

7-9
Kasım/November
2019

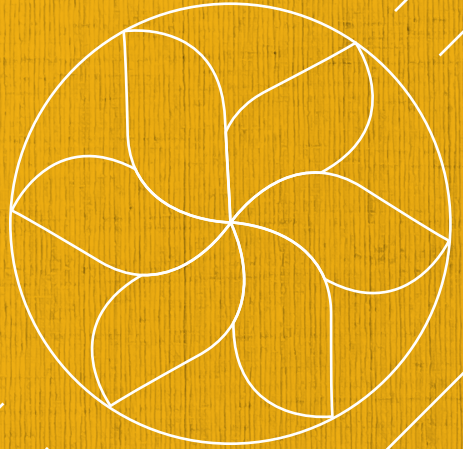
TRABZON



TÜRKİYE
SCHOLARSHIPS
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5.Uluslararası Öğrenciler Sosyal Bilimler Kongresi 5th International Students Social Sciences Congress

Cilt I
Volume I





5. Uluslararası Öğrenciler Sosyal Bilimler Kongresi

Bildiriler Kitabı - I

5th International Students Social Sciences Congress

Proceedings - I

Antropoloji, Edebiyat, Eğitim Bilimleri, Ekonomi, Felsefe, Hukuk,
İktisat, İlahiyat, İletişim Bilimleri, İşletme

Anthropology, Literature, Educational Sciences, Economy, Philosophy, Law,
Economics, Theology, Communication Science, Management Science

7 – 9 Kasım / November 2019, Trabzon



Supporter



İstanbul, 2021

İLMİ ETÜDLER DERNEĞİ (İLEM)

Adres: Aziz Mahmut Hüdayi Mahallesi, Türbe Kapısı Sk. No:13, 34672 Üsküdar, İstanbul/Türkiye

Telefon: +90 (216) 310 43 18 • **E-Posta:** bilgi@ilem.org.tr

Editörler / Editors

Burak Yuvalı

Taha Eğri

Tashih / Copyediting

Mehmet Beydemir

Meryem Beyza Gümüşsoy

Son Okuma / Proofreading

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Kapak Tasarımı / Cover Design

Abdullah Fuad Kılınçlı

İç Tasarım ve Uygulama / Graphic Design

Nuhun Gemisi İletişim Ajansı

Baskı / Printed by

Limit Ofset, Sertifika Nu.: 28397 / Maltepe Mah. Litros Yolu 2. Mat. Sitesi ZA13, Zeytinburnu/İstanbul

ISBN: 978-605-7824-15-8 (l.c) • **TAKIM NO:** 978-605-7824-14-1 (Tk)

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*İsme göre alfabetik sırada / * In alphabetical order

Takdim / Foreword

Akademi camiasının değerli üyeleri,

UNESCO verilerine göre, 2011 ve 2016 yılları arasında Türkiye, misafir ettiği uluslararası öğrenci sayısında kaydettiği %400 artış oranı ile bu alanda birinci ülke olmuştur. Dünya çapında seyreden uluslararası öğrenci hareketliliğinde Türkiye'nin son yıllardaki başarıları, diğer birçok faydalarının yanı sıra, bu hareketliliğin diğer ülkelerle akademik işbirliğine kapı aralması ve yükseköğretimimizin uluslararasılaşmasına sunduğu katkılar bakımından önem taşımaktadır.

Uluslararası öğrenciler, gittikleri ülkeye kendi bilgilerini ve bilme yapılarını da götürmekte, böylelikle üniversitelerimizdeki akademisyenler, farklı rasyonalite ve kültürlerin etkisini taşıyan tedrisat mahsullerine dolaysız ulaşma imkânı bulmaktadırlar. Bilhassa sosyal bilimlerin ülkeden ülkeye değişebilen, farklı menfaatler ışığında farklı yorumlanabilen yapısı, bu dalda olabildiğince çok bakış açısının bir araya gelip istişarede bulunmasını daha önemli kılmaktadır.

Ülkemizde beş yıldır düzenlenen Uluslararası Öğrenciler Sosyal Bilimler Kongresi, işte bu çerçevede mühim bir rol üstlenmektedir. Birçok ülkeden gelip Türkiye'de toplanan sosyal bilimcilerin çeşitli alanlarda sundukları tebliğler, hem dünyanın farklı coğrafyalarındaki heybelerden taşınan bilgi ve görüş yükünü buluşturmakta, hem de disiplinler arasında var olan duvarları indirerek dünyamız ve onun meseleleri hakkında daha geniş bir bakış açısına sahip olmamızı sağlamaktadır.

Türkiye'de ve tüm dünyadaki uluslararası öğrenci hareketliliğini, aynı zamanda akademik bir işbirliği hareketine dönüştüren ve bu temayülün en uzun vadeli eserlerini oluşturacak bu alandaki çalışmalara katkılarından ötürü Uluslararası Öğrenciler Sosyal Bilimler Kongresi'nin düzenlenmesinde emeği geçenlere teşekkür ediyor, bu kongredeki müzakerelerin bilim dünyasına ve yaşadığımız dünyaya fayda sağlayacağını umuyorum.



Dear esteemed colleagues,

The International Students Social Sciences Congress have been an important part of Türkiye Scholarships since 2015. This congress receives the output of Türkiye Scholarships, the international students from all major countries of the world who have benefitted from these scholarships in order to receive a qualified university education.

Türkiye Scholarship students, as candidates for producing solutions to the world's problems as well as the countries they are citizens of, discuss various issues falling under the social sciences field at this congress prior to graduating, thus contributing to both their individual careers and overall academic accumulation.

The 5th International Students Social Sciences Congress, organized recently in 2019 in cooperation with the Presidency for Turks Abroad and Related Communities and the Scientific Studies Association (ILEM), was held in Trabzon and hosted by Karadeniz Technical University. 965 researchers enrolled in the application system at this congress, and 476 applications were received from 91 countries. As a result of the rigorous evaluations of the Scientific Committee, 108 of the accepted papers were deemed eligible for submission.

Turkey is a universal country, feeling all of humanity's problems sincerely and attempting to create solutions for these. The International Students Social Sciences Congress, aside from being one of the rare events where youths from nearly a hundred countries can come together, as seen in this 5th Congress, have strengthened this valuable quality through science, and will become enriched by forming a more comprehensive community in the coming years.

I express my sincere gratitude first to the students who have shared their works with us and allowed this book to become an information guide and then to all the institutions and organizations that have not held back in their contributions.

Abdullah EREN

Başkan / President

Yurtdışı Türkler ve Akraba Topluluklar Başkanlığı
Presidency for Turks Abroad and Related Communities

Sunuş / Intro

İnsan, bilinmeyenden ve bilmediğinden korkar; kendine benzemeyeni ya da yakından tanımadığını ötekileştirir. Bu sebepten birbirinden farklı olanın buluşması, uzun veya kısa süreli beraber yaşaması, yüz yüze sohbet etmesi, aynı duyguları paylaşması önemlidir. Ülkemizde lisansüstü eğitim almayı tercih eden misafir öğrencilerimizi yakından bizatihi tanımak, onların bizi ve belki daha önce temas etmedikleri diğer uluslararası öğrencileri yakından tanımaları temelde bu vazifeye hizmet etmektedir.

Bununla beraber, uluslararası öğrencilere verilen eğitimin bireyden tüm topluma yansıyan bir başka yüzü de bulunmaktadır. Eğitim politikalarının titizlikle inşası, söz konusu ülkenin verdiği kaliteli eğitim vasıtasıyla etkilediği hayatlar, dolaylı olarak uluslararası arenada ülkenin yumuşak gücünü desteklemektedir. Öğrencilerin akademik donanımları ders ve sınav gibi eğitimin temelinde bulunan unsurlarla oluşmakla birlikte sınırlı bir çevre ile etkileşimde bulunulması yeterli olmamaktadır.

Günümüz dünyasında çok önemli bir yeri olan yükseköğretimin sadece mesleki formasyon kazandırmanın ötesinde evrensel değerlerle beslenen ve bu birikimin zenginleşmesine katkı sunan bireyler yetiştirilmesinde büyük bir rolü bulunmaktadır. Bu yönüyle yükseköğretim, genç kuşaklara çağın gerektirdiği akademik donanımları kazandırma, entelektüel birikimi artırma ve yeteneklerini keşfedip geliştirme fırsatı sunmaktadır.

Yükseköğretimin büyük bir hızla uluslararasılaştığı günümüzde, Türkiye dünyanın dört bir yanından uluslararası öğrencilere ev sahipliği yapmakta ve uluslararası öğrencilerin çekim merkezi haline gelmektedir. Her yıl kendi hesabına ülkemizde öğrenim görmeye gelen binlerce uluslararası öğrencinin yanı sıra, yaklaşık beş bin uluslararası öğrenci Yurtdışı Türkler ve Akraba Topluluklar Başkanlığı koordinasyonunda yürütülen Türkiye Bursları kapsamında ülkemize lisans ve lisansüstü düzeyde öğrenim görmeye gelmektedir. Dünyanın dört bir yanından ülkemize eğitim için gelen uluslararası öğrencilerin akademik donanımlarının



artırılması, entelektüel birikimlerine katkı yapılması ve kendilerini geliştirme fırsatları sunulması son derece değerlidir.

Bu kapsamda, ülkemizde Sosyal Bilimler alanında öğrenim gören uluslararası lisansüstü öğrencilerinin çalışmalarını sunabilecekleri, bilgi paylaşımında bulunabilecekleri, çeşitli atölyeler ve farklı etkinliklerle ortak çalışmalar üretebilecekleri bir akademik ortamın temin edilmesi önem teşkil etmektedir. İşte bu noktada “Uluslararası Öğrenciler Sosyal Bilimler Kongresi”, öğrencilerin akademik donanımlarının artırılması, entelektüel birikimlerine katkı sağlanması ve kendilerini geliştirme adına kaliteli bir akademik ortam sunmaktadır. Aynı zamanda; bilgi birikiminin, kültür deneyimlerinin ve iletişim tecrübesinin damıttığı hayatların ülke sınırları ötesinde manevî ailesini büyütme umudu gelecek nesillerin güvenliği adına olumlu bir hayalin çerçevesini de çizmektedir. Bu bakışla sadece devlet kurumlarının değil, eğitim alanında ve öğrencilere olumlu katkılarla kendini ispat etmiş bir geçmişe sahip sivil toplum kuruluşlarının da desteği önemlidir.

Bu amaçla 1. Uluslararası Öğrenciler Sosyal Bilimler Kongresi 16–17 Mayıs 2015 tarihleri arasında Hacettepe Üniversitesi’nde gerçekleştirilmiştir. 2. Uluslararası Öğrenciler Sosyal Bilimler Kongresi, 29-30 Nisan 2016 tarihleri arasında Necmettin Erbakan Üniversitesi ev sahipliğinde düzenlenmiştir. 3. Uluslararası Öğrenciler Sosyal Bilimler Kongresi, 2-3 Aralık 2017 tarihleri arasında İstanbul Medeniyet Üniversitesi ev sahipliğinde düzenlenmiştir. 4. Uluslararası Öğrenciler Sosyal Bilimler Kongresi, 22-24 Kasım 2018 tarihleri arasında Nevşehir Hacı Bektaş Veli Üniversitesi ev sahipliğinde gerçekleştirilmiştir. Her dört kongreye 103 farklı ülkeden toplam 1809 başvuru alınmıştır.

Kongrenin beşincisi ise, 7-9 Kasım 2019 tarihleri arasında İlmi Etüdler Derneği (İLEM) ve Yurtdışı Türkler ve Akrabalar Topluluğu Başkanlığı işbirliğiyle Karadeniz Teknik Üniversitesi ev sahipliğinde gerçekleştirilmiştir. 5. Uluslararası Öğrenciler Sosyal Bilimler Kongresi’nde başvuru sistemine 965 araştırmacı kaydolmuş ve 91 farklı ülkeden 476 adet başvuru alınmıştır. Bilim kurulunun titiz değerlendirmesi sonucu 48 ülkeden 108 genç akademisyen kabul edilen bildirilerini kongrede sunmuştur. Edebiyat, Filoloji, Eğitim, Felsefe, Hukuk, İktisat, İlahiyat, İletişim, İşletme, Mimarlık, Sanat, Siyaset Bilimi, Sosyal Politikalar, Antropoloji, Sosyoloji, Psikoloji, Tarih, Uluslararası İlişkiler alanlarından kabul edilen bildiriler çerçevesinde 20 farklı oturum düzenlenmiştir.

Gerçekleştirilen kongre ve bu tür faaliyetlerle uluslararası akademik birikim ülkemize daha fazla katkı sağlayacaktır. Tüm dünyada bilim yolunun değerli meraklılarının, araştırmacılarının üretecekleri ortak bilgi, sunum ve projeler sadece ülkemize değil başta araştırmacıların geldikleri ülkeler olmak üzere insanlığa yeni çalışma alanları ve işbirliği imkânları sunacaktır. Elinizde tuttuğunuz bu kitap, kongrede sunulan bildirilerden, akademik bir yayın olarak derlenerek ilgili araştırmacılara, kurum ve kuruluşlara katkı sunması amacıyla hazırlanmıştır.

Kongrenin gerçekleştirilmesi için başından beri yoğun çaba sarf eden başta YTB Başkanı olmak üzere kurumun tüm çalışanlarına ve İLEM’in kıymetli mensuplarına içtenlikle teşekkür ederiz. Ayrıca, bildirilerin kabul ve değerlendirme sürecinde katkılarını bizden esirgemeyen bilim kurulu üyelerine müteşekkirimiz. Kuşkusuz, en büyük teşekkür çalışmalarıyla kongreye ve bu kitaba katkı veren öğrenci arkadaşlarımızdır.

Human beings are afraid of those who they do not know, and they tend to demonize those who are unfamiliar to what they know. For this reason, it is important for different people to come together, live together for either short or long time, interact with one another and share similar emotions. For this reason, getting to know the international students who chose to continue their studies in our country is as important as them knowing one another, all of whom come from different parts of the world.

There is another side to this story that shows the relationship between an individual and a society in terms of education. Both, building a comprehensive educational policy and positively influencing students' lives with a quality education, support the country's soft power at the international level. Along with a good education, it is very important for these students to have a vast network.

Higher education has two purposes: to enable students gain a professional career, and to help the students in becoming individuals who are nourished with universal values. With higher education, young people are able to gain academic eligibility and intellectual accumulation as well as discover their inherent skills.

In today's world higher education is becoming more and more internationalized. Turkey has become an educational attraction in terms of its increasing number of international students every year. Along with thousands of international students who choose to continue their higher studies in Turkey, approximately five thousand students come to Turkey to continue their bachelor's and higher studies within the framework of Türkiye Scholarship scheme which is implemented by YTB (Presidency of Turks Abroad and Related Communities). This is a valuable opportunity for both Turkey, and the international students coming in.

In this context, it is important to prepare an atmosphere through workshops and different events in which students who continue their social sciences education in Turkey may present, discuss and share their knowledge with their peers. "International Students Social Sciences Congress" aims to prepare such an atmosphere. Furthermore, the knowledge, cultural experiences and communication skills gained by international students can be transformed into a positive framework of life for the security of the future generations. For this reason, along with the government, it is vital for civil society organisations focusing on education to support this effort.

Under this aim, 1st International Students Social Sciences Congress took place on 16-17 May 2015 in Hacettepe University. The 2nd International Students Social Sciences Congress was organised on 29-30 September 2016 and hosted by Necmettin Erbakan University. The 3rd International Students Social Sciences Congress was organised on 2-3 December 2017 in Istanbul Medeniyet University. The 4th International Students Social Sciences Congress took place on 22-24 November 2018 in Nevşehir Hacı Bektaş Veli University. Both congresses received a total of 1809 applications from 50 different countries.

The 5th International Students Social Sciences Congress was held on 7-9 November 2019 in Karadeniz Technical University. This fifth congress attracted 476 applications from 91 different countries. 108 of these applicants from 48 countries were accepted and the papers were presented in the successive sessions. The accepted presentations were from a quite vast range of fields including Literature, Philology, Education, Philosophy, Law, Economics, Communication Science, Theology, Architecture, Art, Political Science, Social Policy, Anthropology, Sociology, Psychology, History, and International Relations.



These projects will increase the academic accumulation and success of our country. Common knowledge produced and shared by academicians will both benefit our country and the home countries of our international students. The book in hand comprises the proceedings presented in the fifth congress and is intended mainly for researchers and institutions.

We would like to thank the President and YTB staff, along with the esteemed members of ILEM whose efforts made this event a success. We also want to thank the members of scientific committee of the congress. Lastly, our sincerest gratitude goes to our students who contributed to this book with their proceedings and articles.

Dr. Taha EĞRİ

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Antropoloji
Anthropology

Hereditary Names and Their Ethno-Historical Aspects in Georgia

Ketevan Tsimintia*

Abstract: In Georgia the process of establishment of a surname, as a special anthroponomic category and its universal spread-was quite long and was not simultaneous. It is established that the social unit - name and surname in Georgia generated in the depth of centuries. This is witnessed by the Georgian historic sources and documents. Its origin was mostly determined by social factors. Georgians carried informal hereditary names in parallel with basic family names. there are the names of family divisions. The process of name and surname formation, as of a special anthroponomic category, and its universal spreading-establishment was quite a long process, as I mentioned. The hereditary names and surnames are studied by linguists, historians, ethnologists and other scholars. Anthropologists interest in social aspects of hereditary names. Study of the Georgian names and surnames from the ethnohistoric aspect on the example of Samegrelo is the issue of my interest. Area of my research is highland Samegrelo. In general, my research aim was to study the surnames of all the villages in highland Samegrelo in Georgia. Task of the research is to show some aspects of ethno-historical and social issues, such as type of the names, social unites, system of relationship, division of large family names and the form of their settlement, family shrines and legends. The report will be presented spiritual and material culture of Georgian (Megrelian) surnames, expressed in common shrines and different rituals. I used both empiric and theoretic methods. It is used interdisciplinary, specific field method, method of interviews and observation, as well.

Keywords: Surname, Family Names, Georgia, Samegrelo, Heredity.

* Ivane Javakhishvili Tbilisi State University, Institute of Ethnology, Anthropology, PhD.
Contact: ketitsimintia@gmail.com



Introduction

The social unit – name and surname in Georgia generated in the depth of centuries. This is witnessed by the Georgian historic sources and documents. Its origin was mostly determined by social factors. The process of name and surname formation, as of a special anthroponomic category, and its universal spreading-establishment was quite a long process.

Family names as the social unit is one of the objects of studding of Anthropology. In scientific viewpoints, the study of Georgian surnames is very important. Anthropologists investigates family names in the historical and social aspects. Cultural and social processes connected with family names is the issue of my interests. Therefore, I decided to study ethno-historical aspects of Megrelian anthroponymes. In this case, family names and ethnohistorical aspects connected with Megrelian (Georgian) surnames were paid attention, which implies spiritual culture as well. Research was lasted for one year. The article presents folk holiday that is celebrated by family of Arkania with the family of Kakubava in one of the historical-ethnographic regions of Georgia – Samegrelo, in the village of Mujava. Importantly, all the Arkania family do not celebrate the holiday. Celebrating engagement of the holyday has only three branch of family name of Arkania, or “Gamnarki” in the Megrelian language. There are folk holydays celebrated by Gurieli, Dzidziguri, Khunwalia, Nachkebia, Jhishkariani’s surnames in Samegrelo region. Every branch of these surnames celebrate their holydays on Sunday mostly to Easter or Christmas. The article presents analysis of the cases of tabooed relations caused by folk law and connected with the families and marriage prohibition in one of the historical-ethnographic regions of Georgia – Samegrelo. Urgency of the issue is in revealing existence of the holiday in modern times and apprehension of the problem. Within the present research, our task was to study Georgian surnames and branch of family names, aspects of spiritual culture and folk law and customs connected with family names, as well in Mountainous Samegrelo. The issue of my research was to analyze the folk holiday based on the modern relations and folk law results within the families. Practice of using the folk law is rarely, but still noticed in Georgia even today on the part of separate families or family divisions. The paper presents analysis of the cases of tabooed relations caused by folk law and connected with the families in one of the historical-ethnographic regions of Georgia – Samegrelo as well.



In my research I used both empiric and theoretic and also interdisciplinary and specific field methods. I used the method of interviews and observation. I received verbal information directly in the process of interviews. An interview was semi-formalized, and in some cases – even non-formalized. I was concentrated on one topic, but sometimes I was writing down the material on several issues. I also used biographical method and the method of documents and secondary analysis.

Family Names and Their Connection on the Example of Holydays

Georgians carried informal hereditary names in parallel with basic family names. There are the names of the family divisions. “They were alternatives of the family names in the informal situation” (Tskhadaia, 2000, p. 9). It becomes quite clear that historically Georgians had two hereditary names: “basic family name” and “informal family name, the so-called “branch family name”, which proceeded from the name of common ancestor and approximately was limited with 4-6 generations.

In all the historical-ethnographic regions of Georgia caused different names attached to this social unit, the family-branch. The ethnographic material shows that the titles of family-branches are still preserved by today. Some people in Georgia have two surnames. They also know the title of their family-branch. They observe obligations imposed on them by their ancestors. These obligations often follow from folk law and are transferred by oral knowledge from one generation to another. To make it clear what we imply in the family-branch, first of all we discuss titles (“Dino”, “Turi”. “Gamnarki”), then – one of the forms of the folk holiday – “Dunapiri”.

In one of the historical-ethnographic regions of Georgia – Samegrelo, as well as all over Georgia, the system of relationship existed, expressed in families. In their turn, the families were also divided and formed a big circle of relatives, settled in one district or one village. Each family, divisions of family was united by the name of their common ancestor. The system like this is mentioned under the name of Patronym in the scientific literature. But in all historical-ethnographic regions of Georgia it has its own name such as “Nogro”, “Mamani”, “Komoba” etc. (Kharadze, 1949; Mgeladze, 2004; Bakhia-Okruashvili, 2007). The terms “Dino”, “Turi”, “Gamnarki” in the Megrelian language are expressions of just this institution. At present time, term “Gamnarki” is mostly used in Samegrelo. Term



“Dino” is forgotten, and term “Turi” nowadays used to mention all distant and close relatives with same and deferent surnames.

Despite the fact that some terms changed meaning, scientists know the first sense of these words. Georgian scholar D.Chitanava mentions that “Dino” in Samegrelo is the term denoting patronymy. “Dino” implies those, who “left”, “are separated” from a big family, those of one “ziskhiri do khortsi” (blood and flesh), one “gamnarki”, which unites 4-5 generations and rarely a unit of 6-7 generations separated from one big family; a unit of descendants (relatives) both of side and direct ascending line, which are settled side by side on the lands of their fathers and grandfathers (direct ancestors), possess their definite signs and proceeding from this form a settlement of certain type. In result of enlargement of “Dinos” a bigger social unit is formed, which is known under the title of “Turi” (Chitanava, 2002, pp. 323-324). As for the term “Turi”, in the Megrelian-Georgian Dictionary it is explained as the family, unity by blood relationship (Eliava, 1997).

“Turi” or “Gamnarki” members lived in the neighborhood and they had same land to cultivate together, wood to use together and some tools. Georgian scholar P. Tskhadaya considers division of numerous families into “Turi” to be an ordinary phenomenon. He writes that “Turi” means 5-6 generations and is divided into smaller units – “Gamnakari”. “Gamnakari” (“nakari”) involves 2-3 generations (Tskhadaya, 1985).

As I mentioned, In the preseny-day situation, in Samegrelo region the term “Dino” is forgotten. Meaning of the term “Turi” is changed. “Turi” today is used by Megrelians to call the representative of another family, but the one close to the family and also a relative. As the name for a family-branch, i.e. a family division, in highland Samegrelo is mostly used the above-mentioned term “Gamnarki”. “Gamnarki” is informal hereditary name (Tsimintia, 2018).

During the increase of surnames new surnames were formed from a branch family name – “Gamnarki” in parallel. However, mostly gamnarki’s name did not have legal significance. The difference between surname and “gamnarki” is that surname is a big social unit, which is fixed in legal documents. Branch of family names is a small social unit. It is noticed nowhere. Gamnarki’s names know the people who live with them in one area, for example village, district etc. Today most people know their branch of surname’s name, or Gumnarki’s name in Samegrelo. The material fixed in the field states that the members of “Gamnarki” observe the obligations, which were transferred to them from their



ancestors in the oral form. For example, Arkania's surname is one of the largest surname in the village Mujava in mountainous Samegrelo. People who have this family name are from Mujava. Arkania's gamnarki are Skvamkochi, Ghejkochi, Kirseshia, Baghiria, Kichola. The largest surname is Kvaratskhelia in Samegrelo. People who have this family name are from Jgali. Kvaratskhelia's gamnarki are Kakutsia, Jobolia, Poloki, Pachu, Bukhuia, Dzaguebi, Guchebi, Maguebi in Jgali. People differ their close and far relatives from this informal family names. Ethnographic material shows that the representatives of the Kvaratskhelia and Changelia families do not marry each other. They do not remember the reason of this prohibition, but the narrators say these two families had bad relations between one another and they never marry each other in any way. There are other cases of marriage prohibition. For example, Shengelia, Zarandia and Chargazia do not get married to each other as they celebrate great holyday after the first Tuesday of Easter. According to the legend, ancestors of these three family names took an oath not to get married. Some social group has sacramental Kvevri (some kind of donation of God) which are used for folk holyday. Jhishkariani, Khundsalia and Gurieli family name's people have sacramental Kvevri for their holyday. They celebrate their big family holyday with the use of the Sacramental Kvevri.

While researching the Georgian surnames, with many other customs, is revealed festivals and customs connected with them. For example, family names have the practice to celebrate the festival of family. People who have the same surname celebrate the day of their family names. Besides, people celebrate the day of the branch of the family name. One of the holidays is fixed in the village of Mujava. People call the "Dunapiri" to the similar holidays celebrated by Arkanias. To make it clear what we imply in the "Dunapiri" first of all, we discuss titles – "Dunapiri". Any rituals related to requests of Lord and fulfilled with the established rules is "Khvama". "khvama" is the same as prayer (Pipia & Tsiminita, 2017). The rituals performed yearly Magrelian call "Khvama". But the rituals performed one time to express your gratitude to Lord is called "Dunapiri", or promise. "Dunapiri" can be perform one time and does not repeated anymore. It can be turn into annual prayer contain sequence of activities, or perform once after several years as the example of Arkania's branch of the family. Arkania's branch of the family (gamnarki), Bebelia's three sons descendants – Kirseshia, Baghiria and Kocholia celebrate "dunapiri" every five years, in the village of Mujava, district of Khumatia.



According to the legend, Bebelia was on the way to his sister toward the village Chkvaleri. He rested in the yard of the church called Gege (St. George church in Jvari). Suddenly he heard the voice “Kimmekhvarit”, or “Help me”. He wanted to open a door. The door of the church was closed. Bebelia prayed to God and St. George to help him. The Lord and St. George miraculously opened the door. Bebelia found three physically exhausted men in there. He took that three men and hid them at the cave of Naka, district of Jvari. After a while, when the men recovered, Bebelia took that men at his home to Mujava. Three men told to Bebelia that two of them had been brothers with surname Kakubava, and one of them had been – Jobava. They were from Gali (today’s occupied Abkhazia). They were in captivity. After the escape, they were at the church without food and water for forty days. Bebelia sent these three young men with his son Baghiria to Gali (village Rechkhia & Okumi). Parents of these three men were very excited and happy. After their return, the joyful parent promised to God that every five years they would take bull to the St. George’s church as a thank-offering. After this occasion, every five years Kakubava and Jobava’s family took bull from Gali (occupied Abkhazia) to Bebelia’s family in Mujava. Nowadays Jobava’s family is free from the obligation to pray with bull because of the lack of people. The five years bull are come every five years by Kakubava’s family in Mujava. Kirseshia, Baghiria and Kocholia’s branch of families or Gamnarki hosts one after another to the guests. It should be noted, that they take liver and heart of bull (and other donations such as khachapuri-bread with cheese, wine etc.) to the ruins of the St. George’s church and thanks to god and St. George. Kakubava’s family thanks to Arkania’s family in turn. Then the go in the village Mujava, lay the big table and celebrating together. It should be mention that Kirseshia, Baghiria and Kocholia’s gamnarki or Arkania’s branches of the family never get marry with Kakubava’s surname.

Prohibition of Marriage

Some social acts reveal many interesting aspects which is connected to the custom of society. There are some reasons why people do not get married to each other. Mostly marriage prohibition originated from folk law. While study of Georgian family names along with many other customs, reveals the aspects of folk law. In Georgia, as well as in other countries, in the procedure of litigation the custom law was used also in the late Middle Ages. In some historico-ethnographic regions, in parallel with the state law, the folk law was used almost till the present-day time.



Today it is used rarely, but the practice of using the folk law by separate families and divisions of families is noticed. In Samegrelo region litigation has specific name proceeding from the local language – Megrelian. It is “Ginochama” and means “transfer to the icon”. This provided punishment of the guilty for definite criminal activity. In Samegrelo, family shrine exists, where the “Ginochama” was being conducted.

Among the families are fixed taboo relations, the reason of which proceeds from the custom of “transfer to the icon” and has a special term “Vashiners”. Taboo relationships obviously show marriage prohibition. Even though Georgian relative circle is so large and marriage is not happened between mother, father and grandparent’s surnames, they do not get married to unknown people, who have not seen ever and these people have different surnames. They have obligation to fulfil the taboo relationships which are connected with marriage as a legend from their ancestors (as the example of Bebelia Arkania’s branch of family). Mainly, unkindred surnames do not get married because of “transfer to the icon” or “Ginochama” which happened years or centuries ago. For example, people named Ghvindjilia do not get married to people named Lukava, because they are transferred to the icon. They coursed to each other. By their faith, if they get married, trouble will occur. One of the villages – in Obuji, there was a dispute on the case of theft between Kakacha and Shengelaia. Kakachia was transferred to the icon and folk law was executed. Verdict was prohibition of marriage. Since then, people with these surnames have not married.

Dealing with the outside world, the Supreme Being had a special place for man. Relationship between God and Man was made by the way of rituals. One of the biggest ritual in Samegrelo is the ritual called “Gege-misaroni”. There are three family names: Shengelia, Zarandia and Chargazia. These three surnames “home place” is village Gikhashkari, in Zugdidi. Centuries ago three men took an oath about marriage prohibition. Reason is obscure. After the oath Shengelia, Zarandia and Chargazia set up a shrine called “Gege-misaroni”. The holyday which is took place once a year is dedicated to Saint George. They sacrifice pig and candles to ST. George and prey for health, prosperity and wellbeing. This is a ritual practice. They do not get married to each other. They say that they are brothers and sisters. It is possible that these three surnames have the same origin or they really were transferred to the icon for any real reason. This prohibition reached to the 21th century. There are a lot of similar occasions. People say that to these surnames must not get married



because of taboo. Marriage is “Vashiners” or it is not allowed. If couple get married they will be punished by supernatural power, which examples are so many.

According to the legend, two brothers whose surname were Arkania were married women whose surname were Bullia and Gogokhia. Brothers were hunters. One forest called Chvinare they have golden deer as friend. The brothers feed an animal covertly. They had vowed that nobody heard about deer. Curious wives decided to follow their husbands and saw where they went every day. Once deer saw the hidden women. It became angry and stampeded. The deer cursed the women and they both turn into rock. The brothers cursed wives too. They said that Arkania never married to Bulia and Gogokhia. In Georgia every Bulia, Gogokhia and Arkania know about legend. They do not get married as well. It is possible that their ancestor was the same person and the strength of the custom is certitude.

Conclusion

All things considered, while studding relationship between Georgian family names scientists can elucidate relationships were to be in the past and the reasons for this special relationships maintaining such modern forms. From the holiday, it is possible to clear how they made related to each other. For example, from the folk holyday celebrated by Bebelia’s descendants is clearly visible the fact of the brotherhood made by oath. It is possible that these three surnames (Arkania, Kakubava & Jobava) were formed after the collapse of one surname. However, it is more convincing that these three families swear to each other and after the fact marriage was banned between them. The reason for a celebration of the holiday could be the factor of mountainous area (Mujava is in mountainous Samegrelo). Mujava large is Village. Many Arkania live close there. They continue traditions of their ancestors. There are people who remembers the facts and all the generations take part in this day. The same can be said for Shengelia, Zarandia and Chargazia family names. these people’s ancestors supposedly ware the same, or there was an objective reason for making related. Their ritual custom roofs are certitude.

Despite the modern situation in Georgia (migration from village to city), people, specific surnames, or branch of family names (gamnarki) still protect folk law verdict, which was adjudged years or centuries ago. Often this behavior ensured with legend. For example, in Arkania’s branch family names Bobolia, Baghiria and Qocholia do not married to Kakubava and Jobava, whose are from today occupied Apkhazia. They have common family shrine. Every five years after Kakubava and



Jobava's bearer come bull to Arkania's village Muzhava in Samegrelo. According to the legend Arkania's ancestor save Kakubava and Jobava's ancestors. This is the reason of coming the bull to Muzhava.

Nowadays, in Samegrelo branch of the family names are not lost. Almost everyone knows there "gamnarqhi's" name. Nevertheless, new branch separation from big surnames are not done. It accounts for modern life and migration processes. People leave villages for cities. Representatives of one family do not settle compactly any longer. Therefore, there is no need to differentiate definite social group by the name "Gamnakari". No common family lands and forests exist either. But, it should be mentioned that the relatives, who left their native village have the obligation of support to one another. In cases of deaths or weddings mostly of their relatives they give material support to these families.

Obligations and prohibitions stated by the folk law in Samegrelo were of great importance. This is proved by many facts connected with prohibition of wedding. Proceeding from this it becomes clear that the obligations connected with prohibition of wedding determined by folk law are still preserved and the families observe them in the example of one of the historical-ethnographic regions of Georgia, Samegrelo.

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Edebiyat
Literature

Samsun ve Amman'daki Geçiş Dönemleri (Doğum, Evlenme, Ölüm) Âdetlerinin Karşılaştırılması*

Heba Abu-Salih**

Öz: Günümüzdeki dünya coğrafyasında yer alan ülkelerin topraklarının hemen hemen tamamını, bir ya da en fazla birkaç kültürü bünyelerinde barındırdığı ifade edilir. Dünyanın çeşitli coğrafyalarında uygulanan kültürel unsurların bir kısmının ortak olduğu bilinmektedir. Türk ve Arap toplumları yıllarca bir arada yaşamış olmalarının etkisiyle gelenek, görenek ve kültür bakımından âdeta iç içe geçmiş durumdadırlar. İnsan, hayatı boyunca kültürel olarak bazı değişimler geçirir. Bu değişimlere halk biliminde “geçiş dönemleri” denilmekte ve doğum, evlilik, ölüm olarak adlandırılmaktadır. Geçiş dönemlerinden doğum ve evlilik, soyun ve kültürün devamlılığını sağlaması açısından büyük önem taşımaktadır ve bireylerin sosyal yaşama katılma sürecinin başladığı önemli bir dönemdir. Doğum, evlenme ve ölüm pek çok âdet ve inancı kapsayan dönemlerdir. Bu nedenle bu geçiş dönemleri ile ilgili uygulamalar, hem Ürdün’ün, hem de Anadolu’nun her yerinde yoğun bir biçimde geleneklere dayalı olarak sürdürülmektedir. Bu çalışmada Karadeniz bölgesinde bulunan Samsun ve Ürdün’ün başkenti Amman’ın gelenekleri ve birikimlerinin ortasında durmaktadır.

Bu yazıda hem Samsun, hem de Amman’daki geçiş dönemlerinin gelenekleri ve törenleri karşılaştırılarak benzer yönlerinden bahsedilmektedir. Ayrıca Samsun ve Amman’ın bazı geleneklerinin geçmişten günümüze kadar devamlılığını gösteren birtakım âdet ve uygulamalar, yaptığımız bu çalışmada gösterilmektedir. Aynı zamanda Samsun ve Amman yörelerinde doğum öncesi, sırası ve sonrası, evlilik öncesi, sırası ve sonrası, ölüm öncesi, sırası ve sonrasında uygulanan ortak âdetlerden bahsetmekteyiz. Her biri, kendi bünyesi içerisinde birtakım alt bölümlere ve basamaklara ayrılmaktadır.

Bu çalışmada bahsedeceğimiz her iki toplum Müslüman mahiyete sahip olduğu için doğum, evlenme ve ölüm âdetlerinin arasındaki farklılıklar az diyebiliriz. Samsun ve Amman Müslüman şehirler olmalarının yanı sıra 600 yıldır birlikte iki değil bir toplum gibi yaşamalarının önemli bir etkisi olduğu bellidir.

Anahtar Kelimeler: Samsun, Amman, Geçiş Dönemleri, Âdetler.

* Bu çalışma yazarın “Ürdün’deki Geçiş Dönemi Âdetleri Üzerine Bir Karşılaştırma (Amman-Samsun Örneği)” konulu yüksek lisans tezinden yapılmıştır.

** Ondokuz Mayıs Üniversitesi, Türk Dili ve Edebiyatı Bölümü. İletişim: khaled.heba123@gmail.com



Giriş

Gelenek, bir toplumda eskilerden kalan, kuşaktan kuşağa aktarılan, kültürel kalınlar, alışkanlıklar, bilgi, töre ve davranışların tümüne denir. Genellikle gelenek üç bağlamda ele alınabilir. Birinci olarak geçmiş yaşam biçimlerinde görülen maddi ve manevi değerlerdir. İkincisi ise geleneğin zengin ve kutsi değerleridir. Üçüncüsü ise, geleneğin kendinden her türlü istifade edilmesine açık olan anlamlar yönüdür.

İnsan, hayatı boyunca biyolojik ve kültürel olarak bazı değişimler geçirir. Bireyin yaşantısı boyunca meydana gelen bu değişimlere halk biliminde “geçiş dönemleri” denilmekte ve bu dönemler doğum, evlenme ve ölüm olarak isimlendirilmektedir. Her geçiş döneminde insanlar kendilerini yeni bir yaşam hazırlığı içerisinde bulurlar ve her geçiş döneminin kendine özgü uygulama ve âdetleri vardır. Bu uygulama ve âdetler bireyi yeni dönemine hazırlamak, bu yeni döneme geçişini kolaylaştırmak ve başına gelebilecek zararlardan onu korumak amacıyla yapılmaktadır (Boratav, 1973, s. 10).

“Geçiş dönemleri” olan doğum, evlenme ve ölüm dönemleri içinde kültürel unsurlar içermektedir. Ayrıca bu kültürel unsurlarda birtakım inanç, gelenek, görenek, dinsel ve büyüsel pratikler şeklinde karşımıza çıkmaktadır. Bu araştırmada insanın hayatında önemli olan “Geçiş Dönemleri” (Doğum, Evlenme ve Ölüm) Karadeniz’de bulunan Samsun şehri ve Ürdün’ün başkenti Amman şehri olmak üzere saha araştırması esas alınarak incelenmiştir.

Günümüzdeki dünya coğrafyasında yer alan ülkelerin topraklarının hemen hemen tamamını, bir ya da en fazla birkaç kültürü bünyelerinde barındırdığı ifade edilir. Dünyanın çeşitli coğrafyalarında uygulanan kültürel unsurların bir kısmının ortak olduğu bilinmektedir. Türk ve Arap toplumları yıllarca bir arada yaşamış olmalarının etkisiyle gelenek, görenek ve kültür bakımından âdeta iç içe geçmiş durumdadırlar.

Türkler ve Araplar Osmanlı devletinin kuruluşundan beri yıllarca birlikte yaşadıkları için iki milletin dili ve kültürü de etkilenmiştir. Bu da günümüzdeki gördüğümüz Arap ve Türk kültürlerinin ortaklığının temel nedeni sayılır. Arap ve Türk toplumlarının İslami mahiyete sahip olduklarından dolayı doğum, evlenme, sünnet, ölüm ve bayram ile ilgili gelenek ve görenekleri büyük ölçüde ortak olduğu gözlemlenmiştir. Osmanlı Türkleri, özellikle kuruluş öncesi yüzyıllardan beri getirdikleri Arap ve Pers İslam kültürlerinin geleneklerinden ve dillerinden büyük ölçüde etkilenmişlerdi. Aynı zamanda Osmanlı Türklerin kültürünü Arap ve Pers geleneklerinin ve halk kültürlerinin üzerine etkisi günümüze kadar devam etmektedir.



Arap topraklarının Osmanlı İmparatorluğu'na katılması, sadece genelde İslami tarihinin değil, 1516-1916 dönemi Arapların tarihinin de ilk dönüm noktalarından biri sayılmaktadır. Fas dışındaki bütün Arap coğrafyaları kısa bir dönem içinde Osmanlı Devleti'ne katılmıştır. Ürdün bölgesinin çoğu çöl olduğu için genel olarak diğer topraklara gidebilmek için önemli bir yol olarak kullanılmıştır. Bundan dolayı o coğrafyadaki yaşayan bedevilerin kültürü, diğer coğrafyalardakine göre çok az etkilenmiş diyebiliriz. Bütün bu durumlara rağmen Samsun ve Amman yörelerindeki geçiş dönemleri (doğum, evlenme ve ölüm) hakkında bilgileri derlerken birtakım ortak gelenek ve görenekler görülmüştür.

1948 yılında Filistin'de yaşanan savaştan dolayı Filistin halkı dünyanın muhtelif coğrafyalarına iltica etmişlerdi. Ürdün'e mülteci olarak gelen Filistinliler sahip oldukları zengin Osmanlı kültürünü Ürdünlülere aktarmıştır. Böylece Ürdün halkı arasında Osmanlı kültürünün yayılmasına önemli bir yol olmuştur.

Samsun ve Amman toplumları arasında pek çok gelenek ve görenek ortak olarak uygulanmıştır. Ancak Amman yöresi bedevi yaşam tarzına sahip olduğu için bazı gelenekleri Samsun'daki geleneklerden çok farklı tutmuştur. Bu bölümde Amman ve Samsun arasındaki doğum, evlenme ve ölüm ile ilgili ortak geleneklerden bahsedilecektir.

Samsun ve Amman'daki Doğum ile İlgili Ortak Âdetler

Doğum, tıbbi görüşlere göre türe özgü normal gebelik süresi sonunda yavrunun dünyaya geliş sürecidir. İnsanlarda doğum zamanı, fetüsün anne karnından çıktığı an olarak tanımlanır. Doğum, evlenme ve ölümle birlikte hayatın üç geçiş döneminden birincisi olmakla birlikte hayatın başlangıç aşamasıdır. Doğum olayına her toplumda ve her yerde önem verildiğinden dolayı halk biliminde de çok önemli bir yer kazanmıştır.

Doğum dünyanın her yerinde, her zaman mutlu bir olay olarak kabul edilmiştir. Dünyaya gelen her çocuk sadece anne babayı değil, akrabaları, komşuları, hatta bütün insanları sevindirir. Çünkü her doğum ailenin ve akrabaların sayısını artırmakta ve soyun devamlılığını sağlamaktadır. Soyun devam etmesi gücün ve dayanışmanın artması demektir. Aynı zamanda aileye yeni bir ferdin katılması babaya ve anneye daha fazla güç ve güven sağlamaktadır. Kadına duyulan saygınlığı artırdığı gibi, onun akraba ve grup içerisindeki konumunu da sağlamlaştırır. Anneye benlik ve bütünlük, babaya ise güven sağlar (Gharaibeh, 2010, s. 2).



Arap ülkeleri hep savaş içinde yaşadıkları için ölüm sayısı doğumlardan fazla olmuştur. Bu sebepten dolayı düşmana karşı durabilecek yeni nesilleri dünyaya getirme çabaları insanlarda hep var olmuştur. Ürdün'de de aşiretin kuvvetinin ve dayanışmanın artırılması amacıyla çok çocuk yapılmaktadır. Soyun ve aile adının devamına verilen önemle, nüfusun kalabalık olmasıyla ailenin güçlü olacağına dair inançla, Allah verdi, çocuk rızıkıyla doğar düşünceleri de bir araya gelince Arap kültüründeki geleneksel aile yapısı ortaya çıkmaktadır.

Doğum ve çocuğa Samsun ve Amman yörelerinde çok önem verilmektedir. Aynı zamanda iki toplumda evlendikten sonra çocuk sahibi olmaya önem verilir. Doğum öncesi, doğum sırası ve doğum sonrasındaki uygulanan pek çok âdet, gelenek ve görenek vardır. Bu âdetlerin bir kısmı Amman ve Samsun toplumlarında ortak kullanılmaktadır. Bu ortaklıklar iki milletin yıllarca birlikte yaşamalarının bir sonucudur. Bazıları Osmanlılardan Ürdünlülere geçmiş, bazıları da Ürdünlülerden Osmanlılara geçtiği bilinmektedir.

Samsun ve Amman yörelerinde eşler evlendikten hemen sonra çocuk yapmaları istenir. Eğer gebelik olmazsa kısırlığı giderme ve gebe kalabilmek için birtakım yollar ve sağaltmalar yapılır. Bu sağaltmaların başında tıbbi sağaltmalar vardır. İki yörede hamile kalabilmek için öncelikle tıbbi yöntemleri uygulama çabaları olmuştur. Hastaneye ya da ebeye gidilir. Ancak tıbbi sağaltmalar yapıldıktan sonra hamilelik olmadığı zamanda geleneksel, dinsel ve büyüsel yollar uygulamaya başlanır. İki yörede ortak ve farklı yöntemler uygulanmaktadır. Fakat çalışmamızın hedefi iki yörenin ortaklıklarını ortaya çıkartmaktır. Bu nedenle ortak sağaltmalar şöyle izah edebilir:

- Yatırırlar ziyaret edilir.
- Kurban kesilir.
- Hocaya başvurulur.
- Mukaddes sayılan ağaçlara paçavra bağlanır.

Aşerme dönemine her iki yörede çok değer verilir. Ancak iki millette bu dönemle ilgili biraz farklı uygulamalar yapılmaktadır. İkisinde bu dönemde hamile kadının istediği her şey verilmeye gayret edilir. Eğer getirilmezse istediği yiyeceğin, çocuğun vücudunda leke şeklinde bulunacağına inanılır. Genellikle yapılan uygulamalar anne ve çocuğun canları için faydalı olacağına düşüncesiyle çok önemli sayılır (Obeidat, 1995, s. 15).

Bebeğin cinsiyeti iki halkın aileleri için çok önemlidir. Amman ve Samsun'un toplumlarında hamile kadının erkek mi, kız mı doğuracağı merak edilir. Günümüzde çocuk cinsiyetinin tayini hastanelerde gerçekleştirilir. Fakat geçmişte teknolo-



jinin gelişmediği zamanlarda çocuğun cinsiyeti farklı bir şekilde tayin edilirdi. Ayrıca bazıları günümüze kadar devam etmektedir. Çocuk cinsiyetinin tayini ile ilgili iki yörede birtakım uygulamaların ortak uygulandığı gözlemlenmiştir. Örneğin:

- Hamile kadın güzelleşirse kız çocuğu, çirkinleşirse ise erkek çocuk doğuracak diye tahmin edilir.
- Hamile kadının karnı bel kısmı genişlediyse kız çocuğu, sivri ise erkek çocuğu olacağı düşünülür.
- Hamile kadının canı daha çok ekşi yemekleri çekerse erkek, tatlı çekerse kız olacağı rivayeti vardır.

Doğum sırasında yapılan uygulamaların en önemlisi bebeğin göbek bağı ile ilgili olanıdır. İki yörede çocuk göbeği çocuğun geleceği ile bağlantısı inanıldığı için onunla ilgili birtakım uygulama yapılmaktadır. Amman ve Samsun'da bebeğin göbek bağı özel yerlere gömülür. Çocuk doktor olsun diye göbeği hastanenin bahçesinde, dindar olsun diye caminin bahçesinde, öğretmen ya da eğitimli olsun diye okulun bahçesindeki toprağa göbek bağının gömülmesi önemli bir gelenektir.

Doğum öncesi ve sırasında olduğu gibi doğum sonrasında da birtakım gelenek, âdet ve uygulamalar yer almaktadır. Doğum sonrasında uygulanan âdetlerin bir kısmı Amman ve Samsun'da ortak uygulanmaktadır. İki yörede yeni doğan bebekler tuzlanır ve kundaklanır. Tuzlama âdeti her iki toplumda günümüze kadar hâlâ devam edilen bir âdettir. Ama bu âdetin uygulama yolları farklıdır. Samsun'da çocuğun tuzlanması tuzlu suyla yıkanmasıyla gerçekleştirirken Amman'da çocuğun tuzlanması iki şekilde gerçekleştirilir. Birinci şekilde Samsun'da uygulandığı gibi tuzlu suyla çocuğun yıkanmasıdır. Ancak Amman'da çocuk tuzlu suyla yıkandıktan sonra vücuduna zeytinyağı sürülür. Diğer de tuzlu zeytinyağı ile çocuğun vücudunu sürmektir (Obeidat, 1995, s. 15). Çocuğun kundaklanması iki yörede şekli ve ehemmiyeti aynıdır. Çocuğun ilk haftasında hem Samsun'da hem de Amman'da çocuğa isim verilir. Çocuğa verilen isimler genel olarak dinî isimlerdir. Aynı zamanda iki toplumda dede ve nine isimlerinin çocuğa verilmesi âdettendir.

Samsun ve Amman'ın toplumlarındaki en önemli olay kırk basmasıdır. Samsun'da kırk basmasından korkulduğu kadar Amman halkı da bu hastalıktan korkar. Anne ve çocuğa nazar değmemesi, kötülükler ve hastalıklara uğramaması amacıyla birtakım ciddi uygulamalar yapılmaktadır. Kırk basması hastalığı ger-



çekleştirilmemesi için ne anne ne de çocuğu evden çıkar. Doğumun kırkinci günü gelince anne ve çocuğunun özgürlüğü için iki yörede farklı kutlamalar yapılır.

Samsun ve Amman'da çocuğun hayatındaki bütün adımları önemle ve sevinçle izlenir. Çocuğun ilk dişi ve ilk adımı aile ve çevresi tarafından kutlanmadan geçilemeyecek mutlu bir olaydır. Son olarak sünnet İslam dininde çok önemli bir yer aldığı için iki toplumda bununla ilgili yapılan kutlamalara önem verilir. Sünnet, Müslüman dünyasında bir bayram gibi herkes tarafından sevinçle karşılanır. Geçmişte Amman'da, Samsun'un sünnet şöenleri gibi yapıldı. Ancak günümüzde nazarlardan korktuğundan dolayı bebek dünyaya gelir gelmez sünneti törensiz yapılır.

Samsun ve Amman'daki Evlenme ile İlgili Ortak Âdetler

Evlilik, sosyal etkileşim içerisinde olan toplumun iki cins arasındaki biyo-psi-ko-sosyal etkileşimin en önemli örneği olması bakımından ciddi bir kurumdur. Genellikle sosyolojide ailenin temel bir kurum olarak kabul edilmesiyle birlikte, aile ve evlilik birbirini besleyen ve birbirinden ayıramayan iki kurumdur. Makro ve mikro sosyal açıdan ele alındığı zaman mikro etkileşim ağı örneği olarak evlilik kurumunun hem bireysel hem de toplumsal hayat için önemi daha iyi anlaşılabilir-mektedir (Mermer, 2011, s. 6).

Tarih boyunca toplumlar, kendi toplumsal ve kültürel yapılarına uygun evlilik biçimleri geliştirmişlerdir. Günümüze gelinceye kadar farklı kültürel yapılar içinde çeşitli evlilik türleri denenmiş bunların bir kısmı geleneksel yapı içinde yer alırken bir kısmı zamanla terk edilmiştir. Dünyaca en çok tanınmış olan bazı evlilik türlerini şöyle izah edebiliriz: beşik kertmesi, söz alma-söz verme, görücü usulüyle evlenme, kız kaçırarak evlenme, zorla evlendirme, tanışıp anlaşarak evlenme, çok eşli evlilik, berdel evliliği, baldızla evlenme ve yetim evliliği.

Bu çalışmada bahsettiğimiz her iki toplum Müslüman mahiyete sahip olduğu için evlenme âdetlerinin arasındaki farklılıklar az diyebiliriz. Samsun ve Amman Müslüman şehirler olmalarının yanı sıra 600 yıldır birlikte iki değil bir toplum gibi yaşamalarının önemli bir etkisi olduğu bellidir. Samsun ve Amman yörelerinde evlenme öncesi, düğün ve düğün sonrasındaki gelenek ve âdetlerin ortak yönleri aşağıda kısa bir şekilde izah edilecektir.

Arap toplumlarının, yüzyıllardır çeşitli imparatorlukların ve emperyalistlerin işgali altında yaşamış olmalarının da etkisiyle soya büyük önem verilir. Günümüzde 20-30 kuşak öncesine kadar soy ağaçlarını kaydedenler bile bulunmak-



tadır. Fakat günümüzde buna artık fazla önem verilmemektedir. Aşiret yapısının dağılmakta oluşu da bunda büyük bir etkindir. Pek çok doğu toplumunda olduğu gibi, yakın zamana kadar Araplarda da genelde görücü usulü evlilikler yapıldı. Bu gelenek bazı yörelerde hâlâ devam etmektedir. Bazı yörelerde nadir de olsa beşik kertmesi âdeti de görülmektedir (Serhan, 2014, s. 105).

Ürdün'de, Türkiye'de olduğu gibi yaşam tarzına göre evlenme yaşı değişikliklere uğramaktadır. Geçmişte Ürdün'de genç kızlar ortalama 14-16 yaşlarında, erkekler ise ortalama 17-19 yaşlarında evlendirilmekteydi. Ancak günümüzde yaşadığımız gelişmelerin etkisiyle ve eğitim düzeyinin artmasıyla birlikte evlenme yaşı yükseldi. Günümüzde kızlar ortalama 20-25, erkekler ise 26-29 yaşlarında evlendirilmektedir (Serhan, 2014, s. 107).

İlk olarak iki toplumda görücü usulüyle evlenme türü, diğer türlerden daha yaygındır. Genç erkek evlenme yaşına gelince ve evlenme arzusunu belirttikten sonra damadın annesi bir gelin bakmaya başlar. Damat adayına yakışan bir gelin bulunduğu zaman kız isteme merasimlerine hazırlanır. Amman aşiret yapısına sahip olduğu için kız isteme törenindeki âdetleri Samsun'dakilerden birtakım farklı âdetler bulunmaktadır. Amman'da kız isteme veya al-câhâ sırasında aşiretin en önemli kişilerin gelmesine önem verilir. Al-câhâ'da kız verilmeden önce erkek tarafından hiç kimse kahve içmez.

Kız isteme törenlerine verilen önem ve değer iki yörede de çok benzerlikler taşır. Kahve sözün anahtarı, üzgünlüğü uzaklaştıran ve mutluluk getiren bir simge olduğu için hem Samsun'da hem de Amman'da kahve içilmesi önemli bir âdettir. Ancak Amman'da damat adayına tuzlu kahve takdim etmek âdeti yoktur. Genellikle kız isteme gününde nişan tarihi belirlenir. Ayrıca Amman'da al-câhâ gününde mehrin miktarı ve şekli de belirlenmesi gerekmektedir.

Mehir ya da başlık parası ile ilgili uygulanan âdetler iki yörede farklı bir şekilde uygulanmaktadır. Amman'da mehir evliliğin en önemli unsurlarından birisidir. Mehir İslam dininde kızın hakkı olarak verilen miktardır. Samsun'da geçmiş zamanlarda başlık parası verme âdeti sadece çiftçilikle ilgilenen aileler tarafından uygulanmıştı. Ancak günümüzde başlık parası yok denecek kadar azdır. Mehir genelde bir hayvan ya da altın olarak verilmekteydi. Ama bugünlerde sadece para olarak verilir.

Nişan günü kız isteme gününde belirlenir ve onun için hazırlıklar yapılır. Nişan töreni çiftlerin ilk resmi sözleşmesi olarak değerlendirilir. Nişan merasimleri düğün merasimlerine benzediği için ona "küçük düğün" diyebiliriz. Samsun ve Amman'da nişan gününde yiyecek ve içecek olmadan olmaz. Aynı zamanda nişan



gününde yüzükler takılması âdettendir. Önceki yıllarda nişan töreni kız evinde oluyormuş. Fakat günümüzde iki yörede nişan merasimleri lüks düğün salonlarında yapılmaktadır (Obeidat, 1995, s. 16).

Çeyiz ile ilgili yapılan uygulamaların birçoğu Amman ve Samsun yörelerinde ortak uygulanmaktadır. Samsun'da kız evlenme yaşa gelir gelmez çeyizini hazırlamaya başlarken Amman'da kız isteme gününde belirlenen mehri ile ve nişan döneminde kız çeyizini hazırlamaya başlar. Çeyiz serme âdeti de değişik bir şekilde yapılmasına rağmen iki toplumda uygulandığını gözlemlenmiştir.

Düğün, hem iki gencin yaşamlarını birleştirmeleri yönünden hem de iki aile arasında akrabalık bağlarının kurulması bakımından çok önemlidir. Tüm dünya kültürlerinde olduğu gibi Türk kültüründe de insanların mutluluklarını ifade eden törenlerden biri düğün törenidir. Her kültür, düğünü kendi kural ve kalıplarına uygun olarak gerçekleştirir. Samsun toplumunda da düğünün geleneklere en uygun biçimde uygulanmasına çaba gösterilir. Medeni nikâhtan sonra yapılan düğünle, gelin ve damadın evliliği yasa, din ve bağlı bulunduğu topluluk üyelerinin onayıyla geçerli sayılır. Düğünün ne zaman olacağı, iki tarafın ailelerinin anlaşması ile kararlaştırılır. Bu süre çok kısa olabileceği gibi yıllarca da uzayabilir. Düğün; oğlanın askerliği henüz yapmaması veya çeyizi tamamlayamaması gibi nedenlerle gecikebilir (Artun, 2018, s. 248).

Düğün günü yaklaşıncı davetlilere düğün davetiyeleri dağıtılır. Düğüne davet dağıtma işleri genelde damat ve gelinin akrabalarından biri tarafından yapılır. Düğün merasimi ile ilgili bütün âdetlerin yapılmasına özen gösterilir. Düğünün yapılması gereken ilk merasimi “Kına gecesi”dir. Hem Samsun hem de Amman'da kına gecesine çok önem verilir. İki toplumda gelinin kırmızı giyinmesi ve ellerinde kına sürmesi kına gecesinin en mühim gelenekleridir. Genellikle kına gecesi ak-raba, dost ve komşularla kutlanır. Davetlilere küçük paket şeklinde kına ve şeker dağıtılması vazgeçilmez bir âdettir.

Düğün gününe gelince Amman'da yapılan ama Samsun'da yapılmayan bir sürü âdet ve gelenek vardır. Fakat davetlilere yemek ikram etmek, konvoyla çıkmak, düğün gününde dans etmek ve şarkı söylemek iki toplumda ortak uygulanmaktadır. Amman'da “Mansaf” ikram edilirken Samsun'da pilav, yahni, etli pilav ve keşkek gibi geleneksel yemekler ikram edilir. Amman toplumu bedevi yaşam tarzına sahip olduğu için dans türleri, şarkıları, yemeği, içeceği ve diğer geleneklerin birçoğu Samsun'dan tamamen farklı uygulanmaktadır.

Düğünden sonraki uygulanan âdetlerden birisi “çarşaf gösterme” âdetidir. Bu gelenek iki yörede devamlılığını sağlayarak uygulanmaktadır.



Samsun ve Amman'daki Ölüm ile İlgili Ortak Âdetler

Doğum, insanoğlu için nasıl bir başlangıç sayılmışsa, ölüm de insan için kaçınılmayacak bir son olmuştur. Ölümün kaçınılmaz bir gerçek olduğunu anlayan insanoğlu ölümü anlama, anlamlandırma ve mümkün olduğunca gelişini geciktirme bağlamında birtakım uygulama ve ritüeller ortaya koymuştur.

İnsan hayatının bu dünyadaki en son evresini oluşturan ve öbür dünyada sürdürüleceğine inanılan ebedi hayatın başlangıcı olan ölüm, yeryüzündeki bütün toplumlarda olduğu gibi, Türkler arasında da hayatın diğer safhalarına nazaran daha ayrıntılı uygulama ve inanışlarla yorumlanıp anlamlandırılmaya çalışılmıştır. Bir insanın ölümü doğumu kadar olağan karşılanmış, ölünün arkasında kalan akrabaları, ölüyü öte dünyaya yolcu etmek için çeşitli uygulama ve törenler yapmışlardır (Aça, 1999, s. 24).

Geçiş dönemlerinin son safhası olan ölüm olayı gelenekleriyle birlikte çeşitli toplumlarda çok önemli bir yer almıştır. Doğum ve evlenme geçişlerinde olduğu gibi ölüm hadisesinde de birtakım âdetler, inanmalar mevcuttur. Bu âdetler, ölüm olayının en önemli unsurları sayılır.

Ölüm hadisesinde uygulanan, ölümü düşündüren ön belirtiler, ölümden kaçınmalar, ölüm anındaki uygulamalar, ölüyle ilgili inanışlar, ölümün duyurulması, ölümün ardından yapılan âdetler, belirli günler, ölü yemeği, ölünün eşyaları, yas tutma, mezar ziyaretleri, Samsun ve Amman'da geleneksel kültürle birlikte İslami usuller çerçevesinde uygulanmaktadır.

Samsun ve Amman yörelerinde geçmişten günümüze ölümün tüm aşamalarında olduğu gibi, ölümü düşündüren belirtiler zamanla değişikliğe uğramıştır. Bu uygulamaların bazıları İslam dininde reddedilmiştir. Bu yüzden çoğu uygulamalar terk edilmiştir. Bazı değişikliklere rağmen birtakım uygulamalar hâlen devam etmektedir.

Ölüm dönemiyle ilgili uygulanan âdetlerin dinî yönünün ağır basması nedeniyle doğum ve evlilik âdetlerine göre ölüm âdetleri değişimden daha az etkilendiğini görmekteyiz. Amman ve Samsun yörelerindeki ölüm ile ilgili yapılan uygulamaların birçoğu ortak yapılmaktadır. Ölüm âdetleri, ölüm öncesindeki ön belirtilerle başlamaktadır. İki yörede ölümün ön belirtileri genelde hayvanlarla ve özel hadiselerle ilgilidir. Baykuş ve karga gibi hayvanlar ölümün yaklaştığını gösteren ön belirtilerdir. Aynı zamanda Amman ve Samsun toplumlarında eğer çok hasta olan kişinin birdenbire iştahı açılır ve yüzü güzelleşirse yakın zamanda öleceği düşünülmektedir.



Ölüm sırasında uygulanan âdetlere dikkat edilmesi gerekiyor. Amman ve Samsun'da ölüm sırasında ve sonrasında yapılan uygulamalar temel olarak İslami usullere dayanmaktadır. Ölüm sırasında ilk olarak hasta kişinin başında devamlı dua ve Kur'an-ı Kerim okunur. Ayrıca hastaya kelime-i şهادet getirilmeye çalışılır. Hasta kişi öldüğü zaman Müslümanların en önemli yeri olan kibleye doğru yatırılır. Gözleri açık kalmışsa kapatılır. Bundan sonra ölünün yıkanma, kefenleme ve defin işlemleri yapmak için hazırlıkları yapılır.

Ölümün sonrasındaki yapılan uygulamalar ve pratikler genel olarak İslami usullere dayanmaktadır. Çalışmamızda bahsettiğimiz Samsun ve Amman toplumları Müslüman oldukları için ölümün sonrasındaki uygulanan gelenekler ve âdetler çok yakındır. Ölüm sonrasındaki uygulanan ölümün duyurulması, ölünün yıkanması ve kefenlenmesi, cenazenin taşınması, cenaze namazı, defin işlemleri, cenaze evindeki âdetler, ıskat, ölünün eşyaları, ölümden sonraki belli günler, ölü yemeği ve mezarlık ziyaretleri ile ilgili âdetlere ve inançlara çok değer verilir.

Ölümün duyurulması iki yörede çok benzer bir şekilde uygulanmaktadır. İki sinde de eski zamanlarda ölüm olayı ağlama seslerinde anlaşıldı. Ancak sonra da imam veya ölen kişinin bir akrabası camiye ya da köyün en yüksek yerine çıkıp ölen kişinin adı, soyadı, defnedileceği zaman söylemesiyle ölümün duyurusu gerçekleşmiş olur. Günümüzde ise telefonlar kullanarak ölümün duyurması daha kolay olmuştur.

Ölen kişinin yıkanması ve kefenlenmesi iki yörede İslami usullere göre yapılmaktadır. Hem Amman hem de Samsun'da ölü kişi Allah'ın karşısında durduğu zaman hem vücudu hem de ruhu temiz olması gerektiği için yıkanır. Ölüyü yıkadıktan sonra İslami kurallara göre kefenleme işlemi yapılır.

Ölünün taşınması iki yörede farklılık gösterir. Samsun'da tabutla cenaze taşınırken Amman'da Müslümanlar sadece naaşı taşınmaktadır. Cenaze namazı yaşa ve cinsiyete önem vermeden bütün Müslümanlar için iki yörede İslam dinine göre kılınmaktadır. Cenaze namazı kıldıktan sonra cenazeyi omuzlara taşıyıp defin işlemleri için mezara götürülür. Samsun yöresinde cenazeye kadınlar katılırken Amman'da kadınların cenazeye katılması uygun sayılmaz. Amman'da ölüm hadisesiyile ilgili yapılan uygulamalar genelde sadece erkekler tarafından uygulanmaktadır.

Cenaze namazı kıldıktan sonra artık ölü gömülmeye hazır sayılır. İki yörede ölünün defnetmesiyle ilgili pek çok âdet ve inanma vardır. İlk olarak cenazeden sonra kabir kazılır. Ölen kişiyi defnederken başının kibleye doğru olması çok önemlidir. Ölüyü defnettikten sonra hem Samsun hem de Amman'da sevap ala-



bilmek için herkes 3 kere toprak atar. İmam ya da ölünün akrabalarından biri dua edip ölüye talkın verir. Ondan sonra herkes ölünün ruhuna Fatiha suresi okuyup mezarı terk eder.

Çalışma yaptığımız yörelerde taziye evi üç gün boyunca taziye için gelecek misafirlere açılır. Bu süre içinde yemek verilir. Samsun'da genelde cenaze sonrası helva ve ekmek verilir. Günümüzde cenaze defnedildikten hemen sonra mezarlığın uygun bir yerinde ölen kişinin ruhu için pide ve ayran ikram edildiği de gözlenmiştir. Amman'da ise bu üç günde ölü evinde yemek pişmez, yemek komşular tarafından gönderilir. İki yörede cenaze evinde yüksek sesle ağlamak uygun karşılanmaz. Hem Samsun hem de Amman'da ölen kişinin ardından, ölen kişi için, belirli günlerde bazı uygulamaların yapıldığı görülmektedir. İki yörede ölüm hadisesinin yedinci, kırkinci ve birinci yılında mevlit yapılmaktadır. Bu özel günlerde gelen misafirlere ölünün ruhuna yemek ikram edilir. Amman yöresinde de bu günlerde genelde tatlı yapılır.

Samsun yöresinde ölen kişi için yapılması gereken ilk mevlit defnedildiği günün akşamı verilir. Mevlitte ölünün ruhuna hediye etmek için Kur'an okunur. Ölünün ruhuna misafirlere şeker ve meyve suyu dağıtılır. Mevlit bir din görevlisi tarafından yapılır. Mevlit, ölünün kırkı çıkınca tekrar yapılır. Ayrıca ölünün kalkıp gezindiğine dair bir inanış olduğu için ölü defnedildikten sonra akşam olmadan ayakkabıları dışarı atılır ya da birisine verilir (Şişman, 2002, s. 463).

Ölüm ile ilgili uygulanan âdetlerin birisi ıskattır. Ölen kişinin ölmeden önce yapması gereken ama yapamadığı bazı dinî vecibeler ailesi, yakınları ve dostları tarafından yapmalarına ıskat denilir. Ölü kişinin yerine namaz, oruç, kurban, adak, kefarete ve sadaka gibi ibadetler edilebilir. İskat âdeti iki yörede geçmişten günümüze kadar aynı değerle devamını sağlayan önemli bir âdettir (Al-Umari, 2012, 84).

Son olarak, ölümün âdetlerinden birisi de mezarlık ziyaretleridir. Samsun ve Amman'daki mezarlar çok farklıdır. Samsun'daki mezarlar süslenirken Amman'da mezarlar süslenmez, en fazla mezarın yanına bir ağaç dikilir. Mezarlık ziyaretleri Cuma günleri ve bayramlarda gerçekleştirilir.

Sonuç

Hız. Muhammed'in hayatını göz önüne aldığımızda onun, toplumun fertlerini kontrol altında bulundurmak, insanın nefsini düzeltmek hususunda ne denli titizlik gösterdiğini açıkça görürüz. Onun bu konuda titizlik göstermesinin temelinde, insan gerçeğinin anlaşılması ve onun arzu ve isteklerine cevap verme duygusunun yattığını görürüz. Öyle ise doğum, evlilik, ölüm vb. İslâmî prensipler sayesinde top-



lumun hiçbir ferdi yaratılışının ötesine geçemeyecek, gücü ve imkânının dışında gayret sarf edemeyecek; tam aksine orta yolda, sağa sola sapmadan yürüyecektir.

Şüphesiz ki, farklı farklı kültürler çeşitli yönlerde birbirinden etkilenmektedir. Türkler ve Araplar Osmanlı devletinin kuruluşundan beri yıllarca birlikte yaşadıkları için iki milletin dili ve kültürü de etkilenmiştir. Genelde Türk ve Ürdünlü kültürleri arasındaki karşılıklı etkileşim de vurgulanmamıştır. Bu nedenle, bu araştırmada böyle bir boşluğu doldurup etkileşimin şimdiye kadar pek ele alınmamış yönlerini izah etmek temel amacımız olmuştur.

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Eğitim Bilimleri
Educational
Sciences

The Skill of the 22nd Century in the Automated World: How Can Education Prepare Its Students for Future Work?

Brian Mumba*

Abstract: The advancement in the areas of technology such as automation, artificial intelligence (AI) and robotics, is impacting all areas of our lives including education and workplace. This change is rapidly influencing the workplace and the skills demanded, to a larger extent making the current worker force less employable. Kai-Fu Lee (2018), former president of Google China, in his book “AI Superpowers” powerfully wrote that 40 to 50 per cent of current jobs will be technically and economically viable with AI and automation over the next 15 years. Today, artificial intelligence is providing automation, efficiency, and accuracy necessary to perform many job operations that have been traditionally done by humans. Given these changes, one can say that it is now more important than ever before that education prepares its students for one thing that machines will never be able to do but only humans. Now questions are what kinds of skills do we need to teach our kids? Do we still need factory workers? What kinds of skills do humans need to compete with technology that can work for longer than six hours without 30 minutes of a break? How can education prepare its students for future work? While it is true that robots are getting very good at a whole gamut of jobs, there are still many categories in which humans perform better. Thus, this paper examined these areas while answering these questions and others not asked here. The paper is a review of various literature on the skills in the automated world and makes recommendations for the skills of the 22nd Century. Life in the 22nd century will require people to be prepared to fill a variety of roles as workers, parents, citizens, and consumers in which they will need to apply their knowledge and skills effectively to rapidly changing situations. Recognizing this need, schools should be prepared to teach students the competencies they will need to navigate a changing world skill such as problem-solving, critical thinking, and collaboration.

Keywords: Artificial Intelligence, Automation, Education, Skills, Technology.

* Mersin University, Institute of Educational Sciences, Measurement and Evaluation in Education, MA Program.
Contact: brianmumba0@gmail.com



Introduction

The idea that machines are coming to take our jobs has been a concern for hundreds of years at least since the industrialization of weaving in the early 18th century, a technological leap that both raised productivity and fears that thousands of workers would be thrown out on the streets (Acemoglu & Autor, 2011). Innovations and technological progress have caused a disruption, but they have created more prosperity than they have destroyed. Yet today, we are riding a new wave of uncertainty as the pace of innovation continues to accelerate and technology affects every part of our lives. This acceleration in technology change is not only affecting our lives but also the world of work. A broad swath of occupations is at risk for transition or elimination through automation and artificial intelligence, and such risks are more highly experienced in developed countries. Additionally, many economies and industries have already started losing occupations to automation. Research has shown that the pace at which this is happening is quickening. However, such a transformation in skills is not new, it is something that has been happening since the inception of humankind.

Brynjolfsson and McAfee (2011) explain that skills often move along a path from the arcane to the user to the universal. Long division, for example, was largely the province of mathematicians and scientists until the 19th century. Now it is taught in elementary schools. More recently, a similar pattern is being witnessed with coding, data science, 21st-century skills or ("soft") and other on-the-job competencies. Thus, it is the time that educators, employers and job seekers and or/incumbent employees look at which skills contribute to their value over time. And If such a set of critical skills exists, how do these skills interact, and what do they mean? Given these changes, one can say that it is now more important than ever before that education prepares its students for one thing that machines will never be able to do but only humans. Now questions are what kinds of skills do we need to teach our kids? Do we still need factory workers? What kinds of skills do humans need to compete with technology that can work for longer than six hours without 30 minutes of a break? How can education prepare its students for future work? While it is true that robots are getting very good at a whole gamut of jobs, there are still many categories in which humans perform better. Thus, this paper examined these areas while answering these questions and others not asked here. The paper is a review of various literature on the skills in the automated world and makes recommendations for the skills of the 22nd Century.



Automation, Artificial Intelligence and Their Impact Today

The terms “artificial intelligence” and “automation” are often used interchangeably. They are shorthand for robots and other machines that allow us to operate more efficiently and effectively. David (2015) adds that Artificial Intelligence (AI) is often confused with automation, yet the two are fundamentally different. The key difference is that Artificial Intelligence mimics human intelligence decisions and actions, while automation focuses on streamlining repetitive, instructive tasks. According to David (2015), automation has been around for some time and is mostly integrated into most business operations that are not obvious for example, the auto-generation of marketing e-mails and SMSs to customers and even customer statements for specific periods. Kai-Fu Lee. (2018) summarised it that automation is virtually everywhere. It is in our factories, homes, and businesses. Automation is designed to perform repetitive tasks without needing a human touch. In other words, automation is driven by a programme or software with rules and simple programming. Thus, the words that “if it is based on rules then it can be automated”. Simply put, automation is when technology does a repetitive task without human intervention. Brynjolfsson and McAfee (2011) write that automation does not just pre-date computers, but also electricity. The practice of using the machine to control something automatically was the work of inventors in ancient cultures including Egypt, Persia, Greece and China. While the concept is old, the word ‘automation’ is newer, coined in the 1940s by car manufacturers as they sought to improve production rates. Today, automation is used to eliminate routine and redundant tasks in business, government and beyond. Hence, the workplace of today is filled with automation, both physical and digital. For automation to work, humans need to decide what task needs to be done and design the technology to do the task.

Comparing it to AI, others see automation as less smart than artificial intelligence. According to Kai-Fu Lee (2018) Artificial Intelligence (AI), is achieved every time a system mimics human thinking, reasoning and decision-making by following logic and rules explicitly programmed by humans. The rise of man-made or God-made creations imbued with intelligence has long been dreamed about. Artificial intelligence as practised today has become part of technologies that people have quickly begun to take for granted (Frey and Osborne, 2017). For instance, whenever one has a conversation with Google Assistant or Cortana, he or she is interacting with conversational artificial intelligence. Thus, this advancement in the areas of technology such as automation, artificial intelligence (AI) and robotics, is impacting all areas of our lives, especially workplace. The impact that educators should really be concerned about today in designing education for our children for tomorrow work.



This change in technology should not be ignored. However, there are mixed reactions to how this change is affecting the world of work. Other see this change as an opportunity while others fear that technology would throw thousands of works onto the street. For instance, the World Development Report 2019 on the changing nature of work finds that, on balance, concerns that technology would throw thousands of works onto the street are unfounded (The World Bank Group, 2019). The report points out that although the world of work is evolving at a very fast pace today, the change caused by technology especially in labour markets has brought new business models, and expanded job opportunities that cannot be ignored. The World Bank group further points the changes in the workplaces to two competing forces that are shaping the labour market, and hence the future work (The World Bank Group, 2019).

For the World Bank Group, the two competing forces are automation, which sheds jobs and tends to replace labour with machines in production, and innovation coupled with the AI. According to them, if automation attempts to replace workers, innovation creates opportunities, creates new jobs, creates new tasks (The World Bank Group, 2019). Thus, the future of work will be strongly determined by these two competing forces. If innovation outpaces automation, then we see more jobs created than jobs displaced, and the other way around. According to The World Bank Group (2019), over the past 20 years, more jobs have been created than displaced. Overall, 23 million jobs across Europe, have been created, for instance. This is so peculiar and also positive, especially that the rapid spread of technologies, especially digital, beyond the high-income countries are quite otherwise. For the first time, countries like Kenya is leading in mobile payments, India leading the digital and registration, and China leading e-commerce.

Thus, for Frey and Osborne (2017), today, in the world of work, we need to consider several things when we ask ourselves the question of how we should prepare for the future. For them, there are three changes that are happening today. The first one is how digital technologies are changing the way we do business. In the past, physical presence was a requirement to run a business in a country. Today is no longer like that, because digital technologies allow new business models that go beyond a physical presence and allow for fast scaling. For example, if we compare the history of IKEA, with the history of Alibaba, which is Amazon of China, we see major differences. For IKEA, it took about 70 years to become a global giant and to reach annual sales revenue of US \$42 billion (The World Bank Group, 2019).



On the contrary, findings from McKinsey Global Institute (2018) found that for most jobs, more than a third of skills necessary in 2016 would no longer even be required for the same job by 2020 a mere four years gap. Skills are the vectors by which these transformations of industries and economies take place. The today's job is being redefined by new modes of work, what others are calling as "hybridization" that mashes together skills from other domains for the greater breadth and flexibility of the workforce (Brynjolfsson & McAfee, 2011). Piketty (2014) explained that in the global economy, and especially in developed economies, digitally intensive jobs are mushrooming, and they are increasingly influencing work done outside of traditionally technical industries and sectors. Not only is the economy predicated on the workforce's acquisition of new skills, but also there is explosive demand across multiple sectors for people who can synthesize multiple skills that include a digital or technical element. In addition, a growing body of evidence is showing that changes in the skills, and their acquisition, have brought mobility, even for those most at risk of losing jobs or of having their jobs change (The World Bank Group, 2019). Kai-Fu Lee (2018) summarized it that modern jobs are integrating an array of broadly demanded skills. These are not the specialized skills of the engineer or the physicist, working with advanced mathematical models; however, they are those of the analyser of complex bodies of data, the software programmer, the project manager, and the critical thinker.

To measure skill shifts from automation and AI, McKinsey Company modelled skill shifts going forward to 2030 and found that they accelerated (McKinsey Global Institute, 2018). While the demand for technological skills has been growing since 2002, it will gather pace in the 2016 to 2030 period. The increase in the need for social and emotional skills will similarly accelerate. By contrast, the need for both basic cognitive skills and physical and manual skills will decline (Figure 1 below by McKinsey Global Institute, 2018). All technological skills, both advanced and basic, will see substantial growth in demand. Advanced technologies require people who understand how they work and can innovate, develop, and adapt them. The research suggested that through 2030, the time spent using advanced technological skills will increase by 50 per cent in the United States and by 41 per cent in Europe (McKinsey Global Institute, 2018).

Furthermore, more should be anticipated especially the rise in the need for advanced IT and programming skills, which is expected to grow as much as 90 per cent between 2016 and 2030. However, people with these skills will inevitably be a minority. Hence, there is also a significant need for everyone to develop basic digital skills for the new age of automation. As the report indicates among 25 skills



analysed, basic digital skills are the second-fastest-growing category, increasing by 69 per cent in the United States and by 65 per cent in Europe (McKinsey Global Institute, 2018).

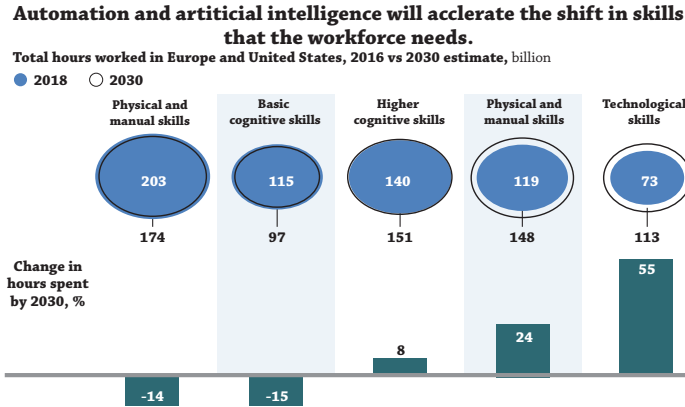


Figure 1. Automation and Artificial Intelligence Impact on the Future Skills

Source: McKinsey Global Institute Workforce Skills Model; McKinsey Global Institute analysis

These findings are related to the report from the OECD that finds that the tasks that AI and robots cannot do are shrinking rapidly (OECD, 2018). The report goes on to say 14% of jobs across 32 countries are “highly vulnerable” to automation. A World Economic Forum report on jobs predicted the Fourth Industrial Revolution would transform labour markets (World Economic Forum, 2019). The OECD’s report says that in addition to the highly vulnerable roles, a further 32% of jobs will see significant changes to the way they are carried out.

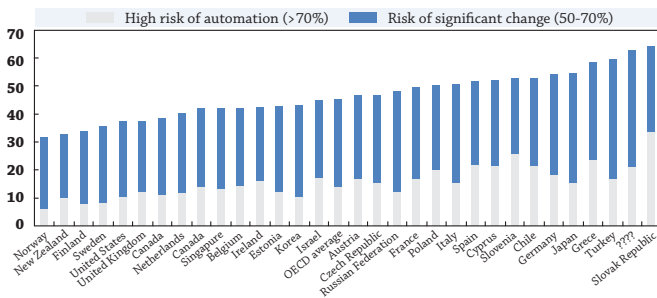


Figure 2. Share of Jobs at Risk of Automation by OECD Countries

Source: OECD (2018) Survey of Adult Skillis (PIAAC) 2012, 2015.

Hence, by looking at figure 2 above it can be suggested that the effect of automation is unlikely to be felt equally.



Further, a report by PwC on U.K. jobs found that there are likely “winners” and “losers” by industry sector due to automation and AI (PwC, 2018). According to the reported health, scientific and technical services and education would see an increase, while manufacturing, transport and public administration would see the largest losses (PwC, 2018). Thus, one can say that opinions are split over AI’s potential impact; with some warning, it could leave many out of work in future. On the other hand, the pessimists like Violante (2008) argued that AI is different to previous forms of technological change because robots and algorithms will be able to do intellectual as well as routine physical tasks. A PwC (2018) report suggested that education holds the key and advised the government to invest more in science, technology, engineering and mathematics, as well as art and design, to foster innovation.

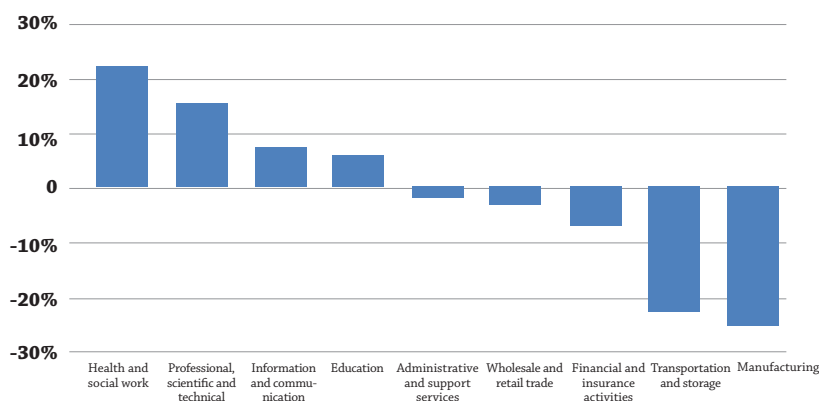


Figure 4. The Effect of AI

Source: OECD (2018) Survey of Adult Skillis (PIAAC) 2012, 2015.

PwC reports that about seven million existing jobs could be displaced by AI from 2017-2037, but about 7.2 million could be created. Some sectors would benefit disproportionately, however, with jobs in health increasing by 22%, scientific and technical services by 16% and education by 6%. By contrast, manufacturing jobs could fall by 25%, transport and storage by 22% and public administration by 18% (PwC, 2018).

However, the PwC report does not say much about social skills. Like what the World Economic Forum (2019) have put it, it is likely that the fourth industrial revolution will favour those with strong digital skills, as well as capabilities like creativity and teamwork which machines find it harder to replicate. Like previously



pointed out, a growing body of research claims the impact of AI automation will be less damaging than previously thought. For instance, the OECD criticised an influential 2013 forecast by Oxford University that found about 47% of jobs in the US in 2010 and 35% in the UK were at "high risk" of being automated over the following 20 years (OECD, 2017).

Hence, these findings and others not included giving a clear picture of what is happening. Large-scale changes to job and skill demand in the Fourth Industrial Revolution (4IR) are bringing fresh challenges to an already struggling system for identifying job-fit and matching individuals to opportunities. For example, by 2022, the core skills required to perform most roles will, on average, change by 42%. Increasingly, a career for life is an artefact of the past, and this traditional mindset of 'learn, do, retire' mentioned above can no longer provide a future-proof approach. As automation and work converge, skills gaps are set to change at a faster pace and at a greater volume leading to both talent shortages and job redundancies. To remain relevant and employable, workers are faced with the need to re-evaluate and update their skillsets; companies face a pressing need for innovative talent sourcing, matching and development strategies; and educators face pressure to update the focus of their courses and offerings. Consequently, there is a pressing need for more efficient proxies that can relay the skills that individuals acquire throughout their life course.

The Skills of the 22nd Century in the Automated World

Life in the 21st century requires people to be prepared to fill a variety of roles as workers, parents, citizens, and consumers in which they will need to apply their knowledge and skills effectively to rapidly changing situations. Recognizing this need, business, political, and educational leaders are increasingly asking schools to teach students the competencies they will need to navigate a changing world skill such as problem-solving, critical thinking, and collaboration. Such skills are often referred to as "21st-century skills," "soft skills," or "deeper learning. Acemoglu and Autor (2011) have divided skills into cross-functional and specialized skills where the differentiation refers to the frequency with which those skills occur across all industries as opposed to an industry or profession. Skills can be further differentiated into technical and soft the ability to use and develop technology versus working within the realm of human interaction.

More recently, McKinsey Global Institute (2018) have listed the newest in-demand skills often referred to as emerging skills. Cognitive skills commonly



cover conceptual thinking and the ability to process thoughts and perform various mental activities and are most closely associated with learning, reasoning and problem-solving. Complementary to skills, experts are increasingly looking to attitudes as a key ingredient of the competency model, moving away from the more static and deterministic nature of knowledge and abilities (Frey and Osborne, 2017). Attitudes are consistent behaviours, emotional intelligence traits and beliefs that individuals exhibit that influence their approach to a variety of things such as ideas, persons and situations. Attitudes are learned and often a big part of the driving force of learning and the approach to doing tasks.

Many individuals and organizations have proposed lists of competencies that they believe to be important beyond the 21st century. The competencies vary widely, ranging from critical thinking and argumentation to flexibility and empathy. The Business-Higher Education Forum (2018) has organized these skills into three domains:

1. The cognitive domain, which includes thinking, reasoning, and related skills;
2. The intrapersonal domain, which involves self-management, including the ability to regulate one's behaviour and emotions to reach goals; and
3. The interpersonal domain, which involves expressing information to others, as well as interpreting others' messages and responding appropriately.

Although research on how these various 21st-century competencies are related to desired outcomes in education, work, and other areas of life has been limited, there are some promising findings. Cognitive competencies, which have been the most extensively studied, show consistent, positive correlations of modest size with students' achieving higher levels of education, higher earnings, and better health (Piketty, 2014). Among intrapersonal competencies, conscientiousness which includes such characteristics as being organized, responsible, and hardworking shows the strongest relationship with the same desirable outcomes. Conversely, antisocial behaviour, which reflects deficits in both intrapersonal skills (such as self-regulation) and interpersonal skills (such as communication), is related to poorer outcomes (David, 2015). However, more research is needed to increase our understanding of relationships between particular 21st-century competencies and desired adult outcomes, especially, to look at whether the competencies are causing the desired outcomes rather than simply correlated with them.



On the other hand, foundational skills will continue to be part of education even beyond the 21st century. The Business-Higher Education Forum (2018) points out that a core benefit of foundational skills is the capacity to adapt. Because having a broader skill base is not simply about meeting the needs of today's jobs. But rather, these skills equip job seekers and incumbent employees for the future, enabling them to navigate a dynamic landscape of accelerating change: job losses, job changes, and job creation. Thus, raising one's level of academic attainment is the most familiar form of adaptation. By securing targeted training, and by seeking out hybrid jobs such as those that require a mix of technical and marketing skills or that combine computer science and business skills one can command salary premiums without an advanced degree.

Furthermore, multiple studies cite the development of social and emotional skills, creativity, and high-level cognitive skills as a powerful accelerator of adaptability (World Economic Forum, 2019; PwC, 2018; OECD, 2016; David, 2015). Employers prize these skills but can have great difficulty finding them in the workplace. Recent research suggests that rather than declining in importance, these skills are likely to become even more essential, both for job seekers and incumbent employees and for the success of their workplaces (OECD, 2016). Further research suggests that those who can combine skills like empathy, cooperation, and negotiation with mathematical and analytic skills will thrive in an economy that increasingly relies on both (The Business-Higher Education Forum, 2018).

PwC report that it is likely that the fourth industrial revolution will favour those with strong digital skills, as well as capabilities like creativity and teamwork which machines find it harder to replicate (2019). Job-related training will need to be a central part of the response to automation, but there are wide variations in training provision from country to country (OECD, 2018). For example, 16% of workers participated in job-related training in Greece and Turkey, compared with 60% in New Zealand and Denmark. The OECD's report further calls for policies to educate workers to deal with the changes that are likely to occur. As well as skills like cognitive and social intelligence it also advocates more digital training. The findings are in line with the Forum's Future of Jobs report, which identified the skills needed to keep pace with rapid advances in technology (World Economic Forum, 2019).

The report asked chief human resources and strategy officers from leading global employers what the current shifts mean, specifically for employment, skills and recruitment across industries and geographies (World Economic Forum, 2019).

Top 10 skills

in 2020

1. Complex Problem Solving
2. Critical Thinking
3. Creativity
4. People Management
5. Coordinating with Others
6. Emotional Intelligence
7. Judgment and Decision Making
8. Service Orientation
9. Negotiation
10. Cognitive Flexibility



in 2015

1. Complex Problem Solving
2. Coordinating with Others
3. People Management
4. Critical Thinking
5. Negotiation
6. Quality Control
7. Service Orientation
8. Judgment and Decision Making
9. Active Listening
10. Creativity



Creativity will become one of the top three skills workers will need. With the avalanche of new products, new technologies and new ways of working, workers are going to have to become more creative in order to benefit from these changes. Robots may help us get to where we want to be faster, but they cannot be as creative as humans (yet). Whereas negotiation and flexibility are high on the list of skills for 2015, in 2020 they will begin to drop from the top 10 as machines, using masses of data, begin to make our decisions for us (World Economic Forum, 2019).

A survey done by the World Economic Forum's Global Agenda Council on the Future of Software and Society shows people expect artificial intelligence machines to be part of a company's board of directors by 2026 (World Economic Forum, 2019). Similarly, active listening, considered a core skill today, will disappear completely from the top 10. Emotional intelligence, which doesn't feature in the top 10 today, will become one of the top skills needed by all. In his predictions, Kai-Fu Lee (2018) suggested jobs that focus on skills of human interaction, face-to-face conversation and negotiation would be likely to flourish, while manual jobs are more at risk. Furthermore, the Forum's report identified how the skills needed are evolving, with creativity leapfrogging to become the third most important skill by 2020, up from 10th on the list in 2015 (World Economic Forum, 2019).



The Way Forward

Skillset relevance is and will continue to be a key pillar of stability in today's labour markets and beyond. Shaping a culture of lifelong learning will be essential across education and training systems, across businesses and more broadly across society. Signalling and embedding this change requires more than individual will; it requires the investment of time and money alongside the thoughtful design of incentives to adapt for individuals. As the shelf-life of skills decreases, prioritizing a shift in mindsets, culture and mechanisms for lifelong learning will empower individuals to continue retooling businesses to better equip and deploy employees, and encourage the labour market to stay agile as jobs and business need continuously evolve. According to Acemoglu and Autor (2011), the illiterate of the 21st century will not be those who cannot read and write, but those who cannot learn, unlearn and relearn. Thus, as the labour market shifts from a mindset of 'learn, do, retire' to 'learn, do, learn, do, rest, learn...repeat', disrupting job security, the need to continually add to one's skill set and the imperative of lifelong learning will become increasingly important levers for success.

The set of required foundational skills commonly prioritized in today's education ecosystems are among the best-mapped to date, but will increasingly require further updating as core skills that can empower individuals for success in both education and in employment are in flux with soft and technology-related skills rising in prominence (The Business-Higher Education Forum, 2018). Thus, there is a need for complementing the focus on basic literacies with a focus on socio-emotional skills such as emotional intelligence, as well as skills such as active learning, complex problem-solving, inductive and deductive reasoning and digital fluency.

While foundational skills are typically developed in education before age 15, a fundamental rethinking of those key skills provides a new imperative to extend opportunities for refreshing and adequately certifying those foundational skills across all age groups (The Business-Higher Education Forum, 2018). Sometimes referred to as 'literacies', foundational skills are frontloaded in the early years of education (typically ages 0–8) and further developed in basic education (encompassing primary and lower secondary education, typically ages 8–14). Early years education sets the foundation for learning and skills development, personal competencies, confidence and sense of social responsibility (Piketty, 2014). This initial investment has significant repercussions on later stage educational attainment, employment and a range of social and economic outcomes. The re-



form aimed at reframing foundational skills is already underway but remains at different stages of maturity. For example, Estonia and Finland have developed national curricula for foundational skills as well as a focus on lifelong education. A notable effort focused on bringing greater coherence to foundational skills is the Organization for Economic Co-operation and Development's (OECD) 2030 learning framework which has set out to map the new set of skills that educators should look to teach in today's education systems (OECD, 2018).

Within this strategy, a reframing of traditional approaches to learning foundational skills should also be considered and include new teaching approaches such as play and gamification. While educationalists play a central role in developing foundational skills, it is also worth noting the important role of family, peers and communities (World Economic Forum, 2019). Finally, across today's education systems, there are few mechanisms for validating and assessing the attainment and the continued evolution of the foundational skills learned in the early stages of adult lives. There is a need for new tools that can validate foundational skills across the age range, identify variation in proficiency and assess the need for further upskilling among the population.

In the words of Violante (2008), historically, the education system has maintained a disproportionate focus on knowledge and facts intuition and assessment. Yet this is just one of the three pillars of the competency system, which is composed of not just skills and knowledge, but also attitudes and values. There is mounting evidence that too many individuals enter the labour market without the skills or mindset for success (PwC. 2018). To compound the shortcomings of the education system, employers often view the matching of skills to work as a static one-to-one relationship between degrees and certifications to a position.

Furthermore, across a number of countries, the educational background of one's family is a predictor of the educational outcomes of future generations. Rewiring the skills ecosystem throughout an individual's lifecycle holds the potential to establish a fairer base for social mobility and a more level playing field for career progression (OECD, 2017). Shifting to a system where skills are the core currency of the labour market, thus, has the potential to tackle existing inefficiencies in job-fit between employers and employees; help prepare for a near-future of greater volatility in the labour market; and enhance opportunity, prosperity and equality for workers. Such a shift would no doubt be challenging, requiring collaboration and coordination across multiple stakeholders. However, its potential returns are vast, for individuals, for business and for economies.



The need for such a system is becoming more urgent as the labour market demands both more digital and more ‘human’ skills in the midst of the 4IR. Understanding and meeting emerging skills demand and empowering individuals to learn, unlearn and relearn skills will need to form the basis of a new learning and working ecosystem a shared vision for talent. The broad change that will be required in this new world of learning and work is to move away from traditional, front-loaded accreditation and siloed certificates to a system of lifelong learning infused with a shared set of skills-based indicators at its core (The Business-Higher Education Forum, 2018).

According to Frey and Osborne (2017), in today’s labour markets career paths are already seldom linear, and they will be less so in the future. Thus, as we shift to a model of ‘learn, do, learn, do, rest, learn ... repeat’, a transparent and tangible approach to skills allows learners to prepare themselves for employment by understanding their own passions and motivations, and channelling those dispositions to developing work readiness through effective skills gain. It allows educators access to near real-time data on skills demand and to ensure the skills needed across the labour market are taught and certified. David (2015) concludes that a range of inefficiencies and collaboration costs are driven by persistent differences in the language and definition of skills among stakeholder groups. It is becoming increasingly evident that the labour market must establish skills as a common currency to support collaboration between employers and educationalists.

Despite being one of the most innovative and highly ranked education systems globally, faced with a demand for shifting competencies, Finland continues to focus its education reforms on furthering quality and equity (McKinsey Global Institute, 2018). For instance, recent reforms focused specifically on lifelong learning, with an emphasis on three pillars: knowledge, skills and motivation. Cross-functional skills and competencies were set to be embedded across every subject area, and while students were taught and assessed as part of that subject, the education they received also focused on broader skills such as critical thinking, learning to learn digital fluency and entrepreneurship. The principles that guide the new Finnish curriculum emphasizes the school as a learning community. Multidisciplinary learning is encouraged by asking students to complete one module per academic year that combines the content of different subjects under a selected umbrella theme and a module that provides a context for developing cross-functional competencies (OECD, 2018). In the end, students are encouraged to apply their knowledge and skills to real-world phenomena, to deepen their understanding by exploring relationships and interconnectivity between various phenomena and their own lives and the broader community.



Thus, consideration should be given to a common method for updating and consolidating skills nomenclature, skills clustering and skills definitions. Such a shift has the potential to establish a foundation for a more effective marketplace for upskilling and reskilling. Today, new efforts aimed at aligning skills taxonomies across labour markets are urgently needed.

Discussion and Conclusion

Automation and artificial intelligence (AI) are changing the nature of work. This article reviewed the literature on the impact of technology on the economy, business, and society, and presented new findings on the coming shifts in demand for workforce skills and how schools should themselves today and beyond, as people increasingly interact with machines in the workplace. Most of the research reviewed focused on the future of work in developed countries such as the United States and other European countries, more especially the OECD countries. The findings show that there are likely to be “winners” and “losers” by industry sector due to automation and AI. According to the reported health, scientific and technical services and education would see an increase.

Further, it has been reviewed that automation will accelerate the shift in required workforce skills we have seen over the past 15 years. The reviewed research findings show that the strongest growth in demand will be for technological skills, the smallest category today, which will rise by 55 per cent and by 2030 will represent 17 per cent of hours worked, up from 11 per cent in 2016. This surge will affect demand for basic digital skills as well as advanced technical skills such as programming. Demand for social and emotional skills such as leadership and managing others will rise by 24 per cent, to 22 per cent of hours worked. Demand for higher cognitive skills will grow moderately overall but will rise sharply for some of these skills, especially creativity.

Some skill categories will be less in demand. Basic cognitive skills, which include basic data input and processing, will decline by 15 per cent, falling to 14 per cent of hours worked from 18 per cent. Demand for physical and manual skills, which include general equipment operation, will also drop, by 14 per cent, but will remain the largest category of workforce skills in 2030 in many countries, accounting for 25 per cent of the total hours worked. Skill shifts will play out differently across sectors. Healthcare, for example, will see a rising need for physical skills, even as demand for them declines in manufacturing and other sectors.



Going forward there is a need for business leaders, educators and governments to be proactive in up-skilling and retraining people so everyone can benefit from the Fourth Industrial Revolution because change will not wait for us. So far, the debate on these transformations has been sharply polarized between those who foresee limitless new opportunities and those that foresee a massive dislocation of jobs. The Forum report concludes that the reality is likely to be highly specific to the industry, region and occupation in question and the ability of various stakeholders to successfully manage change. Thus, there is a need for complementing the focus on basic literacies with a focus on socio-emotional skills such as emotional intelligence, as well as skills such as active learning, complex problem-solving, inductive and deductive reasoning and digital fluency.

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Exploring Experience and Perception of International Student on Academic Culture of Metropolitan University in Turkey

Ferhan Hassen*

Abstract: The purposes of this research are to analysis the experiences, perception of international students on academic culture of non-international universities and its impact on academic performances in a natural setting and to understand how these universities academician handle the challenge of teaching-learning and evaluation process of international students. This study gave due attentions to international students' experiences, perception and academic culture challenge, because these variables has bi-directional impact, on students' academic performance and positioning of non-international universities. Thus, identifying and determining this variables role and its impact led to certain conclusion about non-international universities' academic culture. Specifically, this study tried to provide response to the following basic research questions. (1) What are the international student's perceptions regarding the Academic culture of Turkish metropolitan Universities? (2) What are the academic culture challenges, if any, that international students face in their academic life? (3) What are the challenges, if any, those international students' experiences in both their academic and social life? A research strategy that is used in this research is qualitative inductive, because the purpose is appropriate to qualitative inductive approach. Primary data were collected from international student using one-to-one in-depth interview and triangulations are made with local students and professors. The obtained data were analyzed by qualitative content analysis method. The empirical research finding indicated non-international universities academic culture need improvement and aligning its culture to the need of internationalization of higher education. The aim of internationalization of higher education among other is to attract qualified international students, competent academician, sharing of valuable experiences and knowledge among international students, professionals and native students, learn to live and work in a multi-cultural society. Further empirical research is recommended to diminish gap of less experienced university's academic culture.

Keywords: International Students, Academic Culture, Internationalization of Higher Education.

* Kocaeli University, Educational Science.
Contact: ferhanmohamed@yahoo.com



Background of the Study and Literature Review

One of the unique features of the academic organization is its ability of adapting, adjusting and fitting to the requirement of rapidly changing global. The academic organizations that are not able to change with the changing of globalization and rather prefer to stay stable generally viewed as stagnant. Globalization has forced academic organization to create academic culture that enhance and foster competitiveness, unrestrained scientific inquiry and academic freedom, critical thinking, innovation and creativity. Change in culture happen, because organizations realized old ways of doing and behaving do not work anymore (Trompenar & Turner) and take them nowhere. Studies related to organization success shows being merely equipped with high-tech machines, being financially strong, being talented concentrated organizations does not give guarantee for organization to be world class organization (Schein 1999). Due to tough competitions for academic organization, staying in the global market become the questions of survival and death. Creating culture of academic organization that fit the need of globalization is not the questions of if, rather it is the questions of when and how. Consequently, academic organizations are forced to rethink and reassess their basic values, beliefs and core assumption to succeed globally and made their motto “publish globally or perish locally”. Creating and disseminating knowledge and preparing professional for knowledge economy are their identity.

Government owned academic organizations are organizations that face the challenge of competition internally with the growing number of internationalized universities and externally with world class educational organization. According to Bartell (2003) organizational culture may foster or become obstacle to internalizations. Furthermore, Tierney (1988) elaborated and stated that the impact of organizational culture least understood in higher educations. Thus, if academic organizations culture is not to fit the internationalized higher education academic culture, other internationalized universities can take over it and universities that are not able to cope up will be forced to leave the market to the competitors.

Academic culture is the external manifest of the common values, spirits, behavior norms of people on campus who are pursuing and developing their study and research. This kind of culture can be embodied in the rules and regulations, behavior patterns and the material facilities. It mainly consists of academic outlooks, academic spirits, academic ethics and academic environments (Shen; Tian, 2012).



Today, with the aim of internationalizing universities, Turkish government is attracting through scholarship and other program international students. This program has long term and short-term effects on the socio-economic and political situation of the country. International students have economic as well as social benefit for the hosting country and universities. They act as ambassador which is opportunity in terms of public diplomacy and make valuable economic contributions to the host nation. To maximize the economic and social benefit, it is necessary for the universities to ensure academic culture that enable students meet the need of contemporary world of work.

Because of globalizations and internationalization, according to the United Nations Educational, Scientific and cultural Organizations (UNESCO) there are about 3.4 million international students studying abroad. Because of the economic development of developing countries this numbers are expected to increase. Some studies forecasted that this number will increase to approximately 8 million by 2020 (Organization for Economic and Development, 2008). Turkey had around 31,000 international students in 2002, after 12 years it reached to 54,000. The Turkish government is targeting to reach 200,000 international students in 2020. According to UNESCO report, Turkey is very keen to be on the top of 15 countries by 2020, when the international mobility reaches over 8 million. Turkish university have a total of 5,439,300 students, 54,000 of them are international student which is 1% of total. While the percentage reached 10% of many OECD countries (Source www.studyinturkey.com).

Academic culture necessitates academic collaboration which go beyond the nationally confined view, it also provides different analytical framework to discuss international academic activities beyond a national culture framework. Academic collaboration can be realized through satisfying intellectual desire to teach/learn or to know more by working together with other universities. Internationalized universities struggle to attract talented academicians and gifted students to become center of excellence and world class research focused universities. consequently, such universities are characterized by academic atmosphere of explorative spirit, critical spirit, cooperative spirit. Academic organization's culture can be understood and recognized by the rule and regulation of the university, behavior norms of the staff, material facilities, both tacit and explicit values and beliefs. Chen and Hefang (2005) defined academic culture as the external manifest of the common values, spirit, behavior of the people who are pursuing and developing their study.



Academic culture which is shaped by circumstances of academic activities and contentiously changing with global demand are central to successful universities education system. According to Shen and Tan:

Academic culture consists of four sub-cultures such as Academic outlook, academic spirit, academic ethics and academic environment. Academic outlook is concerned with the academic activities that are academic ontology, academic purpose, academic development and academic evaluation. Academic spirit deal with the explorative spirit, the innovative spirit, the critical spirit, the co-operative spirit, the tolerant spirit and the spirit of integration. Academic ethics focus on relationship between individuals, people and society and people and nature, norm of academic research, norm of criticism.

Intentionally or unintentionally universities create culture that distinguish them from others and become their way of doing thing and identity. This culture is the steppingstone to achieve universities vision. Dynamic nature of academics forced universities to continuously rethink and reassess their way of conducting academic activities. One way of doing this is by exploring the experiences and perception of stake holders about the academic culture of the universities.

For most of the international students, studying in international university is not the end goal by itself. They struggle to satisfy their intellectual curiosity by sharing their experience with local students, with their professors and others scholar which are found in other part of the world. In the age of information, academicians and student has to share experience, knowledge, skill and has to integrate either formally or informally.

According to Tinto (1975, 1998) students not only need to be totally occupied by their study in order to graduate; side by side they have to take part in student's culture in the immediate context of the learning environment. There should be the mechanism that enable international and local students share their experience, skills and knowledge so that they can create an intellectual atmosphere. Severien and Wolff (2008) studies show that student who have close and healthy relations with his fellow students and teachers and take part in different extracurricular activities has more chance of academic success.

Baker and Siryk (1999) found the impact of academic and social integration in the academic performances of students and identified four points in academic integrations.



These are academic adjustment, social adjustment, personal and emotional adjustment and attachment. "Academic adjustment refers to the degree of a student's success in coping with various educational demands such as motivation, application, performance and satisfaction with the academic environment. Social adjustment on the other hand describes how well students deal with the interpersonal-societal demands of a study, such as working in groups. The personal and emotional adjustment indicates the psychological and physical level of distress experienced while adapting to the academic way of life. Finally, attachment reflects the degree of commitment to the educational-institutional goals (Baker & Siryk, 1999).

The central focus of this research lies in understanding how non-international universities handle the challenge of teaching/learning process with international students and experiences and perception of students attending non-international universities.

The Purpose of the Study

Some education institution, in spite of being non-international university and not experienced to teach international students, accepts large number of international students. According to Daily Sabah newspaper report, 80% of international student in Turkey attend state university, while 20% of them in foundation (private) universities in the 2013-2014 academic year (published May 7, 2015). The purpose of the research is to analysis how non-international universities handle the challenge of teaching/learning process with international students and understand the experiences and perception of international students attending non-international universities in a natural setting.

Method

Case study focused research question "The how and the why" which is becoming its defining feature (Myers, 2009) provide an intensive, holistic description and analysis of situation in specific context (Marriam, 2009) such as describing individual and group behavior in its natural setting and the sequences of events in which the behavior take place (Stake, 2005). Additionally, according to Yin (2003) case study design should be taken into account when:(a) the focus of the study is to answer "how" and "why" questions; (b) you cannot manipulate the behavior of those involved in this study; (c) you want to cover contextual conditions because you believe they are relevant to the phenomenon under study; or (d) the boundaries are not



clear between the phenomenon and context. Exploratory nature of experiences and perception of students toward academic culture of non-international universities cannot be studied outside its natural setting.

Case study can contain either a single study or multiple studies. Single case study with embedded unit enable researcher to explore those sub-units that are located with larger cases (Yin, 2003) and helped researcher to have deeper understanding of the exploring subjects at the same time describe the existences of phenomena (Siggelkow, 2007). Thus, in this research single case study with embedded unit design (Yin, 2003) is applied to explore the experiences and perception of international students toward academic culture, its influence on the academic integration and mechanism how academicians are able to manage the challenge of teaching international student. Data was collected using semi-structured in-depth interview from eighteen international students, five academicians and five local students.

Data Collections Methods

Data collection methods chosen for the purpose of the study are conducting an in-depth interview with international students that are currently studying in non-international universities. Boyce and Neale (2006) stated in-depth interview as one of the qualitative strategies which involves conducting intensive interview with small number of respondents to explore their perspective on particular ideas, program or situations. Concerning the flexibility nature and rich data obtained through in-depth interview, Lofland and Lofland (1995) stated that, the type of data obtained are not rigidly structured, this feature pave ways for interviewee to talk and elaborate more on topic of discussion by explaining reasons, experiences, perception, underlying problem in such way the interviewer are able to get rich data that can be used in analysis.

Selecting Cases and Participants

Since there is no universally accepted model of internationalized university, in this research internationalized university is conceptualized as “Those universities whose focus partly global, know-how exploitation, creating values, media of instruction English, experienced teaching with international students, professors with multi-linguistic and know international language, libraries supplied with English text book, ranked among international universities”.



In Turkey there are internationalized universities and gain reputation over the world. Paradoxically these universities accepting small number of international students whereas, in spite of being non-international universities, accept large number of international students. In this research non-international universities that has strong national focus but less global network, use national language as media of instruction, emphasizes education and research rather than know-how exploitation and has large number of international students starting from graduate to post graduate program are selected among metropolitan universities of Turkey.

As for selection of sampling participants, in order to get diversified mixture of participants and enable researcher to capture experiences of target groups; maximum variation sampling techniques is applied. Accordingly, three target groups are identified, international students, local students and academicians. International students are divided in to three strata. The first strata consist participant with very similarity culture with Turkish, such as Turkic countries, the second strata consist participant with close cultural similarity, such as Arab country, third strata consist participant with different culture, such as Sub-Sahara Africa. From each stratum, six participants are randomly selected. As for the second and the third target group, five academicians and five local students with good English language are selected.

To be sure that the sampling reaches the point of saturation, additional participants from each stratum were selected. During the interview process no new point is raised. So, the researcher realized that the points of saturation are reached.

Results

The data obtained through in-depth interview is grouped into codes, category and theme. The categories were collated by three thematic areas in order to present the finding in coherent and systematic way. The main thematic areas are

Table 1. Code/ categories under each thematic area

Thematic areas	Code/ categories
Culture of integration	Language barrier and self confidence
Freshman; time of confusion, Frustration and challenge.	Losing hope/being stressed/ losing value
Culture of intellectual atmosphere	Critical and analytical thinking, memorization

Source: Microfit 5.0 (Author's computation)



Empirical finding with respect to the three thematic areas and major categories are presented and discussed in this section of the research.

International Student Experiences of Academic Culture

Based on the faculty they are studying reflected mixed views regarding experiences about academic culture of their universities. Their responses are collated under cultural experience.

Concerning the questions of international students' experiences regarding the academic culture, it was found that it differs according to point of view they consider it. Some students responded that not only in academic life but also, they have good relations in social life. A respondent described the situations as follow.

I think it is a deeply rooted culture of Turkish people as a whole, everywhere you go either to your professors, tutor or other office staff, all are willing to help you. I₅, I₁

I have very good advisor because of him I stayed here otherwise I already return back to my country. Because in the Master and PhD program the most important is advisor and I believe I can work with him. I⁴

Other students also responded regarding the cooperation of professors and stated that

My former Turkish language teacher when we come across, he asks me how everything is going on and he always says to me to call him any time if I have problem. I₆

There are also international students especially from social science institute explain what they perceive and feel about learning-teaching process in non-international universities in the reverse to the above. Some students feel this university not favorable destination for international students. One student expressed the attitude of his professor and stated that

Because of my poor Turkish he is always angry with me and finally said to me I don't want to be your advisor or tutor and look for another advisor/tutor. I₉

One interviewee also strengthens the above idea and shortly describes it as follow

Some lectures do not like International students. I₇



...If you speak in English, they take it as ... I₃

From day one of my class I started worrying, how should I survive with my poor Turkish and sometimes I want to quit the scholarship and go back to my country. Last year we were three who came here for PhD to Turkey, two of them were studying in Ankara; they quit and return back to their home. I₂
One day when we were inside the class with our professor, in the middle of our discussion he/she ask me where do I live and I told him/her that I live in the government dorm he/she said to me that the government gave you money, food, dorm... I₅

Concerning the relation between international students and Turkish students are presented as follow

I think non-international universities don't have good experiences in dealing with international students. For example, ... there is no favorable condition that support integrations among students of different background and experience... I₉

In relation to the issue of integration, one of the Turkish students stated that
In fact, the integration of Turkish students with international students is very low. I think the main reasons are the communication barrier. Speaking foreign language is not easy, it gives you little bit stress, so no one wants to go out of comfort zone and feel troubled. The same thing is true for foreign students also, they think they are not good in Turkish language and they don't want to join us. I_{T1}, I_{T2}, I_{T9}

The practical experiences and observations of the integration problem are also pointed out by Turkish professors

When I enter class to teach my students, all international students are at one side and the Turkish students are at another side...International students they don't ask or seek advice or help this are their problem. L1

One of the post graduate students explained his observations of academic culture and stated

International perspectives are valued, it is through debates and discussion that academic knowledge develops, your experiences matter in post graduate program here in this University you cannot find this kind of intellectual climate. I₉

The respondent further elaborated and stated the reasons for the problem



The first and perhaps the most important is to share experiences, to debate topics, and discuss idea is to have common language that everyone understands it well. The second thing is that there is no opportunity for students to come together. For instances like studying common room inside the faculty... This University is like a “Tourism Park” the view is very beautiful and attractive that is beauty of eye, but you cannot find beauty of mind...this university is more appropriate for tourism than education. I₉

Other interviewee explained his experience and stated that

Last year when I was studying language I encouraged other friends in my country to apply to Turkish scholarship but after I started my main academic courses my experiences changed and after this I will not encourage to come here ...why... there is no other reasons just absence of intellectual atmosphere. I₈

The other respondent said that

I will not encourage international students to apply to this university, but to apply to the universities that are internationalized, because these universities has not English programs and lack other aspect of internationalized universities. I₉ I₁

Related to educational quality one respondent experiences are presented as follow

I expected the education programs that will be all rounded and will prepare me to the world wide, what I find in reality is that in this university knowledge and skills are confined only to Turkish issues and geography, All we learn is about Turkish issues, no discussion points on international issues.... You see always the same people setting together and discussing...You will not see Turkish students integrated with international students and vice versa.....being open minded for multi culture are important for international and local students. I₄

It is clear from the above response of interviewee that student have mixed feeling and experience about academic culture of non-international universities. There are issues that are acknowledged by international students as supportive for their academic as well as they suggested the existence of issues that need attention for improvement of teaching/learning process related to international students.



International Student's Perception on Academic Culture

Concerning the cultural challenges, even though international students mentioned different points based on their familiarity with Turkish culture. For instance, students who came from Turkic countries, there is no problem with media of instruction and integration. For students from Arab and sub-Saharan countries they have problem of understanding subject matter and integration. Generally, their responses suggest international students from Arab and sub-Sahara countries, quality of education are the challenge they face in non-international universities.

The responses from students that illustrate these points are collated as follow

I am PhD student in computer engineering, but our class is more of theoretical, the laboratory is not well equipped, there is no enough material for practical training. I asked my senior students how you studied in this situation, he said it only simulation no practical and as a result you will not get real experiences, but the market wants only practitioners not theorist. I₁

Other international student has opposite idea

Our laboratory is equipped, every equipment you need is there, but the problem we face is it is little bit difficult for international students to go to laboratory and try what you have learned in the class. To put it in plain English we are not free as local students. I₇

One respondent also commented on the situation and said as follow

...For instances, we have sometimes course project that we should work on, during this time we are required to buy the material for the projects by ourselves. I₃

Since postgraduate international students are coming from different education system, some respondents also mentioned the skill gap as challenge. For instances, some courses they take has connection with their first degree program or to their post graduate program but this courses are not familiar to international students as a result there will be gap between the natives and international students which affected their performances. Their responses to the skill gap differences are presented below.

In our circumstances where students of different education backgrounds and training come together, might have the difficulty of understanding few courses because our professors assume that we have taken the courses in our post graduate program so that they did not pay due attentions to the



basic concept or issues of the subject matter. As a result, some of us will get lost in the middle of the oceans. I₇ I₁₀

In relation to this idea a respondent said

In our team project works, local students work together, and international students works together that means we did not mix together, this situation make us not to learn from each other, not to share our experiences between ourselves so that we can minimizes the skill gap. I₅

Most of the international student's challenges are many in comparison to other local students. One of respondents described it as follow

International students have to work hard because their problems are many. For instances, if other students (native students) worked 100%, we have to work 200%. Especially during your first-year semesters, you only enter the class and go out without understanding any points made by your professors, even sometimes he gave assignment, but you have no idea about it, this much challenge is there. Therefore, international students have to look for different options to learn and cope up the challenges such as Youtube or another e-learning system. I₃, I₅

Few of the respondents are asked how they are solving the challenges they face and responded as follow

As postgraduate students I personally prefer student center pedagogy, de-emphasize memorization and pay attentions to critical thinking and analysis because critical thinking and analysis are valued by most professors, but the situation does not allow me to do that I mean language and I am always rushing to cover the topics. I₁₀

The problem with us, we don't ask our professors or our classmate what we don't understand, we afraid to offer our opinion and idea... I₉

As a postgraduate student, you have to develop yourself theoretically and practically, so for better understanding of the subject matter I most of the time read English written materials but my exam is in Turkish. During my exam things gets upside down. Thanks to some professors they understand our situations; they give us home taken exam so that we survive. I₇

Similar points are stated by other respondents

...In my faculty our teacher prepares the exam in both languages, for international students in English and for local students in Turkish... our professors help as in this way. I₁



A respondent explained the double challenges of students and said

Here as international students, you face double challenges one is the course itself in general which is common to all students whether native or international students and in addition to this there is language challenges for international students. There for, there is no doubt if I win scholarship in other country I well go because they have much to offer for doctorate students. I₉

In scholarship what is most important is not the money you get that is not the purpose, the most important is quality knowledge and skill you get, we are here to develop ourselves. So, if you are not able to benefit from the scholarship, what is the meaning of being here...If I win scholarship that is better than this one, I will go there. I₁ I₅

Other respondent has opposite idea

...If I get the chance of scholarship, I will not go, I will try to finish where I started, because I am getting old and I don't want to waste my time. I₂

Most of the international student's assessment of their responses can be described as challenges related to teaching-learning process and struggle to solve the problems through different means like internet. Generally speaking, the challenges of international students can be related to the quality issue, which is emanated from the nature of the academic culture of media of instructions of non-international universities.

The responses of some interviewees are presented as follow

As postgraduate students it is expected a lot from you such as to talk a lot based on your experiences, to read a lot about a given topic, to present your presentations scholarly but the language become obstacle to express your view, to comment on an issues and present your assignment in an interesting ways. If I did mistake, some of professors may consider you as stupid students. I remember in my first year first semester my professor said to me after this don't take any courses from me, it is really heart-breaking moment and I will never forget that moment. I paid heavy price for not participating inside the class like my local friends and others who are familiar with language very well. I₁₀

...The only thing I have been hopping in my life was educations... Sometimes I feel as I am hopeless and despaired... ask myself I am this much stupid... I was good student in my country I learned here what failing in exam



means because if you didn't understand the questions, you will never do it. Understanding the question properly is as you have solved 50% of it. I₈

Other respondents described their experiences in this way

I go to class only for attendances, there is nothing I benefited from it. It is self-teaching experiences. Hopeless that is what I feel here in this university especially in my first two semesters. But now things are getting better that is the positive side. I₆

In my department our professors understand our situations very well, they are so helpful. Additionally, my local classmates are so helpful, they help me anytime I need help. Those professors who know English language allow as writing and reading in English. I₇

Some respondents explained the problem with international students as follow

I think there could be professors who is not comfortable with us because some of us are not properly carrying out our responsibility. For instances, we are not doing assignments, we want to write in English and the professors are not allowing us...As a result we feel we are not treated fairly in comparison to other students. I₈

One of the respondents forwarded his suggestions to international students in the following short and precise explanation

There is what we call opportunity cost, when you decided to come here, there are things you scarified that you have been getting when you were in your country. So, you don't have to loss two things... stop always thinking about problems just invest your time on focusing how to tackle it... no one will expect you to be perfect... struggle as much as possible to get the best... I think that is the best thing that we have to do. I₅

Concerning social life experiences with community outside school, almost all international students have identical view. The respondents described the relation with the community most interesting and fascinating. One of the respondents illustrated these points.

I did my master's degree in China and currently I am doing my PhD here in this university, here my experience of social life is I can say with full heart that I feel included. I₁

Some students go further and stated that

When you study in abroad, you will come across diversity of culture, which means you have the chances of familiarizing with international community,



participate in different social programs. You can take this university as mini global, so I have interesting experiences and positive perception here in this university. I₅

Most of the interviewees have common experiences in their academic and social life activities. The first years is characterized by full of challenge and on the other side the social life is characterized by full of joy and wonderful time. One of the aims of internationalization of education is to prepare students to adopt and work in multi-cultural environment. The international students in this city are participating in different social activities that are prepared by city's municipality and students benefited from it.

Concerning how professors handle the challenge of teaching and evaluating international students, the responses differ. Some explain the process as follow.

In my master class there are six international students and some of them are good at speaking but poor in writing while some neither good at writing nor at speaking, so I face challenge in teaching learning process. L₃, L₁

Concerning the evaluation of students, I give them most assignments and home taken exam, but they are expected to write it in Turkish.

Other professor who know English, explained the situation in the following manner

The teaching materials are in English and for those who know English no problem, the problem is with those who doesn't know English. L₄

During exam time I will prepare the exam in both language, Turkish and English. L₄

During evaluation time I will try to help them, but sometimes it will be above tolerance point. I₅

Analysis of Empirical Results

In order to have deep insight of the experiences and perception of international students, this section analysis and synthesis the empirical results that are obtained through in-depth interview. The analysis was conducted by relating empirical results with relevant theories that are related to academic culture.

Organizational culture specialist emphasized the importance of taking in to consideration organizations culture as one of critical aspect of organization (Schein, Trampenaar & Hampden Turned). Recently scholars have begun to recognize the importance of culture and climate in the management of organizational performance and research result shows that organizational performance is strongly correlated



with organizational culture and climate. Competitiveness is possible by establishing internationalized universities with required academic culture. Hatch (1993), explained organization identities and stated, “identity takes into considerations the way we define and experiences ourselves and this is directly influenced by our activities, values and beliefs which are justified by tacit cultural assumptions”.

In responses to the research questions regarding academic culture of the non-international universities, the research shows mixed results. It differs from institution to institution. Most of the natural sciences institution students have good experience to non-international universities academic culture. They found it most of their professors cooperative, helpful, friendly, open for cultural diversity and value equal opportunity and Turkish language is not that much necessary. From the results it can be inferred that the power distances between international students and their professors are very small. On the other hand, students must of them from social sciences institution are not satisfied with the academic culture of their institution. They are not happy with the attitude of some professors toward the international students and power distance is wide.

Culture is inferred from the academic activities, material facilities, infrastructure, values and beliefs that are demonstrated by member of the universities, quality of education, research activities and its contributions to international community and so on. Who we are reflected in what we are doing and how other interpret who we are and what we are doing (Hatch & Schultz, 1997).

Thus, different variable plays important role for universities image among international students. Since, result suggests that international student’s experience and perception matter in the internationalization of universities and position of universities in global market, it is the coordinated effort and active involvement of concerned bodies can bring overall change on academic culture of non-international universities.

According to responses of interviewees, cultural challenge faced by international students varies from students to student. What is challenge for one student may not be challenge for other. The most common challenge for students in non-international universities is challenge of language fluency, absence of intellectual atmosphere, absence of English text book, integration, attitude, quality education. It is clear that challenge tends to cause stress to students. As Trompenaar and Hampden Turner (2006) defined stress as a reaction to challenging stimulus which is considered to be a cause either to fight or flight responses. Results shows most of the international students has the feeling of being not well qualified in their profession. Because in



order to understand and digest the subject matter in most effective and efficient way above all being fluent with the media of instruction is necessary, participating in different academic program. It is hard to believe that to master foreign language within short period of time and do your post graduate degree, especially for social science students. Other challenge which emphasized is related to culture of integration and collaboration between international student and local students. Research revealed that collaborative and integrative culture leads to higher level of trust and respect among colleagues, better outcome for all students (Fisher & Frey, 2003), organization culture characterized by openness will facilitate the integrations of individual knowledge, skill and experiences through learning and sharing process (Gupta, lyre & Aronson, 2000), Sveiby and Simon suggested culture of collaborations and integrations must be incorporated in to organizational culture for successful practice.

Research results suggest that students (local and international) want to be integrated and share their experiences between themselves but there is no such opportunity in the universities. Schein explain the circumstances in the following ways:

At the core of every culture is assumption about the proper way for individual to relate to each other's in order to make the group safe, comfortable and productive (Schien, p.178).

Sveiby and Simon focus this culture on values, believes and assumptions that influences the behavior and willingness to share experience, skill and knowledge (p.421).

In this regard non-international universities are expected to have short- and long-term strategic plan to transform from non-international to international universities, if they want to compete in global market.

Conclusion

1. Changing experience and perception of students require improving non-international university academic culture to new perspective. The significances of changing perception are that it will change international students feeling, emotions and motivate them to face challenges of academic life.
2. In non-international universities, there is limited opportunity among post graduate students to come together and share valuable experience, skill and knowledge. This contributed to some extent for local and international students not to integrate, collaborate, seek help



from each other, and learn from each other so that they can fill their skill gap.

3. Among other media of instruction is the main factor that is affecting the motive and performances of international students. The Turkish preparatory program which narrowly focused on social life language is not able to prepare students for academic life.
4. There are no efforts to internationalize or link the topic or the course that are discussed in the class to international issues. These conditions limited the contribution of international students to the topic of discussion inside the class and preferred to keep silent must of the time.
5. A non-internationalized university has limited potential for preparing international students to knowledge economy.
6. Professors uses different mechanism to handle the challenge of teaching and evaluation of international students.

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The Impact of Gender Differences on Children's Rhythmic Sense Development

Nour Ben Hamadi*

Abstract: Is the sense of rhythm more developed in the child of male gender rather than in the child of female one? Or is it on an equal level for the two genders of the same age? It is remarkable, that the male figure preponderates over the musical rhythmic practice, which feeds (wrongly or rightly) the stereotyped representation of a male predisposition for rhythmic performances. The debate over the gender differences in children's education is not a recent one and it is still ongoing. In fact, it gave rise to the differential psychology that subsequently revolutionized the field of cognitive psychology by addressing significant gender differences and justifying gender schema theory. This research was intended to decide whether girls and boys were different with regard to their rhythmic sense development. An experiment was carried out. The sample in this study was selected from two nursery schools in Tunis (Tunisia) and involved 75 children: 27 boys and 48 girls, aged from 3 to 11 years. Two traditional musical rhythms (*khatm* and *dkhul barawil*) were chosen from amongst all Tunisian rhythms available, according to didactical criteria. The experiment was then based on two steps: (1) children's ability to memorize musical rhythms and (2) their ability to reproduce them. The results of the computed Chi-Squares showed that child's gender has an impact on the rhythmic sense development. At the same age, girls outperformed boys in reproducing the musical rhythm *khatm*. The findings of the study do confirm gender difference theory regarding children's rhythmic sense development, at least in the area and the corpus examined in this research.

Keywords: Gender Differences, Childhood, Rhythm, Rhythmic Sense, Child Development.

* Tunis University, Educational Science, Research Laboratory in Culture, Modern Technologies and Development, PhD Program.
Contact: nour.bh.bh@gmail.com



The Impact of Gender Differences on Children's Rhythmic Sense Development

Nature has produced two distinct genders: the male and the female, and boys and girls are fundamentally different until proven otherwise. While some dissimilarities like physical differences are obvious, some of them like psychological and cognitive differences are controversial. As a matter of fact, human society has always shown a “spontaneous” gender distinction in social roles and duties, without giving any scientific arguments unless the physical structure. These facts reveal the interaction between anatomic status and social reality, and it poses the etymological dilemma of sex and gender. The term sex conveys an anatomic meaning while the term gender refers to social issues based on the sex of the person (American Psychological Association [APA], 2015). It is only during the last decades of the 20th century that psychological and social researches shed light on how different are male and female in their cognitive abilities (Hyde, 1981; Maccoby & Jacklin, 1974), their biological structures (Blum, 1998) and their behavior evolution (Eagly & Wood, 1999). On that account, gender schema theory (Bem, 1981) appeared and explained the role of the society in maintaining and transmitting sex-linked characteristics between individuals of a culture. This gendering process has had an impact on the education domain, social roles and employment.

More recently, scholars continue to bring up new evidences about gender differences, based on neuroscience progress. Halpern and colleagues (2007) found that females fare better in verbal abilities while males achieve better in terms of quantitative and visuospatial ability. Moreover, research by Malina, Bouchard and Bar (2004) underlined the physiological difference between the two genders and emphasized its relation with the motor performance.

In terms of music, according to classical musical repertoires and music anthropology, musical practice have been a male dominated space while female’s musical practice has remained marginal for quite a long time. It is only in the past few decades that ethnomusicological and anthropological researches have emphasized women’s role in music and defined gender differences as one of the main factors shaping musical behavior and related concepts all over the world (Cook & Tsou, 1994; Citron, 1993; Herndon & Ziegler, 1990; Koskoff, 1987).

Music education is also at the heart of the gender differences controversy because it brings together the sensorimotor factor and the social one. If we look at



our educational experience with children in musical institutions in Tunis (Tunisia), we notice that boys and girls do differ on choosing a musical instrument to practice and play music. As a music teacher, I have heard several times a parent or a colleague asking if this or that instrument “is suitable” or not for a girl/ a boy. Furthermore, the most interesting case is that the number of boys practicing percussion instruments largely exceeds that of girls. This suggests that boys have better rhythmic skills than girls. Thus, we came up with the idea that boys and girls vary in the rhythmic ability and subsequently in their rhythmic sense evolution. In this context, the present paper aims to underline the truth about gender differences in children’s rhythmic sense development, far from the clichés that parents and teaching staff continue to uphold in defiance of all scientific evidences.

In Tunisia, the gender factor does not have any theoretical framework in music teaching and learning researches although gender leanings do exist in current musical practice as we mentioned before. In response to this lack, the present paper tries to answer a set of relevant questions. First, does musical rhythmic performances vary or not depending on child’s gender? If so, how does this affect the rhythmic sense development? Having acknowledged these elements, a fundamental question is how the answers can be used to improve music teaching and learning situation. These guidelines define the main parts of this paper. The first part offers the theoretical background for rhythmic sense concept definition. The concept of the rhythmic sense in music is linked to the dilemma of the innate (predisposition) and the acquired (learning) which offers a wider perspective on gender topic. On this basis, an experimental methodology is considered, based on two cognitive tasks: memorization and reproduction. The second part of the paper presents the findings of the experimental work. Also, the aim of this research is to offer a general view of a child’s rhythmic sense development in music. The findings should serve to better understand the role and current weight of the gender factor as a considerable component of musical practice, learning, and teaching situation.

Methods

In order to offer a clear methodology for our work, we should first examine the basic rhythmic concepts in music and their corresponding relevant theories, which will then lead us to understanding the cognitive process of the rhythmic sense development in children.



Definitions: Rhythm and Sense of Rhythm

Rhythm: In its general sense, rhythm means a regular division in time (Dalcroze, 1920). It is the main manifestation of life as it is eminently related to physiology and physics. Rhythm characterizes daily life, starting from obvious aspects like breathing, walking and heart pulses and arriving at complex phenomena such as the motion of the moon and earth's rotation. In music, rhythm concept is fundamental as well. It implies the organization of musical elements (sounds and silence) in time by setting up a regular pattern (Thaut, 2013). This intrinsic hierarchical arrangement determines the essence of the musical message. By varying tempo and alternating strong and weak beats, music expresses different impulses and induces sensory and/or motor excitations (Koen, Lloyd, & Barz, 2011).

The Sense of Rhythm in Music: Known timing as well (Lahaix, 2018), the sense of rhythm is sensitivity to musical rhythms. It refers to the ability of perceiving and understanding the regularity inside musical rhythmic structures with regard to duration, tempo, and intensity (Thackray, 1969). Indeed, perception and mental treatment of rhythmical elements imply a cognitive process including the faculty of memorization and (re)production (Levitin, Grahn, & London, 2018). First, we perceive all rhythmic elements then we memorize them so that we could reproduce them. Memorization process entails repetition and sensorimotor functions. Leman and Maes (2015) propound the embodied music cognition concept. Embodied cognition is the reciprocal interaction between body movements and musical ones, which improves greatly rhythm perception. Furthermore, research by Coull and Nobre (2008) distinguishes two kinds of timing perception, the implicit and the explicit perception of rhythm. The implicit rhythm perception happens when one acquires the rhythm without motor involvement and does not require the consciousness of the rhythmic act. This is what happen when singing for instance, while the explicit rhythm perception involves materialization and consciousness.

Regarding rhythm reproduction, we can differentiate two kinds of it relevant to the previous classification, the implicit reproduction and the explicit reproduction of rhythm. The implicit rhythm reproduction is the ability to keep regular divisions of time while singing, dancing or simply clapping hands. It is easier than the explicit rhythm reproduction since it mainly depends on mental abilities, thus we find it among the common people. Whereas the explicit



rhythm reproduction is when we can play the rhythm with hands or music instruments. It involves both mental and motor abilities and necessitates higher level of coordination and synchronization, and therefore it usually requires a minimum of training.

Goodkin (1998) sustains that the rhythmic sense is an innate potential within every child, which evolves while the child grows, following a developmental process. The quality of each child rhythmic sense development depends on external factors such as sound environment, cultural background and learning process (Ilari, 2015). The evolution of rhythmic sense process will then determine the level of sensitivity and explain why one child is rhythmically doing better than another one. But what about the innate potential? What if it was not shared equally among individuals? What if it differs according to whether we are male or female? It is within such a framework that we can possibly understand the question of children's rhythmic sense development in musical context and bring up the factors that have an impact on this process.

Knowing better about the development of the sense of rhythm can greatly enhance not only the music-learning climate but also the whole child's development.

Hypothesis

In light of the theoretical framework, we suggest that rhythmic performances differ according to gender and that the children's rhythmic sense develops differently whether they are boys or girls. In the study reported here, we set out to look at this question from the experimental way. That is, we carried out tests targeting the implicit timing. The experiment was in a classroom situation where children had to learn new songs and to sing them from memory. The results were then discussed taking into account gender groups.

Participants

The study was conducted on 75 Tunisian children aged 3 to 11 years: 48 girls and 27 boys. Participants were recruited from two nursery schools in Tunis (Tunisia). The children were enrolled in public preschool and school programs and none of them had any intellectual or sensorimotor impairments. Subjects were divided into 5 mixed-gender groups. From then on they had singing lessons after which they underwent a timing test that evaluated their rhythmic performances.



Material

When dealing with children and introducing music elements to them, it is important to use materials that, on the one hand, elicit their interest, and recall their cultural background, on the other (Garcia Conesa & Juan Rubio, 2015). Singing proffer such a learning tool. Indeed, the vocal activity provides a good insight into the rhythmic element, since it allows both kind of perception and reproduction related to timing concept. Therefore, we set up a method of evaluating the musical sense of rhythm in children based on singing. Two basic musical rhythms from Tunisian classical music repertory (1) *khatm* and (2) *dkhul barawil* were chosen. These musical rhythms are commonly used in Tunisian music. Furthermore, according to our personal teaching experience, children do not have difficulties in learning them.



Figure 1. (1) *Khatm*'s pattern (binary form)

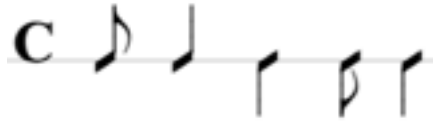


Figure 2. (2) *dkhul barawil*'s pattern

The songs needed to be selected carefully to compliment the rhythmic target. According to Curtain and Dahlberg (2004), there is a number of considerations to be made when choosing songs. Among them, we applied the main criteria that match our purpose: the melodic range also called ambitus, the metrical verse, and the lyrics. First, songs' melodies must be simple and fit vocal range of children called tessituras. Second, when musical meters suits metrical verse, singing becomes easier and memorization is better. Third, the lyrics of songs have to mean something for children and propound positive topics. Two songs were then chosen (a) *Al-ṣṣabāḥ nāṣir 'alāmu* [First light of the morning] and (b) *Qum bākira-al-aṣbāḥ* [Wake up early in the morning] (see Appendix A for songs' musical scores).

Procedure

The present paper is based upon the evaluation of children's rhythmic performances in a classroom situation. The experiment was designed to test the abilities of boys and same-aged girls to memorize and reproduce musical rhythms while singing. The experimental research lasted two weeks. It was carried out in a private musical institution in Tunis (Tunisia). Once weekly, each group of children attended a singing lesson through which they learned the selected songs one by one. An



experienced and qualified music teacher provided these lessons. The experiment management methodology offered the same learning conditions to all children and proceeded by steps.

Step 1. Implicit rhythm perception and reproduction. During this phase, no rhythmic activities were announced. It is all about acquiring rhythmic elements without being “conscious” of them. Concretely, the teacher sang the entire song with melodic instrumental accompaniment. Thereafter he explained its topic and the new vocabulary to children. After that, the teacher sang individually one line at a time and asked to the children to sing it back. Every line is practiced several times until the children memorized all the lines and sang the entire song independently.

Step 2. Explicit rhythm perception and reproduction. At this point, rhythmic activities were introduced to children. The teacher added rhythmic accompaniment while singing such as clapping, foot stamping, and hand shuffling, and had the children imitate his movements.

Step 3. Timing test. Once the song was memorized, children were invited to sing individually the entire song and all performances were videotaped.

Step 4. Timing test evaluation. Every single performance of each child was analyzed according to the rhythmic elements. Duration, tempo, and intensity were particularly supervised. Two music teachers scored the rhythmic performances as per the marking scale from 0 to 10. Chi2 test was then used for the evaluation of the data according to child's gender as a covariate. So that the outcome of this test was compared to the threshold $P (<0.05)$ to decide if gender differences had impact or not on rhythmic achievement.

Results

The present study is an attempt to unfold the intricacies of the development of the rhythmic sense in children developing insights into the cognitive process of rhythm memorization and (re)production. A fundamental point here is that the gender differences are to be understood as an important factor of the rhythmic developing process. Accordingly, the timing test pointed out three major elements duration, tempo, and intensity, which are material and easily quantifiable.

The rhythm memorization process based on singing activity as reported in the experiment methodology of this study implied sensorimotor perception, mental sorting, organization of the different musical elements, and storage. The effi-



ciency of the memorization phase was palpable and appreciable when it was time to reproduce the song. A successful rhythmic reproduction consisted in replicating the same relative durations of tones of the original songs. It also referred to the ability of the child to keep a regular tempo from the beginning of his performance until the end. Moreover, the child had to stress particular beats by modulating his voice, which clearly reflected the extent to which he assimilated the given pattern of rhythmic durations.

During singing lessons, children did not show any rhythmic impairment when singing with each other. This appears to be the case of effective interaction within the group. Children with lack of memory imitated those who did well (Williamson, Meltzoff, & Markman, 2008). It was at solo singing that individual differences appeared. As it is generally agreed, being the center of the attention and facing alone the test conditions influence someone's psychological state. This is why some children felt pressure and stressed, while other just enjoyed it. Certainly, the manner of each child of dealing with such situation, in addition of his own cognitive processing conditioned strongly his singing performances.

All the criteria detailed before guided the evaluators in assigning the marks that offered a pragmatic data for the statistical analysis. The outcomes allow us to conclude about the gender differences in musical rhythmic skills.

Impact of Gender on Memorizing and Reproducing Rhythm (1) of the Song (a)

We used an initial Chi-square (X²) test to demonstrate if there were significant correlation between the timing abilities when singing the song (a) and children's gender. Table 1 indicates the test's result.

Table 1. Chi-Square Test of the Impact of Gender on Memorizing and Reproducing Rhythm (1) of the Song (a)

	Value	df	(Asymp. Sig. (2-sided
Pearson Chi-Square	25,042 ^a	15	,049
Likelihood Ratio	27,888	15	,022
N of Valid Cases	70		

The test above stated a significant difference between boys and girls ($P < 0.05$). By an average of 7, girls outperformed boys of the same age in timing test. Girls consistently scored higher in memorizing and reproducing rhythm (1) and singing the song (a), while boys scored 4 on average. On that account, females succeeded in mastering the specific pattern of the rhythm *khatm* (1) better than their male peers. This initial finding suggests that timing abilities related to rhythm (1) are more developed in girls than boys of the same age. It should come as a surprise that results found that girls performed significantly better in rhythmic skills than boys. This “surprising” conclusion challenged already the educational reality of the music in Tunisia by presenting a valid argument for why it is important to focus on gender differences in musicological researches. The female advantage is otherwise not absolute. In fact, further correlations with other musical rhythm was valuable.

Impact of Gender on Memorizing and Reproducing Rhythm (2) of the Song (b)

A second Chi-square test was done to determine whether children's gender had influenced the memorization and the reproduction of the rhythm *dkhul barawil* when singing the song (b).

Table 2. Chi-Square Test of the Impact of Gender on Memorizing and Reproducing Rhythm (2) of the Song (b)

	Value	df	(Asymp. Sig. (2-sided
Pearson Chi-Square	24,961a	15	,050
Likelihood Ratio	29,606	15	,013
N of Valid Cases	61		

According to the test results, no significant correlation was found between timing abilities on rhythm (2) and the song (b), and children's gender. This time, girls are as likely as same-aged boys to memorize and reproduce the rhythm (2) while singing the song (b). The average test score was 4.86. Compared to the previous test, the present one states that dealing with the new rhythm was not that simple for all children. Girls, which performed well with rhythm (1), were not all that good when executing rhythm (2). These results strongly suggest that rhythmic cognitive process on rhythms (1) and (2) differ in terms of memorization and



reproduction. In reference of these mental processes, we would tend to think that rhythm (2) acquisition process is more complicated and it recommends further cognitive tasks compared to rhythm (1) mechanism. Besides these elements, admitting that rhythmic development in children goes through a series of cognitive processes and evolves in stages (Goodkin, 1998), it is possible to state that rhythmic abilities related to rhythm (1) mature before those related to rhythm (2). By the same token, it appears that 3-to 11-year-old children, both genders, have not reached yet the stage of cognitive maturity allowing discrimination of rhythm (2).

The underachievement of children in memorizing and reproducing rhythm (2) can be related to the complexity of its pattern compared to rhythm (1). In fact, the rhythm (2) pattern has recurring groups of 5 beats while rhythm (1) have groups of only 2 beats. On the other hand, in the rhythm *khatm* (1), the regular pulse synchronizes with the stressed and unstressed beats. Whereas the rhythm *dkhul barawil* (2) is a syncopated pattern, where accents do not synchronize with the beat. Such rhythmic performances implies practice and training to be well executed and the children were all novice music learners.

According to the first timing test, girls outperformed boys in memorizing and reproducing rhythm (1). However, the second test did not reveal any significant difference in rhythm (2) timing between boys and girls. What these results imply is that, in spite of the negative result, the rhythmic sense is more developed in girls. A further finding is that every rhythmic performance require a specific cognitive stage depending on rhythm pattern. As for the rhythm (2), until the age of 11, the cognitive faculties relative to the discrimination of its pattern in girls are not mature. Together, the present findings confirm the existence of the gender gap in rhythmic performances favouring girls and states that the rhythmic sense develop according to children's gender, age and the nature of the rhythm.

Discussion

This study is the first to provide evidence of the impact of children's gender among rhythmic skills in Tunisian children aged 3 to 11 years. The experiment results have consistently revealed new insights into the rhythmic sense development and confirmed the impact of gender differences on rhythmic achievement by showing the outperformance of girls in timing tests- particularly in memorizing and reproducing the rhythm *khatm* (1). Tackling underperformance among boys requires at first referring to the mental activities of rhythmic perception and (re)production.



It is within the analysis of the cognitive process that we can acknowledge the ability of discerning musical rhythmic patterns and the processing stages as reported in Piaget's works (1946/ 1973). This introduces a possible divergence in rhythmic stages evolution suggesting that, at the same age, girls' and boys' rhythmic development follows non-synchronized maturational rhythmic paths. This finding is in line with previous evidences in time concepts development in children that define musical rhythmic sense development as an individual process and emphasizes the role of the social elements-the gender element particularly (Stambak, 1951).

Both of gender groups underachieved in the second test. This raises concerns about the nature of the rhythm, which can be addressed by the differentiation of two level of difficulty in musical rhythms discrimination according to their pattern. On the one hand, we distinguish rhythms with patterns that coincide with the beat like rhythm (1) and that are easier to memorize and reproduce. On the other hand, we find a more challenging type of rhythms. Complex rhythms with offbeat patterns such as rhythm (2) pattern wherein the note is held out across multiple beats (Arom, 1984). It is noteworthy to mention that Tunisian rhythmic repertoire is very wide. Future tests should examine other musical rhythms to strengthen our findings.

The high-achieving girls in memorizing and reproducing rhythm (1) scored lower points on the second test. What emerges from the analysis of this outcome suggests that until the age of 11, the rhythmic sense is "immature". The child is unable to discern flawlessly the complexity into musical rhythms. This finding is consistent with research showing that rhythmic sense matures while growing up. Hannon and Johnson (2005) reported that, at an early age, infants can discriminate simple rhythm patterns. Likewise, Drake (1993) showed that, by age of 7, children can reproduce very short rhythms. Similarly, Corrigall and Schellenberg (2015) demonstrated that, as children grow up and move through the school years, they become more sensitive to different musical aspects of their culture. Future studies should test rhythmic sense development in older children to better understand its developmental trajectory. Together, the present findings become more important, as they show that in addition to the gender factor, the rhythmic achievement involves two additional elements: the intrinsic temporal division of the rhythm itself and the children's age.

However, we acknowledge that the dilemma of innate or acquired in rhythmic achievement remains unclear, since we are unable to confirm if males and females are born with different rhythmic abilities or if the natural skills are equal at the



birth and develop differently depending upon aging and gendering process. Nonetheless, we believe that a constructivist model of rhythmic achievement based on an active process of knowledge construction is well justified (Piaget, 1956). Children are born with rhythmic skills- that may differ from one child to another, but it is all about how this native potential evolves according to different factors (Schellenberg and Weiss, 2013). In fact, the present study focused on gender differences' impact but further investigations targeting other social elements like age, social class, schooling and cultural environment need to be conducted as well.

One concern about the experimental methodology was that it relied on the vocal activity of singing. Thus, the dynamic of the rhythmic component largely depended on a melodic context, which undeniably influenced in turn the cognitive process of rhythm perception and production. Other tests pointing out exclusively the rhythmic component like testing the spontaneous tempo of the child or its ability of reproducing rhythmic structures, as proposed by Stambak (1951) may bring new perspectives about the rhythmic sense development. In addition, our experimental tests only examined the implicit timing. The explicit timing, which involves motor skills and higher level of coordination and synchronization, as we mentioned above, was avoided in order to ease the tasks to children.

It is also important to highlight the subjectivity that characterizes the test scoring system. Even if same general rules and recommendations about the evaluation of the rhythmic performances were given to evaluators, a marge of personal taste and opinions due to the cultural background and professional experience of each one of them may have influenced the test score. This is why the larger the number of evaluator is, the more objective results we get.

This paper investigated gender differences in rhythmic sense development. The evidence emerging from the experimental protocol is that girls are more likely than boys in terms of rhythmic achievement. However, for all the methodological limits discussed above, we cannot generalize our findings. Gender differences has an impact on rhythmic performances in Tunisian children aged 3-11, in the area and the corpus inspected in this study. Besides of gender element, factors like age and rhythm nature helped to explain gender gap in timing performances. In spite of these findings that give advantage to one gender over another, it is important to point out that this paper does not aim to going through sexist (here feminist) debate that advantage one gender while minimizing the opposite one. Rather, it is about understanding the reality of facts, and filling the gap by modeling efficient music learning and teaching strategies.



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Appendix A

Songs' Musical Scores



Figure 1. Song (1) *Assabah nashir 'alamou*'s musical score



Figure 2. Song (2) *Qoum bakir al asbah*'s musical score

Implementation of Quranic Education on Hearing Impaired Students in Malaysia

Ummu Karamah Binti Alias*, Hamdi Bin Ishak**

Abstract: Al-Quran education is part of the demands of a Muslim for both the typical and the disabled. Therefore, there are many parties taking the initiative in preparing the implementation of Quran education either at the government level or non-government. However, there are difference implementation of Quranic education between government and non-government. Therefore, this study will focus on the implementation of the Quranic education which has been conducted by government and non-government schools. This study selected qualitative designs by using document analysis methods such as the School Standard Curriculum (Special Education) in Islamic Education. The findings show that the implementation of the Quranic curriculum in government and non-government schools uses the Iqra method, Fakeh method, cue speech method and Muyassar Method for the reciting Al-Quran. However, for the memorizing of al-Quran and the understanding of the al-Quran, there is still lack of research on how to implement it in government and non-government schools of hearing impairment. Whereas, memorizing and understanding al-Quran, it helps them to know and understand the teachings of Islam and establish themselves as good Muslims. Therefore, the researcher hopes that this study will be further refined to see the underlying gaps in the implementation of Quranic education on hearing impaired students in Malaysia.

Keywords: Quranic Education, Hearing Impaired Students.

* The National University of Malaysia, Islamic Studies, Al-Quran and Al-Sunnah, MA Program.
Contact: ummukaramahalias@gmail.com

** The National University of Malaysia, Islamic Studies, Al-Quran and Al-Sunnah, PhD.



Introduction

The Quran is a book of guidance which is revealed to Prophet Muhammad SAW in order to make mankind's guidance lead to a straight path (Manna Khalil, 1973). Studying and adhering to the Qur'an is a necessity and a duty that is obligatory for every human being who is a Muslim and believes in the book of Allah S.W.T. Similarly, with special people such as deaf, mute and blind, the claim of studying the Qur'an on them is also not missed.

However, the form or implementation system may vary according to one's ability. The special classes are those who have different disabilities from physical, visual, cognitive, and many other disabilities (Suyuti et al., 2016) even without the right principles and methods, the reading skills of the Qur'an will not be easy for the individual, especially on disabled people who have difficulty understanding and accepting new inputs (Patonah et al., 2014).

Therefore, in addressing these issues, government agencies and non-governmental agencies take the initiative to prepare and implement the learning of Quranic education to these groups. The implementation of this Quranic education is carried out with varying methods in every place (Suyuti et al., 2016). Therefore, this study was conducted to study the implementation of Quranic learning on pupils with disabilities, that involving government and non-government agencies.

Islamic Education Act for Special Needs Students

In the context of Malaysian law, Act 685, the Disabled Persons Act (2008) has been reserved for the registration, protection, rehabilitation, development and well-being of the disabled, the establishment of the National Council for Disabled, and the matters connected therewith (p. 7)

Among the contents of this act is to recognize the importance of equality to the physical, social, economic and cultural environment, to health and education as well as to information and communication, to enable the full and effective participation of persons with disabilities in the society without discrimination (Disabled Persons Act, 2008 p.9).

In addition, the right to obtain this education is also no exception for special students especially Special Education Students (SES). According to the Federal Government Gazette through the Rules of Education (Special Education) 2013, "special educational student" means a student certified by medical practi-



tioners, opticians, audiologists or psychologists, as the case may be, whether in government services or not, as a student who has:

- a. Sight disability;
- b. Hearing disabilities;
- c. Speech disability;
- d. Physical incompatibility
- e. Learning issues; or
- f. Any combination of incompetence, or incompatibility and problem, referred to in paragraphs (a) to (e).

The Education Act 1996 (Act 550) also shows that where the National Education Policy is based on the National Education Philosophy as follows:

Education in Malaysia is a continuous effort towards furthering the development of individual potential in a comprehensive and integrated way to produce balanced and harmonious people intellectually, spiritually, emotionally and physically, based on trust and obedience to God. This effort is aimed at producing Malaysian citizens who are knowledgeable, skilled, noble, responsible and capable of achieving well-being and contributing to the harmony and prosperity of families, communities and countries (pp. 1-2).

As such, the National Philosophy of Education demonstrates that education specifically and appropriate to the diverse needs, needs and abilities of children should also be provided as well as not exemplary as typical children's education. The Education Act of 50 Islamic Religious Teaching also states that: "If in an educational institution there are five or more students who are professing Islam, then the pupils should be given the teaching of Islam by teachers approved by the State Authority" (p. 28)

This reinforces that education amongst students with special needs is not discriminated against their physical and mental deficiencies but is equally similar to those of other pupils as in the Islamic Education Act, which in this act does not state that it is typical of typical students, but it is generally stated. The contents of the Islamic Education.

Quranic Education Curriculum in Malaysia for Students with Disabilities

Curriculum in Malaysia implemented in especially lower-level schools are as outlined by the Ministry of Education, Malaysia 2002. The Special Education



Curriculum for Standard School is set in line with the National Education Philosophy, based on the principles of integrated approach, development individuals as a whole, the opportunity and quality of the same education for all students and lifelong education.

Special education covers the curriculum for problematic, hearing-impaired and problematic pupils. While the Islamic Education Curriculum Content Standard has seven modules, among which are the Quranic Module. This module focuses on reading the verses of the Qur'an correctly and fluently, memorizing certain Qur'anic verses correctly and fluently, understanding the meaning of certain suras and appreciating his teaching (Izzuli n.d.)

Malaysia Education Ministry through the Islamic and Moral Education Division regularly reviews the Islamic Education curriculum from time to time. It aims to improve the weaknesses, build the suitability of the aspects of implementation with the current needs, the capacity building of the students and instilling the seeds of firm and steadfast faith in the face of various forms of current challenges (Norakyairee & Nurutthoilah, 2017)

Beginning in 2011, all schools will adopt a new curriculum known as the Primary School Standard Curriculum, which gradually begins and starts with Year One students. The use of Primary School Standard Curriculum as a new curriculum is based on the Ikhtisas Circular dated 14 October 2010. Primary School Standard Curriculum, according to Former Education Director-General Tan Sri Alimuddin Mohd Dom, does not replace KBSR but is a continuation of KBSR. Primary School Standard Curriculum is also in line with current developments and demands that demand quality human capital in meeting the educational challenges of the globalization era (Norakyairee & Nurutthoilah, 2017)

Quran Teaching and Learning for Disabled Students

Zuri and Aznan (2011), said that teaching is a process related to the dissemination of knowledge or skills so that students can learn and master them effectively. Through teaching, students learn something new. In addition, it also helps to alter one's behavior after knowing it. While learning is the process of acquiring information and knowledge of the mastery of skills and habits as well as the formation of attitudes and beliefs. The learning process takes place throughout the life of a human being. Learning habits bring self-improvement either towards good or bad.



While the teaching and learning process involves bilateral interactions between teachers and students. Effective teaching and learning methods are in line with the teaching standards and outputs and achieve the objectives. The teaching process will result when the student focuses on what his teacher is saying. If there are new responses and ideas that can arise during learning, this means the pupil can effectively manipulate his cognitive skills (Patonah et al, 2014).

Al-Quran teaching and learning for Special Needs Students (SNS) requires techniques and methods that are appropriate to their mental level. Teaching and learning approaches for special people are different compared to typical (normal) groups. Educators need to be more prepared to deal with this group of people than normal students (Patonah et al., 2014; Sayuti et al., 2016).

Implementation of Quranic Education on Hearing Impaired Students in Malaysia

There are numerous methods of reciting Quran that have been develop by various party to ensure the MKUP's students are capable in mastering the Quran. The methods are Iqra' method, Arabic Sign Language method, Kiu method and Fakih method. All of these methods have different approaches in simplify the MKUP's students to learn the Quran.

a) Iqra' Method

Iqra' Method is the method that come from Indonesia which was arranged by Ustaz Haji As'ad Humam who is the Chief of Kumpulan Tadarus Angkatan Muda Masjid dan Musolla Yogyakarta. This method was arranged based on his experience of teaching the Quran since the year of 1950 through the trials and research (Mohd Alwi Yusoff et al., 2001; Syaedah Nusailah Mohd Hear, 2018).

This method was first implemented at Majlis Tadarus Remaja that held in the state of Yogyakarta (Syaedah Nusailah Mohd Hear, 2018) and the result is most of the students from the program that consists of 6 years old students are able to recite the quran well (Mohd Alwi Yusoff et al., 2001). The effectiveness of this method has made it widely known throughout Indonesia, Singapore, Brunei and Malaysia.

In the year of 1992, this method was first introduced and started to be develop in Malaysia after the first trial period for 6 months of school session



(Mohd Alwi Yusoff et al., 2001; Norsyaida Md Zain 2014). The Ministry of Education Malaysia plays the important role in Quranic education and in 1995, The Ministry of Education Malaysia have decided to used Iqra' method as a teaching guide for Quranic learning in all primary school throughout Malaysia (Mohd Alwi Yusoff et al., 2001).

