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Kemal Cebeci
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Barcelona, Spain
16-17 December 2020

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ALESSANDRO CARDINALI¹

SOME NEW RESULTS ON LONG MEMORY IN FINANCIAL VOLATILITY MODELLING

Abstract

Financial volatility is a widely accepted measure of financial risk, therefore the statistical analysis of financial volatility is of paramount importance in several applied economic contexts. Squared financial returns are often used as a measure of realized volatility and it is widely known that these series are characterized by slowly decaying positive autocorrelations, i.e. by the presence of long-memory. This evidence has numerous consequences in terms of financial modelling and prediction strategies, therefore it is important to assess carefully its derivation. In this paper we resume some empirical evidences of statistical analyses based on both stationary and non-stationary models for the S&P 500 log-returns. We then derive some theoretical examples that can provide an explanation of the, apparently contradicting, empirical evidences.

Keywords: Financial volatility, long-memory, Hurst exponent, local stationarity

JEL Codes: C1, C14, C18

1. Introduction

Volatility is the most widely considered measure of financial risk. Since risk assessment is a key component in investment decisions, the statistical analysis of financial volatility is fundamental tool of modern finance. It is widely accepted that financial returns are characterized by a number of statistical properties: heteroscedasticity, heavy tailed distributions and absence of autocorrelation. Financial volatility is considered a variable that is not directly observed, and squared or absolute returns are two proxy measures commonly considered in empirical work, and often termed *volatility processes*. Stationary GARCH processes represent the most popular modelling strategy for financial returns because they can successfully reproduce the aforementioned empirical evidences, in particular the absence of autocorrelation for returns as well as the presence of autocorrelation for squared returns. Classical stationary GARCH models imply that squared returns have positive autocorrelations that, for large lags, decay (fast) at exponential rate. However, another commonly observed empirical feature is that squared returns have slowly decaying autocorrelations, see Ding et al. (1993), Bollerslev and Mikkelsen (1996), Breidt et al. (1998) for more details.

Generally, slowly decreasing autocorrelations are represented mathematically by hyperbolic decay (Ding et al., 1993), which is associated with long-memory. Therefore, GARCH models have been extended in order to also reproduce these features, leading to FIGARCH models (Fractionally Integrated GARCH). This class of models was introduced in Baillie et al. (1996) and, in spite of many studies and analyses, some aspects related to their use remain to be clarified. The FIGARCH model is basically defined as an ARFIMA (Fractionally Integrated ARMA) model for squared returns. In this case the returns are assumed to be stationary, i.e. the model parameters are constant over time and constrained to be positive. The FIGARCH model can also reproduce the empirical evidence of slowly decaying ACF, which is often interpreted as presence of long memory in volatility processes. However, some new analyses raised new questions on the appropriateness of stationary volatility modelling. In the last fifteen years locally stationary models have also been used to model financial returns by allowing for both time varying conditional and unconditional second order properties. Therefore, locally stationary autocovariances and autocorrelations can both depend on time and lags. Stationarity tests have been

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developed and used to assess whether financial returns are stationary or locally stationary. Cardinali and Nason (2008) found clear evidence that S&P 500 financial returns are characterized by time varying unconditional variance and that locally stationary processes should be used to analyze these data. Cardinali and Moran (2019) used a FIGARCH model with time-varying parameters to analyze the S&P 500 squared returns finding evidence of short memory for most of the data analysed. For the same data, evidence of long memory was found when the analysis was repeated using the stationary FIGARCH model.

This latter result raises the question of whether the empirical evidence of long memory in financial volatility could be a spurious effect due to using stationary volatility models and tools to analyse data characterized by time varying unconditional volatility. In this paper we investigate this possibility by proposing two theoretical examples that provide a possible answer to this question. The remainder of this paper is structured as follows. In Section 2 we present a (stationary) descriptive analysis of S&P 500 volatility. Section 3 introduces an analysis of time-varying volatility by means of locally stationary models. Section 4 presents a first example of a locally stationary autocovariance function for a volatility process, whereas Section 5 presents the stationary autocovariance function that would be estimated by using stationary models to analyze the locally stationary volatility process from Section 4. Section 6 concludes by comparing the results of our theoretical study with our empirical analyses.

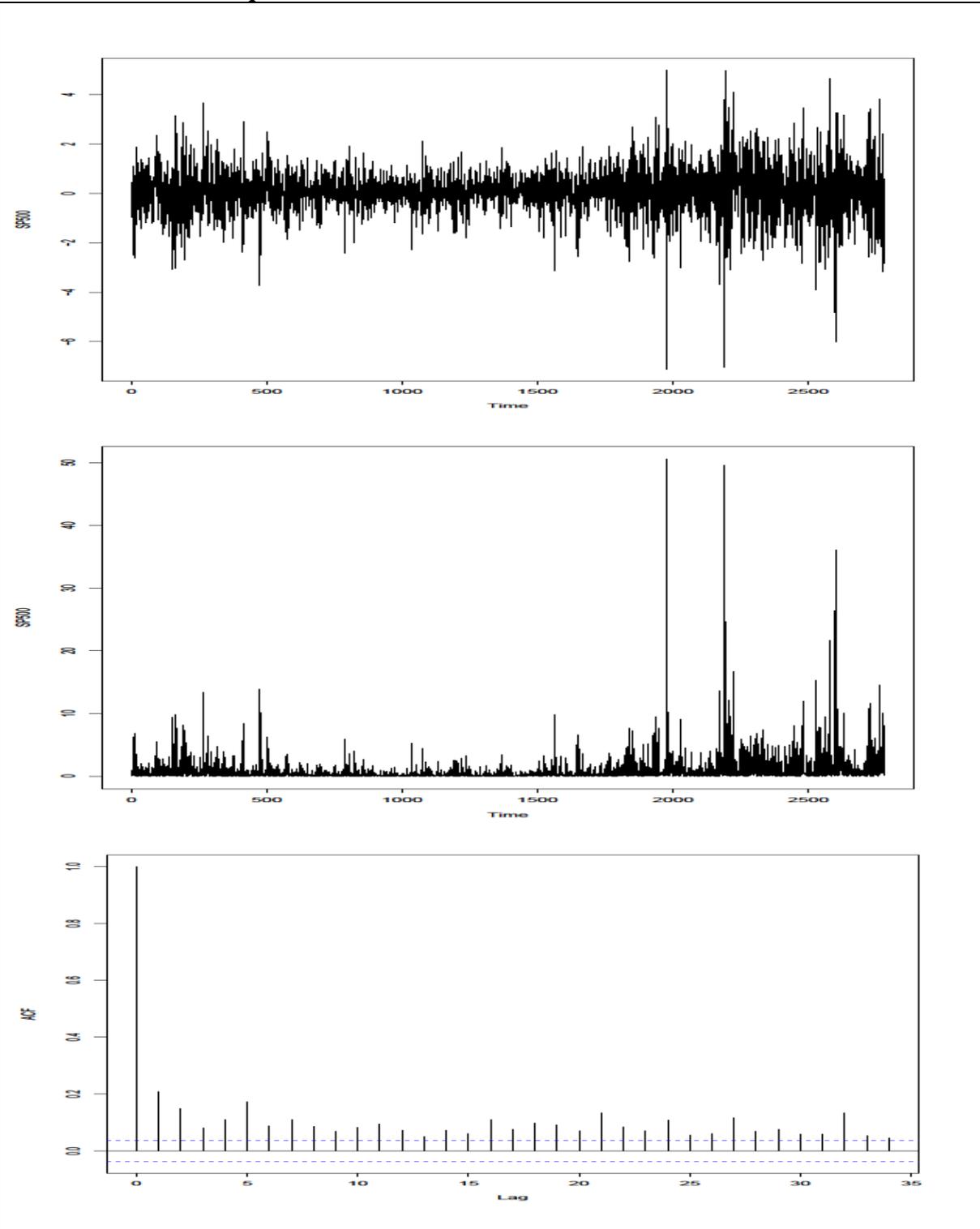
2. Stationary Volatility and Long-Memory

In quantitative finance, a topic that has attracted wide interest is the study of long memory in financial volatility, expressed either by absolute or squared returns, see e.g. Baillie (1996), Bollerslev and Mikkelsen (1996) and Ding et al. (1993). A stochastic process is said to possess a long memory if there exists a persistent dependence between observations which are distant in time. A more precise definition of long memory can be formulated in terms of the autocorrelation function (ACF). A second-order stationary series of squared returns exhibits long memory with Hurst coefficient $H \in (0,1)$ when $\rho(\tau)$, its stationary ACF with lags $\tau = 0,1,2, \dots$, decreases at a hyperbolic rate, i.e.

$$\rho(\tau) \propto c\tau^{-2H},$$

for some bounded $c > 0$. This feature characterizes most of sample ACF's of squared return series. To illustrate this point, in this section we conduct an empirical analysis on a series of S&P 500 log-returns and squared returns (between 1990 and 1999). The data are available as part of the **R** library MASS (Ripley and Venables, 2002). Log-returns are shown in Figure 1 (top), along with the squared returns (middle plot). Both plots provide evidence of heteroscedasticity. In addition, the plot of the squared returns displays higher volatility at the beginning and the end of the considered period. Figure 1 (bottom) also shows the slowly decaying ACF of squared S&P 500 log-returns, an evidence which is generally associated with the presence of long memory for volatility processes.

Figure 1. From top: S&P 500 log-returns, S&P 500 squared log-returns and Autocorrelation function for S&P 500 squared returns

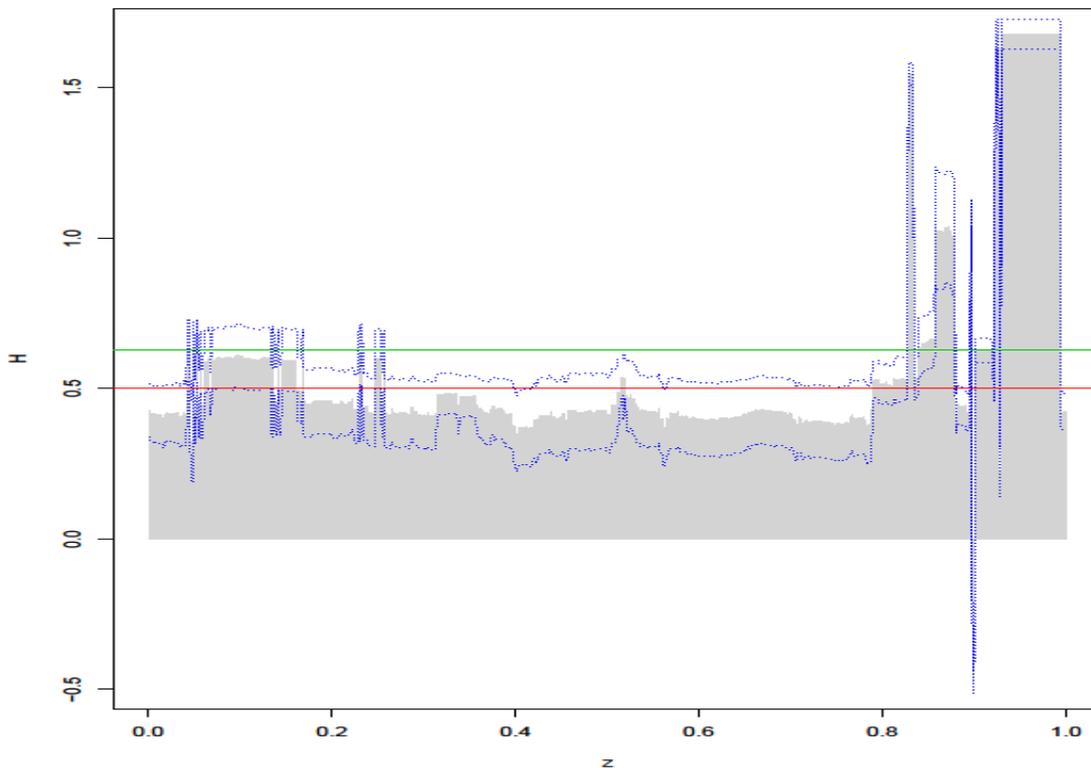


Source: Own calculation using SP500 dataset (from R library MASS).

3. Locally Stationary Volatility

A different approach to volatility modelling followed from the development of locally stationary time series models and their application to financial returns. In this framework, both conditional and unconditional variances and autocovariances change with time, if sufficiently long spans of data are considered. When short spans are considered, these processes can be approximated by stationary ones. Therefore, locally stationary time series are characterized by statistical properties that changes *slowly* with respect to time. Due to technical reasons, the time index $t = 1, 2, \dots, T$ is usually represented as *rescaled time* $t/T \rightarrow z$, where $z \in (0, 1]$. In this setup the autocovariance function (ACVF) will depend on both (rescaled) time and lags, and for fixed z , the ACVF should behave as that of common stationary time series. Therefore, at each (rescaled) time, the rate of decay of the ACVF with respect to lags determines the local level of persistence of shocks: an exponential rate of decay implies low persistence (local short memory) at a given time, whereas an hyperbolic rate of decay implies high persistence (local long memory).

Figure 2. Estimation of Hurst coefficient: green line is classical estimation, grey bars are time-varying (TV) estimation, blue dots are TV 95% intervals



Source: Own calculation using SP500 dataset (from R library MASS).

When the ACVF depends also on z , the underlying process exhibits time-varying unconditional variance (and volatility). If the ACVF is constant with respect to time, then this refers to a stationary process with constant unconditional variance. Statistical stationarity tests for locally stationary processes can therefore be used to investigate whether the underlying process has stationary (null hypothesis) or time-varying autocovariance function (alternative hypothesis). Cardinali and Nason (2008) and Cardinali and Nason (2013) proposed an efficient bootstrap stationarity test that was applied to the S&P 500 dataset obtaining a p-value of 0. We therefore strongly reject the null hypothesis of stationarity and constant unconditional variance. Furthermore, this test is based on the assumption that, for any fixed (rescaled) time, the ACVF and ACF of the underlying process decay fast at large lags. As anticipated, this latter property is referred to as *local short memory*. This latter remark provides the motivation to further investigate the relationship between local stationarity and long memory. We therefore produced a similar analysis to that of Cardinali and Moran (2019), where we compare the stationary estimate of the constant Hurst coefficient H from a FIGARCH model, with a locally stationary estimate of $H(z)$, which represents the sequence of time-varying Hurst coefficients from a locally stationary FIGARCH model. We refer the interested reader to Cardinali and Moran (2019) and references therein for more technical details on the estimation method. Figure 2 displays the stationary estimate of the Hurst exponent from the whole S&P 500 dataset, along with its locally stationary estimate. For the latter, we also illustrate the (95%) asymptotic confidence intervals. This plot focuses on the period October 1993 - December 1995 in order to better illustrate the effect of the high volatility observed in the second part of 1995. Looking at these results, we have evidence that the LS confidence intervals contain very often the value $H = 0.5$, which usually characterizes short-memory processes. On the other hand, the intervals very rarely contain the stationary estimate $\hat{H} = 0.627$ which implies long memory.

This evidence indicates that the scenario of stationary log-returns with long-memory is much less likely than the scenario of locally stationary log-returns with short memory. We also note that the (locally stationary) estimates of $H(z)$ show inadmissible values ($H(z) < 0$ or $H(z) > 1$), when data exhibit large volatility. We therefore contend that the evidence of long-memory in financial volatility could appear as a spurious effect mainly due to fitting stationary models to locally stationary log-returns. Given the evidence from the local stationarity test for the S&P 500 returns, along with the evidence from Figure 2, we wonder whether the slowly decaying stationary sample ACF from Figure 1 is an appropriate tool to analyze the statistical dependence of financial returns. Since the presence of long memory in financial returns is often associated with the slow decay of the sample ACF, we suspect that this analysis could be biased by the consideration of inappropriate parameters and estimators (stationary ACVF's and ACF's) in place of the correct ones (locally stationary ACVF's and ACF's). In the next two sections we propose a specific example of locally stationary ACVF, and show the consequences of considering a stationary ACVF instead.

4. An example of Short Memory LS Volatility

The following is a prototypical example of locally stationary autocovariance function that can be modulated in various ways, and that we will use to illustrate our conjecture. Let $z \in (0,1]$ and $\tau = 0,1,2,3,4,\dots$. For $H > 0$, we define the (local autocovariance) function

$$C_H(z, \tau) = \exp\{-(2 + |\tau|)^{2H} \log(1 + z)\}. \quad (1)$$

The example in (1) has some interesting features that can make it suitable as example of local autocovariance for short-memory LS processes. These properties are also inherited by the corresponding LS autocorrelation function, which is just defined as $\rho_H(z, \tau) = C_H(z, \tau)/C_H(z, 0)$:

- the function $C_H(z, \tau)$ is positive, therefore this also implies positive LS autocorrelations;
- it is defined in the rescaled time and is decreasing with respect to both z and τ ;
- it is globally bounded and differentiable everywhere for $z \in (0,1]$;
- for fixed z the function decays exponentially fast with respect the lags τ ;
- the function maintains the above properties for $H > 0$;
- the function has its maximum for $z \rightarrow 0$ and for $\tau = 0$.

These facts show that this function satisfies the properties of locally stationary ACVF and ACF for volatility processes (e.g. requirement of positive ACVF/ACF). When examined for fixed z (i.e. locally), the LS autocovariance and autocorrelation functions show properties of stationary ACVF and ACF respectively, whereas for fixed lags these are decreasing functions in the rescaled time. Since for fixed z the function in (1) decays exponentially fast with respect to lags τ , it represents a valid example of ACVF for locally stationary short memory volatility processes.

5. An Example of Marginal Autocovariances for LS Volatility

In general, for any locally stationary process, the marginal autocovariance function $C(\tau)$ is obtained by integrating out the rescaled time z from the local autocovariance function $C(z, \tau)$. In general the following integral should be well defined for LS processes

$$C(\tau) = \int_0^1 C(z, \tau) dz. \quad (2)$$

In our case, by integrating the function defined in (1) we obtain

$$C_H(\tau) = \frac{1-2^{1-(|\tau|+2)^{2H}}}{(2+|\tau|)^{2H-1}}. \quad (3)$$

The example in (3) has some interesting features that can make it suitable as example of autocovariance of long-memory (second order) stationary processes:

- for $H > 0$ the function has power-law decay with respect to lags τ ;
- the rate of decay with respect to large lags is $2H$;
- the function has its maximum at $\tau = 0$;
- the maximum of the function (variance) is finite and positive.

First we note that, for fixed H the function only depends on $|\tau|$, like any stationary autocovariance functions. Moreover, it has its maximum for $\tau = 0$ corresponding to the variance of stationary processes. This maximum value (variance) is finite, therefore we can correctly define the corresponding stationary autocorrelation function as $\rho_H(\tau) = C_H(\tau)/C_H(0)$. Furthermore, the function $C_H(\tau)$ is always positive, and can be used to reproduce positive autocovariances and autocorrelations. Obviously, this autocovariance function characterizes stationary long memory processes. In particular, since the rate of decay for both $C_H(\tau)$ and $\rho_H(\tau)$ is $2H$ (for $H > 0$), we can interpret H as the Hurst exponent of volatility processes. Basically, (3) shows that analysing LS autocovariance functions as if they were stationary

can lead to spurious evidences concerning the presence of long memory. Our example shows that this spurious evidence can arise from marginalising the LS autocovariance function with respect to (rescaled) time when the locally stationary ACVF is non-linear with respect to the rescaled time.

6. Conclusions

The aim of this paper was to present some empirical and theoretical results that can be useful to investigate the evidence of long memory in financial volatility and its relation to stationary modelling. A classical empirical analysis of S&P 500 squared returns was presented in Section 2, where the stationary autocorrelations showed a slow decay for large lags. In Section 3 we presented two analyses providing evidence of local stationarity for the S&P 500 log-returns. It was also shown that, by fitting a locally stationary model, the evidence of long memory tends to disappear for large part of the data. Furthermore, it was observed that the estimation of the Hurst exponent was particularly unstable in correspondence to periods of high volatility. In Sections 4 and 5 we proposed a theoretical example of a short memory locally stationary ACVF and the corresponding marginal ACVF, where (rescaled) time was integrated out. The derivation of the marginal ACVF was useful to investigate the effect of considering stationary autocovariances instead of the *true* locally stationary ones. It was shown that, in our example, for a short memory locally stationary ACVF the corresponding marginal ACVF was slowly decaying at hyperbolic rate. It was noted that this effect was due to the non-linear form of the locally stationary ACVF function with respect to (rescaled) time.

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VALERIA COCCO¹

NEW FORM OF OVERTOURISM IN PANDEMIC TIME

Abstract

The presence of tourist flows in a destination can be positive, in some cases, for the creation and development of the territories, in other cases, however, it can have devastating impacts in the destinations, both in the natural and cultural resources of the territory and in relation to the local population. In the pandemic time, in which tourism is living a global crisis, the analysis of overtourism phenomenon could appear off topic. Yet, as in the pre COVID-19 the flow of tourists appears not homogeneously distributed on territories - i.e. creating overtourism phenomenon in cities and its main point of interests -, even during the two waves of COVID-19 in Italy, it appeared an inhomogeneous distribution of the small flows of tourists, but, this time, not in cities, rather in alternative destination. The paper aims to reflect on the overtourism new form that involved the pandemic time.

Keywords: Overtourism, Covid-19, future perspectives

JEL Codes: Z30, Z31, Z38, Z39

1. Introduction

The presence of tourist flows in a destination can be positive, in some cases, for the creation and development of the territories, in other cases, however, it can have devastating impacts in the destinations, both in the natural and cultural resources of the territory and in relation to the local population. In the pandemic time, in which tourism is living a global crisis, the analysis of overtourism phenomenon could appear off topic. Yet, as in the pre COVID-19 the flow of tourists appears not homogeneously distributed on territories – i.e. creating overtourism phenomenon in cities and its main point of interests -, even during the two waves of COVID-19 in Italy, it appeared an inhomogeneous distribution of the small flows of tourists, but, this time, not in cities, rather in alternative destinations. The paper aims to reflect on new form of overtourism that involved the pandemic time.

Starting the analysis from the theoretical background, a recurrent dichotomy between the conservation and development of a tourist resource emerges from the studies carried out by the experts in the tourism system. Therefore, a non-optimal use of resources can lead to under-use or over-use them. Thus, the debated about overtourism phenomenon gets rise from here. According to Peeters et al., (2018) “overtourism is a buzz word, overused and not always accurately”. In the effect, the word overtourism is overused in the last few years and it was considered as one of the main problems of destinations, so that stakeholders, institutions and economic scientists tried to solve the problem of overcrowd territories with different and, sometimes bizarre, solutions.

There are many definitions made by different authors to describe the phenomenon. In particular, one of the most exhaustive considers the overtourism as the phenomenon in which “the impact of tourism [...] exceeds physical, ecological, social, economic, physiological, and /or political capacity thresholds” (Koens, Postma and Papp, 2018). In this definition, in fact, it is included the concept of carrying capacity of territories. In other words, overtourism is understood as the phenomenon of a highly visited site or destination that is invaded by tourists in an unsustainable way. Even if the word overtourism appears quite recently, the phenomenon of too many tourists and too much adverse visitor impact was defined yet in 1979 by Rosenow & Pulsipher with the name “tourism overkill”. Therefore, the phenomenon of

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overtourism generates a real tourist overcrowding, and it could be a symptom of the inability of the tourist destination to manage the reception of tourists due to the lack of tools, policies and governance strategies to support the tourist flows both from an economic, social and environmental point of view. Thus, even if the presence of tourist flows in a destination could be positive for the growth and development of the territories, however, it can have even devastating impacts in the resources of the territory and in the respect of the local population. Indeed, the scale of the impact depends on various factors, such as the number of arrivals in the destination, the seasonality of the destination, the development of the local economy and infrastructure, the relationship between tourists and residents (Cocco, Brogna, 2020).

In particular, according to some authors (Weber et al., 2017; Goodwin, 2017) the main factors that create overtourism in the territories are: i) Accessibility; ii) International arrivals growth; iii) Large groups (i.e. cruise); iv) Falling costs of travel; v) Seasonality; vi) Bucket-list tourism; vii) Bad governance.

