

# **European Journal of Humanities and Social Sciences**

**Nº 6 2019**

# European Journal of Humanities and Social Sciences

Scientific journal  
№ 6 2019

ISSN 2414-2344

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– Karlín, Lyčkovo nám. 508/7, PSČ 18600  
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**European Journal of Humanities and Social Sciences** is an international, German/English/Russian language, peer-reviewed journal. It is published bimonthly with circulation of 1000 copies.

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INDEX COPERNICUS INTERNATIONAL The journal has Index Copernicus Value (ICV) 64.80 for 2016.

GIF® GLOBAL IMPACT FACTOR The journal has the GIF impact factor .248 for 2018.

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Typeset in Berling by Ziegler Buchdruckerei, Linz, Austria.

Printed by Premier Publishing s.r.o., Vienna, Austria on acid-free paper.

## Section 1. Gender sciences

<https://doi.org/10.29013/EJHSS-19-6-3-10>

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### **JUNO: A MIRROR IMAGE OF THE GENDER STEREOTYPES AND SOCIAL PREJUDICES PREGNANT TEENS FACE**

**Abstract.** Feminists have long been concerned with issues related to pregnancy. Discussion regarding teenage pregnancy has been especially contentious among some feminists. *Juno*, directed by Jason Reitman and starring Ellen Page, came out in 2007 and soon garnered attention with its forthright portrayal of teenage pregnancy. Even after twelve years, in 2019, *Juno* remains possibly the most influential film about this topic. Why is the film still so prominent? In this paper, I first extend this discussion regarding cultural representations of pregnancy by examining whether *Juno* is a feminist film through analyzing media responses to this question. Furthermore, I aim to assess the significance of *Juno* by answering the question: how does this movie reinforce or challenge certain stereotypes of teenage pregnancy? I then execute a detailed analysis of three individual scenes from the movie *Juno* based on my own interpretation and other scholarly analyses. Based on these media responses and my own analysis, I come to my conclusion that *Juno* is a feminist film which addresses traditionally feminist topics from a female-centered and female-empowering perspective. I argue through my scene analysis that this film depicts and challenges the social stereotypes such as the “wrong girl” narrative, the “wrong family”, and the nuclear family model with the aim of inspiring young women to overcome the social prejudices.

**Keywords:** *Juno*, film analysis, teenage pregnancy, gender stereotypes, nuclear family model.

Directed by Jason Reitman and starring Ellen Page, *Juno* came out in 2007 and soon garnered attention with its story about teenage pregnancy. *Juno* tells the story of a teenage girl named Juno who accidentally gets pregnant after having sex with her boyfriend, Paulie Bleeker. The film starts with a scene of Juno holding a Sunny D and staring at a discarded living room set in a neighbor’s yard. After Juno takes her third pregnancy test of the day, she finally accepts that she is, in fact, pregnant. She ruminates over the

option of abortion. However, after visiting an abortion clinic, Juno gives up her appointment and decides that she will put her baby up for adoption. Juno and her best friend settle on a wealthy couple they find in the *Penny Saver*. She then finally informs her father and stepmother of both her pregnancy and her decision. Though disappointed and worried, her parents start to prepare for her pregnancy. With her father, Juno meets the parents she has chosen to adopt her baby, Vanessa and Mark Loring. Vanessa

loves children and presents the image of a perfect mother. In contrast to Vanessa's rational and practical mind, her husband Mark Loring, a composer, possesses a more curious and adventurous heart. Juno soon becomes friends with Mark. Yet problems arise when Mark realizes he is not ready to be a father and feels pressured by the responsibilities that Juno's pregnancy imposes on him. He decides that he wants a divorce from Vanessa. Though frustrated and sad, Juno still chooses to trust Vanessa and delivers the baby. In the end, Vanessa raises the baby alone while Juno gets back together with her boyfriend, Bleeker.

Feminists have long been concerned with issues related to pregnancy, and teenage pregnancy has been especially contentious among some feminists (Hoerl and Kelly [4], Clarke [1], Latimer [5], Luttrell [6]). In this paper, I extend this discussion by considering the cultural representation of pregnancy in the film *Juno*. I argue that *Juno* strives to debunk the social stereotypes pregnant teenagers face and raise awareness to the rigid gender stereotypes presented in the society. I do so first by examining whether *Juno* is a feminist film through analyzing media responses to this question. Further more, by reviewing the work done by previous scholars around social issues presented in *Juno*, I aim to provide context for my later analysis. I strive to assess the significance of *Juno* by answering the question: how does *Juno* both reinforce and challenge certain stereotypes in teenage pregnancy. I will then execute a detailed analysis of three individual scenes from the movie *Juno* based on my own interpretation and other scholarly analyses. I close by concluding my argument that *Juno* challenges the gender stereotypes pregnant teens face.

### ***Juno*: A Feminist Film or Not?**

Before delving into further analysis of *Juno*, I wish to first discuss the following question: is *Juno* a feminist movie? This film features much discussion about reproductive rights, one of the hallmarks of women's movements. Answering this question will provide context for understanding the other controversial feminism-related issues addressed in the

film. The debate about whether *Juno* is feminist film emerged as soon as the movie came out. Feminist scholar Jill Dolan published an article titled "*Juno*: Teen Feminism" on her blog *The Feminist Spectator*, claiming that *Juno* "gives me hope that popular culture can deliver more complicated stories about choice, about girls, and about the ethical ways we choose to live, without sacrificing humor and depth." She argues that "some critics call *Juno* post-feminist; I'd just call it feminist" (Dolan [2]). The humorous plotlines in *Juno*, though lighthearted, nevertheless discuss the serious responsibilities women have to face in life. For instance, in one scene, Juno anxiously looks at her third pregnancy test of the day to find an "unholy" plus sign, and the cashier Rollo at the convenience store says to Juno, "This is one doodle that can't be undid, home skillet." Another blog titled "*Juno*," published by Framing Feminism on WordPress, suggests that "the roles of the men in the film have little to no importance," since the only three male characters that appear in the film (Juno's father, Juno's boyfriend, Paulie Bleeker, and Vanessa's husband, Mark Loring) do not seem to affect any of the decisions made by the female characters. In the end, women decide their own fate and overcome their challenges independently; for instance, Vanessa decides to raise the baby alone, and Juno has to go through her delivery by herself. Framing Feminism writes, "Both Juno and Vanessa can be role models to young women across the globe. Juno does not let her early pregnancy define her life and Vanessa does not let Mark leaving her stop her from being who she is meant to be" (Georgetti [3]). The transcript of a presentation on Prezi titled "Feminist Perspective on *Juno*" reiterates this idea that *Juno* emphasizes "the victory of feminism" and "the irrelevancy of men." The notes in this presentation remark that "despite the physical things men can give such as sperm or maybe even their paycheck, they have no value worth considering and can get thrown out by independent women and girls" in *Juno* (Marquez [7]). Based on these media responses, which come to consensus, as

well as my own analysis, I argue that *Juno* is a feminist film. Not only does *Juno* address traditionally feminist topics, such as birth control and abortion rights, it also does so from a female-centered and female-empowering perspective, in which women have autonomy and power over their own decisions.

### Reviewing Scholarly Analyses on *Juno*

While *Juno* seems to be a feminist movie in the media, it causes controversies among scholars. Scholars have used *Juno* as a lens to address issues such as race generalization (Hoerl and Kelly [4], Thoma [9]), abortion and its representation in the movie industry (Hoerl and Kelly [4], Thoma [9], Latimer [5]), gender role stereotypes (Willis [10], Hoerl and Kelly [4]), sex education (Tarancón [8], Clarke [1]), and teenage pregnancy (Willis [10], Luttrell [6]).

Multiple scholars have addressed the issue of race and class generalization in films about pregnancy and identified this problem in *Juno*'s narrative. As Communication Studies scholars Kristen Hoerl and Casey Ryan Kelly point out in their article "The Post-Nuclear Family and the Depoliticization of Unplanned Pregnancy in *Knocked Up*, *Juno*, and *Waitress*," *Juno* ignores certain factors that usually play a significant role in defining different people's experiences of pregnancy, such as economic forces, racism, and public policy, by "extolling the virtues of white motherhood" (Hoerl and Kelly [4, 5]). In this movie, the two female protagonists, Vanessa and Juno, are both white and economically secure. In fact, Vanessa is quite wealthy and lives an almost perfect life with her loving husband. Hoerl and Kelly believe that the post-nuclear family model presented in *Juno* limits the audiences' vision to "white, upper-income women's access to motherhood" and that the fictional plot in *Juno* does not apply to real-world situations. In real life, motherhood is complicated by issues of race and poverty, as some women might face challenges like lack of access to abortion and the financial burden of raising a child. Hoerl and Kelly argue that this film limits people's perspective to the

white and financially secure people presented in the movie, generalizing the problems of pregnancy and overlooking the real difficulties some mothers are facing. Other scholars corroborate these negative implications of *Juno* as a film which only presents white and financially-comfortable women. Literary scholar Pamela Thoma published an article called "Buying up baby" in 2009. In the article, she describes how *Juno* also falls in the "era of choice," in which "some women [white, middle class] were defined as having a legitimate relationship to babies and motherhood status, while others were defined as illegitimate consumers" (Thoma [9, 4]). Scholars perceive a limited view in *Juno* and relate these stereotypes to a historical context of discrimination.

There is also controversy among scholars about whether *Juno* is a pro-life or pro-choice movie. Scholarly articles cast doubt on *Juno*'s presentations of abortion. Although Jason Reitman, the director of *Juno*, has publicly claimed that *Juno* is intended to be "pro-choice," the prevailing opinion of the scholarly works about *Juno* criticized the absence of abortion in the movie and classified *Juno* as "pro-life." As Heather Latimer, an Assistant Professor of Gender and Women's Studies at the University of British Columbia, points out, "It is only after Su-Chin [a pro-life character in *Juno*] tells Juno that her 'baby probably has a beating heart', can 'feel pain', and 'has fingernails' that Juno changes her mind" (Latimer [5, 8]). After her visit to an abortion clinic, Juno makes up her mind to keep the baby. In Hoerl and Kelly's article, they argue that *Juno* presents the idea that "sex may not be shameful, but the decision to terminate a pregnancy is" (Hoerl and Kelly [4, 8]). They suggest that by depicting women in *Juno* committing to an unborn baby, *Juno* confirms the pro-life idea that a fetus is a child, thus contributing to the anti-abortion ideologies. Latimer's observation reiterates Hoerl and Kelly's argument regarding a split between "women and fetus." When Juno tells her parents about her pregnancy, one of the first reactions her stepmother has is to get prenatal vitamins for Juno. Juno herself



also keeps reassuring others that she is “eating right and taking care of the baby.” Details like these imply that Juno may not be as important as the fetus during this stage of her life. Thoma takes a similar approach to this issue and finds *Juno* an anti-abortion movie, believing that abortion is presented as a bad choice to the movie’s audiences. She argues that abortion is considered an “undesirable option from the past” in *Juno* and is therefore dismissed (Thoma [9, 9]).

Many analyses have been done Juno’s reinforcement of gender-role stereotypes, particularly in regards to Juno’s pregnancy experience and her relationship with her boyfriend, Bleeker. Though some traditional gender roles are challenged in the film, many scholars present ideas that support the reinforcement of certain gender role stereotypes in *Juno*. Gender Studies scholar Jessica L. Willis takes special note of the responsibilities taken on by Juno and Bleeker which show the fundamental family roles taken by different parents. She analyzes a specific scene in which Juno declines Bleeker’s offer to accompany her during the ultrasound. This “situates Bleeker as peripheral to the developing pregnancy and plans for selecting a future adoption family.” Willis suggests that the scene and the framing of the story “unfortunately impress the hegemonic cultural idea that repercussions for sexual exploration are infinitely different for boys and girls” (Willis [10, 12]). This idea aligns with Hoerl and Kelly’s discussion that “a belief in an inherent difference between men’s and women’s roles as parents” results in the slanted responsibilities to raise children based on sex differences. They observe that the men in *Juno* do not exemplify much “instinctual parenting skills,” thus are “not held to the same standard for child-rearing as women are” (Hoerl and Kelly [4, 16]). Indeed, neither Bleeker nor Loring participates in taking care of Juno or raising the adopted child; women take on the majority of this work.

*Juno*’s teenage-pregnancy plot also leads to a scholarly discussion of the current status of sex education. The specific references in *Juno* about what the teachers and adult characters say about sexual intercourse

sparks scholars’ interest in how *Juno* presents sex education to the audience. For Literary Studies scholar Juan Antonio Tarancón, the main purpose of *Juno* is to show “the confusion of a new generation of teenage boys and girls and the terms under which they are expected to work out their future relationships.” Tarancón believes that *Juno* itself acts as a good source for sex education for teenage audiences and “allows for a complexity that is hardly found in more dogmatic types of discourse.” Unlike some critics complaints that *Juno* is unrealistic and too limited for real-world situation, Tarancón offers a perspective in which *Juno* shines “precisely because it is a film and not a mirror image of the real” and, therefore, “provides audiences with a more profound awareness of the conflicting challenges faced by teenagers in contemporary society” (Tarancón [8, 6]). Media Studies scholar Kyra Clarke, however, analyzes the content of *Juno* and makes an argument that this film critiques sex education. Clarke notes that the current sex education approach emphasizes abstinence and regards any aberration as an irrational decision. In her article “Disrupting expectations of girlhood in *Juno*,” Clarke notes that Reitman presents “a counterpoint to the rational representations often found in sex education” through *Juno*, with a flashback Juno has about sex education (Clarke [1, 3]). As Clarke points out, *Juno* critiques sex education by showing how teachers provide demonstrations with bananas and avoid displaying images of teen bodies in the classroom.

In addition to the above issues, I’m adding to this literature review a discussion of the ways in which Juno breaks and contradicts stereotypes of teenage pregnancy. Juno, to a large extent, is an atypical character. With her lively personality, her love for punk rock and horror films, and her casual style of dressing, Juno jumps out of the middle class “good girl” stereotype and shows just the opposite of the passiveness seen in most girl characters: her active expression of sexual desire and her experience of teen pregnancy reject the traditional “subjective” and “sexless” stereotype imposed on girls (Willis [10, 3]). Jessica L. Wil-

lis describes her as a “vibrant” character and believes that she greatly challenges the existing idea that girls are sexless. At the start of the movie, her open and explicit description of her sexual desire challenges the subjectivity which the audience usually sees in girls as well as the traditional assumption that girls are supposed to be pure and sexless. Willis argues that Juno confronts the general public’s negative assumptions about teen pregnancy by exemplifying actions that “do not mirror the classic characterization of a girl who feels ashamed or worried about what other people will say as a result of her being pregnant.” Juno chooses not to let “individuals outside of herself” define her. Luttrell expands on the “good girl” and “wrong girl” model regarding teenage pregnancy in her article *Sports, Education and Society*. Luttrell explains the “dominant wrong girl perspective” as “a middle-class assumption about a proper life trajectory i.e. finish school, get a job, find a male partner, marry and have children.” Teen pregnancy, therefore, appears controversial to the audience because “‘good’ girls show their ‘worth’ by ‘waiting’ until marriage to have sex; and that ‘right’ families include a husband and wife with no need for government support or provisions” (Luttrell [6, 3]). This film, consequently, defies this perspective by showing an inspiring story of a pregnant teenage girl. Juno ultimately works out her romantic relationship and gained a better picture of herself as she moves on in life.

### Scene Analyses

Even after twelve years, *Juno* remains possibly the most influential film about teenage pregnancy with an IMDb score of 7.4 and 94% on Rotten Tomatoes. Searching with the keyword “teenage pregnancy movie” on Google, *Juno* still pops up at the top of the recommendation list on google. Why is this film still so prominent in the field of teenage pregnancy? I aim to assess the significance of *Juno* by answering the question: how does this movie both reinforce and challenge certain stereotypes in teenage pregnancy.

In the following paragraphs, I will do a detailed analysis of three individual scenes from the movie

*Juno* based on my own interpretation and other scholarly analyses. I will look into how this film addresses social stereotypes such as the “wrong girl” perspective, the “wrong family,” and the nuclear family model. My analysis aims to show that *Juno* realistically presents the stereotypes that society holds of teenage pregnancy and challenges those stereotypes through character’s candid conversations which break the expectations.

I will begin my analysis with the scene of Juno confessing her pregnancy. While *Juno* reinforces the “wrong girl” stereotype and reveals the negative social opinion on teen pregnancy through the reactions of Juno’s, Juno’s words at the end of the conversation nevertheless challenge this negative stereotype of pregnant teens. After Juno informs her boyfriend Bleeker about her pregnancy, she tries to tell her parents about it as well. The scene starts with her best friend sitting on the stairs at her house, biting her nails, while Juno walks around anxiously. Both her parents stare at her, worried, as her stepmother asks Juno if she has gotten expelled. Her father asks if Juno “needs a large amount of money or legal counsel,” or maybe “hit a person with a Previa.” Juno denies the possibility of both, and with the encouragement of her best friend, she finally confesses, “I’m pregnant.” She continues by explaining her plans to her stunned parents: “I’m going to give it up for adoption, and I already found the perfect couple, and they are going to pay for the medical expenses and everything. In what, thirty-odd weeks, we can just pretend that this never happened.” After Juno’s parents finally process the information, her father says: “But I thought you were the kind of girl who knew when to say when.” This part of the movie directly reflects on the long-held “wrong girl” perspective (Luttrell [6, 5]). Her father’s words “when to say when” indicate that he unconsciously believes that Juno should follow the usual “good girl” assumption: finish school, get a job, get married, and then have a baby. Her father had expected Juno to follow these middle-class guidelines and defined her as a “good girl.” After her father says this, he slightly shakes his head, showing his ap-

parent disappointment. This part of the film reiterates the “good girl, wrong girl” stereotype. However, Juno’s reaction towards her father’s words challenges the existing stereotype and offers insights into the pressure pregnant teenagers face. In the film, Juno looks down with “a rare moment of shame” (Clarke [1, 7]). She then looks into her father’s eyes and replies: “I don’t really know what kind of girl I am.” Her words challenge the way people define a girl as “good” or “bad” and tells the audience that it is impossible to judge a girl just based on her pregnancy. She also displays confusion towards people’s negative judgments of her that many pregnant teenagers have to confront. She did not get expelled or harm anyone in a car crash. In fact, she can still complete school and her pregnancy causes no harm to other people. Yet, after the conversation, her stepmother describes this as a “garbage dump of a situation” and her father agrees when her step-mother confesses: “But I was hoping she was expelled or into hard drugs.” Her father adds on and says: “Or DWI, anything but this.” This conversation between her parents sheds light on the negative way society views teenage pregnancy and displays the traditional prejudice against teenage pregnancy. In reality, pregnancy does the least of harm among all the guesses of Juno’s parents, yet they wish it was anything but pregnancy.

The next scene expands the stereotypes reflected in the previous scene and emphasizes the social prejudices towards teenage and single mothers. According to Lauster and Easterbook’s work, single mothers were 25% less likely to receive a positive response than heterosexual couples in metropolitan areas (Lauster and Easterbook [11]). As the ultrasound technician shows Juno, her stepmother, and her best friend the baby’s hand, arm, feet, and head, they gasp with amazement at the sight. This scene starts with a warm and joyful atmosphere of seeing the baby. Juno laughs at her stepmother for being so emotional. When the ultrasound technician asks if Juno wishes to know the sex of the baby, Juno declines despite the excitement from her best friend to know. She claims that she wants Vanessa and Mark to

“be surprised.” After Juno explains to the ultrasound technician that Vanessa and Mark are the adoptive parents and not her friends at school, the ultrasound technician blurts out, “Oh, well, thank goodness for that.” The air seems to freeze as everyone in the room remains silent for several seconds, staring at the ultrasound technician. Juno’s stepmother looks directly at the ultrasound technician and asks: “What’s that supposed to mean?” The ultrasound technician responds awkwardly, “I just see a lot of teenage mothers come through here, and it’s obviously a poisonous environment to raise a baby.” This scene in *Juno* directly points to the prejudices and stereotypes society impose on teenage mothers. The general public often assumes that teenage mothers are irresponsible for being pregnant at the wrong time and not following the traditional “good girl” perspective. According to Luttrell, the “wrong-family” perspective propose that pregnant teens should be stigmatized. In Luttrell’s article, she describes that this middle-class point of view and stereotypes on teen pregnancy can be traced back to the 1950s and 1960s. Many pregnant girls were stigmatized and “forced” to give up their babies in order to redeem “social respectability and self-regard” (Luttrell [11, 6]). The words of this ultrasound technician reflect the long-held negative opinions towards teen mothers and the assumption that pregnant girls are often irresponsible because they deviate from the “middle-class route” – getting married and then having a baby. After hearing what the ultrasound technician has said, Juno protests the technician’s apparently prejudiced view. Her stepmother challenges the technician furiously: “(The adoptive parents) could be utterly negligent. Maybe they will do a far shittier job of raising a kid than my dumbass stepdaughter ever would. Have you ever considered that?” While *Juno* displays the “irresponsible” stereotype people put on teenage mothers through the character of the ultrasound technician, the film knocks this perspective down in the same scene via Juno’s stepmother’s words. This scene conveys a message to the audience that asks them to reconsider their opinions on teen-



age mothers and to dissolve the possible prejudices people hold against pregnant teens.

The last scene I present aims to prove that *Juno* challenges the nuclear family model and speaks up for the single mothers raising their children alone. The nuclear family model consists of a family with two parents and their children instead of families with a single parent or multiple parents. I argue in this scene analysis that this film debunks the nuclear family model as inherently superior. I will be analyzing one of the final scenes of the movie which challenges this stereotype that society holds against women. After Juno gives birth to the baby, the director shows a scene of Vanessa holding the new-born child and looking at him with great affection. She is sitting alone in the yellow-painted nursery room in her house. In the center of the wall facing the bed hang not the first family photo Vanessa originally intended to have but the note from Juno which says: "Vanessa, if you're still in, I'm still in. -Juno". The audience learns that Mark left the house after saying that he wanted a divorce because he was not ready for the baby. Mark and Vanessa were the perfect example of a nuclear family. But this ending scene displays Vanessa raising the baby as a single mom. However, the audience is not likely going to have any concern about this situation because of Vanessa's sense of responsibility and love for children shown throughout the movie. Through this scene, *Juno* conveys the message that what matters is not whether both parents are raising the child, but that the person raising the child is responsible. This ending directly challenges the nuclear family perspective by showing that Vanessa, a single mom, can absolutely

raise the child alone. The director creates this ending for Vanessa and Mark Loring to challenge the assumed importance of having both parents present. The director shows this tender interaction between Vanessa and the baby to praise both Juno's courage to give birth to the baby as a teen and Vanessa's courage to raise the baby as a single mother.

### Concluding Remarks

Twelve years since *Juno* was first released, this film still remains at the top of the Google Search list for the keyword "teenage pregnancy movie." My answer to the question of why *Juno* stays prominent after twelve years is that conditions have not changed much since 2007. After doing a detailed analysis of this film and looking at the stereotypes presented in it, I have realized that many of the issues addressed still apply in today's world. Women in 2019 can relate to the representation of stereotypes of gender roles, pregnant teens, teen motherhood presented in *Juno*. Hotly debated issues revolving around slut-shaming, "Me too" movements, and consent reflect the gender equity problems in present-day society. Although awareness has been raised, these issues are not yet solved. *Juno* addresses these problems in the plot, reinforces them through other character's judgments of Juno, utilizes the main character's behaviors to challenge the stereotypes and ultimately calls attention to the need to change the current situation. I hope *Juno* will inspire future films to look into the issue of teenage pregnancy and to tell a story that is not merely about drama but analyzes the impact of pregnancy on girls with the goal of informing and educating their audience.

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## Section 2. Study of art

<https://doi.org/10.29013/EJHSS-19-6-11-17>

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### **MUSICAL AND PERFORMING ART IN THE LIGHT OF THE AUTHOROLOGICAL APPROACH: TO THE PROBLEM OF THE ARTISTIC (SECONDARY) AUTHOR IN MUSIC**

**Abstract.** The article discusses the author's appointment of the personality of a musician-performer. In the light of the theory of M. Bakhtin, the role of the performer as the actual author of a musical work is determined, the characteristics of the secondary artistic author in music are specified.

**Keywords:** primary author, artistic author, musical-performing arts, actual author in music, lyrical intonation.

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### **МУЗЫКАЛЬНО-ИСПОЛНИТЕЛЬСКОЕ ТВОРЧЕСТВО В СВЕТЕ АВТОРОЛОГИЧЕСКОГО ПОДХОДА: К ПРОБЛЕМЕ ХУДОЖЕСТВЕННОГО (ВТОРИЧНОГО) АВТОРА В МУЗЫКЕ**

**Аннотация.** В статье рассматривается авторское назначение личности музыканта-исполнителя. В свете теории М. Бахтина определяется роль исполнителя как актуального автора музыкального произведения, уточняются характеристики вторичного художественного автора в музыке.

**Ключевые слова:** первичный автор, художественный автор, музыкально-исполнительское творчество актуальный автор в музыке, лирическое интонирование.

Проблема авторства является ведущей не только в сфере композиторского творчества. Собственными авторскими показателями обладает музыкальное исполнительство, особенно когда

определяются его имманентные интерпретативные качества. Поэтому теория автора может распространяться и на музыкально-исполнительское творчество.

Обращаясь к научной поэтике М. Бахтина, отметим, что **первичным автором** является субъект творческой активности, как особая творящая и создающая сила. Для его описания Бахтин использовал категорию «внезаходимости» или «трансгredientности». Ученый считал, что художник занимает позицию «вне содержания» постольку, поскольку он обеспечивает единство содержания, оформляет и объединяет событие извне [1].

Первичный автор (он же автор-творец) занимает центральное место в бахтинской системе авторства. Автор-творец является опосредованным выражением автора биографического. Это – специфический разворот творящей личности, сущность которой выявляется в её творческой активности. Биографические факты и личностные свойства, составляющие суть автора биографического, сохраняются, но в данной ситуации оттесняются на периферию личности. Их затмевают художественные концепции, замыслы, идеи и т.д. – категории, характеризующие именно творца [7, 17–23].

М. Бахтин утверждал: «художник не вмешивается в событие как непосредственный участник его...: он занимает существенную позицию вне события, как созерцатель, незаинтересованный, но понимающий ценностный смысл совершающегося...» [1, 33, 58–59, 64]. Мысль о том, что художник занимает позицию вне события и содержания, приводит к выводу о том, что автор-творец получает возможность «извне объединять, оформлять и завершать событие». Он является важной фигурой, определяющей содержательную основу произведения, обеспечивает его единство – «единство не предмета и не события, а единство обымания, охватывания предмета и события» [1, 33, 58–59, 64]. В вышеизложенных высказываниях обозначены два момента эстетической деятельности. «Обымание» превращает фрагмент жизни в материал для художественного произведения, реализует его в виде конкретной формы. Активность осмысления, направленная на мир и охватывающая его, через форму воздействует на

слушателя. «Обымая» мир, автор оформляет его, и этот оформленный мир становится средством коммуникации между автором и слушателем [10]. Именно через форму выявляет себя активность первичного автора – автора-творца.

Единый автор имеет разные функции, поэтому биографический и автор-творец отделяются друг от друга. Есть множество свидетельств о том, что в период творческой работы мысли и идеи приходят к творцу помимо его воли, как голос извне. Доказательством этому могут служить признания великих деятелей искусства, среди которых множество композиторов – В. А. Моцарт, Р. Шуман, Ш. Гуно, Р. Вагнер, П. И. Чайковский, А. Н. Скрябин. Музыкальные образы приходили композиторам во сне, во время прогулки или работы. Иногда процесс творчества воспринимался композиторами как «раздвоение личности» – своеобразное душевное состояние художника в моменты творческого подъема. Оно характеризуется тем, что произведение его фантазии представляется ему как бы чужим, продиктованным свыше каким-то существом высшего порядка (для каждого художника – своим, в зависимости от их верований и миропонимания) – против воли и без ведома участия самого художника [6, 71]. Осознавая это раздвоение, художник как бы отрекается от своего авторства, приписывает свои произведения внушению неведомой силы, избравшей его орудием своей воли.

Одним из отличий биографического и автора-творца является та ситуация, те условия, в которых художник творит. Как правило, они отличны от тех, в которых обитает «обыватель». Из свидетельств многих композиторов можно утверждать, что для творческой деятельности они должны были «поместить» себя в определённые условия – либо в изолирование от людей, либо в какое-то своеобразное состояние. То есть, так или иначе, творцы сами сознательно отделяют себя как человека от себя – творца, чувствуя в себе иные познавательные качества в творческом акте.



Можно подвести итог сказанному о первичном авторе следующим образом: автор-творец является не столько реальным человеком, сколько творческим началом личности, которое занимает двойственное положение, обусловленное разнонаправленными отношениями к автору биографическому и собственному произведению. Это творец, генератор художественных ценностей, обладающий собственным стилем. Если биографический автор познается нами в результате изучения архивных документов, мемуаров и эпистолярного наследия, то автор-творец – в результате изучения его творчества.

Обращенный к своему творению, автор-творец, по мнению М. Бахтина, является драматургом. Своё мировоззрение, эстетическую и этическую позиции он воплощает в своем творчестве.

**Вторичный автор** является третьей ипостасью автора, которая, в свою очередь, является иерархически организованным понятием. Вершину этой иерархии образует авторская позиция, воплощенная в сюжетно-композиционной, пространственно-временной и жанровой структуре текста. В основании лежит форма повествования от автора. Между ними находится голос автора, идеологическое значение авторского слова, которое обладает собственным композиционным центром.

Иными словами, вторичный автор – это изображение образа автора в художественном произведении. Композитор из субъекта (биографического и автора-творца) превращается в объект «изображения», оказываясь в пространстве художественного произведения. Из этого можно вывести еще одну номинацию – **автор художественный**. Его можно определить как отражение в музыкальном произведении личности композитора, организующей художественное целое [7, 23]. Вторичный автор включается в систему художественного произведения, подчиняясь законам его существования и функционирования.

Следуя суждению М. Бахтина: «Автор произведения присутствует только в целом произве-

дения и его нет ни в одном выделенном моменте этого целого, менее же всего в оторванном от целого содержания его» – можно прийти к выводу, что автора нельзя «найти» в каком-то одном конкретном фрагменте, выделенном из целого. Первичный автор «облекается в молчание» [3, 353], любой звучащий в произведении голос не является выражением авторской точки зрения, так как голосом самого автора становится целое произведение. Позже Бахтин заметит, что это молчание может принимать различные формы выражения. Из этой установки следует, что автор присутствует в структуре целого произведения, но это не значит, что его присутствие равномерно. В музыкальном произведении выделяются моменты разной смысловой значимости; присутствие автора «только в целом произведении» совсем не исключает разной степени воплощенности автора в том или ином моменте произведения. Эта неравномерность авторского присутствия в различных моментах целого является одним из важнейших условий *музыкально-исполнительского понимания и интерпретации* [10].

Для более полного понимания роли и места вторичного автора, стоит обратить внимание на позицию музыковеда Г. Виноградова: «Под «образом автора» в музыке следует понимать интонационно-структурное единство индивидуально-выразительных приемов-знаков того или иного композитора, которые закрепились как моделирующая проекция творческой личности творца в определенном произведении или группе произведений» [5]. И далее: «Индивидуальный композиторский стиль – это концепция «образа автора», которая отражена в произведении как интонационно-структурное постоянство, в виде единства более или менее систематизированного набора разных способов воплощения идейно-художественного замысла». Иными словами – поскольку мы имеем дело с вошедшей в художественный текст отдельной творческой индивидуальностью, «поиск» её будет состоять в анализе индивидуального композиторского стиля, для

исполнителей – в воспроизведении стилевых установок вторичного художественного автора.

Стиль играет необычайно важную роль в художественной актуализации творца. Можно согласиться с утверждением В. Медушевского о том, что стиль «представляет собой принципиально целостную модель восприятия эпохи, живой портрет человеческой личности» [9, 35]. Нужно оценивать и степень показательности стилевых черт для отдельного художника. Таковыми можно назвать стили Л. Бетховена, П. Чайковского, Д. Шостаковича, С. Прокофьева и др. Но всё же образ автора – понятие из области содержания произведения, и, конечно, не может быть полностью тождественно стилю: оно может быть и более конкретизированным, и более широким. Более общим и «третичным» по выразительным задачам становится музыкант-исполнитель, как **автор актуальный, непосредственно-звучащий**.

Образ автора создаётся наряду с другими образами. Следовательно, ему присущи все особенности художественного образа, он живёт по эстетическим законам и становится равноправным элементом образной системы. Он существует в художественном целом наряду с другими героями (но автор является образом особого рода), в диалогах с ними, и не исчерпывает авторского присутствия – авторская активность проявляется на уровне художественного целого.

Подобно другим образам, образ автора подвержен авторской воле, и автор имеет возможность смоделировать в художественном произведении свой образ таким, каким посчитает нужным, и постоянно этим пользуется, особенно при автопортретировании [7, С. 26]. Нужно учитывать, что не каждый автор хочет «показывать» своё лицо в произведении. Кто-то намеренно хочет изобразить себя в произведении, а кто-то, наоборот, прячет свой лик.

Воплощение образа автора в музыке отличается от такового в других видах искусства. Это объясняется тем, что музыкальный образ не имеет

высокой степени понятийной и предметной конкретности. Он характеризуется большей условностью и меньшей очевидностью. Причина такой условности и «неочевидности» образа автора в музыке заключена, прежде всего, в знаково-когнитивных свойствах и выразительных возможностях музыки. В отличие от других видов искусства, в музыке изобразить портрет конкретного персонажа достаточно сложно. Композитору, как и исполнителю и слушателю, придётся довольствоваться воплощением более общих человеческих свойств, а это, как известно, заведомо несёт в себе высокую степень обобщения. Именно поэтому образ автора в музыке становится менее уловимым и понятным [7, 27].

В подтверждение сказанному следует процитировать высказывание М. Бахтина: «Автора мы находим (воспринимаем, понимаем, ощущаем, чувствуем) во всяком произведении искусства. Например, в живописном произведении мы всегда чувствуем автора его (художника), но мы никогда не видим его так, как видим изображенные им образы. Мы чувствуем его во всем как чистое изображающее начало (изображающий субъект), а не как изображенный (видимый) образ» [3, 303–304]. В отличие от персонажа литературного произведения, «ему не присуща ни пластическая оформленность, ни характерологическая завершенность» – пишет Н. Бонецкая [4, С. 257]. Так и в музыкальном произведении: мы слышим не «голос» автора, а созданные им речевые конструкции. В то же время мы слышим исполнителя как живую конкретную личность, которая становится на время звучания произведения **главным репрезентантом** его содержания, его **завершающим и окончательным автором**, во всем объеме конкретных личностных свойств.

Все четыре ипостаси образа автора в музыке – биографический автор, автор-творец (первичный автор) и автор художественный (вторичный автор) и автор-исполнитель (третичный) находятся в постоянной взаимосвязи.

Сущность образа автора-исполнителя обуславливает его важную роль в бытии художественного, в частности – музыкального произведения. Ведь музыкальное произведение не ограничивается только записанным нотным текстом – для своего существования оно требует исполнения и восприятия, то есть коммуникативной ситуации. Концентрируя авторское начало, которое вместе с воплощением передаётся исполнителю и слушателю, образ автора становится одним из синергичных феноменов в процессе коммуникации, как со-общения личностных сознаний.

Личность каждого из названных авторов проникает глубоко в художественное произведение, влияет на его образный строй. Рассмотрим один аспект «проекции» творческой личности в сферу музыкального содержания, уточняя, какие именно стороны автора биографического и автора-творца запечатлеваются в авторе художественном (в том числе, актуально-исполнительском).

Художественный автор – это комплекс устойчивых свойств личности автора, подчиненных творческим задачам [7, 32]. Чтобы то или иное музыкальное свойство ассоциировалось именно с идеей авторства, необходимы определенные условия. Отсюда закономерное желание распознавать музыку, несущую на себе печать авторства и, следовательно, отличать ее от другой, лишенной столь явного авторского «присутствия». Если в литературе образ автора воплощается с помощью лексических, синтаксических и интонационных средств; в живописи – в связи с традицией автопортрета, то, естественно, в музыке должны быть свои законы авторского изображения. Логично предположить, что вторичный автор будет воплощаться в музыке в ключевых компонентах музыкального целого, а именно – в тематизме, композиции, жанре и стиле [7, 52].

Художественный автор выражается в музыке, прежде всего, в связи с использованием определенных *тематических средств*. Таковыми могут быть темы-монограммы, тематические цитаты и лирические темы.

*Темы-монограммы* имеют свойство указывать на конкретного субъекта, обладают особыми тематическими элементами, которые ассоциируются с определённым человеком, скорее всего, с автором [7, 53]. Достаточно вспомнить известные монограммы – ВАСН в «Искусстве фуги» И. С. Баха, DСН в Десятой симфонии Д. Шостаковича, АСН в «Карнавале» Р. Шумана. Несомненно, тема-монограмма не может нести в себе серьёзную информацию об авторе, но она указывает на его присутствие и на желание вывести своё «Я» на «сцену» музыкального произведения.

Прочные ассоциации с автором вызывает использование *цитат* из ранее написанных им произведений или же *заимствование* чужого музыкального материала. Цитаты ранее написанных композитором произведений – автоцитаты – являются некими своеобразными «ссылками» на первоисточник. В таком случае, следует искать причину введения этой цитаты именно этого конкретного произведения, и проследить, какое новое качество вносит этот материал в создаваемый.

Относительно заимствования, следует привести цитату Н. Бонецкой: «Явление автора происходит через отображение в неавторском» [2]. Примечательным в характеристике образа художественного автора в данном случае будет то, каким образом он обращается с заимствованным материалом – меняет ли что-то, если да, то, что именно; как воплощает и развивает «чужой» материал, как «входит» в тему. Изменения могут быть абсолютно различными, касаться разных аспектов музыкальной мысли, но все они должны учитываться в процессе исполнения, становятся путеводными знаками для музыканта-исполнителя.

И в случае с цитированием, и в случае с заимствованием, можно утверждать, что в этих моментах «рука» автора чувствуется достаточно основательно, так как в общую ткань музыкального произведения «входит» новый, создающий сложные символические связи, материал.



Распознать авторское начало можно и в *лирическом типе интонирования*. Как известно, лирический тип воплощения материала является наиболее субъективно-«очеловеченным». При отсутствии, выраженность личностного сознания в музыке обнаруживается, прежде всего, через интонацию, ассоциируемую с человеком, – кантиленную, речитативную или кантиленно-речитативную. Таковым может быть, например, одноголосное проведение темы в среднем регистре, как регистре человеческого голоса. Здесь срабатывает закон, сформулированный М. Бахтиным: «В лирике автор наиболее формалистичен, то есть растворяется во внешней звучащей и внутренней живописно-скульптурной и ритмической форме, отсюда кажется, что его нет, что он сливается с героем, или, наоборот, нет героя, а только автор» [2, 13]. Вот почему теплые, искренние, выразительные интонации, оформленные в краткое высказывание или пространный «рассказ», вызывают прямые ассоциации с повествованием «от первого лица». Блестящее владение средствами синтеза декламации и мелодизма, повествовательного развертывания темы, динамически и темброво «приглушенного» камерного произнесения монолога обнаруживают «лирические исповеди» Ф. Шопена, П. Чайковского и С. Рахманинова.

Отличительной чертой лирических тем, становящихся темами-воплощениями художественного автора, является монологичность, сосредоточенность на одном психологическом состоянии, вариантность и импровизационность [7, С. 57]. Помимо монологичных, воплощение образа автора возможно и в диалогичных темах, где автор будет «вести разговор» с самим собой, со своим внутренним голосом.

Способы воплощения художественного автора в музыкально-тематической сфере достаточно обширны. Однако не стоит воспринимать каждый из них как безоговорочное воплощение образа автора. Данные средства нужно рассматривать

лишь в контексте композиционного решения всего музыкального произведения.

Композиционные решения изображения образа автора возможны в двух основных вариантах: локализации и рассредоточения. При локализации автор облечен в конкретное отчетливое речевое построение. Например, в литературе таким способом образ автора воплощается с помощью введения авторского повествования, комментария или лирического отступления. Аналогичные моменты можно найти и в музыкальном произведении. Но всё же, значительно чаще в музыке автор художественный не локализуется в каком-то отдельном построении, а распространяется на весь опус. Охватить все произведение авторское начало может только тогда, когда выходит *идейно-концепционный и языковой уровни произведения в их содержательном единстве* [7, 65.]

Для выражения образа автора немаловажен и *жанровый аспект* музыкального произведения, заключающийся в принадлежности последнего к определенной жанровой целостности, равно как и в жанровом генезисе тематизма. Каждый жанр обладает своими знаковыми свойствами, среди которых своё место занимает и степень выявленности образа автора. Одни жанры несут в себе субъективное начало (фантазия, ноктюрн, элегия, романс, прелюдия, нек. др.), другие – более объективированные, обобщественные (кантата, концерт, соната, оратория, симфония и т. д.). Хотя стоит отметить, что в ходе эволюции многие жанры меняют свой образно-содержательный вектор. Жанр в музыке является своеобразной лабораторией семантических свойств. В его художественном механизме сохраняются некоторые генетические черты, но контекстные условия способствуют их видоизменению. Не последняя роль при этом отводится музыкально-тематическому материалу, который можно рассматривать как средство создания образно-художественной антитезы «объективное – субъективное», «коллективное – индивидуальное», «общезначимое – значимое для меня» [7, 70].



Как и жанровая, *стилевая система* занимает значительное место в анализе феномена художественного автора. Запечатление образа автора в стиле – качество исторически преходящее, изменчивое, способное стать типологизирующим, отграничивающим одну стилевую систему от другой. Характеристика авторского присутствия будет состоять из комплексного значения нескольких позиций, как, например: стиль эпохи, стиль национальной культуры, стиль самого композитора.

Таким образом, средства выражения вторичного (художественного) автора в музыке, включая и его третичную исполнительскую ипостась, необычайно многообразны. Посредством анализа основных составляющих музыкального целого можно обнаружить множество ракурсов претворения сознания творческой личности в форме и содержании музыкального произведения.

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<https://doi.org/10.29013/EJHSS-19-6-18-23>

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## COMPOSITIONAL AND STYLISTIC FEATURES OF SYMPHONIC THEMATISM IN THE P. TCHAIKOVSKY'S WORKS

**Abstract.** The article considers the leading features of P. Tchaikovsky's style as a prerequisite for the compositional and stylistic properties of symphonic thematism. The interaction of opera and orchestral themes in the work of Tchaikovsky is revealed. The role of melodic thematism in the composition of the symphony is determined.

**Keywords:** style, symphonic theme, opera melos, compositional and stylistic properties, melodic theme.

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## КОМПОЗИЦИОННО-СТИЛИСТИЧЕСКИЕ ОСОБЕННОСТИ СИМФОНИЧЕСКОГО ТЕМАТИЗМА В ТВОРЧЕСТВЕ П. ЧАЙКОВСКОГО

**Аннотация.** В статье рассматриваются ведущие черты стиля П. Чайковского как предпосылка композиционных и стилистических свойств симфонического тематизма. Обнаруживается взаимодействие оперного и оркестрового тематизма в творчестве Чайковского. Определяется роль мелодийного тематизма в композиции симфонии.

**Ключевые слова:** стиль, симфонический тематизм, оперный мелос, композиционно-стилистические свойства, мелодийная тема.

Важнейшая черта симфонической музыки Чайковского – взаимодействие ее с оперным жанром на уровне стилистической обусловленности мелоса. Благодаря этому симфонический тематизм приобретает черты сюжетного развития, способность воспроизводить образные конфликты. Воздействие приемов оперной драматургии на симфоническую композицию особенно заметно в кульминационных моментах драматическо-

го и трагедийного характера. Такими являются кульминации первых частей четвертой и шестой симфоний, с этими эстетическими тенденциями связано внедрение темы рока в медленную часть пятой симфонии. Влияние оперной поэтики на композицию симфонии выявляется в характере мелодического тематизма и особенностях его развития. Оно четко обозначилось в тематизме лирического типа с широким мелодическим

развертыванием и, одновременно, в интонациях декламационного типа, близких речевой выразительности оперного речитатива. Общая черта мелодического содержания оперный и симфонических произведений Чайковского – их опора на интонационный строй словесно-поэтической речи, одновременно, открытие новых музыкально-мелодийных сторон этой речи.

Сходство симфонического содержания оперных и циклических оркестровых произведений Чайковского во многом обусловлено тем, что они запечатлевают единый образ автора, приобретают автобиографические черты. В первую очередь причины композиционного параллелизма содержатся в образном назначении музыки, в авторском обобщении стилистических средств, в особой семантической направленности ее речевых ресурсов.

Рассматривая материал циклических симфоний и некоторых симфонических увертюр П. Чайковского, в первую очередь охарактеризуем выбор тематического материала. Как известно, зашифрованных в звуках тем-монограмм в творчестве Чайковского нет, но большое значение он придает заимствованию чужого музыкального материала. Заимствование становится одним из ведущих компонентов интертекстуального метода сочинения. Интертекстуальный подход к рассмотрению наследия Чайковского дает ключ к осознанию логики и принципов организации его стилиевой системы в контексте стилиевых особенностей эпохи и национальной композиторской школы. Основная задача интертекстуального анализа в связи с этим – выявление возможных первоисточников музыкальных произведений – прото-текстов, необходимое для углубления понимания их структурно-содержательного плана.

Специфика включения чужого текста в музыку может быть рассмотрена в трех семиологических аспектах: синтаксическом, семантическом и прагматическом. С позиции синтактики, изучающей внутренние свойства системы знаков относительно к их интерпретации, обособляются

следующие моменты: принципы структурной организации интекста; механизмы ввода интекста в ткань авторского замысла в качестве синтаксической или лексической единицы текста; степень точности воспроизведения чужого текста; зависимость выразительных особенностей музыкального интекста от его масштабов и местоположения в структуре произведения.

Семантический подход к «инородным» включениям позволяет осветить роль интекста в смысловой полифонии музыкального произведения, рассмотреть семантику интекста в его связи (породненности или оппозиции) с контекстами текста-источника (прототекста) и текста-результата, в том числе соотношение между знаками и их интерпретациями в музыкальном произведении.

Прагматический аспект исследования музыкального текста также немаловажен, так как позволяет затронуть проблему восприятия интекста в ткани музыкального произведения его потенциальными слушателями; вопросы его участия в коммуникативном акте. Изучение особенностей творческого мышления предопределяет включение интекста в комплекс синтаксических и семантических средств музыкального творчества, его согласование с позициями интерпретации, взаимодействия адресата и адресанта в композиционном материале.

В процессе рассмотрения симфонических произведений П. Чайковского с целью выявления принципов интертекстуальности как методически значимых, актуальным становится вопрос о работе композитора с музыкально-тематическими заимствованиями как способе достижения национальной специфики музыкального изложения [4].

П. Чайковский неоднократно использовал в своих симфонических произведениях темы народных песен, потому важно определить, какой материал заимствован, что в нём изменено и в каком контексте данный материал используется.

Одним из ярчайших примеров использования Чайковским народной темы в симфонии является финал Четвертой симфонии, написанный на

тему русской народной песни «Во поле береза стояла». Она была напечатана еще в XVIII веке, в сборнике Львова-Прача, и была знакома композитору с детства. Чайковский взял более простой вариант мелодии, несколько отличающийся от варианта Львова. Песня «Во поле береза» принадлежит к разряду хороводных игровых песен, но благодаря быстрому темпу ее нередко считают плясовой песней. Как это иногда происходит в русской народной музыке, в этой песне сочетаются два противоположных начала: задумчивая печаль и энергичность. В качестве типичного образца русской народной песни эта мелодия, безусловно, могла привлечь Чайковского. Но, кроме того, есть еще одно обстоятельство, возможно повлиявшее на композитора, на что и указывает Ю. Кремлев [2] – отдаленное интонационное сходство народной мелодии с его собственным лирическим тематизмом (нисходящее движение двух первых мотивов от V ступени к тонике и замыкающее его волнообразное движение в двух последующих мотивах, интонации «вздохов»). Энергичная ударная ритмика плясовой песни также могла привлечь композитора возможностью драматизации образного содержания. Таковым является первичный материал или прототекст.

Процесс внутреннего изменения образа композитором, его авторизация и драматизации, выявляются в вариационных циклах на тему песни. Впервые тема появляется у деревянных духовых, непосредственно после проведения первой темы финала. Чайковский изложил тему песни в размере  $4/4$  (хотя во всех записях она фигурирует как напев на  $2/4$ ) с группировкой по три такта. Это изменение размера позволило ему внести чрезвычайно характерный штрих: вместо шести четвертей в трех тактах размером  $2/4$  используются восемь четвертей в двух тактах  $4/4$ , а «лишние» две четверти приходятся на паузирование в мелодии и вихревой пассажный мотив в партии струнных.

Изменение, внесенное в народную тему, придает ей энергичный, и внутренне напряженный

характер. Композитор то приближается к мелодическому оригиналу, то свободно отходит от него. Не все современники поняли сразу роль, которую играет разработка народной темы в драматургии финала. Сравнивая финал Четвертой симфонии со знаменитыми вариациями на песню «Журавель» во Второй симфонии, С. Танеев отдал предпочтение более раннему сочинению. Вариации финала Четвертой показали ему малозначительными и малоинтересными в смысле колорита [5, С. 32]. Эта ошибка в восприятии произошла оттого, что, не вникнув сразу в содержание симфонии, Танеев хотел видеть в вариациях на народную тему блестящую оркестрово-колоритную разработку. Но задача Чайковского лежала не в колоритном изображении народной мелодии, а в постепенном превращении ее в драматический образ. Четыре вариации экспозиционного цикла показывают процесс постепенного усиления стихийного начала от первой («гобойной») вариации до четвертой (в которой тему играют тромбоны под неистовый «разгул» бурных пассажей струнных и деревянных). Пятая вариация вносит контраст. Это изящная скерцозная обработка темы с контрапунктами струнных, играющих стаккато. После блеснувшего на миг светлого момента, тревожно звучат отдельные интонации песни, переходящие из голоса в голос. Это уже не варьирование, а разработка. Композитором используется и каноническая имитация и увеличение первого мотива, и изменение его ритмики, резкие возгласы валторн и т.п.

Однако напряженное нагнетание драматизма не приводит еще к кульминации, а снимается бурными пассажами; они готовят репризу темы-рефрена. Но внутреннее изменение образа скоро проявляется: после торжествующего мощного проведения tutti темы-рефрена наступает новая стадия развития темы песни – реприза вариационного цикла. Она в какой-то мере подготовлена драматическим изменением заключительного построения темы-рефрена и выступает как его



результат. Музыка совершенно меняется по характеру и настроению: исчезают энергия и сила. В выразительном тембре скрипок возникает надломленный, печально элегический вариант темы «Березы». Мелодия нисходит от терции ре минора к VI ступени и застывает вопросом на IV высокой. Она теперь похожа не столько на народную песню, сколько на будущую тему арии «Что день грядущий мне готовит?» из оперы «Евгений Онегин» (которая, кстати, писалась параллельно симфонии). Вопросительно-грустные интонации мелодии, идущей почти без сопровождения (лишь в момент продленных звуков мерно звучат аккорды), придают индивидуализированный оттенок образу. В третьей вариации наступает просветление, словно луч надежды мелькнул в душе человека. Но также, как и в первом вариационном цикле, после скерцозной вариации наступила драматическая разработка, за этой светлой мажорной вариацией следует еще более драматичный этап развития инструментальной драмы.

Тема «Березы» перерождается в характерный для Чайковского мотив обреченности (III – II – I). Этот мотив передается из регистра в регистр, от одной группы к другой. Гармонизация подчеркивает трагическую направленность развития. Мотив «Березы» звучит грозно, фатально. Чувствуется, что развитие ведет к генеральной кульминации драмы. И в момент её наступления звучит грозная тема судьбы [1, с. 481–483].

Можно установить, что композитор предпринял детальную разработку заимствованной темы, начиная от чисто музыкальных средств и заканчивая её образным содержанием. В результате развития «облик» темы неоднократно преобразился: от напряженного, скерцозного к элегичному, драматичному и фатальному. В финале тема «Березы» сыграла важную драматургическую роль – она была олицетворением коллективного начала – образа народа, народного веселья, которое противостояло личностному, страданиям одного человека. Таким образом, путем обработки

заимствованного материала проявляет себя образ автора – через введение лирико-драматического накала и напряжения в первоначальный образ.

В финале Четвертой симфонии показана тема, особенно волновавшая композитора в момент работы над симфонией: тема человеческого горя. Возможно, Чайковский острее, чем когда-либо, ощутил важность основ человеческой жизни в ее целом, той жизни, которая идет своим чередом, уверенно преодолевая горе и смерть. Страдания одного человека – лишь один эпизод в общей поступательной человеческой социальной истории [2, С. 180]. Отсюда и позитивное обобществленное звучание финальных страниц симфонии.

С точки зрения синтактики, используя прототекст (мелодию народной песни) в качестве одного из доминирующих образов, композитор, неоднократно видоизменяя его как в музыкальном, так и в драматургическом отношении создает яркую картину финала. Семантическая функция темы обусловлена задачей воспроизведения образа народа, в единстве с которым герой симфонии должен был найти, такое желанное для себя, счастье. Прагматический аспект анализа затрагивает вопрос восприятия данного музыкального материала как интекста в ткани музыкального произведения; можно утверждать, что включение заимствованной темы в композицию симфонии оправдано общей концепцией произведения и интонационной близостью темы народной песни музыкальному языку самого композитора.