Iqra' method also is not just applicable to typical students, but it is also appropriate to be apply to Hearing Impaired Students. However, this method is only can be applicable to Hearing Impaired Students who can speak with using the technique of Talaqqi Musyafahah (Sabdan, 2016). To Hearing Impaired Students that cannot be able to speak, they can use a method that suitable with their ability, for example using a sign language method.

In general, Iqra' method consisting of 6 volumes that are fully organized and integrated with balanced letters. This method starts with basic learning, a series of letters to the level of one verse of the Quran. This helps to make it easier for all ages to study and master the Quran well (Kamaruli et al., 2013). Besides, the writting of Iqra' is based on the writting of Rasm Uthmani (Norsyaida, 2014).

The iqra method has its own privileges and characteristics. Among the benefits and features of the Iqra Method is that it uses direct reading techniques. Where it is read without analysis and spelled. Students are not introduced to the letter of Hijaiyyah and the punctuation one by one. They even introduced to the sound of letters one by one using teaching materials (Mohd Alwi Yusoff et. al 2001: Norsyaida Md Zain 2014).

Besides that, Iqra' method also utilizes the techniques of Cara Belajar Murid Aktif (CBMA). Through this method, the teachers only need to give an explanation for several time in the beginning of learning until the students are clear and understand. The students will then continue on their own in the next reading. However, the method of Talaqqiy Musyafahah is still in progress. The students also learn with the teacher directly to ensure that the teacher can monitor the reading of the students in terms of pronunciation of makhraj and the real letter (Kamarul et al., 2013; Hear, 2018).

For the achievement of performance evaluation, the students depend on the student competencies and teacher roles and need to record for the evaluation and confirmation (Yusoff et al. 2001; Hear 2018). Next, the learning process of the teacher needs to be limited to guide five to six people at a time

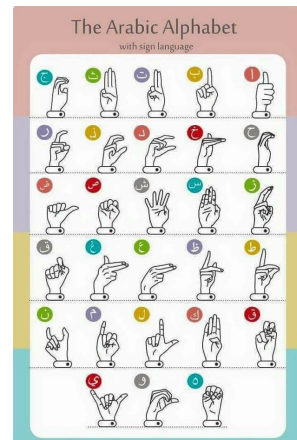


(Hear, 2018). Anyhow, if the situation needs the teacher can take any of the people to check the students at the lower level (Yusoff et al., 2001). However, this amendment is not appropriate for Hearing Impaired Students because the teacher need to take full attention to Hearing Impaired Students because their ability level is limited.

In the nuts shell, Iqra' method is suitable to be used for Hearing Impaired Students that can speak and experience low and medium levels of hearing loss. Nevertheless, monitoring from teachers and parents very important to make sure Hearing Impaired Students can learn and dominate al-Quran very well. Achievement and evaluation to the pronunciation of makhraj letter depends on the Hearing Impaired Students ability. If they not capable it is enough to know and remember it.

b) The Arabic Sign Language Method

The Arabic Sign Language method is a wide-ly applied in countries such as Saudi Arabia. This method only uses Single Sign Language. This method is more general and not as detailed as the other methods.



c) The Cue Method

Cue Speech Methods is a method that uses verbal and visual communication. Cue Speech Methods was pioneered by Dr Orin Cornett from Gallaudet College, Washington in 1967. He also adapted to many major languages and dilects. The caucus's speech was intended to help hearing impaired students in country to read the movements of their lips in English (Yasin et. al 2013).

In 1982, the Cue Speech Method was introduced in Malaysia. Mr. Tan Chin Guan is the Vice President of the National Association of Deaf has adapted the Cue Speech to Cue Speech in Malay Language with the help of Dr. R Orin Cornett. His introduction with the co-founder of Cue Speech at a seminar that held at University of Gallaudet, USA, convinced Mr. Tan to use the Cue Speech Method in Malay. He also believes that this method will help Hearing Impaired



Students to master in Malay Language as well. Then after 6 years of customizing the Cue Speech into Malay Language, in 1988, the Malaysian National Deaf Association officially adopted the Cue Speech method to teach Hearing Impaired Students on the premise of the association and named it Cue Speech Malay Language (National Association of the Deaf Malaysia 2012).

The Cue Speech Method is a method that uses speechreading methods (Mohd Hanafi Mohd Yasin, 2013; Bashiroh Omar, 2016). It consists of speech language accompanied by a cue sign language presented by a speaker so that each syllable spoken can be seen and clearly identified through sight and hearing (Syedah Nusailah Mohd Hear 2018; Unit Pendidikan Khas Ugama, 2014). The cue sign language is placed near the face to see all the sounds of the speech look different. The cue sign language help students with hearing loss read their lips movements to determine each word spoken. The use of the cue sign language would have no meaning if it was by itself, so it must be used in conjunction with the reading of the lips (Syedah Nusailah Mohd Hear, 2018).

Hearing Impaired Students who's used Malay Cue Speech method is able to acquire the skill of reading, writing and counting as a typical peer. For Hearing Impaired Students that who have mastered use the Malay Cue Speech indirectly, they have mastered the phonetic structure of each word (National Association of the Deaf Malaysia 2012). It is at the same time able to pronounce sounds in any language. Thus, it provides an opportunity for Hearing Impaired Students to learn the skills of reading the Quran using the Arabic Cue Speech method (Syedah Nusailah Mohd Hear 2018).

Arabic Cue Speech was founded by Mrs. Roslina Ahmad, headmaster of the Cue Speech Special School (Roslina 2016). Arabic Cue Speech can be used for variety of things including reading Jawi scriptures, reading the Quran, reading daily prayers and readings in prayer. The Arabic Cue Speech has significant advantage compared to another sign language. The Arabic Cue Speech makes Hearing Impaired Students a chance to pronounce the exact Arabic word. The Arabic Cue Speech Module's contains rules and examples of all the consonants and vowels in Arabic so that the Hearing Impaired Students can master the skills of reading the Quran (National Association of Deaf Malaysia 2012).

In the study of the Quran, this method of Arabic Cue Speech has eight forms of sign language such as Malay Cue Speech to distinguish the pronunciation of Hija'iyah as in figure 1. In addition, Arabic Cue Speech also has 4 sign

language vowel positions in the ^اوي. The position of the hand to indicate the pronunciation of the Jawi vowel as be seen in figure 2.

 No. 1	ض / د / غ	 No. 5	ف / ط / ت / ع / ا / م
 No. 2	ز / ذ / ظ / ك / ق	 No. 6	ش / ا / و / ل
 No. 3	ص / س / ر / ح / ه / ا / ر	 No. 7	ج / ث
 No. 4	ب / ن / غ	 No. 8	ي

Figure 1. Cue Sign Language represents the hijaiyyah letter




	Posisi 1 Tangan di sisi muka untuk bunyi huruf Hija'iyah baris atas
	Posisi 2 Tangan menyentuh leher untuk bunyi huruf Hija'iyah baris bawah
	Posisi 3 Tangan menyentuh leher untuk bunyi huruf Hija'iyah baris hadapan

Figure 2: Hand position for pronunciation of Jawi vowel ^اوي and tafkhim

As the conclusion, it can be seen that the Qur'anic Speech facilitated the Hearing Impaired Students to study the Quran. The use of the Cue Speech also helps Hearing Impaired Students read the lips as each spoken word shows a different sound to each other.

d) The Fakih Method

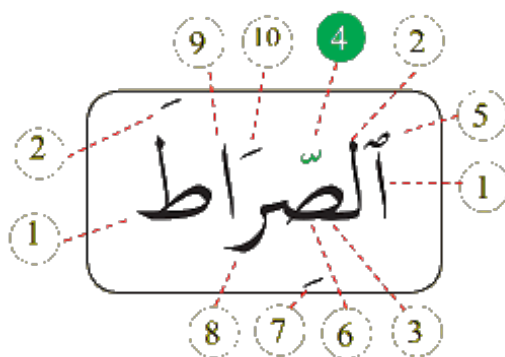
Fakih Method is a method that established by Mrs. Nur Aziah Mohd Daud in 2009. This method was implemented to help people with hearing and learning problem to read and master the Quran (Syar Meeze Mohd Rashid et al., 2017). This method uses the Hijaiyyah hand sign code to represent the letter into a special Quran reading for Hearing Impaired Students (Syar Meeze Mohd Rashid, 2017).

In 2011, the Ministry of Education Malaysia established the Special Education Curriculum for Standard School in Islamic Education for hearing problem. The aims is to provide opportunities for Hearing Impaired Students to learn Islamic Education as well (Muhammad Sayuti Sabdan et al. 2016). Thus, Fakih Method has been selected as the method of Quranic study in the ministry's schools (Muhammad Sayuti Sabda et al., 2016; 2018).

The Fakih Method has 7 chapter in the book. It begins with the Fakih Basic, The Fakih of Quran 1, The Fakih of Quran 2, The Fakih of Quran 3, The Fakih of Quran 4, The Fakih 5 and lastly is the Fakih of Quran 6. This method uses a number and color approach (Nor Aziah Mohd Daud, 2012). The three colors used in this this method are yellow to indicate line and letter, re color of sukun and green color indicate syaddah (sabdu) (Nor Aziah Mohd Daud 2012; Muhammad Sayuti Sabdan et al., 2016). The diagram shows the color symbol used in the Fakih Method.

		
Tanda huruf dan Baris	Tanda sukun (mati)	Tanda Syaddah (sabdu)

The Fakih method also uses the number method. The Hearing Impaired Students should read in the order of the number stated in the study material from number one to ten. If the word has more than one sentence, then the following number will repeat to number one. The following is a diagram that showing the number method.



In the early stages of learning the Quran using the FakiH Method, it started with the Basic Quran. The Hearing Impaired Students will be introduced and taught using the Hijaiyyah Hand Code. The Hearing Impaired Students will learn the form of the letters of the hijaiyyah as they are at the beginning, middle and end of the sentence. One the Hearing Impaired Students was able to master it well, the Hearing Impaired Students was introduced to the associated hijaiyyah letters. The study is continuing to the next level after the student has mastered it well.



Hijaiyyah Hand Code

This fakiH method is very helpful and contributes significantly to the hearing impaired in learning and mastering the Quran. This method is not only used by Hearing Impaired Students but also various age groups of people with disabilities. According to Muhammad Sayuti (2016), this method is not only used in schools under the Ministry of Education, but it is also used in the Academy of FakiH, Maahaad Tahfiz Faqeh Temerloh and Faqeh Companions of the International Islamic University (UIA). This again shows that method is suitable for all people.



2) Reflect the Quranic verses

For the al-Quran memorisations, researchers have yet to find a special study that is specifically implemented on the implementation of government schools. However, the researcher found that there were several methods built by other researchers used by some government school.

a) Tahfiz Akhyar

The first method of memorization is Tahfiz Akhyar's method. This method was developed by Hj. Norakyairee Hj. Mohd Raus and Zaharatul Sophia Mohamed Amir Abas in 2014. This method was introduced in the Quranic Play Group Workshop for Children Learning Problems organized by the Arab School of Islamic Studies & Islamic Education, Faculty of Islamic Contemporary Studies, Sultan Zainal Abidin University (UniSZA) at 28 May 2014.

The main objective of this method is to memorize the Quran, prayer, prayer, remembrance, prayers and so on by manipulating the strengths and abnormalities of the privileged children of either capable of speaking or vice versa. This method uses the three basic techniques of interaction with the Qur'an as indicated in the earlier hadiths of the revelation of the revelations ie Talqin and Tartil, Talaqqi and Mushafahah, and Tikrar (repetition). This method also introduces four methods of assessment namely, Isyarah, Muraja'ah, Tasmik, and Imlak.

Elements in Tahfiz Akhyar:

1) Basic Techniques

- Listen & show (talqin & tartil)
- Talaqqi & mushafahah / hugs
- Repetition (tick)

2) Stabilization

- Verbal sentence: Partial term, full term
- Non-verbal memorization: Matching, numbered order, regular order, partial writing and pronunciation

3) Assessment

- Isyarah
- Muraja'ah
- Tasmik
- Imlak



b) Tilawah Asyraf Method

The next method is the Tilawah Asyraf Method. This method was developed by Hj. Norakyairee Hj. Mohd Raus and Hj. Mohd Zaini Mat Abas in 2015. This method was introduced in the QurANIS Workshop (Al-Quran and Innovation Education Innovation for Special Children) held at SMK Kuala Perlis on 6-7 June 2015. The main objective of this method is to strengthen the element of memorization by approaching techniques, composing, composing, reading and reading words or Quran sentences by manipulating the strengths and abnormalities of a special son-in-law ability capable of speaking or vice versa.

This method uses three basic techniques of recitation of al-Quran namely, recognizing the form of letters, recognizing the line (Harakat) and recognizing tanwin and sukun. This method also introduces four methods of assessment namely, Isyarah, Muraja'ah, Tasmik and Imlak (<http://akademiarrrayan.com/kaedah/>).

Elements in Tilawah Asyraf Method

- Tilawah based on memorization
- Breakdown of letters from memorization
- Recognize the form of letters rather than memorization
- Single, continued
- Identify the sign of line 1
- Top, bottom, front, top two, bottom two, front two
- Recognize the sign of line 2
- Sukun and syaddah
- Read two continuous words
- Read the letters that are connected between the words and other words

c) Penulisan Wahyu Method

The last method is the Penulisan Wahyu Method. This method was developed by Hj. Norakyairee Hj. Mohd Raus and Syar Meeze Mohd Rasyid in 2015. This method was introduced in the QurANIS Workshop on Al-Quran and Worship Education for Children Special that was held at Tun Aminah Special Education Religious School, Johor Bahru on 15 November 2015. The purpose of this method is to memorize the Koran, reading in prayers, prayer, dhikr, prayers



and so on by manipulating visual strength and writing (Rasm) deaf children. This method employs three basic techniques, namely, recognizing Mushaf akl-Quran, practicing writing (Rasm), and Tikrar (repetition). In the practice of writing this writing the various phases of writing are routinely, and it comprises pre-writing phase, attach, trace, copy and write. This method also introduces four methods of assessment namely, Isyarah, Muraja'ah, Tasmik, and Imlak (<http://akademiarrayyan.com/kaedah/>).

3) Understanding the Definitions of al-Quran

Method understanding of the verses of al-Quran has not yet found a study conducted in school. The method of learning al-Quran reciting in non-governmental agencies using the language of hand signals. This study was conducted by Syar Meeze and their group research about the use of Malaysian sign language in the translation of surahs al-Fatihah. The findings show that this Malaysian language helps the deaf to understand the verses of the Qur'an.

Conclusion

The conclusion from this study found that the implementation of al-Quran education is very helpful to the students who are not listening. However, there is a lack of research about the way of memorizing the al-Quran and how to understand the al-Quran that is being implemented in schools of hearing-impaired students. Therefore, the researcher hopes that this study will be further refined to see the underlying gaps in the implementation of Quranic education on hearing impaired students in Malaysia. So that the other researchers might be improvements in aspects of the modules that have been developed for the study of the Qur'an. This does not necessarily help the people learn recite al-Quran, but they also can memorize and understand al-Quran with the appropriate methods of their ability.

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Ekonomi
Economy

Turkish Financial Sector and Real Sector Co-Movement: MGARCH-DCC and Wavelet Coherence Analysis

S M Rashed Jahangir*, Ruslan Nagayev**

Abstract: Real sector has a vital role in the development of a country's economy, especially in the significant growth of gross domestic product (GDP) per se. Verily, this tendency becomes more vibrant due to the presence of the advanced financial system. Therefore, it can be claimed that more financial sector's development means more development in the real sector, which ultimately leads to significant growth in an overall economy. For this reason, the main purpose of this study is to investigate the dynamic relationship between the financial sector and the real sector in Turkey using different time scale frequency. In order to do this, the study applies multivariate GARCH-DCC and Wavelet Coherence techniques. Here, it uses daily basis data for two sectors—the financial sector and real sector— considering 4764 observations from 29/12/2000 to 03/04/2019. In addition, in order to obtain the same scale of data, it generates the data by using excel log formula. After applying the techniques, the study finds a dynamic correlation between the financial sector and the real sector in Turkey. Interestingly, most of the cases, the financial sector leads the real sector; however, the opposite direction is also noticeable in the study. This bilateral correlation behavior indicates that in Turkish economy both sectors have a significant interdependence behavior—anything changes in any of the sector has significant impact on another sector. This behavior is true for both unconditional and condition correlation nature, even in static correlation nature. Finally, along with this dynamic correlation results, the study also finds that the financial sector is more volatile than the real sector in Turkey.

Keywords: Financial Sector, Real Sector, MGARCH-DCC, Wavelet Coherence.

* Istanbul Sabahattin Zaim University, Islamic Economics and Finance, PhD Program.
Contact: rashed3355@gmail.com

** Istanbul Sabahattin Zaim University, Assistant Professor.
Contact: ruslan.nagayev@izu.edu.tr



Introduction

Substantial economic growth requires healthy position of financial sectors; in other words, an improved financial sector bolsters real sector in order to generate better outcomes in an economy. Thus, the development of financial sector is a crucial determinant for the progress of real sector. According to Ductor and Grechyna (2015), development of financial sector is one of the key factors for a progressed economy. Even, central bank always recognizes it by stating the importance of a financial development for the overall economic performance (Tsatsaronis, 2005). This assumption of relationship between financial sector and real sector is as old as the discipline of economics itself. Adam Smith (1776) articulated his view on it by stating that the substantial number of banks establishment in Scotland of his times was a vital factor for the rapid growth of the Scottish economy (Blum, Federmaier & Fink, & Haiss, 2002). Later, Schumpeter (1911) argued on the same point mentioning that “the creating of credit through the banking system was an essential source of entrepreneurs’ capability to drive real growth by finding and employing new combinations of factor use”. However, despite having an interactive relationship between these two sectors, theoretically, questions related to the health of the financial system have taken a back seat to those more directly linked to the process of inflation and growth (Tsatsaronis, 2005). Alongside, the presence of an extensive description and inter-dependence to certain other areas of economic development, an ambiguous influence of financial development is observed regarding economic development. Due to having weak regulation on financial sectors, extensive financial development can cause for negative economic growth. For instance, a study conducted on financial deepening and economic growth in Turkey has found that there is a strong negative relationship between financial deepening—both public and private—and economic growth during the period of 1996-2001 (Ardic & Damar, 2006).

Real sector plays a major role in an economy regarding productivity; verily, this sector has a productive capacity in order to fulfill the aggregate demand in the economy that ultimately leads a substantial economic growth (Adeusi & Aluko, 2015). According to Anyanwu (2010), the real sector bolsters the capacity building and employment generation, and with the presence of developed financial sector this capacity building and become more vibrant. Basically, the financial sector acts as a catalyst for the real sector’s growth by allotting funds for the real sector in order to exploit investment opportunities. Simply put, there is a bilateral re-



lationship between these two sectors—i.e., the financial sector cannot exist independent of wider economy whereas in order to assure a sustainable economic growth a real sector needs an efficient financial sector (Tripathi & Kumar 2015).

In an emerging economy like Turkey, the importance of financial sector is significant along with real sector. Generally, financial sectors in an emerging economy are underdeveloped. This underdeveloped nature indicates that governments are unable to utilize their bond market when there is any liquidity crisis. Simply put, in the crisis period, the bond market reaches in an illiquid position and countries begins losing access to the international credit market. Therefore, the existence of an efficient and developed financial market is considered as an essential pre-requisite for overall economic development (Gonzalez-Eiras, 2003). Noticeably, there are two points of views exist between the financial and real sectors of an economy: supply-leading hypothesis and demand-following hypothesis. The former one based on the view point of Schumpeter (1911) where he mentions that financial services are created to meet the needs of real sectors while the later one recommended by Robinson (1952) opines that the real sector's demand for financial services encourages financial institutions to create them.. In other words, Schumpeter argues that the progress of financial sector leads real sector growth while the Robinson mentions that the growth of real sector leads financial sector growth (Adeusi & Aluko, 2015).

Overview of Turkish Economy

After enjoying several years of significant strong growth (peaking at 7.4% in 2017) on the back of external borrowing, domestic demand, inflation and the current account deficit continued to grow as a result of stimulus measures until mid-2018. Nevertheless, growing imbalances lead to increasing market pressures, prompting the Central Bank to tighten monetary conditions sharply and growth slowed when another confidence shock hit in August 2018. According to the World Bank, "Growth in 2018 fell to 2.7 percent, with a contraction in economic activity in the last two quarters. Over the past year, Turkey has experienced intense market turbulence, and by end-2018, the nominal effective exchange rate had declined by 25 percent, consumer inflation was above 20 percent, and policy interest rates had tripled to 24 percent. At the end of September, the exchange rate has become more stable and gross international reserves have risen nearly 20 percent to US\$99 billion, although the market risk has its upward nature."



A sluggish movement of real sector was observed in the third and fourth quarter of 2018 along with a significant reduction in private consumption and investment. Turkey's economy could have been experienced more growth (i.e., reduction of imports, augmentation of export over the year, and transformation of current account deficit into surplus in the last quarter) if there was no external adjustment. Alongside, a significant part of the corporate sector is in a state of financial burden due to the increment of corporate indebtedness, i.e., foreign currency or foreign exchange-indexed loans. In this continuation, Banks are going through a process of balance sheet repairment, as a result, 16 percent drop of banks liabilities to foreign banks was noticed from their peak in August, in the meantime, domestic credit has reduced since end- September.

In 2017, public deficit has expanded uninterruptedly over the last years and was forecast to grow to 4.9% in 2018, from 3.2%. Inflation, which had already culminated 11% in 2017, surged in 2018 (15% according to IMF forecasts, 20.30% at the end of 2018 according to the Turkish Central Bank) as the devaluation of currency made imports as well as domestic products that require foreign semi-finished or raw materials more expensive. Inflation rose to levels unseen in the last 15 years, peaking at 25.24% in October 2018, falling only slightly amid partial recovery in the value of Turkish lira. Nevertheless, inflation surged again in January 2019 to 20.35% and is expected to remain high throughout the year.

Considering the economic position of Turkey and the above theoretical discussion about financial sector and real sector, it is difficult to draw a certain line the relationship between financial sector and real sector in Turkey. Because literature on linkages between financial and real sector dates back to 1911, when Schumpeter suggested that financial sector development positively influences economic growth. However, the literature is divided over the direction of causality among the two sectors. Those who advocate unidirectional causality put forth either supply leading hypothesis or demand following hypothesis. Former says that real sector growth is instigated by financial sector and latter states that financial sector development is triggered by real sector growth. Some are of the view that causality is bidirectional, i.e., both financial and real sector cause and complement each other. While few others propose that there is no causality between the two, i.e., they are autonomous of each other. There are numerous empirical evidences in support of all of the above hypotheses (Pradhan et al., 2013).



However, this relationship between financial sector and real sector has not extensively investigated for an emerging economy like Turkey, though there should have more studies on it. Most of studies in that have been taken place are related to financial sector and economic growth, not real sector specifically. Surprisingly, there is no such a study which has examined the co-movement and volatility of financial sector and real sector in Turkey. For this reason, the main purpose of this paper is to focus mainly on the relationship between financial sector and real sector in Turkey. To do that, it answers two questions: i) Is there any dynamic correlation between financial sector and real sector in Turkey? and ii) Which sector is the most volatile sector between financial sector and real sector in Turkey?

The remaining paper proceeds as follows. Section 2 reviews various literatures which are related to financial sector, real sector, and economic growth. In section 3, the study describes the methods of testing data as well as the sources of data. Section 4 provides statistical evidence and explanation of the findings. Finally, section 5 concludes and provides some recommendations.

Literature Review

Numerous studies have been conducted on the contribution of the financial sector to the development of the economy. These studies can be classified based on two modus operandi: optimistic and skeptical. According to the former approach, effective and efficient financial systems encourage more savings and expedite the efficient resource allotment (King & Levine, 1993; Greenwood, Sanchez, & Wang, 2010); alongside, it also helps to minimize agency costs and augment innovation performance (Aghion, Howitt, & Mayer-Foulkes, 2005). In addition, according to Bencivenga & Smith (1991), this efficient financial system assists to provide high- return on investments by risk-sharing. On the other hand, in accordance with the latter approach, Gai, Kapadia, Millard, & Perez (2008) mentioned that the improved financial system may boost high systemic risk, substandard low savings (Jappelli & Pagano, 1994). Furthermore, it may also lead to substandard high allotment of labor to the financial sector (Bolton, Santos, & Scheinkman, 2011), overheated economic capacity that ultimately produce a high inflation (Zeira, 1999), or the effort of inefficiently high cost on the economy (Santomero & Seater, 2000).

Adeusi & Aluko (2015) investigate the relevance of financial sector development on real sector productivity considering Nigerian industrial sectors.



The study reveals that there is a strong linear significant relationship between the financial sector and the real sector that suggesting financial sector development is crucial for real sector productivity.

Ductor & Grechyna (2015) evaluate the link between money development and real sector output and the way this financial development and real sector out have an effect on the economic process. The findings of this study express that there's a major relationship between money development and personal credit relative; i.e., the impact of financial progress on economic growth depends on the expansion of private credit relative to the real output growth. The findings advocate that the impact of financial progress on growth becomes negative if there is substantial growth in private credit not amid growth in real output.

Kazarenkova, Kolmykova & Ovcharova (2015) analyze the interaction between banking and real sectors of the economy. The study finds an effective interaction between these two sectors along with the interdependence between banking and real sectors of the economy.

Khalil (2018) investigates the relationship between financial sector and real sectors of Thailand using volatility analysis of GDP. They find the promotion of economic growth by the assistance of both sectors. They also find the importance of the differences in financial markets' composition and institutions. It is noticed that the bond market, stock market, and banks do not simultaneously develop and grow, but at a different level of their development, they accompanied each other.

Samsi, Yusof & Cheong (2012) analyze the dynamic correlation between the real sector and the financial sector in Malaysia considering the period 1986:1 to 2011:4. The results of this study reveal that there is a long-term remain between the real output and the financial sector. In addition, the study discovers the causality relationship between real output and the real estate as well as real output and banking sector.

Şendeniz-Yüncü, Akdeniz & Aydoğan (2008) examine the effectiveness of the credit view hypothesis in various OECD countries using the period from 1987: Q1 to 2003: Q3. Here, the study finds They find the presence of a long-run relationship between the banking sector and the real sector. It also ascertains a unilateral causal relationship between the banking sector and the real sector; i.e., the banking sector causes the real sector regarding some countries



in the sample. However, for other countries, the same tests indicate no causality relationship.

Tripathi & Kumar (2015) examines the relationship between real and financial sectors of India considering the period 2004-2014. They find that while market capitalization Granger causes GDP, domestic credit does not Granger cause GDP. Broadly, they find no causality from the real economy (GDP) to the financial sector. On the other hand, ARDL and Johansen Cointegration Test results reveal that GDP is significantly explained by its own past values (both short and long run) as well as long-run values of domestic credit and thus points towards the existence of long term cointegrating association between GDP and domestic credit while the absence of same between GDP and BSE capitalization.

Along with these studies, there are many other studies that have been conducted in order to find out the relationship between financial sector and real sector; however, only few numbers of studies have applied multivariate GARCH-DCC and wavelet coherence technique. Considering the country, Turkey, literally not a single study can be found regarding the relationship between financial sector and real sector that have used these techniques. The absence of using these techniques in Turkish financial and real sector regarding relationship between them make this study totally unique and encourage authors to conduct this study using multivariate GARCH-DCC and wavelet coherence techniques.

Methodology

This part of the study elucidates the nature of data and selected methods to analyze the data. Alongside, it also describes what kinds of analytical tools have been utilized. In the first few paragraphs, it discusses the data collection sources and what kind of data have been used. Later, different statistical methods employed in the study have been discussed.

Data Source and Nature

The study mainly uses secondary data in order to ascertain the expected findings. In this process, it mainly focuses on two important sectors in Turkey: financial sector and real sector (in other words, non-financial sectors). To en-



sure an easy explanation and calculation, the sectors' names are abbreviated as financial sector (FIN), real sector (REA), and composite Turkish equity market (ALL). Now considering the source of data, Thomson Reuters Business Classification (Global Company Standardization) is the main source, the study selects the period of data from 29/12/2000 to 03/04/2019, total observation of data counts as 4764 regarding daily frequency. Instead of dollar denomination, the study uses Turkish lira denomination in order comprehend the findings easily for the reader, especially for domestic investors. Here, ensuring the findings more precise and vibrant, the study runs different techniques such as descriptive, correlation, multivariate GARCH-DCC and wavelet coherence analysis. For descriptive analysis, mean, maximum, minimum, standard deviation, covariance, skewness, kurtosis have been discussed in this study.

Correlation Analysis

Basically, correlation denotes the relationship between quantitative variables or categorical variables – between two variables. Most importantly, correlation provides the proof of the relationship between two variables and scatterplots are useful for interpreting the trends of statistical data. Despite the difference of representation of findings, both correlation and scatterplots consider the r value to conclude the results.

There are several correlation techniques; especially, Pearson product moment, Spearman rank-order correlation, Kendall rank correlation. Among the techniques, Pearson or product moment correlation technique is one of the most common and useful technique in the academic research. However, no matter which technique a study follows, the main result of correlation is determined by the correlation coefficient, simply put, r value.

The correlation coefficient, r , first introduced by Karl Pearson in 1896. According to Deborah J. Rumsey (n.d.), the r value measures the strength and direction of a linear relationship between two variables on a scatterplot. The correlation coefficient, in other words, r value lies between +1 and -1 (Renter, 2009). This value is categorized into different points as exhibited in Table 1.

The calculation of correlation coefficient for two variables is characterized by, for example, one variable is x and another variable is y . Therefore, the formula of Pearson correlation coefficient as follows:



Table 1. Guidelines for interpreting the correlation coefficient

Value	Description
Exactly -1	A perfect negative linear relationship
Between -0.70 and -1.0	A strong negative linear relationship
Between -0.30 and -0.70	A moderate negative linear relationship
0	No linear relationship
Between 0.30 and 0.70	A moderate positive linear relationship
Between 0.70 and 1.0	A strong positive linear relationship
Exactly +1	A perfect positive linear relationship

Source: Bruce Ratner (2009)

$$r = \frac{N \sum xy - (\sum x)(\sum y)}{\sqrt{[N \sum x^2 - (\sum x)^2][N \sum y^2 - (\sum y)^2]}}$$

In the above equation, the letter r represents Pearson r correlation coefficient, N for number of observation, $\sum xy$ denotes sum of the products of paired scores, $\sum x$ indicates sum of x scores, $\sum y$ sum of y scores, $\sum x^2$ sum of squared x scores, and $\sum y^2$ mentions sum of squared y scores.

Multivariate GARCH-DCC

The study applies multivariate GARCH-DCC model in order to estimate both dynamic correlation and volatilities between financial sector and real sector in Turkey. Engle and Sheppard (2001) introduced GARCH-DCC model which lies under the part of “Models of conditional variances and correlations”. The model advocates that the covariance matrix, H_t , can be decayed into conditional standard deviations, D_t , and a correlation matrix, R_t . In the GARCH-DCC model both D_t and R_t are designed to be time-varying. This model can be separated in to two methods; one is based on Gaussian distribution or multivariate normal distribution which might be inefficient for heavy-tailed distribution. Another one is the GARCH-DCC model assuming multivariate t -distribution which is suitable for heavy-tailed data (Pesaran & Pesaran, 2010). Here, we apply both multivariate normal distribution and t - distribution by following

previous studies conducted by (Rahim & Masih, 2016; Nagayev, Disli, Inghelbrecht & Ng, 2016; Joyo & Lefen, 2019) in order to select the best fit method for the study.

According to Rahim & Masih (2016), the estimation of DCC can be classified into two stages; these stages ensure the estimation of a time-varying correlation matrix simplified (Engle and Sheppard, 2001). In the first stage, in order to estimate univariate volatility limit for each variable, GARCH models are applied (Engle and Sheppard, 2001). Reverse meaning that, 2 GARH equations are used if there are two variables (Glosten et al., 1993). For example:

$$h_t = C_0 + a_1 \varepsilon^2_{t-1} + b_1 h_{t-1} + b_2 h_{t-2} + m_1 \varepsilon^2_{t-1} I_{\varepsilon > 0}$$

Where, I is an Indicator function, the value of I is equal to 1 when the standardized errors of the series (ε_t) are positive, but if it equals to 0 then the explanation is otherwise. When the value of 'm' is negative, it can be suggested that periods of higher variance compared to periods of positive errors instantly follows periods with negative errors. In the second state, in order to estimate a time-varying correlation matrix (Engle and Sheppard, 2001), the inputs come from the standardized errors from the first stage. Following Engle (2002), H_t is a conditional covariance matrix and is:

$$H_t = D_t R_t D_t$$

Where, according to Orskaug (2009),

H_t = $n \times n$ matrix of conditional variances of at at time t.

D_t = $n \times n$, diagonal matrix of conditional standard deviations of at at time t.

R_t = $n \times n$ conditional correlation matrix of a_t at time t.

a_t = $n \times 1$ vector of mean-corrected returns of n assets at time t.

Wavelet Coherence

A wavelet can be defined as a function which has zero mean; it is restricted in both frequency and time (Grinsted, Moore & Jevrejeva, 2004). Along with multivariate GARCH- DCC, this study applies wavelet coherence in order to estimate the relationship between financial sector and real sector in Turkey. Generally, finding out the relationship between two time series, the wavelet coherence is used (Vacha & Barunik, 2012). For the proper definition of the wavelet coherence, understanding of cross wavelet transforms and cross-wavelet power provides a strong base. According to Torrence and Compo (1998), the cross wavelet transforms into two-time series; e.g., $x(t)$ and $y(t)$. The general



formula as follows:

$$W_{xy}(u; s) = W_x(u; s)W_y^*(u; s)$$

Where,

$W_x(u; s)$ and $W_y(u; s)$: Continuous wavelet transforms of $x(t)$ and $y(t)$ u : A position index

s : The scale

*: a complex conjugate.

The computation of cross-wavelet power can be done by employing the cross wavelet transform as $[W_{xy}(u; s)]$. The cross-wavelet power expresses time-frequency space areas where the time series show a high common power, i.e., it illustrates the local covariance between the time series at each scale.

Applying wavelet coherence helps to recognize the area in the time-frequency space where co-movement of two-time series, in other words, the financial sector and real sector time series can be traced. However, these do not necessarily have high common power. Considering the approach of Torrence and Webster (1999), we define the squared wavelet coherence coefficient as follows:

$$R^2(u, s) = \frac{|S(s^{-1}W_{xy}(u, s))|^2}{S(s^{-1}W_x(u, s))^2 S(s^{-1}W_y(u, s))^2}$$

where, S is a smoothing operator. Without smoothing, the wavelet coherence equals one at all scales. The range of squared wavelet coherence coefficient is: $0 \leq R^2(u, s) \leq 1$. Here, the value 0 indicates no correlation between two variables, close to 0 indicates weak correlation, getting closer to 1 indicates that the relationship between variable becoming more stronger, the value 1 indicates perfect correlation between variables. Therefore, the squared wavelet coherence measures the local linear correlation between two stationary time series at each scale; it is analogous to the squared correlation coefficient in linear regression (Vacha & Barunik, 2012).

Phase Explanation

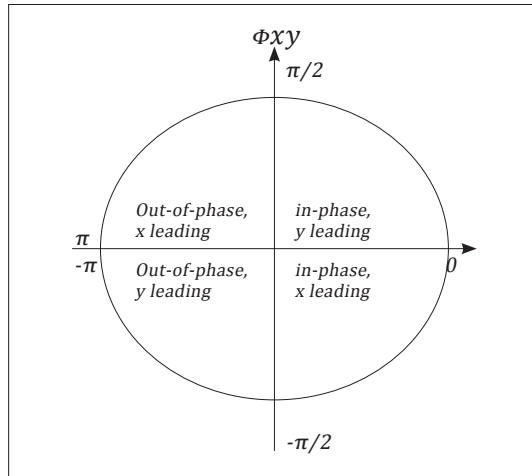
In the phase section of the wavelet coherence, the whole phase can be divided mainly into two parts: In-phase and Out-of-phase. In-phase is a direction where movement of two time series is in the same direction (right); on the oth-



er hand, out-of-phase is a direction where movement of two time series is in the reverse direction (negative). These two-phase directions can be subdivided into four sub parts: in-phase x leading, in-phase y leading, out-of-phase x.

leading, and out-of-phase y leading. The following figure represents the phases in different directions (Aguiar-Conraria and Soares, 2011).

Straight right arrow indicates that both x and y move together—no leader, no follower. On the other hand, straight left arrow indicates that both x and y move together, but in reverse direction, it also denotes that neither x nor y is a leader or follower. However, right-down in- phase arrow indicates x being a leader (x leads y), whereas right-up in-phase arrow indicates opposite—y leads x. Contrary, left-down out-of-phase arrow denotes y being a leader (y leads x), whereas left-up out-of-phase arrow denotes opposite—x leads y.



Source: Bruce Ratner (2009)

Figure 1: Direction of different phases Source: Aguiar-Conraria and Soares, 2011

Findings and Analysis

This part of the study particularly discusses the outcomes of financial sector and real sector that have been estimated from different tests. In the first sec-



tion, it provides a brief explanation of descriptive statistics of financial sector and real sector along with composite Turkish equity market. Later, static correlation among sectors have been elucidated in the section named correlation analysis. In addition, time dependent volatility and correlation between financial sector and real sector in Turkey have been explained in the following section called multivariate GARCH-DCC method. In the final section, wavelet coherence, co- movement in time-frequency between financial sector and real sector as well as financial sector and composite Turkish equity market have been discussed.

Descriptive Analysis

Table 2. Descriptive statistics of variables

Statistics	FIN	REA	ALL
Mean	0.000216	0.000217	0.000216
Minimum	-0.089472	-0.078985	-0.083701
Maximum	0.061138	0.049922	0.051495
.St.D	0.009506	0.007143	0.007963
.C.V	44.019	32.893	36.886
Skewness	-0.141	-0.572	-0.374
Kurtosis	6.158	10.976	8.707
Count	4763	4763	4763

Source: Microsoft Excel (Author's computation)

Table 2 illustrates descriptive statistics of financial sector, real sector, and composite Turkish equity market. However, complying with the objective of the study, we only discuss financial and real sector. Here, financial sector shows higher standard deviation compared to other sectors. Nevertheless, the overall standard deviations for all sector point a good sign—a less dispersion of data from its mean value which denotes a close value of all variables to mean value; in other words, less risky. Now, considering skewness, it can be observed that all the sectors are negatively skewed meaning that both mean, and median are less than the mode of data set. On the other hand, considering



the kurtosis value, it can be said that all the dataset have heavier tail than a normal distribution because the kurtosis values are greater than 3, simply put, all the variables' dataset are not normally distributed that denotes higher risk (Kabir et al., 2013).

Correlation Analysis

The static correlation analysis in Table 3 shows correlation between financial sector and real sector, financial sector and composite Turkish equity market, and real sector and composite Turkish equity market. Here, the static correlation between financial sector and real sector is quite strong and statistically significant (88.5%), it denotes that when there is an increase in financial sector, real sector also experiences increase and vice versa.

Table 3. Correlation Analysis between sectors

Variable	FIN	REA	ALL
FIN	100.0%	88.5%	97.2%
REA	88.5%	100.0%	96.8%
ALL	97.2%	96.8%	100.0%

Source: Microsoft Excel (Author's computation)

Multivariate GARCH-DCC Analysis

This section of the study elucidates the multivariate GARCH dynamic conditional correlation analysis along with conditional volatility matrix. This process begins selecting the suitable model—i.e., whether multivariate normal distribution model or multivariate t- distribution model—in order to proceed with the best model for the study. In the selection process, maximized log-likelihood (MLL) value is one of the important factors, model which has the highest maximized log-likelihood value is considered as the preferred model. Observing the MLL value in both Table 4 and 6, it is conspicuous that t-distribution model MLL value is higher than normal distribution which ultimately indicates analyzing and explaining the results based on multivariate t-distribution model. However, before delving with the selected model, parameter of the normal distribution model provides us some basic idea about the variable nature. For example, in Table 4, the sum of estimated



value of λ_1 -FIN and λ_2 -FIN (which is less than 1) denotes that financial sector will come back to normal equation or in an equilibrium position if there is any shock happens. The same explanation also goes for real sector because in this case the summation of estimated value of λ_1 -REA and λ_2 -REA is less than 1. However, explanation provides opposite understanding regarding the summation value of λ_1 and λ_2 (>1).

Table 4. Multivariate GARCH with underlying multivariate Normal distribution

Parameter	Estimate	Standard Error	T-Ratio	[Prob]
λ_1 _ALL	0.87721	0.0058654	149.5563	[000.]
λ_1 _FIN	0.87484	0.0063299	138.2075	[000.]
λ_1 _REA	0.87684	0.0058991	148.6398	[000.]
λ_2 _ALL	0.092868	0.0037867	24.5249	[000.]
λ_2 _FIN	0.09278	0.0039623	23.4155	[000.]
λ_2 _REA	0.094729	0.0039304	24.1013	[000.]
δ_1	0.9165	0.0027715	330.692	[000.]
δ_2	0.034639	0.0010023	34.559	[000.]
df	4.3522	0.090468	48.1075	[000.]
Maximized Log-Likelihood = 199402.7				

Source: Microfit 5.0 (Author's computation)

Table 5. Unconditional Volatility and Correlation Matrix

Variable	ALL	FIN	REA
ALL	0.007924	0.97256	0.96818
FIN	0.97256	0.009468	0.88477
REA	0.96818	0.88477	0.007099

Source: Microfit 5.0 (Author's computation)

Now, looking directly at the t-distribution model (Table 6), we can summarize that both financial sector and real sector will come back to normal equation or in an equilibrium position if they experience any shock—the summation of



estimated value of (lemda1-FIN and lemda2- FIN)<1 as well as (lemda1-REA and lemda2-REA)<1. Interestingly, identical scenario is also observed in the composite Turkish equity market (lemda1-ALL and lemda2-ALL<1). In other words, it can be said that the shock to the volatilities regarding these sectors (financial, real, and equity market) is temporary. This nature of volatilities bolsters investors and portfolio managers in order to have a quick profit or short-term profit, but for long run the possibility of making significant profit is less, simply put, they may even loss the investments.

Table 6. Multivariate GARCH with underlying multivariate t-distribution

Parameter	Estimate	Standard Error	T-Ratio	[Prob
lambda1_ALL	0.8808	0.0078042	112.8628	[000.]
lambda1_FIN	0.87645	0.0083777	104.6168	[000.]
lambda1_REA	0.88174	0.0078471	112.3649	[000.]
lambda2_ALL	0.081691	0.0042453	19.2427	[000.]
lambda2_FIN	0.08136	0.0043115	18.8704	[000.]
lambda2_REA	0.083483	0.0044967	18.5652	[000.]
delta1	0.91826	0.0032923	278.9085	[000.]
delta2	0.032819	0.0010265	31.9714	[000.]
df	4.3522	0.090468	48.1075	[000.]
Maximized Log-Likelihood = 202342.7				

Source: Microfit 5.0 (Author's computation)

The unconditional volatility of financial sector, real sector and composite Turkish equity market is summarized in Table7. The diagonal values represent the unconditional volatility of these sectors, especially, considering the objectives of the study, financial and real sector. Noticeably, the unconditional volatility value close to zero denotes the least volatility, in other word, the value for specific variable near to 1 means high volatility. Considering Table 7, it is conspicuous that financial sector is more volatile compared to real sector meaning that, for investors, this sector is not as much preferable as real sector. However, the risk taker do not lie under this assumption because they always prefer risky asset in order to make high profit.



Other values or off-diagonal values show the correlation between these sectors, there is strong positive unconditional correlation (88.47%) exist between financial sector and real sector, this correlation fully comply with the static correlation (88.5%) that we have present in Table 3. This significant strong positive correlation denotes that development in financial sector leads to development in real sector and vice versa, this same explanation goes for financial sector with composite Turkish equity market.

Table 7. Multivariate GARCH with underlying multivariate t-distribution

Variables	ALL	FIN	REA
ALL	0.007924	0.97256	0.96818
FIN	0.97256	0.009468	0.88477
REA	0.96818	0.88477	0.007099

Source: Microfit 5.0 (Author's computation)

Now, we discuss conditional volatility and dynamic conditional correlation that provide correlation of variables regarding time variations, in other words, periodical correlation between variables. The result of the conditional volatility and correlation summarizes in Figure 2 and Figure 3.

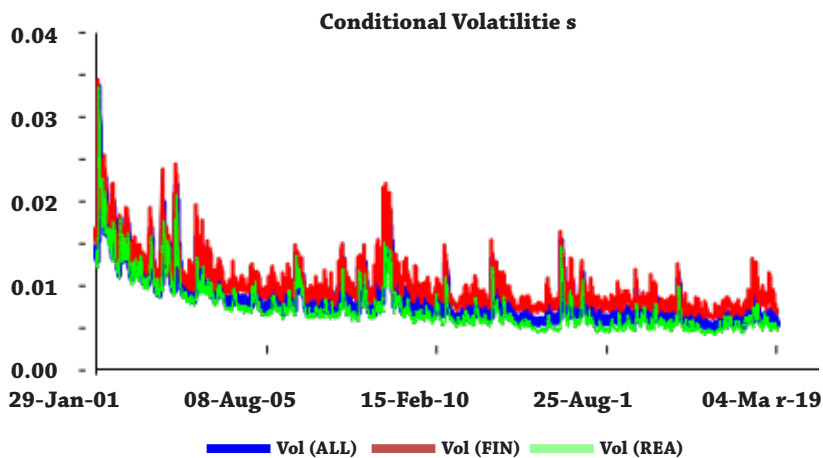


Figure 2. Conditional Volatility (FIN, REA, ALL)

Source: R-programming (Author's computation)

In Figure 2, it is explicitly clear that financial sector is more volatile compared to other sector, especially real sector in Turkey. Taking consideration



into the year 2003 and 2004, three sudden spikes are observed meaning that in those periods the financial market was more volatile than before, interestingly, real sector was also got hiked in the same period along with the financial sector. However, surprisingly, the composite Turkish equity market was comparatively less volatile during the period. After this period, a straight spark can be seen before 2010, mostly during the global financial crisis 2008-2009 which is literally plausible because of the placement of the financial crisis in that crisis period. In the following years, there were no major hike except in 2012, 2014, and 2019, though these are not as hiked as 2008-2009. So, from this nature of volatility, it can be concluded that recent years the financial sector and real sector are less volatile compared to previous years.

Along with this volatility nature of financial and real sector in Turkey, we can also observe the dynamic correlation of same sectors in Figure 3, it mainly shows two pairs of dynamic correlation: i) real sector and financial sector and ii) financial sector and composite Turkish equity market. Here, the correlation of former pair is more fluctuated than the later one, it denotes that the correlation of former pair changes over times and have some significant fluctuation in some specific time period. For instance, until 2007, the financial sector and real sector have comparatively steady strong dynamic correlation;

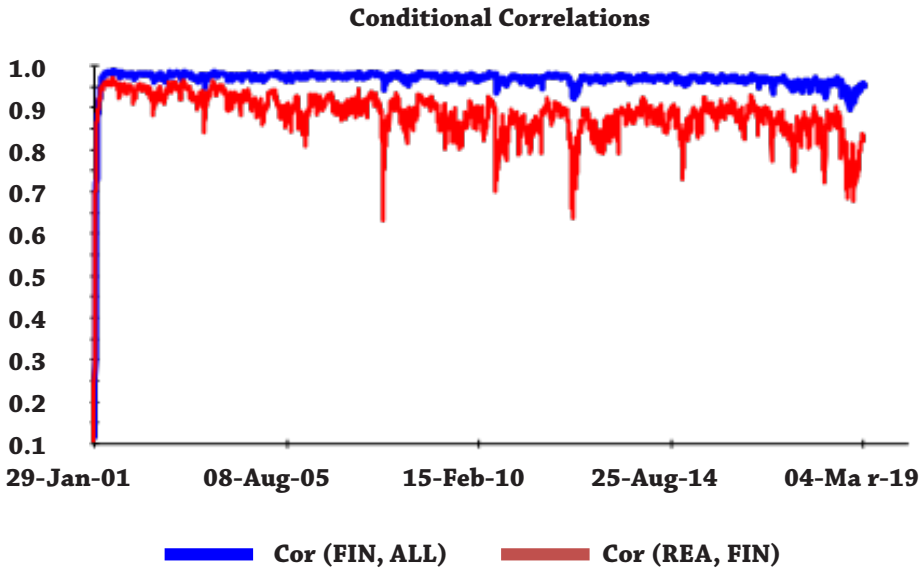


Figure 3. Conditional Correlation (FIN, REA, programming (Author's computation))



however, this correlation dropped in 2007 which was a sudden drop, it is most probably because of the financial crisis that took place in the same period. Interestingly, the immediate year the strength of correlation came back to the previous position and continued until 2010, later the pair experienced few more fluctuations between 2010 to 2014. In 2019, reportedly, the degree of correlation between financial sector and real sector fall into the same pattern as in 2007, simply put, this pair experienced a moderate positive correlation.

Wavelet Coherence Analysis

This section of the study discusses the dynamic correlation of financial sector and real sector; alongside, it also explains the same nature of dynamic relationship between financial sector and composite Turkish equity market. Here, the horizontal axis of the figure represents time (4764 days) while vertical axis refers to scale and frequency (scale 1 to scale 1024 and above) that has reverse relationship—i.e., higher scale means lower frequency. The whole figure can be divided into two parts: first, inside the white line and second, out the white line. The former one refers to the significant region for the variables, and latter one refers to insignificant region. It is noticeable that a color scale is place right side of the figure which mentions the intensity of the relationship between the variables. Now, considering the color more explicitly, the red color (0.80-1.00) represents strong correlation, yellow color (0.60-0.80) evinces moderate strong correlation, aqua color (0.40-0.60) represents moderate weak, and blue color (0-0.40) represents weak correlation between variables.

It can be seen in Figure 2 that there are some major areas where the pair (financial sector and real sector) has high variance meaning that they are highly

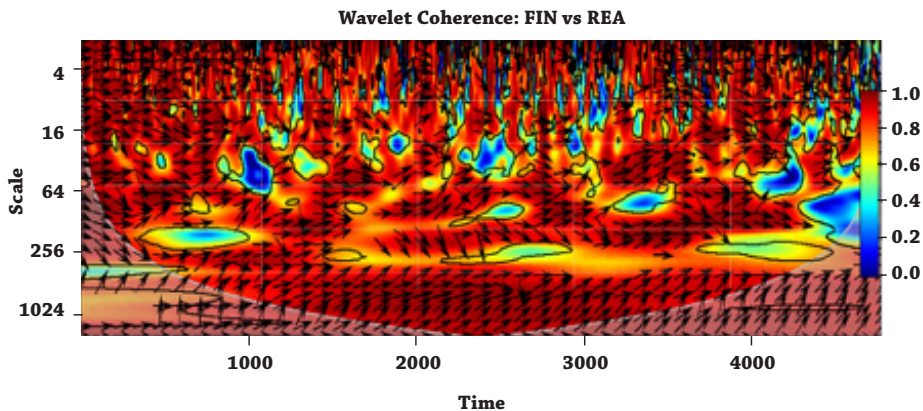


Figure 4. Wavelet Coherence between Financial Sectors and Real Sector

Source: R programming (Author's computation)

interdependence between each other. For example, the region between the scale 512 and 1024 the pair is strongly and positively correlated within the days from 1500 to 3500. Considering the arrow direction, financial sector seems to act as a follower where real sector as leader; simply put, real sector seems to have significant impact on real sector, but financial sector does not have that impact on real sector. However, considering the region between the scale 64 and 256, the pair is strongly and positively correlated within the days from 500 to 3500 where financial sector seems to lead the real sector, meaning that financial sector seems to have impact on real sector.

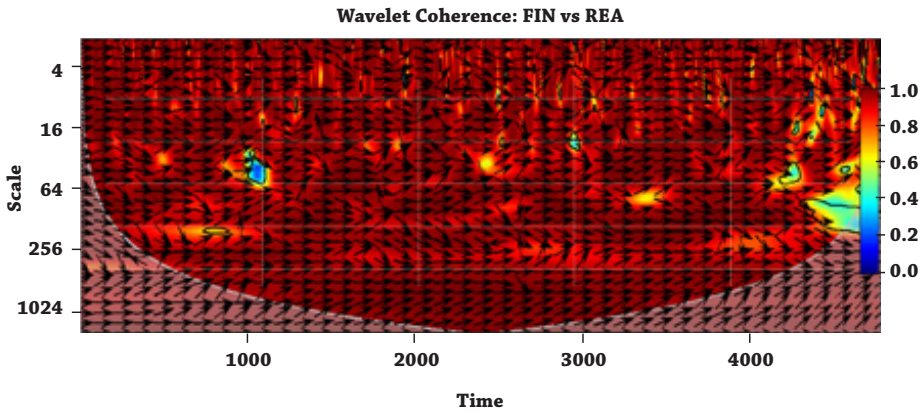


Figure 5. Wavelet Coherence between Financial Sectors and Composite Turkish Equity Market
Source: R programming (Author's computation)

Now considering Figure 3, it is noticeable that most of the region inside the white line is red or warmer color which indicates a strong dynamic correlation between the variables (Financial sector and Composite Turkish market equity). In other words, the dependency of financial sector and composite Turkish market equity turns out to be restricted to most of the period. However, there are some period where the variables are more restricted from other period. For example, between the scale 512 and 4764 the pair is strongly and positively correlated within the days from 2000 to 3000, noticeably this pair very closely and positively correlated at almost all frequencies. Considering the direction or arrows, here, financial sector leads composite Turkish equity market which seems to denote the impact of financial sector on composite equity market. However, regarding other regions in different time frequency, an opposite behavior of the pair is observed.



Discussion

From the tested results that have been explained earlier, it is conspicuous that there is a strong positive correlation remains between financial sector and real sector or economic development in Turkey. Reportedly, this finding seems to go against the finding that a study found in 1996-2001 where the study conducted on financial deepening and economic growth in Turkey and found a strong negative relationship between financial deepening—both public and private—and economic growth during the period of 1996-2001 (Ardic & Damar, 2006). It is noticeable that among the three sectors that have been mentioned in this study, financial sector is more volatile than real sector and composite Turkish equity market.

With the strength of correlation, this study also finds the direction of the variables, most of the cases financial sector leads real sector though there are also significant areas where real sector leads financial sector which is definitely noticeable and undeniable. Therefore, this bilateral correlation behavior indicates that in Turkish economy both sectors have a significant interdependence behavior—anything changes in any of the market has significant impact on other market. This behavior is true for both unconditional and condition correlation nature, even in static correlation nature.

It is reported earlier, according to the optimistic approach, effective and efficient financial systems encourage more savings and expedite the efficient resource allotment; alongside, it also helps to minimize agency costs and augment innovation performance. In addition, this efficient financial system assists to provide high-return on investments by risk-sharing. Therefore, considering the findings of the study, this dynamic correlation nature of financial sector and real sector, if Turkish financial sector becomes more efficient than it will be able to accumulate more savings and facilitate the efficiency allocation of resources which ultimately lies with supply-leading hypothesis meaning that financial sector development precedes real sector growth (Schumpeter, 1911). On the other hand, in accordance with the latter approach, the improved financial system may boost high systemic risk, substandard low savings. Furthermore, it may also lead to substandard high allotment of labor to the financial sector, overheated economic capacity that ultimately produce a high inflation, or the effort of inefficiently high cost on the economy.

Conclusion

The development of financial sector is a crucial determinant for the progress of real sector. According to Ductor and Grechyna (2015), development of financial sector is one of the key factors for a progressed economy. This study mainly investigates

the co-movement or dynamic correlation between financial sector and real sector in Turkish economy. In addition, it also examines the volatility nature among the sectors. In order to find the findings, it mainly applies multivariate GARCH dynamic conditional correlation and wavelet coherence techniques. Alongside, it also uses Pearson correlation technique in order to find the static correlation between the variables. Here, the study selects the period of data from 29/12/2000 to 03/04/2019, total observation of data counts as 4764 regarding daily frequency. Instead of dollar denomination, the study uses Turkish lira denomination in order to comprehend the findings easily for the reader, especially for investors.

After testing data using the selected techniques, the study finds that there is a strong positive correlation between financial sector and real sector or economic development in Turkey. From directive perspective, most of the cases financial sector leads real sector; however, the opposite direction is also noticeable in the study. These findings indicate that with the time variance, sometimes financial sector seems to have impact on real sector, or sometimes real sector seems to have impact on financial sector. Along with this dynamic correlation results, it also finds that among the three sectors that have been mentioned in this study, financial sector is more volatile than real sector and composite Turkish equity market.

Policy Recommendation

From overall economic perspective in Turkey, according to this study, financial sector has significant contribution to real sector, so in order to experience significant economic development, the growth of financial sector is an essential determinant (Ductor & Grechyna, 2015) for Turkey. Therefore, the authority should take some strong measurements in order to make Turkish economy vibrant and focus extensively on financial sector's development. Now, from investors perspective, investor may consider these findings in order to invest their considerable investment in Turkey; however, they should have a genuine look over the volatility behavior of the sectors. According to this study, financial sector is more volatile than others, this volatility nature may demotivate some of the investors; however, it may also attract investors (risk-taker) to consider this sector because according to rule of thumb, risky or volatility provides higher return.

Recommendation for Future Researcher

No matter how significant the findings are or how vibrant the applied techniques are, there is always room for new researcher on the same topic because of the nature



of the data, time period, and even emergence of new techniques. Here, the future researchers may concentrate on the micro part of these sector, they may also use the same techniques for analyzing the financial market and real market in order to provide a clear scenario to the investors who eagerly want to invest in these sectors.

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Contribution of the Islamic Microfinance to the Social Economy: A SWOT Analysis of Islamic Microfinance

Syed Magfur Ahmad*

Abstract: Global cooperation for poverty alleviation and development issues are among the United Nations Sustainable Development Goals (2016-2030) and have recently been the subject of frequent academic discussion. Today's poverty has become like a big barrier to economic growth and development. Especially developing and under-developing countries have been facing this problem frequently. Poverty is the main problem of sustainable human development. Islamic microfinance is considered to be the most appropriate form of current micro-credit that promises the same benefits based on the Sharia. In addition, disseminating smaller consistent financial products than existing funding alternatives such as Islamic microfinance to increase social awareness and facilitate access to financial instruments in order to ensure social development with a social purpose. Instead of credit, it includes Islamic microfinance, trading activities with murabahah, equity financing with mudarabah and musharakah, savings with kardh, money transfer system with zakat and charity, and insurance with takaful. Islamic microfinance practices have emerged as an alternative way for poverty alleviation by ensuring the compliance of financial transactions with Islamic law. The research paper aims to find out and analyses the contribution of the Islamic Microfinance to the social economy. For all that, this paper will also asses the strength, weakness, opportunity, and threat (SWOT) analysis of Islamic macro-finance. This research paper conducts according to the exploratory, descriptive, and case study-oriented research method in relation to find out Islamic microfinance activities into the market. Data collection method provides qualitative data collection based on secondary data processing. The secondary data collection is mainly followed by using different papers, studies, websites, official reports, government report, and other sources. Islamic Microfinance has shown as a potential alternative way for reducing poverty level from the society by ensuring social awareness programs and implementing Islamic microfinance opportunities, which reveal the contribution of the Islamic Microfinance to the social economy. Until now, the focus for Islamic microfinance practitioners, microfinance has been very similar to traditional debt financing instruments. In Islamic microfinance applications, in addition to the group-based method, individual financing method is also used to provide members with financing.

Keywords: Microfinance, Islamic Microfinance, Social Economy, SWOT Analysis, Islamic Finance.

* Istanbul University, Social Sceince Institute, Islamic Economics and Finance, MA Program.
Contact: magfurjnumkt2009@gmail.com.



Introduction

Poverty reduction has not only been the goal of the 21st century but has also been a continuing challenge throughout history. In this century poverty is a burning issue for many developing and under-developed countries. The population of people living below the poverty line in the world is surprising and the problem does not go far though (Samer et al., 2015). Financial intermediation is aimed at providing financial services to the poor in the form of loans, savings, insurance and financial transfers combining with social intermediation that help to establish the capacity and capability of the poor in the form of society's structure. Nowadays, Microfinance plays an important role in the many aspects of poverty by providing financial services to the society's people (Sezgin & Şahin, 2016). Microfinance was originally created to help the very poor. They are not viable and accountable from the perspective of a formal financial institution. Islamic microfinance can be defined as a capital investment based on Islamic finance modes, to help low-income customers, low-income entrepreneurs to establish and maintain their businesses (Nabi, Islam, Bakar & Nabi, 2017). Islamic microfinance is also considered as the means of financial development that helps people to reduce poverty from the society. Islamic Microfinance institutions are also established to encourage savings and loans mainly for financial activities in society. Islamic Microfinance activities focus on reducing the poverty level from society that can contribute to the country's economy.

Islam recognizes that everyone needs to secure basic needs and enjoys rich members of society to help those in need. Islamic Microfinance institutions can contribute to the social economy in the realization of their global vision of creating sufficient revenue-generating opportunities, invest in people's prospects for improvement by improving the scope, quality of education, health and services. Like Indonesian and Malaysian Islamic Microfinance institutions that protect the poor and save them from their vulnerable situation such as sudden risks of unemployment, disease, drought and other disasters (Hazlina, Jusoh, & Shariff, 2015). Most of the Bangladesh and Pakistan Islamic Microfinance institutions Usually measures to increase common welfare and prosperity for the society's people. Islamic Microfinance in different official banking financial sector is a rapidly growing sector which enjoys its own niche. Islamic Microfinance continues to play an immense role for achieving economic growth, eliminating poverty, eliminating unemployment, reducing regional inequality, equality for women and implementing women's empowerment in the society's people (Wilson, 2007). Many IMFIs have achieved



financial sustainability and independence from donor subsidies and serve a wider and different client. Islamic Microfinance gradually creating new opportunities to contribute to the social economy for the welfare of society's people.

Literature Review

Microfinance is not a new phenomenon: Small operations have been in existence since the 18th century. Microfinance practices in the third world countries are very popular due to the high and constantly variable inflation and the inadequacy of the regulations on financial services. The modern form, micro-finance has become largely popular in the 1970s. After 1980s Islamic microfinance started slowly especially into the Islamic bank. According to Ascarya (2012) *"Microfinance is one of the Islamic approaches to alleviate and eradicate poverty, so that the main target is not only the poor but, more importantly, the poorest of the poor, which have always been left out by mainstream microfinance"*. Islamic microfinance has shown their growth significantly to keep contributing to social development in many Muslim countries such as Bangladesh, Nigeria, Sudan, Indonesia, Pakistan, India, and Malaysia. Islamic Microfinance is considered as a development tool that provides financial services and very small loans, micro leasing, micro-insurance, and money transfer to help those who are very or extremely poor in growing or establishing their businesses (Ahmed, 2002).

Today, Islamic microfinance concentrates in three countries: mainly Indonesia, Bangladesh, and Sudan. Islamic financial institutions that come to mind when it is said that the first Islamic bank in the area of application is very limited. However, there are also Islamic Microfinance practices with a social responsibility mission that serve the social goals of these organizations and are especially offered to the benefit of low incomes people (Rashid, Uddin, & Zobair, 2018). Islamic microfinance institutions help to the poorest customers to keep their business profitable by providing microfinance services. The continuous progress of Islamic Microfinance to maintain their Islamic duty to alleviate poverty can also be an effective model to the Islamic principles (Mansori, Kim & Safari, 2015). Social development programs in the Islamic microfinance institutions include the development of skills, increasing incomes and assets, decreasing household expenses among the poor people, and so on. At the same time, social development programs in Islamic microfinance institutions through the worldly and religious activities are also directed to the poor to improve their quality of life (Hassan & Ashraf, 2010).



Methodology

Research Method

This research paper involves the descriptive, and case study-orient research design to find the Islamic microfinance activities on Islamic finance. Data collection method provides qualitative data collection based on secondary data processing. The data collected by secondary data processing according to some papers, official reports, studies, government reports, and other sources.

Objectives of the Study

The research paper focuses to explore and analyze the problems and expectations of Islamic micro-financing on Islamic finance. For all this, this article will also consider the analysis of strengths, weaknesses, opportunities, and threats (SWOT) of Islamic macro-finance on Islamic finance. To determine demographic and socio-economic impact of Islamic macro-finance and analyze the future possibility of Islamic macro-finance is also Objectives of the Study. The aim of this study is also to go beyond the financial reach in the struggle against the poor and find solutions by using Islamic Microfinance.

Significance of the Study

Islamic Microfinance has two bottom lines, namely through the intermediary financial intermediation and has a social mission to alleviate poverty. The economic and social revival is strongly interrelated, so it must be initiated together. Islamic Microfinance is located more than just savings and loan savings in social activities because Islamic Microfinance has committed to reducing the poverty level in society. Pay attention to increased SDG objectives and the role of Islamic finance in poverty reduction, depending on the basic income guarantee Islamic microfinance can be used as models to help the effective social development features in the rural economy and to reach the development agenda in developing countries by 2030.

Research Problem

The lack of demand for Islamic microfinance services leads to a mismatch between the shape and poor needs of existing services. Banks in developed, developing and especially underdeveloped countries still ignore poor customers. Because the lack



of collateral makes them riskier, and banks fear that poor customers will feel little responsibility for repaying loans.

Hypothesis Development

01: Islamic microfinance services to low-income groups in the social arena have improved a lot of opportunity to the society's people and Islamic Microfinance, if applied correctly, is really the answer to poverty reduction.

02: This hypothesized study is to go beyond the financial reach in the struggle against the poor and find solutions by using Islamic Microfinance.

Data Collection and Analysis

Islamic social finance, Like Islamic microfinance which advocates a shared economy and promotes redistribution, can play an important role in achieving the twin development goals of global poverty reduction by 2030 and increasing common welfare by increasing the income of 40 percent of the population. Until the end of 2017, the total volume of the Islamic finance sector has \$ 2.7 trillion assets into the market. According to Global Islamic Finance Markets Report 2019, Islamic Banking is the greatest contributor in Islamic Finance Industry, which contributes 80% to the total \$ 2.3 trillion Islamic finance industry while Islamic Microfinance contributing 1% stands as last. According to the world bank, more than 500 million people benefit directly or indirectly from microfinance-related operations that are more effective for social economy to contribute to social development. According to CGAP survey in 2013, 300,000 customers operating in 14 countries and 126 organizations through Islamic microfinance concern is connected to a network of cooperatives in Indonesia about 80,000 customers. According to CGAP, total Islamic Microfinance clients in the world is about 1 million. More than half of them is in Bangladesh and over 80 percent of them is concentrated in Indonesia, Bangladesh, and Afghanistan. According to CIBE, the total number of Islamic Microfinance Institutions reached up to 400 Institutions / Banks and the volume of Islamic Microfinance also reached up to \$ 1.5 billion globally by the end of 2017. Those are working directly or indirectly to develop our society's economic condition. Most of the Islamic microfinance institutions are taking effective steps to reduce poverty and keep contribution continuously to the social economy in society.



Discussion (SWOT Analysis of Islamic Microfinance)

Microfinance has emerged as one of the most sustainable and influential components to combat global poverty. Experience shows that Islamic microfinance can help the poor to increase their income, establish viable and successful businesses, and reduce their vulnerability to external shocks and coups (Akhter, Akhter & Jafri, 2009). Over the past few decades, many attempts have been made to reduce poverty in Muslim countries. Islamic Microfinance can also be a powerful tool for the poor, especially women, to stand on their own feet, allowing them to become agents of economic change (Kachkar, Fares, & Noordin, 2014). The encouraging development in the growth of Islamic microfinance is that Islamic commercial banks have begun to offer Islamic microfinance services into the market. Islamic microfinance considered the center of Islamic finance that addresses one of the basic conditions of financial intermediaries according to Islamic finance role and regulation. It is a sector with great potential to expand Islamic Microfinance. According to CGAP survey, 72% of the population mostly living in Muslim countries does not use financial services because they do not follow the principles of Islam. Microfinance includes providing unsecured loans to poor people. Weaknesses of traditional microfinance such as high-interest rates, credit diversion, credit scorecard charge in the market. Islamic Microfinance has been making many opportunities for low-income Muslim and bearing accessible with potential financing activities into the market (Mush-taq, 2017). Comparing to microfinance activities, Islamic Microfinance has some strengths and weakness into the market such as an incredible tool for poverty alleviation, an alternative component for achieving SDG and a new dimension of Islamic banking products, the absence of basic infrastructure, shortage of trained and qualified staff and also limited funds. According to an analysis of Islamic microfinance activities noticed that they have also some existence opportunities and threats into the market. At the same time, Islamic microfinance institutions have many issues related to the sustainability of the current application into the market.

The Strengths of Islamic Microfinance

01: An Incredible Tool for Poverty Alleviation

Islamic microfinance, which can also be used as a strategy to combat poverty, represents a combination of two rapidly developing sectors around the world: microfinance and Islamic finance. *Microfinance provides financial services to individuals, small businesses who have no access to bank-related financial service.* Last decade Islamic mi-



crofinance institutions have shown a new viable alternative medium to decrease the poverty rate from our society especially in developing Muslim countries such as Bangladesh, Pakistan, Malaysia, Indonesia, and Sudan. Islamic micro-finance, particularly to poor people helps to develop their talents, skills, and knowledge that allows them to be independent financially into society. The financial structure of Islamic micro-financial institutions has proven an incredible tool to focus more on social development for poverty alleviation into society (Yumna, 2011).

02: An Alternative Component for Achieving the Sustainable Development Goal

In the world, many countries are planning and using different types of steps to obtain SDGs. In this example, the perception of Islamic Micro-financial instruments has a great interest because of being based on principles consistent with human well-being. Microfinance can be a channel to accept important in reducing poverty, especially Islamic microfinance is increasingly seen in the Muslim majority country's that have been created an alternative component to achieve the sustainable development goal for eliminating poverty from the society. Islamic microfinance also promotes economic empowerment through entrepreneurship, risk-sharing and financial participation in the society (Kholis, 2012).

03: New Dimension of Islamic Banking Product

Considering the Islamic banking practices in the world, Islamic banks offering a small number of Islamic microfinance services to the people. Islamic microfinance practices began in several Islamic countries with the adaptation of the traditional microfinance structure based on the group model to contribute social economy in accordance with Islamic criteria and then spread all over the world. Islamic MFIs has paved the way to the capital from the commercial banking sector by following Islamic rules and regulations that have been developed to provide financial services (Lasmiatun, 2014).

04: Help to Sustain an Islamic Financial System in Islamic Banking

Islamic banks can take advantage of the spectrum of sources of sharia-compliant funds to offer a wide range of financing instruments that meet different needs and demands of clients. Islamic microfinance helps to sustain an Islamic financial system in Islamic banking. Islamic microfinance Institutes are helping poor people



making them economically independent and Providing financial support with the ability to utilize their expertise (Nugroho, 2014). Many Islamic microfinance elements are thought to be consistent with the objectives of Islamic finance.

05: Provide Microfinance Products Based on Equity, Justice, and Ethics

Another feature of Islamic micro-financing is also being established on the pillar of ethical responsibility which promotes economic balance in the society. Much Islamic microfinance programs to provide a financing model of extreme poverty that is also included the principle of zakat. This zakat using funds provided through interest-free loans (Qard-al-Hasan) to the poor is done by some Islamic microfinance institutions that follow the Islamic finance regulation based on equity, justice, and ethics (Manana & Shafiai, 2015). Islamic microfinance products doctrines maintain such as social and economic equality, equity, values, money distribution, and social interest. Like, “*Murabahah, as the capital goods needed, is an asset-based sale transaction used to finance*”. “*Musharaka is a business venture that ensures equity participation, in which parties share profit or loss at a predetermined rate*”. “*Islamic insurance takaful is a mutual insurance equivalent scheme*” (Hassan, Qamar & Chachi). Those are Islamic micro-financing products that ensure justice, equity, and ethics-based financing into the market.

06: Promote Business Development with Social Business Process

Islamic micro-financing promotes business development in the market. Creating new alternative dimension Islamic micro-financing has been shown outstanding performance in the Islamic finance market as associated with the social business process. In the same time, Islamic microfinance also maintains a development process which refers to socio-economic goals of advocating financial inclusion, entrepreneurship, partnership and participation by the poor (Ferrer, Giacomo & Boundaoui, 2014). Islamic microfinance allows people to get reasonable small business loans safely that promote business development with ethical lending practices into society's people.

The Weakness of Islamic Microfinance

01: The Non-Availability of Shariah Advisor

The non-availability of Shariah advisor in the Islamic microfinance is the subject of concern because there is no separate law for operating Islamic Microfinance activities under Islamic law (Hersi, 2018). In the absence of shariah advisor, Islamic



microfinance cannot work properly according to Islamic finance rules and regulation. For this reason, still, now the debate is continuing about activities of Islamic microfinance into the market.

02: The Absense of Basic Infrastructure

Another basic weakness of Islamic Microfinance is that there is no basic infrastructure under Islamic law. It works in a similar way to microfinance by changing some roles and arrangements. Lack of basic infrastructure and operational difficulties compounds showed an obstacle to their business operations (Rahman & Dean, 2013). Corruption has been a devastating ruined a lifesaver in many sectors of many countries economy. The absence of basic infrastructure microfinance sub-sector is not left out of the ravages of corruption.

03: Shortage of Trained and Qualified Staff

The other weakness of Islamic micro-financial institutions is that shortage of trained and qualified staff in their operation. Islamic microfinance is also having a lack of trained personnel. Professional staff is employed after reaching a certain capacity. Unfortunately, the lack of qualified and well-trained employees in the field of Islamic Microfinance is a relatively high portion. Other barriers include lack of technical expertise, quality HR, performance, protocols and internal procedures for the capacity of managers and staff (Hersi, 2018).

04: Limited Funds and Outreach of Islamic Micro-Financial Institutions

Economic sustainability of Islamic micro-financial institutions is not economically sustainable because of insufficient funding and high management costs. Many of the risks and challenges encountered in traditional microfinance those are existence into the Islamic microfinance operation. In addition to the shortage of funding resources and lack of product diversity in financing is a problem for the long-term sustainability of Islamic micro-financial institutions (Hulaika & Hasan, 2017). Indecision of exchange rate has a negative impact on the performance of Islamic microfinance institution. Therefore, Islamic microfinance cannot function properly without interest-based activities to market. lack of sufficient capital for micro-financing of Islamic microfinance institutions and small projects have emerged from long years.



05: Lack of Products and Promotional Activities

The lack of an assortment of Islamic microfinance has a big weakness in the market. Limited donors and agencies supporting Islamic microfinance institutions. But the market did not show any major initiative to produce the new attractive diversified product. Due to the lack of funding consolidation and high administrative costs, most Islamic microfinance institutions are not economically viable (Riwajanti, 2015). For this reason, they have pressure on money and they could not bring new products and services into the market. Islamic microfinance institutions do not make appropriate marketing programs for their products and services.

06: Poor IT Integration

Microfinance has the mission to alleviate poverty through two sub-lines, namely financial intermediation and social mediation. Microfinance sector also benefits from technological developments. Information technologies provide an important opportunity for micro-entrepreneurs to provide microfinance services easier. Unfortunately, in Islamic microfinance sector leads with poor IT integration. For this reason, they cannot catch customer concentration in the market.

The Opportunity of Islamic Microfinance

01: More Job Creation

Islamic microfinance has shown their potentiality with good financing to unprecedented levels in the Islamic world. Since the last decade, Islamic microfinance has created many opportunities for people to create more jobs. Some Islamic interest-free small and medium-sized businesses create business activities of microfinance institutions (Wediawat, Nidar & Setiawati, 2015). So that the poor and middle-income people can improve their lives by getting another job opportunity or income opportunity in society. The total number of Islamic microfinance institutions operating in the world is more than 350 Islamic microfinance industries. This is the total volume of about 1.4 billion dollars less than 1%.

02: Attracting Financing Tool for Social Development

Islamic microfinance through the creation of financial services from the base to the final destination is the maximization of social benefits for social development.



Islamic microfinance organizations assist a wide range of activities that linkage to training programs can help people to run their business properly into the market (Fersi & Boujelbéne, 2016). Islamic microfinance also supports to develop the necessary skills to succeed as an entrepreneur. Islamic microfinance encompasses various non-purposed profit mechanisms such as Charity, Zakat, Awqaf, and Qard-Al-Hassan. Those are attracting humanitarian financial tools for social development from the early ages.

03: Venture Capital Market for Long-Term Growth

Islamic microfinance emerges as a new concept that is being demanded long-term growth in the future to define market segments and ensure the proper privatization of products. In traditional microfinance, there is a secular social program, whereas in Islamic microfinance a social program based on Islamic principles is implemented that helps to build for long-term growth into the market (Obaidullah & Khan 2018). In many countries, Islamic microfinance loan has proven to be an effective means of ensuring that low-income segment of the society is to kick-start small businesses.

04: Dynamic Viable Alternative Products

Islamic microfinance products have been shown some new dynamic viable products variation about the accumulation of small savings and the provision of small sharia-based loans. In addition to the use of Islamic financial products in place of interest-earning products, which can be more profitable rather than conventional products (Obaidullah & Khan 2008). Islamic microfinance focuses on productive economic activities which can contribute to the national economy by creating dynamic viable alternatives products into the market.

05: Easy to Facilitate Loan Packaging to Society's People

Islamic MFKs can provide non-refundable funds to the poorest by benefiting from zakat and charity institutions. The social capital created by the sense of religious fraternity can be encouraging in terms of repayment of funds that helps to facilitate loan package to the society's people. Sometimes Microfinance institutions do not provide loans for the poor in their extreme necessity. However, in microfinance institutions, there are new studies that customers borrow from other microfinance



institutions to repay their loans and they cannot get out of debt (Fersi & Boujel-béne, 2016). But Islamic microfinance facilitates always easy loan system to the society's people.

The Threat of Islamic Microfinance

01: Conventional Multidimensional Products and Services

Traditional microfinance does not meet the needs of many customers running various businesses in the MFI usually starts with a single product; Over time, the market begins to divide and diversify its products continuously. Islamic microfinance has a lack of diversification and standardization products comparing with conventional products and services. For that, they are losing their market position continuously into the market. The continuing progress of conventional multidimensional products and services that creates an obstacle for the economic feasibility of Islamic microfinance institutions into the market (Widiart, Emrouznejad, 2015). Another big threatened issue for Islamic microfinance is that increase of Micro-credit and Micro-insurance into the market.

02: Increase of Conventional Micro-Financial Institutions

Islamic microfinance is losing their market share gradually due to increase of conventional micro-financial institutions into the market. Conventional micro-financial institutions bring up new dimensional products continuously. In simpler terms sustainability of micro-financial institutions is that products can be considered to sustain long-term and customers will continue to benefit from their services (Widiart, Emrouznejad, 2015). According to the growth of Islamic microfinance products and services has strong demand into the market, but this sector has been slow due to combating with conventional micro-financial institutions.

03: Low Return on Investment

Islamic micro finance has poor market penetration. In Islamic microfinance, the market-based distribution system did not serve people sufficiently to low-income. The higher the operational efficiency rate of Sharia rural banks and the higher the cost which may be due to the fact that sharia-suitable products (min 75% Mura-bahah) have higher processing costs. Islamic micro finance doesn't get expected a return on investment as the customer's failure to pay returns on due times.



04: High Poverty Index

Islamic banking and finance are becoming popular in South Asia, Central Asia & MENA region which would make Islamic Microfinance strong in its respective field. But the high poverty rate, especially in Muslim countries, is a matter of concern. To be consumed by micro-credit borrowers that Islamic microfinance credit default diversion is often made one of the main reasons. In addition, get a high overall interest rate and high poverty index has prevented the reduction of poverty.

Findings of the Study

- The problem of poverty is becoming more widespread with the emergence of some economic, political and social crises these can be minimized by microfinance and Islamic microfinance activities into the society.
- Islamic microfinance has the potentiality for the responding of Muslim society along with a social policy for the establishing interest-free financial services to merge a new financial dimension considering access for the poor people.
- Zakat and other unique funding model based on Islamic microfinance in poverty around the entire Islamic world may emerge as an effective tool in dealing with all kinds of financial inclusion.
- Islamic microfinance has been proposed to be a critical supporter of welfare and fair distribution, but it should be gained through a comprehensive way approach to the challenge of combating poverty through microfinance.
- The development of Islamic microfinance and microenterprise might establish a positive acceleration of economic growth with a productive venture. Going beyond financial access in the fight against poverty is to find solutions using Islamic microfinance.
- The strength of Islamic microfinance with overcoming weakness along with opportunities by reducing threats has shown tremendous achievements in the market.

Recommendations of the Study

- The management capacity of the communities should be strengthening and improve the effectiveness of services from government especially in Muslim countries that are supposed to monitor the Islamic microfinance activities.



- Despite the success of Islamic micro-finance, poverty needs to have a new perspective in terms of multidimensional mitigation. Islamic microfinance should review their operations when it uses as Islamic financing instruments.
- It is acknowledging that the Islamic microfinance sector is an urgent need for the preparation of educational materials in local languages and the development of training centers, which will be not very costly.
- Islamic microfinance institutions should assess and manage the different risks associated with their activities. Develop risk management tools and type of financing and objectives. Marketing strategies should be followed to ensure sustainability.
- It must be effectively and efficiently managing the credit risk of Islamic microfinance institutions to become sustainable and Islamic microfinance should also innovatively reduce the transaction cost.
- The integration of microfinance into the organizational structures of Islamic banks will not only have positive consequences for the fight against poverty but will also contribute to the Islamic banks.

Conclusion

The creation of poverty reduction and employment opportunities, especially for rural women and young people are given priority to contribute to the social economy in the government's development agenda. Microfinance and Islamic finance have one thing in common but Islamic microfinance emphasize the well-being of society with advocating entrepreneurship and risk-sharing activities for the poor people. Islamic microfinance has become a fast-growing market in the Muslim world that allows access to millions of disadvantaged people and financial services to ensure the welfare of society's people. The microfinance system that emerged to provide access to finance for the poor contributes to the solution of the poverty problem. Besides the socio-economic goals of Islamic microfinance has revealed a new component for the development of society. Islamic Microfinance consists of Prohibition of interest, profit and loss sharing, and avoidance of uncertainty and speculation are micro-financial services based on governing Islamic financial principles. Islamic Microfinance institutions have the contribution to society's socio-economic change that has been developed with a common purpose. Islamic Microfinance not only worked in the field of savings and loans but also provided training for enhancing



income-generable skills to improve the economic status of the people. The ultimate goal of Islamic microfinance method is to increase the growth portion with considering social welfare, equality, and justice. As well as it also works to increase social economy and fulfill the social goals that make financial contributions to the poor. There will be a positive image of the businessman as they can focus on maximizing profit considering all segments of the society's benefits.

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Felsefe
Philosophy

Politeia ve *Nikomakhos*'a Etik Bağlamında Platon ve Aristoteles'in *Dikaiosynê* Anlayışı

Boungiamin İmamefendi*

Öz: Adalet tarih boyunca üzerinde en fazla yorum yapılan ve tanımlanması konusunda bir türlü ortak bir tanım bulunamayan kavramların arasında bulunmaktadır. Felsefe tarihinde Antikçağ'dan Modern Çağ'a kadar birçok filozof bu kavram üzerinde yorum yapmıştır. Bu filozofların arasında Platon ve Aristoteles de bulunmaktadır. Platon *Devlet* (Πολιτεία) adlı diyalogunda genel olarak yaşam, özel olarak da *polis*, toplum ve bireyin adalet (δικαιοσύνη) ve adaletsizlik (ἀδικία) ile ilişkisine dair yorumlarda bulunmaktadır. Bu diyalogunda o adaletin genel olarak "nasıl yaşamamız gerekir" sorusuna bir cevap olduğu ve adaletsizlikte bir işbirliği olmadığı için, birlik yerine zayıflığa neden olduğu teorileri üzerinde durmaktadır. Diğer taraftan Aristoteles'e göre adalet bir *mesotes* yani orta olma erdemidir. Bu çalışmada onun *Nikomakhos*'a Etik adlı çalışmasından hareketle adalet anlayışı ele alınmaya çalışılacaktır. Çalışmanın aslı gayesi; bu iki filozofun adalet görüşlerini birincil kaynaklar bağlamında ele alıp değerlendirmektir.

Anahtar Kelimeler: Adalet, Platon, Aristoteles, Adaletsizlik.

* İstanbul 29 Mayıs Üniversitesi, Sosyal Bilimler Enstitüsü, Felsefe Yüksek Lisans Programı.
İletişim: ieboungiamin@gmail.com



Giriş

Dikaioσynē veya *dikē* kavramının Türkçe tercümesi genelde "adalet" olarak karşımıza çıkmaktadır (Peters, 2004, s. 71). Aynı zamanda bu çalışmada da kaynak olarak kullanılacak olan Platon'un *Politeia* adlı eserinin tercümesinde de olduğu gibi bu kelime Türkçeye "doğruluk" olarak da tercüme edilerek kazandırılmıştır. Çalışmaya başlamadan önce bu konu hakkında kısa bir bilginin verilmesinin yerinde olacağının kanaatindeyiz.

Bu kavramın Mitoloji veya Presokratik dönemde kullanılışına bakacak olursak Antik Yunan'da Mitoloji anlayışında adalet tanrıçasının adı *dikē* olarak bilinmektedir. Presokratik filozoflardan olan ve Milet okuluna mensup Anaximandros'un *apeiron* öğretisinde de bu kavram karşımıza çıkmaktadır. Anaximandros'a göre *arkhe apeiron*'dur, yani her şeyin başı ve evrenin içindeki her şey "sonsuz, belirsiz" olarak tercüme edilebilecek olan o *apeiron*'dur ve ondan meydana gelmişlerdir. Fakat Anaximandros'un bu öğretilerine göre bunun bu şekilde olması bir suçtur. Kendinin belirlenmiş olarak varlığa gelmesi ve o belirsiz olandan yani *apeiron*'dan bu şekilde kopması suç veya günahdır. Çünkü bu durum ileride haksızlıklara yol açacaktır. Ölüm ise bu anlamda bu haksızlıkların kefaretilerini ödemektir yani *dikē*'dir. Bunun doğruluk ile ilişkisi de şu açıdan değerlendirilebilir: Herhangi bir şeyin sınırları olmadığı takdirde o sınırın ihlâl edilmesinden de söz edilemez. Yani adalet ve doğruluk bu bağlamda bir paranın iki yüzü gibidir. *Dikē* sözcüğü bir yandan o sınırların geçilmemesi anlamında "adalet", diğer yandan ise o sınırların var olması ve onun gerçekliği oluşturmaları anlamında "doğruluk" anlamına gelmektedir. Yani başka bir şekilde ifade edecek olursak; en adil durum her şeyin yerli yerinde olduğu kimse'nin sınırlarını ihlâl etmediği bir yapıyı çağrıştırmaktadır. O yapıyı gözeterek söylenilen söz "doğru" söz olmaktadır. Dolayısıyla bir şeyin doğru olması ile o şeyin haklarının çiğnenmemesi ve gözetilmesi aynı şeydir (Çitil, 2019). Bu konu hakkında daha detaylı bilgi için Michael Gagarin'in "Dike in Archaic Greek Thought" adlı makalesine (Gagarin, 1974), Peters'in *Antik Yunan Felsefesi Terimleri Sözlüğüne* (Peters, 2004: 71-74), *logeion* ve *Perseus* sözlüklerinin *dike* kısmına bakılabilir. Çalışmanın Platon kısmının kaynağını oluşturan metinde neden "doğruluk" tercümesinin tercih edildiği hakkında da söz konusu kitabın önsöz kısmı okunabilir.

Çalışmada ilk önce *Politeia* diyalogundan hareketle Platon'un adalet anlayışı ele alınacaktır. Platon adalet hakkında kendi görüşünü sergilemeden önce bu kavramın tanımı üzerinde birçok isimle tartışmalar yapmaktadır. Bu tartışma ve tanımların öneminin farkında olmakla birlikte çalışmanın kapsamını aşmamak



adına detaylı bir şekilde ele alınamayacaktır. Bunlardan kısaca bahsettikten sonra Platon'un adalet anlayışı aktarılmaya çalışılacaktır. Daha sonra Aristoteles'in adalet anlayışını nasıl temellendirdiğini yasalarla olan ilişkisi ekseninde ele alınmaya çalışılacaktır. Sonuç olarak da bu iki filozofun adalet hakkındaki görüşleri hakkında bir karşılaştırma yapılmaya çalışılacaktır.

Platon'un Dikaiosynê Anlayışı

Platon'un birçok eserinde adalet hakkında bahsettiği söylenebilir. Fakat sistematik bir şekilde bu kavram ekseninde tartıştığı diyalog *politeia* diyalogudur. Bu diyalogda o, adalet kavramını merkeze alarak "nasıl yaşamamız gerekir" sorusuna cevap aramaktadır. Diyalogdaki tartışma ana hatlarıyla şu şekildedir: Diyalog Sokrates ile Glaukon'un Kephalos'un evine gitmeleriyle başlar. Birinci kitapta önce Sokrates ile Kephalos yaşlılık hakkında tartışır daha sonra da Polemarkhos ile Sokrates adalet hakkında konuşmaktadırlar. Tartışma devam ederken sofist Thrasymakhos araya girer ve sonuç olarak Sokrates'in çürüteceği bir tanım ortaya atar. İkinci kitapta ise Platon'un kardeşleri Glaukon ve Adeimantos'un Sokrates ile adaletin tanımını hakkında konuşmaları yer alır. Özetle adalet ve adaletsizlik arasında, bireysel yaşam bazında değil de devlet bazında adaletli olanın daha mutlu bir hayat yaşayacağı sonucuna varan bir diyalog ile karşılaşırız. Üçüncü ve dördüncü kitaplarda ise Platon *polis*in mertebelerinden bahseder. Beşinci kitapta Platon asker sınıfından ve devleti yönetecek sınıfın filozofların olması gerektiğinden bahsederken devamında altıncı ve yedinci kitaplarda da filozofun sahip olması gereken özelliklerden bahseder. Sekiz ve dokuzuncu kitaplarda Platon adalet temelli ideal devletten bahseder ve onuncu kitapta şiir eleştirisi ve Eros mitine göndermeler yapar. Genel olarak Platon'un *politeia* adlı diyalogu bu yolu izlemektedir.

İçeriğini vermeye çalıştığımız diyalogun anlaşılacağı üzere ana teması *dikaio-sune* yani adalettir. Kephalos ile Sokrates yaşlılık hakkında konuşurlarken Kephalos *dikaio*s ve *adikos* yani adaletli ve adaletsiz kavramlarını ilk kez kullanmaktadır. Ona göre insanların bu dünyada yaptıkları "adaletsiz" davranışlar ölüme yakın olduklarında onları ölüm sonrası hayat için düşündürtmekte ve sıkılmalarına neden olmaktadır. (Platon, 2019, 330c). Adaletin "gerçeği söylemek, aldığını geri vermek" olarak tanımlanamayacağına karar verdikten sonra tartışmaya Polemarkhos dâhil olur ve Simonides'den bir alıntı yaparak adaletin tanımının "her kişiye borçlu olduğumuz şeyi ödemektir" olduğunu iddia eder. (Platon, 2019, 331e 4). Sokrates ile Polemarkhos arasında tartışma Sokrates'in "adaletin dostu yarar düşmana zarar"



olup olmadığını sormakla devam eder. Sokrates Polemarkhos'a olayı tam olarak kavrayamadığını adaleti bir *tekhne* olarak ele aldığına sonuçlarının ne olacağını göstermekle devam eder. Daha sonra “adalet dostu iyi ise iyilik, düşmana da kötü ise kötülük yapmaktır” tanımına ulaşırlar. Devamında ise ister iyi olsun ister kötü herhangi bir insana zarar vermenin adil insana yakışmayacağı sonucuna ulaşırlar ve Polemarkhos'un savı bu şekilde çürütülmüş olur (Platon, 2019, 331e-336a).

Sokrates ile Polemarkhos arasında bu hararetli tartışma devam ederken araya sofist Thrasymakhos girer ve adaletin tanımını “güçlünün işine gelen şey” olarak verir (Platon, 2019, 338c 2). Thrasymakhos'un bu tanımına karşılık Sokrates iki eleştiri yönelir. Öncelikle adalet bir *tekhne* olarak düşünüldüğünde bu savın saçma olduğu ortaya çıkacaktır. Sokrates hekimlik ve kaptanlık gibi tekneler kullanarak örnek vermeye çalışmaktadır. Nitekim mesela hekimlik, hekimlik için yani kendisi için faydalı olan şeyi araştırır, üzerine çalıştığı ve bir anlamda yönettiği şey olan beden için faydalı olan şeyleri araştırır. Çünkü her *tekhne* kendine yeterdir ve kendisine yararlı olan şeyleri araştırır. Dolayısıyla adalet de bu bakımdan ele alındığında “güçlünün işine gelen” olduğunu söylemek pek de yerinde olmayacaktır gibi görünmektedir (Platon, 2019, 341b3-342d).

Sokrates'in Thrasymakhos'u bu çürütmesinden sonra ise Thrasymakhos Sokrates'e “adaletli olanın zarar gördüğünü” bunun sonucunda da “adaletsizliğin insanlara daha çok yakıştığını” uzun uzun ispatlamaya çalışmaktadır. Ona göre adaletsiz kişi kurnaz ve işine geleni bilen bir insan olduğu için adaletli insandan daha avantajlıdır ve adaletli insan bunları yapamadığı için zarar görmektedir (Platon, 2019, 343b-344c).

Sokrates devamında Thrasymakhos'a cevap verir ve sonuç olarak bunun böyle olmadığını; adaletli davranmanın iyilik ve akıllılık, adaletsizliğin ise kötülük ve bilgisizlik olduğunu ispatlar (Platon, 2019, 345a-350d). Fakat Sokrates için asıl önemli olan ve tartışılması gereken konu adaletin mi yoksa adaletsizin mi daha iyi yaşadığı konusudur. Sonuç olarak adaletin iyilik ve akıllılık olduğu, adaletsizliğin ise kötülük ve bilgisizlik olduğu için adaletli olanın daha iyi ve daha mutlu bir hayat yaşayacağı sonucuna varılır (Platon, 2019, 347e-354).

İkinci kitabın başında Glaukon ile tartışma başlarken *agathon*'un (iyinin) üç türünden bahsedilir. Buna göre a) kendiliğinden iyi olan bir şey, b) kendiliğinden iyi olan ve sonuçları iyi olan bir şey ve c) sonuçlarına göre iyi olan bir şey iynin üç türüdür. Adaleti ikinci kategoriye dâhil edilmektedir (357c10-358a3). Yani Sokrates adaletin zenginlik, güç vb. gibi maddi şeyler kazandırdığını ama özü olarak



kendiliğinden iyi olan bir şey olduğunu anlatmak istemektedir. Sokrates'in karşısında ise Giges destanı ile bu durumun böyle olup olmadığını tartışan Glaukon vardır. Giges'in giydiği gibi yüzüğü giyip görünmez olsaydık bu durumda ne olurdu? Ne yapardık? Görünmez olduğumuz için yasal olmayan şeyler mi yapardık? Böyle bir durumda Glaukon'a göre adaletsiz olmayı tercih ederdik. Dolayısıyla kimse kendi hür iradesi ile adaletli olmayı tercih etmemektedir. Zorunlu olarak adaletli olmaktadır. Çünkü korku olmadığı sürece insan adaletsiz olabilir. Adaletsiz davranışların cezasız, adaletli bir hayatın ise daha zor olduğunu düşündüğümüzde bu mantıklı gelmektedir. Dolayısıyla bütün bunlardan çıkan sonuç Glaukon'a göre adalet kendiliğinden iyi bir şey değildir. Adalet sonuçlarına göre iyi olan bir şey olduğu için insanlar tarafından övülür (Kopita, 2004, 22; Platon, 2019, 359e-360d). Sonuç olarak böylece Sokrates'in "kötülüğün kaynağı cahilliktir" sözüne karşın Glaukon'un "iyilik de isteyerek yapılmaz" sözü karşımıza çıkmış bulunmaktadır (Kopita, 2004, 22).

Özetleyecek olursak; Sokrates'in adaletin gerçeği söylemek, aldığı geri vermek, dostlarına iyilik düşmanlarına kötülük etmek ve güçlü olanın işine gelen şey olmadığını ispatlamış olduğunu gördük. Akabinde Adeimantos ve Glaukon ile Sokrates'in arasındaki tartışma ise bir insanın adaletli olmasının adaletsiz olmasından daha iyi olduğunu ispat etme üzerinedir.

Sokrates bundan sonra adalet hakkındaki bu gittikçe karışık bir hal alan durumu çözebilmek adına meseleyi geniş çapta yani bir polis/devlet bazında incelemeyi önermektedir. Çünkü ona göre eğer adalet tek bir insanda varsa bütün bir toplumda da vardır. Böylece öncelikle teorik olarak gelişiminin son mertebesine varmak için yavaş yavaş meydana gelen bir *polis*in nasıl kurulduğunu açıklayıp, adaletin bu canlı organizmada bu bütüncül ruhta nasıl çalıştığını açıklamayı amaçlamaktadır (Platon, 2019, 368d). Bir devletin var olabilmesi için bir kişi yetmez, birden fazla kişinin olması gerekmektedir. Bir kişi başkaları ile iletişim kurmak zorundadır, aksi takdirde hayatta zor kalabilecektir. Kişiler arası ilişkiler de bir toplumu oluşturmakta ve bu şekilde bir devlet meydana gelmektedir. Fakat sadece bireyler arası iletişim ve karşılıklı anlaşma yetmez, her insan sahip olduğu yetenekleri kullanarak kendi işini yapmalıdır ki bu şekilde devletin içinde farklı yeteneklere sahip ve bunları kullanabilen vatandaşlar olacaktır. Fakat böyle bir devletin kendi başına uzun süre hayatta kalabilmesi de zor görünmektedir. Daha uzak ve büyük yerlere açılıp ticaret yapılmalıdır. Bununla da tüccarlar ilgilenmektedir. Bu şekilde gittikçe gelişen ve büyüyen devleti düşmanlara karşı koruması için de iyi eğitilmiş



korumacılar, yani bir asker sınıfı da gerekmektedir. Son olarak da bu devleti bu şekilde yönetebilecek birileri yani yönetici sınıfı gerekmektedir (Çıvgın, 2018, 220; Platon, 2019, 369b-374a).

Dolayısıyla buradan çıkan sonuca göre şunlar söylenebilir: Platon ideal bir devleti üç sınıfa ayırmaktadır: En alt sınıf aynı zamanda nüfusu en kalabalık olan sınıftır ve çiftçi, usta ve tüccarlardan yani üretici ve işçilerden oluşmaktadır. Bu sınıf diğer iki sınıfın ihtiyaçlarını gidermekle yükümlüdür. Bu sınıfta doğan bir çocuğun yetenekleri varsa başka bir sınıfa yükselir. İkinci kategoridekiler ise asker-koruyucu sınıftır. Bu sınıftakiler genelde kendilerini devlete adanmış kişilerdir. Üçüncü ve en üst kategoride olanlar ise yönetici sınıfa ait olanlardır. 50 yaşından sonra bu insanlar devleti yönetme işini üstlenirler ve bütün devletin mutluluğu için uğraşmaktadırlar (Volonaki, Albanis ve Panoutsopoulos, 2008, s. 17-18). Bu üç sınıf arasında hiyerarşik bir sınıflandırma olsa da bunlar yine de dengeleri korumalı ve bölünmez bir birlik oluşturmalıdır. Bu üç sınıf da kendi işine düşeni yaptıkları takdirde devlet ayakta kalacak, aksi bir durum söz konusu olursa ise yani üç sınıfın birbirinin işine karışması durumunda adaletsizlik meydana gelecek ve devletin yıkımı gerçekleşecektir (Platon, 2019, 434C). Dolayısıyla adalet; herkese hakkını vermektir. Platon'un ideal devletinde herkes kendi işini yapmakta ve bu şekilde devlet adil bir şekilde ayakta kalmaktadır.

Çalışmanın bundan sonraki kısmında Platon'un bu görüşünü bireysel psikhe ile nasıl bağdaştırdığını anlatılmaya çalışılacaktır. Yukarıda bahsedilen bu büyük ekran, Platon'cu terimlerle konuşacak olursak bu büyük psikhe, bu "olon" dengeli ve adaletli olduğu takdirde bireysel psikhe de aynı şekilde bir harmoni içindedir. Bu şekilde Platon birey ile toplum arasında bir benzerlik kurmuş olmaktadır. Buna göre o psikheyi de üç kategoriye ayırmaktadır (Annas, 1981, 109; Platon, 2019, 435e). En alt kısmı yani aslı ihtiyaçları karşılamak için duyulan ihtiyaç *eputhemeton/arzu*, asker sınıfı *thumoeides/cesaret* tarafından kontrol edilir. Bu iki kategori de bunlardan daha üstün olan *logistikon/bilgelik* kategorisini dinlerler. Bunlar bir toplumda olması gereken temel erdemlerdir. Fakat bunlar da yetmez. Adil bir toplumda bir erdeme daha ihtiyaç vardır o da *dikaosynedir*. Bu üç unsurun bir harmoni içinde bulunduğu zaman bir insanın adil olduğunu söyleyebiliriz. Eğer ilk ikisi *logistikon*'un dediklerinden dışarı çıkarlarsa bu yıkımın nedeni olacaktır. Harmoniyi ise bu üç sınıfın kendisine ait olan ve onu gerekli yere yerleştiren adalet sağlayacaktır (Annas, 1981: 119; Koskeridis, 2006: 32; Platon, 2019: 433b-e; Volonaki, Albanis ve Panoutsopoulos, 2008: 23).



Aristoteles'un Dikaiosynê Anlayışı

Çalışmanın şimdiye kadarki kısmında Platon'un *dikaiosynê* anlayışı anlatılmaya çalışıldı. Bundan sonraki kısımda ise Aristoteles'in Nikomakhos'a Etik eserinin özellikle beşinci kitabı göz önünde bulundurularak *dikaiosynê* anlayışı açıklanmaya çalışılacaktır. *Nikomakhos'a Etik* Aristoteles'in babasına yazdığı onun önemli eserlerinden biridir. Ayrıca Aristoteles'in etik anlayışını anlattığı üç yapıtlarından biridir. Aristoteles'in bu eseri her biri bir konudan oluşan 10 kitaptan oluşmaktadır. İlk kitapta Aristoteles *eudaimonia*'nın en yüksek iyisini aramakta ve etik ile diaonetik erdemin ayrımını yapmaktadır. İkinci kitaptan beşinci kitaba kadar etik erdem üzerinde analizler yapmakta, beşinci kitapta adalet altıncı kitapta da diaonetik erdem üzerine konuşmaktadır. Yedinci kitabın konusu genel olarak haz üzerine oluşmaktadır. Sekiz ve dokuzuncu kitaplarda *philia* ve son kitapta da haz ve *eudaimonia*'nın doğasından bahsetmektedir.

Aristoteles Nikomakhos'a Etik'lerin beşinci kitabının tamamında *dikaiosynê* hakkında bahsetmektedir. Beşinci kitapta o analize başlarken adaletin ve adaletsizliğin ne olduğunun tanımını vermek adına üç soru üstünde durmaktadır. Adalet ve adaletsizliği meydana getiren davranışlar, adaletin ne tür bir eşitlik olduğu ve nelerin arasında bir eşitlik olarak saptanmakta olduğu soruları Aristoteles'in üzerinde durduğu sorulardır (Kapsali, 2012, s. 6). Aristoteles'e göre adalet eşitliği bozmamak, adalete ve yasalara uygun davranmaya iten bir *ἔξις*(*heksis*) yani huydur. Adaletsizlik ise insanı adaletsiz olan bir şeyi yapmaya sevk eden *heksis*dir (Aristoteles, 1129a 31-1129b13; Kapsali, 2012, s. 6-7; Topakkaya, 2009, s. 629). Ona göre herhangi biri adaletli davranmak *heksisine* sahip ise sadece adaletli davranabilecektir, adaletsiz bir şekilde hareket ettiği takdirde ise aynı *heksis*den söz etmemiz imkânsız olacaktır. Dolayısıyla adaletin ne olduğu ya adaletsizliğin ne olduğu ya da adaletli bir insanın nasıl olduğu bilindiği takdirde anlaşılabilir ve bir tanımına ulaşılabilir (Kapsali, 2012, s. 6).

Aristoteles'e göre *dikaiosynê* ya yasaya uygun olandır ya da eşit ve doğru olandır. Buna evrensel-genel ve özel-tekil olarak da denilebilir. Buna göre adalet etik bir erdem olmaktan ziyade kişinin başkasıyla ilişkisi bağlamında bir erdem, yani toplumsal bir erdem olarak değerlendirilir. Adalet insanlar arası ilişkiler ve insanın diğer erdemler ile ilişkilerin varsayıldığı toplumun bulunduğu yerde vardır (Kapsali, 2012, s. 8). Genel anlamda adalet yasalara boyun eğmek demektir ve erdemi/*areteyi* kapsar. Tekil adalet ise erdemler arasındadır ve eylemlerde ortaya çıkan adaletsizliklerle alakalıdır. Buna göre adalet, erdemin bütünü iken adaletsiz-



lik kötülüğün bütünüdür. Bu noktada erdem ile adalet arasındaki ilişki önemlidir. Adalet erdemle aynı şey olabilir ama adaletin olduğu şey ile erdemin olduğu şey de aynı zamanda aynı değildir. (Bravo, 2006, s. 310) *Başkasıyla ilişkide söz konusu olduğunda adalettir, kendi başına böyle bir huy söz konusu olduğunda ise erdemdir.* (Aristoteles, 1997, 1130a 13-15) Tekil adalette eşitliğe aykırı olan her şey yasaya da aykırı olmakla beraber, yasaya aykırı olan her şey ise eşitliğe aykırı değildir. Tekil adalet eylemlerde ortaya çıkan adaletsizliklerle daha fazla ilgilenmektedir. Tümel adalet ise yasalara aykırı olarak tanımladığı adaletsizlikle ilgilenmektedir (Bravo, 2006, 311).

Aristoteles'e göre erdemlerin uçları vardır. Mesela bir savaşta düşmandan korktuğu için geri çekilen askerin eylemi erdemli değildir dolayısıyla da bu asker bu eylemiyle adaletsiz bir davranışta bulunmaktadır. Bu eylemiyle beraber o savaş arkadaşlarına da haksızlık etmiş olur, fakat savaşa katılması durumunda bunu bir adaletsizliğe karşı gelmek için yapardı (Aristoteles, 1977, 1130a 20-25). Tekil adalet adaletsizlik ve haksızlıkla/eşitsizlikle ilgilenirken, diğer taraftan tümel adalet yasasızlıkla ilgilenir (Bravo, 2006, 310-311). Zira Aristoteles'in de bu konu hakkında dediği gibi *"eşitliğe aykırı olan ne varsa yasaya aykırıdır, ama yasaya aykırı olan her şey eşitliğe aykırı değildir"* (Aristoteles, 1997, 130b 12-14).

Yasa Aristoteles'e göre insanın yaşamını koruyan bir güç olduğu için bu anlamda adalet yasaya boyun eğmedir. Bundan dolayıdır ki adalet erdemi de kapsar. Fakat aynı zamanda bunun böyle olması yasa ile erdemin özdeş olduğu anlamına da gelmemektedir. (Aristoteles, 1997, 1130b 20-25; Bravo, 2006, 311) Zira *adalet tüm ahlaksal erdemin toplumsal ıralayıcısıdır fakat erdemin böyle bir anlamı yoktur* (Ross, 1997, 216).

Aristoteles tekil adaleti de *διανεμητικό*/paylaştırıcı ve *διορθωτικό*/düzeltici adalet olmak üzere ikiye ayırmaktadır (Aristoteles, 1997, 1130a 14-1131a 9; Ross, 1997, 216). Paylaştırıcı adalet; her şeyden önce birden fazla bireyler olmalıdır ve toplumdaki insanlar arasında bir insanın diğerinden daha fazla malı olması durumunda akla uygun bir şekilde bu malını daha az olana dağıtmasıdır (Aristoteles, 1997, 1130b 30-34). Bu şekilde adaletli olunabilir ve iki aşırı uç arasında orta bulunabilir. Adalet bu bağlamda iki aşırı uç arasında ortada olmaktır. Buna da Aristoteles "hak" demektedir (Aristoteles, 1997, 1131a 13-14; Bravo, 2006, 311; Kapsali, 2012, 15). Aristoteles'e göre "insanlar eşit değillerse, eşit parçaları adil biçimde almayacaklardır, bu da tüm çatışma ve suçlamaların kaynağıdır". (Aristoteles, 1997, 1131a 22-25) Kötülüğün paylaştırılması konusunda ise daha az kötü olan tercih edilmelidir (Aristoteles, 1997, 1131b 20-25).



Düzeltilici adaleti de Aristoteles kendi içinde ikiye ayırmaktadır: *εκούσια*/isteyerek yapılanlar ve *ακούσια*/istemeyerek yapılanlar. İsteyerek yapılanlar adından da anlaşılacağı üzere bireyler arasında isteyerek yapılmakta ve yapıldığında da sorumluluk yaratmakta olan şeylerdir. Bunların arasında *satmak, satın almak, borç vermek, kefil olmak, ödünç vermek, güvence parası yatırmak, kiralamak* gibi şeyler sıralanabilir. İstemeyerek yapılanlar ise haksızlık ve suç gibi gizli ya da zor kullanarak yapılan eylemlerdir. Bunların arasında da Aristoteles *hırsızlık, zina, zehirleme, baştan çıkarma, kölelerin aklını çelme, tuzağa düşürerek öldürme, yalan yere tanıklık etme, kötü muamele görme, hapse atılma, ölme, ölme, soyulma, sakatlanma, çamur atılma, aşağılanma* gibi şeyler saymaktadır. (Aristoteles, 1997, 1131a 2-10; Kapsali, 2012, 18) Bu ikisi arasındaki fark isteyerek yapılanlarda eylemin başlangıcında yapının kendisinin de rızası söz konusu olmasıdır (Ross, 1997, 217). Düzeltilici adaletin amacı adaletsizliği önlemek ve düzeltilici adaletin tanımladığı bireyler arası eşitliği sağlamaktır. Yani orta olanı bulmaktır. Bu orta olan da *“daha çok ile daha azın eşitleştirilmesidir”* (Aristoteles, 1997, 1132a 14-15) Düzeltilici adalet, aritmetik orana göre sağlanır. (Aristoteles, 1997, 1132b 33-35) Eşitlik ise bu durumda Aristoteles'e göre şu şekilde saptanır: eşitlik aşırılık ile azın ortasıdır. Örneğin, hırsızlık olayında hırsızlığı yapan kişi kendisine düşenden daha fazla bir kazanç elde ederken, hırsızlığa maruz kalan kişiye ise kendisine düşen paydan eksilme olmuştur. Dolayısıyla bu durumda bir eşitsizlik olduğu için hırsızlığa maruz kalanın durumu incelenir (Kapsali, 2012, 19). Düzeltilici adaletin amacı kazancın araştırılmasıdır, yani haksızlık yapandan eksiltilmesi ve haksızlığa maruz kalana iade edilmesi (Aristoteles, 1997, 1132b 3-6). Ve bu şekilde eşitliğin tekrar sağlanmasıdır. Eylemi yapan ile bu eyleme maruz kalan arasında bir eşitlik söz konusu olmadığı için *δικαστής* (*dikastes*) yani yargıca başvurulur ve bu durumda eylemi yapandan kazancı azaltarak durumu eşitlemeye çalışır (1132a 14-35). Yani yukarıda da bahsedildiği üzere daha çok olan ile daha az olanı eşitlemeye çalışır, bunun ortasını bulmaya çalışır. Zira “eşit” de budur zaten: *“daha büyük ve daha küçüğün aritmetik oranlamaya göre ortası.”* (Aristoteles, 1977, 1132a 27-28).

Aristoteles politik adalet ile politik olmayan adalet arasında da bir ayrıma gitmektedir. Politik adalet özgür veya sayısal olarak eşit olan yurttaşların arasındaki adalettir. *“Bu ise özgür ve oranlamaya göre ya da sayısal olarak eşit kişilerin, kendilerine yeter olmaları için yaşamı paylaşımlarında söz konusudur, öyle ki bu özelliklerin bulunduğu kişiler arasındaki ilişkilerde toplumdaki adalet söz konusu değil, buna benzetilerek adalet dene bir şey söz konusudur.”* “Özgür” kelimesini kullanmasının da önemini devamında anlamaktayız. Birbirlerinin karşısında özgür olarak kalamayan



yurttaşlar arasındaki ilişki adaletli olamaz. Bunlara örnek olarak efendi ile köle veya anne baba ile çocuk arasındaki ilişkiler verilebilir. Karı koca arasındaki adalet ilişkisi ise ara türdendir (Aristoteles, 1997, 1134a 26-b 17; Ross, 1997, 220).

Aristoteles yasal/uylaşımsal (*νομικόν/συνθήκη*) adalet ile doğal(*φυσικόν*) adalet arasında da bir ayırım yapmaktadır. Öyle hak ve ödevler kategorisi vardır ki bunlar *her yerde aynı güce sahiptir ve kanılara göre değişmez* (Aristoteles, 1997, 1134b 18-19) yani başka bir deyişle bunlar evrensel olarak kabul edilir. Meselâ *ateşin hem burada hem de Perslerde yakması* gibi (Aristoteles: 1997, 1134b24-25). Fakat bir de özel devletlerin *nomoslarıyla* yaratılanlar vardır ki bunlar gelip evrensel olanların üzerine eklenir. Sofistlere göre adalet ulaşımalsıdır, Aristoteles ise sofistlerin bu görüşüne katılmamakla beraber onun görüşüne göre doğal adalette bile istisnalara izin vardır (Aristoteles,1997, 1134b 17-1135a 14; Ross, 1997, 220).

Son olarak Aristoteles'e göre adalet yalnızca bir *mesotes* ya da orandan ibaret değildir. Bir eylemin adaletli olabilmesi için ilk olarak iradeli yapılan bir eylemin sonucunda ortaya çıkması lazım. Daha sonra eylem taksimine giden Aristoteles'e göre eylemler; bilmeyerek yapıp zarar verdiklerinde beklenmeyen bir eylem olduğundan dolayı *κατά συμβεβηκός*/rastlantısal, bilgisizlikten ve herhangi bir art niyet olmaksızın yapılan fakat zarar veren eylem *αμαρτήματα*/hatalı, bilerek ama kızgınlık vs. gibi şeylerden dolayı herhangi bir istek olmadan yapılan eylem adaletsiz olmakla birlikte yapan kişinin adaletsiz olduğu sadece buradan anlaşılmaz ve son olarak bilerek bir seçimin sonunda yapılan eylem ise hem eylemin kendisi hem de eylemi icra eden adaletsizdir. (Aristoteles, 1997, 1135a 16-1136a 9)

Sonuç olarak şunu söylemek mümkün görünmektedir: Aristoteles adaleti genel ve tikel olmak üzere ikiye ayırmaktadır. Tikel adaleti de kendi içinde paylaştıracı ve düzeltici olmak üzere ikiye ayırmaktadır. Aristoteles'e göre adalet bir orta (*μεσότης*/mesotes) olmakla beraber (Aristoteles, 1997, 1129a; Kapsali, 2012, 9) yine de diğer erdemlerin olduğu şekilde bir orta değildir. Adalet sadece A'nın gereğinden fazlaya sahip olmasıyla B'nin gereğinden fazlaya sahip olması arasında bir orta nokta olan durumu meydana getirmek anlamında bir ortadır (Ross, 1997, 220). Adalet orta olanın özelliğidir, adaletsizlik ise uçların özelliğidir (Aristoteles, 1997:1134b 31-33). Adaletin böyle olmasının nedeni onun diğer erdemler gibi iki kötü şey arasında değil de sadece bir tanesi yani adaletsizlik söz konusu olduğunda bulunabilmesinden dolayıdır. Söz konusu adaletsizlik de aşırılık ve eksikliktir. (Aristoteles, 1997, 1134b 8-11; Kapsali, 2012, 9) Dolayısıyla adaletin sağlanması isteniyorsa yargıçlar tarafından bir ortanın bulunması gereklidir.



Sonuç

Platon'a göre kişi iyice eğitimini almış ve ona göre yaratılmış olduğu şeyi yapmalıdır. Bunun aksi olduğu takdirde yani herkes her şey hakkında söz sahibi olmak istediği takdirde ortada bir kaos, bir kargaşa hâkim olacaktır. Bu durum da Platon'un adaletsizlik olarak adlandırdığı şeydir zaten. Adaletsizlik ona göre adalette olduğu gibi bir iş birliği, bir birlik sağlamadığı için; gerek genel olarak devleti veya toplumu düşündüğümüzde gerek ise özel olarak bireyde, insan psukhesinde bir zayıflığa neden olur ve bunun sonucunda da kargaşa hakim olur. Platon'a göre adaletsizliğin tanımı da budur.

Dolayısıyla sisteminin mümkün olabilmesi için Platon sınıfsal bir yapıya dayanan fakat aynı zamanda da bir harmoni içinde, bir iş birliği içinde çalışan bir devlet ve bu devletin özel hali olan bir insan psukhesi tasavvur etmektedir denebilir. Bu şekilde Platon devlet düzeni ile insan psukhesi arasında bir benzerlik de kurmuş olmaktadır. Adalet de bu sınıflar arasında ilişkiyi sağlayacak olan şeydir. Başka bir şekilde ifade edecek olursak; gerek devletin gerek ise insan psukhesinin adaletli olabilmesi için bir harmoni içinde olması gerekmektedir. Dahası Platon'a göre adalet toplumsal sınıfların ve aynı zamanda psukhenin bir harmoni içinde olması gerektiği için insanın adil olabilmesi adına kişisel sınırlarını aşmaması gerekmektedir. İnsanın tutkuları yüzünden bunu yapamaması söz konusu olursa ise diğer sınıfların gereksinimlerine uymalıdır. Bu sınıflar arası harmoni de meşhur *γνώθι σ' αὐτόν* yani "kendini tanı" prensibinden, kendine sınır koyabilmeden (bunu da ancak kendini tanıyan, kendi sınırlarını bilen yapabilecektir) ve diğerlerine karşı duruşundan kaynaklanmaktadır (Kopita, 2004, s. 163).

Bütün bunları göz önünde bulundurarak Platon'un neden ideal bir devlet anlayışına sahip olduğu, hatta bazı araştırmacıların Platon'un devlet anlayışının ütöpik olduğuna dair iddiaları anlaşılabilir. Platon içinde yaşadığı zamanın devletini incelemekten ziyade olması gereken ideal devleti ve bazılarına göre -hiç olamayacak olanı- incelemektedir (Topakkaya, 2008, s. 44).

Diğer taraftan Aristoteles'in adalet anlayışında karşımıza çıkan en önemli kavram *mesotes* kavramıdır. Aristoteles *dikaioSynê* üzerinde derin, ince ve uzun bir analiz gerçekleştirmektedir. Aristoteles'e göre adalet iki uç arasında ortada olandır ve adil olanın yapılma *heksisidir*. Aynı zamanda o adaletsizliği de adil olmayan şeylere yönelik bir *heksis* olarak varsaymaktadır. Adalet yasalılık ve *mesotes* yani orta olma durumuyken, bunun tersi olan adaletsizlik yasaları çiğnemek ve eşitsizliktir (Aristoteles, 1129a-1132a15). Aristoteles'te adalet onu uygulayanların mutluluğunu değil, karşıdaki insanın mutluluğunu hedeflemektedir. En büyük



erdem olmasının nedenlerinden biri de budur zaten. Zira kendi yararı gözetilmeksizin üçüncü bir kişinin yararı adına uygulanmaktadır. Ayrıca aynı zamanda erdemin arayışını ve kötülüğün önlenmesini belirlediği için bu anlamda da diğerlerini içeren mükemmel erdemdir (Kopita, 2004, s. 149). Sonuç itibarıyla Aristoteles'te adalet birliği ve kararlılığı sağlamaktadır.

Hocası Platon'un ideal devlet anlayışının aksine Aristoteles gördüğümüz üzere adalet anlayışını temellendirirken içinde yaşadığı devleti göz önünde bulundurarak bunu yapmaya çalışmıştır. Bu nedenden dolayı da Aristoteles'in adalet hakkındaki analizleri hocasına oranla daha somut, daha pratik sonuçlar vermektedir (Topakkaya, 2008, s. 44).

Hem Platon hem de Aristoteles *dikaio synē*'nin gerek bireysel gerek ise toplumda nasıl uygulandığı hakkında ilgilenmişlerdir. İki filozofa göre de *dikaio synē* en büyük erdem olarak karşımıza çıkmaktadır. Aynı zamanda hem Platon hem de öğrencisi Aristoteles'te de adaletin karşıtı olan adaletsizlik tanımının ortak olduğu söylenebilir. Nitekim iki filozofa göre de adaletsizlik, eşitliği ve birliği bozan dolaşısıyla da haksızlık ve hukuksuzluk anlamlarına gelmektedir. Aristoteles'te bahsedilen *διανεμητικό*/paylaştırıcı ve *διορθωτικό*/düzeltici adaleti Aristoteles'in adalet anlayışında olduğu kadar temel bir iddia olmasa da biraz da olsa Platon'da da görmek mümkündür. Platon'a göre kişi iyice eğitimini almış ve ona göre yaratılmış olduğu şeyi yapmalı iddiası düzeltici adalete, bunu yaptıktan sonra da bir şeyler elde etmesi de paylaştırıcı adalete karşılık gelebilmektedir (Topakkaya, 2008, s. 43).

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Kant'ta Bilginin Olanaklılığı Problemi

Tural Abbasov*

Öz: Bilindiği üzere Kant birinci Eleştirinin ilk kısmını oluşturan “Transandantal Analitik” bölümünde bilen özneyle bilinen nesne arasında ilişkileri temel bağlam olarak kabul ederek nesnenin bilgisinin nasıl oluştuğuna dair epistemolojik süreci detaylı bir şekilde incelemektedir. Biz de bu bağlamı temel alarak kognitif bir süreç olan bilginin olanaklılığı problemini ele almayı düşünüyoruz. Böylece, hedefimiz bir bütün olan bilginin bilişsel koşullar sonucu olarak nasıl bir şekilde ortaya çıkmasını incelemektir.

Özneyi kognitif yetilere sahip olan varlık olarak ele alırsak eğer bu yetilerin sonucu olarak ortaya çıkan nesnenin bilgisine nasıl ulaşmaktayız? Sorumuzu biraz daha temellendirirsek eğer belli bir belirlenimde bize kendini sunan nesneyi bilişsel yetilerimizle ilişki içerisinde değerlendirdiğimiz zaman bu ilişkiyi bilginin oluşum süreci açısından nasıl tanımlamalıyız? Bu soruları Kant'ın epistemolojik yaklaşımını ele alarak inceleyeceğimiz problem bağlamında cevaplandıracağız.

İlk olarak Kant'ta bilginin oluşum sürecinin iki temel kaynağına değineceğiz. Çünkü Kant duyusallığı ve anlığı nesnenin bilgisinin oluşum sürecinde iki temel kaynak olarak görmektedir. Ancak, bilgi belli bilişsel (duyusallık ve anlık) koşullar sonucu ortaya çıktıktan sonra yargı şeklinde kendini bize gösterir.

Fakat duyusallığı ve anlığı bilginin iki ayağı diye tanımlamamıza rağmen önemli olan diğer bir nokta bu iki ayak arasında nasıl bağ kurulacağı sorudur, ki ister bilginin isterse de onun ifade şekli olan yargının bu bağın nasıl kurulmasına dayanmaktadır. Kant bu bağı sentez olarak tanımlanmaktadır. Çünkü alıcı durumda olan duyusallığın görünün formları (zaman ve mekân) çerçevesinde bize verdiği malzeme çokluk olarak görüntüye gelmektedir. Kant duyusallıktan farklı olarak aktif (spontaneous) bir kognitif işleve sahip olan anlığın bu çokluğa epistemolojik belirlenim/düzen vererek çokluğun birliğe dönüşmesini öne sürer. Ancak, biraz öncede belirtildiği gibi önemli olan nokta duyusallığın bize kazandırdığı çokluğuna müdahalesiyle birliğe dönüşmesidir. Veya başka bir deyişle ifade edersek eğer, anlığın kategorilerinin deneye nasıl bir şekilde uygunlandığının temellendirilmesidir. Sentez diye tanımlanan bu süreç “duyu, imgelem ve tam algıyı” üç bilişsel yeti şeklinde ele alarak çokluğun bu üç yetinin işlevi sayesinde çokluğun sentetik birliğe dönüştüğünü göstermektedir. Ancak, bu iki yetinin-yani duyusallığın ve anlığın bize sunduğu malzemenin heterojen olması onlar arasında



bağ kurulması için her iki yetide de bulunacak olan bir ögenin varlığını gerekli kılmaktadır. Kant bunu şema olarak-yani apriori olarak zamanın belirlenimleri diye tanımlar ve bu belirlenimlerin de her birinin belli bir kategori sınıfına uygun olduğunu ileri sürer. Aynı zamanda kategorilerin tecrübeye uygulanmasının devamı olarak şemalardan her kategori sınıfına uygun düşen ilkeler türetilir.

Böylece Kantçı bağlamda bir bütün olan bilginin bilişsel sürecin sonucu olarak olanaklılığı temellendirilmektedir.

Anahtar Kelimeler: Bilgi, Duyusallık, Anlık, Sentez, Bilişsel Yeti.

* Ankara Üniversitesi, Dil ve Tarih-Coğrafya Fakültesi, Felsefe Doktora Programı.
İletişim: turalabbas1@gmail.com.



Giriş

Kant *Saf Aklın Eleştirisi* nin ilk kısmını oluşturan “Transandantal Analitik” bölümünde bilen özneyle bilinen nesne arasında ilişkileri temel bağlam olarak ele alıp, nesnenin bilgisinin nasıl oluştuğuna dair epistemolojik süreci detaylı bir şekilde inceler. Yani, özneyi kognitif yetilere sahip olan varlık olarak ele alırsak eğer bu yetilerin sonucu olarak ortaya çıkan nesnenin bilgisine nasıl ulaşmaktayız? Sorumuzu biraz daha temellendirirsek eğer belli bir belirlenimde bize kendini sunan nesneyi bilişsel yetelerimizle ilişki içerisinde değerlendirdiğimiz zaman bu ilişkiyi bilginin oluşum süreci açısından nasıl tanımlamalıyız? Bu soruları konumuz bağlamında değerlendirmeyi hedef seçtiğimiz için öncelikle Kant'ın epistemolojik yaklaşımını ele almamız gerekecektir. Bilindiği üzere Kant'ın yaşadığı dönemde bilen özne ve bilinen nesne arasındaki epistemolojik ilişkinin nasıl temellendirileceğine dair bilginin kaynağını deneyde kabul eden “Ampirik” tutumla, deneyin/duyunun bilginin oluşumunda güvenebileceğimiz bir temel sağlamayacağını belirten “Rasyonalist” bir akım vardı. Her iki akımın incelediği epistemolojik problemleri yeniden kendi düşünce bağlamında ele alan Kant “bilgi deneyle başlar” önermesini kuşku duymadan kabul eder. Fakat sadece bununla yetinmeyip kendi transandantal felsefesinin alanına adım atarak başka bir önemli noktanın altını çizerek. Bilgimizin deneyle başlaması bilginin tüm kaynağını deneyden alması anlamına gelmemelidir (Kant, 1929, s. 41). Böylece, Kant kitabının girişinde nesnenin belirlenmesinde veya kendini bize sunmasında önem arz eden bir noktayı belirtmiş oluyor-bilgimizin kaynağının deneyle sınırlanmaması gerektiği ve başka bir kaynağı temel alan *a priori bilginin varlığı*. Yani, kaynağını insanın zihninde bulan apriori bilgi. A priori bilginin neden nesnenin oluşum sürecinde müstesna rol oynaması gerçeğine değinmeden önce Kant'ın tecrübenin verdiği bilgiyle a priori bilgi arasında yaptığı ayrımı incelememiz gerekecektir. “Saf Aklın Eleştirisi”nin “Giriş” kısmında değindiği tecrübenin bize olayları/nesneleri şöyle veya böyle göstermesine rağmen neden ve nasıl açıklanması gerektiğine dair herhangi bilgi vermeyeceğini söyler (Kant, 1929, s. 41). Böyle olduğu takdirde Kant bilginin tanımında temel ölçüt olarak kabul ettiği zorunluluk/kesinlik ve tümellik kriterlerinin tecrübeye uygulanamayacağını, tecrübeye zorunluluğa varılabileceğimizi ve aynı zamanda *görelî* bir tümelliğe ulaşacağımızı belirter. Çünkü devamlı olarak karşımıza çıkan örneklerden yola çıkarak tümevarımın sayesinde görelî bir tümelliğe varmaktayız. Bu noktaya değindikten sonra ise bilen özneyle bilinen nesne arasında bağ kurmamız açısından önemli



olan Kant'ın kendisinin unvanladığı “Hakikat nedir?” nedir sorusuna kendisinin verdiği şu cevaba dikkatimizi yöneltmek isteriz: “hakikat bilginin kendi nesnesiyle uzlaşmasıdır.” (Kant, 1929, s. 97). Bu noktayı vurguladıktan sonra artık bilen özneyle bilinen nesne arasındaki ilişkiyi daha detaylı bir şekilde incelemeye devam edebiliriz. Artık biraz önce de belirtildiği gibi Kant nesnenin bilgisinin oluşumunda (veya nesnelerin toplamı olarak doğanın) tecrübeyi bilginin kaynağı olarak kabul etmesine rağmen zorunluluğu ve tümelliği temel ölçüt olarak ele aldığı için a priori bilginin mümkünlüğüne dikkat çekmiş oldu. Böylece, söyleyebiliriz ki, tecrübe ve a priori temel bilginin oluşumundaki iki temel koşuldur. Tanımı daha Kantçı bağlamda yaparsak eğer duyusallığı ve anlılığı nesnenin bilgisinin oluşum sürecindeki iki temel kaynak olarak görmeliyiz. Fakat burada dikkat etmemiz gereken önemli nokta hem duyusallıkta hem de anlılıkta a posteriori (duyusal içerik ve empirik kategoriler) ve a priori diye nitelendirebileceğimiz (sezgisel formlar ve a priori kategoriler) kognitif yetilerin olmasıdır. Kant bilginin oluşum sürecini bu şekilde tanımladıktan sonra bilginin ifade şekline dikkat çekmektedir. Yani, bilgi kendisini bize nasıl ifade etmektedir? Bu soruya vereceğimiz cevap bilginin *yargı* şeklinde görünümüne gelmesidir. Yani, bilgi belli bilişsel (duyusallık ve anlılık) koşullar sonucu ortaya çıktıktan sonra yargı şeklinde kendini bize gösterir. Bu noktada Kant kendi felsefesi bağlamında analitik ve sentetik yargıların ayırımına geçer.

Öncelikle, şunu söylemek gerekir ki, analitik/sentetik ayrımı a priori/ a posteriori kavramlarıyla paralellik taşımakla beraber kendi içlerinde de ayrıma uğramaktadırlar. Örneğin; bu dört kavramı çarpazlarsak eğer analitik a priori, analitik a posteriori, sentetik a priori, sentetik a posteriori yargı tiplerine varmış oluruz. Fakat, Kant'a göre analitik a posteriori hem evrensel zorunluluğu/doğruluğu hem de deneysel temeli bir arada kendinde taşıyamayacağı için dışarıda bırakılmalıdır ve geride kalan üç yargı tipinin ayrıca incelenmesi gerekecektir. Kant'ın burada daha çok önemsedığı yargı tipi sentetik a prioridir. Çünkü böyle yargılar bütün matematikte, doğa biliminde (fizik) ve metafizikte vardır (Kant, 1929, s. 144-145). Metafiziğin bir bilim olarak olanaklı olup olmadığı sorusu (aynı zamanda metafiziğin ayakta kalması veya düşmesi) saf aklın temel sorunu olan sentetik a priori yargıların nasıl olanaklı olup olmadığıyla ilintilidir (Kant, 1929, s. 141). Hatta diyebiliriz ki, Kant'ın “Saf Aklın Eleştirisi” adlı eserinde daha çok cevaplamak istediği sentetik a priori yargıların nasıl mümkün olduğudur. İfade etmek gerekir ki, Kant analitik ve sentetik yargılardan bahsederek onları özne ve yüklem ilişkisi açısından değerlendirmektedir:



İçinde bir öznenin yüklem ile ilişkisinin düşünüldüğü tüm yargılarda, (yalnızca olumlu yargıları inceliyorum, daha sonra olumsuz yargılara uygulaması kolay olacaktır) bu ilişki iki farklı şekilde olanaklıdır. Ya yüklem B özne A'ya, bu A kavramında (gizli olarak) içerilen bir şey olarak aittir; ya da B, kavram A ile gerçekte bağlantıda olmasına rağmen kavram A'nın dışında yatar. Birinci durumdaki yargılara analitik adını veriyorum, diğerlerine sentetik. Analitik yargılar (olumlu yargılar) öyleyse içlerinde yüklem özne ile bağlantısının özdeşlik yoluyla düşünüldüğü yargılardır; ama içlerinde bu bağlantının özdeşlik olmaksızın düşünüldüğü yargıları sentetik yargılar olarak adlandırmak gerekir. Birincilere açıklayıcı, ikincilere ise genişletici yargılar denebilir, çünkü birinciler yüklem yoluyla öznenin kavramına hiçbir şey eklemeyip, tersine onu yalnızca ayrıştırma yoluyla onda daha şimdiden (karışık bir yolda da olsa) düşünülmüş olan bileşen kavramlarına çözerler; buna karşı ikinciler öznenin kavramına onda hiçbir yolda düşünülmemiş ve onun herhangi bir yolda ayrıştırılmasıyla çıkarılamayacak bir yüklemi eklerler (Kant, 1929, s. 146).

Görüldüğü üzere, Kant analitik ve sentetik yargı ayrımını özne yüklem ilişkisi açısından değerlendirerek, birinin öznede gizli olarak içerilmesini yanıtlarken diğerinin A'nın dışında yattığını belirtmektedir. Örneğin, *bütün bekârlar evli olmayanlardır* yargısını ele alalım. Yargıyı incelediğimiz zaman aslında evli olmayanlar kavramının yargısını dile getirmesek bile bekâr öznesinde gizli olarak içerildiğini görmekteyiz, sadece öznenin çözümlemesiyle biz bu yargıda yüklem kavramının farkına varmaktayız. Böylece, *çözümleme* bize öznede içerilen yüklemi anlamamıza yardım edecek ilk ölçüttür. Analitik yargıları anlamamız için Kant'ın bize sunduğu diğer ölçüt ise *çelişki* ilkesidir, ki bu ilkeyi yetiştirdiği döneme ilişkin mantık çerçevesinden almıştır. Peki sentetik yargıları analitik yargılardan ayıran temel ölçüt nedir? Analitik yargılara değinirken bilginizin genişlemediğini, sadece kavramın ayrıştırılarak anlaşılır hâle gelmesini incelemiştik (Kant, 1929, s. 141). Fakat sentetik yargılarda bu türden bir kapsama ilişkisine rastlanmamaktadır, aksine yargıya eklenen yüklem öznenin dışında yer almaktadır. Ancak böyle bir dışındalığın olmasına rağmen yine de burada özne ve yüklem arasında dolayımli da olsa bir bağlantıdan söz edeceğiz, ki bu ilişki, sonuç olarak asla özdeşlik veya çelişkinin bir ilişkisi değildir; ve kendisi alındığında, yargıdan asla ilişkinin doğruluğu veya yanlışlığı keşfedilemez. Şu halde, verili kavramı diğeriyle sentetik olarak karşılaştırmak için, verilen kavramın ötesine geçmek zorunluğu sunulduğunda, onda iki kavramın



tek sentezini elde edebilmek için, üçüncü bir şey gereklidir. Kant bu üçüncü şeyi X olarak betimler ve onu sentezi olanaklı kılan dayanak olarak tanımlar (Kant, 1929, s. 143).

Kant'ın bilginin oluşum sürecinin sonucunda kendisini yargı şeklinde ifade etmesine değindikten sonra değinmeli olduğumuz nokta yargının/bilginin nasıl bir şekilde oluşmasının incelenmesidir. Çünkü duyusallığın ve anlığın bilginin iki ayağı diye tanımlamamıza rağmen önemli olan diğer bir nokta bu iki ayak arasında nasıl bağ kurulacağı sorunudur, ki ister bilginin isterse de onun ifade şekli olan yargının bu bağın nasıl kurulmasına bağlıdır. Kant bu baği sentez olarak tanımlanmaktadır. Çünkü pasif/alıcı durumda olan duyusallığın görünüm formları (zaman ve mekân) çerçevesinde bize verdiği malzeme çokluk veya epistemolojik düzeni/belirlenimi olmayan çokluk olarak görüntüye gelmektedir. Kant duyusalıktan farklı olarak aktif (spontaneous) bir kognitif işleve sahip olan anlığın bu çokluğa epistemolojik belirlenim/düzen vererek çokluğun *birliğe* dönüşmesini, yani belli bir yargı şeklinde ifade edilmesini öne sürer. Belirtmek gerektir ki, yargının kendisi de zihnin belli bir kategoiresini temel alarak farklı yargı türünde görüntüye gelmektedir ki, Kant bunu “momentler” olarak tanımlar (Kant, 1929, s. 106). Ancak, biraz öncede belirtildiği gibi önemli olan nokta duyusallığın bize kazandırdığı çokluğun anlığın müdahalesiyle birliğe dönüşmesidir. Veya başka bir deyişle ifade edersek eğer, zihnin kategorilerinin deneye nasıl bir şekilde uygulandığının temellendirilmesidir. Sentez diye tanımlanan bu süreç “duyu, imgelem ve tam algıyı” üç bilişsel yeti şeklinde ele alarak çokluğun bu üç yetinin işlevi sayesinde çokluğun sentetik birliğe dönüştüğünü göstermektedir. Ancak, Kant bazı yorumcuların da söylediği gibi sentezin bir devamı olarak “Şematizm” isimli bölümde duyusallıkla anlık arasında ortak bir ögenin olmasının zorunluluğuna dikkat çeker. Çünkü bu iki yetinin bize sunduğu malzeme *heterojen* olduğu için onlar arasında bağ kurulması için her iki yetide de bulunacak olan bir ögenin varlığını öne sürer. Kant bunu şema olarak-yani a priori olarak zamanın belirlenimleri diye tanımlar ve bu belirlenimlerin de her birinin belli bir kategori sınıfına uygun olduğunu ileri sürer (Kant, 1929, s. 185). Böylece kategorilerin tecrübeye uygulanmasının devamı olarak şemalardan her kategori sınıfına uygun düşen *ilkeler* türetilir. Bu ilkeleri anlatmaya geçmemişken önce Kant yeniden sentetik yargıların en üst ilkesinin ne olduğuna dair tanımda bulunur. Sentetik a posteriori yargıların en üst ilkesi yani bir üçüncü şey olarak deneyimi merkeze almasına rağmen sentetik a priori yargılarda *zamanı* merkeze alır. Çünkü sentetik a priori yargı sentetik birliğe dönüşmüş çokluğun deneye uygulanmasıdır ki, böyle bir çokluğu belirle-



yen ise Kant'ın genel olarak a priori formlar diye tanımladığı zaman ve mekân, imgelem ve kendilik bilincidir (ben). Böyle bir epistemolojik sürecin sonucu olarak nesnelerin bilgisine ulaşarak bilginin olanaklılığı temellendiriliyor.

Bilginin İlk Ayağı Olarak Duyusallık

Kant, insan bilgisinin iki kökeninin -duyusallık ve anlık- olduğunu belirtir, ki duyusallıkla nesneler bize verilir anlık ile düşünülür. Yani söyleyebiliriz ki, bilginin oluşum süreciyle ilgili iki faktör vardır: duyusallık ve anlık. Onlardan birinin bize tek başına bilgi verdiğinden bahsedemeyiz. Çünkü duyarlılık ve anlık tek başına kör veya boşurlar (empirizm kördür, rasyonalizm boştur.). Bu yüzden bilgi birinin diğerine uygulanmasıyla oluşmaktadır. (Lewis White, 1967, s. 224-236). Eğer dikkat edilirse, Kant'ın burada duyusallığa ilişkin yaptığı tanım bilginin deneyle başladığı gerçeğine işaret etmektedir. Fakat anlık ise tüm bilginin deneyle bitmediğini gösterir. Duyusallığı tanımlarken işaret edilmesi gereken ilk nokta zihnin alıcılık tarafıdır. Çünkü nesnelerin bizim duyularımızı uyandırmanın sonucu olarak nesnelere ilişkin tasarımlara sahip oluruz. Böylece ifade edilebilir ki, duyusallık tasarımları almadaki (alıcılık) yeteneğimizdir. Ancak söylemek gerekir ki, tasarımlama yetisinin üzerinde etki yapan dış dünyadaki nesnelerdir, ki Kant bunları *kendinde şey* diye tanımlar. Kendinde şey diye tanımladığımız nesneleri bilmemiz mümkün değildir, çünkü onlar bilişsel sürecin dışında yer almaktadır. Kendinde şey ile ilgili diyebileceğimiz tek şey onların duyularımızı uyarmasıdır. Böylece, duyularımızı uyaran nesneler bizde görünüş yaratmış olur. Görünüşün kendisi ise Kant'ın felsefi sisteminde duysal tasarımlar olarak tanımlanır. (A104. Kant, 1929, s. 231). Duysal tasarımlar olarak nitelendirilen görünüşe ilişkin diğer bir önemli nokta görünüşün çokluk içermesiyle ilgilidir. Her görünüşün çokluk içermesi sentetik a priori/ a posteriori yargı türlerinde hususi bir önem arz eden taraftır, çünkü sentez aşamasında görümlerimizle bize verilen görünüşlerin çokluğu belli aşamalarda sentezlenmektedirler. Kant'ın görünüşle ilgili değindiği diğer konu görünüşün biçimi ve içeriğiyle ilgilidir. Kant görünüşün biçiminden bahsederken a priori olarak verilen tek görü ve a priori bilginin ilkeleri diye tanımladığı uzam ve zamanı kast etmektedir. Biçim çokluğu belirlemede ve onu belli ilişkiler altında düzenlemektedir. Burada belirtilen nokta uzam ve zamanın hem görünüşün biçimi hem de saf a priori görümler olarak nitelendirilmesidir. Saf görünüşün kaynağı zihindir ve deneyden bağımsız bir özelliğe sahiptir. Saf görünüşün karşıtı olan empirik görü ise duyum yoluyla nesneyle ilişkide bulunmaktadır. Ancak bu-



nun yanı sıra bir de görünüşün içeriği dediğimiz duyum vardır ki, bunu biçimin maddesi diye adlandırabiliriz. Kant duyumdan bir nesnenin tasarım yetisi üzerindeki etkisi olduğu sürece bahsetmemizi uygun görmektedir (B33. Kant, 1929, s. 155). Şimdi, burada dikkat edilmesi gereken nokta biçim ve içeriğin öncelik ve sonralık bağlamında değerlendirilmesiyle ilgilidir. Önce gelen biçim (saf a priori görü-zaman ve mekân) içeriği olanaklı kılmakla beraber, bize biçimi içeriksiz düşünmenin mümkün olduğunu, içeriği ise biçimsiz düşünmemizin imkânsızlığını açığa çıkartıyor. Yargıda kavramların birkaç tasarımı tutan bu kısmı aslında duyusallığın tasarımları olarak da tanımlanmaktadır. Böylece, kolaylıkla söyleyebiliriz ki, öznenin ortadan kaybolması aslında tasarımların ortaya çıkmasını sağlayan koşulların da ortadan kaybolması anlamına gelmektedir. Yani, özetlersek diyebiliriz ki, duyularımızla algıladığımız her tasarım zorunlu olarak a priori formların çerçevesine yerleşmektedir. (empirik realite) Bunun yanı sıra böyle bir tanım aynı zamanda kendisiyle diğer bir açıklamayı da getirmektedir. Zaman ve mekânın nesnelerin kendisine has olan herhangi bir nitelik (diğer nitelikler örneğinde) şeklinde veya nesneler arasındaki ilişkinin sonucu olarak ortaya çıkan olgu olarak tanımlayamayız. (transandantal idealite). (Kant, 1929, s. 78).

Bilginin İkinci Ayağı Olarak Anlama Yetisi

Bilginin ilk ayağı olarak tanımlanan “Duyusallığın” incelenmesinden sonra bilginin bir diğer ayağı diye tanımlanan “Anlama Yetisi” bilginin oluşum sürecinde hususi bir önem arz etmektedir. Çünkü Kant anlığın duyusalıktan farklı olarak alıcılık olarak değil “kendiliğindelik” niteliğine dikkat çeker. Burada Kant`ın ifade etmek istediği şey anlığın aktif bir şekilde kognitif müdahalede bulunma yetisidir. Yani, pasif bir durumda olan duyusallığın getirdiği malzemeye şekil veren anlığın kendiliğindelik özelliğine sahip oluşudur. Biz ilk olarak Kant`ın “Kavramlar`ın Analitiği” diye tanımladığı kısımda anlığın bilginin oluşumunda hususi bir önem arz eden kategorilerin işlevini tanımlamaya çalışacağız. Daha sonra ise “Transandantal Deduksiyonu”, “Şematizmi” ve “İlkeleri” bilginin oluşmasındaki önemli epistemolojik süreçler olarak ele alacağız.

Kategorilerin Türetimi veya Metafizik Deduksiyon

Kant insan zihninin 12 kategoriye ve bu kategorilerin de 3 sınıfta yerleştirilebileceğini belirtir. Kant “Metafizik Deduksiyon” olarak tanımladığı kategorilerin türe-



timini bir bütün olarak ele alır. Ancak bu aynı kategorilerin insan aklının geldiği tecrübeden yola çıkarak biraraya getirilmesi anlamına gelmemektedir, çünkü kategoriler duyusallığın dayandığı alıcılık niteliğinden farklı olan işleve dayanmaktadır. (Kant, 1929, s. 104-105). İşlev duyusallığın verdiği çokluğu düzenli bir birlik hâline getirmektedir ki, bunu yapan da zihnin kendiliğindelik yetisidir. Belirtmek gerektir ki, tasarımlar çokluğundan farklı olarak "ortak tasarım" niteliği taşıyan kategori anlığın sentezleyici yetisinin sonucu olarak çokluğu kendi ortak tasarımının altına alarak birliği gerçekleştirmektedir. Yani, duyusallığın verdiği tasarımlar kategorilerin altına sokulmakla fenomenlerin (nesnelerin) bilgisine sahip oluruz. Onun felsefesini idealizm biçimine dönüştüren şey, "epistemik koşullar"ın önceden verilen bir gerçekliğin doğasından ziyade zihnin yapısını yansıttığı tezidir. Sonuç olarak, cisimlerin bilişsel yapımıza uyduğunu varsaymak, onları nesne olarak bilebilmemiz için zihnin empoze ettiği koşullara uyduğunu varsaymaktır (Allison, 2006, s. 116). Fakat, her kategori kendini belli bir yargı türünde (örneğin her değişimin bir nedeni vardır) ifade etmektedir. Kant yargıları nicelik, nitelik, ilişki ve kiplik bakımından dört sınıfa ayırmıştır ve bunların her birini de üçerli olarak bölümlenmiştir. Buna göre nicelik yargıları; tümel, tikel ve tekildir. Nitelik yargıları; olumlu, olumsuz ve sonsuzdur. İlişki yargıları; koşullu (hipotetik), koşulsuz (kategorik) ve ayırıcıdır. Kiplik yargıları da; problematik, assertorik (açıklayıcı) ve zorunluluktur. Ancak, yargıların bu formel sınıfına denk gelen üçerli gruplar hâlinde de dört sınıf kavram vardır. Böylece, 1) Nicelik kategorileri: Birlik, çokluk ve bütünlük 2) Nitelik kategorileri: Gerçeklik, olumsuzlama ve sınırlama. 3) İlişki kategorileri: Töz, neden ve birliktelik 3) Kiplik kategorileri: Olanak, varoluş ve zorunluluk. Kant'ın "momentler" diye nitelendirdiği farklı yargı türleri aslında belli bir kategorileri temel alarak bu kognitif işlevi gerçekleştirmektedirler. Örneğin, Kant nedensellik kategorisinin objektif bir geçerliliğe sahip olduğunu söylerse, nedensellik ilkesinin gerçeği -her olayın bir nedeni olması gerektiği ilkesi- tartışmasız bir şekilde yaşadığımız tecrübeye (deneye) sahip olmamızın gerekli bir şartı olduğu anlamına gelir. (Dicker, 2004, s. 49). Böylece, anlığın sentetik faaliyeti sonucu olarak Kant yargıyı tasarımın tasarımı olarak tanımlayarak onu nesnenin dolaylı bilgisi olarak tanımlar. (Kant, 1929, s. 231). Çünkü yargı şeklinde ortaya çıkan bilgi nesneyi belirlemesine rağmen nesnenin dolaylı bilgisi olarak tanımlanmaktadır. Nesneyle dolaysız temas hâli ise duyularımızın aracılığıyla insan zihninin değişimleri olarak ortaya çıkan tasarımlardır. Görüldüğü üzere nesnenin bilgisine belli bir süreç sonrası ulaşılması bize buraya kadar belli kognitif koşulların olduğunu gösterdi. Deney sonucu algılarımızın belli sezgisel formlara oturtulması duyusallık



alanını oluşturmaya rağmen henüz buraya kadar deneyden söz etmemiz mümkün değildir. Çünkü a priori özelliğe sahip olan kategori insan zihninin öznel bir nitelik olarak karakterize edilmediğini ispatlamak için kategorilerin aslında nesnel tarafına işaret ederek onları deneyin gerçekleşmesinin zorunlu koşulu olarak da kabul eder. Yani, doğada gördüğümüz olayların veya çoklukların/tasarımların birliği olarak görüntüye gelen doğanın zihnimizde şekillenmesi kategorilerin deneyi belirlemesiyle veya deneye uygulanmasıyla mümkündür. Bu da kendiliğinde doğa olaylarının belli bir düzen içinde görmemizin nedeni olarak yasaların a priori olarak insan zihninde temellendirilmesi anlamına gelmektedir. Bu belli bir bilişsel süreci varsaymaktadır. Çünkü az önce belirtildiği üzere anlığın aktif müdahaleci tarafı belli bir işlevi varsaymaktadır ki, yargılar sayesinde bilginin ifade edilmesi gerçekleşmektedir. Yani, söyleyebiliriz ki, bu kognitif süreç anlığın sentetik faaliyeti sonucu olarak gerçekleşmektedir. Çünkü sentez, farklı tasarımları birbirine ekleme ve onlardaki çokluğu bir bilgi ediminde kavramaktır. (Kant, 1929, s. 210). Böylece, kategorilerin nesnelliğini ispatlamak için kategorilerin deneye nasıl uygulandığını tanımladığı “*Transandantal Deduksiyon*” kısmının anlatılmasına ihtiyaç vardır.

Transandantal Deduksiyon veya Sentez

Kant araştırmacıları tarafından kitabın en önemli bölümü diye tanımlanan “*Transandantal Deduksiyon*” kısmında nesnenin bilgisinin bir süreç olarak nasıl bir şekilde ortaya çıktığını detaylı bir şekilde incelenmektedir. Sentez anlığın aktif yetisinin sonucu olarak çokluğun belirli bir düzene getirilmesidir. Ancak, çokluğun birlik hâline getirilmesi için belli kognitif aşamalar ve bu süreçlere eşlik eden bilişsel öğeler vardır. Biz de bu bölümde deneyi nesnel bir durum düzeyine dönüştüren sentezin rolünü detaylı olarak inceleyeceğiz. “*Saf Aklın Eleştirisi*”nin “*Transandantal Deduksiyon*” kısmının A ve B basımları farklıdır, çünkü Kant bu bölümü B basımında yeniden yazmıştır. Buna rağmen bazı araştırmacılar bu iki basımdaki deduksiyon arasında bağ kurulabileceğini söylemektedir. Ancak biz temel olarak B deduksiyonunu dikkate alacağız.

Kant nesnenin belirlenmesinde kategorilerin sağladığı “birlikten” ziyade tüm kognitif işlevi ayakta tutan ve nesnenin bilgisine ulaşmamızı sağlayan zorunlu bir koşuldan söz eder ve bu koşulu *birlik* olarak tanımlar (Kant, 1929, s. 152). Ancak az önce de belirtildiği üzere burada bahsi geçen birlik kategorilerin tasarımlar çokluğuna verdiği düzen anlamında değil, bilişsel yetilerimizin (duyusallığın ve



anlığın) üstkoşulu olarak belirlenen *kendilik bilincidir*. Kendilik bilinci veya onun tasarımı olarak “Ben” tüm bilişsel işlemlerimize eşlik etmektedir. Çünkü deneyimlediğimiz her şeyin *kendi kendisiyle özdeş olan bir bilince* dayanması bilginin oluşumu açısından zorunlu koşuldur. Kant bunu transandantal tam algı (transcendental apperception) olarak tanımlar. Tam algının verdiği kendilik bilinci olmadan ister duyusallığın isterse de kategorilerin kendi işlevlerini gerçekleştirmeleri mümkün değildir. Kant tam algının transandantal niteliğinden bahsetmekle onu aynı zamanda a priori bilginin kaynağı olarak da tanımlar. Çünkü deneyimlerimiz arasında devamlılığın sağlanması ve deneyimlediğimiz (farklı zaman aralıklarında olsa bile) her şeyin değişmeyen/kendi kendisiyle özdeş kalan bir bilince dayanması ve tüm bu kognitif sürece ben bilincinin eşlik etmesi gerekmektedir. Kant'ın kendisinin verdiği örnek sayılarla ilgilidir. Birden beşe kadar sayan bir insan tasavvur ettiğimiz zaman 1 ve 5 arasındaki devamlılığın sağlanması açısından (örneğin 4 ve 5 arasındaki devamlılık) kendilik bilincinin olması şarttır. Aksini ortaya koyduğumuz zaman bu devamlılığın sağlanması ortadan kalkar ve her deneyimleyişimizde farklı bir bilince sahip ben'lerden söz ederiz. Peki, doğal olarak sorabiliriz ki, insanın günlük deneyimlerinde transandantal olanın dışında kalan ve bilincin eşlik ettiği farkındalıkları yoktur mu? Kant'ın şu soruya cevabı olumludur. Fakat bu bilincin tamamen öznel niteliğe (empirik) sahip olduğunu ve bilginin nesnel zeminini sağlayamayacağını belirterek empirik bilince transandantal aperzeption'un eşlik etmesini öne sürer. Kant tam algıyı üst koşul olarak tanımladıktan sonra değindiği diğer önemli öge *imgelemdir*. Ancak imgeleme geçmezden önce o, her ikisinin de transandantal algının koşulu altında gerçekleştiği *intellektüel* ve *figuratif* sentez diye iki farklı türlü sentezden bahseder. İntellektüel sentez imgelemin olmadığı ve anlığın (saf olarak) kendisinin yaptığı sentezdir. Yani, örnek olarak kategorilerin tasarımlar çokluğunu ortak tasarım altına almasını söyleyebiliriz. Ancak, bu noktada şöyle bir problem ortaya çıkar. Yani sentez sürecinde kendisinde hem duyusallığı ait olan (belirlenmiş) hem de ait anlığa ait olan (belirleyici) bir ögenin zorunluluğu problemi ortaya çıkar. İşte Kant bu noktada imgelemi devreye sokar ve figuratif sentezden bahsetmeye başlar. Öncelikle söylemek gerektir ki, imgelem görüde kendisi bulunmayan bir nesneyi tasarımlama yetisidir. (Kant, 1929, s. 164). Figuratif imgelemin de (apriori) duyusallığa uyguladığı ilk sentetik müdahale aslında anlığın duyusallığa yaptığı ilk müdahaledir. Yani, imgeleme transandantal sentezi görüdeki çokluğun kategoriler bağlamında ilk sentezidir. (Kant, 1929, s. 165). Böylece sentez sürecinde imgelem duyusallıkla anlık arasında köprü/bağ işlevini görür. Bunun yanı sıra Kant yeniden üretici (empirik) imgelemde söz eder, ancak yeniden üretici imgelemin işlevi sadece çağrışımlar arasında bağ



kurmakla sınırla kalmaktadır. Fakat Kant deduksiyon bölümünün son kısmında sentez sürecinin farklı bir aşamasına vurgu yaparak A basımında olduğu gibi görünüşteki kavrayışın sentezinden söz etmeye başlar. Yani, burada anlatılmak istenen şey zaman ve mekâna belli bir sentez yetisine sahip olduğudur. Yani çokluklar belli forma dayalı birimlerde ortaya çıkar ve bu sürecin kendisi de yine sentez bağlamında değerlendirilmelidir.

Şematizm

Kant kategorilerin tecrübeye nasıl uygulandığını temellendirmeye çalıştığı “Transandantal Deduksiyon” bölümünden sonra *Şematizm* başlığı altında bilginin iki ayağı diye tanımlanan duyusalılığı ve anlığı yeniden ele alır. Ancak bu defa farklı bir bağlamda farklı bir sorunu dile getirir: Bu iki bilgi ayağı heterojen niteliğe sahip olduğu için anlık duyusalılığın verdiği tasarımlar çokluğuna nasıl düzen/belirlenim sağlar? Çünkü doğası gereği birbirinden farklı olan bilginin bu iki kaynağı “üçüncü şeye” ihtiyaç duymaktadır. İşte bu üçüncü şeyin anlatıldığı kısım şematizmdir. Kant şema derken kendisini hem duyusalılıkta hem de anlıkta içeren ve anlığın kategorilerinin tecrübeye (duyusalılığa) uygulanmasını sağlayan bir öğeden bahseder. Fakat öncelikle şemanın ne olduğuna genel olarak değinmemiz gerekmektedir. İmgelemden bahsederken onu saf ve empirik diye iki sınıfa ayırmıştık. İmgenin empirik imgelemin ürünü olduğunu söylemiştik. Şema ise saf a priori imgelemin ürünüdür. (Kant, 1929, s. 183). Şimdi, bu noktada imgelem ve şema arasında yakın ilişkiyi şu şekilde betimleyebiliriz: Şema kavrama imge sağlamaktadır. imgelem görünüşün çokluğunu imgenin biçiminin içine taşıdıktan sonra imgeler şemalar sunuluyor ve şemalar aracılığıyla da imgeler kavramlara sağlanıyor. Böylece, şemanın yardımıyla görünüşler kategorilerin altına alınıyor. Kant'ın verdiği örnek ise şöyledir: Bir tabağın empirik kavramı bir dairenin saf geometrik kavramı ile türdeşdir, çünkü ikinci durumda düşünülen yuvarlaklık ilk durumda sezilebilir. Fakat şemaya daha geniş perspektifle baktığımızda ise söyleyebiliriz ki şema kurallara göre zamanın a priori belirlenimlerinden başka bir şey değildir, bu kurallar kategorilerin düzenine göre tüm nesneler açısından *zaman dizisi*, *zaman içeriği*, *zaman düzeni* ve son olarak *zaman toplamıyla* ilgilidirler (Kant, 1929, s. 185). Kant'ın zamanın belirlenimleri olarak belirttiği bu dört zaman dilimi aslında şema olarak kategorilerin şemalaştırılmasını belirler. Kategorilerin şematize edilmesiyle belli bir ilkelerin aracılığıyla kategorilerin nesnel kullanımını gerçekleştirir.