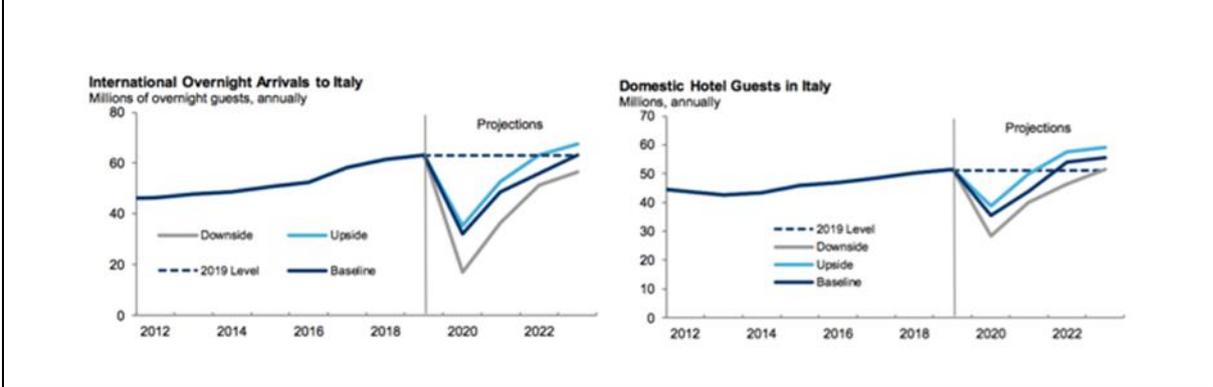
Further damage, to use a strong term, generated by the tourist overcrowding in the destination, is related not only to the consumption of the territory, as already mentioned, but also to the image of the territory itself. Overtourism, indeed, is often linked to hit and run tourism which, generally, produced a heavier impact on the urban fabric and city destinations. The phenomenon of overtourism is, therefore, localized in the Italian context in the main cities of art that see the majority of Italian tourism concentrated in the territories. In Italy in 2018, according to ISTAT data (2019), there were 123 million arrivals, which are thus divided among the main art cities: Rome is in first place (29 million), followed by Venice (12.1 million), Milan (12.1 million), Florence (10.6 million).

In this context, the market takes on a role of considerable importance, as it acquires awareness of the resources and services present in a given locality and generates an effective demand to which the locality must be able to respond through a networked organization that knows meet the expectations of tourists. The vision of the destination, that the tourist perceives, is a consequence of the different services offered in the territory, not only with reference to the direct services, but also to those indirect services. In fact, in order to have a good image of the destination, all those services, also the ones that indirectly make up the tourist offer, assume significant importance (Ejarque, 2003). In this panorama, it is appropriate to pay attention to the relationship between tourist and resident, and in particular, to maintain the balance of the relationship between the territory and tourism to avoid overtourism phenomena that will tend to invade and distort the authenticity of the places (MacCannel, 1973). In this context, therefore, the scarce territorial accessibility of destination alternative from cities, as villages and marginal areas could be a deterrent to tourist overcrowding. In any case, despite the lack of territorial accessibility of small municipalities and marginal areas could be a deterrent to tourist overcrowding (Fullagar, Markwell, Wilson, 2012; Calzati, 2016).

2. Overtourism and Pandemic

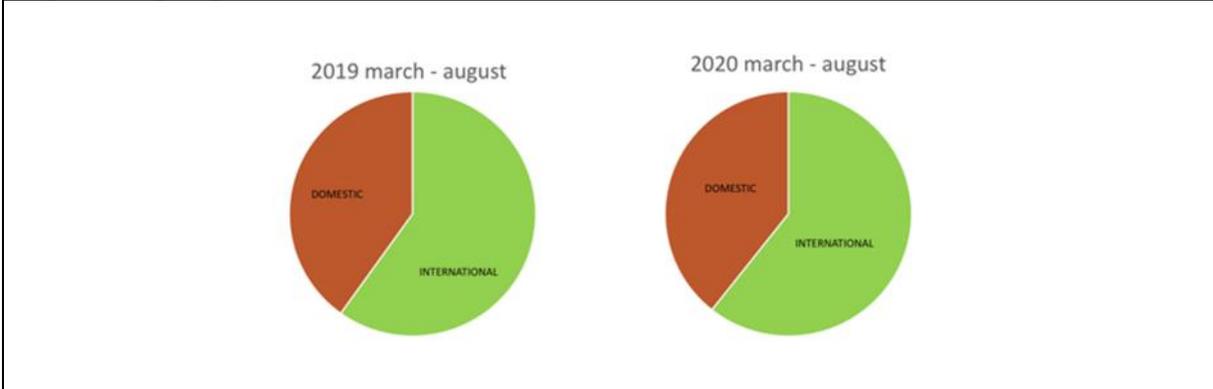
The factors to generate overtourism and the traditional destinations of the overtourism look to be transformed by the huge crisis generated by the pandemic. In fact, the sudden emergency make the behavior of consumers and tourists to be changed. The need of open air tourism appears evident in the summer season in Italy, the fear of the contagion induced tourist to stop international travels and to discover the small and unexplored territories in the proximity. Thus, tourism economics, ENIT and WTO made some first forecasts focusing of the trigger power of the domestic tourism (Figure 1). Yet, the first data about the summer season in Italy published by Banca d'Italia look to be incoherent with the projections (Figure 2). But, at the same time, it is evident an opposite distribution of flows compared to past years (empty cities and full beaches) as in figure 3.

Figure 1. International and domestic arrivals forecast in Italy



Source: Tourism Economics, 2020.

Figure 2. Spring and Summer arrivals (2019 – 2020). Relation domestic-international tourists



Source: Made by the author on Banca d'Italia data, 2020.

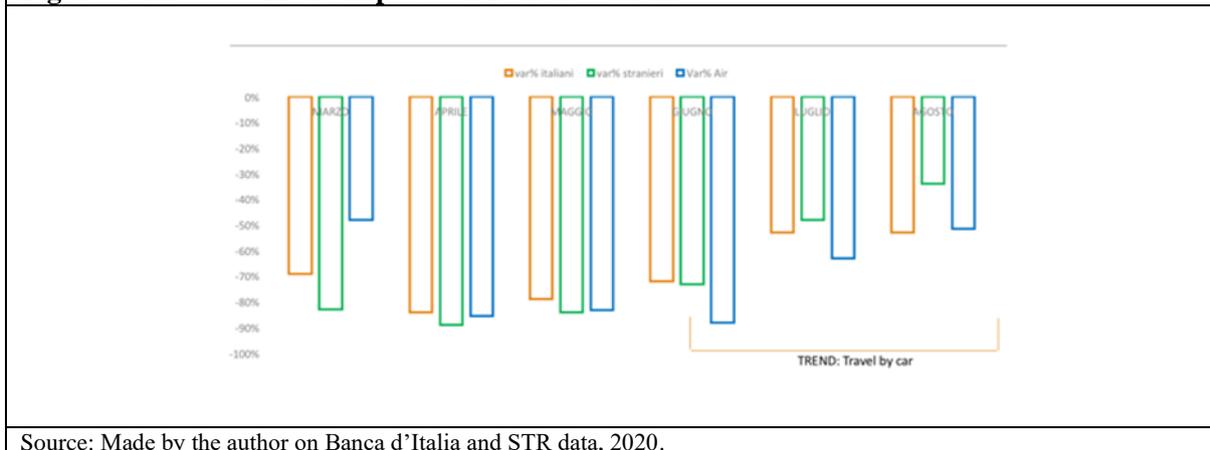
Figure 3. City and other destinations in August 2020



Source: Made by the author, picture from IlMessaggero, LaRepubblica, Montagna.tv (August, 2020).

Then, in COVID-19 times, it is announced the global tourism crisis, but this does not concern all of Italy homogeneously. In the cities, the pandemic produce bankruptcy and closure of activities and consequently the policy of lowering prices (even lower than before), illegal increase for the economic survival of family enterprises. Thus, there already rooted illegal problems and the lack of professionalism with the emergency will results more evident. Instead, in some tourist destination (different from cities) appears with pandemic a major number of tourist compared to the previous year, unexpected and thus, facing an inadequate governance, that highlights the phenomenon of overtourism.

Figure 4. The COVID-19 impacts on Italian tourism

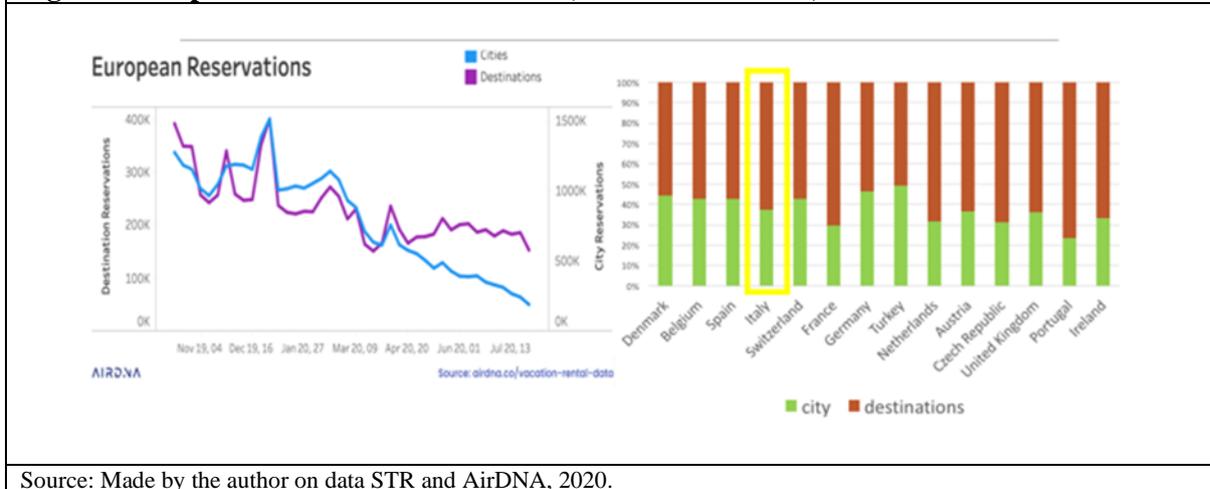


Source: Made by the author on Banca d'Italia and STR data, 2020.

Considering the Banca d'Italia data, the destinations could appear overcrowded because different phenomenon that are not included in the data, i.e. the second homes exodus, the shadow tourism, etc., that create a phenomenon that could be assimilated to the overtourism. In fact, in the 7 factors defining overtourism some of them could coincide. In particular, the seasonality is one of the factor that it is possible to individuate in the destinations, and the bad governance too – even more considering that the massive flows were not that expected in the pandemic times. What concern accessibility, generally, the more accessible is a place the more could overcrowded. In this pandemic times, instead, it looks also to be transformed the concept of accessibility. In fact, as it emerges in the figure 4, the airline percentage is more negative than the domestic and international arrivals, thus it emerges a new trend of travel by car. In the pandemic time, in fact, the big areas of train stations and airport, etc. are not that feel safe. Thus, it looks like also the concept of accessibility in the pandemic could be declined in a different way. In this scenario, the impact of the people flows in the destinations create a sort of overtourism new form because it is till strictly connected with the sustainability and consumption of the territory, and also, the adverse relation tourist-resident. Thus, it is possible to focus on few points that involved the overcrowding of destinations, generating i) an increase in unauthorized use or the use of unskilled personnel to cope with high demand ii) risk of contagion because they are not organized to support all this flows iii) consumption of the territory and the environment iv) adverse tourist-residents relationship. In particular, AirDNA and STR data show a turnaround from cities to other destinations in bookings after the first wave of COVID-19 contagion in Italy and in Europe too. Thus, in the summer time, in destinations, as mountains, seaside, etc. - for example, in some destinations the tourist flows and the economic impact of it was in summer 2020 higher compared to the previous years (data from this research belongs to the first results of a workinprogress research).

Thus, the official data of Banca d'Italia show a reduction in flows in 2020 (about half of 2019) do not include the shadow tourism and the flows generated by the second home exodus - because there is an enormous statistical submergence: i) irregular hospitality facilities ii) exodus in second homes - that create the exceeded number of people temporary living in the destinations and that generated the overcrowded phenomenon in beaches, mountains, etc.

Figure 5. European and Italian reservations (cities / destinations)



3. Conclusion

In a nutshell, the COVID-19 pandemic increases the long-standing problems in Italy and in the tourism system. And where the problems look to be disappeared (i.e. overtourism in the cities), they have only moved or changed (i.e. overtourism in other destinations).

From here some reflections: the situation continues to be not homogeneous, anyway, the small villages and rural areas are still empty. Why? Probably there is the complete lack of services (from accommodations to additional tourist services). Why is overcrowding in mountains or other destinations? One of the reasons is because new demand flows are pouring into alternative territories to urban / cultural destinations, including, for example, exodus from second homes. The huge flows that invested the destinations, i.e. mountains and seaside, are transitory flows or not? How smart working could be some influent factors on the overtourism in destinations?

Thus, even if the reprogramming of the tourist system and governance is not an easy task, to avoid the consumption of territorial recourses could be necessary to re-plan a safe and quality tourism system through:

- i) High education (it is not possible to re-plan a tourism system with unskilled tourism workers, but the training is long and expensive, so it could not be sustained by the entrepreneurs; thus, the opportunity could be to ask for public high education funds and policies);
- ii) Safe, sustainable, responsible, accessible and inclusive product (the products' destinations are not ready for the low season flows - i.e. seaside can take advantage of the exodus of second homes to seasonally, who will stay in seaside in the winter time? What is the offer services in the winter time? -. Smart working could be exploited to repopulate places in the winter and thus to animate the places. The solution could be acting on young people residents to introduce a mentality of highly educated, sustainable, responsible and inclusive tourism system based on synergy in the destinations);
- iii) Digital experience as communication tools (the promotion through digital could raise awareness of unexplored territories and places in the most hidden cities, i.e. by exploiting digital experiences and the digital acceleration that has taken place in COVID-19 and the reduction of the generational digital gap (Cocco, 2020), that sees elderly over 75 with smartphones, and intercept new tourists (e.g. inclusive / accessible / for all tourism).

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SUSANA MSR FONSECA¹ AND FILIPE DUARTE²

THE COST PER PATIENT IN A LONG LIFE UNIT AND MAINTENANCE

Abstract

With the increase in average life expectancy, care for the chronically ill has become an important area in the context of health services. Cost accounting in the health care area is proving to be fundamental as an information tool for decision making, in a sector where managers are increasingly encouraged to provide more and better care at lower prices. With the creation of the National Network of Integrated Continuous Care (NNICC), it is the Long Term Care and Maintenance Units (LTCMU) that receive more dependent patients, in need of comfort care and palliative actions. There are studies that ensure that the implementation of a palliative model reduces costs and makes the management and use of human and material resources more efficient. It is a quantitative and descriptive study, of retrospective character, whose general objectives were: to develop a comparative study between the practices in use in the Institution; to standardize monitoring strategies; to propose a health management model that takes into consideration the reduction of suffering and the efficiency of resources. The last 30 days of users' lives were analyzed, in terms of resources used. We calculated a daily co-participation value per user higher than the co-participated value. We concluded that the financing due to LTCMU does not take into account the real needs of users, requiring institutions to allocate human resources and materials higher than the co-funded.

Keywords: Palliative Care, End-of-Life Costs, Health Management

JEL Codes: M10, M41, I10

1. Introduction

With the increase in average life expectancy, care for the chronically ill has become an important area in the context of health services. In other words, health services, which until then had focused on treating the disease, are now increasingly focused on the need to offer palliative rather than curative care. Rationalisation of resources must be an objective, so that waste is minimal.

Caring for a person is about caring for them and this involves attitude, commitment and responsibility. Through the activities of daily life of a person who lives in a situation of extreme vulnerability, it is possible to contribute to making him/her feel welcome and confident to alleviate his/her suffering, respecting his/her autonomy and helping him/her to find meaning and hope. Through the gestures, words and looks that accompany this care, it is possible to preserve the sublime dignity of the person (Guerrero, 2014).

Having as guidelines to defend life and accept death as a natural process, which neither anticipates nor delays it, to promote the autonomy and dignity of the patient, improving his well-being and quality of life, through individualized and holistic therapeutic plans that address physical, psychic, social and spiritual problems, including also caregivers, Palliative Care constitutes an added value and should exist in all health care institutions, where there are patients with intense suffering, especially in the most differentiated hospitals (Carneiro *et al.*, 2011).

Like Parker's study (2002), by keeping a record of the patients who died, it allows us to honour their memory and reminds us of important lessons that each one has taught. Each story has its own need

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which allows us, through its analysis, to improve our understanding of the other and respect as an individual. Life and death will always remain part of our existence. If the pain of birth can already be controlled, why is the pain of death still not valued? Knowing and caring for people in the last chapter of your life is undoubtedly a learning and preparation for an inevitable certainty. And according to Carneiro *et al.* (2011), care to be considered of excellence for terminal and agonistic patients requires a complete assessment of the symptoms, in their complexity, and also of the needs of patients and relatives, towards a holistic vision.

Steen *et al.* (2013) suggest, in their study, that research should be done on long-term social facilities, where patients with dementia find themselves, as well as cancer patients, since that is where patients die, and it is possible to understand the socio-cultural context and the impact of policy and institutional management measures on the care provided to the end-of-life patient.

In this sense, the latest registrations have been collected concerning users who died while they were admitted to LTCMU at Sernancelhe Mercy, and this collection is limited to the period between August 2015 and August 2018. All the costs inherent to their admission were analysed and an average daily price can be found, according to their typology (which was assessed on the basis of dependency and clinical needs).

This is a quantitative and descriptive study, of a retrospective nature, whose general objectives are: to develop a comparative study between the practices in use in the Institution, from its opening to the present; to standardize monitoring strategies; and to propose a health management model that takes into account the reduction of suffering and the efficiency of resources.

The specific objectives are: to identify the practices in use in the Institution; to identify the needs and adjust the therapeutic plan, in order to improve the quality of life and minimize its suffering, and, if possible, to save financial resources; to present a study on all the costs inherent to the object of the study; to present a strategic proposal for the management of cases considered at the end of life included in LTCMU.

The population consists of 249 users who, during this period, have been admitted to LTCMU at Sernancelhe Mercy. The sample will include the users who died, the last 30 days of life being analysed in terms of resources used, which corresponded to a total of 57 users and allowed a calculation of the daily value of the co-payment for their hospitalisation, in this phase of the last 30 days of life.

The demographic and morbidity data present were evaluated and the records regarding the symptoms presented by the patients in the last 30 days of life, as well as the strategy aimed at symptomatic control, were reviewed. Gastric intubation, intravenous hydration, algae and intravenous punctures used to ensure hydric, caloric and medication administration in terminally ill patients, the objective was to perceive if there is an attitude directed more towards cure than towards the problems felt by the patient at the end of life. Then, a translation of these records was made in terms of the economic values of these resources, in order to understand the possible unnecessary expenses and, thus, to elaborate a model that helps in the decision making.

An analysis of the daily costs of user care was carried out and they were divided according to their dependence and clinical needs at the end of life. In the end, it was possible to establish a real value of these needs, which, in contrast to the co-payment value, is not sufficient to suppress.

2. Review of Literature

The World Health Organization (WHO) estimates that more than 40 million people in need of Palliative Care worldwide each year and recognises the efficiency and cost-effectiveness of various forms of Palliative Care organization in relieving suffering. According to it, Palliative Care is an approach that enhances the quality of life of the individual (and his/her family), who faces an advanced and life-threatening disease, through the prevention and relief of suffering. Palliative Care should be introduced as soon as possible when the first unresolved needs arise. They should be maintained and intensified throughout the disease process, as they are most needed in the advanced stage. Treatment measures and those that are palliative coincide in time; with the progression of the disease, they are moving towards exclusively palliative management in a gradual and individualised manner (Ministerio de Sanidad, Política Social e Igualdad, 2011; cit. by Alves, 2015).

2.1. National Integrated Continuing Care Network

The National Network of Integrated Continued Care (NNICC) was created by Decree-Law no. 101/2006 of 6 June in a partnership between the Ministry of Labour and Social Solidarity (MLSS) and the Ministry of Health (MH) and is made up of a number of public sector and private sector institutions, both profit-making and non-profit. In partnership, these institutions provide tailored care focused on the needs of individuals, in response to the socio-demographic changes that have occurred in recent decades. This response has been developed for people in a situation of dependency, who benefit from continued health care and social support regardless of age. Such care can be preventive, palliative or rehabilitation (Portugal, 2006).

Users are referred to the NNICC, according to the criteria previously established for each typology, by the senior management teams of acute hospitals or by the primary health care referral teams. The local coordination team of the user's area of residence evaluates the referral process and places the user in the unit with a vacancy, using the geographical options previously made by users or families during the referral process (Portugal, 2017).

The reference criteria for the NNICC are people with functional limitation, in the process of chronic illness or following acute illness, at an advanced or terminal stage, throughout the life cycle and with health care and social support needs. The following situations are also general conditions for admission to all types of NNICC: enteric feeding; treatment of pressure ulcers and/or wounds; maintenance and treatment of stomas; parenteral therapy; respiratory support measures, namely oxygen therapy or assisted ventilation; therapeutic adjustment and/or administration of therapy, with continued supervision (Portugal, 2017).

2.2. End-of-life costs and their financing

The NNICC management model involves the decentralisation and contracting of services. It has three levels of coordination (local, regional and national), with teams composed of elements from the health and social security area. The costs resulting from the provision of health care and social support in the network are shared between the MLSS and the MH (Portugal, 2011).

There is also a component of financing that comes from the user's and/or households' share in proportion to their income, which is determined by the resources condition at the time of referral to the network. This component is only intended to co-finance the percentage of expenditure from social support and is ultimately fully supported by the MLSS. It should be noted that, in addition to the fixed price paid per user/day, to the providers, the network has costs associated with the referral and monitoring of the units

which are frankly exacerbated by the cost per bed in the NNICC, demonstrating the urgent implementation of corrective measures at this level.

The spring 2011 report revealed that the "real average daily cost" of a patient in the integrated long-term care network was 82 €/day, with an average daily hospital stay of 403 €/day. He added that an inpatient bed at the NNICC has an average cost of €82 per day but the average cost of a day at the NNICC is €237,941. (OPSS, 2011).

In this regard also the National Continuing Care Association (NCCA), in its report of 2017 proposes a study of the actual daily cost per patient in the different types taking into account the changes imposed by current legislation, the change in profile and characteristics of users referred to the NNICC, in order to make a correct and fair calculation of the amounts to be paid per user either by the Ministry of Health or the Ministry of Labour, Solidarity and Social Security. This daily cost is very different (higher) when we talk about integrated long-term care units in the interior of the country so there should be an increase in these situations.

In a study Geue *et al.* (2016) comparing the costs of internment based on geographical variation, they also conclude that rural areas suffer greater challenges to provide end-of-life care, thus, once admitted to hospitals in urban areas, the costs increase significantly, and also the lack of family care and social conditions become a reason for not being discharged.

Perhaps this allocation of resources should be done through more appropriate strategic planning. That is, end-of-life user care should be recognised as a specific area, with very specialised training and targeted at this area of work, because perhaps then, with greater knowledge, it would be possible to optimise the distribution of patients.

Complex patients with functional dependencies generate higher costs, which are doubly higher than patients with similar levels of comorbidity but who are not functionally dependent. Alzheimer's and other cognitive dementia patients also significantly increase the costs and time of using health services (Bynum, Rabins, Weller Niefeld, Anderson and Wu, 2004, cit. by Holland, Evered and Center, 2014). Inappropriate strategies at this stage of life can lead to unnecessary suffering for patients and their families (Alves, 2015). According to Holland, Evered and Center (2014), about one third of the costs associated with health expenses incurred in the last year of life are mostly incurred in the last month of life. This is because much of these costs result from life support or multiple visits to hospital and a poorly coordinated care network, suggesting that there is potential in the need to reduce or avoid some of these costs and thus improve patient care.

Only when the total costs of a complete cycle of treatment, with associated complications and comorbidities, are perceived can a price per patient be determined that is financially sustainable for the institution. Several studies show that the use of palliative care allows for significant savings in health expenditure, especially in the last month of life when it can reach 25 to 40 per cent of expenditure (Ribeiro, 2014).

3. Methodology

The study is of a quantitative, retrospective and descriptive nature. This study is the result of a retrospective analysis, of a review of the clinical processes, namely the last 30 days of life. It is a case study, which after the analysis of the results, will propose a management model and verify the practices in use in the institution.

The demographic and morbidity data present were evaluated and the records of the symptoms presented by the patients in the last 30 days of life, as well as the strategy aimed at symptomatic control, were reviewed. Gastric intubation, intravenous hydration, algae and intravenous punctures used to ensure hydric, caloric and medication administration in terminally ill patients, the objective is to perceive if there is an attitude directed more towards cure than towards the problems felt by the patient at the end of life. Then, a translation of these records, in terms of the economic values of these resources, will be made in order to understand the possible unnecessary expenses and, in this way, to elaborate a model that helps in the decision making.

The case study methodology aims to answer questions of how and why, from real contexts, in the life cycle of the organisation. It is a method commonly used in the field of economic sciences, to study organisations and behaviour, and can use qualitative, quantitative or even both. The aim is to interpret and analyse the results in their own context. One of its most important features is to concentrate on a single case through the exhaustive and detailed analysis of the data relating to that case, opening up the possibility of increasing knowledge about that specific object of study (Ribeiro, 2014).

The population of this study corresponds to a total of 249 users, who passed through Mercy's LTCMU between the period of August 2015 and August 2018, of which only those who passed away while admitted to LTCMU were considered for sampling.

The sample selection process for this investigation was non-probabilistic, accidental. A total of 57 users who were admitted to LTCMU were analysed. Inclusion and exclusion criteria were established. Inclusion criteria were included: (1) death occurred during their stay at LTCMU, even when they were in a reserve position; (2) the analysis focused on the last 30 days of life or shorter, depending on the length of stay; (3) limited between the period of August 2015 and August 2018.

