullanıcısı bulunmaktadır.

Hem bireysel kullanıcılara hem de şirketlere etkileşim imkanı sağlayan Twitter'ın Aldahdouh ve Aldahdooh'a göre (2019: 1) kullanıcılarına iş ortamında sunduğu avantajlarından bazıları şunlardır:

- Sosyal medya, hedef kitle hakkında bilgi edinmeyi sağlar,
- Sosyal medya, hedef kitlelere daha etkili bir şekilde ulaşmayı sağlar,
- Sosyal medya yeni müşteriler bulmak ve hedef kitleyi genişletmeye yardımcı olur.
- Sosyal medya, müşterilerin bakış açısıyla anında geri bildirim almaya olanak tanır.
- Sosyal medya ile pazar bilgisini geliştirerek, rakiplerin önüne geçmek mümkün olur.
- Sosyal medya, web sitesi trafiğini ve arama sıralamasını yükseltmeye yardımcı olur.
- Sosyal medya aracılığıyla müşterilerle anlamlı ilişkiler kurulabilir.

Sosyal medyanın Aldahdouh ve Aldahdooh tarafından ortaya konulan nitelikleri halkla ilişkiler amaçları bağlamında ele alındığında, sosyal medyanın etkili bir halkla ilişkiler ortamı olduğu ve kurumların iletişimlerinde önemli bir kanal işlevi gördüğü ifade edilebilir. Aynı yaklaşımla; sosyal medyanın kurumsal sosyal sorumluluk projelerinin iletişiminde projelerin amaçlarına ulaşabilmesi açısından önemli bir araç olduğu söylenebilir.

3. TWITTER, SOSYAL AĞ ANALİZİ VE NODEXL

Twitter'ın bir sosyal ağ mı yoksa bir bilgi ağı mı? olduğuna yönelik farklı yaklaşımlar söz konusudur. Giderek sosyal ağdan bir haber ağına dönüştüğü konusunda görüşler ileri sürülmektedir. Bununla birlikte Information Network or Social Network? The Structure of the Twitter Follow Graph adlı çalışma, Twitter'ın hem bir bilgi ağı hem de sosyal ağ olduğunu ifade etmektedir. Kullanıcılar, bir anlamlı sosyal ilişki nedeniyle değil, haber almak için bir haber çıkışını takip ettiğini ifade eden çalışmada, bu durumun Twitter'ın bilgi ağı olarak kullanıldığını belirtmektedir. Öte yandan, birçok takip ilişkisinin Twitter'ın sosyal ağ niteliğini öne çıkarabileceğini, örneğin bir kişinin meslektaşlarını, aile üyelerini ve arkadaşlarını takip etmek amacıyla kullandığını ifade etmektedir. Bu durumda ise Twitter'ın sosyal bir ağ özelliği de gösterdiği dile getirilmekte, çalışma twitter'ı hibrit bir sistem (Myers vd. 2014: 493-498) olarak kabul etmektedir. Bu bağlamda, Türkiye’de nüfusun % 61’inin (54 milyon) sosyal medya kullanması, bu kullanıcıların en yoğun yaş aralığının 25-34 yaş olması ve 11.8 milyon kullanıcı sayısı Twitter'ın en çok kullanılan platformlar arasında olması, Twitter'ı kurumsal sosyal sorumluluk projelerinin iletişimi açısından ve özellikle genç nüfusa erişimde önemli bir iletişim ortamı haline getirir. Bunun yanında etkileşimli bir platform olması, ağ analiziyle mevcut etkileşim hakkında bilgi vermesi ve değerlendirme yapabilmeyi olanaklı kılması gibi nitelikleri, Twitter'ı kurumsal sosyal sorumluluk projelerinin iletişiminde ön plana çıkaran diğer özelliklerdir.

NodeXL aracı, Excel elektronik tablosuna grafik türü olarak eklenen “ağ grafiği” programıdır. NodeXL, Excel kullanıcılarının ağ verileri içe aktarmasını, temizlemesini, analiz etmesini ve görselleştirmesini sağlamak için tasarlanmıştır. NodeXL, e-tablonun mevcut grafik özelliklerini eklenen grafik türü “ağ” ile genişletmektedir. NodeXL, elektronik tablo işlemlerini bilen kullanıcıların bu becerileri ağ veri analizi ve görselleştirmesine uygulamalarına olanak tanıyan bir dizi temel ağ metrisini hesaplamaktadır (Smith vd., 2009: 255).

Veri setinde örnekleme dâhil edilen hesapların ego ağlarındaki aktörler, bu aktörler arasındaki bağlantılar, retweet’ler, takipçi miktarları ve gönderi içerikleri bulunmaktadır. Verilerin analizinde öncelikle sosyal ağın genel ölçütleri (aktör sayısı, bağlantı sayısı, yoğunluk vb.) hesaplanmaktadır. Daha sonra merkezilik ölçütleri (out-degree- in-degree, beetwenness centrality) hesaplanabilir. Merkezilik bir ağdaki bir düğümün konumunun özelliğidir (Borgatti vd., 2013).

Aktörler ağda farklı yapısal konumlara sahiptir. Bu konumlar, aktörlerin ağda oynadığı rolleri anlamaya yardımcı olurlar. Bu aktörleri tanımlamak için merkezilik ölçütleri kullanılır. Yönlü ağlarda iç-derece merkeziliği bir

anlamda bireyin sosyal ağlardaki popülerliğini, ün ve prestijini, dış-derece merkeziliği ise bireyin sokulganlık ve sosyalleşebilirliğini göstermektedir. Arasındalık merkeziliği bir aktörün, diğer aktörleri birbirine bağlayan en kısa yollarda bir aracı pozisyonunu işgal ederek, ağdaki diğer aktör çiftleri için bir “potansiyel” olarak görev yapmasıdır (Güz vd. 2019). Yüksek arasındalık değerine sahip olan bir aktör, sosyal ağda akan bilgi üzerinde yüksek bir kontrol seviyesine sahiptir. Bu aktör genellikle eşik bekçisi rolündedir (Pryke’den akt. Güz vd. 2019).

4. ARAŞTIRMA

4.1. Araştırmanın Amacı

Araştırmanın amacı bir kurumsal sosyal sorumluluk projesinin Twitter kullanıcıları tarafından sosyal ağlardaki hareketini görerek, kurumsal sosyal sorumluluk projelerinin iletişimde dijital iletişim aracı olarak Twitter’ın, paydaşlar ile etkileşim kurma konusundaki işlevini ortaya koyabilmektir. Bu kapsamda özellikle halkla ilişkiler uygulamaları bağlamında gerçekleştirilen kurumsal sosyal sorumluluk projelerinde önemli bir aşama olarak değerlendirmenin, dijital ortamlarda ve Twitter özelinde gerçekleştirilebilirliğine ilişkin veri elde etmek çalışmanın bir diğer hedefini oluşturmaktadır.

Çalışma, Birleşmiş Milletler’in “Bin Yıl Kalkınma hedefleri”nde yer alan cinsiyet eşitliği sorununa odaklanan, GFK 2018 yılı en başarılı KSS projeleri arasında yer alan HeForShe Türkiye twitter hesabının etkileşim düzeyinin belirlenmesi ve soysala ağ haritasının çıkarılmasına yöneliktir.

4.2. Araştırmanın Yöntemi

Araştırma HeForShe projesinin 22.01.2020 ile 29.01.2020 tarihleri arasında Twitter platformunda yer alan bilgiler üzerine gerçekleştirilmiştir. Twitter in sadece 7 günlük veri paylaşımına izin vermesi nedeniyle NodeXL Basic programı ile belirtilen tarihler arasında 7 günlük veri araştırmaya dahil edilmiştir.

NodeXL Basic sürümünün 15000 tweet kısıtı bulunması ve Twitter’ın yedi günlük veri paylaşımına izin vermesi nedeniyle çalışmanın bu kapsamda yapılmış olması araştırma açısından vurgulanması gereken bir kısıttır.

Araştırmada Twitterda hashtag (etiket) adı verilen bir ön ek kullanılarak arama yapılabilme özelliğinden yararlanılarak yapılan paylaşımların etkileşimini anlamak amacıyla “heforsheturkiye” kelimesi yazılmış, elde edilen verilerin twitter üzerinden arama yapılmıştır.

4.3. HeForShe Türkiye Projesi Hakkında

Cinsiyet eşitliği sorunu ülkelerin gelişmişlik düzeyi ile ilgili olsa da sonuçları, etkileri ve mücadele alanı açısından evrensel niteliğe sahiptir. Cinsiyet eşitliğinin sağlanması, Birleşmiş Milletler’in “Bin Yıl Kalkınma Hedefleri”nde yer alan ana başlıklardan bir tanesidir. Cinsiyet eşitliğine yönelik sorunlar, insan hakları, sosyal, ekonomik olumsuzluklar vb. pek çok sonucunun yanında, Türkiye açısından katılmış ve kabul etmiş olduğu “Bin Yıl Kalkınma Hedefleri” kapsamında da bir mücadele alanı olmalıdır. Hukuki, ekonomik ve toplumsal alanlarda yapılması gereken düzenlemelerin yanında, cinsiyet eşitliği sorununa dikkat çeken, çözümüne katkı sağlayan kurumsal sosyal sorumluluk projelerinin toplumsal katkıları önemlidir.

Birleşmiş Milletler Toplumsal Cinsiyet Eşitliği ve Kadının Güçlenmesi Birimi UN Women’in başlattığı HeForShe, her yaşta erkeği toplumsal cinsiyet eşitliği ve kadın haklarını savunmak için önderlik yapmaya çağıran bir dayanışma hareketi olarak tanımlanmaktadır. Türkiye’de Koç Holding tarafından desteklenen proje, UN Women ve BM Küresel İlkeler Sözleşmesi ortak metni olan “Kadının Güçlenmesi İlkeleri”ni imzalayan Koç Holding, BM Kadın Birimi tarafından yürütülmekte olan HeForShe kapsamında da küresel düzeyde 10 Etki Lideri (Impact Champions) arasına seçilmiştir. Kampanyanın ana fikri, toplumsal cinsiyet eşitliğinin sadece kadınları değil tüm toplumu ilgilendiren bir konu olduğu ve kadın-erkek eşitliğinin sağlandığı bir toplumda sosyal, siyasal ve ekonomik alanlarda, hem kadınların hem de erkeklerin kazançlı çıkacağı biçiminde tanımlanmaktadır (2015, <https://www.koc.com.tr/tr-tr/koc-gundem/basin-odasi/PressRelease/HeForShe-Basin-Bulteni-04-Mart-2015.pdf>).

heforshe.org. resmi web adresinden katılım ve etkileşim sağlamayı amaçlayan kampanya hareket kiti hazırlayarak bireyler, öğrenciler, işletmeler ve üniversiteler için HeForShe hareketi için yapılması gerekenleri anlatan farklı kitler hazırlamıştır. Ayrıca etki ve hareket olarak iki farklı buton ile kampanyanın etki raporları ve

kampanyaya katılmak isteyenlerin hareketleri üzerine odaklanılmaktadır. Kampanyayı desteklemek isteyenlere yönelik bilgilendirme kursu, genderIQ testi ve katılım ile ilgili diğer bilgilerde sitede yer almaktadır.

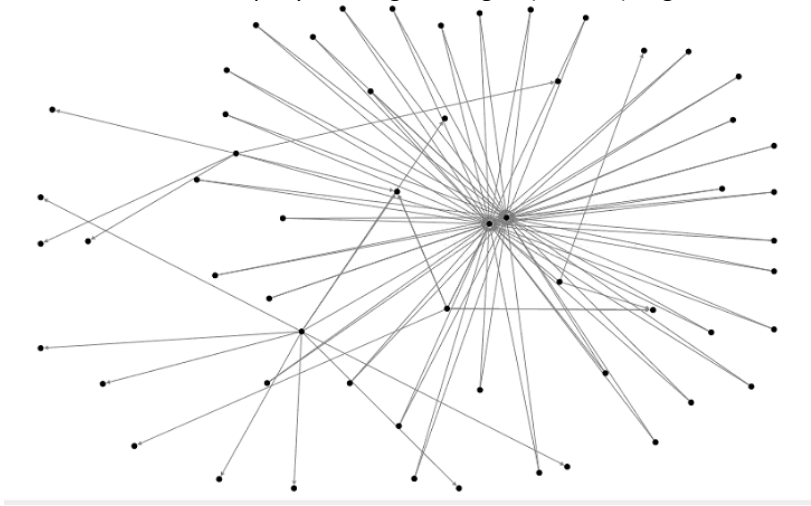
4.4. Araştırma Bulguları ve Analizi

Graph Metric (Grafik Ölçümü)	Value
Graph Type (grafik türü)	Directed
Vertices (düğümler)	57
Unique Edges	91
Edges With Duplicates	6
Total Edges	97
Self-Loops	0
Reciprocated Vertex Pair Ratio	0
Reciprocated Edge Ratio	0
Connected Components	1
Single-Vertex Connected Components	0
Maximum Vertices in a Connected Component	57
Maximum Edges in a Connected Component	97
Maximum Geodesic Distance (Diameter)	4
Average Geodesic Distance	2,3755
Graph Density	0,029448622
NodeXL Version	1.0.1.418
Top URLs in Tweet in Entire Graph (Tüm Grafikteki en popüler Tweetler)	
https://twitter.com/i/web/status/1222143413128175616	1
https://twitter.com/i/web/status/1221061969748418561	1
https://twitter.com/i/web/status/1220097946873745411	1
Top Domains in Tweet in Entire Graph (Tüm grafikte tweet'deki en iyi alanlar)	
twitter.com	3
Top Hashtags in Tweet in Entire Graph (Tüm grafikte Tweetle ilgili en iyi hashtagler)	
Heforshe	2
Birlikteşitiz	1
Top Words in Tweet in Entire Graph (Tüm grafikteki en iyi kelimeler)	
Words in Sentiment List#1: Positive	0
Words in Sentiment List#2: Negative	0
Words in Sentiment List#3: (Add your own word list)	0

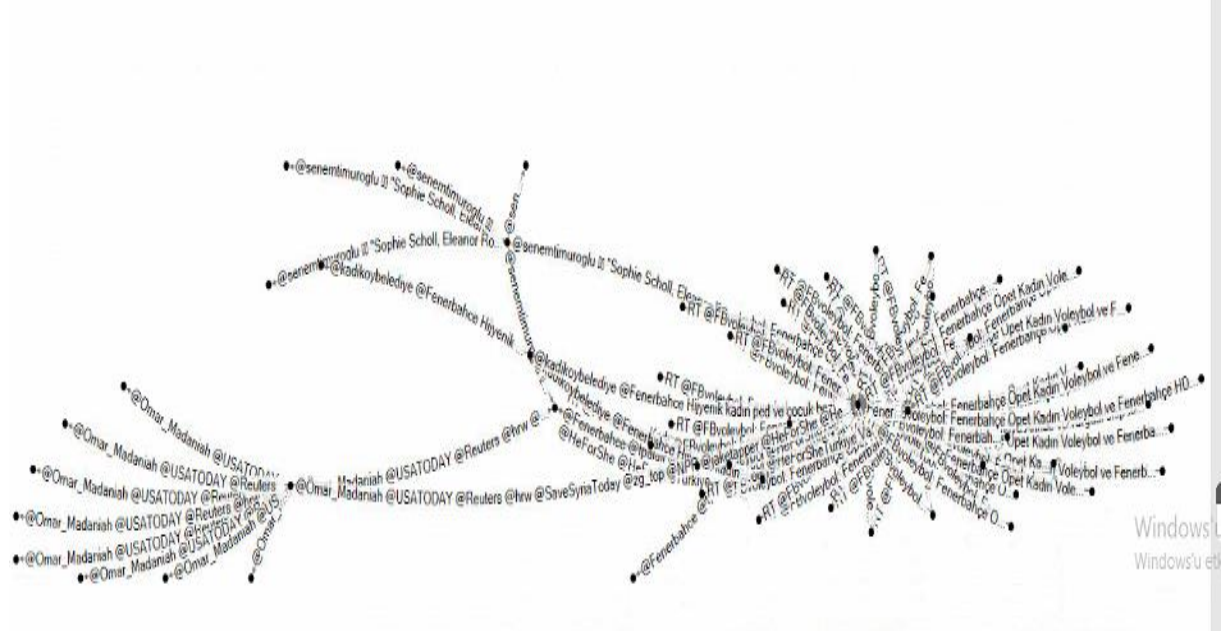
Non-categorized Words	639
Total Words	639
Fenerbahçe	68
Voleybol	68
Heforsheturkiye	41
Ve	36
Fbvoleybol	35
Top Word Pairs in Tweet in Entire Graph (Tüm grafikte Tweetteki en iyi kelime çiftleri)	Entire Graph Count
fenerbahçe,opet	34
opet,kadın	34
kadın,voleybol	34
voleybol,ve	34
ve,Fenerbahçe	34
fenerbahçe,hdı	34
hdı,sigorta	34
sigorta,erkek	34
erkek,voleybol	34
voleybol,takımlarımız	34
Top Replied-To in Entire Graph (Tüm grafikte en çok yayınlanan)	Entire Graph Count
Fbvoleybol	2
Fenerbahce	1
Senemtimuroglu	1
Kadikoybelediye	1
omar_madaniah	1
Top Mentioned in Entire Graph (Tüm Grafikte en çok bahsedilen)	Entire Graph Count
Heforsheturkiye	41
Fbvoleybol	33
Heforshe	4
Fenerbahce	2
Fpalali	1
Agnescallamard	1
Malala	1
e_nyamayaro	1
Usatoday	1
Reuters	1

Top Tweeters in Entire Graph (Tüm grafikte en iyi tweeter kullanıcıları)	Entire Graph Count
Reuters	487896
Usatoday	308182
Senolsa	244327
Jaketapper	205004
Npr	191612
kemalse93278913	123568
Ozanktarman	111363
enver_abi	103373
Hrw	96912
invincible1881	92781

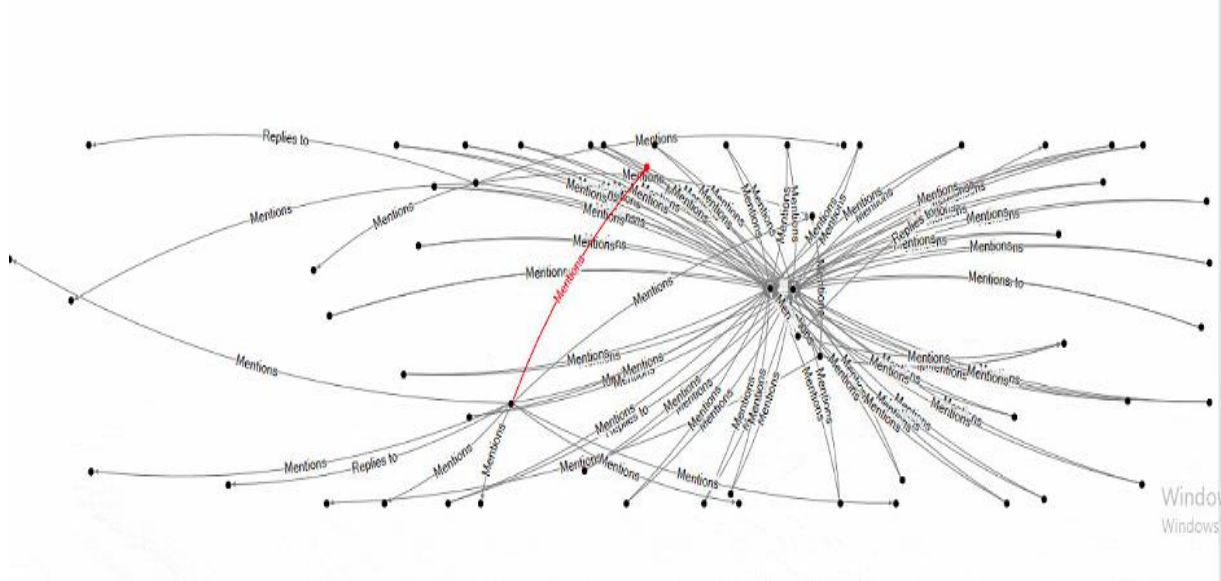
Grafik 1. Heforshe kampanyasının ağdaki düğüm(vertices) dağılımı



Grafik 2. Heforshe Kampanyasının Twitter Kullanıcılarına Göre Dağılımı



Grafik 3. Heforshe Kampanyasının Mentioned (en çok bahsedilen) ve Replied to (en çok yayınlanan) Dağılımı



4.5. Verilerin Değerlendirilmesi

Araştırmanın grafik ölçümünün değerlendirilmesi Araştırmanın grafik türü yönlü olarak —belirlenmiştir. Araştırmada ağlarda yer alan her bir düğüm bir Twitter kullanıcıını göstermektedir.

Derece dağılımı: (Degree distribution) bağlantıların yönleriyle ilgilidir. Kendi içinde “girdi derece dağılımı” ve “çıktı derece dağılımı” olmak üzere ikiye ayrılabilir. Bir düğümle gelen doğrular girdi (Input), düğümde çıkan doğrular çıktı (output) olarak sınıflandırılabilir.

Vertices: Ağımızda bağlantılı toplam 57düğüm bulunmaktadır.

Unique Edges: Benzersiz kenarları ifade etmektedir. 97 bağlantı arasından 91 tanesi tekrarlanmayan bağlantıdır.

Total Edges: Toplam kenar anlamına gelmektedir. Toplam 97 tane bağlantı vardır.

Self-Loops: Öz döngü anlamına gelir. Kendi içinde döngüsü olmayan bağlantı söz konusu değildir.

Reciprocated Vertex Pair Ratio: Karşılıklı düğüm çiftlerinin oranı 0'dır.

Reciprocated Edge Ratio: Karşılıklı kenar oranı 0'dır. Düğümlerin (kullanıcıların) birbirleriyle etkileşim halinde olduğu söylenemez.

Connected Components: Birbirleriyle bağlantılı (ilişkili) 1 tane kullanıcı olduğu söylenebilir. Ağ ilişkisinin (kullanıcılar arası ilişkisinin) zayıf olduğu anlamına gelir.

Single-Vertex Connected Components: Tek bağlantı sayısı 0'dır.

Maximum Vertices in a Connected Component: Heforshe hashtag' i için maksimum düğüm sayısı 57' dir.

Maximum Edges in a Connected Component: Maksimum kenar sayısı 97' dir.

Maximum Geodesic Distance (Diameter): Düğüm çiftleri arasındaki en uzun mesafe 4' tür.

Average Geodesic Distance: Ağımızın ortalama yarı çapı 2,37' dir. Düğüm çiftleri arasındaki mesafe olan 4, ağın yarı çapı olan 2,37' e yaklaştıkça bilginin daha çabuk yayılacağını anlayabiliriz.

Graph Density: Ağın yoğunluğu 0,02' dir. Potansiyel olarak oluşabilecek bağlantıların %4 ünün oluştuğunu ifade eder. Ağ yoğunluğu 1' e yaklaştıkça tam ağ olmaya yakınlaşacağını, bağlantının maksimuma doğru gideceği anlamına gelir.

Araştırmada HeforShe etiketiyle Twitter üzerinde NodeXL programı kullanılarak yapılan arama sonucunda toplamda 97 (Edges) bağlantıya ulaşılmıştır. Belirtilen süre içinde yapılan arama sonucunda ise 57 (vertices) düğümün yer aldığı görülmektedir. NodeXL aracılığı ile gerçekleştirilen HeforShe kampanyasının analizinde geniş yelpazeye sahip olmayan bir hashtag kullanıldığı için verilerin analizinde elde edilen ağ grafiğinin zayıf olduğu ve istatistiksel ölçüm sonuçlarının ise küçük olduğu sonucuna varılmıştır. Çalışmada elde edilen söz konusu veriler bağlamında Türkiye gibi cinsiyet eşitliği sorununa ilişkin önemli tartışmaların yaşandığı bir ülkede söz konusu sonuçların kampanyanın iletişimiyle mi, konuya olan toplumsal duyarlılık düzeyiyle mi yoksa Twitter kullanıcılarının cinsiyetlerinin oransal dağılımıyla mı ilgili olduğunun sonraki çalışmaların sorunsal olabileceği sonucuna ulaşılmıştır.

5. SONUÇ

İşletmeler, bir yandan kurumsal sosyal sorumluluk projelerinin amacına ulaşabilmesi, diğer taraftan kurumun iletişim hedeflerine katkı sağlayabilmek amacıyla kurumsal sosyal sorumluluk projelerinin iletişimine gereksinim duymaktadır.

Nitekim Bortree'ye göre (2014) küreselden yerele dünyanın hemen her yerinden işletmeler, paydaşlarını topluma ve çevreye olan katkıları konusunda bilgilendirmek için kurumsal sosyal sorumluluk girişimleri hakkında iletişim kurmaktadır.

Birleşmiş Milletler Bin Yıl Kalkınma Hedefleri kapsamında yer alan, toplumsal gelişmişlik düzeyiyle de ilişkili olan cinsiyet eşitliği sorununun 21. Yüzyılda bile tartışılıyor olması, hem HeForShe projesinin, hem de projenin iletişiminin önemini ortaya koyar niteliktedir. Dijital iletişim ortamlarının güçlenmesi ve yaygınlaşmasıyla kurumsal sosyal sorumluluk projelerinin iletişimi, dijital iletişim platformlarına taşınırken Myers, Sharma, Gupta, Lin' nin ifadesiyle "hibrit yapısıyla Twitter" ın bu konuda önemli bir işlev üstlenebileceği söylenebilir.

Çalışmada elde edilen veriler ışığında, Birleşmiş Milletler tarafından başlatılan ve Dünya genelinde 2.203.297 kişi tarafından desteklenen, Türkiye' de Koç Holding öncülüğünde yürütülen HeForShe projesi' nin global bir proje olarak aktif olduğu ülkelerde sosyal medya hesapları bulunmaktadır. Proje kapsamında dijital platformların etkileşime olanak tanıyan özelliğinden yararlanılmış, <https://www.heforshe.org/tr> bağlantısından web sayfasına giriş yapılarak aktif olan hesaplar ile "destekliyorum" butonuna basılarak hareketin desteklenmesine ve katılımcı sayısının artırılmasına da olanak sağlanmıştır. Ancak kampanyanın web sayfasında 2.203.297 destekleyeni olması, 1.3B sosyal medya bildirim ve 1.7M HeForShe Desteği alması ve 1.1.K HeForShe Topluluk etkinliği olmasına karşın, Türkiye HeForShe resmi Twitter hesabında 12.3B takipçisi, HeForShe genel kurumsal hesabında ise 355.4 B takipçi bulunmaktadır. 2020 yılı itibarıyla dünyada 340 milyon,

Türkiye’de 11.8 milyon aktif Twitter kullanıcısı (Wearesocial, 2020) olduğu göz önünde bulundurulduğunda projenin takipçi sayısının düşük olduğu söylenebilir.

Bununla birlikte, Türkiye temsilcisi olarak Koç Holding ve Fenerbahçe takımı takipçilerinin projeye ilgili hashtaglere destek verdiği görülmektedir. Araştırmanın yapıldığı süre içerisinde oynanan Fenerbahçe erkek voleybol takımı maçının olduğu tarihte etkileşimin arttığı görülmektedir (heforsheturkiye 41 ve Fbvolleybol 33 ile ağda en fazla bahsedilen ikili olarak görülmektedir). Bu durum Fenerbahçe taraftarının proje olan desteği ile ilişkilendirilebilir.

Twitter takipçi sayısı ve etkileşimi yüksek hesaplardan yapılan paylaşımlar ve hashtagler daha fazla insana ulaşabilmektedir. Ayrıca yüksek arasındalık değerine ve sosyal ağda gerçekleştirilen paylaşımlar üzerinde yüksek bir kontrol gücüne sahip olan kullanıcılar bilgilerin dağılımında önemli bir role sahip olup, eşik bekçisi işlevi görmektedir. Bu çalışma kapsamında, Reuters adlı twitter hesabının 487896 takipçi sayısı ile, bu işleve sahip hesapların başında geldiğini söylemek mümkündür. Çünkü Reuters adlı hesap tarafından yapılan paylaşımların HeForShe projesinin etkileşim oranını arttırdığı görülmektedir.

Çalışma kapsamında elde edilen veriler sonucunda bir kurumsal sosyal sorumluluk projesinin hedefini gerçekleştirebilmesinin ulaşabileceği kişi sayısı ve yaratabileceği farkındalık ile de ilişkili olması nedeniyle, Twitter’ın yayılım hızının bu bağlamda önemli bir işlev göreceği söylenebilir. Diğer taraftan kurumsal sosyal sorumluluk projelerinin iletişimde Twitter’dan yararlanıldığında NodeXL vb. programlarla gerek sosyal ağlardaki hareketlere ulaşılabilmesi, gerekse etkileşim konusunda anlamlı verilerin elde edilebileceği görülmüştür. Bu nedenle kurumsal sosyal sorumluluk projelerinin dijital iletişimi bağlamında yapılacak Twitter analizinin, kampanyaların değerlendirilmesine de katkı sağlayacağı sonucuna ulaşılmıştır.

KAYNAKÇA

- Aldahdouh M.M. ve Aldahdouh R.M. (2019). Social media network analysis with nodexl, International Journal of Innovative Research in Computer and Communication Engineering 55(55):6.
- Balta Peltekoğlu, F. ve Demir Askeroğlu, E. (2020), Dijital Ortamda Kurum İçi İletişim: İşletmelere Yönelik Bir Araştırma , Türkiye İletişim Araştırmaları Dergisi, Sayı/Issue: Online First ss/pp. 1-18 • ISSN: 2630-6220 DOI: 10.17829/turcom.693378
- Balta, Peltekoğlu, F. ve Tozlu, E . (2018). Kurumsal Sosyal Sorumluluk Kampanyalarının Dijital Paydaşları; Sosyal Medya Fenomenleri . Erciyes İletişim Dergisi , 5 (4) , 285-299 . DOI: 10.17680/erciyesiletisim.421085
- Bortree, D.S. (2014). The State of CSR Communication Research: A Summary and Future Direction. Public Relations Journal, 8(3). Available online: <http://www.prsa.org/Intelligence/PRJournal/Vol8/No3/2>
- Brown, R. (2009). Public Relations and The Social Web How to use social media and web 2.0 in communications, Kogan Page, London and Philadelphia.
- Güz, N., Yegen, C. ve Aydın, B. O. (2019). Dijital Propaganda ve Politik Başarı: 24 Haziran 2018 Cumhurbaşkanlığı Seçiminin Twitter Analizi. Erciyes İletişim Dergisi, 6 (2), 1461-1482. DOI: 10.17680/erciyesiletisim.52254
- Hakim C. ve MS D. (2018). The Impact of Corporate Social Responsibility (Csr) and Customer-Based Brand Preference on Perceived Brand Quality Case Study on Customers Cctv, Journal of International Conference Proceedings, <http://ejournal.aibpm.org/index.php/JICP/issue/view/14>, <https://doi.org/10.32535/jicp.v1i1.190>
- He, Y. ve Lai, K.K. (2014). The effect of corporate social responsibility on brand loyalty: the mediating role of brand image, Total Quality Management & Business Excellence, 25:3-4, 249-263, DOI: 10.1080/14783363.2012.661138
- Lai, C., Chiu, C., Yang, C. vd. (2010). The Effects of Corporate Social Responsibility on Brand Performance: The Mediating Effect of Industrial Brand Equity and Corporate Reputation. J Bus Ethics 95, 457–469 (2010). <https://doi.org/10.1007/s10551-010-0433-1>
- Myers S.A., Sharma A. Gupta P., Lin J. (2014). Information network or social network? the structure of the twitter follow graph, WWW '14 Companion: Proceedings of the 23rd International Conference on World Wide Web, Seoul, Korea. ACM 978-1-4503-2745-9/14/04. <http://dx.doi.org/10.1145/2567948.2576939>.
- Neal, Z., Borgatti, S. P., Everett, M. G., & Johnson, J. C. (2013). Analyzing Social Networks, The Journal of Mathematical Sociology, 39:3, 221-222, DOI: 10.1080/0022250X.2015.1053371
- Nicoli, N. ve Komodromos, M., (2019), "CSR Communication in the Digital Age. The Case of The Bank of Cyprus", in Cases on Corporate Social Responsibility and Contemporary Issues in Organizations, Antonaras Alexandros and Dekoulou Evi (Eds.), IGI Global, Pennsylvania
- Pelsmacker, P.D. vd. (2001). Marketing Communications, England: Prentice Hall.
- Safko L., (2010). The Social Media Bible Tactics, Tools, and Strategies for Business Success, Published by John Wiley & Sons, Inc., Hoboken, New Jersey.
- Smith M.A., Shneiderman B., Milic-Frayling N., Rodrigues E.M., Barash V., Dunne, C., Capone T., Perer A., Gleave E., (2009). Analyzing (social media) networks with NodeXL, Proceedings of the Fourth International Conference on Communities and Technologies, C&T 2009, University Park, PA, USA, June 25-27, 2009, DOI:10.1145/1556460.1556497

Tüzüntürk S. ve Eteman Sert F., (2014) NodeXL ile Sosyal Ağ Analizi: #akademikzam Örneği Social Network Analysis with NodeXL: Example of " #akademikzam, Ekonometri, Yöneylem Araştırması ve İstatistik Sempozyumu, Vol.15, ss.464-482.
We Are Social (2020). Dijital in 2020, <https://wearesocial.com/digital-2020>, 22.08.2020.
2015, <https://www.koc.com.tr/tr-tr/koc-gundem/basin-odasi/PressRelease/HeForShe-Basin-Bulteni-04-Mart-2015.pdf>

Hipnozun Pazarlamada Kullanımı

Fırat ŞAHİNYILMAZ¹

¹fsahinyilmaz@hotmail.com, ORCID: 0000-0002-1822-741X

Özet: 18. yüzyılda Avrupa’da gerçekleşen ve 19. Yüzyıla kadar uzanan sanayi devrimi neticesinde oluşan üretim artışı sanayi devrimi öncesinde olduğu gibi rahat bir şekilde tüketilememiş ve ürettiğini tüketen toplum yapısından ihtiyaçlarını tüketen yapıya doğru şekillenmiştir. İmal edilen ürün ve hizmetlerin satışlarının rakiplerin fazlalığı neticesinde sorlaşmasından sonra pazarlamanın farklı tanım ve modelleri ortaya çıkmıştır. Günümüzde firmaların içerisinde yer aldığı yoğun rekabet ortamında sürekli değişen pazar koşullarına göre ürünün ambalaj ve tasarımının, genişleyen tüketici profilinde farklılaşan yaşam standartlarının bir belirtisi olmuştur (Ünker, 2012, <http://umitunker.wordpress.com>, E.T. 07.05.2018).

Hipnozu “Hipnotist tarafından verilen telkinlere hipnoz olmak isteyen diğer kişinin algılama, hafıza ve istemli hareketlerinin sosyal etkileşimi” olarak tanımlayabiliriz. Hipnoz Soyut bir kavramdır ve bir şekli yoktur. Kişiye verilen telkinlerin nöropazarlama teknikleri ile incelenmesi neticesinde satış ve pazarlamada hipnozun kullanılmasının ölçülebileceği düşünülebilir. Hipnoz giriş cümlelerinden sonra telkine açılmış olan kişiye dopamin salgılayabilen unsurlarla birlikte ürün ya da hizmet telkinlerinin verilmesi hipnozla birlikte satış gerçekleştirilmesine dönüşebilir.

Anahtar Kelimeler: Hipnozla Satış, Hipnozla Pazarlama, Hipnoz Ve Nöropazarlama

Abstract: The increase in production that occurred as a result of the industrial revolution in Europe in the 18th century and extending to the 19th century could not be consumed comfortably as before the industrial revolution, and was shaped from the social structure that consumes what it produces to the structure that consumes its needs. Different definitions and models of marketing emerged after the sales of manufactured products and services were questioned as a result of the excess of competitors. Today, in the intense competitive environment where companies are involved, packaging and design of the product according to the constantly changing market conditions have been a sign of different living standards in the expanding consumer profile (Ünker, 2012, <http://umitunker.wordpress.com>, E.T. 07.05.2018).

We can define hypnosis as "the social interaction of perception, memory and voluntary movements of the other person who wants to be hypnotized to the suggestions given by the hypnotist". Hypnosis is an abstract concept and has no shape. It can be thought that the use of hypnosis in sales and marketing can be measured as a result of examining the suggestions given to the person with neuromarketing techniques. After the hypnosis introduction sentences, giving the product or service suggestions with the elements that can release dopamine to the person who has been suggested can turn into a sale with hypnosis.

Key Words: Hypnotic Selling, Hypnotic Marketing, Hypnosis And Neuromarketing

1. GİRİŞ

İnsanoğlu doğduğu andan itibaren tüketmek zorunda olan bir canlıdır. Buradaki zorundalıktan kasıt canlının yaşaması ve üremesi için gerekli olan minimum tüketimdir. İhtiyacı olmadığı halde kullanmanın insanoğluna verdiği özgüven ve mutluluk hissinin sebebi kodlanmışlık olabilir. Örneğin cebimizde taşıdığımız cep telefonun aynı teknik özelliklere sahip iki farklı markadan, özelliklerin birçoğunu kullanmadığımız halde pahalı olan markayı seçme sebebimiz ne olabilir? İnsanoğlu tüketim işlevini doğada bilinçli olarak eyleme dönüştüren tek canlıdır (Akgün, 2008: 4). Satış ve pazarlama teknikleri sayısı azımsanamayacak kadar fazladır ve bu teknikler giderek artmaktadır. Rekabetin getirdiği koşullar neticesinde sürekli olarak fark yaratmak zorunda kalan işletmeler satış teknikleri çerçevesinde hipnozla satış tekniklerini de aktif olarak kullanmayı düşünebilir. İnsan beyninin istemsiz olarak algılayıp otomatik olarak bilinçli görünen tepkiler vermesi günümüzde bilimsel olarak kanıtlanmıştır. Bu çalışma hipnoz ve pazarlama konularını ayrı ayrı ele alarak birlikte kullanılabilmesinin olasılığı üzerinedir.

2. HİPNOZ

2.1. Hipnoz Nedir?

Hipnozun tam bir tanımı olmayan, ancak günümüzde hala fenomen olan durumdadır. Yine de hipnozu şu şekilde “Hipnotist tarafından verilen telkinlere hipnoz olmak isteyen diğer kişinin algılama, hafıza ve istemli hareketlerinin sosyal etkileşimi” olarak tanımlayabiliriz. Tabii hipnozun gösterilebilir bir şekli yoktur. Soyut bir kavramdır.

Hipnozun Kısa Tarihi: Eski zamanlarda yaşayanlar sihir, gizemli büyüler, unutma, unutturma yüzükleri, aşk için macun ve iksirlerin yanı sıra muska ve falların yönlendirdiği bir yaşamı kabul etmiş olmaktadır. İlkel insan için mevsim geçişleri, gece ve gündüzün hareketliliği, gök gürültülü şimşek ve yıldırımlar hatta ölüm bile gizem doluydu ve büyü her yerdedi.

Örneğin tamtamin büyüleyici bir ritmi vardı ve bu ritimden dini ayinlerde yararlanıldı. Bu titreşimler konuya inanan insanları daha çok etkilemekteydi. Papazlar zamanlarının şifacı, bilgin ve önde gelen seçkin kişilerdi.

Örneğin telkinle şifa verme işleri Azteklerde, Budizm’de, Brahmanizm’de, eski Mısır ve Yunanistan’daki uyku tapınaklarında dahi kullanılmıştır. Yine örnek olarak Thebe de bulunan bir papirüste “elini acısını dindirmek istediğin hastanın üzerine koy ve acısının dinmesini iste” şeklinde bilgiler bulunmaktadır (Okur, 2014: 24).

3. PAZARLAMA -NÖROPAZARLAMA

3.1. Pazarlama

1970’li yıllardan önce pazarlamanın tanımı kar amacı güden işletmelerin ürünlerini ve ya hizmetlerini kazanca çevirme çabaları olarak düşünülmekteydi. Birinci dünya savaşından sonra hızla sanayileşmenin getirdiği yığın üretimin önem kazanması neticesinde üretim sorun olmaktan çıkmış ancak üretimin fazlaşmasının getirdiği satış ve dağıtım sorunları ortaya çıkmıştır. Bu bağlamda pazarlamanın tanımı üreticinin ürünlerini tüketicilere doğru akışını sağlayan işletme faaliyetleri olarak düşünülmüştür. Son dönemlerde ise tüketicinin önemi anlaşılmış ve pazarlamanın bir dizi faaliyet olduğu ortaya çıkmıştır. Önümüzdeki süreçte bu faaliyetlerin içinde hipnoz da sayılabilir.

3.2. Nöropazarlama

Nöropazarlamayı kısaca tüketici davranışlarının nörobilim teknikleri ile incelenmesi olarak tanımlayabiliriz. Beyinden farklı yöntemlerle alınan verilerin pazarlama biliminde kullanılmak üzere işlenmesi ile çıktılar değerlendirilmesi mümkün olabilir. Nöropazarlama çalışmalarında sıklıkla kullanılan EEG (elektroensefalogram) adında saçlı deriden beyindeki elektriksel aktiviteleri zamansal çözünürlüğü çok yüksek olarak ölçebilen bir cihaz kullanılmakta. Bu cihaz saniye 1000 ölçüm alabilen ve gelen elektrik aktivitesinin uzaysal anlamda net olmasa da yerini aşağı yukarı belirleyebilen bir cihaz olarak düşünülebilir. Konu ile alakalı ölçümler yapıldığında ilgi, heyecan, bellek ve kafa karışıklığı gibi uluslararası kabul görmüş sonuçları alınabilecek ve çıktılar verebilen bir cihaz olarak düşünülebilir. Bu bilgiler ışığında hipnozun satış ve pazarlama etkileri nöropazarlama cihazlarında geribildirimler alınarak ölçülebilir hale gelebilir.

Bellek ve İşleyiş:

Belleğin işleyiş aşamalarını 60’lı yılların sonunda Atkinson ve Shiffrin bilgi işleme kuramı ile ortaya koymaya çalışmıştır. Bu kurama göre belleğin yapısı üç farklı depolama kısmından oluşur. Bunlar duyuşsal kayıt, uzun süreli depolama ve kısa süreli depolamadır. Depo denilen bu bölümlerin her biri farklı bilişsel kodları oluşturabilir. İşte bu noktada uzun süreli bellek geçmişe yönelik bilgileri anlık olarak karar verebilmek için işleyerek kullanımımıza sunar. Bu bağlamda unutmaya direnmenin tartışmasız bir yolu ilk defa öğrenme seviyesinin en yüksekte tutulmasıdır (Nurdoğan, 2000: 24).

Hedef Belirleme:

Dilemek ne yapacağınız anlamına gelebilir. Hedefler koyup kendi kendinize telkinde bulunmanız dilekelerinizin gerçekleşmesi için yol kat etmenize yardımcı olabilir. Bu konu Dr. Edwin LOCKE tarafından 1960’ların sonlarına doğru hedef belirleme ve motivasyon üzerine yaptığı öncü araştırmalar sonucunda kanıtlanmıştır (Austin, 2017: 24). Eğer kendinize asla fikir üretemeyeceğinizi söylerseniz asla fikir üretemezsiniz. Tam tersi, her gün fikirlerle dolu olduğunuzu, fikir fıskırdığınızı düşünürseniz pınardan fıskıran su gibi fikir fıskırdığını düşünürseniz gerçekten de aklınıza birçok fikir gelebilir (Foster, 2005: 49). Bu konuda kendi kendine telkin vermekle alakalıdır. Bir çeşit otohipnoz olarak düşünülebilir.

Firma Ürünlerinin Hedef Olarak Konulabilmesi:

Özellikle lüks markaları kabaca incelersek kendilerine ulaşılabilmeyi hedef tahtasına oturtmak olarak pozisyon alma çabasıdır. Reklamlar ve özellikle imaj reklamları bilinçaltımıza inanılmaz derecede tesir ederek markanın ürününün elde edilmesi için çaba sarf edilmesine yol açabilir. Sürekli karşımıza çıkan video reklamlarına farklı bir gözle bakalım. Dış sesin neler söylediği, o markanın ürününü kullanan kişinin karşı cins

tarafından nasıl algılandığı, hatta alfa konumuna geçtiği algısı yaratılmakta. Hipnozda da durum aynı değil mi? Bilinçaltına telkinde bulunarak duygu ve davranış değişikliği sağlanması amacı taşıdığı düşünülebilir.

Şöyle bir düşününce belki de senede bir tek sefer Ferrari ya da Lamborghini marka otomobili görme şansı olanların, hangi aracın daha iyi olduğuna dair tartıştıkları olmuştur. Lüks tüketim ürünlerinin bariz şekilde hedef olması, ihtiyaçlar hiyerarşisinde en üstte olabilecek ürünler içinde geçerlidir. Aynı işi görüyor olan ürünlerin pahalı olanı ya da yazı tipografisinin gazetelerde her zaman görebileceğimiz yazı tipi değil de el yazısıyla yazılmış olanları bile fiyat olarak pahalı, kalite olarak iyi algısı oluşturduğu bilinen gerçekler.

Kolunda sürekli saat taşıyarak zamanı ölçümlemek için saate bakan kişinin kolundan saati çıkarmasını rica edip saatin resmini çizmesini istediğinizde çoğu kişinin saatinin tam bir resmini doğru dürüst çizemediğini görebilirsiniz. Saatin detaylarına değil, kadranına bakmaktayız. Ancak saatin pahalılığı o saatin takıldığına giyilmiş biliş olarak insana ayrıca bir özgüven hali aşılayabilir. Bir düşünün, detayına bakmadığımız, aynı işi gören çok ucuzlarının olmasına rağmen neden pahalısını kolunda taşıyan insana özgüven verebilir (Canan, 2020: 153).

Üzerimize giydiğimiz giysilerin, herhangi bir objeye baktığımızda etrafındakilerin ve o an için gereksiz görünen tüm bilgi sistemini süzen bir yapı var beynimizde. Bu yapının karar alma aşamasında inanılmaz derecede etkili olabileceği düşünülmekte. Dünyaca ünlü markaların reklamlarında ürünlerini sunuş şekilleri baktığımızda inanılmaz telkinlerin verildiği gözlenebilir. Örneğin bir içecek firmasının ramazan sofralarında yeri olması, aynı içecek firmasının asi gençlerin içip bitirdikten sonra kutusunu eliyle sıkıp fırlatması mesajları düşünülebilir. Oysa bizim kültürümüzde bir bardak su verildiğinde su verenlerin çok olsun dendiği günlerden geldiğimizi dip not olarak ayrıca düşünülmesi gereken bir konudur. Firmalar bu şekilde imaj reklamlarında kullandıkları rol modeller, izleyiciye verdikleri dış ses ile telkinler neticesinde pazarlama safhasında önemli bir avantaj elde edebilir.

Beynimizle ilgili temel bir kural vardır. Kullan ya da kaybet. Vücudumuz en verimli şekilde çalışabilmek için ihtiyacı olmayan tüm faaliyetleri kısar ve enerjiyi uzun sürede tüketmeye çalışır. Bu temel bilgi ile içsel farkındalıkla ilgili bir deneyim yaşamıyorsak dahi dışarıdan anlık olarak aldığımız ve limbik sistemin süzdüğü verileri bilinçaltına kaydediyor olabilir. Hipnozdaki telkinlere benzer bir durum gibi düşünülebilir.

Amerikan mahkemelerinde hipnozla ilgili çıkmış önemli bir karar vardır. Hipnoz altında kişi cinayet işleyemez. hipnozlu halde dahi olsa kişiye istemediği bir şeyi yaptırmanın mümkün olmadığı düşünülmekte. Yine Amerikan senatosunun almak zorunda kaldığı bir karar Amerikan televizyonlarında şiddetin seviyesinin azaltılması ve içinde şiddet olan filmlerin film başlamadan önce izleyiciyi bilgilendirmesi şeklindedir. Şiddet olaylarının yükselmesi ile şiddet filmlerinin sayısının yüksek olmasının paralellik gösterdiği düşünülmektedir.

4. SONUÇ

Hipnoz yöntemlerinden biri hipnoz olmak isteyen kişinin ayak başparmaklarını düşünmesi ile başlar. Hipnotist şu cümleleri “Dikkatini ayak parmaklarına ver, ayak parmakların tümü ile rahatlasın” kurabilir. Bu cümlede yukarıda bahsettiğimiz elbiselerimizin bize geldiğini, ayak parmaklarımızın olduğunu ancak anlık olarak aklımızda olmayan durumu hatırlamamızı sağlar ve artık süzme sistemi geçici olarak tamamen faaliyette değildir. Ayak parmaklarının her biri gevşek ve iyice ağırlaşıyor” diye devam edebilir hipnoz giriş cümleleri. Bu giriş cümleleri yavaş yavaş ayak bileklerine, diz kapaklarına bacaklara bele sırtta doğru gider. Artık süzme sistemi telkinlere tamamen açık hale gelmiştir. Bu kısım önemli çünkü insanın kendisi istemeden telkinlere bu derece açık hale gelemeyeceği düşünülmektedir. Belirli bir sürekliliğin gerekebileceği düşünülmektedir hipnozu gerçekleştirebilmek için.

Satış ve pazarlamada hipnozun kullanılması konusunda şu bilgilerin harmanlanmasından faydalanıla bilinir. EEG ile alınan ölçümlerde insanın farkında olmadan herhangi bir konuda karar almasından önce, zaten beynin bu kararı önceden almış olabileceği düşünülmekte. 1938 yılında Benjamin LIBET adlı nörofizyoloğun LIBET deneyi adıyla bilinen araştırması bu bağlamda düşünülebilir. Libet herhangi bir karar verilmeden önce EEG cihazı ile kararın daha önceden beyin aktiviteleri ile alındığını ölçmüştür.

Dopamin salgılamasına neden olabilecek davranışların tamamının tekrarlanma olasılığı artabilir. Yemek yeme, üreme, güvenlik önlemlerinin olduğu alanlar, konforun yüksek olduğu yerler ve ödüllü sürprizler gibi durumlarda fazlaca dopamin salgılanabilir (Canan, 2020: 23).

Nöropazarlama teknikleri ile ölçümler alınarak hipnoza giriş teknikleri kullanılıp telkinlerle markanın hizmet ya da ürününün beğeni durumları ölçülebilir. Örnek olarak bilinçaltı kodlamanın aktif hale gelmesinin akabinde

firmanın güvenli olduğu, (güvenlik dopamin salgılatan durumlardan biri olabilir) hizmet kalitesinin yüksek olduğu ve konforlu yaşam için tercih sebebi olabileceği düşünüldüğünde hipnoz teknikleri ile satış ve pazarlamanın gerçekleştirilebileceği düşünülebilir.

KAYNAKÇA

- Akgün, V. Ö. (2008). Modern alışveriş merkezlerinin tüketici davranışları üzerindeki etkisi ve Konya İlinde bir uygulama, Selçuk Üniversitesi, Doktora Tezi
- Okur, V (2014). 3. Basım, Gizemli Güç Hipnoz, Elma Yayınları
- Rigel, N (2000) 1. Basım, Rüya Körleşmesi, Der Yayınları
- Austin, V (2017) 1. Basım, Otopnoz, Ganj Kitap
- Foster, J (2019) 8. Basım, Fikir Nasıl Bulunur?, Mediacat Kitapları
- Canan, S (2020) 1. Basım, İFA 2. Kitap İkişkilere ve Stres, Tuti Kitap

Servet Bileşenlerinin Gelir Dağılımı Üzerindeki Etkisi

Güray AKALIN¹

Ercan YAŞAR²

¹ Dumlupınar Üniversitesi, İİBF, İktisat Bölümü, 43100 Kütahya, Turkey. E-mail: guray.akalin@dpu.edu.tr, Tel: +90 4432154, ORCID: 0000-0002-6647-5418.

² Dumlupınar Üniversitesi, İİBF, İktisat Bölümü,, 43100 Kütahya, Turkey. E-mail: ercan.yasar@dpu.edu.tr, Tel: +90 4432134, ORCID: 0000-0002-9471-4068.

Özet: Net servet birikimi kişilerin finansal varlıkları ile finansal olmayan varlıklarının toplamından borçlarının çıkarılması sonucu elde edilir. Servet bileşenlerinin gelir dağılımı üzerindeki etkisini incelemek, gelir dağılımı adaletsizliğini önlemeye yönelik geliştirilecek politikaların etkinliği açısından kritik öneme sahiptir. Buradan hareketle bu çalışmada, hane halkı servet bileşenlerinin gelir dağılımı üzerindeki etkileri 57 ülkede, 2000-2017 dönemi için İki Aşamalı Sistem-GMM yöntemi ile araştırılmaktadır. Ampirik modelde, gelir dağılımı eşitsizliğini temsilen Gini katsayısı, servet bileşenleri olarak ise, finansal ve finansal olmayan servet ve borç değişkenleri kullanılmaktadır. Çalışmanın bulguları şöyledir: i) Gini katsayısının gecikmeli değeri, Gini katsayısının önemli bir açıklayıcısıdır, ii) Finansal olmayan servetteki artışlar gelir dağılımı eşitsizliğini azaltmaktadır, iii) Finansal servet ve yetişkin başına borcun gelir dağılımı üzerinde bozucu bir etkisi vardır, iv) İşsizlik ve 2008 kriz kuklasının da gelir dağılımı üzerinde olumsuz etkisi olduğu görülmektedir. Bu sonuçlar gelir dağılımı adaletini sağlamaya yönelik uygulanacak politikalar açısından, servet bileşenlerinin göz önünde bulundurulması gereken önemli değişkenler olduğunu göstermektedir.

Keywords: Gini, Finansal servet, Finansal olmayan servet, Sistem GMM.

The Effect of Wealth Components on Income Distribution

Abstract: Net wealth accumulation is equal to the sum of financial assets and non-financial assets of individuals, minus their debts. Examine the impacts of wealth components on income distribution are critical for the effectiveness of policies to be developed to prevent income inequality. From this point of view, we investigate the impacts of household wealth components on income distribution in 57 countries for the period 2000-2017 by using the Two-Stage System-GMM method in the study. The Gini coefficient is used as the indicator of income inequality, and financial and non-financial wealth and debt variables are used as wealth components in the empirical model. The findings of the study are as follows: i) The lagged value of the Gini coefficient is an important regressor of the Gini coefficient, ii) An increase in non-financial wealth reduces income inequality, iii) Financial wealth, and debt per adult have a detrimental impact on income distribution, iv) It is observed that the unemployment and 2008 crisis dummy also have a detrimental effect on income distribution. These results show that wealth components are important variables to be taken into account in terms of policies to be implemented to mitigate the income distribution gap.

Key Words: Gini, Financial wealth, Non-financial wealth, System GMM.

1. GİRİŞ

Gelir dağılımındaki adaletsizlik, ekonomik büyümenin refahı artırıcı etkisinin toplumun geniş kesimlerine yayılmasını engellemektedir. Gelir dağılımı sadece toplumsal refah ile değil sosyal barış ve istikrar, sürdürülebilir iktisadi büyüme ve yoksulluk ile de doğrudan bağlantılıdır (Barro, 2000; Naschold, 2002; Stiglitz, 2015). Genel ekonomik eşitsizlikleri en iyi yansıtan göstere olarak kabul edilen gelir dağılımındaki eşitsizlikler; küreselleşmeden (Heimberger, 2019; Jaumotte, Lall, & Papageorgiou, 2013; Melchior, Telle, & Wiig, 2000), evlenme yaşı, hane büyüklüğü ve benzer eğitim ve sosyal statü geçmişine sahip insanlarla evlenme eğiliminin artması gibi sosyal değişikliklerden (Lam, 1997), yolsuzluk ve demokrasi gibi kurumsal faktörlerden (Akalin & Uzgören; Muller, 1988; Perera & Lee, 2013), yarı zamanlı çalışmadaki artış ve sendika üyeliğindeki düşüş gibi iş yaşamındaki değişikliklerden (Chu, Kou, & Liu, 2018; Herzer, 2016) ve hükümetler tarafından izlenen vergi ve yeniden dağıtım politikalarından etkilenmektedir. Örneğin, küreselleşme ile artan teknoloji yayılımı geleneksel eski işleri yok ederek ve yerlerine yenilerini yaratarak, yüksek vasıflı işçileri daha değerli hale getirirken, bazı orta ve düşük vasıflı işçiler ise işlerini kaybedebilmektedir. Bu ise sermaye ile emek arasındaki gelir dengesinin değişmesine yol açmaktadır (Acemoglu, 2002).

Üretim faktörlerinin karşılığı olarak elde edilen gelirler (ücret, faiz, rant ve kar) üzerinden hesaplanan gelir dağılımı eşitsizliğini etkileyen bir diğer önemli faktör ise net servettir. Genel anlamda servet bir kişinin veya bir

hane halkının, sahip oldukları mal varlıklarıyla ölçülmektedir. Servet olarak sayılan varlık türleri; arazi, gayrimenkul, tarımsal varlıklar, taşıtlar, nakit tasarrufları, hayat sigortası birikimleri, emeklilik fonları ve kişisel mülkleri kapsamaktadır (Staunton, 2015). Net servet ise finansal ve finansal olmayan varlıkların toplamından borçların çıkarılmasıyla elde edilmektedir ve insanların günlük ekonomik güçlerinin göstergesi olan gelirle güçlü bir ilişki içerisinde. Örneğin yüksek gelir elde eden kişiler, daha fazla tasarruf yapma eğilimindedirler ve bunun sonucunda daha fazla net servet biriktirmektedirler (Yaşar & Yaşar, 2017). Gelirin servet yaratma özelliğinin yanı sıra, servetin de gelir yaratma özelliği vardır. Bu kapsamda, servet bir yatırım kaynağı olduğu için, net servetteki değişimler, yatırım fırsatlarından yararlanma konusunda bireyler arasında ciddi farklılıklara yol açarak, gelirlerin farklılaşmasına yol açabilmektedir (Brian, 2015). Diğer taraftan daha fazla servet sahibi olanlar varlık fiyatlarındaki dalgalanmaların yarattığı fırsatlardan servet sahibi olmayanlara göre daha fazla yararlanma imkânlarına sahiptirler. Örneğin konut fiyatlarındaki dalgalanmalar sırasında finansal olmayan servetlerini finansal servete çevirerek sadece servetlerini değil gelirlerini de arttırabilmektedirler.

Net servet ile gelir eşitsizliği arasında güçlü bir ilişki olmasına rağmen, net servetin gelir dağılımı üzerindeki etkisini incelemek bazı önemli detayların gözden kaçırılmasına yol açabilir. Zira, net servetin finansal ve finansal olmayan servet ve borç bileşenleri bulunmaktadır ve her bir bileşenin gelir dağılımı üzerindeki etkileri farklı yönde ve farklı büyüklükte olabilir. Bu nedenle gelir dağılımı araştırmalarında net servet yerine servet bileşenlerinin her birinin gelir dağılımı üzerindeki etkilerinin ayrı ayrı analiz edilmesi, gelir dağılımı eşitsizliğini azaltmaya yönelik daha tutarlı ve etkin politikaların oluşturulmasına yardımcı olabilir. Buradan hareketle bu çalışmanın amacı hane halkı net servet bileşenlerinin gelir dağılımı üzerindeki etkilerini seçilmiş 57 ülkede, 2000-2017 dönemini kapsayan yıllık verileri kullanarak İki Aşamalı Sistem-GMM yöntemi ile araştırmaktır. Bilindiği kadarıyla bu çalışma net servet bileşenlerinin gelir dağılımı üzerindeki etkisini inceleyen ilk çalışmadır. İlgili literatürün görece sessiz olmasının temel nedeni; yakın zamana kadar servet ve bileşenlerine ilişkin veri setlerinin ülke bazlı karşılaştırmalar yapmaya izin verecek kalitede olmamasıdır. Bu boşluğu, Credit Suisse Araştırma Enstitüsü, 2000 yılından itibaren her yıl yayınladığı “Küresel Servet Raporları” ile doldurmaya çalışmakta ve bu alanda öncü bir rol oynamaktadır. Küresel Servet Raporları’nda “net servet birikimi” kişilerin finansal varlıkları ile gayrimenkul gibi finansal olmayan varlıklarının toplamından borçlarının çıkarılması sonucu elde kalan miktar olarak tanımlamakta ve net servetin yanı sıra üç bileşene ait veri de açıklanmaktadır. Çalışmanın geri kalanı şu şekilde organize edilmiştir: giriş bölümünü izleyen bölümde gelir dağılımı ve net servet bileşenleri arasındaki teorik ilişki ele alınmıştır. Daha sonra model özellikleri açıklanmış ve kullanılan veri seti ve değişkenler tanımlanmıştır. Son bölümde ise çalışma politika sonuçlarıyla özetlemiş ve sonuçlandırılmıştır.

2. SERVET BİLEŞENLERİ VE GELİR DAĞILIMI ARASINDAKİ TEORİK İLİŞKİ

Piketty'nin (2014) de belirttiği gibi servet birikiminin en önemli unsurlarından birisi emek karşılığı elde edilen ücrettir. Ancak, hangi ülkede yaşadığına bakılmaksızın, günümüzde alt ücret basamağında bulunan birçok bireyin kazancı sadece günlük yaşam masraflarını karşılamaya yetmekte ve servet birikimi için çok fazla şansları bulunmamaktadır (Khalid, 2011). Bu da neden Dünya’da 10.000 doların altında servete sahip nüfusun oranının (%70.1) yoğun olduğunu açıklamaktadır (Credit Suisse Research Institute, 2017). Yaşam döngüsü modeli ve kalıcı gelir hipotezine göre geliri yaşam masraflarını aşan bireyler ise çalışma yaşamlarının başlarında kira ödemek yerine temel barınma ihtiyaçlarını, biriktirerek ya da borçlanarak, ev sahibi olarak karşılamakta ve ev sahibi olmayı en iyi yatırım aracı olarak görmektedirler. Konut sahipliğinin finansal olmayan servetin en büyük bileşeni olduğu göz önünde bulundurulursa, bu durum bireylerin finansal servetten önce finansal olmayan servet birikimine yöneldiklerini göstermektedir (Piketty, 2014). Yapılan ampirik çalışmalar da bu çıkarımı desteklemekte ve konut sahibi olunduktan sonra bireylerin finansal servet birikimine yöneldiğini ortaya koymaktadır (Belsky & Prakken, 2004; Khalid, 2011; Yaşar & Yaşar, 2018). Bununla birlikte, nüfusun sadece çok küçük bir kısmının geliri finansal olmayan servetten sonra finansal servet birikimine olanak sağlamaktadır. Bu da finansal servetin finansal olmayan servete göre daha küçük bir grubun elinde yoğunlaşmasına ve bozuk bir finansal servet dağılımına yol açmaktadır (Belsky & Prakken, 2004; Garbinti, Goupille-Lebret, & Piketty, 2019; Yaşar & Yaşar, 2018). Bu kapsamda, Garbinti et al. (2019) varlık paylarını varlık sınıflarına göre ayırdıklarında; en alttaki% 30'luk çoğunluğun mevduata sahip olduğunu, ardından konut varlıklarının yer aldığını ve konut sahipliğinin dağılımın ortasında servetin ana biçimi haline geldiğini belirtmişlerdir. Buna karşın dağılımın en alt %10'luk dilimden en üstteki % 1'lik dilime doğru ilerlerken, mevduat dışındaki finansal varlıkların kademeli olarak servetin baskın biçimi haline geldiğini ve en zengin % 1'in elinde tuttuğu finansal varlıkların oranının 1984'te %35'ten 2014'te %70'e çıktığını tespit etmişlerdir.

Gelirin servet yaratma özelliğinin yanı sıra servetin de gelir yaratıcı etkileri dikkate alınır (Case, Quigley, & Shiller, 2013; Garbinti et al., 2019), net servet bileşenlerinin kendi içerisindeki bu dağılım farklılıklarının, gelir dağılımı eşitsizliğini de farklı yönde etkileyeceği söylenebilir (Dvornak & Kohler, 2007). Bu kapsamda, finansal olmayan servetteki artışlar, daha fazla alt ve orta gelir gurubundaki insanın kira geliri elde etmesine, kira giderlerinden kurtulmasına ve ucuz krediye ulaşmasına imkân sağladığı için (Aoki, Proudman, & Vlieghe, 2004; Disney, Bridges, & Gathergood, 2010; Hurst & Stafford, 2004) gelir dağılımı eşitsizliğini azaltması beklenir. Bunun tersine finansal servetteki artışların fayda ve fırsatlarından (faiz, tahvil ve hisse senedi getirisi vb.) üst gelir grubunda yer alan (Benhabib & Bisin, 2018; Calvet, Campbell, & Sodini, 2007; Campbell, Ramadorai, & Ranish, 2019; Cournède, Denk, & Hoeller, 2015; Frost, Gambacorta, & Gambacorta, 2020; Galor & Moav, 2004; Mihet, 2018; Reher & Sokolinski, 2020) daha az sayıda kişi faydalandığından ve finansal servet getirileri finansal olmayan servet getirilerinden ve emek getirilerinden yüksek olduğundan (Fagereng, Guiso, Malacrino, & Pistaferri, 2016) gelir dağılımı eşitsizliğini arttırması beklenir (Garbinti et al., 2019; Piketty, 2014). Ayrıca, aynı getiri oranı ile karşı karşıya olunmasına rağmen, daha fazla finansal servetin daha yüksek bir ortalama gelir yarattığı da bilinmektedir (Calvet et al., 2007; Campbell et al., 2019; Deufhard, Georgarakos, & Inderst, 2019; Fagereng, Guiso, Malacrino, & Pistaferri, 2020; Frost et al., 2020; Piketty, 2014). Bu kapsamda, Fagereng et al. (2016) artan finansal servetle birlikte önemli ölçüde artan getirileri hesaplamış ve üst dilimdeki bireylerin getirileri ile medyan arasındaki farkın yaklaşık %1.8 olduğunu tespit etmiştir. Bir sosyolog olan Merton (1968) tarafından “Matheww Etkisi” olarak adlandırılan bu etki özellikle servet ve gelir eşitsizliği ile yakından ilgilidir. Bu etkinin ortaya çıkmasının temel sebebi ise daha yüksek finansal servete sahip olanların, daha gelişmiş finansal araçlara, bilgiye ve daha yüksek getirili varlıklara ayrıcalıklı olarak erişebilmesidir. Bunun yanı sıra portföy yönetiminde ölçek oluşacağından daha büyük portföyler daha yüksek getiriler sağlayacaktır.

3. MODEL VE VERİ SETİ

Gelişmişlik düzeyleri birbirinden farklı 57 ülkede, servet bileşenlerinin gelir dağılımını ne yönde etkilediği aşağıda yer alan dinamik tam logaritmik doğrusal model (1) yardımıyla incelenmiştir. Dinamik model tercihinin temel nedeni; literatürde, yavaş değiştiği ve bundan dolayı geçmiş değerlerinin önemli bir açıklama gücüne sahip olduğu kabul edilen gelir dağılımı eşitsizliğini daha iyi açıklayabilmektir.

$$Lngini_{i,t} = \beta_0 + \beta_1 Lngini_{i,t-1} + \beta_2 Lnfw_{i,t} + \beta_3 Lnnfw_{i,t} + \beta_4 Lndbt_{i,t} + \beta_5 Lnunemp_{i,t} + u_{i,t} \quad (1)$$

Burada “t”, zaman aralığını (2000-2017), “i”, birim sayısını (57), “ $\beta_1, \beta_2, \beta_3, \beta_4$ ”, parametre katsayılarını, “ β_0 ”, sabiti ve “u” hata terimini temsil etmektedir. Bağımlı değişken “Lngini”, gelir dağılımı eşitsizliğini temsilen modelde yer alan Gini katsayısının doğal logaritmasını, “Lngini-1” ise bağımsız değişken olarak modelde yer alan bağımlı değişkenin gecikmesini ifade etmektedir. Bağımsız değişkenler “Lnfw”, “Lnnfw” ve “Lndbt” sırasıyla yetişkin başına finansal servet, yetişkin başına finansal olmayan servet ve yetişkin başına borcun doğal logaritması olup, yetişkin başına servetin bileşenleridir. Servet bileşenlerinin yanı sıra, ihmal edilmiş değişken sapmasına yol açmamak için, modele işsizlik değişkeni kontrol değişkeni olarak eklenmiştir ve Lnunemp işsizlik oranının doğal logaritmasıdır. Gini katsayısına ait veriler Standartlaştırılmış Dünya Gelir Eşitsizliği Veri tabanı (SWIID-Standardized World Income Inequality Database)’ndan, servet bileşenleri Credit Suisse (2018) tarafından yayınlanan küresel servet raporundan ve son olarak işsizlik oranı Dünya Bankası (2020) Dünya Gelişme Göstergeleri çevrimiçi veri tabanından (World Bank World Development Indicators Online Database) elde edilmiştir.

4. AMPİRİK YÖNTEM VE BULGULAR

Doğru ekonometrik araçlar seçebilmek ve etkin tahminler elde edebilmek için öncelikle değişkenlerin durağanlık özellikleri incelenmelidir. Bu nedenle ampirik analizin birinci aşamasında modelde yer alan değişkenlerin durağanlık özellikleri Maddala & Wu (1999) ve (Choi, 2001) tarafından geliştirilen Fisher ADF ve Fisher PP, Levin, Lin, & Chu (2002) tarafından geliştirilen LLC ve Im, Pesaran & Shin (2003) tarafından geliştirilen IPS birim kök testleriyle incelenmiş ve sonuçlar aşağıda Tablo 1’de gösterilmiştir.

Tablo 1 incelendiğinde; birim kök testlerinin değişkenlerin durağanlık özelliklerine yönelik farklı sonuçlar ortaya koyduğu görülmektedir. Penel birim kök testlerinin bu özelliği ile literatürde sıklıkla karşılaşılmakta ve böyle durumlarda genellikle test istatistiklerinin çoğunluğunun hangi yönü gösterdiği dikkate alınmaktadır (Baltagi &

Pirotte, 2010, pp. 277-286). Buradan hareketle, Gini katsayısı ve işsizlik değişkenlerinin birim kök içermediğini, yetişkin başına finansal ve finansal olmayan servet ve borç değişkenlerinin ise birim kök içerdiğini kabul etmekteyiz.

Tablo 2: Birim Kök Test Sonuçları

Değişkenler	Model	LLC	IPS	ADF-Fisher Chi-square	PP - Fisher Chi-square
Lngini	C	-11.64(0.000)	-3.27(0.000)	172.20(0.000)	162.03(0.002)
	C+T	-2.84(0.002)	0.96(0.833)	105.69(0.698)	66.64(0.999)
	Non	2.89(0.998)		116.41(0.419)	277.62(0.000)
Lnnfw	C	-14.59(0.000)	-8.55(0.000)	277.69(0.000)	396.14(0.000)
	C+T	-6.79(0.000)	1.17(0.880)	93.44(0.920)	100.19(0.818)
	Non	12.02(1.000)		9.52(1.000)	7.61(1.000)
Lnfw	C	-12.82(0.000)	-6.21(0.000)	222.94(0.000)	319.18(0.000)
	C+T	-6.38(0.000)	1.58(0.943)	81.52(0.990)	82.76(0.987)
	Non	11.03(1.000)		13.20(1.000)	12.05(1.000)
Lndbt	C	-14.86(0.000)	-7.71(0.000)	270.64(0.000)	348.32(0.000)
	C+T	-6.98(0.000)	2.32(0.989)	83.86(0.984)	57.57(1.000)
	Non	8.16(1.000)		14.56(1.000)	9.01(1.000)
Lnunemp	C	-5.89(0.000)	-3.26(0.000)	170.29(0.000)	107.82(0.645)
	C+T	-2.56(0.005)	-1.08(0.138)	149.67(0.014)	82.02(0.989)
	Non	--5.55(0.000)		142.98(0.034)	147.43(0.019)

Not: Birim kök testlerinde kullanılan modeller: "C+T" trend ve sabiti içerir, "C" sadece sabiti içerir, "Non" sabit ve trend içermez şeklindedir. Maksimum gecikme uzunluğu 2 olarak alınmış olup, optimal gecikme uzunluğunun belirlenmesinde Akaike bilgi kriterlerinden faydalanılmıştır. Olasılık değerleri parantez içinde gösterilmektedir.

Dinamik modellerde bağımlı değişkenin gecikmeli değerinin bağımsız değişken olarak modelde yer alması içsellik problemine yol açacağından, bu modellerin tahmininde bilindik tahminciler (EKK) kullanılamamaktadır (Baum, 2006; Bond, 2002). Literatürde dinamik modelin tahmini için genellikle Anderson & Hsiao (1981) tarafından geliştirilen Araç Değişken (Instrumental Variables) tahmincisi, Arellano & Bond (1991) tarafından geliştirilen Genelleştirilmiş Momentler Yöntemi (Generalized Method of Moments) tahmincisi ve Arellano & Bover (1995) ve Blundell & Bond (1998) tarafından geliştirilen Sistem GMM (System Generalized Method of Moments) tahmincisi kullanılmaktadır. Ancak Araç Değişken tahmincisi ve Genelleştirilmiş Momentler Yöntemi ya da diğer adıyla Fark GMM tahmincisi, değişkenlerin rassal yürüyüşe tabi olması durumunda zayıf araç değişken kullanımına yol açmaktadır (Han & Phillips, 2010, pp. 119-120; Lee & Azali, 2010, p. 167; Tatoğlu, 2013, pp. 85-86). Arellano & Bover (1995) ve Blundell & Bond (1998) bu sorunun üstesinden gelinebilmesi için "birinci fark" dönüşümü yerine "ortogonal sapmalar" yönteminin kullanılmasını önermektedir. Bu yöntem, fark denklemi ile düzey denklemlerinin birleştirilmesine dayanmakta ve birinci farklar yönteminin aksine cari dönemden bir önceki dönemin farklı alınmaması, bunun yerine bir değişkenin tüm mümkün gelecek değerlerinin ortalamasının farkı alınmaktadır (Tatoğlu, 2013, p. 86). Böylece değişkenlerin rassal yürüyüşe tabi olması durumunda bile Sistem GMM ile daha etkin tahminler elde edilebilmektedir (Bond, 2002; Roodman, 2009). Diğer taraftan, yapmış oldukları Monte Carlo simülasyonları ile Blundell, Bond, & Windmeijer (2001) sonlu örneklerde, Soto (2009) ise küçük örneklerde Sistem GMM tahmincisinin Fark GMM tahmincisine göre daha sapmasız ve daha etkin olduğunu kanıtlamışlardır. Bu nedenlerden ötürü dinamik modelin tahmini için bu çalışmada Sistem GMM tahmincisi tercih edilmiştir. Bu özelliklerine rağmen şunu belirtmek faydalı olacaktır: Sistem GMM tahmincisi, panel veri modellerinde sıklıkla karşılaşılan ve ihmal edilen ortak etkiler, sosyo ekonomik ağlar arasındaki ilişki, gözlemlenmemiş genel şoklar vb. nedenlerden dolayı ortaya çıkan yatay kesit bağımlılığı (Basak & Das, 2018, p. 2; Chudik & Pesaran, 2013; Çoban & Topcu, 2013, p. 84) dikkate almamaktadır. Ancak yatay kesit bağımlılığın dikkate alınmaması durumunda elde edilecek parametreler sapmalı ve tutarsız olabilmektedir (Baltagi & Pirotte, 2010; Erdogan, Akalin & Oypan, 2020: 2; Chudik & Pesaran, 2013; Sarafidis & Robertson, 2009). Yatay kesit bağımlılığını ortadan kaldırmak için literatürde en sık uygulanan yöntem ise modele zaman kuklalarının eklenmesidir (Sarafidis, Yamagata & Robertson, 2009). Bu çalışmada da bu yöntem tercih edilmiş ve model zaman kuklaları ile genişletilmiştir. Sistem GMM tahmincisi ile

elde edilen bulgular ve tahminlerin güvenilirliğini kontrol etmek için gerçekleştirilen bazı tanı testlerinin sonuçları aşağıda Tablo 2’de gösterilmiştir.

Tablo 3: Sistem GMM Tahmin Sonuçları

Değişkenler	Katsayılar	Olasılık Değeri
Lngini _{t-1}	0.697***	0.000
Lnnfw	-0.012***	0.001
Lnfw	0.004*	0.101
Lndbt	0.010***	0.001
Lnunemp	0.015***	0.008
Dummy ₂₀₀₈	0.002***	0.000
Tanı Testleri	Test İstatistikleri	Olasılık Değeri
Sargan Testi	0.20	1.000
Hansen Testi	13.49	0.334
AR (1)	-2.23	0.026
AR (2)	-1.20	0.229

Not: ***, **, * sırasıyla %1, %5 ve %10 düzeyinde istatistiki anlamlılığı göstermektedir. Tabloda sadeliğin korunması adına, zaman kukllarına ait katsayılar burada yer verilmemiştir.

Tahminlerin güvenilirliğine yönelik gerçekleştirilen tanı testlerinin sonuçları incelendiğinde, Sargan ve Hansen testlerinin sonuçlarına göre “araç değişkenler geçerlidir” şeklindeki H0 hipotezi, ve Arellano-Bond otokorelasyon testinin (AR 2) sonucuna göre “ikinci dereceden otokorelasyon yoktur” şeklindeki H0 hipotezi kabul edilmektedir. Bu sonuçlar modelde ikinci dereceden otokorelasyon olmadığını, araç değişkenlerin geçerli olduğunu dolayısıyla tahminlerin güvenilir olduğunu ortaya koymaktadır.

Elde edilen katsayılar incelendiğinde; yetişkin başına finansal servette, yetişkin başına borç miktarında ve işsizlikte ortaya çıkan bir artışın gelir dağılımı eşitsizliğini arttırdığı, yetişkin başına finansal olmayan servetteki bir artışın ise gelir dağılımı eşitsizliğini azalttığı görülmektedir. Ayrıca 2008 krizinin gelir dağılımı üzerindeki etkilerini yakalayabilmek için modele dahil ettiğimiz kukla değişkenine ait katsayısında pozitif olduğu, dolayısıyla krizin gelir dağılımı eşitsizliğini arttırdığı tespit edilmiştir. Son olarak, geçmiş gelir eşitsizliği düzeyinin mevcut gelir eşitsizliği düzeyini açıklamada çok önemli bir faktör olduğu anlaşılmaktadır.

Finansal servetin gelir dağılımı üzerindeki bozucu etkisinin temel nedenleri; finansal servetin az sayıda yüksek gelirli bireyin elinde yoğunlaşmış olması, getirisinin emek ve finansal olmayan servet getirilerine göre yüksek olması ve finansal servet miktarındaki artış ile birlikte getirinin de artıyor olması olabilir. Finansal servetin aksine finansal olmayan servet daha geniş bir kesime ve daha adil dağıldığından ve fayda ve fırsatlarından daha çok alt ve orta gelirli bireyler faydalandığından, finansal servetteki artışların gelir dağılımı eşitsizliğini azaltıcı etkisi şaşırtıcı değildir. Borçlanma maliyetinin yüksek gelir gruplarından düşük gelir gruplarına doğru gidildikçe artıyor olması (teminat kanalıyla), tasarruf sahiplerinin daha çok üst gelir gurubunda bulunuyor olması nedeniyle borç ilişkisinin getirilerinden (faiz) daha fazla yararlanıyor olmaları borçlanma ile birlikte gelir dağılımı eşitsizliğinin de artmasına sebep olabilir. İşsizliğin gelir dağılımı üzerindeki bozucu etkisi ise yaygın olarak bilinmekte ve literatürde bir fikir birliği bulunmaktadır. İşsizlikteki artış hem daha fazla insanın gelirini kaybetmesine yol açtığından, hem de ücret pazarlıklarında işgücü aleyhine baskı yarattığından ve reel ücret artışlarını sınırladığından gelir dağılımı eşitsizliğini arttırabilmektedir.

5. SONUÇ VE POLİTİKA ÖNERİLERİ

Net servet bileşenlerinin gelir dağılımı üzerindeki etkisinin ayrı ayrı incelenmesi, gelir dağılımı eşitsizliğini azaltmaya yönelik oluşturulacak politikaların çeşitliliğinin, tutarlılığının ve etkinliğinin artırılmasına yardımcı olabilir ve bir çeşit terkip hatasına düşülmesini engeleyebilir. Buradan hareketle bu çalışmada, hane halkı net servet bileşenlerinin gelir dağılımı üzerindeki etkileri seçilmiş 57 ülke için İki Aşamalı Sistem-GMM yöntemi ile araştırılmıştır. Ampirik analizler sonucu elde edilen bulgular ve bu bulgulara dayalı politika önerileri şöyle sıralanabilir: yetişkin başına finansal servetteki artış gelir dağılımı eşitsizliğini arttırmaktadır. Finansal servetin eşitsizlik üzerindeki bozucu etkilerini azaltmak için politika yapıcılar, hem finansal servet üzerinden, hem de

finsel servet getirileri üzerinden alınan vergileri arttırabilir. Dahası, elde edilen bu yeni vergi gelirleri, alt gelir grubunda bulunan bireylerin gelirlerini arttırmaya yönelik sosyal transfer harcamalarına yönlendirilebilir.

Yetişkin başına borç miktarındaki artış gelir dağılımını olumsuz etkilemektedir. Bu nedenle karar vericiler borçlanma maliyetini aşağı çekecek politikalar tasarlamalıdır. Ayrıca, borçlanmanın daha çok konut alımlarından kaynaklandığı göz önünde bulundurulursa, konut alımına yönelik oluşturulacak düşük maliyetli fonların gelir dağılımı eşitsizliğini azaltmaya yardımcı olacağı söylenebilir. Finansal olmayan servetteki artışlar gelir dağılımı eşitsizliğini düzeltmektedir. Dolayısıyla politika yapıcılar finansal olmayan servet üzerinden alınan vergileri azaltmalıdır. Son olarak işsizlikteki bir artışın gelir dağılımı eşitsizliğini arttırdığı tespit edilmiştir. Bu nedenle hükümetler sürdürülebilir istihdam olanaklarını arttıracak geniş ölçekli makroekonomik politikalar tasarlamalıdır.

6. KAYNAKÇA

- Acemoglu, D. (2002). Technical change, inequality, and the labor market. *Journal of economic literature*, 40(1), 7-72.
- Akalin, G., & Uzgören, E. Kurumsal kalitenin gelir dağılımı üzerindeki etkisi: Gelişmiş ve gelişmekte olan ülkeler için ampirik bir analiz. *Eskişehir Osmangazi Üniversitesi İktisadi ve İdari Bilimler Dergisi*, 14(1), 201-224.
- Anderson, T. W., & Hsiao, C. (1981). Estimation of dynamic models with error components. *Journal of the American statistical Association*, 76(375), 598-606.
- Aoki, K., Proudman, J., & Vlieghe, G. (2004). House prices, consumption, and monetary policy: a financial accelerator approach. *Journal of financial intermediation*, 13(4), 414-435.
- Arellano, M., & Bond, S. (1991). Some tests of specification for panel data: Monte Carlo evidence and an application to employment equations. *The review of economic studies*, 58(2), 277-297.
- Arellano, M., & Bover, O. (1995). Another look at the instrumental variable estimation of error-components models. *Journal of econometrics*, 68(1), 29-51.
- Baltagi, B. H., & Pirotte, A. (2010). Panel data inference under spatial dependence. *Economic Modelling*, 27(6), 1368-1381.
- Barro, R. J. (2000). Inequality and Growth in a Panel of Countries. *Journal of economic growth*, 5(1), 5-32.
- Basak, G. K., & Das, S. (2018). Understanding Cross-sectional Dependence in Panel Data. arXiv preprint arXiv:1804.08326.
- Baum, C. F. (2006). *An introduction to modern econometrics using Stata*: Stata press.
- Belsky, E., & Prakken, J. (2004). Housing Wealth Effects: Housing's Impact on Wealth Accumulation, Wealth Distribution and Consumer Spending, Harvard University. Joint Center for Housing Studies, W04-13, 1.
- Benhabib, J., & Bisin, A. (2018). Skewed wealth distributions: Theory and empirics. *Journal of economic literature*, 56(4), 1261-1291.
- Blundell, R., & Bond, S. (1998). Initial conditions and moment restrictions in dynamic panel data models. *Journal of econometrics*, 87(1), 115-143.
- Blundell, R., Bond, S., & Windmeijer, F. (2001). Estimation in dynamic panel data models: improving on the performance of the standard GMM estimator: Emerald Group Publishing Limited.
- Bond, S. (2002). *Dynamic panel models: A guide to micro data methods and practice* (Working Paper No. CWPO9/02). London, UK: Institute for Fiscal Studies. Department of Economics, UCL, CEMMAP (Centre for Microdata Methods and Practice).
- Brian, K. (2015). OECD insights income inequality the gap between rich and poor: The gap between rich and poor: OECD Publishing, Paris. DOI: <https://doi.org/10.1787/9789264246010-3-en>.
- Calvet, L. E., Campbell, J. Y., & Sodini, P. (2007). Down or out: Assessing the welfare costs of household investment mistakes. *Journal of Political Economy*, 115(5), 707-747.
- Campbell, J. Y., Ramadorai, T., & Ranish, B. (2019). Do the rich get richer in the stock market? Evidence from India. *American Economic Review: Insights*, 1(2), 225-240.
- Case, K. E., Quigley, J. M., & Shiller, R. J. (2013). Wealth effects revisited: 1975-2012 (0898-2937). Retrieved from
- Choi, I. (2001). Unit root tests for panel data. *Journal of international money and Finance*, 20(2), 249-272.
- Chu, A. C., Kou, Z., & Liu, X. (2018). Labor union and the wealth-income ratio. *Economics Letters*, 167, 29-35.
- Chudik, A., & Pesaran, M. H. (2013). Common Correlated Effects Estimation of Heterogeneous Dynamic Panel Data Models with Weakly Exogenous Regressors. CESifo Group Munich.
- Cournède, B., Denk, O., & Hoeller, P. (2015). Finance and Inclusive Growth. Retrieved from
- Credit Suisse Research Institute, G. W. D. (2017). <https://www.credit-suisse.com/>
- Çoban, S., & Topcu, M. (2013). The nexus between financial development and energy consumption in the EU: A dynamic panel data analysis. *Energy Economics*, 39, 81-88.
- Deuffhard, F., Georgarakos, D., & Inderst, R. (2019). Financial literacy and savings account returns. *Journal of the European Economic Association*, 17(1), 131-164.

- Disney, R., Bridges, S., & Gathergood, J. (2010). House price shocks and household indebtedness in the United Kingdom. *Economica*, 77(307), 472-496.
- Dvornak, N., & Kohler, M. (2007). Housing wealth, stock market wealth and consumption: a panel analysis for Australia. *Economic Record*, 83(261), 117-130.
- Erdogan, S., Akalin, G., & Oypan, O. (2020). Are shocks to disaggregated energy consumption transitory or permanent in Turkey? New evidence from fourier panel KPSS test. *Energy*, 197, 117174.
- Fagereng, A., Guiso, L., Malacrino, D., & Pistaferri, L. (2016). Heterogeneity in returns to wealth and the measurement of wealth inequality. *American Economic Review*, 106(5), 651-655.
- Fagereng, A., Guiso, L., Malacrino, D., & Pistaferri, L. (2020). Heterogeneity and persistence in returns to wealth. *Econometrica*, 88(1), 115-170.
- Frost, J., Gambacorta, L., & Gambacorta, R. (2020). The Matthew effect and modern finance: on the nexus between wealth inequality, financial development and financial technology, BIS Working Papers No 871.
- Galor, O., & Moav, O. (2004). From physical to human capital accumulation: Inequality and the process of development. *The review of economic studies*, 71(4), 1001-1026.
- Garbinti, B., Goupille-Lebret, J., & Piketty, T. (2019). Accounting for Wealth Inequality Dynamics: Methods, Estimates and Simulations for France. *Journal of the European Economic Association*.
- Han, C., & Phillips, P. C. (2010). GMM estimation for dynamic panels with fixed effects and strong instruments at unity. *Econometric theory*, 119-151.
- Heimberger, P. (2019). Does economic globalisation affect income inequality? A meta-analysis. *The World Economy*.
- Herzer, D. (2016). Unions and income inequality: A Heterogeneous panel co-integration and causality analysis. *Labour*, 30(3), 318-346.
- Hurst, E., & Stafford, F. (2004). Home is where the equity is: Mortgage refinancing and household consumption. *Journal of Money, credit and Banking*, 985-1014.
- Im, K. S., Pesaran, M. H., & Shin, Y. (2003). Testing for unit roots in heterogeneous panels. *Journal of econometrics*, 115(1), 53-74.
- Jaumotte, F., Lall, S., & Papageorgiou, C. (2013). Rising Income Inequality: Technology, or Trade and Financial Globalization? *IMF Economic Review*, 61(2), 271.
- Khalid, M. A. (2011). NEP to NEM: who Cares? Wealth distribution in Malaysia. *Prosiding PERKEM*, 6(1), 400-409.
- Lee, G. H., & Azali, M. (2010). The endogeneity of the optimum currency area criteria in East Asia. *Economic Modelling*, 27(1), 165-170.
- Levin, A., Lin, C.-F., & Chu, C.-S. J. (2002). Unit root tests in panel data: asymptotic and finite-sample properties. *Journal of econometrics*, 108(1), 1-24.
- Maddala, G. S., & Wu, S. (1999). A comparative study of unit root tests with panel data and a new simple test. *Oxford Bulletin of Economics and statistics*, 61(S1), 631-652.
- Melchior, A., Telle, K., & Wiig, H. (2000). Globalisation and inequality. Royal Norwegian Ministry of Foreign Affairs, Studies on Foreign Policy Issues, Report B, 6.
- Merton, R. K. (1968). The Matthew effect in science: The reward and communication systems of science are considered. *Science*, 159(3810), 56-63.
- Mihet, R. (2018). Financial Technology and the Inequality Gap. Available at SSRN 3474720.
- Muller, E. N. (1988). Democracy, economic development, and income inequality. *American Sociological Review*, 50-68.
- Naschold, F. (2002). Why inequality matters for poverty. *Inequality briefing paper*, 2.
- Perera, L. D. H., & Lee, G. H. (2013). Have economic growth and institutional quality contributed to poverty and inequality reduction in Asia? *Journal of Asian Economics*, 27, 71-86.
- Piketty, T. (2014). *Yirmi Birinci Yüzyılda Kapital*, : (Çev. Hande Koçak), İstanbul: T. İş Bankası Kültür Yayınları.
- Reher, M., & Sokolinski, S. (2020). Does FinTech Democratize Investing? Available at SSRN.
- Roodman, D. (2009). How to do xtabond2: An introduction to difference and system GMM in Stata. *The stata journal*, 9(1), 86-136.
- Sarafidis, V., & Robertson, D. (2009). On the impact of error cross-sectional dependence in short dynamic panel estimation. *The Econometrics Journal*, 12(1), 62-81.
- Sarafidis, V., Yamagata, T., & Robertson, D. (2009). A test of cross section dependence for a linear dynamic panel model with regressors. *Journal of econometrics*, 148(2), 149-161.
- Solt, F. (2020). Measuring income inequality across countries and over time: The standardized world income inequality database. *Swiid Version 8.1*. Erişim Adresi: <https://fsolt.org/>.
- Soto, M. (2009). System GMM Estimation with a Small Sample. UFAE and IAE Working Papers 780.09.
- Staunton, C. (2015). The distribution of wealth in Ireland. *TASC*, December, 3-28.
- Stiglitz, J. E. (2015). *The price of inequality: How today's divided society endangers our future*: Kindle Edition.
- Tatoğlu, F. Y. (2013). *İleri panel veri analizi-Stata uygulamalı*, (2. Baskı). İstanbul: Beta Basım Yayın Dağıtım AŞ.

- Yaşar, E., & Yaşar, M. (2017). Küresel servet eşitsizliği ve çokuluslu bir sınıflama. *İşletme Araştırmaları Dergisi*, 9(4), 259-282.
- Yaşar, E., & Yaşar, M. (2018). Global Wealth and Aging Population. In (ed), R. Yılmaz, & G. Löschnigg (Eds.), in *Studies on Balkan and Near Eastern Social Sciences, Volume 2* (pp. 47-57): Peter Lang GmbH, Internationaler Verlag der Wissenschaften.
- Dünya Bankası (2020), Dünya Gelişme Göstergeleri (World Development Indicators) Veri Tabanı. <http://data.worldbank.org/data-catalog/world-development-indicators>. Erişim Tarihi: 20.03.2020.

Gıda Sanayii ve Gelişme Olanakları

Hasan VURAL

¹ Prof.Dr., Uludag University, Faculty of Agriculture, Department of Agricultural Economics, Bursa, Turkey.

e-mail: hvural@uludag.edu.tr

Özet: Türkiye dünyanın en önemli üç tarım alanından birine sahiptir. Ekolojik özellikleri nedeniyle çok sayıda bitkisel ve hayvansal ürün yetiştirilmektedir. Birçok tarım ürününe kendine yeterlilik söz konusu olup, yüzden fazla ülkeye tarım ve gıda ihracatı yapılmaktadır. Ürün çeşidinin fazlalığı nedeniyle Türkiye’de gıda sanayi ve çeşitliliği oldukça gelişmiştir. Türkiye ekonomisinde tarımsal katma değer oranı %8 olup, dünyada dokuzuncu sıradadır. Dünya’da küresel ticaret nedeniyle tarım gıda ticareti de artmakta, bu durumdan Türk gıda sanayi de etkilenmektedir. Son 10 yılda tarım gıda ihracatının toplam ihracat içindeki payı %10’lar, ithalatındaki ise %5’ler seviyesindedir. Tarımsal İhracat değeri 17 milyar TL’yi, ithalat değeri ise 13 milyar TL’yi geçmektedir. Türkiye büyük oranda tüketim malları ihraç etmekte, ithalat ise genellikle işlenmemiş hammaddelerden oluşmaktadır. Dünya’da üretici odaklı arz yönünü ön plana çıkaran gıda üretiminden çok, tüketiciyi ön plana çıkaran talep yönlü gıda politikasına kayma söz konusudur. Türkiye’de birçok gıda kolunda gelişmiş sanayi kalitesinde üretim yapılırken, gıda üretiminin bir kısmı ise ilkel koşullarda gerçekleşmektedir. Kayıtsız ekonomi gıda sektörünün önemli sorunlarından biridir. Bu çalışmada sektörün genel yapısı ve gelişme olanakları gıda üretim çeşitleri itibariyle incelenmektedir.

Anahtar kelimeler: Gıda sanayi, gıda ekonomisi, gıda pazarlaması, tarımsal pazarlama, Turkey

Food Industry In Turkey And Development Possibilities

Abstract: Turkey has one of the three most important agricultural areas in the world. There are many vegetable and animal products are produced because of its ecological properties. There is self-sufficiency in many agricultural products and exports are made to more than one hundred countries in food and agriculture. Due to the abundance of product variety food industry and diversity in Turkey is improved. The rate of agricultural value added in the Turkish economy is 8% and it is ninth in the world. Due to the increase in global trade agricultural and food trade is also increased and Turkish food sector is also affected by this situation. In the last 10 years the share of agriculture food exports in total exports has been around 10 % while its share in imports has been around 5%. Agricultural exports value has past 17 billion TL and imports value has past 13 billion TL. Turkey largely exports consumer goods while imports are generally made of unprocessed raw materials. In the world there is a shift towards demand oriented food policies which places consumer at the forefront rather than a supply oriented policy which focuses on the producers. While production is done at a developed industry level in many food industry branches, some of the food production is made under primitive conditions. Unregistered economy is one of the most important problems of food sector. In this study the general structure and the development potential of the food sector is examined.

Keywords: Food industry, food economy, food marketing, agricultural marketing, Turkey

Introduction

Turkey has one of the three most important agricultural areas in the world. There are many vegetable and animal products are produced because of its ecological properties. There is self-sufficiency in many agricultural products and exports are made to more than one hundred countries in food and agriculture. While the population of the world rapidly increases the importance of the production of agricultural and food products. While in latest years in Turkey export of traditional goods such as vegetables, fruits and hard shelled increase, export of processed food industry products also increase. Food sector in Turkey tens to gain internalization. As a result of this, product diversification and the quality of the products increase (Rehber, 2013).

In Turkey, a classification into seven geographical regions traditionally. Recently, the governmental body which is responsible of data collection and dissemination (Turkish Institute of Statistics-TIS) has used 12 classes which include 11 subregions and Istanbul province (Vural, 2007).

Agricultural value added composes 3-6% of the world GDP. In Turkey, this ratio has decreased to 8%. Twenty countries that produces the 78% of the total GDP also creates 56% of the agricultural GDP (TÜİK, 2016a). As the world's 18th largest economy, Turkey has risen to 9th place in agricultural value added.

More than 1 billion people on the world do not get enough nutrients. Most of the population who do not have food safety live in developing countries mostly in Asia and Africa. More than 40% of undernourished people live in China and India. In the last 25 years agricultural exports have increased 5.5 times, food exports 7 times and clothing exports 10 times, in the world (WTO, 2016).

The United States of America, The Netherlands, Germany, Brazil and China are the biggest agricultural exporters. The share of these five countries in the world agricultural exports is more than 30% (WTO, 2016). The biggest importers of agricultural products are China, USA, Germany, Japan and France. These five countries make up 40% of the world's agricultural imports.

In the new century issues that are in the agricultural agenda can be listed as; small family farms, the role of women, sustainable and green agriculture food security that focuses on nutrition supply, water and food safety, elements that increase quality of life such as health, enrichment of nutritive properties, global change that may limit food production in the long run, developments in biofuels, global developments such as economic crises and price instabilities and the increasing importance of R&D and technological studies and agricultural. It is especially emphasized that there is a problem in food distribution rather than inadequacy in food production (Anonymous, 2016). The decisive feature of global trade is increasing with the trend towards cash products. However, family businesses and local production slow down. While self-sufficiency policies are abandoned, new actors appear in foreign trade market.

1. Structure of Food Industry in Turkey

In the Turkish economy, the food sector accounts for about 11% of the value added in the manufacturing sector and about 30% of GDP (TÜİK, 2016b). Even though the share of food sector in economy decreases, real value added of the sector has a continuous increasing trend especially after 2015. The increase in the real value added of this sector is higher than the export industry averagely.

Due to the abundance of product variety food industry and diversity in Turkey is improved (Vural, 2014). The rate of agricultural value added in the Turkish economy is 8% and it is ninth in the world. Due to the increase in global trade agricultural and food trade is also increased and Turkish food sector is also affected by this situation. In the last 10 years the share of agriculture food exports in total exports has been around 10 % while its share in imports has been around 5%. Agricultural exports value has past 17 billion TL and imports has past 13 billion TL (TÜİK, 2016c).

The increase in food sector employment rates continues in both the period of the crisis and after. Sector could not increase its employment rate only in 2007 where food prices had serious increases, since 2003 and continued to create employment even during the 2008 economic crisis.

Table 1. Export of Agriculture and Food Industry in Turkey (2014, billion\$)

Product Groups	Unprocessed		Minimal processed		Over processed		Total	
	Export	Import	Export	Import	Export	Import	Export	Import
Food	5,5	5,1	4,7	3,5	5,5	1,2	15,2	9,9
Other agr. products	0,9	2,6	1,6	3,1	26,4	6,8	29,0	12,5
Seafood	0,3	0,07	0,3	0,2	0,05	0,01	0,7	0,3
Forest Products	0,9	1,5	0,04	0,7	1,3	3,4	2,2	5,6
Agr. Input Industry					2,0	5,5	3,0	5,7
Total	7,0	9,3	6,7	7,5	36,3	17,2	50,7	34

Resource: Anonymous, 2016.

Table 2. Changes of Turkish Agricultural Production

Product Groups	2007				2014			
	Area (1000ha)	%	Value (million\$)	%	Area (1000ha)	%	Value (million\$)	%
Crop production	24 887		43,357	71,2	23 943			63,7

Field crops	16 945	68,1	14,993	24,5	15 789	65,9	44 640	27,3
Potatoes, Roat, bulb and tuberorus vege.	1 211	4,9	2,639	4,3	874	3,7	19,150	4,9
Oil seed	631	2,5	708	1,2	828	3,5	3,454	2,2
Tobacco	145	0,6	345	0,6	106	0,4	1,534	0,5
Sugar beets	300	1,2	900	1,5	289	1,2	338	1,7
Cotton	530	2,1	1,280	2,1	468	2	1,2	2,3
Vegetables	815	3,3	13,015	21,4	809	3,4	1,579	17
Fruits, spices	2,909	11,7	15,408	25,3	3,238	13,5	11,890	19,4
Olive	753	3,0	1,967	3,2	826	3,5	13,600	2,4
Hazelnuts	664	2,7	1,533	2,5	701	2,9	1,664	2,4
Fallow land	4,219	17,0			4,108	17,2	1,713	
Animal production			17,501	28,8				36,3
Meat			7,889	13			25,418	18,7
Sheep, goat			1,113	1,8			13,128	1,5
Cattle			3,695	6,1			1,032	9,8
Chicken			3,08	5,1			6,875	7,5
Milk			6,922	11,4			5,221	13,1
Cow			6,188	10,2			9,185	11,4
Egg			1,72	2,8			7,965	2,8
Honey			728	1,2			1,981	1,4
							961	

Resource: TÜİK, 2016d, Ankara.

2. Conclusions

Turkey largely exports consumer goods while imports are generally made of unprocessed raw materials. In the world there is a shift towards demand oriented food policies which places consumer at the forefront rather than a supply oriented policy which focuses on the producers. While production is done at a developed industry level in many food industry branches, some of the food production is made under primitive conditions. Unregistered economy is one of the most important problems of food sector.

Until 2007 Turkish food sector volume decreased and between 2008 and 2012 it increased. Sector decreases rapidly when faced with crises. Thus has a fragile structure. Between 2003-2012 quantity demanded for meat, milk and animal feed products increased more than 5% averagely (TÜİK, 2016d). 92% of the businesses in food sector are firms that have twenty or less employees. However it composes less than 10% of the real value added. Productivity in food sector is also related to firm sizes. Value added created increases as the firm scale increases. Food sector has critical importance in terms of food security. The negative effects of global climate change on agricultural production can create important problems for food sector in the future.

References

- Anonymous (2016), Tarım Raporu 2016. Türkiye İhracatçılar Meclisi, İstanbul.
- Rehber, E. (20139), Tarım Ekonomisi. Ekin basın yayın dağıtım A.Ş., Bursa.
- Rehber, E. (2011), Organik Tarım Ekonomisi. Ekin basın yayın dağıtım A.Ş., Bursa.
- TÜİK (2016a), Ulusal Hesaplar İstatistikleri. <http://tuik.gov.tr>
- TÜİK (2016b), Sanayi ve Hizmet İstatistikleri. <http://tuik.gov.tr>
- TÜİK (2016c), Dış Ticaret İstatistikleri. <http://tuik.gov.tr>
- TÜİK (2016d), Tarım İstatistikleri. <http://tuik.gov.tr>
- Vural, H. (2014), Tarım ve gıda ürünleri pazarlaması. Uludağ Üniversitesi Ziraat Fakültesi Ders Notları, No.111, Bursa.

Vural, H. (2007), “A quantitative approach to classification of agricultural regions in Turkey”,
Journal of Food, Agriculture & Environment, Vol.5 (3&4) : 4 6 8 - 4 7 0 .
WTO (2016), Statistics Database, stat.wto.org.

Tarımsal Pazarlamada İnovasyon ve Yeni Arı Ürünü Geliştirme

Prof.Dr.Hasan VURAL¹

¹Bursa Uludağ Üniversitesi, Ziraat Fakültesi, Tarım Ekonomisi Bölümü

Özet: Bu çalışmada arı ürünlerine dayalı gıda üretiminde yeni ürün geliştirmenin temel özellikleri ve pazarlamada inovasyonun öneminin incelenmesi amaçlanmıştır. Bu çalışmada öncelikle inovasyon konusu incelenecektir. Daha sonra arıcılıktan elde edilen gıda ürünlerinin üretimi ve pazarlamasında inovasyona dayalı yeni gıda ürün geliştirmenin temel kavramları incelenecektir. Kaynak taramasına dayalı bilimsel çalışmalardan faydalanılarak konu ele alınacaktır. Bir takım araştırma teknikleri, insanlar tarafından bu niteliklerin sıralaması ve önemi için, niteliklerin analizi için geliştirilmiştir. Araştırmacıların, gıda niteliklerini ve bu yaklaşımın sonucunu alırken, nasıl özelleştirdiklerini ve analiz ettiklerini denemeli, araştırmalıyız.

Anahtar kelimeler: inovasyon, ürün geliştirme, arıcılık ürünleri, bal pazarlaması

Abstract: Food is necessary to sustain life. This study aims to evaluate the basic rules of innovation and new food products development. In this study, innovation subject is explained firstly. Later the basic concepts of innovation and new food products development in marketing of bee products are investigated. Subject will be discussed benefiting from scientific studies based on literature review. A number of research techniques have been developed to analyse the attributes that people perceive as important and the ranking of these attributes. We shall be examining how researchers have characterised and analysed food attributes and summarise with a critique of this approach.

Keywords: innovation, product development, beekeeping products, honey marketing

1.Giriş

İnovasyon (yenilik), hem rekabet avantajı hem de şirket geleceği için büyük bir kaynak olduğundan, gıda endüstrisinde ticari başarı için önemli olduğu kabul edilmektedir. Bununla birlikte, ticarileşme yılı içinde yeni ürünlerin yaklaşık %10'unun piyasada kalması ile yeni ürün geliştirme süreci başarısızlıkları ile dolu olarak tanımlanmaktadır. Ayrıca, ticarileşmeye giden her yeni gıda ürünü için, yeni gıda ürünü geliştirme sürecinde reddedilen birçok kavram olması muhtemeldir.

Bu çalışmanın amacı literatürde yer alan gıdaların özelliklerini ele almak, gıdaları anlamak ve insan hayatındaki rolünü tartışmaya yöneliktir. Gıda hayatın sürdürülebilmesi için zorunludur. İnsanların diyetlerine dahil edebileceği yeni gıdalar hakkında karar verebilmesi için, gıdanın ne olduğunu ve ona ne anlam yüklediğini bilmek önem taşımaktadır.

Hiçbir yol haritası hedefe yönelik rota tarif etmemektedir: tavsiyeler 'başarılı bir ürün için 10 adım' yada 'başarılı ürün yapmak için Smith'in metodu' nu kullan, tüm yaklaşımlardır.Yol haritaları gerçek yolculuğu değil genel yönü açıklarlar.Yolculuğun kendisi hava, yol koşulları ve harita okumada insan hataları nedeniyle değişikliklere tabidir. Ürün geliştirme yolu beceri düzeyleri, kişilikler ve şirket yapısı tarafından kuşatılmış durumdadır. Yeni Ürün Geliştirme (YÜG) geçişli değildir yani, sert prosedürlere dayanmaktadır: NPD esnek ve planlara göre değişebilir. YÜG yumuşak (tüketici araştırması, psikoloji ve pazarlama) ve sert (fiziksel) bilimler disiplinleri uygulamasında girişimci bir yetenek sergiler (Fuller, 2005).

Bu çalışmada arı ürünlerine dayalı gıda üretiminde yeni ürün geliştirmenin temel özellikleri ve pazarlamada inovasyonun önemini incelenmektedir.

2.Gereçler ve yöntem

Bu çalışmada öncelikle inovasyon konusu incelenecektir. Daha sonra arıcılıktan elde edilen gıda ürünlerinin üretimi ve pazarlamasında inovasyona dayalı yeni gıda ürün geliştirmenin temel kavramları incelenecektir. Araştırmaların sonuçlarından uygulama örnekleri sunulacaktır. Kaynak taramasına dayalı bilimsel çalışmalardan faydalanılarak konu ele alınacaktır.

3. Ürün geliştirmede kültürün önemi

- Gıda ve gıda olarak tanımlanan maddeler üzerine kültürün önemli bir etkisi vardır.
- Gıdalar kültürel normlar ile coğrafik ve iklimsel gibi faktörlerin tarihsel gelişimi tarafından belirlenir (lütfen kültürünüzle ilgili gıdaları düşünün)
- Kültürler kişiler arasında ortak özellikler, ritüeller ve geleneklerin toplamını oluşturur. (Özellikle dini tatiller ve festivallerde yenen gıda çeşitlerini düşünün)
- Kültürel mutfak tipi olarak, gıda ve tabu olanlar olarak sınıflandırılabilen maddelerin taksonomilerini içerir.
- Kültürler de genellikle gıdaların toplanması, hazırlanması, kombinasyonu ve tüketimine ilişkin mutfak kurallarını içermektedir (Fischler, 1988).

Toplumlardaki böyle değişimler, “kabul edilebilir” gıda uygulamalarındaki değişimleri gösteren beslenme uygulamaları ve gıdalardaki değişimlerle, güçlü olarak sembolize edilebilmektedir. Kendi kültürünüzün etkilerini başka bir kültür ile kıyaslamadan analiz etmek zor olabilir. Yukarıdaki gıda tartışmaları gıda yaklaşımlarında bazı kültürel farklılıklara ışık tutabilir. Geleneksel mutfak kültürleri, uzun süreli stabilite seçtiği farklı “lezzet kuralları” olarak tanımlanabilir.

4. Gıdaların nitelikleri

Nitelikler, karar verme aşamasında değerlendirme kriteri olarak yararlanmak için önerilen bir ürünün özellikleri veya karakteristikleri olarak tanımlanır. Bir takım araştırma teknikleri, insanlar tarafından bu niteliklerin sıralaması ve önemi için, niteliklerin analizi için geliştirilmiştir. Araştırmacıların, gıda niteliklerini ve bu yaklaşımın sonucunu alırken, nasıl özelleştirdiklerini ve analiz ettiklerini denemeli, araştırmalıyız.

Gıda nitelikleri bazı yollarla tanımlanmaktadır; a)temel ve geliştirilmiş özellikler, b)somutluk, gerçeklik, c)bilgi, d)amaç.

I)Çekirdek ve geliştirilmiş özellikler: İçsel ve dışsal özellikler, temel (çekirdek) gıdanın yapısındaki özellikler (içsel özellikler) ve sırasıyla herşeyi (dışsal özellikler) göstermektedir. Bu dışsal özelliklere örnek; pirinç ve marka ismidir. Kotler, ürünlerin çekirdek, aktüel ve geliştirilmiş seviyelerinin analizinde bir çerçeve geliştirmiştir.

II)Somutluk(gerceklik): Somutluk özellikleri tüketicinin “algılaması” ile ilgili konulardır. Bir çilek örneği alırsak, Somutluk özellikleri kalite özellikleri ile ilgili olabilir, çilek pigmentlerinin yoğunluğu, pigmentasyonun düzensizliği, lekeler ya da küf olmaması, çilek aromasının gücü, ülke orijinin tanımlanması, ürünün çeşidi, meyve etinin sertliği (meyveye dokunulması izni varsa), gibi. Maddi olmayan nitelikler algılanamayanları belirtir, “ilaçsız”, “organik” ya da “genetiği değiştirilmemiş” gibi, üretim yöntemi ile ilgili isteklerde olduğu gibi.

III)Bilgi: “ARAŞTIRMA”, “ARAMA”, “DENEYİM” ve “GÜVEN” gibi bilgi kriterleri ile ilgili tanımlamalardır. “Arama” nitelikleri yukarıdaki somut özelliklere yakın satın alma öncesi olanlardır. “Deneyim” nitelikleri tüketimden sonra saptanan özelliklerdir. “Güven” nitelikleri gıda sertifikalarına güven ve inanç gerektirir, organik ürün sertifikaları gibi.

IV)Amaç: “Amaçla” ilgili nitelikler, tüketici tarafından sezilen, artı edilebilen özel faydaları içermektedir. Tüketiciler değerinin ne olduğuna değil, daha ziyade verdiği faydalarına göre önerilmektedir. Gıda bakışı açısından bu faydalar bazı fonksiyonlarla (ya da fonksiyonel özelliklerle) ilgilidir, sağlığa faydası, belirli bir gıda yemeye göre belirlenmiş sembolik durum (ya da simgesel özellikler), beklenen tat gibi algılar (algısal özellikler), ve yemek ile gıdanın verdiği hazzı birleştiren hedonizm (haz özellikleri).

Araştırmacıların bakış açıları bir dizi gıda özelliklerinin analizi konusunda olsa da, gıda ile ilişkili en önemli (anahtar) özelliklerin, aşağıda tartışıldığı gibi, çok-boyutlu olduğu bilinmektedir.

Gıda ile ilişkili anahtar özellikler; 'tat', 'kalite', 'fiyat', 'sağlık' ve 'kolaylık' tır. Bazı nitelikler ise yeni gıda ürün geliştirmenin, anahtar sürücüleri olarak tanımlanmaktadır: 1)kolaylık ve atıştırma, 2) sağlık ve refah, 3) zevk ve tutku (Leatherhead Food International, 2007).

i)Tad

Tat gıdanın ayıredici özelliklerinden biridir. Gıda seçiminde tat ve beklenen tad gıdanın en önemli özelliği olarak sıkça vurgulanmaktadır. Gıdanın tadına ve yeme deneyimine bağlı olarak, gıdanın tadına bağlı olarak gıda tekrar satın alınabilir ya da, mevcut durumu ya da olumsuz beklentiler nedeniyle bir gıda alınmayabilir. Tadın biyolojik bir temeli vardır. Cardelloya göre; insanlar doğuştan tatlı tadı tercihine sahiptirler, dört aylıkken tuz tercihi gelişir, ekşi ve acı tatlar için doğuştan bir reddetme gelişir. Ayrıca, tat algısı ve sınıflandırması yaşla birlikte azalmaktadır, yaşla ilgili tatdaki kayıp yaşa göre gıda hoşnutluğundaki azalmaya katkısı olan bir faktördür. Ayrıca, gıdaların tat tercihleri deneme sonucu da öğrenilebilir. Bu nedenle tadın toplumsal temeli de vardır. Gıdaların tadı bireysel beklentiler yoluyla ayırt edilebileceği gibi, bireysel zevklere yönelik algısal ve deneyimsel farklılıkları tatmak gıdaların psikolojik temellerini göstermektedir. Yeni gıda kavramında, toplumun alternatif yeni gıdalardan beklenen tadın kıyaslamasını ya da beklediği tatları anlamak psiko-duyarlılık analizi odak noktasıdır, özel bir gıda ya da tat tercihi için. Bu nedenle yeni gıda araştırması bazı duyuşsal analizlerin birleşimi olacaktır.

ii) Kalite

Gıda 'kalitesi' nitelikleri yaygın gıda tüketici araştırmaları kapsamında incelenmiştir. Kalite tüketici ve ürün arasındaki etkileşim olarak tarif edilen soyut, teorik bir kavramdır. Kalite; başlıca tüketici algıları ile (Martens ve ark , 1987) üreticinin planladığı ve geliştirdiği ürün özelliklerinin bulunduğu noktadır. Tüketicilerin tipik durumunda gıdayı alırken kalite aranır, böylece gıdaların tanımlanmasında, kavramsallaştırmada ve ölçmede kalite önemli bir araştırma çabası haline gelmiştir. Grunert ve arkadaşları (1996) "Toplam Gıda Kalite (TGK) Model 'inde kalite kavramsallaştırmıştır, modelde tüketicilerin kalite beklentilerinin nasıl oluştuğunun tanımlanması satınalma öncesinde ve sırasında nasıl kalite olması için tasarlanmıştır. Şekil 1'de gösterilen, TGK modeli (model bir zaman ögesi içermektedir) satış öncesi ve sonrası kalite algılarını ayırtmaktadır. Gıda alımlarında belirsizlik unsuru vardır, insanlar (onların sırasıyla yeme ve hazırlık bölünemez olması) bir gıdayı satın almadan önce hazırlık kolaylığı ve tadından emin olamaz, bu faaliyetlerle ilişkin kalite beklentileri satın almadan önce yapılır.

a) Fiyat

Gıdaların fiyatı ve satın alımları ilişkisi karmaşık bir konudur. Gıda perakendecileri fiyatları rekabet konumuna esas olarak kullanabilirler, örneğin; kendi mağazaları aracılığıyla artan ayak sesini desteklemek için 'kayıp liderler' olarak gıda satışları, ya da denemeye yada marka değiştirmeye özendirmek için "bir alana biri bedava" gibi teklif fiyatı promosyonları. Uzun yıllardır bazı insanların gıda alımı kararlarında fiyatın en önemli faktör olmadığı kabul edilmiştir. Örneğin, bazı gıdaların fiyatları ile alınan miktarları arasındaki ters ilişki, gıda alımı kararlarında öncelik verilen diğer faktörler gibi önemsenmemiştir. Ancak, gıda fiyatları hala, özellikle düşük gelirli insanlar için satın alma kararında önemli faktördür. Yeni bir gıda açısından, hedef müşterilerin harcanabilir gelirin ve yeni gıda fiyatının kabulü etkileyen önemli faktörler olması muhtemeldir .

b) Sağlık

Gıdaların sağlık özellikleri açısından beslenme ve sağlık arasındaki bağlantı, ürün promosyonlarında gıda imalatçıların ve bazı tüketicilerin gıda alım kararlarında önemli bir konudur. Bu özel eğilim; 'azaltılmış' ya da "az" oranda yağ / tuz / şeker ürünleri, vitamin ve mineral gıda uygulaması ve fonksiyonel gıda pazarının ortaya çıkması olarak görülebilir. Fonksiyonel gıdalar; olağan diyetin bir parçası olarak tüketilen, ancak geleneksel beslenme etkileri ötesinde (özellikle fizyolojik etkileri) sağlığa etkileri olan gıdalardır (Stein ve Rogríquez-Cerezo, 2008). Örneğin, Benecol® kolesterol düşürücü özelliklere sahip bitkisel stanol esterleri içeren ücretsiz süt içecekler, yoğurt, yoğurtlu içecekler, uzantıları ve krem peynir, bir dizi için bir marka adıdır .

c) Kolaylık

'Kolaylık' gıdalar satın alınırken tüketiciler tarafından aranan bir başka özelliktir, ve 'hazır yemek' ve 'pişirmeye hazır' yemekler ve malzemeleri içerir (Swoboda and Morschett, 2001). Piyasa verilerine göre, İngiltere'de tüketicilerin % 69'una göre yenmeye hazır yemeğin ve kolaylığın yeni gıda gelişmesinde başlıca etkenlerinden biri olmaya devam ettiğini göstermektedir, gıda kolaylığı giderek bir ' sağlık ' platformu (Mintel, 2009) ile beraber geliştirilmektedir. Kolaylık zaman ve emek tasarrufu sağlayan tüm gıda hazırlama sürecindeki çabalar ile ilişkilidir ve, bunlar; süpermarketler ve restoranlara gıda dağıtımında perakende hizmetleri ve formatlarında ek kolaylık sağlayan gıdalardır. Kolaylık talebi gıda hazırlama ustalığındaki eksiklik ile bağlantılıdır. Gıda kolaylık sorununun pratik temelini yanısıra bir ahlaki yanı vardır. Gıda bir toplumsal değerler deposudur,

kolaylığın sürücülerini ve sonuçlarını anlamak yeni gıda kabulü anlayışı ve yeni gıdaların pratik geliştirilmesi için fikir verebilir .

5.Davranışsal anlayışla gıda yaklaşımı ve insan hayatındaki rolü

Tüketici araştırmalarını da içeren bazı davranışsal varsayımlar şunlardır:

- i)Gıda hazırlama bir süreçtir (elde etme, satın alma, tüketime hazırlama ve tüketim) (Marshall, 1995)
- ii)Gıda davranışları hayat boyunca değişir (Furst ve ark,1995)
- iii)Gıda davranışları bireyin, ürünün ve gıda tüketim ortamının anlaşılmasıdır.
- iv)İnsanlar (niteliklerine nazaran) dağıtım faydası için gıda satın alırlar.

SONUÇ

Anahtar gıda söylemleri; i)yenilik/gelenek, ii)sağlık/hoşgörü, iii)ekonomi/savurganlık ve, vi)kolaylık/bakım olarak, Warde (1997) tarafından tarif edilmiştir. Sağlık ve hoşgörü örneğini alırsak, gıdanın karmaşıklığını ve sık sık çelişkili doğasını görebilirsiniz. Gıda yaşamı korumak için zorunludur. Gıda miktarları, kalite ve çeşitleri uzun ömürlü, sağlıklı ve hastalıklı (ölüm ve hastalık oranlarının sırasıyla bir nüfus düzeyinde saptanması ve tanımlanmasıdır) yaşam dereceleri üzerine etkilidir. İnsanların diyet doğası ve bileşimi, bazı kanser ve koroner kalp hastalıkları ve felç gibi bazı kronik hastalıkların nedenidir.

Tarım felaketleri veya bol hasatlar, kullanılabilirlik ve hammadde veya katkı maddelerinin maliyetlerini büyük ölçüde değiştirebilir. Hükümetler tarımı veya büyük ölçüde durumu etkileyen ekonomik politikaları veya gıda endüstrisinde fiyatlandırmayı destekleyebilir. Uzmanların tavsiyeleri üzerine hükümetler gıda mevzuatını, yönetmelikleri ve gıda standartlarını değiştirirler (revize ederler). Bu tür aksamalar ürünleri ve yeni ürünleri kargaşa içine atmaktadır. Gerçek hayatta yeni ürün gelişimi ve tanıtımı bir boşlukta yer almaz.

Başarılı gelişim için,

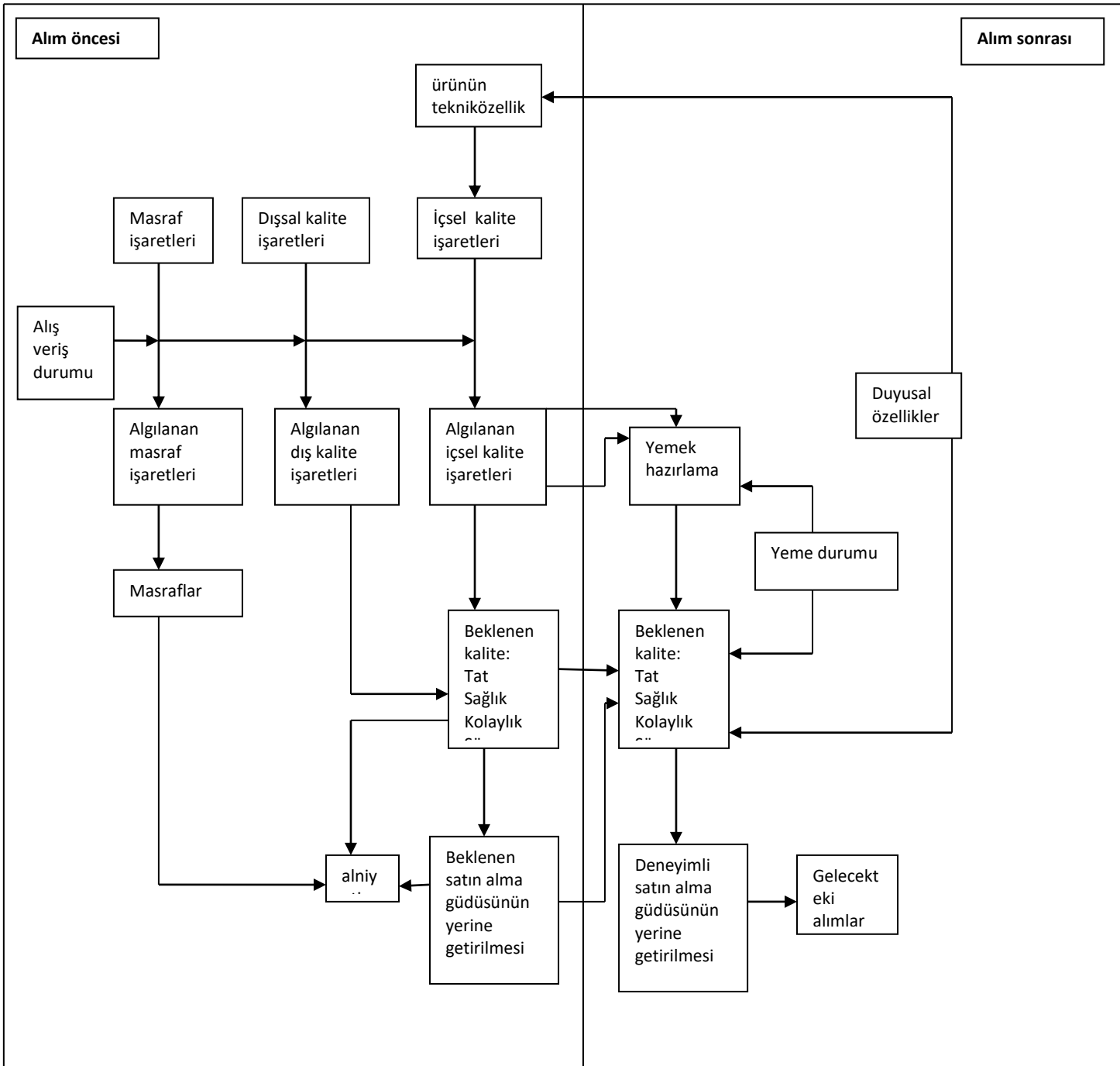
- Geliştirici için karlı ve pratik olması,
- tekrar satın almadaki sonuçlanan tarafından geliştirici büyümesine izin vermesi,
- tüketicinin ödemeye hazır olduğu fiyattaki müşterilerin ve tüketicilerin ihtiyaçlarını karşılması.

Tablo 1. Yeni ürün geliştirme için kritik bir yol analizi programı

Tehlike	ortadan kaldırmak, en aza indirmek ya da tehlikeyi kontrol etmek için iyileştirici önlem
	Bundan sonra, proje yöneticisinin çeşitli beceri sağlamak için setleri izlemesi gerekir (a) onların görevlerini anlamak, (b) tüm görevleri yerine getirmek için kaynaklarını ve yeteneğine sahip olmak, (c) ilerleme düzenli olarak raporlanır
	<ul style="list-style-type: none">• patent fikirler keşif için tespit edilmiş midir?
Bir test pazar protokolü geliştirildi mi?	<ul style="list-style-type: none">• Test piyasa faaliyetlerinin değerlendirilmesi için kriterler oluşturulmuştur.• hedef müşterileri ve tüketicileri içeren uygun bir test başlatma alanı seçildi• bir izleme, rekabetçi faaliyetleri dahil. Test piyasasını ilgilendiren tüm pazar faaliyetlerini izlemek için kurulur.• promosyon malzemeleri bir reklam kopyası mı,

	tüketiciler ve tüketici olan pazarları için uygunluk, hazırlanmasında ya da kaynağında?
	<ul style="list-style-type: none">• reklam için medya seçimi kabul edildi mi? Eğer öyleyse, reklam dikkate alınan medyanın tüm avantajından yararlanıldı mı?
	<ul style="list-style-type: none">• Tüm promosyon malzemeleri, reklam, etiket kopyalama ve talepler hukuk departmanı tarafından onaylanmış mı?
	<ul style="list-style-type: none">• Reklam temel bir müşteri/tüketici avantajı vaat ediyormu? Bu, açık, güvenilir, basit ve samimi mi?
Ürün bakımı	<ul style="list-style-type: none">• Ürünün gelecekteki yeniden tasarımı için bir plan geliştirilmiş midir?

Şekil 1. Toplam Gıda Kalite Modeli



Kaynak: Grunert *et al* (1996)

Yararlanılan kaynaklar

- Cardello, A.V., 1996. "The role of the human senses in food acceptance", Food choice, acceptance and consumption, In Meiselman, H.L. and MacFie, H.J.H. (Eds.), London: Blackie Academic and Professional.
- Fischler, C., 1988. Food, Self and Identity. *Social Science Information* 27:275-293.
- Fuller, G., 2005. *New Food Product Development: From Concept to Marketplace*, 2nd edn. Boca Raton, FL: CRC Press.
- Haley, R.I., 1968. Benefit segmentation: A decision-oriented research tool. *Journal of Marketing* vol. 32, no.3, July, 1968, p:30-35.

- Grunert, K. G., Baadsgaard, A., Larsen, H. H., & Madsen, T. K., 1996. Market orientation in food and agriculture. Boston: Kluwer Academic Publishers.
- Mintel, 2009. Mintel reviews global consumer trends of 2009. www.mintel.com
- Nelson, P., 1970. Information and consumer behaviour. *J.P.E.* 78. NO.2 (March,/April): 311-329.
- Olson, J. C. and J. Jacoby, 1972. Cue utilization in the quality perception process. In: M. Venkatesan (Ed.), *Proceedings of the Third Annual Conference of the Association for Consumer Research*, pp.167-179. Association for Consumer Research, Iowa City.
- Rozin, P. (1999). "Food Is Fundamental, Fun, Frightening, and Far-Reaching." *Social Research* 66(1): pp9-30.
- Stein A.J. and Rodríguez-Cerezo E. (2008). "Functional food in the European Union." Technical Report by the Joint Research Centre of the European Commission, EUR 23380 EN. Luxemburg: European Communities, 74p.
- Swoboda, B. and Morschett, D. (2001). Convenience-oriented shopping: a model from the perspective of consumer research. In L. J. Frewer, E. Risvik, & H. Schifferstein (Eds.), *Food, people and society: an European perspective of consumers_ food choices* (pp. 177–196). Berlin: Springer-Verlag.

Türkiye ile AB Ülkeleri Arasında Sebze ve Meyve Ürünlerinde Karşılaştırmalı Üstünlük

Hasan VURAL¹

Sefa ÇAKIR²

¹Prof. Dr. Uludağ Üniversitesi, Ziraat Fakültesi, Tarım Ekonomisi Bölümü, Bursa.

²Ms.c. Uludağ Üniversitesi, Ziraat Fakültesi, Tarım Ekonomisi Bölümü, Bursa.

Özet: Ülkelerin kalkınmasında ve ekonomik büyümede günümüzde en önemli konuların başında ihracat faaliyetleri gelmektedir. Küreselleşen dünya ekonomisinde rekabet koşulları gittikçe önem kazanmaktadır. Türkiye 145'den fazla ülkeye kendine menşei tarım ürünleri ihracatı gerçekleştirmektedir. Ancak istenilen değerde ihracatın yapıldığı söylenemez. İhracatta uzmanlaşma, gelişmiş pazarlama yöntemleri ve coğrafi işaretli ürün satışı gibi konulara önem verilirse başta Avrupa ülkeleri olmak üzere daha fazla ülkeye ihracatın artırılması şansı bulunmaktadır. Bu çalışmada amaç ülkemiz ile aynı iklim kuşağında olan Akdeniz ülkeleri arasında sebze ve meyvelerin açıklanmış mukayeseli/rekabetçi üstünlük karşılaştırmasını yapmaktır. Çalışmada 2014-2018 yıllarındaki ülkelerin ihracat ve ithalat rakamları kullanılmıştır. İhracat ve ithalat rakamlarından Balassa İndeksi (BI) ve Vollrath İndeksleri (VI1, VI2, VI3) hesaplanmıştır. Bu indeks değerleri analiz edilerek Türkiye'nin diğer ülkeler ile açıklanmış mukayeseli/rekabetçi üstünlüğü karşılaştırılmıştır

Anahtar Kelimeler: Mukayeseli üstünlük, Balassa İndeksi, Vollrath İndeksi, bahçe ürünleri

Comparative Advantage in Fruit and Vegetable Products Between EU Countries and Turkey

Abstract: Recently, export activities are one of the main factors in the development and growth of countries. In the globalizing world economy, competition conditions gains more importance. Turkey exports more than 145 agricultural products that are originated in Turkey. However it cannot be said that desired export levels are being reached. If importance is given to issues such as specialization in export, advanced marketing methods and sales of geographically indicated products, there is a chance to increase exports to more countries, especially European countries. The aim of this study is to compare the comparative/competitive superiority of fruits and vegetables between the Mediterranean countries in the same climate zone as our country. In the study, the export and import figures of countries were used in 2014-2018. The Balassa index (BI) and Vollrath indices (VI1, VI2, VI3) were calculated from the export and import figures. These index values were analyzed and Turkey's comparative/competitive advantage was compared with other countries.

Key words: comparative advantage, Balassa Index, Vollrath Index, horticultural products

1-GİRİŞ

Tarım sektörü çeşitli gıdaları üreten, gıda sanayinde birçok gıdanın üretiminde hammadde sağlayan bir toplumda insanların sağlıklı beslenmesini sağlayan en önemli sektördür. Türkiye için tarım sektörü ülke nüfusunun beslenmesini sağlaması, milli gelire ve istihdama katkı sağlaması, tarıma dayalı sanayi sektörüne hammadde sağlaması, dış ticarete katkı sağlaması gibi birçok nedenden dolayı büyük önem taşımaktadır. Türkiye'de kırsal kesimde 6,3 milyon kişi yaşamakta, 4.9 milyon kişi tarımda istihdam edilmektedir (Rehber ve Vural, 2019). Türkiye tarımsal üretim bakımından yüksek oranda kendi ihtiyacını karşılayabilmektedir. Tarımsal gayrisafi milli hasılanın toplam içindeki oranı %5,8'dir (216,6 milyar TL). Tarımın toplam ülke ihracatı içindeki payı ise %3'dür (24 milyar TL).

Globalleşen dünyada bir ülkenin kendi içine dönük ekonomisi yetmemekte, gelişip ilerleyebilmesi için dünyadaki diğer ülkelerle sosyal ve ticari ilişkilerini kuvvetlendirmesi gerekmektedir. Özellikle de dış dünyaya dönük ticari ilişkileri her yönüyle güçlü olmalıdır. Ancak, ticari ilişkilerini güçlendirebilmesi için dünyada ki diğer ülkelerle rekabet edebilmelidir. Başarılı rekabet için ülkelerin rekabet gücü iyi analiz edip ortaya konulmalıdır. Rekabet günümüz dünyasında ticaret yapabilmeyen en önemli etkenlerinden biridir (Fidan, 2017).

Tarım sektörünün ülkelerin ekonomik kalkınmaları üzerindeki yarattığı olumlu etkilerden bir diğeri ise dış ticaret yolu ile döviz girdisinin sağlanmasıdır. Tarım sektörü aracılığı ile ülkelere döviz girişi üç şekilde sağlanmaktadır. Bunlardan birincisi; ülkelerin üretmiş oldukları tarımsal mamulleri ihraç etmek sureti ile döviz girişinin sağlanması, ikincisi tarımsal üretim sonucunda ithal ikâmesinin sağlanarak ülke dışına çıkması olası dövizlerin ülke içerisinde kalmasının sağlanması, üçüncüsü ise tarıma dayalı sanayileşmenin gelişimi sonucunda,

hammadenin yanı sıra, tüketim mallarının da ihracı ile döviz girişinin sağlanmasıdır (Deran, 2005: 29). Türkiye için yıllardır kullandığımız bir söz vardır: "Türkiye bir tarım ülkesidir." Eğer Türkiye bir tarım ülkesiyse tarım ürünlerinde rekabet gücü yüksek olmalıdır. Bu çalışmanın amacı tarım ürünlerinde aynı iklim kuşağında bulunduğumuz Akdeniz ülkeleri İspanya, İtalya, Fransa, Portekiz ve Yunanistan ile Türkiye arasında açıklanmış mukayeseli/rekabetçi üstünlüğü analiz etmektir. Bu analizleri yaparken birçok çalışmada Balassa İndeksi kullanılarak analizler yapılmıştır. Balassa İndeksi hesaplanırken sadece ihracat rakamları kullanılmaktadır. Bu çalışmayı yaparken sadece Balassa İndeksi kullanılmamış olup aynı zamanda ithalat rakamlarını da dikkate alan Vollrath İndeksleri de analiz edilmiştir.

Türkiye'nin açıklanmış mukayeseli/rekabetçi üstünlüğünü ölçmek için hem tarımda hem sanayide birçok araştırma yapılmıştır. Bunlardan bazıları; (Güran 1990), (Kojima 1970), (Karakaya ve Özgen 2002), (Altay ve Gacaner 2003), (Yılmaz 2003), (Aktan 2004), (Bowen 1983), (Çoban ve Kök 2005), (Altay ve Gürpınar 2008), (Şahinli 2010), (Hartoğlu 2014), (Topuz ve Coşkun 2018), (Güngör ve Gökalp 2015), (Erkan 2012), (Şahin 2016), (Aynagöz Çakmak 2003) şeklinde sıralanmıştır.

2-MATERYAL VE YÖNTEM

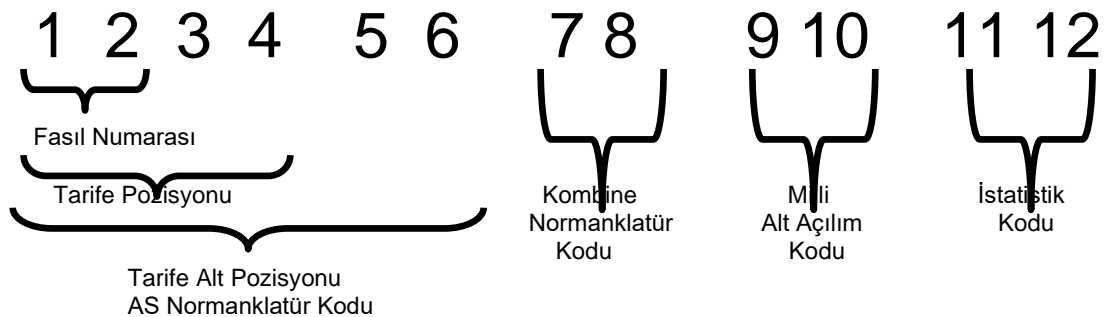
Araştırmada kullanılan veriler dolar bazında olup; dış ticaret verileri International Trade Centre (Uluslararası Ticaret Merkezi) kuruluşunun www.trademap.org internet sitesinden elde edilmiştir. Verilerin güvenilirliği Türkiye İstatistik Kurumu ve Eurostat verileri ile karşılaştırılıp test edilmiştir. Araştırmada 2014-2018 dönemindeki ülkelerin ihracat ve ithalat rakamları kullanılmıştır. Araştırmada Uyumlaştırılmış Mal Tanım ve Kod Sistemi (Harmonized Commodity Description and Coding System) analizler için ise Balassa İndeksi ve Vollrath İndekslerinden yararlanılmıştır.

2.1- Harmonize Sistem

Araştırmada Uyumlaştırılmış Mal Tanım ve Kod Sistemi (Harmonized Commodity Description and Coding System) kullanılmıştır. Fasılları kıyaslarken HS2 digit kodları, tarım ürünlerini kıyaslarken HS 6 digit kodları dikkate alınmıştır. Genel olarak "Uyumlaştırılmış Sistem" veya "HS" olarak anılan Uyumlaştırılmış Mal Tanımı ve Kodlama Sistemi, Dünya Gümrük Örgütü (WCO) tarafından geliştirilen çok amaçlı uluslararası bir ürün adlandırmadır. Yaklaşık 5,000 emtia grubundan oluşur; her biri altı basamaklı bir kodla tanımlanır, yasal ve mantıksal bir yapıda düzenlenir ve düzgün sınıflandırmayı sağlamak için iyi tanımlanmış kurallar tarafından desteklenir. Sistem, gümrük tarifeleri ve uluslararası ticaret istatistiklerinin toplanması için 200'den fazla ülke ve ekonomi tarafından kullanılmaktadır. Uluslararası ticaretteki malların % 98'inden fazlası HS olarak sınıflandırılır. HS, gümrük ve ticaret prosedürlerinin uyumlaştırılmasına ve bu prosedürlerle bağlantılı belgesel olmayan ticaret veri değişimine katkıda bulunur ve böylece uluslararası ticarete ilişkin maliyetleri düşürür.

HS'nin kod güncellenmesi Dünya Gümrük Örgütü (WCO) tarafından yapılmaktadır. Bu kod güncellemesi, HS'deki ve teknolojiye gelişmeler ve ticaret kalıplarındaki değişiklikler ışığında periyodik güncellemelerin tek elden yorumlanmasını ve periyodik olarak güncellenmesini sağlamak için alınan önlemleri içermektedir.

Şekil 1: Uyumlaştırılmış Mal Tanım ve Kod Sistemi (Harmonized Commodity Description and Coding System)



İlk 4 Rakam Eşyanın Pozisyon Numarasını ifade eder 12 hanenin açılımı şu şekildedir:

Armonize Sistem Nomanklatür Kodu: İlk 6 Rakam Dünya Gümrük Örgütü'ne üye tüm ülkelerde kullanılan kodlardır, dünyanın her yerinde aynıdır.

Nomanklatür Kodu: 7-8 inci rakamlar Aynı gümrük statüsündeki bölge ülkelerinde standarttır, örneğin Avrupa Birliği ülkeleri tarafından kullanılan kombine kodlardır.

Milli Alt Açılım: 9-10 uncu rakamlar farklı vergi uygulamaları nedeniyle her ülkenin kendi yaklaşımına göre belirlemek için açılan pozisyonları gösteren kodlardır.

İstatistik Kodu: 11-12 inci rakamlar ise Gümrük Tarife İstatistik (GTİP) kodlarını gösterir.

2.2- Balassa İndeksi

Verilerin analizinde Balassa'nın açıklanmış mukayeseli üstünlük indeksi BI kullanılmıştır. Söz konusu mukayeseli üstünlük ilk kez Liesner (1958) tarafından ortaya atılmış, daha sonra ise Balassa (1965) tarafından tanımlanıp geliştirilmiş ve Balassa İndeksi olarak adlandırılmıştır. Balassa İndeksi bir ülkenin diğer ülkeye karşı güçlü ve zayıf ihracat sektör ve mallarını belirlemek için kullanılmaktadır. Balassa İndeksi BI şu şekilde formüle edilmiştir:

$$BI = [(X_{ij}/X_i) / (X_{wj}/X_w)]$$

X_{ij} = i ülkesinin j malı ihracatını,

X_i = i ülkesinin toplam ihracatını,

X_{wj} = w ülkesinin j malı ihracatını,

X_w = w ülkesinin toplam ihracatını,

BI indeksi sonuçlarının yorumlanmasında (Coxhead,2007:1109);

$BI > 1$; ise i ülkesinin ilgili dönemde j malı sektörü ihracatı payı, aynı dönemde karşılaştırdığımız diğer ülkedeki payından büyüktür. Başka bir ifade ile ülke söz konusu malda veya sektörde açıklanmış karşılaştırmalı üstünlüğe sahip olup uzmanlaşmıştır.

$BI < 1$; ise i ülkesinin ilgili dönemde j malı veya sektörü ihracatı payı, aynı dönemde karşılaştırdığımız diğer ülkedeki payından küçüktür. Başka bir ifade ile ülke söz konusu malda veya sektörde açıklanmış karşılaştırmalı dezavantaja sahip olup uzmanlaşma gerçekleşmemiştir.

$BI = 1$; ise i ülkesinin ilgili dönemde j malı veya sektörü ihracatı payı, aynı dönemde karşılaştırdığımız diğer ülkedeki payına eşittir. Başka bir ifade ile ülke söz konusu malda veya sektörde uzmanlaşma seviyesi, diğer ülkenin uzmanlaşması ile aynı düzeyde gerçekleşmiştir.

Hinloopen (2001); tarafından karşılaştırmalı üstünlüğün gücünü göstermek amacıyla BI katsayısını, dört aşamada sınıflandırmıştır:

$0 \leq BI \leq 1$; karşılaştırmalı üstünlük yok,

$1 < BI \leq 2$; zayıf derecede karşılaştırmalı üstünlük var,

$2 < BI \leq 3$; orta derecede karşılaştırmalı üstünlük var,

$3 < BI$; güçlü karşılaştırmalı üstünlük var, şeklinde sınıflandırılmıştır.

2.3- Vollrath İndeksleri

Balassa indeksi tek başına, sadece ülkenin ihracat verileri ile hangi mallarda üstünlüğü olduğunu göstermektedir. Vollrath (1991) Balassa İndeksine bir eleştiri getirmiş sadece ihracat verileri değil aynı zamanda ithalat verilerini de mukayeseli üstünlük belirtirken kullanılması gerektiğini belirtmiştir. Vollrath bilhassa tarım sektöründeki rekabeti irdeleyerek, Balassa İndeksi (BI) için üç alternatif yöntem geliştirmiştir (Vollrath 1987. 1989 ve 1990).

Nispi Ticaret Üstünlüğü (VI1)

Vollrath'ın birinci indeksidir. İhracat rakamları ile birlikte ithalat rakamlarını da içerir.

VI1=Nispi İhracat Üstünlüğü (NXU) – Nispi İthalat Üstünlüğü (NMU)

$$NXU=BI=[(X_{ij}/X_i) / (X_{wj}/X_w)]$$

X_{ij} = i ülkesinin j malı ihracatını,

X_i = i ülkesinin toplam ihracatını,

X_{wj} = w ülkesinin j malı ihracatını,

X_w = w ülkesinin toplam ihracatını,

$$NMU=[(M_{ij}/M_i) / (M_{wj}/M_w)]$$

M_{ij} = i ülkesinin j malı ithalatını,

M_i = i ülkesinin toplam ithalatını,

M_{wj} = w ülkesinin j malı ithalatını,

M_w = w ülkesinin toplam ithalatını,

$$VI1= NXU - NMU$$

$$VI1= [(X_{ij}/X_i) / (X_{wj}/X_w)] - [(M_{ij}/M_i) / (M_{wj}/M_w)]$$

Nispi İhracat Üstünlüğünün Logaritması (VI2)

$$VI2= \ln (NXU) = \ln (BI) = \ln [(X_{ij}/X_i) / (X_{wj}/X_w)]$$

Açıklanmış Rekabetçilik (VI3)

$$VI3 = \ln (NXU) - \ln (NMU)$$

$$VI3= \ln [(X_{ij}/X_i) / (X_{wj}/X_w)] - \ln [(M_{ij}/M_i) / (M_{wj}/M_w)]$$

Vollrath'ın üç indeksi bu şekilde hesaplanmaktadır. Yorumlanmasına gelince pozitif çıkan indeks değerleri açıklanmış mukayeseli/rekabetçi üstünlüğü; negatif çıkan indeks değerleri açıklanmış mukayeseli/rekabetçi dezavantajı göstermektedir. Vollrath en çok açıklanmış rekabetçilik indeksini önermektedir. Çünkü açıklanmış rekabetçilik indeksi arz/talep dengesini daha iyi sağlamaktadır.

Bu çalışmamızda Türkiye ile diğer ülkeleri karşılaştırırken Balassa indeksi ve Vollrath indeksleri ayrıntılı olarak analiz edilip incelenmiştir. 07-Sebzeler ve 08-Meyveler fasılları HS 6 digit kod düzeyinde ayrıntılı olarak ürünler karşılaştırılmıştır.

3- ANALİZ VE BULGULAR

Bu çalışmamızda Türkiye ile aynı iklim kuşağında yer alan Fransa, İtalya, İspanya, Portekiz ve Yunanistan arasında sebze ve meyvelerde ki mukayeseli üstünlük incelenmiştir. 07-Sebzeler faslında tüm sebze çeşitleri incelenmiştir. Tablo 1'de Türkiye'nin üstün olduğu sebzeler gösterilmiştir.

Tablo 1: Türkiye ile İspanya, İtalya, Fransa, Portekiz ve Yunanistan arasında bazı sebzeler için Balassa ve Vollrath indeks değerleri (2018 indeks değerleri)

İNDEKS	ÜLKELER	SEBZELER					
		Mercimek	Bezelye	Nohut	Börülce	Fasulye	Domates
BI	İspanya	366,04	83,25	66,9	34,11	31,96	1,75
	İtalya	60,19	10,88	18,23	18,67	32,16	2,9
	Fransa	39,87	0,00	17,04	60,94	8,41	1,64
	Portekiz	24,66	18,27	9,28	1,40	6,23	1,44
	Yunanistan	25,16	55,83	38,66	2,17	3,64	3,24

VI1	İspanya	349,7	82,78	58,7	25,85	28,78	1,72
	İtalya	40,86	9,04	4,59	13,39	29,28	2,87
	Fransa	-1,62	0,00	-59,6	-4,15	8,3	1,63
	Portekiz	-98,74	12,14	2,43	1,24	-0,16	1,41
	Yunanistan	13,11	43,06	26,82	1,29	1,4	3,21
VI2	İspanya	5,9	4,42	4,2	3,53	3,46	0,56
	İtalya	4,1	2,39	2,9	2,93	3,47	1,06
	Fransa	3,69	-8,35	2,84	4,11	2,13	0,49
	Portekiz	3,21	2,91	2,23	0,34	1,83	0,36
	Yunanistan	3,23	4,02	3,65	0,77	1,29	1,17
VI3	İspanya	3,11	5,17	2,1	1,42	2,31	4,3
	İtalya	1,14	1,78	0,29	1,26	2,41	4,7
	Fransa	-0,04	0,00	-1,5	-0,07	4,34	5,02
	Portekiz	-1,61	1,09	0,3	2,14	-0,03	4,09
	Yunanistan	0,74	1,48	1,18	0,9	0,48	5,03

Tablo 1 incelendiğinde Türkiye'nin diğer ülkelere karşı bakliyat grubunda ciddi bir üstünlüğü bulunmaktadır. Yaş sebzelerde ciddi bir üstünlüğü yoktur. Tablo 1'de görüleceği gibi domateste Türkiye'nin üstünlüğü vardır. Buradan çıkaracağımız sonuçla aynı iklim kuağında bulunan Akdeniz ülkelerine karşı bakliyat ve domates gibi yaş sebzelerde Türkiye'nin üstünlüğü bulunmaktadır. Türkiye olarak biz bakliyat ürünlerinde daha kaliteli ürünler üretilip markalaşma yoluna gitmeliyiz.

08-Meyveeler faslında tüm meyve çeşitleri incelenmiştir. Tablo 2'de Türkiye'nin üstün olduğu meyveler gösterilmiştir.

Tablo 2: Türkiye ile İspanya, İtalya, Fransa, Portekiz ve Yunanistan arasında bazı meyveler için Balassa ve Volrath indeks değerleri (2018 indeks değerleri)

İNDEKS	ÜLKELER	MEYVELER								
		Kuru Üzüm	Fındık	Kuru Kayısı	Antep Fıstığı	İncir	Ayva	Ceviz	Kiraz	Elma
BI	İspanya	332,32	305,56	87	39,82	36,37	14,13	11,2	5,57	2,22
	İtalya	239,83	3,62	111,39	5,05	34,8	219,97	2,83	4,64	0,11
	Fransa	46,87	108,97	14,98	4,77	14,89	22,87	0,4	10,99	0,07
	Portekiz	351,27	3379,7	4751,73	11,33	119,53	98,41	11,26	277,93	0,51
	Yunanistan	2,85	286,05	89	3,66	6,04	2,47	5,11	1,37	0,69
VI1	İspanya	331,53	300,67	84,26	38,6	30,31	13,09	9,87	5,57	2,2
	İtalya	239,33	3,14	108,17	5,04	33,19	218,92	0,1	4,64	0,05
	Fransa	46,29	107,63	13,74	4,29	14,11	22,55	-3,42	10,99	0,03
	Portekiz	350,07	3365,06	4746,27	9,08	117,23	98,31	8,76	277,93	0,49
	Yunanistan	2,49	284,32	88,08	3,33	4,38	2,32	4,22	1,37	0,64
VI2	İspanya	5,81	5,72	4,47	3,68	3,59	2,65	2,42	1,72	0,8
	İtalya	5,48	1,29	4,71	1,62	3,55	5,39	1,04	1,53	-2,15
	Fransa	3,85	4,69	2,71	1,56	2,7	3,13	-0,9	2,4	-2,59
	Portekiz	5,86	8,13	8,47	2,43	4,78	4,59	2,42	5,63	-0,66
	Yunanistan	1,05	5,66	4,49	1,3	1,8	0,91	1,63	0,32	-0,37
VI3	İspanya	6,04	4,14	3,46	3,48	1,79	2,61	2,13	8,7	4,73
	İtalya	6,17	2,02	3,55	5,76	3,07	5,35	0,04	9,7	0,55
	Fransa	4,39	4,4	2,5	2,3	2,95	4,27	-2,24	10,13	0,54

	Portekiz	5,68	5,44	6,77	1,61	3,95	6,85	1,51	14,1	3,17
	Yunanistan	2,07	5,11	4,58	2,43	1,29	2,79	1,75	5,88	2,68

Tablo 2 incelendiğinde Türkiye'nin diğer ülkelere karşı kuru üzüm, kuru kayısı, fındık, Antep fıstığı ve incir ürünlerinde mutlak bir üstünlüğü bulunmaktadır. Yaş meyvelerden ayva, kiraz ve elma da üstünlüğü bulunmaktadır. Yaş meyvelerde ciddi bir üstünlüğü yoktur. Buradan çıkaracağımız sonuçla aynı iklim kuşağında bulunan Akdeniz ülkelerine karşı kuru üzüm, kuru kayısı, fındık, Antep fıstığı ve incir ürünlerinde Türkiye'nin mutlak üstünlüğü bulunmaktadır. Türkiye olarak biz kuru üzüm, kuru kayısı, fındık, Antep fıstığı ve incir ürünlerinde daha kaliteli ürünler üretilip markalaşma yoluna gitmeliyiz.

KAYNAKÇA

- [1] Anonim, 2019, Harmonize Sistem <https://www.ihracat.co/2017/02/gumruk-tarife-istatistik-pozisyonu.html>
- [2] Anonim, 2019, TÜİK Dış Ticaret Verileri <https://biruni.tuik.gov.tr/disticaretapp/menu.zul>
- [3] Anonim, 2019, International Trade Centre (Uluslararası Ticaret Merkezi) https://www.trademapp.org/Bilateral_TS
- [4] Erkan B., Arpacı B. B., Yaralı F., Güvenç İ. 2014, Türkiye'nin Sebze İhracatında Karşılaştırmalı Üstünlük
- [5] Erkan B., 2016, Türkiye'nin Canlı Hayvan, Et ve Deniz Ürünleri İhracatındaki Rekabet Gücünün Analizi, İnsan ve Toplum Bilimleri Araştırmaları Dergisi, Cilt: 5, Sayı: 7, Sayfa: 1843-1864
- Fidan, H., 2017. Uluslararası tarımsal pazarlama. Ekin Basın Yayın Dağıtım. Bursa.
- [6] Küçükkiremitçi O., 2006, Dış Ticaretteki Rekabet Gücüne Göre Sanayi Sektörünün Değerlendirilmesi, Türkiye Kalkınma Bankası A. Ş.
- [7] Kanat S., 2018, Türk Tekstil ve Hazır Giyim Sektörünün Uluslararası Rekabet Gücünün Analizi,
- [8] Çakmak Aynagöz Ö., 2004, Açıklanmış Karşılaştırmalı Üstünlükler ve Rekabet Gücü: Türkiye Tekstil ve Hazır Giyim Endüstrisi Üzerine Bir Uygulama
- [9] Altay B., Gürpınar K., 2007, Açıklanmış Karşılaştırmalı Üstünlükler ve Bazı Rekabet Gücü Endeksleri: Türk Mobilya Sektörü Üzerine Bir Uygulama
- [10] Yalçınkaya H. M., Çilbant C., Erataş F., Hartoğlu D., 2014, Açıklanmış Karşılaştırmalı Üstünlükler Ekseninde Rekabet Gücünün Analizi: Türk-Çin Dış Ticareti Üzerine Bir Uygulama.
- [11] Güngör Akgün G., Gökalp M. F., 2015, Küreselleşme Sürecinde Türkiye'de Karşılaştırmalı Üstünlüklerin Kaleidoskopik Yapısı: İmalat Sanayi Örneği
- [12] Topuz H., Coşkun A. E., 2018, Ricardo'nun Karşılaştırmalı Üstünlükler Teorisi: Türkiye, Kolombiya ve Güney Kore Üçlüsünün Sektörel Bazda Uygulamalı Bir Analizi
- [13] Engin E., 2013, Açıklanmış Karşılaştırmalı Üstünlükler Yaklaşımına Göre Türkiye Oluklu Mukavva Ambalaj Sektörünün Rekabet Gücü
- [14] Şahinli M. A., 2010, Açıklanmış Karşılaştırmalı Üstünlükler Endeksi: Türkiye Pamuk Endüstrisi Üzerine Bir Uygulama
- [15] Erkan B., 2012, Ülkelerin Karşılaştırmalı İhracat Performanslarının Açıklanmış Karşılaştırmalı Üstünlük Katsayılarıyla Belirlenmesi: Türkiye-Suriye Örneği
- [16] Ardıç B., 2017, Türkiye'nin Açıklanmış Karşılaştırmalı Üstünlüklerinin Belirlenmesi
- [17] Rehber E. ve Vural H., 2018. Tarım Ekonomisi. Ekin Basın Yayın Dağıtım. Bursa.
- Rehber E. ve Vural H., 2019. Türkiye tarımı. Büyük Anadolu Medya Grup. Ankara.

Türkiye Cumhuriyet Merkez Bankası Faiz Kararlarının Ticari Bankaların Borç Verme Maliyetlerine Etkisi

Öğr. Gör. Havva ARABACI¹

Dr. Öğr. Üyesi Duygu YÜCEL²

¹Trakya Üniversitesi Edirne Sosyal Bilimler Meslek Yüksekokulu Muhasebe Vergi Bölümü arabacih@hotmail.com
Orcid: 0000-0003-0212-6590

²Trakya Üniversitesi Edirne Sosyal Bilimler Meslek Yüksekokulu Muhasebe Vergi Bölümü
duyguyucel@trakya.edu.tr Orcid: 0000-0002-2665-6732

Özet: Merkez Bankasının temel amacı fiyat istikrarını sağlamaktır. Merkez Bankası, fiyat istikrarına sağlamak için ekonomideki arz ve talep düzeyini etkilemeye çalışmaktadır. Arz ve talep koşullarını etkilemek için ise kısa vadeli faiz oranlarını temel araç olarak kullanmaktadır. Kısa vadeli faiz oranı, Merkez Bankasının bankalar ve aracı kurumlar ile işlemlerinde kullandığı faiz oranını ifade etmektedir. Merkez Bankası, piyasalarda bankalara ödünç para vermekte veya bankalardan ödünç para alabilmektedir. Merkez Bankası, faiz oranlarını piyasaları etkilemek amacıyla belirlemektedir. Türkiye Cumhuriyet Merkez Bankası (TCMB), temel amaç olan fiyat istikrarı doğrultusunda 2002 yılından itibaren, enflasyon hedeflemesi rejimi uygulamasına geçmiş, temel politika aracı olarak kısa vadeli faiz oranlarını kullanmaya başlamıştır. TCMB, makro finansal riskleri sınırlamak amacıyla 2006 yılından itibaren uygulamakta olduğu açık enflasyon hedeflemesi rejiminin çerçevesini finansal istikrarı da içine alacak şekilde genişleterek yeni bir para politikası bileşimi uygulamaya başlamıştır. TCMB, 2010 yılının sonlarından itibaren aşamalı olarak yeni bir para politikası çerçevesi geliştirilerek, yeni bir para politikası bileşimi uygulamaya koymuştur. TCMB politika aracı olarak kullanmakta olduğu kısa vadeli faiz oranlarının yanı sıra, zorunlu karşılıklar, faiz koridoru, likidite yönetimi ve rezerv opsiyonu mekanizması gibi birbirini tamamlayıcı farklı politika araçlarını da kullanmaya başlamıştır.

Merkez Bankasının ticari bankalarla işlemlerinde kullandığı kısa vadeli faiz oranlarında değişikliğe gitmesi, ticari bankaların borç verme maliyetlerini etkilemektedir. Bu çalışma ile Türkiye Cumhuriyeti Merkez Bankası faiz kararlarının bankaların borç verme maliyetlerine etkileri açıklanmaya çalışılmıştır.

Anahtar Kelimeler: Merkez Bankası, Para Politikası Araçları, Faiz Oranları, Borç Verme Maliyeti.

Effect Of The Commercial Banks Lending Costs Of The Republic Of Turkey Central Bank Interest Rate Decision

Abstract: The main purpose of the Central Bank is to ensure price stability. The Central Bank tries to influence the level of supply and demand in the economy to ensure price stability. It uses short-term interest rates as the main tool to influence supply and demand conditions. The interest rate used by the Central Bank in the transactions of banks and brokerage houses is called short-term interest rate. The Central Bank lends money to banks or can borrow money from banks. The Central Bank determines the interest rates in order to affect the markets. Central Bank of the Republic of Turkey, in line with the main objective of price stability since 2002, adopted an inflation targeting regime. The Bank has started to use short-term interest rates as its main policy instrument. The Central Bank has been implementing open inflation targeting since 2006. In order to limit macro financial risks, it has expanded the framework of the open inflation targeting regime to include financial stability. The bank has gradually developed a new monetary policy framework since late 2010. In this way, the Bank started to implement a new monetary policy combination. In addition to the short-term interest rates it uses as a policy tool, the Central Bank has started to use different complementary policy tools such as reserve requirements, interest rate corridor, liquidity management and reserve options mechanism.

Changes in the short-term interest rates used by the Central Bank in its transactions with commercial banks affect the lending costs of commercial banks. In this study, the effects of the Central Bank of the Republic of Turkey on the cost of bank lending interest rate decisions were explained.

Keywords: Central Bank, Monetary Policy Instruments, Interest Rates, Lending Cost.

1. GİRİŞ

Bankalar, para ve kredi hizmetlerinin yerine getirilmesine yönelik faaliyette bulunan iktisadi birimlerdir. Bankalar, yeni bir servet yaratmayı, tasarrufların verimli ve karlı yatırım alanlarına akmasını ve ekonomik birimlere kaynak sağlaması nedeniyle ekonomiyi etkilemekte ve ekonomik kalkınmaya katkıda bulunmaktadır (Altay, 2014: 7).