Также довольно известными заимствованиями народных песен являются финал Второй симфонии, в котором используется тема украинской народной песни «Журавель»; финал Первой симфонии, включающий тему «Посею ли я млада»; финал Первого концерта для фортепиано с оркестром, привлекающий тему «Вийди, вийди, Іванку».

Действенными тематическими средствами, с помощью которых можно П. Чайковский реализует авторское понимание природы жанра, является воспроизведение им материала ранее

написанных произведений В своих симфонических произведениях, как известно, П. Чайковский не цитировал собственных тем. Но, несомненно, есть ряд узнаваемых интонаций а, которые появляются практически в каждом его произведении и относятся к *общим выразительным средствам лирики Чайковского*.

Лирическое начало является наиболее субъективным. Самое своеобразное и впечатляющее в интонационном языке Чайковского принадлежит лирике, причем достаточно широко понимаемой. Лирическая сфера симфонической музыки Чайковского транслирует свои способы выражения в другие эстетические и жанровые области. Средства драматизации музыкального содержания также в значительной степени коренятся в средствах напряженной лирики. И, конечно же, наиболее ярким воплощением характерных лирических языковых средств становится особый тип мелодики.

Сам Чайковский говорил, что «*мелодия – это душа музыки*». Опираясь на русский городской романс, представляющий эмоционально-открытый тип русской лирики и впитавший в себя общие свойства русской народной песенности, опираясь на классическое – прежде всего глинкинское, Чайковский создал новый тип лирической и лирико-драматической мелодики. Этот тип ярче всего концентрирует то принципиально новое, что внёс Чайковский не в какой-то отдельный жанр мелодии, а в область мелодики вообще. Он представлен в романсах («День ли царит»), в операх («Пиковая дама», «Евгений Онегин», «Иоланта»), в симфониях (главная партия Четвертой симфонии, Andante Пятой, вторые темы первой части и финала Шестой), в симфонических увертюрах (тема любви из «Ромео и Джульетты», «рассказ Франчески»), в концертах и камерных инструментальных произведениях.

Отличия мелодики П. Чайковского от мелодики его предшественника М. Глинки обусловлены новым этапом исторического развития русской действительности и отражавшего её русского ре-

алистического искусства. Вдохновлявшие творчество Чайковского чувства и мысли отличались от чувств и мыслей современников Глинки большей психологической напряженностью, более острым ощущением связи судьбы отдельной личности с широким кругом сложных и противоречивых социальных проблем. Отсюда и полная драматических конфликтов сложная душевная жизнь; отсюда же понятно, почему именно в стиле Чайковского – как в стиле его лирико-драматических симфоний, так и в симфонизированной драматургии его опер – лирическая и лирико-драматическая мелодика достигает новых синтетических форм.

Принципиальная новизна мелодики лирико-драматического типа заключается в сочетании большой эмоциональной непосредственности, широко развернутой лирической песенности с очень высокой степенью напряженности, интенсивности развития, динамической устремленности. До Чайковского мелодии широкого песенного склада никогда не отличались такой интенсивностью развития и динамической устремленностью, а мелодии динамически устремленные – такой певучестью, широко развернутой песенностью. Кроме того, не было в русской музыке таких протяженных непрерывных и в то же время цельных кантилено завершенных лирических мелодий, как темы оперно-симфонических произведений Чайковского [66].

Как уже было сказано, Чайковский развивает особый тип мелодики – мелодийные темы. История музыки свидетельствует о том, что вместе с гомофонно-гармоническим стилем сформировалось особое явление – *мелодическая тема*, ставшая основным семантическим тезисом, разработка которого породила музыкальное произведение. Поскольку в такой теме мелодия обрела новый способ существования, ее можно назвать мелодийной. Она становится ответственной за временную континуальность и целостность произведения, формирует новые музыкально-текстовые причинно-следственные связи. Мелодийная

тема является не только исходным импульсом произведения, но и его репрезентантом. Этот ее двойной ракурс обусловил не только семантическое (и, разумеется, конструктивное) единство произведения, но и индивидуализацию симфонической темы. Естественно, семантическое поле произведения всегда оказывалось шире и многограннее семантики темы, но индивидуальное содержание первого неизбежно зависело от индивидуального облика темы.

Именно в эпоху позднего романтизма мелодия широко раздвинула свои синтаксические и формальные границы, создав новый тип тематизма и новые отношения между ним и музыкальной формой. Более того, мелодия преобразила фактуру, пронизав ее мелодическими токами и породив новое понимание гомофонного многоголосия. Правомерно говорить о своеобразии позднеромантической полифонии – ее исток в том, что можно назвать полимелодизмом позднего романтизма. Не будет преувеличением сказать, что поздний романтизм складывался как стиль, основанный на господстве мелодийного мышления, которое в период позднего романтизма достигает

пределов своих возможностей. Происходит небывалое пространственное увеличение мелодии, которая может охватывать собой все произведение, формируются понятия мелодийного тематизма и позднеромантической полимелодийности.

Лирические мелодийные темы становятся отражением субъекта – образа автора, его эмоций и чувств. Именно лирика является доминирующей категорией в определении идеи автора, что является магистральной линией всего творчества П. Чайковского.

Локализация (сосредоточение) авторской симфонической идеи происходит в моменты концентрации основного лирического тематического материала. Обилие данных моментов определяет автобиографическую направленность последних драматических симфоний Чайковского (Четвертой, Пятой, Шестой). Именно в момент проведения главных тем симфоний (как, например, ГП и ПП в первой части Четвертой симфонии) и происходит персонификация музыкального тематизма, при которой образы автора и героя симфонического произведения становятся практически тождественными.

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<https://doi.org/10.29013/EJHSS-19-6-24-29>

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## THE CATEGORY OF ARTISTIC IMAGE IN HUMANITARIAN KNOWLEDGE

**Abstract.** The article defines the general aesthetic and literary theoretical criteria for studying an artistic image, determines its relationship with meaning and symbol, with the sacred beginning of culture. The concept of imagology is proposed, the epistemological method of S. Averintsev is distinguished and characterized.

**Keywords:** artistic image, imagology, symbol, sacred meaning, the idea of “forever feminine.”

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## КАТЕГОРИЯ ХУДОЖЕСТВЕННОГО ОБРАЗА В ГУМАНИТАРНОМ ЗНАНИИ

**Аннотация.** В статье определяются общие эстетические и литературоведческие теоретические критерии изучения художественного образа, определяются его связи со смыслом и символом, с сакральным началом культуры. Предлагается понятие имагологии, выделяется и характеризуется эпистемологический метод С. Аверинцева.

**Ключевые слова:** художественный образ, имагология, символ, сакральный смысл, идея «вечно женственного».

Категория образа привлекает внимание и становится одной из ведущих в гуманитарном познании постольку, поскольку позволяет определить специфику художественного мышления, образное строение художественного произведения и место в нем образа автора. Образно-авторологический подход является опорным для выявления стилевых черт художественного творчества. Он в равной мере важен для всех ветвей искусствоведения. Для музыковедческого анализа также весьма важно опираться

на общие теоретические предпосылки, условия имагологии.

Имагология имеет не только интердисциплинарный, но и компаративный характер. Она позволяет сравнивать образные художественные установки различных жанров и композиционных форм, национальных стилей, комплексов выразительных средств различных художественных языков, в том числе авторских.

Понятие образ может быть дефинировано именно в контексте сравнительного подхода. Но,



одновременно, категория образа и изучение образа как структурного элемента художественного сознания способствует развитию искусствоведческой компаративистики.

В. Виноградов отметил, что слово «образ» в русском языке происходит от унаследованного старославянского слова «вообразить». Его морфологический состав показывает, что его первоначальным значением было «дать образ чему-нибудь, изобразить, воплотить в образе что-нибудь». По мысли этого автора, история изменений значений глагола «вообразить» тесно связана с семантической судьбой слова «образ», которое имеет достаточно широкую этимологию. В языке древнерусской письменности оно выражало целый ряд значений – конкретных и отвлеченных: вид, облик, внешние очертания, форма; изображение, статуя, портрет, икона, отпечаток; лицо; образец, пример; символ, знак, знамение; способ, средство, манера [6]. В наше время значение слова «образ» расширило свои функции отражения какого-либо явления. Образ воспринимается как активный компонент мышления, основа воображения, которое, в свою очередь, становится психологической основой творчества, ведущей сферой художественного сознания.

Отражение действительности в искусстве неизменно происходит посредством образа (в музыкальном искусстве, соответственно, посредством специфизированного материала, языковых ингредиентов музыкального образа). Однако отсутствие достаточно полной методологии изучения данного эстетического и когнитивного феномена затрудняет изучение образа в музыке. Эта проблема остаётся актуальной не только в сфере интересов современного музыковедения, но и для философии, психологии, эстетики, литературоведения, культурологии и семиотики. Наиболее полный обзор вопроса об образе возможен при рассмотрении этого понятия на стыке указанных наук. Нас интересуют общие теоретические подходы к понятию образа, которые позволяют уточнить

содержательные ресурсы и семиотические правила образа в музыке.

Признанным авторитетом в сфере проблемы природы и специфики искусства являлся С. Раппопорт. Его научные позиции основывались на том, что образ – в широком значении – это неотъемлемая часть воспроизведения действительности в сознании человека. В узком значении, образ – альтернатива абстрактно-логическим (рационально-понятийным) формам мышления и суждения, оценочного реагирования. В противоположность им, образные рефлексии аккумулируют, прежде всего, чувственно-эмоциональный опыт, но не ограничиваются им, они связаны с принципами эмоционального мышления и целостного психологического моделирования. По мысли Раппопорта, образ – это целостная картина действительности, итог ее чувственно-интеллектуального отражения, который не может быть расчленен. Это некая структура, возникающая в своих основных чертах перед нашим умственным взором как бы внезапно, целиком [9, С. 82, 51, 52].

Специфической формой образа является **художественный образ**, степень верности восприятия которого в большой мере зависит от широты, основательности жизненного опыта и образованности, художественной эрудиции и профессиональной заинтересованности реципиента.

Художественным образом С. Раппопорт называет особое представление (или совокупность представлений), главная роль в формировании которых принадлежит художественным эмоциям [9, С. 82, 71]; в отличие от научных и обыденных эмоций, они всегда являются носителями положительных качеств и социального содержания, а их формирование требует напряженной мыслительной работы. По его мнению, спаянные в логически-целостной совокупности, художественные представления становятся той синтетической формой, в которой выступают в единстве ход и результат художественного осмысления действительности, плоды «экспериментальной» и «теоретической»,

«исследовательской» и «просветительской», «отражательной» и «созидательной» работы сознания художника [9, С. 82, 79].

Ю. Боров, определяет художественный образ как форму мышления в искусстве, иносказательную метафорическую мысль, раскрывающую одно явление через другое. Боров считает, что художник как бы сталкивает явления друг с другом и высекает искры, освещающие жизнь новым светом. Сотворенный им художественный образ обладает своей логикой, он развивается по своим внутренним законам, обладая самодвижением. Художник задает все изначальные параметры самодвижения образа, но, задав их, он не может ничего изменить, не совершая насилия над художественной правдой. Следовательно, жизненный материал, который лежит в основе произведения, ведет за собой, и художник порой приходит совсем не к тому выводу, к которому он стремился [5, С. 27, 138, 140]. Читая рассуждения эстетика, можно прийти к выводу, что художественный образ является *индивидуализированным обобщением*, раскрывающим в конкретно-чувственной форме существенные черты, свойства ряда явлений; ему присущи единство мысли и чувства, рационального и эмоционального, единство объективного и субъективного; в нем интегрируется значительное смысловое жизненное содержание. В образ входит не только материал действительности, переработанный творческой фантазией художника, но и все богатство личности творца и его отношений с жизнью и искусством [5, С. 27, 142–145].

Образ является необходимым условием и средством деятельности образного мышления. С психологической стороны под образом можно понимать субъективную картину мира или его фрагментов, включая самого субъекта, других людей, пространственное окружение и временную последовательность событий.

Психологические предпосылки можно считать ведущими в философских концепциях образа. Так, в Философской энциклопедии [10] находим

умозаключение, что образ – одно из основных понятий теории познания, характеризующее результат отражательной (познавательной) деятельности субъекта [10, 111]. На чувственной ступени познания с имагологическим процессом связаны ощущения, восприятия и представления, на уровне мышления – понятия, суждения и определения. Образ объективен по своему источнику – отражаемому объекту и субъективен по способу (форме) своего существования. Его материальной формой воплощения выступают практические действия, язык, различные знаковые модели. Своеобразие образа заключается в том, что он есть нечто субъективное, идеальное; он не имеет самостоятельно бытия вне отношения к своему материальному субстрату – объекту отражения. Образ объективен по своему содержанию в той мере, в которой он верно отражает объект. В тоже время трудно согласиться с мыслью, что образ объекта никогда не исчерпывает всего богатства его свойств и отношений, а оригинал богаче своей копии. Образ в искусстве открывает такие новые стороны воспроизводимого явления, которые могут превосходить масштаб прототипа, наделять его новыми смысловыми значениями, пересоздавать и направлять в более широкие художественные и жизненные сферы. Поэтому художественные образы, один раз возникнув приобретает самостоятельный характер и образуют собственную артефактную сферу культуры, обретают собственную художественно-смысловую историю.

Обширное объяснение понятия художественный образ даёт К. Горанов. Он считает, что художественный образ – это особый аспект жизни, которому свойственно богатство жизненной целостности и который с трудом поддается теоретическому анализу [7, 18]. Это особый знак, сигнал, носитель социально необходимой информации, который лишь опосредует отношение между идеальным образом в сознании воспринимающего и некоторыми существенными сторонами жизни, сам же остается при этом весьма условной, хотя

и чувственно-воздействующей конструкцией. По мысли автора, художественный образ – это продолжительный и сложный социальный процесс познания, эмоционального сопереживания, переосмысления, активного вмешательства в жизнь, созидания новой идеальной структуры, по сути соответствующей отраженным сторонам жизни; это процесс создания новых оригинальных практически-духовных ценностей – произведений искусства, которые однажды получив реализацию в материале и языке данного искусства, вступают в длительное взаимодействие с системой человеческих ценностей и могут приобретать новые значения, не совпадающие целиком со значениями, присущими произведению в момент создания его художником [7, 25, 26].

В целом философский подход еще более углубил проблему образа, связывая ее с проблемой сознания и подсознания. Поскольку деятельность человеческого сознания предполагает одновременно и осмысленность, и знаковую выраженность, то закономерным становится интенсивное развитие семиотического подхода к явлению образа.

Так как одним из исходных значений слова «образ» было «подражание»; в работе Р. Барта «Риторика образа» ставится вопрос о том, способно ли аналоговое воспроизведение («копирование») предметов приводить к возникновению полноценных знаковых систем (а не агломерата символов)? Каким образом оно соединяется с изображением? Автор отмечает, что аналоговое отображение воспринимается как воплощение скудости смысла: одни семиотики полагают, что, по сравнению с языком, изображение представляет собой рудиментарную систему, а другие – что само понятие «значение» неспособно исчерпать неизреченное богатство образа [4, С. 297].

Р. Барт рассматривает образы как иконические знаки и с точки зрения тех сообщений, которые, возможно, в нем содержатся, на примере рекламных изображений. Так как означаемые сообщения-рекламы *априорно* сами являются сутью

свойства рекламируемого продукта, они должны быть донесены до потребителя со всей возможной определенностью. Они сделаны так, чтобы их невозможно было не прочитать. Все эти сообщения имеют языковую субстанцию и даются нам непосредственно; они дискретны; предполагают наличие эмоционально-ценностных представлений; отсылают к глобальным означаемым; требуют определённых культурных знаний для правильности восприятия. Но, в то же время, ничего не зная о знаках, мы, тем не менее, продолжаем «читать» образ. Это связано с особенностью проявления тех знаний, которые необходимы для чтения иконического знака (сообщения): чтобы «прочитать» его, нам не нужны никакие познания, кроме тех, что требуются для непосредственной перцепции образа [4, 297–301].

Обобщенным и синтезирующим можно считать культурологический подход, поскольку, по своим методологическим функциям, он связан с выявлением и характеристикой ценностных универсалий.

Культура может рассматриваться как совокупность образов, поскольку культурологи считают образом явление, возникающее как результат запечатления одного объекта в другом, выступающее в качестве воспринимающей формации – духовной или физической; образ есть претворение первичного бытия в бытие вторичное, достигшее устойчивой, чувственно доступной формы [11]. Образом также называют целостную структуру, наделенную как явным (доступным для сознания), так и скрытым (при состояниях измененного сознания, в сновидениях, галлюцинациях) смыслом. Следовательно, образ представляет собой целостность, состоящую из чувственно воспринимаемой «оболочки», изобразительно-выразительной стороны, и содержания, включающего идеологический и эмоциональный аспекты. Каждый из компонентов играет важную роль, и в своем взаимодействии они определяют смысловое наполнение образа [11].



Культурологический подход тесно граничит с литературоведением, произрастает из него. Эти две науки соотносятся между собой как породённые области знания. Культурологии присуща собственная понятийная системность, но в своих теориях она опирается на опыт словесных форм, причем не только художественных, но и обыденных.

В литературных энциклопедических изданиях художественный образ рассматривается как всеобщая категория художественного творчества, которая обуславливает специфические способы и формы освоения жизни, «язык» искусства и вместе с тем – его речевые дискурсивные плоскости [8, 363]. Это система конкретно-чувственных средств, воплощающая собой художественно освоенное содержание реальной действительности.

Традиционными чертами литературоведческой теории являются, во-первых, рассмотрение образа как единства содержания и формы – содержательной формы, во-вторых, выделение архетипов (первообразов), в-третьих, обсуждение особой условности образа и представления, в силу которой они включают в себя и аллегорические и символические значения.

Относительно единства содержания и формы, в литературной энциклопедии [8] указано, что образ в литературе – это такая форма отражения действительности (идея), которая, во-первых, отражает общественные отношения через показ человека в его связи с обществом и природой; во-вторых, отражает эти отношения обобщенно и типизируя, что приводит к художественному вымыслу; в-третьих, дает это обобщенное отражение общественных отношений в чувственных очертаниях, индивидуализированно; в-четвертых, выполняет функцию «инженерии душ» [8].

Как уже было сказано, в литературоведческой теории образ исследуется в связи с явлением архетипа, и именно данный подход характеризует метод С. Аверинцева. По его мысли, архетипы (первообразы) особенно широко использовавшиеся в древней мифологической литературе – это первичные

схемы образов, воспроизводимые бессознательно и априорно формирующие активность воображения. Автор отмечает, что архетипы не являются самими образами. Это психологические предпосылки, возможность их существования [3, 68].

В связи с особой условностью образа в литературоведении рассматриваются аллегория и символические значения. Аверинцев определяет аллгорию как некую систему образов, определенный вид образного мышления. Автор отмечает, что это условная форма высказывания, при которой наглядный образ означает нечто «иное», чем он является на самом деле. Понятие аллгории близко к понятию символа, однако символ характеризуется большей многозначностью и единством образа и содержания.

Аллегория, как и архетипы, характерна для архаического словесного искусства, как выражение дофилософской «мудрости» в её поэтическом и житейском вариантах [2, с. 41–42]. Также С. Аверинцев указывает, что всякий образ, хотя бы в некоторой мере, является символом. В свою очередь, «Символ есть образ, взятый в аспекте своей знаковости, ... он есть знак, наделенный всей органичностью мифа и неисчерпаемой многозначностью образа» [1, 386]. Их отличие состоит в том, что образ предполагает предметное тождество самому себе, а символ – расширяет границы образа присутствием некоего смысла, «интимно слитого с образом, но ему не тождественного» [1, 386]. Следуя за размышлениями Аверинцева, можно прийти к выводу, что образ и символ находятся в тесной связи друг с другом. Также в работе Аверинцева намечается переход к изучению художественного образа как явления, символического в своей основной природе. Он использует особый этимологический подход и на его основе раскрывает символическое содержание образа Софии Киевской (в статье «К уяснению смысла надписи над конхой центральной апсиды Софи Киевской» [1, с. 548–592]).

Этимологический подход, представленный Аверинцев, обнаруживает длинный путь осмыс-



ления представленного образа – начиная с прямого значения слов, анализа и переосмысления Библейских, после-библейских дидактических текстов, текстов песнопений и стихов, писем, картин. Данный образ предстает символической сакрализацией женского начала, храмовым эквивалентом идеи «вечно женственного», способной оказать большое воздействие на трактовку так называемой «женской темы» в восточно-европейской художественной традиции.

Образ Оранты знаменует мемориальное начало культуры. Символическая условность его создается с помощью молитвенного жеста – воздетых к сакральной вышине рук. Для него равноважны и материальная, и духовно-идеальная стороны, что симптоматично для архетипа-первообраза, подчеркивает его синкретизм.

Восприятие – истолкование образа Оранты действует вершинные и уровни коллективного человеческого сознания, поскольку в нем заключены исторический и личностный смыслы. Одновременно данная храмовая символика позволяет понять,

что фундаментальные смыслы культуры сохраняются и передаются, сохраняются и воспроизводятся только в художественно-образной форме, которая отличается предельным смысловым объемом и метафорическими возможностями.

С другой стороны, образ, как художественный предмет, становится исторической величиной и приобретает значение артефакта потому, что приобретает символические свойства, отсылает к исторической широте культурной коммуникации. Художественно-знаковые структуры являются наилучшим способом хранения знаний именно потому что они задевают особые стороны человеческого сознания, пробуждают глубинную память, которая активизируется механизмом переживания. А как показывает практика, затронутость переживанием действует гораздо сильнее, нежели логические доводы и известные факты. Искусство создает особую образную реальность, которая развивается параллельно с жизненной исторической действительностью, привнося в нее новые важные ценностные измерения, новую смысловую глубину.

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## Section 3. History and archaeology

<https://doi.org/10.29013/EJHSS-19-6-30-40>

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### AZERBAIJAN'S KNIGHTS

**Abstract.** This article is dedicated to the research of history of Azerbaijan's knights. This article finds out the historical path of the formation of knighthood in the East as well as in the territory of Azerbaijan. The path from heavy cavalry to chivalry which has become the daily life of the knight who goes through the historical stages of the governance existing in the territory of Azerbaijan. The article encloses the art of war of the knights in the East and thoroughly studies the armament of Azerbaijan's knights.

**Keywords:** knight, knighthood, knight's order, heavy cavalry, art of war, armament.

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### РЫЦАРИ АЗЕРБАЙДЖАНА

**Аннотация.** Статья посвящена исследованию истории рыцарства в Азербайджане. В статье прослеживается исторический путь становления рыцарства на Востоке и, в том числе, на территории Азербайджана. Путь от тяжелой кавалерии с его вооружением до кодекса поведения, а по сути, образа жизни тяжеловооруженного конного воина – рыцаря, проходит по историческим вехам государств, которые существовали на территории Азербайджана. В статье представлено искусство войны рыцарей Востока, частью которой были рыцари Азербайджана. А также подробно исследовано вооружение рыцарей Азербайджана.

**Ключевые слова:** рыцарь, рыцарство, рыцарский орден, тяжелая кавалерия, военное искусство, вооружение.

Археологические раскопки, проводимые на территории Азербайджана, всегда давали неожиданные результаты, удивляя не только простых обывателей, но и профессиональных историков. Но, то, что было обнаружено в 80-х годах XX века в курганах у села Борсуслу Тертерского района

Азербайджана, поразило даже видавших виды археологов. Практически в каждом раскопанном кургане обнаруживались сотни предметов утвари, оружия, украшений, керамики, ремесленных предметов. И, наконец, вершиной всего стала находка кургана племенного вождя. Здесь в кур-

гане, глубоко под землей, была найдена могила, состоящая из нескольких комнат. В одной из них оказались захоронены воины в полном вооружении, в другой – слуги и рабыни, в третьей – лошади в конском снаряжении. В центральной, самой большой комнате на троне восседал скелет вождя, захороненного в полном боевом облачении, с оружием. Всех поразило то, что доспехи вождя и его боевого коня были сделаны из бронзы в виде продолговатых чешуек в закругленным нижним концом. Находки были датированы XIV–XII веками до нашей эры, что породило научную сенсацию – доспехи вождя, его воинов и боевых коней оказались самыми древними из всех, до сих пор найденных на Кавказе [1, 1–12; 2, 57–70; 3, 108].

Результаты археологических раскопок в Борсунлу тут же вызвали сравнения со средневековыми западноевропейскими рыцарями. И действительно, как только речь заходит о закованных в броню рыцарях, тут же вспоминаются Айвенго и Квентин Дорвард, рыцари круглого стола короля Артура и Дон Кихот. Однако, исследованиями доказано, что генетически средневековое рыцарство уходит корнями в эпоху древности, когда появились тяжеловооруженные всадники, способные вести бой в тяжелых доспехах.

До археологических раскопок в Борсунлу считалось, что тяжелая конница пришла в Азербайджан с племенами киммеров, саков и скифов, основавших в VII веке до н.э. свои государства, как в Северном Азербайджане, так и в Приурмийской зоне Южного Азербайджана [4; 237, 251]. Так, государство, созданное скифами и называемое «Скифским царством», простиралось от района реки Куры, что севернее города Гянджи в Северном Азербайджане, до района севернее озера Урмии до гор Карадаг и Саваландаг, что южнее реки Араз в Южном Азербайджане [4, 281]. Среди защитного вооружения саков и скифов упоминаются и тяжелые чешуйчатые доспехи. Согласно ассирийским хроникам, мидийцы в войне против ассирийцев выставили конницу

саков, облаченных в пластинчатые доспехи [5, 31]. Интересно, что в ходе археологических раскопок могильного поля в Мингечауре и Кедабеке в Азербайджане были обнаружены наконечники стрел так называемого «скифского типа», в том числе и бронебойные, которыми скифы могли пробивать металлическую пластину, т.е. броню [4, 252]. Следовательно, скифы столкнулись на территории Азербайджана с воинами, использовавшими именно металлические, скорее всего бронзовые либо медные доспехи. Археологические раскопки 40-х годов XX века в Мингечауре позволили делать осторожные предположения, подтвержденные находкой в одном из погребений воина, скелет которого был сплошь покрыт бронзовыми круглыми дисками и выпуклыми пуговицами [3, 110]. В последующем были проведены археологические раскопки в курганах около сел Бейимсаров Тертерского и Сарычобан Агдамского районов Азербайджана, где были обнаружены фрагменты бронзовых доспехов всадника XI–IX вв. до н.э. [2, 57–70]. Представляют интерес курганы Ханларского района Азербайджана, в которых в ходе археологических раскопок также были обнаружены панцирные пластины с закругленными концами [3, 108]. Ещё древнегреческий историк Геродот описывая войну между царицей массагетов Томрис и персидским царем Киросом, отмечал, что «массагеты носят одежду, подобную скифской, и ведут похожий образ жизни. Сражаются они на конях и в пешем строю. Есть у них обычно также луки, копья и боевые секиры... Также (т.е. как и себе) и коням одевают медные панцири, как нагрудники» [6, 94]. Так, постепенно подтверждалось, что тяжелая конница зарождалась в Азербайджане уже в эпоху глубокой древности.

В эпоху существования государства Мидия (VII–VI века до н.э.), располагавшейся и на территории Южного Азербайджана, тяжелая конница стала неотъемлемой частью войска. К началу 600 г. до н.э. мидийская «снада» (армия) или «тахмаснада» была реорганизована мидийским

царем Киаксаром на отдельные отряды по типам вооружения: лучников («анувания»), копьеносцев («рсика») и всадников со своим вооружением («асабари») [5, 37]. Как отмечал Геродот, мидийский царь Киаксар был первым, кто разделил «азиатское войско на боевые отряды по родам оружия и приказал действовать самостоятельно» [6, 48]. Отряды тяжеловооруженной конницы, в которой воины были одеты в тяжелые латы, а лошади защищены металлическими нагрудниками и бляхами, упоминаются в древнегреческих рукописях [7, 87]. Также как и остроконечные шлемы на головах всадников, которые вавилоняне называли «карбалатту», а у Геродота, по описанию одного из скифских племен, именуется «тиграхауда» (с иран. «остроконечная шапка») [5, 34]. Мидийцы учились конно-стрелковой тактике у скифов и после падения скифского господства над ними [4, 290]. Именно наличие такой конницы, вкуче со стремительной легкой конницей, обеспечили Мидии победы над государствами Ассирия и Урарту, славившимися своей тяжеловооруженной пехотой.

Государство Ахеменидов, позаимствовавшее многие элементы государственного устройства, военного дела, быта и культуры у Мидии, также позаимствовало и тяжелую конницу. Не случайно, что у древнегреческого историка Геродота тяжелая конница Ахеменидов указывается как «мидийская конница» [7, 87]. Так, древнегреческий летописец описывает персидских воинов: «... на теле – пестрые хитоны с рукавами из железных чешуек наподобие рыбьей чешуи... они (т.е. всадники) носили тоже вооружение, как и пешие, но только у некоторых на голове были медные, чеканной работы и железные шлемы» [6; 425, 430]. Конники были одеты в металлические шлемы, чешуйчатые панцири, с такими же наручами и поножами. Лошади их были тоже покрыты латами, защищавшими лоб, грудь и круп. Вооружением необходимым для каждого всадника было копье, достигавшее в длину чуть более 2 метра, лук с 30 стрелами, пря-

мой меч или же «мидийская сабля», которая была слегка изогнута, наподобие некоторых ассирийских мечей [7, 87–89]. Имеются описания того, что и конники саков, находившиеся в услужении у государства Ахеменидов, носили кольчуги, панцири и шлемы, и были вооружены как копьями, так и оружием для ведения ближнего боя [5, 63]. Внешний вид этих всадников реконструируется на основе находок из археологических памятников, изображений на стенах и росписях, древних рукописей.

Расцвет тяжелой конницы на Востоке связан с Парфянской империей. Войска этого государства удачно сочетали в себе военные достижения народов, как Центральной Азии, так и Ближнего Востока, что отчетливо проявилось в войнах с Римом. Тяжелая кавалерия была известна парфянам уже в начале III века до н.э. и вошла в историю под названием «катафракты» (от греч. «закованные в панцирь») [8, 254]. Рассказывая о вооружении парфян, древнегреческий историк Плутарх писал: «... вооружение закованных в броню всадников такой работы, что копья их всё пробивают, а панцири выдерживают любой удар... сами в шлемах и латах из маргианской, ослепительно сверкавшей стали, кони же их в латах медных и железных» [9, 214, 220]. Древнеримский историк Трог Помпей, описывая парфянского воина, отмечал: «... их доспехи и доспехи лошадей состоят из пластин, которые накладываются одна на другую, как перья птицы, и полностью закрывают воина и его коня» [5, 142]. Доспехи катафрактвов были очень дорогими и отличались лишь индивидуальными особенностями. Возможностью обладать такими доспехами имели только царская стража и вассалы отдельных представителей высшей знати. Обычная экипировка тяжеловооруженного всадника парфян или «катафрактария» состояла из бронзового либо железного шлема, временами с подшлемником и пластинчатым, чешуйчатым или кольчужным забралом. Для защиты торса использовали кольчужные, пластин-



чатые или чешуйчатые корсеты. На руках также носили латы, иногда надевали и рукавицы. Ноги были также защищены латами поверх кольчужных «носков». Доспехи всадников могли быть дополнены конскими доспехами из толстого войлока, закрывающими голову и грудь лошади. Бронзовыми чешуйчатыми доспехами иногда покрывали спину лошади, начиная с шеи, а иногда полностью закрывали лошадь, в том числе и голову [10, 223]. Дальнейшее свое развитие катафрактарии получили в Парфянском государстве в связи с необходимостью противодействовать тяжелой римской пехоте. Главным оружием катафрактария было 4–4,5-метровое копье, известное как «*контос*». Копье имело наконечник в виде листа и острия на толстом конце. Оно использовалось для нанесения колотого удара сверху вниз или вперед. Копье держали двумя руками [10, 224]. Древнегреческий историк Голиодор описал, как катафрактарии управлялись с подобной пикой: *«Когда наступает время битвы, то ослабив поводья и горяча коня боевым криком, он (т.е. катафрактарий) мчится на противника, подобный какому-то железному человеку или движущейся кованой статуе. Острие копья сильно выдается вперед, само копье ремнем прикреплено к шее коня; нижний его конец при помощи петли держится на крупе коня, в схватках копье не поддается, но, помогая руке всадника, всего лишь направляющий удар, само напрягается и твердо упирается, нанося сильное ранение, и в своем стремительном натиске колет кого ни попало, одним ударом часто пронзая двоих»* [11, 159]. Кроме копья катафрактарии были вооружены длинным мечом, секирой, булавой и кинжалом [10, 224]. В Парфии к тому времени полностью сформировались тактические принципы использования тяжелой конницы (зачатки этих принципов были известны еще скифам). Особенности вооружения катафрактариев определяли применявшиеся ими боевые порядки и тактические приемы. Выстраиваясь на поле боя в линию, тяжеловооруженная конница образовывала своего рода конную фа-

лангу, опираясь на которую действовали легковооруженные конные лучники, гораздо более многочисленные. Конная фаланга катафрактариев, ошетилившаяся пиками, малоуязвимая для стрел и дротиков, имевшая достаточную защиту от ударов копий и мечей, представляла собой грозную силу для противника, и в особенности для пехоты. Катафрактарии всегда атаковали противника в тесно сомкнутом строю, который давал возможность наилучшим образом использовать преимущества вооружения и свести до минимума его недостатки – ограниченную подвижность и вызванную этим слабую маневренность [11, 160]. Их атака происходила при аллюре рысью в тесно сомкнутом строю [10, 227] и с определенной тактической целью – прорыв. Катафрактарии врезались в строй противника, прорывали его, рассекая его надвое, и тем самым решали исход сражения [11, 161]. При внешнем сходстве вооружения катафрактариев со средневековыми рыцарями, их задачи в бою были совершенно различными. В то время как рыцари решали исход сражения в индивидуальных схватках, катафрактарии могли успешно действовать только целыми подразделениями [11, 157]. В тот же период времени в Парфии стала складываться и так называемая «*всадническая культура*» парфянской конницы – элиты общества. Древнеримский историк Юстиниан, описывая «*всадническую культуру*» парфянской конницы, отмечал: *«Они всегда находятся верхом на коне, приезжают на всевозможные торжества и праздники, останавливаются и ведут беседу... разница между рабами и свободными людьми заключается в том, что первые ходят пешком, а вторые – только верхом»* [5, 142]. Союзник Парфии, государство Атропатена, существовавшее на территории Южного Азербайджана, также имело тяжелую конницу. Древнегреческий историк Плутарх писал об атропатенской тяжелой коннице, что *«вся сила этой броненосной конницы – в ее копьях... она словно замурована в свою тяжелую, негнущуюся броню»* [9, 139]. В битве

при Тигранакерте осенью 69 года между римским полководцем Лукуллом и армянским царем Тиграном II, последний, как сообщает Плутарх, «принял командование над средней частью войска, левое крыло доверил адиабенскому царю, а правое, в передних рядах которого находилась также большая часть броненосной конницы, – мидийскому» [9, 139]. В данном случае Плутарх сообщает об атрапатенском царе и его броненосной коннице, так как у античных историков очень часто государство Атропатена ассоциировалась с государством Мидией, которое к тому времени уже не существовало [12, 84]. Следовательно, в этой битве часть «всадников... из которых семнадцать тысяч были закованы в броню» [9, 137] были атропатенскими катафрактериями.

Археологические раскопки на территории Северного Азербайджана позволили обнаружить сарматские погребения I века до нашей эры – I века нашей эры. Ряд из этих погребений принадлежат тяжеловооруженным сарматским всадникам. Этим же периодом датируется появление катафрактериев у сарматов [11, 170]. Древнеримский историк Корнелий Тацит, описывая сражение между сарматской конницей и римской пехотой, указал: «Но тогда, когда был сырой день и таял лед, они (т.е. сарматы-роксоланы) не использовали и ни копья, и ни мечи, которыми, очень длинными, они действуют обеими руками; притом, что их кони поскальзывались, а катафракты отягощали. Ведь их князья и все наиболее знатные имели это покрытие, составленное из железных пластинок или очень твердой кожи; оно непроницаемо для удара» [13, 233]. Как видно из повествования летописца, лишь вожди и знатные представители племени имели возможность иметь такие дорогие доспехи. На территории Азербайджана были обнаружены и аланские погребения I–II веков. Судя по находкам, как сарматы, так и аланы использовали тяжелое копье (длиной 2–4 м), тяжелый меч длиной более 1 м, лук и стрелы. Всадники тяжелой аланской конни-

цы одевались в чешуйчатые доспехи в виде рубах либо кожаные доспехи в виде длинного кафтана, обшитого металлическими пластинками наподобие металлической чешуи [13, 144]. Считается, что в это время стремени были неизвестны, поэтому остается загадкой, как же воины применяли свое тяжелое вооружение, не имея под ногами упора. Сарматско-аланская конница действовала в бою небольшими отрядами и при атаке образовывала клиновидное построение, на острие которого находились катафрактерии. Так, древнеримский историк Арриан пишет о тактике клина конницы сарматов: «Кажется полезным также и этот строй (т.е. клин), потому что командиры построены по периметру, а фронт, уменьшенный в острие, легко позволяет пробить любой вражеский строй» [13, 118].

Кавказская Албания – государство, существовавшее на территории Северного Азербайджана с IV в. до н.э. до VIII н.э., как губка впитывало в себя лучшие достижения как Востока (Парфия, Сасаниды, кочевники Севера), так и Запада (Рим, Византия). Не случайно, что античные авторы указывают на наличие в албанском войске тяжелых всадников. Так, античный историк Страбон отмечает наличие панцирей у албанских воинов и пишет, что «албаны сражаются и пешими и на лошадях как легковооруженные (т.е. без брони), так и покрытые броней... любителями такого рода конницы являются не только мидийцы и армяне, но и албанцы, так как они пользуются на войне прикрытыми броней лошадьми» [14, 168]. При этом местные мастера по изготовлению оружия и доспехов приносили немало своего, порождая новые, доселе неизвестные приемы обработки материалов, элементы культуры. Так, в ходе археологических раскопок у села Русов Кубинского района Азербайджана в могиле, датируемой I в. до н.э. – I в. н.э., был обнаружен уникальный доспех. Верхняя часть доспеха в виде кольчуги, шириной в плечах – 50 см, длиной – 40 см, нижняя часть доспеха состояла из серебряных, продолговатых пластин, крепившихся к верхней

части доспеха в виде юбки [14, 171]. Фактически, археологические раскопки показали, как местные албанские умельцы в одном доспехе умудрялись соединять детали доспехов различного типа, а именно, короткая кольчуга аланского типа соединена с металлической пластинчатой «юбкой» римского типа. Богатый инвентарь, обнаруженный в могиле, включал в себя не только керамические и серебряные изделия, украшения, предметы домашнего обихода, но и конское снаряжение, наконечники тяжелых копий, дротиков, фрагменты меча, кинжалы, ножи, трехперые наконечники стрел. Найденные в могиле железные наручи считаются первой находкой такого вида вооружения в Азербайджане. При археологических раскопках в Мингечауре в кувшинном погребении были обнаружены части железного панциря, а также хорошо сохранившийся бронзовый шлем [14, 172–173].

В IV веке в Азербайджане поселились гунны, чуть позже – тюркюты и хазары [15, С. 36, 68]. Прибывшие по «степному коридору» с севера, воины этих народов носили более совершенные доспехи – длинные, в виде халата, чешуйчатые доспехи, панцири из крупных продолговатых пластин, нашитых на кожаную основу, наручи и поножи. Обязательным было ношение металлического шлема, обычно сферического или сфероконического типа. Так, албанский историк Моисей Каланкатуйский в своей работе «История Албании» описывает гуннского воина: «Этот воин был высокого роста и крупного телосложения. На его крупном теле был пятидесятислойный доспех, на голове шлем, на широкий лоб опускался медный наносник. Древяно его мощного копья была сделана из высокого дерева, его меч, высекающий молнии, приводил в ужас окружающих» [16, 30].

Выше, рассказывая о тяжелых всадниках, скелеты и вооружение которых были обнаружены в ходе археологических раскопок на территории Азербайджана, мы сознательно не употребляли термин «рыцарь». Хотя катафрактары и комплектовались из аристократической среды, их

нельзя отнести к рыцарскому сословию, так как существовали в иной, нежели рыцари средневековья, общественно-экономической формации.

Термин «рыцарь» («*рихтер*» – с немецкого «всадник») имеет свои синонимы в разных языках («шевалье» – с французского «всадник»; «фарис» – с арабского «всадник»), причем, как видим, в подавляющем большинстве случаев переводится как «всадник». Следовательно, первый признак рыцаря – наличие своего боевого коня. Однако, это не единственный признак рыцаря. Дело в том, что до III–IV веков тяжелая конница не являлась кастой или социальной группой, отличаясь от своих соплеменников лишь наличием оборонительного вооружения. Однако в III–IV веках комплектование тяжелой конницы стало осуществляться по иным, нежели ранее, принципам. Теперь качественное оборонительное и наступательное вооружение резко выросло в цене. Относительно дешевые бронзовые доспехи заменены более дорогими стальными, и не каждый мастер мог получить из железа сталь, пригодную для изготовления доспехов и оружия. Чтобы купить качественное оружие требовались большие и желательные постоянные доходы, дать которые могло лишь обладание землей. Таким образом, чтобы иметь «под рукой» тяжелую конницу правитель должен был обеспечить ее воинов землей, приносящей постоянный доход. Служба в тяжеловооруженной коннице была связана со значительным земельным владением. Лишь оно давало достаточный доход для приобретения дорогого военного снаряжения, а военное снаряжение тяжеловооруженных всадников было очень дорогим. Рыцарское вооружение и доспехи в Европе IX–XII вв. равнялись стоимости 30–45 коров [17, 102]. Естественно, воин не занимался ведением хозяйства, так как в его обязанности входило закупка оружия и снаряжения, обучение владением этим оружием и снаряжением, участие в войнах. Так появляется рыцарство – особая категория людей, в задачу которых входило лишь умение воевать.



Постоянные войны привели к тому, что рыцари стали получать привилегии, среди них оформилась своя иерархическая лестница. Постепенно стали формироваться своя рыцарская психология и мораль. Рыцарство начинает превращаться в особое социальное явление.

Процесс становления рыцарской конницы начался в Сасанидской империи в III веке. Тяжелую конницу уже называли не «катафрактарий», а «клибанарий» (по древнеперс. «защитный доспех»). Отличались клибанарии от катафрактариев более совершенным доспехом, который покрывал всадника целиком, а также более улучшенной по форме и легкой по весу конской броней. Древнеримский историк Аммиан Марцеллин о сасанидских клибанариях писал: «*То были закованные в железо отряды; железные пластины так тесно охватывали все члены, что связки совершенно соответствовали движениям тела, и прикрытие лица так хорошо прилегалo к голове, что все тело оказывалось закованным в железо, и попадавшие стрелы могли вонзиться только там, где через маленькие отверстия, приходившиеся против глаза, можно кое-что видеть или где через ноздри с трудом выходит дыхание*». Изображение сасанидского царя Хосрова II (590–628 гг.) на коне и в полном вооружении, обнаруженное в гроте Так-и-Бустан в Иране, подтверждает это описание [17, 102].

Одним из элементов рыцарства, отличающих его от представителей тяжеловооруженных всадников более ранних эпох, является единоборство – рыцарский поединок. Ещё во времена Парфянской империи элемент «всаднической культуры» – дуэльный кодекс – превратился в дуэль богатырей. Парфянские богатыри состязались в поединке друг с другом с копьями в руках, как видно по изображениям в Дура-Европосе [5, 198]. Однако, первым рыцарским поединком, решившим исход сражения, можно считать поединок на копьях между первым сасанидским царем Ардаширом I и последним парфянским царем Ардаваном V, состоявшимся в апреле 224 года и изображенным

на рельефе в Фирузабаде в Иране [5, 199]. От исхода поединка зависело, кто станет правителем в Персии. И когда в поединке победителем вышел Ардашир, все парфянские кланы выразили ему свою преданность как государю, способному отстоять страну. Таким образом, идею дуэли «мард-о-мард» (по древнеперс. дословно «человек против человека» или же «единоборство») некоторые историки называют сасанидской традицией «рыцарского поединка» [5, 199].

В Сасанидской империи и в подвластных ей странах, в том числе и в Азербайджане, клибанарии комплектовались из военно-служилой знати, которые именовались «азад мард» (по перс. «свободный человек», «благородный человек») [18, 64]. Высшая знать империи, имевшая обширную земельную собственность, чаще всего на правах наследования и называемая «дастагирд», именовалась «взургамы» (по перс. «знатные», «великие») [19, 46]. «Азад мардами» в империи называли представителей средних и мелких феодалов, которые владели землями на условных правах, называемых «хвастаг». Предоставление «хвастага» было вознаграждением «азад марду» за службу и закрепляло за ним имущественные права, гарантировало привилегированное положение в обществе. В Сасанидской империи существовал специальный реестр владельцев «хвастага» в стране и назывался он «Списком всадников». Владельцы «хвастагов» относились к сословию «всадников» (по древнеперс. «асваран») [5, 200]. Однако принадлежность к этому сословию была ненаследственной, и «хвастаг» после смерти держателя передавался его сыновьям только в том случае, если они оставались в «Списке всадников». Отношения между различными категориями «азад мардов» в стране закреплялись специальными грамотами об иммунитете, называемыми «азад-намэ», а среди военно-служилой знати существовала система иерархий [17, 103]. Военное сословие империи называемое «артештаран» было представлено как конными, так и пешими воинами [19, 48]. Для



простого народа доступ в это сословие был закрыт. А у «*азад мардов*» сложилось своя кастовая психология: они в совершенстве должны были владеть всеми видами оружия, быть превосходными наездниками, умелыми охотниками, уметь читать и писать, играть в конное поло (по перс. «*човган*»), нарды и шахматы [17, 103]. В то же время у «*азад мардов*» стали появляться свои знамена и гербы. Так, албанский историк Моисей Каланкатуйский, описывая избрание правителя Северного Азербайджана, сообщает о наличии таких знамен: «*вельможи распустили свои знамена с изображением зверей*» [16, 118]. А по сообщениям средневекового историка X в. Хамзы Исфahanского, правитель Сасанидской империи, предоставляя земли в качестве наследственного лена феодалам, проживающим в районах примыкающим к Дербентскому проходу, вручил им и специальные одежды с изображением животных, отчего эти феодалы стали именоваться «*Вахраншах*» (перс. «*князь-вепрь*»), «*Ширванишах*» (перс. «*князь-лев*»), «*Филанишах*» (перс. «*князь-слон*»), «*Аланишах*» (перс. «*князь-ворон*») [17, 103]. «*Азад марды*» объединялись в рыцарские организации и одним из таких рыцарских организаций были «*айяры*» (по перс. «*товарищ, помощник*»), о которых упоминается в источнике XI века «*История Систана*». Автор средневековой летописи, отличая айяров от простого народа, причислял их к военно-служилой знати: «*Бу-л-Урйан был айяром из Систана, из числа известных сархангов* (перс. «*военачальник*», «*полковник*») [20, 171]. Упоминаются «*айяры*» и в средневековой рукописи XI века «*Кабус-намэ*», где автор источника Кей-Кавус Захираддин излагает благородные качества, какими должен обладать рыцарь «*айяр*» и тем самым отличать его от остальных людей. Автор рукописи называет «*айяров*» ещё и «*джаванмард*» (по перс. «*благородные*») [21, 247–249].

С приходом ислама на Восток и созданием Арабского халифата, начинается новое развитие восточного рыцарства. Значение тяжеловоору-

женной конницы в странах исламского мира возросло на основе роста как наследственного, так и условного землевладения, пожалованного за военную службу, и получившего известность как «*икта*» (по араб. «*надел*»). Развал Арабского халифата способствовал широкой раздаче «*икта*» с закономерной эволюцией в X–XI вв. этого института землевладения из держания бенефициального типа в феодал [17, 104]. Военное дело стало прерогативой феодалов, а они делали все, чтобы не допустить участия в сражениях «*грубых мужиков*», ибо это – занятие «*благородных мужей*» сословия «*людей меча*», как отмечалось в наставлениях XI в. «*Кабус-намэ*» [21, 78]. В битвах восточные рыцари отказывались сражаться вместе с простолюдинами и с теми, кто был вооружен, как пехотинец. Не случайно в арабоязычной средневековой литературе термин «*фарис*» означал всадника, в то время как термин «*фитьян*» означал рыцари (в ед. числе «*фата*»). На территории Азербайджана распространенным термином эквивалентным терминам «*фарис*» и «*фитьян*» был термин «*джаванмард*».

Так у рыцарей вырабатывалась присущая только им психология. Великий азербайджанский поэт XII в. Низами Гянджави в своих произведениях отмечал, что сыновей феодалов до 10 лет обучали грамматике, истории, литературе, а затем «*всему, что относится к рыцарским мужественным делам*»: верховой езде, владению оружием, в первую очередь копьем, игре в човган, плаванью, бегу, борьбе, охоте и шахматам [17, 107]. Эти качества и свойства коим должен обладать рыцарь перечисляет в своем труде и автор «*Кабус-намэ*» [21, 105; 118; 120; 195]. Воинами у тюрков, согласно древнетюркскому эпосу «*Деде Горгуд*», становились в пятнадцать лет [22, 87]. Эпосу «*Деде Горгуд*» вторит и восточный рыцарь XI века Усама ибн Мункыз, который в своей рукописи «*Книга назидания*» вспоминает как его пятнадцатилетнего парня отец впервые забрал с собой на войну [23, 109]. На Востоке, в том

числе и в Азербайджане, обучению и подготовке молодого поколения рыцарей уделялось особое внимание. И здесь наряду с обучением боевым навыкам владения оружием, отдавалось предпочтение и всестороннему образованию молодежи. Ещё в XI веке персидский полководец Кей-Кавус в своем трактате «Кабус-намэ» писал: «Почёт за ум да за образованность, не за род да происхождение. Величие в разуме и знании, не в роде и происхождении» [21, 64]. Ему вторит другой восточный рыцарь XI века Усама ибн Мункыз в своей рукописи «Книга назидания»: «Он (т.е. отец Усамы) усиленно побуждал меня изучать науки» [23, 109]. В XII – XIII вв. появилась специальная литература по «рыцарскому» искусству – «фурусийа» (по араб. «рыцарство»). Основное внимание в таких трактатах уделялось военно-технической подготовке, знанию лошадиных родословных, правильному пользованию уздой и шпорами.

В конце XI – начале XII в. на Востоке образовались военно-религиозные ордена («Раххасийа», «Шухайнийа», «Халилийа», «Нубувийа»), большинство которых в 1182 г. было объединено халифом ан-Насиром ли-Дин Аллахом в общемусульманский рыцарский орден «Футувва». Членами Ордена являлись феодалы почти всех мусульманских стран, в том числе и государства атабеков Ильдегезидов, существовавшего на территории Азербайджана [24, С. 73; 83]. Обряд посвящения в члены рыцарского ордена «Футувва» был торжественным, включал опоясывание мечом, питье «священной» соленой воды из чаши, надевание специальных шаровар и символический удар по плечу посвящаемого рукой или плоской стороной меча. Рыцари Ордена называли друг друга «ахи» (по араб. «брат»), давали обет безбрачия и разделялись на степени [25, 50].

Тогда же выработались единые правила рыцарских поединков. Так, их участники должны были пользоваться одинаковым оружием. Поединки тяжелооруженных всадников носили характер стремительной сшибки, отчего и воз-

росло значение копий как эффективного оружия первого натиска. Описывая рыцарские поединки в своих мемуарах, мусульманский рыцарь Усама ибн Мункыз (1095–1188) отмечал, что в его время «появился обычай носить составные копьа, прикрепляя одно к другому, так что длина их доходила до двадцати или восемнадцати локтей» (т.е. 6–8 метров) [23, 174]. С описанием рыцарских поединков можно встретиться и в произведениях великого азербайджанского поэта Низами Гянджави, где всадники «от головы до пят скрытые под железом», открыт «был только рот для дыхания», а броня надевалась и на коня, мчались друг на друга с копьем наперевес [17, 108]. Поединки рыцарей красочно описываются в древнетюркском эпосе «Деде Горгуд», происходящем на территории Азербайджана. Боевое снаряжение рыцарей состояло из одного либо двух образцов оружия дальнего, среднего и ближнего боя: лук со стрелами, аркан, копье, дротик, гюрз (булава), меч (сабля), тебер (топор), а также кинжал или боевой нож. В фольклорных источниках тюркских народов часто при описании боевой экипировки рыцарей используется выражение «вооружиться пятью видами оружия» – это копье, лук, сабля, боевой топор и булава. Рыцари облачались в матерчатые плотные одежды, поверх которых надевались доспехи – пластинчатые или кольчатые, чаще всего «казаганд» либо «джавшан». На голову всадник надевал шлем с забралом, на ноги – поножи, наколенники, на руки – наручи, повязывал широкий металлический боевой пояс. В левую руку воин брал щит, в правой руке – мог держать наступательное оружие [22, 70–72]. Бой начинался с поединка выборных рыцарей. Каждая из противоборствующих сторон вызывала на поединок либо конкретного рыцаря, либо бросала вызов, на который мог откликнуться любой рыцарь. Поединок проходил по всем правилам боевого искусства и с максимальным использованием всех видов вооружения, а исчерпав все возможности, поединщики боролись до победного конца.