4. Results

Data were collected using an excel table, then excel databases were carried out, where the individual values of the procedures under analysis were determined. The reports of the years under study were analysed in order to obtain information on the costs of external supplies, depreciation and amortization values. Some of the data were submitted to correlational analysis in order to understand the relationships between some of the variables under analysis and for these the SPSS software application was used as a resource.

The demographic data, in terms of gender, age group, referencing, provenance, degree of dependence and length of stay, are presented in Table 1.

Table 1. Demographic data

Demographic data		Frequency	%
Sex	Male	32	56.1
	Female	25	43.9
Age group	20-29 years	1	1.8
	30-39 years	1	1.8
	40-49 years	2	3.5
	50-59 years	1	1.8
	60-69 years	5	8.8
	70-79 years	15	26.3
	80-89 years	22	38.6
	90-99 years	10	17.5
Referencing	Hospital Centre	36	63.2
	Transfer NNICC	9	15.8
	Home	8	14.0
	Palliative Care Units	4	7.0
Degree of dependence	Dependent Total	47	82.5
	Dependent Partial	10	17.5
Hospitalization time	1 to 30 days	20	35.1
	31 to 60 days	10	17.5
	61 to 90 days	6	10.5
	91 to 120 days	5	8.8
	151 to 180 days	4	7.0
	181 to 210 days	1	1.8
	211 to 240 days	1	1.8
	271 to 300 days	1	1.8
	301 to 330 days	3	5.3
	331 to 360 days	1	1.8
	Over 360 days	5	8.8

Source: Authors.

As can be seen, the majority of this sample is male and the predominant age bracket is between 80 and 89 years, with the period between 70 and 99 years corresponding to 82% of the sample. For only 10 users of those who died, the death occurred before 70 years of age.

The reference is mainly Hospital Centre, being the Hospital Centre of Lamego the one that most references users to LTCMU of Sernancelhe Mercy. This is followed by transfers between units, which is possible due to the proximity to the area of residence (of the own or the carer).

The users are referenced according to some criteria defined by the NNICC itself, being the dependency one of them. Because it is an LTCMU and because research has been carried out on those who have died, 82% of these users are totally dependent and the rest have a partial.

The length of stay refers to the length of time the user has been in the LTCMU and the length of time the user has been in the Gestcare platform as a user admitted to this LTCMU. This is because, in case of worsening (worsening of their health) the user is entitled to a reservation period of 8 days, which can go up to 12 days, in specific cases and defined in the NNICC. In some of these users analysed, the death occurred in the hospital. However, the user was in this level of vacancy reservation, which despite not being reimbursed this daily amount, he continues to account for the occupancy rate (amount that is reversed in revenue, as a financial sum).

One of the most important aspects that was possible to ascertain in this survey was that users are referenced already at a very late stage of their lives, the vast majority of users who died, were not even 2 months in LTCMU (about 50% of the sample), and some of them have a stay of 5 to 9 days. They are debilitated users who are referred because their relatives are unable to receive them at home, or have no caregiver, and the hospital refers them to respond, often to social problems, and in this case also with the criterion of the need for palliative actions.

The vast majority of end-of-life patients have a need for dressings, due to the presence of pressure ulcers, stomata and surgical wounds, often caused by the introduction of an external. It has also been found that more than 60% of patients have a bladder and nasogastric tube at this stage of the last 30 days of life.

In the study by Bailey *et al.* (2005) the indicator of reduction of interventions such as NGS was negligible, since there is a lot of resistance to change in this respect, either because it is a form of feeding or also because it is one of the main routes for the administration of medication, among them analgesia. Almost 80% of users need to aspirate secretions, because also in this final stage of life, the presence of abundant secretions, the so-called estertor, is another symptom, as well as, when the user no longer tolerates feeding and is in the process, leading to the need to aspirate food content, or placing a drainage probe. Serotherapy is often placed as a response to a zero diet, as a way to hydrate and administer medication at the end of life. In about 60% of users this was the procedure prescribed by the doctor and administered by the nursing team. Finally, medicinal gases, about 80% of the users needed to perform oxygen and nebulizations, because some of the medication is administered on this route of nebulization. An analysis of the computer records of the nursing team was carried out, in order to ascertain the practices in use at LTCMU, and also focused on an analysis of the records in symptomatic terms, in order to understand which symptoms are valued and, in this way, are present or not, in the users in the last 30 days of life, as well as those end-of-life symptoms which should be recorded at the end of life, but were not in some way valued and are therefore as unregistered. For this symptomatic choice, we based ourselves on the study by Carneiro *et al.* (2011).

It is crucial to group patients into categories, as their individual characteristics determine different levels of resource consumption, thus obtaining the real cost of each patient type. This information will be important in resource management, since a unit within the NNICC does not choose patients to admit and is constantly remunerated, regardless of the individual characteristics of the user.

The totally dependent patient (TD) has multiple needs, which consume more resources than the rest. On the basis of the study carried out by the National Institute of Administration in 2009 to characterise the

users of the National Integrated Continued Care Network and on the basis of the historical data of this unit, the TD is considered to represent around 60% of all users of this unit. The partially dependent patient (PD), on the other hand, has needs to a lesser extent, but needs support in day-to-day tasks and surveillance and using the same method used previously, it is considered that this represents approximately 30% of the total users of this unit.

Although it is the most dependent users who require the most clinical and nursing care, they also have the least interventions from the multidisciplinary team. This is because occupational therapy, socio-cultural animation, speech therapy, physiotherapy and psychology focus more on the aspect of rehabilitation and training of functionalities and cognitive stimulation.

In order to be able to calculate a daily value, the rule has been maintained that on average, the dependent users (TD) in LTCMU correspond to about 60% of capacity and the partial dependent (PD) will be 30%. Therefore, after calculating the allocation per professional, the value was divided by 18 users (60% of 30) in the case of TD, and by 9 users (30% of 30) in the case of PD, then this result was divided by the number of days to which it corresponded in time (depending on the year under review). This produced an average value per professional, depending on the year in question, for each of these types of users.

In addition to the value allocated to human resources, expenditure on external supplies and services (which includes expenditure on specialised services; materials; energy and fluids; travel, accommodation and transport and finally other miscellaneous services) was taken into account and then divided by the 30 users and the number of days under analysis.

Finally, the analysis was made for depreciation and amortization, the costs of wearing out assets, which were also calculated for the period and then divided by the 30 users and the number of days under analysis. It was considered that these, should be equally distributed and allocated to all patients, since regardless of patient type, the facilities and equipment are at the service of all and their use will be approximately similar.

Therefore, the average value per user per day was calculated, whose values are shown in table 2.

Table 2. Daily cost per type of user							
Price per day (€)							
2015		2016		2017		2018	
TD	PD	TD	PD	TD	PD	TD	PD
45,99	54,64	62,9	70,77	63,88	71,63	59,61	68,81

Source: Authors.

Considering the sums between the daily value obtained in the allocation of human resources, with the provision of external services and the rate of depreciation and amortization, together with this average analysis of the price of goods and material consumed per user, a value closer to reality was obtained, considering the needs of users in the last 30 days of life.

Table 3. Price per day calculated

	2015		2016		2017		2018	
	TD	PD	TD	PD	TD	PD	TD	PD
<i>Human Resources / External Services Supply / Depreciation</i>	45,99	54,64	62,9	70,77	63,88	71,63	59,61	68,81
<i>Clinical material and practices</i>		12,25	20,88	9,95	28,97	15,55	21,31	7,97
<i>Value Day</i>	58,24	66,89	83,78	80,72	92,85	87,18	80,92	76,78

Source: Authors.

As can be seen from table 3, in average terms, this is equivalent to a daily cost of €78.94 for TD, and €77.89 per day for PD, instead of the current payment of €62.15, which each LTCMU user receives per day.

The institution loses out at the end of this period, with a negative balance, as it receives the current value of €62.15 per dependent user per day, whereas in reality it should receive the established value of €78.24, thus reverting to a daily negative balance per user of about €16.09, which in one month is less €482.70 per user.

After analysing the data, in terms of correlation between the two variables, it is concluded that there is a statistically significant difference between the value of revenue and expenditure. As the p-value is below 0.05 for a 95% confidence interval.

After the presentation of the data we must analyse them and understand them, as a management, namely what aspects can be worked on in order to reduce costs for the Institution, not diminishing the quality of the services provided to the end user. In this context there are some questions that arise that may help us to define a decision-making model.

Observing our data, focusing on the institution under study and the care provided to the end-of-life user, always based on the fact that care of excellence and quality raise costs, the question arises: would it be possible to reduce in number or costs, human resources?

And as management, this may be one of the points to be reviewed. Not that there are too many staff, but perhaps they could be allocated to other social responses, or else, taking into account the legal standards for LTCMU, the institution could restrict some of the professional profiles to those required by ordinance no. 50/2017. To resort to external services, for example, in partnership and the elaboration of protocols with other institutions, since it does not involve so much investment on the part of the institution. Seek to dynamise voluntary service in the community and accept candidates for curricular and professional internships. Make applications to the Institute for Employment and Professional Training for the hiring of unemployed people or incentive internships, for some periods. But also, as ANCC (2017) reinforces the obligation to increase the workload of certain professional groups, especially nurses, without revising the amounts paid to the integrated long-term care units, translates into the escalation of costs that has been occurring in recent times.

There should be a protocol for care in the terminal phase, to be followed by the multidisciplinary team and articulated with one's own and the family (such as Liverpool Integrated Care Pathways), which will allow for the standardization and standardization of behaviour, integrating effective and efficient

communication with one's own and family members, readjusting expectations and preparing for the moment of departure (bereavement). This should integrate:

- Discontinuing non-essential medication;
- Opting for subcutaneous medication, if possible, because it is less invasive and painful;
- Discontinuing interventions that cause pain, such as clinical analyses, intravenous fluids and observation of vital signs;
- Allow the spiritual and religious needs of the patient;
- To outline the way to communicate (procedure of communicating bad news with the relative);
- Establish a plan of comfort care: introduction of analgesia and reduction of symptoms; elimination of some instrumental procedures; psychosocial interventions; spiritual support; environmental modifications (improving nutrition);
- To train the team, in order to ensure technical consistency, these procedures are established and training is given;
- There is the non-resuscitation order (NRO) which is a clinical process, reflecting the level of communication with the patient and his/her family members necessary to understand the value of their preferences and the exchange of information about interventions and prognosis (Bailey *et al.*, 2005). The aim of this model is to reduce the costs of interventions by limiting or discontinuing some procedures, based on the palliative care model, while maintaining the quality of service and care for the user, as this is the only way to move from curative medicine to palliative medicine.

5. Conclusion

After this research we can answer some of the questions that were raised at the beginning, first of all to understand that the practices in use in the institution are assertive and meet the welfare and quality of service provided to end-of-life users, but can be complemented with the support of a model of palliative care, which is verified to meet the needs of users admitted to LTCMU.

The implication of this study is that the needs of end-of-life users are being unduly reimbursed by the State. Patients are placed at LTCMU by the criterion of dependency and their rehabilitation time, however, about 60% of these patients have no rehabilitation capacity and when they arrive at LTCMU they are in a very advanced stage of illness, with comfort care and palliative actions being their main care. These patients require a whole team, a renewal of their training, a new look and the need to adjust their expectations. Also with the families have to readjust their expectations, the fact that they are discharged from hospital, gives a false sense of improvement in health, as well as admission to NNICC strengthens the sector of rehabilitation and especially physiotherapy.

Although it is an LTCMU, there are already established practices and procedures that seek to respond to the real needs presented by users and not only to their criteria of dependence or rehabilitation. However, it is clear that for a quality service provision that allows for a personalised look at the individual needs of the users, higher human resource costs, ranging from the possibility of training and their specialisation, to their professional development, are also required. This also implies a greater challenge and limitation for some of these professionals in geographical terms.

By analysing an Institution considered as being from the North zone, but based in a central interior zone (Sernancelhe), it was possible to find some regional constraints, among which referral (the reference Hospital Centre of the zone is Viseu, which because it is from the central zone, rarely refers); the rotation of users (who, as they are from areas with more North coast, ask for transfer as soon as they are admitted); the lack of means of transport (and the road accesses); the offer of training (as they are from the North area, the training takes place in Porto, or in Mirandela, and the Institution is not remunerated for this displacement).

Other constraints of this LTCMU are the difficulties in releasing social vacancies; difficulties in hiring human resources (mainly speech therapy and occupational therapy, as these are 20-hour services); turnover in human resources (there is a lot of change, mainly in nurses, partly due to job offers in more attractive and better paid urban areas).

LTCMU are considered the poor relative of the NNICC, but the response is less co-funded, with a requirement for allocation of human resources and user typology that condition the higher health costs. Being from within, as analyzed in the theoretical review, greater challenges are presented to these institutions. In addition, clinical and end-of-life care exceed in expenditure the co-payment value, and there is no distribution according to the needs of the user, but a standardised value based on dependence, which, as has been seen, only corresponds to about 30% of the admitted population.

Based on the theoretical revision presented and on the studies that argue that a palliative model presents a reduction in costs, a decision making model is suggested where the procedures to be reviewed are listed, in case this is possible. It is also suggested that Mercy Sernancelhe should involve professionals in reducing costs and consuming resources, which will directly result from the training received and the implementation of this model, as well as an internal policy of employee satisfaction.

If the organisation increases its efficiency and provides care of excellence, it will be more competitive. It can move towards quality certification and bet on applications that allow it to obtain some financial return.

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GERI PILACA¹

THE RWANDAN GENOCIDE AND THE UN

Abstract

The genocide that occurred in Rwanda during the year 1994 is one of the most recognizable crimes of the last decades. Such event took a heavy toll not only on the Rwandan population but also on the international bodies and specifically on the United Nations which weren't able to prevent it. However, the incapability of the UN to stop the genocide should not be analyzed from today's perspective but rather it should be taken into consideration the given context in which it was operating as well as its modes of functionality and the distributed responsibilities among its institutions. Therefore, in order to assess the operation of the UN in Rwanda and to shed a light upon the reasons for failing to prevent the genocide to happen I will firstly provide an overview of the origin of the conflict and then continue with the main actors which were to administer such conflict as well the institutions that were established for this specific case.

Keywords: Rwanda, genocide, United Nations

JEL Codes: B50, B52, D74

1. Introduction

The decades-long tensions between the two main tribes of Rwanda, Tutsis and Hutus, escalated in the early 1990s in the form of civil war. To normalize the situation and put peace to the warring state and out of fear for a spill-over effect in other surrounding countries, the international community, primarily the United Nations and the African Union became highly involved. After the Arusha Accord was reached in 1993 which both the Tutsis and Hutus signed as a cease-fire agreement under the mediation of the African Union and UNAMIR it was seen a sign that the international community managed to establish and preserve peace in the country. However, as both parties resorted to war a years later after the assassination of the Rwandan Hutu president, it showed that the UN has not been fully capable of preserving the peace and preventing the genocide. Faced with financial and mandate constrains, and the negligence and hesitation from the New York headquarters, its mission agency in Rwanda (UNAMIR) could only conduct damage control and assist in the management of the humanitarian crisis that the genocide produced. Peace would be restored months later when the military group led by Tutsis would win the war against Hutus and take control of the government. Following such event, the UN established the International Criminal Tribunal for Rwanda to condemn the war crimes conducted during the civil war and help with the reconciliation process. Regardless of peace and justice have been restored, the inability to prevent the genocide had left an imprint in the UN which served as reason for the further reforming of the peacekeeping operations to come.

2. Background of Rwanda and the history of the conflict

Rwanda was a primitive kingdom constrained by the Tutsi minority. The Tutsis were for the most part cow herders while the Hutu ethnic majority was for the most part laborers who worked the land and were serfs to the Tutsi privileged to whom they owed fealty and charges. However, Rwanda came under the German dominion after the Berlin Conference but was ruled indirectly by the king known as Mwami (Appiah & Gates, 2010). After the end of the First World War, Rwanda was placed under the Belgian mandate when the winning powers divided the German possessions. This country was administered by

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Belgium through a Tutsi king and established a clear-cut division between the two ethnic groups. The Belgians took the initiative in 1956 to hold elections that shook the feudal and monarchist order (Philpot, 2013).

In November 1959, the Hutu majority in Rwanda rebelled against the Tutsi aristocracy. Many Tutsis fled to neighboring countries while others died. These events would engage the UN to hold a referendum on the independence of Rwanda which it would be gained on July 1st, 1962. However, the conflict would continue until 1973 when the Hutu General Juvénal Habyarimana would come into power during an operation with the purpose of overthrowing the Tutsi elite. From 1973 to 1990, Rwanda would become stable under the Hutu government while the Tutsis would plan to take the power back later on. Eventually, on October 1st 1990, the Tutsis, via the Rwandan Military Front, started to invade Rwanda with the purpose of restoring their dominion (Ibid.).

In 1992, the Rwandan President, Juvenal Habyarimana, engaged peace negotiations with RPT due to international pressure. In spite of that, the RPT were against the negotiations and continued with their military actions. As a result of this critical situation, in 1993, the Organization of the African Unity, served as a mediator between the two parties which helped them lead to a peace agreement called the Arusha Accords, in Arusha, Tanzania.

The accords were at the basis a cease-fire agreement and would serve as a transition to the formation of joint government comprised of both Hutus and Tutsies. However, the situation would change when in January 1994, president Habyarimana would be shot dead and the RPT was considerate as responsible for that. It was in that particular moment when army officials and other organized groups of Hutu ethnicity would engage in a mass killing of the Tutsis and other moderate Hutus who were more supportive of the peace talks. In the absence of an intervention by the international organizations and other countries, the genocide would be counter attacked by the army of the RPT.

The conflict would only end in July 1994 when the RPT would take control of Rwanda and form a new government which was recognized by the UN. (*Rwanda: How the genocide happened*, 2011).

3. The role of the UN in Rwanda

In the section above, I provided a background of Rwanda as well as the origin of the conflict which surely had received media coverage during that period. Regardless of that, the story of the conflict in Rwanda is not comprised of domestic actors but as well of international actors and predominately by the UN. This section will try to uncover what was UN's play in all of this and what were the driving factors that made it act in the way it did regarding Rwanda. Moreover, I will discuss the implications of these decisions and how the UN had changed since then. Before jumping to these discussions, It is necessary to briefly illustrate the composition of the UN and its working philosophy at that time.

3.1. The functioning of the United Nations

The UN is a conglomerate of institutions which are tasked with specific issues that have affected the world. The main institutional framework of the UN derives from its Charter and is divided in 6 main bodies: The General Assembly, the Secretariat of the General Assembly, the Security Council, the International Court of Justice, the Economic and Social Council Trusteeship and the Trusteeship Council.

General Assembly (GA) is the principal institution where all of the issues, ideas and agendas are being discussed commonly each year. Moreover, it is in this place where the solutions to different problems are provided and where the universal role of the UN as regards to the problem-solving aspect is being

showcased. Usually, the philosophy and practice that the GA follows in terms of voting for the subject-matters is “one vote for one member”, while for other issues which require more involvement of other stakeholders, specifically regarding security matters, the two-thirds vote is applied.

As an incremental part of the UNGA is the *Secretariat*, which deals with the daily tasks of the UN and makes sure that things run smoothly and as expected. With a composition of more than 150 nationalities, the Secretariat spreads its work in several locations across the globe such as in New York or in the Austrian capital, Vienna. At the head of this vast staff and overseeing all of the Secretariat’s activities is the UN’s Secretary General. The staff does not perform only standard procedural tasks but also work on an issue-based approach in regards to the UN’s activities in the World. Its duties are quite varied and depend on the current issues that are faced by the organization. Moreover, the Secretariat may look up to and may oversee some of UN’s operations such as peacekeeping or humanitarian interventions.

Security Council (SC) is the most competent UN body to have a final saying regarding the interventions of particular interests and importance. Usually the SC is the one which makes the hard call for UN in terms of peace and security in the world. In dealing with conflict, the SC has two options: either to decide that the UN should peruse peaceful manners or radical solutions such as military interventions or economical sanctions. Such decisions are provided by the main 5 permanent members: United States of America, United Kingdom, France, China and Russia and 10 temporary members. However, only the 5 member states have the veto power which makes it the primary group of states that decide for UN’s actions.

International Court of Justice (ICJ) is UN’s primary judicial institution which, since from its establishment in 1949, has dealt with hundreds of disputes, some of which are widely recognizable. It is composed of 15 judges which are elected every 9 years by the Security Council and the General Assembly. Despite making legally binding decisions, the Court can also provide legal opinion or advises for any of the UN’s institutions. The court is situated in the Hague, Netherlands and has other offices spread in different countries and functions with the help of its Registry.

Economic and Social Council Trusteeship (ECSCT) is an institution comprised of 54 members that are elected by the General Assembly and it mainly takes care of humanitarian, cultural, economical and social issues. Such issues are being relocated to specific commissions and UN agencies which are overseen and coordinated by the ECSCT. In this context, this formation of collective work makes up for the majority of the financial and human resources that are under the utilization of the whole UN.

Trusteeship Council (TC) is a UN body which has finished its operation since November 1994 but nevertheless, it had a very important role in the world. During its times of operation, the TC would make sure that the word of UN would spread among its Trusted territories which aimed for their independence and sovereignty (Aldridge, 2005).

3.1.1. Main principles up until the Rwandan genocide

The UN was established with the duty of preserving peace in the world based on the common framework of the collective security. Andrew Heywood would define the collective security as “The idea or practice of common defence, in which a number of states pledge themselves to defend each other, based on the principle of ‘all for one and one for all’” (Heywood, 2011). This sense of commonality has been the driving principle which has made it possible for the states to be more united in times of peace and war. One of the most efficient ways of preserving peace in the world was through the peacekeeping operations in areas of conflict.

During the Cold War, the peacekeeping operations were utilized as a mechanism of stabilizing the situation and mediating between the parties involved. However, the operations were quite limited primarily due to the veto power of the USSR which prevented the UN from interfering in several parts of the world. Meanwhile, the UN was as well serving to other agendas, namely the decolonization processes mainly in Africa and Asia.

After the end of the cold war, the UN would redefine the rationale of their missions in the world during the era of the Secretary General Boutros Boutros Ghali who introduced the “Agenda for Peace”. In light of such agenda, Ghali would introduce the preventive diplomacy, peacemaking and peace-building as necessary measures for facing the conflict from its conception until its escalation as he believed that the UN up until the early 90’s had intervened only after the war had erupted (Ghali, 1992).

The introduction of “A new agenda for peace” came in the time when new problems which went beyond the state structure were emerging. As new non-state actors would emerge and humanitarian crisis were spread in many of the post-war areas it was seen that the late interventions weren’t enough. For that reason, Ghali provided a framework of dealing with these issues which had more focus on the human dimension and the establishment of strong and democratic institutions as crucial to not only peace but also to prevent the conflict from re-emerging (Ibid.,). In addition, economical development, justice, security and reconciliation were deemed as necessary in order to contemplate this framework which was channelized within the state-building process.

3.2. UN deployment in Rwanda and the main actors

The international community pursued different paths in trying to intervene in Rwanda prior to the eruption of the genocide. Throughout the time-line of the conflict, the most interactive and intervening force would be the UN through the deployment of the United Nations Mission in Rwanda, the establishment of the International Criminal Tribunal for Rwanda, the competences of the Department of Peacekeeping Operations as well as of the Secretary General and the Security Council. While the UN nations remained the international organization which had the key role in the conflict, other actors such as the Organization of the African Unity tried to ease up the tensions between the Hutu government and the RPT. For this reason, in order to explain the dynamics of the event and the role that each of these actors had played I will briefly provide a discussion regarding each of them as well as their interaction with one-another.

3.2.1. OAU and the Arusha accords

The OAU was an international organization established in 1963 and was followed up by the African Union in 1999. Its functions and duties were sanctioned in its Charter with the purpose of bringing the African countries together through cooperation in different levels and promoting peace, freedom, justice, equality and dignity for the people of this region. In spite of that, the OAU was concerned also with supporting the sovereignty of the African states as well as the decolonization process of several states. The charter also predicted the principles by which the Organization had operated:

1. The sovereign equality of all Member States;
2. Non-interference in the internal affairs of States;
3. Respect for the sovereignty and territorial integrity of each State and for its inalienable right to independent existence;
4. Peaceful settlement of disputes by negotiation, mediation, conciliation or arbitration;
5. Unreserved condemnation, in all its forms, of political assassination as well as of subversive activities on the part of neighbouring States or any other State;
6. Absolute dedication to the total emancipation of the African territories which are still dependent;

7. Affirmation of a policy of non-alignment with regard to all blocs. (OAU CHARTER)

Following these principles and modes of conduct, the OAU approached Rwanda as a competent organization with mediating techniques. Such attempts refer to the Arusha accords which comprised of several rounds of talks between the representatives of the Government of Rwanda and the RPF. In these talks, the OAU not only would provide the place where the talks would be held, namely Arusha, Tanzania but also would engage the Prime Minister of that host country into the mediation process. Moreover, the OAU established as well the Neutral Military Observer Group and the Joint Political Military Commission in order to safe-keep the peace process. At the end of the process, a cease-fire agreement was reached between the conflicting parties and was considerate as success of the OAU, at least for a short period of time. (Tarr, 2015).