Ülkemiz de 2002-2007 dönemi gerek ekonomi, gerekse bankacılık sektörü açısından yeniden yapılandırılma dönemidir. Bankacılığa ilişkin yasal düzenlemelerin uluslararası standartlara ve uygulamalara uyumlaştırılması çalışmaları gerçekleşmiştir. Bankalar Kanunu'nda çok ciddi değişiklikler yapılmış olup Bankacılık Kanunu 2005 yılında yasallaştırılmıştır. Bankacılık sektörünün denetimi ve düzenlemesine ilişkin tüm yetki Hazine Müsteşarlığı ve Merkez Bankası'ndan alınıp, yeni kurulan Bankacılık Düzenleme ve Denetleme Kurumu'na (BDDK) aktarılmıştır.

Bankalar kanununa göre; kendi nam ve hesabına mevduat kabul etmek ve kredi kullanılmak esas olmak üzere faaliyet gösteren kuruluşlar ile yurt dışında kurulu bu nitelikteki kuruluşların Türkiye'deki şubeleri mevduat bankası (ticari banka) olarak tanımlanır.

Merkez Bankaları, ülkelerin para politikalarından sorumlu kurumlardır. Para politikası, merkez bankalarının genel ekonomi politikası hedefleri ile uyumlu olarak (fiyat istikrarı, finansal sistemin işleyişinde istikrar ve sürdürülebilir ekonomik büyüme) para arzı ve faiz gibi değişkenleri yönlendirme çabaları olarak tanımlanabilir (Uzunoğlu ve Sönmezler, 2013).

Merkez Bankası Kanunu'na göre Bankanın temel görevlerinden biri "finansal sistemde istikrarı sağlayıcı ve para ve döviz piyasaları ile ilgili düzenleyici tedbirleri almaktır.

Ayrıca, mali piyasaları izlemek, finansal sistemler ile ilgili hususlarda hükûmete görüş vermek, Bankaca uygun görülecek banka dışı mali kurumların ve bankaların yükümlülüklerini esas alarak zorunlu karşılıklar ve umumi disponibiliteler ile ilgili usul ve esasları belirlemek ve bankalardaki mevduatın vade ve türleri ile özel finans kurumlarındaki katılma hesaplarının vadelerini belirlemek, ödeme ve mutabakat sistemlerini kurmak, işletmek ve denetlemek de Bankanın finansal istikrar ile ilgili diğer temel görevleri arasındadır.

3 Ekim 1931 tarihinde faaliyetlerine başlayan Türkiye Cumhuriyet Merkez Bankası'nın (TCMB) kuruluş Kanunu'na göre temel amacı ülkenin ekonomik kalkınmasını desteklemektir. 14 Ocak 1970 tarihinde kabul edilen 1211 Sayılı Türkiye Cumhuriyet Merkez Bankası Kanunu ile bankanın, yasal statüsünde, kurumsal yapısında, yetki ve görevlerinde önemli değişiklikler gerçekleştirilmiştir.

1970'li yıllarda yaşanan petrol kriziyle başlayan yüksek enflasyon süreci sonrasında fiyat istikrarının sağlanmasını temel amaç edinen bir yapıya kavuşmuştur. Merkez bankalarının, İktisadi faaliyeti ve enflasyonu nasıl etkilediğini tespit etmek ve etkin politika araçları belirlemek amacıyla 1980'li yıllardan itibaren parasal aktarım mekanizmasının işleyişini ortaya koyacak çalışmalar hız kazanmıştır.

2001 yılında yaşanan ekonomik krizin ardından 25 Nisan 2001 tarihinde Türkiye Cumhuriyet Merkez Bankası Kanunu'nda önemli değişiklikler yapılmıştır. Gerçekleştirilen değişikliklerin en önemlisi TCMB'nin "temel amacının fiyat istikrarını sağlamak" olduğunun Kanun'da açıkça tanımlanması olmuştur. Bununla beraber, TCMB'nin uygulayacağı para politikasını ve kullanacağı para politikası araçlarını doğrudan kendisinin belirleyeceği Kanun'da ifade edilmiş ve böylelikle para politikası araç bağımsızlığı verilmiştir. Ayrıca Kanun'da, TCMB'nin fiyat istikrarını sağlama amacı ile çalışmamak kaydıyla hükümetin büyüme ve istihdam politikalarını destekleyeceği belirtilmiştir. Kanun'da gerçekleştirilen temel değişikliklerden bir diğeri ise, TCMB'nin Hazine ile diğer kamu kurum ve kuruluşlarına avans verilmesinin ve kredi açmasının ve bu kuruluşların ihraç ettiği borçlanma araçlarını birincil piyasadan satın almasının yasaklanmasıdır. Yapılan kanun değişikliği ile finansal istikrarı sağlamak TCMB'nin destekleyici amacı olarak tanımlanmıştır.

Ülkemizde 22 Şubat 2001 tarihinden itibaren Hükümet ve Merkez Bankası tarafından alınan kararla dalgalı kur rejimi uygulanmaya başlanmıştır. Değişim sürecinde uygulanan para politikası stratejisinin de değiştirilmesi kararlaştırılmıştır. Temel amaç olan fiyat istikrarı doğrultusunda 2002 yılından itibaren, enflasyon hedeflemesi rejimi uygulamasına geçilmiştir. TCMB, temel politika aracı olarak kısa vadeli faiz oranlarını kullanmaya başlamıştır.

2008 yılının son çeyreğinden itibaren tüm dünyayı etkisi altına alan küresel finansal kriz Türkiye ekonomisini de etkilemiş, bu doğrultuda alternatif politika arayışları gündeme gelmiştir. TCMB, 2006 yılından itibaren uygulamakta olduğu enflasyon hedeflemesi rejiminin çerçevesini genişleterek yeni bir para politikası bileşimi uygulamaya koymuştur. 2008 Küresel Finansal Kriz'in tüm dünya ekonomileri üzerinde ortaya koyduğu ağır etkilerinin ülkemize yansımalarını minimize etmek amacıyla TCMB, politika aracı olarak kullanmakta olduğu kısa vadeli faiz oranlarının yanı sıra, zorunlu karşılıklar, faiz koridoru, likidite yönetimi ve rezerv opsiyonu mekanizması gibi birbirini tamamlayıcı farklı politika araçlarını da kullanmaya başlamıştır. (TCMB, 2013, Kasım).

2008-2009 küresel finansal krizinden sonra TCMB yeni politika bileşimini uygulamaya başlamıştır. Bu bileşimde fiyat istikrarı önceliği korunurken finansal istikrar da destekleyici bir amaç olarak benimsenmiştir. (TCMB, 2015, Kasım).

2. MERKEZ BANKASI FAİZ KARARLARININ TİCARİ BANKALARIN BORÇ VERME MALİYETLERİNE ETKİSİ

Faiz oranları ekonomilerdeki temel makroekonomik göstergelerin başında gelmektedir. Faiz oranlarındaki değişimler ve dalgalanmalar tüm finansal piyasaları ve dolayısıyla tüm ekonomik aktörleri etkilemektedir. faiz oranlarındaki artışlar ve azalışlar özellikle yatırımlar üzerinde derin etki oluşturmaktadır (Lin ve diğerleri, 2018: 1-2; Kartal, 2019: 15).

Genellikle ekonomilerde tek bir faiz oranından söz etmek mümkün değildir. Diğer bir ifade ile bir ekonomi için kredi faizleri, mevduat faizleri, bankalar arası para piyasası faizleri, merkez bankası para politikası faizleri, tahvil-bono faizleri, Eurobond faizleri ve LIBOR faizleri (Londra Bankalararası Faiz Oranı) gibi çok sayıda faiz oranı söz konusu olmaktadır (Kartal, 2019: 25). Ülkemiz bankacılık sisteminde de, sendikasyon kredisi ve türev araçlar başta olmak üzere finansal işlemlerde LIBOR ve EURIBOR yaygın bir biçimde kullanılmaktadır (TCMB, 2019, Kasım). Londra Bankalararası Faiz Oranı (LIBOR) ve Euro Bankalararası Faiz Oranı (EURIBOR) genellikle krediler ve/veya dış ticaret kredileri de dahil bankacılık ürünleri kapsamında ödenmesi gereken faizin belirlenmesinde kullanılan referans faiz oranlarıdır. LIBOR (London Inter Bank Offered Rate), üye bankaların katılımıyla belirlenen Londra para piyasalarındaki bankalararası borç verme faiz oranıdır. USD, GBP, EUR, CHF, JPY para birimleri olarak gecelik, 1 aylık, 2 aylık, 3 aylık, 6 aylık, 12 aylık vadeler olarak belirlenir. Dünyada faiz oranını belirlemek için en yaygın olarak kullanılan oranlardan biridir. EURIBOR (Euro Inter Bank Offered Rate), Avrupa piyasalarındaki katılımcı bankalar tarafından, 8 farklı vadede, yalnızca EURO için belirlenir (www.pwc.com.tr).

Türk Lirası Gecelik Referans Faiz Oranı (TLREF), Türev ürünlerde, borçlanma araçlarında ve çeşitli finansal sözleşmelerde TL kısa vadeli referans faiz oranı ihtiyacını karşılamak üzere Borsa İstanbul tarafından (BİST) 17 Haziran 2019 tarihinden itibaren uluslararası standartlarla uyumlu TLREF günlük olarak yayımlanmaya başlamıştır (TCMB, 2019, Kasım).

Türkiye’de ekonomik faaliyetlerin büyük kısmı bankacılık sektörü tarafından ve bu sektördeki mevduat bankaları tarafından fonlanmaktadır (Depren ve diğerleri, 2018, s. 1). Mevduat bankaları bu fonlamayı temel araçları olan kredi kanalı ile sağlamaktadırlar. Kredi kullanan müşterilerin ödedikleri kredi faizi, üretim maliyetleri ile ürün ve hizmetlerin satış fiyatlarını doğrudan etkilediğinden ekonomik aktörler açısından yüksek önem taşımaktadır. Dolayısıyla, kredi faizlerinin düşük seviyelerde tutulması önem taşımaktadır (Tumwine ve diğerleri, 2018: 270; Kartal, 2019: 16).

Ekonomilerdeki fon kanallarını etkilemesi nedeniyle faiz oranları aynı zamanda uluslararası yatırımcılar ve uluslararası doğrudan ve portföy yatırımları açısından da önem taşımaktadır (Akkaya, 2018: 180). Uluslararası sermaye ve fon hareketlerinde faiz göstergesi olarak LIBOR temel faiz oranı olarak kabul edilmektedir.

Merkez Bankası, temel amacı olan fiyat istikrarına ulaşmak için ekonomideki arz ve talep düzeyini etkilemeye çalışmaktadır. Arz ve talep koşullarını etkilemek için ise kısa vadeli faiz oranlarını temel araç olarak kullanmaktadır.

Dışa açık bir ülkede oluşan faiz oranı, o ülkenin merkez bankasının yanı sıra diğer ülkelerin merkez bankalarının da aldığı kararlardan etkilenerek belirlenmektedir.

Türkiye de hem küresel ekonomideki gelişmelerin hem de büyük merkez bankalarının aldığı kararların etkisi altında kalmıştır. Faiz oranlarının seviyesi iç talebi etkilediği kadar dış talebi de etkilemektedir. Örneğin, enflasyonla mücadele kapsamında artan faiz oranları, bir yandan kredi taleplerini azaltırken diğer yandan kısa vadeli portföy yatırımlarını ülkeye çekmektedir. (Şarkaya İçellioğlu, 2017: 24). Azalan faiz oranları ise, kredi taleplerini artırır iken diğer yanda da kısa vadeli portföy yatırımlarının ülkeden çıkışına neden olmaktadır.

Merkez Bankasının ticari bankalarla işlemlerinde kullandığı kısa vadeli faiz oranlarında değişikliğe gitmesi bankaların borç verme maliyetlerini etkiler. Örneğin, faiz oranlarında yaptığı bir indirim bankaların kişilere borç verirken uyguladıkları faiz oranının düşmesine neden olacağı için borçlanmayı kolaylaştırır. Daha az maliyetle borç alan kişiler daha çok harcama ve yatırım yapmaya istekli olur ve böylelikle mal ve hizmetlere olan talep artar. Diğer yandan Merkez Bankasının faiz oranlarında gerçekleştirdiği artış borçlanma maliyetini

artırmaktadır. Bu durum tüketiciler için tasarruflar üzerinden kazanılacak faiz gelirini artıracığından harcama yapmak yerine tasarrufta bulunmayı daha çekici hale getirir. Yatırım yapmayı planlayanlar açısından ise yatırım yapmayı daha maliyetli hale getirir. Bunun sonucunda kişilerin harcama ve yatırım yapma isteği azalır, mal ve hizmetlere olan talep azalmış olur.

Merkez bankalarınca uygulanan para politikaları aracılığı ile ekonomiyi etkileme kanalları arasında kısa vadeli faiz oranları ile banka faizleri arasındaki ilişkinin yönlendirilmesi oldukça önemli bir araçtır. Merkez bankasının etkisi altında olan kısa vadeli faizlerdeki değişimlerin bankaların kredi ve mevduat faizleri üzerine yansıma düzeyleri, para politikasının toplam talep üzerindeki etki derecesini ortaya koyar (Binici vd., 2016:2). Bu çerçevede uygulanan para politikası araçlarından birisi, son dönemde farklı ülkelerde oldukça yaygın şekilde kullanılan faiz koridorudur. Faiz koridoru stratejisinde temel maksat, merkez bankalarının kısa vadeli sermaye hareketlerinin piyasalarda kırılma ve oynaklığa sebep olmasını azaltabilmektir. Bu noktada merkez bankalarının ortaya koydukları kurallar çerçevesinde ticari bankaların gecelik işlemleri kontrol altında tutulmaktadır (Bindseil & Jablecki, 2011: 6; Gedikli, 2017: 25).

TCMB'nin faiz kararları ile faizin alt ve üst bandını değiştirebilir. Yani koridoru daraltıp genişletebilir. Faiz koridorunun daralması, bankalar açısından borç alma maliyeti ile borç verme getirisini birbirine yaklaştırmaktadır. Böylece banka kredi maliyetlerinin düşeceği anlamına gelmektedir. Faiz koridorunun genişlemesi ise, bankalar açısından borç alma maliyeti ile borç verme getirisini birbirine uzaklaştırmaktadır. Bu da banka kredi maliyetlerinin yükseleceği anlamına gelmektedir.

3. MERKEZ BANKASI FAİZ ORANLARI

3.1. Politika Faizi

TCMB bu faiz oranı üzerinden bankaların repo taleplerini karşılamaktadır. Bankalar ellerinde bulunan tahvil ve bonoları teminat olarak vermekte, TCMB'den para alarak repo yapmaktadır. Bu şekilde kendilerine bir fon oluşturmuş olurlar. TCMB ise talep edilen bir haftalık borca karşılık faiz belirlemektedir. İşte belirlenen bu faiz, politika faizidir.

Politika faizi yıl içinde genel olarak aylık periyotlarda Para Politikası Kurulu toplantılarında açıklanmaktadır. Politika faizinin değeri, ekonomiyi ve özellikle bankaların uygulamış olduğu faiz oranlarını etkilemektedir.

TCMB politika faiz oranı üzerinden miktar ihalesi ile bankalara fonlama yapabilmektedir. Yeni politika bileşiminin bir ayağı olan likidite politikası çerçevesinde gecelik piyasada oluşan faiz oranları, faiz politikasında değişikliğe gidilmeden; (yani politika faizi olan haftalık repo faizleri değiştirilmeksizin) ekonomik ve finansal gelişmelerin seyrine göre ayarlanabilmektedir. Bu sayede, piyasaya yapılan fonlama ayarlanarak para piyasasındaki gecelik faiz oranlarının politika faizinden farklı olmasına izin verilebilmektedir (<https://www.tcmb.gov.tr>).

TCMB politika faiz oranını yükseltme kararı aldığı anda; TCMB'den borç alacak bankalar, açıklanan yüksek politika faizine göre ödeme yapacaktır. Buna bağlı olarak kredi ve mevduat faizlerini yükseltecektir. Aynı zamanda yüksek faiz yüzünden bankalar, TCMB'den daha az fon satın alacağı için kredi toplam tutarı azalacaktır. O da ekonominin durgunlaşmasına neden olacaktır. Politika faizinin yükseltilmesi, döviz kurunun düşmesine de neden olacaktır.

Politika faizi düşürüldüğü zaman; bankalar, TCMB'den düşük faizle daha fazla borç para talebinde bulunacaktır. Bu durum kredi toplam tutarını yükselteceği için ekonomide canlılık oluşacaktır. Ayrıca bankalar düşük faizli fon aldıkları için maliyetleri düşecek ve kredi mevduat faizlerine yansiyarak faizin düşmesine neden olacaktır. Bunlara ek olarak döviz kurunu yükseltecektir.

3.2. Gecelik Fonlama Faizi

Türkiye Cumhuriyet Merkez Bankası'nın her gece bankalardan aldığı borç veya onlara verdiği borç karşılığında uyguladığı faiz oranlarıdır. TCMB'nin ilan ettiği borç alma faiz oranı taban işlevi görürken borç verme faiz oranı ise **tavan** işlevindedir.

TCMB bu şekilde bankaların her gün açık vermeden hesaplarını kapatmasını sağlamaktadır. Borçlanma ise sadece tek taraflı değil, bankaların ellerindeki likidite fazlası nedeniyle limitsiz bir şekilde merkez bankasının borçlanma faiz oranından, TCMB'ye borç verebilmektedir.

Gecelik fonlama faizi ile birlikte TCMB piyasalarda oluşan kısa vadeli faiz oranlarını ve döviz kurlarını etkileyebilmektedir. Ayrıca TCMB, gecelik işlemlerde uygulanan faiz oranları ve politika faizi ile ikincil piyasada oluşan kısa vadeli faiz oranlarını, döviz kurlarını ve kredilerin büyüme hızını etkileyebilir. Bu noktada da ağırlıklı ortalama fonlama maliyetinden bahsetmek gerekiyor.

TCMB'nin borç verme faizi, marjinal fonlama oranı ya da faiz koridorunun üst bandı olarak bilinmektedir. Likidite ihtiyacı olan bankalar, bu faiz oranı üzerinden TCMB'den limitleri ve teminatları ile sınırlı olmak şartıyla gecelik olarak borçlanabilirler.

Borç alma faizi ise TCMB'nin bankalardan borçlanma faizidir. Likidite fazlası olan bankalar, bu faiz oranı üzerinden TCMB'ye limitsiz borç vermektedir.

3.3. Ağırlıklı Ortalama Fonlama Faizi

TCMB, piyasadaki likidite ihtiyacının karşılanması için piyasaya bir faiz karşılığı borç vermektedir. Gecelik borç verme faizi, politika faizi gibi fonlanan piyasanın ihtiyacı olan likiditeyi temin etmesi için TCMB'den borçlanma faizinin ağırlıklı ortalamasına ağırlıklı ortalama fonlama faizi denmektedir.

Bu faiz merkez bankasının çeşitli kanallardan piyasaya verdiği kısa vadeli likiditenin ağırlıklı ortalama faizini temsil etmektedir. TCMB'nin yaptığı fonlama bankaların temin ettiği kısa vadeli fonlamanın önemli bir bölümünü oluşturduğu için, bu faiz bankalar açısından mevduat, kredi ve diğer finansal araçların fiyatlamalarında önem taşıyabilmektedir.

Ağırlıklı Ortalama Fonlama Maliyeti (AOFM),

TCMB'nin gecelik borç verme faizi ile politika faizinin ağırlıklı ortalaması alınarak hesaplanır. Merkez Bankasının bankaları fonlamada kullandığı iki temel araç; gecelik borç verme (gecelik fonlama) ile haftalık repo ihalesi yoluyla borç vermedir (haftalık fonlama). Bu iki araçla yapılan fonlamanın miktarlara göre bulunan faiz ortalamasına da Merkez Bankası ağırlıklı ortalama fonlama maliyeti denir.

3.4 Reeskont Faizi

İskonto edilmiş yani bir bedel karşılığı el değiştirmiş olan kıymetlerin, bir bedel karşılığında yeniden el değiştirmesine reeskont denmektedir. TCMB, bankacılık kesiminin geçici likidite ihtiyaçlarının karşılanması için bankalar tarafından verilecek ticari senet ve vesikaları reeskonta kabul edebilir.

Ülkemizdeki reeskont işlemindeki tüm koşul ve kurallar TCMB tarafından belirlenmektedir. Aynı zamanda reeskont kredilerinin en yüksek sınırı ve kredi türlerine göre limitleri, para politikası ilkeleri kapsamında TCMB tarafından konulmaktadır. Bu işlemler için TCMB tarafından uygulanan faizlere, reeskont faiz oranı denmektedir.

TCMB reeskonta kabul edebileceği senetler karşılığında avans da verebilmektedir. Avans için teminat olarak alınan senetler ise ticari senet ve belgeler, devlet tahvilleri, borsada kayıtlı tahvillerdir.

3.5. İhracat Reeskont Kredisi Faizi

İhracatçılara uygun maliyetli kredi sağlamak amacıyla TCMB'nin Türk Eximbank'a ve diğer bankalara tanıdığı limit çerçevesinde kullanılan kredilere ihracat reeskont kredisi, bu krediye uygulanan faiz de reeskont faizi denmektedir.

TCMB bu kredileri açtığı Türk Eximbank ve bankalardan tahsil etmekte, kredi kullanan şirketler ise ödeme açısından Türk Eximbank ve bankalara muhatap olmaktadır.

3.6. Geç Likidite Penceresi Fonlama Faizi

Geç Likidite Penceresi (GLP); TCMB'nin son borç veren makam olarak gün sonu ödeme sistemlerinde oluşabilecek sorunların önüne geçmek amacıyla bankalara verdiği limitsiz vadeli TL borçlanma imkanı ve aynı koşullarda TL borç verme imkanı olarak bilinmektedir. Geceliktir ve geçici bir uygulama olarak da tanımlanmaktadır.

3.7. Faiz Koridoru

TCMB'nin tanımına göre faiz koridoru, merkez bankalarının gecelik olarak bankalardan borçlanabileceği ve bankalara borç verebileceği faiz düzeylerinin aralarında kalan alana denir (TCMB, 2013, Kasım).

TCMB, borç alma ve verme faizleri üzerinde değişikliğe giderek, para arzını kontrol eder. Bu yüzden faiz koridoru, TCMB'nin elinde bulunan etkili bir para politikası aracıdır. Bankalar gecelik likidite ihtiyaçlarını TCMB'den borçlanarak giderebilir. Aynı şekilde likidite fazlası olan bankalar paralarını TCMB'ye borç verebilirler. Gecelik para piyasası faizleri, bu koridor içinde belirlenmektedir.

Faiz koridor sisteminde, merkez bankası enflasyon ve büyüme hedeflerine uygun olacak şekilde gecelik faiz oranlarını belirler. Merkez bankası, bankacılık sistemine, açık piyasa işlemlerini etkileyecek şekilde belli bir düzeyde rezerv arz eder. Buna ek olarak, merkez bankası, sabit bir faiz oranından borç verme imkanı sunar. Bu faiz oranı üzerinden bankalar interbank piyasası yerine merkez bankasından borç aldıkları için ödenmesi gereken oran hedef politika faizi üzerinde olup bu oranı kabul ederler. Yine gecelik oranlarda bir taban belirlenir. Taban oran iki farklı şekilde değerlendirilebilir: Birincisi, bankalar fazla rezervlerini sabit bir faiz üzerinden yatırabilirler. İndirim oranlarına benzer şekilde, mevduat oranları hedef politika oranlarından belli bir ölçüde aşağıda belirlenir. Bu durum, banka için, fazla fonları gecelik olarak merkez bankası yerine interbank piyasalara aktarma konusunda teşvik oluşturur. Ortaya konan tavan ve taban değerleri ile koridor oluşturulmuş olur ve gecelik politika faiz oranlarındaki dalgalanmaların azaltılması hedeflenir (Gedikli, 2017: 26-27).

Bankalar rezerv balanslar karşılığında yetersiz kaldıklarında gecelik olarak borçlanmak istediklerinde indirim oranlarından daha yüksek bir ödeme yapmalarına gerek yoktur. Ellerinde rezerv fazlası olması durumunda merkez bankasının duyurduğu oranlarından daha düşük bir oran kabul etmek zorunda kalmazlar. Üstelik bankalar fon yetersizliği ile karşılaşmaları durumunda fon fazlası olan bankalardan tavan ve taban arasında kalan oranlarda borçlanma imkanına sahip olurlar. Bu süreç, gecelik olarak likidite için aktif bir özel piyasanın oluşmasına yol açar (Gedikli, 2017: 27).

Türkiye, Küresel Krizin ekonomiye olumsuz yansımalarını azaltabilmek amacıyla, fiyat istikrarı yanında finansal istikrarın da hedeflenmesine karar verilmiş ve Kasım 2010'da Türkiye de faiz koridoru uygulamasını başlatmıştır. Bu çerçevede konvansiyonel olmayan faiz politikaları, para politikası aktarım mekanizmasında faiz kanalını daha etkin hale getirmiştir (Binici vd., 2016:2).

4. SONUÇ

Türkiye'de ekonomik faaliyetlerin büyük kısmı mevduat bankaları tarafından fonlanmaktadır. Mevduat bankaları bu fonlamayı temel araçları olan kredi kanalı ile sağlamaktadırlar

Faiz oranları ekonomilerdeki temel makroekonomik göstergelerin başında gelmektedir. Bir ekonomi için kredi faizleri, mevduat faizleri, bankalar arası para piyasası faizleri, merkez bankası para politikası faizleri, tahvil-bono faizleri gibi çok sayıda faiz oranı söz konusu olmaktadır.

Merkez Bankası, temel amacı olan fiyat istikrarına ulaşmak için ekonomideki arz ve talep düzeyini etkilemeye çalışır. Arz ve talep koşullarını etkilemek için ise kısa vadeli faiz oranlarını temel araç olarak kullanmaktadır.

TCMB 2006 yılından itibaren uyguladığı enflasyon hedeflemesi rejimini, fiyat istikrarı önceliğinden ödün vermeden finansal istikrara da katkı yapacak şekilde yeniden tasarlayarak 2010 yılının sonlarından itibaren aşamalı olarak yeni bir para politikası çerçevesi geliştirmiştir. Bu çerçevede, fiyat istikrarını ve finansal istikrarı sağlayacak olan faiz oranlarının birbirinden farklı olabileceği, dolayısıyla kısa vadeli faiz oranlarının tek başına yeterli bir politika aracı olmadığı gözlenmiştir. Bu nedenle merkez bankalarının birden fazla politika aracı kullanması zaruri hale gelmiştir. Dolayısıyla, TCMB politika faizine ek olarak zorunlu karşılıkları ve faiz

koridorunu aktif para politikası araçları olarak kullanmaya başlamıştır. TCMB, yeni araçlar ile temel olarak krediler ve döviz kuru kanallarını ayrı ayrı etkileyerek fiyat istikrarını ve finansal istikrarı sağlamaya çalışmaktadır.

Faiz oranı, dışa açık bir ülkede, ülkenin Merkez Bankasının yanı sıra diğer ülkelerin Merkez Bankalarının aldığı kararlardan da etkilenerek belirlenmektedir. Merkez bankası faiz oranları; politika faizi, gecelik fonlama faizi, ağırlıklı ortalama fonlama faizi, reeskont faizi, ihracat reeskont kredisi faizi, geç likidite penceresi fonlama faizi, faiz koridorudur.

Merkez Bankasının ticari bankalarla işlemlerinde kullandığı kısa vadeli faiz oranlarında değişikliğe gitmesi bankaların borç verme maliyetlerini etkilemektedir. Merkez Bankasının, faiz oranlarında gerçekleştirdiği artış ticari bankaların borçlanma maliyetlerini artırmakta; faiz oranlarında gerçekleştirdiği azalış ise ticari bankaların borçlanma maliyetlerini azaltmaktadır.

KAYNAKÇA

Akkaya, M. (2018). Türk Lirası Referans Faiz Oranını (TRLIBOR) Etkileyen Makroekonomik Faktörlerin Analizi.

Çankırı Karatekin Üniversitesi İİBF Dergisi, 8(2), 179-197.

Altay, Oğuzhan (2014), Finansal Sistem ve Bankalar, (ss.1-13). (Editörler.) O. Altay, C. Küçüközmen, M. Ural, E.

Demireli, Banka İktisadi ve İşletmeciliği Ankara: Detay Yayıncılık

Binici, M., Kara, H. ve Özlü, P. (2016, Mart). Faiz koridoru ve banka faizleri: parasal aktarım mekanizmasına dair bazı bulgular. TCMB Çalışma Tebliği, No. 16/08, Mart 2016, 1-36.

Depren, Ö., Kartal, M. T., & Kılıç Depren, S. (2018). Borsalarda Oynaklık Üzerine Yayınlanmış Akademik

Çalışmaların Bibliyometrik Analizi. Bankacılık ve Sermaye Piyasası Araştırmaları Dergisi, 2(6), 1-15.

Kartal, M.T. (2019). Türkiye’de Kredi Faizlerini Etkileyen Faktörlerin Belirlenmesi: MARS Yöntemiyle Bir Analiz.

Bankacılar Dergisi, 108, 24-41.

TCMB (2013, Kasım). Finansal istikrar Raporu.

Uzunoğlu, S. ve Sönmezler, G. (2013). Ekonomiye Giriş. (Birinci Basım). İstanbul: Literatür Yayıncılık

İnternet Kaynakları

Gedikli, A. (2017,01). Para Politikası Aracı Olarak Faiz Koridorunun Etkinliği Üzerine Bir Değerlendirme: Örnek

Ülke Deneyimleri. Sosyal Bilimler Metinleri, Erişim Tarihi: 10.04.2020.

<https://dergipark.org.tr/en/download/article-file/767889>

Kartal, M. T. (2019). Türkiye’de Referans (Gösterge) Faiz Oluşturulması: Türk Lirası Gecelik Referans Faiz Oranı

(TLREF) Üzerine Bir İnceleme. Bankacılık Dergisi. Sayı 111. Erişim Tarihi: 10.04.2020.

<https://www.tbb.org.tr/Content/Upload/dergiler/dosya/86/111.pdf>

Şarkaya İçellioğlu, C. (2017). Finansal İstikrar Ve Türkiye Cumhuriyet Merkez Bankası’nın Para Politikası

Stratejisi. Mehmet Akif Ersoy Üniversitesi Sosyal Bilimler Enstitüsü Dergisi Cilt.9 Sayı.20 2017 Eylül (s.

20-38). Erişim Tarihi: 10.05.2020. <https://dergipark.org.tr/tr/download/article-file/346295>

TCMB (2015, Kasım). Finansal İstikrar Raporu. Erişim Tarihi: 30.04.2020.

<http://www.tcmb.gov.tr/wps/wcm/connect/TCMB+TR/TCMB+TR/Main+Menu/Yayinlar/Raporlar/Finansal+Istikrar+Raporu/2015/Sayi+21/>

TCMB (2019, Kasım). Finansal İstikrar Raporu. Erişim Tarihi: 15.06.2020.

<https://www.tcmb.gov.tr/wps/wcm/connect/ef7c0960-1e2d-4c94-bc43-36b959dea47c/Tam+Metin.pdf?MOD=AJPERES&CACHEID=ROOTWORKSPACE-ef7c0960-1e2d-4c94-bc43-36b959dea47c-mWS4mm1>

<https://www.mevzuat.gov.tr/MevzuatMetin/1.5.5411.pdf>

<https://www.pwc.com.tr/libor>

<https://www.tcmb.gov.tr>

Lojistik Sektörünün Bölge Kalkınmasına Etkisi

Öğr. Gör. Havva ARABACI¹

Dr. Öğr. Üyesi Duygu YÜCEL²

¹Trakya Üniversitesi Edirne Sosyal Bilimler Meslek Yüksekokulu Muhasebe Vergi Bölümü arabacih@hotmail.com
Orcid: 0000-0003-0212-6590

²Trakya Üniversitesi Edirne Sosyal Bilimler Meslek Yüksekokulu Muhasebe Vergi Bölümü
duyguyucel@trakya.edu.tr Orcid: 0000-0002-2665-6732

Özet: Ülkelerin gelişmişlik ve kalkınmışlık düzeylerini anlamamızı sağlayan en önemli yapı taşlarından biri, o ülkenin ekonomik göstergeleridir. Ekonomik göstergelerin olumlu olmasının, ülkenin ekonomik, sosyal, psikolojik ve kültürel olarak olumlu etkileri bulunmaktadır. Ekonomik göstergelerin değişiminde ve yükselmesinde en önemli rolü oynayan araçlardan biri de lojistikdir. Lojistik, ürünün üretildiği noktadan alınarak depolarda tutulması, stoklanması, teslim edilmesi ve bütün bu işlerin planlı, verimli ve hızlı şekilde yapılmasıdır. Son yıllarda ülkelerin dış ticaretinin artması, lojistiğin önemini arttırmıştır. Lojistik, ekonomik, sosyal, kültürel, stratejik, askeri ve politik alanlarda ülkeye değer katmaktadır. Lojistik faaliyetler, gerek ulusal gerekse uluslararası ekonomik hacminin artması, yabancı sermaye artışı, istihdamın artması, alım gücünün artması, vergi gelirlerinin artması, milli gelirin yükselmesi, ekonomik büyüme ve kalkınma gibi pek çok alanda da ülkeye katkıda bulunmaktadır.

Çalışmada, lojistik sektörünün bölge kalkınmasına etkisi açıklanmaya çalışılmıştır.

Anahtar Kelimeler: Lojistik, Lojistik Sektörü, Ekonomik Kalkınma, Bölgesel Kalkınma.

Effect Of Logistics Sector On Regional Development

Abstract: One of the most important elements that enable us to understand the development level of a country is the economic indicators of that country. Positive economic indicators have positive economic, social, psychological and cultural effects on the country. One of the tools that plays the most important role in the change and increase of economic indicators is logistics. Logistics is taking the product from the point where it is produced, keeping it in warehouses, stocking and delivering it and performing all these works in a planned, efficient and fast manner. Increase in foreign trade of countries in recent years has increased the importance of logistics. Logistics adds value to the country in economic, social, cultural, strategic, military and political fields. Logistics activities contribute to the country in many fields such as increasing the national and international economic volume, increasing foreign capital, increasing employment, increasing purchasing power, increasing tax revenues, rising national income, economic growth and development.

In the study, it was tried to explain the effect of logistics sector on regional development.

Keywords: Logistics, Logistics Sector, Economic Development, Regional Development Page.

1. GİRİŞ

Ülkelerin gelişmişlik ve kalkınmışlık düzeylerini anlamamızı sağlayan en önemli yapı taşlarından biri, o ülkenin ekonomik göstergeleridir. Bu göstergelerin olumlu olmasının, ülkenin ekonomik, sosyal, psikolojik ve kültürel dokusu üzerinde olumlu etkileri bulunmaktadır. Bu etkiler, toplumdaki bireylerin kültür, yaşam ve refah seviyelerini yükselterek kalitesini arttırmaktadır. Söz konusu ekonomik göstergelerin değişiminde ve yükselmesinde en önemli rolü oynayan araçlardan biri de lojistikdir. Özellikle son yıllarda ekonomik kalkınmayla birlikte ülkelerin dış ticaret eğilimlerinin artması, dış ticaret işlemlerinin daha karmaşık bir hal alması lojistiğin önemini arttırmıştır. Bu bağlamda, ekonomik faaliyetlerin devamı açısından ülkelerin sürdürülebilir bir iç ve dış ticaret sistemine sahip olması, bu ticaretin de mutlaka lojistik stratejileriyle desteklenmesi gerekir (Duran ve Türkoğlu, 2019: 89).

Son yıllarda Türkiye’de de hızlı bir gelişme gösteren lojistik sektörü, hem kendi içinde taşıdığı büyüme potansiyeli, hem de Türkiye’nin birçok ekonomik hedefe ulaşmasında oynayacağı temel rol itibarıyla büyük öneme sahiptir. Taşımacılık, depolama, paketleme, gümrükleme ve nihai tüketiciye erişimi de kapsayan lojistik hizmetlerinin dünya genelindeki hacmi giderek artmaktadır. Lojistik altyapısı gelişmiş ülkelerin ticaret faaliyetlerinin daha etkili ve verimli olduğu görülmektedir (Kalkınma Bakanlığı, 2013: 107).

2. KAVRAMSAL OLARAK EKONOMİK KALKINMA VE LOJİSTİK

Kalkınma kavramı, ulusun her yönüyle istenilen seviyeye gelmesi, maddi refahın artırılması, yoksulluğun minimize edilmesi vb. süreçleri içerisinde bulunduran bir kavram olarak ifade edilmektedir. Kalkınma kavramı, üzerinde en çok tanım yapılan kavramlardan birisi olup bir ülkenin yapısal değişikliklerinin olumlu yönde değişiminde kullanılan bir kavram olarak ortaya çıkmaktadır (Tolunay ve Akyol, 2006: 116).

Kalkınma veya gelişme; kişi başına düşen gelirin artırılması yanında ekonomik, sosyal, kültürel ve demokratik yapıların/kaynakların bir bütün olarak değişerek toplumun refahının artırılmasını içeren çok yönlü bir kavramdır (Yalçın, A. ve Yalçın, S. 2013: 33).

Ekonomik kalkınma; gelir düzeyindeki artış, eğitim ve sağlık göstergelerindeki iyileşme, verimlilik artışı ve teknolojik gelişme gibi çeşitli faktörleri kapsamaktadır. Bu faktörlerden her biri ekonomik kalkınmayı farklı şekilde etkilemektedir. Dolayısıyla ülkelerin kalkınması sadece ekonomik gelişmeyi değil aynı zamanda eğitim, sağlık, sosyal güvenlik ve teknoloji yatırımlarını da içermektedir. Bu faktörleri kapsayan kalkınmışlık göstergelerinin belirlenmesi ve ölçülmesi son yıllarda kalkınma iktisatçılarının ilgi odağı haline gelmiştir. Bu ilginin temel nedeni ise teorik tartışmalarda ekonomik kalkınmanın fiziki boyutunun yanı sıra nitelik boyutuyla da ele alınmasıdır (Tuna ve Yumuşak, 2002, s. 3).

Ülkelerin ekonomik büyüme oranlarını artırabilmelerinde ve küresel pazarlardan daha fazla pay alabilmelerinde dış ticaretin, özellikle de ihracatın önemi büyüktür. İhracatın tatmin edici düzeylerde olması ve sürdürülebilirliği, ülkelerin katma değeri yüksek ürün ihraç etmesine, ürün ve pazar çeşitliliğinin artırılmasına bağlıdır. Bununla birlikte, son yıllarda dış ticaret işlemleri lojistiğin önemini arttırmış, ülkelerin sözü edilen politika ve stratejileri mutlaka lojistik stratejileriyle geliştirmesi ve entegre etmesi zorunluluğu ortaya çıkmıştır (Erkan, 2014: 46).

Lojistik kavramı, ürünün üretildiği noktadan alınarak depolarda tutulması, stoklanması, ürünün istenilen yerlere ve istenilen şekilde teslim edilmesi ve bütün bu işlerin planlı, en verimli ve en hızlı şekilde yapılmasıdır (Çevik ve Kaya, 2010: 23).

Diğer bir tanıma göre lojistik, müşterilerin ihtiyaçlarını karşılamak üzere her türlü ürün, hizmet ve bilgi akışının, hammaddenin başlangıç noktasından, ürünün tüketildiği son noktaya kadar olan tedarik zinciri içindeki hareketinin, etkin ve verimli bir şekilde akış ve depolanmasının sağlanması, kontrol altına alınması ve planlanması sürecidir (Lojistik, 2000; Çancı ve Erdal, 2003: 35). Lojistik yöneticileri ve eğitimcilerinin profesyonel derneği olan Lojistik Yönetimi Konseyi (CLM)'ye göre ise; *Lojistik, hammaddelerin verimli, uygun maliyetli akışını ve depolanmasını planlama, uygulama ve kontrol etme sürecidir* (Fawcett, 2000). Fiziksel dağıtım, rochrematik, malzeme yönetimi, dağıtım mühendisliği, iş lojistiği, lojistik yönetim ve tedarik zinciri yönetimini isimlerini de alan "lojistik yönetimi" ise, firma tarafından gerçekleştirilen hareket ve depolama faaliyetlerinin yönetimi olarak tanımlanmaktadır (Fawcett, 2000).

Lojistik faaliyeti, ulaştırmayla birlikte, ürünün ihraç eden ülke ve firma ile ithal eden ülke ve firma arasındaki ulaştırma öncesi bilgi akışı, iletişim kanallarını ve ulaştırma sonrası depolama işlemlerini kapsamaktadır (Vallee, 2011: 82; Erkan, 2014: 46). Lojistik Faaliyetleri Tablo 1'de gösterilmiştir.

Tablo 1. Lojistik Faaliyetleri

ANA FAALİYETLER	DESTEK FAALİYETLER
Müşteri Hizmetleri	Depo/dağıtım merkezi yer seçimi ve yerleşimi
Taşıma ve Trafik Yönetimi	Dokümantasyon akışı
Envanter Yönetimi	Ürün/envanter akışı
Depo/Depolama Yönetimi	Üretim planlama
Elleçleme	Satın alma
Talep Yönetimi	Yedek parça ve satış sonrası hizmet, destek
Sipariş Yönetimi (Bilgi iletişimi ve sipariş işleme)	Geri dönüşüm, tersine lojistik
Koruyucu Ambalajlama	Sigortalama, gümrükleme

Kaynak: Gürdal, 2006: 11; Erkan, 2014: 46.

Yaşanan küresel ekonomi nedeniyle ortaya çıkan küresel pazarlar, hem üretim hem pazarlama ve hem de tedarik zincirinde büyük yapısal ve teknolojik değişimlerin oluşmasını sağlamıştır. Bu etkin rekabete dayalı yeni üretim sisteminde, üretim, nakliye ve bilginin entegrasyonu ön plana çıkmaktadır. Birbiri ile rekabet edebilen, müşterilerinin ihtiyaç ve beklentilerine eşanlı ve esnek olarak cevap verebilen, verimliliği ve performansı yüksek, teknolojik gelişim ve bilgiye uyum sağlayabilen kurumsal lojistik (çevik lojistik), hem işletmeler hem de ekonomik kalkınma açısından çağın gereksinimlerini taşımaktadır (Greis ve Kasarda, 2000). Bu bağlamda Lojistik Yönetimi Konseyi (CLM), lojistik faaliyetlerinin geliştirilmesi iyileştirilmesi, tedarik zinciri hizmetlerinde verimliliğin kalitenin artması ve müşteri değerlerinin izlenmesi konularında faaliyette bulunmakta, dünya genelinde iyi lojistik uygulamaları arasında bilgi alış-verişini sağlamayı amaçlamaktadır (Lojistik Yönetim Konseyi (CLM), 2000).

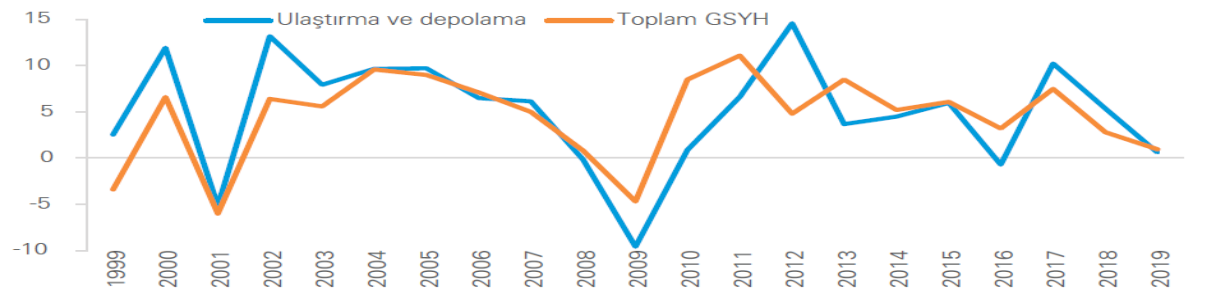
3. TÜRKİYE’DE LOJİSTİK FAALİYETLERİN EKONOMİ İÇİNDEKİ YERİ

Türkiye coğrafi olarak stratejik bir noktada yer almasına rağmen çok yüksek maliyetlerle lojistik altyapılar kurmak zorunda kalmıştır. Anadolu’daki ırmağın gemi ulaşımına uygun olmaması nedeniyle, sektör karayoluna yönelmiş ve ülke kaynakları büyük ölçüde tünellere, karayollarına ve köprülere harcanmıştır. Marmara Bölgesi ülke genelinde lojistik imkânlarla en elverişli bölge olduğu için ülkenin en gelişmiş alanı oluşturmaktadır (T.C. Ticaret Bakanlığı, 30 Ağustos 2018).

Lojistik sektöründe öncü bir yere gelebilecek durumda olan Türkiye fiziki altyapı, yatırım, ve kalifiye işgücü eksikliği gibi nedenlerle yeterli miktarda yatırımcı çekememektedir. 2018-2019 döneminde yaşanan korumacı küresel ticaret eğilimleri ile yaşanan finansal sorunlar da süreci olumsuz yönde etkide bulunmuştur (KPMG, 2020: 10). Türkiye’de taşımacılık ve lojistik sektörünün ekonomideki yeri Şekil 1.’de gösterilmiştir.

Şekil 1: Türkiye’de Taşımacılık ve Lojistik Sektörünün Ekonomideki Yeri

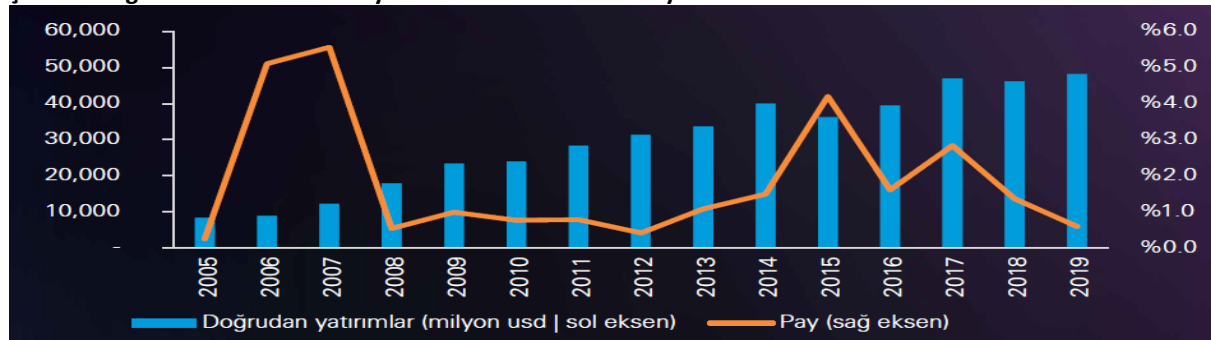
Yıllık büyüme oranları (%)



Kaynak: KPMG, 2020: 10.

Dış ticaret hacminde yüksek hızlı büyüme yaşanan dönemlerde tarihsel olarak GSYH’den daha hızlı büyüyen sektör, küresel kriz sonrası dönemde dalgalı bir seyir izlemiştir. Şekil 1’e göre, 1999-2008 döneminde GSYH ortalama %4,1 büyüme yaşanırken ulaştırma ve depolama sektöründe %6,2 olarak büyüme gerçekleşmiştir. 2009 sonrası ise küresel krizle birlikte dış ticaret hacminde yaşanan daralma lojistik sektörünü de ciddi şekilde küçültmüştü, tepe noktası 2011, dip noktası 2016 olan uzun soluklu bir toparlanma süreci yaşanmaktadır (KPMG, 2020: 10). Şekil 2’de lojistik sektörünün doğrudan yabancı sermaye yatırımları içindeki payı verilmiştir.

Şekil 2: Doğrudan Yabancı Sermaye Yatırımları ve Sektör Payı 2005-2019

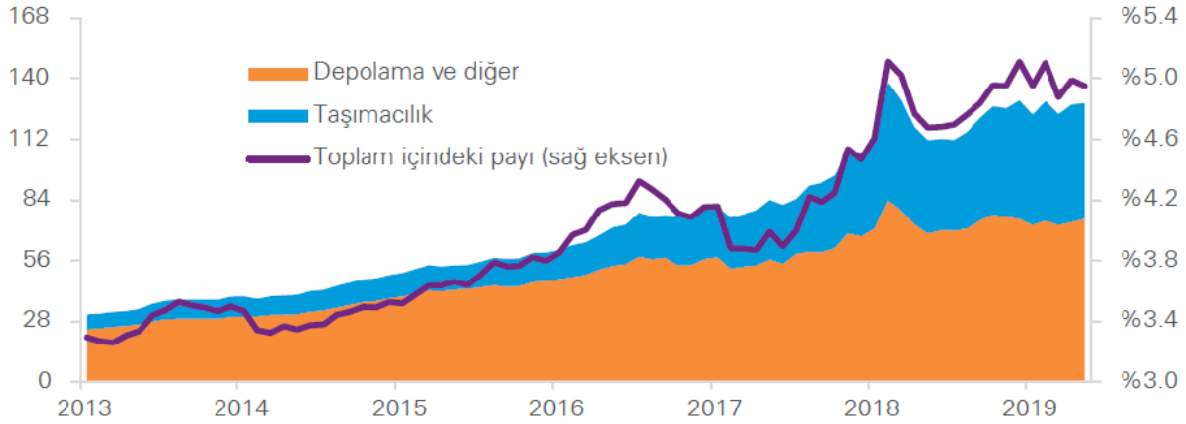


Kaynak: KPMG, 2020: 13.

Buna göre lojistik sektörü, son 6 yılda 5 milyar ABD Doları yatırım çekmiştir. Aynı dönemde sektörün doğrudan yabancı yatırımlardan aldığı pay ise ortalama %2 seviyesinde gerçekleşmiştir. 2015 yılında sektörün pastadan aldığı pay %4,2 iken 2019 yılında bu pay %0,6 olmuştur (KPMG, 2020: 13).

Taşımacılık ve lojistik sektörünün mali yapısına bakacak olursak; sektörün gerektirdiği yüksek yatırım maliyeti ve uzun vadeli dönüşler nedeniyle, uzun vadeli borçlanma gereksinimi yoğun olarak yaşanmaktadır. Sektörde döviz gelirlerinin varlığı, kur riski ve olası yüklerle karşı koruma kalkını oluşturmaktadır. Ancak dövizle borçlanabilme kabiliyeti bir yandan önemli bir avantaj sağlarken diğer yandan da TL'deki değer kaybı kredi hacminin artmasına neden olmaktadır (KPMG, 2020: 12). Şekil 3'de taşımacılık ve lojistik sektörünün mali yapısı verilmiştir.

Şekil 3: Taşımacılık Ve Depolama Sektörüne Verilen Krediler (Milyar TL) ve Toplam Krediler İçindeki Payı (%)



Kaynak: KPMG, 2020: 12.

Şekil 3 incelendiğinde, 2019 yılında sektörün toplam krediler içindeki payı %5 olarak gerçekleşmiştir. GSYH payı ile kıyaslandığında borç yükü aşırı görülmemektedir. Ancak sektörün taşımacılık kısmının aldığı pay ise giderek artmaktadır.

4. LOJİSTİK SEKTÖRÜNÜN BÖLGE KALKINMASINA ETKİSİ

Bölgesel kalkınma kavramı, ülke bütününde yer alan bölgelerin, çevre bölgeler ve dünya ile karşılıklı etkileşimi ile oluşan bölge vizyonunu dikkate alan, katılımcılık ve sürdürülebilirliği temel ilke edinen ve insan kaynaklarının geliştirilmesi, ekonomik ve sosyal potansiyelin harekete geçirilmesi yoluyla bölgenin gelişmişlik seviyesinin yükseltilmesini amaç edinen çalışmaların tümü olarak ifade edilmektedir (İldırar, 2004: 16).

“Bölgesel kalkınma kavramının geleneksel tanımında, bölgeler arası gelişmişlik farklılıklarının en aza indirilmesi ve geri kalmış bölgelerin kalkındırılmasına vurgu yapılırken, yeni bölgesel kalkınma kavramı yaklaşımında; geleneksel tanımda yer alan bölgeler arası gelişmişlik farklılıklarının en aza indirilmesi amacının yanı sıra, özellikle Avrupa Birliği üyesi ülkeler ve birliğe aday ülkeler arasındaki gelişmişlik düzeylerinin birbirlerine yaklaştırılması, bölgelerin kendi içindeki kırsal ve kentsel gelişmişlik düzeyleri farklılıklarının giderilmesi, bölgelerin küresel rekabet güçlerinin artırılması, yerel dinamiklerin harekete geçirilerek bölgesel potansiyelin değerlendirilmesi ve ülkelerin bir bütün olarak kalkındırılması hedeflenmektedir” (Akin, 2006: 295).

Bölgesel kalkınma, ülke ölçeğinde yer alan bölgelerin, çevre bölgeler ve dünya ile karşılıklı etkileşimi ile oluşan bölge vizyonunu dikkate alan, katılımcılık ve sürdürülebilirliği temel ilke edinen ve insan kaynaklarının geliştirilmesi, ekonomik ve toplumsal potansiyellerin harekete geçirilmesi ile bölge refahının artırılmasını amaçlayan çalışmalar bütünü olarak tanımlanmaktadır (TÜİK, 2003: 250; İldırar, 2004: 17).

Türkiye’de bölgeler arası gelişmişlik farklarının dengeli bir yapıya kavuşturulması, bölgesel/yerel kalkınmanın hızlandırılması ve sürdürülebilir kalkınmanın sağlanması için öngörülen bölgesel kurumlar olan kalkınma ajanslarının bölgesel gelişme politikalarının geleceği için önemli olduğu ifade edilmektedir (Sevinç, 2015: 127).

Kalkınma ajanslarının temel fonksiyonu ve hedefi, bölgesel kalkınmanın sağlanmasıdır. Ancak bu amaca çeşitli şekillerde ulaşmak mümkündür. Özellikle Avrupa ülkelerinde kalkınma ajanslarının fonksiyonları farklılık göstermiştir. Kalkınma ajansları bir yandan stratejileri dikkate almak suretiyle sektörler arası gelişme

projelerinin oluşturulması, desteklenmesi ve yönlendirilmesi faaliyetlerini yürütürken, diğer yandan bilgi bankalarının oluşturulması, bölgenin ulusal ve uluslararası platformda desteklenmesi, küçük ve orta boy işletmelere destek verilmesi ve girişim potansiyelinin ortaya çıkarılması vb. fonksiyonları da yerine getirdikleri ifade edilmektedir (Özer, 2012: 44).

Lojistik, ulusal kalkınma, uluslararası ticaret, bölgesel entegrasyon ve dolayısıyla küreselleşmede çok önemli bir rol oynamaktadır (Çancı ve Erdal, 2003: 37).

Taşımacılık ve Lojistik sistemi; Olağan koşullarda değişim işlevleri yerine getiren çok sayıda birbirine bağımlı ve farklı işlevleri üstlenen şirketlerden oluşmaktadır. Kendi içinde uzman olan bu şirketler; Taşıyıcılar, taşıma operatörleri, depo ve antrepo işletmecileri, sigorta firmaları ve gümrük müşavirleri, taşıma işlerinde kullanılan ekipman, araç-gereç ve fiziki imkanları tedarik edenlerdir (Çancı ve Erdal, 2003: 12).

Lojistik, ekonomik, sosyal, psikolojik, kültürel, stratejik, askeri ve politik alanlarda ülkeye değer katmasının yanı sıra; milli gelirin yükselmesi, alım gücünün artması, istihdamın artması sonucu işsizliğin azalması, moral ve motivasyonun artması, eğitim seviyesinin artması, jeo-politik ve jeo-stratejik önemin artması, ikili ve çoklu anlaşmalar, lojistik üsler, siyasi güç ve liderlik, stratejik ortaklık, rol modeli ve model ortaklığı, gelir dağılımı adaleti, vergi gelirlerinin artması, rekabet gücünün artması, ekonomik büyüme ve kalkınma, dış ticaret hacminin artması, yabancı sermaye artışı gibi pek çok alanda katkıda bulunmaktadır (Duran ve Türkoğlu, 2019: 89).

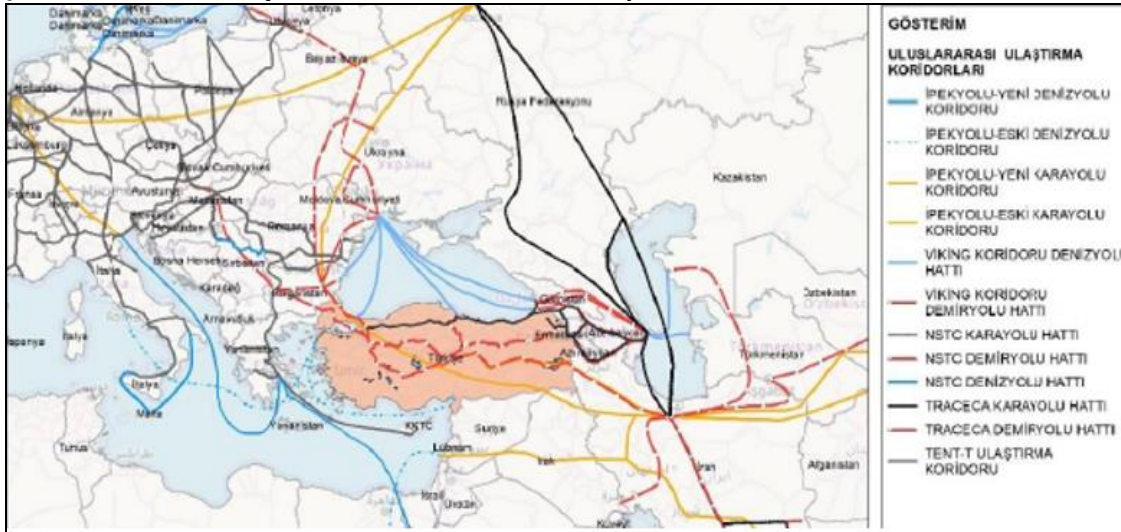
Lojistik alanında gelişmeler Dünyada, Lojistik Performans Endeksi (LPI) ile ölçülmektedir. Dünya Bankası tarafından ülkelerin lojistik alanda performanslarını ölçmek için oluşturulmuştur. Her ülkede bulunan lojistik sektöründeki işletmelerin çalışanlar ve yöneticilerine gruplandırılmış bir takım sorunun sorulmasıyla ve alınan cevapların puanlarına göre değerlendirilerek ölçüm gerçekleştirilir ve sıralama yapılır. Uygulanan anket sonuçlarına göre ulaşılan ağırlıklı ortalamalar ülkelerin farklı 6 alandaki performanslarını göstermektedir. Bu alanlar; Uluslararası Taşımacılık, Lojistik Hizmet Kalitesi, Gümrükleme İşlemleri, Takip Edilebilirlik, Altyapı, Zamanında Teslim şeklindedir (Duran, G. ve Türkoğlu, M. 2019: 89).

Hem bölgesel hem de ekonomik kalkınmada öncelikli konulardan biri de Türkiye'nin Uluslararası Ulaştırma Ağları ile entegrasyonun sağlanmasıdır. Türkiye ile doğrudan ve dolaylı olarak uluslararası koridorlar (Türkiye Lojistik Master Planı (TLMP) Yönetici Özeti, 19 Ekim 2018: 39):

- * TEN-T (Trans-Avrupa Ulaştırma Ağları),
- * TRACECA (Transport Corridor Europe Caucases Asia-Avrupa-Kafkasya-Asya Taşıma Koridoru),
- * İpek Yolu Koridoru (Silk Road Corridor),
- * Viking Koridoru,
- * Kuzey-Güney Ulaştırma Koridorudur (North-South Transport Corridor-NSTC).

Şekil 4.'de Uluslararası Ulaştırma Koridoru Haritası ve Türkiye verilmiştir.

Şekil 4: Uluslararası Ulaştırma Koridoru Haritası ve Türkiye



Kaynak: TLMP Yönetici Özeti, 19 Ekim 2018: 40.

Türkiye’de TEN-T ağına gösterilen Kuzey-Güney ve Doğu-Batı koridoruna ihtiyaç duyulmaktadır. Sınır ve liman kentlerinin ulusal ulaştırma ağlarının, uluslararası ulaştırma hatları ile bağlanması sektör açısından önemlidir. Bu bağlamda Türkiye’de Ulaştırma koridorları için oluşturulan güzergâh seçeneklerinin her biri ticaret, yük hacmi ve dengesi, geçiş süresi ve maliyeti, çevresel etkiler, güvenlik ve emniyet açısından farklı özelliklere sahip olan, 3 Doğu-Batı ve 3 Kuzey-Güney ana ulaştırma koridoru oluşturulması gerekmektedir. Bu özelliklere göre TLMP Raporuna göre en uygun güzergâhlar aşağıda verilmektedir (TLMP Yönetici Özeti, 19 Ekim 2018: 40):

- *DB-12: Edirne (Kapıkule)- Kırklareli- Tekirdağ- İstanbul- Kocaeli- Sakarya- Düzce-Bolu- Ankara- Kırıkkale- Yozgat- Sivas- Erzincan- Erzurum- Ardahan (Türkgözü)*
- *DB-22: İzmir- Manisa- Uşak- Afyon- Eskişehir- Ankara- Kırıkkale- Kırşehir-Nevşehir- Kayseri- Sivas- Malatya- Elâzığ- Bingöl- Muş- Bitlis- Van (Kapıköy)*
- *DB-31: Antalya- Konya- Karaman- Niğde- Mersin- Adana- Osmaniye-Kahramanmaraş- Gaziantep- Şanlıurfa- Mardin- Şırnak (Habur)*
- *KG-11: İstanbul- Kocaeli- Yalova- Bursa- Bilecik- Eskişehir- Kütahya- Afyon-Isparta- Burdur- Antalya*
- *KG-22: Samsun- Ordu- Tokat- Sivas- Kayseri- Niğde- Adana- Mersin*
- *KG-31: Trabzon- Gümüşhane- Bayburt- Erzurum- Bingöl- Diyarbakır- Batman-Mardin- Şırnak (Habur).*

Bölgesel politikalarda yaşanan köklü değişimler ise 2000’li yıllarla birlikte görülmektedir. Bu dönemde, AB’ye üyelik için gerekli olan uyum sürecinin başlayabilmesi adına bölgesel alanda da bir takım düzenlemeler yapılmıştır. Yapılan düzenlemelerin en temelinde İstatistik Bölge Birimleri Sınıflandırması (İBBS) yer almaktadır (Keskin ve Sungur, 2010: 280).

5. SONUÇ

Lojistik, ürünün üretildiği noktadan alınarak depolarda tutulması, stoklanması, teslim edilmesi ve bütün bu işlerin planlı, verimli ve hızlı şekilde yapılmasıdır. Lojistik hizmetleri; Taşımacılık, depolama, paketleme, gümrükleme ve nihai tüketiciye erişimi de kapsamaktadır. Son yıllarda dış ticaret işlemleri lojistiğin önemini arttırmıştır. Lojistik sektörü, Dünya da ve Türkiye de gerçekleşen büyük pazarda kendine önemli bir yer edinmiştir. Ülkelerin sürdürülebilir bir iç ve dış ticaret sistemine sahip olması, bu ticaretin de mutlaka lojistik stratejileriyle desteklenmesi gerekir.

Lojistik, ekonomik, sosyal, psikolojik, kültürel, stratejik, askeri ve politik alanlarda ülkeye değer katmasının yanı sıra milli gelirin yükselmesi, alım gücünün artması, eğitim seviyesinin artması, gelir dağılımı adaleti, vergi gelirlerinin artması, rekabet gücünün artması, ekonomik büyüme ve kalkınma, dış ticaret hacminin artması, yabancı sermaye artışı gibi pek çok alanda katkıda bulunmaktadır.

Lojistik altyapısı gelişmiş ülkelerin ticaret faaliyetlerinin daha etkili ve verimli olduğu görülmektedir. Karayolu taşımacılığını kullanan işletmelerin, ulaşım altyapı sorunlarının giderilmesi gerekmektedir. Düzenli bilgi akışı için altyapısı sağlam teknolojiler kullanılması uygun görülmelidir. Lojistik sektöründe araç ve ekipman yetersizliklerinin olması sektöre olumsuz yönde yansıyan diğer bir sorunu oluşturmaktadır. Lojistik işletmelerinin planlanan hedeflerine ulaşmaları için ekonomik, politik, stratejik ve çalışma etiği yasalarının da düzenlenmesi gerekmektedir.

KAYNAKÇA

- Akın, N. (2006). Bölgesel Kalkınma Araçları ile Kalkınma Ajanslarının Uyum, İşbirliği ve Koordinasyonu. Bölgesel Kalkınma ve Yönetişim Sempozyumu Bildiriler Kitabı, ODTÜ Yayınları, Ankara, ss. 295-305.
- Çancı, M. Ve Erdal, M. (2003). Lojistik Yönetimi. UTİKAD Uluslararası Taşımacılık ve Lojistik Hizmet Üretenleri Derneği, İstanbul.
- Çevik, S. ve Kaya, S. (2010). “Türkiye’nin Lojistik Potansiyeli ve İzmir’in Lojistik Faaliyetleri Açısından Durum (SWOT) Analizi”, İzmir Ticaret Odası, AR-GE Bülten, 2010 Kasım-Sektörel, 22-28.
- Duran, G. ve Türkoğlu, M. (2019). Lojistik Sektörünün Önemi Ve Bölgesel Kalkınmaya Katkıları. Isparta Uygulamalı Bilimler Üniversitesi Uygulamalı Sosyal Bilimler ve Güzel Sanatlar Dergisi (SOSGÜZ), Yıl: 2019, Cilt: 1, Sayı: 2, ss.:86-97.
- İldirar, M. (2004), Bölgesel Kalkınma ve Gelişme Stratejileri, Nobel Yayın, Ankara.

- Keskin, H. ve Sungur, O. (2010) "Bölgesel Politika Ekseninde Yaşanan Dönüşüm: Türkiye'de Kalkınma Planlarında Bölgesel Politikaların Değişimi". SDÜ Fen Edebiyat Fakültesi Sosyal Bilimler Dergisi, 21, 271-293.
- Tolunay, A. ve Akyol, A. (2006), "Kalkınma Ve Kırsal Kalkınma: Temel Kavramlar Ve Tanımlar", Süleyman Demirel Üniversitesi Orman Fakültesi Dergisi, S: 2, ss. 116-127.

İnternet Kaynakları

- Fawcett, S.E. (2000). Lojistik: Müşterilerin Gerçek İhtiyaçlarını Karşılama. In: Swamidass PM (eds). Üretim ve Üretim Yönetimi Ansiklopedisi. Springer, Boston, MA. https://doi.org/10.1007/1-4020-0612-8_524 (11.09.2020).
- Greis N.P. ve Kasarda J.D. (2000). Agile Lojistik (Kurumsal Lojistik). In: Swamidass PM (eds) Üretim ve Üretim Yönetimi Ansiklopedisi. Springer, Boston, MA. https://doi.org/10.1007/1-4020-0612-8_31 (11.09.2020).
- Gürdal, S. (2006). Türkiye Lojistik Sektörü Altyapı Analizi. İstanbul Ticaret Odası (İTO). Yayın No: 2006-14. İstanbul. <https://docplayer.biz.tr/1282182-Turkiye-lojistik-sektoru-altyapi-analizi.html> (11.09.2020).
- Erkan, B. (2014). Türkiye'de Lojistik Sektörü Ve Rekabet Gücü. ASSAM Uluslararası Hakemli Dergi (ASSAM – UHAD) ASSAM International Refereed Journal. Sayı: 1. <https://dergipark.org.tr/tr/download/article-file/371675> (E.T: 15.01.2020).
- KPMG. (2020). Sektörel Bakış 2020-Taşımacılık ve Lojistik Raporu. <https://home.kpmg/tr/tr/home/gorusler/2020/03/sektorel-bakis-2020-tasimacilik.html> (11.09.2020).
- Lojistik. 2000. In: Swamidass PM (eds). Üretim ve Üretim Yönetimi Ansiklopedisi. Springer, Boston, MA. https://doi.org/10.1007/1-4020-0612-8_521 (11.09.2020).
- Lojistik Yönetim Konseyi (CLM). (2000). In: Swamidass PM (eds) Üretim ve Üretim Yönetimi Ansiklopedisi. Springer, Boston, MA. https://doi.org/10.1007/1-4020-0612-8_194 (11.09.2020).
- Sevinç, İ. (2015). Bölgesel Kalkınmanın Yeni Aktörleri Olarak Kalkınma Ajansları: Eleştiriler Ve Beklentiler. GÜSBEED, 6 (13), ss.117-135. <https://dergipark.org.tr/tr/download/article-file/635266> (11.09.2020).
- T.C. Ticaret Bakanlığı. (30 Ağustos 2018). Dış Ticaret Lojistiği, Türkiye'nin Lojistik Görünümü Analiz Raporu. <https://ticaret.gov.tr/hizmet-ticareti/dis-ticaret-lojistigi> (11.09.2020).
- Tuna, Y. ve Yumuşak, G.G. (2002), Kalkınmışlık Göstergesi Olarak Beşeri Kalkınma İndeksi ve Türkiye Üzerine Bir Değerlendirme, İktisat Fakültesi Mecmuası Dergisi Cilt:5 Sayı:1.52(1), 1-26. https://dergiler.sgb.gov.tr/calismalar/maliye_dergisi/yayinlar/md/165/165-12.pdf (14.12.2019).
- Türkiye Lojistik Master Planı (TLMP) Yönetici Özeti. (19 Ekim 2018). Ulaştırma ve Altyapı Bakanlığı, Demiryolu Düzenleme Genel Müdürlüğü. <https://uhdgm.uab.gov.tr/uploads/pages/istatistikler-ve-raporlar/turkiye-lojistik-master-plan-yonetici-ozeti-2019.pdf> (11.09.2020).
- Yalçın, A. ve Yalçın, S. (2013). Sürdürülebilir Yerel Kalkınma İçin Cittaslow Hareketi Bir Model Olabilir Mi? Sosyal Ve Beşeri Bilimler Dergisi Cilt 5, No 1, 2013 ISSN: 1309-8012 (Online). <http://dergipark.ulakbim.gov.tr/sobiadsbd/article/view/5000137104/5000126074> (24.07.2018).

Alman Savaş Yazınında Anna Seghers

Prof. Dr. Hikmet ASUTAY¹

¹Trakya Üniversitesi Eğitim Fakültesi Alman Dili Eğitimi, hikmetasutay@yahoo.de, ORCID: 0000-0002-0533-7708

Özet: İkinci dünya savaşının üzerinden çok zaman geçmesine rağmen, hala savaş üzerine yazılan ve çizilenler devam etmektedir. Bir daha böylesi büyük felaketler yaşanmaması için gösterilen bir çabanın ifadesidir aslında bu. Sürekli yazarak dersler çıkarmak ve çok daha barışçıl dünyayı yaratmak tüm insanlığın çocuklara borcudur, denebilir. Bu bağlamda Alman savaş yazınının en önemli isimlerinden kadın yazar Anna Seghers'in (1900-1983) gözünden yazınsal yapıtı olan "Yedinci Haç" çerçevesinde Alman faşizmi, toplama kampları ve savaşın tüm vahşetini dile getiren eseri bu konuda inceleme nesnesi olarak seçilmiştir. Eserde dile getirildiği kadar toplama kampından kaçan esirlerin özgürlük ve yaşam mücadelesinin nasıl ve ne kadar dile getirildiği bulgulanmaya çalışılarak savaş yazını kavramı etrafında incelenmiştir. Alman yazın tarihinde sürgün yazını olarak anılan ve Nazi Almanya'sından kaçan ya da sürülen yazarlardan biri olan Anna Seghers, savaştan sonra eski Doğu Almanya'ya dönerek yaşamını sürdürmüştür. Çağının ve dolayısıyla savaşın birebir şahidi olarak da yaşamış olan yazarın kendi özgürlük mücadelesi de eserlerinde dile getirilmiş ve savaş karşıtlığı ile tanınmıştır. Savaş sonrası dönemde de eleştirel yaklaşımla dönemini ve o günlerde izlenen siyasete sorgulayıcı tavrını ortaya koymuştur.

Anahtar Kelimeler: Alman Yazını, Sürgün, Göç, Anna Seghers

Anna Seghers in German War Literature

Abstract: Although a lot of time has passed since the Second World War, the writings and drawings on the war still continue. In fact, this is an expression of an effort made to avoid such disasters again. It can be said that it is the debt of all humanity to children, to learn from writing constantly and to create a much more peaceful world. In this context, German fascism, concentration camps and his work, which expresses all the brutality of the war within the framework of the literary work "Seventh Cross" through the eyes of the woman writer Anna Seghers (1900-1983), was chosen as the object of study. How and how much the freedom and life struggle of the prisoners who escaped from the concentration camp was expressed in the work was examined around the concept of war literature. Anna Seghers, who is known as exile in the history of German literature and who fled or exiled from Nazi Germany, continued her life by returning to the former East Germany after the war. The author's own struggle for freedom, who lived as a witness of the era and therefore of the war, was also expressed in his works and was known for his anti-war. In the post-war period, he demonstrated his period with his critical approach and his questioning attitude towards the politics followed in those days.

Keywords: German Literature, Exile, Immigration, Anna Seghers

1. GİRİŞ

Alman savaş yazını kendi başına da oldukça geniş bir kavram olup, varoluşundan bu yana gelen ve savaş dönemlerini konu edinen tüm metinleri içerir. Bu bakış açısından bakıldığında Alman savaş yazını German kültürüne ve de en olarak kavimler göçüne kadar gider. "Hildebrandslied"(Nürnberg 1992: 9) adlı efsane bu anlamda ilk akla gelen eserlerdendir. Nitekim hemen her savaş koşullarının anlatıldığı gibi Germanlerin de kendi aralarındaki mücadele ve savaşları ile kavimler göçü esnasında yaşananların anlatıldığı pek çok metin bulunmaktadır. Tüm Ortaçağ boyunca ise şövalye yazını içerisinde savaşların ve kahramanların anlatıldığı eserleri görüyoruz. Bu şekilde hemen her savaşın anlatıldığı yazın metinleri bulunmaktadır. Barok döneminde de otuz yıl savaşlarının yanı sıra çağın vebası ve yarattığı yıkımlar gerek şiirlerde, gerek diğer yazın türlerinde fazlasıyla yazılıp çizilmiştir. Yirminci yüzyılda ise iki büyük dünya savaşı edebiyat dünyasını da etkilemiş ve yazın eserlerinin çoğunluğu bu savaşların yıkıcılığını, acımasızlığını ve yitip giden insanları tüm anlatmıştır. Birinci dünya savaşını tüm yıkıcılığıyla anlatan pek çok metin bulunmaktadır. E. M. Remarque bunun en güzel örneklerini vermiş, ikinci dünya savaşını da konu edinmiştir.

O yüzden bu çalışmada sınırlama olarak 1933-1945 arası Nazilerin iktidarıyla başlayan ve 1 Ekim 1939 yılında Almanya'nın Polonya'yı işgal etmesiyle başlayan ikinci dünya savaşı döneminde Anna Seghers'in "Das Siebte Kreuz"(Yedinci Haç, çev. Ahmet Cemal) adlı eseri alınmıştır. Söz konusu işgale karşılık olarak Fransa ve İngiltere Almanya'ya karşı savaş ilan etmiş, 1940 yılında ise Alman kuvvetleri Batı Avrupa'yı işgal etmiştir. 7 Mayıs 1945 yılında Almanya'nın koşulsuz olarak teslim olmasıyla Almanya açısından ikinci dünya savaşı sona ermiştir. 1939 ila 1945 yılları arasında en yoğun savaş yılları yaşanmıştır Almanya'da. Bu çalışmanın konusu ise savaş yıllarında Almanya'nın çeşitli yerlerinde ve de batı Avrupa'da çeşitli ülkelerde kurulan ve savaş yılları boyunca aktif olarak

çalıştırılan Nazi toplama ve yok etme kamplarından birinde geçen bir kaçış öyküsüdür. Çalışmaya konu olan öykü, Almanya’da toplama kamplarından birinden yedi tutuklunun kaçış öyküsüdür.

2. Alman Yazınında İkinci Dünya Savaşı

Alman yazınında ikinci dünya savaşı başlı başına bir yazın tarihi konusu olup kendi içinde de alt bölümlere ayrılmaktadır. Almanca’da “Literatur im Dritten Reich” (3. İmparatorluk dönemi yazını) olarak anılan dönem genel olarak ikiye ayrılır. Birincisi Nazi yanlısı dönemin iktidarının kendi lehine desteklediği ve yücelttiği “Blut- und Bodenliteratur” olarak tanımlanan kan ve toprak yazınıdır ki ulusal değerler, kahramanlıklar askeri özellikler ve de Alman ırkı ile askerlerinin son derece yüceltildiği ve bu yönde yayınların yaygınlaştırılarak okutulduğu ve de Naziler tarafından propaganda aracı olarak kullanılan kitaplardır. Bunlara günümüzde pek fazla değinilmemektedir. İkincisi ise savaş karşıtı olup Almanya içinde saklanarak hayatta kalmaya çalışmış yazarların oluşturduğu daha küçük bir gruptur ve ikinci dünya savaşında Alman yazını deyince bu grup akla gelir. Diğer bir üçüncü grup ise “Exilliteratur” olarak anılan “Sürgün yazınıdır”. Sürgün yazınının en önemli özelliği Nazi iktidarına muhalif olup savaş karşıtı sanatçıların oluşturduğu gruptur. Pek çok ünlü isim bu grupta yer alır. Ancak bunlardan büyük çoğunluğu Almanya dışındaki ülkelere sığınarak kaçmış ya da sürgün edilmişlerdir. İkinci dünya savaş yazını eserlerinin pek çoğu bu grup yazarlar tarafından yazılmıştır. Bertolt Brecht, Hilde Domin, Oskar Maria Graf, Hans Sahl, Nelly Sachs, Else Lasker-Schüler, E. M. Remarque ve diğerlerinin yanında çalışmanın konusu olan yazan Anna Seghers’tir. Bu sanatçıların eserleri ile tarihsel belgelerde olmayan ancak cephe ve cephe gerisi gibi savaşın tüm yıkıcı koşullarını anlatan metinler sayesinde ikinci dünya savaşında yaşananlar dile getirilmiştir. Bu sayede belgesel yazın (dokumentarische Literatur) türü de doğmuştur denebilir.

Dördüncü ve farklı bir yazın grubu ise savaş sonrası oluşan çeşitli yazın gruplarıdır. Bunlar “Stunde Null”, “Nachkriegsliteratur” yani sıfır anı ya da savaş sonrası yazını ya da yıkıntı yazını (Trümmerliteratur) olarak anılan ve savaş bitiminden hemen sonra ortaya çıkan yazın gruplarıdır. Bunların içinde de en önemlileri W. Borchert, H. Böll başta olmak üzere ve daha pek çok yazar, savaş sonunda ortaya çıkan yıkıntı ve çöküş manzaralarını tüm çıplaklığıyla anlatmış, dile getirmişlerdir. Bu aynı zamanda da savaş sonrası yeni Almanya’nın kuruluş öyküsünü de dile getiren eserler vermişlerdir.

İkinci dünya savaşı ana konusuna geri dönecek olursa orada bir başka adla anılan “Holokost” adı verilen ve Yahudi soykırımını ele alan yazın vardır ki yalnızca kovuşturulan ve toplanarak toplama kamplarına götürülen ve imha edilen bir tür soykırım yazınıdır. Soykırım ağırlıklı olarak Yahudileri kapsamaktaysa da muhalifleri, Roman ve Slav ırkı gibi çeşitli azınlıkları da kapsayan, eşcinsel, özürü gibi çeşitli küçük grupları da içine alan ve Alman ırkı ve toplumu açısından zararlı görülen kesimleri de içermekteydi. Bu anlamda doğrudan toplama ve yok etme kampları çerçevesinde geçen eserler Holokost yazını bağlamında değerlendirilmektedir.

2.1. Romanda Mekân: Nazi Toplama Kampı

Nazi toplama kampları (kısaca KZ; Konzentrationslager) Almanya ve diğer işgal edilen yerlerde kurulan başta Yahudiler olmak üzere, muhalifler, Romanlar, eşcinseller ve savaş esirleri olmak üzere çalışma, toplama ve yok etme amacıyla kurulmuş olan çeşitli kamplardır. Topluma yararı olmadığı düşünülen kesimlerin, muhalif, Roman ve çoğunluk olarak Yahudilerin toplandığı bu kamplarda toplananlar, esirler ve diğer tüm insanlar zorla ve çok ağır koşullar altında çalıştırılmış ve sonunda kitlesel olarak yok edilmişlerdir. Çok fazla sayıda oluşan cesetleri yok etmek üzere fırınlar inşa edilmiş ve öldürülen insanların cesetleri bu fırınlarda yakılmıştır. Toplama ve yok etme kampları bu işlevleri ile tarihteki en büyük sistematik kitle yok etme yerleri olarak anılmaktadır.

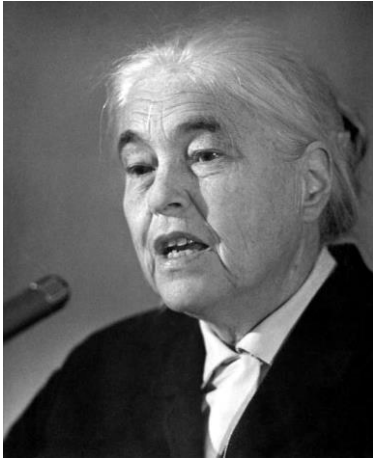
Hitler’in 1933’te iktidara gelişiyle birlikte Almanya’nın pek çok yerinde bu kamplardan yapılmaya başlanmış ve “çalışma kampları” olarak anılmıştır. Daha sonra sayıları artırılarak Almanya’da ve de işgal edilen yerlerde; Polonya, Avusturya, eski Yugoslavya, Çekya gibi yerlerde de kurulmuştur (Lichtblau 2013). Bildirildiğine göre yedi adet yok etme kampı olmak üzere 24 adet büyük kamp ile bine yakın irili ufaklı kamplar ile yan birimleri ve merkezleri ile tesisleri kurulmuştur (Benz 2007). Bu kamplarda milyonlarca insanın yok edildiği ayrıca belirtilmektedir.

Romanda mekân olarak yer verilen toplama kampı “Osthofen bei Worms”(Osthofen KZ) “Rheinland-Pfalz” eyaleti sınırları içerisinde yer almaktadır ve eski bir kâğıt fabrikasından dönüştürülmüştür. Mayıs 1933 ila 1934 yılları arasında faaliyet gösteren ilk toplama kamplarından biri olup daha çok siyasi muhaliflerin, komünistler ile

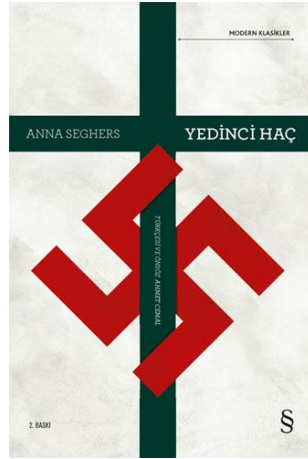
sol görüşlü insanların ve de Yahudiler başta olmak üzere farklı azınlıklardan insanların toplanmış olduğu bir kamptır. Roman kurgusunun üzerine dayandırıldığı gerçek öykü, bu kamptan 3 Temmuz 1933'te kaçabilmeyi başarmış iki tutukludan birinin¹; Max Tschornicki'nin yaşam öyküsünden ve de kamptan kurtulan insanların anlattıklarından esinlenilmiştir. Anna Seghers bu romana 1938 yılında Paris'te sürgün yıllarında yazmaya başlamış ve 1942 yılında Meksika'da yayımlamıştır.

3. Alman Savaş Yazını Yazarı Olarak Anna Seghers

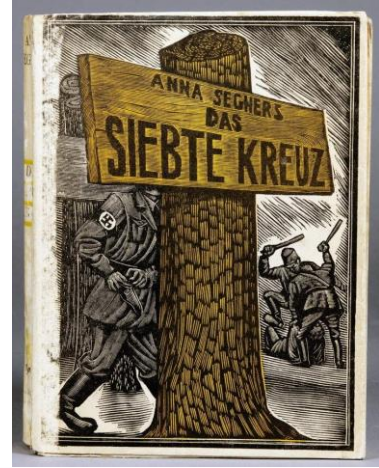
Alman yazar Anna Seghers (19 Kasım 1900 Mainz-1 Haziran 1983 Berlin) Mainz'li Musevi cematından bir ailenin tek çocuğu olup asıl adı Netty Radvanyi (doğ. Reiling)'dir. Köln ve Heidelberg Ruprecht Karl Üniversitelerinde tarih, sanat tarihi ve Çin filolojisi okudu. 1924 yılında Rembrandt'ın eserlerinde Yahudi ve Yahudilik doktora tezi ile doktor unvanını aldı. 1924 yılında "Frankfurter Zeitung" gazetesinde ilk anlatılarını yayımlayan yazar 1927 yılında Seghers sanatçı adını kullanmaya başlar. 1928 yılında ilk kitabı olan "Aufstand der Fischer von St. Barbara" yayımlanır. Nazilerin iktidara gelişiyle bir süre Gestapo tarafından gözaltına alınır. 1928 yılında Almanya Komünist Partisi'ne (KPD) üye oldu. Aynı zamanda Proleter Devrimci Yazarlar Birliği kurucu üyesi olan yazar 1930 yılında Sovyetler Birliği'ne ilk seyahatini yaptı. Nazilerin başa geçmesinden sonra Gestapo tarafından gözaltına alındı, kitapları Almanya'da yasaklandı ve 1933 yılındaki kitap yakma eyleminde yakıldı. Kısa bir süre sonra İsviçre'ye kaçmayı başardı. Ardından Paris'e geçerek sürgün yıllarında Alman mültecilerin gazetelerinde çalıştı. 1941 yılında ailesi ile birlikte New York üzerinden Meksika'ya geçti. "Yedinci Haç" adlı eseri 1944 yılında Fred Zinnemann tarafından filme uyarlandı. Kitabın başarısı ile filme uyarlanması onu dünya çapında üne kavuşturmuştur. 1947 yılında Seghers Meksika'dan, başlangıçta Batı Almanya'da, Almanya Sosyalist Birlik Partisi üyesi olarak yaşadığı Berlin'e döndü. Aynı yıl "Büchner Edebiyat Ödülü"nü aldı. 1950 yılında Doğu Almanya'ya taşındı. 1 Haziran 1983 tarihinde öldü. Sanat Akademisi'nde yapılan bir devlet töreninden sonra Berlin Dorotheenstädtischen mezarlığına defnedildi. Çok sayıda eser vermiş ve pek çok ödül almış olan sanatçı bugün için de ikinci dünya savaşı Alman yazını ve sürgün yazınının en önemli sanatçıları arasında anılır. Aynı zamanda eski Doğu Alman yazınının en önemli yazarları arasında yer alır.



Resim1: Anna Seghers (1966)



Resim2: Eserin Türkçe Çevirisi "Yedinci Haç" Resim3: Eserin Almanca kapağı



Alman yazın tarihi açısından Anna Seghers'in ilk dönem eserleri "Yeni Nesnelilik"(Neue Sachlichkeit) yazın döneminden sayılır. "Yedinci Haç" ile "Transit" eserleri ise sürgün yazını dönemine aittir ve ikinci dünya savaşı bağlamında geçer. Yazarın savaş sonrasında eski Doğu Almanya'da yayımladığı eserleri ise sosyalist gerçekçilik akımına dâhil edilir. Sosyalist gerçekçilik, eski Doğu Alman yazınının siyasal programıdır aynı zamanda.

¹ Wilhelm Vogel ile Max Tschornicki, Osthofen kampından kaçabilen iki tutukludur (Bkz. Wikipedi).

Burcu Öztürk Anna Seghers'in aynı adlı yapıtı üzerine yaptığı çalışmasında eserin tarihselleşme bağlamında ikinci dünya savaşı esnasında nasyonal sosyalist Alman toplumunun içinde bulunduğu koşulları anlattığını belirtir (Öztürk 2018: 239-255). Bunun için de bir takım dinsel ve toplumsal simgeler kullanan yazar, toplumun içinde bulunduğu savaş koşullarına da değinerek tarihsel-belgesel bir yaklaşım ortaya koymuştur denebilir. Şahin Yılmaz da "Yedinci Şafak"(Yedinci Haç adlı eserin farklı çevirisi) adlı eser incelemesinde ikinci dünya savaşı tarihinin izlerini sürer (Bkz. Şahin Yılmaz 2014). Tuncer ise yine aynı eser üzerinde yaptığı çalışmayla toplama kampı aracılığıyla uygulanan şiddet konusunu ele almış, eserde dile getirilen toplama kampında uygulanan şiddetin türlerini ve biçimlerini irdelemiştir (Tuncer 2019). Eser, eski Doğu Almanya'da edebiyat kanonu olarak okullarda okunacak kitaplar arasına girer ve okutulur. Yazar aynı zamanda eski Doğu Alman yazarlar Birliği başkanlığını 1952-1978 yılları arasında yürütür.

3.1. "Yedinci Haç" Adlı Eseri

Eser dilimize usta çevirmen Ahmet Cemal tarafından aktarılmıştır. 2016 yılında Everest Yayınları tarafından telifi alınan eser 418 sayfadan oluşmaktadır. Roman biçimsel olarak kendi içinde yedi ana bölüme ayrılmış, her bir ana bölüm de kendi içinde 1-6 arası numaralandırılmış bölümlere ayrılmaktadır. Arka kapak metni romanın özetini verir:

"1937 yılı, Nazi Almanya'sı... Bir sonbahar sabahı Westhofen Toplama Kampı'ndan yedi tutuklu kaçır. Kamp Komutanı Fahrenberg yedi tutuklunun yedi gün içinde yakalanıp geri getirilmesini emreder ve yakalandıkları zaman onları bağlayıp öldürmek için yedi çınar ağacından yedi haç yaptırır. Yedi adam da korkunç zorluklar içerisinde, kime güveneceklerini bilmeden peslerindeki Nazi askerlerinden ve halkın içindeki muhbirlerden kaçmaya çalışırlar. Ancak kurtuluş hiçbiri için o kadar kolay olmayacaktır. İçlerinden yalnızca biri özgürlük mücadelesini kazanırken, diğerlerini ihanet, çaresizlik ve işkence üçgeninde bir ölüm beklemektedir. Yine de yedinci haçın bos kalması en büyük teselli ve en güçlü ümit ışığıdır" (Kitap arka kapak metni).

Eserin başkahramanı "Georg Heisler"dir. Toplama kampından kaçan yedi tutukludan biri olup siyasi olarak karşıt ve komünisttir. Diğer altı tutuklunun hepsi yakalanır ve bir tek G. Heisler kaçmayı başararak Hollanda'ya ulaşır. Yardımcı figür olarak kaçak yedi tutukludan biri "Ernst Wallau"dur ve G. Heisler için örnek oluşturur. Kendi kaçmayı başaramasa da G. Heisler'e fikir olarak çok yardım etmiştir. Yakalandığında kesinlikle konuşmaz ve öldürülür. Roman en başta yedi tutuklunun kaçışıyla başlar ve tutukluların başından geçen kaçış öyküleri, yakalanma süreçleri kamp sorumlularının yakalamak için verdiği uğraşlar tüm detaylarıyla anlatılır. Bu bağlamda bir kamp yönetimini işleyişi, Nazi güçlerinin arama çalışmaları, tutukluların gizlenme ve kaçış süreçleri kurgu boyunca dile getirilir. Tutuklular kampa girdileri andan itibaren kaçış planları yapmışlar ve kurtuluşa olan inançlarını asla kaybetmemişlerdir. Kendileri yakalansa da kaçabilmeyi başarabilen arkadaşlarını ele vermemiş ve ölüm pahasına konuşmamışlardır.

4. SONUÇ

Sonuç olarak Eski Doğu Alman Yazınının önde gelen sanatçılarından olan yazar Anna Seghers, ikinci dünya savaşı dönemine ait eserleriyle Alman savaş yazını yazarı olarak da anılmasını sağlamış ve belgesel nitelikte ikinci dünya savaşının Alman toplumu içindeki yansımalarını dile getirmiştir. Bunun yanında toplama kampı bağlamında eser başkisi G. Heisler etrafında gelişen kaçış öyküsünü anlatarak tutukluların bitmeyen umutları, hayata bağlılıklarını da anlatmıştır. Böylelikle ikinci dünya savaşı belgesel yazını bağlamında da A. Segher'in yapıtları her zaman için dönemin ağır savaş koşulları ve Nazi zulmü altında ezilen insanların anlatıldığı belgesel yazın niteliği de kazanmış durumdadır. Bu bakımdan ikinci dünya savaşı yazını açısından başlıca örnek eserler arasına girmiştir, denebilir. Yedinci Haç asılan ağacın boş kalması simgesel olarak da Nazi zulmüne karşı kazanılmış koca bir zafer anıtı olarak imgeleştirilmiştir. Bu aynı zamanda yüceltilen ve uğruna ölümlerin göze alındığı özgürlük tutkusudur denebilir.

KAYNAKÇA

Benz, Wolfgang (2007) "Die 101 wichtigsten Fragen. Das Dritte Reich" 2. Auflage. Beck, München 2007

Burcu Öztürk.(2018).Anna Seghers'in Yedinci Haç Romanında Tarihselleştirme Üzerine;.HUMANITAS - Uluslararası Sosyal Bilimler Dergisi, 6(11): 239-255

Lichtblau, Eric (2013) "The Holocaust Just Got More Shocking". nytimes.com vom 1. März 2013: wikipedia: 01.09.2020

Şahin Yılmaz, Z . (2014). Anna Seghers'in "Yedinci Şafak" Adlı Romanında Tarihin Yansıması / Reflection of History in Anna Segher's Novel The Seventh Dawn . Atatürk Üniversitesi Sosyal Bilimler Enstitüsü Dergisi , 17 (2) , . Retrieved from <https://dergipark.org.tr/tr/pub/ataunisosbil/issue/2833/38545>

Tuncer, Cihan (2019) "Anna Seghers'in Yedinci Şafak adlı Romanında Toplama Kampı ve Şiddet Olgusu" Afyon Kocatepe Üniversitesi Sosyal Bilimler Dergisi / Cilt: 21, Sayı: 1, Mart 2019, 87-96

Wachsmann, Nikolaus (2015). KL: A History of the Nazi Concentration Camps. New York: Farrar, Strauss and Giroux

Wolfgang Benz, Barbara Distel (Hrsg.): Der Ort des Terrors. Geschichte der nationalsozialistischen Konzentrationslager. Band 2, S. 174 ff.; Udo Wohlfeld: Das Netz. Die Konzentrationslager in Thüringen 1933–1937. Weimar 2000

Göç Sonrası Dönem Türk-Alman Şiirinde H. Özdemir

Prof. Dr. Hikmet ASUTAY¹

¹ Trakya Üniversitesi Eğitim Fakültesi Alman Dili Eğitimi, hikmetasutay@yahoo.de

Özet: Altmışlı yıllarda Almanya'ya yapılan işçi göçü 2021 yılında altmışıncı yılını dolduracaktır. Altmış yıllık bir azınlık edebiyatının sancılı doğuş sürecinde pek çok kavram tartışması yaşanmış, başlangıçta edebiyat olarak da kabul edilmemiş konuk işçi akımı olarak görülmüştür. Bir çığ gibi giderek büyüyen birikimiyle konuk işçiler yerlerini kalıcı yeni çifte vatandaşlara bırakmış ve bugün için yaklaşık olarak ikiyüzün üzerinde şair ve yazarla varlığını tescil etmekle kalmamış, Türk ve Alman yazınbilimcilerce paylaşılmaz hale gelmiştir. Altmış yıllık bu edebiyat temel olarak üç kuşak altında ele alınmaktadır. Bugün için artık dördüncü kuşaktan da söz edilen Almanyalı Türklerin sanatsal dışavurumları da Almanca yazılan fakat Türkçe duyumsanan ama hem Türk hem Alman okurlarca alınılan bir yazın haline gelmiş, Türk-Alman ya da "Postmigrant" olarak tanımlanan göç sonrası akım olarak da betimlenmeye başlamıştır. Günümüz üçüncü kuşak yazarlarının başını çektiği göç sonrası dönem içinde şiirin yeri de düzyazı kadar olmasa da Almancada farklı bir ton ve ses getirmiş, bu farklılıklar Alman okurlarının da dikkatlerini çekmeyi başlamıştır. Üçüncü kuşak göç sonrası dönemin şairlerinden Hasan Özdemir'in Alman dilinde kaleme aldığı şiirleri ve kısa anlatıları giredek daha fazla tanınmış ve farklı dillere de çevrilmeye başlamıştır. Bu çalışmada da H. Özdemir kendi kuşağı bağlamında Sosyal-biyografik yazın kuramı yöntemiyle şiiri ve Türkiye'ye gönderme yapan anlatısıyla ele alınarak çözümlenmeye çalışılmıştır.

Anahtar Kelimeler: Türk Alman Yazını, Göç Yazını, Almanya, Şiir.

H. Özdemir in Turkish-German Poetry After the Migration Period

Abstract: It will complete its sixtieth year in 2021. It is initially seen as a stream of guest workers that were not considered literature. With its growing experience working like an avalanche, it left it to permanent new dual citizens focused on guest workers, and today it has not only registered its presence with more than two hundred poets and writers, but has been shared by Turkish and German Turkish scientists. It is handled under three generations. The artistic expressions of the German Turks, which are now also mentioned in the fourth generation, will become an open, written in German but felt in Turkish, but received by both Turkish and German readers, will be defined as Turkish-German or "Postmigrant". In the post-immigration period led by the third generation writers today, although the location of the poem was not as much as the prose, it brought a different tone and sound in German, and these differences began to attract the attention of German readers. Hasan Özdemir's poems and short narratives in the German language started to be translated into different languages. Poetry by rules of procedure related to social media and expression that refer to Turkey has tried to be solved will be discussed.

Keywords: Turkish German Literature, Migration Literature, Germany, Poetry.

1. GİRİŞ

Türkiye'den Almanya'ya yapılan konuk işçi göçünün altmışıncı yılı 2021 yılında dolacaktır. Bu süreç kendi içinde üç kuşak olmak üzere kendine özgü bir takım içerik ve biçim özellikleri ile birlikte göçmen yazını oluşturmuştur. Çok az ayda yazar ve şairle başlayan bu yazın başlarda pek ciddiye alınmamış hatta yazın dünyası dışında tutulmuştur (Bkz. Kuruyazıcı). Kavram olarak da tartışmalı bir süreç geçirmiş, dış göç yazını, konuk işçi yazını vb. gibi adlarla anılmıştır (Kuruyazıcı, Karakuş vd.). Yıllar geçtikçe ve bu alanda yazan şair ve yazarların çoğalmasıyla birlikte belli bir birikime sahip olarak kendini kabullendirmiştir, denebilir. Bu süreç içinde göçmen yazını, Almanca olmayan yazın, yabancı yazın, kültürlerarası yazın gibi çeşitli adlar olarak Alman yazınında çokkültürlü ya da kültürlerarası yazına örnek gösterilmeye başlanmıştır. Konuk işçilerin zamanla konukluktan kalıcı yerleşime geçmeleri dolayısıyla yazını da etkilemiş ve bu yüzden kültürlerarası yazın gibi adlar almıştır. Sonuç olarak farklı ve yabancı bir kültür içinde yaşamaya başlamışlardır. Öteki ile olan kültürel etkileşimleri de yazın dünyalarına yansiyarak kültürlerarasılık kavramını doğurmuştur, denebilir. Kavram açıklamasında göçmen yazını kavramının Almanya'da tüm göçmenleri ve yazınlarını kapsadığını unutmamak gerekir; Türk, İtalyan, eski Yugoslav ülkeleri, Polonya vd. Türk göçmen yazını örnekleme üzerinde durulacağı için bu çalışmada Türk Alman yazını kavramı kullanılacaktır. Dolayısıyla göçmen yazını deyince de Türk Göçmen Yazınının anlaşılacağını belirtmek gerekir.

Almanya'da birinci kuşak göçmen yazını neredeyse tamamen Türkçe yazılmaktaydı. Ancak günümüze gelene kadar ikinci kuşakta Türkçe ve Almanca eserler yarı yarıya bir orana sahip iken, üçüncü kuşakta artık eserlerin

neredeyse tamamının Almanca yazıldığı görülmektedir. Almanca yazan üçüncü kuşak sayesinde Alman yazını içinde kendine bir yer ettiği ama diğer taraftan da Türk okurlara uzaklaştığı söylenebilir. Çevirileri olabildiğince az sayıdadır. Bunun da başlıca nedeni, eserlerin içeriklerinin doğrudan Türk okura hitap etmemesi sayılabilir. Bugün için üçüncü kuşak yazını Alman yazınının bir parçası sayılmakta Türk-Alman yazını gibi bir takım isimlerle anılmaktadır. Son dönemlerde de göç sonrası Türk-Alman yazını gibi belirtmeler de kullanılmaktadır (Bkz. Karakuş, Yeşilada vd.).

Kavram belirlenmesinde yine Almanyalı Türkler'in etkisinin olduğu düşünülmektedir. Birinci kuşak bağlamında ilk Almanya'ya gidenler gerçek anlamda konuk işçi olarak gitmişlerdi. Bir süre çalışıp, kazandıkları parayla memleketlerine dönmek başlıca amaçları idi. Bu yüzden o dönemin yazını da konuk işçi yazını olarak anılmış, bugün de aynı terim birinci kuşak için kullanılmaktadır. Seksenli yıllardan itibaren ise değişen şartlar, memlekete getirilen eş ve çocuklar derken konukluk süreci giderek uzamış, yerini zamanla yeni yurtlarında kalıcılığa bırakmıştır. Bu anlamda kesin dönüş pek çok Almanyalı Türk için mitleşmiştir, denebilir. Değişen bu yeni koşullarıyla konuk işçi yazını, Almanya'da kalıcı olmaya başlayan yabancıların yazınına belirtmek için yabancı yazını olarak anılmaya başlandı. Elbette bu yazın iki kutuplu olup bir tarafı Türk, diğer tarafı da içinde yaşadığı Alman toplumu olduğundan, toplumsal ve kültürel olarak bir arada yaşamının yarattığı kültürlerarasılık kavramı gelişmiştir. Bu yüzden göçmen yazınının adı da kültürlerarası yazın olarak anılmaya başlanmıştır.

2. GÖÇMEN YAZININDA ŞİİR

Türk Alman yazını ya da Türk Göçmen yazını bağlamında her bir metin türüne örnekler bulunmaktadır. Bugün için şiir, roman, oyun, deneme, vb. yazın türlerinde pek çok çeşitlenme görülmektedir. Nitekim ikiyüze yakın Almanya'da yaşayan Türk kökenli sanatçı bulunmaktadır ve hemen her türde eserler verildiği görülmektedir. Ayrıca yazın türleri içinde konusal ayrımlarda da çeşitlilik mevcuttur; örneğin çocuk ve gençlik yazını, kadın göçmen yazını vd. gibi.

Tüm bu anılan türler içinde şiirin geleneksel bir yanı ve de yeri olduğu değerlendirilmektedir. Brezina'nın (2003) belirttiği gibi göçmen yazını şiirle başlamıştır denebilir. Almanya'ya Türk göçünün başladığı altmışlı yıllarda en kısa, öz ve en çabuk yazılan şiir türünde eserlerin verilmiş olması rastlantı olmasa gerek. Göçe düzülen türküler, şarkılar da sayılırsa; iş, göç ve en önemlisi de ayrılıklarla başlayan göç süreci, yaban ellerde kendini memleket özlemine, eş ve çocuklara özleme bırakmıştır. Bu anlamda Türk Alman yazınında ilk şiirler, birinci kuşağın yazar ve şairlerinden gelmiştir, örneğin; Yüksel Pazarkaya, Aras Ören gibi. Bu ilk şiirlerde birinci kuşağın temel konuları olan vatan özlemi, yabancılık vb. gibi konular ele alınmış ve şiir türü bu duygulara tercümanlık işlevini üstlenerek ifade aracı olmuştur.

İkinci kuşak Türk Alman yazınında diğer yazın türleri arasında şiir de yerini korumaktadır ve ikinci kuşağın temel sorunu olan kimlik sorunsalını dile getirmekte ve sorgulamakta bir ifade aracıdır. Söz konusu kimlik sorunsalı, hiçbir yere ait olamama ile birlikte her iki kültüre de aitlik hissi gibi varoluşsal çelişki barındırmaktadır içinde. Bu ikilem neredeyse tüm ikinci kuşak şair ve yazarlarında belirgin olarak gözlemlenir. Nitekim Alev Tekinay'ın "Dazwischen"(2001) başlıklı şiiri bu anlamda belki de en çok alıntılanan kanon metin haline gelmiş eserdir:

Alev Tekinay, Dazwischen (2001)

*Jeden Tag packe ich den Koffer
ein und dann wieder aus.
Morgens, wenn ich aufwache,
plane ich die Rückkehr,
aber bis Mittag gewöhne ich mich mehr
an Deutschland.
Ich ändere mich
und bleibe doch gleich
und weiß nicht mehr,
wer ich bin.*

Bu şiirde Tekinay, hemen her gün memlekete dönüşü düşünüp bavulunu hazırladığını ve yine her sabah tekrar bavulunu boşalttığını belirterek gidip gelme ikilemini bavul imgesiyle açıkça ortaya koymaktadır. Kendini Almanya'da tutan şeyin daha bir alışkanlık olduğu ve böylelikle kalmaya devam ettiği belirtilmektedir. Yine her gün düşlerinde düşsel bir trenle ikibin kilometre tren yolculuğunun hayalini kurmaktadır. Karşı konulmaz

memleket hasreti ile “yeni memleket” arasında kalmakla gitmek çelişmesini yaşamakta ve dünyasının bavulu ile dolabı arasında sıkışıp kaldığından söz etmektedir:

*Jeden Tag ist das Heimweh
unwiderstehlicher,
aber die neue Heimat hält mich fest
Tag für Tag noch stärker.
Und jeden Tag fahre ich
zweitausend Kilometer
in einem imaginären Zug
hin und her,
unentschlossen zwischen
dem Kleiderschrank
und dem Koffer,
und dazwischen ist meine Welt.*

Bir başka şair Nevfel Cumart da iki yurt, iki memleket ikilemini köprü imgesiyle birleştirerek gitme ile kalma çelişmesini dile getirmektedir:

Nevfel Cumart, Zwei Welten (1996)

zwischen
zwei
welten
inmitten
unendlicher
einsamkeit
möchte
ich eine brücke sein
(...)

(Quelle: Nevfel Cumart: Zwei Welten. Gedichte/1. Aufl., Grupello: Düsseldorf 1996)

“Memleket Üzerine II” adlı başka bir şiirde de N. Cumart birinci ile ikinci kuşağın kimlik sorunsalını baba imgesi ile çok açık olarak ortaya koymaktadır. Şiirde “babası” yabancı bir ülkede ölmek istemediği için Türkiye’ye dönerken, şair öleceği yer hakkında karara varmakta ve Almanya’yı işaret etmektedir. Birinci kuşakta aidiyet duygusu tamamen Türkiye’ye yöneliktir. Oysa ikinci kuşak ikilem yaşamakta ama kalma kararını yine Almanya olarak belirlemektedir:

*über die heimat II
mein vater
kehrt in die türkei zurück
er möchte nicht
in der fremde sterben

auch ich möchte nicht
in der fremde sterben
und entschieße mich
in bamberg zu bleiben
(aus: Verwandlungen)*

Birinci kuşakta aidiyet duygusu tamamen Türkiye’ye yöneliktir. Oysa ikinci kuşak ikilem yaşamakta ama kalma kararını yine Almanya olarak belirlemektedir:

3. İKİNCİ KUŞAK ŞAİRLERİNDEN HASAN ÖZDEMİR

Türk-Alman yazını ikinci kuşak şairlerinden, 1963 Sorgun/ Türkiye doğumlu Hasan Özdemir 1979 yılında ailesinin yanına Almanya'ya gitmiş, yükseköğrenimini Almanya'da tamamlamış ve halen Ludwigshafen / Almanya'da yaşamaktadır. "Was soll sein" (1989) adlı ilk şiir kitabıyla Almanya'da tanınmaya başlamış, "zur schwarzen nacht flüstere ich deinen namen"(1994), "Das trockene Wasser" (1998), "7 Gerichte" (2004) "Windzweig"(düzyazı ve şiirler 2005), "Vogeltreppe zum Tellerrand" (2005), "Die Sichtbare Stadt" (düzyazı ve şiir, 2009), "Geschälte Sätze" (2013) gibi eserlerini yayımlamıştır. "Der Probant" (2009) oyunu ile 2010 yılında Pfalzbau Tiyatrosu Ludwigshafen tarafından düzenlenen yarışmada tiyatro ödülü almış ve 2011'de sahnelenmiştir.

Şair Hasan Özdemir hakkında ülkemizde pek fazla akademik olarak çalışılmamış ve yazın dünyasında da Almanya'daki gibi tanınmamıştır. Son derece sınırlı çalışmalardan biri Sedat Şahin tarafından yapılmıştır. Şahin genel olarak Türk-Alman yazını bağlamında H. Özdemir'e yer vererek iki dilli şiirleri üzerinden Özdemir'de estetik kaygı konusunu irdelemiştir:

"... estetik kaygısı sadece Anadilinde değil, Almanca yazdığı şiirlerinde de dikkat çekmektedir. Özdemir'de estetik kaygıdan anlaşılması gereken başka bir unsurda dolaylı gösterge oluşturmadaki çabasıdır. Dolaylı göstergeler şiirlerinde genellikle kavram olarak karşımıza çıkmaktadır. Günlük hayat her edebiyatçının beslendiği olgularla doludur ve edebi metinler bu olguları tekrar üretmek okuyucu kitlesine yansıtmaktadır. Özdemir'in ait olduğu kültür ile yaşadığı toplum arasındaki farklılıklar dolaylı göstergeler aracılığıyla her iki toplumun anlayabileceği şekilde dizelerinde şiirselleşir" (Şahin 2013: s.242)

Şair H. Özdemir ikinci kuşağın belirgin özelliklerinden olan kimlik ikilemini üçüncü kuşağa geçiş olarak da değerlendirilebilecek ölçüde sonlandırmış, daha doğrusu kalacağı yeri seçmiştir. Yeni yurdu Ludwigshafen / Almanya'dır. Hatta bu şehirden, benim şehrim diye söz eder (Özdemir 2005: 57-61) "Windzweig adlı eserin içinde yer alan otobiyografisinde. Özdemir'in şiirlerinde bariz bir sessizlik ve suskunluk ifade edilir. Ebeveynlerine ithafen yazmış olduğu şiirde hem sessizlik, bekleyiş, hem de akıp giden zaman dile getirilir:

"windzweig, III.
Sie sprachen mit wind, erde
Mit steinen, wasser und feuer
Aus ihrer eigenen schatten lernten sie
Die himmelsrichtungen un die zeit
(...)" (Özdemir, Windzweig2005: 11)

Şiir kitabının başlığı da Windzweig'dir. Rüzgar dalları imgesi kitapta yer alan pek çok şiirde kullanılmıştır. Rüzgarın savurduğu dallardan biri olmak, bir rüzgarla bulunduğu yerden bambaşka yerlere savurmak, rüzgarın insana getirdiği bir takım unsur, yaşantı varlıklar... gibi imgelerle rüzgar-hayat benzetimi sağlanmış, imgelem sayesinde savrulmuş, kalmak-gitmek kavramları sembolleştirilerek dile getirilmiştir:

"VI.
(...)
und sie lernten
träumen um zu bleiben
in neuen land" (Özdemir, Windzweig2005: 14)

H. Özdemir'in şiirlerinde doğrudan memleket, Türkiye ya da Almanya geçmez. Yoğun olarak imgeler kullanılır. Yapılan yorumlar ise şairin otobiyografisinden yola çıkılarak yapılan öngörülerdir aslında. Ancak yukarıda ebeveynlerine hitap ettiği şiirde göçe dair ipuçları verildiği için yeni yurda alışmalarını ya da alışmayı öğrenmelerini konu almıştır. Bu anlamda birinci kuşağa göndermeler mevcuttur.

H. Özdemir, "Windzweig" adlı eseri içinde ayrıca üç adet kısa anlatı da eklemiştir. Bu anlatılanlardan biri de "Der Marmara Express" adlı anlatısıdır ve konusu İstanbul'da geçen, Asya ile Avrupa arasında geçişi hayranlıkla anlatan bir İstanbul anlatısıdır. Didim'den İstanbul'a Marmara Ekspres tren ile yolculuk eden başkahraman, tren yolculuğu çerçevesinde şehirleri, İstanbul'u ve batıya yolculuğu sorgulayarak bir iç hesaplaşma yapmaktadır.

Tran da bu anlatıda bir metafor olarak değerlendirilebilir, yolda, yollarda olmak, batıya yol almak gibi sürekli bir devinim içermektedir.

4. SONUÇ

Altmış yıllık Türk-Alman yazınında genel olarak üç kuşaktan söz edilir ve bu üç kuşağın yazma tarzları, dilleri ve konu çerçeveleri birbirinden farklıdır. Elbette çok kesin sınırlarla yazınsal kuşaklar birbirinden ayrılmaz, geçişler saydamdır. Türk-Alman yazınında şiir konusu da bu yazının genel karakterine uygun olarak üç kuşak bağlamında ele alınabilir. Bu çalışmada irdelenen H. Özdemir şiirleri gerek yapı biçim, gerek konu çerçevesi açısından karakteristik olarak ikinci kuşak özelliği sergilemekte, son dönem şiirlerinde ise yer yer üçüncü kuşağa geçiş özellikleri de görünmektedir. Üçüncü kuşağın karakteristik konu özellikleri Almanya bağlamında ele alınan gündelik, toplumsal-kültürel ve hatta siyasi unsurlar, yabancı düşmanlığı, uyu politikaları gibi sorunlardır. Üçüncü kuşakta artık göç ile ilgili herhangi bir özellik veya konuya yer verilmemektedir. Bu anlamda değerlendirildiğinde H. Özdemir'in de son dönem eserleri itibariye üçüncü kuşak Türk-Alman yazınına geçiş aşamasında bulunduğu söylenebilir.

KAYNAKÇA

- Brezina, Karel (2003) "Funktion und Bedeutung der Migrationsliteratur im deutschsprachigen Raum" Diplomarbeit: <https://www.grin.com/document/20695>: 06.04.2020
- Cumart, Nevfel: Zwei Welten. Gedichte/1. Aufl., Gruppello: Düsseldorf 1996
- Özdemir, Hasan (2005) "Windzweig" (düzyazı ve şiirler) Verlag Hans Schiler
- Özdemir, Hasan "Geschälte Sätze" (2013) Verlag Hans Schiler
- Şahin, Sedat (2013) "Almanya'da Ünlü ve Yalnız Bir Şair: Hasan Özdemir " EFD - Edebiyat Fakültesi Dergisi Cilt / Volume 30 Sayı / Number 1 (Haziran / June 2013) s. 239-248
- ÜNAL, Dalım Çiğdem (2015). Die türkisch deutsche Migrationslyrik im kreativen DaF Unterricht . XII. Türkischer Internationaler Germanistik Kongress, MIGRATION UND KULTURELLE DIVERSITÄT, Kocaeli, Turkey
- https://www.schulentwicklung.nrw.de/cms/upload/Faecher_Seiten/deutsch/Fremdheit_Lyrik_S_II.pdf: 06.04.2020

Students 'Attitudes And Opinions On Leadership Attributes

Hilal ÇELİK¹

¹Dr. Öğretim Üyesi Beykent Üniversitesi İİBF İşletme Bölümü hilalcelik@beykent.edu.tr, ORCID: 0000-0003-2227-5462

Özet: Liderlik yıllar boyunca doğuştan olup olmadığı tartışılan gerek örgütlerde gerekse siyasi hayatta önemini tarihin her sürecinde koruyan bir konudur. Literatürde farklı disiplinler tarafından çok fazla çalışılan liderlik konusu zaman içerisinde farklı modeller ile farklı anlamlar kazanmıştır. Bu bağlamda çalışmanın birinci bölümünde zaman içerisinde liderlik kavramındaki gelişim ve değişimlerin neler olduğu literatürde incelenmiştir. İkinci bölümünde ise özellikle çağımızda gençlerin liderlik özelliklerine yönelik nasıl bir tutum sergilediklerine ve bu konudaki görüşlerinin ne olduğuna yönelik ölçüm yapılmıştır.

Araştırmada ön lisans öğrencilerinde liderlik özelliklerine yönelik tutum ve görüşlerini belirtme amaçlı tarama yöntemi kullanılmıştır. Ölçümde ünlü liderlere ait video izletisi sonrası anket uygulaması yapılmıştır. Araştırma evrenini Beykoz Üniversitesi Meslek Yüksekokulunda eğitim gören öğrenciler oluşturmuştur. Yedi farklı programda eğitim gören öğrencilerin eğitim aldığı programlar; İlk ve Acil Yardım, Fizyoterapi, İş Sağlığı ve Güvenliği, Sosyal Hizmetler, Odyometri, Tıbbi Görüntüleme Teknikleri, Ameliyathane Hizmetleridir ve toplam 107 öğrenci araştırmaya katılmıştır. Araştırmaya katılanlar kolayda örneklem yöntemi ile seçilmiştir. Çalışma bulguları SPSS 2,1 (Statistical Package for Social Sciences) istatistik test ile değerlendirilmiştir. Tanımlayıcı istatistiksel metotlar sayı, ortalama, standart sapma ve yüzde kullanılmıştır. Hipotez testlerinde t-testi, korelasyon analizleri ve anova kullanılmıştır.

Anahtar Kelimeler: Liderlik, Karizmatik Liderlik, Dönüşümsel Liderlik

Abstract: Leadership is an issue that maintains its importance in organizations and in every aspect of history in political life, whether it is innate or not. In the literature, the topic of leadership, which has been studied very much by different disciplines, has gained different meanings with different models over time. In this context, in the first part of the study, the developments and changes in the concept of leadership over time are examined in the literature. In the second part, especially, in our age, a measurement was made about how young people behave in terms of their leadership characteristics and what their views on this subject are.

The research method was used to determine the attitudes and opinions about the leadership characteristics of the associate degree students. The survey was conducted after the video screenings of the famous leaders in the measurement. The research population consisted of students studying at Beykoz University Vocational School. Programs where students receive education in seven different programs; First and Emergency Assistance, Physiotherapy, Occupational Health and Safety, Social Services, Audiometry, Medical Imaging Techniques, Operating Room Services and a total of 107 students participated in the study. The participants were selected by the sampling method. The results of the study were evaluated by SPSS 2 (Statistical Package for Social Sciences). Descriptive statistical methods were used as number, mean, standard deviation and percentage. In the hypothesis tests, t-test, correlation analysis and ANOVA test were used.

Key Words: Leadership, Charismatic Leadership, Transformational Leadership

1. INTRODUCTION

Leadership is a topic that has been discussed for years about whether it is innate or not, while it also maintains its importance in all stages of history, both in organizations and in political life. Leadership, which has been studied a lot in the literature by different disciplines, has gained different meanings with different models over time. Before moving on to what the concept of leadership is, it would be useful to explain the concept of leader. Leadership is an issue that maintains its importance in organizations and in every aspect of history in political life, whether it is innate or not. In the literature, the topic of leadership, which has been studied very much by different disciplines, has gained different meanings with different models over time. In this context, in the first part of the study, the developments and changes in the concept of leadership over time are examined in the literature. In the second part, especially, in our age, a measurement was made about how young people behave in terms of their leadership characteristics and what their views on this subject are.

The research method was used to determine the attitudes and opinions about the leadership characteristics of the associate degree students. The survey was conducted after the video screenings of the famous leaders in the measurement. The research population consisted of students studying at Beykoz University Vocational

School. Programs where students receive education in seven different programs; First and Emergency Assistance, Physiotherapy, Occupational Health and Safety, Social Services, Audiometry, Medical Imaging Techniques, Operating Room Services and a total of 107 students participated in the study. The participants were selected by the sampling method. The results of the study were evaluated by SPSS 2 (Statistical Package for Social Sciences). Descriptive statistical methods were used as number, mean, standard deviation and percentage. In the hypothesis tests, t-test, correlation analysis and ANOVA test were used.

The aim of the study was to determine the leadership characteristics of associate degree students. Demographic information such as gender, age, the program he / she studied, class of class, economic status, residence status, whether married or single, education of the family, scholarship, etc. are included.

In the study, it was observed that the students exhibited less charismatic and transformational leadership characteristics.

As a result, it was observed that the students who participated in the research carried a high level of leadership characteristics. In the measured leadership characteristics of the students, it has been observed that it has the highest proportion of people, secondly, structure oriented, thirdly charismatic and minimal transformational leadership characteristics.

2. CONCEPT OF LEADERSHIP

Koçel (2011: 569) defined the leader as "The person whom a group of people follow to fulfill their personal and group goals and act in accordance with his/her wishes, orders and instructions". In another source, the concept of leadership is defined as "People who gather around individuals who aim to work towards a specific purpose, motivate them around common goals and enable them to display purposeful behaviors". (Genç, 2009: 161).

2.1. Leadership Models

Autocratic Leadership

In the autocratic leadership model, decision-making power and management entirely belong to the leader (Minister and Büyükbeşe, 2010: 75). It is a model that the leader holds all kinds of authority.

Subordinates are only obliged to follow orders. The relations between the group members are also shaped in the manner predicted by the leader. It is the leader who rewards and punishes, and the fate of the group members is in the hands of the leader (Paksoy, 2012: 25).

Autocratic leaders avoid wasting time because they can make faster and more effective decisions because they are more concerned with their work. Their ability to move independently increases their motivation.

Democratic Leadership

In the democratic-participatory leadership style, authority is not centered as in the authoritarian leadership style. Democratic participating leaders share their managing power with their subordinates.

In addition, employees are informed about their job-related situations and are encouraged to make suggestions. In such organizations, there is a good harmony and perfect communication between the leader and his subordinates (Paksoy, 2012: 25-26).

Another important benefit is that the employees are motivated due to the importance given to the thoughts of the employees, their sense of belonging and creative features develop, and the organization benefits from all these situations (Barlı, 2010: 364).

Leader With Full Freedom

In this leadership style, they are the people who need little leadership authority. They avoid taking responsibility. It will also be difficult to gather the group around general goals and direct them to certain goals, since there is no authority in the leadership style that recognizes full freedom. In this case, it will be possible for everyone to turn towards different or even opposite goals.

In addition, the decrease in group achievements is among the drawbacks of this leadership style. Another disadvantage is that people who are lazy and seeking ways to avoid taking responsibility will increase the

anarchy that emerges in the organization and will use organizational resources for their own interests, and will even try to divide and break up the group (Eren, 2012: 463-464).

2.2. New Era Leadership Models

Visionary Leadership

“Being a Visionary” means that the leader can first develop an image that the organization desires to be in the future and that is likely to happen. Because visionary leaders manage their organizations not only by considering the current situation, but also by considering future changes. Visionary leaders who will provide change are primarily individuals who can make self-evaluation, aim for continuous improvement, value people, and act with the understanding of continuous learning and sharing (Aslan, 2009: 122).

Strategic Leadership

Strategic leadership is not usually through the day-to-day work of the organization. It is about the management of the works that will enable it to survive in the long term, which can provide it with competitive advantage and yield on average profit. Therefore, strategic leadership focuses on issues that can increase the organization's long-term lifetime and improve its competitiveness (Ülgen ve Mirze, 2010: 27-28).

Charismatic Leadership

Many authors have mentioned that charismatic leaders are acting in unique ways that create special charismatic effects on their followers, who are dominant, self-confident, affect people, are sensitive to moral values, guide, inspire, and instill positive thoughts about the future. After House published his theory on charismatic leadership, charismatic leadership has been the focus of many researchers (Keklik, 2012: 77).

Interactive Leader

Interactive leaders choose the way of doing and getting work done to make the viewers' activities of the past more effective and efficient. They are less interested in the creative and innovative aspects of the audience. Interactive leaders use their powers in the form of giving money and status to reward employees and make more efforts. (Eren, 2012: 461-462). Leaders who exhibit interactive leadership behavior use their powers in the form of rewarding their employees and giving them money and status to show more effort (Eren, 2012: 463-464).

Transformational Leadership

Transformation has literal meanings such as “entering into another form, being another situation, changing shape” (Akalin, 2011: 715). Globalization, new management approaches, competitive environment and external conditions have had a significant impact on the development of this leadership.

By Yukl, transformational leadership defined the process of great change in attitudes and behavior among members of the organization, contributing to the organization's mission and goals, motivating subordinates for higher ideas and morale”(Şahin, 2009: 102).

Transformational leaders are not only people who think, question, take risks, but also those who can change the thoughts of their viewers and instill new thoughts with their actions. In summary, transformational leaders are those who can change the values, behaviors and beliefs of viewers to achieve organizational goals (Hemedoğlu ve Evliyaoglu, 2012: 60)

3. METHOD

3.1. Research Model

In the research, the screening method was used to express my attitudes and opinions about the leadership characteristics of the associate students. In the measurement, a questionnaire was applied after watching the video of famous leaders.

3.2. Research Population and Sampling:

The research population consisted of students studying at the Vocational School of Beykoz University. The programs in which students studying in seven different programs are trained in; First and Emergency Aid, Physiotherapy, Occupational Health and Safety, Social Services, Audiometry, Medical Imaging Techniques,

Operating Room Services and a total of 107 students participated in the research. Participants in the study were selected by convenience sampling method.

3.3. Collection of Data:

In the first part of the scale, demographic features of the students are included. Common demographic feature measurements were made for other areas of the project.

In the second part, the Leadership Orientation Scale was included, which was developed by Lee G. Boltman and E. Deal for the leadership styles of the students, which was proven to be valid and reliable by Dereli in our country in 2003. The scale is aimed at measuring four basic leadership styles, namely humane and structural, transformational and charismatic leadership. For each question in the scale, a 5-point Likert scale was used, and the participant could choose definitely agree (5), somewhat agree (4), neither agree nor disagree (3), disagree (2) and certainly disagree (1) with the scale. According to the answer style, it can be concluded that the participant who scored higher than the scale always showed the mentioned leadership style, and the participant who scored low did not show the mentioned leadership style. The Cronbach Alpha value (> 0.60) of the scale shows that it is necessary and reliable. In the studies carried out by Dereli, the same value was 0.87, 0.84 and 0.88, respectively.

In the third part, the leadership characteristics of the participating students are measured. There are four different leadership styles in each question. The participant was asked to give a maximum of four points by giving one point to the option that states "Represents me very well" and four to the option that states "Doesn't represent me at all".

3.4. Analysis of the data:

The findings of the study were evaluated with SPSS 2.1 (Statistical Package for Social Sciences) statistical test. Descriptive statistical methods were used in number, mean, standard deviation and percentage. In hypothesis testing, t-test, correlation analysis and anova were used.

One-way anova test was used to compare more than two groups of participants and different groups were identified. Variance analysis was used for the difference between the average of more than two unrelated groups.

3.5. Findings:

Statistical evaluation of the research is given in three separate sections. In the first part, demographic descriptive information and in the second part, statistical evaluation of the leadership orientation questionnaires is included. In the third part, the frequency distribution of the results directed to the participants to get to know themselves is given.

Table 1. Demographic features

Variable	Frequency	Percentage%
Distribution of Participants by Gender		
Woman	61	57,01
Man	46	42,99
Distribution of Participants according to their Programs		
First and Emergency Aid	30	28,04
Occupational health and Safety	21	19,63
Social services	5	4,67
Audiometry	8	7,48
Medical Imaging Techniques	10	9,35
Operating Room Services	17	15,89
Physiotherapy	16	14,94
Distribution of Participants by Age		
Between 17-19 Years	87	81,31
Between 20-25 Years	15	14,02
26 Years and Above	5	4,67

Distribution of Participants by Marital Status		
Married	3	2,81
Single	104	97,19
Distribution of Participants by Class		
First class	90	84,11
Second class	17	15,89
Distribution of Participants According to High School Type Graduated		
Anatolian Vocational and Technical High School- Anatolian High School	21	19,63
Normal highschool	69	64,48
Fine Arts High School	4	3,74
Other	13	12,15
Distribution of Participants by Number of Siblings		
0	8	7,48
1	49	45,79
2	40	37,38
2+	10	9,35
Distribution of Participants' Parents According to Educational Status		
Primary Education	26	24,30
High school Education	62	57,94
University Education	18	16,83
Graduate Doctorate Education	1	0,93
Distribution of Participants by Scholarship Status		
Yes	74	69,16
No	33	30,84
Distribution of Participants According to How they meet Their Monthly Budgets		
Not Sufficient	38	35,52
Sufficient	62	57,94
Very sufficient	7	6,54
Distribution of Participants by Information About Their Place of Residence		
With family	45	42,06
With relatives	22	20,56
In dormitories	38	35,51
Alone	2	1,87

Considering the demographic characteristics of the participants, it is seen that 57.0% are girls and 42.99% are boys. It is seen that the highest rate in the programs in which the students are trained is included in the first and Emergency Aid Program with 28.04%, and the lowest Social Services Program with 4.67%. The remaining participants are trained in 19.63% Occupational Health and Safety, 15.89% Operating Room Services, 14.94% Physiotherapy, 9.35% Medical Imaging Techniques and 7.48% Audiometry Program respectively.

2.81% of the participants are married and 97.19% are single. It is the second year of only 17 of the participants school. It is the first year of 90 participants in school. It is seen that the participants are between 17-19 years old. 14.02% of the participants were between the ages of 20-25 and slightly less than 4.67% were above the age of 26. Participants are already graduates of 64.48% normal high schools, 19.63% Anatolian Vocational and Technical High Schools or Anatolian High Schools, 12.15% other high schools and 3.74% Fine Arts High Schools. It is seen that most of the participants are two siblings with a rate of 45.79%. 37.38% of the remaining participants are three siblings, 7.48% are single children and 9.35% are three siblings and more. It is seen that more than half of the participants have a scholarship with a rate of 69.16%. Considering the educational status of the parents of the participants, 57.94% high school, 24.30% primary education, 16.83% university and 0.93% received postgraduate education. For the question which asked whether their monthly budget is sufficient or not, %35,52 with 38 participants reported that it is not sufficient. While 62 participants stated that their budgets were sufficient, 7 participants marked the very sufficient option.

In the question regarding the residence of the participants, it was observed that 42.06% of them were family, 20.56% of relatives or relatives, 35.51% were at home and 1.87% were alone.

Table 2. Differentiation of Leadership Orientations Scale by Gender Variable

	Gender	N	Mean	SS	Max	Min	t	P
Human oriented	Woman	61	3,94	.571	5.00	1.00	-0,528	0,599
	Man	46	3,95	.549	5.00	1.00		
Structure oriented	Woman	61	3,87	.541	5.00	1.00	-1,356	0,179
	Man	46	3,92	.540	5.00	1.00		
Transformational	Woman	61	3,81	.592	5.00	2.00	-0,749	0,464
	Man	46	3,82	.554	5.00	1.00		
Charismatic	Woman	61	3,80	.556	5.00	2.00	-1,434	0,263
	Man	46	3,86	.544	5.00	1.00		

The difference between the averages of the groups is not statistically significant according to the results of the t-test, in which we measured whether the human and structure oriented leadership behaviors and transformational and charismatic leadership averages change by gender ($t=-0,528$, $p=0,599 > 0,05$, $t= -1,356$, $p= 0,179 > 0,05$ $t= -0,749$, $p= 0,464 > 0,05$ $t= -1,434$, $p= 0,263 > 0,05$).

Table 3. Differentiation of Leadership Orientations Scale by Age Variable

	Age	N	Mean	SS	Max	Min	F	P
Human Oriented	17-19	87	3,87	.518	5.00	2.00	0,882	0,442
	20-25	15	3,97	.493	5.00	1.00		
	26 or above	5	3,92	.560	5.00	2.00		
Structure Oriented	17-19	87	3,92	.561	5.00	1.00	1,008	0,337
	20-25	15	3,84	.576	5.00	2.00		
	26 or above	5	3,91	.574	5.00	2.00		
Transformational	17-19	87	3,76	.595	5.00	2.00	0,784	0,498
	20-25	15	3,81	.566	5.00	1.00		
	26 or above	5	3,88	.538	5.00	1.00		
Charismatic	17-19	87	3,84	.543	5.00	2.00	0,701	0,552
	20-25	15	3,82	.522	5.00	1.00		
	26 or above	5	3,80	.579	5.00	2.00		

Anova test is conducted, which is a one-way analysis of variance, aimed at measuring the human oriented, structure oriented, charismatic and transformational leadership orientations of the students participating in the research, according to the age variable. No statistically significant results were found for any component ($F= 0,882$, $p= 0,442 > 0,05$, $F= 1,008$, $p= 0,337 > 0,05$, $F= 0,784$, $p= 0,498 > 0,05$, $F= 0,701$, $p= 0,552 > 0,05$).

Table 4. Differentiation of Leadership Orientations Scale by Class Variable

	Class	N	Mean	SS	Max	Min	t	P
Human Oriented	1	90	3,97	.571	5.00	2.00	1,522	0,209
	2	17	3,93	.543	5.00	1.00		
Structure Oriented	1	90	3,87	.565	5.00	1.00	0,962	0,414
	2	17	3,98	.551	5.00	2.00		
Transformational	1	90	3,94	.526	5.00	1.00	0,595	0,635
	2	17	3,90	.564	5.00	2.00		

Charismatic	1	90	3,88	.560	5.00	2.00	1,992	0,131
	2	17	3,81	.562	5.00	1.00		

Human-oriented, structural-oriented, charismatic and transformational leadership orientations of the students participating in the study were tested for the purpose of measuring according to the class variable. No statistically significant results were found for any component ($t = 1,522$, $p = 0,209 > 0,05$, $t = 0,962$, $p = 0,414 > 0,05$, $t = 0,595$, $p = 0,635 > 0,05$, $t = 1,992$, $p = 0,131 > 0,05$).

Distribution of Answers of Students Participating in the Research to Sentences Defining Themselves

- a- Represents me very well
- b- Represents me well
- c- Does not represent me
- d- Does not represent me at all

Table 5. Distribution of Answers Given to "My Strongest Talents"

1. My ability to solve problems and be analytical
2. My ability to establish an interpersonal relationship
3. My ability to be political
4. My ability to be willing and excited

Questions	Choices	1		2		3		4		x	SS
		f	%	f	%	f	%	f	%		
En Güçlü Yeteneklerim	1st choice	24	22,43	26	24,30	29	27,10	28	26,17	2,58	1,12
	2nd choice	8	7,48	18	16,82	38	35,51	43	40,19	3,09	0,93
	3rd choice	39	36,45	32	29,91	24	22,43	12	11,21	2,12	1,04
	4th choice	38	35,51	31	28,98	17	15,89	21	19,62	2,19	1,12

Average rates of respondents' responses to their talents that they consider to be the most powerful are given in table 5. In the responses given to the First Statement, 22.43% of the respondents answered "it represents me very well" while 35.1% replied "it doesn't represent me at all". The highest rate of answers from the participants was "does not represent me" with a rate of 36.45%.

In the responses to the phrase to establish an interpersonal relationship, the lowest rate was 16.82% "It represents me", and the highest was 29.91% "It does not represent me" answers. While the lowest rate for the statement directed towards the ability to be political was the "It does not represent me at all" option with 15.89%, the highest rate was the "It represents me" option with 35.51%. In the fourth statement, participants stated their answers as the following: 11.21% of the participants were not eager and excited, 19.62% were not feeling any eagerness of excitement, 40.19% were eager and excited, and 26.17% were eager and excited.

Table 6. Distribution of Answers Given to "The Best Way to Identify Me"

1. A technical expert,
2. A good listener,
3. A talented politician,
4. An inspiring leader.

Questions	Choices	1		2		3		4		x	SS
		f	%	f	%	f	%	f	%		
Best way to define me	1st choice	29	27,10	29	27,10	28	26,17	21	19,63	2,38	1,07
	2nd choice	11	10,28	21	19,63	32	29,91	43	40,18	3,02	1,02
	3rd choice	30	28,02	29	27,10	31	28,99	17	15,89	2,34	1,04
	4th choice	38	35,51	28	26,17	16	14,95	25	23,37	2,23	1,15

It was observed that the participants answered the phrase whether they see themselves as a technical expert or not as "does not represent me at all" with a rate of 35.51%. Participants see themselves as good politicians with a rate of 29.91% and indicate that they have leadership characteristics with a rate of 40.18%, but they do

not appear to express a certainty in this regard. Only 19.63% of the respondents responded that their leadership qualities certainly exist.

Table 7. Distribution of the Answers Given to "My Successful and Most Important Skills helping me Succeed"

Questions	Choices	1		2		3		4		x	SS
		f	%	f	%	f	%	f	%		
		1. Good decision making,									
2. Developing and helping people,											
3. Extending my power domain with strong alliances,											
4. Being able to mobilize and inspire others.											
My most important skills	1st choice	21	19,63	26	24,30	27	25,23	33	30,84	2,79	1,12
	2nd choice	11	10,28	16	14,95	39	36,45	41	38,32	3,04	0,95
	3rd choice	31	28,98	36	33,65	25	23,36	15	14,01	2,23	1,01
	4th choice	46	42,99	29	27,11	16	14,95	16	14,95	2,02	1,08

It was observed that the respondents said, "It does not represent me at all" with a rate of 42.99% for the participants to make good decisions. They responded to the phrase "It does not represent me" with a rate of 33.65% to improve and help people. Participants responded to the statement to improve their power domains as "It does represent me" at 36.45% although there is no certainty with the answers. It was observed that the participants responded as "It does represent me" with a rate of 38.32% in the phrase "to inspire others by mobilizing them, which is an important skill within their leadership.

Table 8. Distribution of the Answers Given to the phrase "My most important feature that people have noticed in me"

Questions	Choices	1		2		3		4		x	SS
		f	%	f	%	f	%	f	%		
		1. Having an eye for details,									
2. Caring and giving value to other people,											
3. Being successful against all conflicts and opposition,											
4. Being charismatic.											
My most important feature	1st choice	27	25,23	22	20,56	31	28,98	27	25,23	2,51	1,12
	2nd choice	7	6,54	18	16,82	25	23,36	57	53,28	3,16	0,93
	3rd choice	32	29,91	33	30,84	25	23,36	17	15,89	2,28	1,06
	4th choice	40	37,39	34	31,78	18	16,82	15	14,01	2,07	1,06

In the questions posed about how the participants think about how they are noticed from outside, the rate of those who think that they are absolutely detailed and that they are noticed with these aspects is 25.23%. In this conclusion, the remarkable ratio of the respondents as "this represents me very well" is approximately four times the ratio of those who respond as "this represents me". This result shows that the participants are 100% aware of the mentioned features. Participants responded "does not represent me at all" at the rate of 31.78%, which is the highest for the statement that aims to caring about other people and giving them value. While 28.98% of the participants think that they are successful despite all kinds of difficulties, amongst participants, the ones think that they are charismatic is as high as 53.28%.

Table 9. Distribution of Answers to the phrase "My most important leadership feature"

Questions	Choices	1		2		3		4		x	SS
		f	%	f	%	f	%	f	%		
		1. Rational and Clear Thinking									
2. Supporting others and have an interest for them,											
3. Having a competitive and tough structure,											
4. High imagination.											
My most important	1st choice	27	25,23	23	21,50	32	29,91	25	23,36	2,51	1,11
	2nd choice	7	6,54	18	16,82	33	30,84	49	45,80	3,13	0,93

leadership	3rd choice	32	29,91	33	30,84	25	23,36	17	15,89	2,26	1,06
feature	4th choice	40	37,39	33	30,84	18	16,82	16	14,95	2,07	1,05

The answer given by the participants to the phrase that they think rationally and clearly was the “this does not represent me at all” option with a rate of 37.39%. To the statement of supporting and showing interest in others, they replied “does not represent me” and “does not represent me at all” with an equal rate of 30.84%. It was observed that the participants answered “It does represent me” as 30.84% to the phrase directed to have a competitive nature and 45.8% to the phrase directed to their imaginative traits.

RESULTS

Although the phenomenon of leadership is a scientific study of a group of academics for leadership, it is important to mobilize individuals in line with a common goal, to comply with the rules and to maintain order since the history of humanity. The fact of being a leader in each sector and in every community from the smallest to the largest is a fact required for individuals to show their performance effectively and for success.

In the study, it is aimed to determine the leadership characteristics of associate students. Demographic information such as gender, age, the program he/she studied, what class he/she studied, economic status, residence status, whether he was married or single, his family's education status, whether he/she has a scholarship are included. In the measurements made, it was observed that the average of the leadership leadership scores of the participants was higher than the others. In the research, especially the talents of human and structure oriented leadership skills were measured. In the literature, the results that these two types of leadership are independent from each other are quite high in number. The results of the study also support the aforementioned results.

In the study, it was observed that students showed less charismatic and transformational leadership characteristics. According to this result, students were seen as charismatic people who provide the necessary support for changes, persuade the other party in this direction, have high work management skills, exemplify behaviors. In literature, studies on charismatic and transformational leadership have a common consensus that transformational leaders are similar to charismatic, but they differ from charismatic leaders with their special talents in change and innovation. Another common view is that transformational leaders must be charismatic leaders in order to complete the transformation quickly and effectively, completing the aforementioned result. Therefore, it is an indicator that associate students can effectively provide all the necessary transformations in order to carry both leadership features together.

As a result, it was found that the students who participated in the study had high leadership qualities and that the mentioned features did not change with demographic characteristics. It was observed that the most highly human-oriented, secondly, structure oriented, thirdly charismatic and least transformational leadership characteristics in the measured leadership characteristics of the students.

For the future studies, the sample group can be conducted with primary and high school students, not university, and studies that will help especially the high school students' choice of profession can be conducted.

REFERENCES

- Akalın, Ş.H. (2011). Büyük Türkçe Sözlük. Ankara: TDK Yayınları.
- Aslan, Ş. (2009), “Duygusal Zekâ Dönüştürücü ve Etkileşimci Liderlik”, Eğitim Yayınevi, 1. Baskı, Konya.
- Bakan, İ. ve Büyükbeye, T. (2010). Liderlik Türleri Ve Güç Kaynaklarına İlişkin Mevcut-Gelecek Durum Karşılaştırması: Eğitim Kurumu Yöneticilerinin Algılarına Dayalı Bir Alan Araştırması. KMÜ Sosyal ve Ekonomik Araştırmalar Dergisi. 12 (19), 73-84.
- Barlı, Ö., (2010), “Davranış Bilimleri ve Örgütlerde Davranış”, Geliştirilmiş ve Geniştirilmiş 4. Baskı, Aktif Yayınevi, Erzurum
- Eren, E. (2012). Örgütsel Davranış ve Yönetim Psikolojisi. İstanbul: Beta Yayınları.
- Genç, B.R. (2009). Profesyonel Yöneticinin Yöntem ve Kavramları. Ankara: Seçkin Yayıncılık.
- Hemedoğlu, E. ve Evliyaoglu, F. (2012). Çalışanların Dönüştürücü Liderlik Algılarının Örgütsel Bağlılıkları Üzerindeki Etkilerinin İncelenmesi. İşletme Araştırmaları Dergisi, 4 (1), 58-77.
- Keklik, B., (2012), “Sağlık Hizmetlerinde Benimsenen Liderlik Tiplerinin Belirlenmesi: Özel Bir Hastane Örneği”, Afyon Kocatepe Üniversitesi İktisadi ve İdari Bilimler Fakültesi Dergisi, 14(1), 73-93.

Paksoy, M. (2012). Liderlik ve Motivasyon. (Ed: C. Serinkan), Ankara: Nobel Yayın Dağıtım.

Şahin, B., (2009), “Örgütsel Gelişmenin Sağlanması Dönüşümcü Liderlerin Rolü”, Dokuz Eylül Üniversitesi Sosyal Bilimler Enstitüsü Dergisi, 11(3), 97-118.

Ülgen, H. ve Mirze, K., (2010), “İşletmelerde Stratejik Yönetim”, Beta Yayınevi, İstanbul.

Gönüllü Sade Yaşam Tarzının Faydacı ve Hedonik Tüketim Üzerine Etkisi

Öğr. Gör. İbrahim TÜRKMEN¹

Dr. Öğr. Üyesi Şerafettin ERTEN²

¹Uşak Üniversitesi / Sağlık Hizmetleri Meslek Yüksekokulu, Yönetim ve Organizasyon Bölümü,
ibrahim.turkmen@usak.edu.tr, ORCID: 0000-0002-1558-0736

²Uşak Üniversitesi / Sağlık Yüksekokulu, Sağlık Yönetimi Bölümü, serafettin.erten@usak.edu.tr, ORCID: 0000-0003-0297-0580

Özet: Gönüllü sade yaşam tarzı günümüz toplumlarında artan materyalist eğilimlere ve toplumların birer tüketim toplumuna dönüşmesine tepki olarak gelişmiştir. Bu yaşam tarzı sadelik, kendi kendine yeterlilik, çevreye duyarlılık, gelecek nesiller için tehdit oluşturacak faaliyetlerden uzaklaşma ve tüketim alışkanlıklarını rasyonelleştirme gibi ilkeler etrafında şekillenmektedir. Bireyler gönüllü ve bilinçli olarak bu ilkelere dayalı sade bir yaşam tarzına yönelmektedir. Bu araştırmada gönüllü sade yaşam tarzının iki temel tüketim eğilimi olan faydacı ve hedonik tüketime etkisi tespit edilmeye çalışılmıştır. Araştırma nicel araştırma olarak tasarlanmış ve veriler anket formu aracılığıyla toplanmıştır. Araştırmanın evreni Uşak il merkezinde yaşayan bireyler olarak belirlenmiştir. Araştırmada kolayda örneklem yöntemi kullanılmıştır. Araştırma verileri 506 katılımcıdan elde edilmiş ve SPSS 22 ve AMOS programları kullanılarak analiz edilmiştir. Elde edilen bulgulara göre gönüllü sade yaşam tarzı faydacı tüketim üzerine pozitif, hedonik tüketim üzerine negatif etkiye sahiptir. Gönüllü sade yaşam tarzı alt boyutlarından olan planlı alışveriş boyutunun faydacı tüketimi pozitif yönde etkilerken, hedonik tüketimi olumsuz etkilediği tespit edilmiştir. Bu araştırmada gönüllü sade yaşam tarzını benimseyen bireylerin artmasıyla birlikte faydacı tüketime yönelimin artacağı ve hedonik tüketime yönelimin azalacağı sonucuna ulaşılmıştır.

Anahtar Kelimeler: Gönüllü Sade Yaşam Tarzı, Faydacı Tüketim, Hedonik Tüketim, Tüketim Toplumu

Effect of Voluntary Simplicity Lifestyle on Utilitarian and Hedonic Consumption

Abstract: The voluntary simple lifestyle has developed in response to the increasing materialist tendencies in today's societies and their turning into a consumer society. This lifestyle is shaped around principles such as simplicity, self-sufficiency, environmental awareness, moving away from threatening activities for future generations and rationalizing consumption habits. Individuals voluntarily and consciously turn to a simple lifestyle based on these principles. In this research, the effect of voluntary simplicity lifestyle on utilitarian and hedonic consumption, which are two main consumption trends, was tried to be determined. The research was designed as quantitative research and the data were collected through a questionnaire. The universe of the research is determined as individuals living in the city center of Uşak. In the research, the convenience sampling method was used. Research data was obtained from 506 participants and analyzed using SPSS 22 and AMOS programs. According to the findings, voluntary simplicity lifestyle has a positive effect on utilitarian consumption and a negative effect on hedonic consumption. It is determined that the planned shopping dimension, which is one of the voluntary simple lifestyle sub-dimensions, positively affects the utilitarian consumption, while hedonic consumption negatively. In this research, it was concluded that with the increase of individuals who adopt a voluntary simplicity lifestyle, the tendency towards utilitarian consumption will increase and the tendency towards hedonic consumption will decrease.

Key Words: Voluntary Simplicity Lifestyle, Utilitarian Consumption, Hedonic Consumption, Consumption Society

1. GİRİŞ

1968 yılında on ülkeden, farklı alanlarda bilim insanı dünyanın mevcut durumunu ve gelecek kuşaklara bırakılacak mirası tartışmak için bir araya gelmiştir. Sonradan Roma Kulübü olarak adlandırılan bu oluşum artan nüfus, azalan doğal kaynaklar, çevre kirliliği, gelir dağılımındaki dengesizlik, açlık, yoksulluk, ekonomik krizler gibi insanoğlunun kendi eliyle yarattığı çok sayıda sorunun, tedbir alınmaz ise çok da uzun olmayan bir süre zarfı içerisinde dünyanın sonunu getireceğini deklare etmiştir. Yine bu grup küresel ölçekte dengenin her bireyin temel maddi ihtiyaçlarına doyumunu sağlayacak ve her bireyin beşerî potansiyelini geliştirmesi için eşit fırsata sahip olmasına olanak verecek bir anlayışla gerçekleştirebileceğini ileri sürmüştür (Meadows, vd., 1972: 24). Bu anlayış bugünün varlık ve kaynaklarının doğru kullanılarak gelecek nesillerin hak ve çıkarlarının korunması, doğa ve çevreye saygı, insanların yaşam kalitesinin artırılması gibi temel ilkeler çerçevesinde şekillenen sürdürülebilir kalkınma kavramı ile formüle edilmiştir (Anand ve Sen, 1994).

Temelde küresel ölçekte, toplumların kaynakları kullanması ve üretim-tüketim davranışlarının yol açtığı sorunlara ilişkin olan bu durum, bireysel ölçekte kendini 21. yüzyılda materyalist deneyimin en son

görünümünden birisi olarak kabul edilen “tüketim çılgınlığı” kavramı ile göstermektedir (Kasser, 2016: 490). Günümüzde bir ideoloji olarak da kabul edilebilecek tüketimcilik, yalnızca bedenin temel ihtiyaçlarını karşılamaktan daha fazlası haline gelmiştir. Tüketim terimi, basit maddi nesnelere değil, daha çok gösterge ve sembollerin tüketilmesi anlamını içermektedir. Tüketim her zamankinden daha fazla psikolojik ve zihinsel bir faaliyet haline gelmiştir (Bocock, 1997: 50-75). Mutluluğun ve kurtuluşun tek kaynağı olarak kabul edilmektedir. Ancak bu durum bireyin emekle, üretimle ve diğer nesnelere olan ilişkisini de değiştirmiştir. Günümüz insanı tüketimi her koşulda çalışma ve üretimin ikamesi olarak görmekte ve daha az emek ve üretimle daha çok mutluluk ve haz talebinde bulunmaktadır (Baudrillard, 2008. 93-94).

Tıpkı toplumlarda olduğu gibi bireylerin içinde bulunduğu bu dengesiz üretim-tüketim ilişkisi de sosyal, ekonomik, ekolojik, psikolojik vb. çok sayıda soruna neden olmaktadır. Gönüllü sade yaşam tarzı bu sorunlara yönelik geliştirilen davranış biçimlerinden birisidir. Günümüzde sosyal bir hareket olarak da görülen bu yaşam tarzı genel olarak, materyalist ve hazcı yüksek tüketime dayalı yaşam tarzlarına karşı; çeşitli şekillerde sade, daha düşük bir tüketim ile birlikte daha yüksek yaşam kalitesi arayışını ifade etmektedir (Alexander ve Ussher, 2012: 66). Böylece amaçlanan bireyin enerji ve arzularının düzenlenip, yönlendirilerek hayatın bazı alanlarında kısıtlamalara gidilerek diğer alanlarda daha fazla bolluk sağlamaktır (Shama ve Wisenblit, 1984: 231).

Bu araştırmada da günümüzde bireylerin tüketim alışkanlıklarına yön veren başlıca eğilimlerden birisi olan gönüllü sade yaşam tarzının faydacı ve hedonik tüketime etkisi tespit edilmeye çalışılmıştır. Araştırmanın ilk bölümünde kavramsal çerçeve açıklanmaya çalışılmıştır. İkinci bölümde, araştırmanın yöntemi, verilerin analizi ve elde edilen bulgulara ilişkin bilgilere yer verilmiştir. Araştırmanın son bölümünde ise araştırma sonuçları ortaya konulmuştur.

2. KAVRAMSAL ÇERÇEVE

Günümüz maddi varlıklara adanmış yaşam tarzları; küresel ısınma, ozon tabakasının tükenmesi, çölleşme, asit yağmuru gibi çevresel bozulmalara neden olmakta, canlıların yaşamı ve gelecek nesiller için tehdit oluşturmaktadır. Tüketim odaklı değerleri gönüllü, daha basit değerlere dönüştürmek insanın hayatta kalması için zorunluluk haline gelmiştir. Bireyler daha az tüketime yönelmeli ve gönüllü olarak daha sade yaşam tarzlarını benimsemelidir (Iwata, 1997:233).

Sadelik bireyin karakterine, iklime, geleneklere, kültüre bağlı olarak göreceli bir konudur. Gönüllü sadelik bireylerin hem iç dünyası hem de dış dünyası ile ilgilidir. Bu, yaşamın temel amacı ile ilgisi olmayan birçok mülkün dışsal karmaşasından kaçınmanın yanı sıra amaçların bütünlüğü, samimiyet ve dürüstlük anlamına gelmektedir (Gregg, 1936: 2). Gönüllü sadelik, düşük tüketim, ekolojik sorumluluk ve kendi kendine yeterlilik yaşam tarzını tanımlanmaktadır (Shama ve Wisenblit, 1984: 231). Gönüllü sadelik, tüketici mal ve hizmetlerine yapılan harcamaları sınırlamak ve materyalist olmayan memnuniyet ve anlam kaynaklarını geliştirmek için yoksulluk veya zorunluluk değil, bilinçli ve özgür bir irade ile bir tercihi ifade etmektedir (Etzioni, 1998).

Gönüllü sadeliğin özü dışa sade, içe zengin bir şekilde yaşamaktır. Gönüllü sadeliğin özünde beş temel değer bulunmaktadır. Bunlar, (1) hayatın maddi yönlerinin sadeleştirilmesi; (2) bireyin yaşamı ve tercihleri üzerinde öz kontrole sahip olması; (3) küçük ve karmaşık olmayan insani ölçekte çalışma ve yaşam ortamı (4) ekolojik duyarlılık ve (5) kişisel gelişimdir (Elgin ve Mitchell, 1977: 2-4). Gönüllü sadelik hem bir inanç sistemi hem de bir uygulamadır. İnanç sistemi olarak gönüllü sadelik kişisel memnuniyet, tatmin ve mutluluğun yaşamın maddi olmayan yönlerine bağlılıktan kaynaklandığı fikrine odaklanır. Bu inanç, maddi malların tüketimini en aza indirgeyerek, kendine güvenerek, kişinin aklını ve insan varlığının maddi olmayan diğer yönlerini geliştirerek uygulamaya konulur. Gönüllü sadelik, kişinin hayatındaki dağınıklığı azaltma, bazı zaman taahhütlerini ortadan kaldırma ve hayatın tadını çıkarmak için huzurlu kişisel alan yaratma uygulamasıdır. Her iki formda da tüketimin azaltılması önemli bir bileşendir (Zavestoski, 2002).

Gönüllü sade yaşam tarzı tüketim alışkanlıkları üzerinde etkisi bulunmaktadır. Bireylerin tüketim alışkanlıklarına yönelik faydacı ve hedonik olmak üzere iki ana eğilim bulunmaktadır. Faydacı tüketim, daha bilişsel ve işlevsel tutum, güdü ve değerlere dayanırken, hedonik tüketim ise daha çok duygusal tutum, güdü ve değerlere dayanmaktadır. Sonuç olarak bireylerin satın alma ve tüketim tercihlerinde bu iki eğilimin etkisi bulunmaktadır (Adomaviciute, 2013: 756; Yoh vd., 2016: 310).

Faydacı tüketimi benimsemiş bireyler için satın aldığı ve tükettiği ürünlerin ihtiyaçlarını karşılaması ve amaçlarına ulaşması önemlidir. Faydacı tüketim temelinde ürünlerin değeri sağladığı fayda ile eşdeğerdir

(Holbrook ve Hirschman, 1982). Dolayısıyla faydacı tüketim, bireylerin ihtiyaçlarını karşılayan, bireylerin amaçlarına ulaşmasında araçsal ve fonksiyonel fayda sağlayan ürünlere ilişkindir. Bu nedenle bireyler heyecan ve haz aldıkları için değil, gerçekten ihtiyaçlarını karşılamak ve fayda sağlamak için alışveriş yaparlar (Lu vd., 2016: 332). Sonuç olarak faydacı tüketim deneyimsel ve duygusal değil, bilişseldir (Chan, 2010: 6). Faydacı tüketici, daha rasyoneldir ve çoğu zaman bilinçli satın alma davranışlarını sergilemektedir (Babin vd., 1994: 646).

Faydacı tüketimin zıddı olarak hedonik tüketim ele alınmaktadır. Tüketim hedonist bireyler için saygınlık, iletişim ve statü göstergesi olarak görülmektedir. Yaşamın devamını sağlamak ve doğal ihtiyaçların rasyonel biçimde karşılanması için üretme yerini tüketime; tüketirken zevk, haz, gösteriş ve statü elde etme amacına bırakmıştır. Bu durum tüketim kültürünün egemen olduğunu göstermektedir. Tüketim toplumlarının genel özellikleri, bireyin kendi çıkarını önceliklendirmesi, mutluluğu tüketime, hazzı ve sahipliğe indirgemesi şeklinde özetlenmektedir. Bireyler tüketim toplumunda kendini ifade edebilmek, haz almak ve acıdan kaçınmak için hedonik tüketim davranışları sergilemektedir (Duman, 2014: 5-8).

Hedonizm hazzı ulaşma arzusu olarak ifade edilmekte ve hazzı ulaşmadan kaynaklanan psikolojik bir durumu yansıtmaktadır (Lim ve Cyr, 2009:2). Hedonik tüketimin temelinde tüketimden alınan zevk bulunmaktadır. Bu noktada tüketimin bilinçli veya bilinçsiz olması, bir ihtiyacı karşılayıp karşılamaması önemli değildir (Alba ve Williams, 2013: 4-5). Bireylerin hedonik tüketim sergilemesinde başka bir dünyaya ait olma hissi, farklı heyecanlar arama, arkadaşlar ve ailesi ile vakit geçirme, sosyalleşme, başkalarıyla bağ kurma, diğer bireylerden kabul görme, stresten kurtulma, sorunları unutma, olumsuz ruh halinden sıyrılma ve rahatlama, yeni trendlere ve moda uyum sağlama, başkalarını mutlu etme, hediye almadan haz duyma, indirim ve kampanyaları takip etme gibi çok çeşitli ve farklı neden etkili olmaktadır (Arnold ve Reynolds, 2003: 80-81).

Gönüllü sadelik materyalist, etik dışı ve çevreye karşı sorumsuz yaşama karşı üç aşamalı gelişen geniş bir tepkiyi kapsamaktadır. Birinci aşamada bireyler kişisel çıkarları nedeniyle maddi tüketimini azaltmaya çalışmaktadırlar. Bu aşamada sürdürülebilirlik ve başkalarının yararları dikkate alınmaz. İkinci aşamada, bireyler gereksiz isteklerini kontrol eder ve ürünleri faydacı amaçlar veya çevresel özellikler için bilinçli olarak seçer. Son aşamada ise aşırı tüketimi ve materyalist yaşam tarzını güçlü bir şekilde reddeden ve sürdürülebilir bir yaşam için mümkün olduğunca doğal yaşamaya çalışırlar (Kraisornsthasinee ve Swierczek, 2018: 3).

Bu doğrultuda aşağıdaki hipotezler oluşturulmuştur:

- H₁: Gönüllü sade yaşam tarzı faydacı tüketimi anlamlı ve pozitif yönde etkilemektedir.
H_{1a}: Gönüllü sade yaşam tarzının alt boyutları faydacı tüketimi anlamlı ve pozitif yönde etkilemektedir.
H₂: Gönüllü sade yaşam tarzı hedonik tüketimi anlamlı ve negatif yönde etkilemektedir.
H_{2a}: Gönüllü sade yaşam tarzının alt boyutları hedonik tüketimi anlamlı ve negatif yönde etkilemektedir.

3. YÖNTEM

Bu araştırmanın amacı, gönüllü yaşam tarzının faydacı ve hedonik tüketim davranışları üzerindeki etkisinin tespit edilmesidir. Araştırma ile ilgili etik kurul onayı alınmıştır. Araştırmada nicel araştırma yöntemi kullanılmıştır. Araştırma verileri anket formu aracılığıyla toplanmıştır. Anket formu katılımcıları tanımlayıcı bilgiler, gönüllü sade yaşam tarzı ölçeği, faydacı tüketim ve hedonik tüketim ölçeklerinde oluşmaktadır. Gönüllü Sade Yaşam Tarzı Ölçeği, Özgül, (2011) tarafından literatürdeki farklı çalışmalardan yararlanılarak geliştirilmiştir. Ölçek, "planlı alışveriş, kendine yeterlik, maddi olmayan yaşam ve üründe sadelik" alt boyutlarından ve 8 ifadede oluşmaktadır. Hedonik ve faydacı tüketim ölçekleri Açıklan ve Yaşar (2017) tarafından literatürdeki farklı çalışmalardan yararlanılarak geliştirilmiştir. Her iki ölçek tek boyutlu ve 9'ar ifadede oluşmaktadır. Araştırmanın evrenini Uşak il merkezinde yaşayan 18 yaş ve üzeri bireyler oluşturmaktadır. Araştırmada kolayda örneklem yöntemi kullanılmış ve gönüllü olarak 512 katılımcı araştırmaya katılmıştır. Anket formları üzerinde yapılan incelemede 6 anket formu analiz dışı bırakılmıştır. Araştırma verilerinin analizinde SPSS 22 ve AMOS programları kullanılmıştır.