Böylece nesnenin bilgisinin oluşma süreci içerisinde ilkelerin (analitiğin ilkeleri) şemayla bağlantısı kendini göstermektedir. Çünkü zamanın belirlenimleri olarak şemalar da dört sınıf kategoriye uygun gelmektedir ve ayrıca her kategori sınıfına da uygun düşen ilkeler vardır. Özet olarak zaman belirlenimlerini şu şekilde betimleyebiliriz:

- Zaman Dizisi -zaman ardışıklık özelliğine sahip olduğu için onu hep birbirlerini ardışık bir şekilde izleyen zaman dizileri şeklinde düşünürüz. (ay, saat vs). Fakat böyle düşündüğümüz takdirde hep *büyüklik* kavramına ihtiyaç duyarız. Büyüklik kavramının şeması ise sayıdır. Yani, ardışık homojen birimleri birbirlerine ekleyerek kendisinde içeren şema olarak düşünebiliriz. Örneğin, iki saat veya 120 saat olarak herhangi bir zaman dilimini bu ilkenin sayesinde düşünebilmekteyiz.
- Zaman İçeriği-zamanın belirlenimi ortaya çıkan zamanın içeriği olarak duysal olanın verdiği malzemeye vurgu yapılmaktadır. Yani zamanın içeriği aslında duysal olanın verdiği malzemeyle dolmaktadır, ki bu sıfırdan başlayarak belli bir noktaya kadar artmakta veya azalmaktadır. Ancak bu artışı veya azalışı a priori temelli derece kavramıyla zihnimizde canlandırabilmekteyiz. Böylece burada bahsedilen şema zamanın içeriğinin doldurulmasıdır.
- Zaman Düzeni diye Kant'ın tanımladığı zamanın belirlenim şeklinde nesneler kendilerini üç görüntü düzeyinde göstermektedirler.
 1. Sabitliyi temel alan ve diğer özelliklerin değişmesine rağmen sürekliliğini koruyan töz. (Kant, 1929, s. 184).
 2. Zaman ilişkileri içerisinde ardışık olarak birbirlerini izleyen olayların zorunlu ve nesnel/tümel yasaya tâbi kılınması. Yani, ardışık olaylar arasındaki bağı belirleyen a priori yasanın zorunluluğu. Bu ikincisi nedenselliğin şemasıdır.
 3. En son olarak karşılıklı eşzamanlı etkileşimin şeması.
- Zaman Toplamı diye tanımlanan zamanın belirlenim şeklinde nesnelerin anlıkla ilişkilendirilmesi temel alınmaktadır. Yani, zamanın bu belirlenimine göre biz nesneleri üç şekilde düşünürüz.
 1. Nesnenin belli bir zamanda varlığını sürdürmesi, ancak bu belli bir zamanın belirsiz olduğu durum.
 2. Nesnenin belirli bir zamanda varlığı.
 3. Nesnenin tüm zaman dilimlerinde olan varlığı.



İlk şema *olasılıklılık* kategorisine karşılık gelmektedir. Çünkü biz gerçeklikte bu nesnenin o zamanda kendine yer tutup tutmasını düşünmeksizin herhangi bir nesneyi belli bir zaman diliminde veya belli bir zaman dilimine oturtabiliriz.

İkinci ise *aktüalite/gerçekliğe* karşılık gelen şemadır. Biz nesneyi sadece belli bir zaman diliminde oturttuğumuz/yerleştirdiğimiz takdirde onun gerçek olduğu sonucuna varmaktayız.

Nihayet üçüncü şema ise *zorunluluk* kategorisine karşılık gelmektedir. Yani nesnenin tüm zamanlarda kendini göstermesi.

İlkeler

Az önce de yukarıda belirtildiği üzere kategorilerin şematize edilmesi aslında onların belli ilkeler aracılığıyla nesnel kullanımı anlamına gelmektedir. Analitiğin ilkeleri kısmında bu problemten söz eden Kant ilkeleri *matematiksel ve dinamik* olarak iki sınıfa ayırmaktadır. Matematik ilkeler “Sezginin Aksiyomları ve Algının Beklentileri” diye iki kısma ayrılmaktadır. Bu iki kısım aslında 4. sınıf kategoriden sadece ikisini (nicelik ve nitelik kategorilerini) öne sürmektedir. Sezginin aksiyomları nicelik kategorilerinin ilkesi olarak büyüklük kategorisini ele alır. Daha doğrusu sezginin aksiyomları zaman ve mekânla nicelik kategorileri arasında (birlik, bütünlük) nasıl bir bağ kurulduğunu anlatmayı hedefler. Temel ilkesi şöyledir: Tüm görüngüler sezgilerine göre uzamlı büyüklüklerdir (Kant, 1929, s. 197). Burada belirtilen nokta ise görünün hep büyüklük kavramıyla görüntüye gelmesidir. Yani bu ilke görünün zaman/mekân çerçevesinde nasıl kurulacağını varsayar. Büyüklüğün uzamlı olması parçaların bütünü zorunlu bir şekilde öncelemesi ve bütünü mümkün kılması anlamında gelmektedir (Kant, 1929, s. 197).

Algının deneyimleriye belli bir zaman içerisinde duyunun içeriğinin (yani algının) a priori olarak belli bir derece içerisinde algılanacağını açıklar. Temel ilkesi ise şöyledir: Tüm görüngülerde olgusal olanın, bir duyum nesnesi olanın yeğin büyüklüğü-bir derecesi vardır. (Kant, 1929, s. 201). Örneğin rengin parlaklığı ve solukluğu aslında a priori olarak zihnimizde derece kavramını varsayar. Böylece algıların beklentileri ilkesi aslında nitelik kavramlarıyla bağ kuran ilkenin (kavram olarak derecenin) varlığını belirtir. Kant Matematik ilkeleri belirttikten sonra onların sadece kurucu/konstruktif bir özelliğe sahip olduğunu ve nesnelerin varlığıyla bağlı olmadığını söyler. Nesnelerin varlığıyla bağlı olan dinamik ilkelerden bahseder. Dinamik ilkeler deneyin analogileri ve empirik düşüncenin postulatları (olasılık, gerçeklik ve zorunluluk) olarak ikiye ayrılmaktadır. Ancak, matematiksel ilkelerden farklı olarak



dinamik ilkeler (hem deneyin analogileri hem de empirik düşüncenin postulatları) ilişki kategorileriyle bağın nasıl kurulacağını anlatır. Temel ilkesi ise şöyledir: Deneyim ancak algıların zorunlu bir bağlantısının tasarımı yoluyla olanaklıdır (Kant, 1929, s. 208). Kant Deneyin analogileri başlığı altında tözün, nedensellik ve etkileşim kavramlarının nasıl nesnel gerçeklik kazandığını anlatır.

Sonuç

Sonuç olarak söyleyebiliriz ki, yukarıda belirtilen bilginin epistemolojik oluşum süreci bize bilginin nasıl ortaya çıktığını açıklamaktadır. Yani, duyusalılığın bize kazandırdığı çokluk anlığın müdahalesiyle birliğe dönüşmektedir. Veya başka bir deyişle ifade edersek eğer, zihnin kategorilerinin deneye nasıl bir şekilde uygulandığının temellendirilmesidir. Sentez diye tanımlanan bu süreç “*duyu, imgelem ve tam algıyı*” üç bilişsel yeti şeklinde ele alarak çokluğun bu üç yetinin işlevi sayesinde çokluğun sentetik birliğe dönüştüğünü göstermektedir. Ancak, bu iki yetinin bize sunduğu malzeme *heterojen* olduğu için onlar arasında bağ kurulması için her iki yetide de bulunacak olan bir ögenin varlığını öne sürer. Kant bunu şema olarak-yani a priori olarak zamanın belirlenimleri diye tanımlar ve bu belirlenimlerin de her birinin belli bir kategori sınıfına uygun olduğunu ileri sürer. Böylece kategorilerin tecrübeye uygulanmasının devamı olarak şemalardan her kategori sınıfına uygun düşen *ilkeler* türetilir. Böyle bir epistemolojik sürecin sonucu olarak nesnelerin bilgisine bilgisine ulaşarak bilginin olanaklılığı temellendirilir.

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Kazakistan'ın Yabancı Yatırımlara İlişkin Politikasının Kazakistan'ın Yürürlükteki Hukuk Kuralları ile İlişkilendirilmesi

(Astana Uluslararası Finans Merkezi Kapsamında Değerlendirme)

Aigul Nurmukhambet*

Öz: Kazakistan Cumhuriyeti serbest ekonomiye geçiş nedeniyle ülkeye para çekmek ve ekonomisini güçlendirmek amacıyla ülkeye yabancı yatırımcı çekme siyasetine önem vermektedir. Bu bağlamda ülkeye yabancı yatırımcıların çekilmesini sağlayan garantileri, kolaylıkları düzenlemek ve yabancı yatırımların çekilmesi sonucunda muhtemel olumsuz sonuçları engellemek için ülkenin seçtiği hukuk düzenine uygun olarak kanunlar çıkarmıştır. Bunlardan en önemlisi 7 Aralık 2015 tarihinde çıkarılan Astana Uluslararası Finans Merkezi Hakkında Kanun'dur. Söz konusu kanun ile Kıta Avrupası hukuk sistemini benimseyen ülkede Anglo-Sakson hukuk sistemine göre faaliyette bulunacak Astana Uluslararası Finans Merkezi'nin kurulacağı düzenlenmiştir. İşbu çalışmada, Astana Uluslararası Finans Merkezinin başarılı olabilmesi için özerk bölgenin oluşturulmasına ve o bölgede Anglo-Sakson hukuk sistemine ait kuralların geçerli olmasının düzenlenmesine ihtiyacın olup olmadığı, Kıta Avrupası hukuk sistemini benimseyen ülkede Anglo-Sakson hukuk sistemine göre faaliyette bulunacak finans merkezinin kurulmasının, Kazakistan Anayasa'sına uygunluğu ve bu tür finans merkezinin yabancı yatırımcıların ülkeye çekilmesinde önemi konuları incelenecektir. Bu bağlamda, konuya dair öğretide ileri sürülen görüşlere ve onların dayanaklarına yer verilecektir. Hukukî açıdan yapılan değerlendirme sonucunda, üniter yapıya sahip bir devlette bu tür değişikliğin anayasaya aykırılık teşkil edeceği sonucuna varılmıştır. Zira hukuk öğretisinde, üniter devlet-tek yasama, yürütme ve yargılama organından oluşan, tek hukuk kurallarının ve tek hukuk sisteminin geçerli olduğu devlet yapısı şeklinde tanımlanır. Diğer taraftan dünyadaki küreselleşme, ülkenin ekonomik bakımdan gelişmesi ve diğer devletlerle uluslararası piyasada rekabet edebilmesi için mevcut olan devlet yapılarının ve hukuk sistemlerinin değiştirilmesi ihtiyacını doğurmaktadır. Bu açıdan bakıldığında, Kazakistan'ın bir deney yapma sürecine girdiğini görebiliriz. Bu deneyin başarılı olup olmaması hem çalışmamızda sıralanan kriterlerinin mevcudiyetine hem de devletin yürüttüğü siyasete, siyasetin istikrarlığına hem de hukuk kurallarını uygulayacak kişilere bağlıdır.

Anahtar Kelimeler: Kazakistan Hukuk Kuralları, Kıta Avrupası Hukuk Sistemi, Anglo-Sakson Hukuk Sistemi, Yabancı Yatırım, Astana Uluslararası Finans Merkezi.

* Dokuz Eylül Üniversitesi, Hukuk Doktora Programı.
İletişim: a.nurmuhambet@hotmail.com



Giriş

Bağımsızlığını yeni alan ülke için onun seçtiği hukuk sistemi *Kıta Avrupası* hukuk sistemi, *Anglo-Sakson* hukuk sistemi ya da *karmaşık (hibrid)* hukuk sistemi seçmesi, devlet yapısı üniter devlet mi yoksa *federal* devlet mi olacağı önem taşır. Zira devlet kendisinin seçtiği devlet yapısına ve hukuk sistemine uygun olarak ekonomisini, siyasetini yürütmesi gerekir. Fakat bazı durumlarda, ülkenin dış siyaseti, ekonomisini geliştirme amacı hukuk kurallarının, hatta hukuk düzenlerinin de değişikliklere uğramasına neden olabilmektedir. Bu çalışmada bu tür değişikliklerin hukukî açıdan değerlendirilmesi yapılacaktır.

Çalışmamız iki bölümden oluşacaktır. Birinci bölümde Kazakistan'ın bağımsızlığını aldıktan sonra *Kıta Avrupası* hukuk sistemini seçmesine neden olan etkenler, bu bağlamda ülkenin kendi hukuk sistemini oluşturma süreci incelenecektir. İkinci bölümde ise Kazakistan'ın yatırım siyasetinin, Kazakistan'daki yürürlükteki hukuk kuralları ile ilişkilendirilmesi yapılacaktır. Bu doğrultuda, Kazakistan'ın yabancı yatırım çekme siyasetinin gerçekleştirilmesinde hukuk kurallarının yeri, amacı ve etkisi incelenecektir.

Konuya dair önem arz eden kanunî düzenlemelerden biri ve önemlisi 7 Aralık 2015 tarihinde kabul edilen Astana Uluslararası Finans Merkezi Hakkında Anayasal Kanun'dur. Anayasal Kanun – Kazakistan'da anayasal kanunlar, organik kanun rolünü üstlenmektedirler. Diğer bir ifadeyle, devlet sisteminin temelini düzenleyen hukuk kurallarıdır. Bu kanunlarla Anayasa'ya değişiklikler yapılmaz, yalnızca Anayasa'da açıkça belirtilmesi üzerine, Anayasa'nın içerdiği hükümlere ilaveler yapılır ve geliştirilir. Bu kanunun esas özelliği, söz konusu kanunun Anayasa hükümlerini, kendi hiyerarşisindeki kurallar ile değil, alt hiyerarşideki kanun ile netleştirmeye ve ilave edilmeye yönelik olmasıdır (Baymakhanov, 2003, s. 49). Söz konusu kanun ile *Kıta Avrupası* hukuk sistemini benimseyen ülkede *Anglo-Sakson* hukuk sistemine göre faaliyette bulunacak Astana Uluslararası Finans Merkezi'nin kurulacağı düzenlenmiştir. Bu durum öğretide, tartışmaların ortaya çıkmasına neden olmuştur. Çalışmamızda, konuya dair öğretide ileri sürülen görüşlere yer verilmeyle birlikte, mevcut durumun hukukî açıdan değerlendirilmesi yapılmaya çalışılacaktır. Bununla birlikte, Astana Uluslararası Finans Merkezinin uluslararası piyasada başarılı kabul edilen Dubai ve Singapur Uluslararası Finans Merkezleri gibi, Uluslararası Finans Merkezi sıfatına ulaşıp ulaşamayacağı meselesi de değerlendirilecektir. Bu bağlamda Dubai ve Singapur Uluslararası Finans Merkezlerinin başarıya ulaşmasına neden olan hususlara yer verilmesi düşünülmektedir.



Kazakistan'da Hukuk Sisteminin Oluşumunda Tarihsel Gelişim

Genel Olarak

Kazakistan Cumhuriyeti bağımsızlığını alarak kendisini en yüksek değerleri insan hayatı, hakları ve özgürlükleri olan demokratik, laik, hukukî ve sosyal bir devlet olarak ilân etmiştir (Kazakistan Anayasası md. 1/1). Kazakistan kendisini demokratik, laik, hukukî ve sosyal bir devlet olarak ilân etmekle birlikte, devletlerin merkezileştirilmiş ekonomisinden serbest ekonomiye geçiş yapmıştır. Kazakistan'ın serbest ekonomi yönünde gelişebilmesi için öncelikle modern dünyada mevcut olan hukuk sistemlerinden birini seçmesi gerekirdi. Belirtilmelidir ki, o dönemde Kazakistan'ın kendi hukuku yoktu ve Kazakistan kendi hukuk sistemini seçene ve kendi kanunlarını kabul edene kadar Kazakistan'da Sovyet hukuk sistemi ve Sovyet kanunları geçerliliğini korumakta idi (Suleymenov, 2012).

Bilindiği üzere dünyada farklı hukuk sistemleri mevcuttur. Bunlardan en önde olanlar *Kıta Avrupası* (Kara Avrupası) hukuk sistemi ve *Anglo-Sakson* (Common Law) hukuk sistemidir. *Kıta Avrupası* hukuk sistemi “yazılı” hukuka, öncelikle de Medeni Kanuna dayanır. *Anglo-Sakson* (common law) ise mahkeme kararıyla oluşan içtihatlarla ve “*adil hukuka*” dayanır.

Kazakların Geleneksel Hukuk Kuralları

Bağımsız Kazakistan'ın hangi hukuk sistemini seçtiğini belirtmeden önce, hukuk sistemi seçimini etkileyen durumlara yer verilmesi gerektiği kanaatindeyiz. Bu bağlamda, Kazak hukukunun tarihçesine kısaca değinilecektir.

Kazak hukukunun oluşumu Kazak devletinin kurulmasından daha önceki bir dönemde yaklaşık XIV -XVIII yüzyıllarda başlamıştır (Akhmetova, 2007, s. 4). Devrim öncesi dönemde, Kazakistan sınırlarında örf – adet kuralları (Kazakların geleneksel kanunları) uygulanmakta idi (Yeshniyazov, 2016, s. 87-93; Akhmetova, 2007, s. 4 - 6).

Kazakların geleneksel kanunları, Büyük Kıpçak Bozkırının (Deşt – î – Kıpçak) özelliklerini ve demokratik değerlerini en çok benimsemiştir. Bu nedenle Kazak hukukunun “Bozkır demokrasisi” kanunu olarak adlandırılabilceği ifade edilmiştir (Suleymenov, 2012). Kazak geleneksel hukukunun ayırt edici özelliği, davranış kurallarına, yargı yetkisine, kamusal ve siyasî hayata üstünlük tanınmasıdır (Suleymenov, 2012). Bu kurallar cezaî sorumluluk içeren, hapsedmek veya zindana atmak gibi kişinin özgürlüğünü kısıtlayan ve onurunu ze-



deleyen hükümler içermemekte idi. Bütün hukuka aykırı davranışlar ve hukuk kurallarının ihlalleri medenî hukuk kapsamında değerlendirilmekte ve bunun sonucu olarak maddî sorumluluk esası uygulanmakta idi. İdam cezası çok nadiren uygulanmakta idi ve bu yetkiye yalnızca halkın (ulusun) genel kurulu sahipti (Akhmetova, 2007, s. 6-8; Suleymenov, 2012).

Kazakların geleneksel kanunları mülkiyet, aile, miras, sözleşme, aile fertlerinin hakları ve bb. konuları düzenlemekte idi (Suleymenov, 2012). Kazak hukukunda, Tauke Khan tarafından derlenen Zheti Zhargı ve Kasım Khan'ın Kanunî Düzenlemeleri önemli kaynaklar olarak yerini almıştı (Suleymenov, 2012).

Kazak Topluluğuna Rus Hukuk Kurallarının Entegre Edilmesi

Kazak topraklarının Rus toprakları ile birleşmesi ile birlikte, Rus Medenî Hukuku yavaş yavaş uygulanmaya başlamıştır. Kazak topluluğu Rus Çarlığına girdikten sonra Çarlık yaklaşık 10 yıldır karışmama siyasetini yürütmüştür (Suleymenov, 2012). Bu durum, Kazak geleneksel kanununun, hukuk kaynağı olarak Kazakların bulunduğu topraklarda uygulanmasına neden olmuştur (Kenzhaliyev ve Dauletova, 1993). XIX yüzyılın başında Rusya'da kanunlaştırma siyaseti aktif bir şekilde yürütülmeye başlamıştır. Bunun sonucunda Kazakistan'da 3 grup hukuk kuralı uygulanmakta idi:

1. Kazak geleneksel hukuk kuralları;
2. Kazak geleneksel hukuk kuralları Rus hukuku ile birlikte;
3. Rus hukuk kuralları.

Kazak toplumunun Rus toplumuna entegrasyonu ile bu üç hukuk kurallarının uygulanma oranı Rus hukukuna ağırlık verilerek değişmiştir (Karandasheva, 2004, s. 52).

Sovyetler Birliğinin kurulmasından ve Kazakistan'ın birliğe üye ülke olmasından sonra Rus hukuku Kazakistan sınırlarında hakimiyetini kurmuştur. Zira, Sovyet hükümeti tarafından dini ve geleneksel kanunlar yok edilmişti ve cezalandırılmakta idi (Suleymenov, 2012).

Sovyetler Birliğinin dağılması, yeni bağımsız devletlerin ortaya çıkması, bu devletlerin merkezileştirilmiş ekonomiden, serbest ekonomiye geçişi, oluşan yeni ilişkileri düzenleyecek hukuk kurallarının kabul edilmesini gerektiriyordu. Zira Kazakistan dahil bağımsızlığını alan diğer ülkelerde de daha önce uygulanan kanunlar, yeni ilişkilere uygulanamayacak nitelikte idi. Bu nedenle hem Kazaki-



stan'da hem de diğer Bağımsız Devletler Topluluğuna üye ülkelerde yeni hukuk düzeni oluşturularak yeni hukuk sistemi inşa edilmiştir.

Bağımsız Kazakistan'ın Hukuk Düzeni

Kazakistan çok uzun zaman Rus İmparatorluğu, daha sonra Sovyet Birliğinde yaşadığından, Kazakistan'ın hangi hukuk düzenini benimseyeceği belli idi. Rus hukukunun kaynağı, *Alman Pandekt* hukuku (Roma hukukunun kökeni ortak (müşterek) Alman özel hukukudur. Küçük, 2007, s. 114) olduğundan, Kazakistan, *Kıta Avrupası* (*Kara Avrupası*) hukuk sistemini seçmiştir (Suleymenov, 2012).

Kazakistan bağımsızlığını aldıktan sonra, seçilen hukuk sistemine uygun olarak kanunlar çıkartmıştır (Suleymenov, 2012). Bu kanunlar sürekli değişikliklere uğramaktadırlar ve halen değiştirilmektedirler. Bunun asıl nedeni, Kazakistan'ın gelişmekte olan ülke olması, Kazakistan'ın devletlerin merkezleştirilmiş ekonomisinden serbest ekonomiye geçişi, Kazakistan'ın dış siyasetinin duruma göre değişmesi, var olan kanun hükümlerinin her gün gelişmekte olan hukukî ilişkilere ve uluslararası hukukta kabul edilen bazı ilkelere uygun olmasıdır. *Kıta Avrupası* hukuk sistemini seçen birçok gelişmekte olan ülkelerde, kanunlar sürekli değişikliklere uğrar. Zira bu sistemde kanun uygulayıcıları yani hâkimler, savcılar, avukatlar, polisler, kolluk kuvvetleri ve bb. yazılı kanunun “lafzî” yorumuna bağlıdırlar. Bazen bu yorum, hukukî ilişkilerin sürekli gelişmesi nedeniyle adil sonuç vermeye bilir veya devletin belirlediği ve/veya değişen dış siyasetine uygun olmayabilir. Bu tür sorunların önlemesi amacıyla, kanunlar sürekli değişikliklere uğrar. Meselâ, XX. yüzyılın sonunda Bağımsız Devletler Topluluğuna üye ülkelerde, yatırım siyasetinin yeniden gözden geçirilmesi süreci başlatılmıştır. Böylece, “Her ne pahasına olursa olsun yabancı yatırım” ilkesinden, “yabancı yatırımcılara seçici destek” ilkesine yani yalnızca doğrudan yabancı yatırımcıları destekleme, yabancı yatırımcıları belirli alanda (sektörde) destekleme eğilimi benimsenmiştir. Bu durum, Kazakistan'ın Yabancı Yatırımcılar Hakkında Kanununun değişikliklere uğramasına, tamamen kalkmasına yeni bir Kanunun çıkarılmasına neden olmuştur.

Belirtilmelidir ki, herhangi bir ülkede, sosyal ekonomik durum anî bir şekilde değiştiğinde, belli bir dönem eski (*mülga*) kanunlar uygulanır. Zira kanunların tamamen yürürlükten kaldırılması o ülkede kaosa yol açar. Bu bağlamda Kazakistan'da da bağımsız Kazakistan'ın yeni kanunları kabul edilene kadar, Sovyet döneminde geçerli olan kanun hükümleri Kazakistan Anayasa'sı-



na aykırılık teşkil etmeme suretiyle uygulanmakta idi. Kazakistan *Kıta Avrupası* hukuk sistemini benimsediğinden, hukuk sisteminin esas ilkeleri ve kamu ve özel olarak yapılan alansal bölünme muhafaza edilmiştir (Suleymenov, 2012).

Yukarıda belirtildiği üzere Kazakistan diğer Bağımsız Devletler Topluluğuna üye ülkeler gibi, serbest ekonomiye geçtiğinden bu ekonomi kapsamında ülkenin gelişebilmesi açısından, Sovyetler Birliğinin Kanunlarının geçerliliğini koruması olumsuz sonuçlar doğurabilirdi. Bu nedenle, bağımsızlığı alan ülkeler, öncelikle, kendi yeni hukuk sistemlerini oluşturmakla birlikte, kendi kanunlarını çıkartmak zorunda idiler. Bu aşamada, Kazakistan çok zorluklar çekmiştir, bunlardan en önemlisi, para sorunu idi (Suleymenov, 2012). Yani Kazakistan, hukuk reformunu yapabilmesi için paraya ihtiyacı vardı. İlk zamanlarda, bu konuda yardım Amerikalılar -Dünya Bankası, ardından USAID (*The U.S. Agency for International Development*)- tarafından sağlanmıştır. Bunun karşılığında doğal olarak onlar *Anglo-Sakson (common law)* hukuk sisteminin unsurlarını dayatmaya çalışmışlardır (Suleymenov, 2012).

Her şeye rağmen, Kazakistan *Kıta Avrupası* hukuk sisteminde kalmıştır. Bunun esas nedenleri olarak öğretide şu hususlar belirtilmektedir (Suleymenov, 2012). (1) Hukukun teselsüllüğü ve hukuk bilimi. Kazakistan sınırlarında yaşayan hukuk alanında eğitim alan kişiler, merkezinde Medenî Kanun olan, “yazılı” hukuk ilkesine dayalı “klasik” hukuk eğitimi almışlardır. Sovyet döneminde Rus hukukunun kaynağı *Alman Pandekt* hukuku olduğundan, Kazakistan’ın hukuk eğitiminin *Kıta- Avrupası* hukuk sisteminin dayandığı kurallara göre verilmesi normaldir. Buna karşılık, *Anglo-Sakson* hukuk sisteminin temelini oluşturan içtihat ve “âdil” hukuk ilkesine dayalı hukuk eğitimi ise Kazakistan’da verilmemiştir. (2) Bağımsız Devletler Topluluğuna üye ülkelerin devlet makamlarının ve bilim adamlarının faaliyetlerinin pekiştirilmesi. Bağımsız Devletler Topluluğuna üye ülkelerin bilim adamları tarafından Bağımsız Devletler Topluluğunun Model Medenî Kanunu, Anonim Şirketler Hakkında Model Kanun ve bb. birkaç model kanun hazırlanmıştır. Söz konusu model kanunlar Bağımsız Devletler Topluluğuna üye devletler için bağlayıcı olmasa dahi, topluluğa üye birçok ülke kendi ulusal kanunlarını bu model kanunlara uygun olarak hazırlamıştır. Hatta birçok devletin kendi millî kanunları hazırlanırken model kanunlardan esinlendiği söylenebilir. (3) Kazakistan hukuk sistemi Alman hukuk sistemi ile sıkı ilişkili olduğundan Kazakistan’ın hukuk sisteminin oluşmasında, Alman uzmanların sağladığı yardım çok önemlidir. Bu bağlamda, Alman GTZ, şu an GIZ Teknik Destek Topluluğunun, “*Ekonomi Geçişi Yapan*



“Ülkelerde Hukuk Reformu” projesi (Proje kapsamında, Orta Asya’daki Özbekistan, Kırgızistan, Tacikistan, Türkmenistan gibi ülkelerde hukuk reformlarının gerçekleştirilmesinde Alman GIZ Teknik Destek Topluluğu yardım etmiştir) kapsamında sağladığı destek önemli olmuştur.

Kazakistan’ın Yatırım Siyaseti ve Hukuk Kuralları

Genel Olarak

KC Anayasası’nın md. 40 gereği, Kazakistan Cumhuriyeti Cumhurbaşkanı “devlet başkanıdır, devletin esas iç ve dış siyasetini belirleyen en yüksek derecedeki memurdur”. Dolayısıyla Kazakistan dış siyasetini belirleme yetkisine, devletin Cumhurbaşkanı sahiptir. Bu bağlamda, Cumhurbaşkanı, Kazakistan’ı uluslararası camiada temsil etme (AY md. 40), devlet adına müzakereler yapma ve uluslararası sözleşmeleri imzalama yetkisi verilmiştir (25 Aralık 1995 tarihli KC Cumhurbaşkanı Hakkında Anayasa hükmünde Kanun).

Kazakistan’ın küresel ekonomi ilişkilerine başarılı bir şekilde dahil edilebilmesinin ve uluslararası piyasada yerini alabilmesinin ön şartı, devletin dış siyaseti aktif bir şekilde yürütmeye yönelmesi ve dış ekonomi faaliyetinin serbestleştirilmesidir. Bu bağlamda Kazakistan iç ve dış ekonomik faaliyetlerin koordinasyonu, ulusal hukukun, kabul edilen uluslararası hukuk kurallarıyla, uluslararası sözleşmelerle ve yabancı ülkelerin hukuk kurallarıyla yaklaşması siyasetini yürütmektedir (Zhusupova ve Muydenova, 2014, s. 138).

Kazakistan Cumhuriyetinde serbest ekonominin gelişmesinin ana unsurlarından biri yabancı yatırımın ülkeye girmesini sağlamaktır. Bilindiği üzere bir ülkenin yabancı kaynaklı sermayeye yönelme nedeni çoğunlukla, stratejik ve güncel meseleleri çözme ihtiyacından doğar (Zhusupova ve Muydenova, 2014, s. 138; Anufriyeva, 2013, s. 141).

Yukarıda belirtildiği üzere Kazakistan dahil bağımsızlığını yeni alan her ülke serbest ekonomi sistemine geçerken, ülkenin ekonomisini geliştirmek için dış finansmana dolayısıyla, yabancı yatırımlara ihtiyacı vardır. Fakat yabancı yatırımın ülkeye çekilebilmesi için devlet yabancı yatırımcılara bazı garantiler, kolaylıklar sağlaması gerekir. Bununla birlikte, yabancı yatırımların çekilmesi sonucunda muhtemel olumsuz sonuçları engellemek için de ülke güvenliği açısından sınırlamalar düzenlemesi gerekir. Bütün bunlar hukukî kurallarla mümkündür. Diğer bir ifadeyle, ülkenin koyduğu hukuk kuralları hem ülkeye yabancı yatırımları çekebilmek için istikrarı sağlayan kurallar olmalı, hem de ülkenin güvenliğini



ve egemenliğini koruyan kurallar olmalıdır. Dolayısıyla, bu iki konuda dengenin sağlanması önemlidir. Fakat belirtilmelidir ki, sadece hukuk kurallarının varlığı, ülkeye yabancı yatırımcıların çekilebilmesi için yeterli değildir. Aynı zamanda, bu kuralları hukuka uygun olarak uygulayan devlet adamlarına ihtiyaç vardır. Aksi takdirde, kabul edilen kanunlar ne kadar iyi olursa olsun, çalışmaz vaziyette olur.

Kazakistan'ın Yatırımlara Dair Hukuk Kuralları

Kazakistan'ın yabancı yatırımcılara dair hukukî düzenlemesinde, ulusal rejim benimsenmiştir. Buna göre, yabancı yatırımcıların hukukî (statüsü) rejimi ve yatırım sayesinde elde edilen kâr, ulusal (yerel) yatırımcılara sunulan hukukî (statüden) rejimden daha az (düşük) olamaz. Ulusal rejim kabul edilmesi nedeniyle, aksi kanunlarda öngörülmedikçe, medenî hukuk kuralları hem yabancı gerçek ve tüzel kişilere, hem de vatansızlara uygulanır.

Yabancı yatırımları çekmek suretiyle her ülke kendi ekonomisinin gelişmesi için yabancı finans kaynaklarını, yeni teknolojiyi, gelişmiş yönetim deneyimi, yabancı ekipmanları vs. verimli bir şekilde kullanmak ister. Yabancı yatırımların bu tür yararlarını herkes bilir. Fakat belirtilmelidir, ki, yabancı yatırımların ülkeye çekilmesi bazen olumsuz sonuçları da beraberinde getirebilir. Uygulamada karşılaşılabilecek durumlardan biri, yabancı yatırımcının yatırım çekilen ülkede şube veya şirket açarak, yerel piyasada yoğun talep gören ürünleri kendi markası altında üretmek suretiyle, yerel şirketin, o ürünü üretmesini azaltması ya da kendi üretiminin arttırılması için yerel şirketin o ürünü üretmesini durdurması veya geleneksel üretimi yeniden şekillendirme yoluna gitmesidir (Boguslavsky, 2018, s. 256-257). Örneğin, Kazakistan'da ünlü "Rakhat" şeker fabrikasının hisseleri yabancı yatırımcı tarafından satın alınır. Bu ürün Kazakistan sınırlarında yoğun ilgiye sahiptir. Fakat, yabancı yatırımcı, kendisinin ürettiği kendi markası kullanılan şekerleri Kazakistan'da satabilmek için yeni şirket kurar ve o şirket kendi markası altında şeker satmaya başlar. Kazakistan piyasasında üretimi arttırabilmek için, yerel şirketin şeker üretimini azaltır veya farklı ürünlerin satılacağını karar alarak, şeker üretimini durdurur. Böylece, Kazakistan piyasasında kendi markası altında kendi ürününü satar.

Bu tür olumsuz sonuçları engellemek için, ulusal rejimin uygulanmasında bazı istisnalar mevcuttur. Bu istisnalar engelleyici olabileceği gibi destekleyici de olabilir. Engelleyici istisnalar yalnızca Kanunla ve sadece devletin ulusal güvenliği sağlanması için gereken oranda düzenlenebilir. Örneğin, yabancı yatırımcılar



tarafından madencilik ve doğal kaynakların üretimi bakımından özel devlet kontrolü; ulusal ekonomi bakımında önem taşıyan alanlarda yabancı yatırımcıların girilmesinin yasaklanması; tekelciliğe karşı kanunların çıkarılması; yabancı şirketler tarafından kurulacak şirketlerde, zorunlu devlet veya özel sermaye payının oluşturulması; yabancı ticarî işletmelerinin elde ettikleri kârın bir kısmının geliştirmek için ülkenin iç ihtiyaçları için kullanılması (vergileendirme, kârın yurtdışına çıkarılmasında sınırlandırma) öngörülebilir (Boguslavsky, 2018, s. 263-264).

Buna karşılık yabancı yatırımcıları ülkeye çekmek için destekleyici (ayrıcılık, üstünlük hakkı, vergilerden muafiyet gibi) istisnalar da öngörülebilir. Destekleyici istisnalara örnek olarak, ticarî işletmenin faaliyetinin yürütebilmesi için gereken ekipmanların ve hammaddeyi ülkeye girişinde gümrük vergisinde muafiyet, inşaat sektöründe ise inşaat malzemelerinin ülkeye girişinde gümrük vergisinden muafiyet, belirli bir dönem elde edilen kârın vergisinden muafiyet, hazır ürünün gümrük vergisi ödenmeden ülkeden çıkarılmasına izin verilmesi; elde edilen kârın herhangi bir sınırlamaya tabi tutulmaksızın yurtdışına gönderilmesi imkânı, kamulaştırma durumunda teminat sunulması vs. gösterilebilir (Boguslavsky, 2018, s. 263-264).

Görüldüğü üzere bütün bu koruma yalnızca hukukî düzenlemelerle mümkündür. Diğer bir ifadeyle, herhangi bir devlet ülkesine yabancı yatırımcı çekmek istiyorsa öncelikle, yabancı yatırımcının haklarını koruyan ve teminat altına alan kanunları çıkartması gerekir. Devletin çıkarttığı bu kanunlar gerçek anlamda, yabancı yatırımların korunmasını sağlaması gerekir. Aksi takdirde istikrarsızlık söz konusu olur.

Kazakistan'ın dış ekonomiye yönelmesinde ve yatırımların ülkeye çekilmesinde önem arz eden birbiriyle bağlı birkaç kanun mevcuttur. Bunlar: Kazakistan'ın Dış Ekonomiye Yönelik Faaliyetin Temel İlkeleri Hakkında Kanun (15 Aralık 1990); Kazakistan'da Yabancı Yatırımlar Hakkında Kanun (7 Aralık 1990), (27 Aralık 1994 tarihinde ikinci Yabancı Yatırımlar Hakkında Kanunun kabul edilmesiyle söz konusu kanun yürürlükten kalkmıştır. Daha sonra 08.03.2003 tarihinde Yatırımlar Hakkında Kanunun kabul edilmesiyle belirtilen ikinci kanun da yürürlükten kaldırılmıştır. Bunun sebebi, birçok ülkede Yabancı Yatırımlar Hakkında Kanunun hiç bulunmamasıdır. Diğer bir ifadeyle hem yabancı hem de yerel yatırımların eşit seviyede olduğunun kabulüdür. Yabancı Yatırımlar Hakkında Kanun geçici nitelik taşır. Bu tür Kanunların kabul edilmesinin ve yürürlüğe girmesinin asıl sebebi, yabancı yatırımcıları yerel yatırımcılardan ayırmak ve onlara millî rejimden farklı bir rejimi uygulanmasını sağlamak veya yabancı yatırımcılara



özel yarar sağlamak suretiyle onlar açısından ülkede olumlu iklim oluşturmak. Kazakistan'ın amacı milli sermaye çekmek olduğundan, devlet organlarının görevi milli yatırımcılara olumlu iklim sağlamaktır. Bu bağlamda, “Yabancı Yatırımcılar Hakkında Kanuna” ve “Doğrudan Yatırımların Desteklenmesine Dair Kanuna” dayanarak 8 Ocak 2003 tarihinde tek bir “Yatırımlar Hakkında Kanun” çıkarılmıştır. Söz konusu Kanun, 29 Ekim 2015 tarih ve 375-V sayılı Ticaret Kanununun kabulüyle yürürlükten kalkmıştır (Moroz, https://online.zakon.kz/Document/?-doc_id=38207299#pos=6;-152, erişim tarihi: 28.08.2019); Kazakistan'daki Serbest Ekonomik Bölgeler Hakkında Kanun (30 Kasım 1990); Kazakistan'da Para Birimi Düzenlemesi Hakkında Kanun (13 Haziran 1991); Kazakistan Cumhuriyeti İmtiyazlar Hakkında Kanunu (23 Aralık 1991); Doğrudan Yatırımların Devlet Tarafından Desteklenmesine dair Kanun (3 Şubat 1997); Astana Uluslararası Finans Merkezi Hakkında Kanun (7 Aralık 2015) (“Astana Uluslararası Finans Merkezi Hakkında Kanun” yabancı yatırımın çekilmesine dair önem taşıyan ve özel statüye sahip Kanunlardan biridir) ve Ticaret Kanunudur (29 Ekim 2015 tarih).

Astana Uluslararası Finans Merkezi'nin Kazakistan'ın Yatırım Siyasetine Etkisi Genel Olarak

Kazakistan son dönemlerde yatırım ikliminin iyileşmesi amacıyla bazı reformları geliştirmektedir. Bu reformların hayata geçirilmesinde önem arz eden unsurlardan biri Anayasa niteliğinde Astana Uluslararası Finans Merkezi Hakkında Kanuna göre Kazakistan'ın başkentinde Astana Uluslararası Finans Merkezinin kurulmasıdır. Söz konusu merkez, *Anglo-Sakson (common law)* hukuk sistemi ilkelerine ve standartlarına göre faaliyette bulunacaktır. Sovyet sonrası ülkeler bakımından bu tür farklı hukuk sistemlerine ait kuralların bir ülkede uygulanmasına ilişkin karışım, hukuk öğretisinde tartışmaların ortaya çıkmasına ve hukuk kurallarının kökten değiştirilmesine neden olmuştur (Didikin, 2017, s. 150).

Yukarıda belirtildiği üzere, Astana Uluslararası Finans Merkezi Hakkında Anayasal Kanun 7 Aralık 2015 tarihinde kabul edilmiştir. Astana Uluslararası Finans Merkezinin oluşturulması, söz konusu merkezin Kazakistan Anayasası'na aykırılık teşkil etmeyecek şekilde faaliyette bulunabilmesi için, Anayasa'ya değişikliklerin ve ilavelerin yapılması ihtiyacını doğurmuştur. Bu bağlamda anayasanın 2. maddesine 2017 yılında ilaveler yapılmıştır. Buna göre, Anayasal Kanuna göre Nur-Sultan şehrinde özel hukuk sisteminin oluşturulabileceği düzenlenmiştir.

Astana Uluslararası Finans Merkezi'nin (AUFM) Kazakistan'ın başkenti, Expo – 2017 Uluslararası Fuar Alanında yerleşeceği Kazakistan'ın ilk Cumhur-



başkanı tarafından kararlaştırılmıştır. AUFM, temelini diğer ülkelerdeki özellikle Dubai Uluslararası Finans Merkezinden (Dubai International Finance Center) almaktadır. Dubai Uluslararası Ticaret Merkezi (DIFS)- Orta Doğu, Afrika, Doğu Asya ülkelerinin gelişmekte olan pazarını gelişen Avrupa, Asya ve Amerika pazarı ile birleştiren önder bölgesel, ticarî iş merkezidir. Devletin hukuk sisteminden farklılaşan, bağımsız *Anglo-Sakson* (common law) hukuk sistemine göre faaliyette bulunan, resmî dili İngilizce olan merkezdir. Merkez'de kurumsal ve bireysel gelir vergisi oranı% 0; ticarî şirketin yerel hissedarı dahil etmeden %100 yabancı kurucu tarafından kurulması imkânı; sermayenin ve kârın serbest, herhangi bir sınırlama getirilmeden geri dönüşümü; uluslararası düzeyde kabul edilen kanunlar ve düzenleme usulleri; vizelerin, çalışma izinlerinin verilmesinde "tek pencere" ilkesi; birincil ve ikincil borç ve öz kaynak enstrümanlar listesini içeren uluslararası borsa; kendi mahkemelerinin, tahkim merkezlerinin bulunması. Mahkemelerin, tahkim merkezlerinin yargılamayı İngiliz hukukuna göre 7 uluslararası hakemden oluşan hakem heyeti ile yürütmeleri. Bunlardan 4'nün (Singapur, İngiltere, Avusturya, Malezya tarafında atanır) kalan 3 hâkim Birleşik Arap Emirlikleri'nin hâkimleridir. (Murzagaliyeva, 2018, s. 101 -102).

Kanuna göre, AUFM'in amacı, yabancı yatırımların finans (ticarî) alanına çekilmesi için uygun ortam yaratmak suretiyle Kazakistan ekonomisine yatırımların getirilmesine katkıda bulunması, Kazakistan'da menkul kıymetler piyasasının geliştirilmesi ve uluslararası sermaye piyasası ile Kazakistan'a entegre edilmesinin sağlanması, sigorta, bankacılık hizmetlerin, özellikle İslami finans piyasasının Kazakistan'da geliştirilmesi, uluslararası alandaki en iyi tecrübelere göre finans ve uzmanlık hizmetlerin geliştirilmesi, merkezin, finans merkezi olarak uluslararası alanda tanınmasıdır (Murzagaliyeva, 2018, s.102; Didikin, 2017, s. 151). Bu amaçlara ulaşmak için merkezin katılımcıları arasındaki, devlet ile yatırımcı arasında ilişkiler, AUFM 'in *Anglo-Sakson* hukuk sistemine dayalı kendi hukuk kuralları ile idare edilecektir, uluslararası standartlara uygun finans faaliyetinin gerçekleştirilmesine dair tek tip kurallar getirilecektir, ayrıca, yatırım ve finansal uyumsuzluklarını çözen merkezin kendi mahkemesi, hakem heyeti olacaktır (Murzagaliyeva, 2018, s.102; Didikin, 2017, s. 151).

Kazakistan'ın Başkentinde Özerk Bölge Oluşturma İhtiyacı

Astana Uluslararası Finans Merkezinin başarılı olabilmesi için özerk bölgenin oluşturulmasına ve o bölgede *Anglo-Sakson* hukuk sistemine ait kuralların geçerli olacağının düzenlenmesine ihtiyacın olup olmadığı konusunun öncelikle incelen-



mesi gerektiği kanaatindeyiz. 27 Temmuz 2001 tarihinde “Almatı Şehrinde Bölgesel Finans Merkezinin Geliştirilmesine” dair 1014 sayılı Kazakistan Cumhuriyeti Hükümet Kararı çıkmıştır, bunun ardından 5 Haziran 2006 tarihinde Almatı Bölgesel Finans Merkezi Hakkında Kanun çıkmıştır. Dolayısıyla Kazakistan’ın Finans Merkezini kurma tecrübesi vardır. Fakat belirtilmelidir ki, Almatı Finans Merkezi kurulurken onun başarılı olacağı, yurtdışından yatırımların çekilmesinde önemli rol oynayacağı ifade edilmiştir. Finans Merkezinin kurulmasından itibaren 13 yıl geçmesine rağmen, merkez başarılı olamamıştır. Bunun birkaç nedenleri mevcuttur. Ülkedeki ekonomik durum, devlet makamlarının tecrübesizliği, sistemdeki yanlışlıklar. Bunlardan en önemlisi ise yatırımcılar için hukuki korumanın sağlanamamasıdır (Batisheva ve Gribova, 2015). Her ne kadar Almatı Bölgesel Finans Merkezi Mahkemesi’nin yerel mahkemelerden bağımsız olacağı düzenlense dahi, Kazakistan Cumhuriyeti Yüksek Mahkemesine bağlı olduğundan tam anlamda bağımsız, yatırımcının haklarını koruyan adil kararlar veren mahkeme olarak faaliyette bulunamamıştır. Aşağıda detaylı bir şekilde belirtileceği üzere bir finans merkezinin başarılı olmasının kriterlerinden biri uygun hukuk kuralları ve yolsuzluğun çok düşük seviyede olmasıdır. Günümüzde Kazakistan’da mevcut hukuk sistemi aracılığıyla yolsuzluğun düşürülmesi biraz zordur. Zaman gerektirir. Astana Uluslararası Finans Merkezi, Dubai gibi 10 yıl içinde başarıya ulaşmayı hedeflediğinden, farklı, özellikle adalet ve dürüstlüğü merkeze alan hukuk sisteminin benimsenmesi, merkezin hedefe ulaşmasında bir imkân yaratabilir. Buradaki en önemli husus yatırım uyumsuzluklarını çözecek mahkemelerin gerçek anlamda bağımsız olmaları ve hakemlerin, İngiltere’de bilinen ve saygın hakemlerden ve avukatlardan oluşmasıdır. Bu durum, finans merkezindeki hakemlere, yatırım uyumsuzluklarının çözümünde adil karar vermelerine imkân sağlamaktadır. Bu bakımdan değerlendirildiğinde, Kıta Avrupası hukuk sistemini benimseyen üniter bir ülkede, sonradan *Anglo-Sakson* hukuk sistemine ait kuralların belirli bir bölgede geçerli olacağının düzenlenmesi her ne kadar kanuna aykırı olsa dahi, ülkenin yatırım siyasetini gerçekleştirebilmesi ve ekonomisini geliştirebilmesi için doğru bir adım olarak nitelendirilebilir. Kanaatimizce, bu projenin başarılı olup olmaması yalnızca “münhasır ekonomik bölgenin” ilân edilmesine bağlı değildir. Diğer iç ve dış etkenler de önem taşır.

Konuya Dair Öğretide Tartışılan Sorunlar

Öğretide, Kıta Avrupası hukuk sistemine ait bir ülkede, *Anglo-Sakson* hukuk sistemine dayalı *İngiltere* ve *Wells* kanunlarına göre faaliyette bulunacak, bütün



yazışmaların, belgelerin, sözleşmelerin İngilizce olacağı, Kazakistan Para Birimine Dair Kanun, İş Kanunu, Vergi Kanunu gibi bazı kanunların uygulama alanı bulmayacağı özerk bölgenin kurulmasının, hukukî bakımdan makul olup olmadığı ve nasıl bir sonuç doğuracağı konusu tartışılmaktadır.

Konuya dair birçok yazar, olumlu görüş bildirirken, bazı yazarlar (Suleymenov, 2016, s. 37-45; Karagusov 2015), Kıta Avrupası hukuk sistemini benimseyen ülkede *Anglo-Sakson* hukuk sistemine dair kuralların, hukuk sistemlerindeki kavram ve içerik farklılıkları nedeniyle çalışmayacağını, olumlu sonuç vermeyeceğini belirtmektedir (Suleymenov, 2016, s. 37-45). Dolayısıyla AUFM'in, beklenen neticeyi vermeyeceğine de dikkat çekmektedirler. Bunun yanı sıra bağımsız Kazakistan'ın kendi topraklarında, başka bir devletin Kanunları geçerli olan ve resmî dili yabancı dil olan bir "anklav" bölgenin oluşmasına izin verilmesine de itiraz etmektedir (Suleymenov, 2017).

Projeye eleştirel yaklaşan yazarlardan biri Suleymenov, M.K., kendi görüşünü şu şekilde açıklamaktadır:

Mevzuat hukukun dış biçimi olduğundan, yeni kanun tasarısı hazırlanırken, kanun koyucu mevcut hukuk sistemi ile bağlıdır. Diğer bir ifadeyle yeni kanun ülkenin seçtiği hukuk sistemine uygun olması gerekir, aksi takdirde o kanun, yarardan ziyade daha çok zarar verir veya hiç çalışmaz" (Suleymenov, 2012). "Bu bağlamda, 1998 yılında, Kazakistan Cumhuriyeti Milli Menkul Kıymetler Komisyonu tarafından Amerikan'ın avukatlarınca hazırlanan Anonim Şirketler Hakkında Kanun tasarısı kabul edilmiştir. Söz konusu kanun Anglo – Sakson hukuk sistemine uygun Amerikan kavramlarıyla ve araçlarıyla donatılmıştır. Ayrıca, kanunda anonim şirketi bir ticarî şirket olmaktan ziyade, menkul kıymetler piyasasında bir katılımcı olmayı amaçlayan spekülâtif bir varlık olarak düzenlenmiştir. Yukarıda belirttiğimiz nedenlerle, yani söz konusu kanun Kazakistan'ın seçtiği hukuk sistemine uygun olmadığından hiç uygulanamamıştır" (Suleymenov, 2012).

Astana Uluslararası Finans Merkezinin oluşturulmasında ve Merkezin kendi-ne özgü hukuk kurallarının hazırlanmasında örnek alacağı ve iki sistemin bir arada işletilebileceğinin başarılı örneği olarak Dubai Uluslararası Finans Merkezi (DIFC) gösterilmektedir. Merkezin kurulmasına eleştirel yaklaşan, Karagusov, haklı olarak Birleşik Arap Emirlikleri'nin İslam ve Avrupa hukukunun karışımından oluşan hukuk sistemine sahip olduğunu; devlet yapısına göre birleşik devlet (*federal devlet*) olduğunu, bunun sonucunda her emirliğin, diğer emirliklerden bağımsız yasa-ma, yürütme organlarının, Anayasa hariç, her emirliğin kendi hukuk kurallarının



mevcut olduğuna dikkat çekmektedir. Buna karşılık, Kazakistan Cumhuriyeti ise üniter devlet yapısına sahiptir. Diğer bir ifadeyle devletin ülke, millet ve egemenlik unsurları tektir. Yasama, yürütme ve yargı organları da tektir. Bu nedenle, *Karagusov*, (1) Kazakistan’da bir yargı çatısı altında, aynı zamanda iki farklı sistemin var olmasının mümkün olmadığını; (2) Kazakistan Anayasası’nın da buna imkân vermediğini; (2) Kazakistan’ın bütünlüğünü bozabilecek ve iki farklı hukuk sistemine ait kuralların ülkede aynı zamanda geçerli olacağına dair Kazakistan Anayasa’sına yapılan değişikliklerin, devletin bütünlüğü ve bağımsızlığına tehdit olarak yorumlanması gerektiğini belirtmektedir (Karagusov, 2015).

Buna karşılık, Kazakistan’ın başkentinde *Anglo-Sakson* hukuk sistemine dayalı hukuk kurallarına göre faaliyette bulunabilecek bir merkezin kurulmasının Kazakistan’ın ekonomisinin gelişmesinde, yabancı yatırımcıların çekilmesinde olumlu sonuçlar doğuracağını savunan yazarlar da mevcuttur (Daulenov ve Abilova, 2016, s. 29 – 36; Yeshniyazov, 2016, s. 87-93; Didikin, 2017, s. 150). Fakat, bunların her biri, sistemin iyi çalışabilmesi ve olumlu sonuçlar ortaya çıkarabilmesi için bazı hususların dikkate alınması gerektiğini belirtmektedirler.

Astana Uluslararası Finans Merkezi Hakkında Anayasal Kanunun md. 4/2’de, merkezin, hukukunun işbu kanuna aykırılık teşkil etmeyecek *İngiltere* ve *Wells* hukukunun ilkelerine, kurallarına ve içtihatlarına ve/veya önder uluslararası merkezlerin standartlarına dayanan merkeze özgü hukuk kurallarından oluşacağı düzenlenmiştir. Bu hükümden hareketle, AUFM’in hukuk kuralları oluşturulurken, İngiliz hukukundaki içtihatların Merkezin yönetim kurulu kararıyla ve mahkemenin işleyişi sürecinde dikkate alınacağı, bu durumun bazı hallerde “*hukukî kesinlik*” (“Hukukî kesinlik” ilkesi Kazakistan usul hukukunda, yürürlüğe giren mahkeme kararlarının yeniden denetlenmeyeceği yani hakkında mahkeme kararı verilen uyuşmazlığın, tekrardan mahkemede esastan incelenemeyeceği anlamına gelir) ilkesini ihlal edebileceği belirtilmektedir (Daulenov ve Abilova, 2016, s. 29-36). Şöyle ki, mahkemenin önüne gelen bir uyuşmazlıkta, mahkeme ya kendisi ya da yönetim kurulu kararıyla İngiliz hukukundaki içtihatlara dayanarak karar verebilir. İngiliz hukukunda, içtihatların değişmesi, ileride verilen kararın yeniden gözden geçirilmesi ihtiyacını ortaya çıkarabilir. Yazar bu bakımdan, “hukukî kesinlik” ilkesinin ihlal edilebileceğini tahmin etmektedir. *Daulenov/Abilova’nın* bu argümanına karşılık, *Didikin*, bu tür sorunun ortaya çıkmayacağını, AUFM’in hukuk kurallarının istikrarlığının, İngiliz hukukundaki içtihatların keyfi kullanımı yoluyla ile değil, Merkezin hukuk kurallarına değişikliklerin önceden belirlenen usule uygun olarak yapılması suretiyle sağlanacağını belirtmektedir (Didikin, 2017, s.150).



Yeshniyazov, AUFM'de uyumsuzluklar çoğunlukla yabancı unsurlu olacağından, merkezin hukuk kurallarının oldukça geniş ve detaylı olması gerektiğini; aile, miras konularını da içeren kanunlar ihtilafı kurallarının öngörülmesi gerektiğini; kanunlar ihtilafı kurallarının hazırlanmasında örnek olarak 1987 tarihli İsviçre Milletlerarası Özel Hukuk Hakkında Kanununun alınabileceğini belirtmektedir (*Yeshniyazov*, 2016, s. 87-93).

AUFM'in kurulmasını destekleyen bazı yazarlar, merkezin yalnızca, Kazakistan için değil, Avrasya Ekonomik Birliğine (Avrasya Ekonomik Birliği, <http://www.eaeunion.org/>) üye bütün ülkeler için büyük önem taşıyacağını ifade etmektedirler (*Baskakova*, 2017, s. 92). Şöyle ki, merkez sayesinde, ortak finans piyasası oluşturulacaktır. Ortak finans piyasası, bankaların, sigorta şirketlerinin lisanslarının, kıymetli menkuller alanında faaliyette bulunma yetkisini veren lisansların bütün Avrasya Ekonomik Birliğine üye ülkelerde tanınmasına, üye ülkelerin finans piyasasına herhangi bir sınırlama getirilmeden girilmesine, tüketicilerin haklarının korunmasına, bankaların ve finans şirketlerinin üye ülkelerde birbirlerinin piyasasına girmelerine yol açacaktır (*Baskakova*, 2017, s. 92).

Diğer Uluslararası Finans Merkezleri

Öğretide Uluslararası Finans Merkezlerinin başarılı olmasına neden olabilecek etkenler olarak, büyük bir finansal piyasanın varlığı; sermayenin ülkeye girebilmesi için açık ekonomi; yeterli ve kaliteli işgücü; yolsuzluğun yokluğu (çok düşük seviyede olması); uygun hukuk kuralları (liberal gümrük ve vergi sistemleri, bağımsız ve açık hukuk sistemi); uygun coğrafi konum (bulunduğu bölgenin iklimi, denize açık olması, komşu ülkelerin ekonomik durumu); şehrin gelişmiş altyapısı; ülkenin ekonomik ve siyasi durumunun istikrarlığı belirtilmektedir (*Shevchenko ve Lenskiy-Segal*, 2015, s. 401-404).

Astana Uluslararası Finans Merkezinin başarılı bir proje olup olmayacağını tespit edebilmek için öncelikle gelişen Dubai ve Singapur Uluslararası Finans Merkezlerinin gelişim sürecini, başarılı olmasına neden olan etkenleri değerlendirmeyi doğru buluyoruz.

Dubai Uluslararası Finans Merkezinin örnek olarak seçilmesinin sebebi, Astana Uluslararası Finans Merkezinin, Dubai Uluslararası Finans Merkezini örnek almasıdır. Yukarıda belirtildiği üzere Birleşik Arap Emirlikleri (BAE), karışık hukuk sistemine sahiptir. Şöyle ki, Birleşik Arap Emirlikleri'nin mevcut hukuk sistemi, geleneksel İslam kanunlarından (şeriat hukuku), *Kıta Avrupası* hukuk sistemine ait kurallardan (Medenî Kanunundan) ve *Anglo-Sakson* hukuk sistemine ait kurallar-



dan oluşmaktadır (Belikova, 2012, s. 28-29). BAE federal devlet olması nedeniyle her Emirliğin kendi hukuk kuralları mevcuttur. Bu bağlamda, Dubai Uluslararası Finans Merkezinin bulunduğu Dubai Emirliğinde karışık hukuk sistemi geçerli iken, Dubai Uluslararası Finans Merkezinde İngiliz hukuku kuralları geçerlidir. Dubai Uluslararası Finans Merkezi, diğer Finans merkezleri ile kıyaslandığında, daha kısa bir sürede yaklaşık 10 yıl içinde başarıya ulaşmıştır. Bunun başlıca sebepleri olarak, vergilendirmede ayrıcalıklar, indirimler öngören *offshore* bölgenin varlığı; BAE'den bağımsız hukuk sisteminin bulunması İngiltere tarafından hazırlanan Merkezin kendine özgü Medenî ve Ticaret Kanunlarının bulunması; stratejik bir konumda Avrupa ile Asya arasında yerleşmesi belirtilmektedir.

Singapur Uluslararası Finans Merkezi'nin örnek olarak alınmasının nedeni ise ülkenin bağımsızlığı aldıktan sonra yaklaşık 30 yıldır tek iktidar olan Lee Kuan Yew tarafından yöneltilmesi, Kazakistan gibi üniter devlet olmasıdır. Singapur, zamanında İngiltere'ye bağlı olduğundan *Anglo-Sakson* hukuk sistemini benimsemiştir. Finans Merkezinde de *Anglo-Sakson* hukuk sistemi esasları geçerlidir. Öğretide, *Anglo-Sakson* hukuk sistemini benimseyen ülkelerde, finans merkezlerinin daha hızlı geliştiği ve başarılı olduğu belirtilmektedir (Ponamarenko ve Ras-skazov, 2017, s. 95-96). Bunun nedeni *Anglo-Sakson* hukuk sistemine ait kuralların, genellikle yatırımcıların menfaatini korumaya yönelik olmasıdır. Bu durum, kıymetli evraklar piyasasının gelişmesine neden olmaktadır. Singapur Uluslararası Finans Merkezinin başarılı olmasının nedeni olarak, şehrin konumu (gelişmiş liman ve nakliye lojistik hizmeti); kanunların üstünlüğü ilkesine riayet edilmesi; mahkemelerin (hakimlerin) bağımsızlığı; hükümetin istikrarlı ve yetkin faaliyetleri; yatırımcılar için vergilendirmede ayrıcalıklar, indirimler belirtilmektedir (Liter Gazetesi, erişim tarihi: 28.08.2019).

Değerlendirme ve Görüşümüz

Yukarıda belirtilen bütün bu kriterler Kazakistan açısından incelendiğinde, şu sonuçlar ortaya çıkmaktadır.

- Nur – Sultan, Singapur ve Dubai gibi denize açık bir ülke değildir. Ayrıca, Nur-Sultan'ın belirli finansal piyasanın varlığından da bahsedilemez. Zira Kazakistan'ın finans kuruluşlarının birçoğu, belirtmek gerekirse, bankaların merkezleri, üretim yapan ticarî şirketler Almatı'da ve ülkenin Güney tarafında toplanmıştır. Nur – Sultan şehrinde yalnızca KazMunayGaz, Samruk Kazına Ulusal Refah Fonu, Kazakhtelekom gibi sermayesi devlete ait ve devlet tarafından kurulan şirketler mevcuttur.



- Kazakistan'ın, yabancı sermayenin ülkeye girişini sağlamak için yeterli düzeyde açık ekonomiye sahip olduğu söylenebilir;
- Kazakistan'da yolsuzluğun düşük seviyede olduğu ise söylenemez. Astana Uluslararası Finans Merkezinde, *Anglo-Sakson* hukuk sisteminin benimsemesinin asıl nedeni de kanaatimizce Kazakistan'da yolsuzluğun çok düşük seviyeye indirilmesidir. Zira söz konusu Finans Merkezinin Hakem Mahkemesinde İngiltere'de bilinen ve saygın hakemler, avukatlar hizmet edecekler, hakem sıfatıyla ortaya çıkan uyuşmazlıkları çözeceklerdir;
- Astana Uluslararası Finans Merkezinde İngiliz hukuk kurallarının geçerli olacağının düzenlenmesinin sebebi ise yatırımcılar için garantileri sağlamak, daha olumlu şartlarda yatırım yapma imkânı sunmaktır. Bu bağlamda, merkezde yatırımcılar için 50 yıl boyunca geçerliğini koruyacak vergi ayrıcalığı, yabancı para girişinde kolaylıklar ve Finans Merkezinde çalışacak personel için vize ve çalışma fırsatlarında kolaylıklar sağlanmıştır.

Yalnızca yukarda belirtilen kriterlere bakarak Astana Uluslararası Finans Merkezinin başarılı olup olmayacağının tespit edilmesinin mümkün olmadığı kanaatindeyiz. Konuya dair diğer hususlar da değerlendirilmelidir. Bu bağlamda ekonomik, siyasî ve hukukî açıdan derin bir inceleme yapılmalıdır. İşbu çalışmamızda yalnızca hukukî bakımdan bir değerlendirme yapılacaktır.

Hukukî açıdan değerlendirme, Kıta Avrupası hukuk sistemini benimseyen ülkede *Anglo-Sakson* hukuk sistemine göre faaliyette bulunacak merkezin kurulmasının hukukî açıdan ne kadar doğru olacağı hususuna ilişkindir. Hukuk öğretilerinde, hem *Kıta Avrupası* hukuk sistemi kurallarını içeren hem de *Anglo-Sakson* hukuk sistemi kurallarını içeren karmaşık yapıya sahip *Hibrid* olarak adlandırılan hukuk sistemleri mevcuttur (Trikoz, 2017, s. 91-97). Bu hukuk sistemini karakterize eden özellikler olarak şunlar belirtilmekte: (a) hukuk kaynaklarının içinde kanunî düzenlemelerin üstünlüğü; (b) yazılı Anayasa'nın mevcudiyeti; (c) hukuk kurallarının kodifikasyonu; (d) içtihatlar önemli olsa dahi esas önemin davranış standardı sayılan hukuk kurallarına verilmesi; (e) adalet ve dürüstlük kurallarının merkezde yer alması (Trikoz, 2017, s. 93-94). Dolayısıyla bu hukuk sistemini benimseyen ülkelerde hakimler, mahkemeler herhangi bir uyuşmazlığı çözerken yalnızca hukuk kurallarını uygulamakla sınırlı kalamazlar, hukuk kuralının uygulanması sonucunda ortaya çıkan sonucun/çözümün adil ve dürüst olup olmadığını da değerlendirmelidirler. Bu sistemi benimseyen ülkelere örnek olarak Amerika Birleşik Devletleri'nin Louisiana eyaleti, Birleşik Krallığın İskoçya'sı, Filipinler,



Güney Afrika Cumhuriyeti, İsrail, Birleşik Arap Emirlikleri gösterilebilir. Bunlardan Güney Afrika Cumhuriyeti federal devlet unsurlarını içeren üniter devlet iken Filipinler ve İsrail tam üniter yapıya sahip ülkelerdir. Dolayısıyla, dünyada çok az sayıda olsa dahi üniter yapıya sahip ülkelerin karmaşık hukuk sistemini benimsediği görülmektedir. Bu ülkelerin Kazakistan'dan farklılığı, bu ülkelerin bağımsızlıklarını ilân ettikten sonra hemen karmaşık sistemi benimsemiş olmalarıdır. Kanunlarını, her iki sisteme uygun olarak çıkartmış olmalarıdır. Yani Kazakistan'da gibi başlangıçta Kıta Avrupası hukuk sistemini benimseyip, sonra *Anglo-Sakson* hukuk sistemine ait kuralların belli bölgede geçerli olacağını düzenlememişlerdir. Hukukî açıdan değerlendirildiğinde, üniter yapıya sahip bir devlette bü tür değişiklik Anayasa'ya aykırılığı teşkil eder. Zira hukuk öğretisinde, üniter devlet – tek yasama, yürütme ve yargılama organından oluşan, tek hukuk kurallarının ve tek hukuk sisteminin geçerli olduğu devlet yapısı şeklinde tanımlanır. Diğer taraftan dünyadaki küreselleşme, ülkenin ekonomik bakımdan gelişmesi ve diğer devletlerle uluslararası piyasada rekabet edebilmesi için mevcut olan devlet yapılarının ve hukuk sistemlerinin değiştirilmesi ihtiyacını doğurmaktadır. Bu açıdan bakıldığında, Kazakistan'ın bir deney yapma sürecine girdiğini görebiliriz. Bu deneyin başarılı olup olmaması hem yukarıda sıralanan kriterlerinin mevcudiyetine hem de devletin yürüttüğü siyasete, siyasetin istikrarlığına, hem de hukuk kurallarını uygulayacak kişilere bağlıdır.

Sonuç

Kazakistan serbest ekonomi yönünde gelişebilmek için öncelikle ülkenin tarihsel gelişimini ve ülkenin o dönemdeki mevcut durumunu dikkate alarak Kıta Avrupası hukuk sistemini seçmiştir. Seçilen hukuk sistemine uygun olarak hukuk kuralları kabul edilmiştir. Kazakistan bağımsızlığını ilân ettiği dönemde finansal sorunlar yaşamakta idi. Kazakistan bu sorunları giderebilmek ve ülkeye para girişini sağlamak amacıyla, yabancı yatırımları çekme siyasetine önem vermiştir. Kazakistan'ın hukuk kuralları da bu yönde geliştirilmiştir. Ülkeye yabancı yatırımcıları çekebilmek için Kazakistan bazı şehirlerinde ve bölgelerinde, belirtmek gerekirse, Astana ve Karaganda şehirlerinde, Mangıstau bölgesinde, Almatı ilinde, Güney Kazakistan bölgesinde, Atırâu bölgesinde “Münhasır Ekonomik Bölge” adını taşıyan özerk bölgeler kurmuştur. Bu bölgelerde yatırımcılar için vergilerde indirimler bazen muafiyet, malların gümrükten geçişinde kolaylıklar sağlanmıştır. Bu durum 26 yıllık bağımsız Kazakistan'ın Orta Asya bölgesinde ekonomisi hızlı bir şekilde gelişmekte olan ülkelere biri sayılmasına neden olmuştur.



Kazakistan, 2050 yılında 30 gelişmiş ülke listesine girmeyi hedeflemektedir. Bu amaca ulaşabilmek ve ülkeye mümkün olduğunca daha fazla yabancı yatırımcı çekebilmek için Kazakistan sürekli yeni kanunlar çıkarmakta ve mevcut olan kanunî düzenlemelere ise değişiklikler yapmaktadır. Bunlardan en önemlisi ve öğretilerde tartışmaların ortaya çıkmasına neden olan Astana Uluslararası Finans Merkezi Hakkında Anayasal Kanundur. Söz konusu kanun ile Kazakistan'ın mevcut hukuk sisteminden farklı olan, *Anglo-Sakson* hukuk sistemine dayalı, İngiliz hukuku kurallarının geçerli olacağı özerk bir bölgenin kurulacağı düzenlenmiştir. Özerk bölgede yabancı yatırımcıların haklarının etkin bir şekilde korunmasını sağlayacak, Kazakistan'ın yargılama sisteminden farklılaşan bağımsız hakem mahkemesinin faaliyette bulunacağı da öngörülmüştür.

Çalışmamızda Astana Uluslararası Finans Merkezinin farklı hukuk sistemine tabi tutulacağına dair mesele, hukukî açıdan değerlendirilmiştir. Bu bağlamda, üniter yapıya sahip bir devlette bu tür değişikliğin, Anayasa'ya aykırılığı teşkil edeceği sonucuna varılmıştır. Zira hukuk öğretisinde, üniter devlet – tek yasama, yürütme ve yargılama organından oluşan, tek hukuk kurallarının ve tek hukuk sisteminin geçerli olduğu devlet olarak tanımlanır.

Diğer taraftan dünyadaki küreselleşme, ülkenin ekonomik bakımdan gelişmesi ve diğer devletlerle uluslararası piyasada rekabet edebilmesi için mevcut olan devlet yapılarının ve hukuk sistemlerinin değiştirilmesi ihtiyacını doğurmaktadır. Bu açıdan bakıldığında, Kazakistan'ın bir deney yapma sürecine girdiği görülmektedir. Bu deneyin başarılı olup olmaması ise hem yukarıda belirtilen kriterlerinin mevcudiyetine hem de devletin yürüttüğü siyasete, siyasetin istikrarlığına, hem de hukuk kurallarını uygulayacak kişilere bağlıdır.

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Natural Resources at Rakhine: Causes a Violation of the Human Rights of Rohingya Refugees in Myanmar?

Mohammad Safayat Hossain*

Abstract: Myanmar, a non-Muslim South Asian country nowadays is known for killing Muslims in the world. Vested political and economic interests are key factors behind this humanitarian's problem and forced for the displacement, not just of the Rohingya Muslim but for the other minorities as well. Rakhine state is a strategically important state for Myanmar's neighbor's country, China and India. Despite its rich natural resources, Rakhine remains one of Myanmar's most impoverished states. Rakhine ranked 8th important state in terms of natural resources, business, economy, etc. Discovery of this massive energy reserves in Rakhine caught few countries attention, which developed oil and gas pipelines to connect Myanmar's Kyaukphyu port with Kunming – allowing oil from the Gulf States and Africa to be pumped to China, bypassing the Malacca Straits, and transporting hydrocarbons from Myanmar's offshore fields to China. Of the 400 million cubic feet of gas produced every day, 379 million are exported to China. 771-kilometer pipeline starts at the Bay of Bengal in Rakhine state, from where most of the Rohingya have been forced out. Another big neighbor country India is constructing the Kaladan Multi-Modal Transit Transport Project through Rakhine state to directly connect its northeast with the Bay of Bengal and has nearly finished the Sittwe port work where the Kaladan project starts. Companies from France, Indonesia, China, India, Russia, Singapore, Thailand, Malaysia, and Hong Kong have invested in onshore projects while firms from South Korea, France, Malaysia, China, India, Thailand, and Vietnam are all involved in the exploration. In 2010 about 70000 acres of farmland were confiscated for the project but in those years, no one dared to speak out about hardship caused by the junta. Farmer's land was confiscated. Some of them could not survive, some of them moved to another township to make a living, some are raped, some are killed maximum are forced to go to Bangladesh. At least 6,700 Rohingya, including at least 730 children under the age of five, were killed in the month after the violence broke out, according to Medecins Sans Frontieres (MSF). This study will analyze how natural resources are connected with the human rights violation of Rohingya Refugee people of Myanmar.

Anahtar Kelimeler: Human-Rights, Rohingya, Hydropower, Natural Resources, Myanmar, China, Bangladesh, Economy, Business, Politics.

* Ondokuz Mayıs University, Environmental Engineering, MA Program.
Contact: Safayathossain076@gmail.com



Introduction

The Rohingya refugees, a group that fled to Bangladesh after being displaced by the military government of Myanmar, are among the most unfortunate ethnic minority groups in the world and their presence in Bangladesh has created a so many problems for their host country. As a country of first asylum Bangladesh is obligated to ensure the safety, foods, accommodations of the Rohingya people but, given the strain created by its own large population, Bangladesh cannot handle that responsibility alone for the long time. Since the country's independence, Myanmar has been plagued by ethno-religious tensions and armed conflicts. The majority of conflicts have been between the central government and ethnic minorities on the question of autonomy. One among them is the simmering tension between the Buddhists and Rohingya Muslims in Rakhine state in the western part of the country. At Rakhine, the international community has shown great interest, especially in the aftermath of the violence in June and October 2012 but what makes the Rohingya issue unique and why has it caught the attention of the wider international community? Is it because a less fortunate distinctive Rohingya Muslims community or Natural Resource at Rakhine?

The Arakan region was ceded to the British in 1826 through the Treaty of Yandabo. After the independent from British rule in 1948, Arakanese named as Arakan. This name was changed Arakan to Rakhine in the 1990s. Arakan State, with four dynastic eras (from BC 3325 to AD 1784); Dhanyawaddy, Vesali, Laymro and Mrauk-U, operated as an independent sovereign state for over 5,000 years. Its sovereignty was lost when the Burmans invaded in 1784 establishing Arakan State as a state of Burma.

Separated from Burma's other ethnic nationalities by the Arakan Roma mountain range, the Arakanese people have customs and a language of their own. With approximately three and a half million inhabitants, Arakan State accounts for approximately 6 % of the total population of Burma. Situated on the Bay of Bengal, the Arakan state enjoys abundance in natural resources such as forests, a coastline therefore direct access to the sea and long stretches of beaches, and the fertile land within the Kaladan and Laymro River valleys. Many Arakan inhabitants conduct their economic activity through rice farming and fishing; the cornerstones of their identity and daily survival. The state is divided into 4 districts and 17 townships, 3 sub-townships, 20 towns, 132 quarters, 1,040 village-tracts and 3,861 villages. The capital city, Site-tway, also known as Akyab, has a population of approximately 400,000 and is located on an estuarial island at the confluence of the Kaladan, Laymro, and Mayu rivers.



Natural Resources Contribution in Future Projects at Rakhaine

Gas (Shwe Gas Project):

Myanmar is a developing country and an important natural gas and petroleum producer in Asia. It is home to one of the world's oldest petroleum industries, with its first crude oil exports dating back to 1853. Today, the country is one of the major natural gas producers in the Asian continent. Decades of isolation, sanctions, a lack of technical capacity, opaque government policies and insufficient investment has impeded the country's efforts to develop an upstream hydrocarbon sector.

The Shwe Gas pipeline, intended to run from the natural gas fields of the Bay of Bengal, off the west coast of Rakhaine State, to China's southern Yunnan

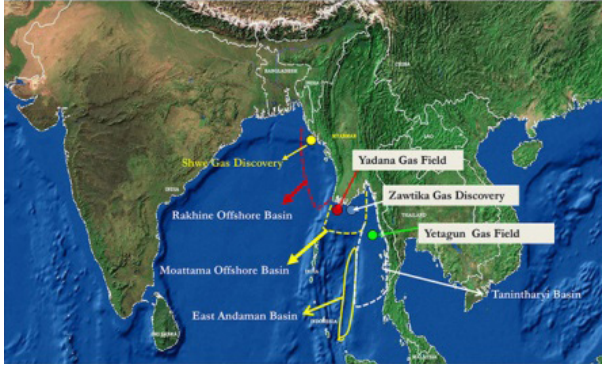


Province, is set to be the biggest such project in Southeast Asia. Critics anticipate widespread land confiscation, military deployment for security reasons and the use of forced labour in order to clear the proposed route. These fears arise from experience of the Yadana and Yetagun gas pipelines, which run through Tenasserim Division in Eastern Bur-

ma, and experienced a systematic pattern of abuse as a direct result of the investment in these projects. For example, on 27th & 29th November 2000, the Mon villages of Wae-ka-rat and Wae-thun-chaung saw 20 and 10 houses destroyed respectively, without compensation, to clear the way for the Yadana gas pipeline. The villagers were left homeless and landless. The land confiscation that occurred as part of the Yadana and Yetagun pipelines has been well documented by Earth Rights International (ERI). In a report published in 2009, ERI includes a quote from a local villager along the pipeline route who said, "There are about 180 households in the village. Most people in the village now are daily workers. In the past they had their own plantations, but they had to give it away for the government's palm plantation project and for the gas pipeline route. Now only a few people are



PETROLEUM BASINS IN MYANMAR OFFSHORE



left with some plantation land.” Land confiscation will undoubtedly be much worse during construction of the Shwe Gas pipeline due to its size, 15 times longer than the 60km Yadana pipeline. According to Naing Htoo, Burma project coordinator for ERI, “land confiscation has begun in Arakan state along the pipeline

route.” According to the Shwe Gas Movement (SGM) close to 44 infantry and light infantry battalions from the Burma military have been stationed to secure the pipeline route. Increased militarization will surely lead to land confiscation and other human rights abuses and many have already fled from fear of the military. Members of the Shwe Gas Movement have already stated that they fear the human rights abuses and extend of land confiscation will be worse for the Shwe pipeline than Yadana due to it being much bigger, predicting that 22 townships will be affected along the pipeline in the next three years. Similarities have already begun to show from the increased militarization along the pipeline, heightening cause for concern. Local residents in Kyauk-phru Township in Rakhine State have already alleged that authorities had not paid compensation by November, despite assurances, for the 50 acres of farmland that had been seized in May. Furthermore, as outside foreign investment increases year on year, there seems to be little sign that the regime will change its approach on land confiscation or other human rights abuses at the expense of the profits that can be made from oil. Similarly, with the increasingly expansive policies taken up by leading Asian economics, the enforcement of accountability into projects undertaken in Burma is also looking increasingly unlikely.

Hydropower (Damming Projects)

In the wake of ongoing political reforms and economic liberalization, Myanmar’s strategic position at the crossroads of south and east Asia is leading



to increased participation in regional energy cooperation. Nonetheless, with an electrification rate of only 31 percent and demand growth of 15 percent per annum, Myanmar faces the familiar challenge of meeting a rapidly increasing domestic energy demand. To this end, the government finalized its National Electrification Plan in June 2014. With the aim of providing electricity to the entire country by 2030, the plan emphasizes hydropower as a long-term energy solution. In the plan's scenario, installed hydropower capacity will almost triple to reach 9,000 MW by 2030. Currently, hydropower comprises two-thirds

of the country's energy mix, with 3,151 MW of installed capacity from 25 operational projects. Another 46 GW of technically feasible potential has been identified so far, and a number of these projects are now under construction or at the advanced planning stage.



The Burmese regime has begun construction on four hydropower developments in Rakhine State and has plans for one more. If expectations are met, an estimated 691 megawatts of electricity will be produced and either exported to neighbouring countries such as Bangladesh or used by the Burmese military, solely to power military infrastructure and for other projects in the region such as the Shwe Gas Pipeline. The large majority of this power will come from a proposed hydroelectric dam on the Laymro River. The dam will be built by a local company, Shwe Taung Ltd. and is expected to produce approximately 500



MW of power. This thereby negates any possible benefit to the inhabitants of Rakhine State for the human rights abuses incurred due to their development. The remaining 191 MW of power will come from three other hydropower developments: Sai Dun (70), Thahtay Chaung (111 MW) and Ann Chaung (10 MW). All three projects are currently under construction and are expected to be operational within the next few years. In addition to large security perimeters set up around the sites limiting locals' access to communal grazing lands and bamboo forests, previous hydropower projects in Burma suggest that many individuals and probably whole villages will be forced off of their lands to make way for the dam facilities and the reservoirs, and receive no compensation from the authorities. They will therefore lose their entire income source and access to the local economic market as well as destroying livelihood sustainability and security. One example of such previous hydropower projects is the Tasang dam. As a result of the Tasang dam, "already over 300,000 people have been forcibly relocated from the areas since dam studies commenced in 1996," according to Salween Watch. Other dam projects that have included land confiscation are the Shweli dam project in Shan state, Myitsone dam in Kachin state, and the Tamanthi Project in Western Sagaing.

Kaladan Multi-Modal Transit Transport Project

The Indian government sought approval from the Burmese military regime for nearly a decade for the "Kaladan Multi-Modal Transit Transport Facility" (Kaladan Project), as a means of providing a seaport – and thus access to international trade – to the landlocked and restive northeast of India. The infrastructure development aims to move goods in three stages: by sea between the port of Kolkata in eastern India and Site-tway (Sittwe) in Rakhine State; by river transport along 225 kilometres of the Kaladan between Site-tway (Rakhine) and Kaletwa (Chin State); and by road via a 120 kilometre highway that will be constructed through the northwestern Chin State between Kaletwa and the Burmese border with India's Mizoram province. Goods would also be shipped in the opposite direction, and from Site-tway to other locations in southeast Asia using the port as an international trade hub but with little opportunity for the local community to use the facilities or engage in economic activity on an international scale due to high taxes imposed on the use of the port facilities. The governments of India and Burma signed a Framework Agreement for the Project in April 2008, with the start date planned for December

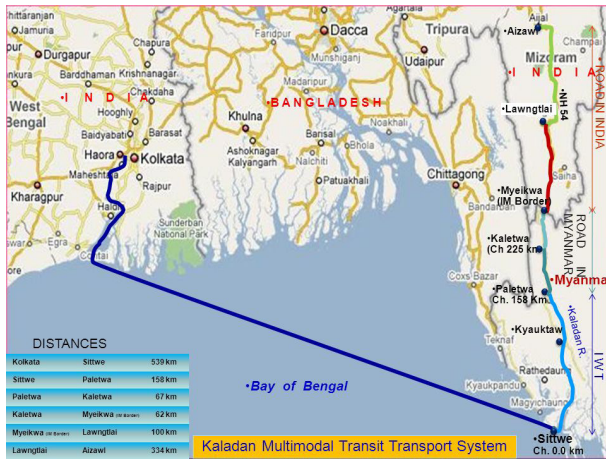


2009. However, due to delays in receiving and allocating the tender, the date looks set to be mid-2010 although a stringent 36-month execution package has also been planned with Essar, the winning tender. Under the terms of the Agreement, the Indian government (through the Ministry of External Affairs) will finance the US \$120 million Project and the state-run Inland Waterways Authority of India (IWAI) will oversee the redevelopment of Site-tway port, dredging operations around Site-tway and along 225km of the Kaladan, and construction of an Inland Waterway Terminal (IWT) in Kaletwa. The Burmese regime will provide all of the land required for the project for free, as well as security for all personnel, materials, equipment, work sites, and the facility itself in exchange for the Indian government providing the financial funding for the project.

The regime will also be responsible for the construction of the highway to the Indo-Burma border for which the Indian government has loaned a sum of approximately \$10,000 for the building of this highway and the Burmese government implementation of the project. Due to mass deployment of battalions in the region, many acres of land have been confiscated from locals to build barracks, military outposts and other related infrastructure. Over 200 acres of farmland was recently confiscated from locals for the deployment of artillery battalions 375 and 377 in Kyauk Taw Township. According to locals, there have been similar cases throughout Paletwa Township in Chin State. The proposed site for the new seaport is situated in a highly residential area, and it is probable many citizens will be forced to relocate. We can predict from past experience, that these people will receive no assistance from the authorities to find new homes. Many locals are also concerned about Site-tway general hospital, situated less than 50 meters from the sea, which may also be threatened with removal and thereby unassisted relocation.

Gas and Oil Test Drilling Project

In 2004, a consortium of Chinese and Singaporean companies was awarded rights for oil and gas exploration and started test drilling in “Block M” on Ramree Island. China National Offshore Oil Company Ltd., of parent company China National Offshore Oil Corporation (CNOOC), China’s third-largest oil and gas corporation, was designated managing partner of the consortium, responsible for coordination oil and gas exploration and development in Block M. Altogether 150 workers from



the Chinese consortium and 600 from Asia World Company were drilling in the 3,007 square mile block. According to our research, once the consortium began exploration, local farmlands and local traditional oil wells located within the block were confiscated for exploration by the local author-

ities. Locally owned private boats were forced to transport arm equipment as well as officials and workers of the companies. Oil workers have also cleared forest areas to facilitate transportation.

Asia World Co. Ltd along with another Burmese company arrived in Kyauk-phru Township in 2004. Asia World Co. Ltd was stationed at the building of Rammarwaddy Ltd soup mill near to the Kyauk-ta-lone Pagoda. The other company was stationed at the primary school of Wa-myaung village in Kyauk-praung. Local community members were employed to clear the forests for the roads and given 1,200 Kyat (c. 90 US cents) as daily wages. After the oil drilling test, the companies left in May 2005. They returned in September 2005 to undertake further drilling tests using dynamite in October, November and December 2005. A lot of paddy fields and plantation gardens were destroyed by the explosions. The owners were told that they would be given compensation but received nothing from the companies. In early 2006, Asia World Co. Ltd confiscated over two acres of land that were owned by U Maung Saw Aung, U Maung Wai Tin and U Maung Hla Tin from Rae-nan-taung (Oil Mountain) and used as traditional oil drilling site for many years. Apart from their drilling areas, a lot of traditional drilling wells owned by the local community members were destroyed by the companies. Furthermore, the traditional oil refinery owned by U Wong Zaw Hlaing was also destroyed with no compensation received. Additionally, 1 million Kyat, supposedly for U Sa Nay Aung and his workers, was never received. Instead it was withdrawn in advance by a Burmese worker from Asia World Co. Ltd, who then fled. The company took no action to retrieve the money. Therefore, U Sa Nay Aung had to pay the workers



with his own money, greatly affecting his own business. Drilling mud was allowed to pollute the Chaung-wa stream, killing many local fish species. In early 2007, the plastic waste products of the drilling were burnt, generating toxic smoke, which adversely affected the health of villagers near Rae-nan-taung. In April and May 2007, the project stopped although the confiscated farmlands are now surrounded by barbed wire and people are prohibited from approaching the area which is guarded by the local police. In 2005, India's Essar Oil Limited (AOL) signed a production-sharing contract with the Burmese military regime, for oil exploration in two blocks (L & A-2) one each for onshore and offshore drilling. AOL has been drilling in onshore Block L, near Rakhine's Site-tway and Ponnagywan Townships, since late 2008 after finalizing seismic surveys conducted by the Sichuan Geophysical Company of China in 2007. According to local people, rice fields, shrimp farms and plantations were destroyed due to seismic surveying last year and growth of foliage has since diminished. Limited compensation was given to a few owners who have close relationships with the authorities, but most received none. Some rural community residents were forcibly hired for construction jobs but received no regular wage. A local resident said that 16 acres of rice plantations, owned by seven people were confiscated without adequate compensation by local authorities. The former farmland is being used for Essar's drilling camp and is currently protected by a fence. Local people are concerned that if the company finds oil or gas in the area, many villages near the drilling camp will be forcibly relocated.

Connection between Projects and Rohingya Attack

The Rohingya, who numbered around one million in Myanmar at the start of 2017, are one of the many ethnic minorities in the country. Rohingya Muslims represent the largest percentage of Muslims in Myanmar, with the majority living in Rakhine state. They have their own language and culture and say they are descendants of Arab traders and other groups who have been in the region for generations. But the government of Myanmar, a predominantly Buddhist country, denies the Rohingya citizenship and even excluded them from the 2014 census, refusing to recognize them as a people. It sees them as illegal immigrants from Bangladesh. Since the 1970s, Rohingya have migrated across the region in significant numbers. Estimates of their numbers are often much higher than official figures. In the last few years, before the latest crisis, thousands of Rohingya were making perilous journeys out of Myanmar to escape communal violence or alleged abuses by the security forces.



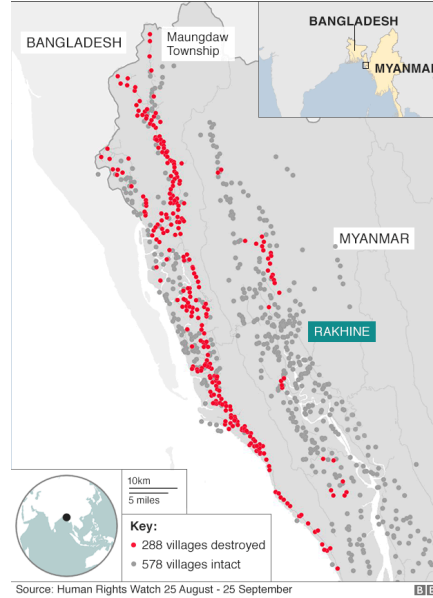
Spread of Rohingya inside and outside Myanmar



Projects area at Rakhine



Destroyed villages in Rakhine state



By comparing these two photos, the destroyed villages are located inside the future projects of Myanmar at Rakhine, Myanmar is trying to paint the exodus of the Rohingya, fleeing persecution in the Rakhine state, as result of religious and ethnic tensions. But there is more to it than meets the eye. A 2015 UK government report said Myanmar was estimated to have 3.2 billion barrels of oil and 18 tril-



lion cubic feet of natural gas reserves adding, “Its unproven resources may be vastly greater.” Myanmar was ranked fifth in the world in terms of its proven reserves. The discovery of massive energy reserves in Rakhine in 2004 caught China’s attention, which built oil and gas pipelines by 2013 to connect Myanmar’s Kyaukphyu port with Kunming – allowing oil from the Gulf states and Africa to be pumped to China, bypassing the Malacca Straits, and transporting hydrocarbons from Myanmar’s offshore fields to China. The 771-kilometer pipeline starts at the Bay of Bengal in Rakhine state, from where most of the Rohingya have been forced out. Saudi Arabia played a major role in the pipeline. In 2011, its state-owned oil company Aramco signed an MoU with China to supply 200,000 barrels of crude per day through the pipeline. It also inked a deal with Sinopec Group to jointly build Yanbu refinery on the Saudi Red Sea coast. Clashes had taken place between armed militia and government forces in Shan and Kachin, while protests were held in Rakhine, where the pipeline passes through. Rohingya coastal community in Rakhine’s Kyaukphyu was uprooted in 2012 to pave way for the Kyaukphyu Special Economic Zone. India is constructing the Kaladan Multi-Modal Transit Transport Project through Rakhine state to directly connect its northeast with the Bay of Bengal and has nearly finished the Sittwe port work where the Kaladan project starts. Jason von Meding, a specialist in disaster response at the University of Newcastle in Australia, said Myanmar had designated 3 million acres in Rakhine state for the development of the area’s rich mineral resources. But the schemes have evoked protests from the local minorities and farmers, who say the moves were aimed at grabbing their land for which they receive little to no compensation. Myanmar in January said it was starting the exploration of about 37 new offshore oil and gas fields along Rakhine coast, reports Naypyitaw-based newspaper Eleven. More than 430,000 Rohingya fled to neighboring Bangladesh since August 25 after insurgent attacks on Myanmar police posts and an army base triggered a violent crackdown by the military targeting Rohingya villages. The UN has described the Myanmar violence as a “textbook example of ethnic cleansing”. Myanmar does not recognize the Rohingya as citizens and brands them illegal immigrants from Bangladesh. Naypyitaw denies the ethnic minority basic rights and forces many of them to live in the apartheid-like conditions in squalid



Villages seen on fire in the Maungdaw Township



Source: Human Rights Watch, Satellite image 15 September 2017

Satellite images show destroyed Rohingya village



Source: Human Rights Watch, Satellite image 21 September 2017

camp. Analysis of satellite imagery reveals new destruction of Rohingya villages during October and November 2017 in northern Rakhine State in Burma, Human Rights Watch said today. Human Rights Watch identified 40 villages with building destruction occurring in October and November, increasing the total to 354 villages that have been partially or completely destroyed since August 25, 2017. During this period, thousands more Rohingya refugees fled Burma and arrived in Bangladesh. Satellite imagery confirms that dozens of buildings were burned the same week Burma and Bangladesh signed a Memorandum

of Understanding on November 23 to begin returning refugees in Bangladesh within two months. On November 25, satellite data detected an active fire and building destruction in Myo Mi Chang village in Rakhine State's Maungdaw Township. Four villages suffered building destruction between November 25 and December 2. "The Burmese army's destruction of Rohingya villages within days of signing a refugee repatriation agreement with Bangladesh shows that commitments to safe returns were just a public relations stunt," said Brad Adams, Asia director at Human Rights Watch. "The satellite imagery shows what the Burmese army denies: that Rohingya villages continue to be destroyed. Burmese government pledges to ensure the safety of returning Rohingya cannot be taken seriously." Human Rights Watch has used satellite imagery to assess and monitor over 1,000 villages and towns in the townships of Maungdaw, Buthidaung, and Rathiduang, where the Burmese military and vigilantes have engaged in attacks on Rohingya. Human Rights Watch found that the damage patterns in the 354 affected villages are consistent with burning occurring in the weeks after the military operations began in late August. Of the 354 affected villages, at least 118 were either partially or completely destroyed after September 5 -- the date the Burmese State Counsellor's office announced as the end of clearance operations. Of the 40 new villages with building destruction identified by Human Rights Watch, 24 were destroyed in October 11 in November, and 5 over both months.

The latest documented arson attacks occurred between November 25 and December 2 in four villages. Satellite data from environmental sensors detected an active fire at 12:30 p.m. in the Rohingya village of Myo Mi Chang in Maungdaw



Township on November 25. Building destruction was concentrated in the center of the village, which was undamaged until this attack. Other villages subjected to arson attacks during this period include Nga/Myin Baw, Goke Pi, and an unknown village in the village tract of Zee Pin Chaung.

On November 23, Bangladesh and Burma signed an Arrangement on Return of Displaced Persons from Rakhine State on behalf of “residents of Rakhine State” who crossed from Burma into Bangladesh after October 9, 2016 and August 25, 2017. In letters to both governments, Human Rights Watch said the agreement should be shelved, noting the lack of involvement by the United Nations and the unrealistic timetable for safe and voluntary returns starting in January 2018. In November, a Burmese army “investigation team” report concluded that there were “no deaths of innocent people” during the military operation in Rakhine State, and that at least 376 “terrorists” were killed during fighting, contrary to information reported by the UN, media outlets, and human rights groups, including Human Rights Watch. The humanitarian group Medecins Sans Frontieres (MSF) on December 14 concluded that at least 6,700 Rohingya were killed in the violence, over 700 of whom were children, based on survey data of refugees in Bangladesh.

Conclusion

Political and economic interests are key factors behind this humanitarian’s problem and forced for the displacement, not just of the Rohingya Muslim but for the other minorities as well. Despite its rich natural resources, Rakhine remains one of Myanmar’s most impoverished states. The SPDC’s ongoing parallel policy of increasing militarization while increased forced land confiscation to house and feed the increased troop numbers causes widespread problems throughout Burma. By stripping people of the land upon which people’s livelihoods are based, whilst providing only desultory compensation if any at all, many citizens face threats to their food security as well as water shortages, a decrease or abolition of their income, eradicating their ability to educate their children in order to create a sustainable income source in the future. Additionally, the policy of using forced labor in the Government’s construction and development projects, coupled with the disastrous environmental effects of many of these projects, continues to create severe health problems throughout the country whilst simultaneously stifling the local economy so that varied or sustainable work is difficult to become engaged in. All of this often leads to people fleeing the country in search of a better life. So, not only religion is the cause of human violation at Rakhine, but also natural resources are one of the important factors behind this genocide activity by govt. of Myanmar.



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The War Trade, Yemen War for Example

Slsabil Hamed Fuad Saeed*

Abstract: While the smell of death is spreading in Yemen, the contracts of selling weapons to Saudi Arabia continue. It is all about business and getting more money from the dominant country in the Peninsula. Over the past five years, Saudi Arabia became one of the world's largest customers of major conventional weapons systems, where 12% of the global arms imports go to it. According to Stockholm International Peace Research Institute, in 2013–17, 61% of Saudi Arabia's arms imports came from the USA, and 23 % from the U.K. and several other West European countries supplied most of the rest. The revenues of weapons sales by billions of dollars to these countries, which argue that these weapons use to maintain security in the middle east against terrorism and counter Iran's influence, in addition to a high number of jobs. As U.S. President Trump touted a creation of 40000 U.S. jobs due to Saudi military sales. However, what about the other side of the story of arms selling, the humanitarian side of Yemeni people who are under airstrikes. NGOs have accused Saudi Arabia of widespread and systemic attacks on civilian targets with thousands of victims. Between 2015-18 there were 19 thousand air raids in Yemen third of its struck non- military objectives and have killed around 50 thousand civilians. The values of the west questioned by arms export policy, where moral values are on the counter side of economic considerations. While human rights organizations are increasingly calling for banning the export of weapons to coalition countries, arms sales contracts still going on by the world's most significant countries. So, what are the variables that made these countries turn a blind eye to the war crimes committed by the coalition against the Yemeni people, and what motives they use to justify the continuation of contracts of selling their weapons? After analyzing the reports and statements approved in the research, the research concludes that arms sales cannot prevent even if used against civilians as long as there is no international monitoring body that imposes strict restrictions on the movement of arms sales.

Keywords: Saudi Arabia, War in Yemen, UK, USA, France, Germany, Italy, Weapons Sales, War Crimes.

* Yildiz Technical University, Graduate School of Social Science Institute, Political Science and International Relations Department, MA Program.
Contact: slsail.hamed@gmail.com



Introduction

On March 26, 2015, the Kingdom of Saudi Arabia had led a coalition against a Yemeni group of rebels (Houthi) under the context of restoring the legitimate Yemeni government to power after the Houthis rebels had taken control the capital city of Yemen in late 2014 and they have expanded into many Yemeni provinces. Since then, the Saudi-led coalition has continuously attacked many residential areas and vital infrastructure as well as medical facilities, markets, weddings, detention facilities, and civilian boats as a result of raids in facing these rebels. In a report of United Nations Experts on the human rights status in Yemen during the period from September 2014 to June 2018, it had pointed that the coalition and other conflict parties may have conducted attacks in violation of the principles of distinction, proportionality, and precaution that may amount to war crimes (OHCHR, 2018).

The tragedy in Yemen does not stop that far; the famine which threatens half of 27 million population to die like the worst humanitarian disaster in the 21st century as well as the prevalence of cholera and malaria that killed thousands as a result of the malnutrition and lack of health care. Besides, the blockade that has imposed by coalition has prevented the delivery of aid, food, and health products in the Yemeni markets. The causes of death varied among the Yemeni people throughout the four years of war, but our concern in this research is the Saudi-led coalition airstrikes on civilian areas that lack transparent investigations and killed hundreds of people. The aircraft bombing in Yemen makes the death toll increasing day after day, the war's total death numbers to over 70,000 since 2016, according to data collated by the Armed Conflict Location & Event Data Project (ACLED, 2019).

These war crimes have documented by many local and international human rights organizations. Most notably was Mwatana for Human Rights, a Yemeni organization tracked the violated crimes during the war, where has documented 328 coalition airstrikes in 13 Yemeni provinces between March 2015 and January 2019, that killed at least 3325 civilians, including 749 children and 280 women, and wounded at least 2,547 civilians, including 595 children and 247 women. In its latest report issued in March 2019 jointly with University Network for Human Rights and Pax for Peace Organization 'Mwatana.'

The report had addressed the Role of the US and Europe in Civilians Death, Destruction, and Trauma in Yemen. The report had documented 27 Saudi-led Coalition attacks that killed at least 203 people and injured at least 749. At least



122 children and at least 56 women were among the dead and wounded. Weapons remnants indicating that a US-made weapon was likely involved were found in twenty-five cases of these attacks, and weapons remnants indicating that a UK-made weapon was likely involved were found in five cases (Mwatana, 2019).

When the air raids bomb civilian sites, and there is a high number of victims, the coalition's investigations team often releases its declarations about 'wrong information' was a reason for that air raids. The investigations team of the funeral hall bombing in Sanaa on October 8, 2016, killing at least 140 people and wounded about 600 has said: "Because of non-compliance with coalition rules of engagement and procedures, and the issuing of incorrect information, a coalition aircraft wrongly targeted the location, resulting in civilian deaths and injuries." (The Guardian, 2016). Unfortunately, these wrong information-based air raids were by US-manufactured weapons where an investigation by Human Rights Watch had identified the munition used as a US-manufactured air-dropped GBU-12 Paveway II 500-pound laser-guided bomb on the funeral hall. (Human Right Watch, 2018).

Another bloody attack was on a bus carrying children in the Dahyan market in the Saada governorate on August 9, 2018, killing 51 people, including 29 children. The coalition said the targeting in the Saada governorate was a legitimate military action, but as a result of broad condemnations on that airstrike, the Saudi-led coalition determined that it would open an investigation into the incident. A few days later, CNN, by working with local Yemeni journalists and munitions experts, has established that the weapon was a 500-pound (227 kilograms) laser-guided MK 82 bomb made by Lockheed Martin, one of the top US defense contractors (CNN, 2018).

The picture now looks more explicit, and the crime scenes are more visible to the reader. The US and European arms sales to coalition countries led by Saudi Arabia, targeting civilians in flagrant violation of international humanitarian law and the rules of war, which makes the countries that followed these weapons partner in those crimes. The practices of the Saudi-led coalition countries in Yemen, which amount to war crimes, make the parties supplying weapons also accused of these war crimes according to the arms sale's treaty, which states in its 6.3. Article: A State Party shall not authorize any transfer of conventional arms covered under Article 2 (1) or of items covered under Article 3 or Article 4. If it knows at the time of authorization that the arms or items would use in the commission of genocide, crimes against humanity, grave breaches of the Geneva Conventions of 1949, attacks directed against civilian objects or civilians



protected as such, or other war crimes as defined by international agreements to which it is a Party (Arm Trade Treaty, 2014).

Three years after the beginning of the war in Yemen and as a result of the increasing number of civilian victims by the coalition bombing, several European weapon-producing countries decided to stop exporting their weapons to Saudi Arabia and the United Arab Emirates. Denmark, Finland, Germany, Belgium, and Norway declared that no new licenses granted for selling weapons or any technologies that have dual-use and can use on the military side. These decisions came after the European Parliament issued two non-binding decisions in the middle of November 2018, stating “the ban on the sale of European weapons to the countries of the Saudi-led coalition in Yemen” (SIPRI, 2019). Although the positivity of these steps represents a small ratio in alleviating the suffering of the Yemeni people, as the countries that export the majority weapons to Saudi Arabia and the United Arab Emirates did not stop exporting like the United States, Britain, France, and Spain. Besides, the countries that decided to prevent the exportation of weapons, their private companies continue the exporting weapons.

The study, basing on organizations’ reports monitoring the movement of weapons as well as daily news reports on civilian casualties as a result of aerial bombardments, works on answering the question of why arms exporters continue to conclude contracts even though Saudi Arabia is guilty of committing war crimes in Yemen. The study will try to show the discussions of western governments about restricting weapons exports and what has already restrained and what has not. Also, about the fact of Western country’s efforts respecting international treaties on human rights and war crimes laws. Are that efforts really on the right side of international humanitarian law or is there inaction in case of Yemen?

The Methodology

The research relied on analysis of the reports of Yemeni and international human rights organizations, most notably the Yemeni Mwatana Organization, Human Rights Watch, the UN Human Rights Commission, and finally, the Stockholm International Peace Research Institute. The reports indicated the increasing rate of arms sales during the war in Yemen to Saudi Arabia and other coalition countries against Houthi. Also, it pointed out there are remains of European and American weapons in civilian sites targeted by the Saudi alliance aviation. In these reports, it was visited coalition air raid sites and conducted interviews with many eyewitness-



nesses, survivors, people who suffered injuries, medical personnel, doctors, and others. Also, it was assembled bombs and missiles remnants used in that raids to identify the manufacturing country. The press and news reports were analyzed, too, about the US and European arms sales to Saudi Arabia, in clear violation of the provisions of the arms sales treaty previously mentioned. The most important of these reports was the Al-Jazeera report *Yemen: War Profiteers* in Jan. 2019 and DW Investigation in Feb. 2019 about using German-built weapons and tech by the Saudi-led coalition at war in Yemen. These investigations reveal arms deals with the coalition countries as well as the shreds of evidence of the participation of military operations in Yemen. The research works in examining the results and gathering them in one conclusion. Due to the novelty of the subject, no first-class sources obtained in it.

US Sales

US policy under the Trump administration was apparent to the public; the policy depends heavily on economic security and protecting the financial borders of the nation-state. The Trump administration has always been proud of its efforts to reduce unemployment and raise incomes as well as increase the national revenue ratio. The administration has sought to conduct deals between the US and other countries to this end. The most prominent of these deals was on May 20, 2017, when Trump signed on behalf of the United States a defense deal with Saudi Arabia worth more than \$ 110 billion, which include four combat ships, CH-47 Chinook helicopters, and Abrams tanks, 150 Sikorsky Black Hawk helicopters, THAAD missile defense system, also made by Lockheed, and Boeing P-8 surveillance planes (Weisgerber, 2017).

After months, the Trump administration has signed off new billion-dollar arms deal with Saudi Arabia in which including ship 100 155 mm M109 Howitzers, 180 .50-caliber M2 heavy machine guns, eight Advanced Field Artillery Tactical Data Systems and three Fire Support Combined Arms Tactical Trainers, and 6,700 U.S.-built anti-tank missiles. As well as other elements including support, maintenance and spare parts for US tanks and helicopters for a total of \$1.3. Billion (Muñoz, 2018).

The United States sees Saudi Arabia as an essential strategy in the region, and it relies strongly on Saudi oil exports. Saudi Arabia of its side is relying on the United States to protect its national security for decades. Defense deals have a



long history, and security and economic relations are more complex than others. That is why we see president Trump when he asked about cutting off arms sales to Saudi Arabia in one of the press interviews, although the massacres committed by the coalition in Yemen and the raw footages which coming from there,” “I think that would be hurting us,” he said. “We have jobs. We have many things happening in this country.” (The New York Times, 2018).

In the case of Unite State, the clues of US-manufactured weapons used in Yemeni civilian areas are more explicit. As was mentioned before about the Dahyan market attack and the Sanaa funeral hall attack, the remnants used of bombs showed that they were a US-manufacture. The worse thing is using US-made cluster munitions by Saudi Arabia near populated areas in Yemen. During 2015, Human Rights Watch documented many Yemeni civilian casualties by using the Saudi-led coalition of four types of US-made cluster munitions fired by air and ground bombardment. Including ‘CBU-105’ Sensor Fuzed Weapons, in at least six airstrikes targeting the provinces Amran, Hodeidah, Saada, and Sanaa. (HRW, 2016). In the Mwatana report, ‘Day of Judgment,’ was mentioned to numerous attacks, were made by US-manufacture bombs that resulted in many civilian casualties. For example, the bombing of a wedding party in the Hajjah governorate on April 22, 2018, killed 21 people, including 11 children, and injured 97, including 48 children. Weapons residue showed a US-made GBU-12 Paveway II laser-guided bomb with Mk-82 warhead. Another attack was in the Hodeidah governorate on September 21, 2016, when the coalition bombed a residential neighborhood during a funeral, killing 23 people and forty-six injured. The type of bomb here was: US-made GBU-16 Paveway II laser-guided bomb with Mk-83 warhead (likely) (Mwatana, 2019).

US support for Saudi Arabia-led coalition countries is the most complex. Till this moment, members of Congress still debating the US government to pass a resolution banning weapons to coalition countries, criminalizing their war crimes, and holding officials accountable, but so far, there has been little progress in their attempt. Because Trump administration still sticking to its purely economic and security visions, far from ethical considerations.

UK Sales

In late June 2019, the Campaign against Arms Trade has won a legal challenge over the UK government’s decision to allow arms sales to Saudi Arabia, which is engaged in the war in Yemen (BBC, 2019). That was an excellent win for the



campaign, which is seeing the UK as the most significant European weapons exporter to Saudi Arabia and other coalition countries. UK exports from 2015 till now as per data of the campaign reached more than £5.7bn in 883 limited-value “standard” licenses and 138 unlimited-value “open” licenses; in these licenses, the holder allow to export an unlimited quantity of the goods specified in the license (CAAT, 2019). An opposing member of the British Parliament, Lloyd Russell - who is also a member of the parliamentary committee responsible for weapons export control - when asked about his knowledge of the amounts of weapons exports to Saudi Arabia in Aljazeera Investigation. He answered: The committee knew nothing about weapon exports because the government did not write down that, as it was unrestricted permission to send that commodity specifically to that country which is Saudi Arabia in this case, to the extent that that country wanted and the extent that the company wanted. Saudi Arabia is a difficult situation because of the financial sums it involves (Al-Jazeera, 2019).

The arms industry provides thousands of jobs for people in Britain, and the British arms trade provides billions of pounds of revenue, which prompted the government to ease restrictions on issuing arms sales permits. British bombs that rain over Yemen produced in three cities: Glenrothes in Scotland, Harlow, and Stevenage in southeast England. The bombs produced by Raytheon UK and BAE Systems, companies contracted by the government to make the Paveway bombs (£22,000 apiece), Brimstone bombs (£105,000 apiece), and Storm Shadow cruise missiles (£790,000 apiece) for the Royal Saudi Air Force. The United Kingdom does not only provide arms sales contracts but also provides contractors. Around 6,300 British contractors stationed at forwarding operating bases in Saudi Arabia. There, they train Saudi pilots and conduct essential maintenance night and day on planes worn out from flying thousands of miles across the Saudi desert to their targets in Yemen. They also supervise Saudi soldiers to load bombs on to planes and set their fuses for their intended targets (Arron, 2019).

Britain sees in Saudi Arabia a strategic and vital ally in the region. It always stated that the British weapon used for defensive, not offensive purposes, and the British government is not entirely sure that sold weapons to Saudi Arabia have used in civilian sites or war crimes have committed through it. The British government claims refuted by reports of human rights organizations that insist on involving British bombs in war crimes in Yemen. In three incidents, coalition’s attack on Radfan’s ceramic factory in Bani Matar district in Sana’a on 23 September 2015 and the community college in Bilad al-Rus district in Sana’a on 8 and 10



January 2016, after analyzing the remnants of the weapons at the two sites, the bombs used were British-made Paveway type, and the remains of the weapon had marked the company “Marconi Dynamics GEC.” The coalition also used a British-made Paveway bomb in the attack on an al-Sunaidar factory in Sanaa on 12 September 2016 as the weapons remnants analysis from the site had shown (Mwatana, 2017).

More recently, Human Rights Watch has found in its investigation of 88 coalition airstrikes against targets deemed illegal under international law. In one of those bombs, the date and the manufacturer country was May 2015, UK. (Aljazeera, 2019). That indicates the existence of newly UK-manufactured weapons obtained by Saudi Arabia in new arms deals after the demands of human rights organizations to observe the international laws in these deals. These deals seem to be continuing as long as no strict limitations to observe humanitarian laws in that deal.

France Sales

France is one of the largest arms exporters in the world, and its arms sales, like Britain, have increased in recent years to Saudi Arabia and the coalition countries. An annual government report showed that total arms sales to Saudi Arabia rose 30 percent to 9.1 billion euros in 2018. Arms sales include naval vessels, tanks, artillery and ammunition, and helicopters (Irish, 2019).

‘No proof that the victims in Yemen are the result of the use of French weapons,’ and she added: “France has strategic interests in this part of the world,” (France 24, 2019). That is the often answer of the French defense minister ‘Florence Parly’ about French parliament and press questions in the reason of continuing the weapons deals to Saudi-led coalition countries. The justifications of the French state for the lack of clear evidence about the use of French weapons in the Yemen war made this trade is expanding on a larger scale. In Al-Jazeera Investigation, it was mentioned about a selling contract in late August 2018 under the name ‘Arti,’ worth 350 million Euros to buy 105-mm cannons and Titus armored vehicles. When Al-Jazeera reporter asked the source from Nexter Company, who preferred not to be named, did the French government permit to conclude the deal? He answered yes; we got all the permissions. Only the implementation of the contract remained (Al-Jazeera, 2019).



Despite the government's denials of the illegal way of using weapons in the Yemen war, a secret note by France's DRM military intelligence agency confirmed in civilian casualties by French weapons. The note eventually leaked to the independent investigation website Disclose, which was published entirely on 15 April 2019, drawing unwanted attention to France's involvement in the devastating war on Yemen. In this report, it reported that the CAESAR howitzer cannon used to attack villages and residential sites near the Yemen-Saudi border to open a road for tanks and armored vehicles. Also, it mentioned around 70 Leclerc-type tanks employed in many major coalition attacks. These tanks were significantly used in Hodeida battles and resulted in numerous doll civilian death (Disclose, 2019).

The important ally that protects France's interests in that region, according to the defense minister, said, still commits daily atrocities against a people that have been exhausted by economic, humanitarian, and security crises. Nevertheless, France still protects the common interests with that ally in continuing the deadly arms deals.

Germany Sales

The European Parliament has been calling for the prevention of the sale of arms to Saudi Arabia. Some countries started to respond to this, especially after the assassination of the Saudi journalist Jamal Khashoggi, including the German government that has placed a temporary ban on weapons sales to Saudi Arabia in October 2018 (DW, 2019). However, export approvals to Saudi Arabia and the UAE continued. In the first nine months of 2018, the Bundessicherheitsrat - the Security Council consisting of the chancellor and her prime ministers, who meet secretly to approve arms sales - signed exports worth about 416 million euros to Saudi Arabia. From October to December 2018, Germany also approved exports worth more than 40 million euros to the UAE, under the claim of 'no information about a violation of the end-user agreement of arms exported to Saudi Arabia and the UAE.' (Naomi & Nina, 2019).

There are many pieces of evidence shows employing German weapons on the Yemen conflict. These evidences unfold from photos and videos coming from Yemen; many of the Oshkoshes in use in Yemen carry German-built Fehwer weapons stations built by 'Dynamit Nobel Defence,' a company based in the western German municipality of Burbach. There are also photos spotted



MAN trucks carrying the French-made battle tank Leclerc, which equipped with a German-made motor.

Also, several satellite images show a long gray ship pulled into a pavement in Assab with a clear visual helipad, the last of which was in late 2018 and early 2019: It is a Murray Jip corvette, a 65-meter (213-foot) combating ship, built by the German shipbuilding company Lürssen. Moreover, other weapons and military equipment that may not be manufactured entirely in Germany but through selling the necessary parts to operate these weapons, for example, the Panavia Tornado, which built by many countries, its center fuselage, fuel system, and the engine, are German-made (Naomi & Nina, 2019).

The German decision of temporary ban arms export made the German weapon company “Rhenmetall,” the second more prominent company of weapons in Germany, tries to circumvent the governmental ban decision by manufacturing its companies in Italy for weapons and secretly transferring them from there to Saudi Arabia (Al-Jazeera, 2019). The company decided to expand its branches in Italy, purchases land from outside Germany which does not have the German export terms, and export weapons to Saudi Arabia and the UAE through the Italian island ‘Sardine.’ All of this is in order to reap more profits and expand the wealth that the company based on under the open market facilities, which allows companies to move freely to continue its economic activity and easy to escape from restrictions and ethical standards.

Italy Sales

For Italy licensed arms sales to Saudi Arabia, among 2015–18, Italy had exported to the value of more than 700 million euros. These included aircraft bombs under category ML4, the MK80 aircraft bombs produced by RWM Italia S.p.A., and many other weapons and military requirements (Giovanna, 2019).

On October 8, 2016, an airstrike carried out by Saudi-led military coalition jets struck the Deir al-Hajari village in the northwest of Yemen. The airstrike killed a family of six, including a pregnant mother and her four children. At the raid site, remnants of the bomb guided bomb of the MK80-family. A suspension lug, which links the bomb to the aircraft, was also found in the rubble. Its serialized marks indicate that it manufactured by RWM Italia S.p.A., An Italian subsidiary of the German Rheinmetall AG. (ECCHR, 2018).

This attack has encouraged a group of human rights organizations from Germany, Italy, and Yemen, which filed a complaint on with the prosecutors’ office in



Rome against officials from the Italian foreign ministry and the local subsidiary of the German conglomerate Rheinmetall, RWM Italia, over arms sales to Saudi Arabia (Ewen, 2018). Till the issuance of a judicial order prohibiting the export of any shipments to countries that violate the rules of war and international humanitarian law, those shipments continue exporting secretly, and the number of casualties yet in rising.

Conclusion

The major world countries like the United States, Britain, and France are complicit in war crimes of Yemen. That was the essence of the United Nations report issued in late August this year, and that what was said by many human rights organizations around the world through four years. Unfortunately, financial considerations have exceeded all moral values and humanitarian boundaries in the Yemeni situation. The current crisis has shown the hypocrisy of the international community, especially the countries of primary importance and which led the world in the Security Council and several of International Treaties. The underlying values of these countries have become in doubt. While the machine of war, bombs, and kills civilians suffering from the siege, poverty, and diseases, these countries make that machines gain millions of dollars. Therefore, there must be an immediate embargo on arms sales to the Saudi-led coalition and an international independent investigation mechanism for all crimes that had committed and bring all involved to justice.

The world of capitalism that we live in today has turned people into financial value, the humanitarian considerations are lacking under this system, where everyone seeks profit and reaps more wealth, and for that, it tries to find arguments to justify its deadly bargains under the titles of terror-war, protect national security, confront common enemies and others. The other side of those bargains is more blood, destruction, and chaos. The contracts of weapons are difficult to end overnight in the light of the wealth earned by the contractors of these deals from allied countries, led by Saudi Arabia. The matter will be different in the presence of a neutral international body that imposes strict sanctions on each party that exports these deadly weapons in such a case as the case of Yemen. Pending the existence of this body, human rights organizations still engaging in legal battles with their arms-exporting countries to find a banning on arms contracts on that country, leading a heinous war against a defenseless and besieged people.



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Normative Framework of United Nations Peacekeeping Operation and Responsibility for the Violation of Human Rights by Peacekeeping Forces

Tahir Qureshi*

Abstract: The United Nations Peacekeeping Operations (UNPKO) is the Subsidiary Organ of the United Nations Organization (UNO). It is the integral part of the normative framework of the UNO for the maintenance of international peace and security. In order to accomplishing the aims and objectives of the UNO, Peacekeeping Operations has been deploying by the UNO in different part of the conflict zones in the world with the mandate to strictly adhere to function according to the framework of international human rights regimes. However, troops involved in the peacekeeping operations are indulged in the violations of international human rights as well as humanitarian law regimes. They are egregiously committing internationally recognized crimes such as sexual exploitation, human trafficking, and soliciting prostitution, sexually and physically abusing minors, torture, illegal detention, custodial death, refusal of the free trail, narcotics offenses and indiscriminate killing of innocent civilian. This paper to expose the responsibility and accountability for violations of human rights (HR) and international humanitarian laws (IHL) by the wrongful conduct of the UNPKO troops in the conflict zones.

Keywords: United Nations Peacekeeping Operations (UNPKO), Human Rights (HR), Humanitarian Laws (IHL).

* Jawaharlal Nehru University, Centre for International Legal Studies.
Contact: tahirqureshiadvg@gmail.com



Introduction

The United Nations Organization was established aftermath of the bloody war between Axis and Allied powers. The UNO is entrusting to prevent scourge of war and maintain the highest degree respect of human rights. However, its irony that United Nations peacekeeping operations established by the UNO as a subsidiary organ of the it, have been egregiously violating human rights in the conflict zones. The UNPKO have been deploying with the mandate to respect the human rights, humanitarian laws the laws of the host countries their culture, traditions. The mission also authorizes to treat the inhabitants of the host country with respect, do not indulge immoral acts of sexual or psychological abuses and exploitation of local population, and respect human rights. Since 1948 to 2017, United Nations deployed 71, total Peacekeeping Operations, 16, are still remain in working in different parts of the world. Moreover, with the end of cold war, United Nations Security Council have been organising more Robust Operations except for the UN Operation in the Congo (ONUC), which is earliest most robust Operation by Security Council. Although, with the amplifying the UNPKOs by and large from traditional to multidimensional operations in different parts of the world, it also brought the irresponsible behavior of the personnel of the peacekeeping forces, UN, and troop sending countries in the complex issues of human rights and international humanitarian laws violations and thereafter grave silence on the part of UN and TCC rather than to respect human rights and take effective and expedient against the culprits and reviewing the Legal Instruments.

The troops of the UNPKO have been accusing for persistent violations of human rights such as sexual exploitation, human trafficking, and soliciting prostitution, sexually and physically abusing minors, torture, illegal detention, custodial death, refusal of the free trail, narcotics offences, and indiscriminate innocent civilian killing. These kinds of crimes can be categorized as human rights abuses and breaches of international humanitarian obligations under international law. The first case violations of human rights have exposed during the United Nations Protection Force (UNPROFOR), in Croatia, Bosnia and Herzegovina in the Yugoslavia war and these practices persistently continues in the subsequent missions. The fourteen years old boy beaten to death by the Canadian peacekeepers and nude photograph of civilian were shoot by Belgian troops in Somalia. In Port-au-Prince, the capital of Haiti 20 to 50 without arms civilians were massacred which was result of the systematic firing on the civilian population (Petrowski, 2016). In the Central African Republic, UN peacekeepers killed at least 18 people, including



women and children and Human Rights Watch had reported forced disappearance of people by UN, forces and grave found in peacekeeping base in Boli and 12 identified which had been detained by peacekeepers (Emerson, 2016). It is also ironic that peacekeepers who married to the local women during the operation deserted them after the conclusion of the mission. It had reported that about 24,500 babies were left in Cambodia and 6,600 in (Naraghi Anderlini, 2017). It is surprising reality that UN peacekeepers undermine the prestige and reputation of United Nations as well as mandate and trust of host countries to protect people in conflict zone from exploitation and gross violation of human rights and humanitarian. Some, peacekeepers are also taking undue advantage over the helpless, powerless, destitute civilians by committed worse forms of international crimes which are lethal to the image of the UNO and ironically, very few have been prosecuted by UNO and troops sending countries.

Sexual Exploitation and Abuse of the Women

The worse victims of war are women by the armed conflict as well as conduct of the peacekeepers' troops. They are disproportionately affecting women and children, they have been sexual assault and exploitation including rape, sexual slavery used as tools in the war.

The International Criminal Tribunal for former Yugoslavia (ICTY) (Statute of the International Tribunal for the Former Yugoslavia, 1993) and International Criminal Tribunal for Rwanda (ICTR) (Statute of the International Tribunal for Rwanda, 1994), first time in the human history established the norms, that rape as a war crime and crimes against humanity, it is followed by the Rome Statute of the International Criminal Court enlisted rape, sexual slavery, enforced prostitution, forced pregnancy, enforced sterilisation, or any other form of sexual violence of comparable gravity as a crime against the humanity (Rome Statute of the International Criminal Court, 2002). The United Nations, since its inception has been working for the protection, promotion and upholding the rights of the women by adopting a plethora of international instruments. The United Nations peacekeeping operation is a subsidiary organ of the UN, persistently violating international laws as well as the mandate of the mission by growing numbers of atrocities and exploitation against the women and children in the conflict zone by some peacekeeping personnel. Infacts it is a systematic failure of the UN and Troops Contributing Countries (TCC) curb the violence against the women and children. The first



allegation of sexual exploitation and abuses against the women arisen in 1992, when PKOs about UN Operation in Mozambique (ONUMOZ) organised prostitution rackets involving local women and children (Mackay, 2001). In December 1993, the Commander of ONUMOZ, Aldo Ajello, received a complaint from the Save the Children Alliance regarding UN, military personnel who had bought sex from hundreds of girls (Simić & O'Brien, 2014). In 1996, the UN issued a report those soldiers of the United Operation in Mozambique (ONUMOZ) recruited girls aged 12-18 years into prostitution (Simić & O'Brien, 2014). The UN mission in Cambodia (UNTAC), gave momentum to brothels and Thai massage parlours throughout the country soon after the arrival of UN peacekeeping personnel, some prostitutes rose more than 25,000 including an increased number of child prostitutes (Mackay, 2011). Women's NGOs reportedly stated that UNTAC was believed to have caused an increase in 'sexual abuse and violence', including harassment of women 'regularly in public restaurants, hotels and bars, banks, markets, and shops and here was also a significant increase in HIV/AIDS cases (Simić & O'Brien, 2014). In, December 1995, the agreement for peace in Bosnia and Herzegovina also known Dayton peace agreement (DPA), had signed to end the deadliest conflict between former Republics of the Socialist Federation of Yugoslavia. With the objective to enforce peace, security, tranquillity in the region with the presence of UN mission in Bosnia and Herzegovina (UNMIBH) but, soon after the thousands of peacekeepers deployed in Bosnia and Herzegovina, the business of sex trade and sexual exploitation and abuses started to flourish.

Consequently, the gross allegation sexual exploitation and abuse (SEA) of the women and children in UN mission in Bosnia and Herzegovina (UNMIBH) had raised due to more UN peacekeeper personnel, involved trafficking of women and young girls from Moldova, Ukraine, Romania, Central and Eastern Europe (Simić, 2012). They were buying and selling women for sexual services, transporting trafficked women in UN vehicles and engaging in document forgery to facilitate the movement of trafficked persons (Gamino, 2014). In Democratic Republic of Congo (MONUSCO), 14, years old girl got \$1 or \$2 two eggs, packet of milk and every time had to do sex with a pecekeepers (Wald, 2005) and French forces accused of child abuses (Lombardi, 2016) and shots pornography photos of young girls while performing forced sexual intercourse. In 2015, the United Nations stabilisation mission in Haiti (MINUSTAH) had been sexually exploited more than 200 women in exchange for food, medicine and other necessities of



life (Abassi & Logan, 2015). In Central African Republic, French peacekeepers had been accused of compelled young girls to have sex with dogs and abusing homeless, peacekeepers have sodomised starved children (Dearden, 2014). Although, official UN response to large-scale UNPKOs involved in sexual assault, prostitution, child prostitution and trafficking of women but it proves as crocodile tears. Although United Nations Security Council passed various resolutions like 1325 (UNSC Reso 1325, 1820 (2009) (UN S/RES/1820, 2008) for the protection of the women from sexual exploitation and abuses during the and after the armed conflicts and pledge adopted the policy of “zero tolerance.” The former Secretary General of the UNO, Kofi Annan accepted that gross misconduct take place in the peacekeeping operation and stated: “This is a shameful thing for the United Nations to have to say, and I am absolutely outraged by it. I have long made it clear that my attitude to sexual exploitation and abuse is one of ‘zero tolerance’, without exception, and I am determined to implement this policy in the most transparent manner” (UN Secretary-General, 2004).

The Secretary General also acknowledges that procedure take place are inherently inadequate and more pragmatic approach required (UNGA Reso, A/59/710, 2005). In, 2005, UN Secretary General appointed Zeid Ra’ad Zeid al-Hussein, (UNGA A/60/861, 2006) the Permanent Representative of Jordan, to investigate the allegations, the report exposed the pathetic pictures of human rights violation by peacekeeping personnel. Although, the policy of the “zero tolerance” is not strictly adhered by the peacekeeping missions. The prince Zeid in an a report obtained by the London Times, said “the situation appears to be *one of zero-compliance* with the tolerance throughout the mission”. In 2005, the New York Times revealed the sexual offences in the peacekeeping mission during the UN, sixtieth anniversary it stated that “nothing discredits the United Nations more than the continuing sexual abuse of women and girls by soldiers belonging to its international peacekeeping missions. And yet almost a year after shocking disclosures about such crimes in Congo, far too little has been done to end the culture of impunity, exploitation and sexual chauvinism that permits them to go on” (Defeis, 2008). Moreover, secretary general Kofi Annan accepted that message of *zero tolerance*, not take seriously (U.N. Doc.SG/SM/10776, 2006). Moreover, the successor of the office of the secretary general of UN, affirmed their full faith on the *zero tolerance*, on the issues of sexual exploitation and abuses. The Secretary General Antonio Guterres has declared that any such crimes against the women cannot be tolerated under the UN flag.

**Table 1.2.** Crimes Committed by Peacekeeping Personnel

Conflict	United Nations Mission	Sexual abuse	Murder	Extortion/ theft
2004 Haitian Coup d'état	United Nations stabilization mission in Haiti	110	57	0
Burundi Civil War	United Nations Operation in Burundi	80	5	0
Coup d'état Civil War	United Nations Operation in Coup d'état	500	2	0
Eritrean-Ethiopian War	United Nations Mission in Ethiopia and Eritrea	70	15	0
Israel Lebanese Conflict	United Nations interim force in Lebanon	0	6	0
Kosovo War	United Nations interim administration mission in Kosovo	800	70	100
Rwanda civil war	United Nations observer mission Uganda Rwanda	65	15	0
Second Congo WAR	United Nations mission in the Democratic Republic of Congo	150	3	44
Second Liberian Civil War	United Nations Mission in Liberia	30	4	1
Second Sudanese Civil War	United Nations Mission in Sudan	400	5	0
Sierra Leone Civil War	United Nations in sierra Leone	50	7	15
Somali Civil War	United Nations Operations in Somalia	5	24	5

Source: https://en.wikipedia.org/wiki/United_Nations_peacekeeping

The table show the number of the SEA allegation since 2005 to 2010 lodged in the department of the peacekeeping operation DPKO against the military and non-military observer involved in the UNPKOs, the figure clearly shows constant fluctuation of SEA by Military and non-military personnel.



Table 1.3. Number of Sexual Exploitation and Abuses per Category of Personnel involved

Category of Personnel involved	2005	2006	2007	2008	2009	2010
Military personnel (including military observers)	NA	NA	56	49	55	41
Total DPKO	340	357	127	83	112	85
Percentage military personnel of total DPKO	NA	NA	44%	59%	49%	48%
Total UN	373	371	159	111	154	116

NA = not applicable

Source: (ZsuzsannaDeen-Racsmay, 2011).

Normative Framework of UNPKO

The Charter of the UNO is silent about the actual position of the Peacekeeping Operation under any specific provision of the charter. Moreover, UNPKO is the brainchild of Secretary General Dag Hammarskjöld who argued legal basis PKOs lies somewhere between Chapter VI and VII, namely in the unwritten Chapter VI½. Although, General Assembly (GA) and Security Council (SC) are authorized under Chapter VI and VII of the UN Charter to deploys the peacekeeping operations. In peacekeeping operation, the UN, TCC and Host are involving with arrangement of the agreements. The UN has to enter into agreement of the Status of Forces Agreement (SOFA) with the Host Countries and Memorandum of Understanding (MOU) with the TCC. In SOFA between the UN and the Host State, to carry out functioning within the area of operations with undue interference in the functioning of UNPKO. The SOFA also established general framework under which armed forces function in the Host countries as well as governed the complicated issues of rights, immunities and privileges and one of the peculiar features of the SOFA is that it makes all the members of the operation immune from local court proceeding.

The Model of SOFA in paragraph 15 stated that:

The United Nations peacekeeping operations, as a subsidiary organ of the United Nations, enjoys the status, privileges and immunities of the United Nations as provided for in the present agreement in accordance with the conventional, the provision of article II of the convention which



applies to the United Nations peacekeeping operation shall also apply to the property, funds and assets of the participating states used in host country/territory in connection with the national contingents serving in the United Nations peacekeeping operation.

The Model of Memorandum of Understanding (MOU) in addition in paragraph 4 stated that:

The status agreement affirms the international nature of the United Nations peace-keeping operation as a subsidiary organ of the United Nations and defines the privileges and immunities, rights and facilities as well as the duties of the United Nations peace-keeping operation and its members. Accordingly, the military and civilian personnel provided by the Participating State shall enjoy the privileges and immunities, rights and facilities and comply with the obligations provided for in the status agreement. Pending the conclusion of such an agreement, the United Nations shall apply the customary principles and practices which are embodied in the model status-of-forces agreement". (The Draft Model Agreement between the UN and Member States, 1991).

Thus, both the Model of SOFA and MOU confirm the legal status of the peace-keeping operations as a subsidiary organ of the United Nations.

The Department of the Peacekeeping Operation (DPKO) working within the UN Secretariat is responsible for providing UN peacekeeping operations with the policy guidance and strategic direction and Department of Field Support (DFS) provides supports in the field of finance, logistics, information and communication and technology (ICT), human resources and general administration (The Department of Field Support).

In order to make sure the unity of command (UOC) at the Headquarter level, the Secretary General for field support (FS) reports to the under Secretary - General for peacekeeping operations on all peacekeeping matters (UN peacekeeping operations principles and guidelines, 2008). The Standing Integrated Operational Teams (IOTs) situated with the DPKO and manage by Office of Operations (OO), keep together in a prescribed structure, political, military, police and mission sustain personnel, supported other specialist capacities as required (UN peacekeeping operations principles and guidelines, 2008). In the field, the Head of the Mission (HOM) put into effect operational authority over the UNPKOs activities as well as military, police and civilian resources. The Office of Internal Oversight Services is responsible for the investigation of the abuses and serious offences.



Attribution of Wrongful Conduct of Troops of Peacekeeping Forces

Under the international law, responsibility is a corollary of the breach of international norms and obligations are attributed to the legal personality. Hence, before claiming any compensation for ultra-virus conduct of the entity, it must be considered that entity must be a legal personality, and legal personality of the international organisation must be capable of bearing rights and obligations under international law. In 1949, the international court of justice, in *Reparation case* in it is an advisory opinion, unanimously held that international organisation possesses legal personality under international law which is separate from legal personality of it is member states. Thus, international organisations are subject to international law, have a capacity to bear international rights and obligations and addition to it, the international organisation is responsible for omission, commission, breach of obligation and committing international wrongful conduct which makes the organisation liable under international law. In 2011, the ILC adopted the draft articles on the Responsibility of International Organizations (DARIO, 2011). Although, it is soft law, not legally binding but develop as the rules regarding the liability of international organisations for committing internationally wrongful acts. The most significant principles of international responsibility regarding the UN in part 2, of article 3, it stated that “It states every internationally wrongful act of an international organisation entails the international responsibility of that organisation” (*Reparation for Injuries Case*, 1949). Article 4 defines the criteria to determine the conduct or omission of the international organisation, which constituted a breach of international obligations, which has been attributed to the organisation. The draft article 6 establishes that the conduct of an organ or agent of an international organisation in the performance of functions of that organ or agent shall be considered an act of that organisation under international law, whatever position the organ or agent holds in respect of the organisation (Draft articles on the Responsibility of International Organizations, 2011).

The article 7 The conduct of an organ of a State or an Organ or Agent of an international organisation that is placed at the disposal of another international organisation shall be considered under international law an act of the latter organisation if the organisation exercises Effective Control over that conduct (Draft articles on the Responsibility of International Organizations 2011). The article 8 goes to stipulate that the conduct of the organs or agents of the IOs acting in their official capacities and within the overall functions of that organisation, even if the conduct go beyond the authority of that organ or agent or contravenes instructions.



The golden principles around which entire idea of attribution of international organizations revolves are first that the conduct of an agent or organ of the UN is attributable to the UN. If carry out it is official functions, even the officials of that organ or agent exceed the authority of the organ or agent or be in breach of instructions, hence their conduct their conduct are attributing to the IOs. The most important standard of the normis where international organisation holds Effective Control and Command (ECC), whereas to establish the liability of the UN for the wrongful conduct of the UNPKOs aforesaid principles must be set up. The mission is a Subsidiary Organ of the UN. It is established under article 22 of the UN Charter by the General Assembly and 24 and 29 authorised the Security Council to established peacekeeping forces under Chapter VII for the maintenance of international peace and security (the Charter of the UN, (1945). It enjoys privileges and immunities provided under article 105 of UN Charter and the UN Convention on the Privileges and Immunities of the UN, 1946 (Convention on The Privileges and Immunities, 1946). Although, the immunity granted to the UN peacekeeping personnel are the functional immunity for the performance of the functions according to the mandate of the mission assigned by the UN, within the official capacity. on the other hand the atrocities committed by the UNPKOs have been increasing and UN peacekeepers took the shelter of immunities and privilege from prosecution of the legal system of the host countries. Thus, the immunities and privileges of the UN must be interpreted in the light of article 1(3), 55, 56 of the UN Charter. It is not justified to use the Immunities and privileges for perpetual violations of the person who are already victims of worse form of human rights.

The Mother of Srebrenica and Haiti are two most recent controversies are facing by UN, regarding third party in the claims and liability of the UN, for the conduct of the peacekeeping forces. The Srebrenica and Haiti are clear denials of UNO responsibility for the wrongful conduct of mission and UN by invoking immunity set aside from all obligations. In Srebrenica, the issues of failure of the UN, forces to protect civilians, Dutch Battalion were the based at Srebrenica and were entrusted with the safeguarding of enclave. In 1995, the town was flooded by Bosnian Serb forces (Human Right Watch, 1995) consequently, 8000 to 10000 citizens were killed. The association of mother of Srebrenica filed a civil suit for compensation and acknowledgement of responsibility of Government of Netherlands and UN. The Supreme Court of the Netherlands upheld that "UN enjoys absolute immunity from prosecution" (Mothers of Srebrenica et al v. State of The Netherlands, 2008). In Haitian Cholera victims, the issues are the apparent negli-



gence on the part of the UN, failure to proper medical checkup of the troops before deployment of the Mission in Haiti, or proper disposal waste treatment which caused an outbreak of cholera in Haiti, that affected thousands of innocent civilian (Frerichs, Keim Barraix & Piarroux, 2012). In both cases, UN refused to accept the responsibility to make good to the victims. The New York Federal Court “held that United Nations did not lose its legal immunity even if it failed to give the plaintiffs a chance to seek settlement” (Katz, 2016). However, in both cases, UN, failed to fulfil the legal obligation to settle the third-party claims, despite clear negligence on the part of the UN.

Attribution Under Humanitarian Law

The Status of Force agreement regarding the applicability of the international humanitarian laws (IHL) is expressly silent; the mostly multidimensional United Nations peacekeeping troops have been deploying in the hostile place. The serious question comes up whether the general convention applicable to the conduct of military personnel, including four Geneva Conventions of 1949, their two additional protocols of 1977, the Hague Convention on Protection of Cultural Property in the Event of Armed Conflict of 1954. The United Nations peacekeeping personnel have been involved in committed international crimes in violating human rights and international humanitarian laws. For example, sexual exploitation and abuses (SEA), torture, human trafficking, indiscriminate firing, murder, unlawful detention, etc. thus answer of applicability of IHL have great relevancy because UN is not a state. But on some occasion, it performs the function of the state in Kosovo and East Timor and not a “party” to conflict or a power within the meaning of Geneva Convention 1949 (Security Council Resolution 1244, 1999).

The international humanitarian law can be applied to United Nations peacekeeping forces, *firstly*, if they are party to armed conflict by the Security Council resolution under Chapter VII of United Nations Charter. Article 2(2) of the UN Convention on the Safety of United Nations and Associated Personnel provides that this Convention would not apply to “enforcement action under Chapter VII of the Charter of the United Nations in which any of the personnel are engaged as combatants against organized armed forces and to which the law of international armed conflict applies” (Janaby, 2016).

Secondly, the UN, peacekeeper either use force in self-defense or authorised by mandate to use the force in defends their mandate. However, in multidimensional



peacekeeping operations, Security Council authorised robust force “use of all necessary means” for example Democratic Republic of Congo, Haiti, Kosovo. Hence in these situations UN, peacekeepers are bound to respect the spirit of the international humanitarian laws. The UN, first time formally accepted the respect the principles of IHL in agreement on the Status of the United Nations Assistance Mission Rwanda stated that UN, on August 6, 1999, the Secretary General of the UN promulgated the bulletin on the observation of international humanitarian law (IHL) by United Nations forces. It came into force on August 12, 1999. It clearly expresses the applicability of the IHL, on UN, forces “The fundamental principles and rules of international humanitarian law set out in the present bulletin apply to United Nations troops when in situations of armed conflict, they are actively engaged therein as combatants, to the extent and for the duration of their engagement” (Convention on the Safety of United Nations and Associated Personnel, 1994).

It is clear international humanitarian law applicable to the United Nations peacekeeping forces, while they participate actively in the hostilities. However, peacekeeper in the normal circumstance is treated as “civilian” hence principles and spirit of the IHL, not applicable to them. Thus UN, despite not mention the IHL, principles in the status of force agreement, its bind when peacekeeping troops engage in combatant that constitutes an armed conflict than IHL, apply on them.

Conclusion

Once the peacekeeping mission deploys under the command and control of the UN as a subsidiary organ of the UN, it cannot refuse to accept the legal obligations for the breach of it by the members of the peacekeeping mission. Hence, the flagrant violations of human rights and international humanitarian laws by the peacekeeping personnel during operations of the mission are attributing to the UN as a legal personality possessing rights and obligations under international law. Although the UN is not party to any legal instruments and treaties, despite this fact UN is not immune to violate HR and IHL, and it cannot wear shield of privilege and immunity under the international law as license for abusing universally acceptable international norms, the protection and promotion HR are primary responsibility of the UN, it cannot be adulterate in the name of functional necessity of the missions, the UNPKOs have legal



obligations to protect HR and IHL and violations HR are justified at any point of time hence UN is liable under international law to make good.

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İktisat
Economics

Source of Ethiopia's Recent Rapid Economic Growth: A Neoclassical Macroeconomic Analysis

Abdiqadar Abdigani Mohamed*

Abstract: Over the past decades, Ethiopia achieved rapid economic growth, considered as a 'miracle' when compared to other Sub-Saharan or African countries as a whole. Ethiopia's average real GDP growth per annum was estimated at 10.8% between 2003 and 2015. In addition, Ethiopia succeeded in reducing its poverty rate by 21.8% between 2000 and 2011. Therefore, this paper is going to analyze what made Ethiopia enjoy with that tremendous economic growth in recent decades? The paper provides, depicts and discusses a macroeconomic view of recent rapid economic growth that Ethiopia has experienced. The paper uses chronological data for the period of 1960-2017 from the Penn World Tables 9.1 and builds upon the standard neoclassical theory of production and capital accumulation. The paper quantifies the sources of the long-run economic growth of Ethiopia using the Solow growth model. The super simple Solow growth model (1956) boils economic growth to view key variables and some basic mathematics for growth accounting. The Solow model provides us with some deep insights into the sources and causes of growth and also it helps us to better understand the dynamics of growth. Growth accounting results indicate that the increase in capital accumulations per effective worker and the productivity factor had a notable contribution to recent rapid economic growth in recent decades. In the period of 2001-2010, the productivity factor contributed the most to the real GDP compared to the other factors. But from 20011 to date the rapid growth of Ethiopia's economy mainly comes from the physical capital stock per effective worker.

Keywords: Ethiopia, Solow Model, Growth Accounting, Macro-Economic View, Neoclassical.

* Hacettepe University, Economics Department.
Contact: khadaryare50@gmail.com



Introduction

The essential macro-economic objective of almost all countries and, also, one of the most important agendas in world political economy is a considerable economic growth. An increase in the Gross Domestic Product (GDP) of the country is a basic prerequisite to achieving economic development. As Haller indicated, economic growth is the procedure of increasing and enlarging the size of the economy of a specific country, but a result of that increase in GDP, GDP per capita and other key economic indicators should increase not necessarily in a linear direction. An increase in the real GDP per capita help achieve substantial economic progress resulting in the advance of the quality of life, adequate health facilities and conditions, improvements in the academic system and, also, an improvement in the distribution of incomes (Haller, 2012).

Too many empirical and theoretical researches on economic growth have been made since 1950's. Typically the long run economic growth is central issue in economics science and identifying the determinants that enhance or hamper economic growth is also one of the central issues in theoretical and empirical growth researches but have reached on little consensus and still is an inconclusive issue. Therefore, it is quite difficult to bring about a simple single conclusion about the macroeconomic determinates for countries to reach a substantial economic growth. What is central in country A may not be such important in country B. Also, within the same country the outcome may be different because of the nature of data, time and methodology used for analysis. Therefore, international organizations, research institutions academic institutions, communities and governments have strong interest in knowing what the determinants of economic growth of a specific country could be look like. Form the very beginning of the economic thoughts to the twentieth century, there are conflicting concepts, thoughts and ideas towards the methods of modeling and the ways of achieving economic growth (Lucas, 1988).

Adam Smith begins his book, *The Wealth of Nations*, with the discussion of the idea of the division of labor. Smith (1776) pointed out, in his book, that the technological progress can be attained in the form of "learning by doing" or "learning by using" with increase in productivity through to the notion of division of labour in the process of creating wealth for the nations. It is for this reason Smith thought that division of labor is absolutely critical to generating economic growth. Also, in the late eighteenth century, David Ricardo found the well-known ideas of absolute and comparative advantages which become very vital when it comes



trading overseas till today. These concepts helped countries the economies to grow fast and more efficiently (Shapiro, 2015)

The classical and the neoclassical economists have different formulations and calculations towards analyzing and framing the concepts and theories of growth. The classical economic growth theory contends that in the long run economic growth will eventually decrease or end due to an increase in population and scarcity in resources. Classical economists thought that impermanent increases in real GDP per capita would result in a population bang that in turn would bring about a decrease in real GDP per capita. On the other hand, the neoclassical theories of economic growth are an economic theory that frames how a combination of three driving forces: labor, capital, and technology result in a steady economic growth rate. In here, we cannot say the economy will eventually decrease due the increase in population because technology makes the difference by increasing productivity and output.

Neoclassical science of growth provided the framework from the time when it was its arrival in the 1870s (Debraj, 1998), that paid a closer look to the choice of behavior in evaluating the statistic model's special point of view of the quantitative processes of retort, rather than the qualitative mechanisms inherent in technological transformation. However, during the technological has been changed Second World War period the technological transformation altered rather than static quantitative model to increase in factor inputs, measured by increasing the economic growth rate (Brinkman & Brinkman, 2001).

In the 1960s, the neo-classical theory of growth was widely practiced, and people mainly accepted its method of the long-term growth modelling that has been driven by increasing returns (Ramsy 1928), (Arrow 1962), (Cass 1965), (Koopmans 1965), and (Solow 1956). This kind of context assumed the neo-classical model production of consumption rising as a function of the stock of knowledge increasing within constant return to scale, which returns to each input (labour and capital) as well as smooth elasticity of the substitution between the inputs (Capolupo, 1998).

Scope and Motivation

Over the past decades, Ethiopia achieved rapid and stable economic growth, considered as a 'miracle' when compared to other Sub-Saharan or African countries as a whole. Ethiopia's average real GDP growth per annum was estimated at 10.8%



between 2003 and 2015. In addition, Ethiopia succeeded in reducing its poverty rate by 21.8% between 2000 and 2011². Therefore, this paper is going to analyze what made Ethiopia enjoy with that fabulous economic growth in the recent decades?

Classical development theories provide analytical tools to help outline traditional patterns of economic development. However, this paper will analyze the neoclassical macroeconomic view to the rapid economic growth of Ethiopia (the Solow growth model) and doing so, the paper will try to find a clear answer to the research question of the paper which literally is: Where that growth is mainly coming from? Or in other words, what is the main Source of such economic growth that Ethiopia is experiencing?

There are papers about Ethiopia's economic growth but do not answer the research question introduced in this paper. Therefore, this paper is going to be the first of its kind trying to find an answer for such question, investigating the main source of Ethiopia's rapid economic growth.

Methodology and the Main Results

The paper quantifies the sources of the long-run economic growth of Ethiopia using the Solow growth model. The Solow Model (1956) helps us to better understand the dynamics of growth and Solow model is, also, helpful to draw a distinction between two types of growth, catching up growth and cutting-edge growth. Catching up growth can be faster than growing on the cutting edge. The Solow model, like any other model, helps us understand a more complex reality in a simple term. The paper is using the super simple version of the Solow model to understand the dynamics and the sources of Ethiopia's recent rapid economic growth.

The super simple Solow growth model boils economic growth to view key variables and some basic mathematics for growth accounting. The Solow model provides us with some deep insights into the sources and causes of growth. The Cobb-Douglas function is production function and the key part of the model. It is a simplified description of how resources are used to produce outputs. The type of the Cobb-Douglas production function is the one presuming that technological progress is of the Harrod-neutral type. Results indicate that physical capital per effective worker is the main source of Ethiopia's economic growth. Although the decade of 2001-2010, the productivity factor was the main source of Ethiopia's remarkable growth, but capital accumulations per effective worker had a notable contribution to the most recent rapid economic growth that Ethiopia experienced in 2011-2017.



Outline

The first section of the paper is all about introductions giving insights of what the paper is all about, its scope, the methodology been used and so on. Section two is to provide an overview about Ethiopia's economic growth, the structural reforms made and their impact on the overall economy of the country. Section three is the data used for the paper analysis. In Section four, the paper analysis and presents the main results on growth. In this section, the paper first focuses on the theory and then the empirics. Section five is the discussions about the results of the paper. Sections six concludes the paper.

Contributions to the Literature

This paper is going to be the first of its kind focusing on the sources of economic growth in a precise manner. There is a paper of Tassew Woldehanna, Fantu Guta, Tadele Ferede; December 2005, Labor market flexibility and employment and income security in Ethiopia in which its main aim is not describing or making explanations about the sources of the recent rapid economic growth of Ethiopia. But still making some insights about physical capital and the total factor productivity (TFP) contributions to the economy. The main message of this literature is that the total factor productivity (TFP) has an indispensable role in Ethiopia's long-run economic growth. Growth accounting results presented by Tassew Woldehanna et al. (2008) there is a diminish role of TFP to zero. This paper uses a construction of human capital (taken from the Penn World Tables) and exhibits that both the measured variable human capital and TFP growth, as a residual, for the practical growth in real GDP per worker.

There are papers about Ethiopia's economic growth but do not answer the research question introduced in this paper. Therefore, this paper will greatly contribute to the related literature because it is very important to know and measure the sources of economic growth of Ethiopia as the country is one of the fastest growing economies in the world and the fastest growing economy in Africa.

An Overview of Ethiopia's Economic Growth and the Structural Reforms

Ethiopia is a noncoastal nation and the second most populous nation in Africa after Nigeria, with a population of around 80 million in 2005, where 84.3% of the population are rural and the rest 15.7% are urban residents with a yearly growth rate of 2.8 per cent annually¹. Ethiopia is one of the least developed countries in the world

1 UN (United Nations). 2005. World Population Prospects 1950-2050: The 2004 Revision. Database. Department of Economic and Social Affairs, Population Division. New York



ranking 170 out of 174 countries in the Human Development Index (HDI)². Ethiopia's per capita gross national income was around US\$100 in 2002 and that was much lower than the average gross national income of Sub-Saharan Africa which was around US\$480 and that of low-income countries as a whole which was about US\$420 (World Bank, 2005).

Over the last 40 years, the country has not been able to sustain high growth rates, except for some short-lived growth spurts, such as during the 1990's (World Bank, 2005). The country also suffers from frequent and severe droughts, averaging one per decade during the past 200 years, and one every three years during the decades between 1970-2000 years. These droughts retarded the growth and left million people at risk of malnutrition and starvation. These factors had a bad impact and caused the GDP growth to become more volatile. It expanded by 7 percent in 2000, grew by only 1.2 percent the following year, and by -3.8 percent in 2002.5

Ethiopia's economy has been growing over the recent decades. The growth rate of the real GDP averaged 10.9 percent in between 2004 and 2014, per the official data. On the other hand, the annual population growth averaged nearly 2.4 percent, therefore, the real GDP growth per capita averaged 8.0 percent annually³. The thing which worth mentioning is that the country moved from being the 2nd poorest in the world by 2000 to the 11th poorest in 2014, in terms of GNI per capita, and it is approximated that the country is coming closer to its dream of reaching the goal of being a middle income country by 2025. Such rapid growth is the fastest of its kind that the country has ever experienced, and it even exceeds what was achieved by low-income and Sub-Saharan African countries in that period. The other thing which amazing is that the recent growth was also remarkably stable, as the country escaped from the volatility by curses of drought and conflict which had retarded growth in the past (ALin, Justin Yifu The World Bank, 2011).

Ethiopia's rapid economic growth started in 1992 with a swing to an even higher speed in 2004. Econometric analysis which have already made support a story of two economic growth accelerations because the average growth rate increased from 0.5 percent in the period of 1981-92 to 4.5 percent in the period of 1993-2004 and, also, to an even higher level as 10.9 percent in 2004-14. Ethiopian experienced the 'gear shift' in its economy soon after the political and economic

2 Ibid.

3 Using UN population estimates and applying them to the official national accounts data in constant factor prices.



transitions happened in the country in 1991 after the communist regime collapsed and more market-oriented economic system was introduced. The succeeding Ethiopian People's Revolutionary Democratic Front (EPRDF) government, as a result, started implementing a sequence of structural reforms in economy in the 1990s which made possible for the second economic growth acceleration starting in 2004 (the subject of this report). The most interesting thing here is that the structural economic reforms have not been largely implemented and have not been part of Ethiopia's recent story of success, though they offer a promising growth potential if implemented.

Table 1. Growth and Structure of the Ethiopian Economy

	Sector Share in GDP				Growth Rates					
	Agri	Indu	Manuf	Serv	Agri	Indu	Manuf	Serv	GDP	GDP-PC
1980-84	55.8	9.6	4.7	34.6	-0.5	7.1	4.7	5.5	2.1	-0.9
1985-89	52.8	10.7	4.9	36.5	2.6	2.6	2.5	4.2	2.5	-2.8
1990-94	59.5	10.7	4.9	32.5	2.1	-1.8	-2.3	-0.4	0.6	-2.8
1995-99	53.6	11.7	6.1	34.6	3.3	5.4	4.8	7.3	4.7	1.6
2000-04	43.5	13.3	6.1	43.2	3.5	7.4	4.1	6.9	5.5	2.5
2005-09	46.6	11.8	4.7	41.6	9.6	9.8	10.2	14.4	10.7	7.8
2010-14	44.9	11.7	4.0	43.4	6.3	18.3	11.7	12.0	10.6	7.7
Average	51.0	11.0	4.9	38.1	3.8	6.9	5.1	7.1	5.2	2.2

Source: World Development Indicators (2015)

The change in the political institutions of the country in 1991 was complemented by key economic reforms including currency devaluation, market deregulations, trade liberalization and somehow removal of restrictions on the private sector side, and a mild privatization and SOEs⁴ reform. Most significantly, the gov-

4 After decades of socialist rule under the Derg regime, the Ethiopian People's Revolutionary Democratic Front (EPRDF) adopted market reforms including privatization of state owned enterprises (SOEs) in 1991. This is a historic literature review, which traces the causes, scale, modalities and impact of the privatization program. Privatization of State Owned Enterprises in Ethiopia since 1991 Zenobia Ismail University of Birmingham 26 June 2018.

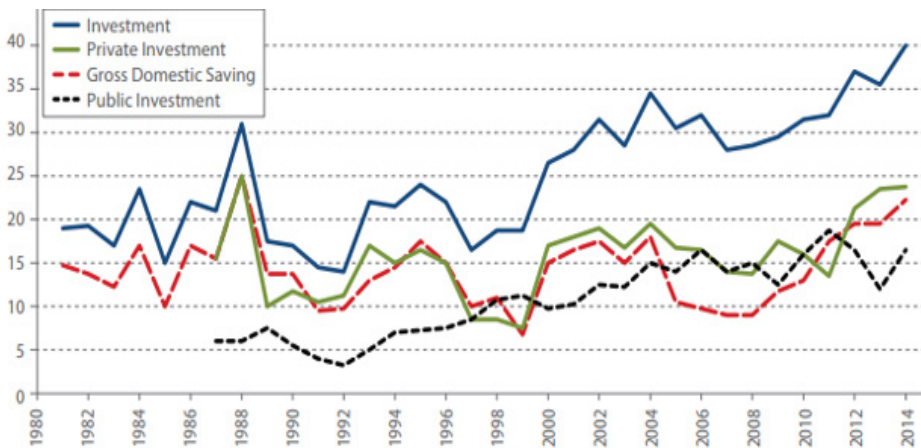


ernment proved and showed extraordinary commitment and seemed dedicated to public investment in the economic infrastructure, health services and education. As shown in Table 1, the Ethiopian economy started to recover and revive during 1995-99 with an annual average growth rate of about 4.7% and continued to grow at about 5.5% per year during 2000-04. Economic growth greatly increased since 2005 at somewhat above 10% per annum in the subsequent 10 years, letting per capita GDP to grow at about 8% per annum. Such economic performance has made Ethiopia a symbol of economic shift in Africa.

