



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

**March 12-13, 2022**

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

# **PROCEEDINGS**

**Editors**

**Prof.Dr. Mariana IVANOVA**

**Prof.Dr. Dimitar NIKOLOSKI**

**Prof.Dr. Rasim YILMAZ**

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2022

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## FOREWORD

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

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

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

The Organization Committee  
March 12-13, 2022



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## CONGRESS ID

## TITLE OF CONGRESS

XVII. International Balkan and Near Eastern Congresses Series on Economics, Business and Management-Plovdiv/Bulgaria

## DATE – PLACE

12-13 March 2022  
Plovdiv, Bulgaria

## ORGANIZATION

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



## PROCEEDINGS BOOK EDITED BY

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

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

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

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## EVALUATION PROCESS

All submitted articles have undergone a double-blind peer review process.

## PARTICIPANT COUNTRIES (12)

Albania, Azerbaijan, Bulgaria, Greece, Hungary, Kosovo, Moldova, North Macedonia, Romania, Serbia, Slovakia, Turkey

TOTAL NUMBER OF PAPERS: 141

THE NUMBER OF PAPERS FROM TURKEY: 66

THE NUMBER OF PAPERS FROM OTHER COUNTRIES: 74

## Program

10:00 – 10:45	Opening Ceremony	Hall 1	Prof.Dr. Rasim YILMAZ, IBANESS Prof.Dr. Tatjana SPASESKA, University St. Kliment Ohridski-Bitola, Macedonia Prof.Dr. Maria IVANOVA, Rector, University of Agribusiness and Rural Development
11:00 – 12:00	Parallel Session I	Hall 1 Chair Person: Prof.Dr. Lauraa DIACONU	
		Sevgi OSMAN	<b>The Effects of COVID 19 on the Economy and Necessary Measures</b>
		Majlinda SINANI	<b>Covid-19 affecting Food Supply Chain Case study from Albania</b>
		Tatjana SPASESKA Dragica ODZAKLIESKA Ilija HRISTOSKI Aneta RISTESKA-JANKULOSKA Fanka RISTESKA	<b>The Impact of COVID-19 Pandemic on Banks' Profitability: Evidence from North Macedonia</b>
		Laura DIACONU	<b>Global Pandemic and EU Trade: Challenges and Perspectives</b>
		Katarína BELANOVÁ	<b>Development of Economic Performance of Small and Medium – sized Enterprises in the Slovak Republic in the Context of the Impact of COVID - 19</b>
11:00 – 12:00	Parallel Session I	Hall 2 Chair Person:	
		Hall 1 Chair Person: Prof.Dr. Dilek ALTAŞ	
		Mehmet Arda YILMAZ	<b>Mobil Bankacılıkta Tüketicilerin Hizmet Deneyim Kalitesi Beklentileri</b>

		Tansu TOPUZOĞLU Faruk AKIN	<b>Yükselen Piyasa Ekonomilerinde Bankacılık Sektörünün Gelişimi: 2007-2020 Dönemi Analizi</b>
		Erdal ARSLAN Ali BORA	<b>Türk Bankacılık Sektöründeki Mevduat Bankalarının Aralık 2018 – Eylül 2021 Dönemi Kredi Tercihleri</b>
		Nurhan TALEBİ Korkmaz KESKENDİR	<b>Türk Bankacılık Sektöründe Alınan Ücret ve Komisyonların Değerlendirilmesine Yönelik Bir Araştırma Örneği</b>
11:00 – 12:00	Parallel Session I	Hall 3 Chair Person: Prof.Dr. Rasim YILMAZ	
		George TRIANTAFYLLOU Panagiotis KASSIANIDIS Eirini STRATAKI Georgios APLADAS	<b>Residents Attitude for Tourism: Research, Linkages and Future Research Themes</b>
		Zlatina KARADZHOVA	<b>Interactions between Tourism, Transport and Terrorism in the Context of Globalization</b>
		Katarína ŠTEFČÍKOVÁ Martina JAKUBČÍNOVÁ	<b>Regional Tourism Organizations and Their Position in the Regional Development in the Conditions of the Slovak Republic</b>
		Tatiana BULIMAGA Irina MANOLESCU Mihai TALMACIU	<b>Social Innovation and Rural Development: Experiences from Romania and Republic of Moldova</b>
		Mirela MERSINI Lavdërim HOXHA	<b>Tourist Experience in the Country of Korça and its Originality</b>
12:00 – 13:00	Parallel Session II	Hall 1 Chair Person: Prof.Dr. Cüneyt KOYUNCU	
		H. Bayram İRHAN	<b>Güvenceli Esneklik ve Gini Katsayısı İlişkisi: COVID-19 Dönemi Değerlendirmesi ve OECD Ülkeleri Örnek Analizi</b>
		Özlem ALADAĞ BAYRAK	<b>Dünya Sağlık Örgütü'nün (DSÖ) COVID-19 Salgın Sürecindeki Desteği ve Rolü</b>

		İpek AKAD	<b>Nüfus Yaşlanması ve Beşerî Sermaye: Farklı Gelir Düzeylerine Sahip Ülkelerden Kanıtlar</b>
		Havva ARABACI	<b>Kur Korumalı TL Vadeli Mevduat Hesabı</b>
		Havva ARABACI Nurcan ÖZKAN	<b>Kentsel Dönüşümün Ekonomik Etkileri</b>
12:00 – 13:00	Parallel Session II	Hall 2 Chair Person: Prof.Dr. Mariana IVANOVA	
		Detelina SMILKOVA	<b>Financing of Healthcare in Bulgaria</b>
		Georgi KESOV	<b>Team Management in Health Organization</b>
		Katrin KRAHTOVA - NASTEVA	<b>Remuneration Management in Health Organization</b>
		Albana DEMI Arjana KADIU Miljana XHAKOLLI	<b>Air Travel Impact on Albanian Tourism Industry</b>
		Alma ZHILLA Oriola THEODHORI	<b>Virtual Reality and Its Role in Cultural Tourism (Case Study Albania)</b>
12:00 – 13:00	Parallel Session II	Hall 3 Chair Person: Prof.Dr. Sevinç SAKARYA MADEN	
		Rahim ŞENTÜRK Hikmet ASUTAY	<b>Yabancı Dil Olarak Almanca Öğretiminde Jeanslyrik: “Wir 68er” Adlı Jeans Şiirinin Uyarlanma Önerisi</b>
		Sevinç SAKARYA MADEN Hilal Ezgi KANAR	<b>“İstanbul Yabancılar için Türkçe Ders Kitabı (B1)” ve “Netzwerk (B1)” Almanca Yabancı Dil Ders Kitabındaki Metin Türlerinin Dilbilgisi Yapıları Bakımından İncelenmesi</b>
		Uğur KAFALI	<b>Okul Yöneticilerinin Okul Kültürünün Oluşturulmasındaki Rolü</b>
		Bora GÜNDÜZYELİ	<b>Sosyal Medyanın Gücü ile Kriz Yönetimi</b>
13:00 – 13:30	Lunch		
13:30 – 14:30	Parallel Session III	Hall 1 Chair Person: Prof.Dr. Dilek ALTAŞ	

		Vladimir ARSOVSKI	<b>The Green Economy – Important Branch of the Economy</b>
		Elena CARP	<b>Green Logistics - A Path of Shared Responsibility</b>
		Vladimir ARSOVSKI	<b>The Green Economy – Important Branch of the Economy</b>
		Nurcan ÖZKAN	<b>An Overview of TEMA Foundation, an Important Non-Governmental Organization in Turkey</b>
		Nurcan ÖZKAN	<b>An Overview of Some Environmental Problems Developed in the World as a Result of Globalization</b>
13:30 – 14:30	Parallel Session III	Hall 2 Chair Person: Prof.Dr. Hikmet ASUTAY	
		Hikmet ASUTAY	<b>Çocuk ve Gençlik Yazınında Mizah ve Karikatür Anlayışı Üzerine</b>
		Hikmet ASUTAY	<b>Türk-Alman Şairi Safiye Can Şiirlerinde Doğu Esintileri</b>
		Coşkun DOĞAN	<b>Toplum Çevirmenliği ve Kültürlerarasılık İlişkisi</b>
		Coşkun DOĞAN	<b>Kültürel Görelilik Kavramı ve Toplumsal Değerlerin Değişimi</b>
13:30 – 14:30	Parallel Session III	Hall 3 Chair Person: Prof.Dr. Olivera KOSTOSKA	
		Stamatina PAPADAKI	<b>How Socioeconomic Factors and Life-Style Characteristics during COVID 19 Influence Adolescents' Nutritional Behavior? Empirical Evidence from Attica</b>
		Elton GUBERAJ Skender UKU	<b>The impact of Covid 19 Pandemic in the Albanian Banking Sector Performance. (Raiffeisen Bank Case Study)</b>
		Radoslav ŠKVRNDA	<b>Employment of Convicts during a Pandemic in the Hrnčiarovce Nad Parnou Prison</b>

		Olivera KOSTOSKA Marija Midovska PETKOSKA Davor JOVANOSKI	<b>COVID-19 and International Trade: Effects and Policy Options</b>
14:30 – 15:30	Parallel Session IV	Hall 1 Chair Person: Prof.Dr. Jülide Yalçinkaya KOYUNCU	
		Mehtap YİĞİT Sevinç SAKARYA MADEN	<b>Çevrimiçi Almanca Öğretmenliği Öğretmenlik Uygulaması Dersine İlişkin Görüşlerin İncelenmesi</b>
		Sevinç SAKARYA MADEN Arife SAĞMAN	<b>“Schritte International Neu A1.1” ve “Deutsch Für Gymnasien A1.1” Kitaplarında Almanca-Türkçe Karşılaştırmalı Dilbilgisi Öğretimi Yaklaşımının İncelenmesi</b>
		Selma AKOL GÖKTAŞ	<b>Web Uygulamalarının Yabancı Dil Olarak Almanca Eğitimine Etkisi</b>
		Rahim ŞENTÜRK Handan KÖKSAL	<b>Konuşma Becerisinin Ölçme ve Değerlendirilmesinde Almanca Standart Sınavlarının Temel İlkelerinin Betimlenmesi</b>
14:30 – 15:30	Parallel Session IV	Hall 2 Chair Person: Assoc. Prof.Dr. Eketarina ARABSKA	
		Dijana JOVANOSKA	<b>Effective Technics of Big Data Acquisition on the Internet</b>
		Aleksandra JOVANOSKA Ljupce MARKUSHESKI Igor ZDRAVKOSKI	<b>Data Tools of Intelligent Decision Support Systems</b>
		Diósi SZABOLCS	<b>Trustworthy AI in Public Administration - The EU Perspective on Regulating Disruptive Technologies</b>
		Biljana TEŠIĆ, Sonja UROŠEVIĆ Lora PETRONIĆ PETROVIĆ	<b>The Impact of Freelance on the Business in the IT Sector in Serbia</b>
14:30 – 15:30	Parallel Session IV	Hall 3 Chair Person: Prof.Dr. Nevin	



		DEMİRBAŞ	
		Beyza TUNÇ Nevin DEMİRBAŞ	<b>Gıda Güvencesi Ekseninde Küresel Bir Sorun Olarak Tarımsal Kuraklık: Dünyada ve Türkiye’de Yapılan Çalışmalar</b>
		Nevin DEMİRBAŞ	<b>İklim Değişikliği Karşısında Tarım Sektörünün Sürdürülebilirliği için İklim Uyumlu Tarım: Farklı Ülke Deneyimlerinden Çıkarılan Dersler</b>
		Özgecan KADAĞAN İsmail Bülent GÜRBÜZ	<b>Ambalajın Gıda Ürünleri Satın Alma Davranışı Üzerine Etkileri</b>
		Özgecan KADAĞAN İsmail Bülent GÜRBÜZ	<b>Gıda Ürünlerinde Akıllı Ambalaj Sistemleri</b>
15:30 – 16:30	Parallel Session V	Hall 1 Chair Person: Assoc. Prof.Dr. Dejan ZDRAVESKI	
		Rositsa NAKOVA	<b>What the Chocolate Packaging Shows Us</b>
		Irin GOGA	<b>The Importance of Meat Product Label Information in Creating Consumer Perception</b>
		Irin GOGA	<b>Factors Influencing Consumer Preferences for Chicken Meat</b>
		Erjola SHEHU Etleva MUÇA	<b>Effects of the Basket of Goods in the Zgerdhesh Village in Albania</b>
15:30 – 16:30	Parallel Session V	Hall 2 Chair Person: Assoc.Prof.Dr. Ulker İMAMALİYEVA	
		Ulker İMAMALİYEVA	<b>Siyasi İstikrar Ulusal Güvenliğin Sağlanması için Önemli Bir Şarttır</b>
		Vaskhanim ORUJOVA	<b>Ayırıcılık ve Siyasi Aşırılık</b>
		Mehpara MALİKOVA	<b>Pandemi Döneminde Azerbaycan’da Dış Ticaretin Durumu</b>
		Senem DEMİRKIRAN Mehmet Kenan TERZİOĞLU	<b>E-Devlet Bilgi Güvenliği Risk Değerlendirmesi</b>
15:30 – 16:30	Parallel Session V	Hall 3 Chair Person: Prof.Dr. Tatjana SPASESKA	

		Eduard-Alexandru OȚEL	<b>Human Capital and Foreign Direct Investments Role in Creating Economic Growth: An Assesment of Romania</b>
		Alexandra NOVAC	<b>The Role of Human Capital in the Entrepreneurial Ecosystem of the Republic of Moldova: The Opinion of Entrepreneurs</b>
		Jülide YALÇINKAYA KOYUNCU Yüksel OKŞAK	<b>The Long-term Impact of Fertility Rate on Rural Population: The Case of Turkey</b>
		Cüneyt KOYUNCU Eda ÖZEN	<b>The Long-run Nexus between Fertility Rate and Age Dependency Ratio in Turkey</b>
16:30 – 17:30	Parallel Session VI	Hall 1 Chair Person: Prof.Dr. Hasan VURAL	
		Hasan VURAL Vedat ARSLAN	<b>Domates Ekonomisi ve Pazarlaması</b>
		Hasan VURAL Şükrü ÖZÜTEMİZ	<b>Şeftali Üretimi ve Pazarlaması</b>
		Nilgün DOĞAN Hakan ADANACIOĞLU	<b>Tüketicilerin Sağlıklı Gıda Algısı ve Satın Alma Davranışları: Gümüşhane İli Örneği</b>
		Nilgün DOĞAN Hakan ADANACIOĞLU	<b>Küçük Ölçekli Çiftçilerin Bakış Açısından Sözleşmeli Tarım Modeli</b>
16:30 – 17:30	Parallel Session VI	Hall 2 Chair Person: Prof.Dr. Dragica ODZAKLIESKA	
		Irina MANOLESCU Gabriela CONEA Stanislav PERCIC	<b>Organizational Change through Projects in Schools: Perceptions of Decision Makers</b>
		Enriketa SOGUTLU	<b>English Language Teaching in Albania: An Overview of Grammar Instruction</b>
		Albana ÇEKREZİ Salih OZCAN	<b>Perception of Freedom among Youngsters in Albania: Type of School, Area and Gender Implications</b>
		Eleftheria PALLA	<b>Educational Leaderships and Marketing</b>
16:30 – 17:30	Parallel Session	Hall 3	

	VI	Chair Person: Assoc.Prof.Dr. Teoman AKPINAR	
		Müzeyyen Çınar ŞEN Teoman AKPINAR	<b>Sanal Gerçeklik Uygulamalarının Çalışanların İş Sağlığı ve Güvenliği Eğitimlerinde Kullanımı</b>
		Teoman AKPINAR	<b>İş Kazaları ve Meslek Hastalıklarından Kaynaklanan Sürekli İş Göremezlik Geliri</b>
		Raşit GÜLTEKİN	<b>Gümrük Mevzuatına Uyumun Sağlanması Açısından Karşılıklı Yardım ve İşbirliği Anlaşmalarının Yeri ve Önemi</b>
		Kadir Kaan GÖNCÜ	<b>Bir Yatırım ve Finansman Aracı Olarak Lisanslı Depoculuk Sistemi</b>
		Mehmet Arda YILMAZ	<b>Türkiye Sorumluluk Sigortaları Branşında Faaliyet Gösteren Sigorta Şirketlerinin Satış Performanslarına Yönelik Bir Uygulama</b>

### Sunday Sessions

11:00 – 12:00	Parallel Session I	Hall 1 Chair Person: Prof.Dr. E. Recep ERBAY	
		İlke ORUÇ Aysu YAŞAR Mehmet Kenan TERZİOĞLU	<b>Geleneksel Ticaret Anlayışının Değişimi: Blockchain Teknolojileri</b>
		Hasan Selçuk ETİ	<b>Influencer Pazarlama Kavramının Sosyal Medya Açısından Değerlendirilmesi</b>
		Yusuf ESMER Sümeyye KORKMAZ SARICALAR	<b>Örgütsel Dönüşümde Yeni Dijital Teknolojilerin Rolü</b>
		Duygu YÜCEL	<b>20. Yüzyıl Üretim Sistemlerinden Dijital Kapitalizme Dönüşüm Süreci</b>
11:00 – 12:00	Parallel Session I	Hall 2 Chair Person: Prof.Dr. Nurcan METİN	

		Kyriakos TSAMANTOURIDIS Angeliki TSAMETI Victoria-Maria BELLOU	<b>The Effects of Recovery on Work Enjoyment: A Moderated Moderation of Employee Voice and Colleague Support</b>
		Edrina EMINI	<b>The Impact of Leadership Styles, on Employee Performance in the Public and Private Sector Organizations, in North Macedonia. Empirical Review</b>
		Cynthia DAOUD Gabriella MICHALEC Andrea BENCSIK	<b>Measuring Organizational Trust in Knowledge-based Organizations</b>
		Ali TEHCI Nihan SENBURSA	<b>Examining the Relationship between Internal Marketing and Employee Happiness: A Case Study in a Maritime Business Organization in Turkey</b>
11:00 – 12:00	Parallel Session I	Hall 3 Chair Person: Prof.Dr. Adil OĞUZHAN	
		Berin DİKGÖZ Alper ERSERİM	<b>Muhasebede Etik Kavramına Postmodern Bir Bakış</b>
		Selçuk TEKİN	<b>Enflasyonist Ortamlarda Finansman Gider Kısıtlamasının Uygulanabilirliği Üzerine Bir İnceleme</b>
		Nesli KAHRAMAN GEDİK Çınar GARİP Nurhan TALEBİ	<b>Lojistik Firmaları ile Sigorta Acentelerinin Karşılaştırmalı Kurum Kültürünün Analizi</b>
		Onur ŞAYLAN	<b>Endüstriyel Pazarlamada Müşteri İlişkileri Yönetiminin Önemi</b>
		Resül YAZICI	<b>Piyasaların Düzenlenmesinde Sosyal Uygunluk Kriterlerinin ve Denetiminin Önemi</b>
11:00 – 12:00	Parallel Session II	Hall 1 Chair Person: Lec. Albana DEMİ	
		Aliona OBOROCEANU	<b>Economic Importance of Road Networks in the Republic of Moldova</b>

		Jona PUCI Albana DEMI Arjana KADIU	<b>Improving the Challenges of the Construction Industry – The Case of the Albanian Economy</b>
		Rita LOLOÇI	<b>Emigrant Waves in Albania in Recent Years</b>
		Natally STOYANOVA	<b>Stimulating the Regional Development of Small and Medium Enterprises in the Agricultural Sector in Bulgaria After the Pandemic</b>
11:00 – 12:00	Parallel Session II	Hall 2 Chair Person: Prof.Dr. Ahmet KUBAŞ	
		Nazlı Çağıl KÜÇÜKGÖKSEL	<b>Farklılaştırma Stratejisi'nin Girişimcilik Açısından Önemi</b>
		Ahmet KUBAŞ	<b>İnovasyonun Girişimciliğe Katkıları</b>
		Selin BAHAR	<b>Organize Sanayi Bölgelerine Sağlanan Teşvikler ve İktisadi Etkileri; Tekirdağ İli Örneği</b>
		Suhaib İsmael MOHAMMED ALİ Rahman ADEMİ	<b>Sultan II. Mahmud Döneminde Osmanlı Sağlık Sistemi</b>
11:00 – 12:00	Parallel Session II	Hall 3 Chair Person: Assoc.Prof.Dr. Judit BEKE LISÁNYI	
		Anduena GJEVORI	<b>Reforming the Enforcement of State Aid: The Commission's Recovery Notice</b>
		András SCHLETT Judit BEKE LISÁNYI	<b>Criteria for Civic-Democratic Land Reform - A Theoretical Framework</b>
		Elitsa DİMOVA Dimitar YAKİMOV	<b>The Horse, the Rose, the Wheat and the Grapevine as Sacred Messengers to the Thracians and Bulgarians</b>
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## Russian Invasion of Georgia in 1921. Risk of Invasion of Ukraine

Dr. Abla Xhaferi<sup>1</sup>

<sup>1</sup>European University of Tirana. Tirana, Albania

**Abstract:** On May 7, 1920 Moscow had granted de jure recognition of Georgia as an independent country, however, on February 16, 1921 the Red Army entered Georgia from the border with Soviet Azerbaijan. The attack took place across the Red Bridge, along the Kura River and across the border town of Zakatal. On February 25, 1921 the Red Army entered Tbilisi and the Georgian government was forced to move to Batumi. This situation was quite favorable for Turkey, which, with the fall of the independent Caucasian states, was given the opportunity to seize the disputed territories, while Georgia was ready to make territorial concessions, to gain Turkish support. On March 17, Turkish troops entered Batumi, but quickly released it. The Georgians returned to cooperation with Germany, accepting the suggestion to become its protectorate. Even this strategy was not long-lasting, as Germany lost the war and another powerful force had emerged in the region, Britain. France was more supportive of Georgia, although its military assistance was limited. The great Western powers and the League of Nations had only expressed their "concern" for Russia's actions. On February 15, 1921, Turkey attacked Georgia to seize Ardahan and Artav, under a secret agreement with Russia. She offered to help protect the Georgians from the Red Army, and on March 16 her troops entered Batumi. In 1922, popular uprisings broke out in Georgia and a part of Dagestan, which continued even August 1924, but were suppressed by Soviet forces. Communist leaders expanded and consolidated their influence, creating the largest socialist power in a Moscow-based federal economic and military structure. Today Russia threatens Ukraine militarily, claiming to protect its citizens from a new civil war in its east. The real goal is the occupation and annexation of this country.

**Keywords:** Russia, Georgia, Ukraine, occupation, army, soviet republic

### 1. Introduction

Wars and their devastating consequences remain the subject of scientific studies of all time. In the multitude of their causes and consequences, they have sought to determine the path and means necessary to find an international guarantor of world security and peace. Although human society has taken steps forward, the risk of war has not only not diminished, but has continued to play the role of Democletus' sword over her head, threatening with unparalleled ferocity the existence of human life, peace and security.

A series of new circumstances, such as the development of industry and inventions in the military field to establish hegemony in the field of the most developed countries of Europe, turned into a burning fuse for the outbreak of various wars. Many unilateral or multilateral agreements and treaties have only temporarily been able to prevent their eruption.

The goals of the largest European states for the conquest of new territories and colonies, for the exploitation of natural resources, raw materials and manpower could not be achieved without a large and strong army equipped with the most modern weapons. of time.

Russia has also had and has in the spotlight the version of the invasion, as it is convinced that it possesses such an army.

### 2. Russian occupation of Georgia

In February 1921, following Moscow's instructions, the Red Army invaded Georgia,<sup>1</sup> flagrantly violating its sovereignty. This action was in violation of the March 7, 1920 peace agreement between the Soviets and the Georgians. The attack in Georgia followed a "popular revolt" organized by the Soviets against the

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<sup>1</sup> Hiroaki Kuromiya, Georges Mamoulia, *The Eurasian Triangle Russia, The Caucasus and Japan, 1904-1945*, De Gruyter Open LTD, Berlin, 2016, f. 98

Georgian government in Borkalo, on February 11, 1921, which was inhabited by Armenians, as well as several violent clashes that took place near the Zakatal town, which was claimed by Soviet Azerbaijan.<sup>2</sup>

On February 16, 1921, the Georgian Bolsheviks<sup>3</sup> in Shulaveri, about 25 km northwest of the Armenian border, had set up a revolutionary committee (Revcom), which soon assumed the functions of a government. Revcom created by the Bolsheviks, such as Mamia Orakhelashvili, P. Makharadze, S. Eliava etc., declared that it was the only legitimate government in Georgia and, calling for relief measures, stated that the Mensheviks remained in power because of foreign support. Also on February 16, 1921, the Red Army entered Georgia from the border with Soviet Azerbaijan.<sup>4</sup>

Just hours later, the 54th and 58th Brigades of the 11th Red Army Unit attacked Georgian territory across the Red Bridge, while other Red Army formations were operating along the Kura River, near the Poylu Railway Bridge, which was blown up by Georgian border guards in a successful attempt to block the advance of Soviet trains and armored tanks. Another front of attack was through the border town of Zakatal, as an order from Moscow demanded that Tbilisi be captured by 19 February. In the face of a numerically superior force and a meticulously prepared attack, the Georgian forces, in addition to fighting valiantly, could not change the fate of the fighting, which would determine the fate of Georgia for many decades.

In the following hours, despite the strong resistance of the Georgians, the Russian forces took the strategic heights of Yaghluja, took the cities of Ekaterinenfeld and Elisavetpol, repulsed the Georgians in Kodjori-Manglisi and entered the Georgian territory until the Beyuk - Kyasik village. Georgian forces still resisted with great difficulty along the left bank of the Khrami River, as the Russians attacked them from the Red Bridge. This weakness ended with their complete defeat by the end of February 16, an ideal moment for the Red Army to attack Tbilisi, given that by the morning of February 17 its defense forces were limited to 400 soldiers. war and 150 military school cadets. Meanwhile, on February 17th and 18th, an attack began from Zakatala, which faced fierce battles for the city of Dedoplis-Tskaro, a battle that marked a considerable number of casualties on both sides. During the first days of the war, the Georgian government asked Moscow to stop fighting, but its response was that it was not about war, but about "some local border clashes." Meanwhile, a national uprising broke out in Soviet Armenia, and between February 16 and 18, Armenian nationalist rebels launched their offensive in Yerevan.<sup>5</sup>

On the morning of 18 February, the Commander-in-Chief of the Soviet forces in the Caucasus, Vladimir Gitesi, issued an order for the immediate capture of Tbilisi, Surami and Borjomi, as well as for the strengthening of the garrison of Elisavetpol (Gianja) and Shusha, in order to prevent possible anti-Soviet in the surrounding area and the spread of the Armenian national uprising in Kazakh and Naksivan, as well as launch more active action against anti-Soviet guerrillas in Lenkoran. As efforts were made to close Georgia's border with Dagestan, where the guerrilla war was still going on, at the same time the Red Army was stationed in Sochi.

The capture of Kojori enabled the Red Army to put Tbilisi under fire from above. For another four days the Georgians resisted in their positions between Lille and the east coast of Kura, aiming to repel the Soviets as far as possible from Tbilisi, but on February 24 and 25 the Soviet cavalry reached Digomi. The resistance of the Georgians to the defense of Tbilisi was strong and lasted for several weeks, but the Red Army entered Tbilisi on February 25, 1921 and the city was subjected to violence, destruction, looting and

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2 Andrew Andersen and George Partskhaladze, "La guerre soviéto-géorgienne et la soviétisation de la Géorgie (février-mars 1921)", në Les conséquences militaires des traités de paix, Revue historique des Armées, Numéro 254, 1/2009, f. 2

3 Ronald Grigor Suny, The Making of the Georgian Nation, Indiana University, Bloomington, 1994, f. 207

4 David M. Lang, A modern history of soviet Georgia, Grove Press, New York, 1962, f. 234

5 Andrew Andersen and George Partskhaladze, La guerre soviét - géorgienne et la soviétisation de la Géorgie (février - mars 1921), në Les conséquences militaires des traités de paix, Revue historique des Armées, Numéro 254,1/2009. <https://journals.openedition.org/rha/6463>



rape. Revcom then entered the city and declared the overthrow of the Menshevik regime, the dissolution of the Georgian National Army and the People's Guard, and the formation of a Georgian republic.<sup>6</sup>

Also on February 25, the government of the Democratic Republic of Georgia was forced to leave Tbilisi and go to Batumi. This would allow the Georgian resistance to continue, while Revcom, who had established the capital in Shoulaveri, again declared the Georgian war government legitimate. On March 4 Sukhumi and Okamkira fell; in Sukhumi the Soviets set up a special revolutionary committee, despite the one already set up in Tbilisi. The committee announced the creation of the Soviet Socialist Republic of Abkhazia, beginning with the partition of Georgia. The main center of resistance became the province of Kartli. Mtskheta and Gori also fell in early March. The Georgians began retreating to the town of Mikhailovo (Kashuri) to block the passage to Sourami, in an attempt to block the Red Army's advance into Western Georgia. On March 6, the Soviets captured Souram and its strategic tunnel, the same day the city of Borjomi and Akhaltsikhe fell, marking the end of organized resistance and progress toward western Georgia.

This was a very favorable situation for Turkey, which, with the fall of the independent Caucasian states, was given the opportunity to seize the disputed territories. However, in these conditions, abandoned by the West, Georgia was ready to make territorial concessions, enough to gain Turkish support. Following the outbreak of the battle in Tbilisi, Georgian diplomats promised the Ardahan and Artvin regions to Turkey in exchange for Turkish support, or at least its neutrality. The offer was accepted by Turkey, whose troops on February 23, under the leadership of Kazim Karabekir Pasha, crossed the Georgian border and occupied the regions of Ardahan, Artvin, Ardauç and Okam. The fall of Tbilisi increased the appetite of the Turks, who were not content with that, but sought to reach their limits of 1828, and on March 7, in the absence of resistance, they took Akhaltsikhe and Akhalkalaki.<sup>7</sup>

The Mensheviks were still resisting, fueled by the help of a French naval team that was in Black Sea waters off the Georgian coast, which bombed several Bolshevik positions but was repulsed as soon as a Russian plane appeared. On March 8, Revkom called on the Mensheviks to recognize the new Georgian regime and accept the coalition for the new government, but Jordan, not having much faith in them, on March 17, 1921 left for Istanbul.<sup>8</sup> The advance of the Turkish army was opposed by the Red Army, which forced the Turkish forces to withdraw from Ardahan and Akhalkalaki, allowing the latter to occupy only the borders of 1877.

On March 17, Turkish troops entered Batumi and, on the same day, at the last meeting of the Constituent Assembly of the independent Republic of Georgia it was approved a decree temporarily suspending the functioning of the Constitution of Georgia. The Georgian government and high command, as well as several thousand soldiers and civilians, left by boat, while Batumi came under Turkish control, with General Kazim Beun as governor, a post he held for no more than three days because after fighting very fierce with Mazniashvili's troops, the Turks abandoned Batumi and Northern Ajaria. The next morning, the Red Army entered Guria and Ajaria.<sup>9</sup>

The Russian invasion of Georgia, despite the justification, was part of a well-prepared plan, as Moscow had long been informed of Georgian military power.<sup>10</sup> By the end of February 1920 the Soviet government of Russia had entered into an alliance with the government of Turkey and, to create a stable bridge connecting the two countries, the three independent states of the South Caucasus (Georgia, Azerbaijan and Armenia) were needed. to be divided between Soviet Russia and Turkey. Since Azerbaijan was occupied by the Red Army on May 31, 1920, four months later Armenia was divided between Turkey

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6 David Lang Marshall, *A modern history of Soviet Georgia*, Grove Press, New York, 1962, f. 235

7 Andrew Andersen and George Partskhaladze *La guerre soviet - géorgienne ...*, cited work, f. 5-6  
<https://journals.openedition.org/rha/6463>

8 David Lang Marshall, *A modern history ...*, cited work, f. 235

9 Andrew Andersen and George Partskhaladze *La guerre soviet - géorgienne...*, cited work, f. 7  
<https://journals.openedition.org/rha/6463>

10 David Marshall Lang, *A modern history...*, cited work, f. 232

(which took over more than half of its territory) and Russia (which took over the rest) by the end of 1920. the last piece of the puzzle that completed the configuration of the Russian-Turkish plan for the Caucasus was independent Georgia.<sup>11</sup>

In April Jordania and his government fled into exile, but their political contribution and dominance in Georgia lasted for three decades. Their efforts and achievements in building the Georgian political nation were extraordinary, as was their popular support. The political strategies of the Georgian Mensheviks were different due to the pressures and the dynamics of the situation. At first they tried to keep the revolutionary alliances of workers and soldiers, who had become the de facto dominators of the native Soviets, bound together, but conflicts over national issues and relations with Russia disrupted these alliances.

They then began cooperating with Armenians and Azerbaijanis to preserve the unity of the Transcaucasus from ethnic tensions or Turkish occupation, but even that connection did not work, and the Georgians returned to cooperating with Germany, accepting the suggestion to become its protectorate. This was, at the very least, the best solution at the moment, to defend against Turkey and Russia, but also to strengthen economically. Even this strategy was not long-lasting, as Germany lost the war and another powerful force had emerged in the region, Britain.<sup>12</sup> Apparently, the national vocation of the Mensheviks led them to the functioning of all internal political dialogue opportunities (with the revolutionary alliances of workers and soldiers), regional (with the Armenians and Azerbaijanis), external (with Germany), but the Caucasus, within Georgia, too, were involved in very powerful geopolitical interests, so much so that the issue of Georgia could not be resolved at that moment and only with Menshevik contribution.

Georgia was the most difficult and inconvenient case for Moscow during the annexation of Transcaucasia. Although on May 7, 1920 Moscow granted de jure recognition of Georgia as an independent country, it subsequently forcibly occupied it. This shows that recognition has been merely a tactical act of hers. Lenin was for a more moderate strategy of annexing Georgia (unlike Stalin, who was for a radical strategy, even such were the instructions he gave to his Georgian collaborator, Ordzhonikida), because of the opinion that could be formed in the international socialists when they learned that the Russian communists had overthrown an independent socialist (Menshevik) government by force of arms. Although he repeatedly urged Stalin and the Georgian Bolsheviks to be "very careful" during the occupation of Georgia, he eventually joined the radicals within his party.

If Allied powers accepted Soviet occupation of Georgia, France supported Georgia more than Britain. The French Prime Minister and Chairman of the High Council of the Alliance, Aristide Briand, played a crucial role in the de jure recognition of the Council of Georgia in 1921. Also, France was the only country to assist Georgia with military means to fight The Red Army. However, France did not want to go to war with Soviet Russia over Georgia, so its military assistance was limited.<sup>13</sup> Although Georgia became one of the Soviet republics politically subjugated by Moscow, it managed to retain almost a state status.<sup>14</sup>

The Georgian government in exile made efforts to stop the Russian occupation of Georgia. Noe Jordania, in an article in the British newspaper "The Times" on March 21, 1922, addressed the international community about the Russian attack, after before, on June 13, 1921, the envoy with the affairs of Georgia had sent a letter to the Council of the League of the aggression in Soviet Russia of Georgia, but the international situation of that period could not stop the Russian aggression.

The great Western powers and the League of Nations had only expressed their "concern" for Russia's actions, while revolts against the communist regime were suppressed by military force.<sup>15</sup> But when Georgian representatives succeeded in persuading the Foreign of Commonwealth Office to show understanding for Georgia's independence and to recognize it at the Paris Peace Conference, it was

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11 Andrew Andersen and George Partskhaladze *La guerre soviét - géorgienne ...*, cited work, f. 1

12 Ronald Grigor Suny, *The Making ...*, cited work, f. 207

13 Hiroaki Kuromiya, Georges Mamoulia, *The Eurasian ...*, cited work, f. 98

14 Andrew Andersen and George Partskhaladze *La guerre soviét - géorgienne ...*, cited work, f.8.

15 Hiroaki Kuromiya, Georges Mamoulia, *The Eurasian ...*, cited work, f. 98

General Thomson<sup>16</sup> who opposed Noe Jordania that the Allied powers would not recognize any independent political entity on Russian territory, as their mission in the region was to restore the former sovereignty of the Russian Transcaucasia to Russian authority.<sup>17</sup>

The Allies' plan, according to Thomson, was to establish power in the Caucasus on behalf of the Russian authorities; to liberate the Caucasus from the Germans and the Bolsheviks; to restore order without interfering in the internal affairs of the country; to restore trade with the ports of Persia and the areas not occupied by the Bolsheviks; to ensure the free movement of Allied military personnel on the Transcaucasian railways; to help the Armenian troops return home.<sup>18</sup>

From Thomson's point it was clear that the allies were against Bolshevism. This was also stated in the conversation between their representative in Batumi, Webster, and the representative of the Georgian government, Diomid Topuridze, where the latter, in exchange for the recognition of Georgia's independence, pledged that the country with all its resources (ports and railways) would support the Allies in the fight against the Bolsheviks in the Caucasus.

On February 15, 1921, Turkey attacked Georgia to take Ardahan and Artav, under a secret agreement with Russia. On February 25, the capital of Georgia (Tbilisi) fell and the Menshevik government moved to Batumi. The Turks offered their help to protect the Georgians from the Red Army, and on March 16, Turkish troops entered Batumi. On the same day, March 16, 1921, the Treaty of Moscow was signed between Turkey and Russia, to ensure friendly and fraternal relations between the two countries. On March 17, with the help of Turkish troops, the Georgians were able to retake Batumi. Both Turkey and Russia had claims to Batumi and territory in Armenia, but the agreement recognized the borders established in the Turkish National Pact (January 28, 1920) and Batumi remained under the sovereignty of the Soviet Socialist Republic of Georgia, along with territory north of the Turkish border. Georgia was also recognized as a protectorate over Ajaria, which would enjoy a great deal of autonomy under this protectorate.

With the Treaty of Moscow, which replaced all previous peace treaties, Turkey ensured free passage to the port of Batumi. Very important for Georgia was Article 2 of the treaty, which defined the territory that Turkey would cede to it, as defined in Article 1, as well as the city and port of Batumi, provided that the population enjoyed a considerable amount of autonomy. for different nationalities and to create laws in accordance with its conditions. Point 2, Article 1 gave Turkey the right of free transit for all its goods either by road through Turkey or through the port of Batumi; the goods would pass without being subject to customs duties, without delay and without the imposition of any other tax. Turkey also won the right to use the port of Batumi free of charge for this use.<sup>19</sup>

In October 1921, an agreement was signed between Turkey, Soviet Russia, and Transcaucasian Soviet Socialist Republics (of Georgia, Armenia, and Azerbaijan), known as the Kars Treaty. Under this treaty, substantial territories of Georgia and Armenia were ceded to Turkey. The local population of Adjara had to gain administrative autonomy, while Turkey had to gain free transit through Batumi. Its concluding preamble set out the principle of brotherhood and the right of peoples to self-determination, for friendly relations to be stable and reciprocal. Turkey, for its part, promised not to sign any agreements concerning Armenia, Georgia and Azerbaijan that did not have the approval of the respective Soviet governments.<sup>20</sup>

During this period, Georgia, like the other nations of the Union of Soviet Socialist Republics, faced the process of Sovietization, which, more than the application of Marxist principles, was the true appreciation of the strategic demands of Soviet Russia to local Soviets. Moscow leaders had differing views on the issue. While Stalin with some Bolshevik exponents were in favor of a rapid and harsh process of centralization, Lenin and Trotsky, but also other Georgian communists were for a preparatory period in

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16 Firuz Kazemzadeh, *The struggle for Transcaucasia, 1917-1921*, Hyperion Press, New York, 1951, f. 169

17 Martin Sicker, *The Middle East in the Twentieth Century*, Praeger, Westport, 2001, f. 119

18 Firuz Kazemzadeh, *The struggle for...*, cited work, f. 169

19 Charlotte Hille, *State Building and Conflict Resolution in the Caucasus*, BRILL, Leiden, 2010, f. 100.

20 Po aty, f. 101.

Georgia.<sup>21</sup> In 1922, popular uprisings broke out in Georgia and parts of Dagestan, which were suppressed by Soviet forces, although the rebels were supported by Poland, but not materially. The same year, Georgian political parties established the Georgia Independence Committee with the Joint Military Center. The plans for the uprising, which the Committee had hatched together with the anti-Bolshevik forces of Azerbaijan and the North Caucasus, were discovered in 1923 by the Soviet secret police, which managed to prevent and arrest the leaders of the Joint Military Center. At the same time, Moscow launched nationwide campaigns to liquidate the Mensheviks as an organization, forcing them to declare their "self-dissolution."

The uprising in Georgia began in August 1924, after the reconstruction of the Committee for the Independence of Georgia, but the international situation was unfavorable, because Britain in February 1924 officially recognized the Soviet Union, while France recognized it de jure six months later. To counter this movement, but also to draw the world's attention to the Bolshevik occupation of Georgia, the Georgian Mensheviks in exile prepared for the new popular uprisings, which were discovered by the Soviet government, which fought their realization.<sup>22</sup>

Despite the international situation created (the Soviet government had consolidated its authority and expanded international recognition from: Germany, Britain, France, Italy, Poland, Finland, Turkey, Iran, etc., but not from the US), the Mensheviks continued their activities. Given that Georgia was de jure recognized by the Allies, they hoped that France would defend Georgia as an independent state.

They tried to seize every opportunity given to them and pursued their plans to prove to the world that the Georgian people did not accept the Soviet occupation and that the uprisings were the best evidence of this refusal. The general uprising started the day before the plan, on August 28, in the small village of Khiatura (Georgia), but did not include large centers such as Tbilisi and Batumi or the regions of national minorities, although a part of Abkhazians joined the rebels. After a week of fighting, the rebels were crushed, recording a record of 12,578 prisoners, who were killed by the communist government, not counting those who died in action. The rebels' executions spiraled out of control, and Moscow, alarmed by the international consequences, ordered their cessation without its authorization. Ordzhonikidze along with other Caucasian Bolsheviks did not stop the executions. This, of course, undermined the authority of the Bolsheviks, but gave way to the forcible Sovietization of the Caucasus. Indeed, in 1922 the League of Nations passed a resolution regarding the suppression of the rebellions at that time, drawing the attention of the world.

In 1922 the three Soviet republics of the South Caucasus merged into one and then became part of the Socialist Republic of the Transcaucasian Soviet Federal of the Union of Soviet Socialist Republics. In 1936, the Transcaucasian Republic disintegrated into the Soviet Socialist Republics of Georgia,<sup>23</sup> Armenia, and Azerbaijan.

Communist leaders expanded and consolidated their influence, creating the largest socialist power, in a Moscow-based federal economic and military structure, based on a common ideology led by the Russian Soviet Federative Socialist Republic. ) and the Communist Party. However, within this structure, Georgia, Belarus, Ukraine, and Azerbaijan, although economically and ideologically dependent on the Russian Soviet Federative Socialist Republic, had some independence in their foreign policy, which was unified with the foreign policy of the Soviet Socialist Federal Republic. Russia at the Hague and Geneva conference, with the conclusion of the Rapallo Treaty and the establishment of friendly relations between East and West. But even after the treaty they continued to enter into agreements with foreign countries.

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21 Ronald Grigor Suny, *The Making ...*, cited work, f. 209-210.

22 Hiroaki Kuromiya, *Georges Mamoulia, The Eurasian ...*, cited work, f. 108.

23 "ARTICLE 25. The Soviet Socialist Republic of Georgia includes the Autonomous Soviet Socialist Republic of Abkhazia, the Autonomous Soviet Socialist Republic of Adjara and the Autonomous Region of South Ossetia." Constitution (Fundamental law) of the USSR With Amendments and Additions adopted by the First, Second, Third, Sixth, Seventh and Eighth Sessions of the Supreme Soviet of the U.S.S.R. Kremlin, Moscow, December 5, 1936, Red Star Press Ltd., London, 1978.

<https://www.marxists.org/reference/archive/stalin/works/1936/12/05.htm>

<sup>24</sup> In December 1936 the Soviet government disbanded the Transcaucasian federation into separate republics.<sup>25</sup>

### 3. Risk of invasion of Ukraine

Russia justified the attack on Georgia in response to Georgia's alleged support for the anti-Soviet guerrilla movement in Dagestan, repression against the local Bolsheviks, and the economic blockade of already Soviet Armenia.<sup>26</sup> Such an excuse is also trying to present for the possible attack on Ukraine, with the claim to protect its citizens from a new civil war in Eastern Ukraine. Then, denying planning any attack, she expresses security concerns, including not allowing former Soviet countries to join NATO.

The Russian threat to Ukraine has been present over the past decade. In 2014, war broke out in Donbas, in eastern Ukraine. It has increased the deployment of military troops in the summer of 2014, causing major defeats to the Ukrainian military forces, which in August also lost control of the city of Ilovaik.

Russia has already amassed significant forces on the Ukrainian border and continues to send troops to Belarus, significantly increasing its long established arsenal.

According to military specialists, it has brought to the border with Ukraine military equipment that will enable the invasion within a short time.

Russia has tried to seize every opportunity that comes its way. Today the Donetsk and Luhansk regions in eastern Ukraine along the border with Russia are controlled by pro-Russian separatists. Residents of these regions have been given the opportunity by Moscow to obtain Russian citizenship, and many of them have obtained Russian passports.<sup>27</sup>

Ukraine can not withstand a Russian invasion. It prioritizes diplomatic resolution of the conflict. Its military leaders, politicians and many citizens entrust the protection from the Russian attack only to NATO, as the Ukrainian army is destroyed and disarmed, without qualified personnel, without modern military equipment and tools.

The West and the US strongly support Ukraine through diplomatic channels, threatening economic sanctions against Russia but excluding the deployment of their troops on the ground. To avoid aggression, sanctions must be tightened to the extent that the risks to Russia are significant and Russian-speaking people in eastern and southern Ukraine oppose and resist Russian occupation. On the other hand, military support should not be ruled out.

### Conclusions

The Russian government had formed an alliance with the Turkish government to divide Georgia, Azerbaijan and Armenia. Azerbaijan was invaded by the Red Army, Armenia was divided between Turkey and Russia, and the last piece of the puzzle that completed the configuration of the Russian-Turkish plan for the Caucasus was independent Georgia.

Violating the peace agreement between the Soviets and the Georgians, the Red Army forcibly invaded Georgia in February 1921, following a popular revolt organized by the Soviets against the Georgian government in Borkalo on February 11, 1921. This shows that recognition was merely a Russian tactical action.

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<sup>24</sup> Urs W. Saxer, *The Transformation of the Soviet Union: From a Socialist Federation to a Commonwealth of Independent States*, 14 *Loy. L.A. Int'l & Comp. L. Rev.* 581 (1992), f. 612.

<sup>25</sup> Raymond E. Zickel, *Soviet Union, a country study* / Federal Research Division, The Division, Washington, D.C., 1991, f. 154.

<sup>26</sup> Andrew Andersen and George Partskhaladze, ... cited work, f. 2

<sup>27</sup> Rusia kërcënon Ukrainën me ndërhyrje ushtarake, Fokus/bota dw 11 prill 2021 <https://www.dw.com/sq/rusia-k%C3%ABrc%C3%ABnon-ukrain%C3%ABn-me-nd%C3%ABrhyrje-ushtarake/a-57153407>

Georgian forces resisted with difficulty. This weakness ended with their complete defeat by the end of February 16, an ideal moment for the Red Army to attack Tbilisi. The Georgian government at the beginning of the war asked Moscow to stop fighting, but it replied that there was no war, but clashes in some border areas.

After the fall of Sukhumi and Okamkira on March 4, the Soviets set up a special revolutionary committee in Sukhumi, which announced the creation of the Soviet Socialist Republic of Abkhazia, beginning with the partition of Georgia. Under these conditions, abandoned by the West, Georgia was ready to make territorial concessions to Turkey, enough to gain its support.

After the Turkish attack, Batumi came under its control, but was quickly abandoned by them after very fierce fighting with Mazniashvili's troops. The Red Army entered Guria and Ajaria.

Under the agreement signed in October 1921 between Turkey, Soviet Russia, and the Transcaucasian Soviet Socialist Republics (of Georgia, Armenia, and Azerbaijan), known as the Kars Treaty, significant territories of Georgia and Armenia were ceded to Turkey.

Georgia, like the other nations of the Union of Soviet Socialist Republics, during this period faced the process of Sovietization, which, more than the application of Marxist principles, was the true assessment between the strategic demands of Soviet Russia and the local goals of communism. Despite the created international situation, the Soviet government had consolidated its authority and expanded international recognition.

Today Russia has become a real threat to Ukraine. This danger has been present since eight years ago, culminating in our days with the deployment of 100 thousand troops and an efficient combat technique, in the face of a weak Ukrainian army, with outdated and equipment and unmotivated leadership personnel. due to poor economic conditions. That's why Ukraine's defense remains in the hands of the US and the European Union.

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## Perception of Freedom among Youngsters in Albania: Type of School, and Gender Implications

Albana Çekrezi<sup>1</sup>

Salih Özcan<sup>2</sup>

<sup>1</sup> Epoka University, acekrezi17@epoka.edu.edu.al, ORCID: 0000-0002-9982-6456

<sup>2</sup> Epoka University, sozcan@epoka.edu.edu.al, ORCID: 0000-0002-2583-5974

**Abstract:** There is a strong understanding that the essence of democracy consists of a constellation of key values. The proper understanding of these values plays an integral role in the political culture of a country. As the maintenance of democracy relies on the young generation, it is significant to understand their perceptions of values. Freedom is one of the core values that sustain democracy. Its definition varies from the distinction between positive and negative freedom to intellectual freedom, freedom of speech, freedom to choose, freedom of action, and more. As education is among the factors that impact the democratization of a country, we investigated perceptions of positive and negative freedom among high school students in Albania. The participants were 1846 senior high school students from the main educational directorates in Albania from both public and non-public schools. The data was gathered through a survey conducted online and later processed in SPSS. The results suggest not only evidence on the association between perception of freedom and type of school and gender but also differences in perceptions due to gender as well as school types.

**Keywords:** democracy, freedom, youngsters, schools, Albania

### 1. INTRODUCTION

Democratic values are integral to the political culture of a country. The values shared by the community gain significance in this regard and the education of the masses present potential. Albania is considered partly free with fragile civil liberties and political rights (Freedom House, 2020). As it is known, over the last 30 years, external actors like the EU or USA have had a limited impact on the democratization process in Albania. On the other hand, domestic factors play a significant role and cannot be underestimated (Freyburg & Richter, 2010). Keeping in mind that education is a prerequisite for democracy (Dewey, 1916), a source of change of values (Inglehart, 1977), and realizing that the values of citizens change more quickly when they are young and less when they are adults (Rohrschneider, Miles, & Peffley, 2014), internally, education is important. Moreover, it can be a field of investment that promotes constructive collective change (European Union Institute for Security Studies (EUISS), 2017). Within this context, in this study, we have attempted to explore the perception that senior students in Albania have of positive and negative freedom and see if there is an association with the type of school and gender. Initially, a brief discussion on freedom and its types will be presented, followed by an explanation of the current study.

### 2. DEFINING FREEDOM

In literature, the terms liberty and freedom are used interchangeably by both philosophers and political scientists. The general public, massively, equalizes freedom to the lack of limitation. However, the overview that follows sheds light on a different understanding.

Foucault (Foucault & Translated by Burchell, 2015) uses the term *parrhesia* to refer to freedom, basing his analysis on the Greek and Roman sources of philosophy. Parrhesia or freedom is understood as the doing and saying of what the individual wants. In other cases, parrhesia means speaking the truth. So, it is understood here more as freedom of speech. During the period the concept emerged, it was a right for those individuals entitled to citizenship. It is about moral purity, otherwise one is a slave. Additionally, the term is used to refer to what is logical and reasonable as opposed to being confined by madness and foolishness. Other philosophers like Aquinas viewed freedom as free will. Humans are given free will and, in this way, they control and master themselves (Mitchell, 2015). This free will is confined by ignorance and the only way to reach real freedom is when wisdom and will are combined. Sartre equalized freedom with the *freedom to choose* and this choice is motivated either by self-consciousness or is done trying to

escape responsibility (Natanson, 1952). Freedom of the press was particularly articulated by Bentham, a 19<sup>th</sup>-century British philosopher who saw it as a protection against despotism (Schofield, 2019).

It is Hegel one of the first philosophers who clearly emphasized positive freedom and saw it as internally motivated. His elaboration on freedom centralizes on what he calls “*freedom of the will*” (Hegel, 1991, p. 48). It is a form of freedom ensured by reflection, self-awareness, and self-actualization. Hegel criticizes the average person’s ideas on freedom that circulate on doing whatever one wishes to. Freedom is guaranteed if one lives a principled life. Otherwise, his desires and tendencies confine him. The same for *freedom of action*; it is possible when action is guided by reasonableness. Likewise, Kant sees both forms of freedom: internal and external. It is based on free will, morality, and right as separated from one’s predispositions and others’ caprices (Demenchonok, 2019). *Freedom to choose* is within the positive version of freedom. Freedom of choice and action can be reached through reasonableness and freedom of the will through morality (Guyer, 2010). Hobbes on the other hand is well known for his interpretation of *negative liberty* as based on the lack of limitation of external agents. Even though he extends the notion to discuss free will and it becomes a much more complicated concept (van Mill, 1995). For Locke, freedom exists when the individual’s actions and movements are guided by his mind (Locke, *An Essay Concerning Human Understanding Book II: Ideas*, 2017). He sees freedom as not dependent on free will, which is a different form of power, but on the agent. So it is the individual who has the power to exercise this form of positive freedom.

Berlin’s well-known classification of freedom refers to two forms: *negative liberty* denoting lack of external enforcements and interferences to reduce liberty and *positive liberty*, strongly associated with self-control and being your own master (Berlin, 1969). Positive freedom is more understood in the form of rational self-fulfillment. Fromm labels these two forms of freedom as “*freedom from*” and “*freedom to*” (2001, p. 27). The first form is the typical negative version of freedom. This form is an attempt that drives one against any form of obstacle or burden leading to inferiority, submission, lack of security, and humiliation.

The second form is consistent with the idea of positive freedom. It enables individuals to be self-responsible, self-realized, self-fulfilled, active participants, critical thinkers, spontaneous and fulfill their distinctiveness as individuals to the fullest. This self-realization is done through the development and expression of potential. This conception of positive freedom does not include isolation; a critical stance does not exclude contact with society. The achievement of this form of freedom is through self-fulfillment. The notion of freedom encompasses a harmonization of these two forms. Not only should the individual have no external limitation, but he also has to be without internal limitation as well. Internally, any form of ignorance that prevents him from expanding his knowledge, horizon, imagination, or action can be considered as part of the limitations that prevent him from maturing, advancing, and progressing. The individual is considered free when he is equipped with the necessary knowledge, skills, and power and uses them in his interest (Bhaskar, 2008). Thus, ideas of positive freedom include and consider elements like rights, needs, equity, and opportunities for self-fulfillment. The focus of positive liberty concentrates on the ability of the individual to rationally use his freedom in various forms of benefit. From this point of view, freedom does not rest in having the opportunities to speak or act as one wishes to. The form of freedom represented here contains rationality and responsibility. Finally, Dewey (1938, p. 26) understands freedom as external and internal. External freedom is seen as a lack of external power, whereas internal one is in the form of freedom of thought, freedom of desire, and purpose. A person who is guided by instincts, impulses internally have no difference from one who is controlled by another power externally.

### **3. WHY are SCHOOLS IMPORTANT for FREEDOM?**

Yet, why education and schools are important for freedom and democracy? In reality, the construction of values is better realized in a critical society according to Habermas, a defender of liberal values (Wain, 2004). For him, democracy rests on communication and cooperation. Education is the key. However, schools risk producing submissive and obedient masses.

Paulo Freire in his celebrated book “*Pedagogy of the Oppressed*” (1970), addressed the relation of education with freedom and oppression. He referred to oppression in education and the need for



liberation. He is against any form of imposition but calls for dialogue (Durakoglu, Bicer, & Zabun, 2013). Paulo Freire refers to an approach which he termed as “the banking concept” and considers students passive recipients to being filled like empty vessels. This method dominates thought, stops critical thinking, and inhibits creativity. So, this banking approach in education damages freedom and leads to oppression and obedience. It controls their freedom of thought, expression, and action. He stresses that the relation between teacher-students is that of the oppressor and the oppressed. The result is the development of a culture of silence and the oppressed has no longer the ability to freely criticize the dominant culture. To Freire, politics and education are interrelated and education serves a certain political agenda.

Similar ideas are supported by Fromm (2001) in *“The Fear of Freedom”*. The scholar warns that education can damage genuineness and naturalness. Through the use of methods and other mechanisms, education shapes individuals so that they fit into society. In this way, it serves the purpose of the powerful by killing creativity and thinking. Instead, Glass (2004) in his article *“Moral and Political Clarity and Education as a Practice of Freedom”* suggests that education should be a place where freedom is practiced. The author proposes some classroom practices that are an embodiment of the practice of freedom like questioning, awareness-raising, and confrontations. Similarly, Greene in *“Education as the Practice of Freedom”* (2005) offers the idea that to achieve freedom, teachers should engage cooperatively with their students so that these last develop critical thinking and responsible choice-making.

To begin with, Eugene McCreary (1965) in his essay entitled *“Schools for Fearlessness and Freedom”* discusses freedom in schools. He described the context of the 1960s in America and notes a state of estrangement of man, who is the product of education. He stresses the fact that the dependence, control, and pressure used in schools damages freedom seriously. They harm the independence of thought and action to result in agreement and submission with politics or culture. Similarly, Fine (1987) in her essay *“Silencing in Public Schools”* examines the case of public high schools in Manhattan, New York, with students coming mainly from a low-income background. She used ethnography and observed classroom life for one year. In the end, her conclusions indicate that in schools silencing has been institutionalized. It has become part of policies and practices. Students accept being muted to avoid complications and to continue their further studies. At the same time, the process of the institutionalization of silencing hides many other problems and suppresses critical talk. Thomas & Berk (1981) investigated if the school setting had any impact on creative thinking. A total of 225 students participated in the study coming from nine different school environments. The authors found that the impact of schooling on creativity is complex. Nevertheless, the study indicated that females were much more affected by the school environment which impacted their creativity.

Years later, Yvonna S. Lincoln (1995) in the article *“In Search of Students' Voices”* notes that in schools students are already assigned roles, races, and statuses that they can occupy when becoming adults. All these practices leave no place for freedom of choice and thought. Schools offer little space for freedom in terms of selection.

Similarly, Yonezawa, Wells, & Serna (2002) in the article *“Freedom of Choice” in Detracking Schools”* use data from six different schools with mixed students, mainly Latino and African American to discuss the reasons why the attempts of teachers to use freedom of choice in tracking courses give little results. These schools were chosen out of 200 ones based on their geographical positions, diversity in race, and socioeconomic conditions. The study lasted 2 years and the researchers used taped semi-structured interviews with policymakers, teachers, students, and parents. Additionally, observations in schools, meetings with parents, and the community were done in the form of field notes. Official documents were analyzed and for each stage, researchers prepared a report which was analyzed and compared with other schools. The results of this study suggest that freedom of choice in these schools (where students can choose courses according to their abilities) is insufficient. This happens because in the future students encounter difficulties related to institutional and structural obstacles. The same is valid for teachers' influence on students and students' low self-esteem. All these factors impact students' ability to choose freely classes and courses. Even though schools can offer freedom of choice, students are discouraged by future institutions that will limit this kind of freedom. There exists a dominant idea that has been instilled in their minds that perpetuates the silencing of voices and lack of initiative. It is similar to the self-fulfilling prophecy (Merton, 1948). Individuals are made to think that they will fail and as a result discouraged.

Similarly, students that originate from certain family backgrounds and races are discouraged and are made to think that their freedom will be limited by other institutions, if not schools.

#### 4. METHODOLOGY

In this study, we employed quantitative research. It is based on the interpretation of statistical data (Halperin & Health, 2017, p. 6) and is appropriate when we tend to prove a hypothesis (Muijs, 2004). The items used in the current study are taken from a larger questionnaire. From it, we selected mediator variables like gender, type of school, area, and items related to the perception of freedom. Freedom understanding was measured with positive and negative freedom, intellectual freedom (or freedom of the mind), freedom of speech, and freedom of action. The questions were posed in the form of multiple-choice for gender, type of school, area, and positive-negative freedom. The other questions were 5-point Likert scale statements varying from *Strongly Disagree* to *Strongly Agree*.

The population participating in the survey was 1846 senior high school students. They were students studying in schools that belonged to the four educational directorates in Albania. These participants were chosen using probability sampling. This type of sampling ensures that every member of the population has a probability to be selected. This means that the findings of such a study can be valid for the population as well (Bryman & Cramer, 2001). The survey was conducted in the four main regional educational directorates in Albania: Durres, Fier, Korçe, and Lezhe, based on the division done by the Ministry of Education (Drejtoria e Arsimit Rajonale, 2021). As observed from table 1, 53.2 % were from Durres, 15.8 % from Fier, 19.1 % from Korçe, 12.0 % Lezhe. Most of the participants, 53.2%, were from the directorate of Durres. This percentage is high due to many reasons. Primarily, the regional educational directorate of Durres covers the capital of Tirana, together with the districts of Durres, Kamez, Kavajë, Dibër, Vlorë (DRAP, 2021), etc. where most of the population in Albania resides. Only Tirana has 32.2 % (912,190 inhabitants) of the total population of the country (2,829,741); Durres has 10.3 % (292,029) and Dibër 4% (INSTAT, 2021).

Table 1: Sample Data of Education Directorates

		Directorate			
		Frequency	Percent	Valid Percent	Cumulative Percent
Valid	Durres	982	53.2	53.2	53.2
	Fier	291	15.8	15.8	69.0
	Korçe	352	19.1	19.1	88.0
	Lezhe	221	12.0	12.0	100.0
	Total	1846	100.0	100.0	

The students participating in the survey, as noticed from table 2 were: 72.7 % (N=1342) females and 27.3 % (N=504) males; 87.1% (N=1579) from public schools and 12.9% (N=234) from non-public schools.

Table 2: Sample Data of Gender, and Type of School

	Female	Male	Public	Non-Public	Total
Frequency	1342	504	1579	234	1846
Percent	72.7	27.3	87.1	12.9	100

#### 5. RESULTS

In the current study, we aimed to explore associations between intermediate variables such as gender and type of school with items of positive-negative freedom understanding. For this reason, we made use of Chi-square, which is appropriate to test the association of different categories (Burns, 2000). The results are presented in sections below. They cover gender and positive-negative freedom perception, and type of school and positive-negative freedom perception crosstabulation.

### 5.1. Gender and Positive-Negative Freedom Perception- Crosstabulation

Table 1 presents the results in frequencies from the crosstabulation between the gender of participants and the perception of positive-negative freedom. It is observed that 42 (8.3%) males understand freedom as negative, 134 (26.6%) as only positive, and 328 (65.1%) as not only negative but positive as well.

44 (3.3%) of females understand freedom as negative, 328 (24.4%) as only positive, and 970 (72.3%) as not only negative but positive at the same time.

Table 3: Crosstabulation of gender and Positive-Negative Freedom Perception

Positive-Negative Freedom Perception		Freedom is lack of external enforcement.	Freedom is self-control, being your own master.	Freedom is non-solely lack of enforcement, but self-development, responsible attitude as well.	Total	
Gender	Male	Count	42	134	328	504
		% within Gender	8.3%	26.6%	65.1%	100.0%
	Female	Count	44	328	970	1342
		% within Gender	3.3%	24.4%	72.3%	100.0%
Total	Count	86	462	1298	1846	
	% within Gender	4.7%	25.0%	70.3%	100.0%	
	% of Total	4.7%	25.0%	70.3%	100.0%	

Table 4 presents the results of the Chi-Square test. The value of chi-square is 23.470, the degree of freedom 2, and the p-value is  $p = .000$ . Since the p-value is smaller than the chosen significance level ( $\alpha = 0.05$ ), there is evidence to reject the null hypothesis that perceptions of positive and negative freedom are not related to gender. On the contrary, the results indicate that there is an association between gender and freedom understanding. *This means that the perception of positive and negative freedom is dependent on gender.*

Table 4: Chi-Square Tests

Chi-Square Tests			
	Value	df	Asymptotic Significance (2-sided)
Pearson Chi-Square	23.470 <sup>a</sup>	2	.000
Likelihood Ratio	21.345	2	.000
Linear-by-Linear Association	17.260	1	.000
N of Valid Cases	1846		

a. 0 cells (0.0%) have expected count less than 5. The minimum expected count is 23.48.

The following table (Table 5) describes the value and significance of Phi and Cramer's V measuring the effect size (Burns, 2000, p. 223). The effect size gives information on the strength of the relation between the variables processed. The effect size, in this case, is .113. It suggests a small effect, but still a significant one. This means that gender differences are related to differences in perceptions of positive and negative freedom. Thus, *different genders have different perceptions of positive and negative freedom.*

Table 5: Value and Significance of Phi and Cramer's V

Symmetric Measures		
	Value	Approximate Significance
Nominal by Nominal	Phi	.113
	Cramer's V	.113
N of Valid Cases	1846	

## 5.2. Crosstabulation of Type of School and Positive-Negative Freedom Perception

Table 6 presents the frequencies from the crosstabulation between the type of school of the participants and the perception of positive-negative freedom. It can be noticed that observed that 67 (4.2%) participants from public schools understand freedom as negative, 406 (25.2%) as only positive, and 1137 (70.6%) as not only negative but positive as well. 19 (8.1%) of the participants from private schools understand freedom as negative, 56 (23.7%) as only positive, and 161 (68.2.3%) as not only negative but positive at the same time.

Table 6: Type of School and Positive-Negative Freedom Perception Crosstabulation

Which of the following statements best represents your idea on freedom?		Freedom is lack of external enforcement.	Freedom is self-control, being your own master.	Freedom is non-solely lack of enforcement, but self-development, responsible attitude as well.	Total
Type of School	Public	Count 67	406	1137	1610
		% within Type of School 4.2%	25.2%	70.6%	100.0%
Private	Count 19	56	161	236	
	% within Type of School 8.1%	23.7%	68.2%	100.0%	
Total	Count 86	462	1298	1846	
	% within Type of School 4.7%	25.0%	70.3%	100.0%	
	% of Total 4.7%	25.0%	70.3%	100.0%	

Table 7 presents the results of the Chi-Square test. The value of chi-square is 7.034, the degree of freedom 2, and the p-value is  $p = .030$ . Since the p-value is smaller than the chosen significance level ( $\alpha = 0.05$ ), there is evidence to reject the null hypothesis that perceptions of positive and negative freedom are not related to the type of school. The results indicate that there is an association between the type of school of the participants and positive-negative freedom understanding. *This means that the perception of positive and negative freedom is dependent on the type of school.*

Chi-Square Tests			
	Value	df	Asymptotic Significance (2-sided)
Pearson Chi-Square	7.034 <sup>a</sup>	2	.030
Likelihood Ratio	6.018	2	.049
Linear-by-Linear Association	2.554	1	.110
N of Valid Cases	1846		

a. 0 cells (0.0%) have expected count less than 5. The minimum expected count is 10.99.

The following table presents the Phi and Cramer's V value which is .062. This is understood as a small value, but still, it reflects a difference in perceptions of positive-negative freedom among different types of schools. *This means that perceptions of positive-negative freedom are dependent on the type of school.*

Table 8: Phi and Cramer's V value

Symmetric Measures			
		Value	Approximate Significance
Nominal by	Phi	.062	.030
Nominal	Cramer's V	.062	.030
N of Valid Cases		1846	

## 6. CONCLUSION

Education can offer freedom only when the students are considered as connected to the world, not isolated and not dehumanized. When the authority in schools is in favor of freedom, then students are thought of as conscious beings, not simply recipients. Educational sites are places for both personal and collective transformation. Given that, the dependence, control, and pressure used in schools damages freedom seriously, harm the independence of thought and action, and result in agreement and submission, it is important to understand if schools have implications with how students perceive freedom. The current study aimed to explore the association between perception of positive-negative freedom and type of school as well as gender. The results indicate that there are differences in perception due to gender as well as school types. This means that perceptions of positive and negative freedom among young adults are dependent on gender and public, non-public schools. More research is to be done that further explores in details how type of school and gender impact perceptions of freedom.

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## Data Tools of Intelligent Decision Support Systems

Aleksandra Jovanoska, Ms C<sup>1</sup>

LjupceMarkusheski, Ph D<sup>2</sup>

Igor Zdravkoski, Ph D<sup>3</sup>

<sup>1</sup>Faculty of Economics – Prilep, Republic of North Macedonia, jovanoska29@gmail.com.

<sup>2</sup>Faculty of Economics – Prilep, Republic of North Macedonia, ljupce.markusoski@uklo.edu.mk

<sup>3</sup>Faculty of Economics – Prilep, Republic of North Macedonia, e-mail: igor.zdravkoski@uklo.edu.mk.

**Abstract:** Problem solving and decision making in organizations can be followed by the use of decision support systems.

To be able to make the right decisions and solve problems in a timely and accurate manner in organizations, intelligent decision support systems (expert systems) base their decisions on the data they receive from data tools such as: data analysis and Data Mining.

To maximize the effectiveness of data tools, an environment called Intelligent Data Miner (I.D.M.) is used. That environment is network-based and is aimed at providing the ability to make decisions at the organizational level.

Intelligent agent technology has been used as the basis in the design of I.D.M. It is agent-based and as such provides options in which agents have the ability to complete certain activities on their own without being supervised, where they can learn, gain experience and solve tasks based on that experience.

There are different types of intelligent agents that have some common characteristics, but each has unique characteristics that are recognizable only to a particular type of agent.

**Keywords:** decision support systems, data analysis, data mining, intelligent data miner.

### 1. INTRODUCTION

In order for intelligent decision support systems (expert systems) to be able to make the right decisions and solve problems in a timely and accurate manner in organizations, they base their decisions on the data they receive from data tools such as data analysis and Data Mining. To maximize the effectiveness of data tools, an environment called Intelligent Data Miner (I.D.M.) is used. That environment is network-based and is aimed at providing the ability to make decisions at the organizational level. Intelligent agent technology has been used as the basis in the design of I.D.M. It is agent-based (they are called agents because they work for users) and as such provides options in which agents have the ability to complete certain activities on their own without being supervised, where they can learn, gain experience and solve tasks based on that experience. There are different types of intelligent agents that have some common characteristics, but each has unique characteristics that are recognizable only to a particular type of agent.

### 2. I.D.M. (INTELLEAGENT DATA MINER)

In order for intelligent decision support systems to make the right decisions and solve problems in organizations in a timely and accurate manner, they base their decisions on the data they receive from data tools such as data analysis and data mining. ).

To maximize the effectiveness of data tools, and environment called I.D.M. That environment is actually network-based and is aimed at providing the ability to make decisions at the organizational level. Intelligent agent technology has been used as the basis for designing I.D.M. This environment provides several types of data access, analyzing them from databases, extracting the critical data needed by decision-makers. I.D.M supports defined and ad hoc approaches, data analysis, presentation and mining.

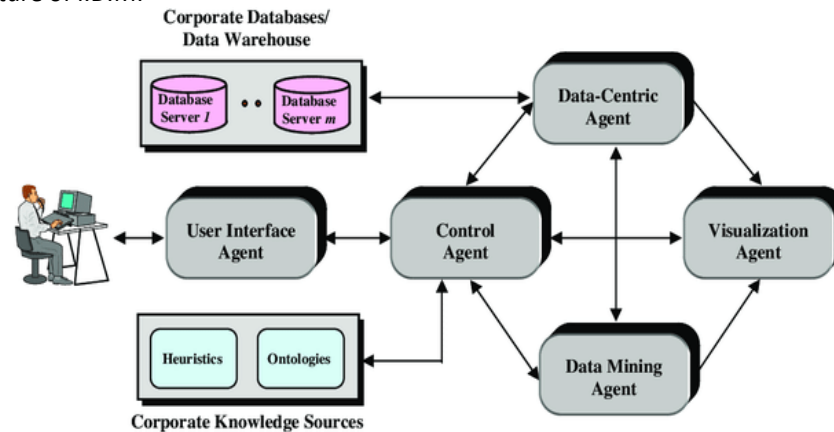
#### 2.1. Design by I.D.M.

The design of the I.D.M. consists of the following five agents:

- User interface agent;
- Coordinating Agent in I.D.M. ;
- Data mining agent;
- Data setting agent and;
- Visual publishing agent.

The architecture of the I.D.M. is shown in fig. 1.

Fig.1 Architecture of I.D.M.



The above agents are autonomous and independent, where they can survive in one machine, as well as in a distributed environment where they can communicate and collaborate with each other.

Agents in the I.D.M. are designed with the help of object-oriented principles and are modular in nature. The agent scheme consists of three modules. They are the following: interface module, process module, and knowledge module.

The interface module deals with the public interface of the agent which is visible to other agents and users. The public interface provides mechanisms for communication with agents and supports communication and cooperation between agents.

The processing module and the knowledge module remain the private property of the agent so that other agents and users can not directly manipulate the composition of these modules without having access privileges. The processing module contains methods and heuristics that implement various functions and processes by which agents can respond to the requests of other agents and users. It follows that the main task of the processing module is to provide services that may be necessary for solving certain problems. The knowledge module consists of a specific and independent domain of knowledge that is also used in problem-solving.

## 2.2. Functions of I.D.M.

The functions of the I.D.M. which are available to users are divided into the following categories: data retrieval, data representation, multidimensional analysis, data mining, and visualization. I.D.M. with the help of the above functions supports the predefined as well as ad hoc user activities. Predefined activity is an activity that the specific function of the I.D.M. executes it automatically after previously programming and saving it. Ad hoc activity is such activity that will be specified by the user for the specified I.D.M. function during the session. At the request of the user, I.D.M. can save the activity so that it can later be used in a range of predefined activities. I.D.M. provides a directory that is actually a catalog of information, in order to provide assistance to users in searching for the data in question, which are available for use in data warehouses. This directory has another function, and that is to select the subject area that users would like to use by applying the selected I.D.M. function. I.D.M. possesses the following five functions:



- **Request data**  
This feature is designed to perform predefined and ad-hoc queries. This feature is useful for users who are looking for lists, accounts, or status updates for which computer requirements are relatively simple. The data retrieval feature provides capabilities for ad-hoc questionnaire specifications using the Oracle 8 questionnaire tool. Users, however, will need to understand SQL or seek the help of IS support professionals in solving complex questionnaires;
- **Presentation of data**  
Data representation is characterized by the manipulation and visualization of a data set. Capabilities that come from sophisticated static analysis such as regression, prediction, and correlations are integral to this function. I.D.M. provides capabilities for verifying assumptions made on a set of data previously processed using static analysis. This function is simple to operate by users with prior knowledge of statistics, and for other users, some training must be performed;
- **Multidimensional analysis**  
Multidimensional analysis is characterized by the analysis of data aggregates represented through the key dimensions of the business. This feature allows the user to access data warehouses through any single dimension and freely navigate through all other dimensions. A key feature of this feature is the ability to guide the user up and down the entire dimensional hierarchy while maintaining the integrity of the computer aspects of user requests;
- **Data mining**  
This feature enables the use of a number of different commercially available, sophisticated recognition schemes and learning algorithms that are accessible to the I.D.M. and can generate detection models such as predictive models. Many of the available data mining algorithms are system-driven or without hypotheses;
- **Visualization**  
With the help of visualization, I.D.M. can summarize data (results) and present trends and phenomena through different types of graphic presentations. To perform this function, I.D.M. is commercially available for several visualization software. Some of this software allows the user to communicate with the visualization, which would answer some simple questions.

### **2.3. Advantages and disadvantages of I.D.M.**

Using of data mining technology requires users who have knowledge in the field of statistics and concepts for data analysis. In order for users who do not have knowledge in these areas to perform complex activities with the help of data mining and data analysis, a system called I.D.M. The advantages of I.D.M. are the following:

- Enables business managers to take advantage of many data tools, including data mining;
- Provides effective search in business data, which helps managers in achieving and maintaining business competition;
- Enables the use of ad hoc questionnaires, as well as formal reports from data warehouses;
- By being a distributed environment that uses Internet \ intranet technology, I.D.M. is easily accessible to all members of the organization while providing the same interface;
- Has an open architecture that is scalable;
- The agents used can be programmed, with the help of artificial intelligence techniques, to learn and evolve, thereby improving the quality and efficiency of the system.
- In addition to the positive aspects of I.D.M., there are some limitations that could be removed in the future. Such restrictions are:

- The openness of the I.D.M. to users is not at the required level, in the sense that I.D.M. (as well as data mining) requires users to accurately and precisely set the goals to be achieved. Also, in order for the user to work with I.D.M., he must have knowledge of the technology used in the development of I.D.M.;
- I.D.M. possesses the limited capacity for an explanation. Users need to understand the patterns and trends of new knowledge discovery used by I.D.M., in order to have more confidence in I.D.M.;
- The visual agent of the I.D.M. can currently present data in tabular and graphical form.