4. BULGULAR

4.1. Katılımcıların Demografik Özellikleri

Araştırmanın katılımcılarına ilişkin tanımlayıcı istatistikler Tablo 1’ de özet halinde verilmiştir.

Tablo 1: Katılımcıların Tanımlayıcı İstatistikleri

Değişken	Frekans	%	Değişken	Frekans	%
Cinsiyet			Medeni Durum		
Kadın	244	48,2	Evli	288	56,9
Erkek	262	51,8	Bekâr	218	43,1
Yaş			Meslek		
18-29	190	37,5	Ev hanımı	64	12,6
30-39	144	28,5	Özel sektör çalışanı	169	33,4
40-49	124	24,5	Girişimci	102	20,2
50 ve üzeri	48	9,5	Kamu personeli	114	22,5
Eğitim			Emekli		
İlköğretim	112	22,1	Aylık geliri		
Lise	116	22,9	Geliri Yok	20	4,0
Önlisans	95	18,8	1-2999	263	52,0
Lisans	160	31,6	3000-4999	134	26,5
Lisansüstü	23	4,5	5000 ve üzeri	89	17,6
Toplam	506	100	Toplam	506	100

Araştırma katılımcılarının %48,2’si kadın %51,8’i erkektir. Katılımcılar medeni durum açısından incelendiğinde %56,9’u evli %43,1’i bekârdır. Katılımcıların %37,5’i 18-29 yaş aralığındadır. Katılımcıların %54,9’u bir yükseköğretim kurumundan mezun olmuştur. Araştırmaya katılanların %33,4’ü özel sektörde çalışmaktadır. Katılımcıların %52’ si asgari ücret düzeyinde aylık gelire sahiptir.

4.2. Faktör ve Güvenilirlik Analizleri

Ölçeklerin geçerliği doğrulayıcı faktör analizi (DFA) ile güvenilirlikleri ise Cronbach’s Alpha Katsayısı kullanılarak değerlendirilmiştir. Ölçeklere yönelik DFA’da elde edilen değerler Schermelleh-Engel ve diğerlerinin (2003) çalışmasında belirlenen sınırlar kullanılarak değerlendirilmiştir. Yapılan geçerlik ve güvenilirlik analizlerinin sonuçları Tablo 2’ de verilmiştir.

Tablo 2. Ölçeklerin DFA ve Güvenilirlik Analizi Sonuçları

Ölçek	χ^2	df	χ^2/df	GFI	NFI	CFI	RMSEA	SRMR	Cronbach’s Alpha
Gönüllü Sade Yaşam Tarzı	15,000	14	1,071	,993	,980	,999	,012	,0189	,698
Faydacı Tüketim	64,326	23	2,797	,972	,929	,952	,060	,0385	,740
Hedonik Tüketim	30,665	11	2,788	,983	,975	,984	,059	,0292	,848

Gönüllü sade yaşam tarzı ölçeği ile ilgili yapılan DFA sonucunda test değerleri χ^2 (15,000), df (14), χ^2/df (1,071) istatistiksel olarak anlamlı ve uyum indeks değerleri GFI (,993), NFI (,980), CFI (,999), RMSEA (,012) ve SRMR (,0189) kabul edilebilir sınırlar içinde olduğu görülmektedir. Gönüllü sade yaşam tarzı ölçeğinin 8 ifadeden oluşan dört boyutlu yapısının kullanılabilir olduğu tespit edilmiştir. Ölçeğin Cronbach’s Alpha katsayısı ise 0,698’dir.

Faydacı tüketim ölçeği ile ilgili yapılan DFA’da modifikasyon önerileri doğrultusunda e6-e7 hata terimleri arasında kovaryans atanmıştır. Analiz sonucunda test değerleri χ^2 (64,326), df (23), χ^2/df (2,797) istatistiksel olarak anlamlı ve uyum indeks değerleri GFI (.972), NFI (.929), CFI (.952), RMSEA (.060) ve SRMR (.0385) kabul edilebilir sınırlar içinde olduğu görülmektedir. Faydacı tüketim ölçeğinin 9 ifadeden tek boyutlu yapısının kullanılabilir olduğu tespit edilmiştir. Ölçeğin Cronbach’s Alpha katsayısı ise 0,740’dır.

Hedonik tüketim ölçeğine yönelik yapılan DFA sonucunda iki ifade (*Diğerlerine göre yüksek fiyat da olsa markalı ürünler almayı tercih ederim ve Çok beğendiğim bir mal için fazladan para ödemek beni rahatsız etmez.*) analizden çıkartılmıştır. Modifikasyon önerileri doğrultusunda e8-e9 hata terimleri arasında kovaryans atanmıştır. Yapılan doğrulayıcı faktör analizi sonucunda hedonik tüketim ölçeğinin test değerleri χ^2 (30,665), df (11), χ^2/df (2,788) istatistiksel olarak anlamlı ve uyum indeks değerleri GFI (.983), NFI (.975), CFI (.984), RMSEA (.059) ve SRMR (.0292) kabul edilebilir sınırlar içinde olduğu görülmektedir. Hedonik tüketim ölçeğinin 7 ifadeden oluşan tek boyutlu yapısının kullanılabilir olduğu tespit edilmiştir. Ölçeğin Cronbach’s Alpha katsayısı ise 0,848’dir.

4.3. Korelasyon Analizi

Gönüllü sade yaşam tarzı ve alt boyutları ile faydacı ve hedonik tüketim arasındaki ilişki korelasyon analizi ile incelenmiştir. Korelasyon analizinin sonucuna göre; Gönüllü sade yaşam tarzı ve alt boyutları ile faydacı tüketim arasında pozitif yönde anlamlı ilişkiler bulunurken hedonik tüketim ile negatif yönde anlamlı ilişkiler bulunmuştur. Gönüllü sade yaşam tarzının alt boyutlarından kendine yeterli ve maddi olmayan yaşam boyutu ile hedonik tüketim arasında anlamlı bir ilişki bulunmamaktadır (Tablo 3).

Tablo 3: Korelasyon Analizi

	Değişkenler	1	2	3	4	5	6	7
1	Planlı Alışveriş	1						
2	Kendine Yeterlik	,235**	1					
3	Maddi Olmayan Yaşam	,188**	,405**	1				
4	Üründe Sadelik	,288**	,201**	,169**	1			
5	GSYT	,669**	,658**	,658**	,652**	1		
6	Faydacı Tüketim	,391**	,215**	,227**	,195**	,394**	1	
7	Hedonik Tüketim	-,367**	-,052	-,055	-,167**	-,254**	-,152**	1

**p<0,01, *p<0,05

4.4. Regresyon Analizi

Gönüllü sade yaşam tarzı ve alt boyutlarının faydacı ve hedonik tüketim üzerine olan etkisini belirlemek için regresyon analizi yapılmıştır. Regresyon analizinde Enter metodu kullanılmıştır. Analiz sonuçları Tablo 4’te verilmiştir. Araştırmamanın hipotezleri basit doğrusal regresyon ve çoklu regresyon analizleri ile test edilmiştir. Çoklu regresyon analizlerinde VIF değeri 1,3’ün altında ve tolerans değeri 0,8’den daha yüksektir. Bu değerlerin kabul edilebilir olduğu ve mevcut örnekleme çoklu doğrusallık sorununun olmadığı tespit edilmiştir (Hair vd., 2014).

Tablo 4: Regresyon Analizleri

Bağımsız Değişkenler	Bağımlı Değişkenler	
	Faydacı Tüketim	Hedonik Tüketim
GSYT (β)	,423***	-,388***
Constant	1,973***	4,406***
Model F	92,540***	34,778***
R ²	,155**	,065***
Planlı Alışveriş (β)	,221***	-,338***
Kendine Yeterlilik (β)	,061	,051

Maddi Olmayan Yaşam (β)	,087**	,007
Üründe Sadelik (β)	,043	-,070
Constant	2,037***	3,785 ***
Model F	28,647***	20,527***
R ²	,186***	,141***

*** $p < 0,001$, ** $p < 0,01$, * $p < 0,05$

Gönüllü sade yaşam tarzının faydacı tüketim üzerinde pozitif yönde anlamlı bir etkisi olduğu tespit edilmiştir ($p < 0,001$, $\beta = ,423$). Bu sonuçlara göre H₁ hipotezi desteklenmiştir. Faydacı tüketim üzerinde gönüllü sade yaşam tarzının planlı alışveriş boyutunun ($p < 0,001$, $\beta = ,221$) ve maddi olmayan yaşam boyutunun ($p < 0,01$, $\beta = ,087$) pozitif yönde anlamlı bir etkisi bulunurken kendine yeterlilik boyutunun ($p > 0,05$, $\beta = ,087$) ve üründe sadelik boyutunun ($p > 0,05$, $\beta = ,043$) anlamlı bir etkisi bulunmamaktadır. Bu sonuca göre, H_{1a} hipotezi kısmen kabul edilmiştir.

Gönüllü sade yaşam tarzının hedonik tüketim üzerinde negatif yönde anlamlı bir etkisi olduğu tespit edilmiştir ($p < 0,001$, $\beta = -,388$). Bu sonuçlara göre H₂ hipotezi desteklenmiştir. Hedonik tüketim üzerinde gönüllü sade yaşam tarzının planlı alışveriş boyutunun ($p < 0,001$, $\beta = -,338$) negatif yönde anlamlı bir etkisi bulunurken kendine yeterlilik boyutunun ($p > 0,05$, $\beta = ,051$), maddi olmayan yaşam boyutunun ($p > 0,05$, $\beta = ,007$) ve üründe sadelik boyutunun ($p > 0,05$, $\beta = -,070$) anlamlı bir etkisi bulunmamaktadır. Bu sonuca göre, H_{2a} hipotezi kısmen kabul edilmiştir.

5. SONUÇ

Bu araştırmada gönüllü sade yaşam tarzının faydacı ve hedonik tüketim üzerindeki etkisinin tespit edilmesi amaçlanmıştır. Araştırmada gönüllü sade yaşam tarzının faydacı tüketim üzerinde istatistiksel olarak anlamlı ve pozitif yönde bir etkisinin olduğu sonucuna ulaşılmıştır. Gönüllü sade yaşam tarzının alt boyutlarından planlı alışveriş ve maddi olmayan yaşam boyutlarının faydacı tüketim üzerinde anlamlı ve pozitif yönlü bir etkisi olduğu tespit edilmiştir. Araştırma bulgularına göre gönüllü sade yaşam tarzı, hedonik tüketimi anlamlı ve negatif yönde etkilemektedir. Gönüllü sade yaşam tarzının alt boyutlarından planlı alışveriş boyutunun hedonik tüketim üzerinde anlamlı ve negatif yönlü bir etkisi olduğu tespit edilmiştir.

Gönüllü sade yaşam tarzı, materyalist değerlerin toplumu tüketim toplumuna dönüştürdüğünü, çevreye, doğaya zarar verdiğini ve gelecek nesiller için tehdit oluşturduğunu savunarak bireylerin bilinçli ve gönüllü olarak sadeleşmelerini, kendi kendilerine yeterli hale gelmelerini, mutluluğun iç huzur ile ulaşılabileceğini ve zenginliği kaynağının maddiyattan değil bireylerin entelektüel olarak gelişmelerinden kaynaklanacağını ifade etmektedir. Bu bağlamda araştırmanın bulguları da göstermektedir ki; gönüllü sade yaşam tarzını benimsemiş bireylerin hedonik tüketimden ziyade faydacı tüketime yöneldikleri tespit edilmiştir. Bu araştırmada gönüllü sade yaşam tarzını benimseyen bireylerin artmasıyla birlikte faydacı tüketime yönelimin artacağı ve hedonik tüketime yönelimin azalacağı sonucuna ulaşılmıştır. Bireylerin alışverişlerini planlamaları hedonik tüketimin azaltılmasında ve tüketimin fayda temelli yapılmasında en önemli faktör olarak karşımıza çıkmaktadır.

KAYNAKÇA

- Açıkalın, S., & Yaşar, M. (2017). Hedonik ve Faydacı Tüketim Bağlamında Tüketici Davranışlarının İncelenmesi: Gençlerin Hedonik Tüketim Eğilimlerini Belirlemeye Yönelik Bir araştırma. *The Journal of International Social Research* 10(48), s.570-585.
- Adomaviciute, K. (2013). Relationship Between Utilitarian and Hedonic Consumer Behavior. *Economics and Management*, 18(4), s.754-760.
- Alba, J. W. ve Williams, E. F. (2013). Pleasure Principles: A Review of Research on Hedonic Consumption, *Journal of Consumer Psychology*, 23(1), s.2-18.
- Alexander, S. ve Ussher, S. (2012). The Voluntary Simplicity Movement: A Multi-National Survey Analysis in Theoretical Context. *Journal of Consumer Culture*, 12(1), s.66-86.
- Anand, S., ve Sen, A. (1994). Sustainable Human Development: Concepts and Priorities. *UNDP Human Development Report Office 1994 Occasional Papers*. United Nations Development Programme.
- Arnold, M. J. ve Reynolds, K. E. (2003). Hedonic Shopping Motivations. *Journal of Retailing*, 79, s.77-95.
- Babin, B. J., Darden, W. R. ve Griffin, M. (1994). Work and/or Fun: Measuring Hedonic and Utilitarian Shopping Value. *Journal of Consumer Research*, 20, s.644-656.

- Baudrillard, J. (2008). *Tüketim Toplumu*. (H. Deliceçaylı, & F. Keskin, Çev.) İstanbul: Ayrıntı Yayınları.
- Bocock, R. (1997). *Tüketim*. (İ. Kutluk, Çev.) Ankara: Dost Kitabevi
- Chan, E. Y. (2010). *Finding the Apple of My Eye: Categorization and Satisfaction from Hedonic Consumption*, <http://dx.doi.org/10.2139/ssrn.1570323>, (Erişim Tarihi: 27.03.2020).
- Duman, M. Z. (2014). *Tüketim Toplumu: Eleştirel Bir Bakış*. Ankara: Kadim Yayınları.
- Elgin, D., & Mitchell, A. (1977). Voluntary Simplicity. *The Co-Evolution Quarterly, Summer*, s.1-30.
- Etzioni, A. (1998). Voluntary Simplicity: Characterization, Select Psychological Implications, and Societal Consequences. *Journal of Economic Psychology* 19, s.619-643.
- Gregg, R. B. (1936). *The Value of Voluntary Simplicity*. Pennsylvania: Pendle Hill.
- Holbrook, M. B. ve Hirschman, E. C. (1982). The Experiential Aspects of Consumption: Consumer Fantasies, Feeling , and Fun. *Journal of Consumer Research*, 9(2), s.132-140.
- Iwata, O. (1997). Attitudinal and Behavioral Correlates of Voluntary Simplicity Lifestyle. *Social Behavior and Personality* 25(3), s.233-240.
- Kasser, T. (2016). Materialistic Values and Goals. *Annual Review of Psychology*, 67, 489-514.
- Kraisornsuthasinee, S., & Swierczek, F. W. (2018). Beyond Consumption: The Promising Contribution of Voluntary Simplicity. *Social Responsibility Journal* 14(1), s.80-95.
- Lim, E. T. ve Cyr, D. (2009). *Modeling Hedonic Consumption Behaviors in Online Shopping*. (Ed.: SIGHCI 2009 Proceedings.4), <http://aisel.aisnet.org/sighci2009/4>, (Erişim Tarihi: 24.03.2020).
- Lu, J., Liu, Z. ve Fang, Z. (2016). Hedonic Products for You, Utilitarian Products for Me. *Judgment and Decision Making*, 11(4), s.332-341.
- Meadows, D. H., Meadows, D. L., Randers, J., & Behrens III, W. W. (1972). *Limits To Growth*. New York: Universe Books.
- Özgül, E. (2011). Tüketicilerin Sosyo-Demografik Özelliklerinin Hedonik Tüketim ve Gönüllü Sade Yaşam Tarzları Açısından Değerlendirilmesi. *Ege Akademik Bakış* 11(1), s.25-38.
- Schermelleh-Engel, K., Moosbrugger, H., & Müller, H. (2003 8(2)). Evaluating the Fit of Structural Equation Models: Tests of Significance and Descriptive Goodness-of-Fit Measures. *Methods of Psychological Research Online*, 23-74.
- Shama, A., & Wisenblit, J. (1984). Values of Voluntary Simplicity: Lifestyle and Motivation. *Psychological Reports*, 55, s.231-240.
- Yoh, T., Chen, H. ve Jang, I. (2016). Utilitarian and Hedonic Consumption Values on American College Students' Athletic Footwear Purchase Intention. *International Journal of Academic Research in Business and Social Sciences*, 6(12), s.307-320.
- Zavestoski, S. (2002). The Social–Psychological Bases of Anticonsumption Attitudes. *Psychology & Marketing* 19(2), s.149-165.

Tüketici Güven Endeksi İle Döviz Kuru Arasındaki İlişki

Dr. Kemal Aka¹

¹Marmara Üniversitesi / Bankacılık ve Sigortacılık Yüksekokulu, Sermaye Piyasası Bölümü,
kemal.aka@marmara.edu.tr ORCID: 0000-0001-6290-1451

Özet: Finansal serbestleşmeyle birlikte döviz kuru ülkeler için her türlü uluslararası işlemlerde kullanılan uluslararası bir ödeme aracı haline gelmiştir. Dövizin uluslararası bir ödeme aracı haline dönüşmesiyle birlikte döviz kurunda yaşanan dalgalanmalar, özellikle az gelişmiş ve gelişmekte olan ülkeler üzere birçok ülkeyi etkilemektedir. Finansal hareketlerin geleceğine dair beklentilerinin ortaya çıkardığı etkiyi ölçmek için kullanılan güven endeksleri ise bir ülkenin ekonomisinin en önemli göstergelerinden biri olarak kabul edilmektedir. Türkiye’de Tüketici Güven Endeksi verileri bu anlamda izlenebilecek önemli göstergelerdendir. Bu çalışmada tüketici güven endeksi ile döviz kuru arasındaki ilişki aylık veriler ile karşılaştırılarak incelenmiştir. Son 10 yıllık veriler incelendiğinde döviz kurundaki değişimlerin ardından tüketici güven endekslerinde de bir değişim olduğu görülmektedir.

Anahtar Kelimeler: Tüketici Güven Endeksi, Döviz Kuru, Türkiye Ekonomisi

1. GİRİŞ

Ülkelerin finansal durumunun gelecekte ne durumda olacağına dair beklentiler iktisatçılar tarafından her zaman merak edilen konuların başında gelmektedir. Makro iktisatta ülkelerin finansal durumunun geleceğine yönelik beklentilerini ölçen çeşitli endeksler bulunmaktadır. Söz konusu güven endeksleri ülkeler için önemli bir gösterge niteliğinde olmaktadır. Bu endeksler içerisinde yer alan tüketici güven endeksi, tüketicilerin ekonomiye olan güvenini yansıtmaktadır. Bu sebeple Tüketici Güven Endeksi ile ilgili olarak yapılan çalışmalar ekonomi yöneticileri ve finansçılar tarafından yakından takip edilmektedir. Gelişmekte olan ve gelişmiş ülke ekonomilerinde bu endeks ve diğer makroekonomik göstergeler takip edilerek ekonomiye müdahale edilmektedir. Dolayısıyla tüketici güven endeksi, ülkemizde hem üretici hem tüketici hem de ekonomi yönetimi tarafından takip edilen en önemli göstergelerden biridir.

Tüketici güveni ve tüketicinin duyarlılığı yalnızca ekonomik bir kavram değil, aynı zamanda istatistiksel bir veridir. Bu istatistikler, tüketicilerin ülke ekonomisi ve kendi kişisel ekonomisi ile ilgili olarak cari dönemde ve gelecekte beklediği ekonomik koşullara dayanan ankete verdikleri cevaplar neticesinde oluşmaktadır. Tüketicinin tutumu kişisel gelir, servet ve reel faiz oranlarındaki cari dönemdeki durumu ve gelecekte beklediği dalgalanmalara göre şekil almaktadır(Fuhrer, 1993: 32-33).

Uluslararası piyasaların 1980’li yıllardan sonra tekrar birbirine entegre olmaya başlamasıyla birlikte piyasalar, finansal ve ekonomik küreselleşmenin birer parçasını oluşturmaktadırlar. Bu kapsamda finansal serbestleşmeyle birlikte ABD Doları, uluslararası ticarete kullanılan en önemli ödeme aracı haline gelmiştir. ABD dolarının uluslararası ticarete kullanılan önemli bir araç olması, özellikle az gelişmiş ve gelişmekte olan ülke ekonomilerinde döviz kurlarında yaşanacak dalgalanmalarda önemli ekonomik etki ortaya çıkarmaktadır. Bu etki başta finans ve endüstri sektöründe olmak üzere, GSYH büyüme, enflasyon oranları, işsizlik oranları ve tüketici güven endeksleri v.b birçok makroekonomik göstergeyi etkilemektedir. Bu çalışmada tüketici güven endeksi ile ülkemizde en fazla kullanımı olan döviz kurlarından ABD Doları ve Euro arasında ilişki incelenmiştir.

2. TÜKETİCİ GÜVEN ENDEKSİ

Tüketicilerin ekonomiye güveni, ekonomi alanının daha çok psikolojik disiplini tarafından incelenmektedir. Bunun adına psikolojik ekonomi disiplini dersek, bu kavram bize tüketicilerin tüketim davranışlarının, satın alma gücü ve satın alma yönündeki isteğine bağlı olduğunu belirtmektedir(Katona, 1968). Satın alma gücü objektif değerlere bağlıyken, satın alma yönündeki istek ise subjektif değerlere bağlı olmaktadır(Roos, 2008). Tüketicilerin gelir seviyesi, tüketicilerin tüketim davranışları konusunda meydana gelen değişimleri açıklamada tek başına ölçüt olmamaktadır. Tüketici güven endeksi kavramı, tüketicilerin gerek satın alma gücü konusunda gerekse de satın alma konusundaki istek noktasında ölçümünü gösteren bir göstergedir. Bu gösterge tüketici davranışlarına yönelik veri sağladığı için ekonomi yöneticileri tarafından büyük önem arz etmektedir.

İktisatçılar, tüketici güven konusunun finansal krizlerin meydana gelmesinde en önemli etkenlerden biri olduğunu ifade etmektedirler. Bundan dolayı iktisadi birimlerin ekonomiye olan güven seviyesi, ekonomi ve finans literatüründe yer alan önemli konuların başında gelmektedir. Fukuyama, iktisadi birimlerin ekonomiye olan güvenini sosyal bir sermaye olarak değerlendirmiş ve güven seviyesindeki değişiklerin (artış/azalış), makroekonomik göstergeleri olumlu/olumsuz olarak etkilediğini ortaya koymuştur. Bu bağlamda tüketici güven seviyesinde meydana gelecek artış/azalış, yatırım ve talep düzeyini artırırken/azaltırken, işsizlik düzeyinin de azalmasına/artmasına sebep olmaktadır (Fukuyama, 1998).

Tüketicilerin sahip oldukları hisler, tüketim harcamaları reel getiri seviyesi ve ekonomik faaliyetlerin seviyesi konusunda önemli bir rol oynamaktadır. Dolayısıyla tüketicilerin sahip oldukları hisler piyasa üzerinde etki yaratabilmektedir. Örneğin, yatırımcılar ekonominin kötüye gittiği konusunda kaygı duygusuna sahip oldukları zaman, hisse senedi piyasasının da olumsuz yönde etkileneceği ve para kaybedecekleri yönünde korku duymaktadırlar. Dolayısıyla bu kaygıyla hareket ederek ellerindeki hisse senetlerini satacaklar ve bunun sonucunda da piyasa düşme yönüne gidebilmektedir (Chen, 2011).

Tüketici güven endeksleri dikkate alınması gereken bir ölçüm olmakla birlikte çok da güvenilmemesi gereken bir endekstir. Çünkü bazı durumlarda tüketici hissiyatları ile tüketicilerin gerçekleştirdikleri harcamalar arasında beklenenin aksine zıt bir ilişki meydana gelebilmektedir. 2002 yılında A.B.D.'de Deloitte firmasının yaptığı araştırma sonucuna göre, 11 Eylül 2001 tarihinde meydana gelen saldırı sonrasında tüketici hislerinde negatif bir etki oluşmasına rağmen izleyen çeyrekte tüketici harcamalarının aşırı derecede arttığı görülmüştür (Sergeant, 2011).

Tüketici Güven Endeksi aşağıdaki alt endekslerden hesaplanmaktadır:

- Gelecek 12 aylık dönemde hanenin maddi durum beklentisi
- Gelecek 12 aylık dönemde genel ekonomik durum beklentisi
- Gelecek 12 aylık dönemde işsiz sayısı beklentisi
- Gelecek 12 aylık dönemde tasarruf etme ihtimali

Aylık Tüketici Eğilim Anketi ile tüketicilerin kişisel mali durumları ve genel ekonomiye ilişkin mevcut durum değerlendirmeleri ve gelecek dönem beklentileri ile yakın gelecekteki harcama ve tasarruf eğilimlerinin ölçülmesi amaçlanmaktadır. Meslek sınıflamasında ise Uluslararası Standart Meslek Sınıflaması (ISCO-08) kullanılmaktadır

Tablo 4: Mevsim etkilerinden arındırılmış tüketici güven endeksi

	Ocak	Şubat	Mart	Nisan	Mayıs	Haziran	Temmuz	Ağustos	Eylül	Ekim	Kasım	Aralık
2004	98.2	98.7	97.8	97.8	94.0	93.4	92.2	88.0	89.6	90.5	89.5	91.9
2005	92.2	92.0	88.8	87.1	87.1	85.8	86.0	84.2	82.3	84.8	86.3	86.2
2006	88.5	87.9	88.5	89.0	86.8	78.9	75.4	78.2	78.1	78.3	80.1	78.8
2007	78.6	79.5	79.2	80.4	81.7	80.9	82.3	85.0	83.9	83.0	79.3	80.7
2008	78.9	74.4	68.7	63.0	62.1	61.8	63.8	66.6	67.5	61.0	55.7	56.7
2009	58.3	60.8	61.6	67.5	70.1	72.0	69.1	68.1	68.7	67.2	65.2	65.6
2010	66.0	68.6	71.5	72.6	73.4	74.8	74.3	74.1	77.2	75.8	78.1	77.8
2011	78.1	80.3	80.2	80.2	79.6	83.2	81.6	78.5	80.5	76.5	77.8	78.8
2012	78.6	79.5	79.2	75.3	77.8	76.7	76.7	74.4	72.8	69.7	73.0	74.0
2013	75.4	76.6	74.8	75.2	77.2	76.1	78.1	77.2	72.8	75.8	77.8	75.4
2014	72.0	69.2	72.7	78.1	75.7	73.6	73.6	73.2	74.6	70.6	69.0	68.2

2015	67.3	68.0	64.4	64.9	64.0	66.3	64.3	62.3	59.1	63.1	77.5	74.0
2016	71.3	66.6	67.0	68.0	68.5	69.3	66.7	74.4	74.9	74.3	69.3	63.9
2017	66.6	65.7	67.8	70.8	72.5	69.9	70.9	71.0	69.3	67.6	65.6	65.6
2018	72.0	72.2	71.3	71.4	69.5	70.1	72.7	68.2	59.9	57.6	60.0	58.7
2019	58.2	57.8	59.4	63.5	55.3	57.6	56.5	58.3	55.8	57.0	59.9	58.8
2020	58.8	57.3	58.2	54.9	59.5	62.6	60.9					

Kaynak: TCMB

Tablo 5: Tüketici Güven Endeksi (Arındırılmamış)

	Ocak	Şubat	Mart	Nisan	Mayıs	Haziran	Temmuz	Ağustos	Eylül	Ekim	Kasım	Aralık
2004	98.2	98.7	97.8	97.8	94.0	93.4	92.2	88.0	89.6	90.5	89.5	91.9
2005	92.2	92.0	88.8	87.1	87.1	85.8	86.0	84.2	82.3	84.8	86.3	86.2
2006	88.5	87.9	88.5	89.0	86.8	78.9	75.4	78.2	78.1	78.3	80.1	78.8
2007	78.6	79.5	79.2	80.4	81.7	80.9	82.3	85.0	83.9	83.0	79.3	80.7
2008	78.9	74.4	68.7	63.0	62.1	61.8	63.8	66.6	67.5	61.0	55.7	56.7
2009	58.3	60.8	61.6	67.5	70.1	72.0	69.1	68.1	68.7	67.2	65.2	65.6
2010	66.0	68.6	71.5	72.6	73.4	74.8	74.3	74.1	77.2	75.8	78.1	77.8
2011	78.1	80.3	80.2	80.2	79.6	83.2	81.6	78.5	80.5	76.5	77.8	78.8
2012	79.0	79.6	79.3	75.7	78.1	76.8	77.0	74.3	72.1	69.3	72.6	73.6
2013	75.8	76.7	74.9	75.6	77.5	76.2	78.5	77.2	72.1	75.5	77.5	75.0
2014	72.4	69.2	72.7	78.5	76.0	73.7	73.9	73.2	74.0	70.3	68.7	67.7
2015	67.7	68.1	64.4	65.4	64.3	66.4	64.7	62.4	58.5	62.8	77.1	73.6
2016	71.6	66.6	67.0	68.5	68.8	69.4	67.0	74.4	74.3	74.0	68.9	63.4
2017	66.9	65.7	67.8	71.3	72.8	70.0	71.3	71.1	68.7	67.3	65.2	65.1
2018	72.3	72.3	71.3	71.9	69.9	70.3	73.1	68.3	59.3	57.3	59.6	58.2
2019	58.5	57.9	59.5	64.5	55.5	57.7	56.7	58.5	55.1	56.6	59.4	58.2
2020	58.9	57.4	58.2	55.5	59.7	62.8	61.0					

Kaynak: TCMB

3. DÖVİZ KURU

İki ülkenin birbirleriyle gerçekleştirdiği ticarete kullandığı ödeme aracına döviz, birbirlerinin para birimlerinin değişim oranına ise döviz kuru denir. Döviz kuru ülkelerin mal ve hizmet alımında kullanılırken, ülkelerin birbirleriyle kolayca fon transferi yapmasında ve ülkelerin sundukları mal ve hizmetlerin fiyatlarını karşılaştırmak için fayda sağlamaktadır (Abdoh vd., 2016).

Döviz kuru, ülkelerin ekonomilerine direkt etki eden makroekonomik göstergelerden biridir. Bir ülkede döviz kuru istikrarsız seyrediyor ya da sürekli azalıp sürekli artıyorsa, o ülkede ticaret yapanlar bu durumdan olumsuz etkilenmektedir.

Döviz kurunun değeri, ekonomik birimlerin yani hanehalkı ve kurumların uluslararası ödeme yapmak ve tasarruf amacıyla döviz alım-satım yapmasıyla, başka bir ifadeyle dövize olan talebe bağlı olarak değişmektedir. Döviz kurunun istenilen değeri uluslararası piyasada rekabet edilebilir düzeyde olmasıdır.

Döviz kuru ülke ekonomilerinin en önemli makroekonomik ve finansal göstergeleri üzerinde etkisi bulunmaktadır. Ülkemizde döviz kurundaki değişikliklerin özellikle faiz oranı, enflasyon oranı, cari işlemler dengesi, işsizlik oranı ve tüketici güven endeksi gibi göstergeler üzerine etkisi sürekli toplum ve ekonomistler tarafından konuşulmaktadır. Dolayısıyla diyebiliriz ki, döviz kurunda yaşanan dalgalanmalar toplumun mutluluğunu da etkilemektedir.

Döviz kurunda dalgalanma, döviz kurunda tahmin edilemeyen bir şekilde meydana gelen hareketlerle ilişkili risk olarak ifade edilmektedir. Döviz kurunda yaşanan dalgalanma, ülkelerin dış ticareti üzerine önemli bir etkisi bulunmaktadır(Arize vd., 2000).. Döviz kurunun artması, ülkenin ithalatını azaltıcı, ihracatını ise artırıcı etki bırakırken, döviz kurunun azalması ise ülkenin ithalatını artırıcı, ihracatını ise azaltıcı etki bırakmaktadır. Dolayısıyla döviz kurunun artması dış ticaret ve cari işlemler dengesi üzerine olumlu etki bırakırken, döviz kurunun azalması tam tersi bir etki bırakması beklenmektedir. Aslında tüm bu etkilerin temelini ise tüketici davranışları oluşturmaktadır. Döviz kurunda yaşanan azalma ile tüketiciler daha çok tüketim yapma yoluna giderek hem ülke içi hem de uluslararası piyasada mal ve hizmet alımı yaparak piyasaya etki etmektedir. Dolayısıyla şöyle diyebiliriz, döviz kurunda yaşanan değişimlerin faiz oranı, enflasyon oranı, dış ticaret dengesi ve cari işlemler dengesi gibi makroekonomik göstergeler üzerine etkisi tüketicilerin davranışlarıyla yakından ilgilidir.

Döviz kurunun ani yükselmesi ya da azalması tüketici davranışları ve dolayısıyla ekonominin geneli üzerinde belirsizlik ve endişeye neden olmaktadır. Döviz kurunun ani yükselmesi, üreticilerin kullandığı ithal ara mal fiyatının artmasına ve ürettikleri ürünlerin daha maliyetli olmasına sebep olmaktadır. Bu durum özellikle yerli üreticilerin uluslararası rekabette diğer emsal üreticiler ile rekabetini ortadan kaldırmaktadır. Bununla birlikte döviz kurunun artması yerli üreticinin ürettiği mal ve hizmetin yurtdışında yaşayanlara göre daha ucuz hale gelmesine sebep olacaktır. Bu durumda da dışarıdan yerli mala talep artacağından dolayı ihracat değeri artacaktır. Yerli nüfus içinde yurtdışındaki mal ve hizmetlerin döviz kuru artışından dolayı fiyatlarının artmasıyla da ithalat azalacaktır. Dolayısıyla döviz kurunun artmasının dış ticaret ve cari işlemler üzerine olumlu etkisi olacaktır.

Aşağıdaki tablo 3 ve tablo 4 ülkemizde genelde tercih edilen dövizlerden ABD Doları Ve Euro'nun 2010 yılından günümüze aylık kur değerlerini göstermektedir.

Tablo 6: 2010-2020 Aylık USD Değerleri

Tarih	Ocak	Şubat	Mart	Nisan	Mayıs	Haziran	Temmuz	Ağustos	Eylül	Ekim	Kasım	Aralık
2010	1.47	1.51	1.54	1.50	1.54	1.58	1.54	1.51	1.50	1.43	1.44	1.52
2011	1.56	1.59	1.58	1.52	1.57	1.60	1.65	1.75	1.80	1.84	1.81	1.87
2012	1.85	1.76	1.79	1.79	1.81	1.82	1.81	1.79	1.80	1.80	1.79	1.79
2013	1.77	1.78	1.81	1.80	1.83	1.90	1.93	1.96	2.02	1.99	2.03	2.06
2014	2.22	2.22	2.22	2.13	2.09	2.12	2.12	2.16	2.21	2.26	2.24	2.29
2015	2.33	2.46	2.59	2.65	2.65	2.71	2.70	2.85	3.01	2.93	2.88	2.92
2016	3.01	2.95	2.90	2.84	2.93	2.92	2.96	2.97	2.97	3.07	3.27	3.50
2017	3.74	3.68	3.67	3.66	3.57	3.53	3.57	3.52	3.47	3.67	3.89	3.85
2018	3.78	3.78	3.89	4.06	4.42	4.64	4.76	5.74	6.38	5.87	5.38	5.32
2019	5.38	5.27	5.45	5.75	6.06	5.82	5.68	5.63	5.72	5.79	5.74	5.85
2020	5.93	6.06	6.33	6.83	6.96	6.82	6.86	7.21				

Kaynak: TCMB

Tablo 7: 2010-2020 Aylık Euro Değerleri

Tarih	Ocak	Şubat	Mart	Nisan	Mayıs	Haziran	Temmuz	Ağustos	Eylül	Ekim	Kasım	Aralık
2010	2.11	2.07	2.09	2.01	1.95	1.93	1.97	1.95	1.95	1.98	1.97	2.01
2011	2.08	2.17	2.21	2.20	2.26	2.30	2.36	2.51	2.48	2.51	2.46	2.46
2012	2.38	2.33	2.36	2.35	2.32	2.29	2.23	2.22	2.32	2.34	2.30	2.34
2013	2.35	2.38	2.35	2.34	2.37	2.50	2.53	2.61	2.70	2.72	2.73	2.82
2014	3.03	3.02	3.07	2.94	2.88	2.88	2.88	2.88	2.86	2.87	2.79	2.83
2015	2.72	2.79	2.81	2.86	2.96	3.03	2.98	3.17	3.38	3.30	3.09	3.18
2016	3.27	3.27	3.21	3.22	3.32	3.28	3.28	3.33	3.32	3.39	3.54	3.69
2017	3.97	3.92	3.92	3.92	3.94	3.96	4.10	4.15	4.15	4.32	4.56	4.56
2018	4.60	4.68	4.79	4.99	5.23	5.42	5.56	6.62	7.44	6.75	6.12	6.05
2019	6.14	5.99	6.17	6.46	6.78	6.57	6.38	6.27	6.30	6.40	6.35	6.49
2020	6.59	6.61	7.00	7.43	7.57	7.68	7.84	8.51				

Kaynak: TCMB

Türkiye ekonomisinde 2013 yılından itibaren gerek ülkemizde yaşanan gelişmeler gerekse de çevre ülkelerimizde yaşanan jeopolitik risklerin ülkemizin ekonomisine de olumsuz etki yarattığı ve döviz kurunu olumsuz etkilediği söylenebilmektedir. Bununla birlikte 2016 yılında ABD’de yaşanan başkanlık seçimi sonucu başkan seçilen Trump’un Türkiye’ye karşı söylemleri ve yaptırımları neticesinde döviz kurlarında aşırı dalgalanmaların olduğu görülmektedir. Özellikle de 2018 yılı Ağustos ayında yaşanan döviz kuru artışı ile ABD Doları Türk Lirası karşısında tarihin en yüksek değerine ulaşmıştır.

4. TÜKETİCİ GÜVEN ENDEKSİ İLE DÖVİZ KURU ARASINDAKİ İLİŞKİ

Son 10 yıllık döviz kuru ve tüketici güven endeksi verileri incelendiğinde döviz kurlarında artış veya azalış olduğunda tüketicilerin güvenlerinde de azalış ve artışların ortaya çıktığı görülmektedir. Örnek vermek gerekirse, 2015 yılı Ocak ayında USD ve Euro’da ki artışların bir sonraki ayın tüketici güven endekslerini azalttığı ve bunun neredeyse Eylül ayına kadar devam ettiği görülmektedir. Ekim ayından sonra döviz kurlarının sabit kalması ile birlikte tüketici güven endeksinin de artmaya başladığı görülmektedir.

Diğer taraftan 2016- Temmuz ve Eylül aylarının verileri incelendiğinde döviz kurlarının sabit devam ettiği bu durumda bir sonraki ayların güven endekslerine pozitif olarak yansdığı görülmektedir.

Tablo 8: Mevsim etkilerinden arındırılmış tüketici güven endeksi

	Ocak	Şubat	Mart	Nisan	Mayıs	Haziran	Temmuz	Ağustos	Eylül	Ekim	Kasım	Aralık
2010 USD	1.47	1.51	1.54	1.50	1.54	1.58	1.54	1.51	1.50	1.43	1.44	1.52
2010 EUR	2.11	2.07	2.09	2.01	1.95	1.93	1.97	1.95	1.95	1.98	1.97	2.01
2010 TGE	66.0	68.6	71.5	72.6	73.4	74.8	74.3	74.1	77.2	75.8	78.1	77.8
2011 USD	1.56	1.59	1.58	1.52	1.57	1.60	1.65	1.75	1.80	1.84	1.81	1.87
2011 EUR	2.08	2.17	2.21	2.20	2.26	2.30	2.36	2.51	2.48	2.51	2.46	2.46
2011 TGE	78.1	80.3	80.2	80.2	79.6	83.2	81.6	78.5	80.5	76.5	77.8	78.8
2012 USD	1.85	1.76	1.79	1.79	1.81	1.82	1.81	1.79	1.80	1.80	1.79	1.79
2012 EUR	2.38	2.33	2.36	2.35	2.32	2.29	2.23	2.22	2.32	2.34	2.30	2.34
2012 TGE	78.6	79.5	79.2	75.3	77.8	76.7	76.7	74.4	72.8	69.7	73.0	74.0
2013 USD	1.77	1.78	1.81	1.80	1.83	1.90	1.93	1.96	2.02	1.99	2.03	2.06
2013 EUR	2.35	2.38	2.35	2.34	2.37	2.50	2.53	2.61	2.70	2.72	2.73	2.82
2013 TGE	75.4	76.6	74.8	75.2	77.2	76.1	78.1	77.2	72.8	75.8	77.8	75.4
2014 USD	2.22	2.22	2.22	2.13	2.09	2.12	2.12	2.16	2.21	2.26	2.24	2.29
2014 EUR	3.03	3.02	3.07	2.94	2.88	2.88	2.88	2.88	2.86	2.87	2.79	2.83
2014 TGE	72.0	69.2	72.7	78.1	75.7	73.6	73.6	73.2	74.6	70.6	69.0	68.2
2015 USD	2.33	2.46	2.59	2.65	2.65	2.71	2.70	2.85	3.01	2.93	2.88	2.92
2015 EUR	2.72	2.79	2.81	2.86	2.96	3.03	2.98	3.17	3.38	3.30	3.09	3.18
2015 TGE	67.3	68.0	64.4	64.9	64.0	66.3	64.3	62.3	59.1	63.1	77.5	74.0
2016 USD	3.01	2.95	2.90	2.84	2.93	2.92	2.96	2.97	2.97	3.07	3.27	3.50
2016 EUR	3.27	3.27	3.21	3.22	3.32	3.28	3.28	3.33	3.32	3.39	3.54	3.69
2016 TGE	71.3	66.6	67.0	68.0	68.5	69.3	66.7	74.4	74.9	74.3	69.3	63.9
2017 USD	3.74	3.68	3.67	3.66	3.57	3.53	3.57	3.52	3.47	3.67	3.89	3.85
2017 EUR	3.97	3.92	3.92	3.92	3.94	3.96	4.10	4.15	4.15	4.32	4.56	4.56
2017 TGE	66.6	65.7	67.8	70.8	72.5	69.9	70.9	71.0	69.3	67.6	65.6	65.6
2018 USD	3.78	3.78	3.89	4.06	4.42	4.64	4.76	5.74	6.38	5.87	5.38	5.32
2018 EUR	4.60	4.68	4.79	4.99	5.23	5.42	5.56	6.62	7.44	6.75	6.12	6.05
2018 TGE	72.0	72.2	71.3	71.4	69.5	70.1	72.7	68.2	59.9	57.6	60.0	58.7
2019 USD	5.38	5.27	5.45	5.75	6.06	5.82	5.68	5.63	5.72	5.79	5.74	5.85
2019 EUR	6.14	5.99	6.17	6.46	6.78	6.57	6.38	6.27	6.30	6.40	6.35	6.49
2019 TGE	58.2	57.8	59.4	63.5	55.3	57.6	56.5	58.3	55.8	57.0	59.9	58.8
2020 USD	5.93	6.06	6.33	6.83	6.96	6.82	6.86	7.21				
2020 EUR	6.59	6.61	7.00	7.43	7.57	7.68	7.84	8.51				
2020 TGE	58.8	57.3	58.2	54.9	59.5	62.6	60.9					

Kaynak: TCMB

5. SONUÇ

Bu çalışmada tüketici güven endeksi ile ülkemizde en çok tercih edilen USD Doları ve Euro döviz kurları arasında rakamlarla karşılaştırmaları yapılmıştır. Tüketici güven endeksi ile döviz kurları arasında rakamlar incelendiğinde aralarında bir ilişki olduğunu söylemek yanlış olmayacaktır. Bu kapsamda tüketici güven endeksi ile döviz kurları arasındaki ilişkiyi ekonometrik analiz uygulayarak incelemek daha net sonuçlar verecektir.

Kaynakça

- Abdoh, Wan Mohd Yaseer Mohd, Yusuf, Noor Hafizha Muhamad, Zulkifli, Shaliza Azreen Mohd, BULOT, Norhisam ve IBRAHİM, Nor Jamilah. (2016). Macroeconomic Factors That Influence Exchange Rate Fluctuation in ASEAN Countries. *International Academic Research Journal of Social Science*, 2(1): 89-94.
- Arize, Augustine C., Osang, Thomas ve Slottje, J. Slottje. (2000). Exchange Rate Volatility and Foreign Trade: Evidence from thirteen LDCs,” *Journal of Business and Economics Statistics*, 18(1): 10-17.
- Chen, S. S., (2011). “Lack of consumer confidence and stock returns”, *Journal of Empirical Finance*, Vol:18, No:2, 225-236.
- Fukuyama, F., (1998). Güven-sosyal erdemler ve refahın yaratılması, Çev: Ahmet Buğdaycı, Türkiye İş Bankası Kültür Yayınları, Ankara.
- Fuhrer, J., (1993). “What role does consumer sentiment play in the U.S. macroeconomy?”, *Federal Reserve Bank of Boston New England Review*, Vol: January/February, 32-44.
- Katona, G., (1968). “Consumer behavior: Theory and findings on expectations and aspirations”, *The American Economic Review*, Vol:58, No:2, 19-30.
- Roos, M., (2008). “Willingness to consume and ability to consume”, *Journal of Economic Behavior and Organization*, Vol:66, No:2, 387-402.
- Sergeant, K., (2011). “Consumer confidence and economic growth: A case study of Trinidad and Tobago”, 4th Biennial International Conference on Business, Banking and Finance, Trinidad

Post-Modernizm, Etik ve Adorno

Doç. Dr. Mustafa Hatipler¹

Bilim Uzmanı Gülden İrem KAZEL²

¹Trakya Üniversitesi /Edirne Sosyal Bilimler MYO, mustafahatipler@gmail.com, ORCID: 0000-0002-2090-3042

²Trakya Üniversitesi /SBE, Doktora Öğrencisi, girem82@gmail.com, ORCID: 0000-0001-5734-3598

Özet: İnsanlık, çağ değişimlerinin yüzyıllık aralardan sonra gerçekleştiği dönemlerden çağ değişimlerinin birkaç yılda bir yaşandığı bir döneme doğru ilerlemektedir. Bu değişimlerin en son olanı, küreselleşme aygıtıyla birlikte yaşanan post-modernizmdir. Post-modernizm, modernizm sonrası olmanın çok ötesinde insanlık yaşamında değişimlere yol açan gelişmelerin kaynağıdır. Özellikle bilgi ve iletişim teknolojilerindeki olağanüstü hız, post-modern çağın en önemli yanıdır. Bununla birlikte kürselleşmenin karşısında durulamayacak gücü, post-modernizme ayrı bir güç ve ivme kazandırmıştır.

Genel olarak doğruyu, yanlış iyiyi, kötüyü adaleti ve suçluyu birbirinden ayırt etmeyi sağlayan bir kavram olan etik; aynı zamanda, evrensel kurallar bütünü olarak da ifade edilebilir. Etik, eski çağlardan bu yana, bilim insanlarının ilgi alanında olmuş ve zaman içinde farklı yorumlanmalara maruz kalmıştır. Etik; modern ve post-modern zamanların en önemli konularından biri olmuştur. Özellikle post-modern dönemde etik kavramı, geçmiş dönemlerden farklı olarak yorumlanmıştır.

Etik kavramının yorumlanmasındaki bu değişim ve dönüşümde Frankfurt Okulu ya da Eleştirel Teori olarak bilinen aydın grubunun önde gelen ismi Teodor Adorno etkili olmuştur. Adorno, Etik anlayışına köklü bir değişim getirmiştir.

Bu küçük çalışmada, öncelikle Post-modernizmin kavramsal olarak ne ifade ettiği ve özelliklerinin neler olduğu açıklanmış, sonrasında ise etik kavramı dahilinde post-modern aydınlardan olan Adorno'nun etik kavramına bakış açısı irdelenmiştir.

Anahtar Kelimeler: Etik, Post-modernizm, Adorno.

GİRİŞ

Kapitalizm ve küreselleşme sonucunda meydana gelen post-modern dünya, artık modernliğinde ötesinde bir yaşam tarzının görülmeye başlandığı bir zaman dilimini içermektedir. Bilgi ve iletişim teknolojilerinin git gide ilerlediği post-modern çağda, bilgiye ulaşmak artık saniyeler kadar kısa bir zaman içinde gerçekleşmektedir. Dünyanın neredeyse tek bir bölge haline gelmesi, bireylerin yaşam tarzlarında, kültürlerinde, dünyayı yorumlama şekillerinde de değişiklik meydana getirmiştir. Post-modernizmin karmaşık yapısı ve ileri kapitalizmin popüler kültür ürünleri sayesinde etik kuralları da dönüşüm geçirmiştir.

Etik, günümüzde doğruyu, yanlış iyiyi, kötüyü adaleti ve suçluyu birbirinden ayırt etmeyi sağlayan bir kavramdır. Evrensel bir kurallar bütünü olarak etik, çeşitli filozoflar tarafından yaşanan zamana göre farklı yorumlanmış ve dönüşüm geçirmiştir. Post-modern dönem de etik kavramının farklı yorumlandığı bir zaman dilimidir. Bu dönemin başlıca düşünürlerinden biri olan Theodor Adorno'nun etik anlayışı bu açıdan önemlidir.

Bu küçük çalışmada, öncelikle Post-modernizmin kavramsal olarak ne ifade ettiği ve özelliklerinin neler olduğu açıklanmış, sonrasında ise etik kavramı dahilinde Post-modern düşünür Adorno'nun etik kavramına bakış açısı irdelenmiştir.

1.POST-MODERNİZM

Kohler (1997) ve Hassan (1985)'e göre; post-modernizm terimi ilk olarak Federico de Onis tarafından 1930'lu yıllarda modernizmin kurallarına bir karşı çıkış olarak ortaya atılmıştır. Terim, 1960'lı yıllara gelindiğinde New York'ta popülerlik kazanmış olup 1970'li ve 80'li yıllarında gelindiğinde ise mimaride, görsel sanatlarda ve sahne sanatlarında daha kapsamlı bir kullanıma sahip olmuştur.

Onis'le başlayan kullanım daha sonraki yıllarda Lyotrad, Vattimo, Derrida, Habermas, Adorno ve Foucault tarafından anlaşılmıştır. II. Dünya Savaşı'ndan sonra ciddi biçimde ele alınan ve yaygınlaşmaya başlayan post-modernizm açısından 1980'ler bu konu hakkında yayınların, araştırmaların en üste çıktığı ve etkisini en çok hissettirdiği dönem olmuştur (Odabaşı, 2013: 165).

1.1.Post-modernizm ve Değişim

Post-modernizmin doğuşu dünyada meydana gelen değişimlerin sonucunda oluşmuştur. 1970'li yıllardan sonra ortaya çıkan ve bilgi iletişim teknolojileri adı verilen teknolojiler, bilginin depolanmasının, sağlanmasının, paylaşılmasının olanaklarını üst sınırlara taşımış ve yeni ilişkilerin, yeni üretim biçimlerinin oluşmasını sağlamıştır.

Bilgi ve iletişim teknolojilerinin üretim biçimine dahil olması, üretimin esnekleşmesini, üretime çalışanların da yaratıcılıklarının dahil olmasını, üretimin fabrikalardan bürolara taşınmasını, ürünlerin özelliklerinin farklılaştırılmasını ve mavi yakalı çalışanların öneminin kaybedilip, yerini beyaz yakalı çalışanlara bırakmasını sağlamıştır. Post-fordizm olarak adlandırılan bu üretim biçimi, kendi insan tipini yaratmıştır. Kitle üretimi yerine bireysellik, tek tiplik yerine parçalanma, ilişkilerin hızlanması post-fordizmin meydana getirdiği post-modernizmin karakterini oluşturmuştur (Saf, 2016: 106).

1.2.Post-modernizmin Özellikleri

Post-modernizmin özelliklerini şu başlıklar altında ele almak mümkündür:

Parçalanma: Post-modernizm şu ana kadar olan tüm sentezlere karşı çıkar ve evrenin derinliklerine kadar inerek her şeyin parçalanmasına sebep olur. Post-modernizmde parçalanmış şey bir bütünlük oluşturamaz, sadece birbirleriyle ilişkilendirilebilir. Bu düşünce esas alınarak farklı usul ve davranışların bir bütünde değil ama birbirlerinden etkilenerek benimsenmesi kabul edilir (Kızılcılık, 1996: 36).

Post-modernizm; bireyin üzerinde parçalanmışlıklardan oluşturulmuş bir yaşamdan zevk alma deneyimini güçlendirir. Bu durum bireylerin kimlik ve benliği üzerinde de etkilidir. Tek ve bütün bir benlik, kimlik yapısından ziyade, post-modernizm çoklu kimlik ve geçişken akışkan bir hayat tarzına sahip olan toplum tipinden söz etmek olanaklıdır (Odabaşı, 2013: 172). Örneğin, "post-modernizmde aynı insanın sabahları geleneksel gıdalar yiyen ve geleneksel giyim tarzını içselleştiren biriyken, bir akşam pop konserine gidebileceği, otomobilinde ve evinde "klasik" müzik dinleyebileceği ve diğer bir gün ise kiliseye, camiye, sinagoga veya tapınağa gidebileceği tavrı hakimdir. Zevk, stil, ilgi alanı, boş vakitleri değerlendirme, post-modernizmde değişebilir. Modern dönemde karşılaşılan tek boyutlu toplum biçimleri post-modern dönemde çoğalarak birbirleriyle kaynaşabilir." (Bocock, 2014: 87).

Post-modernizmin getirisi olarak ifade edilen parçalanma, post-modern bireyin toplumdaki hayatı içerisinde birden çok ve farklı sosyal yapı veya topluluk üyesi olması hususunda da etkilidir. Modernizmde toplumsal yapılar arasına konulan sınırlar Post-modernizmde ortadan kalkmıştır. Post-modern dönemde bireyler kendilerini herhangi bir sosyal statü ve etnik gruba bağlılık ya da aitlik hissetmezler (Hall, 1992'den aktaran; Bocock, 2014: 86). Dolayısıyla, birey yaşamı süresince varlığını sürdürdüğü yerde kendi sahip olduğu kimlik ve kişilik özellikleri doğrultusunda farklı grupların ferdi olabilmektedir (Yeygel, 2006: 211).

Kuralcılığın yıkılışı: Post-modern dönemde otoritelerin mutlak doğruları kabul edilemez. "Mutlak olarak" bilinen her şey yok edilebilir. Tek bir gerçeğin, tek bir doğrunun var olduğuna dair düşüncenin aksine, birden fazla gerçeğin ve anlamın var olduğu görüşü benimsenir.

Üst gerçeklik: Üst gerçeklik gerçek ve gerçek olmayan arasındaki farkın belirsizleşmesine vurgu yapar. Post-modernizmde yaşanan kültürel değişimin en önemli boyutlarından biri insanların mevcut gerçeklik yerine sanal gerçeklikte yaşama eğilimleridir. Baudrillard (2015: 160-162)'a göre, post-modern toplumlarda, gerçek ile hayalin iç içe geçtiği, hakikat ve doğruluğun ortadan kalktığı bulanık bir kültürel iklim egemendir. Bu nedenle post-modern toplumları anlatırken "simülasyon" kavramını kullanmaya çalışır. Simülasyonlar aslında benzetim yoluyla oluşturulan imajdır. Üst gerçeklik aslında bir kopyadır. Gerçeği asla temsil etmediği gibi çoğunlukla gerçek nesneyle de bir ilgisi yoktur. Bu yüzden günümüzde gerçek; yerini imajlara bırakmıştır (Duman, 2014: 141).

Zaman kavramı: Post-modernizmde geçmiş ve gelecek kavramına gönderme yapılmaz. Bu dönem bireyi için önemli olan şimdiki zamanı yani anı yaşamaktadır. Geçmiş ve gelecek bireyler için şimdiki zamanda birleşir. Çünkü gelecek bireyler için müphemdir. Dolayısıyla geleceğin kavram olarak belirsizlikleri ifade ettiği bir geleceğe bağlı kalmak kabul edilemez (Kızılcılık, 1996: 36).

Her Şey Gider, Zıtlıkların Birlikteliği: Post-modern düşünürler arasında fikir birliğine ulaşılmış hususların en önde geleni, her şeyin her şeyle beraber olabilmesidir. “Her şey gider”, “Her şey uyar” gibi söylemler bu durumun önemli bir işaretidir. Duygular ve bilinç gibi kavramlar birbirlerine zıtlık ifade edebilir (Fırat, Dholakia ve Venkatesh, 1995: 42-43). Her şeyin doğru ya da yanlış olduğu ifadeleri post-modern dönemde hakimdir. Gelinen noktada, doğru ile yanlış arasındaki zıtlık ortadan kalkar. Post-modern söylemde “ne... ne de” yerine “hem... hem de” ifadelerine yer verilir. “Her şey her şeyle beraber olabilir anlayışı” farklılıklara dair olan hoşgörüyü arttırır (Fırat ve Schultz, 1997: 191). Dolayısıyla, post-modern dönemde etnik, toplumsal gruplar ve alt kültür- üst kültür arasındaki farklılıklardan meydana gelen hiyerarşi tamamen ortadan kalkar. Bu da heterojen bir toplum profilinin ortaya çıkmasına sebep olur.

2. ETİK NEDİR?

Etik veya ahlak felsefesi, Aristoteles tarafından M.Ö. 3. yüzyılda ortaya atılan, doğru ve yanlış davranış kavramlarını sistematize etmeyi, savunmayı ve önermeyi içeren bir felsefe dalıdır (Becker ve Becker,2002). Etik terimi, Eski Yunancada “alışkanlık, “gelenek” anlamına gelen “ethos” kelimesinden türetilmiştir. Bir felsefe dalı olarak etik, “İnsanların yaşamalarının en iyi yolu nedir?” ve “Belirli durumlarda hangi eylemler doğru ya da yanlıştır?” sorusunu araştırmaktadır. Pratikte etik, iyi, kötü, doğru ve yanlış, erdem, adalet ve suç gibi kavramları tanımlayarak insan ahlakının sorunlarını çözmeyi amaçlamaktadır (Solomon,1987).

2.1. Genel Olarak Etikle İlgili Yaklaşımlar

Etik yaklaşımları ve etik ile ilgili kavramların anlamları filozoflar ve etikçiler arasında zaman içinde değişim göstermiştir. Örneğin, Aristoteles, ideal davranışları, yüksek düzeyde bir mutluluk veya iyilikle eşanlamlı olan *eudaimonia*'nın nihai hedefine götüren uygulamalar olduğuna inanmıştır. Diğer bir taraftan bir 18.yy filozofu ve etikçisi olan Immanuel Kant ise, ideal davranışı, aslında kişinin yerine getirmesi gereken görevlere uygun olarak davranması olarak tanımlamış ve bireyin refaha, iyiye ve mutluluğa kendi kaderini kendisinin tayin etmesi, onurlu davranması ve rasyonel düşünme yeteneğine sahip olması sonucunda ulaşabileceğini savunmuştur. Modern yaşamda, iyi bir yaşamı neyin iyi hale getirdiği sorusu ile ilgili görüşler gittikçe daha da farklılaştığı için, etik bir çıkar ya da diğer tarafın bir parçası olmadan, sonuçta ortaya çıkan çıkarlar ve değerler çatışmalarının nasıl barışçıl ve adil bir şekilde çözülebileceği sorusuyla yüz yüze gelmiştir. Bu durum, ahlaki olarak neyin doğru olduğu sorusunun sorulmasına yol açmış ve dolayısıyla ahlaklı ve iyi yaşam kavramlarının birbirlerinden ayrı bir şekilde analiz edilmesi gerekliliğini ortaya çıkartmıştır (MacIntyre, 2006).

Etiğin aksine, ahlak; özel inançlar, davranışlar ve etikten türetilmiş yöntemler olarak tanımlanmaktadır. Etik olanın belirlenmesi, din ve meslek grupları için geliştirilen kurallar gibi formal teoriler, yaklaşımlar ve davranış kuralları yoluyla değerlendirildiği için, birinin ahlakının iyi ya da kötü olduğuna, sistematik etik analizi yoluyla karar verilebilmektedir. Ahlakın tersi ahlak dışı olandır; bu, bir insanın davranışının kabul edilen toplumsal, dini, kültürel veya mesleki etik standartlarına ve ilkelerine aykırı olduğu anlamına gelmektedir. Ahlak dışı örnekleri arasında sahtekârlık, dolandırıcılık, cinayet ve cinsel taciz eylemleri sayılabilmektedir (Rich ve Butts,2013).

2.2. Etik ve Ahlak

Etik ve Ahlak kavramları kullanımları açısından çoğu zaman birbirleri ile karıştırılmaktadır. Oysaki etik ve ahlak kavramları birbirleri yerine kullanılamayacak kadar farklılık içermektedirler. Toplumsal hayatta ahlâk, daha çok töre anlamına gelmekte ve bireylerin tutum ve davranışlarının bir göstergesi olarak kullanılmaktadır. Etik ise, daha evrensel bir anlama sahip olup ahlak kurallarının tümünü içeren bir kavram olarak görülmektedir. Ahlak yöreden yöreye, kültüre ve sosyo-ekonomik durumlara göre değişebilmekte, etik ise toplumun genelinde hakim olan bir kavramı temsil etmektedir (Mackie,1990). Billington (2003)'e göre, ahlak ve etik kavramları ile ilgili önemli özellikler şu şekilde tanımlanmaktadır:

- Muhtemelen, etik ve ahlak hakkındaki en önemli özellik, hiç kimsenin ahlaki etik kararlar vermekten kaçınmamasıdır, çünkü başkalarıyla olan sosyal ilişki (bağ), insanların ahlaki ve etik davranışları göz önünde bulundurmasını zorunlu kılar.
- Diğer insanlar her zaman birinin ahlaki ve etik kararlarıyla ilgilenir. Ahlakın mahremi yoktur.
- Ahlaki kararlar önemlidir, çünkü her karar bir başkasının yaşamını, özgüvenini veya mutluluk seviyesini etkiler.

- Etik tartışmalarda kesin sonuçlara ya da çözümlere asla ulaşılamaz.
- Ahlak ve etik alanında, insanlar onlara seçenek sunulmadan ahlaki yargılama yapamazlar; başka bir deyişle sağlam bir ahlaki yargılama zorunluluğu bir dizi seçenek arasından birinin seçilebilmesiyle sağlanabilir.
- İnsanlar ahlaki muhakemeyi ahlaki yargılarda bulunmak veya doğru eylemleri göstermek için kullanırlar.

3.THEODOR ADORNO VE ETİK ANLAYIŞI

Theodor Ludwig Wiesengrund Adorno (1903-1969,İsviçre), Frankfurt Okulu ya da Eleştirel Kuram olarak bilinen düşünce okulunun en başta gelen mensuplarından biridir. Babası Protestanlığa geçmiş Yahudi kökenli bir şarap imalatçısı, annesi ise, Fransız/ Korsika kökenli bir opera sanatçısıdır. Adorno'nun Katolik bir aileden gelen annesi tarafından soyadı Wiesengrund- Adorno olarak nüfusa kayıt ettirilmiştir. Adorno, 1943 yılından itibaren ise, yalnızca annesinin soyadını kullanmıştır (Adorno, 2017).

3.1. Theodor Ludwig Wiesengrund Adorno Hakkında Kısa Bilgiler

Adorno, Frankfurt Üniversitesi'nde Felsefe, Müzikoloji ve Sosyoloji eğitimi almıştır. Abla Berg'le birlikte kompozisyon üzerinde çalışmış, dönemin en önemli eleştirmenlerinden biri olan Siegfried Kracauer'la Kant'ın düşüncelerini analiz etmiştir (Adorno,2017).

Adorno, Frankfurt Okulu'nun önemli temsilcilerinden olan Walter Benjamin ve Max Horkheimer'la üniversite yıllarında tanışmıştır. Walter Benjamin ile bu dönemde başlayan dostluğu 1940'lı yıllara kadar birbirlerine yazdıkları mektuplar aracılığıyla devam etmiştir. Frankfurt'ta Kierkegard hususunda tez yazan Adorno, tezini tamamladıktan sonra üniversitede ders vermeye başlamıştır. Adorno, Almanya'da Nazilerin iktidara gelmesinin ardından babası Yahudi kökenli olduğu için 1934 yılında, İngiltere'ye göç etmek durumunda kalmıştır. 1938 yılında ise, Toplumsal Araştırmalar Enstitüsü'nde Max Horkheimer ile çalışmak amacıyla ABD'ye (New York) taşınmıştır.

1944 yılında Horkheimer ile ABD'de birlikte yazdığı "Aydınlanmanın Diyalektiği" adlı kitabı günümüzde Adorno'nun başyapıtları arasına girmiştir. Savaşın sonra Frankfurt'a tekrar geri dönen Adorno, Horkheimer ile birlikte Enstitüyü burada yeniden kurmuştur. 1969 yılında ise, vefat etmiştir (Adorno,2013).

3.2.Theodor Ludwig Wiesengrund Adorno'nun Etiği

Post-modernizmin ilk zamanlarının bir düşünürü olarak Adorno'nun etik ve ahlak anlayışı aslında kapitalist sistemin bir getirisi olan kültür endüstrisinin eleştirisidir. Adorno'nun etik ve ahlak ile ilgili önemli söylemlerine başyapıtlarından biri olan *Minima Moralia* adlı eserinde rastlanmaktadır. Adorno, *Minima Moralia* adlı eserine Ferdinand Kümberger'in ünlü sözü "Yaşam Yaşamıyor" ile başlar. Ona göre, bir zamanlar yaşam olarak bilinen kavram, önce özel yaşamın mahremiyetinin kapitalist sistem tarafından yerinden edilmesi ve daha sonra da özel yaşamın bir tüketim alanı haline getirilmesi ile artık eski anlamını yitirmiştir (Adorno, 2017). Dolayısıyla eski anlamını yitiren yaşam artık, Adorno'ya göre yanlış bir yaşam olarak nitelendirilmektedir. Adorno bu noktada "Yanlış hayat doğru yaşanmaz" tezini ortaya atar. Bu tezle, her şeyden önce sahte bir dünyada ahlaki ya da politik olarak doğru olanı yapmanın ve yaptığımızı bilmenin hiçbir yolu olmadığını savunur. Ona göre, bu durum aydınlanmanın ve modernizmin getirisidir. Aydınlanma düşüncesi ile birlikte insanlar kendi kaderlerini tayin edebileceklerine ve akıl yolu ile çevrelerini değiştirip, toplumsal ilerlemenin yolunu açmanın mümkün olduğuna inanmışlardır. Fakat, bu düşünce zamanla bir hakimiyet ve kontrol aracına dönüşerek aslında insanların hayatın öznesi iken nesnesi durumuna dönüşmelerine yol açmıştır. Çünkü, bilimsel bilgi ve teknik uzmanlık insan hayatının gittikçe daha geniş bir alanda bir "araç-amaç" ussallığının hakim olmasına neden olmuştur. Gelinek noktada bilgi artık, insanlığın özgürleşmesi amacıyla değil, bunun tam aksine insana hakim olmak ve onu kontrol etmek amacıyla kullanılmaktadır (Adorno, 2013).

Adorno ve Horkheimer'in bu düşünceden hareketle ortaya attıkları "Kültür Endüstrisi" kavramı Adorno'nun yanlış yaşam doğru yaşanmaz tezinin temelini oluşturmaktadır. Horkheimer ve Adorno, kültür endüstrisi kavramını, bir kültür kuramından ziyade, bir endüstri kuramı olarak ortaya koymuşlardır(Adorno ve

Horkheimer,1995). Yaşadıkları dönemde hem Amerika hem de Avrupa’da ivme kazanan kapitalizm temelli popüler kültür ürünlerinin ve eğlence endüstrisinin insanların metalaşmasına sebep olduğu görüşünü savunmuşlardır. Onlara göre, mevcut sistem (kapitalizm), filmler, radyo, dergiler ve gazeteler gibi kitle iletişim araçları ile bireyleri yönlendiren bir yaşam biçimi sunarak onlara bir dünya görüşü benimsetecek ve sonucunda dünyada tek tipleşen ve birbiriyle neredeyse aynı özelliklere sahip olan toplumlar zinciri meydana getirecektir. Adorno, popüler kültürün ya da kapitalizm tarafından üretilen eğlence kültürünün insanları benzer şekilde düşünmeye, benzer şekilde hareket etmeye ve benzer şeyleri dinlemeye ve giymeye sevk ederek benzerliklerle örtülü bir dünya meydana getirdiğini savunmaktadır. Buradaki önemli nokta, kültür endüstrisinin bireylerin üzerinde birbirlerine uyma zihniyeti geliştirdiği ve bireylerin sistem içerisinde tutsak hale getirilerek özgürlüklerinin kısıtlandığı düşüncesidir. Bireyler sisteme farkında olmadan, eleştirel düşünmekten mahrum bırakılarak bağlı kılınmıştır ve artık kültür insanlığa değil kapitalizme hizmet etmektedir (Adorno, 2003: 78). Bireylerin aslında kendi farkındalıklarını kaybetmeleri sonucunda Adorno’ya göre yanlış olan yaşam doğru yaşanamaz hale gelir. Birey temeli itibarıyla yanlış hayat içinde doğru yaşadığını zannederek yaşar. Gerçekte ise, doğru olarak yaşadığını zannettiği şey, onu sistem içinde daha da yanlış yaşamaya sürükler.

Adorno’ya göre, yaşanan zaman modernizmin evrensel ve değişmez ahlak kurallarını da yıkmıştır. Ahlakın göreceli hali gelmesi ise, gerçek ile yalanın artık birbirlerinden ayırt edilememeleri anlamına gelir. Adorno bu durumu şu şekilde özetler:

“Hakikatin yalan, yalanın da hakikat gibi görüldüğü bir dönemeçteyiz şimdi. her açıklama, her haber, her düşünce daha önce kültür endüstrisinin merkezlerinde biçimlendirilmiş olarak geliyor bize. böyle bir ön-biçimlendirmenin tanıdık izini taşımayan şeylerse inandırıcılıktan yoksun bulunuyor, çünkü kamuoyu kurumları ortaya sürdükleri her şeyi bin türlü olgusal kanıtla ve topyekun iktidarın el koyabildiği her çeşit makullük aylasıyla donatabiliyorlar. bu türden basınçlara direnen doğrular, imkansız görünmenin yanında, kültür endüstrisinin son derece yoğunlaşmış yayım aygıtıyla yarışamayacak kadar da güçsüz kalıyor....” (Adorno,2017).

Adorno (2017)’ya göre, sosyal dünya radikal biçimde kötüdür. Adorno, yazıları boyunca “mutlak kötülük”, “kökten kötülük” ve “kötülük” (*das Schlechte*) gibi terimleri kullanmaktan asla çekinmez. Bu durum, Adorno’nun aslında bizzat yaşadığı ve deneyimlediği olaylar ile ilgilidir. Adorno, savaş sonrası dünyanın, özellikle Amerika, Batı Avrupa ve Sovyetler Birliği de dahil olmak üzere, tüm Doğu Bloğu’nun sosyal dokusunun esasen yozlaşmış veya hastalıklı olduğunu düşünmektedir. Bunu düşünmesinin sebebi, Nazi döneminde ölümcül bir toplama kampı olan Auschwitz’tir. Adorno, Auschwitz kampından sonra dünyada şiir yazılamaz der. Auschwitz, Adorno’nun sosyal felsefesinin merkezi bir temasıdır ve sık sık böyle korkunç şeylerin gerçekleşmesine izin veren herhangi bir kültürün derinden kusurlu olması gerektiğini düşünür. Bununla birlikte, Adorno için Auschwitz-soykırımın metalaşması ve bürokratikleşmesi- sosyal dünyadaki radikal kötülüğün sadece canlı ve korkunç bir örneğidir. Diğer örnekler ise, atom bombası ve Vietnam savaşını içerir. Adorno gelinen noktada, akıl yürütmenin dünyada eşitsizlik, soykırım ve ırkçılığın meydana gelmesine sebep olduğunu savunur. Kapitalist sistem ile insanların topluca katledilmesi Adorno için bağlantılıdır. Kapitalist sistem kar elde etmek için insanların duygularını dahi sömürür bu noktada yapılan soykırım ile sömürme insanın değerinin yitimi açısından eş değerdir. Çünkü soykırımdan canlı olarak kurtulmuş olan ve kazanç uğruna sömürülen insan bir daha eski yaşamına devam edemez.

Adorno, insanların kapitalist sistemde tüketimin birer nesnelere haline geldiklerini savunur. Tükettikçe mutlu ve var olan bu insanlar, tüketim metalarını elde edebilmek için büyük kentlerde kendi benliklerini kaybederek yaşamaya başlarlar. Kazandıklarını hafta sonu popüler kültürün ve kitle endüstrisinin eğlence vadeden ürünleri ile harcamak zorunda hisseden insanın aslında artık özgürlüğü elinden alınmış olur. Adorno (2017)’ye göre her şey planın bir parçasıdır. Çünkü sistem bireyin aslında yalnız kalıp kendisine, dünyaya ve topluma yabancılaşmasını ve sistemin yanlışlığını farketmemesi için üretilmiştir. Kültür endüstrisinin eğlence ürünleri ise, bireye aslında sadece sahte mutluluklar vermek için mevcuttur. Bireyin bu eğlenceden mahrum kalmaya hakkı yoktur çünkü sistem onu içine çeker ve sürekli bir şeyler yapma ve tüketme gereği içinde olmasını düşündürür. Bu noktada, birey için yanlış diye bir şey yoktur var olan şey, bireyin nefsinin onun farkında olmadan kışkırtılmasıdır. Adorno (2017) bu durumu şu şekilde açıklar:

“Büyük kentlerin doğumundan beri gözlenen telaş, sinirlilik ve huzursuzluk bir salgın hastalık gibi yayılıyor şimdi, tıpkı bir zamanlar veba ve koleranın yayıldığı gibi. On dokuzuncu yüzyılın bir yere yetişmek için seke seke giden kent sakininin hayal bile edemeyeceği enerjiler ortaya salınıyor bu süreç içinde. Herkesin her zaman birtakım projeleri olmak zorunda. Boş zamandan azami yarar sağlanması gerekiyor. Planlanıyor bu zaman dilimi, çeşitli girişimlerde bulunmak için kullanılıyor, gezilerle, akla gelebilecek her türlü mekân veya gösteriye yapılan ziyaretlerle veya sadece mümkün olan en hızlı yolculuk türleriyle tıkiş tıkiş dolduruluyor. Düşünsel çalışmanın üstüne de düşüyor bütün bunların gölgesi. Rahatsız bir vicdanla yapılmakta bu çalışma, sanki daha önemli bir işten, sırf hayali olsa bile daha acil bir işten zaman çalınıyormuş gibi.... Zamanın gerisinde kalmak istemeyen kişinin farklı olmasına izin yoktur. Ruhsal boşluksa sadece yanlış bir toplumsal özümleme biçiminin ürünüdür. İnsanların uzağına kaçtıkları can sıkıntısı, çok önce başlamış bir uzağına kaçma sürecini yansıtıyordur sadece. Ucubeyi andıran eğlence aygıtı, hiç kimseyi eğlendirmedeği halde sırf bu yüzden hayatta kalmakta ve gittikçe azmanlaşmaktadır.”

Adorno, ahlak ile ahlaksız kavramları üzerine de düşünmüştür. Ona göre, ahlak ve ahlaksızlık arasındaki ince çizgi cinsellikle ilgili meseleleri kapsamaktadır. Adorno bu noktada şu örneği verir:

“Yüzbaşı varlığının her zerresiyle insana doğru dürüst bir adam olduğunu hissettiren Woyzeck'i gayrimeşru bir çocuk yaptığı için azarlarken Woyzeck'in ahlaksız olduğu iddiasıyla "iyi bir adam" olduğu iddiası arasında gidip gelir. Woyzeck'e neden ahlaksız olduğunu izah etmeye çalışırken sürekli "ahlaktan nasibini almamış olduğu için ahlaksız olduğu" totolojisine düşer. Yani Yüzbaşıda bu ahlak anlayışının ahlaki iyilik fikrinden bütünüyle ayrılmış olduğunu görürüz. Woyzeck'in hem iyi bir insan olduğunu hem de ahlaksız olduğunu iddia etmekte kesinlikle hiçbir çelişki görmez.' Nietzsche'nin ahlak denen şeye yönelttiği bütün itiraz bu tür fikirlere dayanır. Meseleyi Nietzsche'nin terimleriyle formüleştirecek olsam, ahlak kavramının bilinçli veya bilinçsiz olarak "çileci idealler" şekline burunmuş fazladan bir ağırlık taşıdığı için sakatlanmış olduğunu söyledim muhtemelen. Üstelik bu idealler için herhangi bir gerekçe, en azından gerçekten derinliği olan rasyonel bir gerekçe bulmak mümkün değildir aslında; bu idealler arkasında envai çeşit bulanık ve şaibeli çıkarın yattığı birer faciadan öte bir şey değildir” (Adorno, 2012).

SONUÇ

Post-modernizmin ve eleştirel kuramın öncülerinden biri olan Adorno'nun etik ve ahlak anlayışı da yaşadığı çağın izlerini taşımaktadır. Post-modernizmin her şey gider her şey uyar düşüncesi ekseninden bakıldığında, Adorno'nun etik anlayışının daha çok kapitalist sistemin bir eleştirisi olduğu görülmektedir.

Post-modern dönemle birlikte gelişen teknoloji ve iletişim araçları ve de aynı zamanda popüler kültür ürünleri sayesinde insanların birbirlerine yabancılaştığını artık dünyanın öznelere yerine nesnelere olduğunu düşünen Adorno, yaşanan hayatın gerçekliğine inanmamaktadır. Artık Adorno için doğru bir hayat yaşanamaz çünkü aslında sistem tamamıyla yanlıştır. Doğru yaşam olarak bireylerce görülmesi sağlanan bu yaşam aslında yanlışlıklardan ibarettir. Birey doğru zannettiği hayatı yaşarken gerçekte daha da çok yanlış yapmaya sevk edilir. Bu noktada önemli olan, bireyin doğru zannedip aslında yanlış bir sistem içinde yaşadığını fark etmemesi ve bu sistem içerisinden çıkamamasının sağlanmasıdır.

Adorno, hayatın sakatlanmış olduğunu düşünür. Kötü hayat kavramını kullanmaktan çekinmemesi Nazi zamanındaki toplama kamplarının varlığı ile ilgilidir. Böyle bir kültür içerisinde yaşayan bireyin bundan sonra doğru ya da iyi bir yaşamı nasıl yaşayacağını sorgular. Ona göre, kapitalizmin de toplama kamplarından farkı yoktur. Her iki sistem de insanları sömürmeyi onların özgürlüklerini kısıtlamayı amaçlar. Böyle bir dünyada yaşamın yaşanmadığını belirtir Adorno.

Son olarak, doğru bir yaşamın asla yaşanamayacağını savunmaz aslında Adorno, ona göre, doğru yaşam ancak bu sistemde kendi farkındalığını anlayan ya da kendini gerçekleştirebilen insanlar tarafından yaşanabilir. Bunun gerçekleşmesi oldukça güçtür yazar için. Çünkü insanlar kapitalizmin eğlence ürünlerine kendini kaptırmışlardır.

Bunların yapılması artık insanlar için neredeyse bir görev haline gelmiştir. Birey bu çember içinden ancak aklının araçsallaşmasını önlediği zaman çıkar. Bu da insanın özgürleşmesine ve hakikate ulaşmasının en etkili yoludur.

KAYNAKLAR

- ADORNO, T.W.L. ve HORKHEIMER, M. (1995). Aydınlanmanın Diyalektiği, (Çev.: Nihat Ünler, Elif Öztarhan Karadoğan), Kabalcı Yayınevi, İstanbul.
- ADORNO, T.W.L. (2003). “Kültür Endüstrisini Yeniden Düşünürken”, (Çev.: Bülent Doğan), Cogito Dergisi (Yaz).
- ADORNO, T.W.L. (2012). Ahlak Felsefesinin Sorunları, Metis Yayınları, İstanbul.
- ADORNO, T.W.L. (2013). Kültür Endüstrisi Kültür Yönetimi, 8. Basım, İletişim Yayınları, İstanbul.
- ADORNO, T.W.L.(2017). Minima Moralia Sakatlanmış Yaşamdan Yansımalar, (Çev.: Orhan Koçak, Ahmet Doğukan), Metis Yayınları, İstanbul.
- BAUDRİLLARD, J. (2015). Tüketim Toplumu Söylenceleri Yapıları, (Çev.: H. Deliceçaylı- F. Keskin), Ayrıntı Yayınları, İstanbul.
- BECKER, L. C. ve BECKER, C. B. (2002). Encyclopedia of Ethics, Second Edition in Three Volumes, Routledge, New York.
- BILLINGTON, R. (2003). Living Philosophy: An Introduction to Moral Thought (3rd ed.), Routledge-Taylor &Francis Group, London.
- BOCOCK, R. (2014). Tüketim, (Çev.: İ.Kutluk), Dost Kitabevi, Ankara.
- DUMAN, Z. (2014). Tüketim Toplumuna Eleştirel Bir Bakış, Kadim Yayınevi, Birinci Baskı, Ankara.
- FIRAT, A.F.,DHOLAKIA, N. ve VENKATESH, A. (1995). “Marketing in a Postmodern World”, European Journal of Marketing, Vol:29, No:1.
- FIRAT A.F. ve SCHULTZ, C.F. (1997). “From Segmentation to Fragmentation: Markets and Marketing Strategy in the Postmodern Era”, European Journal of Marketing, Vol: 31, No:3-4.
- HASSAN, I. (1995). “The Culture of Postmodernism”, Theory, Culture& Society, Vol:2, No:1.
- KIZILÇELİK, S. (1996). Postmodernizm Dedikleri, Saray Kitapevleri, İzmir.
- KOHLER, M. (1997). “Postmodernismus: Ein befriffsgeschicter Überblick”, America Studies Vol:22, No:1.
- MACINTYRE, A. (2006). A Short History of Ethics - A History of Moral Philosophy from the Homeric Age to the Twentieth Century, Routledge, New York.
- MACKIE, J. L. (1990). Ethics: Inventing Right and Wrong, Penguin, London.
- ODABAŞI, Y. (2013). Tüketim Kültürü Yetinen Toplumun Tüketen Topluma Dönüşümü, Sistem Yayıncılık, İstanbul.
- RICH, K.L. ve BUTTS J.B. (2013). Nursing Ethics: Across the Curriculum and Into Practice, Jones & Bartlett Publishers, Boston, MA.
- SAF, H. (2016). “Türkiye'de Yükselen Siyasal İslam'ın Postmodern Nedenleri”, Karadeniz Teknik Üniversitesi İletişim Fakültesi Elektronik Dergisi, C. 3, Sayı:12.
- SOLOMON, R.C. (1987). Morality and the Good Life: An Introduction to Ethics Through Classical Sources, McGraw-Hill Book Company, New York.
- YEYGEL, S. (2006). “Postmodern Toplumsal Yapının Pazarlamaya Getirdiği Yeni Boyut: Topluluk Pazarlaması (Tribal Marketing)”, Bilig Dergisi, Sayı:38, <http://www.acarindex.com>, Erişim tarihi: 10.11.2019.

Gönüllü Kölelikten Gönüllü Sadeliğe

Doç. Dr. Mustafa Hatipler¹

Dr. Nilgün Köksalan²

¹Trakya Üniversitesi /Edirne Sosyal Bilimler MYO, mustafahatipler@trakya.edu.tr, ORCID: 0000-0002-2090-3042

²Trakya Üniversitesi /Edirne Sosyal Bilimler MYO, nilgunkoksalan@gmail.com, ORCID: 0000-0002-2338-8074

Özet: Geçmiş çağlar öncesine dayanan kölelik kavramı günümüzde de farklı toplumsal yapı ve oluşumlar şeklinde var olmaya devam etmektedir. Tarihsel süreç içerisinde dönem dönem tanım ve kapsam bakımından değişiklikler gösteren kölelik kavramının bugün modern kölelik, gönüllü kölelik, insan ticareti, zorla çalıştırma gibi çeşitli kavramlarla birlikte oldukça geniş bir olgu haline geldiği görülmektedir. Modern kölelik, insan ticareti ve zorla çalıştırma gibi kavramlar küreselleşen ekonominin yansıması olarak şirketlerin ucuz işgücü yoluyla kar maksimizasyonuna odaklanan bir anlayışı tanımlarken, gönüllü kölelik ise tüketim üzerinden birey ve toplumların çeşitli markalara, gruplara, oluşumlara, fikirlere, imajlara ve söz konusu kavramlara benzer birçok tüketim odaklı kavrama bağımlı hale getirilmesi düşüncesini kapsamaktadır. Söz konusu sistem içerisinde tüketiciler tüketim farkındalığından her geçen gün daha fazla uzaklaşarak çoğu zaman farkına bile varmadan yalnızca tüketmekten haz alan gönüllü köleler haline dönüşmektedir.

İçerisinde bulunduğumuz çağda gönüllü köleliğin tüketiciler üzerinde var olan baskın görüntüsüne rağmen aynı zamanda gönüllü kölelikle ilgili olarak çeşitli tepkisel oluşumların da toplum üzerindeki etkisinden bahsetmek mümkündür. Bu oluşumlar içinde en önemlisi olarak ifade edilebilecek gönüllü sadelik hareketi durmaksızın tüketmenin bir amaç halinde sunulduğu günümüz toplumlarında sade, minimal ve çevreci bir düzeni tanımlamaktadır. Tüketicilerin ancak gönüllü bir davranış içerisinde tüketim kontrolsüzlüğünden uzaklaşabileceğini savunan gönüllü sadelik hareketi, bir taraftan bugünün insanına sade yaşamın zenginliği felsefesine dayalı bir tüketim anlayışı kazandırmaya çalışırken, diğer taraftan gelecek nesiller için yaşanabilir bir çevre bırakabilmeyi amaçlayan bir anlayışı temsil etmektedir.

Bu çalışmada, öncelikle kölelik kavramıyla ilgili geçmişten günümüze çeşitli tanımlamalardan ve gönüllü kölelik olgusundan bahsedilmiştir. Ardından tüketim, tüketici ve tüketici davranışı kavramları çerçevesinde gönüllü sadelik anlayışı kavramsal olarak incelenmiştir. Çalışmanın son bölümünde ise gönüllü kölelik ve gönüllü sadelik anlayışı bir arada değerlendirilerek günümüz tüketim davranışlarındaki olası değişimler tartışılmıştır.

Anahtar Kelimeler: Gönüllü Kölelik, Gönüllü Sadelik, Tüketim.

1. GİRİŞ

Kölelik, çağlar boyunca bir yandan yasal, yönetsel ve dini çeşitli uygulamalarla yasak getirmeye çalışılırken diğer yandan farklı oluşumlarla toplumsal yapılarındaki varlığını bugüne kadar devam ettirebilmiş bir olgudur. Zaman içerisinde toplum yapılarında meydana gelen değişim ve dönüşümler köleliğin de tanım ve kapsam bakımından genişlemesine neden olmuştur. Özellikle günümüz küresel dünyasında bir taraftan insan ticareti, zorla çalıştırma gibi mülkiyet üzerinden köleleştirilen insanların; diğer taraftan aşırı tüketim odaklılıkla markalar, gruplar ve imajlar üzerinden bağımlı hale getirilen birey ve toplumların modern dünyanın kölelik anlayışını oluşturduğunu ifade etmek mümkündür.

Sanayi Devrimi sonrasında hızla büyüyen ekonomiler tüketim faaliyetinin gitgide standartlaştırıldığı bir toplum yapısı ortaya çıkmıştır. Bireylerin “aynı tür makineler, fabrikalar, klinikler, televizyon stüdyoları ve beyin takımlarından sökün edip gelen ürünlere bağımlılığı” “bu bağımlılığı tatmin etmek için aynı şeylerin üretimini” artırmıştır. Diğer taraftan farklı kültürlerin varlığı karşısında “bilincin her yerde ithal markalar tarafından sömürgeleştirilmesi” sonucunda hayat “hemen hemen sadece dünya pazarında satılan malların tüketimine kendi kendine bağımlı hale” getirilmiştir (Illich, 2000: 23-27).

Tüketimin yaşamın odak noktası şeklinde tüketici için git gide bir amaç halini aldığı günümüzde birey ve toplumların tüketim üzerinden adeta köleleştirildiğini ifade etmek mümkündür. Tüketim köleliği, ya da gönüllü kölelik adı verilen söz konusu tüketim anlayışı “aşırı tüketime” yol açarak gün geçtikçe bireysel, toplumsal ve çevresel zararların da artışına yol açmaktadır. Ancak, toplumsal refahı tehdit eden aşırı tüketimin neden olduğu olumsuzluklar tüketim karşıtı hareketleri de beraberinde getirmiştir. Söz konusu hareketlerden birisi olan “gönüllü sadelik” hareketi tüketim tarzında yapılacak değişiklikler yoluyla tüketimi azaltmayı hedefleyen bir anlayışı temsil etmektedir.

Bu çalışmada öncelikle, kölelik ve gönüllü kölelik kavramları ele alınmıştır. Ardından tüketim, tüketici ve tüketici davranışlarındaki değişimlere dikkat çekilerek gönüllü sadelik anlayışı irdelenmiştir. Son olarak gönüllü kölelikten gönüllü sadeliğe doğru tüketim anlayışında yaşanan değişimler değerlendirilmiştir.

2. GÖNÜLLÜ KÖLELİK: KAVRAMSAL ÇERÇEVE

Dünden bugüne çeşitli yasaklama ve yasal düzenleme gibi yaklaşımlarla ortadan kaldırılmaya çalışılan bir olgu olan kölelik günümüz toplum hayatında da farklı oluşumlarla varlığını devam ettirmektedir. Bu bölümde öncelikle kölelik kavramına ilişkin literatürdeki çeşitli tanımlamalara yer verilerek ardından gönüllü kölelik olgusuyla ilgili bir kavramsal bir çerçeve sunulmuştur.

2.1. Kölelik Kavramı

Kölelik, insanlık tarihi boyunca çeşitli şekillerde var olmuş toplumsal bir olgudur. Geçmiş yüzyıllardan itibaren kaldırılması ve yasaklanması yönündeki çabalara rağmen günümüzde de ekonomik ve sosyal farklı oluşumlarla varlığını sürdürmeye devam etmektedir. “Savaşa tutsak alınan, yabancı ülkelerden zorla kaçırılıp özgürlükten yoksun bırakılan veya başkasından satın alınan kimse, kul, esir” ile “birinin emri altında bulunan, özgür olmayan kimse” olarak ifade edilen köle kavramı bir diğer anlamıyla “herhangi bir şeye aşırı derecede bağlı olan kimse” anlamına da gelmektedir (TDK, 2020).

Kölelikle ilgili olarak ilk modern tanımlama 1926 yılında Milletler Cemiyeti tarafından, “bir kişinin statü veya şartlar bakımından mülkiyet hakkına dayalı olarak bir kişi üzerinde her türlü gücünü ya da bütün gücünü kullanması” şeklinde tanımlanmıştır (Allain, 2009: 455). “Eski çağ ekonomisinin temel taşlarından, maddi hayatın şartlarından biri olarak görülen ve iktisadi hayatın faydalı ve vazgeçilmez bir unsuru olarak sanayide makine yerine kullanılan” köle hukuki açıdan “bir şahıs değil, mal sayılan ve hürriyetinden mahrum olan kimse” olarak kavramsallaştırılmaktadır (Tahiroğlu, 2011: 649-650).

Günümüzde ise kölelik kavramı zorla çalıştırma, çocuk işçi çalıştırma, insan ticareti ve zorla evlendirilme gibi çalıştırma şekillerini de kapsar hale gelmiştir (Azmy, 2002: 983). Uluslararası Çalışma Örgütü (ILO) ve Özgür Yürü Vakfı'nın (Walk Free Foundation) Uluslararası Göç Örgütü ile ortak hazırladığı Küresel Kölelik Endeksi 2018 raporuna göre dünya genelinde 40 milyondan fazla modern köle bulunmaktadır. Bu sayının yüzde 71'ini kadınlar, kız çocukları, yüzde 29'unu ise erkekler oluşturmaktadır. Yine, bu sayı içinde 15.4 milyon kişi zorla evlendirilen, 24.9 milyon kişi ise zorla çalıştırılanlardan oluşmaktadır (ilo.org).

2.2. Gönüllü Kölelik Kavramı

Tarihsel sürece bakıldığında kölelik kavramıyla ilgili ilk olarak zor kullanarak, kişinin irade ve isteği olmadan ortaya çıkan uygulamalar akla gelmektedir. Birçok insan için köleler güç kullanarak alınan, satılan ve çalıştırılan bir toplum kesimini ifade etmektedir. Ancak günümüzde, mülkiyet üzerinden bireylerin bağımlı hale getirildiği “modern kölelik” olgusu yeni dönemin kölelik olgusunu oluşturmaktadır. Modern kölelik, korku ya da şiddet yoluyla zor kullanarak çalıştırılan ve bir işveren tarafından sahiplenilen ya da kontrol edilen, çalışma şartları açısından standartların altında tutulan ve hareket özgürlüğünden mahrum bırakılan bireyler için kullanılmaktadır. Literatürde “gönüllü kölelik” olarak da ifade edilen modern kölelik olgusu, insan ticareti, zorla çalıştırma, zorla evlendirilme, çocuk işçiliği, seks işçiliği, yasadışı kuryelik, siber kölelik gibi birbirinden farklı uygulamalarla kölelik olgusunu günümüze taşımıştır (Crane, 2012: 5; Satz, 2009: 87).

Literatürde geçen bir tanıma göre gönüllü kölelik “bir kişinin belli bir kişiden aldığı borç karşılığında söz konusu borç ödenene kadar belirli olmayan bir süre boyunca o kişi için çalışmasıdır (Bardhan, 1983: akt: Satz, 2009: 87). Bales (2002) çalışmasında modern ve geleneksel kölelik arasındaki farkları şu şekilde açıklamaktadır (2002: 22):

- Geleneksel kölelikte yasal mülkiyet esastır ancak modern kölelikte bundan kaçınılmaktadır.
- Geleneksel köleliğin, modern köleliğe göre çok daha yüksek maddi bedeli bulunmaktadır.
- Modern kölelikte kar geleneksel köleliğe oranla oldukça yüksektir.
- Geleneksel kölelik döneminde potansiyel köle kıtlığı, modern kölelik döneminde ise potansiyel köle fazlası bulunmaktadır.

- Modern kölelikte kurulan ilişkinin, geleneksel kölelikle karşılaştırıldığında daha kısa süreli olduğunu ifade etmek mümkündür.
- Geleneksel kölelikte etnik farklılıklar önem taşıırken modern kölelikte etnik farklılıkların bir önemi yoktur.

Literatürde modern kölelikle birlikte gönüllü kölelik kavramının tüketim bağlamında bir “tüketim köleliği” ifadesi olarak da kullanıldığını ifade etmek mümkündür. Özellikle postmodern dönem olarak ifade edilen günümüzde aşırı tüketim, sembolik tüketim ve hedonik tüketim gibi anlayışlar, tüketimin bir yaşam tarzı haline gelmesi, bireylerin kimliklerini markalar üzerinden tanımlaması gibi faktörlerle artan tüketim bağımlılığı bireyi adeta tüketimin birer kölesi haline getirmektedir. Kimliklerimizi tanımlama ve çevremizdeki dünyayı kavrama konusunda markalara olan bağımlılığımız günümüzde olağanüstü boyutlara ulaşmış durumdadır (Solomon, 2003: 16). Tüketici dünyasında markalar insanları birbirine bağlayan bağlar olarak görülmektedir. Buradan hareketle, grup kimliklerinin onaylanması tüketime iten en önemli etkenlerden birisi olarak karşımıza çıkmaktadır. Özellikle tüketicileri ortak şeylere sahip olma temeli üzerinde başkalarıyla ilişki kurması ve bu insanların bir markaya olan bağlılıkları onları marka topluluklarındaki sevgiyi paylaşma konusunda harekete geçirmektedir (Solomon, 2003: 31). Bu bağlamda markalara olan bağımlılık günümüzün tüketime dayalı gönüllü kölelik olgusunu oluşturmaktadır.

3. GÖNÜLLÜ SADELİK ANLAYIŞI

İnsan hayatında “daha az olanın aslında daha çok olduğu” anlayışına dayanan bir yaklaşımı temsil eden gönüllü sadelik özellikle tüketim aşırılığının yaşandığı günümüz dünyasında kendisini tüketim sarmalından uzaklaştırma çabası içinde hareket eden tüketiciler için alternatif bir yaklaşım halini almaktadır. Bu bölümde öncelikle tüketim ve tüketici kavramları ile tüketim olgusunda günümüzde yaşanan değişimlerden kısaca bahsedilerek ardından gönüllü sadelik anlayışı ile ilgili açıklamalara yer verilmiştir.

3.1. Tüketim, Tüketici ve Değişen Tüketici Davranışı

Günümüzde tüketim olgusu her anlamda yaşamın merkezinde yer alarak birey ve toplumları günden güne daha fazla etkisi altına almaktadır. Kısaca “amaçlı bir faaliyet” olarak ifade edilen tüketim kavramı, “bir amacın gerçekleştirilmesine yönelik yapılan planlı bir davranış şekli” olarak tanımlanmaktadır (Altunışık, 2007: 47). Günümüzde tüketim birçok insan tarafından beraberinde saygı, statü, güç, tatmin ve mutluluk getireceği yönündeki toplumsal yönlendirmeler sonucunda daha fazla para harcama ve lüks yaşama bağlamında toplumsal bir norm olarak kabul edilmektedir (De Geus, 2013: 38).

Tüketim anlayışında dünden bugüne birçok değişim yaşanmıştır. “Maddi ilerlemenin, üretilen eşyaların miktar ve çeşitliliğindeki artışla ölçüldüğü, toplumsal ilerlemenin de bu eşyalara ulaşmakla ölçüldüğü” günümüz toplumlarında özellikle “modernizm sonrası dönem” ya da “modernizm karşıtı bir duruş” olarak adlandırılan postmodernizm anlayışının da tüketim temelli bir toplumun ortaya çıkmasında rol oynadığının altını çizmek mümkündür (Illich, 2000: 24). Postmodern dönemde üretimle tüketim arasındaki farkın yok sayılmasıyla birlikte tüketimin de en az üretim kadar hatta daha fazla yaşamsal öneme sahip olduğu ileri sürülerek tüketim olmadan üretimin önemi olmadığına vurgu yapılmaktadır (Odabaşı, 2012: 40). Modern toplumda tüketici ihtiyaçlarının kontrol altında ve materyalistik değerlerin ön planda olduğu, buna karşılık postmodern toplumda tüketicinin özgürlüğü ve ürünün sembolik değerlerinin daha fazla önemsendiği anlaşılmaktadır (Fırat, Dholakia ve Venkatash, 1995: 40-56). Ransome (2005: 179) ‘ın çalışmasında sıraladığı tüketim temelli toplumun göze çarpan bazı özellikleri şunlardır:

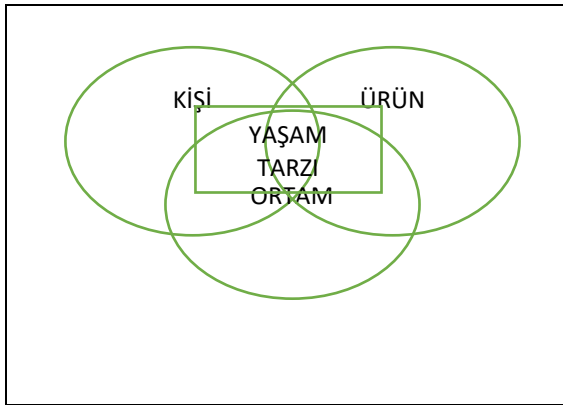
- Tüketim yaşamı sürdürmeye karşı kazanılan bir zaferdir,
- Tüketimin kendisi amaç olarak kabullenilir,
- Daha fazla tüketim evrensel olarak iyi kabul edilir,
- Borç yapma normal bir eylemdir,
- Kredi daha fazla tüketmenin aracıdır.

Son yıllarda tüketim ve tüketici davranışlarındaki değişim incelendiğinde tüketimde sembollerin önemi, duyguların ağırlık kazandığı hazcı tüketim ve yapısal olarak bilişsel ve duygusal faktörlerin karma etkileşimi altında şekillenen plansız satın alma davranışı göze çarpmaktadır (Altunışık, 2007: 116). Bu değişimlerden sembolik tüketimde “nesne ya da fikir gibi başka bir şeyin yerine geçen işaretler olarak açıklanan sembol kavramının öne çıktığı görülmektedir. Sembol kavramı tüketimle yan yana kullanıldığında “tüketimin sembolik yönü ile kendimiz hakkında bir şeyler iletme istediğimiz” bir ifadeye dönüşmektedir. Sembolik tüketim statü ya da sosyal sınıfın belirlenmesi, kendini tanımlayıp bir role bürünmesi, sosyal varlığını oluşturması ve koruyabilmesi, kendisini başkalarına ve kendine ifade edebilmesi, kimliğini yansıtmaya bakımda günümüz tüketici anlayışında önemli bir yer tutmaktadır (Odabaşı, 1999: 58-65). Tüketiciler ürünleri artık işlevlerinden çok ifade ettikleri anlam için satın almaktadır (Solomon, 2003: 16).

Günümüz tüketici davranışlarındaki bir diğer değişim de hedonik tüketimdir. Hedonizm, haz arayıcılık olarak ifade edilirken hedonik tüketim ise tüketimden haz alan bir anlayışı ifade etmektedir (Altunışık, 2007: 120). Hedonik tüketim, tüketimin duygulandırıcı, fantezi ve çoklu-duyumsal yönüne ilişkin davranışları kapsamaktadır. Buna göre tüketimi yönlendiren ürünün kullanılması sonucunda sahip olunacağı düşünülen eğlencedir. Eğlence, fantezi ve duyumsal uyarılma gibi duygusal deneyimler de hedonik tatminle ilgilidir (Babin, Darden ve Griffin, 1994: 650).

Sembolik ve hedonik tüketimin etkisiyle birlikte ürünler ve yaşam tarzının bağdaştırılmış durumda olduğunu ifade etmek mümkündür (Bakınız (Bkz.) Şekil:1.1.) Yaşam tarzı, geniş anlamda, insanın boş zamanını nasıl geçirdiği (faaliyetleri), çevresinde nelere önem verdiği (ilgileri), dünya ve kendi hakkında düşünceleri (fikirleri) içeren bir yaşama biçimi olarak tanımlanmaktadır (İslamoğlu ve Altunışık, 2013: 167). Bugünün tüketicisinin yaşam tarzında tüketim adeta bir ana unsur haline gelmiştir. Tüketim kültüründe sınırsız ve doyurulmaz olarak kabul edilen ihtiyaçların sürekli daha fazlayı istemenin daha fazla arzular yaratmasına katkı sağladığı ve gelişme için tüketim toplumunda bunların normal karşılanması gerektiği kabul edilmektedir (Odabaşı, 1999: 28-29).

Şekil 1.1: Ürünlerle Yaşam Tarzlarının Bağdaştırılması



Kaynak: Solomon, M. R. (2002: 175)

Postmodernizm ve postmodernizmin beraberinde getirdiği sembolik tüketim ve hedonik tüketim eğilimleri tüketicilerin yaşam tarzında aşırı tüketim yönlü değişimlere neden olmuştur. Aşırı tüketim olgusu beraberinde bir boyutuyla tüketimin bir amaç olmaktan çıkarılması, bir diğer boyutuyla ise tüketimin yol açtığı çevresel kirlenmenin önüne geçilebilmesi yönünde alternatif ve aynı zamanda tepkisel tüketim anlayışlarını da beraberinde getirmiştir.

3.2. Gönüllü Sadelik Kavramı

Sanayi devrimi sonrasında yaşanan üretim artışları ve bu duruma paralel olarak tüketimin özendirilmesi yönündeki çabalar tüketim artışını da beraberinde getirmiştir. Zaman içerisinde adeta bir tüketim toplumuna dönüşen dünyamızda tüketiciler kendilerini, statülerini, değer yargılarını tüketimle özdeşleştirir hale gelmiştir. Ancak, her geçen gün daha da küreselleşen tüketim kültürü, daha iyi bir yaşam vaadini artık yerine getirememektedir (Alexander, 2011: 2). Tüketim toplumu ve tüketim kültürünün yaygınlaşmasıyla ortaya çıkan

günümüzün hızlı, yoğun ve stresli yaşam tarzları baskısından uzaklaşmak isteyen tüketiciler daha sade bir yaşam arayışına girmiştir.

Modern çağın “mutluluk için tüketim” kültürünün aksine “Daha az aslında daha çoktur” felsefesine dayalı bir hareketi temsil eden gönüllü sadelik, kaynak kullanımını en aza indirerek ve maddecilikten uzak bir bakış açısıyla mutlu olunabileceğini savunmaktadır (Huneke, 2005: 528). Gönüllü sadelik anlayışıyla günümüzün aşırı tüketim baskısı sonucunda ortaya çıkan yok edici, etik olmayan ve çevreye zarar veren yaşam tarzlarına karşı çıkmaktadır (Kraisornsuthasinee ve Swierezek, 2018: 81).

Son yıllarda özellikle artan tüketim karşıtlığının bir yansıması olan gönüllü sadelik ilk olarak 1977 yılında Elgin ve Mitchell tarafından yayınlanan bir makaleyle literatürdeki yerini almıştır. Elgin ve Mitchell (1977) ‘e göre gönüllü sadelik “Dışarıdan basit ve içten içe zengin olmak” tır. (Elgin ve Mitchell, 1977: 13). Çalışmada gerçekleştirilen saha araştırması sonucunda gönüllü sadelik ile ilgili olarak katılımcıların yaşam tarzında dikkat çeken beş kriterden bahsedilmiştir: Maddi sadelik, insancıl ölçek, öz belirleme, ekolojik farkındalık ve kişisel gelişim.

- Maddi sadelik, daha azla yetinerek bireyin yaşamını materyalistik açıdan sadeleştirmesini ifade etmektedir.
- İnsancıl ölçek, kalabalık şehirler, yüksek tavanlı binalar, kalabalık ortamlar gibi büyük her şeyden kaçınmak ve küçük olanın güzel olduğunu ifade etmektedir.
- Öz belirleme, kendi yolunu kendin belirleme ve bireyin kendi yaşamındaki kontrolün artmasını ifade etmektedir.
- Ekolojik farkındalık, çevreye karşı duyarlı olma, çevreye saygı gösterme ve onu koruma öğelerini içermektedir.
- Kişisel gelişim, bireyin tüketim kültürünün dışına çıkarak kendisi olma yolunda ilerlemesi, kendi yeteneklerini keşfetmesi ve beslemesi anlamına gelmektedir.

Maddi yetersizlik ya da yoksulluk gibi nedenlerden farklı olarak bireyin kendi isteğiyle daha az tüketerek yaşamdan tatmin alma duygusuna odaklı bir hareket olan gönüllü sadelik, “bireyin iç dünyasında zenginliği, dış dünyasında ise sadeliği savunarak tüketim toplumuna bir alternatif” oluşturmaktadır (Elgin, 2013: 70). Elgin (2013) makalesinde, bir seçimin gelecek çevresel tahribatın farkında olarak artan sürdürülemez tüketim devam etmek, bir diğer seçimin ise sürdürülemez tüketim toplumu gerçeğini ortaya koyarak alternatif çözümler ortaya koymak olduğunu ifade etmektedir. Ancak, kendisini tüketim toplumu olarak tanımlayan bir yapıda ve materyalizm paradigmasının baskısındaki tüketiciler için sadelik çabalarının oldukça zor olduğunun da altını çizmektedir (Elgin, 2013: 70).

4. SONUÇ

Eski çağ medeniyetlerinden günümüze kavramsal açıdan değişikliklere uğrayarak gelen kölelik kavramı günümüzde artık kayıt dışı ekonomi, ırka dayalı ayrımcılık, zorla çalıştırma, insan ticareti, borç köleliği gibi olgularla birlikte kullanılmaktadır. Modern kölelik ya da gönüllü kölelik olarak da ifade edilen günümüz kölelik anlayışı hem üretim hem tüketim bağlamında bağımlı bireylerden oluşan topluluklar meydana getirmektedir.

Dünden bugüne hızla artan sanayi üretimi toplumlarda bir yanda “emek” kesimini etkileyerek mülkiyet üzerinden gönüllü köleler oluştururken, diğer taraftan tüketici olan kesim için de bir nevi “tüketim köleliği”ne neden olmaktadır. Özellikle postmodern dönemle birlikte sembolik tüketim ve hedonik tüketim gibi eğilimlerin etkilediği, yaşam tarzlarıyla satın aldıkları ürünleri bağdaştıran ve bunun sonucunda marka bağımlısı haline gelen tüketiciler günümüzün tüketim köleleri olarak ifade edilmektedir. Adeta bir tüketim yarışındaki “gönüllü kölelerin” yol açtığı aşırı tüketim, bir yandan kaynak israfıyla gelecek nesilleri tehdit ederken diğer yandan günümüz insanına da vadettiği mutluluğu sağlayamamaktadır. Aradığı mutlu ve huzurlu yaşamı tüketimde bulamayan bireyler ise alternatif tüketim arayışlarıyla yaşam tarzlarını değiştirme yoluna gitmektedir.

Aşırı tüketimin karşısında “daha azı” savunan gönüllü sadelik hareketi gereksiz stres, tüketim, harcama ve isteklerin bertaraf edildiği bir yaşam tarzı seçimi olarak günümüz alternatif tüketim anlayışlarının başında gelmektedir. Paranın her şeyi satın alamayacağı görüşünden hareketle gönüllü sadeler sade yaşamın bireyin hobilerine ve çevresindeki insanlara daha fazla kaynak ve zaman ayıracağını düşünmektedir. Daha az tüketim ve

daha az harcamayla kendilerini pahalı ve lüks tüketim ürünlerinden uzaklaştırarak yalnızca ihtiyaçları olana odaklanmaktadır. Bu sayede kendilerini ya da statülerini satın aldıklarıyla ifade etmek için yoğunlaştırdıkları iş hayatından sıyrılarak hem daha az stresle kendi benliklerini korumuş hem daha az kaynak kullanımıyla çevresel zararları minimuma indirmiş olmaktadır.

Sonuç itibarıyla, gönüllü sadelik, maddi isteklerin en aza indirilmesi sayesinde finansal açıdan ve kariyerle ilgili olan stresin azalmasını, hızın karşısında yavaşı, yoğunluk yerine aile ve hobiler için daha fazla boş zamanı, yeşil tüketim olarak da ifade edilen yenilenebilir enerji kaynaklarının kullanımıyla çevresel zararların önlenmesine katkı sağlamaktadır. Her geçen gün daha fazla kişinin tercih ettiği bir tüketim tarzı olan gönüllü sadelik hareketiyle günümüzün aşırı tüketim sarmalı dışına çıkmaya çalışan birey kendi yaşamı üzerindeki kontrolü artırarak tüketim bağlamında “gönüllü köleliğini” de bir anlamda sona erdirebilmektedir.

KAYNAKÇA

- Allain, J. (2009). Book Review: Trafficking in Human Beings: Modern Slavery, 2008, *European Journal of International Law*, vol. 20, 453-457.
- Alexander, S. (2011). The Voluntary Simplicity Movement: Reimagining The Good Life Beyond Consumer Culture. *The International Journal of Environmental Cultural, Economic and Social Sustainability*. vol.7.1-18.
- Altunışık, R. (2007). *Yeni Tüketicinin Tüketime Yansıyan Farklılıkları*. Ö. Torlak., R. Altunışık, ve Ş. Özdemir, (Der.) Yeni Müşteri 113-160. İstanbul: Hayat.
- Azmy, B. (2002). Unshackling the Thirteenth Amendment: Modern Slavery and a reconstructed civil rights agenda. *Fordham Law Review*, 71, 981-1062.
- Babin, B. J., Darden W.R. ve Griffin, M. (1994). Work and/or Fun: Measuring hedonic and utilitarian shopping value. *Journal of Consumer Research*, 20(2), 644-656.
- Bales, K. (2002). *Küresel Ekonomide Yeni Kölelik*. İstanbul: Çitlembik.
- Crane, A. (2012) Modern Slavery As A Management Practice: Exploring The Conditions and Capabilities For Human Exploitation”, *Academy of Management Review*, 38(1), 2012/1, 1-53.
- De Geus, M. (2013). The transition to green lifestyles based on voluntary simplicity: the difficult road towards enjoyable, graceful and sustainable lifestyles. *Advances in Sustainability and Environmental Justice*, 13, 31–49.
- Elgin, D. ve Mitchell, A. (1977). Voluntary simplicity. *Co-Evolution Quarterly*, Summer, 1–31.
- Elgin, D. (2013). Voluntary Simplicity: A path to Sustainable Prosperity. *Social Change Review*, vol 11(1), 69-84.
- Firat, A. F. Dholakia, N. Ve Venkatesh, A. (1995). Marketing in a Postmodern World. *European Journal of Marketing*. 29(1). 1-18.
- Huneke, M. E. (2005). The face of the un-consumer: an empirical examination of the practice of voluntary simplicity in the United States. *Psychology & Marketing*, 22(7), 527–550.
- Illich, I. (2000). *Tüketim Köleliği*. Çeviren: (Çev. Mesut Karaşahan). İstanbul: Pınar.
- İslamoğlu, A. H. ve Altunışık, R. (2013). *Tüketici Davranışları*. İstanbul: Beta
- Kraisornsthasinee, S., ve Swierczek, F. W. (2018). Beyond consumption: the promising contribution of voluntary simplicity. *Social Responsibility Journal*, 14(1), 80–95.
- Odabaşı, Y. (1999). *Tüketim Kültürü*. İstanbul: Sistem
- Odabaşı, Y. (2012). *Postmodern Pazarlama*, İstanbul: Mediacat.
- Ransome, P. (2005). *Work, Consumption & Culture: Affluence and Social Change in the Twenty-First Century*, London: Sage Pub
- Satz, D. (2009). Voluntary Slavery and The Limits of the Market. *Law & Ethics of Human Rights*. January, 87-109.
- Solomon, M. R. (2002). *Consumer Behavior: Buying, Having and Being*, 5. Basım. Upper Saddle River: Pearson Education Inc.
- Solomon, M. R. (2003). *Tüketici Krallığının Fethi. Markalar Dışında Pazarlama Stratejileri*. (Çev. Selin Çetinkaya). İstanbul: Mediacat.
- Tahiroğlu, B. (2011). Osmanlı İmparatorluğunda Kölelik. *Journal of Istanbul University Law Faculty* 45, 649-676.
- Türk Dil Kurumu Sözlüğü (TDK), (2020). Erişim adresi: www.tdk.gov.tr, Erişim Tarihi: 24.08.2020.
- https://www.ilo.org/wcmsp5/groups/public/---dgreports/---dcomm/documents/publication/wcms_575479.pdf Erişim Tarihi: 16.08.2020.

Sağlık Sektöründe Ters Lojistik

Doç. Dr. Nevin AYDIN¹

¹ Artvin Çoruh Üniversitesi Hopa İktisadi ve İdari Bilimler Fakültesi İşletme Bölümü, nevin.aydin@gmail.com,
ORCID: 0000-0003-1949-2765

Özet: Sağlık Bakanlığı'nın tedarik zincirinde verimliliği sağlamak amacıyla her zaman ilaç bulunabilirliğini sağlamasına rağmen, depolarında önemli miktarlarda ilaç ve diğer tıbbi malzemelerin kullanım süresi bitmiş olabilir. Dolayısıyla, tahmin edilen zamanda tüketilemeyen ilaçlar stoklarda kalabilir. Kullanılmadan kalan ilaçlar, maliyet oluşturacağından tedarik zincirinde bir soruna yol açmaktadır. Bu çalışmada, atık yönetimi ve ters lojistik sürecinin sağlık ilaç tedarik zincirine ve devlet hastanelerine önemli finansal ve operasyonel avantajları olduğu sonucuna varılmıştır. Bu bağlamda, sağlık çalışanlarının devlet hastanelerindeki ilaçları düzgün bir şekilde yönetmelerine rehberlik edecek ters lojistik prosedürleri ve atık yönetimi ile ilgili politikaların derhal oluşturulması gereklidir.

Anahtar Kelimeler: Ters Lojistik, Tedarik Zinciri, İlaç Tüketimi

Reverse Logistics In Health Sector

Abstract Although the Ministry of Health always provides drug availability to ensure efficiency in the supply chain, significant amounts of medicines and other medical supplies may have expired in their warehouses. As a result, the drugs that cannot be consumed at the estimated time may remain in stock. Since the unused drugs can create additional costs, they can cause problem in the supply chain. In this study, it is concluded that waste management and reverse logistics process has important financial and operational advantages to the healthcare drug supply chain and public hospitals. In this context, it is necessary to quickly establish reverse logistics procedures and waste management policies to guide healthcare professionals to properly manage drugs in public hospitals.

Key Words: Reverse Logistics, Supply Chain, Drug Consumption

1. GİRİŞ

Hastanelerin ihtiyaç duymadıkları malları iade etmeleri gerektiğinde ters lojistik gereklidir. Bunun nedeni, siparişin yanlış olması, çok fazla almaları, sürelerinin dolması veya siparişe ihtiyaç duymamaları olabilir. Dolayısıyla, teslimatın tedarikçiden veya departmandan alındığı bölüme veya tüm yollardan iade edilmesi gerekmektedir.

İlaç şirketleri içinde, tedarik zincirini yöneten lojistiği kullanarak hemşirelik birimlerine sıklıkla toplu sevkiyatlar gönderirler. Ancak bazen sipariş geldiğinde hasta artık onlara ihtiyaç duymayabilir, farklı bir departmana taşınmış veya taburcu edilmiş olabilir. Bu öğelerin daha sonra konularına ve sisteme geri gönderilmeleri gerekir.

Sağlık kurumlarında bilişim tedavi süreçlerinin iyileştirilmesi, bilginin yayılması ve aktarılması, hizmetlere değer katılması ve karar verme sürecini daha çevik, etkili ve tutarlı hale getirmektir (Taraboulsi, 2009).

Hastanelerin ilaçların bütünlüğüne göre uygulanması gereken "Yeniden Kullan", "Geri Dönüşüm" ve "Bertaraf" olmak üzere üç ana ters lojistik faaliyeti vardır. Ayrıca, tersine lojistiğin farmasötik endüstrisinde ekonomik, çevresel ve düzenleyici bakış açısından ne kadar önemli olduğu tartışılmaktadır. Bazı önemli hususlar şunlardır: iade edilen malların güvenliği; otomasyon yardımı ile maliyeti düşük tutmak; müşteriden elden çıkarma işleminin son aşamasına kadar olan malların izlenebilirliğidir (Abbas ve Farooque, 2013: 59).

Hastane ortamında üretilen tüm atıkların, hastane personelinin, hastaların ve kamu görevlilerinin güvenliğini sağlamak için uygun şekilde yönetilmesini ve bertaraf edilmesini sağlaması hastane yönetiminin sorumluluğunda olduğuna dikkat çekmektedir (Jonathan ve Voulvoulis, 2005: 1705).

Sağlık kurumlarında bilişim tedavi süreçlerinin iyileştirilmesi, bilginin yayılması ve aktarılması, hizmetlere değer katılması ve karar verme sürecini daha çevik, etkili ve tutarlı hale getirmek önemlidir (Taraboulsi, 2009).

Hastane binaları günde 24 saat, haftada yedi gün, yılda 365 gün çalışıyor olduğundan büyük tüketim yapmaktadırlar (Zioni, 2015).

İlaç satan ilaç firmaları ve perakendeciler, süresi dolan ürünleri raflardan çıkarmaya ve bunun için ters lojistiğe sahip olmayı taahhüt ederler. Sağlık Dağıtım Yönetimi Derneği'ne göre, ilaç depolarından çıkan tıbbi ürünlerin yaklaşık % 3-4'ü bertaraf veya yeniden dağıtım için geri dönüş olarak geri dönmektedir.

Lojistik söz konusu olduğunda, sağlık tedarik zinciri genellikle ilk olarak diğer sektörlerde yapılan ilerlemelerden yararlanır. Örneğin, ticari sektörde perakende iadelerini ve ters lojistiği yönetmek için geliştirilen birçok heyecan verici çözüm, sağlık ürünleri için büyük başarıyla uygulanmaktadır.

Endüstrinin, kullanıcıların sipariş ayrıntılarını göndermesine ve önceden taranmış bir sürücü veri tabanı ile eşleştirilmesine olanak tanıyan uygulama tabanlı modeller, mobil nakliye komisyonculuğu ve kitle kaynaklı çözümleri benimsemesi bekleniyor. İade edilen sağlık ürünlerinin kendi nakliye modlarında taşınması için isteğe bağlı gıda dağıtımını veya ürünlerin perakendecilere iadesini kullanan aynı kitle kaynaklı çözümler uygulanabilir. Sağlık hizmeti sağlayıcıları da artık ürün iadeleriyle ilgili en uygun kullanıcı deneyimini talep etmektedirler (FedEx HealthCare Solutions Knowledge Center, 2020).

2. TEDARİK ZİNCİRİ ve TERS LOJİSTİK

Tedarik zincirindeki daha ilginç ve önemli trendlerden biri, tersine lojistiğin stratejik öneminin farkındalığıdır (Retzlaff-Roberts ve Frolick, 1996: 31). Bu ters lojistik operasyonlar, “yeşil” olarak adlandırılan faaliyetlerden çeşitli faaliyetleri desteklemektedir. Lojistik, arzın çevresel etkisini azaltma çabaları, ürün iadeleri, onarımları ve yenilemedir. (Daugherty vd., 2011: 107)

Tedarik zinciri, bir müşterinin ihtiyaçlarını karşılamak için bir araya gelen tüm doğrudan ve dolaylı tarafları açıklar (Chopra ve Meindl, 2007). Yönetim, tedarik zincirinin herhangi bir yerindeki süreçteki aksaklığın kuruluşun işleyişini ve kârlılığını etkileyebileceğini bilir. Malzemelerin tekrar kullanılması tedarik zincirlerinde yaygın bir uygulamadır. Fakat, geriye veya geriye doğru tedarik zinciri uzun zamandır bazı şirketler tarafından göz ardı edilmektedir. Bu tür ters tedarik zincirine ters lojistik denir. Başlangıçta tersine lojistik, müşterinin sonundan kaynağa doğru etkili ve verimli malzeme akışını planlayarak, uygulayarak ve kontrol ederek değeri yeniden yakalama süreci olarak tanımlanır (Murphy ve Poist, 1988: 177; Kroon ve Vrijens, 1995: 56). Bazı yazarlar tarafından, geri dönüşüm, atık bertarafı ve malzeme azaltımı yoluyla çevresel olarak verimli olma süreci olarak tanımlanır (Stock, 1998; Carter ve Ellram, 1998: 85; Giuntini ve Andel, T. 1995: 73). Tersine lojistik daha yakın zamanda çeşitli endüstriler ve disiplinlerdeki varlıkların yönetimi olarak tanımlanmaktadır. Bu sadece iade sürecine değil, aynı zamanda sipariş karşılama, müşteri hizmetleri, parça yönetimi ve kullanım ömrü sonu imalat gibi diğer alanlara da odaklanmaktadır (Pinna ve Carrus, 2012: 91).

Şirketlerin çevreyi korudukları ve tedarik zincirlerinin çevresel etkilerini en aza indirdikleri takdirde kendileriyle gurur duyduklarını vurgulamaktadır. Ayrıca kurumsal imajı, ters lojistiğin uygulanmasının en önemli nedenlerinden biri olarak belirtilen rekabetçi nedenler olarak görmeyi vurgulamaktadırlar (Khan ve Subzwari, 2009: 27).

Ters lojistik çevre üzerindeki olumsuz etkilerin azaltılması talebi, üretici ters akıştan sorumlu olduğu için ve daha önce tamamlamış olan ürünlerin toplanması yaşam döngüsü, onlara doğru bir varış noktası sağlar (Ravi ve Shankar, 2005: 1011; Sharma vd., 2011: 101; Agrawal vd., 2015: 76).

Tersine lojistik, yeniden kullanım, değer yakalama veya uygun bertaraf gibi şeyler için malları tipik nihai varış noktalarının ötesine taşıma süreci olarak tanımlanır. Tedarik zinciri ağlarında, malzemeler tedarikçiden son müşteriye akar. Tedarik zinciri yöneticileri zamanında teslimat (OTD) metriğini kullanarak bu akışın etkinliğini ölçer. Son müşteriye teslimatın, müşteri siparişini yerine getirdiği andan itibaren hızlı ve verimli olmasını sağlamaya odaklanan yaygın bir tedarik zinciri ölçümüdür. Ancak, ürün son müşteriye ulaştığında tedarik zincirinin misyonu sona ermez. Müşterilerin ürünleri iade etmesinin birçok nedeni vardır (Niroomand, 2017):

- Müşteri yanlış ürünü satın almıştır
- Ürün varışta hasar görmüştür
- Ürün açıklamasına uygun değildir
- Müşteri artık ürünü istemiyordur

Bu durumlarda, iade edilen ürünün sevkiyatını organize etmeniz ve test etme, sökme, onarma, geri dönüştürme veya atma gibi çeşitli işlemlerle göndermeniz gerekir. Tüm bu işlemler, ürünün tedarik zinciri ağınızdan geriye doğru gitmesini gerektirir. Ters lojistiğin uygulanmasının birçok avantajı vardır ve faydalar sadece müşterilere

değil, üreticilere de uzanır. Kullanım ömrü sona eren ürünler için ters lojistik, onarım, yeniden şekillendirme veya geri dönüşüm yoluyla kullanımlarını genişletir. Üreticiler için bir tür varlık geri kazanımı görevi görebilir, böylece üründen mümkün olduğunca fazla değer elde edebilir ve ikinci bir yatırım getirisi sağlayabilir. Tersine lojistik de, atılan ürünlerin düzenli depolama alanına girmemesini sağlamak için vergi kredisi ve kamuoyunun olumlu ilgisini çekecek şirketler için çevresel bir yararı vardır. Tersine lojistik için belki de en önemli neden, şirketlerin malzeme maliyetlerini azaltarak görebileceği kâr artışıdır. E-ticaret çağının gelişile ters lojistik daha da önemli hale geldi. Son yıllarda, fiziksel perakendecilerin yerini 2018 yılına kadar satışlarının 414 milyon dolara ulaşacağı tahmin edilen çevrimiçi satıcılar aldı. Çevrimiçi perakendecilikte, sipariş edilen tüm ürünlerin en az % 30'u iade edilir. Geri dönüş hacmindeki bu hızlı büyüme, ters lojistik konusunda büyük belirsizliklere neden olmaktadır ve ürün iadelerini başarılı bir şekilde yönetmek ve uygulamak için tedarik zincirleri üzerinde baskı oluşturmaktadır. Bu nedenle, ters lojistik dikkatlice planlanmalı ve geliştirilmelidir. Tedarik zincirindeki ters akışı izlemek için kullanabileceğiniz metrikler vardır (Niroomand, 2017):

- geri dönüş hacmi
- iade edilen ürünün türü / durumu
- dolar değeri
- satışların yüzdesi

3. BLOCKCHAIN ve TEDARİK ZİNCİRİNDEKİ YERİ

Blockchain teknolojisinin, ürünlerin ömrünün sonunda, nesnelerin İnternetine bağlı cihazlar aracılığıyla izlenmesi için büyük etkileri vardır. Ters lojistiğin bir parçası olan blockchain teknolojisi, aşırı ve düşük siparişleri azaltmak, yedek parçaların tamir edilen ürünlerle uyumluluğunu sağlamak için kullanılabilir. Bu, küçük ürünlerle sınırlı değildir ve otomotiv endüstrisi gibi ekonominin büyük sektörlerindeki içerir. Blockchain teknolojisi, ters lojistikteki bilgilerden gelen akışı artırabilir. Teknolojinin, özellikle gıda ve ilaç sektöründe, ürün geri çağırma işlemlerini gerçekleştirme gibi etkileri de vardır. Lojistik endüstrisi birçok parti içerir: üreticiler, müşteriler, tedarikçiler, denetçiler, vb. Blockchain teknolojisi bu zincirdeki herkes için faydalar sunar. Müşterilerin ürünü izlemesini ve tüm ürün üretim zincirini izlemesini sağlar. Denetçiler herhangi bir işlemi kolayca doğrulayabilir ve kontrol edebilir. Blockchain'de depolanan bilgiler değiştirilemez, bu da bu teknolojiyi mevcut herhangi bir çözümden daha güvenli hale getirir (Robinson, 2020).

Blockchain'in ilaç tedarik zincirindeki uygulamaları, ilaç ve tıbbi cihazlarla bakım ve tedavi kalitesini önemli ölçüde artıracaktır. İlaç tedarik zincirindeki blockchain, ilaçların başarısını ve doğrulanabilirliğini önemli ölçüde etkileyebilir. Diğer endüstrilerin aksine, farmasötikler yoğun düzenlemeye tabidir. İlaç tedarik zincirinde uygun sıcaklıkların veya izlenebilirliğin sağlanamaması, hastaları ve aile üyelerini doğrudan etkileyen feci sonuçlar doğurabilir. İlaç tedarik zincirine Blockchain eklemek hayat kurtarabilir (ShipChain, 2019):

3.1. İlaç Tedarik Zincirindeki Blockchain, İade Edilen İlaçların Gerçekliğini Doğrular

Ürün yükümlülüğünün ve gözetim zincirinin doğrulanması, blok zincirinin ilaç tedarik zincirindeki en kritik uygulamalarından biridir. Daha da kritik olan, ters lojistik farmasötik tedarik zincirindeki ilaçların gerçekliği ve doğrulanması, trajedinin önlenmesi için gereklidir. İlaçlar, aşırı stoktan veya satılmayan stoğu doğrudan diğer alanlarda kullanılmak üzere iade etme ihtiyacından dolayı sıklıkla ilaç üreticilerine iade edilir. Tüm ilaçların yaklaşık % 3'ü üreticilere iade edilir. Bu ilaçların izlenmesi, sağlık hizmetlerinin yükünü kontrol altında tutmakla eşdeğerdir.

3.2. Blockchain, Sahte İlaçların ve Tıbbi Cihazların Şüpheli Alımlarını Önler

Farmasötikler ile ilgili bir başka konu, sahte ilaçların ve tıbbi cihazların yaygınlığı etrafında dönmektedir. İlaç tedarik zincirlerinin sahte ilaçlar nedeniyle yıllık 200 milyar doların üzerinde küresel bir kayıp yaşanmaktadır. İlaç tedarik zincirindeki blockchain, sahte ilaçların ve tıbbi cihazların satın alınmasını azaltabilir. Dolayısıyla hasarları azaltabilir ve hayat kurtarabilir.

3.3. Blockchain Daha İyi Envanter Yönetimi Sağlar ve Sona Erme Riskini Azaltır

Blockchain'in ilaç tedarik zincirindeki son uygulamalarından biri envanter yönetimine odaklanmaktadır. İlaçların etkili envanter yönetimi, süresi dolmuş veya geri çağırılan ilaçların uygulanmasını önlemek için çok önemlidir. Genellikle eczaneler potansiyel geri çağırılmaları izole etmek ve hastalar için riski azaltmak için envanter yönetimi stratejilerini aktif olarak gözden geçirmektedir.

4. TERSİNE LOJİSTİK AVANTAJLARI

- Malzemelerin üretim süreçlerinde yeniden kullanılması, işlenmemiş hammaddelerin kötüye kullanılmasını önlemeye yardımcı olur ve daha az güç gerektirir. Bu uygulama bir bütün olarak topluma doğrudan fayda sağlayacaktır.
- Kurumsal imajı ve müşteri memnuniyetini artırır. Tersine lojistik kullanan işletmeler için önemli rekabet avantajları vardır. Giderek daha fazla müşteri çevre sorunlarına kendini adanmış şirketlerle iş yapmakla ilgilenmektedir.
- Reddedilen öğelerin parasal değerini telafi etmek yeni iş fırsatları yaratabilir. Satış noktaları, geçen sezonun ürünlerini veya küçük kusurları olanları normal fiyatlardan daha düşük fiyata satmak konusunda uzmanlaşmış bir örnektir.
- Stok kontrolü, ters lojistik, eski ürünlerin muhafazasını durduran ve olası hataları en aza indiren daha iyi stok organizasyonu anlamına gelir.
- Tüm bu avantajlar, benzer şekilde maliyetleri düşürme ve geliri artırma üzerinde olumlu bir etkiye sahiptir.
- Tersine lojistik iş dünyasında daha önemli hale gelmektedir. Bu uygulamalar daha temiz bir çevreye katkıda bulunsa da, kurtarılmış ürünlerden tasarruf sağlamak karlı bir iş fırsatıdır. Her durumda, şirketler, kendileri için çalışan bir getiri yönetimi çözümü bulmak için ihtiyaç ve hedefler üzerine derinlemesine bir çalışma yapmalıdır (Mecalux, 2018).

5. SAĞLIK ÜRÜNLERİ İÇİN TERS LOJİSTİK SÜRECİNİ YÖNETMEK

Sağlık ürünleri şirketlerinin getirilerini yönetme biçimlerinin depolama ve dağıtım ağları üzerinde önemli bir etkisi olacaktır. Ters ve iadeler süreci, üretici, bir distribütör veya bir üçüncü taraf lojistik (3PL) firması tarafından şirket içinde kolaylaştırılabilir. Satışlardaki artışlar, mevsimsel eğilimler, yeni ürün lansmanları ve büyük geri çağırma işlemlerinin tümü arka uçta ters lojistik üzerinde etkili olabilir ve şirketleri uygulamalarını veya pazar tabanlı platformlar gibi yenilikçi araçları keşfetmeye yönlendirerek getirilerini yönetebilir. Bulut tabanlı bir sistem kullanarak, tüm paydaşlar verimli bir uçtan uca iade sürecini kolaylaştırmak için tek bir platform altında bağlanabilir. Aynı zamanda, imalatçılar servis depoları yerine ürün değiştirme stratejileri uyguladıkça, sağlık ürünleri için iade süreleri azalmaktadır. Üreticiler ayrıca merkezi tesislerde konsolidasyona doğru bir hamle ile iade yönetimine ve parçalarına ayrılmış depo alanlarını birleştiriyorlar.

Sağlık ürünleri için ters lojistik sürecini yönetmek, kısmen ürünlerin daha geniş ve eşit olmayan bir coğrafi dağılımını yönetme ihtiyacı nedeniyle son derece pahalıdır. Üreticiler ve distribütörler genellikle, giden gönderileri bir araya getirerek kontrol ettikleri ölçek ekonomilerinden yoksun oldukları için verimsiz taşımacılık konusunda zorluklarla karşılaşır. Üreticilerin kullandığı bir strateji, iade yönetimi konusunda uzmanlaşmış 3PL firmalarıyla işbirliği yapmaktır. Sektör, 3PL'ler ve niş ters lojistik sağlayıcıları arasında artan sayıda ortaklık ve satın alma ön görüyor. Bu sağlayıcıların dağıtabileceği benzersiz varlıklar ve coğrafi erişim, getiri tedarik zincirine esneklik katabilir ve maliyetleri artırabilir.

Sağlık ürünleri endüstrisi, müşterilerinin geri dönüş süreçlerini yönetmek için kontrol kuleleri işleten 3PL'lere artan dış kaynak kullanımını bekleyebilir ve üreticileri ürün geliştirme ve ticarileştirmenin temel yeterliliklerine odaklanmak için serbest bırakır. İdeal 3PL sağlayıcısı, çözüm talep etmek için müşteri yönetiminin tüm aşamalarını ve ilk müşteri katılımından geri lojistikleri yönetebilir. Tüm süreci merkezi sorumluluklar ve kanıtlanmış protokollerle uzmanlaşmış bir tedarikçiye dış kaynak kullanarak üreticiler daha iyi müşteri memnuniyeti, daha hızlı çözüm süreleri ve daha düşük toplam maliyetler görmeyi bekleyebilir. Bu iade uzmanlarının, iade durumu, teslim süresi, konum ve iş ortağı performansı hakkında gerçek zamanlı görünürlük sağlaması gerekir. İdeal olarak, bu şirketler tahsis edilmiş işleri incelemek, verileri yönetmek, zaman yakalamak ve talepler göndermek için web tabanlı portalları desteklemelidir (FedEx HealthCare Solutions Knowledge Center, 2020).

6. SAĞLIK ÜRÜNLERİ İÇİN TERS LOJİSTİĞİ YÖNETMEDEKİ ZORLUKLAR

Satılan tıbbi cihazların, ilaçların ve diğer sağlık ürünlerinin önemli bir kısmı iade edilir. İade edilen ürünün nedenleri arasında hasar, son kullanma tarihi, geri çağırma, konsinye stok envanterinin yönetimi veya

kullanım ömrü sonunda yenileme ve tasfiye sayılabilir. Çoğu tıbbi cihaz tersine lojistik servis ve onarım ile ilişkilidir, imha için süresi dolmuş ürünün toplanması ilaç iadeleri için önde gelen itici güçtür. İlaçlar için iade yönetimi, süresi dolmuş ilaçların yeniden satılmasını veya yasadışı kullanımını veya potansiyel rakipler tarafından tersine mühendislik yapılmasını önlemek için son derece titizdir. Üreticiler ve düzenleyiciler ayrıca, düzenli olarak depolama alanlarına veya su sistemine konabilecek, süresi dolmuş veya kullanılmayan ilaçların çevresel etkilerini azaltmaya daha fazla ilgi duymaktadır.

Üreticiler, geri dönüştürülebilir bileşenlere ve malzemelere daha fazla önem veren ve her ürünün yaşam döngüsüne tahmin edilebilir bir şekilde geri dönüş yönetimi sağlayan tıbbi cihazların tasarımına giderek daha fazla ilgi duymaktadır. Bazı tıbbi cihazlar için özellikle değerli metaller, kurtarılabilecek bileşenler veya karbon kredisi ile alınıp satılabilecek malzemeler için, etkili iade yönetimi, üreticiler ve diğer üçüncü taraflar için yeni pazar sonrası maliyet tasarruflarına ve gelir fırsatlarına yol açabilir (FedEx HealthCare Solutions Knowledge Center, 2020).

7. SONUÇ

Genellikle ters lojistik olarak adlandırılan varlık taşınması, bugünün pazarında yeni bir önem arz etmekte, rekabet gücü ve karlılıkta ayrılmaz bir rol oynamaktadır. Varlık yer değiştirme planının oluşturulmasından, ürünlerin tedarik zinciri aracılığıyla yönetilmesine, paketlenmesine ve taşınmasına kadar, varlıkları tersine yönetirken göz önünde bulundurulması gereken birçok eğilim, sınıfının en iyisi stratejileri ve zorlukları vardır (Gibson, 2012).

Türkiye hastane eczaneleri ve ilaç tedariki için ters lojistik hala çok erken bir aşamadır. Türkiye hastane eczanelerinde ilaç tedariki için uygulamalarının uygulanması ve sosyoekonomik, klinik-farmakolojik ihtiyaçlar ve yasal faktörler gibi ters lojistik aktivitelerini etkileyen faktörler ele alınmıştır. Sağlık sektörü ve hastane eczanelerinin, ilaç tedariki için ters lojistik süreçlerinin uygulanmasının ekonomik, sosyal ve yasal nedenleriyle ilgili olmaktadır. Sağlık ürünleri pazarı dünya çapında büyümeye devam ettikçe, bu ürünlerin tüm yaşam döngüsünü desteklemek için iade yönetimi talebi de artacaktır. Tersine lojistik geleceğin nasıl gelişeceği, müşteri ihtiyaçlarını karşılamak için veri analizi ve bilişsel çözümlerin nasıl uygulandığına bağlı olacaktır (FedEx HealthCare Solutions Knowledge Center, 2020).

KAYNAKÇA

- Abbas, H., and Farooque, J. A. (2013). Return and Disposal of Unused Medicines; A Customer Perspective of Reverse Logistics, *International Journal of Business and Management Invention*, vol 2, issue 11, pp. 59-66.
- Agrawal, S., Singh, R. K. and Murtaza, Q. (2015). A literature review and perspectives in reverse logistics, *Resources, Conservation and Recycling*, vol. 97, pp. 76-92, DOI: <https://doi.org/10.1016/j.resconrec.2015.02.009>.
- Carter, C. R. and Ellram, L. M. (1998). Reverse Logistics: A Review of the Literature and Framework for Future Investigation, *Journal of Business Logistics*, vol. 19, issue 1, pp. 85-102.
- Chopra, S. and Meindl, P. (2007.) *Supply chain management: strategy, planning, and operation*. 3rd edition, Upper Saddle River: Pearson Prentice Hall.
- Daugherty, P. J., Autry, C.W., and Ellinger, A. E. (2001). Reverse logistics: the relationship between resource commitment and program performance, *Journal of Business Logistics*, vol. 22, issue 1, pp. 107-123, DOI: <https://doi.org/10.1002/j.2158-1592.2001.tb00162.x>
- FedEx HealthCare Solutions Knowledge Center (2020). How Reverse Logistics Can Increase Customer Satisfaction, <https://www.fedex.com/en-us/healthcare/knowledge-center/solutions/how-reverse-logistics-can-increase-customer-satisfaction.html>, Erişim Tarihi: 9 Temmuz, 2020.
- Gibson, D. (2012). Business Trends in Shipping Logistics for Medical Equipment, Available from: <https://www.mddionline.com/business-trends-shipping-logistics-medical-equipment>, Erişim Tarihi: 9 Temmuz, 2020.
- Giuntini, R. and Andel, T. (1995). Advance with Reverse logistics: Part 1, *Transportation and Distribution*, vol. 36, issue 2, pp. 73-77.
- Jonathan, P., B. and Voulvoulis, N. (2005). Household Disposal of Pharmaceuticals as a Pathway for Aquatic Contamination in the United Kingdom, *Journal of Environmental Health Perspectives*, vol. 113, issue 12, pp 1705-1711, DOI: <https://doi.org/10.1289/ehp.8315>.
- Khan, A. and Subzwari, M. (2009). Reverse Logistics In Pakistan's Pharmaceutical Sector, *South Asian Journal of Management Sciences*, vol 3, no. 1, pp. 27-36.
- Kroon, L. and Vrijens, G. (1995). Returnable Containers: an Example of Reverse Logistics, *International Journal of Physical Distribution and Logistics Management*, vol. 25, issue 2, pp. 56-68, DOI: <https://doi.org/10.1108/09600039510083934>.

- Mecalux (2018). What is reverse logistics?, Available from: <https://www.mecalux.com/logistics-articles/reverse-logistics>, Erişim Tarihi: 9 Temmuz, 2020.
- Murphy, P. R. and Poist, R. P. (1988). Management of Logistical Retromovements: An Empirical Analysis of Literature Suggestions, *Transportation Research Forum*, vol. 29, issue 1, pp. 177-184.
- Niroomand, I. (2017). The importance of reverse logistics in your supply chain network, Available from: <https://www.kinaxis.com/en/blog/importance-reverse-logistics-supply-chain-network>, Erişim Tarihi: 9 Temmuz, 2020.
- Pinna, R. and Carrus, P. P. (2012). Reverse Logistics and the role of fourth party logistics providers, *Pathways to Supply Chain Excellence*, Dr. Ales Groznik (Ed.), ISBN: 978-953-51-0367-7, pp. 91-114, InTech.
- Ravi, V. and Shankar, R. (2005). Analysis of interactions among the barriers of reverse logistics, *Technological Forecasting & Social Change*, vol. 72, issue 8, pp. 1011-1029, DOI: <https://doi.org/10.1016/j.techfore.2004.07.002>.
- Retzlaff-Roberts, D.L. and M.N. Frolick (1996). Reducing cycle time in reverse logistics, *Cycle time research*, pp. 31-42.
- Robinson, A. (2020). Blockchain Technology in Logistics: What Are the Implementation Challenges?, Available from: <https://cerasis.com/blockchain/>, Erişim Tarihi: 9 Temmuz, 2020.
- Sharma, S. K., Panda, B. N., Mahapatra, S. S. and Sahu, S. (2011). Analysis of barriers for reverse logistics: an Indian perspective, *International Journal of Modeling and Optimization*, vol. 1, no. 2, pp. 101-106.
- ShipChain (2019). Blockchain and its Implications for the Pharmaceutical Supply Chain, Available from: <https://blog.shipchain.io/blockchain-in-the-pharma-supply-chain/>, Erişim Tarihi: 9 Temmuz, 2020.
- Stock, J. R. (1998). Development and Implementation of Reverse Logistics Programs, Council of Logistics Management.
- Taraboulsi, F. A. (2009). *Hospitality Administration*, 4 ed., Atlas, São Paulo, SP.
- Zioni, E. (2015). The importance of water in healthcare buildings, Available from: <https://www.gbcbrasil.org.br/a-importancia-da-agua-nas-edificacoes-de-assistencia-a-saude/>, Erişim Tarihi: 9 Temmuz, 2020.

Sağlık Sektöründe Nesnelerin İnterneti Ve Büyük Veri

Doç. Dr. Nevin AYDIN¹

¹ Artvin Çoruh Üniversitesi Hopa İktisadi ve İdari Bilimler Fakültesi İşletme Bölümü, nevin.aydin@gmail.com, ORCID: 0000-0003-1949-2765

Özet: Sağlık süreçlerini sürekli olarak izleyen nesnelerin interneti hastalığı kontrol altında tutmakta etkindir. İnternetin ve akıllı telefonların insan yaşamında yer almasıyla birçok hasta çeşitli sağlık ihtiyaçlarını yönetmek için mobil uygulamalar kullanmaya başlamıştır. Bu cihazlar ve mobil uygulamalar tıbbi Nesnelerin İnterneti (mIoT) aracılığıyla teletıp ve tele sağlık ile giderek daha fazla kullanılıyor ve entegre edilebiliyorlar. Giyilebilir cihazlar ve mobil uygulamalar bugün fitness, sağlık eğitimi, ve hastalık yönetimini desteklemektedir. Büyük veri analizinden elde edilen bilgiler, iş süreçlerini ve sağlık platformlarında gerçek zamanlı karar almayı sağlayacaktır. Bu çalışmada sağlık alanlarındaki mIoT ve büyük veri ele alınmıştır.

Anahtar Kelimeler: Nesnelerin İnterneti, Büyük Veri, Tıp teknolojisi

Internet Of Things And Big Data In The Healthcare Industry

Abstract: The Internet of Things that constantly monitor health processes is effective in keeping the disease under control. With the Internet and smartphones taking place in human life, many patients have started using mobile applications to manage their various health needs. These devices and mobile applications are increasingly used and integrated with telemedicine and telehealth through the Internet of Medical Objects (mIoT). Wearable devices and mobile apps today support fitness, health education, and disease management. The information coming from big data analysis will enable business processes and real-time decision-making on health platforms. In this study, mIoT and big data in health fields are discussed.

Key Words: Internet of Things, Big Data, Medical technology

1. GİRİŞ

Nesnelerin İnterneti terimi, MIT'deki Auto-ID Center'in kurucularından girişimci Kevin Ashton tarafından ortaya çıkarıldı. Ashton, nesnelere bir RFID etiketi aracılığıyla internete nasıl bağlayacağını keşfeden bir ekibin parçasıydı. 1999 tarihli bir sunumda ilk olarak "Nesnelerin İnterneti" ifadesini kullandı. IoT'ye beslenen diğer teknolojiler, radyo ses iletimleri, kablosuz (WiFi) teknolojiler ve denetleyici kontrol ve veri toplama (SCADA) yazılımıdır.

Bugün, insanlardan daha çok IoT bağlantılı cihazların bulunduğu bir dünyada yaşıyoruz. IoT bağlantılı bu cihazlar ve makineler, akıllı saatler gibi giyilebilir cihazlardan RFID envanter izleme çiplerine kadar çeşitlilik gösteriyor. IoT bağlantılı cihazlar, Nesnelerin İnterneti'ne bağlı ağlar veya bulut tabanlı platformlar aracılığıyla iletişim kurar. Nesnelerin İnterneti sağlık ve güvenlik, iş operasyonları, endüstriyel performans ve küresel çevre için birçok olumlu etkiler yaratıyor.

Günümüzde hastalar daha kişiselleştirilmiş etkileşimlerin yanı sıra etkili ve uygun maliyetli özelleştirilmiş tedaviler beklemektedir. Sağlık sistemleri, sosyal medya, giyilebilir cihazlar ve tıbbi cihazlar (Tıbbi Nesnelerin İnterneti veya IoMT olarak bilinir) dahil olmak üzere zengin yeni veri kaynaklarına sahiptir. Sağlık endüstrisinin sayısallaştırılması hastalardan klinik altyapıya teslimatı dönüştürmek, maliyet, kalite ve erişim zorluklarını karşılamak için benzeri görülmemiş fırsatlar sunar.

IoT, acil durumlarda ambulans veya evden güncel hasta bilgilerini bulup yükler. IoT sağlık cihazları tıbbi personel ve üreticilerle iletişim kurar. IoT ve giyilebilir cihazlar ev hastalarının veya yaşlıların sağlık kuruluşuyla doğrudan iletişim kurmalarına destek verir. IoT ile bir hasta gözlemlenebilir ve uzaktan tedavi edilebilir.

2. NESNELERİN İNTERNETİ

Nesnelerin İnterneti (IoT), hayatımızı kolaylaştırmak için internet üzerinden elektronik cihazlar ve sensörler arasındaki iletişimi sağlayan yeni bir paradigmadır. IoT, dünyadaki çeşitli iş, devlet ve kamu / özel sektörlerle ilgili çeşitli zorluklara ve sorunlara yenilikçi çözümler bulmak için akıllı cihazlar ve internet kullanıyorlar (Sfar vd., 2017:101).

Nesnelerin İnterneti terimi genellikle ağ bağlantısının ve hesaplama yeteneğinin, normalde bilgisayar olarak düşünülmeyen nesnelere, sensörlere ve günlük öğelere kadar uzandığı ve bu cihazların en az insan müdahalesi ile veri üretmesine, alışverişine ve tüketmesine izin veren senaryoları ifade eder (Internet Society, 2015).

IoT'nin kullanım alanlarından biri Akıllı Sağlık Algılama sistemidir (SHSS). SHSS, insan sağlığını desteklemek için küçük akıllı ekipman ve cihazlar içerir. Bu cihazlar, farklı sağlık sorunlarını ve kondisyon düzeyini veya fitness merkezinde yakılan kalori miktarını kontrol etmek ve izlemek için hem iç hem de dış mekanlarda kullanılabilir. Ayrıca, hastanelerde ve travma merkezlerindeki kritik sağlık koşullarını izlemek için kullanılır. Bu nedenle, yüksek teknoloji ve akıllı cihazlarla kolaylaştırılarak tıbbi alanın tüm senaryosunu değiştirmiştir (Sfar vd., 2018:118; Minoli vd., 2017:1006).

Nesnelerin İnterneti (IoT), bir sonraki teknolojik devrim ve hayatımız boyunca göreceğimiz en potansiyel olarak yıkıcı olacak ve sadece World Wide Web ve evrensel mobil bağlantı tarafından aşılacak bir devrim olarak lanse edilecektir (Feki vd., 2013:24). IoT'nin yükselişinde giyilebilir bilgisayar ve elektronik teknolojilerinde de gelişmelerini görüyoruz. Bu ürünler, akıllı gözlükler (örn. Google Glass, Microsoft HoloLens), akıllı saatler (örn. Apple Watch) gibi tüketici düzeyinde cihazlarla kitle pazarında giderek daha fazla kullanılabilir hale geliyorlar. Akıllı kıyafetler, spor bantları, etkinlik izleyicileri (örn. Fitbit, Nike, FuelBand) ve başa takılan kameralar (örneğin, GoPro). Bu teknolojiler ve cihazlar, insan, davranışını ve etkileşimlerini daha akıllı alması güçlü yollarla artırabilirler (Spicer ve Cederström, 2015).

3. SAĞLIK VE IOT CİHAZLARI

Kişiler kalp atış hızı, uyku kalitesi ve miktarı, egzersiz gücü seviyesi gibi bu ayrıntılara yakından dikkat eder ve giyilebilir cihazları kullanarak sağlıklarını güçlü bir şekilde yönetir.

Sağlık sorunları yaşayan insanlar; seviye hidrasyonu, kan şekeri, kan oksijenasyonu, akciğer kapasitesi, ruh hali değişimleri, vücut kitlesi ve ayrıca kılcal kan akışını izlemek ve raporlamak için sofistike izleme cihazlarını kullanır.

Sağlık hizmetlerindeki gelişmelere erişim, daha fazla bireyin günlük faaliyetleri uygun şekilde takip etmesini sağlar. Ayrıca, sağlık konularınızı hastaneye gitmek yerine evinizden kontrol edebilirsiniz. Artık IoT cihazları ve diğer akıllı teknolojileri kullanarak yaşam kalitenizi artırabilirsiniz.

Sadece kişiler değil, aynı zamanda sağlık hizmeti sağlayıcıları da bu cihazlarla profesyonel olarak sağlık hizmeti sunabilir. Hastanın sağlığını izleyebilir, ilaç ve tedavileri uzak bir konumdan yönetebilir, böylece aynı anda birçok hastaya verilen sağlık düzeyini artırabilirler. Doktorları ve taburcu olacak hastaları özetler, böylece güncel elektronik sağlık kayıtlarını tutabilirsiniz (Dedaniye, 2017).

Her akıllı telefon bir IoT cihazıdır. Doğru sağlık uygulamaları setine sahip bir akıllı telefon, hastalıkları tespit etmenize ve sağlığınızı iyileştirmenize yardımcı olabilir. Bunlara örnek olarak kameranızı kullanan cilt kanseri algılama uygulamaları ve cildinizdeki benleri haritalamak için AI tabanlı algoritmalar verilebilir. Diğer örnekler uyku, yoga, fitness ve hap yönetimi uygulamalarıdır. IoT cihazı özel bir sağlık hizmeti olarak önemli ölçüde daha fazlasını yapabilmektedir (Intellectsoft Technology, 2020).

Ayrıca sağlık hizmetlerinde IoT aşağıdakilere yardımcı olur (Nasrullah, 2020):

- Acil servis bekleme süresinin azaltılması
- Hastaları, personeli ve envanteri izleme
- İlaç yönetimini geliştirme
- Kritik donanımın kullanılabilirliğinin sağlanması

3.1. Akıllı Saat

Tüketici elektroniği mağazalarında satılan giyilebilir cihazlarda bir sensör ve internet bağlantısı bulunur. Bazıları (iWatch Series 4 gibi) kalp atış hızınızı izleyebilir, diyabeti kontrol edebilir, konuşma tedavisinde yardımcı olabilir, duruşun iyileştirilmesine yardımcı olabilir ve nöbetleri tespit edebilir (Intellectsoft Technology, 2020).

3.2. İnsülin Kalemleri ve Akıllı CGM (Sürekli Glikoz İzleme)

Bu cihazlar kan şekeri seviyelerini izleyebilir ve verileri özel bir akıllı telefon uygulamasına gönderebilir. Diyabetli hastalar bu cihazları glikoz seviyelerini takip etmek ve hatta bu verileri bir sağlık kuruluşuna göndermek için kullanabilirler (Intellectsoft Technology, 2020).

3.3. Beyin Şişme Sensörleri

Bu küçük sensörler beyin cerrahlarının şiddetli beyin yaralanmalarını takip etmelerine ve ölümcül şişliklerden kaçınmasına yardımcı olmak için kafatası içine yerleştirilir. Beyin üzerindeki baskıyı ölçer ve daha fazla tıbbi müdahale olmadan vücutta kendi kendine çözülebilir (Intellectsoft Technology, 2020).

3.4. Sindirilebilir Sensörler

Reçeteli ilaç, hastadaki giyilebilir bir alıcıya küçük bir sinyal gönderen ve daha sonra özel bir akıllı telefon uygulamasına veri gönderen küçük bir sindirilebilir tıbbi sensörle yutulur. Bu sensör doktorların hastaların ilaçlarını her zaman almasını sağlamalarına yardımcı olabilir (Intellectsoft Technology, 2020).

3.5. Akıllı Video Hapları

Akıllı bir hap hastanın bağırsak yolundan geçebilir ve seyahat ederken fotoğraf çekebilir. Daha sonra toplanan bilgileri giyilebilir bir cihaza gönderebilir, bu da bunu özel bir akıllı telefon uygulamasına (veya doğrudan uygulamaya) gönderir. Akıllı haplar ayrıca gastrointestinal sistemi ve kolonu uzaktan görselleştirmeye yardımcı olabilir (Intellectsoft Technology, 2020).

3.6. Hearables

İşitme kaybı olan insanların dünyayla etkileşimini tamamen değiştiren yeni çağdaki işitme cihazlarıdır. Günümüzde, Hearables akıllı telefonunuzu senkronize eden Bluetooth ile uyumludur. Gerçek dünyadaki seslere filtre uygulamanızı, eşitlemenizi ve katmanlı özellikler eklemenizi sağlar. Doppler Labs bunun en uygun örneğidir (Nasrullah, 2020).

3.7. Yutulmaz Sensörler

Sindirilebilir sensörler gerçekten modern bir bilim harikasıdır. Bunlar, vücudumuzdaki ilacı izleyen ve vücudumuzda herhangi bir düzensizlik tespit ederse bizi uyaran hap boyutlu sensörlerdir. Bu sensörler diyabetik bir hasta için bir nimet olabilir, çünkü semptomları iyileştirmeye yardımcı olur ve hastalıklar için erken bir uyarı sağlar. Proteus Dijital Sağlık buna bir örnektir (Nasrullah, 2020).

3.8. Moodables

Moodable'lar, gün boyunca ruh halimizi iyileştirmeye yardımcı olan ruh hali geliştirici cihazlardır. Bilim kurgu gibi gelebilir, ancak gerçeklikten uzak değildir. Moodable'lar, beynimize ruh halimizi yükselten düşük yoğunluklu akım gönderen başa takılan giyilebilir cihazlardır (Nasrullah, 2020).

3.9. Bilgisayarlı Görme Teknolojisi

Yapay zeka ile birlikte bilgisayarlı görme teknolojisi, görsel algıyı taklit etmeyi ve dolayısıyla buna dayalı karar vermeyi amaçlayan drone teknolojisine neden olmuştur. Bu teknoloji görme engelli kişilerin verimli bir şekilde gezinmesi için de kullanılabilir (Nasrullah, 2020).

3.10. Sağlık Şeması

IoT cihazları, doktorun hasta çizelgesi sırasında yapması gereken çok manuel işi azaltır. Sesli komutlarla çalışır ve hastanın verilerini yakalar. Hastanın verilerine gözden geçirilmek üzere kolayca erişilebilir olmasını sağlar. Haftada 15 saat doktor çalışmalarından tasarruf sağlar (Nasrullah, 2020).

4. SAĞLIK VE BÜYÜK VERİ

Büyük Veri'nin sağlık sektörünü değiştirme potansiyeli çok yüksektir; büyük veri araçları, sağlık yönetimi için kullanılabilir milyarlarca veri noktasını üç ana alanda toplamaktadır:

- Betimsel analiz: Maliyet, sıklık ve kaynaklar gibi neler olduğunu hesaplar.
- Öngörücü analitik: Gelecekte beklenen sonuçları tahmin etmek için açıklayıcı verileri kullanır.

- Reçeteli analitik: Tahminleri tahmin ederek olumlu kararlar alma yeteneği sunar.

Sağlık hizmeti tedarikçilerinin büyük bir kısmı, temel büyük veri faaliyetlerine katkıda bulunmalarını sağlayacak teknolojiler ve araçlar bulmak için alternatifler araştırmaktadır. Yine de, ileri teknoloji rekabet teknolojilerini kabul eden sağlayıcılar, ilk aşamadan geçmiş ve büyük verilerin uygulanmasıyla geleceğe yönelmiştir. Tıp teknolojisi hepimiz için gereklidir. Ayrıca güvenli ve etkili olacağı bilgisine güveniriz. Büyük Veri ve IoT teknolojisi kesinlikle performansta devrim yaratacak ve uygun planlama ile şirketler bu güvenliği ve gelecek için etkinliği sunan güçlü pozisyonlar geliştirebilirler. Nesnelerin İnterneti, gelişmiş analitik ve Büyük Veri'den yararlanan sağlık uygulayıcıları, iş akışlarını ve teşhis yöntemlerini geliştirebilir, daha kişiselleştirilmiş tedavi sağlayabilir ve sonuçta hasta sonuçlarını iyileştirebilir (Dedaniye, 2017).

5. BÜYÜK VERİNİN SAĞLIKTAKİ ÖNEMİ

Sağlık hizmetlerinde Büyük Veri, salgınları tahmin etmek, hastalığı tedavi etmek, yaşam kalitesini artırmak ve önlenemez ölümlerden kaçınmak için kullanılmaktadır. Ayrıca, refahı ve tüketicinin kendi bakımına aktif katılımını teşvik eden tüketicileri veya yaşam tarzı seçimlerini bilgilendirmek için de kullanılır. Klinik bir ortamda, güvenliği sağlarken her hasta için gerekli sonuçları verdiği kanıtlanmıştır. Sağlık kalitesindeki değişkenlik ve artan sağlık harcaması ile ilgili sorunların ele alınmasında etkilidir.