There is a widely accepted consensus stating that the rapid economic growth which Ethiopia has been experiencing since 2000 is largely driven by the public investment in infrastructure (World Bank, 2009). That is not only the extension of road networks but also the construction of plants of hydroelectric power machines and transmission lines, telecommunication systems, airports, facilities of health and education, and most newly constructed railway systems. For example, a sequence of Road Sector Development Programs (with a cost of more than \$7bn in the period of 1997-2010) have greatly improved road accessibility.

Figure 1 displays that the rate of investment in Ethiopia increased twice as much as its size from about 20% of the GDP in the second half of the 1990s to approximately 40% of the GDP in 2014. This signifies closely a percentage point change increase in local investment rate yearly from the mid-1990s.

Figure 1: Trends in Gross Domestic Saving and Investment



Source: World Development Indicators (2015).



This increase is mostly attributed to the sturdy increase in public investment from around 5% of the GDP in 1992-93 to as high as 16% share in the GDP in 2014. On the other side, private investment has been very unstable and was declining in latest years. It was increasing to around 15% of the GDP right after the 1991-92 economic reforms but started to decline abruptly in the second half of the 1990s. Though private investment rebounded back to around 18% of GDP in period of 2002-2004, it gradually declined to around 14% share in the GDP in 2011. It was only in 2012, that the private investment, for the first time, rose over 20% of the GDP. It is clear and worth mentioning that this increase in public investment, somehow, has not attracted proportionate private investment. The unstable and incomplete expansion of productive capacity existing in the private sector becomes a significant concern for a sustained growth of the economy of Ethiopia.

Before the GTP5 was launched in 2010, the Ethiopian Government adhered to a growth strategy dubbed Agricultural Development Led Industrialization (ADLI) which emphasized improving productivity of agriculture. Main interventions under the strategy of ADLI comprised provision of fertilizers, better seeds and more services to smallholder farmers. These interventions combined with improved road connectivity and encouraging, fortunate and promising rainfalls for most of the period of post-reforms which facilitated rapid growth in agriculture, particularly after 2003. Other factors which are believed to have been contributing to better agricultural performance in Ethiopia include the donor support to Public Safety Nets Program (PSNP) that aimed building productive assets for farmers in areas which are drought prone. Apart from that agriculture accounts for around 80% of the whole employment in the country, growth in agriculture (about 6% annually) is believed to have greatly helped rural households in Ethiopia.

Though ADLI is credited for improved agricultural productivity and poverty reduction in rural areas, as it was initially anticipated, it did not result in agriculture-based industrialization. As illustrated in Table 1, industry value added decayed at around 12% of GDP starting from the mid-1990s. Also, the share of agricultural value added dropped from 56% in the period 1980-84 to 45% in 2010-14. With no

- 5 The Growth and Transformation Plan (GTP I) is a national five-year plan created by the Ethiopian Government to improve the country's economy by achieving a projected gross domestic product (GDP) growth of 11-15% per year from 2010 to 2015. Ethiopia's *Growth and Transformation Plan* (GTP II) aims to spur economic structural transformation and sustain accelerated growth towards the realization of the national vision to become a low middle-income country by 2025.



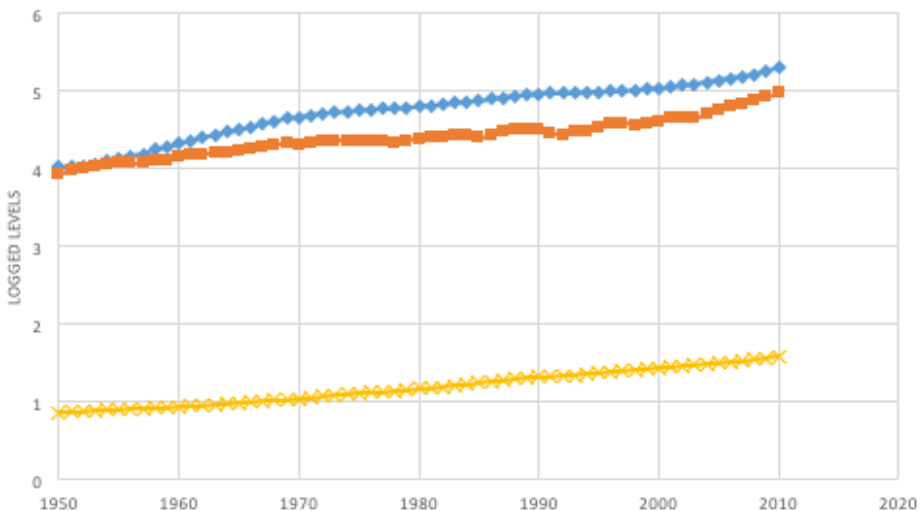
change in the share of the value added of the industry, the 10-percentage point reduction in the share of agriculture reveals rapid growth in the sector of services that increased from about 34% of GDP in 1980-84 to around 44% during 2010-14. Starting from the mid-1990s, the growth of the service sector was around 3 percentage points quicker than that growth in the industrial sector. That faster growth in services is credited to the growing public and private expenditure on health and education sectors, financial services developments as well as the growth of distributive services like transportation and local trade. The cause of why services' growth surpassed that of industry is a very critical question that has consequences on the sustainability of the rapid economic growth of Ethiopia.

It is worth mentioning that the nature of structural change in Ethiopia also differs from what the most East Asian countries have experienced where sharp increases in the share of manufacturing have accompanied rapid economic growth. Apart from that the capital-intensive technique of manufacturing industries relative to rain-fed agriculture and services, it is very vital to investigate why the productive capacity in the sector of manufacturing is lagging behind and suggesting some sort of actions which can be taken to support and strengthen it.

Data

The empirical analysis employs data sets for the period 1950-2016 for most of the variables. The paper utilizes the real GDP, the capital stock and the human capital data in the period of 1960-2017. The data is taken from the PENN World Tables 9.0 data.

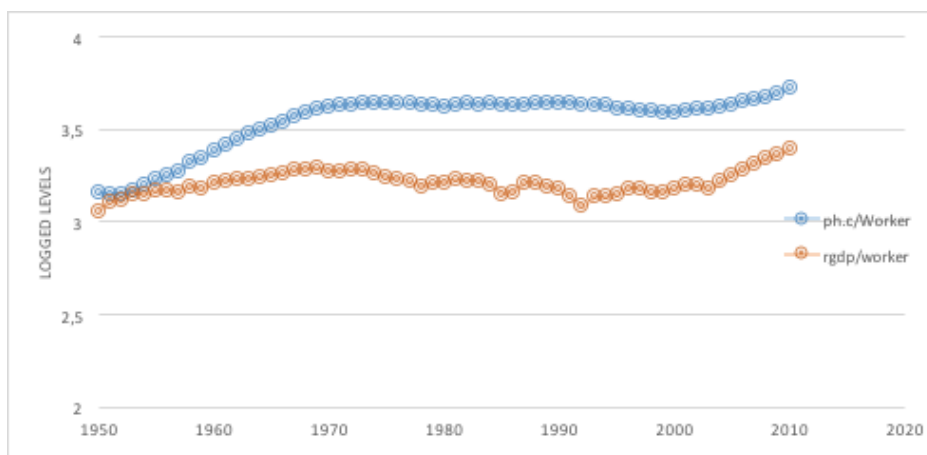
Figure 2: GDP, Employment and Physical Capital (1950-2010)



Source: Feenstra, Robert C., Robert Inklaar and Marcel P. Timmer (2015)

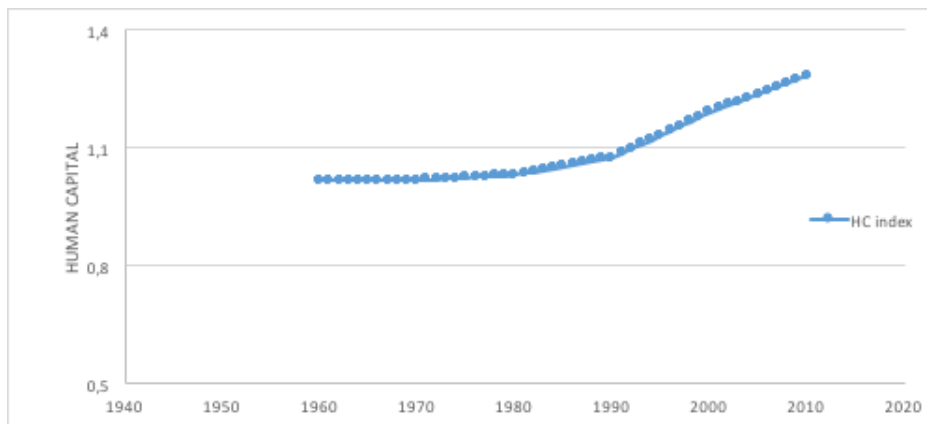


Figure 3: GDP Per Capita and Physical Capital Per Capita (1950-2010)



Source: Feenstra, Robert C., Robert Inklaar and Marcel P. Timmer (2015)

Figure 4: Human Capital Index, Based on Years of Schooling.



Source: Feenstra, Robert C., Robert Inklaar and Marcel P. Timmer (2015)

Figure 2 depicts the evolution of aggregate and figure 3 per worker variables, all articulated in logarithms. Physical capital and real GDP per worker variables are defined by dividing the aggregate figures by employment. An almost linear time trend, i.e., near exponential growth, is clearly visible in the evolution of real GDP per worker, and physical capital per worker exhibits faster-than-exponential growth from early 1950s to late 1970s.

Figure 4 pictures the evolution of human capital index from 1960 to 2017. Data before 1960 for the human capital index is not available. But data of that



time span we have is strongly enough for driving conclusions. As it can be seen on the graph human capital was not growing that much, as it was growing at an average of almost zero from 1960 to late 1970. It started to grow at a very low rate in 1980-1990. A considerable and visible growth have been seen in the period from 1990 to late 2017 and still expected to continue its growth with even a higher averages of growth rate in the upcoming decades.

Growth

Theory

In the model t represents time and it is discrete with an infinite horizon: $t \in H \equiv \{0, 1, \dots\}$. Y is simply the real GDP, the overall produce of the country. The Cobb-Douglas (1928) is the type of production which is going to be used for the model and declares two competing inputs, i.e., physical capital K_t and raw labor L_t , and two intangible variables augmenting L_t , i.e., productivity A_t and human capital per worker h_t . Formally, we have the following form of equation:

$$Y_t = K_t^\alpha (A_t h_t L_t)^{1-\alpha} \quad (1)$$

$\alpha \in (0, 1)$, where Y_t is the output flow. The total factor productivity (TFP) meaning the productivity term can be called the Solow residual under the condition in which K_t , h_t and L_t are observed in the model.

Let g_{L_t} represents the growth rate of L_t after it grows in time as a result of demographic changes. Also, g_{A_t} and g_{h_t} represent the growth rates of A_t and h_t respectively. Growth in A_t comes because of increase in technological adoption, investments in R&D and finally, learning by doing at the firm level. Also, h_t grows in time and it is usually associated with schooling, on-the-job-training, and learning by doing.

The Solow Residual

In case of Y , K_t , h_t , and L_t are available as a sample and can simply be observed, then the Solow residual can be computed using equation (1) as follows:

$$A_t = \left(\frac{Y_t}{K_t^\alpha} \right)^{\frac{1}{1-\alpha}} \left(\frac{1}{h_t L_t} \right) \quad (2)$$

Growth Accounting

In equation (1) also defines the real GDP per worker by dividing in each side as the following equation:

$$y_t \equiv \frac{Y_t}{L_t} = \frac{K_t^\alpha (A_t h_t L_t)^{(1-\alpha)}}{L_t} = K_t^\alpha (A_t h_t L_t)^{(1-\alpha)} L_t^{-\alpha} \quad (3)$$



It is to notice that there is an additive relationship in the gross growth rates of the variables, e.g. y_{t+1}/y_t satisfy the additive relationship

$$\ln\left(\frac{y_{t+1}}{y_t}\right) = \alpha \ln(k_{t+1}/k_t) + (1 - \alpha) \left[\ln\left(\frac{A_{t+1}}{A_t}\right) + \ln\left(\frac{h_{t+1}}{h_t}\right) \right], \quad (4)$$

therefore, this growth accounting equation decomposes the real GDP per capita into two important elements, the *factor endowment growth* ($k_t = \frac{K_t}{L_t}$) and the *factor productivity growth* (A_t, h_t , the first and the second terms of the right hand side of the equation, respectively).

Long-run Growth

Rearranging the equation (3), therefore, we have

$$y_t = A_t h_t \left(\frac{K_t}{A_t h_t L_t} \right), \quad (5)$$

therefore, as it is obvious, the capital stock per effective worker

$$\hat{k}_t = \left(\frac{K_t}{A_t h_t L_t} \right), \quad (6)$$

In here, \hat{y}_t stands for the real GDP per effective worker, therefore, we have

$$\hat{y}_t = (\hat{k}_t)^\alpha \quad (7)$$

Now, we suppose that a given fraction of the real GDP, which is exogenously given directly goes to the gross investment to add to the gross effective capital stock and also, the capital stock depreciates with time. Therefore, we have the following equation:

$$K_{t+1} - K_t = s_t Y_t - \delta K_t \quad (8)$$

In order to get the steady-states spots, first, we need to find the point where the change in effective capital stock per worker is equal to zero because the meaning of the steady state is when the change in capital stock per effective worker is zero. Hence, we start with the Solow model equation

$$\frac{\hat{k}_t}{dt} = s_t (\hat{k}_t)^\alpha - \hat{k}_t (g_{A_t} + g_{h_t} + \delta) = 0 \quad (9)$$

After some mathematical arrangements we will finally end up the following

$$\hat{k}^* = \left[\frac{s^*}{g_{A_t} + g_{h_t} + \delta} \right]^{\frac{1}{1-\alpha}} \quad (10)$$

In long-run growth is only coming from and depends on the growth in productivity and human capital.



Empirics

First, there is the need to estimate the value of the share of the capital stock in the GDP, α and it typically lies between 1/3 and 1/2. Therefore, we will start this suction with $\alpha = \frac{1}{2}$. We estimated this value using equation 4 and regressing the values of each variable in an ordinary least square method of estimation. Then, we also used $\alpha = \frac{1}{3}$. We computed this value by getting the mean of 1/3 and 1/2, adding up these and then dividing them by 2. Also, we finally used the most commonly used value of capital share in the whole output which is 1/3.

Growth Accounting

Table 2. Physical and Human Capital from PWT 9.1 ($\alpha \equiv 1/2$)

Period	Average Growth Rates				Contributions %		
	y	k	h	A	k	h	A
1960-1970	2.34	6.35	0.003	-1.67	135.68	0.06	-35.74
1971-1980	-0.27	0.90	0.13	-1.57	-166.66	-24.07	290.73
1981-1990	-0.49	0.79	0.42	-2.19	-80.61	-42.86	223.47
1991-2000	-0.25	-1.65	1.02	0.13	330.00	-204.00	-26.00
2001-2010	6.20	3.58	0.74	8.08	28.87	5.97	65.16
2011-2017	7.00	14.43	1.41	-1.84	103.07	10.07	-13.14

Source: Own Calculations

Table 3. Physical and Human Capital from PWT 9.1 ($\alpha \equiv 0.416666667$)

Period	Average Growth Rates				Contributions %		
	y	k	h	A	k	h	A
1960-1970	2.34	6.35	0.003	-0.53	113.07	0.075	-13.145
1971-1980	-0.27	0.90	0.13	-1.24	-138.89	-28.08	266.97
1981-1990	-0.49	0.79	0.42	-1.82	-67.18	-50.00	217.18
1991-2000	-0.25	-1.65	1.02	-0.27	275.00	-238.00	63.00
2001-2010	6.20	3.58	0.74	7.33	24.06	6.96	68.98
2011-2017	7.00	14.43	1.41	0.28	85.89	11.75	2.36

Source: Own Calculations

**Table 4.** Physical and Human Capital from PWT 9.1 ($\alpha \equiv 1/3$)

Period	Average Growth Rates				Contributions %		
	<i>y</i>	<i>k</i>	<i>h</i>	<i>A</i>	<i>k</i>	<i>h</i>	<i>A</i>
1960-1970	2.34	6.35	0.003	0.33	90.46	0.09	9.45
1971-1980	-0.27	0.9	0.13	-0.99	-111.11	-32.10	243.21
1981-1990	-0.49	0.79	0.42	-1.55	-53.74	-57.14	210.88
1991-2000	-0.25	-1.65	1.02	-0.57	220.00	-272.00	152.00
2001-2010	6.20	3.58	0.74	6.77	19.25	7.96	72.79
2011-2017	7.00	14.43	1.41	1.88	68.71	13.43	17.86

Source: Own Calculations

Result Explanations and Analysis

The main results from the growth accounting calculations is that physical capital is not the main contributor to Ethiopia's recent rapid economic growth. Of course, it is undeniable that physical capital per worker is a major source of Ethiopia's Economic growth. But it is not the biggest source of economic growth of Ethiopia for all episodes. Total Factor Productivity is another major contributor to the economic growth of Ethiopia. Human Capital is not a massive contributor which can easily be tracked or revealed in our calculations.

From 1960 to 1970, the real GDP per capita was growing at an average of about 2.34 percent per annum and was growing at an average of about 6.35 percent annually. In that decade the physical capital stock per capita was the major contributor to the growth of the economy by more than 90 percent for all the capital share estimations in this study. But the following decade the Ethiopia's economic growth decreased drastically till the rate reached an average of -0.27 percent annually. The following decade, the economy was in its worst period in which the growth rate reached to its lowest in Ethiopia's modern history. The economy grew at an average growth rate of about -0.49 percent annually.

There were several factors behind the slowdown and backwardness of Ethiopia's economic growth rates in the period from 1971-199. Some of those factors may include the war with the neighboring country, Somalia which did cost bad consequences and resulted into instability, the formations of rebels and fragmen-



tations in the country. Also, there were too severe recurring droughts and famine which the country experienced in that period which led food shortages and followed by a coup.

The following decade of 1991-2000 the economy still suffered from the coup in 1991 which put the country under a political uncertainty. Although the economy was still growing at an average of about -0.25 percent annually, but quite better than the 2 previous decades. Therefore, we can arguably say that this decade of 1991-2000 is the period in which economy started to revive again. Because most of the structural reforms in Ethiopia's modern history were made in 1991.

Ethiopia's miracle which shocked the world started in 2000. Somehow there is an interrelationship between periods, as we can see that previous decade has an influence to the following decade. The structural reforms made in the decade of 1991-2000, its effect have been seen in the following decade of 2001-2010. The real GDP per capita grew at an average of 6.2 which is remarkable and amazed the world. The physical capital per worker, the human capital and the productivity factor grew in an average of about 3.58, 0.74, and 6.77 percent, respectively. The main Contributor in this decade is the intangible factor, the productivity factor, which represents about 60 to 70 percent of the real GDP growth of Ethiopia. And that was because, after the collapse of the communist regime, the succeeding Ethiopian People's Revolutionary Democratic Front (EPRDF) government, as a result, started implementing a sequence of structural reforms in economy in the 1990s which made possible for the second economic growth acceleration starting in 2004. That was why the productivity factor contributed to the most in the Ethiopia's economic growth in that period.

The most recent period of 2010-2017 is the best period for Ethiopia in which the country enjoyed the highest average growth rate of about 7 percent annually. The physical capital per worker also grew an amazing average of about 14.43 percent yearly. The human capital grew at an average of about 1.41 percent annually. And the productivity factor, also, grew about an average of around 1.88 percent in each year. The most recent rapid growth that Ethiopia experienced largely came from the physical capital per worker which contributed the most to the overall Ethiopia's economic growth. The physical capital per worker contributed to Ethiopia's recent rapid economic growth more than that of the intangible factors. In other words, that the human capital and the productivity factor did contribute less than what the physical capital contributed to the most recent rapid economic growth of Ethiopia.



As it is explained in section three, public and private investments drastically increased in the latest decades. As it is shown in the graph in section three, investment started to increase sharply in late 2006. In 2012, only private investments reached a share of up to 20 percent of the overall GDP of the country. As the data indicates there is a direct relationship between the investment and the capital stock in each episode. Therefore, we can argue that the recent increases in investments in the country caused the physical capital per worker and real GDP per capita to increase at an average of their highest rates recorded in Ethiopia's modern history and that, also, made the physical capital per worker become the main source of the recent Ethiopia's rapid economic growth.

Conclusion

The indispensable macro-economic goal of almost all countries and, also, one of the most important issues in the world political economy is to attain a considerable economic growth. An increase in the Gross Domestic Product (GDP) of the country and that is the basic prerequisite to achieving economic development. As Haller indicated, economic growth is the procedure of increasing and enlarging the size of the economy of a specific country, but a result of that increase in GDP, GDP per capita and other key economic indicators should increase not necessarily in a linear direction. An increase in the real GDP per capita help achieve substantial economic progress resulting in the advance of the quality of life, adequate health facilities and conditions, improvements in the academic system and, also, an improvement in the distribution of incomes (Haller, 2012).

The typical neoclassical production and capital accumulation theory works under some assumption which could be restrictive in some way or another. Such as that firms are identical, markets are competitive and there are no institutional barriers or in other words there are no information frictions or any other barriers.

The paper quantifies the sources of the long-run economic growth of Ethiopia using the Solow growth model. The Solow Model (1956) helps us to better understand the dynamics of growth. Growth results indicate that labor-augmenting technical change, whether explained primarily by human capital accumulation or not, had a notable contribution to growth in all episodes. Although it is worth mentioning that the main Contributor in the period of 2001-2010 is the intangible factor, the productivity factor, but if we look at the most recent period of 2010 to date in which the country shocked the world by its remarkable growth



rate, physical capital is the main source of such spectacular growth of the country. And that is due to the increase in investment in the country as just in 2012, only private investments reached a share of up to 20 percent of the overall GDP of the country. As the data indicates there is a direct relationship between the investment and the capital stock in each episode. Therefore, we can argue that the recent increases in investments in the country caused the physical capital per worker and real GDP per capita to increase at an average of their highest rates recorded in Ethiopia's modern history and that is what made the physical capital per worker become the main source of the recent Ethiopia's rapid economic growth.

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Gürcistan'da Reform Sorunsalı

Giuljakhan Ajalova*

Öz: 1990'lı yılların başında dünyada eşi benzeri olmayan olaylar yaşanmış, bu durum ülkeleri sosyalizmden piyasa ekonomisine geçiş yapmaya sürüklemiştir. O dönem Orta ve Doğu Avrupa ülkeleri ile birlikte SSCB merkezi planlama sisteminden piyasa ekonomisine geçiş yapmıştır. 1991 yılında Sovyet Sosyalist Cumhuriyetleri Birliği'nin dağılmasıyla birlikte Gürcistan bağımsızlığına ilan etmiştir. 70 yıl kapalı süreç ardından merkezi planlama ekonomisinden piyasa ekonomisine geçişi sağlamak kolay olmamıştır. Bu süreç zarfında Gürcistan toplumu büyük zorluklar yaşamış ve yeni ekonomik modeller uygulamıştır. Çalışmadaki amaç bu süreci derinden incelememek, hangi ekonomik model tercih edilmiş ve bu modelin başarılı olup olmaması ortaya çıkarmaktır. Bağımsızlıktan sonra Gürcistan'da neoklasik geçiş stratejileri uygulanmış, bu modellerin sonucu ülke için önem taşımaktadır. Dolayısıyla çalışmanın amacı 1991 yılından sonra uygulanan reformlar ülkenin gelişimini ne yönde etkilediğini göstermektir. Bu çalışmada Gürcistan'ın bağımsızlığını kazandığından günümüze kadar yapılan reformlar incelenmektedir. Çalışmanın kapsamında reformların sonuçları analiz edilecektir. 1991 yılının alınan yanlış kararlar ve stratejiler ülke ekonomisini etkilemiştir.

Coğrafi konumundan dolayı Gürcistan stratejik önemi taşıyan ülkelerdendir. Kafkas ülkelerinden yalnızca Gürcistan'ın açık denizlere çıkışı vardır bu da ülkeyi önemli konuma getirmektedir. Gürcistan küçük ülke olmasına rağmen Avrupa'yla Asya'yı birbirine bağlayan köprü görevini üstlenmektedir.

SSCB'nin dağılması Gürcistan'da yeni bir durumu ortaya çıkarmıştır. Gürcistan'ın sosyal ve ekonomik sistemi etkilenmiş ve bir dizi politik değişiklikler meydana gelmiştir. Bağımsızlıktan sonrası oluşan ekonomik kriz, ekonominin birçok dalını yok etmiştir. SSCB döneminde Gürcistan'ın refah düzeyi yüksek olmuş, sistem dağılmasıyla birlikte ekonomide büyük kriz yaşanmıştır. 1990'ların başında enflasyon ve işsizlik artmış, tarım ve sanayi ürünlerinin üretimde ise azalma görülmüştür.

Bağımsızlıktan sonra, Gürcistan en az iki gelişim aşamasını geçmiştir. Birinci aşamada ülke, SSCB'nin çöküşü sonucunda ekonomide ortaya çıkan olumsuz sonuçları aşmaya çalışmıştır. Sovyet sisteminin çöküşü sonucunda pek çok işbirliğinin kopmuş, işletmelerin kapatılması GSYİH'nı etkilemiştir, yaşam standartlarının düşmesi ve işsizlikte artmasına neden olmuştur. Bütün bu ekonomik ve sosyal sonuçlar gül devrimi ile sonuçlanmıştır. İkinci aşama gül devrimden sonra başlayan süreçler olmuştur. Amaç ülkeyi yabancı yatırımlar için cazip bir yer hâline getirmektir. 2003 yılından sonra ülkede yeni bir dönem başlamıştır. O dönem yapılan reformlarla idari ve kamu dairelerin yapılanması ve ekonomik sistemin yapısal gelişim konusuna büyük önem verildiği görülmektedir. Bu çalışmamızın amacı, bulunduğu bölgeden dolayı önemli jeopolitik konuma sahip olan Gürcistan'ın, ekonomik gelişimini incelemek ve literatüre fayda sağlamaktır.

Anahtar Kelimeler: Gürcistan, Gürcistan Ekonomisi, Gürcistan'da Geçiş Süreci, Geçiş Ekonomileri, Neoklasik Geçiş Modeli, Reformlar.

* Başkent Üniversitesi, Sosyal Bilimler Enstitüsü, Uluslararası Ticaret ve Pazarlama Yüksek Lisans Programı.
İletişim: adjalova94@gmail.com



Giriş

Gürcistan Karadeniz'in doğu kıyısında, Güney Kafkasya'da yer alan bir ülkedir. Gürcistan'ın kuzeyinde Rusya, doğusunda Azerbaycan, güneyinde Ermenistan ve güneybatısında Türkiye yer alır. Ülkenin Batı sınırındaysa Karadeniz bulunmaktadır.

Gürcistan doğu-batı ve kuzey-güney ulaşım yollarının geçtiği ülke olmakla beraber, Orta Asya ve Kafkasya coğrafyasında bulunan zengin enerji kaynaklarının uluslararası pazarlara taşınmasında transit konuma sahiptir. Coğrafi konumundan dolayı Gürcistan stratejik önemi taşıyan ülkelerdendir. Kafkas ülkelerinden yalnızca Gürcistan'ın açık denizlere çıkışı vardır (Papava, 1994, s. 10).

Tarih boyunca Gürcistan bulunduğu konumdan dolayı birçok devlet egemenlik kurmaya çalışmıştır. Gürcü halkı kültürünü, kültürel özelliklerini ve dilini asırlarca korumuştur. Büyük ipek yolu Gürcistan üzerinden geçmekle ülkeyi önemli kılmıştır. Gürcistan Kafkasya'nın en karmaşık etnik yapısına sahip ülkesidir. Bu yüzden sık sık sorunlar çıkmaktadır.

Gürcistan tarihi incelendiğinde reform çabalarının yaklaşık 1917 yıllarına kadar uzandığı görülebilir. Rus İmparatorluğu'nun çöküşüyle 1917 yılında Gürcistan bağımsız bir devlet olmuştur ve bu dönemden sonra reform süreci başlamış, ülkenin demokratik bir sisteme dönüşümü görülmüştür. Üç yıl içinde ülkenin her bir alanı yeniden yapılanmıştır. Bolşevik devrimiyle Gürcistanın demokratikleşme süreci sona ermiş, demokratik sistemin yerini ise sosyalist sistem almıştır. Yaklaşık 70 yıl süren SSCB egemenliği sistemin dağılmasıyla sona ermiştir (Citanava, 2018).

Gürcistan'da 31 Mart 1991 yılında yapılan referandum sonucuna göre ülke nüfüsünün %91 bağımsızlığın tarafını tutmuş ve 9 Nisan 1991'da kabul edilen bağımsızlık yasası ile bağımsız, üniter ve bölünmez bir devlet olarak kurulmuştur. Ülkenin yönetim şekli demokratik cumhuriyettir. Gürcistan'ın idari yönetim birimleri, 9 bölge ve başkent Tiflis ile Abhazya Özerk Cumhuriyeti ve Acara Özerk Cumhuriyeti'nden oluşmaktadır. 1990'ların başından günümüze kadar Gürcistan devletin demokratikleşme süreci devam etmekte ve yeni adımlar atılmaktadır.

Bağımsızlıktan sonra, Gürcistan en az iki gelişim aşamasını geçmiştir. Birinci aşamada ülke, SSCB'nin çöküşü sonucunda ekonomide ortaya çıkan olumsuz sonuçları aşmaya çalışmıştır. Sovyet sisteminin çöküşü pek çok işbirliğinin kopmasına, işletmelerin kapatılmasına GSYİH'nın kötüleşmesine, yaşam standartlarının düşmesine ve işsizliğin artmasına neden olmuştur (Asatiani, 2009). Bütün bu ekonomik ve sosyal sonuçlar Gül Devrimi ile sonuçlanmıştır. İkinci aşama gül devrimden sonra başlayan süreçler olmuştur (James, 2006). Amaç ülkeyi yaban-



cı yatırımlar için cazip bir yer hâline getirmek olmuştur. Toplumda iki bakış açısı oluşmuş: ülkenin kapılarını açmak veya başka bir alternatif yol bulmak. Bu alternatif yollardan biri de ulusal üretimin geliştirilmesi ve ülkenin ihracat potansiyellerinin daha verimli bir şekilde kullanılmasıdır. Ülkenin ekonomik ve ihracat potansiyelini belirlemek için Gürcistan'ın Sovyetler Birliği'nde hangi alanlarda uzmanlaştığı ve hangi sektörde rekabet avantajı sağladığı önemli unsurlardan birisidir (Asatiani, 2009).

Bağımsızlığın ilk yıllarında Gürcistan ekonomisinde düşüşler yaşanmış, nüfusun refah seviyesi kötüleşmiştir. O dönem ülkede suç oranı artmış, maaşlar ve emekli maaşlar ödenmemiş, okullarda ve hastanelerde işçiler çalışamayacak duruma gelmiştir. Bölgeler ise yerel otoriteler tarafından yönetildiği görülmektedir. O dönem devletten beklenen bu sorunların üstesinden gelmesi olmuştur. Ülkeyi yoksulluktan çıkaracak etkili bir dış ticaret stratejisinin belirlenmesi ve doğru ekonomik politika uygulaması ön görülmüştür.

Bağımsızlık sonrası oluşan ekonomik kriz, ekonominin birçok alanını yok etmiştir. SSCB döneminde Gürcistan'ın refah düzeyi yüksek olmuş, sistem dağılmasıyla birlikte ekonomide büyük kriz yaşanmıştır. 1990'ların başında hiperenflasyon, tarım ve sanayi ürünleri üretimde azalma görülmüştür. Daha önce Sovyet sistemi işsizlikle karşı karşıya kalmamış, bu da toplum için yeni bir kavram olmuştur.

SSCB'nin dağılmasıyla Gürcistan 70 yıldan sonra bağımsız bir devlet olmuştur. SSCB'nin dağılmasından sonra Gürcistan ekonomisindeki kriz, 1992 yılında Gürcistan Cumhurbaşkanı Zviad Gamsakhurdia'nın Gürcistan ve Rusya arasındaki ticaret yasağı getirmesi ile ağırlaşmıştır. Bununla birlikte 1992 yılında, endüstriyel üretim hacmi %40 azalmıştır. Gürcistan'ın ürünlerin büyük bir kısmı Rusya'ya ihraç edilmekteydi. Ancak devlet tarafından ticaret kısıtlamasının getirilmesi ekonomiyi kötü etkilemiştir (Papava, 2011)

1994 yılının ortalarında kriz tüm sektörleri etkilemiştir. Ormancılık ve inşaat alanları faaliyetleri durdurulmuş, diğer alanlarda ise düşüş yaşanmıştır. Üretim ve ulaşım altyapısı çökmüş, yeni para birimi değer kaybetmiştir. Enflasyon yılda yaklaşık %900 ulaşmıştır. Ekonomik krizden dolayı ortaya çıkan işsizlik ise %20 olmuştur. Abhazya ile yaşanan iç savaş nedeniyle Rusya'dan gelen turist sayısı sınırlanmıştır. Ortalama reel maaş 10 kat düşmüş, nüfusun çoğunluğu Rusya'ya ve Avrupa Birliği ülkelerine göç etmiştir. O dönem ülkeyi yaklaşık 1 milyondan fazla kişi terk etmiştir. Gürcistan'ın gelir kaynaklarından birisi de göç eden işçi göçmenlerinin para transferleri olmuştur (Grigorev, Kondratev and Salixav, 2008).



Gürcistan topraklarının yaklaşık %16'sı tarıma elverişlidir. 1993 yılında tarımsal üretim hacmi 1990 seviyesinin %35'ine düşmüştür. 1970'lerde Gürcistan'daki yıllık çay oranı 100 bin tona ulaşarken, 2003 yılında ise 25,5 bin ton düşmüştür. 1985 yılının verilerine baktığımız zaman üzüm bağlarında azalma yaşanmıştır.

1979'da Gürcistan nispeten yüksek gelirli ülkelerden birisiyken, 2008'de düşük gelirli bir ülke hâline gelmiştir. Gürcistan'ın ekonomisi tüm Sovyet Birliği ülkeleri gibi 80'lerinin ikinci yarısında düşüşe başlamıştır. 1979 yılında Gürcistan'ın toplam GSYH 25568.87 milyon dolarken, 1990 yılında 7738 milyon dolar olmuştur (Gosiridze, 2008).

Bağımsızlık sonrası oluşan ekonomik kriz, ekonominin birçok alanını yok etmiştir. Sovyetler Birliği'nin dağılmasından sonra Gürcistan'ın merkezi planlamadan piyasa ekonomisine geçiş yapmıştır. Bu süreç ülke için çok zor olmuştur. 1990'lar etnik çatışmalarla ve sivil çatışmaların olduğu en zor dönemdir. Bununla birlikte finansal kriz başlamış ve ülkenin mali sistemi sorunlu bir sürece girmiştir. Krizin üstesinden gelebilmek için dönüşüm programları uygulanmış ama bir sonuç sağlanamamıştır (Papava, Tapledzi and Gegeshidze, 2015).

Geçiş döneminde devlet tarafından uygulanan politikalar sonucu işsizliğin artmasına neden olmuştur. Geçiş dönemi Gürcistan için çarpıcı (dramatik) olmuştur. 1990-1994 yılları arasında işsizlik oranında aşırı artış yaşanmış, enflasyon ise artmıştır. Sanayide durgunluk yaşandığı için işçiler tarım sektörüne yönelmiştir.

Yoksulluk düzeyi sosyal eşitsizlik ve istikrarsızlığa yol açmaktadır. Gürcistan'ın yoksuluk düzeyine baktığımız zaman gitgide büyümektedir. Yoksulluk seviyesi ve işsizlik oranı asla sifıra inmez, ancak azaltmak mümkündür. Gürcistan'daki yoksulluğu ve işsizliği azaltmak için devlet tarafından önemler alınması gerekmektedir. İş ortamını iyileştirmek ve ekonominin gelişmesine destek olmak için gerekmektedir. Bu nedenle piyasa ekonomisi kurumlarının güçlendirilmesi (rekabetin desteklenmesi, mülkiyet haklarının ve sözleşme koşullarının korunması) gerekmektedir. Buna ilaveten ülkenin eğitim sisteminin yeniden düzenlenmesi gerekmektedir.

1990 yılından yoksulluk düzeyi yaklaşık %60'dır. 2017 yılında ise %21.9 oluşturmaktadır. 1990 yılında yoksulluk düzeyinin yüksek olması iç savaştan ve geçiş döneminin zorluklarından ileri gelmektedir. Üstünden 27 yıl geçmesine rağmen yoksulluk düzeyi ülkede yüksek seviyededir.



Geçiş İlişkin Stratejiler ve Politikalar

Reform kavramı Latince kökenli bir kelimedir ve dönüştürme anlamına gelir. Bir toplumun sistemsal, kurumsal ya da kuruluştal yapılarını var olan toplumsal yapının temeline zarar vermeden değiştiren transformasyon veya yeniden yapılandırma şekline reform denir. Ekonomik reform devlet tarafından uygulanan politikaya dayanarak gerçekleştirilir. Ekonomik reform bazen ülkenin bütün alanlarını kapsamaz bazen onun sadece bir veya daha fazla alanını kapsar (örneğin tarım reformu) (Asatiani, 2009). Reform kelimesi SSCB'de 1970 yıllarında ortaya çıkmıştır. Kavramın ortaya çıkma nedeni sistemin özünde sorunların ortaya çıkması olmuştur. Dolayısıyla teknoloji alanlarında yavaşlama, kalitesiz ürün üretimi, verimsiz üretim ve düşük verimlilik ülke ekonomisini doğal kaynaklara bağlı hâle getirmiştir. Aynı zamanda zorluklar tarım alanında oluşmuş, devlet yiyecek için çok para harcamak zorunda kalmıştır. Yolsuzluklar önemli ölçüde artmıştır. 80'li yılların sonunda Sovyet Birliği'ndeki komünizm o kadar durgundu ki artık bir reformun yapılması mümkün değildi. Herkesin gözü önünde sistem çökerken, bazıları bu çöküşün devam etmesini istemiş ve bu süreçten fayda sağlamışlardır. 1980 yılının sonunda Sovyet ekonomisi içinden çıkılmaz hâle gelmiştir. Ülkede uzun kuyruklar oluşmuş, ekonomistler ve politikaçılar oluşan sorunları çözememek durumuna gelmişlerdi.

1991 yılında Sovyet Sosyalist Cumhuriyetleri Birliği'nin dağılmasıyla birlikte Gürcistan bağımsızlığını ilan etmiştir. Bu olaylardan sonra ülke tam anlamıyla radikal değişime uğruyor sadece politik değil ekonomik ve ideolojik bakımdandanda, ülke dünyada gelişen ekonomik değişimlere katılıyor (Citanava, 2018).

Merkezi planlamadan piyasa ekonomisine geçiş bilinmeyen daha önce örneği olmayan olaylardan birisidir. Bu olayları yönlendirecek mevcut olan özel bir "geçiş teorisinin" bulunmaması, özellikle başlangıç döneminde bir deneyimin olmaması, tarihte benzeri yaşamamış bir olaydır. Sistemin doğası nedeniyle oluşan sorunların üstesinden gelmek zorluklar doğurmuştur (Güler, 2012, s. 98). Sovyet Birliği'nde yetişen uzmanlar batı sistemini bilmediklerinden geçiş dönemini nasıl yönlendireceklerini bilmiyor piyasa ekonomisi ile ilgili eksik bilgileri sahiptiler. Bir tarafta da batılı uzmanlar merkezi planma ekonomisi ile ilgili çok az bilgiye sahiptiler. Uluslararası kuruluşlar IMF, DTÖ ve DB ülkelerin yapısına, kuruluşuna önem vermeden ekonomik model önermekteydiler. Merkezi planlamaya sistemine dayalı ülkelerde spesifik bilgi eksikliği görülmektedir. Yukarıda da belirtildiği gibi bu ülkelerin yerel koşulları, tarihsel, sosyo-kültürel, kurumsal yapıları göz önünde bulundurulmadan aynı ekonomik modeller önerilmiştir (Asatiani, 2009, ctp. 93-94).



1989 yılında Berlin Duvarı'nın yıkılmasıyla birlikte geçiş süreci başlamıştır. Aniden başlayan süreç SSCB'nin yıkılmasına sebep olmuştur. Merkezi planlama sisteminin çöküşü batılı ve yerel uzmanlar için şaşırtıcı olmuştur. SSCB'nin dağılmasıyla Gürcistan bağımsızlığını ilan etmiştir.

1917-1991 yılları arasında Dünyanın farklı bölgelerinde 34 ülke pazar ekonomisinden merkezi planlama ekonomisine geçiş yapmıştır. 1980'lerin sonunda çoğu ülkede yapılan bu deney olumsuz sonuçlar vermiş ve piyasa ekonomisine ters bir geçiş süreci başlamıştır. O dönem diğer ülkeler ise piyasa ekonomisinin avantaj sağlamıştır. Bazı eski sosyalist ülkeler için piyasa ekonomisine geçiş ciddi ayaklanmalara neden olmuştur (Horne, 1995).

Komünizmin çöküşü, Sovyet bloğunun yıkılması ve Sovyetler Birliği'nin dağılması, çok sayıda ekonomik ve politik krizlere ve ayaklanmalara sebep olmuştur. Sosyalist sistemine dayalı merkezi planlamadan piyasa ekonomisine geçiş süreci literatürde "geçiş ekonomisi" (Transition Economics) adı almıştır. Sistemi değişen tüm ülkeler İMF tarafından sınıflandırılmaktadır. Geçiş ekonomileri iki temel grup altında bölünmektedir. İlk grupta Orta ve Doğu Avrupa ülkeleri ve eski SSCB Cumhuriyetleri yer almaktadır. İkinci grup ise Çin, Kamboçya ve Laos Halk Cumhuriyeti'nden oluşmuştur (Aslund, 2002).

Komünizmin sonun gelmesiyle birlikte 400 milyondan fazla insan belirsizlikle karşı karşıya kalmıştır. O dönem komünizmden kapitalizme geçişi simgeleyen ve o dönemin zorluğunu vurgulayan fıkra "balık çorbasından akvaryum yapmak" şeklinde ifade edilmiştir. Oluşan süreç sadece ekonomik bakımdan değil politik, sosyal, kurumsal ve toplumsal açıdan önem taşımaktadır (Aslund, 2002). Oluşan süreci üç yönde incelersek, ilk olarak diktatörlükten demokrasiye, tek yönetim sistemin çok partili sisteme ve merkezi planlamadan piyasa ekonomisine geçiş ülkelerin ve toplumun tüm yaşamını etkileyecektir.

Geçiş süreci tüm ülkelerde zorluklarla karşı karşıya kalmıştır. Sadece ekonomik yönden incelediğimiz zaman devletler büyük sorunlarla yüzleşmiş, eski sistemin doğası nedeniyle değişime hazır olmadıkları görülmektedir. Merkezi planlama sisteminin piyasa ekonomisine adaptasyonu büyük sorunlar getirmiştir. Geçişe yönelik stratejilerin olmaması iktisatçıları yeni model arayışına sokmuştur. Oluşan ekonomik durumu karakterize edecek bir teorinin olmaması, bu nedenle genellikle kitaplardan ve benzer problemlerden yola çıkılarak modeller oluşturulmuştur. Dolayısıyla yerel koşullar dikkate alınmadan, tarihsel sürece bakılmadan bazı stratejiler uygulanmıştır. Örnek olarak Rusya'da uygulanan neoklasik geçiş stratejisi olarak şok terapi uygulanmış ve başarısız olmuştur. Aslında göre dönüşü-



me başlamadan önce bazı şartları yerine getirmek önem taşımaktadır. Her şeyden önce, Komünist Parti'nin hükümeti terk etmesi ve demokratik güçlerin onun yerini alması gerekmektedir. Sovyetler Birliği'nin dağılmasıyla birlikte reformların bağımsız cumhuriyetler yapılması gerekmektedir.

Eski Sovyet bloğu ülkelerine bakarsak bu ülkeler üç gruba bölünmektedirler. İlk grupta Orta Avrupa ülkeleri, Baltık ülkeleri, Rusya ve Kırgızistan ve bu ülkelerde oldukça liberal rejimler ve gelişmiş bir sivil toplum oluşmuştur. Bu ülkelerin hükümetleri piyasa ekonomisine geçiş isteği ve demokratik fikirler yıllar boyunca oluşmuştur. Bu nedenle mevcut demokratik gelişme ile bu ülkelerin nüfusu göreceli olarak güçlenmiştir. Ermenistan ve Gürcistan'a gelince, bu onlar için tam olarak geçerli değildir ancak bu gruba en yakın olanıdır. Gürcistan'ın demokratik bir toplum oluşturma girişimi bir iç savaşla sona ermiştir (Yasin, 2002).

SSCB, Orta ve Doğu Avrupa ülkelerinde, neoklasik geçiş modelleri uygulanmıştır. Neoklasik geçiş stratejisi "aşamalı geçiş" ve "şok terapisi" oluşmaktadır. İki modelde ekonomik ve ideolojik bakımdan birbirine benzemektedir. Horne'ye göre merkezi planlama ekonomisinden piyasa ekonomisine geçiş yapmak için en uygun model şok terapisi olmuştur. Neoklasik geçiş modeli olan şok terapisi (big bang) hızlı ve radikal şekilde ve ya aşamalı geçiş (gradualism) modeli yavaş ve aşamalı bir şekilde uygulanmaktadır. İki modelde geçişe yönelik hız ve başlangıç koşulları açısından oldukça farklıdır.

Şok Terapi

Şok terapi modeli adını 1 Ocak 1990'da Polonya'da başlatılan istikrar ve serbestleştirme programından almıştır. Şok tedavisi yaklaşımını daha sonra diğer ülkelerde sırasıyla uygulamıştır: Çek Cumhuriyeti 1 Ocak 1991 yılında, Rusya 2 Şubat 1992 yılında, Gürcistan, Baltık ülkelerinden Estonya, Litvanya (Marangos, 2002).

Şok terapi strateji veya big bang temelde tek hamlede fiyatların serbestleşmesi, özelleştirme, makroekonomik istikrar sağlamak için uygulanmaktadır. İlk olarak şok terapisi Batı Almanya'da İkinci Dünya Savaşı'ndan sonra uygulanmış ve daha sonra yeni versiyonuyla Polonyada 'Balcerowicz Planı' altında uygulanmaya konulmuştur. Bu planın uygulanması için bütün devlet kurumlarının aktif katılımı önemlidir. Bu kurumların olmadığı taktirde yapılan reform başarısız olduğu görülmüştür. J. Sachs, reform program tek bir seferde yapılması gerektiğini belirtmiştir. Şok terapinin özelliklerinden birisi de reformların tek seferde ve eş zamanlı yapılmasıdır. Reformların başında politik iktidar çok büyükse onu azaltmak gerekir. Bu sadece ekonomik değil politik bir reformdur. En önemli ekonomik reformların politik reformlar olduğu söylenebilir. Balcerowicz bunun zor olduğu-



nu ve gerekli bir adım olduğunu belirtmiştir. Siyasi iktidar çok büyükse, genellikle kurumlar da zayıftır, çünkü özel mülkiyet haklarının korunması mümkün değildir veya sisteme büyük güvensizlik vardır. Çünkü özel mülkiyet haklarının korunması söz konusu değildir (Aslund, 2002).

Şok terapisi temelde aşağıdakileri kapsar: Fiyat serbestleşmesi, bağımsız bir merkez bankası, özelleştirme, devlet müdahalesinin minimuma indirilmesi, piyasanın serbestleşmesi, yabancı sermaye girişi, ticaretin liberalleşmesi, tarafsız vergi sisteminin oluşturulması ve tam konvertibile bir para birimi bu reformlar devlet tarafından desteklenmesi önem taşımaktadır. Bu önerilen politikalar “Washington Uzlaşması” olarak adlandırılmıştır.

Neoklasik geçiş stratejileri altında reform programları genellikle “Washington Uzlaşması” dayalı politikalardır. Bu politikalar IMF ve Dünya Bankası tarafından bütün gelişmekte olan ülkelere önerilmektedir. Bu program John Williamson tarafından Washington Consensus adlandırılmıştır. Bu politikalar IMF ve Dünya Bankası uzmanları tarafından ilk kez Latin Amerika’da makroekonomik istikrarı sağlamak için uygulanmıştır (Aslund, 2002).

Radikal reform listesi şu şekilde sıralanmaktadır:

1. Mali disiplin: Mali disiplin Washington uzlaşmasının en önemli politikalarından birisidir ve birinci sırada bulunmaktadır. Stratejinin temelinde bütçe açıklarının, ödemeler dengesinin ve enflasyonun azaltılmasıdır. Mali disiplin makroekonomik istikrarsızlığı önlemede ve bütçe açıklarının düşük tutulmasının en uygun yöntemidir. Bu politika sonucunda ülke ekonomisi kapılarını yabancı yatırımcılara açmaktadır. Aynı zamanda sıkı para politikaları sonucunda ülkede oluşan yüksek enflasyonun düşüceği ön görülmüştür.
2. Kamu harcamaları: Kamu harcamalarında önceliklerin eğitim, sağlık ve altyapıya verilmesi, diğer alanlarda bu alanları desteklemesi önem taşımaktadır.
3. Vergi düzenlemelerinin yapılması: Marjinal vergi oranların azaltılması sağlayacak vergi düzenlemelerinin yapılması önem taşımaktadır.
4. Finansal Liberalizasyon: Faiz oranlarına müdahalenin sıfıra indirilmesi ve piyasa tarafından belirlenmelidir.
5. Döviz Kuru Politikaları: Uluslararası piyasada rekabet sağlayacak bir döviz kuru oluşturulmalıdır.
6. Dış Ticaretin serbestleştirilmesi: Dış ticareti engeleyecek miktar ve oran kısıtlamalarının ortadan kaldırılmasını için bir politika uygulanmalıdır.



7. Doğrudan Yabancı yatırımların serbestleşmesi: Doğrudan yabancı yatırımları engelleyecek kısıtlamaların ortadan kaldırılması, yatırımların ülkeye girişine dair bir engel oluşturulmamalıdır.
8. Özelleştirme: Kamuya ait olan işletmeler özelleştirilmelidir.
9. Ekonominin Serbestleşmesi (Deregülasyon): Ekonominin Serbestleşmesi firmaların yeni piyasaya girişini engeleyen unsurların ve kısıtlamaların ortadan kaldırılması, kamu hizmetleri haric tüm kısıtlamaların kaldırılmalıdır.
10. Mülkiyet hakları: Mülkiyet hakları bireylerin ve firmaların yasal, mülkiyet haklarının güvence altına alınmasıdır.

Şok terapinin ilk olarak Jeffrey Sachs, Leszek Balcerowicz ve David Lipton tarafından hazırlanmıştır. Bu üç ekonomistler bizzat geçiş ekonomilerindeki reformları takip edip başarısız nedenleri ortaya çıkarmaya çalışmışlardır. İlk olarak radikal ve kapsamlı reformlar Polonyada başlamıştır. Benzer sıkıntılar yaşayan diğer ülkeler ise bu modelden esinlenerek kendi ülkelerinde aynı reformları sırayla uygulama başlamışlardır (Güler, 2012).

Lipton ve Sachs (1990), radikal fiyat liberalizasyonu ve istikrarın öneminden bahsederken, bu politikaların aynı zamanda tehlikeli olma ihtimalinde belirtmişlerdir. Eski sosyalist ekonomilerinde ürünlerin kıt olması nedeniyle fiyatların serbest bırakılması ani bir fiyat yükselmesine sebep olacaktır. Lipton ve Sachs'a (1990), göre fiyatların yükselmesi enflasyona neden olacak, bunu önlemek için de reel para arzının azaltılması gerekmektedir. Bu önemleri almak için sübvansiyonların kaldırılması, ücretlerin kontrolü, devlet kredilerinin azaltılması vurgulashlardır.

Şok terapisinin uygulanma sebebi, aşamalı reforma göre daha efektif olmasıdır. Aşamalı geçiş piyasa ekonomisine geçişte sıkıntılara yol açacağı düşünülmektedir. Şok terapi taraftarları liberalizasyon ve makro istikrar programı sonucunda piyasa ekonomisi çalıştıracak olan güçlerin ortaya çıkması eşliğinde ekonomik canlanmayı oluşturacağını ileri sürmektedirler. Sonuç olarak reformların başında ekonomik küçülme görülse de daha sonra ekonomik büyümeye istikrar oluşturmaktadır (Mueller, 2007).

Şok terapinin bir diğer savunucusu Leszek Balcerowicz göre reformlar yavaş olduğu taktirde bir sonuç göstermez. Aşamalı ve yavaş reformlar politik riskler yaratacağını savunmaktadır. Balcerowicz reformların radikal ve hızlı olmasını belirtmiştir. Çünkü reformların ilerleyen zamanında değişime karşı çıkış gruplar direniş göstebilirler (Aslund, 2002).



Reformları uygulamaya başlarken yapılacak en önemli şey hiperenflasyonu durdurmak, önemli ölçüde devlet bütçe açığını azaltmak, daha sonra Maliye Bakanlığı'nın kontrolü altında merkezi bir maliye politikasını uygulamak gerekmektedir. Aynı nedenlerle, para politikasını sıkılaştırmak ve pozitif reel faiz oranlarının oluşturulmasını sağlamak gerekmektedir. Merkez bankası düşük enflasyonu korumayı amaçlayan bağımsız bir kurum haline getirilmektedir.

En başarılı reformlar, en güçlü demokratik sisteme ve gelişmiş sivil topluma sahip ülkelerde ciddi ama yıkıcı olmayan ekonomik krizlerde oluşmaktadır. Bir çok koşullara göre bu tanıma en uygun Polonya ve Estonya'dır. Aynı zamanda demokratik gelenekleri olan ülkelere tam olarak Orta Avrupa ve Baltık ülkelerinden iyi sonuçlar beklenmiştir. En kötü sonuçlar ise demokratikleşmemiş ve ekonomileri durgunluk ve tahrip olmuş ülkelere görülmektedir.

Aslund'a göre şok terapinin başında yeni kurumların kurulması ve özelleştirmenin biraz zaman alacağı belirtilmiştir. Asıl soru şuydu: Reformların hızlı şekilde gerçekleştirilip gerçekleştirilmemesiydi? Farklı ekonomik reform süreçlerinin farklı hızları vardır. Radikal reform taraftarları, en önemli reformların mümkün olan en kısa sürede yapılmasını istemekteydi, çünkü dönüşümü istemeyenler yeni sistemi engellemeye çalışacakları düşünülmüştür (Aslund, 2002).

Sok terapi taraftarları göre, reform sürecinde oluşacak olumsuz sonuçlar yaşam standartlarının düşmesine, işsizliğin artmasına kısa vadeli oluşaktır. Program bir bütün olarak uygulansa uzun vadede istikrarı artıracaktır (Lipton and Sachs, 1990).

Geçiş ekonomileri üzerine uzmanlaşan iktisatçılar, farklı ülkelere farklı ekonomik modellerin uygulandığını belirtmişlerdir. Reformlara başlamadan önce dikkat edilmesi gereken şeylerden biriside ülkenin içinde bulunduğu durum, uygulanacak modelin başarısı bu bağlıdır (Güler, 2012).

Radikal dönüşümlerin gerçekleştirilmesinin önemli nedenlerinden birisi, komünist sistemin çöküşünden sonra, devlet bütçesinin bilinçsizce harcanması ve ekonomik rant sağlanmak adına kullanılmasıdır. Bu sebepten radikal reform tek seçenek olmuştur. Her şey şok bir şekilde değiştiğinden, geçiş döneminin başında ekonominin durumu hakkında kesin bilgiler son derece sınırlı olmuştur. İlk istatistik veriler ise tamamen yanlış olduğu ortaya çıkmıştır. Radikal reform savunucularından Ficher, geçiş süresinin e yıllar alacağını, aynı zamanda bütün reformların aynı anda yapılamayacağını belirtmiştir. Herkes için açık olan, büyük işletmelerin ve toprak reformunun özelleştirilmesinin yıllar alacağı, aynı şekilde vergi , sosyal , yasal reformlarda buna dahildir



J. Sachs (1990), göre ülkelerin büyük bir kısmı geçiş dönemini tükenmiş döviz rezervleriyle ve aşırı borçlanmayla başlamıştır. Finansal istikrar sağlamak için bu ülkelerin döviz rezervlerini ve dış borçlarını karşılamak için bazı uluslararası yardımlar alması gerektiğini savunmaktadır. Sachs, uluslararası yardımın sadece ekonomik olarak değil aynı zamanda politik olarak da önemli olduğuna belirtmiştir:

Uluslararası destekler önemli rol oynamakta, çünkü reformların ilk aşamasında çok kırılgan olduğu görülmektedir. Bir fikir birliğinin olmaması, karamsar bakış açıları ve reformcuların devlet alanındaki konumu çok güçlü değildir (Lipton and Sachs, 1990).

Aşamalı Geçiş

Aşamalı geçiş taraftarları eski komünist ekonomisinin ve devletin daha uygun olduğunu savunmaktadır. Aynı zamanda Macaristan'ın deneyimine örnek göstererek, SSCB'nin ve diğer komünizm ülkelerinin çöküşü küçümsemişlerdir. Piyasa ekonomisine geçişin çok riskli olduğunu savunuyor, radikal reformların başarılı olma ihtimaline inanmıyordular. Aşamalı geçiş taraftarları pazara geçiş sürecini engellemek için her şeyi yapmışlar, ancak radikal taraftarları reformları hızlı bir şekilde uygulamışlar.

Aşamalı geçiş farklı alanlardaki reformların, sıralı bir yaklaşım tarzında ele alındığı bir stratejidir (Balcerowicz, 2014). Aşamalı geçiş modelinin esası, liberalizasyon yönünde herhangi bir teşebbüsten önce, gerekli ekonomik, kurumsal, politik ve ideolojik yapıların tesis edilmesine dayanmaktadır. Bu minimum esas olmaksızın radikal reformların, rekabetçi kapitalist bir sistemin gelişmesine engel olacağı düşünülmektedir. Çünkü özelleştirme, piyasalaşma ve rekabetin oluşması, sadece "takas"a (değiş-tokuş) indirgenen bir ekonomide tasarlanamayacaktır. Ayrıca söz konusu strateji taraftarlarına göre reform programının uygulanması, asgari yaşam standartlarının oluşturulmasını gerekli kılmaktadır, aksi takdirde tüm toplumun sosyal dokusu risk altında olacaktır. Bu nedenle, reform programını zorlamadan ziyade, gönüllülük ve özgür seçim prensibine dayanan bir sosyal uzlaşmayı (konsensus) temin etmesi gerekmektedir (Marangos, 2005).

Aşamalı geçiş stratejisi taraftarlarına göre, bu süreçte demokrasiyi ve reformları engelleyen olumsuz etkiler örnek olarak işsizlik, yolsuzluklar, servetin eşitsiz bir şekilde dağılması vb. olumsuzluklar şok terapinin getirdiği sonuçlardır (Marangos, 2002). Şok terapiden aşamalı geçişin farkı başlangıç koşullarına büyük anlam verilir.



Neoklasik geçiş stratejilerinde yapılacak reformların hızı önem taşımaktadır. Aşamalı geçiş taraftarlarına göre reformlar sıralı bir şekilde uygulanmalıdır. Bu modele göre liberalizasyona başlamadan önce, ekonomik, politik ve kurumsal düzenlenmeler yapılmalıdır. Aynı zamanda neoklasik aşamalı geçiş strateji taraftarları, geçiş sürecinin acil ve hızlı şekilde değil minimum şok etkisi olmasını vurgulamışlar. Bu bağlamda, şok terapi stratesine yönelik oluşan itirazların sebebi, hızlı ve tüm sistemi yeniden yapılandırmasıdır (Güler, 2012).

Bilimsel çalışmalara baktığımız zaman geçiş ekonomilerinde en çok tartışma konusu reformun sürecidir. Aynı şekilde yapılacak reformların sıralamasıda önemli unsurlardan birisidir. Reformların uygulama şekili tartışma konusudur, hangi şekilde yapılacak radikal mı yoksa aşamalı bir şekilde mi, aynı zamanda reformun süreside önem taşımaktadır.

Aşamalı stratejisi taraftarlarına göre, merkezi planlama sisteminden sonra piyasa ekonomisinin oluşturulması doğru olmayan bir yaklaşımdır. Genellikle problemlerin ortadan kaldırılması yerine daha fazla sorunlar ortaya çıkarmaktadır. Aşamalı geçiş modeline göre bir gecede merkezi planlama sisteminin ortadan kaldırılması ve serbest piyasa ekonomisine geçiş gerçek olmayan bir yaklaşımdır. Toplumun büyük bir kısmını iyi bir şekilde etkileyecek bir reform uygulanması rasyonel bir adım olacaktır. Geçiş ekonomilerinde gerçekleştirilen stratejilerle ilgili çalışmalarda birçok iktisatçılara göre, problemler sadece ekonomik olmadığını gibi, politik olduğunu belirtmişlerdir. Bununla birlikte reformlar uygulandığı zaman oluşan problemler, politik sürecin etkisiyle olduğu vurgulanmıştır.

Şok Terapinin Gürcistan'daki Uygulanan Versiyonu

Gürcistan'da piyasa ekonomisine geçiş şok terapi modeli ile olmuştur. Bu model temelde talep daralması, fiyatların liberalleşmesi, paranın devalüe edilmesi, makro-ekonomik istikrar sağlamak, ekonomik eylemleri artırmak gibi şeyleri kapsar (Balcerowicz, 2014). Bu model 1990 yılında Leszek Balcerowicz tarafında Polonya'da uygulanmıştır. Şok terapisi dönüşüm biçimini simgeler, bir radikal yaklaşım gerektirir. Aynı zamanda kapsamlı bir program, hızlı uygulama, istikrar ve dönüşüm hedefler. Buna ilaveten tekellerin tasfiyesi gibi reformlarda uygulanır.

Polonya'da başlatılan istikrar ve liberalizasyon programı, daha sonra birçok Doğu Avrupa ülkelerinde, Rusya Federasyonu ve Gürcistan'da benimsenmiştir. Birçok gözlemci geçiş ekonomilerini incelediklerinde, ülkeler geçiş stratejisini seçtikleri zaman, politik koşullara ve içinde bulundukları ekonomik durumdan ileri



gelmeden strateji belirlediklerinden dolayı sorunlarla karşı karşıya kaldıklarını savunmuşlar.

Gürcistan'da merkezi planlamadan piyasa ekonomisine geçiş 1991 yılında başlamıştır. Merkezi planlamadan piyasa ekonomisine geçiş Polonya modelinden esinlenerek "şok terapi" (big bang) uygulanmıştır. Şok terapinin Gürcistan'da uygulanması Rusya'yla aynı döneme denk geliyor o dönem Rusya başbakan yardımcısı Y. Gaidar şok terapinin uygulanmasını yürütmekle görevlendirilmiştir. Bu terapiler her ne kadar reform adı taşısa ve Polonya'dan esinlenerek hazırlansa da tam anlamıyla kopyalanarak Gürcistan'da uygulanmıştır (Papava, 2011).

Geçiş ekonomileri üzerine uzmanlaşan iktisatçılar, farklı ülkelerde farklı ekonomik modellerin uygulandığını belirtmişlerdir. Reformlara başlamadan önce dikkat edilmesi gereken şeylerden birisi de ülkenin içinde bulunduğu durumdur. Uygulanacak modelin başarısı buna bağlıdır.

Reformlar Neden Başarılı Olmadı?

Gürcistan'da fiyatların serbestleşmesi 1991 yılının ilkbaharında başlamıştır. Bazı ürünlere ve hizmetlere fiyatlar serbest bırakılırken bazılarında fiyatlar aynı kalmıştır. Suni olarakda fiyatlar yüksek tutulmuş, amaç piyasayı dengede tutmaktır (Papava, 1996). Gürcistan'da vergi düzenlemelerinin yapılması 1991 yılında başlamış ve dünyada olduğu gibi halada devam etmektedir. 1992 yılında Gürcistan'ın kendi ulusal para birimi bulunmamaktaydı, dolayısıyla Balcerowicz'in önerdiği reformun bu maddesinin uygulanması mümkün değildi.

1992 yılında, ithal mallar için %2, ihraç edilen mallar için %8 oranında genel gümrük tarifeleri getirilmiştir. Böyle bir politika ithalatı kısıtlayamadı ve ihracatı teşvik etmedi, bu nedenle Balcerowicz'in planının bu paragrafı da açıkça Gürcistan'da uygulanmadı. 1992 yılında mevduat faiz oranı yıllık olarak %2 den %5 yükselmiştir, 10 yıllık mevduat faiz oranıysa %9 dan %80 yükselmiştir. Ancak faiz oranlarındaki bu artış, gerçek enflasyon oranını çok gerisinde kalmıştır. Buna ilaveten Gürcistan'da para arzının kısıtlanması kolay olmamış, çünkü ülke kendi para birimine sahip değildi hala SSCB dağılmadan önce kulanılan para birimi rubli kulanmaktaydı (Grigorev, Kondratev and Salixav, 2008). 1992 yılında devlet harcamaları devlet bütçesinden azaltılmıştır. 1992 yılıyla 1991 yılını kıyaslarsak sübvansiyonlar 5.1 defa artmıştır, dolayısıyla reformlar uygulanma şekli Balcerowicz planının başarısızlığını vurguluyordu.

1992 yılında ilk defa Gürcistan'da rekabeti teşvik eden yasalar kabul edilmiştir. Yasalara rağmen eski sistem yinede devam etmekteydi. Yukardada görüldüğü



gibi yapılan reformların çoğunluğu hayata geçirilmemiştir. Tüm reformlar için kararlar alınmış ancak uygulamaya geldiği zaman uygulanmamıştır. Bazı reformlarda kurumların olmadığından uygulanması mümkün olmamıştır. Oluşan koşullara bakıldığında sadece fiyatların liberalizasyonu, kopyalanmış bir şok terapi modeli ülkenin ekonomik durumunu iyileştirmeye yeterli olmamıştır (Papava, Tapledzi and Gegeshidzi, 2015). Diğer bir ifadeyle, gerekli devlet kurumlarının olmaması taktirinde piyasa ekonomisine geçiş başarısızlığa mahkumdur. Bu durumda yapılacak olan ilk şey kendi devlet kurumların kurulması olmalıydı. Burada belirtmek gerekirken ülke 70 yıla yakın bir süre SSCB'nin bir parçası olduğu için piyasa ekonominin nasıl çalıştığını bilmesinden dolayı yanlış kararlar alınmıştır.

1993 yılında yapılması gereken reformlar ertelenmiştir bunun sebebi ülkede iç savaşın çıkmasıydı. O dönem ülkede ardı ardına iki iç savaş olmuştur. İlk önce Abxazya'da başlayıp daha sonra Osetya'da devam eden savaşlar. Ülke ekonomisi bu duruma hazır değildi. Savaşlar devlet bütçesini ciddi bir şekilde etkilemiş, ortaya çıkan açığı kapatmak için tek yol para basımı olmuştur. Sonuç olarak ardın ardına para basımı hiperenflasyonu tetiklemiş ve duruma daha da kötüleştirmiştir.

O dönem Gürcistan'da ardı ardına yanlış kararlar alınmıştır. 1992 yılında mahkumlara af çıktı, çünkü ülkenin ordusu yoktu. Savaşta savaşacak asker olmadığından mahkumlar serbest bırakıldı. Dolayısıyla durum daha fazla zorlaştırmıştı. Ülkede suç sayısı artması, birçok iş adamının ülkeyi terk etmesi sebeb olmuş ve bu da sermaye çıkışına sebeb olmuştur. O dönem mafyanın ortaya çıktığı, bu kişiler ülkedeki karışıklıktan faydalanarak komşu ülkelerden ülkeye uyuşturucu sokup ve uyuşturucu ticaretiyle uğraşıyorlardı (Papava V. , 2011).

1990'ların başında Gürcistan'da üretim dışı olan fabrikalar vardı, ülke ürün üretemiyordu. Üretmeyen bir devlete fiyatların serbestleşmesi ne kadar doğru olabilirki. 1993 yılın ilkbaharında, Gürcistan devleti yeni para birimi olan kupona geçmiş, gerekli ön hazırlıklar olmadan atılan bir adım olmuştur. Bu adımı tetikleyen sebeplerden birisi Rusya Federasyonunun'dan artık para birimi gelmemesi olmuştur. Kupon yazıf bir para birimi olduğu için konvertible edilmesi zor oluyor ülkede enflasyon, işsizlik hızlı artmış, yolsuzluk, bütçe açığında hızlı bir artış, mafya klanlarının artması yaptıkları her suç cezasız kaldığı için suç oranının artması, zayıf hükümet düzenlemeleri ve en sonunda sınırsız emisyon kendisiyle birlikte hiperinflasyona yol açtı. 1993 yılının ikinci yarısında, enflasyon oranı aylık %60-70 ulaştığı görülmektedir. 1994 yılının



sonbaharında 1 dolar 2,5 milyon kupona eşiti, enflasyonsa %7830 ulaşmıştır (Gosiridze, 2008). Buna ilaveten savaş nedeniyle o dönemde sayısız mülteci ordusu ortaya çıkmış, ülke ekonomisi tam anlamıyla felç bir duruma gelmiştir. Aynı zamanda, “kara pazar” hızla gelişmiş, bu da nüfusun biyolojik sorunlarına çözüm bulma yoluydu.

1994 yılında ülke sorunların arda arda kesilmemesi nedeniyle makroekonomik istikrarın sağlamsı için özel program ele alınmıştır. Uluslararası Para Fonu ve Dünya Bankası ile işbirliği, yeniden farklı bir düzeyde başlanmıştır. Onların stabilizasyon programının benimsenmesi ve uygulanması için maddi destekleri çok büyüktü. 1995 yılından Gürcistan devleti her yıl meclis tarafından onaylanan bir bütçe sistemine geçmiştir. 1994'ün sonlarında, Ulusal Banka sıkı bir para politikası uygulamaya başlamış, bu da hiperenflasyonu yavaşlatmaya ve parasal reformun uygulanması için nesnel koşullar yaratmayı mümkün kılmıştır. Bu dönemde yıllık enflasyon %50'yi biraz aşmıştır. 1995 sonbaharında, ulusal para birimi olan lari, tek ödeme aracı olarak açıklanmış, dolara karşı döviz kuru 1\$-1.3'leri i olmuştur. Üretimdeki düşüş, beş yıllık ekonomik durgunluğun yerini büyüme ile değişmiş, 1995 yılında %0.4 15 olduğu görülmektedir (Asatiani, 2009).

Gürcistan'da 1995 yılının sonunda önemli değişiklikler başlamış şok terapi yeniden yalandırılarak uygulanmıştır. Bu süreç, ülkedeki ekonomik reformların ikinci aşamasının başlangıcı olmuştur. O dönemden günümüze, makroekonomik istikrarın bu ortodoks yönü ülkenin ekonomi politikasının temelini oluştur. Ekonomide daha sonra geliştirilen sosyo-ekonomik fenomenler ve süreçler bu modelle uymaktadır. Özellikle, sıkı maliye politikası sonucu devlet bütçe açığı düşürülmüş, vergi sisteminden düzünlemeler yapılmış, sübvansiyonlar kaldırılmıştır. Sıkı maliye politikasını “pahalı para” olarak bilinen para politikasının sıkılaştırması izlemiştir (Asatiani, 2009).

Enflasyona karşı uygulan politikalarından biriside para arzının sıkı bir şekilde sınırlandırılması ve bununla birlikte bankalararası rezerv oranını artırmak olmuştur . İkincisi, ticari bankaların rezervlerini ve buna bağlı olarak para çarpanını otomatik olarak azaltırmıştır. Pahalı para politikasının temel hedefi, para arzını keskin bir şekilde sınırlayarak ve lari döviz kuru dengeleyerek enflasyonu bastırmaktır. Yapılan organizasyonel ve ekonomik önlemlerin sonucu olarak, enflasyon süreçlerini düzenlemek mümkün olmuştur. Gösterge niteliğindeki planın kabul edilmesi, ülkeyi ekonomik krizden çıkarmada bir adımdır.



Sonuç

1990'lı yıllarının başında SSCB'nin dağılmasıyla Gürcistan devleti için yeni bir dönem başlamıştır. Gürcistan merkezi planlama sisteminden piyasa ekonomisine geçmiştir. Gürcistan devleti piyasa ekonomisine geçmek için şok terapi stratejisini seçmiştir. 1990'ların başında ilk aşama, ekonomik reformların başladığı dönem olarak adlandırıldığı görülmektedir. Gürcistan Doğu Avrupa ve Rusya ülkelerinden farklı olarak bağımsızlığını kazandıktan sonra iki sorunu çözmek zorunda kalmıştır "şok terapi" uygulanmasıyla birlikte kendi devlet kurumlarını oluşturmalıydı. Devlet kurumlarının, kendi para sisteminin ve ulusal para biriminin olmaması (ülke hala ruble bölgesinde olması eski Sovyetler Birliği'nin Rus rublesini kullanmaktaydı) bunlar şok terapinin engeleyen süreçler olmuştur. Şok Terapi "Balcerowich'in planı" adlı modelin Polonya'da daha sonra Rusya'da uygulanan modelin kör kopyalanmanın bir sonucudur. Temelde sadece fiyatların liberasyonu yetersiz kalmıştır. Tanınmış Amerikan ekonomist ve sosyolog John Galbraith'e göre reformlar hükümet ve yaslarla değil, bizim ekonomik sisteme bakış açımızla başlar. Rozeta Asatiani Gürcistan'da geçiş dönemiminin zorlukları sadece komuta sisteminde yaşamak ve psikolojik stereotiplerin ağır sonuçlarıyla değil, aynı zamanda bilgi eksikliği ile de ilişkili olduğu belirtiyor. Ürün yetersizliğiyle birlikte ülkede reform yapacak insan kıtlığı vardı. Batılı devletlerin iyi bildiği ama Gürcü halkının daha yeni karşı karşıya kaldı problemler. Ekonomik kaostan organize bir ekonomik sistem yaratmak, özel bilgi ve profesyonellik gerektirir (Asatiani, 2009).

Gürcistan'ın ekonomik reformlara başarısız başlamasının sebeplerinden birisi de ülkede başlayan iç savaşlardır. Bu olayların ülkenin ekonomisine onarılmaz bir zarar verdiği görülmektedir. Gürcistan gibi hiçbir ülke piyasa ekonomisine geçiş dönemine bir yıkım karşısında başlamadı.

Merkezi planlamadan piyasa ekonomisine geçiş kolay olmayan bir süreçtir. Gürcistan bu modelin en iyi örneğidir, ekonomik modeli doğru şekilde uyguladığımız takdirde olumsuz sonuçlar yaratır. Çalışmada daha yakından incelenen Gürcistan ile, geçiş sürecini yönlendiren politikaların doğru veya yanlış şekilde uygulandığındaki sonuçlarını görmek mümkün olmuştur.



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The Impact of Economic Globalization on Bank Profitability in Sub-Saharan Africa

Ibrahim Nandom Yakubu*

Abstract: One of the key features portraying financial development is the growth in the number of banks and other financial institutions in a nation. This paper analyses the impact of economic globalization on bank profitability in Sub-Saharan Africa using a panel of 40 banks from 10 countries for the period 2008-2016. Based on KOF Globalization Index, the study uses financial globalization and trade globalization as measures of economic globalization. Bank-specific and macroeconomic factors are also included as control variables. Employing the two-step system generalized method of moments (GMM) analytical technique, the findings show that financial globalization and trade globalization exert a negative significant effect on bank profitability. This signifies the intense competition among banks in Sub-Saharan Africa. The results further establish that real GDP growth and inflation impact positively and significantly on bank profitability. Bank size also shows a positive effect on profitability albeit insignificantly. Given the negative relationship between economic globalization and bank profitability, it is crucial for Sub-Saharan African banks to ensure optimal utilization of their resources. Efficient policies geared towards improving macroeconomic factors, particularly real GDP growth are essential for enhancing the profitability of banks in Sub-Saharan Africa.

Keywords: Economic Globalization, Bank Profitability, Panel Data, Sub-Saharan Africa.

* Ankara Yıldırım Beyazıt University, Banking and Finance.
Contact: kassiibrahim@gmail.com



Introduction

Globalization has been a key issue in both economy and society which influence has been manifested in terms of information technology, external trade, capital flows, international migration, etc. Sufian and Kamarudin (2016) defined globalization as the integration and interaction of national economies which activities involve individuals and institutions. According to Rupali (2008), globalization is seen as the level of openness to global markets by national economies.

For the various sectors of the economy, globalization has made it possible to gain access to external markets and resources which has impacted significantly on economic growth and development. Over the years, the performance of most countries in Africa especially Sub-Saharan Africa has been much influenced by their interactions with other nations. One of the key areas seeing rapid growth in globalization in Africa is the banking sector. There has been a revolution of the banking industry in most countries in Sub-Saharan Africa due to globalization. This has been facilitated by advanced information technology and bank consolidation. Though banking reforms have been an existing phenomenon worldwide since 1980's, it has become more intensified owing to financial globalization (Adegaju & Olokoyo, 2008). The financial liberalization has led banking sector regulators to introduce effective regulatory reforms, and banks to increase their participation in varied financial services. However, the global financial crisis has scathed the banking system in both advanced and emerging economies which resulted in decline in banks' profitability. Owing to this, research on bank profitability especially its determinants has received much interest from researchers, bank management and regulators. Ample literature exists scrutinizing the factors influencing bank profitability, ranging from country-specific (for example Vong & Chan, 2009; Davydenko, 2010; Anbar & Alper, 2011; Dietrich & Wanzenried, 2011; Sufian & Habibullah, 2012; Roman & Danuletiu, 2013; Al-Jafari & Alchami, 2014; Yakubu, 2016) to panel studies (see Sufian, 2012; Masood & Ashraf, 2012; Goddard et al., 2013; Menicucci & Paolucci, 2016; Djalilov & Piesse, 2016).

Despite the vast empirical studies, discussions surrounding the drivers of bank profitability has been linked to bank-specific and macroeconomic factors. Scanty attempts have been made to investigate how globalization influence bank performance, especially in Africa. Though few studies exist on globalization-bank performance nexus with different proxies of globalization, this paper takes a unique approach by employing the KOF economic globalization index



(financial and trade globalization) to assess its effect on bank profitability in Sub-Saharan Africa. The study makes two contributions to literature. First, from the extant literature review, this paper presents a pioneering work on the impact of economic globalization on bank profitability in Sub-Saharan Africa. Second, the study models economic globalization, bank-specific and macroeconomic factors in a single equation using a more recent data of 40 banks from 10 Sub-Saharan African countries.

The rest of the paper is organized as follows: section two reviews related literature. Section three outlines the methodology. The fourth section presents the empirical results, and section five concludes the paper with recommendations.

Literature Review

Given the significance of globalization in economic development, several studies have been conducted in different jurisdictions on the impact of globalization including its pros and cons. Notwithstanding the vast literature on the effects of globalization, its influence in the financial service industry is rarely discussed. In this section, previous studies on the impact of globalization, bank-specific, and macroeconomic factors on bank profitability are discussed.

The Impact of Globalization on Bank Profitability

The impact of globalization on bank profitability is least documented in the literature. Among the few studies are discussed below. Denizer et al. (2007) assessed how financial liberalization affects bank efficiency in Turkey. Applying the Data Enveloping Analysis with data spanning 1970 to 1994, the study found liberalization policies to have insignificant effect on banking efficiency. They further established that banking efficiency is negatively affected by macroeconomic instability. Similarly, Hermes and Nhung (2010) analyzed the effect of financial liberalization on bank efficiency in Latin America and Asia for the period 1991-2000. With over 4000 bank year observations, evidence from the Data Envelopment Analysis (DEA) showed that financial liberalization programmes positively influence bank efficiency.

Guesmi et al. (2012) assessed the impact of financial globalization on the performance of banks in Jordan for the period 1986 to 2010. Invoking the ordinary least squares regression analysis on bank-level data, the findings posited that financial globalization (measured by reduction of credit control and entry barriers, and regulatory effectiveness) negatively affect bank performance.



In the Indonesian banking sector, Sufian and Habibullah (2012) assessed the relationship between globalization and bank performance over the period 1999 to 2009. Applying the Data Enveloping Analysis with different dimensions of globalization, the study found a positive significant relationship between political globalization, cultural proximity, actual flows and bank performance. Globalization in terms of trade, however, showed a negative relationship with bank efficiency.

Sufian et al. (2012) empirically examined the effect of globalization on banking sector efficiency in Malaysia for the period 1999 to 2012. Using the bootstrap regression analysis while controlling for bank-specific and macro-economic factors, the study found that social globalization (in terms of information flow, personal contacts, and cultural proximity) significantly enhance bank efficiency in Malaysia.

Using Central and Eastern European countries, Andries and Capraru (2013) examined the effect of financial liberalization on bank performance covering 17 countries with data spanning 2004 to 2008. Results from the partial least squares and fixed effects analysis established that interest rate liberalization and financial openness positively enhance banks cost efficiency and performance.

Sufian and Kamarudin (2016) investigated the impact of globalization on the performance of South African banks. Taking into account bank-specific and macroeconomic factors, the study employed the generalized methods of moments (GMM) analysis on commercial bank data spanning 1998 to 2012. The results established that bank profitability is positively driven by greater economic integration and trade flows, with political and social globalization dampening profitability.

In a comparative study, Ghosh (2016) analysed the effect of banking sector globalization on bank performance in selected emerging markets and advanced economies for the period 1998 to 2013. Applying the fixed effects and generalized methods of moments (GMM) techniques, the study reported that in emerging markets and countries with a greater number of foreign banks, banking sector globalization has a positive effect on bank profitability.

Employing panel data analysis, Okanta and Ogbonna (2017) investigated the impact of globalization on commercial bank performance in Nigeria for the period 1986 to 2015. Foreign private investment policy, exchange rate policy, and foreign trade policy were used as measures of globalization. The study found that foreign private investment and exchange rate policy have a significant influence on banks performance. The study, however, revealed an insignificant relationship between foreign trade policy and bank performance.



Nguyen and Nguyen (2018) critically analysed the relationship between globalization and bank performance in Vietnam employing bank-level data spanning 2007 to 2014. Using panel analytical approach with random effects, the study found that social globalization (measured by information flow and restriction index) have significant positive effect on bank performance. Political globalization and cultural proximity, however, showed a negative significant impact on bank performance.

The Impact of Bank-Specific and Macroeconomic Factors on Bank Profitability

Several studies have examined how bank-specific and macroeconomic factors affect bank profitability. For instance, Anbar and Alper (2011) studied the impact of bank-specific and macroeconomic factors on the profitability of Turkish banks over the period 2002 to 2010. Applying the fixed effects analytical technique, the study found that bank non-interest income and asset size have positive significant effect on profitability. The findings also reported that real interest rate as a macroeconomic factor negatively and significantly influences bank profitability.

Owoputi et al. (2012) on the impact of bank-specific, macroeconomic and industry-related factors on bank profitability applied the random effects model on panel data covering 1998 to 2012. The results found that capital adequacy, bank deposit, and size have significant positive impact on profitability. In terms of macroeconomic factors, interest rate and inflation exhibited a significant negative effect on bank profitability.

In Pakistan, Riaz and Mehar (2013) analysed how bank-specific and macroeconomic factors influence bank profitability. Employing data of 32 commercial banks spanning 2006-2010, the study found a significant influence of asset size, credit risk on profitability. Interest rate and inflation showed a negative significant effect on profitability while GDP established a positive insignificant impact on bank profitability.

Using the generalized methods of moments (GMM) analytical technique, Hasanov et al. (2013) analysed the impact of bank-specific and macroeconomic factors on bank profitability in Azerbaijan for the period 2012 to 2017. The study concluded that capital adequacy ratio, bank loans, bank size, inflation have a positive effect on bank profitability. On the other hand, interest rate and bank deposit have negative impact on profitability.

Abdullah et al. (2014) assessed the effect of bank-specific, macroeconomic and industry factors on bank profitability in Bangladesh using return on assets (ROA) and net interest margin (NIM) as profitability measures. The study found



bank size and capitalization to significantly influence profitability irrespective of the profitability measure. The results also established a significant effect of inflation on profitability (NIM).

Saeed (2014) investigated the impact of bank-specific and macroeconomic factors on bank profitability in the United Kingdom before and after the global financial crisis in 2008. Applying panel regression analysis on data obtained from Bankscope for 73 commercial banks in the UK, the empirical findings evidenced a positive effect of bank-specific factors (such as bank size, liquidity, capital adequacy ratio, loans) on profitability. Regarding the macroeconomic factors, interest rate showed a positive impact on profitability while inflation and the level of economic activity (GDP) exhibited a negative effect on profitability.

Applying the ordinary least squares regression method, Yakubu (2016) assessed the relationship between bank-specific and macroeconomic factors on the profitability of commercial banks in Ghana for the period 2010 to 2015. The results posited that bank size, expense management, and liquidity have a positive significant effect on profitability. Macroeconomic factors such as GDP and inflation and profitability showed a negative insignificant relationship while real interest rate had a positive effect on bank profitability though insignificant.

Employing data covering the period 2010 to 2015 of 16 commercial banks in Nigeria, Ebenezer et al. (2017) found that capital adequacy level, bank liquidity, and GDP growth have a positive significant effect on bank profitability.

Methodology

Source of Data

The study employed data from 40 banks operating in 10 Sub-Saharan African countries spanning 2008 to 2016. The bank-level data were obtained from the annual reports and financial statements of the selected banks. Data for the economic globalization indices were gleaned from the 2018 KOF Globalization Index established by Dreher (2007) which was further updated by Dreher et al. (2008). The macroeconomic level data were sourced from the World Development Indicator database by the World Bank and International Monetary Fund.



Selection of Variables

Dependent Variable

In the literature bank profitability is commonly measured by return on assets (ROA), return on equity (ROE) and net interest margin (NIM). Following the works of Yakubu (2016) and Sufian and Kamarudin (2016), this paper employs return on assets (ROA) as a measure of bank profitability. Hassan and Bashir (2003) argued that ROA critically assesses the ability of bank management to utilize resources (both real investment and financial) to generate returns.

Measures of Globalization

To analyse the effect of economic globalization on bank profitability, two sub-indices of economic globalization are included; financial globalization (FINGLO) and trade globalization (TRAGLO). The globalization indices are measured on the scale of 1 – 100, where a score of 100 indicates greater level of globalization.

Bank-Specific and Macroeconomic Variables

The significance of bank-specific and macroeconomic factors on bank profitability has been demonstrated in the empirical literature. This paper included bank size (BSIZE) as a bank-specific factor to establish its impact on profitability. Bank size is measured by the natural log of total assets. This measure takes into account any possible cost advantage (for example economies of scale) associated with bank size (Sufian & Kamarudin, 2016).

To control for the macroeconomic effect, GDP growth which measures the level of economic activity and inflation are used as macroeconomic variables. GDP growth (GDPG) is proxied by annual growth rate of GDP per capita whereas the consumer price index measures inflation rate (INF).

Model Specification

Profitability measured by return on assets (ROA) is used as the dependent variable. To deal with the issue of serial correlation, the study introduced the lagged value of profitability (ROA_{t-1}) in addition to the independent factors (FINGLO, TRAGLO, BSIZE, GDPG, and INF). This approach assumes that the previous level of bank profitability may have an effect on the current profitability level.



The following model is therefore constructed:

$$ROA_{it} = \alpha + \gamma ROA_{i,t-1} + \beta' X_{it} + v_i + \varepsilon_{it} \quad (1)$$

where i and t subscripts signify bank and year respectively. The constant is denoted by α whereas β is the vector of coefficients. $\gamma ROA_{i,t-1}$ indicates the lagged dependent factor and X_{it} denotes the vector of independent variables (FINGLO, TRAGLO, BSIZE, GDPG, and INF). v_i is the unobservable bank characteristics, and ε_{it} specifies the error term.

Equation (1) could be restated as follows in order to estimate the model:

$$ROA_{it} = \alpha + \beta_1 ROA_{i,t-1} + \beta_2 FINGLO_{i,t} + \beta_3 TRAGLO_{i,t} + \beta_4 BSIZE_{i,t} + \beta_5 GDPG_{i,t} + \beta_6 INF_{i,t} + \varepsilon_{i,t} \quad (2)$$

Estimation Method

The study employs a panel data analytical approach based on the generalized methods of moments (GMM) developed by Arellano and Bover (1995). This approach is used because the lagged dependent variable introduced in the model makes the other traditional panel data estimators such as pooled OLS, fixed and random effects biased. Also, considering the number of banks, which is greater than the time period ($N > T$), applying the GMM technique is suitable (Roodman, 2009). To ensure the validity of instruments, the Hansen test of overidentifying restrictions is carried out. In investigating the existence of a first-order and second-order autocorrelations in the first differential errors, the Blundell and Bond (1998) test is performed. The study also tested for multicollinearity issues using correlation analysis and the variance inflation factor (VIF) and tolerance statistics.

Empirical Results

Descriptive Statistics

The descriptive statistics of all the variables are presented in Table 1. Profitability (ROA) has an average of 0.083 with a standard deviation of 0.0807. The mean values of financial globalization (FINGLO) and trade globalization (TRAGLO) are 46.709 and 43.811 respectively. This signifies that the selected countries on average are less economically globalized. Bank size (BSIZE) has a mean value of 10.316 indicating the small size of Sub-Saharan African banks. The average of GDP growth (GDPG) is 5.958 with standard deviation of 5.301, while domestic macroeconomic instability



(INF) is averaged at 10.045. Given the low standard deviations of the variables relative to their respective averages is an indication of low coefficient of variation.

Table 1. Descriptive Statistics

Variables	Obs.	Mean	Std. Dev.
ROA	360	0.083	0.0807
FINGLO	360	46.709	11.580
TRAGLO	360	43.811	11.399
BSIZE	360	10.316	3.292
GDPG	360	5.958	5.301
INF	360	10.045	7.587

Correlation and Multicollinearity Analysis

Table 2 presents the correlation analysis and the results of the variance inflation factor. Kennedy (2003) posited that variables with coefficients exceeding 0.80 present multicollinearity issues. From the correlation analysis, however, the coefficients of all the explanatory variables are below Kennedy's benchmark, signifying that there are no multicollinearity problems. To confirm further the absence of multicollinearity, the variance inflation factor (VIF) and tolerance test were conducted. Based on Gujarati (2003) criteria of acceptance, which states that variables with VIF values exceeding 10 and tolerance of less than 0.10 are perceived to exhibit multicollinearity issues. The analysis shows that all the variables are within the limits of the VIF and tolerance estimates, indicating zero multicollinearity in the study.

Table 2. Correlation Matrix and Variance Inflation Factor

Variables	FINGLO	TRAGLO	BSIZE	GDPG	INF	VIF	Tolerance
FINGLO	1.000					2.30	0.435
TRAGLO	0.739***	1.000				2.23	0.448
BSIZE	-0.121**	-0.107**	1.000			1.22	0.818
GDPG	-0.280***	-0.278***	0.197***	1.000		1.13	0.884
INF	-0.254***	-0.185***	0.403***	0.150***	1.000	1.26	0.795
INF	360	10.045	7.587	7.587	7.587	7.587	7.587

*** p<0.01, ** p<0.05, * p<0.1



Regression Analysis

The study employs the two-step system GMM with robust standard errors to examine the relationship between the selected variables and bank profitability. Before presenting the empirical findings, it is essential to discuss the diagnostic test results. From Table 3, the result of the Hansen test for overidentifying restrictions shows that the instruments used are valid and appropriate. The value of the Arellano–Bond AR (2) test also suggests the absence of second-order autocorrelation. The Wald-test signifies the fitness of the model.

Table 3. Two-step System GMM

Variables	GMM Estimates
ROAt-1	-0.0020 (0.1140)
FINGLO	-0.0012*** (0.0004)
TRAGLO	-0.0009* (0.0005)
BSIZE	0.0016 (0.0058)
GDPG	0.0031** (0.0015)
INF	0.0012* (0.0007)
C	0.1340** (0.0535)
Wald-test χ^2 (6) (Pro.> χ^2)	20.42(0.002)
Hansen-test (Prob. Hansen)	33.77 (0.173)
AR(1) z (Prob.> z)	-1.095 (0.273)
AR(2) z (Prob.> z)	0.352 (0.723)
Observation	280
Number of Banks	40

*** p<0.01, ** p<0.05, * p<0.1 Robust Standard errors in parentheses



From the regression output, financial globalization (FINGLO) has a negative significant effect on bank profitability, implying that capital market and banking sector openness decrease profitability. This can be plausibly attributed to the increasing presence of foreign banks in Sub-Saharan Africa which generates competition among banks. Similarly, trade globalization exerts a negative significant impact on profitability. This indicates that trade integration does not motivate bank profitability in Sub-Saharan Africa. The findings clearly explain that economic globalization may bring more harm than benefit to banks operating in Sub-Saharan Africa.

The empirical findings reveal a positive insignificant influence of bank size on profitability, confirming the findings of Sufian and Habibullah (2009), Owoputi et al. (2012) and Yakubu (2016). The result can be interpreted as evidence of greater market power possessed by larger banks through their diverse branch networks. Besides, compared to small banks, large banks are able to undertake extensive research and development. This enables them to provide unique products and services to their clients, and hence increase profitability.

Consistent with other empirical results (for instance Riaz & Mehar, 2013; Sufian & Kamarudin, 2016) GDP growth is found to have a positive significant impact on profitability. This lends support to the argument that a higher level of economic activity boost business performance (Yakubu, 2016).

Interestingly, inflation has a positive significant effect on bank profitability. This suggests that high inflation rates in Sub-Saharan Africa are not detrimental to banks performance. This, however, opposes economic rationality, as higher inflation rate tends to distort business activities (Khan & Mitra, 2014).

Conclusion and Recommendations

The paper examines the impact of economic globalization on bank profitability in Sub-Saharan Africa. Unlike other empirical studies, this paper considered two key measures of economic globalization to assess how they affect bank profitability while controlling for bank-specific and macroeconomic factors. The findings suggest that economic globalization (in terms of financial and trade) decreases bank profitability in Sub-Saharan Africa, reflecting the intense competition of banks in the region. The study also found that bank size, GDP growth, and inflation positively enhance bank performance.

The findings of this paper present significant policy implications for policy-makers and management of banks. Given the competitive nature of the banking



sector emanating from economic globalization, it is essential for bank managers to ensure prudent utilization of bank resources in order to remain competitive. In addition, banks can maximize returns by increasing their asset base. This can be achieved by establishing more branch networks. Efficient policies geared towards improving macroeconomic factors, particularly real GDP growth are essential for enhancing the profitability of banks in Sub-Saharan Africa.

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The Theory and Determinant of Exchange Rate: The Case of Turkey

Ismael Mohammed Nasir*

Abstract: This study aims to investigate the determinant of the exchange rate in turkey and the review of the theories of exchange rate determination. The dataset that we use in the analysis covers 52 quarters within the period 2006Q1- and 2018 Q4. In this research, the stationary analysis of the series is determined by the Augmented Dickey-Fuller Test (ADF) and the PP (Phillips-Peron test) unit root tests. The study employed the econometric analysis such as Vector Autoregressive (VAR) method and Johansen co-integration test to determine whether there is a long-term relationship between variables. The ADF and PP unit root test results show that the series is stationary at first difference (I1). According to Johansen co integration test results, it has been found that there is a long-run relationship between the variables involved in the analysis. From the Johansen normalization result in the long run Trade Openness, Real Gross domestic product and money supply have a positive impact while foreign direct Investment inflow and consumer price index has a negative impact on average Ceteris paribus. Finally, the results are consistent with exchange rate theories and some empirical studies.

Keywords: Exchange Rate Theory and Model, Exchange Rate Determinant, VAR, Johansen Co-Integration Analysis, Turkey.

JEL Codes: C32, C50, F30, F31.

* Necmettin Erbakan University, Social Sciences Institute, Economics, PhD Program.
Contact: ismepeace@gmail.com



Introduction

The global monetary system has developed enormously over the years. Countries have changed their exchange rate regimes to achieve the primary objective of exchange rate stabilization before 1870, the international monetary system was known as 'Double Standard' or 'Bimetallism' at a global level. Former bimetallism existed only with the sole legitimate tender for gold and silver. The gold standard was established in 1870 with the cooperation of countries as countries pegged their currencies to gold. The failure to follow the rules of the system, however, led to the system's failure. With the outbreak of the two World Wars in 1914 and 1939, stable exchange rate regimes had gone completely haywire (Burange et al., 2011).

The Bretton Woods system was established in 1944 and lasted about two decades. Basically, the system was the gold exchange standard. The system allowed the creation of two global institutions, first of all, the International Monetary Fund (IMF) to comply with international trade rules agreed upon financing and supplying credit services in their balance of payments to nations with acute difficulties. Second, for long run development assistance the International Bank for Reconstruction and Development (IBRD or World Bank) was established (Burange et al., 2011).

A big regional and international occurrence has induced changes in the exchange rate system. Clearly, the fall of the Bretton Woods regime was the result of pressure set up in a relatively rigid system of exchange rate regimes, followed by a sharp rise in dynamic structures (Rogoff, et al. 2003). After the Bretton Woods system collapsed in 1973, the regime of fixed exchange rates has been discarded and nations have been forced to fluctuate. Exchange rate instability has become an inherent fact of life for countries that follow a floating exchange rate regime. The instability of the exchange rate refers to significant variations in the equilibrium of the exchange rate or short-term changes in the long-term currency patterns (Oaikhnen & Aigheyisi, 2015; Giannellis & Papadopoulos, 2011).

The research is an analysis of a single country. Since there is a vast literature examining the impact of exchange rates on different macroeconomic aggregates such as economic growth, trade balances, domestic and foreign investments and capital flows. There is, however, little empirical evidence and an analysis of the triggers or determinants of the turkey exchange rate, it is anticipated that this study will contribute to existing literature and reveal certain policy implications. The goal of this analysis is, therefore, to examine the exchange rate determinant in Turkey for the period 2006Q1-2018Q2 covering 52 quarters and the review of

the theories of exchange rate determination. The study comprises of the following sections in order to achieve our goal: the next section provides theories and models of exchange rate, section three presents applied literature and empirical review on the exchange rate. While the fourth section presents data and econometric methodology, the fifth presents discussion and analysis. The final section concludes the paper.

Empirical Literature

There is a variety of empirical researches on various countries or groups of countries using time series data as well as panel data analysis and using different methodologies in the study on exchange rate determinants. In this section, the researcher tries to present some of the empirical studies investigating the exchange rate determinant in Turkey and other countries. As of the examination of our study, the main factors that determine the exchange rate are gross fixed capital formation, broad money growth, trade openness, real GDP per capita relative to trading partners, oil prices, fiscal expenditure, interest rate, and others.

In the empirical literature, Ahmed S. et al (2012) in the framework of the monetary approach examined exchange rate determinants for US Dollars for Pakistani Rupee using monthly data from January 1982 to April 2010 for Pakistan relative to the USA. In their study of PKR / USD exchange determinants in Pakistan, they used the ARDL approach to the co-integration and error correction model. The study revealed that Pakistan's stock of money, debt and foreign exchange reserves are all, in relative terms, significant determinants of the exchange rate between Pakistan's Rupee and the US Dollar. Empirical results also indicate that political instability has a significant negative impact on the value of the domestic currency.

Mustapha I, man et al. (2013) analyzed the case of real exchange rate determinants in Ghana by including inflation using time series data from 1985 to 2010, followed by an ARDL-Bounds Check (Auto-Regressive Distributed Lag) method to co-integration. Their results have shown that inflation to have a positive impact on the real exchange rate in the long term, but a negative impact in the short term. Their research also found that inflation in the short run depreciated the real exchange rate and appreciated the real exchange rate in the long run.

Edwards (1989) used a panel of twelve developing countries to develop a model for developing nations to clarify real exchange rate determinants. According to Edwards, some of the main (long-term) drivers of the real exchange rate are terms



of trade, level and composition of public consumption, controls on capital flows, controls on trade and investment, and technological progress and accumulative of capital and the short-run determinants of the real exchange rates are nominal exchange rate and domestic credit.

MacDonald and Ricci (2003) estimated the stability of South Africa's real exchange rate through a Johansen co-integration estimate. Their results revealed that the long-term behavior of South Africa's actual effective exchange rate can be addressed by relative GDP per capita (productivity), real interest rate disparities, real commodity prices (trade terms), trade openness, the fiscal balance and the magnitude of net foreign assets.

In a recent study, Sakanko and David (2017) analyzed the exchange rate determinants in Nigeria using time series data from 1980 to 2016 and using the Vector Error Correction Mechanism (VECM) to differentiate the long-run exchange rate determinants from their short-run determinants. Their study shows that openness to trade, capital inflows, changes in domestic price levels, interest rate differentials, government purchases of tradable and non-tradable products are the main long term determinants of the exchange rate in Nigeria, while changes in capital inflows, interest rate differentials and domestic price levels are the major short term determinants of the exchange rate in Nigeria.

Bernardina Algieri (2013) investigated the key determinants of the real effective exchange rate fluctuations in Russia during the transition period that began in the early 1990s and used Johansen's technique of co-integration (1991, 2000) to describe the long-term relationship between variables. In a time-series dimension, the researcher utilized five strands of empirical literature to explain the factors that drive the dynamics of the exchange rate. The study finding indicates a positive long-term co-integration relationship between the REX, productivity, the financial position of government and oil price, and a negative relationship with foreign reserves.

In a further recent study, Kilicarslan, Z, Z. (2018) studies exchange rate volatility determinant studies to determine factors that affect exchange rate volatility in Turkey for the period 1974 to 2016. The researcher used GARCH model to calculate the actual effective volatility of the exchange rate; the Johansen co-integration test are used to determine whether there is a long-term relationship among variables. In addition, the coefficients of the long-term relationship among variables are estimated by the FMOLS method. Results from the FMOLS method disclose that gross fixed capital formation (% of GDP), broad money growth (annual

%) and trade openness (% of GDP) positively affects significantly, whereas foreign direct investment (% of GDP), GDP (constant 2010 US\$), general government final consumption expenditure (% of GDP) negatively affects. The study concluded that the increase in domestic investment money supply and trade openness increases the real effective volatility of the exchange rate, while the increase in foreign direct investment, output and government spending also reduces the real effective volatility of the exchange rate

According to Tunaer (2018), The Empirical Test shows that the main determinants of Turkish real effective exchange rates are real GDP per capita compared to trading partners, oil prices, fiscal expenditure, and international openness. Regardless of assumptions, there is no significant long-term relationship between net foreign assets in Turkey and real exchange rates. The persistent improvement in productivity measurement (GDP per capita compared to key trade partners) is correlated with the pressure of appreciation of the exchange rate of equilibrium. Despite the decline in high productivity in 1997 and 1998, the exchange rate of equilibrium decreased. Despite the oscillations implied by fluctuating oil prices, due to strong productivity growth, the equilibrium exchange rate had an increasing trend in the 2000s.

Furman et al. (1998) analyzed the effects of the exchange rate in nine developing countries during 1992-98 on an increase in interest rate, inflation, and many non-monetary factors. Researchers found the high-interest rate to be correlated with a succeeding nominal exchange rate decline, but the impact was more pronounced in low-inflation countries than in high-inflation countries.

Klitgaard and Weir (2004) tried to explain the exchange rate changes in the short run by observing the net position of speculators. They claimed that interest rate, GDP and prices can be useful to predict the exchange rate in the long run; however, in the short run (daily basis) the behavior of speculators must be observed.

According to SIMBI et al (2016), examine the exchange rate determinants in an import-based economy such as Rwanda. The researchers selected the macroeconomic and certain elements of non-parity variables such as money supply (broad money), discount rate, trade balance, external government debts, and real gross domestic product to determine their effect on Rwandan exchange rate movement of Rwandan francs into United States dollars for the period ranging from 2000Q1 up to 2015Q4. This study found that broad money and trade balance continues to drive the long-term exchange rate of Rwandan francs.



Summing up the literature review, it is visible that worldwide evidence in favor of the exchange rate has risen over time with increased accessibility of data, enhanced econometric methods, and improvement in model specifications.

Theories and Models of Exchange Rate

The Theory of Exchange Rate

Today, mainstream exchange-rate theorists are in search of those conditions under which their Theories work best. Most have accepted that they are unable to explain short-term movements (a time horizon that can represent periods as long as a year) and have therefore moved to the long run as being most “economic.” *Of course, the theories do not test terribly well there, either, except for nations experiencing “pathologies”* (Taylor, 1995b: 28).

There are lots of theories of exchange rate determination. For the purpose of this study we used the top four theories of exchange rates. The theories are Purchasing Power Parity Theory (PPP), Interest Rate Parity Theory (IRP), International Fisher Effect (IFE) and Theory and Unbiased Forward Rate Theory (UFR) (Kumar, 2014).

Purchasing Power Parity Theory (PPP)

The theory says that exchange rates between currencies of two nations ought to be equal to the ratio of a fixed basket of goods and services to the price level of the two countries. The PPP theory specifies that exchange rates among currencies are in balance when the purchasing power for both countries is the identical. The foundation for Purchasing Power Parity is the one price “law.” This law state that when the domestic price level of a country rises in situations of equilibrium, the currency must drop in value (depreciate) in order to retain parity. This connection of parity is also known as absolute Purchasing Power Parity. A further edition, relative Purchasing Power Parity, specify that the rate of currency appreciation or depreciation is equal to the distinction in inflation rates among foreign and home countries (Taylor, 1995b:28).

Absolute purchasing power parity implies that the exchange rate is equal to the ratio of the two relevant national price levels. Relative purchasing power parity posits that changes in the exchange rate are equal to changes in relative national prices (Froot & Rogoff, 1995).

Purchasing power parity (PPP) has variously been viewed as a theory of exchange rate determination, as a short or long-run equilibrium condition, and as an efficient arbitrage condition in either goods or asset markets (Officer 1976; Frenkel 1976, 1978; Dornbusch, 1987a).

Interest Rate Parity

The interest rate parity or the covered interest parity theory states that the interest rate differential among two currencies will be reflected in the discount or premium for the forward exchange rate on the foreign currency if there is no arbitrage opportunity. The size of the forward premium or foreign currency discount must be equal to the country interest rate difference. The uncovered IRP states that the forward exchange rate should be an unbiased forecaster of the future spot exchange rate (Officer, 1976).

International Fisher Effect

The International Fisher Effect (IFE) says that the anticipated change in the current exchange rate between every two currencies is approximately equal to the disparity between the nominal interest rates of the two nations at that time (Officer, 1976).

The Model of Exchange Rate determination

Purchasing Power Parity (PPP) and monetary models have generated a huge amount of literature and empirical results among all of the theories of exchange rate determination; although their results were different and even sometimes controversial. This part looks at the theories and empirical evidence of PPP and monetary models.

Purchasing Power Parity Model

Purchasing Power Parity (PPP) is a theory of determining the exchange rate. It states that over any period of time the exchange rate among two currencies is determined by the change in the price levels of the two countries. As this theory identifies changes in price levels as the overriding determinant in the exchange rate of determination, it is also called the exchange rate inflation theory.

According to Cassel (1918) he noticed that the short-term exchange rate would differ from PPP and detected three disruptions that are an actual and expected inflation, trade barriers and shifts in international capital movements that could have caused these deviations. Moreover, he deduced that such shocks were temporary and did not evaluate the PPP differences.



According to Balassa (1964), among the many reasons why PPP deviation occurs, first, trade and capital movements or transfer pricing may be restricted in a country that will distort the relationship between domestic and foreign prices in 136. Second, speculative activities and official interference can create a difference between PPPs. Finally, the efficiency bias will result in systematic divergence of internal prices when there is relatively faster growth in efficiency in the tradable sector than in the non-tradable sector. The fundamental idea underlying PPP is that when quantified in the same currency, arbitrage forces will equalize the prices of goods internationally. There are basically two forms of PPP: absolute and relative

The nominal exchange rate is set by the proportion of domestic and foreign prices in the absolute version of PPP. That's,

$$S = P/P^* \dots\dots\dots (1)$$

Where S is the exchange rate measured as the domestic currency price of a unit of foreign currency and P and P* are the domestic and the foreign price indices respectively. By taking logarithms of equation (1), the absolute PPP theory can be rewritten as:

$$s_t = p_t - p^*_t \dots\dots\dots (2)$$

Where, the lowercase notations denote logarithms of the variables. Due to the presence of transport costs, imperfect information and distorting effects of tariffs and protections, the absolute version of PPP is strongly unlikely to hold. Therefore, it is contended that even within the face of such distortions, a weaker relative version of PPP, known as the relative PPP, can be anticipated to hold. The PPP relative version specifies that the exchange rate percentage change is equal to the inflation rate difference between the two countries. That's,

$$\% \Delta S = \% \Delta P - \% \Delta P^* \dots\dots\dots (3)$$

Where %ΔS is the percentage change in exchange rate, %ΔP is the domestic inflation rate and %ΔP* is the foreign inflation rate. For empirical testing purposes, we can estimate equation (3) by the following, $\Delta s_t = \alpha + \beta (\Delta p_t - \Delta p^*_t)$ (4) where lowercase notation implies logarithms of the variables.

Finally, Empirical studies have yielded varied results for the support of Purchasing power parity (PPP). McNown and Wallace (1989) examined PPP for Argentina, Brazil, Chile as well as Israel in the 1970s and 1980s and found support for PPP. Conversely, Bahmani-Okolee (1993) discovered that PPP holds only four out of twenty-five developing countries.

Monetary Models

The monetary exchange rate determination models start from the premise of perfect capital mobility. In the models, purchasing power parity and interest rate parity theorems are being used to describe the situations of equilibrium. Bonds like foreign and domestic are assumed to be perfect substitutes. The monetary model states the exchange rates are the relative prices of assets decided in organized markets in which prices can adjust instantaneously. One crucial assumption of the monetary model is that the Purchasing Power Parity (PPP) holds continuously over time, which is well-established as a long-run relationship, whereas half-lives appear longer than anticipated (Rogoff, 1996; Papell, 1997).

For this paper among the available different version of the monetary models namely the flexible price monetary model (FLPM), the Real Interest Differential Model (RIDM), the sticky price monetary model, tradable-non-tradable model net international reserves model and others, we consider only the FLPM and the RIDM models in this section.

According to Shidong Zhang et al. (2007), it is assumed that the logarithm of demand for money depends on the logarithm of real income, y and the logarithm of the price level, p and nominal interest rate level, r . An equivalent demand for money can also be assumed for the foreign country, where asterisks denote foreign variables. Monetary equilibrium in the domestic and foreign country is then given by:

$$m_t = p_t + \phi y_t - \lambda r_t \dots (5)$$

$$m_t^* = p_t^* + \phi y_t^* - \lambda r_t^* \dots (6)$$

Where m_t and m_t^* are the domestic money supply and foreign money supply respectively. It is also assumed that purchasing power parity holds continuously, this can be expressed as:

$$s_t = p_t - p_t^* \quad (7)$$

Where s is the logarithm of exchange rate defined as the domestic currency units per unit of foreign currency. Another assumption is that foreign and domestic bonds are assumed to be perfect substitutes, so that the uncovered interest parity will hold:

$$E s_t = r_t - r_t^* \dots (8)$$

Where $E s_t$ is the anticipated rate of depreciation of the domestic currency. Substituting equations (5) and (6) into (8) gives,

$$s_t = (m_t - m_t^*) - \phi (y_t - y_t^*) + \lambda (r_t - r_t^*) \dots (9)$$

The nominal interest rate is made up of two components, namely the real interest rate, and the expected inflation rate, that is:

$$r_t = i_t + \Pi_t \quad (13) \quad r_t^* = i_t^* + \Pi_t^* \dots (10)$$



Where i and i^* are the domestic and foreign real interest rate and π_t and π_t^* are the anticipated rates of domestic and foreign inflation in that order.

Assuming that the real interest rates are equalized in both countries, we have

$$r_t - r_t^* = \pi_t - \pi_t^* \dots\dots\dots (11)$$

Thus, equation (9) can be rewritten as:

$$s_t = (m_t - m_t^*) - \phi (y_t - y_t^*) + \lambda (\pi_t - \pi_t^*) \dots\dots (12)$$

The latter (above) condensed form equation is the Flexible Monetary Price Model (FLPM). The relative money supply coefficient is positive and equal to one based on the money neutrality. The logic is that prices will rise by the same percentage for a given percentage rise in the money supply. To regain equilibrium, if PPP holds continuously, this would mean a depreciation of the domestic currency (s_t increase) by the same amount. Moreover, forecasting a negative relative income coefficient is different to what the Mundell-Fleming methods forecasts. Shidong Zhang et al. (2007).

A higher real income will boost imports in the Mundell-Fleming model; this will deteriorate the trade balance and necessitate domestic currency depreciation in order to restore to balance. An increase in real domestic income creates the domestic currency's surplus demand in the FLPM. Agents will then reduce their expenses to increase their balance of real money. This will result in a fall in prices. Then, by virtue of PPP, a home currency appreciation will ensure that the balance is returned (Cao Yong & Ong Wee Ling Nan yang, (NA).

Mundell-Fleming Model

The exchange rate in the Mundell-Fleming model is decided by the interaction between the real sector and the monetary sector. The Mundell-Fleming model focuses on both the economy's flows and stocks whereas the method to elasticity and the method to absorption focus only on flows (Ogawa, 1987).

Think about determining the Mundell-Fleming model's exchange rates. Assume a small, open, price-fixed economy. In addition, perfect international mobility of capital is assumed. This makes perfect replacements for domestic bonds and foreign bonds.

$$S(Y) + T(Y) = I(i) + G + NX(Y, E) \dots\dots (13)$$

Eq. (13) represents equilibrium in the goods market.

$$M = L(Y, i) \dots\dots\dots (14)$$

Eq. (14) represents equilibrium in the money market.

$$I = I^* \dots\dots\dots (15)$$

Eq. (15) assumes that perfect capital mobility equalizes the domestic and foreign rates of interest, given static expectations of the exchange rate.

$$B = NX(Y, E) + K(i^*) = 0 \dots\dots\dots (16)$$

Eq. (16) assumes that the balance of payments will equilibrate under the flexible exchange rate system. Where S = savings, T = tax, I = investments, G = government expenditures, NE = net exports, i = the domestic rate of interest, i^* = the foreign rate of interest, M = the supply of money, L = the demand for money, B = the balance of payments, and K = the capital account.

In Mundell Fleming model the effects of monetary and fiscal policies on the determination of the exchange rate was discussed as follows. Under the flexible exchange rate system, monetary and fiscal policies have asymmetric effects. Expansionary monetary policy has both an expansionary effect on income and an exchange rate depreciation effect. On the other hand, expansionary fiscal policy has no effect on income but a valuable effect on the exchange rate (Ogawa, 1987).

Data and Methodology

This study aims to examine the determinant of the exchange rate in turkey. The dataset that we use in the analysis is within the period 2006Q1- and 2018 Q4 covering 52 quarters. We consider the availability of the exchange rate and other independent variables data for Turkey at the stage of the study year selection.

The real effective exchange rate (REER) is the dependent variable of our econometric model. The main explanatory variables of the model are Real Gross domestic product (RGDP), M2 money, Consumer price index (CPI), foreign direct investment inflow (FDI inflow) and Trade openness (OPN). All the economic variables are expressed in U.S. Dollars (\$) and we take natural logarithms of all the variables in the model. Econometric estimations are conducted with Eviews 10 and Stata14. The paper tried to find out the determinants of the real effective exchange rate in Turkey by developing a simple real effective exchange rate model for Turkey as given in equation (1) below:

$$REER_i = a_{0i} + a_{1i} FDI + a_{2i} RGDP + a_{3i} OPN + a_{4i} M2 + a_{5i} CPI + m \quad (1)$$

The abbreviations, descriptions of variables and source of the data are presented in the Table1.

Therefore, the long relationship of the variables can be shown below in equation (2) as:

$$LnREER_i = a_{0i} + a_{1i} LnFDI + a_{2i} LnRGDP + a_{3i} LnOPN + a_{4i} LnM2 + a_{5i} LnCPI + m \quad (2)$$

**Table 1.** Definitions and Sources of Variables

Variable ¹	Abbreviation	Definition	Source
Real Effective Exchange Rate	REER	Real effective exchange rate) it is obtained by purifying relative price effects in nominal effective exchange rate. (\$) (2016Q1-2018Q4)	The Central Bank of the Republic of Turkey (2019)
Real Gross domestic product	RGDP	Constant Gross Domestic Product in 2010 prices (\$) (2016Q1-2018Q4)	
Consumer price index	CPI	Consumer Price Index (2003=100) (TURKSTAT) (2016Q1-2018Q4)	
Trade Openness	OPN	(Imports + Exports) / GDP (current, \$) (2016Q1-2018Q4)	
Foreign Direct Investment Inflow	FDI	Foreign Direct Investment Inflow from abroad (\$) (2016Q1-2018Q4)	
M2 money	M2	M2= M1+ Time Deposits (TRY, FX) (2016Q1-2018Q4)	

Before employing the model, the properties of the time series were conducted using both the Augmented Dickey-Fuller test (ADF) and the Philips-Perron test (PP) to determine the stationarity of the variable. In other words, the stationarity tests provided evidence of the order of integration of the variables included in the model, establishing whether the variable is integrated of order zero I (0) or order one I (1) (Gujarati, 2004).

The study employed the econometric analysis such as Vector Autoregressive (VAR) method and Johansen co-integration test to determine whether there is a long-term relationship between variables.

Discussion and Analysis

Econometric Model Estimation

Unit Root Test

Before testing for the existence of a co-integration relationship between macro-economic variables, the stochastic properties of the data are assessed based on a series of unit-root tests. Series are held subject to unit-root tests to determine

¹ The logarithmic transformations of the series with negative and zero values are conducted by “Ln[(xi-minimum(X)) +1]” formula.



long-term relations in the first stage of the analysis. Data needs to be stationary in the same order for co-integration tests associated with long-term relationships. The order of integration of the series is assessed using the conventional ADF tests for stationary, with the lag structure determined using Akaike Information Criteria and Philips-Peron test with the lag structure determined using Default (bartlett kernel) criteria. Table 2 presents results from the Augmented Dickey-Fuller tests (ADF) and the Philips-Peron test (PP) of unit root tests conducted.

Table 2. Augmented Dickey Fuller and the Philips-Peron test (PP) Unit Root Tests
(2006Q1-2018Q4)

Variable	ADF		PP		Order of integration
	Intercept	Trend-intercept	Intercept	Trend-intercept	
REER	2.655458	-2.777200	-1.171520	-2.787335 (0.2085)	
ΔlnREER	-8.122962	-4.765602	-8.110657	-8.877958 0.0000	I(1)
lnFDI	-5.842331	-6.822662	-6.117328	-6.794154 (0.0000)	
ΔlnFDI	-12.57268	-12.32341	-22.23191	-22.03236 (0.0001)	I(1)
lnM2	-2.939309	0.640518	-2.910716	-0.856220 (0.9530)	
ΔlnM2	-5.869726	-6.286983	-5.866141	-6.728526 (0.0000)	I(1)
lnCPI	2.089238	1.374848	1.975779	2.316252 (1.0000)	
ΔlnCPI	-5.635272	-6.095695	-5.731010	-6.117066 (0.0000)	I(1)
lnRGDP	0.897537	-1.079232	-0.872641	-2.938002 (0.1597)	
ΔlnRGDP	-3.513525	-3.325849	-8.366340	-12.15793 (0.0000)	I(1)
lnOpen	-2.253109	-2.406676	-2.353084	-2.537825 (0.3095)	
ΔlnOpen	-5.141024	-5.098951	-5.235390	-5.193418 (0.0005)	I(1)



According to the results which are shown in Table 2, all the series level values contain unit-root. However, when primary differences of series are taken, they became stationary. In this case, the Long-term relation is convenient to be investigated since all the series are stationary at the same Order.

Determination of Lag Length and Appropriate Model

It is necessary to find the optimum lag length before proceeding to the Johansen co-integration test. VAR analysis is used to determine the optimum lag length. When the VAR model is established, the model selection criteria values for various lag lengths are as shown in Table 3.

Table 3. Determination of Lag Length

Lag	LogL	LR	FPE	AIC	SC	HQ	Tolerance
0	156.9412	NA	4.16e-10	-7.411767	-7.202794*	-7.335670	0.435
1	185.6912	49.08532	3.50e-10	-7.594692	-6.340859	-7.138115	0.448
2	224.8900	57.36410	1.85e-10	-8.287317	-5.988622	-7.450259	0.818
3	257.5495	39.82869	1.48e-10	-8.660952	-5.317397	-7.443414	0.884
4	301.3472	42.72944*	8.14e-11*	-9.577912*	-5.189496	-7.979893*	0.795
INF	360	10.045	7.587	7.587	7.587	7.587	7.587

Shows lag order is chosen by the criterion, LR: sequentially modified LR test statistic (each test at 5% level), FPE: Final prediction error, AIC: Akaike information criterion SC: Schwarz information criterion, HQ: Hannan-Quinn information criterion

As presented in Table 3, the relevant number of lag length for the unrestricted VAR model is 4 according to the LR, FPE, AIC, and HQ information criteria. The presence of a long-run association between variables is determined by the Johansen co integration test after the appropriate number of lag length is determined. When the co integration test is applied, it is important to determine whether the model includes kind of trend is affected by the variables. In order to determine the appropriate model, usually, the model with the minimum Akaike and Schwarz value is selected. In the study, the model with the smallest Akaike and Schwarz values became a quadratic deterministic trend model.

Stability Analysis

The diagnostic test was carried out to find any possible spurious results and ensure that the results meet the standard classical linear regression assumptions. No root lies outside the unit circle thus the VAR satisfies the stability condition.

VAR Residual Serial Correlation LM Tests

From the above table based on LM test there is no serial correlation 1-3 lags, we can reject the null hypothesis no serial correlation at lag 1-3 their value is less than p-value 0.05 however one cannot reject the null hypothesis of no serial correlation beyond 4 lags. This seems to be supportive that the idea of 4 lag is sufficient from our previous information criteria.

Table 4. VAR Residual Serial Correlation LM Tests**Null hypothesis: No serial correlation at lag h**

Lag	LRE* stat	df	Prob.	Rao F-stat	df	Prob.
1	56.78575	36	0.0151	1.730406	(36, 103.8)	0.0169
2	49.97022	36	0.0608	1.477286	(36, 103.8)	0.0659
3	48.65855	36	0.0774	1.430190	(36, 103.8)	0.0834
4	36.60565	36	0.4406	1.020557	(36, 103.8)	0.4528

Null hypothesis: No serial correlation at lags 1 to h

Lag	LRE* stat	df	Prob.	Rao F-stat	df	Prob.
1	56.78575	36	0.0151	1.730406	(36, 103.8)	0.0169
2	103.1508	72	0.0094	1.594707	(72, 98.3)	0.0158
3	168.9636	108	0.0002	1.911687	(108, 70.2)	0.0020
4	209.6952	144	0.0003	1.535060	(144, 37.1)	0.0643

Heteroskedasticity and reject the alternative hypothesis there is Heteroskedasticity.

Heteroskedasticity Tests

The VAR residual Heteroskedasticity tests (levels and squares) result shows that since the p-value of Chi-sq is greater than 0.05 Probability; we accept the null hypothesis of there is no Heteroskedasticity and reject the alternative hypothesis there is Heteroskedasticity.



Johansen Co-integration Analysis

Johansen (1988) and Johansen and Juselius (1990) have developed a co-integration test that can be used even if there is more than one co-integration relationship between variables, using the VAR model that takes all the variables endogenous. The co-integration tests allow the estimation and modeling of the long-run relationship between variables that are stationary at the same level but are not stationary in their levels.

Table 5. Results of Johansen Co integration Test

Trend assumption: Linear deterministic trend; Series: LN_REER LNFDI_INFLOW LN_TROPP LN_RGDP LN_M2 LN_CPI. Lags interval (in first differences): 1 to 4.

Unrestricted Co- integration Rank Test (Trace)				
Hypothesized		Trace	0.05	
No. of CE(s)	Eigen value	Statistic	Critical Value	Prob.**
None *	0.990787	393.4622	95.75366	0.0001
At most 1 *	0.899763	201.2890	69.81889	0.0000
At most 2 *	0.755953	106.9802	47.85613	0.0000
At most 3 *	0.488781	49.15413	29.79707	0.0001
At most 4 *	0.360264	21.64486	15.49471	0.0052
At most 5	0.078012	3.330157	3.841466	0.0680
Trace test indicates 5 co- integrating eqn(s) at the 0.05 level, * denotes rejection of the hypothesis at the 0.05 level, **MacKinnon-Haug-Michelis (1999) p-values				
Unrestricted Co integration Rank Test (Maximum Eigen value)				
Hypothesized		Max-Eigen	0.05	
No. of CE(s)	Eigenvalue	Statistic	Critical Value	Prob.**
None *	0.990787	192.1731	40.07757	0.0001
At most 1 *	0.899763	94.30881	33.87687	0.0000
At most 2 *	0.755953	57.82610	27.58434	0.0000
At most 3 *	0.488781	27.50927	21.13162	0.0055
At most 4 *	0.360264	18.31470	14.26460	0.0108
At most 5	0.078012	3.330157	3.841466	0.0680
Max-eigen value test indicates 5 co- integrating eqn(s) at the 0.05 level, * denotes rejection of the hypothesis at the 0.05 level, **MacKinnon-Haug-Michelis (1999) p-values.				

The results of the Johansen co integration test for the determination of the existence of a long-term relationship between variables are presented in Table 5. Johansen's maximum likelihood approach uses two types of probabilistic test statistics. One of them is the trace statistic and the other is the maximum Eigen value statistic. According to the trace statistic and maximum Eigen value statistic, the null hypothesis ($r = 0$) that there is no co- integration relation between variables is rejected against the alternative hypothesis that there is a co-integration relation between variables. Because trace statistic and maximum Eigen value statistic values are greater than the critical value of 5%. Both the trace statistic test and the maximum Eigen value statistic test at the 5% level show that the equation of co-integration is 5. This result shows that there is a long-run relationship between the variables.

Table 6. Johansen normalization result

1 Co integrating Equation(s): Log likelihood 536.4885					
Normalized co integrating coefficients (standard error in parentheses)					
LN_REER	LNFDI_ INFLOW	LN_ TROPP	LN_RGDP	LN_M2	LN_CPI
1.000000	0.004087	-0.133384	-0.058974	-0.375618	0.472585
	(0.00529*)	(0.00369*)	(0.03888*)	(0.03430*)	(0.04144*)
Adjustment coefficients (standard error in parentheses)					
D(LN_REER)	-1.202444 (0.72410)				
D(LNFDI_	-1.432191 INFLOW)				
D(LN_TROPP)	-0.790504 (5.06425)				
D(LN_RGDP)	0.055533 (1.16833)				
D(LN_M2)	0.512730 (0.72961)				
D(LN_CPI)	-0.189191 (0.17247)				

N.B: Normalized co- integrating coefficients; *at 5% significant level



Based on the Johansen normalization result of the above table 6; the result shows that in the long run trade openness (LNTROPP), Real GDP (LNRGD) and money supply (LNM2) has a positive impact while foreign direct investment inflow (LNFDIINFLOW) and consumer price index (LNCPI) has negative impact on (LNREER) on average ceteris paribus. The coefficients are statistical significance at 5% level. Finally, the null hypothesis ($r = 0$) that there is no co integration relation between variables is rejected against the alternative hypothesis that there is a co-integration relation in the model.

Conclusion and Remarks

There is a wide literature analyzing the effect of the exchange rate on various macroeconomic aggregates such as economic growth, trade flows, domestic and foreign investments, and capital flows. However, there are not many studies on the causes or determinants of the exchange rate in turkey. *This study aims to investigate the determinant of the exchange rate in turkey and the review of the theories of exchange rate determination. The dataset that we use in the analysis covers 52 quarters within the period 2006Q1- and 2018 Q4.* The real effective exchange rate (REER) is the dependent variable of the econometric model. The main explanatory variables of the model are a real gross domestic product (RGDP), M2 money, Consumer price index (CPI), foreign direct investment inflow (FDI inflow) and Trade openness (OPN).

In this research, the stationary analysis of the series is determined by the Augmented Dickey-Fuller Test (ADF) and the PP (Phillips-Perron test) unit root tests. The study employed the econometric analysis such as Vector Autoregressive (VAR) method and Johansen co-integration test to determine whether there is a long-term relationship between variables. The ADF and PP unit root test results show that the series is stationary at first difference (I1). According to Johansen co integration test results, it has been found that there is a long-run relationship between the variables involved in the analysis. From the Johansen normalization result in the long run Trade Openness, Real Gross domestic product and money supply have a positive impact while foreign direct Investment inflow and consumer price index has a negative impact on average Ceteris paribus. The coefficients are statistical significance at a 5% level; the null hypothesis ($r = 0$) that there is no co integration relation between variables is rejected against the alternative hypothesis that there is a co-integration relation in the model. Finally, the results are consistent with exchange rate theories and some empirical studies.

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Analysis of ATM Withdrawal & POS Transactions Pre and Post Demonetization

Mohd Umair Khan*, Mohammad Rafay**

Abstract: In India, a country of 1.3 billion people, where the high-value currency notes of denomination of ₹500 and ₹1000 valued at ₹15.4 trillion (constituted 86.9 per cent of the value of the total currency in circulation) were taken down during midnight in one of the largest operations of demonetisation in the history of the world is still coping with the effects of demonetisation. Demonetisation brought a radical change in the Indian economy and the socio-economic nature of the people. Our study goes deep into the period of demonetisation green flagged in the month of November 2016. A massive change of ATM withdrawals and Point of Sale (POS) transactions can be analysed both in the form of theoretical and analytical ways during this period of few months. We have carefully analysed the data of transactions proceeded via debit and credit cards with the help of POS machines and ATMs. Most of our data has been added from the Reserve Bank of India (RBI) website and Central Statistical Office (CSO), Government of India. Various statistical methods like correlation and mathematical reasoning have been used to produce absolute steep results. The main objective of our study is to analyse the pattern of cash withdrawals via debit and credit cards and POS transactions on two different segments of society. Credit card as we know is associated with finer economic strata of the society while debit card does its work in multi-class society. The effect of demonetisation on the withdrawal pattern of debit and credit cards on the disparate strata of Indian Society will be an interesting find during our study. We believe that our research will help people and researchers to look into the nearer circle of the demonetisation period and learn more numerical aspects that are still to be discovered from this historical radical decision of Prime Minister Narendra Modi of India.

Keywords: Demonetisation, Indian Economy, Narendra Modi, RBI, POS, ATM, Debit Card and Credit Card.

* Aligarh Muslim University, Economics, MA Program.

** Sakarya University, Financial Economics.

Contact: mohammad.rafay@ogr.sakarya.edu.tr



Introduction

Automated Teller Machine popularly known as ATM has emerged as an efficient way of withdrawing money through a card, called ATM Card without visiting the bank. ATMs are of different types - White label ATMs and normal ATMs, the former according to Reserve Bank of India (Reserve Bank of India, 2017) are those set up, owned and operated by non-banks and the latter is the often in use bank ATM. Being available in the form of Credit, Debit and Prepaid cards and used for withdrawing cash and Point of Sale (POS) transactions, these were put forth as an effective and necessary alternatives particularly post demonetization. Lightspeed, (2019) states, a POS transaction is the moment where a transaction is finalized or the moment where a customer tenders payment in exchange for goods and services. Any form of payment can be used, such as cash, debit cards, credit cards, mobile payments, etc. Demonetization, also known as Notebandi, the excise of withdrawing 1000 and 500 Indian rupee (INR) notes was announced on November 8th 2016 by the PM of India. Demonetization is a generation's memorable experience and is going to be one the economic events of our time. Its impact is felt by every Indian citizen (Shah, 2017).

According to Harshita (Harshita, 2017) this demonetization wasn't a first for India. There were two previous episodes of demonetization. Currency was first banned in January 1946 with the objective of curbing black money. The government withdrew INR 500, INR 1,000, and INR 10,000 from circulation. Second time demonetization occurred in 1978, and INR 1,000, INR 5,000, and INR 10,000 were demonetized by the government, and the reason was the public interest. The third time was on November 8, 2016, when the government declared INR 500 and INR 1,000 as no more legal tender. The latter is the one we are taking into our study. In one of the articles Dash (Dash, 2017) points out that social sector of India was a big hit of demonetization followed by the poor and common people as the worst affected. One of the rationales of demonetization was to make the Indian society cashless. Cashless should essentially be understood as less cash since hundred percent cashless economy is not an attainable aim for now. For cashless transactions debit card and credit card can be used for point of sale transactions. These transactions are both cashless as well as digital. There was a lot of debate over demonetization broadly. ATM and POS transactions are constantly under the watch of RBI and data gets published for that regularly. So, a discussion on these two things could contribute in the existing literature by giving a perspective.



Objective

There are different aspects of demonetization practice and all cannot be covered in paper. In the span of around a year, some very simple and implicitly observed things have not been discussed; however they deserve academic recognition and a discussion. It becomes essential to analyze the pattern of transaction and volume of transaction pre and post demonetization. In this paper we are going to analyze the pattern of Cash withdrawal through ATM cards and Point of Sale (POS) transactions through the same. We try to make this analysis the testimony of the different behavior observed for two to three months following demonetization. There have been a lot of academic work post demonetization on cashlessness, payment system and its effect on Indian economy. However, we will be capturing the real-life mindset of the people pre and post demonetization. The main idea is to inform the people about the effects captured in a statistical form with figures and diagrams. This paper, although, is an attempt to analyze the reasons behind what was witnessed in the two to three months following demonetization and its association with Cash withdrawal and Point of Sale transactions.

Literature Review

On 28 October 2016 the total banknotes in circulation in India was Rs.17.77 trillion (US\$ 260 billion). In terms of value, the annual report of Reserve Bank of India (RBI) of 31 March 2016 stated that total bank notes in circulation valued to Rs.16.42 trillion (US\$240 billion) of which nearly 86% (around Rs.14.18 trillion (US\$ 210 billion)) were Rs.500 and Rs.1,000 banknotes. They were taken out of circulation from 2016 (Veerakumar, 2017).

After the demonetization announcement on November 8, Indian banks saw a rise in deposits. According to data from the Reserve Bank of India released on November 21, deposits crossed the 5 trillion-rupee mark from November 10 until November 18. At 68.2 rupees to one US dollar, it translates to \$75 billion in deposits in just eight banking days. Banks also saw a rise in term deposit accounts since the demonetization. Due to these factors, commercial banks like State Bank of India, ICICI Bank (IBN), HDFC Bank (HDB), and Punjab National Bank, among a host of others, sharply reduced their deposit rates (Dash, 2017)

Demonetization was discussed in different aspects of itself. As pointed out by Jayakumar (Jayakumar, 2017) in his piece "Behavioural Economics Perspective of Demonetisation" Demonetization was a step taken without considering the be-



havioural aspects of Economic agents. Jayakumar emphasizes on the cashlessness rationale of the decision.

Ashish, Das and Rakhi, Agarwal (2010) in their article “Cashless Payment System in India- A Roadmap” Cash as a mode of payment is an expensive proposition for the Government. The country needs to move away from cash-based towards a cashless (electronic) payment system. This will help reduce currency management cost, track transactions, check tax avoidance/fraud etc., enhance financial inclusion and integrate the parallel economy with mainstream.

Apart from the cashlessness argument demonetization was also discussed due to its socio-political effects. Peter Beyes and Reema Bhattacharya (Beyes & Bhattacharya, 2017) put forth some political, social, policy and legal arguments by analysing the process of implementation of demonetization and its later outcomes.

A lot has been written on the socio-economic impact of Demonetisation on Casual Labourers, small scale industries and informal sector (Umair & Thilagavati, 2017; NIPFP, 2016). A debate on the effectiveness of the process of remonetisation had also been initiated by Pranjali, Shendge, Bushan and Smitaraja (Shendge, Shelar, & Kapase, 2017) described the importance of cashless modes for efficiency of the economy.

Some related work, even more in depth one, has been done on the analysis of digital transactions and found tremendous growth particularly in UPI and BHIM transactions. (Wilson, James 2017). This paper would be a testimony, with some reasoning from existing data, of what was happening during the scenario of demonetization but which couldn't find its (rightful) space in academic discussions.

Data and Method

This paper analyses the transactions of Debit and Credit cards by ATM and Point of Sale machines. The paper is based on the use of secondary data retrieved from the various online sources. In our case majority of the data has been taken from the Reserve Bank of India web archives (Reserve Bank of India, 2017). It is available monthly. We have taken from October 2015 to August 2017, the period within which demonetization in India took place. We have used the statistics for the number of transactions and amount of transactions through both POS and ATM machines, separately for both Debit and Credit cards. Since the data is available for per month so we compiled the essential statistics from that big pool and fixed it according to the need of our analysis.



We have analyzed the data by using the tools of correlation, percentage change and some simple statistics like graph and percentile methods. We have also compared our data of different point of time in order to analyze the change of pre and post demonetization. We understand that ATM transaction means withdrawal of cash and on the other hand POS transaction means paying digitally at point of sale. The data set we used is available in the Table-1 and Table-2 (see. Appendix). Different columns have been used to display the ATM and POS transactions in the tables respectively. Also, we have added a third and separate column in the tables to display both ATM and POS transactions together.

Results and Discussion

Analyzing the Credit and Debit card data we have drawn and caught some behavioral aspects going on during the days affected by demonetization. We also understand that Debit and Credit card holders don't represent the whole of the society. But for the argument of cashless economy or nudging people towards digital means of transactions, the data available on the RBI web archives suggest a lot. As depicted in Figure-1 (see. Appendix).

As we can observe from the data with the help of chart that in November 2016, day 8th of which demonetization was announced by the Prime Minister of India, the amount of ATM transactions through debit card fell drastically but on the other hand the transaction through POS machines started increasing in the same period. It came forward as a substitute for debit card holders. But increase in POS transactions are not as drastic as the decrease in ATM ones. It can be ascribe to the fact that the deadline for exchanging or depositing old notes was still far and some amount of give and take in old notes was taking place in November. It is interesting to see that ATM transaction was at trough and POS transaction was at peak in the same month i.e. in December 2016. The reverse trend can be observed since day 1 of the year 2017. Now what does this reverse trend mean?

For the debit/credit card holders POS came as a substitute during the demonetization scenario and a considerably good opportunity for the government to fulfil its objective by making them used to cashless transactions. For a debit/credit card holder POS and Cash withdrawal through ATM machine are substitutes of a good degree, so when cash was scarce, cardholders shifted to the other mode called point of sale (POS) transactions. According to Economics definitions Substitutes can be used against each other but individuals being aware of the substitution, prefer one



of them (Varian, 2006). Due to the same reason this inverse trend just after December reveals that people preferring one mode of transaction in general. This mode of transaction here is in cash.

The above analysis talks about debit card holders, there are 818 million debit cards and 28.8 million credit cards in India as on January 2017 (Verma, 2017). Debit card holders not only constitute the majority of bank card holders but there are aspects of it which makes it a bank card of common man. Debit card can only be used to transfer money domestically, withdrawal is limited to the amount available in the cardholder's account and it can be obtained very easily from bank branch. On the other hand credit card is often used by the relatively affluent strata of the society. It has different aspects too. In credit card, withdrawal is not limited to the amount present in the account rather extra money can also be withdrawn (as credit) and interest has to be paid on that later. We have drawn this socio-economic difference between these two cardholders because of the reason that the effect of demonetization, as many studies have suggested, was more on the lower half of the society and some debit card holders, as analyzed above, may be a part of the same strata.

The above statement is consistent with what we have seen in our data set. Figure-2 (see. Appendix) will testify this. If we compare both the figures (see. Appendix), we can find a clear cut difference in the preference of mode of payments. Credit card holders seem to prefer POS transactions especially post demonetization. Moreover, according to Figure-2 (see. Appendix), the effect of demonetization on their cash withdrawal is very less. Why less? Since we are assuming that credit card holders, in general, are relatively affluent than debit card holders, so there is a socio-political aspect to it which we are not discussing here. Apart from that the increase in the use of cashless mode of payments can be ascribed to the fact that they were not apprehensive in point of sale transactions. We should also see and understand that this increase in POS transactions is a relative increase or it's not the case that it has bypassed the ATM transactions. ATM transactions of credit card holders were always very low and POS transactions were always high in volume in comparison to each other.

At the time of demonetization there were restrictions from the side of RBI on the number of transactions. In the light of this, it becomes essential to analyze the number of transactions as well from our data set. Figure- 3 (see. Appendix) give us the idea of what has happened to the number of transactions-

The only thing dominating here, from June 2016 to June 2017, is ATM withdrawal of debit cards i.e. cash. Even in the month of November, December and Jan-



uary when the effect of demonetization felt most, cash was the dominant mode of payment. Debit card holders started transacting at point of sale, maybe because of the occurrence of demonetization, but it spiraled down post demonetization. In June 2017 it was relatively less as per our data set. Debit card holders being in majority, not using cashless mode of payments almost after one year of demonetization, suggests that Indian society is not accepting or is hesitant to become cashless. Security, willingness and financial illiteracy, among others, could be the reasons for this. In figure- 3 (see. Appendix) ATM withdrawal for credit card holders is so less in number that it even, can't be differentiated in the figure, though it remained almost same despite a little shock of demonetization. POS transactions of credit card holders also remained consistent and witnessed little shock of demonetization. Figure 3 (see. Appendix) also certifies that credit card holders (or relatively affluent strata of the society) were not harshly affected by demonetization and the question remains WHY? This paper rolls out the need for an in-depth socio-political analysis of demonetization. Therefore, indirectly it suggests that the poor people and the common people were the direct hit of demonetization.

Now the question arises what has changed after demonetization? In the capacity of our data set the analysis could be of the cashlessness rationale of demonetization. It has been almost a year (as per our data), so what is the behavioral impact on the individuals who are debit and credit card holders. In figure-4 & figure-5, (see. Appendix) we tried to see the change in the payment behavior of individuals. We have taken into account debit card holders only because of two reasons - a) they represent the larger strata of cardholders, b) they were affected by demonetization as shown in our data set (Figure-1).

Figure- 4 (see. Appendix) shows the proportion of POS and ATM transactions among debit card holders before demonetization, on August 2016, and Figure-5 (see. Appendix) shows the same after demonetization i.e. in August 2017. POS or in other words cashless transactions have increased by 5% post demonetization in the span of one year.

Conclusion

With many distinctive aspects the policy of demonetization needs more academic enquiry. The closer time period of demonetization needs to be covered as much as possible in the academic researches. In this paper we have analyzed this with respect to ATM and POS transactions. There is a need of study based on the cash



withdrawal pattern of the people amid, pre and post demonetization. The pattern we have found can be ascribed to many different things. Denying cashless modes of transactions as soon as the process of remonetization picked up shows some behavioral reluctance of individuals towards them. It shows us that people are still not ready to use the digital and cashless platforms in India. Clearly our result points out the weak connection of the people with the digital and cashless platforms in India. The inequality between Debit and Credit card holders was not a surprising finding but the difference in the effects of demonetization on them calls upon the need for an in-depth socio-political analysis of demonetization. The 5% increase in the cashless transactions through POS transactions too can be interpreted in various ways. Hence, it is true that demonetization is one of the many steps needed to improve the Indian economy and make people habitual of the digital or cashless transactions. On the other hand, our study also predicts that India was weakly prepared for such a radical economic change. This paper is the testimony of what was (implicitly) observed at the time of demonetization and needed space in academic discussions.

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Appendix

Table 1. Data set used to analyze Debit Cards. (Source-Reserve Bank of India) The table consists of data on ATM and POS transactions of Debit Cards in India from October 2015 to August 2017.

	Debit Card					
	ATM		POS		Both	
	No. of Transactions	Volume Of Transactions (Millions)	No. of Transactions	Volume Of Transactions (Millions)	No. of Transactions	Volume Of Transactions (Millions)
October 2015	702815440	219266287	100428222	140375.63	803243662	219406662.63
Nov 2015	674582198	2151143.77	99944365	148992.10	774526563	2300135.87
Dec 2015	708001000	2204614.96	108118356	145831.93	816119356	2350446.89
January 2016	707629136	2181881.52	109876461	146107.53	817505597	2327989.05
Feb 2016	693637516	2140999.75	105065898	129610.39	798703414	2270610.14
March 2016	731722405	2245821.75	112868336	134631.91	844590741	2380453.66
April 2016	733399002	2252098.4	118284077	148033.831	851683079	2400132.231
May 2016	737569787	2202216.72	133966059	155147.63	871535846	2357364.35
June 2016	732171388	2204475.46	118203204	155005.41	850374592	2359480.87
July 2016	752133454	2191650.70	129069978	170919.23	881203432	2362569.93
August 2016	756738440	2196575.02	130529004	183704.93	887267444	2380279.95
Sept 2016	742134866	2219762.32	125190417	159321.18	867325283	2379083.50
October 2016	802064418	2547814.47	140586967	219412.84	942651385	2767227.31
Nov 2016	561355720	1234516.20	236466565	321742.80	797822285	1556259.00
Dec 2016	630466234	849340.9	415461956	580312.5	1045928190	1429653.4
January 2017	712347249	1516436.7	328623459	490041.9	1040970708	2006478.6
Feb 2017	692567162	1928381.3	251749506	358433.7	944316668	2286815
March 2017	710108656	2259457.4	271172292	356991.3	981280948	2616448.7
April 2017	660321091	2168595.8	267996949	374818.8	928318040	2543414.6
May 2017	655471690	2163917.8	264723480	371623.3	920195170	2535541.1
June 2017	667805951	2256928.2	25463941	375238	693269892	2632166.2
July 2017	703233345	2268423.2	255612744	345684.2	958846089	2614107.4
August 2017	716362372	2351962	265445365	354126	981807737	2706088



Table 2. Data set used to analyze Credit Cards. (Source – Reserve Bank of India). The table consists of data on ATM and POS transactions of Credit Cards in India from October 2015 to August 2017.

	Credit Card					
	ATM		POS		Both	
	No. of Transactions	Volume Of Transactions (Millions)	No. of Transactions	Volume Of Transactions (Millions)	No. of Transactions	Volume Of Transactions (Millions)
October 2015	517198	2700.78	68920504	216380	69437702	219080.78
Nov 2015	489622	2580.954	66041478	207688.40	66531100	210269.354
Dec 2015	534094	2748.528	69367262	211941.38	69901356	214689.908
January 2016	547789	2655.663	69676607	211734.75	70224396	214390.413
Feb 2016	558815	2699.493	67074703	206383.55	67633518	209083.043
March 2016	61253	2803.17	72220394	226942.99	72281647	229746.16
April 2016	591865	2863.372	72827537	227246.3	73419402	230109.672
May 2016	581892	2843.58	78475511	249599.97	79057403	252443.55
June 2016	591054	2856.68	76307286	239555.13	76898340	242411.81
July 2016	606314	2922.41	79440734	243414.15	80047048	246336.56
August 2016	646950	3042.74	83954292	257485.55	84601242	260528.29
Sept 2016	602388	2852.51	77928467	241977.12	78530855	244829.63
October 2016	620905	2996.80	88864901	299424.01	89485806	302420.81
Nov 2016	402919	1393.0	97911525	265594.0	98314444	266987.0
Dec 2016	375943	880.9	116082819	311491.2	116458762	312372.1
January 2017	440618	1539.2	112802575	327082.5	113243193	328621.7
Feb 2017	423716	1909.8	94926631	287042.3	95350347	288952.1
March 2017	489248	2291.2	107610258	333904.9	108099506	336196.1
April 2017	481711	2327.2	106578071	331429	107059782	333756.2
May 2017	546400	2609	115330492	361406.8	115876892	364015.8
June 2017	554992	2671	109471450	354832	110026442	357503
July 2017	613206	2848.5	110762306	339297.4	111375512	342145.9
August 2017	659263	3045	115326572	362988	115985835	366033



Figure-1 Shows the pattern of ATM and POS transactions of Debit Card holders

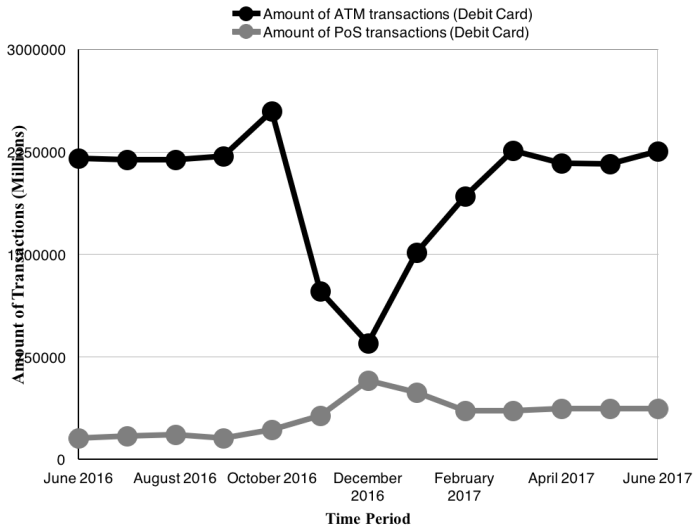


Figure-2 Shows the pattern of ATM and POS transactions of Credit Card holder

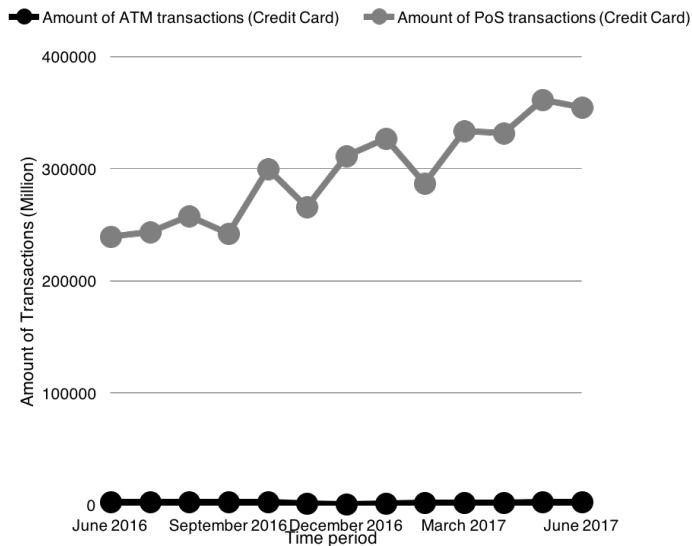




Figure-3 Shows the number of transactions of Debit and Credit cards

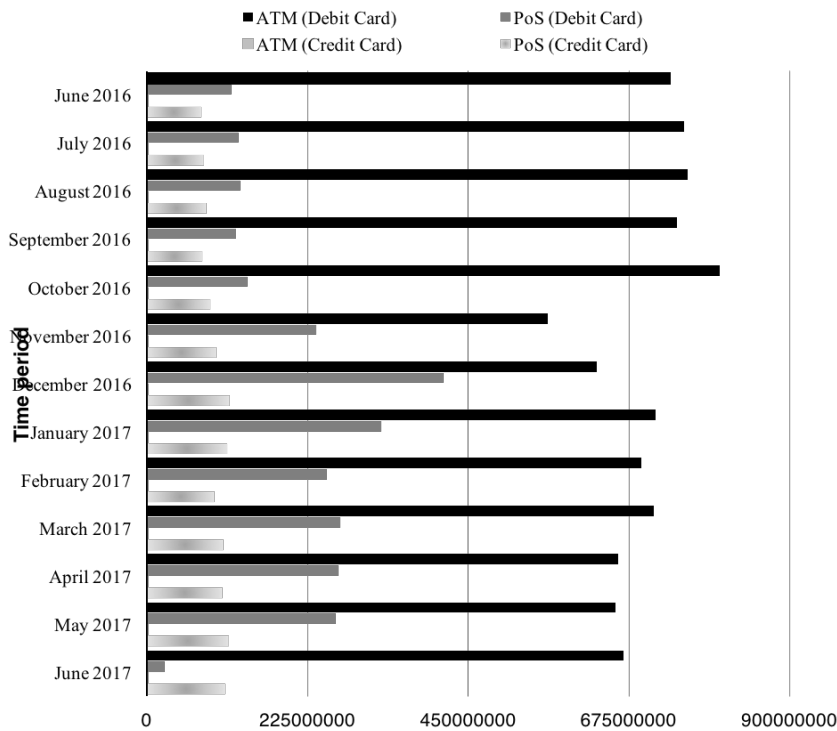




Figure-4 Shows August 2016- Amount of Transactions (Debit Card)

■ ATM Transactions ■ PoS transactions

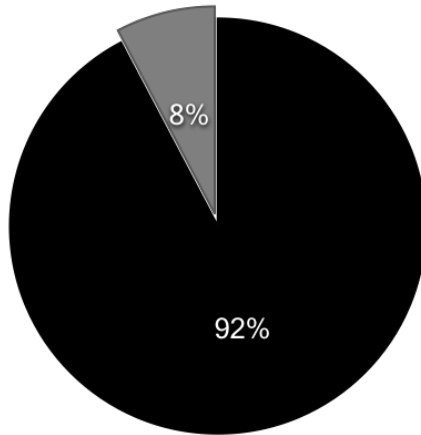
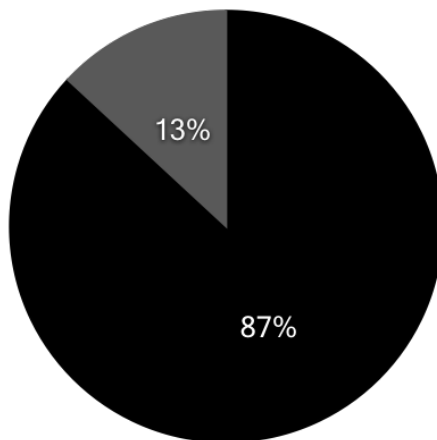


Figure-5 Shows August 2017- Amount of Transactions (Debit Card)

■ ATM Transactions ■ PoS Transactions



Afganistan'da Dış Yardımlar ile Ekonomik Büyüme Arasındaki İlişki

Muhammad Akbar Farahmand*, Ethem Esen**

Öz: Dış yardımlar az gelişmiş ve gelişmekte olan ülkeler için önemli bir uluslararası finansal kaynağı olarak bilinmektedir. Dış yardımların temel amaçlarından biri, az gelişmiş ve gelişmekte olan ülkelerin ekonomik büyümelerine katkı sağlaması ve büyümelerini hızlandırmasıdır. İkinci Dünya Savaşı sonrasında, Afganistan başta olmak üzere bazı az gelişmiş ve gelişmekte olan ülkelere dış yardımların akışı başlamıştır. Afganistan'a uzun yıllardır dış yardımların akışı devam etmektedir. Afganistan'da 3 trilyon dolar değerinde madenlerin bulunmasına ve milyarlarca resmî kalkınma yardımların akmasına rağmen, ülke ekonomisi düşük gelir seviyesi, yüksek yoksulluk ve işsizlik oranı ile karşı karşıyadır. Bu çalışmada, resmî kalkınma yardımları ile ekonomik büyüme arasındaki ilişki 1986-2017 yılları arasındaki dönemde Afganistan için zaman serisi teknikleri yardımıyla analiz edilmiştir. Bu amaçla yapılan birim kök testleri sonucunda, bu iki değişken birinci dereceden durağan hâline geldikleri için çalışmada eşbütünleşme testi uygulanmıştır. Johansen eşbütünleşme testinin sonucunda, bir eşbütünleşme ilişkisi tespit edilmiştir. Diğer bir ifadeyle, resmî kalkınma yardımları ve ekonomik büyüme değişkenleri, uzun dönemde birlikte hareket etmektedir. Sonuç olarak, Afganistan ekonomisi için resmî kalkınma yardımları ülkenin ekonomik büyümesine katkı vermektedir.

Anahtar Kelimeler: Dış Yardım, Ekonomik Büyüme, Eşbütünleşme Analizi.

* Anadolu Üniversitesi, Sosyal Bilimler Enstitüsü, İktisat Yüksek Lisans Programı.
İletişim: akbarfarahmand279@yahoo.com

** Anadolu Üniversitesi, İktisadi ve İdari Bilimler Fakültesi, İktisat Bölümü.
İletişim: etheme@anadolu.edu.tr



Giriş

Gelişmiş ülkelerin çeşitli amaçlarla az gelişmiş veya gelişmekte olan ülkelere yaptığı katkı, bağış, borçlar, krediler ve diğer olumlu etkiler dış yardımları oluşturur (Koç 2016). Dış yardımlar tarih boyunca gelişmekte olan ve az gelişmiş ülkelerin ekonomik büyümelerinin hızlandırılması için önemli bir kaynak olmuştur. Dolayısıyla dış yardımlar, ülkelerin farklı ekonomik alanlarına, sosyal ve ekonomik altyapılarına, üretim ve hizmet sektörlerine, eğitim, tarım ve kırsal kalkınma, gıda güvenliği gibi etkenlerine katkı sağlayabilecek potansiyele sahiptir (Hee Yiew & Lau, 2018). Bu yardımlar, gelişmiş ülkeler veya uluslararası kuruluşlar tarafından karşılıksız olarak veya düşük faiz oranlarında kredi şeklinde az gelişmiş ve gelişmekte olan ülkelere verilmektedir. Dış yardımlar, doğrudan yabancı yatırımlar gibi, fakir ülkeler için faydalıdır ve dış yardımın yapıldığı ülkede yatırımların artmasına ve dış borçlanmanın azalmasına neden olur. Aynı zamanda dış yardımlar, halkın tüketim harcamalarının artmasına da neden olur (Seid Hussen & Lee, 2018).

Dış yardımların ekonomik büyüme üzerindeki etkileri uzun yıllardır araştırmacılar tarafından tartışılmaktadır. Ancak dış yardımların ekonomik büyüme üzerinde yaratabileceği etiklere yönelik tam bir fikir birliği sağlanamamıştır (Görgülü, 2016). Ekonomi literatüründe dış yardımların ekonomik büyüme üzerine yaratabileceği etkiye yönelik iki görüş bulunmaktadır. İlk görüşe göre, yurt dışından gelen yardımlar gelişmekte olan ve az gelişmiş ülkelerin ekonomik büyümesi ve kalkınması üzerinde olumlu katkı sağlayacaktır. Çünkü gelişmekte olan ve az gelişmiş ülkelerde dış yardımlar, döviz açığının kapatılmasıyla birlikte, makro ve mikroekonomi faktörlere katkı sağlar. Buna karşın, ikinci görüşe göre, dış yardımlar alıcı ülkelerde iç gelir dağılımının bozulmasına, ülkenin ekonomik ve siyasi politikalarına müdahale edilmesine neden olur. Böylece dış yardımlar alıcı ülkelerin ekonomik büyümesi ve kalkınması üzerinde olumsuz etkiler yaratacaktır (Hatemij & İrandoust, 2005).