### 3. INTELLIGENT AGENT TECHNOLOGY

#### 3.1. Notion of intelligent agents

Intelligent agents are software entities that perform certain operations on behalf of a user or program, with some degree of independence, using certain knowledge or representations of user goals or desires.

This is just one of the definitions used by intelligent agents, which differ only from the perspective of the definition provider. Intelligent agents present a new technology that has the potential to become one of the most important tools in 21st-century information technology. Intelligent agents have the ability to overcome the most critical limitations of the Internet (information flooding) and thus strengthen the position of e-commerce.

Intelligent agents get their name from the concept agency, according to which they represent employees who work for you. Intelligent agents are also found under other names such as software agents, wizards, knowbots, and softbots. They are software that has the ability to automatically perform the task assigned to it by a person or some other software (agent). Once set up, intelligent agents can perform their tasks automatically, without any user intervention. Intelligent agents receive information from their environment, first observing the environment, then deciding on their actions, and finally moving on to their execution. In fact, these agents are implemented as programs (functions), which reflect their observations in action. Today, due to the lack of consistency in defining the term intelligent agents, we have more terms in use. They are:

Intelligent agents;

Adaptive interfaces;

Autonomous agents;

Personal agents;

Network agents, etc.

The need for intelligent agents arises due to the growing difficulty that arises in locating, collecting, filtering, evaluating, and integrating information, as well as due to the increasingly difficult coordination of information obtained from heterogeneous sources.

Intelligent agents are commonly used for:

- Automatic information retrieval;
- Answering the questions asked in the domain of their knowledge;
- Informing the users about the interesting developments (for the appearance of new material on the Internet, displays information about possible problems on the road between the initial and final destination, Internet search, etc.);
- Provide breaking news for certain individuals;
- Provide intelligent training of users;

- Find products at the lowest prices;
- Provide automated services, such as checking changes to web pages or the appearance of "broken" links;
- Solving complex tasks;
- Perform tasks on behalf of users and;
- Assist in the cooperation between the users themselves.
- Intelligent agents possess the following characteristics (it should be noted that not all agents possess all of the listed characteristics):
- Autonomy - are able to take action independently, to be purpose-oriented, and can be left to perform tasks independently for a longer period of time;
- Proactive response - agents' response must be able to be corrected;
- Obstructiveness - intelligent agents can work without being supervised by their owners;
- Modularity - agents can be transported across different systems and networks (many agents do not have this feature);
- Commitment and automation - agents perform specific, repetitive and difficult tasks;
- Interactivity - designed to interact with human agents or software programs;
- Ability to learn - only a small number of agents have this characteristic.
- Agents who have this characteristic can gain new knowledge during the work and the conditions for acquiring new knowledge are: the repetitiveness of the tasks solved by the intelligent agents and the different repetitiveness for different users;
- Ability to communicate with other agents - this ability is a prerequisite for the existence of an intelligent agent. The agent must know the language in which he is to communicate, must read the messages written in that language, and be able to accept the limitations imposed by the semantics of the language itself;

The intelligent agent is composed of sensors and actuators, for receiving and sending signals, as well as five layers that are located inside the agent. The agent has the following five layers:

- Communication layer - serves for communication of the agent with other agents;
- Coordination layer - serves to coordinate the work of the agent with other agents, exchange knowledge and expertise with other agents, improve the efficiency of groups in teamwork, etc.;
- Organizational layer - determines the group of agents to which the agent will belong, determines its role, etc.;
- Definition layer - determines the decision-making mechanism, the learning mechanism, goals, resources, etc.;
- API layer.

### **3.2. Types of intelligent agents**

There are a number of intelligent agents that we will consider from the perspective of intelligent agents as independent entities, without taking into account the external influences that certainly exist in artificial intelligence.

### 3.2.1. Tropical agents

In order to fully understand how tropical agents work, we must first explain the term tropism. Tropism, in fact, is the tendency of plants and animals to react to external influences. It follows that the activities of this class of intelligent agents are related exclusively to external influences.

Different agents react differently to different external influences. Some register the color of the blocks, some their weight and so on. According to the characteristic sensory abilities of the agents, the external influences from group  $S$  are divided into group  $T$ , which will be composed of unrelated subgroups. By introducing the see function which mirrors the states of group  $S$  in the partition to which it belongs, we connect the states of group  $S$  to the corresponding partitions. Functions of this type are called sensory functions.

See:  $S \rightarrow T$

Similar to sensory abilities, different agents have abilities with which they can create different effects (effector capabilities). Some agents can draw blocks, but can not move them, others can move blocks, but can not change their color and so on. We will define the characteristics of these actions with the function straight (do), which mirrors each action and state in states that occur after the application of a certain action on the original state. We call these functions effector functions.

Do:  $A \times S \rightarrow S$

Observing the activity of the agents we will define the action function, which performs a mapping of the partitions whose states belong to the action.

Action:  $T \rightarrow A$

Finally, we can define tropical agents represented by six characteristics, namely ( $S$ ,  $T$ ,  $A$ , see, do, action), where

$S$  - is a set of states from the outside world;

$T$  - a set of partitions from  $S$ , which describe the workflow (algorithm);

$A$  - sum of shares;

see:  $S \rightarrow T$ ;

do:  $A \times S \rightarrow S$ ;

action:  $T \rightarrow A$ .

In this way we can summarize the action of tropical agents: in each cycle the environment of the agent is in a state  $s$ ; the agent observes the partition  $t$  which refers to the sensory function see ( $s$ ); uses action to find the corresponding action  $a$ , which is assigned to partition  $t$ ; finally performs an action, which produces the state do ( $a$ ,  $s$ ); the cycle repeats.

The simplest example of a tropical agent is the "Labyrinth World" example, where we have  $3 \times 3$  connected cubes, a cart and gold. The purpose of this example is to load the cart with gold. There are 90 possible situations: the cart can be in 9 boxes, and for each of those possibilities the gold can be found in one of the 9 boxes or in the cart (this does not include situations where the gold and the cart are in the same field or when the gold is in the cart). From our point of view, it is possible to come from any state to any other state. Unlike us, the intelligent agent, with the help of the sensors on the cart, can detect his location, but can not detect the location of the gold, and can tell if the gold is in the truck, in one of the fields or on another place. Sensory limitations divide the group of 90 states into 27 subgroups. The situation in each of the subgroups agrees with the position of the cart as well as the position of the gold relative to the cart, but does not agree with the exact position of the gold when it is in any of the fields relative to the cart.

In addition to sensory limitations, these agents have limitations in action (limiting effects). In our example, agents can move the cart from field to field and can manipulate the gold whether it is in the cart or in another field.

The effects arising from the action of agents can be grouped into seven actions, as follows:

- Agents can move the cart up, down, left and right (4 actions);
- The agent can place the gold in the cart;
- The agent can move the gold and;
- The agent may not produce any effect (do nothing).

Consider the problem of designing actions for agents with such restrictions. Assume that in the initial state the cart is located in the upper left field of the maze. Our goal is to reach the gold that is in the lower right field. We have:

1. If the cart is at the exit and the gold is in the same field, the agent does nothing;
2. If the cart is at the exit and the gold is in the cart, the agent moves the gold;
3. If the cart is in any field and if the gold is in the same field, the agent loads the gold on the cart;
4. If the cart is not at the exit and the gold is in the cart, the agent moves the cart towards the exit and;
5. In other cases, the agent moves the cart through the maze until the gold is found, by first moving the cart through the first row, then descending through the far right field to the second row and finally from the first field to the second row. moves to the first field of the third row.

### 3.2.2. Hysterical agents

Unlike tropical agents, which were associated only with external influences, hysterical agents are also associated with internal (internal) influences. In fact, they can be found in any of the states of group I internal states. again to define the sensory function.

The most important difference between tropical and hysterical agents is that the action function in hysterical agents takes into account internal conditions as well as observations in dictating actions.

action:  $I \times T \rightarrow A$

In hysteretic agents there is a memory that serves to move the function that mirrors the internal states (which are observed) to subsequent internal states.

Internal:  $I \times T \rightarrow I$

Unlike tropical agents, these agents are defined by eight characteristics, namely (I, S, T, A, see, do, internal, action)

where

I - represents a group of internal conditions;

S - represents a group of external states;

A - represents a group of shares;

see is a function from S to T;

do is a function from  $A \times S$  to S;

internal is a function from  $I \times T$  to I and;

action is a function of  $I \times T$  in A.

If we look again at the example with the cart and gold, we can say that agents with sensory limitations divide the group of 90 states into three subgroups. The first subgroup contains 9 states, in which the gold is in the cart. The second subgroup refers to 9 states, in which gold and the cart are in the same field, and gold is not in the cart. The third subgroup contains the remaining 72 states, in which gold and the cart are in different fields. With the see function we mirror each state in the corresponding subgroup (partition). We will now define a group of internal states that we will represent with numbers from 1 to 9, with which

we will mark the fields in the labyrinth (instead of the data corresponding to the rows and columns). In this case, too, the situation would be impossible in which the cart is at the exit, and the gold in another field.

### 3.2.3. Agents at the level of knowledge

In achieving the goals of artificial intelligence, it is not always necessary to present problems at a high level. This means that they do not have to be represented in detail (eg you do not have to know the operation of each element of the computer to know how it works). For us, the most important thing is the design in which the physical elements are presented in the abstract.

In this section we will examine the concept of agents called knowledge level agents, which eliminates the excess of details. In this abstraction of internal states, agents contain databases with predicate sentences and mental actions that represent conclusions drawn from those databases. The action function, for knowledge-level agents, mirrors the database  $\mathbb{D}$ , the state group  $T$  partition in the action to be performed by the agents.

action:  $D \times T \rightarrow A$

The database refresh function mirrors the database  $\mathbb{D}$  and the state  $T$  partition in a new, internal database.

database:  $D \times T \rightarrow D$

We represent agents at the level of knowledge with the help of eight characteristics, as follows:

(D, S, T, A, see, do, database, action)

where

Group D, is an arbitrary group of predicate databases;

S represents a group of external states;

T represents a group of partitions of S;

A represents a group of shares;

see is a function from S to T;

do is a function from  $A \times S$  to S;

database is a function from  $D \times T$  to D and;

action is a function from  $D \times T$  to D.

From here we can see that every agent at the level of knowledge is also a hysterical agent. We replace the integer values with which we previously denoted internal states with predicate databases. In our example with the labyrinth we name 9 fields with symbols AA, AB, AC, BA, BB, BC, CA, CB, CC. We will get three partitions of the states, ie IC ("in the cart"), SC ("in the same cell", in the same field) and EW ("elsewhere"). First we will use the relational symbol Cart, which will indicate the internal relation that contains the field on which the cart is, and the symbol Gold, which will indicate the internal relation that contains the partition of states that refers to the location where the gold is. Instead of starting with 1 as the initial state, we start with a one-member group:

Cart (AA)

Because internal states have changed, we need to redefine the action function in agents so that it takes into account databases instead of numbers. We also need to define the database function, which mirrors databases and state partitions in databases, which correspond to integers in the internal states of the aforementioned agents.

These agents are characterized by extremely limited capabilities. Although their behavior is different in relation to the position of gold, it is a fixed search for the path to gold and follows fixed paths to the exit in case of finding gold. Modifying these agents is not possible without defining completely new functions

for the agent. If we want to modify the physical part of the agent, as well as its functions implemented in the hardware, the change would be big. An alternative could be found in defining flexible agents that would be programmed by modifying sentences in the agent database. We can illustrate this with an example in which we will use the symbols R, L, U, D for the actions right, left, up and down, respectively. With the symbols I and O we will denote the actions of placing gold in the cart and exit out of the maze (in, out), and with the symbol N we will denote the zero action (when the agent does nothing). With Must we will mark the action that we want the agent to take at a given moment.

Cart (AA)  $\wedge$  Gold (IC)  $\Rightarrow$  Must = R

Cart (AA)  $\wedge$  Gold (SC)  $\Rightarrow$  Must = I

Cart (AA)  $\wedge$  Gold (EW)  $\Rightarrow$  Must = R

Cart (CC)  $\wedge$  Gold (IC)  $\Rightarrow$  Must = O

Cart (CC)  $\wedge$  Gold (SC)  $\Rightarrow$  Must = N

Suppose the initial state contains the sentence that describes the initial location of the cart.

Cart (AA)

Then we will define the auxiliary function "e". The names of the partitions are:

e = IC, e = SC and e = EW, and the actions are: e (left) = L, e (right) = R, e (up) = U, e (down) = D, e (in) = I, e (out) = O and e (noop) = N.

When the database  $\Delta$  contains sentences

Cart ( $\sigma$ )  $\wedge$  Cart ( $\sigma$ )  $\wedge$  Gold (e(t))  $\Rightarrow$  Must = e(a)

The agent then performs action a.

Action ( $\Delta$ , t) = a

The database function dictates a new database that contains all the sentences from the old database, except the one that describes the location of the shopping cart, which is moved to a new location via the next function.

Database ( $\Delta$ ,t) = ( $\Delta$  - Cart( $\sigma$ ))  $\vee$  Cart (next( $\Delta$ ,t))

We can see that this agent performs the described procedures in its initial database, so from this we can conclude that we can change the procedure by changing the database. Although the sentence form in the description is stricter, we can still define agents with the same power.

### 3.2.4. Agents with knowledge in steps

The agents we have described so far are not monotonous, ie the sentences can be changed or added to the database. The reason for this is that our concept of state dependency relations does not cover the state of the wheelchair location. Each database describes only one condition. After the action, the situation has changed and the description must also be changed, so as to refer to the situation that occurred after the action.

This observation raises the question of whether it is possible to design monotonous agents, in the database of which new sentences can be added but not moved or deleted.

To achieve the above requirements, it is first necessary to apply the concept based on states. To describe the characteristics of individual states we will use the relation T. Then we need to convert the relational symbol Cart into a functional symbol. We will use the Ext symbol, which denotes the function that mirrors each positive integer in the external states of the agent's operating cycles that correspond to that integer. We can see that Ext mirrors the whole number in external states, not in state partitions. With the definitions given so far, we can describe the initial state in the example with the labyrinth, where we

should note that such a description will not be complete, because the position of gold is not taken into account.

T (Cart (AA), Ext (1))

However, these changes alone are not enough to enable purely monotonous behavior. The agent still needs to know which cycle is running in order to be able to use the information stored in the database. The agent can not store information related to the current cycle in its database, because the information changes after each action. This problem can be solved with a new type of knowledge level agents, in whose internal states and sentence base a counter is included. Agents of knowledge level in steps are characterized by eight characteristics, namely:

( D, S, T, A, see, do, database, action)

where

D - is a predicate group of databases;

S - group of external states;

T - group of partitions from S;

A - group of shares;

see - function from S to T;

do - function from A x S to S;

database - function D x N x T in D;

action - function from D x N x Tn in A.

We can see that the only difference between knowledge-level agents in steps and ordinary knowledge-level agents is the dependence of databases and the action function on the ordinal number of the agent cycle. The serial number of the agent cycle is stored outside the database.

For the purpose of analysis, it is often useful to change the internal state, the external state, the observation and the action in the knowledge level agents in steps depending on the ordinal number of the cycle. The function  $int_{\Delta,s}$  mirrors the integer n in internal states, which occur as a result of the nth cycle of knowledge-level agents with initial database steps  $\Delta$  and initial external states s. The function  $ext_{\Delta,s}$  mirrors the whole number in external states, which are the result of the activities in the nth cycle. The function  $obs_{\Delta,s}$  mirrors the whole number n in a group of states observed by the agent in the nth cycle. The function  $act_{\Delta,s}$  mirrors the integer n in the action taken by the agent in the nth cycle.

Let's first look at what happens to the initial values. The internal states of the first cycle of the agent's operations are represented by the agent's initial database, and the external states of the first cycle are represented by the initial external states. First, the observation of the agent refers to the application of the see function, in its initial external state, and the first action of the agent is determined by its initial base numbered 1 and by the initial observation of the agent.

$$INT_{\Delta,s}(1) = \Delta$$

$$EXT_{\Delta,s}(1) = s$$

$$OBS_{\Delta,s}(1) = \text{see}(s)$$

$$ACT_{\Delta,s}(1) = \text{action}(\Delta, 1, \text{see}(s))$$

The definition for this function will follow after the first cycle. The internal state in each cycle is the result of the action of the memory function of the previous internal state, in the previous (ordinal) number of the cycle and from the observation of the previous external state. The external state is a result of the execution of the actions in the previous cycle on the previous external states. Agent monitoring is a state partition that contains external states. The action to be performed is determined by applying the action



function, in the current internal state, in the current cycle number and during the current observation of the external state by the agent.

$$\text{INT}_{\Delta,s}(n) = \text{database}(\text{INT}_{\Delta,s}(n-1), n-1, \text{OBS}_{\Delta,s}(n-1))$$

$$\text{EXT}_{\Delta,s}(n) = \text{do}(\text{ACT}_{\Delta,s}(n-1), \text{EXT}_{\Delta,s}(n-1))$$

$$\text{OBS}_{\Delta,s}(n) = \text{see}(\text{EXT}_{\Delta,s}(n))$$

$$\text{ACT}_{\Delta,s}(n) = \text{action}(\text{INT}_{\Delta,s}(n), n, \text{OBS}_{\Delta,s}(n))$$

The knowledge level agent with initial base  $\Delta$  and initial external states exists if and only if its database exists in each cycle. The knowledge-level agent remembers the database retentive if and only if his database in each cycle after the first logically implies the database from the previous cycle.

$$\text{INT}_{\Delta,s}(n) = \text{INT}_{\Delta,s}(n-1)$$

A simpler type of database retentive is one in which all sentences in  $\text{INT}_{\Delta,s}(n-1)$  are contained in  $\text{INT}_{\Delta,s}(n)$ .

### 3.2.5. Agents with intent

What is interesting about intentional agents is that with the usual interpretation of symbols in their vocabulary, the database correctly describes each cycle of the external environment. Because the agent moves to the right, the initial state of the cart is in the AB field as specified in that cycle database. If they performed systematic permutations as well as modification of the database and the action function of the agents, they would solve the problems equally well, but the sentences in the databases would be inaccurate with the usual interpretation. On the other hand, analyzing the level of knowledge of agents we usually want to talk about their behavior taking into account some partial interpretations of the sentences in the databases. In general, we can not expect agents to rely on our interpretation of all the symbols in his dictionary. However, it is interesting to look at the properties of agents if we assume that they agree with us regarding some of the symbols in his dictionary. The following links are of particular benefit.

The obsrecord function mirrors the positive integers  $n$  and the partitions of states  $T$ , in a group of sentences that claim that the external states of the cycle  $n$  are members of the partition  $T$ . In the previous example of observing the first cycle and state partitions where gold is elsewhere, the database consists of one sentence  $T$  (Gold (EW), Ext (1)).

$$\text{Obsrecord} = (T(\text{Gold (EW)}, \text{Ext (1)}))$$

In order to be able to encode commands in the agents database, we need a dictionary that describes the actions that the agent should perform. The mustrecord function mirrors the positive integer  $n$  and the action  $a$  in a group of sentences, arguing that the agent should perform the action  $a$  in the cycle  $n$ . For example. we can encode the situation in which the agent moves to the right, in its first cycle:

$$\text{mustrecord}(1, \text{right}) = \text{Must}(1) = R$$

The mustnotrecord function mirrors the positive integer  $n$  and the state  $T$  partitions in a group of sentences, arguing that the agent should avoid the action in loop  $n$ . For example. we can encode the situation in which the agent does not move to the right in its first cycle:

$$\text{mustnotrecord}(1, \text{right}) = \text{Must}(1) = / = R$$

The actrecord function mirrors the positive integer  $n$  and the action  $a$  in a group of sentences, arguing that the agent actually performs the action  $a$  in loop  $n$ . For example. we can encode the situation in which the agent moves to the right, in its first cycle with the sentence:

$$\text{act}(1) = R$$

$$\text{actrecord}(1, \text{right}) = \text{Act}(1) = R$$

As for other aspects of agents' operations, it would be convenient to create a function concept, which would define the record for agents' observation and action. We will define  $obsrec_{\Delta,s}$  which mirrors the number of cycles in the observation record for the  $n$ th cycle of the agent's activities at the knowledge level with the initial database  $\Delta$  and the initial external state  $s$ . The  $actrec_{\Delta,s}$  function mirrors the number of cycles in the corresponding action record. Using the terminology from the last part we can define the following:

$$obsrec_{\Delta,s} = obsrecord(n; obs_{\Delta,s}(n))$$

$$actrec_{\Delta,s} = actrecord(n; act_{\Delta,s}(n))$$

We can say that the agent is observation retentive, ie that he remembers the environment if and only if he writes his observations from each cycle in his database, ie in the specified cycle the agent's database logically initiates an observation record from the previous cycle.

$$int_{\Delta,s}(n) \mid = obsrec_{\Delta,s}(n - 1)$$

The agent keeps (remembers) his actions (action retentive), if and only if, the records of his actions from each cycle are in his database, ie. if in each cycle, after the first, the agent base performs a logical withdrawal of shares from the previous cycle.

$$int_{\Delta,s}(n) \mid = actrec_{\Delta,s}(n - 1)$$

We can say that the database  $\Delta$  writes the action and in the cycle  $n$  of the agent operations ( $P(\Delta, n, a)$ ), if and only if  $\Delta$  logically entails the execution of the action in the  $n$ th step.

$$\Delta \mid = mustrecord(n; a)$$

Using this notation we can define what is meant by the term prohibited action. Let's say that bans the action  $a$  in the  $n$ th cycle of agent operations ( $F(\Delta, n, a)$ ), if and only if triangle logically entails non-execution of the action and in step  $n$ .

$$\Delta \mid = mustnotrecord(n, a)$$

The knowledge-level agent is locally faithful if and only if his operations during each cycle meet the following conditions:

- The agent performs each recorded action with the help of his database and his monitoring of the current situation.
- $P(int_{\Delta,s}(n) \vee obsrec_{\Delta,s}(n), n, a) \Rightarrow act_{\Delta,s}(n) = a$
- The agent avoids (cancels) any prohibited action with the help of his database and his environment of the current situation.

$$F(int_{\Delta,s}(n) \vee obsrec_{\Delta,s}(n), n, a) \Rightarrow act_{\Delta,s}(n) \neq a$$

For some of the knowledge level agents these conditions are reduced. For example, suppose an agent database has an axiom that states that there is only one written action for each cycle, and that there are axioms that claim inequality in the different actions of agents. Then, if the database determines (writes) an action for each cycle, the agent bans all other actions, and if the database prohibits all actions except one, it is necessary to determine (write) the remaining action. On the other hand, we can not forget the conditions attached to the prohibited actions. Therefore, there is a database of prohibited actions in which these actions are registered, so that the agent can not choose any of those actions. Also we can not do anything without the written conditions, so there are databases that register the shares that do not prohibit other shares, and we do not want the agent to perform only the unauthorized action in cases where there are other subscribed shares.

The history record of the particular steps of agent operations is a set of observations and actions that are recorded at each step and for all previous steps. The  $histrec$  function mirrors the number of corresponding historical records.

$$histrec_{\Delta,s}(n) = \{ histrec_{\Delta,s}^{(1)}(n - 1) \vee obsrec_{\Delta,s}(n) \vee actrec_{\Delta,s}(n) \mid n=0$$

We can see that previous information related to history in the agents' database often allows conclusions to be drawn that in other cases would not be possible. For example, after noticing that the gold is not in cell AA and after moving to cell AB, the agent may conclude that the gold is not located in cell AA, even though he has not thought about it. The thinking agent is globally faithful if and only if he acts in accordance with his initial database, his history and current environment, ie. if:

- The Agent performs any action specified by its initial database, its history and current status  

$$P (\Delta \vee \text{histrec}_{\Delta,s}(n-1) \vee \text{obsrec}_{\Delta,s}(n), n, a) \Rightarrow \text{act}_{\Delta,s}(n) = a$$
- The agent avoids any action that is prohibited in its initial database, history and environment under current conditions.  

$$F (\Delta \vee \text{histrec}_{\Delta,s}(n-1) \vee \text{obsrec}_{\Delta,s}(n), n, a) \Rightarrow \text{act}_{\Delta,s}(n) \neq a$$

### 3.2.6. Thinking agents

In this chapter we will define the class of agents that are a kind of specific agents at the level of knowledge. The key idea in defining this class of agents is the use of automatic locking methods, such as the resolution of the sentences produced, which indicates the required action in each cycle. Agents of this type can think in each cycle about the external actions they need to perform. If in cycle n it is possible to prove  $\text{mustrec}(n, a)$  for the current database and the monitoring record uses a resolution or other locking procedure then the agent performs action a.

Action  $(\Delta; n; t) = a$

Whenever  $\Delta \vee (\text{obsrecord}(n; t) \mid = \text{mustrecord}(n; a))$ .

The database is updated with the help of monitoring and actions in the cycle.

$\text{database}(\Delta; n; t) = \Delta \vee [\text{obsrecord}(n; t) \vee \text{actrecord}(n; a)]$

whenever  $\Delta \vee \text{obsrecord}(n; t) \mid = \text{mustrecord}(n; a)$

Procedure CD(DB)

Begin CYCLE := 1

Tag OBS := OBSERVE(CYCLE)

DB := APPEND([T(OBS,Ext(CYCLE)=k,DB)

ACT := FIND(k,Must(CYCLE)=k,DB)

EXECUTE(ACT)

DB := APPEND([Act(CYCLE)=ACT],DB)

CYCLE := CYCLE+1

GOTO Tag

End

The CD program takes the initial database as an argument and manipulates four variables: CYCLE - current state number, OBS - state descriptor, DB - keeps the initial database with all observations and records actions and ACT - represents the name of the action which will be executed. The sensor capability of the agents is implemented in the OBSERVE subroutine (argument and represents the ordinal number of the loop, which if executed in state s, returns a value in the type of  $\text{obsrecord}(n; \text{see}(s))$ ). The agent's "vocabulary of efficiency" is implemented in the primitive EXECUTE subroutine (its argument is the action tag, which, if called, executes the corresponding action).

The cycle of thinking agents begins with the stage in which the agent observes the environment and thus writes the characteristic sentence in the database. The agent then draws a conclusion in the database at

the moment of deduction on the performance action, which leads to the withdrawal of the action and updating of the database and the number of cycles. Then the cycle repeats.

From this definition it can be seen that the thinking agent can remember the environment, the actions and the database. This is why the theorem applies: Every agent who thinks, possesses corresponding and complete proving theorems is a globally correct (faithful) agent.

### 3.2.7. Learning agents

Such agents have knowledge of their environment and the ability to lock in the actions they perform. Learning agents accept new tasks in the form of explicitly set goals, always gaining new knowledge. They acquire knowledge by first adapting to changes in the environment, updating and increasing their knowledge by communicating with the environment or by learning. Such intelligent agents should possess knowledge that will include knowledge of:

- The current situation in the environment;
- Ways to indirectly lock on the environment, starting with noticing;
- Opportunities for changing statistical data;
- The ultimate goal to be achieved and;

The effect that actions achieve if performed under different circumstances.

Learning intelligent agents can also be called autonomous intelligent agents, indicating that they act independently, learning and adapting to change and circumstances.

According to Nikola Kasabov, such agents must possess the following characteristics:

- To learn and improve through interaction with the environment;
- To adapt online and in real time;
- Learn quickly from large amounts of data;
- Adapt to new problem-solving rules;
- Have memory-based capacity for storing and retrieving examples; Have parameters for representation of short-term and long-term memory and;
- Have the ability to perform analysis of their behavior, mistakes and successes.

## 4. HYBRID (multiagent) INTELLIGENT SYSTEMS

Systems in which multiple types of agents are used to solve problems are called multiagent systems. In such systems it is necessary for agents to have the opportunity to communicate with each other in order to exchange experiences or negotiate for an optimal solution. Agents used in multiagent systems can be identical in characteristics or different in terms of specialties. Multiagent systems are ideal for presenting problems for which there are many different methods to solve or can be considered from multiple perspectives. They enable the creation of parallel computer systems, assist in the work of time-limited locking and robust systems, if responsibilities are previously divided. In systems built in this way, management is not performed by a single agent, but by several agents who, in terms of their capabilities, take responsibility for controlling the complex process. The use of multiagent systems increases the security of the system as a whole, in situations of failure of one of the agents. In that case the whole system can be automatically reconstructed or stopped in a controlled way. When defining multiagent systems, it is necessary to define the number of agents, the critical time to complete the task, the dynamics of achieving the goals, the cost of communication, the cost of eventual failure, the impact of users, the uncertainty of the environment and so on.

At the level of each agent must be defined:

- Initial state in the domain;
- Possible actions of other agents;
- Outgoing actions of the agent.

With the increase in the number of agents cooperating in solving a common problem, problems arise in the areas of:

- Cooperation - agents should be designed in such a way that they would work together to achieve goals;
- Coordination - agents should be managed to avoid harmful interactions and use the beneficial ones;
- Negotiation - agents need to reach an agreement that is acceptable to all agents involved in resolving the issue.

In the development of multiagent systems there is a need for standardization of communication between agents, which are developed independently of each other (different developers). This enables action planning and resource management throughout the system.

The field of action of stand-alone agents and multi-agent systems is different and is an area that is rapidly expanding. The programming methodology of agents, based on agents, consists of effective tools and techniques that have the potential to significantly improve the technique of software development, starting from the conceptual solution to the specific implementation.

Such multiagent systems represent a combination of several scientific areas such as:

- Distributed data processing;
- Object Oriented Systems;
- Software engineering;
- Artificial intelligence;
- Economy;
- Sociology and;

Hay Organizational sciences.

Multi-agent technology is becoming increasingly important and as such is used to solve real-world problems and commercial applications. The range of application of agents is large, ranging from the simplest systems such as email filters, programs for intercepting and destroying computer viruses, to the most complex systems such as air traffic control software. Agent-based applications are used in the following areas:

- Production;
- Process control;
- Telecommunication systems;
- Air traffic control;
- Transport management;
- Meteorology;
- Filtering and collecting information;
- Management of information flows;
- Electronic commerce;
- Workflow management;

- Medicine;
- Entertainment industry;
- Computer games and so on.

Over the past two decades, a significant number of improvements have been made in the design and implementation of stand-alone agents, as well as the way they interact. We are currently working on solving two problems:

- Lack of clearly defined system methodologies for agent development in a multi-agent environment and;
- Lack of widespread, accessible and standardized development applications for the development of multiagent systems.

Most of the applications so far are designed based on the methodology of object-oriented programming languages. There is currently no methodology that defines the best structure of multiagent systems, as well as that harmonizes the individual and / or collective goals of agents in mutual communication or what is the best structure of the individual agent in such a system.

In some literature, intelligence agents refer to autonomous intelligence agents, meaning that they act independently, learn, and adapt to changing circumstances. According to Nikola Kasabov intelligent systems should display the following features:

- learns and improves through interaction with the environment;
- adapts online and in real time;
- learns quickly from large amounts of data;
- adapts to new rules of problem solving;
- have a memory warehouse for examples as well as recovery facilities;
- have parameters for presenting short-term and long-term memory, age, forgetfulness, etc .;
- be able to self-analyze behavior, mistakes and success.

In order to be able to actively perform their functions, intelligent agents are subordinated to a hierarchical structure consisting of a large number of sub-agents. Intelligent sub-agents process and perform low-level functions. Intelligent agents and sub-agents create a complete system that can perform difficult tasks or achieve goals with behaviors and responsibilities that display a form of intelligence.

Some of the sub-agents can be an intelligent agent or part of an intelligent agent are:

- temporary agents - for time-based decisions;
- spatial agents - they refer to the physical world;
- input agents - perform processing and give meaning to sensory inputs;
- process agents - solve problems with the help of speech recognition;
- decision agents - used to make decisions;
- learning agents - used to build databases of other agents;
- world agents - incorporate a combination of all other classes of agents in order to ensure autonomous behavior.

## 5. SUMMARY

Problem solving and decision making in organizations can be followed by the use of decision support systems. Decisions are based on data obtained from various data tools. To maximize the effectiveness of data tools, an environment called I.D.M.

This environment is actually network-based and is aimed at providing the ability to make decisions at the organizational level. Intelligent agent technology has been used as the basis for designing I.D.M.

The design of the I.D.M. consists of the following five agents: a user interface agent, an I.D.M. coordination agent, a data mining agent, a data setting agent, and a visual publishing agent.

Agents in the I.D.M. are designed with the help of object-oriented principles, and are modular in nature. The agent scheme consists of three modules. They are: interface module, process module and knowledge module.

The interface module deals with the public interface of the agent which is visible to other agents and users.

The process module and the knowledge module remain the private property of the agent, so that other agents and users can not directly manipulate the composition of these modules without having access privileges.

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## Virtual Reality and Its Role in Cultural Tourism (Case study Albania )

Alma Zhilla<sup>1</sup>

Oriola Theodhori<sup>2</sup>

<sup>1</sup>Fan .S.Noli University ,Economy Faculty, Dep. of Marketing –Tourism, Korca,Albania,  
E-mail: almapulaha@hotmail.com

<sup>2</sup>Fan .S.Noli University ,Economy Faculty, Dep. of Marketing –Tourism, Korca,Albania  
E-mail: theodhoriola@yahoo.com

**Abstract:** The concept of virtual reality is far from being a new concept. One of the most significant developments in the field of information and communication technology (ICT) that is expected to greatly influence the tourism industry today is virtual reality (VR). Many of the latest innovations such as VR platforms, devices and content production tools enable the evolution of VR. As such, VR technologies nowadays offer unlimited potential for mass virtual visits to current tourist destinations. Moreover, the roles of such technologies in the tourism and hospitality industry, its management and marketing in the literature, are occasionally regarded as a replacement for current travel, making it a very powerful tool for meeting the needs of tourists. Virtual reality is mostly used in advertising of tourism products as well as in guided tours, for educational and recreational purposes and the development of social tourism. The future of virtual tourism depends on improving the technical capacity for designing virtual tours, creating content for them, etc.

Tourism and hospitality organizations should definitely be encouraged to be more forward-looking and fully prepared for planning technological adaptations.

This paper aims to establish the relationship between the concepts of virtual reality and the tourism and hospitality industry. The paper also notes the importance of digital transformation of tourism in order to develop a digital economy. Seen in a broader context in this study are identified the advantages and disadvantages of introducing virtual reality in the tourism sector and knowledge of the possible consequences of virtual tours in society.

**Keywords:** virtual reality, technology, digital tourism, hospitality .

### 1.1 Introduction

The new globalization processes dramatically changed almost all areas of our society. The world has entered the information era with the emergence of a digital economy, being its main trend. Number of world economy industries that are not affected by digital transformation is steadily decline. International is on top of these processes, the dependence of Tourism from the internet and the market is growing, and the process of digitalization of tourism is quite fast. The introduction of digitalization and technology is leading to roles in the tourism industry with new forms and content. Virtual Reality (VR) is a topic that progresses at a daunting speed. It is important to stay up to date and to know some basic information about technology if someone plans to be involved in this continuous change industry.

This study aims to give a sound overview of the current state of virtual reality. While the main focus of the work is the role of VR in promoting the destination or its impact on tourist tourist in general. Through this study, and from the pandemic situation I answer the question of whether virtual tourism is a need of time or the future of Tourism as a whole ? Because of this, a summary of VR uses in multiple aspects of tourism. For this paper, traditional marketing methods were compared to VR applications. Moreover, some potential benefits and disadvantages of VR in tourism are highlighted. In a later part, the future prospect for the industry is estimated. Covid-19 led to the global tourism industry in a cramp. In response, different tourism actors adopted innovative approaches such as virtual tours (VT) to keep their withdrawals firmly in the minds of potential visitors. World tourism is today ready to use another digital progression, namely virtual reality.



## 1.2 Purpose of Study

The future of tourism is directly related to the ongoing computerization and digitalization processes that give tangible economic benefits to international tourism. Introducing virtual reality to tourism due and global pandemic is in its most explosive stages. The purpose of this paper is to identify the direction, the performance of virtual tourism and its impact on tourism development as a digital economy industry. Concerned its impact on the progress and development of this industry in Albania.

## 1.3 Definition of virtual tourism

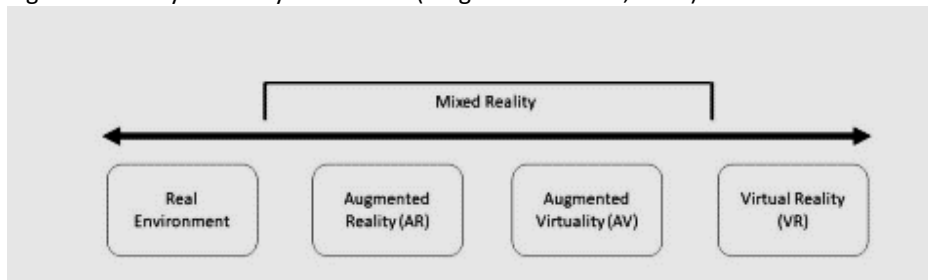
The term virtual tourism can mean a comprehensive online journey to a traditional tourism destination, or more precisely its virtual equivalent, but more often it refers to cases where the virtual experience only complements more traditional forms of tourism (Krug, 2006). Virtual tourism is most often used for marketing and promotion of products and destinations, but it can also be used for fulfilling cultural, educational, and recreational functions (Voronkova, 2018). To add to this, the term virtual tourism includes a large scale of different experiences (from watching marketing videos of a destination to technology-enhanced experience in a destination to experiencing a whole holiday online), so it can be defined simply as “the use of technology to artificially enhance or create a tourism experience” (Stainton, 2020). Virtual tourism is said to be a type of tourism experience activity that is based on one of the following technologies: virtual reality, computer technology, touch screen, Internet multimedia, 360-degree panoramic technology, 3D animation or other similar type of technology (Wu, 2020), such as augmented reality (Stainton, 2020). Virtual tourism is different from traditional tourism as the tourists can experience beautiful sceneries from all over the world through internet and computers, without leaving home (Wu, 2020). Similarly, Ali and Frew (2014) state that virtual tourism is internet-based, and it allows people to experience for example culture, 10 history, and other aspects of tourism visually and interactively without having to visit the destination. Matala (2003) claims that virtual tourism is “almost like” tourism; tourism by means of an electronic device without physical movement from one place to another. According to Jarratt (in press), virtual tourism is an online experience which offers a substitute for a physical visit, involving simulation, immersion and/or interaction. He states that these experiences are often enabled through complex technologies, such as virtual reality. At the same time Jarratt (in press) also claims that the definitions of virtual tourism are often too limited and focus only on virtual reality, but this should be changed, and the definitions of virtual tourism should be modified to accommodate also more simple technologies that are only providing a “window” to a real environment. As stated, virtual tourism differs from real tourism, as it does not necessarily include any physical movement. The definition for tourism always includes some kind of physical movement – for example, the internationally agreed definition for tourism from 2000 by UNWTO starts with “Tourism comprises the activities of persons traveling to and staying in places outside their usual environment...”, and therefore some argue if virtual tourism can be recognized as a form of tourism at all (Guttentag, 2010). Based on this definition, virtual tourism would be considered tourism only if the customer had first travelled outside their usual living environment to get the virtual tourism experience there (Guttentag, 2010). Therefore, the previously described definition of virtual tourism as a tourism experience enhanced or created with the use of technology works here. The concept of experience is significant leading to a conclusion that maybe we should not even try to consider virtual tourism as a form of tourism but rather as a tourism type of experience. Mura et al. (2017) propose a different perspective of virtual tourism by including to the definition both digital and non-digital alternative worlds in which people can travel without physical movement. With this they mean that besides technological devices, virtual tourism experience – travelling without a body movement – could be driven also by human fantasy or imagination and does not necessarily need to include any digital device. With this broader definition for example books, religious texts and paintings would be considered as representations of virtual worlds and could thus provide virtual tourism experiences with the help of human imagination. Despite of this, the technological devices, and their role in providing virtual tourism experiences do not want to be denied. (Mura et al., 2017.) In a similar way, Krug (2006) states that although virtual tourism is related to computer age and 11 postmodernism, the term also evokes written and visual traditions long before the computers were invented. Most of the other definitions, however, specifically emphasize the role of technology and digital tools in providing virtual tourism experiences, and for that reason the use of technology is considered as

a crucial part of virtual tourism in this paper as well. Nevertheless, the technologies enabling these experiences do not need to be only complex technologies such as virtual reality but can also include more simple technologies – as can be seen from the recently emerged virtual tourism experiences that utilize video images from real environment, some easily accessible online platforms and real-time internet connection.

#### 1.4 Types of virtual tourism experiences

Milgram and Kishino (1994) propose a reality-virtuality continuum, which shows the order of different realities as seen from the Figure 2. On the other extreme of the continuum is real environment and on the other extreme virtual environment (Flavián, Ibáñez-Sánchez & Orús, 2018). Real environment covers the reality itself, and it can be experienced directly or indirectly (for example when displayed as a video) (Milgram & Kishino, 1994).

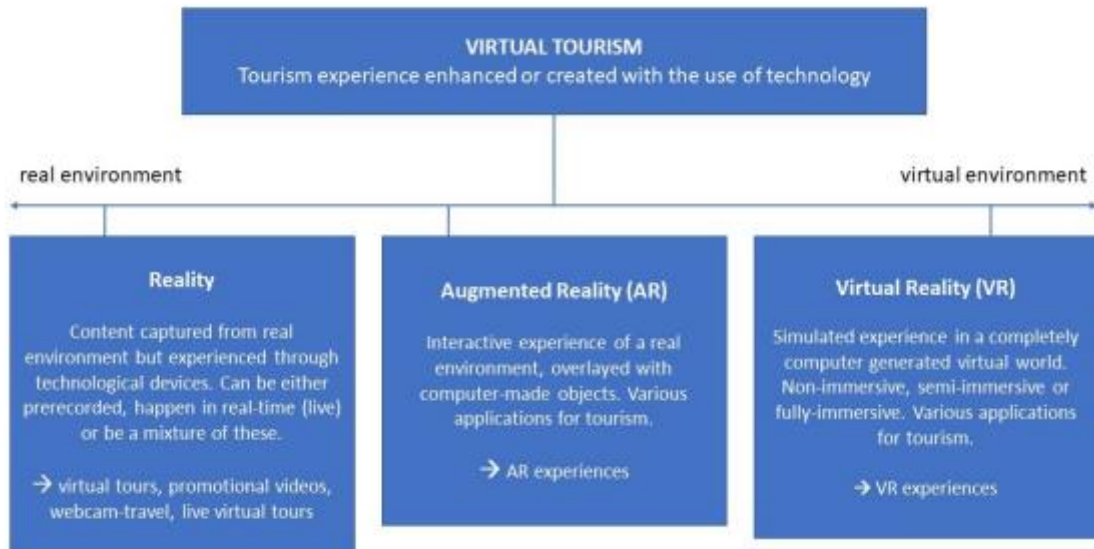
Figure 1. Reality-virtuality continuum (Milgram & Kishino, 1994)



Virtual Reality (VR) is a presentation of virtual environment as VR is totally computer-generated environment that provides simulated experience (Guttentag, 2010). The level of computer-generated stimuli increases the more we move from left (real environment) towards right (virtual environment). In between of these extremes is the mixed reality (MR), which includes Augmented Reality (AR) and Augmented Virtuality (AV). In mixed reality the virtual and the real objects merge. (Milgram & Kishino, 1994; Flavián et al., 2018.) AR modifies the real environment by overlaying computer-made virtual objects there, so it is happening in the real environment (van Krevelen & Poelman, 2010; Flavián et al., 2018). AV, in contrast, places real-life elements on the virtual environment, but this is much less studied (Flavián et al., 2018), and there are no examples of the use of AV in the tourism context. Other realities mentioned here are however utilized in virtual tourism. All these technologies, VR, AR and MR, are considered to be Extended Reality (EX) technologies (Karadimitriou, 2020).

The different types of virtual tourism experiences, and the environments that virtual tourism is operating in, are presented in the Figure 2. It illustrates what is considered about virtual tourism in this paper, as there are differing opinions on the matter, as noted above. From the figure it can be seen that virtual tourism is a tourism experience that is enhanced or even completely created with the help of technology and which utilizes both real environment as well as virtual environment. The types of virtual tourism include VR experiences, AR experiences, virtual tours (both live and pre-recorded), promotional videos, and webcam-travel. The 360-degree panoramic videos and images could be considered under “reality”, as the imaginary is captured from real environment, or, on the other hand, under “virtual reality” as it is considered as virtual reality technology. Some other technologies, such as computer technology, would also overlap between different types of virtual tourism experiences, and therefore these technologies are leaved out from the figure.

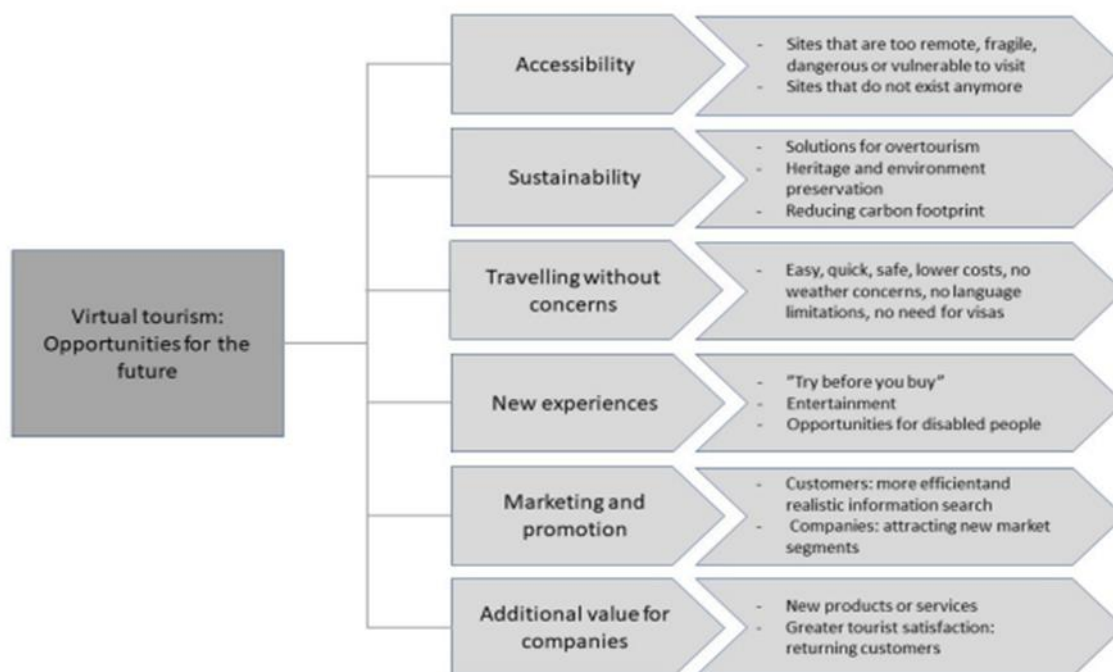
Figure 2. Different types of virtual tourism experiences.



### 1.5 Future of virtual tourism

As stated before, virtual tourism has developed steadily since the 1990s. The adoption of different technologies in the tourism industry has been beneficial as it improves the customer experience and thus also brings a lot of benefits and exceptional possibilities to tourism enterprises (Karadimitriou, 2020), which is why virtual tourism has been utilized more and more all the time. Due to the COVID-19 outbreak, people were forced to stay home, and they started to replace their physical holidays with virtual tourism experiences, such as live virtual tours streamed online (Stainton, 2020), webcam-travel (Jarratt, 2020) and VR experiences (Sarkady, Neuburger & Egger, 2021; Schiopu, Hornoiu, Padurean & Nica, 2021). Before the pandemic, it was believed that virtual tourism cannot be accepted as a substitute for traditional travelling (e.g., Guttentag, 2010), but the coronavirus outbreak changed this. In Albania, the supply of virtual tours and virtual experiences slightly increased due to the corona pandemic, but the progress has been surprisingly slow, and it seems like there is more demand than supply for virtual travel during the pandemic. Virtual tourism is unlikely to ever replace corporeal travelling completely, but it can offer wide range of possibilities for enhancing and creating experiences (Chen, 2020). There is room for example for experiences that can start the whole tourism experience before the actual departure and serve as a memory after the trip (Viinikka, 2021). It is also believed that in the future, virtual tourism can remain as a way to do business and bring additional value for the companies (Rantala, 2020a; Viinikka, 2021). The summary of the opportunities that virtual tourism can offer in the future are presented below in Figure 3. There are several opportunities, and hence tourism companies and destinations should pay attention in developing virtual tourism experiences.

Figure 3. Future opportunities of virtual tourism.



### 1.6 Tourism in Albania during pandemic period.

In September 2021, the number of foreign nationals entering the territory .The Albanian is 494,332. Compared to September 2020, this number has increased by 31.1%, while compared to 2019, as the last year of normal tourism development, which we refer to is worth 19.6% less. The number of foreign nationals entered Albania during the nine-month period of 2021 is 4.878.404, increasing by 2.3 times, compared to the same period of the year 2020, but is 0.7% less than the nine-month 2019.

Period	September 2019	September 2020	September 2021	January-September 2019	January-September 2020	January-September 2021
Foreign visitors	591,414	377,033	494,332	5.462.002	2.122.202	4.878.404

Source: INSTAT

Regarding the citizenship of foreigners, who have visited Albania during this period, it is noticed that for the first time we have a decline of 21.6% of the citizens Kosovo who came in September 2021, compared to the same month of 2019. Comparison for the nine-month period of 2021 shows that Kosovo citizens make up 48% of total all foreign nationals who have entered this nine-month period in our country.

### 1.7 Virtual tourism in Albania

Closing cultural institutions has made alternative methods for museums to have the public's attention. Virtual tours through 3D technology have entered some museums in Europe. This method is also applying some national cultural and cultural heritage institutions in Albania. The National Museum "Leaf House" in Tirana and the National Museum of Photography "Marubi" in Shkodra, the National Art Gallery and the National Historical Museum have opened "Digital Doors" for visitors.



Source :<https://kultura.gov.al/3dsite>

While in both museums should be cut of a ticket that costs 700 ALL (5 euro) for physical visits, virtually such a thing is made free of charge. This opportunity of visits to Albanian museums was launched last year's summer. Was also enriched in winter. But it has been re-established these days. On March 10, the Government of Albania has decided to suspend cultural and sports events. Then the measures are harsh. As a way to prevent the growth of infected with Koronavirus - the world pandemic - are banned people's movements besides the cases of food supply and urgencies. But the movements in the museum and gallery will continue at least through technology. In addition to these four institutions, in bids are the National Museum "Gjergj Kastrioti Skënderbeu" in Kruja and in this city and the ethnographic museum to continue in Berat, in the iconographic Museum "Onufri" ... (Full Scripture You can read today for free in day time).



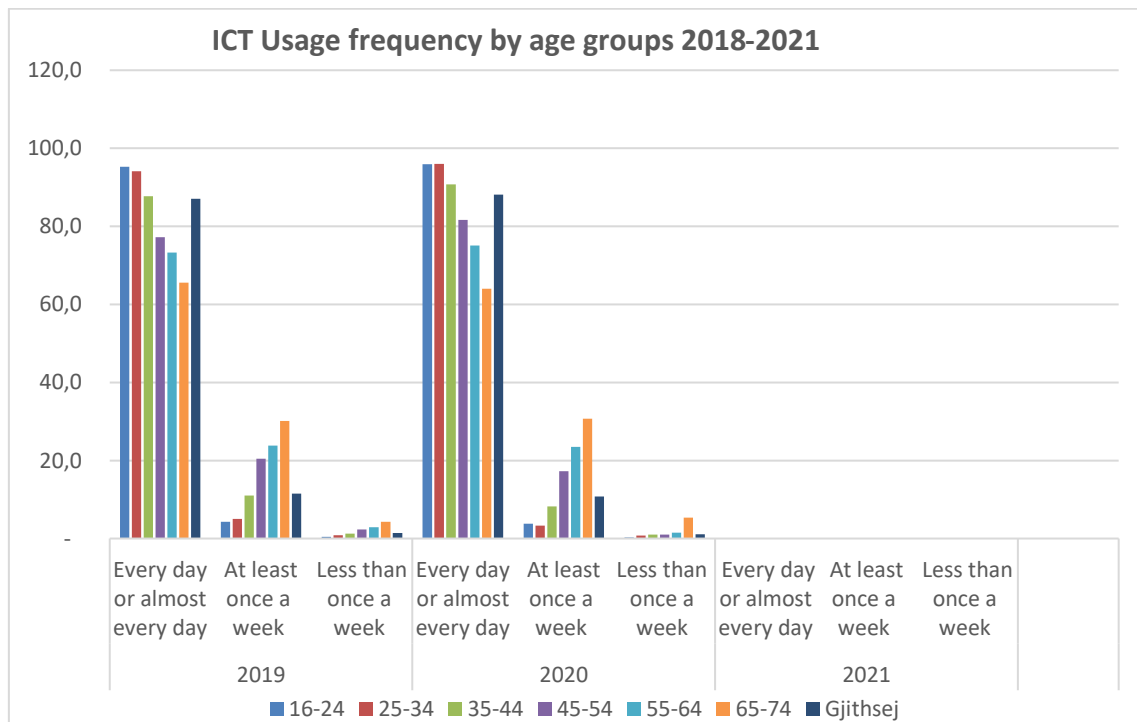
Coronavirus's pandemic has blocked visits to many cultural heritage sites in Albania and has suspended archaeological excavations. Cultural heritage experts from some countries are discussing in Gjirokastra's virtual visits to museum countries and mitigating the consequences for community communities living

with tourism revenues.No one had thought that cultural heritage countries would be affected by massive disinfection of facilities and historic and museum centers would experience an emptying from visitors.Cornavirus's pandemic, from the beginning , has brought consequences for cultural heritage in Albania significantly reducing visibility, but also suspending archaeological excavations because of the difficulties of the movement of international missions. The biggest challenge in inheritance is the inevitably related approach to tourism. Although there is no official data from the beginning of the pandemic cultural heritage sites in Albania lowered nearly 90% of their visibility from tourists. The decline in revenue is expected to bring consequences for funding needed to maintain monuments and services to visitors.

### Analysis of virtual tourism in Albania

Albania is a destination which before the pandemic period had started to be frequented by a considerable number of foreign tourists. During the pandemic, it was seen how important it was to attract local and regional tourists to different destinations in Albania. Regarding virtual tourism, which was borrowed from many countries around the world, Albania also used it as an innovative form of visiting destinations inside and outside Albania. If it was about incoming tourists in Albania, web pages were built as well as applications that gave the opportunity not only to foreign tourists to visit Albania virtually but also to local or regional tourists to expand their cultural knowledge. The question is were domestic tourists ready to practice virtual tourism? Did they have internet access to navigate web pages related to virtual tours?

Based on the results of the Survey on Information and Communication Technologies (ICT) usage Survey during 2021, from the age group 16 - 74 years, 79.3 % of the population use the Internet, of which 91.7 % use it every day. 98.7 % of individuals access internet through mobile / smart phones. While 22.8 % and 8.8 % of the target population uses the internet through laptop and tablet. The percentage of individuals who make calls / video calls (via Skype, Viber, WhatsApp) is 98.3 % and this indicator has shown an increase of 2.1 percentage points respectively, compared with year 2020.

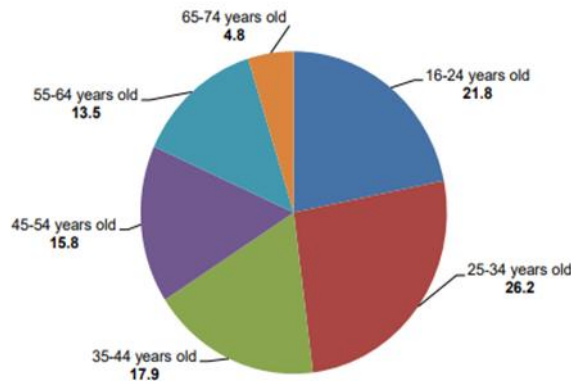


The use of the internet in “the last three months” from the moment of conducting the interview among young individuals aged 16 - 24 was 96.7 %. The percentage of individuals in the age- group 65 - 74 years old, which declared that never used internet, were 51.1 %, an indicator which has decreased from 2020. The use of the internet in “the last three months” from the moment of conducting the interview, has



recorded the highest percentages for the category “every day/almost every day”, for the overall age-groups, where 91.7 % of individuals 16-74 years old use it on daily basis.

Figure 5. Distribution of internet usage “every day/almost every day”, by age group 2021, in %



The use of the internet in “the last three months” from the moment of conducting the interview among young individuals aged 16 - 24 was 96.7 %. The percentage of individuals in the age- group 65 - 74 years old, which declared that never used internet, were 51.1 %, an indicator which has decreased from 2020. The use of the internet in “the last three months” from the moment of conducting the interview, has recorded the highest percentages for the category “every day/almost every day”, for the overall age-groups, where 91.7 % of individuals 16-74 years old use it on daily basis. The use of internet on daily basis has recorded the highest percentage in the age-group 25-34 years old followed by the 16-24 years old.

## Conclusion

In the time of Covid -19 pandemic many museums around the world which, physically closed, have given free access to their virtual avatars to be visited comfortably from the home PC. In Albania, the virtual visit to a museum can be done for a long time, long before the coronavirus, and I am sure that few Albanians know it. And unfortunately, browsing on Google, these museums are not even mentioned in the world lists, unfortunately bypassed by much more famous structures, such as the Uffizi in Florence or the Louvre in Paris. Closing cultural institutions has made alternative methods for museums to have the public's attention. Virtual tours through 3D technology have entered some museums in Europe. This method is also applying some national cultural and cultural heritage institutions in Albania. More than an impromptu solution dictated by the contingent situation of not being able to leave the house, the site of the Albanian Ministry of Culture has created a great site, the Virtual Tour 3D, in fact, a project for the dematerialization of the museums of 11 Albanian cities. The main expectations of tourists are related to experiencing the local culture and way of life, feeling of actually being in the destination, social interaction and active participation. These factors make the virtual tours feel realistic. Besides these, they also expect to learn new, experience new destinations, enjoy themselves, and see something visually appealing. Sipas turistëve virtualë, Virtual Tours janë gjithashtu një mënyrë e shkëlqyer për të eksploruar dhe për të njohur destinacionin para se të udhëtojnë atje në jetën reale. An important problem is that although Albanians have managed to make improvements in the field of innovation and technology, there is still a need to develop knowledge on the effective use of the Internet in terms of virtual tourism. Turning attention to the use of the Internet for reasons of visits and virtual tours would lead to the development of domestic tourism and increase the cultural level of the population. This will also affect the improvement of the way of promoting the values that this destination carries by domestic tourists.

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## Does innovation influence the firm's performance in pandemic conditions?

Ana-Maria COCARIU<sup>1</sup>

<sup>1</sup>Bucharest University of Economic Studies, Bucharest, Romania

**Abstract:** I examine in an empirical way how the adoption of innovative policies influences the performance of companies in the energy and pharmaceutical industries, listed on the Bucharest Stock Exchange, especially in pandemic conditions. Therefore, I investigate the information published in the financial statements of the targeted companies, performing an analysis from a financial point of view.

**Keywords:** innovation, business performance, sustainable business, innovation trends

### Introduction:

Businesses are increasingly facing challenges from external pressure to be eco-friendlier and more sustainable, while facing high competition due to globalization and progress in technology development (Ikram et al., 2021). From a positive perspective, such pressures consequently generate an internal motivation for firms to implement innovation and to perform in a sustainable way (Boons et al., 2013). Sustainability innovation reduces the negative impact of companies on the ecosystem and society, while ensuring the economic growth of companies (Tiep Le et al., 2022)

From the perspective of revisions, innovation has become a powerful tool for the growth of companies (Martinez et. al., 2018) and can lead to an increase in the company's performance in the sense of creating increased competitive advantages that lead the company's performance in a sustainable direction. Furthermore, innovation can be the answer to business development even in times of crisis, supporting companies to recover from the COVID-19 pandemic situation (Ramalingam et. al., 2020).

### Literature review:

Several studies have demonstrated the importance of innovation and its role on business performance (Bigliardi, 2013; Hult, Hurley & Knight, 2004). Since innovation can bring about competitive advantages for organisations of any size, the impact of innovation on firm performance has been a classic subject of study (Chaithanapat et. al., 2022). At the organizational level, the focus is on the individual firm and its innovative capacities (Boones et. al., 2013).

Internal R&D has long been treated as the most prominent resource to firms' competitive advantage (Chen et al., 2016, cited by Lu et. al., 2021). It not only helps firms build their knowledge base (Veugelers and Cassiman, 1999), contributing to the development of firms' internal knowledge, but also strengthens their absorptive capacity and the resulting ability to use external knowledge (Cohen and Levinthal, 1990; Hung and Chou, 2013; Laursen and Salter, 2006, through Lu et. al., 2021).

### Methodology & Data:

I examine in an empirical way how the adoption of innovative policies influences the performance of companies in the energy and pharmaceutical industries, listed on the Bucharest Stock Exchange (including the sphere of gas and oil), especially in pandemic conditions. In this situation, I analyzed the 27 following companies:

Compan y's Symbol on BSE	Company	Sole Identificati on Number (CUI)	Field of Activity
ALV23	ALIVE CAPITAL - OBLIG. 2023	31672699	Electricity trading
REO26	RESTART ENERGY ONE - OBLIG.	34583200	Electricity trading
SNN	S.N. NUCLEARELECTRICA S.A.	10874881	Electricity production

TEL	C.N.T.E.E. TRANSELECTRICA	13328043	Electricity transport
ATB	ANTIBIOTICE S.A.	1973096	Manufacture of basic pharmaceutical products
BIO	BIOFARM S.A.	341563	Manufacture of pharmaceutical preparations
SINT	SINTOFARM S.A.	647	Manufacture of pharmaceutical preparations
SCD	ZENTIVA S.A.	336206	Manufacture of pharmaceutical preparations
RMAH	FARMACEUTICA REMEDIA	2115198	Retail sale of pharmaceutical goods in specialized stores
RPH	ROPHARMA	1962437	Retail sale of pharmaceutical goods in specialized stores
AAG	S.C AAGES S.A.	1196550	Manufacture of electric motors, generators and transformers
CONQ	CONTACTOARE S.A. BUZAU	1145395	Manufacture of electricity distribution and control devices
ECT	GRUPUL INDUSTRIAL ELECTROCONTACT S.A.	607321	Manufacture of electricity distribution and control devices
ELCT	EL-CO S.A. TARGU SECUIESC	557274	Manufacture of electricity distribution and control devices
ELER	ELEROM S.A. ROMAN	3426320	Manufacture of electric motors, generators and transformers
ELJ	ELECTROAPARATAJ S.A.	51	Manufacture of electricity distribution and control devices
IPRU	IPROEB S.A. BISTRITA	566930	Manufacture of other electrical and electronic wires and cables
RELE	RELEE S.A. MEDIAS	807150	Manufacture of electricity distribution and control devices
COTN	COMREP S.A. PLOIESTI	1345008	Service activities related to the extraction of crude oil and natural gas
DAFR	DAFORA S.A.	7203436	Service activities related to the extraction of crude oil and natural gas
FOJE	FORAJ SONDE S.A. VIDELE	1397872	Service activities related to the extraction of crude oil and natural gas
FOSB	FORAJ SONDE S.A. CRAIOVA	3730778	Service activities related to the extraction of crude oil and natural gas
FOSP	FORAJ SONDE S.A. ERNEI	4727746	Service activities related to the extraction of crude oil and natural gas
PTR	ROMPETROL WELL SERVICES	1346607	Service activities related to the extraction of crude oil and natural gas
SNG	S.N.G.N. ROMGAZ S.A.	14056826	Natural gas extraction
TGN	S.N.T.G.N. TRANSGAZ S.A.	13068733	Pipeline transport
ENP	ENERGOPETROL S.A.	1323700	Electrical works

Therefore, I investigate the information published in the financial statements of the targeted companies, performing an analysis from a financial point of view. I analyzed the following indicators for the last 5 years: turnover, average number of employees, employee productivity, total assets, equity, total debt, result of the exercise, solvency, and the degree of indebtedness of the companies. The financial information were collected from [www.termene.ro](http://www.termene.ro) (a website which offers financial information about companies), [www.bvb.ro](http://www.bvb.ro) (The Bucharest Stock Exchange Website) and from the financial reports available on the companies' websites.

## Results:

### 1. Evolution of Turnover (RON)

Compa ny's Symbol on BSE	2015	2016	2017	2018	2019	2020	S1_2020	S1_2021
ALV23	5,822,191	27,352,177	122,693,683	230,244,300	175,595,581	219,832,247	92,651,374	193,910,393
REO26	5,432,265	21,120,708	76,750,025	87,841,279	128,573,712	120,066,371	62,631,352	64,008,153
SNN	1,749,911,2 76	1,648,408,4 68	1,899,936,4 53	2,129,744,9 20	2,379,424,4 84	2,448,712,0 83	1,164,667,4 13	1,345,936,563
TEL	2,942,239,1 67	2,680,536,9 34	3,015,023,8 96	2,679,159,2 43	2,350,880,7 81	2,326,822,8 41	1,065,789,6 81	1,402,685,948

ATB	331,740,206	334,990,734	337,629,448	365,304,988	390,646,543	341,047,668	146,769,588	163,397,752
BIO	149,691,393	152,304,091	170,256,235	184,240,669	195,390,812	216,451,696	103,441,224	117,985,641
SINT	6,330,904	6,224,561	6,129,649	5,999,437	7,606,048	8,988,593	4,366,249	4,394,147
SCD	396,824,592	420,004,308	458,377,044	461,405,231	541,440,353	557,960,940	281,522,845	330,356,311
RMAH	243,811,465	87,998,778	90,661,306	99,034,548	104,200,954	63,833,250	221,131,026	218,901,444
RPH	434,083,007	341,799,985	340,905,161	403,738,563	500,985,725	448,636,046	231,451,967	218,963,835
AAG	26,637,795	20,240,017	21,181,637	30,060,923	32,203,203	28,902,390	14,018,354	20,109,219
CONQ	3,717,963	4,199,591	4,647,812	4,445,598	5,086,061	3,878,149	2,020,720	1,953,258
ECT	#N/A	2,455,264	2,431,102	997,849	571,290	556,075	251,056	184,947
ELCT	24,225,487	23,495,378	20,562,866	17,361,813	15,262,355	12,535,190	6,211,236	6,319,480
ELER	15,318,223	8,176,218	15,475,796	15,048,967	10,826,829	14,910,308	6,093,921	4,440,009
ELJ	13,152,408	16,299,073	16,840,120	17,997,663	11,926,477	10,333,976	4,654,722	8,042,351
IPRU	110,655,471	105,228,544	104,411,531	108,556,624	104,834,526	100,776,145	44,660,750	70,922,237
RELE	16,150,436	16,269,826	17,301,473	19,533,777	20,251,390	18,673,437	8,114,516	9,661,534
COTN	33,481,219	33,687,773	22,178,103	31,399,513	33,264,218	19,491,905	8,234,374	12,792,901
DAFR	87,078,619	48,952,372	74,811,161	112,924,064	99,498,466	38,493,357	24,719,008	46,647,628
FOJE	61,856,069	42,599,009	49,938,956	99,726,675	133,125,014	86,522,359	44,758,521	36,630,414
FOSB	124,099,902	78,478,245	127,343,760	140,180,960	120,389,935	100,653,820	60,420,314	24,822,525
FOSP	52,622,278	9,871,723	22,899,638	24,624,176	14,837,392	1,443,911	1,442,612	153,376
PTR	49,975,025	31,106,110	39,997,068	62,720,654	66,310,995	47,622,182	26,875,526	22,481,885
SNG	4,052,683,7 43	3,411,867,6 58	4,585,189,3 88	4,964,733,2 63	4,924,879,5 29	3,926,033,5 69	2,193,365	2,250,031
TGN	1,581,469,9 44	1,750,202,5 19	1,800,078,9 56	1,741,929,4 16	1,850,404,8 82	1,474,078,1 56	851,174	798,792
ENP	8,884,272	4,637,634	1,448,524	630,019	235,872	330,125	43,925	163,286

As it can be seen, almost all companies are experiencing increases in turnover in the first half of 2021, compared to the first half of 2020. This is a sign that companies have acted and adapted to the pandemic situation. All of them implemented innovative actions, from automation, software digitization, to robotics and innovation support.

## 2. Average Number of Employees

Company's Symbol on BSE	2015	2016	2017	2018	2019	2020	S1_2021
ALV23	2	4	7	7	10	19	21
REO26	2	25	43	57	53	51	80
SNN	2,034	2,008	1,975	2,002	2,038	2,028	#N/A
TEL	2,180	2,180	2,063	2,102	2,027	2,021	1,996
ATB	1,458	1,449	1,420	1,415	1,415	1,415	1,415
BIO	394	388	389	390	356	331	365
SINT	43	43	44	44	45	46	46
SCD	497	0	511	511	620	722	782
RMAH	371	342	348	363	346	54	#N/A

RPH	829	726	745	727	747	727	719
AAG	110	111	107	109	109	111	140
CONQ	23	28	26	23	24	23	#N/A
ECT	#N/A	70	41	4	1	1	1
ELCT	250	250	238	220	178	137	98
ELER	89	88	79	82	79	74	68
ELJ	87	88	100	94	62	47	11
IPRU	325	331	314	308	309	306	300
RELE	218	241	243	248	255	218	257
COTN	207	201	162	155	126	126	118
DAFR	223	250	317	316	207	183	150
FOJE	121	117	165	321	317	276	237
FOSB	530	401	502	562	486	376	305
FOSP	429	99	137	141	107	15	16
PTR	283	183	164	162	170	146	#N/A
SNG	6,191	6,102	6,046	5,604	5,518	5,531	#N/A
TGN	4,769	4,665	4,548	4,284	4,246	4,153	4,137
ENP	66	57	39	27	26	21	21

Some companies have decided to reduce the number of employees during the pandemic situation. One cause of this action can be the increase in the minimum gross salary, which for some companies that were in financial difficulty was a big challenge. In addition, some companies ceased operations in March-May 2020, and employees benefited from technical unemployment, which can also be considered a factor in downsizing.

### 3. Employee Productivity

Company's Symbol on BSE	Employee Productivity = Turnover / No. of employees						
	2015	2016	2017	2018	2019	2020	S1_2021
ALV23	2,911,095	6,838,044	17,527,669	32,892,042	17,559,558	11,570,118	9,233,828
REO26	2,716,132	844,828	1,784,884	1,541,075	2,425,919	2,354,242	800,102
SNN	860,330	820,920	961,993	1,063,808	1,167,529	1,207,451	#N/A
TEL	1,349,650	1,229,604	1,461,475	1,274,576	1,159,783	1,151,322	702,748
ATB	227,531	231,187	237,767	258,166	276,075	241,023	115,475
BIO	379,927	392,536	437,676	472,411	548,850	653,932	323,248
SINT	147,230	144,757	139,310	136,350	169,023	195,404	95,525
SCD	798,439	-	897,019	902,945	873,290	772,799	422,451
RMAH	657,173	257,306	260,520	272,822	301,158	1,182,097	#N/A
RPH	523,622	470,798	457,590	555,348	670,663	617,105	304,539
AAG	242,161	182,342	197,959	275,788	295,442	260,381	143,637

CONQ	161,650	149,985	178,762	193,286	211,919	168,615	#N/A
ECT	#N/A	35,075	59,295	249,462	571,290	556,075	184,947
ELCT	96,901	93,981	86,398	78,917	85,743	91,497	64,484
ELER	172,114	92,911	195,896	183,523	137,048	201,490	65,294
ELJ	151,177	185,216	168,401	191,464	192,362	219,871	731,123
IPRU	340,478	317,911	332,520	352,456	339,270	329,333	236,407
RELE	74,084	67,509	71,199	78,765	79,417	85,657	37,594
COTN	161,745	167,600	136,901	202,577	264,001	154,697	108,414
DAFR	390,487	195,809	235,997	357,354	480,668	210,346	310,984
FOJE	511,207	364,094	302,660	310,675	419,952	313,486	154,559
FOSB	234,150	195,706	253,672	249,432	247,715	267,696	81,385
FOSP	122,662	99,714	167,150	174,639	138,667	96,260	9,586
PTR	176,590	169,978	243,884	387,164	390,064	326,179	#N/A
SNG	654,608	559,139	758,383	885,926	892,511	709,823	#N/A
TGN	331,614	375,177	395,795	406,612	435,799	354,942	193
ENP	134,610	81,362	37,141	23,334	9,072	15,720	7,776

The higher the productivity of the employees, the better the company's results. "We often assume that productivity means getting more things done each day. Wrong. Productivity is getting important things done consistently," says James Clear. "And no matter what you are working on, there are only a few things that are truly important. Being productive is about maintaining a steady, average speed on a few things, not maximum speed on everything.", according to James Clear, author of Atomic Habits.

#### 4. Evolution of Total Assets

Company's Symbol on BSE	2015	2016	2017	2018	2019	2020	S1_2021
ALV23	3,293,653	7,291,009	25,896,479	33,199,654	28,001,219	52,271,532	75,269,330
REO26	636,979	10,224,446	42,529,383	25,285,477	35,006,305	45,346,014	63,386,725
SNN	9,549,349,894	9,336,537,517	9,182,185,459	8,855,246,682	8,800,547,873	8,830,757,756	8,597,004,770
TEL	5,228,383,675	5,232,420,976	4,504,450,972	4,649,217,246	4,707,635,056	5,106,896,451	5,311,850,260
ATB	542,989,496	531,764,378	570,919,445	704,232,844	792,250,296	861,334,292	873,240,609
BIO	214,818,427	236,914,672	258,505,543	280,643,461	340,576,995	365,795,587	393,023,023
SINT	13,126,545	12,794,875	12,144,722	11,012,899	10,948,755	12,039,305	13,115,570
SCD	386,512,702	439,658,398	496,813,462	898,201,132	1,026,316,323	1,033,264,019	1,056,652,407
RMAH	127,995,450	73,475,599	67,969,955	70,643,579	74,544,137	78,344,230	232,060,879

RPH	290,722,348	213,537,424	242,103,660	355,255,724	474,536,565	429,964,001	402,913,246
AAG	23,997,439	24,898,294	25,527,165	32,717,877	40,931,530	38,145,035	46,439,333
CONQ	30,971,399	30,294,143	30,078,489	36,816,102	38,104,777	40,691,354	43,224,914
ECT	#N/A	18,096,372	17,385,442	17,001,431	17,010,095	15,559,109	15,353,929
ELCT	32,136,519	30,369,516	26,351,844	23,901,335	19,529,704	16,039,135	15,448,464
ELER	15,034,421	15,003,185	14,992,955	14,863,586	15,559,741	15,674,892	14,970,307
ELJ	15,713,532	17,933,759	15,532,021	15,196,785	11,783,841	10,918,352	11,565,254
IPRU	88,007,015	80,730,497	83,304,747	84,392,428	79,631,470	79,098,160	96,968,446
RELE	11,163,069	12,288,203	14,043,737	14,330,421	14,244,964	13,549,759	14,651,498
COTN	31,824,411	26,246,504	26,640,156	23,882,073	34,038,046	22,970,858	22,070,047
DAFR	107,873,817	94,846,672	121,170,090	99,691,232	98,825,885	77,346,368	76,428,453
FOJE	41,613,360	42,424,485	86,616,790	80,239,049	93,156,909	80,514,840	64,495,093
FOSB	184,756,028	151,590,743	176,080,785	178,253,958	172,771,258	159,143,457	145,126,486
FOSP	141,990,578	125,101,268	105,289,893	87,232,331	66,383,452	59,259,880	57,995,466
PTR	136,072,761	131,413,378	134,015,323	152,240,093	163,850,793	151,605,969	150,893,505
SNG	10,970,971,875	11,242,246,469	10,990,045,273	9,560,911,451	8,662,959,854	9,705,943,523	9,207,317
TGN	4,941,339,596	5,306,946,358	5,210,903,291	4,972,867,860	5,749,720,904	7,143,371,537	7,237,552,480
ENP	14,655,484	11,914,928	8,357,333	6,005,336	5,805,657	11,127,915	11,006,183

To measure the firms' dimension, I analyzed the value of total assets. As it can be seen, all the companies can be included in the category of large companies.