Hasta merkezli bakış açısından, bir klinisyen hastanın bireysel olarak kapsamlı bir resmini çizmek için çeşitli kaynaklardan (tıbbi ve sigorta kayıtları, giyilebilir sensörler, genetik veriler ve hatta sosyal medya kullanımı gibi) veri alabilir. Kişiyi özel bir sağlık paketi sunarlar. Büyük veriler, hastalıkların daha kolay ve etkili bir şekilde tedavi edilebildiği erken aşamalarda tespit edilmesinde de kullanılabilir; belirli birey ve nüfus sağlığını yönetmek ve sağlık sahtekarlığını daha hızlı ve verimli bir şekilde tespit etmek için Büyük Veri Analizi ile çok sayıda soru yöneltilebilir.

Büyük Veriler, maliyeti aynı veya daha iyi kalitede azaltarak sağlık bakım değerini sürekli artıran sürdürülebilir yaklaşımlara olanak tanır. Ayrıca tıbbın sınırlarını ilerletmek ve keşif, geliştirme ve güvenlik alanlarında Ar-Ge verimliliğini artırmak için yeniliği teşvik ederler. Büyük Veri, sağlık hizmetlerinin IoT'sinde sağlık hizmetleri için gerçekten değerli olacaktır.

Bağlantılı sağlık terimi, sağlık hizmetlerinin dijital sağlık endüstrisinde nasıl bağlandığını tanımlamak için kullanılan terimdir. Bağlantılı bir sağlık sistemi sağlık kaynaklarını en üst düzeye çıkaracak ve dijital sağlık endüstrisindeki bakımlarını daha iyi kendi kendine yönetmek için tüketicilerin klinisyenlerle etkileşime girmesi ve bunun için artan, esnek fırsatlar sağlayacaktır. Bir platform, dijital sağlık endüstrisi için bağlantılı bir sağlık sisteminde hayati önem taşımaktadır. Sağlık bilgi sistemleri, bakım sunumundaki verimliliği artırmada büyük potansiyeldir. Ayrıca sağlık sistemi için toplam maliyetlerde bir azalma ve hasta sonuçlarında belirgin bir artış gösterir. Bu mevzuatın ve bununla ilişkili teknolojilerin uygulanmasıyla, sağlık kuruluşlarında dijital olarak toplanan ve depolanan verilerin etkili bir şekilde organize edilmesi ve işlenmesi zorunludur.

Sağlık hizmetleri için, bir kişinin sağlığı hakkında veri üreten ve bu verileri buluta gönderen tüm cihazlar bu IoT'nin bir parçası olacaktır. Giyilebilir cihazlar belki de böyle bir cihazın en tanıdık örneğidir (Iqbal, 2020).

6. SAĞLIK HİZMETLERİ

Günümüzde doktorlar teletıp ve mobil uygulamaların faydalarından yararlanarak hastalarını sanal olarak görebilirler. Bu yetenekler, özellikle kırsal alanlarda yaşayanlar olmak üzere, farklı hasta kategorileri için bakım imkanlarını arttırmaktadır. Şimdi, hastaneyi fiziksel olarak ziyaret etmeye gerek kalmadan doktora erişilebilmektedir. Bu önemli gelişmelerin yanı sıra, sağlık hizmetleri liderleri artan maliyetler, veri güvenliği, mevzuata uygunluk, elektronik sağlık kayıtlarının (EHR) uygulanmasıyla ilgili birçok zorlukla karşı karşıyadır.

6.1. IoT Hasta Sonuçlarına Etkisi

Günümüzde hastalar akıllı cihazlar ve mobil uygulamalar aracılığıyla iletişim kurarak doktor ziyaretlerini azaltabilirler. IoT yakıtlı ürünler doktorların hastalarının refahını etkileyen faktörleri, örneğin sıcaklık, kalp atış hızı, uyku, kan basıncı gibi faktörleri uzaktan izlemesine olanak tanır. Herhangi bir uyarı varsa, anında bildirimler mümkün olduğunca hızlı tepki verebilen sağlık hizmeti sağlayıcılarına gönderilir.

Bluetooth'a bağlı olarak, farklı yardımcı hastaların özel ihtiyaçlarına hizmet eder. Bunlardan bazıları ilacı, diğeri beyin dalgalarını izleyebilir. Örneğin diyabet hastaları şu anda kan şekerini izleyen kontakt lens takabilirler. Bazı

akıllı buzdolapları, aşuların uygun sıcaklıkta tutulmasını sağlayabilir. IoT'nin gerçek kullanım durumlarının sayısı sınırsızdır. Tüm bu çözümler hasta sonuçlarını iyileştirerek sağlık sektörüne yeni değer katarlar.

6.2. Büyük Verinin Hasta Sonuçlarına Etkisi

Hastanelerde büyük veri kabulü, kronik hastalıkları olan hastalar için hastaneye yatış risklerine ilişkin tahminlerin doğruluğunu artırabilir. Bu verileri analiz ederek, doktorlar daha kişiselleştirilmiş tedavi sağlayabilir ve nihayetinde hastaneye yatırılan hasta sayısını azaltabilir. Uzaktan izleme ve gelişmiş analitik, hastalardan hızlı veri toplanmasını sağlar. Toplanan verilere dayanarak, doktorlar gerektiğinde tedaviyi optimize etmek için hastalardan hastaneleri ziyaret etmelerini isteyebilir. Bu tür gelişmeler insanların uygun tedaviye daha fazla ilgi duyduklarını göstermektedir.

Hasta sonuçlarının iyileştirilmesi günümüzde önemli Büyük Veri zorluklarından biridir. Hastaneler, hastalarına bütünsel bir bakış sağlamak için tasarlanmış yazılım çözümlerine yatırım yapıyorlar. Genellikle 360 derece müşteri olarak adlandırılan bu sistemler, hastaların sosyal, tıbbi ve çevresel verilerinin tam bir görünümünü sağlayabilir. Bu verilerin yardımıyla, sağlık hizmeti sağlayıcıları tam bir resim görebilir ve uygun önleme ve tedavi sağlayabilir. Birçok yazılım sağlayıcısı, veri bütünlüğü, tahmine dayalı analitik ve veri gizliliğini sağlayan sağlam teknolojik çözümler üretmeyi zaten başarmıştır (Jonson, 2020).

7. GELECEKTE IOT'NİN SAĞLIK HİZMETLERİNDEKİ ÖNEMİ

Sağlık sektöründe IoT tek başına yeterli değildir. Tüm IoT cihazlarının ve ağlarının, sağlık kuruluşlarının anlamlı bir şekilde dönüşmesine yardımcı olmak için diğer teknolojilerle birleştirilmesi gerekir.

5G, sağlık sektöründeki IoT'nin ihtiyaç duyduğu ultra düşük gecikme hızlarını ve hareketliliğini sağlayacaktır. Buna karşılık, AI odaklı çözümler, bir cihaz koleksiyonundan toplanan verileri değerlendirecektir. Büyük Veri stratejileri, verileri gerçek zamanlı olarak analiz etmek ve kritik sağlık kararları vermek için bu tür AI algoritmalarını kullanacaktır. Sanallaştırma, hastanelerdeki eski altyapıyı azaltmaya veya ortadan kaldırmaya yardımcı olacaktır.

IoT, sağlık hizmetlerinin gelişmesine yardımcı olmak için bu teknolojilerin çoğunu zaten kullanıyor ve kullanmaya devam edecektir. Daha sonra sağlık ve Nesnelerin İnterneti ayrılmaz bir bütün haline gelecek ve sağlık hizmetimize yaklaşımımızı tamamen değiştirecektir (Intellectsoft Technology, 2020).

8. SONUÇ

IoT ve büyük verilerin birleşik özellikleri, yeni nesil e-sağlık bakım sistemlerini yeniden şekillendirebilir. Büyük veri, veri odaklı araştırma dönüşümüne yönelik hipotez odaklı araştırmaya yol açacaktır. Öte yandan IoT, çeşitli sensör sinyalleri ve mevcut büyük veriler arasındaki farklı bağlantı seviyelerini kontrol etmeye ve analiz etmeye yardımcı olacaktır. Bu, sağlık alanında yenilikçi çözümlerin geliştirilmesine yol açacak hastalığı daha iyi anlayarak yeni uzaktan teşhis yollarını sağlayacaktır (Verma, 2018).

IoT teknolojisi, giyilebilir cihazlar ve egzersiz, uyku ve diğer sağlık alışkanlıklarını izleyen diğer tıbbi bağlantılı cihazlar gibi Tıbbi Nesnelerin İnternetinden (IoMT) gerçek zamanlı veri akışını sağlar. Bu IoT verileri, kesin tanı ve tedavi planlarını mümkün kılar. Hasta güvenliğini ve sonuçlarını iyileştirir ve bakım sunumunu kolaylaştırır (SAS, 2020).

Servis sağlayıcılara uygun ilacı önceden teşhis ve reçete verme konusunda yardımcı olur. Semptomları erken bir aşamada teşhis etmek önemlidir, böylece doktor sağlık sorunlarını tedavi etmek için hayati ilaçları reçete edebilir. Mevcut sağlık durumunuz hakkında güncel kalmak için IoT ve Büyük Veri gibi yükselen teknolojilerden yararlanmak gerekiyor. Veri analizi sağlıklı davranışlara yardımcı olan birçok olasılık sağlar. Sağlık analizleri, sağlık hizmeti sağlayıcılarının klinik dışındaki hastaları birbirine bağlamasına ve yardımcı olmasına yardımcı olur. Analitik araçlar hastanın davranış rehberliği için yararlıdır, sadece sağlık davranışlarını geliştirmek ve sürdürmek için belirli talimatlar verir (Tektron Genesis, 2018).

Sağlık hizmetlerindeki büyük verilerin potansiyeli, çeşitli kaynaklardan, sistemlerden ve paydaşlardan gelen verilerin birleştirilmesi ve paylaşılmasıdır. Birden fazla sağlık veri kaynağının sessiz ve ayrı kalması, büyük verilerdeki ilerlemeye yönelik bir dezavantajdır. Farklı veri alt kümeleri tutan farklı veritabanları ve yazılım sistemleri ile entegrasyon ve birlikte çalışabilirlik çok önemlidir. Sağlık kuruluşları, ölçüm ve verilere bakmak için parasal teşvikler uygulamaktadır; hasta memnuniyeti ve kalite metriklerine ilişkin akran ve meslektaş verilerinin

gösterilmesi; ve klinisyenler arasındaki rekabeti ve performansı artırmak için gösterge panolarının kullanılmasıdır (Iqbal, 2020).

Bir sensör bir hastadan veri toplar veya bir doktor / hemşire veri girer. Bir IoT cihazı, toplanan verileri makine öğrenimi (ML) gibi AI odaklı algoritmalar yardımıyla analiz eder. Cihaz, bilgileri buluta ya da buluta göndermeye karar verir. Doktorlar, sağlık pratisyenleri ve hatta robotlar, IoT cihazı tarafından sağlanan verilere dayanarak eyleme geçirebilir ve bilgili kararlar verebilmektedir (Intellectsoft Technology, 2020).

IoT, Nesnelere bağlantılı bilgilerin işlenmesinde etkin olan bir kavramdır. Her yerde elektronik cihazları birbirleriyle konuşmak için mikroişlemciler ve sensörlerden oluşan, ayrıca tüm elektronik cihazların İnternet'e erişimi dışında her yerde bulunan bir ağıdır.

KAYNAKÇA

- Sfar, A. R., Chtourou, Z., and Challal, Y. (2017). A systemic and cognitive vision for IoT security: A case study of military live simulation and security challenges, 2017 International Conference on Smart, Monitored and Controlled Cities (SM2C), Sfax, pp. 101-105, DOI: <https://doi.org/10.1109/SM2C.2017.8071828>.
- Internet Society (2015). The Internet of Things (IoT): An Overview, Understanding the Issues and Challenges of a More Connected World, Available from: https://www.internetsociety.org/resources/doc/2015/iot-overview?gclid=EAlalQobChMI7MGwyfGD6AIVTbTtCh3I1gBREAAyAAEgl_dvD_BwE, Erişim Tarihi: 7 Temmuz, 2020.
- Sfar, A. R., Natalizio, E., Challal, Y., and Chtourou, Z. (2018). A roadmap for security challenges in the internet of things. Digit Commun Netw, vol. 4, issue 1, pp. 118–137, DOI: <https://doi.org/10.1016/j.dcan.2017.04.003>.
- Minoli, D., Sohraby, K., and Kouns, J. (2017). IoT security (IoTSec) considerations, requirements, and architectures, 14th IEEE Annual Consumer Communications & Networking Conference (CCNC), pp. 1006-1007, DOI: <https://doi.org/10.1109/CCNC.2017.7983271>.
- Feki, M. A., Kawsar, F., Boussard, M., and Trappeniers, L. (2013). The Internet of Things: The Next Technological Revolution, Computer, vol. 46, no. 2, pp. 24-25, DOI: <https://doi.org/10.1109/MC.2013.63>.
- Spicer, A. and Cederström, C. (2015). You've heard of the Internet of Things, now behold the Internet of Me, The Conversation, Available from: <http://theconversation.com/youve-heard-of-the-internet-of-things-now-behold-the-internet-of-me-36379>, Erişim Tarihi: 7 Temmuz, 2020.
- Dedaniye, A. (2017). How IoT and Big Data Is Revolutionizing Healthcare Systems?, Available from: <https://www.linkedin.com/pulse/how-iot-big-data-revolutionizing-healthcare-systems-arjun-dedaniya/>, Erişim Tarihi: 7 Temmuz, 2020.
- Intellectsoft Technology (2020). IoT in Healthcare: Benefits, Use Cases, Challenges, and Future, Available from: <https://www.intellectsoft.net/blog/iot-in-healthcare/>, Erişim Tarihi: 7 Temmuz, 2020.
- Nasrullah, P. (2020). Internet of things in healthcare: applications, benefits, and challenges, Available from: <https://www.peerbits.com/blog/internet-of-things-healthcare-applications-benefits-and-challenges.html>, Erişim Tarihi: 7 Temmuz, 2020.
- Iqbal, S. (2020). The purpose of Big data in digital health and IoT, Available from: <https://www.biotaware.com/blog/purpose-big-data-digital-health-and-iot/>, Erişim Tarihi: 8 Temmuz, 2020.
- Jonson, J. (2020). IoT and Big Data Technologies in Healthcare 2020 – Patient Influence and Outcomes, Available from: <https://www.chartattack.com/iot-and-big-data-technologies-in-healthcare-patient-influence-outcomes/>, Erişim Tarihi: 8 Temmuz, 2020.
- Verma, A. (2018). Internet of Things and Big Data – Better Together, Available from: <https://www.whizlabs.com/blog/iot-and-big-data/>, Erişim Tarihi: 8 Temmuz, 2020.
- SAS (2020). Internet of Things (IoT) What it is and why it matters, Available from: https://www.sas.com/en_us/insights/big-data/internet-of-things.html, Erişim Tarihi: 8 Temmuz, 2020.
- Tektron Genesis (2018). How IoT and Big Data Is Revolutionizing Healthcare Systems?, Available from: <https://medium.com/@tektrong/how-iot-and-big-data-is-revolutionizing-healthcare-systems-49bd96fd100c>, Erişim Tarihi: 8 Temmuz, 2020.

Giyilebilir Cihazların Öğrenmedeki Etkileri

Doç. Dr. Nevin AYDIN¹

¹ Artvin Çoruh Üniversitesi Hopa İktisadi ve İdari Bilimler Fakültesi İşletme Bölümü, nevin.aydin@gmail.com,
ORCID: 0000-0003-1949-2765

Özet: Giyilebilir Teknolojiler, kullanıcılar tarafından farklı şekillerde insan bedenine entegre olabilen veya genellikle çeşitli aksesuarlar halinde kullanılan araçlardır. Giyilebilir teknoloji eğitim uygulamalarında, öğrencileri ve öğretmenleri güçlendirerek eğitimi geliştirmek için kullanılan bir araçtır. Bu araçlar: Google Glass, Muse, Sanal Gerçeklik ve GoPro kameralar gibi. Eğitim endüstrisindeki giyilebilir teknoloji, öğrencilerin ilgisini çekme ve öğrenmeye odaklanmalarını artırmada önemli bir rol oynamaktadır. Giyilebilir akıllı cihazlar, küresel eğitim uygulamaları pazarında büyüyen bir trenddir. Verileri bulutta depolama seçeneği, kullanıcıları ayrıca giyilebilir cihazları benimsemeye teşvik etmektedir.

Anahtar Kelimeler: Giyilebilir teknolojiler, Nesnelerin interneti, Artırılmış gerçeklik

The Effects Of Wearable Devices In Learning

Abstract: Wearable Technologies are tools that can be integrated into the human body in different ways by users, or are often used as a variety of accessories. Wearable technology is a tool used in educational platforms to improve education by strengthening students and instructors. Examples of these tools include Google Glass, Muse, Virtual Reality, and GoPro cameras. Wearable technology in the education industry plays an important role in increasing students' attention and focus on learning. Wearable smart devices are a growing trend in the global educational apps market. The option to store data in the cloud also encourages users to adopt wearable devices.

Key Words: Wearable technologies, Internet of things, Augmented reality

1. GİRİŞ

Eğitimde ilk giyilebilir cihaz 1980'lerde hesap makinesi saati, bir öğrenme aracı olarak sınıflarda kullanılmaya başlandı (Johnson vd., 2013). Giyilebilir Teknoloji öğrencilere farklı bir kurs yolu ile ilgili bilgi paylaşım deneyimi maddi videolar ve sesler sunar (Swathi ve Lanka, 2015: 48).

Giyilebilir eğitim amaçlı kullanım olduğuna inanılan cihazlar: Google Glass, Muse, Sanal Gerçeklik ve GoPro kameraları. Bunlardan Muse beyni ölçen bir beyin algılama kafa bandıdır. Bir tablete veya tablete gönderilen verileri oluşturma kablosuz bağlantı kullanarak akıllı telefonu kullanmaktır. Bu öğrencilerin öğrenme sürecinde neye odaklandığını belirler (Sandall, 2016: 74). Google Glass gibi eğitimde kullanılan en önemli araçlardan biridir. Öğrenciler üniversitedeki dersleri izleyip dinleyebilir fiziksel varlığı olmadan, örneğin, tıp alanı öğrencileri, öğretim üyesi cerrahı gerçek zamanlı olarak ameliyat yaparken izleyebiliyorlar (Swathi ve Lanka, 2015: 48). Giyilebilir cihazlar öğretmenlerin öğretmesi gerektiği şekilde değişmektedir. Öğrenciler, üniversiteler, öğretmenler, veliler ve ortak şirketler (satıcılar, gerekli hizmetler ile birlikte), telefonlarındaki, tabletlerindeki veya dizüstü bilgisayarlarındaki (tümü senkronize edilmiş) bilekliklerinden uygulamalarla bağlantı kurabilirler. Son birkaç yıl akıllı telefon uygulamalarının ve cihazlarının iç içe geçmiş hali gerçekleşmiştir. Giyilebilir cihazlar sadece bu bağlantıyı ve veri akışını çok daha hızlı ve çok daha sorunsuz hale getirecektir. Örneğin öğretmenler yerinde ödevleri başlatabilir. Öğrencilere anında sınıf çalışmasını, oda değişikliklerini, ertelemeleri ve iptalleri hatırlatabilirler. Ebeveynler, hareket halinde öğrenci bazında açıklamalar, raporlar ve ilerlemeler alabilirler. Örneğin, en iyi akıllı gözlükler, yüz tanıma, biyometrik yetkilendirme ve yalnızca güvenlik için daha iyi bir altyapı sağlamakla kalmayıp aynı zamanda öğrencileri, öğretmenleri ve diğer ilişkili toplulukları tek bir varlığın parçası olarak hissetmelerini sağlayan diğer birçok özelliği etkinleştirebilir (Wagoner, 2018). Bilgi paylaşma / aktarma yeteneği ile ilgili olarak, giyilebilir cihazların anında verileri, sosyal, ve etik konuları gönderme ve alma kapasitesi mevcuttur (Ezenwoke vd., 2016: 1872).

2. NESNELERİN İNTERNETİ

Nesnelerin interneti kavramı, modern kablosuz iletişim yöntemlerinin gelişmesi ile birlikte sıklıkla kullanılmaya başlanmıştır. Genel olarak insan ve insanın günlük yaşamında çevresini oluşturan bir çok aracın çeşitli sensörler, kumandalar, etiketler, radyo frekans kimlikleri (RFID) yardımıyla birbirine bağlı olması ve birbiriyle etkileşmesini

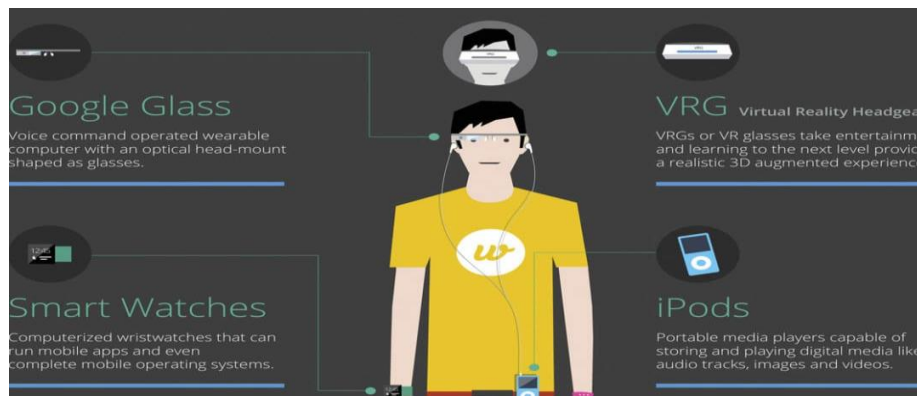
ifade eder (Atzori vd., 2010: 2787). Bir başka tanıma göre nesnelerin interneti, çeşitli araçların (telefonlar, bilgisayarlar, ev sistemleri, kişiler, robotlar, çeşitli giyilebilir cihazlar vb) bir sistem oluşturarak birbirleriyle veya daha büyük sistemlerle bağlantılı olduğu iletişim ağı, nesnelerin interneti (Internet of things) olarak ifade edilmektedir. Bu sistemlerde kişisel verilerin sensörler aracılığıyla toplanması, saklanması, analiz edilmesi ve iletilmesi önemlidir. Nesnelerin interneti, bireylerin günlük aktivitelerini çeşitli şekillerde destekleyebilen bireysel ve çevresel verilerin tutulabilmesi, bunun yanında e-sağlık hizmetlerinden yararlanabilme, zenginleştirilmiş öğrenme deneyimi sunma gibi birçok farklı avantajı beraberinde getirebilecek bir yapıyı anlatır. Bu yapıda çok fazla miktarda veri kaydedilir, işlenir veya sunulur. Bu bilgi işlem süreçlerinin büyük çoğunluğu, teknolojinin gelişmesiyle beraber akıllı cihazlar yoluyla gerçekleştirilir. Bir cihazın akıllı sayılabilmesi için o cihaza kablosuz olarak bağlantı kurulabilmesi, sensör veya sensörleri olması gerekir. Nesnelerin internetinin sunduğu gelecek koşullar, akıllı çevre olarak adlandırılabilir (Gubbi vd., 2013: 1645). Akıllı cihazların giderek küçülmesi, bahsi geçen akıllı çevrelerde bu cihazların giyilebilir teknolojiler olarak kullanılabilmesinin önünü açmıştır. Başlıca giyilebilir teknolojiler arasında akıllı saatler, akıllı lens ve gözlükler, çeşitli yüzük, kolye, bileklik gibi aksesuarlar ile akıllı elbiseler vardır. Giyilebilir teknolojilerin ve IoT'nin eğitim ve öğretimde birçok potansiyele sahip olduğu dolayısıyla birçok olası uygulamaya sahip olduğu kanıtlanmıştır (Starner, 2014: 10) (Lee, 2015).

3. OKULLARDA GIYİLEBİLİR TEKNOLOJİ

Eğitim ortamlarında, giyilebilir teknoloji okulları çeşitli şekillerde etkileyebilir. Öğrencinin eğitim deneyimlerinin bazı yönlerini geliştirmek için okul müfredatlarını değiştirebilir. Giyilebilir teknoloji gelişmeye devam ettikçe hayatımızda önemli bir yere sahip olan öğrencilerimiz bu teknolojiyi okullarımıza getirecek, böylece okul ortamı derinlemesine gelişecek ve değişecektir. Özel eğitimde, bu teknoloji öğrencilerin engelliliklerini yönetme ve çevreleriyle etkileşim kurma şeklini temelden değiştirir. Giyilebilir teknoloji ile, otistik çocuklar izlenebilir ve önceden belirlenmiş sınırlar aşırsa uyarılar üretilebilir ve gönderilir. Bu, otistik çocuğun okul ortamındaki güvenliğini artıracaktır (Veazey, 2014). Giyilebilir teknoloji, çocuklarımız için öğrenme ortamını geliştirme potansiyeline sahiptir. Şeker hastası çocuklar tıbbi durumlarını daha iyi yönetmek için giyilebilir teknolojiyi kullanabilir. Bu yönetim sayesinde sınıfta geçirilen zaman daha verimli olabilir (Rizzo, 2014).

Birçok şekliyle, teknoloji öğretmenleri ve okul liderlerini yeni pedagojik yöntemleri değiştirmeye, uyarlamaya, değiştirmeye ve başka şekilde geliştirmeye zorlamaktadır. Giyilebilir teknoloji alanı okullardaki bir sonraki büyük değişim ajanı olabilir. Görünüşe göre giyilebilir teknolojilerin okullarımıza girmesi sürecine hazırlıkta. Öğrenciler zaten giyilebilir teknolojileri akıllı saatler ve diğer benzer teknolojiler şeklinde okula getirmektedirler. Teknoloji, mühendislik ve matematik müfredatını öğretmek için kullanılan robotik platform okul kulüpleri ve yaz programlarında kullanılmaya başlamıştır. Ve birçok okuldan genel kabul görmüştür. Günümüzün cep telefonları gibi, giyilebilir teknoloji de eğitim sistemlerimizi değiştirme potansiyeline sahiptir.

Şekil 1: Sınıfta Giyilebilir Teknoloji Hayal Etmek



Kaynak: (Wideo, 2014).

Google Glass'ın etrafındaki tüm hype ile, çoğumuz giyilebilir teknoloji hakkında düşündüğümüzde akla ilk gelen fütüristik göz giyimidir, ancak bu yeni cihaz dalgası elleriniz, bilek, boyun, ayak bileğiniz için ürünler içerir. En önemlisi, bu fenomen, eğitim sektörünün teknolojiye her zamankinden daha açık olduğu bir zamanda ortaya çıkmaktadır, çünkü tüm konulardaki öğretmenler derslerine yeni teknoloji eklemeye devam etmektedir. Bu nedenle, giyilebilir teknolojinin okullarda yer alması şaşırtıcı değildir (Wideo, 2014).

4. GİYİLEBİLİR TEKNOLOJİLERİN ÖĞRENMEDEKİ YERİ

Eğitimde giyilebilir teknoloji, çocuğun çevreleriyle daha doğal bir şekilde etkileşim kurma, yaratıcı ve yenilikçi olma yeteneğini artırabilir. Öğrenciler herhangi bir engel olmadan bilgiye daha kolay erişebilirler. Sınıfta giyilebilir teknoloji örnekleri: Autographer, Keyglove, Muse, VR, Akıllı Saatler, GoPro ve Google Glass. Autographer öğrencilerin tam not almalarını sağlamak için öğrencilere doğrudan not almalarını sağlar. Keyglove, oyun, tasarım, sanat, müzik, veri girişi, cihaz kontrolü ve 3D nesnelere yararlı olan kablosuz eldivenlerdir. Muse, öğrencilerin beyin aktivitelerini bir akıllı telefon veya tablette izleyip, böylece onları çalışmaya odaklanmak için ihtiyaç duyabilecekleri etkinlikleri tespit edebilir. Sanal Gerçeklik, öğrencilere o ortamdaki nesnelere etkileşime girmelerini sağlayan uygulamalı deneyim sağlar. iPod ayrıca, öğrencilerin konuyu yaratıcı bir şekilde düşünmelerine ve daha fazla işbirliğine izin vermelerini sağlayan etkili bir öğrenme aracıdır. GoPro, bir öğrencinin veya öğretmenin ders veya öğrenci davranışı gibi olaylara bakış açısını yakalayabilen bir kameradır. Son olarak, Google Glass öğrencilerin ve öğretmenlerin yabancı bir dilde soru sormasını, resim çekmesini, video kaydetmesini ve soruları yanıtlamasını ve çevirmesini sağlar. Bir uygulama tip öğrencilerinin gerçek zamanlı olarak farklı tıbbi prosedürleri izlemesine olanak sağlayacaktır (Arnault, 2018).

4.1. Giyilebilir Teknoloji Eğitimi ile Öğrencilerin Bağlanması

Son birkaç yıldır öğretmenleri öğrencilere bağlamak için sistemler okulları devralıyor. Ev ödevleri ve genel okul etkileşimlerine yardımcı olmak için yeni platformlar tasarlanmıştır. Bununla birlikte, bazı okullar ve üniversiteler, giyilebilir teknoloji eğitimi için özel cihazlar tasarlamıştır. Cihazlar, öğrencilerin sınıfta veya sınıf dışındayken uzaktan eğitim görürlerse diğer öğrencilerle bağlantı kurmalarına izin vererek çalışır ve çalışmalarıyla ilgili soruları alır ve geri gönderir ve ayrıca öğretmenlerin yanıtları gerçek zamanlı olarak görmelerini sağlar. Dahası, öğretmenler öğrencilerle gerçek zamanlı olarak iletişim kurabilecek, son dakikalardaki oda değişikliklerine, sınıf iptali veya ders sırasında ekstra görevlere ihtiyaç duyulması durumunda onları uyurabileceklerdir (Arnault, 2018).

4.2. Yüz Tanıma

Yüz tanıma, giyilebilir teknoloji eğitiminde öğretmenlere zaman kazandırmak ve öğrencilerin kendilerini iyi hissetmelerini ve daha fazla dahil olmalarını sağlamak için kullanılmaktadır. Gelecek nesil AR Glasses, yüzlerce öğrencisi olan öğretim görevlilerinin onları tanımasına, notlarını görmesine ve isimleri ile çağırmasına izin verecektir. Her şey, öğrencinin yüzünü tanımak için fotoğraflı kimliklerin okul veri tabanına ve öğretmene kapsamlı bilgi sağlamak için okulun sınıf veri tabanına bağlanan yerleşik yüz tanıma özelliği sayesinde olur. Odada 20 veya 2000 kişi olursa olsun, öğretmenler, kayıt sırasında öğrenci tarafından onaylandığı üzere, profillerini incelerken kimin soru sormak istediğini, dolayısıyla öğrenci adını her zaman bilirler (Arnault, 2018).

4.3. Sanal Gerçeklik

Sanal gerçeklik birçok farklı sektöre ve ayrıca eğitime sonsuz kapılar açtı. VR, etkileşim kurma biçimimizi değiştirdi. Örneğin Sydney'deki bir profesör, Almanya'daki bir ilkokuldaki öğrencilere şehrin mimarisini öğretebilir. Veya siyaset öğrencileri, VR'nin yardımıyla, göçün nasıl geliştiğini ve bunun üzerindeki etkisini görmek için İkinci Dünya Savaşı'nın yerleri gibi eski çatışma bölgelerini ve hatta Orta Doğu'daki Suriya gibi mevcut bölgeleri ziyaret edebilirler (Arnault, 2018).

Ayrılmış ve aslında kendisini gerçek dünyadaki gerçek sınıflarda kullanıldığını tespit eden bir teknoloji, öğrencilerin keşfetmeleri için yaratıcı ve tarihi dünyalar sağlamayı amaçlayan bir eğitim VR (Sanal Gerçeklik) platformu olan Expeditions'dır. Keşifler gibi Sanal Gerçeklik çözümleri, öğrencilerin sadece dünyanın herhangi bir yerinde müze parçalarını (sınıflarının rahatlığında) görmelerine izin vermekle kalmaz, aynı zamanda öğrencilerin antik dünyaların ve tarihin sürükleyici bir rekreasyonuna girmek için zaman içinde geri adım atmalarına izin verirler. Sınıftaki VR potansiyeli, daha önce hiç mümkün olmayan bir seviyede öğrenmenin ilgi çekici yeni bir yolunu temsil etmektedir.

Eğitim ve sanal gerçeklik olanakları gerçekten heyecan vericidir. Her zaman pahalı gezilere gücü yetmeyen ya da uzaklara seyahat etme yeteneği olmayan çocuklara öğretmek için değil, aynı zamanda gerçek dünyada bulunmayan sürükleyici dünyalar yaratmak içindir. Bir dinazor dünyası veya hayal edebileceğiniz herhangi bir tarihi uygarlık gibi. VR'den biraz farklı olsa da, artırılmış gerçeklik de sınıf için bir dizi heyecan verici çözüm sunmaya başlamıştır. Bazı okullar, okul gezilerinin kaydedilmesi ve seyahat edemeyen öğrencilere aktarılması ile ilgili olasılıkları fark etmişlerdir (Elton, 2017).

4.4. Giyilebilir Teknoloji Eğitimi ve Özel Eğitim

Giyilebilir teknoloji eğitim cihazları ve platformlarının yardımıyla, antrenörler, doktorlar, profesörler yeni teknikler, yeni rehabilitasyon hareketleri veya öğrencilerin daha hızlı ilerlemelerine yardımcı olan yeni dersler gösterebilir. Eğitimdeki giyilebilirler, öğrencilerin vücutlarına giydiği cihazlarla, evlerinin rahatlığında, her zamankinden daha hızlı öğrenmelerine yardımcı olacaktır (Arnault, 2018).

4.5. Artırılmış Gerçeklik

Artırılmış gerçekliğin ortaya çıkışı öğrenciler için sonsuz fırsatlar dünyası yarattı. AR tarih kitapları kağıt olanlar kadar gerçektir. Ancak resimler ve metinler okuyucuyla etkileşime girerek canlandırılır. Artırılmış gerçeklik cihazları dünyadaki okullarda ve üniversitelerde kabul edildiğinden, öğrenciler sıfır atık ve sıfır hata korkusu ile yeni tasarım, nesne yaratma ve moda yollarını öğrenirler (Arnault, 2018).

4.6. Akıllı Saatler

Akıllı saatler bir akıllı telefon veya dizüstü bilgisayar kadar faydalıdır. İnsanların sınıflarda uzun süredir kullandıkları bir şeydir. Daha sonra gözden geçirmeye yardımcı olması için notlar alabilir ve dersler kaydedebilirsiniz. Bununla birlikte, giyilebilirlikleri, özellikle bazı sınıflarda saati daha kullanışlı hale getirmeye yardımcı olur. Beden eğitimi için aktivite kaydetme ve hedefleri sınıf arkadaşlarıyla paylaşma yeteneği öğrencilerin kendilerini daha bağlantılı ve motive hissetmelerini sağlayabilir. Bunu bir saatle yapmak, telefonunuzu tutmaya çalıştırdığınızdan çok daha kolaydır. Daha sakin sınıf ortamları için akıllı saatin giyilebilirliği onu hala kullanışlı hale getiriyor. Her sınıf için dizüstü bilgisayarınızı her zaman çıkarmak istemezsiniz ve saat not almak için harika bir yol olabilir. Doğru konuşma-metin yazılımıyla, bunları kendiniz almanıza bile gerek yoktur. Instapper gibi uygulamalar da yanınızda çok sayıda kitap almanıza ve bunları konuşmaya dönüştürmenize izin verir (Elton, 2017). Akıllı saatler ve giyilebilir cihazlar modern iş adamları için inanılmaz bir icat olmuştur. Yenilikçi eğitim uygulamalarıyla akıllı saatler öğrencilere şunları öğretir (EdSys, 2019):

- ✓ Yabancı dil öğrenmek
- ✓ İlginç oyunlar oynamak
- ✓ Bellek kapasitelerini artırmak. Öğrenciler bir oyun sırasında toplam adımlarını, kalori yakımını ve hatta kalp atış hızlarını takip edebilirler

4.7. Google Glass

Bu ileri teknoloji, öğrencilerin ve öğretmenlerin öğrenme sürecini daha pürüzsüz ve ilgi çekici hale getirmelerine yardımcı olmak için idealdir:

- ✓ Not almak
- ✓ Önemli pasajlara yer işareti koyma
- ✓ Eğitici tarafından sağlanan ders dışı içeriği görüntüleme
- ✓ Atletizm sahasında veya uzayda olayların sanal gerçeklik deneyimini yaşatmak
- ✓ Yabancı öğrenciler gerçek zamanlı dil çevirisinden yararlanabilir ve potansiyel öğrenciler canlı bir Hangout aracılığıyla kampüsü gezebilir. Google Glass ile görsel, işitsel ve fiziksel engelli öğrenciler öğrenme materyallerine daha iyi erişebilirler

Öğretmenler programlar oluşturabilir ve bunları öğrencileriyle paylaşabilir. Glass yüz uygulama özelliği, eğitimcilere öğrettikleri herhangi bir sayıda öğrenciyi tanımlamalarına yardımcı olur. Ayrıca öğrencilerin gereksinimlerini karşılayan programlar öğrenebilirler. Glass, çalışmalarında zayıflanan öğrencileri tanımlamaya yardımcı olan Artırılmış Gerçeklik Geri Bildirim Sistemi'ne sahiptir. Güçlü ve zayıf yanlarını fark ederek, öğretmenler bunları uygun şekilde öğretebilirler. Öğretimi geliştirmek için mini belgeseller de oluşturulabilir. Gerçek zamanlı referanslar ve ebeveynlere ilerleme raporları da dahil olmak üzere mesaj gönderme yeteneği de bu platformu öğretim topluluğu için gelişmiş hale getirir (EdSys, 2019).

4.8. iPod

iPod'lar teknolojilerinin esnek öğrenime sahip öğrenciler için büyük fırsatlar sağladığı kanıtlanmıştır. Bu etkili öğrenme aracı öğrencilerin konuları hakkında daha yaratıcı düşüncelerini ve işbirlikli öğrenmenin gelişmesini teşvik etmelerini sağlar. Dolayısıyla, bireye kendini güçlendirme ve özerklik hissi verirler (EdSys, 2019).

4.9. GoPro

Bu yüksek çözünürlüklü küçük kişisel kamera, öğrencilerin araştırma ve keşfetme için harika bir platform görevi görür. Herhangi bir yere veya aşınmış montajı kolay olan öğrenciler, sunum sırasında ve projelerde dersleri

sırasında fotoğraf çekmek için bu kamerayı kullanabilirler. Bu cihaz sınıf için mükemmel bir seçimdir. Bu kamera, bir öğretmenin ders veya öğrenci davranışı gibi olaylara bakış açısını yakalamaya yardımcı olur (EdSys, 2019).

4.10. Muse

Muse, beyin sinyallerini izlemek için 7 sensör kullanan bir beyin algılama kafa bandıdır (kalp monitörleri tarafından kullanılan benzer bir yöntemle). Öğretmenlere yararlı veriler sağlayabilir ve öğrencilerin derslere nasıl tepki verdiklerini gösterebilir. Öğrencilerin belirli aktiviteler için beyin modellerini değerlendirmelerine yardımcı olmanın yanı sıra öğrenci katılımını iyileştirmek için harika bir araç olabilir (Elton, 2017).

5. GİYİLEBİLİR TEKNOLOJİDE ÖĞRENME UYGULAMALARI

Öğrenme uygulamaları yeni bir şey değildir, ancak giyilebilir cihazlar öğrencilerin bunları kullanma şeklini değiştirmiştir. Uygulamalar herhangi bir akıllı telefonun temelidir ve Yapay Zeka ve AR'nin yardımıyla, giyilebilir cihazlar öğrencilere bu tür özelliklere ihtiyaç duyulan yerlerde görünmez bilgilere erişim sağlar. Örneğin, Londra Müzesi tarafından tasarlanan Streetmuseum Uygulaması, öğrencilerin Londra sokaklarında yürümesine ve bu güzel şehrin geçmişte nasıl görüldüğüne bakmasına izin verir. Modern akıllı telefonların AI ve AR yeteneklerini içerecek ve eğitim için giyilebilir cihazlarla gömülebilecek eğitim için sonsuz bir uygulama seti vardır (Arnault, 2018).

5.1. Emniyet ve Güvenlik

Tehlikeli deneyleri yeniden oluşturmak ve eğitmek için laboratuvarlarda giyilebilir cihazları kullanmak öğrencileri güvende tutacaktır. Örneğin, Edinburgh'daki bir kimya dersi, ilk önce elektronlar arasındaki çarpışmaya tanıklık edebilir. Giyilebilir teknoloji eğitim cihazları da öğretmenlere saha gezileri sırasında öğrencilerini takip etme fırsatı verecektir. Gerçek zamanlı konumlarda harita yapabilen ve öğrencilerin nerede olduğunu sayabilen bir okul giyilebilir bileklik yardımıyla, profesörler onları geri arayabilir veya bir tanesi kaybolursa son görülen konumlarına işaret ederek bir tehlike alarm sinyali gönderebilirler (Arnault, 2018).

5.2. AI Translation Chatbotları

Öğretmenler çok şey bildikleri halde her şeyi bilmiyor olabilirler. Bunun için, giyilebilir cihazlar öğretmenlere belirli alanlardaki uzmanlara götürerek, onlara AR veya VR seçeneği sunarak onları “ziyaret etmeye” davet edebilir. Üniversiteye minimum maliyetle, dünyaca ünlü uzmanlardan öğrencileri çok çeşitli konularda eğitmelerini isteyebilir. Örneğin, Londra'daki bir uluslararası öğrenci sınıfı Kore dilinin tek bir kelimesini bilmeyebilir, ancak bu Samsung'un CTO'sunu giyilebilir teknoloji ve akıllı sensörlerin moda teknoloji giysilerine gerçek zamanlı olarak en iyi nasıl uygulanacağını öğretmesini durduramaz. Uzman Korece konuşmasına rağmen, öğrenciler Google'ın AI ve çeviri sohbet botlarının yardımıyla kendi dillerinde duyabilirler (Arnault, 2018).

5.3. Giyilebilir Teknoloji Eğitimi ve İç Mekan Navigasyonu

Üniversitelerde öğrencilerin kapalı alanda daha hızlı gezinmelerine, zaman kazanmalarına ve daha verimli çalışmalarına yardımcı olmak için yeni nesil giyilebilir teknoloji eğitim cihazları tasarlanmıştır. Örneğin, yıllar boyunca çeşitli binaları bir araya getiren bir üniversitede karışıklık kaçınılmazdır. Bu görünmez giyilebilir cihazlar, yerinde işaretlere bağlanır, öğrencilerin programlarını okur ve onları sınıflarına zamanında götürmek için koridorlarda yönlendirir (Arnault, 2018).

5.4. Karışık Gerçeklik

Akademi'de karma gerçeklik ve deneyimsel öğrenme hızla ilerlemektedir. Giyilebilir cihazları, AI ve AR teknolojilerini, kullanıcıya dokunsal geri bildirim, görsel giriş ve işitsel geri bildirim sağlayabilen yekpare kıyafetler oluşturmak için birleştiren yeni bir özellik grubudur. Siber kıyafetler, bu tür biyonik kıyafetleri oyun oynamak ve VR dünyalarındaki diğer kullanıcılarla etkileşime girmek için çok uygun gören oyun topluluğu arasında zaten popüler hale gelmiştir. Eğitim için, bu tür giysiler bilinmeyen alemleri keşfetmenin, dijital benliği öğrenmenin ve sanal gerçekliği algılamanın kişiyi nasıl değiştirdiğinin yeni bir yoludur. Giyilebilir teknoloji geliştikçe ve yeni çözümler geliştirildikçe, öğrenciler ve öğretmenler artık bilgi konusunda engellerle karşılaşmayacaklardır (Arnault, 2018).

Öğrenciler müzelerde dolaşırken, öğrencilerin her bir anıtın veya eserin ne anlama geldiğini, tarihsel önemini ve hatta onunla birlikte etiketlenen bazı tarihleri tanımlamasına ve öğrenmesine yardımcı olabilir. İleri düzey fen ve mühendislik dersleri alan öğrenciler, öğrenmelerini sadece görsel değil aynı zamanda etkileşimli hale getirmek için motor parçalarını çizmek ve hayal etmek yerine motor bloklarının 3D render'larıyla çalışabilirler. Bir kimya sınıfı, atomların nasıl hareket ettiğini, elektronların nasıl çarpıştığını ve yoğun malzemelerin

kompozisyonunu mümkün olduğunca grafiksel olarak parçaladığını görebilmektedirler. Araştırma firması Gartner, “AR teknolojisinin kuruluşların iş süreçlerini, iş akışlarını ve çalışan eğitimini tamamlamak ve geliştirmek için dahili bir araç olarak kullanabileceği bir noktaya olgunlaştığını” bildirdi (Wagoner, 2018).

5.5. Giyilebilir Teknoloji Eğitimi

Siber kıyafetler, bu tür biyoteknoloji kıyafetleri oyun oynamak ve VR dünyalarındaki diğer kullanıcılarla etkileşime girmek için çok uygun gören oyun topluluğu arasında zaten popüler hale gelmiştir. Eğitim için, bu tür kostümler bilinmeyen alemleri keşfetmenin, dijital benliği öğrenmenin ve sanal gerçekliğin algıladığımız kişiyi nasıl değiştirdiğinin yeni bir yoludur. Giyilebilir teknoloji geliştikçe ve yeni çözümler geliştirildikçe, öğrenciler ve öğretmenler artık bilgi konusunda artık engellerle karşılaşmayacaklar (Arnault, 2018).

6. SONUÇ

Bir üniversite geniş bir alana yayılmışsa, öğrencilerin bir binadan diğerine geçmesi kafa karıştırıcı olabilir. Giyilebilir cihazlar, öğrencilerin sınıfları, oditoryumları ve diğer departman binalarını bulmalarına yardımcı olmada da yararlı olabilir. Üniversiteler ayrıca kampüs çapında bir yayın, podcast'ler, haberler yayınlayabilir ve hatta hareket halindeki öğrenciler için yarı zamanlı iş ilanları yayınlayabilir. Giyilebilir cihazlar, öğrenim ücretlerini ödemeyi kolaylaştırabilir, mezuniyet için kredileri yönetebilir ve profesörlerin ve öğrencilerin döngü halinde kalmasını ve daima bağlı olmasını sağlayabilir.

Giyilebilir teknoloji, eğitim aracı, giyilebilir teknolojinin eğitim faydaları hakkında daha fazla araştırma yapılması gerekecektir ve doğru beceri seti ile ileri düzey öğretmenler ve okul liderleri uygulamaya rehberlik etmelidir. Okullarda öğretmenler, eğitimciler, politika yapımcılar ve bileşenleri hepimiz giyilebilir teknolojinin okulları tam olarak nasıl etkileyeceğini şekillendirme yeteneğine sahibiz.

Giyilebilirler, veriler, içerik, sanal gerçeklik ve artırılmış gerçeklik için en büyük vaat, teknolojinin artık yüksek öğrenimdeki (veya hemen hemen her eğitim seviyesindeki) öğrencilere şimdiye kadar mümkün olmayan kavramlara ve yöntemlere erişme imkanı verebilmesidir. Deneysel ve deneysel öğrenmeyle eğitim hızla başka bir seviyeye geçerken öğretmenler ve üniversiteler için benzersiz kontrol sağlar. Öğrenci güvenliği, ders takibi, devam, notlar, sınıflar, müfredat, sınavlar ve hemen hemen her şey karışımındaki giyilebilir cihazlarla kanalize edilebilir (Wagoner, 2018).

KAYNAKÇA

- Arnault, L. (2018). Wearable Tech Education – Top 10 Changes for Years to Come, Available from: <https://wtvox.com/fashion-innovation/wearable-tech-education/>, Erişim Tarihi: 4 Temmuz, 2020.
- Atzori, L., Lera, A., ve Morabito, G. (2010). The internet of things: A survey, Computer networks, vol. 54, issue 15, pp. 2787-2805, DOI: <https://doi.org/10.1016/j.comnet.2010.05.010>.
- EdSys (2019). Role of Wearable Technology in the Future of Education, Available from: <https://www.edsys.in/role-of-wearable-technology-in-the-future-of-education/>, Erişim Tarihi: 4 Temmuz, 2020.
- Elton, K. (2017). Wearable Tech In The Classroom: How WearableTech Could Take The Education Industry By Storm, Available from: <https://elearningindustry.com/wearable-tech-in-the-classroom-taking-education-industry-storm>, Erişim Tarihi: 4 Temmuz, 2020.
- Ezenwoke, A., Ezenwoke, O., Adewumi, A., ve Omoregbe, N. A. I. (2016). Wearable technology: Opportunities and challenges for teaching and learning in higher education in developing countries, in Proc. INTED 2016 Conference, pp. 1872-1979, DOI: <https://doi.org/10.21125/inted.2016.1390>.
- Gubbi, J., Buyya, R., Marusic, S., ve Palaniswami, M. (2013). Internet of Things (IoT): A vision, architectural elements, and future directions, Future Generation Computer Systems, vol. 29, issue 7, pp. 1645-1660, DOI: <https://doi.org/10.1016/j.future.2013.01.010>.
- Johnson, L., Adams, S. ve Cummins, M. (2013). The NMC Horizon Report: 2012 Higher Education Edition, The New Media Consortium, Austin, Texas. Available from: <https://epic2020.files.wordpress.com/2012/05/hr2013.pdf>, Erişim Tarihi: 4 Temmuz, 2020.
- Lee, V. R. (2015). Learning Technologies and the Body: Integration and Implementation in Formal and Informal Learning Environments, New York, NY: Routledge.
- Rizzo, T. (2014). Google's contact lens for diabetes - a lesson in real wearable tech revenue generation. Available from: <http://technews.tmcnet.com/wearabletechworld/topics/from-the-experts/articles/367472-googles-contact-lens-diabetes-lesson-real-wearable-tech.htm>, Erişim Tarihi: 4 Temmuz, 2020.
- Sandall, B. K. (2016). Wearable technology and schools: Where are we and where do we go from here?, Journal of Curriculum, Teaching, Learning and Leadership in Education, vol. 1, no. 1, pp.74-83.

- Starner, T. (2014). How Wearables Worked their Way into the Mainstream, IEEE Pervasive Computing, vol. 13, no. 4, pp. 10-15, DOI: <https://doi.org/10.1109/MPRV.2014.66>.
- Swathi, T. N. ve Lanka, S. (2015). Wearable technology a new paradigm in Educational Universities, International Journal on Computer Science and Engineering (IJCSE), vol. 7, no. 4, pp. 48-52, DOI: <https://doi.org/10.18178/ijiet.2018.8.6.1077>.
- Veazey, K. (2014). Wearable tech providing better monitoring for autistic children. Available from: <http://technews.tmcnet.com/wearabletechworld/topics/wearable-tech/articles/368306-wearable-tech-providing-better-monitoring-autistic-children.htm>, Erişim Tarihi: 4 Temmuz, 2020.
- Wagoner, L. (2018). Wearable Technology Is Changing Higher Education: Entrepreneurs, Are You Taking Note?, Available from: <https://tweakyourbiz.com/global/wearable-technology-is-changing-higher-education-entrepreneurs-are-you-taking-note>, Erişim Tarihi: 4 Temmuz, 2020.
- Wideo (2014). Imagining Wearable Technology in the Classroom by agus | Education Tools, Infographics, Available from: <https://wideo.co/blog/imagining-wearable-technology-in-the-classroom/>, Erişim Tarihi: 4 Temmuz, 2020.

Marka Kişiliği Oluşturma

Doç. Dr. Nevin AYDIN¹

¹ Artvin Çoruh Üniversitesi Hopa İktisadi ve İdari Bilimler Fakültesi İşletme Bölümü, nevin.aydin@gmail.com,
ORCID: 0000-0003-1949-2765

Özet: Marka kişiliği de marka değeri oluşturmak için mükemmel bir araçtır. Markanızı tutarlı mesajlaşma taktikleriyle geliştirebilirsiniz. Dolayısıyla marka sadakati kazanabilirsiniz. Müşteriler, marka kimliğinizi rakiplerinize göre değerlendirirler. Basit bir ifadeyle, kişilik, şirket deneyiminizi hayata geçiren ve işlemsel deneyimlerden ziyade anlamlı bağlantılar ve ilişkiler oluşturmanızı kolaylaştıran benzersiz unsur olan marka deneyiminizin arkasındaki itici güçtür. Bir kişiliğin etkili olabilmesi için unutulmaz olması ve şirketiniz, ürününüz veya hizmetiniz için olumlu ilişkiler kurması gerekir. Çoğu işletme için, şirket büyümeye ve müşteriler hakkında daha fazla bilgi edinmeye başladığında, marka kişiliğinin gelişimi doğal olarak başlayacaktır. Sonuçta, tüketici tabanı, hedef kitle üzerinde en iyi etkiyi yaratmak için ne tür bir markaya ihtiyaç olduğuna karar verilmesine yardımcı olmaktadır. Bu çalışmada marka kişiliği tartışılacaktır.

Anahtar Kelimeler: Marka Kişiliği, Marka, Marka Stratejisi

Abstract: Brand personality is also an excellent tool for creating brand value. You can develop your brand with consistent messaging tactics. As a result, you can gain loyalty to the brand. Customers evaluate your brand identity based on your competitors. In simple terms, personality is the driving force behind your brand experience, a unique element that brings your company experience to life and makes it easier to build meaningful connections and relationships rather than operational experiences. For a personality to be effective, it needs to be memorable and establish positive relationships for your company, product or service. For most businesses, the development of brand personality will naturally evolve when the company begins to grow and learn more about the customers. Ultimately, the consumer base helps decide what type of brand is needed to have the best impact on the target audience. In this study, brand personality will be discussed.

Key Words: Brand Personality, Brand, Brand Strategy

1. GİRİŞ

Marka kişiliği, bir markanın konuşma ve davranış biçimidir. Farklılaşma elde etmek için bir markaya insan kişilik özelliklerini atamak anlamına gelir. Bu özellikler, markanın davranışını hem markayı temsil eden bireyler (yani çalışanları) hem de reklamcılık, paketleme vb. yoluyla gösterir. Marka imajı veya marka kimliği insan özellikleri açısından ifade edildiğinde marka kişiliği olarak adlandırılır. Örneğin; Allen Solley markası kişiliği konuşuyor ve onu giyen kişiyi kalabalığın dışında tutuyor. Marka kişiliği, marka stratejisini canlı hale getirmek, yani marka stratejisini uygulamak için kullanılır. Marka kişiliği, bir müşterinin markayla olan ilişkisini gösterir. Bu, müşterinin kendi kimliğini ilettiği bir araçtır. Güvenilir ünlü markaya anında farkındalık, kabul edilebilirlik ve iyimserlik sağlar. Bu, tüketicilerin satın alma kararını etkileyecek ve marka sadakati yaratacaktır. Örneğin; Bollywood oyuncusu Priyanka Chopra, uluslararası premium gömlek serisi J. Hampstead'in marka elçisidir (MSG Management Study Guide, 2020).

Marka bilinci oluşturma, yalnızca hedef pazarınızın sizi rekabet üzerinden seçmesini sağlamakla ilgili değildir. Ayrıca, sizi sorunlarına veya ihtiyaçlarına bir çözümün tek sağlayıcısı olarak görmek için beklentilerinizi almakla da ilgilidir. Özünde, markalaşma bir problem çözücüdür (Lake, 2020):

- Açıkça bir mesaj gönderir
- Markanın pazardaki güvenilirliğini onaylar
- Hedef potansiyel müşterileri bir ürün veya hizmetle duygusal olarak bağlar
- Alıcıyı bir satın alma işlemi yapmak için motive eder
- Kullanıcı sadakati oluşturur

Tüketiciler bir markaya güvendiklerinde onları sadık kılar ve sadık olduklarında daha fazla satın alırlar (MicroArts Team, 2015).

2. MARKA NASIL FARK YARATABİLİR?

2.1. Farkındalık

Etkili marka ve pazarlama uygulamalarının en büyük değeri farkındalıktır. Sizi hiç duymamışlarsa işletmeniz ve teklifiniz potansiyel müşterilerin gözünde mevcut değildir. Farkındalık oluşturmak, işletmeler için en büyük zorluklardan biridir. Ancak sonuçta büyük bir etki yaratma potansiyeli vardır.

2.2. Fiyat

Etkili bir marka, müşterilerinin zihninde geliştirdiği itibar nedeniyle mal veya hizmetlerinin piyasa fiyatını etkileme gücüne sahiptir. Yerel bir bağımsızdan çok daha ucuza alabildiğimizde neden Starbucks kahvesi için iki kat daha fazla ödüyoruz? Belki de malzemeler farklı olabilir ve tarif Starbucks'ta daha hassas olabilir.

2.3. Katılım

Her işletmenin, dahil olması gereken bir hedef kitlesi vardır. Kitlenizle ne kadar olumlu etkileşime girerseniz, daha fazla kişiye, daha yüksek bir fiyata daha sık satma olasılığınız o kadar artar. En iyi markalar izleyicileriyle etkileşime girer ve marka savunucularının bir takipçisini geliştirirler. Bu savunucular markalar için güçlü satış araçları haline gelmektedir. Ağızdan ağıza en etkili pazarlama kanalı olabilir.

2.4. İletişim

Her iletişim stratejisinin merkezinde, doğru kitlelere iletilmesi gereken temel mesajlar vardır; sizi rakiplerden ayıran şey, nasıl değer kattığınızı, ürününüzün / hizmetinizin faydaları, iş dünyasında aşılana değerler vb. Bunların hepsi tüketicilerle anlamlı ve alakalı bir şekilde etkileşim kurma şansınızı artıracaktır.

2.5. Tutarlılık

Büyük bir itibar oluşturmaya gelince, tutarlılık önemlidir. Temas ettikleri her temas noktasında müşterilere verdiğiniz söz ile uyumlu bir şekilde teslim olmanız gerekir; müşteri hizmetleri, ürün kalitesi, iletişim, personel, ambalaj vb. hepsi tutarlı bir mesaj vermelidir. Markanızı geliştirmek, herkesi aynı sayfada tutmak ve bu değerleri markanızın tüm yönlerine dokunmak çok önemlidir.

2.6. Kişilik

Başarılı bir işletme harcadığından daha fazla satacak ve çoğu karı en üst düzeye çıkarmayı, finansal ve müşteri hedeflerini vurmaya ve nihayetinde rakiplerini büyütme hedefleyecektir. Tüketiciler, markayla duygusal bir şekilde etkileşime girebilirler (RBL-BrandAgency, 2020).

3. İNSANLARIN MARKA SATIN ALMALARININ YEDİ NEDENİ

3.1. Markalar gönül rahatlığı sağlar

Tüketiciler yaşamlarında rahatlık, mutluluk ve memnuniyet istiyorlar ve bunu satın aldıkları ürünlerle kısmen alıyorlar. Kullandıkları markalar sürekli olarak olumlu bir deneyim sunuyorsa, tüketiciler markanın güvenilir olduğuna dair bir görüş oluşturur ve bu da satın alırken onlara huzur verir.

3.2. Markalar karar verme zamanından tasarruf sağlar

Yeni yeni bir HDTV için pazardasınız ve Amazon'u aramaya karar veriyorsunuz. "HDTV" yazıp 101.685 sonuç alıyorsunuz. Bir marka seçersiniz. "Samsung HDTV" yazın ve seçimlerinizi 1.319'a düşürün. Bir marka seçmek, dağınıklığı azaltmaya yardımcı olarak aradığınızı bulmanızı kolaylaştırır.

3.3. Markalar fark yaratır

Herhangi bir bakkal koridorunda, herkesin satın almayı düşünebileceğinden daha fazla ürün seçeneği vardır. Bir fıstık ezmesi markasını bir başkasına veya jenerik bir ürüne seçmemize ne izin verir? Marka bilinci oluşturma, ürününüzün karşılaştırılabilir ürünlerden farklı ve daha cazip olmasını sağlayan şeyleri anında düşünerek tanımlamaya yardımcı olur.

3.4. Markalar güvenlik sağlar

İnsanlar, doğası gereği, genellikle riskten kaçınır ve güvenlik ararlar. Bilmediğiniz bir şehirde iş gezisinde olduğunuzu ve akşam yemeği için bir restoran seçmeniz gerektiğini düşünün. Ulusal markaya aşına olduğunuz

için, yerel bir markaya göre bir ulusal restoran markası seçmeniz muhtemeldir. Markalar güvenlik sunar ve hayal kırıklığı riskini azaltır.

3.5. Markalar değer katıyor

Tüketiciler neden markasız veya jenerik ürünlere kıyasla markalar için daha yüksek fiyatlar ödüyor? Daha kaliteli, görünüm veya markanın toplumdaki yapısı mı? Muhtemelen her birinin bir kombinasyonudur. Başarılı bir şekilde markalı ürünler, premium fiyatlara hakim olarak şirketler için daha fazla para kazandırmaktadır.

3.6. Markalar kim olduğumuzu ifade eder

Hangi akıllı telefona sahipsiniz? Ne marka araba kullanıyorsun? Hangi ayakkabıları giyiyorsun? Kullandığımız markalar kim olduğumuzu ve kim olmak istediğimizi ifade ediyor. İnsanlar, kullandıkları markalara duygusal olarak bağlanır ve onları kendi imajlarının bir parçası olarak görürler. Apple'ın klasik "Ben bir PC / Mac'im" kampanyası, markaların kullanıcılarının kişiliklerini ve öz algılarını nasıl yansıtabileceğini gösteriyor.

3.7. Markalar tüketicilere paylaşmak için bir sebep verir

Hepimizin yaşadığımız şeyler hakkında fikirleri vardır ve bunları başkalarıyla paylaşmak isteriz. İyi bir kitap, iyi bir film veya harika bir yemek olsun, olumlu marka deneyimlerini paylaştığımızda marka savunucuları oluruz. Giderek artan sosyal dünyamızda, deneyimlerimizin faydalarını yaymak için her zamankinden daha fazla fırsata sahibiz. Güçlü markalar tüketicilere deneyimlerini paylaşmaları için bir sebep verir (MicroArts Team, 2015).

4. MARKALAŞMA NEDİR?

Ticari markalaşma, ad, logo, slogan, kopya ve diğer teminatları kullanarak şirketin ve ürününüz veya hizmetin kapsamlı bir mesaj oluşturmasıyla ilgilidir. Marka bilinci oluşturma, tüketicilerin temas ettikleri ve şirket, ürün veya hizmetin deneyimlediklerini aktif olarak oluşturuyor. Bir şirketi markalaştıran üç temel aşama (Gregory, 2020):

- Marka stratejisi
- Marka kimliği
- Marka pazarlaması

Bir marka stratejisi, amacınızın ve etkinizin uzun vadeli gelişimine odaklanan bir plansa, marka kimliği bunu görseller, mesajlar ve deneyimlerle halka aktarmanın yoludur.

Marka kimliği tüm kanallara tutarlı bir şekilde uygulanmalıdır. Bu, işletmenizin tanınabilir hale gelmesidir. Buna logonuz, renkler ve yazı tipleri, web sitesi tasarımı, içerik, reklam, baskı veya ambalaj ve daha fazlası dahildir.

Marka pazarlama, işletmelerin veya kuruluşların değerleri ve sesi stratejik iletişim yoluyla doğru kitleye bağlayarak ürün veya hizmetleri vurgulama ve bilinçlendirme yoludur.

Marka stratejiniz marka mesajlarınızı nasıl, nerede, ne zaman ve kime iletmeyi planladığınızdır. Reklam verdiğiniz yer marka stratejinizin bir parçasıdır. Dağıtım kanallarınız da marka stratejinizin bir parçasıdır. Görsel ve sözlü olarak iletişim kurduğunuz şey de marka stratejinizin bir parçasıdır. Tutarlı, stratejik markalaşma güçlü bir marka değerine yol açar, bu da şirketinizin ürünlerine veya hizmetlerine getirilen katma değer anlamına gelir; bu da markanız için aynı, markasız ürünlerin emrinden daha fazla ücret almanızı sağlar. Coca-Cola güçlü bir marka değeri oluşturduğundan, ürüne müşteriler daha yüksek fiyat ödeyecektir.

Marka değerine özgü katma değer, algılanan kalite veya duygusal bağlanma biçimindedir. Örneğin Nike, müşterilerin duygusal bağlarını sporcudan ürüne aktaracağını umarak ürünlerini yıldız sporcularla ilişkilendirir. Nike için, ayakkabı satan sadece ayakkabının özellikleri değildir (Lake, 2020).

Güçlü bir markalı ürün portföyüne sahip üreticiler, perakendeci ile güçlü ilişkiler kurabilir, çünkü ikincisi, kendi markalarından gelen talebi karşılamak için güçlü markalar stoklamak zorunda kalır (Polla, 1994).

Marka, birisinin bir ürün veya hizmet satın almasının tüm nedenleri olarak tanımlanır. Ayrıca fiyat noktası, promosyonlar, iletişim uygulamaları ve bir dizi başka alan bu sürece dahildir.

5. ÜNLÜ MARKA STARETEJİLERİ

5.1. Adidas marka stratejisi

Verimlilikten ziyade verimliliğe odaklanmanın onu yatırım getirisine aşırı odaklanmasına ve marka oluşturma pahasına performans ve dijital aşırı yatırım yapmaktadır. Adidas, dijital reklamların dijital satışları artırdığı inancında e-ticarete bağlı bir performans bütçesine de sahiptir. Adidas, işinin en karlı kısmı olduğu için çevrimiçi satış yapmaya yöneldi. Aynı zamanda Adidas ekonometrik bir model geliştirdi. Bu, sadık müşterilerin satışları artırdığını düşündüğü yerde keşfetmesine yardımcı oldu. Futbol reklamlarının futbol satışlarını artıracaklarını düşündü, ancak gerçekte tüm reklamların genel Adidas satışlarını artırdığı görüldü. Ayrıca, Adidas sadece performansın e-ticaret satışlarını artırdığını düşünürken, aslında toptan, perakende ve e-ticaret satışlarının %65'ini artıran marka etkinliği iken, performans da toptan ve perakende satışları artırdı (Vizard, 2019).

5.2. Nike marka stratejisi

Güçlü bir marka oluşturmaktır. Nike pazarlama stratejisinin binlerce yaşında olduğunu ve tüm zaman boyunca müşteri sadakatine ilham verdiği söylenebilir. Nike reklamları, müşteri sadakatine ilham vermek için Hero arka tipini kullanan tek grup değildir. Diğer birçok şirket bu duygusal markalama tekniğini büyük bir etki yaratmak için kullanıyor (602 Communications, 2020).

6. MARKA KİŞİLİĞİ ÖRNEKLERİ

6.1. Coca-Cola marka kişiliği

Marka kişiliği örnekleri söz konusu olduğunda, Coca-Cola'dan daha ikonik olmak zordur. Bu alkolsüz içecek markası, “Kola Paylaş” kampanyası gibi sosyal medya kampanyaları ve reklamlarıyla neşeyi ve samimiyetin dürüstlüğü bir araya getiren samimiyet ve heyecanın mükemmel birleşimidir.

6.2. Apple marka kişiliği

Apple'ın marka kişiliğinin temel öğelerinden biri “yetkinlik” tir. Şirket, müşterilerine teknolojinin basit ama aynı zamanda yenilikçi olabileceği bir dünya göstererek kendisine bir niş yarattı. Birçok teknoloji markasını inovasyonla ilişkilendirilebilir. Ancak Apple, kişiliğini modern ve benzersiz bir şey olarak öne çıkaran az sayıdaki markadan biridir.

6.3. Starbucks marka kişiliği

Başlangıçta, Starbucks samimiyetle, gerçek kahveyi sunarak, yaptıkları her şeyde kişisel etiklerine nasıl yapıştıklarına dair dürüst ve şeffaf reklamlarla ilgiliydi. Bu samimiyet bugün Starbucks marka kişiliğinin önemli bir parçası olmaya devam etmektedir. Ancak şirket pazarlama çabalarını yeni ve yenilikçi fikirlerle birleştirerek de heyecanla daha fazla ilgilenmektedir. Coca-Cola gibi, Apple marka kişiliği de karışıma “heyecan” getirmektedir.

6.4. Nike marka kişiliği

Nike, onlarca yıldır atletik performans kıyafetleri ve ayakkabılar dünyasında liderdir. Kişiliğinin “engebeli” yönü oldukça açıktır. Nike marka kişiliğini bu kadar benzersiz kılan şeylerden biri, şirketin neredeyse herkese hitap edebilmesidir. Sporunuz ne olursa olsun, her arka plandan sporcular en iyisini istediklerinde Nike ürünlerini kullanırlar. Bu, Tiger Woods, LeBron James ve hatta Michael Jordan'ı içeren reklamlardır. Heyecan açısından, Nike renk ve tasarım kullanımıyla bireyleri ruhlu ve “havalı” tasvir ediyor. Nike markasını giydiğinizde, ekibin bir parçası gibi, sağlık ve zindeliğe adanmış yenilikçi hissedersiniz. Genellikle “sağlamlık” ve heyecanla ilişkilendirilen Nike, onlarca yıldır atletik performans kıyafetleri ve ayakkabılar dünyasında liderdir. Kişiliğinin “engebeli” yönü oldukça açıktır.

6.5. Red Bull marka kişiliği

Red Bull marka kişiliği, geldikleri kadar yüksek oktanlıdır. Uzun yıllardır enerji içeceklerinde bir öncü olan Red Bull, kişiliklerinin “yetkinlik” unsurunu güzel sanatlarla, yıllar boyunca büyük satışlara ve inanılmaz düşünce liderliğine indirdi. Red Bull marka kişiliğini çevreleyen her şey hiper enerjik gibi görünse de, markanın heyecanı ve sağlamlığı, birlikte uyum içinde yaşayan özelliklerdir.

6.6. Dove marka kimliği

Bayanlar, güzellik ve sihir gibi şeylerle ilgili olarak anında sofistike olmayı düşünürler. Bununla birlikte, Dove'nin arkasındaki markalaşma yıllar içinde çok daha fazla şey ifade etmek için gelişti. Şimdi, Dove çoğu zaman samimiyetle, güçlü değerleriyle, düşüncesiyle ve pazarlamaya duygusal yaklaşımlarıyla ilişkilidir. Dove, insanlara kendilerine güvenme gücü veriyor ve bu samimi pazarlama yaklaşımı, onları gerçekten kalabalığın arasından sıyrılmalarına yardımcı olmuştur (Harvey, 2017).

7. SONUÇ

Güçlü bir marka, potansiyel müşterileriniz ile güven ve güvenilirlik sağlar. Markanız, paylaştığınız görüntüler, web sitenizde yayınladığınız mesajlar, pazarlama materyallerinizin içeriği ve sosyal ağlardaki yayınlarınız dahil olmak üzere şirketin marka sadakatını ortaya çıkarır. Marka bilinci oluşturma, yalnızca bir şirketin adı ve logosu gibi somut kavramlarla ilgili değildir. Aynı zamanda şirketin itibarı, bir şirketin ürün ve hizmetlerinin reklamını yapma şekli ve bir şirketin değerleri ile ilgilidir. Her pazarlama stratejisi, bir ürünün avantajlarını ve özelliklerini bir hedef pazara iletebilir.

Pazarlama stratejileri de müşterilerine genel bir değer iletebilir. Birçok durumda, bu hedef pazarlarınızda eşitlik ya da iyi niyet oluşturmaktır. Örneğin Apple, ürünlerini, müşterilerinin Apple ürünlerine yakınlığını hissedecek şekilde sergileyen televizyon, reklam panoları ve dergiler için reklamlar oluşturmaya yatırım yapmıştır (CultBrandingCompany, 2020).

KAYNAKÇA

- CultBrandingCompany (2020). 52 Types of Marketing Strategies In Use Today: Cause Marketing, Available from: <https://cultbranding.com/ceo/52-types-of-marketing-strategies/>, Erişim Tarihi: 2 Temmuz, 2020.
- Gregory, S. (2020). Business Branding: Top 10 Things You Need To Create a Brand, Available from: <https://freshsparks.com/business-branding/>, Erişim Tarihi: 2 Temmuz, 2020.
- Harvey, S. (2017). Memorable or forgettable? What your brand personality says about you, Available from: <https://fabrikbrands.com/what-your-brand-personality-says-about-you/>, Erişim Tarihi: 2 Temmuz, 2020
- Lake, L. (2020). Why Branding Is Important in Marketing, Available from: <https://www.thebalancesmb.com/why-is-branding-important-when-it-comes-to-your-marketing-2294845>, Erişim Tarihi: 1 Temmuz, 2020.
- MicroArts Team (2015). 7 Reasons Why Brands Matter To Your Consumers, Available from: <https://microarts.com/insights/7-reasons-why-brands-matter-to-your-consumers/#:~:text=Brands%20provide%20peace%20of%20mind,peace%20of%20mind%20when%20buying>, Erişim Tarihi: 2 Temmuz, 2020.
- MSG Management Study Guide (2020). What is Brand Personality ?, Available from: <https://www.managementstudyguide.com/brand-personality.htm>, Erişim Tarihi: 2 Temmuz, 2020.
- Polla, N. (1994) From Bulk to Brand. In Brand Power, (ed.) Stobart, P., London & Basingstoke: Macmillan.
- RBL-BrandAgency (2020). 6 Ways Brand Will Add Value to Your Business in 2018 - Building a strong brand has the potential to transform your business, but how?, Available from: <https://www.rbl-brandagency.com/brand-adds-value-business/>, Erişim Tarihi: 2 Temmuz, 2020.
- Vizard, S. (2019). Adidas: We over-invested in digital advertising, Available from: <https://www.marketingweek.com/adidas-marketing-effectiveness/>, Erişim Tarihi: 2 Temmuz, 2020.
- 602 Communications (2020). Nike brand strategy: emotional branding using the story of heroism, Available from: <http://602communications.com/nike-brand-strategy-emotional-branding-using-the-story-of-heroism/>, Erişim Tarihi: 2 Temmuz, 2020.

Markalaşma Neden Önemlidir?

Doç. Dr. Nevin AYDIN¹

¹ Artvin Çoruh Üniversitesi Hopa İktisadi ve İdari Bilimler Fakültesi İşletme Bölümü, nevin.aydin@gmail.com, ORCID: 0000-0003-1949-2765

Özet: Marka bilinci oluşturma, bir işletme için oldukça kritik öneme sahiptir. Marka bilinci oluşturma, tüketicinin marka algılama biçimini değiştirebilir ve marka bilinirliğini artırabilir. Markalaşmanın bir işletme için önem arz etmesinin nedeni, bir şirketin tanınmasıdır. Logo, özellikle şirketi temsil ettiği için, bu faktör markanın en önemli unsurudur. Güçlü bir marka, şirkete sektörde daha fazla değer katarak bir işletmenin gücünü artırabilir. Reklam, markalaşmanın bir başka bileşenidir ve reklam stratejileri doğrudan markayı yansıtır. Bu çalışmada Küresel platformda yer alan markalar ve bunların değerini artıran logo stratejiler tartışılacaktır.

Anahtar Kelimeler: Marka, Marka Stratejisi, Marka Kimliği, Logo

Abstract: Branding is critical aspect for a business. Branding can change how the consumer perceives the brand and increase brand awareness. The reason why branding is important for a business is the recognition of a company. Since the logo represents the company, it is considered the most important element. A strong brand can increase the power of a business by adding more value to the company in the industry. Advertising is another component of branding, and advertising strategies directly reflect the brand. In this study, brands that appear in the Global platform and logo strategies that increase their value will be discussed.

Key Words: Brand, Brand Strategy, Brand Identity, Logo

1. GİRİŞ

Marka ve marka kavramı son zamanlarda pazarlamada önemli bir çalışma konusu olarak tartışılrsa da neredeyse medeniyet kadar eskidir (Moore ve Reid, 2008: 419). Marka kelimesi Eski İskandinav kelimesinden türetilmiştir. Markalar, pazar bölümlendirme ve ürün farklılaştırma stratejisinin doğrudan bir sonucudur. Markalaşma, sadece dış dünyaya böyle bir ürünün veya hizmetin, bir kuruluşun işareti ve baskısıyla damgalanmıştır. Markalaşma dönüşümden ibarettir. Ürün kategorisi; uzun vadeli bir şirket katılımı, yüksek düzeyde kaynak ve beceri gerektirir (Kapferer, 2004). Marka tüketicinin işlevsel ve psikolojik özelliklerine göre imaj olarak tanımlanmıştır (Martineau, 1959: 49).

Şirketler, insan kaynaklarının maddi olmayan bir varlık olarak değerini giderek daha fazla takdir ettiklerinden, işveren markalaşması kilit bir yönetim odağı haline gelmiştir (Kissel ve Büttgen, 2015: 755).

Yetenekleri çekmek ve elde tutmak için şirketler arasındaki şiddetli rekabet, şirketin markasını aktif olarak geliştirmek için yoğun çabalara yol açmıştır (Tanwar ve Prasad, 2017: 389).

Gıda, perakende ve giyim başta olmak üzere birçok endüstride, artan sayıda marka ortaya çıkmakta ve bu da markaların güvenilirliğini müşteri sadakatini korumak ve yeni alıcılara ulaşmak için zorunlu hale getirmektedir.

Bugünün ikliminde, şirketlerin eylemleri anında, daha iyi veya daha kötü şok dalgaları oluşturabilir. Bir çalışan veya müşteriden gelen bir tweet, halkla ilişkiler kabusu haline gelebilir ve bu da güvenin, markaların uzun vadede gelişmek istiyorsa sahip olması gereken önemli bir kişilik özelliği haline gelmesini sağlayabilir. Müşteriler için güven, bir şirketin mal veya hizmetlerinin fiyatı kadar önemli bir açıklık ve şeffaflık duygusu oluşturur.

Güven, hayal gücü ve dostluk gibi özellikleri sergileyerek sadık takipler yapan birçok saygın marka bulunmaktadır. IBM'in Watson Kişilik Trendleri aracını kullanarak, Reputation Institute'nin ABD, İngiltere ve Global RepTrak çalışmaları tarafından belirlenen dünyanın en saygın şirketlerine bakarsak; en iyi itibara sahip markaların kişiliklerine ve bulgularımıza dayanarak kendi markanızın sesini ve kimliğini nasıl geliştirebileceğinizi tahmin edebilirsiniz.

En saygın şirketler ABD, İngiltere ve dünya çapında farklılık gösterse de, yukarıda listelenen tüm markalar çeşitli niteliklere sahiptir. En saygın markalar genel performanslarının, ürünlerinin veya hizmetlerinin, inovasyonun, işyeri ortamının, şirket yönetilişinin, vatandaşlığın ve liderliğin kalitesi incelenerek belirlenir.

Şekil 1: 2018'in en saygın markaları.

RANK	U.S.	U.K.	Global
1	Campbell Soup Company	Rolex	Rolex
2	Nike Inc.	The Lego Group	The Lego Group
3	Bose Corp.	Bosch Ltd.	Google
4	Barnes & Noble Inc.	Dyson Ltd.*	Canon Inc.
5	Kellogg Co.	Nintendo Co.	The Walt Disney Co.
6	The Hershey Company	Rolls-Royce	Sony Corp.
7	Hallmark Cards Inc.	Sony Corp.	Adidas
8	The J. M. Smucker Company	Amazon.com Inc.	Bosch Ltd.
9	Canon Inc.	Samsung Electronics Co.	BMW Group
10	Amazon.com Inc.	The Walt Disney Co.	Microsoft Corp.

*Not included in the personality and analysis

Source: 2018 U.S., U.K., and Global RepTrack Studies, Reputation Institute

Trustpilot

Kaynak: (TrustPilot, 2019).

Campbell Soup Company, ABD'deki en saygın bir markadır. Rolex hem İngiltere hem de küresel listede en üst sırada yer almaktadır. Campbell Soup Company yaklaşık 150 yıldır varlığını sürdürmektedir. Ancak kurumsal sosyal sorumluluk ve daha doğal ürün tekliflerine yeniden odaklanması 2018'de onu en üst sıralara çıkmasına neden olabilir. Amerika'daki en sevilen markalardan biri olarak Campbell Soup Company, ürün yelpazesini hedef kitlesine göre ayarlamının ne kadar önemli olduğunu keşfetmiştir.

Lüks saatleriyle tanınan bir şirket olan Rolex, İngiltere tüketicileriyle en yüksek puanı almıştır. Şirket genellikle golf ve binicilik gibi spor dallarında başarılı sporcuların sponsorluğunu üstlenmektedir. Bu da tüketicilerin markayı ve ürünlerini zenginlik ve zafer gibi arzulan niteliklerle ilişkilendirebileceği anlamına gelir (TrustPilot, 2019).

Markayı oluşturan özellikler, malzemeler, logo, iletişim yöntemleri, müşteri etkileşim noktaları, web siteleri ve ambalaj gibi şeyleri içerir. Markanızın her bir parçası, müşterilerinizin tadını çıkarabilecekleri lezzetli ve başarılı bir şeyler yaratmak için mükemmel bir şekilde birlikte çalışmalıdır.

2. BEŞ TEMEL KİŞİLİK FAKTÖRÜ

Arkadaşların ve ailenin farklı kişilikleri olabileceği gibi, markaların kendilerini ayıran özellikleri de olabilir. Beş temel kişilik özelliği: açıklık, vicdan, dışadönüklük, uzlaşılabilirlik ve duygusallıktır.

Ortalama olarak, ABD ve İngiltere'deki en saygın 50 markanın Küresel üst 50'den daha yüksek açıklık seviyeleri vardır. Bir reklam kampanyasında veya bir ürün veya hizmetin yenilikçi dağıtımında pazarlama çabalarında risk alma eğilimi gösterebilir.

Yüksek düzeyde açıklık ve duygusal aralık, vicdanlılıkla birleştiğinde, markaların halkla ilişkileri veya pazarlama çabalarıyla tüketicileri daha derin bir şekilde buluşturmasına, müşteri iletişimi yoluyla sadakat ve güven oluşturmaya izin verebilir. Bununla birlikte, en iyi markalar, markalaşma ve pazarlamada bağımsızlığı gösterebilecek, uyumluluk için daha düşük yüzdelerle değerlerde puan almaktadır (TrustPilot, 2019).

3. LOGO OLARAK MARKA

Logo, markalar için hem ilk izlenimi oluşturan hem de duygusal bağı kuran, göz kadar etkileyici bir organdır. Ayrıca markalar, hem pazarda hem de sosyal medyada logosu ile akılda kalır. Bir çeşit imza niteliği taşımaktadır (Blogager, 2020).

Logo, bir işletmeyi tanımlayan metin ve görüntülerden oluşan bir semboldür. İyi bir logo, bir şirketin ne yaptığını ve markanın değerlerini gösterir. Logo tasarımı, bir şirket için mükemmel bir görsel marka yaratmaktır. Türüne bağlı olarak, bir logo genellikle sloganla birlikte bir sembol veya markadan ve bir logodan oluşur (99designs, 2020).

Logo, organizasyonları simgeleyen bir tasarımdır. Kuruluşun kolayca tanınabileceği bir amblem olarak kullanılan bir tasarımdır. Logo, genellikle hazır tanıma için benzersiz bir şekilde tasarlanmış bir şirket adı, ticari marka, kısaltma vb.'nin grafik temsilidir.

Genel logo türleri: İkonik Logo; İş alanı veya sadece soyut bir görüntü ile ilgili bir tür grafik eleman, örneğin: Nike, AOL, Micheline. Logo yalnızca şirket adına dayanır. Benzersiz bir yazı tipi veya benzersiz düzen stili harika bir logo oluşturabilir, örneğin: Sony, Coca-Cola, IBM (Logobee, 2020).

Logo, şirketinizin markasının önemli bir parçasıdır ve bir şirketin genel algısı üzerinde önemli bir etkiye sahiptir. Aslında bir logo, bir işletmenin yapabileceği en önemli markalaşma yatırımlarından biridir. Bir logo bir şirketin yüzü olarak tanımlanabilir. Sıklıkla, potansiyel bir müşterinin işletmeniz hakkında ilk fark edeceği şey budur. Bir logo sadece bir görüntüden çok daha fazlasıdır; müşteriler için bir tanıma noktası ve şirketinizin markalaşması için önemli bir temeldir. Çoğu zaman müşterilerin saniyeler içinde bir şirket hakkında fikir oluşturdukları söylenir. İyi tasarlanmış bir logo, potansiyel müşterilere işletmenizin profesyonel, güvenilir ve kaliteli mal veya hizmet sunduğunu işletmenin kolay bir yoludur (Chrysalis Communications, 2019).

İyi bir markaya sahip olmak, sadece fiyat konusunda rekabet etme ihtiyacını ortadan kaldırır. Her şey eşit olduğunda, daha güçlü bir markaya sahip olan şirketler, daha pahalı olsa bile satışlarını artırır. Tüketiciler markalı ürünler için prim öderler (Theisen, 2019).

Bir logo bir işletmenin ön kapısı gibidir. Bu bir selamlama ve bir enerjidir. Dünyanın en ikonik ve ünlü logoları bunlara sahiptir. Başarılı bir logo tasarımı hemen tanınır, bir markanın mesajını yansıtır ve kalabalığın arasında kendini gösterir. Ayrıca güven yaratır. Etkili logolar da her boyutta ve her yerde çalışır.

Pazarlar ve trendler her zaman gelişmektedir. Ancak tipografi, düzen, desenler ve renk gibi belirli özelliklerin insanların bir logoyu algılama biçimi üzerinde büyük etkisi vardır. Büyük markaların bunu nasıl doğru yaptığını bilmek, kendi markanızı hassaslaştırmanıza ve kitlenizle bağlantı kurmanıza yardımcı olacaktır.

Ünlü logolar, dünyanın dört bir yanındaki insanların başarıları, felsefeleri, kimlikleri veya müşteri memnuniyeti nedeniyle hayran oldukları şirketlere aittir. Her logo, herkesin ilişki kurabileceği bir kimlik oluşturmak için markayı mükemmel bir şekilde yakalar. Müşterilerinize kendiniz, ürünleriniz ve değerleriniz hakkında bilmeleri gereken her şeyi anlatan mükemmel bir logo tasarımı oluşturmak için bu teknikleri kullanın.

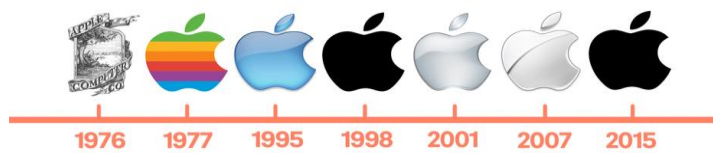
Harika bir logo, başarılı bir işletmenin tek göstergesi değildir, ancak düşünceli, göz alıcı bir logo tasarımı, kendinizi rekabetçi bir alanda saygın bir marka olarak kurmanıza yardımcı olacaktır (Paish, 2018).

4. DÜNYA MARKALARI

4.1. Apple

Elma Newton ile asılyken, düşmeye hazır olan Isaac Newton'u içeriyordu. Yaratıcı olsa da, Apple logolarını hızlıca basit bir elmaya basitleştirdi.

Şekil 2. Apple Logosu.



Kaynak: (Paish, 2018).

1977-1998 yılları arasında Apple, ilk renkli ekran bilgisayarlarıyla çalışmak için genellikle gökkuşağı renginde bir logo tasarımı kullandı. Ancak bu renklerin görkemli kullanımı sonunda parlak krom ve sonra düz renge dönüştü. Hedef logoda olduğu gibi, Apple'ın mevcut logo tasarımının basitliğine dikkat çekmek kolaydır.

Apple, mümkün olduğunca erişilebilir olan şık ürünler yapmaya çalışır, böylece teknolojik açıdan en zorlayıcı bireyler bile bunları kullanabilir. Krom ve sonra düz renkli logolar şıklık ve incelik gösterir; kavisli elma tarzı ifade eder. Her üç özellik de Apple markasıyla eş anlamlıdır.

Bazı insanlar elmanın “ısırması” nın “bayt” kelimesinde bir kelime oyunu olduğunu söyler. Diğerleri, tüketicilerin Apple ürünlerini kullanmaktan aldığı bilgi ısırtığı için bir metafor olarak adlandırılır. Her iki şekilde de, minimalist bir logoya ilgi katmanın oldukça harika bir yol olduğu düşünülür.

Şekil 3. Apple iPhone X.



Kaynak: (Paish, 2018).

Apple logosunun ürünlerinin tasarımındaki özelliklerini nasıl gösterdiğini fark etmek önemlidir. Logoları, markalarının kişiliğiyle tamamen eşleşir. Apple'ın ürünlerini düşündüğümüzde erişilebilir, şık ve zeki kelimeleri düşünürüz. Logo sadece bunu iletir. Logolarının sadeliği, tüketicinin aklına yapışmak için uzun bir yol kat ediyor. Bir logoda çok fazla şey olduğunda bu kolayca unutulur. Apple logosunun sade ve çarpıcı sadeliği, evrensel olarak tanındığı ve kolayca hatırlandığı anlamına gelir (Paish, 2018).

4.2. Google

Google, orijinal logosunu 1998 yılında şirket adını görüntülemek için standart bir yazı tipi kullanarak oluşturdu. Logo, şirketin yazıların rengini ve gölgesini değiştirdiği 2009'a kadar neredeyse değişmedi. 2014 yılında Google, harf aralığında birkaç küçük değişiklik yaptı. 2015 yılında Google, logolarını yeni, modern bir özel yazı tipi ve daha canlı ve doygun benzer renklerle yeniden başlattı.

Şekil 4. Google Logosu.



Kaynak: (Paish, 2018).

Ayrıca, Google'ın logosunun sadeliği tasarımında açıkça görülmektedir. Apple'da olduğu gibi Google, kitlelere ne kadar erişilebilir olduğunu göstermeye çalışmaktadır; bu, insanların şirket hakkında bildikleri ve sevdikleri şeylerin büyük bir parçasıdır.

Google logo tasarımı için bir kelime işareti seçtiğinden, renk kullanımı çok önemlidir. Google, tasarımına göz alıcı bir görünüm vermek için ana renkleri kullanmayı hedeflemektedir. Ancak, logodaki “l” işaretine dikkat edilirse Yeşil ikincil bir renktir ve Google bunu şirkete daha yenilikçi görünmesini sağlayacak bir seçenek olan “Kurallara uymak zorunda değiliz” demek için logosuna dahil etmiştir.

Kelime işaretinin harf aralığı, Google'ın kullanıcıları arayüzünde nasıl hareket ettirdiğini göstermek için sorunsuz bir şekilde akar. Negatif alan kullanımı, şirketin rekabette öne çıkma şeklini gösteren, kullanılan ana renklerle tam bir kontrast sağlar (Paish, 2018).

4.3. FedEx

Orijinal FedEx logosu, desenli mavi zemin üzerine açık mavi bir kelime markası olan 1973'te doğdu. Yıllar geçtikçe renkler ve yazı tipi değişti. Ancak 1994 yılında şirket, bildiğimiz logoyu, ikinci E ve X arasında görünen

ikonik beyaz okla tanıttı. FedEx, son E ve X'in içine beyaz bir ok, hız, hareket ve hassasiyetin bilinçaltı sembolü sakladı. Bu da teslimat ve lojistik markası için çok önemli özellikler.

FedEx ayrıca, akıllıca bir renk kullanımı ile şirketlerinin birden fazla kolunu temsil eder. Logo tasarımında “Fed” in mor rengini korurken, “Ex” kısmı ürüne göre değişir. Gördüğümüz en yaygın renk kombinasyonu, paketlerin çoğunda kullanılan hizmet olan FedEx Express için mor ve turuncudur.

Şekil 5. FedEx Logosu.



Kaynak: (Paish, 2018).

Logo renklerinden birini değiştirerek şirket, şirketlerinin her yönünü farklı bir şekilde sembolize edebilir. Renk psikolojisi iş dünyasında çok önemli olduğundan, her renk kasten markanızın belirli bir yönünü yansıtabilir. Yazı tipi rengini değiştirmek, FedEx logosundan öğrenebileceğimiz başka bir şeydir (Paish, 2018).

4.4. LG

1958 yılında Goldstar Electronics olarak kurulan LG, hepimizin bildiği 1995 yılında orijinal bir logo ve tasarımın sol tarafında kıvrılan “Life's Good” sloganıyla yeniden markalaştı. 2011 yılında, logo şirketin bugün kullandığı parlak, 3D bir efekt aldı.

FedEx tasarımındaki gizli oktan daha belirgin olmasına rağmen, LG logosunda gizlenmiş emoji yüzü yadsınamaz derecede zekidir. “LG” harfleri “Life's Good” şirket sloganıyla eşleşiyor. Ek olarak, G, bir elektronik şirketi için çok uygun olan bir on-button gibi şekillendirilmiştir (Paish, 2018).

Hedef logosu gibi LG de dostluk, topluluk ve dayanıklılığı ifade etmek için tasarımında kırmızı bir daire kullanıyor. Rengi tanımlamanın özellikle çekici bir yolu değildir, ancak kırmızı ve renk özelliklerinin markaları için ne kadar önemli olduğunu vurgulamaktadır. Şirket logolarına 3B dönüşüm sağlıyor. Bu, LG'ye göre, “sembol işaretlerinin görsel etkisini güçlendirmeye yardımcı olan fütüristik bir çekicilik veriyor.

Şekil 6. LG Logosu.



Kaynak: (Paish, 2018).

Yine, logonuzdaki sadelik önemlidir. LG logo tasarımı, tüm marka özelliklerini tek bir renk, iki harf ve basit şekillerle iletmenin yollarını bulur. Harika bir logo, sadece birkaç unsurla marka kimliği oluşturabilir. LG ayrıca logo tasarımlarında gizli bir görüntünün başka bir örneğini de sunuyor. Bu, marka özelliklerinizi temsil etmenin oldukça yenilikçi bir yoludur (Paish, 2018).

4.5. Mercedes-Benz

Çoğu otomobil şirketi tasarım trendleriyle gelişmek için logolarını zamanla değiştirir. Ancak asırdan beri orijinal ve önemli kalmayı başaran bir logo Mercedes-Benz yıldızıdır. Şirket 1909'da yıldızı tanıttı ve yıldız hala logosunun merkezi unsurudur. Mercedes, logosunu araçlarının çoğunda ve reklamlarında yazı olmadan görüntüler. On yıllardır süren marka bilinirliği ile şirket, tüketicilerin evrensel bilgisine kolayca erişebilir. Ancak yıldızın kendisi bir anlamla doludur: Üç çatal hava, kara ve denizi temsil eder. Her biri otomotiv endüstrisinin bir segmentidir. Toyota gibi, logonun gümüş rengi de değer ve kalite ile birlikte güvenilirlik, güvenlik, ve

profesyonellik de çağrıştırıyor. Diğer markalarla karşılaştırıldığında, Mercedes yazı biçimi ince ve kavislidir, bu da ona bir zarafet dokunuşu verir. Yazı tipleri önemlidir. Kavisli kenarlar, şirketin sadece harflerle lüks uyandırmasını sağlar (Paish, 2018).

Şekil 7. Mercedes-Benz Logosu.



Mercedes-Benz

Kaynak: (Paish, 2018).

4.6. CoCa Cola

Coca-Cola zamanla logosunu geliştirdi. Ancak bu klasik senaryo yazısı büyük ölçüde aynı kaldı. 1958'de markanın ünlü kırmızı ve beyaz renkleri resmen logonun bir parçası oldu. Coca-Cola logo tasarımı klasik Americana'yı yansıtır; ikisi birbiriyle eş anlamlıdır. El yazısı ve moda uygun yazı gerçekten benzersizdir. Dolayısıyla kesinlikle markasının moda sınıfını kişileştirir. Klasik Amerika'yı düşündüğümüzde, şirkete hem nostaljik hem de kuşaklar arası bir çekicilik veren Coca-Cola logosunu aynı anda görüyoruz. Modern Coca-Cola logosu, ünlü kırmızı ve beyaz renkleri nedeniyle dünya çapında tanınmakta ve sevilmektedir. Kırmızı çok güçlü bir renktir. Heyecan, enerji ve tutku uyandırır. Kırmızı, şüphesiz bir meşrubat şirketinin lehine çalışan iştahı da uyarır. Coca-Cola logosu, yazı tipinin markasının kişiliği ve kimliğiyle açıkça eşleşmesi nedeniyle özellikle etkileyicidir. Çünkü tamamen özeldir (Paish, 2018).

Şekil 8. Coca Cola Logosu.



Kaynak: (Paish, 2018).

4.7. Nike

1971'de grafik tasarım öğrencisi Carolyn Davidson logoyu tasarladı ve Nike'ın kurucu ortağı Phil Knight'a sadece 35 dolara sattı. Shell, Apple, Mercedes ve Target gibi, birkaç şirket logolarının evrensel olarak tanınmasıyla övünebilir. Yunan mitolojisinde Nike, zafer tanrıçasıdır ve ismin arkasındaki anlam logoya ilham kaynağı olmuştur. Swoosh, tanrıçanın kanadını Nike'ın kendi marka özellikleriyle birleştiriyor. Nike logosundan alabileceğimiz en önemli derslerden biri, niteliklerin şekil yoluyla nasıl aktarılacağıdır. Swoosh hareket ve hızı uyandırır (Paish, 2018).

Şekil 9. Nike Logosu.



Kaynak: (Paish, 2018).

5. SONUÇ

Sadık müşterilerin ötesinde markalaşma sadece sadık müşteriler yaratmakla kalmaz, aynı zamanda sadık çalışanlar da yaratır. Kaliteli bir marka insanlara inandıkları bir ürün ve geride kalacak bir inanç verir. Çalışanların çalıştıkları organizasyonun amacını anlamalarına yardımcı olur (Lake, 2020). Marka kişiliği de marka değeri oluşturmak için harika bir yoldur. Markanızı tutarlı mesajlaşma yoluyla geliştirirseniz, marka sadakati kazanabilirsiniz. Müşterileriniz, marka kimliğinizi diğerlerine göre değerlendirir. Çünkü sizinle tanımlayabilirler (Kapok Marketing, 2019). Markalar her yerde mevcuttur. Hayatımızın hemen her alanına nüfuz etmektedirler: ekonomik, sosyal, kültürel, spor, din vb. Markalar çeşitli bakış açılarıyla analiz edilmiştir: makroekonomi, mikroekonomi, sosyoloji, antropoloji, tarih, göstergebilim, felsefe vb. (Kapferer, 2004).

KAYNAKÇA

- Blogager (2020). En Popüler Markaların Logo Hikayeleri, <https://blog.adgager.com/populer-markalarinin-logo-hikayeleri/>, Erişim Tarihi: 1 Temmuz, 2020.
- Chrysalis Communications (2019). The Importance of Logo Design for Business, Available from: <https://thinkchrysalis.com/blog/graphic-design/logo-design-for-businesses/>, Erişim Tarihi: 1 Temmuz, 2020.
- Kapferer, J. N. (2004). The New Strategic Brand Management: Creating and Sustaining Brand Equity Long Term. London: Kogan Page.
- Kapok Marketing (2019). Brand Voice: The Importance of Your Brand's Personality, Available from: <https://www.kapokmarketing.com/brand-voice-the-importance-of-your-brands-personality/>, Erişim Tarihi: 1 Temmuz, 2020.
- Kissel, P. and Büttgen, M. (2015). Using social media to communicate employer brand identity: The impact on corporate image and employer attractiveness. Journal of Brand Management 22:755–77, DOI: <https://doi.org/10.1057/bm.2015.42>.
- Lake, L. (2020). Why Branding Is Important in Marketing, <https://www.thebalancesmb.com/why-is-branding-important-when-it-comes-to-your-marketing-2294845>, Erişim Tarihi: 1 Temmuz, 2020.
- Logobee (2020). Logo Design: What is a logo?, <https://www.logobee.com/feature3.htm>, Erişim Tarihi: 1 Temmuz, 2020.
- Martineau, P. (1959). Sharper focus for the corporate image. Harvard Business Review, November/December, pp. 49-58.
- Moore, K. and Reid, S. (2008). The Birth of Brand: 4000 Years of Branding History. Business History, 50:4, pp. 419-432, DOI: <https://doi.org/10.1080/00076790802106299>.
- Paish, C. (2018). Top 10 of the world's most famous logos and what you can learn from them, Available from: <https://99designs.com/blog/logo-branding/famous-logos/>, Erişim Tarihi: 1 Temmuz, 2020.
- Tanwar, K. and Prasad, A. (2017). Employer brand scale development and validation: A second-order factor approach. Personnel Review 46 (2):389–409, DOI: <https://doi.org/10.1108/PR-03-2015-0065>.
- Theisen, S. (2019). What is a company's brand? What's your brand?, Available from: <https://blog.leightonbroadcasting.com/blog/what-is-a-companys-brand-whats-your-brand>, Erişim Tarihi: 1 Temmuz, 2020.
- Trustpilot (2019). The personality behind the most reputable brands, Available from: <https://business.trustpilot.com/guides-reports/learn-from-customers/the-personality-behind-the-most-reputable-brands>, Erişim Tarihi: 1 Temmuz, 2020.
- 99designs (2020). Workerbee. What is a Logo?, Available from: <https://99designs.com/blog/tips/what-is-a-logo/>, Erişim Tarihi: 1 Temmuz, 2020.

Dijital Hastane

Doç. Dr. Nevin AYDIN¹

¹ Artvin Çoruh Üniversitesi Hopa İktisadi ve İdari Bilimler Fakültesi İşletme Bölümü, nevin.aydin@gmail.com,
ORCID: 0000-0003-1949-2765

Özet: Hastaneler, doktorlar ve diğer sağlık hizmeti sağlayıcıları, günlük kronik hastalıkların bakımından acil durumlara ve yaşamı tehdit eden hastalıklara kadar hemen her sağlık alanında ön safhalarda yer almaktadır. Yerel toplum ihtiyaçları değiştikçe ve büyüdükçe, hastaneler bu ihtiyacı karşılamak için boyutlarını ve hizmetlerini genişleterek ihtiyaçta cevap verirler. Teknoloji gelişmeleri ve değişen hasta beklentileri yeni tüketici odaklı sağlık hizmetlerine yol açarak birçok hastanenin yeniden düzenlenmesine ve hizmet kalitesinin değişmesine neden olmuştur.

Anahtar Kelimeler: Dijital Hastane, Dijital Dönüşüm, Geleceğin Dijital Hastanesi

Digital Hospital

Abstract: Hospitals, doctors, and other healthcare providers are at the forefront of almost every healthcare field, from daily chronic illnesses to emergencies and life-threatening diseases. As local community needs change and grow, hospitals respond to the need by expanding their size and services to meet this need. The technological advances and changing patient expectations have led to new consumer-oriented health services, leading to reorganization of many hospitals and quality of service.

Key Words: Digital Hospital, Digital Transformation, Digital Hospital of the Future

1. GİRİŞ

Dijital Hastane kavramı ilk ortaya çıktığında temel amaç tüm hastane ve doktor uygulamalarını kağıt tabanlı sistemlerden ve süreçlerden elektronik sağlık kayıtlarına (EHR'ler) taşımak, klinik ve arka ofis süreçlerini bu sistemlere kaydırmaktır. Sağlık Bilgi Teknolojisi Ulusal Koordinatörü Ofisi (ONC-HIT), sağlık bilişiminin yaygın bir şekilde yaygınlaştırılması hedefiyle 2004 yılında kurulmuştur. O dönemde EHR şirketlerinin ana odağı, arka ofiste verimliliği artırmak için elektronik planlama ve faturalandırmayı EHR'lerle birleştirmiştir. Faturalandırma, birden fazla mükellef kuruluşa ve hükümete gevşek standartlaştırılmış talepler kullanarak hizmet bedeli modeline dayanmaktadır. Ve bunun yanı sıra sigortasız ve / veya telafi edilmemiş bakımın belirli bir yüzdesini içermektedir. Bakım hala hastaneler ve ofisler aracılığıyla sağlanmıştır. Daha sonra, 2007-2008 mali krizi hastaneler için bir “sermaye çatışması” na yol açarak teknoloji yatırımlarını ve yeni hizmetler için operasyonel değişiklikleri finanse etmeyi zorlamıştır. EHR'lerin ve diğer teknoloji tabanlı sağlık hizmetlerinin genel uygulamasına geçilmiştir.

2007-2008 yılları arasında Sağlık Geliştirme Enstitüsü tarafından geliştirilen “Üçlü Amaç” kavramı, herhangi bir sağlık kuruluşunun (veya “bütünleştirici”) hedeflerinin, bakım deneyimini ve kişilerin sağlığını iyileştirme ve sağlık hizmetlerinin kişi başına düşen maliyeti düşürmektir.

Uygun Bakım Yasası'nın ortaya çıkması ve değere dayalı bakıma geçişle birlikte, klinik sonuçların yanı sıra maliyet tasarruflarının geri ödeme için şartlar olarak belirlendiği yeni risk paylaşım düzenlemeleri oluşturulmuştur. Hastaneler ve doktor grupları birleşmeye başlayarak, kombine bir grup içinde maliyet yönetimi ve standardizasyonun iyileştirilmesi düşüncesiyle bağımsız “sağlayıcı” gruplar oluşturuldu.

Akıllı Hastane, klinik sonuç mükemmelliğini, operasyonel / tedarik zinciri verimliliğini ve teknolojiyi kullanarak güçlü hasta / sağlayıcı deneyimlerini dengelemeyi amaçlamaktadır. Sürekli öğrenme sağlık sistemi, bağlantılı bakım ve hastanelerin erişimini dört duvarın ötesine uzatan diğer teknoloji destekli bakım paradigmaları gibi diğer yapıları kapsar ve örtüşür. Akıllı Hastane konseptinin altında yatan iddialar, EHR'ler, giyilebilir cihazlar ve yapılandırılmamış veriler (sosyal medya gibi) yoluyla toplanan verileri alma ve bu bilgiler hakkında sağlam analizler yapma yeteneğidir.

Akıllı Hastaneyi benimseyerek, sağlayıcılar temel olarak bir hizmet olarak sağlık hizmeti sunuyor, dijital mobil teknolojileri kullanarak yeni, karma hizmetler, mevcut hizmetler ve analitikler oluşturuyor ve tüketici dostu sağlık hizmetlerini farklı fiyatlarla ve her bir hizmette sağlık profesyonellerinin optimize edilmiş kullanımını bir

araya getiriyor. Akıllı hastane, klinik sonuç mükemmelliğini, operasyonel / tedarik zinciri verimliliğini ve teknolojiyi kullanarak güçlü hasta / sağlayıcı deneyimlerini dengelemeyi amaçlamaktadır.

Bir sonraki aşama, bilim, bilişim, teşvikler ve kültürün sürekli iyileştirme ve yenilik için hizalandığı bir öğrenme sağlık sistemi olmalıdır. Böyle bir sistemde, en iyi uygulamalar teslimat sürecine sorunsuz bir şekilde yerleştirilir ve yeni deneyimler, teslimat deneyiminin ayrılmaz bir yan ürünü olarak ele alınır. Tedarikçiler veri şirketleri haline geliyor ve hastalarının sağlığını iyileştirmek için hizmetler sunuyorlar. Sağlayıcıların yeni teknolojilerin uygulanmasıyla birlikte iş modeli değişimini yönetmeleri gerekecektir. IDC'ye göre bu, "yeni bir iş modeli, yeni yönetim ve yeni teknoloji tarafından desteklenen yeni bir organizasyon" sağlanmasını gerektirecektir (Mathew, 2018).

2. DİJİTAL DÖNÜŞÜM

Covid-19'un yayılması, sağlık hizmetleri ve ötesinde operasyonel sistemleri genişletiyor. Maskelerden ve eldivenlerden vantilatörlere, acil servis kapasitesinden yoğun bakım yataklarına, internet bağlantısının hızına ve güvenilirliğine kadar her şeyin eksikliğini göstermiştir. Nedeni hem basit hem de korkutucu: Ekonomi ve sağlık sistemlerini, lineer, artan talebi karşılarken, virüs üstel bir oranda büyümektedir. Ulusal sağlık sistemi, dijital işletim modellerinin hızlı ve büyük ölçekli benimsenmesi olmadan bu tür patlayıcı talepleri karşılayamaz. Virüsün yayılmasını hafifletmek için yarışırken, yanıt mekanizmalarımızı optimize edebilir ve mümkün olduğu kadar çok adımı dijitalleştirebiliriz. Dahası, geleneksel süreçler ölçeklendikçe azalan getiri sağlar. Öte yandan, dijital sistemler bu sınırlamalar olmaksızın neredeyse sonsuz oranlarda ölçeklendirilebilir. Tek teorik darboğazlar hesaplama gücü ve depolama kapasitesidir. Dijital sistemler üstel büyümeye ayak uydurabilir. Birçok durumda, insanın klinik muhakemesi ve karar verme süreci yapay zeka ile kolayca değiştirilemez, bunun yerine yapay zeka, insanın etkililiğini ve verimliliğini geliştirmesine yardımcı olan bir karar yardımcısıdır. Bugün Covid'e yanıtımız, sanal ve yapay zeka araçlarının benimsenmesini ve ölçeklenmesini hızlandırmıştır. Providence ve Partners HealthCare tarafından kurulan AI botlarından Wuhan'daki Akıllı Saha Hastanesine, katlanarak büyüyen Covid tehdidiyle başa çıkmak için hızlı dijital dönüşüm kullanmıştır. Covid-19'un yerleşmesinden sonra, gelecekte sağlık hizmetlerini sunma şekli değişeceği tahmin ediliyor (Wittbold vd., 2020).

3. DİJİTAL HASTANE NEDİR?

Dijital bir hastane olarak doktorlarınız, hemşireleriniz ve sağlık ekibiniz kağıt dosyaları kullanmak yerine bilgisayarlarda tıbbi bilgilerinize (kim olduğunuzu, kabul nedeninizi, tıbbi geçmişinizi ve herhangi bir alerjinizi) belgelemekte ve erişmektedir.

Yeni dijital başucu hasta izleme cihazları, kan basıncı, sıcaklık ve kalp atış hızı gibi hayati belirtilerinizi ve gözlemlerinizi otomatik olarak güvenli elektronik tıbbi kaydınıza otomatik olarak yükler.

Şekil 1: Dijital Başucu Hasta İzleme Cihazı.



Kaynak: (Metrosouth, 2020).

Benzersiz barkodlu basılı hasta kimliği bileklikleri, doğru hasta tanımlaması için elle yazılmış bilekliklerin yerini alır. Personel dijital başucu hayati belirtilerinizi ve gözlemlerinizi tıbbi kaydınızla kolayca bağlamak için bileklikteki barkodu bir el cihazı ile tarar. Dijital Hastane olarak, hastane personeli yeni dijital sistem ve cihazları öğrenmesi ve ayarlaması gerekmektedir. Güvenli elektronik tıbbi kaydınıza yalnızca yetkili hastane personeli erişebilir. Kayıtlar güvenlik önlemleri ile korunmaktadır (Metrosouth, 2020).

4. DİJİTAL HASTANE ÖRNEĞİ

4.1. Humber River Hastanesi

Toronto, Kanada'daki Humber River Hastanesi 2015 yılında faaliyete girmiş ve Kuzey Amerika'daki ilk modern, tamamen dijital hastane olarak hizmete başlamıştır. Humber River IoT'yi maliyet ve operasyonlar açısından daha verimli şekilde hasta merkezli bakım sağlamak için kullanmaktadır. IoT, daha hızlı bakım sağlamak ve sonuç olarak hasta kalışlarını azaltmak, daha doğru teşhisler sağlamak, tıbbi kayıtlar ve tıp uygulayıcıları arasındaki bağlantıyı iyileştirmek ve tedarik zincirinin dörtte üçünden fazlasını otomatikleştirmek için bir çözüm olarak entegre edilmiştir.

Tamamen dijital hastane deneyimi, çevrimiçi randevu planlama ve check-in ile başlar. Hastalar monitörler aracılığıyla tıbbi kayıtlarına başucu erişimi ile güçlendirilir ve görüntülü sohbet ve anlık mesajlaşma kullanarak doktorlar, hemşireler ve aile üyeleri ile iletişim kurabilirler. Hastane, dolaşan hastaları izlemek ve bebek kaçırmalarını önlemek için güvenliği artırmak için gerçek zamanlı konum teknolojisine sahip hasta bilekliği kullanmaktadır. Ayrıca, Humber River, hasta sağlığı metriklerini otomatik olarak yakalayan ve depolayan tıbbi cihazlara sahiptir. Bu da doktorların ve hemşirelerin bir hastanın sağlık durumunu uzaktan gerçek zamanlı olarak görmelerini sağlar. Hastane, ilaçları karıştırmamak ve mal taşımak için robotları kullanır. Labratuvarda kan örneklerini dakikalar içinde işlenir. Ardından sonuçlar elektronik olarak iletilir (Metcalf vd., 2016).

4.2. BOE Hefei Dijital Hastanesi

Çin'in ilk gerçek "akıllı" tıp merkezlerinden biri olan BOE Hefei Dijital Hastanesidir. Müşterinin temel hedeflerini karşılamak için şematik bir tasarım geliştirdi: üretkenliği ve verimliliği en üst düzeye çıkarmak; güvenli bir hasta ortamı sağlamak; ve mümkün olan en iyi kullanıcı deneyimini yaratmaktır.

Sistemin özü, bina yönetim sistemi, hastane operasyon prosedürleri ve Nesnelerin İnterneti (IoT) aracılığıyla hasta bakımının tüm yönleri için merkezi bir omurga görevi gören ve önemli bir operasyonel verimlilik sağlayan birleşik bir ağıdır. BT ağı kurulumu tıbbi hizmetleri ve ofis yönetim ağlarını birbirine bağlarken tüm binalar tamamen WiFi donanımlıdır ve hastalar ve aileleri için bir ağ sağlar.

Tıbbi kayıtlardan ve tedavi rejimlerinden aydınlatma ve finansal hizmetlere kadar bir dizi veri ve sistem, sinerjileri mümkün kılacak ve tek bir operasyon yöneticisi tarafından izlemeye izin verecek şekilde birleştirilmiş ağa bağlanacaktır. Veriler, tek bir yerde depolanmasına rağmen, neredeyse ayrılır ve her takımın kendi sistemine erişimi vardır. Güvenlik, erişimi sınırlamak için dahili ağ geçitlerine sahip katı bir internet erişim politikasıyla tamamlanan merkezi bir güvenlik duvarı ile sağlanır.

Birleşik ağ hizmetlerin etkileşime girmesine izin verdiğinden, bu 1000 yataklı hastanede enerji ve maliyet tasarrufu potansiyeli yüksektir. Bina hizmetleri, check-in sistemine bağlanır. Böylece bireysel odalarda ısıtma, aydınlatma ve iklimlendirme, bir hasta geldiğinde otomatik olarak açılabilir ve ayrıldıklarında kapanabilir.

Gelecekte, bir yol bulma sistemi, hastaların karmaşık alanda gezinmesine yardımcı olacaktır ve iletişim sistemine bağlı bir check-in prosedürü, personelin hastalarla bireysel olarak iletişim kurmasını sağlar. Tüm veriler Bulutta bulunduğundan, uzaktan tedavi seçenekleri de mümkündür. Dolayısıyla BOE Hefei Digital maliyetleri düşürdü ve güvenliği artırdı (BoE, 2020).

5. GELECEĞİN DİJİTAL HASTANESİ

Geleceğin dijital bir hastanesinin inşa edilmesi insanlara, teknolojiye, süreçlere ve binalara yatırım gerektirebilir. Bu yatırımların çoğu muhtemelen açık olacaktır. Kısa vadede, hastane liderliği bu yatırımlardan anında geri dönüş görmeyebilir. Bununla birlikte, daha uzun vadede dijital teknolojiler bakım sunumunu geliştirdikçe, operasyonel verimlilikler yarattıkça ve hasta ve personel deneyimini geliştirdikçe, sonuç daha yüksek kalitede bakım, iyileştirilmiş operasyonel verimlilikler ve artan hasta memnuniyeti olabilir. Üst yönetimin dijital geleceğin önemini anlaması ve tüm organizasyonel düzeylerde uygulanmasına destek vermesi önemlidir. Dijital uygulama karmaşıktır. Farklı uygulamaların, cihazların ve teknolojilerin (hepsi birbirine bağımlı) bağlanması ve birbirleriyle konuştuğunda başarılı bir dijital uygulama için kritik olabilir. Dijital teknolojiler sürekli geliştiğinden, uygulama sırasında esneklik ve ölçeklenebilirlik kritik olabilir. Planlama ekibi, proje kapsamının teknolojiyi daha düşük maliyetlerle eklemeyi, değiştirmeyi veya değiştirmeyi içerdiğini doğrulamalıdır. Veri birlikte çalışabilirliği, ölçeklenebilirliği, üretkenliği ve esnekliği gereklilikleri önemli olmakla birlikte, verilerin yakalanması, depolanması, korunması ve analiz edilmesi için sağlam bir temel üzerine inşa edilmelidir. Hastaneler üstel

teknolojilere yatırım yaparken, çalışanlara karşılık gelen dijital stratejiler geliştirmek için geniş fırsatlar sunmalıdır. Dijital teknolojilerin yaygınlaşmasıyla birlikte, siber ihlaller geleceğin hastaneleri için büyük bir tehdit olabilir. Yöneticiler siber güvenliğin dijital uygulamanın diğer yarısı olduğunu anlamalı ve kaynakları uygun şekilde tahsis etmelidir. Sağlık hizmeti bugünün hastanesinden oldukça farklı görünebilir. Hızlı gelişen teknolojilerin, demografik ve ekonomik değişikliklerin yanı sıra dünya çapındaki hastaneleri de değiştirmesi beklenmektedir. Yatarak sağlık hizmeti yerini evde ve ayakta tedavi süreçlerine dönüştürülmektedir.

Bazı ülkelerde yaşanan altyapı ve diğerlerinde daha fazla yatak talebinin artmasıyla, hastane yöneticileri ve hükümetler, yatan ve ayakta tedavi ortamlarının nasıl optimize edileceğini ve duvarları olmayan bir sağlık sistemi oluşturmak için dijital teknolojileri geleneksel hastane hizmetlerine entegre etmeyi düşünmelidir.

6. SAĞLIK HİZMETLERİNDE BÜYÜK VERİ

Sağlık sektörü için, büyük veriler önemli faydalar sağlayabilirler: Daha düşük ilaç hatası oranı, hasta kayıt analizi ile yazılım, bir hastanın sağlığı ve ilaç reçeteleri arasındaki tutarsızlıkları işaretleyerek, sağlık uzmanlarını ve hastaları bir ilaç hatası riski olduğunda uyarır.

Büyük verilerin tahmini analizi, hastanelerin ve kliniklerin gelecekteki kabul oranlarını tahmin etmelerine yardımcı olabilir ve bu da bu tesislerin hastalarla başa çıkmak için uygun personeli tahsis etmesine yardımcı olur. Bu, tasarruf sağlar ve bir tesisin yetersiz personeli olduğunda acil servis bekleme sürelerini azaltır.

Şekil 2: Büyük Verinin Kullanımı.



Kaynak: (Reddy, 2019).

Bu faydaları göz önünde bulundurarak, sağlık ve ilaç şirketleri verilerini organize etmeye yatırım yapmalıdır. Bu zayıflık alanlarını tanımlamak için değil, aynı zamanda şirketlerin pazarlarını daha iyi anlamalarına yardımcı olmak için verileri kirabilecek analitik uzmanlarına yatırım yapılmasını gerektirir.

Örneğin, ilaç endüstrisindeyseniz, muhtemelen pazarlama dinamiklerinin sürekli değiştiğini anlarsınız. Aslında, uyuşturucu üreticileri büyük verilerin en büyük avantajının, pazarı anlamalarına nasıl yardımcı olduğuna inanmaktadırlar. Ve bu anlayışla, mevcut ve gelecekteki talebe göre ürün yinelemesini ve ürün bütçelerini belirleyebilirler.

Pazarı daha iyi kavradığınızda, sağlık hizmetleri pazarlama ve satış ekipleriniz ideal tüketicinizi tanımlamak için daha kolay bir zamana sahip olacaktır. Ve bunun büyük bir kısmı, potansiyel müşterilerinizin istediği ve ihtiyaç duyduğu şeylere ve bunlara ulaşabileceğiniz platformlara ilişkin demografik bilgileri derleyen bir müşteri kişisi oluşturmaktır (Reddy, 2019).

7. YAPAY ZEKA (AI) VE BLOCKCHAIN

Yapay zeka (AI), sağlık hizmetlerindeki dijital dönüşüm trendinden daha fazlasıdır. Sağlık hizmetleri AI destekli araçlar pazarının 2025 yılına kadar 34 milyar doları aşması bekleniyor, Bu da bu teknolojinin endüstrinin neredeyse tüm yönlerini şekillendireceği anlamına geliyor. Çoğu hasta için tıpta AI, Japon hemşire robotlarını aklı getirir. Ama şimdi, insan hemşirelerine malzemeleri getirme ve stoklama gibi rutin görevlerde yardımcı olmak için tasarlanmıştır.

Chatbotlar ve sanal sağlık asistanları, hastaların tanıdıkları başka bir AI tabanlı teknolojidir. Chatbot'lar, müşteri hizmetleri temsilcilerinden teşhis araçlarına ve hatta terapistlere kadar çok sayıda rol doldurabilir. Küresel sağlık chatbot pazarının 2018'de 122 milyon \$'dan 2023 yılına kadar 314.3 milyon \$'a ulaşması bekleniyor.

Ancak AI'nın gerçek gücü en iyi hassas tıp, tıbbi görüntüleme, ilaç keşfi ve genomik gibi alanlarda gözlemlenebilir olmasıdır. Örneğin, kanser hastaları yüksek başarısızlık oranlarına sahip çerez kesici tedavileri alırlar. AI'nın karmaşık örüntü tanıma özelliği sayesinde, bu hastalar genetik yapıları ve yaşam tarzlarına göre uyarlanmış kişiselleştirilmiş terapilere erişebiliyorlar.

Yapay zeka destekli bilgisayar programlarının, onkoloji için, kısaca, çeşitli kanserlerin binlerce patoloji görüntüsünü analiz ederek, son derece doğru teşhisler sağlamak ve olası en iyi anti-kanser ilaç kombinasyonlarını tahmin etmektir. Ve tıbbi görüntüleme teşhisinde, bu teknoloji radyologların insan gözünden kaçan ayrıntıları tespit etmelerine yardımcı olur (Reddy, 2019).

Blockchain Teknolojisi yakında elektronik sağlık kayıtlarının doğru ve güvenli tutulmasında önemli bir rol oynayacaktır. Sağlık ve ilaç endüstrileri bu pazara milyonlarca yatırım yaparak verimliliğini garanti etmektedir. Yakın tarihli bir rapora göre, sağlık pazarındaki blockchain'in 2023 yılına kadar 890.5 milyon \$'a ulaşması bekleniyor. Sağlık hizmetlerinde, blockchain'in veri ihlallerini önlemede, tıbbi kayıtların doğruluğunu iyileştirmede ve maliyetleri düşürmede etkili bir araç olduğu kanıtlanmıştır (Reddy, 2019).

8. SONUÇ

Bilginin yoğun kullanımı ve iletişim teknolojileri (BİT) profesyoneller ve hastaların sağlık alanında elde edilen sonuçlarını kayda değer bir şekilde iyileştirmiştir. Teknoloji geliştikçe, daha hızlı bir değişim ve ilerleme sağlayarak, değişim oranının hızlanmasına neden olmuştur.

Sağlık sektörü, hastalar yoğun programları nedeniyle isteğe bağlı sağlık hizmeti aradıklarından dijital inovasyon çağına girmektedir. Mobil özellikle içerik pazarlaması düşünülürken önemlidir. İnsanlar son on yılda çok daha hareketli hale geldi. Son istatistikler, dünyadaki tüm web taramalarının % 52'si 2018 itibarıyla mobil cihazlarda gerçekleştiğini göstermektedir. Dünya çapında dört milyardan fazla insanın İnternette olduğu faktör ve sağlık hizmetlerinde dijital dönüşümün sunduğu olanakları görmeye yeterlidir.

Elektronik sağlık kaydı (EHR) tıbbi bir grafiğin dijital versiyonudur. Hastanın tıbbi geçmişinden ve teşhislerine tedavi planlarına, aşılama tarihlerine ve test sonuçlarına kadar bütün bilgileri içerir. Ayrıca ev adreslerini, işyerlerini, yakınlarının bilgilerine ulaşımı, ve kredi kartı numaralarına kadar finansal bilgileri de kapsar.

Sağlık kuruluşları, Nesnelerin İnterneti (IoT) ve Yapay Zeka etrafında hizmetleri yeniden inşa ettikleri için bu daha önemli hale gelecektir. Hastaneye girer girmez, hayati değerleriniz kalp atış hızınızı, sıcaklığınızı, ve solunum hızınızı değerlendirebilen görüntüleme teknolojisi kullanılarak izlenecektir. Sensörlerin 10 saniye içinde kan basıncı ve elektrokardiyogram (EKG) testi yapabilmektedir. Bu, hastanede çalışan ve hastaneyi ziyaret eden kişilerin çok daha güçlendirilmesine yardımcı olacaktır. Bakıcılar, yönetici yerine hastalara odaklanmak için daha fazla zamana sahip olacaklar, daha iyi dijital veri havuzlarına ve dolayısıyla karar verme konusunda daha zengin bilgilere sahip olacaklar. Daha da iyisi, mobil cihazlarındaki tüm dijital hasta kayıtlarına erişebilecekler. Hastaların kendilerinin teşhis için hastaneye girmeleri bile gerekmez. Uygulama tabanlı ve giyilebilir araçlarla sağlığı izleyebilir ve hatta kendi taramalarını yapabilirler. Tanı ve tedavide rol oynayan yapay zeka etkin olarak kullanılacaktır (Wilson, 2019).

Hastaneler, uzaktan hasta izleme ve sanal bakımdan ziyade eczaneleri, laboratuvarları ve tedarik zincirlerini otomatikleştirme konusunda en hızlı hareket etmektedirler. Tamamen dijital bir geleceğe taşınan hastaneler için sınır, sağlık hizmetlerini hastalar için daha erişilebilir ve daha verimli hale getiren ve doktor-hasta etkileşimlerinin 10 dakikalık bir randevunun sınırlarının çok ötesine uzandığı bir teknolojidir. Örneğin, Güney Kaliforniya Üniversitesi Keck Tıp sisteminde, sanal doktorlar, karmaşık tıbbi kararlar yoluyla hastalara rehberlik etmek için tasarlanmıştır (Kutscher, 2016).

Dijital hastaneler birçok klinik ile karmaşık ekosistemlerdir. Yüzlerce alt süreçten oluşan iş süreçleri doğru bir şekilde entegre edildiğinde, ortaya çıkan süreçler sorunsuz bir şekilde birleşmelidir. Hastalar ve servisleri doğru

bilgi kaynakları ile entegre eden BİT'tir. Dijital tıbbi cihazlara ek olarak yüksek hızlı ağ altyapısı ile hastaneler yeniden yapılandırılmalıdır.

KAYNAKÇA

- BoE (2020). Hefei BOE Hospital, Available from: <https://boe.com/en/product/zhyg/jkfw/szyy/jdfyy/>, Erişim Tarihi: 11 Temmuz, 2020.
- Kutscher, B. (2016). Inside North America's first all-digital hospital, Available from: <https://www.modernhealthcare.com/article/20160430/MAGAZINE/304309981/inside-north-america-s-first-all-digital-hospital>, Erişim Tarihi: 11 Temmuz, 2020.
- Mathew, G. (2018). Emergence of the “Smart Hospital” and beyond: What’s next for providers? Available from: <https://www.dxc.technology/healthcare/insights/144248-emergence-of-the-smart-hospital-and-beyond-what-s-next-for-providers>, Erişim Tarihi: 11 Temmuz, 2020.
- Metcalf, D., Milliard, S. T. J., Gomez, M., and Schwartz, M. (2016). Wearables and the Internet of Things for Health. IEEE Pulse. Available from: <https://www.embs.org/pulse/articles/wearables-internet-of-things-iot-health/>, Erişim Tarihi: 11 Temmuz, 2020.
- Metrosouth (2020). Princess Alexandra Hospital Digital Hospital, Available from: <https://metrosouth.health.qld.gov.au/princess-alexandra-hospital/digital-hospital>, Erişim Tarihi: 11 Temmuz, 2020.
- Reddy, M. (2019). Digital Transformation in Healthcare in 2020: 7 Key Trends, Available from: <https://www.digitalauthority.me/resources/state-of-digital-transformation-healthcare/>, Erişim Tarihi: 11 Temmuz, 2020.
- Wilson, S. (2019). The hospital of the future – how to fully realise digitalised healthcare , Availabe from: <https://www.healthcareglobal.com/technology/hospital-future-how-fully-realise-digitalised-healthcare>, Erişim Tarihi: 11 Temmuz, 2020.
- Wittbold, K.A, Carroll, C., Lansiti, M., Zhang, H. M., and Landman, A. B. (2020). How Hospitals Are Using AI to Battle Covid-19, Available from: <https://hbr.org/2020/04/how-hospitals-are-using-ai-to-battle-covid-19> , Erişim Tarihi: 11 Temmuz, 2020.

Giyilebilir Tıbbi Cihaz Pazarının Büyüme Nedenleri

Doç. Dr. Nevin AYDIN¹

¹ Artvin Çoruh Üniversitesi Hopa İktisadi ve İdari Bilimler Fakültesi İşletme Bölümü, nevin.aydin@gmail.com, ORCID: 0000-0003-1949-2765

Özet: Giyilebilir tıbbi cihazlar pazarının büyümesi, hem hastaların hem de genel nüfusun yaşam şeklini değiştirecek teknolojik gelişmeler ve yeniliklerden kaynaklanmaktadır. Bu pazarda rekabet eden önemli pazar oyuncuları tarafından düzenli olarak tanıtılan gelişmiş teknolojiler nedeniyle bu cihazlar büyük bir popülerlik kazanıyor. Gelişmekte olan ülkelerde tıbbi cihazların kullanım kolaylığı ve kişi başına düşen gelirin artması, pazarın büyümesinde diğer önemli faktörlerdir. Bu çalışmada gelişen giyilebilir tıbbi cihaz pazarının büyüme nedenleri ele alınmıştır.

Anahtar Kelimeler: Giyilebilir Tıbbi Cihaz, Pazar, Teknoloji

The Growth Reasons Of Wearable Medical Device Market

Abstract: The growth of the wearable medical devices market is due to the technological developments and innovations that will change the lifestyle of both the patients and the general population. Due to the advanced technologies regularly introduced by key market players competing in this market, these devices are gaining great popularity. Ease of use of these medical devices and increased income per capita in developing countries are other important factors for the market growth. In this study, the growth reasons of the developing wearable medical device market are discussed.

Key Words: Wearable Medical Device, Market, Technology

1. GİRİŞ

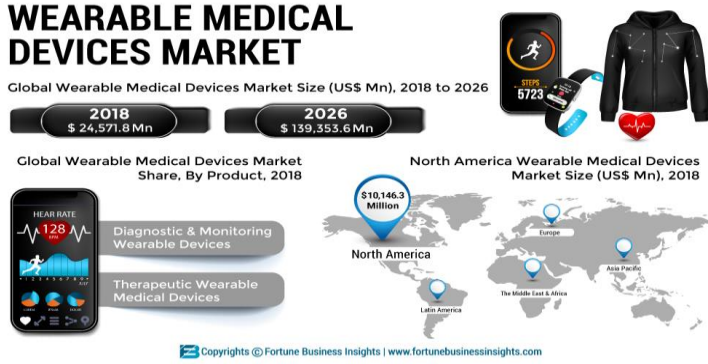
Giyilebilir cihaz endüstrisinin başlangıcı, gözlüklerin tanıtıldığı 13. yüzyıla kadar uzanabilir. İletme cihazları gibi giyilebilir cihazlar 1980'lerde piyasaya ulaştı. Daha sonra, 2006-2013 yılları arasında akıllı saat teknolojisi ve Google gözlük piyasaya sürüldü ve sağlık alanındaki giyilebilir cihazlar pazarında patlama yaşandı. Bunu, diğer çeşitli ürünler arasında sürekli glikoz izleme sistemleri, uyku izleyicileri ve nörolojik monitörler gibi birçok giyilebilir tıbbi cihaz izledi. Gelecekte akıllı lens, akıllı tekstiller, akıllı yüzükler, deri yamaları ve diğer yenilikçi teknolojilerden oluşan giyilebilir teknoloji, büyük büyüme potansiyeli taşıyor ve böylece gelişmekte olan pazar oyuncuları için iş fırsatları sunuyor (Ugalmugle ve Swain, 2018).

Ayrıca, bireyler arasındaki zindeliğe artan odaklanma ve sağlıklı yaşam tarzı hakkında farkındalık ve evde sağlık hizmetlerindeki önemli büyüme gibi faktörler bu cihazlara olan talebi artırmaktadır. Ayrıca, teşhis edilebilir giyilebilir cihazların minyatürleştirilmesi, ortaya çıkan başlıca trendlerden biri olan Giyilebilir Tıbbi Cihaz Pazar tahminidir. Bununla birlikte, düzenleyici kurulun tıbbi cihazlarda daha iyi siber güvenliği teşvik etmek için ek adımlar atması yönündeki çabaların, tahmin dönemi boyunca pazarın büyümesini desteklemesi beklenmektedir. Giyilebilir tıbbi cihazlar pazarının büyümesini şekillendirmede çeşitli faktörler etkili olmuştur; akıllı bağlı cihazların çoğalması anahtar bir faktördür. Özellikle gelişmiş ülkeler, bu ürünlerin farkındalık seviyesinin de yükseldiği ileri teknoloji çözümlerinin benimsenmesinde öncüdür. Bu cihazlar, oluşumu dünya çapında yükselen diyabet, astım ve kalp hastalıkları gibi çeşitli kronik hastalıkların tedavisinde etkinliğini göstermiştir. Giyilebilir tıbbi cihazlar, kalp atış hızı, kan oksijen seviyesi, vücut yağı ve solunum gibi çeşitli sağlık parametrelerini izlemede önemli bir çekiş kazanmıştır. Bu tür cihazlarla ilişkili maliyet faydaları ve dünya genelinde tüketicilerin artan harcama kapasitesi, giyilebilir tıbbi cihaz pazarının büyümesini teşvik etmektedir (Shri, 2020).

Küresel giyilebilir tıbbi cihazlar pazarının, Nesnelerin İnterneti (IoT) ve yapay zeka (AI) gibi teknolojilerin dahil edilmesi nedeniyle önümüzdeki yıllarda önemli ölçüde genişlemesi muhtemeldir. Fortune Business Insights tarafından yayınlanan "Giyilebilir Tıbbi Cihazlar: Küresel Pazar Analizi, Analizler ve Tahmin, 2019-2026" başlıklı rapora göre, pazar 2018'de 24,571 milyon ABD Doları değerindedir. Fortune Business Insights pazarın 2026'ya kadar 139,353 milyon dolara ulaşacağını belirtiyor.

Bu cihazların hızlı bir şekilde benimsenmesi, daha sonra dünya çapında giyilebilir tıbbi cihazlara yönelik bir talep yaratmıştır. Kronik hastalıkların görülme sıklığının artması, sağlık hizmeti sunum sistemlerinde çeşitli yeniliklere yol açmıştır (MedGadget, 2020).

Şekil 1: Giyilebilir Tıbbi Cihaz Pazarı.



Kaynak: (MedGadget, 2020).

2. GIYİLEBİLİR TIBBİ CİHAZ

Giyilebilir terimi, destek ortamının bir giysi parçası veya insan vücudu olduğunu ima eder. Türüne göre, pazar, diğerlerinin yanı sıra etkinlik monitörlerine, akıllı saatlere, akıllı kıyafetlere ve yamalara ayrıldı. Uygulamaya göre, pazar spor ve fitness, uzaktan hasta izleme, ve evde sağlık olarak sınıflandırılmıştır. Giyilebilir tıbbi cihazlardaki teknolojik gelişmeler, pazarın büyümesine katkıda bulunan en önemli faktörlerden biridir (Menafn, 2020).

Giyilebilir bir tıbbi cihaz, vücuda bağlanan herhangi bir giyilebilir öğenin bir parçası olarak, genellikle uzaktan / kablolu iletişim ile fizyolojik verileri izleyen bir biyosensör olarak tanımlanabilir. Etkinlik monitörleri, akıllı saatler, akıllı giysiler, ve yamalar örnek olarak verilebilir. Bugüne kadar giyilebilir tıbbi cihazların çoğu aktivite ve egzersiz alanlarında (yürüme, koşu veya kas aktivitesi gibi diğer egzersiz parametreleri) yoğunlaşmış ve kat edilen mesafeyi, yakılan kalorileri, kalp atış hızını ölçmüştür. Mesafenin doğru ölçümünü artırmak için diğer cihazlar çok çeşitli fizyolojik ölçümleri kapsar ve gelecekte aşağıdakilerin izlenmesi ve analizi de dahil olmak üzere gelişmiş işlevsellik içerebilir (Ghandi ve Wang, 2014; Glatte, 2014):

- Kan basıncı
- Beyin aktivitesi
- Sürekli glikoz
- EKG
- Göz takibi
- Hidrasyon
- Bebek bakımı
- Yeme
- Oksijen seviyesi
- Ağrı kesici
- Duruş
- Radyasyona maruz kalma
- Solunum
- Cilt iletkenliği
- Uyku
- Sıcaklık

Tüketici ve klinik / tıbbi kullanımların yanı sıra işyeri ve askeri uygulamalar da vardır. İş açısından bakıldığında, giyilebilir tıbbi cihaz pazarının büyüklüğü çok büyük ve hızla büyümektedir (Juniper Research, 2014). Akıllı saatler, giyilebilir cihaz kategorisindeki ilk satışlara birçok kaynağa göre hakim olmuştur. Apple Watch sevk edilen birimlerin yüzde 40'ını oluşturmaktadır (Davona, 2105). Google Glass ve akıllı bilekliklerin de milyar dolar potansiyeli olabilir (Harrop, n.d.).

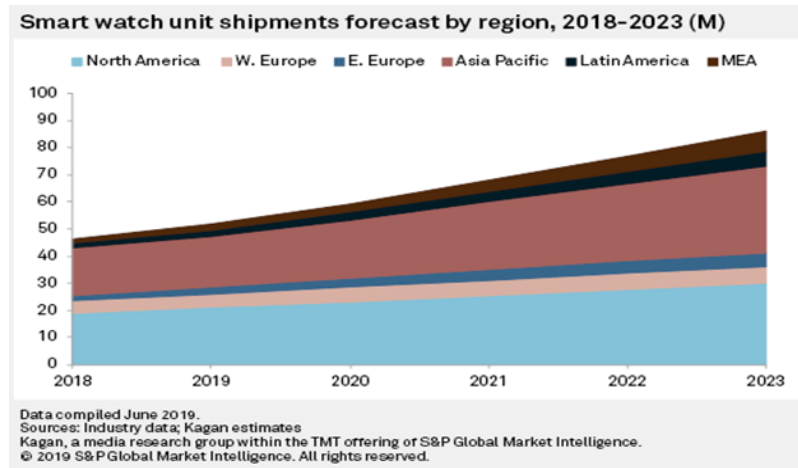
Giyilebilir tıbbi cihazlar pazarı, insülin izleme cihazları, daha hızlı büyüyen bir pazarın da bir parçasıdır. Giyilebilir tıbbi cihazlar, genellikle hesaplama kabiliyetine sahip bir veya daha fazla sensörden oluşan küçük elektronik

ürünlerdir. Baş, ayak, kol, el bileği ve bel gibi vücut kısımlarına tutturulmuş nesnelere gömülürler. Saatlere, gözlüklere, giysilere, kontakt lenslere, ayakkabılara ve hatta mücevherlere benzeyebilirler. Kayışlar şu anda tıbbi bir cihazı takmanın en popüler yoludur ve pazarın bu kesimi hızla büyümektedir. Ancak diğer iki segment olan, kafa bantları ve ayakkabı sensörleri de artmaktadır. Giyilebilir izleme cihazları kullanan müşteri sayısının hızla artması küresel giyilebilir tıbbi cihazlar pazarında önemli bir etmendir. Ayrıca tüketiciler, telesağlık istediklerini belirlemektedirler. ABD'li tüketicilerin %74'ü telesağlık hizmetlerini kullanmak istemektedirler. İnsülin izleme giyilebilir cihazları, sonuçları bir doktora aktaran iletim teknolojisi ile teletıp tedarikine bağlanabilir olduğundan, bu eğilimler insülin izleme giyilebilirlik piyasasını da desteklemektedir (Business Research Company, 2019).

Otomotiv endüstrisi, 2024 yılına kadar en büyük endüstriyel giyilebilir pazar payını oluşturacağı tahmin edilmektedir. Daha az zamanda daha iyi sonuç almak için mühendislik ve tasarım aşamasında AR ve VR cihazlarının kullanımının yaygınlaştırılması, otomotiv endüstrisindeki endüstriyel giyilebilir ürünlere olan talebi, verimli üretim planlaması, doğru üretim ve kalite iyileştirme ve kalite güvencesi sağlayan üretim maliyetindeki azalma ve geliştirme maliyetindeki azalmayı artırmaktadır (MarketsandMarkets, 2019).

Giyilebilir diğer teknoloji ürünlerine benzer şekilde, akıllı saatlerin büyük çoğunluğu öncelikle iki bölgesel pazarda satılmaktadır: Kuzey Amerika ve Asya.

Şekil 2: Akıllı Saat Birimi Gönderileri.



Kaynak: (Paxton, 2019).

Samsung (Güney Kore) akıllı bir arayüz platformu geliştiricisi olan Viv Labs, Inc.'i (ABD) satın aldı. Şirket, üçüncü taraf geliştiricilere konuşma asistanları kullanma ve geliştirme ve doğal bir dil tabanlı arayüzü ünlü uygulamalara ve hizmetlere entegre etme gücü veren Viv'in açık AI platformundaki uzmanlığıyla AI işinde büyümeye odaklanmaktadır (Wearable AI Market, n.d.).

3. GLOBAL GİYİLEBİLİR TIBBİ CİHAZ PAZARI: BÖLGESEL ANALİZ

Kuzey Amerika bölgesinin küresel giyilebilir tıbbi cihaz pazarındaki hakimiyetini sürdürmesi ve çok sayıda kilit oyuncunun varlığıyla devam etmesi bekleniyor. Bölge, teknolojik büyüme için bir merkezdir ve bu nedenle Kuzey Amerika'nın pazarda üstünlüğü sağlayan teknolojiye erişimi artırmıştır. Buna ek olarak, bu gelişmiş teknolojilerin geliştirilmesi ve erken uygulanması için uygun bir ortam sağlayan iyi kurulmuş bir altyapının yanı sıra gelişmiş teknolojilerin geliştirilmesi için kullanılabilirlik, pazarın büyüklüğünü artırmaya yardımcı olur. Ayrıca, Ar-Ge faaliyetlerine yönelik devlet desteğinin artırılması, bölgesel pazardaki büyümeyi tetikleyen faktörlerden bazılarıdır.

Avrupa bölgesindeki giyilebilir tıbbi cihaz pazarı, küresel olarak ikinci sıradaki kazançlı bir pazar olarak ortaya çıkmaktadır. Pazar, kişi başına düşen yüksek gelir ve bölgedeki sağlam sağlık hizmeti penetrasyonu nedeniyle büyümektedir.

Ayrıca, artan finansman, kamu ve özel sektörden Ar-Ge faaliyetleri için destek ve bölgedeki yeniden canlanan ekonominin tüketicilerin satın alma gücünün artmasında hayati bir rol oynadığı gibi ek faktörler de bölgesel

pazarın büyümesine ivme kazandırmaktadır. Gelişmekte olan tıbbi cihazlar pazarı ile Almanya bölgesel pazara hakim iken, İngiltere giyilebilir tıbbi cihaz pazarı bölgedeki en büyük ikinci pazarı oluşturmaktadır (Shri, 2020).

4. KÜRESEL GİYİLEBİLİR TEKNOLOJİ PAZARI

Technavio tarafından yayınlanan son rapora göre, dünya genelinde giyilebilir teknoloji pazarının dikkat çekici bir şekilde büyümesine çeşitli faktörler katkıda bulunuyor. Genel olarak, piyasa değeri 2019'dan 2023'e yaklaşık 36 milyar dolar artacak ve bu da yıllık %15'in üzerinde bir büyüme oranıdır.

Technavio'nun Küresel Giyilebilir Elektronik Piyasası 2019-2023 raporu dört ana pazar sürücüsünü tespit ediyor. Dünya genelinde ekonomilerin artan dijitalleşmesi, elektronik pazarındaki büyümeyi mümkün kıldığı için talep yaratmaktadır. Yapay zekayı ve artırılmış gerçekliği birleştiren giyilebilir cihazlar ve diğer ileri teknolojiler de elektronik cihazların kullanımına katkıda bulunmaktadır.

Şekil 3: Global Giyilebilir Teknoloji Pazarı %15 Hızlanacak.



Kaynak: (Brown, 2019).

Technavio, Giyilebilir Teknoloji pazarının yıldan yıla artmasının, 2019 için yaklaşık %19 olacağını ve Kuzey Amerika pazarındaki büyümenin %56'sını oluşturulacağı öngörülmüyor. Düşük güç elektroniğinin geliştirilmesine yoğun olarak odaklanan, optimize işlemciler; akıllı kol saatleri, akıllı bileklikler, akıllı halkalar ve başa takılan ekranlar gibi cihazlara olan talebi takip eder. Technavio'ya göre, giyilebilirlik endüstrisindeki ana pazar payına sahip kilit oyuncular arasında Apple, Garmin, Fitbit, Samsung ve Xiaomi bulunuyor (Brown, 2019).

ABD'de giyilebilir tıbbi cihazlar pazar payı 2018'de tüm endüstrinin %32'sinden fazlasını oluşturdu. Nüfus arasındaki kronik durumların artması, ülkedeki izleme cihazlarına olan talebi artıracaktır. Hastalık Kontrol ve Önleme Merkezi'ne göre, 10 yetişkinden 6'sı ABD'de kronik hastalıklardan muzdariptir. Ayrıca, üstün ürünlerin piyasaya sürülmesine, obezite ve diyabet yaygınlığının artmasına neden olan teknolojik gelişmeler ABD genelinde giyilebilir tıbbi cihazlara olan talebi artıracaktır.

Hindistan pazarının önümüzdeki yıllarda %46'dan fazla CAGR'de ilerlemesi bekleniyor. Genç nüfus arasında fitness aktivitelerinin ve sporun benimsenmesinin artması, Hindistan'daki giyilebilir tıbbi cihazlara olan talebi artırıyor. Uygun maliyetli ürünlerin tanıtılması, ürün talebini daha da artırmaktadır. Buna ek olarak, dijital sağlık çözümlerinin kullanılabilirliğini ve benimsenmesini genişleten Digital India gibi girişimlerin başlatılması, Hindistan giyilebilir tıbbi cihazların iş büyümesini olumlu yönde etkileyecektir (Ugalmugle ve Swain, 2018).

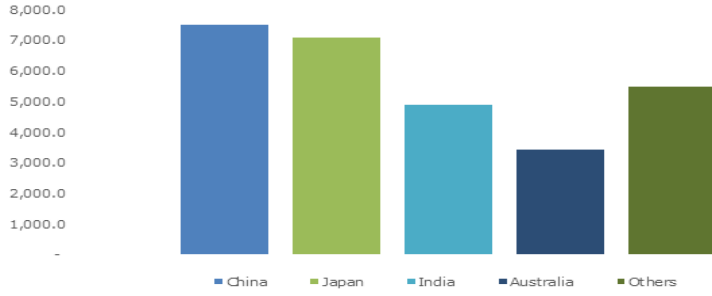
5. GİYİLEBİLİR CİHAZLARIN SAĞLIĞA ETKİLERİ

Giyilebilir cihazların yeniliği ve artan tüketici talebi, tüketicilerin giyebileceği daha fazla cihaz geliştirmek için sağlayıcıları, sigortacıları ve teknoloji şirketlerini içeren tıbbi pazarı etkiledi. Bu sağlık ve fitness ürünleri arasında akıllı saatler, FitBits ve giyilebilir monitörler bulunur.

Giyilebilir cihazların en orijinal ve en basit biçimleri arasında, aynı zamanda en sık satın alınan araçlar olan giyilebilir fitness monitörleri veya izleyiciler bulunmaktadır. Fiziksel aktivite ve kalp atış hızı izleyicisi olarak işlev gören sensörlere sahip bilekliklerdir.

Şekil 4: Asya'ya Ait Giyilebilir Tıbbi Cihazlar Pazarı.

Asia Pacific Wearable Medical Devices Market, By Country, 2025 (USD Million)



Source: www.gminsights.com

Kaynak: (Ugalmugle ve Swain, 2018).

Bu giyilebilir cihazları en çok satan ürünler haline getiren sağlık endüstrisindeki popülerlik ve pazar paylarından daha fazlası, sağlığı olumlu etkilemektedir. Önceki yıllarda diyabetli insan sayısında kayda değer bir artış kaydedilmiştir. Bu artışın ve diyabetik bakım yeniliğinin, diyabetik bakım aletlerinin istihdamını hızlandırması ve böylece giyilebilir cihaz pazar boyutunun 2025 yılına kadar büyümesini sağlaması bekleniyor (Science Times, 2019).

6. SONUÇ

Giyilebilir tıbbi cihazlar pazar payında faaliyet gösteren önde gelen oyuncuların bazıları Apple, Samsung, Fitbit ve Xiaomi'dir. Bu şirketler, yeni ürün geliştirme gibi stratejileri ve firmanın karlılığını artırmak için satın alma gibi diğer inorganik stratejileri benimsemektedir (Ugalmugle ve Swain, 2018).

Giyilebilir sektör için en büyük zorluk sürdürülebilir bir müşteri katılımı sağlamaktır. Giyilebilir elektroniklerin birçoğu kısa süreli müşteri katılımı nedeniyle kısa ömürlüdür. Kötü kalite, akıllı telefonlarla senkronize etmek, düşük batarya ömrü, rahatsız edici ve berbat tasarım, UX sorunları, kullanıcıyı cihazdan uzak tutan işlevsel nedenlerden bazılarıdır. Bununla birlikte, işlevsel ve fiziksel olarak çok güçlü olan giyilebilir cihazlar bulanabilir. Dolayısıyla güçlü bir pazar yaratılabilir. Giyilebilir cihazlar henüz kullanıcıların, yaşamları, alışkanlıkları veya davranışları üzerinde anlamlı bir etki yaratmamıştır (Happiest Minds, 2020).

Kronik hastalıkların artması ve ölüm oranlarının yükselmesi, bu nedenle, sağlık hizmeti sağlayıcıları sürekli ve uzaktan hasta izlemesi bakımı kolaylaştırır. Aynı zamanda 24 saat boyunca işlem yapılabilir. Obezite konusunda farkındalık yaratmak, insanları spor yapmaya teşvik etmek ve bu konuda akıllı bantlar ve akıllı kol saatleri gibi giyilebilir cihazlar yakılan kaloriler, adım sayısı ve yürüme mesafesinin izlenmesinde yardımcı olur.

Ayrıca, akıllı astım yönetimi, giyilebilir ağrı kesici ve insülin yönetimi ve solunum terapi cihazlarının büyümeyi hızlandırması beklenmektedir. İnsülin izlemesinin, artan diyabet prevalansı nedeniyle tahmin süresi boyunca baskın kalması beklenmektedir.

Fakat, yaşlı nüfus teknolojiyi kullanmaktan ve güvenmekten rahatsızlık duyarak pazarda yer almamaktadır (Bothun ve Lieberman, 2016).

Giyilebilir tıbbi cihazlar, yeni gelişmeler için dikkatle izlenmesi gereken hızlı gelişen bir pazardır. Her ne kadar yatırımcıların pazar genişlemesi tahminleri aşırı veya az belirtilmiş olsa da, giyilebilir tıbbi cihazlar çok yakın bir gelecekte tüketici sağlık hizmetlerini ve tıbbi dağıtım sistemlerini etkileyecektir (Sherr, 2015).

Giyilebilir teknolojinin ortaya çıkışı son yıllarda sağlık endüstrisini değiştirdi ve giyilebilir tıbbi cihazların benimsenmesi ve pazar büyümesinin artmasına yol açtı. Günün 24 saati izlenmesi gereken hastalıkların artan prevalansı, giyilebilir tıbbi cihaz pazarının önemli bir itici gücüdür (MedGadget, 2019).

Aktif olmayan bir yaşam tarzı, obezite ve diğer daha ciddi hastalıklar gibi sağlık koşullarına neden olabilir. Bu nedenle, daha fazla insan daha sağlıklı bir yaşam tarzı yaşamayı seçti. Çeşitli fiziksel aktivitelere katılırlar, spor salonuna kaydolurlar veya sağlıklı ve formda kalmak için bir spor yarışmasına katılırlar.

Giyilebilir cihazların bugün pazarda en çok satanlar olmasının nedeni de budur. Fitness meraklıları, her gün doğru sayıda adım, kalori tüketimi ve saatlerce uyku aldıklarını garanti edebilmeleri için söz konusu tıbbi ve

fitness cihazlarını satın alırlar. Artan aktivite izleme cihazı segmentinin 2025 yılına kadar giyilebilir tıbbi cihaz pazarını aynı anda artırması ve genişletmesi bekleniyor.

Giyilebilir cihaz endüstrisi tahmin raporu, 2025 yılına kadar pazarın dünya çapındaki gelirinin 87 milyar doları açacağını öngörüyor. Dünyadaki tıbbi hizmetler ve sağlık sektörlerindeki en karlı niş sektörlerden biri olarak geliştikten sonra, birçok tıbbi cihaz yapımcıları, bir sonraki ürün grubuna giyilebilir cihazları dahil etmeye başladılar (Science Times, 2019).

KAYNAKÇA

- Bothun, D. and Lieberman, M. (2016). The Wearable Life 2.0: Connected Living in a Wearable World, Consumer Intelligence Series, Available from: <https://www.pwc.se/sv/pdf-reports/the-wearable-life-2-0.pdf>, Erişim Tarihi: 14 Temmuz, 2020.
- Brown, B. (2019). Global Wearable Technology Market to Accelerate 15%, Available from: <https://healthtechinsider.com/2019/05/22/global-wearable-technology-market-to-accelerate-15/>, Erişim Tarihi: 14 Temmuz, 2020.
- Business Research Company (2019). The Largest Segment of the Wearable Medical Devices Market, Available from: <https://blog.marketresearch.com/the-fastest-growing-segment-of-the-wearable-medical-devices-market>, Erişim Tarihi: 14 Temmuz, 2020.
- Davona, T. (2015). The Wearables Report: Growth Trends, Consumer Attitudes and Why Smart Watches Will Dominate, Business Insider, Available from: <https://www.businessinsider.com.au/the-wearable-computing-market-report-bii-2015-7>, Erişim Tarihi: 12 Temmuz, 2020.
- Ghandi, M. and Wang, T. (2014). The Future of Biosensing Wearables, Rock Health, Available from: <https://rockhealth.com/reports/the-future-of-biosensing-wearables/>, Erişim Tarihi: 12 Temmuz, 2020.
- Glatter, R. (2014). Wearable Technology and Digital Healthcare Strategies Should Shift Focus to Chronic Medical Illness, Available from: <https://www.forbes.com/sites/robertglatter/2014/11/20/wearable-technology-and-digital-healthcare-strategies-should-shift-focus-to-chronic-medical-illness/#450501c0b7b2>, Erişim Tarihi: 12 Temmuz, 2020.
- Happiest Minds (2020). Different types of Wearables devices present in the market today!, <https://www.happiestminds.com/Insights/wearable-technology/>, Erişim Tarihi: 14 Temmuz, 2020.
- Harrop, P., Das, R., and Chansin, G. (n.d.). Wearable Technology 2014–2024, Technologies, Markets & Forecasts, Available from: <https://www.idtechex.com/en/research-report/wearable-technology-2014-2024-technologies-markets-forecasts/379>, Erişim Tarihi: 12 Temmuz, 2020.
- Juniper Research (2014). Smart Wearables Market to Generate \$53bn Hardware Revenues by 2019, Driven by Watches and Glasses Finds Juniper Research, Launch of the iWatch Expected to Galvanize the Fledgling New Sector, Available from: <https://www.prnewswire.com/news-releases/smart-wearables-market-to-generate-53bn-hardware-revenues-by-2019-driven-by-watches-and-glasses-finds-juniper-research-274467521.html>, , Erişim Tarihi: 12 Temmuz, 2020.
- MarketsandMarkets (2019). Industrial Wearables Market Worth \$8.6 Billion by 2024 – Exclusive Report by MarketsandMarkets, Available from: <https://www.prnewswire.com/news-releases/industrial-wearables-market-worth-8-6-billion-by-2024--exclusive-report-by-marketsandmarkets-300967244.html>, Erişim Tarihi: 14 Temmuz, 2020.
- MedGadget (2019). Wearable Medical Devices Market 2019 Global Analysis, Opportunities And Forecast To 2023, Available from: <https://www.medgadget.com/2019/09/wearable-medical-devices-market-2019-global-analysis-opportunities-and-forecast-to-2023.html>, Erişim Tarihi: 14 Temmuz, 2020.
- MedGadget (2020). Wearable Medical Devices Market 2020 | Global Industry Size, Growth, Segments, Revenue, Manufacturers and 2026 Forecast Research Report, Available from: <https://www.medgadget.com/2020/01/wearable-medical-devices-market-2020-global-industry-size-growth-segments-revenue-manufacturers-and-2026-forecast-research-report.html>, Erişim Tarihi: 12 Temmuz, 2020.
- Menafn (2020). Wearable Medical Device Market is expected to see growth rate of 19.1%, Available from: <https://menafn.com/1099732427/wearable-medical-device-market-is-expected-to-see-growth-rate-of-191>, Erişim Tarihi: 12 Temmuz, 2020.
- Paxton, M. (2019). Wearable Tech: Fueled By The Apple Watch, Smart Watch Demand Rises, <https://www.spglobal.com/marketintelligence/en/news-insights/research/wearable-tech-fueled-by-the-apple-watch-smart-watch-demand-rises>, Erişim Tarihi: 14 Temmuz, 2020.
- Science Times (2019). Wearable Medical Devices: The Next Most Popular Gadgets for Health and Fitness Enthusiasts, Available from: <https://www.sciencetimes.com/articles/24143/20191024/medical-devices-wearable-devices.htm>, Erişim Tarihi: 14 Temmuz, 2020.
- Sherr, I. (2015). Apple announces ResearchKit, a New Service for Medical Studies, CNET, Available from: <https://www.cnet.com/news/apple-announces-research-kit-a-new-service-for-medical-studies/>, Erişim Tarihi: 14 Temmuz, 2020.
- Shri, G. (2020). Wearable Medical Device Market is Growing at a Healthy CAGR During Forecast to 2023, Available from: <http://healthcare-reports.over-blog.com/2020/06/wearable-medical-device-market-is-growing-at-a-healthy-cagr-during-forecast-to-2023-4.html>, Erişim Tarihi: 12 Temmuz, 2020.

Ugalmugle, S. and Swain, R. (2018). Wearable Medical Devices Market Size By Device, Global Market Insights, Available from: <https://www.gminsights.com/industry-analysis/wearable-medical-devices-market>, Erişim Tarihi: 12 Temmuz, 2020.

Wearable AI Market (n.d.). Wearable AI Market by Product (Smart Watch, Ear Wear, Eye Wear), Operation (On-Device AI, Cloud-Based AI), Component (Processor, Connectivity IC, Sensors), Application (Consumer Electronics, Enterprise, Healthcare), and Geography - Global Forecast to 2023, Available from: <https://www.marketsandmarkets.com/Market-Reports/wearable-ai-market-168051207.html>, Erişim Tarihi: 14 Temmuz, 2020.