3.2.2. United Nations Mission in Rwanda

The United Nations Mission in Rwanda (UNAMIR) was the main tool of interference in Rwanda which occurred in the midst of the Arusha accords with the duty to make sure that both parties would respect and implement the agreement that was reached. Its establishment was made through the Resolution 872 of the Security Council and was a follow up to the United Nations Observer Mission in Uganda and Rwanda, which was to prevent any military assistance from arriving in Rwanda. In light of the given context, such intervention was based upon the “intervention by consent” practice which meant that the UN had the right to intervene in a country only if it had the consent of the latter. Accordingly, the Rwandan government requested the assistance of the UN in this case and thus it provided the right for the Security Council to make the call for the intervention.

By its nature, the UNAMIR was operating under a peacekeeping framework and was in constant communication with the Department of Peacekeeping Operations as it was the coordinating institutions for these sorts of missions in the world (United Nations Department of Information, 1996).

3.2.3. The Department of Peace-Keeping Operations

The Department of Peace-Keeping Operations (DKPO) is a political and military department of the UN and is in charge of coordinating and managing the peacekeeping operations of the organization in all the areas of the world. Its inception can be traced back to during the era of the Secretary General Boutros-Boutros Ghali and specifically to his “Agenda for Peace”. Prior to that, DPKO was functioning under the Office for Special Political Affairs (OSPA), an office which had a two-tier function, to deal with peacekeeping and peace-building operations. By the arrival of Ghali in office, OSPA was split into the Department of Peace-keeping Operations, which would only deal with peace-keeping missions, and the Department of Political Affairs, which would oversee the UN peace-building part. This decision of Ghali was at the Post-cold war momentum where there was a triumph of the liberalism and the UN would have more grounds to operate (Salton, 2017).

During the Rwandan conflict in the early 1990’s, the head of the DPKO was Kofi Ann who later on would be nominated as the Secretary General of the UN. Annan, who was often accused of being an overly bureaucratic person, was in charge of handling a situation which was in it self-a bureaucratic headache. Despite the DKPO being the responsible institution to coordinate the peacekeeping operations in the world, it still had to rely on the cooperation with the Secretary General, Security Council as well as the field experts in the given area. In the case of Rwanda, prior to the establishment of UNMAIR, the DKPO had to deploy some of its officials into a reconnaissance missions in order to collect information and report back to the Department which would pass them to the Secretary General who then would lend them to the Security Council in order to decide what decision to make based on what it was written (Ghali, 1996).

3.2.4. Secretary General

The Secretary General of that time, Ghali, was considerate as a reformer who tried to give a new face to a UN whose popularity dropped drastically during the Cold War. While it is true that Ghali engaged into a reforming of the UN structure, specifically regarding the peacekeeping missions, he would be facing financial issues as the organization was running on a tight budget and surely the deployment of operations were quite costly. Moreover, Ghali didn't have the support of the USA as the latter didn't agree on his autocratic style of running up the office (Melvern, 2016).

3.2.5. Security Council

The Security Council saw Rwanda as the opportunity to regain the trust of people on the UN and thus, it provided the opportunity to deploy UNAMIR with the intention of securing a safe win. However, the SC was operating under a "business as usual" practice which comprised of rigid managing manners and field experts with low expertise on Rwanda. Moreover, due to the budget constrain and the fact that conflict in Rwanda was underestimated as it was camouflaged by the thin peace that was induced by the Arusha accords, the SC decided to confer UNAMIR with limited duties (Barnett, 2014).

3.2.6. International Criminal Tribunal for Rwanda

International Criminal Tribunal for Rwanda was established by the United Nations Security Council Resolution 955 in 1994 with the duty of prosecuting and putting to justice everyone who was responsible for the genocide in Rwanda and for other violations of the international humanitarian law. ICTR would end its activities in 2015, leaving behind a legacy not only of several cases and prosecuted people but also being the first Criminal Tribunal which preceded others to come. In the latter sections, it will be discussed on its functioning and the cases that it dealt with (ICTR webpage).

3.3. United Nations Assistance Mission in Rwanda

As it was previously stated, UNAMIR was UN's primary mission in Rwanda with the core duty of safekeeping the execution of the Arusha accords. Its Force Commander was the Canadian General Romeo Dallaire, who put a lot of efforts in trying to prevent the situation from deteriorating but nevertheless it was faced with the indifference of the New York Headquarters and with a limited-mandated UNAMIR. Consequently, the genocide occurred and the UNAMIR couldn't do much about it. In order to understand the context of the situation, I will discuss about the mandate of UNAMIR, how it was the crisis managed by it, what were its relationship with the bureaucrats back at the UN main offices.

3.3.1. The mandate of UNAMIR and its structure

UNAMIR was established in 1993 with the duties of providing assistance to the security of Rwanda, oversee the implementation of the Arusha agreement, monitor the process of the establishment of a transitional government, conduct investigations on possible violations of the Arusha accords and report back to the Secretary General, monitor the repatriation of the Rwandese refugees back in the country, provide humanitarian assistance and lastly provide reports on the activities of the police (Security Council Resolution 872, 1993).

The mission was headed by the Representative of Secretary General Jacques-Roger Booh-Booh, followed by the Head of the military division Delleire. The division was composed of 21 personnel mainly deriving from Belgium and Bangladesh and was settled in the capital city of Kigali.

3.3.2. UNAMIR prior to the eruption of the genocide

The year 1993, despite having its alterations, it was being considered a success for the international community as it was seen that both the Hutu and Tutsis were finally coming to common grounds. However, on January 1994, an informant that was working under the commands of UNAMIR informed Dallaire that the Hutu government was planning to conduct a massacre on the Tutsis. Consequently, Dallaire contacted the Department of Peacekeeping Operations about the situation and requested to take a hold of the situation by disbanding the military equipments of the Hutu government. The head of DKPO, Annan, responded to Dallaire by stating that such move would go beyond the mandate of UNAMIR and it was more reasonable to not take any risks as it would endanger its staff. In the meantime, Dallaire would still insist to intervene and requested more troops in order to succeed (Dallaire, 2005).

Moreover, the constant insistence of Dallaire for an intervention created an elusive opinion on his intentions back in New York. From his perspective, it was very difficult to convince them that the proposal to take action was made by a responsible military leader who wanted to prevent a catastrophe from happening and not by a war-dog. Failing to do so, the DKPO not only demanded that the actions of the UNAMIR to be much more restricted but also to present the report of the informant to the President of Rwanda. According to Dallaire, DKPO was acting in this way due to the previous experienced in Africa and specifically in Somalia which was a failed mission and that its implications had generated fear and hesitation in taking further actions in other countries (Ibid.,).

3.3.3. The unfolding of the crisis

The prelude to the genocide that would occur was the assassination of the President of Rwanda Habyarimana while he was travelling by plane on January 1994. In that moment, a crisis committee was formed in order to initially find the replacement of the President. The closest to get the chair of the Presidency was Prime Minister Uwilingiyimana who didn't have the approval of the crisis committee as she was considered incapable of ruling the country. Even though there was a legitimate succeeding individual she was assassinated by soldiers and other armed civilians. Consequently, the crisis committee appointed Colonel Bogosora in charge of the country, who then took the hold of the situation and started to commence genocide. At that point, the RPF leader Kagame who, seeing that the acts of genocide didn't stop and that UNAMIR failed to reach a cease-fire agreement, started to counter attack. Although the Hutu government had more man-power, the RPF soldiers were more skilled in combat and much more tactical which eventually resulted in their victory on July of that same year (Melvern, 2006).

3.3.4. UNAMIR and crisis management

During the events of the genocide, General Dallaire put efforts into convincing both parties in the conflict to reach an agreement. Failing to do so, some of the UNAMIR's Belgian forces withdrew from Rwanda and moreover they persuaded the Security Council to end the mission. On the other hand, Dallaire demanded for more back up in order to sustain the mission and taking control of the situation. Facing a high skepticism from the Security Council and especially from USA which, from the fear of repeating the failure of its intervention in Vietnam, was to withdraw the UNAMIR forces out of the country, Dallaire was found in a tight situation. After ongoing debates on the fate of UNAMIR, the Security Council decided to provide more soldiers in assistance to Dallaire. Nevertheless, the support would come two months after the genocide erupted. At this point, UNAMIR could only try and provide assistance to the dispersed people as well as food, water and shelter (Dallaire, 2005).

3.4. International Criminal Tribunal for Rwanda

The establishment of the tribunal was conducted in times where the stability of the country was back in place. Regardless of that, the reputation of UN was as lower as it could have gotten considering the incapability to prevent the death of 800.000 Rwandan citizens. At that point, the pressure to redeem itself would be embedded within the ICTR, which eventually set a new model for the international justice system.

In history, the ICTR contributed to the bolstering of the criminal justice system and set the standard for the other criminal tribunals to come. As a ground-breaking achievement, the Tribunal was the first judicial instance from which people were convicted for genocide and moreover it was the first to provide a definition for rape in international criminal law as well as recognize it as an act of genocide (ICTR webpage).

However, the Tribunal faced many financial and administrative issues at its early stages which were highly related to its identity and time of formation. During that period, the UN was undergoing a financial crisis and the provision of the staff for the Tribunal was quite costly. Moreover, due to the fact that it was a temporary tribunal in a poor country such as Tanzania made it quite difficult to convince people to come and work there (Kilemi, 2014).

Regardless of the situation, the Tribunal kept functioning for more than 20 years when it finally closed the doors in 2015. During its operational time, 93 people were indicted and 61 were sentenced for crimes against humanity and genocide (Leithead, 2015). Many of the Tribunal's decisions were not only serviceable to the common practice of the legal apparatus but also to the stabilization of the situation in Rwanda. While it is true that the population was living in peaceful times, the genocide had left psychological consequences and feelings of anger and resentments. In the middle of the situation, the Tribunal was as well seen as an opportunity to provide grounds for reconciliation (Nsazuwera, 2005).

4. Reflections upon the genocide

The outcome of the Rwandan genocide left the whole international community at a moral deadlock and put a heavy toll on them. In the year 1999, the Secretary General of that time, Kofi Annan, ordered an enquiry on the activity of the UN in Rwanda prior and during the genocide. The inquiry would come up afterwards with a long detailed report from which, it was stated that the Secretary General and the Security Council at that time were responsible for letting the situation to get out of control. Moreover, it was stated that the UN didn't have the will or resources to do anything and also that the operation was conducted by erred calculations (Annan, 1999).

Months prior to the publication of the inquiry, Kofi Annan would address a speech to the General Assembly in which he criticized the decision-making of the Security Council on Rwanda and a year later he would state that the protection of humanity should come before the sovereignty of a country. Consequently, these words would be transposed to the actions of the Prime Minister of Canada at that time who, through the establishment of the International Commission on Intervention and State Sovereignty, introduced "Responsibility to Protect". Such initiative comprised the idea that a sovereign state should be the one to take the responsibility to protect the lives of its citizens and in failing to do so, it would grant the international community the right to intervene. Although the baseline of such initiative of doctrine seemed progressive, it still was seen with high skepticism by the UN member states and especially by the members of the Security Council. After year of debates, the "Responsibility to Protect" would become more and more embedded within the philosophy of the UN interventions (Carter & Malone, 2016).

5. Conclusions

The actual state of the UN played a major role in its inability to keep the situation in Rwanda under control and without any casualties. It was seen that providing UNAMIR with a limited mandate to safe-keep the implementation of the Arusha accords was a result of a lack of seriousness and underestimation by the Security Council. Moreover, the difficult financial situation that the UN was undergoing made its mission running on limited resources. In addition, the negligence to take into consideration many signals that warned about the planning of the genocide showed that the UN was hesitant into taking any sort of military intervention due to the past experiences. Such issues would be reflected as soon as the genocide would erupt where UNAMIR could not take any action to prevent it and moreover, it was facing the abandonment by the officials in New York Headquarters. After the genocide had come to an end, the establishment of the ICTR was seen as UN's first redeeming action in trying to bring justice and help the people of Rwanda find reconciliation. As a follow up, the UN went through a process of self-critique by acknowledging its limitations and failures and decided to embrace the "Responsibility to protect" doctrine" in the years that followed.

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IRINA ANA DROBOT¹

THE COURT DANCER BY KYUNG-SOOK SHIN: CULTURE SHOCK AND REVERSE CULTURE SHOCK

Abstract

The purpose of this paper is to raise awareness about the existence of differences between cultures which can trigger culture shock. What is more, the paper intends to raise awareness about the experience of reverse culture shock, as well, which refers to the difficulties in adaptation to the old way of life upon the return home after experiencing time in a foreign cultural environment. Once we form a new set of everyday routine activities, it is difficult to return to the old way of life. Both culture shock and reverse culture shock refer to the difficulties of adapting or readapting to changes in lifestyle and daily routine. However, this is not all. Contact with a new way of life as well as a new cultural mindset, with different values and expected behaviour from you are all part of culture shock and reverse culture shock. The novel by Kyung-Sook Shin presents two different cultures: French and Korean, separated by the differences that could be analysed by Geert Hofstede's cultural dimension: high and low power distance, individualism-collectivism, masculinity-femininity, as well as long term and short term orientation. These can lead readers to better understand the important place occupied by traditions and customs for Yi Jin, and her experience of culture shock in France, which goes through the stages of feeling enthusiastic about the new culture, to feeling gradually disappointed and not understood by it, as well as her reverse culture shock experience of returning to Korea accentuated by the historical changes.

Keywords: French culture, Korean culture, cultural dimensions, power distance, values.

JEL Codes: Z10, Z11, Z13

1. Introduction

The novel *The Court Dancer* by Kyung-Sook Shin is a good illustration of two culture-related experiences: culture shock and reverse culture shock. Culture shock can be defined as experiencing unpleasant emotions when being immersed in a different culture:

The culture shock can be described as that physical and/or emotional discomfort suffered when coming into contact with another culture, or when living/performing in another country or another environment/context, different from that of origin. A culture shock refers to the idea that, as a social actor, any individual may feel disoriented and confused when he/she enters the space of a different cultural background, with whatever it may exhibit.

When referring to culture, such a shock may generate anxiety, surprise, confusion, fear, uncertainty or the feeling of not knowing what to do or how to perform in the new environment. This is obviously because the individual is not knowledgeable of what is appropriate or inappropriate in relationship with that specific context or environment. (Baciu, 2013, p. 75)

The more different from his own that the culture an individual comes into contact with is, the more problematic can be the experience of culture shock and the more difficult to recover from. While coming into contact with a culture that is very much different from our own can be a disturbing experience, so can the experience of returning back to our own culture. The definition of reverse culture shock is the following: "Reverse culture shock is the process of readjusting, reacculturating, and reassimilating into

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one's own home culture after living in a different culture for a significant period of time.” (Gaw, 2000, p. 83-84) The severity of both experiences also has to do with the duration of the stay in the new culture, and with the conditions in which the stay takes place. If the duration of the stay is long, the more problematic the adaptation to the new culture and then the readaptation to one's own culture could take. If the visit happens as a tourist and under a guide, then the person is less exposed to the contact with the new culture. The person is not expected to make it on his or her own, and to deal with understanding the ways of communication in the different culture and make him or herself understood. If the purpose of the visit has to do with business or studying for a while, then the person will be more exposed to the new culture and expected to come into direct contact by him or herself with the members of the new culture.

Culture shock can be reduced if we get enough information about the new culture and if we develop cultural empathy through understanding the fact that different cultures have different mindsets, different values and different traditions. During the time period the action in the novel takes place, however, the new ways of life, mindsets and values separating Europe and Asia were still being discovered and thus not completely understood.

During the course of action, Kyung Sook-Shin also deals with other interrelated elements, such as the search for personal identity, in the case of Yi Jin, and with the past trauma and nostalgia of the first love during the teenage years for Victor. The culture shock and reverse culture shock experiences serve to underline the tragic aspect of the characters' personal issues. Both characters show fixations with figures in the past. Yi Jin, as an orphan, gets the attention and affection of the queen as a little girl. The queen remains a mother figure for Yi Jin. Yi Jin clings to her affection even when the queen allows Victor to take her to Europe even if it was against the customs of taking away a lady from the court, when Yi Jin attracts the attention of the emperor after growing up. Victor repeats the trauma of the nostalgia and sadness of losing another love, that of Yi Jin, as we see him in the end burning the same photograph he had secretly taken of Yi Jin with a small camera hidden under his coat when she had first greeted him in Korea in the French language.

The novel shows two main characters, Victor and Yi Jin, that belong to two different cultures: French and Korean, in the nineteenth century, during the time of the Korean Joseon kingdom and during the time of the French Belle-Epoque. Their love story overlaps with the phases of culture shock, especially during their first stage, the honeymoon stage, when each of them is enthusiastic about discovering each other's culture. Victor focuses on the traditions of the other culture (throughout the novel he remembers Yi Jin's traditional clothes when she first greeted him in French and her dance of the spring oriole at the court) and Yi Jin focuses on literature (her first contact with Victor's culture is through her reading French culture novels, and later in France she would meet writers such as Maupassant). Later, when Yi Jin begins to feel less at home in France and remembers her traditional dance of the spring oriole, with which she had attracted the attention of Victor once again after greeting him in the French language, we see her feeling unadapted to the realities of the French culture. She feels that the French are always staring at her, due to their curiosity for Asian culture, yet most of them do not know that she is Korean. They ask her whether she is Japanese or Chinese. During the time, there was a curiosity regarding exotic cultures, such as the Asian cultures, and even Victor has a room where he keeps objects that belong to the Korean culture. He would use that room to help Yi Jin feel the comfort of home. Yi Jin shares her knowledge of Korean culture to the French as she creates Korean fans for the French ladies and she also translated Korean literature into the French language. This sharing of her culture helps her compensate for the way that she misses her home while she is living with Victor in France.

The culture shock phases, which are the honeymoon phase, when we feel enthusiastic and at home in the new culture, the phase when we feel depressed, frustrated and we cannot function in the new culture, and the phase when we gradually adapt to the new culture by accepting its different ways. In the novel, however, Victor and Yi Jin do not reach the third stage. They remain at the second stage, and their deteriorating relationship reflects their moving away from the different cultures they were so enthusiastic about. Yi Jin experiences culture shock when she no longer finds herself in the French culture and also not in her relationship with Victor. He cannot understand her strong attachment to the Korean traditions, to the Korean court and her loyalty to the queen. To complicate matter further, political issues cause the fall of the Joseon kingdom and the end of reign of king and queen. The court where Yi Jin considered her home lies in ruins, and her idea of home disappears, together with her sense of stability. Victor had also felt very much at home at the Korean court when Yi Jin had given him her greeting in French with sincere friendship when he felt a stranger. She had offered him an element of familiarity, and she had provided for him a sense of stability in his life generally speaking, as he was still affected by the loss of his teenage years love.

Upon returning to the Joseon kingdom after its fall, the experience of reverse culture shock is amplified for Yi Jin, as she no longer finds the home she knew. Not only is her routine changed, but she cannot find the same world of her own culture that she left when moving with Victor to France. The experience of culture shock had also been amplified for Yi Jin while she was suffering for the loss of her dear ones, including her adoptive family and the queen, but also by the two losses of her pregnancy.

For Victor, his allowing Yi Jin to return to Korea is part of his experience of reverse culture shock. When he returns to his old everyday routine in France, he also returns to the time when Yi Jin was not with him. In spite of their relationship not being as close as in the beginning, he still keeps the nostalgia for the time when he met her. The old photo which he had believed has burned together with all the others from his time in Korea in the end of the novel serves as a reminder that he had not gotten over the experience. The readers see him together with his new wife as not being very close to one another while she watches him burn the old photo.

2. Material and Methods

Right from the beginning of the book we are introduced to the topic of cultures coming into contact with one another, and the idea is paralleled by two persons from two different cultures coming into contact with one another as they are beginning to establish a relationship: Victor, the French diplomat, and Yi Jin, the former court dancer from the Joseon kingdom in Korea. The introduction in the world of the novel foreshadows the differences between the two cultures and the ways in which Yi Jin would have a hard time to fit in the French culture, yet at the same time she would fascinate the French with the exoticism of the culture she represents. Another issues that is foreshadowed right from the start is the way that the relationship between Victor and Yi Jin would develop. We see the fascination with discovering ways to communicate and to understand about personal habits and habits that are strongly connected to the cultures they belong to. We also see an attempt that hold true for each of them trying to communicate and get close at personal level in spite of the cultural differences. The beginning of their relationship overlaps discovering the other person with discovering their different cultural background. The issue of culture shock is expected to be minimized as they both seem to reach a level where they can go beyond the cultural barriers. They relate to each other on personal level, yet the cultural differences cannot be ignored:

Where was it that he'd said those words?

The day they left the capital, the company had spent a night at an inn in the country. The inn, which was surrounded by a driftwood fence, had twelve ponies. The ponies puffed, their nostrils quivering, as if impatient to run the fields, but they too were enclosed by the fence. When darkness fell, the cries of the mountain creatures carried into the windowless rooms.

Sometimes a kind word can encapsulate love like a seed buried in the soil.

In that mountain inn, the former palace dancer Yi Jin heard the French legate Victor call out to her in Korean, "My angel." She was more surprised by his unaccented pronunciation than by his calling her an angel. Victor practiced his Korean when he could, but there had always been something missing in it, his words scattering in the air.

Crossing the ocean to his country meant living with a people who spoke an utterly different language. Perhaps he had sensed her hidden anxiety. It was unmistakable that Victor had called her an angel, for the first time in perfect Korean, at this traveler's inn nestled in the mountains of her own country.

The Korean words flowing smoothly from his lips made her experience a moment when language changed her very emotions. Victor, who still found it difficult to pronounce her name, had made her placid heart tremble.

She was flooded with a longing that felt as if her feet were dipped in warm water, a feeling that washed away the fatigue of being shaken all day in a palanquin. That older feeling of needing to keep her distance, a feeling she had felt since the day she met Victor and persisted over his efforts to be closer to her, disappeared in that single moment.

She let her black hair fall down the nape of her neck and held out her hairbrush.
—*Peignez-moi.*

Victor's eyes grew wide.

He had yearned to brush her hair. The first thing he had gifted her after her engagement ring was a hairbrush he had brought from his country.

Unfortunately for him, Jin did not like other people touching her hair, apart from Dowager Consort Cheolin when Jin was a child at court, or Lady Suh. (Shin, 2018, pp. 9-10)

What is missing in Victor's pronunciation of words in Korean foreshadows the fact that he cannot truly sympathize with Yi Jin when it comes to deeper aspects related to her culture. Her loyalty to the queen cannot be understood by Victor, who comes from another cultural background.

In order to understand the significance of the weight of tradition in Yi Jin's culture, as well as the importance of protocol at court, we can analyse Korean culture in comparison with French culture, through the framework of Geert Hofstede's cultural dimension: high and low power distance, individualism-collectivism, masculinity-femininity, as well as long term and short term orientation. The differences between the pairs of cultural dimensions show the differences between European and Asian cultures. Generally, Asian cultures are collectivistic, feminine and long-term orientation. European countries are individualistic, masculine and short-term oriented. The dimension of power distance refers to the ways in which the individuals relate to and tolerate authority as well as the inequalities in a society. While Asian cultures are ordered hierarchically and respect the hierarchy, the European cultures place

value on the freedom of the individual and on a relaxed relationship with authority. The dimension of individualism refers to the freedom and opportunities given to an individual's achievements, while collectivism refers to a culture where everything is done by taking into account the good of the whole group. The dimension of femininity refers to a welfare-culture, which encourage cooperation, while the dimension of masculinity encourages competition. The dimension of long term orientation gives weight to the respect of traditions, social obligations, and changes occur less fast, while short term orientation values change and quick results. These dimensions reflect in the mindset of the characters: for Yi Jin, tradition and court protocol is very important, while for Victor these can be left behind. The queen appears to understand different cultural mindsets, as she does everything to break the rules and allow Victor to take Yi Jin from court with him to France. At the same time, this decision could be tied to her personal reasons, regarding the jealousy over Yi Jin's attracting the attention of the king with her beauty and dance, as well as the changing social norms as in the end the Joseon kingdom would fall. The Koreans are, to some extent, aware of European customs and values as they are being visited by European diplomats such as Victor. Yi Jin's position is fixed in the hierarchy at court, and this gives her a sense of stability for her identity. Later on, in France, she asks herself the question who she is:

—Who am I?

Victor, walking by her side, stopped and hugged her shoulders. Jin gently lifted his arm away. *Who am I?* She never had to think of it in Korea.

Who were my parents, who brought me into this world? She felt she would stumble as if she were alking on nothing. Her eyes, still staring at the bird seller as he walked farther and farther away from them, were filled with melancholy. (Shin, 2018, p. 216)

This question is related to her personal dilemmas, which amplify her experiences of culture shock and abandonment by her parents, later on reflected in her abandonment by the queen of Joseon.