##### 5. Evolution of Equity

Compan y's Symbol on BSE	2015	2016	2017	2018	2019	2020	S1_2021
ALV23	658,663	6,670,752	9,179,067	17,472,175	11,141,240	14,184,017	7,126,384
REO26	(61,900)	5,186,801	11,433,894	10,048,299	11,999,193	12,624,927	14,466,276
SNN	7,493,707,868	7,506,597,832	7,428,145,226	7,179,130,611	7,334,934,060	7,519,685,249	7,432,979,985
TEL	3,029,305,721	3,107,714,413	2,717,631,765	2,809,005,489	3,284,128,337	3,395,499,697	3,446,581,515
ATB	392,649,884	409,066,359	416,877,840	472,727,315	496,842,915	577,272,048	594,383,088
BIO	182,130,615	197,146,498	216,422,839	225,418,516	257,230,332	291,551,533	307,100,003
SINT	11,075,384	11,207,944	10,669,096	9,306,822	9,319,463	9,595,160	9,462,653
SCD	272,758,528	305,801,650	368,094,967	630,692,665	701,999,918	785,364,072	819,960,885
RMAH	39,403,153	39,783,552	41,048,322	42,031,607	44,547,474	73,672,543	62,336,181
RPH	127,033,439	136,400,000	145,323,348	154,292,777	161,366,192	174,904,398	176,363,581
AAG	15,305,142	15,156,353	17,447,480	20,790,650	24,465,823	24,024,891	30,702,625
CONQ	29,383,252	29,377,114	28,983,769	33,848,727	35,886,653	35,722,918	35,931,381
ECT	#N/A	15,810,937	14,949,911	15,441,205	15,595,097	14,938,091	14,692,428
ELCT	23,724,892	22,710,834	20,370,051	17,412,040	14,784,795	12,287,604	13,398,299

ELER	12,926,262	13,153,094	13,475,058	13,562,515	13,778,649	13,838,373	13,330,502
ELJ	12,997,433	14,304,174	12,993,856	11,709,245	10,318,547	8,822,842	9,623,113
IPRU	69,697,885	70,361,155	69,025,228	67,093,901	66,035,075	64,237,048	66,565,967
RELE	6,878,223	7,076,793	7,011,488	7,332,230	6,368,139	6,499,799	6,745,893
COTN	15,146,552	15,259,930	14,007,926	14,829,500	14,531,529	11,665,686	11,758,444
DAFR	(163,392,786)	(268,646,659)	(15,780,340)	(23,509,220)	(19,684,053)	(33,177,065)	(29,682,418)
FOJE	21,652,814	26,760,916	35,184,429	47,969,179	54,968,158	58,631,932	53,363,253
FOSB	156,422,667	136,919,883	139,644,606	147,062,786	144,799,194	142,369,751	133,891,179
FOSP	42,251,692	26,789,353	34,736,395	23,061,681	9,745,275	3,812,283	2,909,567
PTR	126,132,200	120,311,638	122,401,738	138,250,230	148,703,613	137,936,674	105,647,818
SNG	9,692,222,688	9,676,161,422	9,310,876,776	7,638,952,398	7,101,494,240	7,746,264,019	7,858,945
TGN	3,569,237,972	3,837,701,436	3,721,150,034	3,712,731,065	3,781,940,387	3,782,141,730	3,788,732,840
ENP	106,573	(1,164,759)	(1,837,706)	561,265	512,168	5,790,524	4,972,225

The shareholders' stake in the company for DAFR is negative, which means that is a deficit of owner's equity, occurring when the value of an asset used to secure a loan is less than the outstanding balance on the loan.

#### 6. Evolution of Total Debt

Company's Symbol on BSE	2015	2016	2017	2018	2019	2020	S1_2021
ALV23	2,644,014	657,217	11,613,201	15,343,637	11,230,561	34,040,029	64,051,681
REO26	710,758	6,565,016	31,095,874	27,271,653	35,333,369	32,758,108	48,920,449
SNN	1,842,203,287	1,623,287,931	1,426,019,014	1,307,479,767	1,041,923,608	885,933,746	1,164,024,785
TEL	1,636,501,473	1,570,190,322	1,245,911,212	1,268,253,699	892,979,012	1,167,377,805	1,865,268,745
ATB	141,638,796	114,465,744	148,646,296	225,252,826	286,944,006	269,425,989	278,857,521
BIO	32,151,457	38,259,087	40,007,439	32,678,318	52,003,451	40,966,089	85,923,020
SINT	2,246,224	2,307,849	2,358,045	2,601,994	2,550,600	3,510,390	3,652,917
SCD	79,631,455	98,466,402	100,574,236	247,409,236	307,998,835	230,702,344	236,691,522
RMAH	88,588,046	33,759,870	26,996,158	28,658,469	30,051,009	5,661,744	169,724,699
RPH	164,045,635	77,454,266	97,276,497	201,349,965	313,740,643	255,053,779	226,549,666
AAG	8,338,463	8,827,299	7,258,190	11,180,558	15,928,288	13,809,477	15,282,157
CONQ	1,592,259	921,641	1,098,709	2,257,848	1,932,771	2,067,527	4,392,211
ECT	#N/A	2,280,748	2,432,060	1,556,755	1,411,527	618,158	661,501
ELCT	7,663,649	7,408,681	5,902,448	6,306,179	4,597,335	3,551,724	2,014,543
ELER	1,199,737	1,177,063	1,165,219	1,258,192	1,045,847	892,942	609,979
ELJ	2,473,460	3,345,880	2,390,467	3,293,704	1,509,170	2,105,207	1,942,142
IPRU	16,874,170	8,411,907	11,818,818	16,087,499	12,604,217	13,028,474	30,402,479
RELE	4,284,846	5,211,410	7,032,249	6,998,191	7,534,644	7,000,314	7,905,605
COTN	16,677,859	11,034,168	12,687,067	9,036,115	19,509,931	11,311,095	10,303,678

DAFR	264,130,249	359,337,062	132,520,294	119,173,193	114,276,106	106,723,221	106,110,870
FOJE	19,987,175	15,661,383	51,425,640	32,263,148	38,182,029	21,876,186	11,125,118
FOSB	26,971,710	13,771,635	35,229,143	30,139,021	26,969,623	16,090,570	10,750,690
FOSP	99,505,688	97,832,900	70,023,975	63,625,564	56,094,504	54,875,948	54,514,250
PTR	8,504,463	10,633,832	10,671,531	12,878,862	15,041,963	11,988,245	45,245,687
SNG	1,026,384,243	1,298,312,896	1,277,500,963	1,219,956,194	1,037,055,905	1,093,463,623	1,348,372
TGN	326,681,748	302,357,632	356,326,073	574,800,404	1,070,652,916	2,025,693,072	3,448,819,640
ENP	14,189,554	13,202,824	9,966,358	5,418,459	4,271,447	5,304,100	5,473,652

## 7. Results of the exercises

Company's Symbol on BSE	2015	2016	2017	2018	2019	2020	S1_2021
ALV23	510,715	6,620,708	9,118,434	17,411,542	11,080,607	14,073,384	7,005,751
REO26	(62,920)	459,487	1,879,822	1,732,457	1,913,407	9,161,346	(3,088,155)
SNN	149,143,729	112,449,451	303,876,268	410,611,215	535,667,264	699,322,229	385,392,529
TEL	360,054,467	272,361,543	28,267,175	81,303,373	96,030,957	144,956,820	104,370,947
ATB	27,178,823	30,370,811	33,558,354	34,303,788	30,823,278	26,388,049	19,330,692
BIO	27,226,492	29,477,747	36,027,723	38,424,941	50,881,819	54,264,580	36,419,320
SINT	626,679	132,560	(538,847)	(1,362,274)	12,640	275,698	(132,508)
SCD	46,204,961	73,026,646	89,241,756	262,620,976	43,750,880	65,635,440	34,596,813
RMAH	760,325	242,313	1,290,756	2,141,021	2,563,206	28,236,449	4,206,888
RPH	7,902,138	7,290,748	6,093,430	7,117,235	5,835,134	6,151,036	1,459,182
AAG	3,827,720	2,071,881	2,556,458	4,353,103	5,353,963	1,837,857	3,217,301
CONQ	393,730	203,863	205,326	331,087	2,063,847	82,566	(178,980)
ECT	#N/A	(497,186)	(861,025)	491,293	175,285	(350,134)	(245,663)
ELCT	(1,147,658)	(1,014,058)	(2,340,784)	(2,958,011)	(2,627,246)	(2,497,190)	1,110,695
ELER	1,040,210	226,832	321,964	87,457	216,134	59,724	(507,872)
ELJ	373,440	1,421,126	(1,310,317)	(765,451)	(1,390,698)	(567,954)	728,390
IPRU	4,694,322	4,663,270	2,164,073	4,068,673	2,941,174	945,155	2,238,886
RELE	816,875	615,445	150,141	434,783	(849,308)	131,660	246,094
COTN	852,278	815,484	103,913	941,224	53,081	(2,865,843)	92,858
DAFR	(100,656,409)	(107,218,789)	253,954,671	(6,293,954)	3,871,230	(13,250,402)	3,599,980
FOJE	21,652,814	26,760,916	35,184,429	47,969,179	54,968,158	58,631,932	(5,430,449)
FOSB	8,667,852	(6,502,784)	6,724,723	9,981,379	3,736,409	2,146,712	(2,913,864)
FOSP	(11,558,663)	(15,462,339)	7,947,042	(11,674,714)	(13,316,407)	(5,928,089)	(902,716)
PTR	(29,622,639)	(5,820,561)	2,442,446	16,886,640	12,170,108	4,362,952	1,284,141
SNG	1,194,284,245	1,024,579,217	1,854,748,378	1,360,546,709	1,046,406,623	1,278,884,673	761,601



TGN	488,729,002	594,564,930	582,061,043	495,675,108	348,259,016	175,000,764	141,474,468
ENP	(1,450,659)	(1,287,355)	(784,742)	2,279,919	(90,391)	(294,620)	(912,752)

Some net results of the period registered negative values due to the increase of total expenses of the period with a faster pace in relation to total revenues. Also, the low temperatures in the first months of the year and the coronavirus pandemic made it difficult for some companies to carry out the activity, the lack of orders and the lack of qualified labor force on the main trades.

## 8. Evolution of solvency

Compan y's Symbol on BSE	2015	Sector avera ge per CAEN group	2016	Sector average per CAEN group	2017	Sector avera ge per CAEN group	2018	Sector avera ge per CAEN group	2019	Sector avera ge per CAEN group	2020	Sector average per CAEN group	S1_202 1
ALV23	124.57	114.7 3	1,109.3 8	120.12	222.99	129.5 5	216.37	143.6 4	249.33	460.4 5	153.56	171.16	117.51
REO26	89.62	114.7 3	155.74	120.12	136.77	129.5 5	92.72	143.6 4	99.07	460.4 5	138.43	171.16	129.57
SNN	518.37	114.7 3	575.16	120.12	643.90	129.5 5	677.28	143.6 4	844.64	460.4 5	996.77	171.16	738.56
TEL	319.49	114.7 3	333.23	120.12	361.54	129.5 5	366.58	143.6 4	527.18	460.4 5	437.47	171.16	284.78
ATB	383.36	141.0 7	464.56	149.91	384.08	154.5 9	312.64	167.5 3	276.10	168.4 7	319.69	167.01	313.15
BIO	668.15	127.4 9	619.24	130.86	646.14	140.7 6	858.81	155.6 2	654.91	164.6 3	892.92	175.17	457.41
SINT	584.38	127.4 9	554.41	130.86	515.03	140.7 6	423.25	155.6 2	429.26	164.6 3	342.96	175.17	359.04
SCD	485.38	127.4 9	446.51	130.86	493.98	140.7 6	363.04	155.6 2	333.22	164.6 3	447.88	175.17	446.43
RMAH	144.48	104.9 4	217.64	110.18	251.78	120.2 0	246.50	130.1 9	248.06	142.6 6	1,383.7 5	155.79	136.73
RPH	177.22	104.9 4	275.69	110.18	248.88	120.2 0	176.44	130.1 9	151.25	142.6 6	168.58	155.79	177.85
AAG	287.79	133.6 1	282.06	139.42	351.70	150.5 2	292.63	165.8 4	256.97	178.0 3	276.22	184.95	303.88
CONQ	1,945.1 2	133.6 1	3,286.9 8	139.42	2,737.6 2	150.5 2	1,630.5 8	165.8 4	1,971.5 1	178.0 3	1,968.1 2	184.95	984.13
ECT	#N/A	133.6 1	793.44	139.42	714.84	150.5 2	1,092.1 1	165.8 4	1,205.0 8	178.0 3	2,517.0 1	184.95	2,321.0 7
ELCT	419.34	133.6 1	409.92	139.42	446.46	150.5 2	379.01	165.8 4	424.80	178.0 3	451.59	184.95	766.85
ELER	1,253.1 4	133.6 1	1,274.6 3	139.42	1,286.7 1	150.5 2	1,181.3 4	165.8 4	1,487.7 6	178.0 3	1,755.4 2	184.95	2,454.2 3
ELJ	635.29	133.6 1	536.00	139.42	649.75	150.5 2	461.39	165.8 4	780.82	178.0 3	518.64	184.95	595.49
IPRU	521.55	133.2 3	959.72	130.03	704.85	133.0 0	524.58	156.8 0	631.78	162.3 9	607.12	161.88	318.95
RELE	260.52	133.2 3	235.79	130.03	199.70	133.0 0	204.77	156.8 0	189.06	162.3 9	193.56	161.88	185.33
COTN	190.82	126.7 3	237.87	129.72	209.98	139.5 7	264.30	158.5 4	174.47	176.6 6	203.08	183.56	214.20
DAFR	190.82	126.7 3	237.87	129.72	209.98	139.5 7	264.30	158.5 4	174.47	176.6 6	203.08	183.56	72.03
FOJE	208.20	126.7 3	270.89	129.72	168.43	139.5 7	248.70	158.5 4	243.98	176.6 6	368.05	183.56	579.73
FOSB	685.00	126.7 3	1,100.7 5	129.72	499.82	139.5 7	591.44	158.5 4	640.61	176.6 6	989.05	183.56	1,349.9 3

FOSP	142.70	126.73	127.87	129.72	150.36	139.57	137.10	158.54	118.34	176.66	107.99	183.56	106.39
PTR	1,600.02	126.73	1,235.80	129.72	1,255.82	139.57	1,182.09	158.54	1,089.29	176.66	1,264.62	183.56	333.50
SNG	1,068.90	110.18	865.91	115.59	860.28	126.91	783.71	141.20	835.34	158.49	887.63	178.82	682.85
TGN	1,512.59	257.72	1,755.19	382.37	1,462.40	722.05	865.15	977.97	537.03	824.05	352.64	1,130.47	209.86
ENP	103.28	109.66	90.25	115.30	83.86	125.07	110.83	137.60	135.92	153.12	209.80	164.80	201.08

\*CAEN = Classification of activities in the national economy

All companies have the ability to meet their long-term debts and financial obligations, some companies with a higher degree of solvency, others with a lower one. Only in 5 cases the difference between the firm's solvency and the sector's solvency is more significant.

## 9. Evolution of indebtedness

Company's Symbol on BSE	INDEBTEDNESS = TOTAL DEBT / EQUITY												
	2015	Sector average per CAEN group	2016	Sector average per CAEN group	2017	Sector average per CAEN group	2018	Sector average per CAEN group	2019	Sector average per CAEN group	2020	Sector average per CAEN group	S1_2021
ALV23	401.42	140.02	9.85	132.00	126.52	122.34	87.82	114.48	100.80	109.41	239.99	105.74	898.80
REO26	(1,148.24)	140.02	126.57	132.00	271.96	122.34	271.41	114.48	294.46	109.41	259.47	105.74	338.17
SNN	24.58	140.02	21.62	132.00	19.20	122.34	18.21	114.48	14.20	109.41	11.78	105.74	15.66
TEL	54.02	140.02	50.53	132.00	45.85	122.34	45.15	114.48	27.19	109.41	34.38	105.74	54.12
ATB	36.07	125.53	27.98	124.67	35.66	118.37	47.65	112.06	57.75	110.48	46.67	114.81	46.92
BIO	17.65	127.46	19.41	126.82	18.49	120.71	14.50	114.11	20.22	110.37	14.05	106.45	27.98
SINT	20.28	127.46	20.59	126.82	22.10	120.71	27.96	114.11	27.37	110.37	36.59	106.45	38.60
SCD	29.19	127.46	32.20	126.82	27.32	120.71	39.23	114.11	43.87	110.37	29.38	106.45	28.87
RMAH	224.82	189.00	84.86	185.74	65.77	175.69	68.18	163.94	67.46	153.73	7.69	143.55	272.27
RPH	129.14	189.00	56.78	185.74	66.94	175.69	130.50	163.94	194.43	153.73	145.82	143.55	128.46
AAG	54.48	126.34	58.24	125.29	41.60	119.10	53.78	112.89	65.10	108.19	57.48	105.34	49.77
CONQ	5.42	126.34	3.14	125.29	3.79	119.10	6.67	112.89	5.39	108.19	5.79	105.34	12.22
ECT	#N/A	126.34	14.43	125.29	16.27	119.10	10.08	112.89	9.05	108.19	4.14	105.34	4.50
ELCT	32.30	126.34	32.62	125.29	28.98	119.10	36.22	112.89	31.10	108.19	28.90	105.34	15.04
ELER	9.28	126.34	8.95	125.29	8.65	119.10	9.28	112.89	7.59	108.19	6.45	105.34	4.58
ELJ	19.03	126.34	23.39	125.29	18.40	119.10	28.13	112.89	14.63	108.19	23.86	105.34	20.18
IPRU	24.21	129.60	11.96	139.19	17.12	138.93	23.98	125.63	19.09	130.56	20.28	126.73	45.67
RELE	62.30	126.34	73.64	125.29	100.30	119.10	95.44	112.89	118.32	108.19	107.70	105.34	117.19

COTN	110.11	127.55	72.31	126.11	90.57	118.89	60.93	111.29	134.26	106.36	96.96	102.56	87.63
DAFR	(161.65)	127.55	(133.76)	126.11	(839.78)	118.89	(506.92)	111.29	(580.55)	106.36	(321.68)	102.56	(357.49)
FOJE	92.31	127.55	58.52	126.11	146.16	118.89	67.26	111.29	69.46	106.36	37.31	102.56	20.85
FOSB	17.24	127.55	10.06	126.11	25.23	118.89	20.49	111.29	18.63	106.36	11.30	102.56	8.03
FOSP	235.51	127.55	365.19	126.11	201.59	118.89	275.89	111.29	575.61	106.36	1,439.45	102.56	1,873.62
PTR	6.74	127.55	8.84	126.11	8.72	118.89	9.32	111.29	10.12	106.36	8.69	102.56	42.83
SNG	10.59	145.30	13.42	141.17	13.72	132.31	15.97	123.06	14.60	116.40	14.12	109.56	17.16
TGN	9.15	117.77	7.88	111.48	9.58	89.18	15.48	76.63	28.31	75.52	53.56	80.74	91.03
ENP	13,314.40	138.41	(1,133.52)	134.78	(542.33)	126.90	965.40	119.27	833.99	114.45	91.60	110.44	110.08

The indebtedness represents the total amount of money owed. In the case of DAFR, the indebtedness refers to loans or outstanding balances owed that are no longer deemed recoverable and must be written off.

#### 10. Public trust

Public trust = Independent auditor's report			
Company's Symbol on BSE	2020	Auditor	Points
ALV23	-	-	-
REO26	Without reservations	Fuchs Adina-Nicoleta	2
SNN	Opinion with reservations	Mazars Romania	1
TEL	Without reservations	BDO Audit	2
ATB	Without reservations	Societatea de Contabilitate, Expertiză și Consultanță Contabilă – SOCECC	2
BIO	Without reservations	BDO Audit	2
SINT	Without reservations	C.I.P.L. EXPERT AUDIT	2
SCD	Without reservations	Ernst & Young Assurance Services	2
RMAH	Without reservations	Interaudit	2
RPH	Without reservations	BDO Audit	2
AAG	Without reservations	Consulta Carpatica	2
CONQ	Opinion with reservations	G5 Consulting	1
ECT	Without reservations	Global Consulting	2
ELCT	Without reservations	Focus Audit	2
ELER	Without reservations	Flor Consulting	2
ELJ	Opinion with reservations	Contello Audit	1
IPRU	Without reservations	Expert Lex	2
RELE	Without reservations	Amnis Auditeval	2
COTN	Without reservations	Acon Audit	2
DAFR	Opinion with reservations	Mazars Romania	1
FOJE	Without reservations	Deloitte Audit	2
FOSB	Opinion with reservations	Deloitte Audit	1
FOSP	Without reservations	Audit Consult	2

PTR	Without reservations	Ernst & Young Assurance Services	2
SNG	Without reservations	Ernst & Young Assurance Services	2
TGN	Without reservations	BDO Audit	2
ENP	Without reservations	Audit Expert	2

Where:

- 2 points means opinion without reservations
- 1 point means opinion with reservations
- 0 points means that the independent auditor's report wasn't available because the company was listed on the Bucharest Stock Exchange in 2021.

### Discussion/Conclusion:

Almost all companies have achieved increases in turnover in 1<sup>st</sup> semester of 2021 compared to the 1<sup>st</sup> semester of 2020, with a relatively constant fluctuation of employees. Companies that have taken more innovative actions have adapted more easily to pandemic conditions.

The results obtained represent the premise of a future qualitative research, in which the selected companies will be analyzed both in financial and non-financial terms to confirm the connection between them and to strengthen the hypothesis that states that the performance and sustainability of a business are influenced by innovation and the adaptability of the business to the requirements and conditions of the market. This paper can establish innovation trends and good practices for sustainable businesses, especially in pandemic conditions.

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## The impact of freelance on the business in the IT sector in Serbia

**Biljana Tešić<sup>1</sup>**

**Sonja Urošević<sup>2</sup>**

**Lora Petronić Petrović<sup>3</sup>**

<sup>1</sup> Faculty of Health and Business Studies, Valjevo, Serbia, btesic@singidunum.ac.rs

<sup>2</sup> Faculty of Health and Business Studies, Valjevo, Serbia, surosevic@singidunum.ac.rs

<sup>3</sup> Faculty of Health and Business Studies, Valjevo, Serbia, lpetrovic@singidunum.ac.rs

**Abstract:** The last two decades have been marked by growing business opportunities in the IT domain, all of which have been supported by the development of digital platforms on the Internet. In such an environment, it has spontaneously become common practice for domestic residents to be employed in foreign companies that are not registered in the Republic of Serbia. In the search for independence, financial security, as well as flexibility, many turn to freelancing as a way of doing business. The aim of this paper is to understand and explore freelance as a modern way of doing business that is becoming more common in Serbia, as well as how it affects business in the IT sector, not only by freelancers but also full-time employees. The research was conducted by an online survey, via social networks on a sample of 82 respondents, and the results of the research indicate a significant place that freelancing has in Serbia, taking into account all the advantages, disadvantages, business challenges and current legislation.

The percentage of participation of IT experts in the total number of freelancers is especially significant, which leads to the conclusion that freelancing is the future of business in the IT sector in Serbia. Freelance in Serbia could be further encouraged by tax laws intended exclusively for freelancers or by reforming existing laws.

**Keywords:** Freelancing, IT sector in Serbia, impact of freelance.

### Introduction

In search of independence, financial security, as well as flexibility, many young people turn to freelance as a way of doing business. Freelancers, above all, make it easier for professionals from different fields to choose the type of job based on their knowledge and skills and their interests. In addition, freelancing enables them to have a so-called laptop lifestyle, which means that they can do their job anywhere as long as the job is done with quality and by the agreed deadline.

The term freelancer implies the periodic engagement of workers in certain jobs. Freelancers usually charge for their services per hour, day or project, and therefore they choose their own projects as well as business partners. They are not employed by their clients (employers), ie they are not in a permanent employment relationship, which allows them to work for different organizations or clients at the same time, and in most cases, in the short term. According to the Vice-President of the European Commission, Margrete Vestager, the concepts of "worker" and "self-employed" in today's labor markets have become blurred, which is why many are forced to accept the contract as self-employed.<sup>1</sup>

According to a study by the Union of Free Professions, the numbers say it all: approximately 57.3 million Americans worked as freelancers in 2019 (compared to 55 million in 2016), which is 36% of the total workforce. That figure will rise to 50% in 2020, according to a Time magazine article (Ozimek, 2019). If the trends continue, more than half of Americans will work as freelancers in the future, according to a study conducted by Upwork, a major provider of freelance platforms.<sup>2</sup>

Many become freelancers because they often have no choice, and sometimes probably because they have a vague (and therefore at least partially wrong) idea of the benefits of this way of working (eg flexibility of working hours, often cited as the advantage of working as a freelancer, easily may lead to unpaid

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<sup>1</sup> European Commission – Press release, "Competition: The European Commission launches a process to address the issue of collective bargaining for the self-employed", Brussels, 30 June 2020, [https://ec.europa.eu/commission/presscorner/api/files/document/print/en/ip\\_20\\_1237/IP\\_20\\_1237\\_EN.pdf](https://ec.europa.eu/commission/presscorner/api/files/document/print/en/ip_20_1237/IP_20_1237_EN.pdf)

<sup>2</sup> Vicki Salemi, Monster Career Expert, Freelance jobs offer surprising pros—and cons, dostupno na linku:

<https://www.monster.com/career-advice/article/surprising-pros-and-cons-working-freelance-or-full-time-0626>

overtime). That is why parallels are being drawn between their current position and the position of workers from the beginning of the 20th century who had no alternative to selling their work in a very competitive market (Risak and Dullinger, 2018).

Freelance business includes journalists, developers, translators, web designers, artists, musicians, visual artists, writers, graphic designers, photographers, architects, and many other professions. Dominant occupations are most often related to IT technologies such as developers, web designers, graphic designers, mobile application developers, computer game developers and others.

Freelancers are looking for jobs on online job exchanges such as Freelancer, Upwork, Toptal, Simply Hired and others. On the mentioned sites, they choose projects, often one project chooses several freelancers, while the employer chooses who to give the project to. Employers can leave a rating or comment on their profiles, which gives the freelancer good marketing and a better chance of being selected. Often after a couple of projects for the same employer, taking into account that he is satisfied, the freelancer gets a regular client (that employer) and they can enter into a contractual relationship.

According to a study by the European Foundation for the Improvement of Living and Working Conditions, nine broad types of new forms of work can be identified, among which ICT-based mobile work occupies a significant place - this type of work allows workers to do their job anywhere and anytime, with the support of modern technology (Sekulović, 2020). The aim of this paper is to understand the impact of freelance on the business in the IT sector in Serbia, not only by freelancers but also full-time employees, based on the results of a survey conducted on a sample of 82 respondents, including 40 freelancers and 42 full-time employees.

### **Sites as global online exchanges**

Freelance jobs are offered on a number of sites. Still, some of the most popular and visited are: UpWork and Freelancer. Millions of jobs are published annually on these platforms, through which freelancers can offer their skills and knowledge in more than 70 business categories.

Registration on the mentioned sites is free and easy. Freelancer, based on the placed advertisements of employers, independently chooses to whom he will offer his services or on which projects he wants to be engaged. All you have to do is fill in the public profile and apply for the desired job.

All projects and payments are made through these platforms, and it can not happen that the employer does not pay the freelancer. Fees are also negotiated through the platform. The price of using the platform's services is not fixed. The more times a freelancer is hired by the same client, the less money the platform will "take". So, it is up to the freelancer to create an attractive profile, to apply for the desired job (and negotiate a fee, if not offered), to do the job and charge for the service.

Freelancing platforms were perceived as systems that provide opportunities to mitigate some of the precarity of freelance work, such as providing opportunities for professional development and enabling access to global markets of clients (Alvarez et al, 2021). From the experience gained on the platforms on which they operate, they believe that the ideal entrepreneur's profile is the person who has the necessary knowledge to run a business and gives time to employees working in his company. In freelancers' view, the ideal entrepreneur is the one who communicates with the employees and learns in every field in which works, the one who lets them do their job and appreciates the outcome at the end (Damian and Capatina, 2019).

These two sites are certainly not the only freelance platforms. The freelancer can also offer his services on sites that offer jobs exclusively from a certain area of business.

### **Legal form and way of doing business**

As far as the legal aspect is concerned, when it comes to tax liabilities to the home country, in order to do business in the already mentioned way and provide earnings (usually from abroad), they have the following options:

- Payment of withholding tax on each individually received income from abroad;
- Registration of entrepreneurial activity and flat taxation;
- Entrepreneurial business registration and profit taxation.

Paying income tax means that the job is done. Thirty days after the job is done, the freelancer has the opportunity to pay taxes to the state on the earned earnings. This way of paying taxes means that the freelancer pays taxes individually for each realized job, and most often this type of tax payment is used when the freelancer does not have many payments per month. The disadvantage of this method of taxation is that it is the most expensive type of taxation.

Flat tax implies the registration of an entrepreneurial activity in the Agency for Business Registers of Serbia, where a freelancer can choose flat tax. This way of taxation implies the payment of taxes and contributions immediately after the first day of registration, regardless of whether the freelancer, ie. the entrepreneur earns some income or not. Freelancer has health insurance in this way of doing business, which he would be guaranteed in case he was in permanent employment.

Profit taxation also implies the registration of an entrepreneurial activity, but in this case of taxation, the freelancer must keep business books, ie. have an accountant. With this type of taxation, the freelancer anticipates the profit and pays an advance of taxes and contributions on it. In this case, too, the obligations start to run from the first day of registration. The choice between flat-rate taxation and income taxation most often depends on the amount of income.

Concluding contracts in freelance is not uncommon, except that employment contracts are not concluded, but usually under a contract on temporary and occasional jobs, according to which the freelancer does not have all the rights he would otherwise have as an employee. The contract, obligatorily in writing, is concluded directly between the employer and the employee.

In October 2020. The Ministry of Finance of the Republic of Serbia - Tax Administration, issued a statement announcing that the Tax Administration, by comparing data on payments from abroad with the amount of tax paid by self-taxation, established a "high rate of non-compliance" by individuals - taxpayers.<sup>3</sup> At the same time, all those who failed to file tax returns were invited to do so on their own initiative, in order to settle all obligations in the name of taxes and contributions, with interest. This announcement provoked violent reactions from freelancers themselves, but also from citizens' associations that are committed to relaxing the business conditions of the domestic economy, especially in the digital economy.<sup>4</sup>

To make matters even more difficult for freelancers, there is only a small number of domestic NGOs that study their position and advocate for improving the legal framework for their work.<sup>5</sup> Perhaps one of the reasons for such treatment is that freelancers in Serbia are often referred to in public discussion only as digital workers, ie. those who work with the help of online platforms, while, according to international standards, freelancers should include all those who occasionally work for more than one employer, regardless of whether they are already employed "permanently" or not, whether they are employers, domestic or foreign, or whether the work takes place directly or through intermediaries within an "intellectual" profession (not only programming, but also journalism, design, law, art, etc.).

There is no developed set of standards governing the position and rights of freelancers in EU and its member states, although it is estimated that the number of freelancers in the EU between 2008 and 2015 increased by as much as 24 percent (Pugnano, 2019).

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<sup>3</sup> Source: "Self-initiated reporting of income earned from abroad ", <https://www.purs.gov.rs/biro-za-informisanje/novosti/6639/samoinicijativno-prijavljivanje-prihoda-ostvarenog-iz-inostranstva-.html>

<sup>4</sup> Startit: „1% of freelancers paid taxes ”- what needs to be done to resolve this situation?“ dostupnom putem linka: <https://startit.rs/1-frilensera-je-placalo-poreze-sta-treba-uraditi-da-bi-se-resila-ova-situacija/>

<sup>5</sup> Center for Public Policy Research, a think tank organization from Belgrade that implements the program "Future of Work in Serbia". More information is available via the link: [https://www.publicpolicy.rs/projekti/43\\_Koliko-ima-frilensera-u-Srbiji](https://www.publicpolicy.rs/projekti/43_Koliko-ima-frilensera-u-Srbiji).

## Research methodology

The subject of the presented research is the analysis of the state of freelancers in Serbia, and the attitudes of freelancers regarding business and social status. The aim of the research is to analyze how freelancing, as a modern way of doing business that is becoming more and more common in Serbia, affects the IT sector, having in mind a significant number of IT experts in the total number of freelancers. Also, the aim of this paper is to, using comparative analysis, determine the differences in status and views, on the same issues, between freelancers and full-time employees in the IT sector.

To answer these questions, we conducted empirical research using both quantitative and qualitative research methods, such as descriptive and comparative analysis.

The research was conducted in the period from 05/31/2020 to 06/16/2020. Data were collected using a survey technique, and an online survey with closed and open-ended questions was used as an instrument, using the Likert scale.

The target sample included 82 respondents, of which 42 were freelancers and 40 were full-time employees of different ages.

## Freelancing in Serbia

The popularity of online jobs is moving almost linearly along with the growth of global internet users, it has become easy for everyone to access the free labor market from the comfort of their home. One of the most important reasons why our fellow citizens decide for this type of work is the fact that freelancers earn several average salaries in this way of work.

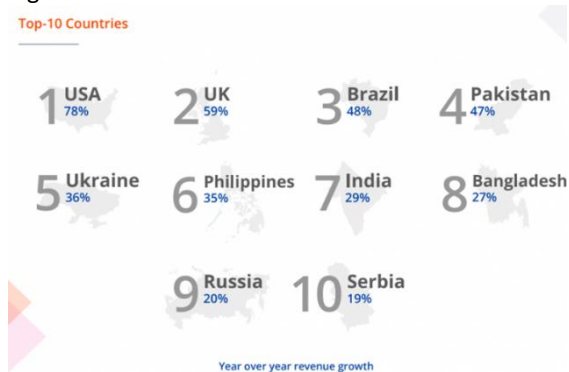
In Serbia, there are more than 110,000 freelancers, most of whom are programmers and graphic designers. Then there are content creators, who are engaged in writing texts, designing content, then experts in SEO site optimization and other types of digital marketing. Also, there is a demand for 3D modelers, video animation, translations from foreign languages, but also online foreign language teaching.

It is interesting to note that in 2017, about 100,000 freelancers worked in Serbia, and about 45,000 IT experts were employed in the IT sector. Also, about 15,000 IT professionals were missing. Therefore, the question arises as to why freelancers did not consider permanent employment. A survey from 2019 showed that Serbia is the tenth country in the world, and the third in Europe in terms of revenue growth when it comes to freelancing, which we can see in Figure 1.

Considering that the leading countries are America, Great Britain, Brazil..., which have significantly more inhabitants, as well as a higher standard of living, the position of Serbia is very surprising.

In 2018, Serbian revenues from external IT services exceeded one billion euros.

Figure 1.



Source: Payoneer



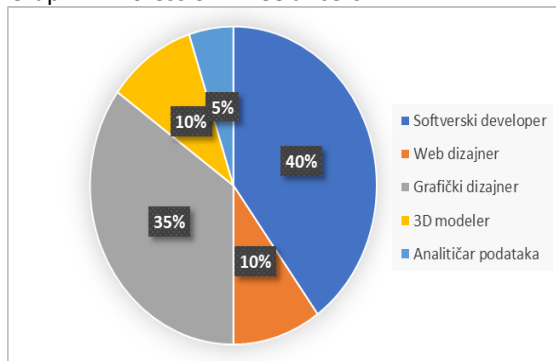
## Research results

**Age of respondents.** Freelancers in the IT sector are mostly between 24 and 30 years old (37%) and 31 to 40 years old (32%). An enviable percentage of 21% is between 18 and 23 years old, while the lowest percentage of respondents is older than 40 years, only 10%. Most permanent employees are between the ages of 31 and 40 (40%), and about 30% of employed respondents are between 24 and 30 years old. The least permanent employees in the IT sector are over 40 years (25%) and between 18 and 23 years (5%). Here we can conclude that a very small percentage of permanent employees in the IT sector are younger than 23, while on the other hand, there are few freelancers over 40. Both groups are mostly between 24 and 40 years old.

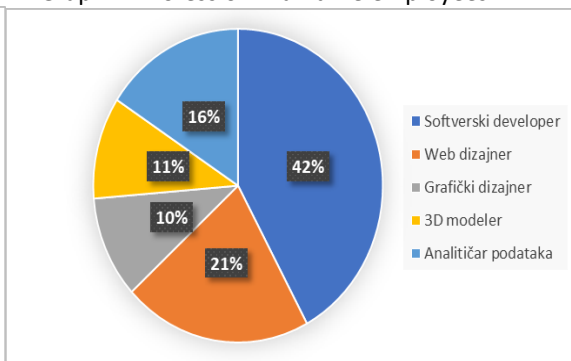
**Level of education of respondents.** The least number of respondents had completed only high school, 15% of freelancers and only 5% of full-time employees. When it comes to higher or vocational school, the results show that 30% of freelancers have completed higher education, compared to 20% of full-time employees. 35% of the total number of respondents are university-educated freelancers, and as many as 50% of full-time employees have graduated from the faculty. If we compare the respondents with a completed master's degree or even a higher title, the results show that 20% of freelancers have a completed master's degree, while on the other hand 25% are employed. This tells us that permanent employees have a smaller number of employees with high school than freelancers, but a much higher percentage of full-time employees have a university degree. We come to the conclusion that higher education is very important but not crucial, especially if we are talking about freelancing.

**Profession of respondents.** The question about the profession of the respondents gave an answer about the most represented professions in the IT sector, both in companies in Serbia and in freelancing. The professions that stand out in both groups of respondents are: Software Developer, Web Designer, Graphic Designer, 3D Modeler and Data Analyst. Most of them are software developers in both groups, as many as 40% of freelancers and 42% of full-time employees are engaged in this profession. Freelancers have a large number of graphic designers and amount to 35%, while permanent employees have a percentage of only 10%. 21% of permanent web designers are employed and the percentage of freelancers dealing with web design is significantly lower - 10%. Data analyst as a profession is more represented among full-time employees and amounts to 16% of respondents, while only 5% of freelancers are engaged in this business. The percentage of 10% of respondents from the group of freelancers is engaged in 3D modeling, and almost identical number - 11% are permanently employed 3D modelers (Graph 1; Graph 2)

Graph 1: Profession - freelancers



Graph 2: Profession - full-time employees



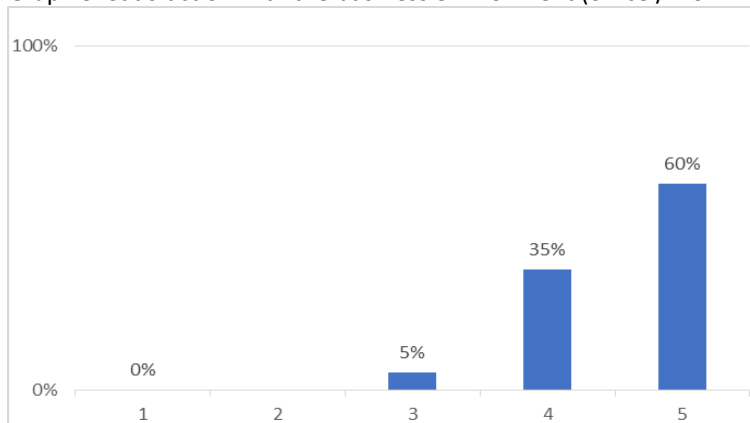
**Working hours of respondents.** Working hours are one of the items in which the differences between freelancers and full-time employees are most noticeable. The results of the survey show that as many as 25% of freelancers work less than 36 hours per week, while none of the respondents from the group of full-time employees have less than 36 working hours. The largest number of full-time employees in the IT sector in Serbia has between 36 and 44 working hours per week, this percentage is 65%, while the percentage of freelancers is 30%. 45% of freelancers and 35% of full-time employees work more than 44 hours a week. We can conclude that freelancers have much more flexible working hours as opposed to full-time employees who spend more time at work.

**Earnings of respondents in relation to working hours.** With grades from 1 to 5, the respondents showed how much they are and whether they are satisfied with the ratio of their earnings and working hours. The obtained results show that 55% of full-time employees gave a grade of 5, and the same grade was given by 45% of freelancers. This ratio was rated 4 by 30% of full-time employees and 35% of freelancers, and with a grade of 3 by only 10% of full-time employees and 15% of freelancers. Grades 1 and 2 represent dissatisfaction with the ratio of wages and working hours, and the percentage of dissatisfied respondents is small. Only 5% of full-time employees gave a grade of 2 and no one gave a grade of 1. On the other hand, freelancers did not give a grade of 2, but that is why 5% of freelancers are not satisfied with this ratio at all.

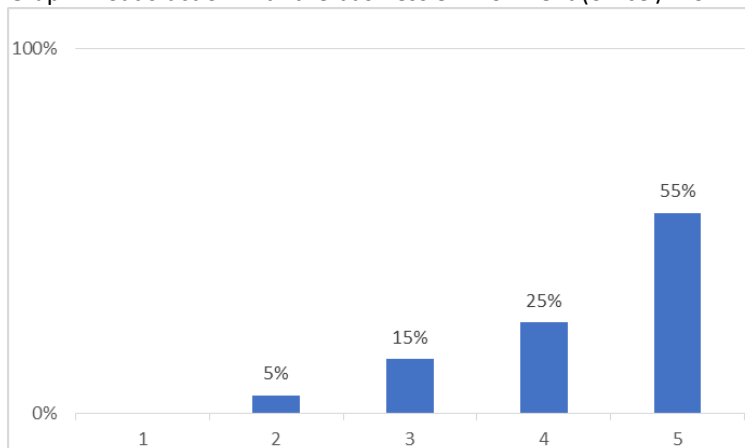
**Free time of the respondents.** According to the data we received when asked if they have enough free time for other activities, we can conclude that more than half of the employees from both groups are satisfied with their free time. For freelancers, that percentage is 75%, while 25% of respondents answered that they still do not have enough free time. The percentage of full-time employees who are satisfied with free time is 60%, while those who are not are 40%.

**Respondents' business environment.** We received answers to this question on one of the most interesting topics when comparing these two ways of working - how many respondents are satisfied with work from home, and how many permanent employees are employed in the company (office). Grades from 1 to 5 showed their satisfaction or dissatisfaction with working in their business environment. In Graph 3 and 4, we can see that freelancers are in most cases satisfied with working from home. The percentage of freelancers with a grade of 5 is 60%, with a grade of 4 is 35% and with a grade of 3 is 5%. None of the freelancers gave a grade of 1 and 2. Permanent employees with a grade of 5 is 55%, with a grade of 4 is 25%, with a grade of 3 is 15% and 5% of respondents gave a grade of 2. Among full-time employees no respondents gave a grade of 1.

Graph 3: Satisfaction with the business environment (office / work from home) - Freelancers

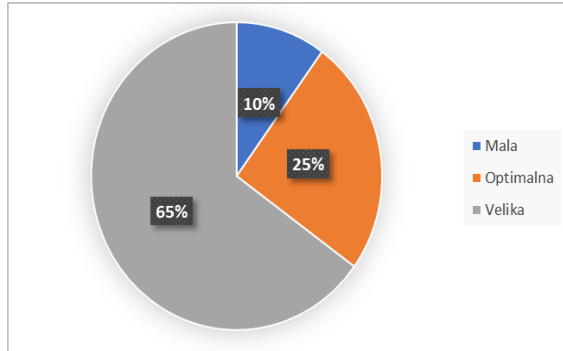


Graph 4: Satisfaction with the business environment (office / work from home) - Permanently employed

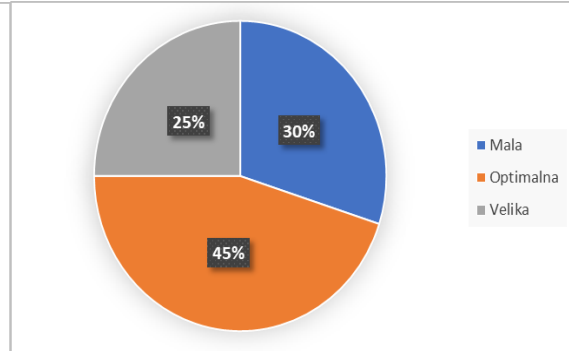


**Possibility of progress of respondents.** As many as 65% of freelancers answered that the possibility of advancement is great, while only 35% answered that it is small or optimal. On the other hand, 45% of permanent employees believe that the possibility of advancement is great, 30% that it is optimal and 25% that it is small (Graph 5; Graph 6). From this we conclude that it is potentially easier for freelancers to progress in their business, while permanent employees still have more difficulties.

Graph 5: Possibility of promotion - Freelancers employees



Graph 6: Possibility of promotion - Full-time employees

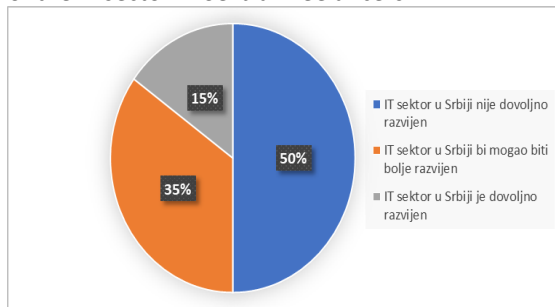


**Satisfaction with the work of the respondents.** We wanted to find out how satisfied the respondents are with the work they do, taking into account free time, working hours, earnings and the environment. 85% of freelancers answered affirmatively, while only 15% were dissatisfied with their work. 65% of full-time employees answered affirmatively and 35% were dissatisfied with their work. We conclude that slightly more freelancers are satisfied with their work compared to permanent employees.

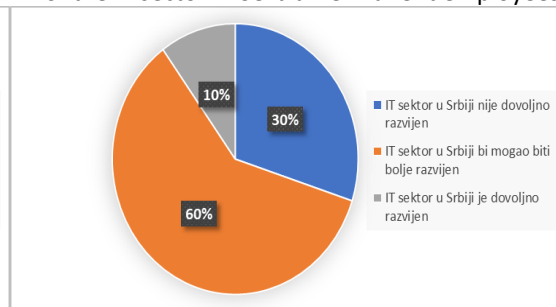
**Possibility to change the way the respondents work.** The question “If you could, would you switch to a freelancer/full-time employee” gives us the answer to whether there is a desire of the respondents to be replaced with another group (their way of working). Most freelancers, as many as 80% answered that they would not change with permanent employees, while only 20% answered the opposite. Surprisingly, 60% of full-time employees want to change with freelancers, while 40% answered in the negative. The results of this question tell us that freelancers are basically more satisfied with their work and that they are not attracted to working in the office. Also, there is a very high percentage of full-time employees who would like to change with freelancers.

**Respondents' opinion on the IT sector in Serbia.** The opinion on the development of the IT sector in Serbia shows us the attitude of the respondents when it comes to the IT sector in Serbia, whether it is sufficiently developed and whether there is still work to be done. The answers of both groups are similar in the sense that only 15% of freelancers and 10% of full-time employees answered that the IT sector in Serbia is sufficiently developed. 35% of freelancers and 60% of full-time employees believe that the IT sector in Serbia could be better developed. 50% of freelancers and 30% of full-time employees believe that the IT sector in Serbia is not sufficiently developed. From these answers we can conclude that half of freelancers believe that the IT sector in Serbia is not sufficiently developed, while permanent employees are dominated by the opinion that it could be better developed (Graph 7; Graph 8).

Graph 7: Attitude on the development of the IT sector in Serbia-Freelancers



Graph 8: Attitude on the development of the IT sector in Serbia-Permanent employees



## Conclusion

After the realized research on the impact of freelancing on the IT sector in Serbia, we conclude that freelancing in Serbia is a very desirable way of working, despite the fact that freelancers encounter various difficulties. The prevailing view is that, despite that, the biggest benefit of freelancers is that they have complete control in project selection, time organization, salary contracting, etc., which makes freelance desirable.

The results of the research indicate that many challenges that are faced by freelancers, starting from choosing the way of running their company from the aspect of tax regulation, then developing skills and abilities related to communication with clients/employers, to quality and effective organization of working hours. In most cases, they become advantages that prevent freelancers from seeking permanent employment. A good freelancer is not only exceptional in his work, but also in other fields that he needs for this way of working.

We should not ignore the fact that earnings in freelancing are often not regular, but are obtained according to the project or contracted by working hours, which means that freelancers do not have satisfactory material security, unlike full-time employees who receive monthly earnings. At first glance, freelancing seems like a simple and flexible way of working, but, in fact, it is very challenging and requires the possession of a number of professional competencies and skills, as well as constant improvement. This does not mean that the way permanent employees work is easier, but they certainly do not have to pay attention to contracting projects, paying obligations to the state and allocating their working time in order to achieve everything.

Freelancers are looking for their jobs on global stock exchanges, ie. sites, so that the impact of their work is not reflected on the IT sector in Serbia. They and full-time employees are very rarely competitors in the jobs they perform. Also, the earnings of freelancers come from their clients, who are usually foreign persons, and that very rarely directly affects the IT sector in Serbia. We conclude that freelancing still affects the IT sector in Serbia in a different way, in the sense that IT professionals often decide to become freelancers rather than get a job in IT companies, which causes a shortage of IT experts in the IT sector.

From the fact that most employees would change with freelancers, which is a very interesting fact, it follows that freelancing is the future of business not only in the IT sector in Serbia, but also in many other activities. Another advantage is that even during economic crises in the country and emergencies, such as the current situation with the Covid 19 pandemic, freelancers continue to do their job without hindrance. Freelancers cannot lose their jobs, but they can encounter periods when the market offers less jobs, that is, fewer clients who provide them with new projects. That is, in most cases, freelancers are coming to a new job very quickly.

Regarding the obtained data on the development of the IT sector in Serbia, it can be concluded that the majority of respondents believe that it is not developed at a satisfactory level or could be improved, which applies to the entire IT sector. Despite the fact that most domestic research indicates that the IT sector of Serbia is at an enviable level, which, above all, refers to experts in this field, it is still not nearly developed compared to more developed countries in Europe and the world. This can be an advantage, but also a disadvantage. Foreign clients mostly opt for our IT companies and freelancers because of their expertise, but also lower labor costs, according to the criteria that apply abroad, and which is even above the average for the standard in Serbia. What needs to be worked on is to create opportunities for our IT experts to be valued as much as those in more developed countries and therefore adequately paid.

Freelance in Serbia could be additionally encouraged by tax laws, exclusively intended for freelancers or by reforming existing laws, bearing in mind that freelance is not a new way of working, but has been present for many years, and the number of freelancers is higher every year. It follows that freelance positively affects our economy by the fact that the earnings of freelancers come from abroad and are spent in our country.

Taking into account the interest of IT experts in freelancing and its advantages, it can be concluded that freelancing is the future of business in the IT sector in Serbia. For this reason, freelancers should be given more attention in the future, in terms of promoting this way of doing business, but also opening domestic sites for contracting, and providing a platform where potential new freelancers or those who already are,

can be informed about everything related to freelance as a modern and increasingly represented way of working.

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## Measuring Organizational Trust In Knowledge-based Organizations

Cynthia Daoud<sup>1</sup>

Mgr. Gabriella Michalec<sup>2</sup>

<sup>1</sup> University of Pannonia, cynthia.daoud@live.com, ORCID: 0000-0003-3175-8861

<sup>2</sup> University of Pannonia, michalecova.gabriela@gtk.uni-pannon.hu, ORCID: 0000-0003-2027-3199

**Abstract:** Nowadays, more and more practical researchers are looking for a solution to how a given company could operate successfully in the longest possible time, which, in addition to making a profit, is also the key to their survival. Experience shows in terms of personal relationships that people buy products and services from companies that exhibit ethical behavior in the marketplace and can be trusted. Gaining trust from consumers and employees is no small task, it can take years, but it pays off. It is of unparalleled importance, which can reduce costs, increase profits, create a pleasant working atmosphere, and develop friendly relationships within companies. Without it, human relations will not work, the costs of doing business, the economy will increase, and the effort invested in whatever we start will not pay for itself or only very slowly. However, not only is there a lack of trust in the external market, but also within an organization, as when the level of trust in a company is low, its operating speed slows down, while when trust is high in an organization, processes are accelerated. and the cost of that job is reduced. The biggest expense in life is a lack of trust, including in organizations and families. Our research focuses on measuring organizational trust in the case of knowledge-oriented organizations, with which we want to answer questions such as what components affect trust in companies, how to measure them, what problems and problems can be observed in case of lack of trust, how to remedy them, and we want to define the significance and concept of trust and its different types.

### 1. INTRODUCTION

In recent years, there has been a wealth of research on knowledge management and its role in the successful operation of organizations, and how organizations can gain an appropriate and sustainable competitive advantage (Drucker, 2001; Holsapple and Joshi, 2000). The role of knowledge sharing among members of organizations has received much attention in the studies (Ansari and Malik, 2017). Knowledge sharing has been found to contribute, for example, to the development of innovative ideas and new opportunities (Lin, 2007) and to the provision of completely new or improved products and services. To be successful in this, organizations need to develop a culture of knowledge sharing (Ansari and Malik, 2017) in which trust within the organization plays a major role (Lin, 2007; Vanhala and Ritala, 2016).

In the literature on knowledge management, the importance of trust has been identified as a crucial factor in the success of knowledge management practices (Roberts, 2000; Ford, 2004), in particular the role of trust in knowledge sharing (Ozlati, 2015), and more recently the role of trust in knowledge protection. knowledge only with the right people - gets more attention (Olander et al., 2015). Intra-organizational and inter-organizational trusts support and enable collaboration and knowledge sharing (Politis, 2003), and trust in general is seen as critical in a knowledge-based networked economy, especially because it is seen as a lubricant for uncertainty, complexity, and related risks. (Arrow, 1974; Luhmann, 1979). It is clear that trust has a positive effect on knowledge sharing, as it influences the smooth exchange of knowledge and creates a supportive environment for this knowledge management process (Gillani et al., 2018). In other words, if one feels that the other party is trustworthy, it is easier for them to share their knowledge (Alge et al., 2003; Parker et al., 2006 cit. in Vanhala, 2020).

However, before all this, we need to be able to determine who the trusted person is, we need to examine the extent to which trust is present in the life of the organization. Our research is in a theoretical phase, our ultimate goal is to develop or use one of the existing measurement tools to measure trust. In our research, we present organizational trust and validated measurement tools.

### 2. CONFIDENTIAL MEASURING INSTRUMENTS

For the results of our research, it is essential to use a comprehensive measurement tool that answers all our questions and hypotheses. Here are some possible tools we can use in our research.

The concept behind most trust models is that there are specific qualities that help increase a person’s trustworthiness. By focusing on and improving these qualities, an individual can become more reliable. Models often contain roughly the same building blocks of trust, although of course each has its own name: Blanchard’s ABCD of trust, the equation of trust, and the five dimensions of sales trust. Considering our research, we do not intend to address the latter.

The three models say pretty much the same thing. In essence, to be trustworthy, an individual must be able to be honest in his or her words and actions, be emotionally open to others, and be caring for others.

Comparison of popular trust models

	Be able to	Honest words and actions	To be open	Caring for others
BLANCHARD’S ABCDs	Able	Credible Reliable	Connected	
Equation of trust	Credibility Reliability		Intimacy	self-orientation
Sales trust	Expert's report	Reliability	Attractiveness	Customer orientation Sales orientation

The pandemic led to changes on how trust is built and perceived. Employers had to allow home office work, creating a need for new policies and procedures

They also had to trust that their employees would respect social distancing rules, the use of face masks, and other hygiene measures. IT departments had to ensure that all employees follow the protocols for securely accessing the company’s network considering the increased threats posed by cyber criminals.

Employees were asked to use software and fill out new types of reports to keep track of their work. Some even had to agree to pay cuts and sacrificing more of their personal time to help their company in need. These stressing times, in which sudden work organization changes had to be made rapidly, resulted in an even bigger need for high levels of organizational trust.

Organizations that manage to create a knowledge sharing atmosphere (2018, Park, S.; Kim, E.J.) succeed in this rapidly changing business environment. Employees have trust in the new policies, are encouraged to share knowledge, and have the technology to continue social interactions and build interpersonal trust.

As Asian economies continue to grow rapidly, many are paying attention to how they organize their companies. Guanxi, meaning 'a gate' and 'to connect', relates to personal connections, relationships, or social networks to form trust. Chinese business owners have greater success in business if they enjoy high levels of trust as part of having guanxi. The importance of networks for business success were found to be key in both the West and China (R.S. Burt, 2018)

**Business and societal relationships**

We looked at empirical research on the trust of Chinese citizens in their government’s approach to handle the coronavirus pandemic to assess the current state of organizational trust of the population of an emerging economy. It shows us how the increasingly educated workforce of an emerging economy sees organizational trust.

Prior to the pandemic, the trust of Chinese citizens in their national government was already high. While trust levels grew on all levels, the biggest increase of 98 percent was reported on the national level. This

Trust in the national government increased by 98 percent, and trust levels on regional levels rose as well. Most importantly, it showed that a high level of trust of 89 percent among the 44 percent critical trusters, the respondents who placed more trust in some levels than others.

### 3. RESEARCH MODEL

In our research we are looking for answers to questions such as:

1. How can organizational trust be measured?
2. How does this phenomenon affect organizational success?
3. Can the “soft” factors of organizational trust explain business success?
4. Should a distinction be made between personal and impersonal trust?
5. Do the results differ internationally?

To answer these questions, we have set up hypotheses that may change in the future in terms of the rudimentary form of the research:

H1: The degree of organizational trust can be measured by creating classes.

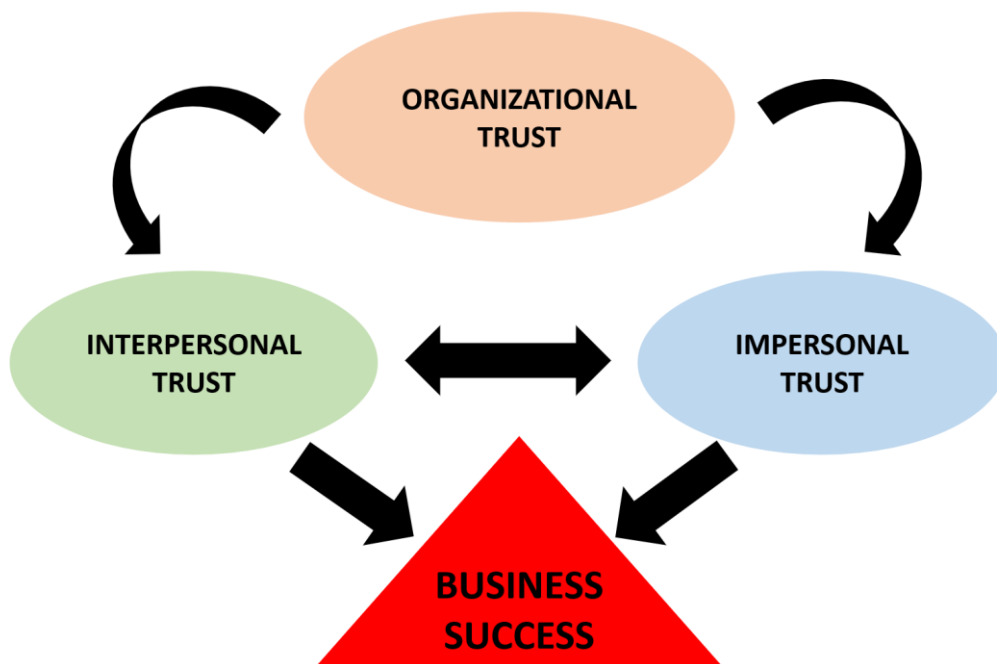
H2: A high degree of organizational trust has a positive effect on business success.

H3: The “soft” factors of organizational trust can explain business success.

H4: Personal and impersonal trust cannot be explained by each other.

H5: The degree of organizational trust varies internationally.

Our research model is illustrated.



Source: own editing

### CONCLUSION

Our research is in the theoretical phase, so we cannot yet communicate the results. We are looking for answers to the following questions for which we have already set up hypotheses:

1. How can organizational trust be measured?
2. How does this phenomenon affect organizational success?
3. Can the “soft” factors of organizational trust explain business success?



4. Should a distinction be made between personal and impersonal trust?

5. Do the results differ internationally?

Answering all of these questions and proving the hypotheses will hopefully result in breakthrough research that has not yet been exemplified.

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## Effective Tehnics Of Big Data Acquisition On The Internet

Dijana Jovanoska<sup>1</sup>

<sup>1</sup> PhD student, Faculty of Economics-Prilep, “St. Kliment Ohridski” University, Bitola, North Macedonia;

e-mail:dijana\_67bmis@yahoo.com

**Abstract:** The race to faster, more effective data obtaining, that contributes to more sustainable decisions in the business process is continuously in search of new technics and technologies for acquisition, storage, and data processing. Selecting real data and real data sources are increasingly in demand to get more relevant data in an appropriate area. This research paper is dedicated to the trend of Big Data, which becomes more essential in the recent period, although it has been practiced under different theoretical concepts though much longer periods before. This research paper also focuses on Data Scraping, Web Scraping, Screen Scraping, Report Mining, as technologies capable of gathering high-volume data from digital sources, especially from the Internet. The aim of this paper is to present all the technologies that can be used for the acquisition of big data, how they are applied with different types of data in their collection to be easier to analyze. The use of these technologies, as well as the possibilities offered by the contemporary IT technologies, can provide valuable data that will contribute to making durable management decisions for business processes. As for the business entities, it potentially means the desired competitive advantage.

**Key words:** The Internet, Big Data, Data Acquisition

### 1. INTRODUCTION

Due to the increasing use of the Internet, publicly accessible data quantities have reached increasingly huge amounts. The explosion of data is an inevitable trend, given the big technological advance, people and companies are increasingly dependent on computer devices and distributed data sources provided by the internet.

Nowadays we have high-volume, omnipresent data. Most of the information is structured, unstructured, or semi-structured, whereby today's interaction is mainly based upon documents. Most of the documents are stored in different formats of internal sources such as paper, e-mails, MS Word documents, technical documentation, etc.

In addition to the internal sources, there are external sources such as blogs, web pages, and social networks. The information contained in these sources can answer various questions and help in solving issues in different business systems.

### 2. BIG DATA

In a world of information and communication technologies and breakthroughs, there are temporary terms that are talked a lot about. Cloud technology has been used for a longer period as well as the trend (BYOD), but one of the most current topics is the technology Big Data.

The term Big Data is defined as extremely large data sets that are too immense of complex to be dealt with by the conventional database systems. The data sets are extremely big, have big velocity, and quite often do not fit the structure of database architecture. With an eye to benefit from these sets, it is companies' imperative to find alternatives to data processing.

Schneider claims that Big Data has one or more of the following characteristics:<sup>1</sup>

- Big Data contains a large amount of information;
- Big Data consists of various file types and formats;
- Big Data is created from various sources;

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<sup>1</sup>Schneider, R.D. (2013). Hadoop Buyer's Guide. Ubuntu,

[http://insights.ubuntu.com/wpcontent/uploads/HadoopBuyersGuide\\_sm.pdf](http://insights.ubuntu.com/wpcontent/uploads/HadoopBuyersGuide_sm.pdf) (accessed 24.02.2022)

- Big Data is maintained through a longer period;
- Big Data can benefit from new and innovative applications

#### **Advantages of Big Data**

- Data acquisition of different sources;
- Improvement of business process through real-time analytics;
- Storage of large data sets;
- Big Data is more perceptive for hidden information with structured and semi-structured data;
- Big Data helps reduce risk and make smart decisions by proper risk analysis;

To get a better understanding of the term Big Data, we must primarily consider the 5V characteristics. In addition to these characteristics, there are 5 more, thus reaching 10 V: Volume, Velocity, Variety, Veracity/Validity, Viscosity, Variability, and Volatility.<sup>2</sup>

### **DATA SOURCES AND TYPES**

The real decryption problem of Big Data starts with the layers of data sources, as different volume data sources or types compete with each other to be included in the final Big Data set. Data sets grow rapidly every hour and every day because they are increasingly gathered by cheap and numerous information sensing Internet things devices such as IT devices, mobile phones, public or private surveillance cameras, internet transactions, etc.

#### **3.1 Data Types**

##### **3.1.1 Unstructured data**

Unstructured data is raw and not organized in a pre-defined manner. The lack of structure makes this type of data processing a time-consuming task. Unstructured data can be found in many shapes and sizes. They can be stored in documents, reports, tables, web-pages, or digital media (images, audio, and video).

##### **3.1.2 Structured data**

Structured data is based upon a specified pattern and their structure is pre-defined and well-known. Once a defined scheme, the data can be recorded according to the scheme criteria. Sources of structured data can be divided into two categories:

###### **1. Human-generated data:**

- **Input Data:** data types that can be entered in a computer such as name, surname, date of birth, income, and questionnaire answers, etc.;
- **Click-Stream data:** Each time a link is clicked, data is generated on the site;
- **Gaming-related data:** Every move made in a certain video game can be recorded and analyzed afterward to determine the customer behavior.

###### **2. Computer- or machine-generated:**

- **Sensor data:** Examples include smart meters (digital electricity consumption meters) RFID identification, medical devices, and GPS data;
- **Weblog data:** When servers, applications, networks, and so on operate, they capture all kinds of data about their activity;

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<sup>2</sup> Dumbill, E. (2012). What is big data?: An introduction to the big data landscape. O'Reilly Media Inc,

- **Point-of-sale data:** When the cashier swipes the bar code of any product that you are purchasing, all that data associated with the product is generated.

### 3.1.3 Semi-structured Data

Semi-structured data does not obey the formal structure and the marking method is optional. In some semi-structured data the scheme does not exist at all, whereas, in other, there are certain limitations. This data has got irregular, implicit structure, and flexibility. Examples of semi-structured data can be found in XML (eXtensible Markup Language), JSON (JavaScript-Object Notation), No SQL (not only SQL) databases. Similar to the structured, 5% to 10% of computer data is semi-structured.

## 3. MODERN WAYS OF BIG DATA ACQUISITION ONLINE

### 4.1 Big Data Acquisition

As the data number increases, modern technology, modern economy, education, telecommunication, and other sectors, compete to answer a growing range of requirements, restrictions, and possibilities.

Big Data acquisition can be understood as a process of gathering data and putting it into a data warehouse where data is usually created by external sources, that is, sources out of the system, whereas some can be created by the system itself. Before the revolutionary concept of Big Data, companies relied on their data, that is, data available to the company of data created by the company. However, with the development of technology, moreover, with the advent of data science, and the need of their analysis, a vast number of organizations started using the data that originates from external sources, so that they can achieve better business results, benefit in making decisions, and deal with competitors more easily.

To get a better understanding of data acquisition, the chapter will first take a look at the different big data architectures of Oracle, Vivisimo, and IBM.

**Oracle** relies on a three-step approach for data processing. In the first step, the content of different data sources is retrieved and stored within a scalable storage solution such as a NoSQL database or the Hadoop Distributed File System (HDFS)<sup>3</sup>. The stored data is subsequently processed by first being reorganized and stored in an SQL-capable big data analytics software and finally analyzed by using big data analytics algorithms.

**Vivisimo** relies on a different view on big data. Here, the approach is more search-oriented. The main component of the architecture is a connector layer, in which different data sources can be addressed.<sup>4</sup> The content of these data sources is gathered in parallel, converted, and finally added to an index, which builds the basis for data analytics, business intelligence, and all other data-driven applications. Other big players such as IBM rely on architectures similar to Oracle's IBM.

Throughout the different architectures to big data processing, the core of data acquisition boils down to gathering data from distributed information sources to store them in scalable, big data-capable data storage. To achieve this goal, three main components are required:

1. Protocols that allow the gathering of information for distributed data sources of any type (unstructured, semi-structured, structured);
2. Frameworks with which the data is collected from the distributed sources by using different protocols;
3. Technologies that allow the persistent storage of the data retrieved by the frameworks.

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<sup>3</sup> Oracle. (2012). Oracle information architecture: An architect's guide to big data. <http://www.oracle.com/technetwork/topics/entarch/articles/oea-big-data-guide-1522052.pdf> (accessed 05.02.2022)

<sup>4</sup> Vivisimo. (2012). IBM Advances Big Data Analytics with Acquisition of Vivisimo. <https://www-03.ibm.com/press/us/en/pressrelease/37491.wss>. (accessed 10.02.2022)

## 4.2 Data Acquisition Process

What characterizes the professionals who deal with data acquisition is the rich diversity of the process. To successfully acquire a certain set of data, we must perform the following tasks:

- Identifying the need for data with the use of data;
- Checking the required data;
- Determining the sources, that is, which data will be used and which data won't be needed in the future analysis;
- Assessment of data sets examples;
- Semantic analysis of data sets is undertaken so that they are properly understood;
- Questions about the privacy of the data are respected in terms of permitted use of data;
- Preparation of specification for implementation which usually includes data operations.

## 4.3 Data Scraping

Data Scraping is a technique used to extract large amounts of data from a local source, database, or Internet. Generally, data transmission between programs is achieved by using data structures that are suitable for automatic data processing. Data encryption is the process of collecting structured or unstructured data from different data sources so that they can be used for further processing of storage. Entering the restructuring system is usually accompanied by data conversion and the addition of metadata. Experimental data is first entered into the computer from primary sources such as measuring or recording devices, whereby today's devices are usually connected to a USB connection through which data can be entered into the computer at the time of creation.

## 4.4 Screen scraping

In the mid-1980, financial data providers such as Telerate and Reuters showed 24x80 data that was adapted for humans. These data users, the investment banks, in particular, have made applications for recording and converting such data into numerical ones, which would be used to calculate and make better decisions in trade. Screen scraping is usually associated with a collection of visually displayed data from a source instead of being analyzed as in web scraping. Initially, screen scripting refers to the reading of text data from computer screens. This is usually done by reading the terminal memory via an auxiliary port or plug or by connecting the output of the terminal to a computer with the input port from another computer. The term (scraping) is also used for two-way data exchange, and this usually happens when the control program is applied through the user interface or in a concrete case when the control program enters the data instead of the human. As a specific sample of a classic screen scraping tool is a 1980s computer with user interfaces. Modern screen scraping techniques include capturing screen data bitmaps that are displayed using OCR (Optical character recognition) or by aligning the data bitmaps with some expected outcome.

## 4.5 Web scraping

Websites are created by the means of text languages (HTML, XHTML) and often contain a large amount of useful data in text form. The reason why computers have difficulty using this type of data, especially when it comes to processing or when it is turned into useful information is because most of the websites are intended for people as end-users. Web scraper is an API or tool for loading data from a website. Web scraping uses a technique to load large amounts of data from web pages, after which the data is compressed and stored in a local file on a computer or database. Data on various websites can only be displayed through a web browser. Web browsers do not offer functionality, such as backing up data for later use. The only option is to copy and save them. Therefore, web scraping enables automatic accomplishment of the process of storing a copy of data for a very short period. Web scraping is selfsame

to indexing, a process by which search engines index Internet content. The difference is that web browsers have rules set in the robot.txt file and must follow them, while web scraping users do not have any in this regard.

#### **4.6 Report mining**

Report mining is a collection of data reports that are readable and customized so that anyone can read and understand them. So as to achieve data, it is necessary to establish a connection with the system that contains the source program and to use appropriate standards or interfaces. Using the appropriate and available standard options when creating a report, the same report can be analyzed and generated without Internet connection access. This approach can avoid overuse of mainstream computers during business hours, can reduce the cost of certain data collection systems, and can offer a speedy and customized reporting solution. The difference between the report mining process and other data collection techniques is that report mining reports are created in human-comprehensible files such as HTML, PDF documents, or texts. This process can provide a quick and easy way to collect data without having to program or create certain tools.

#### **4. FUTURE REQUIREMENTS AND EMERGING TENDS FOR BIG DATA ACQUISITON**

Big data acquisition tooling has to deal with high-velocity, variety, and real-time data acquisition. Thus, tooling for data acquisition has to ensure a very high throughput. This means that data can come from multiple resources (social networks, sensors, web mining, logs, etc.) with different structures, or be unstructured (text, video, pictures, and media files) and at a very high pace (tens or hundreds of thousands events per second). In this context, emerging challenges for the acquisition of big data include the following:

- Data acquisition is often started by tools that provide some kind of input data to the system, such as social networks and web mining algorithms, sensor data acquisition software, logs periodically injected, etc. Typically the data acquisition process starts with single or multiple end points where the data comes from. These end points could take different technical appearances, such as log importers, Storm-based algorithms, or even the data acquisition may offer APIs to the external world to inject the data, by using RESTful services or any other programmatic APIs. Hence, any technical solution that aims to acquire data from different sources should be able to deal with this wide range of different implementations;
- To provide the mechanisms to connect the data acquisition with the data pre- and post-processing (analysis) and storage. In order to do so, the batch and real-time processing tools should be able to be contacted by the data acquisition tools;
- The acquisition of media (pictures, video) is a significant challenge, but it is an even bigger challenge to perform the analysis and storage of video and images;
- Data variety requires processing the semantics in the data in order to correctly and effectively merge data from different sources while processing. Works on semantic event processing such as semantic approximations, thematic event processing, and thingsonomy tagging are emerging approaches in this area, within this context;
- In order to perform post- and pre-processing of acquired data, the current state-of the art provides a set of open-source and commercial tools and frameworks. The main goal when defining a correct data acquisition strategy is therefore to understand the needs of the system in terms of data volume, variety, and velocity, and take the right decision on which tool is best to ensure the acquisition and desired throughput.

#### **5. CONCLUSION**

Big Data technology represents an access/pattern of multi-data processing in order to get new information which is difficult to process the usual way. The data can be structured, unstructured, or semi-

structured, and the amount of this data exponentially grows day by day. If the printed documents and their processing methods are comprehensive (transferring into digital form, merging into one folder, numbering), we need technics and methods to gather, process and analyze the information that originate from various media such as internet documents, blogs, social networks, audio and video sources, metric devices, sensors, etc. Data acquisition is an important process that allows gathering and storing data into a specified system, where the data is usually created by external sources, that is, sources existing outside the organization, whereas, some can be created within the organization itself. Tooling for data acquisition has to ensure a very high throughput. This means that data can come from multiple resources (social networks, sensors, web mining, logs, etc.) with different structures, or be unstructured (text, video, pictures, and media files) and at a very high pace (tens or hundreds of thousands events per second)

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## The Impact Of Corporate Social Responsibility Of Banks On Loyalty Of Clients in North Macedonia

Dragica Tomeska<sup>1</sup>

<sup>1</sup> PHD candidate, Komercijalna Banka AD Skopje-branch Prilep, North Macedonia,  
dragica.naumoska@yahoo.com

**Abstract:** Social responsibility is an individual and collective commitment to achieving a long-term sustainable progress in the development of society. Identifying the progress of the society, as a whole, with its own progress, banks are committed to the activities aimed towards supporting of the higher social objectives and well-being, as well as towards its active contribution for their realization. This attitude means an approach towards the operation that overcomes the traditional understanding of the care for the main business line and the legal obligations. It is directed towards identification of the groups that are under the influence of and have influence on its decisions (stakeholders), finding spheres of mutual interest, anticipation of the changes and appropriate actions.

This paper aims to examine the current situation faced by banks in North Macedonia concerning corporate social responsibility. Demonstrating corporate social responsibility, commitment to acting in support of higher social goals, banks will be able to gain new and loyal customers, create positive feelings for their company and improve their image.

In this past period, the banks in our country have shown a trend of focusing on public relations, publicity, sponsorships and donations, and a special emphasis is placed on corporate social responsibility. Corporate social responsibility has become an imperative of the business policies of banks in the Republic of North Macedonia. Every year, the number of banks that are continuously upgraded with new projects and activities increases in order to be recognized and accepted in society as responsible business entities.

In order to investigate the impact of investing of banks in corporate social responsibility on gaining and creating new and loyal customers, I have conducted a survey on 500 respondents across the country.

The results show that more than half respondents recognize socially responsible activities, value them and believe that they would create a positive image of the bank and strengthen the corporate brand. The significant percentage of respondents believe that sponsorships and donations, volunteering, environmental protection as socially responsible activities are a decisive factor that gives a competitive advantage in choosing a bank. All of these shows that banks in their marketing activity should emphasize and affirm as a trend investing in corporate social responsibility.

**Keywords:** Corporate Social Responsibility (CSR), Banks, North Macedonia

### 1. INTRODUCTION

Corporate social responsibility includes a commitment for contribution towards economic, environmental and social sustainability of the community through permanent interaction of the involved parties, active participation in the communities that are under the influence of the banks and transparent communication with the public on the banks' policies and results achieved in the economic, environmental and social sphere. CSR is being understood as a contemporary concept which means taking care not only for the companies' profit, but for the social benefit from the activities as well. (Komercijalna Banka AD Skopje, 2022)

In this past period, the banks in our country have shown a trend of focusing on public relations, publicity, sponsorships and donations, and a special emphasis is placed on corporate social responsibility.

### RESEARCH AND RESEARCH METHODOLOGY

While preparing this paper, I used selective domestic and foreign literature in the field of corporate social responsibility, marketing, marketing management and strategic marketing management. A significant part of the data was taken from the available sources of information from specialized newspapers, magazines, publications, websites, annual reports of banks.



Apart from the secondary data, primary data obtained through the marketing research conducted on-line with a survey of existing clients and potential clients of banks in the Republic of Northern Macedonia were used.

## **2. CHALLENGES IN THE MARKETING STRATEGIES OF BANKS**

In their daily operations, banks are constantly faced with new needs, desires and requirements coming from their customers. In order to remain competitive in the market, banks must be up to date with all the news in banking and try to meet the requirements and desires of the customers. This paper explains in more details some of the challenges that banks face in today's operating conditions such as: marketing of banking services and corporate social responsibility.