При этом поединок был строго регламентирован, и в отношениях с противником соблюдался щепетильный этикет: на поединок вызывали, о нападении заранее предупреждали, у побежденного противника осведомлялись о его последнем желании и т.д. Сохранялась возможность пощады достойного либо раскаявшегося противника. Если бой происходил без рыцарского поединка, то считалось, что сражение начато «не по правилам» [22, 97–100].

Эпоха монгольского владычества не смогла уничтожить традиций рыцарства на Востоке. Уже в бытность существования Азербайджанских государств XV–XVI вв. Кара Коюнлу, Ак-Коюнлу и Сефевидов наблюдается апогей развития рыцарства, связанное также с деятельностью духовно-рыцарского ордена «*Сефевийе*» [26, 60]. Не случайно, что в рукописях данной эпохи высшей оценкой правителю был эпитет «*дженгавер хюк-*

*мдар*» (по тюрк. «*правитель-рыцарь*») [27, 23]. Однако, в это же время, с реформами, проводимыми в государстве и армии сефевидскими шахами Тахмасибом и Аббасом I – правителями Азербайджанского государства Сефевидов в середине и конце XVI века, был переломан становой хребет рыцарству: профессиональная армия и огнестрельное оружие сводили на нет все преимущества профессиональных тяжеловооруженных всадников-феодалов. Отныне новобранец с ружьем (по тюрк. «*тюфенгчи*») мог легко справиться с рыцарем, мастерски владеющим всеми видами холодного оружия. Знаменитые слова Кёроглу – героя одноименного азербайджанского народного эпоса, о том, что с появлением ружья исчезнет благородство в поединках соперников, символизируют конец рыцарской психологии и, естественно, рыцарства как социального и исторического явления [28, 447].

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<https://doi.org/10.29013/EJHSS-19-6-41-43>

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## GREAT YASSY – A WRITTEN LEGAL DOCUMENT OF NOMADIC PEOPLE

**Abstract.** In the given article the questions connected with the history of rights are observed. The ancient norms leading their beginning from the well-known Yassy Chingizkhan were put on the basis of legal regulations. Yassy is a an arch of ancient customs and rights of Mongolian and Turkic people.

**Keywords:** legal regulations, law, Yassy, main idea, unity, nomadic people, “Zheti Zhargy Tauke Khana”, history.

The history of the people, the state is inextricably linked with the history of law. The effectiveness of any state – legal system is determined by the extent to which its norms correspond to the customs and traditions of the people, moreover, each people has its own “traditional” or customary law. Customary law over a long historical period was a universal regulator of social and legal relations, it was based on the mentality of the people, and acted as a measure of social necessity. Customary national law was more prevalent in oral character. Some customary legal systems were written. Since ancient times, Turkic people have had statehood. There were all kinds of states – small and large. But there were times when, by the will of circumstances and political considerations, many Turkic states united in the kaganates or in the empire. Any statehood or empire was based on the rule of law. The Turkic states in ancient and Middle Ages relied on the laws of Turkic customary law.

In the Middle Ages, beginning from the 11<sup>th</sup> century, some Turkic rulers proclaimed new religions to the rank of official state religion, respectively, new laws were introduced in these states. Such a ruling

elite ignored ordinary Turkic law, ignored the continuity of customary law and legislative innovation, thereby creating a disconnection of the people from their real rights. Since the alien law did not correspond to the mentality of the people, its traditions and domestic legal relations, the ruling elite enforced these rights with the help of state coercion. Therefore, in these states there was a constant internal struggle between supporters of ordinary Turkic and alien law. Traditions say that the basis of usual-legal standards was laid down by ancient norms, originating from the famous Yassy of the founder of Khan’s the empire, adopted at the beginning of the 13<sup>th</sup> century and the basis of customary law of many nomadic people [1, 151].

In 1206 Companions of Temujin at the general meeting Kurultai with full unanimity proclaimed him as Chingizkhan, the emperor, absolute, autocratic. He was raised on a felt above the heads of a crowd of associates in accordance with ancient nomadic customs and all expressed loudly their agreement to obey him. Chingizkhan vowed to abide by laws and obey them. These laws were called Yassy or

Tura – two Turkic words, of which the first means “code”, the second – “custom”, customary law, charter.

Companions of Temujin voluntarily adopted the laws of Yassy. In obedience to the khan and the laws of Yassy, they saw the highest goal of their life. They did not submit to the arbitrariness of the khan, but to the laws to which the khan himself obeyed. Chingizkhan all his life remained the exact executor of this fair law, in which the ancient customs of the Turks and Mongols were encoded.

According to the accepted order, the khan had the right to demand compliance with the law, but without violating it. Yassy was divided into two large sections:

1. *Bilik – a collection of “Sayings” of Chingizkhan himself, which contained the thoughts, instructions and decisions of the legislator, both general, theoretical in nature, and expressed regarding various specific cases;*

2. *Actually, “Yassy” is a set of encoded ancient customs and rights.*

The legal content of the Great Yassy became the normative life of the Mongolian and Turkic people and regulated all aspects of public life, including the criminal liability of the appropriate punishment and execution. Yassy prescribed tolerance in matters of religion, reverence for temples, holy places, clergy and elders, as well as mercy for the poor, etc.

In Yassy, the death penalty persecuted those who dared to call themselves khan, not being elected as special kurultai. Death threatened those who were convicted of deceit, betrayal of perjury, as well as the non-return of weapons accidentally lost by the owner in a campaign or in battle. The laws protected women and were very strict in relation to violators of their rights: rape of a married woman was punishable by death, the seducer of the girl should immediately marry her. Rape was considered the most serious crime. The punishment for serious crimes was the death penalty; corporal punishment, fines, or exile to remote places relied on minor crimes.

The main idea of Yasa can be expressed in one word – unity. Only with its adoption did the Mongols feel for the first time that they were one people.

The Great Yassy Chingizkhan instilled in the Mongols perseverance, solidarity, discipline, the ability to subordinate their emotional impulses (fear, greed) in the name of a lofty goal – victory, the achievement of the common good. If the laws were followed, all the duties of a citizen were fulfilled, then, if necessary, the whole power of the Horde came to its defense.

The most detailed information about the decisions of the “Yassy” we find from the Persian historian of the 13<sup>th</sup> century Juvaini. According to Juvaini, Chingizkhan “Yassy” was written in Uyghur scrolls (tumar) and was called the “Great Book of Yassy.” These scrolls were kept by reputable princes – experts on the Yassy; upon the accession of the new khan to the throne, these scrolls were brought to discuss state affairs and their decisions, and on their basis affairs were completed. “Yassy” was not preserved in the original and is known only in passages and abbreviations of Juvaini, Rashid ad – Dina, Ibn Batuta, Makrizi, etc.

In historical literature there are different opinions on the name of the law Great Yassy, In particular, V.A. Ryzanovsky, who was engaged in the study of the Great Yassy, wrote: “The word Yassy means a ban, a charter, a law ... The Great Yassy represents a written legislative monument published by Chingizkhan” [2, 4].

Academician B. Ya. Vladimirimtsov emphasized “that according to usual legal standards, one can make an attempt to describe the evolution of Mongols’ the social system, carefully justify each step with appropriate texts” [3, 3].

The Mongols really looked at Yassy as the gospel or the Quran. It should also be noted that Chingizkhan’s decree was mandatory not only for all the inhabitants of the empire, but also for the khans themselves. But the “Yassy” were violated by both the inhabitants of the empire and for the khans themselves. This was due to the fact that the “Yassy” of Chingizkhan regulated only the norms of nomadic life. In most countries conquered by the Mongols, particularly in Central Asia and Iran, where their legal traditions had existed since ancient times, it was extremely difficult to subjugate the population to the new law.

Chingizkhan ordered: “If someone from our Uruga violates Yassy, which is approved, once, let him be spoken. If he violates it twice, let him be punished according to the bilik, and for the third time let him be sent to the distant locality Baljin – Kuldzhur. After he goes down there and returns back, he will come to his senses. If he is not corrected, then let him determine the shackles and the dungeon. If he leaves there, having learned the adab (norms of behavior), and becomes rational, all the better, otherwise let all his close and distant relatives gather, take advice and decide what to do with him” [4, 227].

It should also be noted that every nation that refuses to recognize the supreme authority of the great khan was regarded as rebellious.

Great Yassy – an ancient codified customary law entered the flesh and blood of many nomadic people, different in their ethnicity, but similar in type of activity. Having arisen on the basis of the tribal customs of the Mongolian military tribal squads, customary law served for several centuries for both Kazakhs and Kalmyks.

The main provisions of oral law are the same everywhere, the details varied in time and space [5, 22].

Therefore, Chingizkhan confirmed the importance and recognized strength of a number of ancient norms at the beginning of the XVI century according to series of court decisions. This act entered the history as the “Establishment of Kasym Khan”, or (“Kasym khannyn kaska zholy”). These Codes are found in biys’ judicial decisions of the 19<sup>th</sup> century. When confirming the power of the ancients, usual – legal standards. A similar legal establishment is

attributed to Yesim Khan, who lived at the end of the XVI – beginning of the XVII centuries. It entered the history as “Code of Yesim Khan”, “Yesim khannyn yeski zholy” (Yesim khan’s old path). Thus, the legal system of the Kazakh nomadic society at the end of the XVI – beginning of the XVII centuries was made up by the norms of rights codified by Kasym Khan and Yesim Khan.

Subsequently, as history testifies, a significant codification of customs was adopted by a famous Khan Tauke.

According to a tradition Chingizkhan gathered seven biys in the Kul-Tobe tract, including the famous Tole bi. They combined the old customs of Kasim and Yesim khans, into the new customs of the “Zheti Zhargy”, which were not recorded in writing, the compilers wrote them in the form of short sayings and proverbs, in which a significant part was brought to this day.

Tauke Khan’s “Zheti Zhargy” became the basis of customs that regulated the legal relations of Kirghiz people of Malaya Orda.

Remaining basically unchanged, the Tauke Khan Code provided the same types of punishment as the famous Chingizkhan Yassy.

The laws of Tauke Khan regulated all aspects of Kazakh nomadic society’s life at the end of the XVII – beginning of the XVIII centuries and served as the basis of the usual-legal system for subsequent centuries.

The superiority of Chingizkhan yassy’s laws and ordinary rights of nomadic people are observed in the article.

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<https://doi.org/10.29013/EJHSS-19-6-44-48>

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## **THE IMPACT OF EUROPEAN COLONIALISM ON THE BIRTH AND DEVELOPMENT OF RACISM (AN ESSAY ON THE LEGACY OF EUROPEAN COLONIALISM)**

**Abstract.** 1492 marked the beginning of European Colonialism as Christopher Columbus explored the New World. Columbus's voyage established a connection between Europe and America. Competition among Europeans and pressure from their homeland land drove many European countries to colonize the New World, seeking greater wealth and additional trade partners. As the colonization process evolved, indigenous political systems declined, new trade routes were established, and a new global hierarchy emerged. These changes brought about an increased awareness of racial difference. An increase in inter-racial interaction would eventually exacerbate this awareness. Rising tensions between identity groups thus lead to racial discrimination. European ethnocentrism drove the exploitation of indigenous American and African people. This process of colonization and exploitation has come to be understood the enduring legacy of European Colonialism. The concomitant development of white supremacy as a byproduct of colonization fundamentally altered the trajectory of the post-colonial period; traces of which still remain to this day.

### **Keywords:**

During the 15<sup>th</sup> century, European maritime empires started to emerge as a result of various social processes such as active sailors, changing economic policies, and new technological advances. During the Renaissance, as Europe became increasingly receptive to new ideas, various developments in Europe motivated oversea exploration. One of the major reasons for expedition was to seek out new trade relationships. Establishing a more robust trade network allowed for the increased exchange of raw materials and manufactured goods, greatly augmenting European wealth. The bourgeoisie, for example, sought beneficial alliances with the European monarchs; thus, they charted the joint-stock companies, making voyages possible by raising large sums for overseas enterprises while reducing overall risk. Additionally, new technologies like lateen sails (Lateen sails were triangular sail that allowed sailors to maneuver the ship more effectively),

astrolabe, and the invention of the magnetic compass made exploration more tenable. Also at this time, Muslim traders dominated the Indian Ocean Trade network – a trade network that had long brought silk, species, and tea to Africa, Asia, and Europe, Prince Henry the Navigator (Also known as the Duke of Viseu. He was a central figure of to the Portuguese Empire and was involved in many maritime discoveries of the time period) facilitated sailors such as Bartholomew Dias and Vasco de Gama to round the tip of Africa in order to reach the Indian Ocean. Shortly after, in 1492, Christopher Columbus (An Italian explorer who completed four voyages across the Atlantic Ocean) convinced Spanish monarchs to finance his voyage. He intended to reach the east by going west. Thus, Columbus “accidentally” discovered a continent heretofore unknown to Europeans – North America, which came to be known as The New World.



Following Spain, Portugal, the Netherlands, England, and France soon started to colonize this new land, resulting in unprecedented changes in the political, social, economic, and cultural makeup of the continent. This, in turn, affected the entire globe. However, while various European states saw improved economic gains, indigenous American societies were adversely affected. European exploitation of Native Americans ultimately gave birth to the racial conscience that later evolved into racism – European ethnocentrism that held the white man was the most superior human form. This development, deeply rooted in the process of European colonization during the 16<sup>th</sup> century, had a substantial impact on the development of world history, ultimately giving way to western imperialism in the 19<sup>th</sup> century, the African slave trade, and seemingly insurmountable institutionalized racism that persists into the 21<sup>st</sup> century.

In 1519, Hernan Cortes – a Spanish Conquistador who would bring about the defeat of the Aztec Empire – landed on the coast of Mexico, in the heart of the Aztec Empire. While the Aztec ruler Montezuma greeted the Spaniard with hospitality, Cortes did not hesitate to respond violently, laying siege to Tenochtitlan, the Aztec capital. The massacre was extremely cruel according to Aztec accounts:

The Spaniards attacked the musicians first, slashing at their hands and faces until they had killed all of them. The singers – and even the spectators – were also killed. This slaughter in the Sacred Patio went on for three hours. Then the Spaniards burst into the rooms of the temple to kill the others: those who were carrying water, or bringing fodder for the horses, or grinding meal, or sweeping, or standing watch over this work [8].

Aztec resistance was futile against the powerful Spanish conquistadors, especially when smallpox was spread among the native population. Due to the fact that North and Central America had been generally isolated from most of the outside world, the spread of smallpox was especially devastating. The combination of smallpox, superior weapons, and assistance from

Aztec enemies, around 18 million [4] natives were murdered between 1520–1580. The fate of Incan civilization was similar. Francisco Pizarro conquered the Inca around 1535. Even though the mass killing was motivated by gold rather than racist ideologies, the successful conquest of indigenous American people created a sense of superiority among Europeans. Furthermore, the extreme vulnerability of indigenous peoples to new, infectious disease inculcated a perception of indigenous inferiority as Europeans were already immune. Finally, the massive discrepancy between American and European military strength widened further the unequal relationship between the two spheres.

The Spanish and Portuguese conquests of Central America ultimately resulted in Spain and Portugal gaining control of a significant portion of American land. In 1494, the Treaty of Tordesillas divided up the land in America into two parts between Spain and Portugal. Other European nations soon disputed the treaty and began themselves to colonize the New World, thereby establishing new trade networks, social infrastructure, and labor resources. All of these developments – at least to some degree – contributed to burgeoning racial discrimination against Native Americans, and Africans by Europeans.

The New World economy flourished due to the discovery of an abundance of resources. This, in turn, precipitated the exploitation of Native Americans solely for European profit. In Latin America, Peruvian and Mexican silver mines and Brazilian sugar plantations became staples within the economy. To maximize colonial profit and meet the demand of the mining economy, viceroys – appointed governors of New Spain – established a system of forced labor known as the *Encomienda System*. This labor system forced harsh and demanding working conditions onto natives, as they were adjured into performing laborious tasks without proper compensation. Bartolomé de Las Casas – a 16<sup>th</sup> century Spanish historian and missionary who first exposed the oppression of indigenous people and misdeed of Europeans – recorded the Spanish mistreatment of Americans:

...they are still acting like ravening beasts, killing, terrorizing, afflicting, torturing, and destroying the native peoples, doing all this with the strangest and most varied new methods of cruelty, never seen or heard of before, and to such a degree that this Island of Hispaniola once so populous, has now a population of barely two hundred persons [2].

As one can see, while the Spanish continued to exploit the indigenous central Americans, they did so at the expense of the people they had colonized. Through the establishment of the *Encomienda System*, an imbalance between Europeans and indigenous Americans was created. Even though the intention of Spaniards was to obtain wealth, they did so at the expense of the people they concomitantly colonized.

The native American population was quickly reduced as a result of their harsh treatment at the hands of the European colonizers. Thus, colonists had to search for alternative labor sources. During the 16th century, African slaves were brought to the New World through the middle passage of the Atlantic Circuit System. Europeans kidnapped Africans and brought them on ships across the Atlantic Ocean to be delivered to America. Between 1550–1850, at least 10.634.515 documented slaves were carried by 34.371 voyages from Africa to America [14]. Due to the harsh nature of the voyages, many slaves died in transit. The estimated death rate was about 15% [15]. The rate of death was affected by a variety of factors; but, it generally increased with the length of the voyage, spread of disease, starvation, and onset of depression – certainly symptomatic of enslavement. Reflecting on the experience of the African slave trade, a former slave by the name Oladudah Equiano wrote.

The closeness of the place, and the heat of the climate, added to the number in the ship, which was so crowded that each had scarcely room to turn himself, almost suffocated us. This produced copious perspirations, so that the air soon became unfit for respiration, from a variety of loathsome smells, and brought

on a sickness among the slaves, of which many died – thus falling victims to the improvident avarice, as I may call it, of their purchasers [6].

In addition to the horrendous nature of the voyage to America, the lives of African slaves were made even more miserable when they arrived in the New World. The mines in Mexico, sugar plantations in Brazil, and tobacco farms in the Chesapeake all required large amounts of labor to maintain, the demand for slaves in the New World was substantial. The slaves endured hard labor with minimum amounts of food and rest. To escape from punishment, they were also forced to work excessively hard. According to the Slave Codes, slaves must obey their slaveowners, and slaveowners had the right to kill their slaves. Simply put, slaves were considered property and they had no rights or freedom. This sad reality becomes all the more poignant when one considers the fact that slaves were often forced to assimilate to the culture of their owners. Banned from practicing their inherited traditions, they were often forced to convert to Christianity.

Thus, the Middle Passage – which arose due to the practice of European colonization discussed above – resulted in a slave system based on racial segregation. Africans were considered an inferior race who do not deserve to have basic human rights. The slave codes prevented black people in the colonies from leading free lives. Additionally, the fact that Europeans utilized forced assimilation to spread Christianity among the slaves showed that Europeans thought their culture and religion were superior to those of other races. Ultimately, the Middle Passage was a key component of the Atlantic system – a trading network that connected Europe, Africa, and America. Through this network, raw materials from America were brought to Europe, African slaves were brought to America, and manufactured goods from Europe were brought to sell in Africa and America. In other words, Europeans obtained raw materials, labor force, and markets for their goods. As a result, an excessive amount of wealth was transported to Europe while Americans and Africans were taken

advantage of. This disparity was one of the underlying sources of what would become European ethnocentrism.

The Atlantic System brought Europeans, Americans, and Africans into contact with the New World. As a result of the intermarriage of different races, a new social system – the *Casta* system (*Casta* was a term used to describe mixed race individuals in Spanish America) – was formed in Spanish America. The *Casta* System brought with it a new social hierarchy. At the top of this hierarchy were the *Peninsulares*, – colonial officials who were born in Spain; below them were the *creoles*, white people who were born in the colonies; below the *creoles* were the *mestizos* – people with European and Native American ancestry – and *mulattoes*, people with both European and African ancestry. At the bottom were the Native Americans and African slaves. *Peninsulares* and *creoles* were in charge of the colonies, enjoying considerable amount of freedom and wealth. However, the *Peninsulares* were considered superior since they were born in the Spain. The *mestizos* and *mulattoes* were in the middle of the system because they were partly of white ancestry, but not considered as “pure” as *Peninsulares* and *creoles*. Lastly, the Native Americans and slaves at the bottom of the hierarchy had no basic rights. One can easily see that the *Casta* system was based exclusively on race. The hierarchal order of people merely depended on their relationship to mainland Spain. It was extremely important to the Spanish colonies since it defined the social status, level of taxation, and legal rights. The establishment of the class system put racial disparity on full display in the colonies. Indeed, it had a long lasting impact on the development of racism even after the colonial period.

During the western imperialist era during the 19<sup>th</sup> century, European ethnocentrism was one of the primary motivators of European imperialism. European powers clung to the belief that inferior races should be conquered in order to be “civilized.” For example, in 1884, Otto von Bismarck – the first chancellor of the newly established German state – established the

Berlin Conference, a conference held in the purpose of regulating European colonization and trade in Africa. This conference divided Africa into numerous European colonies, granting control of different regions to different European powers. African colonies were considered weaker than European countries. Thus, Europeans felt compelled to subjugate them. This was essentially just one instance of Social Darwinism – the idea that certain races were more powerful because they were innately superior – and was characteristic of American and African colonization during this timer period.

Racism still persists. In the 2010s, the alt-right movement, a white nationalist coalition that intends to expel racial minorities, emerged within the United States. In August of 2017 in Charlottesville, Virginia, a rally was held with the purpose of unifying various white nationalists. During the rally, a white supremacist drove his car toward a groups of counter-protesters, causing 20 casualties and killing one person. As the Department of Homeland Security and Federal Bureau of Investigation have stated, white supremacist violence has been the leading form of domestic terrorism in the Unites States [10].

In conclusion, European colonization efforts during the 15<sup>th</sup> century inspired many unprecedented changes to the world and impacted the political, social, and economic systems of both Old and New Worlds. The development of racial prejudice and discrimination was one of the legacies left behind by European colonialism. The political conquest of the Aztecs and Incans marked the initial contact between Europeans and indigenous North Americans and formed the foundation of modern racial tensions. As colonization efforts continued, racial tensions escalated with the establishment of *Encomienda System* and Middle Passage slave trade. Native Americans and Africans were deprived of their rights. The *Casta* system represented a sophisticated form of racism in the American colony, as the social hierarchy was based on racial status. After the colonial period, racism and Social Darwinism still played

a role in history as an example in during the era of western imperialism. Today, although one might think that the world has moved beyond, presence of racial prejudice still exists on some extent.

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<https://doi.org/10.29013/EJHSS-19-6-49-53>

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## THE HISTORY OF THE CATHOLIC CHURCH IN LEVANT IN THE LAST DECADE OF 17<sup>TH</sup> CENTURY DEPENDING ON THE CORRESPONDENCE BETWEEN THE BISHOPS OF SYRIA AND THE HOLLY SEE

**Abstract.** This article aims at elaborating some information regarding the Catholic Church in Levant in the last decade of the seventeenth century, depending on some manuscripts which had been sent by the bishops of Syria to the Catholic cardinal of Constantinople, as well as to the Pope of Vatican in 1694/1695AD. The documents mentioned and pointed out the status of the Church inside the Ottoman Empire and its relationships to other communities and governments.

**Keywords:** Ottoman Empire, Catholic Church, Syria, Levant, Orthodox Church.

### Introduction

Christianity in Syria dates back to the era of Christ who was born in one of the cities of Palestine called Bethlehem during the reign of Augustus Creaser the Roman Emperor. At the time when the Christ called people to believe in his religion, Syria was under the control of the Roman Empire and all societies inside the Empire were pagan except small Jewish groups. Therefore, Christianity had faced many difficulties that the execution and persecution was what the 'new believers' faced as traitors to their old religion and their legacy [9, 16].

Despite all challenges, the pupils of Christ were able to spread the new religion out of the holy land to new places such as Cyprus, Syrian port cities and Antakya, which was the first stronghold for Christianity in the world.

The new belief and faith had not been spreading without the instructions and orders of the church, which was arranged and organized by the twelve pupils of the Christ when they established the first church in the world located in Jerusalem, led by Peter the great.

The working of the church was not acceptable and Jewish rabbis did not prefer losing their privilege in Jerusalem to the new faith so that they encouraged hatred against the church and the priests.

When the pupils could not defend themselves, they fled Jerusalem and ended up in varied Syrian Cities establishing new churches, converting a new people to the faith, creating a new hierarchy and giving the monks the rights of spiritual and temporal power under their supervision.

The pupils had continued their calling to convert the people to the new religion and when the Christian community grew up to be wider, the need of linking the churches to each other became a necessity. Therefore, they appointed a Bishop for each region who was responsible for meeting the monks under his authority once a year under the name of regional council [10, 13–14].

### The division of Christianity

According to the manuscripts, the first splitting in the Christianity goes back to the 451AD when the Chalcedon council forbade dealing with Discords and his proponents, regarding the nature of the Christ. The

Manuscripts illustrate the catholic dogma that admits Christ has two natures (divine nature and Human nature). The epistles, which were sent by two bishops, are as follows:

– Peter Ignatius the Patriarch of Antakya in 1694 AD sent six letters, five of them to the Catholic Patriarch OF Constantinople and last one to the Pope of Vatican [1; 2; 3; 4; 5; 8].

– The Bishop of the east Basil Isaac sent two letters to the Catholic Cardinal of Constantinople in July 8, 1694 and in 1 January 1695 AD [6; 7].

However, this problem has so deep root in the history of church that the first heresy unlashd by Montas the Monk who called himself the Holy Ghost. As a reaction against the heresy, which remained two centuries, the church of Antakya and the church of Alexandria in Egypt appeared as the defender of the Christianity, following various methods and using different views on explaining the nature and the essence of the Christ even one of the bishops of Alexandria who called Arius considered the father is the only true God.

Despite the monks of Alexandria deprived dealing with him but he was able to transfer his ideas to other monks in Antakya. Therefore, the ramification inside the church started and they held their first ecumenical service in Nicea 325 Ad to prevent these ideas but even though the movement did not stop.

After Arius movement, the bishop of Antakya Nestorius did not accept the name of the mother of God for Virgin Mariam, on the basis that the God should not have a mother, so that a new confrontation between Alexandria and Antakya took place. For that reason, the ecumenical council was held in 428 AD again to consider this matter, which had been ended by sending the bishop of Antakya to the exile in the Desert of Libya but his ideas went on.

Without further due, another situation had arisen when Discords Who was the bishop of one of the churches of Constantinople admitted, there is one nature regarding the Christ that according to his knowledge the human nature melted and diminished by the divine nature.

The Chalcedon council had been held in 451 AD including five hundred Bishops. The committee of the council deprived dealing with Discords, and his proponents and who refused the council established later the Coptic Orthodox church in Egypt and the Syriac Orthodox church in Antakya.

The church of Antakya had been divided into two churches since the 5<sup>th</sup> century. The Royal chapel adopted the ideas of the emperor of Constantinople Marciano, who counted the Chalcedon council as the cornerstone of Christianity. The other church called the Syrian Orthodox church, which believed in one nature regarding the Christ [11, 47–48].

### **The Catholic Church inside the Ottoman Empire in the End of 17<sup>TH</sup> CENTURY**

Various ethnic and non-Muslim peoples were liable to the Ottoman state, which adopted a special system in the administration of its affairs. It was called the Millet system and included the Greek Orthodox, the Armenians and the Jews. Sultan Mohammed Al-Fateh was the founder of this system by putting the whole Orthodox Church under the authority of one Patriarch and called the Orthodox community, as the Roman Millet. Concerning the Armenian Church, which was called the Gregorian Church, or Armenian Orthodox Church, the Sultan Mohamed Al-Fateh appointed the Bishop Hovagim in Bursa as its president and gave him the title of Patriarch of Istanbul. And all of them, including the Armenian Patriarch of Istanbul, the Chief Rabbi of the Jews, and the Patriarch of the Orthodox had several privileges such as the right of establishing a court and a prison under their authorities with all the civil powers related to their sects.

The Ottoman government did not give the catholic communities the same privileges on the basis that the Ottoman government looked at them as a danger could be used by the European Enemies but the Orthodox and Arminian did not have a line with the European countries [13, 99–100].

Despite all of that, the Ottoman Empire during the reign of Magnificent Suleiman gave the king of

France the right of protection the Catholic in the Empire in 1536 AD which exploited the bad relationships between him and the King of Spain who was the strongest enemy to the Ottoman Empire in 16<sup>th</sup> and 17<sup>th</sup> centuries.

In 16<sup>th</sup> century, the Ottoman Empire did not care about these privileges on the basis that the Sultan was the most powerful man in the world and has the right to accept, refuse and decline all the treaties or deals, which had been held with the European countries [18, 21].

The Catholic Church tried to use the good relationships between the Ottoman and France to get more influence inside the Ottoman Empire supported by the missionary expeditions, which had a historical knowledge related to the east [14, 124; 19, 168].

The manuscripts that had been sent from the patriarch of Antakya to the catholic cardinal of Constantinople and to the pope of Vatican in 1694 AD, dedicated diverse issues, regarding so many different topics which one of it was the situation of the Catholic church inside the Ottoman Empire.

The relation between the Catholic Church and the Ottoman government was affected by the affiliation between the catholic and Orthodox Churches. One of the manuscripts described the toil and hardship of one of the bishops who called Isaac who was accused of treason by the Orthodox Patriarch.

The Ottoman government took advantage of such cases to put the pressure upon the Catholic Church, which found itself obliged to use different ways in dealing with the Ottoman authority such as asking the king of France and Papacy for assistance and paying bribes to the Highly-ranked officials. The manuscript also mentioned a Palestinian family who mediated in favor of the Church at the local authorities in Syria and Topkabi palace in Constantinople [8].

As a result, to the aforementioned, information, the Ottoman Empire did not include the Catholic Church of Syria in its Millet systems. On the, contrary they considered it as a foreign entity.

### **The relationships between the Catholic Church in Syria and European countries in last decade of 17<sup>th</sup> century**

The manuscripts offer a wide view regarding the relation between the Catholic Church of Syria and the government of France in the end of 17<sup>th</sup> century especially in 1694 AD that the king of France and his ambassador intervened in the favor of the Catholic Church in many occasions. Once, the French ambassador, Duchtonov reinstated the catholic patriarch of Antakya Peter Ignatius into his chair after 3<sup>th</sup> years of isolations [1].

Another instance on the good relationship between the Catholic Church of Syria and the king of France was when the French ambassador spared no efforts to issue a decree for appointing one of the catholic bishops Isaac, as the bishop of Aleppo church. Furthermore, all the documents depicted the king of France as the protector of the realm [2].

On other hand, the relation with the Government of Spain was very bad that one of the bishops, Atnasius, was sent to the India through European countries by the Patriarch of Antakya to collect charity for the catholic church of Syria, was seized by the prince of Cades who was under the authority of the king of Spain during his way back to Syria.

The patriarch of Antakya demanded the Catholic Cardinal of Constantinople four different times to solve this issue and set the bishop free as well as the money [3]. However, the documents illustrate that the demands did get attention therefore the patriarch sent another epistle to the Pope of Vatican Innocent XII to mediate at the king of Spain to give the bishop his rights.

The documents elaborate that the detention of the bishop was related to accuse him of heresy, but to what extent this charge was true, especially the patriarch of Antakya tried many times to explain the reason of collecting money was for serving the goals of the catholic church [1].

### **The role of church in the education in Syria in the end of seventeen century**

The manuscripts also refer to the educational process, which was one of the most effective approaches used by the Catholic Church for gaining popularity inside the Ottoman Empire, that the bishop of the East Basil Isaac in his letter, which dates back to 8<sup>th</sup> of July 1694 AD, demanded the Pope of Vatican to provide him with the New and Old Testament, history books, Aben Sina book for medicine, and the book of Claudius in geometry science which were used in Education [4].

The papacy also opened many schools to educate the bishops and the people, given that the Pope Gregory XIII started this movement when he established the Grecian institution in Rome and Maronite school in Lebanon in 1584 [10].

As a part of the history of Catholic Church in Levant the manuscripts point out the role of the missionary expeditions in the educational process since the history of Missionaries returns back to the era of the Crusade wars, which accompanied the Crusade campaigns and several missionary groups settled in the coastal cities and ports of Syria.

In this early period, the activities of the religious groups were confined to meeting the religious needs of the European civilians and militant communities, such as the performance of the ritual sermons and preaching, along with the cooperation of the governors of the Crusaders' mini-states in all the seized cities and ports. The missionary expeditions also took on the responsibility to take care of the Christian pilgrims that were coming to visit the Holy sites and to supervise their issues. For that purpose, the religious orders of ad-Dawiya and al-Istibariya were established [15, 367–381].

During the sixteenth and seventeenth centuries, the work of the missionary expeditions has flourished in many cities that the treaty between the king of France and the Magnificent Suleiman had its fruits in facilitating the transmission of the missionaries giving them the protection of souls and properties.

The catholic missionaries were too many in Levant such as Franciscan and Dominican, the Society of Jesus, the Carmelite order, and Capuchins [16, 97]. The manuscripts also indicate clearly to their work on Languages like Arabic, Latin, and Syriac as well as teaching philosophy, mathematics and theology [5] in purpose of educating the clergymen, creating new local Catholic elite for future enterprises. One of the bishops, called Isaac, who was mentioned before was one of the students of Capuchin domination, whom the manuscript depicted him as trustworthy man, made every effort to convert the people to the catholic doctrine in Aleppo [2].

### **The financial sources of the Catholic Church**

In the Ottoman Empire, all the posts should had been accepted by the grand vizier and stumped by his seal. All of the high ranked officials had their prices [17, 65] even the religious posts required that decree [1]. Therefore, the Catholic Church in Syria tried to collect money in different ways such as charity.

The financial resources were so important to the catholic church in Syria specially the payments which were dedicated to protect their posts and legislate their works in front of the Ottoman Authority, which did not hesitate to fine them under no circumstances. Therefore, the Church demanded the Papacy to restore the confiscated money for running it in trading or as transaction.

Beside the charity the aid funds, which was sent by the papacy, was forming another source to the Catholic Church in Syria. Two different manuscripts enquired about the delay of these aids [5].

Another manuscript was sent by Basil Isaac the bishop of the east to the catholic cardinal of Constantinople in July 8, 1694 required sending the great indulgences, in order to be offered to the believers in holidays [7].

### **Conclusion**

Syria is considered as the birth place of Christianity and its oldest home. From its inhabit, the preachers run out and Christian-Christian struggle started and continued for many centuries taking



many forms in various regions in the world. Therefore, the search in this kind of History could enrich the human world.

The research in the history of the church is especially difficult, on the one hand, if the documents which lay between our hands were rare. On the other hand, it is still very useful to the one who is fascinated in the religion and history that the documents could illustrate some missing information or discover a new path in the historical research.

The Ottoman Empire in the last decade of 17<sup>th</sup> century did not consider the Catholic church of Syria included in the millet system but, on the contrary, the Empire considered the church as a foreign entity

given some privileges caused mainly by the political relations with the king of France.

Despite the protection of the King, the Catholic church of Syria had faced many difficulties which were apparent in the document. Thereby, the Catholics obliged to use crooked ways in their dealing with the Ottoman government.

The good relations with France impacted the relation of the church with Spain in a negative way and the papacy was the only Facilitators who could let the Syrians protect their issues.

Finally, the Catholic church of Syria was a scapegoat for the European- European struggle in the case of Spain and France and Ottoman-European wars.

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## Section 4. Coaching

<https://doi.org/10.29013/EJHSS-19-6-54-65>

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### **P3T (TRAINING, GUIDANCE AND INTEGRATED ASSISTANCE) MODEL-BASED ON ASSESMENT NECESIITY TO CREATE PTK (CLASS ACTION RESEARCH) ARTICLE RESULTS FOR ELEMENTARY SCHOOL TEACHERS**

**Abstract.** This research is aimed to develop P3T Model (Training, Guidance and Integrated Assistance) based on need assessment to make article of result of PTK in the framework of PKB of elementary school teacher. Research design using R & D with development steps as follows: 1) preliminary study; 2) model development, and; 3) trial. Stages begin the literature and field studies, then analyze the factual model to design a P3T Model based on need assessment validated by experts and practitioners through FGD. Furthermore, conducted limited trials amounted to 35 people in the KKG forum in the area UPTP regulation of Kudus District. Data collection is using documentation techniques, questionnaires, in-depth interviews, tests, and observations. Data analysis used qualitative descriptive and quantitative approach. The result is increased understanding, attitudes, and ability of teachers to write articles on PTK results. The mean value of posttest 77 increased from the pretest mean of 22.60. This P3T model needed, helps, and motivates teachers in compiling the PTK results articles. Teachers are able to write articles of PTK results correctly.

**Keywords:** Training Model, Guidance, Integrated Assistance, Articles of PTK Results.

#### **I. Introduction**

Teachers function, role, and domiciled very strategically in national development, especially in the field of national education. The lack of professionalism of teachers is one of the causes of low quality education in Indonesia. This is in line with the opinion from Aqib [1] stated that teacher was a deciding factor for the success of education in

the school because a teacher is the central source of learning activities teaching. In Law Number 14 in 2005 about teachers and lecturers, teachers placed as a very important and dignified profession. Even teachers who are certified professional educators receive an additional one-time principal salary both teachers status of civil servants and permanent teachers Foundation. Therefore, the teacher's

professional level needs improved, including elementary school teachers.

According to Tilaar [10], a professional performs its work in accordance with the demands of the profession or has the ability and attitude according to the demands of its profession. They perform their work or activities based on professionalism, not in an amateurish (although it could be the work of an amateur very high quality). Professionalism is contrary to amateurism. A professional will continuously improve the quality of his work consciously, through Education and Training Program known as (*Diklat*). Noting the characteristics of the teacher's work, he is profession. In line with the opinions of Louis V. Gerstmer (in Surya [8]) teachers are professional work in education.

Professional teachers need to engage in teacher profession of development activities, such as self-development (covering functional training and collective teacher activities) and scientific publications (covering reports of research and scientific articles). One of the forms of this activity is writing results of PTK (Class Action Research). Thus, teachers are required to be able to research and publish their results (PTK's articles). This claim is set out in: (1) Regulation of the Ministry of Administrative and Bureaucratic Reform No. 16 in 2009 about the functional department of Teachers and their credit numbers. (2) Joint regulation of National Educational Institution known as (*Mendiknas*) and head of State Personnel Agency known as (*BKN*) number 03/V/PB/2010 and 14 in 2010 about the instructions for implementing the teacher's functional department and its credit number. In the content of the instructions, among others, each increase to a higher level ranges from the rank/class III, one of which is required to write scientific works.

This will overwhelm the teacher and the concern (a serious problem occurs, i.e. the teacher does not reach the rank of not being able to produce scientific papers), if the teacher is not preparing to write the result of PTK. So far, the teachers who have not done

the PTK and their article, even some are apathy and feel burdened, so resigned to the circumstances. As the indicator, before it published above regulation, which governs the promotion of the teacher's functional position, many teachers are delayed submission of promotion from VI A to IV B and so on. The main inhibitor is the difficulty (unable) to produce a result article of PTK (Class Action Research).

In general, teachers do not yet have a fundamental and comprehensive understanding of the PTK (Class Action Research) results, as they should. In line with the results of the study "Mapping the response of teachers to the enactment of the Regulation of the Ministry of Administrative and Bureaucratic Reform No. 16 in 2009 about the functional department and its credit score" it assumed that:

1. Teachers face difficulty in arranging the scientific work of PTK (Class Action Research) results so it is difficult to propose promotion and functional position.

2. The teacher also responds with a good desire to follow the training of professional development of teachers, especially those associated with scientific papers (articles) results of PTK (Suyoto etc. [9]).

As a follow up, to overcome the above problems, research needs to be done related to the development of effective training model so that teachers, especially elementary school teachers are not having difficulty creating articles of PTK (Class Action Research) results. This research aims to develop Model of P3T (Introduction to Higher Education Programs) based *need assessment* create article PTK (Class Action Research) result in Sustainable Professional Development known as (PKB) framework for teachers of elementary school. This is directly related to the research from Semarang PGRI University namely Human Resources excellence and identity with the topic of waiting LAN (State Administrative Institutions) coaching and development of human resources to improve professionalism: coaching professionalism of Human Resources Educators (teachers)".

Practically, the results of this research can contribute to stakeholders used to take follow-up policies to optimize the resources of teachers in order to improve their professional. Especially in addressing the Regulation of the Ministry of Administrative and Bureaucratic Reform No. 16 in 2009 about the functional department of Teachers and their credit numbers for elementary school teachers on the articles of PTK (Class Action Research) results as one of the scientific publications through effective training. As teachers, need professional training to observe insight and improve their skills (Musfah [4]).

The approach of training-based need assessment (need analysis) expected to provide the learning experience of the trainees as needed, to develop their individual potential and complete mastering (*Mastery Learning*) Competencies that are being trained,

without having to be burdened by things that are not related to the mastery of such competencies. According to Martiyono [3] *Coaching* (training) is a process of delivering or accompanying people who built from current conditions to better conditions according to their needs. Effective Coaching is a process that maximizes the potential that one's own. The training system is a unity consisting of *inputs* components, processes, *outputs*, and *outcomes*. Every Model contains three categories, namely: planning function; implementation functions and evaluation functions.

Ng Pak Tee (2005), GROW ME is one of the coaching model oriented to human development. The stages consist of steps: goal, reality, option, what next, monitoring, and evaluation. These Actions of GROW ME consist of as follows.

## Coaching GROW ME model

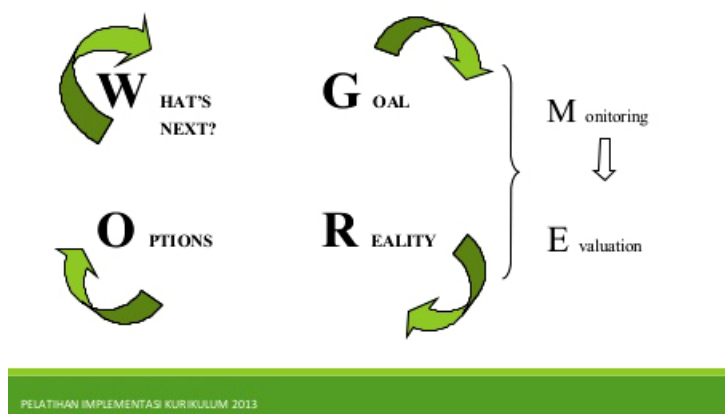


Figure 1. Coaching GROW ME MODEL

Source: Ng Pak Tee (2005)

1) **Goals**, the step of preparation staged or expected target. At this stage, it is known first the ability of participants by giving *Pretest*. *Pretest* given based on required necessities.

2) **Reality**, the step is *analyzing* the stage of the current condition. Pretest results from the *goal* stage analyzed together. Every aspect of knowledge, manufacture of products, and performance analyzed and determined each other's weaknesses. Each participant is given the opportunity to comment on their

own performance or the performance of their colleagues until they are aware of their weaknesses.

3) **Option**, the stage considers possible actions to achieve a goal. Weaknesses found based on *Pretest* result analysis used as reference by participants to learn what action to take to achieve the goal. Participants can receive resources to provide reinforcement materials in order to improve participants' performance.

4) **What Next**, the stage of action determination to be implemented action to achieve the objectives.



Based on results analysis *Pretes*, determined action should be taken.

5) **Monitoring**, the step of checking or observation of actions that is taken and progressed.

6) **Evaluation**, learning and execution stage to determine the level of achievement of goals that have been set and determine the important things that need given to learn.

Mentoring is a guidance process that is the process of assisting by a more skilled person to someone or some people so that the person who guided can develop his own and self-reliant skills by utilizing Individual strengths and suggestions that developed based on prevailing norms (Prayitno [7]). In this case, the advanced coaching of the training has done to the teachers both individually and in groups.

Mentoring as an effort to include communities in developing is various potentials to achieve quality. Mentoring understood as a teacher’s empowerment activities by placing its companion as a facilitator, communicator, motivator, and Dynamistator. This mentoring is a continuation and alignment between

training and mentoring so that it eventually became a P3T (Introduction to Higher Education Programs) Model based on *need assessment* to provide the PTK (Class Action Research) result article in the framework of Sustainable Professional Development known as PKB for Elementary teachers, hereinafter called P3T (Introduction to Higher Education Programs) Model.

**II. Research method**

The research design used in this research is *Research and Development* (R & D). This design used to develop the P3T (Introduction to Higher Education Programs) Model with its development procedures adopted in the *R & D* design measures meaning a research program was followed up with a development program for improvement or enhancement (Borg Borg and Gall [2]). The measures R & D are implemented in three main steps of research, namely: 1) Preliminary stage; 2) development stage, and 3) stage of product trial. Overall, the flow of this research development procedure described in the figure below.

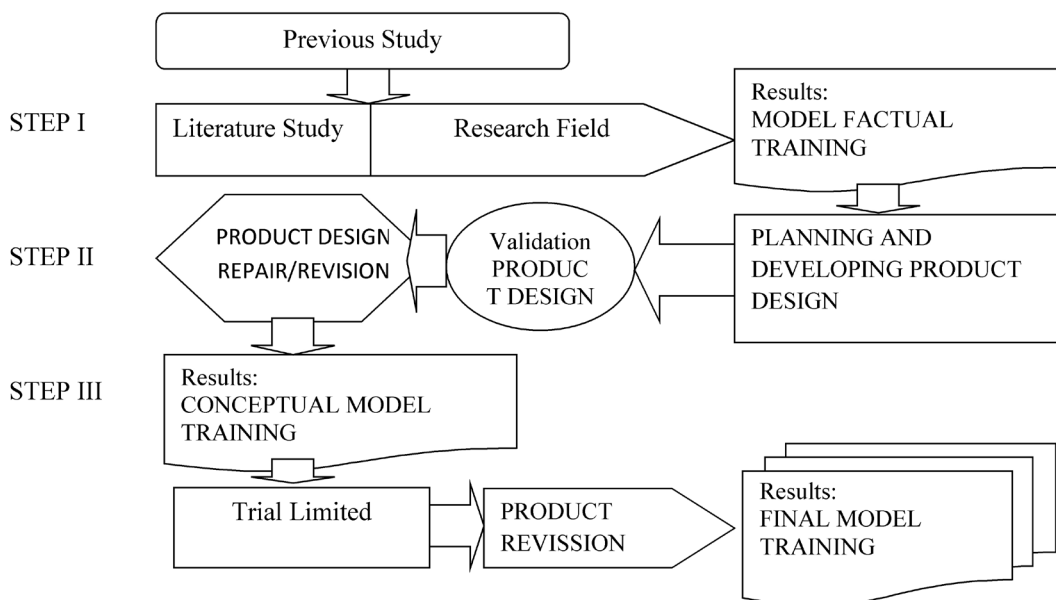


Figure 2. Model Development Research Procedure of P3T

First, this introductory stage is the activity of *research and development/data collecting* which includes literature study, field data collection (identification

of problems and analysis of needs), and data description. The results of this study analyzed with a qualitative approach to find factual models and design the

training model making the Article effective of PTK (Class Action Research) results.

Second, the development phase consists of development planning products, developing product design, conducting product design validation, and product design revisions. The development of this training model is the development of P3T (Introduction to Higher Education Programs) Model. Validation model conducted consultation, test expert (expert judgment) by training experts, and conducted FGD (Focus Group Discussion) which attended by head of UPT (Technical Implementing Unit) education, supervisor, the Headmaster of Elementary School, and teachers as a product user. Input from experts and practitioners were taken into consideration to revise the product design of the training model. The product design revision of this training model results in a limited findings of the P3T (Introduction to Higher Education Programs) Model.

Third, this limited trial stage intended to collect data used as a basis to establish that the product model developed worthy and effective to implement. The objective of this training model is limited to 35 participants consisting of: 1) Five supervisors; 2) Twenty-seven Principal of Elementary School, and 3) Three elementary school teachers who are members of the KKG (Teacher Working Group) forum in UPT (Technical Implementing Unit) of Regulatory Education of Kudus District.

The data collection techniques used in this study was: 1) polling; 2) in-depth interviews; 3) observations; 4) tests, and; 5) documentation. In this study used techniques of descriptive qualitative data analysis with test *credibility*, *transferability*, *dependability*, and *conformability* about (1) operational understanding of the implementation of PTK (Class Action Research) results as a scientific publication based on the Regulation of the Ministry of Administrative and Bureaucratic Reform No. 16 in 2009. (2) Implementation of the training of article drafting results of the PTK (Class Action Research) that have been running, (3) identification of the problems and

needs of the teachers based on the preparation of PTK (Class Action Research) articles, and (4) Designing a training model that can be Developed sustainably.

Based on empirical studies and various theory and model references, there will be a training mapping, mentoring, and teaching resource assistance in order to realize the professional development of teachers based need assessment In Kudus District as it was designed. The phasing of data analysis consist of as follows: 1) interaction occurred from before until after the data collection; 2) data reduction, collected data must be reduced: In accordance with the conceptual framework that has been compiled; 3) data display, concerning the essence of data structures; and 4) Conclusion drawing and verification: interpretation of researchers.

### III. Result and discussion

#### 1. Facts Empirical Training Model writing articles of PTK (Class Action Research) Results

Preliminary studies are conducted to describe the factual training model to improve the writing skills of PTK articles for elementary school teachers organized by UPT (*Class Action Research*) of Regulatory Education of Undaan Regency in Kudus District. Data is collected using in-depth interview techniques and poll techniques. In-depth interviews conducted on (1) Head of UPT education in Kudus namely Mr. Sutarno, S. Pd., (2) Elementary School Supervisors, (3) Elementary School Principal, and (4) elementary school teachers in UPT Education of Undaan Regency in Kudus District. The poll techniques filled by respondents, supervisors, Primary principals, and teachers who join the KKG (Teachers Working Group).

Based on the results in depth interviews acquired that the factual model of training to improve the ability to write articles of PTK (Class Action Research) results for Elementary School teachers has not been held specifically stand-alone. Training model implementation is included or affixed at a glance attached to PTK training organized by UPT (*Class Action Research*).

Education is such as in Undaan Regency of Kudus District. The material writing articles delivered at a glance attached to PTK (Class Action Research) training with lecture methods and explanations. Respondents have specifically never participated in training writing articles for PTK (Class Action Research) results. As the questionnaire stated by participants showed that 100% of the participants did not participate in the

training specifically “the training implementation of the PTK (Class Action Research) results article”. The training that was attended by 83.33% of participants was “training preparation PTK (Class Action Research)”, but in the delivery of the training materials delivered at a glance about the writing of the PTK results and 16.67% never follows this training model. The model of the training presented in (table 1 and table 2) below.

Table 1. – Training experience in making PTK (Class Action Research)

No.	Teacher experience in training preparation of PTK	%
1.	Ever participated in PTK training, but in the delivery of training materials delivered at a glance about the article writing of PTK result	83.33
2.	Ever participated in PTK training, but in the delivery of training materials delivered at a glance about the article writing results PTK	16.67
	Amount	100
3.	Teachers do not follow the training specifically “training implementation of article drafting results of PTK”	
	Amount	

Table 2. – Number of PTK (Class Action Research) Training

No.	As a teacher once attended PTK training	%
1.	One-time attending PTK training	30
2.	Twice attending PTK training	20
3.	Three times attending PTK training	20
4.	Four and times up attending the PTK training	30
	Amount	100

For respondents who have written an article from PTK (Class Action Research), it turns out that the writing technique patterned on the example of another person’s article. With this model of training, making the training ineffective to produce the participants (the teachers) understand and able to write the article results of PTK (Class Action Research) correctly. The articles are untrue. This ineffectiveness is seen preliminary test results of the trainees showed an average value of 22.60%. Based on the results of

in-depth interviews received acknowledgement participants had trouble creating the PTK (Class Action Research) results article. The results of the filling poll indicate that Total 100% of the teachers stated that they have not understood the meaning and type of the PTK results, how to write the results of the PTK (Class Action Research) article, and the correct PTK (Class Action Research) article systematics. Any aspect that not yet understood by the participants presented in (table 3) as follows.

Table 3. – Understanding the Concept of PTK (Class Action Research) Results Article Drafting

No.	Teacher understanding of PTK results Article drafting	%
1.	Doesn’t understand the meaning and type of PTK article results	22.26
2.	Doesn’t understand how to write PTK article result correctly	49.21
3.	Doesn’t understand the correct PTK article systematics	28.53
	Amount	100

Training Model Drafting of PTK Class Action Research) article conducted in UPT (*Class Action Research* education District Undaan Kudus District in the framework of Sustainable Professional

Development known as (PKB) for elementary school teachers to submit proposals for the promotion of a role and group rank can be described as follows.