Victor believes that change can be done fast, as he moves from one culture to another, and that he can make Yi Jin adapt to a life together with him. However, Yi Jin does not share his optimism regarding adaptation. Right from the beginning when he asks her to go with him to France, she is reticent. He, on the other hand, is eager to change. Yi Jin's Korean culture is less open to change and because of this trait the fall of the king and queen of Joseon is felt as a traumatic event. The weight of traditions in Korea is strongly related to respect for hierarchy, status and obedience to those in power. The fact that Yi Jin dances the dance of the spring oriole in France when she feels unwell due to the second phase of culture shock shows her strong attachment to the traditions and suggests her resistance to change. Her attachment to the traditions remains until the end, when she dies poisoned by the pages of a book in the ruined palace.

Victor's resistance to change is psychological in nature, not as much bound by his culture. He remains trapped in his past traumas of abandonment by relationships that did not work, from his teenage years and then the one with Yi Jin. He never gets close emotionally to his wife at the end of the novel. Yi Jin and Victor have similar past traumas which reactivate in their present relationship, as they both suffer abandonment and lack of understanding.

Another means of understanding the differences between European and Asian cultures is through the theory of direct and indirect communication, or low and high context communication developed by Edward T. Hall. Direct (or low context communication cultures) are those cultures which say directly what they mean (European cultures). Indirect (or high context) communication cultures are those cultures for which you need to have a good knowledge of context and gestures in order to understand what is implied in communication (Asian cultures). Yi Jin gives Victor signs through the language of

gestures regarding the fact that she feels uncomfortable in certain situations, she hesitates when he first asks her to go with him to France, but she accepts since she no longer has to go, as the queen had abandoned her and has also ordered her to go with Victor. At the same time, it is this type of indirect communication which attracts Victor to Yi Jin and which is presented in the beginning of the book, where the passers-by are fascinated by the way she moves when she is leaving with Victor. He sees her as mysterious and it also allows him to project on her what he wishes, beginning from her greeting him in French to her dance of the oriole, which he finds fascinating as the dance is rich in slow movements and not fast ones as he was used to from his European culture. Yi Jin, on the other hand, also discovers universal elements in French culture, when she reads aloud a short story by Maupassant and when she weeps at the experience of a mother in his fiction. We later find out that she sympathizes with the fictional mother as she herself could have been a mother but she had lost her babies before they were born. Another universal experience, and one that sets Victor and Yi Jin close, is the one of abandonment: Victor's by his former teenage years girlfriend and Yi Jin's by her biological mother and then by the queen.

3. Results

The experience of culture shock is presented differently for the two characters. Victor goes through the first stage of feeling enthusiastic about the different culture, then when he feels a bit confused with all the court rules he meets Yi Jin, who greets him in French, and who helps him get over the second stage. When he feels lost again, and does not know whether he would meet her again, he sees her performing the dance of the spring oriole in court. Victor does not know how to react then, as he is very happy but did not expect that. He is mesmerized by Yi Jin's performance, but does not know how to show it, and the queen misinterprets his action, or at least pretends to, which leads to the queen asking Yi Jin to do something to fix the fact that the French diplomat was not pleased by her dance. Victor is even more troubled and cannot explain his behaviour, but in the end he asks to take Yi Jin with him to France. The fact that she reminds him of his lost love from his teenage years makes Victor experience empathy to some extent with someone from another culture. Later on, Victor appears to experience some unpleasant feelings reminding of culture shock when he no longer knows how to relate to Yi Jin, who misses her country and has a strange behaviour. At this point their relationship no longer works, and both of them are faced with issues regarding the way in which their mindsets and values are different due to their belonging to different cultures. Another episode in Victor's stage of no longer understanding the different culture has to do with when he no longer feels close to the objects in Korean culture which had once so much got his interest. We learn that he no longer had a room with Korean objects in his house, that he had got rid of everything, together with the photos from the time he had visited Korea as a diplomat. At this point he no longer feels at home psychologically in this other culture, he no longer understands it, and he also wishes to forget his entire Korean experience. This could correspond to his second phase of culture shock, and he does not come to the acceptance of the cultural differences and understanding of them (the third stage) either, like Yi Jin. Yi Jin never returns to France and to Victor, and Victor is abandoned by Yi Jin who kills herself in the palace in ruins in Joseon. Her gesture is prompted by reverse culture shock, made all the more powerful and tragic by the changes that had taken place in Korea, by the fact that she never found the queen again, and had never got close to her again.

4. Discussion and Conclusions

The tragic episodes in the characters' lives give the readers an idea of the negative states of mind experienced during episodes of culture shock and reverse culture shock. At the same time, the novel draws attention to the issues that can be experienced over different cultures coming into contact with one another. The experience of the main characters may be underlined by tragic conditions in their personal lives and in public history, yet all these experiences and contexts interact and facilitate the experience of culture shock and reverse culture shock. The understanding and discovering of new mindsets, new ways of life, new values, new cultural products, new traditions and customs are prompted by personal questions and searching for one's personal identity. The characters explore different ways of life and believe they could find what they are missing by exploring other cultures. However, gradually, this strategy fails.

The presentation of a couple from two very different cultures adds more to the experiences of culture shock and reverse culture shock. The novel presents a relationship where the two persons are different, yet share a common trauma, that of abandonment. They hope to find what they were missing in the relationship. However, gradually, the cultural and personal differences move them apart. The other person in a relationship could be regarded as having different values. This happens not just because he or she is from a different culture. However, in this way, the author shows how members of different cultures are different just like the members of a couple are different. They may share universal elements, yet the differences can eventually set them apart, make it difficult for them to communicate and to understand one another. Just like they cease to function together in a relationship, so does one cease to function at some point in a culture that is very different from his or her own culture.

Difficulties also come from the fact that some cultures expect another behaviour from you than what was expected of you in your home culture. Yi Jin was expected to obey at court, but in France she does not know what is expected of her. Everyone looks curiously at her, fascinated by her culture but at the same time she cannot be regarded as one of their own. She sees some habits as cruel, such as those prompted by the French culture's curiosity and superiority over other cultures, for instance when a family from Africa is exposed for those in France and when they make fun of them. To Victor this is something normal, and he cannot understand Yi Jin's point of view. Yi Jin is also expected to behave well in French society and accept invitation to dances from Frenchmen. While Victor claims that he had also been looked at in a strange way in Korea, he does not show understanding for how Yi Jin tells him that the other Frenchmen look at her, and see her as a curiosity.

In the end of the novel, the parallel between a relationship between two persons and two different culture is maintained, as Victor's sadness and behaviour is not understood by his wife. Although she belongs to French culture as well, she does not understand Victor's wish to burn all the documents that have to do with Korea, including his first photo of Yi Jin. She also does not understand what the young woman in the photo represented for Victor. Their growing apart is suggested by his French wife's belief that she was another one of her husband's former loves.

The cultural dimensions of Hofstede and the theory of direct and indirect communication cultures are needed to explain why these cultures are different and why the characters place value on certain aspects more than on others, as well as why they still hold on to certain values as strongly as they hold on to their past psychological traumas.

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BLERINA METANJ¹

TRADE OF BETWEEN DATA CONFIDENTIALITY AND TRANSPARENCY

Abstract

Each institution accountable for publishing and disseminating data should be responsible and careful in preventing that individual information could be identified by its final users. This imply that each table, or individual information that is going to be released, should be developed in such a way that the readers will not be able to identify the personal information of the respondents in the specific study or in any data collection procedure. On the other hand, users and readers of such data should be given all the necessary information according to their needs and without damaging their data utility. This paper will try to evidence the importance of statistical data disclosure control, a process of preventing that personal and confidential information is revealed, as an important step before data dissemination. Furthermore, this paper will explore how this process could be automatized, taking into consideration the big amount of data available nowadays; and lastly some possible affects that this procedure might give to the final data will be addressed. During all this process other ethics about data processing will be taken into consideration such as data confidentiality and data transparency. In the end some conclusions and recommendation will be addressed in order to provide information with integrity which mean, data that fulfill users need but protect respondents as well.

Keywords: Disclosure, confidentiality, statistics

JEL Codes: C80, Y10, Z00

1. Introduction

There is an increasing demand by analysts and researchers for data at individual level and not represented in aggregated way by means of tables and graphs. They need to work with data sets in order to look at more in-depth analysis and establish data relationships. This means that each institution responsible for data collection procedures, should take into serious consideration data protection and data confidentiality of all units in a specific study. All respondent's personal information, which could be individuals or organizations, should be strictly protected and used only for data quality checks during data collection phase. It is fully the responsibility of such institutions to take care of such confidential information and treat them according to national laws and their relevant internal data regulations.

It is important that each research institution understand and apply confidentiality principles, rules, and methods to make sure that: a) they do not release data that could potentially identify individuals, households, or organizations unintentionally b) protect data provided by individuals, households and organizations, and ensure it isn't disclosed to anyone who is not authorized to access it; c) use statistical methods to prevent data from being disclosed in a way that could identify an individual, household, or organization unintentionally.

Statistical Disclosure within this context aims to: a) prevent the identity of a data subject from being revealed; b) and/or releasing associated confidential information belonging to that data subject.

Anyway, taking care of data privacy should not obstacle the use of the relevant information for research purposes. Statistical disclosure control (SDC) should be conceptualized as a tool at the hand of such

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institutions, to protect personal information, but on the other hand release information for research purposes.

Before further analyzing how to balance disclosure and transparency let's agree upon some terms used interchangeably, but each term has a different meaning:

- a) **Privacy** refers to a person's ability to control the availability of data about themselves.
- b) **Security** refers to how an organization stores and controls access to the data it holds.
- c) **Confidentiality** refers to the protection of data from, and about, individuals and organizations; and how we ensure that data is not made available or disclosed without authorization.

There are in general two kinds of data that are disseminated after a specific survey is conducted: microdata sets (individual respondent records) and tabular data. Any attempt to compare methods for statistical data protection should focus on two basic attributes:

(1) **Disclosure risk**: The measure of the risk to respondent confidentiality that the data releaser (typically a statistical agency or a research institution) would experience as a consequence of releasing the table.

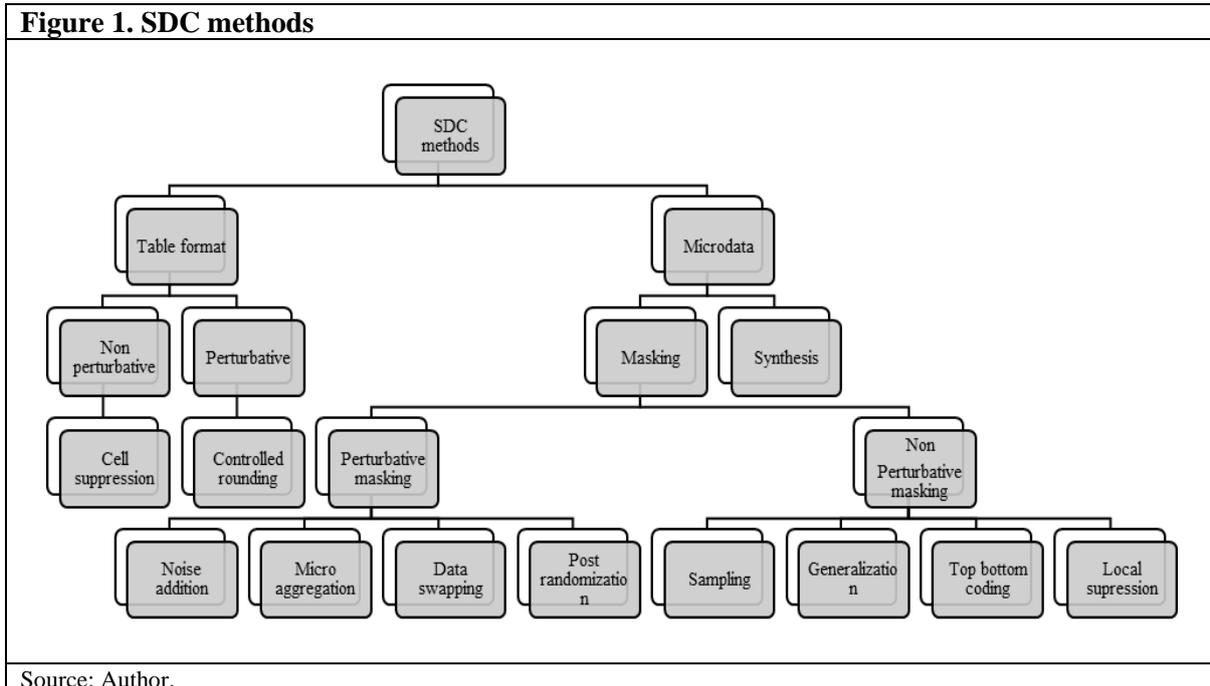
(2) **Data utility**: A measure of the value of the released table to a legitimate data user.

The main idea is how to quantify the measures of the above identified risks. A straightforward approach to measure the utility risk would be to calculate the mean square error of the original data and the released data. Anyway, this method does not take into consideration the various uses that the users of the data might be interested in. This means that we are not able to assess a strictly one universal data utility risk, since it directly depends on the various needs users might have on the data. When talking about data disclosure risks, they do not depend on the users' need on the data. Therefore, a unified approach for measuring disclosure risks would be possible and necessary. The next session will explore the possible ways to protect data and how this could be practically achieved.

2. Methods to protect data confidentiality

The methods for controlling data disclosure depend on the format of the data that they will be applied on. On this perspective, we will consider two main data dissemination formats: tables and microdata. The figure below resumes the whole methods depending on the state of data that will be released.

Figure 1. SDC methods



2.1 Statistical disclosure control methods for tables

Methods to control disclosure in tables can be classified as:

a) **Non-perturbative.** This method does not modify the values in the cells, rather they may suppress or recode them. The most widely method within this category is the cell suppression (CS) and recoding of categorical attributes. Cell suppression has a long tradition in national statistical offices: a sensitivity rule (for example, the dominance rule or the p% rule) is used to identify cells that are sensitive; these sensitive cells are suppressed (primary suppressions) and then another set of cells (called secondary suppressions) is identified and suppressed to prevent inferring the primary suppressions from table marginals.

b) **Perturbative.** On the contrary of the previous method, it modifies the values in the cells. Best known methods within this category are controlled rounding (CR) and controlled tabular adjustment (CTA). These methods also rely on identifying sensitive cells, but they have the advantage of not releasing missing cells rather that yielding a protected table. The reported cell values may not correspond to the true cell values.

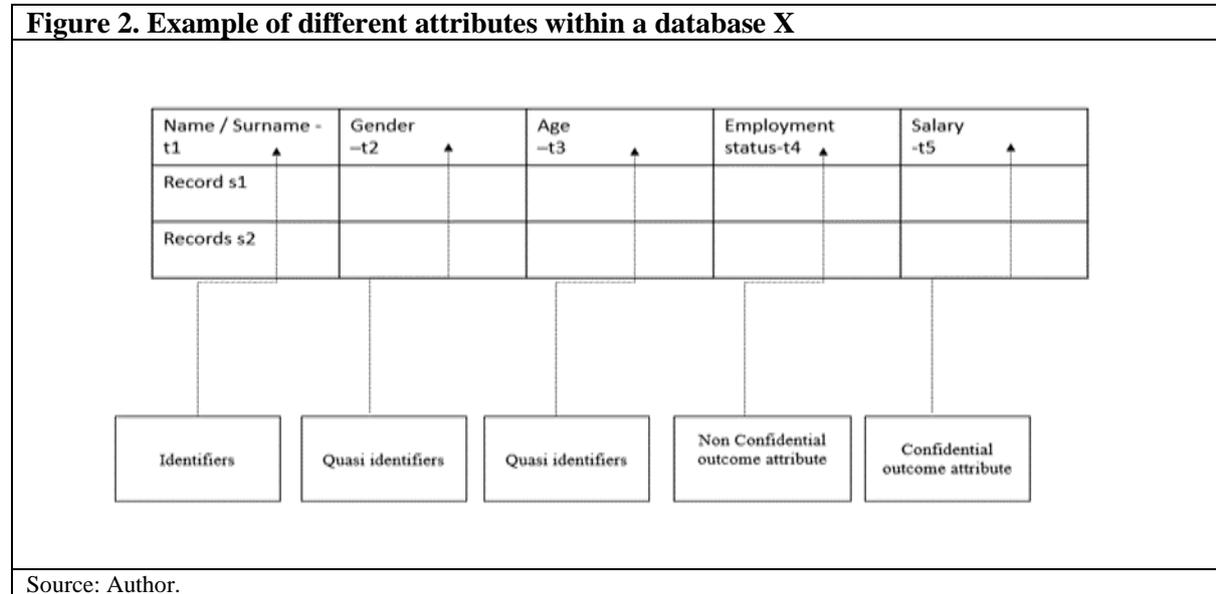
2.2 Statistical disclosure control methods for microdata

A microdata file X with s respondents and t attributes is an $s \times t$ matrix where X_{ij} is the value of attribute j for respondent i . Attributes can be numerical (e.g. Age) or categorical (e.g. Gender, Employment status). Depending on their disclosure potential, attributes can be classified as:

- **Identifiers.** Attributes that identify the respondent unequally (e.g. Passport Number, Name-Surname, etc.).
- **Quasi-identifiers or key attributes.** They identify the respondent with some ambiguity, but their combination may lead to unique identification (e.g., Gender, Age, Telephone Number, etc.).
- **Confidential outcome attributes.** They contain sensitive respondent information (e.g. Salary, Religion, etc.).

- **Non-confidential outcome attributes.** Other attributes which contain non sensitive respondent information.

The figure below gives an example of different types of attributes in a dataset.



Identifiers are of course suppressed in anonymized datasets. Disclosure risk comes from quasi-identifiers (QIs), but these cannot be suppressed because they often have high analytical value. Indeed, QIs can be used to link anonymized records to external non-anonymous databases (with identifiers) that contain the same or similar QIs; this leads to re-identification. Hence, anonymization procedures must deal with QIs.

There are two principles used in microdata protection, data masking and data synthesis:

- Masking** generates a modified version X' of the original microdata set X , and it can be perturbative masking (X' is a perturbed version of the original microdata set X) or non-perturbative masking (X' is obtained from X by partial suppressions or reduction of detail, yet the data in X' are still true).
- Synthesis** is about generating synthetic (i.e. artificial) data X' that preserve some pre-selected properties of the original data X .

2.2.1 Perturbative masking

The main principles for this class of masking are:

- Noise addition.** This principle is only applicable to numerical microdata. The most popular method consists of adding to each record in the dataset a noise vector drawn from a $N(0, \alpha \Sigma)$, with Σ being the covariance matrix of the original data. Means and correlations of original data can be preserved in the masked data by choosing the appropriate α . Additional linear transformations of the masked data can be made to ensure that the sample covariance matrix of the masked attributes is an unbiased estimator for Σ .
- Micro aggregation.** Micro aggregation partitions records in a dataset into groups containing each at least k records; then the average record of each group is published. Groups are formed by the criterion

of maximum within-group similarity: the more similar the records in a group, the less information loss is incurred when replacing them by the average record. There exist micro aggregation methods for numerical and also categorical microdata.

c) **Data swapping.** Values of attributes are exchanged among individual records, so that low-order frequency counts or marginals are maintained. Although swapping was proposed for categorical attributes, its rank swapping variant is also applicable to numerical attributes. In the latter, values of each attribute are ranked in ascending order and each value is swapped with another ranked value randomly chosen within a restricted range (e.g. the ranks of two swapped values cannot differ by more than $p\%$ of the total number of records).

d) **Post-randomization.** The PRAM method works on categorical attributes: each value of a confidential attribute is stochastically changed to a different value according to a prescribed Markov matrix.

2.2.2. Non-perturbative masking

Principles used in this kind of masking include:

a) **Sampling.** Instead of publishing the original data file, only a sample of it is published. A low sampling fraction may suffice to anonymize categorical data (the probability that a sample unique is also a population unique is low). For continuous data, sampling alone does not suffice.

b) **Generalization.** This principle is also known as coarsening or global recoding. For a categorical attribute, several categories are combined to form new (less specific) categories; for a numerical attribute, numerical values are replaced by intervals (discretization).

c) **Top/bottom coding.** Values above/ below, a certain threshold are lumped into a single top/ bottom, category respectively. d) **Local suppression.** Certain values of individual attributes are suppressed in order to increase the set of records agreeing on a combination of quasi-identifier attributes. This principle can be combined with generalization.

2.2.3. Data synthesis

Sometimes is viewed as an SDC method and sometimes as an alternative to SDC. Yet, the goal is the same: to release a useful dataset whilst maintaining data subject confidentiality. The analysis of this alternative methods goes beyond the scope of this paper and will not be further analyzed.

3. Measuring Utility and Its Loss

As mentioned in the introduction to this article, measuring the utility of SDC-protected data is an integral part of disclosure control. Utility measurement is difficult because in many cases there is no clarity about what the users of data will want to do with those data. Strictly speaking, information loss depends on the data uses to be supported by the masked (i.e., SDC-protected) data. However, potential data uses are very diverse and it may be hard even to identify them all at the moment of data release. Thus, it would be acceptable for the data protector to be able to measure information loss in a generic way that reflects how much harm is being inflicted to the data by a given masking method; the amount of information loss measured in this generic way should roughly correspond to the amount of information loss for a reasonable range of data uses. A microdata set is analytically valid if the following are approximately preserved (some conditions apply only to continuous variables): 1) Means and covariances on a small

set of subdomains. 2) Marginal values for a few tabulations of the data. 3) At least one distributional characteristic.

We can actually try several complementary ways to assess the preservation of the original dataset's structure:

- Compare the data in the original and the masked datasets. The more similar the SDC method to the identity function, the less the impact (but the higher the disclosure risk!).
- Compare some statistics computed on the original and the masked datasets. Little information loss should translate to little differences between the statistics.
- Analyze the behavior of the particular SDC method used to measure its impact on the structure of the original dataset.

3.1. Utility evaluation in tabular SDC

For cell suppression, utility loss can be measured as the number or the pooled magnitude of secondary suppressions. For CTA or CR, it can be measured as the sum of distances between true and perturbed cells. The above loss measures can be weighted by cell costs if not all cells have the same importance.

3.2. Utility evaluation in microdata SDC

Utility loss in disclosure-controlled microdata can be evaluated using either data use specific loss measures or generic loss measures. The former evaluates the extent to which SDC affects the output of particular analyses. Often, the data protector has no idea regarding what the users will do with the data; if this is so then generic utility loss measures - that measure the impact of SDC on a collection of basic statistics (means, covariances, correlations etc. or that rely on some score (such as propensity scores - can be used. The most general methods measure the distance between the original and disclosure-controlled data using measures such as Jensen Shannon divergence. In general, our understanding of data utility is less well developed than our understanding of disclosure risk. One particular issue is that all of the above measures of utility are relative measures; that is, they (attempt to) measure the utility of the data compared with the original data. This sets the original data up as an operational gold standard - which is at best a proxy measure and may be completely unrealistic. A 50% reduction in utility may be completely fine if the original data utility was very high and may render the data effectively useless if the original data utility was low. Relatedly, the original data will usually be subject to multiple error processes which clearly impact on their underlying utility.

4. Conclusions

Statistical disclosure is a very broad topic. However, many areas of research depend on data that can only be used if privacy is maintained thus highlighting the importance of disclosure. Perfect privacy, never releasing any confidential data, and perfect utility, releasing all confidential data, both present significant problems. Therefore, some balance must be struck between these competing goals. The institutes of statistics and research should evolve statistical disclosure control that empower data users and that offer disclosure protection, utility for exploratory analyses and low computational cost. The goal of statistical disclosure limitation efforts is to make sure that data are used for research, rather than malicious purposes, including the disclosure of individuals' private information. More work is needed in both areas, the development of statistical disclosure control techniques and the assessment of privacy, as the importance of this field becomes increasingly relevant in an area which is almost ruled by data.

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MARIA LIASHENKO¹

EDUCATIONAL POTENTIAL OF WIKI AND SOCIAL NETWORKING SITES TO ENHANCE STUDENTS' ACADEMIC SKILLS IN ENGLISH LEARNING

Abstract

In the era of digitization teachers and learners are faced with the challenges that technology enhanced learning brings. The paper dwells on the paradigm shift and the current trend in the educational environment impacted by the proliferation of Web 2.0 technologies. Web 2.0 provide resources and tools that make learning process social, interactive, and collaborative as they offer a wide variety of information communication technologies (ICT) to connect students in education and help move from instructor-centered methods of teaching to more contextual learning and problem-solving techniques. The paper pays special attention to the challenges that educators are likely to face on the way of effective deployment of ICT in teaching practices. The author suggests using TAM model (technology acceptance model) at the initial stages to predict any possible problems. The paper provides the readers with the information about the teaching practices which involve the deployment of social media into teaching English at university. The authors describe two case studies showing how educational potential of wikis and SNS can be utilized. In conclusion the author mentions the importance of creating certain conditions for effective deployment of Web 2.0 technologies to maximize their educational potential.