### **2.1 Marketing of banking services**

The beginnings of the application of marketing in the banking sector are observed in the late 50s of the last century. Previously, some banks systematically developed marketing in the bank, while others practiced the application of traditional financial principles. At that time, banks only met the needs for services. In the late 1950s, the goal of banks was to encourage citizens to save more by advertising and promoting bank services. In those conditions, bankers faced difficulties in retaining newly acquired savers. Due to their retention, the bankers over time began to be more polite and to greet their customers with a smile. In this way, the banks as dominant service institutions grew into more pleasant places to do financial work instead of the former bank buildings that looked like castles and the counter workers were hidden from the public. These changes were the right activities and the right way to introduce marketing in banks. The deregulation of the banking market, especially in the industrialized countries, enabled the competitive battle to take place not only between the banks, but the banks also gained new competitors in the form of the so-called non-banking institutions. In such circumstances, the marketing concept becomes the basic pillar of the new business orientation and activity of all entities in the financial sphere. (Ristevska-Jovanovska S., 2012)

The marketing orientation of the banks implies continuous activity of the marketing managers in creating effective promotion of the banking services, in accordance with the goals and funds of the bank. As the funds of the banks are limited, they must allocate the funds to the individual instruments of the marketing mix with which they will reach the target customers and will achieve the promotional goals of the bank.

Acceptance of the marketing concept in the operation of the bank shows that the main goal of the bank will be to attract new and retain existing customers. Attraction takes place through the delivery of superior value of the service, and retention through the creation of customer satisfaction. The marketing of banking services implies adaptation and expansion of the classic concept of marketing mix, ie the 4P model is expanded by adding new elements characteristic for the service sector, ie service environment, process, people and productivity and quality, ie the 8P model. (Ilieska , K. Risteska, A., 2014).

### **2.2. Corporate social responsibility**

Social responsibility is usually seen in the context of external responsibility towards the environment and internal accountability to the members of the organization. Internal dimension of social responsibility involves taking care of the employees' health and safety at work, beyond the limits imposed by law. It includes respect for individual differences and problems that the members of the collective are facing, mutual respect and understanding, promoting humanity and concern for people, which is not limited to the working hours but also includes an attempt to achieve a balance between work, family and leisure time. An extremely important dimension of internal responsibility relates to equal opportunities for training and learning, which should encourage development and career advancement, as well as the possibility of promoting the potential of each individual. This should enable the establishment of a just wage system based on the assessment of individual effects and contributions (Stojanović-Aleksic, & Domanović, 2012).

Corporate Social Responsibility is a concept in which companies care about society and the environment in their operations in stakeholder relations on a voluntary basis. Significant orientation of companies towards Corporate Social Responsibility has been found since the middle of the twentieth century when there is a growing economic interest in society. To determine the meaning of socially responsible work, there are many definitions and the meaning has changed throughout history under the pressure of numerous changes that have followed the development of society.

The term social responsibility for different people has different meanings but most of them agree that social responsibility includes obligations to take measures for protection of social welfare as a goal of the company's interests. This means that the manager must strive to achieve both organizational and of social goals. (Certo, 2008)

By equating the progress of society as a whole with its own progress, banks are committed to acting in support of higher social goals and well-being, as well as to their active contribution to their achievement. This attitude implies an approach to work that goes beyond the traditional notions of caring for the core business and legal obligations and is aimed at identifying the groups that are affected and influencing their decisions (stakeholders), finding areas of common interest, anticipating change and appropriate action.

In recent years, social responsibility has become an imperative of the business policies of banks in the Republic of Northern Macedonia. Every year the number of banks is growing and they are constantly upgrading themselves with new projects and activities, meaning to be recognized and accepted in the society as responsible business entities.

### 3. RESEARCH FOR THE APPLICATION AND IMPACT OF CORPORATE SOCIAL RESPONSIBILITY IN THE BANKING SECTOR IN THE REPUBLIC OF NORTHERN MACEDONIA IN ORDER TO IMPROVE THE IMAGE OF BANKS AND CREATE LOYAL CUSTOMERS

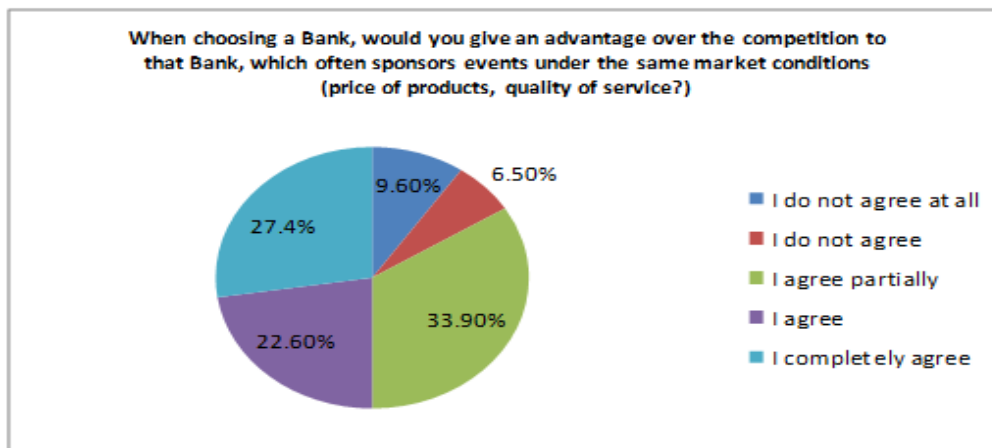
The survey through which I received primary data was conducted with an online survey, by creating a questionnaire to investigate the opinion of customers on corporate social responsibility of banks in the Republic of Northern Macedonia. The results of the survey are presented below.

The conclusions that will be presented are drawn from the results of the research conducted through a survey questionnaire, answered by a sample of 500 respondents.

#### 3.1 Analysis and interpretation of research results

Regarding the impact of sponsorship on creating a positive image for the bank, we note that 82.5% agree or fully agree, while about 50% of respondents said they agree / fully agree that they would give advantage to the competition when choosing bank, to the bank that often sponsors events / activities.

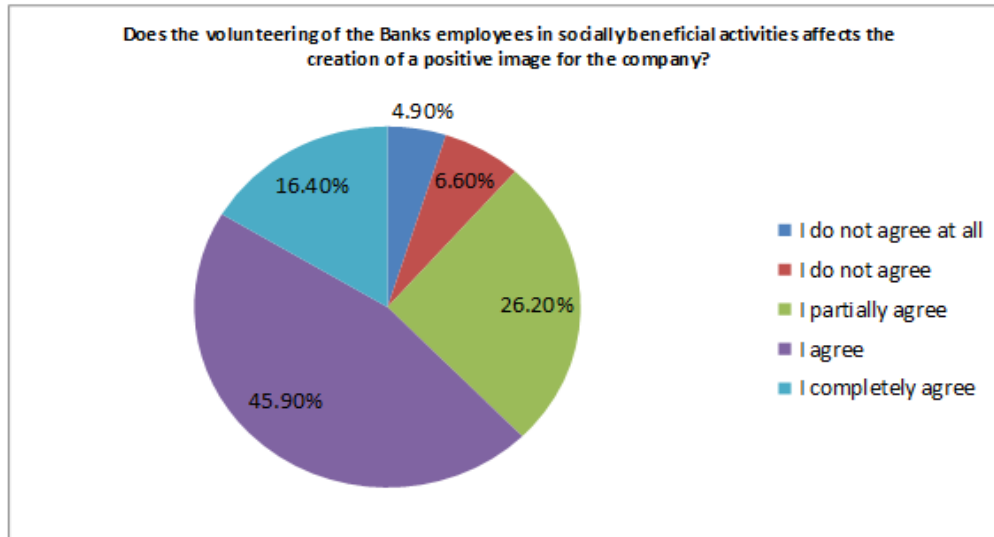
Graph 1: The impact of sponsorships on creation advantage over the competition



Source: author's own research

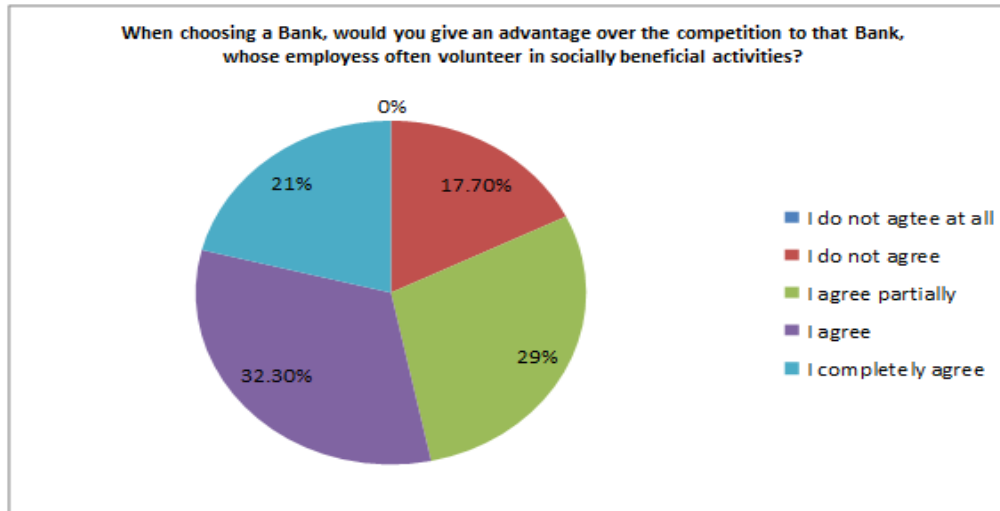
Significant 62.9% of the respondents agree / fully agree that the volunteering of bank employees affects the creation of a positive image of the bank, while 53.9% of them would give an advantage over the competition to the bank whose employees volunteer in socially responsible activities.

Graph 2: The impact of volunteering on creation of a positive image for the company



Source: author's own research

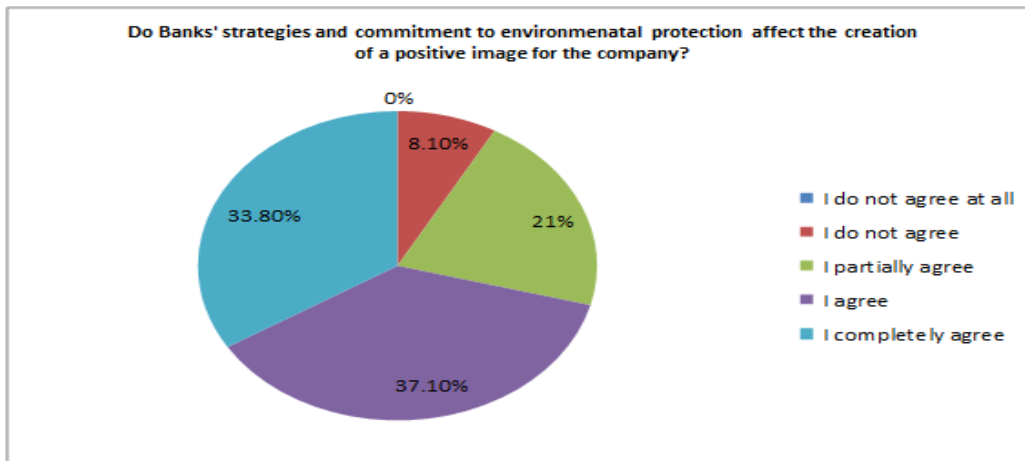
Graph 3: The impact of volunteering of employees on creating advantage over the competition



Source: author's own research

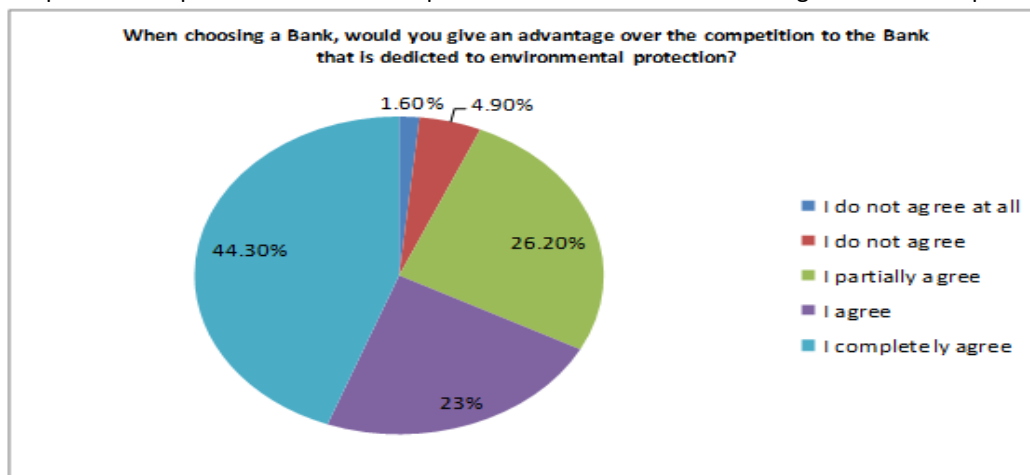
About 71% of respondents agree / fully agree that the strategies of banks aimed at environmental protection affect the creation of a positive image of the bank, while 67.8 of them would give an advantage over the competition to the bank dedicated to environmental protection.

Graph 4: The impact of environmental protection on creation a positive image for the company



Source: author's own research

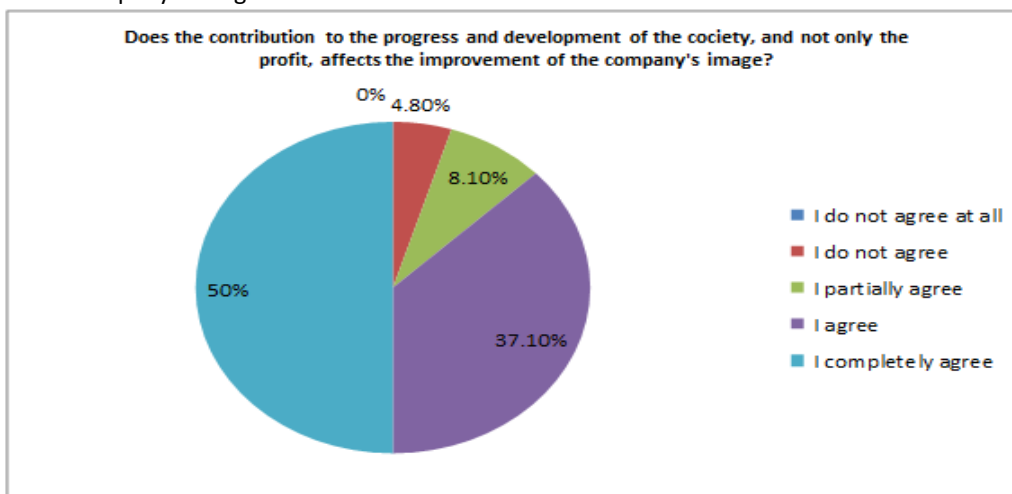
Graph 5: The impact of environmental protection on creation an advantage over the competition



Source: author's own research

Especially important is the fact that 87.3% of respondents believe that the contribution to the progress and development of the society, and not only to the profit, affects the improvement of the bank's image.

Graph 6: The impact of contribution of progress and development of the society over the improvement of the company's image



Source: author's own research

#### 4. CONCLUSION

Analyzing the activities of most of the banks in the Republic of Northern Macedonia in terms of corporate social responsibility and the results of the conducted research, certain guidelines and recommendations can be given, mainly regarding the future activities in the field of corporate social responsibility.

Some of the banks in the Republic of Northern Macedonia can boast of corporate socially responsible management, but they should work in terms of promoting the socially responsible activities that they undertake. Banks' activities such as sponsorships and donations, volunteering, environmental protection, support and contribution in various areas of health, sports, art, social / social events, media, speak for themselves about socially responsible banks that work to improve of quality and life in society.

The conclusion is that customers recognize them, value socially responsible activities, believe that they would create a positive image of the bank and strengthen the corporate brand. The significant percentage of respondents who believe that sponsorships and donations, volunteering, environmental protection as socially responsible activities are a decisive factor that gives a competitive advantage in choosing a bank, shows that banks in their marketing activity should emphasize, to affirm it as a trend investing in corporate social responsibility. Demonstrating corporate social responsibility, commitment to acting in support of higher social goals and well-being, they will be able to gain new customers, create loyal customers, create positive feelings for their company and improve their image.

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## Educational Leaderships And Marketing

Eleftheria PALLA<sup>1</sup>

<sup>1</sup> PhD Candidate, University of West Macedonia, Department of Management sciences and technology  
Koila Kozanis, Greece, ritsapal12@yahoo.gr

**Abstract:** The paper seeks to expand the understanding of the role of the educational leaderships, which is crucial and essential in a school environment nowadays in order to succeed in the students' learning, in the school's improvement and its self-image. And although school marketing brought up quite a few dilemmas for few researchers, most of them believe that school marketing is necessary for schools in order to compete other schools and to present a good image of the school not only to the students but to their parents and the stakeholders as well. After a short theoretical presentation of what marketing is in general, educational marketing will be presented theoretically as well. There will be presented the aims and the principles of educational marketing, which influence the way that the educational leaderships behave and act in the school environment towards the children' needs and the rest staff. Moreover, it will be explained the substantial role of a leadership and the different kind of strategies that an educational leadership can follow together with a marketing plan, which will be in short analyzed. It will also be reported the role of the rest staff in the success of a school and their collaboration with the leaderships.

Keywords: marketing, educational marketing, educational leadership

### 1. INTRODUCTION

As the educational environment becomes more complex and the demands on schools increase, radical thinking is absolutely necessary. A new approach to school planning is regarded necessary as well as the presence of effective educational leaderships. The continuous improvement in the quality of teaching, of pupil improvement and of effective marketing at schools is now than ever so important. And for these reasons, educational leaderships have to play an important role in schools in order to make schools more effective and successful.

### 2. MARKETING

Marketing is connected with the identification and the meeting of human and social needs (Kotler, Wong, Saunders & Armstrong, 2005). But there is a distinction between a definition of marketing, between social and managerial definition. And as far as we are concerned, marketing from a social aspect has to do with the process by which people obtain what they want, while they exchange not only products but services of values with other people (Harvey & Busher, 1996; Kotler & Keller, 2012).

According to Kotler and Keller (2012, p.3) good marketing is no accident, but the result of an excellent and methodical planning, which is based on the executive use of tools and techniques. Marketing is also a holistic management process, which aims at improving effectiveness. And this can be carried out, if the needs of the clients are satisfied and not just mere selling of products (Foskett, 2002).

#### 2.1. Educational marketing

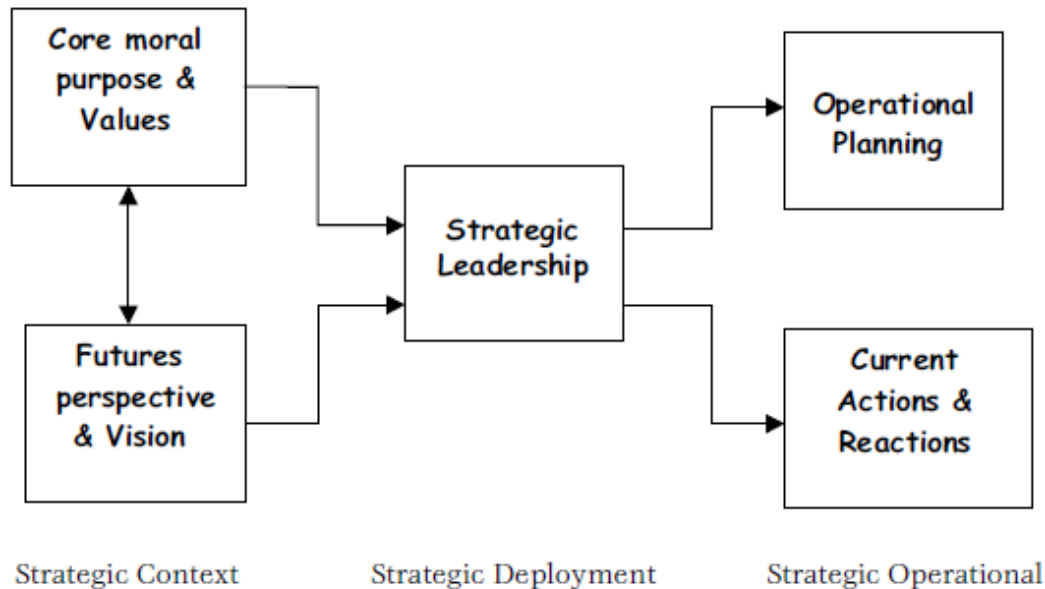
Educational marketing is regarded a holistic management process, which aims at the effectiveness improvement through the satisfaction of parents' needs (Foskett, 2002). It's a philosophy which is based on the excellent school's relationship with its community (Harvey & Busher, 1996) and applies the principles of marketing as well. Educational marketing requires the identification of student and community needs and an obligation to meet them (Davis & Ellison, 1991).

### 3. EDUCATIONAL LEADERSHIPS

In developed countries a major characteristic of principalship is a participative and democratic leadership style, which has a profound effect on school operation (Oplatka, 2004). School leaderships should stand back from traditional thinking methods and follow national trends in education (Davies & Ellison, 1999).

Strategic approaches are needed in order for the educational leaderships to achieve short-term development plans. Marketing plans are necessary as well, so as to fulfill each aim by following the right steps. The medium-term sense of direction is defined by strategy (Daves & Daves, 2006). Figure 1 illustrates the position of strategy, which is between the visioning process of a school leader in order to define a moral future purpose and a daily school operation.

Figure 1: The position of strategy



Source: (NCSL, 2005)

School leadership is a site of important academic struggle, who aids the managerial colonisation of education. A school leadership's role is connected with primarily problem-solving texts and their prevention. According also to Thrupp and Willmott (2003), school leaders should get involved as little as possible in the school leaders training courses, because these courses divide managerialism.

In addition, school leaders are given a mission and a unique vision for the education of the children. They should focus on the pedagogy, the classroom management and the curriculum that their school will use to fulfill their mission. And in order to reach this goal every year they have to collaborate with the students, their parents and mainly with the rest staff of the school, the teachers. The strategic positions of principals in schools are helpful to influence teachers' extrinsic and intrinsic sources of motivation and job satisfaction (Hirschfeld, 2000).

Yukl (2013) summarizing Bradford's findings describes six group-centered leader behaviors. The leader:

- 1) views the group as a collective entity, while he/she listens attentively and observes nonverbal cues to be aware of member needs, feelings, interactions, and conflict.
- 2) managers.
- 3) is regarded as a consultant, a teacher and a facilitator, not as a director or models appropriate leadership behaviors and encourages members to learn to perform these behaviors themselves.
- 4) establishes a climate of approval for expression of feelings as well as ideas.
- 5) encourages the group to deal with any maintenance needs and process problems, within the context of the regular group meetings.
- 6) relinquishes control to the group and allows the group to make the final choice in all appropriate kinds of decisions.

Teachers from the other hand, in order to contribute to the good function of the school have to keep away any negative feelings towards the headteacher (Khetarpal & Srivastava, 2000). Their contribution to the school function is undoubtedly important and their opinions and ideas are regarded important too.

That's why an excellent collaboration with the rest teachers and with the principals regarding a marketing plan contributes to the successfulness of it. Because, according to Kotler and Keller (2012, p.36), marketing plan is the central tool for the school leaders to direct the marketing effort and this can be implemented with the willingness and the help of the rest staff of the school.

Teachers have valuable knowledge and insights so as to contribute to school decisions. That's why principals must trust teachers' opinions and different ideas. And if there is a good climate and a collaboration between them, then this good image has a reflection to the parents' opinion and leads to an excellent collaboration of all as well.

#### 4. CONCLUSION

School leaders play an important role so as to give priority to enhance the ability of the school staff. Moreover, their visions and their goals about the improvement and the success of their schools are shared and analyzed to the teachers and they should be recognized by all. And to their tend to develop strategic skills and set directions, principles of marketing and educational marketing are regarded beneficial, in order to construct a marketing plan, to share it to the school team and then to follow it step by step aiming at the school's evolution.

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## Entrepreneurship in A Globalised Environment Evaluation of Intesa Sanpaolo Bank In Terms Of Entrepreneurial Actions, Behaviors And Innovativeness

Elton GUBERAJ<sup>1</sup>

Arben KAMBO<sup>2</sup>

<sup>1</sup>Agricultural University of Tirana eguberaj@ubt.edu.al

<sup>2</sup>Agricultural University of Tirana akambo@ubt.edu.al

**Abstract:** This paper intends to evaluate to what extent Intesa Sanpaolo Bank is under the influence of entrepreneurial actions, behaviors and innovativeness. Throughout this paper are evidenced the degree of innovation in internal and external environment as well as how innovations and entrepreneurship is achieved in a financial institution which is member of a multi national corporation, operating in a market under development and transition. In addition, this paper shall assess the impact of the issues herein above indicated on business performance in order to achieve a competitive advantage. The findings highlight that for Intesa Sanpaolo Bank, innovation is not an active strategy, but a defensive one. This implies that Intesa Sanpaolo Bank Albania does not innovates products or processes on its own but it rather adopts the products that are developed elsewhere. In this regard the new products are presented mainly due to the acquisition of the bank from a multinational company, forced by market conditions and evolution of consumer wants and desires, regulatory system etc.

**Key words:** Entrepreneurship, Creativity, Innovation, Financial institutions, Competitiveness,

### 1. Introduction

The purpose of this paper is to evaluate and asses the entrepreneurial actions and innovation in the external and internal climate of the financial sector with the object of recommending improvements to the chosen strategies, structures, processes and procedures.

It is generally accepted that banks need to enhance the importance of the entrepreneurship and to take advantages from innovative strategies in the competitive environment of the financial service in order to increase the revenues. In such regard, through this paper is analyzed the case study of Intesa Sanpaolo Bank, a bank that operates in one of the most developed sectors of the Albanian economy.

In the first part, through secondary data in terms of literature review it is presented a diverse understanding of the topic. In addition, the paper shall present different opinions found in several studies that the companies with appropriate entrepreneurship behavior, creativity and innovativeness can survive in a changing environment and can secure a successful business continuation. Further, organization creativity and innovation presents an immediate source of competitive advantages.

In the following section general information regarding Intesa Sanpaolo Bank Albania and its mother company's activity is provided. In order to have a better understanding, information regarding the financial sector as well as for the forces that drive commercial banks to innovation strategies is provided. Thereafter the case of Intesa Sanpaolo Bank Albania is analyzed in terms of entrepreneurship actions, creativity and innovativeness in two different periods prior and after the acquisition from an international successful banking group of Intesa Sanpaolo of ABA bank.

The paper concludes by summarizing some of the main outcomes, stressing that currently the entrepreneurship behavior and creativity in Intesa Sanpaolo Bank Albania are somehow inexistent, while innovativeness is a defensive strategy. In this regard, few recommendations are provided, that could change and improve the current situation.

### 2. Literature review

The Albanian banking sector has witnessed continual changes over the last two decades and following the 50 years of communist dictatorship when this sector was monopolized by the Albanian state. Currently the banking system dominates the Albanian financial sector, with 12 banks, 534 branches and 6384 employees, and assets as in the end of 2020 amounting 93.4% of GDP.

According to the Supervisory Annual Report of Bank of Albanian (2020), the volume of economic activity shrank by 3.3%. The economic downturn reflected the simultaneous contraction of almost all components of aggregate demand and all sectors of the economy, but the crisis hit private consumption and trade flows more specifically.

The banking activity shrank considerably as an immediate effect of the global financial crisis impacting massive deposit withdrawals, due to loss of public confidence, by the information coming from international markets. In the course of this difficult economical situation, taking into consideration the harsh competition, as well as gaining the customer confidence, any bank in banking system must change in order to survive.

Neely et al (1995) stress that the primary goal for every organization is to perform better than its competitors with a superior efficiency and effectiveness and therefore any organization should be creative and innovative. Comparing these two factors that seem quite different from each other, it is provided that creativity is the thinking process that generates ideas (Majaro, 1992) and according to Pinchot (1985) entrepreneurs are responsible for creativity in organization and they may be the inventors or creators, however always they are dreamers who transform the idea into profitability. On the other hand, innovation, different from creativity, refers to the adoption of new ideas, focused on the practical application of ideas (Forrester, 2000). But anyhow they stand close to each other in order to increase efficiency and effectiveness of the business.

Eriksen (2008) state that those companies with agility and quickly respond to change can survive and in the middle of uncertain and demanding political and economical environments can grow. Mathew et al (2006) supports in co-study that the survival and expansions of enterprises depend basically on their ability to encourage innovation within their organizations Sheshadri and Arabinda (2006) go further by stating that companies need new ideas to grow profitability and survive and it has to find suitable ways to hit the entrepreneurial potential inherent in its employees.

According to Frame and White (2004), financial innovations can be grouped as new products, services and new “production” processes or new organizational forms. Based on the approaches of Coriat (2001), Wengel et al (2000), Whittington et al (1999), organizational innovation can be differentiated in: structural organizational innovation (affect the changing of hierarchical level, divisional structure) and procedural organizational innovations.

According to a number of studies conducted on the impacts on organizational innovation to business performance, two main result are pointed out:

- 1) Organizational innovation acts as prerequisites and facilitators of an efficient use of technical product and process innovation as their success depends on the degree to which the organizational structure and processes respond to the use of these new technologies [Caroli and Van Reenen (2001); Damanpour et al (1989); Greenan (2003); Piva and Vivarelli (2003)]; and
- 2) organization innovation is an immediate source of competitive advantages since they have an important impact on business performance in regard to productivity lead time, quality and flexibility [Womack et al (1990); Hammer ad Champy (1993); Goldman et al (1995)].

As regards to the impact of innovation many other researches such as Antoncic and Hisrich, (2003), (2004); Kemelgor, (2002); Batten, (2002); Goosen, et al., (2002); Thomson and McNamara, (2001); Kuratko, et al., (2001); Zahra and Garvis, (2000); Barrett, et al., (2000) emphasize the benefits of wealth creation, productivity, profitability, and growth.

Lee et al (2000) stress that stable economic and technological conditions, lead companies to perform effectively but factors such as globalization, the restructuring of industries and the impact of information technology has created a market place which requires organizations to learn to operate in ways quite outside their previous experience. According to Kandampully, (2002), the service sector is oriented more and more to the customer and the service quality innovation is achieved when any think on behalf of customer for an outcome that surpasses customers’ expectation of superior value, constituting constitutes a self-created challenge.

### 3. Company Analysis and Evaluation

Intesa Sanpaolo Bank Albania was established in 2008 from the merger of two very important banks in the country, Italo-Albanian Bank - BIA (founded in 1993) and American Bank of Albania - ABA (Established in 1998), both of which were acquired by Intesa Sanpaolo Group.

ABA - The American Bank of Albania (ABA) was established in September 1998 by the Albanian-American Enterprise Fund (FSHAN), a private investment fund established by the United States Government under the 1989 SEED Act to support Albania on the path to its towards a market economy. According to the figures of December 30, 2007, ABA resulted in a total of deposits of ALL 93.4 billion, total loans over ALL 39.7 billion, and total assets over ALL 106.4 billion. On December 20 and 21, 2006, FSHAN, in its role as the sole shareholder of ABA, signed the Share Sale Agreement as well as the Shareholder Agreement for the sale of 80% of the shares, according to which FSHAN holds control of 20% of shares until 2009. The agreement was finalized on June 29, 2007, when ABA officially became part of the Intesa Sanpaolo Group.

Intesa Sanpaolo Bank Albania is a leading bank in the country that offers to companies, institutional and private clients with high incomes as well as individual clients and small and medium businesses through reasonable solutions through excellent services and products. The Bank offers its services through a network of 30 branches in different cities of the country and continues to expand strategically following closely the economic development of Albania.

Intesa Sanpaolo Bank Albania general objective is to offer a full range of diversified products with the maximum of accuracy and minimum of time, in order to create its public image as a sustainable and qualitative financial institution. In this framework, Intesa Sanpaolo Bank Albania's portfolio is comprised of a considerable range of products and services such as:

1) day to day banking services: current accounts in local/foreign currency, deposits, transfers, credit and debit cards, mobile banking;

2) Financial products: corporate financing, real estate loans, consumer loans, student loans and revolving loans.

Vision: Support individuals/enterprises to develop in fastest and best way;

Mission: Serving to all categories of customer through qualified services;

Values: Professionalism, team spirit, and innovation;

### 4. Forces that cause innovation

During the last five years the Albanian banking system introduced slight innovations, considering that the new products that are presented did not provided impressive changes compared with the past tradition. This comes as a result of the financial sector its self that consider innovation as an incremental evolution, where many banks add slight changes or new services to the existing products.

Taking into consideration that the major part of the Albanian banks is member of important worldwide financial groups, the major part of the new products presented in the local market were developed outside Albanian market, mainly in the countries where the mother company resides. Therefore, it is observed that the innovation strategies do not commit the Albanian banks much to innovation than to adapt the changes developed elsewhere, forced by the parent company.

Based on the foregoing practice it seems that the services and products delivered to the market are quite similar and the competition among banks is based only in the quality offered.

Innovation may be caused by several reasons, driven by internal or external forces. The external forces that promote innovation are closely related to political, legal (regulatory system) and macroeconomic environment.

- Macroeconomic environment. A stable macroeconomic environment is necessary and essential to develop innovation. The declines of both interest rates and inflation have created a much more attractive environment for investment.

- Deregulation/Regulation. Regulatory framework is very important in providing benefits for both financial sector and customers it self. The regulatory framework enhances transparency and customers' knowledge on banking products and services. By doing so a good and strong regulatory framework allows to the consumer the choice to drive good market outcomes and eliminate abuses
- Political environment. A stable political environment gives confidence in business development, by increasing the investments and therefore the need for innovation

On the other hand, innovation in the financial sector is generated even by the microeconomic environment such as: customers demand, fierce competitive business environment; technology and operating system, human resource, mergers and acquisitions.

- Customer demand. As regards to such topic is very important to mention that as far as the customers demand is increased for receiving a variety of financial products and services the banks in order to respond to such demand and meet customers' needs have to persists to innovate their products;
- Competition is an essential factor that leads firms in any industry to change and to be innovative in order to survive.
- Technology and operating system are the main factors that affect directly the commercial banks innovation. Autonomy in operation, responsibility for own profits and losses, lead not only to innovation as well to low cost delivery system. Ownership structure adjusts the innovation through affecting the aim constraint and budget constraint of commercial banks.
- The quality and the reserves of human resource are effective carrier of innovation. Enterprise culture is the soft restriction for innovation. Usually, if enterprise has more risk bearing capacity, the more intense and the greater innovation it can take.
- Mergers and acquisitions are important forces that lead any bank to product diversity and technological and managerial infrastructures.

## 5. Intesa Sanpaolo Bank Case Study

The Albanian banking sector can still be developed and consolidate although the progress during the last decade has been substantial. In this regard, to achieve target growth and to sustain competition, during the last two years Intesa Sanpaolo Bank Albania has been introducing in the market new products as a mere reaction to new products introduced by other players and of course forced by the mother company. Therefore, Intesa Sanpaolo Bank Albania is not an engine of innovation but a passive player that does not innovate on its own but adapts the innovations that are developed elsewhere. Therefore, innovation is not an active strategy, but rather a defensive one.

In 2008 the bank commenced its activity and this period is assessed as the most difficult taking into consideration that finally the entrepreneurial thinking, the initial idea is transformed into a vision and the company chance for success is associated to a reliable foundation.

The building of this financial institution is positively induced by the improved economic environment in Albania during a 12 years' period that has created a favorable background for developing a satisfactory business activity. During this period the Bank's presence has expanded throughout Albania, going to a total of 31 branches, 536 employees and served thirty thousand customers on a daily basis. The Bank's operations cover the full spectrum of the standard banking service.

Following the acquisition of ABA bank from an international group such as Intesa Sanpaolo Bank, many changes took place. The first year was a quite year where few changes occurred; mostly the emphasis was focused on developing trainings to increase employee's efficiency in work. During the year 2009 and the first six months of 2010 are presented several new products and services while organizational structure changes took place. These new products were necessary developed considering groups standing tradition, Albanian market evolution, the need to reduce costs, better satisfy customers' needs and increase revenues. The most important among the aforementioned reasons that intensified the need for reviewing and developing new products was the membership into an international group. At this instant the

development strategy of the Bank for the years to come is to further consolidate the market position by introducing new products in line with modern European standards.

Taking into consideration the fierce competition in the banking industry as well as to respond to the challenging of service reduction cost, in the last quarter of 2010, Intesa Sanpaolo Bank Albania invest to a great extent in a new information technology. As White (1998) states the development in information technology is “the most fundamental force for change in the financial sector” that moreover alter the cost structure, output mix and distribution channels of banks. Therefore, in September 2010, Intesa Sanpaolo Bank Albania commenced the replacement of the existing information system with an advanced one. The adoption of the new system is an IT solution recommended by BHFMB to its subsidiaries that provides a significant competitive advantage to the bank by increasing the volume of transactions, generate greater efficiencies, better customer service and higher revenues as well as meeting the group’s standards. In October 20, 2011 the new system went alive with a fully success.

Intesa Sanpaolo Bank Albania has a strong presence in the domestic market, conducting its business activity through 31 branches located all over Albania. The expansion of the network as well as the economic and financial instability experienced during her economic life, revealed the necessity of reorganization, restructuring the businesses and the management team, to better meet the client’s needs as well as to provide services that increase the added value.

Lending activity is the main activity of the bank. The acceleration of the lending process approval by fully automate the processes of loan approval; by substituting paper work and labor intensive schemes with automated processes is one of the project undertaken. Additional products launched during the last years are: internet banking, money gram project, direct debit, foreign exchange swap and forward, life and property insurance project, Mpay project that allow phone user to pay bills and buy small price items through the mobile phone.

All these new products and services presented into the market was in accordance with Intesa Sanpaolo Bank group’s innovation strategy, initiated by the group and just implemented in the domestic market with the support of a professional staff. All the products presented in the market are already presented by other banks especially by big groups such as Raiffesen bank, BKT etc. The success of such products and services was on the high quality that added value on the existing market products.

To reach a competitive advantage the bank reviewed and revised the existing terms and conditions.

Even though the acquisition took place, the innovative strategy is dictated by the mother company and employees are not encouraged to initiate any new ideas, but everyone is performing their task and duties, taking their salaries in the end of the month, holding in this way low entrepreneurship behaviors. Although the bank consider innovation as very important for success, the lack on creativity and information sharing on organizational structures as well the centralized decision making process makes innovation a passive strategy.

## **6. Conclusions, Findings, and Recommendations**

The acquisition of ABA by an international group such as Intesa Sanpaolo Bank was followed by different changes that impacted positively the organization performance. Among the most important changes are the innovativeness presented during the last year as group’s standing tradition as well as to achieve a competitive advantage. Innovation is not an active strategy, but a defensive one. This implies that Intesa Sanpaolo Bank Albania does not innovate products or processes on its own but adopt the products that are developed elsewhere. Creativity is inexistent, while there does not exist any proactive entrepreneurship behavior. Therefore, below are proposed a number of recommendations that will encourage creativity and innovativeness, necessary for business continuity.

First of all, the bank management team should focus on creating a research and development department that will drive the innovation process and will be fully responsible for planning and management of this process. In this way things would be more professional giving the necessary time to marketing and IT department to take care of their duties and responsibilities

Secondly the management team should focus mainly on its network taking into consideration that the exchange of information among the bank and its customer is usually achieved through the branch network. Therefore, the direct contact with the clients through effective network can generate a lot of new ideas from the existing resourcing giving to bank's employee to initiate entrepreneurship behaviors, new ideas and innovativeness.

Thirdly, the bank shall encourage a proactive behavior to all its employees by giving different incentives schemes, increasing motivation and adding value to their personal growth in order to change employee's behavior and to retain talents. This can be achieved even by decentralizing the decision making process contributing on bank development.

Fourthly, the management team should establish a new cultural internal environment that promote these behaviors, by including targets for innovation in their management meetings and the ways this will affect the overall and personal outcomes. For this purpose, Johnson et al. (2001) gives an emphasis of the importance of communication and participation of individuals in the innovation process. More specifically, improved communication quality results in a broader awareness of the implications of an innovation, and as a result, facilitates further involvement by employees.

Fifthly, Intesa Sanpaolo Bank Albania managers should create a positive working environment. Wheatley (1999) stress that in a positive environment, where the relationships among the employees are healthy, and they work and collaborate with each other in the best way, the positive energy that flows through the organization results in increases productivity, personal satisfaction and creativity.

Last but not least, employee rotation process will increase the probability to develop skills and to exchange knowledge, encouraging in this way creativity.

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## The Impact of Covid 19 Pandemic in The Albanian Banking Sector Performance

Elton GUBERAJ<sup>1</sup>

Skender UKU<sup>2</sup>

<sup>1</sup>Agricultural University of Tirana eguberaj@ubt.edu.al

<sup>2</sup> Agricultural University of Tirana suku@ubt.edu.al

**Abstract:** The Covid 19 pandemic has been the buzzword of the entire globe for the last 2 years. The negative impact it has had at the macroeconomic and microeconomic level has been and continues to be at very high levels. While 2021 was a year of strong economic recovery, that recovery was neither complete nor universal. Unfortunately, the outlook for 2022 already looks worse than the IMF forecast last October. The reason seems to be the newer variant Omicron of Covid 19.

Its most negative manifestations were reflected in the massive reduction of raw materials supply and the distribution chain that resulted in inflation.

The financial system and specifically the commercial banks industry were among the hardest hit, in all aspects, but the Albanian banking system was one of the few that resisted the initial panic of the pandemic and kept open the activity to provide services to individuals and businesses, at a time when a large number of businesses were closed, due to harsh closure measures by governments. Despite the fact that governments and central banks responded quickly, through various financial guarantees and loan repayment moratorium programs, to help citizens, businesses and the economy overcome the difficulties created by the pandemic health emergency, banks faced the situation where COVID-19 ended the "ordinary banking" model, thus becoming a catalyst for a significant change in the financial industry. It is now clear to everyone that the integrated impact of the COVID-19 pandemic challenges, economic and social issues, as well as technological innovation, will profoundly reshape the future of the global banking industry. even in Albania. Although affected, the banking sector is well-capitalized, maintaining satisfactory liquidity levels with low interest rates, accompanied by increased deposits and slightly increased loans.

**Key words:** Covid 19, Albanian Banking System , Liquidity, Economic Model.

### Introduction

Financial systems in the world today have developed at a galloping pace, making their management extremely difficult, but at the same time very profitable. The literature recognizes the fact that financial systems are built on the basis of two important components, such as the financial market and the market banking. The Banking Sector has an important role in the economic development of a country by carrying out four transformations.

1. Transforming credit risk
2. Liquidity risk transformation
3. Transforming interest rate risk
4. Transformation of maturities.

All four of these transformations deeply help the banking sector to have a sustainable development, as well as give this system the necessary credibility to operate in the market.

The global pandemic, Covid-19 stopped the normal flow of life and forced us to create a new normalcy. In addition to trying to protect oneself from infection, the challenges of living in conditions when everything ceased to function increased.

Large-scale social restrictions include the closure of schools and workplaces, restrictions on religious activities as well as restrictions on activities in public places.

The closure of all institutions found unprepared not only individuals but also banking institutions which were facing an unknown situation. The prolongation of the pandemic has caused banks to tighten conditions and be stricter in their lending policies for both businesses and individuals. They also accepted



the moratorium on repayment of loan installments for businesses and individuals who encounter financial difficulties to pay on time.

The Western Balkans region has continued to suffer the effects of the pandemic crisis, but with a more moderate intensity during the third quarter of 2020, following the easing of austerity measures. GDP at the regional level in Q3-2020 shrank by 4.5% in annual terms, compared to the decline of 9.3% in Q2-2020, supported by a revival of investment in some of the countries and a smoother decline in consumption and exports. Balance of payments pressures continued to increase significantly throughout the year, as a result of the significant decline in inflows from tourism and the decline in remittances of some countries. The economic contraction of the countries of the region has continued to be reflected in the deteriorating conditions in the labor market and the decline in employment, albeit at a slower pace. During the third quarter, compared to the previous one. Norms unemployment generally remained. The expansion of fiscal incentives to mitigate the negative effects of the pandemic on the household and business sector, coupled with the general decline in fiscal revenues, have led to further expansion of budget deficit and public debt in all countries of the region. Amid shrinking economic activity, inflationary pressures remained weak during the second half of the year. Montenegro and Kosovo. Under these conditions, monetary policies continued to remain accommodative, in support of economic recovery and lending.

The reaction of banks to businesses has been necessary and immediate, where initially they have tightened lending conditions, reduced the size of the value with which they can give loans, reduced the maximum maturity of loans given to businesses, as well as removed bank fees for lending.

During 2019-2020 the largest decline in lending was reflected in large businesses, while in medium and small businesses there was an increase in lending. At the same time, banks have reported a decline in demand for loans from households and businesses due to the economic uncertainty that has gripped the country.

### **1. Monetary policies undertaken by the Bank of Albania during the covid-19 pandemic.**

Although the Albanian economy has continued to recover during 2021, the Bank of Albania has taken the necessary measures to face the negative effects of the covid-19 pandemic which came immediately after the severe situation created by the 2019 earthquake.

Monetary policy has continued to remain stimulating. This stimulus, conveyed through the historically lower level of the key interest rate of 0.5% and the increase of liquidity injections in the system, has created favorable financing conditions for Albanian businesses and individuals. In particular, lending to the private sector has grown steadily, reflecting both improving demand and easing the supply of bank loans. This loan has stimulated the expansion of consumption and investment, giving encouraging signals for the sustainability of their future recovery.

- **Lowering the interest rate.**

It is a necessary measure to reduce the cost of new borrowing, to reduce the costs of servicing existing debt, and to facilitate the circulation of liquidity in businesses and households.

On March 25, 2020, the Supervisory Board of the Bank of Albania decided to:

- a) Reduce the interest rate from 1% to 0.5%.
- b) Reduce the overnight credit interest rate from 1.9% to 0.9%
- c) To keep the interest rate of 1-day deposit unchanged at the level of 0.1%

These measures continue to this day, being in line with the objective of applying an expansionist monetary policy.

- **Liquidity Injection.**

In strengthening the expansionary monetary policy pursued throughout 2020, the Bank of Albania has changed the form of the auction for weekly liquidity injection, from a limited multi-monetary auction to

a limited price auction. Through this change, space has been created for commercial banks to receive unlimited liquidity from the Bank of Albania at the cost of the key interest rate which is currently 0.5%. In this way, the Bank of Albania aims to avoid the stress of securing liquidity not only in the banking system but in all market operators in order for the whole economy to have sufficient liquidity to function normally. The Bank of Albania has also increased the amount of liquidity injection beyond the 1-week period.

- **Regulatory measures.**

In conditions when there are still difficulties for borrowers and banks, as a result of this situation and in order to resolve the concerns raised by business associations and banks, the supervisory authority based on the experiences of more developed countries approved some changes in the rules for credit risk management, mainly through:

- ✓ Temporary suspension of the implementation of the obligation deriving from the requirements for credit risk management, for the classification and provision of loans for all categories of clients.
- ✓ Temporary suspension of the creation of reserve funds for real estate obtained against the repayment of loans.
- ✓ Apply facilitation rules for restructured loans, according to which banks are given the opportunity to restructure the current credit relations in order to find appropriate solutions depending on the solvency of borrowers without additional cost of provisions and without deterioration of loan status.

## 2. Metodology

In this paper, we examine how the COVID-19 outbreak has affected credit performance in Albania. The hypothesis is that the pandemic has overwhelmed credit delivery by the banking sector. This hypothesis test is important because, during the pandemic, credit growth was negative amid the economic downturn, whereas banking deposits (i.e., third-party funds) increased. The proposed relation between the pandemic and credit performance is motivated by the credit crunch theory proposed by Bernanke & Lown (1991). These authors define a credit crunch as a sudden sharp reduction in the availability of money or credit from banks and other lenders. This situation occurs when there is a shortage of funds in the credit market, making it difficult for borrowers to obtain financing.

This research shows the significant negative effect on the performance of banking credit due to the pandemic, utilizing a quasi-experiment to analyse the impact. Similar impact studies using quasi-experiments have been conducted on corporate performance in the energy industry and on the impact of COVID-19 testing and infection rates for the economy of Brazil, Russia, India, China, and South Africa (Dash et al., 2021).

We employ monthly data for Albania at the national level from 2011 to 2021 and find that the decrease in credit delivery was more significant during the pandemic than during the pre-pandemic period. These results are robust to issues related to the credit crunch phenomenon from the perspective of banking risk. Since March 2020, the intermediary function of the banking sector has been limited, contracting credit growth. The banking sector views the credit crunch as related to higher risks in the real sectors due to the uncertainty during the pandemic period. Bank lending behaviour gravitates toward conservatism and risk aversion, to avoid higher credit risk. Simultaneously, bank deposits have increased, reflecting the cautious motive of depositors not spending money due to uncertain economic conditions.

With these findings, we make two contributions to the literature. First, we examine the impact of the pandemic in terms of credit performance. Second, we propose business matching as an alternative to relaxing regulations to overcome the credit crunch dilemma. The impact of the pandemic on the banking sector involves impact evaluations that are part of a broader agenda of evidence-based policymaking (Gertler et al., 2011). We complement this literature by seeking an alternative route to

overcome the credit crunch phenomenon instead of regulation imposed by the authorities. Our prescriptive model is intended to be used for policy recommendations in the banking sector and by the authorities.

Several studies have revealed the negative effects of the pandemic. For example, systemic risk in the financial industry has significantly increased. In the foreign exchange market, there has been a bubble of increased activity suggesting inefficiency. In the oil market, inefficiency has become more apparent, and news on the COVID-19 pandemic and oil price has influenced oil prices when the number of infections and oil price volatility reached a certain threshold.

## 2.1. Data Analyses

This study uses 10 years of monthly data. We have data on the nominal value of total credit, which is decomposed into credit for working capital, investment, consumption, and small and medium enterprises (SMEs). We also have credit data for selected economic sectors, namely, trading, industry, agriculture, and construction. We gather quarterly GDP data from 2011 to 2020 released in 2011 (which is also the base year) from Statistics in Albania. We annualize the data and then convert to monthly frequency. Monthly credit data were released by the Albania Central Bank.

Difference-in-differences (DID) analysis is one of the most widely applicable methods for impact evaluation. We apply the DID method as part of a quasi-experiment (Bertrand et al., 2002), namely, an experimental approach without experimental controls. Although alternative methods for impact evaluation can be applied, such as a regression discontinuity design and propensity matching (Khandker et al., 2010), the DID as it is commonly used in impact evaluation (Baker, 2000). The DID method requires a treatment group and a control group and a minimum of two observation periods, before and after the treatment. In this case, the treatment group involves credit performance that was affected by the pandemic. Additionally, the control group involves credit performance that was not affected by the COVID-19 pandemic. The data for the two groups data are derived from monthly banking reports.

Our GDP and credit data are similar in levels in both periods, before and during the pandemic.

DID estimation, for example, in the two-period case, simply estimates the linear regression and the model, with the following specification:

$$Y_t = \alpha + \beta * \text{Treated}_t + \gamma * \text{Post}_t + \delta * (\text{Treated} * \text{Post})_t + \epsilon_t$$

In the regression, the dependent variable  $Y_t$  is the level of the economy (GDP); the independent variable  $X_t\_Credit$  represents total credit;  $Dt\_COVID$  is a dummy variable that takes the value of one for the period from January to December 2020:12 (the COVID-19 pandemic period), and zero otherwise; and  $Dt\_COVIDXt\_Credit$  is the interaction variable. The model has the following specifications:

The model has the following specifications:

$$Y_t = \alpha + \beta X_t\_Credit + \gamma Dt\_Covid + \delta Dt\_Covid X_t\_Credit$$

$$Y_{2011-2019} = \alpha + \beta X_t\_credit$$

$$Y_{2020} = (\alpha + \gamma) + (\beta + \delta) X_t\_Credit$$

The estimation shows that the interaction variable  $Dt\_COVIDXt\_Credit$  has a coefficient of 18.88 at the 5% significance level. The 2020 regression coefficient (gradient) of  $X_t\_Credit$  is 21.55, higher than the 2.36 from the pre-COVID-19 period. This result reveals that credit performance underwent a significant change during the pandemic period in 2020 from the pre-COVID-19 period (2011–2019).

## 2.2. Credit Decomposition

In terms of credit decomposition, changes in the performance of working capital credit (45% of total credit) and investment credit (30% of the total credit) between the pre-COVID-19 and COVID-19 periods

are statistically significant. Meanwhile, it is statistically insignificant for consumer credit and SME credit. However, the coefficients (gradients) of the four other types of credits are higher in the COVID-19 period than previously. Concurrently, non-performing loans (NPLs) increased for working capital credit and investment credit during the pandemic, but declined at the end of the period. Consumer credit NPLs eventually began to decrease in the middle of 2020. This pattern could be due to the credit restructuring policy.

Table 1. Estimation of Credit Decomposition

Dependent Variable: Yt	Baseline 2011:01 - 2020:12	Panel A: Pre-COVID-19 period: 2011:01 - 2019:12	Panel B: COVID-19 period: 2020:01 - 2020:12
<b>Independent Variables:</b>	<b>Coefficients (SD)</b>	<b>Coefficients (SD)</b>	<b>Coefficients (SD)</b>
Xt_Credit1	3.7612 *(0.0977)	3.3509 *(0.0766)	18.4306 *(0.0998)
Xt_Credit2	5.2726 *(0.1582)	7.2206 *(0.1217)	32.1362 *(0.1596)
Xt_Credit3	6.4114 *(0.1382)	7.6272 *(0.0575)	16.1924(0.1511)
Xt_Credit 4	11.5931 *(0.2221)	11.6232 *(0.0984)	11.2538(0.2392)
Constant1	2672.109 *(185.7102)	1401.271 *(139.7457)	-31238.199 *(182.1004)
Constant2	4612.781 *(162.0112)	4762.126 *(117.1909)	-35603.1295 *(153.5992)
Constant3	1187.498 *(164.3405)	1531.713 *(65.184)	-12721.7012 *(171.4535)
Constant4	1052.619 *(181.5038)	1152.023 *(76.7945)	-712.2614 *(186.603)
N	100	76	18

Notes: This table reports estimating result (coefficient) for independent variables selected from model specification. The asterisk sign (\*) means that the variable has statistically passed at 5% significance level. Coefficients in Panel B consist of Dt\_COVIDXt\_Credit and Dt\_COVID of each credit decomposition (1. Working Capital, 2. Investment, 3. Consumers, 4. SMEs), respectively. Baseline column shows the regression results with total samples.

### 2.3. Credit by Economic Sector

Credit for agriculture and credit for construction have negative coefficients during the COVID-19 period. This result indicates that, even during the economic downturn, the two sectors still achieved positive performance. This can explain how the food harvesting and infrastructure development continued to function during the COVID-19 pandemic.

The coefficient for the trade sector is statistically insignificant, possibly because of the rise of the digital economy. The resiliency of the trade sector could be related to online trading activities

Several policies were instituted by the government and the authorities to handle the credit crunch.

Generally, banking performance since December 2020 remained economically sound, according to several indicators, such as the capital adequacy ratio (23.81%), liquid assets to third-party funds (31.67%), return on assets (1.59%), net interest margin (4.32%), and gross NPLs (3.06%). To keep their profit, rather than disburse credit, banks placed more of their large third-party funds into government bonds.

The collaboration policies among the authorities on the demand side aim to increase public purchasing power for real sector activities. Simultaneously, policies on the supply side support bank liquidity and decrease credit risk to improve banking's intermediary function. Communication and relationship building between the real and financial sectors would be an alternative means to help overcome the credit crunch.

Productive and safe sectors have been identified, such as the information and communications and agricultural sectors. Productive and safe sectors are low risk and have strong prospects in terms of growth. The economic sector could be a driving factor in the current economic recovery, such that financial institutions could be persuaded to finance the productive and safe sectors.

Table 2 Estimation of Credit by Economic Sectors

Dependent Variable: Yt	Baseline 2011:01 - 2020:12	Panel A: Pre-COVID-19 period: 2011:01 - 2019:12	Panel B: COVID-19 period: 2020:01 - 2020:12
<b>Independent Variables</b>	<b>Coefficients (SD)</b>	<b>Coefficients (SD)</b>	<b>Coefficients (SD)</b>

Xt_Credit1	16.5433 * (0.4569)	10.2326 * (0.4322) 35.5163 (0.4487)		44.5463 (0.4487)
Xt_Credit2	11.8039 * (0.3542)	12.3895 * (0.3448) 55.5547 * (0.3683)		45.6548 * (0.3683)
Xt_Credit3	17.1657 * (0.4756)	22.0468 * (0.1899) -153.4135 * (0.4409)		-127.3115 * (0.4409)
Xt_Credit4	23.651 * (0.6808)	25.1655 * (0.4854) -98.2325 * (0.5651)		-108.2615 * (0.5651)
Constant1	1761.981 * (364.5463)	2587.812 * (335.6237) 18062.176 * (348.4054)	-	-28097.218 * (348.4054)
Constant2	2233.614 * (241.5494)	3664.771 * (226.0487) -35316.235 * (241.4657)		-25316.089 * (241.4657)
Constant3	3164.148 * (130.2013)	4750.276 * (48.7264) 75332.601 * (113.1093)		65530.419 * (113.1093)
Constant4	6707.774 * (151.7185)	59.215 * (97.3447) 46640.691 * (113.3429)		54750.625 * (113.3429)
N	100	76	18	12

Notes: This table reports estimating result (coefficient) for independent variables selected from model specification. The asterix sign (\*) means that the variable has statistically passed at 5% significance level. Coefficients in Panel B consist of Dt\_CovidXt\_Credit and Dt\_Covid of each credit of economic sectors (1. Trade, 2. Industry, 3. Agriculture, 4. Construction), respectively. Baseline column shows the regression results with total samples.

## Conclusion

This research shows that the COVID-19 outbreak has affected the banking sector through declining credit delivery to the real sectors. In terms of nominal value, total credit decreased in parallel with economic deceleration during the pandemic. Working capital credit and investment credit were influenced by the pandemic, but not consumption credit or SME credit. In the economic sector, the credit of the industry, agriculture, and construction were affected by the COVID-19 outbreak, but not the credit of the trade.

This research contributes to the assessment of the existence of a credit crunch during the COVID-19 pandemic by measuring the impact of the pandemic on the banking sector. Alongside the policy of credit relaxation, business matching is proposed to overcome the credit crunch. Banks can disburse credit to the proposed productive and safe economic sectors. In order to not remain just a concept, future research could seek innovative business models to implement the financing to overcome the credit crunch.

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## English Language Teaching in Albania: an Overview of Grammar Instruction

Enriketa Sogutlu<sup>1</sup>

<sup>1</sup>University College Beder, Albania, esogutlu@beder.edu.al, ORCID: 0000-0002-2165-5271

**Abstract:** Despite the different and controversial approaches, grammar and its instruction in various second and foreign language contexts continue to hold a significant place in second language instruction. This paper reviews briefly the place of grammar in the teaching of English as a foreign language in Albanian high schools in two periods: before and after the 1990s. The review is done based on an investigation of the methodological materials, the curricula approved by the authorities, relevant teaching directives and the textbooks used in both periods. The findings suggest that in the Albanian context, grammar and its instruction have always received considerable attention. While before the 90s grammar was the central component of foreign language learning and teaching, after the 90s, grammar is taught for mainly meaningful communicative purposes.

**Keywords:** English language teaching, grammar instruction, Albanian context

### 1. INTRODUCTION

For many linguists grammar is the rules by which phrases and structures are formed and related to each other in a sentence (Chomsky, 1966, 2015; Radford, 1988; Lock, 1996; Greenbaum & Nelson, 2009) or the combination of words in meaningful sentences (Givón, 2011). All these definitions share the concept that grammar is the system of rules according to which a language operates. Knowledge of this system is useful for the way we think and write; this has been and remains the main purpose of grammar (Sinclair, 2010).

Meanwhile, in second or foreign language learning and teaching contexts, grammar has been defined as teaching morphology, functional words, and the syntactic order of words (Celce-Murcia, 1991; 2008); or as enabling students to use language forms correctly, meaningfully and appropriately ((Larsen-Freeman, 1991)). In defining grammar as the study of possible forms and structures of a language, Thornbury points out that grammar also explains the meaning that these forms carry (Thornbury, 1997). In addition, he emphasizes that the student's ability to distinguish and build well-formed sentences is an important part in learning a foreign language. While not denying that grammar teaching involves the presentation and practice of grammar issues, researchers like Ellis (2006) provide a broader definition emphasizing that "it includes any kind of instructive technique that focuses the student's attention on a certain grammatical form in such a way that it helps him to understand it terminologically and/or to process it in terms of meaning and/or production in order to be able to learn it" (p. 84).

In conclusion, it can be said that as part of foreign language teaching, grammar is what a non-native speaker or an EFL/ESL learner needs in order to understand, learn and use the language in both oral and written communication; meanwhile, the various techniques and activities used in the lesson and aimed at the teachers teaching this knowledge and their learning by the student constitute the teaching of grammar.

### 2. GRAMMAR IN THE TEACHING OF ENGLISH AS A FOREIGN OR SECOND LANGUAGE

The role of grammar knowledge and grammar instruction in the teaching of English as a foreign or second language has always been a hotly debated issue; as such it has been the subject of many empirical and experimental studies. Based on the attention and role that has been paid to grammatical knowledge and its instruction in the history of foreign language teaching, some linguists and researchers (Nassaji & Fotos 2004; 2011), recognize three major periods: 1) grammar is the basis for language learning; 2) grammar is unnecessary for communication; 3) grammar is related to meaning. Each of the approaches had its supporters, who brought up different arguments to support their views.

The *first period* coincides with the traditional approaches, mainly with the grammar-translation method, which as the name suggests, based the teaching of language on learning the rules and structures of grammar through translation into the first language; furthermore, learning a language was equated with

learning its grammar. According to this approach, learning linguistic structures is essential in learning a foreign language. Grammar had the same attention in the audio-linguistic and direct method, but was presented somewhat differently; the teaching of rules and structures was done based on exercises and the repetition of rules. Another way of teaching grammar in these methods was the elimination of translation and the application of the inductive way (Fotos, 2005), according to which, students had to work out the rule based on examples. These methods arose as a kind of reaction to the grammar-translation method, the students of which, despite the high level of grammatical knowledge, did not demonstrate the same level in communicative skills. These methods are the first steps in the transition from the grammar-centred period to the communicative period.

During *the second period* (late 1970s and early 1990s), there is a dominance of the communicative approach, according to which, comprehension is primary and should precede the ability to produce any type of output in the foreign language. The inadequacy of grammatically based methods to meet the students' communication needs (Nassaji & Fotos, 2011) was an aspect largely opposed by the proponents of the communicative approach. According to Celce-Murcia, this led to the organization of learning focusing on content, meaning and context (1991), not only by ignoring grammar and sentence, but also by totally underestimating it (Nassaji, 2000). In this view, language teaching pedagogy is characterized by a tendency to facilitate the language learning process, which Hinkel and Fotos (2002) point out, was reflected in the lack of formal explanation of grammar and the presence of instructional materials with contained vocabulary and certain linguistic forms. As one of the opponents of the formal explanation of grammar, Krashen (1982) argues that both the teaching of grammar and the prior knowledge of a grammatical rule do not contribute to language acquisition except for cases of monitoring.

The *third period* arose as a reaction and alternative to eliminate the shortcomings that accompanied the underestimation of grammar in the second period. The negative approach to the role and contribution of grammar, along with the teaching practices and instructional techniques that arose under its influence, carried with it some controversial and critical issues. One of them was the lack of accuracy in most forms of expression, especially in advanced level students. This attitude was also reflected in the results of research conducted by linguists such as Celce-Murcia (1991) and (Nazary, 2008). This shortcoming led to an attitude of reconsidering and re-evaluating formal grammar teaching in various forms (Celce-Murcia, 1991; Nassaji & Fotos, 2011). The debate is no longer whether grammar should be included in the teaching process or not; the question is when, how and what kind of grammar should be addressed (Ellis, 2006; Celce-Murcia, 1991). Long's use of the term focus on form is quite appropriate as it does not simply mean a formal teaching of grammar, but a kind of attention to certain aspects of it (1991). Many studies have focused on different ways of explaining language forms in foreign language teaching (Ansarin et al, 2014; Barrot, 2014; Hayashi, 1995; Moradkhan & Sohrabian, 2009).

In conclusion, if we hold the view that grammar should not be taught as an end in itself, but as a means of achieving accuracy and mastery of all aspects of a language, then it should be treated as a non-essential but inevitable element in learning a foreign language; consequently, the ways of its instruction should be such as to assist the learner in acquiring and then using them in all aspects of language.

### **3. GRAMMAR INSTRUCTION IN TEACHING ENGLISH AS A FOREIGN LANGUAGE IN ALBANIA**

In this part, we take a brief look at the place that grammar has occupied in teaching English as a foreign language in high schools in Albania in two major periods, before and after the 90s. The review is done based on the methodological materials, the curricula approved by the authorities, the relevant teaching directives and the textbooks used respectively in each period.

#### **3.1. Grammar instruction in Albania before the 90s**

In this period, the instruction of grammar is considered an essential part of language learning, but in function of meaning. Although teaching is essentially traditional, there is a tendency to use language for practical purposes and an emphasis on the connection between grammar and logic.



According to the book “Methodical Materials on the Teaching of Foreign Languages” (Konçi, 1976), in Albanian schools the teaching of a foreign language in that period was done according to the traditional method (grammatical and comparative) and the variants of the direct method. The author of the book points out that according to the traditional method, the student must learn the grammar rules well, because only if he masters them well will he be able to use them in practice. However, Konçi points out that despite the good knowledge of the rules and the lexicon, the acquisition of a language as a means of communication and its use for practical purposes is not achieved at satisfactory levels. To improve this, he proposes eight general features that could help “intensify the learning process” (p. 13). One of them is language learning based not on detached words but on sentences, which means learning grammatical structures. As to how grammar should be explained, he points out that the time dedicated to grammar instruction should be limited, and that “grammar instruction should be provided in isolation” (p. 16), “in small doses” (p. 52), throughout the course, using different effective forms each time and encouraging the student to use the grammatical structures in communicative situations. He bases this on two arguments: a) the realization of oral communication is possible when the language skills are well mastered and when it is based on well-acquired grammatical structures” (p. 31); b) in determining the student’s level of communication, the “whole of grammatical structures each individual uses” plays a special role (p. 38).

In a publication in the Pedagogical Magazine, Përnaska (1972) describes grammar as the basis on which a sentence functions, pointing out that grammar “must be understood as a living unit ..., but also as a complete relation of words according to the laws of grammar” (p. 27). He does this to explain the strong connection between grammar and logic, but without equating them. In other words, according to him, linguistic rules are necessary to express as clearly as possible thoughts and the logical connection between them.

An examination of the curricula approved by the Ministry of Education also demonstrates the great importance given to grammatical knowledge. Thus, in the chapter “Goals of the Foreign Languages Program for High Schools” (1983), in addition to four aspects: reading, speaking, other tools and lexicon, grammatical phenomena are also mentioned, and their acquisition is considered “necessary to read and understand literature in foreign languages” (p. 3). It should be noted that the acquisition of grammatical knowledge is mentioned as part of the goals for both aforementioned aspects. Thus, one of the benefits of the speaking skill is that it “helps the student to acquire...the most necessary expressions and structures” (p. 2). Meanwhile, other tools aim to promote speaking through exercises based on language structures and patterns. The curricula suggests first the theoretical explanation of the grammatical phenomena and then the transition to practical exercises, which aims at the formation and retention of the acquired knowledge. Among the skills that students should have acquired at the end of the year is mastery of previous and new grammatical knowledge.

In the structure of the high school class II curriculum, which currently coincides with the tenth grade, two of the four review lessons at the beginning of the year are scheduled for grammar topics; in addition, even the two-class reviews after some new modules mainly aim at the students’ acquisition of grammatical knowledge. Of the four class periods dedicated to each new lesson, half a class period is used to explain the new grammar topic and one full class to practice it in controlled exercises.

As can be seen, there is a predominance of grammar and attention to it in the curriculum approved by the Ministry of Education and in its guidelines. Below I examine some textbooks and the place that grammar has occupied in them illustrating it with examples from relevant lessons. The first text is *English 1* for high schools (1985), an improved edition of 1984. In this book, all lessons begin with a reading text, in which the new vocabulary is introduced. Two lessons are used as examples.

a) Lesson five begins with a reading text about the baobab tree, and is followed by the section on the new vocabulary, in which all the words are given along with their pronunciation and translation of into Albanian. Then there is an activity with comprehension questions about the text, which is followed by a vocabulary exercise, in which students are asked to find the relevant word based on the given explanation/meaning. The major objective of this part of the lesson is apparently acquisition of new vocabulary, as even the other three subsequent exercises essentially focus on vocabulary. Grammar is dealt with in the section called Key Structures, which begins with the formal explanation of the grammar

structure; in this case they are *such a... that...* The structure is enhanced in italics in five sentences, two of which have been extracted from the text, and students are asked to pay attention to the new forms. Next, there is an exercise which asks the students to put together two short sentences using the new structures. Example from the book: *It/tiring/journey. He/sleep.* Students have to join the sentences using *so...that, such...that.* The correct answer should read: *It was such a tiring journey that he fell asleep.*

There is another section on grammar structures called *Special Difficulties*, which centers on the comparative form *as...as.* The form is presented in an example sentence and then there is an exercise with an adjective given in parentheses at the end of the sentence asking the student to put it in the appropriate comparative form.

*Example:* He is ... his brother at work (good).

b) In lesson eight, entitled Isaac Newton, the key structure is indirect questions and requests. Unlike the previous structures, in this section, there is no metalinguistic explanation of the structure or its rules; it is presented only in examples, which means that they are explained by the teacher with illustration examples on the board. Below is an example from the book. The explanation and instructions are actually in Albanian, only the examples are in English.

*Example from the book:* Look at the sentences carefully, focus on the words in italics. Dr. Stukeley called and asked *if he could see the great scientist.* We can say this sentence in another way: Dr. Stukeley asked: "Can I see the great scientist?"

As noted, first there is the presentation of the structure and then the emphasis is on the transformation of the question into an affirmative sentence. Students then practice the transformation of direct questions into indirect ones.

*Example: Can I leave now? – The student asks if he can leave.*

Even in this lesson, there is the Special Difficulties section, which deals with the relative pronouns *that, who, whom, which,* the differences in their use, as well as the cases when they are omitted. This part is also followed by an exercise which requires students to practice the structure by placing the corresponding pronoun in the blank space in each sentence. *Example, Is this the pen...you lost?*

Another text is *English 2 (1986).* The first lesson of the book, which is a review of the knowledge gained at the previous level, begins with a dialogue between the student and the teacher. The title *Everyday Talk* makes one think that there will be a conversation about the holidays, a book or a film; however, once you start reading you notice that the conversation focuses on the acquisition of a linguistic topic, which is antonyms and synonyms. The teacher's explanation of certain words prevails throughout the conversation. Immediately after the text (conversation) there is an activity with questions about the text but which are again based on the lesson's topic. Then there different exercises: 1) the first requires the construction of sentences using words given in a list; 2) the second is about adjectives with opposite meaning; 3) then, four exercises in a row focus on the correct use of verb tenses.

The other lessons have the same structure: a reading text followed by the new vocabulary section of the text, which gives the meaning of the words along with an example, and comprehension questions about the text. Then comes the grammar part, which introduces the grammar form of the lesson. In this lesson, the grammar forms are *can* and *could.* Each of the forms is accompanied by the corresponding rule for each use and is followed by an example. The exercises after the grammar section focus on vocabulary and grammar: 1) using words and expressions from the text in the given sentences, 2) filling in the blanks in the sentences extracted from the text, 3) paraphrasing sentences taken from the text. The fourth exercise is about grammar: it requires the correct use of the structures explained in the grammar section.

In another lesson, we come across the same structure: reading texts followed by the explanation of new vocabulary and comprehension questions about the text. The grammar section explains the transformation of direct questions and commands into indirect speech. There are many more grammar exercises in this lesson; out of eight that follow the explanation of the grammar, five focus on practicing the grammar form of the day, while at the end retelling the text in indirect discourse is required.

All the examples taken from the textbooks used during the time period before the 90s period demonstrate a tendency for the acquisition of grammatical structures, which is reflected in the predominance of grammatical exercises. However, it should be noted that grammar is considered as a tool for meaning and message communication.

### **3.2. Grammar instruction in Albania after the 90s**

The current foreign language curricula for high schools in Albania have been prepared in accordance with the National Curriculum of Modern Languages for Pre-university Public Education (Arsimi, 2016) and the guidelines of the Common European Framework of Reference for Languages (Europe, 2001).

The High School Core Curriculum, prepared by the Curriculum and Training Institute, approved by the Ministry of Education and Science and published in September 2008, includes the English language curriculum for grade X, which is based on the philosophy and guidelines of the Common European Framework of Reference for Languages and the National Modern Language Curriculum for Public Pre-University Education. The Objectives section of the program does not mention or consider grammar knowledge as a separate skill to acquire, but as a means to achieve communicative goals; the program aims for the student to "further develop the use of competence in practical situations of daily life". As for the objectives according to the standards of linguistic competence formation, the focus is again on the use of this competence for practical purpose rather than for the sake of knowledge acquisition. The objectives section states that "the student should be encouraged to practice grammar forms and use them correctly."

Another striking aspect is that unlike the programs of the period before the '90s, grammar and grammar knowledge are not mentioned in the objectives of any of the four skills. This is also noticed in the publication of the Institute of Pedagogical Studies "Subject Programs for General High Schools" according to which, although grammar knowledge is considered an important part of the program, it should be taught for communication goals. Out of 108 total annual hours, the amount of recommended hours for the development of linguistic competence is 23 (21.3%). It is recommended that in these lessons, the teachers explain and elaborate grammar and grammar exercises in interaction with the student. Meanwhile in the latest publication of the same document (2016), the total time recommended for the development of linguistic competence is 35% (38/108 lessons). Although there is more time allocated to linguistic competence, it is already seen as a means of communication and central to communicative competence. The guidelines for grammar material elaboration contain recommendations for creating situations or choosing current topics that encourage the practice of the relevant grammar form. In terms of teaching methodology and strategies, the teacher is free to use or combine a variety of strategies to suit the level of the students. However, it is emphasized that grammar should be taught for communication, a small amount of rules should be given to achieve this goal and inductive ways should be used for their learning through authentic texts/materials. In terms of textbooks, there is a prevalence of international publishers.

Before the 90s, the attention paid to grammar and grammar competence for the acquisition of English language can be seen both in the national curricula and in the methodological materials of the time. This attention is also reflected in the textbooks used during that period, which were all local publications. Meanwhile, after the 90s, attention to development of communication skills dominates.

Review of the relevant materials from the first period (before the 90s) revealed the importance attached to grammatical competence and its instruction. Along with the tendency for traditional structure-based grammar teaching, the place of grammar itself is considered central and essential to learning a foreign language. This can be seen in the authorities' guidelines, the national curricula and in methodological textbooks and publications. An examination of the textbooks, which are only local publications, also demonstrates that the traditional instruction of grammar follows the 3Ps structure (presentation-practice-production). The presentation stage is completely metalinguistic, direct and deductive, and is done in both English and in the first language (Albanian). One typical feature is textual enhancement as a strategy that may encourage noticing of the target grammatical forms. Meanwhile, the practise stage includes practising the target grammar form in structured activities. The exercises in this stage are usually mechanical and require the use of the new language forms in written exercises that vary from correct use

of the new form to gap-filling. However, unlike the international tradition, the production stage is integrated in the second stage (practice) and occurs only in the form of written transformational exercises. In other words, there is no engagement of students in conversations aiming at the use of the target language form. In spite of the traditional approach in the instruction of grammar, what stands out is the recommendation for the instruction of grammar as a negotiator of meaningful communication.

The second period marks a huge transformation in the language teaching and learning tradition in Albania, particularly in terms of national guidelines and textbooks. Following the Common European Framework of References for Languages, the national curricula for foreign languages shifts the focus on the development of the four skills and competencies. Grammar is no longer the primary focus of language instruction; it is considered a tool that enables learners to use grammar for better communication. Furthermore, there is prevalence of textbooks from international publishers, which has had its own impact on the new attitudes towards grammar and its instruction. However, unlike the traditional debate on the role of grammar in second language teaching and learning, in the Albanian context, grammar and its instruction have almost never been a controversial issue. Despite the changes in national guidelines, importance attached to grammatical competence has usually led to explicit instruction of grammar, a tradition that apparently will hardly fade away. While a study of Albanian EFL teachers' and learners' views about grammar and its teaching has shown positive attitudes towards grammar and its explicit instruction (Sogutlu, 2015; 2016). Further research should focus on reasons underlying these attitudes and the contribution of explicit instruction to L2 acquisition among Albanian EFL learners. Qualitative research, in particular, longitudinal studies and classroom observations, might bring to light instructional practices and strategies and their effect on learners' L2 acquisition.