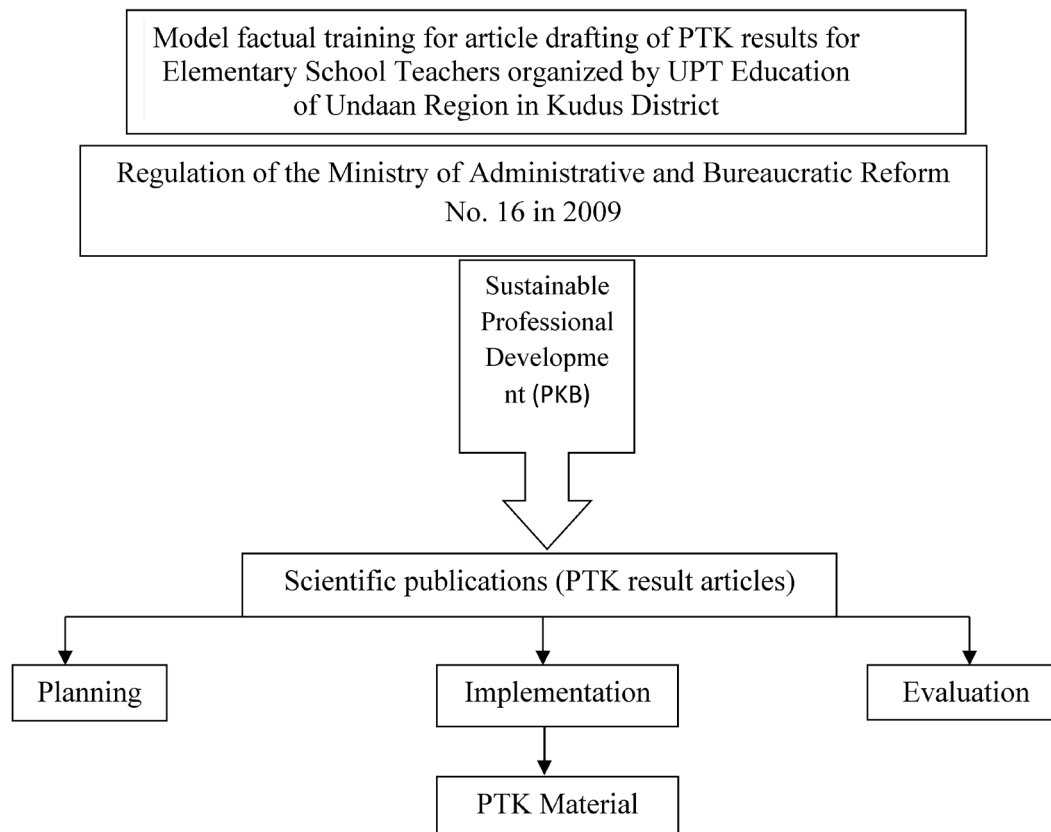


Figure 3. Model factual training in article drafting PTK (Class Action Research) results

The weakness analysis of factual model of the preparation article results of PTK (Class Action Research) which delivery of the material is included (pinned) to the main material PTK, namely:

1. In training planning has not optimized the need for analysis of teacher's desired necessity as training participants and formula objectives have not been aligned with the needs of teachers to improve the ability to write articles of PTK (Class Action Research) results.

2. In the implementation of the training has not applied supervision and mentoring in an integrated, both intensive and extensive mentoring. Strategies and methods applied have not looked collaborative yet. Trainer approaches centered. Especially for the submission of the article, material cannot present in detail (expressed in the outline only, because it

attached to the presentation of PTK (Class Action Research) material. Practice of organizing the article never done especially until there is guidance and mentoring in an integrated to compile the article results of PTK (Class Action Research).

3. Evaluation has not done in training that covers understanding concept of PTK (Class Action Research) articles, attitudes, and the ability to organize articles from PTK (Class Action Research) so that it has not seen its level of achievement.

## 2. Training Analysis Necessity to Create a PTK (Class Action Research) Article Result for Elementary School Teachers

As the basis of designing the development of P3T (Introduction to Higher Education Programs) Model based on assessment necessities, it needed in-



put as the needs of regional based teachers in UPTP of Undaan Region in Kudus District. In capture this necessity done by giving an open polling to 35 respondents and followed up with an in-depth inter-

view. Result of map description of teacher needs to be able to produce PTK (Class Action Research) article result through training presented in (table 4) as follows.

Table 4. – Respondents Necessity in training to create PTK (Class Action Research) articles results

Categories	Necessities classification
1. Material	<ol style="list-style-type: none"> <li>1. The material is adapted to the need for the creation of scientific articles to publish in the journal, which can finally use for Credit Rating Assessment (PAK).</li> <li>2. The material is according to the level of Elementary School teachers, because they are rarely/never conduct research or compose scientific articles.</li> <li>3. Material adapted to the results of the newly completed of PTK.</li> <li>4. The material provided in a continuous basis according to the drafting system of PTK results. Finally, it produces a product desiring.</li> </ol>
2. Approaches	<ol style="list-style-type: none"> <li>1. We recommend direct approach per individual and group (training, mentoring, and coaching).</li> <li>2. Outcome-is oriented with guidance and mentoring.</li> </ol>
Method or Techniques	<ol style="list-style-type: none"> <li>1. Demonstrations/practices followed by practice to produce products.</li> <li>2. The activity consist of Group discussions, questions and answers, Intelligence, assignments (tests and tasks), and Problem solving.</li> <li>3. The practice of creating articles and explained the creation corrected/revised until it can form so.</li> </ol>
4. Strategies	<ol style="list-style-type: none"> <li>1. Need face to face in training, coaching, and mentoring.</li> <li>2. This activity is done together with bringing in PTK experts and articles as a resource.</li> <li>3. This activity Held more than 5 times the meeting.</li> <li>4. This activity done by created a clear learning scheme so that it can produce.</li> </ol>
Guidance	<ol style="list-style-type: none"> <li>1. Performed individually (one by one) how to create the correct article.</li> <li>2. Need regular collaborative and classical mentoring.</li> <li>3. Implementation of PTK article writing with revision or correction.</li> <li>4. Divided into several small groups, so that the mentoring is easy to understand and can be maximal (per item/part of the writing frame)</li> </ol>
Guidance	<ol style="list-style-type: none"> <li>1. Carry out continuous guidance, accompanied every time, and once a week.</li> <li>2. In the implementation of the writing of PTK articles with the assistance of the KKG (Teacher Working Group) managers also the supervisors.</li> <li>3. Classifying is into Individual and group.</li> <li>4. The implementation of the creation/writing of PTK is mentoring of PTK members and articles from supervisors.</li> <li>5. Participants accompanied in order to be difficult can solution completion.</li> <li>6. Mentoring classified by groups and individuals to the individual assistance in accordance with the correct PTK Research (revision) as well as in presenting the PTK.</li> </ol>

**– Development Model of P3T Bases on Need Assessment**

The development phase of the model is a follow-up to the empirical fact of preliminary study on the training model of the PTK results article that imple-

mented by Undaan Region in Kudus District, which has followed by supervisors, principals, and teachers. The training model activities that have implemented depicted in (Figure 2).

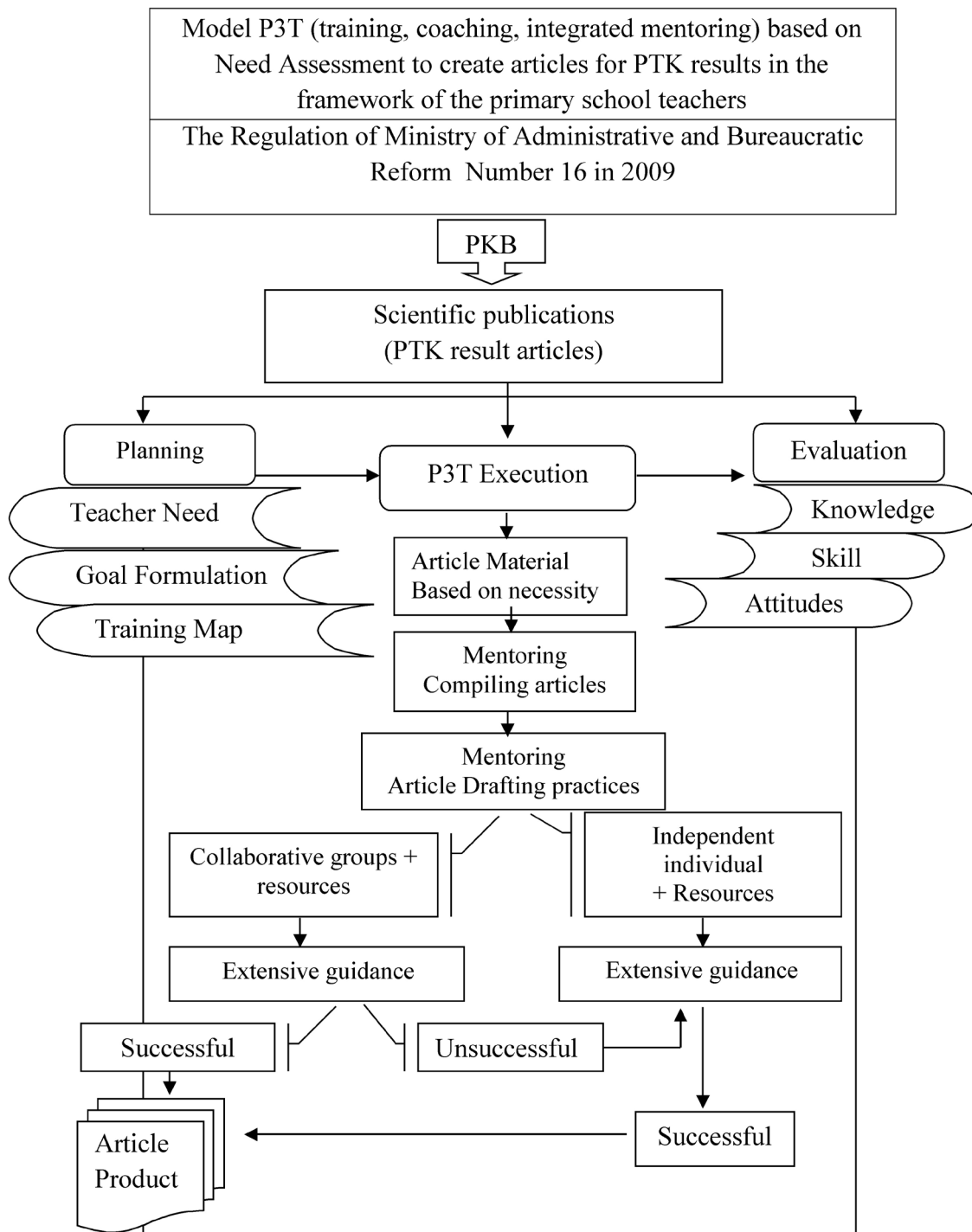


Figure 4. P3T (Introduction to Higher Education Programs) Model Based Need Assessment to Create PTK Results Articles in the Framework of PKB Elementary School Teachers

Based on the needs of teachers needed in the training of article preparation of PTK (Class Action Research), which has been described as above, then designed Model P3T need assessment to make the article PTK results in the framework of PKB teachers of elementary School. This P3T (*Introduction to Higher education programs*) Model Validated by experts and practitioners consisting of head of UPTP, supervisor, principal of SD, and teachers who are members of the KKG (*Teacher Working Group*) in Undaan Region in Kudus District through FGD (Focus Group Discussion). Here are the pictures of Model P3T that tested for limited to 35 participants of UPTP in Undaan Region Kudus District.

The development of this P3T (Introduction to Higher Education Programs) model to improve the ability of participants (teachers) to produce products of PTK results contained in research journals in the field of education and teaching. The working step of this model P3T that is tested limited in the UPT (*Class Action Research*) education of Undaan Region in Kudus District to 35 participants is as follows.

#### **A. Training Planning**

Training planning is an early part that covers the analysis of teacher needs, purpose formulation, and training.

#### **B. Teacher Necessity Analysis**

The teacher Necessity Analysis is done to know whether the teacher needs the PTK result article. Based on the necessity analysis used as a basis is such as for formulating objectives achieved, assigned materials, approaches, methods/techniques, and strategies. Furthermore, combining training (practicing practice) creates articles based on PTK results that have owned and with the implementation of its supervision and its companion to produce PTK product result articles published in the journal.

#### **C. Formulation of training objectives**

The purpose of this training is to improve the understanding, comprehension, and skills of the teacher making of the PTK (Class Action Research) article results. The objectives of the training established based

on the teacher's need analysis on the ability to create a PTK article that applied to a higher level.

#### **D. Training Planning**

This training planning designed based on the analysis of teacher needs: 1) Determining the training materials, approaches, methods/techniques, and strategies so that the objectives set achieved easily; 2) Develop training materials are in the form of Training guide for participants so that between the resource and participants can know exactly the model of training conducted; 3) designing test instruments for pretests and posttest to know the level of training success that Implemented; 4) designing the implementation model of P3T (Introduction to Higher Education Programs), that is to integrated the guiding and accompanying teachers to practice making articles to produce articles products, and; 5) prepare facilities and infrastructures for the smooth implementation of training.

#### **– Implementation of Training Activities**

The core activity is the very essence of material delivery. The material delivered by the resource. In this activity consists of: 1) to make material about the article PTK (Class Action Research) results (in the form of concept and application concept/practice); 2) guiding teachers to practice arranging articles of PTK results, and; 3) accompanying teachers practice creating articles PTK (Class Action Research) results. In this mentoring classified as (1) Extensive mentoring is a collaborative group with peers and Resources and (2) intensive mentoring, which is independent individual with a resource person? Companion as a resource person plays the facilitator, motivator, and catalyst for participants in both the collaborative group and in the independent individual.

In an intensive mentoring, the independent individual performed continuously until the ability of participants to produce a PTK product results ready published in the journal. In extensive mentoring, the collaborative group conducted in groups that encountered problems that not able to be solved with

associates related to the creation of PTK (Class Action Research) results articles. If, in a collaborative group there is one participant who has not managed to produce a product of PTK (Class Action Research) results, then the participant is involved in the intensive mentoring of independent individuals conducted continuously.

#### – Evaluation of Training Activities

Evaluation of training activities conducted to measure the effectiveness of implementation of model P3T based need assessment to make PTK result article in the framework of PKB of elementary school teacher. At this stage of evaluation, this is the evaluation of P3T model implementation. The instrument used is a poll to obtain a response participant (teacher) about the implementation of this P3T model. In addition, the evaluation of the training process used to determine the results of teacher success training in the realm as follows: 1) knowledge/understanding of the concept of the article; 2) changes in the mental attitude of participants (teachers) to the seriousness of training with High spirits, and; 3) The success of the participants (teachers) creating the product articles of PTK results. After the training, participants submit the product articles that have produced through mentoring.

After P3T Model tested on a limited basis, the results can increase the understanding, attitude, and ability of teachers to write articles PTK results. At the level of knowledge and understanding indicates that the average value of the final Test 77.00 is experiencing a large increase of the average initial test of 22.60. The result of the evaluation through the questionnaire regarding the teacher's understanding of the concept of the article shows that 61.1% of the majority have understood the meaning, systematics, and types articles PTK results or to write the correct article; 16.67% already revisited all; 22.22% of the small ones already understood; and 0% are not yet understood.

The teacher's attitude to the implementation of this Model P3T training showed 88.89% in need and

11.11% need it. The teacher's response shows that 100% responds very positively to the very help teachers to compose the PTK result article. The teacher's perceived impact suggests that 94.44% of teachers are highly motivated to compose PTK articles and if there is a higher education in the community, 86.67% of teachers will soon register to follow even if they pay at the fairness threshold.

In particular, 80% of teachers respond strongly in need of mentoring conducted by resource persons because they help the teacher's ability to write articles from PTK and 20% who respond enough to need it. The collaborative group mentoring of teachers 86.67% was indispensable and helped the teachers' ability to write articles from PTK and 13.33% who responded enough to need it. Individual mentoring independently by the teacher's response source 70.59% is indispensable and helps teachers to write the article PTK results, 11.76% respond to enough need, and 11.76% respond less need. In addition, the teacher was able to write the article PTK results correctly.

In the training Model P3T required and according to the needs of the teacher to write the PTK article results is 71% material is needed and 30% required; 61.11 method is very aligned and 33.33 in line. The 58.82 approach is much aligned and 41.48 in line; Strategy 76.47% is highly fertilized and 17.65% required. The source of the 76.47% is very delivering and 17.65% provide an exit/help/overcome the necessary requirements to compile the results of PTK articles; the source 64.71% are very guiding and the 35.29% guide teachers compiled the PTK articles as needed. The 58.82% source of the answers is correspondingly and 41.18% in line with the teacher has required/desired questions; 47.06% Execution time is suitable and 52.94% according to the desired necessity.

#### IV. Conclusion and suggestion

Model factual training to improve the ability to write articles PTK results for elementary school teachers have not held specifically stand-alone. The



material writing articles delivered at a glance attached to PTK training with lecture methods and explanations. Teachers have never trained to write articles from the PTK results. For teachers who have written an article on PTK results, the writing technique patterned on the example of another person's article.

The P3T Model based need assessment this developed can improve the understanding, attitude, and ability of teachers to write articles PTK results. The average value of the 77.00 final Tests experienced a huge increase from the average initial test of 22.60. The teacher's attitude to the implementation of this Model P3T training showed 88.89% in need. 100% responds very positively that is very helpful teachers

to compose articles results PTK; 94.44% of teachers are highly motivated to compose articles from PTK; And if there is a higher education, 86.67% of teachers will immediately register to follow even if they pay at the fairness limit. In addition, the teacher was able to write the article PTK results correctly.

In the end, the implementation of P3T Model raises from Elementary School Teachers in order to improve their professional development skills to be effective. This P3T Model applied to training (education and trainings) to create a PTK article for Elementary School Teachers so that teachers can apply for the rank/class and functional office according to Regulation of the Ministry of Administrative and Bureaucratic Reform No. 16 in 2009.

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## Section 5. Cultural studies

<https://doi.org/10.29013/EJHSS-19-6-66-69>

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### **EXPERT EVALUATION OF THE CONDITION AND PROSPECTS FOR THE DEVELOPMENT OF A GIFTED PERSON IN THE CONTEXT OF ARTISTIC CULTURE OF UKRAINE**

**Abstract.** The article presents the results of the expert assessment of the state and prospects for the development of gifted personality in the context of artistic culture of Ukraine. The process of human interaction with art involves the process of creating artistic culture products, distributing and assimilating them (internalization). The author of the article was interviewing managers and specialists (hereinafter experts) working in the field of management, planning and development of artistic culture in Ukraine. The sample was 2100 respondents. Assessment was conducted on three main levels: the first if the specified function of art is characterized by the greatest severity of problems; the second – if the specified function is implemented at the average level; third – if the level of re-realization of the specified artistic function is minimal.

Expert analysis has shown that the process of performing the traditional functions of art has undergone significant transformations, which are often destructive in nature, and require optimization of the process of internalization of the cultural values of the gifted person in modern society.

**Keywords:** expert analysis, gifted personality, artistic creativity, artistic production, creators of artistic culture, artistic ideals, patterns of cultural behavior, lifestyle, cultural needs, cultural practices.

An important factor in the interaction of gifted children, adolescents and young people with artistic culture is the functioning of socio-cultural institutions and extracurricular educational institutions. In the process of acquaintance with the masterpieces of world and national art, mastering the traditions and customs of the Ukrainian people, active participation in creative and critical-theoretical activities gifted personality becomes able to understand and

evaluate the skill, virtuosity, innovative search for creators of contemporary creativity.

Depending on the specific socio-historical conditions, the degree of realization of the basic functions of art is different. Some of them were relevant in the past (20 years ago), others are quite acute today, others may be relevant in the near future (20 years). It is important to know the opinion of experts regarding the assessment of the degree of realization of certain

functions of art, which are reflected in the formed system of cultural values of the gifted person. Analyzing the dynamics of the relationship of these problems, changing the degree of their relevance in different periods of time will help to solve them successfully.

Surveys of managers and specialists (hereinafter experts) working in the field of management, planning and development of artistic culture in Ukraine were conducted: directors and teachers of schools of aesthetic education, music schools, centers of culture and leisure of youth, music schools, pop circus colleges, museums and cinemas, extracurricular educational establishments, members of creative unions of Ukraine, leaders and teachers of higher educational institutions of culture and art. The sample was 2100 respondents.

The assessment was conducted on three main levels: the first – if the specified function of art is characterized by the greatest severity of problems; the second – if the specified function is implemented at the average level; third – if the level of implementation of the specified artistic function is minimal.

According to experts, the cognitive and developmental functions of art 20 years ago in Ukraine were implemented at a sufficiently high level: the maximum – 57.2% and the average – 17.09%. The overwhelming majority of respondents acknowledged that, at that time, artistic culture encouraged its consumers to become aware of their own reality and themselves, and broadened their outlook.

With the development of democracy in modern Ukraine, critical-artistic thought has emerged. At the same time, 72.85% of the surveyed experts believe that the cognitive and developmental functions of the arts are now largely implemented on average. Only 26.2% of respondents said that these functions are maximized. Such an assessment is explained by the fact that the specialists in the field of culture and art have developed their own domestic way of finding the truth, the highest embodiment of which is the freedom of creativity and the pursuit of spiritual growth.

At the present stage, new tasks are facing the Ukrainian artistic culture: activation of the cognitive and developmental function of art; framing reasoned and evidentiary criticism, eliminating tendencies in it from the standpoints of certain groups that order and pay for critical articles and conduct PR companies, promoting a particular artistic product; realization of the need for spiritual development of the individual by means of artistic creativity.

As for the further development of art in Ukraine, experts believe that due to its profound rethinking, modern interpretation and innovations in the field of criticism, the optimal level of realization of its cognitive function will be achieved. 60% of the respondents expressed their hope that in the future (in 20 years) the person's knowledge of himself and the environment and the expansion of the human outlook will be realized to the maximum level.

According to 76.19% of the polled experts who have their own experience of artistic, creative and managerial activity in the field of culture and art, the moral function of art was realized at the highest level in Ukraine 20 years ago. In the early twentieth century, the repertoire of the Ukrainian theaters was dominated by works of moral and ethical orientation of the national classics and contemporaries, and by-and-by entertaining foreign dramaturgy. Among the popular performances are: Schellenco-dancer, G. Kvitka-Osnovyanenko's "The Wedding at Goncharivka"; "Mother's house" by O. Karpenko, "Village girls" by L. Nikonenko, "Evening" by O. Dudarev.

23.05% of experts stated that in the early twentieth century, the moral function of art was realized at an average level. At that time, artists did not always embody the ideals they really wanted in artistic images.

In order to improve the current state of artistic culture, it is important to develop its innovative forms, to direct the attention of creators of cultural values to the search for new ideals, models of cultural behavior and artistic practices, to reconsider the experience of previous generations, the achievements of ethnography and folklore, the traditions of folk

art. its functions and structure in the historical process and today.

To date, as 74.29% of respondents say, the moral function of art is realized on an average level. 22.85% of the experts stated that this problem is very acute and related to the decline of the general level of morality of Ukrainian society, which, unfortunately, has not yet created the necessary mechanisms to resist the effects of globalization. Contemporary art has been filled with samples of low-grade art products capable of satisfying only the tastes of an undemanding “mass” audience. American educator John Dewey pointed out that there is a unity of moral principles and the social sphere of human life [3, 8], which is especially noticeable in the life of the modern generation of Ukrainians.

If, 20 years ago, the function of moral education and influence on the music audience was realized at a sufficiently high level, then today these figures have decreased significantly, reaching the average level.

The formation of the Ukrainian state puts before its citizens the task of teaching and nurturing a new generation that is able not only to perceive but also to understand the meaning of human existence, the basis of which is spiritual revival and individual creativity. In this aspect, it is important to reassess the importance of musical education for children and young people in Ukraine today. For example, in the village of Makovyshche, Makariv district, Kyiv region, the heads of local cultural and educational institutions put the eternal values recognized by their wise teachers and parents into the souls of small Makovischans. Starting from preschool age, children are attracted to the best examples of folk music: instrumental and vocal. Irpen Children’s Music School has remained one of the leading cultural centers of the Kyiv region for all its years of existence, the basis for moral and spiritual healing of the life of the region.

Experts (40.14%) hope that in the future (in 20 years) Ukrainians will be able to ensure the morality of contemporary art, 22.9% are convinced that in the future artists will be able to overcome most of the

problems in this field and reach the maximum level of fulfillment of the above functions. The rest of the respondents (36.95%) foresaw further aggravation of this problem and a sharp decrease in the level of morality of the art of the future.

Concerning the function of transfer and preservation of family values by means of art, 57.48% of experts indicated that in the past this indicator was at the average level and 30.52% at the minimum.

Ukrainian democracy has contributed to the revival of family values and the re-popularization of society. However, according to experts, such tendencies were not observed for a long time. In today’s society, the overall level of human morality has declined markedly, prompting art to shy away from fulfilling its natural function of conveying and preserving family values. 39.91% of experts believe that this problem is presently quite acute in the art culture, 53.86% predict that after 20 years people and family values may be ignored in culture. This is a rather alarming indicator, since the high ideals of the Christian faith, customs and traditions of the Ukrainian nation were originally based on Ukrainian art. If in the future the ideals of goodness, justice, family values remain out of the attention of the artists, then their creativity will be doomed to moral impoverishment.

An important function of art is to activate the creative forces of the individual, which applies not only to creators of artistic culture (artists, art critics, critics), but also to all its consumers. According to 36.19% of experts, such a function of art in the past was carried out on an average level, 32.38% of respondents say the maximum level of activation of creative forces of personality, which, in their opinion, took place in Ukrainian art 20 years ago, 31.43% is minimal. This demonstrates the need to implement the principle of humanism in the arts. According to the Ukrainian philosopher B. V. Novikov’s basic question is not whether there is creativity, but what is the extent of its practical universality. “All human efforts, aspirations and thoughts must be directed to the cultivation and timely public demand of cre-



ativity in all members of society, without the slightest exception, in its various forms, forms, types and manifestations, and in all spheres of life” [5, 6].

In the early twentieth century the creative forces of the individual have intensified into the mainstream of such forms of artistic activity as postmodernism; digital literature and poetry; digital architecture; performance, etc.

Postmodernism has questioned the existence of a well-defined value system in society. In many ways, this was due to the dominance in the media of low-grade art products. In the context of total awareness, the impression of a rapid assimilation of a new

truth or a new reality is created. In an instant, it is supposedly slipping away, multiplying, leaving only the impression that there is no objective reality at all. Like modernism, postmodernism retains its fragmentation, momentum, vision of the world as chaos, calling it “postmodern sensuality.”

Thus, the analysis of the answers obtained through a representative empirical study showed that the process of performing traditional functions of art has undergone significant transformations, which are often destructive in nature, and require optimization of the process of internalization of the cultural values of the gifted person in modern society.

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<https://doi.org/10.29013/EJHSS-19-6-70-73>

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## TRADITIONAL CULTURAL VALUES OF THE VIETNAMESE NATION

**Abstract.** Traditional cultural values of Vietnam are unique and good cultural identities that have been formed and handed down from the time of national construction to the present day. The researchers assessed that the traditional cultural values of the Vietnamese people have emerged three basic characteristics, including: Firstly, ethical values occupy a prominent position. Secondly, patriotism is affirmed as the core value, the value oriented other values. Thirdly, common values of Vietnamese people such as solidarity, sense of community, kindness, tolerance.

**Keywords:** Traditional culture, Vietnam, values, nation.

### 1. Introduction

The cultural values of the nation are the achievements of the nation in relation to nature, society and in the development of oneself; The cultural values of the nation are attitudes, responsibilities and codes of conduct in social and natural relations; The cultural values of the nation are also the symbols for truth – good – beauty. We should think that “Only those activities which manifest the intrinsic human forces, the forces that symbolize truth – good – beauty, are present as cultural values”.

Traditional cultural values of Vietnam were formed through many different historical periods, which were created during the process of national construction and defense. The traditional cultural values of Vietnam have affirmed its intense vitality and it is like a sharp weapon, creating an extremely large wall, contributing to the history of thousands of years of building and defending the country.

In the history of Vietnam, they have repeatedly exchanged, accultured and integrated with other cultures, through wars against foreign invaders. The traditional cultural values of Vietnam were not only preserved but also grow richer. Traditional cultural values

have formed unique traits in the Vietnamese people, creating an extraordinary power, able to “resist” and vigorously fight against all invading enemies.

Traditional cultural values of Vietnam include: patriotism, self-reliance will, solidarity, kindness, tolerance, affection, studiousness, hard work, optimism. These values not only play a great role in survival but also affirm the intense vitality of the nation in the past, present and future.

### 2. Overview of traditional cultural values

The cultural values of the nation are formed and affirmed in the process of survival and development, always present in the action program of the nation, expressing the essence of a nation. It can be said that the cultural value of the nation is what makes up the unique, traditional, identity of the nation. We can base on that to compare and comment on the culture of one nation with another.

Tradition is a succession of valuable social heritage passed down from generation to generation. According to Professor Tran Van Giau, “traditions are virtues or customs that last for generations, have many historical periods and have many effects, that effect may be positive, may be negative” [1]. We can understand that

there are two types of traditions: backwardness needs to be overcome; what create values and identities need to inherit, promote and develop.

Traditional values are traditions that have been acknowledged, assessed, rigorously appraised by time, it is chosen and recognized by the community through historical periods. However, such an appraisal is not a subjective opinion but must be based on an objective evaluation. Traditional values are good things with positive meanings. It is these values that create the identity of each nation, which is passed down to the next generation and will be protected, maintained, supplemented and developed.

Traditional value is relative, it may change over time, it changes quickly or slowly depending on many factors, most importantly, social and economic conditions. Traditional cultural values of the people are not inherent from the nation's establishment but are created by successive generations. The traditional cultural value is a lasting one, undergoing many challenging times while its core value and nature are always upheld. It are good values and represent the nation, creating its identity.

### **3. Traditional cultural values of the Vietnamese nation**

Many cultural researchers have summarized the valuable traditional cultural values of the Vietnamese nation. According to Professor Tran Van Giau has the seven most common values of the Vietnamese nation, including patriotism, hard work, heroism, creativity, optimism, and compassion for the people [1].

According to Professor Nguyen Trong Chuan said that the traditional cultural and spiritual values of the Vietnamese people should be mentioned "intense patriotism, a strong sense of community solidarity and national solidarity, thriftiness and independence, resilience, the will to overcome all hardships, hard-working spirit, creativity in combat and labor, flexible behavior and quick adaptation to new and unusual fluctuations. In particular, respect for families and a sense of sustainable family building and maintenance is a long-lasting value along with the ups and downs of the country and the nation" [2, P. 764].

Although there are different views, the researchers agree on some basic traditional cultural values of Vietnamese people the following.

#### **3.1. Patriotism and national willpower**

Patriotism is the traditional value of the Vietnamese nation and of all humanity. Among the traditional cultural values of the Vietnamese nation, patriotism has always been ranked first. It became "the focus of the focus, the value of the values, it is the greatest emotional motivation of the national life, and at the same time is the highest ladder in the system of moral values of the Vietnamese people" [1].

Patriotism is rooted in a sense of community that connects individuals – families – society – the country. Patriotism is expressed in aspirations and actions always put the interests of the country and the people first, dedicated to building the homeland of the country, ready to fight the aggressors, protect the integrity of nation, preserve and promote the culture of the nation.

#### **3.2. solidarity, awareness for the common good of the community**

The spirit of solidarity, a sense of community's common interests stemming from patriotism, is an expression of patriotism. In the context of always having to fight foreign invaders with much more economic and military potential than Vietnam, this tradition was formed and strengthened. Vietnamese proverbs have a saying that expresses deeply that "United we stand, divided we fall".

The spirit of solidarity is a great source of strength for the Vietnamese people to defeat all foreign forces. The history of the Vietnamese nation shows that when they do not unite the entire people, the strength of the country weakens. For example, the failure of the Ho Dynasty in the early 15<sup>th</sup> century in the resistance against the Ming army is a typical case. When the Vietnamese people unite their nation, they always win. It was summarized by President Ho Chi Minh through the sentence "Solidarity, solidarity, great unity; Success, success, great success".

The spirit of solidarity and awareness for the common good of the community is a cultural tradition of

the Vietnamese nation, from the past until today, it still needs to be preserved and promoted. President Ho Chi Minh affirmed “solidarity is an extremely precious tradition of the Communist Party of Vietnam and of the people of Vietnam” [3, P. 622].

### **3.3. Kindness, tolerance, love peace, desire to live in peace**

Kindness is a very prominent traditional cultural value of the Vietnamese nation. Kindness means loving people. Kindness is formed and developed among the Vietnamese people from the daily life of hardships and difficulties. In difficult circumstances, tribulation, love, support and sharing have helped them overcome difficult situations.

Vietnamese proverbs already have sayings “When a horse is ill, the whole stable refuse to eat the grass”, or “Love your neighbor as yourself” has long become a way of thinking, behavior, philosophy of Vietnamese people, dominating the relationship between people and people in Vietnamese society. Kindness is tolerance, selflessness for those who have done wrong, they desire to do good things to become good people, to return to righteousness.

Vietnam has experienced many wars against foreign invaders, so they want to peace, love peace and desire to build friendship with other peoples. The Vietnamese are clearly aware of the war, whether losing or winning, must suffer heavy losses, with the Vietnamese people having a tradition of kindness, they do not want war to occur. Following that tradition, the Vietnamese State is implementing the foreign policy “Vietnam wants to be friends with all countries in the world community, striving for peace, independence and development” [6].

### **3.4. Hard-working, optimistic, humble, honest**

Vietnamese people are always diligent in working, optimistic and honest living is an outstanding cultural value. Vietnam is an agricultural country, if they do not work hard, they cannot survive. Hard work is both a condition to ensure the needs of human life, as well as a sense of responsibility of the Vietnamese people in the cause of national construction and defense.

Although Vietnamese people have to live in difficult circumstances, coping with natural disasters, they are always optimistic and believe in the good things ahead. According to Professor Tran Van Giau, optimism is “a great virtue dating back to ancient times” [1]. It is that optimism that helps them overcome difficulties that seem impossible to overcome.

### **4. Discussion**

Today, the values of traditional culture of the Vietnamese nation are still being continued and developed. However, due to the negative impact of the market economy, international integration, the requirements of the times, the traditional cultural values of the Vietnamese people are changing in a positive way polar and negative.

Educating the traditional values of the nation helps people to realize the value and meaning of life of humanity, profound humanity, those values make people better. On that basis, people choose values and form beliefs, ethical ideals, guide all their thoughts and actions, and strengthen and develop good personality values.

Along with raising the awareness of traditional ethnic values, we need to overcome the outdated, standard deviation views, fight to eliminate the signs of degradation, metamorphosis and build standards and qualities ethics in line with new historical circumstances.

The education of traditional values of the nation also contributes to the formation of an advanced aesthetic sense in the Vietnamese personality. Ethical rules and standards become criteria that guide the personality and direct human activities, thereby building a healthy, humble, solidarity, love, and mutual help lifestyle.

### **5. Conclusion**

Each nation needs to protect, maintain and develop its traditional cultural values as a fulcrum to create new cultural values, which is the basis for international cultural exchange. Therefore, traditional cultural values are always sustainable; become the great moral principles that the nation must rely on



to unite society, create the strength to build and society; It is a reliable support and a solid fulcrum protect the country, for the progress of people and for the nation.

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## Section 6. Management

<https://doi.org/10.29013/EJHSS-19-6-74-87>

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### **COLLABORATIVE GOVERNANCE BASED POST-FIRE PASAR KLEWER MANAGEMENT FROM GOVERNMENT SECTOR PERSPECTIVE**

**Abstract.** The post-fire *Pasar Klewer* Surakarta has raised complex and critical problems, which need many stakeholders. In order to solve these problems a collaborative governance based management is necessary, thereby synergising government, civil society, and private sector. A qualitative approach and phenomenological method applied to this study to unsolve realities experienced by individuals. Research focus of this study was collaborative governance as a basis on which post-fire *Pasar Klewer* management was implemented from the government perspective. In doing so, this study examined governmental aspects, i.e. responsiveness, leadership, and empowerment. The selected research site, the post-fire *Pasar Klewer*, represented problems in research enquiry. To collect the data this study performed in-depth interviews with informants with adequate knowledge in the post-fire *Pasar Klewer* management. Surakarta Municipal Government executed its necessary authorities to gain supports from both civil society and private sector by an effective bureaucratic instruction in emergency and succeeded to accelerate the post-fire market recovery in such that the merchants could reactivate their commercial business. The government then shifted into a multi stake holder partnership (MSP) approach in the aftermath of the emergency.

**Keywords:** Collaborative Governance, Government, Post-fire; Holder Partnership; and Empowerment.

## I. Introduction

Public administration has changed its way of thinking and of acting by 1990s. The “government” no longer becomes a central actor in governing. Instead, it has considered roles played by other non-governmental sectors in the governing process, or governance. Accordingly, the governing style has also changed from government-dominated to shared contribution from other sectors, while the government still becomes the leading sector (Mutiarawati & Sudarmo [29]).

Public administration locus from governance perspective no longer limits itself to governmental institutions, but outreaches any other institutions with a mission of creating public openness. Such organisations have an awareness of mutual problem-solving efforts and operation on behalf of public interest. The public concept in public administration does no longer mean institutional, but also open to public (Pesch [33]).

In practice, public administration is value-bound. In other words, it is situational and conditional in nature owing to particular country where public administration applies. The situational and conditional aspects depend on value system and effects of contemporary important issues, such as democratisation, globalisation, and political, economic, social, and cultural issues.

Democratisation demand has caused growing concern of community to play larger role than before in government and development, being the determinant factor for the emergence of new institutions within society, civil society organisations, voluntary organisations and other non-governmental organisations. Government’s role can now be shared to these newly born institutions. This phenomenon has enlarged the scope and cause of the tendency of the governmental role in Indonesia towards role simplification (Mardiyanta [24]).

Globalisation has encouraged governments across the globe to improve their national efficiency. Governments in the third world countries, including Indonesia, have been motivated to reduce its involvement in several developmental activities and public services by delegating some of their roles to voluntary associations under market mechanism as the means to improve the national efficiency.

Political, economic, social, and cultural dynamics have also contributed to affect the government capacity to fulfill the society needs, where more needs have been beyond its capacity. Civil society and market capacity has raised a new height, leading to the needs for non-governmental institutions to take the role in providing public and semi-public goods (Mardiyanta [24]).

New public management as either methodology or ideology has broadly affected the public administration practices in countries in transition. The concept of governance began to gain attention and to grow as a practical form within public administration. The new emerging international organisations as well as political developments in New Zealand, Australia, and Great Britain played significant role in helping the concept to get into the spotlight. Furthermore, most countries have already departed from an era when the governments determined fundamental rules for implementing their public functions. This paradigmatic shift has directed most countries towards a co-equal relationship era, in which public sector, private sector, and civil society have the equal share in playing their roles (Rosenbaum [36]).

Governance is celebrated as a concept of and an approach to management. Indeed, government is not a stand-alone player because it relates, even is advised by other actors, i.e. civil society and private sector. This concerted mechanism is believed to help achieve democracy and economic success (Rosenbaum [36]). Governance is an interaction

of interdependent multi stakeholders management (Lowndes, Pratchett, & Stoker [23]).

Collaborative governance refers to institutions that promote interaction between government and non-government actors with status so that one-sided monopoly and domination do not have any place in policy-making or decision-making processes (*Collab. Gov. For.* [11]). Citing (Ansell & Gash [4]), collaborative governance was "... a governing arrangement where one or more public agencies directly engage non-state stakeholders in a collective decision-making process that is formal, consensus-oriented, and deliberative and that aims to make or implement public policy or manage public programs or assets."

The contemporary collaboration emerges as a strategic issue within governance paradigm, which, in turn, shifts towards government paradigm. Collaboration with other sectors help compensate the limited capacities of the government, while it remains the leading sector (Mutiarawati & Sudarmo [29]).

The government has the main responsibility for improving people welfare. An inclusive welfare tends to be successful when the government relinquish some of its decision-making authorities to local actors. (Cheema & Rondinelli [9]) contends that decentralisation is a new model of governing the state through an authority distribution. Local levels have authorities to regulate and to govern their own territories by way of local autonomy, which aims at improving the inclusive people welfare. One of economic facilities that is useful for the people at large to improve their welfare is traditional market.

Traditional markets become economic facilities by which people seek to improve their welfare. A traditional market is the place where selling and buying activity occurs in which the actors perform a bargaining process (Sarwoko [38]). The Presidential Decree No. 112/2007 on Management and Supervision of Traditional Market, Shopping Center and Modern Store defines traditional market as a market developed and managed by local governments, private sectors, state owned corporate bodies, and

local owned corporate bodies, including those having a co-operation with the private sectors in providing stores, kiosks, outlets, and shops owned and/or managed by retailers, medium size merchants, local community, or cooperatives, where they run small scale business with limited capital and facilitate a commodity bargaining process.

Traditional markets in Indonesia are characterised by poor conditions. The Center for Social, Economic, and Environmental Research and Development of the Ministry of Public Works (2011:2) reports that traditional markets are closely associated to dirty place, traffic jam, and crime scene. Market revitalisation affects many aspects of governance. Therefore, it must consider market management and distribution factors. The government must be more responsive to the traditional market survival under modern management concept in order to compete with modern markets.

In 2005, the Board of Directors of the Indonesia Market Merchants Union (*Dewan Pimpinan Pusat Ikatan Pedagang Pasar Indonesia, IKAPPI*) reported 285 market fires nationwide. Traditional markets as public buildings where many people and goods accumulate have a high risk of catching fire. Research findings on fire-prone markets have proven valid with the a fire that occurred at *Pasar Klewer* in 27 December 2014, causing physical damages of the market.

The fire at *Pasar Klewer* resulted in complex problems, not those related to economic aspects, but also social and cultural ones. The impacts of the *Pasar Klewer* fire included massive losses and total destruction of its merchandises. In response to this case, the Municipal Government of Surakarta had limited capacities to resolve the post-fire problems.

The complex problems that arose after the fire have urged the need for a proper management. In this context, collaborative governance is considered the best solution, in which government, civil society, and private sector work in concert. This study posited collaborative governance as the research phenomenon, which became the problem-solving ap-



proach towards the successful post-fire management, creating clean, convenient, and safety marketplace. This is due to the fact that a market is not only the place where sellers meet the buyers in commercial activities. Instead, it is also the medium by which individuals socialise and institutionalise cultural values they must endure and sustain.

## II. Theoretical reviews

Previous studies proposed research findings in which stakeholders are actively incorporated in empowerment and leadership plays an important role in collaborative planning (Fahmi, Prawira, Hudalah, & Firman [15]; Holidin & Handini [20]; Setyowati S, & Maret [40]). Other authors have also performed collaborative governance studies but in broader scopes, in which more specific loci, such as traditional markets, do not become the research focus (Emerson, Nabatchi, & Balogh [14]; Lacina [22]; Ward & Chapman [46]).

Other studies on collaborative governance present unclear focus because their objectives are to offer new concepts of theories based on previous literatures (Al-Sulaiti et al. [2]; Albarracin & Johnson [3]; Ansell & Gash [4]; J Bourgon [5]; ChoiChoi & Robertson [10]; Morse [27]; Rosenbaum [36]; Seigler [39]; van Buuren, Driessen, Teisman, & van Rijswijk [42]). Whereas, (Muhyi [28]), who selects tourism sector as the research locus, extends the modelling scope of collaborative governance study by proposing a penta helix collaborative model. This model is composed of five different stakeholders, i.e. local government, business community, academia, civil society, and the media. The research locus was tourism industry, which needed participation and support from many concerned stakeholders.

This study offered a different analysis from the previous ones, in which collaborative governance became the basis for the post-fire market management. The collaborative governance approach in this study collaborated government, civil society, and private sector in an interdependent stakeholders. The post-fire *Pasar Klewer* Surakarta as the research locus

was in a great necessity of recovery and reactivation because of its strategic role in the local community.

Public administration is a process of organising and coordinating public resources and personnel to formulate, implement, and manage decisions within public policy (Chandler, Ralph C., Plano [8]). Public administration is a team co-operation within public environment, which comprises three different branches, i.e. judicial, legislative, and executive towards public welfare.

During the early 1990s the National Academy of Public Administration did no longer use the term public administration. Instead, it shifted to the term governance. In many modern literatures, governance is synonymous with public management and public administration. This term outreaches both public or private sectors in determining either global or local orders and in understanding either formal or informal norms (Frederickson, Smith, Larimer, & Licari [17]).

Interplay between Governance and Public Administration, civil society and other private societies creates a strategic objective in modern countries towards a new administration spirit. In the context of collective action, (Ostrom [31]) contended that governance is a dimension of norms and orders that are mutually stipulated to regulate individual and collective behaviors.

Governance is celebrated as a concept of and an approach to managing because it tends to emphasise the facts that government also deals with its public sectors. In this sense, non-governmental sectors, i.e. private sector and civil society, even have a capacity to guide the government to create a more successful democratic and economic environment.

In terms of multi-stakeholder relation, collaboration is a concept of interorganisational relations, intergovernmental relations, strategic alliance, and multi-organisational networks (Agranoff & Mc Guire [1]). It implies a working group that work together towards mutual objectives in a cross-border and multi-sectoral endeavor (O'LearyO'Leary, Gerard, Keast, Mandell, & Voets [30]). (Iriani, Matsukawa,

Tadjudin, Itoh, & Yokoyama [21]) defined collaboration as mutual actions towards collective satisfaction in a win-win situation. It deals with concert effort of two or more stakeholders in managing the same resources, which is difficult to achieve when worked on by any individual sector.

According to (Jocelyne Bourgon [5]) the government has a limited capacity to accommodate many and complicated policy issues, such as global warming, monetary crisis, illiteracy, and racism. Such issues need active participation from other sectors than the government, such as civil society, and contribution from vary stakeholders, while government policy remains the leading factor. Acknowledging the need for strengthening collectivity, more national governments have become aware of new ways to empower non-governmental sectors.

(Vigoda [44]) offered critical and empirical criticism for new materialism, which hampers the significance of civil action and participation by posing overwhelming suppression on the idea of response power. Advance has directed itself towards the strengthening of partnership between government and public administration institutions, civil society, and other social actors, such as private and third-party sectors. Alternative interaction between government, civil society, and private sector within collaborative governance framework becomes more realistic for years to come.

Debates on the best ways of obtaining life outcome quality have tended to result in contradicting views, except those under particular, mutually accepted regulations or conventions. Rules, structures, and processes are determining aspects of the collaborative governance principles in a government. The key elements of the collaborative governance tend to differ from one context to the other (Bovaird, Van Ryzin, Loeffler, & Parrado [7]).

(Ansell & Gash [4]) performed an analysis of 137 collaborative governance cases in many policy sectors. Their analysis resulted in important variables, which affected the form of governance that

led (or did not lead) to collaboration. These variables included historical conflicts or co-operations, incentives for stakeholders to participate, unaligned authority and unequal resources, leadership, and institutional design. Important factors in the collaborative process comprised interface dialogue, trust building, and mutual commitment and understanding. The collaborative process variables as the core model depend on predetermining condition, institutional design and leadership has an important contribution to the collaborative process. The predetermining condition dictates the fundamental state of trust, conflict, and social capital, which become resources and liability during which the collaboration process takes place. Institutional design determines fundamental rule that restricts collaboration. Whereas, leadership performs mediation and facilitation during the collaboration process.

(Emerson et al. [14]) contend that collaborative dimensions legitimate problems and way of facing them. More importantly, as long as the government performs its duties, it will continue to implement programs and to provide services, so that, more budgets will be necessary. Continued activities are the results of political interest, decision, and choice made by one government regime to another on behalf of the public interest. Most of the activities benefit civil participation to improve performance and a better performance helps improve the quality of public policies.

(De Seve [12]) proposed eight elements that may affect collaboration, as follows: structural networks, commitment to common purposive, trust among participant, governance, access to authority, distributive accountability and responsibility, information sharing, and access to resources. (De Seve [12]) used these elements as parameters for how successful a network or a collaboration occurs in the governance. In other words, an effective collaborative governance needs to direct its activities in line with these eight elements.

How successful is the collaborative governance will depend on the creation of a deliberative climate,

which prioritises trust, mutual commitment, collective accountability, and willingness to take any risk. It deals with the eagerness of stakeholders to trust other stakeholders' interest, to commit to resources, and to locate collaborative goals above individual benefits. The stakeholders have to be ensured that the process is free of behind the scene manipulation and that the surveillance will play its role to check the disproportional effects of the strong stakeholders (Massey & Johnston-Miller [25]).

### III. Research method

This qualitative study focused on discovering the meaning and process of many factors. Qualitative research aimed at finding out phenomenon according to holistic experience of the research subjects by a descriptive presentation in words and language of a natural, specific context by using scientific method (Moleong [26]). According to (Al-Sulaiti et al. [2]), qualitative research comprises five different approaches, as follows: (1) phenomenological, (2) grounded theory, (3) ethnography, (4) case study, and (5) narrative research.

This qualitative research on the collaborative governance as the basis for the post-fire *Pasar Klewer* management applied a phenomenological research method. According to (Harrison et al. [19]) phenomenology examined how members of community describe the daily life in the real world, in particular how these individuals are aware of generating meanings as the result of interaction with other individuals. Phenomenology aims at unearthing realities from the perspective of those who experience directly or those related to the natures of human experiences and the meanings embodied within.

A phenomenological study describes life experience of several individuals on a particular concept or phenomenon. It views human behaviours, statements, and deeds, as well as parts of a product of how they interpret their own world. The phenomenological qualitative approach bases its ration on emerging symptoms or phenomena and tries to explore what lie behind the phenomenon (Sobur [41]).

This study focused on collaborative governance as a basis for the post-fire *Pasar Klewer* management from government perspective. The government perspective dealt with responsiveness, leadership, and empowerment aspects. Determining locus is an important research stage to limit the research scope and to sharpen the research discussion. This study selected the post-fire *Pasar Klewer* as the research locus because it represented complex and critical problems, in which local government could no longer play as a stand-alone player and needed collaboration with other stakeholders. The fire did not only cost economic loss, but also affected social and cultural domains. In addition to determining the research locus, this study also purposely selected the research informants, i.e. those with adequate knowledge about the post-fire *Pasar Klewer* management.

This study performed an interactive data analysis following (Ridder, Miles, Michael Huberman, & Saldaña [35]), which deals with the following characteristics: (1) data collection is an activity of gathering accurate data relevant to the research problem; (2) data condensation according to data selection, simplification, focusing, abstraction, and modification found within a corpus of the records collected from observation field, interviews, documents, and other empiric materials; (3) data presentation as a series of information that allows the researcher to draw conclusion and take action by examining the data presentation; (4) drawing conclusion or verification, in which the researcher seeks the meaning of objects, records regularity, patterns, explanation, possible configuration, causal flow and preposition.

According to (Moleong [26]), data validity needs a checking technique. The collected data must be subject to validity check by a triangulation technique. Triangulation deals with collecting data from different sources using the same technique. This study performed data or source triangulation with the purpose of maintaining data validity as well as minimising biased data. Since the study performed data triangulation, the researcher collected the data



as well as tested their credibility using vary techniques of data collection and data sources.

#### IV. Results and discussion

The 2010–2025 Long-term Local Development Plan (*Rencana Pembangunan Jangka Panjang Daerah*, RPJPD) of Surakarta Municipality stipulated within the Local Decree No. 02/2010 acknowledges the vital role of commercial activity. Concerning this activity, the RPJPD has the following core targets: creating cultural, self-determined, advanced, and prosperous city, i.e. Surakarta, towards strong local economy. Providing adequate local infrastructures and facilities, including traditional markets, help achieve the strong local economy.

Being one of the local icons of Surakarta, *Pasar Klewer* operates as a commercial site, which primarily offers clothes, e.g. *batik*. The Municipal Government of Surakarta gives priority to the existence, development, and sustainability of the traditional markets. The government proves its tendency by promoting a tagline of *Rerajut Ati*, a Javanese acronym composed of the terms *resik* (clean), *ramah* (generous), *jujur* (honest), *tertib* (in order), *aman* (secure), and *simpati* (sympathetic). This tagline implies a philosophical meaning, in which traditional markets do not only fulfill physical needs, but also accommodate social and spiritual interactions of the people in harmonious, peaceful, and convenient states.

*Pasar Klewer* as a traditional market plays its role as engineering local economy and as a social medium where both local people or visitors create a relationship and communication using commercial activity. *Pasar Klewer* is unique in its status as tourist spot, embodied into Surakarta historical and cultural sites, i.e. Surakarta Hadiningrat Palace, Masjid Agung, and Surakarta Square.

The collaborative governance based post-fire *Pasar Klewer* management was an effort of the local government to recover the market condition by incorporating civil society and private sector. The post-fire *Pasar Klewer* condition allowed the collaborative governance approach because it resulted

in complex and critical problems, in which the local government could no longer become a stand-alone player. Instead, other non-governmental stakeholders were necessary.

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The problems raised by the post-fire *Pasar Klewer* were so complex that they stimulated economic, social, and cultural issues. Once an organisation found itself in the middle of such situation, it needs a collaboration to solve the problems (Wanna [45]).

The post-fire *Pasar Klewer* raised critical problems due to its negative impact on the market community. The fire destroyed their assets and income in a relatively long term – until the market recovery. (Garvare & Johansson [18]) contended that negotiating role of public policy makers is very important to determine change in direction of the policy. Stakeholders incorporation is necessary to manage the critical condition and to solve the problems.

The post-fire *Pasar Klewer* needed a collective management from stakeholders in interest of operation and activity of the market. The Municipal Government of Surakarta did neither have adequate capacity nor budget to solely manage the post-fire situation. (Fendt & Kaminska-Labbé [16]) contended that an organisation needs to collaborate to finish particular job because collaboration will compensate the limited capacity of the government.

The Municipal Government of Surakarta had a strong awareness of the existence of *Pasar Klewer* as the place where low-to-medium economic communities make their living. *Pasar Klewer* has become one of leading tourist spots of Surakarta. As the tour-



ist spot, Pasar Klewer contribute significantly to the local income of Surakarta. The local economy will face a serious problem once Pasar Klewer has been in trouble.