Keywords: ICT, Web2.0, social networking sites, wiki sites, English learning

JEL Codes: I20, I21, I28, I29

Introduction

The large-scale deployment of information communication technologies (ICT) in all spheres of educational system resulted in the paradigm shift that occurred in the educational practice as a whole (Harasim 2000). These profound changes have impacted the formats in which teachers and students communicate and deal with teaching and learning resources. Instructivism, that is known as a teacher centered approach, was followed by more student-oriented learning theories and more teacher-student collaboration. Constructivism was facilitated due to WEB 2.0 tools. The leading principles of this learning format are more learner-centered approaches where teachers and learners interact to co construct the knowledge, with teachers being as facilitators and learners as active producers of their knowledge. Web 2.0 technologies enhanced social networking and collaborative practices (Churchill 2007). The arrival of Web 3.0 tools, based on semantic technologies, shifted education towards learners even more: there arose the need to design and explore the way how personalized learning environments could enhance learning and teacher-student collaboration (Pileggi et al. 2012).

This type of user-generated education (Gerstein 2014) can be characterized by the following trends. The role of teachers and students have changed due to larger scale of differentiation and personalization of education. ICT have led to the digitization of the educational process as a whole. On the other hand, they improved the access to a wide range of educational resources. The assessment system has changed too: from summative to formative assessment for students and by students.

The introduction of COVID-19 restrictions has made teaching community switch to online and distant teaching and learning enhanced via Wb 2.0/ Web 3.0 tools. This change has caused many challenges as well as opportunities how ICT can be deployed to create virtual learning environments. Education 2.0

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/3.0 creates a variety of learning scenarios due to the principles which underpin this model (Keats and Schmidt, 2007)

- learner centered approaches which provide opportunities to create knowledge artifacts and share them with learning community (tools, stories, websites etc.).
- Social networks and wiki technologies play an important role in co construction and dissemination of knowledge
- Institutional mechanisms and educational strategies adapt to changing conditions and consider different stakeholders
- The focus on blurring the borders between different layers of educational system (teacher-learners/ institutions/ disciplines).

Due to these profound changes in the way how information is processed and disseminated, language education is also going through a paradigm shift: the development beyond the communicative approach to more complex and dynamic action and student -oriented approaches.

1. Deployment of ICT in teaching and learning: challenges to face

1.1. The dilemmas to address before ICT deployment

The deployment of ICT in education requires answering a variety of questions to make technology enhanced learning as effective as possible. In real everyday teaching and learning practices both teachers and learners are faced with different challenges both of technical and psychological nature when combining traditional approaches with e-technologies. They must answer the questions what to use? how? when and why? That is why the questions about the choices that teachers and learners must make, practical examples of the development and implementation of new innovative e-products, new psychological approaches how to build the atmosphere of collaborative learning could be of great interest for all participants of the educational process (Lyashenko and Malinina 2015). Firstly, the question about the teachers themselves because educators are expected to be ready and aware of the affordances that ICT could offer in terms of educational opportunities for learners. Secondly, the question about the target audience to address should not be underestimated. There are a lot of factors to consider when choosing a technology to teach learners. To start with psycho-physiological characteristics of learners including their age and cognitive development. These characteristics can impact the choice of the learning platform. For example, in some countries it is prohibited for younger learners to sign in social networks (FB or Google account).

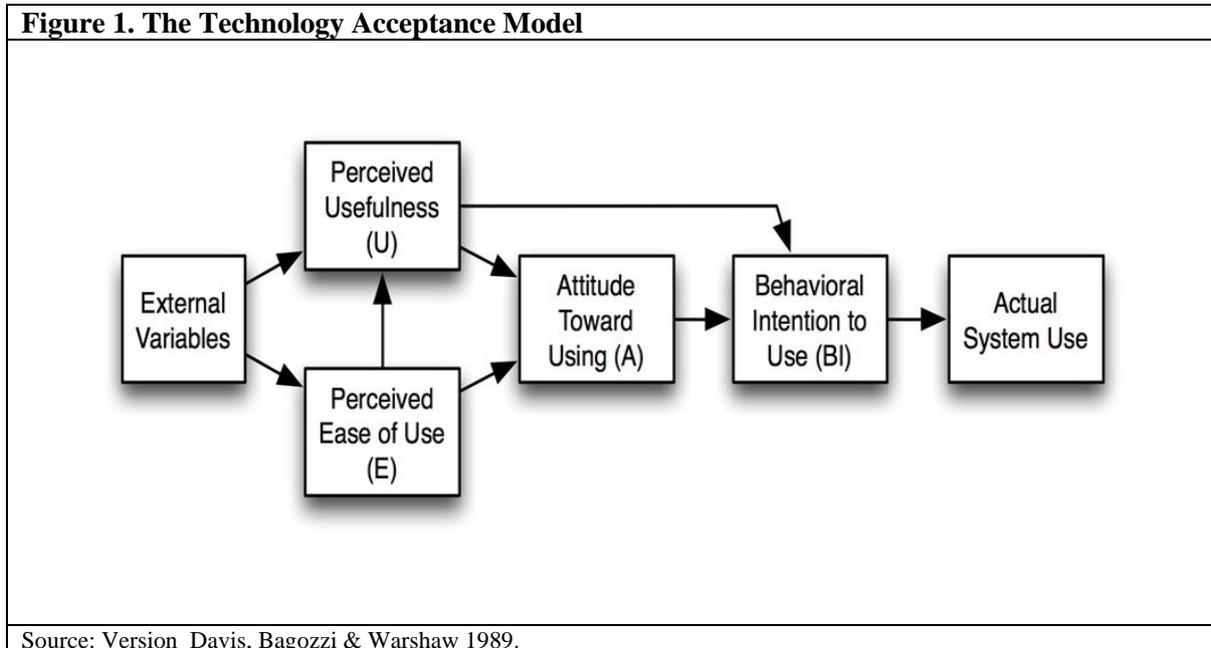
It is important to pay attention to the fact that cognition is “socially embedded” (Gibbons et al 2000) so socio-cultural or religious contexts should be taken into account too. For example, in several countries there is a complete ban on social media and restriction on FB or other social networking sites (SNS). The other problem relates to language skills of learners. Many ICT technologies have interfaces created in English and this fact could lead to language barriers too if the language proficiency of learners is low. One of the most important issues to consider is an affective domain of learning which is focused on motivational aspect such as attitudes, perceptions, and opinions (Miller 2005). This aspect is directly connected with technology acceptance whether the suggested technology is easy and useful from learners’ perspectives.

1.2. TAM as a theoretical framework for ICT initial deployment

The theoretical framework Technology Acceptance Model (TAM) is applied to explore the ways how learners initially perceive the deployment of ICT because it “focuses more on the importance of a technology as a tool” (Davis 1989:7). The chosen model describes mainly the constructs of perceived

ease of use (PEU) and perceived usefulness (PU). “Perceived usefulness... is defined as the prospective user’s subjective probability that using a specific application system will increase his or her job performance within an organizational context. Perceived ease of use... refers to the degree to which the prospective user expects the target system to be free of effort” (Davis 1989:7).

Figure 1. The Technology Acceptance Model



1.3. ICT for teaching English at university: professional context and background

Various information communication technologies are used in the educational process in Minin Nizhny Novgorod State Pedagogical University (Russia). There could be mentioned videoconferences, webinars, presentations, blogs, forums, interactive dictionaries, visual thesaurus, concordance systems, websites, Moodle system etc.). Working with 1, 2, 3-year students of the faculty of Fine arts and media technologies and teaching the English language as the second one the author of the paper makes use of the variety of ICT to reach the educational goals and motivate students to improve their language skills.

Moodle as a learning management system is widely used in teaching practices at the university. It enables to use a variety of e-forms from texts with hyperlinks, interactive glossaries, online tests, presentations, projects. It is aimed at increasing the intergenerational cooperation between T-S and social cohesion in the university structure as it can be easily adjusted to different age groups. Teachers can create a variety of products from virtual libraries and language laboratories to simple testing in the system (Lyashenko and Frolova 2013). Despite certain advantages, the system does not provide a variety of opportunities for peer and teacher-student collaboration and is used by the teachers at Minin university mainly as a teacher-centered platform to conduct tests, upload lectures and tasks for summative assessment (Mineeva et al 2020).

In addition to Moodle other Web 2.0 tools are deployed into teaching English at the faculty. For example, Quizlet which enables learning words in a new, more interesting, exciting and, as a result, effective way. It is well-known that it is impossible to master a foreign language without constant exercising and drilling. And Quizlet is of great help here, as it allows in a playful manner to practise words and word combinations. Interactive flashcards (language to go: prepositions flashcards | Quizlet are very effective for vocabulary practice. Using the technology students can improve spelling and pronunciation. Depending on the objectives and available time the teacher can use ready-made cards, as now there are

more than 9 million sets of topics to choose from. Another way is to tailor cards to suit the requirements of educational programs or create own sets paying attention to the needs of a particular group of students, their level of knowledge and experience. It goes without saying that cards specially tailored for a certain group always give better results, as while making them teachers consider characteristics of students, their preferences and needs. So, with the help of Quizlet.com it is rather easy and very convenient to approach individually to each group and even to a particular student (Lyashenko 2016).

Social media tools such as wiki sites and social networking sites are also embedded into language teaching to create more learner-centered contexts. Google wiki sites can also be used to solve a variety of teaching problems and tasks. They are created to support a particular discipline. Such a technology provides the teacher and students with the opportunity to download and upload the information, to get an easy access to the materials, to do projects. The sites could be a virtual platform for collaboration within the university structure.

Social networking sites can become an effective platform for teacher-student academic collaboration too. Social media have become a pedagogical tool within emerging online environments (George and Dellasega 2011). The term social media is used to denote any form of on-line technology or practices through which users create communities to convey information, ideas, independent learning, entertainment, and personal messages and thus facilitate communication and interaction between individuals and groups (Passey 2010). Social media for teacher-student collaboration can be classified into the following categories (Kaplan, A. M., Haenlein) : 1) blogs and microblogs (Twitter); 2) content communities (YouTube, Quizlet.com); 3) social networking sites (Facebook); 4) collaborative projects (wiki sites). Despite the ubiquity, social media are being underutilized in the educational context.

2. Deployment of wiki and social networking sites (SNS) into educational process at university: educational potential for English teaching

Social media are considered nowadays to be an integral part of educational environments (Lepi 2012). Not only empirical studies but documents and reports point to the wide-spread deployment of social media for professional and educational purposes in universities (Seaman and Tinti-Kane 2013). The importance of social contexts in which learners develop language literacy is underlined in the studies by Vygotsky (Vygotsky 1986). Recent studies report controversial views on the advantages and disadvantages of using SNS in classroom environments (George and Dellasega 2011). Despite certain controversy, many researchers admit the importance of incorporating this phenomenon into teaching in higher education (Liu 2010).

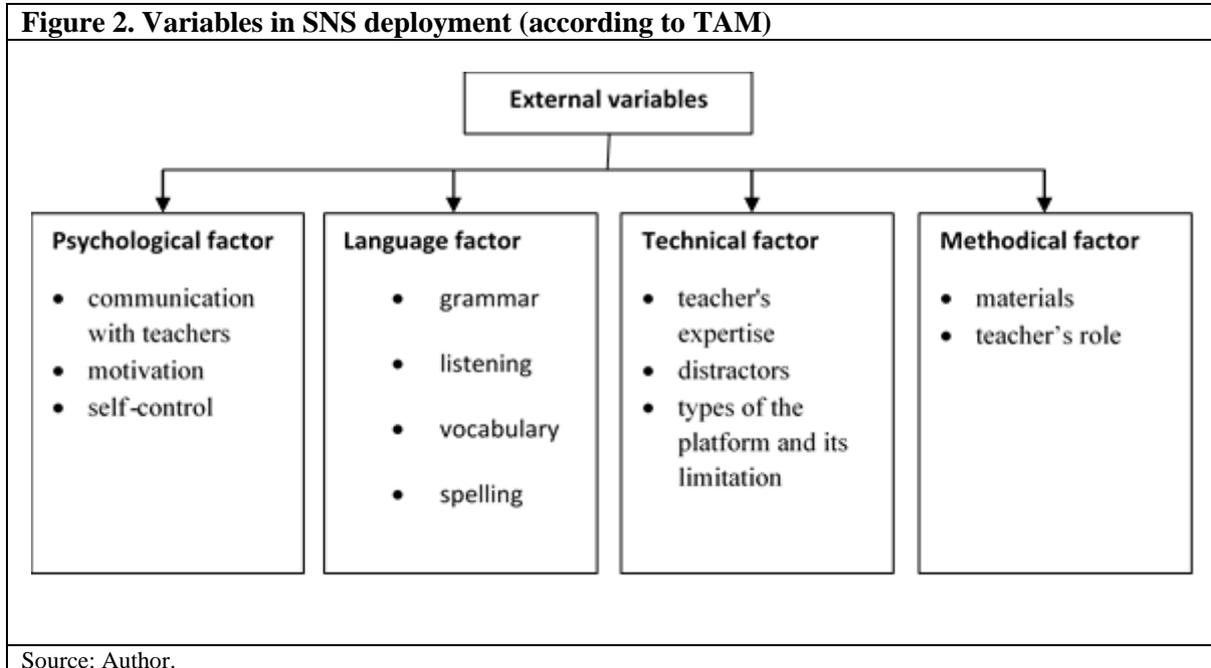
2.1. Social networking sites (SMS) for academic writing in exam training

In academic year 2018-2019 a SNS was designed and launched by the author to enhance 2-year students' academic writing in exam training for IELTS. The site "IELTS writing Activator" was deployed on the platform of Vkontakte, a Russian social networking site (https://vk.com/club162184854?from=quick_search). The main objective was to provide students with academic writing training, to be more exact to improve essay writing and graph descriptions. The participation was voluntary but constant during the semester (September- November 2018). There were three formats of participation after uploading their papers into the site: teacher's feedback, peer-review, using an external site <https://writeandimprove.com/>

TAM was used afterwards to research students' attitude to using SNS as a virtual leaning environment to enhance academic writing. As the result of the deployment 49 papers were written by the students per 1 semester and reviewed (30 by the teacher and 19 by the students). The research findings showed

the factors that can enhance SNS deployment (external variables: psychological, ethical, technological etc.) (Liashenko 2019).

Figure 2. Variables in SNS deployment (according to TAM)



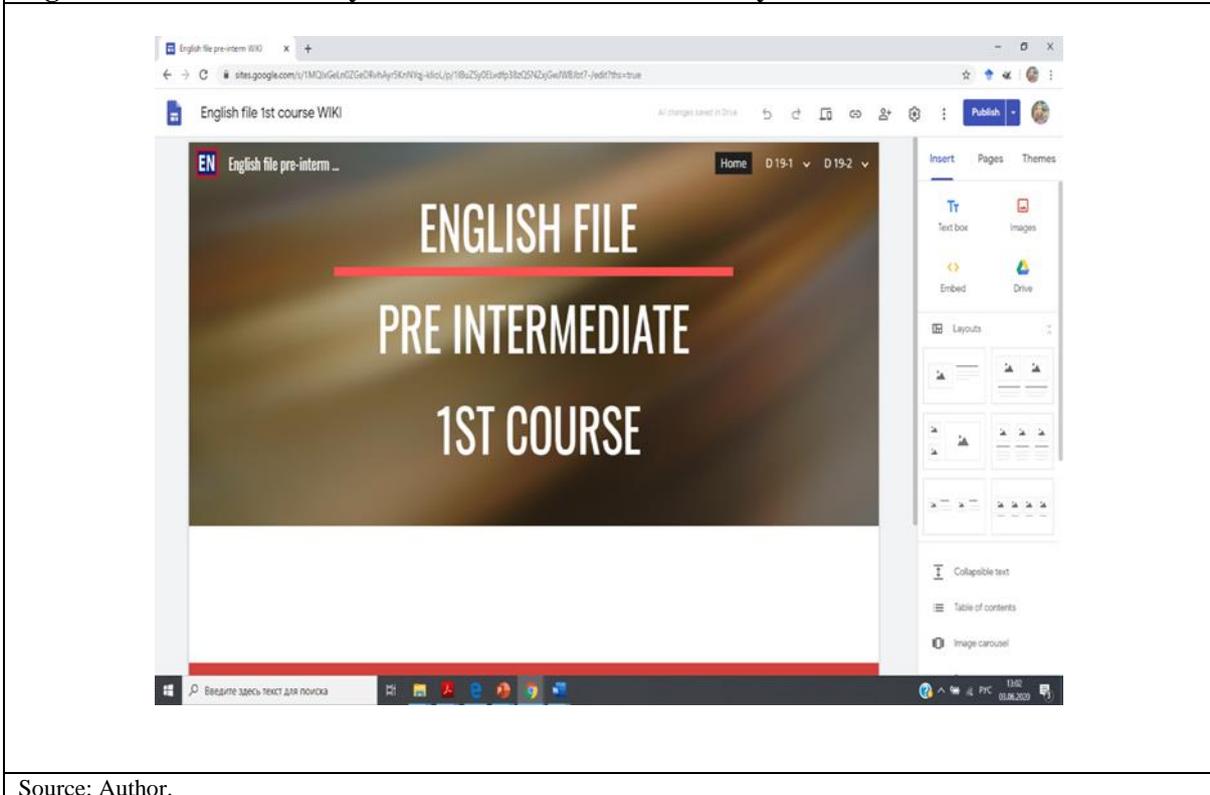
The educational potential of SNS as an educational tool can be improved if the students' perceptions are considered to explore its acceptance among students and find out variables that can influence students' affective domain.

2.2. Wiki sites deployment for teacher- students collaboration

Wiki-technologies have been actively used by teachers to achieve the aim of collaboration and active equal participation in English learning activities (Li 2012). Wiki sites are proposed as an effective scaffolding platform to support L2 teaching and learning (Lin & Yang 2011). Scaffolding is a form of learner support provided in a variety of ways, assigning several roles and responsibilities for students and other participants in the educational environment (McLoughlin 2002).

Since 2019 wiki sites have been deployed by the author for the variety of teaching reasons and learning formats: individual projects- pair activity- group activity- several groups. The platform is very flexible in terms of user generated content and offers a variety of tools for generating and editing the content and artifacts.

Figure 1. A wiki site for 1-year students at Minin University



Source: Author.

There are plenty advantages for wiki deployment: experience and ease of use; utility (access to the resources and transparency of artifacts); updating, editing and fast feedback; an interactive and innovative approach to teacher-student collaboration.

Conclusion

To maximize educational potential of Web 2.0 technologies such as SNS or wikis certain conditions must be created. The overall educational system should be digitized, and it means an easy access to the Internet, availability of other computer facilities, proper deployment of digital tools into the educational system at all levels from preschool to higher school. The educators must have enough digital skills to design, deploy and do assessment in virtual learning communities. This new format of teaching and learning requires not only the knowledge of technology but also a better understanding and awareness how to combine tools with curriculum and what pedagogical approaches to apply to build collaborative environments with students in synchronous and asynchronous learning formats. To deploy social media into teaching educators should take into consideration the barriers and challenges that are likely to emerge on the way to technology-enhanced learning. Given the awareness about possible problem areas, social networking sites and wikis are sure to enhance learning process and academic performance of students in general.

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TAMER BUDAK¹ AND SERKAN BENK²

HOW SERIOUS IS TAX EVASION AS A CRIME: AN EMPIRICAL STUDY IN TURKEY

Abstract

This present study aims to find the sensation of Turkish people of the seriousness of tax evasion to relative to other crimes and violations. A questionnaire was applied to the Turkish people. A five-point Likert scale was used to categorize the degree of seriousness of each crime for data analysis. The results of comparative analysis and the mean will be investigated to demonstrate where the tax evasion as a crime is located in Turkey in the thirty-three listed crimes. Results in some studies on the perception of tax evasion based in the developing and developed countries may not be generalized to the terms of Turkey because of the variations in the environmental factors. This is an important study of Turkey. This is one of the significant studies that indicate the link between tax evasion as a crime and other offences in Turkey. The results of this study show that tax evasion ranked 15th within the 33 offences surveyed, in other words, its position is in the middle in terms of seriousness.

Keywords: Tax evasion, crimes, public perceptions, Turkey

JEL Codes: H26, K14, K34, K42

1. Introduction

Tax evasion as a crucial issue has decreased the government's tax revenues in every country. The tax evasion has also created some other important issues being decrease to economic development. For instance, the tax evasion disrupts the tax system and distorts public revenues structure (Mamuti, McGee 2016). Even though there are many studies regarding tax evasion, Few studies have been made of Turkey as an empirical study. Tax authorities try to improve tax compliance for many years. There have been many kinds of research in recent years. In additional insights have been drawn in these researches into taxpayers' behaviour. This paper focuses on the level of seriousness with which individuals see tax evasion as a crime. Section 2 briefly reviews the existing literature, and Section 3 the method used in this study. Section 4 presents the findings of the survey and results.

2. Review of the Literature

Tax evasion has existed since tax authorities started collecting taxes (Adams, 1982). Abdixhiku, L. found that in his doctoral dissertation, tax evasion as one of the important issues facing countries. He put that tax evasion charges several economic costs: it reduces economic growth; it conducts economic resources to unproductive activities; it encourages firms to remain small and invisible; and it leads to injustice between the tax evaders and the honest taxpayers (Abdixhiku, L. 2013).

Tax evasion has existed ever since governments started collecting taxes (Adams, 1982, 1993). One of the most comprehensive analyses on tax evasion from a philosophical perspective was a doctoral thesis written by Martin Crowe in 1944. This significant study included the moral point of view of paying taxes to the government. His thesis reviewed the theological and philosophical debate that had been going on, mostly within the Catholic Church, over the previous 500 years (McGee, 2005). There is a truth that tax evasion is inevitable. All economies have little or more tax evasion. Historically, some arguments to justify tax evasion have been stronger or more widely accepted than others. There is a

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common perception that there is more of a moral duty to pay taxes if the taxpayer receives benefits from the government projects or expenditures (McGee, 2012).

Many empirical studies have also examined attitudes toward tax evasion in various countries (Alm and Torgler, 2006; Alm and Martinez-Vazquez, 2010; McGee, 2012; Ross and McGee, 2011; Torgler, 2012). Some of these studies have found that women are more firmly opposed to tax evasion rather than men, while other studies have found that the difference in male and female attitudes toward tax evasion is not important. Some of these studies also found that elders are more firmly opposed to tax evasion than are younger. Despite the variety of research in the area of perceived crime seriousness, findings report consensus in the relative rankings of the seriousness of crime among different groups and populations (Levi and Jones 1985; Rossi et al. 1974). Mostly, violent offences are graded as the most serious, and after them come property, white-collar, and moral crimes. (Al-Thakeb and Scott 1981)

3. The Present Study

In this study, the respondents from Turkey were randomly selected from the city of Malatya. Convenience sampling method was used, and face-to-face interviews were done to fill up the questionnaires. A covering letter explaining the purpose of the study was attached to the survey form. Participation was voluntary, and participants were guaranteed that their answers would remain confidential. Out of the 2,500 questionnaires distributed to the citizens, after consideration, only 545 were considered as usable responses. So the response rate was 21.8 per cent. This research operates to find the level of seriousness of tax evasion compared to other offences. The questionnaire is separated into two sections. The first section of the survey is designed to include demographic characteristics of the participants, and the second section measured opinions on 33 different offences including some serious crimes.

3.1. Participants

It is already mentioned, the first part of the questionnaire is designed to include a demographic profile of the respondents. Questions asked in this part concerning gender, age, education and marital status. Table 1 illustrates the Socio-demographic data of the study participants. The majority of the participants (40.00 %) had a graduate degree, followed by 26.80 % who had a high school education.

Table 1. Socio-demographic data of respondents

Demographic Variables	Frequency (n=545)	%
Gender		
Male	329	60.4
Female	216	39.6
Age		
0-19	14	2.6
20-29	243	44.6
30-39	135	24.8
40-49	78	14.3
50-59	49	9.0
60 and over	26	26 4.80
Marital Status		
Single	269	49.5
Married	263	48.4
Widowed/divorced	11	2.0
Education level		
Primary School	109	20.4
High School	143	26.8
Associate degree	48	9.0
Graduate degree	213	40.0
Postgraduate degree	20	3.8
Job Sector		
Public	130	24.9
Private	247	47.2
Unemployed	146	27.9

Source: Prepared by the authors with the data of research.

As shown in Table 1, the majority of the respondents 60.4% males and 39.6% were female. The biggest group (69%), in terms of age, those aged was between 20 and 49. The majority of the respondents in this study 49.5% were single, 48.4 % was married, and 2% was either divorced or widowed. In terms of the employment sector, the largest of the respondents 47.2% in the private sector and 24.9% was in the public sector and 27.9% was unemployment.

4. Overall Result

Respondents were asked to define their opinion on the seriousness of 5 different groups of offences including violent crimes, white-collar crimes, property crimes, moral crimes, and traffic crimes on a five-point Likert-type scale that is ranked from “not serious” to “extremely serious”, where 1 represented “not serious” and 5 represented “extremely serious” (Al-Thakeb and Scott, 1981).

Table 2 shows the descriptive statistics and reliability estimates. There were 33 offences in this survey to ask respondents. The performed analysis shows that citizens of Turkish people perceived tax evasion as the middle serious crime compared to the other 33 given offences. Turkish people are perceived that child molestation is the highest serious crime and jaywalking is the lowest crime.