#### 4. CONCLUSION

This study reviewed briefly the place of grammar and its instruction in the Albanian English language teaching context through an examination of national guidelines, curricula, methodological documents and textbooks in two important periods in the country's history: before and after the 90s. The findings show that unlike the traditional debate in the international context regarding grammatical competence and grammar instruction, in the Albanian context, grammar has always been regarded a necessary component of EFL instruction. In the period before the 90s, grammar had a central focus and was taught in the traditional structure-based approach. The shift of focus and guidelines regarding grammar instruction in the period after the 90s, though, did not lead to disregarding grammar or development of grammatical competence. Explicit instruction of grammar for meaningful communication is an important part of EFL classroom practices in Albania. This study suggests that further research should focus on actual instructional practices and their effectiveness.

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## The Impact of Demographic Variables on Employee's Change Readiness. (Case study: Municipalities Employees of Korca's Region)

Phd. Gentisa Furxhi<sup>1</sup>

Prof.Assoc.Dr. Sonela Stillo<sup>2</sup>

Phd. Marinela Teneqexhi<sup>3</sup>

<sup>1</sup> Faculty of Economy, Department of Management, University "Fan S.Noli" Korca, Albania

Email: gfurxhi@gmail.com

<sup>2</sup> Dean of the Faculty of Natural Sciences and Humanities, University "Fan S.Noli" Korca, Albania

Email: sonelastillo@yahoo.com

<sup>3</sup> Faculty of Economy, Department of Management, University "Fan S.Noli" Korca, Albania

Email: marinelapt@yahoo.com

**Abstract:** Organizations have to deal with change if they want to stay competitive and to handle different challenges they face. Both private and public organizations need change to be more effective and efficient. In public organizations change is usually a planned one, which means that change that organizations are undertaking is the right one for them to perform more effectively and to fulfill their objectives. Seen by this point of view, managers of public organizations will think that their employees will accept the change. Actually, public managers face a different reality. Employees show different attitudes and behaviors to change. Some of them react in a positive behavior, they are ready to be part of change and some others react in a negative behavior which means they show resistance to change.

In this study, we will focus on demographic variables of employees to understand if they have any impact on employees readiness to change. A sample of 307 employees is drawn on basis of convenient sampling. The data is collected using a well structured questionnaire (5 point scale). Some of demographic variables we used in this study are: age, gender, marital status, education, years in the current job, years with the current employer, etc.

**Keywords:** Readiness to change, demographic variables, public organizations.

### 1. Introduction

Public sector is usually composed of organizations owned and managed by government. These organizations offer different services for the citizens.

There are different definitions for the term "public sector" from different researchers. However, there are three main definitions that come out from the legal, financial and organizational perspective (Maroto and Rubalcaba 2005). Legal definition, stresses that public sector is made up by government organizations and organizations governed by public law. According to the financial definition, public sector includes government organizations and private organizations which are funded by public funds including non-profit organizations providing education and health care. According to organizational definition, public sector includes all the organizations of public administration, social security, law and order, health care, education, social and cultural services.

Public sector organizations are created by government, they have political purpose and they develop public services. This means that politicians define the purposes of public organizations. Organizations of public sector are not profit oriented and they do not depend on markets, so they can't bankrupt (Farnham and Horton, 1996). Public sector organizations cover a wide range of services including municipal enterprises financed by taxes and fees and central government departments financed by funds. Pollit(1990), stated that public sector organizations tend to be complex and sometimes they have internal conflicts caused by their need for supporting coalitions. They must satisfy different interest, which sometimes are conflictual to each other. For example, a government may agree to low the taxes and in the same time the government should increase education expenditures. Public organizations offer public goods which have a big impact to citizens and they fix many fields of their private life. Also, public organizations are financed by taxes so citizens sensibility is high for the services they offer.

Public sector had to undertake reforms to deal with different challenges. Also, studies on innovations stated that citizens want new products and new ways of offering public services (Damanpour & Schneider, 2009; Osborne & Brown, 2011; Bekkers, 2011). So, public organizations have faced the need to change in order to perform in a better way.

Public sector organizations have changed the way they have worked through new systems and new ways of working. These organizations are faced with increasing demands for greater effectiveness and efficiency as well as greater financial accountability (Soltani, Lai and Mahmoudi, 2007). Usually, public organizations undertake changes to cut costs of services and to increase efficiencies and the quality of services delivering (Kuipers et al. 2014). Also, citizens have demanded that public services to be closer to them. These demands have impacted public organizations management to find more practical tools for change in order to fulfill successfully citizens demands. All these developments imply not only changes in public organizations but also changes in their employees behavior (Joris van der Voet, 2014).

We studied employees change readiness in the municipalities of Korca region. These municipalities have undertaken the Territorial-Administrative Reform, so their employees have faced changes in their workplace.

## **2. Employees readiness to change**

Public organizations change, over time, due to many pressures they face. Their challenge is to convince their employees that the change is right one. If employees do not understand change or they don't think that the change is necessary for their organization they will not support or accept it. Employees play a crucial role in change success. Many researchers have studied factors that impact employees positive behaviours to support change (Armenakis et al., 1999; Madsen et al., 2005; Shah, 2009; Vakola, 2013).

Managers through change communication try to stimulate employees positive reactions to change. When employees have positive attitudes to change they work hard for change success. Readiness to change creates employees high commitment, fewer layoffs, high performance and few absences at work. Many researchers have considered human resources as the most important, dominant and complex factor in supporting and implementing change effectively and successfully in the organization (Armenakis et al., 1993).

Researchers divide the factors that influence the behaviors and attitudes of employees towards change into: a) individual factors, b) psychological factors, c) work environment factors, d) cultural factors, e) social factors. Individual factors relate with personal and social aspects of individuals such as being active, way of solving a problem, beliefs, autonomy, depression, emotional connection, demography, self-efficacy, locus of control (Cunningham et al., 2002; Madsen et al., 2005).

We studied employees readiness on the bases of organizational commitment, carrier commitment and social relationships in the workplace. In this paper, we will show if demographic variables of employees have any impact on employees readiness to change and to the other variables we studied employees readiness to change. Some of demographic variables we used in this study are: age, gender, marital status, education, years in the current job, years with the current employer, etc.

## **3. Demographic variables and employees change readiness**

Studies on the change management field have indicated different findings between change readiness and demographic variables. Some studies found that there were no relation between demographic variables and employees change readiness. Some others have found relations among them. Patom and Damster (2002) and Tyler (2005) have studied gender impact on employees change readiness. They stated that females and males were different in the terms of their change readiness to change. In his study, Shah (2009), found that there were statistically significant links between demographic characteristics such as age, gender, marital status, education, years with current employer, and variables such as readiness to change, emotional connection, sense of pride, salary and rewards, job satisfaction, job involvement, promotion, development and training, relationships with superiors and colleagues. Whereas, Madsen et al. (2005), found that there were statistically significant links between demographic variables such as:

gender, age, education, years with the current employer and variables such as readiness to change, job involvement, commitment to the organization and social relations.

#### 4. Methods

In our study, participated 307 employees of 6 (six) municipalities of Korça region. The sample of 307 employees is drawn on basis of convenient sampling. The data is collected using a well structured questionnaire (5 point scale). We used ESPSS program to process the collected data. To investigate the potential impact of demographic variables on the study variables we used the Independent T-Test and ANOVA test. Each test was preceded by control of the variance homogeneity condition through the Levene test. The Independent T-Test was used to detect any possible influences on gender, marital status, years in current employment and years with current employer. The ANOVA test was used to detect any possible effects of age, education and job position.

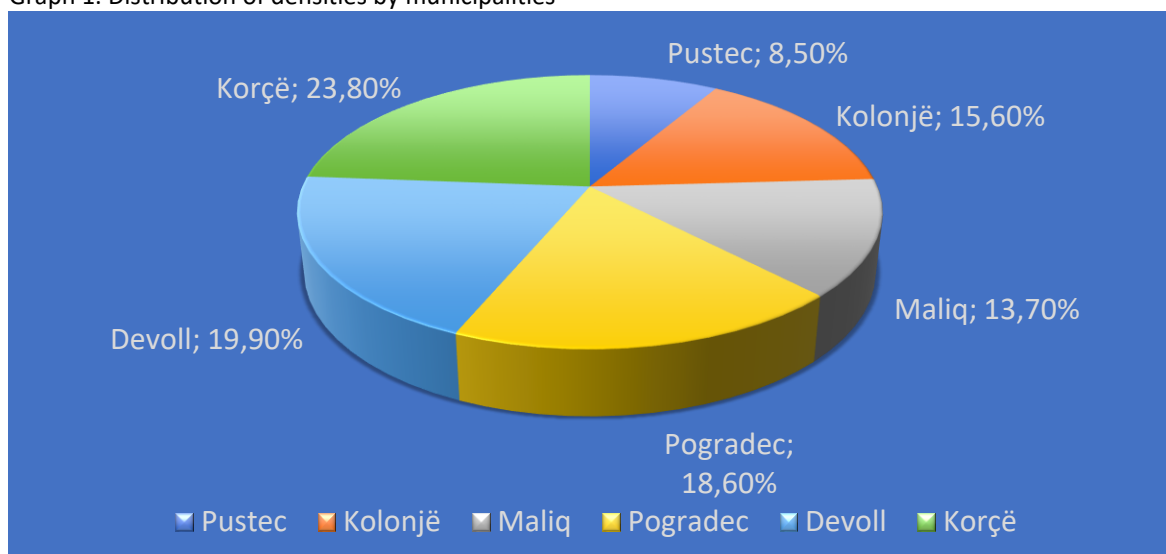
#### 5. Results

In this study, participated 307 employees of 6 (six) municipalities of Korça region. More specifically, the employees who participated in the study distributed by municipalities are presented in the the table (tab.1) and graph (graph.1) below.

Tab.1: Number of employees participated in the study

Municipality	Total number of employees	Number of employees participated in study
Korçë	310	73
Pogradec	290	57
Devoll	190	61
Maliq	164	42
Kolonjë	180	48
Pustec	30	26

Graph 1. Distribution of densities by municipalities





The Independent T-Test was used to detect any possible influence on gender, marital status, years in the current job, and years with the current employer. The results are presented in the table below (tab.2). They show that there are statistically significant links between gender and salary and rewards ( $p = 0.038$ ), gender and training and skills development ( $p = 0.042$ ), years in the current job and job involvement ( $p = 0.006$ ), years with the current employer and salary and rewards ( $p = 0.041$ ).

Tab.2:T-test for independent groups of variables gender, marital status, years in the current job and years with current employer.

	Gender		Marital status		Years in the current job		Years with the current employer	
	t	Sig.	t	Sig.	t	Sig.	t	Sig.
Employees readiness	-.990	.323	-.381	.704	-1.906	.058	-1.923	.055
Emotional connection	.872	.384	-3.72	.710	-1.530	.127	-1.860	.064
Sense of pride	-1.712	.088	1.246	.214	.333	.740	1.202	.230
Feeling of obligation	-1.320	.188	-.529	.597	-.242	.809	.412	.681
Salary and rewards	-2.087	.038	1.539	.125	1.060	.290	2.053	.041
Carrier commitment	1.799	.073	-.765	.445	.392	.696	-.416	.678
Promotion	-.299	.765	.302	.763	.069	.945	.298	.766
Job satisfaction	-1.187	.236	-.176	.860	-.157	.876	1.203	.230
Job involvement	-1.404	.161	-.444	.657	-2.776	.006	-1.334	.183
Relations with supervisors and colleagues	-.348	.728	.418	.676	1.090	.277	.758	.449
Training and skills development	-2.039	.042	.240	.811	.174	.862	1.630	.104
Social relations	-1.306	.192	.868	.386	-1.733	.084	-.978	.329

The ANOVA test was used to detect any possible effects of age, education and job position. The table below (tab.3), presents the results of this test. Which show that there is a statistically significant relationship between the age and employees readiness ( $p = 0.012$ ), age and job involvement ( $p = 0.005$ ), age and relationships with supervisors and colleagues ( $p = 0.032$ ), age and social relations at work ( $p = 0.034$ ), as well as the position and employees readiness to change ( $p = 0.012$ ), position and promotion ( $p = 0.045$ ), position and job satisfaction ( $p = 0.024$ ), position and job involvement ( $p = 0.005$ ), position and relationships with supervisors and colleagues ( $p = 0.032$ ), position and social relations at work ( $p = 0.034$ ).

Tab.3: ANOVA test for age, education and position variables

	Age		Education		Job position	
	F	Sig.	F	Sig.	F	Sig.
Employee readiness	2.971	.012	.208	.891	2.971	.012
Emotional connection	.475	.795	.440	.724	.475	.795
Sense of pride	1.807	.111	.601	.615	1.807	.111
Feeling of obligation	.519	.762	.127	.944	.519	.762
Salary and rewards	1.991	.080	1.555	.200	1.991	.080
Carrier commitment	1.204	.307	1.070	.362	1.204	.307
Promotion	2.303	.045	1.517	.210	2.303	.045
Job satisfaction	2.634	.024	1.073	.361	2.634	.024
Job involvement	3.390	.005	1.475	.221	3.390	.005

Relations with supervisors and colleagues	2.479	.032	1.045	.373	2.479	.032
Training and skills development	1.937	.088	.838	.474	1.937	.088
Social relations in work	2.455	.034	.517	.671	2.455	.034

## 6. Conclusions

- Public sector organizations have changed the way they have worked through new systems and new ways of working. These organizations are faced with increasing demands for greater effectiveness and efficiency as well as greater financial accountability.
- Public sector had to undertake reforms to deal with different challenges.
- Usually, public organizations undertake changes to cut costs of services and to increase efficiencies and the quality of services delivering.
- Readiness to change creates employees high commitment, fewer layoffs, high performance and few absences at work.
- In our study, demographic variables such as age and job position affected the variable employee readiness. Other variables had no effect on employees readiness.
- There were statistically significant links between gender and salary and rewards, gender and training and skills development, years in the current job and job involvement, years with the current employer and salary and rewards .
- There were statistically significant relationships between age and employees readiness, age and job involvement, age and relationships with supervisors and colleagues, age and social relations at work, as well as the position and employees readiness to change, position and promotion, position and job satisfaction, position and job involvement, position and relationships with supervisors and colleagues, position and social relations at work.

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## Measuring performance in supply chain and metrics

PhD. Gentjan Mehmeti<sup>1</sup>

Assoc. Prof. Eda Luga<sup>2</sup>

PhD. Orjon Xhoxhi<sup>3</sup>

<sup>1</sup>Faculty of Economics and Agribusiness, Agricultural University of Tirana, gmehmeti@ubt.edu.al

<sup>2</sup>Faculty of Economics and Agribusiness, Agricultural University of Tirana, eluga@ubt.edu.al

<sup>3</sup>Faculty of Economics and Agribusiness, Agricultural University of Tirana, oxhoxhi@ubt.edu.al

**Abstract:** This paper aims to give a clearer understanding of Supply Chain Management through literature review. The paper will also seek to examine the literature related to supply chain performance measurement and the metrics used to measure chain performance. To achieve the above goals, this paper discusses the different approaches for supply chain performance measurement and the metrics used to measure its performance. All identified metrics are categorized based on three main approaches. The criteria used to categorize these metrics are: 1) financial and non-financial, 2) resource, output and flexibility, 3) plan, source, make/assemble and deliver, 4) strategic, tactic and operational. While some of the identified metrics that measure performance are: total supply chain cycle time, return on investment, order lead time, delivery lead time, total transportation cost, product development cycle time, manufacturing cost, total inventory cost.

**Key words:** metric, performance, supply chain, supply chain performance

### Introduction

The purpose of this paper is to examine the research and literature that is available on Supply Chain Management (SCM), which will encompass the definition of SCM, supply chain performance measurement and the metrics used to measure the supply chain performance.

By looking at the literature of SCM, the authors can see that its concept and activities involved with it have evolved. In the 1950s and 1960s SCM was seen as just purchasing inputs and monitoring their flow. There were no activities such as sharing technology and expertise between buyer-supplier relationship, since it was considered too risky and unacceptable. Instead, now days SCM is seen in a completely different way, sharing technologies and expertise is very common in SCM activities.

In order to have a better understanding of SCM, it will be extremely relevant to see its definition first. In the literature of SCM there is no explicit description of it or its activities. The SCM literature is full of denominates that refer to the supply chain and SCM practices, including integrated logistics, integrated purchasing strategy, buyer-supplier partnerships, supplier integration, strategic supplier alliances, supply base management, supply chain synchronization and supply chain management.

According to Ross (1998) SCM has become one of the most analyzed topics, as it is difficult to get a scientific journal in the field of production, distribution, marketing or transportation and not find an article on SCM or related issues. Despite its great popularity, there is a considerable level of confusion over the concept of SCM. Several authors define SCM in operational terms involving the flow of materials and products, others see it as a management philosophy, while others under the framework of the management process (Tyndail et al., 1998). Moreover, Cooper and Ellram (1993) go even further by saying that even within the same article the authors have conceived it in different ways. On the one hand, they have seen it as a form of an integrated system between vertical integration and independent identities and on the other hand, they have seen it as a management philosophy.

Over the last two or three decades, various definitions of SCM have been offered, but none of these definitions is universal. Saunders (1995) concludes that “attempts to pursue universal definition may lead to unnecessary frustration and conflict”.

According to Ellram (1991) SCM is a network of businesses interacting to deliver product or service to the end customer, linking flows from the raw material to final delivery. While Ellram and Cooper (1993) treated SCM an integrating philosophy to manage the total flow of a distribution channel from supplier to the ultimate customer. According to Lee and Ng (1997) SCM is a network of entities that starts with the

suppliers' supplier and ends with the customers' custom the production and delivery of goods and services. Tan et al, (1998) emphasized that SCM encompasses materials/supply management from the supply of basic raw materials to final product (and possible recycling and re-use). SCM focuses on how firms utilize their suppliers' processes, technology and capability to enhance competitive advantage. It is a management philosophy that extends traditional intra-enterprise activities by bringing trading partners together with the common goal of optimization and efficiency. One of the most accepted definitions of SCM is that given by the Global Supply Chain Forum: "*SCM is the integration of business processes from the end user through original suppliers that provides products, services and information that add value for customers*" (Lambert, Cooper and Pagh 1997; Cooper, Lambert and Pagh 1998).

Despite the obstacles to make a universal definition of SCM, Mentzer et al., (2001) attempt to synthesize two definitions, one for the supply chain, and one for SCM, by analyzing different definitions of the terms "supply chain" and "Supply Chain Management". Their definitions are:

A supply chain is a "*set of three or more entities directly involved in the upstream and downstream flow of products, services, finances, and information from a source to the customer*" (Mentzer et al., 2001, p. 4).

Supply chain management is "*the systematic, strategic coordination of the traditional business functions and the tactics across these business functions within a particular company and across businesses within the supply chain, for the purpose of improving long-term performance of the individual companies and the supply chain as a whole*" (Mentzer et al., 2001, p. 18).

Based on these definitions of SCM, Mentzer et al., (2001) have developed a conceptual model of SCM where the aim of the activities of SCM is to increase customer satisfaction, create value, increase profitability, and establish competitive advantages.

As has been said in the previous part having a universal SCM definition isn't possible. However, most of the SCM definitions have at least one thing in common (Saunders, 1995). The definitions on SCM at a first sight they are different; each of the authors uses different words to describe the same thing. However, if the definitions are seen in detail, we can identify some key elements that are the same across the different definitions. These elements are:

- a) Flow of materials/goods from supplier of raw materials to consumer.
- b) A stream of activities and processes between firms positioned in different levels of the supply chain.
- c) Network coordination to increase efficiency and customer satisfaction.

## **1. Measuring supply chain performance**

Measuring supply chain performance is essential for efficient supply chain management (Nazari-Ghanbarloo, 2020; Balfaqih et al., 2016). In recent years, researchers are increasingly considering supply chain performance measurement (Gawankar et al., 2020). The literature and research on measuring the supply chain performance is largely focused on a single firm, research has emphasized internal efficiency over external effectiveness (Mentzer, 2001; Gunasekaran et al., 2001). Thus, it is important to select performance measurement criteria and carefully establish performance measures, since there is no unique measuring tool that can be used for supply chain performance (Elgazzar et al., 2019).

Mentzer (2001) stated that good measurements should be: 1) appropriate for each situation, 2) cover all aspects of the process being measured, 3) consistent with the management reward system, and 4) minimize measurement errors. If each of supply chain members pursues its goals independently, this will not lead to improved performance (Lee and Billington, 1992). Therefore, for effective management of the supply chain, measurement goals must consider the overall goals of the supply chain, and metrics to be used.

Gunasekaran et al., (2001) suggests that these metrics should be classified at strategic, tactical and operational level. Furthermore, they should represent a balanced approach between financial and non-financial measures. The importance of the balance approach stated by Gunasekaran et al., (2001) stays in the fact that, if a company focuses only on one type of performance measures (financial or non-financial)

it will not get a clear picture of organizational performance. The classification of measurement metrics into strategic, tactical and operational is in the same line as the management levels of a company. Each management level should have its own metrics.

Beamon (1999) is congruent with Gunasekaran et al., (2001) about the fact that a supply chain performance measurement that consists of only one type of performance measures is generally inadequate. The goals of the overall supply chain should be taken into consideration when measuring the performance. Beamon (1999) argues that these goals should be measured in three key areas, which are resources (R), output (O), and flexibility (F). Each of these types of performance measures has different goals, as showed in the table below.

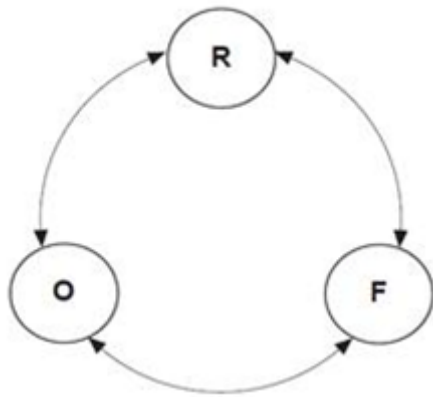
Table 1. Goals of performance measures type

Performance measure type	Goal	Purpose
Resources	High level of efficiency	Efficient resource management is critical to profitability
Output	High level of customer service	Without acceptable output, customers will turn to other supply chains
Flexibility	Ability to respond to a changing environment	In an uncertain environment, supply chains must be able to respond to changes

Beamon, (1999, p. 281)

This measurement framework system (Figure 1) presented by Beamon (1999) allows a study of interaction between the different measures or it ensures a minimum level of performance in different areas of the supply chain (Resources, Output, and Flexibility).

Figure 1. The supply chain measurement system



(Beamon, 1999, p. 281)

Angerhofer and Angelides (2006) noted that resource measures (R), which generally measure costs, will help to improve supply chain performance by minimizing costs, or if they measure efficiency will help to improve supply chain performance by maximizing resource utilization. Output measures (O) attempt to provide the necessary tools to optimize the performance of the chain. While flexibility measures (F) are used to measure the ability of supply chain to face with volume as well as schedule changes by both customers and suppliers.

While Li and O'Brien (1999) addressed a model that analyzed supply chain performance at two levels, the chain level and the operations level. Also, Li and O'Brien (1999) proposed improving supply chain efficiency and effectiveness based on four criteria: profit, lead-time performance, delivery promptness and waste elimination.

Van der Vorst (2000) makes a difference between performance indicators at three main levels: the supply chain level, organization level and process level. While Lai et al, (2002) as they distinguish three dimensions of supply chain performance in transport logistics, identify four measurement criteria: (1) supply chain reliability, (2) responsiveness/flexibility, (3) costs, and (4) assets.

## 2. A framework of performance metrics in the supply chain

Supply chain analysis should consider performance measurement as an important subject (Rahiminezhad Galankashi and Mokhatab Rafiei, 2021; Rahiminezhad Galankashi and Helmi, 2016). In the previous section were discussed two frameworks (Beamon, 1999; Gunasekaran et al., 2001) of performance measurements in the supply chain. In this section, key performance metrics will be illustrated with the help of an integrated framework of Beamon (1999) and Gunasekaran et al., (2001) frameworks. It should be noted that it is important to apply the correct metrics for performance assessment (Galankashi et al., 2018 a, b). This framework will show a cohesive picture of what needs to be measured and how it can be dealt with. The integrated framework is shown in the Table 2.

The metrics in this framework are classified into strategic, tactical, and operational as it was suggested by Gunasekaran et al., (2001). The reason behind this is to assign these metrics to the appropriate management level where they can be best dealt with, and for fair decision making. The metrics are also categorized as financial and non-financial. Financial metrics are more important for strategic decision making and non-financial are more important for monitoring day-to-day manufacturing and distribution activities. Some of the metrics are classified as both financial and non-financial, like buyer-supplier relationship. This metric can be quantified in terms of cost saved (financial) from the relationship and as well as in terms of in-tangible benefits like improved quality (non-financial). Furthermore, the metrics are classified in the three areas suggested by Beamon (1999) resources, output and flexibility.

Table 2. A framework on metrics for evaluation of a supply chain performance

Level	Performance Metrics	Financial	Non-Financial	Resource	Output	Flexibility
Strategic	Total supply chain cycle time		x		x	
	Total cash flow time	x	x		x	
	Return on Investment		x	x		
	Flexibility to meet particular customer needs		x			x
	Order lead time		x		x	
	Range of product and services		x			x
	Delivery lead time		x		x	
	Variations against budget	x				x
	Level and degree of buyer-supplier relationship	x	x		x	
	Customer query time	x	x		x	
Tactic	Extent of cooperation to improve quality		x	x		
	Total transportation cost	x		x		
	Supplier ability to respond to quality problems		x			x

	Responsiveness to urgent deliveries		x		x
	Product development cycle time		x		x
	Manufacturing cost	x		x	
	Capacity utilization		x		x
Operational	Total Inventory cost as:	x		x	
	- Incoming stock level				
	- Work-in-progress				
	- Scrap level				
	- Finished goods in transit				
	Quality of delivered goods		x		x
	Cost per operation hour	x		x	

Beamon, (1999) and Gunasekaran et al., (2001, p. 83)

Gunasekaran et al, (2004) have categorized these metrics into another framework, which combines the criteria of management level (strategic, tactical and operational) with the main supply chain activities/process (plan, source, make/assemble, and deliver). The reason for this is to identify the appropriate metrics that can be implemented into specific activities of the supply chain and to link these metrics with the appropriate management level. Each of the cells in the Table 3 is a cross tab between the management level and supply chain activities. For example, supplier delivery performance is in the cell of the sourcing activities and the management level responsible for that activity is the tactical level. Some of the metrics are in more than one cell, which means that they are appropriate for different management levels.

Table 3. Supply chain performance metrics

Supply chain activity/ process	Strategic	Tactic	Operational
Plan	Level of customer perceived value of product, Variances against budget, Order lead time, Information processing cost, Net profit vs productivity ratio, Total cycle time, Total cash flow time, Product development cycle time	Customer query time, Product development cycle time, Accuracy of forecasting techniques, Planning process cycle time, Order entry methods, Human resource productivity	Order entry methods, Human resource productivity
Source		Supplier delivery performance, supplier lead time against industry norm, supplier pricing against market, Efficiency of purchase order cycle time, Efficiency of cash flow method, Supplier booking in procedures	Efficiency of purchase order cycle time, Supplier pricing against market



Make/ Assemble	Range of products and services	Percentage of defects, Cost per operation hour, Capacity utilization, Utilization of economic order quantity	Percentage of Defects, Cost per operation hour, Human resource productivity index
Deliver	Flexibility of service system to meet customer needs, Effectiveness of enterprise distribution planning schedule	Flexibility of service system to meet customer needs, Effectiveness of enterprise distribution planning schedule, Effectiveness of delivery invoice methods, Percentage of finished goods in transit, Delivery reliability performance	Quality of delivered goods, On time delivery of goods, Effectiveness of delivery invoice methods, Number of faultless delivery notes invoiced, Percentage of urgent deliveries, Information richness in carrying out delivery, Delivery reliability performance

Gunasekaran et al., (2004, p. 345)

These three frameworks (Beamon, 1999); (Gunasekaran et al., 2001; Gunasekaran et al., 2004) of metrics categorization can give a clear picture of which metric should be used for measuring the performance of the supply chain. This choice depends on the area that needs to be measured (resources, output, flexibility), the activities/processes that need to be assessed (plan, source, make/assemble, and delivery/customer), and this choice defines the person responsible for the measurement (management level).

### 3. Conclusion

In this article, through literature review, the difficulty of having a single definition on SCM was highlighted. The main difficulty was related to the fact that SCM is a multidisciplinary field and each of the disciplines it covers uses its own terminology in their definitions. Moreover, in this paper different definitions of SCM given by different authors were presented. Although these authors had used different words in their formulations, all definitions had a key common element of SCM.

The article discussed different frameworks for measuring the performance of the supply chain. Furthermore, metrics for measuring the supply chain performance were presented and categorized base on three different frameworks. The criteria used for the categorization of the metrics were: 1) financial and non-financial, 2) source, output, and flexibility (area), 3) plan, source, make/assemble, and delivery/customer (supply chain activities/process), 4) strategic, tactical, and operational (management level).

Some of the metrics identified for measuring the performance of the supply chain included total supply chain cycle time, ROI, order lead time, customers query time, total transportation cost, product development cycle time, manufacturing cost, total inventory cost, etc.

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## Conceptual Foundations Of Managerial Accounting

Igor Zdravkoski PhD<sup>1</sup>

Miroslav Andonovski PhD<sup>2</sup>

Ljupce Markusheski PhD<sup>3</sup>

Pece Nikolovski PhD<sup>4</sup>

MA Aleksandra Jovanoska<sup>5</sup>

<sup>1</sup>University St.Kliment Ohridski – Bitola, Faculty of Economics – Prilep, igor.zdravkoski@uklo.edu.mk

<sup>2</sup>University St.Kliment Ohridski – Bitola, Faculty of Economics – Prilep,  
miroslav.andonovski@uklo.edu.mk

<sup>3</sup>University St.Kliment Ohridski – Bitola, Faculty of Economics – Prilep, ljmarkusoski@t.mk

<sup>4</sup> University St.Kliment Ohridski – Bitola, Faculty of Economics – Prilep, nikolovskipece@yahoo.com

<sup>5</sup>Master of Economics – jovanoska29@gmail.com

**Abstract:** Managerial accounting has the role of identifying, measuring, analyzing, and interpreting useful information for management teams. Through information, managers can much more easily plan, evaluate and control business entities. Of course, all this is necessary to protect employees, to monitor the resources spent and to have a clear picture of the whole organization.

Namely, managerial accounting as a subsystem of the overall accounting is constantly evolving and improving. Because it is required by the dynamics of operation and development of business and industrial facilities in national economies. The direction of managerial accounting strives to enable business processes and create opportunities for greater utilization of capacities and resources.

Managerial accounting compiles reports that contain information on the current activities of the company, strategic tasks and operations, as well as information on the optimality in the use of resources and the evaluation of operations.

In fact, the role and significance of managerial accounting can be observed through its function in the management process, i.e. the manner and verification of the usefulness of the managerial accounting process. Also, the insight is done through the criteria, i.e. the criteria for estimating the values used, as well as through the ability to link the achieved goals with the function of managerial accounting.

All activities of managerial accounting are performed by forming teams. These teams are composed of professionals who possess knowledge and have certain skills. And their goal is to achieve the set goals and create greater opportunities for the future of their company.

**Keywords:** resources, activities, concept, information, function.

### INTRODUCTION

Business entity management is a process that requires continuous monitoring of the overall activities of business entities.

All this makes the tasks complex, which for managers causes the need for constant improvement, training, and creation of skills for easier and better achievement of goals to be achieved.

Accounting i.a. managerial accounting should identify elements that managers may or may not influence.

***“Accounting provides information for three major purposes,***

- ***Routine internal reporting for the decision of managers.***  
***Such informations is provided for decisions that occur with some regularity.***
- ***Nonroutine internal reporting for the decision of managers.***  
***This information affects decisions that occur irregularity or without precedent.***
- ***External reporting to investors, goverment authorities, and other outside parties on the organizations financial position, operations, and releted activities.***

**Management accounting measures and reports financial and nonfinancial information that helps managers make decisions to fulfill the goals of an organization.**

**Management accounting focuses on internal reporting”<sup>1</sup>.**

It assesses the risks and analyzes the factors that may occur in the company. The basic tool in managerial accounting is information.

Therefore, the information needs to be clear and understandable, but also timely and reliable. Due to the future orientation of managerial accounting, all information should fully meet the criteria for their applicability.

Managerial accounting is a very important part of the overall accounting of the company. Just like financial accounting, it is based on operating accounting and other analytical sources of information. All collection, classification, and analysis of financial data are done for the needs of management. Managers should make a variety of individual decisions regarding work activities.

Therefore, managerial accounting prepares financial statements that help to:

- better system control over the operation and use of the business entity resources,
- planning and controlling the achieved results,
- setting up control mechanisms for elimination of certain shortcomings, etc.

The role of managerial accounting is to present the data available for the information support needs of managers in the performance of their management activities.

All management activities, as well as the activities related to the information support by the management accounting, have the ultimate goal to improve the indicators in the balance sheet, the income statement, as well as the cash flow statement of the business entities.

## **1.THE INFORMATION ROLE OF MANAGEMENT ACCOUNTING**

Any business entity without solid information is helpless in functioning. All organizations have communication channels through which they are exchanged.

That is, it can be emphasized here that certain instructions are constantly coming from a higher level to a lower one, and then to receive feedback on the received instructions.

Accounting information is mostly financial information that is available to the managers of business entities.

Managerial accounting should control current activities, but also plan and lay the groundwork for future operations. In addition to these activities, it is necessary to measure and evaluate the performed tasks.

It generates a great deal of information that is needed by groups of users of financial statements.

Hence, the information can be presented as innumerable information about the business entity, which can be descriptive and qualitative. There may be cases in the work where a piece of descriptive information can determine a certain situation. It can also be said about the qualitative information that can specify what to choose, ie decide. But when it comes to numerical information, then it is determined exactly which phenomenon is better, how many participants there were, what was the success (it will not be described only with the phrase-sentence, it is great, but you will know exactly what the amount is in the given period ).

Furthermore, this information refers to what is the sale, what is the percentage of certain costs and so on.

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<sup>1</sup> Horngren, Foster, Datar, (2000), Cost Accounting, tenth edition, pp.2,3.

Non-accounting information (market, production, technical-technological) are also very important information bases that provide an easier way to manage management.

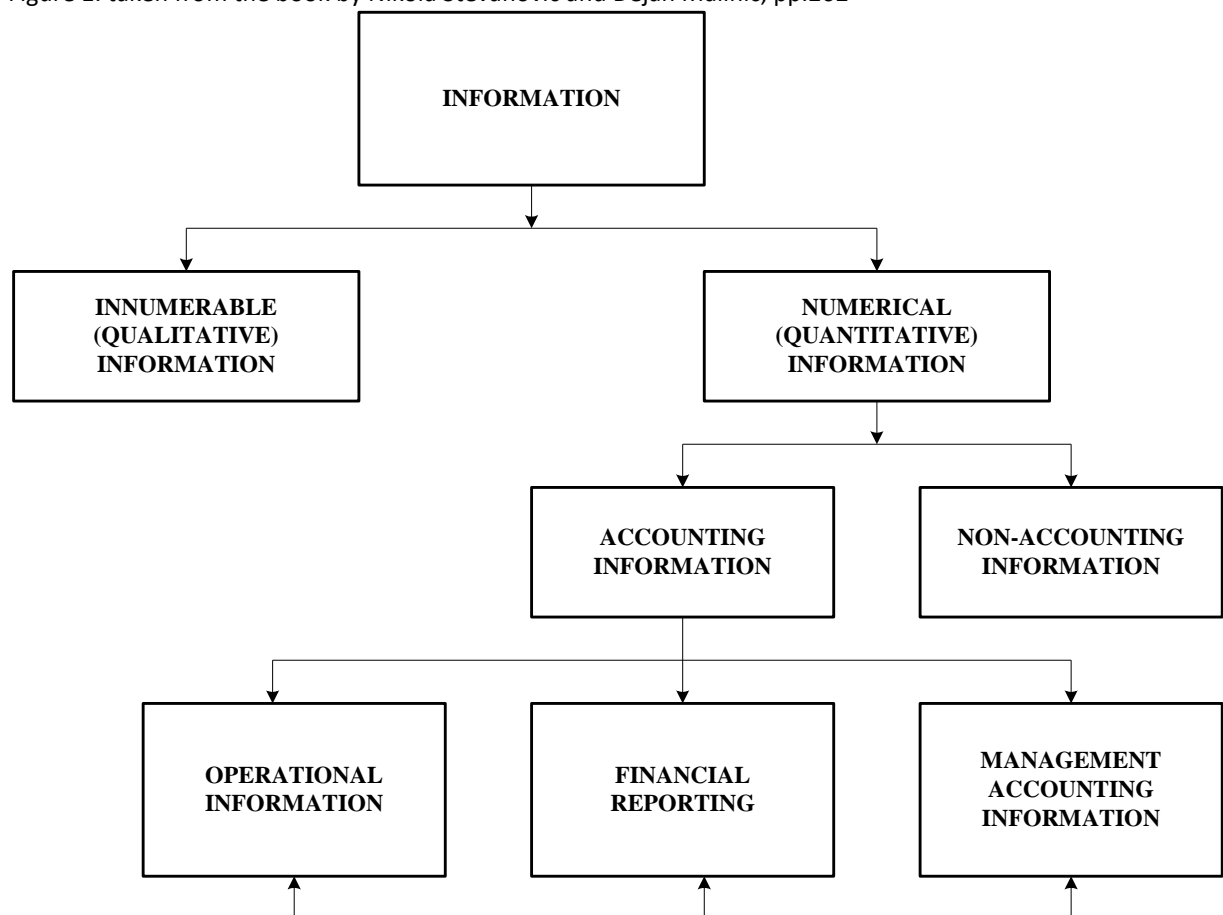
But of course, the main source of information is accounting information.

Because the accounting information system is a complete system that represents all numerical data and information about the work of business entities. Due to the complexity of the enterprises, SIS constantly receives various information about costs, performance, income and expenses, assets, cash inflows and outflows, the state of the business entity, etc. All this is in the interest of realizing the goals and planning the future achievements.

Accounting information includes,

- operational accounting information (source of this information is analytical bookkeeping),
- accounting-financial reporting (source of this reporting is financial accounting),
- managerial accounting reporting (source of this reporting is managerial accounting).

Figure 1. taken from the book by Nikola Stevanovic and Dejan Malinic, pp.262



## 2. CONCEPTS OF MANAGEMENT ACCOUNTING

Namely, we see the usefulness of managerial accounting through:

- the function of managerial accounting in management,

<sup>2</sup> Stevanovic, Nikola PhD, Malinic, Dejan PhD, (2003) Managerial Accounting, Faculty of Economics - Belgrade

- verification of the usefulness of the results of the management accounting,
- the criteria used to assess the values in managerial accounting, and
- the benefits associated with and received from the function of managerial accounting.

### **2.1.Functional concept**

Efficient use of resources is one of the conditions that management needs to implement.

Their transformation needs to be assessed continuously through the ratio of values that are created in the market of products and services.

Inefficiency, on the other hand, is perceived through losses, irrational spending, as well as through negative financial results.

Namely, managerial accounting needs to create an opportunity for a higher percentage of realization of the plans.

All this implies the creation of teams for the different phases of operationalization of the activities.

This means it needs to coordinate and organize all processes, but also make connections between operating systems.

### **2.2.Concept of the usefulness of results**

Usually, each execution process creates a certain utility, but also a certain value.

That is, business entities have or do not benefit from a particular activity.

Here, it can be emphasized that the responsibility of managerial accounting is directed to the users of products and services.

### **2.3.Concept of criteria used to assess values in managerial accounting**

All business processes interact.

In this overall functioning, managerial accounting is focused on considerations related to the use of resources and the creation of value in a given period.

In fact, resource utilization needs to be measured through opportunity costs, while value creation is perceived through consumers.

It is also necessary to assess the technological possibilities that go beyond the ordinary compensation of the resources used.

### **2.4.Concept of benefits associated with and received from the management accounting function**

The function of managerial accounting is to organize the work of the organization as best it can.

That means getting effective results.

Adherence to legal regulations, as well as professionalism in the engaged working groups, is the basis for successful work.

Of course, the function of managerial accounting is constant evaluation, which means improvement in the execution of the planned plans.

Also, the constant finding of opportunities to create benefits that will be a qualitative effect on the further functioning of the business entity.

### **3.CALCULATION OF COSTS AND PERFORMANCE - A KEY PART OF MANAGEMENT ACCOUNTING**

The propulsion calculation of the enterprise, above all, covers the internal state of operation.

The calculation of costs and performance is to know what and where it is spent.

All this is calculated and expressed in money.

But also the number of transformed costs, as well as the number of finished products produced.

Hence the content of the propulsion calculation that performs,

- calculation of costs by types (how much and what is spent in the enterprise),
- calculation of costs by places of consumption (where costs are incurred),
- calculation of cost bearers (periodic report on cost bearers),
- short-term analytical calculation of success (how much is the income and expenses, individually and collectively).

All management accounting reports are intended to,

- providing data on the cost price of performance for the needs of balancing (inventories, foreign production, finished products, etc.),
- providing data, information on the formation of sales prices of products and services,
- providing data, for easier decision making, pointing out problems in the company, analyzing alternatives,
- providing data for the needs of planning and control of costs and performance about the parts of the enterprise, according to the production programs.

Operational accounting, or plant accounting, monitors and analyzes all sectors and individual activities that are very important in the planned values of enterprises.

### **CONCLUSION**

Accounting management is one of the essential activities in the modern business world. It is a process of creating conditions for efficient operation and a source of information for managers.

Today it is inevitable to have information.

Here we will emphasize that management is in constant contact with management accounting.

Management accounting performs three groups of activities,

- reports on the success, changes, and financial condition of the business entity,
- performs planning, controlling, motivating, etc.,
- makes individual business decisions.

All these activities are to increase the capital of the company, ie to achieve added value for the owners of shares, shares of business partners, and the like.

Whenever the management receives the correct, accurate, and timely information, it is ready to make correct and rational decisions.

Therefore the need for various information related to revenue, expenditure, cost, costs, and the like. are of great importance for the overall management.

Management accounting, as a subsystem of the accounting information system, generates information related to operating accounting information, accounting, and financial information, as well as managerial

accounting information. Management is focused on the use of information obtained from financial accounting.

However, the information not contained in the financial statements is provided by other accounting subsystems. Based on management accounting information, management should be prepared to plan, organize, manage, and make decisions. All of these functions require information that is functional and can predict the future of enterprises.

That is, management accounting processes the data about what happened in the past with the business entity to the extent and in a way that allows the information to be used to anticipate the future.

The importance and usefulness of managerial accounting are perceived through the four concepts.

The concept is based on the function, the concept based on the usefulness of the results, the concept based on the criteria used to assess the values in managerial accounting, as well as the concept based on the benefits associated with and obtained from the function of managerial accounting.

This means that the function of managerial accounting should be an activity in terms of seeking and finding opportunities to create sound values for the business entity.

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## Factors Influencing Consumer Preferences for Chicken Meat

MSc. Irimi Goga<sup>1</sup>

<sup>1</sup>Phd Candidate, Agricultural University of Tirana, Albania, e-mail: gogairini@hotmail.com

**Abstract:** Chicken meat for nutritional values and protein level constitutes a significant component of the consumer's food basket. Factors influencing meat consumption are related to culture, which plays a crucial role in determining food patterns. The habit of diet is significantly influenced by traditions, customs, taboos thus influencing the consumption of meat to a large extent, especially in rural societies. However, studies show that urbanization has caused an increase in demand for meat products, as people move to cities, they adapt to access meat consumption. The difference in consumption and production methods is strongly related to the overall economy of a country. Cultural differences are also responsible for variations in meat consumption patterns. Differences in food consumption are observed between regions and states. Globally, poultry meat is the most consumed products. Factors that influence consumer preferences products are psychological influences (will, risk, expectations, socio-cultural factors, lifestyle and values), sensory qualities (visual appearance, texture, taste, and smell), and marketing factors (price, label, brand, and availability). Consumption varies between and within countries. Consumer attitudes and beliefs about meat and meat products depend on the product itself and the characteristics of the individual. They are measurable and changeable and affect personal emotions and behaviors. This paper is a review in the literature regarding the identification of factors that affect consumer preferences for the consumption of chicken meat. Knowledge of these factors influences a better assessment of future consumer behavior in relation to this product.

**Keywords:** Chicken meat, factors, consumer differences

**Jel Codes:** M31, L99

### Introduction

Culture-related factors influencing meat consumption play a crucial role in determining food patterns (Lahsaeizadeh, 2001). The habit of diet is influenced more by traditions, customs, taboos thus influencing the consumption of meat to a large extent, peculiarity in rural society. However, studies show that urbanization has an increased demand for meat products, while persons moving to cities, they adapt to access meat. The difference in consumption methods and is strongly related to the overall economy of a country. Cultural differences are also active for variations in meat consumption. Differences in food consumption between regions and states (Gandhi and Zhou, 2010).

Meat and meat products are a source of protein in the human diet and their consumption depends on socio-economics, ethics or religious beliefs and traditions. Globally, poultry meat is consumed the most 13.6 kg / capita / year (FAOSTAT, 2014). Consumption between and within the language. Attitudes and beliefs are related to meat and meat products depending on the product itself and the characteristics of the individual. They are changeable and changeable in personal emotions and changes (Font-i-Furnols & Guerrero, 2014).

In the European Union meat consumption per person is close to 27.0 kg per year. Increased consumption of poultry meat is influenced by a care in increasing the health of their modern white consumers, potential meat is consumed several times a week, it is cheaper than red meat, less fat, so it is dietary. and is a very good source of protein, iron and minerals. A common solution as it is easily separated, prepared easily and quickly for consumption. In addition, it differs from a high protein coefficient, a very favorable conversion of food proteins into animal proteins, used in various delicate and high quality food products (Adamski 2010, Nowak & Trziszka 2010; Adamski & Wencek 2012).

Consumers choose chicken meat and eggs that have selected attributes when making their purchasing decisions. To get the highest benefit, consumers block several steps; they analyze choices in their detection given their stand budget, such as different types of chickens sold in the market (Economides, 2010). They then analyze their preference given the choices that are available. Most preference is given to the type of chicken or egg, the large size of its attributes offers benefits (Ndenga, 2019).

Socio-economic characteristics who do not prefer their education: senior level, family level, gender and income levels. Studies on socio-economic variables can also inform marketers about their marketing strategies that need to be adopted when segmenting changes and developments of defined patterns. The amount of revenue available will determine the information and quantity of a product that will be purchased by an individual as consumers tend to maximize their profitability, subject to limit restrictions. Consequently, the level of education of a potential consumer affects the type of quantity, and characteristics of goods and products purchased due to the level of level of consumer awareness arising from the consumption of these goods and those (Ndenga, 2019) .

Yanget al, (2016) attempted to employee preferences for meat labeling in traditional markets, where the results showed that younger women, with higher education had a positive willingness to pay for information security for me in the grocery, viz. ., Growth hormone and growth. From studies age, sex of chicken and the discovery of their detection in the preference of prices and prices that were to pay (Aklilu, 2007; Sodjinou et al., 2014).

In addition to the above, consumers of their meat are more interested in the safety conditions and products poultry by those who are in good condition, as well as their safety in the market. (Adamski 2010, Aral et al. 2013, Doctor 2007). In Europe, it is happening to be better known for growing birds in organs with defined principles, although they are more expensive than conventional methods, even if for a long period of growing birds (Castellini et al. 2002; Herbut & Koreleski 2004; Castellini 2005; Mikulski et al. 2011; Elerog`lu et al. 2013, Pietrzak et al. 2013). Requirements in improving the connection not only with good bird information, but also with high security.

The necessity of providing food supply in qualitative and quantitative terms for the growing population, as well as the need for animal protein, health problems due to nutrition, awareness and the tendency of consumers to maintain a healthy and balanced diet, have made that the poultry sector be considered an important industry worldwide (Aral et al 2013). For its high food conversion efficiency, it has gained a price advantage over other types of meat and has become the meat of choice for many families (Iddamalghoda et. al., 1998).

### **Assessment of consumer preferences and requirements for chicken meat and products in the world and in Albania**

Nowadays, healthy living is the focus of consumers. Chicken meat is a quality source of protein in the consumer's diet. Their interest in origin, freshness, taste are the hallmarks for chicken producers. Based on various studies, consumer attitudes are influenced by external signals as well as internal signals for quality selection. However, consumer choices are influenced by many factors that ultimately shape purchasing decisions. Font-i-Furnols and Guerrero (2014) identified consumer behavior as dependent on related factors, including psychological influences (will, risk, expectations, socio-cultural factors, lifestyle and values), sensory qualities (visual appearance) , texture, taste, and smell), and marketing factors (price, label, brand, and availability). Also, Grunert et al, (2004) used the total food quality model to analyze consumer perception and decision making in determining meat quality. The model showed that consumers form expectations for quality at the point of purchase, based on their experience and the informative suggestions available in the shopping environment. These preferences are influenced not only by quality and consumer-related factors, but also by context, culture and information (Goga, 2019).

Preferences are also influenced by context and information in addition to product attributes. Many studies show that "country of origin" and "country of purchase" are the main indicators. Experience quality indicators, such as taste or aroma, are difficult to measure, but play an important role in assessing the quality of fresh meat. In response to the meat safety assessment, "country of origin" can be considered as an external indicator of attributes. Also, the place of purchase, the color, the piece of meat and the credibility attribute mark of fresh or frozen meat are also very important. To assess the quality of food, as well as to indicate the safety of meat products, consumers often refer to the attribute "country of origin". However, no less important are the other attributes of meat, which are taken into account by the preferences of buyers such as price, income, population migration, age, education, etc. The impact of the lower price of poultry meat than other types of meat is a factor that may make the consumer prefer

the consumption of poultry meat. Changing lifestyle orientation based on healthy diet has also increased the demand of buyers for poultry meat products, as they are a great source of protein. They pay attention to the selection of safe and fresh products. Culturally, meat is associated with wealth and consumption is seen as a reflection of favorable economic conditions (Nestle, 1999).

Looking at the international market in the light of consumer preferences, the impact of globalization has been studied (Li et al, 2002; Berning et al, 2008; Bai et al, 2008; Zaikin & MccCluskey, 2013), Western processes in consumption (Gabrielyan et al , 2014) accordingly in market design (Kyndra et al, 2007), proving the influence of personal characteristics of consumers (gender, age limits, income level, presence of children, etc.) on consumption. While studying consumer preferences in the poultry meat market, researchers identified factors that influence consumer habits and consumer preferences, allowing them to use marketing tools more effectively and form strategies (Aral et al, 2013; Glotova et al, 2016).

In Albania, after the transition to a market economy, which began in the early 1990s, Albanian consumers shifted their consumption from mainly cereal-based foods to those with more meat, as a result of higher per capita incomes, from on the one hand and market liberalization on the other. By the late 2000s, per capita meat consumption was 3 times higher than in the pre-transition period. Despite the increase in meat consumption, it remains significantly still lower compared to Europe (Skreli & Zhllima, 2019).

Table 4. Production and consumption of poultry meat (thousand tons)

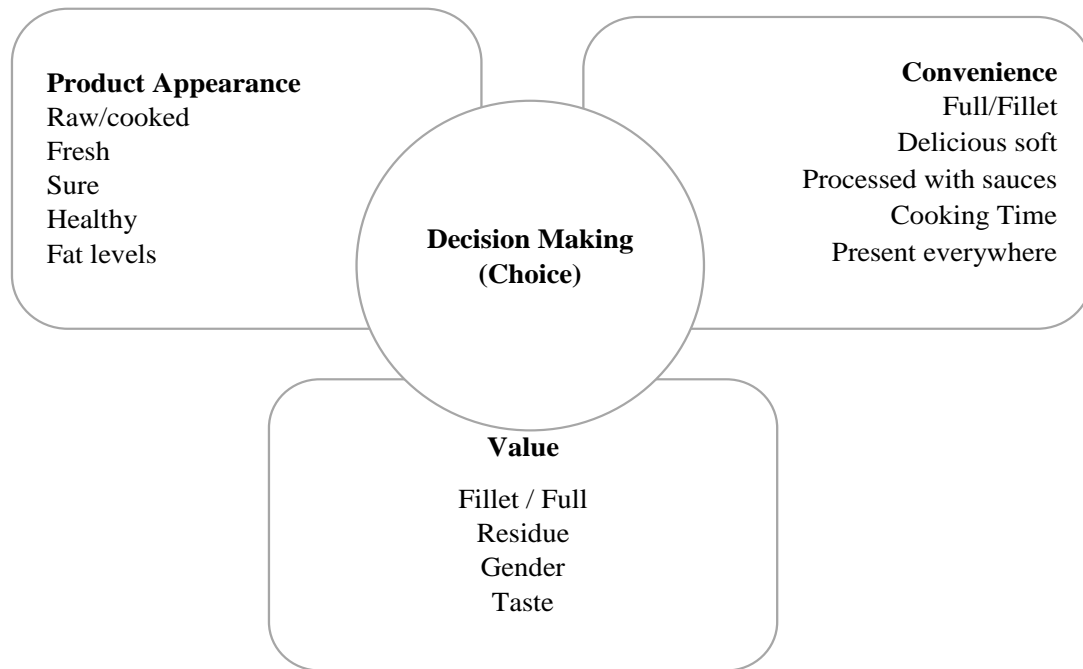
Country	Consumption
China	23.927
India	3.819
Turkey	1.738
South Africa	2.394
Mexico	4.606
Brazil	10.288
North America	19.422
European Union	14.128
Australia	1.270

Source: FAO, 2020

Culturally, meat consumption is a reflection of favorable economic conditions (Nestle, 1999). Reducing the consumption of red meat is not a recent phenomenon, but reflects a historical trend due to industrialized agriculture, which has made the production cheaper and more efficient of other animal proteins such as chicken, available on a large scale (Fernandez- Armesto, 2001). Poultry consumption per capita is reported to have increased from 20.2 to 28.1 kg per head over the last decade (Poultry World, 2000). The type of chicken meat purchased has also changed. While fully cooked chicken has been the traditional way of cooking and serving chicken as part of a family meal, chicken has now become a regular component of most meals and not just for special occasions (Mitchell, 1999). Consequently, expectations and perceptions of quality are likely to have changed and vary greatly between cultures and individuals. Commercial and consumer climate change indicates an evolving need to better understand the factors in determining meat and especially chicken selection (Kennedy et al, 2014).

Perceptions of the quality of fresh meat are likely to reflect the ways in which consumers process information (Becker, 2000). Under the “perceived quality” approach certain suggestions are used by consumers to predict product quality attributes (Northen, 2000). Product attributes can be categorized according to whether they relate to the production process, including animal welfare and food safety issues, or to specific product attributes related to nutritional content, sensory factors, and product image (Caswell et al. , 1998). Perceived attributes are more important in chicken meat selection and in understanding how these factors interact to influence decisions regarding chicken meat selection and consumption and products (Kennedy et al., 2014).

Figure 1: Factors influencing consumers in choosing chicken meat



Source: Adapted according to Kennedy et al., (2014)

## Conclusion

Meat and meat products are a source of protein in the human diet and their consumption depends on socio-economics, ethics or religious beliefs and traditions

Increased consumption of poultry meat is influenced by a care in increasing the health of their modern white consumers, potential meat is consumed several times a week, it is cheaper than red meat, less fat, so it is dietary. and is a very good source of protein, iron and minerals.

Consumers choose chicken meat and eggs that have selected attributes when making their purchasing decisions.

Socio-economic characteristics who do not prefer their education: senior level, family level, gender and income levels. Studies on socio-economic variables can also inform marketers about their marketing strategies that need to be adopted when segmenting changes and developments of defined patterns. The amount of revenue available will determine the information and quantity of a product that will be purchased by an individual as consumers tend to maximize their profitability, subject to limit restrictions.

Preferences are also influenced by context and information in addition to product attributes. Many studies show that "country of origin" and "country of purchase" are the main indicators. Experience quality indicators, such as taste or aroma, are difficult to measure, but play an important role in assessing the quality of fresh meat. In response to the meat safety assessment, "country of origin" can be considered as an external indicator of attributes. Also, the place of purchase, the color, the piece of meat and the credibility attribute mark of fresh or frozen meat are also very important. To assess the quality of food, as well as to indicate the safety of meat products, consumers often refer to the attribute "country of origin".

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## The Importance of Meat Product Label Information in Creating Consumer Perception

Msc. Irini Goga<sup>1</sup>

<sup>1</sup>Phd Candidate, Faculty of Economic and Agribusiness; Agriculture University of Tirana, Albania

e-mail: gogairini@hotmail.com

**Abstract:** Meat products are a very important element in the diet of consumers. This increases the need to study consumer perception about this product. In a dynamic and intensive lifestyle, eating healthy in this decade is one of the most important and discussed issues. The consumer needs to be protected and well informed through product certification to insure good product quality. A well described label should always accompany all the products especially meat products. A quality label will provide more knowledge about the health benefits of food, and be able to increase awareness of food-borne disease. A well product describe will impact to consumers to be more concerns about the environment which influence the consumer welfare. A major task for food producers and policy makers would be creating efficient mechanism or program to provide food quality information demanded by consumers, though it is not an easy one, due to the complicated relationship among food quality attributes.

This paper evaluates the consumer label importance in meat products in two of the main cities in Albania: Tirana and Durres where is concentrated almost half of the habitants. The purpose of this paper is to identify consumer perceptions about their belief in the information reflected in the label of the meat product. This study evaluates that consumers are identified by lack of faith on label description. Only 16.8% of the interviewers always read the product label, 36.8% read the label from time to time, and 14.5% read often the product label. The study showed that the habitant in urban area (average= 3.65) are more interested in reading the label compared with the habitants in rural areas average=3.2). Meanwhile, the results shows that females are more interested in a quality certified product than men.

**Keywords:** consumer, consumer behaviour food quality, label.

**Jel Codes:** M31, L99

### Introduction

Meat is for a tradition and most cooked food Albanian family. It dominates the food basket of households. In fact, the meat especially sheep and beef meat are far more expensive when compared to poultry or pork meat which makes about ½ of total meat supply consumption. In contrast on a different situation is presented in the EU, where beef has much smaller share compared with other types of meat. Imports represent a significant share of local consumption for all main types of meat. The meat value chain is considered a priority sector considering import substitution potential.

Chicken meat plays different roles in the meat diets of the populations of countries. In the Western Balkan Countries (WBCs), for instance, poultry is a popular meat and represents roughly 30% of total meat consumption. Based on FAO study, as incomes rise in developing countries, consumers generally diversify their diets, moving away from staple foods and towards including more meat (along with dairy products and fruits). The new lifestyle favours “ready-to-eat” and “convenience” food products. This shift in consumption pattern increases the demand for high-value food products such as poultry meat and eggs (FAO, 2010;). In that last quarter of 2008, poultry meat prices remained stable, but in early 2009, the price of poultry meat fell when consumer demand started to falter, portending another year of low profits or even losses.(FAO 2010; Poultry meat and eggs). As Skreli mention in his report, there has been an increasing trend in the production of all types of meat and meat production is destined to the domestic markets, thus the production increase is mainly triggered by increase in the domestic demand. Despite the increase in production, imports have remained high thus any investments or business developments should consider import substitution as a priority, while exports are no feasible in the near future. One major concern is the lack of compliance with standards, which also bans Albania from exporting livestock (meat) products to EU markets (E.Shkreli & 2019)

It is important to underline that the global poultry meat production has been revised downwards since November 2008 to 94.7 million tons, largely because of the avian influenza epidemic in Asia.

Suphabphant et al., 1983, mentioned that contaminated chicken meat may represent the greatest potential hazard of human gastroenteritis caused by salmonellae. As well, segun different studies of various authors (Barrel, 1987; D'Aoust, 1989; Rampling et al., 1989; Bean and Griffin, 1990; Cooper, 1994; Morris, 1996) it is identified that there are various reports which link human cases of salmonellosis to the consumption of chicken. Numerous outbreaks have been reported related high rates of contamination of broiler chickens with Salmonella (Bokanyi et al., 1990; Machado and Bernardo, 1990; Burow, 1992; Rusul et al., 1996; . Uyttendaele et al., 1998; Boonmar et al., 1998).

All over the world, people are becoming increasingly aware of farm animals' welfare. Based on Euro barometer, people believe that broiler and laying hen industries need to improve the current level of bird welfare. Consumers' perception can influence the type of product purchase.

There are guidelines which determined that imported products should meet the basic EU standards to enter this market.

The Regulation (EU) n. 1151/2012 has defined further and maintained protected designations of origin (PDOs) and protected geographical indications (PGIs) schemes. This Regulation aims to help the producers of agricultural products and foodstuffs to communicate with buyers and consumers the product characteristics and farming attributes. Understanding consumers of food products (FAO 2010)

National labelling laws, international norms and guidelines as well as private standards aim to protect consumers from deception and businesses from unfair competition. Food labelling is also becoming a policy tool foFood producers in many countries are keenly interested in finding ways to inform consumers about the qualities of their products at the point of purchase. Many consumers actively seek information about products that have qualities that serve their health needs and are consistent with their values. As a result of these varied interests, food labels are increasingly being used to provide consumers with information about the environmental, technical and socioeconomic conditions under which the products were produced, as well as the health and safety aspects of food products. The growing consumer and industry interest in food labels presents challenges for government authorities, which must ensure that the information that appears on food packages is useful, credible and presented clearly so that it does not mislead the consumer. With the increase in global trade in food, there is a need to harmonize food labelling so that product information is easily understood and is relevant to consumers in different markets.r motivating change in consumer behaviour and shifts in food production practices. (FAO, 2010 )

It is very important for food businesses, scientists and policy makers to understand consumers of food products: in the case of businesses to develop successful products and in the case of policy makers to gain and retain consumer confidence. Consumers' requirements and desires are affected by issues such as culture, age and gender and issues important to consumers nowadays such as diet and health or GM foods will not always be so significant. Therefore food businesses and policy makers need to understand consumers' attitudes and the influences upon them to respond effectively. Edited by two distinguished experts, this book is an essential guide for food businesses, food scientists and policy makers (FAO, 2010 )

Consumers have to choose between various meat products, with different origin, type of production and conservation. Meat label product should be accompanied always the product in order to be a source of nutrition information also a guarancy of meat food quality.

Albania is facing serious problems with the national food safety control system in terms of legislation, food processing, transportation, trade and control as well as law enforcement, which pose real and perceived safety risks for consumers (Kapaj et al, 2016)

The producing labelling should complies with existing legislation and satisfies the needs of all interested parties. Food labelling also provides a valuable insight into possible future developments.

Our study is concentrated on two main areas with highest number of habitants.



## **Poultry meat consumers preferences and labelling products**

Starting from the intensive and dynamic life, people have less time to have a healthy lifestyle. Nowadays is becoming an important issue for consumers living healthy, preferring friendly environment products and take intation on animal welfare.

Thus, consumer preferences are focused more and more to poultry meat. This type of meat has a good quality of the protein needed on the consumer's diet. This product, needs short time to prepare also.

In a competitive market food safety issues often arise from problems of asymmetric information between consumers and food producers with regard to product-specific attributes or characteristics (Ortega et al., 2011). The consumers' interest in the origin, freshness, taste are the cues for the poultry meat producers.

Based on different studies, the consumers' attitudes are influenced by extrinsic cues as well by intrinsic cues for quality selection.

Each label conveys a set of characteristics (such as text, color, shape, etc.) that provides information about the product; however, the space available is always limited by the size of the package as well as by the regulations set out by law. In today's modern, globalized market, these limitations can be partially overcome by using Mobile Marketing, such as the QR Code (Quick Response Code), that combines the possibility to provide information with that of promoting and enhancing the value of the product and/or the brand. (S. Bacarella L. A., 2015)

Nevertheless, consumers' choices are influenced by many factors that ultimately shape purchasing decisions.

As mention Shiang et al. and Kwak, (Shiang-Yen T., 2010); (Kwak S.B., 2013), in order to record traceability of food products was used QR Mobile Marketing, which transforms the physical identifiers (adhesives and labels on products, packaging, price tags, etc.) into something new and interactive, which can provide much information about the product's production process and general information about the Company .

Also, Grunert, Bredahl, and Brunso (2004) used the Total Food Quality model to analyze consumers' perception and decision- making in determining meat quality. The model showed that consumers form expectations about quality at the point of purchase, based on their own experience and informational cues available in the shopping environment. These preferences are influenced not only by quality and consumer- related factors but also by context, culture, and information (Kanerva, 2013; York & Gossards, 2004). An author in his study mentioned that in early age, when consumers are initially interacting with market, their involvement and observation for purchasing of food products are high. When consumer crosses the age of 25 and gains more shopping experience, his/her food label reading habits change (M. Zeeshan, Zafar, 2014), Tiziana de-Magistris et al 2017).

## **Methodology**

Based on the literature and various studies made, it was constructed and conducted a survey which will figure out the socio – demography and economic data situation of the interviewers, their desire to consume meat products especially poultry meat, type of ultry meat, through the poultry meat attributes. The selection of the poultry meat attributes was made based on what other studies investigated and what different author has said regarding the products attributes. This survey was conducted in Tirana and Durres distirct, with around 250 interviewers. Conjoint analysis has been used extensively in marketing research to estimate the impact of selected product (service) characteristics on customer preferences for products or services (Louvier,1988). Based on the above, we select the conjoint choice method to analyze the results of the surveys. Within this method, is easy. As well, the approach aims to show the impact of attributes in the buyers decision and correlation of poultry meat attributes as: country of origin, price, age, gender, and color, place of purchase, type of product. The perception of products, including perception of its attributes means the starting point for the consumer decision. So, the combination of these indicators will give the necessary information needed to identify buyer's preferences towards the attributes of the poultry meat.

## Discussion and Results

The survey covered a sample of population in two main, biggest cities Tirana and Durres Region. The results of 250 samples of consumers in these areas, demonstrate that 89% of the participants evaluate as very important the product labelling of poultry meat product, 36% has an average assessment of the labelling presence in the meat product. It is important to underline that there is 1.6 % of interviewer indifferent of reading the product labelling.(table 1)

Table 1. How do you evaluate the detailed information on product?

	Frequency	Percent	Valid Percent	Cumulative Percent
Valid	Little	4	1,6	1,6
	Average	86	34,4	36,0
	A lot	134	53,6	89,6
	Mostly	26	10,4	100,0
	Total	250	100,0	100,0

Meanwhile, there was a statistically significant correlation between customer confidence in the predominance of labels and the frequency of reading labels ( $p = 0.00 < 0.05$ ). This relationship is positive and relatively strong ( $r = 0.697 > 0.6$ ). This means that the more buyers believe in label the more they will read them and vice versa. To the question if the consumers read the product labelling before buying poultry meat product, 83.2% of the participants answer that they read often the labelling; 51.2% read sometimes the product labelling and 14.4 % read the labelling rarely.

Below are presented the relations between variable gender (female – male) and the reading and believing in product labelling (table 2)

Table 2. Descriptive Statistics

	Gender	N	Minimum	Maximum	Mean	Std. Deviation
Male	Did you read labelling before buying a product?	99	2,00	5,00	3,4545	,91777
	Valid N (listwise)	99				
Female	Did you read labelling before buying a product?	151	2,00	5,00	3,5497	,95001
	Valid N (listwise)	151				

Both female and male pay attention in reading labelling of meat products. Thus, female read more often the labelling of product (average=3.5) compared with male (average=2.4). Our data show that the interviewer of urban area read more often (average= 3.6) the labelling of poultry products than, the interviewer from rural areas (average= 3.2) (table 3)Also, And the rural consumers of our study compared with them of urban area expressed low confidence in the meat labelling.

Table 3. Descriptive Statistics

	Birthplace	N	Minimum	Maximum	Mean	Std. Deviation
Urban habitant	Did you read labelling before buying a product?	156	2,00	5,00	3,6538	,96823
	Valid N (listwise)	156				
Rural habitant	Did you read labelling before buying a product?	94	2,00	5,00	3,2766	,83478
	Valid N (listwise)	94				

The relation between age and the reading labelling of poultry product show that older age get more intention of reading the labelling than the younger age. ( $r = 0.208 < 0.3$ ).(table4). On the same trend is the confidence level on the labelling description of the poultry product. Older ages believe more than younger people. This relation is positive but weak ( $r = 0.210 < 0.3$ ).

Table 4. Correlations

		Did you read labelling before buying a product?	Age
Did you read labelling before buying a product?	Pearson Correlation	1	,208**
	Sig. (2-tailed)		,001
	N	250	250
Age	Pearson Correlation	,208**	1
	Sig. (2-tailed)	,001	
	N	250	250

\*\* . Correlation is significant at the 0.01 level (2-tailed).

Our study results show that there is a pozitiv but weak relation between education level and the reading of the poultry labelling ((  $r = 0.288 < 0.3$ ). (table 5). So, consumers with higher levels of education are more careful to read the poultry meat labelling.

Table 5. Correlations

		Did you read labelling before buying a product?	Highest education level
Did you read labelling before buying a product?	Pearson Correlation	1	,288**
	Sig. (2-tailed)		,000
	N	250	250
Highest education level	Pearson Correlation	,288**	1
	Sig. (2-tailed)	,000	
	N	250	250

\*\* . Correlation is significant at the 0.01 level (2-tailed).

Our interviewers 48.8% believe very little in the poultry labelling and only 0.4% of them believing on labelling of the poultry product. 2.4% average of interviewers believe in the labelling poultry product.

Table 6. Did you belive on the labeling description?

	Frequency	Percent	Valid Percent	Cumulative Percent
Valid	1,00	58	23,2	23,2
	2,00	122	48,8	72,0
	3,00	43	17,2	89,2
	4,00	26	10,4	99,6
	5,00	1	,4	100,0
	Total	250	100,0	100,0

Table below, figure out the assessment of different attributes that are described in the label

Table 7. Descriptive Statistics

	N	Minimum	Maximum	Mean	Std. Deviation
How do you evaluate the lower (sale) price when you buy the product?	250	1,00	5,00	2,8320	,83820
How do you evaluate the product package?	250	1,00	5,00	3,2560	,81061
How do you evaluate fat % of the product?	250	1,00	5,00	3,2760	,72797
How do you evaluate the written message in the product?	250	2,00	5,00	3,7280	,66316
How do you evaluate the brand of the product?	250	2,00	5,00	4,0120	,87574
How do you evaluate the appearance of the product (color)?	250	1,00	5,00	4,3680	,75022

How do you evaluate the origin of the poultry product	250	2,00	5,00	4,3760	,70185
How do you evaluate a certifying product?	250	2,00	5,00	4,4320	,72628
How do you evaluate the taste of the product?	250	2,00	5,00	4,8920	,43944
How do you evaluate the freshness ?	250	3,00	5,00	4,9280	,28835
Valid N (listwise)	250				

Our customers value product freshness (mean = 4.92), product taste (mean = 4.89), certification or product safety villa (mean = 4.4) and then on origin, appearance / color, licensing stamp, brand etc. The least appreciated feature is the low price (sales) (mean = 2.8). Consumers are progressively more and more aware of the issues related to food and the impacts on their own economy and the environment.

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## Big Shocks and Its Impact on Small and Medium Enterprises

Kaltrina Bajraktari<sup>1</sup>

Natasha Trajkova<sup>2</sup>

<sup>1</sup>PhD student, Faculty of Economics, Kosovo “AAB College” Pristina, Kaltrinabajraktari94@gmail.com

<sup>2</sup>PhD, Faculty of Economics, Prilep- “St. Klement Ohridski”- University of Bitola,  
Natasha.trajkova@uklo.edu.mk

**Abstract:** Small and Medium Enterprises (SMEs) have minimal resources and sensitive supply chains, and it is expected that the external crisis will seriously jeopardize and affect them. In addition, it is anticipated that not all SMEs will find the proper management and solution to cope with the economic crisis created by big shocks. The disappearance of some of these businesses is also predictable review identified the negative impact the external shocks have had on SMEs. In addition, an eclectic approach of ongoing research was created, among other things, on the ability and specific characteristics of SMEs to manage the external shocks as its main contribution.

**Key Words:** SMEs, exogenous shocks, economic crisis.

### Introduction

The external economic shocks are a major concern for small and medium enterprises (SMEs) (Asgary A et al., 2020), and unfortunately, the world and its separate regions have gone through several periods of economic shocks of various natures, which have had a significant impact on SMEs (Tslikika TH et al., 2020; Doshi et al., 2018). The recent ongoing big exogenous shocks, such as wars, armed conflicts, financial crisis, and pandemics, have drawn serious research attention of late, as they are imposing challenges in almost every system, economic, political, social, globally, but also for every economy and its economic actors. The big shocks have undoubtedly had a serious and long-lasting impact on the economic well-being of people and also on the functioning of the businesses, especially the small and medium ones, because of their limited capabilities to control these events and unable to cope with financial instability and uncertainty (Herbane, 2010). Therefore, this paper outlines a theoretical and analytical background on how shocks and crises affect SMEs, offering discussion on what makes SMEs different from large firms, emphasizing their vulnerability and resilience to exogenous shocks and crises.

SMEs are important in the development and the diversity of the economy. The access to open and maintain them is more accessible and cheaper. Therefore, they cover the most significant number of open businesses, so their reaction to any exogenous shock significantly affects the country's economy. Hence, it is of enormous importance to discuss the variety and diversity of exogenous crises, classify and analyse these crises, and explore what SMEs' characteristics are determinants of their response to the crisis. Different types of exogenous shock attack SMEs differently, and their timing and severity cannot be predicted (Doern et al., 2019). Sometimes the exogenous shock may be fatal for SMEs, sometimes because of internal weaknesses, occasionally due to lack of government and banking support that SMEs need in times of crisis, as they possess low capital and small financial opportunities even before the shocks (Pal et al., 2014; Asgary A et al., 2020). Recently, the global economy has suffered two shocks: war crises in some regions and global health crises, but this does not exclude the impact of other exogenous shocks. The COVID-19 pandemic and the conflicts and wars emerging from the dissolution of former Yugoslavia revealed that SMEs in the Balkan countries are particularly vulnerable to crises and shocks. Among the negative impacts that economic shock has on lower-income countries, a risk of a potential civil war is present (Savun B and Tirone D, 2018).

Dissolution of markets, a sharp decrease in demand, and disruption in the supply chains, accompanied by colossal obsolescence or destruction of physical capital and human capital, significant economic contraction, and financial losses of the firms are some of the costs economies and firms face from exogenous shocks (Trajkova N., 2013).

## **What are big exogenous shocks – definition and main characteristics?**

In 2003, International Monetary Fund provided a definition of an exogenous shock. According to IMF (2003), it is defined "as a sudden event beyond the control of the authorities that has a significant negative impact on the economy" (IMF, 2003). According to the definition, such shocks can be of various natures – political, social, health, or economic. However, their main characteristic is unpredictability and exiguousness to the systems. At the same time, poor institutions, economic policies, the weak rule of law are endogenous for the countries, i.e., created by the policies (governments).

In general, an exogenous shock can be defined as an unpredictable or unexpected event (or series of events in a short period) that significantly negatively impacts one market and its actors and the country's whole economy. Although not initiated by the affected countries, it can be sometimes anticipated (for example, wars and conflicts), but in a brief period (days or months), not relevant for the economic research. Hence, it is considered that their unpredictability remains the main characteristic.

Some types of shocks tend to reoccur in some cases, creating the chronic extended condition of shocks or so-called constant instability. This is particularly the case for conflict regions that experience continuous reoccurring of various shocks. The Western Balkan region has been unstable for the past three decades. The central plan was that countries of the area could achieve EU membership, with an EU so-called "ladder of increasing rewards" for their efforts to build on peace, improve their economic performance, and create democracies ruled by law. However, the constant ethnic tensions in the region seem to obstruct their efforts, keeping them dependent on international economic and political support.

One additional characteristic of the exogenous shocks is that they have a considerable and measurable impact on the economic, political, and social systems within affected countries. They are not easily reversible even with the correct policies' responses, meaning they have some measurable impact on the economy in particular.

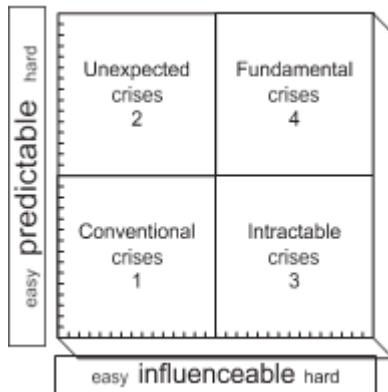
Finally, the exogenous shocks can have a short- or long-lasting effect on the economy's growth or actors (SMEs in this case). Nevertheless, measuring how permanent the shock's impact can be challenging for a given business ecosystem. Namely, in some cases the measurability and visibility of the effects can be achieved only after a specific period. In general, the stress can be an acute one-off event or a chronic crisis that means consequences that SMEs attempt to overcome in a more extended period.