Dünya Bankası ve Birleşmiş Milletlerin (BM) kuruluşundan bu yana ekonomik büyüme ve kalkınma uluslararası ülkelerin önemli amaçlarından biri olmuştur. Dünya Bankası ve BM'nin kuruluşundan sonra dış yardımlar gelişmiş ülkelere az gelişmiş ve gelişmekte olan ülkelere, bu ülkelerin ekonomik büyüme ve kalkınmasının hızlandırması amacıyla akmaya başlamıştır. Afganistan'a dış yardımların akışı 1950 yılında başlamış ve bu yardımlar günümüze kadar devam etmektedir. Afganistan hükümeti İkinci Dünya Savaşı sonrasında aldığı dış yardımlarla ekonomik büyümesinin hızını arttırmıştır. Ancak 1979-2001 yılları arasında ülkede yaşanan çatışmalardan dolayı ülkenin ekonomik büyümesi sekteye uğramıştır. Ayrıca bu çatışmaların sonucunda, 240 milyar dolar değerindeki ekonomik al-



tyapının tahrip edilmesinin yanında, iki milyon insan hayatını kaybetmiş, bir milyon insan engelli olmuş ve yaklaşık üç milyon insan yabancı ülkelere mülteci olarak göç etmiştir. Bunun yanında yaşanan bu çatışmalar, ülkede bağımsızlıktan sonra başlatılan modernleşme ve sanayileşme sürecin de son vermiştir. Bu nedenle dış yardımların akışına rağmen, ülkenin ekonomik büyümesinde ortalama olarak %2,54'lük negatif bir büyüme oranı kaydedilmiştir (Nasery, 2014). 2001 yılına gelindiğinde Afganistan'da ekonomiyi tekrar ayağa kaldırmak için herhangi bir finans edici bir fon mevcut değildi. 2001 yılında ülkede yapılandırma süreci başlamıştır. Bu yapılandırma süreci büyük oranda dış yardımlar ile finanse edilmiştir. Bu yüzden, 2003-2012 yılları arasında ekonominin büyümesinde dış yardımların akışı önemli katkı sağlamıştır. Ülke ekonomisinde 2003-2012 yılları arasında ortalama olarak %9'luk bir büyüme oranı kaydedilmiştir. Ancak 2012'den bu yana dış yardımların azalması ve ülkede artan istikrarsızlıktan dolayı ekonomik büyüme oranı yavaşlama sergilemektedir (World Bank, 2017).

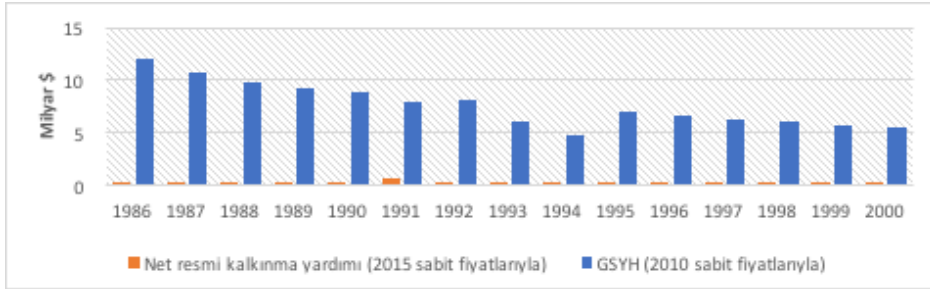
Afganistan doğal kaynaklar bakımından dünyanın en zengin ülkelerinin arasında yer almaktadır. Afganistan'da üç trilyon dolar civarında maden yataklarının bulunmasına rağmen, hâlâ ülke ekonomisi dış yardımlara bağımlıdır. Çünkü Afganistan yoksulluğu, işsizliği ve dışa bağımlılığını azaltmak, kişi başına düşen millî gelirini artırmak için tam olarak doğal kaynaklarından faydalanamamaktadır (Noorani & Brouckere, 2016). Bu çalışmada ilk olarak Afganistan'a yapılan resmî kalkınma yardımların ülkenin ekonomik gelişimi üzerindeki etkilerine değinilmiştir. Daha sonra dış yardımlar ile ekonomik büyüme arasındaki ilişkiyi belirten çalışmalara değinilmiştir. Son olarak zaman serisi yöntemiyle Afganistan için resmî kalkınma yardımlar ile ekonomik büyüme arasındaki ilişki analiz edilmiştir.

Dış Yardımların Afganistan'ın Ekonomik Gelişimi Üzerindeki Etkisi

Afganistan'a yapılan dış yardımların geçmişi çok eski zamana dayanmaktadır. İlk kez 1857 yılında, Güney Asya'daki İngiliz egemenliği sırasında Doğu Hindistan şirketinden para yardımı alındığı bilinmektedir. Ancak İkinci Dünya Savaşı sonrasında 1950 yılından itibaren Orta Asya'nın merkezinde yer alan Afganistan'a Dünya Bankası, Asya Kalkınma Bankası, Birleşik Devletler (ABD) ve Sovyetler Birliği (SSCB) tarafından ekonomik büyümesini geliştirmek amacıyla dış yardımlar yapılmaya başlanmıştır. Bu yardımlar 2000 yılına kadar düşük bir düzeyde devam etmiştir. (Nasery, 2014). Şekil 1'de 1986 ile 2000 yılları arasındaki dönemde Afganistan'ın almış olduğu resmî kalkınma yardımları ve Afganistan'ın GSYH'si gösterilmiştir.



Şekil 1. Afganistan'ın 1986-2000 Yılları Arası Aldığı Resmî Kalkınma Yardımları ve GSYH'si



Kaynak: Dünya Bankası ve Unstats.

Afganistan'da 1979-2001 yılları arasında büyük çatışmalar yaşanmıştır. Bu nedenle yapılan resmî kalkınma yardımlarına rağmen ekonomik büyümesi 2001 yılına kadar giderek düşmüştür. Şekil 1'e bakıldığında, 1986 yılından itibaren resmî kalkınma yardımı 2000 yılına kadar az bir artışı ile devam etmiştir. Buna karşın, GSYH oranı giderek azalmıştır. 1979-2001 yılları arası dönemde ülke ekonomisi ortalama olarak %2,54'lük negatif bir büyüme oranı kaydetmiştir. Dolayısıyla 1979-2001 yılları arasında yaşanan çatışmalardan dolayı ülkenin ekonomik varlıkları neredeyse yok edilmiştir (Nasery, 2014).

2001 yılında Taliban döneminin sona ermesiyle ve demokratik bir hükümetin kuruluşuyla birlikte ülkede yapılandırma süreci başlamıştır. Bununla birlikte bu süreci devam ettirmek için ülkede herhangi bir mali kaynak mevcut değildi. Ülkede, 2001 yılında, ekonomiyi canlandırmak, altyapıları yeniden inşa etmek ve genişletmek, askeri gücü artırmak, demokrasiyi güçlendirmek için, tarım, eğitim ve sağlık gibi alanlara ABD başta olmak üzere diğer gelişmiş ülkeler tarafından dış yardımlar yapılmıştır (United States Congress, 2018).

2001 yılında Afganistan'ın temel ekonomik politikası, dış yardımlar ve yabancı yatırım sağlanması üzerine kurulmuştur (T.C. Kabil, 2017). Neredeyse Afganistan'ın kalkınma bütçesi özellikle 2001 yılından bu yana büyük ölçüde uluslararası ülkeler tarafından finanse edilmektedir 2001'den sonra Afganistan'ın gelişimine yönelik yapılan kalkınma yardımları, ülkenin bazı sektörlerinin gelişmesine çarpıcı bir şekilde katkı sağlamıştır.

Altyapı: 2001 yılında ülkede ABD başta olmak üzere diğer ülkelerin yardımıyla yeniden inşa edilme süreci başlamıştır. Bu yardımların büyük kısmı güvenlik sektöründe harcanmasının yanında ekonomiyi hızlandırılması amacıyla altyapı (yollar, elektrik, su ve sıhhi tesisatı gibi) alanlarında da kullanılmıştır. 2001-2011 yılları arası ABD'nin Afganistan'a yaptığı yaklaşık 2,1 milyar dolar değerinde, para



yardımları yol yapımında kullanılmıştır. ABD'nin yardımıyla ülke genelinde ticareti kolaylaştırmak ve maliyetleri azaltılmak amacıyla 1800 kilometreden fazla yol inşa edilmiştir (Congressional Research Service , 2012). ABD 2002 yılından bu yana 2,2 milyar dolardan fazla Jeneratörler, elektrik istasyonları ve enerji nakil hatları inşa edilmesine yardımda bulunmuştur (SİGAR, 2015).

Birincil sağlık: Dünya Bankası'na göre, 2003 yılında Afganistan dünyanın en fakir sağlık sektörüne sahipti. Savaş döneminde ülkenin sağlık sektörünün altyapısı tahrip edilmiştir. (SİGAR, 2017). Ülkede sağlık tesislerinin sayısı 2002'de 496 civarındayken, 2011'de 2000'e artmıştır. Diğer taraftan eğitilmiş ebe sayısı 2003 yılında 467'den 2010 yılında 1.950'e yükselmiş, kadın vasıflı sağlık çalışanlarının oranı aynı dönemde %25'ten %72'ye çıkmıştır. Dolayısıyla 2003 yılında ülke nüfusunun %9'u temel sağlık hizmetlerden faydalanırken bu oran 2010 yılında %85'e yükselmiştir (IEG 2013). Afganistan'ın sağlık hizmetleri son 17 yılda istikrarlı bir şekilde gelişmektedir. Ülkede 2018 yılında bulunan 3.135 sağlık tesisinde nüfusun neredeyse %87'sine sağlık hizmetleri sunulmaktadır (World Health Organization, 2019).

Temel Eğitim: 2002 yılında ülkede az sayıda okul mevcuttu. Ancak 2002 yılından sonra ülkeye gelen dış yardımlarla çok sayıda okul inşa edilmiştir. Ülke, 2002 yılında 6.039 okula sahip iken, 2011 yılında okul sayısı 13.643'e artmıştır (IEG 2013). 2001'den bu yana okula kayıt oranları 0,8 milyondan 9,2 milyona kişiye yükselmiştir. Bunun %40'ını kız öğrenciler oluşturmaktadır. Dolayısıyla 2001 yılından günümüze kadar okullaşma oranı artmıştır (Department of Foreign Affairs and Trade, 2017). Afganistan'a 2001 yılından sonra yapılan kalkınma yardımları ülkenin makroekonomik ve mikroekonomik göstergelerinin gelişimine katkı sağlamıştır.

Afganistan'da 2001 yılında başlatılan yapılandırma sürecinin uluslararası koalisyonun güçlü bir desteği olmaksızın gerçekleştirilmesi mümkün değildi. Bu yapılandırma süreci ABD başta olmak üzere İngiltere, Kanada, Çek Cumhuriyeti, Avustralya, Danimarka, Çin, İtalya, Japonya, Fransa, Finlandiya ve Türkiye gibi ülkeler tarafından finanse edilmiştir. Türkiye ile Afganistan arasındaki ilişkiler 1920 yılına kadar dayanmaktadır. Bu iki ülke arasındaki ekonomik ve siyasi ilişki günümüze kadar sıcak bir şekilde devam etmiştir (T.C. Kabil, 2017).

Dünya Bankası Afganistan'da diğer uluslararası ülkelerin yanında altyapı, kırsal kalkınma, eğitim, işsizliğin azaltılması, elektrik dağıtımı ve üretimi, sağlık ve eğitim kalitesinin arttırılması gibi alanlara yönelik katkıda bulunmuştur. Dünya Bankası, 2002-2017 yılları arasında belirtilen alanlarda yaklaşık 3 milyar dolar de-



gerinde yardım sağlamıştır. Bu yardımların 2,63 milyar dolarlık kısmı hibe ve 436 milyon dolarlık kısmı ise faizsiz kredi olarak sağlanmıştır (T.C. Kabil, 2017). Şekil 2’de Afganistan’ın 2001-2017 yılları arası dönemde aldığı resmî kalkınma yardımları ve Afganistan’ın GSYH’si gösterilmiştir.

Şekil 2. Afganistan’ın 2001-2017 Yılları Arası GSYH’si ve Aldığı Resmi Kalkınma Yardımları



Kaynak: Dünya Bankası ve Unstats

Afganistan’ın GSYH’si 2001 yılında 5 milyar dolardan fazlayken, 2017 yılında bu değer yaklaşık 21 milyar dolara yükselmiştir. Resmî kalkınma yardımları 2001 yılında 410 milyon dolar değerindeyken, 2017 yılında 3 milyar 743 milyon dolar değerine ulaşmıştır. Dolayısıyla dış yardımların artmasıyla birlikte ekonomik büyüme hızı da artmaya başlamıştır. Afganistan’a yapılan kalkınma yardımları 2001’den itibaren 2012’e kadar giderek artmıştır. Ancak 2012 yılından sonra bu durumun tersi yaşanmış ve kalkınma yardımları azalarak devam etmiştir. Ülkenin ekonomik tarihinde ilk kez 2002-2013 yılları arasında ortalama olarak %9’luk bir büyüme kaydedilmiştir. Dolayısıyla Şekil 2’ye bakıldığında, 2001’den 2012’ye kadar hem resmî kalkınma yardımları hem de ekonomik büyüme oranında artış görülmektedir. Ancak 2012 yılından sonra dış yardımların azalması ekonomik büyümeyi olumsuz yönde etkilemiştir. 2012 yılında resmî kalkınma yardımları 6 milyar dolardan fazlayken, bu değer 2013’te 5 milyara düşmüş ve daha sonraki dönemlerde uluslararası güçlerin kademeli azalmasıyla birlikte giderek azalmıştır. Söz konusu resmî kalkınma yardımlarının azalması, içerdeki istikrarsızlığın artmasıyla yatırımların azalması, kuraklığın artması ve mültecilerin geri dönmesi, 2012’den sonra ülkenin makro- ekonomik göstergelerinin üzerinde olumsuz etki yaratmıştır. Bu yüzden ülkenin ekonomik büyümesi 2014’te %2,7’ye; 2015’te %1,5’e; 2016’da %2,3’e; 2017’de %2,7’ye ve 2018’de %2,4’e gerilemiştir (World Bank, 2018).



2001'den sonra Afganistan'da başlatılan yapılandırma sürecini desteklemek amacıyla ABD başta olmak üzere diğer ülkeler tarafından milyarlarca dolarlık mali yardımlar akmıştır. Ancak mali yardımların artmasıyla artan ekonomik büyümeye rağmen, hâlâ ülkede yoksulluk oranı %55, işsizlik oranı %40'tır. Çünkü Afganistan yönetiminde kapasite eksikliği, milyarlarca dolar yardımın verimli bir şekilde harcanamamasının yanında, yaygın gelir dağılımının bozulmasına, rüşvetçiliğin yaygınlaşmasına ve istikrarsızlığın artmasına neden olmuştur (Zazai, 2018). Diğer bir taraftan Afganistan'a yapılan dış yardımların bir kısmı, uluslararası ülkelerin kendi amaçlarının gerçekleşmesine harcanmıştır ve taahhüt edilen mali yardımların bir kısmı da ödenmemiştir. (IEG 2013).

Afganistan'ın 2019 yılındaki bütçesi 399,4 milyar Afgani olarak belirlenmiştir. Lakin bu bütçenin %47'si yurt içi gelirden ve yaklaşık %50'i dış yardımlar yoluyla finanse edilmektedir (World Bank, 2019). Dolayısıyla günümüzde dış yardımlar azalsa bile, hâlâ ülkenin ekonomik büyümesinde ve kalkınmasında önemli bir rol oynamaktadır. Afganistan'a yapılmakta olan dış yardımlar önümüzdeki yıllarda daha fazla azalacaktır. Bu nedenle Afganistan hükümeti ülke ekonomisini dış bağımlılıktan kurtarabilmek, ekonomik büyümeyi hızlandırabilmek, yoksulluk ve işsizlik oranlarını azaltabilmek için zengin doğal kaynakların çıkarılmasına odaklanmaktadır. Doğal kaynaklar ülkenin ekonomisinin dış bağımlılıktan kurtarılabilmesi ve ekonomik büyümenin hızlandırılması için en önemli mali kaynak olarak bilinmektedir (Farahmand & Esen, 2018).

Literatür Taraması

Dış yardımların ekonomik büyüme üzerindeki etkisi uzun zamandır iktisatçılar tarafından tartışılmaktadır. Ekonomi literatüründe dış yardımlar ile ekonomik büyüme arasındaki ilişkiyi inceleyen kapsamlı çalışmalar bulunmaktadır. Lakin Afganistan'a yapılan dış yardımlar ile ekonomik büyüme arasındaki ilişkiyi analiz eden herhangi bir çalışma tespit edilememiştir. Dolayısıyla bu kısımda ilk olarak dış yardımlar ile ekonomik büyüme arasındaki ilişkinin pozitif olduğunu ortaya koyan ve daha sonra bu iki değişken arasındaki ilişkinin negatif olduğunu belirten çalışmalara değinilecektir.

Papanek (1973), Fayissa ve el-Kaissy (1999), Levy (1988), Hatmi ve Irandoust (2005), Karras (2006), Fasanya ve Onakoya (2012) Siddique, Kiani ve Batool (2018), çalışmalarında dış yardımlar ile ekonomik büyüme arasındaki ilişkinin pozitif yönlü olduğunu tespit etmişlerdir.



Papanek (1973), 1960-1970 yılları arasında dış yardımların ekonomik büyüme üzerindeki etkisini panel veri analizi yönetimiyle 51 az gelişmiş ülke için araştırmıştır. Papanek sonuç olarak dış yardımlar az gelişmiş ülkelerin ekonomik büyümelerini olumlu yönde etkilediğini belirtmiştir. Diğer bir çalışmada Fayissa ve el-Kaissy (1999), 77 ülkede, 1971-1980, 1981-1990 ve 1971-1990 arası yıllarda, modern ekonomik büyüme teorilerini kullanarak dış yardımların gelişmekte olan ülkelerin ekonomik büyümelerini olumlu yönde etkilediğini açıklamışlardır. Levy (1988), Sahra altı Afrika'da dış yardımın ekonomik büyüme üzerindeki etkisini incelemiştir. Çalışma sonucunda, dış yardım ile ekonomik büyüme arasında pozitif bir ilişki olduğunu tespit etmiştir. Hatmi ve Irandoust (2005), 1974-1996 yılları arasındaki dönemde, Botsvana, Etiyopya, Hindistan, Kenya, Sri Lanka ve Tanzanya'ya yapılan dış yardımlar ile ekonomik büyüme arasındaki ilişkiyi panel veri analizi ile incelemişlerdir. Neticede, dış yardımların her bir ülkenin ekonomik etkenleri üzerinde olumlu ve önemli bir etkisinin olduğunu bulmuşlardır. Karras (2006), 1960-1997 döneme ilişkin verileri kullanarak yardım alan 71 gelişmekte olan ülke için dış yardımlar ile kişi başına düşen GSYH'deki büyüme arasındaki ilişkiyi panel veri analizi ile araştırmıştır. Karras, dış yardımın ekonomik büyüme üzerindeki etkisinin olumlu, kalıcı, istatistiksel olarak anlamlı ve büyük olduğu sonucuna ulaşmıştır. Dolayısıyla bu ülkelerde dış yardımların akışının artışı, ekonomik büyümeyi olumlu yönde etkilemekte ve böylece yardım alan ülkelerin ekonomik büyümelerini arttırmaktadır. Fasanya ve Onakoya (2012) çalışmalarında, 1970-2010 yılları arasında Nijerya'ya yapılan dış yardımların ekonomik büyüme üzerindeki etkisini ampirik olarak incelemişlerdir. Dış yardım akışlarının Nijerya'daki ekonomik büyüme üzerinde önemli bir etkisi olduğunu ortaya koymuşlardır. Siddique, Kiani ve Batool (2018), yaptıkları çalışmada, panel veri analizini kullanılarak 1995-2013 yılları arasında dış yardımın ekonomik büyüme üzerindeki etkisini, Güney ve Doğu Asya ülkeleri için analiz etmişlerdir. Uygulanan panel analizinde dış yardımın ekonomik büyümeyi desteklediğine dair anlamlı ve güçlü sonuçlar elde edilmiştir.

Mallik (2008), Liew vd. (2012), Mbah ve Amassoma (2014), Tüzemen ve Tüzemen (2015), yaptıkları çalışmalarda dış yardımlar ile ekonomik büyüme arasında negatif yönlü bir ilişkinin olduğunu tespit etmişlerdir. Dünyanın en fakir ülkelerini barındıran Afrika bölgesine uzun yıllardır gelişmiş ülkeler tarafından makroekonomilerini geliştirmeleri amacıyla yardımlar yapılmaktadır. Ancak bu yardımlara rağmen hâlâ Afrika ülkelerinin çoğu yoksulluk ve açlıkla mücadele etmektedir. Mallik (2008), 1965-2005 yılları arasında Nijerya, Malavi, Mali, Sierra



Leone, Orta Afrika Cumhuriyeti ve Togo ülkelerine yapılan dış yardımlarla ekonomik büyüme arasındaki ilişkiyi eşbütünleşme testi ile analiz etmiştir. Mallik yaptığı çalışmada, uzun vadeli dış yardımın ekonomik büyüme üzerindeki etkisinin bu ülkelerin çoğu için olumsuz olduğu sonucuna ulaşmıştır. Liew vd. (2012), 1985 ve 2010 yılları arasında Doğu Afrika ülkelerinde dış yardımın ekonomik büyüme üzerindeki etkisini en küçük kareler, rassal etkiler ve sabit etkiler modellerini uygulayarak araştırmışlardır. Sonuç olarak dış yardım ile ekonomik büyüme arasında negatif bir ilişki olduğunu bulmuşlardır. Mbah ve Amassoma (2014), 1981-2012 yılları arasında Nijerya'ya yapılan dış yardımlar ile ekonomik büyüme arasındaki uzun dönemli doğrusal ilişkiyi belirlemek için En Küçük Kareler ve Johansen eşbütünleşme testlerini kullanılarak analiz etmişlerdir. Yapılan analiz sonucunda, dış yardımlar ve ekonomik büyüme arasında negatif bir ilişkinin varlığını bulmuşlardır. Tüzemen ve Tüzemen (2015), eşbütünleşme testi ve hata düzeltme modeli ile 1967-2013 yılları arasındaki dönemde Türkiye için dış yardımlar ile ekonomik büyüme arasındaki ilişkiyi incelemişlerdir. Çalışma sonucunda, bu iki değişken arasında, doğrusal olmayan bir ilişki bulmuşlardır.

Özetle dış yardımlar ile ekonomik büyüme arasındaki ilişki üzerine yapılan araştırma sonuçları, modellere, verilere ve analiz yapılan ülkelere göre farklılık göstermektedir.

Veri Seti ve Ekonometrik Yöntem

Çalışmada kullanılan reel GSYH verisi Unstats veri tabanından ve resmî kalkınma yardımı (RKY) verisi Dünya Bankası'nın veri tabanından alınmıştır. Bu çalışmada Afganistan için 1986-2017 yılları arası dönemde resmî kalkınma yardımları ile reel GSYH arasındaki bir ilişkinin var olup olmadığı zaman serisi yönetimiyle incelenmektedir. Bu amaçla ilk olarak serilerin logaritmalarının alınmasının ardından durağanlaştırılması için ADF ve Phillips-Perron (PP) birim kök testleri yapılmıştır. Daha sonra gecikme uzunluğunu belirlenmesinin ardından bu iki değişkenin uzun dönemde birlikte hareket edip etmediğini sınamak için Johansen eşbütünleşme testi yapılmıştır. Ayrıca bu iki değişken arasındaki nedensellik ilişkisini araştırmak için hata düzeltme modeline dayalı Granger nedensellik testi yapılmış ve son olarak serilerin birbirlerinin üzerindeki etkilerine bakmak için varyans ayrıştırması analizi yapılmıştır.

Ekonometrik analizlerde zaman serisi kullanıldığında ilk olarak serilerin durağan olması gerekmektedir. Çünkü durağan olmayan serilerle çalışıldığında



seriler arasındaki gerçek bir ilişkinin olmamasına karşın, gerçek bir ilişkinin var olduğu gibi bir sonuçla karşılanabilir. Dolayısıyla analizde durağan olmayan seriler kullanıldığında bu durum sahte regresyonun ortaya çıkmasına neden olabilecektir. (Ata ve Eren, 2018). Bu nedenle sahte regresyonun çıkmasını önlemek için seriler üzerinde birim kök testlerinin yapılması gerekir. Bu çalışmada GSYH ve RKY serilerin durağan olup olmadığını öğrenmek için ADF ve PP birim kök testleri yapılmıştır.

Tablo 1. ADF ve PP Birim Kök Testleri Sonuçları

			ADF test		PP test	
			T-istatistiği	P-değerli	T-istatistiği	P-değerli
GSYH	Düzey	Sabitli Trendli***	-2.2792	0.4322	-2.3076	0.4178
	1.Fark	Sabitli Trendli***	-5.5132	0.0005	-5.5130	0.0005
RKY	Seviyesi	Sabitli Trendli***	-1.5728	0.7798	-4.1434	0.1039
	1.Fark	Sabitli Trendli***	-7.8275	0.0000	-7.8225	0.0000

Not: Tabloda yer alan *, **, *** yıldızı sırayla %1, %5 ve %10 anlamlık seviyeleri göstermektedir.

Tablo 1’de yapılan ADF ve PP birim kök testleri sonucunda, GSYH ve RKY değişkenlerinin düzey değerlerinde durağan olmadıkları t-istatistiklerinden ve p-değerlerinden görülmektedir. Basit bir şekilde, eğer p-değeri %5’ten büyük çıkarsa, sıfır hipotezi reddedilemez, yani seri durağan değil anlamına gelir. Buna karşın, eğer p-değeri %5’ten küçük çıkarsa sıfır hipotezi red ve H1 hipotezi kabul edilir, yani seri durağandır. Tablo 1’e bakıldığında, GSYH ve RKY değişkenlerin olasılık değerleri (0,4322 ve 0,7798) düzey değerlerinde %5’ten büyük çıkmıştır, yani değişkenler düzeyde durağan değildir. Bu değişikliklerin birinci farkı alındıktan sonra olasılık değerleri (0,0005 ve 0,0000) p-değeri %5’ten küçük çıkmıştır, yani her iki değişken birinci farkta durağan hale gelmiştir. GSYH ve RKY değişkenleri birinci dereceden durağan koşulunu sağladıkları için eş bütünleşme testi uygulanabilir. Bu nedenle gecikme uzunluğunu belirlenmesinin ardından bu iki değişkenin uzun dönemde birlikte hareket edip etmediklerini incelemek için eşbütünleşme testi yapılır. Tablo 2’de gecikme uzunluğunu belirlemek için yapılan teste göre, uygun gecikme uzunluğunun bir olduğu görülmektedir.

**Tablo 2.** Gecikme Uzunluğunu

Lag	LogL	LR	FPE	AIC	SC	HQ
0	-49.14952	NA	0.132370	3.653537	3.748695	3.682628
1	3.445989	93.92055*	0.004121*	0.182429*	0.467902*	0.269701*
2	6.008811	4.210351	0.004594	0.285085	0.760872	0.430538
3	9.050930	4.563178	0.004989	0.353505	1.019607	0.557139
4	11.44139	3.244198	0.005741	0.468472	1.324889	0.730287

Not: yıldız simgesi * ilgili kritere göre uygun gecikme sayısını göstermektedir.

Zaman serisi analizinde serilerin birinci dereceden durağanlaştıkları tespit edildikten ve gecikmesi sayısı belirlendikten sonra eşbütünleşme testi yapılabilir. Johansen eşbütünleşme testinde model içindeki bağımlı değişken ve bağımsız değişken ayrımına ihtiyaç duyulmaz (Esen, 2007). Tablo 3'te Johansen eşbütünleşme testinde verilerin düzey değerleri kullanılarak analiz yapılmıştır.

Tablo 3. Johansen Eşbütünleşme Testi Sonuçları

Eş bütünleşme	Öz değer	İz istatistiği	%5 kritik değer	Olasılık değeri
Hiç	0.491166	21.52007	15.49471	0.0055
En fazla 1	0.040845	1.251075	3.841466	0.2633

İz testi %5 seviyesinde 1 eşbütünleşik ilişkiye işaret etmektedir.

Kısıtsız eş bütünleşme Öz değeri Rank Testi (Özdeğer)

Hiç	0.491166	20.26900	14.26460	0.0050
En fazla 1	0.040845	1.251075	3.841466	0.2633

Maksimum öz değeri testi %5 düzeyinde bir eşbütünleşik ilişkiye işaret etmektedir.

Tablo 3'te yapılan Johansen eş bütünleşme testinin sonucunda, bu iki değişken arasında bir tane eş bütünleşme ilişkisinin varlığı tespit edilmiştir. Kısaca, GSYH ve RKY değişkenleri uzun dönemde birlikte hareket etmektedir.



Sonuç

Afganistan'a dış yardımların akışının geçmişi çok eski zamanlara dayanmaktadır. Bununla birlikte 2001 yılında yeni bir hükümetin kurulmasından sonra ülkede başlayan yapılandırma sürecini desteklemek amacıyla yoğun bir şekilde dış yardımların akışı başlamıştır. Dış yardımlar 2001 yılından itibaren Afganistan'ın sosyal ve ekonomik altyapılarına, üretim, tarım, eğitim, sağlık ve hizmet sektörlerine büyük oranda katkı sağlamıştır. Aynı zamanda dış yardımlar askeri gücü artırmak ve demokrasiyi güçlendirmek gibi alanlara da çarpıcı bir şekilde katkı sağlamıştır. Buna bağlı olarak ülke ekonomisi 2003-2012 yılları arasında yılda ortalama olarak %9'luk bir büyüme kaydetmiştir. Ama 2012'den sonra resmî kalkınma yardımların azalması, içerdeki istikrarsızlığın artmasıyla yatırımların azalması, kuraklığın artması ve mültecilerin geri dönmesi ülkenin makroekonomik göstergelerinin üzerinde olumsuz etki yaratmıştır. Bu nedenle ülkenin ekonomik büyüme oranı 2012 yılından bu yana düşük bir oranla büyüme sergilemektedir.

Afganistan'a milyarlarca dolarlık dış yardımların akmasına ve 3 trilyon dolar değerinde madenlerin bulunması rağmen, hâlâ ülke yüksek yoksulluk ve işsizlik sorunuyla karşı karşıyadır. Çünkü Afganistan yönetiminde kapasite eksikliği milyarlarca dolar yardımın verimli bir şekilde harcanamamasının yanında, gelir dağılımının bozulmasına, rüşvetçiliğin yaygınlaşmasına ve istikrarsızlığın artmasına neden olmuştur. Diğer taraftan Afganistan'a yapılan dış yardımların bir kısmı, uluslararası ülkelerin kendi amaçların gerçekleşmesine harcanmıştır ve bunun yanında taahhüt edilen mali yardımların bir kısmı da ödenmemiştir. Afganistan hükümeti ülke ekonomisini dış bağımlılıktan kurtarabilmek, ekonomik büyümeyi hızlandırabilmek, yoksulluğu ve işsizlik oranlarını azaltılmak için zengin doğal kaynakların çıkarılmasına odaklanmaktadır. Bu nedenle, hükümet yerli ve uluslararası yatırımcıların ilgisini çekebilmek için maden sektöründe kolaylaştırıcı reformlar getirmiştir.

Bu çalışmada 1986-2017 yılları arasındaki dönem için resmî kalkınma yardımları ile ekonomik büyüme arasındaki ilişki zaman serisi yöntemiyle incelenmiştir. Çalışma, analiz kısmında ilk olarak serilerin durağanlaştırılması için ADF ve PP birim kök testleri yapılmıştır. Resmî kalkınma yardımı ve ekonomik büyüme serileri birinci derecede durağan koşulunu sağladıkları için eşbütünleşme testi yapılmıştır. Eşbütünleşme testi sonucunda seriler arasında bir tane eşbütünleşme ilişkisi bulunmuştur. Dolayısıyla bu iki değişken uzun dönemde birlikte hareket etmektedir. Sonuç olarak, Afganistan için resmî kalkınma yardımlarının ülkenin ekonomik büyümesi için önem arz ettiği ifade edilebilir.



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Depreciation of the Georgian Lari and Interventions of the National Bank of Georgia: An Empirical Analysis

Salome Gavashelishvili*

Abstract: Should national bank conduct interventions during the devaluation of the national currency? Theoretical and empirical studies provide no conclusive answer. This paper aims at shedding light on the case of Lari – the national currency of Georgia, which has been experiencing a drastic depreciation against the US Dollar since November 2014. Effectiveness of the interventions of National Bank of Georgia through the foreign exchange auctions has been evaluated on daily basis. Empirical results prove the existence of bi-directional causality running from exchange rate and interventions and vice versa. Although ARDL approach exhibits long-run and short-run cointegration, speed of adjustment of the error correction term is too small in magnitude to guarantee the long run stability of Georgian Lari.

Keywords: Exchange Rate, Intervention, Devaluation, Lari.

* Hacettepe University, Economics.
Contact: salomegavashelishvili@yahoo.com



Introduction

The policy of the central bank is one of the most observed and analyzed issue during the national currency crisis. However, theoretical and empirical analysis provide inconclusive conclusion about its effectiveness. Georgia is a developing country with a fragile economy, which is highly vulnerable to both, internal and external factors. Lari has been exclusive legal tender in Georgia since 1995, which experienced a drastic fall against the USD in the end of 2014. Although each step taken by the National Bank of Georgia (NBG) since November 2014 has become a topic of discussion among economists and politicians, their arguments are mostly based on the theoretical and intuitive assumptions and lack the empirical proofs.

This paper aims at shedding light on the effectiveness of the NBG interventions through foreign exchange market in terms of appreciating and stabilizing Lari. For this purpose, ARDL cointegration approach has been applied to the daily data of exchange rate and NBG interventions obtained from the official statistics of the NBG.

The paper is organized as follows: The second section makes a review of the theoretical and empirical contribution of the previous researches in this field. The third section provides a brief historical storyline of the Georgian economy after regaining independence. The fourth section introduces data and methodology employed in the empirical analysis. The fifth section presents results of the empirical analysis, whereas the last section summarizes the main findings.

Literature Review

The effectiveness of central bank intervention while determining the exchange rate has been a subject of discussion for the macroeconomists. The literature and the empirical evidence aiming at shedding light on this issue are inconclusive and provide controversial discussions. While one part of the economists claims that the national bank should actively use its tools in order to guarantee the stability of currency, others argue that not only the interventions are costly but also, they increase the fluctuation of the exchange rate.

For example, the Bank for International Settlements (BIS, 2014) suggests avoiding interventions in the foreign exchange market. The evidence of Israel, Mexico, Poland, and Thailand is a good example of a negative impact of the interventions, while volatility in those countries where the exchange rate is ruled with the market forces, has shown a reducing tendency in recent years. This suggests



that interventions may end up with the unintended effects and can lead to volatility of the exchange rate. Dominguez (1998) states that central bank interventions have resulted in triggering exchange rate volatility in US, Japan and Germany. Loiseau-Aslanidi (2011), who investigated the case of Georgia between 1996-2007 years, shows that the National Bank of Georgia 'leans against the wind' when it tries to smooth the exchange rate using interventions. While the exchange rate is affected immediately the next day of the intervention, in the long-run increase in the volatility can be observed. Utami and Hsu (2019) have examined the effectiveness of the interventions during crisis periods in 27 countries and based on the empirical analysis they have concluded that FX interventions do not effectively stabilize neither exchange nor stock market return. In case of Brazil, a quantile regression approach revealed that the impact of interventions varies according to the distribution on exchange rate volatility (Viola et al., 2018). Besides this, we can get the desired outcome only if the intervention is consistent with the monetary policy (Kim, 2003, Amato et al., 2005, Kamil, 2008). Furthermore, according to Obstfeld (1982) and Backus and Kehoe (1989), the interventions must be supported with the changes in the monetary and fiscal policies simultaneously. In their discussions, operations on the foreign exchange market are treated as an additional tool, not as the main one. Therefore, in case the government and the central bank cannot provide the relevant changes in both channels, the interventions are going to be a waste of the resources.

On the other hand, some central banks recognized that their interventions can be an important tool in order to provide liquidity to the economy while the fluctuation of the exchange rate in the regime of financial dollarization puts some economic agents' balance sheet (their assets and liabilities) under the risk (BIS, 2005). Furthermore, Disyatat and Galati (2007) argue that there is a high probability for the thin foreign exchange market which is represented with a small number of agents to be characterized with high volatility if the interventions are not conducted. However, Cavusoglu (2011) finds that the significant effect of the interventions on the exchange rate does not usually last long. Correlation between the exchange rates and the interventions can be observed only during a couple of days.

If we consider the research papers looking into the cases of specific country and its national bank interventions, we can check the relevance of the theoretical discussions in the literature. The evidence of Czech Republic study suggests that the interventions conducted in 2001 and 2002 by the Czech National Bank against the appreciation of Koruna resulted in a short-run effect on the exchange rate to



a certain level. However, no medium or long-run impact has been observed. Besides this, the volatility of the exchange rate has increased (Gersl and Holub, 2006). Domac and Mendoza (2004) investigated the case of Mexico (1996-2001) and Turkey (2001-2002) and stated that in both countries the volatility of exchange rates have decreased as a result of the national bank interventions. Based upon this, they claim that if the interventions are conducted sensibly, they can be successful under an inflation targeting framework. They can neutralize the temporary exchange rate shock on inflation and financial stability. The case study of Poland by Adam et al., (2011) shows that foreign exchange interventions carried out by the national bank of Poland were effective in terms of appreciating zloty against euro on the same date of intervention and declining its volatility. Bucacos et al. (2019) have conducted weekly analysis of interventions and their effects based on which they assume that interventions have significant but short-term effect on nominal exchange rate in Uruguay. Fratscher et al. (2019) provide a systematic analysis of FX intervention effectiveness based on the case study of 33 countries, including Georgia. As an overall assessment, they have found out that 80% of the interventions have been successful considering a certain criteria tool. However, we cannot say the same for each and every case. There is an extensive literature but no final consensus about the impact of central bank interventions and exchange rate determination.

Georgian Economy at a Glance–Historical Storyline

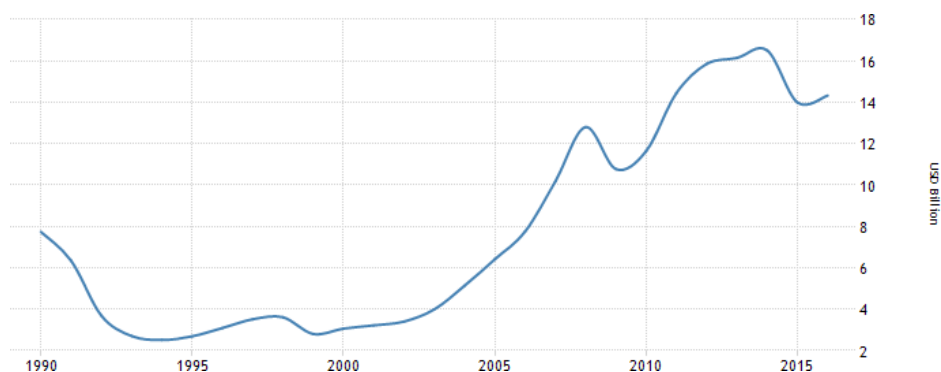
Georgia is a developing country in the South Caucasus with the area of 69.700 (sq. km) and population of 3723.5 (thousand person). Although the Georgian kingdom, famous for having one of the richest histories and culture worldwide, claims to have ancient roots, its recent history countdown has not started long ago.

Having been incorporated in the Soviet Union by force since 1921, Georgia declared independence in 1991. During the Soviet time, Georgia represented a successful and prosperous piece of the empyreal economic chain. However, after dissolution of the Soviet Union, due to the fact that Georgia had no economic independence or effective economic plan, it had to pay a huge price for surviving as a sovereign entity. As for the other Soviet states as well, the transition from the centrally ruled to a free market economy turned out to be a painful process. Absence of the effective institutions have led Georgia to drown in chaos. Military conflict in Samachablo region was followed with the civil war between the govern-



ment and opposition; there was a shortage for public goods and services, including food and electricity. Criminal became a part of the everyday life. The government was totally unable to fulfill its responsibilities. Temporarily adopted so- called currency Coupon managed to break all the records of the inflation. Total amount of investments in 1994 accounted for the 2.8% of the one in 1990. Only 5% of the total manufacturing was functioning which means that the majority of the industries were paralyzed.

Figure 1: GDP of Georgia (billion USD)



Source: World Bank

In 1994 GDP per capita dropped to its lowest point – 501 USD, which means that after declaring independence, Georgia had been losing around 1/3 of its GDP each year. Slight but positive GDP growth can be observed since 1995. In 1996 the economic growth reached 12.5%.

Georgia started to strengthen its positions on the geopolitical map after the political changes in 2003. Improved infrastructure, increased trust towards the institutions, safe environment and flexible fiscal politics stimulated private sector and attracted foreign direct investments. The war between Russia and Georgia in 2008 was a huge shock for the economy but Georgia managed to regain positive growth in 2010. Between 2012 and 2013 GDP per capita grew from 867 USD to 3636 USD.

The depreciation of the national currency - Georgian Lari towards US Dollar has become the subject of hot debates among the politicians and economists since November, 2014. Figure 2 shows that the value of national currency, which had been maintaining stability with slight fluctuations since 2008, experienced a drastic fall in the end of 2014.



Figure 2: The value of 1 USD with respect to Lari



Source: National Bank of Georgia

A number of factors have been named in order to explain the tendency of the exchange rate. External factors are intensively discussed as the internal ones.

External factors affecting the exchange rate of Lari:

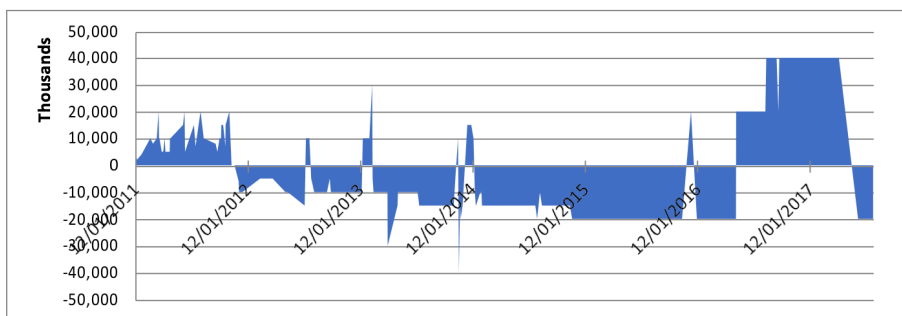
- The statement of the US Federal Reserve regarding the end of the policy of quantitative easing and the expectations of strict monetary policy;
- Drop in oil prices on the world market;
- Tense geopolitical situation in the region and the conflict in Ukraine;
- Adoption of euro-4 standard in Azerbaijan (since September 2014) and the ensuing restrictions on re-exportation of vehicles from Georgia to Azerbaijan;
- Decrease in Georgian exports, increase in imports (December 2014) and the subsequent deterioration of trade deficit;
- Decrease inflows of foreign investment;
- Decrease in remittances;
- Taking out foreign investors' dividends;
- Paying the external debt;
- Decrease of rate of income growth from tourism

Internal factors include, on the one hand, the government's fiscal policy, and especially the expenditure part of the state budget, and on the other hand, increasing dependence on internal loans in terms of budget revenues. (IDFI, the University of Bremen or the Federal Foreign Office of Germany).



Although the primary goal of the National Bank of Georgia is not taking the exchange rate under control, it still conducted interventions on the foreign exchange market via foreign exchange auction.

Figure 4: Dynamics of Trade on the NBG's Foreign Exchange Auctions



Source: National Bank of Georgia

As it is visible from the Figure 4, the rate of selling US Dollar on the foreign exchange auction is higher than buying it, especially from 2014 till 2016. As the theoretical and empirical evidence of the country case studies shows, it is arguable whether the National Bank's intervention during currency crisis is desirable or not. However, the case of the National Bank of Georgia and Georgian Lari lacks the empirical evaluation. Although it has become the issue of debates among the government, opposition, economists and experts, there is no conclusive answer.

Data and Methodology

Data

The datasets incorporated in this research paper consists of daily observations of exchange rate of US Dollar with respect to Georgian Lari (ER), which is measured in terms of the amount of Lari that is needed to purchase 1 US Dollar. Daily data of the National Bank of Georgia interventions (INT) via foreign exchange market has been included as an independent variable. Net interventions are measured in thousands of US Dollar as a change between bought and sold US Dollars. Inspected time period covers 3073 observations spanning from 03.10.2009 to 08.07.2013. As the impact of intervention on exchange rate is expected to be revealed the following day, one day lagged values of interventions are employed in the analysis. Both of the datasets are obtained from the official statistic database of the National Bank of Georgia.



Methodology

Stationarity Check of Time Series

In order to select the appropriate methodological framework for the given time series this paper follows the guidelines of Shrestha and Bhatta (2018). Stationary analysis is the primary tool to choose the right model for time series analysis. Therefore, prior to the examination of the relations between the variables, order of integration of the series are determined. In order to check whether the variable is stationary or possesses unit root, I have applied Augmented Dickey-Fuller (ADF) (Dickey and Fuller, 1981) and Phillips-Perron (PP) (Phillips and Perron, 1988) and Kwiatkowski-Phillips-Schmidt-Shin (KPSS) (Kwiatkowski et al., 1992) tests for unit root, which are commonly used in the empirical analysis. Augmented Dickey-Fuller and Phillips-Perron test null hypothesis that the variable has a unit root, whereas the null hypothesis for Kwiatkowski- Phillips-Schmidt-Shin is that the data is stationary. If LM statistic derived from the KPSS is greater than the critical value, the series are said to be non-stationary. As for ADF and PP, null hypothesis of unit root is rejected in case the test statistic is more negative than critical value. However, these tests have a quite important shortcome. They do not include the structural break, which needs to be considered before investigating a long-run relationship between two series. If there is a structural break in the time series, unit root tests may be misleading in terms of claiming them to be nonstationary even in case there is no unit root. In this particular case, Georgian Lari experienced a sharp devaluation at the specific time and therefore, the stationarity needs to be checked under assumption of the presence of structural break as well. Within this scope, Zivot- Andrews unit root test (ZA) (Zivot and Andrews, 1992) is applied to the given variables. ZA tests the null hypothesis that a series has a unit root with a structural break in the intercept (Model A), in the trend (Model B), or both in intercept and trend (Model C). In case the test statistic is greater than critical value, null hypothesis of a unit root is rejected.

ARDL Approach

After determining the integration of time series, it is plausible to conduct cointegration analysis. This paper employs the Autoregressive Distributed Lag (ARDL) approach, which is applicable for the time series with mixed integration (Pesaran & Shin, 1999). It has number of advantages compared with other cointegration tests such as Engle and Granger (1987) and Johansen and Juselius (1990) as it



uses just one equation for estimating long-term parameters and avoids serial correlation and endogeneity issues (Narayan, 2004).

ARDL cointegration test, which is based on ordinary least square (OLS) model, exhibits sensitivity towards the number of lags included in the analysis. Therefore, optimal number of lags can be obtained by running fitted standard Vector Autoregressive (VAR) models, which is a widely used tool for macroeconomic forecasting. VAR provides a number of criteria for lag order selection: Akaike information criterion (AIC), Hannan-Quinn information criterion (HQ), Schwarz information criterion (SC), Final prediction error (FPE) and sequential modified LR test statistic (LR). The shortest lag is accepted to be optimal.

ARDL approach can be used to obtain information about long-run as well as for short-run cointegration. If the long-run cointegration is detected between the variables, short-run cointegration analysis may be conducted by making a small linear transformation.

If we take ER as a dependent variable and INT as an independent variable, the model with intercept will be shaped as follows:

$$\Delta ER = \beta_0 + \sum_{i=1}^n \delta_i \Delta ER_{t-i} + \sum_{i=1}^n \gamma_i \Delta INT_{t-i} + \varphi_1 ER_{t-1} + \varphi_2 INT_{t-1} + \varepsilon_t$$

Where δ_i and γ_i represent short-run coefficients, φ_1 and φ_2 stand for long-run coefficients and ε_t expresses disturbance term (white noise). In order to check the long-run cointegration Bound Test is applied to long-run coefficients. F statistics is compared with lower (I(0)) and upper (I(1)).

Critical values developed by Narayan (2005). If F statistic is smaller than I(0) critical value, there is no long-run cointegration between variables, in case it is between I(0) and I(1), the interpretation cannot be specified. In case F statistics is greater than I(1) critical value, null hypothesis of no cointegration can be rejected.

After determining the existence of long-run cointegration, ARDL model can be used to estimate short and long-run parameters. Short-run cointegration can be checked by employing the error correction model (ECM). In general, ARDL model is a form of unrestricted ECM as all long-run relationship variables are specified and not restricted. If we replace the long-run term with its residuals, the model reverts to ECM and can be defined as follows:

$$\Delta ER = \theta_0 + \sum_{i=1}^n \delta_i \Delta ER_{t-i} + \sum_{i=1}^n \gamma_i \Delta INT_{t-i} + \theta_1 ECT_{t-1} + ut$$



Where ECT_{t-1} represents one period lagged error correction term and shows the speed of adjustment towards long-run equilibrium, i.e. the portion of short-run deviation that can be corrected in the long run. Error correction term is expected to be negative and statistically significant. Negative sign guarantees that if the system is moving out of equilibrium in one direction, ECM will pull it back to equilibrium.

Causality Test

Shrestha and Bhatta (2018) suggest that in case two variables are cointegrated, there might be causal relation between them too. Granger (1969) developed a time-series based technique to track the causality and its direction between continuous, stationary variables. Granger causality tests two null hypothesis:

X does not Granger cause Y

Y does not Granger cause X

Therefore, x is the cause of y in case x is successful in predicting the future values of y by considering the past values of y and vice versa. Simple Granger-causality test consists of two variables and their lags. The test can detect uni-directional, bi-directional or no causation between the respective variables. The basic model of Granger causality for this particular case can be written as follows:

$$\Delta ER_t = \sum_{i=1}^n \alpha_i \Delta ER_{t-i} + \sum_{j=1}^n \beta_j \Delta INT_{t-j} + u_{1t}$$

With the null hypothesis that $\beta_j = 0$ and therefore, ΔINT does not Granger cause ΔER and

$$\Delta INT_t = \sum_{i=1}^n \gamma_i \Delta INT_{t-i} + \sum_{j=1}^n \delta_j \Delta ER_{t-j} + u_{2t}$$

With the null hypothesis that $\delta_j = 0$ and therefore, ΔER does not Granger cause ΔINT . Decision on rejecting null hypothesis is based on the F test.

Results

In order to determine the order of cointegration of the series, ADF, PP and KPSS unit root tests have been conducted. Table 1 provides the outputs of the unit root tests.

**Table 1:** Output of ADF, PP and KPSS unit root tests

Variable	ADF				PP				KPSS	
	C		C+T		C		C+T		C	C+T
	t-stat	prob	t-stat	prob	t-stat	prob	t-stat	prob	LM-stat	
ER	-0.35	0.91	-1.67	0.76	-0.24	0.92	-1.58	0.79	4.95	1.36
INT	-13.48	0.00	-13.48	0.00	-59.49	0.00	-59.51	0.00	0.21	0.21
D(ER)	-41.83	0.00	-41.84	0.00	-41.7	0.00	-41.68	0.00	0.21	0.09

Critical values for ADF and PP tests with constant are -3.43, -2.86 and -2.56 at 1%, 5% and 10% levels of significance. Critical values for ADF and PP tests with constant and trend are -3.96, -3.41, -3.13 at 1%, 5% and 10% levels of significance. Critical values for KPSS test with constant are 0.73, 0.46 and 0.34 at 1%, 5% and 10% levels of significance. Critical values for KPSS test with constant and trend are 0.21, 0.14 and 0.12 at 1%, 5% and 10% levels of significance.

ADF PP and KPSS unit root tests provide the conclusive results regarding to the stationarity of the variables. ER is non-stationary at level but becomes stationary at first difference, whereas INT is stationary even at level.

Table 2: Output of Zivot-Andrews unit root test

Variable	Model A	Model B	Model C
ER	-4.89	-2.61	-4.11
INT	-20.73	-19.90	-20.75
D(ER)	-24.52	-24.48	-24.63
Critical value at 1%	-5.34	-4.93	-5.57
Critical value at 5%	-4.80	-4.42	-5.08
Critical value at 10%	-4.58	-4.11	-4.82

Zivot-Andrews unit root test with one structural break results are summarized in the Table 2. Same as the previous unit root tests, INT is stationary at level, whereas ER becomes stationary at first difference. What is more, structural break date suggested by ZA test precisely corresponds to the period (November, 2014), when the national currency started to devalue with respect to the US dollar. As a



summery for unit root tests, the variables incorporated in the model are of mixed integration: ER is I (1), whereas INT is I (0) and therefore, ARDL approach is the best option for the cointegration analysis.

Table 3 provides the main findings of ARDL approach. Bound test suggest that F statistic is higher than I (1) and therefore, there is a cointegration between ER and INT at 1%. Based upon this, we can check the long-run and short-run coefficients. Interventions turn out to be significant and their positive sign meets the expectations. As net intervention is calculated as a difference between buying (+) and selling (-) US Dollars, additional net buying should have a positive effect on the exchange rate. Regarding to the short run model, error correction term shows up to be negative and significant, which means that it can pull the short run fluctuations towards the long run equilibrium.

Table 3: Output of long run and short run model

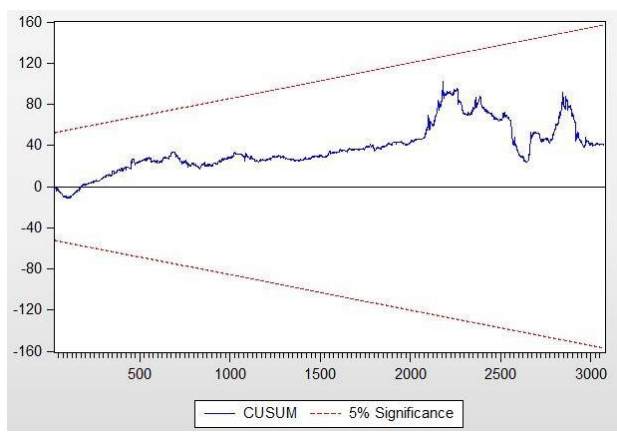
F Bounds Test			Null hypothesis: No levels relationship	
Test Statistic	Value	Significance	I(0)	I(1)
F-statistic	8.97	10%	4.04	4.78
		5%	4.94	5.73
		1%	6.84	7.84
Variable	Coefficient	St. Error	t- statistic	p-value
ER (-1)	-0.000252	0.000415	-0.608054	0.5432
INT (-1)	2.69E-07	6.35E-08	4.234655	0.0000
ECT(-1)*	-0.000252	5.96	-4.247	0.0000

After estimating ARDL model, it is necessary to check its properties. Table 4 provides the output of serial correlation and heteroscedasticity tests. Breusch-Godfrey test for serial correlation suggests that there is no serial correlation at 5%. Although Breusch-Pagan-Godfrey failed to reject the null hypothesis of the presence of heteroscedasticity, the model is still acceptable due to the heteroscedasticity and autocorrelation-consistent (HAC) covariance estimator (Andrews, 1991). Furthermore, COSUM test suggests that the model has no issue with stability.

Table 4: Model diagnostic

Breusch-Godfrey Serial Correlation LM Test		Heteroskedasticity Test: Breusch-Pagan-Godfrey	
Prob F (9,3036)	0.0375	Prob F(19,3045)	0.0000

Figure 5: Stability Test



Since there is a long-run and short-run cointegration between exchange rate and interventions, it is interesting to look into the causality pattern. Granger-causality test suggests that there is a bi-directional causality running from INT to ER and vice versa.

Table 5: Output of Granger-Causality test

Null Hypothesis	F-statistic	Prob
D(INT) does not Granger Cause D(ER)	6.987	5.E-10
D(ER) does not Granger Cause D(INT)	2.514	0.0072

Conclusion

Empirical analysis suggests that there is a long-run and short-run cointegration between the exchange rate of Georgian Lari with respect to the US Dollar and net interventions of the National Bank of Georgia. Although an error-correction term has the potential to adjust the fluctuations that occur in exchange rate at daily frequency, its speed of adjustment is too low to exhibit a successful performance in alleviating short-run deviations and guaranteeing stability in the long run. Moreover, bi-directional causality pattern can be observed between the inspected variables. As expected, interventions can be employed as an injection that has a sudden and temporary effect



without any long run implication. It is obvious, that monetary tools usually fail in dealing with the fundamental reasons of the devaluation. Based on the historical evidence, economic indicators precisely follow the patterns of the ongoing political processes. Therefore, rather than monetary injections, strong institutions that can smoothen both – external and internal shocks and coordinated monetary and fiscal politics can guarantee the stability of Georgian Lari.

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Analyzing the Relationship Between Professional Management and Empowerment: A Study in Kosova Public Hospitals

Ylfete Dragaj Zajmi*

Abstract: The purpose of this article is; to assess the views of executives and hospital employees on the level of empowerment and professional management in public hospitals in Kosovo. The data needed to achieve the objectives of this research were collected through surveys appropriate for the research purposes on empowerment and professional hospital management. The research was conducted among hospital employees including senior administrators and their assistants, hospital directors and their assistants, head nurses and their assistants and physicians holding administrative positions and other employees with no administrative responsibility. The research was conducted among 274 hospital employees working in 6 regional hospitals and 1 University Hospital in Kosovo. The data collected from this survey were analyzed using the significance test of the difference between the two means (t-test), one-way variance analysis (F test), and correlation analysis. Findings revealed a low professional management level in Kosovo's public hospitals. In an evaluation scale from 1 to 5, in accordance with the work done in health management, a low professional preparation average (2.21) was determined. In the case of employees' empowerment, this study showed that the empowerment level in Kosovo's public hospitals is at satisfying levels (3.76). The results also showed that there is statistically significant relationship between empowerment level and professional management. Since there is a serious lack of statistical data on health care in Kosovo, the findings of this research can be used for various study purposes in the health management field.

Keywords: Professional Management, Empowerment, Public Hospitals, Healthcare Management.

* Hacettepe University, Healthcare Management Department.
Contact: dragajylfete@gmail.com



Introduction

In almost every society throughout history, health has become one of the most important social factors. According to society, a high health level is essential for taking steps forward to socially and economically productive lifestyle (Ramanathan, 2005). In the early 20th century, increasing health expenditures, the growing complexity of healthcare services, growing hospitals, increasing employment rates, market failures, globalization of healthcare services, and the need to provide a more comprehensive care for resource constraints in line with developing medical technology, brought up to the agenda the concept of management in health care (Hilsenrath, 2012). Health care generally refers to the work done for health protection and the treatment of diseases. Health services are all about planned work to protect the health of the people and societies, to treat them when they are sick, to enable the disabled to live without dependence on others, and to raise the health level of the societies (Öztek, 2004). To be able to provide health services effectively, economically, efficiently and in good quality, the health institutions should be managed based on a contemporary sense. Health care workers, from the lowest to the highest level of health care organizations, perform management-related tasks. Qualified staff is needed to provide quality health care to well-organized health institutions in order to meet the public's health needs. It is the significant part of this research to assess Kosovo's hospitals' management system in terms of empowerment and professional management, in this sense, the concept of hospital employee empowerment is seen as one of the increasing concepts of professional management and empowerment. Management is the art of doing business through others; since a manager is the person who makes other people gets a job done. In order to create a working environment where empowerment is one of the values, the employees are able to do the best they can, instead of sticking to a mentality that controls and imposes the management role in organizations, it is important to create an environment based on responsibility and support (Blanchard et al., 1998). The main purpose of this study was to evaluate the relationship between the level of employee empowerment and professional management in public hospitals of Kosovo. To assess how executives at different levels of management and employees perceive the level of professional management and empowerment.

The Kosovo Health System

The Kosovo Health System needs to be considered together with Kosovo's history. Kosovo has entered a transition period with all state institutions after 1999 until



2008 when it declared its independence and today it continues the process of state consolidation. In order to better understand the Kosovo Health System, the process can be considered as two main periods:

- Kosovo's health system of the former Yugoslavia
- Post-war Kosovo Health System

Kosovo's Health System of the Former Yugoslavia

The Kosovo Health System was part of the health system of the Federation of Yugoslavia from 1945 to 1989 (Mustafa & Berisha, 2014). The health system in Kosovo, as elsewhere in Eastern Europe, was largely based on the Semashko model of healthcare delivery. The Semashko system of health care was utilized throughout the Soviet Union and Eastern Europe. It centralized decision-making and emphasized specialization of services. The healthcare system succeeded in expanding the provision of healthcare, and Kosovo saw dramatic health improvements: the mortality rate declined from 46 per 1,000 in 1956 to 29 per 1,000 in 1990 (Percival & Sondorp, 2010). Kosovo had been granted autonomous status within the Republic of Serbia under the 1974 Yugoslav Constitution. In March 1989 this status was revoked by Belgrade, initiating a decade of tension and conflict. The health sector became a natural battleground for the conflict between Kosovo's majority Albanian population and the federal government in Belgrade. The control of the Kosovo health system was taken under control from the Belgrade Ministry of Health and directors and boards of health institutions were forced to report directly to Belgrade. Pristina University's medical faculty was closed, and the medical training of many students was interrupted (Tolaj, 1999).

Post-War Kosovo Health System

With the end of the war in 1999, the parallel "Mother Theresa Network" was virtually abandoned. While most Serbian health professionals fled Kosovo, Albanian health professionals moved back into state health facilities. However, over 90% of the clinics of the parallel "Mother Theresa Network" were destroyed or damaged during the war, and many private clinics of Albanian health professionals had also been damaged. In other side political instability, fragile economic base and poor state management have seriously affected the health sector (Demolli, 2002). After the war, Kosovo faced a shortage of physicians. The average num-



ber of doctors was less than 2,500, 13 doctors for every 10,000 inhabitants (the European average is about 35 doctors per 10,000 inhabitants). Another problem was that many doctors had trained in the parallel system and required skills upgrading (Percival & Sondorp, 2010). Passing through transition, Kosovo gained to create the healthcare system. It was funded by revenue out of the Consolidated Budget of Kosovo. This budget was a combination of donor funds and locally collected revenue. While the Kosovo health system was in need of improvement, donors flooded Kosovo with billions of Euros of assistance, and the massive influx of resources in the immediate post-conflict period provided essential humanitarian relief and greatly assisted the process of reconstruction. Between 1999 and 2002, donors spent approximately 80 million Euros on the health sector, which represented the second-largest portion of the Kosovo Consolidated Budget (UN Interim Administrative Mission, 2001). Starting from almost zero, with the assistance from international comity, Kosovo Established Health System and reformed it in continually manner. The main concepts of these reforms - was known also as a vast consultation in order to create a sustainable health system - was summarized in Kosovo's health-policy document, informally known as "The Yellow Book". The Yellow Book outlined an ambitious vision for the health system in Kosovo. The Yellow Book outlined the role of the Department of Health, which later would be transformed into the Ministry of Health. Under the Kosovo health guidelines, it would be responsible for policy, regulation, strategic planning and standard setting, monitoring to ensure adherence to regulations, licensing, human-resource planning, quality assurance, and budgeting (Percival & Sondorp, 2010).

Professional Management in Healthcare

With the professionalization of management, in other words the increasing need for professional managers, it is a fact that many people agree that professionalism has become a way of life. Professionalism, the increase in the level of knowledge and skills, the introduction of working-life arrangements on the basis of objective standards and thus the establishment of licensing, certification system, expansion of the service sector are some of the reasons for creating the professionalization process (Karasu, 2001). To apply a task in a very successful way or to perform any procedure or any sport in its most perfect form is what we call professionalism. Somebody who is provided with the deserved material income for the job he/she does based on his/her education and experience is also called a professional.



Gökçora (2015) asserts, being a professional requires the comprehension of a job's finest details and the ability to apply them. The most important criterion of professionalism is to be able to fulfill the needs of a job in the most perfect way. The key points of the job and the subject, pros and cons are professionally known and taken care of. Bearing in mind the above definition, the main conditions of being a professional at your job are described as follows (Hayran, 2007):

- Having a special knowledge accumulation, based on theory and research, that requires application skills,
- Having completed an education process recognized by formal structures and in accordance with the admission and specialization standards,
- Being able to have a special field application authority and control own activities, submit actions, have a knowledge-based authority,
- Finding an ethical approach based on social service understanding while providing individual services,
- Having autonomy in other words a self-determination approach. In addition to accessing high-level expertise, knowledge, skills, attitudes and behaviors, it's the professional's ability to control himself freely, his enthusiasm and respect for his work and his responsibilities towards his colleagues and his community, that mostly affect the standards he will create (Gökçora, 2005). Professionals are required to be able to make their own decisions without being exposed to external pressure by people who are not related to the profession.

Hospital Management

Hospital management is planning, directing, supervising and coordinating the needs and demands of individuals, societies or institutions in order to provide health and medical care in a good environment (Kavuncubaşı, 2000). The point to note here is the use of resources. The more effective and efficient the resources are used in the hospital management, the more successful it becomes. Another feature that makes the dimension of hospitals as a service management important is; to remain uncommited with the technical quality of the service process which is presented to them by the entrants of the production process (Erbas, 2013). The fact that the hospital management have different characteristics from other management also differentiates the hospitals' management and thus determines the



framework of hospital managers' qualifications and reveals the need that hospitals should be managed by people trained in health institutions management (Ak & Akar, 1988).

Differences between hospital procedures and other procedures (Sözen & Özdevecioğlu, 2002; Odabaşı, 2001):

- It is impossible to know earlier if health care services will be needed. If needed, these needs must be immediately - without delays and put offs - completed.
- The service is consumed the instant moment it is produced. There is no chance of checking, controlling, researching, delaying or storing.
- The client /patient receiving the service is not aware of the quantity and quality of the service. And cannot easily be informed. So the service is open to suggestions.
- There is no opportunity to choose whether or not to receive the service. The patient immediately wants his/her needs completed.
- Most of the time there is no feedback on mistakes and errors. Time is quite important. Therefore, an error-free service must be provided.
- The psychological background of service receivers directly affects the service. The health concept and satisfaction are relative, meaning they vary from one person to another.
- Health service is the most expensive service in the service production sector.
- Since science and technology are continuous, equal service provision is difficult. The differences among service providers are also affecting this inequality.
- Health services are introduced as complicated by lots of people. These services are hard and complicated.1): whom they serve.

Hospital Management Concept

Hospitals are complex organizations offering services in a very dynamic environment. Considering the hospitals' status in the health sector, the complex structure and different characteristics of hospitals, these institutions' professional management is a must. As a result of the above mentioned reasons, the hospital management is born and developed as a different management



discipline. We can define hospital management as a group of activities related to systematic and conscious implementation of concepts, principles, theories, models and techniques related to planning, organization, execution, coordination and audit functions, in order to economically, efficiently and effectively achieve the hospitals' goals (Ağırbaş, 2016).

There are important factors contributing to the development of hospital management and the acceptance of it as a profession. These factors are as below mentioned (Kavuncubaşı, 2000):

- Increasing health sector expenditures,
- The existence of a large number of different professional fields covered by health institutions and the complexity of the management process of giving human services to people,
- The spread of health insurance,
- Increasing competition in the health sector,
- The spread of health insurance, the increase in the efficiency and quality of the state and insurance institutions and the increase of their pressure,
- Starting to see health institutions as a service with economic content and getting away from the understanding of accepting them as charitable institutions,
- Considering hospital management as a profession and gradually increasing the knowledge in this area.

Empowerment

In today's global world, where competition is felt intensely, businesses need to provide quality and fast service so that they can outperform their competitors on gaining a competitive advantage in the market. The advanced equipment, new technology, good marketing strategy, excellent customer services and many other elements can be the factors to build up for the advantages. Organizations are trying to benefit from the entrepreneurship and creativity of their employees through the empowerment of personnel in order to gain competitive advantage (Ugboro & Obeng, 2000). However, human resource is the most important assets of an enterprise and its success, failure depends on their qualifications and performance. Organizations need to be able to capture continuous success in to-



day's rapid change process, to improve their activities, to ensure their employees' commitment to management, and to successful implementation of management techniques. The empowerment approach in organizations has also emerged as one of the new management techniques (Kaymakçı & Babacan, 2014).

Today, human being is one of the most important capital and the most valuable factor in organization at the same time the most critical assets. Organizations need to empowered creative employees to survive in the complex and challenging environment (Saremi, 2015). Employees as a basic pillar of organizational development plays an important key role within the framework of its group and organizational activities. Employees as a basic pillar of organizational development play an important key role within the framework of its group and organizational activities. Empowerment empowers the workers encouraging them to take control of the operating situation and revise it as necessary to meet or improve upon the expectation (Griffith, 1995).

There are many definitions of employee empowerment in the literature, defining what it is and what it should be and concerning many aspects like behavioral, relational and psychological. However, there is not a common definition with an agreement on. Empowerment is the process of empowering decision-makers in an organization through collaborative, sharing, training and teamwork, and developing employees (Vogt & Murrel, 1990). Empowerment is a brief concept that includes both positive personal abilities and dynamic interaction with the individual and the environment (Pelit, 2011). According to a research by Menon (1995), greater empowerment results in higher motivation, higher job satisfaction, lower job stress, greater involvement and organizational commitment. One of the most common means of motivating the workforce in the modern era is for managers to offer greater levels of empowerment to their employee. In some organizations the issue of empowerment has become an important aspect of human resource management whereby added value and competitive advantage can be gained from allowing works greater autonomy in decision making (Chiles & Zorn, 1995).

Essentially, empowerment is about presenting employees with an opportunity to be more enterprising and delegating power and authority to them to facilitate benefit outcomes. One of the most commonly cited reason for implementing an empowerment policy is the effect it has on worker moral and motivation. Very often workers will feel a greater affinity with what the organization is trying to achieve if the management demonstrate trust in



them by proffering greater responsibility (Combe, 2014). In today's work environment, empowered teams can help keep a company one step ahead of the competition because they are innovative, often resolve customer problems on the spot, and develop products and services better suited to the customer's needs (Bodner, 2005).

Method and Purpose

The purpose of this article is; to assess the views of executives and hospital employees on the level of empowerment and professional management in public hospitals in Kosovo. It is expected that the results of this thesis will lead to arise the following questions for hospital managers and hospital management field in Kosovo hospitals and universities:

- What are the thoughts of employees of hospitals in Kosovo on empowerment and professional hospital management?
- Do the views of hospital employees on the level of empowerment and professional management differ according to demographic characteristics of the participants?

Population and Sample

The data required to accomplish the objectives of this thesis were collected through questionnaires that are suitable for the research purposes on professionalization and empowerment in hospital management. The research was conducted among hospital employees whose distribution by their occupations was provided in Appendix B. It was tried to reach whole hospital employees without a sampling. Of total 9892 hospital employees (ASK, 2017) in 7 public hospitals, 274 hospital employees agreed to participate to this study voluntarily were included in the sample of this study. The data were collected using face-to-face interviews.

Of 274 participants, the respondents are 8.0% from Ferzaj Regional Hospital, 8.0% from Gjlane Regional Hospital, 15.0% Mitrovica Regional hospital, 19.7% Peje Regional Hospital, 21.9% from University Clinical Center of Kosovo, 7.3% Gjakova Regional Hospital "Ise Grezda" and 20.1% Prizeren Regional Hospital.

**Table 1.** Distribution of Participants by Hospitals

Hospitals	F	%
Ferizaj	22w	8.0
Gjilan	22	8.0
Mitrovice	41	15.0
Peje	54	19.7
QKUK	60	21.9
S.P."Ise Grezda" - Gjakove	20	7.3
S.P. Prizeren	55	20.1
Toplam	274	100

Data Collection Tool

A data collection tool with three sections was used to collect data in this study. The first section consists of questions about personal information, the second section includes "Work Effectiveness and Empowerment Level" and the third section focuses on "Implementation of professional management in hospitals".

The modified version of Health Professionals' Causes of Work Effectiveness II Scale (CWEQ-II) was used to measure the level of empowerment. This questionnaire consists of 19 items that measure the 6 components of empowerment (opportunity, information, support, resources, formal power, and informal power), and a 2-item global empowerment scale which is used for construct validation purposes. Items on each of the six subscales are summed and averaged to provide a score for each subscale ranging from 1 (I strongly disagree) and 5 (I totally agree). These scores of the 6 subscales are then summed to create the total empowerment score (score range: 6-30). Higher scores represent higher perceptions of empowerment. The validity and reliability of this questionnaire were studied by Çelik and others, and they concluded that this questionnaire was valid and reliable to use among healthcare personnel in Turkey (Çelik et al, 2010). In the third section, 21 questions were asked to assess the level of professionalization of the management. 5-point Likert scale was used to measure the dimensions of professionalization of the management in the questionnaire. In this scale; "Absolutely I do not participate = 1, I do not participate = 2 I agree very little = 3, I participate = 4, I absolutely agree = 5" (Şahman et al, 2008). Two questions were excluded from the original

questionnaire since the fact that these questions were not appropriate for public hospitals. Higher means were interpreted as better professional management.

The reliability of data collection tools used in this study was measured by using Cronbach's Alpha coefficients and the estimated coefficients were given in the below Table 3.

Table 2. Reliability Measures of Data Collection Tools

Dimensions Cronbach's Alpha	
Access to opportunities	.813
Information Access	.828
Getting support	.861
Access to resources	.793
Formal power	.812
Informal power	.595
General empowerment	.855
Overall CWEQ	.882
Professional Management	.782

As seen from the table only informal power dimension of CWEQ questionnaire had less than preferred 0.70 while all other dimensions had higher cronbach's alpha score. Considering these scores, it can be concluded that data collection tools have a potential to produce reliable results in this study (Laschinger et al.,2009; Laschinger et al., 2013; Lautizi et al., 2009; Wong & Laschinger, 2013).

Method of Research

Data Analysis

SPSS 13 (Statistical Program for Social Sciences) package program was used in analyzing data. In statistical evaluation of data, the significance test of the difference between the two means (t-test), one-way variance analysis (F test), and correlation analysis were used. The homogeneity of variances were tested by using the Levene's test, and appropriate t and p values were used according to the results of the Levene's test.



Study Hypotheses

There are three main hypotheses of this study that will be tested for the purposes of this study that were mentioned before. Although the differences by demographic characteristics of participants in terms of six dimensions under CWEQ were provided in tables, total empowerment score that was the sum of means of six dimensions of CWEQ and the mean of 19 questions in Professional management questionnaire were taken into account in deciding whether the hypotheses were accepted or rejected. These hypotheses are:

Hypothesis 1: The views of participants of this study on the level of empowerment are different by their demographic characteristics. The following sub-hypothesis will be tested for hypothesis 1. H1.a: There is a statistically significant difference among the views of male and female participants in terms of total empowerment score.

H1.b: There is a statistically significant difference among the views of married and single participants in terms of total empowerment score.

H1.c: There is a statistically significant difference among the views of occupation categories (physicians versus nurses and other hospital employees) participants in terms of total empowerment score.

H1.d: There is a statistically significant difference among the views of participants working in surgical and other clinical and administrative departments in terms of total empowerment score.

H1.e: There is a statistically significant difference among the views of participants with administrative responsibility and non-administrative responsibility in terms of total empowerment score.

H1.f: There is a statistically significant difference among the views of participants working in daily and rotating shifts in terms of total empowerment score.

H1.g: There is a statistically significant difference among the views of participants' age categories in terms of total empowerment score.

H1.h: There is a statistically significant difference among the views of participants' education categories in terms of total empowerment score.

H1.i: There is a statistically significant difference among the views of participants having different working experience in health sector in terms of total empowerment score.

H1.j: There is a statistically significant difference among the views of participants



having different working experience at the same institution in terms of total empowerment score.

Hypothesis 2: The views of participants of this study on the level of professional management are different by their demographic characteristics. The following sub-hypothesis will be tested for hypothesis 2.

H2.a: There is a statistically significant difference among the views of male and female participants on the level of professional management.

H2.b: There is a statistically significant difference among the views of married and single participants on the level of professional management.

H2.c: There is a statistically significant difference among the views of occupation categories (physicians versus nurses and other hospital employees) participants on the level of professional management.

H2.d: There is a statistically significant difference among the views of participants working in surgical and other clinical and administrative departments on the level of professional management.

H2.e: There is a statistically significant difference among the views of participants with administrative responsibility and non-administrative responsibility on the level of professional management.

H2.f: There is a statistically significant difference among the views of participants working in daily and rotating shifts on the level of professional management.

H2.g: There is a statistically significant difference among the views of participants' age categories on the level of professional management.

H2.h: There is a statistically significant difference among the views of participants' education categories on the level of professional management.

H2.i: There is a statistically significant difference among the views of participants having different working experience in health sector on the level of professional management.

H2.j: There is a statistically significant difference among the views of participants having different working experience at the same institution on the level of professional management.

Hypothesis 3: There is a positive and statistically significant relationship between the level of professional management and the dimensions of CWEQ and total empowerment score.



Discussion and Conclusions

The main purpose of this study was to assess the views of executives and hospital employees on the level of empowerment and professional management in public hospitals in Kosovo. The data for this study were collected with a questionnaire composed by three sections; the first section was about respondents' personal information, the second section was about the measuring empowerment level of respondents, and the third section was about determining the level of professional management. The validity and reliability of "The modified version of Health Professionals' Causes of Work Effectiveness II Scale (CWEQ-II)" that was used to measure the empowerment level were studied by Çelik et al. (2010), and it was concluded that this questionnaire was valid and reliable to use among healthcare personnel in Turkey. The third questionnaire section which was about level of professional management was used in the study of Şahman et al. (2008). Empowerment is the indispensable element of the management process. The fact that the superior chooses more authority requests and the subordinates fewer responsibilities, constitutes the basic problem of our work. The tendency of managers to take all the decisions themselves is one of the obstacles in the managerial sense. In this thesis, it was found that the mean scores of the 6 components of general empowerment that are opportunity, information, support, resources, formal power, and informal power were found to be as "Access to Opportunities" ($X = 4.23$), "Informal Power" ($X = 3.82$) "Receiving Support" ($X = 3.67$) and "Access to resources" ($X = 3.62$). These components have the highest score in descriptive statistics on empowerment and are in line with Kanter's (1993) theory of structural empowerment. As it is describe in Laschinger & Finegan (2005), Kanter's theory offers guidance for managers interested in creating structures that support employee access to the information, support and resources necessary to optimize engagement in their work and achievement of their work goals. The results of this thesis concerning the "Access to Opportunity" and "Informal Power" are consistent with Opportunity and Informal Power variables from the researchers conducted by Laschinger & Finegan (Laschinger & Finegan 2005; Laschinger et al., 2003; Laschinger at al., 2006). Components like "Receiving Support" and "Access to resources" are in line - with a slight superiority over the average - with previously mentioned articles. The other research whose results are consistent with this thesis findings is conducted by Matthews at al., (2006). On the other side, the research conducted in Turkey's Hospitals by Çelik et al, (2010), shows the



different results concerning the components who are the most determinants of general empowerment from the findings of this thesis. Expect the Access to Opportunity which is in line with the findings of this research, the other components such as Informal Power, Receiving Support and Access to Resources are not consistent. In this case, the hospitals employee in Kosovo have higher levels of receiving support, access to resources and informal power than their counterparts in Hospitals of Turkey. According to Çelik's research (2010) the results can be changed based on the place and culture of the conducted research. This thesis also tried to find whether demographic characteristics of the respondents might be a significant factor in determining the level of empowerment level and professional management in Kosovo Public Hospitals, and the findings were discussed by considering the results of previous studies. Administrative position: It was determined that there is a statistically significant difference ($p > 0.05$) between total empowerment scores of participants having an administrative position (22.09) and not having any administrative position (21.04). This finding of the research is consistent with research findings of Çelik et al, (2010). Age: It was found that those aged 40-49 had higher access to opportunities than the participants in the other age groups. But in case of other components, the results revealed that hospital employees of 39 years old and younger have higher levels of access to information, access to resources, formal power, informal 66 power, general empowerment compared to other groups. In the research conducted by Suominen at al. (2001) it was reported that the experience of empowerment was stronger in the older than in the younger age group.

Education: The results of this research showed that total empowerment score of participants with high school education was statistically significant ($p < 0.05$) and surprisingly higher than the scores of participants with university and graduate level of education. The results of this study indicate a low level of empowerment of this category of employees in relation to their co-workers with high school.

Based on the research conducted by UNDP (2014) it turned out that family favors (nepotism) and political interference are some of the causes that prevent the creation of a professional managers' framework in Kosovo. There is not the same situation in Turkey's hospitals based on the research conducted by Çelik et al. (2010). The hospitals employees that have a graduate level of education compare to the other groups the access to resources and information as well as to informal power is higher.



Occupation: the findings of this research indicated that nurses and other participants have relatively higher total empowerment score (21.62) compared to physicians (21.49), and the mean differences in terms of total empowerment score was found to be statistically insignificant ($p>0.05$). Interestingly, nurses and other participants reported statistically significant and higher score for access to resources compared to physician participants in this research. Despite the vast research done, it wasn't found any research appropriate to compare the results of this study about occupation.

Working shift: Based on the statistical evaluation, there was a statistically significant difference ($p<0.05$) between total empowerment score of participants working in daily shifts (22.16) and the score of others working in rotating shifts (21.14). In the other hand, the research conducted by Çelik et al. (2010) brings up the arguments that according to the statistical evaluation, there was no significant difference between these variables ($p>0.05$).

Working Periods at the Institution: Hospital employees that have been working at the same institution for 30 years or more have higher levels of access to information, receiving support, access to resources, formal power and general empowerment compared to other groups and there was a statistically significant difference ($p<0.05$). The findings of this research on the working period at the same institution are not consistent with the research findings of Çelik et al, (2010).

The results of this study support the idea that empowerment has an impact in increasing the work performance of hospitals employee. As Laschinger & Finegan (2005) based on Kantar's views on power, describes "power is "on" when employees have access to lines of information, support, resources, and opportunities to learn and grow. When these "lines" or sources of power are unavailable, power is off and effective work is impossible. These lines of power are sources of structural empowerment within the organization". Recently, a progressively increased need for professional managers in health institutions is noticed. Applying advanced management techniques and keeping pace with the needs of time are some of the reasons why a professional manager is demanded.

Health management, in general, is a new field and has started to be applied for a long time, especially in developed countries. In Kosovo's public hospitals, according to the findings of this thesis, generally has a low level of professional management. The overall mean score in total 21 item was found to be 2.21. These results indicate that managers express relatively not positive thinking in the direction of professionalism. These results support Fişek's (1968) contention



(as cited in Sarvan, 1995) that “today the most faced problem in the healthcare management in developing countries is the fact that the administrative physicians does not accept the health management as science”. It has been observed a difference in mean score compared to the same study conducted in Turkey by Gölgeçi (2013). This overall mean score was found to be 3.67. This scores indicate that the managers in Kosovo’s hospitals express relatively a low level of positive thinking about professional management compared with their counterparts in Hospitals in Turkey.

According to our analysis, the participants who have been working for 20 to 29 years at the same institution, are with higher education, and are working at rotating base have not a good viewpoint about the professionalization of management compared to other participants in other groups. Regarding to this issue, the Gölgeçi’s (2013) study presents different statistical results. In this study conducted in Turkey, the participants with graduate level have relatively a good viewpoint about the professionalization of management. According to the same study, the participants who have almost the same working experience (21 years and more) have relatively a good viewpoint about the professionalization of management. This viewpoint differs from the participants in Kosovo’s hospitals.

The results showed above indicates a relatively not a good viewpoint of hospitals employee in Kosovo regarding the professional management compared to hospitals employee in Turkey During the questionnaire conducting process is noted a dilemma of doctors and other staff members who have a managerial position concerning the professional management, mainly because of the potential risk of their actual position. Kosovo belongs to the group of developing countries and the allegation in this regard is supported by Fişek’s contention (1968). Giving the responsibility of hospital management to doctors, who have spent long years on health education and are not specialized in the management field, prevents them from performing their own profession and also leads to failure in the management process. This is why health management should consist of professional managers properly trained in health management and management sciences. Physicians and management should be separated from each other in hospitals and physicians should accept hospital management as a science.

Despite the efforts made by the management of University of Pristina, due to lack of academic staff, there is still no specific health management department in University of Pristina or in any other Public University in Kosovo. Establishing the health management department means at the same time ‘enforcing’ the onset of



the professional management application of professional management in public hospitals in Kosovo. Engaging in the healthcare managers 'professional training will indirectly affect the increasing quality of health services. However, we do not intend to say that doctors cannot manage the hospital, but training on business, accounting, economics, personnel management, psychology and sociology should be mandatory. Until now, it has always been argued and does not investigate the answer of the question "whether it should be a manager doctor or a professional manager". No matter who the manager is, managers must be professionalized.

The vast majority of public hospitals and other health institutions in Kosovo is managed by doctors with a degree in medical sciences. It is well-known that medical departments do not educate management staff and economic departments do not train doctors. So, just as a doctor specialized in the medical field would be required to treat a patient, a hospital should also be managed by a manager graduated in Healthcare Management.

During the time that there is no professional staff in health management to replace the medical staff that currently is being in charge, doctors holding managerial positions in public hospitals should be offered trainings in this field during this transitional phase. According to the findings of the research, (Table 17; items 11 and 13) there is a low level of provision of training in the field of management for current managers of public hospitals in Kosovo.

Recommendations

Through this thesis, some of the weaknesses and problems of professional management and empowerment faced by public hospitals in Kosovo have been achieved. Based on the findings of the research, some other recommendations were listed below:

- Hospitals should be managed by managers who have degree in health-care management or at least have received training in the field of health-care management.
- In order to achieve a professional management, a clear division of duties and responsibilities should be done, which would increase efficiency, eliminate conflicts and increase accountability.
- Hospital management should organize trainings for managers of different levels in order to increase the level of skills and knowledge about the application of professional management.



- Management should ensure that management policies and practices are fair and that no employee right has been violated. These provide equal opportunities in developing and advancing them through the organization of training, courses and rotation application between employees the same level's in hospital management to be more acceptable for the hospital's staff.
- To achieve a proper professional management application, it is important that management ensures a streamlined and transparent information.
- In order to train health managers in this sense, universities in Kosovo should provide programs on health care. The most important task in this regard falls to the Minister of Education, Science and Technology.
- During deployment of the management personnel on duty in the hospital must be defined criteria which require applicants to be graduated in health Manager. However, even if the manager will be a doctor, he or she must be trained in the fields of business administration, accounting, economics, personnel management, psychology and sociology.
- Employees should be empowered
- The empowerment of employees who work for a longer time in the same institution compared to those who work for a shorter time is one of the findings of this research. Hospital workers should have equal opportunities in empowerment.
- Employees should be encouraged to develop their knowledge and skills and should be hired to work appropriately for their knowledge skills.
- Employees who are younger than 39 years old are mostly the generation of employees who are professionally prepared after the war in Kosovo - some of them outside of Kosovo. In order to maintain the balance between age groups in access to opportunities, information and other variables of empowerment, cooperation should be established.
- Hospital workers who are graduated (master, PhD or residency degrees) should have more empowerment in Public Hospitals in Kosovo.
- The level of empowerment of employees should be equal regardless of their occupation, in terms of receiving support, formal and informal power, and so on. From the results of this thesis turned out that that



the physicians have lower levels of receiving support, formal power, and informal power than other participants.

- Employees who hold administrative positions in the hospital are generally more empowered than their co-workers who do not hold an administrative position. The results of this research show the lack of delegation of authority by those who hold managerial positions to their subordinates. Based on this, for subordinates of all levels in public hospitals in Kosovo should be created more space for access to opportunities, information etc.
- Employee performance estimates should be timely and employees should be notified of the results.
- A professional manager should be guiding and advisory and offer his ideas to solve the problems that subordinates face.

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İlahiyat
Theology

The Apologetic Literature of Aligarh Movement: An example of Syed Amir Ali's (1849-1928) the Spirit of Islam

Abdul Basit Zafar*

Abstract: Colonial India, in its modern history (18th-20th century), witnessed various movements of religious revival, social reforms and piety movements among Indian Muslims. The only movement that had perhaps the long-lasting impact on Indian history and perhaps played a vital role in its independence is Aligarh movement, founded by Syed Ahmad Khan (1817-1898). Syed Ahmad Khan along with a resourceful team of prolific writers, political activists and devout Muslims initiated a new form of religious literature, that aimed to rationalize the scripture on the one hand and gave a relatively modern understanding of Islam on the other. The aim of the current study is bound to introduce this apologetic literature of Aligarh movement primarily. The paper will specifically analyze the most well-known work of Syed Amir Ali (1849-1928), *The Spirit of Islam* and its position in the schema of other apologetic works. The work was written with the clear aim of expressing Islam as the most modern religion in the sense of expression, rights and liberty. Such works as of Amir Ali, are claimed to have inspired Indian Muslims for gaining self-confidence under the British and Hindu polemical literature and also became an important platform of political Identity. Though it is also a fact that most of these works were written in exotic English, which was not a familiar language for Indians at time. So, the apologetics were targeting the learnt Hindus and partly English missionaries. The Christian missionaries and Hindu revival movements such as *Arya Samajh* were well responded by such apologetic works.

Keywords: Natural Theology, Aligarh Movement, Ameer Ali, Process Theology, Kalam.

* Ankara University, Islamic Theology, PhD Candidate.
Contact: mohammedbasitzafar@gmail.com



Introduction

In diverse genre and thematic study of religious literature, it could be witnessed that there are certain basic categories in which those written works could be systematized, such as dogmatic primary texts, interpretative or reflexive commentaries as secondary writings, polemical refutations to contradictory mindsets, and defensive or apologetic works are crafted usually towards a strong narrative. I shall begin by clarifying the context in which Indian Muslim apologetic literature was written, how it developed. The consequences of such a genus of literature and its benefits to Indian Muslims very briefly.

The apologetic literature of Aligarh movement (founded in 1886) was written by devout scholars to maintain a balance of narrative and argue in defense of their traditional Muslim belief. In that time, colonial India not only had lost its glory to British raj but also her Muslim rule, which led Muslims to the crucial question of identity and of their future in their homeland. These Muslims had lost political power in hands of white imperialists *goras* on one hand, and their textual identity was subjugated by Christian missionary polemics and Hindu revivalist movements on the other. In such a milieu, the so-called educated and edified Muslim felt the need to prevent his compatriot and to avoid a greater chance of falling in a vacuum of identity or of religious perplexity.

For this theme, I shall call the marvelous work written by Syed Ahmad and his followers into this category of religious apologetics. In last two centuries being under British occupation, development of Islam in India experienced different stages, i.e. from being reactionary towards so-called colonialism to be enduring and embracing the change that came with it in the form of reform, democracy and a new order (Smith, 1943, p.1). The Reactionary mindset envisioned Islam to be restored in its purest form, as it was in the days of early companions and of the prophet Mohammed. They restrained themselves from their roots of native Indian culture and likewise discarded any novelty brought by British imperial tradition (Esposito, 1999, p. 681-684). This mindset as called '*reactionaries*' were protestors and '*armature rebels*' in the way they waged social and political activates against British Raj. These were though eager had less knowledge of modern warfare and were heartlessly crashed in riots. Meanwhile, the British throne gave India a new phase of growth, the era marked a whole stream of emerging bourgeois out of Indians, Hindus and Muslims alike.

This new generation of Indians was educated in India and abroad with a *liberal* culture, therefore, made the first body of Indian administration (Smith, 1943,



p.2). Among that Muslim elite, a considerable number of likeminded people inaugurated a movement of "Aligarh" as an expression to make it harmonious with their cultural antagonists of West. Aligarh Movement built the first School where Muslims would not only acquire the Western model of education, however, could also acquaint themselves with religious texts. This movement had a strong influence of so-called rationalist tradition of West. This is why, in their approach to primary religious texts i.e. revelation they strongly manifested natural theology in its interpretation. (Smith, 1943, p.6) From such schooling, the resulted Muslims elite was relatively moderate in its views, clear in its approach and committed to the independence of India. This foundation of Syed Ahmad which Smith refers to as 'Islamic modernism' proclaimed that Islam is ethically humanitarian, politically pro-democratic and embrace scientific developments. Some of the works written in this phase were apologetic in nature as mentioned earlier, others polemic and oblige a though study. Henceforth, the name of Syed Ahmed Khan (1817-1898) and his movement is certainly considered a milestone in initiating a rational explanation of the religious phenomenon, educating Muslims on modern standards and hence creating a way for liberating India as an independent state. Among the leading figures with their distinctive voices was Moulvi Chiragh Ali (1844-1895) who frequently wrote in defense of Islam and advocator of reforms in religious settings. Another name worth mentioning is Mirza Gulam Ahmad (1835-1908) though he was never too close to Syed Ahmad's stream of intelligencia, wrote polemics and ended up forming a new sect with the name of Jamaat-e Ahmaddiya. The third name in this regard is of Syed Mahdi Ali, he argued that independent reasoning in Muslim legislation must follow the liberation in religious sovereignty. That is proclaiming that Sultan of Turkey could not be foretaken as Caliph for all Muslims, especially Indians (Smith, 1943, pp.25). The final founding figures of modern trends in Indian Islam have been Shibli Noumani (1857-1914), Altaf Hussain Hali (1837-1914) and Mohammad Iqbal (1877-1938).

Short Biography of Ameer Ali

Syed Ameer Ali (1849-1928), was an Indian jurist and prominent scholars of Islamic modernist apologia. He was born in Bengal to a Shi'i family. After completing his education in the vicinity of Calcutta, he went to study law in London and completed his Bar at Law in 1923 becoming the first Muslim Bar at-law from Bengal. In 1890, he was named a judge of the Calcutta High court, where he served until his



retreat in 1904. Thereafter, he abodes in England, assisting as a member of the judicial committee of the Privy Council from 1909 until his death in 1928. Syed Amir Ali is one of those scholars of the era who had felt a desperate need to comprehend Islam in its magnificent days of reason. The age of reason as it was in the time of Prophet Mohammed or the Abbasid period until the inquisition started (833 AD). Ameer Ali was one of those few Muslims who were well-versed in English and had a good exposé of the literature written on Islam in it. His well-known works are *A Short History of the Saracens* (1889) and *The Spirit of Islam* (1891). Ameer Ali 's books on Islam and History of religion were written in profound English testifies that they were written specifically for a Western readership.

Introduction to The Spirit of Islam

The body of Muslims under the influence of the Mohammanan Anglo-Oriental movement aimed to work all for a better India. Moreover, the approach of the majority of Muslim scholars was devoted to preserving Islam against the attacks of Western Orientalists. They worked remarkably to follow the same footsteps West took to get rid of 'social conservatism', notions and decadence of beliefs towards a moderate and somehow liberal society. They tried to make a clear distinction between core principles of Islam, which are universal ethical values and the temporal forms that may differ time to time on particular legal rulings (Smith, 1943, p.11). They expelled the traditions they saw in conflict with reason or logic and hence put forward a rational criticism of the religious mindset. This was signified by taking the Quran the sole base of Islam and reestablishing the authority of Qu'ran over secondary reports and folklores. So, the blind fellowship (taqlid) was refused and the individual's strive to find personal solutions in light of reason and revelation was developed and general moral obligations were provided. (Smith, 1943, p.13) The learned exposition of the Islamic doctrine by Ameer Ali in his work *The Spirit of Islam* is a typical example of this kind of approach. According to Ameer Ali Islam is the latest as well as the highest development of religious thought in the history of humankind. He argues; "of all the religions of the world that have ruled the conscious of mankind, Islam alone combines both the conceptions which have in different ages furnished the mainspring of human conduct—the consciousness of human dignity, so valued in the ancient philosophies" (Smith, 1960, p.442-443), and the sense of human sinfulness, so dear to the Christian apologist (Ameer Ali, 1922, p.358).



Ameer Ali does not defend Islamic teachings or the social institution of slavery or polygamy as a need, but he justifies them in the context of a continuity of the process. In his defense of Islam, he could also be found freely criticizing non-Muslims especially Hindus and orientalist for their lack of understanding and false claims of truth. Ameer Ali proclaims that the only way society could reform itself is by following the objectives set forth by Islam (Rahman, 1977, p. 643). So, the difference if one may wonder between Syed Ahmed Khan's work and of Ameer Ali is, that former tried to make the description of Prophet Mohammed free of non-realistic and fictitious characters by erasing the specks of false history from his person. Whereas Amir Ali went even one step forward and brightened Syed Ahmed's crafted imagery in affirming how Prophet was. Syed Ahmad elaborated in his works on Islam as 'moderation friendly' whereas Amir Ali insists Islam is modernity in the true sense (Smith, 1943, p.48).

Analyses of Ameer Ali's Apologia

Ameer Ali brought all of his knowledge of Western society to the forefront in his most famous work, *The Spirit of Islam*, first published in 1891. The book from very introduction asserts the notion of "continuity of religious progress" that identifies itself with the whole idea of the process, an evolutionary process in the course of humanity (Ameer Ali, 1965, p.xvii). In this book, the author provided historical evidence that Western civilization is not as magnificent as the Westerners falsely assume it is. Meanwhile, historical evidence was presented to prove that Muslims had reached splendid altitudes in their past — a fact that the Westerners were deliberately disregarding. If this was the case then it could be argued that Western or Christian thought is not essentially better to Islamic thought, as the missionaries and Western scholars were proclaiming. Ameer Ali noted that the periods of Islamic greatness could be related to Muslim society actively adhering to the core values of Islam. Whereas the periods of Muslim downfall are analogous with the Muslims neglecting their true faith. The backwardness of Muslim society did not result from flaws in the teachings of Islam but was the outcome of ignorance and poverty on the part of the Muslims. Ameer Ali argues that just as one could not blame the backwardness of the lower strata of Western society on the teachings of Christianity, one could also not do the same with Islam.

In his works, Ameer Ali presents that Muslim beliefs and Islamic history have inherent positive values in them, such ideals that one could only find in mod-



ern-day Europe. Ameer Ali posits his main argument though out his work that Islam is inherently civilized and progressive energy which provoke truth and love (Ameer Ali, 1965, p.109) or justice and mercy (Ameer Ali, 1965, p. 95) among commoners. There is no doubt that he was able to express a balanced and confident account of Islam due to his firm command on both Muslim literature and Western history. Besides, he was also aware of the internal dynamics of Western society, having received his higher education in England. His major works on Islam, Islamic history, and Islamic law were all written while he was living in England and published in English first and then translated into other languages.

The latter half of the present book is about the battlefield and defense of the untasteful events that happened in the early history of Islam. It closes with detailed accounts on historical and social issues of slavery, women rights, freedom of society, rational and mystical spirit of Islam. Ameer Ali extensively quotes from prophets Meccan period, implying this period having universality and pluralism. Besides, his few referencing to Medinan verses could be viewed with cultural, temporal rulings (sharia) rulings. So, it could be said for these so-called enlightened Muslims of Aligarh, religion had no Paranormal or supernatural aspect. Religion could be very well measured on the criterion of divine principles of human reason and the natural world. Ameer Ali does not hesitate to join the rationalist current of his forerunners as Ibn Sina, al-Farabi and ibn-e Rushd in reinterpreting miracles (Smith, 1943, p.14). Natural theology in Ameer Ali's words is expressed as the revelation and universe have the same source of its creating and it is God. Hence the word of God could not be in contradiction to his work in the outer world. Both assist each other and Islam confirms their existence.

The Person of Prophet Mohammed

The first portion of Book shed light on Prophet and his biography; his ministry of prophethood and upcoming events of his life. The book begins with approaching to the life of Prophet Mohammed in a very non-traditional format (Smith, 1943, p.48). Here, it could be observed that Ameer Ali tries to consciously avoid any mythical or mystical event from Prophets life. He leaves such details either commenting on them being "poetic lore, legends or rationalizes them with his to date knowledge of sciences.

Ameer Ali argues that Islam as the religion and code of moral values is far ahead than the so-called modern west. The figure that he portrays of Prophet Mo-



hammed is very important to understand the whole frame in which he conceives Islam. Prophet Mohammad is of a very modest man among his fellows without any extra miraculous and supernatural powers. Prophet's personality is unparalleled in its wholeness. This was, of course, a new way of viewing Prophet and quite contrary to the traditional view of him as a majestic man woven in magical realism. For instance, in case of Prophets ascension to heaven (Miraj), he defends Syed Ahmad Khan's view that Prophet saw himself, in a vision, transported from Mecca to Jerusalem, and does not buy the idea of bodily ascension confirming it as unauthentic famous lore, and demoting it to "imaginative genius of poets" (Ameer Ali, 1965, p.44). Likewise, Ameer Ali did not deny the event of Satanic verses but explain it considering such event as being part of mercy and affection of Prophet Mohammed towards his fellow believers (Ameer Ali, 1965, p.35).

"The prophet of monotheism is actually the prophet of nature", (Ameer Ali, 1965, p.33) Ameer Ali insists, 'nature in itself is a revelation, a miracle'. As for revelation, his words are as follows; "It is the same inner voice through which God speaks to all of us. That voice may dwindle away, and become hardly audible; it may lose its divine accent, and sink into the language of worldly prudence; but it may also from time to time assume it's real nature with the chosen of God, and sound in their ears as a voice from heaven" (Ameer Ali, 1965, p.17). 'Prophet addressed to the inner consciousness of man and his reason' (Ameer Ali, 1965, p.33). However, early Muslims did not have enough social prosperity to understand revealed message as a resourceful scholar of the present age can comprehend. This understanding leads us to the whole panoramic view in which religion was revealed and developed and still is evolving as a continues process.

Ijtihad

It is stated that Islam laid down several rules relying on their social situation however these rules are subject to change and modification under change of situation. For instance, God would not utterly eliminate the social reality of slavery rather He would decline the prevailing institution of it. These rules and injunctions do not help the maintenance of slavery. Rather, they are intended to abolish the system altogether but in the proceeding manner. He also stresses that slavery was incompatible with the true spirit of Islam.

He like Syed Ahmad Khan was convinced that Muslims needed religious reform, especially in theology and jurisprudence. Addressing a gathering of Muslims



in Lahore in 1884, Syed Ahmad Khan said: ‘Today we are, as before, in need of a modern theology (jadid ‘ilm al-kalam) whereby we should either refute the doctrines of modern sciences, or undermine their foundations, or show that they are in conformity with Islam’ (Troll, 1978, p. 311). Likewise, he does not reject the Islamic jurisprudential system but stresses on its revival and faculty of Ijtihad. Syed Ahmad having a rational approach on ideal components of Islam, Amir Ali opts for the historical approach which seems more realist and has confidence since societies need time to grow and be as advance as Islam is. For him, religion and culture are not two separate entities, but they influence each other and evolve all together. “Amir Ali’s position was readily put in concert with the progressive evolutionary ideas of the best liberalism of the time” (Smith, 1943, p.52).

He said that the old Kalam based on Greek speculations was no longer sufficient, because, unlike the old, the new sciences relied on empirical evidence (Rahman, 1979, p.217). He stressed the need for a new theology (jadid ‘ilm al-kalam). He explained that, in Islamic tradition, classical theism was developed as a methodology to counter to objections posed by the Greek speculative thought, epistemology and ontology. The challenges posed by modern science called for a new kind of theology. Syed Ahmad Khan rejected the idea that modern science confronted the divine scriptures. The laws of nature discovered by the modern sciences are the work of God, convinces Syed Ahmad Khan (Masud, 2009, p.257).

Ameer Ali believed that science and technology strengthened Islamic conviction since Islam was not dialectically opposed to reason. He believed that modern education to be an ally of Islam—sustaining it with rationalist foundation. His modernistic interpretations can be divided into three categories i) The Qur‘ān and the apostolic Traditions, ii) the demythologizing of Islam and iii) creation of modern orientation for Islam. Below are a few examples of Ameer Ali’s opinions of the issue’s religion was handling with.

Slavery

On the question of slavery and its discouragement in Islam, Ameer Ali argues that in medieval Christendom or the modern West it considers as racial tolerance whereas in Islamic civilization show more creditable attitude. In Islam, the slave of today is the grand vizier of tomorrow. He may marry, without discredit, the master’s daughter, and become the head of the family but Christianity lacks such reports (Ameer Ali, 1899, p. 374-376). Ameer Ali mentions that it is clear that the



legislator; the Prophet Muhammad himself looked upon the custom of slavery as temporary in its nature and held that its extinction was sure to be achieved by the progress of society and change of social dynamics.

Status of Women and Polygamy

Western critics of Islam attacked the institution of polygamy among the Muslims and criticized Islam for having permitted a man to marry more than one wife up to four. The Muslim modernists replied by pointing to the fact that the Qur'an had laid down the condition of justice on polygamous marriage. If justice cannot be maintained among the wives, then strict monogamy should be allowed. Most Muslim modernists hold monogamy as an ideal but are prepared to allow exceptions in case of need. Instead, he advocates monogamy and strictly convince that any affair other than monogamy is inadmissible to core values of Islam (Ameer Ali, 1965, p. 232). Ameer Ali also mentions the superiority of Islam over Christianity concerning polygamy and the position of women (Ameer Ali, 1965, p. 228). On the question of polygamy, he selects a defensible historical perspective, he takes a more traditional view, arguing in favor of the moral permissibility of polygamy under certain circumstances and in certain given historical situations. The act of polygamy is hence attributed to "patristic doctrine" (Ameer Ali, 1965, p. 231) and outcome of circumstances such as of war and turmoil. Ameer Ali envisions a world where only monogamy shall prevail as it is the only ethical and just road to equality between genders. Thus, in the development of the Indian Muslim community, Ameer Ali's works still, have played a remarkable role. Ameer Ali took the stand of defending almost everything in Islamic history. He succeeded in motivating young Western-educated Muslims to retain their identity amidst Western-oriented societies.

A good comparison by Smith is worth mentioning "The Christian missionaries had claimed that Islam degraded status of women; Sir Syed's response to such accusation was no it did not, later Amir Ali said that Islam actually raised the status of women by giving examples of different civilizations and their behaviors regarding women and then quoting qur'anic verses and traditions in support of it. As for political structure, Amir Ali is confidently clear that Islam has republican spirit bestowing freedom and equality of people under a governess. He does not disregard the Islamic history but embraces it and adopts it as a thought style with its history. His optimism could be well understood by not using any negative connotations but making them affirmatives. "Even for the darker period of Islamic history, he does not say "This is not Islam, but, "This is what Islam becomes in a corrupt age' (Smith, 1943, p. 50).



Ethics

Ameer Ali portrays Prophet as a man of high moral values who have not only divine revelation but embedded prophetic ethics as well as human emotions (Ameer Ali, 1965, p. 54). The mind of this 'remarkable Teacher' was Ameer Ali continues, in its intellectualism and progressive ideals, essentially modern. He gave hope to colonized Indian Muslims by saying, eternal "striving" was in Prophet's teachings a necessity of human condition. He quotes narrations as, "Man cannot exist without constant effort" The effort is from me; its fulfilment comes from God". The world, he taught, was a well-ordered creation, regulated and guided by supreme Intelligence overshadowing the universe..." (Ameer Ali, 1965, p. 121).

In short, Ameer Ali's work is not a theological treaty, rather an apologetic history, with a strong emphasis on the realm of reason, on which the Quran and prophetic ministry dwell. He admires Prophets attitude towards meek and the poor, towards humans and animals alike. Ameer Ali states, 'Long before the Christian nations ever dreamt of extending towards animals' tenderness and humanity, Mohammed proclaimed in impressive words the duty of mankind towards their dumb and humble servitors (Ameer Ali, 1965, p. 158).

The mind of Mohammed went through religious and spiritual development, this is why Ameer Ali asserts that the figurative and literal description of paradise and *huris* is more prominent in Meccan period and by the time his disciples were able to develop their religious consciousness the paradise in the material sense of the world became less and less important. (Ameer Ali, 1965, p. 200-201) in this way, he tries to regenerate and comprehend the verbal dictum of sensuous passages. Social equality, justice and distribution of wealth under legal ruling are the future of Muslim empire he promotes the English democracy and propagates it as the best possible solution of our time, though he relates it to *shura* like other apologetics (Ameer Ali, 1965, p. 283-288).

Conclusion

For him, in very historical contextualization religion evolved out of pitiless appetite of blood and wealth and became on its finality at the last Master. This gradual improvement in-laws (sharia) still had the very same core of universal tinder and respect for the human being. His extra overwhelmed affair with so-called western and Modern society somehow made him have very subjective decisions on religious fundamentals such as concerning future life he remarked it being more of a



spiritual nature rather than being mere rivers of Milk with virgins. He although have no solution for material depravity of Indian Muslims and their hunger or poverty. Syed Ahmad tolerate other religions to some extent however, Amir Ali present them on scholarly level does not give them their full due, especially on Hinduism, he is strict (Smith, 1943, p. 54).

The new developments in Islam had many factors, including the emergence of the middle class in British India, Aligarh, as well as mentioned by Smith 'a reaction to the stimulus of Christian assault'. The Christian missionaries indulging in polemics regarding the advent of Christ his immortality and factual mortality of prophet of Islam etc. on the other hand showing westerns supremacy in science, culture, liberalism. To get rid of this sense of inferiority and to sustain their confidence in Islam they had no other option but to reform its frame. It was claimed that the new spirit of Islam which was shown had 'liberal-humanitarian-bourgeois values of the nineteenth century', as Islam itself. (Smith, 1943, p. 44) Aligarh movement tried to harmonize Islam with the modern construct of society. Eventually got the favor of educated Muslims, inspired them to get western education and be an active part of the sociopolitical sphere of India.

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Waqf Institution: Toward Financing Qur'anic Schools in Northern Nigeria



Ahmad Mukhtar Adam*

Abstract: Today, as it is in most of the West African Muslim-dominated societies also in Northern Nigeria, there are mainly two types of Qur'anic schools: traditional known as Makarantar Allo or Almajiri schools and modern named Islamiyah or Tahfiz schools. In Nigeria, the classical type has been facing financial problems since the post-colonial period in the country, resorted to, some of the students of those schools known as Almajirai, usually after their lessons or in the holidays, spreading out to the street of northern Nigeria begging or engaging in some menial jobs to survive hard conditions. The modern type, although the situation of its students is not as worst as the students of the former, nonetheless, its administrations are also having issues of funding. However, in Islamic societies, since the Companions and the Successors (Ṣahabah and Tabiūn) era, Waqf and Zakāt provisions have been playing a vital role not only in funding the Islamic and Qur'anic schools but also in providing social services in general. Therefore, the purpose of this paper is to study the Waqf provision by examining the applicability of this institution toward solving the problem of funding Qur'anic schools in northern Nigeria. Besides, the study highlights that the experience of other countries, like Turkey, could be learned and applied in supporting these schools. However, in this study, a qualitative approach was adopted, and in collecting data library research was used.

Keywords: Waqf Institution, Almajiri Schools, Islamiyah Schools, Funding, Challenges.

* Marmara University, Institute of Social Sciences, Department of Islamic, PhD Candidate.
Contact: alahmady007@gmail.com



Introduction

It is generally accepted that Qur'ānic education has started since the revelation period. Thus, the Prophet (PBUH) whenever a portion of the Qur'ān was revealed to him, he does not only called the *Kuttāb al-wahy*¹ to write it down but he also motivated the Companions to memorize it and convey it to those that are absent. As a result, before the death of the Prophet (PBUH), a lot of the Companions among whose Zaid b. Thābit (d.45/665), Abdullah b. Mas'ūd (d. 32/652-53), Ubey b. Ka'b (d. 33/654), Abu Musa al-Ash'ari (d. 42/662-63) and Ali b. Abi Tālib (d. 40/661) memorized the whole of the Qur'ān (as-Suyuṭī, 1974, V.I, p. 244-250). It was also reported that during the Prophet time, precisely, in the tragic event of *Bi'r Ma'unah* not less than 70 *Qurra'* (Qur'ānic reciters) were martyred (az-Zarkashī, 1957, V.I, p.242; Ibn Hishām, V. II, p. 183-185; al-Wāqidī, 1989, V.I, p. 346-350). After the death of the Prophet (PBUH), in the Rashidun Caliphate time, with the Islamic conquests, the *huffāz* (Arabic plural of *hāfız*) increased tremendously. Hence, during this period, a lot of the Companions migrated from the Arabian Peninsula to other parts of the world to convey the message and teaching of Islam. Subsequently, several Qur'ānic schools among which the Qur'ānic school of Iraq (*Baṣra* and *Kūfā*), Syria (*Shām*), as well as that of Mecca and Madinah, were established during the *Tābiun* and *Tābiu' tābiun* period (Demirci, 2017:219).² Also, during the Umayyad and Abbasid dynasty as well as the Mamluk Sultanate and the Ottoman empire, development in the Qur'ānic education continuous un-

1 Kuttāb al-wahy refers to the companions that used to write the Qur'ān after its revelation.

2 The famous among the *Qurra'* (Qur'ānic reciters) and their students (*ruwāt*) are the following; In Makkah, Abdullah b. Kathīr (d. 120/738) his students are; al-Bazzi, Ahmad b. Muhammad (d. 250/864) and Qunbul, Muhammad b. Abdirrahmān al-Makhzūmī (291/904). In Madinah, Nāfi' b. Abdirrahmān (d. 169/785) his students are; Qālūn, Ahmad b. Muhammad (d. 250/864) and Warsh, Abū Said Uthmān b. Said (197/812). In Baṣra, Abū Amr Zabbān b. al-Alā (d. 154/771,) his students are; ad-Dūrī, Hafs b. Umar (d. 248/862) and as-Sūsī, Ṣāliḥ b. Ziyād (d. 261/874). In Shām, Ibn Āmir, Abdullah al-Yahsubi (d. 118/736) his students are; Hishām b. Ammār (d. 245/859) and Ibn Zakwān, Abdullah b. Ahmad ad-Dimashqī (d. 242/857). In Kūfā there are 3 *Qurra'*; Āṣim, Abubakar b. Abi'n-Nujud al-Kūfi (d. 127/747) his students are; Abubakar Shu'bah al-Kūfi (d. 193/809) and Hafs, Abū Umar b. Sulaymān (d. 180/796); Hamzah Abū Umārah al-Kūfi (d. 156/773) his students are; Khalaf, Abu Muhammad b. Hishām (d. 229/884) and Khal-lād, Abū Isa as-Shaybāni (d. 220/835) and the last Kūfi Qāri' (singular of *Qurra'*) is al-Kisāi. Ali b. Hamzah (d. 189/805) and his famous students are; Abū'l-Hārith Layth al-Bagdādi (d. 248/862) and ad-Dūrī, Abū Umar Hafs b. Umar (d. 248/862). Besides these *Qurra'* there are also a lot both *maqbul* (accepted) *Qurra'* and *Shādh* (unaccepted), for a detailed review on this topic see, (Ibn Mujaḥid, 1400; Çetin, 2013)



interruptedly; a lot of Qur'anic madrasas and maktabas (schools) were built and it is interestingly to note that during this period the key source of funding Qur'anic education is Waqf and *Zakāt* provisions. These two institutions, especially the Waqf has a tremendous impact on the development of Islamic societies, particularly, during both Mamluk Sultanate and the Ottoman empire. Also, these institutions, as will be seen below, contributed significantly to the transformation of the Qur'anic and Islamic education (Bulut & Korku, 2016).

The Qur'anic Education in Northern Nigeria

As it was earlier mentioned, in northern Nigeria there are mainly two types of Qur'anic education:

Traditional Qur'anic Education

This system of education is a non-formal basic Islamic education which was known as “*Tsangaya*” or “*Makarantar Allo*” and now termed as “*Almajiri* education system”.³ Although it is difficult to trace the date in which this type of education was started in northern Nigeria, nonetheless, it was believed that in the *Kanem Borno* region during the 11th century, precisely, in the reign of Hummi Jilmi b. Selemma, after the declaration of Islam to be the formal religion of that region, with the financial support of the rulers of ‘Kanem Borno’ and the role played by the people of that region, Islamic education and Qur'anic studies has witnessed significant growth. In term of the development of the Qur'anic studies in Kanem Borno, indeed, the contribution of Ibn Mani could not be overemphasized. Thus, Muhammed b. Mani was reported to have had given a Qur'anic classes not only to the commoners but to some of the prominent rulers of Kanem Borno like *Hummi Jilmi*, *Mai Bulu*, *Mai Kade b. Arki* and *Abdal-Jalil b. Hume* (Maigari, 2017; Galadanci, 2016).

The traditional Qur'anic recitation and memorization system in Kanem Borno was divided into five stages: *Batata*, *Shadda*, *Tullum Fine*, *Kaunem Sawo* and *Sa-nem Sawo* (Kyari, 2011). In this system the students become expert in the Qur'anic studies within five to twelve years and through it, they learned both the reading and the *Rasmu al-Uthmānī* (the calligraphy and the orthography of the Qur'an).

3 Al-Majiri is a Hausa language word which is originated from Arabic word “*Al-Muhājir*” and it refers to a person who migrated his home town to another place seeking for knowledge. But, unfortunately, due to the decline of the traditional Qur'anic system in Northern Nigeria, now the word become a synonym for vagrants. See, (Maigari, 2017)



After completing these stages, the student will be given a title of *Goni* (an expert in the field of Qur'ānic studies). (Kyari, 2011).

Beside the Kanim Borno region, Qur'ānic education has also given important attention in Hausa land. However, the arrival of the Wangara mission under the leadership of Abdurrahman Zaiti to the Hausa land in the early 15th centuries has a tremendous impact on the development of Islamic and Qur'ānic education. Thus, Abdurrahman Zaiti was said to established excellent Islamic centre of learning in Kano where he gave public classes in Qur'an and other Islamic disciplines such as Fiqh. Also, the visitation of Abdulkarim al-Maghili to some Hausa States like Katsina and Kano in the late 15th century has a significant role not only to the progress of Qur'ānic education but also to the implementation of Islamic law in the Hausa land precisely during the reign of Muhammad Rumfa. (Palmer, 1908; Kyari, 2011; Galadanci, 2016)

With the emergence of religious revival in northern Nigeria through the Sokoto Caliphate during the early 19th century, Qur'ānic education seen considerable development. Not only in the field of Qur'an and tafsir but also other Islamic disciplines a lot of schools and public classes were opened in most states of northern Nigeria and the Qur'ānic education considered to be the first level of education. During this period, the Qur'ānic schools are usually in the villages or outside the cities. Sometimes, the students moved from one village to another. The students sit on mats or ground in open places, mosques, under the trees or in the resident compounds, holding *Allo* (a wooden slate). (Usman, 2018) The duration of study in these schools is between two to six years (determined on the age and ability of the student) and under eight stages as follows:

- *Babbaku*: this is the first stage and it refers to pronunciation and identification of the Arabic alphabets by the students.
- *Farfaru*: knowing vowels with examples.
- *Zube*: leaning reading and writing the Qur'an.
- *Zuku*: writing and reading a specific portion of the Qur'an generally from surah *Nās* to *Amma*.
- *Sauka*: reading Qur'an from beginning to the end (and normally there is a graduation ceremony at the end of this level. Some students graduate and some continue to the following stages.)
- *Hadda*: memorization of the Qur'an.
- *Tilawa*: revision and the second memorization.
- *Satu*: the stage of writing the Qur'an from the memory (Usman, 2018).



The students are given different titles based on their levels. The most famous are *Kolo*, *Titibiri*, *Gardi*, *Alaramma*, *Goni (Gwani)*, *Gangaran* and *Mahiru*.

Although traditional Qur'anic system does not consider to be a formal education; they are established by individual scholars and not supervised by any official policy, nonetheless, with the contribution of the prominent Sokoto leaders and the support of the general public these schools contributed immensely to the development of Northern Nigerian region before the coming of the British colonial government. The visions of the region were met through this system because its products were relevant to society. The system produced the centre of leaning in Kano, Katsina, Zaria, and Borno in which scholars, intellectuals and famous authors were educated. The graduates of the system were well respected and influential in their societies; they worked in various institutions as teachers, judges, scribes, etc. (Usman, 2018; Galadanci, 2016)

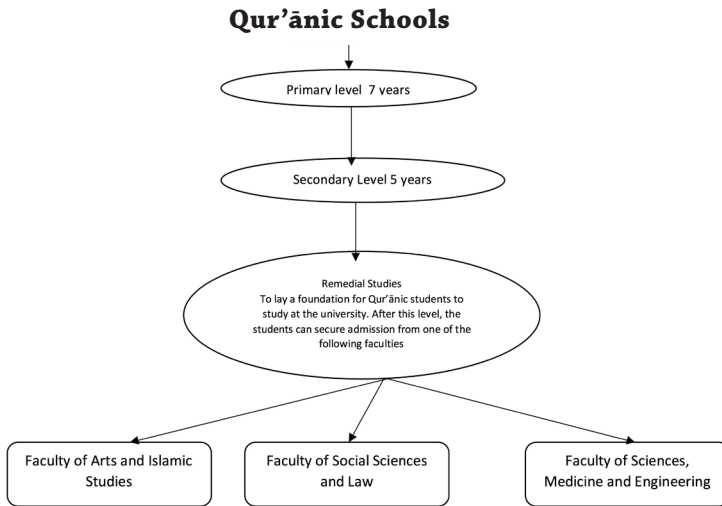
The traditional Qur'anic system sustained its glory until the arrival of the British in Northern Nigeria at the beginning of the 20th century. As at the time British colonial masters arrived in Northern Nigeria, there were not less than 20000 traditional Qur'anic schools in that region. However, the colonial ignored the role of these schools by imposing western educational culture as the general system of education. Consequently, the system started to decline (Galadanci, 2016; Usman, 2018).

During the early post-colonial era in Northern Nigeria, there were attempts to the transformation and integration of the traditional Qur'anic education by Northern regional government. Thus, in 1962, after Nigerian independence, there was a committee that was assigned by the government to travel to Egypt, Sudan and Libya, and study the Qur'anic education system of those countries and write a report and strategic plan which can be used in transforming the traditional Qur'anic system in Nigeria (Galadanci, 2016). The committee recommended that the government should:

- Integrate the traditional Qur'anic schools to formal primary education.
- Assign inspectors and supervisors for the Qur'anic schools in the ministry of education.
- Establish Qur'anic education trust fund through which the governments will provide financial support for the maintenance and development of these schools.
- Establish and built adequate new Qur'anic schools all over the Northern region.



- Allow the private Qur'anic schools that were managed by individuals to register under this new system.
- Train the Qur'anic teachers on psychology, teaching methodology, etc.
- Forbid the act of moving the Qur'anic students from one village to another.
- Include science, social science and art subjects in the curriculum of Qur'anic schools.
- Design the integrated Qur'anic education as in the following table:



Source: report on Arabic and Islamic Religious Knowledge Education in Northern Nigeria as in (Galadanci, 2016)

The gradual implementation of these recommendations in the Qur'anic education system was started by the then Northern Nigerian Government. However, because of economic and political factors that arose in the country during the first republic in Nigeria, this transformation and integration project failed and resorted the system to be financially challenged (Galadanci, 2016). Today, the system financially depends on little contribution from the parents of the students and the condition of the students is critical and unhealthy, and yet, hundreds of thousands of parents are enrolling their children in the system.

As in 2010, there were not less than eight million traditional Qur'anic students enrolling in about one hundred and forty thousand Qur'anic schools



across the northern Nigerian states (Usman, 2018). Despite the fact that there was some effort by both Federal Government of Nigeria like that of the Good-luck Ebele Jonathan's administration, and state governments like recent efforts of Katsina, Kano and the Kaduna States, to transform Qur'anic education, however, until now, the Qur'anic system is not considered to be a formal education and the system is about to collapse.

The following table shows the number of *Almajirai* (Traditional Qur'anic students) as in 2010, based on their states.

Table 1:

Zone	State	No. of Qur'anic School	No. of Enrolment
North East	Adamawa	2,139	141,951
	Borno	55,000	1,800,000
	Bauchi	4,703	303,980
	Gombe	2,124	123,980
	Taraba	-	63,168
	Yobe	2,124	220,745
	Total	66,157	2,651,797
North West	Jigawa	5,574	258,280
	Kano	14,335	1,272,844
	Kaduna	7,768	250,366
	Katsina	8,828	529,536
	Kebbi	8,200	328,000
	Sokoto	9,551	1,145,145
	Zamfara	5,994	1,118,835
	Total	60,250	4,903,000
North Central	Benue	136	14,669
	Kogi	529	119,462
	Kwara	5,126	271,258
	Nasarawa	4,624	45,873
	Niger	8,210	586,521
	Plateau	-	75,382
	FCT Abuja	253	20,123
	Total	18,878	1,133,288

Source: UBEC/Madrassa Committee Report of 2010 as in (Usman, 2018)



And the following table shows the figures of the enrolment into public primary schools (2008) in comparison with the registered number of the *Almajirai* (traditional Qur'anic students) in northern Nigeria, as in 2010.

Table 2:

State	No. of Pri. Sch.	No. of M. Students	Total No. of M&F	No. of Qur'anic Sch.	Enrolment
Adamawa	1,698	249,432	459,924	2,139	141,951
Bauchi	2,053	393,421	696,064	4,703	301,980
Borno	1,315	275,618	484,203	55,000	1,800,000
Gombe	1,120	246,321	431,768	2,124	123,923
Taraba	1,513	271,145	478,362	-	63,168
Yobe	984	372,520	620,758	2,191	220,745
Jigawa	1,813	285,565	479,881	5,574	258,280
Kaduna	3,714	525,712	918,804	7,768	250,366
Kano	5,196	1,139,435	1,949,571	14,335	1,272,844
Katsina	2,134	764,342	1,222,812	8,828	529,530
Kebbi	1,388	279,578	434,233	8,200	328,000
Sokoto	1,666	479,425	691,790	9,551	1,145,145
Zamfara	1,276	341,133	470,880	5,994	1,118,835
Benue	2,884	444,042	833,569	136	14,669
FCT	468	117,883	226,732	253	20,123
Kogi	1,997	415,024	829,516	529	119,462
Kwara	1,413	335,700	628,949	5,126	271,258
Nasarawa	1,162	186,327	333,821	4,624	45,873
Niger	2,806	298,708	488,834	8,210	586,521
Plateau	1,869	363,933	706,436	-	75,382
Total	36,600	7,421,322	12,680,471	145,285	8,688,055

Source: UBEC/Madrasa Committee Report of 2010 as in (Usman, 2018)

Although previous studies have claimed this system (Almajiri System) to be the main factor for the rise of the insurgency and to be a citadel for the terrorism and radicalism in the society (Usman, Zawiya & Salim, 2017; Usman, Zawiya & Bashir, 2017), notwithstanding, the above two tables demonstrated that the sys-



tem has potential and untapped pool of human resource which, if trained properly, can be a driving force to the development of northern Nigeria both socially and economically.

Modern Qur'anic Education (Madrasah/ Tahfiz/ Islamiyah)

Besides the traditional Qur'anic schools, there are tens of hundreds of semi-formal Qur'anic schools commonly known as “*tahfiz*” or “*Islamiya*” across the northern Nigerian state. They are managed by individual proprietors who are usually the founder of the school or by non-governmental organizations like *Jamāah Izalah al-Bid'ah wa Iqāmah as-Sunnah* (Ramzi, 2011).

These schools, not like traditional Qur'anic schools, accept both male and female students and in most cases, are opened in the weekends or during weekdays but in the afternoon after the formal schools. The students attend the modern Qur'anic schools wearing school uniform and with their *Mushaf* and other books. Not only Qur'an and tajwid were taught in these schools, but other Islamic subjects like sira, fiqh and Arabic language are also taught. Duration of the study is between one to six years depending on the background, ability and the age of the students. Most of modern Qur'anic schools in northern Nigeria are facing a financial problem because they are depending on the little school fees that the students pay termly.

Waqf Institution and Its Role in Financing Education in Islamic History

Theoretically, Waqf refers to form of money (goods) known as waqf property or *mauquf*, which is given as waqf (endowment) and its restricted for any kind of transaction such as sale, inheritance, *hibah* (gift) and *wasiyyah* (will). According to Islamic law, waqf requires some conditions, the most important among which is that the waqf property should be permanently and physical properties, except for cash waqf. (Soliha and Muhammad, 2015; Rohayati, Rusnadewi and Noor, 2016).

Even though there is no verse in the Qur'an that explicitly mentioned the permissibility of waqf application, nevertheless, the Qur'an has emphasized on the concept of *Infāq fi sabilillah* (spending for the sake of Allah), see Qur'an 2 verse 3, 215 and 219; Qur'an 3 verse 134 and Qur'an 28 verse 54. However, the Prophet (PBUH) besides his emphasis on the concept of *Infāq fi sabilillah*, has encouraged for the act of *Sadaqa Jāriyah* (Continuous Charity) in one of his ḥadith he says:



“When a person dies, all of his deeds come to an end, except continue charity, pious boy that can pray for him or beneficial knowledge” (at-Tirmizī, 1987; an-Nasāī, 1986). Thus, continuous charities such as schools and water well are the part of the waqf application.

Waqf institution has been used in providing social services in general and educational in particular throughout Islamic history. In the time of the Prophet (PBUH), it was used in providing social services such as supplying water, building mosques and financing other religious institutions. During Umayyad and Abbasid dynasty waqf institution has expanded and have used in financing madrasas, *mak-tab* (schools), dervish lodges, tombs, hospitals, etc. Also, In the time of Seljuqs, Ayyubid and Mamluks waqf provision sustained in providing social services and also, significantly contributed to the development of education. Thus, in Mamluk dynasty, according to *al-Qanqashandī* and *al-Maqrīzī*, across the Mamluk States, a lot of madrasas and schools together with their libraries were built through the waqf provision. Example of these schools is, *al-Madrasa al-dhāhiriyya*, *al-Madrasa an-Nāsiriyya* and *al-Madrasa al-Kāmiliyya*. All these madrasas maktab and other educational institution that was built throughout Mamluk dynasty depended on waqf institution; The establishment costs of these schools, the salary of the teachers and *mūids* (assistants) as well as the monthly stipend, food and school materials of the students were all covered by the waqf (Kurt).

Also, during the Ottoman empire, not only in economic developments, health and public works but also in educational, religious and military services waqf provision has played a vital role in financing projects. According to Mehmet Bulut and Cem Korkut, between the 15th and 19th centuries, only in Istanbul, not less than 500 *Dāru'l-Qurrā'*, *Dāru'l-Ḥadith* and madrasas were built and financed through waqf provision. Besides, cash waqf like that of waqf Hadji Abdullah Cavus Agha b. Mahmud, waqf of Hadji Murtaza Effendi b. Mehmed and waqf of Seyyid Mustapha Agha b. Huseyn were used in financing madrasas (Korkut & Bulut, 2016).

Waqf Institution and Its Role in Financing Qur'anic Education in Modern Islamic World

Today in modern Islamic world waqf provision is viewed as an alternative source to finance not only Qur'anic education but also other educational institutions including universities. Thus, in Turkey, Malaysia, Indonesia and other Islamic countries, numerous governmental and non-governmental waqf foundations were es-



established to finance Qur'anic education. Also, some universities in those countries were founded under the concept of Islamic waqf. In Turkey, The Turkish Religious Waqf Foundation (TDV), which was established in 1975, each year provides scholarships to thousands of secondary, undergraduate and postgraduate students to study, especially Islamic studies in different parts of Turkey with free dormitory accommodation to students, besides, TDV finances Qur'anic education through establishing Qur'anic centres with their accommodation across Turkey. In these Qur'anic centres, students were provided with food and all necessary materials for the success of the course (*Türkiye Diyanet Vakfı*, 2019; 29 May University, 2019). Example of these centres is the Yunus Emre *Kur'an Kursu* (Qur'anic centre), and Sarigazi *Kur'an Kursu*. For more detail on these two Qur'anic centres see, (Yunus Emre *Kur'an Kursu*, 2019; Sarigazi Merkez Erkek *Kur'an Kursu*, 2019). Apart from the government's waqf foundations that supported the Qur'anic education, there are also, a lot of non-governmental waqf foundations that finance Qur'anic courses in contemporary Turkey. Aziz Mahmud Hudayi waqf (foundation) is one of the private foundations that financed Qur'anic education. This foundation gives scholarship to thousands of students from 53 countries across the globe. The centre provides accommodation, foods, cloth and monthly stipend to its students. For more detail see, (Aziz Mahmud Hudayi Vakfı, 2019). It is important to note here that, these Qur'anic centres are funded by the contribution of the people through waqf *Âm*, waqf *Kâş* and cash waqf.

Apart from the tremendous impact of the waqf provision to the Qur'anic education, in Egypt, Sudan, Malaysia, Indonesia Pakistan and other Islamic countries, schools and universities were founded and funded by the waqf and yearly, scholarships are given to international students to study in various disciplines in these universities; al-Azhar University, Egypt, Fatih Sultan Mehmet University, Turkey, Islamic University of Malaysia, Abdul Aziz University, UAE, Universitas Islam, Indonesia, Jogjakarta and the University of al-Qarawiyyin in Fez, Morocco are examples of those universities (Rohayati, Rusnadewi & Noor, 216).

Conclusion

From the above discussions, the paper indicates that waqf provision is the instruments that have been using to finance the Qur'anic education. Thus, during Umayyad and Abbasid dynasty as well as the Mamluks and Ottoman empire, waqf institution has played a significant role in financing madrasa, maktabas and other



educational institutions. Also, in the modern Islamic world, the waqf institution continues to be used in financing education. In Turkey, Malaysia, Indonesia, Egypt and other Islamic countries, a lot of universities were established; scholarship, accommodation and monthly stipend are provided through waqf provision. In Nigeria, waqf provision can be used in financing both traditional (Almajiri system) and modern Qur'anic education.

Recommendations

Waqf provision can be used to solve the problem of funding Qur'anic schools in Northern Nigeria. However, the study recommends the following:

- a. The traditional Qur'anic schools should be Integrated to formal primary and secondary education: science, social science and art subjects should be included in the curriculum of Qur'anic schools. That can allow the graduates to be admitted into universities.
- b. Both states and federal governments should intervene in funding Qur'anic schools by establishing Qur'anic education trust fund through which the governments can provide financial support for the maintenance and development of the both traditional and modern Qur'anic schools.
- c. Stakeholders, an Islamic organization in Nigeria together with state and federal governments should establish waqf foundations through which adequate Qur'anic schools with their dormitory would be built all over northern Nigeria.
- d. Private Qur'anic schools that were managed by individuals should be registered with various waqf institutions that will be founded by both governments and individuals.
- e. Workshops on psychology, teaching methodology, etc. should be organized for Qur'anic teachers by faculty of education from different tertiary institutions in northern Nigeria.
- f. State legislatures in northern Nigeria should pass an act that can guide Qur'anic education and waqf foundation that will be established to finance it. Although, there are some existing laws in some states in northern Nigeria that guide the Qur'anic schools, however, these laws are not put into effect.



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A Practice of Zakat Distribution on Fisabilillah Asnaf and Its Effect on Society in Selangor, Malaysia

Fakhrina Zulkiple*

Abstract: Zakat in Islam is a system aims to overcome poverty among Muslims population and literally means to purify properties and receiving Allah's blessing. In order to achieve those objectives, there is a need to form an institution responsible for the efficient collection and distribution of zakat. Good governance of zakat management requires competent human resources, well-established organizational structures and up to date Shari'ah (Islamic law) and societal development knowledge among all zakat officers. This article will examine one of zakat institution in Malaysia, Lembaga Zakat Selangor (Zakat Council of Selangor- LZS), especially in relation to its distribution to one of asnaf (zakat recipient), i.e. fisabilillah (Muslim who strive in the way of Allah). Fisabilillah asnaf is selected because in terms of zakat distribution, it constitutes among the highest percentage as compared to other groups of recipients. LZS is considered as one of successful zakat institution in Malaysia due to its huge amount of zakat collection (RM829.9 million in 2018). Overall, Muslims in Malaysia are encouraged to make their zakat payment through government's zakat center for proper distribution to the needy. The article will discuss legal interpretations of fisabilillah asnaf according to current circumstances and adhering to the Shari'ah by classical and contemporary Muslim scholars. The practice of LZS will also be examined for effective distribution as well as its effects on education and religious institutions development prospects of Muslims society. This study uses qualitative and descriptive approach which involves data collection methods such as documentation and library research. The study found that LZS has established a special unit for efficient zakat distribution and given priority to the field of education in order to enhance capable human resources for the long term development of Muslims society.

Keywords: Zakat Distribution, Zakat Institution, Lembaga Zakat Selangor, Fisabilillah Asnaf Zakat Legal Interpretations.

* Sakarya University, Social Sciences Institute, Theology, MA Program.
Contact: fakrina.zulkiple@ogr.sakarya.edu.tr



Introduction

Zakat is the third pillar of Islam and it is an obligation for the wealthy to pay zakat subject to the requirement determined by Shari'ah laws such as the income or property meet the minimum limit (nisab) and time span of one year (haul). Zakat can improve spiritual and material gain of Muslims as a form of worship as well as care about the societal community development. It plays an important role in the lives of Muslims. In addition, zakat, on one hand, purifies the individual who gives Zakat from selfishness and indifference, while, on the other, it purifies those who receives Zakat from the feelings of hatred against the wealthy people (Abdullah & Suhaib, 2011).

According to Al-Qardawi (2011), zakat has been discussed in the Quran in broad terms but the areas in which it can be spent are specifically mentioned in Surah At-Taubah verse 60:

Indeed, the zakat is only for the indigents, the poor, the zakat managers, the muallaf, liberate the slave, the debtors, the way of Allah and those who being on the way as a decree required by Allah, and Allah is All-Knowing, All-Wise (9:60).

Based on this verse, there are eight types of Asnaf (zakat recipients) who are eligible to receive zakat. The eight types of Asnaf are *fuqara* (the poor), *masakin* (the needy), *amil* (those who collect zakat), *muallaf* (those whose hearts are to be reconciled), *al-riqab* (to free the captives), *al-gharimin* (the debtors), *fisabilillah* (the way of Allah) and *ibn sabil* (for the travelers). Although all of these asnaf have been mentioned with *qat'iyy* (precise), and *sarih* (clear), the changing times and places have led to some changes in the implementation of the Divine instructions, in accordance with one of *qawaid fiqhiyyah* (methodology of Islamic jurisprudence), i.e. it is irrefutable that rulings change in accordance with the change in time (Karim, 2012). The approach will guarantee the right of the needful and also accommodate the changes that occur in different contexts and times.

New interpretation and details of each asnaf is very important in order to make the zakat distribution effective and in line with what Allah commands (Azman, Irwan, Mahazan, Nuradli Ridzwan Shah, Wan Mohd, W.R, Rose, & Norlina,²⁰¹⁵). Misinterpretation may result in an eligible asnaf are not receiving their rights and at the same time, the social goal of zakat which helps closing the gap between the poor and the rich, cannot be fulfilled. Hence, as one group of zakat recipients, *fisabilillah* asnaf is receiving various interpretations by *fuqaha* (Islamic jurisprudence experts) and *mufassirin* (the writer of a commentary on the Quran)



in the context of zakat distribution in modern times. Therefore, a zakat administration which is preferably handled by the state is required to be determined by authorities (Al-Qaradawi, 2011) so that the practice of zakat will bring benefit to Muslim society at large.

Zakat institutions act as *amil* (those who collect zakat) that manages the collection and distribution of zakat which requires a combination of several types of expertise such as in fiqh, technology, accounting, auditing etc. In accordance with zakat management practice during the time of the Prophet PBUH in Medina in the second year of Hijrah, zakat is collected from Muslim communities who are free to accumulate their own wealth. The zakat funds were then distributed to the Asnaf who were entitled to receive it in Medina (Shofian & Amir, 2002), which is the same area in which it had been collected (Hairunnizam, Radiah, Sanep, 2012).

Zakat management in Malaysia falls under the jurisdiction and authority of the state government as mentioned in the Federal Constitution. The respective state authority involved in zakat administration carries out the following responsibilities: promotion, collection and distribution of zakat. Each state has a State Islamic Religious Council (SIRC) or *Majlis Agama Islam Negeri* (MAIN) that manages all matters related to the religion of Islam including zakat. Given such situation, it gives full authority and flexibility to every SIRC to administer the management of zakat whenever it is deemed appropriate. To ensure that the zakat-related matters went smoothly, the authorities have implemented various continuous improvement exercises especially in zakat distribution (Mohd Faisol, 2016).

In Selangor, State Islamic Religious Council (SIRC) has established Lembaga Zakat Selangor (LZS) as the body that is responsible to manage zakat collection and distribution on behalf of the Selangor Islamic Council (MAIS). In other word, Selangor is a state that has incorporated zakat institutions in terms of collecting and distributing zakat under the state administration of Islamic Law Enactment (Azman, A. R., Mohammad, H. A., Syed Mohd, 2012). MAIS has privatized their zakat institution to ensure that the zakat management is capable in providing quality service to maximize zakat payer's satisfaction through professional approach, using latest technology as well as in line with Islamic values (Laporan Zakat 2006, 2006: p.24).

However, according to Ahmad & Wahid (2005), there are still some weaknesses in zakat management even though it has been privatized, for example there were some eligible zakat recipients from *fisabilillah* asnaf that did not receive zakat due to lack of knowledge on application method and their eligibility in receiving zakat assistance,



leaving only a small number of such people benefiting from the scheme and assistance (Azman & Ahmad, 2011). Besides, there has been some confusion among the public regarding the distribution of zakat assistance schemes to *fisabilillah* asnaf.

Thus, this paper is expected to provide insight, especially in the identification of *fisabilillah* asnaf based on the criteria set by classical and contemporary scholars, as well as analyzing definition given by LZS and their practice in Selangor. The interpretation must be executed accordingly to make sure that zakat distribution practice can provide assistance to the needy and improve the quality of Muslim society in Selangor, especially in education and religious institutional developments.

Literature Review

Among the main objective of zakat is to eradicate poverty among Muslim community (Sadeq, 1991). Realizing this fact, Muslims in Malaysia are encouraged to make their zakat payments to the government's zakat collection centres for proper distribution to the asnaf. According to Ab Rahman et al (2014), the current state of development of zakat institutions in Malaysia are good especially in terms of collection. However, in term of distribution, there are a lot of challenges faced by zakat institutions. Various studies have been conducted to ensure that the collected zakat funds are distributed as efficiently as possible to improve the quality of life of each recipient and thus help them out of the hardship and difficulties of life (Khairul Azhar, 2017). Among the issues and controversies that have been encountered by the zakat institution in matters related to the management of the zakat distribution is the weaknesses of professional zakat administrator (Sadeq, 1995). This view is supported by Abdul Wahab et al., (1995) who agree that zakat in Malaysia is not well managed due to a shortage of qualified officers. However, from a macro perspective, Patmawati (2008) discovers that zakat is able to reduce the gap of income distribution in Selangor, the most populated state in Malaysia.

There was no retrospective research specifically done in regard to a practice of zakat distribution on *fisabilillah* asnaf and its effect on society in Selangor. The latest study related to the implementation of zakat on *fisabilillah* asnaf in Malaysia was written by Rabiatul & Nurul Ilyana (2018), which emphasized the interpretation of *fisabilillah* asnaf by classical and contemporary scholars as well as its practice in zakat distribution in Malaysia. According to the research, the problem faced by zakat institution in the aspect of zakat distribution method are as follows: 1) determining eligible and non-eligible asnaf, 2) poverty issue is still prevailing de-



spite the distribution of zakat, and 3) some of zakat institutions accumulate low zakat funds compared to others so that is raised the issues of the performance of zakat institution itself. It is related also to the ways of the interpretation and identification of asnaf, especially with regard to current circumstances and understanding of the zakat instructions in the Quran and Sunnah.

In a research carried out by Gadot, N. (2009), he states that in the context of the Islamic world and in Malaysia today, Muslims need to encounter their weaknesses in intellectuals especially on their ability to interpret the spirit of Qur'anic teachings. In addition, according to Azman Ab Rahman et al (2016), the *Maqasid Shari'ah* (objectives of Shari'ah) i.e, the protection of religion, life, intellect, lineage and wealth, is important to understand the aspect of zakat distribution on fisabilillah asnaf to ensure that the zakat distribution is allocated in accordance with the objective of zakat. Each scheme constructed must be evaluated from time to time in order to fulfil the objective of Maqasid Shari'ah. The research found that using Maqasid Shari'ah approach as a parameter will accurately measure the need of fisabilillah asnaf and providing assistance as required in the zakat practices.

Fuqaha and mufassirin have debated on legal interpretation of fisabilillah asnaf through *ijtihad* (the process of legal reasoning and hermeneutics through which the jurist-mujtahid derives or rationalizes law on the basis of the Qur'an and the Sunnah) as long as it is not contradict to the Shari'ah in order to improve the status of Muslim community. It is not only the methodological problem that causes the scholars to have different interpretations of fisabilillah, but also the circumstances where the relevant scholars live. In this regard, Islam provides security and justice in choosing one of the arguments that fits current needs (Tahir, 2009), for example some zakat institutions consider students in university as part of fisabilillah asnaf (Muhamad et al., 2018) whereas previously this interpretation has never happened before. Wan Khairuldin W.M. & Mohamad, M. (2013) argued that the philosophy in zakat distribution is justice that guaranteed efficiency of the zakat distribution towards the recipients.

This study is significant to shed light on the misunderstanding faced by Muslim community about the implementation of zakat distribution to fisabilillah asnaf and then analyze its impact on society. Each state in Malaysia provides various assistance schemes for each asnaf for the benefit of the community. The schemes provided vary by state, but this article will only examine the zakat distribution scheme provided to fisabilillah asnaf by LZS. This study is expected to improve LZS performance on the zakat distribution system and improve the living status of asnaf and society at large.



The question is, how LZS adopt views from classical and contemporary scholars in *fisabilillah* interpretation to be practiced in Selangor? And to what extent does the zakat practice *fisabilillah* asnaf affect the education and religious institutional development? These questions will be addressed in this study.

Research Methodology

The objective of this study is to explore the practice of zakat distribution on *fisabilillah* asnaf by LZS and its effect on society in Selangor. To achieve this objective, the researcher employs a qualitative approach involving documentation and library data collection methods, particularly with regard to the information on the interpretation of *fisabilillah* by classical and contemporary scholars. Among the materials involved in the search for information are books, journals, magazine, annual reports of zakat Selangor and the LZS website. This research method requires collecting relevant data from specific documents and compiling data to analyzing the materials. All of the efforts provide a deeper understanding of the methodology of distributing zakat *fisabilillah* in Selangor. In addition, a descriptive approach was also used to analyze the effect of zakat distribution on society.

Legal Interpretations of Fisabilillah Asnaf by Classical Muslim Scholars

In this section, views from classical scholars: Hanafite, Malikite, Shafi'ite and Hanbalite *mazhab* (school) will be examined especially with regard to the different opinions that had been debated among them. According to Hanafi *mazhab*, *fisabilillah* includes voluntary Muslim fighters who do not have sufficient funds for the expenses involved in preparing for battle (jihad), including those who intend to perform *hajj* (pilgrimage) but cannot do so due to lack of supply. As mentioned by Al-Qaradawi (2011), this argument is based on a report which confirms that a man who committed his camel for the purpose of *fisabilillah* as it was ordered by the Prophet Muhammad to give the camel to pilgrims to be used for pilgrimage (Al-Kasani, 1986). He also added that all deeds that lead Muslims closer to Allah and promote good actions can be considered as *fisabilillah*, following the original linguistic meaning of the term. Therefore, due to this line of argument, some scholars even interpret *fisabilillah* can include full-time student.

Jurist of the Hanafite schools therefore agree on the necessity of poverty as a condition in all their interpretation of *fisabilillah* and zakat must become the



property of human recipients. Meaning that zakat should not be used to build mosques, bridges, drinking places, repair roads or other non-proprietary things such as managing corpses and paying off debts, because all these do not fulfil the condition that recipients become owners of zakat (Ibn Abidin, 1992). It may be concluded that in Hanafite schools, zakat for fisabilillah asnaf can be said only for those who do jihad, Hajj, and seeking knowledge and not for other interests.

For Maliki schools, the definition of fisabilillah is restricted to fighting against disbelievers and protecting Muslim land for the sake of Allah. This includes buying the equipment of war such as weapons and horses (Ibn Syas, 2003). This is based on the fact that the Prophet Muhammad gave with one hundred camels as zakat in reconciliation after attack against Sahl Bin Abi Hasma in order to prevent a major violent disturbance (Al-Qaradawi, 2011). In Malikite view, they agreed that fisabilillah does not necessarily require poverty as condition. This is because they receive zakat on the basis of fighting for the sake of Allah and not on the basis of the poor and the needy. Furthermore, there are also other opinions saying that zakat can be distributed to disbelievers which were assigned to spy on and give information about Muslim's enemies to the Muslim fighters (Solehah, R. & Muhd Adnan, N. I., 2018).

Meanwhile Shafi'i schools specified that fisabilillah is those who fight voluntarily without pay from the government as mentioned by Imam Nawawi (2005) in his book *Minhaj*. He also thinks that fighters in the way of Allah should be provided with supplies and clothing while on the battlefield as he goes back and forth despite his long staying at border territory. Imam Nawawi adds the fighter may be given his expenses as well as the expenses of his family when he left to *jihad* (war in the way of Allah). According to Ibn Hajar al-Haythami, the original meaning of fisabilillah is the way that leads one to attain the pleasure of Allah which widely used for the purpose of jihad, in condition the expenses must not exceed the zakat given to the poor and the needy (Ali, 2014).

Imam Shafi'i (1990) in his book *al-Umm* emphasized on the importance of giving zakat to neighbours where zakat is collected, and zakat must not be transferred from one area to another except with sound reason. With regard to fisabilillah asnaf, the difference between Malikite and Shafi'ite view is that Shafi'ite specified that zakat is given only to those who fight voluntarily and do not receive salaries from the government and all actions that lead one to jihad.

Hanbalites has the same opinion as the Shafi'ites in terms of zakat should be given to those who are fighting for the sake of Allah voluntarily, does not have



enough money and does not get a regular salary from the government, even if they are wealthy. However, the poor may be given zakat to perform obligatory pilgrimage. But there were scholars in this school disagree with this opinion, saying that hajj for the poor is not compulsory (Nasruddin, 2003). In addition, zakat is allowed for the government to purchase war equipment such as horses, weapons and others for use in warfare even if the fighter himself is a zakat payer (Al-Qaradawi, 2011).

From all these four mazhab, they agreed on three points. First, jihad is without doubt included in the category of *fisabilillah*. Second, the distribution of zakat may be given to the Muslim fighters though some had different opinions on spending zakat for buying war equipment. Third, the distribution of zakat should not be spent on public interest such as building schools, mosques, building forts, walls, repairing roads and so on.

Solehah, R. & Muhd Adnan, N. I. (2018) concluded that based on the interpretation of the four schools, it is no longer relevant to today's circumstances, especially in Malaysia. Muslims in Malaysia live in peace and harmony and there is no more war that involve physical fighting as before. However, Muslims are believed to be attacked and challenged in the form of intellectual disability, internally or externally.

Legal Interpretations of Fisabilillah Asnaf by Contemporary Muslim Scholars

Classical scholars often relate *fisabilillah* with the word 'jihad'. However, jihad nowadays viewed from a broader perspective because of the situation is more complex than it used to be (Zuhri, 2000). Interpretations of *fisabilillah* asnaf from a broader perspective by contemporary Muslim scholars can be divided into two groups which are: 1) any good deeds that bring one closer to Allah, and, 2) things related to *Al-Masalih Al-'Ammah* (public interest).

1. The first group was supported by al-Qaffal, al-Razi, al-Kasani, Sadiq Hasan Khan, Sheikh Mahmud Shaltut, Al-Shaykh Hasan Ayyub, Syed Qutub and others. Al-Razi (1999) said that the meaning of term *fisabilillah* in verse 60 Surah At-Taubah is not just restricted to fighting in a war alone, but it is attributed by al-Qaffal to some jurists that every way intended for Allah which is good in itself is included under *fisabilillah* in condition that the person really in need of zakat (Al-Kasani, 1986). This is because the term



of fisabilillah comes in general form, thus it cannot be specified just for one purpose. This statement has been supported by Sadiq Hasan Khan (1997). Some even argue that zakat collection may be given to *ulama* (scholars) even though they are rich because they are struggling to educate people in religious matters.

2. The second group was supported by Rashid Reda, Muhammad Shaltut, Ahmad Mustafa al-Maraghi, Syed Qutb and others. Fisabilillah is interpreted as public interest of the Muslims in order to uphold Islamic law as well as attain the pleasure and reward from Allah which religion and state are maintained, not including individual interest. This is because Al-Masalih Al-'Ammah owned by Allah for the benefit of all human beings (Rashid Reda, 1990). Mahmud Shaltut also includes the acts of repairing roads, connect or construct railways, send preachers of Islam and the work of preserving the honor and glory of the Qur'an, and building a mosque according to current circumstances (Al-Qaradawi, 2011). According to Ahmad Mustafa al-Maraghi (1987), a well-known author of tafsir (Quran commentary), establishing schools and depending Islam verbally and non-verbally may be included as fisabilillah as well. However, pilgrimage or performing *hajj* is not included since it is an individual obligation. Al-Qaradawi argues that fisabilillah includes both fighting and every jobs or activities that are aimed at achieving the pleasure of Allah and upholding Islamic law, spreading *da'wah* (Islamic teaching), executing and upholding Islamic law higher than man-made law on this earth (Gadot, N., 2009).

From the above discussion, the meanings of fisabilillah is not limited to jihad alone, but it covers all categories of deeds that aimed to get close to Allah and fulfilling the objective of Al-Masalih Al-'Ammah.

Fisabilillah in Zakat Practice in Selangor

Scholars differ in their understanding of fisabilillah asnaf and its affect the management of zakat institutions in the Malaysian context. The definition of fisabilillah in the administration of zakat institutions in Malaysia leads to a broader understanding and is not limited to jihad only. Looking from positive perspective, various interpretation and implementation of fisabilillah asnaf in Malaysia however beneficial not only to individuals but also to an organization and society at large. According to LZS, fisabilillah means a struggle, effort and activity that



aims to uphold and defend the religion of Allah. Based on this definition, LZS has provided a total of 19 zakat assistance scheme for the fisabilillah asnaf as follows (Lembaga Zakat Selangor, 2019):

Table 1: Asnaf Fisabilillah Zakat Assistance Scheme in Selangor

No	Zakat Scheme Assistance
1	General Education Assistance
2	Help to Islamic Association / Body
3	Build / Repair Religion School
4	Study Abroad Scholarship
5	Islamic Values Application Program
6	Al-Quran Huffaz Scholarship
7	Construction / Repair of Religious Institutions
8	Construction of Mosque
9	Construction of Surau
10	Mosque / Surau Carpets Help
11	Construction of School's Surau
12	SAMR/T Student Small Scholarship
13	School Needs Assistance
14	Mosque/Surau Equipment Assistance
15	Education/Publications Assistance
16	Flood Relief
17	Fire Help
18	Excellent Student Scholarship
19	Storm Assistance

These types of Zakat Assistance Scheme for fisabilillah asnaf which has been practiced in Selangor is in line with the views from contemporary scholars. It is because jihad also means to improve Muslim living standard, upholds Islamic law and all of these efforts can be achieved through education as well as defending for public interest. As there is no physical war in Malaysia, the scheme for Muslim fighters or any war-related assistance is not provided in the zakat for fisabilillah asnaf as interpreted by some scholars. The same argument goes to Hajj because it is related to individual obligation except for scheme related to education, because seeking knowledge is considered as an intellectual jihad (Al-Qaradawi, 2011). However,



Paizin (2013) claimed that re-evaluation process will be made to existing schemes from time to time and LZS always prepare to create new distribution schemes that suit current needs for each asnaf.

To get a clear understanding about the amount distributed to each asnaf, table below shows zakat distribution according to zakat recipients in Selangor from 2014 to 2018:

Table 2: Zakat distribution according to zakat recipients in Selangor 2014 until 2018

Asnaf	Amount of distribution (RM million)				
	2014	2015	2016	2017	2018
Fakir	73,858,225	97,649,765	98,441,593	88,135,224	121,567,634
Miskin	161,400,790	201,962,277	200,234,552	205,741,694	293,025,091
Muallaf	52,632,083	53,776,646	60,924,010	45,126,469	49,424,760
Amil	72,781,986	78,402,597	84,217,035	94,639,097	99,209,963
Fisabilillah	155,935,155	161,237,237	150,174,800	112,255,346	172,615,421
Gharimin	55,425,409	59,531,558	72,864,047	47,817,520	68,640,358
İbnu sabil	800,343	1,202,193	206,362	247,411	1,115,752
Riqab	22,911,649	22,285,306	30,431,614	22,564,052	24,279,041
Total	595,745,640	676,047,579	697,494,013	616,526,812	829,877,750

Based on annual zakat report for the previous five years, it is noticed that fisabilillah asnaf identified as the second highest zakat recipient in Selangor after miskin asnaf. Although report shows that there was a decrease in zakat distribution in 2017, fisabilillah asnaf remains the second highest of zakat recipients. In addition, the amount distributed in 2018 for fisabilillah asnaf was dramatically increased from RM112,255,346 in 2017 to RM172,615,421. The reason might be the need of zakat assistance scheme of fisabilillah asnaf was increasing since it is given the second highest percentage from the zakat distribution fund. This amount is expected to increase from year to year due to the increased of zakat application received by 28 LZS branches all over the state of Selangor.



The role of LZS in distributing zakat is not just to provide the aid of zakat recipients alone, but also to develop asnaf through the various programs. Its aims to maximize the benefits of aid provided in line with the objective of LZS to eradicate poverty and enhance the socio-economic development of the people. Thus, the distribution of zakat funds has been strengthened through five major development programs including social, economic, education, human and religious institutional development.