In this survey, child molestation, kidnapping, rape, murder, and terrorist attack were rated as the least serious crimes/offences. At the same time, the average rating for tax evasion was 4.31, which was the 15th most serious or rated as the least serious offence in the survey.

Table 2. The level of seriousness Tax Evasion Compared to Other Offences

Rank	Crimes/Offences	Mean	Std. Dev.
1	Child Molestation	4.93	0.347
2	Kidnapping	4.90	0.360
3	Rape	4.87	0.466
4	Murder	4.85	0.553
5	Terrorist attack	4.83	0.531
6	Drug selling	4.80	0.600
7	Extortion	4.73	0.615
8	Violence against women	4.55	0.883
9	Arson	4.55	0.787
10	Prostitution	4.52	0.996
11	Violence against children	4.48	0.849
12	Embezzlement	4.47	0.764
13	Carjacking	4.41	0.788
14	Accounting Fraud	4.34	0.795
15	Tax evasion	4.31	0.915
16	Bribery	4.30	0.908
17	Damage to public property	4.20	0.897
18	Shoplifting	4.14	0.938
19	Drug using	4.13	1.129
20	Welfare fraud	4.13	0.999
21	Insider trading	4.12	1.001
22	Driving while intoxicated	4.12	1.023
23	Child labor	3.99	1.004
24	Minimum wage	3.96	1.069
25	Insurance fraud	3.93	1.082
26	Buying stolen goods	3.72	1.249
27	Gambling	3.70	1.293
28	Speeding	3.42	1.176
29	Running a red light	3.33	1.201
30	Homosexuality	3.19	1.708
31	Bike theft	3.15	1.312
32	Illegal parking	2.70	1.152
33	Jaywalking	2.46	1.255

Source: Prepared by the authors with the data of research.

Comparing tax evasion and various violent crimes, in all cases, tax evasion is importantly less serious than selected violent crimes. Comparing tax evasion and various property crimes, tax evasion is remarkably less serious than arson and carjacking and notably more serious than shoplifting and bike theft. Comparing tax evasion and various white-collar crimes, tax evasion is notably less serious than embezzlement and significantly more serious than welfare fraud, insider trading, child labour, minimum

wage and insurance fraud. At the same time, Comparing bribery and moral crimes, tax evasion is crucially more serious than buying stolen goods, gambling and homosexuality. At the end comparing bribery and traffic crimes, tax evasion is significantly more serious than all traffic crimes.

5. Discussion and Conclusion

Tax evasion is mostly perceived as more serious than some crimes and less severe than others. The purpose of this study is to explore where tax evasion lies in the spectrum of crimes. The results of the analysis display that respondents in Malatya, Turkey, perceived tax evasion as the middle serious crime compared to the other 33 given offences as serious as bribery.

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AMNH AWAD FARHAN GHARAYBEH¹

EFFECTIVENESS OF BEHAVIORAL COGNITIVE PROGRAM TO TREAT THE SELF-HARMING BEHAVIOR OF UNDER-AGE GIRLS IN AMMAN

Abstract

This study aimed to test any treatment methods more effective in reducing the behavior of self-harm, and to identify the characteristics of girls exposed to delinquency, self-harm and sexual abuse, this study applied the experimental method i.e. the design of the dimensional tribal experience by the remote tribal measurement of two groups, one experimental and the other controlled, and the sample of the study was selected from the underage girls residing in the social welfare institution (nursing home for girls/pavement in the Hashemite Kingdom of Jordan, and their age Between (12-18) years, the study found that the most effective treatment methods in mitigating self-harm, modeling, induction, role-playing, homework, positive support, positive support, and emphasis.

Keywords: Z00, Z10

JEL Codes: Behavioral cognitive program, self-harming behavior, Amman

Introduction

In the family, the individual learns responsibility, freedom of opinion, democracy of decision and his rights, and his duties and recognizes the behavioral methods that he or she has to represent as a method of conduct, and the failure of the family to do so may enhance the chances of deviation. (Jadallah Abu al-Makram and Jadallah: 2009, 32).

Violence against children and adolescents is receiving increasing attention because of its multidimensional social problem, with short- and long-term effects on health, growth and mental and psychological level in boys and girls, as well as with public health, social welfare, human rights and economic growth (Zimstat: 2013). Adolescence is also a crisis for adolescent girls and for those around them, especially in self-realization to try to understand and discover forbidden things, especially with the opposite sex, and the desire for independence from the family and school. (Mona Abu Bakr Zaytoun: 2005, 19).

The phenomenon of sexual abuse of girls is therefore one of the most serious social phenomena that threaten the cohesion of society and limit its capabilities, or stand in the way of its progress and development, and given its significant increase, it has attracted organized global attention to the creation of a unified system of action to protect children from all forms of sexual abuse from the 1970s and 1980s to the present day, when the attention of the international community has expanded to protect children from sexual abuse (UNICEF: 2010.3).

A girl exposed to sexual assault may suffer severe self-reproach as to self-deprecation (Noha Al-Taqrabi: 2003, 253).

He sees that the self-harmer does not feel pain either during and immediately after practice, and may not realize that the abuse has occurred, and then he feels comfortable, or feeling guilty, and may continue to feel 24 hours after the event. (Crowe, Michael, & Bunclark, jane, 2000,48-53).

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The researchers pointed out that self-harm occurs early in adolescence, and may last from weeks to a year, and self-harm is associated with previous childhood experiences such as physical, sexual, and emotional abuse.

The importance of the study

Adolescence is one of the most dangerous age stages to be taken care of, especially among underage girls who are exposed to sexual abuse, and the treatment of self-harm behaviour of underage girls in care homes reflects positively on their behaviour and emotions, which positively affects the society in which they live.

The problem of study

The number of women in the national police force is 12.5 per cent (Ministry of Social Development statistics: 2018, 55).

Where the issue of physical abuse of underage girls in Jordan did not arouse the passion of researchers in the knowledge of the researcher, and did not provide the necessary professional intervention in the treatment of its effects or at least mitigate its severity, where it is treated purely legally, and marginalized psychological and social treatment, so the problem of the study lies in knowing the effectiveness of cognitive behavioral therapy in the treatment of physical and emotional abuse of underage girls.

The objectives of the study

Test the effectiveness of the professional intervention program based on cognitive behavioral therapy in the treatment of self-harm behavior of underage girls exposed to sexual abuse in Oman.

This objective is branched by several sub-objectives

1. Reduce the physical abuse of underage girls who are vulnerable to sexual abuse
2. Reducing the emotional abuse of underage girls who are vulnerable to sexual abuse

The main assumption of the study

There are statistically significant differences between the averages of tribal and distance index scores of experimental and control groups on the self-harm diagnosis scale in favour of dimensional measurement.

The Study Method

In line with the nature of the study objectives and in line with the type of study, the systematic design using the experimental method is to design the dimensional tribal experiment by measuring the dimensional tribal ity of two groups, one experimental and the other controlling, and testing the differences between tribal and dimensional measurements of the two groups.

Concepts of study

The concept of the Cognitive Behavioral Program is defined in this study: planned professional intervention using a range of therapeutic methods to work with underage girls who have been physically and emotionally abused, and born with self-harm behaviour, to help them get rid of the negative emotions associated with this, to modify their thoughts and disturbed behavior as well as to change their irrational thoughts associated with that behavior.

Self-harm is defined as deliberate injury to the individual's body without the intention of life, with the aim of reducing psychological stress, and such behaviour is socially unacceptable. (Walsh, Barent .; 2006,4)

Self-harm is also known: there are two terms associated with self-harm, the first is called rumination, which is known as a frequent and negative focus on the symptoms of stress in the individual and its meaning without taking positive responses to overcome these pressures, and the second: the so-called worry and is known as a series of ideas and perceptions that carry negative emotion, which is to try to solve problems through unspecified ideas, and therefore have negative consequences. (Anderson, Nicholas, 2009, 11-12)

Previous studies

Study: Ahmed Jamil Yousef Al-Jawaouda: 2014

Titled: "The Impact of Trauma-Focused Cognitive Behavioral Therapy" in Reducing Post-Traumatic Stress Symptoms in Children's Physically Evenings."

The aim of the study: This study aimed to verify the impact of the Shock-focused Cognitive Behavioral Therapy (TF-CBT) program in reducing the symptoms of post-traumatic anxiety in children who are physically injured by a family member. One of them (12) children, a list of symptoms of post-traumatic anxiety for children has been used to assess levels of post-traumatic anxiety symptoms for trauma individuals.

Study results: The results of the study found the effectiveness of the trauma-focused cognitive-behavioral therapy program in reducing levels of symptoms of PTSD in the overall dimension on the list of POST-traumatic stress disorder and on all sub-dimensions in dimensional measurement and the continuing impact during the three-month follow-up period.

Study: Shaimaa Mahmoud Mohammed Abdallah: 2015

Title: A proposed behavioral knowledge program to reduce the behavior of children suffering from sexual abuse (14:16).

The aim of the study: This study aimed to test the effectiveness of a behavioral knowledge program to alleviate the behavior formed for children suffering from sexual abuse, by reducing the severity of the behavior formed, and modifying the behaviors of some girls evening for them in order to achieve psychological and social compatibility, and enable them to form social relations together, and applied this study to (13) girls from the evening to them sexually, ages 13 16 years.

Study results: The results of the study showed their response to the list of formed behavior and the severity of their behavior deviation after applying the list of formed behavior to a sample of (30) girls, using 1. Preliminary data form, 2. List of the problem behavior suffered by the child's abuser.3 A behavioral cognitive program to alleviate the severity of the type of type of behavior formed, and the results of the study resulted in statistical differences between the averages of the grades of girls who suffered from sexual abuse and when they were exposed to the proposed program in favor of exposure and at the level of indication (5,0) there were no statistical differences between the averages of the grades of girls who suffered from sexual abuse on the list of behavior formed before and after exposure to the proposed program in favor of exposure and at the level of indication (5,0) there were no statistical differences between the averages of the grades of girls who suffered sexual abuse on the list of behavior formed before and after exposure to the proposed program in favour of exposure and at the level of indication (5,0) there were no statistical differences between the averages of the grades of girls who suffered sexual abuse on the list of behavior formed before and after exposure to the proposed program

in favour of exposure and at the level of indication (5,0) there were no statistical differences between the averages of the grades of girls who suffered sexual abuse on the list of formed behavior before and after exposure to the proposed program in favour of exposure and at the level of indication (5,0) that there were no statistical differences between the averages Grades of girls who have suffered sexual abuse on the measure of behavior formed for girls one month after they were exposed to the program at a level of significance (5,0.)

This study is consistent with the 2015 Study (Labelle, Real)

Titled: "Behavioral cognitive treatment of suicidal behavior and self-harm for adolescents using cognitive behavioral therapy".

The goal of the study: The study aimed to use cognitive behavioral therapy to reduce suicidal behaviors and self-harm in adolescents, and the sample consisted of 14 adolescents who were divided into an experimental control group. The study found a reduction in suicidal thinking and a reduction in self-harm.

Study: Rola Oudh Al-Sawalgeh: 2016

Entitled: "Social Support for Girls Underage For Sexually Abused, A Pilot Study on a Care and Correction home for Girls in Jordan".

The aim of the study: The aim of this study was to apply a program of social support for clinical sociological intervention to treat or mitigate the effects of sexual abuse on underage girls who have been subjected to it. Its tools consisted of a form to determine the effects of sexual abuse on underage girls who had been subjected to it, and the study sample of the girls who had been sexually abused and placed in juvenile care, rehabilitation and education homes in Jordan was selected, numbering five girls, ranging in age from 15 to under 17.

Study results: The study found that there were differences between the responses of young girls to sexual lyceums on the form to determine the effects of sexual abuse on minors have decreased significantly, such as reduced depression and anxiety alone anger, compulsive obsession and post-traumatic stress disorder, and the elimination of minors from each other, such as shame, shame and isolation Social, suicidal tendencies, elimination of abnormal behavioral practices, and weight disorder, the results also found that the most effective art of cognitive therapy to work with cases of sexual abuse are: technical analysis of beliefs, modeling, role play, education, self-dialogue, imaginary exposure to sexual abuse, and play therapy.

Study: Nahed Samir Mohamed Moussa: 2017

Entitled: "The Relationship between Irrational Ideas and The Social Responsibility of Raped Girls.

The aim of the study: to identify the most irrational ideas associated with the raped girl, to identify the personal variables of the raped girls, to determine the level of self-care, family and others of the raped minor girl, to determine the level of self-understanding and others of the raped minor girl, and to determine the level of participation of the rapists. With other family members, colleagues and supervisors in social performance, determining the degree of impact of irrational ideas on the performance of the raped girl for social responsibility, the researcher used the scale of irrational ideas for children and adolescents to prepare / Moataz Sayed Abdullah, Mohammed Sayed Abdulrahman 2002.

The results of the study: the existence of a statistically functioning inverse relationship between irrational thoughts and the social responsibility of raped girls at a moral level (0.01), the existence of a statistically functioned inverse relationship between irrational thoughts and interest in the raped girl at

a moral level (0.01). The existence of a statistically significant inverse relationship between irrational thoughts and understanding of the raped girl at a moral level (0,01). The existence of a statistically significant inverse relationship between irrational ideas and participation in the raped girl at a moral level (0,01).

Study: Somaya Atef Abbas Ali: 2018

Entitled: "Life pressures for raped underage girls and their relationship to their incompatible behavior".

The aim of the study: to determine the nature of the relationship between the life pressures of the raped underage girls and their incompatible behavior, to identify the life pressures to which rapped underage girls are exposed, to identify the incompatible behavior of raped underage girls, and to find indications of the role of the social worker who deals with individual cases of modification The study is considered a descriptive analytical study aimed at determining the relationship between life pressures and the incompatible behavior of girls who have raped minors, and the study was applied in the institution for the care of underage girls in The Sun governorate of Cairo (50) girls, and the village foundation Hope to take care of young mothers in the Cairo governorate (70) girls.

The results of the study: the establishment of associations and special centers to care for rape victims and a qualified task force to deal with girls who have been raped.

Study tools

- A. Measure of self-harm diagnosis for adolescents and ordinary and extraordinary adults (Preparation / Zainab Mahmoud Choucair:2006)
 - B. Measure of irrational ideas for adolescents (prepared by Moataz Sayed Abdullah, Mohammed Al Sayed Abdul Rahman:2008).
 - C. Evidence of self-harm behavior for underage girls (preparation/researcher)
 - D. Guide to analyzing the content of professional intervention sessions
- Ninth: Cognitive behavioral therapy

The main idea of cognitive behavioral therapy is based on the circular relationship between thoughts, emotions and behavior, the thoughts that the individual is about reality are the reason for his emotions, not the attitudes as they are in fact, so the role of the therapist is to correct the wrong thoughts that lead to negative emotions and behaviors. (Taha Abdul Azim Hussein: 2007, 170-171). Cognitive therapy is one of the short entry points that is high in construction, ease of learning and usability in institutions that suffer from a lot of clients as indicated (Ronin, 2008) that there are many characteristics of CBM that can be mentioned in the following: (Trevithick, Pamela: 2012, 316).

It is a goal-oriented and active treatment, focused on training and experience elements, processor-client collaboration, customer-focused rather than on the problem, and the ease of changing client processes through the processor, and applicable with multiple emotional and behavioral problems. Lishman, Joyce, Yuill, Chris, et,al: 2014, 268) also adds:

It is a time-limited treatment, both the specialist and the client have specific roles and the results of the intervention are measurable, and the treatment has a comprehensive base of therapeutic methods.

Stages of the application of cognitive behavioral therapy:

- 1- The treatment at Meckenium contains three main stages: (Mftah Mohammed AbdulAziz:2001, 58-59).

I'm not going to do that Stage 1: Self-observation where the client has inappropriate conversations and fantasies and the therapist tries to increase the awareness and attention of the client to focus on his thoughts, feelings and behaviors, and this leads to a new knowledge structure that leads to the redefinition of the problem and the sense of hope to make changes and reach new meanings and different feelings and behaviors.

Stage II: Ideas and behaviors that are not compatible where the client's observation of himself includes a new internal conversation generates a series of new behaviors that are not compatible with the behaviors of the problem, and thus leads internal talk to cognitive reconstruction through the organization of the client of his experiences in a way that leads to confrontation and dealing effectively. I'm not going to do that Stage 3: Develop the cognitive aspects of change where the client performs confrontational behaviors, self-talk, because this affects the process of change in behavior and the process of generalization in other situations.

Cognitive behavioral therapy methods

Cognitive methods

A. Logical discussion: It is intended for the therapist to account for negative irrational ideas in the client and then categorize them and discuss those ideas with the aim of changing them and forming alternative logical ideas and then using those alternative ideas to build a coordinated logical pyramid on irrational ideas (Abd al-Wahab Mohammed: 2001, 374).

B. Confrontation: It is intended to confront the client with his irrational ideas and turn them into rational ideas with encouragement, motivation and persuasion to modify emotions and behaviors, which means exposing contradictions and not matching, for example, words and actions (Saleh Ahmed Al-Khatib: 2003,353).

C. Self-education: A cognitive method that focuses on the internal talk of the client, which in turn contributes to the reactions towards different life situations, if the reaction is negative, it is about an internal talk other than the client, and through this method helps the client in writing self-reports in the sense of recording the internal conversation himself, to learn and pay attention to the nature of thinking controlling the mind (Ronen, Tammie, :2003,71)

D. Problem-solving skills training: Problem solving is an emotional behavioral knowledge process whereby individuals can identify, discover or invent ways to deal with the problems they face, while at the same time a process of social learning, a method of self-regulation, or a general response strategy that can be applied to a large number of problems (Adel Abd allah: 2000, 69).

Emotive methods

A. Acceptance: It is intended to accept the client's acceptance of rational ideas that generate positive emotions rather than negative emotions resulting from irrational ideas (Ali Hussein Zidan et al. 2015, 97).

B. Self-control: This technique is one of the most important techniques of cognitive behavioral therapy and is suitable for the professional practice of specialists, and cognitive behavioral therapy assumes that self-control is an educated skill or a set of cognitive skills that can be taught to clients during professional interviews as a technical for situations in which the individual is a tool to change his behavior the client moves from external control of his behavior to the internal control of this behavior and self-control

requires the client to trigger the stress or stress that makes unwanted responses impossible or unlikely to occur to me (Rafat Abdel Rahman: 2013, 321).

Behavioral methods

A. Positive support: A method used when there is a procedural I'm not going to do that behavioral response that needs to be changed, such as strengthening or maintaining existing behavior, and applying this method by providing a desirable trigger following a desirable response (Abdul Aziz Al-Nuuhi: 1999, 114).

B. Self-reports: Means to alert the client to write his thoughts and daily beliefs towards different attitudes and subjective feelings that he repeats, then the therapist participates with the client in the analysis and interpretation of self-reports in order to reach rational thoughts and positive feelings and desired behaviors (Weiss, Smith, :2004,185).

C. Playing the role: Playing the role is defined as a social education curriculum, whereby we train a person to perform aspects of social behavior until he or she mastered it and acquired skill.

There are stages for the social worker to follow to take advantage of this method, namely to present the behavior to be learned or trained through television models or audio recordings, to encourage the performance of the role with the specialist or assistant, to correct the performance, to draw attention to its shortcomings and to support the correct aspects of it, by re-performing and repeating it until the therapist shows the mastery of the individual, and that actual practice in live situations to teach the new experience, and helps to create positive intellectual and behavioral in the personality of the client (Asma Mustafa Al-Suhaimi: 2003, 55).

D. Modeling: Learning a particular behavior by observing a person performing this behavior (Ahmed Mohamed Bassiouni: 2003, 292).

The therapist uses modeling to express experiences, intellectual patterns, beliefs, emotional experiences and desired behaviors, and this is achieved in engaging the client by playing a role in providing a model of desired behavior and modifying ideas, beliefs and problem solving, and modeling depends on identifying problems of unwanted behavior, what new behaviors can be developed, identifying irrational ideas that make the client interpret the motives of others irrationally, gradually introducing the client to future problems of readiness to agree with them, as well as gradually reducing with the support provided, practicing the supervisors and practical evaluation (Ali Hussein Zidan et al. 2015, 99).

E. Homework: Homework may be cognitive or behavioral (Abd al- Sattar Ibrahim: 1998, 133). It is determined at the end of each session, as it is evaluated at the beginning of the second session, to be trained at the beginning of the treatment sessions, and to be gradually made from the easiest to the complex behavior, as well as the transition from one type of behavior to the other until the success of the implementation of the previous behavior is confirmed (Ansam Mustafa Al Sayed: 2013, 28).

Treatment sessions with cases

Treatment sessions were applied to (13) girls who had been sexually abused and engaged in self-harm behavior as a result, ranging from 12 to 18 years of age, in the Girls' Care and Rehabilitation Home/Al-Rusayfa/Jordan.

Preliminary sessions: The researcher conducted interviews ranging I'm not going to do that from ten sessions with girls in four months, the aim of which is to collect data and apply the study form to

determine the behavior of self-harm on them, and to identify the extent to which cases accept the idea of treatment sessions on them, and used group sessions and individual sessions with cases.

Clinical sessions: Through the preliminary sessions, the description of the cases was determined so that the researcher can choose the appropriate therapeutic techniques and techniques for each case and a case has been selected from among these cases applied by the program and the following is a presentation of this case.

Preliminary status report

The girl is 17 years old, studied for the ninth grade, the father and mother are not separated, and she has a male sibling (1) and a female (4) and has been in the girls' care home for 6 months. 26) A year, by phone, and the delusion that he is in love with her, and that he cannot live without her, and the most important of them in marriage, and began to meet him at first in public places, and then began to develop the relationship between them from wonders to love, to the point that they became mutual trust between them Among them, she was comfortable in dealing with him, and began to complain to him about her family's treatment of her, where the father was constantly violent to the point of losing consciousness, because of her neglect in her studies, and the bad companions, she was missing the tenderness of her family, which prompted the young man to exploit the weakness of the girl and Her need for tenderness and love, where he began to draw her by giving gifts to her, and contact with her on a daily basis to check on her, and he inspired her to be able to protect her, and provide all her needs, which strengthened trust between them, and she went out with him constantly, and missed the house for long hours, and repeated her absence The young man continued to press the girl to meet her again, where the pictures of the girl were with him on the phone, and recording voice calls between them, prompting the girl to go out with the young man more than once in a friend's apartment, and repeated the sexual abuse, and as a result the menstrual cycle was interrupted for four months and her mother was called for a review, which called the mother to review The health center for the reassurance of her believed that he was a pathological symptom, but the results of the medical examinations showed that she is pregnant, so the health center reported to the family protection house the presence of an unmarried pregnant girl who had reviewed the health center, and the Department of Family Protection sent a specialized team to the health center to take the girl, where they transferred her to a social worker to study her condition, and then sent her to the medical examiner in the hospital, who proved that the girl was sexually assaulted and pregnant in the fourth month, and then was presented the next day to the plaintiff The general decided to transfer her to the care home to protect her and receive care, where she was received by the social worker who opened a file for her and a social study of the girl, and was given the tasks and duties required of her in the house, where the house is destroyed by the food, drink, housing and health care, and is presented in a sedentary manner to the social and psychological specialist to follow the situation and provide full support to her, and during her stay in the house she gave birth three weeks ago.

First interview

Interview content

I went to the training room inside the house, where the girl is 17 years old, medium-height, wheat-colored, greeted, sat next to her and introduced her myself, offered her help to modify her negative thoughts to positive, relieve her psychological pressures, and assured her of the confidentiality of information, and that the beginning of working with her requires answering two measures, so she was offered a measure of self-diagnosis and asked her to determine the response she believes is correct for her, so she agreed to put her responses to the self-harm measure, and she agreed to the girl's responses to the self-harm measure. The following: I dislike myself and may reach the extent of the wound or the bloody gathering or feeling of severe pain, I am angry and crying a lot that I love the sadness and sorrow,

I grieve and cry at a time when people are happy, neglect my appearance, I act negligently and randomly, I feel A neglected and worthless person, smoking or drinking anything that harms my health, threatening to be kicked out of the house, carrying myself over my energy until I feel tired, I disbelieve in myself and prevent myself from free expression and venting, depriving myself of food or quiet sleep, I do not care about my health, I deliberately sit alone away from social life, ignore my presence and I with others, and then I asked her to answer on the scale of irrational ideas, and she replied: I think I should be different from what I am now, I get upset about many things and things and events, I'm not a lucky person, I'm not bothered by other people's thoughts about me, I get confused when things don't go the way I want, things don't have to happen, things often go different than I want and I hope, life is not as good as it should be because That happened to me when I was young, and through the evidence of the observation it turns out that the girl hurts herself by cutting her hand with the blade, the marks of the wound and the self-harm visible on her hand.