Gıda Güvenliği ve Ekonomik Kayıplar Açısından Gıda Sahteciliği ve Önleme Çabalarının Değerlendirilmesi

Prof. Dr. Nevin DEMİRBAŞ¹

¹Ege Üniversitesi, Ziraat Fakültesi, Tarım Ekonomisi Bölümü, nevin.demirbas@ege.edu.tr, ORCID: 0000-0002-0541-1437

Özet: Gıda tedarik zincirlerinde güvenli gıda akışını sağlamak, sözkonusu zincirlerde faaliyet gösteren aktörlerin karşılaştığı küresel bir sorundur. Çiftlikten çatala uzanan zincirlerde üretim, işleme, lojistik ve tüketim gibi ana bileşenlerin dinamik yapısı, gıda güvenliğinin sağlanmasını ve izlenmesini giderek güçleştirmektedir. Ürün akış süreçlerinde gıda güvenliği, kasıtsız ve kasıtlı nedenlerle risk altında olabilmektedir. Gıda sahteciliği, ekonomik çıkarlarla gıdaların yapısına kasıtlı olarak müdahale edilmesidir. Gıdalara her kasıtlı müdahale sağlık riski oluşturmamakla birlikte, gıda işletmeleri için ekonomik kayıplar gibi doğrudan ve/veya dışsatım ürünleri için ülke imaj kayıpları gibi dolaylı negatif sonuçlar doğurabilmektedir. Geniş bir uygulama alanı bulması itibarıyla gıda sahteciliği davranış ve uygulamaları, farklı gruplar altında sınıflandırılabilir. Gıda sahteciliği bazen ürünün içeriği yerine evrak, ambalaj ya da etiketler ile de yapılabilir. Sahtecilik olayları, günümüze özgü bir sorun olmamakla birlikte, tedarik zinciri ağlarının giderek karmaşık hale gelmesi ve teknolojinin hızlı bir şekilde gelişmesi sahtecilik fırsatlarının artmasına katkıda bulunmaktadır. Üstelik yüksek teknolojiyle üretilen ürün çeşitlerindeki artış, bu alanı cazip hale getirebilmektedir. Gıda sahteciliğinin yarattığı gıda güvenliği riskleri, potansiyel halk sağlığı kaygılarına, diğer sahtecilik davranışları ise ekonomik kayıplara yol açabilmektedir. Bu nedenle, mevcut gıda güvenlik sistemleri zaman içinde kasıtsız riskleri belirleme süreçlerinden, kasıtlı riskler için “tehdit” ve “güvenlik açığı” değerlendirmeye doğru evrilmiştir. Yine, küresel ölçekte sahteciliği belirlemek için çeşitli veri tabanları oluşturulmuş ve gıda sahteciliği ile ilgili düzenlemeler ülkelerin gıda mevzuatlarına alınmaya başlanmıştır. Bu çalışmanın amacı, gıda güvenliği ve ekonomik kayıplar açısından gıda sahteciliğini önleme çabalarının değerlendirilmesidir. Sahteciliği caydırıcı ve önleyici çabaların, tespit çabalarından çok daha önemli olduğu düşüncesinden hareketle, çalışmada, bu konu ile ilgili önerilere de yer verilmiştir.

Anahtar Kelimeler: Gıda Sahteciliği, Gıda Güvenliği, Gıda Tedarik Zinciri, İzlenebilirlik, Ekonomik Kayıplar

Evaluation of Food Fraud and Prevention Efforts in Terms of Food Safety and Economic Losses

Abstract: Providing safe food flow in food supply chains is a global problem faced by actors operating in these chains. The dynamic structure of the main components such as production, processing, logistics and consumption in the chains extending from the farm to the fork makes it increasingly difficult to ensure and trace of food safety. Food safety in product flow processes can be at risk for unintentional and intentional reasons. Food fraud is the intentional intervention in the structure of food for economic interests. While not every intentional intervention in food poses health risks, it can have direct negative consequences such as economic losses for food businesses or indirect negative consequences such as losses in the image of the countries for export products. Since it finds a wide range of applications, food fraud behaviors and practices can be classified under different groups. Food fraud can sometimes be done with documents, packaging or labels instead of the content of the product. Although it is not just a specific problem of today, the increasing complexity of food supply chain networks and the rapid development of technology increase the opportunities for food fraud. Moreover, the increase in the variety of products produced with high technology can make this area more attractive. Food safety risks caused by food fraud can lead to potential public health concerns, and other fraud behavior can lead to economic losses. For this reason, existing food safety systems have evolved over time from the process of unintentional risks identification to “threats” and “vulnerability” assessment for intentional risks. Again, various databases have been created to determine food fraud on a global scale, and regulations on food fraud have been introduced into the food legislation of countries. The aim of this study is to evaluate the efforts to prevent food fraud in terms of food safety and economic losses. Since it is thought that deterrent and preventive efforts are more important than detection efforts, suggestions on this subject are also included in the study.

Key Words: Food Fraud, Food Safety, Food Supply Chain, Traceability, Economic Losses

1. GİRİŞ

Gıda sahteciliği, kısaca, ekonomik çıkar sağlamak için gıda kullanmak suretiyle kasıtlı bir aldatmaca olarak tanımlanmakta ve farklı şekillerde yapılabilir. Tağşiş, hırsızlık (örneğin kargo hırsızlığı, mağaza hırsızlığı vb.), yetkisiz üretim, yanlış etiketleme, yanlış markalama ve fikri mülkiyet hakları sahteciliği bunlardan

bazılarıdır (Spink and Moyer, 2011; Spink et al., 2016; Spink et al.,2019). ABD Gıda ve İlaç Dairesi (FDA), Ekonomik Motivasyonlu Gıda Sahteciliğini (EMA) “ürünün görünür değerini artırmak veya üretim maliyetini azaltmak, yani ekonomik çıkar sağlamak için bir ürünün kasıtlı olarak ikame edilmesi veya bir ürüne bir maddenin eklenmesi” olarak tanımlamıştır. Daha pahalı gıda ürünlerini daha ucuz alternatiflerle karıştırmak (tağşiş) en yaygın ortaya çıkan gıda sahteciliği uygulamalarındandır (Galvin-King et al., 2018). Gıda sahteciliği; tedarikçiler, gıda üreticileri, perakendeciler ve ithalatçılar dahil olmak üzere tedarik zincirinde yer alan herhangi bir kişi veya grup tarafından gerçekleştirilebilmektedir (Silvis et al., 2017). Bu nedenle, gıda sahteciliği olayları genellikle ulusal sınırları aşabilmektedir. Her ne kadar gıda sahteciliğinin önlenmesi, öngörülemelik ve sahtecilere yönelik potansiyel ekonomik çıkar nedeniyle benzersiz bir gıda araştırma alanı olarak ortaya çıksa da, gıda sahteciliği olayları yeni değildir. Antik çağlardan beri gıda sahteciliğinin sürdüğü ve bu konuda Roma dönemine ait kanıtlar bulunduğu bildirilmektedir (Spink et al., 2017; Breitenbach et al.,2018). Yine, MÖ 1056'dan 256'ya kadar uzanan Çin Zhou Hanedanlığı dönemine ait hileli eylemlere yönelik yasaların raporları da bulunmaktadır (Spink et al., 2017). Gıda sahteciliği özellikle ortaçağda, birçok tüccarın pahalı ithal baharatlarla ucuz ikame maddeleri karıştırıp; bunları Avrupa'da satmasıyla yaygın hale gelmiştir. ABD'de ise gıda sahteciliği 18. ve 19. yüzyıllarda yaygınlaşmıştır. En yaygın gıda sahteciliği türleri; su ve tebeşirle karıştırılan süt, kahveye eklenen kurşun ve baharatlarla karıştırılan ucuz ikamelerdir. Gıda sahteciliğinin tespit edilmesini sağlayan teknolojik ilerlemelere ve tüketicilerin, gıda güvenliği konusundaki hassasiyetlerine rağmen, ABD'de market raflarındaki yiyeceklerin yaklaşık % 10'unun sahteciliğe maruz kaldığı belirtilmektedir. Günümüzde, gıda sahteciliği Avrupa'da da oldukça yaygındır. Aralık 2014 - Ocak 2015 döneminde 47 ülkede Interpol ve Europol tarafından başlatılan en büyük gıda sahteciliği araştırmalarından birinde, İtalya'dan 31 ton kimyasal işlem görmüş deniz ürünü ve Mısır'dan 35 ton sahte tereyağı ithalatı dahil olmak üzere binlerce ton hileli gıda ele geçirildiği belirtilmektedir (Meerza et al., 2020).

Geçmişten bugüne, gıda sahteciliği olayları muhtemelen tüketici başına artmamıştır; bununla birlikte, küreselleşme ve sanayileşme her olayın kapsamını ve ölçeğini büyümüştür. Üretim ve dağıtımın küreselleşmesi nedeniyle, modern gıda sahteciliği olayları geniş çapta gerçekleşebilmekte, bölgesel veya küresel etkiye de sahip olabilmektedir. Örneğin, 2007 yılında Çin'deki bebek ve evcil hayvan mamalarında melamin sorunu, uluslararası bir kapsama sahip olmuştur (Spink et al., 2017). Gıdada sahtecilik, yeni bir olgu olmasa da, gıdaların doğrulanması ve bu arada etiketlerinin doğruluğu, gıda sektöründeki paydaşlar ve tüketiciler gibi birçok farklı grup için büyük endişe kaynağı oluşturmaktadır (Huck et al., 2016). Nitekim, Deli Dana Hastalığı (BSE) ve dioksinler gibi önceki gıda güvenliği olayları, son yirmi yılda gittikçe daha sofistike ve ayrıntılı gıda güvenliği kontrol sistemlerini ve bu konudaki kamu bilincinin oluşmasını da motive etmiştir. Bu önleyici tedbirlere rağmen, gıda sahteciliği olayları hala devam etmektedir (Marvin et al., 2016). Son vakalar arasında akçaağaç şurubunun daha ucuz sofr şekerini ile seyreltilmesi, premium balıkların diğer türlerle değiştirilmesi, deniz ürünlerinin yanlış etiketlenmesi, pirincin yeni son kullanma tarihi ile yeniden paketlenmesi, hurmalar ve yer fıstıklarının taş ve çakıl ile karıştırılması sayılabilir (Soon et al., 2019). Türkiye'de de özellikle et ve et ürünleri, süt ve süt ürünleri, bitkisel yağlar, takviye edici gıdalar başta olmak üzere pek çok gıdada taklit ve tağşiş yapılmaktadır (Türkmen ve Ataseven, 2020).

Taklit ve tağşiş gibi hileleri de içeren ve bunlardan daha geniş bir kapsama sahip olan gıda sahteciliği, aslında, küreselleşmiş ticaretin sonucu olarak durmak bilmeyen bir mücadeledir (Acutisa et al., 2019). İşte bu nedenle, gıda sahteciliğinin, önemine dikkat çeken ve giderek gelişen bir literatür oluşmaktadır (Bouzembrak et al., 2018). Bu çalışmanın amacı ise, son yıllardaki gıda sahteciliği ve önlenmesi çabalarını gıda güvenliği ve ekonomik kayıplar açısından değerlendirmektir. Çalışmada ayrıca, sahteciliğin önlenmesine ilişkin önerilere de yer verilmiştir.

2. Gıda Güvenliği Açısından Gıda Sahteciliği

Son yıllarda tüketicilerin bilinçlenmesi ve gıda güvenliği beklentilerinin artması (Galvin-King et al.,2018) ülkelerin gıda mevzuatlarını daha kaliteli ve güvenli gıda üretme doğrultusunda güncellemelerini sağlamıştır. Kaliteli ve güvenli gıda üretimi ise gıda güvenliği sistemlerinin doğru kurulması ve etkin uygulanmasıyla mümkündür. Gıda tedarik zincirinin bir halkasında veya sistemin herhangi bir noktasında meydana gelen aksaklık, tüketime sunulan gıdanın güvenliğini riske atabilmektedir (Kantaroğlu ve Demirbaş,2019). Gıda güvenliği risklerinin yönetimi genellikle gıdalarda doğal olarak oluşan veya kasıtsız olarak gıda tedarik zincirlerindeki gıda işleme, depolama veya elleçleme nedeniyle oluşan tehlikelere odaklanmaktadır. Tüm

gelişmeler dinamik bir süreç içinde yaşanırken; tüketiciler, gıda işletmeleri ile izleme ve kontrol otoriteleri, sahtecilik ve cezai ihmalin giderek daha fazla farkına varmaktadır. Üretim sistemindeki başarısızlıkların veya gıda zincirindeki diğer kasıtsız kalite sorunlarının aksine, bunlar, zincirdeki aktörlerin ekonomik kâr elde etmek için kasıtlı davranışlarından kaynaklanan kalite ve/veya güvenlik sorunlarını içermektedir (Tahkapaa et al., 2015). Gıda sahteciliği ekonomik çıkar için, gıdalara kasıtlı olarak müdahale edildiğinde meydana gelmekte ve her zaman olmasa da, gıda güvenliği için bir risk oluşturabilmektedir. Örneğin, "at eti skandalı", 2013 yılında Avrupa çapında satılan at etinin, sığır eti olarak kasıtlı bir şekilde yanlış etiketlenmesini içeriyordu. Bu olay önemli bir halk sağlığı riski taşımasa da, tüketicinin sığır eti tedarik zincirine ve bir bütün olarak Avrupa Birliği (AB) gıda sistemine duyduğu güveni zedelemiştir (Kendall et al., 2019). Literatürde tahıllar, süt ürünleri, balık, katma değeri yüksek meyve ve meyve suları gibi ürün sahteciliğinin birçok örneği bulunmaktadır. Bununla birlikte örneğin fındık ve badem gibi görece olarak yüksek fiyatlı ürünlerde yer fıstığı gibi ikame alerjik materyallerle sahtecilik yapıldığında endişe verici sonuçlar ortaya çıkabilmektedir (Manning, 2016). Nitekim 2014 yılında, toz haline getirilmiş kimyonlarda öğütülmüş yer fıstığı kabuğu tespit edilmiştir. Bu sahtecilik girişimi alerjenik özellikleri nedeniyle fıstık alerjisi olanlar için ciddi bir risktir. Soruşturmalar, bu durumun kazaran oluşmadığını, hileli faaliyette bulunan şirketin ana motivasyonunun, yüksek kaliteli kimyona daha ucuz dökme malzeme eklenmesinden elde edilecek ekonomik çıkar olduğu belirlenmiştir (Silvis et al., 2017).

Gıdada özellikle tağşiş ve yanlış etiketleme şeklindeki gıda sahteciliği, sanayileşen tarım/gıda sistemlerinin bütünlüğüne yönelik bir tehdit olarak görülmekte ve tüketiciler, gıda sanayii ve dünya çapında hükümetler için önemli bir endişe kaynağı oluşturmaktadır. Gıdalarda tağşiş yeni bir sorun değildir. İspanya'da, 1981 yılında taşıt yağı insan tüketimi için kullanılan yağ ile karıştırılmış ve ortaya çıkan toksik yağ sendromuna maruz kalanların 20.000'den fazlası hastalığa yakalanmış ve 1663 kişi hayatını kaybetmiştir (Tahkapaa et al., 2015). 2008 yılındaki Çin süt skandalı, gıda tağşişinin küresel ölçekte birçok ülkedeki tüketicileri ve sanayileri etkileyen sonuçlarını göstermiştir. Skandal, sulandırılmış sütün yüksek kaliteli süt olarak satılmasını ve protein içeriğini artırmak ve beslenme testlerinden geçmek için süte melamin eklenmesini içeriyordu (Zhang and Xue, 2016). Bu skandal nedeniyle dünya çapında 290.000 bebek melamin bulaşmasından etkilenmiş, bunlardan altısı hayatını kaybetmiş ve 52.000 bebek hastanelerde tedaviye alınmıştır (Meerza et al., 2020).

Gıda sahteciliği ile ilgili tüm tarafların ciddi çabalarına ve gıda güvenliğini sağlamak için risk tabanlı yaklaşımların kullanılmasına rağmen, gıda kaynaklı hastalıklar devam etmektedir. Dünya Sağlık Örgütü (DSÖ), Avrupa'da 23 milyon insanın her yıl güvensiz gıdalardan hastalandığını ve yaklaşık 5000 insanın hayatını kaybettiğini belirtmektedir. Bu vakalardan kasıtsız gıda güvenliği sorunlarına bağlı olanlara ilişkin bir veri bulunmamakla birlikte, gıda sahteciliğinin büyüyen bir halk sağlığı riski olduğu ortadadır. Elbette, gıda güvenliği risklerine sıfır tolerans mümkün değildir. Bununla birlikte, ekonomik çıkarların motive ettiği gıda sahteciliği cephesinden gıda güvenliği yaklaşımının daha da optimize edilebilmesi için mevcut gıda güvenliği yaklaşımının genişletilmesi gerektiği de ortadadır (Verhaelen et al., 2018). Sahteciler için büyük ekonomik çıkarlar yaratan bu fırsatlar, gıda sistemlerinde birçok açıdan ekonomik kayıplara yol açabilmektedir.

3. Ekonomik Kayıplar Açısından Gıda Sahteciliği

Bir gıda sahteciliğinin ekonomik getirisi, madde düzeyindeki bir değerlendirmeye dayanarak hesaplanabilirken, ekonomik etkisi genellikle tam olarak hesaplanamamaktadır (Moyer et al., 2017). Gıda sahteciliği bu denli yaygın olmasına ve tüketici refahı ile bazen ilgili sektörler için yıkıcı sonuçları son derece önemli düzeylerde olmasına rağmen, gıda sahteciliğinin sistematik bir ekonomik analizi neredeyse bulunmamaktadır (Meerza et al., 2020). Gıda üreticileri bilmeden düşük kaliteli veya yasadışı hammadde satın almakla başlayarak çeşitli şekillerde mağdur edilebilmektedir. Sahtecilik ve beyaz yakalı suçlar için fırsatlar uzun fiziksel mesafelerden kaynaklanabilmektedir. Bu tür durumlarda, gıda işleyicileri, yeniden işlenen veya geri çağrılan ürünler için temel geri ödeme maliyeti nedeniyle mağdur olmaktadır. Yine marka sahipleri için satış ve itibar kaybı ile birlikte marka değeri kayıpları (düşük hisse senedi fiyatları) nedeniyle ekonomik kayıplar da oluşabilmektedir. Sivil davaların yasal sorumluluk maliyetine ek olarak, ciddi düzenleyici hatta idari cezalar da ortaya çıkabilmektedir (Moyer et al., 2017 ; Cadieux et al., 2019).

Nebraska Üniversitesi Tarım Ekonomisi Bölümü'nde tamamlanan bir doktora tezinde gıda sahteciliğinin; tüketiciler, üreticiler (örneğin, gıda işleme), araçlar ve perakendeciler gibi ilgili tüm gruplar üzerindeki etkileri analiz edilmiştir. Çalışmanın analitik sonuçları, yüksek (düşük) kaliteli ürün fiyatının, gıda sahteciliğinin varlığında azaldığını (arttığını) gösterirken, gıda sahteciliğinin piyasa denge fiyatı üzerindeki etkilerinin duruma

özel olduğunu ve talep ile arz etkilerinin göreceli büyüklüğüne bağlı olduğunu göstermektedir. Çalışmaya göre, gıda sahteciliğinin varlığında, çoğu durumda, yüksek kaliteli ürün tedarikçilerinin kârı düşerken, düşük kaliteli ürün tedarikçilerinin kârı ise artmaktadır. Araştırmanın sonuçları, çoğu durumda, (birçok) yüksek kaliteli ürün üreticilerinin ve sahtecilik yapan (tüm) düşük kaliteli ürün üreticilerinin kazancının en fazla olduğunu, bunu düşük kaliteli ürünü üretmeye devam eden ancak gıda sahteciliği yapmayan üreticilerin izlediğini göstermektedir. Dürüst, düşük kaliteli ürün üreten üreticiler kazanırken, dürüst yüksek kaliteli ürün üreten üreticiler her zaman gıda sahteciliği durumunda ekonomik kayıplarla karşı karşıya kalmaktadır. Şaşırtıcı bir şekilde, gıda sahteciliği, düşük ve yüksek kaliteli ürünlerin dürüst üreticileri üzerinde farklı etkilere sahip olsa da, hem yüksek hem de düşük kaliteli ürün tüketen *tüketicilerin* refahını azalttığı gösterilmiştir (Meerza et al., 2020).

Doğaldır ki, sahteciliğin ortaya çıkardığı doğrudan ekonomik kayıplar kadar, dolaylı ekonomik etkilerden de söz edilebilir. Gıda tedarik zincirindeki tüm aktörler için itibar kayıpları bunlardan biridir (Yang et al., 2019). Gıda sahteciliği olayları tüketicilerin güven kaybı nedeniyle şirketlerin satış kayıpları ile de sonuçlanabilmektedir (Tahkapaa et al., 2015). Örneğin, son yıllarda, yasadışı olarak sığır eti ürünlerine at eti eklenmesi, Avrupa genelinde tüketici güven krizleri yaratmıştır. At eti açıkça yasa dışı eklenmiş bir “tağış maddesi” olsa da, belirlenmiş bir halk sağlığı tehlikesine yol açmamıştır. Ancak bu skandalın büyük bir ekonomik etkisi olmuştur. Bunun nedenleri, yaygın ürün geri çağrımları, maliyetli özgünlük testleri ve Birleşik Krallık ve Avrupa’da neredeyse tüm kıyma satışlarının etkili bir şekilde durma noktasına gelmesidir.

Bir gıda sahteciliği olayı şirketleri, sanayileri ve hatta tüm ülke ekonomilerini ciddi şekilde etkileyebilmektedir. Çin’de 2007’de son kullanma tarihi sahteciliği iddiası McDonald’s Corporation’ın hisse senedi fiyatında %0.8 oranında düşüşe yol açmıştır. Tarih kodlarının yasadışı bir şekilde daha yeni bir tarihle değiştirildiği ve son kullanma tarihi geçen ürünlerin yasa dışı bir şekilde tekrar ticarete sokulduğu iddia edilmişti. Bu durumun, şirketin 90 milyar Dolarlık piyasa değerinde 900 milyon Dolarlık bir kayıp anlamına geldiği belirtilmektedir (Spink et al., 2016). Bu olay nedeniyle, sahtecilik kurbanlarından biri olan McDonald’s Corporation’ın, sadece olayın raporlandığı gün 500 milyon Dolardan fazla hisse senedi fiyat düşüşü ve aylık 40 milyon Doların üzerinde küresel satış kaybı olduğu tahmin edilmektedir (Spink et al., 2017). Yine bir diğer gıda skandalında, Fonterra yaklaşık 300 milyon Euro değerinde bir satış kaybına uğramıştır. Fonterra süt ürünlerinde meydana gelen bir gıda güvenliği olayı, olaydan sonra değerinin düşürüldüğü bildirilen ulusal para birimi de dahil olmak üzere Yeni Zelanda’da büyük ekonomik kayıplara neden olmuştur. Bu ekonomik kayıp çok geniş kapsamlıdır. Çünkü süt ürünleri Yeni Zelanda’nın toplam ihracatının yaklaşık 1/3’ünü oluşturmakta ve tek başına Fonterra tüm küresel süt satışlarının 1/3’ünü gerçekleştirmektedir (Spink et al., 2016).

Görüldüğü gibi, tek bir gıda skandalı, sektörde uzun vadeli kayıplara neden olabilmekte, değerli markaları yok edebilmekte, ihracat pazarlarını kapatabilmekte ve kamu kurumlarına duyulan güvene zarar verebilmektedir (Galvin-King et al., 2018). Gıda sahteciliği bir bölgenin, hatta bir ülkenin marka imajını, fikri mülkiyet korumasını ve haklarını da etkileyebilmektedir. Bu kapsamda, taklit ürünler, bazı ürünlerin sembolik değerini ekonomik açıdan aşağı çekebilmektedir (Huck et al., 2016). Ayrıca bireysel işletmeler için, sosyal kayıplar ve cezalar, üçüncü taraf kayıpları (örn. Ekstra testler), güven kayıpları, satış kayıpları ve aşırı ödeme ve geri çekme kayıpları da ortaya çıkabilmektedir (van Ruth et al., 2018).

4. Gıda Sahteciliğini Önleme Çabalarındaki Gelişmeler

Günümüzde giderek daha uzun ve karmaşık hale gelen gıda tedarik zincirleri ve genellikle işlenmiş gıdalarda çok fazla kullanılan katkı maddeleri, hileli faaliyetleri kolaylaştırırken, sahtecilik uygulamalarının tespit edilmesini zorlaştırmaktadır (Zhang and Xue, 2016). Tüketicilerin satın aldıkları ürünlerin hileli olduğunu fark etmesi mümkün olmadığından, gıda sahteciliği, bir halk sağlığı skandalı ortaya çıkıncaya kadar fark edilmeden devam edebilir, ancak gıda sahteciliği daha önce de örneklendiği gibi, “kurbansız bir suç değildir”(Galvin-King et al., 2018). Aslında, gıda izlenebilirlik sistemleri, ABD, AB, Kanada, Japonya, Avustralya, Brezilya, Arjantin gibi tarımsal üretim yapan başlıca ülkeler tarafından kaliteyi etkili bir şekilde izleyebilen ve gıda sisteminde olumsuz seçim ve sahtecilik olasılıklarına karşı bilgi asimetri problemlerini azaltabilen bir gıda güvenliği aracı olarak kabul edilmektedir. Bilgi teknolojisi (IT) tabanlı izlenebilirlik sistemleri tüm tarımsal ürün ve gıda alanlarında geliştirilmiş ve uygulanmaktadır. Bununla birlikte, gıda izlenebilirlik sistemleri, sistemde depolanan bilgilerin işletme istekliliğine bağlı olduğu anlamına geldiği için, operasyon sırasında yeterli denetim yoksa sahte bilgi üretmeleri son derece kolay olabilmektedir (Zhang et al., 2011). Yine, gıda güvenliği erken uyarı sistemleri, iyi

yönetilen gıda tedarik zincirlerinde bile bilinen ve düzenli olarak ortaya çıkan yaygın gıda kontaminantlarına yöneliktir. Temel sorun, sanayilerin ve yeni ürünlerin, düzenlemelerden, tespit yöntemlerinden veya akademik çalışmaların ele alabileceğinden daha hızlı büyümesi veya değişmesidir. Yerleşik iş ilişkileri için, tedarik zinciri faaliyetleri ve izleme, lojistik, envanter izlenebilirliği ve kalite kontrolüne odaklanmaktadır. Bu izleme genellikle sahteciliği tespit etmek, caydırmak veya önlemek için tasarlanmamıştır. Çünkü, gıda güvenliği yönetim sistemleri, tedarik zinciri ortaklarının *güvenilir* olduğunu ve *doğru şeyleri doğru yapmaya* çalıştığını varsaymaktadır. O nedenle, izleme, sahtecilik olasılıklarına değil, gıda tedarik zincirinde veya bilinen kontaminantlarda olması beklenenlere odaklanmaktadır (Moyer et al., 2017). **İşte bu nedenle izlenebilirlik sistemleri sahteciliğin önlenmesinde yetersiz kalabilmektedir.** Bunun için, klasik çiftlikten çatala prensibinin ötesinde, karmaşık küresel gıda tedarik zinciri ağları hakkında bütüncül bir görüşe ihtiyaç bulunmaktadır. Gıda üretimi ile ilgili çok kapsamlı bir bakış açısının, gıda sahteciliğinin daha iyi anlaşılmasını ve öngörülmesini sağlayabileceği belirtilmektedir (Verhaelen et al., 2018; Soon et al., 2019).

Gıda sahteciliğini önleme çabaları bir çok küresel ajans, dernek, sertifikasyon kuruluşu ve standart kuruluşu tarafından gösterilmektedir. Çabalar mevzuat geliştirme ve süreç yönetimine ilişkin kurallar için teknik bir çerçeve oluşturma yönündedir. Bu kuruluşlar arasında, DEFRA/İngiltere, GFSI (Gıdalara Yönelik Küresel Gıda Güvenliği Girişimi), FSA/ İngiltere, ISO, FDA/ABD, AB , AP (Avrupa Parlamentosu), BRC/İngiltere ve Codex Alimentarius sayılabilir (Spink et al., 2019). Gıda güvenlik sistemleri, zaman içinde ortaya çıkan yetersizliklerin giderilebilmesi ve mevcut ihtiyaçlara yanıt verilebilmesi için geliştirilmeye çalışılmaktadır. Nitekim son yıllarda sahtecilik ve gıda bütünlüğü konularına odaklanan bir dizi risk değerlendirmesi prosedürü geliştirilmiştir. Bunlardan biri TACCP (Tehdit Değerlendirmesi ve Kritik Kontrol Noktası) ve diğeri de VACCP (Güvenlik Açığı Değerlendirmesi ve Kritik Kontrol Noktası)'dir. TACCP, "tehditlerin değerlendirilmesi, güvenlik açıklarının belirlenmesi ve tüm üretim süreç kontrollerinin uygulanması yoluyla riskin sistematik yönetimi" olarak tanımlanmaktadır. TACCP tarafından kontrol edilen tehditler arasında taşış ve kötü niyetli bulaşma, casusluk, sahtecilik ve siber suçlar sayılabilir. HACCP (Tehlike Analizi ve Kritik Kontrol Noktası) ilkelerini takip eder ve kullanıcıların bir TACCP ekibi kurmasını, çalışma kapsamını tanımlamasını, mevcut TACCP önlemlerini gözden geçirmesini, tehdit karakterizasyonunu, azaltma stratejisi geliştirmesini, yeni veya ortaya çıkan tehditler için ufuk taramasını, uygulamasını ve bunlar için, kayıt ve dokümantasyon ve denetim/inceleme gerektirmektedir. Tehditleri değerlendiren TACCP, 'kirlenmeye yol açan ideolojik olarak motive edilmiş saldırı da dahil olmak üzere kasıtlı saldırılara karşı gıda ve içecek güvenliğini sağlama sürecidir. VACCP ise, gıda sahteciliğine duyarlılık veya maruz kalmaya odaklanmaktadır. Kapsamı, gıdanın kasıtlı/kasıtsız potansiyel olarak taşışının sistematik olarak önlenmesini içermektedir (Soon et al., 2019).

Gıda sahteciliği için motivasyon, temel olarak gıda kalitesi, gıda güvenliği veya gıda savunması gibi diğer gıda risklerinden farklılık göstermektedir. Söz konusu biyolojik organizma bir *mikrop* olduğunda, doğal olarak mikrobiyoloji alanında çalışılması gerekir, gıda sahteciliğinde ise, söz konusu biyolojik organizma *bir insandır*, bu yüzden doğal olarak Sosyal Bilimler ve özellikle Kriminoloji alanına girmek gerekmektedir (Cadieux et al., 2019).

Çeşitli ülkelerin ve bu alanda faaliyet gösteren uluslararası kuruluşların önemli çabaları gıda güvenliği riskine karşı sahtecilik kapsamındaki girişimleri tespit etmek, erken uyarı ve bu bunların belgelenmesi için veri tabanları geliştirilmesidir. AB'de sahtecilik de dahil olmak üzere ciddi riskleri tespit etmek için 1979 yılında Gıda ve Yem için Hızlı Uyarı Sistemi (RASFF) başlatılmıştır. AB RASFF veritabanı, acil bildirimlerin gönderilebileceği, alınabileceği ve yanıt verilebildiği merkezi ve aranabilir bir veritabanıdır (RASFF, 2019). RASFF bildirimleri, gıda ürünlerini ve taşış/sahtecilik, zayıf veya yetersiz kontroller, eksik/yanlış etiketleme, alerjenler, patojen mikroorganizmalar ve mikotoksinler (toplam 26 farklı tehlike kategorisi) gibi tehlike türlerini tanımlamaktadır. Avrupa Komisyonu, gıda sahteciliğindeki artışa paralel olarak 1999 yılında sahtekarlıkları araştırmak için Avrupa Dolandırıcılıkla Mücadele Ofisi'ni (OLAF) kurmuştur. OLAF'ın ana görevi, AB'nin mali çıkarlarını her türlü sistematik sahtekarlığa karşı korumaktır. 1999-2011 yılları arasında Avrupa'da 7000 tarım ve balıkçılık dolandırıcılığı iddiası yapılmış; 3000 dava kovuşturulmuş ve 300 kişiye hapis cezası verilmiştir (Tahkapaa et al., 2015). ABD'de ise diğer bazı veritabanlarının yanı sıra Ekonomik Olarak Motive Edilmiş Sahtecilik veritabanı (EMA) oluşturulmuştur. EMA 1980'den bu yana gıda sahteciliği olaylarını içermekte ve bu veri tabanı ile gıda ürünü, dolandırıcılık olayı, hile, dolandırıcılık türü, sağlık sonuçları, menşe ülkesi ve olayın nasıl keşfedildiği hakkında bilgi verilmektedir. İngiltere'de ise HorizonScan veri tabanı oluşturulmuştur. HorizonScan, kirlilik, ikame ve sahtekarlık ile ilgili olayların yanı sıra mikrobiyal kirlenici maddeler, alerjenler, böcek ilaçları ve ilaç kalıntıları gibi küresel gıda ve yem bütünlüğü konularına odaklanmaktadır. RASFF, altı farklı dolandırıcılık

türünde sınıflandırılmış kasıtlı ve istemeden gıda dolandırıcılık bildirimlerini içerirken, EMA veri tabanı; ikame, seyreltme, sahte ve yanlış markalama olmak üzere dokuz farklı türde sahteciliği kapsamaktadır (Bouzembrak and Marvin, 2016). HorizonScan veri tabanı ise sahte sağlık sertifikası / dokümantasyon, onaylanmamış tesisler, son kullanma tarihi değişiklikleri, yetkisiz /uygun olmayan nakliye gibi gıda sahtecilik türlerini içermektedir. Yine, AB'de, sınır ötesi işbirliği taleplerini yerine getirmek ve şüpheli durumlarda ulusal makamlarla Komisyon arasında hızlı bilgi alışverişini sağlamak amacıyla Gıda Dolandırıcılık Ağı (FFN) kurulmuştur (Bouzembrak et al., 2018). Bu veri tabanlarının dışında ücretsiz ve/veya ücretli erişilebilen ya da erişime açık olmayan veritabanlarının da sayısı giderek artmaktadır (Manning and Soon, 2019). Veri tabanlarının algoritmaları farklı olmakla birlikte, ortak amaçları sahteciliğin önlenmesidir.

5. Gıda Sahteciliğini Önlemeye İlişkin Öneriler

Konunun karmaşıklığı ve gelişen gıda sistemleri yeni sahtecilik fırsatlarına yol açmaktadır. O nedenle, her şeyden önce, gıda sahteciliğinin ve sahtekarlığının tüm farklı ve olası faaliyetlerini içeren bir “gıda sahteciliği” tanımı oluşturulması önemlidir. Eksiksiz bir gıda sahteciliği tanımı, gıda sanayii ile iddiaları soruşturan müfettişler ve savcılar için yasal gerekliliklerin açıklığa kavuşturulmasına yardımcı olacaktır.

Basitçe formüle edilecek olursa, “fırsatlar + motivasyon – kontrol önlemleri= gıda sahteciliği güvenlik açığı”nı oluşturmaktadır (Dimassi, 2018). Bu formülden hareketle gıda sahteciliği girişim potansiyeli, en yaygın hileli gıda ürünleri ve kullanılacak en iyi önleme tedbirleri hakkında farkındalığı artırmak için bir eğitim ve öğretim kampanyası ile birleştirilmelidir. Bu kampanya, öncelikle gıda bütünlüğü kültürünün oluşturulmasına (veya geliştirilmesine) yardımcı olmak için gıda sanayiine yönelik olmalıdır. Gıda zinciri boyunca tedarik edilen bileşenlerin veya gıda hammaddelerinin son ürünlere kadar orijinalliğini ve bütünlüğünü doğrulamak için zorunlu testler veya sertifikalar gereklidir. Bununla birlikte, mevcut gıda sahteciliği tespit yöntemleri her türlü sahteciliği tespit edememekte ve bu testlerin bazıları son derece pahalı ekipman ve kalifiye teknisyenler gerektirebilmektedir (Cadieux et al., 2019). Bu noktada, sahteciliği azaltacak bazı tedarik zinciri faktörlerine odaklanma gerekliliğinin önemi ortaya çıkmaktadır. Uygun mevzuat, teknoloji, envanter yönetimi prosedürleri, etkin tedarik uygulamaları ve ilişki yönetimi bu faktörlerden bazılarıdır (Manning, 2016). Ayrıca etik iş kültürünün oluşturulması da gıda sahteciliğinin azaltılmasında son derece önemlidir. Güçlü bir etik kurumsal ortama sahip şirketler, kural ve düzenlemelere uymada daha istekli çalışanlara sahip olmaları itibarıyla daha güçlü ve güvenli bir üretim ortamı sağlayabileceklerdir (van Ruth et al., 2017).

Yerel ve niş gıdalar da sahteciliğe karşı bağışık değildir. Bu ürünler için de ürün ve süreç özgünlüğünü ortaya koymak için artan bir gereksinim vardır (Manning, 2016). Özellikle yöresel gıda üreten küçük ve orta boy işletmeler için coğrafi işaret; gıda özgünlüğü ve kalitesini sağlamakla ilgili olduğu için, gıda sahteciliği ve güvenliğini çevreleyen soruların araştırılabileceği ve tüketicilerin olası iddialarının objektif olarak değerlendirmesine olanak tanıyan kavramsal bir mercer sağlamaktadır. Bu açıdan coğrafi işaret uygulamaları sahteciliğin önlenmesinde önemli bir başlangıç sağlayabilir (Callao and Ruisanchez, 2018; Alparslan Saygın ve Demirbaş, 2019).

Gıda sahteciliğinin önlenmesi, karmaşık güvenlik açıkları nedeniyle disiplinler arası bir yaklaşım gerektirmektedir. Gıda tedarik zincirinin içinde ve dışında, gelecekte ortaya çıkabilecek riskleri doğrudan veya dolaylı olarak etkileyebilecek değişimler için ekonomi, ticaret, çevre, tarım sektörü ile teknolojik ve bilimsel gelişmeleri izlemek önemlidir. Bu sektörlerdeki değişiklikler, gıda güvenliği ve gıda sahteciliği konularının itici güçleri olabilmektedir (Verhaelen et al., 2018).

Gıda sahteciliğinde yeni strateji, belirleme (saptama) ve riski azaltmadan, önleme ve tahminlemeye doğru evrilmelidir (Manning, 2016; van Ruth et al., 2017). Gıda sahteciliği fırsatları çok çeşitli olduğu için, en etkili çözüm “önlemeye” odaklanmaktır. Sahtecilik fırsatlarının ekonomik etkilerini anlamak, kırılabilirliği, etkili riskleri ve Kurumsal Risk Yönetimi'ni değerlendirmek için anahtardır (Moyer et al., 2017). Özellikle gıda ürünleri hareketliliği ve fiyatları gibi değişkenler etkin önleme göstergeleri olarak dikkate alınmalıdır. Bu değişkenleri barındıran veritabanları, kayıt tutmadan (arşivlemeden) ziyade öngörümleme için geliştirilmeli ve kullanılmalıdır.

Tüketicilerin yararlanabileceği bazı sahtecilik önlemleri de mevcuttur. QR kodları, hologramlar veya müşteri hizmetleri hattı bilgileri gibi çözümler, tüketicilerin bir ürünün bütünlüğünü satın alma ve tüketim noktasında değerlendirmelerine yardımcı olmak için özel olarak tasarlanmışlardır (Kendall et al., 2019). Elbette, bu uygulamaların yaygın kullanımının sağlanması da son derece önemlidir.

Hukuki açıdan da gıda sahteciliğini önleyici bazı önerilerden söz edilebilir. Gıda sahteciliği son derece kârlı olabilir ve tek bir sahte gıda sevkiyatı bile çok büyük kazançlar sağlayabilir. Bu nedenle, hileli faaliyetlerden kaynaklanan potansiyel finansal getiriyi aşan çok daha ağır cezalar uygulanmalıdır. Bazı davalarda olduğu gibi, şirketin icracı üyeleri de hileli faaliyetlere katılımlarından sorumlu tutulabilir (Cadieux et al., 2019). Elbette, daha yüksek para cezaları tek başına sorunu çözmeye yetmeyebilecektir. Bu nedenle, gıda sahteciliğinde suçu sabit görülenlerin gıda sektöründe faaliyetine ve bu kişilerin kapatılan şirketlerini farklı isimlerle tekrar kurmasına izin verilmemelidir.

Son olarak sahtecilikle mücadelede tüketicilerin de kendi sağlıkları için dikkatli olması gerekmektedir. Tüketiciler kayıt dışı ve izlenebilirliği olmayan ürünlerden uzak durmalıdır. Yol kenarlarında ya da seyyar satıcılar ile kapıya gelen, etiketsiz ambalajlarda “köy ürünü”/“doğal ürün” gibi ifadelerle satılan ürünlerde sahteciliğin daha ağırlıkta olduğu ifade edilmektedir (Beydola ve Rodoplu, 2020). Türkiye’de olduğu gibi, tüketicilerin erişebileceği bir ALO Gıda Hattı ise piyasa denetiminde tüketicileri çözüm ortaklarından biri haline dönüştürebilecektir.

6. Özet ve Sonuç

Gıda ekonomisindeki gelişmelerle birlikte, gıda skandallarının da artması gıda tedarik zincirlerindeki sahteciliğe karşı kırılganlığı anlamak ve bertaraf etmek için çözüm geliştirilmesini güçleştirmektedir. Gıda güvenliği yönetim sistemleri geleneksel gıda güvenliği tehlikelerini yönetmek için geliştirilmiş ve bu nedenle, potansiyel gıda sahteciliği girişimlerini önleme hedefleri için yeterli olamamaktadır. Gıda sahteciliğinin çok değişkenli karmaşık yapısı önlenmesi için, disiplinler arası bir işbirliği ve bu işbirliğinin sürdürülebileceği bir altyapı (hukuk, analiz yöntemleri, veri tabanları geliştirme, veri işleme ve öngörümleme gibi) geliştirilmesini zorunlu kılmaktadır.

Gıda sahteciliğinin önlenmesi için temel odak, riskleri azaltma çabalarından, kırılganlıkları önleme çabalarına evrilmelidir. Konu çok taraflı olduğu için, gıda sahteciliğini önleme çabalarının da çözüm ortakları arasında sorumlu bir şekilde dağıtılması önem arz etmektedir. Bu kapsamda kamu, tarım sektörü, gıda sanayii, tedarik zincirinin diğer paydaşları ve üniversiteler ile tüketiciler kendi faaliyet ve karar alanlarındaki katkılarıyla bu sorumluluğu paylaşabilir. Ayrıca, sözü edilen çözüm ortaklarının etkin işbirlikleri de sahteciliği önleme çalışmalarını güçlü bir şekilde destekleyebilecektir.

KAYNAKLAR

- Acutisa, P.L., Cambiottia, V., Riinaa, M. V., Meistroa, S., Maurellaa, C., Massarob, M., Stacchinic, P., Gilid, S., Malandrae, R., Pezzolotaa, M., Caramellia, M. and Bozzettaa, E. (2019). Detection of Fish Species Substitution Frauds in Italy: A Targeted National Monitoring Plan. *Food Control*, 101 :151–155.
- Alparslan Saygın, Ö. ve Demirbaş, N. (2019). Avrupa Birliği ve Türkiye’de Bal Üretim ve Ticareti Açısından Coğrafi İşaret Uygulamalarının Değerlendirilmesi. *YYÜ Tarım Bilimleri Dergisi*, 29 (3): 526-538.
- Beydola, A. ve Rodoplu, Ö. (2020). Food Fraud and Its Liability in North Cyprus Law, *International Journal of Scientific and Technological Research, Special Issue of Health Sciences*, 6 (3): 123-130.
- Bouzembrak, Y. and Marvin, H.J.P. (2016). Prediction of Food Fraud Type Using Data from Rapid Alert System for Food and Feed (RASFF) and Bayesian Network Modelling. *Food Control*, 61:180-187.
- Bouzembrak, Y., Steena, B., Neslob, R., Lingec, J., Mojtahedd, V. and Marvin, H.J.P. (2018). Development of Food Fraud Media Monitoring System based on Text Mining. *Food Control*, 93 :283–296.
- Breitenbach, R., Rodrigues, H. and Balk Brandão, J.(2018). Whose Fault is It? Fraud Scandal in the Milk Industry and Its Impact on Product Image and Consumption: The Case of Brazil. *Food Research International*, 108: 475–481.
- Cadieux, B., Goodridge, L.D. and Spink, J. (2019). Gap Analysis of the Canadian Food Fraud Regulatory Oversight and Recommendations for Improvement. *Food Control*,102:46–55.
- Callao, M.P. and Ruisanchez, I. (2018). An Overview of Multivariate Qualitative Methods for Food Fraud Detection. *Food Control*, 86: 283-293.
- Dimassi, O. (2018). *Food Fraud Terminology and Management*, LAFST 2018.
- Galvin-King, P., Haughey, S. A. and Elliott, C. T. (2018). Herb and Spice Fraud; the Drivers, Challenges and Detection. *Food Control*, 88: 85-97.
- Huck, C.W., Pezzei, C. K. and Huck-Pezzei V.A.C. (2016). An Industry Perspective of Food Fraud. *Current Opinion in Food Science*, 10:32–37.
- Kantaroğlu, M. ve Demirbaş, N. (2019). Türkiye’de Gıda Güvenliği Açısından Ürün Doğrulama ve Takip Sisteminin (ÜDTS) Değerlendirilmesi. XI. International Balkan and Near Eastern Social Sciences Congress, Tekirdağ/TURKEY, March 10-11, 2019, s.498-509.

- Kendall, H., Kuznesof, S., Dean M., Chan, M., Clark B., Home R., Stolz H., Zhong, O., Liu, C., Brereton, P., and Frewer, L. (2019). Chinese Consumer's Attitudes, Perceptions and Behavioural Responses towards Food Fraud. *Food Control*, 95: 339–351.
- Manning, L. (2016). Food Fraud: Policy and Food Chain. *Current Opinion in Food Science*, 10:16–21.
- Manning, L. and Soon J.M. (2019). Food Fraud Vulnerability Assessment: Reliable Data Sources and Effective Assessment Approaches. *Trends in Food Science & Technology*, 91: 159–168.
- Marvin, H.J.P., Bouzembrak, Y., Janssen, E.M., van der Fels-Klerx, H.J., van Asselt, E.D. and Kleter, G.A. (2016). A Holistic Approach to Food Safety Risks: Food fraud as an Example. *Food Research International*, 89: 463–470.
- Meerza, S.I.A, Giannakas, K. and Yiannaka, A.(2020). Economic Impacts of Food Fraud, *Cornhusker Economics*. 1051. https://digitalcommons.unl.edu/agecon_cornhusker/1051.
- Moyer, D.C., DeVries, J.W. and Spink, J. (2017). The Economics of a Food Fraud Incident - Case Studies and Examples Including Melamine in Wheat Gluten. *Food Control*, 71: 358-364.
- RASFF. (2019). The Rapid Alert System for Food and Feed. Available at: https://ec.europa.eu/food/safety/rasff_en, Accessed date: 12 November 2019.
- van Ruth, S.M., Huisman, W. and Luning P.A.(2017). Food Fraud Vulnerability and Its Key Factors. *Trends in Food Science & Technology*, Volume 67, September 2017, p. 70-75.
- van Ruth, S.M., Luning, P.A., Silvis, I.C.J., Yang, Y. and Huisman, W. (2018). Differences in Fraud Vulnerability in Various Food Supply Chains and Their Tiers. *Food Control*, 84:375-381.
- Silvis, I.C.J, van Ruth, S.M, van der Fels-Klerx, H.J. and Luning, P.A. (2017). Assessment of Food Fraud Vulnerability in the Spices Chain: An Explorative Study. *Food Control*, 81:80–87.
- Soon, J.M., Krzyzaniak, S.C., Shuttlewood Z., Smith, M. and Jack, L.(2019). Food Fraud Vulnerability Assessment Tools Used in Food Industry. *Food Control*, 101:225–232.
- Spink, J. and Moyer, D.C. (2011). Defining the Public Health Threat of Food Fraud. *Journal of Food Science*, 76(9): 157– 163.
- Spink, J., Moyer, D.C. and Speier-Pero, C. (2016). Introducing the Food Fraud Initial Screening model (FFIS). *Food Control*, 69: 306-314.
- Spink, J., Ortega, D. L., Chen, C. and Wu, F. (2017). Food Fraud Prevention Shifts The Food Risk Focus To Vulnerability. *Trends in Food Science & Technology*, 62: 215-220.
- Spink, J., Hegarty, P.V., Fortin, N.D., Elliott, C.T. and Moyer, D.C. (2019). The Application of Public Policy Theory to The Emerging Food Fraud Risk: Next Steps. *Trends in Food Science & Technology*, 85:116–128.
- Tahkapaa, S., Maijala, R., Korkeala, H. and Nevas, M. (2015). Patterns of Food Frauds and Adulterations Reported in the EU Rapid Alert System for Food and Feed and in Finland. *Food Control*, 47:175–184.
- Türkmən, S. ve Ataseven, Y. (2020). Türkiye’de Taklit ve Tağış Yapılan Gıdalara İlişkin Yasal Düzenlemelerin ve Uygulamaların Değerlendirilmesi. *TEAD*, 6(1): 65-75.
- Verhaelen, K., Bauer, A., Günther, F., Müller, B., Nist, M., Ülker Celik, B., Weidner, C., Küchenhoff, H. and Wallner, P. (2018). Anticipation of Food Safety and Fraud Issues: ISAR - A New Screening Tool to Monitor Food Prices and Commodity Flows. *Food Control*, 94:93–101.
- Yang, Y., Huisman, W., Hettinga, K.A., Liu, N., Heck, J., Schrijver, G.H., Gaiardoni, L. and van Ruth, S.M. (2019). Fraud Vulnerability in the Dutch Milk Supply Chain: Assessments of Farmers, Processors and Retailers. *Food Control*, 95:308-317.
- Zhang, J., Zhang, X., Dediu, L. and Victor, C. (2011). Review of the Current Application of Fingerprinting Allowing Detection of Food Adulteration and Fraud in China. *Food Control*, 22:1126–1135.
- Zhang, W. and Xue, J. (2016). Economically Motivated Food Fraud and Adulteration in China: An Analysis based on 1553 Media Reports. *Food Control*, 67:192-198.

Recycling and Damages of Used Vegetable Oils

Assoc Prof. Dr. Nurcan Özkan¹

¹University of Trakya, Faculty of Education, Department of Mathematics and Science Education,
nurcanozkan@hotmail.com, orcid.org/0000-0001-5045-6186

Abstract: While the increase in World production has a direct impact on the destruction of natural resources, the pollution it creates has caused indirect negative effects. Scientists who are aware of the consequences of pollution and wastes have begun to carry out studies to combat wastes, reduce wastes and ensure the recovery of wastes or the exploration of energy opportunities. Waste and used oils are an important problem as a result of the modern World and industrialization. The damages caused by vegetable waste oils on the environmental are quite high. These oils, which are named as ecotoxic, pollute the environmental and threaten the life of living organisms by damaging the natural habitats in that environmental; oils that cover the water surface destroys the oxygen of the underwater organisms. In addition, waste oils mixed with groundwater and sewerage cause blockage in the pipes and, because of insoluble, petrification increases the environmental pollution. When wastewater polluted by vegetable waste oils become untreated, it mixes with fresh and saltwater sources and jeopardizes the continuity of species. When domestic vegetable waste oils are poured into the sink, they cause other waste to stick to the pipes and cause to the and cause pipe blockages. In our country, vegetable waste oils are recycled by facilities with environmental licence issued by the Ministry. These plants recycle waste oils as semi-finished products or products. In this way, by recycling vegetable waste oils, it contributes to the national economy and protects the environment. In this study, the formation of waste oils resulting from use in the home and industry, their usage in recycling and their environmental damages were investigated.

Key Words: Vegetable Waste Oil, Recycling, Environmental Hazards

Kullanılmış Bitkisel Yağların Geri Dönüşümü ve Zararları

Özet: Dünya üretiminin artışı doğal kaynakların yok olması üzerine doğrudan etki ederken yaratmış olduğu kirlilik buna bağlı olarak dolaylı olumsuzluklar oluşturmuştur. Kirlilik ve atıkların doğurmuş olduğu sonuçların bilincine varan bilim insanları atıklarla mücadele etmek, atıkları azaltmak ve atıkların geri kazanımını veya enerji olanaklarının araştırılmasını sağlamak için çalışmalar yürütmeye başlamışlardır. Atık ve kullanılmış yağlar, modern dünyanın ve sanayileşmenin sonucunda günümüzde önemli bir problem oluşturmaktadır. Bitkisel atık yağların çevre üzerinde sebep oldukları zararlar oldukça fazladır. Ekotoksik olarak isimlendirilen bu yağlar çevreyi kirletmekle birlikte o ortamdaki doğal yaşam alanlarına zarar vererek canlıların hayatını tehdit etmektedir; su yüzeyini kapatan yağlar sualtı canlılarının oksijenini yok etmektedir. Ayrıca yeraltı suları ve kanalizasyon sularına karışan atık yağlar borularda tıkanıklığa sebep olmakta ve çözünemediği için taşlaşarak çevre kirliliğini artırmaktadır. Bitkisel atık yağların kirlettiği atık sular arıtılamaz duruma ulaştığında tatlı ve tuzlu su kaynaklarına karışarak türlerin devamlılığını da tehlikeye düşürmektedir. Evsel bitkisel atık yağlar lavaboya döküldüğü zaman ise diğer atıkların borulara yapışmasına yol açarak boru tıkanıklıklarına neden olmaktadır. Ülkemizde bitkisel atık yağlar, bakanlığın verdiği çevre lisansına sahip tesisler tarafından geri dönüştürülmektedir. Bu tesisler atık yağları yarı mamul veya ürün olarak geri dönüştürmektedir. Bu sayede bitkisel atık yağları tekrar kullanıma kazandırarak hem ülke ekonomisine katkıda bulunmakta hem de çevreyi korumaktadır. Bu çalışmada ev ve endüstride kullanım sonucu oluşan atık yağların oluşumu, geri dönüşümde kullanım alanları ve çevreye zararları incelenmiştir.

Anahtar Kelimeler: Bitkisel Atık Yağ, Geri Dönüşüm, Çevreye Zararlar

1. GİRİŞ

Dünya çapında, yaklaşık 20 milyon ton bitkisel ve hayvansal yağ üretilmektedir. Bu büyük miktarın önemli bir bölümü endüstriyel üretimde geri kalan kısmı ise kızartma türü pişirme de kullanılmaktadır (Anonim, 2010). Bitkisel yağ üretiminde dünyanın üretici ülkeleri arasında bulunan Türkiye, zeytinyağı üretiminde dünyanın önde gelen üreticisidir. Diğer önemli bitkisel yağ ürünlerinin başında ayçiçeği, soya ve mısır gelmektedir. Son yıllarda fındık ve diğer bazı tarım ürünlerinden elde edilen bitkisel yağlar da tüketime sunulmaktadır. Bitkisel yağ bakımından zeytinyağının haricinde, Türkiye’de önemli bir yağ açığı var olmakta olup, bu açık yıllık ortalama olarak 300-350 bin ton arasında değişen miktarlarda ithal edilerek karşılanmaktadır.

Artan dünya nüfusuyla birlikte, tüketimdeki artış doğal kaynakların hızla azalmasına yol olmaktadır. Bu nedenle atık yönetimi, doğal kaynakların korunması, çevre kirliliğinin önlenmesi enerji tasarrufu ve ekonomiye katkı sağlamaktadır (Taşkaya Top, 2010). Günümüzde bir toplumun gelişmişlik düzeyini belirlemede, atık kontrolü ve geri dönüşüm öne çıkan faktörlerdir. Bu amaçla firmalar çevreye duyarlı tesisler kurarken, yerel yönetimlerde de çevre ile ilgili politikalar ön plana çıkmış, atıkların kaynağında ayrıştırılması ve değerlendirilmesi önem kazanmıştır. Bu atıklardan birisi olan bitkisel atık yağlarında ekotoksik özellikleri nedeniyle, çevreyle uyumlu biçimde yönetilmesi ve değerlendirilmesi büyük önem taşımaktadır (Çanakçı, 2012).

Türk mutfağında hazırlanan yemeklerde genel olarak bol miktarda yağ kullanılmaktadır. Özellikle tavuk, hindi, balık ve patates gibi kızartma işlemleri sırasında önemli bir miktarda bitkisel ve hayvansal atık yağ meydana gelmektedir. Son zamanlarda ülkemizde yağda kızartılmış patates ve diğer yiyeceklerin kullanımında önemli artışlar olmuştur. Bu artışların sonucunda bitkisel yağ atıkları da artmıştır.

Atık, günlük aktiviteler sonucunda oluşan, atık oluşumunda bulunan üretici ve tüketici olmak üzere insan sağlığına ve çevreye zarar verebilecek, doğrudan veya dolaylı olarak dış ortama bırakılması zorunlu olan her türlü maddedir. Atık yönetimi; atığın kaynağından toplanış biçimi, atığın kaynağında azaltılması, özelliğine göre ayrılması, toplanması, geçici toplanması, ara depolanması, taşınması, geri kazanım, geri kazanım tesis işlemleri sonrası kontrolü ve benzeri işlemleri içeren bir yönetim biçimidir (Berkel ve Çağındı, 2014, 54).

Bitkisel ve hayvansal atık yağlar, önemli bir hammaddedir. Akdeniz ülkelerinde şehir içi bölgelerde her bir ev başına yılda 5 kg bitkisel ve hayvansal atık yağ olduğu tahmin edilmektedir. Bitkisel ve hayvansal atık yağlar, genelde siyah renkli, keskin kokulu olup aşırı miktarda katı madde içermezler. Kızartma yağı gibi bitkisel ve hayvansal atık yağlar tekniğine uygun olarak olduğu yerde kaynağında ayrı toplanmalıdır. Bitkisel ve hayvansal atık yağları kaynağında ayrı toplamak ve biyodizel üretmek çevrenin korunması adına bir sosyal sorumluluk projesidir (Öztürk, 2018).

Türkiye'nin bitkisel yağ üretiminde Trakya önemli bir bölge olup, ülkemizde üretilen yağlık ayçiçeğinin yaklaşık %60'ı, bu bölgede üretilmekte ve bu bölgede 61 adet bitkisel yağ üretim tesisi bulunmaktadır (Anonim, 2010; Satan, 2002). Ülkemizde her yıl yaklaşık 1,7 milyon ton bitkisel yağ tüketilmekte, bu tüketim sonucu yaklaşık 350 bin ton bitkisel atık yağ olduğu tahmin edilmektedir (Anonim, 2010). Bitkisel yağların gıda sektöründe en fazla kızartma amaçlı kullanımı bulunmaktadır. Bitkisel yağların kızartma işleminde kullanılmasıyla üç ana bozunma reaksiyonu gerçekleşmektedir. Bunlar;

- (a) suyun neden olduğu hidroliz,
- (b) oksijen ve ısının neden olduğu oksidasyon ve termal bozunma,
- (c) bu reaksiyonlar sonucu meydana gelen polimerizasyon şeklinde tanımlanır (Çanakçı, 2012).

Kullanılmış yağ ve atık yağların her ikisi de kullanımları sonucunda fiziksel veya kimyasal özelliklerinde oluşan değişiklikler ile esas kullanım amacına uygunluğunu kaybetmiş yağlardır. Bu iki terim, geri dönüşüm ve bertaraf noktasında birbirinden ayrılmaktadır. Tehlikeli atık özelliği kazandıktan sonra, lisanslı geri kazanım tesislerinde, geri dönüşümü gerçekleştirilebilir nitelikteki yağlar “kullanılmış yağ”, çevre ve insan sağlığı açısından geri dönüştürülmesi uygun olmayan ve kontrollü şekilde bertaraf edilmesi gereken yağlar “atık yağ” olarak tanımlanmaktadır. Son kullanıcı tarafından herhangi bir işleme tabi tutulmadan akıbeti bilinmeyen bir şekilde bertaraf edilen yağ atıklarının tamamı atık yağ olarak nitelendirilmektedir (Bitkisel Yağlar, 2017).

Bir yağın bitkisel atık yağ olarak değerlendirilebilmesi için soap-stock olarak isimlendirilen rafine sanayi atığı, tank dibinde biriken yağ, kullanılmış kızartma yağları ve kullanım süresi dolan bitkisel yağlar gibi özelliklerden en az birini taşıması gerekmektedir (Anonim, 2010).

Evlerde kullanılan kızartmalık yağ iki defa kullandıktan sonra değiştirilmesi gerekmektedir. Eğer ikinci kez kullanılacak ise, yağın kullanım aralıkları kısa olmalıdır. Bir kez kullanılan yağ, belli bir süre geçtikten sonra sağlıksız olduğu için kullanılmamalıdır. Çünkü bekleme sırasında polimerizasyon sürmektedir. Bu sebeple insan sağlığı için kızartma işleminde bitkisel yağ kullanımının kontrolünün son derece önemli olduğu kızartmalık yağlar, gıdadan çekildiği andan itibaren ekotoksik özellikleri nedeniyle çevre açısından da zararlı bir atık olmaktadır (Anonim, 2010).

Kızartma koşullarına bağlı olarak farklı derecede ve farklı mekanizmalar üzerinden gerçekleşebilen tüm bu reaksiyonlar sonucunda kızartma yağında yüzlerce farklı yapıda, ancak hepsi polar karakterli bozunma ürünleri

oluşmaktadır (Türkay, 2007). Gıda maddelerinin kızartılması sırasında yağda önemli fiziksel ve kimyasal değişimler olmaktadır. Bu değişimlerin sonucu viskozite artar, renk koyulaşır, köpürme olur, dumanlanma noktası azalır, serbest yağ asitleri, karbonil bileşikleri ve yüksek molekül ağırlıklı maddeler artar. Kızartma yağında meydana gelen bazı fiziksel değişimler göz ile görülebilmesine rağmen, kızartma esnasında polar madde tayin cihazları ile kontrol edilmesi sağlık açısından önemlidir (Anonim, 2010; Yıldız, 2008).

Gelişmiş ülkelerdeki envanter çalışmaları, atık yağ miktarının çok önemli boyutlarda oluştuğunu göstermiştir. 2000 yılından önce, ticari amaçla toplanarak, genellikle hayvan yemi katkısı olarak kullanılan atık yağlar, AB (Avrupa Birliği) ülkelerinde, 2002 yılından itibaren, hayvan yemi üretiminde kullanılması yasaklanmış ve böylelikle atık yağa bağlı toksik maddeler hayvanların gıda zincirinden alınmıştır. Bu yağların doğrudan kanalizasyon sistemlerine atılması, katı atıklarla birlikte yok edilmesi veya açık alanlara dökülmesi de birçok Avrupa ülkesinde yasaklanmıştır (Demir, 2008).

Ülkemizde bitkisel yağ oluşumuna neden olan her işletme, T.C. Çevre ve Şehircilik Bakanlığı 2872 sayılı Çevre Kanunu tarafından atık üreticisi olarak değerlendirilmektedir. Atığa dönüşen ve ekotoksik özellik taşıyan bitkisel yağlar 2872 sayılı Çevre Kanunu'na eklenen "Tehlikeli Atıkların Kontrolü Yönetmeliği" ile tehlikeli atık kapsamına alınmıştır. Ayrıca kanserojen etkiye de sahip bitkisel atık yağların yok edilmesi ve geri kazanımına bazı standartlar getirilmiştir (Anonim, 2011).

Bir litre atık yağ yaklaşık olarak 1 milyon litre içme suyunu kirletmekte ve evsel su kirliliğinin %25'i atık yağlardan kaynaklanmaktadır. Bu atık yağlar yüzeysel sulara ulaştığı zaman su yüzeyini kaplamakta, hem havadan suya oksijen transferi önlenmekte hem de sudaki oksijeni tüketerek ortamdaki canlılara zararlı olmaktadır (Anonim, 2010).

Artan nüfus, gelişen endüstri ve ülkelerin tabii varlıklarını tehdit eden kirlenmeler birçok çevresel sorunlara neden olmakla birlikte hava, su, toprak, deniz ve akarsu, görüntü, gürültü kirliliğine, biyolojik çeşitliliğin azalmasına, insanların ruh sağlığının bozulmasına sebep olmaktadır (Sunay, 2016:3-4). Atıkların bertaraf ve geri dönüşüm gibi ortadan kaldırılmasında devlet, firmalar ve tüketiciler olmak üzere konunun paydaşları arasında bir sorumluluk mekanizması oluşturulmalıdır.

Atık yönetiminin etkili ve sistemli bir şekilde yapılması, tüm atıkların kontrollü bir şekilde bertaraf edilmesini, geri kazanılmasını, doğaya ve insana verdiği zararın en aza indirilmesini ve atılan bu ürünlerin geri dönüşümünü sağlamaktadır. Atıklar, doğru bir şekilde yönetilmezse, ciddi bir sağlık tehlikesine sebep olabilirler (Gündüzalp ve Güven, 2016).

Atıkların toplanması ile ilgili olarak, herhangi bir tersine tedarik zinciri şebekesi uygulaması bir sistem anlayışı içinde en az üç kısım gerektirmektedir: müşterilerin kullanılmış ürünleri geri verdikleri toplama merkezleri, yeniden işlemenin (yeniden imalat veya geri dönüşümü kapsayan) yapıldığı geri kazanım tesisleri ve müşterilerin geri kazanım tesislerinden giden, yeniden işlenmiş ürünleri satın aldığı talep merkezleri şeklindedir (Ciddi, 2011:9).

Yeniden değerlendirilme imkânı olan yani geri dönüşümü olan atıkların çeşitli fiziksel ve/veya kimyasal işlemlerden geçirilerek ikincil hammaddeye dönüştürülerek tekrar üretim sürecine dâhil edilmesinin önemli avantajları vardır (Afşin, 2014, 22). Bunlar;

Doğal kaynaklarımızın korunmasına katkı sağlar.

Enerji tasarrufu sağlamamıza yardım eder.

Atık miktarını azaltarak çöp işlemlerinde kolaylık sağlar.

Geri dönüşüm geleceğe ve ekonomiye yatırım yapmamıza yardımcı olmaktadır.

Enerji başlığında atık yönetimini kavramsal olarak ilişkilendirmek gerekirse; enerji verimliliği temasında çevrenin korunması ve iklim değişikliği ele alınabileceği gibi doğal kaynakları verimli kullanmak ve etkili hammadde kullanımı gelmektedir. Türkiye de ise 2872 sayılı Çevre Kanunu'nun 8. Maddesi "Her türlü atık ve artığı doğrudan ve dolaylı biçimde alıcı ortama vermek, depolamak ve benzeri faaliyetlerde bulunmak yasaktır." şeklindedir.

Biyodizel üretiminde, kullanılmış kızartma yağlarından yararlanılmasıyla, atıkların enerji amaçlı olarak geri kazanımı sağlanabilmektedir. Biyodizel üretiminde; sığır don yağları, kanatlı hayvan yağları, balık yağları ve diğer hayvansal yağlarda kullanılabilir (Ma ve Hana, 1999).

Tüketim toplumu günümüzün en büyük fenomenidir. Dolayısıyla tüketim miktarındaki artış ve çeşitlilik ekonomi açısından olumlu karşılandığı gibi kaynakların tüketilmesi açısından ise sorun oluşturabilmektedir. Atık yönetimi hammadde kaynaklarının etkili kullanımı ve doğal kaynakların daha az kirletilmesi açısından da bir öneme sahiptir.

Bitkisel atık yağların Gıda, Tarım ve Hayvancılık Bakanlığı çevre lisansı almış geri kazanım tesisleri tarafından toplanarak endüstride kullanılacak yarı mamul (külçe sabun, stearin, kimya sanayinde kullanılacak hammadde ve benzeri) ve ürün (sabun, biyodizel ve benzeri) elde edilmesi işlemleri olarak tanımlanmaktadır.

Geri dönüşüm açısından bakıldığında, kullanılmış kızartmalık yağlar ile hayvansal yağlar biyodizelin elde edilmesinde oldukça önemli hammaddelerdir. Atık yağların biyodizel üretiminde kullanımı sürekli geliştirilen bir teknolojidir. Biyodizelin çevreye dost olması, insan sağlığı açısından az toksik madde bulundurması, CO emisyonunun az olması ve kullanıldığı makinaların kullanım sürelerini arttırması gibi sebeplerle biyodizel kullanımı ve bunu üretecek sanayide ilerlemektedir. Biyodizel üretiminde atık kızartma yağlarının kullanılabilirliğini gösteren çok sayıda araştırma bulunmaktadır (Anonim, 2010).

Rejenerasyon işlemi ile atık yağlardan her türlü kirletici, oksidan ürünleri, partiküller giderilerek ulusal veya uluslararası standart ve şartnameler ile kullanım amacına uygun orijinal yağ elde edilir.

Atık yağların organik içeriğinden dolayı toprak verimini arttırıcı özelliği de bulunmaktadır. Hayvan gıdası olarak kullanılamayacak olan yağlar toplanarak gübre olarak da kullanılmaktadır (Tanrıverdi, 2011).

Biyogaz, organik bazlı atıkların işlenmesiyle elde edilmektedir. Atık yağlar da oksijensiz ortamda fermante edilerek yanıcı gaz elde edilmektedir (Anonim, 2010).

Sanayide üretimde kullanılan hammaddelerin %25'i asit yağına dönüşmektedir. Belirli bir işlem sürecinin ardından ise bu asit yağı, sabun ve yem sanayinde kullanılmaktadır (Anonim, 2010).

Evde kullanılarak atık haline dönüşen yağların geri kazanımının yeterli ölçüde yapılmadığı bilinmektedir. Bunun nedenlerinin bilinmesi, sorunun çözümü için büyük önem taşımaktadır. Bu etmenlerin olumlu hale dönüştürülmesiyle, Trakya bölgesinde üretilen yağ miktarı göz önüne alındığında hem ülke ekonomisine katkı sağlanacak hem de farklı üretim sahalarının ham madde ihtiyacı karşılanabilecektir.

Bitkisel atık yağ üreten tesisler, bu yağların biriktirildikleri yerlerden alınması için lisanslı geri kazanım tesisleriyle veya toplayıcılarla yıllık sözleşme imzalamakla yükümlü tutulmuşlardır. Bitkisel atık yağların canlılar üzerindeki kanserojen etkileri nedeniyle yem ve sabun sanayinde kullanılması yasaklanmıştır. Tarım, Gıda ve Hayvancılık Bakanlığı'nın 2005/24 sayılı tebliği ile yem sanayinde kullanılması, Sağlık Bakanlığı'nın 15.02.2006 tarih ve 1697 sayılı yazısı ile de sabun üretiminde kullanılması yasaklanmıştır. Bitkisel atık yağların sadece biyodizel üretiminde kullanılmasına izin verilmiştir (Utlu, 2005; Alptekin ve Çanakçı, 2004).

Belediyelerce alınacak tedbirler yetki alanı içinde bulunan lokantalar, sanayi mutfakları, oteller, tatil köyleri, motel ve yemekhaneler, hazır yemek üretimi yapan firmalar ile benzeri yerlerde denetimler yaparak kullanılmış kızartmalık yağların kanalizasyona dökülmesini önlemek, kullanılmış kızartmalık yağ üreten işletmelerin lisanslı geri kazanım tesisleriyle veya valilikten geçici depolama izni almış toplayıcılarla yıllık sözleşme yapmalarını sağlamaktır.

Okullar, aş evleri, hazır yemek pişirme yerleri, lokantalar, fastfood satan işletmeler, oteller ve motellerden düzenli şekilde bitkisel ve hayvansal atık yağların toplanması devamlılığı sağlanmalı, kapıdan kapıya toplama gerçekleştirilmelidir. İnsanların yoğun olarak uğradığı alışveriş merkezleri, marketler gibi kentsel toplama merkezleri aracılığıyla toplanmalıdır. Aş evleri, hazır yemek pişirme yerleri, lokantalar, fastfoodlar, oteller ve moteller gibi yerler ziyaret edilmeli, yağların verilmesi gereken yerler anlatılmalıdır. Yanlış yerlere verildiği veya döküldüğü zaman çevresel ve sağlığa zararları söylenmeli, kullanılmış yağların lisanslı kuruluşlara verilmesi gerektiği özellikle dikkat çekilerek anlatılmalıdır (Yaşar, 2004).

İllegal çalışan ve insan sağlığını hiçe sayan birkaç firma, restoran ve hazır yemek pişirme tesislerine 50-100 litrelik konteynerler koymaktadır. Haftada veya on beş günde bir bu konteyner alınıp yenisi ile değiştirilmektedir. Toplanan yağlar filtre edilerek yağ içinde bulunan askıda katı maddeler bertaraf

edilmektedir. Yağ içerisinde bulunan koloidal katı maddeleri bertaraf etmek için ise diatoma toprak kullanılmaktadır. Elde edilen ürün ya arap sabununa dönüştürülmekte ya da hayvan yemi üreticisine satılmaktadır. Bu yağları paketleyip tekrar yağ olarak satan firmalar da bulunmaktadır. Bu yağlar hem insan hem de hayvan sağlığı için çok tehlikelidir. Bitkisel atık yağlar gıda ve yem amacı ile kesinlikle kullanılmamalıdır (Öztürk, 2018).

Atık yağlar, bir filtreleme ve rafine işlemi uygulanmadan çevreye salındığında, ekotoksik etki ile salınım yapılan ortamdaki canlılara hem doğrudan hem de dolaylı olarak zarar vermektedir. Bu zararları sıralayacak olursak; yeraltı sularını kirletmekte, sualtı canlı varlıklarını etkilemekte, kanalizasyon şebekesine dökülen bitkisel yağlar, suların kirlilik yükünü arttırmakta, kanal borusu yüzeyine yapışarak kanal kesitinin zamanla daralıp tıkanmasına neden olmaktadır. Bitkisel ve hayvansal atık yağlar yüksek kaloriye sahip atıklardır. Özellikle bu durum bitkisel veya hayvansal atık yağın döküldüğü yakın bölgelerdeki kanallarda gerçekleşir. Kanalizasyon sisteminin ömrünü 30 yıldan 5 yıla düşürür. Dolayısıyla bu gibi tesislerin kanala bağlantı kısımlarında yağ tutucu kapanlar kullanılmalıdır. Az miktarda dahi kullanılmış yağın lavaboya dökülmesi kanalizasyon sistemini tıkamaktadır (Yaşar, 2004; Anonim, 2010).

Atık yağların atık suya karışması ile buralarda oluşacak kirlilik oldukça geniş bir alana zarar verir. Suya döküldüğü zaman su yüzeyini kaplayan ve güneş ışığını engelleyen bitkisel atık yağlar zamanla sudaki oksijenin tükenmesini hızlandırır ve canlı yaşamına zarar oluşturur. Diğer taraftan bitkisel atık yağlar, yoğunluklarının az olması sebebiyle su yüzeyini bir film tabakası gibi örtmekte ve oksijen transfer zincirini bozarak su altı canlı yaşamını olumsuz şekilde etkilemektedir. Toprağa döküldüğünde toprağın kirlenmelere yol açmaktadır. Atık yağların evsel atıklarla karıştırılması sonucunda katı atık depolama tesislerinde yangınlara neden olmaktadır. Kirlenme sonucu azalan sudaki oksijen, başta balıklar olmak üzere ortamdaki diğer canlılara zararlar vermektedir. Yapılan araştırmalar; 1 litre atık yağın 1 milyon litre suyu kullanılamaz, 5 milyon litre suyu içilemez boyuta getirdiğini göstermektedir (Köse, 2009). Gelişmiş ülkelerde bu tür yağların kanala dökülmesi engellendiği için atık suların kirlilik yükü Türkiye'deki evsel atık sularına göre oldukça düşüktür (Öztürk, 2018).

Polar madde oranı %25'i geçtiğinde kanserojen etki başlar, %75'lik biyodizel yapımına uygun trigliserit miktarı azalır. Kızartmalık yağların zamanında gıda zincirinden çekilmesi ile hem insan sağlığına hem de biyodizel yapmaya uygun hammadde kaynağına sahip olmamızı sağlar (Öztürk, 2004).

Endüstriyel kullanılmış yağlar, ham yağdan rafine edilen herhangi bir yağın veya herhangi sentetik yağın sanayide veya sanayi dışı alanlarda özellikle yağlama amacı ile belli bir süre kullanımı sonucu kimyasal ve fiziksel safsızlıklarca kirletilmesi sonucu oluşan veya orijinal özelliğini kaybetmiş olan yağlardır. Böyle yağlar; sentetik yağlar, motor yağı, transmisyon yağları, buzdolabı yağı, kompresör, hidrolik, türbin ve madeni makine yağları, metal işleme yağları, haddeden geçirme yağları, endüstriyel hidrolik yağları, bakır ve alüminyum teli çekme yağları, elektriksel yalıtım yağı, endüstriyel işletme yağları, yüzme olarak kullanılan yağları ifade etmektedir (Öztürk, 2007).

Sanayileşme ve konfor yapısının artması ile birlikte taşıt sayısı da hızlı şekilde artmaktadır. Taşıt sayısının artması ile motor yağı tüketimi de artmaktadır. Piyasadaki mineral yağların yaklaşık olarak %70'i motorlu taşıtlarda kullanılmaktadır. 1995 yılı verilerine göre kullanılmış yağların ancak %45'i sağlıklı olarak toplanıp değerlendirilmektedir. Geriye kalan kısım ise hatalı bir şekilde kullanılmakta ve deşarj edilmektedir.

Motor yağları iki şekilde bozunmaya uğrarlar.

- Oksidasyon nedeni ile fiziksel ve kimyasal değişikliklerin ortaya çıkması
- Yanma bölümünden gelen maddeler ile kirlenme

Yağın Kimyasal Olarak Bozulması: Motor yağının sıcaklığı motor çalıştığında çok yükselir. Yağın içindeki mineraller, yüksek sıcaklıklarda hava içindeki oksijenle birleşerek oksitlenir. Ayrıca iş zamanında yanma sonucu oluşan diğer kimyasal maddeler, yağla birleşerek organik asitler meydana getirir. Oksitlenme ve asit etkisiyle motor yağı özelliğini kaybederek parçaların üzerinde aşınma, oksitlenme ve sakızlaşma (reçine) meydana getirir. Sakızlaşma, segmanların ve supapların yuvasında sıkışıp kalmasına sebep olur.

Yağın Fiziksel Olarak Bozulması: Emme zamanında silindire giren havanın içindeki tozlar, yanma sonu meydana gelen kurumlar ve diğer arak maddeler, parçaların aşınmasından doğan talaşlar, kartere kaçan gazların içindeki benzin veya mazot yağın kirlenmesine ve özelliğinin bozulmasına sebep olur. Gerçi yağ filtresi, yağın içindeki parçacıkların bir kısmını temizlese bile zaman içinde yeterli olamaz (Altıparmak, 2007).

Kullanılmış yağlar yüksek yanma sıcaklığında çalışan çimento, kireç taşı, alçı taşı, briket fabrikası, evsel, tıbbi ve tehlikeli yakma tesisleri ve metalürji tesislerinde ilave yakıt olarak kullanılmaktadır. Yanma sırasında hidrokarbonlar bozunurken çimento, alçı taşı ve kil gibi maddelerin absorpsiyon özelliğinden dolayı ağır metaller, kükürt ve klorür absorbe edilmektedir. Modern tesislerde ayrıca baca gazı arıtma tesisleri de mevcuttur.

Gelişmekte olan ülkelerde kullanılmış yağlar farklı küçük boy aletlerde ilave yakıt olarak da sık sık kullanılmaktadır. Çimento, alçı taşı ve briket tesislerinden ayrı olarak asfalt üretim tesisleri fırınlarında ek yakıt olarak kullanılmaktadır. Bu durumda atık yağ, kullanılan yakıtla karıştırılmaktadır (Altıparmak, 2007).

2. SONUÇLAR

Ülkemizde atık yağlar nedeniyle ortaya çıkan önemli bir çevre kirliliği sorunu ile durumun giderilebilmesi için, başta insanlar olmak üzere bilgilendirilmeli ve konuyla ilişkili kurum ve kuruluşların konuyu ciddi bir şekilde ele alması gerekmektedir. Restoran, fastfood, otel, motel ve hazır yemek hazırlama merkezlerinde özellikle bitkisel atık yağlar, kızartma işlemi sonucunda oluşmaktadır. Bu tür tesisler atık yağlarını verdikleri yerleri belgelemek zorundadır. Belgelemeyenlerin ruhsatları iptal edilmelidir (Öztürk, 2018).

Kullanımda olan yağların Gıda, Tarım ve Hayvancılık Bakanlığı'nın belirlediği kriterlere uygunluğu sürekli olarak denetlenmelidir. Başlangıç sürecinde geri dönüşümü teşvik edici sistemler uygulanmalı, kullanılmış yağların ömrünü doldurur doldurmaz kullanımdan çekilmesi sağlanmalıdır. Böylece insan sağlığını olumsuz yönde etkilemesinin önüne geçilmelidir. Bitkisel ve hayvansal atık yağ toplama kültürünün yaygınlaştırılması amacıyla yerel yönetimler ile hükümet yetkilileri birlikte çalışmalar yapmalı, işletme sahiplerinin ve halkın bilinçlendirilmesi için eğitimler düzenlenmelidir. Düzenlenecek bu etkinliklerin gerçekleşmesi için ilk ve orta okullar, halk eğitim merkezleri ve muhtarlıklar kullanılabilir.

Atık yağları toplayan firmalara lisans verilmelidir. Bu lisans vermede toplama kapları, araçlar ve geçici depolama alanları için belirli kurallar olmalıdır. Tesiste çalışan personeller için ise belli standartlar olmalıdır. Toplama kapları sızdırmaz ve kolay taşınabilir özelliğe sahip olmalıdır. Benzer şekilde toplama araçları içinde belli kurallar olmalıdır. Geçici depolama tesisleri en az 30 ton yağ depolayacak kapasiteye sahip olmalıdır. Toplama kapları, araçlar ve geçici depolama tesisi kolay yıkanabilir ve dezenfekte edilebilir donanımda olmalıdır. Tesise gelen yağlar ve tesisten üretim tesislerine giden yağlar kayıt altına alınmalıdır. Toplayıcı firmaların kimlerden ne kadar yağ aldığı bir dökümü olmalıdır. Bu işlemleri sağlıklı yapan firmaların karşılaştıkları engeller öncelikle Çevre ve Şehircilik Bakanlığı tarafından ortadan kaldırılmalıdır. Bu işlerin sektörü kurulmalıdır. Aksi takdirde bu yağlar ya kanala dökülerek sularımız kirletilmekte veya kötü niyetli insanlar tarafından halkın sağlığı ile oynanmaktadır. Atık yağlar para ile satılmamalıdır (Öztürk, 2018).

Bilindiği gibi atık yağ içme suyunu kirletebilmektedir. Kullanılmış bitkisel atık yağlar evsel atık su kirliliğinin %25'ine yol açmaktadır. Atık yağlar ekotoksik özelliğiyle bulunduğu ortamı kirletmekte ve ortamda yaşayan canlılarda zararlara yol açmaktadır. Arıtılmayan atık suların içindeki bitkisel ve hayvansal atık yağlar; denizlere, göllere ve akarsulara döküldüğü zaman o suyun kirlenmesi ve sudaki oksijenin azalması sonucu; ortamdaki, başta balıklar olmak üzere diğer canlılar üzerinde büyük tahribata neden olmaktadır. Yine atık yağların küçük fırınlarda yakılması, içindeki ağır metal ve klor bileşimleri atık hava ile birlikte atmosfere salınarak havayı kirletmekte ve insan sağlığına zarar vermektedir. Bu nedenle bu işlem yasaklanmıştır (Öztürk, 2004).

Kullanılmış yağlar lavaboya döküldüğü zaman dren sistemine sivanmaktadır. Kanalizasyon borusu içindeki atıkların yapışmasına ve zamanla borunun daralmasına neden olmaktadır. Kanalizasyona dökülen atık yağlar diğer atıkları tutar ve kanalizasyon sisteminin kullanılmaz hale gelmesine sebep olmaktadır. Böylece atık su arıtma tesislerine zarar vererek işletme maliyetini artırmaktadır.

Yağ ve gresler, anaerobik parçalanmaya karşı dirençlidirler. Çamur içerisinde bulduklarında, çürütücülerde aşırı köpüklenme olmasına neden olabilir, filtrenin gözeneklerini tıkayabilir ve çamurun arazide gübre olarak kullanılmasını bozabilirler.

Evsel ve endüstriyel atık suların ve çamurların yağ ve gres içeriği, bu tip maddelerin toplanmasında ve arıtılmasında oldukça önemlidir. Yağ ve gres sudaki çözünürlüğünün az oluşu nedeniyle sıvı fazdan ayrılma eğilimi gösterir ve üst faz oluşturur. Yağ ve gres, suda ayrışmaları oldukça yavaş olup, buldukları ortamlardan kolayca gitmezler. Bu nedenle birçok sucul ortamlarda problemler doğururlar. Yağ ve gres ön çökeltim

havuzunda köpük halinde ayrılırlar. Bu nedenle yüksek yağ ve gres içeriği taşıyan endüstrilerde köpük problemi oldukça önemli olmakla birlikte çamurun vakum filtrasyonu da oldukça güç olur (Öztürk, 2004).

Çevre ve Orman Bakanlığı'nın konuyla ilgili yönetmelikleri sonrası, yeni bir süreç başlatılmış ve kızartmalık bitkisel atık yağların yem sanayinde ve kozmetik sanayinde hammadde olarak kullanımı Tarım ve Sağlık Bakanlıklarınca yasaklanmıştır. Yaklaşık son iki yıllık dönemde; Çevre ve Orman Bakanlığımızın yoğun çabalarıyla bitkisel kızartma yağların toplanması konusunda ciddi mesafeler alındıysa da ve değerlendirilmesi konusunda bir tartışma ve bilinmezlik olduğu görülmektedir. Çevre ve Orman Bakanlığımızın verilerine göre toplanması gereken 350 bin ton yağın lisanslı toplayıcılarla %1'i bile toplanamamaktadır (Karasu, 2013).

Bitkisel ve hayvansal atık yağların çöp içerisine atılması veya dökülmesi yasaklanmıştır. Çünkü çöpe dökülen atık yağlar çöp depolama alanında sık sık yangına sebep olduğundan dolayı çöp depolama alanı işleticileri kızartma yağlarının çöpe karışmamasını istemektedirler. Atık yağlar yer altı sularının kirlenmesine de neden olabilir. Kirlenen yer altı sularını temizlemek çok çok pahalı ve zordur. Yer altı suları her ülke için önemli bir içme suyu kaynağını oluşturmaktadır.

Köpekler, ayılar ve bazı kuş türleri (martı gibi) bitkisel ve hayvansal atık yağları severler. Bu durum hayvanların bu depolama alanına gelmesine neden olmaktadır (Öztürk, 2018). Göçmen kuşları ve martılar sulardaki yağ kirliliğinden çok etkilenirler. Göç esnasında göçmen kuşları sakin sular ararlar ve yağ kaplı sularda sakin sular olarak görünür. Bu durum kuşların suya konmasına ve ölümlerine neden olmaktadır. Kuşlar gagaları ile tüyleri üzerindeki yağları giderirken yüksek oranda zararlı maddeleri de alırlar ve birkaç gün içinde ölürler (Altıparmak, 2007).

Ülkemiz açısından son derece önemli gördüğümüz ve yönetmelikçe tehlikeli atık kabul edilen bitkisel atık yağların çevresel bir problemden çevresel bir avantaja çevrilmesi bugüne kadar istenildiği biçimde yapılamamış ve maalesef atık bitkisel yağların çok sembolik bir kısmı toplanabilmiştir. Bu süreç içerisinde toplanan yağların biyodizel çevrilmemiş olması kamuoyunda soru işaretlerinin de doğmasına ve basında da çeşitli tartışmalara neden olmuştur.

Çevre ve Şehircilik Bakanlığı ve ilgili belediyeler ayrı toplama, taşıma ve geri değerlendirme konusunda bürokrasiyi minimize ederek bu atıkların geri kazanılmasını sağlamaları gerekmektedir. Bu konuda özel sektörün önü açılmalıdır. Çevre ve Şehircilik Bakanlığı ile özel sektör öncü aktörler olarak çevre dostu faaliyetleri hayata geçirebilir. Böylece yılda Türkiye'de 150.000.000 kg atık yağın yüzeysel ve yer altı sularımızı kirletmesi ve atık su arıtma tesislerine zarar vermesi önenebilir. Yeni bir ekonomik ve çevreci iş alanı oluşturulabilir.

Yaklaşık 150.000.000 kg civarında oluşan atık yağlar kanalizasyona dökülmeyip geri kazanılması ile yılda 150.000.000 kg biyodizel ve 15.000.000 kg gliserin üretilerek ekonomiye katkı sağlanabilir. Bitkisel ve hayvansal atık yağların geri kazanılması ile evsel atık suların %25 oranında daha az kirlenmesi sağlanmış olunur (Öztürk, 2018).

Bitkisel Atık Yağların Kontrolü Yönetmeliği, 19.04.2005 tarih ve 25791 sayılı Resmî Gazetede yayımlanarak yürürlüğe girmiştir. Atık bitkisel yağlar ekotoksik özelliklerinden dolayı çevreyle uyumlu olarak yönetilmesi gereken atıklar arasında yer almaktadır. Kanalizasyona dökülmesi, tekrar gıdaya, yem sanayine geri dönmesi, kozmetikte kullanılması, parayla alınıp satılması ve bu alanda lisanssız faaliyette bulunulması yasaktır. Ayrı kaplarda toplanarak, biyodizel üretiminde kullanılmak üzere lisanslı toplayıcılara ücretsiz, ulusal atık taşıma formuyla verilmeli, bu yolla hem sağlığımız hem de çevremiz korumaya alınmış olmaktadır.

KAYNAKÇA

- Altıparmak, A. (2007). Madeni atık yağların fraksiyonlarına ayrılarak bertarafı ve yeni ürünlerin geri kazanımı. Selçuk Üniversitesi, Fen Bilimleri Enstitüsü, Çevre Mühendisliği Anabilim Dalı, Yüksek Lisans Tezi.
- Alptekin, E. & Çanakçı, M. (2006). Biyodizel ve Türkiye'deki durumu. Kocaeli Üniversitesi Teknik Eğitim Fakültesi Otomotiv Anabilim Dalı. Mühendis ve Makina, 56(1): 57-64.
- Anonim. (2010). Çevre Yönetimi Genel Müdürlüğü Çevre ve Orman Bakanlığı. Bitkisel Atık Yağların Yönetimi Kitapçığı. Ankara, Nisan 2010.
- Anonim. (2011). TC. Millî Eğitim Bakanlığı Aile ve Tüketici Hizmetleri. Atık Yağlar. Ankara, 2011.
- Afşin, C. (2011). Endüstriyel atık yönetimi ve Tüdemsaş örneği. Anonim, TC. Millî Eğitim Bakanlığı Aile ve Tüketici Hizmetleri. Atık Yağlar. Ankara.
- Bay, M. (2018). Belediyelerde atık yönetimi ve politikaları: Karaman örneği. Uluslararası Sosyal Araştırmalar Dergisi, Cilt: 11 Sayı: 61, <http://dx.doi.org/10.17719/jsr.2018.2970>.

- Berkel, M. & Çağındı, Ö. (2014). Gıda Laboratuvarlarında Atık Yönetimi. Akademik Gıda, 12(3), (2014) 54-59.
- Bitkisel Yağlar. <http://www.bysd.org.tr/> Erişim tarihi: 13.04.2017.
- Ciddi, K. (2011). Ürün Geri Kazanımı İçin Çok Amaçlı Lojistik Şebeke Modeli ve Bir Uygulama. Gazi Üniversitesi Fen Bilimleri Enstitüsü, Doktora Tezi, Ankara.
- Cırıkoğlu, A. (2018). Edirne İli Süloğlu İlçesi'nde yaşayanların yemeklik sıvı atık yağlarla ilgili bilgi, tutum ve davranışlarının araştırılması. Trakya Üniversitesi, Sağlık Bilimleri Enstitüsü, Halk Sağlığı Ana Bilim Dalı, Yüksek Lisans Tezi.
- Çanakçı M. (2012). Bitkisel atık yağların geri kazanımı. Sağlık Çevre Kültürü Süreli Yayını, 6:37-41.
- Demir, C. (2008). Bitkisel atık yağların kullanım yerlerine göre gerekli standartlar ve kontrol yöntemleri. Atık Bitkisel Yağların İnsan Sağlığı ve Çevreye Etkileri, Biyodizelin Önemi Sempozyumu, İstanbul.
- Gündüzalp, A. & Güven, S. (2016). Atık, çeşitleri, atık yönetimi, geri dönüşüm ve tüketici: Çankaya Belediyesi ve semt tüketicileri örneği. Hacettepe Üniversitesi Sosyolojik Araştırmalar e-dergisi.
- Karasu, A. (2013). Çevresel atıklar, nedenleri, çevresel atıkların geri dönüştürülmesi ve yenilenebilir enerji olanaklarının araştırılması. Bilecik Şeyh Edebali Üniversitesi, Fen Bilimleri Enstitüsü, Kimya Anabilim Dalı, Yüksek Lisans Tezi.
- Köse, S. (2009). Tersine lojistik ve atık kızırtma yağları geri kazanım ağı tasarımı (tez). İstanbul: İstanbul Teknik Üniversitesi;
- Ma, F. & Hanna, M. A. (1999). Biodiesel production: a review. Bioresource technology 70, 1-15.
- Öztürk, M. (2004). Kullanılmış bitkisel ve hayvansal atık yağlar. Ankara.
- Öztürk, M. (2007). Kullanılmış motor yağı ve bertarafı. Ankara.
- Öztürk, M. (2018). Bitkisel ve hayvansal atık yağdan biyodizel üretimi. Çevre ve Orman Bakanlığı, Ankara. http://www.cevresehir Kutuphanesi.com/assets/files/slider_pdf/QnZyyphkC9xp.pdf
- Satan, A. (2002). Türkiye ve Trakya'da bitkisel yağ üretimi (tez). Edirne: Trakya Üniversitesi Havsa Meslek Yüksekokulu.
- Sunay, G. (2016). Türkiye'de tehlikeli atık yönetimi sorunlarının Türkiye'ye sosyal ve finansal maliyetinin tespit edilmesi. Yaşar Üniversitesi Sosyal Bilimler Enstitüsü, İzmir.
- Utlu, Z. (2005). Biyodizel üretiminde yenilenebilir enerji kaynağı olarak atık kızırtma yağlarının değerlendirilmesi. 3.Yenilenebilir Enerji Kaynakları Sempozyumu ve Sergisi, 218-223.
- Tanrıverdi, E. (2011). Kızırtma yağlarının stabilitesi üzerine bazı baharat uçucu yağlarının Etkisi. Konya: Selçuk Üniversitesi Fen Bilimleri Enstitüsü, Yüksek Lisans Tezi.
- Taşkaya, Top, B. (2010). Bitkisel atık yağlar. Tarımsal Ekonomi Araştırma Enstitüsü Dergisi Aralık, 11:1-8.
- Türkay, S. (2007). Kızırtma işlemi ve kızırtma yağları üzerine. Biyoyakıt Dünyası, 8:24-27.
- Yaşar, O. (2004). Türkiye bitkisel yağ sanayi ve sorunları. Doğu Coğrafya Dergisi, 277-294.
- Yıldız, M. (2008). Atık yağlardan biyodizel üretimi ve karakterizasyonu. Çevre Mühendisliği Anabilim Dalı. <file:///C:/Users/user/Downloads/0011449.pdf>

Management Information Systems Development

Dr. Rana Özyurt Kaptanoğlu¹

¹Istanbul Ayvansaray University / Faculty of Economics, Administrative and Social Sciences, Management Information Systems Department, ranaozyurt77@gmail.com, ORCID: 0000-0002-0341-4722

Özet: Bilgi teknolojilerindeki gelişmeler hem kuruluşları hem de çalışanları doğrudan etkilemiştir. Hem kurumlar hem de çalışanlar bu yeni işleyişe uyum sağlamak zorunda kalmıştır. Bu kapsamda bilişimin en iyi şekilde nasıl kullanılacağı, hangi yöntemlerin doğru kullanılması gerektiği, ne tür bir bakış açısına ihtiyaç olduğu ve hazırlık yaparak doğru adımların nasıl atılacağı gibi konular tüm kurumların ve çalışanların ilgi odağı olmuştur. İşletmeler, mevcut bilgi sistemlerini iyileştirmek veya yeni sistemler eklemek için çok hantal adımlar atmak zorunda kaldı. Ne yazık ki, çok iyi araştırma yapılmadan veya gerekli altyapı olmadan yapılan bazı yatırımlar israfın ötesine geçmedi. Bu bilgiler ışığında çalışmanın temel amacı, bilgi sistemlerini iyileştirecek veya bilgi sistemlerini yeniden kuracak işletmelere uygun öneriler sunmaktır.

Sözü edilen amaca yönelik çalışma üç alt başlıktan oluşmaktadır. Öncelikle bilgi sistemlerindeki gelişmeler tartışılmış ve bilgi sistemlerinin gelişimi ile yönetim arasındaki etkileşim incelenmiştir. Ardından Yönetim Bilişim Sistemleri (MIS) ve Karar Destek Sistemleri (KDS) tartışılmıştır.

Anahtar Kelimeler: Yönetim Bilişim Sistemleri, Karar Destek Sistemleri

Summary: Developments in information technologies have directly affected both organizations and employees. Both institutions and employees have had to adapt to this new process. In this context, issues such as how to use informatics in the best way, which methods should be used correctly, what kind of perspective is needed, and how to take the right steps backed with preparation subjects have been the focus of attention of all institutions and employees. Businesses had to take very unwieldy steps to improve existing information systems or to add new systems. Unfortunately, some investments that were made without very good research or the necessary infrastructure did not go beyond waste. In the light of this cogniance, the main purpose of the study is to provide appropriate suggestions to businesses that will improve or re-establish information systems.

The study for the mentioned purpose consists of three subheadings. First, developments in information systems were discussed and the interaction between the development of such systems and management was examined. Then, Management Information Systems (MIS) and Decision Support Systems (KDS) were discussed.

Keywords: Management Information Systems, Decision Support Systems

1. INTRODUCTION

Information, both individually and organizationally, is the best resource that should be managed (Huber 1984: 929). Managerial information is processed by the "information system (IS)" of the enterprises. Businesses sit on three pillars: physical, administrative and information demand. The information system in an enterprise consists of people who collect and process information through computers and computers themselves. The established IS should provide the necessary information to the management in order to achieve the targeted goals, and the managements needs for these goals should be carefully examined (Madnick and Wang, 1988: 6).

Besides making the management of the information system strategic decision, the process of developing a suitable, correct and open system in order to manage the physical activities of the enterprise as well arises when a new system is required or when the old system should be reviewed. The arise of the aforementioned needs depends on the change in the management's information needs or the belief that the new technology will be much more useful than the old one (Swanson, 1974: 179).

2. DEVELOPMENT IN INFORMATION SYSTEMS AND ITS EFFECT WITH MANAGEMENT

Firstly, in the 1950s, due to industrially produced computers, the data passed from the black notebook to the electronic environment. With the increase in the amount of data over time, computer-based information systems, that is, information systems as today's term, began to emerge (Summers and Heston, 1988: 2). Collected data were processed with the data processing system. However, this is both a very long and complex task. Information systems enabled the filing of data entered by data processing systems. In addition, it has created the necessity of a manager to examine many tables during the decision-making process. In the 1960s,

both the speed and power of the computers increased, more and more data were able to be processed and management information systems began to develop. With this system, the necessary information was presented and reported in accordance with the decision to be given by the managers. As a result of this professional convenience, the entire purpose of data processing is based on converting data to information for MIS and other information systems (Iveset et al., 1983: 786).

This created the database management systems. Although MIS facilitated the work of the managers, because of the fact that they could not give clear answers to the questions asked by the managers, the decision support systems (VanNievelt, 1993: 5) towards the 80s were followed by senior management information systems. Subsequently, senior management information systems were established. After the 90's, the rapid change in businesses brought along Office Information Systems (Office Automation), which enables the spread of information throughout the organization, Expert Systems that combine rules and knowledge specific to any specialist, and Strategic Information Systems that support the competitive strategies of enterprises (Martinsons et al., 1999: 73).

However, the change in both business conditions and technology in today's knowledge causes the exhaustion of all information systems. Information systems, like all other systems, have a certain life span, they are born, develop, revised and rearreneged accordingly and their life comes to an end. At certain points of this process, it is necessary to review the existing system and develop it to adapt to the new form in order to be able to use it again. There are many factors that trigger this situation. According to Porter, there are five types of competitive effects that will cause changes in information technology, and organizations should implement five steps to take advantage of the information revolution. These are as in Table 1:

Tablo 1: Competition Conditions Forming Porter's Information Technology and Ways to Follow

Competitive Effects	<ul style="list-style-type: none"> • Purchasers power • Competition intensity between existing competitors • Substitute product hazard • Danger of new entrants to the market
Ways to Follow	<ul style="list-style-type: none"> • Evaluating the information density • Identifying the role of information technology in the industry structure • Identifying and rating the competitive advantages provided by information technology • To determine how information technology can reveal new jobs. • Developing a plan to take advantage of information technology

Reference: Daly, Donald J. "Porter's diamond and exchange rates." *MIR: Management International Review* 1993: 121.

In an organization, managers are obliged to develop a strategic plan that will form the outline of the organization's informatics needs and determine how informatics projects should be implemented. In the mentioned planning, it is important to consider the importance of the information system in terms of organization and methodology, commitment and interest of the members of the organization, evaluation of the success of the plan and different features. In this context, the success of the information system plan can be measured with two different methods.

The first method is the dimension of reaching the planning objectives of the plan created. In this method, planning objectives are concepts such as predicting future trends, increase in management development, short and long term development, and correction in decision making. The second measurement method is the adequacy dimension of the plan, in which decision control gains importance (Bhanu and Raghunathan 1994: 327).

There are two issues that are primarily accepted in the development of information systems. The first of these is the decision of the need for the development or expansion of the system in order to both improve the service and provide value to the customers. The second is the acceptance of information systems management's determination and willingness to make the necessary changes, to open the resources suitable for its purpose and to delegate authority to the people who develop and offer software products and related technologies (Özgen and Yaçın, 1992: 251).

User participation is also very important in information system development. The important point that should not be overlooked here is the future of disagreements that come with user participation (Barki and Hartwick

1994: 423). In summary, in order for the system development process to be carried out efficiently, all objectives and information needs should be well defined and guided by the strategic plan of the enterprise.

2.1. System Development Approaches

When the literature is examined, it is observed that there are many approaches. Willis and Tesch Approach, Gane and Sarson Approach can be given as examples (Tesch, 1991: 39; Ashworth, 1988: 155). Although both approaches contain differences from each other, the common point they meet is that the loyalty of users is a necessary condition for system development to be successful. Many MIS studies have revealed that user loyalty and increase in system quality lead to the acceptance of the developed system (Tesch, 1991: 39). Many systems development projects use a combination of the two approaches. The methods mentioned are briefly as follows:

Pre-Product Creation: Rapid development and the inability to see some shortcomings without implementation often cause the requirements not to be determined ahead of time. In such cases, a system example containing the basic features is developed. The designed system is experienced, then redesigned and re-experienced and continues in this way until all the requirements of the management are met. The advantage of this method is that it is a repetitive process and it creates rapid development for the primary product. Its disadvantages are that it cannot be well organized, cannot be inspected and can result with an unfinished system (Guimaraes, 1987: 101).

Traditional Programming Methods: In the traditional method, which is the most used one, the user and the developer come together and decide what to do. The superiority of this method is that it is an evolutionary developer and its weakness is lack of documentation, lack of planning and disorder. Butterfield described the method as irrational systems (Butterfield and Nelson, 1989: 8).

Program Development of the End User: The most important question in this method is who is the end user. In the literature, the end user is divided into two types. The first type of end user is the person who is told what the work to be done and its stages. The second type is the person who designs how these goals can be achieved by internalizing the goals. Not every end user is adequately trained and this is an important criterion for the aforementioned method (Panko et al., 1984: 40).

The advantage of this method is that it is fast, effective in small and complex systems, and improves the database and end user. Its disadvantages are that it is not audited, is poorly certified and is not suitable for large complex systems.

Structural Approach: In this method, which includes the most basic seven stages of system development, each stage is considered to be completed only after achieving the determined goals, and the approval of the management is obtained by reporting (Yourdon, 1993: 56). The advantages of the method are that it is well planned and organized, and the disadvantages are that it takes more time than necessary and in the situation of requirements not being well defined, but they are not suitable.

Outsourcing the Information System: It is the method of purchasing the system or receiving consultancy services from a third party after designing the system (Lacity et al., 1996: 55). The advantages of the method are that experts who cannot be found in the business can be outsourced and the cost is low, especially when using commercially available software. The disadvantages are the high cost for a specially developed software and especially the commercial software cannot meet the user needs as much as the special software.

Application Software Package Use: Commercial software packages have eliminated the need for software program development in the enterprise. However, there are difficulties in adapting each organization to these packages with certain standards. In this context, the system analyst requests many software package suppliers to send promotional information about the packages and evaluates the packages in the light of this information.

Then the enterprise chooses the package that will meet the needs at the highest rate and the requirements are harmonized on the received package. The advantages of the method are maintenance, establishment, design etc. reduction in work and saving both time and money in known applications. The disadvantages follows as that enterprises cannot meet their specific requirements, are not suitable for many functions and therefore cannot fulfill them, and they can increase costs in the adaptation and development stages (Laudon and Laudon, 2004: 198).

2.2. Information System Development Process

All efforts to regulate the existing system or develop a new system are called "System Development Process" (Sebetci, 2018: 55). This process has been described with different stages in the literature. However, these stages have been examined under two sub-headings as "Analysis" and "Design". In Figure 1, system development stages of Kendall and Hicks are compared.

Figure 1. System Development Stages of Kendall and Hicks

	Kendall	Hicks	
1	Identify Opportunities and Goals	Applicability Study	1
2	Identify Information Requirements	System Analysis	2
3	System Needs Analysis	System Design	3
4	Design of the Recommended System	Hardware Evaluation	4
5	Software Development and Documentation	System Setup	5
6	System Trial Check	Transformation	6
7	Implementing and Evaluating the System	Inspection and Maintenance	7

Reference: Kendall, Julie E., and Kenneth E. Kendall. "Metaphors and methodologies: Living beyond the systems machine." *MIS quarterly* 1993: 150-151

3. MANAGEMENT INFORMATION SYSTEM

The MIS model is effective on both tactical decisions and operational controls. Apart from these, managers also use MIS information in more detailed and strategic decision making. MIS can suggest the best direction of action by evaluating many options in decision support systems with the reports it offers, and also facilitates the decision-making of managers in many areas (Laudon and Laudon, 2004: 199). The useful and effective use of MIS is measured by its use in financial affairs, production and marketing, which are the main activities of enterprises. The management information systems used for different departments of businesses are briefly as follows:

3.1. Marketing Management Information System

The most basic decisions of marketing activities are carried out in five important decision processes: market research, product development, promotion, price and distribution (Stair, 1995: 305). Automation systems that support the decisions taken by marketing include the activities in Table 2.

Table: 2 Marketing Management Information Systems

Managing the database	<ul style="list-style-type: none"> • Taking raw data from data processing system and converting it into useful information
Market research	<ul style="list-style-type: none"> • Preparation of market research reports • Conducting market intelligence
Product development and planning	<ul style="list-style-type: none"> • Preparation of product development reports • Using computer-integrated manufacturing and computer-aided design techniques to develop new products.
Marketing plan	<ul style="list-style-type: none"> • Demand forecasting, competitors' prices, economic conditions analysis, cost calculation, targeted market revenue, entering the data of the institution's ongoing products. • Determining the market potential of the product with incoming reports • Preparation of supply-demand analysis report
Promotion	<ul style="list-style-type: none"> • Review of previous marketing campaigns • Preparation of advertisement sales statistics report • Comparison of reports from MIS with promotion and sales
Distribution	<ul style="list-style-type: none"> • Preparation of distribution points and quantities report

	<ul style="list-style-type: none"> Obtaining statistical data of stock and sales of sales and retail points
Sales	<ul style="list-style-type: none"> Quick access to information about products Preparation of sales reportsBaşarı ölçüsünün desteklenmesi
Credit	<ul style="list-style-type: none"> Determining the credits of each retailer in proportion to their sales Constantly updating the credit status of all customers
Customer service	<ul style="list-style-type: none"> Following the customer needs after the product reaches the customer Identifying which customers have their demands and needs and what kind of needs they have

Reference: Snell, N. "Software To Tame The Sales Force." *Datamation* 37.11 (1991): 67

3.2. Production Management Information System

Production Management Information Systems helps the decisions to be made during the design and manufacture of the product. These auxiliary systems include the activities in Table 3.

Table 3: Production Management Information System

Production Strategic Plan	<ul style="list-style-type: none"> Production strategy planning systems provide support. These systems are as following; capacity planning, logistics planning, determining process options and determining resource price strategy.
Product design	<ul style="list-style-type: none"> These are the systems supporting the aim of easy production, meeting the need and producing high quality product. At this stage, Computer Aided Design CAD is used.
Facility Design	<ul style="list-style-type: none"> Assists in the design phase of the facility required to manufacture the product effectively and efficiently. The latest development used at this stage is Flexible Manufacturing Systems FMS.
Production planning	<ul style="list-style-type: none"> Designing what will be done in what amount and when. At this stage, MIS information on manufacturing and product features and quality standards are needed.
Manufacturing / Production Control Systems	<ul style="list-style-type: none"> Planning of material and capacity requirements, production time schedule, work productivity, quality and machine controls, maintenance and repair, use of robots are performed by these systems. Systems frequently used at this stage are Material Requirement Planning Systems (MRPS), Just In Time System (JITS), Quality Control Systems, Computer Aided Manufacturing Systems (CAMS), Computer Integrated Manufacturing (CIMS) systems.
Manufacturing / Production Operations	<ul style="list-style-type: none"> These are systems that assist in the readiness of all necessary parts, materials, installations, labor, etc. resources before production. The systems used in this process present reports of the production process.

Reference: Martin, James, and Carma McClure. *Structured techniques: the basis for CASE* (revised ed.). Prentice-Hall, Inc., 1988: 631.

3.3. Financial Affairs Management Information System

Financial affairs management information systems include planning of financial affairs, budget preparation, capital provision, resource representation, cash management, capital budget and accounting controls. The brief description of these operations is as in Table 4.

Table 4: Financial Affairs Management Information System

Financial Affairs Plan and Budget Preparation	<ul style="list-style-type: none"> Marketing and production plans are combined within financial affairs with this system used. While preparing the plan, the first step is to create a forecast for the future.
Cash Management	<ul style="list-style-type: none"> This plan, which is the most important part of the budget, is designed by knowing the expected cash inputs and past expenditures.
Fund Raising and Resource	<ul style="list-style-type: none"> The capital can be provided from inside or through borrowing method. The plan made at this stage includes the design of future revenues and expenses for the new

Management	risk to be taken.
Creating a Capital Budget	<ul style="list-style-type: none"> At this stage, financial status information is required. This activity is linked to production and marketing plans, investment data, interest rates, availability of resources and operational policies.
Account Control	<ul style="list-style-type: none"> Two types of account control are carried out: money-related controls and transactions-related controls. In the control related to the transactions, it is checked whether the company's budget and policies are complied with. In the control regarding money, it is checked whether the financial situation is correct or not.

Reference: Allen, P. M. "Intelligent, self-organizing models in economics and in finance." *Intelligent Systems für Finance and Business*, (1995): 299.

4. DECISION SUPPORT SYSTEMS

Decision making is a multidisciplinary concept that includes human psychology and behavioral sciences and is therefore quite complex. The aforementioned theories in the decision-making process, on which many theories have been written, were dealt with in behavioral, organizational and descriptive ways (Turban, 1988: 45-49). Since information systems are used to support all levels of managerial decision making, all decision-making theories play an important role in the design and implementation of information systems.

4.1. Decision Making Concept

Both the organization's structure and the decision-making process are very important in designing an effective decision support system. Organizations determine one or more goals and determine many strategies to achieve these goals. All these strategies create different information system needs according to different organizational structures. In 1963, March and Cyert mentioned four basic relational decision-making concepts of institutions (Cyert and March, 1963: 171). These concepts and their short explanations are as in Table 5:

Table 5. Relational Decision Making Concepts of March and Cyert

Alleged solution of the complication	<ul style="list-style-type: none"> According to the concept, the complication in the enterprises should be resolved in a certain order by allowing the departments or individuals within the company to set their individual goals and make individual decisions regarding this within some boundaries.
Avoiding uncertainty	<ul style="list-style-type: none"> According to the concept, the decision-making time should be kept short to get rid of this problem.
Investigating Problematic Situations	<ul style="list-style-type: none"> Efforts to solve a problem according to the concept start with the problem itself and then move on to many problems. In this context, the necessary information system should support this sequential research process.
Organizational Learning	<ul style="list-style-type: none"> The information system required in this process, which includes learning the adaptation of enterprises to environmental changes and time, should measure all changes and measure the reactions of enterprises to their incoming effects.

Reference: Cyert, Richard M., and James G. March. "A behavioral theory of the firm." *Englewood Cliffs, NJ* 2.4 (1963): 171.

4.2. Decision Making Processes

Simon mentioned that there are many stages of the decision-making process. However, according to the author, the general summary of these stages consists of three steps: evaluation of all strategies, pre-identification of all results that will follow each strategy, and evaluation of the results by comparison. The process usually starts with the definition of the problem. At this stage, the decision-maker should be careful while defining the problem, knowing that not every problem will lead to bad consequences, and some may be an opportunity. After determining the problem well, the necessary data should be collected and then the solution options should be determined. In this process, an effective information system should be used according to the boundaries created by the enterprise. Among the listed options, the most appropriate option is selected and applied and the recycling of the application is followed (Simon, 1987: 59).

4.3. Decision Making Styles

There are many decision styles and decisions taken are expected to be rational both objectively and subjectively (49). The most commonly used decision styles are called "analytical" and "researcher" (Ives et al., 1980: 914). While analytical decisions are made with a planned and sequential approach, mobility is at the forefront rather than analyzing the situations in the researcher decision style. In addition to these styles, there are also "oppressive", "client" and "democratic" styles. What is important in all of these styles is the relationship between the chosen decision-making style and the Decision Support System (DSS) and how the chosen decision support system will affect the decision (Sprague and Watson 1979: 62).

4.4. Decision Making Models and Their Relationship with the Information System

Decision making model means simplified representation or concrete form of reality and in this context, the most important feature of DSS is that it can be designed according to the model. According to Simon, decision situations are classified as structural and non-structural decisions (Simon, 1987: 60). After this classification made by Simon in 1960, Antony classified the decisions in 1965 under three sub-headings: strategic planning, management-related controls and operations-related controls (Anthony, 1965: 25). Subsequently, the matrix in Figure 2 was formed by the rankings of both scientists.

Figure 2: Decision Making Activities

Management Levels	Types of Decisions		
	<i>Non-structural</i>	<i>Semi Structural</i>	<i>Structural</i>
Operational	Cash Management Employee Allocation	Production Programming Employee Assignments	Implementation of the Production Program Receivable Accounts Job Sequence Inventory Control
Tactics	Budget Preparation Sales Production Organization of Departments	Comprehensive Budget Deviation Analysis Product Mixing	Short Term Forecasts Budget Analysis Product for Maximum Profit
Strategic	New Product R&D Plan Policies and Targets	Merger / Separation	Provisioning Resources Location of Production and Warehouse Facility

Reference: Yao, James, and John Wang. "Data warehousing development and design methodologies." Encyclopedia of Artificial Intelligence. IGI Global, 2009: 425.

While decision support systems have evolved over time compared to non-structural models, the role of decision makers has increased at the same rate. Keen has stated that neither the user nor the developer of the system can proceed without another. While the user needs the system developer to translate the problems into computer language, the person who developed the system needs the user to investigate the problem or situation well. Keen and Wagner use the term executive mind support system for DSS (Keen and Wagner, 1983: 325).

Wysocki and Young explained the relationship between the decision model and the information system as decision making focused on established company strategies in order to improve and support the adaptation of the end user to the computer has the conceptual foundations of the decision models developed (Wysocki and Young, 1990: 184). In other words, it is necessary to determine the position of the enterprise in accordance with the decision model, to define the existing standards, to develop the necessary controls and to emphasize the required technological priority. In this context, the most important thing to remember is that all models and classifications are not rigid definitions or fixed rules for the required action, and only serve as tools.

5. CONCLUSION

The general definition of information systems has emerged with the necessity of managing information as an important resource. Because the concept of knowledge is a much broader concept that is beyond information technology. In this context, information is not free therefore it is a very expensive product. This requires the

information to be managed correctly like all other institutional resources. Unless all the information belonging to an organization is managed like the important resources of the enterprise, integration with technology will not be beneficial. Information systems should be seen as a strategic tool and it should not be forgotten that it will increase the competitive advantage strategically.

Information systems should provide services in management decision-making. In addition, it should help institutions to compete more effectively in changing economical conditions. This is possible with the existence of flexible information systems. In order for the information system to serve at all levels in an organization, the needs of each level will also be different. Information systems may be needed for many reasons such as input, processing and retrieval of information, movement within the organization, etc. In this context, while one system converts data into information for daily operations, another system should provide reports to the sub-management, and another should assist the decision maker top management. In other words, informatics-related technology should take an integrated role in all these processes.

REFERENCES

- Allen, P. M. "Intelligent, self-organizing models in economics and in finance." *Intelligent Systems für Finance and Business*, Hrsg.: Goontilake, S (1995): 298-311.
- Anthony, Robert Newton. *Planning and control systems: A framework for analysis* [by]. Division of Research, Graduate School of Business Administration, Harvard University, 1965.
- Ashworth, Caroline M. "Structured systems analysis and design method (SSADM)." *Information and Software Technology* 30.3 (1988): 153-163.
- Barki, Henri, and Jon Hartwick. "User participation, conflict, and conflict resolution: the mediating roles of influence." *Information Systems Research* 5.4 (1994): 422-438.
- Bhanu, R., and T. S. Raghunathan. "Research Report—Adaptation of a Planning System Success Model to Information Systems Planning. J." *Information Systems Research* 5.3 (1994): 326-340.
- Butterfield, Earl C., and Gregory D. Nelson. "Theory and practice of teaching for transfer." *Educational Technology Research and Development* 37.3 (1989): 5-38.
- Cyert, Richard M., and James G. March. "A behavioral theory of the firm." Englewood Cliffs, NJ 2.4 (1963): 169-187.
- Daly, Donald J. "Porter's diamond and exchange rates." *MIR: Management International Review* (1993): 119-134.
- Guimaraes, Tor. "Prototyping." *Datamation* (1987): 101.
- Güleş, Hasan Kürşat. "Bilişim Sistemlerinin Toplam Kalite Yönetimindeki Yeri ve Önemi." *Dokuz Eylül Üniversitesi İktisadi ve İdari Bilimler Fakültesi Dergisi* 15.1 (2000).
- Huber, George P. "The nature and design of post-industrial organizations." *Management science* 30.8 (1984): 928-951.
- Ives, Blake, Margrethe H. Olson, and Jack J. Baroudi. "The measurement of user information satisfaction." *Communications of the ACM* 26.10 (1983): 785-793.
- Ives, Blake, Scott Hamilton, and Gordon B. Davis. "A framework for research in computer-based management information systems." *Management science* 26.9 (1980): 910-934.
- Keen, Peter GW, and G. R. Wagner. "DSS: An Executive Mind." *Decision support systems: a data-based, model-oriented, user-developed discipline* (1983): 325.
- Kendall, Julie E., and Kenneth E. Kendall. "Metaphors and methodologies: Living beyond the systems machine." *MIS quarterly* (1993): 149-171.
- Lacity, Mary, Leslie Willcocks, and David Feeny. "IT Outsourcing: maximize flexibility and control." *IEEE Engineering Management Review* 24.2 (1996): 53-61.
- Laudon, Kenneth C., and Jane P. Laudon. "Managing the digital firm." *Managing Information Systems* (2004): 197-200.
- Madnick, Stuart E., and Y. Richard Wang. "Evolution towards strategic applications of databases through composite information systems." *Journal of Management Information Systems* 5.2 (1988): 5-22.
- Martin, James, and Carma McClure. *Structured techniques: the basis for CASE* (revised ed.). Prentice-Hall, Inc., 1988.
- Martinsons, Maris, Robert Davison, and Dennis Tse. "The balanced scorecard: a foundation for the strategic management of information systems." *Decision support systems* 25.1 (1999): 71-88.
- Özgen, Hüseyin, and Azmi Yaçın. "İşletmelerde «Yönetim Bilişim Sistemi» ve Yönetim Kararlarında Kullanılması." *Anadolu Üniversitesi İktisadi ve İdari Bilimler Fakültesi Dergisi* (1992) 10.1: 249-264.
- Panko, Raymond R., and R.H. Sprague. "Implementing Office Systems Requires a New DP Outlook." *Data Management* 22.11 (1984): 40-42.
- Sebetci, Özel. "Sistem Geliştirme: Web Tabanlı Uzaktan Eğitim İle Trafik Kazalarının Önlenmesi." *AJIT-e* 9.32 (2018): 55.
- Simon, Herbert A. "Making management decisions: The role of intuition and emotion." *Academy of Management Perspectives* 1.1 (1987): 57-64.
- Snell, N. "Software To Tame The Sales Force." *Datamation* 37.11 (1991): 67.

- Sprague Jr, R. H., & Watson, H. J. (1979). Bit by bit: toward decision support systems. *California Management Review*, 22(1), 60-68.
- Stair, Ralph M. *Principles of information systems: a managerial approach*. South-Western Thomson Learning, 1995.
- Summers, Robert, and Alan Heston. "A new set of international comparisons of real product and price levels estimates for 130 countries, 1950–1985." *Review of income and wealth* 34.1 (1988): 1-25.
- Swanson, E. Burton. "Management information systems: appreciation and involvement." *Management science* 21.2 (1974): 178-188.
- Tesch, Debbie B. "An assessment of systems development methodologies." *Journal of Information Technology Management* 2.2 (1991): 39.
- Turban, Efraim. *Decision support and expert systems: Managerial perspectives*. New York: Macmillan, 1988.
- Van Nievelt, M. C. A. "Managing with Information Technology-A Decade of Wasted Money?" *Information Strategy-Pennsauken*- 9 (1993): 5-5.
- Wysocki, Robert K., and James Young. *Information Systems; Management Practices in Action*. John Wiley & Sons, Inc., 1990.
- Yao, James, and John Wang. "Data warehousing development and design methodologies." *Encyclopedia of Artificial Intelligence*. IGI Global, 2009: 425.
- Yourdon, E. *Yourdon Systems Method: Model-Driven Systems Development*. 1993.

Penetration of Factoring in the Turkish Economy

Prof.Dr. Rasim YILMAZ¹

¹Tekirdağ Namık Kemal University, Faculty of Economics and Administrative Sciences, Department of Economics, rasimyilmaz@nku.edu.tr ORCID: 0000-0002-1084-8705

Abstract: The aim of this paper is to evaluate penetration of factoring into financial system in the world as a financing tool. Special emphasis is given to Turkey. Factoring is the sale of receivables at a discount price whereby firms sell their credit-worthy receivables to a factoring firm at a discount price and reach immediate cash flow. Penetration of factoring help deepening of the financial sector and diversification of financial products. Penetration of factoring accelerate economic growth since there is a high correlation between economic growth and deepening of the financial sector. Penetration of factoring may also contribute to the economic development due to the fact that factoring is mainly used by small and medium size enterprises. Thus, penetration of factoring enhances employment, production and standard of living through economic growth and development. Total factoring volume in the world had a steady increase between 2002 and 2013. After 2013 the volume of total factoring displayed a decreasing trend. As a financing tool, factoring is utilized by both developing and developed countries. 67 percent of total factoring volume in 2016 was carried out by European countries. Factoring is utilized not only by small and medium companies but also by large companies in Turkey. Large companies in Turkey use factoring as a tool for making their balance sheet more liquid as well as financing in addition to their bank limits.

Key Words: Factoring, Small and Medium Enterprises, Financing

I. INTRODUCTION

Factoring is the sale of receivables at a discount price whereby firms sell their credit-worthy receivables to a factoring firm at a discount price and reach immediate cash flow. The difference between worth of receivables and discount payment to the client is the income of the factoring company which includes interest and services fees.

Factoring increase working capital of a firm without increasing the liabilities of a firm's balance sheet since factoring isn't a loan. Factoring provides firms with comprehensive financial services which may consists of credit services, receivable bookkeeping, collection services and financing. Factoring firm assess the creditworthiness of the client firms' customers (Klapper, 2006). Factoring is especially important for SMEs since they have difficulty in accessing bank financing due to the weak credit history and inadequate collateral and assessing creditworthiness of their customers (Brdic-Martinovic et al., 2015). Factoring allows SMEs to reach funding faster and less costly way than bank finance.

The use of factoring by firms can improve their profitability, liquidity, cash-flow, time management, credit and default risks (Milenkovic-Kerkovic and Dencic-Mihajlov, 2012). Penetration of factoring help deepening of the financial sector and diversification of financial products. Penetration of factoring accelerate economic growth since there is a high correlation between economic growth and deepening of the financial sector. Penetration of factoring may also contribute to the economic development due to the fact that factoring is mainly used by small and medium size enterprises. Thus, penetration of factoring enhances employment, production and standard of living through economic growth and development.

II. FACTORING IN THE WORLD

As of 2016, total factoring volume in the world is 2,626 billion dollars. Between 2002 and 2016, the highest volume was reached in the year 2013 with 3,078 billion dollars. Total factoring volume had a steady increase between 2002 and 2013. After 2013 the volume of total factoring displayed a decreasing trend (see Table 1).

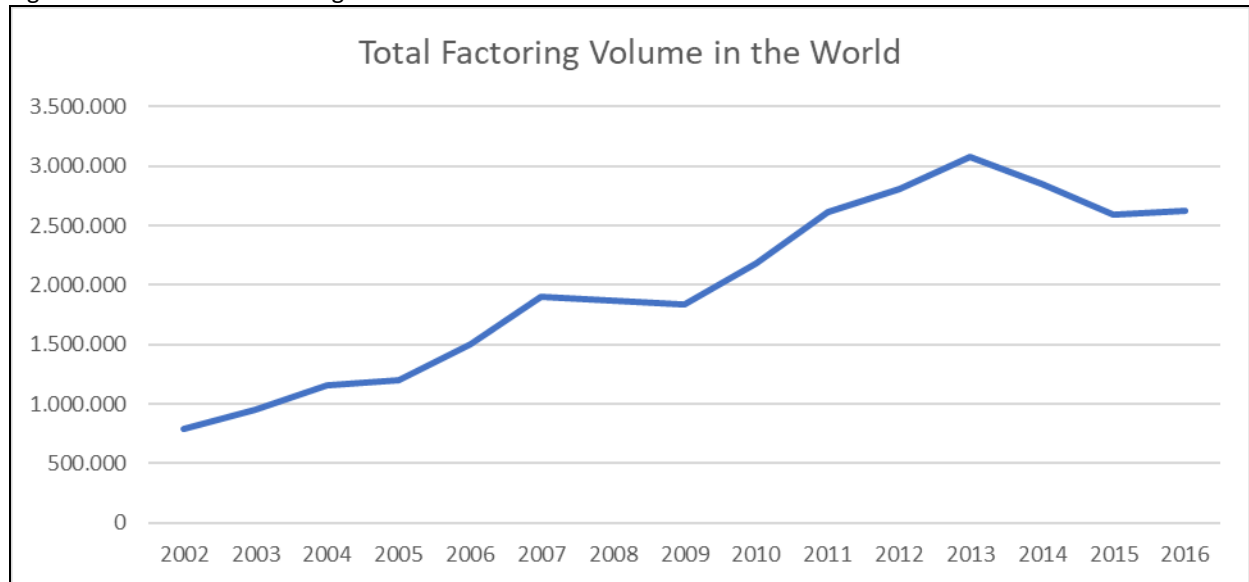
Table 1: Total Factoring Volume in the World (million USD)

	Domestic Factoring	International Factoring	Total (USD)
2000	554.958	43.564	598.522
2001	604.715	43.460	648.175

2002	733.547	53.703	787.250
2003	890.822	59.668	950.490
2004	1.069.132	92.208	1.161.340
2005	1.097.472	102.054	1.199.526
2006	1.360.390	136.870	1.497.260
2007	1.683.570	213.154	1.896.724
2008	1.621.350	248.327	1.869.677
2009	1.598.882	236.606	1.835.488
2010	1.860.385	326.023	2.186.408
2011	2.268.640	342.204	2.610.844
2012	2.346.646	464.700	2.811.346
2013	2.522.564	555.941	3.078.505
2014	2.257.817	590.020	2.847.837
2015	2.015.177	579.552	2.594.729
2016			2.626.490

Source: Association of Financial Institutions, www.fkb.org.tr

Figure 1: World Total Factoring Volume



As a financing tool, factoring is utilized by both developing and developed countries. 67 percent of total factoring volume in 2016 was carried out by European countries. The highest factoring turnover was happened in England with 361 billion dollars. On the other hand, the highest factoring turnover to GDP ratio was happened in Belgium with 14.9%. 8,076 factoring companies operated in the world in 2016. About 70% of total factoring companies in the world operates in China. Factoring turnover in China was 333 billion dollars (see Table 2).

Although factoring turnover to GDP ratio is smaller in developing countries than developed countries, factoring play a relatively important role for SMEs and start-ups in developing countries since SMEs are in difficulty for reaching bank loans.

Table 2: Factoring in the World (2016)

	GDP	Factoring Turnover (million USD)	The Number of Factoring Companies	Factoring Turnover/ GDP (%)
World	75.641.577	2.626.490	8.076	3,5
Europe	19.754.476	1.761.070	694	8,9
Belgium	466.366	69.473	5	14,9
England	2.618.886	361.344	46	13,8
Spain	1.232.088	144.432	20	11,7
Italy	1.849.970	230.641	40	12,5
France	2.465.454	296.435	13	12,0
Holland	770.845	91.584	5	11,9
Germany	3.466.757	239.746	186	6,9
Turkey	857.749	38.784	62	4,5
China	11.199.145	333.439	5.615	3,0
Japan	4.939.384	54.682	3	1,1
USD	18.569.100	98.896	700	0,5

Source: Association of Financial Institutions, www.fkb.org.tr

III. FACTORING IN TURKEY

In Turkey, the factoring turnover to GDP ratio is 4.5% while the factoring turnover to exports is 7% in 2016. Turkey occupies 8th place in the world rank according to the factoring turnover to GDP ratio. According to total factoring volume, the rank of Turkey in Europe is 9th place (Oral, 2017).

As of 2017, the number of factoring companies operating in Turkey is 61. Between 2008 and 2017, the number of factoring companies in Turkey decreased from 81 in 2008 to 61 in 2017. Considerable decline happened after the year 2014. However, the number of branches and number of customers have increased during the 2008-2017 period except the financial crisis year of 2009. The number of branches reached to 388 while the number of customers reached to 109.658 (see Table 3).

Regarding the ownership of factoring companies can be divided into bank-owned factoring companies and non-bank owned factoring companies. The majority of total factoring assets are owned by bank-owned factoring companies. It is noted that bank-owned factoring companies work with less risky customers, higher borrowing rates and less capital while non-bank owned factoring companies operate with riskier customers, low borrowing rates and higher capital. Non-performing loans of non-bank owned factoring companies is twice higher than those of bank owned companies (Turkrating, 2012: 4).

Table 3: The Number of Factoring Companies in Turkey

	2008	2009	2010	2011	2012	2013	2014	2015	2016	2017
Number of Factoring Companies	81	78	76	75	78	76	75	66	62	61
Number of Factoring Companies Providing International Services			19	20	18	17	17	18	19	18
Number of Branches	148	142	203	243	247	333	374	379	360	388
Number of Personnel	3.009	2.959	3.557	3.819	4.186	4.855	5.035	4.804	4.716	4.788
Number of Customers	50.228	40.997	57.094	66.000	67.054	87.624	96.765	95.416	98.908	109.658

Source: Source: Association of Financial Institutions, www.fkb.org.tr

The majority of factoring companies in Turkey limited their transactions with domestic factoring and TL transactions (89%) to avoid currency risk. Most of their turnover consists of receivables whose maturity is between three and six months (Turkrating, 2014: 13-14).

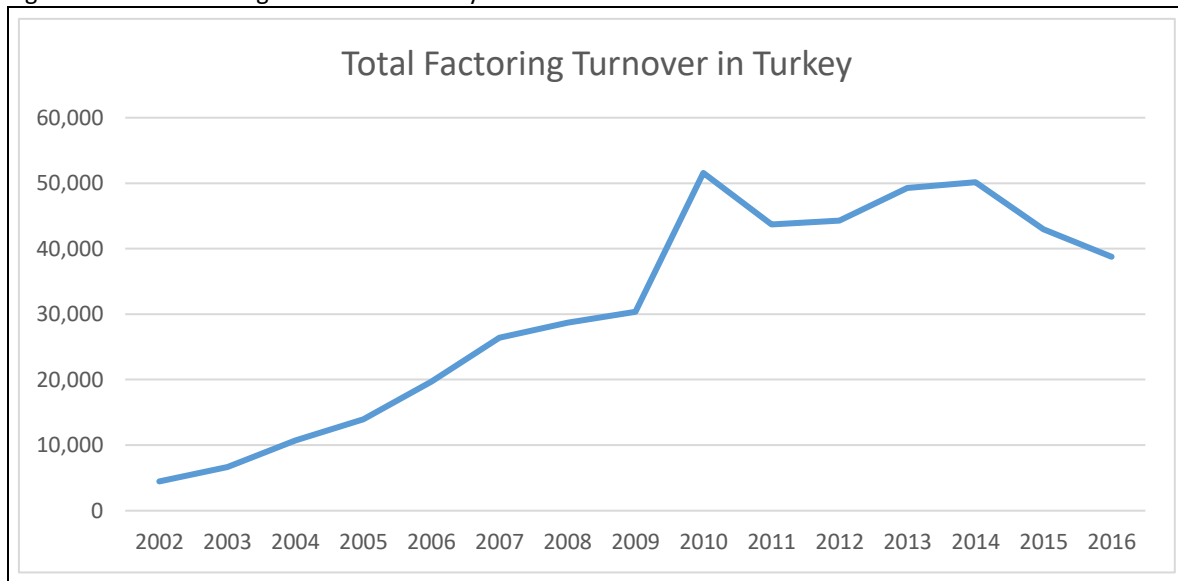
Economic conditions are very important for the growth of the factoring sector since factoring mainly finances trade. Total factoring turnover in Turkey has kept increasing during the period 1990-2010. After reaching its peak level in 2010, total factoring in Turkey has decreased between 2010 and 2016 (see Table 4).

Table 4: Total Factoring Turnover in Turkey (million USD)

	Domestic Factoring	International Factoring	Total (USD)	Total (million TL)
1990	10	90	100	
1991	55	128	183	
1992	286	168	454	
1993	700	270	970	
1994	650	220	870	
1995	658	300	958	
1996	1.319	450	1.769	
1997	3.032	550	3.582	
1998	4.000	750	4.750	
1999	4.518	748	5.266	
2000	5.022	921	5.943	
2001	2.700	990	3.690	
2002	3.413	1.260	4.673	
2003	5.250	1.413	6.663	
2004	8.640	2.093	10.733	
2005	11.607	2.352	13.959	
2006	16.216	3.485	19.701	
2007	22.470	3.935	26.405	
2008	24.447	4.230	28.677	
2009	27.110	3.260	30.370	37,952
2010	46.919	4.675	51.594	75,978
2011	36.350	7.349	43.699	70,780
2012	36.330	7.957	44.288	77,329
2013	40.839	8.461	49.300	93,832
2014	40.912	9.240	50.152	116,009
2015	34.339	8.631	42.970	119,652
2016	32.087	6.698	38.784	122,760
2017				145,047

Source: Source: Association of Financial Institutions, www.fkb.org.tr

Figure 2: Total Factoring Turnover in Turkey



Regarding composition of factoring turnover, 62.04% of total factoring turnover consists of factoring turnovers with recourse while the rest of the factoring turnovers are non-recourse. During the period between 2008 and 2013, it is observed that while the share of turnovers with recourse in total turnovers has increased, the share of turnovers without recourse in total turnovers has declined (see Table 5).

Table 5: Composition of Total Factoring Turnover in Turkey

	With Recourse	Non-Recourse
2008	76.55	23.45
2009	85.14	14.86
2010	56.75	43.25
2011	66.61	33.39
2012	56.81	43.19
2013	62.04	37.96

Source: Turkrating (2014)

Small and medium sized companies are the main source of demand for factoring in Turkey. There are about 500 thousand SMEs in Turkey. 90 percent of factoring customers are SMEs in Turkey (Oral, 2017). Factoring is utilized not only by small and medium companies but also by large companies in Turkey. Large companies in Turkey use factoring as a tool for making their balance sheet more liquid as well as financing in addition to their bank limits (Turkrating, 2014).

IV. CONCLUSION

Factoring is the sale of receivables at a discount price whereby firms sell their credit-worthy receivables to a factoring firm at a discount price and reach immediate cash flow. Penetration of factoring help deepening of the financial sector and diversification of financial products. Penetration of factoring accelerate economic growth since there is a high correlation between economic growth and deepening of the financial sector. Penetration of factoring may also contribute to the economic development due to the fact that factoring is mainly used by small and medium size enterprises. Thus, penetration of factoring enhances employment, production and standard of living through economic growth and development.

This paper evaluates the use of factoring as a tool for financing. As of 2016, total factoring volume in the world is 2,626 billion dollars. Between 2002 and 2016, the highest volume was reached in the year 2013 with 3,078 billion dollars. Total factoring volume had a steady increase between 2002 and 2013. After 2013 the volume of total factoring displayed a decreasing trend.

As a financing tool, factoring is utilized by both developing and developed countries. 67 percent of total factoring volume in 2016 was carried out by European countries. The highest factoring turnover was happened in England with 361 billion dollars. On the other hand, the highest factoring turnover to GDP ratio was happened in Belgium with 14.9%. 8,076 factoring companies operated in the world in 2016. About 70% of total factoring companies in the world operates in China. Factoring turnover in China was 333 billion dollars.

Regarding the ownership of factoring companies in Turkey can be divided into bank-owned factoring companies and non-bank owned factoring companies. The majority of total factoring assets are owned by bank-owned factoring companies. It is noted that bank-owned factoring companies work with less risky customers, higher borrowing rates and less capital while non-bank owned factoring companies operate with riskier customers, low borrowing rates and higher capital. Non-performing loans of non-bank owned factoring companies is twice higher than those of bank owned companies.

Small and medium sized companies are the main source of demand for factoring in Turkey. Factoring is utilized not only by small and medium companies but also by large companies in Turkey. Large companies in Turkey use factoring as a tool for making their balance sheet more liquid as well as financing in addition to their bank limits.

REFERENCES

- Bradic-Martinovic, A., Nedovic, N. and Balaban, M. (2015). "Factoring as a Form of Financing Small and Medium Sized Enterprises in Serbia. In New Economic Policy Reforms, Belgrade Banking Academy, Belgrade, 344-356.
- Klapper, L. (2006). "The Role of Factoring for Financing Small and Medium Enterprises", *Journal of Banking and Finance*, 30 (11): 3111-3130.
- Milenkovic-Kerkovic, T. and Dencic-Mihajlov, K. (2012). "Factoring in the Changing Environment: Legal and Financial Aspects." *Procedia-Social and Behavioral Sciences*, 44: 428-435.
- Oral, C. (2017). "Factoring 2017'de Atağa Geçti." *Ekonomist*, 7 Aralık 2017, <http://www.ekonomist.com.tr/dosya/factoring-2017de-ataga-gecti.html>
- Turkrating (2012). *The Turkish Factoring Industry 2012*, İstanbul.
- Turkrating (2014). *The Turkish Factoring Industry 2014*, İstanbul.

Turkey Wealth Fund

Prof.Dr. Rasim YILMAZ¹

¹Tekirdağ Namık Kemal University, Faculty of Economics and Administrative Sciences, Department of Economics, rasimyilmaz@nku.edu.tr ORCID: 0000-0002-1084-8705

Abstract: A sovereign wealth fund (SWF) is an investment fund or entity owned by a state or a political subdivision of a federal state. It is set up to manage the national savings in more effective ways. As of at the end of 2018, there are 78 SWF operating in the world. The oldest SWF dates to 1896 in the USA (Utah-SITFO). The most recent SWF was established in Turkey in 2016. 54 percent of total wealth funds in the world is related to oil and gas. The aim of most of the oil and gas funds is to ensure long-term management of revenue from the country's oil and gas resources so that this wealth benefits both current and future generations. This study overviews the aims and scopes of sovereign wealth funds and critics regarding them.

Key Words: Sovereign Wealth Funds, Turkey Wealth Fund, Fiscal Policy

1. INTRODUCTION

A sovereign wealth fund (SWF) is an investment fund or entity owned by a state or a political subdivision of a federal state. It is set up to manage the national savings in more effective ways.

- A sovereign wealth fund is a state-owned investment fund that is used to benefit the country's economy and citizens.
- Funding comes from central bank reserves, currency operations, privatizations, transfer payments, and revenue from exporting natural resources.
- Funds tend to prefer returns over liquidity and are therefore more risk tolerant than traditional foreign exchange reserves.
- Acceptable investments in each SWF vary from country to country (Investopedia, 2019).
-

The traditional classification of sovereign wealth fund includes (Investopedia, 2019)

- Stabilization funds
- Savings or future generations funds
- Pension reserve funds
- Reserve investment funds
- Strategic Development Sovereign Wealth Funds (SDSWF)

As of at the end of 2018, there are 78 SWF operating in the world. The oldest SWF dates to 1896 in the USA (Utah-SITFO). The most recent SWF was established in Turkey in 2016. Table 1 provides the rank of 10 largest SWF according to asset size. The world's largest SWF is Norway's the Government Pension Fund-Global (Sovereign Wealth Fund Institute, 2019).

Table 1: 10 Largest Sovereign Wealth Funds by Assets

Rank	Country	Sovereign Wealth Fund Name	Assets-USD	Inception	Origin
1	Norway	Government Pension Fund-Global	1,074.60	1990	Oil
2	China	China Investment Corporation	941.4	2007	Non-Commodity
3	UAE-Abu Dhabi	Abu Dhabi Investment Authority	697	1976	Oil
4	Kuwait	Kuwait Investment Authority	592	1953	Oil
5	China-Hong Kong	Hong Kong Monetary Investment Portfolio	522.6	1993	Non-Commodity
6	Saudi Arabia	SAMA Foreign Holdings	515.6	1952	Oil
7	China	SAFE Investment Company	441	1997	Non-Commodity
8	Singapore	Government of Singapore Investment	390	1981	Non-

		Corporation			Commodity
9	Singapore	Temasek Holdings	375	1974	Non-Commodity
10	Saudi Arabia	Public Investment Fund	360	1971	Oil
24	Turkey	Turkey Wealth Fund	40	2016	Non-Commodity
		Total	8,144.71		
		Total Oil and Gas Related	4,432.43		

Source: <https://www.swfinstitute.org/sovereign-wealth-fund-rankings/>

54 percent of total wealth funds in the world is related to oil and gas. The aim of most of the oil and gas funds is to ensure long-term management of revenue from the country's oil and gas resources so that this wealth benefits both current and future generations (The Local, 2019).

Norway's the Government Pension Fund-Global was set up to give the government room for manoeuvre in fiscal policy if oil prices drop or the mainland economy contract. It is also expected to serve as an instrument to manage the financial challenges of an ageing population and an expected drop in petroleum revenue. The fund was designed to be invested for the long term, but in a way that made it possible to draw on when required (Norges Bank Investment Management, 2019).

Norges Bank Investment Management manages the fund on behalf of the Ministry of Finance, which owns the fund on behalf of the Norwegian people. The ministry determines the fund's investment strategy, following advice from among others Norges Bank Investment Management and discussions in Parliament. The management mandate defines the investment universe and the fund's strategic reference index. The Ministry of Finance has on a regular basis transferred capital to the fund from the Norwegian state's petroleum revenues. The fund's capital is invested abroad, to avoid overheating the Norwegian economy and to shield it from the effects of oil price fluctuations. The fund invests in international equity and fixed-income markets and real estate. The fund is invested in most markets, countries and currencies to achieve broad exposure to global economic growth. The investments are expected to produce a high long-term return with an acceptable level of risk (Norges Bank Investment Management, 2019).

Norway's sovereign wealth fund suffered a loss of 57 billion dollar in 2018 due to drop on stock markets. Although performance of the fund was weak in 2018, the long-term return of the fund is higher than the return on the benchmark index (The Local, 2019).

2. TURKEY WEALTH FUND

Recently Turkey has established its Sovereign Wealth Fund in 2016. As of at the end of 2018, the rank of Turkey's SWF is 40 among 78 SWF operating in the world.

Turkish Wealth Fund Management Company (TWF) was founded in 2016 by the Law No. 6741 on Establishment of Turkish Wealth Fund Management Company and Amendments in Certain Laws published in the Official Gazette dated 26.08.2016 numbered 29813.

The fund is established with the mission of developing and increasing the value of Turkey's strategic assets and proving resource for Turkey's primary investments and with vision of becoming one of the most successful wealth funds in the world.

The fund and its sub-funds were established with the following aims and purposes:

- 1) Bringing domestic public assets in economy.
- 2) Increasing the value of existing public funds.
- 3) Contributing to economic growth by ensuring value increase of key public assets.
- 4) Increasing economic stability of Turkey by the efficient and productive management of public funds.
- 5) Deepening and diversifying capital market's instruments by the introduction of a variety of products.

- 6) Attracting foreign sources and investments to Turkey.
- 7) Supporting the development of assets suitable for participation financing.
- 8) Providing capital for new investments.
- 9) Taking part in strategically important industries and participating in large-scale investments (Official Gazette, 2006; Turkey Wealth Fund, 2019).

Turkish Wealth Fund Management Company is directly registered to the trade registry, is subject to private law provisions and is administered by professional management principles.

The main sources of the Fund are defined as follows:

(1) Sources of Turkish Wealth Fund comprises of;

- a) The institutions and assets which fall within the scope and program of privatization and decided by the High Board of Privatization to be transferred to the Turkish Wealth Fund and cash surplus decided by the High Board of Privatization Fund to the Turkish Wealth Fund,
- b) The surplus income, resources and assets which are in the possession of public entities and institutions within the public sectors and which are decided by the President to be transferred to the Turkish Wealth Fund or managed by the Company,
- c) The funding and sources which are provided from national and international money and capital markets by the Turkish Wealth Fund without seeking for the permissions and approvals stated in the related legislations,
- d) The funding and sources provided through other resources in addition to the money and capital markets.
- e) State-owned enterprise, and the public shares of its organization, enterprise, administration, units and assets, the public shares of enterprises more than half or total capital of which are state-owned, and/or the public shares of other commercial enterprises owned by public entities, shares and asset of commercial enterprises the total capital of which are owned by public, the public shares of other State-owned affiliates, the shares of treasury which are resolved to transfer to Turkish Wealth Fund or manage by the Company by the President's Decree (Official Gazette, 2006).

The fund may realize;

- a) the sale and purchase shares of domestic and foreign companies, the shares and debt instruments belonging to issuers established in Turkey and abroad, precious metals and commodity based issued capital market instruments, fund participation units, derivatives, lease certificates, real estate certificates, specially designed foreign investment instruments and other instruments,
- b) all kinds of money market transactions,
- c) the evaluation of real estate and rights based on real estate together with all kinds of intangible rights,
- d) all kinds of project development, project based fund raising, providing external project credit and transactions providing fund by way of other methods,
- e) all kinds of commercial and financial activities, at primary and secondary national and international markets (Official Gazette, 2006).

The fund can also participate in national investment and investments to be made by other countries and/or foreign companies in international areas (Official Gazette, 2006).

The main activities of the Fund are counted as

- to contribute to the diversification and deepening of capital markets,
- to increase the value of public assets in Turkey with the adoption of universal corporate governance principles,
- to attract investment-oriented funds to Turkey,
- to establish and manage the Fund and its sub-funds in order to participate in large-scale strategic investments.

The Fund is expected to

- increase the value-added performance generated by the assets under its management
- reduce the pressure on financing costs
- raise debt at a lower cost than the Treasury
- increase savings and investments
- have a positive impact on the overall growth and development

- positively contribute to the generation of employment opportunities (Turkey Wealth Fund, 2019).

The Fund is expected to provide financing for large-scale projects by increasing the value-added performance generated by the assets under its management. Consequently, with the realization of these projects, the Fund will positively contribute to the generation of employment opportunities and reduce the pressure on financing costs. Hence, the Fund will have a positive impact on the overall growth and development through increased savings and investments (Turkey Wealth Fund, 2019).

The Fund aims to structure its operations in accordance with international best practices. Professional management, transparency, performance orientation, sustainability, and risk management and accountability are counted as values of the fund management. Table 2 presents the values of the Fund and definition of these values (Turkey Wealth Fund, 2019).

Table 2: Values of the Fund and Their Definition

Values	Definition
Professional Management	TWF will take as basis globally accepted management principles for both its own operations and the management of companies in its portfolio
Transparency	Reporting of fund operations and interaction processes with portfolio companies will be carried out in full transparency and in line with the specified governance principles
Performance Orientation	Priority objective of TWF will be to ensure that risk-return expectation is met in all kinds of investment activities and management of companies in its portfolio
Sustainability	TWF will manage practices, new investment preferences and other activities with regard to its assets independently of external influences and in a sustainable way in the long term as stated in the law of establishment
Risk Management and Accountability	TWF will identify risks that may arise from its operations and report them regularly TWF will perform its duties regarding its practices in compliance with the law of establishment and the relevant regulations

Source: <http://turkiyevarlikfonu.com.tr/EN/icerik/51/about-us>

The independently audited financial statements and activities of the Company, other companies to be established by the Company, Turkish Wealth Fund and sub-funds to be established within Turkish Wealth Fund is audited by at least three central auditors in accordance with independent audit standards. Central auditors are appointed by President and they should have experience in capital markets, finance, economy, treasury, banking and development areas. The report, which will be prepared as a result of the audit, shall be submitted to the President annually until the end of June. Planning and Budget Commission of Turkish Grand National Assembly discusses and audits previous year's financial statements and activities of the Company, other companies to be established by the Company, Turkish Wealth Fund and sub-funds to be established within Turkish Wealth Fund annually on October through the audit reports addressed by Presidency (Official Gazette, 2006).

Upon establishment of the Fund in August 2016, some public lands and public securities presented in Table 3 are transferred to the Fund. Total shares of some public companies as well as the public shares of some public companies previously under the Privatization Administration are transferred in to the Fund (Turkey Wealth Fund, 2019).

Table 3: Name and Shares of Public Companies Transferred to the Fund

Company Name	State Share
ZiraatBank	100
Turkish Petroleum	100
Petroleum Pipeline Company	100
The General Directorate of Post and Telegraph Organization	100
National Satellite Operator TÜRKSAT	100

Borsa İstanbul	100
National Lottery	100
TCDD İzmir Port	100
TCDD	100
Eti Maden General Directorate	100
The General Directorate of Tea Enterprises Çaykur	100
Turkey Jockey Club	100
HalkBank	51.11
Turkish Maritime Enterprises	49.0
Turkish Airlines	49.12
Türk Telekom	6.68
Kayseri Şeker Fabrikası A.Ş	10.0
Various immovable properties owned by the Treasury located in Antalya, Aydın, İstanbul, Isparta, İzmir, Kayseri and Muğla	

Source: <http://turkiyevarlikfonu.com.tr/EN/icerik/51/about-us>

The assets of Turkish Wealth Fund and assets and rights transferred to be managed by the Company are separate from the Company's assets. Turkish Wealth Fund's assets shall not be provided as collateral or pledged, not to be disposed for another purpose, cannot be subject to seizure with the purpose to collect public receivables, imposed to an interim injunction or included in a bankrupt's estate for any other purpose other than the businesses and transactions regarding the operations of which the Turkish Wealth Fund and sub-funds are entitled to engage, including procurement of finance from money and capital markets provided that such transactions shall be conducted on the account of the Turkish Wealth Fund. The debts and obligations of the Company to third persons and the receivables of the Turkish Wealth Fund from the same third person may not be set off against each other (Official Gazette, 2006).

The Company, the Turkish Wealth Fund incorporated as per this Law and the companies and sub funds to be established by the Company are exempt from income and corporate tax. The Company, the Turkish Wealth Fund and the companies and sub funds to be incorporated by the Company are exempt from taxes, fees, contribution rates and approval fees received as per the Municipal Revenues Law dated 26/5/1981 and numbered 2464, excluding electricity and gas consumption taxes and fire insurance taxes, from real estate tax for the real estates owned, land registry and cadastre revolving fund costs regarding the real estates purchased and sold, and from the obligation to deposit guarantee in all lawsuits and enforcement proceedings (Official Gazette, 2006).

The first general manager of the Fund was Mehmet Bostan. After Mehmet Bostan, Zafer Sönmez was assigned as the general manager of the Fund. Zafer Sönmez was former Turkey and Africa manager of Malaysian government wealth fund Khazanah Nasional Bhd (Karakaya, 2019; Daily Sabah, 2019).

In February 2019, the fund commissioned Citibank and Industrial Commercial Bank of China (ICBC) to coordinate a 1-billion-euro (\$1.14-billion) syndicated loan as the first international borrowing of the fund. The loan had a two-year maturity with the option to extend for another year with the purpose of supplying liquidity for the companies Turkey Wealth Fund (TWF) incorporates (Daily Sabah, 2019).

3. Critics of Sovereign Wealth Funds

Sovereign Wealth Funds are criticized for not being transparent about their investments and corporate practices, being set up for political motives rather than economic motives, being a shadow central bank, and being served to avoid fiscal discipline.

One of the critics about SWFs is about their transparency. Some of the most significant sovereign wealth funds are not entirely transparent regarding their investments and corporate governance practices (Investopedia, 2019). Similar, concerns are raised against Turkey Wealth Fund. Critics assert that the Fund is not transparent and exempt from the audit by the Court of Accounts (Dedeoğlu, 2017).

Table 4 provides Linaburg-Maduell Transparency Index values of 10 largest sovereign wealth funds by assets. The value 10 represents the highest transparency while the value of 1 signals the lowest transparency. Among the largest 10 sovereign wealth funds Norway's Government Pension Fund-Global is the most transparent while China's SAFE Investment Company and Saudi Arabia's SAMA Foreign Holdings are the least transparent. Turkey's Linaburg-Maduell Transparency Index is not available.

Table 4: Transparency of 10 Largest Sovereign Wealth Funds by Assets

Rank	Country	Sovereign Wealth Fund Name	Linaburg-Maduell Transparency Index
1	Norway	Government Pension Fund-Global	10
2	China	China Investment Corporation	8
3	UAE-Abu Dhabi	Abu Dhabi Investment Authority	6
4	Kuwait	Kuwait Investment Authority	6
5	China-Hong Kong	Hong Kong Monetary Investment Portfolio	8
6	Saudi Arabia	SAMA Foreign Holdings	4
7	China	SAFE Investment Company	4
8	Singapore	Government of Singapore Investment Corporation	6
9	Singapore	Temasek Holdings	10
10	Saudi Arabia	Public Investment Fund	5

Source: <https://www.swfinstitute.org/sovereign-wealth-fund-rankings/>

SWFs are also criticized about their political influence. Some argues that they are set up for political motives rather than economic motives (Investopedia, 2019).

Besides, some other critics argue that sovereign wealth funds are used to avoid fiscal discipline and serve as a shadow central bank. Similar, concerns are raised about Turkey Wealth Fund. Critics states that the TWF is mainly established to provide funding for major infrastructure investments unlike the wealth fund practices in much of the world. If the objective of the TWF is to finance the infrastructure investments, for all practical purposes, it will be no different than the past, "Public Participation Fund" implementation and so it will compromise the principle of "Unity of Treasury". The Public Participation Fund in Turkey was established as an off-budget fund and financed highways and bridges, mainly by issuing Revenue Sharing Certificates (RSC's), against the future revenues to be obtained from such investments. However, the fund practically served to avoid fiscal discipline, issued high amounts of RSC's, which was deeply discounted in the secondary market and eventually ended up in the Treasury's books. Later the Fund was abolished after being transferred to the Treasury, and the outstanding RSC's have been redeemed using tax money (Dedeoğlu, 2017).

4. CONCLUSION

A sovereign wealth fund (SWF) is an investment fund or entity owned by a state or a political subdivision of a federal state. It is set up to manage the national savings in more effective ways. As of at the end of 2018, there are 78 SWF operating in the world. The oldest SWF dates to 1896 in the USA (Utah-SITFO). The most recent SWF was established in Turkey in 2016. 54 percent of total wealth funds in the world is related to oil and gas. The aim of most of the oil and gas funds is to ensure long-term management of revenue from the country's oil and gas resources so that this wealth benefits both current and future generations. This study overviews the aims and scopes of sovereign wealth funds and critics regarding them.

Sovereign Wealth Funds are criticized for not being transparent about their investments and corporate practices, being set up for political motives rather than economic motives, being a shadow central bank, and being served to avoid fiscal discipline.

REFERENCES

- Daily Sabah (2019). "Turkey Wealth Fund Reportedly Hires Banks for 1 Billion-Euro Syndication Loan". 08.02.2019. <https://www.dailysabah.com/finance/2019/02/08/turkey-wealth-fund-reportedly-hires-banks-for-1-billion-euro-syndication-loan>
- Dedeoğlu, E. (2017). "What Can Turkey's Sovereign Wealth Fund Do With This Portfolio ?". TEPAV 16/02/2017. <https://www.tepav.org.tr/en/haberler/s/4162>
- Investopedia (2019). "Sovereign Wealth Fund (SWF)" https://www.investopedia.com/terms/s/sovereign_wealth_fund.asp
- Karakaya, K. (2018). "Turkey Wealth Fund Said to Near Mandate Assent After Board Purge". Bloomberg, 24 October 2018. <https://www.bloomberg.com/news/articles/2018-10-24/turkey-wealth-fund-is-said-to-near-approval-of-mandate>
- Narges Bank Investment Management (2019). "About the Fund". <https://www.nbim.no/en/the-fund/about-the-fund/>
- Official Gazette (2019). "The Law No. 6741 on Establishment of Turkish Wealth Fund Management Company and Amendments in Certain Laws". Official Gazette dated 26.08.2016 numbered 29813.
- Sovereign Wealth Fund Institute (2019). "Sovereign Wealth Fund Rankings" <https://www.swfinstitute.org/sovereign-wealth-fund-rankings/>
- The Local (2019). "Norway's Sovereign Wealth Fund Loses \$57 Billion". 28 February 2019. <https://www.thelocal.no/20190228/norwayss-sovereign-wealth-fund-loses-57-billion>
- Turkey Wealth Fund (2019). "Turkiye Wealth Fund". <http://turkiyevarikfonu.com.tr/EN/icerik/51/about-us>

Predicting the Future Using Forward-Looking Indicators

Prof.Dr. Rasim YILMAZ

Tekirdağ Namık Kemal University, Faculty of Economics and Administrative Sciences, Department of Economics,
rasimyilmaz@nku.edu.tr ORCID: 0000-0002-1084-8705

Abstract: The yield of sovereign credit default swaps (CDS) and yield curve of government bonds contain information about expectations on the future outlook of the economy. Increase in the value of sovereign credit default swaps and the negative slope of yield curve of government bonds indicate the deterioration of the economic situation of the country. This study analyzes the value of Turkish CDS and the slope of yield curve of Turkish government bonds. This study also attempts to forecast the shape of future economic growth path of Turkey.

Key Words: Credit Default Swap (CDS), Yield Curve, Economic Growth

I. INTRODUCTION

The yield of sovereign credit default swaps (CDS) and yield curve of government bonds contain information about expectations on the future outlook of the economy. Increase in the value of sovereign credit default swaps and the negative slope of yield curve of government bonds indicate the deterioration of the economic situation of the country. This study analyzes the value of Turkish CDS and the slope of yield curve of Turkish government bonds. This study also attempts to forecast the shape of future economic growth path of Turkey.

II. TURKISH CREDIT DEFAULT SWAPS

A credit default swap (CDS) is a financial contract that the seller of the CDS offsets the buyer's credit risk in the case of a debt default by the debtor. Government bonds have risks that the issuer country will not repay the principal or the interest. Maturity of government bonds can be up to 30 years. It is hard to forecast the risks involving for such maturities. Credit default swaps manage this kind of risk and provides insurance against non-payment of bonds. The seller of CDS undertakes the default risk of the buyer of the bond in exchange for a fee (Investopedia, 2019).

CDS contain information about the default risk of a country. The lower a country's CDS value, the more valuable its bonds. Thus, increase in the CDS value indicate that the risk of the country, the probability of default of the country, and the expectation of financial crisis in that country increase. CSS value are taken as a predictor of the future economic conditions of the country.

As of 27 March of 2019, the yield of Turkey's 5 years sovereign CDS was 412.75. During the last year, the yield of CDSs range from 186.4 to 566.4. Turkey's 5 years sovereign CDS value changed +8.43% during last week, +38.32% during last month, and +120.64% during last year (see Table 1). On the hypothesis of a 40% recovery rate, this yield implies 6.88% probability of default. High value of CDSs of Turkey in recent period indicates increase in the risk of Turkey, the probability of default of Turkey, and financial crises expectation.

Table 1: Turkey's 5 Years Credit Default Swaps

Period	Change	CDS Range	
		Min	Max
1 Week	+8.43%	380.7 22 Mar 19	458.5 27 Mar 19
1 Month	+38.32%	298.4 1 Mar 19	458.5 27 Mar 19
6 Months	+9.47%	287.8 5 Feb 19	458.5 27 Mar 19
1 Year	+120.64%	186.4 2 Apr 18	566.4 4 Sep 18

Source: <http://www.worldgovernmentbonds.com/cds-historical-data/turkey/5-years/>

Between 2015 and 2019, Turkey's 5 years sovereign CDS reached a maximum value of 566.38 on 4 September 2018 while it reached a minimum value of 152.28 on 5 January 2018 (see Table 2).

Table 2: Turkey's 5 Years Credit Default Swaps

Year	Change	CDS Range	
		Min	Max
2015	-2.9%	262.1 21 Dec 15	272.9 15 Dec 15
2016	+0.7%	215.9 12 Jul 16	311.3 20 Jan 16
2017	-41.2%	153.7 1 Sep 17	295.8 11 Jan 17
2018	+117.5%	152.3 5 Jan 18	566.4 4 Sep 18
2019	+18.9%	287.8 5 Feb 19	458.5 27 Mar 19

Source: <http://www.worldgovernmentbonds.com/cds-historical-data/turkey/5-years/>

When we compare 5 years CDS value of countries, it can be seen that the value of Turkey's CDS is higher than all developed and most of the developing countries such as Brazil, Egypt, South Africa. Countries which have higher CDS yield are Ukraine, Argentina and Venezuela (see Table 3).