Therefore, under Education Development Program, fisabilillah asnaf has received zakat assistance with the aims to change second generation of asnaf children, so that they can be transformed into an excellent generation and able to free themselves and their families from the shackles of poverty. Besides, fisabilillah asnaf who received zakat assistance under Religious Institutional Development Program are believed to be able to nurture capable human resources with high moral and spiritual well-being (Azman, et al. 2016). Table 3 below shows a total of zakat distribution for main type of zakat aid under development program for fisabilillah asnaf (education and religious institutional development in 2018- Annual Report of Lembaga Zakat Selangor 2018):

Table 3: A Total of Zakat Distribution for Type of Zakat Aid under Development Program for Fisabilillah Asnaf in Terms of Education and Religious Institutional Development in 2018

Type of development program	Type of zakat aid	Total (RM million)
Education Development	Fardhu Ain Teacher (KAFA) Allowance & Religion Teacher/Speaker	28.4
	General Education Assistance	25.9
	Al-Quran Huffaz Scholarship	6.9
	Study Abroad and Local Scholarship & Sultan Idris Shah Postgraduate Scholarship	4.5
Religious Institutional Development	Construction and repair of religious institutions, mosque, surau and religion school	49.6
Total		RM115.3 million

As shown in table 3, fisabilillah asnaf has benefited RM115.3 million from education and religious institutional development and the recipients consist of



religious teachers, students and public interest. For religious institutional development, LZS spent RM49.6 million on construction and repair of religious institutions, mosques, surau (small mosque) and religious schools. For education development, the highest amount was spent for fardhu ain teacher's (KAFA) allowance & religion teacher/speaker and followed by general education assistance which are RM28.4 million and RM25.9 million respectively. This proves that LZS concerns about giving zakat's aids in seeking and spreading Islamic knowledge as well as sustaining public interest in accordance with the definition of fisabilillah which is struggle, effort and activity that aims to uphold and defend the religion of Allah. Hence, by giving zakat to these categories of people, knowledge on Islamic Law can be preserved, education level of asnaf can be increased and public interest will be sustained.

As a result, in terms of educational development prospect, many students from Selangor have entered higher educational institutions with the assistance of zakat financing under General Education Assistance Scheme. The assistance is also extended to students who study abroad like in Egypt, Jordan, Morocco and Indonesia under Study Abroad Scholarship Scheme in various fields, i.e medicine, dentistry, pharmacy, Arabic language, Shari'ah Islamiyah, Islamic studies, Usuluddin, Qiraat, Muamalat and Fiqh wa Usul. All of them were recipients of zakat funds collected from zakat payers in Selangor. Spending on education would benefit Muslim societies in the long run as these students could practice the knowledge that they have obtained to serve society. This educational scheme's application based on parent or guardian low income and efforts have been executed to measure their eligibility or hadd kifayah.

With regard to the amount spent for religious institutional development under fisabilillah portion of zakat fund, Muslims are able to utilise public utility such as mosques, surau and religious schools in all over Selangor. This type of zakat distribution will ensure the welfare and comfort of users, as well as maintaining the wellbeing of building facilities. The distribution has provided long term benefit for religious institutions and all facilities are well-maintained, so that the quality of building and environment are conducive for users (Sahadan et al. 2010). Other than that, this type of zakat is also given to mosque officers and school teachers in religious school in Selangor. This scheme does not require an application because it is in the scope of public interest, not individual.

There are several conditions that must be met before every application is considered and accepted by LZS under fisabilillah asnaf for education assistance, such as applicants must be Muslim, Malaysian citizen, born and live in Selangor not less



than 3 years, low income or not achieve *hadd kifayah* and has not received assistance from another party or received but insufficient. Then, application form must be completed and submitted at the LZS Counter located nearby. For the approval of every application, LZS staff will revise, investigate and then a report must be submitted in order to ensure that zakat is distributed only to eligible asnaf (LZS report, 2018).

Conclusion

There are different opinions among classical and contemporary scholars regarding the meaning of the word 'fisabilillah'. Basically, the scholars agreed that zakat recipients of fisabilillah referring to any activities that uphold and defend Islam which known as jihad. However, classical scholars which consist of four schools of mazhab restricted the term fisabilillah to hajj and jihad in fighting the enemies of Allah at battlefield. They also believed that the distribution of zakat should not be spent on public use. As Islam allows the practice of ijtihad, the interpretation of the meaning of fisabilillah by classical scholars need to be re-examined to suit today's circumstances and requirements.

In the Malaysia context, LZS has adopted the views of contemporary scholars which argue that the meaning of the term fisabilillah can be expanded. It is generally acceptable that the zakat recipients from fisabilillah groups are also covers all charitable deeds which bring Muslims closer to Allah and it seems to fit current circumstances. Therefore, in order to develop a strong and authoritative zakat institution, the current scholars must play an important role in terms of the dynamic interpretation of the current zakat management and laws, so that the zakat system will benefit Muslim society at large.

Zakat institutions contribute in nurturing good character of individuals and then brings a lot of beneficial impacts for societal development. In this regard, LZS has provided 19 schemes under fisabilillah asnaf to benefit Muslim society in Selangor, in which most of it focused on education and helping the needy. The distribution is regarded as fulfilling the meaning of jihad, i.e. to bring people closer to Allah by upholding Islamic teachings especially through education as well as cover the meaning of Al-Masalih Al-'Ammah. Among the biggest impact of zakat distribution on fisabilillah asnaf to the society in Selangor is in educational and religious institutional activities which involves the development of asnaf in terms of material and spiritual gain.



Report by LZS shows that education assistance is one of the mechanisms that can improve the quality of life and uplift these people from the poverty line. In addition, LZS plays a role in ensuring that poor and needy children will have the opportunity to get better education so that they can succeed as others. Meanwhile through religious institutional development, zakat also plays a role in ensuring that mosques and surau to become a comfortable zone for worshippers. This is important because mosques and surau are an important component of society especially in performing worship and seeking knowledge. Furthermore, the benefits of the zakat money can improve the life of Muslim community in Selangor and fulfil the purpose of Al-Masalih Al-'Ammah. Religious school and teachers are also the beneficial of the scheme. Therefore, it is clear that LZS has fulfilled its obligation as a dynamic zakat institution and can be emulated.

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Bâküvî'nin *Keşfü'l-Hakâyık* İsimli Tefsirinde Geleneksel Dinî Anlayıştan Farklı Yaklaşımlar

Murad Aghayev*

Öz: XIX. asrın sonu XX. asrın birinci yarısında yaşamış tanınmış Azerbaycanlı müfessir Mîr Muhammed Kerim el-Bâküvî (1853-1938), İslam'ın mukaddes kitabı Kur'an-ı Kerim'in okunması, onun ayetlerinde gizli olan inceliklerin öğrenilmesi ve milletin cehalet uykusundan uyanması için 1904-1906 yılları arasında "Keşfü'l-Hakâyık an Nüketi'l-Âyâtı ve'd-Dekâyık" adlı üç ciltlik kıymetli tefsir eserini kaleme almıştır. Eski Azerbaycan alfabesinde, Azerbaycan Türkçesi'nde kaleme alınan "Keşfü'l-Hakâyık", XIX. asrın sonu XX. asrın başlarında kullanılan dil özellikleri ve farklılıkları kendisinde ihtiva ettiğinden, günümüz Azerbaycan okucusu için tefsiri okumak ve anlamak zordur. "Keşfü'l-Hakâyık" aynı zamanda Azerbaycan'da yapılan ilk Kur'an-ı Kerim tercüme-tefsiridir. Bu tefsir asrın sonlarından itibaren Azerbaycan Türkçesi'nde yapılmaya başlanan Kur'an-ı Kerim tercümelerine öncülük etmiştir. Batı dünyası bilim ve teknoloji alanında hızla irelilediği bir zamanda İslam dünyasında duraklama dönemi hüküm sürmüştür. Dönemin İslam düşünürleri durumun ciddiliğini anlamış, düşüklükleri cehalet girdabından kurtulmak için çıkış yolları aramaya başlamıştır. Aynı durum tefsir alanında da kendisini göstermiştir. XIX. asrın birinci yarısından başlayarak Seyid Ahmed Han, Cemaleddin Afgânî, Muhammed Abduh gibi düşünürler tefsirde yeni bir akıma öncülük etmiştir. Kur'an ayetlerini tefsir ederken şeytan, Hz. Âdem'in yaratılması, melekler ve b. konularda geleneksel dinî anlayıştan farklı olarak, modernist bir yaklaşım sergilemişlerdir. Biz buradan yola çıkarak, bu makalede "Keşfü'l-Hakâyık" tefsirinde yer alan geleneksel dinî anlayıştan farklı yaklaşımları tespit ederek incelemeyi amaçladık.

Anahtar Kelimeler: Keşfü'l-Hakâyık, Hz. İsa, Zülkarneyn, Ye'cûc-Me'cûc.

* Necmettin Erbakan Üniversitesi, Sosyal Bilimler Enstitüsü, Temel İslam Bilimleri Anabilim Dalı, Tefsir Yüksek Lisans Programı.
İletişim: muradaghaoglu@gmail.com



Giriş

XIX. yüzyıla geldiğimizde İslam dünyasının her yanı, Batılı sömürgeciler tarafından istila edilmiş durumdaydı. Bir nevi İslam âlemi, gerileme döneminin yeni bir merhalesine adım atmıştı. Bu durum, İslam düşünürlerini etkilemiş ve İslam'ı Batı düşüncesinden koruma girişimlerinde bulunmalarına sebep olmuştu. Bu düşünürlerin başında Cemaleddin Afgânî, Muhammed Abduh gelmekteydi. Cemaleddin Afgânî, Müslümanların birliğine inanmış ve İslam eğitim sisteminin yeniden düzenlenmesi için çalışmıştı.

Aynı istek ve tutumu, öğrencisi Muhammed Abduh'ta da görmemiz mümkündür. Muhammed Abduh ve onu takip eden öğrencileri "İçtimai Tefsir Ekolü"nü kurmuşlardır. Bu ekolün başlıca özelliği, toplumsal sorunları ayetlerin ışığında çözüme bağlamak olmuştur. Yani tefsirin ana gayesi, insanın hidayeti, toplumsal sorunların giderilmesi olmalıdır (Şimşek, 2017, s. 51, 58).

Aynı dönemlerde İslam dünyasında ortaya çıkan bir diğer akım Modernizm olmuştur. İslam dünyasında Modernist düşüncenin temelleri, Ahmet Han tarafından atılmıştır. Bu akım, bir taraftan İslam dünyasında taraftar kazanırken, diğer taraftan Ahmet Han'ın fikirleri İslam ilim çevresinde sert karşılanmış ve eleştirilerin odak noktası dönüşmüştür.

Bâküvî bu akımların ortaya çıktığı ve neşet bulduğu zaman diliminde yaşamıştır. O da, Azerbaycan'da dinî zeminde mevcut olan geriliği gidermek ve milleti cehalet bataklığından kurtarmak için çalışmıştır.

Eskiden beri Müslümanlar arasında bazı konular tartışılmalıdır. Hz. İsa'nın vefatı ve ref'i, Zülkarneyn ve Ye'cûc-Me'cûc, Hz. Âdem ve eşinin yaratılması vb. örnek gösterilebilir. Bu konularla ilgili klasik ve modern müfessirler, hatta Modernist, Kur'ancı, Tarihselci akımlar ve bu düşünce sistemlerini benimseyen araştırmacılar, birbirinden farklı görüşler ileri sürmüş, iddiaların desteklemek için kendilerine özgün deliller serdetmişlerdir.

Bu konular bugün bile araştırmacılar tarafından farklı şekilde yorumlanmaktadır. Biz bu makalede, yukarıda isimlerini belirttiğimiz konularla ilgili farklı görüşleri bir araya getirmeyi, Azerbaycanlı müfessir Mîr Muhammed Kerim el-Bâküvî'nin ayetleri hangi görüş doğrultusunda tefsir ettiğini açıklamayı amaçladık. Makaleyi yazarken hem klasik, hem modern tefsir kaynaklarından, Türkçe, Azerbaycan Türkçesi ve Arapça yazılan akademik çalışmalardan yararlandık. Ayrıca makalede geçen ayetlerin çevirisinde, Türkiye Diyanet İşleri Başkanlığı tarafından 2004 yılında hazırlanan "Kur'an-ı Kerim Meali" esas alınmıştır.



Mîr Muhammed Kerim el-Bâküvî'nin Hayatı ve Eserleri

Tanınmış Azerbaycanlı müfessir Mîr Muhammed Kerim el-Bâküvî 1853 yılında Bakü şehrine bağlı Emircan köyünde doğmuştur (Bünyadov, 1983, 274). Babasının ismi Mîr Cafer, annesinin ismi Nergiz Hatun'dur (Mürsəlov, 2014, 24).

Bâküvî ilk eğitimini İçerişehir'de bulunan dönemin medreselerinde almıştır. Mîr Cafer oğlunun daha iyi eğitim almasını istemiş, bu sebepten Bâküvî'yi dönemin ilim merkezi sayılan Bağdat'a göndermiştir. Müfessir 1871-1881 yılları arasında Bağdat'da Kur'an, Kıraat, Arapça, İslam Tarihi, Hadis başta olmakla birçok İslami ilimlerden ders almış ve kendisini en iyi şekilde yetiştirmiştir (Babaşov, 1998, s. 195). Eğitimini tamamladıktan sonra Bakü'ye geri dönmüş, Şah Abbas ve Gilek camilerinde sekiz yıl boyunca ahundluk görevini üstlenmiştir. 1904 yılında Bakü Guberniyası kadısı ve "Guberniya Şia Meclisi" başkanlığına atanmış, 1918 yılına kadar her iki görevi icra etmiştir (Məmmədov, 2017, s. 7).

Azerbaycan 27 Nisan 1920 yılında Sovyet Rusya'sı tarafından işgal edilince, milletin düşünen beyinlerine karşı sanki savaş ilan edilmiştir (Məmmədov, 2017, s. 7). Sovyetlerin din karşıtı siyaseti sonucunda, işkencelere maruz kalan ve hayatını kaybeden düşünürlerden biri de Bâküvî olmuştur. Müfessirin ölümüyle ilgili çeşitli görüşler vardır. Ziya Bünyadov "Kırmızı Terör" isimli kitabında KGB arşiv belgelerine dayanarak, Bâküvî'nin Sovyet karşıtı tutumundan dolayı 1937 yılında kurşuna dizildiğini söylemiştir (Bünyadov, 1983, s. 279-280). Bir diğer görüşe göre Bâküvî beynine kan sızması sonucunda vefat etmiştir (Mürsəlov, 2014, s. 25).

Bâküvî 75 yıllık hayatı boyunca hem eserler telif etmiş, hem de birçok eseri Azerbaycan Türkçesi'ne kavuşturmuştur. Bu bakımdan müfessirin eserlerini telif ettiği ve tercüme ettiği eserler olarak iki yere ayırabiliriz.

Müfessirin kaleme aldığı "Keşfü'l-Hakâyık" isimli tefsiri eski Azerbaycan alfabesinde, Azerbaycan Türkçesi'nde kaleme alınmıştır ve üç ciltten oluşmaktadır. Eserin birinci ve ikinci cildi 1904 yılında, üçüncü cildi ise 1908 yılında Hacı Zeynalabidin Tağıyev'in maddi desteği sayesinde Tiflis'te, Kaspi Gazetesi'nin Buhariyye Matbaası'nda basılmıştır (Bedir, 2016, s. 166). Eser aynı zamanda Azerbaycan Türkçesi'nde yapılan ilk tercüme-tefsirdir. Tefsirin birinci cildi 745, ikinci cildi 792, üçüncü cildi ise 959 sayfadır. Müfessir tefsiri kaleme alırken hem ehl-i sünnet, hem ehl-i şia tefsir kaynaklarından, hadis ve tarih kitaplarından yararlanmış- tır (Bakuvî, 1904, I, Mükəddimə).

Bâküvî, Arap nesrinin büyük söz üstadlarından sayılan Corci Zeydân'ın tarihi romanlar silsilesinden "Ermenüse el-Mısıriyye", "Azrâ-i Kureyş", "Kerbela Yangısı", "On Yedi Ramazan" ve diğer eserleri çevirmiştir (Babaşlı, 2015, 125). "Ermenüse



el-Mısriyye” tarihi romanında, Müslümanların Mısır’ı fethetmesinden, ülkenin İslam öncesi tarihinden ve Roma İmparatorluğu ile olan ilişkilerinden bahsedilmektedir (Zeydan, 1911, 2-3). Doksan bölümden oluşan “Azrâ-i Kureyş”, Raşidi Halifelerin üçüncüsü Hz. Osman (r.a.) zamanında ortaya çıkan olayları, Hariciliğin ortaya çıkmasını, Hz. Ali (r.a.)’nin halife seçilmesi ve onun döneminde patlak veren savaşları konu edinmiştir (Zeydan, 1908, 2-5). Bâkûvî tarafından çevirisi yapılan bir diğer eser “Kerbela Yangısı”dır. Eser 126 bölümden oluşmaktadır ve Hz. Hüseyin (r.a.)’nin şehit edilmesini anlatmaktadır (Zeydan, 1911, 2-4). Raşidi Halifelerin sonuncusu Hz. Ali (r.a.)’nin şehit edilmesini anlatan “On Yedi Ramazan” romanı 114 bölümden oluşmaktadır (Zeydan, 1909, 5).

Kaynaklarda müellifin bu eserlerden başka, Corci Zeydân’ın “Fetâtu Ğassân”, “Ebû Müslim el-Horasânî”, “Abbâse” ve “Emin ve Memun Kardeşleri” tarihi romanlarını tercüme ettiği hakta bilgi vardır. Maalesef XX. asrın 30. yıllarında Sovyetlerin din karşıtı siyaseti sonucunda isimlerini zikrettiğimiz eserler günümüze kadar ulaşmamıştır (Babaşlı, 2015, 126).

Hız. İsa’nın Vefatı ve Ref’i

Asırlardır Hız. İsa’nın vefatı ve ref’i meselesi müfessirler arasında tartışma konusu olmuş ve günümüze kadar devam edegelmiştir. Kur’an-ı Kerim’de Hız. İsa’nın vefat etmesini konu edinen ayetler Âl-i İmrân, Nisâ ve Mâide surelerinde yer almaktadır (Âl-i İmrân 2/55; Nisâ 4/158-159; Mâide 5/117).

Müfessirlerin çoğu Hız. İsa’nın vefat etmediği, onun, Allah tarafından semaya yükseltildiği görüşünü benimsemişlerdir. Bu nedenle “teveffi” kelimesine “uyku”, “kabzetmek”, “tastamem kaldırmak” gibi anlamlar yükleyerek tefsir etmişlerdir. Taberî, tefsirinde “teveffi” kelimesinden bahsederken, âlimlerin çoğunun ihtilaf içinde olduklarını söylemiştir. Müfessir kendi görüşünün Hız. İsa’nın uykudayken ref edildiği yönünde olduğunu belirtmiş ve onun kıyamet günü geri döneceğini konu edinen rivayetlere yer vermiştir (Taberî, 2001, V, 447-448). Taberî’ye göre Yahudiler Hız. İsa’yı değil, ona benzettikleri kişiyi esir alarak öldürmüş ve çarmıha germişlerdir. Allah Teâlâ ise Hız. İsa’yı azgın Yahudilerin ellerinden kurtarmış ve kendi nezdine kaldırmıştır (Taberî, 2001, V, 449). Şevkânî de Hız. İsa’nın ölmediği haberlerinden yola çıkarak, onun semaya kaldırıldığı ve kıyamete yakın bir zamanda yeryüzüne ineceği görüşünü benimsemiş, “teveffi” kelimesini vefat anlamında değil, uyutma ve semaya kaldırma olarak anlamamız gerektiğini söylemiştir (Şevkânî, II, 95). Ayrıca Şevkânî, dilci âlim Ferrâ’nın “teveffi” ve “ref” arasında tak-



tim tehir olduğu görüşünü naklederek, “seni ref’ edeceğim, semadan indirdikten sonra ruhunu kabzedeceğim” şeklinde anlamıştır (Aydın, 2008, 22). Sonuç olarak Şevkânî’nin görüşü Hz. İsa’nın ölmediği ve semaya yükseltildiği istikametindedir (Şevkânî, I, 344).

Ebu’s-Suûd’a göre Cenab-ı Hakk Hz. İsa’yı semaya kaldırmış, onu ihbar eden şahsı Hz. İsa’nın yüzüne benzetmiştir. “Ben size onun yerini söyleyen kimseyim” söylemesine rağmen Yahudiler onu yakalayıp götürmüş ve idam etmişlerdir. Ebu’s-Suûd, Hz. İsa’nın semaya yükseltilmesine delalet eden rivayetleri serdettikten sonra vefat etmenin “teveffî” kelimesinin anlamlarından sadece biri olduğuna dikkat çekmiş, ancak Hz. İsa’nın vefatını konu edinen ayetlerdeki anlamın Allah’ın onu öldürmekten koruyup vefatını ertelediği ve semaya kaldırdığı istikametinde olduğunu söylemiştir (Ebu’s-Suûd, 2000, II, 42-43, 101).

Elmalılı Hamdi Yazır’a göre ilk önce ref’ (kaldırma), daha sonra teveffî (ölme) gerçekleşecektir. Çünkü Allah Teâlâ, Hz. İsa’yı onu öldürmek isteyenlerin ellerinden kurtarmış ve kendi dergahına ruh ve beden bütünü olarak kaldırmıştır. Hz. İsa’nın yeryüzünde tamamlanmayan işleri olduğu için yeniden gönderilecektir. İşlerini tamamladıktan sonra Allah, peygamberinin ruhunu kabzedecektir (Yazır, 1960, II, 372).

Mevdûdî “teveffî” kelimesiyle ilgili kendisinden önceki müfessirlerin “can alma”, “yükseltme” gibi anlamlar verdiğini, ancak ayette geçen anlamın “kıs süreliğine görevden almak” olduğunu belirtmiştir. Mevdûdî, diğer müfessirler gibi açıkça Hz. İsa’nın ölmediğini, Allah tarafından semaya yükseltildiğini kabul etmiştir. Ancak Allah’ın onun ruhunu mu, yoksa bedeni ile birlikte mi yükselttiğini belirtmemiştir. Hatta konu o kadar kapalı bir dille anlatılmıştır ki, tefsiri okuyan birisinin müfessirin hangi görüşü desteklediğini söylemesi oldukça zordur (Mevdûdî, 1986, I, 348-349).

Hz. İsa’nın ölmediğini, onu Allah tarafından semaya kaldırıldığı görüşünü savunanların yanı sıra, Hz. İsa’nın vefat ettiğini ve bu yükseltmeden kastın ruh olarak gerçekleştiğini savunan müfessirler de vardır.

Tefsîru’l-Menâr sahibi Reşit Rızâ, ayette geçen “teveffî” kelimesinin normal ölüm anlamına geldiğini kabul etmiştir. Müfessire göre bu konuda bize ulaşan rivayetler ahad haber niteliğindedir ve yakînî bilgi ifade etmediği için güvenilir değildir (Reşid Rızâ, 1947, III, 316-317). Aynı dönemde yaşamış İzzet Derveze de Reşit Rızâ’nın yorumunu isabetli bulmaktadır. Ona göre Allah, Hz. İsa’nın ruhunu göğe yükseltmiştir ve bu ayetlerin asıl amacı, konu hakkında bilgi vermek değil, Hz. İsa’nın yüceliğini ve faziletini vurgulamaktır. Nitekim ayette Hz. İsa’nın ölü-



münden ve göklere yükselmesinden bahsedilmeden önce onun faziletine hitap edilmektedir (Derveze, 1998, V, 425).

Tabâtabâî Nisâ suresi 159. ayetin açık bir dille Yahudi ve Hristiyanların katli ve çarmıha germe iddialarını yalanladığını söylemektedir. Ona göre “teveffî” kelimesi ölüm anında ruhun bedenden çekilip alınması anlamına gelmektedir. Ref’ ise maddi değil, manevi yükselmeyi ifade etmektedir. Yani Allah, Hz. İsa’nın ruhunu bedeninden ayırarak kaldırmıştır (Tabâtabâî, 1997, III, 238-240).

Mahmut Şeltut’a göre Mâide suresi 117. ayette geçen “teveffeytenî” kelimesi doğrudan doğruya ölüm anlamına gelmektedir. Ayrıca bu ayetin birçok âlimin kabul ettiği kıyamete yakın Hz. İsa’nın yeryüzüne ineceği ve daha sonra öleceği görüşüne değil, Hz. İsa’yla kendi kavmi arasındaki ilişkilere işaret etmektedir. Mahmut Şeltut’a göre ref’ kelimesi ise ruh-beden bütünü olarak semaya yükselmek anlamına değil, derece bakımından yükseltme anlamına gelmektedir (Şeltut, 1995, 290-291).

Seyyid Kutup ise Hz. İsa’nın vefatını müteşabih olarak değerlendirmiş, bunun sadece Allah tarafından bilinen gaybi konular arasında yer aldığını savunmuştur (Kutup, 1972, I, 403). Hüseyin Atay’a göre Hz. İsa ölmüştür ve bir daha dünyaya dönmeyecektir. Hz. İsa’nın ölmediği, göğe yükseltildiği ve geri döneceği fikri Hristiyan itikadına mahsustur ve daha sonradan İslamlaştırılmıştır. Ayrıca Hristiyanların da dediği gibi Hz. İsa öldürülmemiş, Allah tarafından ruhu kabzedilmiştir (Atay, 1997, 53-54).

Süleyman Ateş de “teveffî” kelimesinin ölüm anlamına geldiğini ve Hz. İsa’nın ruhunun Allah tarafından kabzedildiğini savunmaktadır. Müfessir Hz. İsa’nın semaya yüksetildiğini iddia edenlerin görüşlerini şiddetli bir dille eleştirmekte ve ayetin derece bakımından yükseltme anlamına işaret ettiğini söylemektedir. Süleyman Ateş’e göre semaya yükseltilmekten kasıt maddi ise bu yıldızların olduğu gökyüzüdür ve buraya yükseltmek söz konusu olamaz. Eğer semadan kasıt manevi ise buraya da bedeninin yükselmesi mümkün değildir. Yükselme sadece ruh vasıtasıyla olabilir (Ateş, 1982, I, 378-379).

Bâküvî de Hz. İsa’nın vefat ettiği düşüncesini savunan âlimler arasında yer almaktadır. Müfessire göre “teveffî” kelimesi ölüm anlamındadır ve Allah, Hz. İsa’nın ruhunu kabzetmiş, ruhlar âlemine yükseltmiştir (Bakuvî, 1904, I, 220, 379, 460). Bâküvî, Kur’an-ı Kerim’de Hz. İsa’nın vefatını anlatan diğer ayetlerin de buna işaret ettiğini söylemiştir. Ayrıca müfessir Hz. İsa’nın ölmediği, ruh beden bütünü olarak göklere yükseldiği fikrini destekleyen hadislerin güvenilir haberler olmadığını ve Kur’an ayetleri ile çeliştiği için kabul edilmemesinin gerektiğini ifade etmiştir (Bakuvî, 1904, I, 220).



Görüldüğü gibi Bâkuvî bu konuda İzzet Derveze, Reşit Rızâ, Tabâtabâî ve b. müfessirler gibi düşünerek, Hz. İsa'nın ruhunun Allah tarafından kabzedildiğini ve ref'in sadece ruh olarak gerçekleştiğini kabul etmiştir. Bâkuvî'nin bu görüşü benimsemesinin başlıca nedenleri arasında Reşit Rızâ, Muhammed Abduh gibi düşünürlerle aynı dönemde yaşaması, kendi çağında İslam âleminde ilmi, fikri ve siyasi yapıda baş veren değişiklikler sıralanabilir. Diğer taraftan onunla aynı dönemde ve coğrafyada yaşamış Şekavî, Bâkuvî'nin aksine Hz. İsa'nın ölmediğini, ecelinin belli bir müddete kadar ertelendiğini ve semaya kaldırıldığını savunmuştur (Şekavî, 1990, I, 200). Bu da, Bâkuvî'nin Hz. İsa'nın ölümü ve ref'ıyla ilgili görüşünü benimsemesine tesir eden yukarıdaki sebeplerin yanı sıra, başka sebeplerin de olabileceği fikrini kuvvetlendirmektedir.

Zülkarneyn Kıssası ve Ye'cûc-Me'cûc

Kur'an-ı Kerim'de Kehf suresi 18/83-98. ayetlere konu olan Zülkarneyn kıssası tarih boyu müfessirler arasında tartışma konusu olmuştur. Tartışmaların asıl odak noktası Zülkarneyn'in tarihi kişiliği, onun seferleri ve inşa ettiği seddin nerede yerleştiği istikametindedir.

Kıssada üç kez geçen Zülkarneyn kelimesi iki kelimededen oluşmaktadır. Sözlükte "zû" kelimesi "sahip, malik", "karn" kelimesi ise "boynuz, kâkül, şakak, akaran, dost" gibi anlamlara gelmektedir (Öztürk, 2014, 13). İslam dünyasında Zülkarneyn kelimesinin özel isim mi, yoksa lakap mı olduğu yönünde farklı görüşler mevcuttur. Hakim görüşe göre Zülkarneyn sözü lakaptır (Râzî, 1981, XXI, 165). İslam tefsir literatüründe ayette geçen kimseye Zülkarneyn denilmesinin sebepleri arasında başının her iki tarafından vurularak öldürüldüğü, başında boynuz benzer iki çıkıntının olduğu, tacında iki boynuzun olduğu, iki saç örüğünün olduğu, Allah'ın hem nuru, hem de karanlığı onun emrine verdiği, güçlü kişiliğe sahip olduğu ve düşmanlarına galip geldiği için böyle bir lakapla çağırıldığı, rüyasında yıldızlara tırmanarak, güneşin iki tarafından (karninden) tuttuğunu gördüğü, hayatı boyunca iki neslin gelip geçtiği rivayet edilmiştir (Râzî, 1981, XXI, 165-166; Mevdûdî, 1986, II, 247).

Zülkarneyn'in tarihi kişiliği hususunda klasik dönem müfessirleri ile günümüz müfessirleri ve araştırmacılar arasında fikir ayrılıkları mevcuttur. Kurtubî, Fahrettin er-Râzî, Cemâleddin el-Kâsımî, Zülkarneyn'in Hz. İsa'ya yakın bir dönemde yaşamış Makedonyalı İskender olduğu görüşünü savunmuştur. Fahrettin



er-Râzî Zülkarneyn'in Makedonyalı Filipp oğlu İskender olduğunu belirtmiş, ayette geçen Zülkarneyn'in mümin, Makedonyalı İskender'in ise kafir olması hasebiyle bu görüşün Kur'an nassıyla ciddi şekilde çeliştiğini söylemiştir (Râzî, 1981, XXI, 164-165). Kâsımî ise Makedonyalı İskender'in kâfir olmasını ispatlayacak herhangi bir delilin olmadığını, bu nedenle Zülkarneyn'in Makedonyalı İskender olduğunda ısrar etmiştir (Kâsımî, 2003, VII, 74-75).

Mevdûdî Zülkarneyn'in Makedonyalı İskender olabilmeyeceğini ve bu görüşün Kur'an naslarına aykırı olduğunu söyledikten sonra kendi görüşünün Zülkarneyn'in büyük İran hükümdarı Kısra'dan (veya Kyros) yana olduğunu bildirmiştir. Hatta müfessir Zülkarneyn'in özelliklerinin Kısra'ya uyduğunu söyleyerek kendi görüşünü güçlendirmeye çalışmıştır (Mevdûdî, 1986, II, 348-349). İzzet Derveze ve Tabâtabâî gibi müfessirler de Zülkarneyn'in MÖ 559-530 yılları arasında İran'da hükümdarlık etmiş Kısra (veya Büyük Kyros) olduğunu savunmuştur (Tabâtabâî, 1997, XIII, 379; Derveze, 1998, V, 98). Ömer Rıza Doğrul ise Zülkarneyn'in Kısra değil, aynı soydan gelen bir diğer İran hükümdarı Büyük Darius olduğunu savunmuştur (Doğrul, 1947, II, 490-493).

Günümüz müfessirlerinden farklı olarak İbn Kesîr'e göre tarihte iki İskender bulunmaktadır ve Kur'an'ının anlattığı Zülkarneyn, Hz. İsa'nın zühuruna yakın zamanda yaşamış Makedonyalı İskender değil, Hz. İbrahim döneminde yaşamış ve onun hanîf dinine tâbi olan Hızır'ın akranı İskender'dir (İbn Kesîr, 2000b, IX, 182-183).

Kur'an-ı Kerim'de anlatılan dinî kişiliğinden, özgün ve güzel konuşmasından hareketle birçok müfessir Zülkarneyn'in peygamber olduğunu söylemişlerdir. Bu görüşü savunan âlimler "biz onu yeryüzünde kudret sahibi kıldık..." Kehf 18/84. ayetin onun peygamber olduğuna işaret ettiğini belirtmişlerdir. Çünkü yeryüzünde kudret sahibi kılınan ve yolları aydınlatılan insanlar peygamberlerdir. Bir diğer görüşü benimseyen zevata göre Zülkarneyn ilim ve hikmet açısından yüksek fazilete sahip büyük bir hükümdardır (Râzî, XXI, 166; Öztürk, 2014, 16).

Müfessirler arasında bir diğer fikir ayrılığı Kehf suresi 18/86 ve 90. ayetlerde geçen "güneşin doğduğu yer" ve "güneşin battığı yer" in ne gibi anlamlar ifade ettiği istikametindedir. Fahrettin er-Râzî'ye göre güneşin doğduğu ve battığı yerden Zülkarneyn'in doğu ve batı seferlerine çıktığı ve ulaşabildiği en uzak mekânlar anlaşılmalıdır (Râzî, XXI, 167, 169). Zülkarneyn'in üçüncü seferinin nereye olduğuyla da ilgili müfessirler arasında görüş farklılıkları vardır. Müfessirler genellikle bu seferin kuzeye düzenlendiğine işaret etmiş ve coğrafi mekân olarak Azerbaycan veya Kafkas dağlarını göstermişlerdir. Ayrıca Zülkarneyn seddinin Çin Seddi ol-



duğunu kabul eden müfessirlerle yanı sıra, Yemen'de bulunan Mağrib Barajı'nın olabileceği fikrini savunanlara da rast gelinmektedir (Râzî, 1981, XXI, 170-171; Tabâtabâî, 1997, XIII, 377). Ancak müfessirlerin çoğu bu seferin Azerbaycan istikametinde yapıldığı ve seddin Kafkas dağlarının kuzey-doğusunda yerleşen Derbent (Bâbu'l-Ebvâb) şehrinden başlayarak dağlara doğru uzandığı husunda hemfikirler (Râzî, 1981, XXI, 169; Pala, 1990, 131-132).

Zülkarneyn kıssasında geçen Ye'cûc-Me'cûc'un kimler olduğu ve nerede yaşadığı istikametinde müfessirler tarih boyu farklı fikirler ileri sürmüş ve görüşlerini güçlendirmek için kendilerine özgün deliller serdetmişlerdir. İlk tartışmalar bu iki kelimenin Arapça olup olmadığı hususundadır. Râğib el-İsfahânî'ye göre bu iki kelime köken itibarıyla Arapça'dır (İsfahânî, 1986, 10). Zemahşerî ve Şihâbuddin Alûsî ise bu kelimelerin Arapça'ya başka dilden geçtiğini savunmuşlardır (Zemahşerî, 1998, III, 614; Alûsî, 2005, XVI, 38).

Ye'cûc-Me'cûc'la ilgili yorumlar sadece tefsir literatüründe değil Tevrat ve İncil'de de vardır. Ye'cûc-Me'cûc Tevrat'ta Gog ve Magog olarak tanımlanmakta ve Hz. Nuh'un oğlu Yasef'in soyundan gelmektedir (Tekvin 10/2, Hezekiel 38/1-3, 39/1-2; Alûsî, 2005, XVI, 38; Kurtubî, 2006, XIII, 378). İncil'de Ye'cûc-Me'cûc, Armageddon, Deccal ve Kıyamet savaşıyla birlikte zikredilmiştir (Yuhanna 20/7-8). Son dönemlerde Evangelik Hristiyanlar arasında yaygın olan görüşe göre Ye'cûc ve Me'cûc Ruslardır (Bıyık, 2007, 53-79).

İslam tefsir geleneğinde ilk dönem müfessirlerle son dönem müfessirler arasında Ye'cûc-Me'cûc'ların kim olduğu hususunda fikir ayrılığı vardır. İlk dönem tefsir kaynaklarında Ye'cûc-Me'cûc'lardan Türkler olarak söz edilmiştir (Beğavî, 1409, V, 202-203; Kurtubî, 2006, XIII, 378). Son dönem müfessirlerinden İbn Aşûr ve Mevdûdî ise Ye'cûc-Me'cûc'un Ön ve Orta Asya bozkırlarında yaşayan Moğollar, Tatarlar ve İskitler olması ihtimali üzerinde durmuştur (İbn Aşûr, 1984, XVI, 33; Mevdûdî, 1986, III, 175).

İsmail Cerrahoğlu gibi günümüz araştırmacıları ilk dönem müfessirlerinin Ye'cûc-Me'cûc'un Türkler olarak yorumlanması görüşünü kabul etmemiş ve sert bir dille eleştirmişlerdir. Onlara göre Türkler uzun asırlar boyunca İslam'ın sancaktarlığını yapmışlardır. Büyük katkılar sağlayan Türk milletinin müfsit ve barbar Ye'cûc-Me'cûc olarak yorumlanması yanlıştır (Cerrahoğlu, 1975, 118-125).

Bâkûvî "Keşfü'l-Hakâyık"ta Zülkarneyn kıssasının izahına geniş yer vermiş ve kendi benimsediği görüşler doğrultusunda tefsir etmiştir. Bâkûvî'ye göre Zülkarneyn büyük fatih Makedonyalı İskender'dir. Cesaretli ve bilge kişiliğe sahip olduğundan Araplar arasında Zülkarneyn lakabıyla tanınmıştır. İskender sadece büyük



fetihler yapmakla yetinmemiş, kadim dünyada meşhur olan birçok şehri inşa etmiştir. Bâküvî'ye göre Kafkasya'nın başkenti sayılan Tiflis şehrini İskender inşa etmiştir (Bakuvi, 1904, II, 397-398).

Zülkarneyn'in Büyük İskender olduğu ve İskenderiye şehrini inşa ettiğini söyleyen çok fazla müfessir vardır. Ancak kaynaklarda İskender'in Tiflis şehrinin inşa ettiğini kanıtlar nitelikte herhangi bir bilgiye rastlamamız mümkün değildir. Bu bilgi sadece Bâküvî tefsirinde geçtiği için, onu diğer müfessirlerden farklı kılmaktadır.

Müfessire göre Zülkarneyn (Büyük İskender) Afrika'nın batısında yerleşen Atlas Okyanusu'na vardığında akşam vakti idi. Akşam vakti gün batımını izlerken güneşin gurup etmesini balçıklı çeşmede kaybolmaya benzetmiştir. Daha sonra doğuya doğru ilerleyerek o zamanlar Afrika'nın en uzak yeri sayılan Sudan ve civar topraklara varmıştır. Bâküvî'ye göre güneşin doğduğu ve battığı yer, Zülkarneyn'in ulaştığı en uzak topraklardır. Ayrıca müfessir, güneşin balçık çeşmesine batmasını mecaz olarak anlamıştır (Bakuvi, 1904, II, 399-401).

Bâküvî kendisinden önceki müfessirlerin Ye'cûc-Me'cûc hakkındaki görüşlerini akıl ve mantık dışı bulmuş ve kabul etmemiştir. Yine ona göre Ye'cûc-Me'cûc kelimeleri mu'rebdir ve bu iki müfsit ve şer ehli tayfalardan kasıt Kafkas dağlarından kuzeyde yaşayan Hazarlardır. Hatta Hazar denizi onlara izafeten isimlendirilmiştir. Ayrıca Zülkarneyn'in (Büyük İskender'in) kuzeyde yaşayan Ye'cûc-Me'cûc'ların karşısını almak için çektiği sedd, Azerbaycan'ın kuzeyindeki Bâbu'l-Ebvâb veya Derbent şehri yakınlığından başlayarak dağlara doğru uzanmatadır (Bakuvi, 1904, II, 403).

Birçok konuda olduğu gibi müfessirler, Sedd-i Zülkarneyn ve Ye'cûc-Me'cûc'la ilgili nakledilen hadisler ve tarihi bilgilerin zayıf olduğunu göz önünde bulundurarak teville başvurmışlardır. Bu sebepten her müfessir kendi anladığı şekilde konuyu şerhetmiştir (İbn Kesir, 1987a, I, 115). Kanaatimizce Bâküvî de selefleri gibi teville başvurmuş, Sedd-i Zülkarneyn'in Hazar deniziyle Kafkas dağları arasında yerleştiğini, Ye'cûc-Me'cûc'un ise Kafkas dağlarından kuzeyde yaşayan Hazarlar olduğunu savunmuştur.

Hz. Âdem ve Hz. Havva'nın Yaratılışı

Yeryüzünde yaratılan ilk insan ve ilk peygamber olan Hz. Âdem, her üç semavi dinin mukaddes kitaplarında saygıyla anılmakta ve insan zürriyetinin başı olarak tanımlanmaktadır. İlk insan olması ve Kur'an'da geçen bir sıra meziyyetleri, İs-



lam âlimleri arasında farklı şekilde yorumlanmasına ve görüş farklılıklarının yaşanmasına sebep olmuştur. Âdem kelimesinin kökeniyle ilgili müfessirler arasında iki farklı görüş vardır. Müfessirlerin bir kısmına göre Âdem kelimesi Arapça bir kelimedir ve “esmerlik” anlamına gelen “el-ümdé” veya “tip, örnek” anlamına gelen “el-edeme” kökünden türemiştir. Bazı dilciler “bir şeyin dış yüzü” anlamına gelen “el-edime” veya “insicam, ülfet” anlamına gelen “el-üdm” kelimesinden türemiş olabileceğini söylemişlerdir (Bolay, 1988, I, 358). Bazı müfessirler ve dilciler ise Âdem kelimesinin mu’reb olduğu ve Arapça’ya Süryanice veya Aramice gibi dillerden geçtiğini savunmuşlardır (Zemehaşerî, 1998, I, 252).

Kur’an-ı Kerim’de Hz. Âdem’in yaratılmasından bahseden ayetler incelenince, onun diğer insanlardan farklı yaratılışa sahip olduğu görülmektedir. Nitekim Allah, Kur’an’da Hz. Âdem ve Hz. İsa’dan bahsederken, onların diğer insanlardan farklı yaratıldıklarına işare etmiştir (Âl-i İmrân 2/59). Kur’an-ı Kerim’de Hz. Âdem’in yaratıldığı madde turâb (toprak), çamur (tîn), kurumuş çamur (salsâl) gibi farklı terimlerle ifade edilmiştir. Her ne kadar bu yaratılış farklı terimlerle ifade edilmiş olsa da hepsinin bir ortak noktası vardır; o da toprak kökenli olmasıdır (Bolay, 1988, I, 358). Çünkü çamur ve onun değişik şekilleri toprağın suyla karışması sonucunda ortaya çıkmaktadır. Ayrıca sahih hadisler ve tefsirler de ittifakla Hz. Âdem’in topraktan yaratılması görüşünü desteklemektedir.

Tefsirlerde Hz. Âdem’in yaratıldığı toprağın nereden olduğuyla ilgili birbirinden farklı rivayetler vardır. Taberî “Câmiu’l-Beyân”ında uzunca yer verdiği rivayete konuyu özetle şöyle anlatılmaktadır; Allah, Âdem’i yaratacağı toprağı getirmesi için Cebrail’i yeryüzüne göndermiştir. Ancak yeryüzü Cebrail’e izin vermemiştir. Daha sonra bu iş için Mikail’i memur kılmış ve yeryüzüne göndermiştir. Mikail de eli boş geri dönünce Allah, ölüm meleği Azrail’i görevlendirmiştir. Ölüm meleği yeryüzünün itirazlarına rağmen, dünyanın farklı yerlerinden sarı, kırmızı, siyah toprak örneklerini almış, göğşe geri dönerek toprağı su ile karıştırmış ve çamur hâline getirmiştir. Çamur kokmaya başlayınca da Allah, çamurdan Âdem’i yaratmış ve ona şekil vererek hayat bahşetmiştir (Taberî, 2001, I, 486-488). Bazı rivayetlerde ise Hz. Âdem’in baş ve yüzünün Kabe’den, sırtının ve göğsünün Beytü’l-Makdis’ten, bacaklarının Mısır’dan, baldırlarının Yemen’den, ayaklarının Hicaz’dan, sağ elinin doğudan, sol elinin ise batıdan alınan topraklardan yaratıldığı geçmektedir. Ancak bu tarz rivayetler âlimlerce gerçek dışı olarak algılanmış ve kabul görmemiştir (Bolay, 1988, I, 389).

Hz. Âdem’in yaratılmasından önce yeryüzünde başka insanların yaşayıp yaşamadığı hususunda müfessirler arasında görüş farklılığı vardır. Bu tartışmaların



başlıca sebebi, Hz. Âdem'in yaratılışından bahseden ayetlerde geçen halife kelimesiyle, Bakara suresinde meleklerle atfedilerek yeryüzünde insandan önce kan döken ve fesat çıkararak kimselerin bulunmasıdır (Bakara 2/30). Reşit Rızâ bu fikri kabul edenler arasında yer almaktadır. Müfessire göre ayette geçen halife kelimesi Hz. Âdem'den önce insanların yaşamasına işaret etmektedir. Ayrıca meleklerin Hz. Âdem ve neslini fesat çıkaran ve yeryüzünde kan döken olarak tanımlamaları bu görüşü güçlendirmektedir. Bununla yanaşı Hz. Âdem'den önce yeryüzünde Hin ve Bin veya Tim ve Rim isimli varlıkların bulunduğu ve dünyada cinlerden önce var olduğu, daha sonra yeryüzünde bozgunculuk yaptığı ve kan döktüğü istikametinde rivayet edilen haberler İsrailiyattan başka bir şey değildir (Reşid Rızâ, 1947, I, 257-258).

Bu görüşün aksine müfessirlerin çoğu Hz. Âdem'in halife oluşu ve meleklerin bu konudaki bilgilerinin Hz. Âdem'den önce insanların yaşamasına delalet etmediğini söylemişlerdir. Zemahşerî'ye göre meleklerin Hz. Âdem ve soyu hakkındaki bilgileri bilmeleri ya Allah'ın daha önceden onlara bilgi vermesinden, ya da levh-i mahfuzda bu hakta yazılı olanları bilmelerinden kaynaklanmış olmalıdır (Zemahşerî, 1998, I, 252). Fahrettin er-Râzî, Alûsî ve Zehamşerî'nin kabul ettiği bir diğer görüşe göre Hz. Âdem ve soyunun halife olarak tanımlanması, Hz. Âdem'den önce insanların yaşadığı sonucuna götürmemektedir. Çünkü çoğu âlimin kabul ettiği görüşe göre bu kelime Allah'ın yeryüzündeki vekili, dünyayı imar eden, güzelleştiren, insanlara rehberlik eden, terbiye eden anlamlarına gelmektedir (Zemahşerî, 1998, I, 252, Râzî, 1981, II, 180-181; Alûsî, 2005, I, 220). Râzî tefsirinde İbn Abbas'a dayanan rivayete yer vererek, insanın yaratılmasından önce yeryüzünde cinlerin yaşadığı, fesat çıkarmalarından dolayı Allah'ın onları uzaklaştırarak, yerlerine Hz. Âdem ve soyunu halife tayin ettiği görüşünü aktarmaktadır (Râzî, 1981, II, 180-181). Mevdûdî'ye göre meleklerin böyle bir şey sormaları itiraz amacıyla değil, mesele hakkında daha fazla bilgi edinmek içindir. Allah meleklerle yeryüzünde halife yaratacağını haber verince, insana bazı özelliklerin verileceğini anladılar. Ancak yaratılacak yeni bir varlığın, evrenin kanunlarına nasıl uyum sağlayacağını algılamakta zorlandılar (Mevdûdî, 1986, I, 200).

Âlimlerin bir diğer ihtilaf ettiği konu Hz. Âdem'e isimlerin öğretilmesi hususundadır. Nitekim bazı müfessirler ayette geçen Hz. Âdem'e isimlerin öğretilmesini dünyada mevcut olan her şeyin ismini öğretilmesi şeklinde tefsir ederken (Kurtubî, 2006, I, 420, Zemahşerî, 1998, I, 252-253; Mevdûdî, 1986, I, 200), bazı müfessirler isimlerden kastın insanların konuştukları lisanlar olduğu söylemişlerdir (Şekâvî, 1990, I, 12; Râzî, 1981, II, 192). Elmahlı Hamdi Yazır Allah'ın öğretmesini



murat ettiği isimlerden kastın ne olduğuyla ilgili tefsirinde dört görüşe yer vermiştir. Bunlardan birincisine göre isimlerden maksat dünyada mevcut olan canlı, cansız her şeyin ismidir. İkinci görüşe göre Allah, Hz. Âdem'e meleklerin ismini öğretmiştir. Üçüncü görüşe göre, Hz. Âdem'e zürriyetinin isimleri öğretilmiştir. En son görüşe göre ise isimlerden kasıt lisan değil, eşyaların ilmi suretleridir. Bu görüşleri zikrettikten sonra müfessir, kendi görüşünün Hz. Âdem'e öğretilen lisanslardan yana olduğunu söylemiş ve görüşünü desteklemek için kendisine has yorumda bulunmuştur (Yazır, 1960, I, 266-267).

Hz. Âdem'in yaratılması her ne kadar günümüz ilmi çevresinde tartışma konusunda dönüşse de, Hz. Havvâ'nın yaratılması meselesi de bir o kadar aktüeldir. Kur'an-ı Kerim'de Hz. Havvâ'nın yaratılmasından bahsedilmemekte, eşi Hz. Âdem'le birlikte cennette yerleştirilmesi ve çıkarılmasından söz edilmektedir (Bakara 2/35-38; A'raf 7/19-25; Taha 20/117- 123). Kur'an-ı Kerim'de yer alan bir diğer ayette Allah Teâlâ şöyle buyurmaktadır; “Ey insanlar! Sizi tek bir nefisten yaratan ve ondan da eşini yaratan; ikisinden birçok erkek ve kadın (meydana getirip) yayan Rabbinize karşı gelmekten sakının” (Nisâ 4/1; A'raf 7/189; Zümer 39/6). Genellikle müfessirler ayette geçen nefis kelimesinden kastedilenin Hz. Âdem olduğunu söylemekte, eşinin ise onun sol kabuğasından yaratıldığı belirtmekte idiler (Râzî, 1981, IX, 166). Kur'an-ı Kerim'de her ikisinin yaratıldıktan sonra cennette yerleştirildikleri ve şeytanın onları kandırması sonucu yasak meyveden yiyerek yeryüzüne indirildikleri anlatılmaktadır. Ayrıca Tevrat'ın aksine Kur'an, Hz. Âdem'e ilk günah işleten olarak kadını sorumlu tutmamaktadır. Nitekim Kur'an'da şeytanın her ikisinin içine vesvese sokarak (A'raf 7/20) günah işlettiği bildirilmektedir (Bakara 2/36). Yaptıkları günahlarından dolayı Hz. Âdem ve Havvâ Allah'tan bağışlanma dilemiş, Allah da onlara yeryüzüne inceklerini ve orada yaşayarak öleceklerini bildirmiştir (Bakara 2/35-38; A'raf 7/19-25; Taha 20/115-123).

Bilindiği üzere Allah meleklerle yeryüzünde halife yaratacağını beyan etmiş, melekler de Allah'tan yeryüzünde fitne çıkaracak ve kan dökecek birini mi yaratacağını sormuşlardır (Bakara 2/20). Bâkûvî Hz. Âdem kıssasında geçen melekleri, yeryüzünde yaşayan melekler şeklinde yorumlamıştır. Müfessire göre meleklerin Allah'tan böyle sorular sormaları mümkündür. Nitekim Hz. Âdem'in ilim ve hüner bakımından olgunlaşması meleklerin soru sormasına sebep olmuştur (Bakuvî, 1904, I, 14).

Bâkûvî'nin getirmiş olduğu bir diğer yorum Hz. Âdem'e öğretilen isimlerle ilgilidir. Yukarıda Hz. Âdem'e öğretilen isimlerden kastedilenin ne olduğuyla ilgili müfessirler arasındaki farklı görüşlerden bahsettik. Bâkûvî de diğer müfessirler



gibi isimlerden kastın ne olduğunu açıklamaya çalışmıştır. Ona göre ayette geçen Hz. Âdem'e öğretilen isimler ilmin faziletine ve her şeyden önce ilmin gerekli olduğuna delalet etmektedir. Bâküvî bunu şöyle açıklamıştır;

Allah, Hz. Âdem'i yarattığı zaman, ona yiyecek, içecek, giyecek gibi şeyler gerekiyordu. Nitekim bu gibi temel ihtiyaçları sadece ilim vasıtasıyla temin etmek mümkündür. Allah'ın Hz. Âdem ve meleklerin kıssasını bize anlatmaktaki maksadı ilim elde etmenin yollarını bize öğretmesidir. Ayrıca insanın yaratılmasındaki asıl maksat ilimdir ve Hz. Âdem'in şeref ve fazileti sadece ilimle anlaşılır" (Bakuvi, 1904, I, 15).

Bâküvî'ye göre Allah, Hz. Âdem'i topraktan yarattığı gibi, eşi Hz. Havvâ'nı da topraktan yaratmıştır. Nitekim müfessir insanın tek bir nefisten yaratıldığını beyan eden ayeti açıklarken tek nefisten kastın Hz. Âdem'in yaratıldığı toprak olduğunu söylemiştir (Bakuvi, 1904, I, 290). Ayrıca Bâküvî, Hz. Havvâ'nın Hz. Âdem'in sol kaburgasından yaratıldığını beyan eden hadisi bu düşünce doğrultusunda açıklamıştır. Ona göre hadiste geçen sol kaburgadan kastedilen, Hz. Âdem'in sol tarafında bulunan topraktır. Allah bu topraktan Hz. Havvâ'yı yaratmıştır (Bakuvi, 1904, I, 17).

Yukarıda Hz. Havvâ'nın yaratılmasından bahsederken onun, Hz. Âdem'den yaratıldığı anlattık. Nitekim tefsir kitapları incelendiğinde Bâküvî'nin Hz. Havvâ'nın topraktan yaratıldığını destekleyen mahiyette başka bir görüşe rastlanmamaktadır. Bu nedenle Bâküvî'nin Hz. Havvâ'nın yaratılmasıyla ilgili getirmiş olduğu yorum tarzı, kendisine has görüşü olarak anlaşılmaktadır.

Bâküvî, Bakara suresi 2/35 ayette geçen Hz. Âdem ve Hz. Havvâ'nın ikamet ettikleri cenneti Taif civarında yerleşen güzel bir bağ olarak yorumlamıştır (Bakuvi, 1904, I, 17). Tefsirlerde müellifin görüşünü destekler nitelikte çok sayıda bilgi bulunmaktadır (Dolunay, 2000, I, 11). Ancak Hz. Âdem'in yaratıldığı cennetin yeryüzü cenneti veya ebedi cennet olduğu hususunda müfessirler arasındaki görüş farklılıkları hâlen devam etmektedir. Hatta Hz. Âdem'in yaratıldığı cennetin Filistin veya Faris ile Kirman arasında olduğu söylenmiştir. Ancak müfessirler arasında yaygın olan görüş Hz. Âdem'in yaratıldığı ve eşiyle birlikte iskan ettiği cennetin ebedi cennet olduğu istikametindedir (Yazır, 1960, I, 275).

Ashâbu'r-Ress

Ashâbu'r-Ress'le ilgili Kur'an-ı Kerim'de iki ayette bilgi verilmektedir (Furkan 25/38; Kaf 50/12). Bu ayetlerden Ashâbu'r-Ress'in peygamberleri yalanladıkları ve azaba mazhar oldukları anlaşılmaktadır. Tefsirlerde Ashâbu'r-Ress'in kimler olduğu, nerde ve ne zaman yaşadıkları hakkında çok az bilgi vardır.



Ashâbu'r-Ress kelimesinin anlamıyla ilgili farklı görüşler mevcuttur. Bazı dilciler bu kelimenin “kuyu, çukur, maden ocağı” anlamına geldiğini söylerken, bazı âlimler de Yasin suresinde geçen Ashâbu'l-Karye'nin Ashâbu'r-Ress'in başka isimlerinden biri olduğu görüşü üzerinde durmuşlardır (Râzî, 1981, XXIV, 82; Harman, 1991a, III, 469).

İlk ve sonraki dönem müfessirleri Ashâbu'r-Ress'in nerede yaşadığı hususunda görüş farklılığı içinde olmuşlardır. İbn Abbas'tan gelen bir rivayette Ashâbu'r-Ress'in Azerbaycan'da yaşadıkları, peygamberlerini öldürdükleri için Allah'ın azabına mazhar oldukları nakledilmiştir. İbn Abbas'a atfedilen bir diğer rivayette ise Ashâbu'r-Ress'in Semud kavmi olduğu belirtilmiştir. Alûsî bu rivayetin Furkan suresi 38. ayetin lafzıyla çeliştiğini söylemiş ve kabul etmemiştir (Alûsî, 2005, XIX, 19). Fahrettin er-Râzî Ashâbu'r-Ress'in kimler olduğu hususunda şu görüşleri zikretmiştir; a) Ashâbu'r-Ress putperest bir kavim olmuş, Allah da onları hak yola davet etmek için Hz. Şueyb'i göndermiştir. Küfürlerinde ifrata varıp, peygamberlerini yalanlayınca Allah'ın azabına mazhar olmuşlardır. b) Ress “Felu'l-Yemâme” denilen yerde yerleşen halkın ismidir (Kurtubî, 2006, XV, 412). Peygamberlerini yalanladıkları için azap görmüşlerdir. Ayrıca onlar, Semud kavminin soyundan gelmektedirler. c) Ashâbu'r-Ress'e Hanzala b. Safvan gibi bir peygamber gönderilmişti. Onun peygamberliği esnasında büyük bir anka kuşu bu halkın çocuklarını avlıyordu. Hanzala b. Safvan'ın bedduası üzerine bu kuş helak olmuş, daha sonra kavmi Hanzala b. Safvan'ı yalanlamış ve öldürmüşlerdi. d) Bu millet Senuber ağacına tapan ve peygamberlerini gömerek öldüren tayfa olmuş, bu sebepten Ashâbu'r-Ress diye isimlendirilmiştir. e) Ashâbu'r-Ress, Ress isimli ırmağın yanında yaşayan halk olmuştur. Peygamberleri Hz. Yakub'un oğlu Yahûda'nın soyundan gelmiştir. Daha sonra bu halk, Allah'a iman etmeyi terk edip peygamberlerini çukura gömmüşlerdir. Allah bu yaptıklarından dolayı onlara şiddetli azap vermiştir (Râzî, 1981, XXIV, 82-83).

Bâkûvî de Ashâbu'r-Ress'in nerede olduğuyla ilgili tartışmalara katılmış, kendisine özgün bir tarzda konuyu tefsir etmiştir. Müfessir Ashâbu'r-Ress'le ilgili açıklamalarına Furkan suresi 25/38. ayette yer vermiştir. Bâkûvî'ye göre Ress (Aras/Araz), Kafkasya'da bulunan ve Kür nehrine kavuşarak Hazar denizine akan nehrin ismidir. Allah burada yaşayan halkı hidayete davet etmek için Hz. İsa'yla Hz. Muhammed arasında yaşamış Hanzala b. Safvan'ı peygamber olarak göndermiştir. Hanzala b. Safvan onları tevhide davet etmiştir. Ress halkı küfürlerinde azgınlaştıkları için peygamberlerini tekzip etmiş ve Aras nehri içerisine derin bir çukur kazarak peygamberlerini oraya gömmüşlerdir. Allah da yaptıklarından dolayı Ress halkını cezalandırmıştır (Bakuvi, 1904, II, 640).



Yukarıda da açıklamaya çalıştığımız üzere Ashâbu'r-Ress'in nerede yaşadığı ve kimler olduğuyla ilgili müfessirler arasında farklı fikirler ve görüşler mevcuttur. Her müfessir anladıkları şekilde ayeti tefsir etmeye, burada geçen Ress halkının kimler olduğu ve nerede yerleştiğini açıklamaya çalışmışlardır. Bâkuvî de Ress halkını kendisine özgün bir tarzda açıklamıştır. Nitekim Ashâbu'r-Ress'in Azerbaycan'da yerleştiğini savunan rivayetler mevcuttur (Harman, 1991a, III, 469). Ancak Ress kelimesinden kastın Aras Nehri olduğu ve onları imana davet etmek için gönderilen Hanzala b. Savfan'ın Hz. İsa ve Hz. Muhammed (s.a.v.) arasında yaşadığı tarzında bir görüşe tefsir kitaplarında rastlanmamaktadır (Dolunay, 2000, II, 695-696). Bu nedenle Bâkuvî'nin Ashâbu'r-Ress'le ilgili getirmiş olduğu yorumu kendisine özgün bir görüş olarak anlaşılmaktadır.

Ölülerin Nasıl Diriltildiğinin Kuşlar Örneği Üzerinden Hz. İbrahim'e Gösterilmesi

Allah'ın ölüleri diriltmesini Hz. İbrahim'e kuşlar üzerinden göstermesi Bakara suresi 2/260. ayette geçmektedir. Müfessirler Hz. İbrahim'in neden böyle bir şey istemesi, neden kuşların seçilmesi ve kuşlar üzerinden verilen mesajın ne olduğunu farklı görüş ve yorumlarla açıklamaya çalışmışlardır (Ateş, 2016, 10).

Hz. İbrahim'in ölüleri nasıl diriltildiğini görmek istemesinin nedeniyle ilgili müfessirler arasında görüş farklılığı vardır. Bu görüşlerden birkaçını sıralamamız, konuyu anlamakta bize yardımcı olacaktır; a) Bilindiği üzere Hz. İbrahim'le Nemrut arasında geçen tartışma meşhurdur. Hz. İbrahim Nemrud'a Allah'ın hem diriltmeğe, hem de öldürmeye gücünün yettiğini söylemiştir. Bunun üzerine Nemrud da insanları öldürdüğünü ve dirilttiğini söylemiştir (Bakara 2/258). Hz. İbrahim, Nemrud'un böyle sözler sarfetmesi üzerine ayette zikri geçen olayı göstermiş ve Nemrud'u mağlub etmiştir (Taberî, 2001, IV, 626; Beğavî, 1409, I, 322; Râzî, 1981, VII, 41). b) Hz. İbrahim, Allah'ın onu kendisine dost tuttuğu müjdesini alınca, kalbinin mutmain olması için Allah'tan ölüleri nasıl dirilttiğini göstermesini istemiştir (Taberî, 2001, IV, 627; Râzî, 1981, VII, 41). c) Hz. İbrahim kalbinde oluşacak şüphelerden kurtulmak için Allah'tan ölüleri nasıl dirilttiğini göstermesini rica etmiştir (Taberî, 2001, IV, 628-629). d) Hz. İbrahim Allah'ın ona indirdiği sahifeleri okuyunca, soyundan gelecek Hz. İsa'nın ölüleri dirilteceğini öğrenmiştir. Bunun üzerine Hz. İbrahim de Allah'tan ölüleri nasıl dirilttiğini kendisine göstermesini istemiştir (Râzî, 1981, VII, 42). e) Hz. İbrahim canlıların öldükten sonra kıyamet günü nasıl diriltileceğini bu dünyadayken görmek istemiştir (Râzî, 1981, VII, 42). f) Hz. İbrahim kavminin ikna olması ve kalplerinde tevhit inancının yerleşmesi için ölüleri nasıl dirittiğini Allah'tan sormuştur (Râzî, 1981, VII, 41). g) Hz. İbra-



him somut bir mucize görmek istemiştir. Çünkü o ana kadar ona gösterilen mucizeler akli, önceki peygamberlere gösterilen mucizeler ise hem akli, hem de somut idi (Mâturidî, 2004, I, 221).

Ayrıca Hz. İbrahim'e ölümlerin nasıl diriltildiğini göstermek için neden kuşların seçildiği, sayılarının neden dört olduğu ve hangi türlerden seçildiği müfessirler arasında tartışılan konulardandır. Beyzâvî kuşların birçok yönden insanlara benzer özelliklerinin olması sebebiyle seçildiği görüşünü savunurken (Ateş, 2016, 23), Reşit Rızâ gibi müfessirler de kuşlar üzerinde bu deneyin yapılmasının daha kolay olacağı fikri üzerinde durmuştur (Reşid Rızâ, 1947, III, 55). Kuşlarının sayısının neden dört olduğu hususunda yapılan yorumlar da ilgi çekicidir. Nitekim Râzî dünyada mevcut olan tüm canlıların yapısında bulunan dört özelliğe vurgu yapmak için dört kuşun seçildiğini söylemiştir (Râzî, 1981, VII, 44). Bir diğer görüş farklılığı ise kuşların türleri hususundadır. Müfessirler mezkur ayette zikredilen kuşların türlerini geniş şekilde açıklamışlardır. Hatta müfessirler seçilecek kuşların türleri ile insanların kötü tavır ve davranışları arasında ilişki kurmaya çalışmışlardır (Ateş, 2014, 23). Bu nedenle seçilen kuşların türleri ve özellikleri ile ilgili birbirinden farklı görüşler ileri sürülmüştür. Bu kuş türlerinin horoz, karga, güvercin ve ördek olduğunu söyleyen müfessirler olduğu gibi (Ateş, 2014, 23), horos, tavus kuşu, karga ve güvercin (Taberî, 2001, IV, 633; Beğavî, 1409, I, 323) olduğunu savunanlar da olmuştur. Hatta müfessirlerden bazıları Allah'ın, yeşil bir ördek, siyah bir karga, beyaz bir güvercin ve kırmızı bir horoz hazırlamasını emrettiğini belirterek kuşların hangi renk olduklarını bile tespit etmeğe çalışmışlardır (Beğavî, 1409, I, 323).

Bâkûvî ayeti tefsir ederken dört kuşun türü ve insandaki hangi özellikleri ifade etmesi üzerinde durmuştur. Müfessire göre dört kuştan maksat insanın dört kötü huyudur. Eğer insan kendisinde olan bu özellikleri öldürürse o zaman insan-ı kamil olur. Bâkûvî bu kuşların isimlerini ve onların insanın hangi kötü huylarına işaret etmesini şöyle açıklamaktadır; “Tavus kuşu insanda olan kibir ve gurura, horos şehvet isteğine, karga sonu olmayan arzulara, ördek ise hırs ve itaatsizliğe işaret etmektedir” (Bakûvî, 1904, I, 176). Bâkûvî'nin kuşlarla ilgili getirmiş olduğu yorumu kendisinden önceki müfessirlerin fikrileri ile bağdaşmaktadır. Nitekim diğer müfessirler de bu kuşlarla insanın bazı kötü huy ve özellikleri arasında bağ kurarak açıklamaya çalışmışlardır. Bu nedenle tavus kuşunun şehvet ve süs, horozun güç, karganın sonu olmayan arzu-istek, ördeğin de hırs anlamına geldiğinin, her kim kendisinde bulunan bu özellikleri öldürürse (mecazi anlamda kuşları öldürürse) kamilleşeceğini, kalbinin ve ruhunun ferahlayacağını söylemişlerdir (Endelüsî, 1993, II, 310).



Sonuç

Bâkûvî'nin bu görüşleri benimsemesine birçok etken tesir etmiş olabilir. Bu etkenler arasında ilk olarak kendi döneminde İslam dünyasında ortaya çıkan yeni akımlar ve onların düşünceleri sayılabilir. İkinci olarak müfessir, Cemaleddin Afgânî, Muhammed Abduh ve Reşit Rızâ'nın fikirlerinden etkilenmiş olabilir. Bu da onu, "İçtimai Tefsir Ekolü"ne yakınlaştırmaktadır.

Görüldüğü üzere, hâlen İslam âlimleri ve araştırmacıları Hz. İsa'nın vefatı ve ref'i, Hz. Âdem'in ve eşinin yaratılması, Zülkarneyn ve Ye'cûc-Me'cûc, kuşlar örneği üzerinden Hz. İbrahim'e ölümlerin nasıl diriltildiğinin gösterilmesi konularını farklı şekilde yorumlamaktadır. Bâkûvî bazı konuları genel kabul edilen dinî anlayış çerçevesinde yorumlasa da, bazı konularda kendisine özgün tarzda ayetleri tefsir etmeye, konuları açıklamaya çalışmıştır.

Hz. İsa'nın ölümü ve ref'iyle ilgili yukarıda açıkladığımız üzere müfessirler arasında fikir ayrılığı vardır. Bir kısım âlim Hz. İsa'nın ölmediğini, ref'in ise ruh-beden olarak gerçekleştiğini kabul ederken, bir kısım âlim de Hz. İsa'nın öldüğünü ve ref'in sadece ruh olarak gerçekleştiğini savunmuştur. Bâkûvî Hz. İsa'nın vefatı ve ref'i konusunda, onun öldüğünü ve ref'in sadece ruh olarak gerçekleştiğini kabul etmiştir. Bu, müfessirin kendi tercihidir. Nitekim Bâkûvî, bazı günümüz araştırmacılarından farklı olarak Hz. İsa'nın öldüğünü, ref'in gerçekleşmediğini ve kıyamete yakın geri dönmenin sadece safsata olduğunu iddia etmemiştir. Müfessir bu konuda ince çizgiye dikkat etmiş, görüşlerinde aşırıya kaçmamıştır.

Zülkarneyn ve Ye'cûc-Me'cûc'la ilgili müfessirin bazı görüşleri onu, diğer müfessirlerden farklı kılmıştır. Bâkûvî, Ye'cûc-Me'cûc'la ilgili kendisinden önceki müfessirlerin zikrettiklerini mesnetsiz bulmuş, bu iki müfsit tayfadan kastedilenin, Kafkas dağlarından kuzeyde yaşayan Hazarlar olduğunu söylemiştir. Bilindiği üzere bu konuyla ilgili İslam dünyasında fikir ayrılığı vardır. Her müfessir rivayetleri kendi düşünce çerçevesinde tevîl ederek, konuyu açıklamaya çalışmıştır. Kanaatimizce Bâkûvî de bu yolu izlemiş, Zülkarneyn ve Ye'cûc-Me'cûc'la ilgili rivayetleri tevîl ederek kendi görüşünü bildirmiştir.

Her üç semavi din Hz. Âdem'in topraktan yaratıldığını kabul etmektedir. Bu, semavi dinleri birleştiren önemli etkenlerden biridir. Ancak Hz. Âdem'in eşi Hz. Havvâ'nın topraktan mı, yoksa Hz. Âdem'in sol kaburgasından mı yaratıldığı hususunda halen tartışmalar devam etmektedir. Tevrat'ta geçen bilgiye göre Hz. Havvâ, Hz. Âdem'in sol kaburgasından yaratılmıştır. Kur'an ise Hz. Havvâ'nın yaratılışından bahsetmemiştir. Bâkûvî'ye göre Hz. Havvâ da, Hz. Âdem gibi topraktan yaratılmıştır. Müfessir, Hz. Havvâ'nın Hz. Âdem'in sol kaburgasından yaratıldığını



anlatan rivayeti, Hz. Âdem'in sol tarafında bulunan toprak olarak yorumlamıştır. Sonuç olarak Bâküvî Hz. Havvâ'nın da toptaktan yaratıldığını savunmuştur.

Hz. İbrahim ve kuşlar kıssasıyla ilgili Bâküvî'nin getirmiş olduğu yorum tarzı, kendisinden önceki müfessirlerin yorumlarıyla aşağı yukarı uyum teşkil etmektedir. Ona göre kuşlardan kasıt insanda bulunan dört kötü huydur. İnsan bu kötü huyları öldürürse, insan-ı kamil olur. Bunu esas alarak, Bâküvî'nin kuşları öldürmeyi mecazi olarak anladığını söyleyebiliriz.

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The Role of the Ottoman Era of Panislamism Against Malaysia's Independence

Sadiqa Binti Abdul Rahman*

Abstract: Pan-Islamism display how Islam promoted a sense of belonging in a wider region while being the driving force of nationalism and socio-political empowerment. Pan-Islamism, is refers to the movement of Islamic countries together united. Sultan Abdul Hamid II was made decision after he deep of thought the tendency of Christian subjects to leave the Ottoman Empire after the Berlin Treaty, he embraced the idea of Pan-Islamism. After this agreement, the Ottoman Empire became almost a Muslim country. Pan-Islamism gave hopes of constructing a modern polity that would sufficiently compete with the Western imperialists. So it mean that Pan-Islamism is important to Muslim country especially to Malaya. This is because, Pan-Islamism had played big roles for Malaya to get independence from British. This study aims to examine the impact of Pan-Islamism on Malaysian policy. The method of this study is historical. It will be discussed using primary sources related to the subject. Data collection techniques are literature and documented, and data analysis is qualitative with content analysis approach. The study finds that some Malaysian scholars were supported Pan-Islamism. Sultan Abdul Hamid he was collaborated with Sheikh Ahmad Patani. Sheikh Ahmad Patani played a major role in encouraging Sultan Abdul Hamid II to allowed Sheikh Ahmad Patani to produced Malay brochures for the Malay lands to gain independence from the British and nurture the Malay spirit of independence. One of the way to give strengthen the Malaysian spirit of independence was to show the importance of foreign powers gaining their independence without being under sovereignty. Therefore, the Ottomans and the Malay had worked together to protect the Malaya lands. This is because the Ottoman Empire was a powerful Islamic state that could protect the Malaya lands. Previous research has shown that Pan Islamism has an impact on nationalism, militancy, and power in political life in Malaysia. The reactions of Muslim societies in Malaya and Turkey, proved that the legacy of Pan-Islamism had given birth to social, political and cultural empowerment that would provide a religious framework for universal human right.

Keywords: Pan-Islamism, Malaya, Malaysia, Syeikh Ahmad Patani, Independence, Ottoman.

* Bursa Uludağ University, Social Sciences, Islamic History and Art, PhD.
Contact: sarh110112@gmail.com



Introduction

Muslim life in Southeast Asia has influenced the arrival of Islam to Southeast Asia. One of the most important Islamic influences influencing Islamic thought and interpretation in Southeast Asia is from the Turkish state. Turkey is very important in the development of Islamic culture worldwide. This has led to the interpretation of Muslims in Turkey on the issue of Islam as a guide for Muslims in Southeast Asia.

The colonial era dates back to the arrival of the Portuguese and its occupation in 1511 AD on Malacca. From 1511 AD onwards the Malaya continued to colonize from one state to another and from year to year changed hands from one anti-Islamic colonial power. Scholars and sultans are important individuals for the Malay community. This is because all decisions regarding civil society and the affairs of state administration are guided by scholars. This trend continued until the 19th and 20th centuries, which featured many prominent scholars fighting for independence. Overall, the British arrival to the Malay Land from the 18th century to the 19th century was in essence intended to monopolize the wealth of the land in Malaya. During the British occupation of Malaya, many changes were made by the British politically and economically. Malaysia got independence in 1957 from British and changed their name of Malaya to Malaysia. It had been used until nowadays.

Before the Malay land reached independence, there were several scholars who fought for independence. Among them are Tok Janggut, Dato Bahaman, Mat Kilau, Tok Gajah, Tok Kenali. These scholars appeared during the arrival of foreign powers such as the Portuguese, Dutch and British into Malaya. The struggles of these Muslim scholars are closely linked to the spirit of nationalism. Nationalism refers to a deep sense of love and devotion to the motherland which subsequently led to the struggle to make free the motherland from the rule of foreign power.

Among the main factors leading to nationalism were the tyranny and oppression perpetrated by foreign powers, especially the British. Before World War II, the wave of struggle for independence began to rise in several Asian countries including in Malaya. Due to the desire to achieve independence and to govern their own colonies, various efforts were made by Malay scholars. The impact of this wave was that some religious leaders, school teachers and journalists were leaders and sought to establish a Young Malay Union (KMM) to achieve independence in what is known as the United Kingdom.



Concept of Panislamism

The idea of Pan-Islamism was introduced when the reign of the 34th Ottoman Empire Sultan, Abd al-Hamid II (1876-1909M). This policy was introduced due to the backlash of the Ottoman Government until several territories were invaded by several European countries. The Ottoman government, meanwhile, lost the war against the Russian state (Keddie 1969: 19-20). The Pan-Islamism (Ferguson, 2008) concept is considered a practical model of unity between the Islamic ummah in two different continents (east and west) that existed from the beginning. Based on the awareness of Islamic brotherhood, pan-Islamism has been the greatest benefit to the development of Islam in the Malay World. Before the idea of pan-Islamism was fully introduced by Jamaluddin Afghani in the early 19th century, the ideology had been practiced by Aceh and the Ottoman Empire since the 16th century (Itzkowitz, 1972).

The second half of the nineteenth century witnessed an acceleration of the rate of change within the Ottoman empire along with a greater interconnectedness with Europe, its peoples, technologies, and ideas. Namik Kemal, Muhammad Abduh, and Jamal al-Din al-Afghani were among the early thinkers who absorbed the new ideas emanating from Europe and transformed them into an Islamic idiom (J. Rahme, 1999). Pan-Islamism is a movement or idea to unite Muslims and build the Islamic world under one governing power.

Pan Islamism also aimed at ending western occupation of Islamic countries. Pan-Islamism was originally a belief triggered by Jamaluddin Al-Afghani who was concerned that the poor Egyptian country was very fertile and rich in natural resources, under the influence of foreign intervention power. The position of Sultan Abd al-Hamid II as a Caliphate for Muslims had a profound impact on Muslims at that time in making the policy a success. Although the 'Ottoman Empire was in a phase of decline, the support of Muslims from around the world towards the government's leadership proved its credibility as the patron of the Islamic Caliphate (Z.roslan, E. Rozali, 2017). Sultan Abdul Hamid had a high political standing as he was able to mobilize the entire community of scholars, reformers, and leaders from different races, states and streams. He called many of them to the capital to discuss and dialogue with him to lead the Pan-Islamism movement (Izza & Ermy, 2013).

Impact of Pan Islamisme Toward Malaya (Malaysia)

Western colonizers were very active in eradicating Islam and its people on Malaya and at the same time developing Christian secular and secular ideologies. The co-



lonialists have inflicted a great deal of cruelty and slavery on Muslims throughout their occupation including actions and efforts to eliminate Muslim scholars who are fighting for the truth of Islam, their homeland, society and nation. In fact, some scholars who did not approve of the occupation of the occupiers who wanted to deprive the people of their rights were arrested and killed (B. Abdullah, 2019). The colonial sought to learn all aspects of the Malay way of life. The colonialists acknowledged that Islam and Islamic literacy were the basis of the strength of Malay identity. Islam is a poison that must be monitored in Malaya according to the British and Dutch. However, this cannot be done openly as it invites the resistance of the Malays (Razak et al., 2019).

Western colonists were aware that the importance of controlling the sea and land trade routes between the Indian Ocean and the Red Sea. That is why the Malay World was one of the options to colonize them. More importantly, the Malay world was known to have the raw material potential that was much needed by the world community at that time. This is confirmed by the fact that the Malay Nature area has become a major destination for foreign vessels to obtain the raw materials needed by the world community. Many European ships are reported to have come to trade in the Malay World, especially in Aceh (Mohammad Hannan Hassan, 2014).

According to the studies of Gullick based on Annual Report Negeri Sembilan 1892 (1963) in 1892 the issue of Pan Islamism began. The Ottoman Navy chief, who was visiting Singapore, had been asked by two Malay leaders of Negeri Sembilan (Malaya) to help evict British occupiers from Malaya. The actions of the Malay leaders to appeal to the Ottoman commander of the Royal Navy, were known to the British authorities. Thus, one of the Malay leaders was fired and another was reprimanded by the state administration.

Besides that, the spread of the idea of Pan-Islamism in Southeast Asia was an important element of the rule of Sultan Abdul Hamid II in Turkey. The introduction of the concept emphasized the unity and cooperation of the universal Muslims under the leadership of a caliphate whose role is to defend the rights of Muslims. In fact, the concept of Pan-Islamism was also seen as an attempt by Sultan Abdul Hamid II to strengthen his position when he was under threat from Western Christian imperialism such as Russia (Jamil, 2007). In addition, Fadhlulah Jamil (2010) said that, the emergence of Jamal Al-Din Al-Afghani also helped to spread the idea of Pan-Islamism to the world. Various ways have been done by him including his writing and his evidence is clearly reflected in his work entitled



“Al-Wahda Al-Islamiyyah” (Islamic unity). Through this work, he has explained the need for Muslims to unite and cooperate with one another for the good of the future and to break free from Western powers (Redzuan, 2006).

Furthermore, in Malaya the ideology of Pan-Islamism evolved through the role played by Syed Sheikh Al-Hadi and his associates like Sheikh Tahir Jalaluddin. They have published Al-Imam magazine aimed for being the first reformist newspaper in Malaya (Noval, 2019). This newspaper was directly influenced by Al-Manar magazine published by Muhammad Rashid Rida in Egypt. The purpose of the magazine’s publication was to spread the idea of Pan-Islamism by creating awareness within the Muslim community to advance itself and not be influenced by colonialism. The struggle of the Turkish people in defending religious and national sovereignty over foreign powers was a guide (Redzuan, 2006).

Sheikh Wan Ahmad Patani Influenced Toward Pan Islamism

The leadership of Sultan Abd al-Hamid II under the policy of Pan-Islamism inspired Sheikh Wan Ahmad al-Patani to fight against the occupation of Western powers. In 1884AD, Sheikh Wan Ahmad al-Patani was appointed as supervisor of al-Amiriyyah Printing Factory in Mecca by the sultan Abd al-Hamid II. The purpose of the appointment of Sheikh Wan Ahmad Patani was to publish books of various Islamic languages throughout the Muslim world. Sheikh Wan Ahmad al-Patani was responsible for reviewing and editing the works of Arab and Malay scholars for publication (Ermy, 2014). Moreover, other efforts of these scholars, to raise awareness of the importance of independence, were to establish such institutions as the Al-Iqbal Madras in 1907 at the Singapore, Madrasah Al-Masyur Al-Islamiyyah in 1919 at Penang to further their ideas and thoughts (Ermy, 2009). Indirectly, the idea of Pan-Islamism developed in Malaya and helped to enlighten the Muslim community to rise up to fight the Western invaders.

Sheikh Wan Ahmad al-Patani (1856-1908AD) was one of the leading Malay scholars who supported the leadership of Sultan ‘Abd al-Hamid II and the policies of Pan-Islamism. His real name is Sheikh Wan Ahmad bin Sheikh Wan Muhammad Zain al-Patani and he was born in Jena Village in Jambu, Patani. He came from a family of scholars. When he was six years old, his father brought him to live in Mecca. There, he acquired Arabic grammar and mastered it so well that he was given the title of Small Sibawayh in the name of a great Arabic grammar figure. He then pursued religious studies in Jerusalem Maqdis, Palestine for two years and returned to Makkah (Saghir, 2005).



In 1875 AD, Sheikh Wan Ahmad al-Patani continued his studies at al-Azhar University, Egypt. He was one of the first Malay students to study at al Azhar University at that time. He lived in Egypt for seven years. When he was in Egypt, he previously worked as a textbook editor for a Malay printing company in Cairo. In 1882 AD, Sheikh Wan Ahmad al-Patani returned to Mecca to continue his preaching and teaching activities for the Malay community and Muslims there. The governor of Makkah was then fascinated by the sheikh Ahmad al Patani's greatness in Arabic poetry. His greatness in arabic poetry was to match that of Arab poets (Auni, 2015).

One of the most prominent and charismatic scholars in Pattani and Malaya's occupation of the invaders was Sheikh Ahmad al-Patani. He recruited Malay clerics to be the catalyst for the movement to liberate Malay lands. His students involvement in the education world, including boarding schools and madrasahs, printing, magazine publishing, preaching and preaching jihad against the colonialists in the late 1890 AD and early 1900AD. Also Sheikh Ahmad al-Patani succeeded in educating Pan-Islamist sentiment in the struggle against the invaders can be seen through the struggle of a Terengganu scholar, Haji Abdul Rahman Limbong. He was one of the pupils of Sheikh Ahmad Patani was strongly brought the name of unity in Islam (Haris, 2019).

Sheikh Ahmad al Patani had a close relationship with the Ottoman Turkish informants so he had ambitions to establish an Islamic state. The Islamic nation that wants to create is to unite the states of Pattani, Kelantan and Terengganu under the auspices of the Ottoman Turkish government. According by Sheikh Ahmad Patani, the Malay race cannot be ruled by foreigners, especially non-Muslims. He felt that the Ottoman could help the country escape from foreign occupation (Daud, 2003). One of his students, Raja Ali Kelana, was introduced to the Turkish government in diplomatic affairs. However, the attempt to introduce Raja Ali Kelana failed because he died in early January 1908. In addition, the Turks were involved in the First World War (1914-1918). The instability caused the Ottoman to become under the cosh at that time.

Apart from the ulama movement through the media, education and writing, the most effective and in direct relationship with the Malaysian Islamic Religious Party (PAS) was Sheikh Ahmad al-Patani's attempt to establish Jam'iyah al-Fathaniyah in Mecca in 1873 as the first Malay association comprised of Malay scholars and students in Mecca. Resistance to the occupation of Malacca and other Malay states of the Portuguese, Dutch and Siamese powers was overwhelming and vigorous under the leadership of the clergy.



Malay people respond very well to Pan Islamism from a psychological point of view. The existence of the mass media in the Malay World or the Middle East provided awareness and stimulated the thinking of the Malay community. The mass media then circulated information covering a wide range of issues including information on the unity of Muslims through Pan Islamism (Ermy, 2009).

In addition, Sheikh Ahmad Patani, took the opportunity to educate the clergy gathered to perform the pilgrimage in Mecca. Sheikh Ahmad Patani blew the anti-colonial spirit to Malays who came to perform the pilgrimage. While in Mecca, Sheikh Ahmad al-Patani also sent letters of struggle free from foreign power to Sultan Zainal Abidin III (1323H) in Terengganu and Sultan Mansur of Kelantan (1891) to avoid being easily subjected to colonial pressure. In addition, he was also referred to by Sultan Pattani, Kedah, Johor, Riau-Lingga, Deli, Langkat, Pontianak and Sambas.

Sheikh Ahmad stressed that it is imperative for every Muslim to pray for the welfare of the Ottoman Government. Sheikh Ahmad supported the concept of the caliphate and regarded the Ottoman Government as the protector and leader of the Muslim world. Moreover, it is also the result of Sheikh Ahmad's experience growing up in the war between the Patani-Siamese that he developed an anti-colonial attitude in himself. Reaching adulthood, the policy of Pan-Islamism introduced by Sultan 'Abd al-Hamid II also enhanced his anti-colonial attitude. Through the pilgrims returning to their hometowns, the news spread and since then the Pan-Islamism movement has attracted Muslims in the Malay world to unite under the banner of Islam under Ottoman rule (Nasihin, 2014).

He called on Muslims, especially in the Malay world, to come together under the leadership of the Islamic Caliphate to fight the western invaders. Sheikh Wan Ahmad al-Patani's allegation of the caliphate of Muslims was revealed through his writings, *Hadiqat al-Azhar wa al-Rayyahin*, which directly discusses the history of the Ottoman Government (Zulhelman & Ermy, 2017).

The call of Sultan Abd al-Hamid II for the unification of the Islamic world and the liberation of the western invaders saw the Ottoman Empire as a protector of Muslims at that time. Therefore, due to the call of the sultan of the Abdul Hamid, Sheikh Ahmad acted to clearly introduce the Ottoman Government as well as extend the idea of Pan-Islamism to the Malay people. Although in fact the earlier Malay-Kingdom-Ottoman relations had existed, it was more of a governmental relationship with the government. Sheikh Ahmad's intention was to introduce the Ottoman Government to the general public (Azmul & Ahmad Faathin, 2017).



The Ottoman Government's submission in *Hadiqat al-Azhar* is in fact part of the concept of statehood applied by Sheikh Ahmad in the writing of this work. In general, the reason for this inquiry can be identified in the debate of the Ottoman Empire. Azmul & Ahmad Faathin, (2017) was said Sheikh Ahmad Patani records his reasons as:

1. Based on the consensus of the scholars that the Ottoman Empire was the best of the kingdom after Khulafa' al-Rashidin.
2. They belong to the sect of the Sunni Pilgrims.
3. Implementing Islamic law.
4. Honor the companions, ahl al-bayt and salute.
5. Many carry out jihad.
6. Guardians of two illegal lands.
7. Many charities.
8. Many do welfare work.
9. Protecting Pilgrims and Umrahs.

For the above reasons, Sheikh Ahmad stressed that it is imperative for every Muslim to pray for the welfare of the Ottoman Government. The selection of the Ottoman Government to be included in this work also shows that Sheikh Ahmad supported the concept of the caliphate and regarded the Ottoman Government as a protector and leader of the Muslim world (Abdul-Ramae Sulong, 2013). Moreover, it was also the result of Sheikh Ahmad's experience growing up in the war between the Patani-Siamese that he had raised anti-colonial attitudes in Sheikh Ahmad. In reaching adulthood, the policy of Pan-Islamism introduced by Sultan 'Abd al-Hamid II also enhanced the anti-colonial attitude of Sheikh Ahmad.

Conclusion

Sultan Abd al-Hamid II was a catalyst in the effort to restore the Ottoman Empire as the patron of the Islamic Caliphate. The involvement of all those who have always supported and served him has been the basis of the strength of the policy and has been widely disseminated to the Muslim community. However, a small number of these initiatives have been able to spark the spirit of the rise of Muslims and save the Ottoman Government for three decades from entering its fall phase. The great involvement and role played by Sheikh Ahmad Patani is crucial in the quest for Malaysia's independence. Sheikh Ahmad Patani's role as a scholar has



gained a place and has a unique social status in Malay society.

Therefore, the introduction of Pan Islamism in Malaya at the time was well received by the community. Western colonizers were very active in eradicating Islam and its people on Malaya and at the same time developing Christian secular and secular ideologies. The Malay empire was officially colonized after the fall of Malacca into Portuguese hands in 1511 which led to the collapse of the Malay Civilization which we continued to colonize by foreign powers such as the British, the Dutch, the Siamese and the Japanese for a very long time of about 450 years. without us realising. This has made the Malays a backward and weak nation as a result of this long occupation.

The presence of Sheikh Ahmad Patani scholars led by the idea of Pan Islamism made the Malays aware of the importance of governing their own country. The colonialists have inflicted a great deal of cruelty and slavery on Muslims throughout their occupation including actions and efforts to eliminate Muslim scholars who are fighting for the truth of Islam, their homeland, society and nation. In fact, some scholars who did not approve of the occupation of the occupiers who wanted to deprive the people of their rights were arrested and killed. Based on the results and the above discussion, the authors can conclude that Pan Islamism's influence on the lives of Malay people is in three aspects, including governmental power, nationalism, and unified consciousness in one Islamic power. Pan Islamism's influence on the government was to drive the people's struggle against the western invaders.

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The Contribution of Islamic Mysticism in Bengal Civilization: An Overview of Bangladesh Perspective

Saeyd Rashed Hasan Chowdury*

Vahit Göktaş**

Muhammad Zahirul Islam***

Abstract: The history and influence of Islamic Mysticism in Bangladesh are more than a thousand years old. Islamic Mysticism has an enormous impact on each of the 169 million people in Bangladesh. One of the reasons for this is the spread of Islamic Mysticism and the effect of the call of Dawah activities. There are sixty-four districts in this country as well as eight divisions in Bangladesh. And each district has a unique history. There are many stories behind the naming of each district. Many of these districts have been named after the famous Sufis of Bengal. There are sixty-four districts in Bangladesh, only eleven are named after the names of the Sufi Saints. This shows how popular Islamic Mysticism was in this country. Besides, the Sufis have invited many people to call Islam, through torture and persecution. For this reason, there are many people have left their religion and converted to Islam. The districts which have been named according to the names of the Sufi saints of ancient Bengal. However, the research tries to highlight how the Islamic Mysticism was contributed to the reduction of religious hatred and extremism among the people of Bengal. Therefore, the result of my study shows that Islamic Mysticism has established a system of equality, love, and brotherhood among the people.

Keywords: Islamic Mysticism, Bengal, Sufi Saints, History of Districts, Social Development, Religious Tolerance, Bengal Civilization, Name of Districts in Bangladesh.

* Ankara University, Social Science, Basic Islamic Science (Mysticism), PhD.
Contact: saeydrashed.du1991@gmail.com/rashedchowdury@ankara.edu.tr

** Ankara University, Social Science, Basic Islamic Science (Mysticism), Chairman.
Contact: vgoktas@ankara.edu.tr

*** University of Dhaka, Faculty of Arts, Islamic Studies, Asst. Prof.
Contact: mzahirdu@gmail.com



Introduction

Islamic Mysticism has different rituals and Sufi orders in the world. Many Sufi Tarikat were introduced in the world by space and time. The Sufis who preached and called on the path of Islam and impressed by their call and invitation, many non-Muslims were accepted to Islam. There is no way to deny the influence of Sufism as the people of Bangladesh. In the culture and civilization of the people of this country for thousands of years, the influence of Islamic Mysticism has been affected. Twelve main Sufi orders in Bangladesh follows the general people. It is also true that some doctrines of Buddhism and Hinduism have been influenced by the Islamic Mysticism in Bengal. Still, the simplified philosophy that was developed throughout Bengal was by the hands of Islamic Mysticism. Their teachings of humanity love for Allah and Prophet Muhammad (pbuh) continue to be surrounded by mystical tales and folk songs today. Sufis were firm in abstaining from religious and communal conflict and strived to be peaceful elements of civil society. Furthermore, it is the attitude of accommodation, adaptation, piety, and charisma that continues to help Islamic Mysticism remain a pillar of mystical Islam in Bangladesh.

The Appearance and the Effect of Islamic Mysticism in Bengal

The promotion and spread of Islam in Bengal led to the collapse of the Hindu rule. In 1203, Muslim Turkish commander Ikhtiyar Uddin Muhammad bin Bakhtiyar Khilji won the Gaur war on the Indian subcontinent. From then on, the Islamic religion spread rapidly in Bangladesh and the way to the formation of the concept of Islamic Mysticism was thus facilitated. When Ikhtiyar Uddin Muhammad bin Bakhtiyar Khilji went to Tibet, he helped in allowing the king of the Coach region to accept Islam. He called the king Ali Mech, and Ali Mech later became an advisor to Ikhtiyar Uddin Muhammad bin Bakhtiyar Khilji (Mojlum, 2003, p. 6). Other Muslim rulers such as Husain Uddin (1212-1226), Nasir Uddin Mahmud Sheikh (1226-2128), Ruknuddin Barabak Sheikh (1459-1474) also contributed to the spread of Islam in Bengal.

Islam's greatest campaign and spread in the country from the middle of the eleventh century to the seventeenth century. Sufis from Arabia, Yemen, Iraq, Iran, Turkey, Khorasan, Central Asia, and Northern India came and preached Sufism in Bangladesh. Among the Sufi saints who have devoted themselves to spreading Islam in the 11th-12th century, the most notable of these are Shah Sultan Rumi (r),



Baba Adam Shaheed (r), Shah Sultan Balkhi (r), Shah Niyamatullah Boatsaken (r), Shah Makhdum Ruposh (r), Sheikh Fariduddin Shkkarganj (r), Makhdum Shah Dowah Shaheed (r) and others. They were proficient in Islamic jurisprudence. It is also mentioned that there were various miraculous (Karamat) powers. Due to their extraordinary knowledge, eloquence and human love, the common people of this country were attracted to Sufism. In this way, Sufism flourished in Bangladesh gradually. In the meanwhile, the North Indian Sufism did take strong sense in the half-century. Mainly, the North Indian Sufi doctrine of Ganga came into Bangladesh. Among the North Indian Sufis, who are the most influential in propagating Sufi in Bengal and spreading Islam, among them are Khwaja Moinuddin Chishti, Khwaja Kutubuddin Bakhtiyar, Sheikh Fariduddin Ganje Shakar, Nizamuddin Awlia, Sheikh Sharfuddin Bu Ali Shah Qalandar, Badiuddin Shah Mardar, Sheikh Ahmad Sirhind Mazdade Alfesani (r) (Bahauddin, 2017).

At the Twelve and thirteen centuries, many people of Bengal accepted Islam by dint of Sufis activities. As a result of their religious beliefs, many Sufi saints from Turkey, Arab countries, Persia, Baghdad to India and Bengal spread Islam. As a result of the patronage of the Sultans, this country became a stronghold of the Sufis' activities. According to the social and religious history of medieval Bangladesh, Islamic ideas spread in this country with the help of Muslim merchants, Sufi saints, and various rulers. The lifestyle of these Sufi saints was interesting and instructive (Mojlum, 2003, p. 9).

Besides, many other Sufi saints came to Bengal. They invited people from Sylhet-Chattagram in Bangladesh to the Mangalakot of Bardhaman India as well as from South Bagerhat to Dinajpur district, they organized various activities for Islam. From the turn of the fifteen centuries, the Muslim kingdom was firmly established in Bengal. As a result, the way of propagators for Islam currently was relatively easy. Some historians mention that there are more than one million Sufis preached and propagated Islam in Bangladesh till now. It has been discussed twelve Sufis who are most prominent in the Islamic history of Bangladesh.

After nearly 600 years of Islam's birth, Muslims of Bengal were mainly influenced by the Sufi saints and reflected the beauty of Islam. Before that person of Bengal were Hindus, Buddhists, or any other religion. So, the influence of Sufi saints in Bengal still exists today. Jalaluddin Rumi (r), Ibn al Arabi (r), Hafiz Shirazi (r), etc., influenced the Sufi doctrine of murshidi, baul, and fakri songs; Especially Lalon Shah, Hassan Raja's song has been unprecedentedly reflected which is still singing to the singers.



The Names of the Districts and Provinces that are Named in the Sufi Saints in Bangladesh

Bangladesh is situated in South Asia. The Bangladesh country is in a geographical border beside India, Nepal, and Myanmar. Hindus, and Buddhist states, in respect of the religion of India, Nepal, and Myanmar. Despite being in the middle of Bangladesh, there are 146 million Muslims. One of the reasons for this is the spread of Sufism and the effect of the call of Dawah activities. There are sixty-four districts in Bangladesh, only eleven are named after the names of the Sufi Saints. This shows how popular Sufism was in this country. The districts which have been named according to the names of the Sufi saints of ancient Bengal are discussed below (Aslam, 1999, p. 85).

Meherpur District

The district of Meherpur is an administrative region of the Khulna division of the central region of Bangladesh. This district has an area of 716.08 sq. km. Its boundaries are Kushtia district and West Bengal (India) on the north, Chuadanga and West Bengal (India) on the south, Chuadanga and Kushtia districts on the east, West Bengal (India) on the west. Meherpur, southwestern Bangladesh, is an ancient township. However, it is not known at some time that this ancient township of undivided Nadia was developed. It is reported that the city was established during the time of Vikramaditya. According to historical historian Kumudanath Mallick, "Someone even mentioned this place as the dwelling place of Mihir-Khana and imagine Mihirpur from Mihir's name, Maherpur in the subconscious." (Kumudanath, 1998, p. 145). This concept of naming is hypothetical and imaginative. There is more opinion about naming. Dr. According to Ashraf Siddiqui, this region has been named after the name of one of the 16th-century Sufi saint Mehar Ali Shah. Before getting the identity of the district, the old township of Meherpur was different. In the 2nd century AD, the famous geographical map of Mr. Ptolemy, several small islands were found in the river basin of the Ganges. This small island was thought to be Kushtia, Chuadanga as well as Meherpur area (Siddiqui, 2001, p. 67).

During the reign of Hindu King Laxman Sen in Bengal in 1204, a Turkish Muslim infinite brave commander named Ikhtiyar Uddin Muhammad Bakhtiar Khilji from Bihar occupied Nadia, the capital of Laxman Sen with only 18 horsemen. Indeed, at that time, Laxman Sena probably weakened the national structure of negligence and corruption in the princely state. Because of that, the ability to



resist the Turkish invasion and the courage of Laxman Sen did not. Khilji attacked the presence of the palace. Bakhtiyar Khilji had taken possession of Nadia and went to Gaura. The conquest of Nadia in Bakhtiyar is the beginning of Muslim rule in this region. The origins of Bengal's first Muslim rule lasted for nearly six hundred years (Aslam, 1999, p. 85).

In the first half of the thirteenth century, after the fall of the last independent ruler of Hinduism, Hindu Raja Laxman Sen, the rise of Muslim rule in the capital of Nadia, the development of Muslim rule all over Bengal. From the year 1204 till the British East Indies Company's Diwani gain of 561 years, a total of 76 sub-Bardars, Nazim, Raja and Nawab ruled Bengal. Meherpur was involved in the rule of all of them. Originally from this time, the spread of Islam in this region began in a big way. It is known that during the Sultani period, Meherpur was a very rich region. Several Auliya and Sufis came here to spread Islam in Meherpur in the fourteenth century (Aslam, 1999, p. 85).

Under the rule of Mughal Emperor Akbar, Bhawananda Mazumder (r) of Begone of Meherpur established a large dynasty. Which was established in the name of the "Nadia dynasty". The area that Nadia dynasty established the zamindari was known as "Nadia". At this time, the zamindari area of the state of Nadia was 3,151 square miles. Meherpur was one of the most important districts in the Nadia region. Meherpur has been ruled for a long time under the rule of King Krishna Chandra.

In 1757, Muslims defeated Mirzafar's betrayal with England in the Battle of Palashi. Due to the victory of the British in this war, Muslims' independence in Bengal was in disarray. In 1765, the East India Company was able to achieve the Diwani of Bengal, Bihar, and Orissa. At this time, Nadia and Meherpur went under the control of the English. 1857 Meherpur was established as Muquma. Being independent of Bengal in 1947, Meherpur subdivision was formed with Gangni and Meherpur Sadar (Bahauddin, 2019). On February 24, 1984, Meherpur got the status of the district. Although most of the information about the naming of Meherpur district is heard, the most accepted opinion is that the name of Islam preacher and Sufi Meher Ali was named after Meherpur. He was born in Yemen in 605. He received extensive knowledge in the Qur'an, Shariat, Hakikat, Hadith, Tasawuf, Tafsir and Fiqh. Then came the Indian subcontinent from Yemen to spread Islam. Hailing from India, he reached Meherpur in the year 1659. He came here and established a darbar. Besides, people are invited to the path of Islam. Many people came to his houses and many people adopted Islam. In Meherpur there



are various elements of Sufism found in historical and ancient places. Sufis sometimes built madrasas, mosques. At present, the Karmadi Gosainiddubi mosque, the shrine of Barkat Bibi Mazar, Baghul Pir has a Darga. Where tourists like to travel on different occasions.

Bagerhat District

The District of Bagerhat has been in Khulna Division. Its area: 3959.11 sq. km. Its boundaries are Gopalganj and Narail districts on the north, Bay of Bengal on the south, Gopalganj, Pirojpur and Barguna districts on the east, Khulna district on the west. Bagerhat district was formed in 1984. The old name of Bagerhat was Khalifatabad. People of non-Aryan people settled first in Bagerhat. These include Austric and Dravidian, and Mongolians from the Mediterranean Sea. Later this region was occupied by Buddhists for a long time. In the 13th century, this region came under the control of the Muslims. 1440 AD, Khan Jahan Ali, the prominent Sufi and Muslim religious preacher, came to rule the region as a representative of Gaur's sultans. There was a garden of the Prophet Preacher Khan Jahan Ali (r). That name was Bagicha. The word Bagicha is derived from Bagerhat. This idea is the highest acceptance. He established various madrasas and mosques and invited people to Islam. Many people took up Islam in his invitation. But some people think that Bagerhat was named according to the name of the Awgha Baqar of Barisal. Someone said that Bagerhat has been named according to the name of Bakir Khan (Morgan, 1997). There are many signs of Sufism in the district of Bagerhat; among them are the sixty-dome mosque, the Mazar of Khan Jahan Ali, Reza Khoda Mosque, Zinda Pir Mosque, the cold Peer Mosque, Singair Mosque, Bibi Puruni Mosque, Chunakhola Mosque, Nine Dome Mosque, Ranbijaypur Mosque and Ten Dome Mosque as well.

Jamalpur District

Jamalpur is the 20th District of Bangladesh. The geographical location of this district is very charming. Jamalpur is situated on the foothills of Garo Hills, which is remembered by Sufi saint Hazrat Shah Jamal (r). The district Jamalpur is in Mymensingh Division. The area of this district is 2031.98 sq. km. Located on the west bank of the ancient Brahmaputra River. Especially important is the trade center for agricultural products. Jamalpur is one of the main centers of imported goods and exports from India (Aslam 1997, p. 29). The country's largest fertilizer factory



is here. It has a boundary: the Meghalaya state of India, Kurigram and Sherpur districts on the north, Tangail district on the south, Mymensingh and Sherpur districts on the east, Jamuna River on the west and Bogra, Sirajganj and Gaibandha districts on the west. Among the Mymensingh Division, Jamalpur district is the sixth place and it is ranked 33rd among the 64 districts of Bangladesh.

Historical sources, it is known that during the reign of Emperor Akbar of Delhi (1556-1605) a missionary named Hazrat Shah Jamal (r) came to the region with 200 followers to propagate Islam from Yemen. Being fascinated by the natural beauty of this place, he established his own house on the bank of the Brahmaputra River. Later, as a religious leader, he quickly gained prominence. At that time, when his miracle reached Delhi, Emperor Akbar gave him Khankah Sharif. Later, the region was renamed “Jamalpur” to commemorate the fate of Shah Jamal. Hazrat Shah Jamal was a famous Sufi. Many people accepted Islam at his invitation. Jamalpur was declared as the 20th District of Bangladesh on 26 December 1978. In this district, there are many signs of Sufism. It is worth mentioning that the shrine of Hazrat Shah Jamal (r), the shrine of Hazrat Shah Kamal (r). There are so many religious institutions here - Mosque 4202, temple 44, church 39, and tomb 13. There is a very attractive place here which has been established by the Sufi-saints. The most well-known Shaikandha Jami Mosque, Gauripur Kachari Jami Mosque.

Shariatpur District

Shariatpur is one of the most important districts of Bangladesh. Shariatpur District is an administrative division of the Dhaka division. The area of this district is 1181.53 sq. km. it is located Munshiganj district on the north, a Barisal district on the south, Chandpur district on the east, Madaripur district on the west. It has a population 1082, 300; Male 543838, female 538462, Muslim 1041584, Hindu 40491, Buddhist 60, Christian 28 and others 137. Shariatpur district was formed on 1 March 1984. Shariatpur Municipality was formed in 1990. Nomination. The name of this district was named after the leader of the anti-British movement, Haji Shariat Ullah. It was first made on August 10, 1977, from subdivision and sub-division to district in 1984 (Moinuddin 2007, p.153).

Although it was established as a district in 1984, the area was first developed and progressed in all areas like the other regions of Bangladesh. This region was ruled by the various kings from ancient times. In ancient times, the area of Sha-



riatpur was under the rule of 'Vanga'. In the reign of the second Chandragupta (380 AD - 412 AD), in the book of Raghuvansha of the famous poet Kalidas, he called this region the island nation of the river Ganges. After the fall of the Gupta Empire from the Gupta era (4th century to 544 AD), between 615 and 620 AD, an independent king named 'Samachar' was ruled by this region. Renowned Chinese traveler Hiuen Tsang visited various regions of India between 630 and 643 when Harsavardhana was at the top of India's power (Moinuddin 2007, p.154). At that time, in his writings, it was also known that during the middle of the seventh century the 'Bang' was included in the empire of Harsavardhana. From 1080 BC to 1150 AD, the Hindu family called 'Barman' from Bikrampur in Dhaka ruled this region. Then began the rule of the Sean dynasty. Vijayasena, the third King of the Sena dynasty (1097-1160 BC) was the ruler of the Shariatpur region. King Lakshman was the ruler of the region until 1204. In that year, the Muslim commander, Ikhtiar Uddin Muhammad Bin Bakhtiyar Khilji attacked Bangla and captured the capital of the Sena kings, Nadia. As a result, the elderly king fled from the capital and had gone to Bikrampur in Dhaka. Later, his descendants ruled this region for several decades. Between 1206 and 1220, the king of Biswhoropsun ruled this region. By the middle of the thirteenth century, the Senas ruled without any restriction. Dasharathadevi is known as the last Hindu king who ruled south-eastern Bengal, including the Shariatpur area and after that, the region came under Muslim rule. In 1330, Muhammad bin Tughlaq occupied East Bengal and divided the region into three provinces. Lakhhanuti, Satgaon, and Sonargaon the governor of sonar gaon was Tatar Bahram Khan (Wise, 1884, p. 27).

During the reign of the Mughals (1576-1757), according to Akbar's order, in 1574, Muradkhan as commander started expediting in southeast Bengal. According to 'Akbar Nama', the commander captured Fatehabad (Faridpur) and Bakerganj. Mr. Murad Khan then went to Faridpur and died here after six years. Khan Khanpur, 13 miles away from Faridpur, was very likely his residence. Many times, Akbar, the Mughal Emperor of Delhi, sent a powerful army to occupy this region of Bengal. Nevertheless, during the time of Islam Khan (1608-1613), the governor of Bengal, his son, Jahangir, was originally the foundation of the Mughal rule in this country. During the time of Shaista Khan, this country was very peaceful and prosperous (Wise, 1884, p. 28). After the defeat of Sirajuddaula in the Battle of Plassey, in 1765, this district was brought under the administration of the East India Company. Dhaka Niyabat was formed with the Shariatpur and the southern part of Faridpur. Dhaka Niavat constituted a Naib Subadar as the center of Dhaka.



The leader of the indigo plant and feudalism was Haji Shariatullah. Besides, Haji Shariatullah, the pioneer of the Faraizi movement that took place in India, was one of the religious reformers and Sufi of that time. After returning to Meca in 1799, he returned to Bengal from 1818 AD and started reforming religion. They used to cooperate with the poor people. According to his name, the Shariatpur district under the Dhaka district was named after him (Ali, 1882, p. 183). Shariatpur district was earlier part of greater Bikrampur. In 1869, it was part of Bakerganj district for the convenience of administration. As Apurba Bangla is a Muslim majority area, the Muslim League's dominance in the province is more prominent. As a result, on 14th August 1947, it was formed for the Muslims of India's region and the western part of that time, the independent sovereign Pakistan. East Bengal became East Pakistan in East Pakistan from 14 August to 1947, until 15 December 1971, Shariatpur district was a part of Pakistan. Later, after the independence of Bengal, it was decided in 1976 that a new subdivision was formed with the eastern region of Madaripur. On 7th March 1983, the district was announced. At present, Shariatpur is a traditional district of Bangladesh (Ali, 1882, p. 183). There are many symbols of Sufism in this district. Burir hat's mosque is one of them. The location of this mosque is situated at the Burhi Hat Market in Shariatpur Bhedarganj Upazila. Almost a hundred years ago, the mosque, built is an amazing marking of Islamic architecture. Besides, there are Sureshwar Darbar Sharif (Mallick, 1966, p. 88).

Madaripur District

Madaripur District is an administrative division of the Dhaka division as well as the middle division of Bangladesh. Madaripur district was a historically rich populated town long ago. According to the 15th-century Sufi saint Hazrat Badiuddin Zinda Shah Mother (ra), Madaripur district was named after it. The area of this district is 1144.96 sq. km. it has situated Faridpur and Munshiganj districts on the north, Barisal and Gopalganj districts on the south, Shariatpur district on the east, Faridpur district on the west. In ancient times Madaripur was named after Idilpur. Idilpur was a developed hamlet in the state of Chandradvipa. The administrative name of this region was then navvomondol. Kotalipara was one of the centers of the civilization of Bengal. Eidilpur and Kotalipara were famous for trade and commerce in the fourth century AD. During the invasion of Alexander, the Great in India, the Gangesri tribe ruled independently in Kotalipara region



before 327 BC. Then this region (320-496AD) was under the Guptas. After the death of Shashanka, the independent ruler of Bengal, one hundred years (650-750 AD), the history of Bengal is known as “Matsayan”(Nujrul, 2003). In the year 750, Gopal was chosen as king. The Pala dynasty ruled Bengal from 750 to 1224 AD. Among the fifteenth century Pir-Auliyad, there were several names of Hazrat Bartrudin Shah Mother (RA). The name of the district is named after him. The ancient name of Madaripur was Idilpur. In 1984, Madaripur was recognized as the district (Ashok, 2011, p. 397).

Many Sufi-Saints came to this district. Some of the names mentioned are: renowned Sufi saint Shah Maadar (13-14th century), religious reformer and founder of the Faraizi movement, Haji Shariatullah (1780-1840), noted Urdu poet and writer Moulubi Abdul Jabbar Faridpuri (1801-1876); Pir Muhsinuddin Dudu Mia (1819-1862), renowned spiritual saint Sufi Amir Shah (d. 1944), eminent Islamic scholar and politician Aba Khaled Rashid Uddin (1884-1956). Currently, there are various Sufi monuments. For example, the shrine of Sufi Amir Shah (ra), Shah Mother (ra) Dargah Sharif (Ashok, 2011, p. 398).

Munshiganj District

Munshiganj is an administrative district of Dhaka division. The area of Munshiganj district is 954.96 sq. km. it is located Dhaka and Narayanganj districts north, Madaripur and Shariatpur districts on the south, Comilla and Chandpur districts on the east, Dhaka and Faridpur districts on the west. Munshiganj subdivision was turned into a district in 1984”(Nujrul, 2003).

During Mughal rule, Munshiganj’s name was Idrakpur. In the middle of the sixteenth century, the name of the faujdar was named Idrak. It is assumed that according to his name it was named Idrakpur. After the permanent settlement movement, the name of Munshi Enayet Ali’s zamindar of Kazi Kasba village of Rampal, Idrakpur was named after his Munshi name Munshiganj. According to many, during the Mughal rule, the name Munshiganj was named after the head of the Criminal Court of the area Haider Ali Munshi. The most notable thing is that Munshi Haider Hossain was in that Idrakpur village during the Mughal rule. He was appointed as the Chief of the law enforcement agencies of Bikrampur who was appointed to the Mughal rulers. The name of Idrakpur was changed to Munshiganj by the name of Munshi Haider Hossain, a high philanthropist, and saintly person (Ashok, 2011, p. 399-400). Munshiganj was undoubtedly the most important po-



litical center in ancient times. The region was the capital of the Chandra, Varman and Sen Kings from the beginning of the 10th century to the beginning of the thirteenth century. Later, it was upgraded to Munshiganj thana and sub-division for administrative convenience. On 1 March 1984, it was turned into Munshiganj district (Bahauddin, 2017, p. 7).

Mymensingh District

The district of Mymensingh is a vast area located in central Bangladesh. Mymensingh district was the largest district of Bangladesh in the year 1970. Mymensingh city, on the other hand, is one of the oldest cities in Bangladesh. The name of this city is also found in many ancient books of Bangla literature. The main part of Mymensingh's heritage is the Mymensingh Geetika which has been published as the compilation of ancient pundits and folk songs. Mymensingh here refers to the entire greater Mymensingh (present-day Mymensingh, Netrokona, Sherpur, Tangail, Jamalpur, Kishoreganj, and Gazipur district). The fourth-largest city in Bangladesh. This is one of the major cities of Bangladesh. It is located on the bank of the ancient Brahmaputra River in the center of the Mymensingh district.

Mymensingh district has an area of 4363.48 sq. km. it is located Garo Hills and the Meghalaya State of India on the north, Gazipur District on the south, Netrokona and Kishoreganj districts on the east and Sherpur, Jamalpur and Tangail districts on the west. There is a different connotation between the names of Mymensingh district and historians. In the sixteenth century, Syed Alauddin Hossain Shah was the independent sultan of Bengal (Bahauddin, 2017, p. 7). He was the son of Sharif Saeed Ashraful Hossaini Al Fatami Al Makki of Makkah. Syed Nasir Uddin, the son of Syed Alauddin Husain Shah, established a new state in the region for Nasrat Shah. The creation of Nasrat Shahi or Nasirabad from that name. Earlier, in the law-i-Akbari, there are written 'Mahmanshahi' and 'Mononningsh'. Later it became known as Mymensingh. Because of this, the name of Mymensingh was prevalent since the time of Emperor Akbar's reign. During the British period, the government took it when the rich zamindars or king of Mymensingh region requested to give the name of the district 'Mymensingh' to the government (Bahauddin, 2017, p. 7).

Many people think that Mymensingh is named after Man Singh Singh, the chief commander of Emperor Akbar. Sardar Man Singh sent the emperor Akbar to the region to defeat Isha Khan, the chief of Bhuiya. Sardar Man Singh established



bases in Mymensingh (Ashok, 2011, p. 399-400). The name of Nasirabad changed to Mymensingh due to a mistake. Why has changed the Nasirabad to Mymensingh? Bournalal and Company have ordered to buy some agricultural product and requested to this product will be going to the Nasirabad (Bangladesh) This material goes away to Rajputana (Rajasthan, India) at Nasirabad railway station. There is a lot of suffering in this. After further misunderstanding, the name of the railway station was changed to Mymensingh (Nujrul, 2003). However, Mymensingh city has many signs of Sufism. Among them are Bara Mosque, Bhati Kasha Mosque.

Faridpur District

Faridpur is an administrative division of the Dhaka division in the middle of Bangladesh. Its area is 2072.72 sq. km. It is located: Rajbari and Manikganj districts on the north, Gopalganj district on the south, Dhaka, Munshiganj and Madaripur districts on the east, Narail and Magura districts on the west. The district of Faridpur was established in 1815. Faridpur has been named after the renowned saint Sufi Shah Sheikh Fariduddin as well as disciple Khwaja Moinuddin Chishti (r). The name of this district was 'Fathabad'. Although Faridpur district was established in 1786, its name was Jalalpur and the head office was Dhaka (Bahauddin, 2017, p. 7). In 1807, it was divided from Dhaka Jalalpur and it was called Faridpur district and Head Quarter was established in Faridpur town. Goalanda, Faridpur Sadar, Madaripur and Gopalganj get the full district of Faridpur district with four sub-divisions. Now Faridpur district has been transformed into five districts of Faridpur, Rajbari, Gopalganj, Madaripur, and Shariatpur. This region is very well-known as the home of many saints and Sufis. Among the ancient mosques of this area are Gheda Mosque (1013H), Pathreel Masjid and Dighi (1493-1519 AD), Sattar Shahi Mosque (1519 AD) (Nujrul, 2003, p. 27).

Chandpur District

Chandpur District is an administrative division of the Chattogram division of the south-eastern region of Bangladesh. This district is in the confluence of Padma, Meghna, and Dakatia. People of Chandpur are famous for their hospitality. The area of this district is 1704.06 sq. km. it has located: Munshiganj and Comilla districts on the north, Noakhali, Laxmipur and Barisal districts on the south, Comilla district on the east, Meghna River, Shariatpur, and Munshiganj districts on the west. In 1878 the first Chandpur sub-division was formed. On 1 October 1896



Chandpur city was declared a municipality. Chandpur was introduced on 15 February 1984 as a district (Bahauddin, 2017, p. 7).

According to the name of Chand Fakir of Purnandpur Mahalla in Chandpur City (Kotalia) this region is named Chandpur. According to some, an administrator named Shah Ahmed Chandra came here from Delhi in the fifteenth century to establish a river port. Chandpur is named after him. Chandra was under the control of the zamindar Chandra of Bikrampur during the time of Bhuiyan. According to historian JM Sengupta, Chandpur is named after Chandpur. It is said that Chandpur (Kolalia) named after Chand Fakir of Purnandpur Mahalla is named after Chandpur (Nujrul, 2003, p. 29). Islamic Mysticism has a major effect in this famous region of Bangladesh. Besides, there are many previous signs too. Among them are Bakhtiyar Khan Mosque, Hajiganj Bara Mosque, Hazrat Shahrati (r) and Shastri of Raghu Mughal period and 3-domed Mosque.

Habiganj District

Habiganj district is in the Sylhet division. Its area: 2636.58 sq. km. it has located: Sunamganj district north, the Tripura state of India on the south, Moulvibazar and Sylhet districts on the east, Brahmanbaria, and Kishoreganj districts on the west. Recognizing the memory of Syed Nasiruddin (RA), a follower of Sufi saint Hazrat Shahjalal (RA), this region is known as Habiganj in present-day Sylhet district (Nujrul, 2003). On 1 March 1984, the historic old township was upgraded to Habiganj district. Founded Habiganj on the banks of the river Khoyi, Syed Habib Ullah established a ganj or market on the banks of Khoyi River. According to his name, it became Habiganj from time to time in Habibganj. Habiganj Subdivision was declared in 1867 during British rule and in 1878 Habiganj subdivision was formed. The last was upgraded to the district on 01 March 1984 (Bahauddin, 2017, p. 7).

Moulvibazar District

Moulvibazar district is situated in the northeast of the country, with great natural beauty. It is also an administrative area of Sylhet division. Moulvibazar Municipality is considered one of the most beautiful municipalities in Bangladesh. The area of this district is 2601.84 sq. km. it is located: Sylhet district on the north, the Tripura state of India on the south, Assam and Tripura states of India on the east, Habiganj district on the west. In 1810, on the bank of the Manu River, a



market was founded by the well-known Maulvi Syed Qudrat Ullah. Soon after the establishment of the market, there was an increase in the number of people in the market and the navigability of the land. Moulvibazar fame spread through the face of the buyers and sellers (Nujrul, 2003). Later, 1 April 1882, the South Shreehatta subdivision was established with 26 Parganas centered on the market established by Maulvi Syed Qudrat Ullah. In 1960, the subdivision was changed to Moulvibazar by the name of that southern Sylhet. On 22 February 1984 Moulvibazar Thana was upgraded to the district. Apart from this, other attractions of Moulvibazar district include Mazar Sharif of Hazrat Shah Mustafa (r:), Bangladesh Tea Research Institute, Natural Gas Transmission Plant (Bahauddin, 2017, p. 7).

Influence of Sufis on the Establishment of Bengali Civilization

Shah Sultan Maheshwar (r), who was the first of the Sufi in the 10th and 11th centuries before the emergence of Muslim power in Bengal who devoted himself to spread Islam in Bangladesh. His full name is Mir Shah Syed Sultan Mahmud Balkhi Maheshwar (r). His holy shrine was in Mahasthan of Bogra district in Bangladesh. He came to Bengal in 1047 AD. Mahasthan has been named as 'Mastanagar' or 'Mahasthan' instead of Pundravardhana due to Shah Sultan Balkhi Maheshwar and later many other shrines of the saints. Sufi Mahiswar crossed the sea by ship and came to Bengal to stand in Sandwip. After some time, he came to the city of Harirampur in Dhaka city. At that time, the Hindu king Balaram battled with him. He defeated the Hindu king Balaram. Hindu king's minister was fascinated by his miracle (Karamat) and accepted Islam. Then he went to Bogra to invite Islam. And another Hindu Raja Parshuram obstructed him (Hossain, 2003, p. 8.) Later, King Parshuram was involved in a war with Sufi Maheshwar and was killed in this war. Maheshwar defeated the tyrannical kings with his miraculous power and amazing combination of self-confidence and courage. His honesty, justice, and religiousness played a helpful role in the victory of Islam at Bogura in Bangladesh (Shahnawaz, 2007, p.7).

Shah Mohammad Sultan Rumi (r) was one of the Sufi-saint who came to Bengal from Iran. His holy shrine was located under the Madanpur union of Netrokona district. He came to Madanpur in 445 A H. (Bahauddin, 2017, p. 7.) According to Shashibhusan Dasgupta, he was the first Sufi in the entire Indian sub-continent. Around the shrine of Shah Sultan Rumi, there is also a Mazar of his companions in various places in the Madanpur area. This Sufi saint is immortal in this region. He



invited to Islam throughout his life. Every year, in the month of Falgun in Bangla year, a lot of followers are coming and pray him. And in this way millions of people from different places of the country are united. (Bahauddin, 2017, p. 7) Shah Jalal (r) occupied a prominent place among Sufi saints of Bangladesh. He came to Bengal in 1227 AD. Ibn Battuta came to Bengal in 1345 and met with Shahjalal. According to him, “Shahjalal was the greatest of his time. His contribution to the expansion of Islam in Bangladesh is incredible. He was once a missionary and a warrior. He was the first to proclaim Islam in East Bengal and West Assam in the 14th century. So, Muslims of Bengal still have respect for different Islamic programs in their honour (Ibn Battuta, 1992, p. 45). Hindu King Gaur Gobinda of Sylhet used to humiliate the people. Even a Muslim named Burhanuddin was harassed by the Sultan of Gaur. Later, the innocent Burhanuddin had gone to the New Delhi and met with Sultan Firoz Shah as well as he complained against the Hindu king about this issue. Sultan Firoz Shah Dehlavi had sent his representative Sikandar Ghazi to punishment to King Gaur Govind in Sylhet. At that time, Shah Jalal also participated in this war as the cooperative force of this army and defeated King Gaur Gobind. As a result, the king fled to other country. Sylhet was first conquered by the Muslims. Shah Jalal (r) spent the rest of his life in preaching Islam there. Ibn Battuta said that “the people of this hill country had embraced Islam from Shah Jalal and therefore he also lived among them.” (Ibn Battuta, 1992, p. 45).

Hazrat Syed Shah Makhdum Rupos, who is famous for spreading Islam in the northern region of Bangladesh, has been unforgettable. His holy shrine was situated on the north bank of the river Padma along the Rajshahi City in the Dargapara Mahalla. He came to Bengal during the reign of Sultan Hussein Shah (Hossain, 2003, p. 8). He took his stand against religious prejudice in the Muslim society at that time. And he called on people to Islam. Hazrat Khan Azam Khan Jahan Ali, who has been unmasked in history by making an unprecedented contribution to the spread of Islam especially in Khulna and Jessore areas of Bengal. Khan Jahan Ali (r), the descendant of Abdul Qadir Gilani, came in faraway Turkey to Delhi and later in Gaur. After coming to the Khulna in Bangladesh from Gaur in India only for inviting to the people in terms of Islam (Bahauddin, 2017, p. 7).

Hazrat Shah Sharif Zindani (r) in the Sundarbans province, Baba Adam (r) in Bogra province, Malma (r) on Sonargaw of Dhaka, Shahjalal and Shah Ali (r) in Dhaka region, Shah Afzal Mahmud (r) and Gazi Shah Makh Muhammad Bahadur (r) in Pabna district, Shah Muajam Danish (r) in Rajshahi region, Shah Adam Kashmeeri (r) and Shah Jamal (r) in Tangail region, Shahpur (r) and Qazi Mularji-



rjil (r) in Chattagram region, along with many other Sufis have played a great role in spreading Islam in Bangladesh. (Murshid. 1995, p. 117)

Some Sufi groups came to the Indian subcontinent before the advent of Muslim military power. They came to Bangladesh in that era. Despite the success of the first team and the expansion of the country, the infiltration of Sufis continued for centuries (Karim,1997, p. 84) During the Muslim rule, that type of government spread with the help of ruling power. In the Muslim era, Bengal was very well in contact with Sufi saints.

The influence of Islamic Mysticism on the beliefs, practices, songs, traditions, and ideas of the people of Bengal was actively and visibly felt from the beginning of the 13th century. Sufi activities were not static and limited but also played an important role in the spread of Islam. Islamic Mysticism had a great impact not only on a limited part of the population but also on overall society. The Bengal Sufis are renowned for their simplicity of life, their strength of character, their spirits dedicated to faith, and their peaceful efforts. In particular, the attention of most of the Sufis in North India and other foreign countries turned to Bengal. Several factors help the Sufi mission in Bengal to succeed:

- i. The first reason for the success of the Sufis in Bengal; their high endeavors, their kindness and their simple and at the same time admirable lives. They cut all kinds of worldly ties and avoided comfort and pleasure. They have dedicated their lives to Islam and the service of humanity.

Besides, the support of the Sultans under the auspices of the Sufis helped Bengal to succeed.

- ii. The religious and social conditions of the country helped them to spread their faith. Buddhism and Hinduism were the two leading religions of Bengal, but their moral degradation was at its peak. There was a distinction between people in society, but Islam offered people a golden opportunity to improve their social status. In this way, the Sufis were very successful.

The Sufis laid the foundation for harmony and peace. They established the equality of status, love, and brotherhood among the masses and taught people that they respected each other's religion, feelings and practices. Thus, Islamic



Mysticism became an influential element in society, and this was the contribution of Sufis to the improvement of society in Bangladesh.

Conclusion & Evaluation

Islamic Mysticism has unique general teaching of God's devotion as well as love for human communities. The Bengalis people accepted this theory and attracted to Islam more easily. The respect to Pir Auliya across Bangladesh is engulfed with our religious culture. There is no scope to deny the influence of Islamic Mysticism in the propagation of Islam in Bangladesh. The Sufis gave up the life of many of them for preaching Islam in this country. Many have been martyred in the hands of Hindu kings. Many were injured again. Their contribution to the spread of Islam in 64 districts of Bangladesh is much more. People of Bangladesh still remember them by various works. That is why the name of the main airport in Bangladesh has been named in the name of the Sufis. The countless universities of the country have been named after them. In addition to the names of the Sufis, countless hospitals, colleges, schools, madrasas, Maktabas, and mosques have been named. So, finally, the contribution of Islamic Mysticism in the long history of Bangladesh is undeniable. The history of Islam in Bangladesh is the history of Islamic Mysticism. Because, through Islamic Mysticism, Islam was proclaimed in this country, which is still present.

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Çar Rusya'sı Kanunnameleri Çerçevesinde 19. Yüzyıl Transkafkasya Müslümanlarının Din İşlerinin Yönetimi

Shahin Khanjanov*

Öz: On dokuzuncu yüzyılın başlarından itibaren Çar Rusyası yönetimine giren Azerbaycan, Gürcistan ve Ermenistan bölgelerini içerisine alan Transkafkasya bölgesi, her alanda Çar yönetiminin getirdiği hukuki, siyasi, iktisadi, dinî ve toplumsal dönüşüm politikalarının odağı hâline geldi. Bu dönüşüm politikalarından en fazla nasibini alanlar arasında Transkafkasyada yaşayan Müslüman nüfus ve onların din işlerinin yönetimi için kurulan “Din İşleri Kurumu” ön sıralarda yer almaktaydı. Daha çok, dinî ve hukuki dönüşüm politikalarından nasibini alan Müslüman din işleri kurumunun iç işleyişi, tüm görev ve sorumluluk alanları, yüzyıl içerisinde çıkarılan 1836, 1863, 1872, 1897, 1900 tarihli kanunnamelerle tanzim edildi. Çıkarılan kanunnamelerde en başta Şii ve Sünni ayrımı temel alınarak iki eşit hisseye bölünen din işleri kurumunun Şii bölümünün başçısına Şeyhülislam, Sünni bölümünün başçısına ise Müfti olarak hitap edilecekti. Kanunnamelerde, Müslüman nüfusun yönetimi için kurulan bu kurumun imtiyazları ve sorumluluklarına ilk başta yer verilmiş, kurumun iç işleyişi, kuruma atanacak memurlarda aranacak şartlar, şeriat mahkemelerinin işleyişinin kontrolü ve hüküm vermeye yetkili olduğu alanlar, kadıların tayini ve azli, kadıları denetleyici üst kurul olarak eyalet meclisleri, camiler ve görevlileri, vakıflar ve toplanan zekat ve hümus gelirlerinin idaresi ve Müslüman dinî okul ve medreselerinin yönetimi ve iç işleyişi gibi hususlar maddeler hâlinde ayrıntılı olarak tanzim edilmiştir. Makalemden öncelikle, Çar Rusya'sının Transkafkasya'yı işgali ve sonrasında bölgedeki Müslüman nüfusu yönetme adına izlediği politikalarla temas edilecek ve bu politikalar sonucu oluşturulan Din İşleri Kurumu'nun işleyişi, görev sahası ve etkileri, kuruma yönelik çıkarılan kanunnamelerden hareketle ele alınacaktır.

Anahtar Kelimeler: Transkafkasya Bölgesi, Transkafkasya Müslümanları, Çar Rusyası, Transkafkasya Müslümanları Din İşleri Kurumu, Çar Rusyası'nın Müslümanları Yönetme Politikaları.

* Uludağ Üniversitesi, Sosyal Bilimler Enstitüsü, Temel İslam Bilimleri, İslam Hukuku, Doktora Programı.
İletişim: sahin_xancanov@hotmail.com



Giriş

Güney Kafkasya, Maverai Kafkasya, Zakafkasya isimleri ile de anılan ve bugünkü Azerbaycan, Gürcistan ve Ermenistan bölgelerini kapsayan Transkafkasya bölgesi, (Jane, 2017, s. 314-315; Sapmaz, t. y, s. 21) 19. yüzyılın başlarından itibaren Çar Rusyası'nın bölgeyi işgali sonucu Rus yönetimine girdi. Rusların I. Petro zamanına kadar uzanan sıcak denizlere inme politikası (Keleş, 2009, s. 90) ve Bizans'ın yıkılışından sonra devraldığı Ortodoks Hristiyanlığının hamiliği rolüyle bölgedeki Hristiyanları, Müslüman Osmanlı ve Safeviler'in elinden kurtarma isteği¹, bölgenin işgalinde temel saikler olarak karşımıza çıkar. Kendilerine bir sorumluluk olarak gördükleri bu kutsal görevle Ruslar hem bölgedeki Ortodoksları korumakta hem de Hristiyan olmayan halklara medeniyet götürmekte ve refah sağlamakta olduklarını düşünüyorlardı. (Sapmaz, t. y. s. 23) Böylece 1801 yılında Gürcistan'ı ilhak ederek Transkafkasya'ya giren Rusya, "1828 Türkmençay Antlaşması"yla bölgede zaten pek siyasi gücü kalmayan İran'ı, "1829 Edirne Antlaşması"yla Osmanlı'yı bölgeden çıkararak Transkafkasya işgalini tamamlamıştır. Nadir Şah'ın öldürülmesinden sonra Azerbaycan'da ortaya çıkan "Hanlıklar"ın kendi aralarında siyasi birlik oluşturamamaları da işgali kolaylaştıran sebeplerden biri olmuştur. (Yeşilot, 2008, s. 187)

Fakat bölgeyi diğer büyük devletlerin nüfuz alanından kısa sürede çıkarmayı başaran Rusların iktidarı kurma işi, içeriden patlak veren halk ayaklanmaları ve kurtuluş mücadeleleri nedeniyle pek kolay olmamıştır. Bölgedeki Hristiyan halklar her ne kadar Rusları hamileri olarak görerek, onların gelişine pek ses çıkarmasalar da, çoğunluğu oluşturan Müslümanlar Rus işgaliyle kolay kolay barışmamışlardır. Bölgeye, İslam'ın ikinci halifesi Hz. Ömer döneminden itibaren giren İslam dini, bin yılı aşkın bir süre bölgenin hâkim dini konumundaydı (Hasanov, 2011, s. 18). Transkafkasya'da bulunan Gürcüler ve o zaman sayıları az olan Ermeniler hariç, çoğunluk Müslüman Azerbaycan Türkleri ve diğer Müslüman halklardan müteşekkildi. Nitekim, Müslümanlık bu toplulukların Rus işgaline karşı direnişinde birleştirici unsur olarak ortaya çıkmıştır (Sapmaz, t. y, s. 26). İmam Mansur ve Şeyh Şamil öncülüklerinde Kuzey Kafkasya'da Ruslara karşı başlatılan ve 1859 yılına kadar 25 yıl süren "Müridizm Hareketi" Azerbaycan'dan da pek çok taraftar bulmuş ve Ruslara karşı başlatılan halk ayaklanmalarında temel etkenlerden biri

1 Nitekim Kafkasya bölgesi üzerinde, 16. Yüzyılın başlarından 19. yüzyılda Rusların gelişine kadar uzun süren Osmanlı-İran arası nüfuz mücadelesi devam etmiştir (bkz: Özer Küpeli, (2015).



olmuştur (Hüseynov, 2007, s. 46). Örneğin, 1837 yılında 12 bin kişinin katılımıyla gerçekleşen en büyük ayaklanmalardan biri olan “Kuba isyanı” doğrudan Şeyh Şamil’in hareketiyle ilişkili olarak “kafirlerle savaş” sloganıyla gerçekleşmişti (Hasanov, 2011, s. 29). Azerbaycanlı Müslüman din adamları da bu mücadelelerde ön sıralarda yerlerini almışlardır.

İşte bölgedeki temel birleştirici ve harekete geçirici unsur olarak Müslümanlığın ve onları temsilen din adamlarının etkisini kısa sürede fark eden Rus rejimi, bölgede kalıcı olma adına Müslümanlığın ve din adamlarının etkisini kırmak için farklı politikalar izleme yoluna gitti.

Çar Rusya'sının, Transkafkasya Müslümanları Din İşlerinin Yönetimine İlişkin Politikaları

Rus işgali öncesinde Müslümanların yoğun yaşadığı Azerbaycan ve şimdiki Ermenistan bölgelerinde siyasi erki ellerinde bulunduran Hanlıkların yönetim sisteminde, din adamları devletin ve toplumun tüm kademelerinde etkin rollere sahiptiler. Eğitim ve hukuk alanı büyük ölçüde din adamlarının yönetimindeydi. Hukuk olarak İslam Hukuku ve yerel örfi uygulamalarla yönetilen Hanlıklar'da şeriat mahkemeleri, siyasi iktidardan önemli ölçüde bağımsız idiler (Hasanov, 2011, s. 21). Şeriat mahkemeleri, bütün dinî-dünyevi meselelerde, ticari muameleler, alış-veriş, icare, toprak hukuku, borç ilişkileri, vergi, maliye, aile hukuku, ceza hukuku, toplumsal ahlak konularında karar mercii konumunda bulunuyorlardı (Petruşevskiy, 1966, s. 146-47). Bazen Hristiyanların bile şeriat mahkemelerine başvuru yaptıklarına dair tarihi kayıtlar, söz konusu mahkemelerin ve İslam din adamlarının o dönemlerde büyük nüfuza sahip olduklarını kanıtlar mahiyettedir (Hüseynli, 2002, s. 17).

Böyle geniş yetkilere ve Müslüman halk üzerinde büyük nüfuza sahip din adamları sınıfı, bölgeyi işgal eden Rusya'nın kısa sürede dikkatini üzerine çekmişti. Rus işgaline karşı girişilen mücadeleler ve ayaklanmalarda din adamlarının ön saflarda yer almaları da, onların Ruslara karşı tavırlarını belli etmişti. Bölgede iktidarı güçlendirme ve kalıcı olma hesapları yapan Rusların, din adamlarını göz ardı ederek herhangi kalıcı bir başarıya ulaşmaları mümkün görünmüyordu. O hâlde işgalden sonra Ruslar, din adamlarına yönelik hareket planlarını oluşturmakta geç kalmadılar. Başlıca hedef, din adamlarının yetkilerini ve özerkliklerini ortadan kaldırmak, halk üzerindeki nüfuzlarını kırmak, İslam hukukunun ve Şeriat Mahkemelerinin yetki alanlarının sınırlandırılarak, yerlerine Rus kanunlarını ika-



me etmek, Osmanlı, İran ve diğer Müslüman coğrafyalarla irtibatlarını kesmek ve ekonomik açıdan onları zayıflatma amacıyla, vakıf ve dini vergi gelirlerini ortadan kaldırarak onları maaşlı birer devlet memuru hâline getirmektir (Hüseyinli, 2002, s. 25).

Böylece planlarını hayata geçirmeye koyulan Rusların, ilk yıllarda Müslüman din adamlarına karşı uyguladıkları sert siyaseti sonucunda, din adamları asırlardır sahip oldukları siyasi, adli yetkilerin çoğunu kaybettiler (Hüseyinli, 2002, s. 24). İlk işgal yıllarından 1840'lı yıllara kadar devam eden bu katı sert politika, Çar'ın bölge yönetimine getirdiği askeri subaylar tarafından uygulandı. Amaç kısa yoldan baskıyla din adamları sınıfını ortadan kaldırmak, İslam dinini yok ederek halkı hızlıca Hristiyanlaştırılmak ve Ruslaştırılmak idi. (Kolonialnaya Politika, 1936, s. 292-93) Bu sert politika bölgede yetkili subaylar ve bazı senatörlerce desteklenerek 1840'lı yıllara kadar sürdürüldü. Bölge Müslümanları arasında huzursuzluğa, göçlere ve art arda ayaklanmalara ve din adamlarının sert tepkilerine yol açan ve onların dışarıdan Osmanlı, İran ve Dağıstan'daki Müridizm hareketinden yardım dilemelerine sebebiyet veren bu politikanın yanlışlığı ve başarısızlığı Çar memurlarınca farkedilince, metot olarak farklı politika izlemeye karar verildi (Hasanov, 2011, s. 29).

Askeri yönetimce tatbik edilen sert politikalar başarıya ulaşamayınca, Rus hükümeti, 1840'lı yıllarda askeri rejime son vererek bölgede sivil, yönetim tesis etti. Yeni yönetim eski sert politika yerine din adamlarına yönelik daha uzlaşmacı görünen, siyasi, pragmatik ve uzun süreçte onların etkilerini kırarak bir politika izlemeye karar verdi² (Hasanov, 2011, s. 34-35).

Askeri yönetimce tatbik edilen sert politika her ne kadar din adamlarını görünürde tüm idari yetkilerinden alıkoymuş olsada, onların halk üzerindeki nüfuzunu hiç azaltmamış, aksine daha da artırmıştı. Müslüman halk din adamları öncülü-

2 Aslında Müslümanlara ve din adamlarına yönelik bu iki türlü (sert ve yumuşak) politika Çar Rusyası tarafından eskiden de uygulanmıştı. Rusya'nın daha önce 16. yüzyılın ortalarında işgal ettiği Kazan ve Heşterhan hanlıklarında yaşayan Müslüman nüfus benzer politikalarla maruz kalmıştı. İlk işgal yıllarından 18. yüzyılın ortalarına kadar Müslüman halk üzerinde sert Hristiyanlaştırma ve Ruslaştırma politikaları tatbik eden yönetim, kısmen başarı elde etse de istediği sonucu alamamıştı. 18. yüzyılın sonlarına doğru Çariçe II. Yekatarina sert politika yerine daha yumuşak politika izlemeye karar vererek, din adamlarını kendi tarafına çekmek, Çar rejimine sadık din adamları sınıfı oluşturmak ve böylece bölgede kalıcı bir istikrar sağlamak adına Ufa ve Kazakistan bölgelerinde din adamları yetiştirme adıyla medreseler ve mescidler inşa ettirmişti. (Gurbanov, s. 44; Boyunağa, 1985, s. 444)



günde isyanlara, ayaklanmalara katılmaktaydı. Bunu farkedenden yeni yönetim, din adamlarına yönelik izleyeceği yumuşak politikayla Çar Rusya'sına sadık,³ özerk bir din adamları sınıfı oluşturarak, Müslümanları Osmanlı ve İran din adamları ve dinî merkezlerinin etkisinden kurtarmak ve Müridizm hareketinin istiklal mücadelesinden uzaklaştırmak, Müslümanlara din adamları yoluyla söz dinletmek ve din adamlarını kendilerine bağlayarak onların Müslümanlardaki nüfuzunu kırmak adına "Transkafkasya Şeyhülislamlığı ve Müftülüğü" görevlerinin tesis edilmesini kararlaştırdı. (Hüseyinli, 2002, s. 23) Böylece ilk olarak 1823 yılında Şiilerin din işleri başkanı olarak Kafkaz Şeyhülislamlığı ve 1832 yılında da Sünnilerin din işlerinin yönetimi için Müftülük görevleri tesis edildi (Ehedov, 1991, s. 54). Fakat her iki başkanlık için resmî bir kurumun tesisi 1872 yılına kadar gecikti (Hasanov, 2011, 35). Bu yıla kadar kurulacak olan kurumun statüsü, iç işleyişi, görevleri ile ilgili birçok öneri dile getirildi ise de kabul görmedi. Sonunda Çar I. Aleksandr'ın 5 Nisan 1872 tarihli resmî fermarıyla Güney Kafkasya'da Müslümanların iki dinî kurumu: Şiiler için Şeyhülislamlık, Sünniler için Müftülük kurumları resmen kurulmuş oldu (Hüseyinli, 2002, s. 109). Bilinçli olarak mezhep ayrılığının devamı ve Müslüman birliğinin engellenmesi amacıyla hem Şiilere hem de Sünnilere ayrı ayrı kurumlar oluşturulmuştu. Böylece Rusya, Transkafkasya'da yaşayan Müslümanları, kurmuş olduğu yeni dinî kurumlara bağlayarak onlara, diğer Müslüman devletlerden ayrı, özerk bir hüviyet kazandırmayı amaçlamış ve onları dış etkilere uzaklaştırarak daha kolay kontrol etmeyi amaçlamıştı (Hasanov, 2011, 38).

1832 yılından itibaren tesis edilen ve 1872 yılında resmî kurumlar olarak devlet sistemi içerisinde yerlerini alan Şeyhülislamlık ve Müftülük müesseselerinin iç işleyişi, görevleri ve statüsü ile ilgili Çar yönetimi aralıklarla kanunnameler çıkarmış ve maddeler hâlinde kurumlara dair tüm detayları vuzuha kavuşturmuştur. Biz bundan sonra söz konusu kanunnamelerden hareket edecek ve Çar Rusya'sının bu kurumlar üzerinden Transkafkasya din adamları ve Müslüman halkın yönetimine dair ne tür politikalar takip ettiğini ortaya koymaya çalışacağız. Elimizde Çar

- 3 Rus Sömürge yöneticileri, hem din alanında, hem de idari, iktisadi alanlarda kendilerine sadık yerli idarecilerin yetiştirilmesi konusuna önem veriyorlardı. 1845 yılında Kafkas komisyonu başkanı A. İ. Çernişev, bölgenin yönetimi konusunda Çar'a yönelttiği önergede, Fransız Müstemlekecilerin Cezayir'deki yönetim metotlarından istifade edilebileceğini vurguluyordu. Önergede Fransızların Cezayir'i yerli, Fransa'da eğitim alıp ülkelerine gönen sadık idareciler vasıtasıyla yönetmeye üstünlük verdikleri ve kendilerinin de böyle bir sistem geliştirmeleri gerektiği ifade edilmekteydi (Haydar Hüseyinov, 1991, s. 49; Kolonialnaya Politika, s. 289).



Rusya'sının Transkafkasya Din işlerinin yönetimine dair çıkardığı 5 kanunname ve talimat mevcuttur. Bunlar: 1836, 1863, 1872, 1897 ve 1900 tarihli kanunnamelerdir. Bakü Devlet Üniversitesi hocalarından Profesör Anar İsgenderov ve Adil Mövlayi, birlikte kaleme aldıkları *Şeyhulislamlığın Tarihi* isimli kitaplarında söz konusu kanunnamelerin transkripsiyon metinlerini yayınlamışlardır. Ben de makalemde kanunnameleri, ismi geçen kaynaktan hareketle inceleyeceğim.

Çar Kanunnameleri Çerçevesinde Şeyhulislamlık ve Müftülük Kurumlarının Yapısı, İşleyişi, Görevleri ve Sorumluluk Alanları

Elimizde bulunan 5 adet kanunname ve talimattan 1836 ve 1863 tarihli olanları Şeyhulislamlık ve Müftülük kurumlarının resmî olarak kurumsallaşmasından⁴ önceki tarihlere tekabül ettikleri için tam anlamıyla kapsamlı birer kanunname hüviyetine sahip değildir. Söz konusu kanunnameler, daha sonraki devirde kapsamlı bir biçimde çıkarılan kanunnamelerin ilkel örnekleri olarak kabul edebileceğimiz yapısal özellikler taşırlar. Her iki kurumun yapısı, işleyişi, görev ve sorumlukları ve alt birimlerine dair ayrıntılı maddeler içeren kanunnameler ise kurumların resmen tesisine tekabül eden 1872 yılından itibaren çıkarılmaya başlanmıştır. Bunlar içerisinde en kapsamlı ve belirleyici kanunname 1872 yılında çıkarılan kanunname⁵. Biz de yazımızda söz konusu kanunnameyi esas kabul edecek ve diğer kanunnamelere de gerekli yerlerde temas edeceğiz.

Transkafkasya Şeyhulislamlık ve Müftülük Kurumlarının Yapısı ve İşleyişi

Transkafkasya bölgesinin din işlerinin yönetimini üstlenen bu kurumlarda hiyerarşik olarak başta Şeyhulislam ve Müftü bulunur. Şeyhulislam, Şii din işleri kurumunun başkanı, Müftü ise Sünnilerin din işleri başkanı olarak görevlerini yürütürler. Her iki görevin tesisine dair çıkarılan 1836 tarihli ilk talimatta bu isimler farklılık arz etmekteydi. Nitekim orda Şii din işleri başkanına Müctehid, Sünni

4 Her iki kurumun 1823 ve 1836 yıllarında tesis edilmelerine rağmen, resmî bir kurum hâlinde tanzim edilmelerinin 1872 tarihinde gerçekleştiğine geride temas edilmişti.

5 Hem Şiilerin dinî kurumu olan Şeyhulislamlık, hem de Sünnilerin din işleri kurumu Müftülük için 1872 yılında iki ayrı kanunname çıkarılmıştır. Fakat isim ve ünvan farklarından başka her iki kanunnamelerin tüm maddeleri aynıdır. Bizde bundan dolayı her iki kanunnameyi tek kanunname gibi kabul ederek yazımızı oluşturduk.



din işleri başkanına Şeyhülislam olarak hitap edilmekteydi (İsgenderov, Mövlayi, 2016, s. 271). Fakat 1872 yılına geldiğimizde yukarıda ifade ettiğimiz şekilde isimlerin değişim geçirdiği, yani “Müctehid” ünvanının kalkarak, Şeyhülislam isminin Şii din işleri başkanına geçtiği ve Sünni din işleri başkanına “Müftü” olarak hitap edildiği görülmektedir.

Birbirlerinden bağımsız iki kurumun başkanları olarak Şeyhülislam ve Müftüye bağlı yerel bölgelerde kadılar, “bölge meclisleri” adı altında meclisler oluşturarak, yerel bazda din işlerini ve şeriat mahkemelerini idare eder ve tâbi oldukları Şeyhülislamlık ve Müftülük kurumlarına, aldıkları kararları ve diğer yükümlülükleri yerine getirdiklerine dair rapor hâlinde bilgi verirler. Her iki kurum, Çar Rusya'sının Transkafkasya bölgesini yönettiği ana merkez olan Tiflis şehrinde bulunuyordu.

Yerel bölgelerde din işlerinden sorumlu görevliler olan kadılar, hem şeriat mahkemeleri ve bölge meclislerini yönetmekte, hem de dinî vergilerin toplanması, kontrolü ve dağıtımı görevi ile vakıfların idaresi vazifesini üstlenmişlerdi. Yerel alt grup din adamları sınıfını teşkil eden cami imamları, mollalar ve medrese hocaları da kadılara bağlı olarak görevlerini icra ediyorlardı⁶ (İsgenderov, Mövlayi, 2016, s. 348-354). Her iki din işleri kurumunda görev almak için Rusya vatandaşı olmak, kurumun düzenlediği sınavlardan geçmek ve herhangi bir suçtan sabıkalı olmamak gerekiyordu. Rus hükümeti, oluşturduğu din işleri kurumlarıyla ve getirdiği din adamları tespit sınavıyla eskiden beri devam eden İslami bir teamülü de kaldırmaktaydı. Şöyle ki, Müslüman dünyada her dönemde din adamı ve İslam âlimi olmak için devletin onayına değil, Müslüman kamuoyunun ve ulema sınıfının hüsnü kabulüne ihtiyaç duyulurdu. Fakat dinî alanı ve din adamları sınıfını tamamen kontrolüne almak isteyen Çar Hükümeti, kendi belirlediği kurallar dışında kalan tüm dinî alanı ve din adamlarını itibarsızlaştırma ve yok sayma yolunu seçmişti. Bu husus 1863 tarihli talimatın 6. maddesinde şu şekilde ifade edilmişti: “Transkafkasya bölgesinde kimse kendi başına, dinî bilgisi ne kadar fazla olursa olsun, kendini din adamı ve molla olarak isimlendiremez. Yukarıda açıklandığı gibi tespit edilmiş kurallar üzere sınavdan geçinceye ve Şeyhülislam ve Müftü'nün onayı alınıncaya kadar hiçbir dinî görevi yerine getiremez” (İsgenderov, Mövlayi, 2016, s. 306).

6 1836 tarihli ilk kararnamede kadıların yerine, hatta onların da üzerinde tüm kontrol işleri ve din işlerinin yürütmesinden sorumlu olarak “Emir-marufar” adıyla Şeyhülislam ve Müftü'ye bağlı bir ara gruptan bahsedilmektedir. Fakat 1863 tarihli kararnamede bu gruba hiç temas edilmemiş ve 1872 tarihli esas kanunnameyle bu sınıf aradan kalkarak tüm yerel din işlerinin kontrol ve yürütme görevleri kadılara verilmiştir. bkz: (İsgenderov, Mövlayi, 2016, s. 278-284).



Kurumlarda göreve kabul alan herkes, işine başlamadan önce Çar'a sadakat yemini etme ve görevlerini kusursuz biçimde yerine getireceğine dair söz vermekle yükümlüydü. 1897 ve 1900 tarihli kanunnamelerde yurtdışında dinî eğitim görmüş kimselerin de hernangi bir dinî görev üstlenmesi yasaklanıyordu (İsgenderov, Mövlayi, 2016, s. 399, 424). İnceleyeceğimiz tüm kanunnamelerde en çok vurgulanan hususlardan birisi, Müslümanların ve din adamlarının hiçbir surette dışarı ile ilişkiler kurmalarına izin vermemek ve buna yönelik yaptırımlar ve cezalar tespit etmekten ibaretti. Çar hükümeti bu şekilde bölgedeki Müslüman halkla asırlardır güçlü bağlara sahip Osmanlı ve İran Müslümanlarını koparmak, onların etkisini kırmak ve özellikle kuzeyde hükümet için büyük sorun teşkil eden Müridizm hareketinden bölge Müslümanlarını uzak tutmaktı. Yurtdışıyla ilişkiler ve gidiş-geliş yasakları tüm din adamlarını kapsadığı gibi halkı da bazı konularda sınırlandırmaktaydı. Örneğin 1897 tarihli kanunname, Transkafkasya bölgesinden kızların, Osmanlı ve İran vatandaşı erkeklerle evlenmeleri vali iznine bağlanmıştı (İsgenderov, Mövlayi, 2016, s. 404).

İlk kararname örneği sayılan 1836 tarihli talimatın 47. maddesinde Müslüman din adamlarının, Gürcüstan'daki baş hakimden, Şeyhülislam ve Müftü'nün ise Çar'dan özel izin almadan yurtdışına gitmesi yasaktı (İsgenderov, Mövlayi, 2016, s. 276). 1863 tarihli Şeyhülislam ve Müftülüğe gönderilmiş 40 maddelik çeşitli konuları içeren talimat, sanki özellikle yurtdışı konularını düzenlemek için tertip edilmişti. Talimatta peş-peşe birkaç maddede bu husus, üzerine vurgu yapılarak belirtilmekteydi. Muhtemelen bunda, o yıllarda Müridizm hareketinin bölgedeki Sünniler üzerinde etkisinin artmasının rolü vardır. Bunu, yurtdışı ile ilgili düzenlenen maddelerde özellikle Sünnilere hitap edilmesinden daha iyi anlıyoruz. Geride de ifade edildiği üzere Kuzey Kafkasya merkezli Müridizm hareketi, bölgeye komşu olan Kuzey Azerbaycan'da yaşayan Sünni kesimden büyük destek görüyordu. Bu etkiyi ve ilişkiyi kırmak adına yönetim, bahsi geçen talimatta ciddi biçimde Şeyhülislam ve Müftü'den Müslüman halkı bu konuda uyarmalarını talep etmekteydi. Maddelerde belirtildiği üzere, bölgede yaşayan Sünniler, hiçbir şekilde yabancı devletlerin din adamlarına bağlı olamazlar ve dinî konularda onlarla herhangi bir ilişki kuramazlar ve mali yardım gönderemezler. Tüm dinî konularda bölge Sünnileri, Rus hükümeti tarafından onaylanmış din işleri kurumuna bağlıdır. Yabancı din adamları hiçbir durumda bölge Müslümanlarının dinî işlerine karışamaz, kadı ve molla olamaz ve dinî mekteplerde hocalık yapamazlar. Yurtdışında dinî eğitim alanların diplomaları geçersizdir. Müftü yabancı din adamlarının hâl ve hareketlerini gözetlemeli, şüpheli gördüğü durumlarda onların sınırdışı edilmeleri için hükümet görevlilerine müracaat etmelidir (İsgenderov, Mövlayi, 2016, s. 299-302).



Transkafkasya Din İşleri Görevlilerine Tanınmış Haklar ve İmtiyazlar

Yukarıda temas edildiği üzere Çar Rusya'sı izlediği yeni yumuşak siyasi politikayla yönetime sadık, kendi tespit ettiği sınavlardan geçen, devlet memuru statüsünde, dıştan bağımsız bir din adamları sınıfı oluşturmayı hedeflemekteydi. Bunun için tesis ettiği Şeyhülislamlık ve Müftülük kurumları çalışanlarına önemli bazı hak ve imtiyazlar tanıdı ve iyi hizmet etme karşılığı ödüller vadetti. Bunlar içerisinde en önemlisi, tüm din görevlileri ve onların aile ve çocuklarına tanınan bütün vergilerden muafiyet hakkı idi (İsgenderov, Mövlayi, 2016, s. 353).