Interview 2

Interview content

I went to the training room on time and exchanged greetings with the girls who were all interviewed in previous one-on-one interviews and reminded them of the purpose of the interview, which is to get rid of self-harm behavior through treatment, and I clarified the idea of treatment that includes: that behavioral disorder occurs because of the way of thinking in the situation and not external circumstances are responsible for it there is nothing scary or scary and there is nothing pleasant or sad but thinking about the situation irrationally entails undesirable behavior, that the goal of Treatment is to rebuild ideas and beliefs and transform them from irrational ideas and beliefs into more rational ideas and beliefs so that a person can judge the situation properly and thus behave in order to behave together.

She explained that the treatment involves not only identifying irrational ideas and beliefs leading to undesirable behavior, but also weakening the client's belief in them and strengthening new rational ideas to become desirable behavior.

She stressed that it was ideas that influenced an individual's emotion and behavior, and that the essence of the treatment included that any active event or attitude, which entailed a behavioral consequence associated with personal thoughts, that treatment required discussion, challenge and doubt of the irrational ideas that had caused the behavioral reaction, and the arrival of a new rational expectation that generated desirable rational behavior.

I linked the above to the idea of ABC theory and explained to them that the cause of negative emotions and undesirable behavior is negative and irrational thoughts and hit some examples such as the negative belief "that others do not like me" entails feelings of anxiety, weakness of self-acceptance and intolerance as an irrational conclusion and therefore behavior of self-harm of all kinds and asked about the clarity of the idea and their understanding of the relationship between irrational thoughts and the resulting behavioral emotions, they explained that they understood this relationship and then confirmed that the basic content of the cognitive therapy program includes not Only modify ing irrational ideas but also includes changing negative subjective expressions that lead to undesirable behavior, and when the individual says to himself "I am weak and i am useless and valuable which makes him inclined to condemn himself and blamed her and feel unhappiness and self-acceptance and the need to work to change the current situation for better, and adopt these positive self-talk will be excited to implement new ideas and these positive conversations will push him to a rational behavior desirable and then I explained to them the idea of a video Wendy in a simplified way which includes the relationship between (A.B.J.) explained that the video of Wendy Windy tries to clarify that the interview ends with a question that begins with the following interview where one of the attendees is asked to mention the question that

was asked in the previous interview, which includes: What does "A.B.c." mean and then explained to them some situations in the video as follows:

If you go through a situation and you need someone to help you do not rely on luck because it will let you down and abandon you, and do not try to complain or justify, but keep the voice of your mind and learn you need to know the gap between (b and c) you do not need to run away from your duties and responsibilities, use the form (A.B., C), and comment edited that this simplified method that we will learn together, includes:

- Focus on behavioral reaction at the moment
- Clearly identify at the moment the attitude or event (a) that caused self-harm and moved on to irrational (B) ideas that caused the behavioral reaction (C).
- You have to go to (B)
- Practice it makes you the best person.

She asked about the extent to which they understood the subject, and they confirmed that the idea of the video liked them, especially the explanation with music and rhythm, so I promised them to leave a copy on the computer in the care home in addition to a copy of the cognitive model they can refer to to understand and focus, and i promised again to emphasize the idea of treatment and asked them the second question: if there are three girls injuring their hands what are the thoughts and conversations of each of them and what behavior ensues One of them said that when I remember my father's abuse of my country, I cut my hand with the blade, which distorted my hand, and another said when I remember that I went out with my friend and raped me with my consent, I embarrassed my hand with the mousse, which led to the survival of his long-term effect on my hands, and the third said I start to review my mistakes that led me to self-harm, so I said that the event is one and the behavior is different as a result of the idea that each of them holds on.

Then I began to explain the method of recording self-reports and their importance and that it includes a daily recording of the situations that the girl is going through, distributed to them a copy of a self-report and emphasized the commitment to registration and the ideas and subjective conversations in their relationships within the care homes with their colleagues, social workers and supervisors and judging those ideas in terms of their validity or error and modifying them and then i distributed paper to them with the aim of teaching them how to record daily situations (situation, idea associated with, modern, behavior, judgment, modification of the idea), and i prepared that I prepared these ideas in terms of their validity or error and then distributed paper to them with the aim of teaching them how to record daily situations (situation, idea, modern, behavior, self-judgment, modifying the idea), and explained that I prepared these ideas in terms of their validity or error and modifying them and then distributed paper to them with the aim of teaching them how to record daily situations (situation, idea, modern, behavior, self-esteem, judgment, modification of the idea), and explained that I prepared for these ideas in terms of their validity or error and modifying them and then distributed paper to them with the aim of teaching them how to record daily situations (situation, idea, modern, behavior, self-judgment, and An educational material for the cognitive model behavioral in a paper and electronic image and I distributed the paper image to all the girls with a cd with the educational material written and the video file that was shown and then thanked everyone for the good listening and interaction and summarized what happened in the interview and agree on the date of the next individual interview for each girl as agreed in the previous interview.

Interview 3

Interview content

The girl (M) came on the agreed date at 1 p.m. and exchanged greetings, and through the note guide of the researcher, it turns out that the girl is very nervous and when I asked her why she was nervous she replied that Elam and the father came to visit her yesterday in the care home, and did not want to meet them and refused to do so, because she held them responsible for neglecting her, which led her to practice negative behaviors, and she was crying very and tearing while talking about the cruelty she was subjected to from the father, and by answering her on the scale of abuse Self that she still shaved her hand in the blade to drop the blood, tried to cut off her arteries to get rid of life, and i asked her what drives you to do it. She answered: She is relieved psychologically when hurting herself, and feels the pleasure of punishment for herself, so she calmed her from crying and talking to her calmly, that what you are doing wrong behavior and not behavior correction, self-harm from the wound of your hand may tear the veins and may be exposed to the coming of large amounts of blood, which endangers your life, this is not a correct behavior to get rid of negative feelings as you think, when you feel comfortable psychological as a result it is temporary quickly disappears and returns to you physical pain and negative thoughts itself, and the effects of the wounds remain in the hand For a long time, which distorts your external beauty, when you get out of the nursing home and start practicing your normal life, you may be subjected to embarrassing frequently asked questions about the cause of these effects or scars, and then the phrases were discussed on the scale of the girl's irrational ideas which are "that I am annoyed about many things, things and events, I feel resentful and distressed by the things I have done before, and I am not lucky, and I talked to her that every human being is prone to commit behaviors that are against religion, morals and society, but that does not mean the end of life, he said "God loves coffins and he loves purveyors." The young man you went out with is not connected to him and we are Muslims and we do not go out with anyone who does not provide us with a relative of father, brother, uncle or uncle, the young man does not want your interest, if he wants your interest not to ask you out of the house without any connection with him and him, and you talked to me that this young man knew him three years ago and that she trusted him and loved him. I talked to her not to deal with or go out with any stranger who doesn't have any kinship with her in the first place, and you have to turn to your mother or sister to be your secret shelter, the parents are better in your best interests and out of fear for you from every external danger, and then the words "I'm not lucky" were discussed. From the ninth grade because of the absence from school, and she wants to study because her level of study is good and does not want to leave school, so I told her of your good fortune that the nursing home has a study program for dropouts, so I asked her to take the initiative to register for this program to take advantage of her free time in something useful and complete your education, and then began to promote positive ideas by urging her to generate and repeat positive words instead of the negative precedent she mentioned to her the following: If she gives the father and mother a chance to talk to her in the next visit, and she tries to hear from them and discuss them with the event and that she regrets and did not know because of her ignorance of it and that what happened to Maha was a harsh lesson for her, she stressed the importance of recording previous self-report.

Interview 4

Interview content

The researcher welcomed the girls, initiated peace and kissing each other, and started the session by asking them about their condition, and how they spent the previous days, and their answer was confident that they are good, and praised them, then explained to them the importance of relaxing exercises in improving thinking and meditation and relieving stress and I made a video showing how relaxation exercises are done through a set of organized steps summarized in the following: 1. Take a breath deep

through the nose, then lock it in the chest for 10 seconds, then gradually take it out slowly through the nose and mouth Together, they repeated this exercise three times, 2. Catch the right hand and press it hard for (5 seconds), repeat it 3 times, after finishing the relaxation exercise the researcher displayed color images of self-harm on the computer, from writing off the body and burning the skin, pulling the hair, a video was shown about self-harm and why the person resorted to this behavior, they were the girls in a state of fusion to watch photos and video, and then the dangers caused by self-harm, may be fatal to the person, may occur permanent impairments, and after the completion of this behavior, the girls were in a state of fusion to watch the pictures and video, and then the dangers caused by self-harm, may be fatal to the person, and may occur permanent impairments, and after this completion The show, the girls were taken the opinion of what they saw, a girl cried while talking about self-harm, because she considers self-harm to empty herself and when she hurts herself and writes her hands with the blade she relaxes psychologically, but she talked that she will change her behavior after watching the video about the dangers of self-harm and the effects it has on her body, and may lead to the death of herself as a result, and that she does not want to be like the pictures she saw through the computer, and another girl talked that she imitated Her friend in the house without knowing the damage to self-harm, another girl also spoke that she was writing off her hand with the blade trying to cut the arteries of her hand and thinking about suicide, and another speaks that she hurts herself by refraining from eating trying to draw the attention of her psychologist because she considers herself neglected and worthless, and no one cares about her and hears her words, but when she was discussing with the girls about self-harm and displaying self-harm pictures, and the dangers of that, the girls were drawn in simple and fun ways and took advantage of her, through a response, The girls did, and then I summarized what happened in the interview, and I agreed on the date of the next interview with the girls (one-on-one interview).

Interview 5

Interview content

The girl (M) attended at the agreed date at 1 p.m., I welcomed her and invited her to sit down and asked her about her condition inside the house, she answered well and thank God, and then began to discuss the phrases on the scale of self-harm, which is: "I get angry and cry a lot because I love the distress and sadness", I carry myself beyond her capacity so That I feel tired, I dislike myself and prevent myself from free expression and venting so I asked her why? She replied, "I was thinking about the past and the psychological and physical pressures that happened to me, so I told her that I would hear her and be there to help her and to treat her from self-harm, and I told her that what you are doing is wrong behavior and irrational thinking and it doesn't work, and I told her that what she is suffering It is a psychological stress and an effective, resulting from the circumstances and events you have experienced in the past, so you should stay away from thinking about the painful events that you went through, and try to work yourself and fill your free time, try your work Your time reading stories and novels, and try to learn different craft or skills within the house, as the house offers multiple courses (sewing, drawing on glass, accessories, cooking, music, sports), will help you get rid of stress and negative thinking, you have a mother "Things often go against what I want and wish," he said. I sat down with the social worker and she told me that your parents came to visit you, so she told me what happened in the visit and what happened between you, and she replied that at first I refused to meet them, but after convincing the social worker I agreed to do so, and when I went to meet them I never accepted peace on them I just sat listening to them and asked her what they talked about? She replied my father apologized for his cruelty in his treatment of me, and severely beaten him, and I was hurting myself because of their cruel treatment of me, and I do not want to forgive my father for what happened to me, and my father and mother ended up visiting me without talking to them even a word, so I talked to her that your parents came when he came For your visit they were eager to see you and talk to you and this is proof of their sincere love for you, and a recognition of them for the mistakes they made towards you from the cruelty, believing previously that it is in your interest and to protect you from others, so in the next visit you have to receive

your parents and hear From them and discuss them with what happened in the past, they always want to see you at the best of the best and the best people, and this is proof of their sincere love for you, for that the next time you have to receive them in a beautiful smile, and to encourage them with passion and love, since the protection provided by parents is priceless, and then I explained to her the criteria of judging our thoughts and our own conversations which boils down that irrational thoughts and sound thinking is characterized by the following:

- Depends on objective facts.
- Helps protect our lives
- Helps avoid problems with others
- Helps achieve our short-term and long-term goals
- Helps to feel the desired feelings

She added that if our thoughts wrestled with one or more of these criteria considered irrational, and that her behavior resulting from her irrational thinking made her in a bad mood of grief as it caused her to be in trouble with others. I praised her as a good and good girl and would be better if she complied with our agreements, and through the observation manual that "the girl deprives herself of a good sleep", she asked her why. I answered I cannot sleep, I am worried and nervous about what happened to me, and when I go to sleep I remember everything that happened with me and I blame myself a lot, I answered it that the past happened and ended and there is no way to change it from now on, and that sleep is my desire for the health of the body and skin and feel comfortable and relax to start doing useful and beautiful things the next day, I praised my words.

Interview 6

Interview content

The girl (M) came on time at 1 p.m., I brought her a simple gift expressing my love for her (red rose), and her reaction was that she hugged me strongly, she said that I did not receive a gift in a long time, and then I will tell her about her condition, and then She explained to her the importance of relaxing in improving thinking and meditation and relieving stress and I made a video showing how relaxation exercises are done through a set of organized steps and applied with the girl as follows:

1-Take a deep breath through the nose, then lock it in the chest, for 10 seconds, then gradually remove it slowly through the nose and mouth together, repeating this exercise three times.

2- Catch the right hand and press it hard for (5) seconds, then stretch it and leave it relaxed for (10 seconds), repeat it 3 times, then you gave me self-reports on the scale of self-harm that she recorded and to be discussed which is the term smoking cigarettes, She smokes too much (two cries a day) and I talked to her that smoking is harmful to the health of the heart and arteries, affects the beauty of your skin and teeth, and that the money you spend on smoking can be spent on buying a special need for you, and you are still in The beginning of your life, she replied, I have learned it from the daughter of the neighbors and addicted to it, but after intensive discussions between the girl and the researcher and the social worker it was agreed to reduce the number of cigarettes per day, and set the times for that, so that you can reduce her addiction to it, and I praised it, and with regard to discussing the words of the scale of irrational ideas which include: I need more self-confidence, I feel resentful and distressed by many things I have done before, and I am confused when someone hurts my feelings, and I am treated by people who do not treat me like me They should treat me with it, so I praised the way she recorded the phrases and then I discussed the girl with those words, so I assured her that she is smart and strong and able to mistake the difficulties you faced in the past, and get rid of them I am on your side to support you and support you and help you to do so As well as having friends support you with their sincere love,

as well as having a psychologist and a social worker standing next to you to support you, we are all with you, and then assured the girl that negative feelings lead to unwanted behaviors so she has to look at the possible consequences as possible difficulties. It is not the end of the world and to be keen to appreciate the situation appropriately, and that it is able to overcome these irrational ideas, and through the evidence of observation shows that the girl is sleeping better, and that she began to feel comfortable and satisfied within the house and became more secure.

Interview 7

Interview content

I came to the care home at the agreed date at 10:30 a.m. and found the girl (M) waiting for me, so I gave her a greeting and we exchanged greetings and assured her and her conditions, then she insisted on having coffee together, and that was done from the work of her hand, and thanked her for her kindness, then I started to discuss some negative words on the scale of self-harm, I deliberately sit alone away from social life, I discussed it in this phrase that man cannot live alone and cannot be spared from others in life, it is necessary to talk with others and participate in daily work especially in the house with your colleagues and specialists, you can talk to them during eating or during the courses, and you may need a social worker to update them about the thoughts on your mind, living away from people is impossible to happen.

And then she was discussed on the words of the scale of irrational ideas, which is "I feel confused when I don't get what I want" and started crying with burning and her tears pouring down in front of me, so I asked her what you have, and she answered that I am sad about what happened to me in the past, and explained to her that not having what you want does not mean weakness in you, not everything that man wants gets, so I reminded her of the saying, "May you hate something, which is good for you, and may you love something, which is evil to you, and God knows, and you do not know" (Cow: 216), There are hidden and appreciated things written by Allah almighty that we do not all know, so we are required to work and strive and strive to achieve what we want, and take the reasons, you must be satisfied with what God has divided for you, we always thank God for the good and I asked her to generate positive self-expressions (I'm strong, energetic, smart, I love life, patient, optimistic), and then I discussed with her the following idea that she was resentful of many things she had done before, so I told her that man was learning from his mistakes. We are all human beings and we are all prone to error, and through the evidence of observation shows that the girl has reduced herself from injuring her hand with the blade, so she was discussed about the extent to which she is convinced of the error of her idea of self-harm, she spoke: she is wrong, she said, she should not continue to behave wrongly and think properly and logically in time, so she was shown an educational video of self-harm and 10 minutes, and then the girl spoke that I feel remorse for the behaviors of the same I spoke to her, you are strong and able to overcome that and modify negative behavior with positive behavior, and then I gave her a series of reports and video and written bulletins about self-harm and her physical and psychological dangers, and commissioned the girl to read it, and asked her to summarize what was done in the interview and asked her to continue writing self-reports, and to practice relaxation training and the interview ended after agreeing on the date of the next interview on Wednesday.

Interview 8

Interview content

The girl (M) came on the agreed date at 10:30 a.m. and we exchanged greetings and welcomed him and invited her to sit, she said to me: I was eager to see you and talk to you, as I feel comfortable talking to you, and I asked her about her conditions in the house she said that she is ok and asked about the

homework that I commissioned her, she said that she exercises relaxation and then discussed the phrases that the girl agreed to on the measure of self-harm which is "I do not care about my health and I do not go to the doctor When I got sick, I said, "What's the reason?" I answered that I don't need to go to the doctor when i have severe cold or severe colic or the like, we may have a chronic disease that is not god's fate and we don't know about it until after the diagnosis, the doctor is the best in assessing our health situation and giving the appropriate medicine, so I praised my words, and then the words were discussed. The irrational ideas that the girl agreed to in which "I think I should be different from what I am now", and included the self-reports that I wrote fit this phrase "her determination to succeed in the future life" and I asked her why she said I want to be a successful human in life and I do not want to be without a goal, I am empty to return to study if the possibilities in the house, and continue school, and I will do everything in my best efforts to be, and I praised her words and then encouraged her to continue to teach her Self-reporting, and then the negative words were discussed in the measure that the girl agreed to, which is "I think I shouldn't be a good vanguard", and I asked her why. She replied that laughter reduces the prestige of man, so I told her that laughter is good for the human being, raising the positive ness and optimism of the person, and that smile is the key to hearts, and the Prophet mohammad (pbuh) recommended that he "smile you in the face of your brother Charity" Bukhari, what is required of you To be smiling and optimistic, I asked her if you met two people, one smiling and the other frowning, who you prefer to talk to, she answered of course the smiley, it is easy to communicate and talk to him with complete comfort, then I asked her to generate self-expressions that explain it and she smiled if asked I did not see any new wound on her hands during this interview, and this was also revealed by the daily self-reports given to her in the previous interview, which included publications and images of self-harm, she wrote positive expressions about self-harm that when he hurts the person himself feels comfortable and gets rid of the tension but soon disappears and returns to the guilt of what It was caused by self-harm from signs that remained visible in the body as well as the constant pain in his body, and I thanked her for that.

Interview 9

Interview content

The girl (M) came at the agreed date at 10:30 a.m. and welcomed her to sit down, and asked her about her condition, she said thank God, so she talked to her about what happened with her during this week, she answered and was very happy to participate with her colleagues in a music course among the activities of the care home that she offers for girls, she said that he relieves her and forgets everything that happened with her while attending these courses, and showed her happiness and joy because she occupies her time with something useful, and talked to her that positive thoughts you have create actions that are not positive Think about the past and start a life full of joy, activity and optimism, and promised me that she will become a different girl away from everything that hurts herself psychologically and physically, that she has become more social with her colleagues who hate isolation and sit alone, and that she felt guilty as a result of hurting herself more than once, and asked her to propose positive solutions in the light of what she learned in previous sessions of how to replace irrational and negative ideas with positive ones, in addition to teaching her how to develop possibilities that explain the causes of bad behavior, to think positively, in terms of And how to make new attempts and alternative and appropriate responses such as (relax and breathe deeply), (stand and think), to encourage the girl to solve the problems she faces without resorting to self-harm, these new positive self-instructions call for positive behaviors, and alienate the girl from negative behaviors The old, irrational, then asked the girl to view the homework and discuss it which includes mentioning all the behaviors that she sees behaviors that are alienating, negative and self-defeating, which she recorded, it included training the girl in the techniques of self-work and turning it into a positive self when she feels The girl is worried, depressed, sad or afraid to occupy herself (reading, practicing her favorite hobby, social interaction with her colleagues), and to avoid thinking about the past that increases her anxiety, stress and self-harm, and

agreed with her on the date of the next interview and told her that it would be the final interview so she thanked me and walked away.

Interview 10

Interview content

The researcher welcomed the girls, and started the session by asking them about their conditions, and how they spent the previous days, and the date of the session coincided with the birthday of one of the girls and I brought a suitable gift for her, and she was very happy, and then she shared the record of relaxation and the record of ideas, and praised their efforts Then I started a group relaxation exercise, and then we set up a room where i put six seats in a circular shape, equipped with a blackboard, and wrote on the blackboard the topics to be discussed during the session (self-harm, types of self-harm, causes, treatment methods) and will be discussed using theory, This theory has been clarified for girls as the patterns of thinking are divided into six patterns and each style of hat worn by a person or taken off according to the way he thinks at that moment, and the author of this theory (Edward de Bono) has given a distinctive color to each hat so that we can distinguish and memorize it easily, and used in the way of analyzing the thinking of the speakers in front of you based on the type of hat they wear, and the theory of "Edward de Bono" "six hats of thinking" is a tool or strategy that helps us to think creatively (or individually) Collective) from different angles of the problem or the subject we are dealing with, and help us to determine a linear path of thinking from six different stations or methodologies, so that the problem is addressed by the individual or group in each station by one specific aspect of the problem, and allows the individual to recognize the shortcomings in the way he solves problems, thus correcting the course of thinking when dealing with problems, the blue hat of thinking directed i.e. adjusting the thinking process and the results reached, the action plan of the subject, the decision-making, the red emotional hat and the red thinking hat Crystallized around the emotional aspects and description of the individual and other feelings of the subject, the yellow hat of positive thinking where the positive aspects of the problem or topic and the factors of success, hopes, ambitions and benefits, the green hat of creative thinking i.e. generating innovative ideas and generating solutions to the expected problems, and the white hat of neutral thinking is the station of looking at what information and facts are available related to the problem or topic and collecting and answering questions what do I know? What do I need for more information? The black hat of negative thinking is to think about the negative aspects of the subject such as constraints, the potential for failure and the consequences. At first a video was shown about self-harm in general, then dealt with topics of dialogue, discussion, questions, questions, exchanged websites in asking questions, and asked the girls after the video to wear the appropriate hat for her self-harm character, each of the girls wore the right hat for her and the role was played through these hats and discussed negative thoughts on the subject of self-harm and turned it into more positive ideas, one of the girls wore the yellow hat and when asked why she chose this color she replied that she wanted To change this negative phrase on the scale of self-harm "Look at myself a look of inferiority and inferiority" to a positive phrase that includes that I aspire to change my lifestyle by completing my school career and reaching university and starting a new life positive, and another girl wore the green hat and when asked why she chose this color she replied that she wants to change this negative phrase on the scale of self-harm "I feel like a neglected and worthless person", in a positive words, in that she aspires when she leaves the house to open a restaurant for Arabic food It becomes a well-known restaurant and within the international specifications because she benefited from the cooking course in the house, and another girl wore the red hat and when asked why you chose this color she replied that she wants to change this negative phrase on the scale of self-harm", no one pays attention to my existence and I have no importance in life", because she wants to meet her mother, who has not seen her in a long time, to give her love and tenderness, and compensate her for all of the above, and another to wear the black hat and when she asks why she chose this color she wants to change that color she wants to change The negative phrase on the scale of self-harm "threatened to be expelled from the house" because she

does not want to go back to her father's house and does not want to see it because of the extreme violence she was receiving from him, so i answered that the father can never be compensated and you have to forgive him, forget the past, and another to She wore the white hat because her mental abilities are simple and she receives information and explains it in a simple way to suit her, and she can't make a decision on her own, and the last one wore the blue hat and when asked why you chose this color she replied that she wanted to change this negative phrase on the scale of self-harm which "I don't care about my level of education", because she wants to go back to her parents' house and live a normal life away from the pressures and difficulties she faced, and complete her education, and then summarized what happened in the interview.

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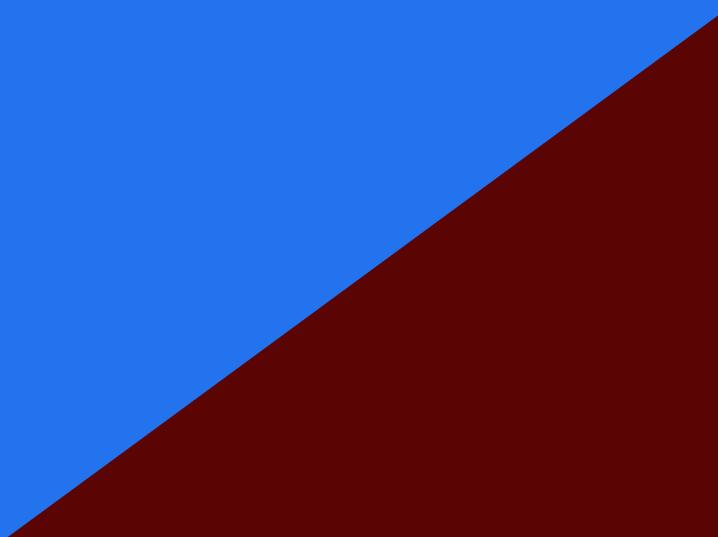
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