Table 3: 5 Years Credit Default Swaps

Country	S&P Rating	Var 1m	Var 6m	Implied Probability of Default		Date
Norway	AAA	11.30	+2.73 %	-0.88 %	0.19 %	1 Apr
Denmark	AAA	11.65	+10.22 %	+5.53 %	0.19 %	1 Apr
Austria	AA+	12.38	-0.40 %	-3.51 %	0.21 %	1 Apr
Germany	AAA	12.80	+6.67 %	+13.27 %	0.21 %	1 Apr
Finland	AA+	13.04	-0.08 %	+0.38 %	0.22 %	1 Apr
Netherlands	AAA	13.90	+6.92 %	+2.96 %	0.23 %	1 Apr
United States	AA+	16.40	-1.80 %	-6.29 %	0.27 %	1 Apr
New Zealand	AA	17.80	+9.20 %	+6.59 %	0.30 %	1 Apr
Sweden	AAA	20.40	0.00 %	0.00 %	0.34 %	1 Apr
Japan	A+	22.10	+4.25 %	-8.68 %	0.37 %	1 Apr
Belgium	AA	26.10	+0.77 %	+15.49 %	0.44 %	1 Apr
United Kingdom	AA	28.10	0.00 %	0.00 %	0.47 %	1 Apr
France	AA	29.30	-9.57 %	+16.27 %	0.49 %	1 Apr
Canada	AAA	32.80	-4.37 %	-0.61 %	0.55 %	1 Apr
South Korea	AA	33.63	+16.33 %	-7.18 %	0.56 %	1 Apr
Hong Kong	AA+	37.10	-1.85 %	+11.08 %	0.62 %	1 Apr
Ireland	A+	37.30	-6.05 %	+1.63 %	0.62 %	1 Apr
China	A+	44.74	-7.16 %	-18.89 %	0.75 %	1 Apr
Spain	A-	64.20	-1.08 %	-3.46 %	1.07 %	1 Apr
Poland	A-	68.80	+5.20 %	+3.30 %	1.15 %	1 Apr
Portugal	BBB	73.10	-2.92 %	-20.54 %	1.22 %	1 Apr
India	BBB-	84.88	-5.56 %	-19.42 %	1.41 %	29 Mar
Indonesia	BBB-	103.07	+4.07 %	-20.13 %	1.72 %	1 Apr
Mexico	BBB+	116.34	-3.99 %	+9.94 %	1.94 %	29 Mar
Russia	BBB-	131.20	+4.58 %	-4.33 %	2.19 %	29 Mar
Brazil	BB-	175.20	+13.32 %	-32.64 %	2.92 %	1 Apr
South Africa	BB	199.25	+11.34 %	-1.42 %	3.32 %	29 Mar

Italy	BBB	204.80	-1.01 %	-17.35 %	3.41 %	1 Apr
Egypt	B	336.00	+6.50 %	-4.00 %	5.60 %	29 Mar
Greece	B+	365.90	-1.90 %	-3.58 %	6.10 %	1 Apr
Turkey	B+	412.75	+38.32 %	+12.46 %	6.88 %	29 Mar
Ukraine	B-	622.57	+3.23 %	+48.06 %	10.38 %	29 Mar
Argentina	B	747.63	+10.13 %	+31.95 %	12.46 %	29 Mar
Venezuela	SD	72150.20	0.00 %	0.00 %	100.00 %	1 Apr

Source: <http://www.worldgovernmentbonds.com/sovereign-cds/>

III. YIELD CURVE OF TURKISH GOVERNMENT SECURITIES

Yield curve of government bonds can be used as a forecasting tool for an economy since yield curve contains information on expectations about the future situation of the economy. Yield curves represent the term structure of interest rates of certain types of bonds and can be obtained by plotting rates on similar securities with different maturities.

The yield curves typically slope upward, i.e. longer-maturity assets have a higher return than shorter-maturity assets. This is because of the fact that investors demand a premium to hold a bond or a note for a longer period. The premium is demanded for risks such as inflation and other uncertainties that can develop over time (Mishkin, 2007).

Yield curve inversion occurs when the spread between short-term rates and long-term rates is negative. In other words, if the short-term asset rates rise above the rates on long-term assets, the yield curve inversion happens.

When we look at yields of Turkey's government bonds, it can be observed that yield curve is inverted in long-term vs short-term maturities as such 10 years government bond has a 17.860% yield, 5 years government bond has 17.720% yield, 3 years government bond has a 21.800% yield, 2 years government bond has a 20.170% and 1 year government bond has a 23.140% yield (see Table 4).

Table 4: Yield Comparison of Turkish Bonds

Residual Maturity	Yield (%)	Bond Price - with different Coupon Rates					
		0%	1%	3%	5%	7%	9%
10 years	17.860	19.33	23.85	32.88	41.92	50.95	59.98
5 years	17.720	44.23	47.38	53.67	59.97	66.26	72.56
3 years	21.800	55.34	57.39	61.49	65.58	69.68	73.78
2 years	20.170	69.25	70.77	73.82	76.87	79.92	82.97
1 year	23.140	81.21	82.02	83.64	85.27	86.89	88.52
		100.00	100.00	100.00	100.00	100.00	100.00

Source: <http://www.worldgovernmentbonds.com/country/turkey/>

Yield curve of Turkey's government bonds are inverted in short term maturities (2Y vs. 1Y), mid-term vs. short term maturities (5Y vs. 2Y), and long-term vs. short-term maturities (10Y vs.2Y). 10 Years vs 2 Years bond spread is -231 bp, 5 Years vs 2 Years bond spread is -245 bp, 2 Years vs 1 Years bond spread is -297 bp (see Table 5).

Table 5: Spread and Curve Convexity of Turkish Bond Yields

Yield Comparison	Spread	Curve Convexity
2Y vs 1Y	-297 bp	Yield Curve is inverted in Short-Term Maturities
5Y vs 2Y	-245 bp	Yield Curve is inverted in Mid-Term vs Short-Term Maturities
10Y vs 2Y	-231 bp	Yield Curve is in Long-Term vs Short-Term Maturities

Source: <http://www.worldgovernmentbonds.com/country/turkey/>

Yield curve signals about the current situation of the monetary policy, the expectation about short-term interest rates, the expectation about future inflation, the expectation of investors about the future of economic growth. The negative slope of the yield curve indicates that monetary policy is tight, short-term interest rates are expected to fall, future inflation is expected to decline, the economy is expected to enter a recession.

The interest rates of the bonds are affected by risk, liquidity and tax conditions of the issuer country. Comparison of yields with the same maturities of different countries provide information about perceived risks by market participants. Turkey's 10 year bond yield is higher than bond yields of main countries such as Japan, Germany, France, U.K., Spain, Canada, Australia, USA, Italy, China, India, Russia, and Brazil. The yield spread ranges from 1793.8 basis points to 887.5 basis points, indicating that risk of Turkey's securities is higher than foreign securities.

Change in average spread within short-term also indicate the change in the perceived risk among market participants. Change in average spread of Turkey is more than 300 bp within one month while change in average spread is about 150 bp within six months, indicating the recent turmoil in the Turkish financial market (see Table 6).

Table 6: The Spread between Turkey 10 Y and Other Countries 10 Y

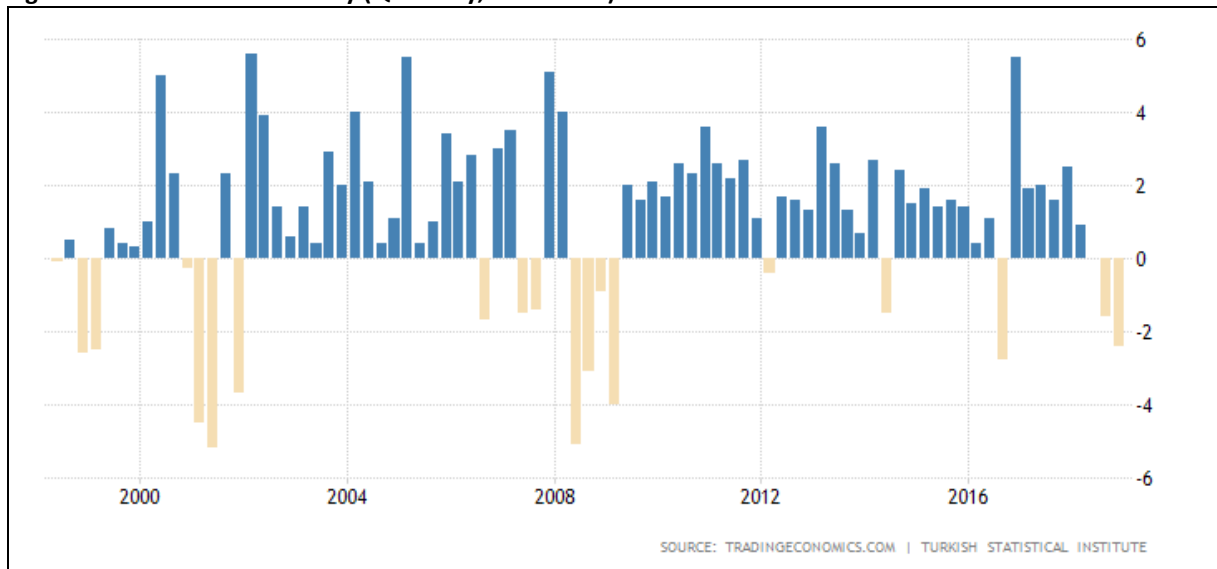
Turkey 10Y vs	Current Spread	Chg 1M	Chg 6M
Japan 10Y	1793.8 bp	+321.8	+89.0
Germany 10Y	1792.8 bp	+341.0	+122.3
France 10Y	1754.4 bp	+341.4	+119.1
United Kingdom 10Y	1686.3 bp	+345.2	+126.2
Spain 10Y	1674.6 bp	+325.2	+110.5
Canada 10Y	1624.3 bp	+347.3	+157.3
Australia 10Y	1605.1 bp	+352.1	+154.6
United States 10Y	1542.7 bp	+348.5	+133.3
Italy 10Y	1537.9 bp	+342.3	+150.5
China 10Y	1473.3 bp	+321.8	+120.8
India 10Y	1051.4 bp	+336.0	+132.2
Russia 10Y	944.0 bp	+315.0	+71.0
Brazil 10Y	887.5 bp	+324.5	+323.0

Source: <http://www.worldgovernmentbonds.com/country/turkey/>

IV. THE SHAPE OF FUTURE ECONOMIC GROWTH PATH OF TURKEY

Turkey's economic growth performed negatively in the last quarter of 2018 and the first quarter of 2019. This calls for forecasting of the future economic growth path of Turkey. During economic crisis, the shape of the economic growth path of Turkey could be U-shaped, L-shaped and V-shaped. When we look at the previous shapes of the economic growth path of Turkey between 1990 and 2019 during the economic crises, it can be seen that the shape of economic growth path were V-shaped in 1994, 1999 and 2001 economic crises while U-shaped in 2008 economic crisis. The shape of the future economic growth path of Turkey seems to be V-shaped, indicating the gradual increase in the growth performance (see Figure 1).

Figure 1: GDP Growth of Turkey (Quarterly, 1999-2019)



Source: <https://tr.tradingeconomics.com/turkey/gdp-growth>

V. CONCLUSION

The yield of sovereign credit default swaps (CDS) and yield curve of government bonds contain information about expectations on the future outlook of the economy. Increase in the value of sovereign credit default swaps and the negative slope of yield curve of government bonds indicate the deterioration of the economic situation of the country. This study analyzes the value of Turkish CDS and the slope of yield curve of Turkish government bonds. This study also attempts to forecast the shape of future economic growth path of Turkey.

CDS contain information about the default risk of a country. The lower a country's CDS value, the more valuable its bonds. Thus, increase in the CDS value indicate that the risk of the country, the probability of default of the country, and the expectation of financial crisis in that country increase. CSS value are taken as a predictor of the future economic conditions of the country. High value of CDSs of Turkey in recent period indicates the increase in the risk of Turkey, the probability of default of Turkey, and financial crises expectation.

When we look at yields of Turkey's government bonds, it can be observed that yield curve is inverted in long-term vs short-term maturities as such 10 years government bond has a 17.860% yield, 5 years government bond has 17.720% yield, 3 years government bond has a 21.800% yield, 2 years government bond has a 20.170% and 1 year government bond has a 23.140% yield (see Table 4).

Recently, Turkey's yield curve of government bonds has inverted, i.e. the slope of the yield curve has become negative. Yield curve signals about the current situation of the monetary policy, the expectation about short-term interest rates, the expectation about future inflation, the expectation of investors about the future of economic growth. The negative slope of the yield curve indicates that monetary policy is tight, short-term interest rates are expected to fall, future inflation is expected to decline, the economy is expected to enter a recession.

Comparison of yields with the same maturities of different countries provide information about perceived risks by market participants. Turkey's 10 year bond yield is higher than bond yields of main countries such as Japan, Germany, France, U.K., Spain, Canada, Australia, USA, Italy, China, India, Russia, and Brazil. The yield spread ranges from 1793.8 basis points to 887.5 basis points, indicating that risk of Turkey's securities is higher than foreign securities.

When we look at the previous shapes of the economic growth path of Turkey between 1990 and 2019 during the economic crises, it can be seen that the shape of economic growth path were V-shaped in 1994, 1999 and

2001 economic crises while U-shaped in 2008 economic crisis. The shape of the future economic growth path of Turkey seems to be V-shaped, indicating the gradual increase in the growth performance.

REFERENCES

- Investopedia (2019). “What is a Credit Default Swap (CDS)?”.
<https://www.investopedia.com/terms/c/creditdefaultswap.asp>
- Mishkin, F. S. (2007). “The Economics of Money, Banking and Financial Markets”. Eighth Edition. New York: Pearson Addison Wesley.
- World Government Bonds (2019). “Turkey Government Bonds - Yields Curve”.
<http://www.worldgovernmentbonds.com/country/turkey/>
- World Government Bonds (2019). “Sovereign CDS”.
<http://www.worldgovernmentbonds.com/sovereign-cds/>

Analysis of the Factors Affecting the Interest-Free Bond Issuance

Prof.Dr. Rasim YILMAZ

Tekirdağ Namık Kemal University, Faculty of Economics and Administrative Sciences, Department of Economics,
rasimyilmaz@nku.edu.tr ORCID: 0000-0002-1084-8705

Abstract: Interest-free Bond /Islamic bond (Sukuk) constitutes about 15% of Islamic finance assets in 2015. Sukuk is the most rapidly expanding Islamic finance sector in the last few years based on growth rates, whereby sukuk sector is expected to give momentum to the Islamic finance in the near future. The share of Turkey in the sukuk market is about 3%. In Turkey, sukuk is mainly issued by the government and participation banks. It is argued that liquidity shortage in the international financial markets led Turkish government to sukuk market as an alternative funding source. The main of this article is to determine the factors that affect sukuk issuance in both in Turkey and the world. For this end, factors that impact sukuk issuance are analyzed in the article.

Key Words: Islamic Finance, Sukuk, Interest-Free Bond, Participation Banks

1. INTRODUCTION

Total value of Islamic finance assets is 1.88 trillion dollar as of the end of year 2015. The main assets of Islamic finance are Islamic banking assets, sukuk (Islamic bonds), Islamic funds, and takaful (Islamic insurance). The majority of Islamic finance assets consist of Islamic Banking assets with 80% (See Table 1).

Table 1: Islamic Finance Assets

	2012	%	2013	%	2014	%	2015	%
Banking Assets	1,273.6	79.43	1,283.7	79.02	1,476.2	79.53	1,496.5	80.38
Sukuk Outstanding	229.4	15.18	245.3	15.78	294.7	15.44	290.6	14.48
Islamic Funds Assets	64.2	4.26	68.9	4.06	75.8	3.79	71.3	4.05
Takaful Contributions	17.2	1.13	18.3	1.15	21.4	1.23	23.2	1.09
	1,584.40		1,616.20		1,868.10		1,881.6	

Source: IFSB (2013, 2014, 2015 and 2016)

Interest-free Bond/Islamic bond (Sukuk) constitutes about 15% of Islamic finance assets in 2015. Sukuk is the most rapidly expanding Islamic finance sector in the last few years based on growth rates.

Sukuk is an Islamic alternative funding to conventional bonds. Sukuk is defined as “certificates that represent a proportional undivided ownership right in tangible assets, or a pool of tangible assets and other types of assets. These assets could be in a specific project or specific investment activity that is Shariah-compliant” (IFSB, 2016: 13). In other words, sukuk are certificates of investment in underlying assets, services or investment activities that generate fixed or floating returns according to Islamic principles. In recent years, similar to the conventional bond counterparts, hybrid, convertible, perpetual, retail and regulatory liquidity/capital sukuk have been introduced to the financial markets. Thus, sukuk are utilized for funding working capital, managing liquidity and risk, and investing (IFSB, 2014: 21).

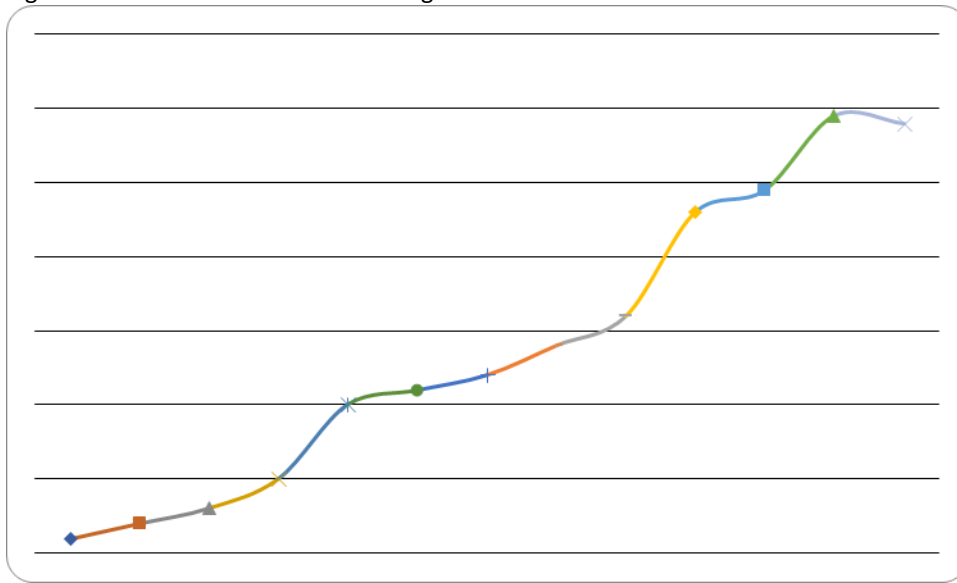
Sukuk is the most rapidly expanding Islamic finance sector in the last few years based on growth rates (IFSB, 2015: 17). Average annual sukuk issuance during the 2010-2015 period was 5 times higher than the period between 2004 and 2009. The global sukuk outstanding (based on par value at issuance) increased between 2004 and 2014 steadily (see Table 2 and Figure 1). The record value of the global sukuk outstanding was reached in 2014 with 294.7 billion dollar. However, the global sukuk outstanding (based on par value at issuance) has declined by 1.4% to 290.6 billion dollar in 2015 since both exchange rate movements and withdrawal of the Malaysian central bank from regular issuances of short-term sukuk (IFSB, 2016: 3 and 7).

Table 2: The Global Sukuk Outstanding

Year	Billion Dollar
2003	10
2004	20

2005	30
2006	50
2007	100
2008	110
2009	120
2010	140
2011	160
2012	230
2013	245
2014	295
2015	290

Figure 1: The Global Sukuk Outstanding



Sukuk is issued by sovereign, quasi-sovereign and corporate issuers. 59 million dollar amounted sukuk were issued by both sovereign & government-related entities and corporate issuers in 2015. It is observed that 70% of sukuk issued in the year 2015 were issued by sovereign & government-related entities while corporate issuers issued about 30% of sukuk issued in the year 2015 (2016: 13).

In 2015, sovereign sukuk market is dominated by Malaysia followed by 11 other countries (see Table 3).

Table 3: Sovereign Sukuk Issuance by Jurisdiction (2015)

Country	%
Malaysia	57.6
Indonesia	17.5
UAE	6.4
Bahrain	5.6
Saudi Arabia	3.8
Turkey	3.1
Hong Kong	2.4
Qatar	2.1
Oman	1.6
Brunei	0.9
USA	0.5
Gambia	0.03

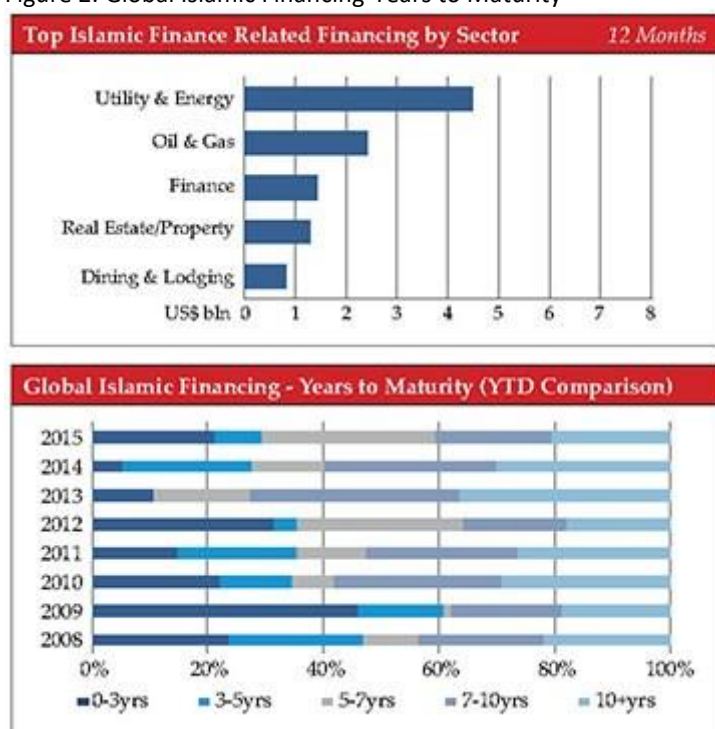
In 2015, corporate sukuk market is dominated by Malaysia and Saudi Arabia followed by 6 other countries (see Table 4).

Table 4: Corporate Sukuk Issuance by Jurisdiction (2015)

Country	%
Malaysia	33.7
Saudi Arabia	30.5
UAE	18.9
Qatar	7.3
Turkey	4.0
Indonesia	3.2
Pakistan	1.2
Bahrain	1.1

Analyzing sukuk maturity trend indicates that the share of short term sukuk increased between 2008 and 2011 and after the year 2011 the share of short term sukuk has decreased (see Figure 2). The share of short term sukuk (one-three years) increased from 30% in 2008 to 65% in 2011. After the year 2011, it has decreased to 55% in 2014 and 22% in 2015 (IFSB, 2016: 17).

Figure 2: Global Islamic Financing-Years to Maturity



Source: <https://www.islamicfinancenews.com/dealogic>

In regard to sukuk structures, it can be observed that sukuk structures move towards to ijarah and wakalah (fixed income and debt-creating contracts) from musharakah and mudarabah (risk sharing contracts). As such, while more than 40% of sukuk issuance was raised through musharakah and mudarabah structures in 2007, the share of these risk sharing contracts decreased to about 10% in 2015 (IFSB, 2016: 18). In other words, structure

of sukuk has shifted from equity-based/ risk-sharing principles to fixed-rate contracts. The greater usage of fixed-rate sukuk structures have given momentum to sukuk market.

The default rate of sukuk is quite low. The default rate of sukuk is 0.2% of the total issuance volume between 1990 and 2015 due to the fact that most of the sukuk is sovereign issuances (IFSB, 2015: 3).

2. SUKUK MARKET IN TURKEY

The share of Turkey in the sukuk market is about 3%. In Turkey, sukuk is mainly issued by the government and participation banks. IFSB (2015) argues that liquidity shortage in the international financial markets led Turkish government to sukuk market as an alternative funding source.

In Turkey, sukuk issuance is structured as ijarah sukuk (fixed income sukuk). Although all type of companies are allowed to issue sukuk in Turkey, sukuk is generally issued by participant banks (Islamic banks) and government. Although both of them offers fixed income to investors, differences between conventional bonds and interest-free bonds in Turkey can be summarized in Table 5 below.

Table 5: Differences Between Conventional Bonds and Interest-free Bonds in Turkey

Sukuk	Bond
It is not debt. It represents the indivisible shares and rights of investors in certain assets / projects / services.	It is the debt of the issuer.
At least 51% of it is based on tangible assets. The project establishes ownership of the investor on the underlying asset or a right / service.	It is not necessary to be based on tangible assets. In general, the bond is not connected because there is no underlying asset. The creditors claim their receivables directly from the debtor.
In addition to structured supplementary guarantees, they are guaranteed with ownership rights in basic assets or projects.	They are generally unsecured notes.
Principal and income is not guaranteed by the issuer.	Principal and interest is guaranteed by the issuer.
They must be issued according to Islamic Principles.	They can be issued for any purpose.
Certificate holders are affected by their share of performance of core assets / projects. In addition, the performance of the debtor can also affect the payments of sukuk.	Bond owners are only affected by the financial position of the borrower, not by the performance of the underlying asset. The underlying asset is not in question.
The issuer is a joint venture which is a capital company or a real person or a legal person having the nature of being a merchant.	The issuer is public and private legal entities.

Source: <http://www.ktportfoy.com.tr/yatirimci-kilavuzu/sukuk-kira-sertifikalari/kira-sertifikalari-sukuk-nedir.34.aspx>

The first sukuk issuance was realized by Kuveyt Turk Participation Bank on 31 October 2011 in Turkey. Table 6 presents sukuk issuers in Turkey.

Table 6: Sukuk Issuers in Turkey

Issuer	Date of Issue	Maturity	Currency	Amount (Million)	Return
KT Sukuk VKŞ	31/10/2011	28/03/2023	USD	350	5.875
Republic of Turkey Undersecretariat of Treasury	26/09/2012	26/03/2018	USD	1500	2.803
Republic of Turkey Undersecretariat of Treasury	26/09/2012	10/10/2018	USD	1500	2.803
Asya Sukuk VKŞ	28/03/2013	28/03/2023	USD	250	-
Albaraka Turk VKŞ	07/05/2013	05/07/2023	USD	200	7.75

TF Varlık Kiralama	02/05/2013	02/05/2018	USD	500	3.95
Republic of Turkey Undersecretariat of Treasury	21/08/2013	19/08/2015	TRY	1817	9
Republic of Turkey Undersecretariat of Treasury	10/10/2013	10/10/2018	USD	1250	4.557
Republic of Turkey Undersecretariat of Treasury	10/10/2013	25/11/2024	USD	1250	4.557
Republic of Turkey Undersecretariat of Treasury	19/02/2014	15/02/2017	TRY	1332	10.6
TF Varlık Kiralama	24/04/2014	24/04/2019	USD	500	5.375
KT Varlık Kiralama VKŞ	26/06/2014	19/11/2015	USD	500	5.162
TF Varlık Kiralama	30/06/2014	28/06/2019	MYR	800	6
Bereket VKŞ	30/06/2014	30/06/2019	USD	350	6.25
Republic of Turkey Undersecretariat of Treasury	01/10/2014	26/06/2019	TRY	1840	9.68
KT Varlık Kiralama VKŞ	20/11/2014	02/06/2015	TRY	70	8.77
KT Varlık Kiralama VKŞ	20/11/2014	08/08/2015	TRY	30	9.14
Republic of Turkey Undersecretariat of Treasury	25/11/2014	17/02/2016	USD	1000	4.489
Republic of Turkey Undersecretariat of Treasury	25/11/2014	28/09/2016	USD	1000	4.489
TF Varlık Kiralama	27/01/2015	24/07/2015	TRY	60	8.75
KT Varlık Kiralama VKŞ	20/02/2015	02/06/2015	TRY	65	9.5
KT Varlık Kiralama VKŞ	13/02/2015	15/09/2015	TRY	200	9.50
TF Varlık Kiralama	11/02/2015	11/02/2020	MYR	150	5.9
Republic of Turkey Undersecretariat of Treasury	18/02/2015	14/05/2015	TRY	1801	7.8
TF Varlık Kiralama	23/02/2015	21/08/2015	TRY	80	9.68
KT Varlık Kiralama VKŞ	03/03/2015	01/06/2015	TRY	14	9.35
TF Varlık Kiralama	19/03/2015	03/17/2020	TRY	100	13.95
KT Varlık Kiralama VKŞ	24/03/2015	31/10/2016	TRY	70	8.9
KT Varlık Kiralama VKŞ	24/03/2015	05/07/2023	TRY	80	9.72
KT Varlık Kiralama VKŞ	08/02/2016	08/02/2026	USD	350	7.90
KT Varlık Kiralama VKŞ	11/05/2016	179 gün	TRY	300	10.23
Republic of Turkey Undersecretariat of Treasury	08/06/2016	08/06/2021	USD	1000	4.25
KT Varlık Kiralama VKŞ	25/10/2016		USD	500	
	22/11/2016	21/11/2018	TRY	1285	
Republic of Turkey Undersecretariat of Treasury	15.02.2017				7.8

Source: <http://www.ktportfoy.com.tr/yatirimci-kilavuzu/sukuk-kira-sertifikalari/kira-sertifikalari-sukuk-nedir.34.aspx>

3. FACTORS AFFECTING SUKUK ISSUANCE

In this part of the article, factors that negatively and positively impact issuance of sukuk both in Turkey and the world are analyzed. The following factors are determined as the affecting factors on sukuk issuance.

1) An increased demand for highly rated sukuk that meet regulatory requirements is expected due to regulatory reforms such as Basel III, IFSB-15 and Guidance Note 6.

2) Widened budget deficits particularly in the energy-exporting Islamic countries due to decrease in the energy prices and other reasons may increase issuance of sukuk.

- 3) A strengthening of legal frameworks and regulations regarding sukuk resolution in default cases could facilitate more international sukuk issuances.
- 4) Improvements in the economies of the USA and other industrial countries negatively impact sukuk issuance.
- 5) Currency depreciations in sukuk issuer countries against the US dollar lead to decrease in the outstanding volume of sukuk in US Dollar terms.
- 6) The use of sukuk as short-term liquidity management tool by the central banks of Islamic countries positively affect the sukuk outstanding. On the other hand, withdrawal of central banks from sukuk issuance can adversely impact the sukuk outstanding. For example, withdrawal of Malaysian Central Bank from the issuance of sukuk as a short term liquidity management tool led to decrease in the volume of sukuk in 2015.
- 7) In regard to issuance of sukuk by the corporate sector, lower economic growth and expected increases in the interest rates in the US and other industrial countries lead to decline in the issuance of the sukuk.
- 8) Weaker investor and consumer feelings about the sukuk issuance by the corporate sector negatively affect the volume of sukuk issuance by the corporate sector. Factors that shake confidence of investors adversely impact issuance of the sukuk.
- 9) Different Sharia Board opinions about tradability of sukuk, the limited supply of sukuk instruments and a lack of understanding of such instruments are suggested as reasons of a lack of an active secondary sukuk market (IFSB, 2015: 20). The lack of liquid and active secondary sukuk markets restrict trading of sukuk at the secondary markets. Limitations on the liquidity and depth of the sukuk secondary markets leads to decrease in the volume of sukuk issuance.
- 10) The lack of active secondary markets limits to determine the correct levels of yields of outstanding sukuk because of the lack of suitable point of reference. The absence of a yield curve and thin and infrequent secondary sukuk market adversely impact the issuance of the sukuk.
- 11) The lack of benchmarking leads to benchmarking of sukuk against the conventional bonds which leads to increase the cost of sukuk since the sukuk are often priced with a premium on the yield of conventional bonds. On the other hand, this makes sukuk an attractive instrument and positively affect the issuance of the sukuk.
- 12) Harmonized sukuk structures with tradable features may lead to achieve liquid and active secondary domestic and international sukuk markets.
- 13) One of the critical factors that affect sukuk issuance is the US Federal Reserve's monetary policy. While Federal Reserve's quantitative easing programme supports the corporate sukuk issuance, the opposite policy negatively affects sukuk issuance of corporate sector. For example, FED's reduction in bond purchases lead to bond prices to decrease and funds to be withdrawn from emerging markets, which in return reduce demand for both conventional bonds and sukuk issuances in these markets. Corporate sukuk issuance has declined since the FED's announcement in mid-2013.

4. CONCLUSION

Moving towards fixed income contracts from risk sharing contracts in Islamic finance give momentum to Islamic finance. This is observed both in Islamic banking and Islamic bonds markets. Islamic banking and Islamic bonds (sukuk) gained momentum with the usage of fixed income structures. Similarly, the greater usage of fixed-rate sukuk structures have given momentum to sukuk market.

In this article, factors that negatively and positively impact issuance of sukuk both in Turkey and the world are analyzed. Thirteen factors are determined as the factors affecting sukuk issuance.

REFERENCES

- KT Portföy (2019). “Kira Sertifikaları (Sukuk) Nedir?”. <http://www.ktportfoy.com.tr/yatirimci-kilavuzu/sukuk-kira-sertifikalari/kira-sertifikalari-sukuk-nedir.34.aspx>
- IFN Islamic Finance News (2019). “Most Recent Global Sukuk”. <https://www.islamicfinancenews.com/dealogic>
- Islamic Financial Services Board (2013). Islamic Financial Services Industry Stability Report 2012. Kuala Lumpur, Malaysia: IFSB.
- Islamic Financial Services Board (2014). Islamic Financial Services Industry Stability Report 2013. Kuala Lumpur, Malaysia: IFSB.
- Islamic Financial Services Board (2015). Islamic Financial Services Industry Stability Report 2014. Kuala Lumpur, Malaysia: IFSB.
- Islamic Financial Services Board (2016). Islamic Financial Services Industry Stability Report 2015. Kuala Lumpur, Malaysia: IFSB.

Türk Gümrük İdaresinin Kurumsal Yapısı ve Dış Ticaretin Yönetimindeki Sorumlulukları

Öğr.Gör.Dr. Raşit Gültekin¹

¹Trakya Üniversitesi İktisadi ve İdari Bilimler Fakültesi Maliye Bölümü, rasitgultekin@trakya.edu.tr

Özet: Tarihin ilk dönemlerinden günümüze siyasi sınırların oluşmasıyla birlikte topluluklar arasındaki ticaretin kontrolü ve vergilendirilmesi görevi genel olarak gümrük idarelerinin sorumluluğunda kabul edilmiştir. Bilgi ve iletişim teknolojisi ile ulaştırma alanında yaşanan gelişmeler, gümrük idarelerinin sorumluluklarını, dış ticaretin yönetimindeki rolünü ve önemini, legal ticaretin kolaylaştırılması ve illegal ticaretin engellenmesi noktasında daha da belirginleştirmiştir. Günümüzde kurumsal yapıları farklı da olsa gümrük idareleri sadece gelir toplayan ve ekonomik amaçlarla dış ticareti kontrol eden idareler olmanın ötesinde, gümrük sistemi içinde mevzuat üreten, kapsamlı ve teknik düzenlemelerden kaynaklanan gümrük işlemlerini yerine getiren ve denetleyen; ayrıca mali görevlerinin yanında, kamu sağlığını, çevreyi ve canlı türlerini, tüketicileri, kültürel mirası, fikri mülkiyet haklarını koruyan, uluslararası güvenlik kaygılarına ilişkin eşya ve nakit kontrolleri yapan kamu idareleri halini almıştır. Çalışmada Türk Gümrük İdaresinin kurumsal yapısı ve dış ticaretin yönetimindeki sorumlulukları, tarihsel gelişim süreci ile teori, mevzuat ve uygulama temelinde incelenmiştir. Son düzenlemeler neticesinde Ticaret Bakanlığı bünyesinde, iç ticaret ve dış ticaret birimleri ile birlikte yapılandırılan Türk Gümrük İdaresi, uluslararası düzenlemelere ve beklentilere uyum sağlayan kamu kurumlarının başında gelmektedir.

Anahtar Kelimeler: Dış Ticaret, Türk Gümrük İdaresi, Gümrük Düzeni, Gümrük İşlemleri, Gümrük Vergileri

1. GİRİŞ

Gümrük vergileri, gümrük vergilerini tahsil eden idare ve gümrük işlemlerinin yapıldığı yer anlamında kullanılan gümrük kavramının geçmişi çok eski tarihlere uzanmakla birlikte, en az iki ve daha fazla ülkeyi ilgilendiren boyutu nedeniyle uluslararası düzenlemelerin ve yaklaşımların etkisi altında kalmıştır. Günümüzde gümrük denildiğinde, çok kapsamlı ve teknik bir mevzuat yığınının ve bu mevzuattan kaynaklanan görev ve yetkilerin oluşturduğu sorumlulukları olan bir idarenin anlaşılması gerekmektedir. Gümrük idareleri artık, sadece bir gelir idaresi gibi değil; aynı zamanda başta dış ticaret olmak üzere fikri mülkiyet hakları, çevre, güvenlik ve ulaştırma gibi pek çok alanda sorumluluğu olan kamu idareleri halini almıştır. Türk gümrük idaresi de tarihsel gelişim süreci içerisinde bu değişimden etkilenmiş ve yeni sorumluluklar üstlenmiştir.

Türk gümrük idaresinin kurumsal yapısı, son düzenlemeler çerçevesinde iç ticaret, dış ticaret ve gümrükle ilgili sorumluluklara sahip Ticaret Bakanlığı bünyesinde ve merkez, taşra ve yurt dışı birimleri olan bir bakanlık birimi halini almıştır. Anılan yapılanma içinde dış ticaretin yönetimini (işleyişini) de ilgilendiren temel sorumluluklar Gümrükler Genel Müdürlüğüne ve onun taşra teşkilatına aittir.

Gümrük idaresinin yapılanmasında uygun bir mevzuata kavuşturularak dış ticaretin kolaylaştırılması ve hızlandırılması; buna karşın etkin bir risk yönetimiyle yapılacak seçici gümrük denetimiyle gümrük ihlallerinin önlenmesi ve hem ülke ekonomisinin hem de ticaret erbabının çıkarlarının korunması yaklaşımının etkisi olmuştur. Bu yaklaşımın kaynağını uluslararası düzenlemeler oluşturmaktadır. Özellikle Dünya Gümrük Örgütü himayesinde hazırlanan Revize Kyoto Sözleşmesi ve Dünya Ticaret Örgütü himayesinde hazırlanan Dış Ticaretin Kolaylaştırılması Anlaşması taraf ülkelere gümrük idaresi ve işlemleriyle ilgili çeşitli yükümlülükler getirmiştir.

Çalışmada, Türk gümrük idaresinin kurumsal yapısı ve dış ticaretin yönetimindeki sorumlulukları incelenecektir. Bu amaçla; gümrük kavramının anlamı açıklanacak ve Türk gümrük idaresinin tarihi ve kurumsal yapısı üzerinde durulacaktır. Çalışmanın izleyen kısımlarında ise, Türk gümrük idaresinin dış ticaretin yönetimindeki görev ve yetkilerini kapsayan temel sorumlulukları, teori, mevzuat ve uygulama temelinde ayrıntılı olarak incelenecektir.

2. GÜMRÜK KAVRAMI VE GÜMRÜKLE BAĞLANTILI BAZI KAVRAMLAR

Gümrük kavramı, “bir ülkeye giren veya bir ülkeden çıkan mal ve eşya üzerinden alınan vergi”, “bu verginin alınması işlemiyle uğraşan devlet kuruluşu” ve “sınır kapılarında denetim ve gözetim işlemlerinin yapıldığı yer” anlamına gelmektedir. Ayrıca, Rumca kökenli kabul edilen kavram, “bir ülkeye diğer bir ülkeden gelen, diğer bir ülkeye gönderilen veya geri gönderilen ya da bir ülke üzerinden başka bir ülkeye transit geçiş yapan her türlü

eşyanın girişini, çıkışını ve geçişini düzenleyen kurallar veya işlemler topluluğu”nu ifade etmektedir. Bu bakımdan ilk çağlardan günümüze sınırları belirlenmiş ve kontrol altına alınmış bölgeler ve nihayetinde ülkelerin kurulması neticesinde dış ticaret ve bu ticaretin olduğu yerlerde de gümrük olagelmıştır (Arda vd. 2003: 239-240; Atan, 1990: 4; Özdoğan ve Erbay, 1998: 1-2; Erdemir ve Gökbunar, 2007: 228; GTeB, 1973: 7; GTİB, 2012: 1; Bilge, 2019: 41; TDK, 2020). Çekirdek kavram olarak gümrükten, yaygın kullanımı olan başka kavramlar da türetilmiştir (Tuncer, 2000: 3; WCO, 2018: 9). Gümrük mevzuatı, gümrük işlemleri, gümrük idaresi, gümrük vergileri, gümrük düzeni ve gümrük sistemi bu kavramlar arasındadır.

Gümrük mevzuatı, Revize Kyoto Sözleşmesi Genel Ekte “eşyanın ithali, ihracı, taşınması veya depolanmasıyla ilgili olarak, idaresi ve uygulaması özellikle gümrüğün sorumluluğunda olan kanuni ve düzenleyici hükümler ile yetkisi kapsamında gümrükçe yapılan diğer düzenlemeler” şeklinde tanımlanmış ve kapsamına gümrük idaresi ile bu idareyle muhatap olan kişilerin haklarını ve sorumluluklarını, gümrük rejimleri ve gümrük vergileri, gümrük ihlalleri ve gümrük idaresine yapılacak başvuru hakkının girdiği belirtilmiştir (WCO, 2018: 11; WCO, 2020a). Nairobi Sözleşmesinde ise, gümrük mevzuatı, “eşyanın ithalatı, ihracatı ya da transitiyle ilgili olarak gümrük idaresince uygulanan ya da yönetilen bütün yasal kanuni veya düzenleyici hükümler”dir (WCO, 2020c). Avrupa Birliği uygulaması bakımından Birlik Gümrük Kodunda (m.5/2) gümrük mevzuatı, “Birlik Gümrük Kodu, Avrupa Birliği veya ulusal seviyede kabul edilen tamamlayıcı veya uygulamaya yönelik hükümler, Ortak Gümrük Tarifesi, gümrük vergilerinden muafiyet sağlayan Avrupa Birliği sistemini kuran düzenlemeler ile Avrupa Birliğinde uygulanan gümrük hükümleri içeren uluslararası anlaşmalar bütününü” olarak ifade edilmiştir (EU, 2020). Türk hukukunda gümrük mevzuatını tanımlayan temel bir düzenleme olmamakla birlikte, Gümrük Kanununda (m.4) (RG, 4.11.1999, 23866) Cumhurbaşkanlığı kararnameleri ile bunlara ve Gümrük Kanununa dayanılarak çıkarılan mevzuat hükümlerine uyma, gümrük idarelerinin Gümrük Kanununa ve diğer mevzuata göre yapacağı gözetim ve kontrollere tabi olma ve mevzuatın uymayı zorunlu kıldığı her tür işlemi yerine getirme sorumluluğu vurgulanarak, gümrük işlemleri sırasında uygulama bulan bütün düzenlemeler gümrük mevzuatı kapsamında değerlendirilmiştir. Yeni Gümrük Kanunu Taslağında (m.3/1.s) gümrük mevzuatı kavramı, “Gümrük Kanunu ile bu Kanuna dayanılarak çıkarılan düzenlemeler, gümrük tarifesi ve Türkiye’nin taraf olduğu gümrük ile ilgili hükümler içeren milletlerarası anlaşmalardan oluşan mevzuat” olarak tanımlanmıştır (Gültekin, 2019: 12).

Gümrük işlemleri, Revize Kyoto Sözleşmesi Genel Ekte, gümrük mevzuatına uygun olarak gümrük idareleri ve bu idarelerle muhatap olanlar tarafından yerine getirilmek zorunda olan bütün işlemler olarak tanımlanmıştır. Aynı tanıma Birlik Gümrük Kodunda (m.5/8) da yer verilmiştir (EU, 2020; WCO, 2018: 10; WCO, 2020a). Türk hukukunda tanımı içeren genel bir düzenleme olmamakla birlikte, gümrük işlemleri, Türkiye Cumhuriyeti Gümrük Bölgesine eşya girişi veya bu bölgeden eşya çıkışına ilişkin prosedürler kapsamında gerçekleştirilen faaliyetler ve bu faaliyetlere taraf olanlarca yerine getirilen bütün işlemlerdir (Selen, 2017: 27). Daha geniş bir ifadeyle gümrük işlemleri (hizmetleri), ülkeye giriş-çıkış yapan tüm eşya ve bunları taşıyan araçlara ilişkin başta gümrük idaresi olmak üzere tüm kamu kurum ve kuruluşları ile bunlara hizmet veren tüm özel sektör paydaşlarının, mevzuat çerçevesinde sunduğu hizmet, kontrol ve denetimlerin tümünü kapsayan faaliyetlerdir (KB, 2018: 5). Gümrük işlemleri, gümrük idaresince ve ilgili kişilerin katılımıyla veya doğrudan gümrük idaresince yerine getirilen işlemler olup, kişiler bakımından maddi ve şekli ödevleri kapsamaktadır. Maddi ödevler, gümrük yükümlülüğü bağlamında gümrük vergilerini ödeme zorunluluğudur. Şekli ödevler ise, maddi ödevler dışında kalan ve gümrük işlemlerinin tamamlanması için yerine getirilmesi gereken bütün usul işlemlerdir.

Gümrük vergileri, Revize Kyoto Sözleşmesi Genel Ekte, gümrük bölgesine giren veya bu bölgeden çıkan eşyaya gümrük tarifesine göre uygulanan vergiler olarak tanımlanmıştır (WCO, 2018: 10; WCO, 2020a). Nairobi Sözleşmesinde ithalat ve ihracat vergileri, belirli sınırlar haricinde, eşyanın ithaliyle ve ihracıyla bağlantılı olarak tahsil edilen ya da ilgili olan bütün gümrük vergileri, diğer vergiler, ücretler ve diğer yükümlülükler şeklinde tanımlanmıştır (WCO, 2020c). Birlik Gümrük Koduna (m.5/20-21) göre gümrük vergileri, yürürlükteki gümrük mevzuatına göre ithal veya ihraç eşyasına uygulanan vergilerdir (EU, 2020). Gümrük Kanununda ise, gümrük vergileri eşyanın ithalinde veya ihracında ödenecek gümrük vergisi ile diğer eş etkili vergiler ve mali yükler ile tarım politikası veya tarım ürünlerinin işlenmesi sonucu elde edilen bazı ürünlere uygulanan özel düzenlemeler çerçevesinde alınacak vergileri ve diğer mali yükler şeklinde ifade edilmiştir (m.3/8-10). Gümrük vergileri, genel olarak, dış ticaret işlemleri ve daha çok ithalat nedeniyle eşya üzerinden alınan bir grup verginin ortak adıdır. Gümrük vergilerinin konusu gümrük bölgesine giren veya bu bölgeden çıkan ve her türlü madde, ürün veya değer olabilen eşyadır. Gümrük Kanununda yapılan bu genel tanımlamaya ilişkin ayrıntılı bir kapsam verilmediğinden, hangi vergilerin ve mali yüklerin gümrük vergisi olarak değerlendirileceği hususu teorik

tartışmaları beraberinde getirmiştir. Bununla birlikte, Gümrük Uzlaşma Yönetmeliğinin 1 No’lu ekindeki tabloda (RG, 27.8.2011, 28038) gümrük vergilerinin kapsamına giren vergiler ve mali yükler sıralanmıştır. Çalışmada, denetimi ve tahsili gümrük mevzuatı uyarınca gümrük idaresinin sorumluluğunda olan bütün vergiler ve mali yükler gümrük vergileri kapsamında değerlendirilmiştir.

Gümrük düzeni, kısaca, gümrük mevzuatıyla belirlenen kural ve uygulamalar bütünüdür. Gümrük sistemi ise, gümrük işlemleri ve gümrük vergilerini düzenleyen gümrük mevzuatı ile bu işlemlerin yapıldığı gümrük idarelerinin birlikte oluşturduğu sistemdir (Saygılıoğlu ver Akçin, 2018: 287; Gültekin, 2019: 13). Gümrük düzeninin korunması ve uygulamada birlik sağlanması bakımından genel düzenlemeler yanında gümrük idaresince yayımlanan ikincil düzenlemeler de önemli bir işleve sahiptir. Gümrük idaresi ile bu idareyle muhatap olan bütün kişiler söz konusu kural ve uygulamalara uygun hareket etmek sorumluluğu altındadır.

Gümrük idaresi kavramı ise, Revize Kyoto Sözleşmesi Genel Ekte, gümrük mevzuatının yönetiminden, gümrük vergilerinin tahsilinden ve eşyanın ithalatı, ihracatı, sevki veya depolanmasıyla ilgili mevzuatın ve düzenlemelerin uygulanmasından sorumlu olan devlet kurumu olup, gümrük işlemlerinin yürütülmesinde yetkili olan gümrük idari birimleri ile bu amaçla yetkili otoritelerce onaylanmış yer ve sahalar ya da gümrük işlemlerinin yürütülmesinden sorumlu ana hizmet birimi, onun bir kısmı ya da bağlantısı olarak tanımlanmıştır (WCO, 2018: 9; WCO, 2020a). Birlik Gümrük Kodunda (m.5/1) gümrük idareleri, üye ülkelerin gümrük mevzuatının uygulanmasından sorumlu olan gümrük idareleri ile ulusal mevzuatları uyarınca gümrük mevzuatının belirli kısımlarının uygulanması konusunda yetkilendirilmiş diğer otoriteler olarak ifade edilmiştir. Gümrük Kanununda ise, gümrük idaresi (idareleri) kavramı, gümrük mevzuatında belirtilen işlemlerin kısmen veya tamamen yerine getirildiği merkez veya taşra teşkilatındaki hiyerarşik yönetim birimlerinin tamamı olarak tanımlanmıştır (m.3/2.a). Bu tanım, dar anlamda, Ticaret Bakanlığı bünyesinde bakanlık birimi olarak organize edilen Gümrükler Genel Müdürlüğü ve onun taşra teşkilatına; geniş anlamda ise, Bakanlığın doğrudan veya dolaylı olarak gümrük işlemleriyle ilgili sorumlulukları olan bütün birimlerini kapsamaktadır.

Gümrük Kanununda (m.3.2/b-e) gümrük idaresi, ayrıca, risk analizine dayalı gümrük denetimi de dahil gümrük işlemlerinin yürütülmesi bakımından giriş, ithalat, ihracat ve çıkış gümrük idareleri olmak üzere dört gruba ayrılmıştır. Gümrük Yönetmeliğinde (m.560) gümrük idareleri, yetkili oldukları gümrük işlemleri bakımından A sınıfı ve B sınıfı olmak üzere iki gruba ayrılmıştır. A sınıfı gümrük idaresi her türlü gümrük işlemi; B sınıfı gümrük idaresi ise, yalnızca yolcu işlemleri ile Ticaret Bakanlığınca belirlenen gümrük işlemlerini yerine getirebilmektedir. Gümrük müdürlükleri görevleriyle bağlantılı olarak; havalimanı, serbest bölge, yolcu salonu, akaryakıt, gar, petrokimya, rafineri, kargo ve posta gümrük müdürlüğü olarak adlandırılmaktadır. Ayrıca bir gümrük politikası olarak, belirli nitelikteki eşyanın gümrük işlemleri işlem sürelerinin kısaltılması, etkili gümrük denetimi yapılması, ürün ve tüketici güvenliği, gümrük kıymetinin korunması ve gümrük işlemlerinde birlik sağlanması amacıyla bazı gümrük müdürlükleri ihtisas gümrüğü olarak belirlenmektedir. Günümüz karmaşık ve kapsamlı dış ticaret işlemlerinde gümrük idareleri, gümrük mevzuatı yanında taşımacılık, fikri mülkiyet haklarının korunması, ihracat kontrolleri, çevre, sağlık ve güvenlik ile nakit kontrolleri gibi pek çok alana ilişkin mevzuat yığnında kaynaklanan görev ve sorumlulukları olan kamu idareleri halini almıştır.

3. KISA TÜRK GÜMRÜK İDARESİ TARİHİ

Tarihin ilk çağlarından bugüne ticari ilişkilerin olduğu yerlerde gümrük idareleri kurularak dış ticaretin kontrolü ve vergilendirilmesi yoluna gidilmiştir. Türk tarihinde ilk gümrüklerin İstanbul’un fethinden sonra kurulduğu yönünde görüşler olsa da gümrükler, daha önceki dönemlerde de mevcut olan vergi idaresi (sistemi) içerisinde yer almıştır. Bununla birlikte Fatih Sultan Mehmet döneminde çıkarılan Kanunnamenin başlangıcında yer alan Hattı Hümayundan, gümrüklerin bu dönemde ayrıntılı olarak düzenlendiği anlaşılmaktadır (İnalçık, 1958: 112-116; Özdoğan ve Erbay, 1998: 3; Atan, 1990: 2-3; Genç, 2000; 199). Çalışmada Türk gümrük idaresinin tarihi; Osmanlı İmparatorluğu öncesi dönem, Osmanlı İmparatorluğu Dönemi ve Türkiye Cumhuriyeti Dönemi olmak üzere üç ana dönemde incelenecektir.

3.1. Osmanlı İmparatorluğu Öncesi Dönem

Göçebe bir toplum olmasına rağmen ilk çağlarda Türklerin teşkilatlı bir vergi sistemi ile bu sistem içinde gümrükler ve gümrük vergisi olmuştur. İslamiyet öncesi dönemde ticari ilişkileri dolayısıyla Türklerin gümrük uygulamalarının ve gümrük teşkilatının bulunduğu dair bilgiler vardır. Bu dönemde örfi kurallara ve ağırlıklı

olarak da uluslararası ticaret anlaşmalarına göre gümrük işlemlerinin şekillendiği; Büyük Hun (MÖ. 161-126), Göktürk (552-744), Uygur (744-1355), Saman Oğulları (874-1005), Karahanlılar (840-1212) ve Anadolu Beylikleri döneminde gümrük idarelerinin ve görevlilerinin olduğu bilinmektedir. (Özdoğan ve Erbay, 1998: 2-3; GTeB, 1973: 7; GTİB, 2012: 3-5). Bunlardan Büyük Hun Devletinde taşrada vergi dairesine bağlı olmadan vergi toplayan vergi komiserleri ve diğer kurumlar gibi gümrük kurumları olmuştur. Göktürklerde iç gümrük idareleri kurularak koruma vergisi ve geçit vergisi adı altında kervan yollarının güvenliğinin sağlanması karşılığında ve eşya sevkiyatı sırasında iç gümrük vergisi alınmış ve tamga adını verilen gümrük vergisinin tahsilinde tamgacı adlı görevliler kullanmışlardır. Göktürklerdeki gümrük kurumları Uygur devletinde de yer almıştır (Atan, 1990: 21-42).

İslamiyet döneminde gümrüklerde gümrük vergisini toplamakla görevli mekkas ve aşir (gümrük memuru) teşkilatı kurulmuş ve özel şahıslardan da yararlanılmıştır. Bu dönemde vergi tahsil usulü emanet ve iltizam şeklindedir. Ayrıca Hz Ömer zamanında kurulan haraç divanının tahsil ettiği vergiler arasında gümrük gelirleri de olmuştur (Dikmen, 1958: 116-123; İnalçık, 1959: 44; Atan, 1990: 70-78). İslamiyet sonrasında kurulan Saman Oğulları devletinde iç gümrük vergisi sistemi oluşturulmuş ve gümrük teşkilatı bünyesinde gümrük müfettişlerine yer verilmiştir. Karahanlılar devleti ise, gümrük teşkilatı, gümrük vergileri ve gümrük müfettişliği bakımından Saman Oğulları devletiyle benzer bir yapı kurulmuştur (Atan, 1990: 83-88).

Büyük Selçuklu İmparatorluğu (1037-1194) İslam devletlerinin etkisi altında oluşturulmuş, kendinden önceki Türk devletlerine benzer bir gümrük sistemine sahiptir. Anadolu (Türkiye) Selçuklu Devleti (1075-1308) için de ekonomik ve ticari hayatın bel kemiğini oluşturan gümrükler önemli sayılmıştır. Malazgirt zaferinden sonra Kutalmış oğlu Süleyman Şah Boğaziçi'nin Anadolu yakasına gümrük idaresi kurmuştur. Gümrük vergilerinin tahsilatını bajdar adındaki memurlar ile amil adındaki vergi memurları yapmıştır. Gümrük idaresinin olmadığı yerlerde ise, dizdarlar tahsil etmiş; eminler kontrol etmiştir (Atan, 1990: 120; Uyumaz, 1999: 24).

3.2. Osmanlı İmparatorluğu Dönemi

Osmanlı İmparatorluğu döneminde Anadolu Selçuklu Devletinin idari geleneklerine bağlı kalınarak aynen devam ettirilen kurumlar arasında gümrük idareleri de vardır. Ülkede karadan gelip deniz yoluyla giden ya da denizden gelip karaya çıkan her eşya gümrüğe tabi tutulmuştur. Bu dönemde Osman Gazi'nin Bizans'tan ve özellikle Karacahisar'da kurulan pazara gelenlerden eşya satışı halinde alınan bir akçelik pay Türk gümrük tarihinin ilk gümrük vergisi kabul edilmektedir. Yine bu dönemde amediye, reftiye, müruriye ve masdariye adları altında tahsil edilen vergiler, gümrük vergileri türlerini oluşturmaktadır. Tahsil edilen gümrük vergileri ise, tımar ve zeamet sahiplerine bırakılmadan doğrudan devlet hazinesine aktarılmıştır (Özdoğan ve Erbay, 1998: 3; Atan, 1990: 1; Genç, 2000: 199; Tuncer, 2001: 27; Giray, 2014: 96).

Tanzimat öncesi dönemde maliye idaresin bağlanan gümrüklerden; deniz kıyısında olanlara sahil gümrükleri, sınırlarda bulunanlara hudut gümrükleri ve iç kısımlarda bulunanlara kara gümrükleri adı verilmiştir. Bu dönemde kara gümrükleri ithalat ve ihracat şeklinde ayrılmış ve işlem yoğunluğu olan bazı büyük iskelelerde eşya bazında; giriş gümrük kapısına ya da mahreç ülkelere göre farklı gümrük idareleri kurulmuştur. Örneğin Vidin gümrüğünde mal gümrüğü, tuz gümrüğü ve tütün gümrüğü kurulmuş; bunlardan tuz gümrüğü Eflak ile ilişkilendirilmiştir. Gümrükler hazine gelirini artırmak ve kaçakçılığı engellemek amacıyla tüm şehirlere değil, ticari işlemlerin yoğun olduğu yerlerde kurulmuştur. Osmanlı İmparatorluğunun ilk dönemlerinde gümrük vergilerinin tahsilinde yararlanılan iltizam usulünde birkaç gümrük bir arada kiralama konusu yapılmış ve mültezimlere verilerek mukataa adı altında bir nazır tarafından idare edilmiştir. İltizamın uygun olmadığı gümrüklerde ise, emanet usulünden yararlanılarak gümrük vergilerini, devlet tarafından tayin edilen ve memur statüsü taşıyan gümrük (iskele) eminleri tahsil ederek hazineye aktarmıştır. Gümrük eminleri himayesinde gümrük kıymetini takdir eden mubassır, eşyayı muayene eden muayeneciler, eşyayı kayıt altına alan gümrük katibi, depolamadan sorumlu ambar emini ve gümrük gözetiminden sorumlu bir kolcu da görev yapmıştır. Yine gümrüklerle ilgili olarak Divan-ı Hümayun, defterdarlığa bağlı Bakıulları ile eminler, kadılar ve yüksek dereceli devlet görevlileri çeşitli görevleri yerine getirmişlerdir (Atan, 2007: 12-42, 110-131; Özdoğan ve Erbay, 1998: 6-7; GTİB, 2012: 7; Giray, 2014: 130-131; Aydın, 2019: 83-87; Bilge, 2019: 42-47; Kayıcı, 2019: 93-94).

Tanzimat döneminde gümrük uyuşmazlıklarında danışma organı gibi işlevi görmesi ve gümrük vergilerinin bu idarenin defterlerine kaydedilerek muhasebeleştirilmesi bakımından önemli bir yeri olan İstanbul Emtia Gümrüğü kurulmuş ve diğer yerlerde maaşlı memurlar görevlendirilmiştir. 1859'da bütün sahil, kara ve hudut gümrükleri için doğrudan hazineye ve sonradan İstanbul Emtia Gümrüğüne bağlı on yedi Gümrük Emaneti kurulmuş ve Gümrük Eminlerinde muhasebe ve tahrirat başkatibi görevlendirilmiştir. Böylece gümrük idareleri

arasında bağlantı sağlanmıştır. Dönemin sonlarına doğru Rüsumat Nezaretlerinin Sureti Teşkilleriyle Tayin Olunan Rüsumat Nazırlarının Keyfiyeti Memuriyetlerine Mütedair Talimatnameyle emanet unvanı yerine nezaret kullanılırken; İstanbul Emtia Gümrük Eminliği kaldırılarak yerime Rüsumat Emaneti kurulmuş (1861) ve taşradaki emanetlere müdürlük adı verilmiştir. Rüsumat Emanetinin teşkilat yapısı ve görevleri 1876 tarihli Rüsumat Salnamesinde düzenlenmiştir. Ayrıca gümrüklerle ilgili Dersaadet Gümrükleri ile Mülhakat Gümrüklerinin Muamelei Dahiliyesine Dair Nizamname 1861’de uygulamaya konulmuş ve Rüsumat Emanetince de bir nizamname yayımlanmıştır. Böylece gümrükler maliyeden ayrılarak doğrudan sadrazamlığa bağlanmış ve yapısı içerisinde gümrük müfettişliği ve gümrük muhafaza birimlerine yer verilmiştir (Atan, 2007: 2-3, 140 vd.; Özdoğan ve Erbay, 1998: 8-14; Tuncer, 2001: 28; GTİB, 2012: 8; Kayıcı, 2019: 94).

Osmanlı İmparatorluğunda, dış borçların ödenmesi için gümrük gelirlerinden verilen payların yönetilmesi amacıyla kurumsal bir yapı da oluşturulmuştur. Bu süreçte önce Osmanlı Bankası ile Galata Bankerleri arasında borçların yönetimiyle ilgili yapılan görüşmeler sonucu 1879’da Rüsümü Sitte İdaresi ve 1881’de Muharrem Kararnamesiyle Maliye Nezareti dışında Düyunu Umumiye İdaresi kurulmuş ve diğer ülkelerle yapılan ticaret anlaşmalarından kaynaklanan gümrük gelirlerindeki artış bile Düyunu Umumiye İdaresine aktarılmıştır. Bu nedenle ilk kez ülkede yabancıların mali kontrolü başlamış ve bu idare ikinci bir Maliye Bakanlığı gibi hareket etmiştir (Varcan, 1993: 69-75; Atan, 2007: 178-179; Giray, 2014: 207-212).

İkinci Meşrutiyet döneminde 1909 tarihli Nizamname ile Rüsumat Emaneti kaldırılarak gümrükler, Rüsumat Umum Müdürlüğü adı altında ancak ita amirliği yönünden bağımsız olarak tekrar Maliye Nezaretine bağlanmış ve 1931’e kadar gümrük işlemlerini merkezi olarak bu müdürlük yerine getirmiştir. Beyanname sistemine geçilen bu dönemde 1916 tarihli spesifik esaslı Gümrük Tarifesi ile 1918 tarihli Gümrük Kanunu çıkarılmıştır. Gümrük Kanununda (m.58-59) gümrük idareleri; istisna olmaksızın her çeşit eşyanın gümrük işlemlerini yapmaya yetkili olan birinci sınıf, gümrük kimyahanelerinde tahlil gerektirenler hariç tüm eşyanın gümrük işlemlerini yapmaya yetkili ikinci sınıf ve yolcu beraberisi ile iç ticaret ve ihracat eşyasının işlemlerini yapmaya yetkili üçüncü sınıf gümrük idareleri olarak ayrılmıştır. Gümrük personeli ise, 1914 tarihli Rüsumat Salnamesinde başmüdür, gümrük müdürü, merkez memuru, memur, başkatip, istimator (muayene memurları), muayene müfettişi, ambar memuru, mukaddir, kapı memuru, gümrük kalemi, veznedar ve gümrük katebesi olarak sınıflandırılmıştır (Özdoğan ve Erbay, 1998: 17-18; Atan, 2007: 225-228; GTİB, 2012: 19).

3.3. Türkiye Cumhuriyeti Dönemi

Cumhuriyet döneminin ilk yıllarında 1126 sayılı ve 1510 sayılı Kaçakçılığın Men ve Takibine Dair Kanunlar ile 1929’da 1499 tarihli ilk Gümrük Tarifesi Kanunu çıkarılmıştır. Yükselen gümrük vergilerinin etkisiyle kaçakçılık olaylarında yaşanan artış neticesinde 1931’de 1841 sayılı Kanunla güney sınırlarında yarı askeri statüde Gümrük Muhafaza Umum Komutanlığı; gümrük idari teşkilatını yeniden düzenleyen 1909 sayılı Kanunla da gümrük ve inhisar işlemlerinin en iyi şekilde yürütülmesi amacıyla Gümrük ve İnhisar Vekaleti kurulmuş; 1917 sayılı Kanunla Gümrük Muhafaza Umum Komutanlığı ve 1989 sayılı Kanunla da Maliye Bakanlığına bağlı olan Tekel İdare ve İşletmeleri bu Vekaletle bağlanmıştır. Böylece gümrük idaresi Rüsumat Emanetinden sonra tekrar bir bakanlık çatısı altında teşkilatlandırılmıştır. Daha sonra 1935 tarihli ve 2825 sayılı Gümrük ve İnhisar Vekaletinin Teşkilat ve Vazifelerine Dair Kanunla yeniden düzenlenen ve teşkilat yapısı tamamlanan Vekaletin merkez hizmet birimleri Gümrükler Umum Müdürlüğü, İnhisar Umum Müdürlüğü ve Gümrük Muhafaza Umum Kumandanlığı; taşra teşkilatı ise, Başmüdürlük, Müdürlük, Başmemurluk, Amirlik ve İdare Memurluğu ile Muhafaza Başmüdürlüğü, Bölge Amirliği, Kısım Amirliği olarak belirlenmiştir. Bu dönemde 2/14153 sayılı Gümrük ve İnhisar Vekaleti Teşkilat ve Vazifelerine Dair Nizamname yayımlanmış; 1945’te Gümrük ve İnhisar Vekaletinin adı Gümrük ve Tekel Bakanlığı olarak değiştirilmiştir. Diğer düzenlemeler ise, 1932 tarihli ve 1918 sayılı Kaçakçılığın Men ve Takibine Dair Kanun, değişen ekonomik koşullara uyum sağlanması amacıyla 1949 tarihli ve 5383 sayılı Gümrük Kanunu ve halen yürürlükte olan 1964 tarihli ve 474 sayılı Gümrük Giriş Tarife Cetveli hakkındaki Kanun olmuştur. 1956’da 6815 sayılı Kanunla Gümrük Muhafaza Umum Komutanlığı kaldırılarak görev ve yetkilerinin bir kısmı İçişleri Bakanlığına; bir kısmı da 2825 sayılı Gümrük ve İnhisar Vekaletinin Teşkilat ve Vazifelerine Dair Kanunda değişiklik yapan 6851 sayılı Kanunla merkezde kurulan ve 1975’te genel müdürlük halini alacak olan Gümrük Muhafaza Müdürlüğüne verilmiştir.

Dış ticarete ithal ikameci politikalarla ihraç yönlü politikalara geçişin başladığı dönem içerisinde, her iki idarenin gelir toplama ve reji yönüyle aynı bakanlık bünyesinde olmasını sağlamak ve gümrük idaresine maliye disiplini kazandırmak amacıyla (Saygılıoğlu ve Akçin, 2018: 253), 1983’te Gümrük ve Tekel Bakanlığı kaldırılarak

teşkilatı 178 sayılı Kanun Hükmünde Kararname ile kurulan Maliye ve Gümrük Bakanlığı bünyesine alınmış ve Gümrük Yönetmeliğinin 1 No'lu ekiyle taşra teşkilatı başmüdürlük, müdürlük, başmemurluk ve idare memurluğu düzeyinde yeniden yapılandırılmıştır. Ancak 1993'te 485 sayılı Gümrük Müsteşarlığının Teşkilat ve Görevleri Hakkında Kanun Hükmünde Kararname ile gümrük idaresi, Maliye teşkilatından tekrar ayrılarak, Gümrükler Genel Müdürlüğü, Gümrükler Muhafaza Genel Müdürlüğü, Gümrükler Kontrol Genel Müdürlüğü, Teftiş Kurulu Başkanlığı gibi birimleri olan Başbakanlığa bağlı Müsteşarlık olarak teşkilatlandırılmıştır. Daha sonra 2011'de 6223 sayılı Kamu Hizmetlerinin Düzenli, Etkin ve Verimli Bir Şekilde Yürütülmesini Sağlamak Üzere Kamu Kurum ve Kuruluşlarının Teşkilat, Görev ve Yetkileri İle Kamu Görevlilerine İlişkin Konularda Yetki Kanununa istinaden yayımlanan 640 sayılı Gümrük ve Ticaret Bakanlığının Teşkilat ve Görevleri Hakkında Kanun Hükmünde Kararname uyarınca Gümrük Müsteşarlığı ile Sanayi ve Ticaret Bakanlığının iç ticaretle ilgili birimleri birleştirilerek Gümrük ve Ticaret Bakanlığı kurulmuştur. Gümrük idaresinin taşra teşkilatı ise, 2011/2474 sayılı Bakanlar Kurulu Kararıyla yeniden yapılandırılmış. Son olarak, 27 sayılı Cumhurbaşkanlığı Kararnamesiyle (RG, 10.1.2019, 30651) değişik 1 sayılı Cumhurbaşkanlığı Kararnamesiyle (RG, 10.7.2018, 30474) Gümrük ve Ticaret Bakanlığı ile Ekonomi Bakanlığı birleştirilerek Ticaret Bakanlığı kurulmuştur (Özdoğan ve Erbay, 1998: 18-26; GTeB, 1973: 33; Tuncer, 2001: 28-29; GTİB, 2012: 20-48; TB, 2020a: 21-25).

Türk gümrük idaresinin kurumsal yapısı ve sorumlulukları, uluslararası ticaret alanındaki değişim süreciyle bağlantılı olarak, modernizasyon çalışmalarının odağında olmuştur. Gümrük idarelerinin Dünya Ticaret Örgütü, Dünya Gümrük Örgütü, Birleşmiş Milletler, Avrupa Birliği ve ekonomik işbirliğini geliştirmeyi amaçlayan diğer kuruluşlar için de bir gündem maddesi olmasını sağlayan değişimin temel nedenleri ise; dış ticaret ve turizm artışından kaynaklanan yığılma ve gecikmelerin önlenmesine ve gümrük işlemlerinin etkin yöntemlerle yerine getirilmesi yönündeki çabalar, çok taraflı veya bölgesel ya da iki taraflı anlaşmalardaki artış, terörizm ve yasa dışı göç, kaçakçılık ve diğer usulsüzlüklerle etkin mücadele, kişilerin gümrük hizmetlerine ilişkin beklentilerinin artması, ulaştırma ve lojistik sektörlerindeki gelişmeler, bilgi ve iletişim teknolojisindeki ilerlemeler ile insan sağlığı ve çevrenin korunması yönündeki duyarlılığın artmasıdır (KB, 2018: 5-6).

4. TÜRK GÜMRÜK İDARESİNİN MEVCUT KURUMSAL YAPISI VE BİRİMLERİN SORUMLULUKLARI

Birçok ülkede gümrük idareleri Maliye Bakanlığı bünyesinde veya gelir idaresiyle birlikte tek çatı altında müstakil idare şeklinde yer almaktadır (KB, 2018: 11). Dünya Gümrük Örgütü 2020 yılı verilerine göre, Örgüte üye ülkelerin gümrük idarelerinin; %39,3'ü bakanlık birimi, %30,1'i gümrük ajansı, %29'u gelir idaresi ve %1,6'sı da sınır koruma birimi şeklinde kurumsal yapıya sahiptir (WCO, 2020b, 41). Ayrıca gümrük idareleri, genel olarak; merkez, bölge ve taşra idarelerinden oluşmaktadır. Merkez idarenin temel sorumluluğu bölge ve taşra idareleri için uygulamaya dönük politikalar ve işlemler geliştirmek, performans ölçütleri belirlemek ve bunlara uyumu gözlemlemektir. Ayrıca işe alma ve personelin eğitimi de merkezi gümrük idaresinin sorumluluğundadır. Bölge gümrük idareleri, taşra idarelerinin faaliyetlerini gözlemlemekte ve gümrük mevzuatında düzenlenen başvuru hakları için ilk basamağı oluşturmaktadırlar. Taşra teşkilatı ise, ticaret erbabı ile ilk temas noktasını olarak beyanın alınması ile eşyanın serbest bırakılması arasındaki süreci yönetmektedirler ve gümrük idaresine sunulan verilerin doğruluğu hakkında karar verme sorumluluğu altındadırlar (Castro and Walsh, 2003: 138-139).

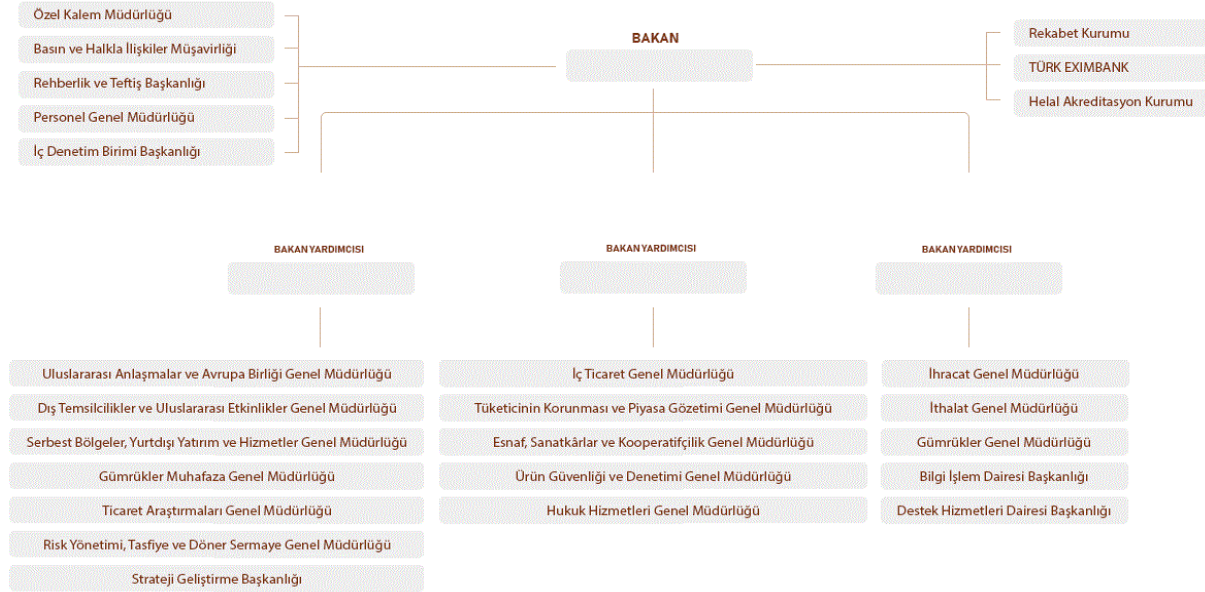
Türk gümrük idaresi Ticaret Bakanlığı bünyesinde yer almaktadır. Dolayısıyla Türk gümrük idaresinin kurumsal yapısı bakanlık birimi şeklindedir. 1 sayılı Cumhurbaşkanlığı Kararnamesinde (m.441 vd.) Ticaret Bakanlığının gümrük idaresiyle ve dış ticaret ve gümrük işlemleriyle ilgili sorumlulukları sayılmıştır. Buna göre gümrük politikasının hazırlanmasına yardımcı olmak ve uygulamak, gümrük hizmetlerinin süratli, etkili, verimli, belirlenmiş standartlara uygun şekilde yürütülmesini sağlamak ve denetlemek, gümrük mevzuatının uygulanmasını sağlamak, gümrükçe onaylanmış bir işlem veya kullanımlara ilişkin iş ve işlemleri yürütmek, gümrük kontrolüne tabi kişi, eşya ve araçların muayene ve kontrolünü yapmak, gümrük tarifelerini hazırlamak, gümrük vergileri ile gümrük idarelerince tahsil edilmesi gereken vergi, fon ve diğer mali yüklerin tahakkuk, tahsil, takip ve kontrolünü yapmak, ertelenmiş kontrol ve sonradan kontrol hizmetlerini yürütmek, gümrük işleriyle ilgili istatistiki bilgileri üretmek, toplamak, değerlendirmek ve açıklamak, geçici depolama yerleri, antrepolar, ambarlar, lojistik merkezleri, tasfiyelik eşya depoları, mağazalar ve satış reyonları açılmasına ve işletilmesine izin vermek, işletmek, işlettirmek ve denetlemek, tasfiye işlemlerini yürütmek, gümrük muhafaza görevlerini yerine getirmek, gümrüklü yer ve sahalarda koordinasyonu sağlamak ve kamu düzeninin bozulmasını önleyecek tedbirleri almak, Ticaret Bakanlığının sorumlulukları arasındadır.

1 sayılı Cumhurbaşkanlığı Kararnamesine göre (m.442; m.465; m.467) merkez, taşra ve yurtdışı teşkilatından oluşan Ticaret Bakanlığı merkez teşkilatı dışındaki birimlerini kendisi kurmaya yetkilidir. Gümrük idaresinin kurumsal yapısı içerisinde ihtiyaç ve gelişmelere bağlı olarak yeni birimler kurulabilmektedir (KB, 2018: 12).

4.1. Merkez Teşkilatı

Türk gümrük idaresinin merkez teşkilatı, bünyesinde iç ticaret ve dış ticaretle ilişkili çeşitli birimler olan Ticaret Bakanlığının kurumsal yapısı içerisinde yer almaktadır. Dolayısıyla Türk gümrük idaresi bakanlık birimi olarak sorumluluklarını yerine getirmektedir.

Şekil 1: Ticaret Bakanlığı Organizasyon Şeması



Kaynak: TB (2020b).

Şekil 1’de yer alan Ticaret Bakanlığı birimleri içerisinde gümrük işlemleriyle ilgili temel sorumluluklar Gümrükler Genel Müdürlüğüne aittir. Ayrıca Risk Yönetimi, Tasfiye ve Döner Sermaye Genel Müdürlüğü, Rehberlik ve Teftiş Başkanlığı ile Gümrükler Muhafaza Genel Müdürlüğü de gümrük işlemleriyle ilgili doğrudan ya da dolaylı olarak çeşitli sorumluluklar üstlenmektedir. Sorumlulukların kapsamı 1 sayılı Cumhurbaşkanlığı Kararnamesinde ayrıntılı olarak düzenlenmiştir. Buna göre;

Gümrükler Genel Müdürlüğünün sorumlulukları; gümrük işlemleriyle ilgili düzenlemeler yapmak ve gerekli izinleri vermek, gümrük işlemlerinin mevzuatına uygun olarak yerine getirilmesini sağlamak, Türk Gümrük Tarife Cetvelini hazırlamak, gümrük vergileri ile gümrüklerce tahsil edilen diğer yükleri tahakkuk ettirmek ve tahsil etmek, eksik veya fazla tahsilat ve tecil ile ilgili işlemleri yapmak, sonradan kontrol sonuçlarına göre gerekli işlemleri yapmak, vergi ve cezalarla ilgili geri verme ve kaldırma işlemlerini yürütmek, gümrük işlemlerinin kolaylaştırılmasına ve basitleştirilmiş usul uygulamalarına ilişkin düzenlemeleri yapmak ve bunlarla ilgili işlemleri yürütmek, dış ticaret mevzuatı ve sair mevzuatın gümrükle ilgili hükümlerinin uygulanmasına ilişkin usul ve esasları belirlemek ve uygulanmasını sağlamak ve bu alanda eşgüdümü sağlamaktır.

Risk Yönetimi, Tasfiye ve Döner Sermaye Genel Müdürlüğünün sorumlulukları; gümrük işlemleriyle ilgili verileri risk analizine tabi tutmak, analiz sonuçlarını değerlendirmek ve bunları ilgili birimlere aktarmak, risk değerlendirme amacıyla araştırma model teknikleri ile istatistiki araçlar ve diğer analiz yöntemleriyle etki-değerlendirme analizleri yapmak, risk analizi ölçütlerini belirlemek, risk yönetimi ile ilgili koordinasyonu sağlamak, risk analizi konusunda ulusal ve uluslararası kurum ve kuruluşlarla gerekli bilgi değişimi ve işbirliğini sağlamak, risk analizine ilişkin verileri de kullanarak sonradan kontrol işlemleriyle ilgili verileri toplamak, değerlendirmek, arşivlemek, ilgili birimlere aktarmak ve bu birimler arasında koordinasyonu sağlamak, gümrük gelirlerinin tahsil seyrini araştırmak, vergi, fon ve mali yükler yönünden gerçek ve tüzel kişilere ilişkin her türlü bilgi ve belgenin kontrol ve denetimini yapmaktır.

Rehberlik ve Teftiş Başkanlığının sorumlulukları; Ticaret Bakanlığı birimlerinin ve Ticaret Bakanlığı denetimi altındaki kuruluşların ve özel anlaşmalara dayalı olarak ilgili merciler, gerçek ve tüzel kişiler nezdinde her türlü faaliyet ve işlemleriyle ilgili olarak inceleme, denetim ve soruşturma yapmak, bu sorumlulukların daha iyi gerçekleştirmesi, mevzuata, plan ve programa uygun faaliyet göstermesini sağlamak üzere çalışma yapmak ve gerekli teklifleri hazırlamaktır.

Gümrükler Muhafaza Genel Müdürlüğü'nün sorumlulukları ise, gümrüklü yer ve sahalarda kamu düzeninin bozulmasını önleyecek tedbirleri almak, buraların takip ve muhafazasını sağlamak, gerektiğinde adli mercilere intikal ettirmek, giriş ve çıkış yapan kişi, eşya ve taşıtların muhafazası ile gümrüğe sevk edilmesini sağlamak ve gümrük işlemleri bitirilmeden buralardan çıkmalarını önlemek, yat işlemlerini yapmak, kaçakçılığı önlemek, izlemek ve soruşturmak ve adli kolluk hizmetlerini yerine getirmektir.

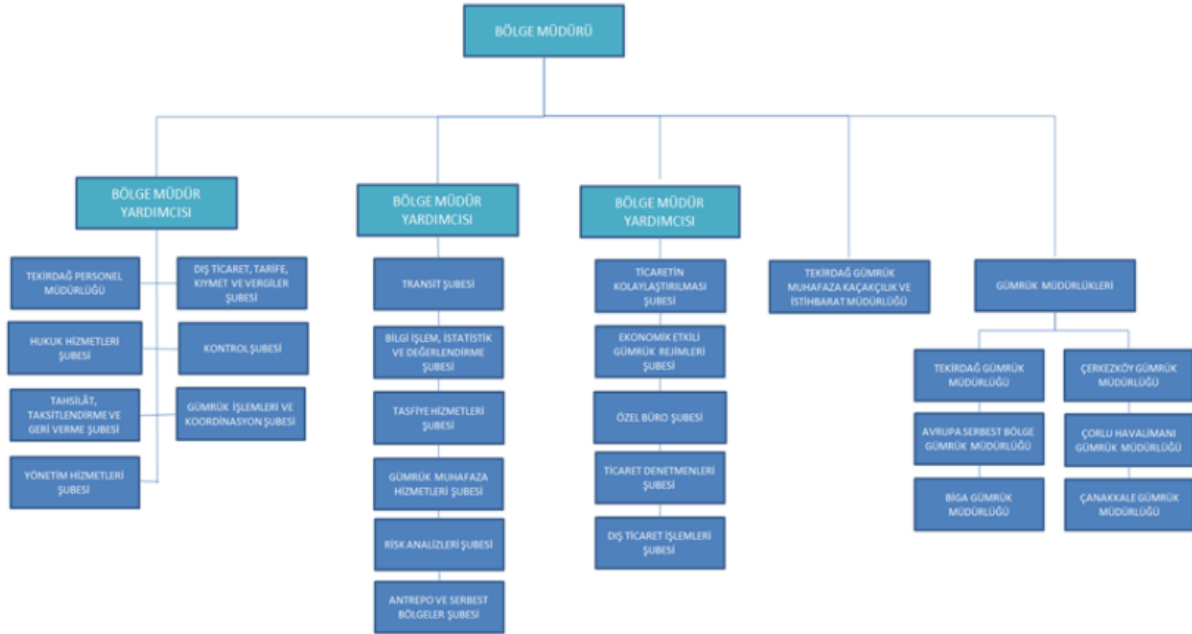
4.2. Taşra Teşkilatı

Türk gümrük idaresinin taşra teşkilatı Gümrük ve Dış Ticaret Bölge Müdürlükleri ile bunlara bağlı birimlerden oluşmaktadır. Bu birimlerin kuruluşu, yapısı, görevleri ile personelinin görev, yetki ve sorumlulukları Ticaret Bakanlığı Taşra Teşkilatı Çalışma Usul ve Esasları Hakkında Yönergeyle düzenlemiştir (TB, 2020e). Taşra teşkilatında 19 Gümrük ve Dış Ticaret Bölge Müdürlüğü bulunmaktadır.

Gümrük ve Dış Ticaret Bölge Müdürlükleri bünyesinde şube müdürlüğü olarak; Gümrük İşlemleri ve Koordinasyon Şube Müdürlüğü, Dış Ticaret İşlemleri Şube Müdürlüğü, Antrepo ve Serbest Bölgeler Şube Müdürlüğü, Dış Ticaret, Tarife, Kıymet ve Vergiler Şube Müdürlüğü, Transit Şube Müdürlüğü, Ekonomik Etkili Gümrük Rejimleri Şube Müdürlüğü, Ticaretin Kolaylaştırılması Şube Müdürlüğü, Tahsilat, Taksitlendirme ve Geri Verme Şube Müdürlüğü, Gümrük Muhafaza Hizmetleri Şube Müdürlüğü, Risk Analizleri Şube Müdürlüğü, Kontrol Şube Müdürlüğü, Tasfiye Hizmetleri Şube Müdürlüğü, Hukuk Hizmetleri Şube Müdürlüğü, Yönetim Hizmetleri Şube Müdürlüğü, Ticaret Denetmenleri Şube Müdürlüğü, Bilgi İşlem, İstatistik ve Değerlendirme Şube Müdürlüğü ile Özel Büro Şube Müdürlüğü kurulmaktadır. Bölge müdürlükleri bünyesinde hizmet gereklilikleri çerçevesinde bağlı birim olarak da Gümrük Müdürlüğü, Gümrük Muhafaza Kaçakçılık ve İstihbarat Müdürlüğü, Tasfiye İşletme Müdürlüğü, Personel Müdürlüğü, Laboratuvar Müdürlüğü ve Gümrükler Muhafaza Kriminal Laboratuvar Müdürlüğü kurulabilmektedir. Daha önce Ekonomi Bakanlığı bünyesindeki 21 Serbest Bölge Müdürlüğü ise, doğrudan Bakanlığa bağlı olarak sorumluluklarını yerine getirmektedir.

Gümrük ve Dış Ticaret Bölge Müdürlükleri bünyesinde 164 adet Gümrük Müdürlüğü, 32 Gümrük Muhafaza Kaçakçılık ve İstihbarat Müdürlüğü, 21 adet Tasfiye İşletme Müdürlüğü, 19 adet Personel Müdürlüğü, 12 adet Laboratuvar Müdürlüğü, 19 Hukuk Grup Başkanlığı ve 40 Ticaret Denetmenleri Grup Başkanlığı vardır. Gümrük Müdürlüklerinin bir kısmı kara, deniz ve hava kapılarında önemli bir kısmı ise, iç gümrüklerde ve serbest bölgelerde faaliyette bulunmaktadır.

Şekil 2: Ticaret Bakanlığı Batı Marmara Gümrük ve Dış Ticaret Bölge Müdürlüğü Teşkilat Şeması



Kaynak: TB (2020c).

Gümrük ve Dış Ticaret Bölge Müdürlüklerinin; dış ticaretin ülke ekonomisi yararına gelişmesi için mevzuat, standartlar, uygulama, idari düzenleme ve ilgili diğer hususlarda Bakanlık merkez teşkilatına bilgi vermek ve teklifte bulunmak, gümrük hizmetlerinin süratli, etkili, verimli ve standartlara uygun şekilde yürütülmesini sağlamak ve denetlemek, kaçakçılığı önlemek, izlemek ve soruşturmak, risk analizi çalışmalarını yürütmek, ikincil kontrol işlemlerini yerine getirmek, dış ticarete konu eşyanın güvenli, mevzuata ve standartlara uygun olması amacıyla ithalatta ve ihracatta denetim yapmak, ithalatta ve ihracatta yapılan ürün güvenliği, ticari kalite denetimleri ve diğer işlemlerde etkinliği ve uygulama birliğini sağlamak, sorumlu olduğu illerde dış ticaretle ilgili gelişmeleri sürekli izlemek, değerlendirmek ve gerektiğinde rapor etmek, istatistiki verileri hazırlamak, şikayet ve ihbarları araştırmak, şeklinde sorumlulukları vardır.

Gümrük işlemleri esas itibarıyla gümrük müdürlüklerinin sorumluluğunda yerine getirilmektedir. Bu bağlamda; gümrükçe onaylanmış bir işlem veya kullanıma ilişkin iş ve işlemleri yürütmek, gümrük vergileri ve para cezaları ile gümrük idarelerince tahsil edilmesi gereken vergi, fon ve diğer mali yüklerin tahakkuk, tebliğ, tahsil, takip ve kontrolünü yapmak, ek tahakkuk ve para cezalarının tahsilat aşamalarını ilgili programlara kaydetmek, Türkiye Gümrük Bölgesine gelen taşıt yükleri ile ilgili taşıma belgelerini denetlemek, incelemesini yapmak, özet beyanla ilgili işlemleri yürütmek, geçici depolanan eşya statüsündeki eşyayla ilgili işlemleri yerine getirmek, itirazları değerlendirmek, BİLGE ve diğer bilgisayarlı sistemleriyle ilgili kullanıcı işlemlerini yürütmek, gümrüklü yer ve sahalarda kamu düzeninin bozulmasını önleyecek tedbirleri almak, buraların takip ve muhafazasını sağlamak, kaçakçılığı önleme çalışmalarını yürütmek ve kaçak zanıyla el konulan eşya işlemleri yapmak, vergilerin ve para cezalarının geri verilmesi, tecili ve taksitlendirilmesi işlemleri, terkin, yetki limitini aşan miktarların geri verilmesi ile ilgili başvuruları dosyası ve görüşü ile birlikte bölge müdürlüğüne iletmek, müdürlük faaliyet alanı ile ilgili risk analizi yapmak, taşıt onay belgelerini vermek, ulaştırma mevzuatına göre yapılan işlemleri yapmak, gümrük muhafaza hizmetlerinin yürütülmesini sağlamak ve denetlemektir. Gümrük müdürlükleri, bölge müdürlükleri idari yapılanmasına uygun şekilde kurulan servisler yoluyla çalışmaktadır.

4.3. Yurtdışı Teşkilatı

Ticaret Bakanlığının yurtdışı teşkilatında, 2019 yılı itibarıyla, 108 adet Ticaret Müşaviri, 15'i Gümrük Müşaviri ve 5'i Gümrük Ataşesi olmak üzere 51 adet Ticaret Ataşesi, 2 adet Ticaret Ofisi (San Francisco ve Kazablanka) ve uluslararası kuruluşlar nezdinde 3 Daimi Temsilci (OECD/Paris, DTÖ/Cenevre ve AB/Brüksel) görev yapmaktadır. Gümrük idaresinin yurt dışı teşkilatının dış ticaretin geliştirilmesi, ticaret erbabına yardım ve buldukları ülkelerdeki resmi ve özel kuruluşlarla faaliyette bulunmak şeklinde sorumlulukları vardır (TB, 2020a: 25).

5. TÜRK GÜMRÜK İDARESİNİN DIŞ TİCARETİN YÖNETİMİNDEKİ SORUMLULUKLARI

Dünyada gümrük idareleri gümrük verilerinin tahsil edilmesi, ticaret politikası önlemlerinin idaresi ve yasaklama veya kısıtlamaların mümkün olan en etkin ve verimli şekilde uygulanması şeklindeki sorumluluklarını yerine getirmektedir. Buradaki temel sorunlu alanlar; taşımacılık, teknoloji ve ticari uygulamalarla uyum içinde olmayan ve güncelliği kalmamış gümrük işlemleri, karmaşık ticaret politikalarını ve işlemlerini kapsamayan ve yeni iş yapma yollarını desteklemede yetersiz kalan mevzuat, sorunları çözme noktasında işlev görmeyen elektronik ve bilgisayar altyapısı, modern bir idarenin ihtiyaç duyduğu organizasyon yapısının ve personelin olmaması, dahilde alınan vergiler bakımından vergi ve gümrük idareleri arasındaki koordinasyonun olmayışı ve yolsuzluklardır (Walsh, 2003, 52-53). Ayrıca işlevsel veya organik anlamda bir problem olmasa da gümrük idarelerinin sorumlulukları, ihracatçı ülkeler tarafından engel olarak da algılanabilmektedir (KB, 2018: 5).

Dünyada sınırda ve sınır gerisinde uygulama bulan mevzuat uyarınca gümrük işlemlerinin; gümrük vergilerinin tahsili, ülke çıkarlarının ve güvenliğinin sağlanması, ticaretin ve seyahatin kolaylaştırılması ve buna bağlı olarak maliyetlerinin düşürülmesi ile bu alanlara ilişkin istatistik temini şeklinde dört temel yönü vardır. Gümrük idaresinin sorumlu olduğu bu alanlara farklı kamu otoriteleri de çeşitli düzeyde katkı sağlamaktadır. Örneğin ABD’de 45, Singapur’da 35, Malezya’da 31 ve Güney Kore’de 23 kamu otoritesi gümrük işlemleriyle ilgili sorumluluğa sahiptir. Gümrük işlemlerinin geniş kapsamı, gümrük idaresinin uygulayıcı idare olmasının yanında kurumsal yapısını geliştiren, mevzuat ve uygulama üreten, koordinasyon ve işbirliği sağlayan, strateji geliştiren, izleme yapan ve bunlarla ilgili bilgi-istatistik sağlayan bir idare olmasını da gerektirmektedir (KB, 2018: 7-8).

Türk gümrük idaresinin de tarihsel süreç içerisinde kapsamı değişmekle birlikte dış ticaretin mevzuatına uygun ve ülke yararına gerçekleşmesi bakımından belirli sorumlulukları bulunmaktadır. Bu sorumluluklar temelde gümrük işlemleriyle ilgili olup, gümrük vergilerinin tahsili, ticaret politikası önlemlerinin uygulanması ve gümrük düzeninin korunması konularını kapsamaktadır. Ayrıca dış ticaret ve gümrük politikalarının geliştirilmesi ve uygulanması, mevzuat hazırlama ve uygulama, bilgi ve istatistik sağlama, ulaştırma işlemleri, fikri mülkiyet haklarının korunması, risk yönetimi, ticaretin kolaylaştırılması ve tüm bu sorumlulukların izlenmesi ve performans ölçümlerinin yapılması sonucu gümrük stratejisinin belirlenmesi de Türk gümrük idaresinin dış ticaretin yönetimiyle ilgili sorumluluğun parçalarını oluşturmaktadır.

Dünyada olduğu gibi Türk gümrük idaresi, legal dış ticareti basitleştiren, hızlandıran ve ticaret erbabı üzerindeki işlem maliyetini azaltan; illegal ticareti risk yönetimine bağlı etkin gümrük denetimi yoluyla engelleyen bir yaklaşım içerisinde hareket etmektedir. Ayrıca gümrük idaresi, dış ticaret ve ulaştırma mevzuatı ile birlikte mali mevzuat, kaçakçılıkla mücadele mevzuatı ve nakit kontrollerine ilişkin mevzuattan kaynaklanan sorumluluklarını yerine getirmektedir (Gültekin, 2019: 24).

5.1. Gümrük Vergilerinin Tahsili

Gümrük idarelerinin dış ticaret işlemleriyle bağlantılı olarak çeşitli vergileri ve mali yükleri tahsil etmesi ya da ödenme durumunu denetlemesi bu idarelere gelir idaresi niteliği kazandırmaktadır. Gelişmekte olan ülkelerde gümrük vergilerinin kamu bütçelerinin önemli bir kaynağı olması nedeniyle gümrük idarelerinin gelir idaresi fonksiyonu ön plandadır (Keen, 2003: 5). Ekonominin ihtiyaç duyduğu hallerde, örneğin yerel üreticilerin korunması veya iç talebin kısılması amacıyla gümrük vergilerinden yararlanıldığından, gümrük idarelerinin kıymet, menşe ve tarife uygulamalarındaki ve ihlallerin önlenmesindeki başarısını öne çıkarmaktadır. Ayrıca, gümrük vergileri kapsamındaki durumu tartışmalı olmakla birlikte, varış ülkesinde vergilendirme ilkesinin dünyada genel kabulü nedeniyle dolaylı vergilerden oluşan dahilde alına vergilerin tahsilinde ve iadesinde de gümrük idarelerinin sorumluluğu vardır. Yine transfer fiyatlandırması gibi esasında gelir vergileri kapsamında kalan uyumsuzluklarda gümrük idaresince belirlenen gümrük kıymeti çözüm olabilmektedir (Keen, 2003: 5-7).

Gümrük vergileri genellikle ithalatta (serbest dolaşıma girişte) uygulanmaları nedeniyle hem gelir hem de koruma etkisi; eşyanın yerli üretimi yok ise, gelir etkisi oluşturmaktadırlar. Temel amacın gelir elde etmek olduğu tüketim vergileri veya katma değer vergisi gibi diğer vergiler, tarifelerde yer alsalar bile dahilde alınan vergilerdir ve hem yerli üretilen hem de ithal edilen eşyaya uygulanmaktadır (Geourjon, 2003: 22). İhracatta uygulama bulan vergi ideleri ile döviz kazandırıcı işlemlere ilişkin istisnalar, gümrük idaresinin genel vergi idaresiyle işbirliği içerisinde hareket etmesini gerektirmektedir.

Türk vergi sisteminde gümrük idarelerince tahsil edilen vergiler, dahilde alınan vergilerin usul hükümlerinin düzenlendiği Vergi Usul Kanununa tabi tutulmadığından (m.2), ayrı bir düzenleme olmadığı müddetçe, Gümrük Kanununa tabidir. Ayrıca gümrük idaresince tahsilat ve takibat işlemleri yapılamayan fakat gümrük işlemleriyle ilgisi nedeniyle ödenme durumları denetlenen vergiler ve mali yükümlülükler de bulunmaktadır.

Tablo 1: Uluslararası Ticaret ve Muamelelerden Alınan Vergiler (2015-2019) (Bin TL)

	2015	2016	2017	2018	2019
Gümrük Vergileri	8.131.326	8.878.992	12.235.684	14.699.022	15.055.215
Ek Mali Yükümlülük	149.013	186.074	92.851	577.058	1.776.752
İthalde Alınan KDV	74.645.805	76.835.576	100.095.716	122.261.596	125.271.330
Diğer	240.332	347.848	508.211	682.995	628.336
TOPLAM	83.166.476	86.248.490	112.932.462	138.220.671	142.731.633
Genel Bütçe Vergi Gelirleri	419.094.393	471.729.227	550.397.373	636.651.069	690.343.850
Genel Bütçe Gelirleri	747.097.175	859.621.908	937.790.023	1.118.965.017	1.284.584.103
Vergi Gelirleri İçindeki Payı (%)	19,84	18,28	20,52	21,71	20,68
Bütçe Gelirleri İçindeki Payı (%)	11,13	10,03	12,04	12,35	11,11

Kaynak: HMB (2020).

Tablo 1’de yer alan Hazine ve Maliye Bakanlığı Muhasebat Genel Müdürlüğü verilerine göre, gümrük vergilerinin kapsamına ilişkin teorik tartışmalar bir tarafa bırakıldığında, genel yönetim bütçe gelirleri içerisinde uluslararası ticaret ve muamelelerden alınan vergilerin payı %20; genel bütçe gelirleri içerisindeki payı ise, %11 civarındadır. Tabloda yer almamakla birlikte gümrük idarelerince tahsil edilen özel tüketim vergisi, TRT bandrol ücreti ve damga vergisi tahsilatları da dikkate alındığında bu oranların %24-25 civarına çıkmaktadır. Gümrük vergilerin neredeyse %89’u, konusu ve matrah yapısı nedeniyle, ithalde alınan katma değer vergisidir. Özel tüketim vergisi ve katma değer vergisinin matrah yapısı, gümrük idarelerinin vergisel işlemlerdeki sorumluluğunu daha da artırmaktadır.

Dış ticaret açısından gümrük vergisi ile birlikte ilave gümrük vergisi ve ek mali yükümlülükler, doğrudan ithal eşyasına yönelik olmaları nedeniyle, temel tarife araçlarını oluşturmaktadır. Anayasa (m.167) ve 2976 sayılı Dış Ticaretin Düzenlenmesi Hakkında Kanun (m.1) uyarınca dış ticaretin, ülke ekonomisi yararına düzenlenmesini sağlamak ve yerel üreticileri korumak amacıyla dış ticaret işlemleri üzerine vergi ve benzeri yükümlülükler dışında ek mali yükümlülük veya ilave gümrük vergisi getirilebilmektedir. Yakın dönemde COVID-19 salgınının Türkiye ekonomisi üzerindeki olumsuz etkilerinin giderilmesi amacıyla birçok eşya ilave gümrük vergisine tabi tutulmuştur. Ayrıca ithalatta korunma önlemleri ve haksız rekabetle mücadele kapsamında gümrük vergisinde veya toplu konut fonu tutarında artış yapılması, ek mali yükümlülük getirilmesi, miktar ve değer kısıtlaması; anti-damping vergisi ve telafi edici vergi uygulaması da söz konusu olabilmektedir. Bütün bu vergilerin tahsil işlemleri gümrük idareleri tarafından gümrük mevzuatına göre yerine getirilmektedir.

5.2. Ticaret Politikası Önlemlerinin Uygulanması

Çok taraflı ticaret sistemi gereği, uluslararası ticarete serbestleşme, basitleşme ve işlem maliyetlerini düşürme yönünde yoğun çaba harcansa da korumacılık ülkelerin siyasi gündeminde halen önemli bir yeri vardır. Dünya Ticaret Örgütü’nün 2018 yılı verilerine göre gelişmiş ülkelerde (G20) ticareti sınırlandıran önlemler artmaktadır ve sadece Mayıs-Ekim 2018 döneminde tarife artışı önlemleri, ithalat yasaklarını ve ihracat vergilerini kapsayan 40 yeni önlem uygulanmıştır (WTO, 2018: 2; WCO, 2019: 20). Ayrıca 2019’un sonlarında etkisini göstermeye başlayan COVID-19 küresel salgını, ülkelerin gümrükler de dahil birçok alanda salgınla ve salgının ekonomik etkileriyle mücadele konusunda ciddi önlemler almasına neden olmuş ve gümrük idareleri arasında, gümrükler ve iş çevreleri ile diğer kamu idareleri arasında işbirliği ihtiyacını artırmıştır (WCO, 2020b: 6).

Gümrük idareleri ile ticaret politikaları arasında doğrudan bir ilişki vardır. Gümrük idareleri, ürettikleri dış ticaret istatistikleri sayesinde ticaret politikası önlemlerinin belirlenmesi, uygulanması ve sonuçlarının izlenmesi noktasında önemli bir rol üstlenmekte; yerine getirdikleri işlemlerin başarısından veya başarısızlığından etkilenmektedirler. Gümrük idareleri, eşyanın gümrük kıymetinin, menşeinin, gümrük tarife istatistik pozisyonunun tespitinde yetkili kamu idaresidir ve aynı zamanda ticaretin kolaylaştırılmasında kilit role sahiptir. Örneğin yakın dönemde sıkça yapılmaya başlayan serbest ticaret anlaşmaları taraf ülke menşeli eşyaya uygulanacak tavizli vergileri kapsamı nedeniyle gümrük idarelerinin özellikle menşe esaslı denetim yükünü

artırmıştır. Dolayısıyla bu alanlardaki olumsuzluklar ekonominin korunma düzeyini ve vergi tahsilatı miktarını olumsuz etkileyebilmektedir (Keen, 2003: 9; Geourjon, 2003: 48-50).

Gümrük Yönetmeliğinde (RG, 7.10.2009, 27369) ticaret politikası önlemleri (m.3/1.n); gözetim ve korunma önlemleri, miktar kısıtlamaları ile ithalat veya ihracat yasaklamaları gibi eşyanın ithal veya ihracıyla ilgili hükümlerle belirlenmiş tarife dışı önlemler olarak tanımlanmıştır. Dünya Ticaret Örgütünün ilgili Anlaşmalarında ve İthalat Rejimi Kararında belirtilen düzenlemeler (m.4) uyarınca benzer veya doğrudan rakip mallar üreten yerli üreticilerin ithalattan ciddi zarar görmesini engellemek amacıyla başvurulmuş dumpinge karşı önlemler, sübvansiyona karşı önlemler ile korunma ve gözetim önlemlerinin bütününe ise, ticaret politikası savunma araçlarını oluşturmaktadır (TB, 2020d). Genel bir yaklaşımla dış ticaret politikası araçları; gümrük tarifeleri ve tarife dışı araçlar ki bunlar miktar kısıtlamaları, ürün güvenliğine yönelik teknik ve idari düzenlemeler, ihracat kotaları veya döviz kazandırıcı faaliyetlerdir (Seyidoğlu, 1999: 120-121). Türk gümrük idaresinin dış ticaret politikası önlemlerinin uygulanmasındaki sorumlulukları gümrük denetimi sürecinde somutlaşmaktadır. Nitekim dış ticaret politikası önlemlerinin uygulanması amacıyla kullanılan belgelerin ve izinlerin denetimi ve varsa mali yükümlülüklerin tahsili gümrük idaresince yerine getirilmektedir.

5.3. Fikri Mülkiyet Haklarının Korunması

Fikri mülkiyet hakları; endüstri, bilim, edebiyat ve sanat alanlarındaki fikri çalışmalardan doğan hukuki haklardır. Bu haklar; eser sahibinin etik ve ekonomik haklarının hukuken ifade edilmesi, bu eserlere kamunun erişiminin sağlanması, yaratıcılığın ve sonuçlarının alenileştirilmesi ve sosyo-ekonomik gelişmeye katkı sağlaması ve adil ticaretin teşviki amaçlarıyla koruma altına alınmaktadır (WIPO, 2004: 3). Fikri mülkiyet hakları; patent, telif hakkı, ticari marka, endüstriyel tasarımlar ve entegre devre topografyaları, coğrafi işaretler ile adil olmayan ticaret konularını kapsamaktadır. Fikri mülkiyet haklarının korunmasında ulusal düzenlemeler kadar uluslararası düzenlemeler de uygulama bulunmaktadır. Fikri mülkiyet haklarıyla ilgili uluslararası düzenlemelerin geçmişi 1883 tarihli Paris Sözleşmesine kadar gitmekle birlikte, bu alanda politika üretilmesi ve üyeleri arasında işbirliği ve bilgi paylaşımı sağlanması amacıyla 1967'de Birleşmiş Milletler himayesinde Dünya Fikri Mülkiyet Örgütü (WIPO) Kuruluş Anlaşması imzalanmıştır. Dünya Ticaret Örgütünün kuruluşu aşamasında imzalanan 1995 tarihli Ticaretle Bağlantılı Fikri Mülkiyet Hakları Anlaşması (TRIPs) ise, fikri mülkiyet haklarının idari ve adli boyutuyla uluslararası ticarete korunması açısından da kurala bağlanmasını sağlamıştır. Fikri mülkiyet haklarının korunması konusunda gümrük idarelerinin de sorumluluğu bulunmaktadır. Dış ticaretin miktar ve değer olarak gösterdiği gelişim, bilgi ve teknoloji ile Ar-Ge alanındaki ilerleme, teknoloji transferlerinin yaygınlaşması, yabancı yatırımların ve tüketici sağlığının korunması ve terörün finans kaynaklarının kesilmesi gibi nedenler gümrük idaresinin bu sorumluluğunu daha da önemli hale getirmektedir.

Ekonomik İşbirliği ve Kalkınma Teşkilatı 2011-2016 yılları verilerine göre Çin ve Çin'in özel yönetim bölgesi olan Hong-Kong dünya sahte ve korsan eşya ticaretinde başta gelen menşe ülkelerdir. Diğer taraftan bu nitelikteki ticarettten en fazla etkilenen ülkeler ise, ABD, Fransa, İtalya, İsviçre ve Almanya'dır (OECD, 2019: 29-32).

Türkiye, fikri mülkiyet haklarının korunmasına yönelik hükümler içeren uluslararası düzenlemelere taraftır ve bu alanda ulusal düzenlemeleri bulunmaktadır. Gümrük Birliğiyle ilgili yükümlülükleri de karşılayan; 5846 sayılı Fikir ve Sanat Eserleri Kanunu, 5147 sayılı Entegre Devre Topografyalarının Korunması Hakkında Kanun, 5042 sayılı Yeni Bitki Çeşitleri Üzerinde İslahçı Haklarının Korunmasına İlişkin Kanun, 551 sayılı Patent Haklarının Korunması Hakkında Kanun Hükmünde Kararname, 554 sayılı Endüstriyel Tasarımların Korunması Hakkında Kanun Hükmünde Kararname, 555 sayılı Coğrafi İşaretlerin Korunması Hakkında Kanun Hükmünde Kararname, 556 sayılı Markaların Korunması Hakkında Kanun Hükmünde Kararname bunlardan bir kısmını oluşturmaktadır. Sahte veya korsan nitelikte olduğu iddia edilen ya da tespit edilen eşya ile ilgili gümrük idaresince başvuru üzerine ya da re'sen yapılacak işlemler, Gümrük Kanununda (m.57) ve Gümrük Yönetmeliğinde (m.100 vd.) ayrıntılı olarak düzenlenmiştir. Ticaret Bakanlığı verilerine göre 2016 yılında 1.673, 2017 yılında 1.915, 2018 yılında 2.179 ve 2019 yılında 2.316 adet gümrük işlemlerine konu eşyanın fikri mülkiyet haklarının ihlal edildiği yönünde başvuru alınarak değerlendirilmiştir (TB, 2019: 67; TB, 2020a: 58). Ayrıca, fikri mülkiyet haklarını ihlal eder nitelikteki eşyanın kaçak yollardan Türkiye'ye giriş ya da Türkiye'den çıkış yapması karşılaşılan bir durum olduğundan, kaçakçılıkla mücadele kapsamında da bu hakların korunmasıyla ilgili çalışmalar yapılmaktadır. Nitekim silah kaçakçılığı, narkotik, yasadışı göç ve fikri mülkiyet haklarını ihlal eden sahte ve taklit eşya kaçakçılığının ardından değer büyüklüğü olarak dördüncü sıradadır (TB, 2020a: 79).

5.4. Gümrük İhlalleriyle Mücadele ve Mevzuata Uyumun Artırılması

Dış ticarete ilişkin mevzuatı kapsamında kural ve uygulamalara yer verilmiş olması, bunlara her durumda uyum gösterileceği anlamını gelmemektedir. Gümrük idareleriyle muhatap olan kişiler farklı gerekçelerle bu kuralları ihlal edebilmekte ya da farkında olmadan hatalı işlemlerle ihlallere sebebiyet verebilmektedir. Hatalı işlemlerin gümrük idaresinden kaynaklanması veya gümrük idarelerinin tasarruflarının anlaşmazlık-uyuşmazlık konusu olması da muhtemeldir. Dolayısıyla gümrük ihlalleri; konusu suç oluşturan ve adli yaptırım sürecini gerektiren ihlaller (kaçakçılık suçları), konusu kabahat oluşturan ve idari yaptırım sürecini gerektiren ihlaller ile hatalı işlemlerden kaynaklanan ihlaller şeklindedir. Nairobi Sözleşmesinde de gümrük ihlali gümrük mevzuatının ihlal edilmesi veya buna teşebbüs edilmesi şeklinde tanımlanmıştır (WCO, 2020c). Ancak, gümrük ihlallerinin suç ya da kabahat oluşturması veya hata olarak değerlendirilmesi, ülkelerin cezalandırma siyasetine ve mevzuatına göre değişebilmektedir.

Gümrük kaçakçılığı, Webster Sözlük'te kanuna aykırı ve kanunda öngörülen vergiler ödenmeksizin yapılan ithalat veya ihracat olarak tanımlanmıştır (Keen, 2003: 7). Nairobi Sözleşmesine göre kaçakçılık gümrük denetimini atlatmak amacıyla eşyanın gizli olarak gümrük sınırlarından geçişidir. Ancak bazı ülkelerde gizlilik koşulu ihlalin kaçakçılık olarak nitelendirilmesinde zorunlu bir unsur sayılmamaktadır. Nairobi Sözleşmesine göre gümrük sahtekarlığı ise, kişilerin gümrük idaresini yanıltarak kısmen veya tamamen gümrük vergilerini veya gümrük mevzuatına göre belirlenen yasaklama veya kısıtlamalara ilişkin uygulamaları aşması veya gümrük mevzuatına aykırı olarak bir fayda elde etmesidir. Bu tür ihlale; hakkı olmadığı halde sübvansiyondan ya da teşvikten yararlanma ya da buna teşebbüs etme ve yasal rekabet kural ve uygulamalarını ihlal ederek ticari avantaj elde etme veya buna teşebbüs etme de sebep olabilmektedir. Kasten hareket etmenin ve başka kamu idareleri adına gümrük idaresince uygulanan mevzuatı ihlal olmanın gümrük sahtekarlığının oluşumuna etkisi de ülkelere göre değişmektedir (WCO, 2018: 6; 11; 34; WCO, 2020c).

Kaçakçılık, yüksek gümrük vergileri uygulandığı veya ülkeler arası vergi farkı olduğu müddetçe potansiyel bir gelir kaynağı oluşturmaktadır. Vergi gelirlerinin görece düşük olduğu çoğu gelişmiş ülkede kaçakçılık, esasında, tüketim vergilerine tabi sigara gibi eşyanın taşınmasına ilişkin faaliyetlerden kaynaklanmaktadır. Dolayısıyla gümrük idarelerinin rolü, gelişmiş ülkelerde büyük oranda kaçakçılık riskinin önlenmesiyle ilgiliyken gelişmekte olan ülkelere gümrük vergilerinin önemli bir gelir kaynağı olması nedeniyle kaçakçılıkla gümrük vergileri açısından mücadele edilmesi şeklindedir (Keen, 2003: 8). Esasında vergiler dışında gümrük ihlalleriyle mücadelenin dış ticaret açısından amacı, legal ticaret yapanların haklarının korunması; buna karşın, illegal ticareti önleyerek haksız rekabetin engellenmesidir. Ayrıca kaçakçılık konusu yapılan eşyanın tüketici sağlığı ve güvenliği ile çevre üzerinde de olumsuz etkileri olduğundan, kamu sağlığı açısından da gereklidir.

Türk hukukunda gümrüklerle ilgili kaçakçılık suçları ve cezaları 5607 sayılı Kaçakçılıkla Mücadele Kanununda (RG, 31.3.2007, 26479) düzenlenmiştir. Kanuna göre gümrük işlemleriyle bağlantılı olarak bu işlemlerin yerine getirilmemesi, gümrük kapılarının kullanılmaması, gümrük vergilerinin ödenmemesi, belirli süre içinde yurt dışı edilmesi gereken eşyanın yurt içinde bırakılması ya da yurt dışı edilmiş gibi gösterilmesi ve bu nitelikteki eşyanın ticari amaçla satılması, taşınması veya saklanması, eşyanın ithalat amacı dışında kullanılması, kanunlarla düzenlenen ithalat ve ihracat yasalarına uyulmaması, ihracat teşvik ve iadelerinden yararlanmak amacıyla ihracatın gerçekleştirilmiş gibi gösterilmesi ya da eşyanın niteliğinin değişik gösterilmesi şeklinde kasıtlı- yanıltıcı ve aldatıcı gerçekleştirilen ihlaller kaçakçılık suçu oluşturmaktadır. Gümrük idaresinin kaçakçılık suçları bakımından sorumluluğu, bu fiillerin gümrük denetimi yoluyla ortaya çıkartılmasını ve hazırlık işlemlerinin yapılarak adli makamlara sevkini kapsamaktadır. Ticaret Bakanlığı verilerine göre 2019 yılında 5.590 kaçakçılık olayında değeri 3.315.943.100 Lira olan kaçak eşya yakalanmıştır. Kaçakçılığa konu eşya ise, uyuşturucu maddeler ile akaryakıt, alkollü içecekler ve tütün mamulleri, taşıt, değerli maden, elektronik eşya, kimyevi madde, makine aksamı ve yedek parçası, silah ve mühimmat, tarihi eser, tıbbi malzeme ve zirai ürünlerdir (TB, 2020: 80).

Kabahatler ise, kaçakçılık ihlalleri gibi gümrük düzenin bozan; ancak, karşılığında gümrük idaresince yaptırım uygulanması öngörülen ihlallerdir. Gümrük kabahatleri, genel olarak, gümrük idaresiyle muhatap olan kişilerin kasten-aldatıcı şekilde hareket etmesinden ziyade, mevzuattan kaynaklanan sorumluluklarını ihmal etmesi neticesinde oluşmaktadır. Buradaki ihmal, Revize Kyoto Sözleşmesinde, gümrük idaresinin gümrük mevzuatına göre gerekli gördüğü bir işlemin ya da kararın süre içerisinde yerine getirilmemesidir (WCO, 2018: 26; WCO, 2020a). Türk hukukunda kabahatler, genel olarak, 5326 Kabahatler Kanununda; gümrük kabahatleri ise, Gümrük Kanununda düzenlenmiştir. Kasten ya da ihmal yoluyla işlenebilen gümrük kabahatleri vergi kaybına neden olan ihlaller ya da usulsüzlük şeklindeki ihlallerdir. Gümrük ihlallerinin tespiti ve idari yaptırıma tabi

tutulası konusunda yetki gümrük idaresine aittir. Bununla birlikte, halihazırda, damga vergisi, harç ve TRT bandrol ücreti gibi mali yükümlülüklerin ödenme durumu gümrük idaresince denetlenmekte; ancak, tespit edilen ihlaller gümrük idaresince yetkili idarelere bildirilmektedir.

Gümrük işlemleri yoğun ve uzmanlık gerektiren bir mevzuat yığına göre gerçekleştirilmektedir. Her ne kadar elektronik yazılımlar sayesinde imkansız olsa da insan kaynaklı işlemler sırasında ticaret erbabının ya da gümrük idaresinin hata yapması mümkündür. Hatalı işlemler ilgili kişiler veya gümrük idaresince tespiti halinde mevzuatına uygun şekilde düzeltilmektedir. Gümrük Kanununda düzenlenen beyanın düzeltilmesi ile geri verme ve kaldırma işlemleri, hatalı işlemlerin düzeltilmesi ve mevzuatına uygun hale getirilmesini amaçlamaktadır.

Gümrük idareleri ile ticaret erbabı arasında gümrük işlemleriyle ilgili anlaşmazlık çıkması muhtemeldir. Bu nedenle gümrük anlaşmazlıklarının en azından idari aşamada çözüme kavuşturulması amacıyla kişilere itiraz hakkı tanınmaktadır. İtiraz, Revize Kyoto Sözleşmesinde, gümrük idaresinin bir kararından veya ihmalden doğrudan etkilenen ve bu durumdan mağdur olan kişilerin yetkili idareden bu durumun giderilmesini talep etmesi olarak tanımlanmıştır (WCO, 2018: 2; WCO, 2020a). Birlik Gümrük Kodunda (m.44) da kişilerin kendileriyle doğrudan ilgili olan ve gümrük mevzuatının uygulanmasıyla ilgili işlemlerle ilgili alınan kararlar için kararı alan gümrük idaresine ve üst makamlara itiraz hakkı tanınmıştır.

Gümrük Kanununda (m.242-243) kişilere gümrük vergilerine, idari para cezalarına, idari kararlara ve gümrük vergilerinin hesaplanmasında esas alınan kimyevi tahlil sonuçlarına itiraz etme hakkı tanınmıştır. Böylece gümrük idaresi kararlarının tekrar değerlendirmek yoluyla mevzuata uygunluğu sağlamaktadır. Ayrıca, tüketilmesi gereken idari yol olması nedeniyle yargının iş yükü de azalmaktadır. İtirazın, yargı yoluna alternatif oluşturması yönünde düzenleme yapılması beklenmektedir.

5.5. Risk Yönetimi ve Gümrük Denetimi

Uluslararası ticaretin artan hacmi karşısında sınır kapılarında oluşan yığılmalar, gümrük idarelerinin işlemleri aynı yoğunlukta yapması yerine bir taraftan işlemleri basitleştirerek hızlandırması diğer taraftan da seçici ve etkin risk analizi yöntemleriyle yasadışı ticarete mücadele etmesi gereğini oluşturmuştur. Revize Kyoto Sözleşmesine göre risk analizi, “tanımlanmış riskin hangi sıklıkla oluşabileceğini belirlemek amacıyla mevcut verilerin sistematik olarak kullanılması”; risk yönetimi ise, “riskin denetimi amacıyla gümrük idareleri tarafından koordine edilen faaliyetler” şeklinde tanımlanmıştır (WCO, 2018: 31; WCO, 2020a). Revize Kyoto Sözleşmesine taraf olan ülkeler, mümkün olduğu ölçüde uygulama yükümlülüğü altında olduğundan, birçok gümrük idaresi risk analizine dayalı ve seçici gümrük denetimi yöntemlerini uygulamaktadır.

Türkiye’de de Gümrük Kanununda yapılan düzenlemeyle risk yönetimi esasına dayalı seçici gümrük denetimi yöntemleri uygulanmaktadır. Gümrük Kanununda risk kavramı (m.3/24), ulusal veya uluslararası düzeyde alınmış önlemlerin doğru bir şekilde uygulanmasını engelleyen, ülkenin mali çıkarlarını tehlikeye düşüren ve güvenlik ve emniyetine, kamu güvenliğine ve kamu sağlığına, çevreye veya tüketicilere yönelik tehdit oluşturan bir olayın ortaya çıkma ihtimali; risk yönetimi ise (m.3/25), riskin sistematik olarak tanımlanması ve riskin en aza indirilmesi için gerekli olan tüm önlemlerin uygulanması amacıyla ulusal ve uluslararası kaynak ve stratejilere dayanılarak veri ve bilgi toplanması, risk analizi ve değerlendirilmesi, alınacak önlemlerin belirlenmesi ve uygulanması; bu sürecin işleyiş ve sonuçlarının düzenli olarak izlenmesi ve gözden geçirilmesi olarak tanımlanmıştır. Risk yönetiminde temel amaç; Türk dış ticaretinin mevzuatına uygun şekilde gerçekleşmesini sağlamak, bu ticareti olabildiğince basitleştirmek, kolaylaştırmak, işlem maliyetlerinden arındırmak ve mevzuata aykırı ticareti de seçici ve etkin yöntemlerle, gereksiz beklemleri ve yığılmaları önleyerek olağan ticarete zarar vermeden ülkenin ve yasal ticaret yapanların haklarını korumaktır. Türk gümrük idaresi bu amaçla yaptığı mali amaçlı risk analizinde gümrük vergileri ile ticaret politikası önlemleri bakımından BİLGE sistemindeki veri ve bilgileri analiz etmektedir. Emniyet ve güvenlik amaçlı risk analizinde ise; uyuşturucu madde, çift kullanımlı eşya, nükleer silahlarda kullanılabilecek eşya; silah, patlayıcı madde, tütün mamulleri ve alkollü içkiler, taklit ürünler, CITES kapsamı eşya üzerinde durulmaktadır. Risk analizinin teknik yönünü analiz ve raporlama yöntemi, (potansiyel risk analizi), mevzuat ihlallerinin değerlendirilmesine dayalı yöntem (reel risk analizi) ve rastgele seçim yöntemi oluşturmaktadır (TB, 2020f). Ayrıca Ticaret Bakanlığının yetkili personeli Dış Ticarete Anomali Tespit Sistemini kullanarak ülke, firma ve eşya bazında sapmaları izleyebilmektedir (TB, 2020a: 105). Ticaret Bakanlığı verilerine göre 2019 yılında risk analizleri şubelerince ithalat ve ihracat işlemlerine dönük risk analizi çalışmaları sonucunda 386 adet risk profili oluşturulmuştur (TB, 2020a: 93).

Dış ticaret ve gümrük uygulamalarındaki risk yönetimi, gümrük denetiminin yöntemini ve yoğunluğunu belirlemektedir. Gümrük denetimi, kavram olarak, eşyanın Türkiye Gümrük Bölgesine girişinden itibaren bu bölgeyi terk edene veya gümrük gözetiminden çıktığı ana kadar gümrük idaresince mevzuatın doğru uygulanmasını sağlamak amacıyla yerine getirilen işlemlerin tümüdür (Üyümez ve Gültekin, 2016: 348). Gümrük denetimi, dar anlamda, gümrük işlemlerini yerine getiren ticaret erbabının denetimini; geniş anlamda ise, bu kişiler ile birlikte gümrük idaresinin teftişini kapsamaktadır.

Gümrük işlemleri sırasında, mevzuatına göre, birçok belge kullanılmakla birlikte bunlar içerisinde gümrük beyanı taşıdığı önem nedeniyle denetimi ayrıntılı olarak düzenlenmiştir. Gümrük Yönetmeliğine göre (m.180), bu denetim ve görevli personel bilgisayar sistemince risk kriterlerine göre belirlenmektedir. Bu amaçla sarı, mavi ve kırmızı hatlardan faydalanılmakta ve duruma göre rastgele kontroller yapılmaktadır. Kırmızı hat; eşyanın muayene ve belge kontrolünün yapıldığı, sarı hat; beyanname ve eklerinin doğruluğunun ve birbiriyle uygunluğunun kontrol edildiği, mavi hat; belge kontrolü ile gerekli hallerde muayenenin eşyanın tesliminden sonra yapıldığı, yeşil hat ise; eşyanın belge kontrolünün veya muayeneyesin yapılmadığı hatlardır. Ticaret Bakanlığı 2018 yılı verilerine göre 4.291.536 adet ihracat beyannamesi ve 2.625.644 adet ithalat beyannamesi verilmiştir. İhracat beyannamelerinden %52,8'i sarı hatta, %32,2'si mavi hatta, %11,5'i yeşil hatta ve %3,5 de kırmızı hatta işlem görmüştür. İthalat beyannamelerinin ise, %66,2'si sarı hatta, %20,4'ü yeşil hatta, %13,3'ü kırmızı hatta ve %0,1 de mavi hatta işlem görmüştür. Gümrük işlemleri başladığı andan itibaren ithalat beyannamelerinin %45'inin işlemleri ilk 8 saatte; %69'unun işlemleri ise ilk 24 saat içinde yerine getirilmiştir. İlk 24 saatte bu oranlar fiziki kontrole tabi tutulan beyannameler için %40; belge kontrolüne tabi tutulan beyannameler için %69; yeşil hatta işlem gören beyannameler için ise, %87 olmuştur. İhracat beyannamelerinin ise, %47'sinin işlemleri ilk yarım saatte, %84'ünün işlemleri ise ilk 4 saatte yerine getirilmiştir. 2019 yılında ise, gümrük idarelerine 4.497.572 adet ihracat beyannamesi ve 2.544.728 adet ithalat beyannamesi verilmiştir. İhracat beyannamelerinden %51,9'u sarı hatta, %31,8'si mavi hatta, %13'ü yeşil hatta ve %3,3 de kırmızı hatta işlem görmüştür. İthalat beyannamelerinin ise, %63,3'si sarı hatta, %23,6'sı yeşil hatta, %13,1'ü kırmızı hatta ve %0,1 de mavi hatta işlem görmüştür (TB, 2019: 96-97; TB, 2020a: 94-95).

Risk yönetimi sonucu yüksek riskli bulunan durumlarda daha yoğun gümrük denetimi yapılırken, sonradan kontrol ve ikinci kontroller de yapılabilmektedir. Sonradan kontrol gümrük beyanlarının ve işlemlerinin mevzuata uygunluğunun gümrük işlemlerine ve sonraki işlemlere ilişkin ticari belge ve verilerin ya da riskli kişi veya işlemlerin ilgili kişilere ait yerlerde planlı ya da plan dışı kontrolüdür. Ticaret Bakanlığı verilerine göre 2019 yılında 250 firma planlı ve 172 firma da plan dışı olmak üzere toplam 422 firma sonradan kontrol denetimine alınmıştır (TB, 2020a: 95). İkinci kontrol ise, Gümrük ve Dış ticaret Bölge Müdürlüklerindeki Kontrol Şubelerince ve Risk Yönetimi, Tasfiye ve Döner Sermaye Genel Müdürlüğüne tespit edilen şüpheli işlemlere ilişkin analizlere bağlı yapılan denetim olup, bu denetim şekli piyasa dengesi ve rekabet ortamı içinde firmaların ticari ve sınai faaliyetleri için vazgeçilmez görülmektedir (TB, 2020f). İkinci kontrol şeklindeki gümrük denetiminin önemli bir mali boyutu da vardır. Ticaret Bakanlığı verilerine göre 2019'da yapılan ikinci kontrolde 4.042 firmaya 157.689.261,05 Lira vergi tahakkuk ettirilmiştir ve 504.635.345,07 Lira idari para cezası kesilmiştir (TB, 2020a: 96).

5.6. Ulaştırma İşlemleri

Dış ticaret ve özellikle de gümrük işlemlerinin, eşyanın ve kişilerin gümrük bölgeleri arasındaki hareketiyle bağlantısı dolayısıyla taşıma (taşımacılık) konularıyla yakın ilişkisi olduğundan, bu konular da çok taraflı ve iki taraflı düzenlemelere konu olmakta ve gümrük idarelerinde uygulama alanı bulmaktadır. Özellikle taşımacılık türüne göre taşınan eşya ile birlikte taşıt ve taşımacılık belgeleri, geçiş izinleri, geçiş ücretleri, taşımacılıkla ilgili yasaklamalar veya kısıtlamalar gümrük idaresince denetime tabi tutulabilmektedir. Ulaştırma işlemlerinin varlığı taşımacılık düzeninin sağlanması ve haksız rekabetin önlenmesi açısından gereklidir; ancak, gümrük kapılarındaki taşımacılık denetimlerin yoğunluğu bazı hallerde bu yerlerde yığılmalara ve ticaret erbabı için ilave zaman ve para kaybına neden olabilmektedir. Nitekim uzun TIR kuyrukları, demuraj ve kira bedelleri taşıma işlemlerinin ticaret erbabı ve taşımacılar için maliyetleri artırmaktadır.

Ticaret Bakanlığı verilerine göre ihracatın %60,3'ü ve ithalatın da %53,7'si denizyoluyla gerçekleşmiştir. Aynı yıl ihracatın %30,1'i ve ithalatın da %17,7'si karayoluyla gerçekleşmiştir. Havayoluyla yapılan dış ticaretin ithalattaki payı %8,2 ve ihracattaki payı %13,9 olmuştur. Dolayısıyla Türkiye'nin dış ticareti esas itibariyle denizyoluyla gerçekleşmektedir (TB, 2020g).

Türk gümrük idaresinde sınır geçiş izinleri, tehlikeli madde veya atık madde taşınması veya ağır ve havaaleli eşyanın taşınması halinde alınması gereken izinler ve taşıtların ağırlık, yükseklik ve genişlik ölçülerine uygunluğu denetime tabi tutulmaktadır. Ayrıca TIR sistemine tabi taşıtlara ait onay belgelerinin verilmesi ve firma tezkiye işlemleri de gümrük idareleri tarafından yapılmaktadır. Kara kapılarında gümrük idaresince yapılan denetimlerin önemli bir kısmı bilgisayar tabanlı elektronik yazılımlar üzerinden gerçekleştiğinden, işlemler çok kısa süre içerisinde yerine getirilmektedir. Ayrıca tek durak, tek pencere ve tek liman, konteyner liman takip sistemleri gibi elektronik yazılımlar da gümrük işlemlerini hızlandırmak ve basitleştirmek amacıyla kullanılmaktadır.

5.7. Gümrük Mevzuatını Hazırlama ve Gümrük İşlemlerini Kolaylaştırma

Dış ticaret ve gümrük mevzuatının kapsamı ve niteliği, uluslararası yükümlülüklerin karşılanması, kişilerin mevzuata tam uyumunun sağlanması ve gümrük idarelerinin uygulamaları arasında birlik sağlanması açısından özellikle ikincil düzenlemeleri gerektirmektedir. Gümrük idarelerinin zamanın gereklerine uygun bir şekilde sorumluluklarının belirlenmesi ve yerine getirilmesi de iyi hazırlanmış mevzuatla mümkündür.

Gelir idaresi fonksiyonu bağlamında gümrük idaresi ticaret ve maliye politikaları araçlarının uygulayıcı birimidir. Dış ticaret ve gümrük uygulamalarının kamu yararına sonuçlanması için iyi oluşturulmuş politika önlemlerini ve uygulamasını tanımlayan basit, açık ve anlaşılır mevzuatın varlığı zorunludur. Diğer bir ifadeyle dış ticaret ve gümrük mevzuatı çerçevesinde uygulama alanı bulan işlemler basit, şeffaf ve ticaret erbabınca kolay anlaşılır olmalı; risk değerlendirmesine ve riskli eşyayı veya ticaret erbabını hedef alan seçici denetime dayanmalıdır (Walsh, 2003: 56-57). Aksi takdirde, iyi planlanmamış dış ticaret ve gümrük mevzuatı ve onun uygulayıcı birimi olan gümrük idareleri, kaçınılmaz olarak, ticarete yönelik bir engel, yönetim ve iş çevreleri bakımından uyum maliyeti kaynağı haline gelmektedir (Keen, 2003: 13).

Gümrük idarelerinin kapasitesini ve hizmet kalitesini artırmayı amaçlayan birçok uluslararası anlaşma, standart ve tavsiye kararı bulunmaktadır. Bunlardan en önemlileri 1999 yılında Dünya Gümrük Örgütü himayesinde imzalanarak 2006 yılında yürürlüğe giren Revize Kyoto Sözleşmesi ve 2013 yılında Dünya Ticaret Örgütü himayesinde imzalanarak 2016 yılında yürürlüğe giren Ticaretin Kolaylaştırılması Anlaşmasıdır (KB, 2018: 6). Dünya Gümrük Örgütü de aldığı tavsiye kararlarıyla bu hususlara ilişkin üyelere belirli standart ve uygulama önerilerinde bulunmaktadır.

Uluslararası düzenlemeler Türk gümrük mevzuatının bir parçası kabul edilmektedir ve gümrük idaresinin katkısıyla ya da doğrudan mevzuat hazırlanırken alana ilişkin tavsiye ve beklentiler dikkate alınmaktadır. Gümrük işlemlerinin uluslararası ve ulusal boyutu ve bu alandaki güncel gelişmelerin sıklığı Türk gümrük idaresinin çalışmalarının önemli bir kısmının mevzuat hazırlıklarına ayırmasını zorunlu hale getirmektedir. Ticaret Bakanlığı verilerine göre sadece 2019 yılında Bakanlığın çalışmalarıyla 1 kanun, 5 Cumhurbaşkanlığı kararı, 5 yönetmelik, 15 tebliğ ve 47 Genelge yayımlanmıştır (TB, 2020a: 65).

Gümrük mevzuatının devletin çıkarlarının sağlanması ve ekonominin korunması gibi amaçları yanında dış ticaretin kolaylaştırılması ve uyumlu ticaret erbabının haklarının korunması boyutu da bulunmaktadır. Revize Kyoto Sözleşmesi ve Ticaretin Kolaylaştırılması Anlaşması, bu alanlarda taraf ülkelere yükümlülükler getirilmiştir. Ticaretin ve gümrük işlemlerinin basitleştirilmesiyle ilgili olarak işlemlerin elektronik ortamda yürütülmesi, yetkilendirilmiş yükümlü, onaylanmış kişi statüsü, yerinde gümrükleme, izinli gönderici ve izinli alıcı, varış öncesi gümrükleme ve tek pencere uygulamaları hayata geçirilmiştir. Süreç içerisinde Türk gümrük mevzuatına da aktarılan bütün bu uygulamalara ilişkin işlemler ve izleme faaliyetleri gümrük idaresince yerine getirilmektedir.

Mevzuatı gereği gümrük idaresi dışında Tarım ve Orman Bakanlığı, Sağlık Bakanlığı, Ulaştırma ve Altyapı Bakanlığı, Çevre ve Şehircilik Bakanlığı gibi başka kamu idarelerinin de gümrük işlemleriyle ilgili bazı sorumlulukları bulunmakta; bu kurumlar tarafından verilecek izin, yetki belgesi, uygunluk yazısı, kontrol yazısı, tahlil raporu ya da onay gibi işlemlere ihtiyaç duyulmaktadır. Bu durum, dış ticaret ve gümrük işlemlerinde işbirliği ve koordinasyonu gerektirmektedir (KB, 2018: 12). Gümrük idaresi çalışmalarıyla farklı kamu idareleri arasında koordinasyon ve işbirliğini sağlayacak faaliyetlerde bulunmaktadır. Bu amaçla geliştirilen tek pencere sistemi, tek liman sistemi gibi elektronik yazılımlar ticaret erbabına zaman ve para tasarrufu sağlamakta, belgelerdeki sahteciliği ve diğer usulsüzlükleri engellemektedir.

Dünya Bankasının 2019 yılı verilerine göre 190 ülke arasında Türkiye iş yapma kolaylığı bakımından 43. ve dış ticaret işlemleri bakımından 42. sırada yer almaktadır. Bu sıralama belirlenirken ihracatta belgeleri hazırlanması

için ortalama 4 saatlik süre ve 55 ABD Doları ve sınır geçişleri için de ortalama 16 saatlik süre içerisinde 358 ABD Dolar harcanmaktadır. İthalat belgeleri hazırlanması için ise, ortalama 3 saatlik süre ve 80 ABD Doları ve sınır geçişleri için de ortalama 11 saatlik süre içerisinde 46 ABD Dolar harcanmaktadır (WBG, 2019: 211). Türk gümrük idaresince yürütülen mevzuat çalışmalarının, gümrük işlemlerinden kaynaklanan bekleme süresini ve işlem maliyetlerini azaltacağı öngörülmektedir.

5.8. Bilgi ve İstatistik Sağlama

Gümrük işlemlerinin mevzuat yoğun işlem ve uygulamalar içermesi nedeniyle muhtemel hata ve kasıtsız ihlallerin önüne geçilebilmesi açısından gümrük idaresinin ticaret erbabını ve ilgili kişileri bilgilendirmesi kaçınılmaz bir ihtiyaçtır. Gümrük idaresinin sağlayacağı bilgi, işlemlerde şeffaflığın sağlanması ve savunma hakkının kullanılmasına da önem taşımaktadır. Bu nedenle Dünya Gümrük Örgütü himayesinde kabul edilen kararlarda bazı bilgilerin çoklu dil desteğiyle yayınlanması tavsiye edilmiştir. Örneğin 1999 yılında Dünya Gümrük Örgütü, internetin önemli bir iletişim ve bilgi yayma aracı olduğunu vurguladığı Gümrük İdareleri Tarafından İnternet Sitelerinin Kullanımı Tavsiye Kararını yayımlamıştır. Bu kapsamda ticaret erbabı için gümrük idaresinin genel görünümü, gümrük muafiyetleri, ithalat ve ihracat yasakları, gümrük hatları, gümrük ihlallerine yönelik cezalar, iletişim bilgileri ve resmi yayınlara erişim yolları; yolcular için ise, tarife ve vergi bilgisi, döviz kurları, yasaklar ve kısıtlamalar, gümrük beyannamesinin doldurulması, tarife sınıflandırma kararları, diğer kamu kurumlarının linkleri ve resmi yayınlara erişim bilgileri hakkında bilgiler yayınlanmalıdır (KB, 2018: 14; 21).

Türk gümrük mevzuatında, Gümrük Kanununa göre (m.8/1) kişilerin gümrük uygulamaları hakkında gümrük idaresinden bilgi talep etmesi mümkündür. Gümrük idaresinden Gümrük Kanuna göre (m.6/1) herkes gümrük mevzuatının uygulanmasına ilişkin bir karar vermesini de isteyebilmektedir. Ayrıca, Dilekçe Hakkının Kullanımı Hakkında Kanun (RG, 10.11.1984, 18571) ve Bilgi Edinme Hakkı Kanunu (RG, 24.10.2003, 25269) kapsamında da gümrük idarelerinden bilgi alınabilmesi mümkündür. Gümrük idaresinin sağladığı açıklayıcı, yol gösterici görüş ve öneri niteliğinde olan bilgiler (Gök, 2016: 119), dayanağını oluşturan mevzuata göre bağlayıcı ya da bağlayıcı olmayabilmektedir. Özellikle gümrük vergileri ve ticaret politikası önlemleri açısından belirleyici olan tarife ve menşe uygulamaları için gümrük idaresinden bağlayıcı bilgi talep edilebilmektedir. Gümrük Yönetmeliğine göre bağlayıcı tarife bilgisi (m.28/1), eşyanın Türk Gümrük Tarife Cetvelinde sınıflandırılması hakkında; bağlayıcı menşe bilgisi ise (m.29/1), eşyanın tercihli veya tercihli olmayan menşenin tespiti konusunda sadece Türk Gümrük Tarife Cetvelinde aynı tarife pozisyonu alt açılımında bulunan ve aynı kanuni veya tercihli vergi oranına tabi eşyayı ifade eden bir kalem eşya hakkında gümrük idaresince verilen idari karardır. Gümrük Kanununa göre (m.9/4) talepte bulunan kişiler için sınırlı olmak üzere verilmiş tarihten itibaren bağlayıcı tarife bilgisi 6 yıl; bağlayıcı menşe bilgisi 3 yıl geçerlidir. Ticaret Bakanlığı verilerine göre 2018 yılında 418 ve 2019 yılında 559 adet bağlayıcı tarife bilgisi düzenlenmiştir (TB, 2020a: 58).

Ticaret Bakanlığının internet sitesinde kişisel ve ticari nitelikte eşyanın gümrük işlemlerine ilişkin rehberler, bilgi bankası, e-bilgilendirme platformu bulunmakta ve dijital gümrük uygulamaları ve sıkça sorulan sorular kapsamında çeşitli açıklamalara yer verilmektedir (TB, 2020h; TB, 2020ı). Bu kapsamda gümrükler, yolcu işlemleri, bedelsiz ithalat, geçici ithalat, posta ve kargo gümrük işlemleri, engelli kişilere yönelik uygulamalar, nakilhane, kambiyo işlemleri, ithalat, ihracat, depolama, vergilendirme işlemleri, tarife, menşe, gümrük beyannamesi, özel fatura, risk analizi, nihai kullanım, yetkilendirilmiş yükümlü ve mahrece iade gibi pek çok konuda açıklamalara yer verilmiştir. Ticaret Bakanlığı, ticaret erbabının ve ilgili kişilerin yararlanabileceği bazı programlar da geliştirmiştir. Bunlardan Tarife Arama Programı (TARA) dış ticaret yapmak isteyen herkesin, ticarete konu edeceği eşyaya ilişkin ithalat ve ihracatta ihtiyaç duyacağı vergi ve belge bilgilerine tek noktadan ulaşabileceği bir arama programıdır (TB, 2020a: 72). Halihazırda gümrük idarelerinin yararlandığı ancak, daha sonra ticaret erbabının kullanımına da açılması planlanan Gümrük İdareleri Bilgi Sistemi, kapıların yoğunluk durumu, gümrük işlem süreleri, günlük, aylık ve yıllık bazda trend analizi, gümrük idarelerinin yetki durumu, gümrük idaresi bazında limanlar, gümrük antrepoları ve geçici depolama yerleri, illere göre gümrük hizmeti veren gümrük müdürlükleri, gümrük müşaviri, yetkilendirilmiş gümrük müşavirleri sayıları ve iletişim bilgileri ile dış ticaret profili gibi verileri sağlamaktadır (TB, 2020a: 68). Ticaret erbabı, gümrük işlemlerini anlık olarak internet tabanlı bir uygulama olan Gümrük Eşya Takip ve Analitik Performans Programı (GET-APP) üzerinden de takip edebilmektedir. Ticaret Bakanlığı, ayrıca, düzenli veri ihtiyacı duyan kurumlarla yaptığı veri paylaşımı protokolleriyle de istatistik verileri paylaşmaktadır. Ticaret Bakanlığı verilerine göre 2019 yılında 16 adet Veri Paylaşım Protokolü imzalanmıştır (TB, 2020a: 104).

Gümrük idaresinin önemli bir fonksiyonu da istatistikle veri üretme ve paylaşmadır. İstatistiksel veriler, uygulama sonuçlarının izlenerek gümrük idaresinin etkinliği ve verimliliği hakkında değerlendirilmesini sağlarken gümrük ve dış ticaret politikalarında değişiklik yapılması gerekliliği konusunda karar alıcılara yol göstermektedir. Gümrük idaresinin istatistiksel veri kaynağının gümrük beyannameleri ve diğer belgelere dayanmaktadır. Gümrük idaresinin istatistiksel verileri Türkiye İstatistik Kurumu mevzuatı uyarınca Resmi İstatistik Programı üzerinden ulusal veri yayımlama takvimine göre yayımlanmaktadır. Ayrıca Ticaret Bakanlığına ait dış ticaret ve gümrük konularına ilişkin bazı istatistik verileri Bakanlığın internet sitesinde yer alan “Bakanlık İstatistikleri” başlığı altında kamuya paylaşılmaktadır (TB, 2020g).

6. SONUÇ

Gümrük idareleri, bir taraftan vergi dairesi gibi gümrük vergilerini tahsil ederken diğer taraftan da dış ticaretin ülke ekonomisi ve ticaret erbabı lehine gelişmesi açısından gümrük mevzuatından kaynaklanan çeşitli sorumlulukları bulunmaktadır. Son düzenlemelerle Ticaret Bakanlığı birimi şeklinde kurumsal yapısı oluşturulan Türk gümrük idaresinin dış ticaretin bu kapsamda yönetimindeki-işleyişindeki bu sorumluluklarının özünü, uluslararası düzenlemelere de uygun şekilde, legal dış ticaretin kolaylaştırılarak hızlandırılması ve dış ticaretle ilgili işlem maliyetlerinin düşürülmesi, haksız rekabet oluşturan durumların ve illegal ticaretin önlenmesi oluşturmaktadır. Bu amaçla gümrük işlemlerinin kağıtsız ortamda ve tek noktadan yerine getirilmesi, belirli risk ve güvenlik şartlarını taşıyan ticaret erbabına yetki verilerek dış ticaret işlemlerini yerinde yapmasını sağlanması ve bu nitelikteki kişilerin düşük yoğunluklu gümrük denetimine ya da sonradan kontrole tabi tutulması ve gümrük vergilerini sonradan ödemesi gibi uygulamalar hayata geçirilmiştir. Söz konusu uygulamaların gözetimi, izlenmesi ve değerlendirilmesi gümrük idaresince yapılmaktadır. Dış ticaret ve gümrük işlemlerine ilişkin bu uygulamalardaki yetersizliklerin ithalat veya ihracat yapan ticaret erbabı için hem Türkiye’de hem de yurt dışında aleyhine rekabet dezavantajı yaratacağı açıktır.

Dış ticaret ve gümrük mevzuatını ihlal edenler, yeni yöntem ve teknikler geliştirmektedirler. Gümrük idaresi bu ihlalleri önleyebilmek için gümrük denetimi yapmaktadır. Ancak gümrük idaresinin sorumlulukları kapsamına giren her işlemin yerine getirilmesini aynı yoğunlukta gümrük denetimine tabi tutması beklenemez. Bu amaçla gümrük idaresi ülke, eşya ve firma bazında risk yönetimine dayalı seçici gümrük denetiminden yararlanmaktadır. Gümrük denetiminde yararlanılan kırmızı hat oranlarının düşürülmesi ve bu sayede fiziki muayene sayısının azaltılması yönünde beklentilerin karşılanması, ancak etkin gümrük denetimi yoluyla gerçekleştirilebilir. Bu nedenle denetimin objektif esaslara bağlanması temel amaç olmalıdır.

Gümrük idaresi, uygulayıcı idare olması yanında özellikle yetkilendirildiği alanlarda ikincil-genel düzenleyici işlem veya adsız işlem niteliğinde mevzuat hazırlamaktadır. Gümrük mevzuatına detay sağlanması ve açıklık getirilmesi ile gümrük idaresinin uygulamalarında birlik sağlanması açısından önemli bir işleve sahip olan ikincil düzenlemeler bağlayıcı veya açıklayıcı nitelikte olabilmektedir. Gümrük idaresinin hazırladığı mevzuatın paydaşlarca henüz taslak halindeyken tartışılması ve onların görüş ve önerilerinden yararlanılması, yığın haline gelen mevzuata uyum sağlanması açısından üzerinde düşünülmesi gereken bir yöntemdir. İyi hazırlanmamış, açık ve anlaşılır olmaktan uzak mevzuatın anlaşmazlığa veya ihtilafa neden olması ihtimali yüksektir.

Ticaret Bakanlığı, dış ticaret ve gümrük işlemleri konusunda resmi istatistik programı ve Bakanlığın internet sitesi üzerinden istatistik veri sağlamakta ve bilgi paylaşımında bulunmaktadır. Ticaret Bakanlığının yayınlamış olduğu istatistikler, dış ticaret ve gümrük uygulamaları bakımından yeterli görülmele birlikte, özellikle gümrük işlemleriyle ilgili idari yaptırımlar konusunda eksik kalmaktadırlar. Gümrük mevzuatının hangi konular bakımından yoğun olarak ihlal edildiği, mevzuat değişikliklerine kişilerin uyum derecesi, gümrük yaptırımlarının ve ilgili mevzuat değişikliklerinin etkisi ve idari yaptırımların yıllara göre seyri gibi konuların anlaşılması bakımından bu nitelikteki istatistik verilerin de alenileştirilmesine ihtiyaç vardır. Ayrıca dış ticaret ve gümrük işlemlerine ilişkin pek çok konuda Ticaret Bakanlığının internet sitesinde sağlanan bilgiler temel konuların ve kavramsal çerçevesinin anlaşılması bakımından yeterlidir; ancak, aynı bilginin farklı başlıklar altında tekrar verilmesi bilgi yığını içerisinde dağınık bir görünüm oluşturmaktadır. Bu nitelikteki verilerin derlenerek tek bir başlık altında sunulması yerinde olacaktır.

KAYNAKÇA

- Arda, E., Kılıçgedik, N., Bakan, S., Bakan, İ. ve Kemer, B. (2003). *Sosyal Bilimler El Sözlüğü*. Bursa: Alfa Aktüel.
Atan, T. (1990). *Türk Gümrük Tarihi Cilt I Başlangıçtan Osmanlı Devletine Kadar*. Ankara: Türk Tarih Kurumu.

- Atan, T.(2007). *Türk Gümrük Tarihi Cilt II Osmanlı Gümrükleri*. Ankara: Gümrük Müfettişleri Derneği.
- Aydın. M. (2019). Vidin Gümrüğü ve Vergilendirme. *Tarih Boyunca Gümrükler* içinde, 83-92. (Editör: M. Tanrıverdi). İstanbul: Hiperyayın.
- Bilge, S. M. (2019). Osmanlı Topraklarından Kafkasya'ya Yönelik Ticarete Gümrükler ve Vergilendirme. *Tarih Boyunca Gümrükler* içinde, 41-61. (Editör: M. Tanrıverdi). İstanbul: Hiperyayın.
- Castro, P. and Walsh, J. T. (2003). The Organization of Customs Administration, Editor: M. Keen, *Changing Customs: Challenges and Strategies for the Reform of Customs Administration*. (pp. 138-153). Washington D.C.: International Monetary Fund [IMF].
- Dikmen, M. O. (1958). *Maliye Dersleri*. İstanbul: Sermet.
- Erdemir H. P. ve Gökbunar R. (2007). Efes Gümrük Yazıtında Gümrük Vergileri. *Gazi Üniversitesi İktisadi ve İdari Bilimler Fakültesi Dergisi*. 9(1), 227-234.
- European Union [EU]. (2020). Regulation (EU) No 952/2013 of the European Parliament and of the Council of 9 October 2013 laying down the Union Customs Code. OJL. 269, 10.10.2013, p.1-101, <https://eur-lex.europa.eu/legal-content/EN/TXT/?uri=celex:32013R0952> (Erişim Tarihi: 25.8.2020).
- Genç, M. (2000). *Osmanlı İmparatorluğunda Devlet ve Ekonomi*. İstanbul: Ötügen.
- Giray, F. (2014). *Maliye Tarihi*. 5. Baskı. Bursa: Ekin.
- Geourjon, A. (2003). Trade Policy and Customs Administration, Editor: M. Keen, *Changing Customs: Challenges and Strategies for the Reform of Customs Administration*. (pp. 22-51). Washington, D.C.: IMF
- Gültekin, R. ve Agun B. H. (2018). Türkiye'de Genel Bütçe Geliri Olarak Gümrük Vergilerinin Gelişimi (2000-2017). *VIII. Uluslararası Balkan ve Yakın Doğu Sosyal Bilimler Kongreler Serisi Bildiriler Kitabı*. 21-22 Nisan 2018, Plovdiv/Bulgaristan. 330-340.
- Gök, Ö. (2016). Gümrük idaresinden bilgi talep etme hakkı ve bilginin hukuki etkileri. *Vergi Sorunları Dergisi*, 337, 115-134.
- Gültekin, R. (2019). *Gümrük Kabahatleri (Hukuki Analiz, Sorunlar ve Çözüm Önerileri)*. Ankara: Gazi.
- Gümrük ve Tekel Bakanlığı [GTeB]. (1973). *Cumhuriyet Devrinde Gümrükleriz*. Ankara: Fon.
- Gümrük ve Ticaret Bakanlığı [GTİB]. (2012). *Dünden Bugüne Gümrükler Genel Müdürlüğü 1909-2012*. Ankara: GTB Gümrükler Genel Müdürlüğü.
- Hazine ve Maliye Bakanlığı [HMB]. (2020). Genel Yönetim Bütçe İstatistikleri 2015-2019 <https://muhasibat.hmb.gov.tr/genel-yonetim-butce-istatistikleri> (Erişim Tarihi: 26.7.2020).
- İnalçık, H. (1958). Osmanlı Hukukuna Giriş, Örfi-Sultani Hukuk ve Fatih'in Kanunları. *Ankara Üniversitesi SBF Dergisi*. 13(2). 102-126.
- İnalçık, H. (1959). İslam Arazi ve Vergi Sisteminin Teşekkülü ve Osmanlı Devrindeki Şekillerle Mukayesesi. *Ankara Üniversitesi İslami İlimler Enstitüsü Dergisi*. (1), 29-46.
- Kalkınma Bakanlığı [KB]. (2018). *On Birinci Kalkınma Planı (2019-2023) Gümrük Hizmetlerinin İyileştirilmesi Çalışma Grubu Raporu*. Ankara: KB.
- Kayıcı. H. (2019). 19. Yüzyıl Sonlarında Edirne Gümrük İdaresi. *Tarih Boyunca Gümrükler* içinde, 93-122. (Editör: M. Tanrıverdi). İstanbul: Hiperyayın.
- Keen, M. (2003). The Future of Fiscal Frontiers and the Modernization of Customs Administration. Editor: M. Keen, *Changing Customs: Challenges and Strategies for the Reform of Customs Administration*. (pp. 1-21). Washington, D.C.: IMF.
- OECD/EUIPO (2019). *Trends in Trade in Counterfeit and Pirated Goods, Illicit Trade*. OECD Publishing, Paris/European Union Intellectual Property Office.
- Özdoğan, S. ve Erbay, H. (1998). *Geçmişten Geleceğe Gümrüklerimiz*. Ankara: Gümrük Vakfı.
- Saygılıoğlu, N. ve Akçin, R. (2018). *Dış Ticaret ve Gümrük-Teori, Mevzuat, Uygulama*. 2. Baskı, Ankara.
- Selen, U. (2017). *Gümrük İşlemleri ve Vergilendirilmesi*. 9. Baskı, Bursa: Ekin.
- Seyidoğlu, H. (1999). Uluslararası İktisat-Teori, Politika ve Uygulama. 13. Baskı, İstanbul: Güzem.
- Ticaret Bakanlığı [TB]. (2019). *Ticaret Bakanlığı 2018 Yılı Faaliyet Raporu*. Ankara. https://strateji.ticaret.gov.tr/data/5daf068713b87654702d58c4/TICARET_BAKANLIGI_013_2018_FAALIYET_RAPORU_OK_12.11.19_WEB.pdf (Erişim Tarihi: 26.7.2020).
- TB. (2020a). *Ticaret Bakanlığı 2019 Yılı Faaliyet Raporu*. Ankara. https://ticaret.gov.tr/data/5e58fdaa13b8764dec3bf81d/TICARET_BAKANLIGI_2019YILI_FAALIYET_RAPORU.pdf (Erişim Tarihi: 26.7.2020).
- TB. (2020b). Ticaret Bakanlığı Organizasyon Şeması. <https://ticaret.gov.tr/kurumsal/organizasyon-semasi> (Erişim Tarihi: 22.8.2020).
- TB. (2020c). Ticaret Bakanlığı Batı Marmara Gümrük ve Dış Ticaret Bölge Müdürlüğü Organizasyon Şeması. <https://batimarmara.ticaret.gov.tr/kurumsal/organizasyon-semasi> (Erişim Tarihi: 22.8.2020).
- TB. (2020d). Ticaret Politikası Savunma Araçları. <https://ticaret.gov.tr/ithalat/ticaret-politikasi-savunma-araclari> (Erişim Tarihi: 23.8.2020).

- TB. (2020e). Ticaret Bakanlığı Taşra Teşkilatı Çalışma Usul ve Esasları Hakkında Yönerge. <https://kms.kaysis.gov.tr/Home/Goster/161010> (Erişim Tarihi: 25.8.2020).
- TB. (2020f). Sıkça Sorulan Sorular. <https://risk.ticaret.gov.tr/sikca-sorulan-sorular> (Erişim Tarihi: 25.8.2020).
- TB. (2020g). Gümrük İstatistikleri. <https://ticaret.gov.tr/istatistikler/bakanlik-istatistikleri/gumruk-istatistikleri> (Erişim Tarihi: 25.8.2020).
- TB. (2020h). Gümrük Rehberi. <https://gumrukrehberi.gov.tr/> (Erişim Tarihi: 25.8.2020).
- TB. (2020ı). Bilgi Bankası. <https://ticaret.gov.tr/gumruk-islemleri/bilgi-bankasi> (Erişim Tarihi: 25.8.2020).
- Tuncer, S. (2001). *Gümrükler ve Gümrük Vergileri (Teori-Uygulama)*. İstanbul: Yaklaşım.
- Türk Dil Kurumu [TDK]. (2020). Genel Türkçe Sözlük. <https://sozluk.gov.tr/> (Erişim Tarihi: 15.8.2020).
- Uyumaz, E. (2012). Türkiye Selçuklu Devleti'nin Yükseliş Döneminde Ticaret ve Gümrük. Editör: M. Tanrıverdi. *Tarih Boyunca Gümrükler içinde (17-26)*. İstanbul: Hiper yayın.
- Üyümez, M. E. ve Gültekin, R. (2016). Gümrük Denetimi: Türkiye Uygulamalarının Analizi. *Mehmet Akif Ersoy Üniversitesi Sosyal Bilimler Enstitüsü Dergisi*. 8(14), 343-365.
- Varcan, N. (1993). *Maliye Tarihi*. Eskişehir: Birlik Ofset.
- Walsh, J. T. (2003). Strategy for Reform. Editor: M. Keen, *Changing Customs: Challenges and Strategies for the Reform of Customs Administration*. (pp. 52-66). Washington, D.C.: IMF.
- World Bank Groups [WBG]. (2019) Doing Business 2019 Training for Reforms. 16th. Edition. Washington D.C.: WBG. https://www.doingbusiness.org/content/dam/doingBusiness/media/Annual-Reports/English/DB2019-report_web-version.pdf (Erişim Tarihi: 23.8.2020).
- World Customs Organization [WCO]. (2018). *Glossary of International Customs Terms*. Brussels.
- WCO. (2019). *WCO Annual Report 2018-2019*. Brussels: WCO Publications.
- WCO. (2020a). The Revised Kyoto Convention. http://www.wcoomd.org/en/topics/facilitation/instrument-and-tools/conventions/pf_revised_kyoto_conv.aspx (Erişim Tarihi: 20.8.2020).
- WCO. (2020b). WCO Annual Report 2019-2020. Brussels. http://www.wcoomd.org/-/media/wco/public/global/pdf/media/annual-reports/annual_report_2019_2020_en.pdf (Erişim Tarihi: 22.8.2020).
- WCO. (2020c). International Convention on Mutual Administrative Assistance for The Prevention, Investigation And Repression of Customs Offences (Nairobi Convention). <http://www.wcoomd.org/-/media/wco/public/global/pdf/about-us/legal-instruments/conventions-and-agreements/nairobi/naireng1.pdf?la=en> (Erişim Tarihi: 20.8.2020).
- World Intellectual Property Organization [WIPO]. (2004). *WIPO Intellectual Property Handbook*. Geneva: WIPO Publication. https://www.wipo.int/edocs/pubdocs/en/wipo_pub_489.pdf (Erişim Tarihi: 25.8.2020).
- World Trade Organization [WTO]. (2018). Report On G20 Trade Measures. Geneva: WTO Publication. https://www.wto.org/english/news_e/news18_e/g20_wto_report_november18_e.pdf (Erişim Tarihi: 20/5/2020).