Kanunnamelerin Şeyhülislamlık ve Müftülük Kurumlarına Yüklediği Görev ve Sorumluluklar

1872 tarihli esas kanunnamenin konuyla ilgili ilk maddesinde, din görevlilerinin en önemli sorumlulukları olarak, Müslüman halka, Çar hazretlerine sarsılmaz sadakat ve mevcut hükümete itaat telkin etmeleri hususu yer alır. Çarizmin Müslümanlar ve din adamları üzerinde manevi baskı kurma, onları Çar hükümetine bağlayarak diğer Müslüman ülkelerden koparma politikasının bir sonucu olarak bu husus hem kanunnamelerde sıkça vurgulanmış, hem de yerel memurlar ve valilerce Müslüman din adamları ve halkı rencide etme adına özellikle kullanılmıştır. Örneğin bazı yerel valiler, Rusya-Osmanlı ve Rusya-İran savaşlarında, Hristiyan Rusyası'nın, Müslüman devletler üzerinde en küçük galabesini bile, Müslümanların camilerde kutlamalarını ve onlardan Rus askerlerine ve imparatora dualar yapmalarını talep etmekteydiler (Hüseynli, 2002, s. 24). Gürcistan valisi Vasilevski, Rus ordularının zaferleri ile ilgili aldığı her "güzel haber"den dolayı Şeyhülislam Molla Muhammed Ali Salyanski'ye tebrik mektupları gönderiyordu. Onun 1827 tarihli bir mektubunda şöyle deniliyordu: "İrevan'ın alınması sebebiyle sizi tebrik ederim. Rus askerinin silahının kudreti için yarın camide dua okumanızı rica ederim" (Hüseynli, 2002, s. 24).

Kanunname ve talimatlarda özellikle din görevlilerinden Müslüman halka, Çar ve Rus hükümetine sadakat, itaat hususunu telkin etmeleri sık sık istenmekte ve hatta Çar'ın, onun karısının, tahta geçecek veliahtın tüm özel günleri ve devletin tüm önemli günlerinde Müslümanların mescitlere davet edilerek bu günleri kutlamaları istenmektedir. 1863 tarihli talimatta kutlanılması talep edilen hem Çar'ın, hem de eşinin ve veliaht oğlunun tüm özel günlerinin tarihleri verilmekte ve özellikle Transkafkasya işgalinin yıldönümü olan 26 Ağustos'un büyük coşkuyla kutlanması istenmektedir. Bu husus 1863 tarihli talimatın 33 maddesinde şu şekilde yer alır:



“Hükümet tarafından Şeyhülislam’a verilmiş talimata esasen, Transkafkasya bölgesinin tüm görevli kadılarına emredilsin ki, onlar Büyük İmparator Aleksandr Nikolayeviç’in tüm özel günlerinde, özellikle doğum gününde, tahta çıkma ve taç takma günlerinde, Kraliçe Mariya Aleksandrovna’nın ve imparatorun veliahtı ek-selansları Nikolay Aleksandroviç’in doğum günlerinde ve Transkafkasya’nın istilas-ı gününde, Müslümanları camilere davet etmeli, camilerde Yüce Allah’a hamd-ü senadan sonra, büyük imparatora, kraliçeye, veliaht hazretlerine ve bölge valisi Mihail Nikolayeviç’e aşağıda verilen metin üzere sıhhat ve uzunömürlülük duaları okumalıdır!”⁷ (İsgenderov, Mövlayı, 2016, s. 320).

Şeyhülislamlık ve Müftülük kurumlarının diğer görevleri maddeler hâlinde şu şekilde özetlenebilir:

1. Onlara tabii “bölge meclisleri”nin kararlarına ilişkin şikâyetlere bakılması, şikâyet yapılması durumunda, kadıların şer’i mahkemelerde verdikleri kararlar için temyiz mahkemesi rolüyle hükümlerin tekrar incelenmesi, din görevlilerinin görevlerini yaparken yol verdikleri suç, hata ve haksızlıklar ile ilgili tedbir almak, ilgili kurumlara malumat vermek ve suçluların muhakemesi için onları polise teslim etmek. Din işleri kurumu ve ona bağlı şer’i mahkemeler, Çar öncesi dönemlerde devletin bütün hukuki alanlarını kontrol ederken, Çar yönetimi, şer’i mahkemelerin görev alanını sınırlandırmış, sadece evlenme-boşanma, ibadetler, miras hukuku, vasiyet ve gönüllü barışık anlaşmaları yapma yetkileri ellerinde bırakılmıştı. Bu alanlar dışında kadılar diğer hukuki alanlarla ilgili davalara bakma yetkisine sahip değillerdi. Kendi yetkilerine bırakılan alanlarda da eğer ceza terettüp edecek bir olay vuku bulmuşsa, dava onların sorumluluk alanından çıkarak devlet mahkemelerine intikal ederdi (Esadze, 1907, s. 147-148).
- 7 Maddeye ek olarak konulan notta kutlanacak özel günlerin tarihleri verilmiş ve yapılacak duanın metnine yer verilmiştir. 17 Nisan= İmparatorun doğum günü, 30 Ağustos= Tahta çıkma günü, 19 Şubat= Tac takma merasimi; 27 Temmuz= Kraliçenin doğum günü; 8 Eylül= Veliahtın doğum günü; 26 Ağustos= Transkafkasya’nın işgal yıldönümü.
- Yapılacak duanın metni: “Allah’ım! Bizim kutsal, güçlü, adaletli ve merhametli hükümdarımız İmparator Aleksandr Nikolayeviç’e, onun muhterem karısı kraliçemiz Mariya Aleksandrovna’ya, imparatorun veliahtı Nikolay Aleksandroviç’e, onun kardeşi, hamimiz, Kafkas’ın valisi Mihail Nikolayeviç’e ve kutsal Çar evinin tüm aile fertlerine sağlık, uzun ve mutlu hayat bahşet ve Rusya devletini güçlendir. Allah’ım! Bizim hükümdarımızın, İmparator hazretlerinin silahına galebe bahşet, onu düşmanlarını sars, ordularını daim müzaffer kıl ve onun büyük imparatorluğunu her türlü bela ve musibetlerden koru! Amin!” (İsgenderov, Mövlayı, 2016, s. 320).



2. “Bölge meclisleri”nin, cami görevlileri, işten çıkanlar ve işe kabul alanlar, onların durumları, camilere bağlı medreselerin durumu, kurumlara ait emlak ve vakıflar, her bir köyde yaşayan Müslüman halkın nüfus sayımı ve evlenenler ve boşananlar hakkında oluşturdukları kapsamlı listelerin üst devlet makamlarına teslim edilmesi.
3. Medreseler ve dinî okulların eğitim programlarının hazırlanması.
4. Dinî eğitim görmüş kimselere, din adamı unvanları olan “ahund” ve “efendi” unvanlarının verilmesi için sınavlar düzenlemek.
5. Ürt makamlarca din işleri kurumlarının istişaresine verilecek bütün meseleleri araştırmak.

Sonuç

Sonuç olarak ifade etmek gerekirse, Çar Rusyası 19. asrın başlarından itibaren girdiği Transkafkasya bölgesinde kalıcı olma, sömürge planlarını hayata geçirme adına, farklı politikalar izlemiş ve bölgede çoğunluğu oluşturan Müslüman halk üzerinde nüfuz bakımından büyük güce sahip din adamları sınıfı da bu politikarlardan kendi nasibini almıştır. İşgalin ilk yıllarında yıldırma, yok etme ve zorla Hristiyanlaştırma amaçlı sert politikalar başarı getirmeyince, Rus yöneticiler daha yumuşak, pragmatik ve uzun vadede sonuç verecek yeni bir politik hattı takip etmeye karar verdiler. Bu politik hattın amacı, bölgede Çar yönetimine sadık, rejim tarafından yetiştirilen ve kontrol edilen yeni bir din adamları sınıfı oluşturmaktır. Böylece yönetim, bölge Müslümanlarına, yetiştirdiği din adamları vasıtasıyla söz geçirecek ve dış devletlerin propaganda ve dinî telkinlerinden onları uzakta tutmayı başaracaktı. Bu amaçla, 1823 ve 1832 yıllarında tesis edilen Şeyhülislam ve Müftü vazifeleri, yapısı ve görev alanına dair uzun süren tartışmalar ve tekliflerden sonra 1872 yılında resmîleşerek devlet kurumları içerisinde yerlerini aldılar. 1836, 1863, 1872, 1897 ve 1900 tarihli Çar kanunname ve talimatlarıyla resmî yapısı, işleyişi, görev alanı ve sorumlulukları tespit edilen bu kurum çalışanları, resmî devlet memurları sıfatıyla, kanunnamelerdeki buyruklara uygun, bölge Müslümanlarının din işlerini yönettiler. Çar rejimi, uzun vadeli kurmuş olduğu bu planında önemli ölçüde başarılı da oldu. Tayin ettiği resmî din adamları eliyle, bölge Müslümanlarını dış Müslüman devletlerin etkisinden koparmayı büyük ölçüde başardı. Çar rejimini 25 yıl gibi uzun bir dönem uğraştıran Müridizm hareketine bölgeden katılımı ve desteği azaltmaya muvaffak olarak, hareketin daha büyük bölgelere yayılmasına engel oldu. İlk dönemlerde Çar yönetimine karşı ard



arda patlak veren halk isyanlarının azalmasında da Çar'ın din adamlarının halka, çara itaati, sadakati telkin eden tavsiyelerinin önemli etkisi oldu. En önemlisi de, I. Dünya Savaşı döneminde Osmanlı-Rusya savaşında, Çar'ın zoruyla Şeyhülislam ve Müftü, Osmanlı'nın cihat fetvasının geçersizliği ve bölge Müslümanlarının Osmanlı'ya değil, Çar Rusyası'na yardım etmeleri gerektiğine dair açıklama yapmaya zorlandılar. Bu da, o devirde Müslümanlar arası birliğin sağlanamamasının sebeplerinden birisi olarak kayıtlara geçmiş oldu.

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Anadolu ile Deşt-i Kıpçak Arasındaki Siyasi İlişkilerde Din Faktörü (13.-15. Yüzyıllar)

Tungysh Abylov*

Öz: Anadolu ile Deşt-i Kıpçak arasında eski zamanlardan itibaren dinî, siyasi ve kültürel ilişkiler vardı. Bu ilişkiler Moğolların Batı'ya 13. yüzyılın başındaki seferleri sırasında da devam etti. Cengizogulları, atalarının vasiyeti üzerine Deşt-i Kıpçak'tan başlayıp batıdaki tüm topraklar Cuci Ulusu'na ait olduğunu düşünüyordu. Böylece Cengizogulları bu topraklara Anadolu'yu da kattılar. O dönemde Büyük Moğol İmparatorluğundan kendi payını alan Batu, Deşt-i Kıpçak'ta Altın Orda Devleti'nin temellerini atmıştır. Aynı zamanda Batu, Anadolu Selçukluları ile iyi siyasi ilişkiler kurmuştur. Siyasi ve dinî ilişkiler Altın Orda Devleti'nin ilk Müslüman hükümdarı Berke Han döneminde daha da artmıştır. Tarihi kaynaklarda bu dönemde Anadolu'dan Deşt-i Kıpçak'a özellikle Kırım'a birçok Müslüman mücahit ve din bilgininin geldiği geçmektedir. Nihayetinde Deşt-i Kıpçak'ın İslamlaşma süreci hızlanmıştır. Anadolu'da hakimiyetlerini tesis etmek isteyen İlhanlılara karşı Altın Orda Hanları, İslam Dünyası'ndan müttefikler aramışlardır. Dolayısıyla Altın Orda Hanları Anadolu Selçukluları ve Mısır Memlûklüleri ile ittifak kurmuştur. İttifak neticesinde bu ülkeler arasında âlimler gidip gelmiş, siyasi münasebetler dışında dinî ilişkiler de artmıştır. Altın Orda Hanlarının çabasına rağmen İlhanlılar bir süre Anadolu'ya hakim olmuşlardır. Altın Orda'nın, İlhanlılardan sonra Anadolu'da yeni kurulan Osmanlı Devleti ile de iyi münasebetleri olmuştur. "Küffara karşı gaza" anlayışını ilke edinen Osmanlı sultanlarına Anadolulu tasavvuf erbabından eğitim alan Altın Orda Hanları saygı duymuştur. Tarihi süreç içinde Emir Timur tehlikesine karşı Altın Orda Hanları Osmanlı sultanları ile ittifak kurmak istemişler. Fakat bu tehlike önlenememiş ve bu iki devlet zor dönemlerden geçmiştir. Bazen de Avrupa'nın Katolik Dünyası Osmanlı'ya karşı Altın Orda'yı yanına çekmek istemiştir. 14. yüzyıl ortasında Altın Orda'da siyasi iç karışıklık başlamıştır. Altın Orda'nın çöküş dönemi başladığında Osmanlı topraklarını genişletmiş ve Orta çağ'ın güçlü devletlerinden biri olmuştur. Bu dönemlerde de her türlü sebeplerle Deşt-i Kıpçak'tan Anadolu'ya âlim ve bilgin birçok gönül insanı gelmiş ve Osmanlı'nın ilmi çevrelerinde saygı ve hürmet görmüşlerdir. Bu ilişkilerin, Anadolu'nun dinî ve sosyo-kültürel hayatı üzerinde fevkalade önemli sonuçları olmuştur.

Anahtar Kelimeler: Anadolu, Dest-i Kıpçak, Moğollar, Cuci Ulusu, Din, Siyasi İlişkiler.

* Ankara Üniversitesi, Sosyal Bilimler Enstitüsü, İslam Tarihi Doktora Programı.
İletişim: abylovt@gmail.com



Giriş

13. yüzyılın başında Moğolların batıya seferleri başlamıştır. Moğolların hükümdarı Cengiz Han, Doğu Deşt-i Kıpçak'da 1222 yılından beri görevlendirdiği oğlu Cuci'yi Altın Orda Devleti'nin temellerini atması için buraya yerleştirdi. Cuci'nin oğlu Batu Han önderliğinde düzenlenen seferlerde 1236'da İtil Bulgar Devleti, 1238'de Rus knezlikleri, 1240'da Kiev toprakları ele geçirilmiştir (Kafalı, 1976: 50). 1241 yılında Deşt-i Kıpçak, Harezmi, Kuzey Kafkasya, Kırım ve İtil Bulgar Devleti topraklarında Altın Orda Devleti kurulmuştur. Batu Han, Anadolu ve Azerbaycan üzerinde de hak sahibi olduğunu düşünmüştür. Çünkü Cengiz Han, Cucioğullarına batıda "Tatar atlarının ayaklarının değdiği yerler"i tamamını vermiştir (Cüveynî, 2013: 95; Fahreddin, 1995: 9).

1222-1223 yıllarında Moğol ordusunun komutanları Cebe ve Sübetay, Kafkasya bölgesine girerek burada yaşayan birçok kavimi yenilgiye uğratmışlardır. Aynı zamanda Anadolu devletleri de büyük bir tehlike altında kalmıştır. Selçuklu Sultanı Alaeddin Keykubad, Moğol Hanı Ögedey'in 1235 yılında yaptığı tabiyet teklifini kabul etmiştir (İbn Bibî, 1996: 448-451; Turan, 1998: 404.). Fakat Moğollar Anadolu'yu tamamen bağlı hâle getirmek istiyorlardı. 1241 yılında Moğolların Azerbaycan'daki komutanı olan Baycu, Selçuklu Devleti'nin içinde bulunduğu kargaşadan faydalanarak Erzurum'a saldırmış ve şehri ele geçirmiştir. Dönemin Selçuklu Sultanı Gıyâseddin Keyhüsrev Moğollara karşı komşularıyla ittifak kurmuş, ücretli askerlerden 80.000 kişilik bir ordu toplamıştır (İbn Bibî, 1996:64.). Fakat 13 Muharrem 641/3 Temmuz 1243'de Köse dağ'da olan savaşı Selçuklu ordusu kaybetmiş ve artık Moğolların Anadolu'daki hakimiyeti sağlamışlardır (İbnü'l-Adîm, 1996: 515). 1244'de Anadolu'daki Ermeniler ve Trabzon Rumları da artık Moğol tabiiyetine girmişti.

Moğolların kağanı Ögedey'in döneminde devletin batı toprakları üzerindeki temsilcisi Batu Han'dı. Azerbaycan şehir ve kasabalarında Batu'nun adamları onun adına vergi toplardı (İ Kamalov, 2003, s. 34). el-Ömerî Cuci Ulusu'nun Arran, Tebriz, Hamedan ve Meraga gelirlerinden pay sahibi olduğunu belirtmektedir (el-Ömerî, 2003: 113-114). Yani Anadolu'daki başta Selçuklu Devleti olmak üzere Moğol tabiiyetini kabul eden devletler bağıllık, yıllık vergi vb. konularda Batu Han'a karşı sorumluydular. Bu durum 1256'da Batu Han'ın ölümüne kadar devam etmiş ve ancak Güyük Kağan'ın döneminde (1246-48) Cucioğullarının söz konusu toprakların tamamında hakkının olup olmadığı tartışılmıştır. Bunun durumun sebebi de Güyük ile Batu arasındaki siyasi anlaşmazlıklara dayanmaktadır. Güyük Kağan'ın Selçuklu tahtında Ba-



tu'nun desteklediği II. İzzeddin Keykâvus'un değil, IV. Rükneddin Kılıç Arslan'ın oturmasını istemesi de bununla alakalı olmalıdır.

13. Yüzyılda Anadolu'daki Dinî Zümrelerin Siyasi Tutumları

İzzeddin Keykavus ile Rükneddin Kılıç Arslan arasındaki taht mücadelesinde Anadolu'daki dinî zümrelerin siyasi tutumları önemli rol oynamıştır. Bu dönemde Anadolu'da İran Moğollarının (İlhanlıların) tahakkümüne karşı mücadele eden çoğunluğunu Türkmenler oluşturduğu ve başta Ahiler olmak üzere, Ekberiler, Bektaşiler ve Kübreviler gibi dinî zümreler vardı. Onlarla birlikte İlhanlı yanlısı olan Kalenderîler, Hristiyanlar ve bu iki gruba katılmayan Mevleviler de bulunmaktaydı.

Ahi ve Türkmenler bağımsızlıktan yanaydılar ve Selçuklu Sultanı'nın da İlhanlılara karşı mücadele etmesini istiyorlardı (Bayram, 1991: 87-88). Anadolu'da Selçuklu sosyo-ekonomik yapısında çok önemli bir yere sahip olan Ahi teşkilatının kuruluş amaçlarından birisi de ilmi çeşitli sanat alanlarını uygulamaya koyarak Selçuklu toplumunu aydınlatmaktı. Ahiler bu amaçlarını gerçekleştirmek için Moğol istilâsına kadar fırsat bulabilmişlerdi. Ancak Köseadağ yenilgisi ve devamındaki bir yüzyıl boyunca Anadolu'da söz sahibi olan İlhanlılar, Ahiler ve Türkmen çevreleri üzerinde ağır bir siyasi ve fikrî baskı kurdular. Ayrıca birçok Anadolu kentinde katliam yaptılar. Bunun sonucunda Ahiler ve Türkmen çevreleri büyük topluluklar hâlinde sınır bölgelerine ve bir kısmı da Anadolu dışına göç etmek zorunda kaldılar (Bayram, 200: 64). 14. yüzyılda İbn Battûta, Ahi Bıçakçı adlı Anadolu'lu bir Ahinin Deşt-i Kıpçak'ta mesleğini yürüttüğünü yazmaktadır (İbn Battûta, 1987: 333).

Moğol karşıtı gruplardan biri de Kübreviye tarikatıdır. Daha Moğol istilâsının ilk başlarında Harezm'de bu tarikatın kurucusu olan Necmeddin Kübrâ bu yolda şehit olmuştu. Moğollardan kaçan Kübreviler Anadolu topraklarına gelmişlerdi. 618/1221 yılında etrafındaki kalabalık bir mürit grubuyla Anadolu'ya gelen Kübrevî şeyhi Necmeddin-i Dâye telif ettiği eserlerinde daima Moğollara lanet okuyup beddua ederek onlara karşı ayet ve hadislerle çevresindekileri onlara karşı mücadele etmeye teşvik etmiştir (Dâye, 2013: 51-52).

Bu dönemde Hacı Bektaş Veli, halife ve müridlerine uç bölgelerine göç etmelerini söylerken Sadreddin Konevî de, gençlerin ve gücü yetenlerin Anadolu'yu terk etmelerini vasiyetinde öğütlüyordu (Bayram, 2003: 68). Bu dönemde Anadolu'dan gidip Deşt-i Kıpçak'a yerleşenlerin o bölgenin İslamlaşmasında büyük katkıları olmuştur (Bu konu hakkında aşağıda ayrıntılı bir şekilde bahsedeceğiz.).



İlhanlılar Anadolu'da da Ahi ve Türkmenlerin gücünü kendileri için tehlikeli görürlerdi. Onlara muhalefet eden Kalenderileri ve Hristiyanları destekleyerek Türkmenlerle mücadelede onların gücünden yararlanmaya çalışırlardı.

Kalenderi şeyhi olan Halil b. Bedruddin el-Kürdi 1245 yılında müridleriyle resmen Moğolların hizmetine girmiştir. Şeyh Halil Moğollar arasında da kısa zaman içinde kendine taraftar toplayabilmiş ve Moğollarla birlikte Türkmenler'e karşı muharebelere katılmıştır. Lakin sonunda Türkmenler tarafından yakalanarak, maiyyetindeki altı yüz Kalenderi ile birlikte idam edilmiştir (İbnü'l-Fuvedi, 1951:286). Kalenderiyye'den bir şeyhe mensup olan Şems-i Tebrîzî (Gölpınarlı, 1951:63), Anadolu'da halkı, Moğol aleyhtarlığına karşı mücadele yürütmeye ve Moğollara itaat etmeye çağırmıştır (Tebrîzî, 2006:344, 362-363).

İlhanlılar başından itibaren Anadolu'daki Hristiyanlarla iyi ilişkiler kurmuşlardır. Onlara Müslümanlardan daha çok güveniyorlardı. Bu sebeple de onları diğer unsurlara karşı istihbarat amaçlı kullanıyorlar ve Hristiyanlara bazı imtiyazlar tanıyorlardı (Galstyan, 2005: 33). Anadolu Hristiyanları, İlhanlıların istila faaliyetleri için her türlü askeri, maddi yardımı sağlıyorlardı. Hristiyan olan Hülâgü'nün eşi Dokuz Hatun, Hristiyanlara daima saygı gösterip onları koruyup kollamış ve Hülâgü Han'ın Hristiyanların lehine kararlar almasında etkili olmuştur (Aknerli,1954: 38).

Mevleviler ise Moğollarla mücadele anlayışıyla değil, hoşgörü ve teslimiyet prensibiyle hareket ettiler. Bu anlayışın temelinde Mevlevilere göre bir ülke, düşman tarafından istila edilirse, bunu Allah'ın takdiri olarak algılamak gerekirdi. Bu nedenle Mevleviler, Moğollara karşı düşmanlık duymamışlar ve onlardan pek rahatsız olmamışlardır. Nitekim Mevlânâ bir şiirinde "Sen Tatarlardan korkuyorsan, Tanrı'yı tanımıyorsun demektir, ben onları yüz tane iman sancağı ile istikbal ediyorum." diyordu (Mevlânâ, 1992: 454). Mevlânâ bir başka şiirinde de "Bana sırdaş isen sana sırrımızı ifşa edeyim: Halk Tatarlardan kaçırıyorsa, biz Tatarları yarıdan Tanrı'ya hizmet edelim." demiştir (Mevlânâ, 1992: 159).

Anadolu'daki Siyasi Durum ve Altın Orda-Selçuklu İlişkilerinin Gelişimi

1256 yılından sonra Deşt-i Kıpçak ile Anadolu arasındaki ilişkilerin, Altın Orda'daki taht bunalımı nedeniyle bir dönem kesildiğini görüyoruz. Batu Han'dan sonra yerine Hristiyan olan büyük oğlu Sartak geçmiştir. Ancak Sartak Altın Orda'yı fiilen yönetmeden 1257'de hayatını kaybetmiştir (Kafalı, 1976: 54).

Altın Orda Devleti'nde hakimiyet 1257 yılında Batu Han'ın kardeşi ve Müslüman olan Berke Han'ın eline geçmiştir. Bu dönemde Anadolu ile Deşt-i Kıpçak



arasındaki ilişkiler yeniden canlandı. Anadolu ve Azerbaycan toprakları üzerinde Altın Orda hanlarının hakları tanınmadığı için İlhanlı devletine karşı yoğun mücadeleler de yaşanmaya başlamıştır. Berke Han döneminde Anadolu topraklarındaki üstünlüğün Selçuklu Devleti yıkılana kadar devam etmek üzere İlhanlılar'a geçtiği görülür. Ancak Berke Han bunu kabul etmeyip Selçuklu sultanı II. İzzeddin Keykâvus'a destek vermeyi sürdürmüştür.

1259 yılında Moğol Kağanı'nın yarlığına göre Selçuklu ülkesi ikiye bölünmüş, Kızılırmak'ın batısından Bizans sınırına kadar olan bölgeler Keykâvus'a Kızılırmak'm doğusundan Moğol hakimiyetindeki ülkelerin sınırına kadar olan topraklar da Kılıç Arslan'a bırakılıyordu (Turan, 1998: 490).

Bu arada Mısır ve Şam'da Eyyübiler Devleti zayıflamış ve Kıpçak Türkler'i, idareyi ele alarak Memlük Devleti'ni kurmuşlardır. 1260 yılında Memlükler Moğollar'ı Ayn Calut denilen yerde büyük bir yenilgiye uğratmışlardı. Böylece Memlükler Moğollar'a karşı İslam âleminin savunucuları olarak tarih sahnesine çıktı.

II. İzzeddin Keykâvus, İlhan Hülâgü'ye karşı Memlük Sultanı Baybars'ın da desteğini almak istemiştir. Sultan İzzeddin Keykâvus bir yandan Baybars ile işbirliği yaparak diğer taraftan da Anadolu'daki Türkmenler'i etrafında toplamaya çalışıyordu. 1262 yılında İzzeddin Keykâvus Mısır'a elçiler gönderdi (Tiesenhausen, 1884: 49). Baybars yardım talebini kabul edip Şam ve Halep'ten asker göndereceğini bildirdi. Ancak Sultan İzzeddin Keykâvus'un Baybars ile ittifak kurduğundan haberdar olan İlhanlılar hemen Konya'yı işgal ettiler. Baybars bu kadar kısa bir süre içinde yardım gönderemeyince İzzeddin Keykâvus yakın adamlarıyla birlikte Konstantinopolis'e gitmeye mecbur kaldı. Orada II. İzzeddin Keykâvus eski dostu olan Bizans İmparatoru Mihael Paleologos tarafından çok iyi karşılandı.

13. yüzyılın üçüncü çeyreğinde Anadolu siyasetinde önemli gelişmeler yaşanmaya başlandı. Altın Orda Hanı Berke Han, İlhanlı Devleti ile Anadolu ve Kafkasya için sürekli mücadele etmek durumunda kaldığı için Memlük Sultanı Baybars ile ittifak cephesini oluşturdu. II. İzzeddin Keykâvus da bu cephenin bir mensubu olarak bu siyasi durumdan yararlanmaya çalışıyordu. Memlük sultanı Baybars bu nedenle 1263 yılında Altın Orda Devleti ile İzzeddin Keykâvus'un elçilerini aynı zamanda kabul etmişti. Berke Han Mısır Sultanı Baybars'a kendisinin ve tebâsının İslam dinini benimsediğini, İlhanlı devletine karşı birlikte mücadele etmeleri gerektiğini bildiriyor; kendisinin kuzeyden Baybars'ın da doğu Anadolu'dan İlhanlı hükümdarı Hülâgü'ye karşı taarruzda bulunmasını öneriyor ve İzzeddin Keykâvus'a da yardım edilmesini istiyordu (Tiesenhausen, 1884: 49). Memlük sultanı Baybars da gönderdiği elçi ve mektuplarla İslam birliğini sağlamak fikrinin



esas olduğunu, Hz. Peygamberin de iman nedeniyle kendi akrabası Kureyşliler'e karşı savaştığını hatırlatarak Altın Orda hanı Berke'yi İlhanlılara karşı cihada teşvik ediyordu (Tiesenhausen, 1884: 46). Burada dinin ne kadar önemli motivasyon kaynağı olduğu anlaşılmaktadır. Altın Orda ve Memlûk devletleri İlhanlılara karşı ortak harekate giriştiler ve böylece siyasi bir bloklaşma ortaya çıktı. Bu iki devlet Bizans imparatoruna gönderdikleri elçiler aracılığı ile II. İzzeddin Keykâvus'a yardım edilmesini talep etti.

Bizans imparatoru Mihael, İlhanlı hükümdarı Hülâgü'nün ağır baskısı nedeniyle oluşan bu ittifak cephesine karşı siyasetini değiştirdi. Durum, hiç beklenmediği bir anda II. İzzeddin Keykavus aleyhinde gelişmeye başladı. İzzeddin Keykâvus ailesiyle birlikte Meriç ağzında Enez (Ainos) Kalesi'ne hapsedildi (Merçil, 1994: 718-719). Orada onlar ve İlhanlılara karşı siyasetleri ile tanınan Selçuklu Beyleri Emîr-i âhur Uğurlu ve Ali Bahadır ağır muamelelere maruz kaldılar. Keykavus ve adamları Ayasofya'ya götürüldüler ve burada Hristiyanlığı kabul etmeye zorlandılar, din değiştirmemekte direnen bazı kişilerin gözlerine mil çekildi ve öldürüldü.

Bizans İlhanlılarla ittifakı akrabalık kurmak yoluyla daha da sağlamlaştırılmaya çalışılıyordu. İmparator Mihael kızı Maria'yı zengin hediyeler ile birlikte İlhanlı topraklarına gönderdi. Gelin Kayseri'ye geldiği zaman Hülâgü ölmüşse de yoluna devam etmiş ve Hülâgü'nün oğlu Abaka ile evlendirilmişti (Ebu'l-Ferec, 1987: 585).

1264 yılında Altın Orda Hanı Berke'nin yanına gitmek üzere Bizans topraklarından geçen Memlûk elçileri Bizans İmparatoru tarafından tutuklanmış ve malları müsadere edilmiştir. Altın Orda hükümdarı Berke Han hem Bizans'ta esir edilen Mısır elçilerini ve İzzeddin Keykâvus'u kurtarmak hem de Hülâgü'nün etkisi ile Selçuklular'a karşı düşmanca bir siyaset izlemeye başlayan Bizanslılar'a gözdağı vermek için sefer düzenlemiştir. Bizans topraklarına giren Altın Orda ordusu birçok yeri yağmalamış ve İzzeddin Keykavus ile yakınlarının tutuklu bulunduğu Ainos kalesini kuşatmıştır. Kaleyi savunanlar Keykavus'u ve yakınlarını Altın Ordalılara teslim ederek canlarını kurtarmışlar. Altın Ordalılar Keykavus ve yakınlarını da alıp Kırım'a götürmüşlerdir (Tiesenhausen, 1884: 178-179).

1265 yılında Abaka babasının yerine İlhanlı tahtına çıkmıştır. Abaka Han döneminde de Altın Orda-İlhanlı ilişkilerinde eski husumet devam etmiş ve bir değişiklik olmamıştır. Abaka tahta çıktığında komşu ülkelerin padişahlarına kendisine tâbi olmalarını isteyip mektuplar göndermiş ve onlardan birisi Kırım'da Berke Han'a da gelmiştir. Berke Han: "Ben İslam padişahı olup Muhammedi dinden olup öyle dinsiz Mecusi mezhebindeki birine niçin varıp biat ederim" diye Abaka Han'ın



mektubunu Berke Han paramparça ederek elçisini kovmuştur (Evliyâ Çelebi, 2011a: 41).

II. İzzeddin Keykâvus Bizans esaretinden kurtuluşu olayından vefatına kadar Kırım'da Altın Orda himayesinde yaşadı. Berke Han kızı Orbay Hatun'u İzzeddin Keykâvus ile evlendirdi. Kırım'da bulunduğu süre içinde ülkesine dönüp Selçuklu tahtını tekrar ele geçirme umudunu hiç kaybetmeyen II. İzzeddin Keykâvus bu hedefine ulaşamamış ve Altın Orda topraklarından Kefe'de H. 677 / M.1278-1279 yılında vefat etmiştir (İbn Bibi, 1996: 244).

Berke Han'dan sonra Altın Orda tahtına Müslüman olmayan Mengü Temir çıkmıştır. Mengü Temir Han, eski Selçuklu sultanının oğlu Gıyâseddin Mes'ud'un üvey annesi Orbay Hatun ile evlendirmek istemiştir. Moğollarda normal olan bu evliliğe Mes'ud şeriat kurallarına aykırı olduğu gerekçesi ile karşı çıkmıştır. Rükneddin Baybars'a göre Mes'ud Kırım topraklarından bu nedenle kaçmak zorunda kalmıştır (Tiesenhausen, 1884: 81).

1280'de Gıyâseddin Mes'ud Kırım'dan Anadolu'ya geçmiş ve İlhanlı hükümdarının onayını aldıktan sonra 1282 yılında Türkiye Selçuklu sultanı olmuştur. Bu tarihten sonra artık Selçuklular'ın Altın Orda ile siyasi bağlarının tamamen koptuğu anlaşılmaktadır. Anadolu topraklarında son Selçuklu Sultanı olarak II. Mes'ud'un saltanatı 1308 yılına kadar devam etmiş ve sonrasında Selçuklu Devleti tamamen çökmüştür.

Deşt-i Kıpçak'ın İslamlaşmasında Anadolu Selçuklu Müslümanlarının Rolü

İslam ve Anadolu'nun Müslüman kültürü Deşt-i Kıpçak'ta Anadolu'dan gelen Sarı Saltık gibi meşhur şahısların gayretiyle de yayılmıştır. Sarı Saltık 1263-1264 yıllarında Anadolu Selçuklu Sultanı II. İzzeddin Keykâvus'un Bizans topraklarında bulunduğu sırada on iki bin kişilik Türkmen aşireti ile birlikte Anadolu'dan getirterek Dobruca'ya yerleştirdiği ve Kırım'a giderken de yanında götürdüğü bir Türkmen şehididir (Ocak, 1978: 67). Saltık-nâme'de Sultan İbn Gıyas şeklinde geçen sultanın II. İzzeddin Keykâvus olduğu anlaşılmaktadır. Saltık-nâme'de sultan ve beraberindekilerin Kırım'a yerleşmeleri de anlatılmaktadır.

Kaynaklar Sarı Saltık'ın Anadolu'da bulunduğu süre içinde devrin tanınmış derviş ve sufileri ile görüştüğünü, Hacı Bektaş-ı Veli, Seyyid Mahmud Hayrânî, Tabduk Emre ve Mevlâna Celâleddin-i Rûmî ile dostane ilişkiler kurduğunu anlatır (Rumî, 1987: 180-181). Saltık-nâme'de de Hacı Bektaş, Sarı Saltık'ın en yakın dostu olarak gösterilmektedir.



Saltık-nâme Sarı Saltık'ın gaza faaliyetlerinin anlatımıyla doludur. Sarı Saltık Nogay ilinde, Deşt-i Kıpçak'da, Kırım ve Kefe'de ikâmet etmiş ve gaza faaliyetlerinde bulunmuştur. Saltık-nâmenin anlatımına göre Sarı Saltık gazâ faaliyetlerine II. Gıyaseddin Keyhüsrev döneminde başlamıştır. Sarı Saltık Selçuklu sultanı adına yaptığı cihad ve gazâ faaliyetlerine II. İzzeddin Keykavus zamanında da devam etmiştir. Sarı Saltık Deşt-i Kıpçak'a gittiğinde oradaki Tatar mirzalarına haber gönderip Moskov diyarına gazâyâ çıkmak istediğini bildirmiş ve mirzaların kendilerine katılmalarını istemiştir. Sarı Saltık ve aşireti II. İzzeddin Keykâvus ile birlikte Berke Han tarafından Kırım'a götürüldükten sonra Kefe yakınlarında Suğdak civarında Baba Saltık adıyla bilinen bir kasaba veya şehir kurulmuştur. Sarı Saltık, bu kasabayı yaptığı gazalarda üs olarak kullanıyordu. Baba Saltık Kasabası'nda bir de zaviyesi bulunuyordu. Saltık-nâme Tatar Hanı şeklinde isim vermeden bir Altın Orda Hanı'nın Sarı Saltık ile birlikte gazalarda bulunduğunu kaydeder. Sarı Saltık'ın Altın Orda topraklarında faaliyette bulunduğu yıllarda Berke Han ve Emir Nogay Hülagü'nün ordusunu Kafkasya'da Terek Irmağı üzerinde mağlup etmişti bu konu da İslam'ın başarısı gibi algılanmıştır.

Müslüman şeyhleri Berke Han ve onun başkumandani Emir Nogay'ın İlhanlılara karşı kazanılan mücadeleleri Müslüman olmaları nedeniyle hilafet için alınan bir intikam ve İslamiyet'in zaferi olarak değerlendirmişlerdir. Bu sebeple komşu Müslüman ülkelerden, Anadolu ve Horasan'dan Altın Orda topraklarına gaziler akın etmişlerdir. Azerbaycan'da Erdebil şeyhi Safeyüddin Erdebilî müritleriyle birlikte Kırım'a ve Deşt-i Kıpçak'a gitmişlerdir (Togan, 1981: 268.).

Evliya Çelebi *Tarih-i Tohta Bay'dan* Berke Han hakkında: "Sonra 665 [1267] tarihinde Kırım'dan 80 bin asker ile Belh, Buhara, İran, Turan, Çin, Maçin, Hıta, Hoten, Fağfur ve Türkistan'a at salıp baş kaldıran padişahları baş eğdirir. 1800 kadar Tatar âlimini başına toplayıp tazim ile Kırım Adası'na getirip bütün âlimlere cami ve medreseler yapar, gaza mallarıyla bütün âlimlere haneler yapıp çoluk çocuk sahibi olurlar. Cengizliler günden güne meşhur olup "Kılıç ve kalem sahibi" diye hutbeyi ilk defa Kırım şehrinde bunlar okutup sikkeleri at şekli resimli mankır kestirdi." denildiğini aktarmıştır (Evliyâ Çelebi, 2011a: 42).

Fakat Deşt-i Kıpçak'ın tamamının İslamlaşması uzun zaman almıştır. Bu konuda Molla Abdülgafor el-Kırımı, Berke-Han döneminde devletin tüm nüfusunun İslam'ı kabul ettiğini, ancak ölümünden sonra halkın bir kısmının tekrar "ateşperest" olduğunu söylüyor. Bu sebeple zamanın en ünlü dört "evliyâullah" "ulus-ı Cuci olan Deşt-i Kıpçak ahalisine" "din-i Muhammedi'yi" yaymaya başlamıştır. Bu evliyalar, Hz. Ali soyundan Şeyh Mecdüddin Şirvanî, Hz. Ebu Bekir Sıddık soyun-



dan Baba Tökles Şeyh Necibuddin, Peygamber soyundan daha iki seyyid-Şeyh Ahmed ve Şeyh Hasan Gürganî”dir (Kırımî, 1343: 35-36). Burada zikredilen Şeyh Ahmed ismi Altın Orda’nın İslamlaşmasında önemli katkısı olan Yesevilikle ve Hoca Ahmed Yesevi ismiyle alakalı olmalıdır. Devin Deweese’e göre, Şeyh Mecdüddin Şirvanî’nin torunu Seyyid Yahya Şirvanî (ö. 1463 veya 1465) 17. yüzyılda Anadolu’da ve Kırım’da faaliyet gösteren Halvetiyye Tarikatı’nda önemli bir isimdir (DeWeese, 1994: 358).

Fakat İslamiyet, Deşt-i Kıpçak’ta ancak Özbek Han (1313-1342) zamanında önem kazanmış olmalıdır. İbn Battuta bu dönemde başkent Saray’da cami ve medreselerin çok olduğunu; han sarayında âlimler, şeyhler, seyyidler ve hocalar itibar kazandığını kaydetmiştir (İbn Battûta, 1987: 363-364). Bu dönemde İslam dini artık göçebe halk arasında da benimsenmiş olmalıdır.

Altın Orda-Osmanlı Devletleri Arasındaki Siyasi İlişkiler

Osmanlı Devleti Anadolu’da kurulup Balkanlara kadar genişlemeye başladığında Altın Orda Devleti artık çöküş dönemini yaşıyordu. Bu dönemde Osmanlı, dünya siyasetinde Altın Orda Devleti’nin yerini almaya başladı. Osmanlı Devleti kurulmadan önce Altın Orda, Bizans ve Balkanlar üzerine seferlerde bulunuyor ve bu coğrafyadaki devletlere hâkimiyetlerini kabul ettiriyordu. Altın Orda’nın çöküş döneminde bu rolü artık Osmanlı Devleti üstlenmekteydi.

Altın Orda hanlarının mektuplarından, onların Osmanlı sultanlarına saygılı davrandığını ve onlarla iyi ilişkiler içinde olduğunu görüyoruz (Özyetgin, Kemaloğlu, 2017: 21-35). Her iki ülke de İslam ülkesiydi. Osmanlı’nın devlet ideolojisinin temelinde İslam tebliği ve gaza anlayışı yatmaktaydı. Siyasi rakip olan İlhanlılar’ın topraklarında Müslüman bir devlet olan Osmanlı’nın kurulması, Altın Orda’nın Osmanlılarla dostça ilişkiler kurmuş olmaları bir neden olmalıdır.

Osmanlı Devleti Anadolu’nun hâkimi hâline geldiği bir dönemde (14. yüzyılın sonlarında) her iki ülke için de ortak düşman ortaya çıkmıştı. Altın Ordalılar ve Osmanlılar gittikçe yaklaşan Timur tehlikesine karşı ortak hareket etmeleri gerektiğini anlamışlardı (Kurat, 1992: 51-57; Mirgaleev, 2003: 139). Timur’a karşı cephe alanlar arasında Altın Orda Hanı Tohtamış, Osmanlı Sultanı Bayezid, Memlük Sultanı Berkuk, Sivas emiri Ahmet Burhaneddin, Kara Koyunlu hükümdarı Kara Yusuf, Celayırlılar ve bazı Türkmen beyleri vardı (Mirgaleev, 2003: 128-129). Bu muhalif cephede 1394 yılında anlaşmalar başladığı görülmektedir. Böylece Altın Orda eski düşmanları İlhanlıların yerine Çağataylı Emir Timur’u karşısına almış



oldu. Ama bu sefer, bloklaşmada dini farklılık söz konusu değildi. Hatta Osmanlı Sultanı Yıldırım Beyazid ile Timur mektuplaşmasında hangisinin daha iyi Müslüman olduğu hakkında tartışmalar vardı (Daş, 2004: 145-147).

Timur bu ittifak cephesinin oluşmasını engellemek için ilk önce Altın Orda'ya saldırdı. Çünkü bu cephenin kurulması için ilk çaba gösteren de Altın Orda Hanı Tohtamış'tı. 1395-1396 yıllarında yapılan Timur seferleri sonunda Altın Ordahılar mağlup oldular ve Timur'a karşı koalisyon dağılmış oldu. İbn Arapşah, bu dönemde Deşt-i Kıpçak'taki iç savaştan kaçan "divana veya bir deftere kaydedilemeyecek kadar" kalabalık bir grup "Rumlulara" sığındığını yani Anadolu topraklarına göç ettiklerini kaydetmiştir (İbn Arabşah, 2012: 147-148).

Altın Orda'dan sonra Timur siyasi rakiplerini teker teker mağlup etmiştir. 1402 yılında Çubuk ovasında Osmanlı ordusu Timur'a karşı savaşı kaybetmiştir ve neticede Anadolu'da taht kavgasıyla başlayan iç karışıklık 11 yıl devam etmiştir.

1428 yılında Altın Orda'nın son hanlarından olan Uluğ Muhammed, Osmanlı Sultanı II. Murad'a elçilik heyetiyle birlikte bir mektup göndermiştir. Bu mektupta Uluğ Muhammed Han, "Evvelki han ağalarımız ile sizin Rum vilâyeti yöneten atalarınız, ağalarınız ile karşılıklı elçi sözcü gönderip hediye selam alıp, ortak tüccarlar karşılıklı yürüyüp (seyahat edip) iyi gidiş gelişler yapa idik. Sonra han ağamız Toktamış Han sizin büyük babanız Gazi Beyazid Bey ile eski iyi nizama göre karşılıklı elçi sözcü gönderip, hediye, selamlar alıp ikisi de dostluk ve iyilik üzere Tanrı rahmetine kavuştular" (Özyetgin, Kemaloğlu, 2017: 23) diyerek geçmişteki Altın Orda-Osmanlı arasındaki iyi ilişkilerden bahsetmiştir.

Altın Orda ve Akdeniz ülkelerinde, Cenovahlılar ve Venediklilerin aracılığıyla ticari ilişkileri vardı. Bu ilişkilerin sağlandığı yol, 15. yüzyılda Osmanlıların Boğaz'ı ele geçirmeleriyle kapandı. Osmanlılara kadar Boğaz'ı kontrolü altında tutan Bizans, Altın Orda hanları için hiçbir zaman tehlike arz etmiyordu ve Akdeniz'e kolay doğru geçit sağlanabiliyordu. Yeni sorunu hanlar çözmeye çalışmıştır. Ancak siyasi istikrarsızlık bu durumu çözmek için bir strateji oluşturmaya engel oldu ve Osmanlılar daha da ileri giderek Balkanlar'ı ele geçirdi. Nihai olarak Altın Orda'nın İtalyanlarla olan ticari bağları kesildi ve bu ekonomik durumu daha da kötüleştirdi. Bu nedenle, Macar Kralı Sigismund, Celaladdin Han'a Osmanlılara karşı Bizans ile ittifak kurmayı önerdiğinde Celaleddin Han'ın bunu olumlu bir şekilde karşıladığı söylenir (Mirgaleev, Kamalov, 2008: 91). Ancak Altın Orda hanlarının, Avrupa ülkelerinin bu tekliflerini kabul etse de Osmanlıya karşı mezkur ittifakı hayata geçirdiklerine dair hiçbir bilgi bulunmamaktadır.



Deşt-i Kıpçak ile Anadolu Arasındaki Kültür Köprüsü Olarak Kırım Yarımadası

Ünlü Rus şarkiyatçısı V. Bartold İslam'ın Karadeniz bölgesine geç geldiğini ve buraya İslam'ı getirenlerin de Türkler olduğunu belirtmiştir (Bartold, 1966: 659). Karadeniz'in kuzey sahillerine İslam dinini 13. yüzyılda Selçuklular getirmiştir. Selçuklu sultanı Alaeddin Keykubad devrinde Emir Hüsameddin Çoban önderliğinde Selçuklu donanması Suğdak şehrine sefer düzenlemiş ve orayı fethetmiştir. Şehirde sadece iki hafta içinde bir cami inşa edilmiş ve kadı, müezzin ve hatib tayin edilmiştir. Bundan önce, Karadeniz'in güney kıyısında, Müslüman tüccarlar dışında, muhtemelen Müslümanlar toplu olarak yaşamıyordu. 14. yüzyılın ilk yarısında ünlü Arap seyyahı İbn Battuta Kefe'de bulunduğunda minareli caminin olduğundan bahseder ve yerli Müslümanlar için bir kadının bulunduğunu belirtmiştir. 1362 yılında yazılan Kur'an'ın Türkçe çevirisi, Altın Orda'nın batı kesiminde yapılmıştır (Togan, 1971: 19) ve bahsi geçen batı kesim de Kırım olabilir. Buradan, 1475 yılında Osmanlı idaresine dahil olmadan önce de Kırım'daki dinî hayata Anadolu İslam Kültürü'nün önemli bir etkisi olduğunu görüyoruz.

Altın Orda döneminde İslami ilim ve kültür merkezi Solhat (Eski Kırım) şehriydi. 13. yüzyılda Solhat'ta birkaç cami vardı. Onlardan en meşhur olanı Baybars Camii'sidir. Makrizi eserinde Mısır Memlûk Sultanı Baybars'ın Hicri 686/Miladi 1287-1288'de Kırım'da Solhat'ta bir cami yapılması için 2000 Dinar gönderdiği ve caminin kitabesine de Sultan Baybars'ın adı ve ünvanı yazıldığını kaydetmiştir. Hatta Baybars'ın bu camide çalışmaları için kendi taş ustalarını Kırım'a gönderdiğini zikretmiştir (Tiesenhausen, 1884: 423). Fakat caminin inşa ettiren Sultan Baybars değil, Sultan Kalavun olmalıdır. Çünkü Baybars bu tarihten 10 yıl önce vefat etmiştir.

Solhat'ta Altın Orda hükümdarı Özbek Han döneminde de Ulu Camii yapılmıştır. Bu Ulu Camii 17. yüzyılda Evliya Çelebi Solhat'a gittiğinde hâlâ ayakta idi. Evliya Çelebi Ulu Camii kapısının üzerindeki yazıdan Özbek Han'ın ismini okumuştur. Hicri 733/Miladi 1333 yıllarında İnci Beğ Hatun bu caminin yanına medrese kurmuştur. Evliya Çelebi'ye göre, 1396 yılında Kırım'ın emiri Kutluğ Timur'un torunu Bay Bû Ali Hatun'un emriyle Tahir bey tekkesi inşa edilmiş ve 25 Cemaziyelahir 800/15 Mart 1398'de mahalle camisine çevrilmiştir. Evliya Çelebi onu "kırmızı kiremit örtülü bir kârgir büyük kubbeli büyük mescit" olarak tasvir etmiş ve "hâlâ büyük cami olmaya elverişli" olduğunu belirtmiştir (Evliyâ Çelebi, 2011b: 563-564).

14. yüzyılın ilk yarısına ait nüvizmatik bulgular bize açıkça göstermektedir ki Karadeniz bölgeleri ile Deşt-i Kıpçak şehirleri arasında yakın münasebetler vardı.



Bu münasebetler sadece ticari değil, aynı zamanda göç ile ilgili olduğu bir gerçektir. Bunu Kırım'ın farklı yerlerinde bulunan mezartaşlarında rastlanan isimlerden görebiliriz. Eski Yurt'ta Mevlana Ahmed b. Mahmud el-Barçınlî'ye ait 793/1390-91 yılında yapılan mezartaştan onun Sırderya havzasındaki Barçınlık şehrinden olan bir âlim olduğu anlaşılmaktadır (Gonçarov, Zaytsev, 2014: 176-180). Evliya Çelebi 1665-1666 yılları kışın Kırım'da bulunduğunda şehir çarşısına yakın yerde 1263 yılında Buharalı Hacı Ömer adlı birisinin yaptırdığı camii görmüştür (Evliyâ Çelebi, 2011b: 564.). Bu ilişkiler muhakkak Hac seferleriyle de gerçekleşirdi: hacıların bir kısmı Deşt-i Kıpçak'tan ve Orta Asya'dan Mekke'ye Kırım ve Anadolu üzerinden giderlerdi. Kırım Osmanlı'ya bağlı olduktan sonra da bu durum devam etmiştir. Bu konuyla alakalı belgeler arasında, Mevlana Müslihüddin Taşkendi ve yoldaşlarının Kırım üzerinden Hac'dan dönüşünde yardım edilmesini isteyen dilekçe (3 Zülhicce 980/ 6 Nisan 1573) bulunmaktadır (Belgelerle Osmanlı-Türkistan ilişkileri (XVI-XX. Yüzyıllar), 2004: 7). Böylece, Kırım Osmanlı idaresine girdikten sonra da Orta Asya şehirleriyle de dinî bağlarının oldukça yakın olduğu görülmektedir.

Deşt-i Kıpçak'ta yetişen bazı ilim ve fikir adamları çeşitli sebeplerden dolayı Kırım üzerinden Osmanlı'ya gelmişlerdir. Deşt-i Kıpçak'ın farklı ilim merkezlerinde tahsil gören âlimlerin Osmanlı'da ilmin yüksek bir seviyeye ulaşmasında önemli etkileri olduğunu söyleyebiliriz. Burada onlardan birisi de *Hafızuddin Muhammed b. Muhammed b. Şihab b. Yusuf el-Harezmi el-Kerderi el-Bezzazî*'dir (ö. 827/1424). Bu hanefî âlimi İbnu'l-Bezzazî diye de anılmakta olup Harezmi köylerinde Kerder'de doğdu. İlk tahsilini Altın Orda'nın başkenti Saray'da yaptı, babasından ders aldı. Sonra Kırım ve Anadolu'ya gitti. Anadolu'da Osmanlı'nın ilk Şeyhülislamı olan Molla Fenari ile tartışmaları oldu. Kaynaklar Bezzazî'nin furu'da, Fenari'nin usulde üstün olduğunu kaydeder. Osmanlı ulemasından Muhyiddin el-Kafyeci ve Saduddin ibnu'l-Deyri ile görüşmeleri oldu. İbn Arabşah'ın eserinde Bezzazî'nin, Timur'un küfrüne fetva verdiği geçmektedir (İbn Arabşah, 2012: 431). Hayatının son günlerinde hacca gitmiş ve Mekke'de vefat etmiştir. Bize ulaşan eserlerinden biri *el-Fetava'l-Bezzazîye* (Asıl adı el-Camiu'l-veciz'dir.) Hanefî ulemanın verdiği fetvaları muteber kaynaklardan muhtasar olarak derleyen müellif, kendi görüşlerini verirken değerlendirme ve tercihlerde bulunur. Bezzazî'nin Seyid Ahmed Kırmî ve Şerefüddin b. Kemal el-Kırmî adlı öğrencileri Osmanlı'da meşhur âlimlerden olmuştur. Böylece Bezzazî Orta Asya Hanefî geleneğinin Anadolu'da gelişmesinde büyük rol oynamıştır. Şeyhulislam Ebussuud Efendi'ye niçin önemli meseleleri ihtiva eden bir eser telif etmediği sorulduğunda "Bezzazîye varken böyle bir şeyden haya ederim" diye yanıt vermiştir. Eserin telifi Hicri 812 (1409-1410) yılında bit-



miştir. Diğer başlıca eserleri: *Menakibu'l-İmami'l-a'zam Ebi Hanife, Haşiye ala Muh-tasaru'-Kuduri, Adabu'l-Kada'dır* (Özel, 1990: 92).

15. yüzyıl Altın Orda hanlığının bölünüş ve çöküşüne temel hazırlayan olay-larla geçmiştir diyebiliriz. Siyasi istikrarsızlık kültürel gelişmedeki sorunları da beraberinde getirmiştir. Neticesinde ülkede bir nevi facia yaşanmıştır ki Osmanlı sultanı II. Mehmed (1451-1481) ile ünlü fakih, dil bilimcisi ve şair *Seyyid Ahmed b. Abdullah Kırımı* (ö. 1474) arasında yer alan diyalogun içeriği bu açıdan dikkat çekicidir. Kırımı, Sultan Murad Hüdavendigâr zamanında Anadolu'ya gelmiş ve Merzifon medresesinde müderris olmuştur. İstanbul feth edildikten sonra oraya geldiğinde Fatih'le tanıştırılmıştır. Fatih Sultan Mehmed görüşmelerin birinde Seyyid Ahmed Kırımı'ye; ““Molla, Kırım mamur bir yer imiş. Orada pek çok âlim yetiştirmiş. Hatta şu sıralar altı yüz musannif varmış ve hep telifle meşgul olurlar-mış. Bu gerçek midir?” diye sorar. Molla Kırımı ise “Evet sultanım, doğrudur. Ben o devrin sonlarına yetiştim. Şimdi ne o mamurluktan ne de musanniflerden eser var.” şeklinde cevap verince Fatih bunun sebebini sorar. Kırımı bunun sebebini şöyle açıklar: “Bir hain vezir ortaya çıktı. Ulemaya düşmanca davrandı, eziyet etti ve aralarına nifak düşürdü. Ulema arasında zamanla ihtilaf çıktı, dağılıp gittiler. Bu sebepten Kırım da harap oldu. Siz de bilirsiniz ki ilim ve marifet mülkü mamur eder.” demiştir (Taşköprülüzâde, 2007: 94). Kırımı'den Osmanlı ulemasından Yu-suf b. Cüneyd et-Tokadi (Ahizade) ders almıştır. Kırımı İstanbul'da vefat etmiş ve mezarı da Fatih civarında Molla Kestel Mescidi yanındadır (Özel, 1990: 100).

Sonuç

Moğol istilasının Deşt-i Kıpçak ile Anadolu coğrafyasında yaşayan halklar üzerinde siyasi, ekonomik ve dinî bakımından büyük sonuçlar doğurduğu bellidir. Batıdaki istila edilen topraklarda Moğol Kağanı'nın temsilcisi Batu Han'dı. Batu Han, ken-disine bağlı Anadolu Selçuklu Devleti'ne ağır siyasi ve ekonomik baskı uygulama-mış ve ılımlı din politikası yürütmüştür. Moğollar ile Selçukluların arasındaki iliş-kiler İlhanlıların Anadolu'yu tam tahakküm altına almasından sonra değişmiştir.

Anadolu Selçuklu Devleti'nde siyasi otorite bunalımı yaşanırken ortaya dinî zümrelerin çıktığını görürüz. İlhanlı yanlısı dinî zümreler Anadolu'daki İlhanlı ta-hakkümüne her türlü dinî, siyasi ve askeri desteği verirken onlara karşı olanlar ise İlhanlı otoritesine muhalefet eden Selçukluları desteklemiştir. İlhanlılar ken-dilerine muhalif olan zümrelere baskı politikası uygulamış; bu baskılar sonucun-da muhalif dinî zümreler Anadolu'dan göç etmek zorunda kalmıştır. Anadolu'dan



göçerek Deşt-i Kıpçak ve Kırım'a yerleşenler, o bölgelerin dinî hayatında önemli değişikliklere neden olmuştur. Böylece Anadolu Selçuklularının Altın Orda Devleti'nin İslamlaşmasında büyük rolü olmuştur.

Altın Orda Devleti'nin, Anadolu üzerinden Mısır Memlûklü Devleti'yle ekonomik, siyasi ve dinî münasebetleri olduğu ve bu münasebetleri Altın Orda'nın siyasi düşmanları İlhanlılar ile Bizans'ın engellediği bilinmektedir. Gayri-müslim olan İlhanlı ve Bizans'a karşı Selçuklular, Altın Ordalılar, Memlûkler ve diğer Müslümanlar birleşmiştir. Dolayısıyla bu bloklaşmada din faktörü önemli rol oynamıştır. 13. yüzyılın sonlarında Deşt-i Kıpçak ile Anadolu arasındaki ilişkilere İlhanlı Devleti engel olmuştur. 14. yüzyılın sonlarında ise bu engelleme Timur seferleri sebebiyle olmuştur. Fakat bu dönemde siyasi bloklaşmalarda, din faktörünün çok etkili olmadığını görürüz.

15. yüzyılda Altın Orda Devleti çöküş dönemlerini yaşarken Osmanlılar Balkanları ve Bizans'ı fethetmişler. Eskiden bu coğrafyaya seferler düzenleyen Altın Orda Devleti'nin yerini bu dönemde Osmanlı Devleti almıştır. Osmanlı devleti'nin başarılarının nedeni ise her türlü etnik grubu bir araya toplayarak dinin birleştirici gücünden faydalandığı olmalıdır.

Ele aldığımız dönemlerde Deşt-i Kıpçak ile Anadolu arasında hem siyasi hem de sosyokültürel ilişkiler gelişmiştir. Bu ilişkilerde Kırım Yarımadası'nın çok önemli yeri olmuştur. Bu açıdan Kırım yarımadasının Selçuklu döneminde olduğu gibi Osmanlı döneminde de Deşt-i Kıpçak ile Anadolu arasındaki kültür köprüsü olduğunu söyleyebiliriz.

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İletişim Bilimleri
Communication
Science

15 Temmuz Darbe Girişimi Azerbaycan Medyasında

Goshgar Baylarov*, Nurlan Salamov**

Öz: Çalışma Giriş, 2 bölüm ve sonuç kısmından oluşmaktadır. Birinci bölümde Osmanlı'dan Cumhuriyet'e kadar olan darbe girişimleri ve darbeler hakkında kısa bilgi verilmiştir. Çalışmanın ikinci bölümünde 15 Temmuz 2016 tarihinde Türkiye'de yaşanan darbe girişimi olayına Azerbaycan medyasında nasıl bir tepkinin olduğu ve gazetelerin ne tür haberler kullanarak olayı tanımladığı üzerine araştırma yapılmıştır. Temmuz ayının sonuna kadar, yani 2 haftalık bir süreçte Azerbaycan medyasında bu olayla ilgili yer alan makaleler, haberler, röportajlar, mülakatlar vs. yazılar incelenerek genel bir sonuç ortaya koyulmaya çalışılmıştır. Azerbaycan gazetelerinin olaya olan tepkisinde dengeyi sağlayabilmek için gazetelerin tüm gruplaşmalarının (iktidar, muhalefet ve tarafsız gazeteler) olaya bakış açıları araştırılmıştır. Çalışmada analiz temel bir yöntem olarak kullanılmıştır. Ayrıca bazı genellemeler, koordinasyon ve karşılaştırmalar kullanarak medya mekânizmasının çeşitli yönleri bilimsel olarak araştırılmıştır. Çalışmanın sonucu olarak "15 Temmuz" olayı sırasında, Azerbaycan gazeteciliğinin bu olaya dikkat ettiğini görüyoruz. Bazı medya uzmanları, ne Türkiye ne de ülkedeki medya organlarının görüşmelerini ve bulgularını beğenmediklerini söylerler de; ancak bu alandaki çeşitlilik kendini gösteriyor. Araştırma sırasında Azerbaycan'da 15 Temmuz tarihinde büyük tartışmalar yapıldığını dikkat çekmektedir. Gazetecilik tarzı paletini kullanarak, Azerbaycan medya organları haberler ve daha geniş kapsamlı analizler yapmıştır. Azerbaycan gazeteleri de darbe girişimini Türkiye gazeteleri gibi açıklamakla kalmamış, aynı zamanda yerel ve yabancı izleyicilerin özgü görüşlerini belirlemek için çaba göstermiş ve böylelikle Türkiye'deki duruma dikkat çekme misyonunu yerine getirmiştir. Gazetelerde yayınlanmış olan yazıların temel yönü silah gücü ile demokrasinin kurulmasının absürd bir yaklaşım olduğudur. Çalışmada çoğu gazetelerde yayınlanmış yazılar olmakla 70'e yakın kaynak kullanılmıştır.

Anahtar Kelimeler: 15 Temmuz, Darbe, Azerbaycan Medyası.

* Selçuk Üniversitesi, Sosyal Bilimler Enstitüsü, Gazetecilik Bölümü Yüksek Lisans Programı.

İletişim: qoshqar.beylerov96@gmail.com.

** Bakü Devlet Üniversitesi, İletişim Fakültesi Yüksek Lisans Öğrencisi, nurlanselim@gmail.com



Giriş

Gazetecilik ulusal olduğu kadar hem de uluslararası bir meslektir. Medya, sınırlar olmaksızın dünyadaki tüm konuları kapsayan en iyi araçtır. Uluslararası gazetecilik arenası konsepti de bunu gerektiriyor. Farklı ülkelerdeki kitle iletişim araçlarının ortaya çıkışı ile birlikte biçimlenmeye başlamıştır. Çünkü dünya ülkelerinde gazetecilik oluşumu, ilk gazetelerin sadece yerli değil, yabancı haberler de vermesi, hatta yabancıların diğer ülkelerde medya organlarının temelini koyması (örneğin, Türkiye’de “Takvim-i Vekayi”den önce Fransızca “Bulletin de Nouvelles”, “Gazette Française de Constantinople”, “Le Spectator Oriental”) uluslararası gazeteciliğin kuruluşunun başlangıcı olmuştur (Salamov, 2017, s. 8).

Azerbaycan basınının yanı sıra tüm ülkelerin gazeteciliği, uluslararası yaşam konularında önemli yer tutmaktadır. Özellikle, Türk Dünyası’ndaki ve Kafkasya’daki olaylar, Azerbaycan kitle iletişim araçlarının ana malzemelerinden biridir. Klasik gazetecilik dönemine baktığımızda görüyoruz ki, Azerbaycan’da basının daha yeni kurulduğu zamandan başlayarak siyasi gazetecilik teşekkül bulmaya başlamış, gazetecilerin yazılarında dünyada gerçekleşmiş olan siyasi olaylar yansıtılmıştır. Örneğin, faşizmin satirik makalelerle ifşasının net çalarlarla işlenmesi Üzeyir Hacıbeyli yaratıcılığının gücünü kanıtlıyor. Klasik Azerbaycan kamuoyunun konu alanlarından biri de Türkiye’nin yaşamı olmuştur. Klasik gazetelere baktığımızda Sultan II Abdülhamid’in tasviriyle ilgili daha fazla makale, Türkiye’deki süreçleri anlatan ve yeri geldiği gibi eleştiren yazılar görmekteyiz.

Gazetecilik yarandığı dönemden bugüne kadar dünyada yaşanan siyasi, sosyal ve ekonomik süreçlerde etkin görev almıştır. Bazen ise bunların gerçekleştirilmesinde doğrudan rol oynamış, etkilemiştir. Çağdaş dünyanın siyasi manzarasında daha çok olayların gerçekleştiğini düşünürsek, burada basının siyasi bilimler düzleminde tetkik olunması kaçınılmazdır. Araştırmada konmuş mesele ise Azerbaycan Medyası’nın Türkiye’de yaşanan askeri darbeye teşebbüs zamanındaki faaliyetidir. Çünkü olayın hem baş vermeden önce, hem de sonraki ayrıntılarını yalnızca medya aracılığıyla elde edebiliriz. Burada da çeşitli medya kuruluşlarının yaklaşımı, olaya yaklaşım tarzı farklı olduğundan oluşan çoğulculuk siyasi süreci daha derinden idrak sağlar. Kitle iletişim araçlarının askeri darbeye teşebbüs olayında varlığı ve etkinliğinin araştırılması hem de gazetecilik uluslararası yaratıcılık ilkelerinin oluşumunda büyük rol oynadığını göstermektedir.



Osmanlı'dan Cumhuriyet'e Darbe Girişimleri ve Darbeler

Devletin emrindeki resmî askeri kurumlara mensup kişi ya da kişilerin herhangi bir zaman belirtmeden, gizli plan ve programlar doğrultusunda, anayasal olmayan yollarla iktidarda olan mevcut hükümeti devirmesi, ve iktidara el koymasına “askeri darbe” denmektedir. Sivil iktidarın sahip olduğu yönetime el koyan darbe yönetimi, seçimle gelen meclisi kapatır ve meclisin seçtiği hükümeti devirir, yerine kendi yasama ve yürütme organları getirir ve rejimi yeniden oluşturur.

Parlamenter rejimin sağlıklı ve sağlam temeller üzerine kurulmadığı, sosyal sınıflar arasında güçlü bir dengenin olmadığı ve ekonomik kalkınmanın, gelişmenin yaşanmadığı ülkeler, darbeye karşı savunmasız olan ülkelerdir. Bu ülkelerde halkın egemenliğine dayalı bir yönetim şeklinin yerleşmesi güç olduğu için darbeyle gelen memur-asker yönetim şeklinin yerleşmesi güçlü bir ihtimaldir. Çünkü halkın egemenliği devlet yönetimine yansımaz ve devlet yönetiminde boşluklar olursa, bu boşluklar memur ve askerler tarafından doldurulur (Demiriz, 2011, s. 14).

Bir ülkede gerçekleşen darbenin ve ya müdahalenin gerçekleşme nedenini tek bir faktöre bağlamak yanlıştır, ülkede yaşanan iç ve dış çalkantılar, sosyal, politik ve ekonomik ortam tek başlarına darbenin yapılmasına neden olamazlar. Bütün faktörler bir araya gelir ve darbe için zemin hazırlar

Türkiye'nin siyasal hayatında darbeler önemli bir yer teşkil etmektedir. Neden bazı ülkelerde demokrasi yerleştiği hâlde bazılarında hâlâ daha oturmamış olduğu sorusuna bir cevap vermek gerekmektedir. Bu yolla Türkiye'nin demokratikleşmede karşılaştığı zorluklar ve çözüm önerileri üzerinde durulabilir (Akıncı, 2014, s. 18).

Demokrasiyi kesintiye uğratan ve insan hakları büyük zarar veren Askeri Darbeler Türkiye Cumhuriyeti'ne Osmanlı Devleti'nden kalan kötü bir gelenektir. Osmanlılar da aslında darbeleri eski Türk devletlerinden miras olarak almıştır. Türk Hükümdarları tarih boyunca genelde askeri bir alt yapıdan gelmiştir. Orduların yönetime karşı ayaklanma nedenleri çıktıkları dönemlere göre farklılıklar göstermiştir.

İslam öncesinde amaç daha cengaver bir hükümdarı tahta geçirmekken, İslam'ın kabulünden sonra amaç dinin korunması olmuştur. Osmanlı'nın son üç yüzyılına damgasını vuran isyanların çoğu da “din”i korumak bahanesiyle yapılmıştır. Cumhuriyet sonrası ise darbeler ordunun yönetime müdahalesin, meşrulaştırma aracı, “laiklik” ve “hukuk devleti”ni sözde korumak olmuştur. Yani ordu duruma göre bazen din, bazen laiklik bazen devletin bekasını korudu-



ğunu öne sürerek darbeleri yapmış, bu şekilde onları meşrulaştırmıştır (Demiriz, 2011, s. 16).

Osmanlı Devleti'nde devlet ve ordu ilişkisi kuruluş döneminde bağımsız olmuş, askeri otorite devlet yönetimine zarar vermeden işleyişini sürdürmüştür. Kuruluş döneminde ordu askeri ihtiyaca göre gönüllülerden oluşturulmuş, devletin büyümesi, sınırların geliştirilmesiyle daimi ordu kurulmasına ihtiyaç duyulmuştur. Osmanlı ordusunun en önemli kısmını oluşturan Kapıkulu kuvvetleri asıl olarak yeniçeri ve sipahilerden oluşmuştur. Yeniçeriler Osmanlı ordusunun önde gelen askeri birliği olmuştur. Osmanlı Devleti'nde isyanlar ve darbeler Fatih Sultan Mehmet dönemi 1446'da Buçuktepe İsyanı ile başlayıp, 1913'te Bab-ı Ali Baskını ile sona ermiştir. Osmanlı tarihi boyunca tahta geçen 36 padişhahtan 12'si isyan ve darbeler sonucunda tahtını kaybetmiştir. Gerçekleştirilen isyanlar aylarca devam etmiş, günlük hayatı olumsuz bir şekilde etkilemiş, halka korku dolu günler yaşatmıştır. Son derece uç ve acımasız boyutlara ulaşan isyanlar sonunda öldürülen devlet adamlarının cesetleri köpeklerle atılmış, sadrazamların kelleri kesilmiş ve padişahlar acımasızca katledilmiştir (Afyoncu, 2010).

Türkiyede askeri müdahaleler, tarih boyunca kimi zaman ordunun kurumsal olarak, kimi zaman ise bazı yüksek rütbeli subayların kendi başlarına inisiyatif olarak sivil yönetime el koyma girişimleri olarak vuku bulmuştur. Bunlardan bazıları başarıya ulaşmış, bazıları ise yalnızca hükümete yapılan bir uyarı olmakla kalmıştır. Türkiye'de gerçekleşmiş askeri müdahaleler ve müdahale girişimlerinden biri Bâb-ı Âli Baskını'dır. Olayın yaşandığı tarihlerde Balkan Savaşları'nda alınan hezimetler bütün halkın ve muhaliflerin sinirlerini germiştir. Bulgarlar neredeyse Edirne'yi alacak duruma kadar gelmişlerdi. İttihalcı-İtilafçı çatışmasının gittiği bir ortamda yapılan bir ara seçimde Hürriyet ve İtilaf Partisi'nin tek oyla seçimi kazanması İttihatçıları öfkelen-dirmiş, onlar da 23 Ocak 1913 tarihinde Bâb-ı Âli Baskını ile cebren iktidarı ele geçirmişler ve Osmanlı Devleti'nin yıkılışıyla sonuçlanan Birinci Dünya Savaşı'nın sonuna kadar fiilen tek başlarına siyasal yaşama hakim olmuşlardır. Bu olay Modern Türkiye Tarihi'nin ilk ihtilali olarak değerlendirilmektedir (Özsoy, 2000, s. 24).

1946 yılında çok partili hayata geçen Türkiye, 1950'de yüksek bir oyla iktidara gelmiş Demokrat Parti yönetimindeydi. İlk yıllarda pek bir sorun çıkmasa da, Demokrat Parti iktidarının ikinci döneminden sonra, başta üniversite öğrencileri olmak üzere halkın birçok kesimi uygulanan politikalara karşı çıkmaya başlamıştı. Heper ve Tachauya göre, ordu ülke içinde giderek artan siyasal gerilim ve çatışmayı durdurmak ve rejimi gelebilecek tehditlerden korumak amacıyla



eylemde bulunduğundan, diğer bir deyişle statükoyu muhafaza etmek amacıyla eylemde bulunduğundan, “gardiyan” tip askeri yönetim özelliği göstermiştir (Örs, 1996, s. 46).

27 Mayıs 1960 gecesi patlak veren müdahale, 37 subay tarafından planlanmıştı. Bu olay sonraları Genç Subaylar İhtilali olarak da anılacaktı. Orgeneral Cemal Gürsel hareketin başına geçti. Cumhurbaşkanı Celal Bayar ve Başbakan Adnan Menderes tutuklandılar. 1961 yılında yeni Anayasa kabul edildi, Yassıada’da yargılanan Adnan Menderes ve birçok siyasi idama mahkum edildi. Celal Bayar yaşı sebebiyle müebbet hapis cezasına çarptırıldı. Türkiye Cumhuriyeti, senato gibi yeni siyasi kavramlarla tanıştı.

1960 darbesi, sadece halkın oylarıyla kurulmuş bir hükümetin silah zoruyla indirilmesi değil, aynı zamanda Cumhuriyet döneminin ilk askeri darbesi olması ve bundan sonrakilere örnek teşkil etmesi bakımından da ayrı bir öneme sahiptir. Bu darbe, Türkiye’de demokrasinin yerleşmesi ve kurumsallaşması sürecini trajik bir şekilde kesintiye uğratmış, siyasi yapının temellerini kökünden değiştirecek yeni yapılanmaya zemin hazırlamıştır. Demokrasiye vurulan bu ilk darbe, “darbe-ler süreci”nin başlangıcıdır (Dursun, 2001, s. 22).

1969 seçimlerinden sonra Süleyman Demirel yönetimindeki Adalet Partisi iktidara gelmişti. Cumhuriyet Halk Partisi ise ana muhalefet konumundaydı. Fakat 1968 yılından beri gelen anarşi ve terör olayları ülkeyi günden-güne yıpratmaktaydı. Sık sık yaşanan öğrenci hareketlerine karşı, polis ile üniversite öğrencileri arasında çatışmalar vuku buluyordu. Bu güvenlik zafiyetlerinin yaşandığı düzensiz ortam, ordunun müdahalesini hazırlayan temel etkeni. 1971 Mart’ında bir muhtıra ile iktidara ikinci kez el koyan ordu, müdahaleyi, hükümetin ülkeyi anarşiye, bölücü çatışmalara ve sosyal ve ekonomik bozulmaya sürüklediğini, bu durumun Türkiye Cumhuriyeti’nin geleceğini tehlikeye atacağı gerekçesiyle, haklı göstermişti. 1960 müdahalesinden farkı, bu sefer, gelebilecek tehlikelere karşı statükoyu korumak amacıyla kökten olmayan, bazı yüzeysel değişikliklerle yetinilmiş olmasıdır (Örs, 1996, s. 48).

1979 yılına gelindiğinde yeni darbenin ayak sesleri duyulmaya başlamıştı. 19 Temmuz 1980 tarihinde Nihat Erim’in suikasta uğraması da olayların patlak verdiği bir dönüm noktasıydı. Sonuçta Türk Silahlı Kuvvetleri tarafından devlet yönetimine el koyuldu. İhtilal bildirgesi sabaha karşı Genelkurmay Başkanı Kenan Evren tarafından televizyonlardan bizzat duyuruldu. 1961 Anayasası uygulamadan kaldırıldı ve bütün siyasi partiler kapatıldı. 1982 yılında Türkiye Cumhuriyeti tarihini değiştirecek yeni bir Anayasa tasarlandı. 12 Eylül 1980 de silahlı kuvvetler-



ce, Genelkurmay Başkanı'nın önderliğinde ve dört kuvvet komutanının eşliğinde, "emir-komuta" zinciri içinde devlet yönetimine el konulması, Türkiye'ye Kemalist Devrime yönelik tam bir karşı-devrim süreci getirmiştir (Velidedeoğlu, 1990, s. 34).

Çok yakın tarihte ise, yani 15 Temmuz 2016 yılında saat 22.00 sularında İstanbul'daki boğaz köprülerinin askerler tarafından kapatılmasıyla patlak veren 15 Temmuz Darbe Girişimi'nde başkent Ankara'da F16 uçakların alçak uçuşları ve helikopter seslerinin duyulmasıyla gerilim arttı. İstanbul ve Ankara başta olmak üzere birçok şehirde tankların sokaklarda görülmesiyle darbe girişimi gittikçe farklı şekil almaya başlamıştı. Başta Cumhurbaşkanı Recep Tayyip Erdoğan olmak üzere, Başbakan Binali Yıldırım, Eski Cumhurbaşkanı Abdullah Gül ve mevcut Bakanlar, canlı yayınlara telefonla bağlanarak halkı sokağa çıkmaya davet etti.

Halk bu çağrıya uyarak meydanlara akın etmeye başladı. Bazı vatandaşlar tankların önünü kesti ve durdurulan tankların üzerine çıktı. Asker, polis ve sivil halk arasında yaşanan bu gerilim, sabah 06.00 sularında Boğaziçi Köprüsü üzerindeki askerlerin silah bırakmasıyla yumuşadı. Ancak gece boyunca pek çok asker ve polis ve sivil vatandaş hayatını kaybetti. Yaşananlar ise çoktan Türkiye Cumhuriyeti tarihindeki acı olaylar arasındaki yerini aldı.

"15 Temmuz" Azerbaycan Gazetelerinde Nasıl Yer Aldı?

Türkiye'de "15 Temmuz" askeri darbe girişimi 2016 yılında gerçekleşmiştir. Bununla ilgili olay meydana gelen ülkede belirli kaynaklara rast gelsek de, Azerbaycan'da bu olaya bilimsel yaklaşım çok az olmuştur.

"15 Temmuz" olayı sırasında, Azerbaycan gazeteciliğinin bu olaya dikkat ettiğini görüyoruz. Bazı medya uzmanları, ne Türkiye ne de ülkedeki medya organlarının görüşmelerini ve bulgularını beğenmediklerini söylediler de; ancak bu alandaki çeşitlilik kendini gösteriyor. Araştırma sırasında Azerbaycan'da "15 Temmuz" tarihinde büyük tartışmalar yapıldığını görüyoruz. Gazetecilik tarzı paletini kullanarak, Azerbaycan medya organları haberler ve daha geniş kapsamlı analizler yapmıştır. Medyanın genel resmine baktığımızda burada tipolojik bölünmenin önemini bir daha anlıyoruz. Bu nedenle, medyanın müdahalesi sırasında ve sonrasında bilgi akışını üç yönde bölmek mümkündür:

1. Resmi Gazete ve Azerbaycan Devlet Bilgilendirme Ajansı haberleri,
2. Muhalefet medyasının davayı kapsayan tutumu,
3. Bağımsız bilgi politikası yürüten medya kuruluşları tarafından yazılmış haberler.



Medyanın türüne göre bilgi politikası yürüttüğü bilinmektedir. Bu nedenle, resmî gazetelerin ve AZERTAC'ın materyallerini analiz ederken ana hattın bilgilendirici olduğunu burada görüyoruz. Örneğin, Azerbaycan Gazetesinin sayfalarında, "15 Temmuz"la ilgili haber yüklü haberler, ana başlıklar yer alıyor. Respublika'da da aynı eğilim görülmektedir. Resmî devlet gazetelerinin ana haberleri bu yönere ayrılabilir:

- Darbeye teşebbüsle bağı Azerbaycan Cumhuriyeti Cumhurbaşkanı İlham Aliyev'in Türkiye'deki meslektaşına mektubu
- Olayla ilgili Azerbaycan Cumhurbaşkanı ve diğer hükümet yetkililerinin görüşlerini gösteren makaleler
- 15 Temmuz'da Azerbaycan Cumhurbaşkanı tarafından atılan adımların Türkiye mediasında yansımalarıyla ilgili haberler
- Bilgilendirici ağırlıklı araştırmalar, açıklayıcı ve istatistiksel bilgiler dahil
- ANS Bağımsız Medya ve Medya Şirketi'nin kapatılmasının olaydaki yeri ve sebepleri hakkında bilgi
- Darbe girişimiyle ilgili Türkiye ve Azerbaycan'da yaşanan ve hâlen devam etmekte olan süreçle ilgili haberler

Gördüğümüz gibi, konuştuğumuz basın daha resmî bilgiler yaymış durumda. Burada araştırma da buluyoruz, ancak bu yazıda bilgilendirici yön açıkça belli oluyor. Makalede olay ve ölümler, hapisler hakkında bilgiler yer almıştır. Allahverdi Mehdiyev'in araştırmasında Sırbistan, Arnavutluk, İtalya ve diğer devletlerin Türkiye hükümetinin desteği ile ilgili bilgiler de vardır.

Azerbaycan'da "15 Temmuz" ile çınlayan ana olay ANS TV'nin yayından kaldırılmasıydı. Azerbaycan ve Respublika gazeteleri sayfalarındaki yazılarda medya kurumu demokratik yapıya sahip Türkiye Cumhuriyeti'nin aleyhine propaganda yapması, olayı çeşitli janrlarla "güç tarafından düzenlenen gösteri" gibi telkin etmesi, Fethullah Gülen ve onun taraftarlarına destek vermesi ve nihayet, vahşi cinayete beraat kazandırmakla terörizmi teşvik etmekle suçlandı. Konuyla ilgili Türkiye yönetiminin isteği, Azerbaycan Cumhuriyeti Baş Savcılığı'nın talebi üzerine Milli Televizyon ve Radyo Konseyi'nin (MTRŞ) ANS TV'nin yayımını geçici olarak durdurması, daha sonra yargı kararı ile lisansının iptal edilmesi bilgileri de yayılmıştır.

Resmî gazeteler, Azerbaycan'daki siyasi durumun istikrarlı olduğunu da belirtmiştir. Komşu Türkiye'deki olay Azerbaycan çevresi ile karşılaştırılmış ve Azerbaycan'daki güvenlik ve istikrar gibi faktörler değerlendirilmiştir (Caferli, 2016).



Olayla ilgili olarak AZERTAC resmî gazetelerden daha çok bilgi yayını alanında çeşitlilik ve özgünlük sağlamaktadır. Tabii ki burada da başlıca amaç bilgilendirmektir. Lakin çok sayıda haberlerin yayınlanması, gazetelerin de ondan kaynaklanarak haberleri yayması olayın dikkatle ve gündemde saklaması bir haber ajansı standartlarına cevap verilmesidir. Gazetelerin analizi zamanı oradaki yazıların çoğunun AZERTAC'dan alınması onun resmi gazetelerin başlıca bilgi kaynağı olduğunu gösteriyor.

Olayı kapsayan süreçte gazetede gazetecilik etiği konusuna dikkat edilmiştir. Güzel olan o ki, bütün gazetelerde kendine mahsus olmayan makalelerde kaynak gösterilmiştir. Hatta bir gazetede analitik makalenin yayınlandığı sitenin ekran görüntüsü de başlık olarak verilmiştir.

Azerbaycan muhalefet medyasını Türkiye'nin 15 Temmuz gününe ilişkin analiz ederken farklı yaklaşımlar ortaya çıkıyor. Resmi basının doğrudan haberlemek politikasının aksine, burada bilgi yaymakla birlikte tam farklı yaklaşımlar da buluyoruz. Bunların en bariz örneklerini, Yeni Musavat ve Azadlık da göre biliriz.

Yeni Musavat Gazetesi ile önceki gazeteler arasındaki fark, artık burada köşe yazılarının olmasıdır. Yani, basın sadece bilgi sunmakla kalmayıp öznel ve objektif analiz de yapmaktadır. Objektif analizler arasında, uzmanlarla yapılan röportajlar ve olayın detaylarını araştıran soruşturmalar da dahildir. Gazetenin bilgi akışını 15 Temmuz'da aşağıdaki gibi gruplamak mümkündür:

Askeri darbeye teşebbüsün ayrıntılarını araştıran makaleler - Bu türden materyallerin içeriği daha çok uzmanların - siyaset bilimcileri ve siyasi figürlerin konuyla ilgili görüşleridir. Gazeteci araştırmaları türünde yazılmış makalelerde olayın meydana gelmesinin nedenleri, ulusal ve uluslararası siyasi arenadaki kökenleri, sonuçları ve s. belirtilmiştir. Erdoğan'ın hükümetinin ülkeni İslamlaştırması gibi ilereli sürülmüş iddalar, F.Gülen'in olayla olan ilişkisi, girişimde ABD unsuru, Rusya-Türkiye ilişkileri ve hatta 2015'te Rus uçağını vuran Türk pilotun olayla bağlantı araştırılmıştır;

15 Temmuz'da Medya Profesyoneli Konuları - Medya uzmanlarının darbe girişimi döneminde çalışmalarını değerlendiren mülakatları yazıların temelini oluşturuyor. Burada hem Türkiye hem de Azerbaycan gazeteciliği konuları analiz edilmiştir;

ANS'in yayınının askıya alınması - Bu alandaki haberlerde, şirketin yayınının durdurulması ile ilişkili ayrıntılı bilgiler verilmektedir. Medyanın kapatılmasıyla ilgili bilgilerle birlikte, konuyla ilgili farklı fikirler de yansıtılıyor. Ayrıca, ANS yetkililerinin açıklamaları, özürleri ve bu gibi işlemlerin aydın-



latılması da haberlerin esasını teşkil etmektedir. Bir süre sonra ise şirketin “yerinin görünmesi” ile ilgili haberler de çıkmıştır.

Fettullah Gülen’in iadesi sorunu - Türkiye’nin ABD’den Gülen’i talep etmesi ve onun etrafındaki tartışmaları anlatan makalelerin yayınlanması bu tür materyallerin temelini oluşturuyor. Bu makalelerde hem Azerbaycan politiklerinin hem de ABD tarafının fikirleri yer almaktadır. Her iki taraftan ileri sürülen argümanlar okurlara iletilmiştir.

Mevcut durumun Azerbaycan ve Dağlık Karabağ sorunu ile ilgilendirilmesi - En çeşitli ve tutarlı bilgiler bu tipli makalelerde yer almıştır desek herhalde yanılmayız. Bu gruptaki makaleler Dağlık Karabağ sorununun çözümünde Türkiye’nin konumunun zayıflamasından bahs ediliyor. Hatta bu olay 1999’da eEmeni tarafıyla yapılan anlaşmada elde edilen sonuçlardan bazılarına rağmen, Ermeni parlamentosundaki bir terör saldırısının patlak vermesiyle karşılaştırıldı. Yürütülen politika sonucunda, Türkiye’nin kafasının kendi işlerine karışacağı ve Karabağ meselesinde Azerbaycan’a desteğinin zayıflayacağı gibi haberler yer almıştır. Bazı makalelerde ise olay, Haziran 1993’te Azerbaycan’da yaşanan olaylarla da karşılatırılmış ve bazı analizler yapılmıştır.

Bunların dışında, Nurcularla Gülecilerin farkını anlatan araştırma yazıları, olaydan sonra dünyada meydana gelen siyasi gelişmelerin darbeye teşebbüs bağlamında değerlendirilmesi vb. bazı konular çalışılmıştır. Örneğin, İran’ın Terh-i No gazetesinde İran edebiyatının temsilcilerinden Ebülkasım Firdevsi’nin “Şehname”sinin dili ile Türklerin aşağılanması meselesi Türkiye’de 15 Temmuz askeri darbe girişimle ilişkilendirilmiştir. Uzmanlar vesilesiyle, okuyuculara Türkiye’de ordunun, İran’da ise milletin ayağa kaldırılması işi anlatılmıştır. Burada da Batı, ABD, yerel rejim vb. gibi faktörlerin analizi yer almaktadır.

Muhalfif yönlü gazetecilerin örneklerinden olan Yeni Müsavat’ın temel yazılarında, devletçilik ilkeleri esas götürülmüştür. Erdoğan hükümetinin halk tarafından seçilmesi argümanı esas getirilerek hükümetin olayda suçlanmasına çok yer ayırmıyor. Ayrıca, olay sırasında Türkiye’de olan gazetenin baş editörünün birinci yardımcısı Azer Ayhan’ın, olaylarla ilgili gördüklerini, yaşadıklarını ve tutumlarını paylaştığı röportajında da bunu görüyoruz.

Genel anlamda, girişimde dış unsurların bir bağının olup-olmayacağı gibi meseleler- BAE, Mısır, Suudi Arabistan’dan İsrail ve diğer ülkelerin olayla bağlantısı konusu da bir faktör olarak değerlendiriliyor.

Muhalefet medyasının olayla ilgili materyallerinde çoğulculuk korunmaktadır. Burada Türkiye’nin köşe yazılarında gördüğümüz üç istikametde olan fikirle-



rin “Yeni Musavat”da da yer aldığını görüyoruz.

Azadlık Gazetesi’nin yazıları ise Yeni Musavat’dan çok farklıdır. Buradaki temel yaklaşım, Türkiye’deki olayları Azerbaycan politikasıyla karşılaştırmaktan ibarettir. Yeni Musavat’da darbeye girişimin detayları ile ilgili yazıların ağırlığı daha ağır idiysen, Azadlık’ta olaydan ülkenin siyasi rejimine mesaj iletimi ve Azerbaycan Halk Cephesi Partisi (AHCP) Başkanı Ali Kerimli’nin “15 Temmuz” ve ilgili süreçlere yaklaşımını yansıtmış haberler çoğunluk oluşturmaktadır.

Halkın harekete geçirilmesi ve demokrasinin seferber edilmesi gibi unsurlar da incelenmekte ve materyallerde sunulmaktadır. Doğal olarak, bu açıdan ifade edilen görüşler, aynı zamanda hükümetin doğrudan günahkar görüldüğü köşe yazıları da gazete sayfalarında yer almıştır. Bu nedenle yukarıda dengenin sağlandığını belirtmiştik.

Azadlık gazetesi de gündemi bilgi yayma alanıyla ilgili konularda tutuyor:

- Olayla ilgili bilgilendirici makaleler,
- Uluslararası kuruluşların Türkiye’nin mevcut durumu ve politikasına dair tavırları,
- ANS konusu,
- Azerbaycan’da “Gülencilerin” temizlenmesi. Medya ve eğitim sektöründe bu konuda yapılmış çalışmalar.

Yeni Musavat’ın aksine, Azadlık, ANS ile ilgili çok sayıda kişisel bilgi içeriyor. Bu yaklaşımlar hem kurumun yayın profesyonelliğine hem de yayının durdurulmasının politik yönleriyle ilgilidir.

Azad Akifoğlu’nun basın sayfasındaki makalesinden okuyoruz ki, Türkiye’de yaşanan malum olayla ilgili “sevinç” hissi yaşamış, destekleyen kişileri anlamak zorundayız. Burada onların “sevinçleri” siyasi rejime olan kızgınlıkla anlatılmış ve onları da anlama konusu ortaya konulmuştur. Gazetede yayınlanan makaleler arasında kardeş ülke olan Türkiye sevgisi de yer almaktadır. Ayrıca Azadlık gazetesi sayfalarındaki köşe yazılarının yönünde de olayın Türkiye’deki nedenlerinden biri olarak iddia edilen Erdoğan ve AKP’nin din devleti kurmak isteği tartışmaya çıkarılmıştır (Akifoğlu, 2016).

Azerbaycan basınında söz konusu olay hakkında yaptığımız araştırmanın üçüncü yönü ise bağımsız-tarafsız bilgi politikası yürüten gazetelerin haber ve analitik yazılarıdır. Burada, diğer iki yönden farklı bir eğilime tanık oluyoruz. Azerbaycan gazeteciliğinde tipoloji dağılımı hakkında incelemelerde bulunan filoloji bilimleri üzere felsefe doktoru Gönül Nifteliyeva’nın makalelerinden de okuduğumuz gibi, her bir gazetenin enformasyon politikasının varlığına uygun olarak, bu yayın politikasına hizmet eden gazetecileri de var.



Tarafsız basında çıkan makalelerin yazarları da bu ilkeyi takip etmektedir. Çalışma sırasında burada bulunan makalelerin resmî basın ve medyadan oldukça farklı olduğunu görüyoruz. Özellikle, Kaspi, Şark ve 525. Gazete'lerin dökümanlarında ne resmî basının doğrudan haberlemelerine, ne de muhalif medyanın öznel görüşlerine rastlıyoruz. Bu sayfalarda hemen hemen hiç köşe yazıları bulunamamış ve tüm veriler araştırmaya dayanmaktadır. Yani, haberleşme politikası basit bilgisellik ve öznellikten objektifliğe odaklanmıştır.

Bu tip medyanın materyallerinde, Türkiye'deki askeri darbe girişimi ve Azerbaycan'daki yansımaları hakkındaki kişisel görüşler değil, uzman görüşleri yer almaktadır. Kaspi Gazetesinin Temmuz sayılarında, "Kamran" imzasıyla silsile olarak yayınlanan araştırmalarda olayın tüm ayrıntıları verilmiş, çeşitli eğilimler ve iddialar göz önüne alınmıştır (Kamran, 2016). Bu makalelerin siyasi analizi yönünde aşağıdaki konulara değinilmiştir:

- Olayla ilgili tutuklamalar ve diğer istatistiki bilgiler,
- Olayın Türkiye-Azerbaycan ilişkilerine göstereceyi tesiri,
- 15 Temmuz 'la ilgili Türkiye 'de medya alanındaki değişiklikler,
- Darbe girişimiyle ilgili Azerbaycan 'da yaşanan olaylar vb.

Bilgi yayınındaki tüm ayrıntıları göz önüne alınması, yazılarda bilgilerin aktarımı, olayın okuyucular tarafından kapsamlı bir şekilde anlaşılmasına katkıda bulunmuştur.

Bağımsız gazetelerde de ANS konusu gündeme getirilmiş ve analiz edilmiştir. Burada da, kişisel görüş ve yazılar değil, mülakatların, uzman görüşlerinin sunulmasını medyanın tipolojik bölünmesine bağlılık ilkesi gibi algılamalıyız.

Kaspi Gazetesinde bahsettiğimiz yazı şeklinin aynı karakteristik formu Şark Gazetesinde de mevcuttur. Orada, "İsmayıl" imzası altında yayınlanan araştırmalarda olayla ilgili tüm ayrıntılar kapsanmıştır. (İsmayıl, 2016), Ayrıca, Şayman Bayramova, Ayyat Ahmet gibi gazetecilerin Türkiye'nin siyaseti ve yaşamına çok büyük etkisi olmuş girişimle ilgili hazırlamış oldukları araştırmalar, Azerbaycan tarafsız medyasının da olayı aynen Türkiye medyası kadar gündemde tuttuğunu göstermektedir (Bayramova; Ahmet, 2016).

Genel olarak, Azerbaycan'daki geleneksel medyanın, Türkiye'deki darbe girişimini kamouya ulaştırmak için elinden geleni yaptığını söyleyebiliriz. Gazeteciliğin tipolojik çeşitliliği, bilgilerin de çeşitliliğini yaratmış ve kitlenin gereksinimlerine ve isteklerine uygun materyallere erişim koşulları yaratmıştır. Doğal olarak, gazetenin enformasyon politikasını da okurlar oluşturmaktadır. Bu nedenle, gazete okurları olayla ilgili kendi bakış açılarına uygun haberlere ve diğer



makalelere erişebilmişler. Bütün bu analizlerden medyanın, olay ve onunla ilgili Türkiye’de, Azerbaycan’da ve yurtdışında olan tüm olaylar hakkında hem öznel hem de objektif olarak çoğulculuğun korunduğu görülebilir.

Sonuç

Türkiye’deki askeri darbe girişimi zamanı Azerbaycan gazetelerini analizinde medyanın bilgilendirmek, olaylar hakkında kamuoyu yaratmak ve doğrudan izleyicilere hizmet etmek gibi işlevlerini görüyoruz.

Azerbaycan gazeteleri de darbe girişimini Türkiye gazeteleri gibi açıklamakla kalmadı, aynı zamanda yerel ve yabancı izleyicilerin özgü görüşlerini belirlemek için çaba göstermiş ve böylelikle Türkiye’deki duruma dikkat çekme misyonunu yerine getirmiştir.

Bildiğimiz gibi, dünyayı enformasyon yönetmektedir. Bu kesinlikle kendini siyasi, sosyal, ekonomik ve diğer alanlarda gösteren bir olgudur. Bilgi süreci yönetimi ise doğrudan medyaya bağlıdır. Bu yönetim, Azerbaycan medyasında bahsettiğimiz örnekler ve gerçekler temelinde ülkenin medyası için normal kabul edilebilir. Elbette, burada bazı kusurlar var ve bu da çalışma sırasında kendini belli etmiştir. Çözüm olarak ise, bu gibi konularda kamuoyuna bilgi sunulurken, uluslararası standartlarla ilgili ilkelerin hazırlanması ve medyanın bu ayrıcalıklar tarafından yönlendirilmesi gereğini gösterebiliriz.

Türkiye’de 15 Temmuz darbe girişimine Azerbaycan basınının yaklaşımının sonucunda ise söyleyebiliriz ki gazetelerde yayınlanmış olan yazıların temel yönü silah gücü ile demokrasinin kurulmasının absürt bir yaklaşım olduğudur. Demokrasi hiçbir zaman silah gücüne devrilmemelidir ve böyle olaylarda medya sadece enformasyon vermekle kalmayıp, aynı zamanda demokrasiyi korumak için çalışmalıdır.

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Çocuk Bilgi Yarışma Programlarında Kültürel Göstergelerin İçerik Analizi*

Khanim Mukhtarova**

Öz: 7-17 yaş arası okul öğrencilerinin entelektüel düzeyini ve bakış açılarını artırmak amacı ile yapılan çocuk bilgi yarışma programları dünyanın farklı kültürel yapısına sahip bir çok ülkesinde yerli yapım olarak ya da yabancı içeriklerin adapte edilerek televizyon kanallarının yayın akışında yer bulmaktadır. Bu çalışma kapsamında George Gerbner'in "Kültürel Göstergeler ve Ekme Kuramı" bağlamında Azerbaycan ve Amerika Birleşik Devletleri'nin (ABD) iki çocuk bilgi yarışma programındaki kültürel değerler ele alınmaktadır. Araştırmanın amacı, çocuk bilgi yarışma programlarının içerik ve görsel olarak nasıl bir kültürel anlatı yapısına sahip olduklarının ortaya konulmasıdır. Araştırma kapsamında, çocuk bilgi yarışma programlarının toplam 10 bölümü seçilmiştir. Azerbaycan Televizyonu'nun (AzTV) "Hazırcavablar" ve ABD'nin Massachusetts eyaletinde PBS üyesi olan WGBH televizyon kanalının "High School Quiz Show" programlarının her birinin 2018 yılında yayınlanmış 5 bölümü içerik analizi yöntemi ile içerik ve görsel düzeyde incelenmiştir. İçerik düzeyde, okul öğrencilerinin katıldığı çocuk bilgi yarışma programlarının belirli sayıda katılımcı öğrencilerden oluştuğu, soruların konuları arasında programın yapıldığı ülke ile ilgili meseleleri içeren sorulara ağırlık verildiği ve program boyunca iletilen mesajların toplumun esas kültürel değerlerinin ifadesi olduğu sonucuna varılmıştır. Görsel düzeyde irdelenen çocuk bilgi yarışma programlarının logo, dekor ve müzik kullanımı, tercih edilen çekim planları, ekran bölümlenmesi, yer alan ekran yazıları ve diğer destekleyici görüntülerin her ülkenin televizyonunun yayın akışında farklı anlam taşıdığı ortaya çıkmıştır.

Anahtar Kelimeler: Televizyon, Çocuk, Kültür, Çocuk Bilgi Yarışma Programları.

* Bu çalışma 26.09.2019 tarihinde Kocaeli Üniversitesi'nde savunduğum "Çocuk Bilgi Yarışma Programlarında Kültürel Göstergelerin Karşılaştırmalı Analizi" konusunda Yüksek Lisans Tez çalışmam üzerinden üretilmiştir.

** Kocaeli Üniversitesi, Sosyal Bilimler Enstitüsü, İletişim Fakültesi, Radyo Televizyon ve Sinema Anabilim Dalı, Yüksek Lisans Programı.
İletişim: xanim.muxtarova@gmail.com



Giriş

Televizyon icat edildiği ilk günden itibaren istediğimizde açıp istediğimizde kapattığımız basit ev eşyası olmamıştır. Mecazi anlamda `20 yüzyılın mucizesi` veya `sihirli kutu` olarak tanımlanan televizyon, zamanla ailemizin bir üyesine dönüşmüş, boş vaktimizi değerlendirme biçimimizden başlayarak hayatımızın her yönü üzerinde etkili olmaya başlamıştır.

Tüm dünyayı evimize getiren, bizi yakın veya uzak yerlerde yaşanan olaylarla bilgilendiren, eğlendiren veya düşündüren bu görsel-işitsel kitle iletişim aracı, günlük yaşamımızın neredeyse tüm alanlarının içinde bulunmaktadır. Özellikle başka toplumlar ve onların kültürleri hakkında küçükten büyüye her kesin bilgi edinmesinde televizyonun rolü büyüktür.

Dünyaya geldiği ilk günden itibaren çevresini anlamlandırmaya çalışan çocuklar her gün ev ortamında bulunan `sihirli kutu`nu görmekte, bilinçli veya bilinçsiz şekilde onu izlemektedirler. Yerli veya yabancı kaynaklı programlarıyla televizyonun, çocuğun bilişsel dünyasının ve kültürünün inşasında etkisi küçümsenmeyecek öneme sahiptir.

Çocuklar televizyonun en iyi tüketicisi olduğundan dolayı onların izledikleri farklı türlü programların içeriği birçok araştırmanın odak noktası olmuştur. Katılımcıları 7-17 yaş arası okul öğrencilerinden oluşan çocuk bilgi yarışma programları hangi kültürel göstergeleri içermektedir? sorusu bu araştırmanın temel problemidir.

Araştırmayı kapsayan 7-17 yaş arası okul öğrencilerinin katıldığı çocuk bilgi yarışma programlarının kültürel göstergeler üzerine içerik analizi konusu, bilimsel makalelerde, akademik kitaplarda, yüksek lisans ve doktora çalışmalarında sınırlı sayıda üzerinde durulan konular arasında yer almaktadır. Bundan dolayı çalışmada, televizyonun kültürel aktarım aracı olmasının ve eğitmek işlevinin ortaya konması ile içerik oluşturulması açısından ABD ve Azerbaycan çocuk bilgi yarışma programları örneğinde bu türde programların farklılık gösterip göstermediğinin belirlenmesi temel amaç olacaktır.

Bu çalışmanın varsayımı, kültürel göstergelerin çocuk televizyon bilgi yarışma programlarının içeriğindeki etkili olmasıdır. Çocuk bilgi yarışma programları belirli sayıda katılımcı öğrencilerden oluşmakta, program sorularının konuları arasında programın yapıldığı ülke ile ilgili meseleleri içeren sorulara ağırlık verilmekte, program boyunca içerik düzeyde iletilen mesajlar toplumun esas kültürel değerlerinin ifadesi olmakta ve görsel düzeyde kullanılan göstergeler kültürel anlam taşımakta, hipotezlerinin sınanması amaçlanmaktadır.



Çalışma üç bölümden oluşmaktadır. Çalışmanın birinci bölümünde, kültür ve televizyonun kavramsal boyutu ile ilgili ön bilgiler sunulmaktadır. İkinci bölümde, öncelikle televizyon bilgi yarışma programlarının tarihi ve yapısına değinilmektedir, üçüncü bölümde ise ABD ve Azerbaycan`nın WGBH ve AzTV kanallarında 2018 yılında yayınlanmış “High School Quiz Show” ve “Hazırca-vablar” çocuk bilgi yarışma programlarının ayrı ayrı 5 bölümünün içerik incelenmesi hedeflenmektedir. Araştırmadaki toplam 10 bölümden oluşan programlara YouTube video paylaşım sitesinden ulaşıp izlenilerek içerik ve görsel düzeyde analiz yapılmaktadır.

Çalışmanın sonunda, kültürel göstergeler öne sürülerek çocuk bilgi yarışma programlarının içerik analizi üzerine yapılan araştırmanın sonuçları değerlendirilmektedir.

Kültür ve Televizyonun Kavramsal Boyutu

Kültür kavramı, ilk olarak 1871 yılında İngiliz antropologu Edward Burnett Tylor tarafından tanımlanmıştır (Hall, 1990, s. 20). Antropologların tartıştığı yüzlerce tanım arasında E.B.Tylor`un “*Kültürün Kökenleri*” (“The Origins of Culture”) eserindeki açıklaması, kullanılan en iyi tanımlardan biri olmuştur (Downs, 1971, s. 34). Ona göre kültür, insanın yarattığı ve geliştirip kendilerinden sonrakilere aktarılmak üzere gelecek kuşaklara öğrettiği her şeyi kapsamakta ve bir yaşam biçimi olarak nitelenmektedir: Kültür ya da uygarlık, bilgi, inanç, sanat, ahlak, hukuk ve geleneklere insanın toplumun bir üyesi olarak kazandığı tüm beceri ve alışkanlıklardan oluşan bir bütündür (Tezcan, 1995, s. 165).

Raymond Williams, insanın inanç ve davranışlarını biçimlendiren aile, eğitim, iş ve arkadaşlar kadar kitle iletişim araçlarının da kültürün bir parçası gibi önemli rolü olduğunu ifade etmiştir (O`Connor, 2006, s. 15). İlk kitle iletişim aracı olan radyonun icadından sonra televizyonun ortaya çıkışı ve dünya geneline yayılımı ile bu araç toplumun dikkatini üzerine çekmiştir. Toplumun televizyon ile nasıl bir etkileşim içinde olması mevzusunda yapılan araştırmalar içerisinde onun toplumsal ve endüstriyel biçim olmasının yanı sıra kültürel iletişim aracı gibi kullanılması konusuna da değinilmiştir.

Televizyon, radyonun bir uzantısı olarak toplum yaşantısına girmiş ve ilk televizyon yayınları, genellikle radyo kuruluşları tarafından başlatılmıştır (Tamer, 1983, s. 30). Radyonun yalnızca sese dayanan bir araç olması, bu tekni-



ğin daha erken bulunmasını sağlamıştır. Televizyon ise radyonun ses ögesine görüntü ögesinin bulunarak katılması ile daha sonra kamuya sunulan bir kitle iletişim aracı olmuştur (Aziz, 2008, s. 63).

Televizyon insan yapısıdır ve yaptığı iş, insan seçimi, kültürel tercih, kültürel kararlar ve toplumsal baskıların sonucudur. İçinde bulunduğu durumu yanıtlar (Fiske ve Hartley, 1978, s. 17). Denis McQuail'e göre, televizyonla kültür arasındaki ilişki çok yönlü ve karmaşık olmakla üç düzeyde ele alınmaktadır:

1. Televizyon, yayınlandığı programlar aracılığıyla geniş anlamda kültür üreten ve yayan bir araçtır;
2. Televizyon çeşitli kültür kümelerine ve kurumlarına kendilerini ifade etme aracı sunar;
3. Bunun sonucu olarak, televizyonun muhtemelen her bir bireyin kültürel ortamı üzerinde önemli bir etkisi olmaktadır (aktaran Machet ve Robillard, 2000, s. 1).

Televizyon, bir toplumun kültürünü yansıtan materyalleri bulur ve aynı zamanda onun bir parçası hâline gelir. Bu materyaller, kültürün sürekliliğini sağlamakta ve kitle kültürünü geliştirmektedir. Televizyon bir toplumun kuşaktan kuşağa taşınan kültürel öğelerinden hangilerinin varlığını devam ettireceğini, hangilerinin ise değişeceğini bildirmektedir. Bu bağlamda alışkanlıklarımız, konuşma biçimimiz, toplumla olan ilişkimiz televizyonun bize ulaştırdığı görüntü ve iletilerle değişmektedir (Işık, Erdem, Güllüoğlu ve Akbaba, 2007, s. 90).

Televizyon, kendine özgü olarak geliştirdiği program türlerinde öykü anlatırken ilkel toplumlardaki kültürel, sanatsal dışavurum biçimleri olan-halk masalları, ritüeller ve dansın kullandığı yöntemleri kullanmaktadır (Kaplan, 1993, s. 84). Televizyonun başlıca kültürel işlevi, toplumsal kalıpları yaymak ve dengelemek, değişmeye çalışmaktan daha çok değişime karşı çıkmaktır. Televizyon, çoğu insanın standart hâle getirilmiş rol ve davranışlarda sosyalleşmesinin bir aracıdır. Bir kelimeyle fonksiyonu kültürlemedir (Newcomb, 1979, s. 366).

İletişim profesörü George Gerbner'e göre, kitle iletişim araçları, içinde yaşanan kitle toplumlarının kültürel göstergelerini oluşturmaktadır. Ekonomik ve sosyal göstergelerde olduğu gibi, kitle iletişim araçlarından yayılan mesajların içeriklerinin, ampirik olarak gözlemlenmesi ve sınıflandırılması, kültürel göstergeleri ortaya koymaktadır (Özer, 2004, s. 19).



Kültürel Göstergeler Kuramı, Pennsylvania Üniversitesi Annenberg İletişim Okulu eski dekanlarından profesör George Gerbner'in rehberliği ile bir grup araştırmacı tarafından geliştirilmiştir. Gerbner Kültürel Göstergeler Projesi'ne 1960'ların ortasında başlamıştır. O televizyon izlemenin izleyicilerin gündelik yaşam hakkındaki düşüncelerini etkileyip etkilemediğini, etkiliyorsa bunu nasıl yaptığını araştırmıştır (Yaylagül, 2017, s. 74).

İletişim bilimcisi G.Gerbnerin savına göre kitle iletişim araştırmaları üç alanda yapılmaktadır:

1. İletişim kurumlarının incelenmesi (Institutional Process Analysis) IPA,
2. Kitle iletişim araçlarının sunduğu mesajların incelenmesi (Message System Analysis) MSA,
3. İzleyici kültürlenmelerinin incelenmesi (Cultivation Analysis) CA (Parsa, 1994, s. 127).

Kurumsal süreç analizi, örgüt teorisi ve yönetim politikası oluşturma çalışmalarında bir araştırma tabanına sahiptir. Daha odaklı ve sınırlı bir çalışma alanıdır. Ancak kitle iletişiminde politika süreci üzerine araştırmalar azdır. Daha da önemlisi, bu tür araştırmalar, medya politikaları sadece örgütlenme ve karar verme teorileriyle değil, aynı zamanda oluşturdıkları mesaj sistemlerinin spesifik özellikleriyle de ilgili oluncaya kadar kültürel göstergelerin amaçlarına hizmet edemez (Gerbner, 1970, ss. 71-72).

1970 yılında “Kültürel Göstergeler” eserinde Gerbner, kültürel ve sosyal çevremizin aktif bir parçası olarak kitlesel üretilen televizyon mesajlarını incelemiştir. O televizyon mesajını tam olarak anlamak için onun dört boyutta araştırılması gerektiğini savunmuştur (Fiske ve Hartley, 1978, s. 30):

1. “Varoluş: Televizyonun (veya herhangi bir kitle iletişim aracının) faaliyetleri nedir? Hangi içeriğin ne kadar ve ne sıklıkta bize sağlanmış-tır?” soruları araştırmanın bu boyutunun cevaplamayı amaçladığı tür sorulardır.
2. Öncelikler: Ne önemlidir? Ne kadar önemlidir? Belli faktörler veya unsurlar, etkileyici veya esastır?
3. Değerler: Kültürel mesaj sistemindeki hangi unsurlar hakkında hangi tahminler ima edilmiştir?
4. İlişkiler: Neyin ne ile ilgisi var? Mesajın yapısal anlamı nedir?



Morgan ve Signorielli'ye göre eğitilim, yani yetiştirme analizi Kültürel Göstergeler araştırma paradigmasının üçüncü bileşkenidir. Bu araştırma kitle iletişim araçları içeriğinin üretimini belirleyen kurumsal süreçleri, kitle iletişim araçları içeriğindeki imajları ve televizyondaki mesajları izleme ile izleyicinin inanç ve davranışları arasındaki ilişkileri inceler (McQuail ve Windahl, 2005, s. 127).

Bir kültürün mesaj sistemleri sadece bilgi vermekle kalmaz aynı zamanda ortak imgeler oluşturur. Sadece eğlendirmez aynı zamanda kamu yaratırlar. Sadece tatmin etmez aynı zamanda çeşitli tutum, zevk ve tercihleri de biçimlendirirler (Gerbner, Gross ve Melody, 1973, s. 567).

Ekme analizi, genellikle televizyondaki egemen imajları ortaya koyan bir içerik analizinin verilerinin korelasyonu ile bu tip imajların izleyicilerin tutumları üzerindeki etkileri değerlendirmek için izleyici araştırmalarının verilerinden oluşmuştur. İçerik analizi, ekme kuramcıları tarafından televizyon dünyasını tanımlamak için kullanılmıştır (Yaylagül, 2017, s. 76).

Televizyonda Bilgi Yarışma Programları

Yarışma, iki ya da daha fazla kişinin ya da grubun aynı hedefi elde etmek için çaba sarfetmeleri demektir (Tezcan, 1995, s. 108). Televizyon yarışma programı boyunca da izleyicinin yarışmaya katılması teklif edilir. Heyecanlı ve bağımlı şekilde izleyici oyunun katılımcısı olur (Ильченко, 2008, s. 139).

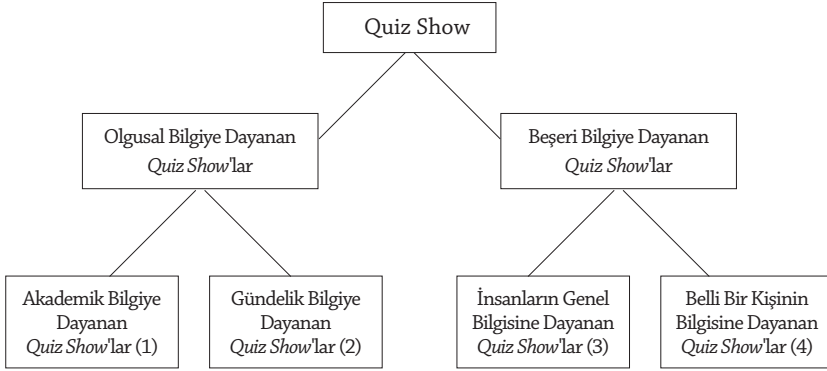
İngiliz oyun danışmanı David. J. Bodycombe yarışma programlarını alt kategorilere ayırmıştır: aksiyon/macera; çevirme masa oyunu; çocukların yarışması; komedi ve panel oyunu; evlendirme programları; eğitici; aile yarışma programı; yaşam biçimi; bulmaca; realite; bilgi, genel bilgi yarışması; spor; dublör gösterisi vb. (aktaran Holmes, 2008, ss. 14-15).

Bilgi yarışması yani "quiz" kelimesi Oxford English Dictionaries`de "eğlence biçimi olarak özellikle bireyler veya takımlar arasında rekabeti içeren bilgi testi" şeklinde tanımlanmıştır (Oxford Dictionaries). Bu yarışma, birey veya takım şeklinde olan oyuncuların belli bir konuda bilgisini sınamak için soruları doğru cevaplamaya çalıştıkları bir oyundur. Oyunda genellikle doğru cevaplar puanla hesaplanır ve en çok puan kazanan katılımcı kazanır.

Quiz show`lar farklı tarzlarda üretilebilmekte ve değişik biçimlerde kategorileştirilebilmektedir. Ancak Fiske`nin quiz show`ların temel ortak noktasının `bilgi` (knowledge) olmasından hareketle yaptığı sınıflandırma türe ilişkin



oldukça önemli ve ilginç bir bakış açısı sunmaktadır. Fiske'nin 'quiz show hiyerarşisi' adıyla andığı bu sınıflandırmaya göre, quiz show'lar dörde ayrılmaktadır (aktaran Önk, 2019, s. 166).



Şekil 1. Bilgi yarışması hiyerarşisi (aktaran Önk, 2019, s.167)

Etki açısından sosyal ve kültürel bir fenomen olarak bilgi yarışması yalnızca entelektüel gelişimi değil aynı zamanda iletişim becerilerini, sosyal, psikolojik, kişisel ve çeşitli mesleki nitelikleri oluşturan ve geliştiren en güçlü araçlardan biridir (Рувимович, 2017, s. 81). Akademik alanda bilgi yarışma programları, genellikle bilimsel ilgi gerektirmeyen, sıradan kültürel biçim olarak kabul edilir (Hoerschelmann, 2006, s. 1).

Bilgi yarışma programları, sosyal hayatın önemsiz bir eğlence biçimi gibi sıradışı değil. Onlar farklı bilgi ve uygulama biçimlerinin geçerliliğinin müzakere edildiği eşsiz bir alan olmanın yanı sıra eğitimsel ve kültürel hiyerarşilerin devamında veya bozulmasında esas araçtır. Bilgi yarışma programları, sosyal kimliklerin inşası için önemli bir alandır ve insanların kültür alanında pozisyonlarını tartışmaya başlayabildikleri, sosyal konuların müzakere edilebildiği, sınıflara ayrılmış toplumlarda kendi yerini kavrayabildikleri yerdir (Hoerschelmann, 2006, s. 6).

Bilgi yarışma programları, televizyon tarihinde en sıradışı fenomen olmuştur (Goodwin, 2014, s. 39). Özellikle 1940'lı yıllarda radyoların esasını bilgi yarışması gibi tanınan soru-cevap formatlı programlar oluşturuyordu. Daha sonra bu format televizyonda da uygulanmaya başlandı. İlk değişiklik programın görselleştirilmesi oldu ama 1950'lerin ortasında bu formatta programlar için büyük miktarda para enjekte edildi ve bilgi yarışması büyük paralı televizyon yarışmasına dönüştü (Anderson, 1978, s. 4).



Birkaç yarışmacının haftalar boyunca bu televizyon programında görünmesi, yarışmayı devam ettirmesi şüpheler oluşturmaya başlamış ve büyük skandala neden olmuştu. En çok bilinen skandalları, “Twenty-One”, o dönemin ilk büyük paralı bilgi yarışma programı olan “The \$64,000 Question” ve en yüksek reytingli gündüz yarışma programı “Dotto” kapsıyordu (Venanzi, 1997).

7 Ekim 1961 yılından itibaren Washington’un NBC4 TV kanalında yayınlanan “It’s Academic” televizyon programı Guinness Rekorlar Kitabı’na göre dünyanın en uzun dönemli televizyon bilgi yarışma programı kabul edilmiştir. Lise öğrencilerinden oluşan takımların yarıştığı program ABD’li televizyon yapımcısı Sophie Altman tarafından yapılmıştır. Program başlangıçta WRC TV’de yayınlanırsa da sonradan televizyon kanalının ismi değişerek NBC4 TV olmuştur (Guinness World Records). 1950’lerin sonunda programın yapımcısı Sophie Altman program konseptini ve formatını geliştirerek WRC TV’ye sunmuştur. Birinci yayın yılı boyunca programda sorulacak soruları o hazırlamış ve program üzerinde işlemler iki yıla tamamlanmıştır (It is Academic Quiz Show Website).

Bilgi yarışma programlarında katılımcılar hep rekabet içindedirler. Bireyler ve grupların amaçlarına ulaşmak, arzularını tatmin etmek için kabul edilmiş bir dizi kurallar (baskı ve hileyi yasaklayan) çerçevesinde etkileşimine rekabet denmektedir. Rakipler birbirlerinin amaca ulaşmasına engel olurken baskı veya hileye başvurmazlar (Sezal, 2012, ss. 88-89).

Bilgi yarışma programlarını eğlence programı olarak sınıflandıran Amerikan iletişim profesörü Edgar E. Willis, bu yarışmaların amaçsız ve rastgele şekilde bilgi sunduğu ve verilen bilgilerin değerinin çok az veya hiç olmadığı fikirlerini savunmuştur (Willis ve D’Arienzo, 1981, s. 126).

İngiltere’de çocuklar arasında yapılan araştırmalar, bilgi yarışma programlarını izleyerek çocukların genel bilgilerini daha da geliştirdiğini göstermiştir (Gunter ve McAleer, 1997, s. 59). Katıldığı okulları temsil eden yarışmacılardan oluşan öğrenci bilgi yarışma programları bazen akademik bilgi yarışma programları şeklinde de tanımlanmaktadır.

“High School Quiz Show” ve “Hazırcavablar” Programlarının Kültürel Göstergeler Üzerine İçerik Analizi

İçerik çözümlemesi ampirik bir araştırma yöntemidir. Görünen mesaj içeriklerinin incelemesinde doğruluğu kanıtlanabilir, ölçülebilir, nesnel açıklamalar yapılabilecek şekilde tasarlanmaktadır (Parsa, 1994, ss. 126-127). İster içerik çözümleme-



sinde, isterse de belge çözümlenmesinde en çok yararlanılan teknik, karşılaştırma tekniğidir. Olguları veya öğeleri karşılaştırma benzerlik ve farklılıkların ortaya konması demektir (aktaran Armağan, 1983, s. 67).

Bu çalışmada içerik analizi temel alınarak çocuk bilgi yarışma programlarının kültürel göstergeler üzerine çözümlenmesi yapılmaktadır. Araştırma kapsamında incelenen çocuk bilgi yarışma programlarından WGBH kamu kanalında “High School Quiz Show”nun ve AzTV devlet kanalında “Hazırcavablar”ın 2017-2018 yayın döneminin 06.01.2018 ile 26.05.2018 tarihleri arasında yayınlanmış toplam 10 programının yayın listesi aşağıda yer almaktadır.

Tablo 1: Çalışma Kapsamında İncelenen Programlara Ait Takvim

Televizyon Kanalının Adı	WGBH TV	AzTV
Programın Adı	High School Quiz Show	Hazırcavablar
Ocak		
	-	06.01.2018
Şubat		
	03.02.2018	03.02.2018
Mayıs		
	05.05.2018	05.05.2018
	12.05.2018	12.05.2018
	19.05.2018	-
	26.05.2018	26.05.2018

WGBH TV`de Yayınlanan “High School Quiz Show” Programı

2011 yılından itibaren sunucu Billy Costa`nın rehberliğinde yayınlanan “High School Quiz Show” programının ilk yayın tarihi 2009 yılıdır. Programda ABD`nin New England bölgesine ait eyaletlerin lise öğrencileri yarışmaktadır. Bu program 4 raunddan oluşmaktadır: yazı tura atma, kafa kafaya, kategori ve yıldırım raundları. İlk iki raundda, her doğru cevap 10 puan değerindedir. Yalnız birinci raundda, yanlış cevap verildiği hâlde puan kesintisi olmamaktadır. Üçüncü raundda, doğru cevapların puanı 10-30 arasında değişmektedir. Dördüncü raundun doğru cevapları ise 20 puan değerindedir. Yarışmanın sonunda en yüksek puanı kazanan takım yarışmanın kupa ödülünün sahibi oluyor (Game Shows Website). Kupanın yanı sıra birincilik kazanan takımdaki yarışmacıların her birine hatıra plaketi, okul



için afiş, okul yöneticileri tarafından faydalı kullanılacak şekilde \$1000 para ödülü, ikinci olan takıma ise sadece \$1000 para ödülü verilmektedir (WGBH TV Website).

“High School Quiz Show” programı haftanın cumartesi günü 18.00`da yayınlanmaktadır. Bu programın dokuzuncu sezonu Massachusetts`in İlk ve Orta Öğretimden Sorumlu eski Komisyon Üyesi Mitchell Chester`in anısına adanmıştır. Mitchell Chester, “High School Quiz Show” televizyon çocuk bilgi yarışma programı kurulduğu tarihten bu yana programın özel danışmanı olmuştur (Beverly Citizen-Wicked Local Website).

AzTV`de Yayınlanan “Hazırcavablar” Programı

2019 yılından itibaren yayından kaldırılan “Hazırcavablar” programı 2018 yılından haftanın cumartesi günü AzTV`de yayınlanmıştır.

“Hazırcavablar” bilgi yarışma programının temel amacı, öğrencilerin bilgi seviyesini ve bakış açısını artırmak, onları topluma tanıtmak, aynı zamanda öğrencilerin boş zamanlarını verimli geçirmesini sağlamaktır. Projenin hedefi, öğrencilerde kendini ifade alışkanlıkları oluşturmak, onların ders konularına ilgisini yükseltmek ve onları daha çok entelektüel faaliyetlere dahil etmektir (“Azərbaycan Müləllimi” Qəzetinin İnternet Saytı). “Hazırcavablar” bilgi yarışması Bakü Şehir Eğitim İdaresi (BŞTİ) ve AzTV`nin birlikte projesidir ve haftada bir defa AzTV`de yayınlanmaktadır. Programda BŞTİ kapsamındaki genel eğitim kurumlarının öğrencilerinden oluşan takımlar yarışmaktadır (Azərbaycan Təhsil Saytı).

Sunucu Elnare Gedimova rehberliğinde yayınlanan “Hazırcavablar” programı 4 raunttan oluşmaktadır. İlk rauntta iki farklı, ikinci rauntta iki ayrı okul öğrencileri yarışmaktadır. III rauntta I ve II rauntta galip olan takımlar karşılaşmaktadır. Sonuncu rauntta ise III rauntta en yüksek puanı kazanmış okul öğrencileri tek tek yarışmakta ve en yüksek puanı kazanan galip sayılmaktadır. Her rauntta soruya doğru cevap, takıma iki puan kazandırmaktadır. Birinci takım soruyu yanlış cevaplandırarsa ikinci takım doğru cevapladığı hâlde 1 puan elde etmektedir. Yarışmanın sonunda `Hazırcavabların hazırcavabı` adını alarak galip olan öğrenci `Məktəblinin lüğəti` (Öğrencinin Sözlüğü) kitabını kazanmaktadır.

Yarışmaya başlamadan önce öğrencilere bir soru sorulmakta ve soruyu doğru cevaplayan takım I rauntta ilk kategorini seçmek imkânı kazanmaktadır. IV raundun soruları kategorilere ayrılmadan sorulmaktadır. I, II ve III rauntlarda bir soruya cevap vermek için ayrılan süre 15 saniyedir. IV rauntta ise finala kalan her öğrenci 60 saniye içinde soruları cevaplamalıdır.



Araştırma kapsamında iki çocuk bilgi yarışma programının kullandığı destekleyici görüntülere ve videolara yönelik veriler incelendiğinde “Hazırcavablar” programında destekleyici görüntülere ve videolara yer verilmediği tespit edilmiştir. “High School Quiz Show” programında destekleyici görüntüler, en uzun toplam 46 saniye, en az 6 saniye kullanılmıştır. Programda en uzun video kullanımı 41 saniye, en az 11 saniye olmuştur.

Nesnel zaman çeşitlerine bakıldığında, her iki programın yayın süresi için Cumartesi günü belirlenmiştir. İncelenen 10 program arasında “Hazırcavablar” programının 06.01.2019 tarihli yayını 39 dakika 26 saniyelik süre ile en uzun süreli program olmuştur. “High School Quiz Show” ise program akışında tüm yayınlarını aynı zaman dilimi ayırarak 26 dakika 46 saniyelik süre ile kısa sürmüştür.

İncelenen 5 program boyunca en çok katılımcıyı toplam 60 kişi olmakla “Hazırcavablar” programı ağırlamıştır. Erkek katılımcıların sayı açısından her iki program, yakın gösterici ile karşımıza çıksa da 35 (%88) katılımcının iştiraki ile kadın katılımcı oranının “Hazırcavablar”da yüksek, 5 (%12) kadın katılımcı oranı ile ise “High School Quiz Show” programında az sayıda olduğu belirlenmiştir. Özellikle “High School Quiz Show”da toplam 21 lise son sınıf öğrencisi arasında erkeklerin sayı 20 (%95) kişilik gösterici ile fazla olmuştur. “High School Quiz Show”da takımlara destek olmak amacı ile gelen 34 yedek katılımcı konuk edilse de “Hazırcavablar” programında yedek katılımcılar yer almamıştır. Yedek grubunda cinsiyet dağılımına göre 26 (%76) erkek ve 8 (%24) kadın tercih edilmiştir.

“High School Quiz Show” çocuk bilgi yarışma programının incelendiği 5 program boyunca öğrencilerin eğitim düzeyi ile ilgili kesin bilgiler verilse de “Hazırcavablar” programının sadece 05.05.2018 ve 12.05.2018 tarihli yayınlarında öğrencilerin okuduğu sınıflar belirtilmiştir. “High School Quiz Show”da toplam 40 öğrenciden 21’i (%52.5) lise son sınıf, 12’i (%30) orta okul, 5’i (%12.5) lise ikinci sınıf ve 2’i (%5) lise birinci sınıf olmuştur.

Tablo 2: Programlardaki Katılımcıların Cinsiyet ve Eğitim Düzeyi Dağılımı

Katılımcılar	High School Quiz Show	Hazırcavablar	Toplam
Toplam Katılımcı Sayısı	40	60	100
Kadın Katılımcı	5	31	36
Erkek Katılımcı	35	29	64



Ortaokul Katılımcı Sayısı	12	Belirtilmemiş	12
1.Lise Sınıf Katılımcı Sayısı	2	Belirtilmemiş	2
2.Lise Sınıf Katılımcı Sayısı	5	Belirtilmemiş	5
Lise Son Sınıf Katılımcı Sayısı	21	Belirtilmemiş	21
Yedek Katılımcı Sayısı	34	-	34
Yedek Kadın Katılımcı	8	-	8
Yedek Erkek Katılımcı	26	-	26

Araştırmayı kapsayan 10 yayın programından “Hazırcavablar”ın 5 bölümü içinde çocukları daha yakından tanımak, belli bir konuda düşüncelerini öğrenmek amacı ile sorulan genel soruya yer ayrılmamıştır. “High School Quiz Show” programında 19.05.2018 tarihli yarı final ve 26.05.2018 tarihli birincilik karşılaşmaları dışında 3 yayın boyunca genel soru sorulmuştur. Sorulan genel sorular, öğrencilerin hayatta nelere öncelik tanıdığını, eğitimi nasıl değerlendirdiklerini, yaşadıkları ortamla ilgili neleri bildiklerini, gelecek planlarını ve konulara psikolojik yaklaşımlarını ortaya çıkarmış ve onların cevapları bakış açılarına göre değişmiştir.

Öğrencilere video soru sormak için “High School Quiz Show” programına katılan 5 farklı mesleğe sahip özel konuk arasında en çok tercih edilen ABD eyaletlerinin valileri, özellikle Massachusetts eyaletinin ABD valisi (2 defa) olmuştur.

Tablo 3: Programlarda Sorulan Soru Şekilleri

Sorular	High School Quiz Show	Hazırcavablar	Toplam
Soru Sayısı	462	400	862
Seçeneksiz Soru	426	165	591
3 Cevap Seçenekli Soru	13	-	13
4 Cevap Seçenekli Soru	-	226	226
Evet veya Hayır Cevaplı Soru	-	9	9
Foto Soru	5	-	5
Video Soru	8	-	8
Hesaplama Soru	10	-	10



Çocuk bilgi yarışma programlarında sunucunun öğrencilere yönlendirdiği sorular şekline göre değişmektedir. “High School Quiz Show” programında en çok seçeneksiz soru, “Hazırcavablar” programında ise 4 cevap seçenekli soru şekli tercih edilmiştir. İncelenen programlarda en az göstericinin foto soru şeklinde olduğu tespit edilmiştir. “Hazırcavablar” programında foto, video, hesaplama ve 3 cevap seçenekli sorulara yer ayrılmamıştır. Öğrencilere seçenekli soruların verilmesi onların soruları cevaplayabilmesini kolaylaştırmıştır. Hesaplama soruları genellikle matematikle ilgili olup hesaplama işlemi talep edilmiştir.

“High School Quiz Show” programının 5 yayını süresince ABD üzerine sorulan sorular arasında ABD’nin tarihi ile ilgili sorulara daha fazla yer ayrılmıştır. Dünyanın diğer ülkeleri ile bağlı sorularda da tarih ve coğrafi konusunda sorular tercih edilmiştir. Karışık bilim dalları ve alanlarla ilgili soruların çoğunun konusunu fizik, sanat ve teknoloji kapsamıştır.

“Hazırcavablar” programının yayınlarında Azerbaycan üzerine sorulan soruların çoğu Azerbaycan dili, edebiyatı ve coğrafisi ile ilgili olmuştur. “High School Quiz Show” programında olduğu gibi “Hazırcavablar”da da dünya ülkelerini içeren sorularda tarih ve coğrafi konusu ele alınmıştır. En çok coğrafi, biyoloji, sanat ve etik konuları tercih edilen karışık bilim dalları soruları arasında yer almıştır.

Tablo 4: Programlardaki Soruların Konuları

“Hazırcavablar”	Sayı (400)	“High School Quiz Show”	Sayı (462)
Azerbaycan Dili ve Edebiyatı	57	ABD Tarihi	90
Azerbaycan Coğrafisi	35	Dünya Tarihi	74
Dünya Tarihi	16	Dünya Coğrafisi	11
Azerbaycan Tarihi	13	ABD Filmleri	12
Dünya Coğrafisi	10	Diğer konular (Fizik, Sanat, Teknoloji vb.)	275
Diğer konular (Biyoloji, Sanat, Etik vb.)	269		

“High School Quiz Show”nun logosunda ‘Quiz’, “Hazırcavablar” programında ise ‘Cevap’ kelimelerinin yer alması programın içerik açıdan soru cevap şekilli entelektüel program olduğu fikrini oluşturmuştur.

“High School Quiz Show”da programın akış hızı ve temposu katılımcıların dinamikliği ile programın ritmini oluşturmuştur Program başladığı andan itibaren



salonda oturan izleyicilerin ayağa kalkarak katılımcıları alkışlaması ve ellerindeki pankartlarla onlara destek olması programın dinamikliğini artırmıştır. Görsel öğeler incelendiğinde, bir raunddan diğerine geçitte kameranın aniden sağa sola kaydırılarak salondaki seyircileri hedef alması dinamik müzik efektleri eşliğinde sunulmuştur.

Dekor olarak “High School Quiz Show” programının stüdyosunda ABD bayrağına uygun kırmızı ve mavi renkler kullanılmış ve sahnenin bu renklere dönüşmesi programın dinamik havasını daha da artırmıştır. Azerbaycan yapımı “Hazırcavablar”da da ülke bayrağına uygun olarak mavi, kırmızı ve yeşil renkler tercih edilmiştir.



Resim 1: “High School Quiz Show”nun dekoru **Resim 2:** “Hazırcavablar”ın dekoru

Her iki program genelinde boy ve bel çekim tercih edilmiştir. Sunucu katılımcılara soru sorarken bel çekim, katılımcıların kişisel ilişkilerini göstermek amacı ile vücudun tamamının gözüktüğü boy çekim kullanılmıştır. Sahne dekorunun, katılımcıların ve sunucu dahil seyircilerin gözükmeleri için her iki programda da genel çekime yer ayrılmıştır.

Tablo 5: Programlarda Çekim Planları

“Hazırcavablar” Çekim Planları	Ortalama Sayı	“High School Quiz Show” Çekim Planları	Ortalama Sayı
Bel Çekim	208	Boy Çekim	260
Boy Çekim	72	Bel Çekim	92
Genel Çekim	54	Diz Çekim	30
		Göğüs Çekim	26
		Omuz Çekim	4
		Genel Çekim	2
		Ayrıntı Çekim	1

Ekran bölümlenmesine yönelik yapılan incelemede “Hazırcavablar” çocuk bilgi ya-



rışma programında ekran bölümlenmesi tespit edilmemiştir. “High School Quiz Show”da 2’ye bölünme (ortalama 76 defa) sunucu soru sorarken soruları dinleyip cevap düşünüldüğü süre içerisinde her iki takımda yer alan yarışmacıları göstermek, 3’e bölünme (ortalama 3 defa) ise foto ve video soruları zamanı kullanılmıştır.

Yarışmacı öğrencilerin giyim şekli yayından yayına değişmiştir. “High School Quiz Show”nun her yayını boyunca öğrenciler, üzerinde okullarının isminin veya okul göstergesi olan logoların yer aldığı giysiler giymişler. “Hazırcavablar” programında genellikle Azerbaycan eğitim sisteminde daha çok kullanılan giysi eşyalarından -beyaz toka, siyah pantolon veya etek ve beyaz gömlek yarışmada öğrencilerin üzerinde olmuştur.

İncelenen iki programın sonunda galip katılımcılara sunulan birincilik ödülü şekli de ülkeden ülkeye değişmektedir. “High School Quiz Show”da kazanan takıma kupa sunulurken alkışlarla desteklenmiş ve spor yarışmalarının final karşılaşmasına uygun ortam oluşturulmuştur. “Hazırcavablar”da ise ödül olarak sözlük kitabının sunulması ile program sonlandırılmıştır.

Sonuç

Çocuk bilgi yarışma programları çocukları bilgilendirmek, onları eğitmek amacı ile yapılmaktadır. Bu tür programların uygulanmasında bilgi vermek ortak amaç özellik olarak ortaya çıksa da programlarda bilgi verme şekli ülkeden ülkeye değişmektedir. Her ülkenin çocuk bilgi yarışma programı, kendi kültüründeki çocuğa onun anlayabileceği biçimde sunulmaktadır.

Çocuk televizyon bilgi yarışma programlarında kültürel göstergelerin konu alındığı bu çalışmada öncelikle kuramsal bir çalışma yapılmış, birinci ve ikinci bölümde kültür, televizyon, çocuk ve bilgi yarışma programları konusuyla ilgili literatür taranarak araştırma ele alınmıştır. Üçüncü bölümde ise ABD yapımı “High School Quiz Show” ve Azerbaycan’ın “Hazırcavablar” çocuk bilgi yarışma programlarının toplam 10 bölümü George Gerbner’in Kültürel Göstergeler yaklaşımının temel amaçlarından yola çıkarak içerik analizi yöntemi ile incelenerek bulgular ortaya koyulmuştur.

Elde edilen bulgular sonucunda, çocuk bilgi yarışma programlarının hem ABD’de hem de Azerbaycan’da kendi kültürel yapısına uygun biçimde yapıp yayımlandığı, yarışma boyunca öğrencilere sorulan sorularda ülkenin kendisi ile ilgili konulara daha çok yer verildiği, katılımcıların cinsiyet dağılımına göre değiştiği, her bölüme sabit sayıda katılımcı öğrencinin katıldığı, görsel sunumda kullanılan öğelerin yanı



sıra çocukların giysi şekillerinin de kültürel anlam taşıdığı hipotezleri doğrulanmıştır. “Hazırcavablar” programına katılan öğrencilerin yaşı veya sınıfları 5 bölümün her birinde bildirilmediğinden dolayı her iki programda yarışmacıların eğitim düzeyine göre farklılık gösterip göstermediği hipotezi tam şekilde belirlenememiştir.

Bu çalışmanın analizinde, George Gerbner’in Kültürel Göstergeler Projesi’nin Mesaj Sistem Çözümlemesi bileşeni kullanılmış, Kurumsal Süreç ve Yetiştirme Çözümlemesi bileşenlerine yönelik bir çözümleme yapılmamıştır. Gerbner’in, kitle iletişim araçlarından televizyonunun sunduğu kültürel mesajların incelenmesi üzerine yapılan bu çalışmada, televizyonun bir kültür aktarıcısı olarak işlevi anlatılmış ve kültürel göstergelerin taşıyıcısı olan çocuk bilgi yarışma programları bir tür olarak ele alınmıştır. Çocuk bilgi yarışma programlarında kültürel mesajların her iki ülkenin kitle toplumunun kültürel yapısına ve kültürel özelliklerine uygun şekilde oluşturulduğu belirlenmiştir. Ele alınan değişkenlere göre mesajların içeriklerinin çözümlemesi her iki ülkenin çocuk bilgi yarışma programlarına ait kültürel göstergeleri ortaya koymuştur. Bu kültürel göstergeler, hem çocuklara sorulan soruların içeriğinde hem de stüdyo genelinde izleyicilere sunulan görsel biçimde, logo, dekor ve müzik kullanımında kendini belirtmiştir.

Televizyon ve kültür ilişkisi bağlamında Gerbner’in öne sürdüğü fikirlere dayanarak çocuk bilgi yarışma programlarının, çoğunlukla ülkedeki egemen değerleri sembolik çerçevede ön plana çıkardığını söyleyebiliriz. Birbirinden çok farklı kültürel coğrafyalarda izleyici kitleleriyle buluşma başarısı gösteren bu programlar, kültürel göstergeler içermekte, ABD çocuk bilgi yarışma programlarında aktarılan kültürel değerler, Azerbaycan toplumunun kültürel yapısı ile benzerlik göstermektedir.

Bu çalışmada kitap, tez, bilimsel makale, haber ve istatistik raporlar gibi birçok basılı ve elektronik kaynaklardan yararlanılmıştır. Her iki ülkenin çocuk bilgi yarışma programlarının analizi için video kaynaklara da başvurulmuştur.

Yerli ve yabancı kaynaklardan yararlanılan bu çalışmanın hem alanyazın kısmından hem de çözümleme bölümünden varılan sonuçlara göre diğer televizyon program türleri gibi çocuklar üzerine yapılan bilgi yarışma programları da belli kodlar içererek topluma kültürel mesajlar vermektedir. Bilgi kazandırmayı iddia eden bu tür programların temel amacı bilgi vermek olduğundan dolayı, programlar, bilginin toplumsal değerinin niceliksel olarak ölçülebileceği ve böylelikle rekabet formatında değerlendirilebileceği biçime salınmalıdır. İçeriğindeki akademik ve gündelik bilgilerin yanı sıra programa hem içerik hem de görsel düzeyde kültürel kodları içeren eğlence öğelerinin katılması programın biçimine renk katmalıdır.



Bu tür eğlence öğeleri görsel düzey açısından incelendiğinde bu çalışmada, ABD yapımı “High School Quiz Show”da daha çok karşımıza çıkmaktadır.

Çocuk bilgi yarışma programları, çocukların sosyal kimliklerinin inşası için önemli bir program türüdür ve sadece çocukların çeşitli sorulara cevap verdikleri veya doğru cevapları bulmaya çalıştıkları bir stüdyo programı değil aynı zamanda çocukların kültürel pozisyonlarını ortaya koyabildikleri programlar olmalıdır. Çocukların bilgi ve kültür seviyesini artırmak için yayımlanan bilgi yarışma programları farklı kimliklere sahip çocukların kendilerini tanıtması için fırsat sunabilmelidir.

Bugüne kadar yayınlanan kitaplarda veya akademik yazılarda, özellikle okul öğrencilerinin katıldığı çocuk bilgi yarışma programlarının kuramsal çerçevede içerik analizini oluşturan çok az sayıda çalışma yer almıştır. Bu çalışmanın bilgi yarışma programları üzerine hem literatür kısmı hem de kültür ve televizyon ilişkisi bağlamında ABD ve Azerbaycan çocuk bilgi yarışma programlarının karşılaştırmalı içerik çözümlemesi bölümü, bu konuda yazılacak gelecekteki araştırmalara katkı sunacaktır. Sonraki çalışmalarda çocuk bilgi yarışma programlarının dikkate alınarak başka yaklaşımlar üzerine incelenmesi konunun daha iyi anlaşılmasına fayda sağlayacaktır.

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Turkey Uses of Digital Diplomacy Toward African Countries

Mussa Abdulla Ameir*

Abstract: The objective of this study is to explore the level of embracing social media particularly by Turkish embassies stationed in different African countries to engage with the foreign public directly. Secondary data was collected online and content analysis was used to analyze the data. Notably, three different Turkish embassies' Facebook and Twitter accounts stationed in Tanzania, South Africa and Sudan were monitored for 4 months from the 4th of January to 4th of May 2019. The results show that Twitter is mostly preferred for diplomatic communication, whereas Turkey is portrayed as a new destination of education, a good friend of African who always insists on mutual economic cooperation and it's in the front line to help in humanitarian issues.

Keywords: Digital Diplomacy, Public Diplomacy, Social Media, Turkey and Africa.

* Kocaeli University, Institute of Social Science, Public Relations and Publicity, MA Program.
Contact: musameir@gmail.com



Introduction

Digital diplomacy is currently coined and conceptualized term as a form of public diplomacy. It refers to “the growing uses of Information and Communication Technologies and social media platforms in the conduct of Public Diplomacy” (Hayden, 2012). In other words, digital diplomacy is the utilization of internet websites and different social media platforms, such as Twitter and Facebook, by a nation to communicate with foreign populaces in a non-costly manner (Adesina 2017). It is argued that digitalization of public diplomacy has fundamentally changed the practice of diplomacy and how diplomatic actors communicate and engage with populaces of foreign countries that they represent with the traditional aim of the diplomacy of creating a good relationship, polishing the image of their countries, increasing their external influences and spreading out their ideologies. Notably Facebook and twitter particularly are credited as best and effective channels which diplomatic representatives such as embassies can easily communicate to sections of the local population that have previously been hard to engage. (Collins and Kristina, 2017).

Public diplomacy scholars have claimed that the involvement of social media platform into the practice of diplomacy may create a new form of diplomatic communication which allows the diplomatic practitioners to create and maintain the long-term relationships with foreign public stationed in different countries. Since social media by its origin has a power raging from creating social interaction, facilitating win-win communication between actors and the public of the foreign country to creating dialogue, this is opposed to traditional public diplomatic practices which were attributed by monologue (Kampf et al., 2015).

Turkey’s engagement in Africa rooted from Ottoman Empire regime, Turkey’s republic under the regime of Mustafa Kemal Atatürk to the current era of Justice and Development Party (AKP). It is claimed that Turkey-African diplomatic relations in both eras of the Ottoman Empire and Turkey’s republic focused only to North Africa countries such as Egypt and Morocco until 2003 during ideological shift of Turkish government during the era of Justice and Development Party (AKP) and its redirection from the Western-centered to the more diversified foreign policy. This opened the new chapter of turkey-African diplomatic relationship, followed by the establishment of different embassies in African to strengthen its diplomatic tie with sub-Saharan African countries (Ozkan & Akgun, 2011).



Turkey has been actively engaging with the foreign public through different ways such as cultural diplomacy projects, development aid, student exchanges and scholarships programs and conventional media. In the same important the country has adopted a social media platform to speak to the foreign public of different countries. This is evidenced by differently state representatives including embassies stationed in different countries (Ozkan & Akgun, 2011). Turkish embassies in Africa like other embassies are embracing social media such as Facebook and Twitter to communicate with the foreign public to gain influence, penetrate their ideologies and also promoting a good relationship. So the objective of this study was to explore the level of embracing social media particularly by Turkish embassies stationed in different African countries to engage with the foreign public directly.

Objective

1. To make a comparison between Twitter and Facebook which one is more preferred to engage with the foreign public.
2. Examining how Turkish embassies in Africa use social media in engaging with foreign public.
3. Examining the image portrayed by Turkish embassies in Africa / how Turkish embassies in Africa position their country.

Question

1. Between twitter and Facebook which one is more preferred in engaging with the foreign public?
2. How Turkish embassies in Africa use social media in engaging with the foreign public?
3. What image portrayed by Turkish embassies in Africa/how Turkish embassies in Africa position their country?

Literature Review

The Concept of Public Diplomacy

The practice of public diplomacy is as old as the development of nationalism; hence the need for inter-state relations was necessary rather than options. However the term public diplomacy was for the first time coined in the 1960s, but it's only in



1990s officially started to be defined as independent discipline after Joseph Nye's coining of the term "soft power." This encouraged many scholars to start writing about public diplomacy. However, since that time, public diplomacy has been associated with other disciplines ranging from mass communication, public relations, international relations (IR) to marketing (Ayhan, 2018). Public diplomacy definitions vary according to the practice which to an extent influenced by the development of information and communication technology. Traditionally Public diplomacy has been regarded as a state-based form of communication with foreign publics, aimed at bringing about mutual understanding for its nation's ideology, its culture, institution and also its national goals and policies' (Renken 2014 as cited in Hans Tuch 1990). Also, Gregory (2008) defines Public diplomacy as a situation in which the Government is communicating with foreign public and organizations that aimed to influence policies and strategies of a foreign state that can favor their interest.

In their study entitled "Diplomacy and the Role of Public Relations: Evolution of Public Diplomacy" Yun and Toth (2009) identify and discussed two main perspectives of the different scholar over public diplomacy activities and it is practiced currently; that is realism and liberalism. From the realism (tradition public diplomacy) point of view, Public diplomacy is the state-based communication aim at engaging and influencing the foreign public to support the national interest beyond its border. In this view of public diplomacy, consider the state as the only actor in engaging with the foreign public, like developing foreign policy and implementation. On the other hand, the concept of liberalism (new public diplomacy) doesn't consider the state as the only actor in Public diplomacy rather as an important key player in influencing and engaging with the foreign public. In other words, the perception of liberalism recognizes other actors; including individuals and different organizations that operate their activities in the foreign country as players in public diplomacy.

The rapid development of information and communication technology which goes together with the development of globalization of trade, a monitory and political change has led to the public's participation in international relations. Example citizens of one country share information with the citizens of other countries. Share. This change has attracted scholars of public diplomacy and related field to conduct research to reinvent diplomacy in the information age how has shaped new conceptions of public diplomacy (Yun & Toth, 2009).



The “new public diplomacy” is a new term now coined and discussed in scholarly academic works to describe public diplomacy in the information age but with different interpretations. Rhiannon Vickers as was cited by Hanson (Yun & Toth, 2009), she defined new public diplomacy is “a blurring of traditional distinctions between international and domestic information activities, between public and traditional diplomacy and between cultural diplomacy, marketing and news management.” This means the new public diplomacy combines traditional public diplomacy where the government develop different policies to influence foreign publics and public affairs where the government policies to inform/influence its public and image management.

The new public diplomacy is no longer restricted to informing, conducting promotion campaigns or even direct governmental contacts with foreign populace to influence them over its ideologies rather is also about building sustainable rapport with civil society actors in other countries and about watering down good networks between non-governmental entities inside and outside the country (Gregory, 2008). Also, Islam Muhammad (2016) adds that Diplomatic communication is no longer regarded as government-centered communication from the government to the public of foreign country rather is an interaction which includes government’s communication with an ordinary citizens in both domestic and foreign countries. This is revealed at the end of the 20th and beginning of the 21st century, the development of the internet and social media led to the digitalization of public diplomacy. So, the internet which gave the powerless power and voiceless voice platform to present their opinions of what is going on in the world, wherein past was impossible.

Public Diplomacy and Other Related Terms

There is an ongoing debate among scholars over the concept of Public diplomacy relating to other practices including National branding and Soft power. With the interest of this study, Public diplomacy is the tool of Soft power which is used by different nations with a purpose of achieving foreign policy through attraction rather using the so-called hard power such as military forces and coercion (Nye, 2004). He also added that this attraction is done through presenting the culture of a specific country, political ideas and policies rather than persuasion and influencing directly.



On the other hand, public diplomacy and nation branding have an inherent features which are closely related to each other as both based on international communication aimed at shaping or influencing attitudes of the foreign Public about a certain nations, also this kind of communication is likely to be state-oriented communication to create a good image of the country and building relationship (Sevin, 2018). However there are some scholars are trying to differentiate these two related concepts as completely describing different actions, with public diplomacy is more of politics as the primary goal. The main goal of public diplomacy is to create a good relationship and mutual understanding among different nations while nation branding focuses on economic gains, such as promoting tourism, marketing their goods and encouraging foreign investment (Szondi, 2008).

On the other side, some of the marketing scholars consider public diplomacy as a subset of nation branding, claiming that in the past public diplomacy practices based on communicating government policies. Unlikely today public diplomacy refers to how the nation is presented and perceived entirely. On the contrary presentation and perception are the important terms in marketing (Anholt & Hildreth, 2004). Yet, limiting public diplomacy with policy promotion is not valid since the public diplomacy is more than policies promotions rather public diplomacy should be seen in the context of the influencing the whole scope of international relations in this interdependent and connected world (Anholt, 2006).

Nation branding as an activity or practices with primary goal of managing and promoting image of a certain country to the target audiences while public diplomacy is all-embracing term explain the engagement with the public of another country ranging from image management, cultural relations, policies management to relationship management (Sevin & Ingenhoff, 2018 as cited in Fan, 2010, Fitzpatrick, Fullerton, & Kendrick, 2013, Pamment, 2011 & Melissen 2007).

The Rise of Digital Diplomacy

The technological impact can be determined on how is used. This is to say that, technology itself can neither create nor destroy relationships; rather, it is how the technology is utilized can influence organization-public relationships” (1998, p. 324). Technological innovations like the internet have given practitioners the new



ways of reaching out to foreign publics and have had wide-reaching effects on international communication and thereby, on public diplomacy.

Digital Diplomacy was first introduced by Wilson Dizard in 2001, since then it started to grab the attention of the international diplomatic communities as up growing tool that enriches Public Diplomacy efforts (Islam Muhammad). Hayden (2012) has defined Digital Diplomacy as the increasing use of Information and Communication Technologies and social media platforms in practicing Public Diplomacy. This definition is supported by the scholars who claim that the information technology (IT) has provided Public diplomacy only with the new channel but the content has not changed and so remained the same (Metzger, 2012). In doing so, there are two competing sides on the role of social media in diplomacy: there is a revolution and evolution perspective. In the debate, the central question is social media whether it is a 'game-changer', "extra features" or tool which provides an opportunity of the diplomats to interact with the public directly without intermediaries (conventional media) (Collins & Bekenova, 2018).

The revolutionary, considers that social media has changed and reshaped the practices of Public diplomacy because of the great importance of new communication channels for diplomacy; for example, the scholars who support this perspective, they point out major changes brought by social media such as; firstly a key player in public diplomacy is no longer only government-oriented but the social media has empowered organizations and individual to participate in public diplomacy. Secondly, changing on the nature of communication, from one way to two ways mode of communication, thirdly, rising of dialogues on social media (Collins & Bekenova, 2018). Also, Payne and Sevin (2011) added that social media also led to the rise of grassroots public diplomacy whereby the citizens of one country directly engage with citizens of the other nations with aim of creating a good image of their country.

The evolutionary, the scholars of this perspective argue that communication technologies and social media are only a relatively minor addition to the modus operandi of traditional diplomacy. So social media or communication technology, in general, didn't change the whole practices of diplomacy. For example, the scholars who support this point of view refuted that social media doesn't create dialogue but it provides a platform for the dialogue since there is no clear evidence from the current studies about social media which prove clearly that it has the power to create a dialogue rather many researchers show their doubts over the dialogue on social media (Collins & Bekenova, 2018).



In all, no matter how you define digital diplomacy as Game changer or an additional feature or channel, considering many countries embracing digital communication and many studies describing their significances, it can simply be claimed that digital diplomacy is no longer an optional practice if its whether you decide to use it or not but rather has become a part and parcel competency across the world as far as public diplomacy is concerned (Sevin, 2018).

A Short History of Turkey-African Relations

The Turkish-African relationship had root ranging from Ottoman Empire, Turkish republic under the regime of Mustafa Kemal Atatürk to the current era of Justice and Development Party (Adalet ve Kalkınma Partisi, AKP) (Özkan & Akgün, 2011). Since Turkey-African diplomatic relations in both eras of the Ottoman Empire and Turkey's republic focused solely with North Africa countries only to mention Egypt and Morocco while other Sub-Saharan countries were under the colourizations so it was very difficult for Turkey to establish relations with those countries (Özkan & Akgün, 2011). During the era of Justice and Development Party (AKP), there was a vast ideological shift of Turkish government which involved the redirection of the international policy which previously was directed to Western countries solely but this time was to the more diversified and globalised world (Rudincova, 2014). Since then, the Turkish Motto for foreign policy was "zero problems" which aimed at consolidating the good relationship with neighbouring countries at the same time extending their wings far too toward African countries (Rudincova, 2014).

On the other hand, the year 1998 was meant to be the starting point in Turkish engagement towards Africa. As from this year, the Turkish government started to focus its policy on the continent followed the newly appointed foreign minister İsmail Cem who was the mastermind of 'Africa Action Plan'. This action plan was aimed at implementing the program entitled 'Opening up to Africa Policy'. The program was intended to be as a new road map for the political, commercial, and cultural cooperation between Turkey and African countries (Rudincova, 2014). However, this action couldn't be implemented due to the existence of some internal problems such as Kurdish problems and economic crisis. It was only in 2002 when the Justice and Development Party (Adalet ve Kalkınma Partisi, AKP) came into power where the chapter of history was opened. It officially, begun to take efforts and set strategies to engage with African Sub-Saharan countries. This step



was followed by the establishment of Turkish embassies almost all over the continent (Rudincova, 2014).

Besides, Özkan and Akgün, (2011) claimed that Turkish efforts toward opening embassies all over the continents were pushed by three main possible reasons; firstly, it is the sign of the change of foreign policy toward Africa. Secondly, the growth of African economic potentiality attracted Turkey to establish fair trade relations. Lastly, it's because of turkey's disappointment in the long term of efforts of integrating with the European Union (EU).

Methodology

Secondary data was collected online and content analysis was used to analyze the data. Notably, three different Turkish embassies' Facebook and Twitter accounts stationed in Tanzania, South Africa and Sudan were monitored for 4 months from the 4th of January to 4th of May 2019. The selection of these countries was done considering geographical location, economic status and ideological reasons (Islam). Furthermore, the collected data were categorized by using Dual-Factor Model, which was developed by Nadkarni and Hofmann (2012). They claimed that social media are used mostly for two purposes—the need to belong and the need for self-presentation to determine both how social media used in engaging with the foreign public and also image portrayed by Turkish embassies in Sub-Saharan African countries. This Dual Factor model was also used before by Collins and Bekenova (2018) in their study entitled “Digital diplomacy: success at your fingertips” which focused on examining and comparing the level of embracing digital diplomacy by European embassies in Kazakhstan which have a Facebook account, based on data collected between April 2015 and May 2016 on 14 embassies' Facebook accounts.