### 1. Responsiveness Aspect

The Municipal Government of Surakarta as the authorised sector showed its awareness of the impact of the fire suffered by Pasar Klewer. Saving life, assets, and business became the priority. The government gave this immediate response by saving approximately 43.000 lives suffering from the fire whose daily activity depended on the activities at Pasar Klewer, from upstream to downstream. Most of the fire victims were those of low to medium social classes whose vulnerability was high. The Municipal Government of Surakarta would lose income from the market retribution, which had a significant contribution to the Local Revenue (*Pendapatan Asli Daerah, PAD*) to the Municipal Government of Surakarta (Interview with the Mayor, July 2016). In addition to saving lives and assets, the Municipal Government of Surakarta also sought efforts to prevent the fire impacts, such as traffic jams and security disturbances.

The Municipal Government of Surakarta responded quickly to the fire at *Pasar Klewer*. The Mayor, who attended a wedding invitation, where he became *pambagyo harjo* (a representative of the event host in the wedding ceremony), when the market caught fire, suspended his private interest to go to the fire scene to help put off the fire. He still wore *beskap* (Javanese traditional suit) when arriving at the fire scene. Such responsiveness was a good example of how leadership made the correct decision on an issue that affects public domain. In other words, the Municipal Government of Surakarta held a problem-driven principle (Donahue [13]). Focus, concern, and concentration of the governmental actors in the collaboration during the market fire at *Pasar Klewer* indicated a strong responsiveness.

The quick response of the Surakarta Mayor in extinguishing the fire at *Pasar Klewer* accorded with the principle of local autonomy practice. Local govern-

ment must take a prompt action to solves any problems within its administrative territory which affects the public interests, such as traditional market fire. (Ryandhini, Zainuri, & D. K., [37]) wrote that local government must be aware of any disasters in its administrative territory, not only during the disasters, but long before they potentially occur by making any anticipation effort.

### 2. Leadership Aspect

The Municipal Government of Surakarta committed to perform the post-fire *Pasar Klewer* reconstruction through efforts and hard work in order to collect fundings for the construction of the emergency marketplace, which was important for the merchants to continue their living. The government exploited all its authorities towards private sectors that had direct relations to the activities of *Pasar Klewer*. The private sector contributed financial aid for the emergency marketplace construction and proposed additional funding to the provincial government. In case of the post-fire market reconstruction, the Municipal Government of Surakarta proposed the fundings to the national government (Interview with Head of Market Affairs Office, 20 July 2016).

In this case, the Mayor made policy and instruction to the officials at all levels to take strategic steps to safe life, assets, and business survival to optimise the policy. This policy acted as an aspirin to the fire victims to get out of misery and get back to business as usual as soon as possible. The policy became a moral booster for the suffering merchants. New energy and moral boost helped the merchants contribute to a conducive situation.

Policy implementation through strategic steps by the Surakarta Mayor was a form of quick responsiveness. The policy implied an intervention of the Surakarta Municipal Government to help reduce negative impacts of the fire on the merchants at *Pasar Klewer*. Local government needed to actively offer programs and policy interventions to prevent worse impacts of the fire, in particular during the new market construction and emergency marketplace (“Pengaruh

Faktor-Faktor Demografi Terhadap Budaya Niaga Usahawan Bumiputera Muslim,” 2012).

Along with the policy, rumors spread bad news that irresponsible hands intentionally set fire at *Pasar Klewer*. In the past two years before the fire, merchants and market communities were disturbed by initiative of market revitalisation program. Most of the merchants disagreed that the local government handed over its revitalisation program to the private sector. The merchant resisted the idea because the fear of potential higher price set by the private sector on kiosk loan and of the private sector’s pure business orientation, causing the loss of public value of the market.

The Municipal Government of Surakarta committed to seeking budgetary support from provincial government to provide emergency marketplace and national government to reconstruct the damaged market. The Municipal House of Representatives of Surakarta also committed to agreement mechanism on budget allocation. Whereas, the private sector had a commitment of providing special allocation of financial grant for the emergency marketplace. The commitment during meeting between these stakeholders resulted in a strategic decision to secure the post-fire market recovery.

The Mayor’s commitment to rebuild the market after the fire indicated a motivation to contribute and to take efforts voluntarily in public service by responding to the fire victims. This attitude indicated a leadership capacity in managing public organisation since positive results will be impossible without such commitment. Skills, commitment and competency in performing the leadership duty is the key for any organisation to bringing about better life (Putra [34]).

The agreement mechanism process that preceded the budget is a difficult task because it must get permission by the Representatives and consider legal aspect. The legal impacts will always follow any decision to be made. However, one of fractions appealed the agreement mechanism preceding the budget for post-fire *Pasar Klewer* reconstruction because it believed that the Provincial Development Budget Plan

and the CSR from the private sector were capable of financing the post-fire recovery.

In case of emergency marketplace, the government collected the funds from the Development Budget Plan of Surakarta Municipality. The need for adequate funding was to fulfill the construction masterplan, which demanded a representative emergency marketplace and because the private stakeholder believed that the emergency marketplace had to be attractive.

During the fire, the Mayor and his officials took over any responsibilities without coordinating with the Local Leadership Communication Committee (*Musyawaharah Komunikasi Pimpinan Daerah, Muskompimda*). The coordination is important to share the government burdens, especially in security and tranquility. The Municipal Government of Surakarta needed to coordinate with the Local Police Department for the post-fire security. This effort might help the local government focus on the post-fire market recovery, i.e. saving life, assets, and market business sustainability.

### 3. Empowerment Aspect

The Municipal Government of Surakarta sought to maintain sustainability in any condition it encountered. *Pasar Klewer* had more than economic value for the city and its community and environment since it was also part of urban area and commercial empowerment. The competency and good relationship exercised by the Municipal Government of Surakarta by incorporating business sectors proved a local leadership ambition as a determinant factor towards collaboration for immediate construction of the emergency marketplace. The collaboration between the Municipal Government of Surakarta and private sectors, in particular investors, as well as civil society (merchants at *Pasar Klewer*) did not take time to recover the market-related activities. By providing emergency marketplace, the commercial activities continued while the post-fire market had been recovered (Interview with Head of Local Development Plan Office, 26 July 2016).

Quick response and action of the Surakarta Mayor motivated the civil society, i.e. Surakarta

citizens, and the private sector, to participate in to extinguishing the fire and securing the merchandises and assets. The citizens contributed human resources and foods and beverages during the fire fighting. Whereas, private sectors, i.e. leading corporations in Surakarta and the neighbouring areas, contributed fire brigade and experts. The fire fighting process lasted five days.

The Municipal Government of Surakarta continued its quick response and action the next day after the fire by holding a meeting led by the Mayor. Among the attendances, there were representatives from Local/Municipal Apparatus Work Unit (*Satuan Kerja Perangkat Daerah*, SKPD), House of Representatives, merchant union, and private sectors who committed to the problems related to the fire. The meeting discussed location, budget, and design for post-fire emergency marketplace. It took so much money to provide the emergency marketplace that the Municipal Government of Surakarta could no longer carry on alone. Therefore, contribution from other sectors became imminent. In this sense, a collaboration process that incorporated all concerned stakeholders was necessary.

The Municipal Government of Surakarta opened opportunity to the fire affected merchants to contribute their opinion in the emergency marketplace location and construction. The merchants decided to relocated their marketplace at the Surakarta Hadiningrat owned Northern Royal Square (Alun-alun Utara), the same location as the fire-affected market. The Municipal Government of Surakarta agreed this proposal, but the square was only accessible under the agreement from the royal palace as the traditional leaders of the city. Problem soon arose due to between the Municipal Government and the Royal Palace quarrelled in conflicts, making it impossible to have effective communication. It was psychological tie between the palace and the common citizens (*Jav. kawula*) that resolved the problem because the king only listened to his people, while the municipal government still had to pay the rent.

Private sector has to maintain a good relationship with the Municipal Government for future business interest. The relationship is necessary for business expansion. Authority is necessary to collect the funding that accelerates the emergency marketplace and helps the merchants. The Municipal Government of Surakarta helped the merchants open the access to the banking sector for funding (Vicente & Novo [43]).

Private stakeholder had a significant contribution during the post-fire recovery by incurring 40 percent of the total budget for emergency marketplace. The funding from the private sector derived from the CSR and sacrificing allocation for other activities it had already planned before the fire incident. The municipal government played an important role, using the authority and power, by demanding the private sector to give its contribution. Banking sector helped relieve the merchants' burden by rescheduling the loan and special rate scheme for capital loan. The government-private sector collaboration helped provide the necessary unconditional business capital for the merchants (Vicente & Novo, [43]).

The Municipal Government of Surakarta with its authority as the asset owner of the Pasar Klewer facilitated necessary changes in spatial aspect of the market. In this case, the merchants did not have many choices, so they depended on the initiative of the local government.

The municipal government approached to the emerging issue by a bureaucratic instruction, thereby stressing on the contributive and effective actions from the private sectors to the reconstruction of the emergency marketplace. Once the emergency state had been recovered, the government should have changed the bureaucratic instruction to multi stakeholder partnership (MSP) to materialise the collaboration. The MSP approach referred to a multi-sectoral voluntary co-operative relation to achieve collective goals by sharing risk, responsibility, resource, and benefit (*Bappenas*, 2018).

The municipal government empowered the civil society and private sector because of its limited



capacity to take down the complex problems due to the fire that occurred at *Pasar Klewer*. The private sector empowerment took the form of financial contribution, market design, and managerial training for business expansion. Whereas, civil society empowerment was important to anticipate any conflict because it allowed them to participate into the conducive market operation, a situation that helped achieve the optimal collaboration.

### V. Conclusion

The Municipal Government of Surakarta initiated collaboration in the post-fire *Pasar Klewer* management. It made a strategic policy to prevent casualties, injuries, as well as to secure market business assets. Such policy was a practical awareness and responsiveness of the government towards the market survival and sustainability. The Municipal Government of Surakarta proclaimed that the fire at *Pasar Klewer* was an emergency situation, which needed a great deal of attention and, in turn, recovery. However, due to limited capacity, particularly in financial matter, the municipal government demanded active participation from all sectors outside the government.

Collaboration initiated by the Municipal Government of Surakarta began with apparatus internal empowerment, followed by civil society and private sector empowerment. A solid, coordinated, and integrated apparatus team was necessary to help empower the other stakeholders. The civil society empowerment was important to prevent conflicts, to create conducive situations, and to give them opportunity to participate in the market operation. Whereas, the private sector empowerment helped relieve the burdens by providing financial and managerial skills contribution.

The Municipal Government of Surakarta used its authority and power to gain supports from the civil society and private sector. Bureaucratic instruction proved to be an effective approach during emergency situation. The bureaucratic instruction based collaborative governance from the government perspective (i.e. empowerment, leadership, and empowerment) proved to accelerate the business recovery of the merchants at the post-fire *Pasar Klewer*. Finally, the multi stakeholder partnership (MSP) approach was effective during the post-emergency situation.

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## Section 7. Pedagogy

<https://doi.org/10.29013/EJHSS-19-6-88-92>

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### FEATURES OF ADAPTATION OF FOREIGN STUDENTS TO THE CONDITIONS OF EDUCATION IN AZERBAIJAN

**Abstract.** The article is devoted to the analysis of the process of adaptation of foreign students to the new educational environment. The analysis of the features of adaptation was held. Its stages, levels, nature, causes, influencing the level of adaptation of foreign students, the conditions for the successful passage of the adaptation process, as well as the influence of various factors determining its success are examined.

**Keywords:** adaptation, primary adaptation, adaptation process, educational environment, sociocultural environment.

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### ОСОБЕННОСТИ АДАПТАЦИИ ИНОСТРАННЫХ СТУДЕНТОВ К УСЛОВИЯМ ОБРАЗОВАНИЯ В АЗЕРБАЙДЖАНЕ

**Аннотация.** Статья посвящена анализу процесса адаптации иностранных студентов к новой образовательной среде. Проведен анализ особенностей адаптации, рассмотрены ее стадии, уровни, характер, причины, оказывающие влияние на уровень адаптации иностранных студентов, условия для успешного прохождения адаптационного процесса, а также влияние различных факторов, определяющих ее успешность.

**Ключевые слова:** адаптация, первичная адаптация, адаптационный процесс, образовательная среда, социокультурная среда.



В последнее время в зарубежных странах возрождается интерес к азербайджанскому образованию. В Азербайджан приезжают учиться студенты из Китая, Индии, Пакистана, Шри-Ланки, Ирака и других стран.

После приезда в нашу страну иностранные студенты испытывают в той или иной мере культурный шок, возникающий при вхождении в отличную от родной культурную среду, так как должны адаптироваться не только к условиям и системе обучения, к особенностям проживания в общежитии, но и к жизни в другой стране: к ее культуре, традициям, существующей общепринятой системе норм и ценностей.

Понятие адаптации (от средневекового латинского *adaptatio* – приспособление, прилаживание) появилось в физиологии в конце XVIII в. В психологическом словаре понятие адаптации дается как приспособление человека как личности к существованию в обществе в соответствии с требованиями этого общества и с собственными потребностями, мотивами и интересами. Адаптация является интегральным, многоплановым понятием, имеющим несколько толкований, применяемых в различных областях науки [4]. Иностранные студенты в процессе адаптации проходят несколько стадий. Первая стадия адаптации – это стадия эйфории, она приходится на время после приезда в другую страну, характеризуется любопытством, интересом ко всему новому, новым окружением, новыми возможностями, энтузиазмом. Длительность данной стадии может варьироваться у разных людей. Следующая стадия – культурный шок. Эта стадия сопровождается встречей с трудностями в разных сферах жизнедеятельности, дефицитом информации и ресурсов для их решения. Студент может встретиться с проблемами в общении и взаимодействии с окружающими людьми, новой едой и незнакомыми продуктами, наличием стереотипов и предрассудков по отношению к другой культуре, влияющих на общение и др. В это время иностранный студент может почувствовать трево-

гу, одиночество, страх, беспомощность, могут появляться мысли о возвращении домой. При успешном прохождении данной стадии следует переход на стадию выздоровления, выхода из культурного шока, которая сопровождается частичным решением вопросов, проблем, знакомством и поддержкой со стороны новых друзей.

Для иностранного студента жизненно важным и профессионально определяющим становится скорость его адаптации к условиям проживания и образования, организации быта и личной жизни, то есть взаимодействие с окружающей социальной макро-, мезо- и микросредой. Особенно сложным и неоднозначным периодом являются первые месяцы нахождения иностранного студента в вузе. Это стадия первичной адаптации, в процессе которой происходит усвоение основных норм студенческой жизни, интеграция в систему межличностных отношений, освоение статуса и ролей студента. В основном отмечают три варианта адаптации: 1) иностранный студент полностью принимает традиции, обычаи, нормы и ценности новой социокультурной среды, которые постепенно подавляют первоначальные этнические черты; 2) новая социокультурная среда воспринимается частично, что проявляется в принятии «обязательных норм общества», но при этом основные этнические черты сохраняются посредством образования этнических групп; 3) происходит своеобразное обособление от культурных норм и ценностей, которые характерны для большинства представителей социального окружения [5, 150].

Проблемы интеграции и адаптации иностранных студентов в социокультурную среду рассматриваются с различных позиций: позиции социологии, педагогики, социальной психологии. Адаптация иностранных студентов представляет собой многофакторный процесс, успешность и быстрота прохождения которого оказывает непосредственное влияние на качество протекания учебного процесса, академическую успеваемость, общественную и научную активность студентов.

В процессе адаптации студенты актуализируют и реализуют разнообразные роли и функции, отражающие их естественно-биологическую, социально-историческую природу, что помогает раскрыть индивидуальность, личностный потенциал, духовные и физические возможности. Отсюда и многообразие видов адаптации: психическая, психологическая, психофизиологическая, социально-психологическая, социально-трудовая, профессиональная, военно-профессиональная, школьная, вузовская, культурная, эмоциональная, интеллектуальная, коммуникативная, речевая и т.д. [3, 86].

Для иностранного студента языковая адаптация является самой важной, поскольку дает возможность использовать русский язык как инструмент социальной и учебной деятельности в условиях инокультурной бытовой и образовательной среды, и объем овладения русским языком должен обеспечивать скорейшую адаптацию в социокультурной сфере для решения коммуникативных задач, связанных с различными сферами функционирования языка (медицинским обслуживанием, общественным транспортом, организацией досуга, сферой услуг общественного питания и др.). От характеристик социокультурной среды, в которую попадают иностранные студенты, зависит успешность адаптации. В этой среде выделяются различные пласты: культура страны, ее ценности, традиции, история, и оказание помощи в адаптации иностранным студентам к новой образовательной и культурной среде является важной задачей. Для успешного процесса адаптации иностранных студентов следует учесть влияние различных факторов: внешних и внутренних. К внешним факторам можно отнести степень удаленности двух культур – родной и новой, от климата, географии и др., состав студенческой группы (многонациональные и мононациональные группы), организация учебного процесса и т.д. Иностранные студенты всегда увереннее чувствуют себя в группе, где только соотечественники.

К внутренним факторам следует отнести:

1) психофизиологические, связанные с изменениями бытовых условий, таких как перемена места жительства, смена климата и часовых поясов, а также психоэмоциональными нагрузками и стрессами;

2) трудности коммуникации. Языковой барьер затрудняет процесс вхождения в новую культуру, вызывая затруднения в усвоении норм и правил поведения, ценностей нового социокультурного пространства;

3) социокультурные, связанные с преодолением языковых трудностей в решении коммуникативных задач как с руководством и преподавателями вуза, так и с сокурсниками внутри многонациональной группы.

4) учебно-познавательные, связанные с недостаточной языковой подготовкой, необходимостью быстрого включения студентов в образовательный процесс, различиями в системах образования нашей страны и тех стран, откуда приехали студенты;

5) адаптация к новой, непривычной структуре образовательного процесса. Иностранцам студентам необходимо не только приспособиться к совершенно незнакомому социально-культурному пространству, но и освоить новый вид деятельности – учебу в высшем учебном заведении, принять формы обучения будущей профессии, поэтому они начинают испытывать трудности в обучении, студенчество становится для них серьезным жизненным испытанием;

6) необходимость преодолевать сложившиеся в родной культуре иностранного студента стереотипы поведения, этикета, обучения;

7) индивидуальные способности к обучению;

8) особенности национальной психологии;

9) бытовые трудности, связанные с условиями проживания в общежитии, принятия решений и разрешения проблем бытового плана;

10) отсутствие навыков самостоятельной работы. Студенты не умеют пользоваться библиотекой, работать с источниками;

11) адаптация к учебной группе.

На уровень адаптации иностранных студентов оказывают влияние следующие причины:

1) объективные (жизнь в чужой стране в отрыве от родных, новая организация учебной деятельности и контроля знаний, новая языковая среда);

2) субъективные (пониженная самооценка, неуверенность, застенчивость, отсутствие желания учиться);

3) объективно-субъективные (недостаточная самостоятельность студентов, в связи с тем, что контроль со стороны родителей практически отсутствует).

В социокультурной обстановке на личность или группу индивидов влияет не какой-то определенный фактор, а целый комплекс факторов. В каждом образовательном заведении формируется своя группа иностранных студентов, что в той или иной мере снижает или превышает роль факторов, благоприятно или отрицательно действующих на процесс адаптации.

Адаптация – процесс длительный и может продолжаться в течение нескольких месяцев, и условиями для успешного прохождения адаптационного процесса иностранных студентов могут являться следующие:

а) составление социально-психологического портрета иностранного студента, включающего коммуникативные, культурологические и прочие личностные характеристики;

б) участие администрации вуза в адаптационном процессе, оказание помощи в решении проблем различного характера (бытовых, организационных и пр.);

в) организация дополнительной учебно-методической работы с иностранными студентами, предполагающей усиление языковых, коммуникативных компетенций;

г) включение в образовательные программы подготовки дисциплин социально-гуманитарного цикла, содержащих поликультурную составляющую;

д) проведение обязательной социально-психологической, культурологической, коммуникативной переподготовки для преподавателей вуза, работающих с иностранными студентами;

е) организация разнообразной межнациональной, межэтнической, межконфессиональной воспитательной работы в вузе, предполагающей в том числе сотрудничество в национальными, этническими сообществами города, региона;

ж) формирование комплексной системы оценивания динамики: адаптации студентов в образовательную среду вуза; результатов развития ключевых компетенций; социальных и психологических характеристик, позволяющих эффективно участвовать в процессе обучения, а также осуществлять оптимальное межличностное взаимодействие с преподавателями и студентами.

Адаптация имеет и индивидуальный характер, что указывает на ее интенсивность, выраженность, глубину воздействия на личность студента, так как главным действующим лицом адаптационного процесса является студент, включенность которого в образовательный процесс обуславливается и регулируется его личностными особенностями, ценностными ориентациями, мировоззренческими установками, социальными ожиданиями, которые меняются в процессе учебы [2].

Погружение в новую образовательную и социокультурную среду проходит относительно безболезненно, если у иностранного студента сохраняется возможность поддерживать свою этнокультурную идентичность. Процесс адаптации иностранных студентов к образовательной и социокультурной среде вуза должен быть организованным, целенаправленным, комплексным, поскольку проблемы иностранных студентов обусловлены включением личности в новую социокультурную и учебно-познавательную среду, где происходит формирование структуры устойчивых позитивных личностных отношений ко всем компонентам образовательного процесса, и самые существенные затруднения в адаптационном процессе вызваны недостаточным

владением русским языком. Трудности коммуникации отодвигают учебный процесс на второй план. Языковой барьер затрудняет процесс вхождения в новую культуру, вызывая затруднения в усвоении норм и правил поведения, ценностей нового социокультурного пространства. Поэтому одним из принципиальных условий адаптации иностранных студентов к обучению является принятие на личностном уровне новой для них системы обра-

зования, приспособление к условиям организации обучения, а также принятие и определение норм и ценностей иной социальной среды в качестве базовых в отношениях с другими людьми в процессе реализации учебной деятельности [1].

Следовательно: процесс адаптации иностранных студентов к образовательной и социокультурной среде должен быть организованным, целенаправленным и комплексным.

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<https://doi.org/10.29013/EJHSS-19-6-93-96>

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## INNOVATIVE APPROACHES TO TEACHING FUTURE MANAGERS OF EDUCATIONAL INSTITUTION AS NATIONAL ELITE

**Abstract.** Integration of Ukraine into the European Community requires innovative development of the educational system, active modernization of higher education. The tendencies of the university development regarding the formation of the national elite were researched. A guild system and an entrepreneur system to teaching future managers of educational institution as national elite, characteristic features and peculiarities were defined. The characteristics of the concepts of educational institutions are analyzed.

**Keyword:** innovation, innovative approach, future managers, educational institution, recruitment, guild system, entrepreneur system, national elite.

Nowadays, in a rapidly changing world, the major debate is placed under the forms of teaching future managers of educational institution as national elite. Higher education institutions are required to demonstrate the ways in which they respond to the social and economic needs of society. This crosses multiple areas: their actions to enhance graduate employability, how they facilitate social mobility and wider access to higher education in particular for disadvantaged groups, their short- and long-term contribution to national economic growth and local development, and the ways in which they are stimulating the setting up of new enterprises, and innovation in existing organizations. The complexity of our world is constantly adding new challenges in teaching future managers of educational institution as national elite at higher education institutions.

Consequently, the aim of the article is to find out the innovative approaches of teaching future managers of educational institution as national elite regarding to the formation of the national elite.

The teaching quality of the future managers of educational institution as national elite is determined by effective recruitment mechanisms which are created in this or that society. Finding and comprehending of these “social elevators”, which help to rise up the social pinnacle of modern society or overcoming fierce competition in order to stay on this mountain, is a difficult and multi-vector task that foresees attracting a wide range of research potential [3].

Thus, the researcher G. Ashyn identifies the following channels of elite recruitment in modern society: the educational system (especially elite education); the state apparatus; local governments; political parties, business. The role and relative weight of each of these channels is different; they depend on the traditions of a particular country, the level of its culture [2].

It is noted that the western researchers identify two major elite recruiting systems. This approach was firstly used in a fundamental study by American political scientists Joel Aberbach, Robert Putnam and Bert Rockman in the book “Bureaucrats and Politicians in Western Democracies” [1]. These

systems are: a guild system and an entrepreneur system. Thus, characteristic features of the guild system are: 1) closed, selection of candidates for higher positions mainly from the lower classes of the elite itself, which is followed by a gradual upward path; 2) high level of institutionalization of the selection process, availability of numerous formal filters (age, experience, level of education, characteristics of management, etc.); 3) the limited number of persons making the decision on the applicant's conformity or non-conformity, sometimes even a single decision; 4) trying to highlight an existing leadership type. "In accordance with the guild system, the bureaucratic elite are recruited mainly" [1].

The entrepreneur system of elite recruitment provides for: 1) openness; 2) a relatively small number of formal requirements for the applicant; 3) the paramount importance of personal qualities; 4) high level of competition while selection; 5) collective decision-making on the applicant's conformity or non-conformity. "For an entrepreneur system, a candidate for an elite position must influence not only on top officials within their own system, but also appeal to influential people out off that system. Thus, the selection criteria here are varied and contradictory. While moving upwards, career paths and routine procedures may be often bypassed by past" [1]. It is stressed that "Both systems are an ideal type and in their pure form they are met quite rare. On the whole, the entrepreneur system of recruiting the elite clearly prevails in democratic states, and the guild system – in the countries of totalitarian orientation, although its elements are found in Great Britain, Japan and other countries" [3].

According to S. Kurbatov's researches, extrapolating both the guild model and the entrepreneur model to the educational system of Ukraine, it is possible to come to the problem of the elite ratio and elitist education of the future managers of educational institution as national elite [3]. Thus, the function of recruiting elites, and the contradiction between the openness of this system to all social groups and

the openness only to certain elite groups determines the transformation of this social institution to recent history. It should be mentioned that the concept of "open society" was proposed by Karl Popper [4], according to which the highest level of social mobility ensures the effective functioning of the social system and its competitiveness in the modern world.

It is stressed that, in a traditional society, an elitist educational system dominates. The term "elitist education" was introduced by G. Ashyn: "Elitist education is education for a narrow circle, intended only for the descendants of noble ("elite of blood") and most wealthy ("elite of wealth") families. This system aims not only to consolidate and reproduce existing knowledge, but also, to a greater extent, to produce and consolidate the values of certain social groups, classes" [2]. Thus, elitist education of future managers of educational institution as national elite is focused on the reproduction of the existing elite and acts as a social filter that prevents access to the elite club by representatives of other population segments. Knowledge transmitted through the educational system has here the character of a certain attribute, strongly linked to the social status that determines the origin of future education managers of education institution. That is, we are dealing with the undisputed ontological priority of the past with respect to the present and the future, which corresponds to the realities of the static time context, in which its creative potential is limited by the conservative worldview, and everything newly created is regarded as a departure from the defining harmonious paradigm.

Elite education, by contrast, is fundamentally open to all social groups. That is, it corresponds to the realities of the dynamic time context, in which the creative impulse increases significantly, because the construction of a new context becomes a determining factor in the human situation. With the openness of the educational system, dynamic transformations of the social structure of the elite itself take place. The dominant principle that defines these

transformations is the principle of meritocracy formulated by Michael Young [5], according to which the personal virtues and achievements are the basis for recruiting the elite, moreover the future managers of educational institution as national elite.

Thus, the elite consists of the most capable, competent, educated, charismatic personalities. Of course, the implementation of the meritocracy principle in its purest form is reminiscent of an idealized social utopia, but this principle presence in the social system and functioning of educational institutions is indispensable, in accordance with the logic of civilizational development.

Thus, activation of the scientific research at the university creates such an educational and scientific environment in which science enriches education with modern achievements, and the educational component provides filling in the scientific sphere with talented youth – future managers of education institution, who have a modern science methodology.

The present-day school is not a demonstration of its particular capabilities, but rather an endorsement of the idea of alternative ways of finding answers to the global challenges of the 21<sup>st</sup> century.

Rethinking the higher school as modern should lead to the realization that the modern school is a model that is not imitated; modern higher school – the self-sufficiency of modern higher education in compulsory and indispensable adherence to established standards does not mean the devaluation of traditions and the past; the modern higher school is the force of the new because of the destruction of the traditional one is intended to influence the change of average views – the views of the majority; the self-sufficiency of modern higher education in compulsory and indispensable adherence to established standards does not mean the devaluation of traditions and the past; the modern higher school is the force of the new because of the destruction of the traditional one is intended to influence the change of average views – the views of the majority.

The development and functioning of modern higher education create a new education a reality that is – interesting for everyone right now because of its originality, exclusivity, uniqueness; – solves and satisfies the urgent needs of consumers educational services.

The role of the the innovative approach to the teaching future managers of educational institution as national elite is that: – significant for society, the world community, consumers educational services in the context of unrecognized future deployment scenarios recognized by the international community; – enables authentic strategies to modernize the national educational system of future managers of educational institution as national elite by improving the quality of higher education; – becomes a factor of modern cultural and educational practices; – creates conditions for modernization of educational institutions and educational system as a whole.

On this basis, the system of innovative principles of formation and development of modern higher education in the context of its consistency with the objective reality of the transformation period are defined. The priority principle is the principle of synthetics, which is implemented by maintaining specificity a set of formal and informal institutional constraints without trying abstract from the past, traditions. This makes reasonable chosen strategies, tactics, models of transformation of higher education into modern on the basis of the laws and laws of the evolution of cultural and educational practice and the projected scenario of the future. Also, the principle of initiating accelerated non-linear development through innovation and the principle of change irreversibility.

Therefore, the economic and innovative development of any country largely depends on the quality of higher education. The main tasks of higher educational institutions are releasing harmoniously developed highly skilled and high-moral professionals who are capable to constantly updating of scientific knowledge, professional mobility and rapid adaptation to the dynamic processes in the industry activities, socio-cultural sphere, management and economic systems.

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<https://doi.org/10.29013/EJHSS-19-6-97-100>

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## **THE FORMATION OF THE FUTURE TEACHER OF MUSICAL ART'S PERSONALITY WITHIN THE PROCESS OF CULTURAL GROWTH**

**Abstract.** The article is devoted to the formation of a musical teacher's personality in the process of cultural growth. Influence on aesthetic consciousness is able to evoke student's strong feelings and form one's inner spiritual world. The paper presents important aspects of the teacher's professional and pedagogical activity – personal growth, the use of new non-standard methods for successful solutions of problems during the preparation, formation and development of the student, his talent and personality.

**Keywords:** cultural growth, intellectual education, musical art, art education.

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## **ФОРМИРОВАНИЕ ЛИЧНОСТИ В ПРОЦЕССЕ КУЛЬТУРНОГО РОСТА, БУДУЩЕГО ПЕДАГОГА МУЗЫКАЛЬНОГО ИСКУССТВА**

**Аннотация.** Статья посвящена формированию личности педагога – музыканта в процессе культурного роста. Влияние на эстетическое сознание ученика, способность вызывать у него сильные чувства и формировать внутренний духовный мир. В работе представлены важные аспекты профессионально-педагогической деятельности педагога – личностный рост, применение новых нестандартных методов для успешного решения проблемы в подготовке, становлении и развитии ученика, его одаренности и индивидуальности.

**Ключевые слова:** культурный рост, интеллектуальное воспитание, музыкальное искусство, художественное образование.

На современном этапе развития общества особенно остро встает вопрос качества образования, духовности и формирования личности педагога. Сегодня личность, ее знания, интеллект, компетентность, информационная культура является высшей ценностью общества, которое стремится занять достойное место среди

стран XXI века. Осуществление задач в области музыкального образования подрастающего поколения требует особого внимания к подготовке будущих учителей музыкального образования, а формирование художественного сознания на основе интеграции знаний и устранения междисциплинарной обособленности в преподавании

предметов художественно-гуманитарного цикла дает возможность педагогу музыкального искусства вывести уровень преподавания на более высокий уровень. Из всех видов искусства музыка более точно и ярко передает сущность внутреннего мира и личности человека. Ценность музыкального искусства состоит в правдивом отображении мыслей, ощущений, всего того, что не может быть выражено другим видом искусства. «Музыка приводит в вибрацию душу человека: она действует непосредственно на организм души, вызывая в ней глубокие и сокровенные волнения.» Успешность нравственного, интеллектуального воспитания зависит от эстетического уровня человека, неисчерпаемой составляющей которого является музыкальное искусство. В процессе становления личности будущего музыканта важен подход, особая ситуация, которая создает условия для проявления индивидуальности, требует эмоциональных переживаний, развивает науку общения, побуждая к сотрудничеству. Учебно-воспитательный процесс – это, прежде всего, взаимопартнерство. Именно поэтому ученик также влияет на формирование и личностный профессиональный рост преподавателя. Поэтому преподаватель вынужден каждый раз применять новые нестандартные методы для успешного решения проблемы в подготовке, становлении и развитии своего ученика, его одаренности и индивидуальности. Взаимодействие воспитанника и педагога – профессионала способствует духовному постижению сфер музыкального искусства. Лучшие возможности использования в процессе профессиональной подготовки учителя музыки присущи интеграции, поскольку процесс интеграции позволяет обеспечить рост количества вариантов взаимовлияния и взаимопроникновения искусств, и охватить не только художественные явления, но и знания в области искусства. Профессиональная деятельность социокультурной сферы допускает работу с музыкальным произведени-

ем, коллективом в различных аспектах, а именно: преподавательской, исполнительской, дирижерской и других. Это требует определенного умения оценить, аргументировать, адекватно среагировать на исполнение музыкальных произведений предназначенных для различных возрастных, образовательных и социальных аудиторий. Особое внимание педагогу следует обратить на то, что ученику сложно будет овладеть умением самостоятельно мыслить. Высокий уровень аналитического мышления поможет ему глубоко почувствовать смысл и логику построения произведения, преодолеть технические и психофизиологические проблемы, искусство всегда является сферой свободы, сферой художественного воплощения всего богатства мира.

Молодое поколение, выбрав самый современный образ жизни, должно иметь прочную опору – национальную; наряду с этим следует сказать, что в современной системе воспитания молодых специалистов-музыкантов должен иметь место характер творческой деятельности, соотношение специфики и общности истории культуры и опыта народов мира. Эффективность творческой деятельности музыканта зависит так же и от других многих факторов, среди которых одно из важных место занимает формирование индивидуальности исполнителя. Данная проблема широко ставилась в специальных музыковедческих работах известных деятелей культуры и искусства, однако вопрос анализа психологических особенностей воспитания будущих музыкантов, в частности, начинающих дирижеров на факультетах подготовки учителей начальных классов, практически не освещался в научной литературе. Обучение дирижерскому искусству включает в себя множество специфических сложностей, обусловленных определенными особенностями психологической сферы личности. Дирижирование – это не только система мышечных движений, но и сложный, многогранный комплекс факторов. По словам яркого представителя на-

циональной дирижерской школы Н. Колесы: «безусловно, дирижер должен познакомиться с родственными видами искусства: литературой, изобразительным искусством, народным творчеством, не говоря уже о широкой культуре личности». Современная музыка за последние десятилетия значительно усложнилась и, как показывает педагогический опыт, управление хором стало невозможным без высокоразвитой техники дирижирования и становится важной проблемой преодоления психологических трудностей при овладении дирижерским мастерством. Большую пользу в решении этого вопроса принесет активизация познавательной деятельности и комплекс знаний, направленных на самостоятельную работу с элементами творческого поиска. Начинающие дирижеры должны проявлять инициативу в поисках возможности для управления «живым» звучанием, а совершенствование знаний по музыкально-теоретическим дисциплинам, постоянная работа над развитием интеллекта, способствуют формированию личности, преодолению исполнительских и психологических трудностей. Если исполнитель – музыкант глубоко изучает окружающий мир, понимает тенденции современной жизни, проникается проблемами окружающей действительности, его творчество обогащает и обогащает внутренний мир слушателя, вызывая чувство соучастия. Особенность этой системы с обратной связью, то есть единства между «внутренним» и «внешним», заключается в том, что она действует на ум и сердце, формирует целостность личности и готовит к полноценному восприятию искусства – музыки. Во всей многогранности связей между дирижером и хоровым коллективом следует отметить, что дирижер – единственный исполнитель, который в процессе исполнения не находится в физическом контакте со своим инструментом (хором), управление осуществляется на расстоянии. И уже этот факт требует глубокого исследования граней дирижерского

искусства, связанных с психикой и психологией, как дирижера, так и хора. Дирижер как художник, непосредственно не добывает музыкальные звуки, а только побуждает других к их воспроизведению. Отсюда вытекают психологические задачи, стоящие перед дирижером. В соответствии с ними воспитание дирижера отличается от подготовки инструменталиста-исполнителя, основным моментом которого является ситуация, когда дирижер лишен возможности при овладении профессией ежедневно работать на своем «инструменте». В решении этого вопроса можно рекомендовать сосредоточить внимание на следующих моментах:

- 1) умение студента читать нотный текст партитуры и воспроизводить его звучание для себя благодаря внутреннему слуху;
- 2) умение держать и актуализировать в памяти музыкальный образ при работе с хоровым коллективом;
- 3) осознание временной ориентации произведения, его темпоритму в зависимости от образного содержания произведения.

Таким образом, возможность постижения художественного образа в произведении основывается на интеграции общей художественной эрудиции и осознания целостной художественной картины. Применение интеграционного подхода в профессиональной подготовке учителя музыки обосновывается тем, что виды искусства имеют общую символично образную природу, подчиняются общим художественным законам и закономерностям и одновременно обладают специфическими комплексами выразительных средств соответствующих способа чувственного постижения мира личностью. В процессе художественного взаимодействия идет взаимодействие и всестороннее раскрытие идейно-художественного содержания произведения, обеспечивается целостность и эмоциональная сила его влияния на формирование личности будущего учителя музыки.

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<https://doi.org/10.29013/EJHSS-19-6-101-105>

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## DEVELOPING PEDAGOGICAL COMPETENCE FOR STUDENTS AT THE PEDAGOGICAL UNIVERSITY THROUGH EXPERIENTIAL LEARNING IN THE SUBJECT OF EDUCATION

**Abstract.** The journal focuses on theoretical research on experiential teaching to develop pedagogical competence for students through the subject of Education, studying specific contents of the education subject helping students experience pedagogical competence in the learning environment at the University of Pedagogy.

**Keywords:** Students; Pedagogical University; Teaching; Experience; Education.

### 1. Introduction

Pedagogical students should be equipped with professional competencies that meet the requirements of the task. In the current context of educational innovation, teaching not only aims to help students have scientific knowledge but also must have the ability to flexibly use knowledge in practice. One of the effective ways to help students build the necessary pedagogical competence is through experiential learning at pedagogical schools. In which, Education subject is an advantageous professional subject that helps pedagogical students to experience pedagogical professional skills with high efficiency.

The journal focuses on theoretical research on teaching experience to develop pedagogical competence for students through the subject of Education, researching specific contents of the subject of Education to help students experience pedagogical competence in the learning environment at the University of Pedagogy.

### 2. Research content

#### 2.1. Theory of teaching experience in the subject of Education

The teaching method of university is mainly aimed at organizing self-study and self-research ac-

tivities for students, so teaching the subject of Education through learning experiences is an appropriate orientation to develop maximize the capacity of students to apply in the process of formation and development of pedagogical competence.

Experimental teaching is a learning model based on the experience of the learning subject, students need to contemplate on their own experience to generalize into their formulas and methods, applying suitable for real-life situations. When students immerse themselves in experiential learning situations, new experiences emerge, which are the input material for the next cycle of the pedagogical capacity development process of students.

There are many experiential learning models, in this article the author follows an approach based on Kolb's experiential learning model as follows:

Based on this model, it can be seen that experiential learning activities to develop pedagogical competence for students through teaching the subject of Education require a combination of discrete personal experience, contemplative observations in-class time, conceptualizing through students' thoughts and assessments and positive experimentation, trying to shape and develop their abilities.

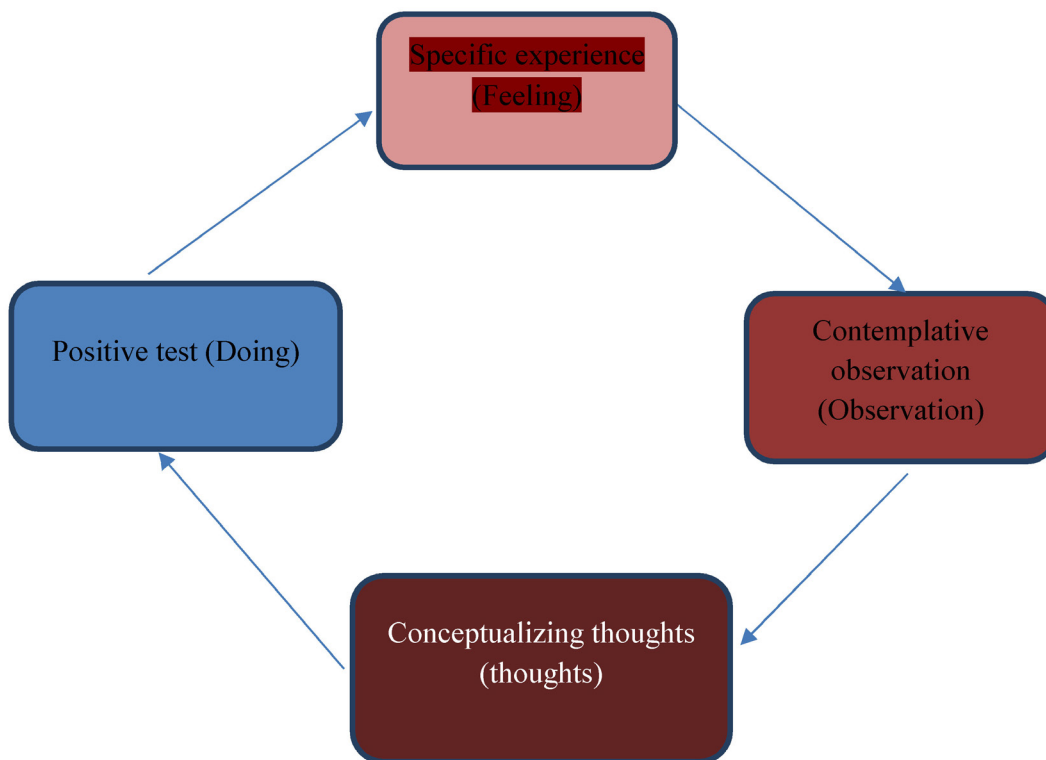


Diagram 1. Experimental learning model of Kolb

**2.2. Designing the model of experiential teaching in the subject of Education**

Education programs at selected pedagogical schools with different teaching time but basically aiming to equip students with the basic knowledge of educational science including: Developing history of educational science; Factors affecting personality development, Educational Purpose and

Mission; The teacher in the high school; Teaching theory; Educational theory; Test and evaluate in education, design and organize experience activities.

Based on the curriculum of Education Studies at Pedagogical University, the author illustrates the dominant lessons in experiential teaching for the subject of education for students as follows:

Name of the lesson: Functions of the class teacher (Implementation time: 03 teaching periods in class (150 minutes); 09 teaching periods of self-study and preparation before class)		
No of activities	Teacher’s activities	Student’s activities
1	2	3
Activity 1: Determining the experience of students	<ul style="list-style-type: none"> <li>– Introduce the lesson</li> <li>– Ask students to test the input::</li> </ul> <p><i>Question 1: Imagine the process of studying in high school and describe what jobs your teacher usually does in the homeroom class?</i></p> <p><i>Question 2: A description of a story or content of a video I have read/watched recently talked about the teacher of the class.</i></p> <p><i>Question 3: In your opinion, what are the vocational teachers’ functions? How to become a good class teacher?</i></p>	<ul style="list-style-type: none"> <li>– Listen to the instructions</li> <li>– Perform tests as required</li> </ul>

1	2	3
Activity 1: Determining the experience of students	<ul style="list-style-type: none"> <li>– Teacher summarizes the test, organized a whole class exchange of 2 contents:</li> <li>1. Impressive story/video;</li> <li>2. Describe the job characteristics of vocational teachers, good teachers' models;</li> </ul>	<ul style="list-style-type: none"> <li>– Listen to summaries and discussions</li> <li>– Students vote for an impressive story or video</li> <li>– Students describe the job of lecturers in the class</li> </ul>
Activity 2: Organize for students to observe Contemplatively (30 minutes)	<ul style="list-style-type: none"> <li>– The teacher shows a video about the teacher and asks students to analyze the video.</li> <li>Requirements for slideshow videos: Video content must show that the class teacher has the following functions:</li> <li>+ Functions of comprehensive management of students in class instead of Principal.</li> <li>+ Function of “connecting point”</li> <li>+ Function of “mentoring”</li> <li>+ Function of combining education forces</li> <li>+ Function of responsibility before the Principal, levels of manager for assessment and classification of students for academic performance and ethics.</li> <li>– Teachers distribute learning cards to students:</li> <li>Requirements of study cards:</li> <li>+ List the jobs that the class teacher in the video has done</li> <li>+ Assessing the quality of activities that teachers in the video have done (according to 2 criteria: Good – Not good).</li> <li>+ If plan to supplement, edit if the class teacher in the video is not good.</li> </ul>	<ul style="list-style-type: none"> <li>– Students carefully observe the video content, pay attention to the jobs and actions of the vocational teachers.</li> <li>– Students answer the teacher's questionnaire as required</li> </ul>
Activity 3: Forming concepts for students (30 minutes)	<ul style="list-style-type: none"> <li>– Teachers organize class exchange:</li> <li>Ask students to conclude 2 contents:</li> <li>+ What are functions the class teacher perform?</li> <li>+ The note to perform well the functions of the class teachers.</li> </ul>	<ul style="list-style-type: none"> <li>– Students exchange with the guidance of the teacher. Write down the consensus opinions, the right ideas. Conclude for yourself to answer 2 questions:</li> <li>1. What are the functions of class teachers?</li> <li>2. Require to perform well the functions of class teachers</li> </ul>
Activity 4: Organize trial activities for students (50 minutes)	<ul style="list-style-type: none"> <li>Teachers divide into groups (each group has 5–7 students); Assign tasks to the groups as follows:</li> <li>+ Each group develops 01 cases of class teachers to perform the function of educating students in the homeroom class.</li> <li>+ Hand over the situation to your team giving a solution+</li> <li>Method of implementation: Stage on stage and in two groups to exchange situations for each other. The pairs of groups draw randomly.</li> </ul>	<ul style="list-style-type: none"> <li>– Students exchange with groups to perform tasks:</li> <li>+ Build a situation for the group</li> <li>+ Agree with general principles when dealing with situations of your group</li> </ul>

1	2	3
Activity 4: Organize trial activities for students (50 minutes)	<ul style="list-style-type: none"> <li>- Teachers let students evaluate each other about the results of handling situations of groups. Numbering groups of 1 to the end, students vote for which group to write the number of that groups of the ballot, count the votes and publish the results.</li> <li>The above exercise gives marks of exercises or group discussions Because the class time are not enough for groups to perform on the stage, teachers can randomly call groups to request to perform the task.</li> </ul>	<ul style="list-style-type: none"> <li>+ Role casting and content agreement after knowing the situation of your group</li> <li>+ Demonstration content handling situations on stage.</li> </ul>
Activity 5: Summarize, evaluate lessons and answer questions. (10 minutes)	<ul style="list-style-type: none"> <li>- Lecturers summarize the lesson:</li> <li>+ About knowledge: Point out the functions of the class teachers and ask to perform that function well.</li> <li>+ Regarding the evaluation of students' activities: Commenting on the spirit and working attitude to the groups (praising and rewarding, criticizing if any). Publish the scores recorded by the groups of the lesson.</li> <li>+ Answer questions: Answer students' questions (if any)</li> <li>+ Assign tasks to the next lesson</li> </ul>	<ul style="list-style-type: none"> <li>- Students listen and contrast with their notes.</li> <li>- Ask teachers if you have questions</li> <li>- Take notes of new lesson assignments</li> </ul>

### **2.3. Conditions for carrying out experiential teaching in the subject of Education at pedagogical university**

Firstly, students must be fully aware of the role of pedagogical competence in career activities after graduation. Students must prepare homework seriously and seriously. The number of students in the class does not exceed 50 students.

Secondly, the lecturers teaching Education must be capable of organizing experiential teaching. This capacity of teachers is reflected on 3 aspects: 1) having in-depth knowledge in education; 2) be able to exploit the applications of IT in teaching the subject of education; 3) The ability to design and organize experiential lessons for students, which not only promote the existing abilities of students but also create an interest in self-study and self-study for students. Pay attention to assigning the task of preparing homework for students from the previous lesson as this is the decisive stage for the quality of teaching experience.

Thirdly, experiential teaching in the subject of education in particular, as well as teaching in pedagogical universities in general, requires the mobiliza-

tion of the school's facilities. Facilities include classrooms equipped with projectors, speakers, facilities for teaching self-study and self-learning by students. On the other hand, experiential teaching in the subject of education also requires the school's abundant document resources in books, textbooks, reference materials and digital library equipment, networked computers. Searching and finding materials (videos, stories) for experiential lessons.

### **3. Conclusion**

Teaching through experience in the subject of Education is one of the effective ways to develop the professional competence of pedagogical students. Based on identifying past experiences, each student can draw the necessary lessons and concepts through positive observation and reflection. Students can apply that knowledge to solving hypothetical cases exercises to develop their pedagogical competence. However, to teach experience in the subject of Education successfully, it is necessary to have orientation at the beginning of the course, and teachers and students need to prepare all necessary conditions when conducting lessons that are organized according to experience above.



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<https://doi.org/10.29013/EJHSS-19-6-106-108>

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## FORMATION OF SPECIAL PHYSICAL CULTURE KNOWLEDGE – THE KEY TO THE SUCCESS OF PHYSICAL EDUCATION IN THE SECONDARY SCHOOL

**Abstract.** The article presents the results of studies on the identification of the influence of physical culture knowledge, instilled in physical education lessons, on the development of motivation to engage in independent physical activity, as well as on improving the quality of physical education in general. Some recommendations are given on options for the inclusion of theoretical material in physical education at school.

**Keywords:** physical education class, physical literacy, physical education, motivation.

### Introduction

“Physical education is a pedagogically ordered process of the directed use of factors of physical culture, including: training in motor actions (as a result of which motor skills, knowledge and related knowledge are formed), the upbringing of individual physical qualities and the motor skills associated with them, assistance on the basis of becoming and the development of personality traits.” According to the planned results of mastering the subject “physical education”, students at all levels of general education should have qualitative properties that are manifested in a positive attitude to physical education and sports, in the ability to use the values of physical culture to meet individual interests and needs, in the ability to organize independent physical education and self-improvement. And conducting classes in physical education should be based on a practical and theoretical component. The volume and content of theoretical knowledge that students should operate is spelled out in the “Strategy for the Development of Physical Culture and Sports in Vietnam for the period until 2025” as one of the indicators of high-quality educational work in physical culture should be an increase in the number of students systematically involved in physical exercises and sports.

And one of the tasks of the teacher is the formation of the need for motor activity and student interest through appropriate knowledge of physical culture [2].

In fact, the physical education and educational process of the school is mainly based on training in motor actions and the education of physical qualities. This confirms the analysis of a number of studies conducted in different schools of our country.

**Research methods and organization.** The research is based on a bibliographic search, collection and systematization of information from various research papers on the problem.

**Research results and discussion.** The results of the analysis of some research works aimed at identifying the influence of knowledge about physical culture on the effectiveness of the physical education educational process:

1. A study of the physical culture work of schools in Ho Chi Minh City, which was carried out on a contingent of students from grades 1 through 12, showed that physical education classes are mainly aimed at teaching motor actions. Because of this, physical education lessons remain an unconscious activity for children. Often they cannot give a definition to the word “health” and do not represent what

positive effect for it has an ordered physical activity, organized at a physical education lesson [1].

2. A questionnaire to identify knowledge of learning methods of testing their physical qualities, in which 85 respondents from different classes participated (5, 9–11), showed that about 50% of respondents do not know such methods. The highest level was noted for endurance tests. About 80% of respondents did not know them. The smallest was in power tests, equal to 20%. It also turned out that many students do not even have an idea of the level of development of their physical qualities, because not were informed by teachers after conducting appropriate tests.

The study organizers suggested that poorly informing students about the peculiarities of their physical condition, about how to check their development level and plan a plan for eliminating weaknesses and improving strengths in the future, prevents students from developing interest and motivation for self-improvement, and organizing independent physical education activities. To confirm the hypothesis, an experiment was conducted in two schools. In one, the process of teaching lessons in physical education was supplemented by stories about the features of conducting methods of testing their physical qualities, about ways to improve them. In the second school, everything was left unchanged. At the end of the school year, the level of physical fitness of the children of the first school was higher than that of the children from the second school.

3. A study was conducted in schools to identify the influence of the level of knowledge in the field of physical education on the formation of motivational needs for physical activity and sports activities. Previously, schools in the city of Hanoi region conducted a survey of teachers on the subject: “What, in their opinion, should be the content of the discipline” Physical Culture? “. 95% of the teachers surveyed indicated that the lessons should be based on physical activity of a sports, fitness and training orientation, and only 10% of teachers emphasized that

schoolchildren also need to be equipped with special knowledge and skills of independent use of physical education tools. This served as the basis for such a conclusion that, mainly in the schools participating in the survey, physical education lessons are based on students’ motor activity.