Katılım Bankacılığı ile Faiz Bankacılığının Kredi Maliyetlerinin İncelenmesi

Dr.Öğr.Üyesi Servet ÖNAL¹

Celal ESENBOĞA²

¹servetonal@osmaniye.edu.tr Orcid No: 0000-0001-5452-6938

²celal.esenboga@hotmail.com Orcid No: 0000-0003-4279-5131

Özet: Bazı yatırımcılar tasarruflarını yüksek faiz getirisi saikiyle faiz bankacılığına yönelirken, bazıları da inanç hassasiyetleri dolayısıyla helal kazanç beklentisiyle tasarruflarını katılım bankalarında değerlendirmek istemektedirler. Katılım bankacılığı ile yastık altında bulunan nakitlerin ve altınların ekonomiye kazandırılması amaçlanmıştır. Faizli bankacılık işlemlerindeki faiz yerine kar-zarar ortaklığını esas almaları nedeniyle, bu tür bankacılık modeline faizsiz bankacılık modeli denilmektedir. Tüm bankacılık hizmetlerini farklı usullerle yapan bu tür kuruluşlar, bir bakıma bankaların alternatifi, bir bakıma da onları tamamlayan ve finans sektörüne çeşitlilik kazandıran kurumlardır. Bu çalışmada katılım bankalarının ve faiz bankacılığının kredi maliyetlerine ilişkin kredi maliyetleri tabloları kullanılacaktır. Yatırım yapacak kişiler faiz ve kar payı modelleri ile tercihlerini belirlerken ya helal haram tercihlerini ortaya koymakta veya kazanç kriterlerini ön plana çıkartmaktadırlar. Hangi kriteri ön plana alırsa alsınlar tercihlerini yaparken seçeneklerin neler olduğunun detaylı olarak ortaya konulmuş olması doğru seçim yapılabilmesi açısından önem arz etmektedir. Ayrıca Kredi kullanan kişi veya kurumlar hangi isim adı altında olursa olsun ne tür yükümlülükler imza attıklarını detaylı ve karşılaştırmalı olarak bilmelerinde büyük önem bulunmaktadır. Böylece daha sağlıklı kararlar almış olacaklardır.

Anahtar Kelimeler: Katılım Bankacılığı, Faiz Bankacılığı, Kredi Maliyetleri

Investigation of Loan Costs of Participation Banking and Interest Banking

Abstract: While some investors turn to interest banking with the motive of high interest yield, some of them want to invest their savings in participation banks with the expectation of halal earnings due to their belief sensitivity. With participation banking, it is aimed to bring the cash and gold under the pillow to the economy. This type of banking model is called the interest-free banking model in the literature because it is based on profit and loss partnership instead of interest in interest banking transactions. These types of institutions, which provide all banking services with different methods, are, in a way, an alternative to banks, and in a way complementing them and bring diversity to the financial sector.

In this study, loan costs tables regarding the loan costs of participation banks and interest banking will be used. While investing people determine their preferences with interest and dividend models, they either put forward their halal haram preferences or put forward earning criteria. Whichever criterion puts the foreground, it is important to put forward what the options are in detail when making their choices in order to make the right choice. In addition, it is of great importance that the persons or institutions that use loans know in detail and comparatively what kind of obligations they have signed, regardless of their name. Thus, they will make healthier decisions.

Keywords: Participation Banking, Interest Banking, Loan Costs

1.GİRİŞ

Bankacılık sistemin ekonomideki rolü , fon arz edenler ile talep edenler arasındaki ilişkiyi doğru şekilde geçişini sağlamaktır. Bu sistemde fon kaynakları ülkedeki tasarruflar ile ülkeye aktarılan yurtdışı tasarruflardan meydana gelmektedir. Bu yüzden günümüz ekonomisinde bankacılık sistemin hayati önem taşımaktadır.

Mevduat bankacılığı bir ekonomide fazlası olanlardan topladığı fonları ihtiyacı olan kişi veya kurumlara kredi olarak kullandıran banka türüdür(Sucu,2019). Mevduat bankaları topladıkları mevduatları kredi ve iştirakler yoluyla yatırımlara aktararak gerçekleştirilmektedir.

Mevduat bankaları faizle para alıp veren, kredi, iskonto, kambiyo işlemleri yapan, kasalarında para, değerli belge, eşya saklayan ve bunun dışındaki diğer ekonomik etkinliklerde bulunan kuruluşlardır. Bankacılık sisteminde güven konusu "teminat ve ipotek"le çözümlenmiştir (Uludağ, 1992).

Faizsiz bankacılık modeli temelde, fon fazlası olanlardan fon talebi olanlara finansal kaynakların faiz olmaksızın aktarılması esasına dayanmaktadır(Güneş,2002). Katılım bankaları, faiz olmadan finans faaliyeti yapan kurumlardır. Katılım bankacılığının en önemli fonksiyonu faizden sakınan tasarruf sahiplerinin parasal kaynaklarını piyasaya kazandırmaktır. Faizsiz bankacılık, kâr-zarar ve risk paylaşımını esas alan bir yapıdır. İslami esasların kullanıldığı faizsiz bankacılık günümüzde en hızlı büyüyen sektörler arasındadır. Geleneksel bankalar

kar sağlamak amacıyla piyasada yer alırken, katılım bankaları topladıkları fonları, faizsiz finansman ilkeleri dahilinde reel ekonomiye kazandırmakta ve elde edilen kâr veya zararı tasarruf sahipleri ile paylaşmaktadır.

Faizinin bankacılık uygulaması olarak kar payı adı altında olması kişilerin bankacılığa olan bakışını değiştirmiş ve islami kurallara uygun olarak yatırımlarını değerlendirme fırsatı ve kredi uygulamasındaki değiş tokuş sayesinde kredi kullanım imkanı bulmuşlardır.

2. ÜLKEMİZDE FAİZSİZ BANKACILIĞIN DOĞUŞU

Ülkemiz 'de faizsiz bankacılık, 1975'e kadar uzanmaktadır. 11.11.1975 tarihinde kurulmuş olan Devlet Sanayi ve İşçi Yatırım Bankası (DESİYAB) bu alandaki ilk uygulama olarak göze çarpmaktadır. DESİYAB'ın asıl amacı türkiye'de ikamet eden ve yurt dışında çalışan işçilerin birikimlerini, finansal bir güç olarak birleştirerek karlılık ve verimli olarak çalıştırmak, kalkınma planlarının temel ilkelerine uygun ve ülke içerisinde genel olarak sanayi bölgesinde yatırımlara yöneltmektir.

Türkiye'de 1985 yılında "Özel Finans Kurumları" adıyla faaliyete geçen bu kurumlar, 19 Ekim 2005 tarih ve 5411 sayılı Bankacılık Kanunu ile "Katılım Bankaları" şeklinde değiştirilmiştir (Özulucan ve Deran, 2009)

Günümüzde klasik bankaların yaptıkları birçok bankacılık faaliyetlerinde bulunan katılım bankaları, literatürde özel finans kurumu, yatırım bankacılığı, islami bankacılık, faizsiz bankacılık gibi isimlerle de adlandırılmaktadır. Katılım bankalarının doğmasının temel sebebi İslam'ın faiz yasağı ve İslami hassasiyete sahip firmaların fon ihtiyacıdır (Kazak vd. 2018).

3. KATILIM BANKACILIĞININ AMAÇLARI

Katılım bankacılığında; faiz endişesi nedeniyle mevduat bankalarıyla çalışmak istemeyen tasarruf sahiplerinin atıl fonlarını ekonomiye kazandırma amaçlanmaktadır (Pehlivan, 2016).

Yastık altında bulunan bu kaynakların geleneksel bankacılık aracılığı ile ekonomiye kazandırılmamasının temel nedeni, tasarruf sahiplerinin dini inançlarıdır.

Faizsiz bankacılığın temel amacı, İslam'ın kabul ettiği ekonomik kurallara göre ekonomiyi geliştirmektir. Mevcut hukuk sistemi içinde faizsiz bankacılık anlayışını benimseyen katılım bankalarının amacı, faizin olmadığı, riskin paylaşıldığı, İslami inançlara aykırı olmayan ticaret türlerinin uygun olduğu bir piyasanın oluşturulması olarak ifade edilmektedir. Katılım bankaları bu hedeflerine ulaşırken, modern bankacılık anlayışına ve kendi prensiplerin uygun her türlü bankacılık faaliyetlerinde de bulunmaktadır.

Geleneksel bankacılıkta "faiz", katılım bankalarında ise "faiz yasağı" bir para politikası aracı olarak kullanılmaktadır (Kalaycı, 2013). Katılım bankacılığında faiz yerine, ortaklık prensibi benimsenmiş olması; faizsiz bankacılık esasına dayalı finansman yöntemlerinin kullanılmasına yol açmıştır. Örneğin, girişimci anlayışa sahip sermaye ihtiyacı içinde olan müteşebbislerin, bu özelliklerini de reel ekonomiye kazandırmaktadırlar. Katılım Bankaları hem fon toplarken hem de fon kullanırken faiz yerine kâr ve zarar ortaklığı esasına göre faaliyet göstermektedir. (Eskici, 2007). Faizsiz bankalar, fon toplama ve tahsisini ortaklık bazında yerine getiren kuruluşlardır. Prensipleri ortaklık olduğu için önceden miktarı belirli olan sabit bir faiz yerine, faaliyet sonucu miktarı belli olan kar ve zarardan pay alırlar (Özgür, 2007).

4. KATILIM BANKACILIĞI FON KULLANDIRMA YÖNTEMLERİ

Katılım bankalarında fon kullandırma yöntemleri ise üç ana başlık altında yürütülmektedir. Bunlar ortaklık, kiralama ve satış esaslı yöntemlerdir (Alkış, 2018).

Katılım Bankaları tasarruf sahiplerinden topladıkları fonları ihtiyaç duyan kişilere kullandırmaktadırlar. Bu durum kimi zaman ortaklık yoluyla olduğu gibi, bazen ihtiyaç duyulan malın satışı veya kiraya verilmesi şeklinde gerçekleşmektedir. Katılım bankaları faturalandırılabilenden mal ve hizmet alımlarını fonlamaktadırlar (Sümer ve Onan 2020). Katılım Bankaları'nda uygulanan fon kullandırma yöntemleri ana hatlarıyla şu şekildedir:

- Müşteriye nakit kullandırma yasaktır.

- İslami kurallara uygun olmayan yatırımlar için fon kullanılmaz.
- Faturası kesilmiş mal finansman konusu olamaz.
- Malın piyasada alınan ve satılan bir mal olması gerekir.
- Külçe altın ve döviz para olarak kabul edilmekte finansmanı yapılmamaktadır.
- Tüketilmiş enerjinin (elektrik, doğal gaz, su) finansmanı mümkün değildir (Güngören,2013).
- Ödeme müşterinin istediği satıcıya fatura karşılığında yapılır.

5. KATILIM BANKACILIĞI KREDİ VE ÖDEME PLANLARI

Örnek: Bireysel bir müşteri 16.07.2020 tarihinde A Katılım Bankasına başvuru yaparak 12 ay vadeli eşit taksit ödemeli 100.000-TL ihtiyaç kredisi ve 60 ay vadeli eşit taksit ödemeli 100.000-TL konut kredisi ve A Firması 12 ay vadeli 100.000-TL finansman talebinde bulunmuştur. Bankanın müşteriye sunmuş olduğu ödeme planları aşağıdaki gibidir.

- **12 ay vadeli ihtiyaç kredisi için aylık % 1,01 kar oranı uygulanmıştır.**

KATILIM BANKASI A.Ş.

..... Şubesi

Finansman Türü	Tüketici Kredisi	Finansman Tutarı	100,000.00
Finansman Sınıfı	İhtiyaç Kredisi	Toplam Kâr	6,709.93
Para Birimi	TL - Türk Lirası	Toplam Vergi	1,341.98
Kâr Oranı (%)	1.01000	Geri Ödeme Tutarı	108,051.91
Finansman Süresi (Ay)	12	Komisyon Tutarı	525.00
Finansman Başlangıç Tarihi	16 Temmuz 2020	Diğer Masraflar	0.00
Taksit Adedi	12		

16 Temmuz 2020 Perşembe

No.	Ödeme Tarihi	Taksit Tutarı	Anapara	Kâr	KKDF	BSMV	Kalan Anapara
1	17.08.2020	9.004,33	7.792,33	1.010,00	151,50	50,50	92.207,67
2	17.09.2020	9.004,33	7.886,76	931,30	139,70	46,57	84.320,91
3	19.10.2020	9.004,33	7.982,36	851,64	127,75	42,58	76.338,55
4	17.11.2020	9.004,33	8.079,11	771,02	115,65	38,55	68.259,44
5	17.12.2020	9.004,33	8.177,03	689,42	103,41	34,47	60.082,41
6	18.01.2021	9.004,33	8.276,14	606,83	91,02	30,34	51.806,27
7	17.02.2021	9.004,33	8.376,44	523,24	78,49	26,16	43.429,83
8	17.03.2021	9.004,33	8.477,96	438,64	65,80	21,93	34.951,87
9	19.04.2021	9.004,33	8.580,72	353,01	52,95	17,65	26.371,15
10	17.05.2021	9.004,33	8.684,71	266,35	39,95	13,32	17.686,44
11	17.06.2021	9.004,33	8.789,98	178,63	26,79	8,93	8.896,46
12	19.07.2021	9.004,28	8.896,46	89,85	13,48	4,49	0,00
		108.051,91	100.000,00	6.709,93	1.006,49	335,49	

- İş bu Geri Ödeme Planı, örnek ödeme planı olup, düzenleme tarihindeki finansman fiyatlaması üzerinden hazırlanmıştır. Teklif edilen fiyatlama geçerlilik tarihi 1 gündür.
- Finansman kar oranı ve tahsis ücreti kullandırım tarihindeki güncel oranlar üzerinden uygulanır.
- Finansman kullandırımında çıkabilecek ek masraflar ayrıca tahsil edilir.
- Finansman teklifinde sunulan ekspertiz bedeli asgari tutar olup yapılacak ekspertiz sonucuna göre ekspertiz bedeli değişiklik gösterebilmektedir.

- 60 ay vadeli Konut kredisi için aylık % 0,83 kar oranı uygulanmıştır.

A KATILIM BANKASI A.Ş.

..... Şubesi

Finansman Türü	İpotekli Tüketici Kredisi	Finansman Tutarı	100,000.00
Finansman Sınıfı	Gayri Menkul Kredisi	Toplam Kâr	27,364.12
Para Birimi	TL - Türk Lirası	Toplam Vergi	0.00
Kâr Oranı (%)	0.83000	Geri Ödeme Tutarı	127,364.12
Finansman Süresi (Ay)	60	Komisyon Tutarı	500.00
Finansman Başlangıç Tarihi	16 Temmuz 2020	Diğer Masraflar	998.42
Taksit Adedi	60		

No.	Ödeme Tarihi	Taksit Tutarı	Anapara	Kâr	KKDF	BSMV	Kalan Anapara
1	17.08.2020	2.122,74	1.292,74	830,00	0,00	0,00	98.707,26
2	17.09.2020	2.122,74	1.303,47	819,27	0,00	0,00	97.403,79
3	19.10.2020	2.122,74	1.314,29	808,45	0,00	0,00	96.089,50
4	17.11.2020	2.122,74	1.325,20	797,54	0,00	0,00	94.764,30
5	17.12.2020	2.122,74	1.336,20	786,54	0,00	0,00	93.428,10
6	18.01.2021	2.122,74	1.347,29	775,45	0,00	0,00	92.080,81
7	17.02.2021	2.122,74	1.358,47	764,27	0,00	0,00	90.722,34
8	17.03.2021	2.122,74	1.369,74	753,00	0,00	0,00	89.352,60
9	19.04.2021	2.122,74	1.381,11	741,63	0,00	0,00	87.971,49
10	17.05.2021	2.122,74	1.392,58	730,16	0,00	0,00	86.578,91
11	17.06.2021	2.122,74	1.404,14	718,60	0,00	0,00	85.174,77
12	19.07.2021	2.122,74	1.415,79	706,95	0,00	0,00	83.758,98
13	17.08.2021	2.122,74	1.427,54	695,20	0,00	0,00	82.331,44
14	17.09.2021	2.122,74	1.439,39	683,35	0,00	0,00	80.892,05
15	18.10.2021	2.122,74	1.451,34	671,40	0,00	0,00	79.440,71
16	17.11.2021	2.122,74	1.463,38	659,36	0,00	0,00	77.977,33
17	17.12.2021	2.122,74	1.475,53	647,21	0,00	0,00	76.501,80
18	17.01.2022	2.122,74	1.487,78	634,96	0,00	0,00	75.014,02

19	17.02.2022	2.122,74	1.500,12	622,62	0,00	0,00	73.513,90
20	17.03.2022	2.122,74	1.512,57	610,17	0,00	0,00	72.001,33
21	18.04.2022	2.122,74	1.525,13	597,61	0,00	0,00	70.476,20

22	17.05.2022	2.122,74	1.537,79	584,95	0,00	0,00	68.938,41
23	17.06.2022	2.122,74	1.550,55	572,19	0,00	0,00	67.387,86
24	18.07.2022	2.122,74	1.563,42	559,32	0,00	0,00	65.824,44
25	17.08.2022	2.122,74	1.576,40	546,34	0,00	0,00	64.248,04
26	19.09.2022	2.122,74	1.589,48	533,26	0,00	0,00	62.658,56
27	17.10.2022	2.122,74	1.602,67	520,07	0,00	0,00	61.055,89
28	17.11.2022	2.122,74	1.615,98	506,76	0,00	0,00	59.439,91
29	19.12.2022	2.122,74	1.629,39	493,35	0,00	0,00	57.810,52
30	17.01.2023	2.122,74	1.642,91	479,83	0,00	0,00	56.167,61
31	17.02.2023	2.122,74	1.656,55	466,19	0,00	0,00	54.511,06
32	17.03.2023	2.122,74	1.670,30	452,44	0,00	0,00	52.840,76
33	17.04.2023	2.122,74	1.684,16	438,58	0,00	0,00	51.156,60
34	17.05.2023	2.122,74	1.698,14	424,60	0,00	0,00	49.458,46
35	19.06.2023	2.122,74	1.712,23	410,51	0,00	0,00	47.746,23
36	17.07.2023	2.122,74	1.726,45	396,29	0,00	0,00	46.019,78
37	17.08.2023	2.122,74	1.740,78	381,96	0,00	0,00	44.279,00
38	18.09.2023	2.122,74	1.755,22	367,52	0,00	0,00	42.523,78
39	17.10.2023	2.122,74	1.769,79	352,95	0,00	0,00	40.753,99
40	17.11.2023	2.122,74	1.784,48	338,26	0,00	0,00	38.969,51
41	18.12.2023	2.122,74	1.799,29	323,45	0,00	0,00	37.170,22
42	17.01.2024	2.122,74	1.814,23	308,51	0,00	0,00	35.355,99
43	19.02.2024	2.122,74	1.829,29	293,45	0,00	0,00	33.526,70
44	18.03.2024	2.122,74	1.844,47	278,27	0,00	0,00	31.682,23
45	17.04.2024	2.122,74	1.859,78	262,96	0,00	0,00	29.822,45
46	17.05.2024	2.122,74	1.875,21	247,53	0,00	0,00	27.947,24
47	17.06.2024	2.122,74	1.890,78	231,96	0,00	0,00	26.056,46
48	17.07.2024	2.122,74	1.906,47	216,27	0,00	0,00	24.149,99
49	19.08.2024	2.122,74	1.922,30	200,44	0,00	0,00	22.227,69
50	17.09.2024	2.122,74	1.938,25	184,49	0,00	0,00	20.289,44
51	17.10.2024	2.122,74	1.954,34	168,40	0,00	0,00	18.335,10
52	18.11.2024	2.122,74	1.970,56	152,18	0,00	0,00	16.364,54
53	17.12.2024	2.122,74	1.986,91	135,83	0,00	0,00	14.377,63
54	17.01.2025	2.122,74	2.003,41	119,33	0,00	0,00	12.374,22
55	17.02.2025	2.122,74	2.020,03	102,71	0,00	0,00	10.354,19
56	17.03.2025	2.122,74	2.036,80	85,94	0,00	0,00	8.317,39
57	17.04.2025	2.122,74	2.053,71	69,03	0,00	0,00	6.263,68
58	20.05.2025	2.122,74	2.070,75	51,99	0,00	0,00	4.192,93
59	17.06.2025	2.122,74	2.087,94	34,80	0,00	0,00	2.104,99
60	17.07.2025	2.122,46	2.104,99	17,47	0,00	0,00	0,00
		127.364,12	100.000,00	27.364,12	0,00	0,00	

12 ay vadeli Ticari kredi için aylık % 0,95 kar oranı uygulanmıştır.

A KATILIM BANKASI A.Ş.

..... Şubesi

Ticari Finansman Ödeme Planı

Finansman Türü	Ticari	Finansman Tutarı	100.000,00
Finansman Sınıfı	İhtiyaç Kredisi	Toplam Kâr	6354,19
Para Birimi	TL - Türk Lirası	Toplam Vergi	317,71
Kâr Oranı (%)	0,95	Geri Ödeme Tutarı	106.671,90
Finansman Süresi (Ay)	12	Komisyon Tutarı	
Finansman Başlangıç Tarihi	16 Temmuz 2020	Diğer Masraflar	0.00
Taksit Adedi	12		

16 Temmuz 2020 Perşembe

No.	Ödeme Tarihi	Taksit Tutarı	Anapara	Kâr	KKDF	BSMV	Kalan Anapara
1	17.08.2020	8.889,32	7.825,32	1.013,33	0,00	50,67	92.174,68
2	17.09.2020	8.889,32	7.969,88	875,65	0,00	43,78	84.204,80
3	19.10.2020	8.889,32	8.049,37	799,95	0,00	40,00	76.155,43
4	17.11.2020	8.889,32	8.129,67	423,48	0,00	36,17	68.125,70
5	17.12.2020	8.889,32	8.210,77	646,24	0,00	32,31	56.814,99
6	18.01.2021	8.889,32	8.292,67	568,24	0,00	28,41	51.522,32
7	17.02.2021	8.889,32	8.375,39	489,46	0,00	24,47	43.146,93
8	17.03.2021	8.889,32	8.458,92	409,90	0,00	20,50	37.688,01
9	19.04.2021	8.889,32	8.543,30	329,54	0,00	16,48	26.144,71
10	17.05.2021	8.889,32	8.628,53	248,37	0,00	12,42	17.516,18
11	17.06.2021	8.889,32	8.717,60	166,40	0,00	8,32	8.801,58
12	19.07.2021	8.889,32	8.801,58	83,62	0,00	4,18	0,00
		108.051,91	100.000,00	6.354,19	0,00	317,71	0,00

- İş bu Geri Ödeme Planı, örnek ödeme planı olup, düzenleme tarihindeki finansman fiyatlaması üzerinden hazırlanmıştır. Teklif edilen fiyatlamaya geçerlilik tarihi 1 gündür.
- Finansman kar oranı ve tahsis ücreti kullandırım tarihindeki güncel oranlar üzerinden uygulanır.
- Finansman kullandırımında çıkabilecek ek masraflar ayrıca tahsil edilir.
- Finansman teklifinde sunulan ekspertiz bedeli asgari tutar olup yapılacak ekspertiz sonucuna göre ekspertiz bedeli değişiklik gösterebilmektedir.

6. FAİZ BANKACILIĞI KREDİ VE ÖDEME PLANLARI

Örnek: Bireysel bir müşteri 16.07.2020 tarihinde A Bankasına başvuru yaparak 12 ay vadeli eşit taksit ödemeli 100.000-TL ihtiyaç kredisi ve 60 ay vadeli eşit taksit ödemeli 100.000-TL konut kredisi ve A Firması 12 ay vadeli 100.000-TL finansman talebinde bulunmuştur. Bankanın müşteriye sunmuş olduğu ödeme planları aşağıdaki gibidir.

- 12 ay vadeli İhtiyaç kredisi için aylık % 1,01 kar oranı uygulanmıştır.

İHTİYAÇ KREDİSİ ÖRNEK ÖDEME PLANI

Kredi Hesap No	0	Şube Kodu/Adı	OSMANİYE
VB Müşteri No	111111111	Faiz Oranı (Aylık%)	1,01
Müşteri Adı/Ünvanı	İxxx	Marj Oranı (Yıllık%)	
Kredi Ürün Adı	İhtiyaç Kredisi	Endekslenen Değer	
Kredi Tutarı	100.000,00 TL	BSMV Oranı (%)	5,00000
Kredi Açılış Tarihi	16.08.2020	KKDF Oranı (%)	0,00000
Düzenli Ödeme	Yok	Temerrüt Faiz Oranı (%)	22,10000
Hesap Durumu		Vade Farkı Tutarı	
Vade Süresi(Ay)	12	Peşin Faiz(Katkı Payı)	
İtfa Türü/Tipi	Eşit Taksitli/Sabit İtfa	<u>Peşin Hayat Sigortası Prim Tutarı</u>	
Ödemesiz Dönem Süresi		Bankomat Hesap No	
Ödeme Dönemi Faiz Periyodu	1	IBAN No	
Ödeme Dönemi A.Para Periyodu	1		

Taksit No	Taksit Tarihi	Taksit Tutarı	Faiz	Bsmv	Kkdf	Sigorta	Komisyon	Anapara	Anapara Bakiye
1	17.08.2020	9.004,33	1.010,00	50,50	151,50	0,00	0,00	7.792,33	92.207,67
2	17.09.2020	9.004,33	931,30	46,57	139,70	0,00	0,00	7.886,76	84.320,91
3	19.10.2020	9.004,33	851,64	42,58	127,75	0,00	0,00	7.982,36	76.338,55
4	17.11.2020	9.004,33	771,02	38,55	115,65	0,00	0,00	8.079,11	68.259,44
5	17.12.2020	9.004,33	689,42	34,47	103,41	0,00	0,00	8.177,03	60.082,41
6	18.01.2021	9.004,33	606,83	30,34	91,02	0,00	0,00	8.276,14	51.806,27
7	17.02.2021	9.004,33	523,24	26,16	78,49	0,00	0,00	8.376,44	43.429,83
8	17.03.2021	9.004,33	438,64	21,93	65,80	0,00	0,00	8.477,96	34.951,87
9	19.04.2021	9.004,33	353,01	17,65	52,95	0,00	0,00	8.580,72	26.371,15
10	17.05.2021	9.004,33	266,35	13,32	39,95	0,00	0,00	8.684,71	17.686,44
11	17.06.2021	9.004,33	178,63	8,93	26,79	0,00	0,00	8.789,98	8.896,46
12	19.07.2021	9.004,28	89,85	4,49	13,48	0,00	0,00	8.896,46	0,00
TOPLAM		108.051,91	6.709,93	335,49	1.006,49		0,00	100.000,00	

- 60 ay vadeli Konut kredisi için aylık % 0,83 faiz oranı uygulanmıştır.

KONUT KREDİSİ ÖRNEK ÖDEME PLANI

Kredi Hesap No	0	Şube Kodu/Adı	OSMANİYE
VB Müşteri No	11111111111111	Faiz Oranı (Aylık%)	0,83
Müşteri Adı/Ünvanı	XXXX	Marj Oranı (Yıllık%)	
Kredi Ürün Adı	Konut Kredisi	Endekslenen Değer	
Kredi Tutarı	100.000,00 TL	BSMV Oranı (%)	
Kredi Açılış Tarihi	16.08.2020	KKDF Oranı (%)	
Düzenli Ödeme	Yok	Temerrüt Faiz Oranı (%)	
Hesap Durumu		Vade Farkı Tutarı	
Vade Süresi(Ay)	60	Peşin Faiz(Katkı Payı)	
İtfa Türü/Tipi	Eşit Taksitli/Sabit İtfa	<u>Peşin Hayat Sigortası Prim Tutarı</u>	
Ödemesiz Dönem Süresi		Bankomat Hesap No	
Ödeme Dönemi Faiz Periyodu	1	IBAN No	
Ödeme Dönemi A.Para Periyodu	1		

Taksit No	Taksit Tarihi	Taksit Tutarı	Faiz	Bsmv	Kkdf	Sigorta	Komisyon	Anapara	Anapara Bakiye
1	17.08.2020	2.122,74	1.292,74	0,00	0,00	0,00	0,00	1.292,74	98.707,26
2	17.09.2020	2.122,74	1.303,47	0,00	0,00	0,00	0,00	1.303,47	97.403,79
3	19.10.2020	2.122,74	1.314,29	0,00	0,00	0,00	0,00	1.314,29	96.089,50
4	17.11.2020	2.122,74	1.325,20	0,00	0,00	0,00	0,00	1.325,20	94.764,30
5	17.12.2020	2.122,74	1.336,20	0,00	0,00	0,00	0,00	1.336,20	93.428,10
6	18.01.2021	2.122,74	1.347,29	0,00	0,00	0,00	0,00	1.347,29	92.080,81
7	17.02.2021	2.122,74	1.358,47	0,00	0,00	0,00	0,00	1.358,47	90.722,34
8	17.03.2021	2.122,74	1.369,74	0,00	0,00	0,00	0,00	1.369,74	89.352,60
9	19.04.2021	2.122,74	1.381,11	0,00	0,00	0,00	0,00	1.381,11	87.971,49
10	17.05.2021	2.122,74	1.392,58	0,00	0,00	0,00	0,00	1.392,58	86.578,91
11	17.06.2021	2.122,74	1.404,14	0,00	0,00	0,00	0,00	1.404,14	85.174,77
12	19.07.2021	2.122,74	1.415,79	0,00	0,00	0,00	0,00	1.415,79	83.758,98
13	17.08.2021	2.122,74	1.427,54	0,00	0,00	0,00	0,00	1.427,54	82.331,44
14	17.09.2021	2.122,74	1.439,39	0,00	0,00	0,00	0,00	1.439,39	80.892,05
15	18.10.2021	2.122,74	1.451,34	0,00	0,00	0,00	0,00	1.451,34	79.440,71
16	17.11.2021	2.122,74	1.463,38	0,00	0,00	0,00	0,00	1.463,38	77.977,33
17	17.12.2021	2.122,74	1.475,53	0,00	0,00	0,00	0,00	1.475,53	76.501,80
18	17.01.2022	2.122,74	1.487,78	0,00	0,00	0,00	0,00	1.487,78	75.014,02
19	17.02.2022	2.122,74	1.500,12	0,00	0,00	0,00	0,00	1.500,12	73.513,90
20	17.03.2022	2.122,74	1.512,57	0,00	0,00	0,00	0,00	1.512,57	72.001,33
21	18.04.2022	2.122,74	1.525,13	0,00	0,00	0,00	0,00	1.525,13	70.476,20
22	17.05.2022	2.122,74	1.537,79	0,00	0,00	0,00	0,00	1.537,79	68.938,41
23	17.06.2022	2.122,74	1.550,55	0,00	0,00	0,00	0,00	1.550,55	67.387,86
24	18.07.2022	2.122,74	1.563,42	0,00	0,00	0,00	0,00	1.563,42	65.824,44
25	17.08.2022	2.122,74	1.576,40	0,00	0,00	0,00	0,00	1.576,40	64.248,04
26	19.09.2022	2.122,74	1.589,48	0,00	0,00	0,00	0,00	1.589,48	62.658,56
27	17.10.2022	2.122,74	1.602,67	0,00	0,00	0,00	0,00	1.602,67	61.055,89
28	17.11.2022	2.122,74	1.615,98	0,00	0,00	0,00	0,00	1.615,98	59.439,91
29	19.12.2022	2.122,74	1.629,39	0,00	0,00	0,00	0,00	1.629,39	57.810,52
30	17.01.2023	2.122,74	1.642,91	0,00	0,00	0,00	0,00	1.642,91	56.167,61
31	17.02.2023	2.122,74	1.656,55	0,00	0,00	0,00	0,00	1.656,55	54.511,06
32	17.03.2023	2.122,74	1.670,30	0,00	0,00	0,00	0,00	1.670,30	52.840,76
33	17.04.2023	2.122,74	1.684,16	0,00	0,00	0,00	0,00	1.684,16	51.156,60
34	17.05.2023	2.122,74	1.698,14	0,00	0,00	0,00	0,00	1.698,14	49.458,46
35	19.06.2023	2.122,74	1.712,23	0,00	0,00	0,00	0,00	1.712,23	47.746,23
36	17.07.2023	2.122,74	1.726,45	0,00	0,00	0,00	0,00	1.726,45	46.019,78
37	17.08.2023	2.122,74	1.740,78	0,00	0,00	0,00	0,00	1.740,78	44.279,00
38	18.09.2023	2.122,74	1.755,22	0,00	0,00	0,00	0,00	1.755,22	42.523,78
39	17.10.2023	2.122,74	1.769,79	0,00	0,00	0,00	0,00	1.769,79	40.753,99
40	17.11.2023	2.122,74	1.784,48	0,00	0,00	0,00	0,00	1.784,48	38.969,51
41	18.12.2023	2.122,74	1.799,29	0,00	0,00	0,00	0,00	1.799,29	37.170,22
42	17.01.2024	2.122,74	1.814,23	0,00	0,00	0,00	0,00	1.814,23	35.355,99
43	19.02.2024	2.122,74	1.829,29	0,00	0,00	0,00	0,00	1.829,29	33.526,70
44	18.03.2024	2.122,74	1.844,47	0,00	0,00	0,00	0,00	1.844,47	31.682,23
45	17.04.2024	2.122,74	1.859,78	0,00	0,00	0,00	0,00	1.859,78	29.822,45
46	17.05.2024	2.122,74	1.875,21	0,00	0,00	0,00	0,00	1.875,21	27.947,24
47	17.06.2024	2.122,74	1.890,78	0,00	0,00	0,00	0,00	1.890,78	26.056,46
48	17.07.2024	2.122,74	1.906,47	0,00	0,00	0,00	0,00	1.906,47	24.149,99
49	19.08.2024	2.122,74	1.922,30	0,00	0,00	0,00	0,00	1.922,30	22.227,69
50	17.09.2024	2.122,74	1.938,25	0,00	0,00	0,00	0,00	1.938,25	20.289,44
51	17.10.2024	2.122,74	1.954,34	0,00	0,00	0,00	0,00	1.954,34	18.335,10
52	18.11.2024	2.122,74	1.970,56	0,00	0,00	0,00	0,00	1.970,56	16.364,54
53	17.12.2024	2.122,74	1.986,91	0,00	0,00	0,00	0,00	1.986,91	14.377,63
54	17.01.2025	2.122,74	2.003,41	0,00	0,00	0,00	0,00	2.003,41	12.374,22
55	17.02.2025	2.122,74	2.020,03	0,00	0,00	0,00	0,00	2.020,03	10.354,19
56	17.03.2025	2.122,74	2.036,80	0,00	0,00	0,00	0,00	2.036,80	8.317,39
57	17.04.2025	2.122,74	2.053,71	0,00	0,00	0,00	0,00	2.053,71	6.263,68
58	20.05.2025	2.122,74	2.070,75	0,00	0,00	0,00	0,00	2.070,75	4.192,93
59	17.06.2025	2.122,74	2.087,94	0,00	0,00	0,00	0,00	2.087,94	2.104,99
60	17.07.2025	2.122,46	2.104,99	0,00	0,00	0,00	0,00	2.104,99	
TOPLAM		106.955,65	6.624,43	331,22	0,00		0,00	100.000,00	

- 12 ay vadeli Ticari kredi için aylık % 0,95 kar oranı uygulanmıştır.

TİCARİ KREDİ ÖRNEK ÖDEME PLANI

Kredi Hesap No	0	Şube Kodu/Adı	OSMANİYE
VB Müşteri No	Xxxxx	Faiz Oranı (Aylık%)	1,00000
Müşteri Adı/Ünvanı	iXXX	Marj Oranı (Yıllık%)	
Kredi Ürün Adı	İşletme İhtiyaç Kredisi	Endekslenen Değer	
Kredi Tutarı	100.000,00 TL	BSMV Oranı (%)	5,00000
Kredi Açılış Tarihi	16.08.2020	KKDF Oranı (%)	0,00000
Düzenli Ödeme	Yok	Temerrüt Faiz Oranı (%)	22,10000
Hesap Durumu		Vade Farkı Tutarı	
Vade Süresi(Ay)	12	Peşin Faiz(Katkı Payı)	
İtfa Türü/Tipi	Eşit Taksitli/Sabit İtfa	<u>Peşin Hayat Sigortası Prim Tutarı</u>	
Ödemesiz Dönem Süresi		Bankomat Hesap No	
		IBAN No	
Ödeme Dönemi Faiz Periyodu	1		
Ödeme Dönemi A.Para Periyodu	1		

Taksit No	Taksit Tarihi	Taksit Tutarı	Faiz	Bsmv	Kkdf	Sigorta	Komisyon	Anapara	Anapara Bakiye
1	6.09.2020	8.912,98	1.000,00	50,00	0,00	0,00	0,00	7.862,98	92.137,02
2	6.10.2020	8.912,98	921,37	46,07	0,00	0,00	0,00	7.945,54	84.191,48
3	6.11.2020	8.912,98	841,91	42,10	0,00	0,00	0,00	8.028,97	76.162,51
4	6.12.2020	8.912,98	761,63	38,08	0,00	0,00	0,00	8.113,27	68.049,24
5	6.01.2021	8.912,98	680,49	34,02	0,00	0,00	0,00	8.198,47	59.850,77
6	6.02.2021	8.912,98	598,51	29,93	0,00	0,00	0,00	8.284,54	51.566,23
7	6.03.2021	8.912,98	515,66	25,78	0,00	0,00	0,00	8.371,54	43.194,69
8	6.04.2021	8.912,98	431,95	21,60	0,00	0,00	0,00	8.459,43	34.735,26
9	6.05.2021	8.912,98	347,35	17,37	0,00	0,00	0,00	8.548,26	26.187,00
10	6.06.2021	8.912,98	261,87	13,09	0,00	0,00	0,00	8.638,02	17.548,98
11	6.07.2021	8.912,98	175,49	8,77	0,00	0,00	0,00	8.728,72	8.820,26
12	6.08.2021	8.912,87	88,20	4,41	0,00	0,00	0,00	8.820,26	0,00
TOPLAM		106.955,65	6.624,43	331,22	0,00		0,00	100.000,00	

SONUÇ VE ÖNERİLER

Katılım bankaları esas itibarıyla faiz bankalarının bütün yatırım alternatiflerini kullanamadıklarından dolayı kar payı getirilri faiz getirilerinden bir miktar az olmaktadır. Ancak inanç hassasiyetleri olan kişiler tercihlerini belirlerken az da olsa helal kazancın bereketi olduğuna inanmaktadırlar.

Yatırım yapacak kişiler faiz ve kar payı modelleri ile tercihlerini belirlerken ya helal haram tercihlerini ortaya koymakta veya kazanç kriterlerini ön plana çıkartmaktadırlar. Hangi kriteri ön plana alırsa alsınlar tercihlerini yaparken seçeneklerin neler olduğunun detaylı olarak ortaya konulmuş olması doğru seçim yapılabilmesi açısından önem arz etmektedir. Ayrıca Kredi kullanan kişi veya kurumlar hangi isim adı altında olursa olsun ne tür yükümlülükler imza attıklarını detaylı ve karşılaştırmalı olarak bilmelerinde büyük önem bulunmaktadır. Böylece daha sağlıklı kararlar almış olacaktırlar. Yatırımcı kişilerin inanç hassasiyetleri varsa katılım bankaları arasında tercih yapma durumunda; katılım bankası ortaklarının kişilikleri hakkında bilgi sahibi olmaya çalışması gerekmektedir. Ayrıca yatırım araçlarının neler olduğu konusunda da bilgi sahibi olmaları gerekmektedir.

KAYNAKÇA

- Alkış,A.(2018). "İslam Hukukunda Katılım Bankacılığı Fon Toplama ve Kullandırma Yöntemleri", Al-Farabi Uluslararası Sosyal Bilimler Dergisi Vol. 2/3
- Coşkun,A. (2008). Katılım Bankalarının Bankacılık Sektöründeki Yeri ve Önemi, İstanbul Üniversitesi Sosyal Bilimler Enstitüsü Yüksek Lisans Tezi
- Eskici M.M, (2007) Türkiye’de Katılım Bankacılığı Uygulaması ve Katılım Bankaları’nın Müşteri Özellikleri, Süleyman Demirel Üniversitesi, Sosyal Bilimler Enstitüsü Yüksek Lisans Tezi.
- Güneş,A.(2002). Özel Finans Kurumlarının Performans Açısından Değerlendirilmesi, İnönü Üniversitesi Sosyal Bilimler Enstitüsü Yüksek Lisans Tezi.
- Güngören,M. (2013). Bir Finansal Enstruman Olarak Sukuk Katılım Bankalarına Uyum Modellemesi, İstanbul Ticaret Odası Yayınları, Yayın No:2012-38
- Kalaycı,İ.(2013). "Katılım Bankacılığı: Mali Kesimde Nasıl Bir Seçenek", Uluslararası Yönetim İktisat ve İşletme Dergisi, Cilt 9, Sayı 19

- Kazak,H.-Erkan,H.-Yazıcıoğlu,İ.E.-Okka,O.(2018).“İslami Finans Açısından Katılım Bankalarının Fon Kullandırma Yöntemlerinin Gelişimi Ve Bugünkü Durumu: Türkiye’de Faaliyet Gösteren Katılım Bankaları Açısından 2018 Yılı İtibariyle Durum Analizi” Human Society And Education İn The Changing World. Palet Yayınları
- Özgür,E.(2007). Katılım Bankalarını Finansal Etkinliği ve Mevduat Bankaları İle Rekabet Edebilirliği, Afyonkarahisar Kocatepe Üniversitesi Sosyal Bilimler Enstitüsü Doktora Tezi.
- Özulucan,A.-Deran,A.(2009). “Katılım Bankacılığı İle Geleneksel Bankaların Bankacılık Hizmetleri ve Muhasebe Uygulamaları Açısından Karşılaştırılması” Mustafa Kemal Üniversitesi Sosyal Bilimler Enstitüsü Dergisi Yıl : 2009 , Cilt : 6 , Sayı :11, 85-108
- Pehlivan,P.(2016). “Türkiyede Katılım Bankacılığı ve Bankacılık Sektöründeki Önemi”, Selçuk Üniversitesi İktisadi ve İdari Bilimler Fakültesi Sosyal Ekonomik Araştırmalar Dergisi Nisan 2016 , Sayı:31
- Sucu,Ö.(2019). Katılım Bankaları İle Mevduat Bankalarının Finansal Performansı Üzeride Etkili Olan Faktörlerin Belirlenmesi: Türk Bankacılık Sektörü Üzerine Bir Araştırma, İstanbul Üniversitesi Sosyal Bilimler Enstitüsü Yüksek Lisans Tezi
- Sümer,G.-Onan,M. Dünyada Faizsiz Bankacılığın Doğuşu, Türkiyedeki Katılım Bankacılığının Gelişme Süreci ve Konvansiyonel Bankacılıktan Farkları, <https://web.karabuk.edu.tr/muratyildirim/makale.pdf> Erişim Tarihi 01.09.2020
- Uludağ, İ. (1992). Uluslararası Sistem İçerisinde İslam Bankacılığı, İslam Ekonomisinde Finansman Meseleleri, İstanbul: Ensar Neşriyat.

Agriculture versus Environment: The New Evidences from Fourier Toda Yamamoto Causality Test

Sinan Erdoğan¹

¹Department of Economics, Faculty of Economics and Administrative Sciences, Hatay Mustafa Kemal University, 31060 Hatay, Turkey. E-mail: phderdogan@gmail.com, Orcid: 0000-0003-3491-8234

Abstract: The determinants of environmental pollution are one of the contemporary issues for researchers due to rising concerns about global warming. Within this regard, agriculture-environment nexus is one of the significant topics gaining the interest of researches in recent. The main of this paper is to examine causal relationships between agriculture and the environment in Turkey by using the Toda-Yamamoto method with a Fourier function. The empirical results are as follows: (a) there is no causal effect from agriculture to environmental pollution, (b) there is a causal effect from environmental pollution to agriculture. Therefore, agriculture does not pose a risk to environmental pollution, whereas environmental pollution may pose a risk to agriculture. The policymakers should focus on preventing the risks of global warming on agriculture; thus, possible scarcity risks can be prevented.

Keywords: Agriculture, Agricultural Value Added, Environmental Pollution, Fourier Toda-Yamamoto

Introduction

The rapid economic growth has caused the concentration of greenhouse gas emissions (GHGs) in the atmosphere since the Industrial revolution. In recent, it has estimated that the concentration of GHGs approached approximately 40% (European Commission, 2019). The unprecedented increase of GHGs has inevitably caused global warming, and the effects of climate change on nature and human life have been more felt recently. Due to climate change, oceans have been melting, natural habitats have been destroying, some of the species has extinct. World Health Organization (2016) reported that 25% of total deaths are occurred because of environmental pollution. In this regard, environmental pollution causes nearly 12.6 million deaths every year.

The environmental pollution has economic costs, particularly on agriculture, as well as its environmental cost. Global warming has economic costs as well as its environmental cost. Nearly 2% of global GDP is lost each year because of an unhealthy environment. In particular, environmental pollution affects the agriculture sector by reducing yield because of extraordinary weather events and climate conditions. Within this scope, it is estimated that climate change may cause to decline 30% of agricultural yield, which means to become poor of 500 million farmers (The Intergovernmental Panel on Climate Change, 2018; World Economic Forum, 2019).

Due to its vitality for the sustainability of human life, interactions between environmental pollution and agriculture has attracted the interests of researchers, and there is a growing literature on this research field. Asumadu-Sarkodie and Owusu (2016) investigated the nexus between agriculture and environmental degradation by employing Autoregressive Distributed Lag (ARDL) method and reported mixed results. Dogan (2016) evidenced that agriculture has a negative effect on the environment in Turkey by the ARDL method. Asumadu-Sarkodie and Owusu (2017) evidenced that increase in crop production reduces the environmental pollution in Ghana by employing statistically inspired modification of partial least squares. Gokmenoglu and Taspinar (2018) examined agriculture-environment nexus in Pakistan by employing Fully Modified Ordinary Least Squares (FMOLS) and reported the positive effect agriculture on environmental pollution. Agboola and Bekun (2019) investigated the role of agriculture on environmental pollution in Nigeria by employing the ARDL model and confirmed the positive effect of agriculture on environmental pollution. Gokmenoglu, Taspinar, and Kaakeh (2019) unveiled the positive role of agriculture on environmental pollution in China by using the ARDL method. Aziz, Sharif, Raza, and Rong (2020) evidenced the negative effect of agriculture on environmental pollution by employing Quantile ARDL method in Pakistan.

It can be said that there is no consensus on the effect of agriculture on environmental pollution, and limited studies were conducted for Turkey. To create a sustainable environment and agriculture policies, understanding how agriculture and environment interact is crucial. Therefore, this study is conducted to unveil causal linkages between environment and agriculture in Turkey from 1960 to 2016 by utilizing the Toda-Yamamoto test with a Fourier function proposed by Nazlioglu, Gormus, and Soytas (2016) and contribute to the existing body of research.

Data, Methodology and Empirical Results

The data for carbon emissions (CO₂) and agricultural value added (% GDP) were obtained from the World Bank (2020). The environmental pollution was proxied by CO₂, while agriculture was proxied with agricultural value-added. The data covers the period from 1960 to 2016. We employed the causal linkages between agriculture and environment by using the Fourier Toda-Yamamoto test proposed, and the theoretical background of this methodology can be explained as follows. The Fourier Toda-Yamamoto approach is simply the extension of the test proposed by Toda and Yamamoto (1995) and gradually models possible structural shifts by utilizing Fourier functions. Therefore, there is no need to have preliminary information on the date and form of the structural shift in the data (Durusu-Ciftci & Nazlıoğlu, 2019; Nazlıoğlu et al., 2016). Moreover, the Fourier Toda-Yamamoto approach utilizes bootstrap methodology to estimate robust test statistics, therefore, consistent estimations can be made in the case of non-stationarity of the variables and existence of cointegration. The data generation process includes the structural change in constant can be shown as follows:

$$y_t = \alpha(t) + \beta_1 y_{t-1} + \dots + \beta_{p+d} y_{t-(p+d)} + \varepsilon_{8t} \quad (1)$$

where $\alpha(t)$ is a function of time and shows the structural change in the dependent variable. The Fourier expansion of the Eq. 1 is as follows:

$$\alpha_t = \alpha_0 + \sum_{k=1}^n \gamma_{1k} \sin(2\pi kt/T) + \sum_{k=1}^n \gamma_{2k} \cos(2\pi kt/T) \quad (2)$$

where n is the number of frequencies. The Eq. 2 can be expanded by including frequency as follows:

$$\alpha_t = \alpha_0 + \gamma_1 \sin(2\pi kt/T) + \gamma_2 \cos(2\pi kt/T) \quad (3)$$

where k is the number of Fourier frequency. The main form of Fourier Toda-Yamamoto can be shown as follows by using Eq. 1 and 3:

$$y_t = \alpha_0 + \gamma_1 \sin(2\pi kt/T) + \gamma_2 \cos(2\pi kt/T) + \beta_1 y_{t-1} + \dots + \beta_{p+d} y_{t-(p+d)} + \varepsilon_{8t} \quad (4)$$

The Fourier Toda-Yamamoto test results were reported in Table 1. According to the results, on the one hand, the null hypothesis of “agriculture does not cause environment” accepted a 5% significance level under asymptotic distribution and bootstrap distribution, and there is no causality running from agriculture to environmental pollution. Therefore, agriculture may not pose any risk to ecological sustainability. On the other hand, the null hypothesis of the “environment does not cause agriculture” is rejected at a 5% significance level under asymptotic distribution and bootstrap distribution, and there is a causal effect from environmental pollution to agriculture. Therefore, environmental pollution may pose significant risks for the sustainability of agricultural activities. This finding confirms the projection of the World Economic Forum (2019). It can be said that the increase of environmental pollution may both diminish the agricultural output and agricultural employment rates; hence, the Turkish economy has to address both scarcity and unemployment in the future. Indeed, domestic immigration may mount up because of the perish of agricultural areas and loss of jobs, hence, urban unemployment may raise, which in turn causes inequalities and social unrest.

Table 1: Fourier Toda-Yamamoto Causality Test Results

Hypotheses	Wald Stat.	Asymptotic Probability	Bootstrap Probability	Optimal Frequency	Optimal Lag
Agriculture does not cause environment	0.128	0.721	0.718	3	1
Environment does not cause agriculture	6.204	0.013	0.028	3	1

Conclusion

The primary objective of this research is to investigate the causal linkages between agriculture and environment in Turkey from 1960 to 2016 by employing recently developed causality test. We confirmed the existence of causality from environmental pollution to agriculture, whereas we did not observe any causal effect running from agriculture to environmental pollution.

The policymakers should focus on diminishing environmental pollution to prevent any decrease of agricultural value added and agricultural output. In this regard, implementation of emission abatement commitments in international treaties such as Kyoto Treaty, Sustainable Development Goals can be effective policies. Besides, extending clean energy use in agriculture is another policy option. Clean energy can diminish fossil-fuel based pollutants and contribute to achieve clean energy aim of Sustainable Development Goals.

References

- Agboola, M. O., & Bekun, F. V. (2019). Does agricultural value-added induce environmental degradation? Empirical evidence from an agrarian country. *Environmental Science and Pollution Research*, 26(27), 27660-27676.
- Asumadu-Sarkodie, S., & Owusu, P. A. (2016). The relationship between carbon dioxide and agriculture in Ghana: A comparison of VECM and ARDL model. *Environmental Science and Pollution Research*, 23(11), 10968-10982.
- Asumadu-Sarkodie, S., & Owusu, P. A. (2017). The impact of energy, agriculture, macroeconomic and human-induced indicators on environmental pollution: evidence from Ghana. *Environmental Science and Pollution Research*, 24(7), 6622-6633.
- Aziz, N., Sharif, A., Raza, A., & Rong, K. (2020). Revisiting the role of forestry, agriculture, and renewable energy in testing environment Kuznets curve in Pakistan: evidence from Quantile ARDL approach. *Environmental Science and Pollution Research*, 27, 10115-10128.
- Dogan, N. (2016). Agriculture and Environmental Kuznets Curves in the case of Turkey: evidence from the ARDL and bounds test. *Agricultural Economics*, 62(12), 566-574.
- Durusu-Ciftci, D., & Nazlioglu, Ş. (2019). Does Income Converge in Turkey? an Empirical Assessment. *Ege Akademik Bakış Dergisi*, 19(1), 15-32.
- European Commission. (2019). Causes of climate change. Retrieved from https://ec.europa.eu/clima/change/causes_en
- Gokmenoglu, K. K., & Taspinar, N. (2018). Testing the agriculture-induced EKC hypothesis: the case of Pakistan. *Environmental Science and Pollution Research*, 25(23), 22829-22841.
- Gokmenoglu, K. K., Taspinar, N., & Kaakeh, M. (2019). Agriculture-induced environmental Kuznets curve: the case of China. *Environmental Science and Pollution Research*, 1-15.
- Nazlioglu, S., Gormus, N. A., & Soytaş, U. (2016). Oil prices and real estate investment trusts (REITs): Gradual-shift causality and volatility transmission analysis. *Energy Economics*, 60, 168-175.
- The Intergovernmental Panel on Climate Change. (2018). Global warming of 1.5°C. Retrieved from https://report.ipcc.ch/sr15/pdf/sr15_spm_final.pdf
- Toda, H. Y., & Yamamoto, T. (1995). Statistical inference in vector autoregressions with possibly integrated processes. *Journal of econometrics*, 66(1-2), 225-250.
- World Bank. (2020). World Development Indicators. Retrieved from <https://databank.worldbank.org/source/world-development-indicators#>
- World Economic Forum. (2019). If we fight climate change properly, it could inject \$7 trillion into the economy. Retrieved from <https://www.weforum.org/agenda/2019/09/climate-change-7-trillion-global-economy/>
- World Health Organization. (2016). Preventing disease through healthy environments: A global assessment of the burden of disease from environmental risks. Retrieved from https://apps.who.int/iris/bitstream/handle/10665/204585/9789241565196_eng.pdf;jsessionid=DAEF5D62ACC74684310D50C3CC67174B?sequence=1.

The Role Of Market Orientation On Business Performance: An Empirical Analysis Within Retail Sector in Turkey

Şahnaz Ekşioğlu¹

Assistant Prof. Dr. Aslı Tolunay²

¹Yeditepe University / Graduate School of Social Sciences, Business Administration Department, Marketing PhD Student, sahnaz.eksioglu@yeditepe.edu.tr, ORCID: 0000-0001-8141-4982

² Yeditepe University / Graduate School of Social Sciences, Business Administration Department, asli.kuscu@yeditepe.edu.tr, ORCID: 0000-0003-3856-8518

Abstract: In today's competitive environment, businesses constantly innovate and improve themselves in the face of necessity and they are in a new quest to survive. Therefore, only firms that adapt to the market conditions and changes in the business subsist. At this point firms need an understanding of marketing approach that rely on a broad base of consumer knowledge. Retail is one of the most important sectors, which gives direction to the economy. However, exchange rate fluctuations, tax rates and policies affect the sector in a negative way. Within this scope, market orientation practices gain importance for firms in the sector. Market orientation generates organizational culture, which monitors customers and competitors, targets customer satisfaction ensuring coordination among all departments. When firms accept market orientation, they work to guarantee consumer satisfaction and all their activities are expected to be compatible with the conception of modern marketing (Kohli & Jaworski, 1990).

In the present study, main goal was to assess the relation between market orientation factors, namely, customer orientation, competitor orientation and inter-functional coordination (Narver and Slater, 1990) and business performance within top 100 retail sector service companies in Turkey listed in Perapost journal. With this aim, data was collected through a questionnaire from 510 participants that are middle and upper level managers of the strategic business units in the top 100 retail service firms in Turkey. Financial indicators namely sales growth rate and market share were used in measuring business performance and Logistic Regression analyses were employed to identify factors that identify which aspects of market orientation are highly influential in generating market share and sales growth in service companies. Findings of the study demonstrate significant correlation with customer orientation and sales growth rate; however, competitor and inter-functional orientation show no relation with the performance measures indicating the value of customer relationships in services in creating financial outcomes. The study's concentration on different service sectors further strengthens the generalizability of the findings.

In conclusion, this study aims to contribute relevant literature by presenting a comprehensive literature review and to provide a base for future works for various sectors in Turkish economy. Based on the research findings, it is recommended that market orientation centered around customers is a beneficial organizational culture for retail companies to adopt. Further this work remarks that there is a difference in business operations and social structure features of emerging markets and advanced markets. That's why applicability of market orientation in the form of competitor and inter-functional orientation as a competitive advantage may be less in emerging markets. Finally, it can be highlighted that unfair competition, limited resources infrastructure and environmental uncertainty can be cited as major impediments to the development process of market orientation.

Keywords: Market Orientation, Business Performance, Logistic Regression

1. INTRODUCTION

In today's competitive environment, businesses constantly innovate and improve themselves in the face of necessity and they are in a new quest to survive. There is a big competition among firms and firms work hard to establish a market presence. Therefore, only firms that adapt to the market conditions and changes in the business subsist. Within this background, customer satisfaction has come to the forefront. At this point firms need an understanding of marketing approach that rely on a broad base of consumer knowledge.

Market orientation generates organizational culture, which monitors customers and competitors, targets customer satisfaction ensuring coordination among all departments. When firms accept market orientation, they work to guarantee consumer satisfaction and all their activities are expected to be compatible with the conception of modern marketing (Kohli & Jaworski, 1990). Particularly, market orientation begins to find a place in the literature since 1990s and various research have been made in many industries and countries. The work done in these years can be classified as in two directions. The first concentrates on the theoretical background and antecedents of market orientation, which includes interaction between departments and its role within the organization systems (Matsuno et al., 2002). The second, on the other hand, puts its attention

on the consequences of market orientation which can be stated as its effect on performance, its connection with variables such as customer satisfaction, innovation and employee outcome and scales that analyze market orientation (Narver & Slater, 1990; Kirca et al., 2005; Bayraktar et al., 2017).

Retail is one of the most important sectors which gives direction to the economy. Turkey has a dynamic and growing population. Due to the population growth, rapid urbanization and strong purchasing power; young population is more eager in spending which provides significant opportunities for progress in the retail sector. It can be stated that retail is a fast-expanding modern market, which quickly adapts the innovations. However, exchange rate fluctuations, tax rates and policies affect the sector in a negative way. In this context, retailers seek for sales and long-term investments instead of high profitability. Within this scope, market orientation practices gain importance for firms in the sector. Present study aims to examine retail sector firms in Turkey in terms of the relation between market orientation factors, namely, customer orientation, competitor orientation and inter-functional coordination (Narver and Slater, 1990) and business performance. Furthermore, contrary to previous literature financial indicators are used in measuring business performance in this study.

2. THEORETICAL MODEL AND HYPOTHESIS

Market is a place, where existing and potential buyers' needs are satisfied through exchange of the product (Kotler et al., 1999). According to the understanding of the market, marketing is a factor which is conducted by fulfilling changes of human requests and satisfying them (Kotler et al., 1999). Marketing scholars and practitioners discussed marketing as a topic since 1950's (Gray & Hooley, 2002). As the marketing concept developed to the modern marketing thought during the 1970's, instead of selling and earning more, the necessity to pay more attention to customers has begun to be discussed. Hence, eventually this principle has been accepted as a basic guide in the marketing concept and during the 1990's market orientation started to become significant in marketing exercises. With time, customer perception becomes one of the most important value for companies. Companies are experiencing the pace of change and realize that customers' requirements and wishes would get changed. This process directs companies to be market oriented.

2.1. Approaches of Market Orientation

Within the process, market orientation is addressed by several scholars under different approaches. Shapiro (1988) considers the issue as organizational decision-making period of a firm regarding time and demand of the market. It is described as the process where company employees gather up-to-date information about competitors and customers continuously, after spreading this fund of market knowledge to relevant departments and departments evaluation phase to satisfy customer needs.

In their work, Kohli & Jaworski (1990) define market orientation as execution of marketing orientation and whole organizational activities is for understanding customers' expectations and needs, satisfying and giving high level of importance to customers. By looking at behavioral perspective, it can be said that this view supports information processing and emphasizes inter-functional coordination.

Ruekert (1992) makes interpretation on market orientation from a strategic viewpoint. Regarding the researcher, the market orientation of the business unit level depends on obtain and analyze of consumer information, enhancing strategies in response to necessities of buyers and degree of the implementation of the strategies.

Deshpande and Webster (1989) describe market orientation as values which are part of organizational culture and marketing concept. Thereafter, Deshpande et al. (1993) state that customer orientation provides long term profitability by holding the interests of customers at the forefront and at the same time it is a set of belief that look after the interests of owners, managers and employees.

Cultural approach states that to provide superior value to customers, organizations endeavor to create corporate culture, which generates superior goods and services, and offer outstanding value to customers (Narver & Slater, 1990; Webster, 1993; Avlonitis, 1993; Hurley & Hult 1998; Gebhardt, Carpenter & Sherry 2006). Based upon cultural approach, market orientation is studied under three main factors which are customer and competitor orientation as well as interfunctional coordination along with two decision criteria which are focus on long term and profitability (Narver & Slater, 1990, Kibbeling et al., 2013).

At last, market orientation approach is evaluated deeply by Narver & Slater (1990) and is defined as understanding customers ideally to satisfy them now and in the future. Customer orientation begins with the companies learning of customers' needs and wants and after developing and implementing a strategy to meet them (Shapiro, 1988; Appiah-Adu & Singh, 1998).

2.2 Market Orientation and Firm Performance

All businesses are established to fulfill specific objectives and tasks. Performance can be identified as an outcome of a company, representing its goals and missions and measuring productivity most correctly. Nonetheless, measuring performance of organization is difficult. For this reason, this subject is investigated widely in the literature and is measured by either financial or nonfinancial measures or in some instances, by both. This study identifies business performance with percentage of sales growth and market share growth.

Narver and Slater (2000) state that, customer value is provided when business profits of the products and services exceed the spending offered to the customers. Within the idea of the scope of customer-oriented marketing, to achieve positive performance, creating value for customers' interest is crucial for companies (Alhakimi & Baharun, 2009).

There are papers that took market orientation as a whole and analyze its influence on various aspects such as financial and innovative performance of the firm into consideration (Bulut et al., 2009); nonetheless, market orientation is a multi-dimensional notion. Moreover, considerable research demonstrates that firms succeed more when they adopt both customer and competitor orientation (Narver & Slater, 1990; Deshpande et al., 1993; Jaworski & Kohli, 1996; Sorensen, 2009; Hilman & Kaliappen, 2014; Adam & Syahputra, 2016). Customer orientation is identified as "the sufficient understanding of customers to create value for them" (Narver & Slater, 1990). In the course of time, customer orientation comprises all practices of an organization that generates corporate culture based upon customer satisfaction (Slater & Narver, 1995). By listening to customers, employees get motivated to focus more on external environment and by sharing collected information about customers inside the organization; they promote other employees (Reed et al., 2016). This attitude can foster firm performance through increasing revenue, investment returns, sales increase and rise in market share (Narver & Slater, 1990; Day, 1994; Frösen et al., 2016). Recently, Bayraktar et al. (2017) state that customer satisfaction can lead to high business performance. Thus, it can be hypothesized that;

- H1: Customer orientation positively and directly affects (a) percentage of sales growth, (b) market share growth of firms

Competitor orientation is the sum of the activities that includes observing current actions of existing and potential competitors, knowledgeable about their products and services and understanding their future activities (Narver & Slater, 1990; Hong et al., 2013; Wang & Chung, 2013). Focusing on competitors provides firms the opportunity to improve strategies and to respond quickly to the actions of competitors also by improving their products and services, offering lower prices and different product features which increase firm performance (Day & Wensly, 1988; Narver & Slater, 1990).

Within the process certain studies support competitor orientation and performance relation within the organizations. In their work Greenly (1995) and Harris (2001) first specify combined effect between market orientation and competitor orientation and later significant relations among performance and market orientation. Moreover, there are studies, which support competitor orientation as a strong determiner of business performance indicators (Dowes, 2000; Wang & Miao, 2015). On that account it can be hypothesized that;

- H2: Competitor orientation positively and directly affects (a) percentage of sales growth, (b) market share growth firms

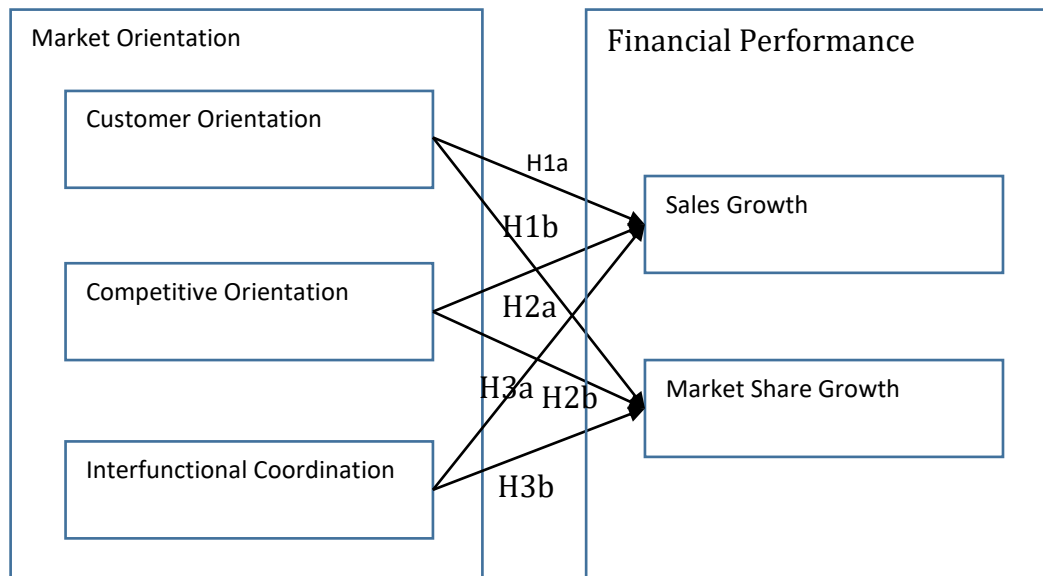
Interfunctional coordination can be explained as adopting to serve customers in a best way by providing enhanced communication network between all departments and coordination of company resources in the organization (Narver & Slater; 1990; Auh & Menguc, 2005; Wang & Chung, 2013). In another words, inter-functional coordination comprises internal communication between the organization and other functional units not only marketing and management units. This approach enables accessibility of data considering consumers and competitors to all members' organization members and provide firms to generate outstanding value to customers (Narver & Slater, 1994).

In their work, Shargill & Nargundkar (2005) research Indian small manufacturing firms and find a relation among market orientation factors and performance. Moreover, Balas et al. (2014) remark that relationship between interfunctional coordination and firm performance is significant in-service firms in the US. Therefore, it can be hypothesized that;

- H3: Inter-functional coordination positively and directly affects (a) percentage of sales growth, (b) market share growth of firms.

The theoretical model of the study is stated in Figure 1.

Figure 1.. Research Model



3. METHOD AND DATA

3.1 Research Design

In the present study, retail sector is analyzed. The list of retail sector firms is taken from the study of Perapost Journal and CRIF Company. This study does not focus on certain categories in the retail sector. It includes firms in different sub-categories, which strengthens the generalizability of the findings. The categories of the firms included in the list can be stated as food, electronics, apparel, it, furniture, jewelry and construction.

Likert scale is used in assessing questions considering market orientation. The administered survey had two parts. First part was about understanding demographics information and the second part was related with market orientation factors. The survey was first officially translated from English to Turkish language and then back translated from Turkish to English to increase face validity. After being pre-tested with a small sample (n = 44) to eliminate unnecessary and confusing items, the questionnaire was sent to middle and upper level executives working in especially human resources, marketing, research development, product development, sales and finance departments of retail companies in the first 100 ranking. The purpose was to choose a reasonable number of managers from the population who represent the sector and all units in the population.

To measure the performance of the company rather than a subjective measure, objective measures were used. Thus, performance of the firm is covered by the sales growth rate and market share rate of the companies. Sector, size and age of companies are regarded as control variables in the study.

After cleaning the data, the usable sample was 509 employees with different demographics who evaluated their companies based on market orientation factors. SPSS 25.0 was used in data analysis and exploratory factor and reliability analyses were followed by logistic regression analysis.

3.2 Data Analysis

3.2.1. Exploratory factor and reliability analyses

In quantitative analysis where questionnaire is used for data collection, before any analysis of the data is carried out, it is highly recommended to apply validity and reliability tests. The scales used in the questionnaire are adapted from literature and exploratory factor and reliability analyses are used to test the factor structure and internal consistency.

Hence, an exploratory factor analysis is conducted to test the dimensionality of market orientation classified as three factors in the model. Firstly, Kaiser Meyer Olkin (KMO) and Bartlett’s tests showing the suitability of sample data for factor analysis are done and produced appropriate outcomes (KMO = 0.925, Bartlett = .000) The first question under inter-functional heading is excluded since a score is below 0.5 in anti-image correlation matrix and factor analysis are repeated. The factor analysis produced 3 factor structures with a Kaiser-Meyer-Olkin measure of 0.925, which shows 15 items with medium (> 0.616) to high (< 0.824) factor loadings and accounts for 65.9 percent of the total variance.

After constituting factors, reliability analysis is done for each factor. Cronbach’s alpha coefficient is expected to be above 0,7 (Nunnally, 1978). In this stage, Cronbach’s alpha scores are compared and one question lowering the Cronbach’s alpha scores is excluded. Later factor analysis is repeated. Reliability analysis is done for 3 factors and the alpha scores ranged from 0.821 to 0.869 showing that the scale used in this study is acceptable and reliable.

Table 1: Factor and reliability results

Factors	Factor Loadings	Factor %	Cronbach’s alpha	Q
Customer Orientation	0,824	26,10%	0,862	m1
	0,805			m2
	0,753			m3
	0,772			m4
	0,634			m5
Competitor Orientation	0,713	19,15%	0,821	r1
	0,82			r2
	0,818			r3
	0,726			r4
Interfunctional Coordination	0,616	21,64%	0,869	d2
	0,754			d3
	0,82			d4
	0,633			d5
	0,8			d6

In order to analyze and compare the direct relationship of each factor, item-to-item correlations is examined. The results are shown in Table 2. There are several correlations above 0.5 among the independent variables, implying that there is a risk of multi-collinearity when testing the hypothesis in a logistic regression model.

Nonetheless, no items are dropped, and they are checked according to other criteria of correlation.

Table 2: Correlation table of market orientation parameters

		Customer Orientation Avg.	Competitor Orientation Avg.	Interfunctional Coordination Avg.
Customer Orientation Avg.	Pearson Correlation	1	,419**	,665**
Competitor Orientation Avg.	Pearson Correlation	,419**	1	,496**
Interfunctional Coordination Avg.	Pearson Correlation	,665**	,496**	1

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

3.2.2. Logistic Regression

Logistic regression is a type of regression with and metric or nonmetric independent variables and a binary dependent variable, with values 0 and 1 representing groups. Logistic regression is specifically designed to predict the likely probability of an event. There is no need for independent variables to be normally distributed and equality for the collinearity, variance & covariance matrices. During the evaluation of variables, it is observed that logistic regression is best suited for this data.

In logistic regression analysis, customer orientation is symbolized as M_avr1, competitor orientation as R_avr1 and interfunctional coordination as D_avr1. Performance indicators, which include net sales growth and market share growth, are the dependant variables of the study. In the encoding of net sales growth, 1 represents growth in sales and 0 represents decline in sales. On the other hand, 1 represents growth in market share and 0 represents reduction of market shares in the encoding of market share growth. Two models with these dependent variables measuring firm performance are run and interpreted separately.

During analysis, it is observed that when M_avr1 is added to the model, there is increase in the predicted level and ratio becomes 78,9 %. Customer orientation occurs significance change ($p = 0,047$) in net sales growth. Secondly, R_avr1 is included to model and predicted level declines and ratio becomes 73,7 %. Competitor orientation generates significant change ($p = 0,094$). In other respects, results demonstrate that interfunctional coordination is not effective in the likelihood of change. After all, analyze points out that the likelihood of the success is supported by customer and competitor orientation. When the table is investigated in detail, it can be stated that based on Cox & Snell R Square result, M_avr1 and R_avr1 explains the variance of net sales growth by % 9,1.

Table 3: Omnibus test on model coefficients

		Chi-square	Df	Sig.
Step 1	Step	4,180	1	,041
	Block	4,180	1	,041
	Model	4,180	1	,041
Step 2	Step	3,112	1	,078
	Block	7,292	2	,026
	Model	7,292	2	,026

Table 4: Summary of the intended model

Step	-2 Log likelihood	Cox & Snell R Square	Nagelkerke R Square
1	76,613 ^a	,054	,082
2	73,501 ^a	,091	,140

a. Estimation terminated at iteration number 5 because parameter estimates changed by less than ,001.

When the classification table below is investigated, it is seen that failure ratio is more than success, which means it first categorizes failure and searches the possibility of failure of market share growth on market orientation outputs. It is observed that out of 76 firms there is decline in 63 firms' market share growth. These results are quite the opposite of our other dependent variable, which is net sales growth.

Thereafter, M_avr1, R_avr1 and Davr1 are added to the model. It is observed that the model removes all predictor variables as M_avr1, R_avr1 and D_avr1 from the analysis. After analysis, it is observed that none of the market orientation dimensions shows significance change in the market share growth.

Table 5: Demonstration of market share growth classification tablea,b (positive/1 or negative/0)

Observed		Predicted		
		MarketShareGrowth category		Percentage Correct
		,00	1,00	
Market Share Growth category	,00	63	0	100,0
	1,00	13	0	,0
Overall Percentage				82,9

Table 6: Variables not in the equation.

			Score	df	Sig.
Step 0	Variables	Customer Orientation Avg.	,976	1	,323
		Competitor Orientation Avg.	1,630	1	,202
		Interfunctional Coordination Avg.	,809	1	,368
	Overall Statistics		5,181	3	,159

In conclusion, based on the logistic regression analyses, H1a and H2a are supported. Analysis results demonstrate that customer and competitor orientation have positive effects on firm performance, as well as on sales growth ($p = 0,047$; $p = 0,094$). Further, when control variables are added to analysis; both firm size and firm age shows positive relationship with the sales growth ($p = .029$; $p = 0,095$).

Table 7: Demonstration of hypothesis results

Hypothesis	P Value	Results
H1a: Customer orientation positively and directly affects percentage of sales growth of firms	0.047*	Accepted
H1b: Customer orientation positively and directly affects percentage of market share growth of firms	0.323	Rejected
H2a: Competitor orientation positively and directly affects percentage of sales growth of firms	0.094**	Accepted
H2b: Competitor orientation positively and directly affects percentage of market share growth of firms	0.202	Rejected
H3a: Inter-functional coordination positively and directly affects percentage of sales growth of firms	0.553	Rejected
H3b: Inter-functional coordination positively and directly affects percentage of market share growth of firms	0.368	Rejected
* At $p < 0.05$ level		
** At $p < 0.10$ level		

4. RESULTS, DISCUSSIONS AND SUGGESTIONS

In the current study, retail sector is investigated with the report of Perapost journal, which demonstrates top 100 list of retail firms in Turkey. When the list is examined in detail, it can be stated that grocery dominates retail sector in Turkey. There are strong domestic players in the domestic retail sector as BIM and Migros. Although grocery is the main retail sector in Turkey, other segments such as apparel, consumer electronics and e-commerce are worth considering in terms of their size and dynamism.

The purpose of this work is to analyze the impact of market orientation factors on organization performance in retail industry. Although significant relation is expected, analysis shows a relatively weak correlation between the variables. In terms of the explanatory power, the overall model clarifies 9,1 % of variance in firm performance. Regarding to these findings, this study demonstrates that two dimensions of market orientation (i.e., customer and competitor orientation) have significant effect on firm performance (i.e., sales growth).

This research is in line with previous studies, which specify important relation with customer and competitor orientation and firm performance (Hilman & Kaliappen, 2014; Adam & Syahputra, 2016). Further, a similar and positive result is obtained respectively in the United States SMEs (Balakrishnan, 1996), United Kingdom retail sector firms (Appiah-Adu & Satyendra, 1998; Sing & Ranchod, 2004), Malaysia SMEs (Mokhtar et al., 2014), and Accra metropolis manufacturing SMEs (Mensah & Issau, 2015). Interestingly, none of the factors of market orientations have any relation with firm performance (i.e., market share growth). In brief, results from logistic regression analysis emphasize the growing importance of customer and competitor orientation in retail sector influencing sales performance; however, interfunctional coordination is contrary to what is expected.

Additionally, this work provides important contributions to the literature. Primarily, market orientation is a beneficial organizational culture for retail companies to adopt. In their work, Wang & Miao (2015) study market orientation dimensions on sales force process and clarify the importance of competitor orientation effects on sales. As a second implication, this study enables some support to Sheth's (2011) remarks that there is a difference in business operations and social structure features of emerging markets and advanced markets. That's why applicability of market orientation as a competitive advantage is less in emerging markets. As a third implication, it can be highlighted that unfair competition, limited resources infrastructure, environmental uncertainty and rise of quotation can be cited as major impediments to the developmental period of market orientation (Siddique, 2014). And finally, quantitative methods used as a performance indicator are used less in market orientation studies.

The limitations of the study dominate future research. In the literature, market orientation is studied as an aggregate construct rather than a multidimensional one. Further, future studies should broadly focus direct and mediated effects of market orientation factors on performance (Lukas & Ferrell, 2000; Tsiotsou, 2010). In line with the view, this work holds data collected in Turkish retail sector firms only. In his study, Sheth (2011) states that market concepts can be changed in emerging markets when compared with established markets which is supported with the findings of the study. Further, it can be stated that data obtained from Turkish retail sector firms may not be representative for other industries and countries. This calls for future studies to combine data from different sector and diverse country settings. Moreover, in order to observe the real effect of market orientation, future studies can examine retail sector firms with longitudinal study.

REFERENCES:

- Adam, M. & Syahputra H., 2016. Creating Market Orientation and Business Culture to Increase SMEs Performance in Aceh, Indonesia. *DLSU Business and Economics Review*. 26(1), pp. 81-91
- Alhakimi, W., & Baharun, R., 2009. A Synthesis Model of Market Orientation Constructs Toward Building Customer Value: A Theoretical Perspective, *African Journal of Marketing Management*. 1(2), pp. 43- 49.
- Appiah-Adu, K., & Satyendra, S., 1998. Customer orientation and performance: A study of SMEs. *Management Decision*. pp. 385-394.
- Appiah-Adu, K., & Singh, S., 1998. Customer orientation and performance: A study of SMEs. (small and medium-sized businesses). *Management Decision*. 36(5-6), 385(310).
- Auh, S., & Menguc, B., 2005. Balancing exploration and exploitation: The moderating role of competitive intensity. *Journal of Business Research*. 58(12), pp. 1652-1661
- Avlonitis, G.J., Kouremenos, A. & Tzokas, N., 1993. Assessing the Innovativeness of Organizations and its Antecedents: Project
- Balakrishnan, S., 1996. Benefits of customer and competitive orientations in industrial markets. *Industrial Marketing Management*. 25(4), pp. 257-269.

- Balas, A.N, Gokus, O., & Colakoglu, S.N., 2014. Exploring the role of external environment on determining strategic focus, market orientation, and firm performance of service firms. *Academy of Marketing Studies Journal*. 18(1), pp.19-39
- Bayraktar, C. A., Hancerliogullar, I. G., Cetinguc, B., & Calisir, F., 2017. Competitive strategies, innovation, and firm performance: An empirical study in a developing economy environment. *Technology Analysis & Strategic Management*. 29(1), pp. 32–58.
- Crvelin, A.K., & Bakula, I.S., 2006. Market Orientation and Competitiveness of Croatian SMEs, An Enterprise Odyssey. *International Conference Proceedings*. pp.1575-1584
- Day, G. S., & Wensley, R., 1988. Assessing advantage: A framework for diagnosing competitive superiority. *Journal of Marketing*. 52(4), pp. 1–20.
- Day, G.S., 1994. The Capabilities of Market-Driven Organizations. *Journal of Marketing*. 58, pp. 37-52
- Deshpandé, R., & Farley, J. U., 1998. Measuring market orientation: generalization and synthesis. *Journal of Market-Focused Management*. 2(3), pp. 213-232.
- Deshpande, R., Farley, J. U. & Webster, Jr. F. E., 1993. Corporate culture, customer orientation and innovativeness in Japanese firms: A quadrad analysis. *Journal of Marketing*. 57, pp. 23–37.
- Frösén, J., Jaakkola, M., Churakova, I., & Tikkanen, H., 2016. Effective forms of market orientation across the business cycle: A longitudinal analysis of business-to-business firms. *Industrial Marketing Management*, 52, pp. 91–99.
- Gebhardt, G. Gary F., Gregory S.C. Carpenter, & John F. S. Sherry Jr., 2006, Creating a Market Orientation: A Longitudinal, Multi firm, Grounded Analysis of Cultural Transformation. *Journal of Marketing*, 70 (10), pp. 37–55.
- Gray, B.J. & Hooley, G.J. (2002). Market Orientation and Service Performance- A research agenda. *European Journal of Marketing*. 36 (9/10), pp. 980-88
- Greenley, G. E., 1995. Market orientation and company performance. *British Journal of Management*. 6(1), pp. 1-13.
- Harris, L.C., 2001. Market orientation and performance: Objective and subjective empirical evidence from UK companies. *Journal of Management Studies*. 38(1), pp. 17-43.
- Hilman, H., & Kaliappen, N., 2014. Market orientation practices and effects on organizational performance. *SAGE Open*. 4(4), pp. 1-8.
- Hong, J., T. H.S., & S. Yoo., 2013. Paths to success: How do market orientation and entrepreneurship orientation produce new product success? *Journal of Product Innovation Management*. 30 (1), pp. 44–55
- <https://www.funglobalretailtech.com/research/turkey-retail-overview-characteristics-developments-prospects/>
- <https://www2.deloitte.com/content/dam/Deloitte/tr/Documents/consumer-business/Perakende-sektoru-2017-yariyil-gundemi.pdf>
- Hurley, R.F. & Hult, M., 1998. Innovation, Market Orientation, And Organizational Learning: An Integration and Emprical Examination. 62, pp. 42-54
- Jaworski, B. J., & Kohli, A. K., 1996. Market orientation: review, refinement, and roadmap. *Journal of market-focused management*. 1, pp. 119–135.
- Kibbeling, M., Van Der Bij, H., & Van Weele, A., 2013. Market Orientation and Innovativeness in Supply Chains: Supplier's Impact on Customer Satisfaction. *Journal of Product Innovation Management*. 30 (3), pp. 500-515
- Kirca,A.H., Jayachandran,S., & Bbearden,W.O., 2005. Market Orientation: A meta-analytic review and assessment of its antecedents and impact on performance. *Journal of Marketing*. 69 (4), pp. 24-41
- Kohli, A.K.& Jaworski, B.J., 1990. Market Orientation: The construct, research propositions, and managerial implications. *Journal of Marketing*. 54 (4), pp. 1-18
- Kotler, P., Armstrong, G., Sounders, J., & Wony, V., 1999. *Principles of Marketing (2nded.)*. Europe: Prentice-Hall.
- Lukas, B.A., & Ferrell, O.C., 2000. The Effect of Market Orientation on Product Innovation. *Journal of the Academy of Marketing Science*. 28(2), pp. 239–247.
- Mensah, F.B. & Issau, K., 2015. Market Orientation and the Performance of Small and Medium-Sized Manufacturing Enterprises in the Accra Metropolis. *International Journal of Marketing Studies*. 7 (3), pp. 39-52
- Mokhtar, S.S.M., Yusoff, R.Z., & Ahmad, A., 2014. Key elements of market orientation on Malaysian SMEs performance. *International Journal of Business and Society*. 15(1), 49-64.
- Narver, J.C., & Slater,S.F., 1990. The effect of a Market Orientation On Business Profitability. In *Journal of Marketing*. 54, pp. 20-33
- Narver.J.C, & Slater.S.F., 1994. Does Competitive Environment Moderate the Market Orientation-Performance Relationship? *Journal of Marketing*. 58, pp. 46-55
- Reed, K., Goolsby, J. R., & Johnston, M. K., 2016. Listening in and out: Listening to customers and employees to strengthen an integrated market-oriented system. *Journal of Business Research*. 69(9), pp. 3591–3599.
- Ruekert, R., 1992. Developing a Market Orientation: An Organizational Strategy Perspective. *International Journal of Research in Marketing*. 9, pp. 225-245
- Shapiro, B., 1988. What The Hell is `Market-Oriented ? *Harvard Business Review*, November-December. Pp. 119- 125.
- Shergill, G.S., & Nargundkar, R., 2005. Market Orientation, Marketing Innovation as Performance Drivers Extending the Paradigm. *Journal of Global Marketing*. 19 (1), pp. 22-47
- Sheth, J. N., 2011. Impact of emerging markets on marketing: Rethinking existing perspective and practices. *Journal of Marketing*. 75(4), pp. 166–182.

- Siddique, C.M., 2014. Impediments to market orientation: An exploratory study of retail SMEs in the United Arab Emirates. *Education, Business and Society: Contemporary Middle Eastern Issues*. 7 (1), pp. 33-56
- Singh, S., & Ranchhod, A., 2004. Market orientation and customer satisfaction: Evidence from British machine tool industry. *Industrial Marketing Management*. 33(2), pp. 135–144.
- Slater, S.F., & Narver, J.C., 2000. The Positive of Market Orientation on Business Profitability: a Balanced Replication. *Journal of Business Research*. pp. 69-73.
- Slater,S.F., & Narver, J.C., 1995. Market Orientation and the Learning Organization. *Journal of Marketing*. 59(3), 63-74.
- Sorensen, E.H., 2009. Active equity management for the future, *Journal of Portfolio Management*. 36 (1), pp. 60-68.
- Tsiotsou, R. H., 2010. Delineating the Effect of Market Orientation on Service Performance: A Component Wise Approach. *The Service Industries Journal*. 30(3), pp. 375-403.
- Wang, C. L., & Chung, H. F. L., 2013. The moderating role of managerial ties in market orientation and innovation: An Asian perspective. *Journal of Business Research*. 66 (12), pp. 2431–37.
- Wang,G., & Miao.F.C., 2015. Effects of sales force market orientation on creativity, innovation implementation and sales performance. *Journal of Business Research*. 68 (2015), pp. 2374-2382
- Webster, C., 1993. Refinement of the marketing culture scale and the relationship between marketing culture and profitability of a service firm. *Journal of Business Research*. 26(2), pp. 111–131.

Dönüşümcü Liderliğin Müşteriye Yönelik Üretkenlik Karşıtı İş Davranışları Üzerindeki Etkisi: Karşılıklı Tanıma Saygısı ve Karşılıklı Değerleme Saygısının Aracı Rolü¹

Prof. Dr. Şevki ÖZGENER¹

Yeşim TÖMEK²

¹Nevşehir Hacı Bektaş Veli Üniversitesi İİBF İşletme Bölümü e-mail: sozgener@nevehir.edu.tr, ORCID Id: 0000-0002-9290-0596

²Nevşehir Hacı Bektaş Veli Üniversitesi SBE İşletme ABD Yüksek Lisans Öğrencisi e-mail: ytomkk4@gmail.com, ORCID Id: 0000-0001-5371-1146

Özet: Günümüzde konaklama işletmelerinde etkili müşteri ilişkileri yönetimini engelleyen birçok faktör bulunmaktadır. Bu faktörlerden biri de müşteriye yönelik üretkenlik karşıtı iş davranışlarıdır. İşletmelerde bu tür davranışları önlemek veya ortadan kaldırmak için farklı liderlik tarzlarına ihtiyaç duyulmaktadır. Yönetim yazınında bu konuda sınırlı sayıda ampirik araştırma olmasından dolayı çalışmada karşılıklı tanıma saygısı ve karşılıklı değerlendirme saygısının aracı değişken olduğu durumlarda müşteriye yönelik üretkenlik karşıtı davranışları azaltmada dönüşümcü liderliğin etkili olup olmadığı ele alınarak bu alandaki bulgu eksikliğini giderilmesi düşünülmektedir. Bu çalışmanın amacı, dönüşümcü liderliğin müşteriye yönelik üretkenlik karşıtı iş davranışları üzerindeki etkisini ortaya koymak ve bu iki değişken arasındaki ilişkide karşılıklı tanıma saygısı ve karşılıklı değerlendirme saygısının aracı rolünü tespit etmektir. Araştırmanın örneklemini, Nevşehir ilindeki konaklama işletmeleri yönetici ve çalışanları oluşturmaktadır (n=293). Bu çalışmada veriler Avolio ve Bass'ın (2004) geliştirdiği Çok Faktörlü Liderlik ölçeğinin dönüşümcü liderlik alt boyutunu; Clarke ve diğerlerinin (2019) yanı sıra Clarke ve Mahadi (2017) çalışmalarından Türkçeye uyarlanan karşılıklı tanıma saygısı ve karşılıklı değerlendirme saygısı ölçeklerini, Hunter ve Penney'in (2014) müşteriye yönelik üretkenlik karşıtı iş davranışları ölçeği ve bu ölçeğe bizzat yazarlar tarafından eklenen ifadelerden oluşan soruları içeren bir anket formu vasıtasıyla elde edilmiştir. Araştırma verileri, Doğrulamalı Faktör Analizi ve Yapısal Eşitlik Modeli yardımıyla analiz edilmiştir. Araştırmanın bulgularına göre; dönüşümcü liderliğin müşteriye yönelik üretkenlik karşıtı iş davranışlarını negatif ve anlamlı şekilde etkilediği tespit edilmiştir. Aynı zamanda aracı değişkenlerden sadece karşılıklı tanıma saygısının müşteriye yönelik üretkenlik karşıtı iş davranışlarını negatif ve anlamlı şekilde etkilediği saptanmıştır. Buna karşın dönüşümcü liderliğin hem karşılıklı tanıma saygısını hem de karşılıklı değerlendirme saygısını pozitif etkilediği tespit edilmiştir. Buna ilaveten, dönüşümcü liderlik ile müşteriye yönelik üretkenlik karşıtı iş davranışları ilişkisinde karşılıklı tanıma saygısının aracı etkiye sahip olduğu, fakat karşılıklı değerlendirme saygısının aracı etkiye sahip olmadığı gözlenmiştir. Son olarak çalışmanın bazı sınırlılıkları olduğu vurgulanmış ve gelecekte yönetim alanında araştırma yapacaklar ve konaklama işletmeleri için bazı önerilere yer verilmiştir.

Anahtar Kelimeler: Dönüşümcü Liderlik, Müşteriye Yönelik Üretkenlik Karşıtı İş Davranışları, Karşılıklı Tanıma Saygısı ve Karşılıklı Değerleme Saygısı

The Effect of Transformational Leadership on Customer-Directed Counterproductive Work Behaviors: The Mediating Roles of Mutual Recognition Respect and Mutual Appraisal Respect

Abstract: Today, there are many factors that inhibit effective customer relations management in hospitality businesses. One of these factors is customer-directed counterproductive work behaviors. Different leadership styles are needed to prevent and eliminate such behaviors in the businesses. Due to the limited number of empirical studies on this subject in the management literature, it is thought to eliminate the lack of results in this field by addressing on whether transformational leadership has effective in reducing customer-directed counterproductive work behaviors or not in situations where mutual recognition respect and mutual appraisal respect are mediator variable in this study. The aim of this study is to reveal the effect of transformational leadership on customer-directed counterproductive work behaviors and to expose the mediating roles of mutual recognition respect and mutual appraisal respect in the relationship between these variables. The sampling of the study consists of executives and employees in hospitality businesses in Nevşehir Province (n=293). The data was obtained with the help of a questionnaire involving the transformational leadership sub-dimension of the Multi-Factor Leadership scale developed by Avolio and Bass (2004), the scales of mutual recognition respect and mutual appraisal respect adapted to Turkish from the studies of Clarke and others (2019) and Clarke and Mahadi (2017), Hunter and Penney's (2014) customer-directed counterproductive work behaviors scale and items added to this scale by the authors themselves in this study. The data were analyzed through Confirmatory Factor Analysis and

¹ Bu çalışma "Dönüşümcü Liderlik İle Müşteriye Yönelik Üretkenlik Karşıtı İş Davranışları Arasındaki İlişki: Karşılıklı Tanıma Saygısı ve Karşılıklı Değerleme Saygısının Aracı Rolü" başlıklı yüksek lisans tez çalışmasından türetilmiştir.

Structural Equation Modelling. According to the findings of the research; transformational leadership has been found to negatively and significantly effect on customer-directed counterproductive work behaviors. At the same time, it was stated that only mutual recognition respect as mediator variable negatively and significantly affected on customer-directed counterproductive work behaviors. Nevertheless, it was determined that transformational leadership positively affected both mutual recognition respect and mutual appraisal respect. Furthermore, it has been observed that mutual recognition respect has a mediating effect in the relationship between transformational leadership and customer-directed counterproductive work behaviors, but mutual appraisal respect hasn't mediating effect in this relationship. Finally, it was emphasized that the study had some limitations, and some suggestions have been made for future research in the field of management and hospitality businesses.

Key Words: Transformational Leadership, Customer-Directed Counterproductive Work Behaviors, Mutual Recognition Respect and Mutual Appraisal Respect.

1. GİRİŞ

Günümüzün rekabetçi ve karmaşık iş ortamında konaklama işletmelerinde işgörenlerin stres geçişi, duygu düzenleme gerilimi ve öfke treyti gibi nedenlerle müşteriye yönelik üretkenlik karşıtı davranışlar sergiledikleri görülmektedir (Moon ve Hur, 2018: 557-558). Hiç şüphesiz müşteriye yönelik üretkenlik karşıt iş davranışlarının ortaya çıkmasında örgütte hakim liderlik tarzının etkileri göz ardı edilemez.

Müşteriye yönelik üretkenlik karşıtı iş davranışları, işgörenlerin doğrudan örgütün normlarını ihlal ederek müşteriye karşı kaba davranışlar sergileyerek ve mesleki adaba uygun olmayan dil kullanarak hem müşteriye zarar verdiği hem de örgütün refahına zarar verdiği davranışlar olarak ifade edilebilir (Shin vd., 2017: 2; Ng Lam ve 2016).

Önceki çalışmalarda Doğan ve Deniz' in (2017) katılımcı liderlik ve destekleyici liderliğin üretkenlik karşıtı iş davranışlarını azalttığını ve Sökmen, Kenek ve Uğraş (2019) da etik liderliğin de üretkenlik karşıtı iş davranışlarını azalttığını ortaya koymuşlardır. Bu araştırmaların bulguları dikkate alındığında işgörenlerin bir örgütte müşteriye yönelik üretkenlik karşıtı iş davranışları sergilemesini engelleyen en önemli faktörlerden birinin de işgörenleri ve örgütü dönüştüren dönüşümcü liderlik tarzı olabileceği düşünülmektedir.

Dönüşümcü liderlik, bir örgütün hedeflerini ve liderin vizyonunu içselleştirerek büyük değişimler yaratmanın yanı sıra izleyicilerin beklentilerin çok ötesinde performansa ulaşmaları için onların tutumlarını, inançlarını ve değerlerini etkileme süreci olarak tanımlanabilir (Gomes, 2014: 54). Dönüşümcü liderler, geleceği öngörebilme, yaratıcı düşünme, izleyicilere yetkiler vererek ve bilgilendirerek onları güçlendirme, vizyon oluşturma ve paylaşma, işgörenlerin tutum ve davranışlarında temel değişimi yaratacak şekilde onları ilham ettirme, kişisel risk alma, çalışanların entelektüel becerilerine ilgi duyma gibi nitelikleri (Hacker ve Roberts, 2003: 75-76; Eraslan, 2006) ile işgörenler ve müşterileri etkileyebilirler. Bu liderlerin işgörenlerin tutum ve davranışlarını etkilemesi, onları ilham ettirmesi ve onların gelişimine ilgi göstermesi performansı artırmasına karşın müşteriye yönelik üretkenlik iş davranışlarını azalttığı düşünülse de bu konu da yeterli bulgu bulunmamaktadır.

Dönüşümcü liderlik tarzı gibi diğer insanlara, insan olmaları veya saygı duyulmaya değer görülmeleri nedeniyle duyulan saygıyı ifade eden *karşılıklı tanıma saygısı* (Darwall, 1977: 38) ve bir bireyin karakterinin, başarısının veya onun niteliklerinin olumlu bir değerlendirilmesi olarak ifade edilen *karşılıklı değerlendirme saygısı* da (Darwall, 1977: 39; Gibbard, 1992) müşteriye yönelik üretkenlik karşıtı iş davranışlarının azaltılmasına ve ortadan kaldırılmasına katkıda bulunabilir. Ne dönüşümcü liderlik ne de karşılıklı tanıma saygısı ve karşılıklı değerlendirme saygısının müşteriye yönelik üretkenlik karşıtı iş davranışları üzerindeki etkisi ile ilgili araştırmalara rastlanmasa da Nguyen ve diğerleri (2019) liderlerden tanıma saygısı gören takipçilerin daha az zorbalık yaşadıklarını tespit etmişlerdir. Bununla birlikte Bass'ın (1998) dönüşümcü liderliğin endüstriyel, askerî ve eğitimsel etkilerini ele aldığı bir çalışmada dönüşümcü liderliğin bireysel ilgi boyutunun izleyicilerin örgüte bağlılığını artırdığı ve bunun yüksek motivasyon ve yüksek özsaygı ile sonuçlandığı tespit edilmiştir. İşyeri zorbalığının da bir üretkenlik karşıtı iş davranışı olduğu ve buna ilişkin bulgular dikkate alındığında karşılıklı tanıma saygısı ve karşılıklı değerlendirme saygısının dönüşümcü liderlikle birlikte müşteriye yönelik üretkenlik karşıtı iş davranışlarını azaltmada etkili olacağı düşünülmektedir.

Yukarıdaki tartışma, karşılıklı tanıma saygısı ve karşılıklı değerlendirme saygısının, dönüşümcü liderliğin müşteriye yönelik üretkenlik karşıtı iş davranışları üzerindeki etkisine aracılık ettiği sonucuna götürür.

Bu çalışmada, karşılıklı tanıma saygısı ve karşılıklı değerlendirme saygısının dönüşümcü liderliğin müşteriye yönelik üretkenlik karşıtı iş davranışları üzerine etkisine aracılık ettiği bir araştırma modeli amaçlanmıştır. Özellikle çalışmada; dönüşümcü liderliğin müşteriye yönelik üretkenlik karşıtı iş davranışları üzerine etkisi, karşılıklı

tanıma saygısı ve karşılıklı değerlendirme saygısının müşteriye yönelik üretkenlik karşıtı iş davranışları üzerine etkisi ve yukarıda belirttiğimiz ilişkide karşılıklı tanıma saygısı ve karşılıklı değerlendirme saygısının aracı etkisi incelenmektedir.

Çalışmamız, müşteriye yönelik üretkenlik karşıtı iş davranışlarındaki birkaç boşluğu gidermeyi amaçlamaktadır. İlk olarak, bazı liderlik türleri (örneğin etik liderlik) ile üretkenlik karşıtı davranışlar (Sökmen, Kenek ve Uğraş 2019) arasındaki ilişkiyi araştıran çalışmalar vardır. Ama liderlik tarzları ile müşteriye yönelik üretkenlik karşıtı iş davranışları ilişkisini araştıran çalışmalar bulunmamaktadır. İkincisi, müşteri stresörlerinin (Hunter vd., 2019) ve kurumsal sosyal sorumluluğun (Hur vd., 2018) müşteri ilişkileri üzerindeki etkilerini ele alan son araştırmalar hem müşteriye yönelik üretkenlik karşıtı iş davranışlarının teorisi konusunda yeterli görünmemekte, hem de bu davranışların öncülleri ve önleyici mekanizmaları konusunda yeni araştırma bulgularına ihtiyaç olduğunu ortaya koymaktadır. Daha da önemlisi, şimdiye kadar dönüşümcü liderlik ile karşılıklı tanıma saygısı ve karşılıklı değerlendirme saygısının birlikte müşteriye yönelik üretkenlik karşıtı iş davranışları üzerindeki etkisini aynı anda incelememiştir. Yine şimdiye dek hiçbir araştırma liderlik tarzları ile müşteriye yönelik üretkenlik karşıtı davranış ilişkisi üzerinde durmadığından mevcut araştırmamız bu boşluğu doldurmaktadır. Buna ilaveten, bu konuda konaklama işletmeleri üzerinde yapılan araştırmalara da rastlanmamaktadır. Dördüncüsü, müşteriye yönelik üretkenlik karşıtı iş davranışları, bir işletmenin karlılığını ve etkililiğini örgütsel ve kişilerarası üretkenlik karşıtı iş davranışlarından daha fazla doğrudan etkilemektedir. Bu nedenle, müşteriye yönelik üretkenlik karşıtı iş davranışlarının öncüllerine ve bu davranışları önleyici mekanizmalara ilişkin bir araştırma olan bu çalışma, yönetim kuramcılarının ve konaklama işletmeleri yöneticilerinin bu maliyetli davranışları daha iyi anlamalarına ve onları kontrol etmelerine yardımcı olma açısından fayda sağlayacaktır.

2. LİTERATÜR TARAMASI

2.1. Dönüşümcü Liderlik

Dönüşümcü liderlik teorisi James McGregor Burns tarafından ortaya atılan modern liderlik kuramlarından biridir. Bernard M. Bass, Robert J. House ve Bruce J. Avolio da bu teorinin öncülleri arasında kabul edilmektedir (Burns, 1978; Bass ve Avolio, 1990; Bass ve Riggio, 2006).

Dönüşümcü liderler, takipçilerini içsel olarak motive eden, onları ortak değer ve amaçlar etrafında bir araya getiren, onların tutum ve inançlarında temel değişimler/dönüşümler yaratan ve onları güçlendirmeyi amaç edinen kişilerdir (Burns, 1978: 4). Dönüşümcü liderlik tarzı, kriz dönemlerinde, belirsizlik ve karmaşıklığın olduğu çevrelerde ve kurumsallaşmanın olmadığı örgütlerde bile zor ve karmaşık iş problemlerinin çözümünde ön plana çıkmaktadır (Bryant, 2003: 36). Dönüşümcü liderliğin *idealleştirilmiş etki*, *ilham verici motivasyon*, *bireysel ilgi* ve *entelektüel uyarım* şeklinde dört boyutu vardır. Bunlar (Bass, 1994; Bass ve Riggio, 2006: 6; Celep, 2004: 58):

- *İdealleştirilmiş Etki*: Dönüşümcü liderler, her zaman izleyicilerin ve örgütün çıkarlarına göre kendi çıkarlarını ikinci planda görür ve elde ettikleri başarıyı herkese mal eder ve bu konuda tutum ve davranışları ile farkındalık yaratırlar.
- *İlham Verici Motivasyon*: Bu liderler, izleyicilerde zor hedefleri başarma isteği uyandıran ve işlerini anlamlandırmalarına olanak sağlayan vizyonlar oluşturarak, onları motive eden ve onlara ilham veren şekillerde davranırlar.
- *Entelektüel Uyarım*: Dönüşümcü liderler, varsayımları sorgulayarak, sistematik bir biçimde problemleri yeniden ele alarak ve daha önceki durumlara farklı yaklaşarak izleyicilerin de yenilikçi ve yaratıcı olma çabalarını teşvik etmektedir.
- *Bireysel İlgi*: Dönüşümcü liderler, her bir izleyicinin bir koç veya akıl hocası olarak yol göstererek takipçilerinin kişisel gelişimine önem verirler ve onlara fırsatlar sunarlar.

2.2. Müşteriye Yönelik Üretkenlik Karşıtı İş Davranışları

Üretkenlik karşıtı iş davranışları, doğrudan örgütü ve paydaşlarını (yöneticiler, çalışma arkadaşları, astlar, müşteriler gibi) veya her ikisini de hedef alan, bilinçli bir şekilde yapılan ve zarar verme niyetinin açıkça sergilendiği, ancak genelde gizlenerek yapılan davranış olarak ifade edilmektedir (Doğan ve Kılıç, 2014: 273). Literatürde kişilerarası ve örgüte yönelik üretkenlik karşıtı iş davranışları üzerinde çok sayıda çalışma olmasına karşın müşteriye yönelik üretkenlik karşıtı iş davranışları ile ilgili yeterli sayıda çalışma bulunmamaktadır.

Müşteriye yönelik üretkenlik karşıtı iş davranışı ise; stres geçişi, duygusal düzenleme gerilimi, müşteri stres faktörleri gibi sebeplerle örgütün müşterilerle ilgili normlarını açık bir şekilde ihlal eden ve bu davranışlarla

öncelikle müşterinin zararını hedef tutan ve dolaylı olarak müşteriden daha çok örgütün ve çalışanların refahını tehdit eden ve onların etkililiğini azaltan davranış olarak tanımlanabilir (Robinson ve Bennett, 2000; Hunter ve Penney, 2014; Moon ve Hur, 2018; Hur, Moon ve Lee, 2018). Arvan ve arkadaşlarına (2020) göre ise müşteriye yönelik üretkenlik karşıtı iş davranışları; özellikle hizmet işletmelerinin işleyişini aksatan müşteriye yönelen doğrudan zararlı eylemlerdir. Müşteriye yönelik üretkenlik karşıtı iş davranışlarına; müşterileri alaya alma, müşterilere yalan söyleme, müşterileri ihmal etme ve onlara ilgisiz davranma, verilen sözde durmama, müşteriye kaba davranma, müşteriye gereğinden fazla bekletme, müşteriyle gereksiz tartışmalara girme, ürün ve hizmetlerin kalitesi ve fiyatları konusunda yanlış bilgi vererek müşterileri aldatma, başka işletmelerin müşterilerini çalma, müşteriye kayırma, müşteriden intikam alma niyeti gibi davranışlar örnek verilebilir (Power ve Lundsten 2005: 187-188; Çulha, Hacıoğlu ve Kurt, 2009: 44-46; Durceylan, 2013; Albayrak, 2013: 36; Hunter ve Penney, 2014: 263-275; Yılmaz, 2014; Aslanzade, 2017: 64-72). Müşteriye yönelik üretkenlik karşıtı iş davranışlarının bazı nedenleri; *stres geçişi* (bireyin bazı olaylarından kaynaklanan stresinin başka bireyler için stresöre dönüşmesi), *duygu düzenleme gerilimi* (duygusal uyumsuzluk ve duygusal tükenmeyle sonuçlanan gerilim) *müşteri stres faktörleri, sürekli öfke veya öfke troyti* (bireye yapılan haksızlık karşısındaki hayal kırıklığı, incinme, baskı, engellenme ve korkuyu ihtiva eden ve kontrol edilmesi oldukça zor olan duygusal tepki) olarak sayılabilir (Duran ve Eldekeleklioğlu, 2005: 268; Hunter ve Penney, 2014: 265; Moon ve Hur, 2018: 557-558.)

2.3. Karşılıklı Tanıma Saygısı ve Karşılıklı Değerleme Saygısı

İş yaşamında saygı, bir bireyin yapıcı ilişkiler kurması için iş güvenliği ve ücretten daha etkili bir unsurdur (Clarke, Alshenalfi ve Garavan, 2019: 399). Özellikle özsaygı işgörenlerin zorlayıcı hedefleri başarması, iyi ilişkiler kurması ve içsel motivasyon sağlaması açısından kritik işlev görür (Keriman, 2019: 41).

Karşılıklı tanıma saygısı, başka insanlara insan olmalarından dolayı saygı duyulması veya saygı duyulmaya değer görülmesi nedeniyle insanlara saygı duyulmayı ifade eder (Darwall, 1977: 38). Bu saygı, tüm insanlara haysiyetle eşit ve adil davranılması gerektiği inancı ile eşdeğerdir (Simon ve Grabow, 2014; Simon, Grabow ve Böhme, 2015). Bu saygı, bireylere içsel değer veya haysiyetleri nedeniyle saygı duyulduğu fikrini esas alır (Clarke ve Mahadi, 2017a: 164). Karşılıklı tanıma saygısı hiçbir zaman onaylamayı talep etmemektedir. Buna karşın toplumdaki konumu veya statüsü nedeniyle kişiye veya objeye uygun tepkilerin verildiği takdirde kapsamaktadır. Örneğin; yasalara saygı duymak, nasıl eyleme geçileceğine dair karar verildiğinde yasanın içerdiği yükümlülükler nedeniyle saygı göstermek demektir (Herring, 2008: 21).

Karşılıklı değerlendirme saygısı ise, bir bireyin karakterinin veya onun niteliklerinin olumlu bir değerlendirme olarak ifade edilir. Dolayısıyla bu saygıda işgörenler hangi davranışların gerekli olacağını veya bu türden bir saygıyı karşılayan niteliklerin ne olduğunu kavramak zorundadır (Darwall, 1977: 39; Gibbard, 1992). Bir bakıma, karşılıklı değerlendirme saygısı, bir birey veya onun aklına ilişkin olumlu bir değerlendirmeyi kapsar (Herring, 2008: 21). Aslında bir işgörenin veya yöneticinin saygıyı hak ettiğini söylediğimizde aklımızdaki değerlendirme saygısı olmaktadır (Darwall, 1977: 39). Karşılıklı değerlendirme saygısı, bir bireye özel nitelikleri, karakteri, başarısı, kahramanlığı gibi erdemlerinden dolayı atfedilen değer ve hayranlığı ifade eder (Clarke ve Mahadi, 2017b: 129-130). Örneğin; Biyokimyager ve moleküler biyolog Aziz Sancar'ın hücrelerin hasar gören DNA'ları nasıl onardığını ve genetik bilgisini haritalandıran başarılı araştırması nedeniyle 2015 yılı Nobel Kimya Ödülü'nü kazanması dünya çapında kendisine saygınlık kazandırmıştır.

Konaklama işletmelerinde karşılıklı değerlendirme ve karşılıklı tanıma saygısı, ast-üst ilişkilerini iyileştirme bağlamında büyük ilgi görmektedir. İlişkilerde belirli nitelikler kazanmak kadar adalet ve dürüstlük örnekleri sergilemek de önemlidir. Bununla birlikte ilişkilerde kibar davranışlar ve olumlu muamele de bulunmanın tanıma saygısının bir parçası olduğu göz ardı edilmemelidir (Grover, 2013).

2.4. Araştırma Modeli ve Hipotezler

Yönetim literatürü incelendiğinde; karşılıklı tanıma saygısı ve karşılıklı değerlendirme saygısı ile birlikte dönüşümcü liderliğin müşteriye yönelik üretkenlik karşıtı iş davranışları üzerine yapılmış olan herhangi bir çalışma bulunmamaktadır. Ancak bu konuda yol gösterici dolaylı bazı çalışmalar mevcuttur. Bu çalışmalardan birinde Nguyen ve diğerleri (2019) liderlerden tanıma saygısı gören takipçilerin ona daha fazla değerlendirme saygısı atfettikleri, daha az zorbalık yaşadıklarını ifade etmişlerdir. Bass'ın (1998) dönüşümcü liderliğin endüstriyel, askerî ve eğitimsel etkilerini incelediği çalışmada ise dönüşümcü liderliğin bireysel ilgi boyutunun takipçilerin örgüte bağlılığını artırdığı, bunun da yüksek motivasyon ve özsaygı duygusu ile sonuçlandığı ortaya konmuştur. Ayrıca Holtz ve Harold (2013) tarafından liderlik anlayışı ve yapının işgörenin adalet algıları ve üretkenlik karşıtı davranış ilişkisini incelediği çalışmada sonuçlar, düşük liderlik anlayışı ve yüksek yapıyı sergileyen işgörenler arasında üretkenlik karşıtı davranışların en yüksek düzeyde ortaya çıktığı saptanmıştır. Son olarak Kessler ve

diğerleri (2013) liderlik tarzı, kişilerarası çatışma ve üretkenlik karşıtı iş davranışları ilişkisini ele aldığı araştırmada çalışanın kendini raporladığı bulgulara göre dönüşümcü liderlik ile üretkenlik karşıtı iş davranışlar arasında negatif ve anlamlı bir ilişki olduğu, ancak çalışanın başkasını raporladığı durumda dönüşümcü liderlik ile üretkenlik karşıtı iş davranışı arasında pozitif ama anlamlı olmayan bir ilişki gözlenmiştir. Bu bulgulara göre dönüşümcü liderlik ile müşteriye yönelik üretkenlik karşıtı iş davranışı arasındaki ilişkiye dair hipotez şu şekilde tasarlanmıştır:

Hipotez 1: Dönüşümcü liderlik, müşteriye yönelik üretkenlik karşıtı iş davranışları üzerinde negatif etkiye sahiptir.

Clarke ve Mahadi (2017a) Malezya’da sigorta sektörü çalışanları örnekleminde lider ile izleyiciler arasındaki karşılıklı tanıma saygısının izleyici performansı ve iyi oluş üzerindeki etkilerini incelemiştir. Bulgulara göre karşılıklı tanıma saygısının hem izleyici performansını hem de iyi oluşu pozitif etkilediği, ancak karşılıklı değerlendirme saygısının sadece iş performansını pozitif etkilediği tespit edilmiştir. Benzer şekilde Clarke ve Mahadi (2017b) Malezya’daki sigorta çalışanları üzerinde bu sefer duygusal zekâ, duygusal bağlılık ve iş tatmini ilişkisinde karşılıklı tanıma saygısının aracı rolünü incelemiştir. Araştırma bulgularına göre karşılıklı tanıma saygısının, duygusal bağlılık ve iş tatminini pozitif yönde etkilediği görülmüştür. Ayrıca Clarke, Alshenalfi ve Garavan (2019) Suudi Arabistan’daki kamu ve özel sektör işletmelerindeki 389 ast-üst çifti üzerinde yukarı doğru etkileme taktiklerinin iş performansı ve esnek çalışma düzenlemeleri üzerindeki etkisi ve bu etkilerde karşılıklı değerlendirme saygısı ve karşılıklı tanıma saygısının aracı rolünü araştırmışlardır. Bulgulara göre etkileme taktiklerinin iş performansı ve esnek çalışma düzenlemeleri üzerindeki etkisinde hem karşılıklı değerlendirme saygısının hem de karşılıklı tanıma saygısının aracı rolü oynadığını ortaya koymuştur. Aynı zamanda her iki saygı biçiminin iş performansını pozitif etkilediği bulgulardan anlaşılmaktadır. Bu çalışmaların bulgularından yola çıkarak çalışmamızda karşılıklı tanıma saygısı ve karşılıklı değerlendirme saygısı aracı değişken olarak modele dâhil edilmiştir. Bu çerçevede her iki saygı türünün dahil edildiği modelde dönüşümcü liderlik ve müşteriye yönelik üretkenlik karşıtı iş davranışları ilişkisine dair hipotezler şu şekil tasarlanmıştır:

Hipotez 2: Dönüşümcü liderlik, karşılıklı tanıma saygısı üzerinde pozitif etkiye sahiptir.

Hipotez 3: Dönüşümcü liderlik, karşılıklı değerlendirme saygısı üzerinde pozitif etkiye sahiptir.

Hipotez 4: Karşılıklı tanıma saygısı, müşteriye yönelik üretkenlik karşıtı iş davranışları üzerinde pozitif etkiye sahiptir.

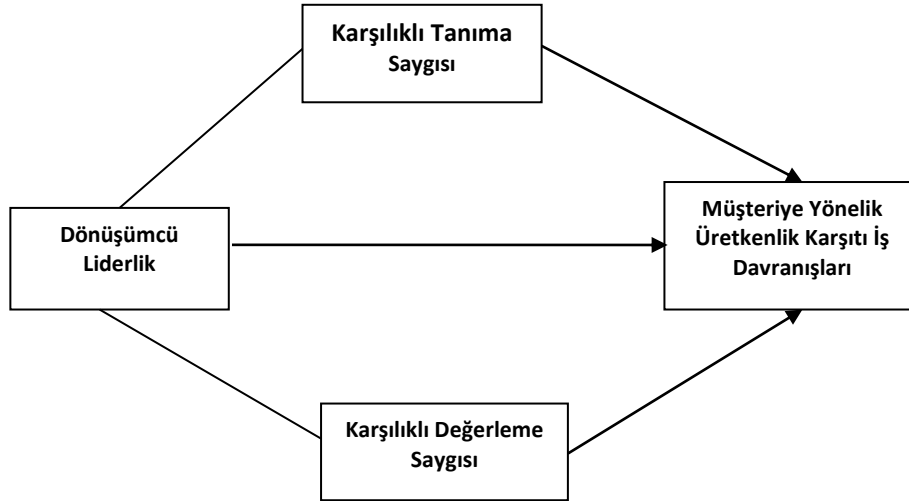
Hipotez 5: Karşılıklı değerlendirme saygısı, müşteriye yönelik üretkenlik karşıtı iş davranışları üzerinde pozitif etkiye sahiptir.

Hipotez 6: Karşılıklı tanıma saygısı, dönüşümcü liderlik ile müşteriye yönelik üretkenlik karşıtı iş davranışları arasındaki ilişkide aracı etkiye sahiptir.

Hipotez 7: Karşılıklı değerlendirme saygısı, dönüşümcü liderlik ile müşteriye yönelik üretkenlik karşıtı iş davranışları arasındaki ilişkide aracı etkiye sahiptir.

Yönetim literatüründeki çalışmaların bulguları dikkate alınarak araştırmanın modeli ise Şekil 1’deki gibi tasarlanmıştır. Ardından bu modeldeki değişkenlerin birbirileriyle ilişkilerini test etmek için Nevşehir ilindeki konaklama işletmelerindeki yönetici ve çalışanlar üzerinde bir saha araştırması yapılmıştır.

Şekil 1: Araştırma Modeli



3.METODOLOJİ

3.1.Katılımcılar ve Veri Toplama

Bu çalışmanın örneklemini Nevşehir ilinde faaliyet gösteren konaklama işletmelerinin yönetici ve çalışanları oluşturmaktadır. Dünyaca tanınmış olan Kapadokya Bölgesi'nde yer alan Nevşehir ilindeki konaklama işletmeleri yerel ekonomi ve bölge turizmi açısından önemli bir aktördür. Bu işletmelerin performansını iyileştirmek ve hizmet kalitesini yükseltmek için müşteriye yönelik üretkenlik karşıtı iş davranışlarının azaltılması ve bu konuda gerekli önlemlerin alınması amacıyla bu örneklem seçilmiştir. Bu işletmelerdeki yönetici ve çalışan sayısı tam olarak bilinmediğinden Çingir'in (1994: 327) "Örneklem Kuramı" isimli eserindeki örneklem ölçütleri esas alınarak örneklem büyüklüğü 384 olarak belirlenmiştir. Bu doğrultuda Şekil 1'de varsayılan ilişkileri tespit etmek için bu işletmelerin yönetici ve çalışanlarına tesadüfi olarak 500 anket bizzat araştırmacı tarafından dağıtılmış ve ayrıca 150 civarında kişiye de Internet ortamında anket linki gönderilmiştir. Araştırmada eksik ve hatalı 28 anket çıkarıldıktan sonra analizde kullanılmak üzere 293 anket formu elde edilmiştir. Yani anketlerin geri dönüş oranı 0.53'tür. Katılımcıların profili Tablo 1'de verilmiştir.

Tablo 1: Araştırmaya Katılan Yönetici ve Çalışanların Demografik Özellikleri

Demografik Özellikler	Sayı	%	Demografik Özellikler	Sayı	%
Cinsiyet			Yaş Durumu		
Erkek	165	56,3	25 yaş ve aşağısı	41	14,0
Kadın	128	43,7	26-35 yaş arası	141	48,1
Medeni Durum			36-45 yaş arası	88	30,0
Evli	166	56,7	46-55 yaş arası	21	7,2
Bekâr	127	43,3	56 yaş ve üzeri	2	,7
Eğitim Durumu			İş Deneyimi		
İlköğretim	23	7,8	1 yıldan az	9	3,1
Lise	85	29,0	1-5 yıl arası	117	39,9
Meslek Yüksekokulu	79	27,0	6-10 yıl arası	74	25,3
Fakülte	83	28,3	11-15 yıl arası	50	17,1
Yüksek Lisans/Doktora	23	7,8	16 yıl ve üzeri	43	14,7
Araştırmaya Katılan Personelin Oteldeki Pozisyonu					
Üst Düzey Yönetici ve Sahip Yönetici (Genel Müdür, Genel Müdürü Yardımcısı, Müdür, İşletme Sorumlusu)	38	13,0	Yiyecek-içecek Personeli (Restoran Şefi, Restoran Personeli, Şef Garson, Garson, Komi, Kahvaltıcılar)	46	15,7
Departman Müdürü (İnsan Kaynakları Müdürü, Satış ve Pazarlama Müdürü, Ön büro Müdürü, Vardiya Yöneticisi)	19	6,5	Kat Hizmetleri Personeli	39	13,3
Halkla İlişkiler ve Müşteri İlişkileri	8	2,7	Mutfak Personeli	10	3,4

İdari İşler ve Muhasebe Personeli	36	12,3	Güvenlik Hizmetleri	15	5,1
Şef	5	1,7	Şoför ve Servis Personeli	5	1,7
Ön büro Personeli	50	17,1	Diğer	4	1,4
Teknik Personel	8	6,1			
İşletmenin Aile İşletmesi Olma Durumu			İşletmenin Kurucusunun Profesyonel Yönetici Olma Durumu		
Evet	175	59,7	Evet	180	61,4
Hayır	118	40,3	Hayır	113	38,6
Oteldeki çalışan kişi sayısı			Otelin Yıldız Sayısı		
10 ve daha az	56	19,1	Özel belgeli	91	31,1
11-25 arası	105	35,8	3 yıldızlı	16	5,5
26-50 arası	70	23,9	4 yıldızlı	48	16,4
51 ve daha fazla	62	21,2	5 yıldızlı	63	21,5
			Diğer	75	25,6

3.2. Veri Toplama Araçları

Anket kapsamındaki tüm ölçeklerin güvenilirliği ve geçerliliği test edilmiştir. Spesifik olarak, katılımcıların Dönüşümcü Liderlik konusundaki algıları, Avolio ve Bass (2004) tarafından geliştirilen Çok Faktörlü Liderlik Anketinin (Multifactor Leadership Questionnaire-MLQ) alt ölçeği olan 20 ifadeli *Dönüşümcü Liderlik Ölçeği* kullanılarak operasyonel hale getirilmiştir (1= Kesinlikle Katılmıyorum, 5=Kesinlikle Katılıyorum). *Müşteriye Yönelik Üretkenlik Karşıtı İş Davranışları*, Hunter ve Penney (2014), Power ve Lundsten (2005) ve Tüm'ün (2018) çalışmalarından adapte edilen 19 ifadeli ölçekle değerlendirilmiştir (1= Hiçbir zaman, 2= Nadiren, 3= Arada Sırada, 4= Sık Sık, 5= Hemen Her Zaman). *Katılımcıların Karşılıklı Tanıma Saygısına dair algıları* Clarke ve Mahadi (2017a) tarafından geliştirilmiş 8 ifadeli ve karşılıklı değerlendirme saygısı algıları, Clarke, Alshenalfi ve Garavan (2019) tarafından geliştirilen 3 ifade ve bizzat araştırmacılar tarafından geliştirilen ve bu ölçeğe eklenen 5 ifade ile ölçülmüştür (1= Kesinlikle Katılmıyorum, 5=Kesinlikle Katılıyorum).

3.3. Veri Analiz Yöntemleri

Bu çalışmanın veri seti, Nevşehir ilinde faaliyet gösteren konaklama işletmelerinin yönetici ve çalışanlarından elde edilmiştir. Çalışmada öncelikle eksik ve hatalı doldurulan 12 anketin yanısıra eksik doldurulan anketler belirlenmiş ve bu anketlere kayıp veri ataması yapıldıktan sonra Mahallabonis uzaklığı değerleri ve ortalama hesaplanarak aşırı uç değerler olduğu tespit edilen 16 anket daha çıkarılmıştır. Aşırı uç değerler tespit edildikten sonra +2,5 ile -2,5 arasındaki değerler analize tabi tutulmuştur. Daha sonra her bir değişkene ilişkin verilerin normal dağılıp dağılmadığını belirlemek için Tek yönlü Kolmogorov Smirnov testi uygulanmıştır. Bulgulara göre tüm değişkenlerin test istatistiği değerlerinin 0.05'ten büyük olduğu, yani normal dağıldığı görülmüştür. Bu aşamadan sonra her bir ölçeğin güvenilirlik ve geçerliliğine ilişkin Doğrulayıcı Faktör Analizi yapılmış ve tüm değişkenleri ihtiva eden bir ölçüm modeli tasarlanmıştır. Tablo 2'te görüleceği gibi ölçeklere uygulanan DFA sonucunda ilk olarak elde edilen uyum iyiliği değerleri kabul edilebilir görülmediğinden öncelikle ölçeklerden faktör yükü düşük olan ifadeler çıkarılmıştır. Bu aşamada dönüşümcü liderlik ölçeğinden A2, A3, A5, A13 ve A18 ifadeleri; müşteriye yönelik üretkenlik karşıtı iş davranışları ölçeğinden C1, C2, C11, C12, C14, C15, C16, C17 ve C18 ifadeleri; karşılıklı tanıma saygısı ölçeğinden BK6, BK7 ve BK8 ifadeleri ve karşılıklı değerlendirme ölçeğinden BD7 ve BD8 ifadeleri çıkarılmıştır. Burada öncelikle modeldeki değişkenler arasındaki korelasyon katsayılarının tespiti için Pearson Korelasyon Analizi yapılmış ve daha sonra ölçüm modeli esas alınarak model ve hipotezleri test etmek için Yapısal Eşitlik Modellemesi uygulanmıştır. Bununla birlikte aracı değişken etkisini test etmek için %95 güven düzeyinde 1000 örneklem büyüklüğü esas alınarak BC Önyükleme yöntemi kullanılmıştır.

Hem Doğrulayıcı Faktör Analizi hem de Yapısal Eşitlik Modeli analizi ile ortaya konan modelin uygun olup olmadığını test etmek için literatürde en yaygın kullanılanları benzerlik oranı Ki-kare istatistiği (χ^2), Ki-kare/Serbestlik Derecesi (χ^2/df), RMSEA (Yaklaşık Hataların Ortalama Karekökü), SRMR (Standartlaştırılmış Hata Kareleri Ortalamasının Karekökü), TLI (Tucker-Lewis İndeksi) ve Karşılaştırmalı Uyum İndeksi(CFI)' dir. (χ^2/df) oranının 3'ün altında olması, RMSEA için 0,08 ve altında olması, CFI için 0,90 ve üzerinde olması, TLI için 0,90 ve üzerinde olması ve SRMR için 0,08 ve altında olması kabul edilebilir bir uyumu ortaya koymaktadır (Bentler, 1990; Jöreskog ve Sörbom, 1993; Hu ve Bentler, 1999; Byrne, 2010; Bonini Campos vd., 2014).

4.BULGULAR

4.1. Doğrulayıcı Faktör Analizi

Çalışmanın modelindeki dönüşümcü liderlik, karşılıklı tanıma saygısı, karşılıklı değerlendirme saygısı ve müşteriye yönelik üretkenlik karşıtı davranış ölçeklerinin güvenilirliklerinin ve geçerliliklerinin test edilmesi amacıyla öncelikle ölçüm modeli tasarlamak için Doğrulayıcı Faktör Analizi uygulanmıştır (Tablo 2).

Tablo 2’de görüldüğü gibi doğrulayıcı faktör analizi sonuçları incelendiğinde ölçüm modelinin tüm uyum iyiliği değerlerinin kabul edilebilir olmasının yanı sıra bütün değişkenlere ilişkin ifadelerin faktör yüklerinin 0.50’nin üzerinde olduğu, BYG değerlerinin 0.70’in üzerinde olduğu ve OAV değerlerinin 0.50’nin üzerinde olduğu anlaşıldığından ölçekler için yakınsak geçerlilik sağlanmıştır.

Tablo 2: Ölçüm Modelinin DFA Sonuçları

Ölçek	İfade Sayısı	Std. Faktör Yükleri	t Değerleri***	χ^2/df	SRMR	CFI	RMSEA	BYG	OAV
Dönüşümcü Liderlik	A20	.755	*	2.626	.051	.90	.075	.96	.60
	A19	.806	20,667						
	A17	.741	13,286						
	A16	.808	14,697						
	A15	.767	13,823						
	A14	.742	13,305						
	A12	.833	15,244						
	A11	.855	15,715						
	A10	.808	14,678						
	A9	.788	14,254						
	A8	.735	13,164						
	A7	.728	13,020						
	A6	.730	13,068						
	A4	.773	13,961						
A1	.748	13,465							
Müşteriye Yönelik Üretkenlik Karşıtı İş Davranışları	C3	.761	*						
	C4	.843	20,415						
	C5	.910	17,260						
	C6	.922	17,556						
	C7	.930	17,740						
	C8	.702	12,623						
	C9	.795	14,613						
	C10	.881	16,571						
	C13	.825	15,279						
C19	.726	13,120							
Karşılıklı Tanıma Saygısı	BK1	.878	*						
	BK2	.913	21,897						
	BK3	.850	19,235						
	BK4	.756	15,603						
	BK5	.712	14,308						
Karşılıklı Değerleme Saygısı	BD6	.749	14,878						
	BD5	.875	19,001						
	BD4	.858	18,340						
	BD3	.905	20,048						
	BD2	.798	16,306						
	BD1	.835	*						

*1’e sabitlenmiş olduğunu ifade eder. *** p<.001

Tablo 3'te ise ölçüm modelindeki tüm değişkenlere ilişkin OAV değerlerinin arzu edilen minimum düzey olan 0.50'nin üzerinde olduğu görülmektedir. Değişkenler arasındaki korelasyonların karelerinin, değişkenlerin OAV değerlerinden düşük olmasından dolayı ölçeklerin ayırt edici geçerliliği de sağlanmıştır (Kline, 2011).

Tablo 3: Ölçeklerin Ayırt Edici Geçerlilik Bulguları

	DL	MYUKD	KDS	KTS
DL	.60			
MYUKD	0,21	.69		
KDS	0,21	0,09	.68	
KTS	0,28	0,16	0,23	.70

DL: Dönüşümcü Liderlik; MYUKD: Müşteriye Yönelik Üretkenlik Karşıtı Davranışlar; KDS: Karşılıklı Değerleme Saygısı, KTS: Karşılıklı Tanıma Saygısı

Not: Tablo'da çapraz seyreden koyu katsayılar Açıklanan Ortalama Varyans değerlerini ifade eder.

Bu bulgular ölçeklerin tümünün güvenilir olduğunu ortaya koymaktadır. Tablo 4'te değişkenler arasındaki korelasyonlar ve tanımlayıcı istatistikler sunulmuştur. Tüm değişkenler arasındaki korelasyon katsayılarının 0.80'den düşük olması nedeniyle de ayırt edici geçerlilik sağlanmıştır (Kline, 2011).

Tablo 4: Değişkenler Arasındaki Korelasyon Katsayıları ve Tanımlayıcı İstatistikler

Değişkenler	\bar{x}	St. Sapma	1	2	3	4
1.Dönüşümcü Liderlik	3,85	0,84	1,00			
2.Müşteriye Yönelik Üretkenlik Karşıtı İş Davranışları	1,67	0,83	-0,457**	1,00		
3.Karşılıklı Değerleme Saygısı	4,06	0,84	0,456**	-0,303*	1,00	
4.Karşılıklı Tanıma Saygısı	3,92	0,76	0,528***	-0,402**	0,479*	1,00

*p<0.05, **p<0.01, ***p<0.001

4.2.Hipotezlerin Test Edilmesine Yönelik Yapısal Eşitlik Modellemesi Sonuçları

Çalışmada ölçüm modelinin sağlanmasından sonra hipotezleri test etmek için yapısal eşitlik modellemesinden yararlanılmıştır. Yapısal eşitlik modellemesine dair uyum iyiliği değerlerinin yeterli olduğu Tablo 5'te görülebilir.

Tablo 5: Yapısal Model ve Hipotez Sonuçları

Hipotezler	İlişkiler	Std. Faktör Yükleri	t değeri	Sonuç
H1	DL → MYUKD	-0,299**	-4,308	Kabul
H2	DL → KTS	0,582***	8,565	Kabul
H3	DL → KDS	0,425***	7,408	Kabul
H4	KTS → MYUKD	-0,171*	-3,020	Kabul
H5	KDS → MYUKD	-0,062	-0,996	Ret

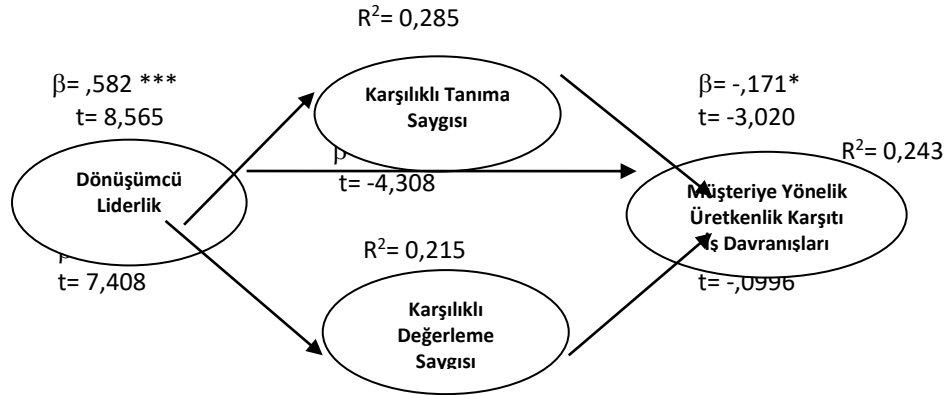
Uyum İyiliği Değerleri $\chi^2/sd=2.663$; CFI= .90; TLI=0,90; SRMR=.061; ,RMSEA= .075

DL: Dönüşümcü Liderlik; MYUKD: Müşteriye Yönelik Üretkenlik Karşıtı Davranışlar; KDS: Karşılıklı Değerleme Saygısı, KTS: Karşılıklı Tanıma Saygısı; *p<0.05, **p<0.01, ***p<0.001

Tablo 5'teki araştırma bulgularına göre dönüşümcü liderliğin, müşteriye yönelik üretkenlik karşıtı iş davranışlarını negatif ve anlamlı şekilde etkilediği görülmektedir ($\beta= -0,299$; $p<0.01$). Dolayısıyla **H1** hipotezi desteklenmiştir. Bununla birlikte dönüşümcü liderliğin hem karşılıklı tanıma saygısını ($\beta= 0,582$; $p<0.001$) hem de karşılıklı değerlendirme saygısını ($\beta= 0,425$; $p<0.001$) pozitif ve anlamlı şekilde etkilediği saptanmıştır. Bu bulgular dikkate alındığında **H2 ve H3** hipotezleri kabul edilmiştir. Diğer yandan, karşılıklı tanıma saygısının müşteriye yönelik üretkenlik karşıtı iş davranışlarını negatif ve anlamlı şekilde etkilediği ($\beta= -0,171$; $p<0.05$) görülmüştür. Fakat karşılıklı değerlendirme saygısının müşteriye yönelik üretkenlik karşıtı iş davranışlarını negatif, ama anlamlı olmayan bir şekilde etkilediği tespit edilmiştir ($\beta= -0,062$; $p>0.05$). Bu yüzden **H4** hipotezi desteklenirken, **H5** hipotezi desteklenmemiştir.

Ayrıca bağımsız değişken dönüşümcü liderliğin bağımlı değişken müşteriye yönelik üretkenlik karşıtı iş davranışlarındaki varyansı açıklama oranı %24.3 ($R^2= 0,243$), aracı değişken karşılıklı değerlendirme saygısındaki varyansı açıklama oranı %21.5 ($R^2= 0,215$) ve aracı değişken karşılıklı tanıma saygısındaki varyansı açıklama oranı %28.5 ($R^2= 0,285$) civarındadır. Bu durumda dönüşümcü liderlik, müşteriye yönelik üretkenlik karşıtı iş davranışlarını ve karşılıklı değerlendirme saygısını orta düzeyde etkilerken, karşılıklı tanıma saygısını yüksek düzeyde etkilemektedir. Bu bulgular dikkate alındığında araştırma modeli aşağıdaki gibi şekillenmiştir.

Şekil 2: Yapısal Eşitlik Modeli Sonuçları



Yapısal Eşitlik Modelinin Uyum İyiliği Değerleri: $\chi^2/sd=2.663$; CFI= ,90; TLI= ,90;
SRMR= ,061; RMSEA= ,075

Çalışmada önce aracı değişkenlerden karşılıklı tanıma saygısı ve karşılıklı değerlendirme saygısının dâhil edilmediği yalnızca dönüşümcü liderliğin müşteriye yönelik üretkenlik karşıtı iş davranışları üzerindeki etkisine dair modele bakılmıştır. Bu modelin bulgularına göre dönüşümcü liderliğin direkt olarak müşteriye yönelik üretkenlik karşıtı iş davranışlarını negatif ve anlamlı etkilediği gözlenmiştir ($\beta = -0,323$; $p < 0,01$). Fakat araştırma modeline karşılıklı tanıma saygısı ve karşılıklı değerlendirme saygısı aracı değişken olarak dâhil edildiğinde ise dönüşümcü liderliğin yine müşteriye yönelik üretkenlik karşıtı iş davranışlarını negatif ve anlamlı etkilediği ortaya konmuştur ($\beta = -0,136$; $p < 0,05$). Ancak aracı değişkenler modele dâhil edildiğinde bağımsız değişkenin bağımlı değişken üzerindeki etkisinde azalma ($\hat{c} < c$) olduğu için kısmi aracı etkiye sahip olduğu ifade edilebilir. Bununla birlikte her iki aracı değişkenlerin etkisini test etmek için Preacher ve Hayes (2008) tarafından önerilen %95 güven düzeyinde 1000 örneklem büyüklüğü esas alınarak BC Önyükleme yöntemi kullanılmıştır. %95 güven aralığında Bootstrap tahminlerine bakıldığında dönüşümcü liderliğin müşteriye yönelik üretkenlik karşıtı iş davranışları üzerindeki etkisinde bir azalma vardır ($\beta = -0,136$; %95 CI [-0,221 ile -0,070) ve bu etki anlamlı bir şekilde sıfırdan farklılaştığı için aracı rolü oynamaktadır ($p < 0,05$). Bu durumda **H6** hipotezi desteklenmiştir. Demek ki karşılıklı tanıma saygısı bu ilişkide aracı etkiye sahiptir. Buna karşın karşılıklı değerlendirme saygısı açısından olaya bakıldığında etki anlamlı bir biçimde sıfırdan farklılaşsa da Baron ve Kenny'e (1986) göre aracılık etkisinden söz edebilmek için hem bağımsız değişken hem de aracı değişkenin bağımlı değişken üzerinde anlamlı bir etkiye sahip olması gerekir. Ancak aracı değişken karşılıklı değerlendirme saygısının müşteriye yönelik üretkenlik karşıtı iş davranışları üzerinde negatif ama anlamlı olmayan bir etkiye sahip olduğu bulgulardan anlaşılmaktadır ($\beta = -0,062$; $p > 0,05$). Bu yüzden karşılıklı değerlendirme saygısı aracı etkiye sahip olmadığından **H7** hipotezi ret edilmiştir.

SONUÇ

Kapadokya, Türkiye turizm sektöründe katma değer yaratan önemli destinasyonlardan biridir. Bu destinasyonda konaklama işletmeleri turizm sektöründe hizmet veren önemli paydaşlar arasında yer almaktadır. Ancak bu işletmelerin performansı ve değer yaratma potansiyeli beklentileri karşılayamamaktadır. Bu sorunun temel nedenlerinden biri de müşteriye yönelik üretkenlik karşıtı iş davranışlarının sektörde var olmasıdır. Bu davranışları azaltmak veya ortadan kaldırmak için bu işletmelerde karizmatik liderlerden öte örgütü ve çalışanları dönüştürecek liderlik tarzlarına ihtiyaç duyulmaktadır. Bu liderlik tarzlarından birinin dönüşümcü liderlik olduğu düşünülmektedir. Ancak bu türden davranışları azaltmada liderlik biçiminin tek başına yeterli olamayacağı göz ardı edilmemelidir. Özellikle üst-ast ilişkilerinde saygının hâkim olmaması durumunda dönüşümcü liderlerin etkisi de sınırlı olacaktır. Dolayısıyla bu işletmelerde karşılıklı tanıma saygısı ve karşılıklı değerlendirme saygısını yaygınlaştıracak politikaların ve uygulamaların hem liderin etkinliğini artıracak, hem de müşteriye yönelik üretkenlik karşıtı iş davranışlarını önleyecektir. Bu bakış açısıyla çalışmada dönüşümcü

liderliğin müşteriye yönelik üretkenlik karşıtı iş davranışları üzerindeki etkisinde karşılıklı tanıma saygısı ve karşılıklı değerlendirme saygısının aracı rolü incelenmektedir.

Yapısal eşitlik modeli bulgularına göre dönüşümcü liderliğin müşteriye yönelik üretkenlik karşıtı iş davranışları üzerinde negatif ve anlamlı etkiye sahip olduğu saptanmıştır. Bu sonuç dönüşümcü liderliğin teorisi ile uyumlu olduğu gibi Bass (1998) ve Nguyen ve diğerleri (2019) tarafından yapılan çalışmaların bulgularıyla da dolaylı olarak desteklenmektedir. Dönüşümcü liderlik ile müşteriye yönelik üretkenlik karşıtı iş davranışları arasındaki ilişkiyi ortaya koyan ilk ampirik araştırma olan çalışmamız literatüre katkı olarak değerlendirilebilir. Buna karşın çalışmada dönüşümcü liderliğin karşılıklı tanıma saygısını ve karşılıklı değerlendirme saygısını pozitif ve anlamlı şekilde etkilediği saptanmıştır. Dönüşümcü liderlik literatüründeki bazı çalışmalar dönüşümcü liderlik ile yüksek özsaygı arasında pozitif ilişki olduğuna dair tespitler de çalışmamızın bulguları ile paralellik göstermektedir (Bass, 1998).

Araştırma bulgularına göre, karşılıklı tanıma saygısının müşteriye yönelik üretkenlik karşıtı iş davranışlarını negatif ve anlamlı etkilediği saptanmıştır. Ancak karşılıklı değerlendirme saygısının müşteriye yönelik üretkenlik karşıtı iş davranışlarını negatif, ama anlamlı olmayan şekilde etkilediği gözlenmiştir. Çalışmanın bu tespiti ile ilgili olarak literatürde henüz bir çalışma bulunmamasına karşın Clarke ve Mahadi'nin (2017a) karşılıklı tanıma saygısı ile izleyici performansı arasında ve yine karşılıklı değerlendirme saygısı ile iş performansı arasında pozitif ilişki tespit eden çalışması dolaylı olarak bu bulguyu desteklemektedir. Çünkü çalışmada karşılıklı tanıma saygısının ve karşılıklı değerlendirme saygısının performansı artırdığı görülmektedir. Bu bulgudan yola çıkıldığında karşılıklı tanıma saygısının müşteriye yönelik üretkenlik karşıtı iş davranışlarını azaltması da beklenen bir durumdur.

Öte yandan yapısal eşitlik modellemesi bulgularına göre dönüşümcü liderliğin müşteriye yönelik üretkenlik karşıtı iş davranışları üzerindeki etkisinde karşılıklı tanıma saygısının aracı etkiye sahip olduğu, ancak karşılıklı değerlendirme saygısının aracı etkiye sahip olmadığı ortaya konmuştur. Yönetim literatüründe Clarke, Alshenalfi ve Garavan'ın (2019) yaptığı çalışmada da hem karşılıklı değerlendirme saygısının hem de karşılıklı tanıma saygısının, etkileme taktikleri ile iş performansı ilişkisinde aracı rolü oynadığı gözlenmiştir. Bu tespit araştırmamızın bulgularını destekleyici niteliktedir.

Bu çalışmada tasarlanan model bir bütün olarak dikkate alındığında çalışma literatüre yeni bir katkı olarak değerlendirilebilir. Buna ilaveten çalışmanın bulguları göz önüne alınarak turizm sektöründeki konaklama işletmelerine müşteriye yönelik üretkenlik karşıtı davranışları azaltmak için şu öneriler sunulabilir:

-Çalışmada konaklama işletmelerinde dönüşümcü liderliğin, müşteriye yönelik üretkenlik karşıtı iş davranışlarını azalttığı ortaya konmuştur. Bu bulgu göz önüne alındığında konaklama işletmeleri sektöründe insan kaynakları departmanlarının, yönetici ve çalışan seçimini bilimsel yöntemlerle yapmaları gerekir. Personel seçimini birçok boyut üzerinden birçok yöntemi bir arada kullanarak yapan değerlendirme merkezleri yaklaşımını benimsemeleri önerilebilir (Yelboğa, 2012). Bu işletmelerin her mahali müşteri ile bağlantının kurulduğu yerler olduğundan yöneticilerin işbirliğine dönük olması gerekir. Buna ilaveten bu işletmelerde müşteriye yönelik üretkenlik karşıtı iş davranışlarının azaltılması ve ortadan kaldırılması için yönetici ve çalışanların müşterilerle empatik bir yaklaşım benimsemeleri önerilebilir.

-Çalışmamızda çalışanların insan olduğu için saygı görmeyi hak ettiğini ifade eden karşılıklı tanıma saygısının da müşteriye yönelik üretkenlik karşıtı iş davranışları azalttığı tespit edilmiştir. Bu tespite göre farklı inançlara, değerlere, kültürlere ve görüşlere sahip çalışanlara ve müşterilere saygı gösteren konaklama işletmeleri yüksek düzeyde katma değer yaratmaktadır. Dolayısıyla konaklama işletmelerinin yöneticilerini ve işgörenlerini farklılıkların yönetimi konusunda eğitmeleri tavsiye olarak sunulabilir. Bununla birlikte farklılıkların kabul görmesi ve saygı görmesi için mentorlük, koçluk ve personel güçlendirme uygulamalarından yararlanılabilir. Ayrıca işgören ve müşteri farklılıklarının hoş görülmesi ve farklılık liderliği konusunda personele görev dışındaki zamanlarda eğitim seminerleri verilebilir, ayrımcı olmayan işe alma ve terfi politikaları izlenebilir, farklılıklara karşı duyarlı personel ödüllendirilebilir (Özgener, 2016: 318-336).

-Çalışmada konaklama işletmelerinde çalışanlara iş bilgisinden, yetkinliğinden, performansından, profesyonel niteliklerinden, itibar ve imajından dolayı duyulan saygıyı ifade eden karşılıklı değerlendirme saygısının müşteriye yönelik üretkenlik karşıtı iş davranışları üzerinde belirleyici olmadığı gözlenmiştir. Çalışanların düşük değerlendirme saygısına sahip olduğu işletmelerde onların düşük iş tatminine sahip olması beklenen bir durumdur. Bu yüzden konaklama işletmeleri için özellikle personelin değer ve kendini gerçekleştirme ihtiyaçlarını karşılayacak etkin ödüllendirme ve performans değerlendirme uygulamaları tavsiye edilebilir. Çünkü çalışanların emeklerinin karşılığını alamadığı, performansın objektif değerlendirilmediği, kazancın adil paylaşılmadığı, çalışana bilgi ve becerilerini kullanabileceği işlerin verilmemesi ve personelin terfi ve sorumluluk olarak hak ettiği pozisyonlara

getirilmediği konaklama işletmelerinde karşılıklı değerlendirme saygısının düşük olması uygulamada da gözlenmektedir. Dolayısıyla müşteriye yönelik üretkenlik karşıtı iş davranışlar, çalışanlara yönelik karşılıklı değerlendirme saygısının düşük olmasının sonuçlarından biridir.

Bu çalışmada tasarlanan araştırma modelinin güçlü yanları olmasına karşın yönetim yazınındaki her çalışmada olduğu gibi bazı kısıtları da bulunmaktadır. Birincisi bu çalışma Covid-19 pandemi döneminde yapıldığı için konaklama işletmelerinin büyük bir kısmı kapalı olduğundan örneklem, nispeten kabul edilebilir büyüklüktedir. Çünkü konaklama işletmelerindeki yönetici ve işgörenlerin büyük bir kısmı izinli olduğundan anketin uygulanmasında güçlükler yaşanmıştır. İkincisi, çalışmada gerek müşteriye yönelik üretkenlik karşıtı iş davranışları ölçeği gerekse karşılıklı tanıma saygısı ve karşılıklı değerlendirme saygısı ölçekleri ilk defa Türkçe'ye uyarlanmış, eklemeler yapılmış, bu ölçeklerin güvenilirlikleri ve geçerlilikleri çalışmada test edilmiş olsa da bu alanda daha fazla araştırmaya gereksinim duyulmaktadır.

Bu çalışmada bir saha araştırmasıyla dönüşümcü liderliğin müşteriye yönelik üretkenlik karşıtı iş davranışlarına etkisinde karşılıklı tanıma ve karşılıklı değerlendirme saygısının aracı rolü test edildi. Gelecekte özellikle müşteriye yönelik üretkenlik karşıtı iş davranışları ölçeğinin Türkçeye uyarlanması ve bu konuda bir teorinin oluşturulmasına yönelik çalışmaların yapılması tavsiye edilebilir. Yine karşılıklı tanıma saygısı ve karşılıklı değerlendirme saygısının örgütsel çıktılar üzerindeki etkilerine dönük kültürlerarası bir karşılaştırmalı bir araştırma önerilebilir. Ayrıca bu çalışmanın bulgularını tüm sektöre genelleştirebilmek için daha fazla bulguya ihtiyaç duyulduğundan bu verilere yeni boyutlar eklemek veya daha fazla katkı sunmak için bundan sonraki çalışmalarda nitel veri elde edilmesi veya ikincil veriler kullanılması düşünülebilir.

KAYNAKLAR

- Albayrak, A. (2013). Restoran işletmelerinde müşteri şikâyetleri ve şikâyete ilişkin davranışlar. *PARADOKS Ekonomi, Sosyoloji ve Politika Dergisi*, 9(2), 24-51.
- Arvan, M. L., Shimon, Y., Pindek, S., Kessler, S. R. ve Spector, P. E. (2020). Examining temporal precedence between customer mistreatment and customer-directed counterproductive work behavior. *International Journal of Stress Management*, 27(3), 281-291.
- Aslanzade, Ş. (2017). Çalışan hileleri, *İstanbul Aydın Üniversitesi Dergisi*, 36, 61-75.
- Avolio, B. J. ve Bass, B. M. (2002). *Developing potential across a full range of leadership: Cases on transactional and transformational leadership*. New Jersey: Lawrence Erlbaum Associates Inc.
- Avolio, B. J. ve Bass, B. M. (2004). *Multifactor leadership questionnaire: Manual and Sampler Set*. Redwood City, CA: Mind Garden.
- Baron, R. M. ve Kenny, D. A. (1986). The moderator-mediator variable distinction in social psychological research: Conceptual, strategic, and statistical considerations. *Journal of Personality and Social Psychology*, 51(6), 1173-1182.
- Bass, B. M. (1994). Transformational leadership and team and organizational decision making. In *Improving Organizational Effectiveness Through Transformational Leadership* (s.104-120). B. M. Bass and B. J. Avolio (Ed.), Thousand Oaks, California: Sage Publications Inc.
- Bass, B. M. (1998). *Transformational leadership: Industrial, military and educational impact*. Mahwah, NJ: Lawrence Erlbaum Associates.
- Bass, B. M. ve Avolio, B. J. (1990). Developing transformational leadership. *Journal of European Industrial Training*, 14(5), 21-27.
- Bass, B. M. ve Riggio, R. E. (2006). *Transformational Leadership*. Mahwah, NJ: Lawrence Erlbaum Associates.
- Bonini Campos, J. A. D., Carrascosa, A. C., Bonafé, F. S. S. ve Maroco, J. (2013). Severity of temporomandibular disorders in women: validity and reliability of the Fonseca Anamnestic Index. *Brazilian Oral Research*, 28(1), 1-6.
- Burns, J. M. (1978). *Leadership*. New York: Harper & Row.
- Byrne, B. M. (2010). *Structural equation modeling with AMOS: Basic concepts, applications, and programming*, 2nd edition, New York: Routledge.
- Celep, C. (2004). *Dönüşümcü Liderlik*. Ankara: Anı Yayıncılık.
- Clarke, N. ve Mahadi, N. (2017a). Mutual recognition respect between leaders and followers: Its relationship to follower job performance and well-being. *J Bus Ethics*, 141, 163-178.
- Clarke, N. ve Mahadi, N. (2017b). The significance of mutual recognition respect in mediating the relationships between trait emotional intelligence, affective commitment and job satisfaction. *Personality and Individual Differences*, 105, 129-134.
- Clarke, N., Alshenalfi, N. ve Garavan, T. (2019). Upward influence tactics and their effects on job performance ratings and flexible working arrangements: The mediating roles of mutual recognition respect and mutual appraisal respect. *Hum Resour Manage*, (58), 397-416.
- Çıngı, H. (1994). *Örnekleme Kuramı, Hacettepe Üniversitesi Fen Fakültesi Yayınları Ders Kitabı Dizisi: 20*, Ankara: Hacettepe Üniversitesi Fen Fakültesi Basımevi.

- Çulha, O., Hacıoğlu, G. ve Kurt, G. (2009). Otel müşterilerinin e-şikâyetlerine yönelik bir içerik çözümlemesi. *Seyahat ve Otel İşletmeciliği Dergisi*, 6(4), 42-49.
- Darwall, S. L. (1977). Two kinds of respect. *Ethics*, 88(1), 36-49.
- Doğan, A. ve Deniz, N. (2017). Algılanan liderlik tarzının üretkenlik karşıtı iş davranışlarının ortaya çıkmasındaki etkisinde örgüt kültürünün rolü. *Uluslararası Sosyal Araştırmalar Dergisi*, 10(52), 1014-1024.
- Doğan, S. ve Kılıç, S. (2014). Algılanan örgütsel etik iklim ve üretkenlik karşıtı iş davranışları arasındaki ilişkilerin incelenmesi. *C.Ü.İktisadi ve İdari Bilimler Fakültesi Dergisi*, 15(1), 269-292.
- Duran, Ö. ve Eldekeleklioğlu, J. (2005). Öfke kontrol programının 15–18 yaş arası ergenler üzerindeki etkililiğinin araştırılması. *GÜ, Gazi Eğitim Fakültesi Dergisi*, 25(3), 267-280.
- Durceylan, A. N. (2013). Havayolu yolcu taşımacılığı hizmetinde yaşanan kritik olayların kabin personeli bakış açısıyla araştırılması. Yayınlanmamış Yüksek Lisans Tezi, Anadolu Üniversitesi, Sosyal Bilimler Enstitüsü, İşletme Anabilim Dalı, Eskişehir.
- Eraslan, L. (2006). Liderlikte post-modern bir paradigma: Dönüşümcü liderlik. *Uluslararası İnsan Bilimleri Dergisi* 1(1), 1-32.
- Gibbard, A. (1992). *Wise choices apt feelings: A theory of normative judgement*. Cambridge, Massachusetts: Harvard University Press.
- Gomes, A. R. (2014). Transformational leadership: Theory, research, and application to sports. In *Contemporary topics and trends in the psychology of sports*. (s.53-114), C. Mohiyeddini (Ed.), New York: Nova Science Publishers.
- Grover, S. L. (2013). Unravelling respect in organization studies. *Human Relations*, 67, 27–51.
- Hacker, S. ve Roberts, T. (2003). *Transformational leadership: Creating Organizations of Meaning*. Milwaukee: ASQ Quality Press.
- Herring, J. (2008). Respecting family life. *Amicus Curiae*, 75, 21-26.
- Holtz, B. C. ve Harold, C. M. (2013). Effects of leadership consideration and structure on employee perceptions of justice and counterproductive work behavior. *Journal of Organizational Behavior*, 34, 492–519.
- Hu, L. T. ve Bentler, P. M. (1999). Cutoff criteria for fit indexes in covariance structure analysis: Conventional criteria versus new alternatives. *Structural Equation Modeling: A Multidisciplinary Journal*, 6(1), 1-55.
- Hunter, E. M. ve Penney, L. M. (2014). The waiter spit in my soup! Antecedents of customer-directed counterproductive work behavior. *Human Performance*, 27(3), 262–281.
- Hur, W. M., Moon, T. W. ve Lee, H. G. (2018). Employee engagement in CSR initiatives and customer-directed counterproductive work behavior (CWB): The mediating roles of organizational civility norms and job calling. *Corp Soc Resp Env Ma*, 25, 1087–1098.
- Jöreskog, K. G. ve Sörbom, D. (1993). *LISREL 8 [Computer Software]*. Chicago, Illinois: Scientific Software International Inc.
- Keriman, G. (2019). İş güvencesizliği ile iş erteleme arasındaki ilişkide örgüt temelli özsaygının düzenleyici rolü. Yayınlanmamış Yüksek Lisans Tezi, Nevşehir Hacı Bektaş Veli Üniversitesi, Sosyal Bilimler Enstitüsü, İşletme Anabilim Dalı, Nevşehir.
- Kessler, S. R., Bruursema, K., Rodopman, B. ve Spector, P. E. (2013). Leadership, interpersonal conflict, and counterproductive work behavior: An examination of the stressor–strain process. *Negotiation and Conflict Management Research*, 6(3), 180–190.
- Kline, R. B. (2011). *Principles and practice of structural equation modeling*. 3rd ed. New York: Guilford Pres.
- Moon, T. W. ve Hur, W. M. (2018). Go home and kick the dog: Spillover effects of experienced coworker incivility on customer-directed counterproductive work behavior. *Journal of Service Theory and Practice*, 28(5), 554-575.
- Ng, T. W. H, Lam, S. S. K. ve Feldman, D. C. (2016). Organizational citizenship behavior and counterproductive work behavior: Do males and females differ? *Journal of Vocational Behavior*, 93, 11-32.
- Nguyen D. T. N., Teo, S. T. T., Grover, S. L. ve Nguyen, N. P. (2019). Respect, bullying, and public sector work outcomes in Vietnam. *Public Management Review*, 21(6), 863-889.
- Özgener, Ş. (2016). *İş ahlakının temelleri: Yönetimsel bir yaklaşım*. Ankara: Nobel Akademik Yayıncılık.
- Power, S. J. ve Lundsten, L. L. (2005). Managerial and other white-collar employees' perceptions of ethical issues in their workplaces. *Journal of Business Ethics*, 60, 185-193.
- Preacher, K. J. ve Hayes, A. F. (2008). Asymptotic and resampling strategies for assessing and comparing indirect effects in multiple mediator models. *Behavior Research Methods*, 40(3), 879-891.
- Robinson, S. L. ve Bennet, R. J. (2000). Development of a measure of workplace deviance. *Journal of Applied Psychology*, 85(3), 349-360.
- Shin, I., Hur, W. M., Kim, M. ve Kang, S. (2017). Hidden roles of CSR: Perceived corporate social responsibility as a preventive against counterproductive work. *Behaviors Sustainability*, 9(955), 1-12.
- Simon, B. ve Grabow, H. (2014). To be respected and to respect: The challenge of mutual respect in intergroup relations. *British Journal of Social Psychology*, 53, 39–53.
- Simon, B., Grabow, H. ve Böhme, N. (2015). On the meaning of respect for sexual minorities: The case of gays and lesbians. *Psychology & Sexuality*, 6, 297–310.
- Sökmen, A., Kenek, G. ve Uğraş, E. (2019). Etik liderlik ve üretkenlik karşıtı iş davranışı ilişkisi: örgütsel bağlılığın aracı rolü. *Third Sector Social Economic Review*, 54(4), 1568-1582.

- Tüm, Y. (2018). Havayolu taşımacılığında kurumsal imaj ve etik algıların yeniden satın alma niyeti üzerindeki etkileri: ilişki kalitesinin düzenleyici rolü. Yayınlanmamış Yüksek Lisans Tezi, Nevşehir Hacı Bektaş Veli Üniversitesi, Sosyal Bilimler Enstitüsü, İşletme Anabilim Dalı, Nevşehir.
- Yelboğa, A. (2012). Değerlendirme merkezi uygulamalarının Türkiye’deki organizasyonlarda kullanımına ilişkin bir araştırma. *Yönetim Dergisi*, 23(72), 8-24.
- Yılmaz, Ö.D. (2014). Algılanan mağduriyetin affetme eğilimi ve intikam niyeti üzerindeki etkisi: Konaklama işletmeleri çalışanlarına yönelik bir araştırma. *AKÜ İİBF Dergisi*, XVI (1), 87-105.