The shocks evoke some reaction of the economy or its actors. The responsiveness to shocks can also be an essential characteristic differentiating the types of shocks and the economies and actors' vulnerability. In general, the response of the government policies and SMEs is observed distinctly in the literature. The former encompasses the external measures created to help society react to the shocks and crises. In contrast, the latter includes the internal changes within SMEs related to their strengths. This definition allows us to contextualize shocks that could be considered exogenous inflicted damage created or exacerbated based on poor preparation or policies, for example, by the government or by the SMEs.

Finally, the shocks can have a perpetual self-fulfilling dimension, with many consequent shocks creating a more extended crisis, and another way around, a crisis developing shocks in a row. Either way, the resulting instability affects the functioning of the economy or SMEs.

According to Gundel (2005), ignorance in crisis (or shocks) is fatal and disastrous for people and society. Therefore, shocks typologies should be scientifically researched, which, according to him, are an essential point in the development of one economy and structure new typologies of shocks based on previous experiences. He has developed a crisis (or shocks) matrix that classifies crisis into four main types: conventional, unexpected, intractable, and fundamental, according to their two characteristics: predictability and influence. The picture below shows the classification.

Picture1. Grudel Crisis Matrix



This crisis matrix by Gundel (2005), divides crises according to their frequency and on the relevant countermeasures. Conventional crises are easily predictable and can also be treated, although the consequences of these crises can be vast and fatal. Examples of this type of crisis may be: electrical breakdowns, various explosions, etc.; in rare situations, they also might be natural or social crises because they position themselves more in the technology and digitalization sector (Gundel, 2005).

Unexpected crises usually are more harmful than congenial crisis because they are unpredictable; therefore the prevention has not been carried out, but they are rarer. Unexpected disasters come from nature, technological or social systems. Gundel (2005) describes the fire that engulfed a cable car in Austria in 2001, killing 151 people, a sudden and unforeseen crisis caused by the technological system. After a crisis occurs or it ends, it becomes a known situation, and the possibility of recurrence tends to disappear because of preparation for such situations with the necessary tools and strategies.

Unlike unforeseen crises, intractable crises are more dangerous; they can be predicted but cannot be solved; consequently, they have more significant damage. Intractable crises might be: global changes, earthquake, etc.

Fundamental crises are considered crises with great potential for danger because they appear strangely, are not predicted, and are not affected. Summarizing all these situations together makes it impossible to prepare for such crises.

### Types of Shocks that affect SMEs

SMEs are more sensitive to external shocks because external shocks have significant complications for SMEs, and they cannot control the risk caused by them (Asgary et al., 2020). Since one of the primary objectives of this study is the specification, discussion, and analysis of exogenous shocks and their impact on SMEs, some shocks types will be discussed and elaborated more extensively. Different crises vary in their timing, influence, physical, financial, and geographical aspects and affect small businesses differently. Following the literature, and according to their different main dimensions, several shock types are analysed in this paper financial and economic shock, natural disaster shock, armed conflict shock, societal security shock, and health crisis shock.

#### Financial shock

A financial shock is a situation in which some financial assets suddenly lose a large part of their nominal value associated with banking panics. The most significant financial shocks in the economy are the Great Depression from 1929-1933, the Financial Crisis in 2008, but according to Hodorogel (2009), and Asian Financial Crisis in 1998s (Natase C and Kajanus M, 2009; Gregory et al., 2002). During the Financial crisis in the 2008s, in the United States, the SMEs lost 2.8 million jobs (Gagliardi et al., 2013), whereas during the Asian Financial Crisis nearly 100% of SMEs in South Korea bankrupt (Gregory et al., 2002). One of the global financial crisis impacts on SMEs was a reduced ability to obtain credit. The banks reduced their lending to small firms as it was deemed riskier, compounding the crisis for vulnerable firms (Buckley, 2011).

Unfortunately, in these financial shock times, when SMEs have been attacked, they must find opportunities to pull themselves out of the situation they are threatened with, and financial instability makes it impossible to test opportunities, while opportunities that are obvious run the risk of being overwhelmed by the application of that opportunity by many SMEs at the same time (Morgan T et al., 2020). A disadvantage for the SMEs that somehow manage to overcome the shocks, is that after the exogenous financial shocks, the situations may not be the same, in the sense of favour for existing SMEs and those who are new, where according to Power and Raid (2005), the most favoured in this part may be new SMEs. They can take advantage of the unfavourable situation created for old SMEs by the shock.

#### ***Natural Disaster***

Another shock category is natural disasters that causes physical destruction to businesses and have significant economic negative impact. Earthquakes, hurricanes, and similar natural disasters are included in this type. The two main mechanisms by which these shocks affect smaller firms are: the damage to property, equipment or supply chains, and macro-impacts related to economic downturn, demand constriction and impacts upon employees (Sydnor et al. 2017). To better cope with those situation the SMEs have to be prepared, but smaller firms usually do not have disaster planning and preparedness procedures and this affect badly in cash flow interruptions, a lack of recovery capital and infrastructure damage (Runyan, 2006).

#### ***Armed Conflict***

Armed conflict is ranked as another shock category, it can undermine the physical security of SMEs, also make the macroeconomic stability worse, disrupt supply chains and access to finance and lead to other challenges (Naude et al., 2013). Such a stream of events has been seen in Western Balkans in 1990s, with the break-up of Yugoslavia, and with a beginning of a conflict and wars decade, causing turbulences and disasters to the western Balkans countries' economies (Barlett W, 2007). Also in Yemen, violent conflicts affected negatively the SMEs and made it one of the worst 20 country worldwide economy (Alshapi M and Basavaraj K, 2020).

#### ***Societal Insecurity***

Societal insecurity represents distinct shock. It is hard to know when and which businesses will be affected. According to Gundel's (2005) concept of shocks, societal insecurity affects smaller firms in unpredictable ways. Smaller businesses are affected through extortion or violence and may be forced to integrate their business operations into bigger business or illegal economy (Ganson and Hoelscher, 2020) and this represent a big challenge. In general, the frequency and intensity of threats changes over time as one country changes policies and politics. Usually high level of corruption, high level of grey economy, weak institutional system and weak rule of laws are great background for societal insecurity. Ramirez et al. (2015) identified small firm strategies in response to organised violence, including closure or relocation; accepting coercion or violence as a cost of doing business and investing in private security and pressuring government for improved protection– but they seldom actively resist organised criminal violence. The expansion of private security firms in former transition countries has been considered in the literature as an important indicator for one economy security issues (Miklian J and Hoelscher K, 2022).

#### ***Health Crisis Shock***

Exogenous health shocks tend to unsettle the flow of economic processes and cause disruption in economic equilibrium system, as the pandemic Covid-19 has recently done with the global economy. Researchers have started to examine whether the COVID-19 pandemic affects smaller firms in a similar way as other crises (Bartik et al., 2020). The Covid-19 pandemic, considered as one of the most serious health shock, has had a profound impact on the economy, disrupting supply chains as a result of isolation measures, rising prices and causing lack of resources, and a bad sense of pessimism of never knowing the longevity of this pandemic (Morgan et al., 2020). For countries it is very important how SMEs adapt to this Covid-19 pandemic situation, because SMEs dominate the number of businesses in some of the countries, and consequently they have a major impact on the country's economy and development.

The length of pandemic affects smaller firms to experience rapid losses (Kurmann et al., 2020), as they generally are more sensitive, have lack sufficient resources to tolerate long periods of crisis (Cowling et



al., 2020). For example in Lebanon, 50 percent of small firms shut down since the beginning of the pandemic time, and only 9 percent were normally functioning after 6 months (The ILO, 2020). According to Brown and Rocha, (2020), the pandemic Covid-19 has had bigger shock than global financial crisis in 2007-2008s, while the 50 percent of world SMEs have temporary stopped trading since the isolation measures and lockdown (Bartik et al., 2020), excluding industries related to medical products, which were among the only ones to benefit from the Covid-19 pandemic crisis (Valinsky, 2020). According to Clampit et al. (2021) SMEs which employ dynamic capability models recover more quickly and strongly than their partners who does not.

### **Small and Medium Enterprises (SMEs) in the context of shocks – main characteristics**

In general, big exogenous shocks cause considerable disruption in various systems, unsettling the whole economic environment and ecosystem and impacting the functioning of the firms (Hudecheck et al., 2020). The big shocks tend to trigger series of events that change consumers' demand, disrupt supply chains, problematize liquidity, affect employment and labour and challenge government policies and responses. Firm characteristics are important determinant that affects how shocks are experienced by the business. A shock may affect businesses operating in a particular sector, or country, more than similar one in various circumstances.

Further, older, or experienced businesses may be able to survive shocks better than new firms, because they already have lack established business models (Stinchcombe, 1965). All these characteristics complemented with one main dimension - the business size, determine how the business is affected by, and respond to exogenous shocks. Therefore business size is one of the central distinguishing factors in how firms differ in their experience of and vulnerability and resilience to shocks.

OECD stated that SMEs are generally more open to shocks or crisis due to many reasons:

- Mainly local demand-more prone

SMEs distribute their activities at the local level, around large firms, often supported by the latter.

- Dependant on the supply chains and old suppliers, no reserve partners

SMEs are not leaders in supply chains; they are usually followers. This position makes SMEs powerless to influence supply chains during crises and at risk of being included in the aftermath of global crises (OECD, 2008).

- Little or small export, which can be buffer in shocks

According to Freeman J et al. (2012), a good location for SMEs is associated with good exports, thus creating an advantage for SMEs positioned in metropolitan areas. Also, the firm's size, the type of service, networking, external finance, and partner relations have a particular impact on improving SME exports (Gashi P et al., 2013). In addition to these features, electronic services would contribute to the export of SMEs. In this regard, SMEs would benefit from developing a technology network - electronic services, thus reducing distance restrictions and barriers to entry, but they have a weak rate of development of electronic services (Porter, 2001). However, given the overall capacity of SMEs, they do not have a significant contribution to the country's direct export; they play a role as indirect exporters by manufacturing export, with larger entrepreneurs who coordinate handle the direct exports. There are few studies dealing with the export and internationalization of SMEs (Chowdhuri et al. 2019). SME export barriers are linked to financial difficulties, high transportation costs, foreign customs procedures, tariffs, cultural differences, and lack of knowledge of foreign markets (Pandya V, 2012).

- Worse access to finance

Insufficient access to financials and limited resources are a significant barrier for SMEs (Mulhern, 1996); as a challenge, it has affected high rates of SMEs failure (Tung and Aycan, 2008). This financial limitation reduces SMEs' capacity to cope with the economic shocks better (Das and Pradhan, 2009). Consequently, due to exogenous shocks in SMEs appears hardships in technology, production, and export (Akturk O, 2014), and also there appears a challenge with falls in labour productivity (Chow and Dunkelberg, 2011).

A solution to the problems caused by exogenous shocks is getting loans from banks and financial institutions. It is a challenge for SMEs because most SMEs are unwilling to meet the requirements of banks and financial institutions and end up being financially unsupported (Ahsan J, 2021). The banks and financial institutions tighten the conditions of their loans for SMEs, as they perceive the SMEs as high-risk businesses during the crisis (Piette and Zachary, 2015)

- Low level of capitalisation- smaller physical capital, equipment, machines

SMEs pretend to be located in a single location, so they are more prone to experiencing physical damage, according to Kroll et al. (1991). This characteristic makes them not strategically and tactically prepared for shocks, resulting in more considerable physical destruction and cut in supply chains. Considered as businesses that do not have desirable financial capital, this is reflected in SMEs' equipment and machines. The equipment and machines they use are not among the most expensive and newest on the market. SMEs use obsolete technology; they are not known as contributors to national-level innovation and do not have the advanced cyber security machines. Cyberattacks are fatal to SMEs; SMEs do not take security measures since they do not see themselves as the target of cyberattacks. The potential losses caused by these attacks create severe financial crises for SMEs.

- Human capital- usually small number of employed, sometimes family members

Compared to large firms, SMEs have lower capital, lower productivity, lower wages, and an indisputably smaller number of employees. They have limited internal resources (Bellini, 1998). This minimal spectrum of every sphere makes SMEs more vulnerable to exogenous shocks. One of the critical factors for developed SMEs is the worker's commitment (Reunolds and Miller, 1992), which is achieved by motivating them. The finances are significant challenge for SMEs, presenting difficulties in recruiting, motivating, and retaining the employees (Hornby and Kuratko, 1990).

- Low diversification- several products very dependant

Diversity affects SMEs' innovation (Bocquet R et al. 2019). During and after exogenous shock, one of the business strategies to cope with the situation and recover is innovation-diversity (Morgan T et al., 2020). When there is no satisfying diversity in SMEs, there is no good innovation; consequently, the range of products or services is limited and small and dependant (Verreyne M et al., 2019).

### **Business size as a coping factor against exogenous shocks**

Business size generally determines success (Dahlhamer and D'Souza 1997), consequently when businesses face exogenous shocks, size broadly correlates inversely with vulnerability.

Small business are more vulnerable to shocks (Marshall et al., 2015), and there is a risk of closure when external shocks occur (Sydnor et al., 2017). Although this is known fact, and in the other hand the importance of SMEs is very obvious since the SMEs are the major contributors to job creation and global economic development (Alshapi M and Basavaraj K, 2020; Abrie W and Doussy E, 2006), researchers are interested in investigating exogenous shocks with a focus on large firms, particularly multinational corporations (MNCs) (Li and Tallman, 2011), resulting in an unsatisfactory number of studies on the experience of SMEs against exogenous shocks in the literature, although such materials are much needed by SMEs as a practical model (Davidsson and Gordon, 2016).

When shocks occur, they disrupt SMEs traditional business strategies (Perrow, 1984), and their impact or consequences are not easily predictable (Ansell and Boin, 2019; Morgan et al., 2020). The consequences are not the same at different SMEs due to the ability of SMEs' managers to manage shocks and influence the outcomes. Major exogenous shocks tend to create uncertainty and ambiguity, also tend to cause considerable economic disruption (Hudecheck et al., 2020). During such shocks, prevailing macroeconomic processes can reorient processes, with new strategies of simultaneous, change in structure, and the nature and pervasiveness of control systems' (Tushman and Romanelli, 1985). Businesses that have a tradition and experience, have better skills to withstand the shocks than new businesses, while the SMEs are likely to respond to shocks, in distinct ways since external shocks may be

far more damaging to small businesses than to larger firms, such that business size is one of the central distinguishing factors in how firms differ in their experience during shocks (Miklian and Hoelscher, 2022).

The small and large businesses may be different in the way of reacting to shocks because of the dynamics of a firm's size, the capacity they have, the management response in the nature of crisis and the rationality and effectiveness of decision making. Larger firms tend to have greater access to capital and operate in multiple sectors, which is an indicator that firm size have a correlation with the ability to survive shocks. Regarding physical damage, according to Alshapi M and Basavaraj K (2020), in Yemen during the violent conflict, 41 percent of medium-sized companies and 25 percent of small firms got damage to buildings. During the crisis the business models become ineffective and this is very damaging for small businesses (Morgan et al., 2020), and although they may survive during shock period, their performance is poor. SMEs face low demand and supply is just a few of the consequences of exogenous shocks (Hodorogel, 2009), especially during the Covid-19 pandemic, a marked imbalance in demand is observed (Ali M et al. 2021). The lack of demand is the main cause of the decline in production capacity (Akturk O, 2014).

### **SMEs in developing vs. developed countries**

SMEs' role in economic growth is significant in developed and developing countries (Pandya V, 2012), and shocks negatively affect all countries. In developed countries, SMEs are more advanced and conversely. In developed countries, SME's technology is more advanced and SMEs more aware of e-transformation. They are pressed by the customers, competition and the digital economy to adapt and change; whereas, in developing countries, e-transformation is still in its early stages of development (Kapurubandara M et al., 2010). SMEs in developing countries face a challenge due to the infrastructure, social, cultural, and regulatory factors and internal constraints inherent to SMEs by nature (Kapurubandara et al., 2007). Those challenges in developed countries are much less pronounced. Exogenous shocks negatively affect both developed and developing countries but in particular in developing countries (Natsase C and Kajanus M, 2009). SMEs face disproportionate barriers to functioning in case of shocks and crisis, especially in developing countries, finding it hard to support their businesses in times of exogenous shocks. The World Bank Enterprise Surveys reveal that, for example, in developing countries, 43 percent of SMEs named access to finance or cost of finance as a significant constraint to current operations, as opposed to only 11 percent for developed countries. This situation is even more pronounced in shock or crisis conditions, creating an adaptation gap between developed and developing countries. This adaptation gap is visible in the governments, institutions, and businesses, big or small.

### **Conclusion**

Different SME types have different responses and strategies to external shocks, depending on the degree of shock, destruction, or cessation of a business and its assets. They also have the different times required to return to normal. The literature's past behavior and experience can help small businesses in their strategic responses around current and future exogenous shocks. Conceptually, the main conclusion is focused on the idea that some of the exogenous shocks have had different impacts on SMEs. SMEs need to be organized in such a way as to be more flexible in crisis, be able to maneuver towards new opportunities, or more quickly counter the threats posed by shocks. Hence, this paper offered a general conceptual framework that could be a basis for future research on SMEs and shocks. Several areas of relevance are emphasized, the types and classification of the shocks and crises, and the characteristics that make SMEs more vulnerable and prone to shocks and crisis. Here, future avenues for research can be developed comparing particular constellations of business, shock, and response characteristics.

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## Development of Economic Performance of Small and Medium – sized Enterprises in the Slovak Republic in the Context of the Impact of COVID - 19

Katarina Belanova<sup>1</sup>

<sup>1</sup> University of Economics in Bratislava, Slovakia, e-mail: katarina.belanova@euba.sk, ORCID: 0000-0003-2634-9238

**Abstract:** In the economy of the Slovak Republic, small and medium – sized enterprises play an important and irreplaceable role. The aim of the article is to evaluate the development of economic performance of small and medium – sized enterprises in the Slovak Republic in the context of the impact of COVID - 19 in 2020. For this purpose qualitative research strategy was applied and research was based on the statistical data provided by the Statistical Office of the Slovak Republic. It can be observed that the effects of the new type of coronavirus have also been reflected in the economic performance of the small and medium-sized enterprise sector. The value added of small and medium – sized enterprises - legal entities decreased by 3.8% year-on-year. The gross production of small and medium – sized enterprises - legal entities also decreased by 4.8% year-on-year. Gross fixed capital formation of small and medium – sized enterprises decreased by 13.6% and profit before corporate tax decreased by 11.8% year-on-year. The outlook for the performance of the Slovak economy in the coming years indicates that the Slovak economy will be affected by the effects of other waves of the pandemic. It will therefore be necessary to continue to make support for small and medium-sized enterprises more effective.

**Keywords:** Small and medium – sized enterprises, economic indicators, coronavirus crisis

### 1. INTRODUCTION

The importance of small and medium-sized enterprises (SMEs) in the Slovak economy can be expressed by several indicators. According to the Report on the State of SMEs prepared by the Slovak Business Agency (2021), SMEs accounted for 99.9% of the total number of business entities in the Slovak economy in 2020. SMEs accounted for 74.2% of employment in the corporate economy and contributed by more than half (53.6%) to total value added.

The year 2020 was exceptional in terms of the development of exogenous factors, which changed the development not only of the Slovak but also of the global economy in an extraordinary way. The COVID-19 pandemic was unconditionally central factor of the economic environment in 2020. However, it was not only a significant drop in economic performance characteristic for this year. Dissemination of a new type of coronavirus in 2020 was to a large extent also associated with a relatively high degree of uncertainty and the risk that was primarily based on the evolving epidemiological situation influencing the economic activity of business entities.

The aim of the article is to evaluate the development of economic performance of SMEs in the Slovak Republic in the context of the impact of COVID - 19 in 2020.

For the purpose to fulfil the aim of the article qualitative research strategy was applied. Within the secondary research (desk research), available secondary sources of data and information were processed, for example, reviews, articles, empirical studies, publications and websites (especially those of the Statistical Office of the Slovak Republic, Ministry of Economy of the Slovak Republic, Ministry of Finance of the Slovak Republic, Slovak Business Agency).

As the article points out, the negative effects of the coronavirus crisis on the Slovak economy were also reflected in the economic performance of the SME sector. Adverse economic situation affected all monitored economic indicators of SMEs.

The value added of SME - legal entities decreased by 3.8% year-on-year. Even though negative results were recorded in all size categories, the most significant drop in value added was recorded by small enterprises. In this regard, industry remained the most important sector in terms of value added. Lower level of economic performance of the Slovak SME sector was also confirmed by labor productivity. In the EU-27, labor productivity of SMEs was more than twice as high as in Slovakia. The gross production of

SMEs - legal entities also decreased (by 4.8% year-on-year). Gross fixed capital formation of SMEs – legal entities decreased by 13.6% and profit before taxation decreased by 11.8% year-on-year.

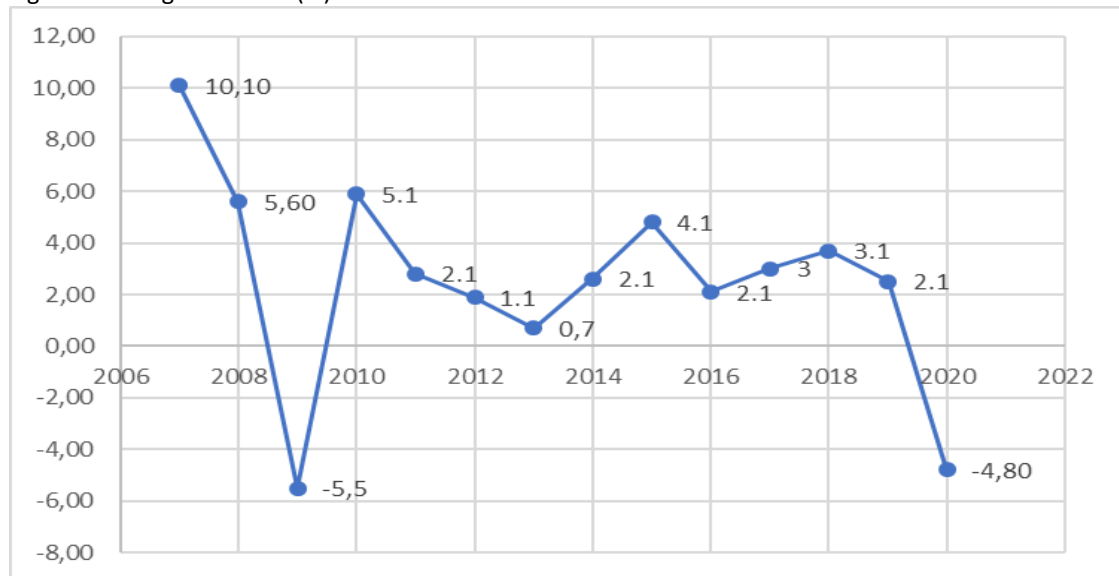
## 2. MACRO – ECONOMIC ENVIRONMENT IN 2020

The initial outlook for the development of the Slovak economy, which was presented at the end of 2019, suggested slowdown in growth, resp. a similar development was expected in 2020 as in 2019. On the other hand, a possible continuity in the introduction of other protectionist measures, which could trigger a recession in several economies, was also signaled. At the beginning of 2020, the forecasts for economic development changed significantly. The reason for the significant change in the predictions of the relevant institutions was the outbreak of a new type of coronavirus.

Due to their exceptional nature, unexpected events from the beginning of 2020 in the field of exogenous factors (outbreak of COVID-19) extraordinarily changed the predictions of the overall development of the Slovak economy, the global economy and were unconditionally the main factor of the economic environment in 2020.

With the outbreak of a new type of coronavirus, Slovakia's continuous economic growth was interrupted in 2020, with the most significant drop in economic activity recorded in the second quarter of 2020.

Figure 1: GDP growth rate (%)



Source: own elaboration according to the World Bank data

As figure 1 depicts, the performance of the Slovak economy affected by the pandemic decreased after years of continuous growth in 2020. As mentioned, the greatest drop of almost 11% was recorded in the second quarter of 2020. In the second half of the year, the Slovak economy succeeded slow down the pace of its decline. The fall in gross domestic product (GDP) in the second half of the year was significantly lower (in the fourth quarter it represented - 2.1%).

Regarding the development of GDP, from the point of view of the production side, the economic downturn of the Slovak economy was related to a decrease in gross production (by 9.0%), intermediate consumption (by 11.7%) and value added (by 4.7%). Net taxes on products decreased by 4.8% year-on-year. The downturn in the Slovak economy was also related to a decline in domestic demand. Household final consumption decreased by 1.1%. General government consumption recorded stagnation after previous growth.

In general, the COVID-19 pandemic does not affect economic activity in the same way. The decline in demand has been recorded globally in traditional industries and services, which have been directly linked to the measures taken to prevent the spread of coronavirus in order to protect health and lives. Many



operations, especially in the services sector, have therefore been closed. The crisis associated with the spread of coronavirus, on the other hand, has led to an increase in demand for sectors and services with a penetration of digitization (eg., this has been reflected in an increase in demand for ICT products). It turns out that the technological readiness of the country, respectively. the digital transformation of the country may be crucial in this direction in the near future.

The decline in economic activity did not only occur in Slovakia, but it was also typical for other countries. Among the V4 countries, Poland managed to cope best with the negative consequences of the pandemic. The performance of the Polish economy decreased by only 2.7% year-on-year. Slovakia (down by 4.8%) and Hungary (down 5.0%) were well behind Poland. Due to the difficult pandemic situation, the Czech Republic's economy experienced the deepest downturn (by 5.6%). Performance of the EU as a whole declined by 6.1%, mainly due to the downturn in major European Union economies such as France and Spain.

Investment activity also recorded a negative development in 2020. Gross fixed capital formation fell by 12% year on year. From the point of view of individual sectors, the negative development in the area of investment was evident especially in the sectors of agriculture, industrial production, construction and transport. Investments were reduced in machinery, equipment and means of transport. The decline in investment recorded in the industrial production sector was also related to lower investment activity in the vehicle production sector.

Compared to 2019, total exports of goods and services also decreased by 7.5%. Goods and services in the total value of EUR78,469.8 mil. were exported from Slovakia.

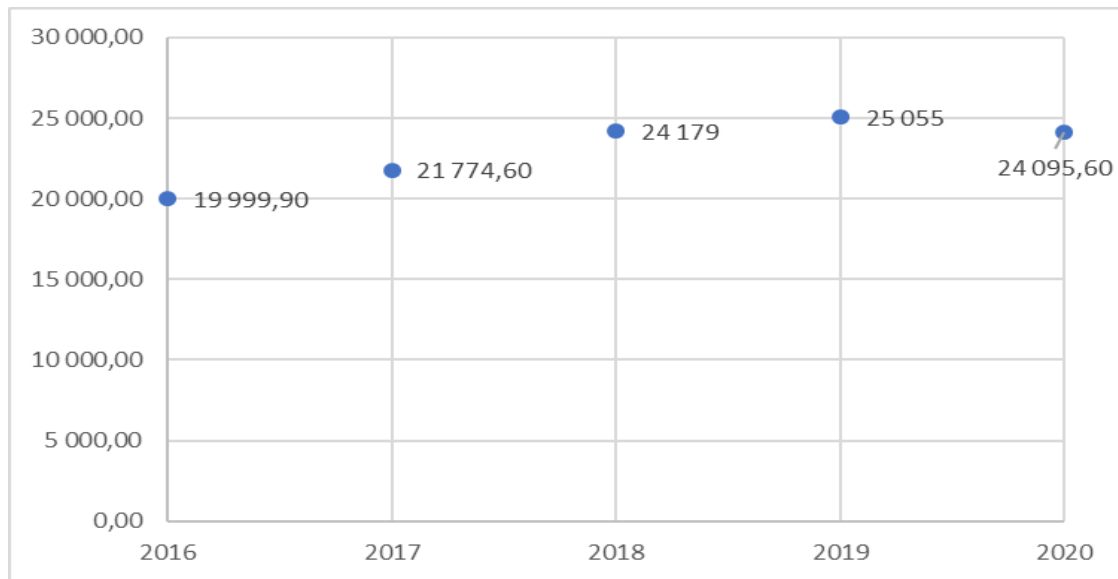
The decline in the performance of the Slovak economy was also reflected in the labor market. In the months of April and May 2020, there had already been a year-on-year decline in employment in almost the entire spectrum of sectors. The release of anti-pandemic measures during the summer of 2020 has been a sign of temporary improvement in labor market situation. At the beginning of the fourth quarter of 2020, the labor market situation which was affected by second wave of the pandemic and by tightening of restrictions, worsened again. Entrepreneurs active in the field of accommodation and restaurant services dealt with employee retention problems. The construction and industry sectors were among other sectors with a significant drop in employment. The information and communication services sector was the only sector of the economy in which demand for labor grew.

In 2020, SMEs achieved a 74.2% share in employment in the corporate economy. The share of SMEs in total employment in the Slovak economy was 59.1%. Despite of support measures to maintain employment, the average number of persons employed in the category of SMEs (including FO - entrepreneurs) decreased by 2.1% year-on-year (i.e. by 29.9 thousand persons) to 1,400.9 thousand employed persons. Employment decreased year-on-year in all size categories and legal forms other than micro-enterprises, which saw a year-on-year increase in numbers of employed persons by 1.4%. They were mostly small enterprises with the problem of retaining employees (year-on-year decrease in the number of persons employed by 4.5%) and medium-sized enterprises (by 3.3%).

### **3. DEVELOPMENT OF ECONOMIC INDICATORS OF SMEs**

The unfavorable economic situation caused by the pandemic also had a negative impact on the added value of the business sector. SMEs, which fought for their survival in the most affected sectors, also had to deal with anti-pandemic measures. In 2020, the continuous growth trend of the value added of SMEs, which has continued since 2014, was suspended. As it is depicted in figure 2, the value added of SMEs - legal entities decreased by 3.8% year-on-year. However, the decrease was more than half lower than in the crisis year of 2009 (by 9.8%). In absolute terms, the value added of SMEs reached the level of EUR24,096 mil.

Figure 2: Development of value added, SMEs – legal persons non – financial corporations



Source: own elaboration according to the Statistical Office of the Slovak Republic

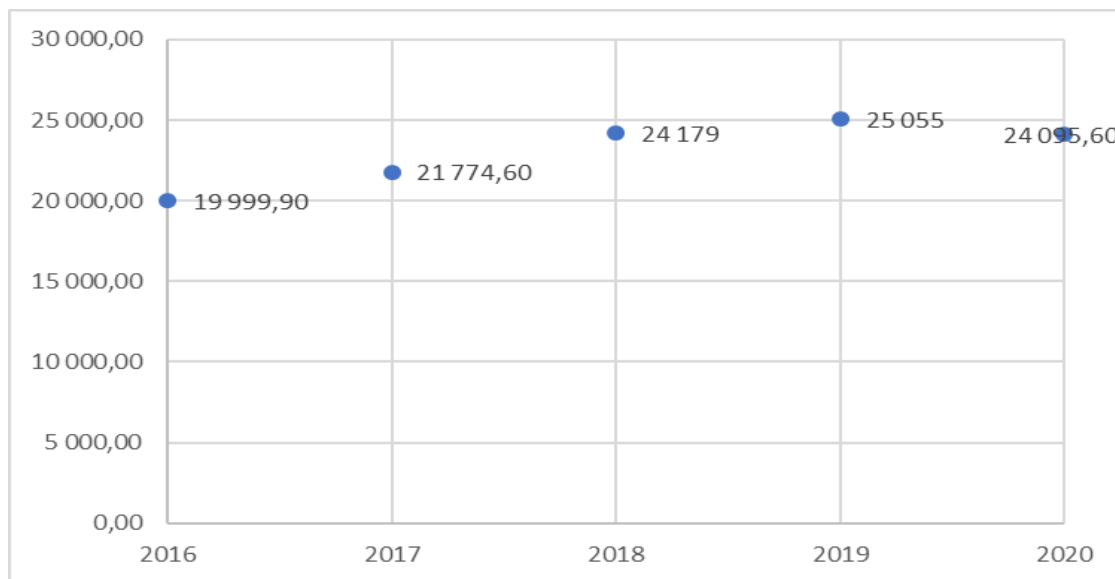
The negative consequences of the pandemic affected the results of SMEs of all size categories. The most significant drop in value added was recorded by small businesses. In 2020, the share of SMEs - legal entities in the value added created in the non-financial corporate sector reached 53.6%. In the year-on-year comparison, the achieved share decreased by 1.3 pp. The decline in the share of SMEs was recorded after the previous three-year increase. Industry remains the most important sector in terms of SME value added. In 2020, industry accounted for one quarter (25.0%) of the total value added of SMEs - legal entities.

The position of industry in terms of value added of SMEs has weakened slightly in recent years. Trade, which accounted for more than one fifth (22.1%) of the value added created by SMEs in 2020, is the second most important sector. The three most important sectors are supplemented by business services with a similar share as trade (21.4%). In terms of the achieved value added, Slovakia ranks among the countries with a lower level of share.

The lower level of economic performance of the Slovak SME sector is also confirmed by labor productivity. As for EU-27, the labor productivity of SMEs in 21 countries is more than twice as high as in Slovakia. In a year-on-year comparison, other economic indicators of SMEs also decreased. The gross production of SMEs - legal entities decreased by 4.8% year-on-year. The investment activity of small and medium-sized enterprises also recorded a negative development. Gross fixed capital formation of SMEs decreased by 13.6%. Profit before tax of SMEs - legal entities decreased by more than a tenth year-on-year (by 11.8%).

Export-oriented SMEs were negatively affected by interrupted supply and demand chains during the pandemic and declining demand. As figure 3 reveals, SMEs also recorded a decline in exports in 2020. The decline in exports was 3.1%. In absolute value, SMEs exported goods in the amount of EUR17,526.3 mil. There was a decrease in export activities on the part of all size categories of enterprises, while exports on the part of medium-sized enterprises decreased the most (by 4.0%). A slightly lower decrease was recorded in small enterprises (by 3.1%) and micro-enterprises (by 1.6%). Due to a more significant decrease in exports of large enterprises (by 9.8%) than of small and medium-sized enterprises (by 3.1%), there was a year-on-year increase in the share of SMEs in total exports by 1.5 pp. b., resp. at 29.3%. The territorial structure of SME exports is characterized by strong ties to the EU common market.

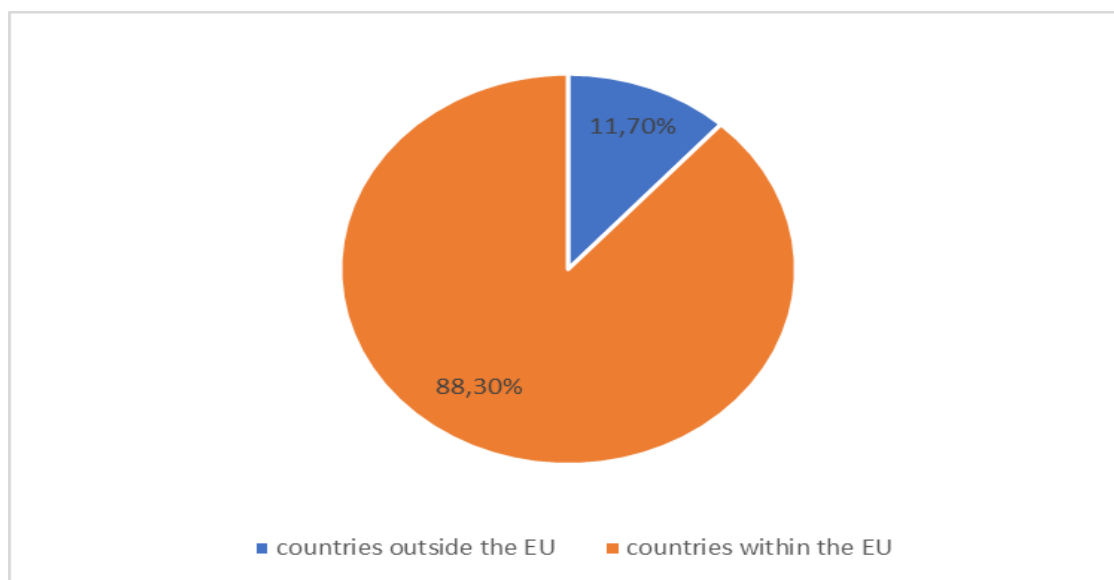
Figure 3: Development of SMEs export, in EUR mil.



Source: own elaboration according to the Statistical Office of the Slovak Republic

Only 11.7% of total SME exports went to non-EU countries (figure 4). Compared to other EU countries, SMEs in Slovakia have the lowest share of total exports to third countries, which points to the need for stronger support for SMEs in this area. As in the case of exports, imports of SMEs also declined. Year-on-year, SME imports decreased by 6.0%. The volume of imported goods reached the value of EUR25,853.4 mil. All size categories of enterprises recorded a decrease in imported goods, while the most significant decrease was in the case of medium-sized enterprises (by 8.7%). The share of SMEs in total imports increased to 40.6%.

Figure 4: Territorial structure of SMEs export in 2020



Source: own elaboration according to the Statistical Office of the Slovak Republic

#### 4. CONCLUSION

The COVID-19 pandemic was unconditionally a central factor in the economic environment in 2020. The negative effects of the coronavirus crisis in Slovakia were also reflected in the performance of the SME

sector. The pandemic affected all monitored economic indicators of SMEs. The value added of SME legal entities decreased by 3.8% year-on-year. The gross production of SMEs - legal entities also decreased (by 4.8% year-on-year). Gross fixed capital formation of SMEs decreased by 13.6% and profit before corporate tax decreased by 11.8% year-on-year.

In 2020, the share of SMEs - legal entities in the created value added in the non-financial corporate sector reached 53.6% (ie 1.3 pp less than in 2019). In this regard, industry was the most important sector in terms of value added.

The outlook for the performance of the Slovak economy indicates that the Slovak economy will be affected by the impacts of other waves of the pandemic. Expected economic growth of the main trading partners should be the impulse for the Slovak economy. The economic growth of the Slovak Republic will be supported by the growth of domestic demand, mainly due to deferred household consumption. On the other hand, the recovery may be dampened by problems with shortages and input prices, which may hamper industry and export performance. Investments are also expected to be subdued in the near future. In the medium term, the use of funds from the Recovery Plan will also be crucial.

Accordingly, there is also a need to continue to make support for SMEs more effective. At the same time, it is necessary to continue in systematic cooperation and to consider the proposals and recommendations of individual entities in relation to the improvement of business conditions.

## ACKNOWLEDGEMENTS

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## Global Pandemic and EU Trade: Challenges and Perspectives

Laura Diaconu (Maxim)<sup>1</sup>

<sup>1</sup> Professor, PhD., Department of Economics and International Relations, Faculty of Economics and Business Administration, “Alexandru Ioan Cuza” University of Iasi, Romania, e-mail: lauradiaconu\_07@yahoo.com, ORCID: <https://orcid.org/0000-0001-5745-3850>

**Abstract:** The current pandemic seems to lead to a de-globalization process, since it forced countries to close the borders and to disrupt the normal flows of goods, capital and humans. All the restrictions imposed to the free movement threaten the global trade of goods and services, which is the backbone of today's globalization. Yet, there is a lack of scientific research that assesses the impact of a global economic, financial and humanitarian crisis on the international trade, in general, and on the European Union countries, in particular. The purpose of this study is to investigate the effects of COVID-19 on trade, by using trade data for the EU member states, since the beginning of the pandemic. The findings show, as expected, that the negative impact of COVID-19 on trade was slightly higher for goods than for services. In the case of services, the decline was caused by the fact that many of them require the movement of the supplier or the customer and the measures imposed by governments made such movement across national boundaries almost impossible. Meanwhile, tourism was also a major contributor to the massive reduction in the trade of services. We have also noticed that the drop in exports, although large, was smaller than in imports. Our study might offer important findings for policy makers and economic agencies to determine the short and long term international trade strategies.

**Keywords:** COVID-19 pandemic, trade, EU states.

### 1. INTRODUCTION

Analysts consider that the COVID-19 pandemic is going to be one of the most serious global crises. Up to now, all the restrictions imposed to avoid the spread of the virus, from social distancing to total lockdown had a large negative impact on the global economic activity. According to the statistics, the global gross domestic product (GDP) registered a 4.4% drop in 2020, the largest decrease from the last 40 years (IMF, 2020). This evolution is explainable if we consider that the largest world manufacturers and exporters (China and United States) were the hardest hit by the pandemic (Baldwin and Weder di Mauro, 2020). Factories' closures in China, Europe and United States have led to a drop in the supply of the exportable goods and disruption in global value chains. All these conducted to a significant decrease in the global flow of goods and services, the World Trade Organization reporting a constant decline during 2020 (WTO, 2020). The major concern is related to the fact that a supply shock generated by economic downturn of the largest manufacturers is likely to lead to a so-called supply chain contagion, meaning a domino effect in most nations, including those that are much less affected by the pandemic. A similar situation was noticed to occur during the 2008-2009 crisis, leading to a global great trade collapse (Bems et al. 2010, Altomonte et al. 2012).

In 2021, the global economy started to recover, fact that had positive effects on trade, employment and incomes. However, the revival is seriously threatened by the unbalances between countries and economic sectors, financial stress induced by inflation, social tensions caused by imposed restrictions and by climate change that may increase commodity price volatility. The pandemic has actually led to a high degree of uncertainty so that it is very difficult to predict, even for the short term, the development of the economic activity, in general, and the evolution of the international trade, in particular (WIIW, 2020). Moreover, the humanitarian crisis that occurred in the context of pandemic requires a non-standard approach and economic measures that should be implemented by both individual governments and by the international organizations (OCHA, 2020).

Even though there is a large number of studies that analyzed the evolution of trade under different types of uncertainty risks (Imbruno, 2020; Song et al., 2019), there is a lack of scientific research that assesses the impact of a global economic, financial and humanitarian crisis on the international trade, in general, and on the European Union countries, in particular. Therefore, the purpose of this study is to investigate the effects of COVID-19 on trade, by using monthly disaggregated trade data for the EU member states,

since the beginning of the pandemic. The paper is structured as following: a brief presentation of the theoretical aspects is included in section two, part three shows the data, the methodological approach and the obtained results and the last part concludes.

## 2. LITERATURE REVIEW

One of the biggest concerns related to the pandemic consequences on trade refers to the degree in which different types of products will be affected. On one hand, there are voices that say that, as it was the case of the trade collapse of 2009, the durable goods will be more impacted than non-durable ones, since the manufacturing sector is likely to get a triple hit (Baldwin and Weder di Mauro, 2020). First, the supply disruption hinders the production that is concentrated in one of the hardest hit area by pandemic: East Asia. Secondly, the supply-shocks will amplify as the less-affected nations will find more expensive and difficult to acquire the necessary inputs from the hard-hit economies (Zavacka, 2012). To all these, it will add the demand disruptions caused by recessions and, implicitly, precautionary purchase delays by consumers and investors (Eaton et al., 2009). If we consider that, in case of the manufacturing goods, China is the heart of Asian Factory and US is the heart of North American Factory, and these economies were the hardest hit by COVID-19, it is easy to explain why some analysts consider that the negative impact of COVID-19 on trade was greater for goods than for services. Actually, the analysts consider that the commodity-exporting countries face double challenges, as terms of trade and export volumes deteriorate simultaneously along with countries' isolation (Vasiljeva et al., 2020). Moreover, even though trade in services was also negatively influenced by current health crisis, the pandemic encouraged the remote work and tele-intermediated interpersonal interactions, which was very easy to be implemented. The digital transformation accelerated by COVID-19 might lead to an increased trade in business services from foreign countries, such as market research or engineering, which can be provided online and where the share of exporters is large (Minondo, 2015).

On the other hand, there are voices arguing that the negative impact of COVID-19 on trade might be greater for services than for goods, since many services require the movement of the supplier or the customer (deLucio et al., 2020). This occurs especially in tourism that was the main contributor to the massive reduction in the trade with services. People's concerns about health conditions in the destination countries discouraged tourism and similar provision of services that require the movement of people. Therefore, the effects of COVID-19 in the tourism, hospitality and recreation sectors have been unprecedented (Maliszewska et al., 2020). According to the World Travel and Tourism Council report from 2021, in the accommodation and lodging sectors the revenues decreased by up to 75% in 2020. Meanwhile, the travel agents saw a slowdown in bookings of 50% and the airlines worldwide canceled over 50% of their flights in 2020 (WTTC, 2021). According to the same statistics, the travel and tourism sector suffered losses of almost USD 4.5 trillion in 2020, with 62 million jobs lost and with its global contribution to GDP declining by 49.1% compared to 2019. The most affected seem to be the developing states, especially from Eastern Europe, in their case tourism accounting for between 6% and 10.8% of GDP (Vasiljeva et al., 2020).

While the biggest percentage drops are recorded in transport services, recreational activities and accommodation, between 10% and 20% in 2020, the decrease in non-tourism services trade, comprising transport, finance, communications and business services, was much lower than that of tourism (Maliszewska et al., 2020). Based on these findings, our research hypothesis is that, at the European Union level, the negative impact of COVID-19 on trade was greater for goods than for services.

To avoid the sharp decline in trade, the governments all over the world adopted several policy measures, particularly in the first seven months of 2020 (Evenett, 2020). Moreover, the exports of some emergency supplies benefited of special trade regimes. In the spirit of international solidarity, Article 2(6) of Implementing Regulation 2020/568 requires EU Member States to authorize exports of emergency supplies in the context of humanitarian aid (European Commission, 2020). Yet, certain export restrictions have been imposed by governments around the world in order to protect their national economy, as response to the COVID-19 pandemic. For example, Indonesia's Ministry of Trade announced a temporary export ban on face masks, sanitizers and certain medical equipment until 30 June 2020 (Reuters, 2020). Kazakhstan banned all exports wheat flour, carrots, sugar and potatoes, Serbia has banned the exports of

sunflower oil and Vietnam suspended, since March 2020, all new rice export contracts until a report on the country's rice stocks was available (Bloomberg, 2020a). In the European Union, Romania was among the first states that issued exports bans. It applied the bans on wheat, corn, rice, sunflower seeds and other grains, vegetable oils, sugar and various bakery products in 2020 aimed at restricting the exports outside EU (Bloomberg, 2020b). Even though such measures were aimed at supporting the national economies, it proved that they significantly disrupted the trading system, supply chains and trade flows. A shortage of certain products could also lead to higher prices and even endanger food security in certain regions (Bloomberg, 2020a).

On 23<sup>rd</sup> of April 2020, EU leaders decided to work towards the establishment of an EU recovery fund to mitigate the effects of the crisis (European Commission, 2021a). Subsequently, on 21 July 2020, EU leaders agreed on a € 750 billion recovery effort, Next Generation EU, to help the EU tackle the pandemic crisis. In addition to the EUR 2 364.3 billion recovery package, EU leaders have agreed on a long-term EU budget for the period 2021-2027 of EUR 1 074.3 billion. Among other things, the budget will support investments in the digital transition and the green transition, as well as in resilience.

One post-COVID global trade scenario foresees that countries will rely less on foreign suppliers for the essential products and, in order to address future crises, countries will keep the production in countries that have a comparative advantage in these goods (Financial Times, 2020). This perspective may lead countries to trade efficiency for domestic reaction capacity, enhancing the domestic skills (Guinea and Forsthuber, 2020). Some analysts argue that firms could trade off cost efficiencies for supply chain shock resilience by keeping larger inventories, by closely monitoring suppliers' situation and diversifying the suppliers (Díaz-Mora et al., 2020). Moreover, firms might want to locate their supply chains closer since the labor costs' differences between Asian states and the emerging and even developed countries has decreased and, in this way, they could also save the transportation costs. Gandoy-Juste and Díaz-Mora (2020) also argued that firms may want to choose suppliers belonging to the same regional trade agreements, because they are less likely to change their trade policies unilaterally.

The COVID era, which raised the concern for the possible future emergence of new infectious diseases, and the advancement of digital transformations increased the importance of the e-commerce for domestic and international transactions. Hayakawa et al. (2021) showed that e-commerce in importing countries mitigates the negative impact of COVID-19 on international trade, while in the exporting countries it does not. Watanabe and Omori (2020) found that, during the pandemic, the online consumption of goods and services has been increasing while offline consumption has been decreasing. Therefore, in the post-COVID period, the e-commerce can play a significant role to the growth of the global economy, by enhancing globalization via expanded trade.

### 3. DATA AND METHODOLOGY

As mentioned before, the purpose of this study is to investigate the effects of COVID-19 on trade, by using trade data for the EU member states, since the beginning of the pandemic. In order to reach our purpose, we have used the data provided by Eurostat and World Bank for the 28 Member States. The analyzed period was between 2011 and 2020. The reason for choosing this period is that 2011 is the first year after the 2008 crisis in which the trade started to have a more consistent increase and 2020 is the latest year in which the data is available on both databases (Eurostat and World Bank).

Apart from data analysis and interpretation, our research methodology is also based on the development of the following econometric model:

$$\text{Trade growth}_{ijkt} = \alpha + \beta_1 \text{ exporter supply shock}_{it} \times \text{sector\_characteristic}_{ik} + \beta_2 \text{ partner demand shock}_{jt} \times \text{sector characteristic}_{jk} + \Omega_{ijkt}$$

where *trade growth*<sub>ijkt</sub> reflects bilateral annualized growth of trade from country *i* to partner country *j* in sector *k* at time *t*. The explanatory variables include the supply shock in the exporting country and the demand shock in the partner country interacted with the relevant sector characteristics. The error term is  $\Omega_{ijkt}$ .

For this model, we used monthly bilateral trade data covering the period February 2020 - December 2021, collected from the COVID-19 Trade Watch (World Bank, 2021a). In order to assess the demand and supply shocks, we use monthly information from the Google mobility data from the COVID-19 Global Community Reports (2022).

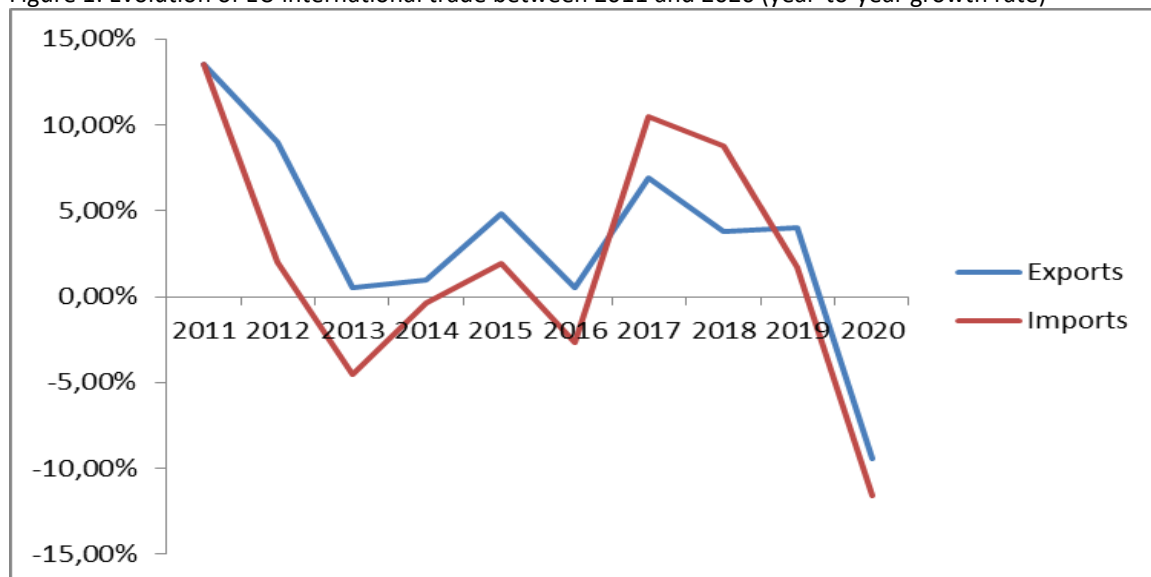
#### 4. RESULTS AND DISCUSSIONS

Our first findings refer to the evolution of trade in the 28 EU states, between 2011 and 2020, as it results from the analysis of the statistical data. Subsequently, we present some preliminary results obtained by implementing the sector-level model.

##### 4.1 EVOLUTION OF TRADE IN THE EU STATES

According to the statistics, in 2020, the trade of the European Union members was severely impacted by the COVID-19 pandemic, with significant declines in both exports (-9.4%) and imports (-11.6%), compared with 2019. As it results from figure 1, the drops were the largest ones from the entire period 2011-2020. After reaching a significant increase in 2011 and 2012, the exports growth rates remained slightly positive until 2019 (the only exception being in 2016), followed by a sharp decrease in 2020. The imports growth rates had two peaks during the period 2011-2020, in 2011 and 2017, followed by small fluctuations between 2012 and 2015, with negative values in 2013, 2014 and 2016, and with a sharp decrease in 2020.

Figure 1: Evolution of EU international trade between 2011 and 2020 (year-to-year growth rate)

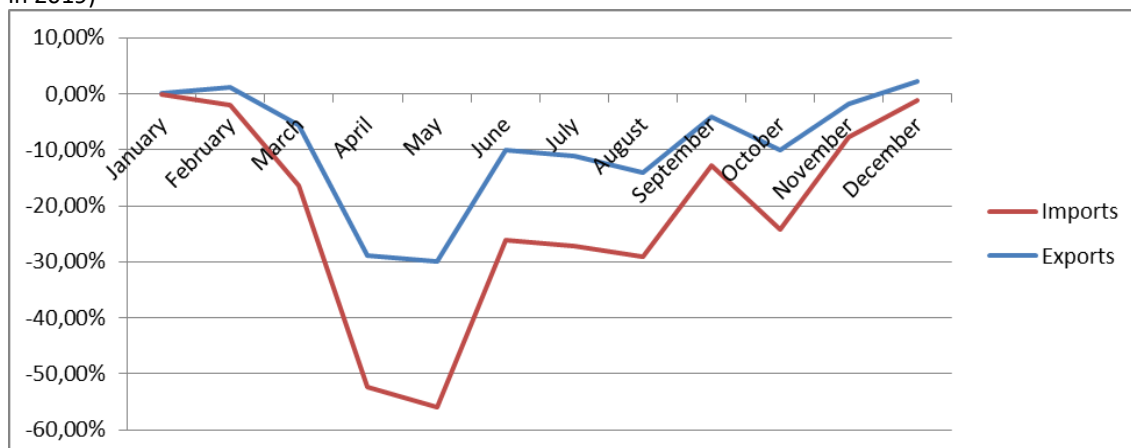


Source: Adapted from European Commission, International trade in goods, 2021b, [https://ec.europa.eu/eurostat/statistics-explained/index.php?title=International\\_trade\\_in\\_goods&stable=0&redirect=no#EU\\_trade\\_in\\_2020\\_strongly\\_impacted\\_by\\_the\\_COVID-19\\_pandemic](https://ec.europa.eu/eurostat/statistics-explained/index.php?title=International_trade_in_goods&stable=0&redirect=no#EU_trade_in_2020_strongly_impacted_by_the_COVID-19_pandemic)

A more detailed analysis of the 2020 year shows that the COVID-19 pandemic had the hardest negative impacts between April and October, both exports and imports registering two digits decline in growth rate (see Figure 2). In the following month, the exports and the imports were consistently lower than in the same months in 2019. However, in December 2020, the exports were 2 % higher than in December 2019. The relatively high figures from December 2020 might be related to an increase of the transactions due to the anticipation of the end of the Brexit transition period (on 31<sup>st</sup> of December) and the uncertainty of the trading relationship between the EU and the United Kingdom after that period.



Figure 2: Evolution of EU international trade in 2020 (monthly growth rate compared to the same month in 2019)



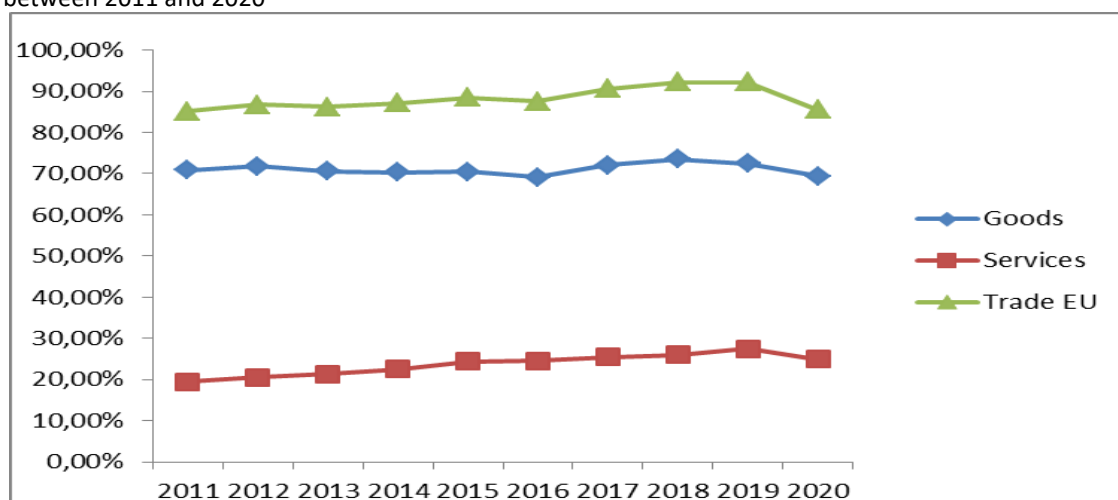
Source: Adapted from European Commission, International trade in goods, 2021b, [https://ec.europa.eu/eurostat/statistics-explained/index.php?title=International\\_trade\\_in\\_goods&stable=0&redirect=no#EU\\_trade\\_in\\_2020\\_strongly\\_impacted\\_by\\_the\\_COVID-19\\_pandemic](https://ec.europa.eu/eurostat/statistics-explained/index.php?title=International_trade_in_goods&stable=0&redirect=no#EU_trade_in_2020_strongly_impacted_by_the_COVID-19_pandemic)

Regarding the source and the destination of the traded goods and services, we can notice that, in 2020, the majority of the EU states made the import-export transactions mainly inside the European Union single market. However, the proportion of intra-EU and extra-EU flows in total trade varied considerably across the members. In some cases, this was the result of the historical ties with other countries and the geographical location.

While the highest share of intra-EU trade in 2020 for both imports and exports was recorded in Luxembourg, the largest share of trade for both imports and exports with third countries was noticed in Ireland. This is not surprising if we consider that its first trade partner is the United Kingdom. We also notice some countries for which the imports were mainly from the EU states, but the largest share was exported outside the EU. It is, for example, the case of Cyprus (European Commission, 2021c).

From the point of view of the evolution of the traded goods and services between 2011 and 2020, we can see a significant drop in both of them in 2020 (see Figure 3).

Figure 3: Evolution of trade (as % of GDP), trade in services (% of GDP), merchandise trade (% of GDP) between 2011 and 2020



Source: Adapted from World Bank, 2021b, 2021c, 2021d, [https://data.worldbank.org/indicator/NE.TRD.GNFS.ZS?end=2020&locations=EU&start=2011,](https://data.worldbank.org/indicator/NE.TRD.GNFS.ZS?end=2020&locations=EU&start=2011)

<https://data.worldbank.org/indicator/BG.GSR.NFSV.GD.ZS?end=2020&locations=EU&start=2011>,  
[https://data.worldbank.org/indicator/TG.VAL.TOTL.GD.ZS?end=2020&locations=EU&name\\_desc=false&start=2010](https://data.worldbank.org/indicator/TG.VAL.TOTL.GD.ZS?end=2020&locations=EU&name_desc=false&start=2010)

As we can see in Figure 3, the decrease in merchandise trade (3.13%), registered in 2020, was slightly higher than the drop in trade in services (2.5%). However, we can notice that the trade in services had a positive trend between 2011 and 2019, while the trade in goods had upward and downward evolutions during the entire period, but the fluctuations were small. At the EU level, in 2020, the highest decrease in trade with goods was observed in France (28%), followed by Italy (19.9%), Spain (19.5%) and Germany (16.3%). In the case of trade with services, according to Minondo (2021), the largest drop was in Spain (52.5%), followed by Italy (36%), France (22.1%) and Germany (17.8%).

Based on these findings, we can say that our research hypothesis is confirmed.

## 4.2 RESULTS OF THE ECONOMETRIC MODEL

The results obtained after developing the econometric model are only preliminary ones. We intend to extend them more, by adding other variables and by applying more tests. However, up to now, we found that the sectoral characteristics such as possibility of the remote work, durability of goods and participation at global value chains played an important role in alleviating the COVID-19 effects on trade. As mentioned before, the results are only preliminary and more research is needed, but, still, these findings can provide relevant policy insights. On one side, they contribute to identifying the sectoral attributes that create vulnerability during a pandemic, offering guidance for policy intervention. On the other side, they reflect how countries are impacted by domestic and foreign shocks during a global pandemic, which may be useful to identify possibilities to diversify the global value chain.

## 4. CONCLUSIONS

As it results from the analysis of the statistical data, 2020 marked some of the largest reductions in trade and output volumes since the post-war period. Both exports and imports from and into the EU states were affected, but the 2020 reality showed that the imports' flows were diminished more than the exports. Moreover, their recovery has also been slower. Another important result is that the trade in goods declined slightly more than the trade in services, but the first one's share in GDP is considerably higher than the percentage of the merchandise trade in GDP. Yet, in the case of trade with services, 2020 was the first year from the entire period 2011-2020 in which a decline in the trade with services was noticed.

Another important finding, that requires more investigation, is that sectoral characteristics such as possibility of the remote work, durability of goods and participation at global value chains played an important role in alleviating the COVID-19 effects on trade. While some international supply chains came under pressure in the early months of the pandemic, the data also show that supply chains were essential in enhancing the economic activity.

As a policy recommendation, we could argue, based on our findings, that the resilience of the free trade paradigm in the post-COVID-19 era should be an important option to consider. In this context, and by analyzing the way in which countries are impacted by domestic and foreign shocks during a global pandemic, the governments may identify possibilities to diversify the global value chain.

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## Corporate Social Responsibility Practices of a Business Organization in Bulgaria in Terms of Pandemic

Lyubomira Hristova<sup>1</sup>

Violina Petrova<sup>2</sup>

South-West University “Neofit Rilski” – Blagoevgrad, Bulgaria

<sup>1</sup>Assistant Prof., PhD, dineva@swu.bg, ORCID ID: 0000-0002-0197-737X

<sup>2</sup>PhD student, v\_petrova95@abv.bg, ORCID ID: 0000-0002-0149-2970

**Abstract:** There are a number of scientific statements that confirm the added value of socially oriented activities for modern business organizations. In practical aspect, the reason for this can be found in the context of managerial efforts aimed at establishing balance between the interests of the company and its stakeholders. This balance is needed for an organization to develop itself progressively. Corporate social responsibility (CSR) is associated with the voluntary basis and ethical behavior of business. Its commitment to the development and successful implementation of CSR policies is a kind of a specific response to the expectations of the society. This is their intersection point, and therefore business organizations should respect the principles of accountability and transparency in their behavior towards all stakeholders and society in general. The concept of social responsibility implies additional efforts by companies to support the environment in which they develop.

Today, in the terms of a global pandemic, the effect on the organization and its external environment of several key areas of its activity is intensifying. In this article we consider them as challenges for the business unit, as their complex perception must be associated with constant, planned and adequate professional efforts. In addition, business organizations should operate in accordance with national requirements and adapt quickly to the updated legal framework related to safety. Theoretically, the authors emphasize the following factors: 1) investing in the protection of the health of society and stakeholders; 2) allocation of funds for charity; 3) maintaining a favorable image.

In this article the authors aim to present their study of current CSR practices of business that aim to reduce the pandemic. The methods for collecting information are monitoring and analysis of documents. The behavior of a specific business organization was studied for a period of one calendar year: 01.01.2021r. – 31.12.2021r. Written programs of the selected organization available in the public space have been studied and analyzed.

**Keywords:** Corporate Social Responsibility, Pandemic, Corporate Image

### 1. INTRODUCTION

Today, it is more difficult than ever for companies to meet the demands of society, their stakeholders and government requirements due to the economic crisis and the global pandemic. This article aims to present the corporate social responsibility (CSR) practices of the business organization during the pandemic. The following paper presents the theoretical framework of CSR and how it relates to corporate image and the creation of connection between one organization and its stakeholders. Our research is based on the idea that the communication of the business organization with its audiences should be timely and targeted. Therefore, we monitor the behavior of a particular organization as a communicator of CSR messages.

### 2. LITERATURE REVIEW

#### 2.1. Corporate social responsibility

Mohr (as cited in Mohr et al., 2001) groups the definitions of corporate social responsibility into two general types: (1) multidimensional definitions and (2) definitions based on the concept of societal marketing. Multidimensional definitions delineate the major responsibilities of companies and Carroll's work has received the most attention. Carroll (1999) emphasizes that the concept of corporate social responsibility (CSR) has a long history. But formal writing on social responsibility is a product of the past 50 years of 20th century when the modern era of social responsibility begins. Originally perceived as charity, the authors developed the idea of social responsibility through corporate citizenship, corporate social responsiveness and accountability to create shared value and maintain the good image of companies. Significant for this is a publication by Howard Bowen of his landmark book *Social Responsibilities of the Businessman*. This work proceeded from the belief that the actions of largest

businesses touched the lives of citizens at many aspects. Bowen set forth an initial definition of the social responsibilities of businessmen: “It refers to the obligations of businessmen to pursue those policies, to make those decisions, or to follow those lines of action which are desirable in terms of the objectives and values of our society” (as cited in Carroll, 1999, p. 270). Bowen’s work has a fundamental importance for outlining this area as a future businesses behavior in society. Carroll called him the *Father of CSR*. Some of the most prominent writers in that period (1960s) that define corporative social responsibility are: Keith Davis, William Frederick, Joseph McGuire, Robert Blomstrom, Clarence Walton. In the following years the efforts of the researchers have multiplied. Some authors preferred the term “public responsibility”. Carroll later proposed a four-part definition of CSR with a basic argument: to be engage with CSR firms needed to have: 1) basic CSR definition; 2) an understanding of the issues for which a social responsibility existed and 3) a specification of the philosophy of responsiveness to the issue.

The conceptual evolution of CSR is analyzed further by Farcane and Bureana (2015) in their *article History of Corporate Social Responsibility Concept*. They aim to find the key moments of CSR evolution and referred to innovative practices in the field as information sources, to research studies, legislation, institutional developments and changes in the context in which businesses operate. Jones (as cited in Farcane & Bureana, 2015) suggests a definition in the 1980s, focused on one of the most common theories of corporate social responsibility – the theory of stakeholders: “Corporate social responsibility is the idea that corporations have an obligation to form groups in society other than the shareholders and beyond what is prescribed by law and the trade union contract” (as cited in Farcane & Bureana, 2015, p. 43). The obligation must be voluntarily accepted (behavior influenced by law enforcement or union agreements is not voluntary) and, on a large scale, goes beyond the traditional obligation to shareholders of other social groups such as customers, employees, suppliers and neighboring communities. Jones's idea is for companies to go beyond what is required by law to behave socially, to be socially responsible to their stakeholders, society and the environment.

Carroll (1983) further elaborates his four-part definition:

“...CSR involves the conduct of a business so that is economically profitable, law abiding, ethical and socially supportive. To be socially responsible...that means that profitability and obedience to the law are foremost conditions to discussing the firm’s ethics and the extent to which it supports the society in which it exists with contributions of money, time and talent. Thus, CSR is composed of four parts: economic, legal, ethical and voluntary or philanthropic” (p. 604).

We should also mention the study of Cochran and Wood (1984) as an example of the growing interest in the operationalizing of CSR. In 1984 scholars surveyed the various ways in which social performance and financial performance had been operationalized in the past and decided to use a reputation index to measure of CSR. On the next year research team with the participation of Carroll conducted a survey that uses a definitional construct of CSR from the literature to measure of CSR. The study confirms the priorities of the four components in the sequence: economic, legal, ethical, and discretionary.

In 1991 Carroll revisited his four-part CSR definition referring to the discretionary (philanthropically) components as philanthropic and suggesting that it embraced corporate citizenship. Carroll (1999) summarized that the business organization with CSR policy should strive to make a profit, obey the law, be ethical, and be a good corporate citizen. The *Carroll's Pyramid of CSR* (2016) depicted the economic category as the base and the build upward through legal, ethical, and philanthropic categories. With the increase of the company’s activity, the debt to the society, waste care and sustainability increases. The economic effect of social responsibilities can be manifested in a good working environment, increased productivity and loyalty to staff, the company's preference for job seekers, better management of available resources, better brand image, competitiveness, greater trust in the company, new business opportunities and fruitful contacts with the local community. Legal responsibilities build on economic ones. They are expressed in legal laws, protecting the public interest and maintaining the balance between society and companies. Ethical responsibilities are what the corporation is expected to do towards society. It must seek balance between meeting the needs of consumers, society, shareholders and all other stakeholders. It is not for companies to fully aim for profit. Philanthropic responsibilities are related to quality of life. It includes voluntary actions by the company. Charitable activities are not mandatory, but charitable companies win public approval. These are the four pillars that form the general idea of CSR.

The company must comply with the first three pillars to be considered a social response. Each of them should be fulfilled at all times.

Regarding the criticism of the model and the hierarchical presentation of the responsibilities of companies, in 2003 Carol improved the pyramid model by presenting another, three-component model of CSR, which includes only economic, ethical and legal responsibilities of business. In the model, it eliminates the problems of hierarchical organization of business responsibilities. All elements are equal; none is more significant. In the model Carroll removes philanthropic responsibilities as they are voluntary and adds ethics as an integral part of the responsibilities.

Kurdzhilov (Hristov et. al, 2017, Chapter 5) notes that good organizations must have the behavior of good citizens. They must obey laws and conventions everywhere; they must be respectful and helpful neighbors. They need to be sensitive and think about the needs of society as their own. They must respect the opinion of others and speak freely and publicly when they have their own opinion. Citizenship binds the good of the organization to the good of the general public and is a combination of good financial efficiency, social and environmental performance, investing in local communities and stable leadership. As social responsibility unites organizational values, culture and goals, it has a huge role in preventing the emergence and unbridled development of reputational risks. In this regard, we will emphasize on the relation between CSR and corporate image in the following text.

## **2.2. Relation between corporate social responsibility and corporate image**

Researchers agree that CSR can positively promote good reputation. CSR initiatives can lead to better customer satisfaction. The rich history of CSR initiatives can create a useful environment that favorably supports consumer assessment and behavior in the company. Corporate image (CI) is valued as an important precursor to customer satisfaction. It is considered as one of the most important elements in the process of building and maintaining satisfaction with an organization, it plays a key role in shaping customer buying behavior. According to a study (Yazid et. al, 2018) examining the links between corporate social responsibility, service quality, corporate image and purchasing intentions, creating a good corporate image can affect customers' evaluation of a company's products, which can lead to product preference and improve intention for purchase. The study found that corporate image has a positive impact on the intention to buy. The most important goal of CI is to form a positive attitude towards the organization among current and future users of its products or services. Corporate image is built on positive corporate figures, marketing communications and channels and constant feedback from the public and stakeholders. A positive corporate image ensures a clean relationship between the organization and its stakeholders, recognition by its consumers and increasing loyalty and reputation among its employees. Stefanova (Vasilev et. al, 2017, p. 188) also emphasizes the importance of CSR to employees and its reflection on positive public opinion.

It is important to note that Bravo et. al. (2017) focuses the huge role of corporate image on the internal audiences of the organization. Their research analyses how employees' perceptions of brand identity management and CSR affects their attitudes and behaviors. A well-managed brand identity can lead to a positive perception of employees about how prestigious their organization is in the eyes of external stakeholders. At the organizational level, corporate identity is the central element on which communication policies are based, evolving, building a reputation and forming an image. Therefore, when organizations develop their brand identity and communicate it to various external and internal stakeholders, a good reputation can be gained.

More generally, we can comprehend corporate image as the way a business organization is perceived by the public. This perception can be influenced by various factors:

- beliefs and feelings of individuals;
- the specifics of the offered products;
- the way the organization is presented (name, logo, slogan, codes of ethics and others distinctive signs);

- communication strategy;
- employee's interaction with clients, etc.

We think that CSR communication policy is important for the creation of favorable corporate image for the modern business environment. Here we mean that CSR initiatives must be necessarily communicated to stakeholders through appropriate channels. On the other hand, the feedback in this communication process must be sought and the information from it must be analyzed. "Communication audit has several main objectives: specifies communication connectivity with audiences; the current nature of communications is explored in detail; identifies all communication gaps; tracks the communication channels and the frequency of interaction" (Vasilev & Arabadzhieva, 2020, p.6). Communicating CSR to stakeholders and initiating dialogue is the essence of this two-way process between the organization and the community.

Chile (as cited in Oparaugo & Salihu, 2019) submits that CSR program affects the image of a company and has become part of the public relations portfolio. That requires communication specialists to study the problems of the community and inform the organizational management. The effective communication between the business organization and its audiences builds a bridge of interconnection between them. Therefore, we can distinguish feedback as a first common point of contact between CR and CI. Feedback is essential to the management of corporate image. Business organizations need information feedback about the public perception on its activities (Obioma, 2019). Second common point of contact is the consumer. But here we mean the socially responsible consumer. Mohr (Mohr et al., 2001) describes this consumer as a person who would avoid buying products from companies that harm society and actively seek out products from companies that help society. Third common point is the stakeholders. The commitment of the business to the stakeholders is to maintain relations of mutual cooperation and to act responsibly. In this regard, the business can achieve the long-term goal of maintaining a positive image, as well as to implement socially responsible policies, involving stakeholders. Fourth common point of contact is the society. Maintaining a favorable image among the general public ensures trust, support for the organization for its actions and its future existence. In the same way, CSR policy contains the presumption that the organization takes into account the interests of society.

### **3. CHALLENGES FOR BUSINESS DURING THE COVID-19 PANDEMIC**

Following the appearance of COVID-19 and the declaration of a state of emergency in Bulgaria, business organizations took action to protect the health of their employees and alleviate the negative effects of the crisis. The business environment in the country continues to be dynamic and difficult to predict, which poses various challenges to both organizations and those working in them.

In August 2021, ManpowerGroup (ManpowerGroup, 2021) conducted a survey among 185 companies and 366 employees from all business sectors and regions of Bulgaria. The subject of the study is the expectations of employers and employees for the fourth wave of Covid-19. According to the survey, the situation caused by COVID-19 affects not only the organization of work, but also the income of companies and their employees. About 80% of the surveyed companies cover the additional costs of their employees when working remotely by providing office equipment or refund the monthly subscription fees. Very few organizations bear other costs, e.g. for utilities. 23% of companies that have suffered financial losses expect to return to the optimal level of their profits around the middle of 2022, and 15% believe that this will happen at the end of next year. These results show that companies are facing major obstacles and changes.

The Covid-19 Pandemic has personally affected us all around the world, our families and our immediate environment. A large part of CSR policies is currently focused on donations. According to a review of the Bulgarian Donors' Forum (The Global Compact Network Bulgaria [GCNB], 2020), over BGN 5 million have been donated in the fight against the pandemic (data as of March 23, 2020). About 94% of the donations are for the purchase of equipment, consumables and protective equipment for the staff of hospitals in Sofia and the country, and 6% are for educational needs, social care and food for children from vulnerable groups. The largest share among the sources of donations falls on companies (52%).



The COVID-19 crisis has pushed companies towards innovative technologies, new ways to organize their work and digital business models such as e-commerce, the sharing economy and teleworking (European Parliament, 2020).

Obstacles to companies during a crisis are:

- 1) Remote mode of operation - change of the mode of operation, staff training, equipment with the necessary techniques and tools to automate the process.
- 2) Training of staff on the culture of communication, safety and productivity. Bulgarian companies have taken timely measures to reduce infection and protect human health. Here are some good examples according to The Global Compact Network Bulgaria (GCNB, 2020):
  - “...responsibility to customers through measures for continuity of the work process, fulfillment of commitments and deliveries, maintaining a high level of service;
  - responsibility to employees through care for their health and safety such as teleworking, disinfection of office space and production, provision of protective equipment;
  - accountability to both employees and customers through strong, clear and motivating internal and public communication;
  - continued commitment to suppliers, partners, local community and solidarity on the part of employees to overcome the crisis through voluntary leave;
  - innovation and transformation of products and services;
  - free sharing of online resources by educational and cultural institutions”.

Organizations face number of obstacles posed by the global pandemic. They need to take care of their income, government requirements, stakeholder revenues and the well-being of society. The resulting pandemic requires the allocation of more income related to the health of its customers and employees. The state has imposed new regulatory requirements (Agency for Social Assistance, 2020) in the workplace due to the pandemic related to health protection. The companies allocate income for protective equipment (protective masks, disinfectants, special equipment - thermometers, etc.). The inability to work remotely is also a big obstacle. All these factors affect the income of companies. They are devoting more and more resources to protecting the health of their employees and customers. However, this is not an obstacle for some companies to set aside time and resources for socially responsible campaigns. This is a central idea in our understanding of CSR – companies maintain their social responsibility despite high costs and compliance with mandatory government requirements.