In order to identify the degree of influence of special knowledge on the formation of a motivational need for independent motor activity and sports activities, the researchers conducted theoretical lessons in the physical education process, and in practical exercises combined cognitive and motor components, gave the children homework theoretical and practical character.

The experiment was conducted in two schools in two age groups: the first from grades 1 to 5, the second from grades 6 to 9. In one school, classes were organized by an experimental method, and in the second, traditionally. In the course of the study, different tests were used to identify the effectiveness of the experimental technique, for example, “Determining the need for activity”. and showed that at the beginning of the experiment, the number of children with medium and high levels of motor activity in the first age group was 56% of all students, in the second 50%. By the end of the experiment, this indicator in both groups increased to 100%. The hypothesis put forward at the beginning of the work was confirmed. As a result, the importance of special physical education knowledge was emphasized as an important factor in the formation of children’s motivation for independent exercise and sports [5].

4. A study of the influence of the words of a physical education teacher on the formation of sports interests among students revealed that the mass media are the most effective means of their formation, but the teacher’s role does not decrease from this. As an experiment, physical education teachers were given the opportunity to conduct conversations with their students, the purpose of which was to reveal the characteristics of sports, their written characteristics were also given out. After a series of such classes, the

number of students wishing to engage in a particular sport increased among the children, the number of students who entered school sports sections increased [4].

The results of the experimental works described above indicate that the knowledge component of physical education lessons is no less significant than its main target orientation: the formation of a fund of vital motor skills, the development of physical qualities and related abilities. The level of physical education depends on the quality of knowledge and their skillful inclusion in the physical education process. Children not only develop physically, but also do it consciously, absorb special physical education knowledge, which they can then apply in practice when organizing independent studies, monitoring and improving their physical development, physical condition, while strengthening and maintaining health. Thus, the general social principle of the applicability of education is fully realized.

**Conclusions and recommendations.** Special knowledge, instilled in physical education classes at school, helps students to understand the essence and role of this type of culture in society. Classes in physical education begin to acquire importance for stu-

dents, their motivational attitudes are strengthened in relation to maintaining an orderly physical activity, the desire to monitor their development and health.

The theoretical component in the physical education and educational process of the school can be implemented in the form of 2–3 classes of an exclusively theoretical nature in the academic quarter. And also include it in each lesson (brief discussions of the various components of physical education, watching video material, conducting small oral verification work at the beginning of the lesson), in homework (reports, examinations), or organize extra-curricular thematic meetings, electives. It is also worth mentioning such structural public organizations as

physical education teams that were widely distributed at various enterprises, factories, clubs, including in secondary schools of the twentieth century. The work of such groups was built on the amateur principles of the students themselves, with the active cooperation of physical education teachers. Their main goal was the organization of physical education practice, the transfer of physical education knowledge, the promotion of a healthy lifestyle, the training of public instructors, sport instructors, and sports judges.

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<https://doi.org/10.29013/EJHSS-19-6-109-112>

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## THE USE OF MODERN INNOVATIVE TECHNOLOGIES IN FORMING ECONOMIC COMPETENCE OF FUTURE QUALIFIED WORKERS

**Abstract.** The focus is on the visualization technology of training material in forming economic competence of future qualified workers using the SMART complex. SMART complex acts as a modern innovative technology that develops economic skills and abilities, creative economic thinking, ensuring the individual's intellectual development.

**Keywords:** economic competence, qualified worker, innovative technologies, competence, SMART complex.

**Relevance.** One of the ways to improve the educational process in institutions for vocational (vocational-technical) education is the use of "innovative pedagogical technologies", which are based on the visualization of educational material. Innovative technologies in education is not necessarily a technical novelty or a product, it is another way of looking at educational process, with this in mind teaching can also be innovative, and the teacher himself can be an innovator. The National Strategy for the Development of Education in Ukraine for the period till 2021 [4] emphasizes that, under current conditions, the most important for the state is the upbringing of a person with an innovative type of thinking, designing an acmeological educational space that takes into account innovative developments in education, the needs of individuals, society and the state; the combination of education with science and production with the aim to develop competitive human capital for high-tech and innovative development of the country, personal fulfillment, for meeting the needs of society, labor market and the state for qualified specialists; ensuring personal development of a person in accordance with his abilities and needs

based on lifelong learning. These objectives require professionals of XXI who have such characteristics as creativity, critical thinking, problem solving, initiative and perseverance, and ability to work together to plan and manage projects that have cultural, social, or financial value. These characteristics and qualities are integral parts of entrepreneurship and entrepreneurial skill, they characterize a person with entrepreneurial thinking, the ability to entrepreneurship, creativity, critical and constructive perception of social development.

The following Russian and foreign scientists have made a great contribution to the study of applying innovative methods in teaching the economics: A. Aksenova, K. Aimedov, Yu. Bystrova, V. Biskup, N. Doronina, T. Kalyuzhnaya, M. Kozyar, A. Nosova, M. Skuratovskaya, G. Stecik, S. Stupchuk, V. Teslyuk, A. Yakimovsky, E. Chamberlin, M. Joseph, F. Sounder, V. Zahka, D. Lewis, D. Ventvos, R. Barlet, A. Williams, J. Walker, T. Bergstrom, J. Miller, D. Johnson, and others. At the same time, new methodological approaches are constantly emerging, methods of teaching economic subjects are being improved, priorities and content of economic education are changing. The

problem of forming the economic competence of future qualified workers in institutions for vocational education with the use of innovative education technologies remains unaddressed and determines the topic relevance of our publication.

**Statement of basic materials.** The innovative approach to forming the economic competence of qualified workers is seen in a complex combination of research issues, which covers the study of financial state of machine-building enterprises, their investment and innovative development, personnel problems, etc. Studies [2; 3] confirm that the educational innovations, which should be taken into account when forming economic competence, are need to be implemented.

The main problems of staffing engineering enterprises of Ukraine are: lack of qualified personnel capable of learning and implementing innovations, lack of investment in the development of human capital, decline in the desirableness to employment, lack of moral motivation [5]. The solution to these problems might be in creation of positive work environment in the workplace, contributing to the development and preservation of the workers' labor potential. It is assumed that the economic competence is built through the development of personal qualities necessary for the activation of innovation activities, motivation for self-improvement, attraction of investments and much more.

Drawing attention to the high rates of development dynamics of the countries – world economic leaders (Germany, Japan, South Korea, Singapore, Taiwan, Iceland, Finland, etc.), we note that they are based on big investments in research and development [2, 31]. In addition, a clear mechanism of investment enterprises that introduce research works has been adjusted. Workers, whose quality include creativity, the ability to permanently generate innovations, intellectual development, forward thinking, non-standard approaches to solving professional problems, are particularly valuable to companies. Scientists are increasingly considering the activities

of an individual, which is innovative in nature, the education itself and its elements (experience, development of creative abilities) create the company's intellectual capital [3, 8–10].

During the study of the economic competence content [6; 7], we have established the need to form the economic competence of future qualified engineering workers through the strategic goals of the state, which could be achieved through reforming the vocational (vocational-technical) education system and modernizing the engineering complex.

Forming of economic competence of future qualified workers by means of SMART technologies, which are currently innovative pedagogical technologies that allow to absorb economic knowledge, develop economic thinking and form economic consciousness, which is a necessity in today's innovative conditions. This is a modern "visual" tool of economic nature.

The following contemporary scientists have studied relevant issues of transition to SMART education, development and implementation of professional training in the educational process by introducing SMART complexes of academic subjects, interactive models: V. Boychuk, G. Gurevich, A. Gumennyi, M. Kademiya, N. Morse, C. Clarke, K. Kolin, V. Radkevich, D. Severdzh, O. Spirin, I. Tverdokhle and others.

Given the fact that today's teenagers are always on their smartphones, tablets and other gadgets, spending a lot of time on social media or playing games, we can assume that these means of information and communication technologies will be used in the educational process. That is why teachers of vocational education face the challenge of ensuring that during educational process high-quality electronic means designed not only for stationary computers, but also for other modern devices that could be used both during lessons and outside the educational institution are being used.

O. Gumennyi's research is exemplary enough, which determines that the "smart" complexes of academic subjects should be scientific, with user-friendly interface, connection with LMS, as well as

be structured, with visual material, the possibility to work offline, should be used universally by different devices both in the school and at home [1, 44].

Taking into account this author's scientific views, we offer to address the issue of forming the economic competence by using SMART complex of economic nature, which is based on innovative principles (creating educational materials); professional direction in forming the economic competence; dynamic interaction between teachers and students (based on students' access to training complex and the possibility of making adjustments), updating of learning content; the use of cloud technologies, etc. [7, 149]. This complex expands didactic possibilities of forming the economic competence and consists of the following modules:

- methodical module (vocational education standard, work program, lesson-thematic plans of subjects);
- learning module (designed for teacher and student);
- information module (video lessons, notes, presentations, etc.);
- knowledge control module (online tests, exercises, case problems);
- interest group (interest group program, the ability to write on a specific topic).

It should be noted that the use of educational innovations and the SMART complex of economic nature is described in the article "Pedagogical conditions for forming the economic competence of students of engineering vocational (vocational-techni-

cal) education institutions" [6] and is defined by us as one of the pedagogical conditions for the effective economic competence formation.

During the study and implementation of the SMART complex, we determined and identified a number of issues such as: technical, personnel, methodical and methodological. The first-order problem for the solution was the technical problem of implementing the SMART complex of economic nature. The problem was in lack of technical means, out-of-date equipment and incompatibility with modern technical means, the inability to transmit information through limited access and more. The personnel problem happened to be one of the difficulties in implementing and using the modern information technologies, and the inability of teachers to create their own SMART complexes. Methodical and methodological problems included methodological support and development of relevant learning techniques.

**Conclusions.** The economic competence of future qualified workers is formed under the impact of innovations that cover the production and educational fields, for this reason the economic competence is formed under the impact of innovative methods and technologies. Along with this, the development of information and communication technologies leads to the development of new educational technologies – SMART technologies. The use of SMART complex of economic nature allows to expand the didactic possibilities of the economic competence formation process of future qualified workers.

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<https://doi.org/10.29013/EJHSS-19-6-113-115>

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## THE USE OF FITNESS TECHNOLOGIES IN THE WORK WITH CHILDREN OF PRESCHOOL AGE

**Abstract.** The article deals with the issues of the modern approach of versatile education and physical development of preschool children, by introducing them to a healthy lifestyle and using fitness technologies in organizing classes. Today, “fitness” can be considered as an innovative system of physical exercises related to the recovery of a person, the improvement of his physical and mental development, social adaptation and integration.

**Keywords:** modern approach, the organization of classes, fitness technology.

Currently, teachers, psychologists and physiologists focus their attention on preschool age, since there is an urgent need in society to create conditions for the all-around education and physical development of children. The issue of health improvement of the younger generation through the use of various physical education means in modern conditions has high priority.

The various environmental factors leave negative impact on the children that lead to a deterioration in health, a decrease in mental and physical activity. Motor activity is the foundation for individual development and health of the child [6, P. 7]. The number of children suffering from cardiovascular, musculoskeletal diseases, vegetovascular dysfunction, etc. is growing every year. An important factor that determines the health is the level of development of basic physical abilities, which is considered low in 20–40% of preschool children [2, P. 55]. However, this factor is the one that determines vitality of the preschool child, plays a large role in the comprehensive and balanced development of the individual, in achieving the tolerance to social and environmental conditions, and in enhancing adaptive properties. Zh. Kh. Kholodov and V. S. Kuznetsov state that it is during this period that the most intensive growth and development of the most important body sys-

tems and their functions takes place, the foundation is laid for the comprehensive development of physical and mental abilities [5, P. 157].

Based on the results of the analysis and compilation of literature data, our own pedagogical experience, as well the study of regulatory documents governing activities in the field of physical education, an issue was identified: decreased motor activity of children and loss of interest in traditional forms of physical education. The necessity of searching for effective innovative technologies, methods, means and forms of organization of physical education was determined.

The main objective of our work is to create a system of recommendations for preschool children classes using fitness technologies. It is assumed that the use of non-traditional methods in work will help lay the solid foundations of good health and the balanced development of the child. The use of fitness technologies in preschool children classes will help in all-around education and physical development of children.

The following research methods were used in the work: theoretical (analysis and study of the literature, regulatory documents on the research topic); empirical (study and analysis of work programs, generalization of work experience).

Early in life, children cannot develop correctly without sufficient activity. Their attention span at this age is still unstable, children cannot concentrate on one thing for a long time and get tired quickly [5, P. 161]. Organization is crucial for the effectiveness of issue solving of the directed use of physical education in early and preschool age. Therefore, preschool institutions develop unconventional approaches to the structure and content of classes allowing maintenance of the constant interest of children in them, an individual approach to each child, reasonable distribution of the academic load and taking into account the level of physical activity. The basis of an appropriate motor regimen is made up of daily physical exercises and games in various forms under the guidance of parents (in the family), the educator (in preschool institutions) and in the process of independent motor activity of children.

Any physical education lesson and fitness training consists of three parts: preparatory, basic, and final. Duration depends on the age of the child and individual physical fitness (from 20 to 40 minutes). The preparatory part of the fitness lesson is aimed at organizing those involved, preparing the central nervous system and vegetative functions; ensuring the readiness of the musculoskeletal system for actions requiring significant muscular effort from those involved; the formation of skills to perform motor actions with various given parameters (pressure, amplitude, direction, rhythm, pace). This is achieved with the help of special exercises: various types of walking, running, jumping, general developmental exercises, as well as previously studied and mastered aerobic exercises or musical rhythmic gymnastics. The aim of the main part is to educate the volitional and physical qualities of those involved and development of vital motor skills. Exercises that build muscle are performed during this part. Strength training includes exercises with objects (dumbbells, expanders, harnesses), exercises on a step platform, with athletic balls, push-ups, press swing, pull-ups, etc. The main part includes elements of acrobatics, sports, rhyth-

mic gymnastics, as well as non-traditional types of gymnastics (wushu, yoga, natha yoga, singing, soccer, aerobics, finger gymnastics, psycho gymnastics, creative gymnastics, stretching, rhythmic games, gymnastics games, dance games). Outdoor games are one of the components of the main part of the lesson. They are selected taking into account the complexity of motor actions and the interest of children. The goal of the final part of the lesson is the recreation after physical exertion and the transition to other activities. In this part of the lesson, it is better to use calming exercises: walking with moderate speed, massaging exercises (shaking, relaxing, massaging), breathing exercises, game stretching, relaxation exercises, attention exercises, calm games, musical tasks, etc. It's hard to make the children purposefully engage physical exercises. They should be interested in doing this. Children should like fitness classes, they should be accompanied by music, poetry, which contributes to an emotional recovery. Children will be happy to do the proposed exercises that they are interested in, even if they are difficult. If the aforementioned is done, the success of the teacher (development of the psychophysical qualities of children) and the child (mastering the motor skills) will be ensured [4, P. 12].

Unconventional training presupposes a difference from the classical structure of the lesson due to the use of new ways of organizing children, non-standard equipment, making some changes to the traditional form of the structure of lesson, leaving the key parts unchanged:

- at each physical education lesson the tasks of training, education and development of the child should be implemented;
- training in basic movements should be carried out in three stages: training, consolidation, improvement;
- the content and methodology of the lesson should contribute to the achievement of the training effect, sufficient motor density and the development of physical qualities [3, P. 32].

The following conclusions can be drawn based on the results of research. Fitness technologies in education increase the quality level of traditional physical education classes, introduce positive emotions into lesson, satisfy the need to improve health, form a positive and active attitude towards a healthy lifestyle, and help identify the abilities of students, their physical development and physical fitness [1, P. 5].

In summary, the system of physical activities for preschool children should include both traditional and innovative features as a great addition to government programs. Today, specialists in the field of physical education are in search of new form of lesson organization that would incorporate all that is new that has been created by science and practice in the field of health-improving physical education.

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<https://doi.org/10.29013/EJHSS-19-6-116-118>

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## **FORMATION OF THE CULTURE OF HEALTH OF CHILDREN OF YOUNGER SCHOOL AGE AT THE LESSONS OF PHYSICAL CULTURE**

**Abstract.** The article contains theoretical and methodological materials on the problem of the formation of a culture of health in primary school children in physical education classes.

**Keywords:** school, physical culture, health culture, healthy lifestyle, primary school age.

### **Introduction**

The concept of modernization of education in Vietnam of primary education predetermined the beginning of a new stage in the formation of a harmoniously developed and healthy personality. It is in early childhood that adult health is formed. Particular attention is paid to this in physical education lessons, the lesson is “significant, leading to a certain result, and a capacious activity of those involved, aimed at the physical and mental state of health of younger students”.

As we know, in recent years, due to constant overloads, the health of the young generation is constantly deteriorating, so the main task in physical education lessons should be the use of innovative technologies: the use of non-traditional methods such as self-massage, relaxation and breathing exercises. It is necessary to rebuild the process of the lesson, taking into account the pedagogical, physiological and psychological laws of the learning process, combining in it the system of exercises of the educational, educational, training and recreational direction [1].

But for this, first of all, it is necessary to study the physiological characteristics of each age, the development of the musculoskeletal system, muscles, mental processes and indicators of the functional capabilities of the child’s body, which are the leading

criteria in choosing physical activity, the structure of motor actions and methods of influencing the body. After training in school, children should spend at least 1.5–2.0 hours in the fresh air in outdoor games and sports activities, this contributes to the development of their motor activity, speed and coordination skills, helps to identify the specifics of individual motor manifestations on the path to physical improvement. Of no small importance is the development of the cognitive of children of primary school age of children (perception, sensing, memory, intuition), as well as the rapid development of abstract and logical forms of thinking.

From the point of view of today’s time, the formation of a health culture at physical culture lessons can be successful if you take into account all the components of the educational process and create pedagogical conditions that include modern innovative technologies of a health-improving orientation and take into account the motives of physical culture and sports, sports interests and psycho-physiological characteristics based on personality-active approach and level differentiation, including monitoring studies of the impact of these technologies on the growing organism [3].

Familiarization with the computer program “Pupil’s physical education passport”, which contains an individual testing protocol with conclusions and



recommendations, the creation of “self-monitoring diaries”, as well as the inclusion of Olympic education, various outdoor games in the educational process, helps to arouse interest in physical education and improve the learning process as a whole [2].

There should not be half measures in recovery, therefore, it is necessary to create pedagogical conditions for each category of children, including school-children with impaired health and children with special health abilities, providing for them a special program. Using computer presentations as a means of visualization can significantly increase the interest of students in the lesson of physical education and improve the development of exercises and methods of healing.

The main task of physical education is to attract each student to the study of his body, to understand the potential inherent in it, group training technologies can contribute to this, and using them in the “Sports Games” section will increase the density of lessons and enhance cognitive activity of students.

One of the components of health-saving technologies in the educational process is outdoor games that combine the means of folk and physical culture, for example, Vietnam’s folk games and games of the peoples of the world. Basketball is an emotional game that makes a person more sociable and contact. All these basketball features are an effective means of physical education.

**Research methods and organization.** Having theoretically studied the process of formation of a health culture of primary school children in physical education lessons, an attempt was made to create their own methodology and to substantiate the effectiveness of its application in physical education lessons.

For this, we used various methods of experimental diagnostics: pedagogical observation, the survey method and pedagogical experiment using testing.

In the process of pedagogical observation of the technology for conducting physical education lessons in a primary school in Ho Chi Minh City, the content of the lesson, the methods of conducting the lesson,

the intensity and load of physical exercises, the behavior and reaction of the students to the taught material were tracked and analyzed. The main indicators of children’s health culture based on their physical fitness made it possible to identify how physical fitness will change when using our methodology.

The initial level of physical fitness and the development of motor abilities of the test subjects was determined by four control exercises recommended by the school program, tested and well-known tests used in scientific research:

- long jump from a place;
- the number of rope jumps in 60 seconds;
- distance running (30 m);
- raising the torso from the starting position lying on your back.

And the “motivational-personal”, which includes a set of norms and values and motivation for a healthy lifestyle, aimed at improving health, was identified as a result of a survey using a questionnaire and an anonymous survey of the parents of our students.

The research program was aimed at organizing the learning process on new innovative technologies developed by us in the methodology of creating a health culture. The study involved 62 students of 3 classes: 30 boys and 32 girls.

For the convenience of implementing the program, we divided the students into two groups: experimental and control. Our proposed model for the formation of a health culture involves solving the problems of physical education in elementary school through the introduction of non-traditional developing forms of education in the curriculum. The technology of developmental education was applied, which implies not only the development of the physical qualities of children of primary school age, but also the wide promotion and analysis of the sports process as a whole.

The main tasks were to form the necessary knowledge, skills and abilities for healthy living in students and teach them how to use them in everyday life, thereby forming a value attitude to their

health and the need for a healthy lifestyle, as well as to teach methods of relaxation and spiritual self-improvement.

Lessons-competitions, lessons – national games, lessons using technical means, multimedia, etc. Thanks to which, students learn faster and better.

During the main part of the lesson, various game methods, integrated games using different forms of developing interest in physical education were used (quizzes, puzzles, competitions, rules of a healthy lifestyle, the basics of life safety, etiquette).

**Research results and discussion.** In the course of pedagogical observation and subsequent analysis, it was found that the most effective methods of introducing the younger generation to physical education are outdoor games, relay races and various exercises leading to the games, competitive interest and personal rivalry, which made it possible to maintain the child's interest and contributed to the effectiveness of the learning process.

As a result of the pedagogical experiment, the growth rates of the exercises of boys and girls in jumping rope for 60 seconds, 30 meters running, long jumps from a place and an exercise on raising the body are tracked

In the experimental group, there is a positive dynamics in the development of motor abilities and an increase in the level of physical fitness, the child's interest in the lesson.

A sociological survey conducted to analyze the motivational and cognitive aspects of development revealed that the vast majority of the students surveyed already at primary school age recognize the importance of physical education.

**Conclusion.** Based on the foregoing, one can notice how interest in physical education lessons in primary school children has increased, but one thing is clear, in order to instill in children a love of physical education, parents themselves must be active, because they are the main example for their child.

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<https://doi.org/10.29013/EJHSS-19-6-119-122>

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## FORMATION OF ETHNOCULTURAL COMPETENCE OF FUTURE TEACHERS OF MUSIC AND CHOREOGRAPHY WITH THE PRC: HISTORIOGRAPHIC ANALYSIS OF THE PROBLEM

**Abstract.** The article is devoted to the study of the process of professional training of future music and choreography teachers from the PRC, namely, the determination of the importance of the formation of ethnocultural competence within its framework.

**Keywords:** formation, ethnocultural competence, vocational training, education, musicians, choreographers.

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## ФОРМИРОВАНИЯ ЭТНОКУЛЬТУРНОЙ КОМПЕТЕНТНОСТИ БУДУЩИХ УЧИТЕЛЕЙ МУЗЫКИ И ХОРЕОГРАФИИ С КНР: ИСТОРИОГРАФИЧЕСКИЙ АНАЛИЗ ПРОБЛЕМЫ

**Аннотация.** Статья посвящена изучению процесса профессиональной подготовки будущих учителей музыки и хореографии из КНР, а именно определению значимости формирования этнокультурной компетентности в его рамках.

**Ключевые слова:** формирование, этнокультурная компетентность, профессиональное обучение, воспитание, музыканты, хореографы.

В период модернизации социально-экономической жизни страны вопросы художественно-педагогической науки и практики приобретают актуальность в контексте развития культуры как в общечеловеческом, так и национальном аспектах. Широкий спектр воспитания нуждается учета историко-культурных явлений Украины и определенных условий современного социума, что приводит к раскрытию лучших направлений национальной культуры, выявление ее самобытной уникальности, выяснения

естественных связей с приобретением других обществ-наций.

Осознание и принадлежность личности к определенной национальности как детерминанты личностной судьбы играет значительную роль как для украинского, так и для всей общечеловеческой культуры. Национальная принадлежность выступает не над личностным абстракцией, а «потребностью души» – имманентным проявлением индивидуального духа в контексте развития индивида [3].

Указанные культурологические идеи устойчиво вошли в отрасль музыкального и хореографического видов искусства, художественной педагогики, которые выполняют миссию, по И. Ляшенко, «подтянуть и согреть» человека непосредственно личностным ощущением и переживанием национального [4, С. 25]. Как разновидности духовной деятельности хореографическое и музыкальное искусства обладают возможностью представить всю полноту существования в этом мире конкретной, уникально-неповторимой личности, способной раскрыть внутреннюю наполненность национально-культурного как «настоящей речи души» [4, С. 25].

К вопросам формирования этнокультурной компетентности молодежи обращались А. Березюк, Т. Иванова, Ю. Косенко, А. Кулиш, Н. Лысенко, И. Ляшенко, Н. Ничкало, С. Сысоева, А. Ткаченко, Е. Тявавко, Е. Устименко-Косорич, А. Черноиваненко, в работах которых раскрыто педагогический, музыковедческий, психолого-педагогический, культурологический аспекты указанного процесса. Однако, работ, посвященных формированию этнокультурной компетентности будущих учителей музыки и хореографии с КНР в высших педагогических учебных заведениях Украины мало, что и обусловило вектор нашего исследования.

**Цель статьи** – исследовать степень изученности проблемы формирования этнокультурной компетентности будущих учителей музыки и хореографии с КНР в высших педагогических учебных заведениях Украины.

Из истории развития украинского общества узнаем, что с конца XVIII в. культурное возрождение нашей страны происходило в контексте романтических тенденций. Язык и искусство выступали ключевой этнодифференциальным признаком и выполняли централизованную системно-организующую функцию в культурном пространстве, что делает сделать вывод о важной роли этнокультурного аспекта в процессе развития профессиональной культуры будущего

учителя музыки и хореографии с КНР во время профессиональной подготовки.

Система этнокультурного воспитания имеет неисчерпаемый ресурс возможностей, которые реализуются путем осознания ценностей народного и профессионального искусства для формирования высококвалифицированных учителей музыки и хореографии с КНР в высших педагогических учебных заведениях Украины. Богатство и красота этнокультурного духа постоянно трансформируются и аккумулируются в различных стилях и жанрах музыки и хореографии. Во время осознание гуманистических тенденций и культурных ценностей фольклорных действий, студенты имеют возможность убедиться в том, что художественными канонами внедрены во все сферы жизни, деятельности, быта и досуга общества. Художественная среда побуждает к распространению среди широкой общественности добро, истину, красоту, что влияет на централизованное развитие акмеологической и профессиональной культуры будущих учителей музыки и хореографии с КНР.

Сегодня мозаичная организация форм музыкально-хореографической культуры – от академических до массовых жанров – способствует избежать студентам художественных специальностей примитивного или одностороннего художественно-стилевого вкуса и формирует умение выявлять коллективную музыкально-хореографическую сознание. Специфика «употребление» в многообразии музыкальных и хореографических жанров заключается в способности личности понимать социальные «коды» современных художественных явлений. Данная особенность подготовки будущих учителей музыки и хореографии направлена на организацию этнокультурной компетентности путем диалога многих национальных художественных образцов, которая коррелирует не только с плюрализмом вкуса, но и с ростом эстетического развития личности.

Результатом на усиленное поглощение образцами высокого искусства, ценностных ориентиров



стало возникновение социальной тенденции как средства внедрения культурно-исторической преемственности, музыка и хореография, с их способностью передавать интимное эмоциональное и личное восприятие интеллектуальных процессов, может выступать эффективным инструментом для предметного воспроизведения внутреннего мира сознания, отражение духовного состояния.

Поэтому осознание образцов художественного творчества с целью формирования умений понимать, оценивать, исполнять произведения искусства путем привлечения к национальным традициям разных стран – важный аспект процесса подготовки будущих учителей музыки и хореографии с КНР в контексте формирования у них этнокультурной компетентности.

В художественной отрасли объединены основные содержательные и формообразующие принципы, которые раскрываются на примерах народного творчества. По выражению И. Ляшенко, народные традиции составляют «внутренние показатели национальной уникальности искусства, отражающие художественный смысл жизни и связанные с его эстетическими закономерностями [4, С. 45]. То есть, национальные художественные традиции выполняют стилистически формовочную функцию, которая направляет передачу духовного опыта предыдущих и последующих поколений в рамках одного общества-нации, этнической общности, а возрастные духовные признаки формируют образно-стилевую форму национального происхождения. Указанный традиционный художественно-образный контент, который раскрывается средствами художественной выразительности в музыкальных и хореографических произведениях, отражает специфику художественного творчества, которая определяет их общенациональный тип.

Непревзойденные возможности в процессе формирования этнокультурной компетентности будущих учителей музыки и хореографии с КНР фольклор и народное творчество, которые различаются по сфере бытования, сохране-

ния и трансляции духовных достижений. Устная коммуникация является главным инструментом передачи произведений народного искусства, которая функционирует по схеме «рот – уши – память – рот» [1, С. 67], что объясняет происхождение устной традиции музыкально-речевого фольклора. Слуховой и двигательно-зрительный каналы образуют единое аудиовизуальное среду, объясняет психологическое состояние личности в контексте «исполнитель-слушатель» и определяют профессионализм музыканта-любителя. Понимание межличностного диалога не предусматривает пассивного общения с аудиторией, ведь важным индикатором связи становится активное воздействие на слушателя, способность управлять публикой, ее эмоциональным состоянием, не отходя от традиционных норм и канонов. В то же время усиливается потребность выявления творчески индивидуального начала, владение исполнительным аппаратом, навыками, средствами музыкальной выразительности, сценичности и артистизме. Корреляция стихийности и структурированности, эмоциональности и рациональности в исполнении музыкантов-любителей доказывает значимость творческого акта и его процессуальности.

Осознание специфики устной традиции будущими учителями музыки и хореографии формирует важную компоненту этнокультурной компетентности в контексте будущей профессиональной деятельности средствами указанных видов искусства. Педагогический ресурс народного творчества в процессе ее изучения состоит в формировании умений работать в коллективе или группе через духовное обогащение и реализацию личностных стремлений. Направленность творческого акта на слушателя позволяет музыкантам-любителям создавать импровизации или спонтанные произведения искусства. Во время выполнения известной музыки или танца исполнитель может отклоняться от авторского содержания или формы композиции как результат на эмоциональное состояние и пове-

дение слушателя. Слушатель, который неожиданно воодушевлен исполнением художника может изменять собственное эмоциональное состояние, что позволяет отметить действенность народного творчества.

На основе музыковедческого анализа формирования этнокультурной компетентности будущих учителей музыки и хореографии с КНР в высших педагогических учебных заведениях Украины можем свидетельствовать о значительной роли национальных традиций, которые выступают культурно-историческим, духовным, эстетическим, аксиологическим, познавательным и социальным основанием и становятся детерминантами формирования этнокультурной компетентности будущих учителей музыки и хореографии с КНР путем формирования нравственных ценностей и, социальной позиции и творческих способностей.

Отметим, что педагогический ресурс формирования этнокультурной компетентности будущих учителей музыки и хореографии с КНР заключается во введении к содержанию профессиональной подготовки отдельных элементов этнокультурного и этнопедагогического значения, а также усиление роли запланированных дисциплин нормативного и вариативного блоков. Однако, важно к вариативного блока учебных планов ввести дисциплины, раскрывают этнокультурных смысл жизни отдельного региона страны, а нормативный блок усилить дисциплинами, которые связаны с общими этнокультурными тенденциями определенной нации.

Становится ясным, что необходимость формирования этнокультурной компетентности в процессе профессиональной подготовки будущих учителей музыки и хореографии с КНР как важной составляющей профессионального роста предполагает разработку эффективного методического обеспечения, в котором базовыми направлениями изучения должны стать художественные (музыкальные и хореографические) жанры и стили, формы творческой деятельности, мотивационное развитие студентов с целью повышения заинтересованности в успешной исполнительской деятельности, А также такие качества, как эмоциональность, артистизм, коммуникабельность, инициативность, настойчивость, усиление художественно-эстетической направленности студентов-музыкантов / хореографов.

Итак, на основании анализа научной базы исследования и подходов можем сделать вывод о том, что формирование этнокультурной компетентности будущих учителей музыки и хореографии с КНР в учреждениях высшего образования Украины обусловлена такими аспектами: теоретическая осведомленность студентов, владение музыкальным инструментом и навыками чтения нот с листа, умение проводить теоретико-стилевой анализ (жанр, стиль, форма, средства исполнительской выразительности (музыкальные, хореографические) для качественных художественных постановок классических, бальных, современных и народных танцев, а также интерпретации музыкальных произведений разных исторических эпох.

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## Section 8. Political science

<https://doi.org/10.29013/EJHSS-19-6-123-128>

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### PURSUING DEMOCRACY: THE CASE FOR CHINA

**Abstract.** With the rapid social changes during the last century, democracy and human right have become an important topic for world's civilians. Yet, although sunk in the atmosphere, there is the country, China, still has a controversial stand on the topic. Based on the phenomenon called "democratic peace", the paper aims at revealing the reason why controversies exist and how a possible solution can be effective in solve them with the focus on the cases of Tiananmen Square protests, limitations and prejudices of journalism, and the recent protest in Hong Kong SAR, as well as an introduction of China's development in related field mentioned. With these incidences, occurrence, and information, it is sincerely hoped that an understanding of China's issue in the field will be brought as well as the inspiration generated from the possible resolution mentioned.

**Keywords:** democracy, human right, China, Hong Kong Protest, Tiananmen Massacre, Journalism.

Consider a country with the following attributes: broad economic power, ever-increasing Gross Domestic Product, strong military force, and great public security. Given the representation it receives globally, as well as the biases against the communist system that supports much of its stability, most people in the west would fail to associate that description to China, even though it applies accurately. As one of the most influential countries in the world, China's development has drawn the attention of international diplomacy through the ages. It has been a controversial nation insofar as it has managed to promote greater living quality for its people outside of recognized democratic practices. Yet, the country itself argues that its civilians enjoy a high level of human right, which contains the sphere of democracy and is protected by its constitution. What caused the difference? By investigate past cases the answer shall

be revealed, together with the measures to develop China's recognition on the current acknowledged system of democracy.

In order to conduct an analysis of this kind, it is necessary to define human rights. Throughout this work, the term human rights will be used to include the range of social, political, and economic rights that are generally considered part of a liberal democratic society. These include, but are not limited to, the right to speak for political goals and the right to know what really happens. With respect to the relationship between democracy, rights, and knowledge, China is in a unique position to the extent that the government drastically reduces the availability of information through the internet and other sources. Because of this, a large portion of the Chinese population are curious about foreign websites to which they do not have access. This restriction of information is part of

the defense against democracy and forms an important battle ground for the case against China.

This paper is based on the phenomenon called democratic peace, which illustrates that countries that have adopted the terms of liberal democracy, including those which have been laid out under the heading of human rights, are more likely to coexist peacefully. Throughout the paper, the paper will argue that China and the United States could help promote democratic development to further stabilize world peace according to this theory. Since 1949, when People's Republic of China was established, the relationship between China and the United States of America has changed repeatedly according to the international political situation, with the constant disagreement on the issues of democracy and human rights. This paper will focus on three cases, which are Tiananmen Square protests, limitation and prejudice of journalism, and the recent protest in Hong Kong SAR, in order to analyze the possible actions both governments could take in order to reach a consensus and promote a stable peace.

To understand the political and strategic actions China has taken recently, it is necessary to have a general background of the development of China's human rights. Compared to Western countries, the development of human right started much later. Its real development in China began in 1949, after the civil war ended and people respected each other equally. Later in 1954, China announced the basic right of its civilians by the Constitution of the People's Republic of China. However, the right claimed by the constitution was deeply embedded in the political ideology of communism. Private enterprises were banned, and the economy was totally controlled by the government, including the food supplied for every family. This showed China's determination as a communist country and its hostility toward capitalism. Such characteristic also indirectly caused the Cultural Revolution, which was the first incident that insulted human right extensively in China. Everything that might have little connection with capi-

talism were punished, including valid knowledge and expertise in related fields. The political class as well as intellectuals had their human right denied. They had to suffer from slandering and defaming. Some were even put to death. As the country moved toward a more formalized notion of rights, the model develop in China varied greatly from the West. In the latter, the right of the individual was secured. In the former, it was the greater right of the state. This discrepancy between what the state owes to the individual and what the individual owes to the state has been a major point of contention between China and the west.

Nevertheless, due to the deterioration of the relationship between China and the U.S.S.R. during the Sino-Soviet Split, the relationship between China and America warm, even during the Cultural Revolution, the period where human rights were most undermined by state action. After the Revolution, China's political strategy changed greatly. Deng Xiaoping started the reformation of China, enacting the opening-up policy. Hence, civilians got their chance to know the Western world. However, this caused another incident, Tiananmen Square protests. In 1989, students gathered in the square to demand the development of greater rights and freedom. This eventually became a national protest, which spurred the Chinese government to act. While the West witnessed the violent suppression of the student protest as a further illustration of Chinese violations of human rights, China consistently maintained its sovereign right to act and viewed any criticism of its actions harshly. Even in 2019, China again stated the incident to be a counter-revolution riot and political turmoil. Due to this incident, the relationship between China and most of the Western countries worsened. But this incident functions as a milestone of the awakening of Chinese human right and should be considered as the first stage of its history.

The second stage begins when China responded to Western criticism by publishing its official document about human right in 1991. The revolutionary breakthrough in the document was that the Chinese government used the word "human right" first time



in its document. The inclusion of this term shows that the concept was no longer an untouchable area. Until this time, China perceived “human rights” as a proper noun of Western countries and connected it to capitalism and Western imperialism. Hence, the situation changed completely, and relations warmed up a bit. The U.S.-China relationship really got better during President Jiang’s visit to America. There, he answered Mike Wallace’s questions and debated with the students at Harvard University about the human right situation in China. Though his answers may not have satisfied everyone, he did win another chance for China in this field. His opinion generally stated that China was still developing its human rights according to real situation of the country. According to Jiang, the project of human rights was ongoing and long-term. Further on, with all focus on Chinese mainland, human right situation slowly disappeared from the public, it is hard to state whether the situation really goes flawless or is simply concealed from the public by the control of journalism. But in 2019, it is reported by BBC that Chinese government established camps to put Muslims into imprisonment to avoid the potential danger brought by them. Yet, the Chinese government claims that the camps are used for re-education of the Muslims who have self-identified as radical. No matter what functions the camps really have, senators of the USA have called for the sanction toward China. And it is certain that Chinese government needs a compelling reason for this.

In the long history of human rights in China, Tiananmen Square occupies a central position. This incident, which the government defined as legitimate counter-revolutionary action by the central government, created friction as the Chinese government implied that the protest itself was the result of foreign interference. It initiated in April, when people were gathered to mourn for Yaobang Hu, a former general secretary of the Communist Party of China. Later the activity was guided to a bed-in concerning inflation, corruption, democratic election, and freedom of press by graduate students.

Although the Chinese government tried to negotiate with the representative of students, the bed-in gradually upgraded to a hunger strike. In the end, violent measures were taken for the accomplishments of goals. Also, some press in China broadcast the incident from the perspective of the students. Therefore, the chaotic situation expanded to important cities across the country. This bed-in continued for nearly two months. After violence arose in the square, the soldiers and police were attacked while trying to keep the order. “An angry protester stood over a dead soldier while holding a weapon in his hand,” (The Washington Post. “A massacre erased” [https://www.washingtonpost.com/graphics/2019/opinions/global-opinions/tiananmen-square-a-massacre-erased/?noredirect=on&utm\\_term=.14fce58376c9](https://www.washingtonpost.com/graphics/2019/opinions/global-opinions/tiananmen-square-a-massacre-erased/?noredirect=on&utm_term=.14fce58376c9)), said Jeff Widener, the photojournalist who took the photo of “Tank Man.” He claimed that he was also attacked by crowd in the square just before the night when the killing took place. Due to such violence, the Chinese government eventually took military actions. When the command was implemented on June 4<sup>th</sup>, students were killed. Since the Chinese government refused to announce the casualties, the estimation of the death toll ranges from hundreds to tens of thousands. However, what really matters in the case is not that number of death or injured but the fact that Chinese troops fired on civilians who once came for democracy.

The events of Tiananmen Square show how China maintains a completely different view of human rights than the western world. In China, human rights are given by the government; they are not intrinsic to the individual. The Chinese government only acknowledges the rights it gives when citizens are following laws. Clause 33 in Chapter II of the Chinese Constitution gives the idea that, anyone has the right defined by the Constitution, yet he or she has to fulfill the obligations given by the Constitution and laws. What the students did on the square can be defined as violations of obligation, which states that no one can violate others’ right while enjoying his.

If the state can grant rights, then the state can take these rights away. Therefore, it may seem reasonable for the offensive behavior of Chinese troops from its perspective. On the contrary, human right in western states is given as soon as one is born. Instead of defining rights, countries always protect rights are not violated, though people may not acknowledge one's behavior. With the substantial difference, it is hard for western countries to comprehend Chinese government on the case, and it shows Chinese human rights' immaturity.

As has been partially mentioned, the freedom of journalism was one of the main topics of the bed-in. According to the book, *The Man Who Changed China: The Life and Legacy of Jiang Zemin*, President Jiang stated that journalism should be the tool of political parties. Thus, the actual situation of journalism worsened in China. There are numerous forbidden zones for journalists now. One area is disputing the government's reputation. For example, the majority of Chinese know nothing about the imprisonment or re-education of Muslims, yet it is widely discussed globally. Another instance is quite funny, that Chinese government banned a speech from its Ministry of Foreign Affairs concerning democracy. Besides the limited areas, journalists' liberty in China is also doubtful. There is a scheme that strictly limits the jurisdiction of journalism about news in the country. The law states that any news that is published in a particular area must be checked by the local government. As a result, the public can only know what the government wants them to know. As a Chinese student myself, I have seen a lot of cases of stories that are reported and then deleted the following day. Because of the internal control of news, Chinese citizens really know little about how things are judged globally. Blockages and firewalls forbid them from browsing foreign websites.

Thirty years have passed since the Tiananmen Protests. The destructive results on Chinese democracy, policies of journalism, and human right can still be felt. It is worth considering whether the de-

mocracy in China has developed in areas other than journalism, and a recent case provides the chance to judge it. The protest in Hong Kong Special Administrative Region (Hong Kong SAR) began with disagreement regarding the new regulation that allows those accused of crimes to be extradited to a territory of China that can judge their guilt. Since the regulation was declared, it has been revised twice to satisfy business circles and legal professions. Yet, it is still not support by the public. The efforts of the Hong Kong Civil Rights Front have revealed potential abuses of this regulation. This organization argues that the Chinese central government will utilize the regulation to arrest or extradite people to the mainland for political reasons. It also maintains that the Chinese court system cannot be trusted to preserve the rights of citizens of Hong Kong. This statement was spread across Hong Kong and people are afraid that their freedom of expression shall be disenfranchised. Their reactions show the strictness of expression in China's mainland. The current events recall what took place in Tiananmen Square: people go to the street for demonstration. They continue to agitate for wider range of democracy, although the regulation has been failed. Such demonstration was still tolerable, and it stops here as the first period of it.

The second period begins, like all ungratified demonstrations, with violence that violates the policemen's rights. Police officers were fought, and their eyes were targeted with laser light. What's worse, one officer even had his finger bitten by a protester on July the 14<sup>th</sup>. Yet, the criminal was released on bail, with only ten thousand Hong Kong dollars and an area restriction. The reports on the case between areas also contradict each other. Reports that favor China claim that the policeman was attacked and that his finger bitten when his fellow officers were trying to control the attacker. In court, the lawyer for the defendant claimed that the policeman put his finger into the attacker's mouth. Yet, the *New York Times's* report, entitled "Hong Kong Protesters Clash With Police Inside Shopping Mall," claims

that, “One officer had part of a finger bitten off by a protester after he gouged the man’s eye with it.” Although, such violence occurred in Hong Kong, there are still politicians characterizing this protest as peaceful. According to *South China Morning Post*, new British Prime Minister Boris Johnson called on China to respect peaceful protests in Hong Kong. Two chairs of a congressional human rights commission also defines this as “peaceful protests” in a letter on the 3<sup>rd</sup> of August. In the latest information by the United Nations Human Rights Office of the High Commissioner, entitled “Press briefing note on Hong Kong, China” on the 13<sup>th</sup> of August, mentions that “The Office urges the Hong Kong SAR authorities to act with restraint, to ensure that the right of those who are expressing their views peacefully are respected and protected.” However, two Chinese, including a journalist, were captured and beaten by the protesters at the airport the same day that the briefing was announced. On the 15<sup>th</sup> of August, the Chinese government replied to the Commissioner with dissatisfaction. According to the spokesperson of China’s mission to the United Nations in Geneva, what events in Hong Kong SAR “have recently taken a violent turn as some radical mobsters deliberately perpetuated violence.” It seems that global opinions have never reached consensus on such case with China.

Whether the protest in Hong Kong SAR is peaceful or violent depends on differences between the Chinese judgment, other countries, and the United Nations. But the question is, what lead to the difference of perspective? Is it the definition of violence? Or is it the information given by different journalists? Probably not, as in Occupy Wall Street, the policemen used worse measures; they even sprayed pepper spray to the arrested ones that even cannot move. (Sitting on the ground with hands cuffed behind the back is treated as violence by U.S. police.) Therefore, misleading news has created totally different perceptions of the events taking place. Is it really like what China Global Television Network claimed that peo-

ple think Hong Kong police are using “riot gears” to suppress these “peaceful protesters” because those cameras only focused on the police? It creates a lot of controversy when having totally different information reported by different news agencies. Also, it is really weird when the information given by the journalism limited by a country is more completed than the ones not limited. But what really matter in this case is not why there are such differences, but the fact that it is necessary to judge a country’s situation with fair and correct information, without the prejudice of history. It is the only way to evaluate Chinese democracy correctly.

Generally speaking, compared to the mainland, China has granted great tolerance, democracy, and liberty in Hong Kong SAR. Despite its concentrated military forces in Shenzhen, the central government has not taken aggressive actions yet. Evidently, China’s relevant policies have shifted after thirty years. But since the protest is continuing, it is hard to judge the attitude of central government now. No matter how the government responds to the protest, there are still existing problems with respect to the development of democracy in China, including the blockage of overseas websites. Returning to the concept of “democratic peace,” the world will be more harmonious when China eventually has advanced democracy. However, from the real-world perspective, it takes a large amount of time for China to develop advanced democracy by itself. Yet, it is out of question to have external forces exerted on China, due to the immensity of both its military strength and economic size. From the perspective of liberalism, it can be more possible to solve the problem by calling for a deal, which concerns petroleum. It is obvious that America has the ability to dominate the market of petroleum. As the typical petroleum exporting countries which don’t favor the U.S. so much, including Russia, Iran, Iraq, Libya, and Venezuela, have relatively weak economy or have gone through social changes that have disabled their ability in the market of petroleum. Simultaneously, America had great technological revolution that

can transfer shale into petroleum in low cost. As one of the countries that demands large amount of petroleum, China would be willing to establish such trading relationship, which bring great profit to both countries. In addition, extra conditions which may include requirement to unblock the websites, change the existing journalism scheme, or require official casualties and result in anti-democracy actions taken by China, can be added. Hence, consensus of definitions of human right differed for a long time has its chance to be united. Although it may be tough for China to fulfill all these additional clauses in short terms, it would have to complete them in the future due to inevitable trend of the developing democracy in China. Therefore, there is huge possibility for China to agree with the extra conditions. Had China once accomplished those conditions, there shall be no doubt that the confidence of world peace will develop further.

Reflecting the past events, it is obviously that China used to lack significant regulations to protect

human right and democracy. It also causes biased opinions of western journalism and public toward the democratic state in China, without really considering how China's case is different from theirs. Quoting the specific events like Tiananmen Protests and the latest protest in Hong Kong SAR, the article tries to analyze the similarities and differences in those events, together with the role that journalism played. This analysis has revealed how the Chinese government has evolved over the past thirty years with respect to how it views the push for greater democratic rights. The present position, though evolving, cannot be sustained long-term. A possible measure which will bring great benefit to both countries is given in the use of economic strategies that force China to amend its political aspirations if it wishes to participate in the broader global market, especially for oil. Hope that the world peace can be further stabilized with that confidence lain in that developed democracy.



<https://doi.org/10.29013/EJHSS-19-6-129-137>

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## TO CONTAIN AND ENGAGE: HOW THE U.S. SHOULD ADDRESS CHINA'S HUMAN RIGHTS VIOLATIONS

**Abstract.** This paper reviews China's record of human rights violations, including the Tiananmen Square Incident, the detention of Uyghurs, and the suppression and seizure of journalists and other dissenters. Recently, an ongoing debate has arisen as to whether these events fall exclusively under China's jurisdiction or if foreign powers are justified in intervening to prevent them. The primary defense employed by China is cultural relativism: the idea that the differences in culture between the East and West invalidates human rights efforts across the divide. However, China has also gone on the offensive, retaliating against individuals and nations that criticize it. Additionally, China is actively seeking to undermine action and discussion in the United Nations. The United States has been hesitant to take direct action against China for fear of retaliation, possibly on the economic front. Drawing from liberal ideas in international relations theory, this paper argues for U.S. action and outlines a potential path for the U.S. to take to mitigate human rights violations through a mix of sanctions and pressure through alliances.

**Keywords:** Human rights, cultural difference, international relations.

At a recent session of the Human Rights Council, Denise Ho Wan-sze, a Hong Kong singer and active member of the democracy movement, delivered a short speech criticizing China's human rights record. Her chief concern during this speech was the contemporary protests in Hong Kong. Invited by two Non-Governmental Organizations to speak at Geneva for the 41<sup>st</sup> meeting of the council, she called for a session to discuss the protection of the people of Hong Kong and proposed removing China from the council because of what she cited as China's ongoing violations. During the speech, Ho was interrupted twice by the delegation from China, which complained that she had violated the rules pertaining the one-China principle. Following her speech, the backlash from China has been severe: Ho has been called "delusional" and has received attacks from multiple Chinese officials [15]. As the events

surrounding Ho's address to the Council reveal, the topic of human rights in China remains an important topic in international politics, just as China's response exemplifies the state's persistent efforts to preclude discussion and criticism of its record. Despite the international attention Ho has received for her public confrontation of the state, China's efforts have largely worked: there has indeed been little discussion and few measures taken to hold China accountable for human rights.

The absence of a concerted international effort with respect to China's human rights record is problematic. With the exception of China itself, China's stance toward human rights is almost universally recognized as deficient. This is especially evident with the widespread coverage and criticism of incidents in China, including but not limited to the Tiananmen Square incident, the repression of Uyghurs in Xinji-

ang, and the detainment without due process of citizens and foreigners alike. However, despite coming from many different countries, criticism and opposition to the Party's actions has not been able to put an effective end to ongoing human rights violations or to create conditions that defend against future ones. The primary causes of this global inaction are the economic and political interests of both state and private stakeholders. Additionally, the idea of cultural relativity, which suggests that "human rights" are merely code for Western imperial agendas, has been China's primary defense. Although confrontation of any sort would inevitably be messy, the US must increase its efforts to hold China accountable for human rights and encourage allies to do the same.

The concerns that the U.S. and many other countries have raised have been valid: there have been countless actions and incidents in China that certainly seem problematic. A prominent example is the Tiananmen Square Incident, dubbed by many as a massacre, which transpired on June 4<sup>th</sup>, 1989. Chinese troops fired on demonstrators in Tiananmen Square, killing hundreds and maybe thousands. The events provoked outrage across the globe [8, 132]. At the time of the massacre, a massive movement for democracy in China, advocating for increased rights, such as the freedom to vote, freedom of the press, and the right to choose where to live or work, was taking place. As the movement gained momentum, demonstrations were held across the country. Although they were primarily students, the demonstrators appeared to have the support of the people. In an article recounting their firsthand experiences of the event, Melania Abas and Jeremy Broadhead reported that "at 5pm, with work over for the day, out came the families and citizens of Beijing, with cheer and good humor, to stroll among the students, to listen and offer their support, many staying up well into the night" [3, 269]. This description reveals that, although the government would later refer to them as rioters, the Chinese people had a much more open response to the demonstrators, seeing them not as agitator but peaceful advocates

for improved rights. Abas and Broadhead convey an atmosphere of excitement and positivity. Far from being fearful of change, the families supported both the students and what they stood for. Military intervention certainly did not seem necessary. Accordingly, leading up to the incident, there was little bloodshed in the many confrontations with the police. Though the government did drop leaflets threatening military force, the common belief was that the People's Liberation Army would not confront a movement so thoroughly backed by the people [8, 132]. Nobody expected what happened next: on June 3<sup>rd</sup>, 1989, tanks and armed troops forced their way into the square, firing indiscriminately into the crowd (Britannica). The military vehicles and personnel were met with defiance and outrage. The crowd pushed buses into the road to block the advance of the military and threw rocks at army vehicles [3, 270]. In the end, the troops reestablished control over the square, and the scale and significance of the event was downplayed by the government. Even to this day, references to the Tiananmen Square incident are still suppressed in China (Britannica). Though president Bush responded by temporarily suspending all high-level contacts with China and discouraging international financial organizations from accepting loan applications, the relations between the U.S. and China, especially economically, remained essentially unchanged [8, 133]. In effect, the broad economic integration between the two nations ensured that American response could not address the massacre or seek to assess its causes.