Furthermore, in the data collection both Facebook and Twitter posts were classified into 9 classifications in which 4 of them is Cooperation with the country, Embassy activities, Domestic and international news, Cultural events, were labelled as need to belong and other 5 which are Education, Tourism, Culture and Society, Language Philanthropy were coded as self-presentation of promotion.

Results and Discussions

According to the data collected through content analysis of 3 Turkish embassies of Facebook pages stationed in 3 different countries for 4 months, the data show that



Turkish embassy in South Africa is the most active with a total of 83 posts which is equal to 44.14% with a frequency of 0.69 per day. The second one is the Turkish embassy in Sudan 58 (30.85%) of total posts equal to 0.48 frequency. And lastly, the Turkish embassy in Tanzania had 47 (25%) posts equal to 0.20 frequencies.

Table 1 Classification of Facebook posts made by Turkish embassies stationed in Tanzania, South Africa and Sudan.

Country	Agenda									Total	Frequency
	Cooperation with the country	Embassy activities	Domestic International news	Cultural events	Promotion Education	Tourism	Culture and society	Language	Philanthropy		
Tanzania	5	7	12	3	15	0	0	0	5	47	0.20
South Africa	16	11	30	1	3	5	2	1	14	83	0.69
Sudan	11	12	6	1	14	1	1	0	12	58	0.48
Total											

Source: Researcher, 2019.

On the other hand, in the period of monitoring, the posts which show the need to belong were higher than of the self-presentation's posts. The Turkish embassy in Tanzania had a total of 27 posts equally to 57.44% that show need to belong while 20 (42.55%) posts were for self-presentation. also, the Turkish embassy in South Africa 58 (69.87%) showed need to belong and 25 (30.12%) posts showed self-presentation. The Turkish embassy in Sudan had 30 (51.72%) posts that showed the need to belong while 28(48.27%) posts showed self-presentation.

On the other side, According to the data collected through content analysis of 3 Turkish embassies of twitter accounts stationed in 3 different countries for 4 months, the data show that Turkish embassy in Sudan is the most active with a total of 154 posts which is equal to 54.41% with a frequency of 1.28 per day. The second one is the Turkish embassy in South Africa with 111 (39.22%) of total

posts equal to 0.92 frequency. And lastly, the Turkish embassy in Tanzania had only 18 (6.36%) posts equal to 0.15 frequencies.

Table 2. Classification of tweets made by Turkish embassies stationed in Tanzania, South Africa and Sudan.

Country	Agenda									Total	Frequency
	Cooperation with the country	Embassy activities	Domestic International news	Cultural events	Promotion Education	Tourism	Culture and society	Language	Philanthropy		
Tanzania	1	3	6	0	1	0	3	0	4	18	0.5
South Africa	15	15	38	0	8	6	2	0	27	111	0.92
Sudan	12	44	38	3	30	2	0	0	25	154	1.28

Source: Researcher, 2019.

On the other hand, the tweets which show the need to belong were higher than of the self-presentation's posts just like it was for Facebook. The Turkish embassy in Tanzania had a total of 10 posts equally to 55.55% that show need to belong while 8 (44.44%) posts were for self-presentation. also, the Turkish embassy in South Africa 68 (61.26%) showed need to belong and 43 (38.73%) posts showed self-presentation. The Turkish embassy in Sudan had 97(62.98%) posts that showed the need to belong while 57(37.01%) posts showed self-presentation.

According to the data collected, it is needless to say that, twitter is most preferred social media for diplomatic communication but this also sometimes depends on the nature of the audiences of the certain country, for example, Turkish embassy in Tanzania, the twitter account is less active than Facebook page while other Turkish embassies in South Africa and Sudan their twitter accounts are more active to Facebook pages.

On the other side, in all examined Turkish embassies, the need to belong messages were comparatively higher whereby categories like local and international news, embassy activities and cooperation with countries were being frequently



shared while in the self-presentation (promotion) philanthropy activities whereby Turkish Government and humanitarian organizations such as TİKA conduct in Africa. Also, another important issue was education activities particularly were about Turkish scholarship and Turkish schools found in examined countries.

Notably, Turkish embassies have been posting frequently the issues related to charity activities in which Turkish government and non-government organizations have been undertaking in a different part of the African continent, for example, it shares a world report which shows that Turkey as one of the tops in supporting humanitarian issues in Africa and worldwide. Moreover Turkish is portrayed as a new destination of education; this is being particularly portrayed by the biggest Turkish Government scholarship (YTB) applications posts. YTB is scholarship is one of the biggest scholarships which allow the students all over the world to study within the country. Additionally, the embassies have been frequently sharing the updates of Turkish schools like Maarif schools and others which provide education in different countries including Tanzania, Sudan and South Africa.

In the local and international news, many posts were about Turkish history raging from the legacy of Ottoman Empire, a commemoration of the wars during the independence struggles like Chanakkale, to great leaders who played big roles in different times in the development of modern Turkey, this includes Mustafa Kamel Atatürk. In International wise, many of posts which have been sharing were about Islamic religions struggles, propaganda, injustices and Islam phobic tragedies toward Islam and Muslims around the world. For example, the news of the New Zealand tragedy of attacking the mosque and kill dozens of the people and injured others who were inside got a lot of attention for a while.

Interestingly, the embassies have been rarely sharing issues related to tourism, culture and language. Despite Turkey is one of the world top ten countries which receive many tourists according to UNWTO report in 2018. Moreover, Turkey is also well known for its strong and diverse culture but still, there were very few posts promoting the country as a tourist destination. However, All Turkish embassies have been using the Turkish language, English and Arabic for the Turkish embassy in Sudan.

Lastly, the data shows that Twitter account of the Turkish embassy in Sudan has many posts with 1.28 frequency per day, this is due to the strong tie exist between Turkey and Sudan ranging from Ottoman Empire to the current regime. Besides, they share almost the same ideology. On the contrary, the Turkish embassy in Tanzania has very few posts especial on Twitter account. This is because the



relationship between Turkey and Tanzania is still at a low level as compared with Sudan or South Africa.

In South Africa, the embassy has many posts related to economic cooperation between the two countries at the same time philanthropy activities which have been posted nearly all of them didn't happen inside the country rather in neighboring countries like Malawi and Zimbabwe just to mention. This shows how the country economic status shapes diplomatic communication while engaging with the foreign public.

Conclusions

It's needless to say that social media particularly Facebook and Twitter have revolutionized communication field as it facilitates communication with the public all over the world within the short period and more importantly in lesser expenses compared to the previously used channels. If the social media opportunity is grasped well may help in creating and developing a good image of the country. Furthermore, social media can change attitudes and shaping the opinions of the public for a short period and also it gives a room for telling a story without being filtered by mainstream media. Turkish embassies in African have adopted the new public diplomacy approach by embracing opportunity of social media presence to share different activities ranging from diplomatic, political, cultural, social to educations which have positive impact not only to the image of the county but also in strengthening the relations with the foreign public though it is not the for ultimate level.

Moreover, Twitter seems to be a preferred vehicle for diplomatic communication comparatively to Facebook. This witnessed by Turkish embassies in Sudan and South Africa which frequently share the posts on Twitter comparatively to Facebook. In addition to that, Twitter interactivity is higher than of Facebook as many people likely to comments like and share more often on Twitter.

The nature of communication is heavily one-sided. Diplomats' motive is seeking to communicate with the foreign public beyond the established diplomatic circle. It is seldom seen, social media to give a platform for hostile views and oppositions to the incumbent regime. Therefore this proves that social media may provide a platform for the dialogue but it doesn't happen and thus can be concluded that active use of social media channels, of course, will not replace 'the handshake as the most important tool of diplomacy', but it's a very important ad-



ditional feature that can improve the effectiveness and appearance of the actions and even promote the positive image of the country.

Turkish embassies have been frequently sharing the posts which have been labelled as a need to belong rather than the promotion of the country. However, the ultimate goal is to promote the country in the form of a sense of belonging to generate and maintain good relationships with the country (Collins, 2018). For example, the embassies probably choose the local and international news that can add credibility of the country rather than damaging it, likewise, the embassies use the same platform to refute news or information that likely to distort the image of the country. The vivid example is when turkey used social media to run a campaign aimed at refuting about an attempted coup in 2016 while restoring the image.

Turkish embassies use social media to share the posts related to philanthropy, education, local and international news showing the public its innocence historically in the relations with different countries, including some of African countries and that, his cooperation with African is for the goodwill of helping African countries in humanitarian issues and promoting economic cooperation's which based on equality between both sides (win-win relationship).

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Feminism and Chains of Society

Ramallah Zahir*

Abstract: Feminism is a theory that aims to understand the voice raised by the women on the ground of the equality of sexes. The voice of women's rights has been neglected for centuries and there is a pressing need for the support and approval of women emancipation. As we state the subject of gender-specific identity in society, women have never been regarded as a separate and important entity of society. Women have battled and struggled as far as they could for the grant of their basic rights against the status quo of men in the societies where women empowerment is put aside, and patriarchy is given priority. History is full of such incidences where women speak for their rights. The first voice for women's rights was raised in the early 19th century among the Greeks and as a result, now in the 21st century, we see the fruits of such efforts, especially the Asian society where women, in the pursuit of their dreams, face dilemma foisted by their own families and the society who consider it nothing but humiliation to themselves if the women work, thus promoting patriarchy. We will be able to investigate the brief introduction going through the history in this essay, the different waves that were set up in different periods and what turns did feminism take up to the present day. This article is based on a Turkish TV serial which depicts the concept of feminism as it explains the life of a girl who belongs to the destitute and timid family. The family belongs to a village but moves to the city to fulfill the dream of their daughter, who wishes to get educated. The girl is a picture of multiple identities and changes one after another, having a different identity at home but another when she goes to the university so that she can feel the same as her friends in the university life. Her father being very religious restrains her from adopting modernization and for this reason, the girl finds herself in solitary as she struggles between two different mindsets of the society.

Keywords: Emancipation, Women Empowerment, Patriarchy, Modernization, Feminism.

* Kocaeli University, Communication Sciences.
Contact: ramallahzaheer@hotmail.com



Introduction

Feminism basically originates from the word “feminine”. Feminine means, having an appearance or qualities that are related to females. So, as a result, when we add “-ism” suffix at the end of a word, it tends to represent a specific practice, system or philosophy. From this, we can assume that feminism means to advocate women’s rights based on the equality of the genders. It means to have faith in fairness in any field of life because of gender. Although, with the raising voice in the Western culture, feminism is now open and clear all over the world and different institutions that are committed to working on the behalf of women’s rights represent this.

“According to Brunell and Burkett (2019): “If we go through most of Western history, women were only limited to domestic life whereas the public and social life were dominated by men. In the middle ages of Europe, women were not allowed to have their own property. They were not allowed to study or even take part in any social or public activity. In the late 18s’ women were still forced to keep their heads covered when going in public, and in some parts of Germany, it was still valid for a husband to sell his wife. Even at the start of the 20th century, women were not eligible to vote or hold an elective office neither in Europe nor in the United States. Women had no right to do business without having a male representative with them. It may be her father, son, brother, husband or legal agent. It was so bad that women were not even allowed to exercise control over their own children without the consent of their husband or the father of the son. Additionally, women had very little or no access to education and were restricted from most of the professions. Unfortunately, it still happens in some countries in today’s world.”

Apart from Western culture, we talk about Muslim women across the world. Because, in general, there are two different mindsets all around the world and one of them is Islam which is totally different from all the religions and, on the other hand, there are other religions who are different obviously but do not differ as much as Islam when it comes to their women. Approximately, there are 1.6 billion Muslims on this planet Earth and that means the quarter of the world’s total population and of course, it is a versatile mass of people. As roughly half of the Muslims, their women vary in any way that human beings can think of. May it be their dressing style, their fashion, their professions, social activities or their belief in their religion, it would be not wrong if we say that Muslim women are as distinct as women all around the world. It

is correct that Muslim women have played an important role to improve the status of women and rigged the exercises that are biased because of gender.

According to most of these women, feminism or the right to stand for the gender identity has always been suitable as a Muslim. They may recognize themselves as a “Muslim feminist” or a believer of “Islamic feminism”, though other women may not want to define their struggle in this way. Feminism is not considered important by many Muslim women just like many women across the world do not feel affiliated with feminism and do not want to label themselves as a feminist. If we look at history, there have been protests by Muslim men and women who united to reclaim what they believe is Islam’s true enthusiasm to give everyone justice when it comes to different genders. These people who started these protests questioned people for women’s rights and provided enforcing gender-sensitive readings of their holy book that demanded to separate Islam from patriarchy which means a male dominant society.” (Start Exploring – Islam and Feminism)

History

The first move of feminism started in Greece. In the classic era of Republic, Plato supported the theory that women have the natural capabilities which are as same as of men for managing and protecting the old Greece. Many people continued to disagree with his views. In the time, when the first protest of the women of ancient Rome took place against the Oppian Law, which limited women from using gold and different resources. The Roman representative of that time said that as soon as women start becoming equal to men, they will become their superiors and despite his suspicion, his law was abrogated. The movement of feminism is known by the famous three waves.

First Wave

The first wave started in the 1830s and continued until the early 1900s. The basic purpose of this wave was to stand for the right of women in property and they must be given equal contracts when it comes to the property. In the 20th century, women started to realize that they must have the right to vote so that they can gain a political capacity which will help them to bring a revolution. The political war started and the issues that were discussed for this debate were sexual and monetary problems. This movement gave start to a debate that women should have equal if not more than rights that are described for men.



Second Wave

The wind of the second wave started blowing in 1960s and continued till the 1980s. It was almost after the second world war when the wounds of the war were just fresh, and the women thought to strengthen this debate and it was considered in the United States that women had met their goal as the Equal Rights Amendment failed to approve. There were so many civil issues that needed to be addressed at that time and women considered them important to be fought for, but they wanted to broaden their voice by fighting for gender equality first and eventually it would lead to the solution to those problems (Dorey-Stein, 2018).

Third Wave

As the previous movements had gained tremendous popularity, so the wave of feminism continued and once again rose in the 1990s and up till now, it has gained enough popularity to support the movement. The third wave was known as micro-politics of the equality that should be given to sexes. Though there has been rapid progress since the first movement, there is still more that needs to be done and that is why the voice against feminism is still raising day by day in some countries where women lack those equalities in gender.

According to Drucker (2018): “Third-wave of feminism started in the mid-1990s, reacting to apparent disappointments of the second wave and to the reaction against second-wave activities. This belief system tries to challenge the meanings of gentility that became out of the thoughts of the second wave, contending that the second-wave over-stressed encounters of upper working-class white ladies. The third wave considers ladies to be as junctional, exhibiting how race, ethnicity, class, religion, sexual orientation, and nationality are generally noteworthy components when talking about woman’s rights. It looks at issues identified with ladies’ lives on a worldwide premise.”

Fourth Wave

The wave of feminism was thought to be disappearing after the third one and no one considered that it would come back, but it came back as if they wanted revenge. It was never over and started holding grip in 2013 once again. As Cochrane (2013) explains it in her own words:

“Welcome to the fourth wave of woman’s protest for their rights. This development pursues the principal wave battle for decisions in favor of ladies, which

arrived at its stature 100 years back, the second wave of ladies' freedom development that burst through the 1970s and 80s, and the third wave announced by Rebecca Walker, Alice Walker's girl, and others, in the mid-1990s. That move from second to third wave took numerous significant structures, however regularly felt comprehensively generational, with ladies characterizing their work as unmistakable from their moms'. What's going on now feels like something new once more. It's characterized by innovation and technology: instruments that are enabling ladies to manufacture a solid, prevalent, receptive development on the web. Exactly how prominent is in some cases marginally alarming."

Women Empowerment and Feminism

"Women empowerment, in simple words, is a result of the movements that were recorded for equality in rights for women gender. In general, empowerment word does not even exist in most of the languages, but the idiom women empowerment generally means to give power to women if we go through the meaning of both the words. The need for women empowerment has always been there, but it got the strength after the different waves of feminism in different eras" (In, J., 2017).

Here are some famous quotes from famous leaders of all the times who supported women:

Muhammad Ali Jinnah (Founder of Pakistan) said:

"No nation can rise to the heights of glory unless your women are side by side with you."

Barrack Obama (44th US President) said:

"There is no tool for development more effective than the empowerment of women."

Feminism in Turkey in Accordance with the TV Show *Adını Feriha Koydum*

Adını Feriha Koydum is a Turkish TV show which was released in 2011 for the first time. The Turkish TV serial depicts a debate over Islam, secularity, modernity, and especially feminism in Turkey. Turkey is a country which is the only country connecting Asia to Europe and has a mutual effect on Asian society as well as European society on its public. This TV show is the best example which shows the story of a girl who belongs to a low-class family and migrates from a village to the city in the search of education and work. Coming from a lower family in an Asian society, it is hard for someone to pursue his or her dreams and especially the girls in the



lower class of Asian society are suppressed. Coming to the city, she finds herself in the middle of her poor, religious, and conservative family whereas her university life is totally different where her friends are totally liberal, metropolitan and not so relevant to religion. This TV show gives know-how of women in their variety of roles implicitly erasing or ostracizing the other side of Turkish society which is the traditional life of women in Turkey. Where people have a strong belief in Islam despite its major society does not even care about religion. Turkish society in this show is depicted in two different forms: one of them is a modern, liberal, and urban society whereas, on the other hand, it is a life that shows rural, backward, and conservative society. The main characters of the show are Feriha, Rıza Yılmaz, Zehra Yılmaz, Mehmet Yılmaz, Emir, Hande, Cansu, and Lara. Before we go through a brief analysis of the show, we will discuss what Feride Bahar wrote in her synopsis of this TV show. She writes:

“The wife of Feriha’s father who had dreams while she was a young girl, shares her dream with her daughter and then her daughter wins a scholarship in the local university exam in Turkey and as a result when she joins university, she falls into the same depression her mother had faced. Feriha used to live in the basement of a luxurious apartment of that time known as Etiler. His father Rıza is a doorman and Zehra is her wife. Feriha is concerned a lot about a rich life because she has rich friends and that is why she changes herself when she passes the university exam and after joining university, she gets herself known as a rich girl and coming from a modern background. On her very first day in class, she accidentally meets Emir who is a lot famous for his playboy living style. Feriha starts to like him and introduces herself as a wealthy person and as she cannot lie, she has to struggle with this life which is totally inevitable” (Bahar, 2017).

Feriha’s Relation with Her Father

A patriarchal system continues in her family. Her father rules over the family and especially when it comes to Feriha’s matter, her father puts some restrictions on her which she must obey in every condition as she is the daughter of a religious person.

Feriha’s Relation with Her Mother

Her mother favors the matriarchal system to some extent when it comes to her mother because she understands her daughter and has a friendly behavior towards her daughter. She is indeed a religious person and wife of a religious person but her approach to such matters is very broad.

Feriha's Relation with Her Elder Brother

Feriha is under the rule of two powers in society. Her father and brother try to impose a patriarchal system in the house as they believe in men's power and try to make everyone obey whatever they say. Her brother is neither educated nor earns money and that is why Feriha does not care whatever he says but still has a fear for him in her heart.

Feriha as a Student

Feriha is an intelligent student as it is clear from her background that she won the scholarship and is continuing her education in the university as a scholarship holder. But, being the daughter of a religious person, she must follow all the rules that are imposed by her family such as she is not allowed to wear dresses that reveal her body, restriction on time, and she is not allowed to party either. So, university life opens a door to her as she starts feeling the freedom when she interacts with the elite class of society.

Three Statements We Can Deduct from This Serial

There are three basic categories that are discussed in this serial which are representational categories and we will discuss them as below:

- Youth born and brought up in low-class families are less liberal than those who are born and brought up in elite-class.
- Village migrants are represented as repressive, poor, backward, and anti-urban.
- Progressiveness is represented as upward, economic mobility for women to be free from the patriarchal system.

Discussion

It is very important to discuss these three aspects in detail and put light on them in order to understand the important side of a woman's life which, practically as a character, Feriha is facing in the TV serial as it helps us to understand the problems of the female class and their need for standing up for their rights.

Youth Born and Brought Up in Low-Class Families Are Less Liberal Than Those Who Are Born and Brought Up in Elite-Class

As the TV show depicts the story of a girl who migrates from village to city in her pursuit of completing her dream of being educated. Being, in the village she does not have enough opportunities and is not used to the modern world. She gets a



big exposure when she moves from her village and while she is living in the city she makes rich friends due to which her expectations are also raised high but she forgets that she belongs to a poor family due to which she finds herself in the middle of both the societies and has to fight both of them. On the other hand, it is unfortunate in our Asian society that the power and control lie in the hands of the elite class which makes a distinction between the societies and the poor are deprived of their freedom and expression. If we analyze this perspective regarding a women living in the society, it is clear that women are more sensitive than men because for centuries they have always been suppressed and treated like slaves and the increasing patriarchal system in our society muted the voice of the women when they cannot speak for their rights, they cannot ask for properties when it is their official right, they cannot be even open about their menstruation which shows that conservatism has destroyed dreams of such women. But it is well-said that whenever such inequality is seen in a society, the society starts raising voice against it resulting in success as we can see it in our daily lives.

Village Migrants Are Represented as Repressive, Poor, Backward, And Anti-Urban

As the TV show represents a girl who comes from a village in order to achieve her dream of completing her education, so we will enlighten this perspective regarding the show. Generally, if not so much popular in the western culture, the Asian culture is full of such examples where a person coming from the village is considered poor, backward, and illiterate because of the modernism and basic facilities it lacks in comparison with citizens living in urban areas. This is normal in the Asian culture because villagers are deprived of educational facilities and it is hard for their children to think about an educated life. Nowadays, education is very important for anyone to be successful in life because education gives you exposure, it gives you awareness in the society about what is going on but unfortunately, in some cultures, this education has also become a standard instead of a source of living. If somehow a village family manages to get its child educated, that education is not meant to be fruitful for the child's future life, but that education is used in order to get good boys in their house for their girl. Unfortunately, if a boy is uneducated or educated, he has the authority to make decision for his life whereas, on the other hand, if a girl is educated or uneducated, it is in the hand of her parents to get her married to whomsoever they like and that is what has been eradicated from the modern culture rapidly where the girl is allowed to have the life she wants and she can exercise her freedom in her own way.

Progressiveness Is Represented as Upward, Economic Mobility for Women to Be Free from the Patriarchal System

The last point that we are going to discuss regarding this show is progressiveness as it shows that nowadays you are successful and progressive enough if your income is enough and you come under the elite class of the society. As the girl's father in the serial is a housekeeper and earns hand to mouth so it clearly shows that the girl faces problem when it comes to her dressing, her makeup, her living style, and everything because if a person is earning hand to mouth he would not be able to fulfill his children's dream. And that is why despite her mother is working, it is hard enough for the family to cope up with the elite class in the society. The girl who is overwhelmed by her thoughts and fantasizes the rich life faces problem in the university as well as in her house because in university she has to change her identity totally and meet the modern living requirements whereas on the other hand when she returns home she is again dominated by the same patriarchal system and that is why progressiveness is shown as an important factor in the development of women's rights because when the women start to earn on their own, they become aware of the sense of the freedom and start realizing that it is the only way to be free from patriarchal system because until you are taking money from your parents, they are going to dominate you by whatever they say but once you have a good education and start progressing on your own, you become independent of others and that helps women contribute in their own life without help of others.

Results

The cumulative research on the renowned TV serial gives a brief information regarding various aspects of feminism. As a result, we can deduct that these three basic points that we discussed above are important when it comes to a woman. Because, whenever we go outside and we meet the people coming from low-class families, we find people who are not that much liberal. It is obvious that the person living in a small house will also have confined thinking which stops the leader of that house to invest in the future of his or her children and this rule is applied mostly to the female class of the family because they are considered not powerful enough. Unfortunately, this results in parents investing in the dowries of their daughters more than their education which increases the illiterateness in the society, because when a mother is not educated enough, she will fail to bring her children up in a good manner and that will cause her and her children a lot. The second



point is that village people are thought to be from a backward or poor living style which is quite often true. People coming from villages often lack speaking skills, they often lack good manners but that does not define who they are. Because a woman coming from a village might be repressive and react to a new system, an urban system in a different way but she might not lack the inspiration for hard work, the inspiration to learn something different, take back it to where she belongs and bring a change in her society.

This is also the failure of our education system which is providing education to only those people who don't need it that much as the people who need it. Nowadays, the war between countries is fought based on education, technology, and more importantly, the economy. And, the last sector gives a short but very interesting message, that, if you want to progress and be free from the patriarchal system and want your country to grow and prosper in economic terms. It is important for your woman to work and add to the economy. You have to break those chains of patriarchy and let the women work and obviously when they will work, it will give them a sense of pride and honor and moreover independence from the thinking that they are going to eat only if there is any male in the house.

Conclusion

This article explains the perspectives of a female who is born in a poor family and how they are deprived of modern facilities which eventually affects the feminine gender in our society. The girls coming from villages have different problems and it is hard for them to settle in modern society at first because their family is not so much educated to provide the girl with the basic needs to become equal in modern society due to which they feel complexities. The problem is also in our culture and our system who fails to make a change in the thinking of educated people that the people coming from a village or backward might lack the modern facilities and may react in a different way to urbanization but they cannot be judged for their hard work and enthusiasm to learn and make a change. And, it is also concluded from this study that progressiveness is a very good solution, not only for freedom from the patriarchal system but also adding to economic mobility. These things need attention and must be raised whenever it comes to gender equality but it must not be used in a wrong way and as it is said that excess of everything is bad, so it is the right of every woman to stand for her freedom of expression but it must not be used in a manner that can affect the society.

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A Comparative Study on Semiotic Analysis of Coca Cola Ramadan Advertisement in Indonesia and Turkey

Vera Febrina Harludi*

Abstract: Localisation strategy which refers to linguistically and culturally appropriating contents to the target market, is commonly used by brands in the globalised market. In Muslim-majority countries, the implementation of such strategy can be seen in various Ramadan advertisement. While Ramadan is a religious holiday celebrated by Muslims across the world; the celebration and hence the depiction of the holiday varies in different countries. Such differences are influenced by cultural and societal elements and signs peculiar to a country. This study aims to compare and explore similarities and differences in portrayal of Ramadan in advertisements in different countries by employing semiotic analysis to determine, systematically categorise and uncover meanings behind such signs. First, researcher dissects linguistic, visual and auditory elements of the advertisement. Afterward, researcher determines and classifies the signifiers and what they signify from the texts and creates comparison. Researcher concludes the study by comparing findings. This study analyses most-recent Ramadan advertisements of Coca Cola product aired in Indonesia and Turkey. Advertisements from Indonesia and Turkey are chosen as samples for this study, as both countries are democratic Muslim-majority country with flourishing economy. Meanwhile, the brand and product selection are due to the fact that The Coca Cola Company ranked fifth in Interbrand 2015 Best Global Brand category and Coca Cola is a globally popular American soft drink. In addition, Coca Cola is not a mere commodity; it also has a historical implication of imperialism and Americanisation. The findings of this study indicate that, although the main idea of a particular celebration remains the same; culture and recent occurrences affect the signs used in the portrayal of that celebration.

Keywords: Semiotics, Advertising, Localisation, Religion, Ramadan.

* Ankara University, Institute of Social Sciences, Media and Communication Studies, MA Program.
Contact: harludivera@yahoo.com



Introduction

The dichotomy of universal and localised strategy in international advertising has become a topic of debate for both the academics and corporate circles. While the universal strategy is generally based on the belief that advertising campaigns should be based on the basic universal needs and motivations; the proponent of localised approach holds that to employ such generalised strategy is impossible, as each nation has their own cultural characteristics, governmental rules and regulations, as well as consumer behaviour (Kanso & Nelson, 2002). However, prior researches have shown that companies and advertisers implement neither complete localisation nor complete standardisation in their strategy. Instead, scholars developed a new concept based on redefinition, or rather compromised approach of standardisation. Peebles, Ryans, and Vernon (1977) classified the redefined standardisation approach into prototype standardisation and pattern standardisation. Prototype standardisation refers to the strategy in which an international company employs an advertisement or campaign to multiple markets with the only difference being appropriate translations of changes in idioms. On the other hand, by implementing pattern standardisation concept, the company takes a more flexible approach by developing an overall theme to be used in multiple market. This strategy aims for the same goal, yet not necessarily uniformity in details.

In 2016, Coca Cola renewed its marketing strategy by launching a global creative campaign “Taste the Feeling” to replace its seven-year running “Open Happiness” campaign. Coca Cola then Chief Marketing Officer Marcos de Quinto said, the campaign established Coca Cola’s commitment to choice, catering consumers’ taste, lifestyle and diet under the same value and visual iconography of the brand, which is to offer great taste and refreshment (Moye, 2016). This new campaign slogan was translated into many languages, and although the translations may not be literal, the implication of the idea remains unchanging. For example, in Turkey the slogan is translated into *Tadını Çıkar* (Enjoy it), and in Indonesia it is delivered as *Rasakan Momennya* (Feel the Moment). The brand works together with local advertising agency to create campaign and commercials tailored to suit the local market. For instance, in Turkey, The Coca Cola Company worked with Ogilvy Istanbul launching commercial films featuring Turkish actor Kıvanç Tatlıtuğ in 2017 (Kocası, 2017) and Turkish Popstar Tarkan in 2018 (Marketing Türkiye, 2018). Thus, researcher classified Coca Cola campaign strategy as a pattern standardisation approach of international advertising strategy classification.



This study aims to analytically compare two commercial films of Coca Cola Brand in two different countries to explore similarities and differences in Ramadan portrayal, in order to get better understanding of redefined standardisation approach of international advertising strategy. Researcher conducted this study by employing semiotic analysis to interpret signs representing cultural elements shown in the commercial films. This study compared two most recent Coca Cola Ramadan commercial in Indonesia and Turkey; *Momen Paling Ditunggu* (The Most Awaited Moment) released by Coca Cola Indonesia in 2016, and *Memleket Apartmani* (Motherland Apartment) released by Coca Cola Turkey in 2019.

Coca Cola and Ramadan

Ramadan is considered as the holiest month of the year by Muslims around the world. As a part of the framework of Muslim life, during Ramadan practicing Muslims abstain from food, drink and any sexual activity from sunrise to sunset. Many modern Muslims consider Ramadan as the most important ritual duties, and even if one does not perform their duty to pray five-times a day, they would still likely to observe the fast during Ramadan (Rippin, 1993). Keenan and Yeni (2009) compare this phenomena with the importance placed in religious holiday such as Christmas, Easter and Passover celebrated in the West by non-religious or secular Christian and Jews.

While the main rituals of Ramadan are consistent for Muslims in different countries; social and cultural environments, the minority or majority status of the Muslims in the country, and other factors play an important role on shaping the approach of the Holiday (Keenan & Yeni, 2009). Odabasi and Argan (2009) argue that Ramadan is more than just a religious celebration, as it also involves culture, consumption, charity, and other aspects of a Muslim life; and thus has significant effects on trade, economy and financial variables. In Muslim majority country such as Turkey and Indonesia, the countries' emerging economy and increasing influence of Western lifestyle affect the way Ramadan is seen and observed. Sandikci and Omeraki (2007) argue that, similar to Christmas, rituals of Ramadan have transformed into capitalist-driven, consumption-based holiday; which can be seen by the production of Ramadan speciality items, hotels and restaurants offering feasts, Ramadan-themed decoration and greeting cards, etc. In addition, to show their brand's inclusivity, companies often release Ramadan themed logo, with the crescent moon, or lanterns which represent Ramadan.



Methodology

The focus of this study is to better understand the international advertising strategy, namely the compromised approach of standardisation strategy. This study employs semiotic analysis to examine the cultural signs related to Ramadan as portrayed in the advertisements. The word semiotics derives from the Greek word *semeion* which means 'sign'. It is the study of signs and symbols, often focusing on range of communicative elements, such as words, colours, facial expressions, attire, melody, etc. In his famous lecture 'Course in General Linguistics' Swiss linguist Ferdinand de Saussure (1857-1913) investigated the nature of signs, and he argued that sign is made of two layer, the signifier which refers to the sound of images and the concept its signified. Saussure considered sign as a whole which resulted from the association of the signifier and signified (Saussure, [1916] 1983). Barthes developed this concept of signifier and signified into connotation and denotation. Denotation refers to the first level of meaning; which is the direct specific, or literal meaning of the sign. It is the specific description or representation of the signified. Whereas, connotation refers to the second level of meaning, which is what the signified symbolises in subjective level, hence the meaning it evokes (Moriarty, 2004). Connotative meaning is considered a cultural baggage that attaches itself to an object through past experience and/or repeated associations between the sign and object. Researcher chose semiotic analysis as the method of this study, as semiotics helps providing richer text analysis by focusing on the objective formal relationships, which to certain extent account for difference in what, and how images mean (Bell & Milic, 2002). This study uses the term connotation and denotation of Barthesian semiotics to translate the signs in the advertisements.

To achieve the research objective using abovementioned methodology, the study attempts to answer the following research questions:

1. What are the cultural signs present in the two advertisements in relation to Ramadan, and what do they signify?
2. By comparing the similarities and differences between the two advertisements, how do the signs comply with the main overall theme of the advertising campaign?

Researcher analysed two most recent Coca Cola Ramadan commercial in Indonesia and Turkey; *Momen Paling Ditunggu* (The Most Awaited Moment) advertisement released by Coca Cola Indonesia in 2016, and *Memleket Apartmani* (Motherland Apartment) advertisement launched by Coca Cola Turkey in 2019.



The two advertisements are available online on YouTube when the research was conducted. Advertisements from Indonesia and Turkey are chosen in this study due to the similarities and the uniqueness of the two country being to some extent secular, Muslim majority countries with flourishing economy. Nevertheless, despite the core similarities, the two countries possess distinctive geographical and cultural differences which create some contrasts when compared. Thus this topic is valuable to be analysed as a research topic.

Semiotic analysis is an old method, and has been used frequently by researchers. Nevertheless, there is yet many study done specifically on advertisements in Muslim-majority countries, let alone the secular one. Therefore, although this study faces numbers of limitations concerning the translations of the signs; this study will surely add value on the study of advertising in the Muslim community.

Analysis and Findings

This part of the study attempts to find answers for the first research question which is, “what are the cultural signs present in the two advertisements in relation to Ramadan, and what do they signify”; by dissecting the two advertisements separately through its linguistic, visual and auditory elements. In the scope of this study, linguistic elements refer to signs in the form of structured language use in the advertisements, both verbal and written. Whereas, visual elements refer to signs in the form of character appearances, attires, objects or background shown in the advertisements. Auditory elements refer to any form of music and noise heard in the advertisement.

Momen Paling Ditunggu (The Most Awaited Moment)

This advertisement is 30 seconds long and uploaded on June 2nd 2016, four days before Ramadan began in 2016. The title of the video is *Iklan COCA-COLA Ramadan 2016: Momen Paling Ditunggu* (Coca Cola 2016 Ramadan Advertisement: The Most Awaited Moment). The advertisement uses two hashtags, #MomenPalingDitunggu (The Most Awaited Moment) and #RasakanMomennya (Feel the Moment) which corresponds with Coca Cola global slogan Taste the Feeling. The texts on the video description translates into, “Ramadan has always been a #TheMostAwaited-Moment. Make family moments more special with Coca Cola. #FeeltheMoment”.

The commercial film began by showing a smiling teenage girl in a stripped t-shirt walking out of the kitchen with a Coca Cola bottle on her hand. A smiling



taller teenage boy who presumably was her brother stood behind her. The next scene showed a mature woman wearing a red shirt, smiling while standing in front of an oven with her mitten on. She fixed her hair, there was a ring on her finger which indicated that she was married and was the mother of the girl and the boy. Furthermore, with seven people men and women laughing, sitting on the dining table; the woman in red shirt stood next to the table, taking a half-empty Coca Cola bottle from the table. One of the man on the dining table looked up and raised his finger, and the woman in red shirt gave him the Coca Cola bottle on her hand while smiling. The girl in the stripped t-shirt tapped on the woman's shoulder and indicated at the group of people taking picture; while woman in red was pouring a bottle of Coca Cola into a glass with ice. A close-up scene of woman in red shirt closed a door, she went to the empty dining table, looking at the empty Coca Cola bottle. The girl in stripped shirt smiled from the kitchen door and the woman in red looked up and smiled. The girl, the boy and the man which seemed to be the husband and father of the family came out of the kitchen carrying a Coca Cola and glass with ice. The woman covered her face with her hands and smiled. The man, girl and the boy were in front of the dining table. The boy put the Coca Cola bottle on the table, while the girl handed a glass of Coca Cola to the woman. The woman drunk the Coca Cola with her eyes closed and smiled. The girl hugged the woman from behind, while the man and the boy took empty dishes off the table.

Linguistic Elements

Linguistic elements in this advertisement existed in the form of lyrics of the song played throughout the advertisement and displayed text.

Denotation	Connotation
Lyrics	
<i>Ini lah momen yang paling ditunggu</i> This is the most awaited moment	Special holiday, Ramadan
<i>Momen berharga yang sangat berarti</i> A meaningful precious moment	Holiday time with loved-ones, during Ramadan
<i>Saatnya kita berkumpul lagi</i> It's time for us to gather again	Family time on Ramadan
<i>Rasakan momen bersama</i> To enjoy the moment together	Spending time with loved-ones on Ramadan

Displayed texts	
<i>Makan malam Ramadan lebih special</i> More special Ramadan dinner	Make your moment special with Coca Cola
<i>#MomenPalingDitunggu</i> <i>#TheMostAwaitedMoment</i>	Family time during Ramadan
<i>Rasakan Momennya</i> Feel the Moment	Coca Cola

The repeated use of the word “moment” in this advertisement denotatively referred to the time spent with family during special occasion or holiday, such as Ramadan. However, as Coca Cola associated itself with that particular word, repeated use of such word can also be interpreted as a brand reminder strategy, without implicitly using the name of the brand. Nevertheless, the word Ramadan was only shown once throughout the advertisement, and was displayed at the end of the advertisement. The display of the word Ramadan in this advertisement was crucial for this research, as it is the primary indication of the advertisement being a Ramadan advertisement. The other linguistic elements were general and can be applicable to any other religious and non-religious holiday in the country. This is due to the fact that Indonesia, even though is a Muslim-majority country, is also heterogeneous in terms of religion. Therefore, Coca Cola attempted to appeal to other part of the community as well.

Visual Elements

Object	Denotation	Connotation
Woman in red shirt	A female	Mother, wife, dinner host
Red shirt	A clothing piece in red	Happiness, celebration, the corporate colour of Coca Cola
Girl in stripped t-shirt	A young female	Daughter
Boy in polo shirt	A young male	Son
Men in white shirt	A male	Father
Coca Cola	A carbonated drink	Refreshment,
Dinner	A meal time	Iftar, celebration
Photographing people	The use of photography skill	Part of family ritual
Coca Cola logo with crescent moon	Logo	Coca Cola taking part in Ramadan celebration



The narrative of the advertisement showed an ongoing dinner party, indicated by the indoor lights being on, with the woman in red shirt as the main host. This dinner party can also be interpreted as an Iftar in relation to Ramadan. The woman was the focal point of the advertisement, as she was the only character in the advertisement wearing a bright piece of clothing, and specifically the colour red as the brand colour of Coca Cola to remind the audience about the brand. The advertisement showed the changes of her facial expression throughout the video. At the beginning she indicated exhaustion, even though she smiled in every social interaction with her family and guests. By the time she took the bottle off the table, her facial expression shows desire to drink Coca Cola and understanding when she handed the bottle to the guest. At the end, seeing her family brought her a new bottle of Coca Cola, she expressed happiness.

While the mother was shown as the main host of the dinner, the male members of the family helped with cleaning up the dish from the dining table. This indicates the division of household chores in the family. Coca Cola was shown in this advertisement as an important part of dinner celebration, as it affected the mood of the family members, especially the mother. Nevertheless, upon analysing the visual elements of the advertisement, other than the Coca Cola logo with crescent symbol at the end of the video, there was no particular elements which can blatantly indicate the advertisement being a Ramadan advertisement.

Auditory Elements

The advertisement used acoustic music throughout the video. There was no audible conversation and noise in the video.

Memleket Apartmanı (Motherland Apartment)

This advertisement is 60 seconds long and aired on Youtube on April 29th 2019, a week before Ramadan in 2019. The title of the video is *Coca-Cola - Memleket Apartmanı* (Coca Cola – Motherland Apartment) with the hashtag #TadınıÇıkar (Enjoy it) which is also the slogan of Coca Cola Turkey corresponding to the global Taste the Feeling slogan. The description of the video translated into “despite of our similarities and differences, we will have a meal together this Ramadan #Enjoyit.

The advertisement began by showing seven different households in the same apartment building, preparing food. The first household was an elderly man and woman, and a young girl preparing pilaf with meat. The second household was a woman in suit, putting a meatball dish into the microwave. The third household was an elderly man and woman preparing oven-grilled anchovy typical of Turkish



Black Sea region. The fourth household was three young men cooking egg dish using a frying pan, looking hesitant. The fifth household was a young man with flannel jacket and woman with colourful hair preparing salad. The sixth household was a young man with beard and woman in hijab preparing Turkish desert *güllaç*. The next scene showed two teenage boys running into a building with *Memleket Apartmanı* sign on the door, with *pide* bread and Coca Cola bottles in their hands. The bearded man and woman in hijab came out of the door, came across the man with flannel jacket and colourful haired woman on the corridor which also just left their house. The colourful haired woman smiled and complimented the dish the woman in hijab prepared, and the woman returned her smile. The bearded man signed to the stairs and said “let’s go” to the group. The household which prepared Hamsi came across the three young men on the corridor and chatted while heading to the stairs together. In similar fashion, the woman in suit met with the couple which prepared pilaf with meat. On the rooftop with a view typical of Istanbul Bosphorus, was a long dining table in which an elderly man was already sitting down when the rest of the group came. The people of the apartment put the food they have prepared and began to take a seat. The woman in hijab and the colourful haired woman sat next to each other, and the woman in hijab handed a bottle of Coca Cola to the colourful haired woman. The next scene shows a mosque, and the light of the minaret was turned on, indicating the *adhan* was read and the iftar began. The lights on the rooftop were turned on and the people looked surprised and were smiling. A bottle of Coca Cola was opened, and poured into a glass with ice. A masculine hand took a date from a plate next to an unopened Coca Cola bottle. The scene showed hands spooning and moving foods around the table. People were smiling while eating and drinking. They sat and chatted with each other. Colourful haired woman drunk Coca Cola from the bottle. Bearded men drunk Coca Cola from the bottle. The last scene shows people from the apartment sitting on the dining table the rooftop.

Linguistic Elements

Denotation	Connotation
Lyrics	
Farklılıklar olsa da takılma hiç bunlara Don't bother about the differences	Differences in our lifestyle, religiousness, culture do not matter
Bizi biz yapan bunlardır unutma Don't forget that those differences made us	We are all different



Kap şuradan bir Coca Cola Grab a Coca Cola from there	Coca Cola is a typical Ramadan drink
<i>Bir de pide yanında</i> And a pide (bread) along with it	Pide is a typical Ramadan food
<i>Ramazanda buluşalım sofrada</i> Let's meet for Ramadan meal	Ramadan meal is a moment to unite
<i>Hoşgör sen koy iki tabak daha</i> If you feel like it, take two more plates	You are free to join
<i>En güzel yemekleri hazırla</i> Prepare the most delicious food	Do your best
<i>Sen çık o seni çağırmasa</i> Come, even if they don't call you	Initiate action for peace
<i>Hep beraber sofraya</i> Let's have a meal together	Peace and togetherness

Verbal texts

<i>Bizler komşuyuz, dostuz, arkadaşız, hep beraberiz. Tüm farklılıklarımızla ve ortak noktalarımızla bu Ramazanda da haydi hep beraber sofraya</i> We are neighbours and friends, we are always together. With our similarities and differences, let's have a meal together this Ramadan.	Let's use this occasion of Ramadan to unite our differences
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The linguistic elements of the advertisement strongly promote uniting differences and creating peace. Coca Cola positioned itself strategically in this notion as a catalyst of the process. In addition, Coca Cola positioned itself next to *pide*, which is a type of bread typical during Ramadan in Turkey. The name of the apartment, *Memleket* means Motherland or hometown in Turkish, and it signifies the Republic of Turkey, in which people came from different culture and ways of living. The apartment building signifies a miniature-version of Turkey in which different people, family and household of different lifestyle, culture and religiousness come to live together peacefully.

Visual Element

Object	Denotation	Connotation
Pilaf with meat	Food	A family household
Woman in suit, reheating meatball dish in the microwave	A female, reheating meal	A single, working woman, with no time to prepare food
Grilled anchovy	Food	Household of people from Turkish Black Sea region



Three men cooking eggs	Males, making food	Household of students with no cooking skill
Woman with colourful hair, man with flannel jacket	A female and a male	Household of urban, modern, (usually) unmarried couple
Woman in hijab and bearded man with vest	A female and a male	Household of conservative couple
Running teenage boys	Young males	Youngest member of the family, the errand-person of the family
Pide bread	A type of bread	Ramadan
Rooftop with sea view	A communal part of a residential building	An apartment building in Istanbul
Mosque with minaret light turned on	The time of the day when sunlight is no longer sufficient	Sunset, iftar time
Date	A type of dried fruit	Typical delicacy typical to Ramadan
Foods on the table	Many types of foods	Many types of culture, differences
Coca Cola	Carbonated drink	Refreshment, iftar drink

This advertisement showed contrasting differences between the residents of the particular apartment building; such as one household consisted of traditional family from the Black Sea region and their neighbour is a household of three young single male students, etc. Yet despite of the differences, they sat together to have an iftar meal together, implying a sense of togetherness. In this advertisement, cultural elements such as eating dried dates, having iftar; and visual elements such as the scene of the mosque and minaret strongly indicated Ramadan. Coca Cola products were shown in every house, and was brought to the dinner by every household as Coca Cola is portrayed as a typical iftar drink. A scene where Coca Cola was being opened and poured into glass came right after the mosque scene. This indicated that Coca Cola is the first drink people consumed when they break their fast. In this advertisement Coca Cola positioned itself right in the middle of Ramadan tradition, as something people share with each other and consume during Ramadan.

Auditory Elements

The song played in the advertisement was a remake of Ajda Pekken's song *Hoşgör Sen* (Indulge) from the 90s. Using a remake song helped to appeal to the emotion



of the audience, as music can be used to trigger nostalgia and create a positive emotion on the audiences. There were numbers of conversation could be heard throughout the video. The sound effect of opening Coca Cola bottle and pouring Coca Cola into glass are audible to incite thirst and longing for the audience.

Findings

This part of the study attempts to answer the second research question which is, “how do the signs comply with the main overall theme of the advertising campaign?” by comparing the two advertisements. As learnt from the analysis above, the two advertisements have different main ideas, in which while *Momen Paling Ditunggu* (Most Awaited Moment) advertisement referred more to time spent together with family, relatives and friends; *Memleket Apartmani* (Motherland Apartment) inclined toward uniting differences in the country. Another striking difference is that, the Indonesian advertisement did not show any particular cultural element that signify the culture of the country nor Ramadan tradition; whereas the Turkish advertisement based the main part of the advertisement on symbolisation of culture, e.g. grilled anchovy which signifies Black Sea region of Turkey, or eating dates during iftar, etc. In addition, the music of *Momen Paling Ditunggu* (Most Awaited Moment) was a modern acoustic music, whereas in *Memleket Apartmani* (Motherland Apartment) a remake of a Turkish pop song from the 90s was being played. Abovementioned differences can be rooted from the differences in the consumer behaviour of the market, as well as differences on the approach of the local marketing strategy. Nevertheless, in terms of how the two advertisements correspond to the global campaign theme; the two advertisements focused on the idea of special moment or occasion, which was Ramadan in particular. Parallel to the idea that Coca Cola is “a simple pleasure that makes everyday moments more special” (Moye, 2016), both of the advertisements put Coca Cola not as the focal point of the advertisement as what makes moments special, but positioning Coca Cola as an element that always exists in a special occasion.

Conclusion

The pattern standardisation approach of international advertising offers multinational companies universality in their marketing strategy to a certain extent, while giving their local subsidiaries a space to address their target market. In the case of Coca Cola 2016 Taste the Feeling Campaign, Coca Cola local subsidiaries in



Indonesia and Turkey incorporated cultural elements specific to their regions in the advertisements while still voicing the main idea of the global campaign.

The primary limitation of this study lays on the subjective nature of translating signs, which limits the interpretation of signs to the cultural knowledge of the interpreter. In addition, while two advertisement analysed in this study are the most recent advertisement of the category; one of the advertisements studied, the *Momen Paling Ditunggu* (Most Awaited Moment) contained far less cultural signs to be equally compared to *Memleket Apartmanı* (Motherland Apartment); which created an imbalance.

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İşletme
Business

The Impact of Environmental Accounting Disclosure on Company Profitability of Selected Manufacturing Companies Listed in Borsa Istanbul (BIST)

Abdirahman Abdinur Awale*

Abstract: In recent times, the negative environmental consequences of industrial development have become a matter of public concern throughout the world. Even though there are national and international measures being taken to reduce, prevent and mitigate its social, economic and political impact, still yet, there is an occurrence of pollution, global warming, resource depletion, and other climate change issues. This study investigated the impact of environmental accounting disclosure on the profitability of listed manufacturing companies in BORSA Istanbul (BIST). We utilized content analysis to extract secondary data from the annual reports of the selected manufacturing companies, while ordinary least square and Pearson correlation were used to analyse the data. Our study revealed that environmental accounting reporting and disclosure index (EARDI) have a significant and positive relationship with return on equity. This study concluded that environmental reporting is associated with the enhancement of firm profitability. We suggested that companies should continue to prioritize disclosing their environmental activities to improve their reputation, which consequently increases their profitability.

Keywords: Environmental Accounting Disclosure, Manufacturing Companies, Profitability, BIST.

JEL Classifications: M14 M49

* Kocaeli University, Social Sciences Institute, Business Administration, MA.
Contact: awaale06@gmail.com



Introduction

The negative environmental consequences of industrial development have become a matter of great public concern throughout the world in recent decades. Pollution, global warming, resource depletion, and other climate change issues are examples of these environmental consequences. National and international level measures are being taken to reduce, prevent and mitigate its social, economic and political impact (Global Reporting Initiative, 2006). Environmental accounting can be viewed as an environmental management strategy that communicates the company's environmental activities and environmental concerns with stakeholders (Rakiv, Islam, & Rahman, 2016). Environmental accounting helps to accurately assess the costs and benefits of environmental conservation measures taken by companies (Burritt & Schaltegger, 2002; Seetharaman, Ismail, & Saravanan, 2007).

Simple compliance of mandatory environmental reporting is inadequate to meet stakeholders' expectations of environmental disclosure. Mandatory reporting is nothing more than a minimum requirement for reporting (Makori & Jagongo, 2013). The effect of economic rationality is particularly apparent in the context of voluntary accounting disclosures and weak state regulation in developing economies (Che- Ahmad, Osazuwa & Mgbame, 2015). However, companies are now increasingly aware of their social and environmental roles and responsibilities, leading to a growing trend in social and environmental reporting. Researchers have subsequently started to examine the extent of disclosures, including the types and nature, form, quality, and quantity of the disclosed information (Rakiv et al., 2016). This study attempts to examine the situation in Turkey by providing more empirical evidence to investigate the impact of environmental accounting disclosure on the profitability of listed manufacturing companies in BORSA Istanbul (BIST). Therefore, the specific objectives of this were to investigate the relationship between environmental accounting reporting and disclosure index (EARDI) and return on equity.

The subsequent sections of this study are organized as follows; the next section discusses the literature review, while the third section discloses the research methods. The fourth section presents the results and analysis of the study, while the final section concludes the study.

Literature Review

Concepts of Environmental Accounting

Environmental Protection Agency [EPA] (1995) conceptualized that environmental accounting is derived from three different contexts: national income accounting,



financial accounting, and managerial accounting. In the national income accounting context, environmental accounting has been called the accounting of natural resources. From the financial accounting point of view, environmental accounting refers to estimating and reporting on environmental liabilities and financially significant environmental costs. In the context of managerial accounting, environmental accounting is the use in business decisions and operations of data on environmental costs and performance. EPA (1995) also defined environmental accounting as the combination of information and environmental costs in different accounting practices used to study the mutual relationship between accountants and ecology, to raise awareness of environmental cost information or to settle environmental costs, distribution to the appropriate products and processes.

Moreover, Burritt and Schaltegger (2002) "Environmental accounting is an accounting branch that deals with activities, methods, and systems; recording, analyzing and reporting; and the environmental and financial impacts of a defined economic system. Environmental accounting refers to the identification, measurement, and allocation of environmental costs, environmental financing, environmental assets and liabilities and the inclusion of such variables in business decisions and subsequent communication with stakeholders of environmental information (Rakiv et al., 2016). Therefore, environmental accounting provides environmental information to internal and external stakeholders of a company that could hold the company accountable (Schaltegger & Burritt, 2010). Environmental accounting can better identify real costs by clarifying the environmental impacts of material acquisition and processing, manufacturing, sales, distribution, use, maintenance, and disposal (Cooper, Taylor, Smith, & Catchpole, 2005). To achieve objectives such as reducing environmental costs, increasing revenues and improving environmental performance, attention needs to be paid to current, future and potential environmental costs (EPA, 1995).

Social performance information, social auditing, social accounting, socio-economic accounting, social responsibility accounting and social, environmental reporting, and environmental reporting have been used in literature interchangeably (Makori & Jagongo, 2013).

Theoretical Perspective of Environmental Accounting

Stakeholder Theory

The theory of stakeholders is one of the different approaches that attempt to explain or rationalize the organizational strategy. Friedman (1970) narrowly de-



defined the responsibility of business enterprises as only making economic gains for shareholders and seeing social responsibilities as a deviation from the objective of maximizing profit. He argues that socially responsible companies have a competitive disadvantage, as they incur costs that directly fall at the bottom and reduce profits. In contrast to this narrowly defined responsibility of the business, stakeholder theory extended the responsibility of businesses. According to this theory, the stakeholders are recognized as a group of people interested in the company's activities (Freeman, 1984). According to the theory of stakeholders, the company's main objective is to balance all stakeholders' expectations through its operational activities.

The originator of the stakeholder concept, Freeman, defined stakeholders as all those groups that are essential for the company's survival and success (Freeman, 1984). Table 2.1: shows what stakeholders expect from their organizations.

Table 2.1: Stakeholders and their expectations

Stakeholders	Primary expectations	Secondary expectations
Owners	Financial	Added value
Employees	Pay	Work satisfaction, training
Customers	Supply of Products	Quality
Creditors	Credit worthiness	Security
Suppliers	Payment	Long-term relationships
Community	Safety and security	Contribution to community
Government	Compliance	Improved competitive

Source: Adapted from Cannon (1994).

Voluntary Disclosure Theory

The term voluntary disclosure refers to any additional information provided by a company in its annual report beyond the mandatory disclosures required by law, rules or standards and/or other government and securities rulings (Barako, Hancock, & Izan, 2006). Since information plays a key role in communicating with stakeholders, it benefits the preparers by contributing to the long-term growth and sustainability of the companies (Deegan, 2002). Even in the absence of regulation, the concept of voluntary disclosure supports the idea; managers still want to dis-



close additional information. Voluntary disclosures in annual reports were used as a communication tool to promote ideas and market management that position the potential of their companies for stakeholders (Abeysekera & Guthrie, 2005).

Legitimacy Theory

The legitimacy theory is probably the most widely used to explain environmental disclosure. This theory is based upon the notion that there is a social contract between society and an organization. According to Suchman (1995), legitimacy theory is a generalized perception or assumption that the actions of an entity are desirable, proper, or appropriate with some socially constructed system of norms, values, beliefs, and definitions. Legitimacy theory implies that environmental disclosure is a function of a company's social and political pressure on environmental performance (Cho & Patten, 2007).

Environmental Accounting and Firm Profitability

Previous studies that attempt to relate environmental reporting to financial performance over time have reported conflicting results. This section presents the empirical results of prior studies.

Konar and Cohen (2001) studied the extent to which the environmental reputation of a firm is valued on the market. They noted a study that links the market value of companies in the S&P 500 to objective environmental performance measurements. They controlled the variables traditionally considered to explain the company's financial performance and found that poor environmental performance is negatively correlated with the companies' intangible asset value. The study concluded that toxic chemicals legally emitted have a major impact on the intangible asset value of publicly traded companies.

Makori and Jagongo (2013) carried out a study to determine whether there is any significant relationship between environmental accounting and profitability of selected firms listed in India. The data for the study was collected from annual reports and accounts of 14 quoted companies on the Bombay Stock Exchange in India. Multiple regression models were used to analyze data. The key findings of the study show that there is a significant negative relationship between environmental accounting and return on employed capital and earnings per share and a significant positive relationship between the net profit margin and dividend per share of environmental accounting.



Bassey, Effiok, and Eton (2013) examined the impact of environmental accounting and reporting on organizational performance with particular reference to oil and gas companies operating in the Niger Delta Region of Nigeria. The study was conducted using Pearson's product-moment correlation coefficient. The elements were selected using random and stratified sampling technique. Primary and secondary sources of data were gathered. It was found from the study that environmental cost has a relationship with the firm's profitability. This study concluded that environmentally friendly companies will provide substantial information on the environment in their financial reports.

Ahmad, Waseer, Hussain, and Ammara (2014) investigated the relationship between environmental accounting and non-financial firm's performance listed in Pakistan stock exchange. The empirical analysis showed a significant positive relationship between environmental accounting and the firm's size. While earning per share and return on capital employed statistically turned out to be insignificant. Therefore, those companies, which have huge sizes, spend more resources for social welfare in terms of environmental pollution protection.

Magara, Aminga, and Momanyi (2015) reviewed the impact of environmental accounting on the financial performance of firms in Kisii County, Kenya. The target population consisted of 144 accountants and auditors from 16 companies. The study collected both qualitative and quantitative data using a questionnaire and descriptive statistics were employed to analyze the responses. Results showed that the corporate organization's perceived financial performance was generally in good condition as perceived by its employees. Environmental accounting application constructs of environmental information, environmental assessment, and compliance with environmental laws and environmental cost savings are significantly related to the perceived financial performance of companies.

Another study examined the impact of environmental accounting on the financial performance of companies in Nigeria. This study employed a cross-sectional research design and content analysis to obtain information on the environmental disclosure of the audited annual reports. Ordinary least square method was conducted and the results showed that there is a significant relationship between accounting disclosure and the financial performance of the company when environmental accounting is moderated by company-specific variables such as the size of the company, the type of auditor, and the type of industry (Che-Ahmad, Osazuwa, & Mgbame, 2015).



Vasanth, Selvam, Lingaraja, and Ramkumar (2015) examined the relationship between the environmental performance and the profitability variables such as return on equity (ROE), return on assets (ROA), return on capital employed (ROCE), and return on sales (ROS) of some selected firms in India. Granger's causality test was used to investigate bidirectional causality from energy intensity (EI) to the company's profitability. The study showed the causal relationship between the company's performance in the environment and profitability. The study also found an inverse relationship between the company's ROCE and EI, whereas there was a direct relationship between ROA, ROE, ROS, and EI.

Rakiv et al. (2016) examined the relationship between company profitability and environmental accounting reporting disclosures of listed manufacturing companies in the Dhaka Stock Exchange. Environmental Accounting Reporting Disclosure Index (EARDI) is developed consisting of 21 major environmental accounting disclosures and return on Asset (ROA) is used as the proxy variable for company profitability. Content analysis was used to obtain the EARDI score and statistical techniques such as frequency, mean, standard deviation, ANOVA, Bivariate regression model analysis that has been carried out to attain research results. This study reveals that only 41 out of 166 companies provide some kind of environmental disclosure in their annual reports and that the company's profitability and EARDI have a significant positive relationship.

Nguyen, Tran, Hong Nguyen and Le (2017) carried out a study to examine factors affecting environmental accounting information disclosure levels of construction companies in Vietnam. Secondary data ranging from 2013 to 2016 were collected from 74 construction companies listed on the Vietnam stock exchange. The disclosure levels of accounting information and the factors affecting this level were examined on the basis of the quantitative research method. The results showed that the level of disclosure of environmental accounting information for construction companies tends to increase particularly in 2016. The results also indicate that the degree of disclosure is influenced by factors such as company size, profitability, financial leverage, independent audit, and listed number of years.

Ezeagba, Rachael, and Chiamaka (2017) examined the relationship between disclosures of environmental accounting and the financial performance of Nigerian food and beverage companies. Secondary data sources were collected and analysed using Pearson's correlation technique and multiple regression, using SPSS version 20. The study showed that an important relationship exists between the disclosures of environmental accounting and the return on equity of selected



companies. It also revealed a negative relationship between disclosures of environmental accounting and employed capital returns and the net profit margin of selected companies.

Nnaemeka, Sc, Lucy, and Kevin (2017) assessed the impact of sustainability accounting on Nigeria's listed manufacturing firms' financial performance. Companies used in the study were selected from the Nigerian brewing industry. Ordinary least squares regression methods were used to analyze the data. The study showed that sustainability reporting has a positive and significant impact on the financial performance of the companies studied.

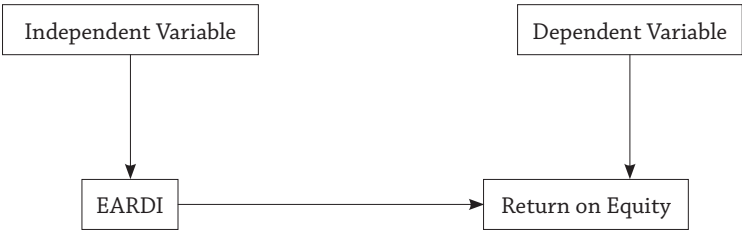
S. Bodhanwala and R. Bodhanwala (2018) evaluated the effect of corporate sustainability on the performance of 58 Indian companies in the Thomson Reuters Asset 4 ESG database. In order to analyze the impact of sustainability (environmental, social and governance) on firm profitability, an empirical multivariate panel data model was developed. In addition, the study attempted to understand whether firms with a high ranking on sustainability parameters perform better than low-level firms. This was tested using parametric t-tests. The study showed a significant positive relationship between sustainability and firm performance indicators (return on capital investment, return on assets, return on equity, and profit per share).

Egbunike and Okoro (2018) attempted to investigate whether green accounting is related to the profitability of Nigerian firms. For this purpose, an *expo- facto* research design was used and ten non- consumer goods companies listed on the Nigerian Stock Exchange were selected for the periods 2012 to 2016. The data was collected from the annual reports and accounts of the non- consumer goods companies selected. The study showed that there was no significant relationship between green accounting and profitability measures among the non-consumer goods firms. The results also showed that while environmental disclosure has an insignificant impact on the company's profitability, it has a positive and negative relationship with profitability when moderated with company-specific variables.

Okafor (2018) attempted to determine the impact of environmental costs on company performance. For this purpose, the study used the financial reports of oil and gas companies listed on the Nigerian stock market from 2006 to 2015. Data were analysed using regression analysis. The results of the statistical analysis showed that good environmental performance has a positive impact on the organization's business value. In addition, environmental accounting offers the organization an opportunity to improve performance and reduce environmental and social costs.

Conceptual Framework of the Study

Figure 1: Framework of data analysis



Source: researchers, 2019

Based on the above framework, the following hypothesis was developed:

H₁. There is a significant relationship between environmental accounting disclosure and return on equity of listed manufacturing companies.

Data and Methodology

This study used content analysis to extract secondary data from the annual reports of the 22 selected manufacturing companies listed in BORSA Istanbul (BIST), while ordinary least square and Pearson correlation were used to analyze the data. An environmental accounting reporting disclosure index (EARDI) was created to calculate the disclosure score and the outcome was used as the independent variable while return on equity (ROE) are used as dependent variables for this study. The measurement of independent variables has been adopted from Rakiv et al. (2016). The index originally consisted of 21 environmentally-related accounting practices but reduced to 15. The values assigned to each one changes between zero and one; based on this, the value of one was assigned if the analyzed entity has developed the practice in question and vice versa. Therefore, the maximum number that an organization can achieve is 15 points.

The empirical model of this study is specified below;

$$ROE=\alpha+\beta1\ EARDI+\epsilon$$

Where: ROE stands for Return on Equity; α for the constant; EARDI represents Environmental Accounting Reporting Disclosure Index; ϵ is the error term.



Results and Analysis

This section presents an analysis of the findings obtained relating to the objective of the study which was to investigate the impact of environmental accounting disclosure on the return on equity. To determine the relationship between variables, Pearson correlation and regression analysis were run.

Correlation Analysis between the Variables

The Pearson correlation results in Table 4.1 shows that there is a significant and positive relationship ($r=0.613$ and $p\text{-value}<0.01$ level of significance) between environmental accounting disclosure and return on equity.

Table 4.1: Correlation analysis of environmental accounting disclosure index and profitability

		EARDI	ROE
EARDI	Pearson Correlation	1	.613**
	Sig. (2-tailed)		.002
	N	22	22
ROE	Pearson Correlation	.613**	1
	Sig. (2-tailed)	.002	
	N	22	22

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

Source: Researchers' compilation from SPSS 20

Test of Hypothesis

The regression result shows that the environmental accounting disclosure index has a significant and positive effect of 1.437 points ($p\text{-value} < 0.01$ level of significance) on the profitability of the selected firms. This implies that a point increase in the EARDI will have a significant positive impact on the profitability of the selected firms by 1.437 points.

Based on the fact that the significance level of 0.002 is less than 0.01 level of significance, it indicates that there is a significant relationship between the environmental accounting disclosure and companies' profitability. Thus, the outcome supports the hypothesis that environmental accounting disclosure has a significant impact on the companies' profitability.

Table 4.2: Regression analysis of environmental accounting disclosure index and profitability

Model	Unstandardized Coefficients		Standardized Coefficients	T	Sig.
	B	Std. Error	Beta		
1	(Constant)	-.937	.368	-2.547	.019
	EARDI	1.437	.414	.613	.002
Model	R		R Square	Adjusted R Square	Std. Error of the Estimate
1	.613 ^a		.376	.345	.1468

a. Predictors: (Constant), EARDI b. Dependent Variable: ROE

Source: Researchers' compilation from SPSS 20

Discussion of Findings

The objective of the study was to investigate the impact of environmental accounting disclosure on the return on equity of listed manufacturing companies in BORSA Istanbul (BIST). The result of the study indicated that environmental accounting disclosure has a significant positive effect on return on equity. However, this means that an increase in environmental accounting disclosure efforts will be associated with an increase in profitability. Therefore, the findings was in line with majority of early work in this area that found a significant positive relationship between environmental accounting disclosure and firm profitability (Bassey, Effio, & Eton, 2013; Makori & Jagongo, 2013; Ahmad, Waseer, Hussain, & Ammara, 2014; Magara, Aminga, & Momanyi, 2015; Rakiv, Islam, & Rahman, 2016; Nnaemeka, Sc, Lucy, & Kevin, 2017; S. Bodhanwala & R. Bodhanwala, 2018; Okafor, 2018; Egbunike & Okoro, 2018). This also supports the claim of the stakeholders' theory that when a firm satisfies its stakeholders, it will lead to enhanced firm performance. The result, however, was inconsistent with some other empirical studies which have reported negative relationship between environmental accounting disclosure and firm profitability such as (Konar & Cohen, 2001; Che- Ahmad, Osazuwa & Mgbame, 2015; Vasanth, Selvam, Lingaraja, & Ramkumar, 2015; Ezeagba, Rachael, & Chiamaka, 2017).

Conclusion and Recommendations

Studies on environmental accounting focus primarily on the voluntary disclosure of environmental information through corporate reports and other means of com-



munication used by organizations to test theories that explain the factors that influence environmental reporting practices. This study concludes that environmental accounting disclosure has a significant and positive relationship with return on equity which indicates environmental accounting disclosure is associated with the enhancement of firm profitability.

In view of the findings made and conclusions drawn from the study, this study suggested that companies should continue to prioritize disclosing their environmental activities to improve their reputation, which consequently increases their profitability.

Limitations and Suggestions

This study is limited to a small number of companies. Therefore, future studies should make use of a large number of companies. In addition to this, this study used a cross-sectional research design by focusing on just the annual reports of 2018, thus limits additional contextual issues that could have been generated from panel study to provide more comprehensive evidence. In these regards, there is a need for further research in the future.

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Knowledge Sharing Process in Organizations: An Extensive Review of the Literature

Fereshteh Karimivand*

Abstract: In recent years, the amplification of research that treat knowledge as the most important asset of an organization has led to a renewed interest in creation, transfer and the usage of knowledge in terms of the gaining competitive advantages. Since the knowledge treat as an ambiguous entity in terms of both creation and transfer, organizations have still struggled about how to manage knowledge effectively. The ability of any organization's staff and units to exchange and share the knowledge determines the organisational performance as well as knowledge creation and organisational learning, moreover, this will not be succeeded without setting up Knowledge Management Systems that can contribute to more effective use of knowledge in the organizations. The fact that the nature of knowledge management process consists high degree complexity scholars examine various factors that may enhance or inhibit the process.

Keywords: Knowledge Sharing, Knowledge Articulation, Knowledge Transfer, Social Capital, Trust, Organizational Culture and Climate, Intrinsic and Extrinsic Rewards, Organizational Knowledge, Social Ties.

* Cukurova University, Business Department.
Contact: fereshte_karimivand@yahoo.com



Introduction

In recent years, there has been an increasing amount of literature on knowledge sharing area. As the management of knowledge has been the most critical factor for the organizational success and as the knowledge is considered as a key strategic resource, finding the creation, sharing and leveraging of individual and collective knowledge techniques that make the processes easier is very important for organizations. (Becerra-Fernandez & Sabherwal, 2001; Drucker, 1993) Knowledge within an organization is considered a strategic resource because of its ability to represent and clarify the intangible assets and creative processes that are difficult to be identified.

Nowadays connections and professional relationships between the staff in the organisation become a key to successfully managing knowledge (Earl, 2001; Stenmark, 2001). As the people-related factors are important to knowledge processes, organizations are interested in the acknowledgment of the role of human resources in knowledge management systems as well as in the “people perspective” of knowledge within the organisation (e.g., Andrews & Delahaye, 2000; Quinn, Anderson, & Finkelstein, 1996). Cohen and Levinthal (1990) argued that sharing different knowledge between individuals in the same organisation may improve its ability of innovation further than what a single employer can accomplish. Knowledge sharing also leads to the diffusion of innovative notions and is considered critical to creativity and following novelty in organizations (Armbrecht, Chapas, Chappelow & Farris, 2001).

As consequence, organisational leaders are concentrating on information technology's -knowledge- related in order to be able to analyze, store and retrieve the accumulated and recalled knowledge (Lohr, 2002) that has been made explicit through codification or writing all by investing in technology. On the other hand, in some organizations the most used information may be tacit, which is difficult to be written, and often takes the form of analogies, metaphors, or personal strategies that disclose the “How and Why” (Blackler, 1995; Blumentritt & Johnston, 1999; Choo, 1998, 2000; Collins, 1993; Narasimha, 2000; Nonaka and Takeuchi, 1995; Zack, 1999a, b). Contrary of the explicit knowledge that may be stored and shared using technology, the tacit knowledge can only be resides in the minds of individuals and can be shared and exchanged depending to their decisions (Cross and Baird, 2000; Fahey and Prusak, 1998; Hinds and Pfeffer, 2001; Lucas, 2005). Nevertheless, knowledge sharing can be a demanding and uncertain process which is affected by many factors such as organizational culture and climate, manage-



ment support, organizational structure, rewards and incentives, social networks and ties, etc... At the individual level, it may evoke perceptions of conflict of interest or vulnerability (e.g. Argote et al., 2001). Another individual level factor which enriches knowledge sharing is interpersonal trust in the workplace. Interpersonal trust is defined as 'the willingness of a party to be vulnerable to the actions of another party based on the expectation that the other will perform a particular action important to the trustor, irrespective of the ability to monitor or control that other party' (Mayer et al., 1995: 712). Ardichvili et al. (2003) found that 'fear of criticism' and 'fear of misleading others' can inhibit knowledge sharing.

Knowledge Work

What Is Knowledge

As we know, nowadays knowledge is considered as an organization's most valuable source since it embodies intangible wealth, routines, and creative procedures that are not easy to emulate. Knowledge in organizational perimeters tends to be tangled in nature and affiliated to the individuals holding it (Davenport et al. 1998). It may also have multiple meanings and be subject to various classifications. Davenport and Prusak (1998) defined knowledge as "a fluid mix of framed experience, values, contextual information, and expert insights that provides a framework for evaluating and incorporating new experiences and information process of justifying personal belief toward the truth" (p. 58). It originates in and is applied in the minds of knowers" (p. 5). The definition of knowledge expressed by Nonaka and Takeuchi's (1995) is much wider. They define information as a "flow of messages" (p. 58) and according to them knowledge is created when this flow interacts with the opinions, commitments and notions of its holders. They distinguished information and knowledge by specifying three exclusivities. First, knowledge is a function of a peculiar prospect, sight, purpose, or situation taken by individuals, and unlike information, it is about beliefs and mandates. Second, knowledge is usually about some intention that means it is concerning an action. Third, it is context dependent and relational and hence it is about meaning. According to De Long and Fahey (2000) knowledge within organizations is divided into individual, group, and organizational levels and Roos and Von Krogh (1992) add departmental and sectional levels. Lam (2000) defined individual knowledge as "that part of an organization's knowledge which resides in the brains and bodily skills of the individual" (p. 491). Individual level Knowledge includes all the knowledge drawn by the



individual that can be feasible independently to peculiar kinds of tasks and terms. Individual knowledge is specialized and context dependent in nature because of individual's cognitive limitations at the point of hoarding and processing information. Lowendahl, Revang, and Fosstenlokken (2001) specified three kinds of individual level knowledge that are substantial for value creating in organizations, "know-how, know-what, and dispositional knowledge". Know-how comports experienced-based knowledge that is subjective and tacit while know-what embodies task-related knowledge that is objective in nature and dispositional knowledge is defined as personal knowledge that comprises aptitudes, capacities, susceptibilities and capabilities.

Images of Knowledge within Organization Studies

According to Blackler there exist a variety of approaches to knowledge within the organizational studies literature. The customary images of knowledge within organizational learning literature are clarified and distinguished by the suppositions about the location of knowledge, which is stated in bodies, routines, brains, dialog or symbols. In recent years, there has been an increasing amount of literature on the emerging importance of knowledge work which suggests that besides the intense reliance on embodied and embedded knowledge, recently the emphasis is increasingly centralizing on the knowledge that is located in brains, dialogue and symbols. Blackler (1995) defines this typology of knowledge as below:

- Embrained knowledge: The knowledge which is dependent on perceptual skills and cognitive capabilities (what Ryles 1949, termed 'knowledge that' and James 1950, called 'knowledge about').
- Embodied knowledge: This kind of knowledge which is action oriented and is only somewhat explicit. Zuboff (1988) defines a contemporaneous exposition of this knowledge as the knowledge which relies on people's physical presence, physical symptoms and face-to-face disputation, is obtained by doing, and is rooted in particular contexts.
- Encultured knowledge: The knowledge which refers to the process of attaining shared conceptions which are closely related to the processes of socialization and assimilation, such conceptions depend largely on language, and since to be socially created and open to negotiation.
- Embedded knowledge: This kind of knowledge inhibits in systemic routines. It is analyzable in systems terms, in the interaction among, and in emergent and transitory routines.



- Encoded knowledge: Information transformed by symptoms and clues. Lately new types of encoded Knowledge that are transmitting electronically, has been added to the traditional forms of encoded knowledge, such as books, manuals and codes of practice

These different forms of knowledge can be considered apart from each other and as previous studies have reported it is multi-faced and intricate.

Nature of Knowledge

Knowledge may be both tacit and explicit in nature. These characteristics of the nature of knowledge, and the value ascribed to knowledge in each form have an important influence on the route knowledge is transferred within teams and organizations. There has been found three major extents distinguishing critical differences between these two types of knowledge, codifiability and transportation mechanisms, procedures for inception and cumulation, and the potential to be assembled and distributed (Lam, 2000). Tacit knowledge can be assumed as the know-how that is obtained through personal experiences (Nonaka, 1994) and tends to be gummy in nature. Hence it is difficult to codify and cannot be transferred and used without the presence of its owner. Despite of the tacit form, explicit knowledge can be easily codified, cumulated at a sole location, and transmitted across time and place absolute of individuals (Lam, 2000). Thereupon, explicit knowledge has an advantage over tacit knowledge in the field of its ability to be shared relatively easily between individuals. Though, it should not be considered that explicit knowledge is easily shared in organizations just because it is easily exchanged among individuals and contexts.

Weiss (1999) demonstrates that the ability to articulate knowledge should not be considered equated to its approachability to be used by the others in the organization. To patronage his claim, he made a detachment between two kinds of explicit knowledge, one which is easy to be shared and the other which is not, by introducing the concept of rationalized knowledge and embedded knowledge in professional services organizations. Rationalized knowledge is generic, absolute, standardized, and universal, whereas embedded knowledge is context dependent, attentively applicable, individualized, and may be personally or professionally susceptible. So tacit knowledge which is embedded in nature tends to be somewhat effortful to be shared within organizations. Irrespective of whether knowledge is tacit or explicit in nature, the attached value to it also has a substantial influence on the way individuals may share it. For instant, individuals make decisions about



what knowledge to share, when to share, and who to share it with, when their knowledge is evaluated as valuable assets (Andrews & Delahaye, 2000). When the knowledge is highly valued, individuals may tend to assert an emotional possession of knowledge (Jones & Jordan, 1998), which comes from the fact that in some settings, individual knowledge is directly connected to career status, professional prospects, and individual reputations (Andrews & Delahaye, 2000). Such knowledge is challengeable to share, and as Jones and Jordan (1998) argued it may be related somewhat to the extent to which individuals appreciate themselves to be valued by their organization.

Knowledge Sharing and Organizational Culture and Climate

“Organizations are essentially cultural entities” (Cook & Yanow, 1993) and as a result, in spite of what they do to handle knowledge, the influences of the organization’s culture are much stronger (McDermott & O’Dell, 2001). De Long and Fahey (2000) documented some features of organizational culture affecting knowledge sharing. They suggest that “culture shapes assumptions about which knowledge is important, it controls the relationships between the different levels of knowledge (organizational, group, and individual), and it creates the context for social interaction”. It is also culture that determines the norms regarding the distribution of knowledge between an organization and the individuals in it (Staples & Jarvenpaa, 2001). Norms and regulations that defend individual ownership of knowledge strictly hinder knowledge sharing process within organizations, as the “organizational culture orients the mindset and action of every employee” (Nonaka & Takeuchi, 1995, p. 167).

Another imperative component of culture in organizations is corporate vision (Gold, Malhotra, & Segars, 2001; Leonard-Barton, 1995). Gold et al. (2001) sharpened the fact that a corporate vision not only supplies a sense of principle to the organization but also assists to form a system of organizational values. Organizational values that affect knowledge sharing comprises the establishment of a sense of participation and contribution between employees (O’Dell & Grayson, 1998), the kinds of knowledge that are valued (Leonard-Barton, 1995) and knowledge-related values such as trust and openness (Eisenberg & Riley, 2001; von Krogh, 1998). De long and Fahey (2000) established that even the usefulness of a new technology infrastructure may not be enough if long existing organizational values and habits are not in response of knowledge sharing across sections. In order to



help eliminate the negative effects of appreciated costs on sharing, a culture that discusses into detail trust has been obtained. (Kankanhalli, Tan, & Wei, 2005) In the same way, while cooperative team opinions aid open trust, a needed factor for knowledge sharing, an organizational condition that stress on individual competition may lead to a blockage to knowledge sharing. Ruppel & Harrington (2001) suggested that IT based knowledge management systems have a better probability of being applied by cultural highlighting innovation organizations and enabling the sharing of information through subjective ways that boost the morale of sharing (Bock, Zmud, Kim, & Lee, 2005; McKinnon, Harrison, Chow, & Wu, 2003).

Regardless of their organizational status, managers and employees socialize and communicate more frequently in organizations with supportive social interaction culture. Kelloway and Barling (2000) propose the importance of social interaction culture due to knowledge sharing, consists employees cognizant about their partner's potential for being knowledge sources, employees trusting more on their partners and consequently employees who are more inclined to exchange knowledge. Diminished status distinctions among colleagues may patronize social interaction which is thought to improve knowledge sharing. Social interaction help employees know and remember which knowledge their partners possess and need. As individuals are inclined to exchange knowledge with their friends, social interaction will improve knowledge sharing attitudes as it increases the probability of employees to make new friends.

Lave & Wenger (1991) propose that existence of a community of practice which is based on common interests and problems will foster knowledge sharing process in organizations and Schepers & van den Berg (2007) revealed that cooperative team perceptions and procedural justice are related to knowledge articulation too. Chang, Liao & Wu (2017) in their recent study on the relationship between the organizational culture and knowledge sharing attitudes suggest that knowledge sharing is the mediating variable of organizational culture and innovation capability, and organizational culture has a significant positive effect on knowledge sharing. De Long and Fahey (2000) argued that, the impact of culture on the context for social interaction can be measured by three dimensions: vertical interactions with senior management, horizontal interactions with employees at the same level and special behaviors that encourage knowledge sharing and use. Within organizations, there are also subcultures which are categorized by a distinctive set of values, norms and practices often resulting in their members considering knowledge differently from other groups in the same organization (Pent-



land, 1995). Subcultures and their penetrations on knowledge sharing attach even more complexity to forming practices and norms that generate the supportive environment to smooth the progress of the sharing of knowledge.

Knowledge Sharing and Rewards

In highly competitive atmospheres or those in which knowledge has important commercial values, there exists a dilemma resulting from opposing inducements to share knowledge and to withhold it. In organizations in which employee's knowledge becomes their main source of value to the union, sharing this knowledge potentially results in dwindling the value of the employees, creating a reluctance to involve in knowledge-sharing actions (Alvesson, 1993; Empson, 2001). Stenmark (2001) implies that people are not eager to share their knowledge without powerful individual motivators. Motivational factors impressing knowledge sharing among individuals can be separated into internal and external factors. The perceived power joint to the knowledge and the reciprocity that results from sharing are categorized as internal factors. If individuals recognize that the knowledge they have eventuates in power, they may hoard their knowledge instead of sharing it (Davenport, 1997; Gupta & Govindarajan, 2000). So, power strategies are important aspects of knowledge sharing in organizations (Weiss, 1999) and reciprocity can facilitate knowledge sharing if individuals see that the value-add to them depends on the level to which they share their knowledge with others (Hendriks, 1999; Weiss, 1999). External factors comprise relationship with the receiver and gratuities and rewards for contribution.

In recent years there has been a large volume of published studies describing the role of incentives and internal and external rewards in terms of individual's attitudes towards knowledge sharing. Interestingly there exist a considerable number of contradictory studies in this area which all are remarkable and worthwhile. Several evidence claims that rewards have direct and positive influence on knowledge sharing attitudes and facilitates the process while some others propose that there is no meaningful relationship between rewards and knowledge sharing attitudes among employees and others reveal that the rewards conception has negative influence on knowledge sharing attitudes. For example O'Reilly and Pondy (1980) indicated that the possibility that employees will share information with others is associated positively to the rewards and negatively to the retributions that they supposed to sequel from sharing and Liebowitz (2004) revealed that the idea of



being recognized and rewarded has been found meaningful at the point of knowledge sharing. De Almeida et al. (2016) suggest that intrinsic factors such as management support, relationship needs and provided feedbacks are found positively related with knowledge sharing. While Bock & Kim (2002) suggest that extrinsic rewards are not found as a decisive factor of knowledge sharing and Chang et al. (2007) proposes that there is no meaningful relationship between those extrinsic rewards and knowledge articulation. Tissen, Andriessen, & Deprez (1998) indicated that professionals contribute in knowledge sharing activities just because of the intrinsic incentives that derive from the activity itself and in some cases, prescribed rewards may be supposed as demeaning by professionals who are motivated by a sense of participation and contribution (McDermott & O'Dell, 2001).

Knowledge Sharing and Social Ties

A large and growing body of literature has investigated the relationship between knowledge sharing and social networks in recent years. Swan, Newell, Scarbrough & Hislop (1999) emphasized the importance of social coordination and networking, both in formal and informal forms for managing knowledge and suggests that communication technologies counterpart these procedures by aggregating the ability to communicate through boundaries of time and space. Cross and Cummings (2004) suggest that ties spanning aspects of organizational structure were found important for accessing diverse knowledge and reaching more valuable ties and Hansen (1999) proposes that strong ties are more effective when necessity knowledge is complex in terms of knowledge transfer and vice versa, while Perry-Smith (2006) claims that weak ties aid organizational creativity.

Besides the relationship between centrality and creativity mediated by the number of social ties outside an organizational network. When the number of outside networks is high, centrality seems to have little weight on creativity. Reagans & McEvily (2003) propose that nonequivalence and expertise overlap are indicators of common knowledge, one in the informal network and the other in terms of formal training. Both variables affect the ease of transfer. Lei & Xin (2011) offers to establish a new flat structure and to switch traditional vertical-layer style into the new horizontal-link style in order to facilitate face to face communication and improve exchanging knowledge. While Verburg & Andriessen (2011) distinguish four basic types of knowledge networks as: strategic, informal, question and answer and online strategic networks and proposes that these different forms



of establishing networks need altered technological and organizational support, Al-Saifi et al (2016) in his recent study argues that face to face social networks enhances knowledge sharing process in different ways such as: consulting, brain storming and employee rotation.

Efficient knowledge sharing has been typically specified by close junction between individuals from various organization subunits in the knowledge management studies. Certain social network researchers, as regards, suggest a different argument. According to the weak-tie theory progressed by Granovetter (1973), remote and rare relationships are much more efficient for knowledge sharing because they purvey access to exquisite and novel information by bridging detached groups and individuals in organizations, while strong ties may presumably result in superfluous information as they arise among a tiny group of agents in which everyone knows what the other ones know. Superfluous knowledge can be of two types, one which is the novel information carried to the project team about the chances created to use knowledge between sectors. The other sectors can direct to peculiar knowledge existing in sub sectors to which the main sub sector has no direct contacts. Here the project team and its sub sectors direct contacts act as bridges. The other one is custom knowledge as a software module that the contact can supply by itself. Being directly linked to two sub sectors that individually have beneficial but different knowledge is much better than establishing two direct contacts that can supply the same software module. This logic relies on the concept that providing direct interactions with other subs sectors is costly. People have to expend more time to establish cross unit relationships and converting received information from direct contacts. The reason for people to scarcely hold on relations with other sub sectors not to talk of holding on firm relations needing more time and energy than weak ones is due to these costs. So there are some important opportunity costs in preserving cross unit relations. People can bring up a new relation that supplies new knowledge rather than having contacts to two sub sectors which gives superfluous knowledge. For instance, a project team can look rationally expeditiously through weak inter units, strong cross unit ties can be replaced with weak ones, saving time for bringing up new weak cross unit ties or developing product tasks inside the unit. In this case, providing weak non-redundant ties across sub units will be more cost efficient and will yield search results even if strong non-redundant ties can be obtained.

In addition, there exists another reason which demonstrates weakly tied sub-unit relations are more useful than the strong ties. According to Weick (1976) or-



ganizational units which are loosely coupled are much more convenient than firmly linked units because they are less restricted by the organizational system which they belong to. For two reasons strong inter unit ties restrict activity more than weak ties. The first one is that strong ties are connected with mutual sequences in which advice and aid are reciprocal (Marsden and Campbell, 1984). In a firm inter unit tie, project teams waste a considerable portion of their time helping project teams in other sub units instead of fulfilling their own job, decelerating their own duty. On the other hand, weakly tied subunits are not affected by this binding constraint because their interactions are not strongly mutual. Even if they are mutual, they need less help to associates in comparison to strong ties. The other reason that strong inter unit ties bind more than weak ones relates to the network inertia. For example, when a project team is bringing up a new product, it may need to go beyond appointed channels that differ from available technical know-how drawn by the central sub unit and its direct contacts. A project team with strong ties tends to remain with its present network relations because they are intimate and close contacts and the team can turn easily as desires. This kind of teams rarely look for knowledge broad their existing contacts and forge new ties while searching for useful knowledge in comparison to weakly tied project teams. It is unproblematic to share highly codified and independent knowledge across either weak or strong cross-unit ties. However, to share noncodified and dependent knowledge strong ties are more efficient as they provide a reciprocal interaction between the transmitter and the receiver (Leonard- Barton and Sinha, 1993). The recipient has the opportunity to test, err and request guidance and feedback from the source of knowledge. This is important because the receiver mostly does not appreciate the transmitted knowledge completely during the first interaction and wishes more opportunities to assimilate it (Polanyi, 1966). Despite in weak inter-unit ties recipient ought to explicate and clarify such complex knowledge in the absence of alternative explanations, as the transmitter is not occupied in mutual interaction. Hence weak ties facilitate questing for beneficial knowledge from other sub-units but hinders complex (noncodified and dependent) knowledge sharing.

Knowledge Sharing and Trust

Smith et al suggest the ability of organizational employees to merge, swap and exchange their knowledge verifies the rate at which new commodities and services are produced. Furthermore, as Argote et al. underlines, the capacity to share



knowledge among units aids considerably to the organizational performance and efficiency. As we know, trust in management causes higher levels of collaboration and individuals will be more eager to share knowledge and subsequently organizational performance enhances. Mayer et al term that trust is the “willingness of a party to be vulnerable” and so enhances an individual’s eagerness to share knowledge. Trust has been proven to possess a major influence on a variety of organizational phenomena, such as job satisfaction, anxiety, organizational obligation, commitment, efficiency, and also knowledge sharing. As Abrams et al suggest trust causes improved overall knowledge transition, makes knowledge exchanges cheaper, and increases the probability that knowledge obtained from a partner is adequately understood and absorbed that the receiver can utilize it. An individual’s confidence in another’s benevolence and honesty enhances that individual’s enthusiasm to take risks by collaborating and sharing costly knowledge with others. In the sociological literature it is highlighted that trust consists both individuals’ beliefs about others and also their behavior and eagerness to apply knowledge to influence future action. Rooted in this theory, two principal types of trust are eminent: cognition-based trust and affect-based trust. The first one is derived from individuals confidence in each other and based on “good reasons” as proof of honesty and is related to another person’s perceived competence and reliability (McAllister, 1995) and the second one is rooted in the emotional relations between individuals where the parties have care and concern for each other, worth the inherent virtue of these relationships, and trust that these emotions are Mutual (McAllister, 1995; Pennings and Woiceshyn, 1987).

Available studies propose that employees tend to be fairly certain about the tacit knowledge source which they gain information from, in the sense that whether it supplies the proper information, delivers what is accepted, and is perceived as owning valuable knowledge in the organization. In this case, it will be sensible to accept that affect-based trust has a superior influence on eagerness to share tacit knowledge, while the use of received tacit knowledge by individuals, depends largely on cognition-based trust. As mentioned above, tacit knowledge is not captured or kept by IT systems and growing venture in information technology in organizations won’t be able to foster transferring and utilizing of tacit knowledge since individuals wish whether they will share and use. Hereon tacit knowledge share and use relies on the formation of both affect-based and cognition-based trust among individuals.



Conclusion

This paper has given an account of knowledge sharing behavior between individuals, within groups and across units in organizations. The study showed that several factors, including IT equipment, social ties between employees, organizational culture and climate, management support, intrinsic and extrinsic incentives, reward systems and trust will impress the process. As discussed earlier, strong IT infrastructures of the organization reinforce explicit knowledge sharing, as interpersonal trust, social benefits and deserving rewards encourage tacit knowledge sharing. Social ties, management support and organizational culture amplify both tacit and explicit knowledge sharing in organizations.

In order to establish a fairly inclusive picture of the relevant literature, we selected fifty related articles according to their citations and conducted our research based on them. Further investigation and experimentation into knowledge sharing process and the association of mentioned (and also other influential) factors is recommended. This study also was a descriptive library research and complementary practical and empirical researches to the area are strongly recommended.

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The Impact of National Culture on the Entrepreneurial Intentions of Sudanese University Students

Mohammed el-Amin Elsanoosi Ahmed*

Abstract: The study aims to analyze the relationship between Hofstede's dimensions as indicators of national culture and the entrepreneurial intention of university students. The study assumes a statistically significant relationship between these dimensions and entrepreneurial intentions. The study used a descriptive-analytical method. To analyze the collected data, the study used the Statistical Package for Social Sciences (SPSS) program and the Excel program. The study analyzed 299 questionnaires distributed among last year students of 2015 at the Khartoum University. Frequency tables and arithmetic mean were used to describe the samples, while the correlation was used to test hypotheses. The results of this study showed that there are a statistically significant negative correlation between risk avoidance and entrepreneurial intentions, a statistically significant positive correlation was found between the individual dimension and the entrepreneurial intentions. There is no statistically significant relationship between (masculinity and long-distance) and entrepreneurial intentions. This study recommended encouraging the community, especially young people, to embark upon entrepreneurship through design and implement programs aimed at university students and community in order to create positive attitudes towards entrepreneurship, as well as amending laws and facilitating access to finance to encourage entrepreneurs.

Keywords: National Culture, Entrepreneurial Intentions, Hofstede Dimensions, Statistical Package for Social Sciences (SPSS), Sudan.

* Sakarya University, Institute of Social Sciences, Department of Financial Econometrics, MA Program. Contact: m.elamin90@gmail.com



Introduction

As the world is witnessing a steady increase in its population, the traditional and stable markets are declining in both the developing and developed countries. Additionally, the number of graduates from different universities has increased in recent years thereby resulting to a huge burden on the labour market to adequately absorb all of the graduates, as the private sector has not yet achieved the required growth, and the public sector cannot create enough opportunities for all of them.

At the local level, the government's adoption of policies to restructure the Sudanese economy within the economic bailout program has so far resulted in the loss of many jobs in the public sector, which in turn has led to the high unemployment rate in the country. Furthermore, high unemployment rates coupled with drought and civil wars have contributed to rising poverty rates. This makes self-employment by establishing entrepreneurial activities as a strategy to save and secure a livelihood.

Moreover, for entrepreneurship to flourish in any society; business legislations and finance alone cannot sufficiently encourage people to embark on entrepreneurial activities, rather there should be a supportive culture of entrepreneurship established in national institutions, educational system components, socialization methods, and the media in order to create entrepreneurial intentions, which is the mental attitudes of the members of society that affect their tendency to establish entrepreneurial activities.

Thus, to encourage entrepreneurship and take advantage of job opportunities and economic growth, studying the relationship between national culture and entrepreneurial intention becomes of utmost importance as it seeks to explore cultural dimensions and their effects on entrepreneurial intentions of individuals which would inform decision-makers to develop policies that could motivate the members of society to increase their ability to establish and manage entrepreneurial activities. Within the relationship between culture and entrepreneurship, our study focuses on the national culture and entrepreneurial intentions. In this context, the study begins with a literature review of national culture and entrepreneurial intentions and goes on to the development of hypotheses. In the second section, research methodology. The results of the data analyses will be discussed and recommendations will be provided for policymakers, managers in addition to scholars in the last section.

Literature Review

This section is a comprehensive summary of the previous studies on the national culture and entrepreneurial intentions.



National Culture

Culture is one of the most important factors that helps to identify the differences between communities. This study focuses on national culture and its impact on societies regarding entrepreneurial intentions. There are a number of studies that have addressed this issue; culture is defined as “a set of shared values, beliefs and expected behaviors”. The important point in defining culture is the formation of people’s interpretations and perceptions. Differences in interpretation and perception lead to different behaviors (Engelen, Heinemann & Brettel, 2009).

Entrepreneurs who represent the most dynamic part of society were directly influenced by cultural change; so as to survive they had to follow current events closely. Community culture leads to differences in entrepreneurial activities. Therefore, the cultural background is crucial to the exchange of information; beliefs, understandings, and practices shared by society define everything in the market and build a foundation for economic activities through many factors such as innovation (Pütz, 2003).

These studies discussed culture in general and how it formed a general framework for members of the community which entrepreneurs is part of, it can also be said that the culture includes certain ethical rules and social and ethical beliefs that must be socially accepted (Hofstede, 1980a) this makes community members more influential in values, norms and beliefs.

A number of researchers found that culture facilitates entrepreneurship if the culture is characterized by high individuality, low ambiguity, low dimension of strength, and high intention to start a new business (Hyton, George & Zahra, 2002). Well-established common values, unconscious, as well as the irrational, form political institutions and social and technical systems, inherited, unconscious in addition to irrational shared values form political institutions and social and technical systems, all reflecting and reinforcing values and beliefs. Cultural values in society indicate the degree to which this society considers entrepreneurial behaviors, such as risk-taking and independent thinking, desirable, cultures that value and reward of these behaviors encourage a tendency to develop and introduce radical innovation, while cultures that promote conformity, group interests, and control of the future are unlikely to show risky behavior and entrepreneurial intention (Herbig & Miller, 1992; Herbig, 1994; Hofstede, 1980b).

From the previous review, it is clear that culture is a multifaceted and multidimensional phenomenon, especially when measuring its relationship to entrepreneurial intentions; therefore it should be clarified precisely what culture means



in this study. This study focuses on national culture. One of the most important studies concerned with the study of national culture and its impact on the values of work and attitudes of society and their willingness to take one of the most important studies concerned with the study of national culture and its impact on the values of work and attitudes of society and their willingness to take risks. Hofstede's study of the national cultural dimensions (Hofstede, 2001). The study was conducted on 53 countries and regions in the world, led by a number of quotes and importance in the field of intercultural management (Sondergaard, 1994).

The Hofstede model is based on a study conducted on employees of IBM on a sample of 60,000 workers in the period 1967.-1969. The model concluded that the indigenous culture of society has four dimensions and one additional dimension was added later. By pointing out that differences arise from the impact of company policies and procedures due to the impact of different strategies. Any difference between countries can be credibly attributed to national culture. Based on the above, Hofstede found that managers and employees differ according to the following dimensions of national culture:

1. Individualism versus collectivism, the first part of this dimension is defined as a preference for a loosely knit social framework in which individuals are expected to take care of only themselves and their immediate families (Hui & Triandis, 1956).
2. Uncertainty avoidance, this dimension can be expressed as the degree to which the members of a society feel uncomfortable with uncertainty and ambiguity and how a society deals with the fact that the future can never be known (Kirkman et al., 2009).
3. Power distance, it expresses the degree to which the less powerful members of a society accept and expect that power to be distributed unevenly. Masculinity vs. femininity.
4. Long-term vs. short-term orientation, each community must maintain some links with its past while dealing with the challenges of the present and the future. On the other hand, highly educated people take a more realistic approach: they encourage savings and efforts in modern education as a means of preparing for future (Ganesan, 1994).
5. Masculinity vs. femininity, these dimensions are characterized by men who are expected to be assertive, competitive, and focused on material success. In contrast, women are expected to be nurturing and focused on people and quality of life.



National Culture and Entrepreneurial Intention

Entrepreneurial intention is one of the most important variables to predict an individual's entrepreneurial behavior. However, researchers do not have a standard definition of entrepreneurial intentions to start a new business. Nevertheless, some current literature adopts some similar conceptions, such as career orientation (Francis & Banning, 2001). Furthermore, researchers often provide operational definitions when determining entrepreneurial intentions in entrepreneurship. In this paper, the individual's entrepreneurial intention is defined as a mental orientation such as desire, wish, hope, and expect that affect their choice of entrepreneurship.

According to a number of literature reviews, there are some theories that have dealt with the subject of national culture and entrepreneurial intention, including the Institutional Theory which indicates that the national culture stimulates some behaviors and attitudes through the values and beliefs that characterize the society (Hayton et al.) Thus, individual entrepreneurial intentions and behaviors can be considered as a result of national culture. Also there is considerable agreement in the literature on differences in entrepreneurial behavior among national cultures. (Ream Ramadan, 2013) analyzed the relationship between the motivating and disabling external environment elements for Syrian university students and their intention to initiate entrepreneurial activity. It also aimed to identify the relative importance of each of these factors by using variables from the GEM of Entrepreneurship and analyzed the data and tested the research hypotheses by using the statistical program. The results of the study showed that the variables of government policies, national culture, government programs, funding programs, legislations and laws related to entrepreneurship, in general, are among the most important factors that hinder the students of Syrian universities to start entrepreneurship.

The study concluded with a set of findings and recommendations on the external environment variables that can contribute to the development of the field of entrepreneurship in Syria. While (Xiangyang Zhao et al., 2014) tried to clarify the relationship between national cultures and entrepreneurial activities. Wealth plays an important role between community culture and the demand for entrepreneurship. This study depends on data from the Global Entrepreneurship Monitor and organizational leadership of behavioral effects and found a relationship between GDP and wealth, and a relationship between Hofstede's dimensions and entrepreneurial activities. The study also found that some cultures support entrepreneurial behavior and others are not supportive of entrepreneurial behavior.



Also (Dr. Anuradha Basu, 2002) tested the interaction between culture and entrepreneurship for immigrant groups from different countries in London. The study aims at comparing the cultural characteristics of these different groups and how these characteristics affect the entrepreneurial behavior of these individuals. Through analysis, a sample of 163 entrepreneurs from six different immigrant communities located in London, where these entrepreneurs surveyed have small and medium-sized businesses. The results of the study concluded that there is a difference between the cultural characteristics of the different groups taken in the sample. The results also showed that the impact of culture on entrepreneurial behavior is stronger in some cultures than others; In addition, some cultural features have more influence on entrepreneurship than others.

Methodology

This section includes the objectives and the hypotheses of the study, along with procedures of data collection, calculation, and analysis in the study.

Objectives and Hypotheses of the Study:

The purpose of this study is to analyze the statistical relationship between culture and intentions to engage in entrepreneurial process using Hofstede's cultural dimensions and the variables of the Global Entrepreneurship Monitor (GEM), thereby developing solutions to encourage entrepreneurship among the graduates of the University of Khartoum and graduates of other Sudanese universities and drawing their attention to the significant role played by national culture in the formation of entrepreneurial intentions among members of society.

Drawing on the main findings from the empirical literature coupled with the aim of achieving the above goals, the following hypotheses can be made with regard to the relationship between national culture and entrepreneurial intentions:

- H1:** There is a statistically significant correlation between the power distance indicator and the entrepreneurial intentions of the society members.
- H2:** There is a statistically significant correlation between the dimension of individualism and the entrepreneurial intentions of the society members.
- H3:** There is a statistically significant correlation between the uncertainty avoidance dimension and the entrepreneurial intentions of the society members.
- H4:** There is a statistically significant correlation between the masculinity dimension and the entrepreneurial intention of the society members.

Sample and Data Collection

This section reviews the study population and the tools that were used to collect the data. This study used a Stratified Random Sampling Method to ensure that the sample reflects the reality. The population of this study consists of the final year students at the University of Khartoum from the Faculties of Engineering, Arts and the School of Administrative Sciences. The research sample included 300 questionnaires, 150 of which were distributed to the study population in the Faculty of Engineering, 85 questionnaires distributed to the School of Administrative Sciences, and 65 questionnaires were distributed to the students of the Faculty of Arts. Besides secondary sources, including GEM Global Entrepreneurship Monitor, as well as literature on Hofstede’s cultural dimensions.

Data Analyses and Results

This section includes data analysis and the results section which structured around the study questions and hypotheses developed to achieve the purpose of the study.

Data Analysis

Data analysis summarizes the collected data and the interpretation of data gathered through a questionnaire to determine relationships between the variables.

Questionnaire Data Analysis

In the following section, the study discusses the analysis of primary data collected through questionnaires; the data were analyzed using a Package of Statistical Programs for Social Sciences (SPSS).The analysis included the arithmetic mean of variables and the degree of correlation between them, in order to test the hypotheses of the study.

Table 1. Demographic Data Analysis

Gender	Frequency	Percentage%
Male	122	40.8
Female	177	59.2
Total	299	100

The table 1, shows that the number of males in the sample 122 individuals which represent 41 percent of the sample, while the number of females represented by



59 percent, this is due to the nature of the study population, where the proportion of female students at the university is higher than the proportion of male students (according to official sources of the university).

Table 2. Descriptive statistics by age group

Age group	Frequency	Percentage%
Less than 20	14	4.7
20 – 24	271	90.2
25 – 29	10	3.3
30 – 34	3	1
Total	298	100

Due to the nature of the sample population and because all of them are students, it was found that more than 90 percent of the respondents are between the ages of 20 and 25. Moreover, 5 percent of the respondents are under 20, while 3 percent of the respondents are between 25 and 39. Finally, 1 percent of the respondents are between the ages of 30 and 34.

Table3. Descriptive statistics by college

College	Frequency	Percentage%
College of Engineering	150	50
School of Administrative Sciences	85	28.04
Faculty of Arts	64	21.06
Total	299	100

The Faculty of Engineering was represented by 50 percent, while the School of Administrative Sciences was represented by 28 percent and the Faculty of Arts was represented by 21 percent. This is due to the use of a stratified random sample.

Individual Attitudes and Societal Perceptions of Entrepreneurship

There are several indicators of entrepreneurial attitudes, which can be classified into two groups:

Group A: Self-perceptions: It represents self-awareness of the attributes that constitute the subjective knowledge of the individual this group includes:

- Individual awareness of good opportunities to establish a business in his field.

- Belief in the skills and experience of the individual to start a business
- Fear of failure

Group B: Societal Beliefs: it represents the perceptions and beliefs of the members of society which may motivate or discourage an individual from venturing into entrepreneurship or other activities, and includes the following elements:

- Perception of setting up a business as a good career choice.
- Opinion on the relationship between entrepreneurship and a successful life.
- Media interest in entrepreneurship.

The following table shows the results of the previous elements:

Table 4. Individual Attitudes and Societal Perceptions of Entrepreneurship in Sudan

Entrepreneurial attitudes & perceptions	Frequency	Percentage%	
	Agree	No opinion	Disagree
Perceived opportunities	26	33	39
Perceived abilities	40	20	39
Fear of failure	25	7	65
Entrepreneurial intentions	70	14	18
Entrepreneurship as a good career choice	61	14	24
Entrepreneurship leads to a prosperous living	65	13	21
Media interest in entrepreneurship	28	22	49

The main point of the questionnaire is to measure entrepreneurial intentions among Sudanese university students, where 70 percent of respondents acknowledged their desire to establish entrepreneurship in the future, while a third of respondents said they had no intention of establishing any entrepreneurial work within the next six months.

From the Table 4, 26 percent of respondents believe that there are new opportunities to start a business in the next six months, while 39 percent said they do not see entrepreneurial opportunities in the next six months. This indicates the pessimism of respondents about the possibility of venturing into entrepreneurship.



Fear of failure is another factor that affects an individual's entrepreneurial intention, because of the high risk and ambiguity of entrepreneurial activities; it is unlikely to create jobs for those who fear taking risks. Only 25 percent of students thought they are afraid to engage in entrepreneurship, while 65 percent showed that they are not afraid of failure. This indicates that students are willing to take risks.

The degree of confidence in the perceived abilities is one of the factors that affect the fear of failure. The more confidence an individual has in his or her skills, knowledge, and ability to do something, the less fear they may have. In this context, it was found that 40 percent of the respondents expressed confidence in their ability to start a business, and 39 percent of respondents believe that they do not have the capabilities and skills that qualify them to establish entrepreneurship. This explains the low level of fear of failure.

The second set of variables affecting entrepreneurial attitudes relates to societal beliefs or individual self-esteem to take or not to take venture into entrepreneurship. 61 percent of students believe that entrepreneurship is a good career choice, while 24 percent said that society does not consider entrepreneurship as a good career choice. 65 percent of respondents said that they associate good conditions with people who develop successful new businesses, while 21 percent say they do not. 28 percent said that there is good media coverage for entrepreneurs and their entrepreneurial activities, while half of the sample 49 percent said that the Sudanese media does not pay much attention to entrepreneurs and their activities.

Table 5. Dimensions of National Culture

Dimension	Standard deviation	Mean
Masculinity and femininity	0.727	2.59
individualism	0.509	1.89
Power distance	0.498	2.44
Uncertainty avoidance	0.537	2.84
Time orientation	0.595	2.19

From the table 5, it was noted that Sudan got an average 2.44 in Power distance dimension and this means that the Sudanese society characterized by independence. Moreover, the organizational hierarchy is designed to facilitate the process



at work and employees expect to be consulted in various decisions, in addition to dealing with managers be less formal and direct communication.

On average 1.89 found that the Sudanese community is a collective society, this is evident in the loyalty of individuals to their groups and extended families, and furthermore, the relationship between the server and the user includes social considerations. Sudanese society has an average rate of masculinity and femininity.

In uncertainty avoidance, Sudanese society scores above average 2.84, where the Sudanese society works to reduce confidence based on certainty by setting strict rules for the conduct of its members, it kills creativity and unusual ideas; in addition to providing safety is an important element in motivating individuals. In the dimension of time orientation, Sudanese society tends to be short-term with an average of 2.19. This is evident in the tendency of its members to respect the customs and traditions, little interest in saving, and a preference for returns in the short term.

Table 6. Represents the relationship between entrepreneurial intention and national culture.

Variables	IND	PD	MAS	UA	LTO	EI
IND	1.00					
PD	0.124*	1.00				
MAS	0.366**	0.062	1.00			
UA	0.001	-0.010	0.036	1.00		
LTO	0.126*	0.0155**	0.061	-0.018	1.00	
EI	0.179**	-0.091	-0.021	-0.120*	0.083	1.00

Correlation Matrix:

*Correlation is significant at the 0.01 level ($p > 0.001$)

** Correlation is significant at the 0.05 level ($p > 0.005$)

Note: IND=Individualism, PD= Power Distance, MAS= Masculinity, UA= Uncertainty Avoidance, LTO= Long-Term Orientation, EI= Entrepreneurial Intention.

- Table 6, shows existence of strong positive correlation between individualism and entrepreneurial intention.
- Also it is observed that there is no statistically significant relationship between the power distance dimension and the entrepreneurial intention.
- Moreover from the above table it is clear that there is no statistically significant relationship between the masculinity dimension and the entrepreneurial intention.



- A statistically significant negative relationship between uncertainty avoidance dimension and the entrepreneurial intention has been found.
- As for the dimension of the long-term trend, there is no statistically significant relationship between this dimension and entrepreneurial intention.

Results and Discussion

This research analyzed the cultural dimensions of Geert Hofstede, which is one of the most used studies in national culture field. The intention of entrepreneurship was analyzed using the GEM Global Entrepreneurs Monitor method, which is one of the largest studies conducted in the field of entrepreneurship.

This study sought to achieve the following objectives:

Determining the values of Hofstede's dimensions of national culture in relation to Sudanese culture

The study found that the dimensions of Sudan's national culture are not significantly different from those of other Arab countries. The Sudanese society is a collective society which presented by 37 percent. Members of the Sudanese society seek to avoid uncertainty 56 percent in the dimension of uncertainty avoidance. With regard to the dimension of time trend orientation, the study has found that Sudanese society tends to short-term orientation 43 percent. In contrast, Sudan recorded an average of 51 percent in the Masculinity dimension. Finally, the Sudanese society is different from other Arab societies in the distance of power 48 percent. According to this finding, the members of Sudanese society do not recognize differences of authority; however, this result may not be valid because it is closer to the average, and this may be due to the small sample size used.

Detection of entrepreneurial attitudes among university graduates:

The analysis of the study data revealed that the surveyed students have a pessimistic view of the entrepreneurial opportunities that they could exploit in the Sudanese market, but at the same time, they have made it clear that they are not afraid of the failure associated with entrepreneurship if there are suitable opportunities available. On the other hand, the students' perception of their skills and qualifi-



cations in establishing entrepreneurial activities was not large enough; only 40 percent said they currently have the skills to start a new entrepreneurial business.

Defining the perceptions of the Sudanese society regarding entrepreneurship and entrepreneurs:

Respondents believe that Sudanese society gives social prestige to entrepreneurs, also they explained that they prefer entrepreneurial activities to work in the government or private sector. For Sudanese society, entrepreneurship is a desirable professional choice. Finally, the respondents pointed out that the Sudanese media does not pay much attention to entrepreneurship.

Measuring entrepreneurial intention to establish new entrepreneurial activities among university students in Sudan:

The vast majority of respondents indicated that they have the intention to create a new entrepreneurial business over the next three years, either alone or with others. However, despite this large percentage, a large number of students have shown that they do not see any opportunities that can be exploited to create these projects and can be reconciled on the basis that the intention does not mean - in any case - the inevitability of establishing a new activity, the individual may have the capabilities but does not have Intention. On the other hand, the intention may be available but the necessary capabilities may not be available.

Analysis of the Relationship Between National Culture and Entrepreneurial Intention

In this context, the study hypotheses will be discussed:

- There is a negative correlation coefficient between the power distance dimension and the entrepreneurial intention of the Sudanese university students. This hypothesis was rejected, as the data proved that there was no statistically significant relationship between the power distance and the entrepreneurial intention of the Sudanese students.
- There is a positive correlation coefficient between the dimension of individualism and the entrepreneurial intention of the Sudanese university students. The analysis proved the validity of this hypothesis, as well as a positive relationship; the greater the degree of individualism in society,



the more orientation of its members towards entrepreneurship, this is due to the fact that individualist societies adopt principles such as justice and freedom for all, which affects perceptions about the availability of opportunities. On the other hand, individuals rely on their personal skills. The impact of the organizational structure and entrepreneurship is less prevalent because society expects its members to rely on their skills not on the authority given to them.

- There is a negative correlation coefficient between uncertainty avoidance dimension and the entrepreneurial intention of the Sudanese students: The analysis validated this hypothesis, and the analysis showed a negative relationship; the less fear of taking risks, the more the tendency towards establishing entrepreneurial projects. From the analysis the students are not afraid of failure associated with entrepreneurship; this makes sense because societies with low ratings in this dimension tend to work without detailed planning. While the ultimate goal is clear, the plan does not pay attention to detail this encourages entrepreneurial work that involves high risk added to creativity.
- There is a positive correlation coefficient between the masculinity dimension and the entrepreneurial intention of the Sudanese students: This hypothesis was rejected and it was found that there was no statistically significant relationship between the masculinity dimension and the entrepreneurial intention.

Conclusions and Recommendations

This study analyzed the relationship between national culture (Hofstede's cultural dimensions) and the entrepreneurial intention (Global Entrepreneurship Monitor) of the students of the University of Khartoum students.

The first section contains the general framework of the study and its importance as well as the hypotheses of the study, while the second chapter reviewed the theoretical framework of research and literature published in the themes of culture and entrepreneurship and the relationship between them. Finally, the chapter included studies that represent the literature review of the study.

The third chapter is about the research methodology and describes the methodology used, as well as a description of the sample, dependent and independent variables. Then the fourth chapter included a statistical analysis of the question-



naire, which was distributed to a sample of students of the University of Khartoum in the Faculties of Engineering, School of Management Studies and the Faculty of Arts and Human science. Finally, Chapter five lists the results obtained based on the interpretation of statistical analysis and information obtained from students, the limitations and recommendations of the study.

Study Limitations

The constraints that make the study a limited scope, data and results, and can be presented as follows:

- Small sample size making it difficult to generalize the results
- Measuring the dimensions of the national culture has not been accurate enough to target a small sample that does not in any way represent Sudanese society.
- This research discussed a small set of variables related to entrepreneurial intent and ignores the rest of the dimensions due to the nature of the study population and lack of time.

Recommendations

In light of the findings of this study, the study recommends the following:

- Support programs targeting Sudanese university students and develop their entrepreneurial abilities to create positive attitudes towards entrepreneurship among these students.
- Design and implement programs directed towards the community and the family in order to ensure their support and encouragement for entrepreneurship, which reflects positively on the attitudes of students and their future intentions towards entrepreneurship.
- The media should be interested in reading and visual leadership, awareness of the concept and a tribute to successful entrepreneurial projects. Printed and visual media should care about entrepreneurship, also awareness of the concept and praise of successful entrepreneurial projects.
- The Sudanese government should take care of regulations and laws related to entrepreneurship, facilitate the financing of entrepreneurial projects, and prepare the infrastructure for the importance of these factors in encouraging young people to start private projects. This may contribute to



reducing the burden on the government to secure a significant number of jobs for graduates.

- Conduct more comprehensive studies of Hofstad's cultural dimensions in Sudan, so that the study applies the standards set in this area.
- Conduct more in-depth studies on entrepreneurship in Sudan in terms of availability of an encouraging environment, individual attitudes and societal perceptions.

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Relationship Between the New Products Development and the Market Share: Evidence from Smartphones Market

Mubarak Mohammed Noor Ibrahim Abakar*

Abstract: This working paper aims to analyze and evaluate the impact of New Products Development (NPD) on the market share in the smartphone market, by considering the case of Samsung and Apple. For this purpose, time series data on market share ratio and R&D expenditure covering years from 2012 to 2018 has been taken for analysis. The data was collected from Global Innovation 1000 Study reports, annual reports published by Samsung and Apple, International Data Corporation (IDC) analytics, and some previous literature. Descriptive and quantitative statistical methods were performed to evaluate the data and generalize the finds. Regression analysis technique was used to analyze and conclude the results. The results showed that NPD was positively associated with the market share at Samsung. Conversely, the data analyzed did not lead to any statistical conclusion on the impact of NPD on Apple's market share. Therefore, investing more in R&D and NPD can help Samsung to maintain its growth and market share. On the other side, if Apple wants to increase its market share, it must develop low-cost smartphones to compete with Samsung in the low-cost smartphone market.

Keywords: Research and Development (R&D), Innovation, New Products Development (NPD), Smartphones, Market Share.

JEL Code: O30, O31, O32, L96, L25, D40.

* Necmettin Erbakan University, Business Administration, MA Program.
Contact: mubarakibrahim.abakar@ogr.konya.edu.tr



Introduction

Research and Development (R&D) activity is considered a strategic necessity for every business that seeks success and existence. This success is related to organization concern in developing existing products or innovating new products to keep pace with changes in the surrounding environment and to meet customers' needs in order to improve the organization competitiveness and the expansion of its market share.

Product innovation and the trend to globalization are most tow major dimensions steering business in this era, and a business's new product development (NPD) strategy is a main impetus of performance (Brentani et al., 2010). The greater interrelationship of global markets has rehashed the competitive dynamics acutely, such that the success or failure of a business is now assessed on an international level instead of national or local basis (Brentani et al., 2010). Strategies adopted in the manufacture of traditional products focus on a set of factors, including cost, differentiation, and orientations of customer and technology (Tahir Hameed, 2013). In addition to the speedy changes in the business environment, specifically in technology, most newfangled industries face huge challenges such as multifariousness in customer demand, high levels of demand day after day, large convergence of technology and industry, etc. Hence, innovation and NPD strategies are moving in a different path from traditional industries, with business have to handle with more than one variable simultaneously, such as managing product complexity, product diversity, and economies of scale (Tahir Hameed, 2013).

Basically, any business enterprise existing to achieve two strategic objectives: to satisfy customers and to obtain the rewardingly profits that enable it to continue in compete (Chux, 2010). The company achieves this dual goal by manufacturing and selling products with competitive advantages in terms of quality and price (Chux, 2010). NPD is pivotal to a business's success, this is predominantly true because of quick technological changes, which can make some products obsolete, and the practice of many competitors to copy a successful product, which can neutralize an innovative product's advantage (Chux, 2010).

Innovation can be seen as a culture, many industries focusing on developing an innovation strategy to preserve a competitive edge because a sturdy innovation culture is evident in all new products and services launching in the market by innovation pioneers (Jean, 2017). So, it can be emphasized that the adoption and reliance of this culture is a focal issue to any organization seeking to differ-



entiate against its competitors, moreover, it is a paved road to boost innovation and establish a competitive position in the market to reinforcement the overall performance of the organization (Jean, 2017).

The competitiveness acquired via innovation leads to meet the unstable needs and expectations of customers and thus generate greater profit margin and market share (Jean, 2017). However, real innovation is not that easy to most businesses, and it is influenced by many internal and external circumstances like the corporate environment or business beliefs within the industry that can limit the business's ability to innovate (Jean, 2017).

NPD necessitate the incorporation the endeavors of many actors from diverse backgrounds and experiences within or outside the organization to develop a unique and competitive product (Chux, 2010). The importance of this is due to the fact that the market success of companies depends mainly on their capability to accurately identify the needs of customers and manufacture products that fulfill these needs in a timely manner (Chux, 2010). Accomplishing these objectives is not marketing side problem only as it appears at first sight, but it is a problem for the organization as a whole with all its functions i.e. manufacturing, HR, design, finance, etc.

In the last few decades, especially with the beginning of the new millennium, the rate of new products that have been released has grown enormously as markets become more conscious of the importance of new products in achieving sustainable competitive advantage (Bhuiyan, 2011). In contrast, managing of NPD process became very stingy because it takes huge financial budgets and needs more skilled and talented human resources (Bhuiyan, 2011). The annoying facts are that the majority of new products are not able to reach the target market at all, and considerable proportion (25% to 45%) of them are experiencing failure at some stage of their development or entry into markets (Bhuiyan, 2011). According to expert studies, for every seven new ideas for a product, about four projects are put forward for development, about one and a half are launched on the market, and only one succeeds in existence and continuity (Bhuiyan, 2011). Despite all this, companies continue to launch products that fail, thus NPD classifying among the highest uncertain and confusing activities for companies (Bhuiyan, 2011). Also, with the high funds invested in NPD every year, the pressure to maximize the return on these investments increasing steadily. It becomes even more troubling if we know that almost 46% of the resources assign to the NPD are disbursed on products that are annulled or fail to achieve a profitable return (Bhuiyan, 2011).



This working paper directed towards finding the impact of NPD on the market share in the smartphone market, by considering the case of Samsung and Apple. This work will begin with an introduction about innovation and NPD, then, a review of the previous literature about the relationship of innovation and NPD on the performance of the organizations and its impact on the market share specifically. In the third section of this work, you will find the basic concepts of R&D, NPD, and the market share detailed. An overview of the smartphone industry, the most supreme competitors, the analysis of the smartphone market, in addition to the innovation and NPD strategies used in this market will be highlighted in the fourth part of this work. In order to verify the hypotheses of the study, the empirical study will be conducted, and all the details of this study and the results will be found in the penultimate part of this work. Finally, this work will conclude with a summary and some recommendations.

Literature Review

There is extensive literature about the importance of innovation and NPD on increasing of the market share, and many researchers and academics have studied the impact of innovation and NPD on the performance of the enterprise as a whole and the market share specifically, and there are different views about this effect. There is empirical evidence that innovation and NPD have a positive impact on the market share and performance of the organization in the market, likewise, contributing on the growth of the enterprise and its existence within the competition. In the following paragraphs, we will try to review some of this literature to find out these argues in more detail.

Richard Blundell, et al. (1998) market share, market value, and innovation in a panel of British manufacturing firms were studied by them. Their paper examines the empirical relationship between technological innovations, market share and stock market value. They found a strong and affirmative effect of market share on a huge number of innovations and patents. likewise, the impact of innovation on market value was bigger for firms with higher market shares.

Tahir Hameed (2013) he studied managing a platform portfolio strategy in the smartphone industry. His paper shows it's becoming arduous for big companies to maintain successful product innovation and market shares just with focused platform strategies. The main result is 'platform portfolio management' may be another valuable strategy for maintaining product innovation and market shares in the long term.



Abdul Ali (2000) he surveyed the impact of innovativeness and development time on new product performance for small firms. His work examined whether competitive advantage can be acquired by curtailment development time across all kinds of new products or whether this advantage is limited to specific types of new products. It suggested that product innovativeness moderates the relationship between development time and initial market performance. The survey findings point out that a firm must protect against over- or under-development of the new product since product innovativeness was found to affect the impact of development time on market performance. The implications for managers are: be careful of launching a new product that is “too much, too early” or “too little, too late.”

Piyush Sharma et al. (2016) they examined product innovation as a mediator in the impact of R&D expenditure and brand equity on marketing performance. Their study shows that MNC firms are eligible to use R&D expenditure to improve their product innovation and market share to a greater scope opposite to SME and retailer firms. However, the stronger brand equity of MNC firms may handicap the performance of their new products by inhibiting product innovation.

Arrive Jean (2017) he analyzed the impact of innovation on the competitiveness of smartphone manufacturers. his paper examines different product innovations and the competitive strategies of three smartphone companies i.e. Samsung, Apple, and Huawei. His findings show that the smartphone manufacturers that have a higher innovation power, have been more competitive in terms of customers number, net income, and market share, expenditure on marketing and R&D makes companies more competitiveness.

Key Concepts of R&D, NPD, and Market Share

The Concept of R&D Activity

Despite the common use the Research and Development (R&D) term in a tandem manner, however, there is a difference between them, which includes two different activities: Research is an organized and systematic activity aimed to discover new knowledge or update of old knowledge to be useful in the development of a new product or process. Meanwhile, the development is the transformation of applied research results and theoretical knowledge to a new design, new product or new process, whether for sale or use (Trott, 2005).

The R&D activity was defined by Collier and Evans as: “The process of discovering, generating new ideas, and increasing scientific knowledge” (Collier &



Evans, 2007). Thus R&D is an operation that begins with basic or applied research and uses its results in a scientific and systematic method to innovate or develop products.

New Product Concept

Lendervie (2003) addressed the concept of the new product in terms of the degree of innovation. He defines it as “The product that achieves a new addition from the consumer’s perspective, reflected in a remarkable change in his perception, and leads to significant changes in his/her behavior.”

The new product can be defined as “Anything that can be changed, modified, added, improved or developed on the product’s specifications and features, whether tangible or intangible, or accompanying services, and fulfill the needs and expectations of current or prospective customers in the target market segments, and this product should be new to the enterprise, market, and customers or all of them together”.

Market Share Concept

The market share of the organization is one of the major indicators that enhance its competitive position in the market. It is an indicator of the efficiency of marketing strategies. Market share is the most significant signal for the success of both production and marketing activities.

The market share ratio is an extensive measure of competitiveness, marketing offers, strategy effectiveness, expected sales, and profitability.

Market share is defined as the percentage of sales compared to the total sales of the organization and its direct competitors, the market share is based on three key factors (Reidenbach, 2009):

1. Acquire New Customers
2. Retain Current Customers
3. Increasing the Purchase from Current Customers.

In addition to the above three criteria, the company’s share of the market can be expressed mathematically as follows (Kotler, 2006):

$$\text{Market Share Value} = \text{Inclination Ratio} \times \text{Response Rate} \times \text{Customer Loyalty Level} \times \text{Price Match Factor}$$



Where:

- Incidence Ratio: The proportion of buyers who buy the product during the same period of time, ratio to the total number of buyers.
- Response Rate: Measuring the average volume of brand purchases compared to the volume of purchases of competitors' products.
- Loyalty Level: Expressed as a percentage of total purchases of the product category achieved by the same buyer.
- Price Matching Factor: It measures the price of the product compared with the average price applied in the industry.

Innovation in Smartphones Industry

Smartphone companies exploit technology in order to fill customer needs. Therefore, innovation in smartphone technology is a key driver of business growth for mobile technology companies and empowers them to continue competitive (Jean, 2017). Accordingly, spending in innovation, the formulation of unique products, artistic look, and product differentiation are primary features of smartphone design.

The two foremost types of innovation strategy are horizontal and vertical, with both being performed by the most progressive smartphone companies (Jean, 2017). In overall, the former includes the preferment of innovative product characteristics and the OS system capacity, whilst the latter direct to include the application pre-existing technology or knowledge (Jean, 2017). Examples, horizontal innovations involve screen size or storage capacity, while vertical innovations might involve network or data connectivity, or processing power (Jean, 2017).

The PLC of a new product i.e. its introduction, growth, maturity, and eventual decline can be affected by competitors that focus their endeavors on raising their market share rather than on innovation itself. Nevertheless, in general, for a firm to expand its global market share and net profits, they must become more competitive by extensively investing in R&D and marketing in order to enhance the profitability of their products (Jean, 2017).

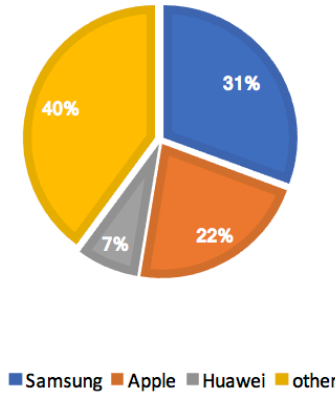
Smartphone Market Analysis

The smartphone market has the privilege of being extremely innovative and concentrated (Cecere, et al., 2015). In 2018, a combined share of 60.13% of the global



smartphone market was controlled by the three largest companies (Samsung, Apple, and Huawei).

Global Smartphone Sales By Brand, 2018



Source: Source: Statista 2019 - www.statista.com

As pointed above, Samsung solely has almost a third of the global smartphone market. Moreover, Samsung was a more innovative brand according to the results of the 2018 Global Innovation 1000 study ¹.

The R&D Spending by Samsung and Apple, 2018

2018 Global Rank	Company Name	R&D Spend (US\$ Billions)	Revenue (US\$ Billions)	R&D Spend as % of Revenue
4	Samsung Electronics Co., Ltd	15.3	224.3	6.8%
7	Apple Inc.	11.6	229.2	5.1%

Source: The 2018 Global Innovation 1000 study

As displayed above, both companies listed among the top 10 most innovative businesses globally, although Samsung's innovation spending was considerably bigger, despite its revenues being smaller than Apple's. Research and development (R&D) spending comprised 6.8% of Samsung's revenues in 2018. For Apple, this ratio was 5.1% (PwC, 2018).

1 The Global Innovation 1000 study analyses spending at the world's 1000 largest publicly listed corporate R&D spenders.



This gap could have occurred from Samsung's investing more heavily in the development of its new product lines (Jess C, 2018). Furthermore, Samsung has been recognized as the top innovator in the industry for over a decade, issuing on average 26.5 new products by year, which is the vastest figure amongst all major smartphone companies (Jess, 2018). From this information, one can infer that new product development (NPD) is a priority direction of Samsung's investments. (Jess, 2018).

The smartphone industry has expanded from 139.29 million units sold in 2008 to 1,555.27 billion units in 2018. Growth decreased considerably in the first quarter of 2019 compared to the same period in 2018, with only 310.8 million in the first quarter of 2019, while it was 332.7 million in the first quarter of 2018. The top 3 smartphone makers held around 54% of all shipments in the first quarter of 2019, which has not altered much compared to the same period of 2018, which valued for 51%.

Samsung shipped the most smartphones worldwide, at 309.4 million units in 2016 and 319.7 million units in 2015 (Jean, 2017). This was followed by Apple, with a shipment volume of 215.4 million units in 2016, compared to 231.5 million in 2015 (Jean, 2017). Unlike Apple and Samsung, Huawei recorded both a rise in their sales and their market share between 2015 and 2016, proposing that the market is becoming frequently concentrated (Jean, 2017). These trends become even clearer by comparing these companies' market shares between 2012 and 2016.

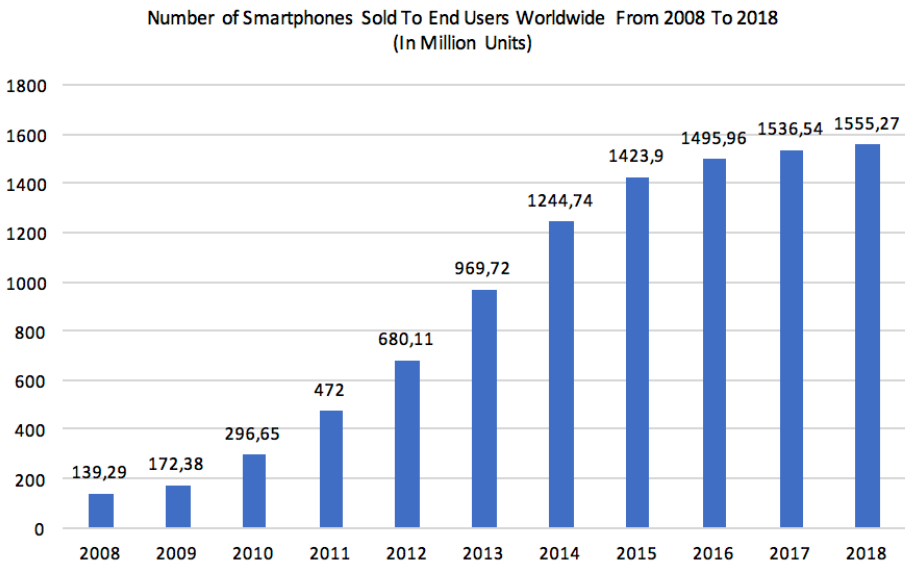
Worldwide Quarterly Smartphone Top 5 Company Shipments, 2019Q1 and 2018Q1
(Shipments in Millions)

Company	1Q19 Ship- ment Volumes	1Q19 Mar- ket Share	1Q18 Ship- ment Volumes	1Q18 Mar- ket Share	Year-Over- Year Change
Samsung	71.9	23.10%	78.2	23.50%	-8.10%
Huawei	59.1	19.00%	39.3	11.80%	50.30%
Apple	36.4	11.70%	52.2	15.70%	-30.20%
Xiaomi	25	8.00%	27.8	8.40%	-10.20%
Vivo	23.2	7.50%	18.7	5.60%	24.00%
OPPO	23.1	7.40%	24.6	7.40%	-6.00%
Others	72.1	23.20%	91.9	27.60%	-21.50%
Total	310.8	100.00%	332.7	100.00%	-6.60%

Source: IDC Quarterly Mobile Phone Tracker, 2019



Geographically, Asia controls the smartphone market with a share of larger than 45% in 2017, followed by North America with nearly 26% share. The dominating share in Asia is principally due to an enormous increase in the adoption of smartphones among both millennial and older residents. In Asia, key nations contributing to smartphone growth are Australia, China, India, and South Korea. These countries have an active base of smartphone users beyond all age groups. Furthermore, due to the good per capita revenue of residents of these countries, the tendency toward high-end smartphones is growing. This, in turn, is driving the size of the returns of the market.



Source: Statista 2019 - www.statista.com

According to a new market research report ² published by Transparency Market Research, the global smartphone market is expected to reach US\$ 1,503,280.1

- 2 Market Research Report published by Transparency Market Research entitled "Smartphone Market [(Operating System – (Android, iOS, Windows), Distribution Channel {Online, (Single Brand Store, Multi Brand Store), Price Range (Below US\$ 100, US\$ 100-200, US\$ 200-500, US\$ 500 and above), Size (below 4.0", 4.0" – 5.0", Up to 6.0"), RAM Size (Below 2GB, 2GB-4GB, upto 8GB)] - Global Industry Analysis, Size, Share, Growth, Trends, and Forecast, 2018 – 2026"



Mn by 2026. In terms of volume, the global smartphone market is supposed to touch 3,280.6 million units by 2026.

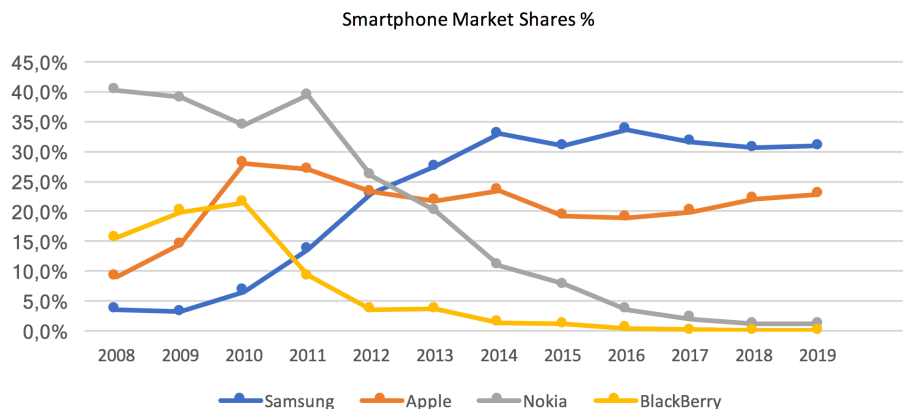
Company	2007	2008	2009	2010	2011	2012	2013	2014	2015	2016	2017	2018	2019
Samsung	1.8	3.6	3.2	6.6	13.6	22.9	27.5	33.0	30.9	33.6	31.7	30.6	30.9
Apple	3.0	9.1	14.5	28.0	27.1	23.3	21.8	23.5	19.2	18.9	19.9	22.0	22.7
Nokia	49.2	40.2	39.1	34.4	39.4	26.0	20.2	10.9	7.9	3.6	2.0	1.2	1.1
Black-Berry	9.9	15.6	19.9	21.5	9.3	3.6	3.7	1.4	1.2	0.5	0.2	0.1	0.1

Smartphone Market Shares %

Source: IDC Quarterly Mobile Phone Tracker, April 30, 2019

Maturity in the industry has been accompanied by volatility among the market leaders. The leading brands in 2007, Nokia and Blackberry with 59% of market share, were no longer even in the top 10 firms in 2019. In contrast, newcomers Apple and Samsung operated 53.60% of market share in the first quarter of 2019.

Samsung is now the head smartphone manufacturer, with a market share of 30.6% in 2018. In the same year, Apple had the second largest market share with 22%. Over the ex-five years, these two goliaths have taken around 50% of the smartphone market on average, although experts predict that this may turn in the next years as new competitors join, mainly Huawei, which its market share increased from almost 1.40% in 2014 to nearly 8% in the first quarter of 2019.



Source: Statista 2019 - www.statista.com



Empirical Study

Statement of Problem

Innovation is an outstanding action in most organizations, where it can be indispensable as a tool to fulfill the needs of current and prospective consumers, and interact with them to attainment their loyalty and reliability to all products, and occupy a privileged position in the market and take precedence over competitors, and increase market share; especially in a highly competitive environment, hence, the following question can be formulated:

What is the Relationship between NPD and The Market Share of Smartphones Manufacturers?

And also, we try to answer the following sub-questions:

1. What are the theoretical foundations for innovation, R&D, NPD, and market share?
2. What is the reality of innovation and product development in the smartphone market?
3. What are the innovation and product development strategies in smartphone companies?
4. What is the impact of R&D and NPD variables on the market share?

Hypotheses

In order to find an answer to the problem of study, the following hypotheses were formulated:

H_1 : There is a positive relationship between NPD and an increase in Samsung's market share.

H_2 : There is a positive relationship between NPD and an increase in Apple's market share.

Methodology

Data Collection

Secondary data will be used to conduct the study and generalize the relationship between NPD and the market share in both Samsung and Apple. Time series data regarding market share ratio and R&D expenditure covering years from 2012 to 2018 will be adopted. This data will be collected from Global Innovation 1000



study reports, annual reports of Samsung and Apple, International Data Corporation (IDC) analytics, and some previous literature. The data to be relied on for analysis is found in the table below.

Data of The Study

Year	Samsung		Apple	
	R&D Spend (US\$ Billions)	Market Share %	R&D Spend (US\$ Billions)	Market Share %
2012	9.3	22.94	2.4	23.27
2013	10.8	27.48	3.4	21.79
2014	13.4	33.00	4.5	23.51
2015	13.9	30.92	6	19.21
2016	13.5	33.63	8.1	18.89
2017	14.3	31.65	10	19.91
2018	15.3	30.63	11.6	21.98

Source: The 2018 Global Innovation 1000 Study

Data Analysis

Will be using both descriptive and quantitative methods to analyze and evaluate the results. Descriptive methods will be applied to know the structural properties of data, alongside various references, scientific papers, articles, written and electronic sources. The quantitative analysis covers regression analysis will be adopted to measure the strength and significance of relationship statistics. SPSS 22 software will be utilized for data analysis.

Measurement of Variables

The predicted relationship between the studied variable (the market share) and the explanatory variable (NPD) can be mathematically expressed as:

$$\text{Share} = \beta_0 + \beta_1 \text{NPD} + (\varepsilon)$$

Where:

- Share: Shows the market share ratio, which is a percentage %
- NPD: A new product development factor, measured by R&D expenditure, which is US \$ billions.
- (ε) Error Term: Represents other variables that affect the dependent variable (the market share), but not included in this model.



Discussion of Results

Samsung

Descriptive Analysis

The table below shows descriptive statistics for all of the variables used in the study.

Table (4): Descriptive Statistics

	Market Share	R&D Expenditure (Billion Dollar)
N	7	7
Mean	30.03%	\$12.9286
Median	30.92%	\$13.5000
Std. Deviation	3.70%	\$2.10928
Minimum	22.94%	\$9.30
Maximum	33.63%	\$15.30

In Table above summary statistics of all the variables that were used in the study are reported. The mean value of Samsung's R&D expenditure was 12.9 billion dollars over the past seven years, with a minimum value of 9.30 billion dollars in 2012 and a maximum value of 15.30 billion dollars in 2018. In other words, there has been an increase of \$ 6 billion in R&D expenditure over the last 7 years, with an average of \$ 1 billion each year, indicating Samsung's interest in R&D, which reflected positively on its market share.

Looking at Samsung's market share rates over the recent seven years, we find that it has retained its leading position in the global smartphone market, with an average market share around 30%, i.e. is acquires a third of the market alone. The lowest market value achieved by Samsung was 22.9% in 2012, while the highest market share owned by Samsung 33.6% in 2016, which can be explained by the increase in the R&D expenditure carried out by Samsung as mentioned above. However, this high share decreased and reached about 30.6% in 2018, this may be due to new competitors enter the market like Huawei.

Regression Result

After inserted the data into the program (SPSS 22) in order to estimate the relationship between the variables of the model, the results were as follows:

Model Summary^b

Model	R	R Square	Adjusted R Square	Std. Error of the Estimate
1	.834 ^a	.696	.636	2.23587

a. Predictors: (Constant), RD

b. Dependent Variable: Share

Through the model summary table, we find that R illustrates the relationship between market share and R&D expenditure, where $R = 0.834$. That is, approximately 83% of the variance in the market share rate is taken into consideration by variable in the model, i.e. R&D expenditure. The coefficient of determination R^2 is estimated by 0.696, which indicates that 69.6% of the resulting change has been interpreted by the independent variable, and this indicates a strong correlation between the dependent variable (market share) and the independent variable (R&D expenditure), and this means the model is good and acceptable.

ANOVA^a

Model		Sum of Squares	df	Mean Square	F	Sig.
1	Regression	57.332	1	57.332	11.468	.020 ^b
	Residual	24.996	5	4.999		
	Total	82.328	6			

a. Dependent Variable: Share

b. Predictors: (Constant), RD

From the ANOVA table, we see F-test, this test is used to study the significance of all parameters simultaneously, using the following statistical hypothesis:

- $H_0 = \beta_0 = \beta_1 = \beta_2 = 0$
- $H_1 = \beta_0 \neq \beta_1 \neq \beta_2 \neq 0$

We have F. Statistic here = 11.468, by using F-distribution table³ at the degree of freedom of numerator it's 1 ($k=1$), and degree of freedom of denominator ($n-k-1$), will be found: $F_{(n-k-1)}^K = F_5^1 = 6.6079$. Because the calculated value of F (11.468) is greater than F table value (6.6079), so will be rejected the null hypothesis and accept the alternative hypothesis, that means, there is at least one variable is not

3 The F distribution is a right-skewed distribution used most commonly in Analysis of Variance. When referencing the F distribution, the numerator degrees of freedom are always given first, as switching the order of degrees of freedom changes the distribution.



equal to zero, then the model as a whole is significant. In addition, Sig = 0.020, since the P value is less than 0.05, the model is statistically significant. Accordingly, the independent variable is explanatory variable and it is acceptable from a statistical standpoint, thus it can be said that the model is good and acceptable.

Coefficients^a

Model B		Unstandardized Coefficients		Standardized Coefficients	t	Sig.
		Std. Error	Beta			
1	(Constant)	11.089	5.658		1.960	.107
	RD	1.466	.433	.834	3.387	.020

a. Dependent Variable: Share

By analyzing the coefficients table above, we will find T-Test, which is used for evaluation of the significant impact of explanatory variables in the output variable in the multiple regression models, where this test takes the following format:

- $H_0 = \beta_0 = \beta_1 = \beta_2 = 0$
- $H_1 = \beta_0 \neq \beta_1 \neq \beta_2 \neq 0$

At the 5% level of significance, we will be compared the T-Test, If it's greater than 1.697 (absolute value) and P-value less than 0.05, we will be rejected the null hypothesis and accept the alternative hypothesis, it means the parameter has statistically significant.

Parameters	T.Sta- tistic	T-Value	A	P-Value	Hypothesis Test	Statistical Sig- nificance
β_0	1.960	1.697	0.05	0.107	Accept Null Hypothesis	Not Significant
β_1	3.387	1.697	0.05	0.020	Reject Null Hypothesis	Significant

The probability value of the independent variable from the table above is 0.020, which is less than 0.05. Therefore, R&D expenditure as an independent variable is statistically significant as a key determinant of market share in Samsung.

The main result of the regression analysis is the regression equation, the resultant equation can be expressed mathematically as:

$$\text{Share} = 11.089 + 1.466 (\text{NPD})$$



The above model reflects the impact of NPD on Samsung's market share, since R&D expenditure have a positive impact on market share. The core output of the regression equation is:

- Constant = 11.089
- B coefficient = 1.466: The coefficient B is 1.466, which means that one dollar increase in R&D expenditure is associated with a 1.446 percentage increase in the market share.
- "Sig." = 0.020, hence the coefficient β is statistically significant, because the P value is less than 0.05. β_1 coefficient was statistically significant.

Hypotheses	Result
H ₁ : There is a positive relationship between NPD and an increase in Samsung's market share.	Accepted

In conclusion, based on the above analyses, we can say that according to the data we have, R&D expenditure as a measure of NPD have a positive impact on the market share, therefore we can accept the hypothesis that says there is a positive relationship between product development and an increase in Samsung's market share.

Hence, it could be concluded that innovation and NPD would help in order to improve products which are manufactured by Samsung in order to attain a sustainable competitive advantage over its competitors (Jess, 2018). This would help Samsung in order to sustain in the highly competitive market and attain certain levels of advantage (Jess, 2018).

Apple

Descriptive Analysis

The table below shows descriptive statistics for all of the variables used in the study.

Descriptive Statistics		
	R&D Expenditure (Billion Dollar)	Market Share %
N	7	7
Mean	\$6.5714	21.2229
Median	\$6.0000	21.7900
Std. Deviation	\$3.45095	1.89447
Minimum	\$2.40	18.89
Maximum	\$11.60	23.51



By looking at the table above, we can observe the following:

The average R&D expenses of the Apple during the period from 2012 to 2018 amounted to about \$ 6.5 billion, with an average market share about 20% during the same period.

Apple's R&D expenditures exceeded the \$ 11 billion barriers to reach around \$ 11.60 billion at its highest level last year (2018), while it was only \$ 2.4 billion in 2012, as the lowest spending on R&D by Apple over the past seven years. But, the year 2012 saw the second highest market share achieved by Apple in the same period, it has acquired that year accounted for 23.27% of the global smartphone market. However, Apple's highest market share was not far from this figure, it has reached at 23.51% in 2014.

If we compare between Apple and Samsung based on this data over the past seven years we will find that Apple's R&D expenses rate has been higher than Samsung's, Apple's R&D expenses have increased from \$ 2.4 billion in 2012 to \$ 11.6 billion in 2018, while the value of this expenditure at Samsung were \$ 9.3 billion in 2012 and \$ 15.3 billion in 2018. Although these increases were accompanied by successive and stable increases in the market share of Samsung, this was not the case with Apple, which it's market share saw ups and downs despite the increase continued each year in R&D expenditure.

The last thing must be mentioned here is that Samsung's R&D expenses were greater than Apple's expenses, while Samsung's R&D expenditures at its lowest level were \$ 9.5 billion in 2012, Apple did not reach that figure until 2017 when it spent \$ 10 billion on R&D that year. This may be explained by the fact that Samsung has more than one model of smartphones, where Samsung has more than one product line for smartphones, the most famous of it is the Galaxy S series and Galaxy Note, in addition to the low and medium category, such as the series Galaxy J, Galaxy M, and Galaxy A. In contrast, Apple is limited in the market for smartphones on the iPhone series with all versions. So, it can be said that Samsung needs to spend more on R&D compared to Apple.

Regression Result

After inserted the data into the program (SPSS 22) in order to estimate the results of the model, the results were as follows:

Model Summary^b				
Model	R	R Square	Adjusted R Square	Std. Error of the Estimate
1	.464	.215	.058	1.83880
a. Predictors: (Constant), RD			b. Dependent Variable: Share	



From the model summary table above, we see that R define the relationship between market share and R&D expenditure, where $R = 0.464$, i.e. 46% of the variance in the market share rate is taken into consideration by variable in the model (R&D expenditure). The coefficient of determination R^2 is evaluated by 0.215, which indicates that 21.5% of the resulting change has been interpreted by the independent variable, and this indicates a weak correlation between the dependent variable (market share) and the independent variable (R&D expenditure), and this means the model is bad and unacceptable.

ANOVA ^a						
Model		Sum of Squares	df	Mean Square	F	Sig.
1	Regression	4.628	1	4.628	1.369	.295
	Residual	16.906	5	3.381		
	Total	21.534	6			
a. Dependent Variable: Share		b. Predictors: (Constant), RD				

From the ANOVA table we have F. Statistic = 1.369, by using Fisher's table at the degree of freedom of numerator it's 1 ($k=1$), and degree of freedom of denominator ($n-k-1$), will be found: = = 6.6079. Because the calculated value of F (1.369) is less than F table value (6.6079), so will accept the null hypothesis and rejected the alternative hypothesis, that means, there is at least one variable is equal to zero, then the model as a whole is not significant. In addition, Sig = 0.295, since the P-value is greater than 0.05, the model is statistically not significant. Accordingly, the independent variable is non-explanatory variable and it is unacceptable from a statistical standpoint, thus it can be said that the model is bad and unacceptable.

Coefficients ^a						
	Model B	Unstandardized Coef- ficients		Standardized Coefficients	t	Sig.
		Std. Error	Beta			
1	(Constant)	22.895	1.589		14.404	.000
	RD	-.255	.218	-.464	-1.170	.295

a. Dependent Variable: Share

By analyzing the coefficients table above, we will find T-Test, at the 5% level of significance, we will be compared the T-Test, if it's greater than 1.697 (absolute value) and P-value less than 0.05, we will be rejected the null hypothesis and accept the alternative hypothesis, it means the parameter has statistically significant.



Parameters	T.Statistic	T-Value	A	P-Value	Hypothesis Test	Statistical Significance
β_0	14.404	1.697	0.05	0.000	Reject Null Hypothesis	Significant
β_1	1.170	1.697	0.05	0.295	Accept Null Hypothesis	Not Significant

The probability value of the independent variable from the table above is 0.295, which is greater than 0.05. Therefore, R&D expenditure as an independent variable is not statistically significant as a key determinant of market share in Apple.

The main result of the regression analysis is the regression equation, the output equation can be expressed mathematically as:

$$\text{Share} = 22.895 - 0.255 (\text{NPD})$$

The above model reflects the impact of NPD on Apple's market share since R&D expenditure has a negative impact on market share. The core output of the regression equation is:

- Constant = 22.895
- B coefficient = -0.255: The coefficient B is -0.255, which means that one dollar increase in R&D expenditure is associated with a -0.255 percentage decrease in the market share.
- "Sig." = 0.295, hence the coefficient β is statistically not significant, because the P-value is greater than 0.05. β_1 coefficient was statistically not significant.

Hypotheses	Result
H_1 : There is a positive relationship between NPD and an increase in Apple's market share.	Rejected

Finally, based on the above analyses, we can say that according to the data we have, R&D expenditure as a measure of NPD have a negative impact on the market share, therefore we can reject the hypothesis that says there is a positive relationship between product development and an increase in Apple's market share, but unfortunately, the model we have is statistically unacceptable. In summary, the data in our possession did not lead to any statistical conclusion on the impact of R&D expenditures on Apple's market share, and this does not negate the positive impact of R&D expenses on Apple's market share, which can be ascertained by further analysis and study covering a longer period of time than was adopted in this work.



Conclusion

This study attempted to examine the impact of NPD on the market share by taking evidence from the smartphone market. The study evaluated annual time series data covering years from 2012 to 2018 related to the world's largest smartphone manufacturers (Samsung and Apple). Regression analysis was used to explore the relationship between R&D expenditure as a determinant of NPD and market share. Based on the results of the empirical study, R&D expenditures have a positive impact on Samsung's market share, but at the same time the data used in this study did not lead to the same result for Apple. Therefore, spending more on research and NPD, can help Samsung to maintain its growth and market share. On the other side, if Apple wants to increase its market share, it must develop low-cost smartphones to compete with Samsung in the low-cost smartphone market.

The smartphone industry is dynamic (Kenneth & Kraemer, 2017), with the competitions between brands and companies are getting fiercer than ever (Ha Anh, 2016). Firms that were leaders in handsets in 2005 were not even in the top 20 in 2018, while firms that entered the market after 2010 had jumped into the top 10 (Kenneth & Kraemer, 2017). the success of smartphone manufacturers can be explained by constant investment in R&D, acquisition of other firms with valuable technologies that can be used strategically to develop new products (Kenneth & Kraemer, 2017). Nevertheless, the rapid changes in the industry are likely to continue, and new innovations, new strategies, or changes in customer tastes could make today's smartphone as obsolete as a flip phone (Kenneth & Kraemer, 2017).

Recommendations

It can be said that product innovation and development is an important factor in winning competitive battles between institutions in the markets. According to the conclusions of the previous literature review and the results of the empirical analysis, the study suggests the following recommendations:

R&D activity is considered a success factor for any organization, an organization's ability to create new products or develop existing products is linked to the interest of the enterprise in research and development. However, the organization's acquisition of the market share does not mean the success and continued the excellence of the organization. Therefore, it must increase its market share by relying on new product innovation and the development of existing products which consistent with the requirements of the market, competition, and constantly changing in consumer expectations.



The need to pay more attention to the external environment to know the opportunities and threats located in the smartphone industry, thereby ensuring increased market share according to the objectives and resources of the company, together with take the lead to innovate completely new products and activate all the associated actions rather than focus on the current product improvement activities only, so as to ensure the permanence in the market for a long time, and get a greater market share.

High NPD investment enables new entrants in the smartphone market to identify customer needs that were overlooked by major players and suggest a product that satisfies them. Although involving high risks, this strategy can result in gaining a substantial market share and building a loyal customer base over a short period of time as it occurred in the case of Apple (Jess, 2018). Another way to achieve strong customer loyalty and competitive market share is to frequently release less sophisticated, but more diversified products. This approach is consistently followed by Samsung, yet it cannot be recommended to new entrants with constrained financial resources (Jess, 2018).

Over the years, Apple is considered a pioneer of innovation, and it is classified among the largest companies in the world in terms of market value, but since competition in the smartphone industry has intensified, Apple needs to pay more attention if it wants not to lose market share, Apple must focus on innovating entirely new products, particularly in the medium and low-cost smartphones market, in order to provide new experiences to customers, and obtain a new market share. Definitely, those sales of the iPhones increasing steadily, but Apple has to take into account that there is a new trend, represented by the emerging markets like India and China, which are fast-growing and own technical capabilities and knowledge that can rapidly arrive to compete with the biggest companies in the smartphone industry. They are able to produce good quality devices at prices that are much lower compared to the iPhones, and the best example of this is Huawei's smartphones

According to The Mobile Economy 2018 report made by GSMA Intelligence, the mobile internet penetration will reach 61% of the global population by 2025 (The Mobile Economy, 2018), one of the key drivers of this growth is more affordable smartphones. The report also clarifies that smartphone adoption will grow by 20 percentage points globally between 2017 and 2025; thus, in light of these expectations, smartphone manufacturers should be prepared to acquire a large part of these expected increases, by manufacturing affordable and competitive



smartphones, while not neglecting the technical and innovative aspects, especially internet communication technologies (Kenneth & Kraemer, 2017).

The study has limited on the impact of NPD only on the market share, and other factors such as the economic environment and technological progress of different countries' markets and political factors, etc. have not been taken into consideration. We believe that like these factors may play a bigger role in the success or failure of a company to enter a new market or expansion its current market share. Here we can invoke Huawei's case, which its share in the global smartphone market is expected to be negatively affected by recent US sanctions taken by president Donald Trump administration on the Chinese economy, therefore we suggest further investigation in the impact of other factors on the market share.

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Dünyanın dört bir yanından ülkemize eğitim için gelen uluslararası lisansüstü öğrencilerinin akademik çalışmalarını sunabilmeleri, bilgi paylaşımında bulunabilmeleri, çeşitli atölyeler ve farklı etkinliklerle ortak çalışmalar üretebilmeleri amacıyla "Uluslararası Öğrenciler Sosyal Bilimler Kongresi" düzenlenmektedir.

5. Uluslararası Öğrenciler Sosyal Bilimler Kongresi, 7-9 Kasım 2019 tarihleri arasında Yurtdışı Türkler ve Akraba Topluluklar Başkanlığı (YTB) ile İlmi Etüdler Derneği (İLEM) iş birliğiyle Karadeniz Teknik Üniversitesi ev sahipliğinde gerçekleştirilmiştir.

Elinizde 2 cilt halinde sunulan bu eser, 5. Uluslararası Öğrenciler Sosyal Bilimler Kongresi'nde sunulan seçilmiş bildirilerden oluşmaktadır. Bu anlamda elinizdeki kitapta Antropoloji, Edebiyat, Eğitim, Felsefe, Hukuk, İktisat, İlahiyat, İletişim Bilimleri, Psikoloji, Sanat Tarihi, Siyaset Bilimi, Sosyoloji, Tarih, Uluslararası İlişkiler gibi alanların yanı sıra sosyal bilimlerin diğer bilim dallarına ait İngilizce ve Türkçe makaleler yer almaktadır.

International Students Social Sciences Congress is organised to bring together postgraduate students who come to our country for their studies. The purpose is for them to share knowledge, take part in workshops and other activities in order to create joint projects in the future.

The 5th International Students Social Sciences Congress took place in Karadeniz Technical University on 7-9 November 2019 in collaboration with Scientific Studies Association (İLEM) and Presidency for Turks Abroad and Related Communities (YTB).

This two-volume book consists of the proceedings presented in the 5th International Students Social Sciences Congress. In this book you will find articles from various fields such as Anthropology, Literature, Educational Science, Philosophy, Law, Economics, Theology, Communication Science, Psychology, Art History, Political Science, Sociology, History, and International Relations. Additionally, works related to other fields of social sciences can also be found in the book – both in English and Turkish languages.



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