Sponsorship As An Advertisement Tool

Tayfun GÜVEN¹

¹Dr. Faculty Member Ayvansaray University FEAS tayfunguven@ayvansaray.edu.tr, ORCID: 0000-0002-2493-6909

Özet: Sponsorluk, bir kuruluşun ticari avantajlar edinmesi amacıyla bir aktiviteyi veya aktiviteyi gerçekleştiren kurumu maddi ya da manevi olarak destekleme işlemine denilmektedir. Sponsorlukta, sponsorluk yapan ve sponsor olunan iki tarafın olduğu söz konusudur. Bu kurumlar karşılıklı çıkar sağlama amacıyla hareket ederek hedeflerine ulaşma konusunda karşılıklı destek almaktadırlar. İletişim konusunda oldukça güçlü bir yapıya sahip olan sponsorluk, iş ilişkisi konusunda taraflardan birinin diğerine ticari avantajlar kazanmak için hak ve ortaklık perspektifinde finansal destek sağlama özelliği taşımaktadır.

Özellikle reklam yasaklı sektörlerde oldukça önemli olan sponsorluk kavramı bu nedenle çalışmanın ana konusu olarak seçilmiştir. Bu bağlamda iki bölümden oluşan çalışmanın ilk bölümünde sponsorluğun amaçları, ikinci bölümünde ise sponsorluk türleri ele alınmıştır.

Anahtar Kelimeler: Sponsorluk Reklam

Abstract: Sponsorship is the process of financially or morally supporting an activity or the institution that carries out the activity in order to gain commercial advantages. In sponsorship, it is possible that there are two parties, sponsor and sponsored. These institutions take mutual support in achieving their goals by acting for mutual benefit. Sponsorship, which has a very strong structure in communication, has the feature of providing financial support from the perspective of rights and partnerships in order to gain commercial advantages from one of the parties to the other.

The concept of sponsorship, which is very important especially in the advertising-prohibited sectors, has therefore been chosen as the main subject of the study. In this context, the study consists of two parts, the aims of sponsorship are discussed in the first part of the study, and the types of sponsorship in the second part.

Keywords: Sponsorship Advertising

1. INTRODUCTION

By targeting the interests of the institution, sponsorship is the process of promoting itself in social media or in the media. It is expressed as working, programming, realizing and controlling the objectives of the activity and the aid provided such as material, tools and equipment or services in the operation of an individual or organization (Peltekoğlu 1998, 177). Sponsorship can be defined as a course that will be beneficial in the direction of certain strategic goals, not from the practices in the ongoing activities of the organization. The sponsorship to be defined here is described as mutually benefiting each other for financial or service purposes. In today's world, where the opportunity to promote more and more, especially by reaching more masses through media channels, powerful organizations take part in sports, arts and similar arrangements that can draw the attention and appreciation of the target audience and financially support these activities (Karadeniz 2009: 63). The support of the sponsor and sponsored parties to each other should be beneficial. Thus, the sponsorship that has been planned and organized together is realized (Yılmaz, 2007: 2003, 588).

2. SPONSORSHIP

Önal (1997: 58) stated that sponsorship allows the sponsor organization to do it not only in a specific area, but also in the fields desired. In this case, by reaching more audiences it enables targeted advertising to be made. For example, by looking at the increase in sponsorship activities of IEG (International Evaluation Group), which works under the World Bank and conducts world sponsorship organizations; that the methods of marketing activities reach the target audience differ and people should be able to express that they are uncomfortable with advertisements. Accordingly, it is in an important place and helps to present the advertisement to the target audience in the best way. However, it should be considered that a negative result will occur therefore it cannot show the desired effect when applied alone. However, it increases its effectiveness by providing support to sponsorship and using it more efficiently with the means of communication it yields (VanWyk, 1996, 35). Therefore, a planned sponsorship process, together with the sponsorship area and organization selected in a significant way, can bring the targeted benefit, and the opposite sponsorship activity may remain only an unnecessary and non-beneficial expenditure for the sponsor. Sponsorship has come to the fore with different

topics and different paths throughout history (Haywood 1991, 106). Sponsorship for commercial activities covers the processes such as programming, organizing, activity and target of activities in order to achieve predetermined goals (Okay 1998, 29).

3. OBJECTIVES OF SPONSORSHIP

It is not correct to say that the sponsorship is made only to promote the product and the brand to the target audience. In addition, actions such as organizing the internal customer bond of sponsorship, providing current markets and targeted audiences for the brand or organization and increasing the level of awareness for permanent customers are carried out (Okay, 1997: 30). Sponsorship activities are among the aims of organizing and developing sales, improving the brand, gaining recognition and promoting itself by taking its necessary place in the media, as well as making memorable and entertaining activities for the targeted audiences. Apart from these, it is necessary to mention other purposes. The appearance of the institution, the distinctness of the institution, the improvement of sales, new product advertisement, social relations, differentiation and many other issues can be counted among the goals of the sponsorship (Koçyiğit and Küçükçivil, 2018: 115).

3.1. Advertising Purposes of Sponsorship

Advertising by definition can be explained as the preparation of visually or aurally targeted messages in order to ensure that consumers mention a good and service or brand and get a positive return for the advertisement, and the publication of these advertisements in paid ways. The content of the advertisement includes the purposes of announcing the features, benefits and positive aspects of the product or service to the targeted audience, providing information and advertising (Okay 1997, 33).

Another advantage of advertising is to protect the present ad. This situation completes the behaviors. When the brands are advertised, if the target audience notices this in the ad, they will be more creative in brand choices. Successful and accurate advertising provides the target audience with the tools to choose the right brand preferences (Sutherland and Sylvester 2004, 77). Creating liking and awareness about the product or service is one of the important functions of advertising. Advertising professionals try to measure the impact of promotion, reminder and target audience changes for awareness. Sponsorship, just like advertisement, is carried out to create appreciation and awareness. Therefore, there is an important relationship between advertising and sponsorship and common goals. Sponsorship is all about strategy. Correct and regularly prepared and targeted sponsorship is less costly than advertising (Yüksel, 2018: 113). In addition, sponsorship activities can be used instead of the following advertising activities:

Announcement of Products with Banned Advertising in the Media

The ban of cigarette and tobacco advertisements in some countries (eg Spain, France, England) is one of the reasons for the companies producing in this sector to prefer sponsorship. In our country, the decision to prohibit advertising on tobacco started in 1996 with the law numbered 4297, and then the ban was extended with the articles of law. The ban of cigarette and alcohol advertisements in the media leads to the judgment that sponsorship should be used instead of advertising (<https://www.resmigazete.gov.tr/arsiv/14500.pdf> E.T. 24.09.2020). Organizations producing alcohol and tobacco products whose advertisements are banned on the media needed new channels for the advertisement of their products and turned to sponsorship. Thus, they acquired a new channel to advertise prohibited products in the media. (Mutlu and Seyidoğulları, 2017: 33).

Supporting Advertised Products

Organizations that start to produce goods or services in different fields can present their new products to the targeted audience and inform the mass for this product by using sponsorship. For example; With its sports advertising, Canon shows that it is not only a camera manufacturer, but also produces office products (Canöz and Doğan, 2015: 27). It is possible to use the brand in movie scenes or product placement. Especially in movie scenes, visual of the brand or product as sponsorship, is called hidden advertising. The advertisement of the Aston Martin brand with the vehicle shown in the James Bond movies and the recognition of this brand with James Bond can be given as an example (Evrin, 2014, 161).

Using Other Advertising Opportunities

It shows the activities carried out to promote a product in different stadiums. For example; Daihatsu takes advantage of introducing the car they have produced by giving the players a newly produced golf cart in a golf competition. The sponsor of a new car produced by a different company, in order to be seen on television, give certain messages and passwords during the race and to reward those who know them, attract the audience to

the screen. This behavior increases the number of people who hear about the brand and product of the organization (Elden and Ulukök, 2017, 65).

4. SPONSORSHIP TYPES

This completely differs according to the sponsorship situation. In this case, sponsorships in areas such as events, culture and arts activities, travel programs, environmental events and sports activities are also mentioned with these areas.

4.1. Event Sponsorship

The majority of sponsorships are made with celebrities. Some event carried out with known people are included in social responsibility activities. However, some events are excluded from this scope and are formed entirely by the planning of a sponsor and no financial income is expected (Aksoy 2018: 53). For example; Çanakkale Martyrs' Commemoration Events in March 2018 are free events held by many municipalities. Istanbul Metropolitan Municipality also organizes these activities and the food and beverage and bus fees of the participants are allocated by the municipality. Financial element is not considered in the activity here (<https://www.ibb.istanbul/News/Detail/33836> E.T. 24.09.2020).

4.2. Culture and Art Sponsorship

The most common sponsorship activity after sports is culture and arts sponsorship. Although it appeals to a more limited audience than sports sponsorship, its cost is also lower. It focuses on certain audiences under culture and arts sponsorship, and the artistic side of the sponsor is emphasized by being included in the arts organizations (Okay, 1998: 25). Culture and arts sponsorship generally comes to the fore with financial problems due to the insufficient support provided as a service. In such sponsorships, the organization is interested in art, reaching target audiences in order to generate a long-term commercial income, and highlighting the goodwill variable in social thought (Evrin, 2014: 65).

Depending on the budget of the institution, the culture and arts events to be organized with a large or small budget will gather the sympathy, trust and support of the society. The message to be given here is to show that the institution is intertwined with culture and art. However, it is desired to combine the concept of art and its name in public opinion. Thanks to culture and art, it is desired to convey the message to the target audience, especially the youth, how contemporary and forward-looking the institution is (Okay, 2020: 1101).

4.3. Travel and Adventure Sponsorship

Supporting climbing, world tour with balloons, crossing oceans with small boats, long-distance trips, record trials, one-person world tour and similar activities are called adventure and travel sponsorship (Tedarikçi and Baş, 2018: 293). In travel and adventure sponsorship, there can be a single sponsor as well as sponsorship of more than one organization. These organizations also contribute directly and materially. The support of such events varies according to the image of the sponsor and the message they want to give. Yapı Kredi Bank is one of the best examples of adventure and travel sponsorship. Yapı Kredi Bank sponsors the climbing of Mount Everest, which was first performed by Turkish climber Nasuh Mahruki. Due to the fact that it will be performed by a Turkish mountaineer for the first time and because of its features demanding help from the international climbing organizations, this climbing event is supported under the leadership of Yapı Kredi Bank, as it is found in line with the idea of moving towards international targets and valuing young people (Akyürek 1998, 18). (Akyürek 1998, 18).

This project ensures that the name of Yapı Kredi bank and the banks top executives are featured in the media for a long time. Although the risk of failure is great, the important thing here is the positive effects of this support on the target audience. The organization can use successful events in advertising activities in accordance with the agreements made (Okay 1998, 290-291).

4.4. Environmental Sponsorship

Due to the regulation of environmental awareness, environmental sponsorship is becoming more widespread nowadays and draws attention to the social responsibility of the institution. Depending on the size of the environment, organizations conduct large or small-scale sponsorships. What is meant is to give a message of sensitivity and apprehensiveness to the environment (Peltekoğlu 1998, 86). Due to the fact that the society is more conscious and responsible for the environment, this sponsorship is becoming more recognized day by day and takes its place in the market (Karadeniz, 2009: 67). By conducting environment sponsorship, organizations

convey the importance they give to the environment and people. In this case, the targeted audience gets the message and their sympathy towards the organizations comes to the fore. In addition, the projects to be made for the society and the environment are shown in the media to raise the awareness of the mass. In this case, people see the value that institutions give to the environment and are interested (Peltekoğlu 1998, 88).

4.5. Social Responsibility Sponsorship

Although companies are not purely for-profit commercial organizations, they also have a responsibility to the society they live in. Social sponsorship is important for companies or individuals to fulfill their responsibilities to society in a timely manner. This type of sponsorship, which allows companies to think that they are the institutions that fulfill the social responsibility project for their target audience, should be carried out in a professional structure that is suitable for the targeted result, without emotional thinking, and should be concluded with the goals of the institution (Özüpek, 2013: 55). With the effect of globalization; projects and plans on social issues are expected by the people. This situation is closely related to the image of the institution (Sargın, 2011: 88).

4.6. Sports Sponsorship

It is the sponsorship that has the biggest place in sponsorship costs. A lot of financial support is required compared to other sponsorships. Sponsorships made in the direction of sports usually include large materiality and famous people. As a result of the researches, they make sports sponsorships instead of others in order to improve the image of institutions and to make their own advertisement better (Odabaşı and Oyman 2007, 369). In order to reach more target audiences, sponsorship in the direction of sports is preferred (Sargın, 2011: 88).

Today, healthy nutrition is included in sports sponsorship. While promoting healthy products, it is done through well-known people in the field of sports. In this case, the desired message is given to the consumer (Peltekoğlu 1998, 91). Sports sponsorship can occur as sponsorship of individual athletes, sports teams, sports organizations. Promotions are made through athletes and sports fields. The names of the sponsoring organizations, i.e. their advertisements, are displayed on the clothes worn by the athletes. Therewithal, during sports, the names or brands of all sponsored organizations are written throughout the stadium until the end of the match (Baş, 2008: 113).

Nowadays, it is known that companies that are sponsors in the field of sports come to the fore in order to promote their brands and increase their sales rate, to respond to the demands of the target audience, to communicate with the target audience, and to show that they have social responsibility (Peltekoğlu 1998, 204). For the first time in Turkey, sponsorship in the field of sports begins with Eczacıbaşı Sports Club, which was established by Eczacıbaşı Holding in 1966. The reason why Eczacıbaşı Holding started its sponsorship in the field of sports in these years is shown to lead the way in improving the living conditions of sports and athletes and to improve their image. Another of the first sports sponsors was Efes Pilsen. In order to contribute to the development of sports in the country, they founded the Efes Pilsen Sports Club in 1976 and this club has achieved many successes in the field of basketball. Sponsorship is a concept that has developed in the last 20-30 years (<http://www.eczacibasisporkulubu.org.tr/Kurulus> E.T. 24.09.2020).

CONCLUSION

Sponsorship can be among the short or long term plans of the organization, and the ongoing activities can be directed among these plans. The advertisement to be made in terms of supporting the activities as well as the activities themselves and increasing the recognition of the sponsoring organization among the people, can increase the effectiveness of promotion and similar activities. Recognition of sponsorship between the two parties is very important. There will be dozens of organizations willing to sponsor an organization that is well known in the public. Organizations that intend to conduct sponsorships desire to introduce themselves to the public by making more advertisements on their names. In this case, by using a well-known organization, they find space for themselves in the media.

For a healthy execution of sponsorship, the corporate culture should not be in contrast with the planned sponsorship. It should be in the same way and deliver the message to the target audience. If this is not paid attention to, it will be difficult to reach the desired result as the activities' effects will expire immediately.

REFERENCES

- Aksoy, Hasan. "Sponsor Marka Kimlik Uyumunun Marka İmaj Transferi Üzerine Etkisi: Çoklu Fuar Sponsorluğunun Analizi." *Gaziantep University Journal of Social Sciences* 17.4 (2018).
- Akyürek, R. "Sponsorluk Planlaması." *Anadolu Üniversitesi Yayınları* (1998).
- Baş, Mehmet. "Spor sponsorluğu ve spor federasyonlarının sponsorluğa bakışı üzerine bir araştırma." *Gazi Üniversitesi İktisadi ve İdari Bilimler Fakültesi Dergisi* 10.3 (2008): 111-124.
- Canöz, Kadir, and İsmailcan Doğan. "İmaj oluşturma aracı olarak sponsorluk." *Gümüşhane Üniversitesi İletişim Fakültesi Elektronik Dergisi* 3.2 (2015).
- Elden, Müge, Özkan Ulukök, and Sinem Yeygel. *Şimdi Reklamlar... İletişim Yayınları*, 2017.
- Evrin, Töre. "Kültür Endüstrileri Kentsel Politikalarda Bir Yer Edinebilir mi?: İstanbul Film Endüstrisi Örneği." *İDEALKENT* 5.12 (2014): 160-193.
- Haywood R. *All about public relations*. London: McGraw-Hill; 1991
- Karadeniz, Mustafa. "Pazarlama iletişimi kapsamında sponsorluk faaliyetlerinin önemi." *Journal of Naval Sciences and Engineering* 5.1 (2009): 62-75.
- Koçyiğit, Murat, and Büşra Küçükçivil. "Pazarlama Amaçlı Sponsorluk Etkinlikleri ile Tüketici Temelli Marka Değeri Arasındaki İlişkinin İncelenmesi: Bir Türk Markası Üzerine Tüketici Araştırması." *Connectist: Istanbul University Journal of Communication Sciences* 55 (2018): 113-141.
- Mutlu, Erdem İlker, and Mustafa Seydioğulları. "Tütün Kontrolü ve Hukuk: Son Gelişmeler." *Yayın Kurulu* (2017): 30.
- Peltekoğlu, Filiz Balta. *Halkla ilişkiler nedir*. Beta Basım Yayım Dağıtım, 1998.
- Odabaşı, Y., and Mine Oyman. "Pazarlama İletişimi Yönetimi, Kapital Medya Hizmetleri AŞ., 7." Baskı, İstanbul (2007).
- Okay, Aydemir. *Halkla ilişkiler aracı olarak sponsorluk*. Epsilon Yayıncılık Hiz. Tic. San. Limited Şti., 1998.
- Özüpek, M. N. (2013). *Kurum imajı ve sosyal sorumluluk*. Eğitim Yayınevi.
- Okkay, İpek. "Film Yapımında Ekonomik Bir Destek Olarak Film Sponsorluğu." *Gaziantep Üniversitesi Sosyal Bilimler Dergisi* 19.3 (2020).
- Önal, G. *Halkla ilişkiler*, İstanbul: Türkmen Kitabevi, 1997.
- Sutherland, Max, and Alice K. Sylvester. "Reklam ve tüketici zihni." *Trans. İnci Berna Kalınyazgan, İstanbul: Mediacat* (2004).
- Van Wyk, Belinda. *The planning of informal housing in the Western Cape with reference to Marconi Beam*. Diss. Stellenbosch: Stellenbosch University, 1996.
- Yılmaz, R. Ayhan. "Marka Farkındalığı Oluşturmada Sponsorluk ve Rolü: Eskişehir Sinema Günleri'ne Yönelik Bir Değerlendirme." (2007).
- Yüksel, Murat. "Sponsorluk Ve Reklam Faaliyetlerinin Muhasebe Ve Vergi Uygulamaları Açısından İncelenmesi." *Ahi Evran Üniversitesi İktisadi ve İdari Bilimler Fakültesi Dergisi* 2.2: 111-126.
- <https://www.resmigazete.gov.tr/arsiv/14500.pdf> E.T. 24.09.2020

Türkiye’de Dış Ticaret - Karbon Salınımı İlişkisi: Toda-Yamamoto ile Granger Nedensellik Analizi

Dr. Öğr. Üyesi Tufan SARITAŞ¹

¹Karamanoğlu Mehmetbey Üniversitesi, İ.İ.B.F., İktisat Bölümü, tufansaritas@kmu.edu.tr, ORCID: 0000-0003-1728-2377

Özet: Sanayi Devriminden günümüze kadar teknolojiye yaşanan gelişmeler, bir taraftan büyüme ve dış ticaretin artmasına neden olurken, diğer taraftan da karbon salınımını önemli ölçüde artırmıştır. Bu ilişkiden hareketle, çalışmada 1970-2018 periyodu ele alınarak Türkiye’de karbon salınımı ile dış ticaret arasındaki ilişki, Toda-Yamamoto ile Granger Nedensellik Analizi kullanılarak araştırılmıştır. Çalışmada iki farklı model kurulmuş; dış ticaret, ihracat ve ithalat olmak üzere iki farklı seri ile temsil edilmiştir. Buna ek olarak büyüme serisi ise modellere kontrol değişkeni olarak dahil edilmiştir. Ayrıca her iki modelde de karbon salınımı bağımlı seridir. Birinci modelde; ihracat ile karbon salınımı arasında istatistiksel olarak anlamlı iki yönlü bir nedensellik ilişkisi gözlemlenmiştir. Buna göre ihracattan, karbon salınımına doğru istatistiksel olarak %1 anlamlılık seviyesinde ve karbon salınımindan da ihracata doğru istatistiksel olarak %5 anlamlılık seviyesinde bir nedensellik ilişkisi bulunmaktadır. İkinci modelde de benzer şekilde ithalat ile karbon salınımı arasında iki yönlü bir nedensellik ilişkisine rastlanmıştır. Buna göre ithalattan karbon salınımına doğru ve aynı zamanda karbon salınımindan da ithalata doğru istatistiksel olarak %1 anlamlılık seviyesinde bir nedensellik ilişkisi bulunmaktadır.

Anahtar Kelimeler: Karbon Salınımı, Dış Ticaret, Büyüme.

Carbon Emission - Foreign Trade Relations in Turkey: Granger Causality Analysis with Toda-Yamamoto

Abstract: The developments in technology since the Industrial Revolution have led to an increase in growth and foreign trade on the one hand, while also significantly increasing carbon emissions. Starting from this relationship, by taking study period 1970-2018 in Turkey relationship between carbon emissions foreign trade, it was investigated using Granger causality analysis by Toda-Yamamoto. Two different models were established in the study; It is represented by two different series as foreign trade, export and import. In addition, the growth series is included in the models as a control variable. It is also a carbon emission dependent series in both models. In the first model; A statistically significant two-way causality relationship was observed between exports and carbon emissions. Accordingly, there is a causality relationship from exports to carbon emissions at a statistically significant level of 1% and from carbon emissions to exports at a statistically significant level of 5%. Similarly, in the second model, a two-way causality relationship was found between imports and carbon emissions. Accordingly, there is a causality relationship between imports to carbon emissions and also from carbon emissions to imports at a statistically significant 1% level.

Key Words: Carbon Emissions, Foreign Trade, Growth.

1. GİRİŞ

Teknolojik gelişmeler ve artan küreselleşmeyle birlikte dünyanın farklı bölgelerindeki ülkelerde dış ticaret önemli boyutta artmıştır. Dış ticaret yapabilmek için üretimlerini artıran ülkeler hem büyümelerine ciddi bir katkıda bulunmuşlar hem de üretimlerindeki artışla birlikte önemli ölçüde karbon emisyonunun oluşmasına neden olmuşlardır. Günümüzde, karbon emisyonundaki artış, çevre kirliliğinin en büyük nedenlerinden biri olarak görülmekte ve birçok akademisyen, sivil toplum kuruluşu ve çeşitli organizasyonlar, bu konuyu gündemde tutmak için ciddi bir çaba harcamaktadır. Bu ilişkiden hareketle çalışmada, Türkiye ele alınarak 1970-2018 periyodu için dış ticaret ve karbon emisyonu arasındaki karşılıklı ilişki araştırılmıştır. Çalışmanın ele aldığı konuya ilişkin literatürden birkaç çalışmayı özetlemek gerekirse;

Heil ve Selden (2001), 132 ülkeyi 1950-1992 periyodu için ele aldığı çalışmasında, uluslararası ticaret ile karbon emisyonu arasındaki ilişkiyi araştırmışlardır. Elde ettikleri bulgularda, düşük gelir grubundaki ülkelerde artan dış ticaretin, karbon emisyonunu artırdığını; buna karşın üst gelir grubundaki ülkelerde ise, artan dış ticaretin, karbon emisyonunu azalttığı saptanmıştır.

Atıcı (2012) çalışmasında ASEAN ülkelerini 1970-2006 periyodu için ele alarak ihracatın, karbon salınımı üzerindeki etkisini araştırmıştır. Çalışmada elde edilen ampirik bulgularda, ihracatın, karbon salınımını artırdığı anlaşılmaktadır.

Çetin ve Seker (2014) 1980-2010 periyodu için Türkiye'yi ele aldıkları çalışmalarında büyüme ve dış ticaretin, karbon salınımı ile temsil edildiği çevre kirliliği üzerindeki etkisini araştırmışlardır. Elde ettikleri sonuçlara göre; büyüme ve dış ticaret, uzun dönemde karbon salınımını artırmaktadır.

Değer ve Pata (2017) 1971-2011 periyodu için Türkiye'yi inceledikleri çalışmalarında, dış ticaretin karbon emisyonu üzerindeki etkisini araştırmışlardır. Elde ettikleri bulgulara göre; dış ticareten, karbon emisyonuna doğru pozitif yönlü ve karbon emisyonundan da dış ticarete doğru negatif yönlü bir nedensellik bulunmaktadır.

Su vd. (2017) çalışmalarında, Singapur için 2000-2010 periyodunda çeşitli sektörleri ele alarak ihracat ve karbon salınımı arasındaki ilişkiyi araştırmaktadırlar. Elde edilen bulgular, ihracatın toplam karbon emisyonunun yaklaşık üçte ikisini oluşturduğunu ve son on yılda emisyonlarındaki büyümenin büyük ölçüde ihracattan kaynaklandığını göstermektedir. Buna göre ihracata yönelik endüstriler büyüdükçe ve ihracat hacmi arttıkça karbon emisyonu artmaktadır.

Çetin vd. (2018) çalışmalarında, Türkiye'de 1960-2013 periyodu için büyüme, finansal gelişme, enerji tüketimi ve dış ticaretin, karbon emisyonu üzerindeki etkisini araştırmışlardır. Elde ettikleri bulgulara göre; dış ticareten, karbon emisyonuna ve karbon emisyonundan da enerji tüketimine doğru bir nedensellik ilişkisi bulunmaktadır.

Salman vd. (2019) çalışmalarında, 7 ASEAN ülkesi için 1990-2017 periyodunu ele alarak ihracat ve ithalatın, karbon emisyonu üzerindeki etkisini araştırmaktadırlar. Elde ettikleri sonuçlara göre; ihracat ve ithalat, karbon emisyonunu olumsuz yönde etkilemektedir. Ayrıca nüfus ve enerji yoğunluğu da karbon emisyonunu artırmaktadır. Buna karşın teknolojik yenilikler ise enerji verimliliğini artırarak, karbon emisyonunu azaltmaktadır.

Çalışmanın bundan sonraki kısmında yöntem açıklanacak ve akabinde ise analiz bulgularına yer verilecektir. Daha sonra ise sonuç kısmına geçilecektir.

2. YÖNTEM VE ANALİZ BULGULARI

Bu çalışmada 1970-2018 periyodu ele alınarak Türkiye'de dış ticaret ile karbon salınımı arasındaki ilişki, Toda-Yamamoto ile Granger nedensellik analizi kullanılarak iki farklı modelle araştırılmıştır. Çalışmada; mal ve hizmet ihracatının GSYİH içerisindeki yüzde oranı (LEXP), mal ve hizmet ithalatının GSYİH içerisindeki yüzde oranı (LIMP), 2010 fiyatlarıyla dolar bazında GSYİH (LGDP) ve karbon salınım miktarı (LCO2) serileri kullanılmış ve serilerin tümünün logaritması alınmıştır. Karbon salınım miktarı serisi, British Petrol'e ait istatistiklerden, diğer seriler ise Dünya Bankası'ndan elde edilmiştir. Çalışmada dış ticaret; iki farklı modelle; birincisinde ihracat ve diğerinde ise ithalatla temsil edilmiştir. Modellere ilişkin ekonometrik denklemler şu şekildedir:

$$\Delta LCO2_t = \beta_0 + \sum_{i=1}^p \beta_i \Delta LEXP_{t-i} + \sum_{i=0}^q \alpha_i \Delta LGDP_{t-i} + \varepsilon_t \quad (\text{Model 1})$$

$$\Delta LCO2_t = \beta_0 + \sum_{i=1}^p \beta_i \Delta LIMP_{t-i} + \sum_{i=0}^q \alpha_i \Delta LGDP_{t-i} + \varepsilon_t \quad (\text{Model 2})$$

Bilindiği gibi çalışmada yöntem olarak Toda-Yamamoto ile Granger nedensellik analizi kullanılmıştır. Bu yöntemin kullanılabilmesi için ilk olarak serilerin üst bütünleşme derecesinin saptanması gerekir. Daha sonra ise serilerin üst bütünleşme derecesi ile modele ait uygun gecikme uzunluğu toplanır. Elde edilen değer, uygun VAR modelini verir. Bir diğer deyişle, birim kök testleri ile serilerin üst bütünleşme derecesinin P ve model seçim kriterleri ile uygun gecikme uzunluğu d_{max} olduğu varsayımı altında optimum VAR modeli, VAR(P+ d_{max}) olarak saptanmış olur. Bundan sonra ise kurulan bu model, Granger Nedensellik/Blok testi ile tahmin edilir. Tahmin sonuçları, seriler arasındaki olası nedensellik ilişkilerini verir (Toda ve Yamamoto, 1995).

Çalışmada, Toda-Yamamoto ile Granger nedensellik analizinin uygulanabilmesi için öncelikle serilere ilişkin durağanlıkları tespit etmek amacıyla ADF ve PP birim kök testlerine başvurulmuştur. Aşağıdaki tabloda ADF birim kök testine ait sonuçlar gösterilmektedir. Elde edilen bulgulara göre; serilerin tümünün I(0)'da durağan olmadıkları, buna karşın I(1)'de durağan oldukları anlaşılmaktadır.

Tablo 1: ADF Birim Kök Testi Sonuçları

Seri	Model	Test İst. (prob.)	Eşik Değerler		
			%1	%5	%10
LCO2	Sabit	-2.0957 (0.2473)	-3.5744	-2.9238	-2.5999
	Sabit, Trendli	-3.4402 (0.0580)	-4.1611	-3.5064	-3.1830
ΔLCO2	Sabit	-7.1583 (0.0000)	-3.5777	-2.9252	-2.6007
	Sabit, Trendli	-7.4164 (0.0000)	-4.1658	-3.5085	-3.1842
LEXP	Sabit	-1.4920 (0.5291)	-3.5744	-2.9238	-2.5999
	Sabit, Trendli	-1.9493 (0.6134)	-4.1611	-3.5064	-3.1830
ΔLEXP	Sabit	-6.1071 (0.0000)	-3.5773	-2.9252	-2.6007
	Sabit, Trendli	-6.0399 (0.0000)	-4.1658	-3.5085	-3.1842
LIMP	Sabit	-2.1948 (0.2108)	-3.5744	-2.9238	-2.5999
	Sabit, Trendli	-3.3390 (0.0723)	-4.1611	-3.5064	-3.1830
ΔLIMP	Sabit	-6.8195 (0.0000)	-3.5777	-2.9252	-2.6007
	Sabit, Trendli	-6.7649 (0.0000)	-4.1658	-3.5085	-3.1842
LGDP	Sabit	0.5156 (0.9856)	-3.5744	-2.9238	-2.5999
	Sabit, Trendli	-1.8371 (0.6710)	-4.1611	-3.5064	-3.1830
ΔLGDP	Sabit	-6.6434 (0.0000)	-3.5777	-2.9252	-2.6007
	Sabit, Trendli	-6.6879 (0.0000)	-4.1658	-3.5085	-3.1842

Aşağıdaki tabloda ise PP birim kök testine ait sonuçlar gösterilmektedir. PP birim testine ait sonuçlarda da serilerin tümünün I(0)'da durağan olmadıkları, I(1)'de durağan oldukları görülmektedir. Dolayısıyla ADF birim kök testi ile benzer bulgulara ulaşılmaktadır. Ayrıca her iki birim kök testine göre de serilerin maksimum bütünleşme derecesinin I(1) olduğu anlaşılmaktadır.

Tablo 2: PP Birim Kök Testi Sonuçları

Seri	Model	Katsayı (prob.)	Eşik Değerler		
			%1	%5	%10
LCO2	Sabit	-2.3738 (0.1543)	-3.5744	-2.9238	-2.5999
	Sabit, Trendli	-3.4335 (0.0588)	-4.1611	-3.5064	-3.1830
ΔLCO2	Sabit	-7.1836 (0.0000)	-3.5777	-2.9252	-2.6007
	Sabit, Trendli	-7.5439 (0.0000)	-4.1658	-3.5085	-3.1842
LEXP	Sabit	-1.5153 (0.5175)	-3.5744	-2.9238	-2.5999

	Sabit, Trendli	-2.1467 (0.5074)	-4.1611	-3.5064	-3.1830
Δ LEXP	Sabit	-6.1071 (0.0000)	-3.5777	-2.9252	-2.6007
	Sabit, Trendli	-6.0399 (0.0000)	-4.1658	-3.5085	-3.1842
LIMP	Sabit	-2.1771 (0.2170)	-3.5744	-2.9238	-2.5999
	Sabit, Trendli	-3.4492 (0.0568)	-4.1611	-3.5064	-3.1830
Δ LIMP	Sabit	-8.6119 (0.0000)	-3.5777	-2.9252	-2.6007
	Sabit, Trendli	-9.0902 (0.0000)	-4.1658	-3.5085	-3.1842
LGDP	Sabit	0.5547 (0.9869)	-3.5744	-2.9238	-2.5999
	Sabit, Trendli	-1.9254 (0.6259)	-4.1611	-3.5064	-3.1830
Δ LGDP	Sabit	-6.6443 (0.0000)	-3.5777	-2.9252	-2.6007
	Sabit, Trendli	-6.6855 (0.0000)	-4.1658	-3.5085	-3.1842

Aşağıdaki tabloda Model 1 için farklı seçim kriterlerine göre uygun gecikme uzunluğunun tespitine yönelik bulgular raporlanmıştır. LR, FPE, SC ve HQ kriterleri, serilere ait uygun gecikme uzunluğunun 1; AIC kriteri ise 11 olduğunu göstermektedir. Çalışmada seçim kriterlerinin çoğunluğunun işaret ettiği 1. gecikmenin, uygun gecikme olduğu kabul edilmiştir.

Tablo 3: Model-1 için Uygun Gecikme Uzunluğu Seçim Kriteri Tablosu

Gecikme	LR	FPE	AIC	SC	HQ
0	NA	1.45e-05	-2.6282	-2.4989	-2.5822
1	221.9314*	3.41e-08*	-8.6819	-8.1647*	-8.4979*
2	13.8502	3.54e-08	-8.6550	-7.7500	-8.3330
3	4.7631	4.92e-08	-8.3514	-7.0586	-7.8914
4	8.2424	5.96e-08	-8.2074	-6.5267	-7.6094
5	12.9119	5.78e-08	-8.3206	-6.2521	-7.5847
6	8.2056	6.85e-08	-8.2788	-5.8225	-7.4049
7	6.9867	8.64e-08	-8.2418	-5.3976	-7.2299
8	4.5743	1.31e-07	-8.1200	-4.8879	-6.9701
9	13.8693	8.28e-08	-9.0333	-5.4133	-7.7453
10	5.6275	1.23e-07	-9.3635	-5.3557	-7.9376
11	2.6501	3.88e-07	-9.5524*	-5.1567	-7.9884

Bilindiği gibi uygun VAR modelinin tahmini için uygun gecikme uzunluğu ile serilerin üst bütünleşme derecesinin toplanması gerekmektedir. Model 1 için Uygun gecikme uzunluğu P=1 ve üst bütünleşme derecesi ise $d_{max}=1$ olduğundan optimum VAR modeli, $VAR(P+d_{max})=VAR(1+1)$ eşitliğinden hareketle VAR(2) olarak saptanmış ve VAR(2) modeline ait Granger nedensellik testi sonuçları aşağıdaki tabloda raporlanmıştır.

Tablo 4: Model-1 için VAR Granger Nedensellik/Blok Dışsallık Testi Sonuçları

Bağımlı Seri: LCO2			
Dışlanan	Ki-Kare	Serbestlik Derecesi	Prob.-değeri
LEXP	15.3999	2	0.0005

LGDP	12.8419	2	0.0016
Tümü	18.7077	4	0.0009

Bağımlı Seri: LEXP

Dışlanan	Ki-Kare	Serbestlik Derecesi	Prob.-değeri
LCO2	6.7036	2	0.0350
LGDP	5.4719	2	0.0648
Tümü	8.6502	4	0.0705

Bağımlı Seri: LGDP

Dışlanan	Ki-Kare	Serbestlik Derecesi	Prob.-değeri
LCO2	2.1093	2	0.3483
LEXP	3.2063	2	0.2013
Tümü	4.5851	4	0.3326

Yukarıdaki tabloda Model-1 için Granger nedensellik test sonuçları gösterilmektedir. Elde edilen bulgulara göre; ihracatı temsil eden LEXP ve büyümeyi temsil eden LGDP serilerinden, LCO2 ile temsil edilen karbon salınımına doğru %1 anlamlılık seviyesinde bir nedensellik ilişkisinin olduğu anlaşılmaktadır. Ayrıca karbon salınımını temsil eden LCO2 serisinden, ihracatı temsil eden LEXP serisine doğru %5 anlamlılık seviyesinde ve büyümeyi temsil eden LGDP serisinden de ihracatı temsil eden LEXP serisine doğru %10 anlamlılık seviyesinde bir nedensellik ilişkisinin bulunduğu görülmektedir. Buna ek olarak; karbon salınımını temsil eden LCO2 ve ihracatı temsil eden LEXP serilerinden, büyümeyi temsil eden LGDP serisine doğru istatistiksel olarak anlamlı bir nedensellik ilişkisine ise rastlanmamıştır.

Tablo 5: Model-2 için Uygun Gecikme Uzunluğu Seçim Kriteri Tablosu

Gecikme	LR	FPE	AIC	SC	HQ
0	NA	9.62e-06	-3.0378	-2.9086	-2.9918
1	215.0095*	2.78e-08*	-8.8880	-8.3708*	-8.7040*
2	12.3417	3.03e-08	-8.8124	-7.9074	-8.4904
3	7.3047	3.84e-08	-8.5996	-7.3068	-8.1396
4	6.4736	4.99e-08	-8.3849	-6.7042	-7.7869
5	14.0189	4.60e-08	-8.5484	-6.4799	-7.8124
6	5.7384	6.21e-08	-8.3767	-5.9204	-7.5028
7	2.0809	1.06e-07	-8.0331	-5.1889	-7.0212
8	4.6957	1.60e-07	-7.9207	-4.6886	-6.7707
9	12.7539	1.13e-07	-8.7224	-5.1024	-7.4344
10	10.0715	8.93e-08	-9.6875	-5.6797	-8.2615
11	3.8590	2.07e-07	-10.1785*	-5.7829	-8.6146

Yukarıdaki tabloda Model 2 için farklı seçim kriterlerine göre uygun gecikme uzunluğunun tespitine yönelik bulgular raporlanmıştır. LR, FPE, SC ve HQ kriterleri, serilere ait uygun gecikme uzunluğunun 1; AIC kriteri ise 11 olduğunu göstermektedir. Çalışmada seçim kriterlerinin çoğunluğunun işaret ettiği 1. gecikmenin, uygun gecikme olduğu kabul edilmiştir.

Uygun VAR modelinin tahmini için uygun gecikme uzunluğu ile serilerin üst bütünleşme derecesinin toplanması gerekmektedir. Model 2 için Uygun gecikme uzunluğu P=1 ve üst bütünleşme derecesi ise $d_{max}=1$ olduğundan optimum VAR modeli, $VAR(P+d_{max})=VAR(1+1)$ eşitliğinden hareketle VAR(2) olarak saptanmış ve VAR(2) modeline ait Granger nedensellik testi sonuçları aşağıdaki tabloda raporlanmıştır.

Tablo 6: Model-2 için VAR Granger Nedensellik/Blok Dışsallık Testi Sonuçları

Bağımlı Seri: LCO2			
Dışlanan	Ki-Kare	Serbestlik Derecesi	Prob.-değeri
LIMP	11.1600	2	0.0038
LGDP	8.5437	2	0.0140
Tümü	14.2145	4	0.0066

Bağımlı Seri: LIMP			
Dışlanan	Ki-Kare	Serbestlik Derecesi	Prob.-değeri
LCO2	9.6839	2	0.0079
LGDP	3.0306	2	0.2197
Tümü	14.1154	4	0.0069

Bağımlı Seri: LGDP			
Dışlanan	Ki-Kare	Serbestlik Derecesi	Prob.-değeri
LCO2	1.5641	2	0.4575
LIMP	3.6956	2	0.1576
Tümü	5.0900	4	0.2782

Yukarıdaki tabloda Model-2 için Granger nedensellik test sonuçları gösterilmektedir. Elde edilen bulgulara göre; ithalatı temsil eden LIMP serisinden, karbon salınımını temsil eden LCO2 serisine doğru, istatistiksel olarak %1 anlamlılık seviyesinde ve büyümeyi temsil eden LGDP serisinden de karbon salınımını temsil eden LCO2 serisine doğru, istatistiksel olarak %5 anlamlılık seviyesinde bir nedensellik ilişkisinin bulunduğu anlaşılmaktadır. Buna ek olarak karbon salınımını temsil eden LCO2 serisinden, ithalatı temsil eden LIMP serisine doğru %1 anlamlılık seviyesinde bir nedensellik ilişkisinin bulunduğu görülmektedir. Ancak büyümeyi LGDP serisinden, ithalatı temsil eden LIMP serisine doğru ve karbon salınımını temsil eden LCO2 serisi ile ithalatı temsil eden LIMP serisinden, büyümeyi temsil eden LGDP serisinde doğru istatistiksel olarak anlamlı bir nedensellik ilişkisine rastlanmamıştır.

3. SONUÇ

Bu çalışmada 1970-2018 periyodu ele alınarak Türkiye’de dış ticaret ile karbon salınımı arasındaki ilişki, Toda-Yamamoto ile Granger nedensellik analizi kullanılarak iki farklı modelle araştırılmıştır. Çalışmada; mal ve hizmet ihracatının GSYİH içerisindeki yüzde oranı (LEXP), mal ve hizmet ithalatının GSYİH içerisindeki yüzde oranı (LIMP), 2010 fiyatlarıyla dolar bazında GSYİH (LGDP) ve karbon salınım miktarı (LCO2) serileri kullanılmış ve serilerin tümünün logaritması alınmıştır. Karbon salınım miktarı serisi, British Petrol’e ait istatistiklerden, diğer seriler ise Dünya Bankası’ndan elde edilmiştir. Çalışmada dış ticaret; iki farklı modelle, birincisinde ihracatla ve diğerinde ise ithalatla temsil edilmiştir.

Model 1’e ait bulgularda; ihracatı temsil eden LEXP ve büyümeyi temsil eden LGDP serilerinden, LCO2 ile temsil edilen karbon salınımına doğru %1 anlamlılık seviyesinde bir nedensellik ilişkisinin olduğu anlaşılmaktadır. Ayrıca karbon salınımını temsil eden LCO2 serisinden, ihracatı temsil eden LEXP serisine doğru %5 anlamlılık seviyesinde ve büyümeyi temsil eden LGDP serisinden de ihracatı temsil eden LEXP serisine doğru %10 anlamlılık seviyesinde bir nedensellik ilişkisinin bulunduğu görülmektedir. Buna ek olarak; karbon salınımını temsil eden LCO2 ve ihracatı temsil eden LEXP serilerinden, büyümeyi temsil eden LGDP serisine doğru istatistiksel olarak anlamlı bir nedensellik ilişkisine ise rastlanmamıştır.

Model 2’ye ait sonuçlarda; ithalatı temsil eden LIMP serisinden, karbon salınımını temsil eden LCO2 serisine doğru, istatistiksel olarak %1 anlamlılık seviyesinde ve büyümeyi temsil eden LGDP serisinden de karbon salınımını temsil eden LCO2 serisine doğru, istatistiksel olarak %5 anlamlılık seviyesinde bir nedensellik ilişkisinin bulunduğu anlaşılmaktadır. Buna ek olarak karbon salınımını temsil eden LCO2 serisinden, ithalatı temsil eden LIMP serisine doğru %1 anlamlılık seviyesinde bir nedensellik ilişkisinin bulunduğu görülmektedir. Ancak büyümeyi LGDP serisinden, ithalatı temsil eden LIMP serisine doğru ve karbon salınımını temsil eden LCO2 serisi ile ithalatı temsil eden LIMP serisinden, büyümeyi temsil eden LGDP serisinde doğru istatistiksel olarak anlamlı bir nedensellik ilişkisine rastlanmamıştır.

KAYNAKÇA

- Atıcı, C. (2012). "Carbon Emissions, Trade Liberalization, and The Japan–ASEAN İnteraction: A Group-Wise Examination". *Journal of The Japanese and International Economies*, 26, pp. 167-178.
- Çetin, M. & Seker, F. (2014). "Ekonomik Büyüme ve Dış Ticaretin Çevre Kirliliği Üzerindeki Etkisi: Türkiye için Bir ARDL Sınır Testi Yaklaşımı". *Yönetim ve Ekonomi*, 21(2), ss. 213-230.
- Çetin, M., Kırıcı, B., Saygın, S. & Alaşahan, Y. (2018). "Ekonomik Büyüme, Finansal Gelişme, Enerji Tüketimi ve Dış Ticaretin Çevre Kirliliği Üzerindeki Etkisi: Türkiye Ekonomisi İçin Bir Nedensellik Analizi (1960-2013)". *Balkan Sosyal Bilimler Dergisi*, 7(13), ss. 26-43.
- Değer, M. K. & Pata, U. K. (2017). "Türkiye’de Dış Ticaret ve Karbondioksit Salınımı Arasındaki İlişkilerin Simetrik ve Asimetrik Nedensellik Testleriyle Analizi". *Doğuş Üniversitesi Dergisi*, 18(1), ss. 31-44.
- Heil, M. T. & Selden, T. M. (2001). "International Trade Intensity and Carbon Emissions: A Cross-Country Econometric Analysis". *The Journal of Environment & Development*, 10(1), pp. 35-49.
- Salman, M., Long, X., Dauda, L., Mensah, C. N. & Muhammed, S. (2019). "Different impacts of export and import on carbon emissions across 7 ASEAN countries: A panel quantile regression approach". *Science of the Total Environment*, 686, pp. 1019-1029.
- Su, B., Ang, B. W. & Li, Y. (2017). "Input-output and structural decomposition analysis of Singapore's carbon emissions". *Energy Policy*, 105, pp. 484-492.
- Toda, H. Y. & Yamamoto, T. (1995). "Statistical Inference in Vector Autoregressions with Possibly Integrated Processes". *Journal of Econometrics*, 66, pp. 225-250.
- <https://databank.worldbank.org/home.aspx>

Leadership and Motivation

Teodora Lazarova¹

¹ Associate Professor, VUZF, e-mail: Teodora.lazarova@yahoo.com

Abstract: This report examines the nature of motivation and its relationship to leadership behavior. The author points out the main motivational theories related to internal and external motivation. Contemporary notions for the emergence of motivation are considered. An in-depth examination of theoretical concepts allows important conclusions to be drawn about the implication of motivational theories in practice. The author gives guidelines, based on good organizational practices, to influence the motivational behavior of employees.

The current report investigates in depth the fundament of motivational theories and defines some of the main concepts related to the nature of internal and external motivation. The author draws a parallel between modern notions of organizational efficiency and employee motivation. The analysis provides valuable answers to questions related to the long-term motivation of employees and their attitudes to certain leadership behaviors. This report analyzes various psychological phenomena observed in the organization, explaining the states of frustration and cognitive dissonance.

Keywords: motivation, leadership, organization, motivational theories, business psychology

1. INTRODUCTION

Motivation is defined as a process that guides, maintains and controls behavior. It plays a key role in the work environment. It is difficult to quantify individual performance and motivation quantitatively so that we can determine the extent to which high motivation can be associated with high performance. It is widely believed that motivated employees generate higher results and lead to successfully completed projects and tasks. Motivation management is a key stage in the success of any business model, increases the productivity of the organization and can achieve higher results. Motivated employees also maintain a high level of innovative thinking and their work will be more efficient.

Various psychological theories define motivation as a cycle that influences a person's behavior, behavior influences performance, performance influences thinking - and the cycle rotates again. Each of these stages consists of many variables, including attitudes, beliefs, efforts, which can affect the overall motivation of the individual. Various psychological theories support the thesis that motivation is an internal process (mechanism), while sociocultural theories emphasize motivation as an effect of participation in actions and activities characteristic of the cultural context of a social group (Rueda, 1994).

Modern organizations believe that talent identification and management is key to any company. This area is defined as a functional part of the strategic management of the organization. The great change and need of modern organizations is related to the motivation and management of talents. The focus is on today, not tomorrow, and these programs should be implemented as part of a long-term strategy. Of course, we should not turn our backs on programs like internships or employee development programs, but we should focus on programs that have an effect today (Haak, 2017). The most talented employees should be placed in some of the key positions in the organization. Another important measure is the appointment of a team of established professionals to be responsible for developing new markets and strategies for the company. The organization should delegate the most important tasks to the most experienced and effective people in the organization.

2. MOTIVATION AND MOTIVATIONAL THEORIES

From standard to individual approach

The most important approach in human resource management is individualization. In consumer behavior and most behavioral sciences, the individual approach becomes a leading strategy and practice. In talent management, the individual approach is extremely important. If we know what people's opportunities are, what their desires are and in what direction they would like to develop, we can create opportunities that best suit their individual needs and wants. With all the technology that the modern world has, organizations can get to know their employees better than they know themselves.

Talents are everywhere

Performance counseling helps people develop better by giving them regular feedback based on their true performance. Developing key talents and investing in their performance is quite a challenging task

More focus on teams

Most of the practices in the field of human resources, focused on retaining and motivating talents, are related to attention to the individuals in the teams. At the same time, developing and building talented teams, which are the building blocks of the organization, is still an underdeveloped practice, but will be increasingly important in the coming years. In recent years, teams have moved from a static hierarchy to a team "network" that can adapt very quickly to a changing environment. Many of the practices in human resource management, such as selection and performance management, are related to individual performance as a key point. The focus of the human resources management team is still related only to the number of people in the organization and less to the number of people and teams that are key to the organization.

Motivation can be defined as a process of stimulating and maintaining purposeful behavior. Motivation comes from the Latin root of the word "vivere," which means "move." Motivation theories try to analyze and predict human behavior. There are dozens of theories in this area, which is not surprising due to the complexity of the human personality and its behavior. In general, theories of motivation are formed in three groups - internal, procedural and external. elements of the environment, including the consequences of human behavior and its impact on it. The emphasis in recent years in the study of motivation has been on understanding it in an organizational context and its importance for human resource management (Campbell and Pritchard, 1976). Weber argues that the meaning of work is not in the work itself, but in its deeper potential for contributing to human salvation (Weber, 1930). Freud proposed a more complex and complex motivational theory (Freud, 1961id.). According to his classification, organizational life is based on business obsession to work and the power of love. He points out that the vast majority of human motivation is unconscious by nature.

Psychodynamic theory emphasizes that the motives underlying traumatic events can be explained by exploring unconscious needs and motivation (Dunlop, 2004). Freud's theory became the basis of subsequent theoretical models and concepts. Employees' cross-cultural differences boil down to the feelings and emotions they experience and can transcend specific organization and culture (Sweetman, 2001). At the heart of the motivational process we can find four types of needs - to acquire, to build a connection, to understand and to defend (Frey, 1997). Organizations need to be able to meet the needs of employees so that they can retain and motivate them for a longer period of time (Lee, 2008).

In the analysis of external incentives of motivation we should return to the first research in the field of human resource management. Early researchers emphasized that people were motivated by various external incentives, such as pay for work done. Hawthorne's research emphasizes the positive effects of various monetary incentives on productivity, but also recognizes the importance of interpersonal relationships and the social environment (Roethlisberger, 1939). An interesting issue here is the motivation of public sector workers - there is an assumption that they would be motivated in terms of the benefits that their work and organization provide to society, not just personal economic interest (Boardman, 2008).

To successfully manage and motivate employees, you should be part of a social group (Mayo, 1984). According to Mayo, due to structural changes in organizations, the workplace is dynamic. As a result of group membership, employees lose their sense of security and stability. If the roles of employees are constantly changing, it would lead to feelings of anger, frustration and dissatisfaction with the work environment. Social groups in the work environment help to build in the individual labor norms, responsibilities and traditions (Mayo, 1984).

Employees are not simply motivated by salary measures (Roethlisberger, 1939). Unlike rational theories of motivation, Roethlisberger believes that personality has motives other than just economic ones. The standard payment system works by paying employees for work done. However, according to some studies (such as the Bank Wiring Observation Room, for example), pay based on work performed does not lead to high efficiency and productivity. Employees do not do their best and have no motive to go beyond their own comfort zone. The basis of this theory is that the human personality has other needs beyond pay and material incentives (Roethlisberger, 1939). This author further develops his thesis, emphasizing that employees need autonomy and responsibility in their jobs. Leaders have direct power over their subordinates and must make sure that everyone adheres to the same standards and work processes. This imposes certain restrictions on employees and they often feel that they have no autonomy and freedom of decision-making. The author believes that employees prefer their individual responsibility to rules and excessive supervision.

The financial incentives of human motivation are the subject of research by many authors. Adam Smith, as a political economist and philosopher, points out that a person's personal interest is the realm of God, not government (Smith, 1909). Personal interest is defined as a motive and benefit for a particular person. Smith laid the foundation for the system of free enterprise in the economy and described the phenomenon of the "invisible hand" in the free market to explain individual motivation. The "invisible hand" is defined as the invisible forces of the free market system that shape the most efficient use of people, money and resources. The basic idea of the admission is that people are motivated by self-interest for economic gain in order to be able to secure basic necessities as well as various amenities. In this sense, employees will always be motivated by their personal interests. Smith places technology as an important construct in his theory. He emphasizes that the wealth of the nation is determined by the working capacity of the country's workforce. The more efficient and motivated the workforce, the more opportunities are created. Technology is a factor multiplier of employee productivity and efficiency (Jennings, 2002). In his theory, Frederick Taylor reflects on employee efficiency. According to another theory, the central interest is the change in the relationship between employee and manager, and the tendency is to form a relationship of cooperation between them (Nelson, 2017).

Modern management practices for motivation, related to employee recognition programs, flexible working hours and bonus schemes. Shares, further develop and build on the ideas of Smith and Taylor. These practices emphasize the importance of various external motivational incentives - bonuses or rewards. A connecting link in the motivation of employees, which takes into account both individual needs and differences, and external incentives, is the so-called psychological ownership. Psychological ownership enhances organizational behavior and efforts beyond what is required by job description (Dyne, 2004).

2.1. Internal motivation

It is this intrinsic motivation of the individual that has been the subject of research since the early 1970s. Internal motivation is formed as an internal need of the individual to seek new challenges, as well as to observe and gather knowledge (Deci, 2000). The personality is driven by pleasure or task in itself and exists as an internal characteristic of the personality, much more than subject to external stimuli and desires. The nature of intrinsic motivation was first observed in experimental animal studies. In these studies, the authors found that organisms tend to participate and be more involved in fun and enjoyable activities that arouse their curiosity, even if there are no incentives and rewards. Intrinsic motivation is a natural motivational tendency and is a key element in cognitive, social, and physical development (Deci, 2000). The two main elements in this process are **self-determination and increasing the level of acquired competence**. The roots of behavior are related to internal causes, known as the internal locus of control, and individuals who engage in a given behavior need to feel that the task increases their knowledge, skills, and competence.

A study of students shows that those who have intrinsic motivation to perform tasks also increase the level of their competencies (Wigfield, 2004). They would have intrinsic motivation if:

- relate their successes in the environment to the factors subject to their control, or have autonomy or a locus of control;
- believe that they have the knowledge and skills to successfully achieve their goals or believe in their own effectiveness and efficiency;
- are extremely motivated in the development of their knowledge and skills, not just in the acquisition of high results.

For example, a successful example of intrinsic motivation is the desire of an IT professional to learn more about how computers work in a network, rather than just their specific part of the responsibilities of the overall volume of tasks. Such an employee has the intrinsic motivation to gain more knowledge in the field (Root, 2014). Some researchers would suggest that the motivation for the overall operation of computers in a network would come under the influence of external factors, but most modern researchers believe that it is internal to the individual (Benjamin, 2013). Even traditional management systems such as ERP and CRM have been created using gamification methods generated by internal and external motivation factors (Parker, 2016).

Undoubtedly, the positives in building this type of motivation are its longevity and sustainability. The efforts used to impose such a model of motivation support the development of the personality. Often these efforts are not related to incentives or penalties. The negatives of working with intrinsic motivation are the efforts that are

made to encourage this type of motivation. Sometimes it is difficult to influence the internal motivation of employees at the organizational level and it takes a long time to influence their behavior. Moreover, each person is motivated by different stimuli. In this sense, organizational and managerial efforts are especially important and meaningful for a good knowledge of employees and their needs, desires and internal aspirations (Dewani, 2013).

External Motivation

External motivation is a mechanism of influence of external factors on the personality. In external motivation, one of the most difficult questions is where do people get the motivation they need to continue their work at a high level (Deci, 2000). Often external motivation leads to a result that would not be visible if the individual relied on internal motivation. Often external motivation is driven by rewards (eg financial incentives, evaluations) to mark expected behavior and threats or penalties to sanction behavior that should not be repeated. Different types of competitions are an external motivator because they support and encourage the participant to beat the others, not just to participate and enjoy the process. Excited audiences and all kinds of awards and titles are external motivators (Dewani, 2013).

The easiest differentiation between internal and external motivation is the type of goals that lead to an action. While intrinsic motivation is identified with performing an activity because it is a pleasant and developing personality, external motivation refers to performing a certain action that leads to a desired outcome for the organization (Ryan, 2000).

What is the application of both types of motivation in human resource management? Research conducted by social psychologists shows that external stimuli reduce intrinsic motivation. An experiment among children found that students who expected certain rewards to complete a task spent less time on the process itself than students who received unexpected rewards and incentives (Lepper, 1973). Another study, on the other hand, points out that students who receive a book as a reward show a higher motivation to read - therefore, external stimuli do not always reduce internal motivation (Marinak, 2008). While the presence of external stimuli may reduce the internal desire for a particular action, the use of external negative stimuli as a punishment or threat to a behavior sometimes leads to an increased interest in repeating that behavior. In a study in which children were banned from playing with a particular toy, the researchers found that they showed a clear interest in the "forbidden" toy. Moreover, this interest was absent when children were not banned from playing with it (Wilson, 1982).

In an organizational environment, it is often discussed how to encourage a behavior. Behavioral theories of motivation focus on different tendencies on the principle of experiment. According to these theories, motivation is seen as a consequence of certain factors that can activate or neutralize a certain behavior. In operative conditioning, the type and frequency of a behavior is associated primarily with its consequences (Cooper, 2007). If a behavior is supported by a stimulus and followed by a positive outcome, this behavior will be repeated much more often in the future. If a behavior is followed by something unpleasant as a result, such as punishment, the behavior is less likely to be repeated.

In addition to these basic incentives, the environment in an organization also influences employee behavior. Behavior is "rewarded" or "encouraged" according to the organizational context. An interesting pattern here is that a behavior can be established in a certain context, while the same person would have different behavior in a different environment. For example, the lack of encouragement to learn in the organization should not immediately increase the desired behavior in another area. The use of different stimuli as a tool of motivation is complex and multifaceted. Motivational variables are another factor that researchers view as a predictor of behavior (Donahoe, 2004).

The use of various factors and incentives that influence behavior is a commonly used strategic tool by human resource management staff. However, in order to be effective, various programs must be developed to be implemented in the organization. Constant stimuli lose their motivating effect and therefore need to be diversified. In this sense, stimuli must be alternated or applied at different intervals in order to continue to have the desired effect on behavior. **Cognitive dissonance** explains the onset of demotivation and dissatisfaction with the personality in the work environment. The concept was proposed by Festinger and arises when a person experiences a certain discomfort, which is the result of two inconsistent or contradictory desires - their own view of the world around them and their own feelings and experiences (Rani, Rekha; Kumar-Lenka, Sameer, 2012). Often the mismatch between feelings and attitudes (beliefs) would lead to cognitive dissonance. The author suggests that people are motivated to reduce the impact of dissonance. According to

the cognitive perspective, they would analyze relevant actions and events to avoid negative emotions - and do so by changing their attitudes, beliefs or actions. Other ways to reduce cognitive dissonance are condemnation, blame, and rejection. This study of human desires and nature contributes to a clearer understanding of personality and possible mechanisms for a given behavior in the work environment. The psychological motives of human behavior are further developed in Hull's theory. Human behavior has certain needs and motivations and once satisfied, their influence and significance for the individual disappears (Kamlesh, 2011).

Usually a person starts his career in need of satisfying physiological needs, as well as adequate pay in the organization. Employees who do not meet basic needs may make decisions based on pay levels and stability in the company (Tanner, 2017). In this case, it is difficult to talk about long-term intrinsic motivation if these needs are not met. Once these basic needs are met, employees go to the level of meeting the need for belonging or the range of social needs of the individual to the organization. Often, the level of relationships with other colleagues in the organization is determined by the personal characteristics of the employee - according to the degree of introversion or extroversion. More employees would like to work in a supportive environment that accepts them and meets their communication and interaction needs. Interpersonal relationships are very important, so leaders in the organization should focus on building a supportive environment.

3. THE MODERN MOTIVATIONAL PERSPECTIVE

How to satisfy the highest hierarchical needs in modern dynamic organizations? The need for self-improvement and self-expression is related to the image that the employee has for himself. Even if the employee does not want to develop hierarchically in a management position, he would probably get bored of performing the same work tasks within 20 years. The transfer to another team, the acquisition of new technologies, as well as the expansion of his expert competencies in his professional field are only part of the measures for continuing his career development. Enriching job descriptions and developing a specific project are other methods that make the workflow more inspiring. Employee participation in the decision-making process in the organization is also an important approach to employee development. Last but not least, the achievements related to the job position, the external symbols of status - business cards, a separate office space, are another important part for the development of self-affirmation of the employee.

The incentives that the employer offers must be balanced in order to have the maximum effect. In order for the work process to be motivating and inspiring, a symbiosis between organizational effort and intrinsic motivation should be created (Tanner, 2017). On the path of cultivation, the employee is interested in personal growth and individual development.

There are several types of organizational environment based on a combination of these factors. In the presence of strong hygienic and motivational factors, there is a strong motivation and satisfaction of the employees in the organization. In organizations with no motivating factors and unsatisfactory hygiene factors, there is often demotivation and negative feedback from employees. An environment with many motivational factors and unsatisfactory hygiene factors can lead to strong motivation and yet individuals feel good, even though they do not like the company's hygiene factors. With satisfactory hygienic factors, but the absence of motivating factors, there is little motivation for achievement. In this sense, hygiene factors have a stimulating and motivating effect up to a certain threshold level. After reaching this threshold, their satisfaction or improvement has no value. At the same time, however, the presence of motivational factors is key to higher employee empathy and motivation.

The psychological climate in organizations is analyzed by comparing levels of satisfaction or dissatisfaction (Baltes, 2010). Ryan and Deci's theory of self-determination focuses on the extent to which human behavior is based on individual characteristics such as self-management and self-determination. The theory identifies three basic needs that, if met, lead a person to growth and development:

- Need to develop competence;
- Need for connectivity;
- The need for autonomy (Harter, 1978).

These three basic psychological needs motivate the individual to establish specific behaviors and meet the needs needed to maintain good mental health. When these needs are met, there are positive consequences

such as a sense of subjective well-being, motivation, higher productivity and happiness. When they are dissatisfied, productivity often declines. There are three key elements to complement this theory (Deci, 2004):

- People are proactive and do not stop developing their inner needs and wants;
- People have a constant need for development, growth and new opportunities;
- Continuous development and action are inherent in man, but concrete steps are needed for this development (Schultz, 2013).

As a continuation of these views is the motivational theory, linked to the achievement of goals. The idea behind this theory is that each person has an inner need that leads him to achieve a certain end result. Often this end result is some kind of reward. The effectiveness of each goal can be influenced by three characteristics - proximity, difficulty and specificity. One of the main methodologies in goal setting is the methodology for SMART purposes. It classifies goals as specific, measurable, achievable, relevant, and time-bound (Entwistle, 1988). Time management is an important factor when discussing achieving goals. Most people are highly motivated when they want a change and even more so when they think they have a great chance of success. In this regard, the goal must be objectively defined and tailored to individual characteristics (Entwistle, 1988).

Expectations underlie Vroom's motivational theory (Vroom, 1964). The theory explains the behavioral process in which a person chooses a behavior over another and analyzes how that decision affects the ultimate goal. In this regard are the experiments of socio-cognitive models, which explain the motivation to change a behavior. Motivation is presented as a mechanism that leads to the formation of certain motivational intentions. The will is seen as a process that leads from intention - to perform specific actions. In other words, motivation and will refer to the goal-setting and pursuit of goals. Both processes require efforts for self-regulation. Several constructs concerning self-regulation are needed to work in synchrony to achieve the goal. An example of such a construct is the understanding of one's own effectiveness. Self-efficacy supports the whole process of behavioral intentions, the development of an action plan, as well as the initiation of the action itself. Thus one moves from intention to concrete action.

Atkinson and David Birch developed their theory of action dynamics by creating a mathematical model of behavior composed of successive interactions (Kuhl, Julius, Atkinson, 1986). The theory points to the notion that change in behavior occurs when the tendency for a new and unexpected type of behavior dominates over the trend that currently motivates action. The authors emphasize that the strength of the tendency decreases or increases as a consequence of internal and external stimuli (various motives, factors that impulse behavior). There are three main reasons that lead to a change in behavior:

- **Factors that motivate behavior** - increase the possibility of certain behavior when they have the opportunity to satisfy the internal motivation of the individual;
- **Factors that lead to retention of behavior** - when there are obstacles to the implementation of the action;
- **Peak or peak in behavior** - reduces the chance of behavior repeating itself when the goal is reached (Atkinson, John; David Birch, 1978).

4. CONCLUSION

We strongly believe that the leaders should support and understand the open perspective of human nature. Trying to better understand all subordinates will develop employee-manager relationship and make the decision-making process operates smoothly. One of the basic step is to harmonize the individual needs with the organizational ones. The leaders need to ensure that they attract and retain employees with share vision and encourage them to grow into the company. Rewarding the most talented employees is another important technique that will encourage others to follow their goals. Leadership role should be a role model for the others, who shows and maintain moral and team spirit.

The decisions and actions of the leaders affects the employee's satisfaction and motivation as well. Using empathy as in instrument will help the leader to observe the goals from other perspective, and build stronger mental and emotional relationship with the others. The managers should have the understanding of different personality types and be aware that different techniques work differently for each employee. That is why the leader should be self-aware, self-disciplined and invest in people around them. Hiring ambitious and self-

motivated employees will help giving them the necessary power to complete their tasks. Last but not least, investing and spending time with the team will help leaders to build innovations and culture of trust.

REFERENCES

- Baldes, B, Nicolas Gillet (2010). Influence of coaches' autonomy support on athletes' motivation and sport performance: A test of the hierarchical model of intrinsic and extrinsic motivation, *Journal of Sport and Exercise Psychology* 11(2):155-16, DOI: 10.1016/j.psychsport.2009.10.004
- Benjamin, L. J, Gaskin (2013). Taking "Fun and Games" Seriously: Proposing the Hedonic-Motivation System Adoption Model (HMSAM)., *Journal of the Association for Information Systems* 14(11):617-671, DOI: 10.17705/1jais.00347
- Boardman, C., Sundquist, C. (2008). Toward Understanding Work Motivation, *The American Review of Public Administration* 39(5):519-535
- Campbell, J.P., & Pritchard, R.D. (1976). Motivation theory in industrial and organizational psychology. In M. D. Dunnette (Ed.), *Handbook of industrial and organizational psychology* (pp. 63-130). Chicago: Rand McNally.
- COOPER, HERON, AND HEWARD'S APPLIED BEHAVIOR ANALYSIS. (2007). CHECKERED FLAG FOR STUDENTS AND PROFESSORS, YELLOW FLAG FOR THE FIELD. *J Appl Behav Anal.* 2010 Spring; 43(1): 161–174, doi: 10.1901/jaba.2010.43-161
- Deci, E, Ryan R (2000). Self-Determination Theory and the Facilitation of Intrinsic Motivation, Social Development, and Well-Being, *American Psychologist* 55(1):68-78, DOI: 10.1037/0003-066X.55.1.68
- Dewani, Vijay, 2013. Motivation. Slideshare], Available from: <http://de.slideshare.net/vijaydewani7/motivation-15959567>, reached 03.08.2020
- Donahoe, J. (2004). SHIPS THAT PASS IN THE NIGHT, <https://doi.org/10.1901/jeab.2004.82-85>
- Dunlop, J., Morin, X., Corominas, M., Serras, F., Tear, G. (2004). glaikit is essential for the formation of epithelial polarity and neuronal development. *Curr. Biol.* 14(22): 2039--2045.
- Dyne, L, Pierce. J. (2004). Psychological ownership and feelings of possession: three field studies predicting employee attitudes and organizational citizenship behavior. <https://doi.org/10.1002/job.249>
- Entwistle, A (1988). A role for acetylcholine receptors in the fusion of chick myoblasts. <https://doi.org/10.1083/jcb.106.5.1703>
- Freud, S. (1961). *The ego and the id.* W W Norton & Co.
- Frey. B. (1997). On the relationship between intrinsic and extrinsic work motivation. Online available here:< <https://www.infona.pl/resource/bwmeta1.element.elsevier-40d00e0d-c541-3820-97b2-60857f8ca6c4>>, reached 03.08.2020
- Jennings, K. (2002). *Mastery motivation and the formation of self-concept from infancy through early childhood.* New York Publisher
- Haak, J. (2017). A Challenge for Academic Libraries; How to Motivate Students to Use the Library. DOI: https://doi.org/10.5860/crl_35_03_217
- Lee, T and Kamish Osman (2008). Interactive multimedia module in the learning of electrochemistry: effects on students' understanding and motivation, *Social and Behaviour Science* 46, 1323-1327
- Lepper, M. R., Greene, D., & Nisbett, R. E. (1973). Undermining children's intrinsic interest with extrinsic reward: A test of the "overjustification" hypothesis. *Journal of Personality and Social Psychology*, 28(1), 129–137. <https://doi.org/10.1037/h0035519>
- Barbara A. Marinak & Linda B. Gambrell (2008) *Intrinsic Motivation and Rewards: What Sustains Young Children's Engagement with Text?*, *Literacy Research and Instruction*, 47:1, 9-26, DOI: 10.1080/19388070701749546
- Nelson (2006). Cross - Cultural Misunderstandings Reduce Empathic Responding, <https://doi.org/10.1111/j.1559-1816.2004.tb02553.x>
- Roethlisberger, F. J., & Dickson, W. J. (1939). *Management and the worker.* Harvard Univ. Press
- Rueda and L. C. Moll, (1994). "A Sociocultural Approach to Motivation," In: H. F. O'Neill and M. Drillings, Eds., *Motivation: Theory and Research*, Lawrence Erlbaum Associates, Hillsdale, pp. 117-136.
- Hernandez, P. R., Schultz, P. W., Estrada, M., Woodcock, A., & Chance, R. C. (2013). Sustaining optimal motivation: A longitudinal analysis of interventions to broaden participation of underrepresented students in STEM. *Journal of Educational Psychology*, 105(1), 89–107. <https://doi.org/10.1037/a0029691>
- Sweetman, D and F. Luthans. (2001). *Work Engagement: A Handbook of Essential Theory and Research*, Online available here [https://books.google.bg/books?hl=en&lr=&id=IzJ5AgAAQBAJ&oi=fnd&pg=PA54&dq=\(Sweetman,+2001+motivation&ots=N-UG5HqccW&sig=2j1N7-D-F3v04ypr1cMJsXlRyHU&redir_esc=y#v=onepage&q=\(Sweetman%2C%202001%20motivation&f=false\),>](https://books.google.bg/books?hl=en&lr=&id=IzJ5AgAAQBAJ&oi=fnd&pg=PA54&dq=(Sweetman,+2001+motivation&ots=N-UG5HqccW&sig=2j1N7-D-F3v04ypr1cMJsXlRyHU&redir_esc=y#v=onepage&q=(Sweetman%2C%202001%20motivation&f=false),>) reached 03.08.2020
- Tanner, K. (2017). Teaching as Brain Changing: Exploring Connections between Neuroscience and Innovative Teaching, *CBE Life Sci Educ.* 2017 Summer; 16(2): fe2., doi: 10.1187/cbe.17-01-0005
- Trahair, R. C. S. (1984). Elton Mayo: The humanist temper. Piscataway, NJ: Transaction. "Mayo wrote of his appointment [to Harvard] to Sir William Mitchell, his mentor at the University of Adelaide. Immediately Mitchell personally arranged for

Mayo to receive a Master of Arts degree. It was awarded for a thesis, presumably, on Mayo's research at Continental Mills" (p. 199), a textile manufacturing plant in Philadelphia

Weber, M (1930). *The Protestant Ethic and the Spirit of Capitalism*, First published in Routledge Classics 2001

by Routledge 11 New Fetter Lane, London EC4P 4EE, Online available here:
https://is.muni.cz/el/1423/podzim2013/SOC571E/um/_Routledge_Classics__Max_Weber-The_Protestant_Ethic_and_the_Spirit_of_Capitalism__Routledge_Classics_-Routledge__2001_.pdf, reached 15.08.2020

Wigfield, A., & Tonks, S. (2004). The Development of Motivation for Reading and How It Is Influenced by CORI. In J. T. Guthrie, A. Wigfield, & K. C. Perencevich (Eds.), *Motivating reading comprehension: Concept-oriented reading instruction* (p. 249–272). Lawrence Erlbaum Associates Publishers.

ABSTRACTS

The use of new technologies to improve the efficiency of education

Anna Toubalidou¹

¹Dimocritus University of Thrace, PhD Student, Komothnh, Greece, atoubalidou@yahoo.gr

Abstract: This research examines the use and utilization of new technologies at universities in Greece, in order to improve the efficiency and assist the development of higher education. More particularly, the ways in which universities are exploiting the potential of digital technology and their involvement in the production of innovative digital technologies and their interconnection with the productive sector of the country, are examined.

The production and educational system are the key pillars of innovation development. As has been shown by mass open e-courses, they allow free university education on a huge scale. The integration of Information and Communication Technology (ICT) into everyday educational practice, is a particularly difficult process that requires time and continuous effort, mainly by the teaching staff. This research will attempt to record the conditions in the higher education institutions of Greece, if ICT's are involved in the teaching tasks and if innovative digital technologies have been adopted.

Role of Business Games in Higher Education

Attila Kovács

Szent István University, kovacs.attila.szie@gmail.com, ORCID:

Abstract: Aim: Even when I was a student, the course of the Case Studies was launched in the autumn of 1993 under the supervision of Prof. Csaba Székely. Within the course an entrepreneurial decision-making game was developed on the basis of DBase. The task was to maximize the amount of HUF 15 million in virtual assets received with the help of 10-year decisions. In a matter of moments, the entrepreneurial specialty was burning in student fever, but the seemingly easy-to-business decision game (BSG - Business Simulation Game) that led to the abdominal intuitive decision model led to bankruptcy in no time! The game was a tough competition between teams. Then the years passed and I took over this course and taught the game, and I myself participated in similar games organized by other institutions. Our game is very simple, but at the same time it provides an excellent basis for summarizing the knowledge acquired so far. This is the point where I started to search what was missing to make such a game more successful among the Students? What does it need to give even more experience and knowledge? Is it suitable for helping Students develop complex vision? Does it lastly help you become an entrepreneur?

Material and method: In this article I would like to present the experiences of the past decades, describing the literary background of decision-making games and the experiences of others in their role in education. I summarize the advantages and difficulties of decision games based on literature reviews and my own experiences. In addition to the presentation of the self-made game and the unique nature of the game, I also present the results of the questionnaire used during the execution.

Conclusion: I point out why it is advisable to execute the game within the scope of the course, and how it would be useful to develop it to be used in higher or specialized courses.

Keywords: decision games, business games, strategic thinking ability, developing risk-taking skill, entrepreneurial ability.

Social Entrepreneurship: A Study of Successful Practices.

Biruta Sloka¹

Maria Mikhailova²

¹Dr.ekon., professor at the University of Latvia, biruta.sloka@lu.lv, ORCID: 0000-0003-2129-053X

²Master student, Research Assistant, University of Latvia (Faculty of Business, Management, and Economics), maria.mikhailova03@gmail.com, ORCID: 0000-0001-7419-7473

Abstract: Social entrepreneurship now has different opportunities for growth and development worldwide. In many cases, there are very creative solutions for reaching the best results for social enterprises. This article aims to analyze global successful practices in the field of social entrepreneurship. On the example of several countries experience in social entrepreneurship, comparison of implementation social entrepreneurship practices are analyzed. Research methods used 1) analysis of scientific findings; 2) analysis of policy documents related to social entrepreneurship and social enterprises in several countries; 3) analysis of statistics on social entrepreneurship and social enterprises in Latvia in comparison with other countries; 4) evaluation of publicly available information on social enterprises and digital marketing tools used in social enterprises in Latvia. Research results have indicated that several countries have a different experience in social entrepreneurship and are rather moderate in the application of modern tools of digital marketing: websites and social networks. Regarding digital marketing tools, social enterprises in Latvia have a moderate activity, it is not used as the main tool for field promotion.

Minimize transmission of systemic banking risk through automatic short-term intervention mechanisms (intra-day circuit breaker). A study on the Greek banking system and capital controls

Christos Florosa¹

Konstantinos Gkillas²

Christoforos Konstantatos³

Athanasios Tsagkanos⁴

¹Department of Accounting and Finance, Hellenic Mediterranean University, P.O. Box 1939, Crete, Greece. E-mail: cfloros@hmu.gr

²(Corresponding author) Department of Business Administration, University of Patras, University Campus – Rio, P.O. Box 1391, Patras 26500, Greece. E-mail: gillask@upatras.gr

³Department of Business Administration, University of Patras, University Campus – Rio, P.O. Box 1391, Patras 26500, Greece. E-mail: ckonstanta@upatras.gr

⁴Department of Business Administration, University of Patras, University Campus – Rio, P.O. Box 1391, Patras 26500, Greece. E-mail: atsagkanos@upatras.gr

Özet: The probability of occurrence extreme events, in a period of economic recession increases dramatically. For example, the imposition of capital controls on a member state of the Eurozone or the collapse of a financial institution, especially after the collapse of Lehman Brothers, should not be considered unlikely, while credit events such as recapitalization or merger of systemic banking institutions are the current economic reality. The period under review is characterized by a lack of regulatory, unstable financing structure, reduction in traditional banking activities, and finally with banking institutions being either too large to fail or with a high degree of interdependence, they have led governments to financial and economic intervention. Liquidity injections-capital increases that are the most effective method of dealing the instability according to a recent study by Bruyckere et al. (2013).

In addition, the pathogenesis of the European financial system (European structure), to define more precisely the period under study, lies in the policy of increasing the capital adequacy

of banks through the rescue package and support mechanism (later). Bank bailout programs have changed the composition of both banks' and sovereigns' balance sheets with the result that the financial crisis that began in the United States as a financial crisis has turned into a sovereign debt crisis in the Eurozone.

The present research research investigates the transmission of systemic risk on Greek banking institutions focusing on three objectives: first, the capital controls and how they affect the jumps on equity price of Greek banking institutions considering the Alpha Bank, Eurobank, National bank of Greece and Piraeus Bank the period of analysis spans from January 2, 2001 to December 29, 2019. Second, the extreme correlation between the jumps on equity prices of Greek banking institutions and third test the intra-day circuit breaker (see Gkillas and Longin; 2018). It should be noted that in particular the latter (intra-day circuit breaker) has been little explored in the international literature and has only recently begun to attract research interest. When the market moves downwards (negative returns) and exceeds a certain limit, the intra-daily switch can replace any long-term closing of the market (suspension of money market trading) as happened in June 2015, thus avoiding the long-term consequences. financial markets and the real economy (see Booth and Broussard; 1998 for the application of extreme price theory to turn on the switch).

Our research explores the systemic risk in the Greek banking sector, focusing on three interesting objectives as follows,

(i) The recent financial crisis has highlighted the fragile structure of the modern financial system and triggered an unprecedented debt crisis with banking and fiscal instability, especially in southern European countries. The causes of the crises in the Eurozone have been largely analyzed at research level, mostly with conventional econometric techniques, which admittedly fail in times of financial instability, high volatility and the occurrence of excessive losses (extreme events) fail to effectively interpret the dependence structures and the behavior of the participants in the economy.

(ii) A substantial and effective understanding with sufficiently recognized, appropriate and unquestionable research tools in fragile financial environment could provide useful information to (a) economic policy makers, (b) the investors themselves as well as (c) banking institutions in order to understand and quantifies effectively the financial risk. The objective of this research is to apply the Extreme Value Theory (EVT) into the fractional changes in the Greek banking system and develop new mathematical-

econometric models with an emphasis to the multivariate analysis of the extreme events on jumps of equity prices of Greek banking institutions.

(iii) The intra-day circuit breaker proposed by Gkillas and Longin (2018) is also investigated, if and whether it could be used in Greek banking markets. This mechanism gives the authorities an effective tool for temporarily break – pause the negotiations of a market in case of a stock price decrease below a threshold.

By applying EVT we are able to calculate the probability that an extreme event (in our case extreme downside jump) that will take place simultaneously in two banks. We focus on the bivariate peaks over threshold method to calculate the tail dependencies to quantify the dependencies of jumps on Greek banking sector. Furthermore, adapting lags ($t+n$) to the series of jumps in one of the two banks under study, we can model the time between the extreme event in a banking institution and the extreme event that follows in another banking institution. Also how an intra-day circuit-breaker mechanism which stops the trading will decrease the probability of another extreme event occurring. The effective use of the results of the present study in terms of economic policy gives a useful tool for the protection of the banking and financial system and consequently the real economy. In this research we consider that we offer a research of high research interest, as it provides an innovative econometric method of global valuation of capital control and intra-day circuit-breaker.

Developing New Sets of Digital Skills In A Changing Online Environment

Ciochină Raluca Silvia¹

Cismaru Diana Maria²

Lemnaru Mihaela³

¹ College of Communication and Public Relations, National University of Political Studies and Public Administration, raluca.ciochina@comunicare.ro, <https://orcid.org/0000-0003-4056-8787>

² College of Communication and Public Relations, National University of Political Studies and Public Administration, diana.cismaru@comunicare.ro, <https://scholar.google.com/citations?user=-c13FUIAAAAJ&hl=en>

² College of Communication and Public Relations, National University of Political Studies and Public Administration, mihaela.lemnaru94@gmail.com

Abstract: The subject of digital skills development is not new in the public relations domain in general and in the practice of online communication in specific. Changing requirements of the job led public relations practitioners' capabilities and competences to develop consistently throughout the past decade, especially considering the extensive changes and transformations in digital platforms and the increasing expectations of publics to consume information and content based on their interests and availability. Gardner's definition (1993, p. 15) of intelligence as "the ability to solve problems or fashion products that are of consequence in a particular cultural setting or a community" sets the criteria allowing the emergence of digital intelligence, a concept which was studied intensively in the past years, undertaking various forms, such as digital literacy, digital skills and competences and so on (Buckingham, 2003; Hargittai, 2008; Van Deursen, Helsper, & Eynon, 2014; Van Laar et al., 2017). The objectives of this research paper are to analyze the level of digital skills in practitioners managing online communication campaigns and to identify the opinions, attitudes and motivations of public relations practitioners related to the role of digital skills in their current workplace. This research specifically focuses on informational, hypermedia, socio-emotional, visual and social media skills.

Digital skills have been a focus of research in the past years with studies showing relevant methodology as well as empirical results (Eshet-Alkalai, 2004; Ng, 2012; Van Deursen et al., 2016). Studies so far have shown how communication specialists are currently using digital competences (Tench et al. 2013; Zeffass et al., 2017) and how they keep up with the latest changes, undertaking activities meant to maximize their efforts in developing and implementing an efficient online communication campaign.

In Romania, most digital communication roles imply a variety of skills, such as knowing how to develop and coordinate online campaigns, from content creation to website administration, search engine optimization understanding and social media community management. For the purposes of this research, a quantitative study was conducted, and the questionnaire was used. 75 public relations practitioners responded to the online survey in May 2018, most of them with a university degree, after graduating the Faculty of Communication and Public Relations, NUPSPA, in Bucharest. The communication professionals work in various types of organizations, such as PR and Marketing agencies, communication start-ups, NGOs and advertising agencies, undertaking various roles: Strategic Planner, Project Manager, Content Manager, PR Specialist, Communication Specialist, Digital Project Manager or Event Project Manager. The results show the extent to which the communication practitioner is involved in various tasks and also the extent to which the professionals currently use various types of digital platforms to meet their objectives (over 40% use content, storage and post programming tools). As far as the levels of digital skills are concerned, social-emotional skills have the highest values for the selected sample. The research results also show that communication practitioners are becoming more and more involved in digital marketing related activities, as their tasks also include transactional related objectives, not exclusively communication-based ones.

Keywords: digital skills, Public Relations online.

References

- Buckingham, D. (2003). Media education and the end of the critical consumer. *Harvard Educational Review*, 73(3), pp. 309-328.
- Eshet-Alkalai, Y. (2004). Digital literacy: A Conceptual framework for survival skills in the digital era. *Journal of Educational Multimedia and Hypermedia*, 13(1), 93-107.
- Gardner, H. (1983). *Frames of mind: The theory of multiple intelligences*. New York: Basic Books.
- Hargittai, E. (2008). Survey measures of web-oriented digital literacy. *Social Science Computer Review*, 23, pp. 371-379.
- Ng, W. (2012). Can we teach digital natives digital literacy? *Computers and Education*, 59(3), 1065-1078.
- Tench R., Zeffass A., Verhoeven P., Vercic D., Moreno A., & Okay A. (2013). *Competencies and Role Requirements of Communication Professionals In Europe. Insights from quantitative and qualitative studies*, ECOPSI Research Report disponibil la www.ecopsi.co.uk
- Van Deursen, A. J. A. M., Helsper, E. J., & Eynon, R. (2014). *Measuring digital skills. From digital skills to tangible outcomes*. Project Report. Recuperado de: www.oii.ox.ac.uk/research/projects.

- Van Laar, E., Van Deursen, A. J., Van Dijk, J. A., & De Haan, J. (2017). The relation between 21st-century skills and digital skills: A systematic literature review. *Computers in human behavior*, 72, 577-588.
- Van Deursen, A.J.A.M., Helsper, E.J., & Eynon, R. (2016). Development and validation of the internet skills scale (ISS). *Information Communication & Society*, 19(6), 804-823.
- Zerfass, A., Moreno, Á., Tench, R., Verčič, D., & Verhoeven, P. (2017). *European Communication Monitor 2017. How strategic communication deals with the challenges of visualisation, social bots and hypermodernity. Results of a survey in 50 Countries.*

The Export Behavior of Small Firms

Cristina Reche Lamiel¹

¹Zaragoza`s University, Business Management, E-mail: creche98@hotmail.com, Orcid: 0000-0002-5148-4127

Abstract: Most of the existing literature on the export behavior of small firms examines single-stage decision making processes based on the decision whether or not to export, which export mode to use (direct versus indirect export), or both of them simultaneously (with three independent alternatives as a result of combining the two decisions). This article proposes that the decision regarding exporting and the choice of export channel are nested and non-independent decisions. Using the Akaike and Schwarz Information Criteria, the empirical evidence supports the existence of a nested structure, where the decision about exporting precedes the export mode decision. The implications and contributions of the findings are discussed.

Importance of Local Entrepreneurship in Context of Regional Economic Development

Dace Štefenberga^{1,2}

¹ Ventspils University of Applied Sciences, daces@venta.lv

² PhD student, Latvia University of Life Sciences and Technologies

Abstract: Smart Specialization Strategy defines perspectives of economic development for each region. It is necessary to develop and implement strategic plans and policies for regional and national level development, and include social capital, cooperation and innovation.

The aim of this paper is to find and analyze best practices in entrepreneurship in regions in times after COVID-19 pandemic crisis. Tasks of this paper is to study possible changes and solutions in different industries in regional level.

Materials and methods used are statistical data and analysis of turnover of largest companies in region in different industries in order to analyze transformation process of regional economic environment. Comparative analysis of policy planning documentation will be provided: National Development Plan 2021-2027; Regional Policy planning 2021-2027, National Industrial Policy.

Conclusions: Cooperation, innovation and local entrepreneurship in regional level makes important impact on national level economic development

Keywords: innovation, cooperation, regional development

Utilization of Scholarly Journal Articles in the Teaching and Learning of Teacher Education Courses

Derren N. Gaylo¹

Manuel E. Caingcoy²

Daisy C. Mugot³

¹Bukidnon State University, Malaybalay City, Philippines, gaylo_derren@buksu.edu.ph

²Bukidnon State University, Malaybalay City, Philippines, caingcoy101379@gmail.com

³Bukidnon State University, Malaybalay City, Philippines, dey_mugot@yahoo.com

Abstract: The usage of scholarly journal articles in the academe is now gaining attention to cope with the ever dynamic and evolving teaching and learning processes. This paper explored how the teacher education faculty and students utilized scholarly journal articles in the teaching and learning of professional education courses. The study also determined the challenges in using these primary sources and documented ways of overcoming them. Using a narrative inquiry, a focus group discussion with six teacher education faculty and face-to-face interviews with six students was conducted in the College of Education of a state university in Northern Mindanao. Data gathered were analyzed through thematic narrative analysis. Emerging themes revealed that scholarly journal articles was utilized by exposing learners to varied writings, enriching course content and learning, exposing them to process learning, preparing learners for classroom engagement, guiding learners to produce outputs, and allowing learners to acquire updates. The inquiry reported challenges in terms of the capability of the learners, interest and perception of learners, and the journal itself and its contents. Documented ways of overcoming these challenges include time management, frequency of use, selection criteria, and checking the author's background.

Keywords: Journal Articles, Narrative Inquiry, Teacher Education, Teaching, Learning

Social Entrepreneurship: Job Opportunities For Persons With Mental Disabilities

Evija Anca ¹

Biruta Sloka ²

¹ University of Latvia, e-mail – evance@inbox.lv, ORCID: <http://orcid.org/0000-0002-3524-7447>

² University of Latvia, e-mail - Biruta.Sloka@lu.lv, ORCID: <http://orcid.org/0000-0003-2129-053X>

Abstract: The support of persons with mental disabilities by the state and the creation of jobs is one of problems in many countries. The priority of social entrepreneurship is to create high social added value by using business methods. Social entrepreneurship is one of the solutions and ways to integrate people with mental disabilities into the labour market. In developed countries there is a valuable experience how to include people with disabilities into society: involve in several activities and let them feel as valuable people valuable. Aim of the paper is to analyse findings and good practice of employment of people with mental disabilities in several countries and analyse the situation and possible developments on employment of people with mental disabilities in Latvia. Tasks of research: 1) analyse results of academic findings on good practice and challenges in tis aspectworld-wide; 2) analyse the developments and trends in Latvia; 3) propose possible development scenarios on the issue in Latvia. Research methods: analysis of scientific publications; legislative documents, statistical data and expert survey. Research results have shown that many important steps in employment of people with mental disabilities in Latvia has been reached but there are difficulties to keep sustainability in this aspect.

Keywords: social entrepreneurship, people with mental disabilities, occupational safety, integration into the market.

The preparation of this paper is within the National Research Program “LATVIAN HERITAGE AND FUTURE CHALLENGES FOR THE SUSTAINABILITY OF THE STATE” project “CHALLENGES FOR THE LATVIAN STATE AND SOCIETY AND THE SOLUTIONS IN INTERNATIONAL CONTEXT (INTEFRAME-LV)”.

Self-Employed Ones Deserve a Pension Too! The Regulation Background of the Pension Savings for the Self-Employed Persons in Latvia

Evija Dundure

University of Latvia, Dundure.Evija@gmail.com, ORCID: <https://orcid.org/0000-0002-2114-2564>

Abstract: Once countries with the pension system construction based on the three pillars – compulsory and voluntary – are considered, the expected income after retirement for the wage earners should be on the adequate level. Nevertheless, it needs to also be taken into the consideration that there are other categories, such as self-employed persons, royalties receivers, small business owners and the employees of special regime tax-paying companies (further in the text – self-employed persons). These individuals have limited access to the state guaranteed pension (1st pillar) and employer-based supplementary pension schemes (2nd pillar). Consequently, they must rely on private pension savings (better known as the “third-pillar”). In addition, the governments of different countries carry out diverse tax-policies, especially for low earnings receivers. The aim of this paper is to evaluate the effectiveness of regulations of pension system for self-employed persons in Latvia. The study is based on analysis of legislative documents and comparisons of legislative norms, time series analysis and academic literature review of different countries’ experiences. Although the Latvian government’s awareness of current situation results in attempts to maximize the pension income level, the results of this paper highlight the exceptional situation of self-employed persons in Latvia in comparison with the employed ones. The growing trend of number of self-employed persons in Latvia enlightens the necessity for the improvements of regulations to provide pensions on adequate level.

Keywords: Pensions system, voluntary savings, governments, regulations, self-employed.

Challenges of The Aviation Sector Supply Chain in The Pandemic Context

Gatis Kristaps¹

¹PhD student, gatis.kristaps@ardenis-consult.com

Abstract: Aviation sector was one of the sectors worldwide most severely hit by the outbreak of the Covid-19 pandemic. Operations at airports were almost completely cancelled in March 2020. After the restart of business activities couple of months later, the aviation market still remains very vulnerable to travel restrictions imposed by national governments and the uncertainty of the end of the crisis. Although national governments have made significant efforts to save their carriers and to a less extent airports (both make a direct impact of the aviation sector to national economies), is it enough to say that the aviation sector is back on the track in the European Union?

The aviation sector consists of many companies which service big actors on the stage. The companies which are part of the aviation supply chain and create an indirect economic impact of the aviation sector in many cases are the most suffered. They lack the variety and scope of the public support compared to the companies like airlines, airports and aeronautical service providers.

The research paper examines the role the aviation supply chain (indirect and induced impact) on the sustainability of the aviation sector to generate a direct impact to selected economies of the European Union.

Positive Impacts Of Free Trade Agreements On A Country Economy

Hokuma Mammadzada

University of Tartu, BachelorDegree in Business Administration and Management,
mammadzadahokuma@gmail.com

Abstract: Economy is the crucial part of the country development as it has direct effects on the quality of living standards, job opportunities, consumers and producers. Economy of each country mainly consisted of its local producers and customers which will be more vulnerable to any change that is addressed. Countries are learning international experience and making growth policies for their economic development and free trade policy which means elimination of tariffs and/or barriers to imports and exports among two more countries, is a policy requiring successful establishment. The policy of free trade is widening possibilities for limitless, non-differentiated free market systems which will positively impact on manufacturers' market share, customers and purchasing power. Application of free trade may bring prosperous outcomes on not only more convenient export processes but also expand the market for people that belong to both affiliates and poor backgrounds. Free trade policy is a mechanism that does not introduce any huge restrictions from the government to trade in products or services from or beyond two or more countries as it needs strict supervision and interference. In this paper, the role of free trade will be detailed discussed, both advantages and disadvantages will be described, however as the aim of the paper, implementation of free trade policies will be supported rather than protested. Many countries' free trade policy experience such as North American Free Trade Agreement (NAFTA), South African Free Trade Agreement (SAFTA), and other free trade negotiations with European Union and Australia will be analysed in terms of economic development and economic growth and presented as supportive arguments. Analysis will be conducted based on official governmental sites and documents, scientific journals, and other high rated online platforms.

Keywords: economic development, free trade, foreign trade, free trade agreement, international free trade experience.

Artificial Intelligence in Video Games Industry: Comparison between Historical and Modern Trends in the Industry

Ilkin Seyidzade¹

Dr. Rudnak Ildiko²

¹PhD student, Szent Istvan University, Doctoral School of Management and Business Administration, field of scientific research: artificial intelligence, new technology, virtual world. Address: Felso Erdosor 16-18, 1068, Budapest, Hungary, Phone: +3670 5159087, E-mail: ilkin.seyidzade@gmail.com

²Associate professor at Szent István University, Institute of Social Sciences, Field of scientific research: multiculturalism communication organizational culture training - coaching culture shock adaptation competences. Address: H-2100 Gödöllő, Páter Károly u. 1, Hungary, Phone. +36 30 212-7545. E-mail Rudnak.Ildiko@gtk.szie.hu.

Abstract: In our age of technical progress and global computerization, such topic as the influence of the computer games industry on the global economy is an important topic for research. World game publishers in our time surpass many established corporations in terms of the economic potential. Large game publishers have found a place and firmly settled in a niche market, where they compete with business giants. The level of Artificial Intelligence (AI) that has been used in Games industry exceeds the level of AI used in any other crucial industries in every country, and it is not surprising. The industry develops itself with a giant speed and becomes one of the most demanded form of daily entertainment for the world population.

Video games industry is bringing billions of dollars every year to developers, and the emerging history and patterns would be beneficial to learn in terms of determining the driving factors in this industry. Obviously, there is a significant difference between the economic actors of games industry versus other industries, however, it is worth to examine the approach to the use of latest technologies, which can help in developing an AI-model business in other industries as well.

In this article, we will research the concept of "computer games industry" and determine the possibility of further development of the gaming industry in the global economy. For this purpose, we investigate the historical evolution path of the industry comparing it to the modern patterns and trends. The researchers have also conducted a primary research by holding a questionnaire survey among more than 100 respondents and collected data has been analyzed in order to give our own estimations for the future of the games industry.

Keywords: Games industry, video games, virtual reality, modern technology, new technologies, artificial intelligence

General Implementation Processes of Artificial Intelligence and Its Economic Effects in Hungary

Ilkin Seyidzade¹

Dr. Rudnak Ildiko²

¹PhD student, Szent Istvan University, Doctoral School of Management and Business Administration, field of scientific research: artificial intelligence, new technology, virtual world. Address: Felső Erdosor 16-18, 1068, Budapest, Hungary, Phone: +3670 5159087, E-mail: ilkin.seyidzade@gmail.com

²Associate professor at Szent István University, Institute of Social Sciences, Field of scientific research: multiculturalism communication organizational culture training - coaching culture shock adaptation competences. Address: H-2100 Gödöllő, Páter Károly u. 1, Hungary, Phone. +36 30 212-7545. E-mail Rudnak.Ildiko@gtk.szie.hu.

Abstract: In the modern scientific world Artificial Intelligence (AI) and its widespread use is being broadly investigated. However, while in some countries have already excelled in implementing AI in business environment, others are in the stage of developing and learning of the process. Hungary, being one of the countries where AI is expected to have a bright future has also joined this process.

Similar to the most of the other countries, Hungary is also facing uncertainties in terms of AI implementation. On one hand, the current economic situation, the requirements of free market economy and competition in cost saving drives the local industries to the use of the new technology, while on the other hand, due to several reasons, such as, skepticism of population, lack of skilled professionals, fear of raise of unemployment level and other reasons may be serious obstacles in its successful early implementation.

In this paper the author investigates the primary requirements of AI implementation in general, in line with the steps that take to the successful implementation. Moreover, the difficulties and criticism towards the new technologies have been researched in order to see their relevance in Hungarian case. The author has also learned about the economic effects of AI in Hungary, and the industries in the country that have already applied to use it. Furthermore, the government incentives, and efforts, together with current trends in country have been presented to the reader.

Keywords: Artificial intelligence, computer, robot, future perspectives, new technologies, Hungary.

Challenges of Educational Institutions Management in Alternative Financing of Development Projects

Irina Teodora Manolescu¹

¹Alexandru Ioan Cuza University of Iasi, Romania, irina.manolescu@gmail.com, ORCID: <https://orcid.org/0000-0002-1869-1343>

Abstract: Educational Institutions should face some rapid and profound changes in order to satisfy society's demands. Often perceived as promoters of traditional values and being part of an inertial, self-supporting environment, schools and universities are currently facing the situation of taking responsibility for covered multiple needs for multiple beneficiaries, of including the extended consideration of stakeholders in the decision making process and of searching financing alternatives for sustaining development projects. The paper aims to analyse the accessing by the management of the educational institutions of different financing alternatives – especially crowdfunding, institutional partnerships and non-refundable financing programs. The methodology used is a complex, layered one - an extended documentation at European level for the analysis of the accessing of different financing programs in education and crowdfunding platforms, a survey investigation at national levels with managers of educational institutions with the aim of identifying their motivation and availability to use financing alternatives and also of the struggles they face, and a qualitative analysis, through focus-group, at regional level, with experts in education, for identifying improvement trends and measures that can be recommended with the aim of financial support of changes in the educational environment. The conclusions of the paper are also structured according to the three analysis levels. At European level, an ascending dynamic of accessing financing alternatives for educational projects has been noticed. Cultural and educational projects are in the first places on crowdfunding platforms, both according to submitted proposals and financing percentages. At national level, following the investigation, profiles of educational institutions, according to the orientation towards financing alternatives were outlined. The improvement proposals of financial support of educational projects targets the activities of development educational management, the organization of consulting services at regional level, supporting the consistent dissemination of financing opportunities and good practices identified in the financing and implementing of development projects.

Keywords: educational management, alternative financing, projects

Textile, Garment and Shoe Production of Russia

Kurstiuk GALIA¹

¹Šzenova Textile- Marketing Russia - K.galia@senovatekstil.ru

Abstract: During the period of Soviet Union, Russia was one of the world's leading fabric and shoe manufacturers. This high production was carried out within the framework of input consolidation with other countries in the Soviet Union and plans and policies to meet the basic needs of the people. However, after the collapse of the Soviet Union, there was a significant decline in textile, garment and shoe production. Textile and apparel imports and domestic sales are generally decreasing due to the decrease in revenues and the depreciation of the Ruble in times of economic problems in Russia. However, it is observed that there is a transition from the products in the upper price groups to the products in the middle lower price group.

As of 2017, it is seen that the world total cotton fabric production is approximately 30 billion square meters and Russia's share is 1.4 billion square meters. There are some disadvantages in terms of raw material production and labor costs in Russia and investment and financing opportunities are required for new facilities. It is considered that synthetic fiber production, which will be based on the existing petrochemical facilities of the country, may come to the fore within the scope of the targets determined in terms of textile. Another important issue for the sector is the application of labeling. With the Government Decision signed in December 2017, it was decided to establish a single national system for product marking by 2024. This system is planned to cover everything from tobacco to medicine and clothing to baby food. The application started in the shoe group as of July 1.

In general, Domestic products constitute 30% of the Russian light industry market. Moreover, there are some policies for increasing textile and apparel production in Russia. It is aimed to increase the share of domestic production within the light industry by 50% by 2025 in Russia. This rate is currently in the range of 25%-30%. In terms of textiles, it is aimed to emphasize the production of synthetic fabrics that will be based on the country's existing petrochemical facilities. On the other hand, it is seen that there has been a certain increase in fabric production in Russia in the last 10 years.

Keywords: Textile in Russia, confection, production

Eğitim ve istihdam: pandemi ve postpandemi dönemi

Matant Rasulova¹

¹Bakü Devlet Üniveristesi, Uluslararası İlişkiler ve Ekonomi, matantrasulova@gmail.com

Özet: Koronavirüs pandemisinin hem gelişmiş hem de gelişmekte olan ülkelerin ekonomileri üzerinde olumsuz etkileri olduğu gibi, eğitim de dahil olmak üzere birçok alanda mevcut sorunların ve gelecek vaat eden reform önlemlerinin belirlenmesine yardımcı oldu. Bilindiği gibi, dünyanın birçok ülkesinde eğitim durdurulmuş ve bazı eğitim kurumları teknoloji ve çevrimiçi öğrenme platformları aracılığıyla İnternet üzerinden, yani uzaktan eğitime geçid yapmıştır. Eğitim yönetimindeki değişikliklerin hem öğrenciler hem de personel üzerinde hem olumsuz hem de olumlu etkileri olmuştur. Çalışmanın amacı postpandemik dönemde eğitim ve işçi bazası ile alakadar sorunlarını, aynı zamanda eğitim alanında gerekli reform istikametlerini belirlemektir. Bu amaçla, makale, pandeminin eğitim üzerindeki olumsuz etkilerini inceleyecek, eğitimdeki mevcut sorunları ve bunlara hitap etme yollarını ve ayrıca pandeminin en çok etkilenen istihdam alanları olan işgücü piyasası üzerindeki etkisini inceleyecektir. Aynı zamanda, teknoloji ve internet üzerinden eğitim alanında gelişmiş olan ülkelerin deneyimleri de bu makalede yer alacaktır. Araştırma sonucunda pandemi gibi mücbir sebepler halinde eğitimin sürekliliğini sağlamak ve pandemi sonrası dönemde eğitimi istihdamla uzlaştırmak için bazı öneriler hazırlanacaktır.

Anahtar Kelimeler: eğitim, istihdam, koronavirüs pandemisi, internet üzerinden eğitim.

Challenges in trends for management decisions in social inclusion in EU

Muhammad Adnan¹

Biruta Sloka²

¹ University of Latvia, e-mail - madnanaq@gmail.com, ORCID:

² University of Latvia, e-mail – Biruta.Sloka@lu.lv, ORCID: <http://orcid.org/0000-0003-2129-053X>

Abstract: Poverty reduction and social inclusion is one of the biggest challenges in many countries in the European Union including Republic of Latvia. Many countries have been criticized by the international institutions for the situation in this aspect from one side and many countries around the globe have found different innovative solutions for poverty reduction and social inclusion. Aim of the paper is to evaluate different approaches in management decisions for social inclusion. Research methods used in current research: scientific publications published in recognised and in solid data bases indexed publications, analysis and analysis of previous conducted research results in countries around the globe; analysis of international organisations (EUROSTAT, OECD and World Bank) statistical data on different aspects of poverty reduction and investigation of possible influence of society representatives (especially less economically successful part of society) involvement in education and training programmes (especially in life-long education programmes) issues to support involvement in employment and respective social inclusion. Analysis of experience carried out in many countries indicate that involvement of representatives of the society in life-long education and support of literacy on information technologies create innovative solutions of social inclusion and poverty reduction as well as well-being of inhabitants of the country.

Keywords: Social inclusion, management decisions, poverty reduction.

The preparation of this paper is within the National Research Program “LATVIAN HERITAGE AND FUTURE CHALLENGES FOR THE SUSTAINABILITY OF THE STATE” project “CHALLENGES FOR THE LATVIAN STATE AND SOCIETY AND THE SOLUTIONS IN INTERNATIONAL CONTEXT (INTEFRAME-LV)”.

Latvia's Experience in Determining the Payments of Finance and Capital Market Participants to its Finance Regulator

Rita Vanaga¹

Biruta Sloka²

¹ University of Latvia, e-mail – Rita.Vanaga@lu.lv, ORCID: <https://orcid.org/0000-0002-0094-8630>

² University of Latvia, e-mail – Biruta.Sloka@lu.lv, ORCID: <http://orcid.org/0000-0003-2129-053X>

Abstract: Finance regulators play an important role in economic development of a country, and its forms of cooperation at the international level depends on the work of an effective Finance regulator. One of the important factors in promoting the efficiency of the Finance regulator is its adequate funding. The aim of the current research is to study the possibilities of Finance regulator financing development. The Latvia`s public administration is interested in increasing the efficiency of the management of public functions, as it is a small country and its financial market is very small, but it must ensure the same all strict supervision requirements as other European Union countries. In Latvia, the supervisory and regulatory function of the finance sector is a public administration function delegated to the Financial and Capital Market Commission, which is a derived public entity in the hierarchical system of public administration a. Research methods used: analysis of scientific publications and previous research, analysis of legislative documents, survey of experts. Expert survey data were analyzed with indicators of descriptive statistics. The results of the expert survey indicate that rules need to be put in place to better motivate market participants and acceptable funding for financial regulators.

Keywords: financial regulator, financing principles, financing.

İşgücü Piyasasının İnsan Kaynakları Yönetimindeki Rolü

Ruhangiz Aliyeva¹

¹Phd.student, Azerbaycan Universeti ,Maliyye ve İktisad fakültesi, ruhangiz.aliyeva@au.edu.az

Özet: İnsan kaynakları yönetiminde işgücü piyasasına karmaşık yaklaşım çok önemlidir. İnsan kaynakları piyasa modelinde ve iş piyasasının konusu ve konusu üzerinde önemli bir rol oynamaktadır. Aslında, işgücü piyasasına erişim, işgücü piyasasının mevcut rekabet edebilirliğinin yanı sıra işgücü piyasası rekabet mekanizması, pazar varlığı ve işgücü piyasası organizasyonuna bağlıdır. İşte işgücü piyasasının yapısı, altyapısı ve işlevleri, işe alım için eğitim kurumları, işgücünün rekabet gücü, mesleki eğitim ve mesleki eğitim, işgücü değiş tokuşları, hükümet ve sivil toplum merkezleri. Çok önemli bir rol oynarlar. İşgücü piyasası altyapısı, personel hareketi ve piyasanın işleyişi ile ilgili bir dizi yapıdan oluşan karmaşık bir sistemden oluşmaktadır. Bunlar işgücü piyasası altyapısının işlevleridir.

- İşveren ve iş gücü arasındaki etkileşimin ayarlanması;
- İşverenlere bilgi hizmetlerinin sağlanması;
- İşgücü piyasası bilgilerinin toplanması, analizi ve tahmini;
- İstihdamın genişlemesi
- İşsiz nüfusun sosyal ve maddi güvenliğinin sağlanması;
- İş yaratma üzerinde hiçbir etkisi yoktur;
- Gelişmiş faaliyetleri yürütmek, eğitmek, mesleki gelişim faaliyetlerini organize etmek.

İşgücü piyasasındaki asıl mesele, iş gücü piyasasının yapısının sistematik analizi, iş gücü piyasasının bölümlendirilmesi sorunları hakkında bilgi kaynakları, iş piyasasının bölümlenmesi, belirli tematik sorunlar hakkında bilgi kaynaklarıdır.

Azerbaycan Cumhuriyeti'nde işgücü piyasasının oluşumu, yasal, örgütsel ve ekonomik düzenlemesi, hem piyasa altyapısının geliştirilmesi, hem de nüfusun istihdamı açısından çözülmesi gereken sorunlardan biridir. Modern koşullarda, işgücü piyasasının devlet düzenlemesi ekonomik, idari, yasama, örgütsel vb. karmaşık bir olay sistemini yansıtır. Devlet, işgücü piyasasında önemli ara ve destekleyici işlevler yerine getirmiştir. İş bulmak ve yeni işler yaratmak için ülke çapında programların geliştirilmesinde aktif rol oynamaktadır. Emek piyasaları, işgücü piyasası düzenleme sisteminde pazarın ekonomik mekanizmasının en önemli unsuru olarak önemli bir rol oynamaktadır. İşgücü değiş tokuşları arasında işsizlerin kaydı, işgücünün işgücü piyasasında serbestçe satın alınması ve satılması ve çalışan ile işveren arasında arabuluculuk yapmanın özel yararları bulunmaktadır

Anahtar kelimeler: işgücü piyasası,insan kaynakları,devlet istihdam hizmetleri,rekabet mekanizmi.

The Impact of COVID-19 on the Stock Markets: Evidence from North Macedonia

Tatjana Spaseska¹ Dragica Odzaklieska² Ilija Hristoski³ Aneta Risteska-Jankuloska⁴ Fanka Risteska⁵

¹ Associate Professor, Faculty of Economics – Prilep, University St.Kliment Ohridski Bitola,
tatjana.spaseska@uklo.edu.mk

² Full Professor, Faculty of Economics – Prilep, University St.Kliment Ohridski Bitola,
dragica.odzaklieska@uklo.edu.mk

³ Associate Professor, Faculty of Economics – Prilep, University St.Kliment Ohridski Bitola,
ilija.hristoski@uklo.edu.mk

⁴ Associate Professor, Faculty of Economics – Prilep, University St.Kliment Ohridski Bitola,
aneta.risteska@uklo.edu.mk

⁵ Associate Professor, Faculty of Economics – Prilep, University St.Kliment Ohridski Bitola,
fance.risteska@uklo.edu.mk

Abstract: Because of the global pandemic of COVID-19, the stock markets evidence loses, while the stocks are losing their values drastically. Namely, the world stock markets are losing of billions of euros due to the coronavirus pandemic that caused a blow to the economy with restrictions on the movement of citizens and new working conditions for companies. Some of the world economic media write that the fall brought by the pandemic on some stock markets is bigger than the one caused by the economic crisis in 2008.

The covid-19 virus epidemic that has hit the global stock markets has also harmed the domestic stock market, most notably in the MBI10 index, which contains the ten most liquid securities of listed companies. This index sank by 22.43% in March 2020 which is significantly decline, having in mind that in the past 5 years MBI10 was characterized with continuous double-digit annual growths. Oil companies, travels agencies, manufacturers were also exposed to the corona outbreak, their stocks were also in the downfall losing over 10% of their stock value. Nevertheless, in terms of COVID 19, the value of banks' shares recorded rise.

Starting from the a.m., the main objective of this research will be directed towards providing data about the impact of the COVID-19 pandemic on the stock markets, with particular focus on the Macedonian Stock Exchange.

Keywords: COVID-19, financial markets, stock markets, Macedonian Stock Exchange

Socio economic status and impact of the USP and pricing on the purchase decision of the consumer

Umer Qadir Sofi ¹

Shabir Ahmad Bhat

¹Orcid: 0000-0001-6545-6808

Abstract: Although traditionally a customer's purchasing decision is primarily based on price, the study showed that price and its impact on the company is an important factor in making a purchasing decision. The results also show that non-price factors are becoming increasingly important in purchasing decisions in recent decades, with customers always focusing on company prices and continuing to focus on them. That is why companies must always remember that consumers are people who need to be in the spotlight, and they must always take their ambitions, needs, preferences and opportunities into account. With case of social economic status which determines how the consumer are responding to the certain factors in case of pricing and USP.

Keywords: socio economic status ,Customer Purchasing Decision, USP, Brand loyalty, Pricing, Impulse Purchase, Marketing Strategy

JEL CODE : M31 M37 P22

Koronavirüs Pandemisine Karşı Dünya Deneyimi

Vasif Mammadzada, Azerbaycan¹

¹Hoca Ahmet Yesevi Üniversitesi, Kamu Yönetimi ve Ekonomi, Ekonomi, vasifmammadzada2000@gmail.com

Özet: Bugün, dünyadaki birçok hem daha az hem de daha çok gelişmiş ülkeler, koronavirüs pandemisi ve bunun neden olduğu ve neden olabileceği hasarlara karşı savaşmaya devam ediyor. Virüsün yayılmasını, yani insan sağlığına verdiği zararı ortadan kaldırmak için alınan tedbirlerin dünya üzerinde bazı olumsuz ekonomik etkilerinin de olması ise en büyük hasarlıdan biri gibi sayılıyor. Makalenin temel amacı, pandemi devrinde daha iyi rakamlara ve neticelere sahip ülkelerin salgının ülke ekonomisi üzerindeki olumsuz etkilerinin karşısını azaltmak için yapmış olduğu önleyici deneyim ve tedbirleri araştırarak daha çok zarar görmüş ülkelere tavsiyelerin verilmesidir. Sonucun alınması için, daha iyi dayanıklılık gösteren ülke ekonomileri ve onların yapmış olduğu tedbirler karşılaştırmalı olarak analiz edilecek ve özetlenecek. Bu amaçla bu ülkelerin son yıllardaki makroekonomik göstergelerinin dinamikleri yansıtılacak ve analiz edilecektir. Aynı zamanda, ekonomileri analiz edilen ülkelerde pandemi sırasında en fazla etkilenecek üretim ve hizmet alanları da belirlenecek ve bu alanlardaki hasarları azaltmak için devlet tarafından alınan düzenleyici tedbirler özetlenecek ve karşılaştırılacaktır. Ayrıca, çalışma zamanı ülke politika ve iktisat uzmanlarının pandemi sonrası dönemi ile alakadar tahminleri de bahsedilecek ve incelenecek.

Anahtar Kelimeler: pandemi, ekonomi, ekonomi zararlar, dünya deneyimi.

Determinants of Relationship Lending: The Case of Turkish SMEs

Assoc. Prof. Aysa Ipek Erdogan¹

¹Bogazici University, School of Applied Disciplines, Department of Tourism Administration,
aysa.erdogan@boun.edu.tr, ORCID: 0000-0002-8653-9271

Abstract: The literature states that there are two lending technologies that banks employ in loan decisions: transaction lending and relationship lending. Transaction lending uses hard (quantitative) data and relationship lending uses soft (qualitative) data in the granting of loans. The literature argues that closer relationships with banks that creates soft data for them positively affect access to bank financing. Several studies provide evidence that a stronger borrower-lender relationship has a positive affect on loan approval rates. They suggest that information asymmetry problem can be mitigated by a strong relationship between the firm and the bank, and lower information asymmetry improves the firm's access to credit. This paper analyzes the factors that determine the strength of borrower-lender relationship for Turkish SMEs to find out the characteristics of firms that rely on relationship lending. It represents an important contribution to the literature because the determinants of relationship lending can signal the factors that affect the creditworthiness of a firm.

Key Words: Relationship Lending, Banks, SMEs, Turkey

Relationship Lending and Innovation Tendency: The Case of Turkish SMEs

Assoc. Prof. Aysa Ipek Erdogan¹

¹Bogazici University, School of Applied Disciplines, Department of Tourism Administration,
aysa.erdogan@boun.edu.tr, ORCID: 0000-0002-8653-9271

Abstract: Innovation tendency of firms has a crucial role in the economic growth of a country. Banks have an important role in the financing of innovations. However, they may be unwilling to provide financing to innovative firms because they can consider them as risky borrowers. The risk is inherent in the low information transparency and uncertain cash flows of innovative firms. One factor that can positively affect the creditworthiness of innovative firms in the eyes of the bankers is having close relationships with the banks. Several studies in the literature show that the tendency to innovate is positively affected by the use of soft information by the bankers. Because SMEs rely on bank loans as the main source of financing, examining whether a close lender–borrower relationship affects the innovation tendency of SMEs is an important contribution to the literature. This paper investigates the effect of relationship lending on the innovation tendency of Turkish SMEs.

Key Words: Relationship Lending, Innovation, Banks, SMEs, Turkey

Yabancı Dil Almanca Öğretim Materyali Dijital Hikâye (Digitale Storytelling) İle İlgili Almanca Öğretmen Adaylarının Görüşlerinin İncelenmesi

Binnur Arabacı¹

Prof. Dr. Sevinç Sakarya Maden²

¹T.Ü., Sosyal Bilimler Enstitüsü, binnurarabaci@trakya.edu.tr, ORCID: <http://orcid.org/0000-0003-2486-5423>

² Trakya Üniversitesi, sevincmaden@trakya.edu.tr, ORCID: <http://orcid.org/0000-0001-5954-9565>

Özet: 2020 yılının Mart ayından itibaren tüm dünyada COVID-19 salgınının önünün alınamaması nedeniyle pandemi ilan edilmesi üzerine tüm eğitim öğretim kurumlarında yüz yüze eğitime ara verilmiş, uzaktan eğitime geçilmiştir. Vaka sayısının istenilen düzeye düşmemesi nedeniyle 2020-2021 eğitim-öğretim yılında da ilköğretim kurumlarından başlayarak orta öğretim kurumlarında ve yükseköğretim kurumlarında da uzaktan ve dijital ortamda eğitim verilmesine ilişkin kararlar ard arda alınmaya başlanmıştır. Dünyanın böylesine hızlı dijitalleşmesi öğrenme ve öğretme süreci ile ilgili yeni yönelimlerin ön plana çıkmasına neden olmuş, birçok alanda olduğu gibi yabancı dil dersi bağlamında da yeni dijital materyallerinin kullanılmasını zorunlu hale getirmiştir. Bu çalışmada Web 2.0. teknolojileri hem öğrenenlere hem de öğretmenlere çok büyük imkânlar sunması nedeniyle ele alınmış, Almanca yabancı dil derslerinde Powtoon Web 2.0 aracını kullanarak dijital hikâye anlatımına yer verilmesine ilişkin Almanca öğretmen adaylarının görüşlerinin ne olduğu sorusuna cevap aranmıştır. Google Forms üzerinden uygulanan 4 kapalı ve 6 açık uçlu sorudan oluşan, ayrıca katılımcıların demografik özelliklerine yönelik soruların yer aldığı anket ile 2019-2020 eğitim-öğretim yılında Trakya Üniversitesinde Alman Dili Eğitimi yüksek lisans programında kayıtlı öğrencilere dijital hikâye anlatım örnekleri gösterildikten sonra bunların Almanca derslerinde kullanılmasını nasıl buldukları, bu materyaller ile çalışmanın avantaj ve dezavantajlarının neler olabileceği sorulmuş, elde edilen verilerden hareketle öneriler geliştirilmiştir. Anketten elde edilen veriler içerik analizi yöntemiyle değerlendirilmiştir. Bu çalışma sonucunda dijital hikâye anlatımının yabancı dil olarak Almanca derslerinde kullanılabileceği ve günümüzde Almanca öğretmen adaylarının bu tür materyaller ile çalışmaya ilişkin hazırbulunuşluk düzeylerinin yüksek olduğu sonucuna varılmıştır.

Anahtar sözcükler: Yabancı dil Almanca, dijital hikâye anlatımı, web 2.0. aracı, Powtoon.

Effective Communication Between Generation Including Social Media

Prof. Dr. Buket AKSU¹

Lecturer. Hasan Ali HUSSEIN¹

¹Altınbaş University / Faculty of Pharmacy, Pharmacy Management department., buket.aksu@altinbas.edu.tr
ORCID:0000-0001-7555-0603

² Altınbaş University / Faculty of Pharmacy, pharmaceutical technology dep. hasan.hussein1@altinbas.edu.tr,
ORCID:0000-0001-5051-4550

Abstract: Social media is progressively being used for sharing health information and for networking among health professionals and patients; this is particularly evident among the younger age groups .There is great potential for healthcare provider to engage in the utilization of such platform to improve health outcomes ,and this project explore some of the areas where social media is already in the health institutes and potential areas where using social media could make a positive impact on the determinant of health .The different generations of communications are Traditional or silent generation ,Baby boomers ,Generation X , Millennials or otherwise known as generation Y , and the last which is generation Z or centennials .

It is evident that the majority of social media users fall into the younger generation which is understandable .However , the majority of patient living with long term condition typically falls into the older generation(over 65years of age) and this shared to be taken into account when utilizing social media platforms to improve health outcomes.

Keywords: Communication, Generations, Social Media

Geçiş Ekonomilerinde Yolsuzluk ile Askeri Harcamalar Arasındaki Uzun Dönem İlişkisi

Prof.Dr. Cüneyt Koyuncu ¹

Prof.Dr. Jülide Yalçinkaya Koyuncu ²

¹Bilecik Şeyh Edebali Üniversitesi, İİBF, İktisat, cuneyt.koyuncu@bilecik.edu.tr, ORCID: 0000-0002-8638-2761

² Bilecik Şeyh Edebali Üniversitesi, İİBF, İktisat, julide.yalcinkaya@bilecik.edu.tr, ORCID: 0000-0001-7930-4901

Özet: Yolsuzluk her ne kadar gelişmişlik düzeyi fark etmeksizin tüm toplumlarda gözlemlenen bir olgu olsa da daha yaygın ve yoğun bir biçimde az gelişmiş ve gelişmekte olan ülkelerde gözlemlenmektedir. Telekomünikasyon ihaleleri, altyapı ihaleleri, askeri ihaleler gibi büyük ölçekli ve sofistike teknik şartnameye sahip ihaleler yolsuzluğun sıklıkla rastlandığı ihale türleridir. Yolsuzlukta bu tür ihalelerin tercih edilme sebebi uzmanlık gerektirecek derecede sofistike teknik şartnameyi sahip olmalarından ötürü bu alanda yapılacak olan yolsuzlukların çıplak bir gözle sıradan vatandaşlar tarafından tespit edilmesinin çok güç olmasıdır. Bu bağlamda bu çalışmada kişi başına askeri harcamalar ile yolsuzluk arasındaki uzun dönemli ilişki dengeli panel veriler kullanılarak gelişmekte olan ülkeler için analiz edilmiştir. Yapılan analizler sonrasında kişi başına askeri harcamalar ile yolsuzluğun uzun dönemde birlikte hareket ettiği ve bundan dolayı da iki serinin eş-bütünleşik olduğu görülmüştür. İki seri arasında istatistiksel olarak anlamlı bir nedensellik ilişkisine rastlanılmamıştır. Uzun dönemde yolsuzluğun kişi başı askeri harcamaları arttırıcı yönde etkilediği tespit edilmiştir.

Anahtar Kelimeler: Yolsuzluk, Askeri Harcamalar, Durağanlık, Eş-bütünleşme, Nedensellik

Çocuk ve Genç İşçilerin Korunmasına Yönelik Hukuki Düzenlemeler ve Bu Düzenlemelere Aykırılığın Hukuki Sonuçları

Dr. Öğr. Üyesi Ender Gülver¹

¹İstanbul Üniversitesi Hukuk Fakültesi, İş ve Sosyal Güvenlik Hukuku Anabilim Dalı, egulver@istanbul.edu.tr,
ORCID: 0000-0002-9017-0606

Özet: Sözleşmeler Hukuku'na hâkim olan temel prensiplerden biri, sözleşme serbestisi prensibidir. Sözleşme serbestisi; bireylerin sözleşme yapıp yapmama özgürlüğünü içerdiği gibi, bireylerin diledikleri kişiyle sözleşme yapma, sözleşmenin içeriğini ve şeklini belirleyebilme ve sözleşmeyi sonlandırabilme özgürlüğünü de içerir. Bu esas, İş Hukuku'nda da geçerlidir. İşveren dilerse iş sözleşmesi yapar, dilerse yapmaz; iş sözleşmesi yapmak istediğinde de işyerinde çalıştırmak istediği kişiyle sözleşme yapar. Sözleşme serbestisi prensibi, İş Hukuku'nda da geçerli olmakla birlikte, işçiyi koruma ilkesinin bir gereği olarak bazı sosyal düşüncelerle, bu prensibe birtakım istisnalar getirilmiştir. Bu istisnalar; bir yönüyle iş sözleşmesinin yapılmasına yasak getirmekte, bir yönüyle de iş sözleşmesi yapmayı zorunlu kılmaktadır. İş sözleşmesinin yapılmasına ilişkin yasakların bir kısmı, çocuk ve genç işçilerin korunmasına yöneliktir. Bu hususla ilgili başta 4857 sayılı İş Kanunu olmak üzere birtakım yasal düzenlemeler bulunduğu gibi konuya dair bir de Çocuk ve Genç İşçilerin Çalıştırılma Usul ve Esasları Hakkında Yönetmelik (RG., 06/04/2004, 25425) bulunmaktadır. Söz konusu Yönetmeliğin 4. maddesi gereğince; genç işçi, 15 yaşını tamamlamış, ancak 18 yaşını tamamlamamış kişiyi, çocuk işçi ise 14 yaşını bitirmiş, 15 yaşını doldurmamış ve ilköğretimini tamamlamış kişiyi ifade eder. Asgari çalıştırma yaşına dair İşK.m.71/1'de yer alan düzenleme gereğince, on beş yaşını doldurmamış çocukların çalıştırılması yasaktır. Oluşturulan bu temel kurala yine İşK.m.71 hükmünde iki istisna getirilmiştir. İlk istisnaya göre, on dört yaşını doldurmuş ve zorunlu ilköğretim çağını tamamlamış olan çocuklar; bedensel, zihinsel, sosyal ve ahlaki gelişmelerine ve eğitime devam edenlerin okullarına devamına engel olmayacak hafif işlerde çalıştırılabilirler (İşK.m.71/1/c.2). İkinci istisnaya göre ise on dört yaşını doldurmamış çocuklar bedensel, zihinsel, sosyal ve ahlaki gelişmelerine ve eğitime devam edenlerin okullarına devamına engel olmayacak sanat, kültür ve reklam faaliyetlerinde yazılı sözleşme yapmak ve her bir faaliyet için ayrı izin almak şartıyla çalıştırılabilirler (İşK.m.71/1/c.3). Bu çalışmada, bu ve bunun gibi çocuk ve genç işçilerin çalışma hayatında korunmasına yönelik gerek İş Kanunu'nda gerekse başka Kanunlarda yer alan düzenlemeler ile bu düzenlemelere aykırılığın hukuki sonuçları incelenmiştir.

Anahtar Kelimeler: Çocuk işçi, genç işçi, asgari çalıştırma yaşı, iş sözleşmesinin geçersizliği.

İş Güvencesi Hükümlerinden Yararlanmada Otuz İşçi Koşulunun Uluslararası Normlar ve Anayasal İlkeler Karşısında Durumu

Dr. Öğr. Üyesi Ender Gülver¹

¹İstanbul Üniversitesi Hukuk Fakültesi, İş ve Sosyal Güvenlik Hukuku Anabilim Dalı, egulver@istanbul.edu.tr,
ORCID: 0000-0002-9017-0606

Özet: İş güvencesi hükümleri, mevzuatımızda ilk kez 09/08/2002 tarihli ve 4773 sayılı Kanunla (RG., 15/08/2002, 24847) kabul edilmiştir. Daha sonra bu hükümler birtakım değişikliklerle 4857 sayılı İş Kanunu'nda (RG., 10/06/2003, 25134) yer almıştır. Bu düzenlemeler çerçevesinde geçmiş dönemden farklı olarak iş güvencesi hükümlerinin uygulandığı hallerde, işveren belirsiz süreli iş sözleşmesini sadece ihbar süresine uyararak sona erdiremez, ihbar süresine riayet etmekten ayrı olarak işçiye bir de geçerli fesih sebebi bildirmek zorundadır. İş güvencesi hükümleri, bütün işyerleri ve bütün işçiler bakımından uygulanmaz. İş Kanunu, hangi koşulların gerçekleşmesi halinde iş güvencesi hükümlerinin uygulanacağını belirlemiştir. İş güvencesi hükümlerinden yararlanmada gerçekleşmesi gereken şartlardan biri de işyerinde otuz ve daha fazla işçi çalıştırılıyor olmasıdır. İşverenin aynı işkolunda birden fazla işyerinin bulunması halinde, işyerinde çalışan işçi sayısı, bu işyerlerinde çalışan toplam işçi sayısına göre belirlenir. İş güvencesine ilişkin hükümlerin uygulanabilmesi için tarım ve orman işlerinin yapıldığı işyerlerinde en az elli bir işçinin çalıştırılması gerekir. Otuz işçi koşuluna ilişkin İş Kanunu'nda yer alan hükmün anayasaya aykırılığı gerekçesiyle iptali için dava açılmış, ancak bu dava, Uluslararası Çalışma Örgütü'nün konuya ilişkin 158 sayılı Hizmet İlişkisine Son Verilmesi Sözleşmesi'ne de yollamada bulunularak reddedilmiştir. Bu çalışmada, uluslararası normlar ve 1982 Anayasası'nda benimsenen temel ilkeler çerçevesinde iş güvencesinden yararlanmada otuz işçi koşulunun durumu Anayasa Mahkemesi kararında ortaya konulan gerekçeler de gözetilerek değerlendirilmiştir.

Anahtar Kelimeler: İş güvencesi, otuz işçi koşulu, 158 sayılı ILO Sözleşmesi, eşitlik ilkesi, ölçülülük ilkesi

Vergi Suçlarında Mütalaa'nın Yeri

Fulya ANGUN¹

Dr. Öğr. Üyesi Selçuk TEKİN²

¹Trakya Üniversitesi, Sosyal Bilimler Enstitüsü Yüksek Lisans Tez Öğrencisi, fulyaangun1@trakya.edu.tr, Orcid: 0000-0001-8815-209X

²Trakya Üniversitesi, İktisadi ve İdari Bilimler Fakültesi, Maliye Bölümü, selcuktekin@trakya.edu.tr, Orcid: 0000-0003-2725-0651

Özet: Mütalaa ile suç dolayısıyla hak ve menfaati ihlal edilen kurumun görüşü alınarak yargılama makamlarının teknik nitelikteki konu üzerinde bilgilendirilmesi ve böylece soruşturma ve kovuşturma aşamalarında daha dikkatli davranılarak mali güvenliğin sağlanması amaçlanmaktadır. Rapor Değerlendirme Komisyonları (RDK) bu süreçte bir filtre rolü üstlenerek komisyonca yapılacak bir çalışma neticesinde belki vergi suçu raporunu tanzim eden kişi tarafından yapılan değerlendirme hatalarını ortadan kaldırmakta ve iş yargıya intikal etmeden mahkemeleri gereksiz iş yükünden kurtarmaktadır. Bu çalışmada vergi suçlarında mütalaa konusu, mütalaanın tarihi seyri, RDK'ların çalışma usul ve esasları özelinde ve medeni yargılama usulündeki görünümü ile de mukayese edilerek ele alınmıştır. Bu çerçevede RDK'lara verilen yetki bağlamında vergi suçlarına yönelik düzenlenen vergi suçu raporlarının (VSD) sonrasında RDK oymayını müteakip ayrıca mütalaa verilip verilmemesi hususu da tartışmaya açılmaktadır.

Anahtar Kelimeler: Mütalaa, Vergi Suçu, Soruşturma, Rapor Değerlendirme Komisyonu

Jel Sınıflandırması: H20, H26, H83

The Place Of Advisory Opinion In Tax Crimes

Fulya ANGUN¹

Assist. Prof. Dr. Selçuk TEKİN²

¹Trakya University, Social Sciences Institute Master's Thesis Student, fulyaangun1@trakya.edu.tr, Orcid: 0000-0001-8815-209X

²Trakya University, Faculty of Economics And Administrative Sciences, Department of Public Finance, selcuktekin@trakya.edu.tr, Orcid: 0000-0003-2725-0651

Abstract: With the advisory opinion, it is aimed to provide information to the legal authorities about the technical issue by taking the opinion of the institution whose rights and interests are violated due to the crime, and thus to ensure financial security by being more careful in investigation and prosecution stages. Before the work is transferred to the judiciary, as a result of a work to be done by The Report Evaluation Commission (RDK) by acting as a filter in this process, RDKs can eliminate the evaluation errors made by the person who prepared that The Report (VSR). In this study, the subject of opinion in tax crimes, the historical course of the opinion, especially the working procedures and principles of the RDKs and its appearance in the legal trial procedure are discussed. RDKs are authorized to evaluate all reports related to tax. For this reason, RDK approval is required after the tax crime reports are issued for tax crimes. Therefore, the issue of whether the RDKs give additional or repeated opinion is also open to discussion.

Key Words: Advisory Opinion, Tax Crime, Investigation, The Report Evaluation Commission

Jel Classification: H20, H26, H83

Russian Market in Pandemic Period Tourism and Dimension of Health Tourism Plans for Turkey

Dr.Öğr.Üys. Gülüm Burcu DALKIRAN¹

Öğr.Gör. Özlem Aladağ Bayrak²

Yönetici Hemşire Nilgioun Yılmaz³

¹Trakya Üniversitesi / Edirne Sosyal Bilimler MYO, Turizm ve Otel İşletmeciliği, burcudalkiran@trakya.edu.tr, ORCID:0000-002-7396-8771

²Trakya Üniversitesi / Sağlık Bilimleri Enstitüsü, Sağlık Yönetimi, oabayrak@trakya.edu.tr, ORCID: 0000-002-4631-8271.

³Trakya Üniversitesi / Sağlık Yönetimi Doktora Öğrencisi

Abstract: The Covid-19 pandemic, which is experienced on a global scale and has a large impact area, causes a dynamic process that comes to the fore with its physical, social and economic effects in 2020. One of the most affected sectors in this process is the tourism sector, which is the first restricted and is the first sector considered as a priority in removing restrictions. Among the most important factors that guide the tourism policies of this period and affect the choice of destinations of tourists; the national health sector infrastructures of the destinations and the health policies of the countries are important. From this point on, the main purpose of the study is to determine views of Russia which is the most important tourism market of Turkey's foreign tourism market, on Turkish health policy and health system by revealing their intention to travel to Turkey in pandemic period. For this purpose; a questionnaire created in order to determine Russian tourists pandemic period travel plans, their views on Turkey's application for a pandemic period policies and the tourism business is used. In July and August 2020, descriptive analysis was carried out by transferring the data obtained from 351 people living in Novgorod city through snowball sampling to the package program. Although %58,7 of the participants have plans about spending their holiday in own countries in this period, %17,3 of the participants have plans to travel to Turkey. Despite the low level of knowledge of participants for Turkey's pandemic policy, our country has emerged receiving a favorable opinion on the health care system in the all inclusive. With the results obtained from this research, it is aimed to reveal potential travel of Russian citizens located at the beginning of foreign tourists coming to Turkey for health tourism.

Keywords: Pandemic, Turkey tourism, Russian tourists, health tourism.

Pandemi Dönemi Turizmde Rusya Pazarı ve Türkiye'ye Yönelik Seyahat Planlarında Sağlık Turizmi Boyutu

Özet: Küresel ölçekte yaşanan ve etki alanı büyük olan Covid-19 pandemisi, 2020 yılında fiziksel, sosyal ve ekonomik etkileriyle gündeme oturan dinamik bir sürecin yaşanmasına sebep olmaktadır. Bu süreçte en çok etkilenen sektörlerin başında; ilk kısıtlama getirilen ve yine serbestleşme kapsamında öncelikli olarak değerlendirilen turizm sektörü yer almaktadır. Bu dönemin turizm politikalarına yön veren ve turistlerin destinasyon seçimini etkileyen en önemli unsurlar arasında ise; destinasyonların pandemiye yönelik ulusal düzeydeki sağlık sektörü altyapıları ile oluşturdukları sağlık politikaları öne çıkmaktadır. Bu noktadan hareketle çalışmanın temel amacı Türkiye'nin dış turizmde en önemli pazarlarından olan Rusya'nın pandemi dönemi Türkiye'ye yönelik seyahat niyetlerini ortaya çıkararak; Türk sağlık politikası ve sağlık sistemi üzerine görüşlerini belirlemektir. Bu amaçla; Rus turistlerin pandemi dönemi seyahat planlarını, Türkiye'nin pandemi dönemi politikalarına ve turizm işletmelerindeki uygulamalara yönelik görüşlerini tespit etmek amacıyla oluşturulan anket soruları kullanılmıştır. 2020 Temmuz ve Ağustos aylarında, kartopu örnekleme yoluyla Novgorod şehrinde yaşayan 351 kişiden elde edilen veriler paket programa aktararak betimsel analizi yapılmıştır. Ankete katılan kişilerin %58,7'sinin bu dönem tatillerini kendi ülkelerinde geçirmek planları varken %17,3'ünün Türkiye seyahati planı bulunmaktadır. Türkiye'nin pandemi politikalarına yönelik katılımcıların bilgi düzeylerinin düşük olmasına rağmen, ülkemizde herşey dahil sisteminde bir sağlık hizmeti alma konusunda olumlu görüş ortaya çıkmıştır. Bu araştırmadan elde edilen sonuçlarla, Türkiye'ye gelen yabancı turistlerin başında yer alan Rus vatandaşların Türkiye'ye yönelik sağlık turizmi amaçlı seyahat potansiyelini ortaya çıkarabilmek hedeflenmektedir.

Anahtar Kelimeler: Pandemi, Türkiye turizmi, Rus turistler, Sağlık turizmi.

KBMG ile Enflasyon Arasındaki İlişki: Gelişmekte Olan Ülkeler Örneği

Prof.Dr. Jülide Yalçinkaya Koyuncu¹

Prof.Dr. Cüneyt Koyuncu²

¹Bilecik Şeyh Edebali Üniversitesi, İİBF, İktisat, julide.yalcinkaya@bilecik.edu.tr, ORCID: 0000-0001-7930-4901

² Bilecik Şeyh Edebali Üniversitesi, İİBF, İktisat, cuneyt.koyuncu@bilecik.edu.tr, ORCID: 0000-0002-8638-2761

Özet: Bu çalışmada kişi başına milli gelir (KBMG) ile enflasyon arasındaki ilişki; eş-bütünleşme, nedensellik ve uzun dönemli ilişkiler bağlamında dengeli panel kullanılarak gelişmekte olan ülkeler özelinde irdelenmektedir. Panel birim kök testleri sonrasında serilerin her birinin birinci dereceden bütünleşik oldukları görüldüğünden dolayı iki seri arasında eş-bütünleşik bir ilişkinin varlığı Johansen Fisher, Kao ve Westerlund panel eş-bütünleşme testleriyle incelenmiştir. Panel eş-bütünleşme test sonuçları iki serinin eş-bütünleşik olduklarını ima etmektedir. Her iki seri eş-bütünleşik olduğundan ötürü iki seri arasındaki nedensellik analizi VAR(Vektör Otoregressif) modeli yerine VECM(Vektör Hata Düzeltme Modeli) modeli alt yapısı kullanılarak yapılmıştır. Nedensellik testi sonuçları enflasyondan KBMG'ye doğru tek yönlü bir nedensellik ilişkisinin olduğuna işaret etmektedir. Uzun dönemde enflasyonun KBMG'yi pozitif yönde istatistiksel olarak anlamlı bir biçimde etkilediği tespit edilmiştir.

Anahtar Kelimeler: Enflasyon, KBMG, Durağanlık, Eş-bütünleşme, Nedensellik

The Effects Of Board Diversity On Firm Performance And An Application On Bist

Kürşad Tolga TÜRKMEN¹

Prof. Dr. Ramazan AKTAŞ²

Dr. Gökhan GÖKSU³

¹tolgaturkmen94@gmail.com

²raktas@etu.edu.tr

³ggoksu@etu.edu.tr

Abstract: The principles of corporate governance and the diversity of the board of directors were both originally developed to protect the rights of shareholders of companies. In addition, the purpose of these principles is to make the company management more transparent and fair, and also to improve the firms' financial performance. Especially in Turkey, current situation regarding the corporate governance and the diversity of the board of directors is not good enough in accordance with the corporate governance principles. Even some of the parameters like age and gender composition regarding the diversity are still open to the discussion in the society. Nevertheless, it is highly beneficial to take them into account while conducting a research on diversity and its effects on financial performance. In conclusion, in this study, which is based on Bist 100 index; age, gender, minorities, nationality, size and the independence of the board of directors are used to measure the diversity of the board of directors. Then, its relationship with the selected financial performance criteria's is examined by using panel data analysis. In total, six market years and 44 different corporations from several sector are examined. The sample is mainly covering firms from financial and banking sectors. Conglomerates are excluded from the sample since their performance criteria are different from others. It was very important to exclude them to provide the collective consistency. In conclusion, independent variables are found to have meaningful and significant effects on performance criteria.

Key Words: Corporate Governance, Diversity, Financial Performance, BIST 100, Panel data analysis

Democratic Deficit in the EU

Dr. Öğr. Üyesi Neriman HOCAOĞLU BAHADIR¹

¹Kırklareli Üniversitesi, İktisadi ve İdari Bilimler Fakültesi, Uluslararası İlişkiler Bölümü,
nerimanhocaogl@gmail.com, ORCID: 0000-0002-3723-5554

Abstract: The EU is a sui generis Union, which was first established as European Economic Community in 1957 by six founding member states. From then on, there have been many developments and enlargements, which shaped the EU. Now, it has 27 member states and it is an on-going project, which is subject to change. Lately the European Union has been criticized for many different issues. One of them is its lack of democratic legitimation or in other words, its democratic deficit. In accordance with these critiques the aim of this paper is to clarify democratic deficit in the EU. To understand what democratic deficit means, democracy as a closely related concept in these critiques is clarified and the different definitions of democratic deficit are stated. Then democratic deficit is assessed according to institutional and socio-physiological perspectives and some solutions are stated. Here, it is seen that there is much to do for democratization of the EU and it is also observed that it is a dynamic process, which is improving.

Key words: Democracy, democratic deficit, institutional perspective, socio-physiological perspective

Kırklareli Üniversitesi'nde Kalite Güvence Sistemi: Kurgu, Uygulama, Sorunlar ve Çözümler

Prof. Dr. Neziha MUSAOĞLU¹

¹Kırklareli Üniversitesi, İ.İ.B.F., Uluslararası İlişkiler Bölümü, nezihamusaoglu@gmail.com

Özet: Türkiye'deki üniversitelerin eğitim-öğretim, idari kapasite, AR-GE ve toplumla ilişkiler eksenlerinde akademik kalitesinin yükseltilmesi alanındaki çalışmaların sistematik olarak yürütülmesi son birkaç yıl içinde ivme kazanmıştır. Ulusal düzeyde YÖKAK'ın kurulması ve bu çalışmaları ulusal düzeyde yaygınlaştırması, üniversitelerin genel olarak hem ulusal alanda kendi aralarında hem uluslararası düzeyde rekabetedebilirliğini amaçlamaktadır. Her üniversite kendi kapasitesi çerçevesinde ve kendi özgünlüğünü koruyarak kalite çalışmalarını sürdürmektedir. Kırklareli Üniversitesi bu bağlamda kalite çalışmalarını etkin, kalıcı ve sürdürülebilir kılmak için kalitenin dört boyutunu içeren Kalite Güvence Sistemi modellemiş ve uygulamaya koymuştur.

Tebliğde bu sürecin nasıl kurgulandığı ve uygulamada karşılaşılan sorunlar ortaya konulacaktır. Ayrıca kalite geliştirme sürecinin iyileştirilmesi amacıyla izlenen strateji ve alınan önlemler konuları değerlendirilecektir.

Anahtar Kelimeler: akademik kalite, Kalite Güvence Sistemi, Kırklareli Üniversitesi

Türkiye – AB İlişkilerinin 60 Yılı

Prof. Dr. Neziha Musaoğlu¹

Dr. Öğr. Üyesi Neriman Hocaoğlu Bahadır²

¹Kırklareli Üniversitesi, İktisadi ve İdari Bilimler Fakültesi, Uluslararası İlişkiler Bölümü,
nezihamusaoglu@gmail.com, ORCID: 0000-0002-6390-4213

²Kırklareli Üniversitesi, İktisadi ve İdari Bilimler Fakültesi, Uluslararası İlişkiler Bölümü,
nerimanhocaogl@gmail.com, ORCID: 0000-0002-3723-5554

Özet: Türkiye-AB ilişkileri, Türkiye'nin 1959 yılında Avrupa Ekonomik Topluluğu'na ortaklık başvurusu ile başlamıştır. Üyelik başvurusu ise 1987'de yapılmıştır. Türkiye-AB arasındaki ilişkilerde pek çok faktörün etkili olması dolayısıyla yapılan başvurunun değerlendirilmesi de diğer ülkelerin başvurularıyla karşılaştırıldığında oldukça uzun sürmüştür. Türkiye-AB ilişkileri ortaklık başvurusu ile başlaması, üye olunmadan Gümrük Birliği'ne girilmesi, adaylığının açıklanması ve müzakerelere başlandıktan sonraki sürecin hızı gibi birçok nedenden dolayı kendine özgü bir nitelik taşır. Bu çalışma kapsamında AB-Türkiye ilişkilerinde ortaklık başvurusu ile başlayan 60 yıllık süreç değerlendirilmekte ve süreç açısından önemli olan gelişmeler ve bütünleşme sürecine etkileri incelenmektedir. Bu çerçevede süreci analiz edebilmek amacıyla Ortaklık Anlaşmasına, Gümrük Birliği'ne, müzakere sürecine, Geri Kabul Anlaşmasına ve vize serbestliğine değinilmektedir.

Anahtar kelimeler: AB entegrasyonu, Türkiye – AB ilişkileri, Gümrük Birliği, tam üyelik müzakereleri

Türkiye’de Sağlık Turizmi Kapsamında Aracı Kuruluşlar: Medikal Seyahat İşletmeleri

Öğr. Gör. Özlem ALADAĞ Bayrak¹

Dr.Öğr.Üyesi Gülüm Burcu Dalkıran²

¹Trakya Üniversitesi / Sağlık Bilimleri Enstitüsü, Sağlık Yönetimi, oabayrak@trakya.edu.tr, ORCID:0000-002-4631-8271

²Trakya Üniversitesi / Edirne Sosyal Bilimler MYO, Turizm ve Otel İşletmeciliği, burcudalkıran@trakya.edu.tr, ORCID:0000-002-7396-8771

Özet: Dünya genelinde ekonomik büyüklüğü 200 milyar doları aşan sağlık turizmi pazarı; sağlık hizmeti vericileri, sağlık turistleri ve turizm sektörü işletmeleri ile etki derecesi büyük bir pazardır. Bu pazarda, sağlık ve turizm sektörlerini entegre eden ve sektörel lojistiği sağlayan işletmeler ise Sağlık Turizmi Aracı Kuruluşlarıdır. Sağlık turistini kendi ülkesinden çıkmadan önce yönlendiren, hizmet alacağı ülkeye transferini sağlayan, karşılama ve konaklama hizmetini planlayan bu kurumların faaliyetleri, hastayı tekrar evine gönderene kadar devam etmektedir. Bu çalışmada temel amaç; sağlık turizmi aracı kurum faaliyetlerini inceleyerek Türkiye’deki mevcut durumu ortaya koyabilmektir. Bu amaçla tarama modelinde olan araştırmanın veri elde etme yöntemi nitel araştırma yöntemlerinden doküman incelemesidir. Doküman incelemesi metodu ile Sağlık Bakanlığı Aracı Kurum Yetki Belgesi almış 111 işletmenin web siteleri incelenmiş; elde edilen veriler içerik analizi yöntemine göre oluşturulan kategorilerde değerlendirilmiştir. Buna göre işletmelerin sağlık turizmi talebini pazarın hangi faaliyetlerine göre karşıladığına yönelik bilgilendirme içeriklerinin yetersiz olması ve sosyal medya hesaplarının aktif kullanılmaması gibi önemli sonuçlara ulaşılmıştır. Aracı kurumların sadece dijital veri içerikleri açısından değerlendirildiği bu çalışmanın; sağlık turizmi pazarındaki tüm aracılık faaliyetlerinin bütününe incelemede öncü olabileceği düşünülmektedir. Türkiye’nin dünya sağlık turizmi pazarındaki avantajlı konumu da dikkate alındığında, aracı kurum faaliyetlerinin pazarı yönlendirerek talebi arttırabilmesi mümkün olacaktır.

Anahtar Kelimeler: Sağlık Turizminde Aracı Kurumlar, Aracı Kurum WEB siteleri, Türkiye Sağlık Turizmi.

Intermediary Institutions of Health Tourism in Turkey: Medical Travel Business

Abstract: The health tourism market, with an economic magnitude of more than 200 billion dollars worldwide, is a market with a high degree of influence with healthcare providers, health tourists and tourism sector enterprises. In this market, the enterprises that integrate the health and tourism sectors and provide sectorial logistics are Health Tourism Intermediary Institutions. The activities of these institutions, which direct the health tourist before leaving their country, transfer them to the country they will receive service, and plan the welcome and accommodation service, continue until they send the patient back home. The main purpose in this study; by examining the activities of health tourism intermediaries to reveal the current situation in Turkey. For this purpose, in this scanning model research, document analysis was used as a data acquisition method, which is one of the qualitative research methods. Web sites of 111 firms that have been authorized by the Ministry of Health Intermediary Institution Authority Document were examined with the document review method; the data obtained were evaluated in the categories created according to the content analysis method. Accordingly, important results were reached, such as insufficient information content and not actively using social media accounts, in order to meet the health tourism demand of businesses according to the market's results. This study, in which intermediary institutions are evaluated only in terms of digital data contents; It is thought to be a pioneer in examining all of the intermediary institutions in the health tourism market. When considering Turkey's advantageous position in the world health tourism market, it will be possible to increase the demand of the market by directing intermediaries activities.

Keywords: Health Tourism Intermediaries, Health Tourism Intermediary Institution WEB sites, Health Tourism in Turkey

‘Schubert-Verlag.De’ Uzaktan Öğrenme Araçlarının Almanca’yı Etkileşimli ve Özerk Öğrenme Olanakları Bakımından İncelenmesi

Prof. Dr. Sevinç SAKARYA MADEN¹

Elif OLGUN²

¹Trakya Üniversitesi, sevincmaden@trakya.edu.tr, ORCID: <http://orcid.org/0000-0001-5954-9565>

²T.Ü. Sosyal Bilimler Enstitüsü, eolgun84@gmail.com, ORCID: <http://orcid.org/0000-0001-5818-0313>

Özet: Bilindiği gibi Covid-19 salgını nedeniyle tüm yurttaki yükseköğretim kurumlarında 16 Mart 2020 tarihinden itibaren eğitim-öğretim faaliyetlerine 3 hafta ara verilmiş, ancak Yükseköğretim Yürütme Kurulunun almış olduğu yeni bir karar ile 2019-2020 Eğitim - Öğretim Yılı bahar dönemi ile sınırlı kalmak üzere her düzeydeki derslerin teorik kısımlarının 23 Mart 2020 tarihinden itibaren uzaktan öğretimle yürütülmesi istenmiş, derslerin uygulamalarının virüs salgınının geçmesinin ardından sıkıştırılmış bir program eşliğinde örgün eğitim ile verileceği ve sınavlar ve ilgili diğer konuların süreç içerisinde değerlendirileceği duyurulmuştur. Ancak henüz bir ay geçmeden Yükseköğretim Yürütme Kurulunun 07. 04. 2020 tarihli toplantısında uygulamalı derslerin de uzaktan ve dijital ortamda verilmesine müsaade edilmesi üzerine daha önce örgün eğitim ile öğretilen birçok ders gibi Almanca Hazırlık dersleri de uzaktan eğitim ve dijital ortamda yapılmaya başlanmıştır. Uzaktan eğitime bu ani geçiş öğretim elemanlarının kısa sürede dijital ortamda kullanabilecekleri ders içerikleri oluşturmalarını gerektirmiş, sınıf ortamında öğretim elemanları eşliğinde Almanca öğrenen ancak sosyal mesafenin pandemi nedeniyle korunması zorunluluğunun vuku bulması üzerine birden tek başına evinde Almanca öğrenmek zorunda kalan öğrencilerin de konuları özerk, etkileşimli ve hızlı öğrenebilecekleri çevrimiçi araçlara ihtiyaç duymalarına yol açmıştır. Bu çalışmada web arama motoru ‘Google’ sitesinden Almanca online web siteleri araştırılmış, araştırmanın örneklemini ise arama sonuçlarından çıkan ‘schubert-verlag.de’ sitesi (seçilerek belirlenmiştir. Veri toplama ve veri analizi sürecinde öncelikle uzaktan eğitim, Almanca, web destekli öğrenme, bilgisayar destekli dil öğretimi ile ilgili makaleler aranmış, konuya yakınlık gösteren makaleler belirlenip sınıflandırılmıştır. Literatür taraması sonucunda elde edilen bu çalışmalar ışığında web tabanlı öğrenme ortamı olan ve SPEKTRUM DEUTSCH A1+, A2+, B1+, BEGEGNUNGEN A1+, A2+, B1+ ve ERKUNDUNGEN B2, C1, C2 adlı kitaplara Almanca çevrimiçi alıştırmalar, duyma metinleri, çalışma kağıtları ve çevrimiçi içerikler sunan ‘schubert.verlag.de’ sitesi incelenerek, sitesinin uzaktan, etkileşimli ve özerk öğrenmeye ne derece olanak sağladığı hakkındaki bilgiler analiz edilmiştir. Araştırmada, nitel araştırma yöntemlerinden biri olan içerik/metin çözümlemesi yöntemi kullanılmıştır.

Anahtar Kelimeler: Yabancı Dil Öğretimi, Almanca, Çevrimiçi Araçlar, Özerk Öğrenme

Çevresel Riskler ve Göç

Dr. Öğr. Üyesi Sezin İba GÜRSOY¹

¹Kırklareli Üniversitesi/ İİBF/Uluslararası İlişkiler, seziniba@gmail.com, <https://orcid.org/0000-0001-5795-9982>

Özet: Günümüzde küresel çevre sorunlarının bir başka küresel sorun olan göçü tetiklediği bilinmektedir. Bu konuda yapılan projeksiyonlara göre 2050 yılına kadar dünya üzerinde her 45 kişiden biri çevre sorunlarının başında gelen iklim değişikliği nedeniyle yer değiştirmek zorunda kalacaktır. Çevresel faktörlerin her geçen gün insan hareketliliğinin sayısını arttırdığı düşünüldüğünde bu çalışma gelecekte göçün çevresel değişikliklerden nasıl etkilenebileceğine dair bir vizyon geliştirmeyi ve farkındalık yaratmayı amaçlamaktadır. Bu doğrultuda göç hakkında kavramsal çerçeve sunulduktan sonra, göçe neden olan faktörlerden çevresel risklerin etkisi analiz edilecektir. Bu anlamda hem çevresel/ekolojik mültecilik kavramı açıklanacak, hem de kavramın gelişimi ile ilgili hukuki düzenlemelere yer verilecektir. Özellikle göçe neden olan doğal kaynakların azalması, çölleşme, doğal afetler, iklim değişikliği, salgın hastalıklar, kalkınma projeleri, sanayileşme ve çevresel kazalar gibi faktörleri masaya yatıran bu çalışma çevresel bozulma ve göç arasında ilişkiyi ele alması bakımından kritik öneme sahiptir.

Anahtar Kelimeler: Göç, Uluslararası Siyaset, İklim Değişikliği, Çevresel Sorunlar, Çevre Mültecileri

Askeri Harcamalar ile Kamu Harcamaları Arasında Nedensellik Analizi

Dr. Öğr. Üyesi Yüksel OKŞAK¹

Prof. Dr. Cüneyt KOYUNCU²

¹Bursa Uludağ Üniversitesi / İnegöl İşletme Fakültesi, Uluslararası İşletmecilik ve Ticaret Bölümü,
yukseleksak@uludag.edu.tr, ORCID: 0000-0001-8794-4597

²Bilecik Şeyh Edebali Üniversitesi / İktisadi ve İdari Bilimler Fakültesi, İktisat Bölümü,
cuneyt.koyuncu@bilecik.edu.tr, ORCID: 0000-0002-8638-2761

Özet: Çalışma askeri harcamalar ile kamu harcamaları arasındaki nedensellik ilişkisinin varlığını ve yönünü tespit etme amacını taşımaktadır. Beş farklı örneklem (gelişmekte olan ekonomiler, geçiş ekonomileri, Afrika ekonomileri, Amerika ekonomileri ve Avrupa ekonomileri örneklemi) için askeri harcamalar ile kamu harcamaları arasındaki nedensellik ilişkisinin varlığı 2000-2017 yıllarına ait panel verileri kullanılarak panel vektör otoregresif modelin GMM yöntemiyle tahmin edilmesiyle irdelenmektedir. Yapılan nedensellik testleri sonuçlarına göre; geçiş ekonomilerini, Afrika ekonomilerini, Amerika ekonomilerini ve Avrupa ekonomilerini içeren örneklem her biri için sadece askeri harcamalardan devlet harcamalarına doğru istatistiksel olarak anlamlı tek yönlü bir nedensellik ilişkisinin olduğu tespit edilmiştir. Diğer taraftan gelişmekte olan ekonomileri içeren örnekleme ilişkin test sonuçlarına göre sadece devlet harcamalarından askeri harcamalara doğru istatistiksel olarak anlamlı tek yönlü bir nedensellik ilişkisi olduğu sonucuna ulaşılmıştır.

Anahtar Kelimeler: Kamu Harcamaları, Askeri Harcamalar, Nedensellik Analizi.

Causality Analysis Between Military Expenditures and Public Spending

Abstract: The purpose of the study is to determine the existence and direction of the causality relationship between military spending and public spending. For five different samples (emerging economies, transition economies, African economies, American economies and European economies samples), the existence of the causality relationship between military expenditures and public expenditures is examined by estimating the panel vector autoregressive model using the GMM method using panel data from 2000-2017. According to the results of the causality tests, a statistically significant one-way causality relationship from military expenditures to government expenditures was determined for each of the samples including transition economies, African economies, American economies and European economies. On the other hand, according to the test results of the sample including emerging economies, it was concluded that there is a statistically significant one-way causality relationship from government spending to military spending only.

Key Words: Public Spending, Military Expenditures, Causality Analysis.

Attributes of Innovative School Administrators in a State University

Arlene R. Pagaura Ph.D.¹

¹Bukidnon State University, Bukidnon, Philippines, arlenepagaura3@gmail.com

Abstract: Innovative leadership is crucial in the 21st century. The success of any organization depends on the kind of leaders in managing at the helm of the institution. This study determined the attributes of school administrators in the four dimensions namely: visionary, team builder, relationship builder, and risk taker. The descriptive method was employed using quantitative data. This study was conducted at Bukidnon State University, Northern Mindanao, Philippines. A total of 102 respondents participated in this study. They represented the five colleges of the university such as the College of Arts and Sciences, College of Nursing, College of Education, College of Social Development, College of Business, and College of Social Development and Technology. The data were gathered using a researcher-structured questionnaire. The instrument was validated and the coefficient reliability of Cronbach Alpha is 0.951. Mean and Standard deviation was utilized to analyze the data. The findings revealed that teachers agree that their administrators exhibited innovative attributes. They possess these attributes. It is recommended that school administrators will undergo leadership training focusing on innovative management.

Keywords: attributes, innovative leadership, leadership styles

Exploring the Potentials of Short Food Supply Chains with Special Regards to Locavore Shelves

Judit Beke¹

¹Budapest Business School, Judit.beke@uni-bge.hu, Orcid: 0000-0002-1368-4400

Abstract: Over the past decades, a rapid concentration of retailers characterised the food chain, however, recent years have seen a growing demand for stronger producer-consumer relations and the different types of Short Food Supply Chains (SFSCs). Although the conventional forms of direct sales are widely adopted in Hungary (e.g. local farmers' markets), the modern, innovative forms like the box schemes, home delivery or community supported agriculture, locavore shelves (also referred to as local produce shelves), etc. have enormous potential and have been seen as effective rural development tools. This study analyses the experiences, opportunities and challenges of Short Food Supply Chains and the system of locavore shelves which have a key potential in solving the sales problems of local small producers as well as in increasing the sustainability of agro-food systems and rural development in Hungary.

Keywords: Short Food Supply Chains, Direct Sales, Family Farms, Locavore Shelves, Hungary