While it remains perhaps the most highly visible illustration, Tiananmen Square is far from the only instance of human rights violations to which the West has objected. In present-day China, tolerance of religion is also reaching a low point, especially with the case of Islam. Many mosques and other church buildings across China have been demolished, and religious icons have reportedly been removed. Uyghurs, Turkic Muslims in the Xinjiang region, have had their passports arbitrarily seized and face surveillance and laws that effectively restrict the practicing of their faith. The most

widely criticized action, however, is the mass-detainment of an estimated one million Uyghurs in “political education” camps [5]. The official justification for their detainment is the claim that these people have been identified as having radical or extremist tendencies. While they have not yet committed a crime, the state justifies their internment on the basis that their beliefs make them prone to illegal activity. They are, China claims, in attendance voluntarily because they have identified themselves as dangerously radicalized. In an interview for the state-sponsored Xinhua News Agency, Shohrat Zakir, a Uyghur and the chairman of Xinjiang’s government, stated that the camps had “won widespread acceptance and wholehearted support of the public in Xinjiang” [12]. The claim is that the camps serve to both de-radicalize the Uyghurs and to provide them with vocational training. This is the exact narrative that BBC reporters found when invited by the Chinese government to visit the camps. Despite the public rationale, the BBC found this justification suspicious. Satellite images show significant changes occurring before the visits, including the removal of security infrastructure and the construction of courts for playing sports, indicating that the site had been modified to change its appearance. In addition, firsthand accounts of people who have had family members “disappear” or who were detained themselves describe a very different atmosphere than the one carefully arranged by the Chinese government for the cameras. These accounts include stories of seizure without due process and even torture [4]. Even in the face of this testimonial evidence, it is difficult to be certain of what exactly is taking place. China has not backed down from its claim and responds aggressively to any foreign criticism.

In addition to these cases, government control has tightened over the daily lives of the people. This is especially true with respect to the sharing of ideas and information. The banning of countless services, such as Google, Instagram, and Discord, is no secret, and even platforms that are allowed to operate in China are heavily monitored. There have been countless disap-

pearances, typically of people who either express ideas that contradict the government or directly criticize it. Journalists are especially subject to detainment, and universities have also become targets. The National Supervisory Commission, a powerful anti-corruption agency, operates under a custodial system called *liuzhi*, which grants them the power to detain anyone without due process and to hold them without outside communication for 6 months [10]. This widespread repression has made any internal opposition extremely difficult, especially since the media has the tendency to alter facts to serve the government’s ends. A recent example is the Hong Kong extradition protest, a movement of record-breaking magnitude during which protestors flooded the streets and took over the legislative building in response to a proposed law that would potentially expose people to China’s justice system, which is viewed as deeply flawed. However, in mainland China, when these protests were mentioned, if they were mentioned at all, they were credited to the work of outside agitators meddling in Chinese affairs. No mention was made in state-run media of the real cause of the political disturbance [6]. Any reports contradicting the official stance towards the riots in Hong Kong were strategically blocked through both manual and automatic filtering. This system of informational control is unlikely to improve, as the technology responsible for mass-censorship is rapidly improving. China has shown no signs of pulling back its restrictions.

In defusing international criticism regarding its human rights record, China employs two defenses. The first is the claim of national sovereignty. As China continually asserts, states should mind their own business and avoid meddling in others’ domestic affairs. Essentially, China portrays human rights as merely a pretense used by cultural imperialists to further their agenda and undermine China’s sovereignty. This doctrine has come under fire by many, especially editorialists and advocacy groups. Abe Rosenthal, a well-known columnist, denounced it as “historical falsehood, ethical duplicity, human



callousness, and political betrayal.” There have been similar criticisms from western NGOs, condemning the idea that human rights can be manipulated to serve political or economic ends [1, 130]. Despite the object that is raised by these and other Western agencies, China’s accusation isn’t completely baseless: there are certainly historical cases that point to the enforcement of human rights in a manner that served western imperialistic interests. One example is the legal codes used in extraterritorial zones, which were full of loopholes benefiting the United States. The case of Joseph Munz, an American who beat a Chinese boatman to death while he was performing his duties, illustrates the point. Munz was ruled guilty but pardoned after a letter was written to president Theodore Roosevelt, justifying the act and describing the “water population” of Chinese boatpeople as “extremely ignorant, stupid ... and averse to any interference and control” [1, 141]. With this in mind, it is definitely not invalid to criticize U.S. human rights lobbying as somewhat hypocritical, given its history, or at the very least, from the Chinese perspective, to be skeptical of claims that demand Chinese change. China’s historical view notwithstanding, past wrongs do not justify present ones, and the concept of universal human rights does indeed exist.

The other defense that China raises in the face of critical opinion regarding its ongoing record is the concept of cultural relativism, or the belief that the respective history and culture of China and the U.S. (and to some degree of the East and West more generally) are incompatible and that the two cannot be held to a single standard of human rights. The implication is that there is a separate code of Asian human rights, where personal liberties are second to common interests and the economic development of the state. As with state sovereignty, this idea is also valid: there is indeed a significant cultural and political divide between China and the U.S. As distinguished Sinologists Andrew Nathan and Randle Edwards have noted, rights in China have traditionally been viewed as created by the state and

not granted at birth, as they are understood in the U.S. However, many criticize cultural relativism as merely an attempt by authoritarian regimes to justify the preservation of their power. The combination of national sovereignty and cultural relativism was expressed formally in the 1993 Bangkok Declaration, which was the product of a meeting among several Asian countries leading up to the Vienna World Conference on Human Rights. The document served to promote prosperity and cooperation among the nations through a system of meetings and committees and to found the Association of Southeast Asian Nations. The ideas expressed in the document became widely known as the ASEAN mantra [1, 129]. Even with the ASEAN’s goal of promoting adherence to the UN charter, China continues to resist human rights activism, actively trying to prevent human rights discussions in the UN security council (The Costs of International Advocacy 63) through its invocation of both cultural relativism and sovereignty.

The massive influence China has, both politically and economically, has also been a roadblock to clear resolutions and progress on human rights. The importance of Chinese trade in certain countries, for instance, has given China incredible leverage, facilitating their crackdown on human rights criticism both at home and abroad. A recent example exemplifies how China utilizes its economic strength to undermine international attempts to hold it accountable. In 2017, Greece vetoed a European Union condemnation of Chinese human rights, a move that outraged EU members and other human rights groups and was criticized as a blow to the EU’s role as an active defender of human rights. Greece’s decision was not the result of a principled disagreement about the substance of the condemnation. Instead, Greece acted in accordance with its own economic needs. In dire economic trouble, Greece relied on massive Chinese investments, which made alienating Beijing over human rights unpalatable. This example reaffirms that human rights is often utilized, from both sides, as a bargaining chip that can be played or held in reserve.



China has shown little hesitation in retaliating against defiance. When Norway awarded the Nobel Peace Prize to Liu Xiaobo, a detained Chinese human rights activist, China suspended all economic and political contact with the country. Though Norway was able to recover quickly, it was still a massive shock to Norwegian exports and indicated the degree to which China is willing to leverage its economic strength to penalize countries that are too vocal about its human rights record or that appear to support internal dissent. Since then, Norwegian politicians have censored themselves and been generally much more cautious in interactions with China [7, 19]. In general, though direct evidence is hard to find, there are signs that suggest states with close economic and political ties to Beijing are less likely to criticize it and more likely to support its efforts to weaken the international human rights system. The UNCHR, the UN agency devoted to protecting refugees, has passed resolutions critical of China's human rights record, but Chinese diplomats have consistently worked to defeat them by offering economic incentives to the swing states of developing countries [7, 1–2]. There have also been reports of China harassing and directly threatening UN attendees and activists in an attempt to suppress criticism, and very few assertive measures taken to put an end to this (HRW [9]).

With its doctrine of cultural relativism, China has called into question the long-held assumption of universal human rights. Although China continually asserts that human rights have been historically used as a justification for western imperialism, there is certainly a set of universal human rights that should transcend that divide. For instance, countless rights including the right to a fair trial and freedom from torture or other inhuman treatment are explicitly stated in the Universal Declaration of Human Rights, proclaimed by the United Nations general assembly in 1948 as a common standard for all nations. As a member of the UN, China is able to gain both recognition and the ability to cooperate with other members to address important global

issues. With the prestige and influence that China gains from being part of the UN, it is not unreasonable to expect it to be held to its standard of human rights that are announced in this body as universal. Yet this is not the case; rather China uses its power and prestige to avoid human rights discussion, weakening the UN's accountability. China cannot have it both ways. It cannot be part of international organizations, through which it gains enormously, at the same time that it works to undermine the essential values of those institutions by claiming they are merely relative.

By the standard of the Universal Declaration of Human Rights, there is little question that China has been in violation of many of the established rules. Some uncertainty may surround the Uyghur situation, as China still denies holding them against their will, but the "disappearances" of journalists and activists is an objective fact. Cao Shunli, a Chinese activist trying to attend a 2013 UN Human Rights Council meeting with information on torture and extralegal detention, was detained for 6 months and died after being constantly denied medical attention [7]. No doctrine of human rights should allow for the arbitrary killing of political opponents. The fact that China actively blocked a moment of silence for Shunli at the following Human Rights Council session only makes this offense more egregious (The Costs of International Advocacy 87). This is certainly not an isolated case: there have been many other disappearances and deaths, including Liu Xiaobo, mentioned above, who met a similar fate to Shunli. The idea of state sovereignty, if valid, may provide the slightest defense for detaining Chinese citizens, as it falls under the domestic affairs of the state, but it offers no protection to the detention of foreigners. An example is the case of Gui Minhai, a Swedish publisher who was seized in 2015, supposedly to prevent unflattering books about the Chinese government from being published (WPR). This act and many others like it clearly violate the aforementioned Declaration of Human Rights. This brings us to the ultimate question of what the US should do to

address these offenses, or whether we should do anything at all.

Turning toward the theory of international relations, which can be used to support strategic decision making and analysis, this paper will adopt a liberal approach to the issue at hand. Although the theory of realism has many assets, it may not be the best suited to this situation. As realism operates on the assumption that each state acts rationally for the sole purpose of its own survival, there is no room for negotiation and cooperation among states. With cooperation between states impossible, the human rights violations of a foreign country would be of no concern whatsoever to the U.S., a fact that appears to be borne out by the present administration's refusal to push China on human rights in deference to present trade negotiations. In addition, the interests and actions of non-state actors, organizations separate from the government, don't always reflect those of the state itself. This is evident in the case of many Chinese activists acting directly against the government. While realism places little importance on these non-state actors, they cannot be ignored in the case of China's human rights. Liberalism, however, is useful in that it puts emphasis on the actions and interests of these non-state actors and factors them in along with those of the state (Slaughter).

The current U.S. administration seems to be operating from a primarily realist perspective. The focus has recently been on state power, both in terms of the military and the economy. In terms of U.S.-China relations, the trade war and efforts to reach a compromise have clearly made the U.S. very reluctant to do anything that may raise what it perceives as unnecessary tensions. For instance, a recent speech from Mike Pence originally planned for June 4th that would have criticized China's human rights record was delayed several times. The reason for its delay was that the administration did not want to anger China on the eve of the G-20 summit, where the topic of economics would be discussed (Jacobs). The speech would very likely have been seen as an attack and could have provoked

retaliation of some sort, including Chinese withdrawal from the negotiating table. This shows that human rights are seen by the government as something that can be compromised on, a fact that is corroborated by the U.S.'s relative silence regarding Chinese actions in Xinjiang. The administration certainly does not lack the power and influence to push China toward change, but it is currently unwilling to do so out of fear of reprisal. This fear, however, is not of a direct threat to US safety, but rather of more difficult negotiations with China. In effect, human rights have become a bargaining chip that the United States can play or withhold in order to achieve its own strategic end of economic prosperity.

This issue brings up the broader question of whether human rights should play a role in decision making at all when it comes to foreign policy. A compelling point against intervention is essentially that it yields no tangible benefit while costing the U.S. both economically and politically. With China actively using its massive economy to gain support for its doctrine of non-interference and state sovereignty, it would certainly be much easier simply to criticize China and leave it at that than to leverage the U.S. economy to counteract it directly. Critics of human rights activism argue that human rights intervention is counterproductive in that it often harms the very relations that diplomats are trying to improve in the first place [13]. However, there are definitely potential benefits to human rights activism aside from moral correctness. A more active and clearly defined human rights policy would better protect people from governmental oppression, both inside and outside of China, and also reduce the chance of an outbreak of violence, such as Tiananmen Square. It is true that human rights have historically been used as a pretense for western imperialism, but again, there are an officially recognized set of universal human rights established by the UN. Therefore, something must be done about China's constant and blatant human rights violations. Turning a blind eye achieves nothing and will only make it more difficult to resolve the issue in the future, as China continues to wear away at UN human rights institutions. Additionally, remaining

silent in the face of abuses will have the effect of diminishing American credibility on the world stage. China shows no sign of working to address concerns, and if anything, only seems to be getting more confident. In 2017, China proposed its first Human Rights Council resolution in which it pushed state sovereignty and quiet dialogue in place of investigations and criticism of human rights, following with a similar resolution in 2018 [7]. This shows China's government actively working within the UN to both block criticism and to suppress it in the future.

China's manipulation of the very institutions that should be able to hold it accountable was evident in Denise Ho's speech, where China's attempts to silence the speaker were based on the One-China policy, and "one country, two systems", which were supposedly violated by Ho criticizing China and speaking of it as separate from Hong Kong. It seems like a bit of an overreaction to interrupt a speech for such technicalities, but it certainly worked in China's favor. These serve as examples of ground rules that favor China in disrupting the discussion of human rights in the UN [15]. Clearly, statements and criticisms of China's human rights violations have failed to take effect. In order to change anything, the US must be prepared to bring its economic, and diplomatic power to bear to pressure China to adhere to the established standards.

Given the set of available strategies that that U.S. could implement, including confrontation or off-shore balancing, an effective course of action would resemble the plan of containment and engagement. The U.S. should create a network of alliances in order to push China toward cooperating with the world order, essentially to "play by the rules." Containment and engagement emphasizes the building of economic, cultural, and institutional connections to create incentive for China to reform itself; basically to create a situation where China would be disadvantaged if it didn't. This tactic cautions against overreacting to China's rise but does take measures to curb potential Chinese aggression: the "hub-and-spokes" alliance system is specifically cited as a

method that must be preserved to maintain stability. This system involves multiple tight bilateral alliances rather than a multilateral mechanism, which gives the U.S. significant influence over its allies' actions [17, 316–318]. This strategy is currently very widely favored, mostly due to its flexibility. Though it could certainly be more assertive, it allows the U.S. to leave a variety of options open, as there would be no direct provocation against China. Nevertheless, it is a good first step, especially as little is currently being done to hold China accountable for its actions. The U.S. could always shift toward a more aggressive policy if China tried to assert itself or if it was clear action was necessary.

A potentially very useful tool in putting pressure on China could be the Sergei Magnitzky Human Rights Accountability Act, a law passed in 2012 to place sanctions on those involved in the murder of Sergei Magnitzky, a Russian lawyer. The law was expanded in 2016 to target any individual "responsible for or complicit in, or to have directly or indirectly engaged in, serious human rights abuse." The act has since then been used to sanction over 100 people from a variety of countries, with promising results in many cases [15]. This act not only gives the U.S. a method for intervention, but justification. Schanzer points to Chen Quanguo, essentially the mastermind behind the current Uyghur crisis, as an ideal target. According to Schanzer, both his position as a prominent government official and the large role he has played in the religious repression in Tibet means that there would be substantial evidence against him, and that the sanctions would definitely have an effect.

Another campaign the U.S. could undertake is to promote the spread of information in China. One of the main enabling factors of China's human rights violations is that the populace is largely uninformed of them, due to the widespread vigilant censorship of anything related to them [6]. Currently, the Chinese people obtain their information regarding U.S. efforts toward human rights reforms primarily from the Chinese government, and thus sees them as



obnoxious and meddlesome. Changing China's attitude toward human rights would be much easier if the Chinese people were informed of it and fighting alongside the US, and it may even make US action unnecessary. Of course, even with the Chinese activists already working toward this goal, it would be a massive and incredibly costly undertaking due to the sheer population of China. However, even the threat of such a campaign could be used as leverage against China, in order to apply pressure alongside other political and economic sanctions.

China's violations of human rights pose a threat to both its populace and the integrity of international

organizations such as the UN. Effective action must be taken to address these violations, beyond simple verbal condemnations, since delaying action will only make resolving the issue more difficult as China's influence grows. At the very least, the U.S. must make efforts to consolidate its alliances and put pressure on China to reform, whether it's through incentives or sanctions. Although China's defense does have its validity, the fact of the matter is that even if there exists separate codes of human rights, many basic protections are universal. Cases like Cao Shunli and countless others are unacceptable, and something must be done to ensure that they do not happen again

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<https://doi.org/10.29013/EJHSS-19-6-138-149>

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## THE PKK'S POST-MORTEM IDEOLOGY: LOVE OF DEATH OR DEATH FOR LOVE?

*This paper constitutes some parts of my forthcoming PhD dissertation.  
However, it was rewritten and reformatted for publishing purposes*

**Abstract.** This article aimed to explain and discuss how the Turkish pro-state and pro-Kurdish movement media displays the death and the armed conflict between the two sides by comparing two newspapers. This article had four main objectives. First, it explored how the media impacts the societies that both the Turkish state and the PKK claim to represent by covering death-related news. Second, it demonstrated how the deaths of the members of the PKK has created a new type of ideology which, in this article, is referred to as the post-mortem ideology. Third, it examined how the PKK has been utilising the media in order to build a bridge between the Kurdish society in Turkey and its own acts of violence while the Turkish state has failed to diagnose the problem by portraying the party as a “gang”. The article concluded that while any type of ideology might use violence, in the case of the PKK, death itself has created an ideology.

**Keywords:** Media, PKK, post-mortem ideology, Turkish state, violence.

### 1. Introduction

*“If the young are not initiated into the village, they  
will burn it down just to feel its warmth.”*

*African proverb*

How we define death determines how we understand the world and politics. The PKK's philosophy is based not only on the Marxist ideology but also the death of its guerrillas. To comprehend how the PKK is not just conceptualising death but also explaining it to the public is crucial to understanding the relationship between the PKK and the Turkish state. Therefore, in this article, I intended to analyse the PKK newspaper *Serxebuan* (The newspaper was founded in 1982 in Germany, when any act of PKK was forbidden in Turkey. The word might be translated to English as “independence” and “freedom”) in order to demonstrate how the PKK has built a struggle based on death. However, before that, I explored how the

PKK constructs and defines the concept of violence for revolution or revolutionary violence by looking at the columns of the journal. Then, I demonstrated the headlines of the sixteen volumes that are classified by the PKK as “special volumes” and how the perception and presentation of death-related news over time has changed in terms of discourse and content. Following that, I demonstrated how, on the other side of the conflict, the state's media presented the news related to the conflict, the PKK and deaths in the same period by choosing one of the most read daily newspapers, *Milliyet*. The aim of the article was to examine how the demonstration of death-related news as well as the discourse and changes related to it on both the sides took place in time. On the one hand, for the PKK, the death and violence are comprehended as a “party's casualty” that has turned into anger and been formulated as “societal value”, along with the construction of

a “post-mortem ideology”. On the other hand, for the state, due to its failure in diagnosing the problem, the perception of PKK’s acts and ideological standing have changed from being seen as committed by a handful of gangsters to committed by a “perfect enemy”. At last, by reading the documents with the suggestion of the two notions of “post-mortem ideolog and the ethics of death”, I attempted to understand how both the sides interpret death so as to explore the possibility of the application of these two concepts in the investigation of the political violence.

The volume of the documents makes it impossible to analyse it in its entirety. Therefore, I examined the documents published in the first year (i.e., 12 months) of the newspaper in 1982 and collected the news related to the deaths of the members of the PKK.

## **2. Retelling Revolutionary Violence**

Although extensive research has been carried out on the Kurdish problem, not many investigations have been conducted on the newspaper of the PKK. The PKK had not decided to venture into an armed conflict with the Turkish state, as is believed in the short period. In fact, the armed conflict started as self-defence against the State-supported nationalist groups in the major cities in the second half of the 1970s. However, the 1980 military coup in particular had forced the Kurdish movement to go to war with the State by taking each possibility and opportunity for a movement to protect itself and resist. Besides, the game was designed by the power located in the universities, streets and courtrooms. What the PKK did was to make a strategic shift aimed at changing the arena and taking the conflict outside to the mountains. Although there used to be one arena for the conflict between the two sides, the PKK’s going to the mountains created the second arena and, at the end, what have seen was not one but two platforms where the war could take place. What we have been observing is the fact that even at present the State-designed conflict has been taking place between the political parties, although in the east, it is between armed powers.

In the 1970s, the PKK was accused by fractions of the left in Turkey for its lack of ability to define the problem and internalise the Marxist values, as well as, in effect, serving the bourgeoisie values. Further, they believed that the Kurds and the so-called nationalist parties cooperate with the bourgeoisie for modest gains. What is interesting is that for the PKK, reformist nationalist groups had not only cooperated with the Turkish bourgeois but were also influenced by its ideology. Moreover, the Turkish left followed the Kemalist group, which, for the PKK, has been anti-proletariat as well as anti-Kurdistan and has helped it to colonise Kurdistan. Consequently, one of the biggest criticisms against the PKK was raised by these groups, who later blamed it for the tragedies that took place in Kurdistan. It appears that the PKK aimed to widen the gap and the contradiction between the coloniser’s bourgeoisie and the people. It has been argued that more electricity, roads and education in the mother tongue is doing nothing but strengthening the control of the Kurdistan and keeping it from achieving freedom. While the PKK has accepted that there is a class conflict, it, on the contrary to the Turkish and reformist parties, believes that national independence is the only way to solve the problem.

The explanation for the revolutionary violence differs for both the Turkish and Kurdish sides. The PKK argues that the Turkish state has been using its strong army to keep Kurdistan under control, which has no legitimacy and is against the value of liberal democracy. Economically, for the PKK, Turkish capitalism and bourgeois are not progressive; on the contrary, it is in the stage of collapse. However, it also faces pressure from the state and the Turkish bourgeois as well as the challenges from the progressive groups who respond with the state’s fascist practice. Ultimately, while the PKK claims that Turkey is a new colonial power, it is argued that its ability to survive is weakening day by day because the target territories are reacting strongly against it. In short, the Kurdish movement underlines that Turkey is strong

in terms of politics and military; however, it is weak in terms of societal and economic values.

For the Kurds, it has been argued that the mobilisation of progressive sources and the struggle for self-determination and national independence by the PKK has all the societal and economic requirements to put its agenda in practice. The Turkish progressive and revolutionary forces have had moderate progress. Moreover, the Kurdish independence movement has had strong national and international support. It has been argued that at the beginning, the Turkish bourgeoisie represented the new and progressive, while the Kurdish side represented conservative ideas, which was the reason behind the crackdown of the rebellions before the PKK. Besides, it has been claimed that the Kurds represent the values of an early Republic, while the Turkish state follows conservative values.

Furthermore, in this evaluation, it has been argued that without a party with proletariat leadership, it is impossible to reach victory. To do this, it is fundamental to have a big party with practices and programs to spread its values to people and armed groups. In reference to Lenin's *What is to Be Done?*, it has been stated that an influential theory should only lead pioneer warrior groups (Serxebuan vol. November 11, p. 11, 12, 13).

According to Abdullah Ocalan, "a nation needs heroes". He argues that in Kurdistan especially, now more than ever, there has been an awakening regarding the "need for heroes". That is why he wrote that "the period of heroes is a miracle and sacred". The memories of this period are not just for a memorial, but, more crucially, they are a way to get over the most significant problems. (Sergebun, 2019, April) For Ocalan, heroes are not born in usual and reasonable times, but they come to exist only in extraordinary periods. Further, he argues that when the PKK came to exist, it had to face the terror of the state in the form of pressure, massacre and denial, and it was able to survive and defend itself in such conditions by fighting and martyring its members. On a similar note, *Sehid Bedran* (Mehmet Sevgat), a PKK mem-

ber who died in 1987, wrote in an article in a journal called *Pesmerge*, "Being a people's fighter is an honor."

Violence and death specifically have been used by the Kurdish movement to reach the Kurdish society in order to spread its ideology. This is why Bedran argues that the necessity of the PKK's resistance should be explained to all the Kurdish society in Kurdistan repeatedly. From 1982 to 2019, the newspaper has systematically given a place to the reportage of revolutionary violence, martyrdom and its baselines. For Bedran, the fight against fascism and the invaders on the mountains, courts and prisons are, in fact, the interpretation of Marxist-Leninist revolutionary resistance. (Bedran, March 2011) Moreover, according to him the devastation of Kurdistan is a response to the Turkish fascism. The glorification of death and fighting has reached the highest level. In his own words, "the highest level to reach is to be a fighter for a human being in Kurdistan". Moreover, the war for him is doing politics differently (Bedran, March 2011). In his article, he argued that while the guerrillas are honourable, the Turkish soldiers are inferior. According to him, in a fight a guerrilla has to do everything but surrender, even if it cost them their life (Bedran, March 2011).

### 3. Death of Love

Although the first PKK attack became a piece of news in 1984, looking at the *Serxebuan*, it can be seen that the attacks of the party started much earlier in 1981. In February 1982, the death of the member Veli Geçit was reported on the cover, accompanied by the words "the combat he killed by the colonizer's security force". The news, in all cases, presented the death of the members with a short biography and how it strengthens the fight of the PKK [14].

While the PKK has been defining the control of the Turkish state as fascist colonialism, it has been argued that the war is not just between the PKK and the security forces but also between the PKK's sympathisers and the coloniser's forces. Moreover, it has been systematically portrayed how "brave and tough" the guerrillas who died were. For instance, it was reported in the news that "Zeki Yıldız fought against a whole



army on his own". The biographies of whom they called martyrs was presented on each news show, where it was assumed that most of the members of the PKK were uneducated. On the contrary, they were well educated, although born into low-income families in Kurdistan [14].

The news related to the deaths used the word "massacred" instead of "killed" to demonstrate the brutality of the act of the state. Moreover, the results mostly related to the territory where the battle took place. The death of Baki Kahraman was reported with the following words: "the people of Karakocan, a name of a town, lost one of their revolutionary boys" The reason for this was to place the battle and death not only in the discourse of the party but also in that of the society. Moreover, in the paper, it was reported that the Kurdish people would take the "revenge of the death" [15]. The image of the soldiers who died or were wounded in the encounter were accompanied by the words "soldiers died", while the PKK members were reported as having been "martyred", which, evidently, is an oversimplification of the deaths of the people on the opposite side in order to aggrandise the party's loss [16].

The acts of the state related to education and the military were considered by the PKK as the tools of assimilation and pacification, and the newspaper in the members' biographies, portrayed them as being PKK members despite their experiences doing military services. In the news, it was reported that "even though he had to leave and go to Istanbul and serve in the Turkish army, his belief in party and ideology led him to desertion and attend the PKK" [16].

As I have discussed before, the PKK is not just territorial and national movement but also an international movement, which constructs itself as the "continuity of the Bolshevik revolution." Similarly, it is known that from the 1970s Kurdish movement, and the Turkish left had close ties with the national independence movements in the world. To illustrate this, in March 1982, the death of a Palestinian commander who had been to the PKK's camp to teach

the militia and died in an attack by the state, was reported with the headline "Long live brotherhood of peoples", for which the story read "the commander martyred". The example shows an essential aspect of the ideology of the PKK, which is that the world is not divided just between rulers and workers but also colonisers and independence people [17].

The interpretation and construction of fighting for the PKK has a divided framework, which is to say that the war against the state takes place not only on the mountains and cities but also in prisons and courtrooms. A news story presented a picture of three Kurdish members in the courtroom along with the words "fascist junta massacred three revolutionaries by sentencing them with the death penalty". Although they were not direct members of the PKK, they were revolutionaries, and that is why they were a part of Kurdistan revolution. A news story featuring the picture of the courtroom added the following words aggressive words under it: "your revenge will be taken just like other revolutionaries" [18].

As I have mentioned above, the PKK tends to relate its acts with the Kurds. However, interestingly, it is not the whole picture. The news reported about the killing of a guerrilla by the mukhtar and a group of civilians. Although there is no evidence to analyse the act of the civilians against the PKK members, it wouldn't be an exaggeration to claim that just like Kurds who support the PKK, there have been civilians who have been close to the state and security forces in the region [18, P. 2]. A news story reported, "after they surrendered him, they beheaded him" [18, P. 2]. Even though there is no further visual evidence to reach such a conclusion, similar acts of brutality that took place in the region by the Turkish soldiers (who, for instance, beheaded the arrested PKK members) might be seen all over the internet. Recently, during the conflict in the southeast of the country, the soldiers put a robe on the neck of the dead body of a PKK member and drove in the city for hours, which created a massive outcry in Kurdish towns. By looking at this act, it does not seem dif-

difficult to assume that similar acts of violence might have taken place before (Radikal, 05.10.2015).

When the death penalty was legal in the Turkish constitution, several followers and members who were arrested were sentenced to death by the courts. For instance, in a town called Suruc in 1982, a mukhtar was killed in prison by the decision of the courts [19]. Similarly, another news story reported that a worker was arrested because of his support for the PKK, imprisoned for five months, and killed in torture in the Diyarbakir prison [19, P. 3]. It is beyond the scope of this study to discuss the state of prisons and the act of the state; however, the conditions of the prisons have become a point of debate not just in Turkey but also in Europe. Moreover, Europe, after the coup in 1980, has criticized Turkey time after time, even suspending the negotiation process with it until 1987. The torture of the prisoners in Diyarbakir prison became a traumatic aspect of the Kurdish history. The deaths of the people who died in prisons after undergoing tortures was explained by the officers as suicides, although the bodies that were taken by their families had been abused beyond imagination. The newspaper reported the death of Mazlum Doğan, who was killed by torture, as a case of suicide. Moreover, the news reported the speech of the Turkish Minister of Foreign Affairs, delivered on the radio, where he stated that “the events are party true, but the deaths are the result of suicide and sickness” [19, P. 13]. The news also reported that “the torture is the act of Hitler and the likes of him ... Suicide is not an act of a revolutionary” [19, P. 13]. While the Turkish newspapers intentionally did not report any news related to the conflict with the PKK, *Serxebuan* published the following words: “colonizers’ security forces lost unknown number of members” [20]. Additionally, in another volume, it was reported that “three officers told Asker Demir’s family that he hanged himself with the arm of his t-shirt” [21].

On November 12, 1982, a Turkish newspaper reported a story that in the river by the border with Iraq, 10 bodies found, and on the bodies, the documents and papers found showed that they were PKK

members. While the Turkish newspaper reported that they drowned while passing the border, *Serxebuan* reported that “ten people indeed died, and they were the members of the party; however, they did not die in the water; the soldiers killed them and threw their bodies into the river” [22].

After the death of militant Veli Gecit, a new story accompanied his picture with the following words: “death will never be able to erase him from Kurdish memories” [23]. The 1970s is the period of politicisation of the Kurds in Turkey. While with the impacts of the political movements across the globe had a demonstrative effect on the Kurds within the country, higher education allowed the Kurdish students to mobilise and organise. For the PKK, the 1970s is “the end of the age of silence and passiveness in which the newer acts and approaches were tested” [24]. As has been mentioned, even though the PKK was founded in 1978, looking at the documents shows that it had an early memory concerning the first attack against what it calls the “fascist coloniser”. In December 1982, a whole page of the newspaper remembers a PKK member, Edip Solmaz, who died in 1979 and was represented as the “value which was created out of the fight against colonialism” [24]. What is important here is that although Edip Solmaz was described as a member of the PKK, he, in fact, was the elected mayor in 1979. Moreover, according to the column, his election gave “hope for the local and self-governance of the Kurds” [24]. Once again, although the state has claimed that the PKK depends on feudal traditions in Kurdistan, the news wrote that his election was a result of the fight against feudalism, which serves the state” [24]. After the election, the result was vetoed by the state, as has happened several times in modern history, and a member of the Turkish Nationalist Party was elected as the mayor [24].

#### 4. Love for Death

One of the biggest failures of the modern state is to assume that with the tools of violence and guns, it would be possible to end a movement like the PKK. Since the pioneering rebellions against the Turkish

state, the army has been the first step; however, the use of police forces and soldiers has not been able to stop the group, even though the state has one of the biggest armies in NATO. In fact, it has strengthened it. The reasons might be the tactical distinction between the guerrillas and the soldiers, but the real reasons are the ties of the PKK with the Kurdish population, who sport them and the deaths which created a cult of death in the party's ideology and made it what I call a "post-mortem ideology". While ideology, as we all know, focuses on the problems, solutions and the conceptualisation of these two, in a post-mortem ideology, even though the conceptualisation of problems and solutions is apprehended, it combines the loss and deaths into both. Moreover, what is significant here is that while ideology shapes the construction of death, in the case of post-mortem ideology, death itself becomes the tool in the construction of the given ideology. Moreover, what the Turkish state has been doing in the fight against the PKK is strengthening the post-mortem ideology by ignoring the fact that death is not only the end of existence but also the first step to build many existences. Following this argument, the illustration and investigation of *Serxebuan* would show how the post-mortem ideology works not just on the holder of it but also on those who follow them. *Serxebuan* classified sixteen different dated volumes as "special", and in the following examples, I intend to analyse the covers and the first pages of the related volumes to present the argument made above. Among the sixteen special volumes, eight of them were published with the titles and pictures that included the themes of death, violence and martyrdom.

The first example is from 1982, years after the foundation of the PKK, which published a big picture of one of the influential figures in the Kurdish movement, Mazlum Doğan, covering the entire page, writing that "the memory of comrade Mazlum is a continuous torch which lightens our way" [25]. Similarly, one year after the first example, the newspaper reported the following headline: "The PKK's

central committee member Mehmet Karasungur and the PKK militia Ibrahim Bilgin martyred". Under the headline, the following was reported in capital letters: "their memories will live in our struggle" [26]. What is evident in these two instances is that death and martyrdom are conceptualised and approached as the booster of what it is called the struggle. In the current years still, the paper is not willing to use the word "war" but invokes the conflict, resistance and the continuity of the martyr's memory, depending on the battle or the resistance held by the party. It seems that the message which is to be taken by the reader is that while there have been losses, the fight will keep going on and there is hope that someday victory will be achieved. The illustration of the desire for victory by death is demonstrated in the cover of the story of September 1983, which states the following: "The commitment to the memories of the martyrs of resistance is possible with the creation of victory in the revolution". The headline was followed by a picture which included fire and shapes holding guns [27].

For the movement, remembering the deaths is not practicing passive acceptance and nostalgia, but is an act of struggling and fighting back. In the cover story of May 1984, the following headline was published: "we remember our resistance martyrs, we keep them alive in our growing struggle". This was presented with several redstarts and the portraits of two members [28]. What is described as "growing struggle" seems to be associated with anger and internationalism. In June 1984, when the first planned mass attack to the Turkish troops took place, the volume came with the headline, "we memorialize our resistance martyrs, who are the symbols of the party's internationalist solidarity" [29]. For the first time, the cover was accompanied by a picture depicting violence. Under the above-quoted headline, a picture was published depicting blood on the floor and a flower growing from the blood onto the wall. The wall was shown as having fractured, with two ghutras covered with blood. While the blood represented death, the growing flowers indicated both the continuity of the fight, and how the blood itself foster



the new candidates for death. The anger and frustration reached a different level of discourse in 1985, when, for the first time, the word “enemy” used in the headline. The particular volume came with one small and one capital “r”, with the following headline: “we memorialize our martyrs with the spring spurt”. This was followed by the following words in capital letters: “Each martyrs’ blood will flow, which drown the enemy” [30]. “Enemy” here might be understood both as the Turkish state and the system that they have been fighting against. A similar cover story reported: “we are going to blow down the wall that you cracked with resistance and blood”. This was written in red and below it, a picture of one of the members was depicted on a red star [31]. In 1990, the volume’s headline was as follows: “we are the people, reborn from the deaths”. This was accompanied by several black and white picture of children, tanks and Nowruz [32].

The last three headlines from the years 1985, 1986 and 1990 quoted above showed not just how the death glorified and the movement stuck to its monographic history but also indicated the transition of the party. As previously discussed, until 1984, before the first organised attack, the words “fight” and “struggle” were used, while after the shooting it seems that the party using stronger language by using words such as “enemy” and “drowning”. Furthermore, after 1984, the party reached its maturity by demonstrating that the state is not unbreakable. The second crucial message of the transition in the language was that before 1984, the party and its death were in the centre. As previously quoted, in 1990, the party started to use the phrase “we as people”. The interpretation of the headline and the changes in the language brought an “epicentre” to the contraction of the deaths by saying that death is not the party’s sadness and loss but the price to be paid by the PKK’s guerrillas as well as all the Kurds in the east and southeast of Turkey, or what they called North Kurdistan.

### 5. Milliyet: The death of Gangsters

The Kurdish movement of the PKK created a shock amidst the Turkish state and society. For a

long time, it was believed that the Ataturk’s republic and values were unbreakable and would last forever. As I have demonstrated several times, although there had been several rebellions against the state, they were all cracked down by the military and the violence which Turkey had to face with it. Moreover, with the mobilisation of the Kurdish students and later declaration of the PKK, it became a spectre in the country, and each entity of the politics defined the devil from its own point of view. The dissimilarity in the types of the PKK that I identified was predominantly shaped by the state through the media. The main contribution of the media was to depict the spectre in as frightening and unappealing a light as possible. *Serxebuan* will be compared to a different paper, *Milliyet* – one of the oldest and most well-known daily newspapers – in order to analyse their representation of both the Kurdish movement of the PKK and the deaths.

In the following paragraphs, I will present the correlation and contradiction between *Serxebuan* and one of the predominant pro-state publications, *Milliyet*, which were analysed for the same period (1980–1982). It was found that between 01.12.1980 and 01.12.1982, the news related to the conflict and deaths as well as how they were to be represented. In this period, 22 news stories related to the terrorists, the PKK and the conflict were published. The first news appears in 1981 on page six with the following words: “the 223 suspects who killed 219 people have been arrested by security forces in the operation called ‘implosion terror’... In the cell houses, 41 guns, 17 automatic guns and 1389 bullets have been found” [2]. In the paper, no further details about when the death of 219 took place was reported. Most importantly, although the word “terror” was not commonly used before the date, it seems that state had already conceptualised the movement as a terrorist organisation and deployed its implosion. Two months after the aforementioned news, it used the same word to report the following: “25 suspected terrorists arrested for killing 17 people” [3]. What is significant here is the



proximity between the suspect and the deaths (first 219 to 223 and 25 to 17), which seem to be made up. Moreover, I found that almost all the stories in the newspaper show close numbers between the use of the words “killers” and “killed”. Furthermore, if the PKK or the Kurdish movement is a terrorist organisation, as the state and the pro-state groups call it, why then does a terrorist group not report the news of the attack and kills people in reasonable numbers, considering that a terrorist group aims to be known. Moreover, in order to make it clear in the newspapers of the PKK in the date that was mentioned by *Milliyet*, there is no report on the attacks.

Looking at the news not only shows the act of killing of the PKK in an inconvenient manner but also reveals how the image of the PKK is constructed by the use of words such as “torture”. This part puts pressure on the Kurds in the region. In the news, it was represented in the following manner: “What the Apocular has done is brigandage under the cover of ideology. One of the examples: the Apocular has been putting pressure on the region’s people ... they cut the ears of people who do not want to attend them” [4]. This quote demonstrates that the construction of the PKK implies not just the state and security forces but also how it tortured the people that claimed to represent it. It might be argued that the reason to picture the part in such a way is to create a gap between the Kurds and the PKK. Furthermore, it reveals an aspect of the Kurdish movement. From the beginning, the state in the national and international arenas has systematically claimed that the PKK is not a Kurdish group and that it has been against peace and unity between the Turks and the Kurdish as well as the the state and the Kurdish. However, the news reported it by, in effect, suggest something along the line of “we protect you while the PKK tortures and kills you”. In a similar news story, the following was reported: “Apocular took four lives in Yetkin’s family, besides forcing the family’s son, a PKK member, to kill his mother and brother. Necmettin Yetkin: the Apocular brother killed my mother and brother without

batting an eyelid” [5]. The exaggeration of the act was narrowed down to forming a regional level of the family and showed how the PKK haf brainwashed people and led them to kill their own family members. The question which needs to be raised is why and how a group of people would so quickly act in one of the most watched regions in the country. Remembering the fact that from the foundation of east and southeast Turkey in the map has been a sensitive issue, and the state has been keeping its biggest army in this region, which has forced us to be suspicious about the authenticity of the news. For instance, in the News, the following was reported: “security forces found that an Apocular killed 243 people and hundreds are lost. The Apocular who did the killing carried Turkish flags” [6]. While such an act would become a big news in the media, it is hardly possible to find the same report in different newspapers, which includes the pro-state newspapers.

Besides the question of the authenticity of the reports discussed above, the newspaper reviled curial insights related to the ideology of the PKK and how the members of the Kurdish movement explain it to the judges by the end of certain trials. Looking at the news around the time when the death penalty was in the constitution of Turkey, it is evident that the courts had no difficulty in sentencing the arrested sympathisers and members of the PKK to death. The newspaper reported the following: “Death penalty wanted for 97 Apoculars, including 17 teachers, three parliament members, doctor and police officers” [7]. Moreover, the following was reported: “Levan Ekmekçiyan sentenced to death. The Armenian terrorist who attract airport punished with the death penalty” [8]. In both of the examples, the words “death penalty” and “terrorist” were in capital letters, and in the latter, the word “Armenian” was also in capital letters. Since the history of the denial of the Armenian genocide, the word “Armenian” is considered to be an insult in common language. Moreover, the state and pro-state reports, newspapers, and academic studies tend to build a link between the Armenian

and the Kurdish movements. Especially in the Ekmekeciyan news, the stories send a message with the words “Armenian” and “death penalty” written in capital, suggesting that any action against the authority will be punished by death.

The Turkish state has never been willing to accept the PKK as a political actor, and I argue that the PKK has been created as an actor from victimhood, and the PKK has been defined as a terrorist gang that includes Armenian, Israeli and atheist separatists. The newspapers reported on the trials and had debates concerning the judges and the arrested members of the PKK, which shows only shows how the official approach of the authority works but also how the members define themselves and the movement. The May 1981 report goes as follows: “Serkan Uzun said, ‘PKK is not a gang; it is a political organization’ [9]. According to the report, Serkan Uzun provided the above retort when the judge told him that he was a member of a gang. The question that was asked by the court argued that the PKK “is a group of criminals”. These words signify that a gang is a threat to the society and the authority without having any political agenda, while the words “party” or “organisation” refer to a set of aims and ideologies that are not against the society but, on the contrary, represent the wishes of a section of a given community. What is important here is that the state fights against the former, while in it discusses matters with the latter. What the judge said to Uzun showed not just how a representative of the authority communicates to a representative of a divergent group but also how the state has failed to diagnose the problem represented by Uzun by saying that the PKK has been a political organisation. Furthermore, it needs to be pointed out that when the use of tools to fight against a gang and combat against a governmental entity is implemented, in most of the cases it ends with constant conflict, which has a significant potential to destruct the seat of power.

Additionally, in similar news stories, it was revealed how an arrested member described himself in the courtroom by saying the following: “we wanted

to build the Kurdish state, but we are not Kurdish nationalists” [10]. In one of the first chapters, I demonstrated the names that have been used in the literature and politics to define the Kurdish movement, such as separatists, nationalists and terrorist salvation. Besides, one of the main arguments of this study was that the Kurdish movement is a separatist movement which defines itself not just in terms of the Kurds but primarily in terms of class-based conflict, colonialism, and Marxist ideology. The distinction between national salvation and nationalism argues that while the former might include nationalism, the later is not always related with the separatism and salvation. Additionally, the analysis of the PKK’s primary sources repeatedly shows that nationalism is a small bourgeois ideology which needs to be fought against. As people in a courtroom mostly choose words not to accentuate their “crimes” but weaken them, what Karakus said might be accepted as the demonstration of the party’s ideology, since building a Kurdish state might have a more severe sentence compared to being a nationalist.

Following this, in *Serxebuan*, it was claimed that a revolutionary must fight everywhere, be it a courtroom, prison, or streets. Looking at the report of the *Milliyet* shows that the members had internalised the features of being a revolutionary. In a statement, it was stated that “230 TKP members’ court cases were started, but since they refuse the identification, the court decided to move forward without defendants” [11]. The argument that requires to be made is that the above instance shows that the suspects considered the courts as not only a place where they can find justice and objectivity but as a representative of the power which they were and are against. Furthermore, it might be argued that the decision of the court to follow the trials without the presence of the suspect suggests that the crime has been done and, even though they would be listened to, the sentence would most probably be years in prison, or death.

Consider the words chosen by *Milliyet* to report the news: “leftists, illegal, separatists and terrorist” – these have the majority in all the cases. However,

in some examples, these words were used together to describe the event. For instance, one news story reported the following “the illegal group Kurdistan national salvationist’s members have been arrested in Adana” [12]. Another story read “The reason the organisation gets strength is because of the contradiction among the tribes in the region, which is why the Apocular, who are known as the PKK’s illegal separatist group, have been acting freely” [13]. The confusion seems to be the failure of the state to diagnose the problem, and the group has created a cacophony in the language and the discussion.

### **6. Conclusion: The Post-mortem Ideology and the Ethicisation of Death**

The “respect” that the Turkish state, like any other nation-state, expected and assumed would last forever gradually reduced from the beginning of the 1970s and collapsed with the declaration of the PKK in 1978. While the writing of the history of the pre-PKK period is mostly illustrated by the notions of the nation-state, in the story of state’s assimilation and violence after the PKK there was another actor who was created from the victimhood of the Kurds by the PKK. The concern that the power, which we call the nation-state, held for its authority and hegemony was replaced with its aggression against the rising threat. Moreover, the anger that the Turkish state had in 1984 was challenged by the rebellion of people who were educated in its universities and had both a political agenda and guns. As violence was a set of tools for both the actors, the both of them have been justifying their acts by glorifying death and demonising the mortality of the other. Therefore, what has been debated in the modern history of the conflict is, in fact, a clash of ethics, particularly the ethics of death, which stands between monsters and heroes. While for the state, the ethics of death has been about using every kind of apparatus to protect its existence against a “gang”, for the PKK, on the other hand, it has been associated with the force of the revolution, which, in time, has built into post-mortem ideology.

Human beings are keener on interpreting death than birth. Death is not just the biological end of living creatures. In fact, it is a phenomenon that we create and recreate based on our ideology, culture and religion. That is why faith builds on death rather than birth, and that is also why ideologies have been creating a necessity around fighting and dying. In the case of ideologies, this need and its explanations can be formulated as the “ethics of death”, while for religion, it can be referred to as “the moral of death” Notwithstanding the fact that ethics are the theorisation of individuals’ acts, morality is “righteousness and wrongness”, which depends on the culture, religion, and the period of a given community.

One of the biggest failures of the modern states is the assumption that with the tools of violence and guns it would be possible to end a movement like the PKK. Since the pioneering rebellions against the Turkish state army first took place, the usage of polices and soldiers have not been able to end the group, even though the state has one of the biggest armies in NATO. In fact, it has strengthened it. The reasons might be the tactical distinction between the guerrillas and the soldiers. However, the real reason is the ties of the PKK with the Kurdish population which supports them and the deaths which have created a cult of death in the party’s ideology, turning it into what I call a “post-mortem ideology”. While ideology, as we all know, focuses on the problems and solutions as well as their conceptualisation, in the post-mortem ideology, even though the conceptualisation of the issues and solutions is apprehended, it combines the losses and deaths into both. Moreover, what is significant here is that while ideology shapes the construction of death, in the case of post-mortem ideology, death itself becomes the tool in the development of the given ideology. Moreover, what the Turkish state has been doing in the fight against the PKK is to strengthen the post-mortem ideology by ignoring that death is not only the end of existence but also the first step in building many presences. Following this argument, the illustration

and investigation of *Serxebuan* show how the post-mortem ideology works not just on the perpetrators of it but also on those who support them.

The second way in which the state has been strengthening the ideology of the PKK is through the misidentification of the problem. The official perception, which indicates that “PKK is a gang”, has been a trap that it falls into time after time. As has been explained above, while a gang, most of the time, has no societal support, and its aims is mostly economic, one of the ways to deal with it is by using security forces. Besides, a gang has no political agenda which might be considered to be wished by any society or even a part of it. On the other hand, a political party or, in legal terms, an armed group aims to change the power relations and gain what is wanted by its supporters who have been subjected to the political structure of a given society. As in the

case of the Kurdish problem, the state did not just approach the core of the problem poorly but also used the tools that are used against a gang. Moreover, it seems that if the band is not replaced with the party, the conflict will never end and will most probably empower the post-mortem ideology by resulting in more death, and the Republic of Turkey will be stuck in the trap that has been the most critical problem of its existence.

Finally, as for the case of the PKK, the conclusion drawn from the above mentioned headlines and news stories is that the death of a partisan is a sacrifice that takes penalty one step closer from the mountains to the homes, turning it into a societal price. It carries a stone to build the wall of the post-mortem ideology and when the wall is completed, there is nothing but the voices of the dead in each house of Kurdistan.

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## Section 9. Psychology

<https://doi.org/10.29013/EJHSS-19-6-150-153>

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### THE CONCEPT OF CREATIVE THINKING AND DETERMINANTS OF ITS DEVELOPMENT

**Abstract.** The evolution of the “creative thinking” concept in modern psychological science is considered. The value of creativity as the leading ability for creative expressions is determined. The influential factors for the development of creative thinking and their connection with other psychological phenomena are determined.

**Keywords:** types of thinking, creative thinking, creativity, development of creative thinking.

**Introduction.** One of the key modern society requirements to a person who wants to be successful in the labor market is the ability to creative, non-standard solutions. Also the person has to be able to resolve successfully problem situations. It is forecasted at the international level that in the near future the need for specialists with “adaptive non-standard thinking” will increase [6; 12]. The task for developing the skills of creative thinking has become a conscious interest for educational institutions that carry out both general education and vocational training. In turn, it requires from the psychology the development of the corresponding methodology. This methodology has to determine the conceptual views on the selection of effective methods, and means for training and personal development.

This study is based on the principle of development and the principle of determinism by methodological means. An active scientific study of creative thinking began in the middle of the last century, and

since then, has received considerable attention. Since the problem of creative thinking study has been approached almost simultaneously by the scientists of different psychological schools, there were different conceptual approaches and as a consequence – the lack of consistency in understanding of meaning of definitions and techniques by different researchers.

Thus, representatives of Gestalt psychology considered creative thinking as a manifestation of the ability to reorganize existing information in an appropriate way. Representatives of associativeness considered creative thinking as the struggle of associations that stimulate the process of creating a new product. Cognitivist representatives understood it as a movement of information flows. Representatives of the activity approach analyzed creative thinking in terms of operational procedures that can provide a new result. Representatives of reflexive psychology consider personal reflection as a system-forming element of creative thinking.

Under the influence of increasing demands of life there was a need to distinguish particular types of thinking – productive (creative) and reproductive (non-creative).

J. Gilford proposed a model of intelligence which united five large groups of intellectual operations, among them – convergent thinking (unidirectional, consistent, logical thinking) and divergent thinking (alternate, retreating from logic) – along with evaluation, memory and cognition [12].

The founder of the Chicago School of Psychology J. Dewey [5] considered the ability of man to reflect as the one of the criteria of creative thinking and used the term “reflexive thinking”.

E. de Bono considering the problems of creative approach introduced the notion of lateral thinking. Under lateral thinking the author understands the specific process of information processing, aimed at changing the existing stereotyped model of perception of the reality, grouping the source elements in the most unusual combinations, and creating new alternative solutions to solving a particular problem [1]. Lateral thinking does not contradict the logical – both are considered necessary and complementary.

However, in the psychological literature there is a denial of the division of thinking into productive and reproductive, since any process of thinking is productive. Still O. Zelts adhered to the thesis that there is no reproductive and productive thinking. There are only productive and reproductive moments in a single thinking activity [10]. A. V. Brushlynsky also notes that every thought, at least in a minimal degree, is always a search and discovery that is essentially new to the data of specific individuals and therefore it is in one way or another always productive, creative, independent. It is incorrect to single out reproductive and productive creative thinking [2; 120].

However, the majority of psychologists from those who have studied the thinking consider it appropriate to make such a division (P. P. Blonskii, N. A. Menchinskaya, J. O. Ponomarev, V. N. Pushkin, O. K. Tikhomirov, and others). Separation is carried

out not in the presence or absence of productivity (which seems to derive from the dichotomy of names), but by the degree of novelty for the subject of the product that he received as a result of considerations in comparison with the previous level of knowledge of the subject.

Researchers note that the phenomenon of thinking is difficult not only to study, but even to characterize it. Traditionally thinking is considered as a process, as an activity, and as well as a function (O. K. Tikhomirov, L. M. Vecker, S. L. Rubinstein, A. M. Leontiev, A. V. Brushlinsky, A. G. Asmolov, E. P. Ilyin, etc.). Different approaches to this phenomenon have created a complex taxonomy of types of thinking. Thus according to the mental processes of thinking, they are divided on the visual-active, the visual-figurative and the verbal-logical. By the result of thinking it is divided on creative and reproductive as already mentioned above. By the level of mental processes there are analytical and intuitive thinking.

Depending on the purpose of the research, the authors introduce the notion of theoretical, innovation, combinatorial, conceptual, critical, practical, panoramic, mathematical, economic, strategic, and emotional, sanogeneous thinking (S. L. Rubinstein, O. K. Tikhomirova, L. M. Vecker, L. S. Vygotsky, V. O. Molyako, M. L. Smulson and others). In this regard, the natural question is: how is the creative thinking correlated with all other types of thinking?