#### **4. SIGNIFICANCE OF THE STUDY**

Nowadays, the concept of corporate social responsibility is evolving and improving. The community and the company's stakeholders are becoming more and more demanding of its activities. The reason for this is the development of technology and the greater ability of society and stakeholders to monitor the actions of the business for their well-being.

We understand communication as the strongest organizational policy that can impact audiences. For this reason, we directed the empirical study of CSR communication to the monitoring of various media channels of a business organization. For the society and the customers, it's no longer enough for the company to produce certain products and services, but also to invest in sustainable development, to help keeping sustainable environment and to create shared value. Moreover, through our research, we aim to awaken a wider dialogue. This will be realized if we manage to provoke consumers of goods and services to think deeply about their own attitude and assessment towards CSR of business. This is an idea for future author's research.

## 5. METHODOLOGY AND DATA COLLECTION

In this article the purpose is to study current CSR practices of business organization that aim to reduce the pandemic. Main technique to gain secondary data for our study objectives is desk research – we use information that has already been published. In essence, we examine the message in a mass communication process. In this process the message is the key point of contact between business organization and its audiences. In the present study we will understand the message as publications (texts) and video messages of the selected business organization for the fixed period of one calendar year. The data collection methods are monitoring and document analysis. The behavior of a specific business organization was studied for a period of one calendar year: 01.01.2021r. – 31.12.2021r. Written programs of the selected organization available in the public space have been studied and analyzed. The content analysis method was used to study the publications of Lidl Bulgaria. The research object are publications through the company's own media channels, intended for a wide audience. We accept the understanding that each publication has features that provide specific information. The unit of research is the separate publication. The chosen subject of analysis is LIDL Bulgaria EOOD & Co. KD, hereinafter referred to as Lidl, the organization or the company. Our choice of business organization is dictated by the presence of the following factual circumstances:

- 10 years' presence on the Bulgarian marketplace;
- More than 250 employees, which makes it one of the largest companies, as Lidl employs over 3,000 at the time of writing;
- Corporate site and presence in social networks and social media.

Our author's working definition of CSR related to the objectives of this article is: *Corporate social responsibility demonstrates and affirms the sensitivity of the business organization to public expectations and values.*

In the focus of our research were the following questions:

- Is there a recurrence of key messages regarding to CSR policy in the different communication channels, i.e. synchronization and saturation of messages?
- Are CSR priorities set in official documents of the company, which contain mission, vision, goals, etc.?
- Is the organization adapting its work to the conditions of a pandemic?

### 5.1. Analysis of information from the official website of the organization

The company selected for monitoring and analysis provides comprehensive information on its website: <https://www.lidl.bg/>. Key words in the basic presentation of the organization are *responsibility, sustainable development, values, priorities, principles*. Responsibility is defined as a key priority to: products, customers, employees, business partners, the environment and local communities.

The company's values are the basis of corporate principles and the principles of business organization management. They are summarized in the *Guiding Charter*. This official document is publicly available on the website of the company. The document declares principles, the observance of which is aimed at responsibility for the well-being of employees and team cohesion. The *Charter* is an expression of "trust and personal promise to employees". The main principles in the analyzed document are to:

- clear, frank and direct communication. This principle also applies to the discussion of conflict situations, involving employees in decision-making, timely informing people in the organization, respecting the feedback from employees, even in case of critical opinion on their part;
- innovative and effective development - it is also aimed at work-life balance;
- perspectives for employee development - in the document employees are defined as the most valuable asset for the prosperity of the company;

- building trust and partnerships;
- specifically defined tasks and personal.

The general corporate principles of the business organization are well described. It should be noted here that among them is the declaration of economic and social responsibility and commitment to care for the environment – specific CSR commitments. This principle is also reflected in the focus of the business organization to stimulate the supply of traditional products from regional producers.

Quite modestly, but still clearly, the company mentions its responsibility to strengthen its image as a reliable and dynamically developing employer.

The business organization has joined the UN Global Compact. The company considers as a corporate obligation to take care of and continuously improve social and environmental standards. The measures taken are set out in the *Corporate Obligation Policy to take due care of human rights and environmental protection in the supply of commercial goods*. The document specifies the goal of transforming the range in a more sustainable, fairer and healthier direction.

The activity of the business organization for obtaining a certificate according to the international standard *COVID Shield* (TÜV AUSTRIA, 2022), is directly aimed at limiting the Covid-19 pandemic. This hygiene and management system provides the highest possible level of safety for companies, employees and customers. Through such certificates, every business organization has the possibility to demonstrate social responsibility. On the other hands, the specific company may build trust among their internal and external audiences that it provides adequate and timely care for health and safety.

**In summary**, the analysis of the information from the official site gives grounds to summarize that the surveyed business organization:

- 1) Demonstrates corporate social responsibility policy.
- 2) Defines specific CSR priorities. They are enshrined in official documents (management charter, corporate obligation) of the company. The documents are publicly available and contain long-term goals and a vision for sustainable development.
- 3) Clearly declares its understanding of responsibility and sustainable development and puts them as part of its business model.
- 4) Focuses its socially responsible policy on specific areas (products, employees, business partners, environment and local communities). For each of them, measures are applied at regional and global level.
- 5) Announces specific commitments to each group in the field of CSR and publishes on the official website the parameters of interaction and possible support from the company.

## **5.2. Analysis of the information from the YouTube channel of the surveyed business organization / <https://www.youtube.com/user/LidlBulgaria/>**

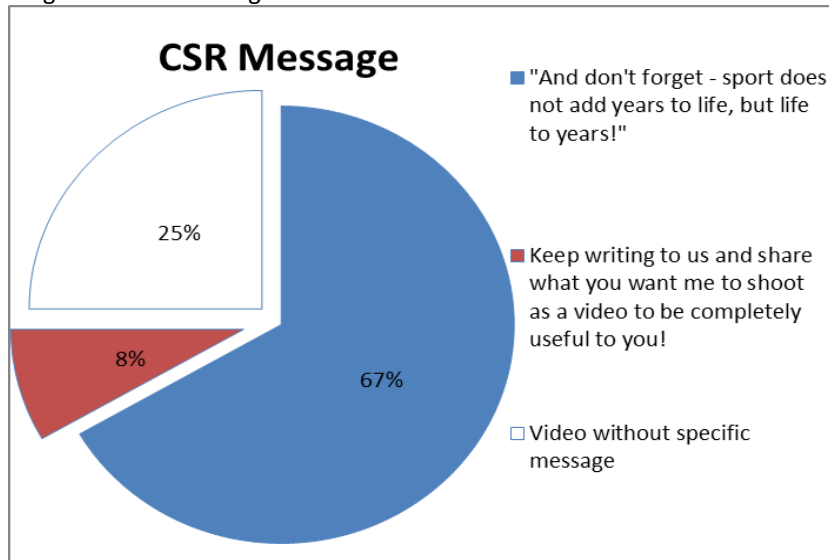
The following **indicators** are considered for the study of the publication characteristics in YouTube channel of business organization:

- Subject of the publication (theme focus);
- Source/communicator of the message;
- Key message;
- Date.

The organizational information in social media YouTube is analyzed for period of one calendar year: 01.01.2021-31.12.2021. Part of the information is arranged in a platform called *Lidl's House* (the House). The title itself aims to add the audience to the "family" of the company and to recognize its values. This House is also promoted on the company's website. The description of the House points to obtaining an

expert opinion on certain key areas: creativity, movement and self-care. Thematic CSR section in the House is related to wellness and bears this title. The published videos for 2021 are 12 in number with the company as their source of communication. The videos are distributed almost evenly per month. In the months of April and October there are two videos at the expense of June and November. The hashtags that accompany the title of each video are typical – it refers to the company, the expert and the specific section. Three thematic videos have been published (one for May and two for June), which are not with the hashtag House. However, they have the same wellness expert as their source of communication. It is important in this case to note the following specific points in our analysis: there is a dominant message, which is repeated in 8 videos out of 12 (67%) of *Diagram 1*.

Diagram 1: CSR Message in YouTube Wellness Section



The other section of the YouTube channel is aimed at preserving the Bulgarian culinary tradition – his name is *The native kitchen in four seasons*. This shows responsibility for the values of society as a whole. The specificity of the text in the description of this section directs the audience's attention to a balanced seasonal way of eating - this reveals the second moment of socially responsible behavior of the company. The hashtags that accompany the title of each video are typical – it refers to the company, the expert and the specific section. Below each video there is a descriptive text that outlines the content of the video and browse the readers to visit the other official communication channels of the organization: site and profile on Facebook and Instagram. The information in each video is provided by known culinary experts. As a disadvantage of the information saturation we can consider the fact that there are 8 videos published in only 5 months of the analyzed 2021. Close to the analyzed section is another one on YouTube, entitled *Taste in Four Seasons*. In this section are published 13 videos, distributed in 7 months for the observed year. And here we consider the characteristic hashtags in the title; typical descriptive text below each video and leading expert. The new information is the presentation of a variety of recipes for seasonally balanced way of eating with fresh products. However, the focus is again on a balanced diet and the health of the community as a whole.

The last section is dedicated to the socially responsible idea and is entitled *Challenges for heroes*. The corporate focus is on the sport of volleyball. The main actors in the videos are Bulgarian national volleyball players with a number of achievements. Through video communication, stories of sports success, habits and discipline are shared and promoted. The description of the section emphasizes the intention of *sports heroes* to inspire viewers to play sports. The videos are connected in a series. The idea is to challenge every volleyball national to create in the kitchen. This determines the amount of information – the number of videos is 6 for the period of one month from August 26 to September 30. The company continues to use hashtags for the titles of each video. There is also descriptive text below the video and links to corporate media.

In summary, the analysis of the information from the social media YouTube gives grounds to bring out the following specifics:

- An important element that is constantly present in YouTube video communication is the idea of the speaker to initiate feedback from the viewer. Experts in different areas invite the audience to like and to write a comment below the video. This is a prerequisite for two-way communication, for active engagement of the audience.
- Audiences are invited to subscribe to the organization's YouTube channel in order to receive notifications. This encourages long-term commitment to CSR information.

The above summaries can be related to the targeted use of social media to maintenance of dialogic communication on important topics related to CSR policy of the business organization.

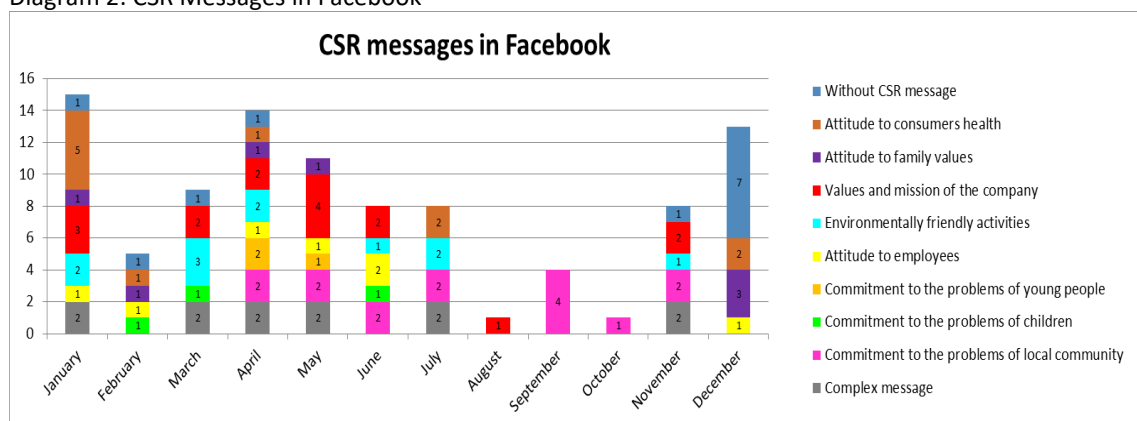
### 5.3. Analysis of the information from the profile of the organization in the social network Facebook / <https://www.facebook.com/lidlbulgaria/>

After summarizing the information from the organization's profile on the social network Facebook we made an analysis of the content. As a result of the analysis we have developed a classification of CSR initiatives (types). It describes the type of CSR message (in *Diagram 2*):

- Attitude to consumer's health;
- Attitude to family values;
- Values and mission of the company;
- Environmentally friendly activities;
- Attitude to employees;
- Commitment to the problems of young people;
- Commitment to the problems of children;
- Commitment to the problems of local community;
- Complex message;
- Without CSR message.

The aim is to categorize the company's popular CSR activities and measure their saturation. Measurement indicators are: 1) Date; 2) Type; 3) Stakeholder group to which the message is directed.

Diagram 2: CSR Messages in Facebook



*Diagram 2* shows the relationship between the type of CSR messages and their quantitative saturation. The analysis of the information reveals the saturation of the messages in part of the two categories: *Commitment to the problems of the local community* (a total of 15) and *Values and mission of the company* (a total of 16). Complex messages are also observed. They intertwine two or three topics, contact the CSR activities of the company. The total number of these complex messages is 12. The data show another

three clear trends. First is related to the communication activity of the business organization – there are sharp declines in the level of generated posts in two months of 2021: August and October. The second trend is that there are posts (a total of 12) that do not have a CSR focus. The third trend is related to the overall distribution of CSR messages – it is uneven during the analyzed year.

In summary of the analysis of the information published on the Facebook profile of the company, we can draw the following summaries:

- The saturation of posts with thematic CSR focus on the social network for the year 2021 is sufficient against the background of the publishing activity of the organization in general – 87,6 %.
- The posts send messages related to the key areas of CSR activities of the company - consumers, employees, business partners, environment and local communities.
- There is an idea for a general presentation of CSR activities. This is due to the publication of texts that emphasize the values and mission of the company.
- In connection with the communication activity of the company – it would be good to plan an even presentation of messages by days and months, with different accents, references and incentives for discussion with the audience.

With regard to communication on Facebook, it is important to emphasize that there are prerequisites for creating a more stable communication link between the organization and its stakeholders. According to Angelova (Angelova, 2016), social networks have the distinctive feature of creating, maintaining and developing social connections in online communities. They can be used as an effective tool in the management of communications in the so-called *online brand community*. Any organization with a good image, rich history and competitiveness can focus on creating such a community. Therefore, we will emphasize that Angelova brings to the fore techniques for improving the dialogue with consumers and higher efficiency of communication in the online brand community. These techniques are: timely information exchange; relevance of the posts; expanding the conversation and increasing the frequency of information exchange.

## 6. CONCLUSION

Effective communication with the internal and external audiences of a business organization is essential for building its positive image and its prosperity. Interaction with different audiences should be based on dialogic communication. The feedback to the organization generates a quantity of information, which is a valuable resource. The processing and analysis of this information can answer important questions such as: what are the community's expectations of the company; whether the organization adequately meets the requirements of the various stakeholders and how its contribution to society is assessed? In the modern conditions of information development and communication technologies every business organization has a real opportunity to be an active communicator.

In the present study, we analyzed the CSR communication of a business organization in a pandemic. The company is implementing effective pandemic mitigation activities – and more important, promoting them through its official media channels. In addition to maintain the requirements of the Covid-19 certificate of an external expert organization, the analyzed company directs its corporate social responsibility to clearly defined entities: employees, children, youth, family, nature, society. In this way, targeted communication can help increase the sensitivity and responsibility of each consumer, employee or citizen to prevent the pandemic.

Despite the challenges of the dynamic environment, the social responsibility has become a higher priority for companies, as they intend to demonstrate and affirm its sensitivity to public expectations and values. In addition, perseverance, a comprehensive approach and the combination of the most appropriate communication channels can create favorable conditions for maintaining a positive corporate image.

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## Tourist Experience in the Country of Korça and its Originality

Mirela Mersini Assoc. Prof. Phd<sup>1</sup>

Lavdërim Hoxha Msc.<sup>2</sup>

<sup>1</sup>Faculty of Economy, University of Tirana, Albania, mirelamersini@yahoo.com

<sup>2</sup>Faculty of Economy, University of Tirana, Albania, ladihoxha@gmail.com

**Abstract:** This paper aims to study the originality of Korça's tourism and the tourists' experiences during their visits to this tourist destination. The concept of originality is very extensive. It does not just mean originality in terms of objects or unvaried tourist attractions, rather it extends to being the act of doing something original, traditional food, a handmade object, a transformed area in an original way, etc. Thus, to the full extent, originality is meant to be something special by which those who have created it identify themselves with. A questionnaire has been designed for this study, as well as for the Tourist experience, which has been distributed randomly to the tourists in Korça. Generally, according to the study of the questionnaire, it is noted that the destination of Korça possesses originality, which is displayed in various forms, such as in food, tourist areas, museum objects, etc.

**Keywords:** Originality/Authenticity in Tourism, Tourist Experiences, Tourist Destinations

### 1. Introduction

Originality in tourism is one of the most important aspects in a country's tourist development. This feature also determines the tourists' preference to visit various tourist destinations, and their opinions affect the tourists that will visit these destinations in the future as well. Originality serves even as a type of marketing for tourist destinations.

The study of originality in tourism is a topic of interest for every country regarding tourist development, therefore it is very important that every individual investing in tourism should consider investing in the creations of original locations and objects.

The image with which sociologists review classical theories in order to highlight some framework topics of tourism sociology, through market research and opinion polls, shows that not all tourists seek originality / authenticity. Many of them are evasive and recreational, which does not show the reflection or predisposition to experiment with "Back Region" oriented encounters, towards the transition to commercialized hospitality.

Studies regarding the search of originality in marketing, tourism and consumer analysis show that originality is a complex concept that cannot be a sole simple definition. The actual search of authenticity takes up different meanings and connotations based on the reasons which prompt us to search, and the perspectives with which we approach it.

It is a positive and constructive thing to try and recover, rediscover and assess the worth of the truthfulness and reality of originality/authenticity. In the theoretical review of this paper it will be noted that for local operators the search for authenticity is a tool to preserve and improve the heritage of a locality, to regain the true nature of a product or to rediscover the cultural and historical background of a community.

On the other hand, unoriginality gets mentioned when real originality is simulated: it is a fictitious and artificial originality that operators forcefully create and plan thoroughly with the risk of causing damage to the environment and the local community, as well as setting limits on its freedom, space and identity.

The tourist searches for "authentic" places and experiences, precisely because he perceives his daily life as fake in terms of rhythms and values coming from the hasty productivity and disoriented logic of modernity. The goal of a tourist is to exceed geographical, psychological and social boundaries, which allows him to turn from an absolute outsider into a familiar with the host culture that generates new patterns of thought and action.

Technology innovation leads to change of the environment, scenes and tourist environmental structures, giving them a transformation experiences and new sensations. With the transition of industrial society to



a later historical segment that can be named as “post-industrial”, the modern concept of leisure is used in a state of modern and industrial formation.

## 2. The purpose and objectives of the paper

This paper aims to explain what is originality in tourism and the tourist experience in Korça, since it is one of the main elements and attractions on which the tourism of this county is based. Due to its geographical and cultural position, Korça offers many opportunities for the development of different types of tourism. However, how authentic is the tourism development in Korça?

Based on the tourists' experiences, their interest in visiting other tourist attractions or even recommending them to others gets determined. Additionally, infrastructure conditions, or various information involving this destination play a notable part in determining the tourists' interest to visit tourist destinations.

## 3. Originality

The word *Originality* is particularly complex in its meaning and problematic in its management and the relational dynamics it creates. The origin of the words Originality or Authenticity, as we can find in some literatures, derives from the ancient Greek *authenticòs, authèntes* which means "self-made". In other words, originality can be further defined and identified from its synonyms: true, sincere, spontaneous.

Originality is a widely discussed topic in the marketing and consumer research literature, and even those who are not acquainted with this field of study agree on the importance of originality since it is an important element of contemporary life.

Referring particularly to contemporary American culture and society, the researcher describes a reality possessed with images and events that are not original, but instead creations and copies made by the media that the public now considers familiar because it is constantly exposed to them. Therefore, by not experiencing reality directly, Americans have more and more difficulties distinguishing the real thing from the imitations.

There are plenty of reasons for seeking originality, and even though they are often positive and constructive, there are cases where originality is made up and artificial. Firstly, individuals seek originality to get rid of the state of alienation and insecurity they experience in a globalized society which has standardized the consumer's lifestyle and practices, creating a standardized and distorted reality. In fact, globalization also generates negative effects in a population's culture, becoming homogenized and standardized, what people should eat, lifestyle and habits, etc. Once more, people seek originality to escape the pressure and obligations of daily life, family and socio-professional commitments and responsibilities.

To Beverland & Farrekky (2010), the whole society benefits from originality, as it enriches spiritually and morally the people who become part of it and it allows them to rediscover the principles of honesty, truth and innocence. Originality is demanded not only by the demand side, but also by the operators and actors that make up the Market Supply. They seek it out of their own interest, or to meet the needs of consumers/visitors. This is done in a constructive and positive way when it becomes a tool for recovery and development: for example, historical buildings and sites have been recovered so that their abandonment and degradation is avoided, while also showing respect towards the local community and tradition. When originality is forced or artificially constructed, this is the case where we can say that we are dealing with a situation regarding unoriginality.

Larmour (2011) 'studies help us understand the different forms that originality can take. It regards natural originality when it exists in the natural state of the object or territory to which it refers, not having been touched or modified by man. We are talking about an originality that is neither artificial nor synthetic, like the case with organic products. Once again, originality refers to what is considered the first of its kind, as a design, for example, contains originality or it has never been seen before, like a new fashion style or a new product.

Extraordinary originality refers to something that has been done carefully and extremely well in order to respond perfectly to consumers' needs. The reference is still the one that refers to other contexts and memories, such as the case of the tea ceremony in China, which has been the subject of various studies. *When originality calls for individuals to achieve higher human purposes, it is considered to be an impact:* fair trade, for example, stimulates interest and commitment to issues and acts of social, economic and environmental sustainability.

The simulation of originality or rather inauthenticity, as mentioned above, is a growing phenomenon that the current marketing is facing. In fact, we hear more and more about cases of simulation of authentic products. In Albania, we encounter this phenomenon with the opened agritourism, like Mrizi i Zanave, where the originality, history and values that the Zadrime area possesses, wants to make a comeback through typical and original products that have been around before.

If in the industrial age the main concern was to optimize costs and production, in the service age individuals sought quality first. Today in the age of the experience economy, consumers are looking for what fully includes them, which allows us to rediscover and retrieve the truth, the original, what is real and genuine (Arnauld and Price 2008); and again, that which relates to tradition and identity and incorporates them in a profound and personal way (Nicholson N. 2011). All of this represents originality, it is what allows individuals to develop a sense of connection and familiarity to the community, countries and cultures, which makes them grow and feel as part of a whole unity.

Given its complexity, originality is a concept that can be used in different ways and with different meanings by both researchers and consumers. In fact, marketing studies that go deeper into the topic of originality show that consumers view originality differently based on the circumstances in which they find themselves and what the object that they value is (González M. 2008). In 2004, a study identified two main types of originality in market offerings, indicative originality and Portrait/iconic originality.

The perception that individuals have of originality is not based solely on the physical characteristics and image of an object. Beer S. (2008) says that originality is rather a quality that consumers perceive based on their personal experiences, a relative concept that depends on the surrounding context and on what individuals project onto the object itself.

Regarding what we have mentioned so far, as a result of the postmodern era, *existential originality* gets also added as an element of study. Since ancient times, philosophers and scholars, such as Kierkegaard, Nietzsche, Sartre, and again Camus, Rousseau, Montesquieu, and many others, used to study and speak about this form of originality. *Existential originality* is the requirement of the postmodern individual to express his identity and essence in a free and complete way, to have fun and enjoy adventures or situations that are different from those of the ordinary daily life. The search for originality is no longer solely the material satisfaction which comes from the purchase and consumption of an authentic object. The individual actively participates, carries out actions, and is personally and emotionally involved with experiences that contribute to the creation of value and stimulate the imagination toward an “originality elsewhere” (Mihaela O. 2010).

#### **4. Methodology**

Research is based on theory and observation, and so the research philosophy helps us clear up the structure, the approach of research as well as the data collection and analysis. In the theoretical part of this research, a review of the literature on Originality/Authenticity was conducted, which revealed the complexity of this topic and the wide variety of definitions and interpretations that originality/authenticity presumes based on various scholars' perspectives regarding this topic.

Today, originality plays an important role in strategic managerial and marketing decisions, since it could represent an added value for companies in the market. Moreover, originality/authenticity is found in many fields and sectors: tourism is the focus of this paper. There is a tendency to move from offering tourism products to providing tourism experiences where tourists actively participate, are personally involved and experience deep emotions. Once again, the perception they have of the tourist experience

and what the elements of that tourism product that they consider authentic are, and that as a result contribute to the definition of one form of authenticity rather than another.

Quantitative and qualitative analysis has then been used for the constructed questionnaire. This analysis is generally descriptive, and aims to highlight the tourist experience and the opinion of tourists regarding the tourist destination of Korça. The questionnaire used has been distributed to tourists online through sites and social networks in which tourists are active and also some questionnaires have been physically completed by random tourists, found in various tourist destinations. The questionnaire was completed by a total of 120 tourists, some of whom are Albanians, but mostly include foreign tourists.

## 5. Data analysis

According to INSTAT, it should be emphasized that these entrances and exits of Albanian or foreign citizens are not all for tourist purposes, but also for work, business, family visits, religious, health purposes, transit travelers, etc. Our main focus will be only on people who have entered Albania for Tourism, as they will be our research population. For this purpose, a questionnaire has been constructed which has been distributed to casual tourists, to test their experience regarding the tourist destination of Korça. The population considered in this study consists of foreign tourists in Korça, but the questionnaire has also been open to the local tourists' opinion who have visited different areas of the region. The questionnaire was completed by a total of 120 randomly selected tourists, whose opinions will be analyzed below. Tourists have been selected from guides in different groups or they have completed the online questionnaire.

It turns out that the majority of respondents (approximately 68%) are female, 32% male. It is noted that most of them are aged 31-40 years (44% of them).

Tourists come from many different countries, but there is a high number of randomly selected tourists from the United States, Italy and Greece. Asked who accompanied the respondents during their visit to Korça, most of the 31% were accompanied by family, the rest with a partner or friends, it is noted that 18% of the tourists came alone.

"By what means did you come to Albania?" This question only refers to foreign tourists. It is noted that the majority of tourists (58%) have taken the plane as a means of travel to come to Albania. "What means did you use to get to the tourist destinations?" It is noted that most of the tourists (46%) have gone to different tourist destinations of Korça by car.

"Is this your first visit to Korça?": It is noted that most tourists (67%) visit Korça for the first time, 32% have visited it other times and 1% have not given an answer.

The question refers to tourists who have visited Korça more than once, who were 82 out of all tourists surveyed. Asked if they have visited the same tourist destination twice: It is noted that 34% of 82 tourists did not answer this question, 28% said no and most of them (38%) said they went more than 1 time in the same tourist destination.

"What is the purpose of your visit to Korça?" it is noted that most of the tourists (47%) have come to Korça for cultural tourism.

"How many nights have you stayed in Korça" foreign and domestic tourists it is noted that most tourists have stayed in Korça more than 2-3 nights.

"Where were you accommodated during your stay in Korça?": It is noted that most tourists have been accommodated in hotels (49%) or in rented apartments (23%).

"How do you prefer to move during tourist visits?": It is noted that most of the surveyed tourists prefer to visit tourist attractions alone (29%), while the rest prefer to move without guides, or even accompanied or with tourist guides.

The question is divided into several sub-questions to test the experience of tourists during their visit to the tourist destination of Korça.

“Have you received prior information about the destination of Korça?” The majority of tourists (79%) said that they received prior information about this destination.

“Did you find the destination you visited authentic or original?”. Most tourists in this case answered "Yes". So, 93% of tourists have said that the tourist destination of Korça they have visited is authentic and very original when it comes to the tourism values that it offers.

“Do you keep the tickets of the places you have visited (e.g. in the form of souvenirs)?” It is noted that most of the tourists (65%) have said that they generally do not keep the tickets of the places they have visited.

“Does the lack of information in many tourist spots affect your interest in visiting these destinations?”. It is noted that most of the tourists (62% of them) have said that the lack of information about this tourist destination has affected their interest in this area.

“Do you post pictures on social media while traveling to tourist destinations?” The majority of tourists (86%) said that in most cases they post photos on social networks during their travels to tourist destinations. For those tourists who constantly post photos on social networks during the visit to tourist destinations, it has been asked whether they make this post straight during the visit or later on. It is noted that 9% of the tourists who post on social networks did not respond, 40% of them said that they do not make the posts straight away, and most of them (51%) said that they post on social networks straight away during their visit in the tourist destinations.

“If you were accompanied by a guide, were you satisfied with them?” 34% of tourists did not respond, while out of those 66% who responded, the majority of them (51%) have expressed that they were satisfied with the guide.

“Does road infrastructure affect your mood when traveling from one destination to another?” Given that in many tourist destinations, the road infrastructure to get there is not of a high standard, this affects tourists greatly, especially foreign ones. Hence, the majority of surveyed tourists (57%) have openly stated that road infrastructure affects their mood when traveling through tourist destinations.

“What did you like the most during your visit to Korça, that you would recommend to someone else?” The responses of tourists have been numerous and different, but generally what they liked the most was the original food, accommodation, hospitality, service, museums, archeological sites, etc.

“For what do you use the picture you take during the travel?”, tourists have responded in various forms. Some of them use them to post on social media, some of them to save the pictures in an album and see them when time passes, some of them to share with friends and relatives, etc.

“What is your impression of the places that you have visited in Korça?” 89% of the tourists' answers are: a very original experience.

## **6. Conclusions and Recommendations**

The surveyed tourists have visited the tourist destinations in Korça mainly accompanied by their family, partner, group, but there are also those who have come alone. To visit the tourist destinations of Korça, the respondents have received the information mainly through the internet, from friends and colleagues, etc. The means of transport they used to come to Korça were various, such as by bus, by camper, etc.

After arriving in Albania, to visit the tourist destinations of Korça, most of the tourists have chosen to move to these destinations mainly by car, but there are also those who have preferred to move by bus, with a rented car, etc. Of all respondents, 67% have visited Korça for the first time and the rest have visited it twice or more. Of all tourists who have visited Albania more than once, a part of them (32%) have gone twice to the same tourist destination.

The main reason for the tourists' visit in Korça is Cultural Tourism, Historical Tourism, Archaeological, as well as to meet relatives and friends. From these visits, most of the tourists stayed in Korça for more than 2-3 nights and were mainly accommodated in a hotel, in rented apartments, at guest houses, or at

relatives and friends. The tourist attractions visited are different, but it is noted that there is a special interest for the areas of: Voskopojë, Dardhë, Boboshticë, city museums, etc.

In order to create a better idea about the tourist destinations visited in Korça, 79% of tourists have received prior information about these destinations, and what they liked the most was the food, accommodation, hospitality, service, museums, archeological sites, etc.

During the visits to these destinations, most of the tourists have expressed their satisfaction, and they have taken various photos which they have even posted on social networks. According to this study:

- The tourist destination of Korça is considered authentic by the tourists.
- The lack of information affects the interest of tourists to visit the destinations.
- Road infrastructure affects the interest of tourists to visit the destinations.
- Tourists remain satisfied with the visits they make to the tourist destination of Korça.

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## Stimulating The Regional Development Of Small And Medium Enterprises In The Agricultural Sector In Bulgaria After The Pandemic

Natally Stoyanova<sup>1</sup>

<sup>1</sup>University of Agribusiness and Rural Deelopment , e-mail: nstoyanova@uard.bg

**Abstract:** The specific potential of local economies can be revived and activated by skillfully supporting SMEs that make a major contribution to the development of regional economies and are able to generate economic growth and development on the basis of both traditional and new high-tech production. The priority is aimed at supporting SMEs in the regions, including in the regions for targeted support, the development of traditional economic activities and the support of entrepreneurship, which is well developed. The instruments supporting regional development will focus on supporting those economic activities in the regions that are related to the development and use of local potential, which will also contribute to the diversification and diversification of the economic structure of the regions and create new jobs in the long run. plan that will be attractive and suitable for the realization of young people. The priority will be realized through improvement activities of transport connectivity and power supply with technical infrastructure, water supply, sewerage and access to Internet services of production areas in lagging areas in order to create a better business environment.

In parallel, economic development will be supported in accordance with the principles of sustainable development and will aim to reduce the consumption of energy and raw materials, as well as technological renewal and development of green economic activities by SMEs. Special attention will be paid to the lagging behind the North-West and North-Central regions, which are among the most backward in the European Union. Mechanisms will be developed to support the most backward areas for targeted support.

Economic development will be supported by respecting the principle of sustainable development and aiming at reducing the consumption of energy and raw materials, technological renewal and the development of green economic activities.

**Keywords:** Regional Development, Agricultural Sector, Small And Medium Enterprises, The Pandemic

### I. INTRODUCTION

This study gives an insight into agriculture and agri-food financing in Bulgaria by providing an understanding of investment drivers, financing supply and financing difficulties, as well as on the existing financing gap.

The analysis draws on the results from two comprehensive and representative EU-level surveys carried out in 2018 and 2019, namely the fi-compass survey on financial needs and access to finance of EU agricultural enterprises and a survey of the financial needs of EU agri-food processing enterprises. The report does not take into account the impact of the ongoing COVID-19 health crisis and/or the effect of any new support scheme being set-up by the Member State and/or changes in the legal basis and/or policies at the European level to mitigate the crisis, since surveys and data available covered a period prior to its outbreak. This would need to be subject to further analyses by interested stakeholders, administrations and/or researchers.

### II. LITERATURE REVIEW

In structural terms, the transitional period has affected negatively the Bulgarian processes prestrukturiranje farms, their production orientation. In structural terms, the Bulgarian agriculture is characterized by you see a group of farms with a specific specialization:

A large group of small farms , mostly in animal husbandry and horticulture, the production of products with weak market potential and orientation.

Relative a group of large, improved substantially reserves, production activities, mainly in grain production and other cultures

A particularly strong influence on the development of production structures and podotrasli in the economy after 2007 has the current framework of the Common agricultural policy single payment on the surface , which provides different levels of support to these groups. This leads to a deepening of differences in development is the creation of products, performance, profitability, opportunities for prestruktuiranje and modernization.

Structural and commodity imbalance myspreadsheet the overall competitiveness of philarmoniada. In conditions of open market economy and globalization is becoming increasingly difficult to realize the existing potential of the industry production for which it has favourable conditions and traditions, and to maintain food security in the country from internal resources. It is, after all, creates serious difficulties for processing facilities, which can not realize fully the potential high konkurentosposobnost because of the lack of quality raw materials.

This imbalance is amplified by the fact (according to INE, 2008) that the population in rural areas in the period 1972 – 2004. decreased from 1 million people, and then to 2008. with more than 180 000, and in relation to 2007.with 0.4%. The main factors of the declining population in rural areas have a negative natural increase and migration from rural to urban areas. The reasons for this were universal , but they are mostly serotta, income, infrastructure, health and education.

In this respect GSP for the period 2014-2020 reveals some opportunities, especially for small farms and areas unfavorable for agricultural activity conditions.

In this context, one of the most difficult problems to solve remains the question of whether the individual farms and small farmers (especially in hilly and mountainous areas) , whose production is expected to be linked to the creation of specific products (boutique and traditional) agriculture. In this respect GSP for the period 2014-2020 reveals some opportunities, especially for small farms and areas unfavorable for agricultural activity conditions.

## **Approach**

To conduct an analysis of the potential financing gap in the agriculture and agri-food sectors, the study under which this report is prepared, adopts the following three-step approach:

1. Assessment of the number of farms/firms participating in the credit market and analysis of the dynamics of their demand.
2. Mapping of the sources of finance and examination of the dynamics of supply of credit.
3. Assessment of the potential existence of a financing gap, whereby parts of the demand cannot be satisfied by the existing supply but could benefit from financial instruments.

Per definition, a financing gap (for a specific sector) arises from unmet financing demand from economically viable enterprises (operating in the same sector). This unmet demand includes two major elements:

- lending applied for (by the viable enterprises), but not obtained; as well as
- lending not applied for (by the viable enterprises) due to expected (by the same enterprises) rejection of the application (by a financial institution).

The analysis draws on the results from two comprehensive and representative EU-level surveys carried out in 2018 and 2019, namely the fi-compass survey on financial needs and access to finance of EU agricultural enterprises and a survey of the financial needs of EU agri-food processing enterprises. The latter survey was undertaken as part of this study. The analysis is further elaborated by desk research and enriched with secondary data from EU and national data sources.

## **III. Financing gap for the agriculture sector in Bulgaria**

Following accession to the EU in 2007, the Bulgarian agriculture sector underwent a structural transformation, characterised by steady growth in gross value added (GVA) and a polarisation of farm

structures. Despite more than 80% of the farms in Bulgaria being categorised as smallholders (below 2 ha), most of the output and exports of the sector are produced by a small number of large-sized farms (2% manage more than 100 ha). These firms are particularly prevalent in the less-labour intensive sub-sectors such as cereals and oilseeds. The workforce is ageing, with more than 35% of workers being over the retirement age.

The availability of labour remains challenging and this creates further difficulties, especially during seasonal peaks. The lack of qualified workforce also limits the potential of some farms to grow.

While Bulgarian farmers have been increasingly recognising the need to strengthen their competitiveness on the single market, this does not always translate into increased investment. The Gross fixed capital formation<sup>3</sup> (GFCF) as a share of the GVA in the agriculture sector is one of the lowest in the EU 28. This is despite the favourable macroeconomic environment and low interest rates. While Bulgarian farmers appear to be more active in applying for finance than their peers in the EU 24, the fi-compass survey reveals that a substantial share of this finance demand is for working capital needs rather than for investments, with Bulgarian farmers requesting credit lines and overdrafts more often than in the EU 24. In recent years, the liabilities of Bulgarian farms have been growing faster than their assets, which is a sign that while the financial inclusion of farmers is increasing, so is their level of indebtedness.

The analysis highlights the three main investment drivers in the Bulgarian agriculture sector:

1. Working capital needs, such as the inputs for agriculture production and the rental of farmland.
2. Modernisation of agriculture enterprises, particularly for small and medium-sized farms, who seek finance for machinery and equipment, and with investment choices depending on the sub-sector they operate in.
3. The purchase of arable land for large-sized farms in the cereal and oilseeds sub-sectors, with available parcels for sale being scarce and expensive in the Northern regions where most of these farms are located.

Investment drivers for young farmers (aged under 40) and new entrants include the need for infrastructure, such as facilities and buildings, and land, to establish their business. To succeed in their business, they largely rely on the European Agricultural Fund for Rural Development (EAFRD) support measures.

Access to investment support from the Rural Development Programme (RDP) plays an important role in bolstering the demand for investment. By the end of 2019 the investment support provided under the farm modernisation sub-measure was over-subscribed. Total public support of EUR 378 million was already contracted resulting in significant increases in the total investment amounts for various assets (machines and equipment, transport, buildings, etc.).

Several underlining factors of the financing gap have been identified for both the demand and the supply side of the market for agriculture finance.

On the demand side, the main constraints that hinder farmers' access to finance are related to a lack of suitable collateral, credit history and accounting records. The lack of sufficient collateral also needs to be understood in a context of farmers having to provide a collateral of up to 150% of the loan amount or even more (according to the findings of the fi-compass survey). In addition, many farmers are not financially literate and they do not have experience in submitting business plans. Distrust in the transparency of the banking system also contributes to the gap. Young farmers and new entrants are particularly affected by the lack of assets that can be used as collateral for medium and long-term loans.

On the supply side, the main constraints relate to the fact that three banks control around 65% of the market, while other operators lack interest and expertise in the sector. The high level of non-performing loans increases banks' perception of risk in the sector. In order to manage risk, banks tend to restrict lending to farmers, with loans predominantly being approved when RDP investment support has been received by the farmer. There is also a lack of tailor-made loan products, although certain flexible repayment modalities are offered mostly to larger farms.



The ex-ante assessment for the potential use of financial instruments for agriculture conducted in 2018 by the EAFRD managing authority broadly confirmed these findings. It concluded that the absence of banks specialised in agriculture finance, high interest rates and high collateral requirements pose difficulties in accessing finance. Young farmers are particularly affected by these conditions and the financing gap.

The total outstanding loan volume to the sector was estimated at EUR 5.4 billion in 2019. Overall, the financial market for Bulgarian farmers does not yet fully support all the investment and working capital needs of the sector.

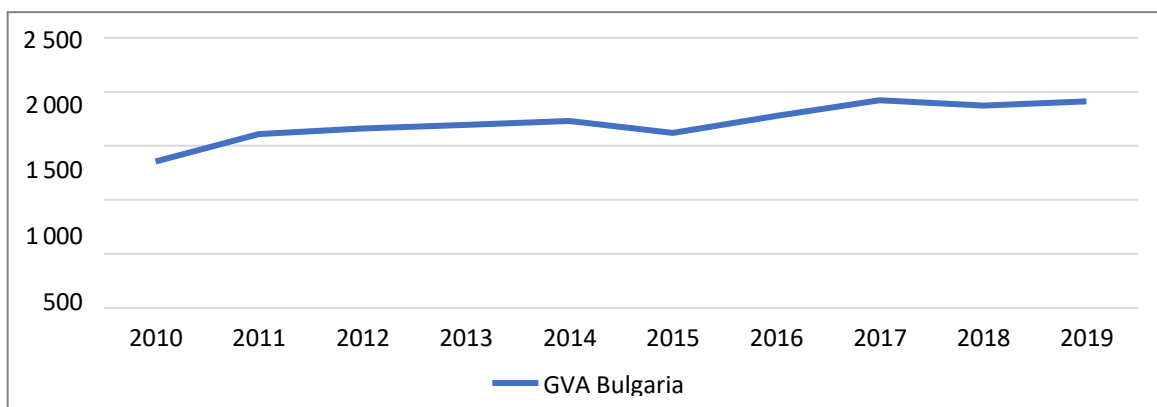
There is significant potential for new financial instruments, with a market gap estimated between EUR 289 million and EUR 863 million:

- Almost three quarters of the estimated financing gap relates to small-sized farms (below 20 hectares<sup>4</sup>), which the banks regard as the least profitable segment. The propensity to invest, especially in small-sized farms, is mostly conditional on the inheritance of the business. On the other hand, the RDP measures do find traction with young farmers who need longer term finance to obtain land and to establish farm infrastructure to start their business. Overall, most of the stakeholders interviewed, from both the bank and agriculture sector, expect the number of farms with constrained access to finance to increase in the future, especially in the small-sized segment. This makes potentially viable small farms the main target group when addressing the market failure in terms of access to finance, because these farms often contribute significantly to the social and economic vitality of regions where limited alternatives to farming exist.
- The financing gap is the largest for long-term loans, which represent more than half of the gap estimate. The main obstacle here is the lack of suitable collateral.

**Agriculture plays a key role in the socio-economic fabric of rural Bulgaria.** The agriculture sector generates 4.4% of the country's total gross value added (GVA) and provides employment to 5.8% of the labour force, which is the second highest rate in EU 28. More generally, Bulgaria is a predominantly rural country, characterised by an increasing urban-rural divide in living standards, and well developing rural parts around cities that attract a younger and wealthier population in the last decade. While rural areas are richly endowed with natural resources, they are marked by lower incomes, limited job opportunities, an ageing population and high rates of poverty.

**EU accession, in 2007, accelerated the structural transformation and farmland consolidation in Bulgaria.** The average farm size increased from 6.2 ha in 2007 to 18 ha in 2017. There has been steady growth in the GVA of agriculture output in Bulgaria, which amounted to EUR 1 913 million in 2019 (Figure 1).<sup>1</sup>

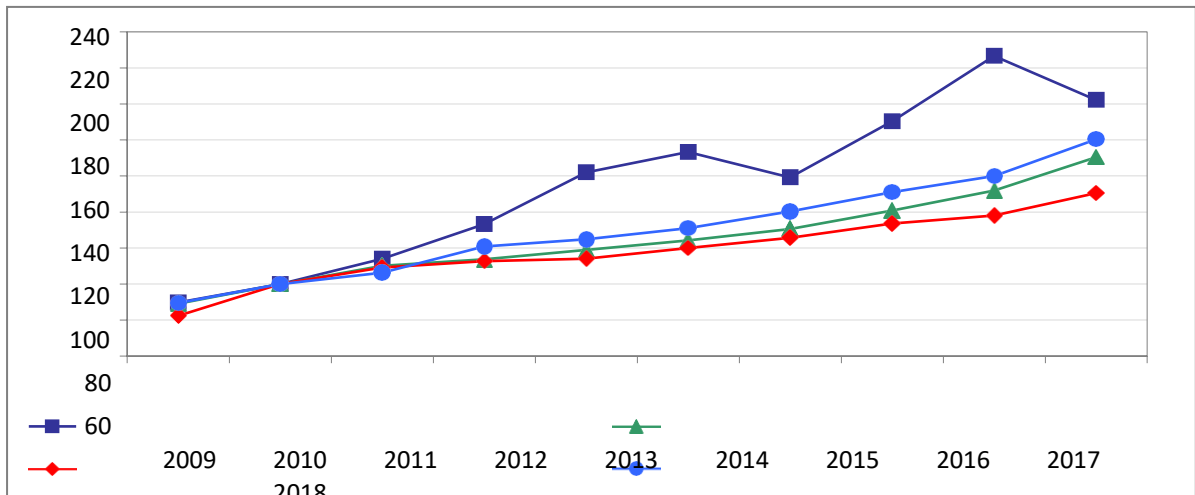
Figure 1: Development Gross value added in the Bulgarian agriculture sector, 2010-2019, EUR million



<sup>1</sup> Source: Eurostat – Economic Accounts for Agriculture, 2019.

The value of agriculture output was EUR 3.8 billion in 2018, a 5% decrease on the previous year. Crop production had the largest share of final output, at 70.5%, and was worth EUR 2.8 billion. Cereals and industrial crops are the two most important crops, accounting for 58.3% of the value of all agriculture output, followed by livestock production.<sup>2</sup>

Figure 2: Evolution of agriculture income compared to wages and salaries in other sectors of the economy, 2009-2018



Compared to other sectors of the economy, **agriculture income has been increasing over the last 9 years**, but it has also been subject to higher fluctuations (Figure 2). In contrast to other economic sectors, where average income has grown steadily and consistently, agriculture income experienced two major downturns in 2015 and 2018. However, the income level in agriculture doubled between 2009 and 2018, mostly due to the rather low starting point.

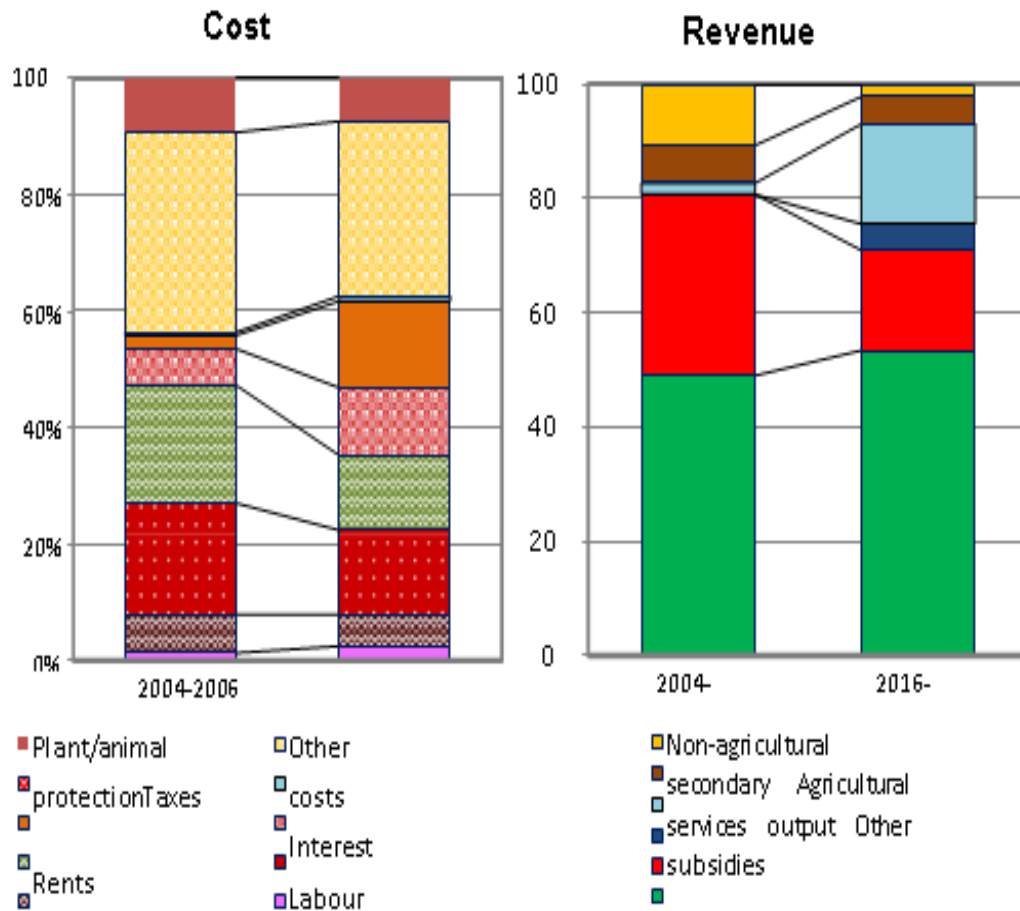
Stakeholders point to a lack of available technical support to farmers. This is partly due to the recent downsizing of the activities of the National Agriculture Advisory Service. However, overall business management and financial skills are also low among farmers. The fi-compass survey, on which the estimations are based, divided farms in three size categories: small (<20 hectares), medium-sized (20-100 hectares), large (>100 hectares).

As for the cost and revenue structure of the agriculture sector (Figure 3), comparing the years 2004-2006 with 2016-2018, rent and labour costs have increased significantly while feed stuff costs have decreased. On the revenue side, the share of revenues from animal output has decreased sharply, while crop output and subsidies have increased due to the EU accession and the availability of CAP financing (direct payments and EAFRD support).<sup>3</sup>

<sup>2</sup> Source: European Commission, DG Agri, Statistical Factsheet for Bulgaria, June 2019.

<sup>3</sup> Source: European Commission, DG AGRI, Statistical Factsheet for Bulgaria, June 2019.

Figure 3: Agriculture income – only cost and revenue structures in Bulgaria, 2004-2018



## VI. CONCLUSIONS AND RECOMMENDATIONS

Even though Bulgarian farmers can rely on a relatively well-developed financial market, a targeted use of financial instruments in the Common Agricultural Policy (CAP) 2021-2027 programming period may help to facilitate access to finance for new enterprises currently excluded or self-excluded from the market. In particular, the following suggestions should be considered:

1. The expected launch of the EAFRD risk-sharing Credit Fund must be carefully observed. Its budget is currently fragile and highly insufficient. The impact it may have on access to finance is also unknown and so are the conditions under which banks would agree to participate. Those conditions might also affect the costs for farmers and the overall performance of the instrument. These issues need a proper and detailed evaluation once the financial instrument has become operational, to ensure that an improved product is deployed in the 2021-2027 programming period.
2. The use of financial instruments could support the development of specialised financial products (short, medium and long-term loans, as well as overdrafts) tailored to the needs of small-sized farms and increase the interest of banks that are currently not operating in the sector (this would reduce market concentration). New loans should be developed based on the seasonality of farm cash flows and/or account for price variability.
3. A guarantee fund based on CAP's Strategic Plan's (EAFRD) resources could be designed to overcome collateral issues, particularly for small farms aiming at commercialization and growth. This instrument should focus on the repayment capacity of farmers, rather than simply prioritising farmers that benefit from RDP grant support. It shall also contribute to significantly reducing the collateral

requirements by banks and opening the door for innovative and riskier projects. A remuneration stimuli or a performance fee could also be created for attracting more financial institutions to participate and increase the overall bank offer to the sector.

Stand-alone working capital finance under the EAFRD is an excellent possibility for solving liquidity issues and for detaching banks and NFBIs from CAP/EAFRD payments.

4. SMEs in regions (municipalities) for targeted support can also be supported by future ERDF operational programs. These programs should focus on local capacity building and integrated development planning, including jointly by several neighboring municipalities with similar economic development issues.
5. Whatever product is defined as a financial instrument, attention must be paid to young farmers and new entrants. Whether this target group would benefit from longer grace periods, a higher priority and higher guarantee rates, and better financing conditions would depend on the type of scheme, its details and targets, as well as its total budget. In this context, the full flexibility of the EAFRD financial instruments for young farmers must be considered.
6. Technical support for banks, as well as farmers might also be considered to strengthen the capacity of both sides to address market failures. Based on the above, there is potential for new financial instruments and the following options should be explored in more detail:
  - Technical support to financial intermediaries that are not very active in agriculture finance is needed to provide these financial institutions with policy frameworks, tools, and a hands-on understanding to help them efficiently service small-sized Bulgarian farms. Agriculture scoring tools should be utilised to quickly assess the repayment capacity of a farmer, which would reduce the credit risk of loans granted and minimise transaction costs. Financial institutions already in the sector could benefit from assistance in sustainably growing their portfolio and in designing new, innovative loan products.
  - Business development support schemes are essential for farmers as investors. Technical support should be provided in alignment with future schemes. The focus should be on financial literacy, business planning, farm improvement plans, lean processes, running the farm as a business, understanding the cost of repaying loans early, and so on. In particular, most farmers, and not only the older ones, lack expertise in developing sound business plans

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## Economic Importance Of Road Networks In The Republic Of Moldova

Oboroceanu ALIONA<sup>1</sup>

<sup>1</sup>Doctoral School of Economic and Demographic Sciences, National Institute for Economic Research,

E-mail: andriana74@gmail.com

**Abstract:** The article represents a research on the current situation regarding the significance of roads in economic activity. In this regard, the author conducted a concrete analysis of some indicators that influence economic development and growth by using roads for both passenger traffic and freight traffic in the Republic of Moldova. The factor that generates economic growth and emancipation for the development of a society consists in the existence of modern road networks, able to ensure trade links at national level between various regions, but also internationally, thus contributing to intensifying relations between states, connecting localities to the national transport network, thus facilitating the free movement of citizens and increasing mobility. In order to ensure economic cohesion and competitiveness, smooth connections with the Member States of the European Union are also needed. Roads play a significant role in this regard, as road transport is the most widely used transport solution in the Republic of Moldova, namely the transport of goods and passengers. Placements in transport networks increase the invested capital compared to the realized one in other fields of activity, based on direct and indirect effects, which result from saving costs and time by attracting the necessary resources to build modern road infrastructure. The scientific methods used are: analysis and synthesis, induction and deduction, critical analysis of materials, etc. The main results obtained from the investigations refer to the analysis of indicators on the transport of goods and passengers on roads in the Republic of Moldova in terms of providing field practices, for the users' access to qualitative public roads.

**Keywords:** passenger transport, transport networks, public roads, land communication, modern infrastructure.

**Jel:** H54, H83

### The topicality and significance of the researched problem

The domain of road infrastructure has an important role to play in the process of economic development of any country. This is also explained by the fact that achieving economic growth and reducing poverty requires access to resources and markets, but also access to employment, services, housing and education. There is a direct link between new investment in road construction on the one hand and economic growth on the other. New roads mean better communications, easier access to markets and new business opportunities. Roads represent terrestrial networks specially designed for vehicles and pedestrians. The purpose of road administration is the design, construction, modernization, rehabilitation, repair and maintenance of roadways. Thus, the efficient management of the financial means used in the process of administration of public roads represents an important role in obtaining the result indicators oriented towards the modernization of the quality transport networks in the Republic of Moldova with the insurance of road safety in traffic.

Therefore, an adequate and high-quality public road infrastructure expresses the level of development of the country worldwide by ensuring a functioning economy.

### 1. The interdependence of the capital flow included in the Gross Domestic Product related to the financial investments made for the modernization of the transport networks.

Investments in transport networks ensure the increase of invested capital based on direct and indirect effects, which result in cost and time savings, by attracting the necessary resources to build modern transport infrastructure.

Road infrastructure influences the economic development of a state through its contribution to the increase of mobility and life quality, by expanding facilities and ensuring goods, cohesion and traffic safety.

At present, the Republic of Moldova is provided with a sufficient transport infrastructure of 10.635 km of roads, related to the area and the number of the population. At the same time, in some areas with

economic potential, road infrastructure could be expanded according to traffic requirements. Insufficient funds available for road infrastructure rehabilitation have highlighted the low level of quality required for their users.

In the Republic of Moldova, investments in the field of road infrastructure with the participation of the private sector accounted for 3.1% of the gross private fixed capital formation in 2010. In the context of the analysis of the indicator “gross capital formation”, its dynamic change was appreciated by the progressive accumulation until 2019, registering 53.7 billion lei, which is about 3 times higher than in 2011. Due to the influence of some external factors explored in 2020, the mentioned indicator expressed the decrease by 0.6 billion lei compared to the similar period of 2019. However, the economy of the Republic of Moldova in 2020, affected by pandemic and severe drought, contracted in a rigid manner, the Gross Domestic Product decreasing by about 2 percent compared to 2019. The main factors that have determined this decline of the Gross Domestic Product were the investments and stocks which also decreased by about 2 percent followed by the consumption of the population. In 2021, the economy gradually began to recover, but most short-term indicators still remain in the negative zone.

Regarding the contributing level of the indicator “gross capital formation” on the increase or decrease of the Gross Domestic Product, a diminishing influence was highlighted for 2016, registering the decrease of GDP by 0.7% and in 2015 by 0.3%. The low level of contribution was also adjusted by the insufficiency of financial resources for road rehabilitation, which in 2015 amounted to 1.5 billion lei or 1.7 billion lei less than the similar period of 2014. The dynamics of indicators on the correlation of the financial means used for roads for the years 2011-2020 is presented in Table no.1.

Tab. 1. Dynamics of the indicators regarding the correlation of the financial means used for roads on the gross fixed capital formation for the years 2011-2020

Nr d/o	Indicators	Unit of measure	Years									
			2011	2012	2013	2014	2015	2016	2017	2018	2019	2020
	A	B	1	2	3	4	5	6	7	8	9	10
1.	Gross domestic Product, including	Billion Lei	82,2	87,8	99,9	111,5	121,8	134,5	150,4	190,1	210,1	206,4
	Gross Fixed Capital Formation, current prices	Billion Lei	19,1	20,5	22,5	27,4	29,5	30,1	32,8	46,2	53,7	53,1
2.	Contribution to GDP formation	%	23,2	23,4	22,5	24,6	24,2	22,3	21,8	24,3	25,6	25,7
	Contribution to GDP growth / decline	%	2,4	0,1	0,8	2,3	-0,3	-0,7	1,2	3,1	3,1	-0,5
3.	Financial means for roads	Billion Lei	-	1,6	1,7	3,2	1,5	1,6	2,3	2,7	3,8	4,8

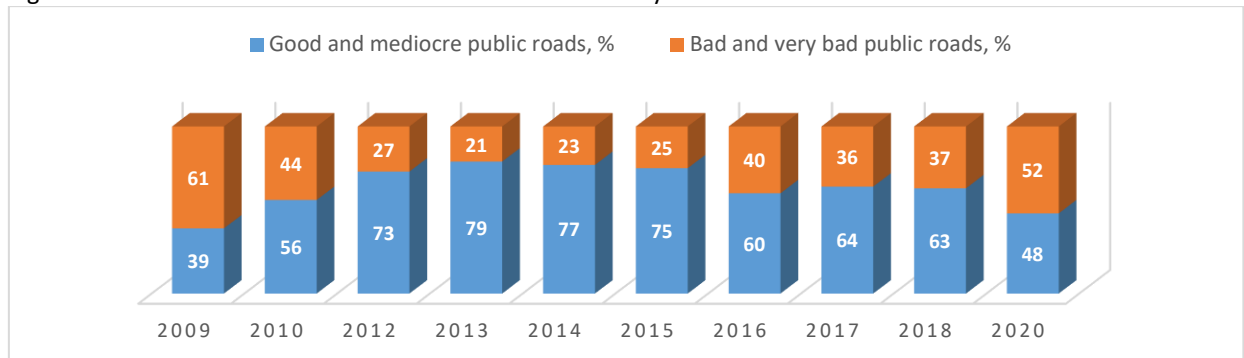
**Source:** Analysis performed on the basis of official statistical data placed on the page of the National Bureau of Statistics.

The non-realization of capital investments has persisted over the last decade, and if these resources had been successfully invested, the annual public investment of the Republic of Moldova would have register 3.9 percent of the Gross Domestic Product, the value which is equal to the national average of the European countries with which it compares. The state of the road network essentially influences the cost of car transport and the travel time of traffic participants. The poor condition of the road network also negatively affects the environment and traffic safety.

According to the data summarized for 2017, about 18% of national roads were in good condition, 23% in poor condition and about 13% in very poor condition. The results of the inspection, in 2017, indicate that

about 31% prevail, the access roads with a *mediocre* condition, meaning between good and bad condition of the road surface (IRI 4-6). The evolution of the state of the national public roads for the years 2009-2020 are shown schematically in Figure no.1.

Figure no.1. Evolution of the state of national roads for the years 2009-2020.



Source: Data reported by the State Company „ASD” in the Report on the Road Use.

The data show that, if until 2014, the increase of public roads in good and mediocre condition persisted, then in 2015 the trend began to decline, one of the influential factors representing the decrease in the road networks’ level of financing. For 2020, the indicator “bad and very bad road conditions” was increased due to the reform of the public road network, which was mainly influenced by the state of regional roads, which registered 63%, and for republican roads and expressly registered the index of 47%.

Road financing is a major problem in all countries, and regardless of the financing system used, it has major implications for both the road network and government decision-making. For all countries, regardless of the level of development, the issue of road finance is an important one.

## 2. Analysis of the road transport situation associated with road infrastructure.

Road transport is a mode of transport intended mainly for semi-finished and finished products and has focused on high value goods. It is especially preferred for short distance travel. An advantage of road transport is availability or accessibility. Almost any point of origin or destination is accessible due to the network of roads and highways. Transit time is a notable advantage of road transport as well as product safety.

Transport is a critical and very important sector of the economy, as it comprises a complex network of private and public enterprises that provide goods and services to the citizens and companies of the European Union and its trading partners. It also ensures the mobility of European citizens, thus making a significant contribution to the free movement of people within the Union's internal market.

The vision of the Republic of Moldova in the field of transport networks is presented in the Transport and Logistics Strategy for 2013-2022. The specific objectives of this Strategy are: (i) creating a legal, institutional and adequate environment for the transport and logistics sector to facilitate the sustainable economic development of the Republic of Moldova; (ii) ensuring a framework that would allow each type of transport to contribute to the economic development of the Republic of Moldova, oriented towards the development of foreign trade; (iii) ensuring the transparency of decisions on infrastructure investments and expenditures, and establishing the basis for concluding agreements with external partners of the Republic of Moldova, such as international financial institutions and the donor community.

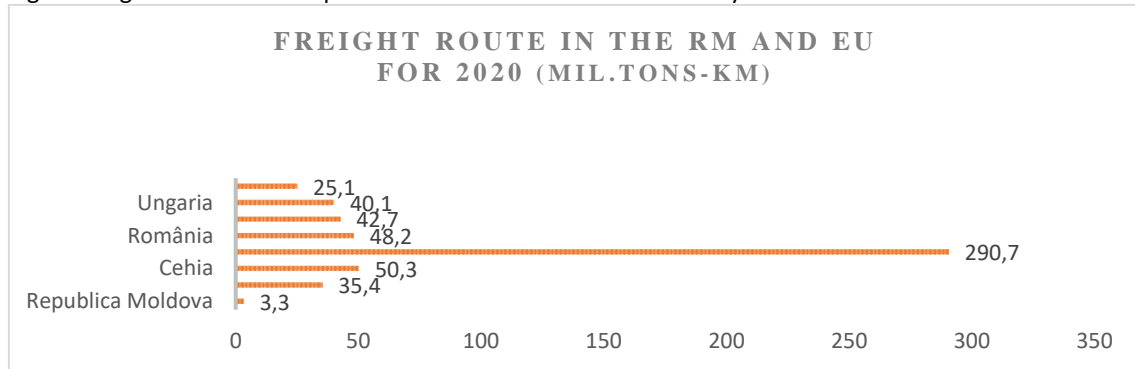
The Republic of Moldova, as a transit country for goods and passengers, is highlighted by the dominant level of road operation, which indirectly influences the capitalization of investment potential. In 2020, the “passenger traffic” indicator was oscillating, decreasing by 18.3 percentage points compared to 2010, while the similar “passenger traffic” indicator showed an oscillating trend, decreasing by 6.7% in 2015, and subsequently increasing by 144.6% in 2020.

In the Republic of Moldova, the long-distance transport of goods prevails, compared to that of passengers, respectively also showing the preponderant increase in the volume of goods transported / delivered by

economic agents, which in 2018 amounted to 1,178.7 thou. tons, which is by 116.6% higher than in 2017. In this context, the volume of goods transported increased about 3 times compared to the distance traveled by them, which highlights the consistent appropriation of public roads by carriers.

Compared to some countries of the European Union, the appreciation of the indicator “the course of car goods” supposes a minimized level of the Republic of Moldova in terms of transportation of goods, a situation shown schematically for 2020 in Figure no.2.

Fig. 2. Freight route in the Republic of Moldova and the EU for the year 2020.



Source: Official statistical data placed on the EUROSTAT page

The attested situation emphasizes the importance of perfection and maintenance of quality public roads per republic, so the efficient use of resources for roads aims to be the primary premise for the favorable attractiveness of the Republic of Moldova in Europe.

The national transport system is a fundamental component of society through at least two valences: economic and social ones. The development of a transport system that meets the needs of the economy is a strategic priority and must be linked to the need for regional and national integration of communities. The components of the national transport system must be approached with an integrated vision, which supports the mobility of people and goods and which is correlated with the development strategy of the Republic of Moldova, sectoral strategies, urban development strategies and plans, European strategies and actions to reduce the effects on the environment.

The mode of road transport is a fundamental component of the national transport system through the share of road transport and the challenges posed by it. The two constituent elements of this mode, infrastructure and vehicles, must be addressed in an integrated way and the development of this mode must be achieved through the unitary approach of the infrastructure-vehicle system.

The vast majority of goods in the proportion of 88% are transported by road, ensuring a maximum demand for national and local roads. Increasing the demand for car transport infrastructure is also a qualitative argument for increasing the road degradation factor. In conclusion, we can mention a double increase in the number of vehicles for the transport of goods, trailers and semi-trailers, a 50% increase in the volume of goods transported by road with a degree of demand for car transport infrastructure of 88%.

The situation on the journey of goods and passengers for the years 2010-2020 is presented in Table no.2.

Tab. 2. Evolution of freight and passenger route indicators

No	Indicator	Measure unit	Years										
			2010	2011	2012	2013	2014	2015	2016	2017	2018	2019	2020
	A	B	1	2	3	4	5	6	7	8	9	10	11
Passenger journey		Thou. passengers	202	238	234	244	229	241	257	278	294	279	165
		-km	643,2	917,3	151,7	948,1	042,6	427,5	074,3	573,3	434,8	850,7	691,5
Goods journey		Thou. tons-km	265	275	288	351	304	279	330	380	371	351	384
			565,6	185,9	673,0	656,4	162,3	809,6	560,2	211,6	737,0	437,9	101,3

Source: Analysis performed based on official statistical data placed on the page of the National Bureau of Statistics.



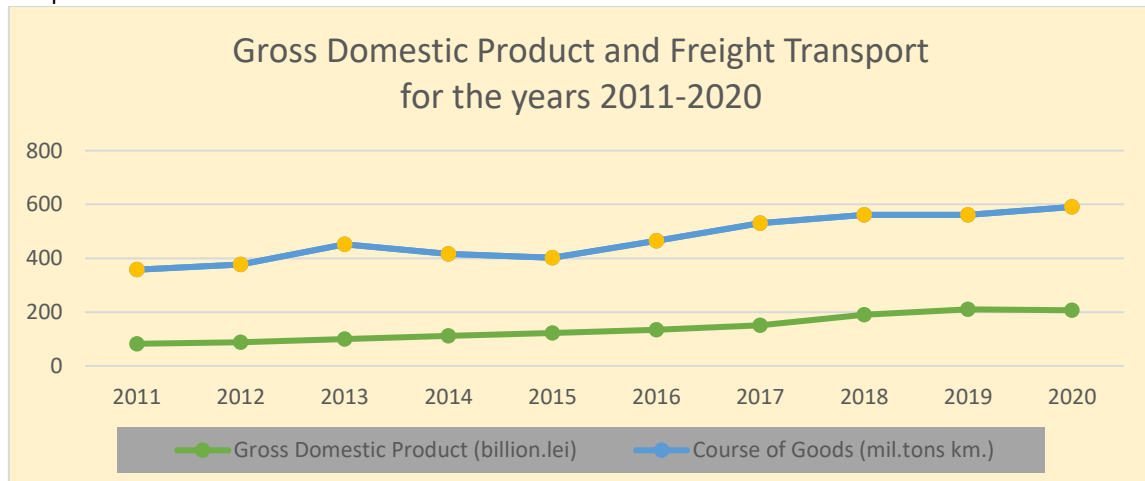
In recent years there has been an increase in transport activity. Thus, the transport of goods increased by about 45% in 2020 compared to 2010. Road transport remains the main mode of transport in the Republic of Moldova, accounting for about 84% of the total route of goods transported. Passenger transport has evolved more significantly, with 42% increase in passenger transport. Passenger traffic increased in 2019 by about 38% compared to 2010. Economic crisis conditions affected the passenger route for 2020, which decreased by about 40 percent compared to 2019. About half of the volume of passengers is achieved by road transport.

According to Eurostat, in 2017, a share of 76.7%, in tons-kilometers, of all domestic transport of goods in the European Union, took place by road. The importance of roads is even greater for passenger traffic: in 2017, cars accounted for 83.3%, in passenger-kilometers, of domestic passenger transport in the European Union, while coaches, buses and trolleybuses accounted for another percentage of 8.8%.

Freight transport is generally dependent on the development of the economy as a whole, and it can be seen internationally that transport (measured in thousands of tons-kilometers) is directly proportional to the increase in Gross Domestic Product.

The overlap of the mentioned indicators, namely the Gross Domestic Product and the thousands of tons of kilometers traveled for the transport of goods is presented in Figure no.3.

Fig. 3. Evolution of GDP indicators and Freight transport in tons-kilometers in the Republic of Moldova for the period 2011-2020.



Source: Official statistics

If we consider the year 2013 as the reference year for assessing the evolution of transport and the economy of the Republic of Moldova in general, we can see that the economy became slightly oscillating until 2015, when we can say that it was transported the least, the year after which we have to deal with a recovery - recovery also manifested in the increase of the Gross Domestic Product. A correlation can be clearly observed between the change in Gross Domestic Product and freight transport expressed in millions of tons-kilometers.

## Conclusions

It is concluded that in the Republic of Moldova the challenge is to create the right conditions for private capital participation in infrastructure development and to attract foreign investors to participate in Public Private Partnerships in road infrastructure, in order to develop road infrastructure, which still needs considerable improvements and need of certain investments.

In this way, a solution would be a combination of public and private investment to provide the capital needed to achieve meaningful results. Given the limitations of domestic private capital, some of the private investment will have to come from abroad. However, comparisons with other countries in the region have shown that more investment in the desired areas can be attracted through the

implementation of complex reform programs and large-scale investment promotion campaigns. This would help to achieve significant investment opportunities in road infrastructure.

Macroeconomic studies have shown that investments in transport networks increase the capital invested compared to that provided by other sectors of activity, based on direct or indirect effects. This results in cost and time savings by improving transport, as well as providing the resources needed to build modern transport infrastructure. Efficient passenger and freight transport services are necessary for economic development, being a complex process of capitalizing on a country's natural resources and talents. The comparison of physical indicators by types of route also shows some trends that characterize the evolution of the transport activity, which in principle will continue to manifest itself in the coming years, even if the amplitude will be different.

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## Covid-19 and International Trade: Effects and Policy Options

Olivera Kostoska<sup>1</sup>

Marija Midovska Petkoska<sup>2</sup>

Davor Jovanoski<sup>3</sup>

<sup>1</sup>“St. Kliment Ohridski” University – Bitola, Faculty of Economics-Prilep, Republic of North Macedonia

e-mail: olivera.kostoska@uklo.edu.mk; ORCID iD: <https://orcid.org/0000-0002-4794-635X>

<sup>2</sup>“St. Kliment Ohridski” University – Bitola, Faculty of Economics-Prilep, Republic of North Macedonia

e-mail: marija.midovska@uklo.edu.mk

<sup>3</sup>University of Applied Sciences Burgenland (UAS), Eisenstadt, Austria, International Joint Cross-Border PhD Programme in International Economic Relations and Management, e-mail: djovanoski@gmail.com

**Abstract:** The Covid-19 pandemic is both a personal experience and an astonishing global phenomenon with wide-ranging effects. This viral pandemic has drastically altered the lives across all countries and negatively affected the global economic growth beyond anything encountered in almost a century. International trade flows declined sharply, whilst the coronavirus pandemic raised questions about the costs and benefits of global production and global supply chains. The global supply chains were disrupted during the pandemic-related recession, which in turn, rises a discussion about the role and importance of certain industrial activities, as well as the need for firms to reconsider the sourcing decisions. Economic forecasts highlight continuous risks to a sustained recovery caused by a re-emergence of infection cases and probable inflationary pressures. In the middle of substantial uncertainty, it is probably necessary to foster confidence in trade and global markets, keep supply chains running and evade unnecessary trade barriers. This paper attempts to discuss precisely how various pandemic-related factors affected the global trade flows and put forward some policy options for the post Covid-19 period.

**Key words:** Covid-19, international trade, export, import

### 1. Introduction

The Covid-19 pandemic has severely changed the lives and livelihoods and also disrupted the economic activities around the world (Kostoska, 2020). Along with the consequences of 2008-2009 crisis, international trade has started to decrease once again. The World Trade Organization has estimated a fall in international merchandise trade volumes by 9.2% in 2020, a rather similar figure to the global financial crisis of 2008, but quite different in terms of the economic context, transmission channels and origins of the crisis (Friedt and Zhang, 2020). The Covid-19 crisis is related to policy measures aimed at combating the health crisis, whilst 2008 financial crisis were primarily caused by deregulation in the financial industry. At this time, the decline of international trade has been caused by many voluntary and binding confinement measures that were imposed on global trade. The exporting countries has noted a reduction in production scale and export supply, especially in those (countries and industries) which exhibit less feasible remote operations. The effects of coronavirus pandemic in importing countries are mainly visible in the decrease of aggregate demand due to both the reduction in people’s earnings and their visits to retail stores (Hayakawa and Mukunoki, 2021). Overall, international trade has been affected by several key dimensions akin to the pandemic, that is the direct health impact and related behavioral changes, the outcomes of governments actions to avert the outspread of the virus and the effects of the pandemic in third countries (Liu, Ornelas and Shi, 2021).

This article aims to examine the effects of coronavirus pandemic on international trade, the change of these effects over time, the impact of confinement measures on trade, as well as the need for businesses and governments to revise resilience in global value chains. From an empirical point of view, the spread of the virus is reminiscent of a natural disaster (taken as external, non-economic shock), the effects of which have already been discussed in the literature (Crespo Cuaresma, Hlouskova and Obersteiner, 2008; Burgess and Donaldson, 2010; Boehm, Flaaen and Pandalai-Nayar, 2019; Felbermayr, 2020). Another strand of the literature examines the effects of coronavirus pandemic with reference to the transmission mechanism of the shock, that is supply, demand and global value chains. While some scholars point to the explanatory power of the demand factors (Baldwin and Tomiura, 2020), others contend that both supply and demand shocks are present in the crisis (Friedt and Zhang, 2020). In point of fact, the supply

shock is less visible in industries providing essential goods (e.g., food and medicals) than in those supplying non-essential products (e.g., automobiles and machines) (Hayakawa and Mukunoki, 2021). As in the case of supply shocks, the magnitude of negative demand shocks varies across different industries. Eaton et al. (2016) contend that negative demand shocks may lessen the spending on durables goods more than on non-durables, mainly due to the ‘postponing’ nature of the durable products. Additionally, supply shocks have an indirect effect producing demand shocks in importing countries through the supply chains. The supply chain effects are mostly observable in industries with well-developed global production networks (e.g., machinery and transport equipment). This is why a lively debate on the structure of global production and global supply chains has been recently developed. Several studies have focused on the effects of the pandemic outbreaks in critical links of global supply chains that resulted in disruption of the supply channels (Bonadio et al., 2020). For some, supply chains need to be re-nationalized, or at least reduced, to lessen the risks from global exposure. With this in mind, firms may need to review the sourcing decisions, leading to a reconfiguration of global production, with possibly far-reaching effects particularly for developing countries. Still, governments and firms will need to reconsider what is the best way to ensure the resilience of supply chains. This will certainly require a better understanding of the strengths and weaknesses of the crucial supply chains and scrutinizing the resilience toolkits again in light of the current crisis. For firms, this would mean revising, for example, the structure of business globally, while governments will need to create a trade and investment policy environment that is most conducive to resilience (e.g., accessibility to digital infrastructure to diminish productivity shocks or improvements to trade facilitation practices to curtail the magnitude of disruptions).