The search for the answer to this question was made by N. I. Chernetsky [3]. In her opinion, it is more productive and historically logical to treat creative thinking not as a kind of thinking, but as its higher form, higher level of its development. Creative thinking is simultaneously divergent, convergent, hypothetical, and productive thinking. This is explained by the fact that creative thinking is the result of the integration of different types and forms of thinking. Such a concept combines and structures existing psychological data about creative thinking and allows it to be understood in several ways. These ways are: a higher level of thinking development, the

maximum form of deployment of all thought functions, a mechanism for the integration of different types of thinking in its structure, a collection of the most perfect mechanisms of thought activity [3; 6]. According to the results of cluster analysis the author has identified certain correlations between creative thinking and such types of thinking as figurative, practical, predictive, productive, labile, logical, systemic, theoretical, verbal, abstract, and divergent.

Almost simultaneously with the beginning of the study of creative thinking there was a question of its development. The concept of creativity as the ability to non-standard approaches was taken as the basis. It was found that it depends on the ability to use this given information in a variety of ways at a fast pace. This type of thinking (J. Gilford, N. Marsh, F. Heddon, L. Kronbach, P. Torrens) was called a creative thinking. P. Torrens and his followers studied the dynamics of creativity. They considered the possibilities of purposeful influence on the development of creativity as ability. On the basis of observations, E. Torrens came to the conclusion that human intellect is not the only condition for creativity, as well as the successes in educational activity. It was found that creative orientation is characteristic of attention, perception, memory, imagination and thinking as such (J. Kelly, R. Arnheim, D. B. Bogoyavlenska, Y. O. Ponomarev, V. S. Bibler, E. P. Ilyin et al.).

This contributed to the emergence of a large number of publications on the development of creativity – most of which are combined with the development of other cognitive abilities. For example, works by D. Dewey [5], O. N. Luke [8], O. K. Tikhomirov [13] and others are devoted to this issue. The original techniques that have gained popularity are proposed by E. de Bono (for example [4]). G. S. Altshuler and his followers popularize TSIP (the theory of solving inventive problems) and heuristics both among adults and among teenagers. J. Piaget is the founder of the genetic method in psychology. On the basis of his works [9] a significant amount of teaching materials for the development of

imagination of preschool children created. Practical significance acquired the methods of collective creativity such as brainstorming and synectics [7, 28].

Psychologists were also interested in factors that influence creative thinking. In this case proceeded from the considerations of the unity of the mental person, and therefore associated with the creative thinking of all other psychological phenomena. Significant achievements in the study of the role of reflection in creative thinking were reached [11]. Creative components are revealed in the formation of value orientations (F. Nietzsche, A. Camus, K. Rogers, J. O. Ponomariov, etc.), in motivation and emotional-volitional reactions, in the process of elaboration of a lifestyle and conduct, in the process of developing “I-concept” (A. Maslow, G. Allport, C. Rogers, A. Schopfergower et al.). A. Maslow attempted to systematize the factors that block creativity in the personal plane – conformism, rigidity of thinking, etc. [7, 59].

Undoubtedly the thesis about the presence of factors contributing to creative thinking and its formation is vital. This issue is devoted to a significant number of scientific publications. But, having the extreme complexity of both theoretical and experimental research on this topic as well as the presence in creative thinking of both conscious and unconscious processes (insight, anticipation, etc.) the topic can not be considered exhausted. However, as noted by P. J. Galperin, a detailed study of the mechanisms of the psyche is the means of the future. However, these mechanisms should be managed right now [11, 84]. In our opinion, the development of creativity as an ability to creative thinking should not be reduced to the training of cognitive factors. It must be combined with the formation of a positive I-concept, adequate self-esteem, the corresponding volitional qualities, etc. This combination has impact on all possible psychological resources of the individual.

**Conclusions.** Thus, the analysis of the content evolution of the concept of “creative thinking” from the point of view of various scientific schools



and directions, as well as individual researchers suggests that:

1) Thinking and creative thinking are dialectical unity. Whenever it is possible to draw a certain difference from a theoretical perspective between them, from the practical point of view it is more expedient to consider the concept of creative thinking as the one that integrates all other types of thinking and represents a higher form of thinking.

2) Considering creative thinking as a mental process, it is impossible to separate it from all other mental processes of the individual. Because the human psyche is an extremely complex synergetic system.

Thinking (and, in particular, creative thinking) is based on certain psychological resources of the individual, among which not only cognitive abilities, but also personality traits and features, emotional and volitional components, etc.

It follows that it is inadvisable to reduce the development of creative thinking only to training for solving problems and situations. It requires a comprehensive impact which covers a wide range of psychological phenomena inherent in this particular person. In this direction, we need both further theoretical research and generalization of the accumulated practical experience.

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## Section 10. Philology and linguistics

<https://doi.org/10.29013/EJHSS-19-6-154-158>

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### **INTERNATIONAL CONSENT AND RELIGIOUS TOLERANCE AS AN ESSENTIAL CONDITION OF PRESERVING PEACE AND STRENGTHENING STABILITY IN THE COUNTRY**

**Abstract.** In the context of the aggravation of attacks of international terrorism, extremism and fundamentalism, the question of how to counter these movements is acute. And one of the ways is to ensure interethnic harmony and religious tolerance. The article shows the practical actions of Uzbekistan to prevent attacks on a multinational, multiconfessional country. Priority tasks and goals in this direction are the development of a culture of tolerance, strengthening interethnic and civil harmony, mutual understanding, fostering a sense of patriotism and humanism, and the ability to conduct interfaith dialogue. From high tribunes, the President of Uzbekistan Sh. Mirziyoyev comes forward with proposals and initiatives that are accepted not only in the country, but throughout the world.

**Keywords:** religion, religious tolerance, International consent, education, Enlightenment.

Today, Uzbekistan undergoes continuing process of further reforming all aspects of people's livelihoods, creating conditions for comprehensively harmonious and accelerated development of the state and society, modernization and liberalization in all spheres of life. To accelerate this process, the country approved an Strategy of Actions in Five Priority Areas for the Development of Uzbekistan in 2017–2021 [9] (hereinafter – Strategy of Action).

One of the key goals of the Strategy of Action is to ensure interethnic harmony and religious tol-

erance, which is highlighted in the fifth paragraph of the Strategy. In particular, this document emphasizes the further improvement of the legislative framework for ensuring public safety, interethnic harmony and religious tolerance. In this regard, two major documents were adopted – the Laws of the Republic of Uzbekistan "On ratification of the Convention of the Shanghai Cooperation Organization to Combat Extremism" [2] and "On Combating Extremism" [1]. In today's world, with growing threats of international terrorism, extremism, and radical-

ism, the need to further strengthen preventive activities in this area as the main goal of law enforcement agencies, civil society institutions and NGOs is becoming apparent. In this regard, Uzbekistan constantly and steadily calls international community for attention on key youth problems, as it is the young people who are the first targets of ideological attacks from religious extremist organizations; it is the youth whom terrorists and extremists consider as their main “strategic resource”. At the summit of the SCO Heads of State in Qingdao, on the initiative of the President of Uzbekistan, an appeal was made to youth [4]. It indicates that young people are becoming an object of close attention of destructive forces, and are subject to massive informational, ideological and psychological impact. It was noted by the leaders of the SCO countries, that in order to effectively counter these threats against youth and make citizens more immune to radical ideas, it is necessary to supplement the efforts of states with the potential of public organizations, the media, religious communities, educational and scientific institutions of the SCO member states. Among the high priority tasks and goals in this direction are the development of a culture of tolerance, strengthening International and civil consent mutual understanding, fostering a sense of patriotism and humanism, and the ability to conduct interfaith dialogue.

For centuries, various nations and religions have peacefully coexisted on the territory of Uzbekistan in the spirit of generosity and brotherhood. Today in independent Uzbekistan this process continues – representatives of more than 130 nations and ethnicities live in the country (about 140 national cultural centers function), 16 religious denominations (about 2250 organizations operate) in harmony with the great historical traditions of tolerance, they are guaranteed freedom of conscience and religion. Uzbekistan supports initiatives to strengthen inter-ethnic harmony and inter-religious tolerance not only on its own territory, but also in Central Asia and the world as a whole. In particular, the Presi-

dent of Uzbekistan Sh. M. Mirziyoyev, speaking at the 72<sup>nd</sup> session of the UN General Assembly, put forward the proposal”... to adopt a special resolution of the General Assembly “Education and religious tolerance”. Its main goal is to promote universal access to education, the elimination of illiteracy and ignorance. It is called upon to promote the establishment of tolerance and mutual respect, the provision of religious freedom, the protection of the rights of believers, and the prevention of their discrimination” [6]. These aspects are reflected in the Strategy of Action. Also, as part of the implementation of the Action Strategy, on April 16, 2018, the Presidential Decree “On measures to radically improve activities in the religious and educational sphere” was adopted, aimed at widely propagating since ancient times such noble qualities and values inherent in our people as enlightenment, tolerance, love, mercy and compassion, creation, further enhancing the role and participation of representatives of the religious and educational sphere in ensuring a stable social and spiritual atmosphere in society [10].

Independence made it possible to raise to a new level issues related to the development of a culture of tolerance and humanism, strengthening mutual understanding and harmony within the citizens, and educating the younger generation to love and be loyal to their country. In Uzbekistan, special attention is paid to respect for the languages, customs and traditions of all nations and ethnicities living on its territory; comprehensive conditions are created for their development. For example, education is carried out in 7 languages: Uzbek, Karakalpak, Kyrgyz, Russian, Kazakh, Tajik, Turkmen. Magazines are published in 8 languages, newspapers in 10 languages. Believers in Uzbekistan are free to celebrate their religious holidays. So, from year to year, Muslim (Kurban-Hayit, Ramadan-Hayit), Christian (Easter and Christmas), Jewish (Pesach, Purim and Hanukkah) religious holidays are increasingly celebrated. In addition, every year, with the full support of the government of the country, believers make a pilgrimage to holy places.

Over the past years, more than 70 thousand Muslims have been given the opportunity to carry out the hajj to Mecca, hundreds of Christians and Jews have visited holy places in Russia, Greece and Israel. In May 2017, the Committee on Interethnic Relations and Friendly Relations with Foreign Countries was created under the Cabinet of Ministers of the Republic of Uzbekistan in order to help and assistance to the national cultural centers operating in the country. As part of the fifth direction of the adopted Strategy of Action “Ensuring Security, Interethnic Concord and Religious Tolerance, as well as the Implementation of a Weighed, Mutually Beneficial and Constructive Foreign Policy”, the Concept of Priority Policy Areas in the Field of Interethnic Relations and the Concept of State Policy in the Religious Sphere have been approved in the country [5]. In accordance with them, more than 50 legislative acts and 25 practical decisions have already been adopted in the field of religion. Uzbekistan’s policies regarding interethnic and interfaith harmony are fully consistent with the Universal Declaration of Human Rights and other international acts.

In the new political course of the country, issues of protecting human rights and freedoms, security, interreligious and interfaith harmony are treated as very important. So, in 2018, a Presidential decree was issued on the approval of the new composition of the Council for Religious Affairs, which is a public advisory body to the Committee on Religious Affairs [8]. This Council had been expanded to contain 17 members (previously it had only 9), representing almost all religious denominations registered in Uzbekistan, and gained new members, including the leaders of such small religious organizations as Seventh-day Adventist Christians, the Bible Society of Uzbekistan, and the Hare Krishna Society, Jehovah’s Witnesses and others. The functions of the council include discussion of the current situation of religious and social processes in Uzbekistan, development of recommendations to the Committee on Religious Affairs, which is an authorized state body

in solving the problems of ensuring citizens’ rights to freedom of conscience and religion, equality, and regulation of relations related to the activities of religious organizations. The Joint Decree of the Kengash of the Legislative Chamber and the Kengash of the Senate of the Oliy Majlis of the Republic of Uzbekistan dated May 4, 2018 approved the Road Map for ensuring freedom of religion or belief, which provides for the implementation of 52 events [7].

The international community highly appreciates our country’s actions in the matter of maintaining interethnic harmony and religious tolerance. So, in recent years, Ahmed Shahid, Special Rapporteur of the UN Human Rights Council on freedom of religion and belief, visited Uzbekistan. Also, the country was visited by the UN High Commissioner for Human Rights, Zeid Raad al Hussein, and the OSCE High Commissioner for National Minorities Lamberto Zannier, who praised the transformations and reforms being carried out in Uzbekistan on the way to the development of civil society, and the implementation of a range of activities in the field of religion. The Patriarch of Moscow and All Rus’ Kirill, during his visit to Uzbekistan in honor of the celebration of the 145th anniversary of the diocese of the Russian Orthodox Church in Uzbekistan, noted that tolerance is not just religious tolerance, but the breadth of soul of the local people.

Uzbekistan is a country where the majority of the population professes Islam (more than 90%). Uzbek land is considered one of the ancient cradles of Islamic science and culture. In order to comprehensively study the rich historical, scientific, spiritual heritage of our people, to introduce them widely to the world community, and most importantly, to deeply reveal the true humane essence of Islam, a number of initiatives have been put forward by the President of the country over the past time. These initiatives are based on the motto “Enlightenment against ignorance”. On this basis, the country pays special attention to the study of our religion, of the rich heritage of our great ancestors, and to careful



preservation of historical relics. For example, the Center for Islamic Civilization was created, which collects extensive information about great scholars and theologians of Islam, outstanding poets and writers, artists and calligraphers who have made an invaluable contribution to the development of world culture and Muslim civilization. Also, there were established The International Research Center of Imam Termizi and The International research center of Imam Bukhari in Samarkand, which will equally be guided by religious and secular knowledge, contribute to the preservation and study of the rich and great heritage of the hadith scholar Imam Bukhari, the dissemination of his teachings on enlightened Islam. Work continues, begun at the dawn of independence, on the improvement of places of worship for great scholars and thinkers who have made a huge contribution to Islamic science and enlightenment. Residents of the country and its guests are free to make a pilgrimage to these shrines. The President's initiative also launched the national idea of enlightened Islam. The international community holds in high regard the reforms implemented in Uzbekistan to promote religious freedoms.

The development of a culture of tolerance and humanism, strengthening interethnic harmony is one of the important priorities of state policy in Uzbekistan. In particular, the Law "On Freedom of

Conscience and Religious Organizations" of May 1, 1998 serves as a regulatory legal act to regulate relations with religious organizations [3]. However, today this Law requires its new edition to take into account the realities of the modern time. Starting from the 2017–2018 academic year, it was decided to separate the discipline "Religious Studies" into a separate subject with its program. However, the number of hours that has been allocated to this subject, in our opinion, should be increased in order to dwell even more deeply on the disclosure of issues related to the true nature, characteristics of religions and their role in the modern world. It is necessary to carry out extensive work on the publication and distribution of targeted printed and video products that explain the issues of state policy in the field of ensuring freedom of conscience and belief, religious tolerance and interethnic consent.

Uzbekistan's religion policy is based upon the ideas of interconfessional dialogue, tolerance, and mutual respect and peacefulness of citizens in relation to people of a different faith and a different nation. The new model of building relations between representatives of different religions is based on a balanced approach and equality of all believers before the law and the state. Its success is an important factor in maintaining peace and strengthening the stability and security of Uzbekistan.

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<https://doi.org/10.29013/EJHSS-19-6-159-161>

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## **PARTIALLY DISTINGUISHABLE IN STRUCTURE, BUT COMPATIBLE IN SEMANTICS, LEXICAL PARALLELS IN THE AZERBAIJANI AND GOYTURK LANGUAGES**

**Abstract.** The article is devoted to the study and analysis of the potential of the Goyturk and Azerbaijani languages, that the lexical composition of these languages has a rich tradition of similarities.

**Keywords:** information intensity, norm stability, structural difference, semantic correspondence, lexical potential.

### **Introduction**

The study and analysis of the potential of the Goyturk and Azerbaijani languages shows that the lexical composition of these languages has a rich tradition of similarities. Firstly, the reason is that although the Goiturk language is not currently informative, the language and the Azerbaijani language have the same genetic origin. Secondly, the lexical potential of the Goytur language was active and flexible at the time. This activity and dexterity preserve their traditions in modern Turkish and Azerbaijani languages. The main difference is that after the differentiation of Turkic languages, the formation of these languages a independent media was associated with the normalization process based on their specific speech activity. Since the normalization process took place in accordance with the internal phonetic requirements and pronunciation requirements for each independent language, the lexical potential of these languages changed from the earliest times, including the Goiturk era. The discrepancy was, on the one hand, related to the peculiarities of acts of interlanguage speech, and on the other, with dependence on favorable conditions that ensured the preservation of the Goiturk traditions. These fertile conditions are measured by the level of proximity in the Goiturk language tradition, which became the main information center of ethnic groups during the Goiturk

period. Whatever the ethical composition, closely associated with the language traditions of Goiturk, it is noted that the general and parallel elements of the language are preserved. A comparison of the results of the analysis shows that these traditions are more clearly reflected in the languages of the Oguz group, including Azerbaijani. The general conclusion from the analyzed materials is that there are not so many structural differences in terms of parallel lexical units between the Goyturk and the Azerbaijani languages, as well as not. These differences, by their very nature, are even less than the level of differences in dialects. It also shows that there is no significant difference between the modern Azerbaijani language and the lexical potential of the Goyturk sources, although the distance between these languages was more than five hundred years. The main structural differences observed in lexical parallels with the Goiturk and the modern Azerbaijani language. In Turkology, the alternation of d-consonants is usually compared with Goyturk sources, which represent the language of the Orkhon-Yenisei monuments, and this passage is considered a Turkic event. For example, when Farhad Zeynalov mentioned the transitions of the Turkic languages, this passage was recorded as an alternative to the Turkic languages, and in connection with this he gives examples of *adaq-ayaq* (leg) [7, 39]. Farhad Zeynalov also shows that the consonants (dy) – d are

more typical of the Tuvan and Caracas languages in the Turkic languages, and compares these passages with words such as *adaq-ayaq* (leg), *bedik-böyük* (large), *adık- ayı* (bear), *kuduk-quyu* (pit). Alternation of (d-y) -d-th in words is most often found in Siberian languages. The following examples of Siberian languages can be illustrated here: *daaş* (yağış) – rain, *daşa* (yaşa) – live, day (*yay*) (Altay) – summer, Altai; *adqır* (Tuva) (Tuva) [5, 392]. For Siberian languages, the consonant (d) -e is not a character in return for the common Turkic consonant (Y) and does not prove that the root of the Goitürk language is associated with these languages. The fact that many elements of the Goitürk language are related to any other language does not in itself prove that the Goitürk language is the same language or language group. Since the Goytur language is the universal language of all Turkic ethnic groups, the existence of elements of the ancient common language in all modern languages should be completely natural. Another problem is that in some languages, especially in the Oguz, as well as in the Azerbaijani languages, parallel elements are more common. Perhaps it would be wiser to associate this not only with linguistic affinity, but also with the prevailing ethnicity. Regarding the trace of the element of the Turkish language d in Goyturk in the Azerbaijani language, we must say that the Azerbaijani language is no exception in this regard. Thus, traces of the (d) -d version of Goyturk can be identified etymologically. Studying the lexical parallels between the Goyturk and the Azerbaijani languages, phonetic differences were also revealed. The fall of phonetic elements in the structure of the word also gives the impression that it is a dialect. In the study of dialects, these types of events are usually analyzed in comparison with words developed on the basis of generally accepted phonetic and phono-orphanological norms of the language [1, 27–28; 4, 98–104]. The case of sound fall should be considered as a more complex language-speech event than a simple dialect event. If any element of the word were discarded by chance, these coincidences would

become irreversible and would cause great deformation. Therefore, the phenomenon of sound fall in the language system, of course, does not occur massively, and the phenomenon itself depends on certain phono-orphanological processes. On the other hand, since the fall of sound is not accidental, the occurrence of the norm during the fall of sounds is regulated by the relevant laws. This happens when a phonetic element in a word loses its normativity in an act of speech, and its phono-semantic function moves on to the next element. The role of the principle of continuous speech facilitation in this process is also noticeable [6, 214–222]. In this sense, the reduction of certain elements in comparison with the Goyturk language should be considered as facts of improvement and normalization of the word structure, and not of phono-orphanological deformation. A small phonetic difference between examples of the lexical parallel between the Goyturk and Azerbaijani languages is not a violation of their parallels, but an example of the phono-morphological evolution of words. At the same time, there are not many elements that make the difference between the two languages. As a result, the vocabulary of Goyturk was completely normalized in due time. Therefore, even if this language remained unchanged for fifteen centuries, its stabilized rules were able to survive and preserve their traditions in languages that have since been formed as independent entities.

### Conclusion

The lexical composition of the Azerbaijani and Goyturk languages has great potential for parallel elements.

Although some of the parallel elements are structurally and semantically identical, some have small phonetic differences, while maintaining their semantic similarity. The phonetic differences between them are structural deformations of words, and at later stages, the prospects for normalization arising from the influence of a speech act. The scale of the parallel environment of lexical potential between the Goyturk and Azerbaijan languages is connected with two



main reasons. Firstly, if the Goyturk and Azerbaijani ethnoses belong to the same torch, and secondly, the social, social mental nature of the Azerbaijani ethnicity is closely connected with the unity of Goyturk. From the study of lexical parallels between Goyturk

and Azerbaijani languages, it is interesting and important, on the one hand, to study the history of the language, etymology and interethnic normalization, and on the other hand, to the best traditions of Goyturk mentoring.

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## Section 11. Philosophy

<https://doi.org/10.29013/EJHSS-19-6-162-166>

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### CONFIDENTIAL REVIEW AT LITERARY HERITAGE OF MAHMUD ZAMAKHSHARIY

**Abstract.** This article discusses the literary heritage of the scholar from Khorezm, Mahmud Zamakhshari. His works include *Nawabiq-l-kalim*, *Atwoqu-z-Zahab*, *Rabi'u-l-abror*, *Maqomotu-z-Zamakhshari*, *Nuzhat-ul-mutantis*, *Al-Qasidatu-l-baudiyya*, “*Devonu-z-Zamakhshari*”, “*Al-Mustaqso fi-l-amsol*” have been analyzed from the source point of view. The analysis examines manuscript, lithographic and published copies of the works and reveals the contents.

**Keywords:** Mahmud Zamakhshariy, literary heritage, “*Nawabigu-l-kalim*”, “*Atwoqu-z-zahab*”, “*Rabi'u-l-abror*”, “*Maqomotu-z-Zamakhshari*”, “*Nuzhat-ul-mu'tanis*”, “*al-Qasidatu-l-baudiyya*”, “*Devonu-z-Zamakhshariy*”, “*Al-Mustaqso fi-l-amsol*”, source studies, manuscript funds, manuscript copies, lithographic copies, comment, footnote, translations.

The scientists, scholars, thinkers and scientists of our country have at all times amazed the world with their intelligence, deep thoughts and scientific discoveries. The rich scientific legacy they have left is invaluable in world culture. This legacy plays an important role in the development of young people. The enormous spiritual legacy left by our scholars is one of the most effective means of developing a harmonious personality in the spirit of Oriental morals and universal ideas.

Mahmud Zamakhshari, a scholar from the Khorezm oasis of our country, is also one of our compatriots who left a rich scientific heritage to his descendants. An integral part of his scientific heritage is literary works of philosophical and didactic content. These are the works of *Devonu-z-Zamakh-*

*shari*, *Maqomotu-z-Zamakhshari*, *Atwoqu-z-Zahab*, *Nabiq-u-l-Kalim*, *Rabi'u-l-abror*.

These works contain the words of wisdom and words of the scholar. Only three of his works in this area – *Atwoqu-z-Zahab fi-l-Ma'awiz va-l-khutab*, *Nabiq-u-l-kalim*, *Rabi'u-l-abror* and *Nu'usu-l-Ahyor* are from the Academy of Sciences of Uzbekistan. Available in the manuscript fund of the Abu Raykhan Beruni Institute of Oriental Studies. In particular, the book “*Atwaqu-z-Zahab fi-l-mawawiz va-l-khutab*” was created in Mecca, the first name of which was “*An-Nasoihu-s-sigar*,” “*Little Sermon*.” In creating this work, the author draws not only on his knowledge of linguistics, literary studies, philosophy and history, but also on the views and opinions of pre-existing scientists and philosophers. The scientist

was able to draw the necessary conclusions, as well as his rich life experience.

The work consists of one hundred small articles. It contains proverbs, stories, good examples, and good moral counsel about the negative and positive qualities of a person. The book also discusses a number of issues concerning the social, economic and spiritual life of his time. The author expresses his views and views on the role of different social groups and professions in society. In particular, they severely criticized tyrannical kings, corrupt judges, and unjust officials of their day [8, p. 224–230].

The manuscript fund of the Abu Raykhan Beruni Institute of Oriental Studies of the Academy of Sciences of Uzbekistan contains four printed copies of the book “Atwoqu-z-zahab fi-l-maawiz va-l-khutab”. They are published in Egypt and are stored under inventory numbers 16016, 18970, 18952, 18953.

Manuscript copies of the work are in the Arabic Manuscript Fund of the British Museum in London (No. 1003), in the National Library of Paris (No. 3973), in the Vatican Arabic Library of Manuscripts (No. 1380), in the Asian Museum in St. Petersburg (# 922). (No. 203). Manuscript copies of the work are also found in the funds of the Suleiman Library in Turkey: Assir Afandi (No. 416, 417), Ayo Sofia (No. 2911, 3780), Hafiz Afandi (No. 275-I), Rashid Afandi (# 715–3) [1, 512].

The work has been translated into several languages. In particular, the German translation by Von Josep Hammer was reprinted in Vienna in 1835 and in Leipzig the same year, in Arabic. In Stuttgart in 1863, Gustav Fayl translated the work into German for the second time. “Atwoqu-z-Zahab fi-l-mawaziz va-l-khutab” was also performed by French orientalist Barbe Leinard. He published his French translation in Paris in 1876. The Turkish translation of the work was published in Constantinople in 1870 [2, 28].

Atwaqu-z-Zahab fi-l-Ma’aawi va-l-Khutab were also published in the Arab countries. The work was originally published in Beirut in 1875, with commentary by Sheikh Yusuf ibn Abdulqadir. Re-

print: 1895, 1903 This work was also published in the Egyptian edition of Al-Saadat in 1909, in the Mahmudiya Publishing House of Cairo in 1925, and in 1992 in Damascus. The work has been commented on by various scholars. They are stored in city libraries such as Cambridge, Leipzig, Berlin, Vatican, St. Petersburg, Mashhad, Istanbul, and Beirut [3, p. 4–5].

The poet’s work “Nawafiqu-l-kalim” is of great importance as a work of ethics because the scientist’s views in the work are diverse. It praises such virtues as honesty truthfulness, purity, goodness, and kindness while illiteracy, ignorance and inferiority are condemned [7, p. 62–64].

This booklet was published in 1772 by a Latin translation by Dutch scholar Schultin. In 1871, a French translation of the work was published under the guidance of the French orientalist Leynard. Its Turkish translation by Mustafa Isomiddin was published in Istanbul in 1866. This work was published in Cairo between 1870 and 1887, in Paris in 1871, in Istanbul in 1885 and in Beirut in 1888 under the guidance of Muhammad al-Kiste al-Beiruti. The work was published several years later, in 1914 and 1927 in Cairo. In 1971, Professor Baqir Hosni published a critical edition of this book by Zamakhshari and was published in Al-Arab Magazine.

The Uzbek translation of the work by an orientalist scholar U. Uvatov was published in Tashkent in 1992 [3].

A number of manuscripts and manuscript copies of the work are currently in the British Museum, as well as libraries and collections in major European cities such as Cambridge, Paris, Leipzig, and Leiden, Berlin [4, 511].

The manuscript collection of the Abu Raykhan Beruni Institute of Oriental Studies of the Academy of Sciences of Uzbekistan also contains the manuscript copies of Nawabiq-l-kalim. One of them is an inscription number 3938, which is printed in Kazan in Tatar (Shahabiddin ibn Abdulaziz translation of Arabic) in 1904 and consists of 56 pages.

Another hard copy is stored under the inventory numbers 8319 and 7104. It is published by Barudi and published in Kazan, 1896, contains 190 pages.

The first commentary on “Nawafiq al-Kalim” was written by al-Kabindi in 1318. There is also a rare commentary by Taftazani (d. 1389), named “Ni’amu-s-thababig fi sharhi-n-nawafiq” There are a number of lithographic copies in cities such as Leiden, Istanbul, Cairo, Beirut, and Baghdad. Copies of the commentary written by Abdulwahab al-Hivaki in 1368 are stored in Berlin and Kazan libraries. The commentary for the work was also written by al-Rabai and al-Nasafi [3, 511].

The work of Rabi’u-l-Abror va nunsu-l-akhyar, which is a legacy of the scholar, is also a didactic work. The book consists of 98 chapters, which include proverbs, practical advice, exemplary wisdom and instruction. Each chapter highlights a particular topic. The author praised such human qualities as kindness, happiness, cheerfulness, patience, honesty, discernment, loyalty, and courage, and condemned such vices as ignorance, insulting the tongue, lying, insulting, hatred, laziness.

In order to give a deeper insight into the subject, the Prophet Muhammad’s (pbuh) hadiths, sayings of the Companions and the Caliphs, and used the words of the Arab and non-Arab scholars, and cited examples of famous historical figures on religion, linguistics and geography.

In the manuscript fund of the Abu Raykhan Beruni Institute of Oriental Studies of the Academy of Sciences of Uzbekistan, the only manuscript of “Rabi’u-l-Abrar va nususu-l-akhyar” is stored under 2384 inventory. This copy is also included in the descriptive catalog of the “Oriental Manuscripts of the Academy of Sciences of the USSR” [6, p. 398–402]. This copy contains 81 chapters. The copy is incomplete because it lacks 17 chapters.

Copies of the work are available at the British Museum (# 11434–1135), the Arabic and Turkish Manuscripts Foundation in Berlin (No. 8151–8153), the Asian Museum in St. Petersburg (No. 747), Man-

chester’s Reyes (No. 424), Leipzig’s Manuscript (# 601). (No. 470), Paris National (No. 6742, 5985, 3499, 3500), Mashhad’s Rampur (No. 15, 18, 53), Peshawar’s “Doru-l-ulum-il-Islami” (# 1113), “Buhar” of Calcutta. (# 416–417), Al-Awqaf of Baghdad (# 386–389) and “Dari-l- kutub” Library, Cairo.

It also has manuscripts in the Turkish Library of Suleiman, in the funds named Yusuf Agha (No. 4900), Ayo Sofia (No. 3985), Damad Ibrahim Pasha (No. 948), and Fatih (No. 3893, 3894) [1, 512].

Salim al-Nuimi, an Iraqi researcher, carried out this study. The scholar published four volumes in Baghdad. The book’s introduction contains information on Zamakhshari’s life and work. This information was translated from Arabic into Uzbek and published in the press [9].

The following works by Zamakhshari which are mentioned below are not available in Uzbekistan.

Not only are these works didactic, they also contain valuable information on the theory of literature.

Another scholar’s work, Maqomotu z-Zamakhshari, is said to have been created on 512/1118 during his visit to Mecca after recovering from a serious illness [1, 514].

The work consists of wise words, exhortations, admonitions, as well as excerpts from poems, parables, stories delivered in various meetings and gatherings. The work of “Maqomotu-z-Zamakhshari” consists of 50 articles. Each article is dedicated to a specific topic. It also analyzes many theoretical issues of literature. For example, the “Maqamatu n-Nahw” article refers to the syntactic analysis of proverbs and sayings, the “Maqamatu-l-Aruz” is devoted to the measures in aruz, their rules, types, terms for aruz, the “Maqamat-l-qawafii” is written about rhyme, its types and dedicated to its terminology. At the end of each article, there are poetic excerpts; words of wisdom, exemplary stories, depending on the theme.

Manuscripts of the work are widely known around the world. They are kept in the Vatican (No. 1380), Leiden (No. 75, 135, 3901), the National Library of Madrid (No. 294), the Manuscript



Treasury of the Vienna Emperor Library (No. 379), and the Arabic Manuscript Division at the Prentiss University Library (No. 201) [4, 511].

Various libraries of Turkey also have copies of "Maqomotu-z-Zamakhshari". In particular, the works are in the library of Ahmad as-Solis (No. 1419), Ashaf (No. 1598), Bashir Agha (No. 148), Boyazid (No. 2646), Nur Usmania (No. 3901), Roghib Pashsho (No. 1068) [1, 514].

Maqomotu-z-Zamakhshari was published in Cairo in 1312/1894 with a commentary on Zamakhshari. This publication contains 201 pages. In 1325/1910, the second edition was published in Cairo at "al-Tawfiq". Also, the work was translated into German and published in 1913 in Germany [3, 7].

Another book by "Nusghat-ul-Mu'tanis by Al-Zamakhshari was also created in the style of the above works. According to Professor As-Samari, it is a short form of "Rabi'u-l-abror" [2, p. 35–36]. The book contains 93 chapters, which includes stories, poems by famous poets, authentic hadiths, admonitions, and moral words.

A manuscript of the work is stored in the Aysophia section of the Solomonian Library in Turkey under 4331 inventory [1, 514]. Another manuscript is also in the manuscript collection of the British Museum in London [4, 511].

He completed his contemporary didactic work "Al-Qasidatu-l-ba'udiyya" in 499/1106. The work is compiled as a dictionary, with 3461 illustrations on various ethical topics in alphabetical order. Copies of his manuscript are stored in Cairo's "Doru-l-kutubi-l-misriyya", as well as in the Berlin libraries (No. 7686, 7687) [1, 34].

The work was published in 1381/1962 by Muhammad Abdurahman in Hyderabad's "Majlis-u-d-doiroti-l-maarifi-l-USmaniyya". Another edition of the work was made by Baqir al-Husni in 1957 in Baghdad.

The work of the scholar "Devonu-z-Zamakhshari". Zamakhshari created this devon under the advice of the Emir of Mecca Hasan ibn Wahhos. This

devon is written in poetry and consists of ghazals, qasa, letters and continents.

Devon consists of the following parts:

1. Praise;
2. Complaints from time, tyrannical and unjust people, the hardships of life, the lack of sustenance;
3. Ghazals;
4. Belief in science;
5. Wise words, admonitions;
6. Zuhd, pious;
7. Sending letters to loved ones and enjoying them;
8. Poems about Khorezm's homeland during his stay in Mecca;
9. Lamentations [5, p. 42–46].

It is clear from the foregoing topics that Zamakhshari removed his devotional from the narrow tradition that was traditional at that time and enriched it with social, political, and philosophical issues. In this way he developed a new style of poetry.

A manuscript copy of "Devonu-z-Zamakhshari" is stored under the A-529 inventory number in Darul-Kitab va-l-Liter, Egypt, and 2 manuscripts in the Solomonian Library of Turkey. One is in the Ashir Efendi Foundation (# 330) and the other is in the Shahid Ali Pashsha Library (# 1171–3) [1, 514].

In his work, Al-Mustaqso fi-l-Amsol, which was created in 499/1106, Zamakhshari gave about 3.500 examples and parables in alphabetical order. The author has detailed in detail the reasons for their occurrence and the applications. He quotes prose and poetry in order to deepen the meaning of proverbs and sayings.

Manuscripts of the work are stored in Ashir Efendi (No. 907), Bashir Agha (No. 553) in Istanbul, Damadzoda (No. 1557, 4249, 4250), Lolali (No. 715, 1671, 1925, 1926), Salim Agha (No. 991), Ton Kapu (no. 2290), Fayz (No. 1756), Fatih (No. 4088, 4089) [1, 514], Mosul in Baghdad (No. 27, 329), Vatican (No. 1177), Rampur (No. 616), Tehran's "Assembly" (No. 301), Cairo, Daru-l-Kitab-l-Misriyya libraries (# 355). One of them is in the

British Museum (no. 1002) [4, 511]. This work was published in Hyderabad in 1962 in two volumes. A copy of this publication is available at the Harvard University Library (No. 22423.15) [10, 272]. The work was also published in Beirut's Daru al-Kitab al-ilmiiyya in 1977.

The aforementioned works of moral character are an integral part of the Khorezmian scholar Mahmud Zamakhshari's scientific heritage, which is still relevant today. Reading and studying the works, as well as introducing the ideas in them to the younger generation, is one of the challenges. In conclusion, we

would like to address the views of President Islam Karimov. "It is necessary to thoroughly study the rich scientific heritage of our scholars and to draw relevant conclusions and enrich them with modern knowledge and experience of today's modern requirements. And we must view this great heritage as an invaluable spiritual food for ourselves and for the upbringing of future generations. The most important thing is to never forget the immortal inheritance we have, to preserve this wealth as the apple of the eye, and, in a word, to be worthy successors to our great ancestors" [11, p. 113–114].

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## Section 12. Economics

<https://doi.org/10.29013/EJHSS-19-6-167-170>

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### BORDER TOURISM BETWEEN PRIMORSKY KRAI OF THE RUSSIAN FEDERATION AND THE PEOPLE REPUBLIC OF CHINA

**Abstract.** The paper focuses on the border tourism between two countries Russia and China. The most popular border region of Russia is Primorsky Krai. So this article shows developing on border areas as Primorsky Krai of Russian Federation and the People Republic of China. Mostly, we based on statistics data and facilitating factors. Also there are challenges and future possibilities for economic developing of these two countries. Future cooperation between Russia and China will help to develop border tourism areas and economics.

**Keywords:** border tourism area, Russia- Chinese borderland, border cities.

#### Introduction

Tourism is a profitable industry that is especially convenient for border areas. The People Republic of China (China) and the Russian Federation (Russia) share a large portion of their borders that takes up more than 4159 kilometres (Mayorova & Li [4]). Primorsky Krai is one of the border regions of Russia that are located in a particularly convenient location for tourism with China (Efremova, Chkalova, & Bi [1]; Stepanova [8]). Here, tourism statistics and factors will be reviewed for an improved understanding of the current and future trends that characterise border tourism between Primorsky Krai and China.

#### Border Tourism: Primorsky Krai and China Statistics

Official tourism statistics of Primorsky Krai, Russia and China can help to assess the significance of the topic. Russia is the second most common tourism destination chosen by Chinese people, but they visit many regions, including, for example, Moscow and St. Petersburg (Mayorova & Li [4]). Still, a large number of Chinese tourists visits Primorsky Krai as well. According to Russia's statistics system, which is called Единая Межведомственная Информационно-Статистическая Система [9], Chinese tourists constitute the greatest share of the tourists who visit the region (see Table 1).

Table 1. – Primorsky Krai Tourist Flow to China (People)

	2013	2014	2015	2016	2017
China	49.970	18.756	463.602	112.499	125.171
All Countries	54.100	22.363	466.651	113.509	133.222

(EMICC, [9])

Table 2 calculates the percentages for the countries that send the greatest numbers of tourists to Primorsky Krai. Table 3 uses two of them to demonstrate that the trends of the period between 2013 and 2017 remained consistent in prior years. Only the data for Japan and China show relatively high

numbers of tourists visiting Primorsky Krai. Chinese tourists remained a clear majority for the period between 2003 and 2017. EMICC [9] does not offer earlier data, but it is apparent that Primorsky Krai has been mostly receiving Chinese tourists for over a decade.

Table 2. – Primorsky Krai Tourist Flow (Percentages): Top Five Countries

	2013	2014	2015	2016	2017
China	92.37	83.87	99.35	99.11	93.96
Japan	7.16	15.26	0.65	0.26	0.94
Republic of Uzbekistan	0.00	0.00	0.00	0.00	3.75
Republic of Korea	0.03	0.00	0.00	0.00	1.06
United Kingdom of Great Britain and Northern Ireland	0.02	0.09	0.00	0.00	0.17

Table 3. – Primorsky Krai Tourist Flow (Percentages) For Previous years

	2004	2005	2006	2007	2008	2009	2010	2011	2012
China	96.41	89.84	86.55	84.69	85.35	71.93	49.38	82.77	73.28
Japan	0.00	9.59	12.65	7.86	5.13	5.28	14.87	1.58	2.59

China is also interested in attracting Russian tourists. In general, China views tourism as an important industry for its economic development (Li [3]; National Bureau of Statistics of China [5]). China is the third most popular tourism site for Russian people, and most of the tourist flow from Russia to China occurs at the border with around 80% of Russian tourists coming from Siberia or the Far East regions of the country (Mayorova & Li [4]). However, it is difficult

to locate the data on the tourists travelling from Primorsky Krai to China. Единая Межведомственная Информационно-Статистическая Система [9] only provides the general information about the tourist flow from Russia to China without specifying individual regions (see Table 4). Still, this information indicates that Sino-Russian tourism, which includes Primorsky Krai, is two-sided since the governments of both countries intend to enjoy its benefits.

Table 4. Russia-To-China Tourism (People) [10]

Year	2013	2014	2015	2016	2017	2018	2019
Tourists	1.067.542	766.306	458.118	668.878	865.138	739.241	161.516

### Facilitating Factors and Challenges

The cooperation of China and Russia is what promoted border tourism in Primorsky Krai. First, the

two countries entered an agreement that would enable visa-free tourism in 1993 (Efremova, Chkalova, & Bi [1]; Mayorova & Li [4]). Second, a special co-



operation program was developed in 2009 for certain regions of Russian and China, and a number of Chinese provinces entered an agreement with Russia to promote multiple spheres of development, including tourism, in 2012 (Mayorova & Li [4]). Moreover, China and Russia are a part of the Shanghai Cooperation Organization, and tourism is among the fields in which it encourages (Shanghai Cooperation Organization Secretariat [7]). Thus, Sino-Russian relationships facilitate border tourism in Primorsky Krai.

Certain transportation-related projects in both countries should also be considered. China and Russia cooperated to construct a highway and railroad connecting major Primorsky Krai locations (in particular, Kraskino and Vladivostok) and those of the Jilin Province of China (Mayorova & Li [4]). Primorsky Krai port cities, including Vladivostok and Zarubino, are also key transportation points that allow visa-free entrances (Gomilevskaya & Kononov [2]). Therefore, tourism in Primorsky Krai is enabled by the means of crossing its border with China.

Certain circumstances that are not connected to Sino-Russian cooperation can also be mentioned. The specifics of Primorsky Krai, including its location and natural attraction sites, are significant (Mayorova & Li [4]). Furthermore, factors like the quick and sustainable economic development of China and changes in the socioeconomic climate (for example, the improvement of the value of Chinese RMB) are important (Efremova et al. [1]; Mayorova & Li [4]; National Bureau of Statistics of China [5]). Conversely, however, negative economic changes like

the crises of the twenty-first century have historically hindered the development of tourism (Stepanova [8]). Therefore, the existing circumstances are not always beneficial for tourism in Primorsky Krai.

Indeed, border tourism between Russia and China is complicated by certain issues, including those specific to Primorsky Krai. One frequently cited problem is the underdeveloped infrastructure in the cities that most commonly attract tourists in Primorsky Krai, especially Vladivostok (Efremova et al. [1]; Mayorova & Li [4]; Stepanova [8]). Another concern is the lack of staff in tourist organisations who can provide translation services (Efremova et al. [1]). In general, researchers suggest investing in tourist businesses in the region for their development (Stepanova [8]). The presented data indicates the problems and areas for potential improvement that can be used to make recommendations.

#### **Future Possibilities: A Conclusion**

Given the way border tourism stimulates the economy, Primorsky Krai is a strategically significant location. The growth of tourism in it has been affected by the choices of Russia and China, and the future cooperation of their governments is critical for the continued development of the industry in Primorsky Krai. The specifics of the region should be used to its advantage, and the existing problems, especially those related to deficient infrastructure and services, need to be resolved. By embracing the opportunities presented by the massive influx of Chinese tourists into the region, Primorsky Krai can proceed to develop its tourism industry.

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## Section 13. Science of laws

<https://doi.org/10.29013/EJHSS-19-6-171-174>

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### **LAW NO. 9887 AND THE IMPLEMENTATION OF THE GENERAL DATA PROTECTION REGULATION IN ALBANIA**

**Abstract.** The protection of personal data in Albania is viewed as a modern and active right, putting in place a system of checks and balances to protect individuals whenever their personal data are processed. The processing must comply with the essential components of personal data protection, namely independent supervision and the respect for the data subject's rights. The right to personal data protection comes into play whenever personal data are processed, it is thus broader than the right to respect for private life. Data protection concerns all kinds of personal data and data processing, irrespective of the relationship and impact on privacy.

**Keywords:** Data Protection, Active Right, Private Life, Impact.

#### **1. Introduction**

People's personal data are being processed every second at work, in their relations with public authorities, in the health field, when they buy goods or services, travel or surf the Internet.

Individuals are generally unfamiliar with the risks related to the protection of their personal data and of their rights in this respect. They are seldom aware of what they can do if they consider that their rights have been breached, or of the role of national data protection agencies.

In 2006 the Council of Europe launched a Data Protection Day to be celebrated each year on 28 January, the date on which the Council of Europe's data protection convention, known as "Convention 108", was opened to signature [8]. Data Protection Day is now celebrated globally and is called Privacy Day outside Europe.

On this date, governments, parliaments, national data protection bodies and other actors carry out activities to raise awareness about the rights to personal data protection and privacy. These may include campaigns targeting the general public, educational projects for teachers and students, open doors at data protection agencies and conferences.

The data protection convention, which is the only international treaty in this field, is being updated to ensure that its data protection principles are still in line with today's needs.

#### **2. Definitions**

The concept of privacy has been present for a long time and its definition constantly evolves with the invention of new computer technology. One of the earliest definitions given by Warren and Brandeis where they cite Judge Cooley is the right "to be let alone". Their paper "The Right to Privacy"

explores the changes in the dynamics of life from the time when people only needed to be protected from physical beatings, and freedom only meant to not be restrained, to a time when people also need to be protected from the spreading of their personal information [9]. They state that with a rise in the complexity of life, people have more need to be alone with their own thoughts, and the publishing of their private information causes them emotional and mental distress, greater than the pain of physical injury.

Prosser in his paper “Privacy” explains that the American common law has defined four actions which violate privacy [10]. These four actions are:

- Intrusion upon the plaintiff’s seclusion or solitude, or into his private affairs;
- Public disclosure of embarrassing private facts about the plaintiff;
- Publicity which places the plaintiff in a false light in the public eye;
- Appropriation, for the defendant’s advantage, of the plaintiff’s name or likeness.

To summarize all of these definitions, privacy could be defined as the right to protect who you are, what you do, what you think, and what you believe. All in all, privacy means the protection of your personal data.

However, personal data could be interpreted in a variety of ways. At first impression, someone would think that it only means digitalized or computer data, but it is much more.

The Council of Europe in the 1981 Convention for the Protection of Individuals with regard to Automatic Processing of Personal Data defines it in Article 2a as:

– “any information relating to an identified or identifiable natural person, an identifiable person is one who can be identified, directly or indirectly, in particular by reference to an identification number or to one or more factors specific to his physical, physiological, mental, economic, cultural or social identity” [2].

### 3. The Right to respect for private Life and the Right to personal data protection

The right to respect for private life and the right to personal data protection, although closely related, are distinct rights. The right to privacy referred to in European law as the right to respect for private life emerged in international human rights law in the Universal Declaration of Human Rights, adopted in 1948, as one of the fundamental protected human rights. Soon after adoption of the UDHR, Europe too affirmed this right in the European Convention on Human Rights, a treaty that is legally binding on its Contracting Parties and that was drafted in 1950. The ECHR provides that everyone has the right to respect for his or her private and family life, home and correspondence. Interference with this right by a public authority is prohibited, except where the interference is in accordance with the law, pursues important and legitimate public interests and is necessary in a democratic society. The UDHR and the ECHR were adopted well before the development of computers and the internet and the rise of the information society. These developments have brought considerable advantages to individuals and society, improving quality of life, efficiency and productivity. At the same time, they present new risks to the right to respect for private life. In response to the need for specific rules governing the collection and use of personal information, a new concept of privacy emerged, known in some jurisdictions as ‘informational privacy’ and in others as the ‘right to informational self determination’ (The German Federal Constitutional Court affirmed a right to informational self-determination in a 1983 judgment in *Volkszählungsurteil*, BVerfGE Bd. 65, S. 1ff. The court considered informational selfdetermination to derive from the fundamental right to respect for personality, protected in the German Constitution. The ECtHR recognised in a 2017 judgment that Art. 8 of the ECHR “provides for the right to a form of informational self-determination”. See: ECtHR, *Satakunnan Markkinapörssi Oy and Satamedia Oy v.*



Finland, No. 931/13, 27 June 2017, para. 137). This concept led to the development of special legal regulations that provide personal data protection.

Data protection in Europe began in the 1970s, with the adoption of legislation by some states to control the processing of personal information by public authorities and large companies (The German state of Hesse adopted the first law on data protection in 1970, which only applied in that state. In 1973, Sweden adopted the world's first national data protection law. By the end of the 1980s, several European states (France, Germany, the Netherlands and the United Kingdom) had also adopted legislation on data protection). In the EU legal order, data protection is recognised as a fundamental right, separate to the fundamental right to respect for private life. This separation raises the question of the relationship and differences between these two rights.

The right to respect for private life and the right to the protection of personal data are closely related. Both strive to protect similar values, the autonomy and human dignity of individuals, by granting them a personal sphere in which they can freely develop their personalities, think and shape their opinions. They are thus an essential prerequisite for the exercise of other fundamental freedoms, such as freedom of expression, freedom of peaceful assembly and association, and freedom of religion.

#### **4. Albanian Law no. 9887 and the Transition of the General Data Protection Regulation**

Albania's Law [6] on the Protection of Personal Data was approved in 2008 by the Assembly of Albania. It has 16 pages, with 10 chapters and 45 Articles, and was signed by Albanian Deputy Fatos Beja. The Protection of Personal Data Law, which became effective in 2008 and amended mostly recently in 2014, regulates the processing of all personal information of natural persons by both the public and private sectors. The Albanian Law requires database registration, imposes DPO and special data security obligations, and restricts cross border transfers to countries that do not provide adequate protection.

The Albanian legislation in the field of personal data is based on:

- the Albanian Constitution, especially its Article 35, which states that “... *No one can be forced, except when is required by law, to make public information relating to his person...*”;
- in the Convention of the Council of Europe in January 1981 “On the protection of individuals with regard to automatic processing of personal data” and its additional Protocol, November 2001 “On the protection of individuals with regard to processing automatic personal data by the supervisory bodies and the cross-border movement of personal data”;
- the Directive no. 95/46/EC, dated 24.10.1995 of the European Parliament and the Council “On the protection of individuals with regard to the processing of personal data and on the free movement of such data”, and other acts of the EU in the field of personal data”.

For the implementation of this Directive in Albania is set up an independent institution, the Commissioner for Personal Data Protection, which, in the quality of the responsible authority, observes and monitors the protection of personal data, in accordance with Law no. 9887, dated 10.3.2008 “On protection of personal data”, as amended. The Commissioner for Personal Data Protection cooperates and coordinates the activity with the controllers and processors of personal data, as well as international counterpart institutions for data protection of the Albanian citizens with law no. 9887, dated 10.3.2008 “On protection of personal data”.

On 04 April 2018, the Albanian parliament passed a resolution (The legal power of a resolution of the Albanian parliament is ranked under the one of laws and decisions passed by the parliament). “On the Assessment of the Activity of the Albanian Commissioner on the Right to Information and Data Protection”.

The Resolution assesses the role of the Commissioner during year 2017 in defending and facilitating the implementation of the right of information and

right of privacy as well as outlines the actions for year 2018 to be undertaken by the Commissioner.

Based on the Resolution, the Commissioner shall also engage in legislation improvements by drafting normative acts that fully align with the new EU General Data Protection Regulation no. 2016/679 approved by the European Parliament and the Council on 27 April 2016 and expected to enter into force on 25 May 2018, and the EU Directive no. 2016/680 on the protection of personal data of natural persons during criminal proceedings, approved by the European Parliament and the Council on 27 April 2016 and effective since 05 May 2016.

On May 2018, Directive no. 95/46/EC was repealed by General Data Protection Regulation making it fit for protecting fundamental rights in the context of the digital age's economic and social challenges. It preserves and develops the core principles and rights of the data subject provided for in the Data Protection Directive. In addition, it introduced new obligations requiring organisations to implement data protection by design and by default; to appoint a Data Protection Officer in certain circumstances; to comply with a new right to data portability; and to comply with the principle of accountability.

The GDPR is automatically enforceable in Albania on 25 May 2018 and has demand the applicabil-

ity of its standards on processing personal data of EU citizens or residents. It is currently one of the main topics among the Albanian businesses because of its extraterritorial reach and has caused them to start taking the necessary measures in order to be compliant with it. All Albanian organizations, businesses offering paid or unpaid goods or services to EU citizens fall under the GDPR scope.

### 5. Conclusions

Besides the difficult economic times and the current political crisis that Albania has found itself in, the justice system is also highly underdeveloped. Albania's laws are considered to be quite good, however, their implementation and enforcement has proven to be quite difficult due to corruption. Albania, as well as Europe and other countries of the world, has legal protection under Albanian law and the implementation of General Data Protection Regulation, making it a very important instrument for the data protection commissioner, listing this right as one of the fundamental rights. The citizens of Albania need to know more about the rights that the law gives them. They need to be aware how to protect their personal information and how not to let authorities or even phone companies exploit their data. If people were more informed, this phenomenon would not be very widespread, so we would be more protected from these injustices.

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