The rest of the paper is organized as follows. Section 2 reviews the literature about the possible effects of Covid-19 on trade. Section 3 examines the challenges that pandemic is imposing on global supply chains, as well as the effects of confinement measures on international trade. The last section concludes and recommends.

## **2. Covid-19 and international trade: a literature review**

The literature on trade effects of coronavirus pandemic is becoming more extensive, but it is still inconclusive. Some authors have generally examined the trade impact of health-related crisis. Using trade data of all Chinese firms, Fernandes and Tang (2003) have estimated trade effects of the SARS pandemic in 2003. Another strand of literature, although confined to specific countries, focus particularly on the current coronavirus trade shock. Büchel et al. (2020) find that, during the closure occurring between mid-March and the end of July, Swiss trade decreased by 11% compared to the same period in 2019. They also argue that, while Swiss imports are mainly affected by the severity of government measures in the exporter country, reduction of Swiss exports appears to be correlated with the number of coronavirus cases in the importing countries. Finally, the authors point out that chemical and pharmaceutical products remained resilient to the trade shock, and overall, the pandemic negatively affected both supply and demand sides of foreign trade. De Lucio et al. (2020) find that the Spanish exports were severely affected by the rigor of measures adopted in the country of destination, while imports did not concede to such a sharp decline. Additionally, Minondo (2021) finds a more profound reduction in service trade, mainly as a result of the transport position in the Spanish economy. Using a gravity-like approach, Liu, Ornelas and Shi (2021) examine the effects of Covid-19 deaths and lockdown policies on imports from China. The authors find that “the net effect of moving from the pre-pandemic situation to another where the main variables are evaluated at their 2020 mean is, on average, a reduction of nearly 10% in imports from China”.

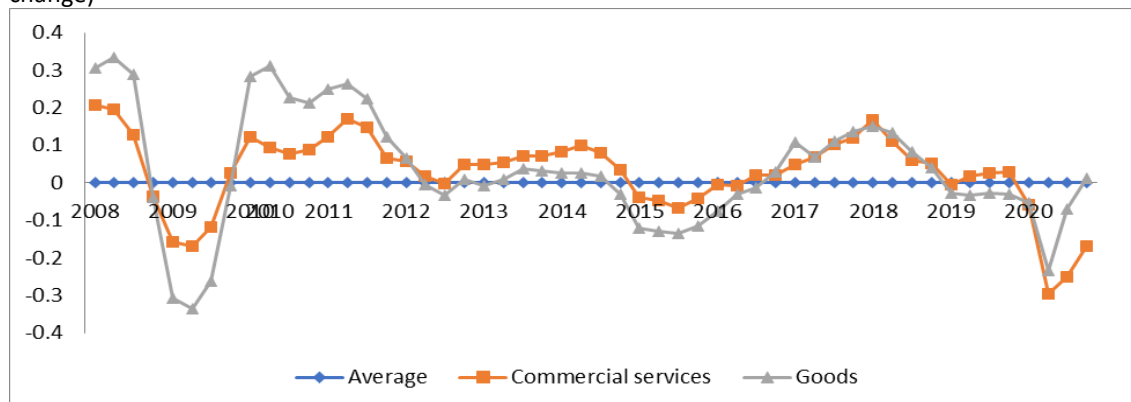
Some studies have provided additional information by taking into account a larger sample of countries. Using monthly trade of the EU member states, Kejzar and Velic (2020) emphasize the role of supply chain linkages for the transmission of coronavirus shocks. Using a framework of the gravity model, the authors find a general decrease in trade after the Covid-19 outbreak and significantly negative trade effect related to coronavirus cases per capita in both countries of origin and destination. Espitia et al. (2021) examine the trade effects of Covid-19 using monthly disaggregated trade data for 28 countries and multiple trading partners. The results show that the negative trade effects triggered by Covid-19 shocks differ widely across different sectors. What is also important is participation in global value chains that amplified traders’

vulnerability to shocks suffered by trading partners, while at the same time reduced their vulnerability to domestic shocks (Kostoska, Stojkoski and Kocarev, 2020). Additionally, Hayakawa and Imai (2021) investigate the bilateral trade in medical products between 35 reporting and 250 partner countries. The authors find that the rise in coronavirus burden leads to reduction in export of medical products. Nevertheless, the reduction is smaller when exports are directed towards countries with closer economic, political, or geographical links, while demographic ties are closely related to import of personal protective products. Verschuur, Koks and Hall (2021) underline that “understanding the propagation of the economic shock from COVID-19, which can be informed by real-time observations as well as model predictions, will help to better allocate international aid and economic stimuli”. Finally, Barbero, de Lucio and Rodriguez - Crespo (2021) investigate the impact of coronavirus pandemic on bilateral trade flows using a state-of-the-art gravity model of trade and monthly trade data of 68 countries exporting across 222 destinations. The authors find a higher negative impact of the pandemic on bilateral trade for countries that were part of regional trade agreements before the pandemic. They also find that the impact of coronavirus is negative and significant when indicators related to governmental actions are taken into account. Moreover, this negative effect is more intense when exporting and importing country share equal income levels.

### 3. The effects of Covid-19 measures on international trade

The rapid spread of COVID-19 and related measures taken by governments around the world have imposed serious consequences for the major economies. As the pandemic spread throughout the world, all countries were urged to implement policy actions of response. International trade was subject to compound pressures as demand and supply of goods and services changed sharply. The COVID-19 pandemic has placed the spotlight on global supply chains and challenged more than 30 years of progress towards globalization. Probably the most striking impact of the current pandemic is the massive disruptions to international trade and global value chains. It affected supply chains activities, operations, processes, and management due to supply disruptions, demand volatility, and government actions to combat the crisis. Factory closures, temporary border closures, restrictions on passenger travel and disruptions in transport sectors interrupted the entire supply network, thus leading to shortages. While the pandemic may be far from over, it has become clear that transforming global approaches to trade and development cannot be avoided when charting a sustainable course to recovery from the pandemic. Currently, the collapse of international trade has been driven by the voluntary and mandatory confinement measures imposed on world trade. Various methodologies have been used to determine the impact of coronavirus pandemic on international trade. Hayakawa and Mukunoki (2021), for instance, found significant negative effects of COVID-19 on international trade for both exporting and importing countries. Decrease in the volume of international trade is evident from the onset of the pandemic. Figure 1 shows the percentage change of world trade in goods and commercial services from 2008 to 2020, quarterly. As the early effects of the pandemic began to occur, the growth of trade in goods and services declined in the 1st quarter of 2020. According to UNCTAD analysis for 2020, European Union, United States and Japan are found of the list of the most affected economies.

Figure 1: World trade in goods and commercial services, 2008-2020, quarterly (Year-on-year percentage change)



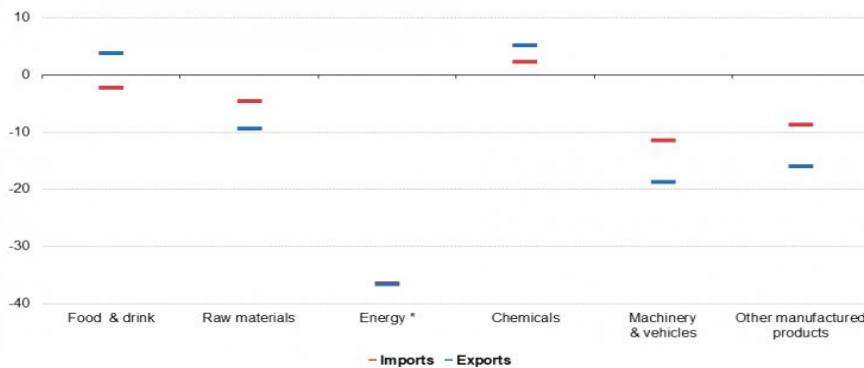
Source: UNCTAD

The analysis of trade effects of the pandemic, however, differs by groups of products. Many scholars underline that the shocks are less visible in industries providing essential goods like food and chemicals. In this context, Liu, Ornelas and Shi (2021) find that negative trade effects of the pandemic vanish when the sample is restricted to ‘medical goods’, highlighting the idiosyncratic dynamic they followed during the pandemic. Additionally, they notice that the negative effects are more pronounced for ‘durable consumption goods’ and weaker for ‘capital goods’, for which long-term planning implies a different reaction to the temporary shock due to the pandemic. Figure 2 highlights the impact of Covid-19 on international trade by product group. According to World trade organization imports and exports of medical goods were valued at US\$ 2,343 billion in 2020 which represent a growth of 16 % compared to the previous year. In contrast, the total value of world merchandise trade contracted by 7.6 % in 2020. The share of medical goods in world trade grew from 5.3 % in 2019 to 6.6 % in 2020. The world’s top three merchandise traders – China, the United States and Germany – are also the top three traders for COVID-19-critical products. While the share of these three economies in total world merchandise trade was around 31 % in 2020, their share for COVID-19-critical products is even higher - 41 %.

Additionally, researchers have investigated the impact of Covid-19 on international trade in high income and low income countries. In this context, Barbero, Lucio and Rodríguez-Crespo (2021) evaluate the total monthly exports in 2020, relative to January 2020, by income level for sample of exporting countries (Figure 3). They observe a huge decline in exports between March and April. At the same time, they find that high-income countries have gradually been recovering their export flows, revealing a larger degree of resilience, and also how the economic support policies might have helped in recovering the economic activity. Accordingly, the trade effects of COVID-19 is both negative and significant for all the variables considered in the model. Their results suggest that COVID-19 may be detrimental to trade flows for those countries engaged in previous regional trade agreements compared to the countries that were not members of these agreements.

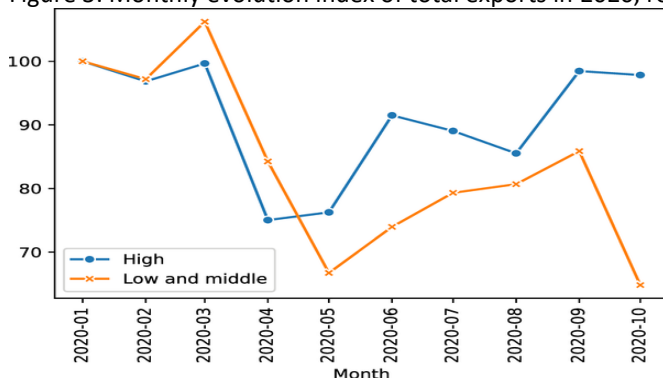
Figure 2. Impact of Covid-19 on international trade by product group

Growth rates of extra EU-27 trade in goods by product group (first semester 2019 - first semester 2020)



Source: Eurostat

Figure 3: Monthly evolution index of total exports in 2020, relative to January 2020 = 100.



Source: Barbero J, de Lucio JJ, Rodríguez-Crespo E (2021) Effects of COVID-19 on trade flows: Measuring their impact through government policy responses. PLOS ONE 16(10): e0258356. <https://doi.org/10.1371/journal.pone.0258356>

#### 4. Conclusions

Based on various indicators, significant parts of the world economy seem to get through the worst of the recession triggered by the unprecedented coronavirus induced social distancing and business lockdown in 2020. The advent of new mutations of the virus continue to increase both overall costs of the pandemic and unpredictability about the timing of a sustained recovery. During the pandemic, governments adopted measures to prevent the spread of the virus, which in turn, caused a recession and change in patterns of peoples' lives. Additionally, the global economic recession brought about a sharp decline in global trade activity, which augmented the depth and scope of the disruption. The trade effects of coronavirus pandemic have actually raised questions about what actions governments should take to reinforce the role of international trade in returning to pre-crisis levels. In view of this, there is a clear need for promoting trust and international cooperation to keep the trade flowing, both to ensure that countries will not impose restrictions on exports and that imports will not give rise to health risks. Global supply chains were also disrupted during the pandemic-related recession, which in turn, raises a debate about the importance of certain industries and the extent to which the governments should engage in the possible reallocation of resources in the economy. For some scholars, coronavirus pandemic contends for supply chains to be re-nationalized, or at least reduced, to decrease the risks from global exposure. With this in mind, business may need to revise the sourcing solutions, which in turn, may change the structure of global supply chains, while governments could consider adopting policies for developing domestic production of strategic products that are now imported.

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## Determinants Of Entrepreneurial Intention Among University Students

Panagiota I. Xanthopoulou<sup>1</sup>

Alexandros G. Sahinidis<sup>2</sup>

<sup>1</sup> University of West Attica, School of Administrative, Economics and Social Sciences, Department of Business Administration, Athens-Greece, pxanthopoulou@uniwa.gr, ORCID: <https://orcid.org/0000-0003-2503-3901>

<sup>2</sup> University of West Attica, School of Administrative, Economics and Social Sciences, Department of Business Administration, Athens-Greece, asachinidis@uniwa.gr, ORCID: <https://orcid.org/0000-0001-7564-5813>

**Abstract:** The importance of entrepreneurial activity for a country's economic and social growth has long been recognized. There are strong and positive relationships between higher education, venture creation, and entrepreneurial performance, as well as a strong link between entrepreneurial education and entrepreneurial intention, according to the research. The aim of the present study is to give some insights on entrepreneurship education in general, as well as on other important associated variables, explaining their impact on entrepreneurial intention. We also aimed to investigate the impact of gender, father's occupation, tutors/educators, the social environment of students (such as peers) and level of studies on the intention of individuals to be entrepreneurs. The research was conducted on 82 business administration students from two Greek universities through an online survey. The findings revealed that the family environment, particularly the father's occupation, had a significant influence on students' entrepreneurial mindset and intention, as well as their social environment and the support they receive from it. We observed that the level of appreciation was higher from friends and people they admire rather than their family as probably they take for granted their family support. Also, it was found that there is a difference on the level of entrepreneurial intentions based on gender, and level of education with males and undergraduate students to show greater intention in comparison with the females and master ones. Entrepreneurship education was also proved to have a positive impact on entrepreneurial intention of participants.

**Keywords:** Entrepreneurship Education, Higher Education, Entrepreneurial Intention, University Students.

### 1. INTRODUCTION

Entrepreneurship as a career choice has a great impact on increasing the economic performance of national economies and employment (Carree & Thurik, 2010; Hope, 2016). Hence, promoting entrepreneurship is critical and governments have focused their efforts on it. Moreover, research shows that entrepreneurship education is one of the key determinants of entrepreneurial intention (Fayolle & Gailly, 2015; Peterman & Kennedy, 2003; Zhang et al., 2014). Education in general provides people with knowledge, skills, attitudes, and values they need to thrive in society. Many scholars such as Sultan, Maqsood and Shrif (2016) aimed to answer the fundamental question of the reasons why an individual prefers to be an entrepreneur and what motivates his/her intentions. So, according to Sheeran (2002), "intention" is the key term to explain human behaviors and entrepreneurial intention has been found on a plethora of studies in order to examine the variables that impact on an individual's willingness to start a new business. Sanchez, et al., (2019) observed an increased interest in research in the field of entrepreneurship education and its impact on entrepreneurial intention, proposed by numerous authors of articles and publications. The present study intends to provide some insights into entrepreneurship education in general, as well as other key characteristics associated to entrepreneurial intention in particular. In order to evaluate the effectiveness of entrepreneurship programs in Greek universities and further investigate the factors that make these programs desirable and inspiring for university students, we focus on the impact of tutors and peers from the students' perspective. In addition, other determinants such as gender, the level of studies and families' occupations (mainly father's occupation) and social environment of individuals, are also examined, concerning their influence on entrepreneurial intention. The study examines the impact of Entrepreneurship Education (EE) on the intention to start a new business among university students of the Business Administration Department of two Greek universities. Students were requested to participate in the present research by filling out an online questionnaire for the data collection. The results will provide some insight into university students' entrepreneurial intention, which may serve as a predictor of whether they would take action to bring their new company ideas to implementation. Furthermore, the uniqueness of this study is that we include more

sub-factors related to entrepreneurship education, such as peer influence on students' entrepreneurial intentions. The research questions are:

1. How does entrepreneurial education affect entrepreneurial intention?
2. How do peers and the social environment of students impact the forming of entrepreneurial intention?
3. How students' families and father's entrepreneurial background affect students' entrepreneurial intention?

## **2. LITERATURE REVIEW**

### **2.1. Entrepreneurial intention (EI)**

Entrepreneurial intention (EI) is defined by Thompson (2009:676) as self-acknowledged conviction by a person who intends to set up a new business venture and consciously plan to do so at some point in the future. Others, such as Choo and Wong (2009), define EI as the search and investigation of information that may be utilized to assist in the construction of a business (Neneh, 2014). The intention to choose an entrepreneurial career before starting the venture is the focus of entrepreneurship, because of its significance as a starting point of new venture creation. In order to strengthen intention and make people think of starting a business, instead of choosing a job in the private or the public sector, the literature distinguishes some factors, or "motivators" such as individual traits, that encourage and motivate individuals' decision to become entrepreneurs including attitudes, values and psychological characteristics (Ashley-Cotleur et al., 2009), demographic factors such as education, gender and family background. In another line of research a significant number of studies found that education is one of the most important determinants that may foster the entrepreneurial intention, as individuals with higher formal education are more likely to pursue entrepreneurial opportunities (Lee, Chang & Lim, 2005; Turke & Sulcek, 2009; Wilson, Kickul & Marlino, 2007; Souitaris, Zerbinati & Al-Laham, 2007) Neneh, 2014). As an antecedent of behavior, intention is preceded by consistent and coherent behavior-relevant knowledge that may be reinforced by incentives (Barringer, 2015). Within the field of entrepreneurship study, entrepreneurial intention is one of the fastest expanding sub-fields (Linan & Fayolle, 2015). Entrepreneurial intention (EI) is described as an individual's desire to engage in entrepreneurial activities, such as starting a new firm or working for themselves (Dohse & Walter, 2010). Entrepreneurial intention is a crucial aspect in explaining entrepreneurship and developing a new business since it helps to explain why certain individuals are prone to establish a firm (Krueger, Reilly & Carsrud, 2000; Soria-Barreto et al, 2017). Several factors have been examined in relation to their influence on EI. To begin with, Mahlberg (1996) believes that schools and universities are critical in supporting entrepreneurship since educational institutions are perfectly positioned to shape entrepreneurial cultures and ambitions (Autio, Keeley et al., 1997; Landstrom, 2005). In addition, the family environment, particularly the father's employment has an impact on this entrepreneurial attitude. According to Sahinidis et al. (2014), father's occupation, whether self-employed or small company owners, is highly linked to children's life and their decisions to start a new business. Another driver is the social environment of students, which has a favorable impact on EI since those who have previously worked for themselves, have a direct impact on persons deciding whether to start a new enterprise or not (Nanda & Sorensen, 2006). It has also been noted that some individuals would prefer not to rely on others for their survival, and this mindset motivates them to seek out their own resources and become self-sufficient. Individuals will change to a higher level of demand only after their low-level requirements are supplied, according to Maslow (1943) and his demand theory. In this context, self-actualization or self-fulfillment is seen as the greatest source of happiness for an entrepreneur in the pursuit of a goal (Dong, Pang & Fu, 2019).

### **2.2. Determinants of Entrepreneurial intention (EI)**

#### **2.2.1. Entrepreneurship education (EE)**

According to the literature, the rate of new business formation is the best metric for evaluating the success of entrepreneurship education (Raposo & Do Paço, 2011). However, other studies suggest that further criteria should be investigated in order to predict entrepreneurial purpose and performance. Many researchers (Bae et al., 2014; Fayolle & Gailly, 2009; Oosterbeek, van Praag, & Ijsselstein, 2010)

agree that an entrepreneurship education program should increase students' awareness of entrepreneurship, allow them to further develop their entrepreneurial skills, teach them how to put theory into practice, and highlight entrepreneurship as a career option (Patricia & Silangen, 2016). Entrepreneurship education, according to Schoof (2006), is critical in assisting young people in developing business qualities and attitudes, as well as understanding entrepreneurship as a career option. In 2004, the European Commission suggested that entrepreneurship education be included in all EU Member States' national curricula and educational institutions. Entrepreneurial education so, refers to both training and motivating activities in an educational system, that offers students with entrepreneurial skills, inspiration, and knowledge, to pursue entrepreneurial business (Ekpoh & Edet, 2011). However, entrepreneurship is usually taught at economic studies departments unless it is part of a specific course. Entrepreneurial intentions were shown to be positively influenced by participation in entrepreneurship education, augmented by social network and coaching activities (Küttim et al., 2014). This research adds the educational component, which is a critical feature in determining the efficacy of an entrepreneurial instructional course. It is critical at this time to offer students with essential knowledge and to help them build the necessary capabilities to become future entrepreneurs. Despite the popularity of entrepreneurship education, there is still shortage in widely acknowledged teaching material and techniques (Matlay, 2005). Asghar, Hakkarainen and Nada (2016) conducted research on the combination of components of entrepreneurship education and antecedents of entrepreneurial intentions, and discovered that, course activities and the way they were designed, as well as discussions of entrepreneur success stories, role playing activities, and interaction with other participants, as well as further discussion and presentation, increased students' confidence, and boosted their intention to be entrepreneurs (Asghar, Hakkarainen & Nada, 2016). Puni, Anlesinya and Korsorku (2017) discovered that acquiring entrepreneurship knowledge, and recognizing opportunities, as elements of entrepreneurship education, had a beneficial impact on entrepreneurial intention and self-efficacy. According to Ojogbo, Idemob and Ngige (2016), there is a positive association between entrepreneurial education and intention and perceived attractiveness, but not perceived feasibility or self-efficacy. According to the same authors, educational change is necessary in order to stimulate students' creativity and innovation. Higher education institutions, according to Marire, Mafini and Dhurup (2017), have not yet adequately educated students for self-employment as a career choice, resulting to the loss of many prospective entrepreneurs (Matsheke et al., 2015). As a result, many higher education institutions now offer entrepreneurship and small company courses through business schools and short-term learning programs. Similarly, the findings of Küttim et al (2014) show that what is offered, is not always the most wanted in entrepreneurship education, as more lectures and seminars are provided, but students expect more networking and coaching activities. Entrepreneurship and its relationship with education and specifically higher education is a very interesting research subject (Gubik & Farkas, 2019a). Finally, the positive impact of entrepreneurship education on individuals' intention to be self-employed was studied in a plethora of studies (Passoni & Glavam, 2018; Otache, 2019; Rauch & Hulsink, 2015; Aladejebi, 2018; Lavelle, 2021; Ndala, 2018; Joensuu et al., 2013; Hattab, 2014; Facey-Shaw et al., 2017; Abun et al, 2018; Barba-Sánchez & Atienza-Sahuquillo, 2018; McDonald, 2019; Kefis & Xanthopoulou, 2015; Adelaja & Minai, 2018; Karlsson & Moberg, 2013; DeTienne & Chandler, 2004; Maina, 2011; Gürol & Atsan, 2006; Fayolle & Gailly, 2015; Bae et al., 2014; Do Paço et al., 2015; Sahinidis, Xanthopoulou & Tsaknis, 2021). These studies to a large extent reported findings supportive of the hypothesis, that entrepreneurship education improved people's opinions of their abilities to start new enterprises. In general, students who had received entrepreneurship education exhibited higher intention in starting a new venture or start-up. Taking these facts into account, we propose the following hypothesis:

**H1:** Entrepreneurial education has a positive impact on entrepreneurial intention.

### **2.2.2. Tutors and Peers**

Concerning the role of educators and peers on entrepreneurial intention, several researchers propose that, there is a need for teaching methods and techniques, that increase students' participation and motivation (Asghar, Hakkarainen & Nada, 2016; Gubik & Farkas, 2019b; Frenzel et al., 2009; Patricia & Silangen, 2016; Sahinidis, Gkika, Tsaknis & Stavroulakis, 2020). For example, Fellnhöfer (2015) observes that the use of educational games supports both researchers as well as lecturers from a pedagogical

perspective to enhance their effectiveness of entrepreneurship education (EE). Do Paço et al. (2015) found that peers with entrepreneurial goals, will also play a significant part in the increase of the possibility, that an individual will have entrepreneurial ambitions. The same findings come from Falck, Heblich, and Luedemann (2012). Li and Wu (2019) brought a deeper understanding of why and how entrepreneurial education enhances entrepreneurial intent. The moderating function of team cooperation, on the effect of entrepreneurial education on entrepreneurial self-efficacy and entrepreneurial passion, is investigated in the same study. Individuals' entrepreneurial self-efficacy and entrepreneurial passion were positively affected by tutors' personality, while team cooperation moderated the relationship between entrepreneurial education and entrepreneurial self-efficacy, and the relationship between entrepreneurial education and entrepreneurial passion ([Tsaknis, Xanthopoulou, Patitsa & Sahinidis, 2022). Individuals' entrepreneurial self-efficacy and entrepreneurial enthusiasm were positively improved by the tutor. According to Li & Wu (2019), students are more likely to improve the influence of entrepreneurship education on entrepreneurial self-efficacy, and entrepreneurial enthusiasm, when they perceive a high degree of team cooperation with their peers and tutors. Therefore, we propose that:

**H2.** Peers have a positive impact on students' entrepreneurial intention

### **2.2.3. Social and family environment**

Another demographic factor is people's social surroundings. A supportive social environment (family, friends, etc.) creates entrepreneurial attitudes, and nurtures entrepreneurial ambitions in general (social norm). As a result, the more positively the environment reacts to an individual's entrepreneurial goals, the more likely the person to want to establish their own firm. Furthermore, several studies, such as one by Gubik and Farkas (2019), have demonstrated that students' family business background, and education, also impacts their entrepreneurial ideas. Others, such as Douglas & Fitzsimmons (2011), have pointed out that in the appearance of an entrepreneurial opportunity, people must also decide, whether they feel they possess the requisite talents and competencies to succeed. Individuals with an entrepreneurial family history are more likely to engage in entrepreneurship, or self-employment, according to previous research. Parents, who are business owners or entrepreneurs, serve as role models for their children's entrepreneurial ambitions (Bae et al., 2014; Fayolle & Gailly, 2015; Verheul et al., 2012; Tsaknis & Sahinidis, 2020). In general, the family environment, particularly the father's occupation, has an impact on this entrepreneurial attitude. According to Sahinidis et al. (2014), father's occupation, whether self-employed or small company owners, is highly linked to children's life and their decisions to start a new business, as they are exposed to an entrepreneurial environment by seeing, hearing, experiencing, knowing, and comprehending genuine entrepreneurial realities. Based on the above we propose that:

**H3.** Students' families with entrepreneurial background (especially father's occupation) are positively related to entrepreneurial intention

### **2.2.4. Gender and age**

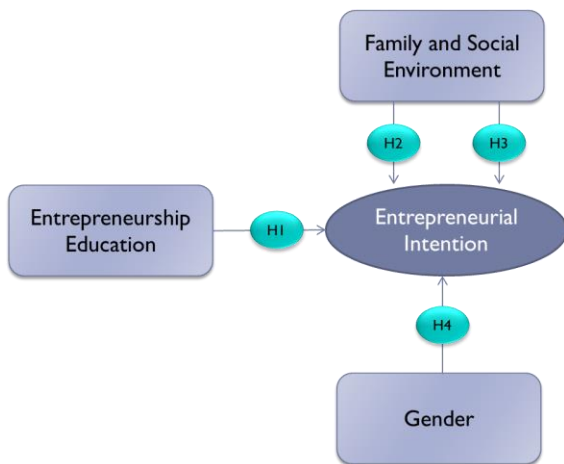
Brockhaus (1980) proposed that an individual's entrepreneurial purpose is influenced by their age, gender, and level of education. While extensive research has been done on the effects of gender and other demographic characteristics on EI, there has been little research on the impact of age (Ng & Feldman, 2010). According to Gielnik, Zacher, and Frese (2012), the age of business owners is a disregarded element in entrepreneurship research, with few studies taking age into account as a factor influencing EI. Furthermore, the results of these investigations were conflicting (Kautonen, Down, & Minniti, 2014). The findings of Sahinidis et al. (2021) showed that the age group of 26–34 years does exhibit a higher intention to start a business than other age groups. Research in general focuses on age variations in entrepreneurial motivation or behavior (Minola, Criaco, & Obschonka, 2016), or on individual age groups. Kautonen et al. (2010), for example, propose two age groups: 50–64 and 20–49 years old. Individuals between the ages of 25 and 34 are more likely to establish their own firms, according to Choo and Wong (2006). A common conclusion is that, despite having greater expertise and resources, elderly individuals are less willing to undertake the starting of a new business (Blanchflower, Oswald, & Stutzer, 2001; Praag & Ophem, 1995; Lévesque & Minniti, 2006). For instance, Pauceanu, Alpenidze, Edu, and

Zaharia (2019) discovered that EI is higher in people between the ages of 20 to 25. However, there is a significant number of studies (Hatak, Harms & Fink, 2015; Simoes, Crespo, & Moreira, 2016; Talaş, Çelik, & Oral, 2013; Ayalew & Zeleke, 2018; Neneh, 2014; Strydom, Meyer, & Synodinos, 2020) which conclude an inverse relationship between age and EI. Even though they had the same entrepreneurial education, male and female students had different entrepreneurial attitudes, societal norms, and entrepreneurial objectives. Financial support, risk-taking inclination, attentiveness to current possibilities (Langowitz & Minnitti, 2007), and internal locus of control are among the characteristics that impact the engagement of male and female entrepreneurs (Verheul, Thurik & Grilo, 2006; Wilson, Kickul, & Marlino, 2007). Many scholars argue that men are more likely to want to pursue an entrepreneurial undertaking (Johnson, Stone & Philips, 2008; Langowitz & Minnitti, 2007; Petridou, Sarri & Kyrgidou, 2009) since women are more risk-averse than men (Diaz-Garca & Jiménez-Moreno, 2010; Verheul et al., 2012). According to several studies, women prefer self-employment less than males. Zhang et al., 2014 found that while women are just as adept as males in performing entrepreneurial activities, they may perceive the environment to be more challenging and less rewarding. Women's self-employment inclinations and activity rates may be affected as a result of this. In comparison to males, Bae et al., (2014), concluded that entrepreneurship education may be more beneficial to women in terms of strengthening their capabilities and increasing their entrepreneurial intent. However, the evidence on the influence of gender on the relationship between entrepreneurship education and the propensity to start a new enterprise is inconclusive. Gender, for other scholars, does not appear to have a role in determining entrepreneurial ambitions (Ruiz-Alba, Vallespin, Martn, & Rodriguez-Molina, 2014; Gird & Bagraim, 2008) positing that, there is no statistically significant relationships between the variables of gender and EI. Therefore, we propose that:

**H4.** Males have higher entrepreneurship intention than females

In sum, we developed a framework to address the impact of the above demographic determinants of entrepreneurial intention (Figure 1)

Figure 1: Research framework



### 3. METHODS

An online questionnaire was used given to students of Business Administration Departments of two Greek Private Universities. The total number of responses was 82 from a population of 105. The SPSS analysis below includes descriptive statistics tables, providing measures of central tendency and measures of dispersion. All descriptive statistics tables regardless of other factors (gender, father's employment status and level of studies) are presented in the text below. Moreover, inferential statistics were used in the mean values for each question in order to determine the boundaries of the mean responses through the use of 95% confidence intervals. The same approach was applied for each question based on the three factors (gender, father's employment type and bachelor's or master's level of studies) in order to identify similarities and differences in mean scores by each specific group. Finally, in the analysis that follows in

questions 1-20, all mean values greater than '3' pertaining to entrepreneurship, were assessed to state agreement on each question regarding entrepreneurial factors, influences, attitudes, and behaviors, while mean values equal or lesser than '3' fell under the disagreement area.

#### 4. RESULTS

The first four questions measure participants' general attitudes towards entrepreneurship.

Table 1: Descriptive Statistics (Q1-Q4)

		Statistics			
		1. Being an entrepreneur entails more advantages than disadvantages	2. A career as an entrepreneur is highly desirable to me	3. Being an entrepreneur is highly gratifying for me	4. Among other types of employment I prefer having my own business
N	Valid	82	82	82	82
	Missing	0	0	0	0
Mean		3,90	3,83	4,12	3,68
Std. Error of Mean		,117	,136	,128	,146
Mode		5	5	5	5
Std. Deviation		1,061	1,235	1,159	1,323

From the table 1 we can see that people mostly agree that the advantages outweigh the disadvantages for starting a business venture with an average value of 3.90. The results indicate with a mean of 3.83 that, having their own business is highly desirable to them. In addition, most participants seemed to also agree, on the feelings of satisfaction they derive from being entrepreneurs, with an average score of 4.20. Finally, respondents appear to prefer having their own business than other forms of employment with an average score of 3.68. When the same questions were analyzed by gender, males appear to score higher than females, in all four questions with the greatest difference in question four, for owning their own business. This corroborates the findings of previous studies, reporting that males possess a higher level of business risk propensity. However, the general picture of the outcomes indicates, a higher level of agreement, of those having fathers working either as freelancers or entrepreneurs, compared to those working for others or with other forms of employment. The question that seems to support the view that, having entrepreneurial activities by the father, may have a greater influence on the attitude of individuals regarding entrepreneurship appears in question 2, on the desirability of becoming an entrepreneur, with second being the self- employed father's background. Thus, it seems that family background has greater influence for people with their father being working for himself, either as a freelancer or an entrepreneur. The same questions were analyzed, based on the level of studies they were at, during the time of the data collection, comprising two groups, those during their bachelor's studies and master's studies. The results indicated differences in all four questions between the two student groups. Specifically, in all questions, students at the bachelor's degree level, tended to agree more than their master's counterparts, regarding the attractiveness and desirability of entrepreneurship. Nevertheless, in questions 3 and 4, the lower limit average scores for students in the master's studies reached values displaying a negative attitude towards entrepreneurship. This may be attributed to the younger age of the bachelor's students, which makes them more willing to take risks, and more enthusiastic towards starting a business of their own. The following set of questions examines students' perception regarding the support they get from family, friends, or other people in their environment regarding having their own business.

Table 2: Descriptive statistics (Q5-Q10)

Descriptive Statistics					
	N	Minimum	Maximum	Mean	Std. Deviation
5. My friends agree with my decision to start up my own business	82	1	5	3,78	1,207
6. My family agree with my decision to start up my own business	82	1	5	3,80	1,444
7. People highly important to me agree with my decision to start up my own business	82	1	5	4,05	1,276
8. My family appreciates entrepreneurship as a career path compared to other options	82	1	5	3,07	1,322
9. My friends appreciate entrepreneurship as a career path compared to other options	82	1	5	3,24	1,253
10. People highly important to me appreciate entrepreneurship as a career path compared to other options	82	1	5	3,54	1,219
Valid N (listwise)	82				

The above table (Table 2) indicates that in all questions, participants agreed that their friends and family members support them in the idea of starting a business or engaging generally with entrepreneurial actions and decisions. The highest level of agreement seemed to come from people that students feel they are highly important to them. Surprisingly, the lowest score of agreement was from family members. However, the lower limits of the average values in questions 8 and 9 are exhibiting that, participant are not inspired adequately to follow an entrepreneurial path by family members and friends. The same questions were examined, to detect differences between the two genders. The questions in which there was a significant difference between males and females were in questions 7 and 10. Male students agreed with a mean score of 4.71, while female students with 3.70, indicating a higher level of influence for males, from people they feel are highly important to them, and secondly with average score of 4.00 and 3.30 for males and females respectively for questions 7 and 10. Additionally, the lower limits of the mean scores by gender indicated that in questions 8 and 9 both male and female students reached a score below '3', showing a weak influence from both family and friends regarding entrepreneurship. In question 10 females reached lower means, showing that even highly important people to them, do not constitute a supporting feature for choosing an entrepreneurial path. In the analysis conducted, based on the father's employment status, in all 5 questions, the highest level of agreement came from students who have a father, who works as a freelancer or an entrepreneur, with average scores well above 3.0. On the other hand, students whose father is employed by others indicated lower scores and lower limit scores below '3'. Such results indicate the influence of the father's entrepreneurial background. Finally, based on the level of studies, participants' major differences were observed in all questions, wherein students in the bachelor's studies indicated a higher level of agreement, regarding getting support for entrepreneurship. It is worth noting that, in all questions master's students displayed lower limit scores, below the value of three, which is an indication that they are much more cautious of entrepreneurial behavior. Most likely, their view is more pessimistic based on their age, life, and work experiences, understanding of the business environment and due to the current shock of COVID-19 which has negatively affected entrepreneurs globally. The following questions attempt to measure the level of confidence that participants have, when it comes to skills, abilities, knowledge, and optimism for succeeding in establishing a venture of their own.

Table 3: Descriptive statistics (Q11-Q15)

Descriptive Statistics					
	N	Minimum	Maximum	Mean	Std. Deviation
11. If I were to start a new business I believe that I have all the necessary skills and credential for it	82	1	5	3,83	1,040
12. If I were to start a new business I believe I would be capable of managing the whole start up process for its establishment	82	1	5	4,10	,826
13. If I were to start a new business I believe the possibility of succeeding would be very high	82	1	5	3,73	,917
14. I have knowledge of all necessary practical details required for the creation of new business	82	1	5	3,37	1,252
15. It is easy for me to start up a new business which is going to be successful	82	1	5	3,02	1,247
Valid N (listwise)	82				

We see that people are confident, when it comes to starting a new venture, since all average values are above '3'. When the responses are examined by gender, one may discern a significant difference regarding the knowledge level required, for all necessary practical matters for a startup, with males prevailing over females, with means of 3.79 and 3.15 respectively. Also, in question 14, the lower average limit for female students was below '3'. In questions 11-13 no significant differences were observed on the confidence or readiness levels between genders. Finally, in question 15 none of the genders felt comfortable with the ease of a business start-up. Nevertheless, in questions 11-14 the average scores are higher in males than females, showing a higher level of confidence for starting a new business. The impact of the father's work background, in reference to entrepreneurship, seems to reach the highest mean values for freelancers and entrepreneurs in questions 11-14. However, in question 15 where participants are asked, if it is easy for them to start a new business of their own, those having a father with his own business, were observed with the highest mean score of 3.56, while the remaining subgroups were either to the near left or right are of '3'. Most likely, this happens since this subgroup has a higher level of confidence, regarding making a venture successful, either because of the existence of an actual successful business in the family, or because they may feel that they will get support from the father once they open up their own venture. The analysis in the same set of questions, based on the student level of studies, exhibited very closely related values in the responses of the participants. In questions 11-13 all mean values and lower limits were above '3', however, in question 14 master's students scored below '3'. Finally, in question 15 both education level groups reported means scores well below '3', denoting that they do not believe that starting a business is an easy task. Thus, one may conclude that master's students are possibly more thoughtful with new ventures due to a better awareness of the business environment from their own work experiences.

The last questions refer to people's intention to have their own business in the future.

Table 4: Descriptive statistics (Q16-Q20)

Descriptive Statistics					
	N	Minimum	Maximum	Mean	Std. Deviation
16. Starting up new businesses constitutes my main professional goal	82	1	5	3,32	1,578
17. I try to do my best in creating and managing my own businesses	82	1	5	3,27	1,508
18. I am determined to start up my own business in the near future	82	1	5	3,56	1,441
19. I am thinking very seriously starting up my own business	82	1	5	3,56	1,508
20. I have the intention of starting up a new business in the future	82	1	5	3,85	1,306
Valid N (listwise)	82				



Looking at table 4 we see that average values are above 3, which is in the agreement area, displaying that in general terms, regardless of other factors, such as gender, father’s work status and level of education, students appear to agree that, they are focused on their intention to become entrepreneurs. However, it is worth noting that in the first two questions (16 and 17) when conducting 95% confidence intervals for the mean responses, the lower bound value reached levels below ‘3’. Analyzing the same set of questions by gender, we observed that there is a significant difference between males and females in questions 16, 17 and 18 (entrepreneurship as a main professional goal, working towards a business start- up and being determined to begin their own business respectively) where the lower bound mean values for women fell below ‘3’. Additionally, in all five questions male students indicated higher average scores than female respondents, showing that gender has an influence on entrepreneurial intention, which is clearly higher in males. When the analysis is conducted based on the father’s employment status the highest scores above ‘3’ were observed in questions 16-19, for those having a father either working as a freelancer or an entrepreneur. For the remaining types of the father’s employment status (working for others or other types) the lower limits of the means scores reached values below ‘3’. In question 20 where we examined the general intention towards the creation of a new business, no major difference was identified among the father’s employment status, and in all cases the lower limit mean scores were clearly in the agreement area, above 3. Finally, the analysis of findings based on level of studies exhibited the same type of differences for all questions. Particularly, in all questions students in their bachelor’s studies indicated that they have a clear intention towards starting a business, where in all cases the lower limit of the mean responses was above ‘3’. On the contrary, master’s students displayed lower bound average values that were clearly in values below ‘3’, in all five questions. This can be due to the younger age of participants in the bachelor’s studies, who seem to be either more optimistic, or, not having a solid awareness of the business environment, when it comes to starting a business venture. Furthermore, such a difference in attitude, could be also attributed to that master’s students have a better level of understanding of the business environment, due to their possible work experience, as they evaluate entrepreneurship with much more caution.

Most participants are females, comprising 66% of the sample, with males being the remaining 34% (Table 5). Most of the students are between the ages of 18-24 (51.2%) followed by 25-35 years old (26.8%) and then by the remaining age classifications as indicated in the Table 6. The overwhelming majority at 75.6% are undergraduate students with the remaining attending post-graduate studies (Table 7).

Table 5: Demographics (Gender)

	Frequency	Percent	Valid Percent	Cumulative Percent
Valid Male	28	34,1	34,1	34,1
Female	54	65,9	65,9	100,0
Total	82	100,0	100,0	

Table 6: Demographics (Age)

	Frequency	Percent	Valid Percent	Cumulative Percent
Valid 18-24 yrs	42	51,2	51,2	51,2
25-34 yrs	22	26,8	26,8	78,0
35-44 yrs	12	14,6	14,6	92,7
45-54 yrs	4	4,9	4,9	97,6
55+ yrs	2	2,4	2,4	100,0
Total	82	100,0	100,0	

Table 7: Demographics (Level of study)

	Frequency	Percent	Valid Percent	Cumulative Percent
Valid Bachelor studies	62	75,6	75,6	75,6
Master studies	20	24,4	24,4	100,0
Total	82	100,0	100,0	

Only fourteen participants declared no evidence of entrepreneurial success stories from family members while the rest of the students identified success stories within the family ranging from 1 to 20 successful cases (Table 8)

Table 8: Number of successful entrepreneurs in family environment

	Frequency	Percent	Valid Percent	Cumulative Percent
Valid 0	14	17,1	17,1	17,1
1	12	14,6	14,6	31,7
2	20	24,4	24,4	56,1
3	8	9,8	9,8	65,9
4	6	7,3	7,3	73,2
5	8	9,8	9,8	82,9
6	8	9,8	9,8	92,7
8	1	1,2	1,2	93,9
9	1	1,2	1,2	95,1
10	4	4,9	4,9	100,0
Total	82	100,0	100,0	

The last question indicates the respondents' answers on the type of employment of their father. The majority stated that their father works for other employers at 39%, followed by those who are freelancers 24.4%, then the entrepreneurs at 22% and finally, at 12.2% those who had a different employment status (Table 9).

Table 9: Father's work status

	Frequency	Percent	Valid Percent	Cumulative Percent
Valid Unemployed	2	2,4	2,4	2,4
Employed by others	32	39,0	39,0	41,5
Self-employed/freelancer	20	24,4	24,4	65,9
Entrepreneur	18	22,0	22,0	87,8
Other	10	12,2	12,2	100,0
Total	82	100,0	100,0	

Table 10: Results of variables than explain the entrepreneurial intention

Hypothesis	Relationship	Findings
H1	Entrepreneurial education is associated with entrepreneurial intention	confirmed
H2	Peers and social environment of students is related to entrepreneurial intention	confirmed
H3	Student's families with entrepreneurial background has an impact on entrepreneurial intention	confirmed
H4	Males' entrepreneurial intention > females' entrepreneurial intention	confirmed

## 5. CONCLUSIONS

The rise in unemployment due to global financial crises, especially in developing countries, combined with the population growth and scarcity of job vacancies remains an intractable problem. University graduates mainly focus their preferences on working for institutional employers (public and public ones) than to become entrepreneurs or self-employed. Entrepreneurship development may be one solution to increase global economic output and reduce unemployment. Most of the extant research concludes that entrepreneurship education is central to student entrepreneurial intention and mindset, thus universities play a major role in promoting and supporting entrepreneurship in many ways. Higher education can play an important role in bridging the gap between the theoretical and practical aspects of entrepreneurship. A large number of studies have shown that, entrepreneurship related courses motivate students to enter the field of entrepreneurship and become successful. Our results showed that education plays a role on fostering EI among students, more so in undergraduate students, where a clear intention and focus to entrepreneurship was found. On the contrary, master's level students showed a low inclination to

entrepreneurial intention by reporting in all questions low mean scores. Entrepreneurial Education also seems to have a substantial influence on male students' perception of self-efficacy, in terms of starting up their own business compared to females. Father's employment type is also a determinant for entrepreneurial orientation when a father owns a business or works as a freelancer. Factors such as family member and friends' support for the students' entrepreneurial behavior, seem to be possible influences for the person's desire to become an entrepreneur. Gender as a factor indicated a similar type of influence, with males exhibiting higher levels of accepting the influence than females. The study participants in general, seemed to be confident regarding their skills in managing successfully a new business, but they did not feel confident, in terms of having sufficient practical knowledge for running a new venture, or, believing that it would be easy to manage it successfully. The only significant difference between gender was, in that males seemed to be much more confident than females in terms of having the required practical knowledge for a new venture. Overall, participants appear to be considering a career in entrepreneurship, although, their main work preferences lie in working for other employers. Males in all questions reported higher intention for entrepreneurship than females. Father's employment status as a self-employed or entrepreneur constitutes a factor for making people more inclined towards starting a new venture, while with other types of father's employment, results were below '3', indicating a low level of entrepreneurial intention. Finally, undergraduate students indicated a greater intention to start their own business, compared to master's level students who demonstrated a more cautious approach towards entrepreneurship.

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## What The Chocolate Packaging Shows Us

Rositsa NAKOVA<sup>1</sup>

<sup>1</sup>PhD, New Bulgarian University, Bulgaria, rnakova@nbu.bg

**Abstract:** The purpose of this article is to investigate the impact of packaging on consumer choice. The purpose of the empirical study is to assess the impact of packaging on consumer perception of quality. The survey was conducted in Bulgaria among 252 users aged 18 to 35 years.

**Keywords:** List 3-5 perception of quality, consumer choice, the empirical study

### Introduction

Influence of packaging on consumer perception of chocolates. The role of packaging for ensuring the quality of chocolates have received some attention in the literature, particularly in relation to how the pre-and post-harvest factors, washing and packing factors, as well as how the packaging during transportation of chocolates affect the final quality (Albaar, Budiastra, & Hariyadi, 2016; Seljåsen, Hoftun, Selliseth, & Bengtsson, 2004; Seljåsen et al., 2013). Conversely, little attention has been given in previous research published regarding consumers' perception of the quality of chocolates. With regards to food, packaging can influence the consumers both during the purchase in form of visual stimuli (Clement, Kristensen, & Grønhaug, 2013), as well as increasing the acceptance and experience of the product after the purchase (Gomez, Martín-Consuegra, & Molina, 2015).

The role of packaging has also been investigated for many different types of foods, from everyday commodities to premium products with own label food brand, with studies reporting that over 70% of the consumers rely on their respective packaging to aid in the purchase decision process (Lofgren, Witell, & Gustafsson, 2008; Wells, € Farley, & Armstrong, 2007).

In general, packaging elements can be classified into two main categories (Ampuero & Vila, 2006): graphic elements—including color, font type, the shape, size, and type of images introduced—, and structural elements—including the shape, size of the containers and the materials used to manufacture them. The influence of individual packaging elements on consumers' experiences and product evaluations has been studied in a number of publications that have documented how the design of the packaging is linked to consumer preferences and emotions (e.g., Honea & Horsky, 2012; Labrecque & Milne, 2012; Westerman et al., 2013), product familiarity and appropriateness for use (e.g., Giacalone et al., 2015; Giacalone & Jaeger, 2016), sensory expectations (e.g., Rebollar, Lidon, Serrano, Martín, 2012), ergonomics, and functionality (Venter, van der Merwe, de Beer, Kempen, & Bosman, 2011).

More to the point, the effect of packaging attributes on the perceived quality (PQ) of food has been investigated by various researchers in different product categories (e.g., Lofgren & Witell, 2005; Piqueras-Fiszman & Spence, 2012). Some authors have proposed to study these effects by having consumers evaluating specific combinations of packaging attributes using a conjoint design (e.g., Ares & Deliza, 2010; Mueller & Szolnoki, 2010). Conjoint analysis is a survey-based method used to investigate how consumers value different product attributes (see Moskowitz & Silcher, 2006 for a review). It is an effective method to investigate the effect of packaging through the creation of artificial (but realistic) package images created through statistically optimized experimental designs (Deliza, Macfie, & Hedderley, 2003). Examples of recent applications can be found in several product categories such as meat (McClean, Hanson, Jervis, & Drake, 2017), dairy (Hubbard, Jervis, & Drake, 2016; McCarthy, Parker, Ameeraly, Drake, & Drake, 2017), and fresh produce (Oltman, Jervis, & Drake, 2014).

Several types of conjoint analysis exist—such as full-profile conjoint analysis, adaptive conjoint analysis, menu-based conjoint, and adaptive choice-based conjoint (see Jervis, Ennis, & Drake, 2012 for a discussion)—with the main differences pertaining to the task (e.g., choice versus rating), the of stimulus (e.g., product or attributes), the type of experimental design (e.g., full versus fractional), and the type of analysis performed on the data. When working with a limited number of attributes and levels, full-profile conjoint analysis is especially relevant as this method is based on presenting a combination of levels from all the target attributes to the consumers, who are then asked to rank or rate the products they are shown. An example of this approach, relevant in the context of the present work, is a paper on chewing-gum by Rebollar and colleagues (Rebollar et al., 2012) who investigated the effect of packaging color and shape (each broken down into three levels) on the expected sensory experience, functionality, and willingness to pay for the product.

Although product packaging has been demonstrated to influence the PQ of foods and beverages, including fresh produce, existing research on the topic has three main limitations that are important to mention in the present context. The first one is that the majority of these earlier studies has focused on the consumption situation (i.e., post purchase), and has often used expert sensory assessors to assess the perceptual quality, though ample evidence suggests that this is a risky practice as experts and consumers perception of quality often do not overlap (Fillion & Kilcast, 2002; Giacalone, Fosgaard, Steen, & Munchow, 2016).

The second limitation is that, while sensory eating quality is clearly the most important at the consumption stage, consumers do not ordinarily have the possibility to taste the product before purchase. Therefore, other elements, such as the packaging and the price are likely to be more important “quality cues” at the purchase stage.

The third limitation is that research on packaging attributes for produce is relatively rare (compared to, e.g., processed food).

Particularly, to the best of our knowledge no authors have investigated the effect of packaging design on consumers’ quality perception of chocolates.

To address this gap in the literature, this study seeks to investigate the quality and value perceptions of the consumers regarding chocolates affected by variation in two key packaging attributes: label color and packaging type. As PQ has been shown to affect perceived value (PV) (Chang & Wildt, 1994), we also investigated how packaging affected consumers’ expected price in relation to other chocolates products. Additionally, information on the importance of different packaging elements when purchasing chocolates was explored in order to get a more complete understanding of what packaging cues are currently most important in this product category.

## 2.1 Design factors

The study was conducted in Sofia. To identify the most frequently used packaging designs for thorough field study was conducted in the six most popular Bulgarian retailers,<sup>1</sup> collectively representing more than 70% of the market. The field study suggested that the main packaging differences in the Bulgarian market concerned shape, material, label (color and graphical design), chocolates size, and brand. To narrow down the scope of the research, the focus was kept on the first three aspects. Furthermore, as graphical design tended to differ a lot between products, it was decided to restrict the focus on color variation in this research.

To summarize, based on the field study on Bulgarian retailers, two experimental design factors (with three levels each) were included in this research: Label Color (three levels): blue, dark grey, brown Package type (three levels): plastic bag, plastic box, cardboard box by systematically varying these factors, nine test images were developed.

Experimental procedures all data was collected through an online survey in Sofia using the online service Survey Xact (Ramboll A/S, Århus, Sofia). The survey was conducted in the local language and distributed over different social media sites and networks. A total of 260 individuals responded, out of which 251 completed the survey entirely. Basic background information on the participants are given in Table 1. Although no specific selection criteria with regards to purchase frequency were enforced, Table 1 shows that all participants were

TABLE 1 Background characteristics of the consumer sample participating in the main survey (N 5 252)

Background variable	%
<b>Gendar</b>	
Men	21
Woman	79
<b>Age in years</b>	
18-35	60
36-55	30
56	10
<b>Consumption frequency</b>	
Low	15
Medium	37
High	44



other	4
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consumers of chocolates, and over 66% consumed chocolates least twice a week. The survey opened with a brief introduction and had two main parts: a full-profile conjoint survey and a “pick-any” task (Driesener & Romaniuk, 2006). For the conjoint analysis part, the participants evaluated each picture monadically in a random order, and were asked to evaluate the PQ of the chocolates associated with each of the nine packages. Specifically, they were asked to imagine each packaging picture contained chocolates, and then to rate the expected quality on a 7- point scale, ranging from 1: very low to 7: very high. Participants were likewise instructed, at the beginning of the survey, that all of the packages would contain the same amount of chocolates. The PV was operationalized as the price expectation from the consumers relative to other chocolates alternatives. Specifically, to evaluate the PV participants were asked to indicate how much they thought the chocolates in each package would cost compared to other packages of chocolates (again using the same 7-point scale). After they had evaluated all the nine images, the participants completed a “pick-any” task where were asked to consider a list of attributes relevant to purchase of chocolates, and to pick the three they personally considered as most important. The list was developed based on pilot work; this consisted of a focus group conducted with five regular chocolates consumers, as well as two researchers (one moderator and one observer).

Table 2 Mean ratings for perceived quality and value across each of the nine images

Image	Mean quality	Image	Mean Value
Brown box	4.08	Brown box	4.23
Dark grey box	4.04	Dark grey box	4.20
Dark grey cardboard	4.03	Blue box	4.12
Brown cardboard	4.00	Dark grey cardboard	4.11
Blue box	3.95	Blue cardboard	4.08
Brown bag	3.36	Dark grey bag	3.26
Dark grey bag	3.26	Brown bag	3.25
Blue bag	3.13	Blue bag	2.90
F (8,2259)	21.58	F (8,2259)	36.38

The focus group, which lasted approximately 1 hr, had a semi-structured format where participants were probed with several questions concerning their chocolates consumption and purchase behavior. The session was fully recorded and the transcript were analyzed following a stepwise procedure described in Taylor-Powell and Renner (2003) to identify common themes among the participants quotes. This resulted in 11 factors relevant to chocolates purchase, which were included in the pick-any task of the survey: “A transparent packaging that allows me to clearly see the chocolates,”. The chocolates have the right color,” “I know the brand,, “The chocolates are Bulgarian,” “The chocolates look nice” “The chocolates have a consistent size,” “The packaging is environmentally friendly,” “The chocolates are organic,” “The chocolates look appealing,” The price of the chocolates.

### 2.3 Data analyses

To determine the effect of the experimental design factors on consumers’ evaluation of PQ and value, a two-way Analysis of Variance (ANOVA) was conducted using Packaging type, label color, and their interactions, as fixed effects. As the survey included repeated measures from the same individuals, both models included participants as random effect. When significant differences were found, the analysis was followed by post hoc pairwise comparisons using Tukey’s HSD test.

Table 3 Mean rating for perceived quality and value for each packaging type

Packaging type	Mean quality	Packaging type	Mean value
Plastic box	4.02	Plastic box	4.18
Cardboard box	4.02	Cardboard box	4.08
Plastic box	3.24	Plastic box	3.14
F (2,2259)	84.1	F (2,2259)	139
p	<.001	p	<.001

Differences were considered significant at  $p < .05$ . Furthermore, correlation coefficients between the PQ and value were calculated to evaluate the degree of correspondence between these two variables, both at an overall level and at the level of individual images. Consumers' responses to the second part of the survey were analyzed by means of descriptive statistics (frequency of mention for each response option) to identify the most frequently mentioned factors influencing chocolates purchase.

Table 4. Mean ratings for perceive quality and value for each label color

Color	Mean quality	Color	Mean value
Brown	3.82	Dark grey	3.86
Dark grey	3.77	Brown	3.85
Blue	3.69	Blue	3.69
F (2,2258)	1.78	F (2,2258)	3.80
P	0.17	P	0.02

### 3. RESULTS

Effect of design factors on consumers' perception of chocolates quality and value ANOVA results for the three fixed factors (image, packaging type, and color) are shown in Tables 2–4 together with the mean ratings for quality and value obtained by each factor level. With respect to PQ, a significant effect for both image and packaging type was found, but not for color. The two-way interaction term between color and packaging type was also not significant ( $F(4, 2258) = 0.37, p = 0.82$ ). Post hoc analyses showed that the images could be clustered into two clear groups, one of lower PQ (ranging 3.13–3.36 on a 7-point scale), including the three plastic bag images, and one of higher quality (3.95–4.08), including all remaining images (Table 2). Packaging type therefore seemed to be the main driver of difference in PQ between the nine images. Consistently with these first results, post hoc results for this experimental factor clearly indicated that the two box packages (either cardboard or plastic) were perceived as being of higher quality compared to the plastic bag package (Table 3)

With respect to value, a significant effect of all three experimental factors was found. Post hoc comparisons for Image and Packaging type showed identical grouping of the factor levels observed in the model for PQ (Tables 2 and 3).

Mean ratings for this response variable spanned a slightly larger range, suggesting that it was easier for consumers to differentiate between the images on the basis of expected price than on quality. With respect to color, the Dark grey and Brown labels were perceived as significantly more expensive compared to the blue label, though it should be noted that effect of color was substantially smaller than that of image and packaging type (Table 4).

The same ranking with respect to label color was observed for PQ as well, but in that case the mean ratings were too close for the difference to reach statistical significance. Again, no significant interactions between color and packaging were found ( $F(4, 2258) = 1.33, p = 0.26$ ). The results of the correlation analysis are shown in Table 5. Recall that this analysis was conducted to shed light on whether or not consumers used different thought processes for PQ and value. Looking at the coefficients in Table 5, it can be seen that the overall correlation between these two variables was high ( $r = 0.83$ ). However, the strength of the correlation varied quite a bit between individual packaging images. While very high for the three cardboard packages ( $r = 0.90$ ), it was somewhat lower for the other packages (Table 5).

Image	r	p
Blue bag	0.59	<.001
Brown bag	0.73	<.001
Dark grey bag	0.76	<.001
Blue box	0.79	<.001
Brown box	0.76	<.001
Dark grey box	0.81	<.001
Blue cardboard box	0.90	<.001
Brown cardboard box	0.90	<.001
Dark grey cardboard box	0.90	<.001
Overall	0.83	<.001

The correlation was especially low for the blue plastic bag image ( $r = 0.59$ ) indicating that quality and price estimates were to a certain degree independent on each other for this particular package. Finally, we also checked whether any of the consumer background demographics (gender, age) and behavioral (frequency of consumption of chocolates) had any effect on the two dependent variables. We found a small but statistically significant difference between men and women, with women on average giving higher ratings than men for both PQ (MWomen  $M = 3.8$ , MMen  $M = 3.61$ ,  $t(2266) = 2.55$ ,  $p = .01$ ) and value (MWomen  $M = 3.84$ , MMen  $M = 3.65$ ,  $t(2266) = 2.43$ ,  $p = .01$ ). For age, we found significant differences between the three age groups (see Table 1) for PV ( $F(2, 2264) = 3.1$ ,  $p = .04$ ), but not for PQ ( $F(2, 2264) = 1.97$ ,  $p = .13$ ). For the former variable, post hoc testing revealed that the difference was due to young (18–35) respondents having a slightly lower mean (0.16 on a 5-point scale) than those in the 36–55 age bracket. Frequency of consumption also significantly affected average PQ ( $F(2, 2166) = 8.1$ ,  $p < .001$ ) and value ( $F(2, 2166) = 4.8$ ,  $p = .007$ ).

In both cases this was due to averages for the high frequency chocolates consumers (consuming chocolates three or more times a week, cf. Table 1) being approximately 0.20 higher than those for the other two groups.

### 3.1. Attributes important for consumers' choices of chocolates

The second part of the survey concerned the packaging elements consumers mostly attend to when buying chocolates. Figure 2 shows the frequency of mention (in percentage) of each of the elicited attributes, sorted by most to least mentioned. The results shown in Figure 2 confirm, first and foremost, that the packaging plays an important role in consumers' choice of chocolates, as "a transparent packaging that allows me to clearly see the chocolates" was the most frequently mentioned option, with 64% of the participants saying that they are considering this aspect when buying a package of chocolates. The chocolates being organic and of Bulgarian origin were mentioned as the second and third most important attributes, with respectively 51 and 50% of the participants reporting that they consider that during the purchase. "The chocolates look nice and clean" was also considered important by a sizeable proportion of the participants (47%), while the chocolates having consistent size and the right color were both mentioned by 34%. Surprisingly, the price of the product was mentioned by only 25% of the participants, almost as (in)frequently as "locally produced" with 23%. The least mentioned options were that the chocolates not be too small (19%), whether the packaging is environmentally friendly (15%), and that the brand is known beforehand (3%). Two final response options (not included in Figure 2) were "other" and "do not know": they were mentioned by 5 and 0% of the participants, respectively.

## 4. DISCUSSION

The first aim of this study was to investigate the influence of packaging on PQ and price expectations for chocolates, using a conjoint analytic approach based on systematic variation of label color and packaging type. The results showed that packaging type was an important element in driving quality perception, and in particular it was found that consumers associated plastic bags with chocolates of relatively lower quality compared to chocolates in box packages (either in plastic or in cardboard). The label color instead did not exert a large influence on quality, although this could be due to the familiar and relatively narrow range of colors employed (recall, however, that the three colors were chosen based on the fact that they were the most common colors for chocolates label in the Bulgarian market). The effect of packaging on PV (in terms of price expectations) was substantially the same as for PQ, with packaging type being again the main factor driving consumers' evaluation. Again, consumers associated plastic bags with cheaper products, and the two box packages with more expensive products. Contrasting these results with our notes from the field search in Bulgarian supermarkets done while preparing the main study, it is interesting to notice a few things. Consumers correctly expected the plastic bags as the

cheapest products, and this is largely consistent with the reality in Bulgarian supermarkets. However, they did not pick a difference between the plastic box and the cardboard box and expected to be sold at approximately the same price, whereas in reality chocolates in cardboard boxes in Bulgarian supermarket tend to be sold at a much higher price (almost twice as much) than those in plastic boxes according to our field observations. One possible reason for consumers not picking up on this difference, however, is that chocolates packaged in cardboard boxes in Sofia are typically only sold in the more high-end supermarkets, and thus this packaging type may have been unfamiliar to many consumers. Conversely, all supermarkets would typically have both chocolates in plastic bags and plastic boxes, so it is more likely that consumers would have "correct" (i.e., realistic) expectations for these two packaging types. The color of the label had a significant effect on PV. Consumers associated a blue label with a cheaper product, but the size of the effect was so small (amounting to 0.15 on a 7-

point scale) that it does not seem to be of practical significance. An overall moderate to strong correlation between PQ and value (expected price) was found, suggesting that the consumers closely associate one with the other, in line with earlier findings (Chang & Wildt, 1994). The second aim of the research was more exploratory and concerned the most important factor participants (self-reportedly) attend to when purchasing chocolates. The results in a way confirmed the importance of packaging as having a transparent packaging that allows consumers to clearly see the chocolates was by far the most frequently mentioned element. However, while packaging seems essential in the way that it should allow the consumers to visually see the product before the purchase, ultimately the appearance of the chocolates may be much more important than the design of the packaging. Accordingly, the chocolates looking “nice and clean” was another often-mentioned option. Organic was mentioned as an important element by over half of the sample. This makes sense in light of the fact that Sofia is one of the top countries in the world for per capita consumption of organic produce and the market share for organic agriculture has been quickly and steadily growing in recent years (Willer & Lernoud, 2016).

#### 4.1. Limitations and directions for future research

This study has several limitations that is important to point out to correctly qualify the findings. First, the nine images used as stimuli only portrayed the packages without any content. As explained in the paper, this choice was due to practical reasons and was useful to isolate the packaging elements which were the focus of this research. However, its downside was that it lowered the ecological validity of the images and therefore there is a risk that the results may not have been exactly the same had the actual chocolates been present as well. Additional research may be warranted to fully confirm the present results. Second, this research was limited to a specific location and consumer population (Sofia) and thus the results may not readily generalize to other geographical and cultural contexts. Third, with respect to the second part (elements important during purchase of chocolates), we note that the conclusions are based on self-reported data with all inherent limitations. For example, the high importance assigned to the chocolates being organic and the comparatively low importance assigned to price may be in part to some social desirability bias in the participants’ answers. To ascertain whether this is the case, future studies could adopt a less explicit approach and use, for example, eye-tracking data (Clement et al., 2013) in a real or simulated supermarket aisle to investigate what consumers actually attend to when purchasing chocolates. Additionally, specific claims (organic, Bulgarian, etc.) could themselves be included in a future conjoint study and be evaluated in the proper packaging context, as opposed to being considered in isolation.

## 5. CONCLUSION

This research investigates the way in which with consumers’ perception of quality of fresh chocolates is affected by two different packaging design elements—label color and packaging type—using a conjoint analytic survey in which packages images obtained by systematic variation of these two factors were evaluated by a representative sample of Bulgarian chocolates consumers. The results showed that packaging type (regardless of color) was the main driver of difference between the images. Specifically, consumers associated higher quality and higher value to the two box packages (regardless of color), whereas the plastic bag packages were associated with chocolates of lower quality. Furthermore, the study identified the most important determinants of chocolates choice at point of purchase. The results showed that a transparent packaging, which allows the consumers to evaluate the quality of the produce, was the most important aspect consumers consider when choosing between fresh chocolates alternative. Being organic, local (of Bulgarian origin), and the sensory quality of the chocolates were identified as the second, third, and fourth most important determinants, respectively.

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## How socioeconomic factors and life-style characteristics influence adolescents' nutritional behavior during COVID-19? Empirical evidence from Attica

Stamatina Papadaki<sup>1</sup>

<sup>1</sup>PhD Candidate, Department of Public and Community Health, University of West Attica, Greece,

email: stpadaki@uniwa.gr

### Abstract:

**Objective:** The main objective of this study is to assess the relationship between socioeconomic characteristics, adolescents' sedentary behavior, physical activity and dietary choices within a specific population of adolescences from Attica, Greece.

**Methodology:** A cross-sectional study of a sample of 1.163 adolescences (12- 18y) was conducted over the period May-September 2021, just after the school quarantine from COVID-19. Social, economic and anthropometric characteristics are used as independent variables. Associations between quantitative and qualitative variables are estimated through chi-square approach while multiple regression analysis and ordered logit models are also employed.

**Results:** Economic parameters, such as the family affluence level and reside at a high-income neighborhood, seem to increase adolescent's diet quality. Anthropometric parameters, life style characteristics including sleeping duration, hours spent on reading or screen viewing and physical activity play a role on adolescences' nutritional behavior.

**Conclusions:** Existing evidence suggests that the pandemic crisis has made economic and societal disruption, changes in human lifestyle and has worsen people's well-being. Findings from our study show that socioeconomic status, sedentary and exercise habits play an important role on food consumption and diet quality among adolescences during COVID-19. That gives ample room for intervention efforts and public health policies to promote childhood development and lead young people to better diet quality and healthier lifestyle as normality comes back.

### Introduction

Greek economy has faced the financial crisis from 2009 to 2018. On February 26, 2020 the first COVID-19 case was confirmed. On the second quarter of 2020, GDP fell by 13% [1]. After the long period of the economic recession, two nationwide lockdowns, job losses and restrictions on people's life had a severe impact on Greek economy and on people's well-being. Previous research has shown that the consequences of the COVID-19 pandemic crisis due to the economic and societal disruption are very intense for the youth [2]. In particular, adolescents have worse perceived health [3], mental health conditions such as depressive symptoms, feelings of greater loneliness [4], increased state of anxiety [5] lower level of psychological wellbeing [6] or decreased level of life satisfaction [7]. Furthermore, children and adolescent have increased risk to suffer from domestic violence, poor nutrition, reduce physical activity [8], sexual exploitation [9] with children from poorer families being more vulnerable.

Adhering a quality diet is vital for the growth and health of children and throughout their adult life. There is good evidence that diet quality is related to SES. Especially in a period of global economic recession caused by the COVID-19, ensuring quality nutrition for all is a very important public health issue. This study aims to investigate the diet quality of Greek adolescents and analyze whether family socioeconomic status (SES) and life style characteristics can be correlated with a better adherence to the Mediterranean diet (AMD). The study also considers whether the quarantine and the isolation of COVID-19 is related to physical activity (PA) and unhealthy lifestyle like screen viewing. All the above will provide more analytical and parametrical results for the scientific society.

### Methodological approach

We recruited 1.163 adolescents (51.2% girls; 48.8% boys) aged between 12-18 years old form Attica region of Greece, in this school based, cross sectional study. The research took place during May- September 2021. We used a proportionate random stratified sampling method according to students' population. Adolescents participated in the study voluntarily during school hours, after informed consent forms were signed from the corresponding parent/ guardian. Explanations were given from the main investigator (S.P.) who was present in the classroom. The completion of the questionnaires lasted approximately 30 minutes. The research was

approved by the West Attica University Research Ethics Committee (18092- 03/03/2021) and the Institute of Educational Policy of Greece (59235/2021).

A structured questionnaire was developed. Adolescents were asked about their age, weight, height, ethnicity, parental education and profession, family structure and general sedentary and exercise habits. Also, many questions involved eating habits and dietary behaviors. Finally, we asked questions about household characteristics, the characteristics of the area they reside and family's economic situation.

We evaluated the self-reported anthropometric data in order to categorize the adolescents into three weight status/ Body Mass Index (BMI) ranges, normal, overweight and obese, using the International Obesity Task Force (IOTF) cut off points [10, 11]. We also used the KIDMED test [12] to evaluate the AMD. The test classifies individuals into three categories (KIDMED index) -low, medium and optimal adherence to MD-, based on their yes (+1) or no (-1) answers to 16 questions. Finally, we used the FAS III score [13], implemented by the World Health Organization's (WHO) Health Behaviour in the School-aged Children (HBSC) 2017/2018 study, to estimate adolescent socioeconomic assets. The FAS III includes 6 questions about material assets in the household and classifies individuals into three categories, low affluence (20%), medium (60%) and high (20%) [14].

### Statistical and econometric analysis

Descriptive statistics were performed using frequencies (N), percentages, means and standard deviations. Chi-square tests, multiple linear regression analyses and ordered logit models were performed, in order to study the effect of several socioeconomic parameters on AMD.

More specifically, the following equation was estimated:

$$AMD_i = a_i + b_i X_i + e_i$$

Where  $AMD_i$  is the total score of the adherence to the MD for each individual,  $a_i$  is the constant term,  $X_i$  is the vector of socioeconomic and anthropometric characteristics,  $b_i$  is the estimated coefficient for each independent variable and  $e_i$  is the error term for the estimated regression.

### Sample characteristics

The study included 1.163 adolescents (595 girls; 568 boys) aged 12- 18 years old (15y mean age). Adolescents' demographic and lifestyle characteristics are presented in Table 1. Mean and standard deviations are presented for quantitative variables (Panel A) and relative frequencies for qualitative variables (Panel B) respectively.

Table 1. Adolescents' demographic and lifestyle characteristics.

<b>Panel A</b>		
<b>Variable</b>	<b>Mean</b>	<b>St. dev</b>
Age	15.15	1.51
BMI	21.17	3.77
Family members	4.1	0.96
Sq. meter of the dwelling	98	32.04
<b>Panel B</b>		
<b>Variable</b>	<b>Relative frequencies</b>	
Gender (male)	48.8%	
Live with both parents	79.9%	
Mother's education level (Univ.)	54.0%	
Father's education level (Univ.)	44.8%	
Mother's employment	77.2%	
Father's employment	92.0%	
Rich area (more than the aver.)	71.1%	
Low AMD	32.0%	
Medium AMD	58.9%	
High AMD	9.1%	

Abbreviations: BMI Body Mass Index, AMD Adherence to the Mediterranean Diet.

The sample consists of 48.8% boys, with around 80% of the adolescences living with both parents. The average age of participants equals to 15.2 years and the average BMI is 21.2. Out of the total sample, 54% of mothers have completed a university degree, while 44.8% of fathers have the same level of education. A high presentence of 71.1% of the participants declare that they live in a rich area. With respect to the adolescent’s adherence to the MD, 32% had low adherence, 58.9 % moderate adherence and only 9.1% had high adherence to the MD.

## Empirical Results

General results indicate that socioeconomic status and life style characteristics matter for AMD level amid adolescents. Table 2 presents the estimated chi-square associations among demographic and lifestyle characteristics and the adherence to the MD.

Table 2. Chi-square tests for association between adolescents’ demographic and lifestyle characteristics and AMD

Associations	$\chi^2$ ~statistic	P-value
AMD – Gender	32.08	0.00
AMD – Family affluence scale	7.45	0.11
AMD – Physical activity	62.45	0.00
AMD –Weight categories	7.41	0.29
AMD – Mother’s education	9.35	0.31
AMD – Father’s education	2.67	0.95
AMD – Mother’s employment status	14.97	0.38
AMD – Father’s employment status	10.43	0.58
AMD – Rich area status	18.60	0.02
AMD – Reading	23.51	0.00
AMD – Screen viewing	56.55	0.00

Abbreviations: AMD Adherence to the Mediterranean Diet.

Table 2 shows the estimated associations between the adherence to the Mediterranean Diet and several socioeconomic, demographic and life style characteristics of adolescences. It is obvious that gender, physical activity, rich area status, hours spent on reading and screen viewing are statistically and significantly associated to the level of AMD.

On the contrary, parental education and employment status accompanied with adolescences weight status, seem to be insignificant parameters to the AMD. Family affluence only marginally affects adolescences’ AMD.

In a more specific analysis, ordinary least square and ordered logistic models were employed. Empirical results are presented in Table 3.

Table 3. OLS and Ordered Logit models estimations

	KIDMED	LOW	IMPROVEMENT	OPTIMAL
Gender	0.837*** (5.32)	-0.138*** (-4.43)	0.091*** (4.22)	0.048*** (4.05)
Age	-0.123** (-2.19)	0.022* (1.96)	-0.015* (-1.93)	-0.007* (-1.95)
BMI	0.240** (2.39)	-0.035* (-1.70)	0.023* (1.69)	0.012* (1.69)
BMI^2	-0.005** (-2.58)	0.000* (1.67)	-0.000* (-1.65)	-0.000* (-1.65)
FAS score	0.070* (1.75)	-0.013 (-1.64)	0.009 (1.62)	0.004* (1.65)
Reading	0.427** (2.60)	-0.068** (-2.01)	0.046** (1.96)	0.022** (2.07)
Screen viewing	-0.355** (-1.89)	0.078** (2.26)	-0.048** (-2.43)	-0.030** (-1.96)
Night sleep duration	0.438* (1.71)	-0.067 (-1.32)	0.045 (1.30)	0.023 (1.30)
Sq. of night sleep duration	-0.020** (-1.97)	0.003 (1.55)	-0.002 (-1.54)	-0.001 (-1.54)



Physical activity	0.089*** (5.91)	-0.017*** (-5.34)	0.011*** (4.84)	0.006*** (4.96)
Rich area	0.255** (2.09)	-0.049** (-1.99)	0.032** (1.96)	0.016** (1.96)
No of obs.	810	810	810	810

Notes: T and Z statistics are presented in parentheses. \*\*\* p<0.01, \*\* p<0.05, \* p<0.1. Abbreviations: FAS Family Affluence Scale.

Boys seem to have higher level of AMD, while they also have higher probability to follow an optimal adherence to the MD against girls. Similar results are obvious for the younger adolescences, who *ceteris paribus*, have a higher level of AMD than older ones. Life style characteristics seem to be very important for a healthier lifestyle. More night sleep duration, more hours spent on reading and less hours spent on screen viewing are positively related with higher AMD and higher probability to follow an optimal AMD. Physical activity plays an important and positive role on adolescences' nutritional behavior. Results show that participants with a higher level of PA have higher levels of AMD.

BMI and FAS score marginally affect AMD, while the economic status of the neighborhood also seems to have an impact on AMD. In particular, adolescences who state to reside in a rich area of Attica (several options for PA, green areas, no rubbish, no groups of people causing problems, no abandoned houses/ buildings) have a higher AMD.

## Conclusion

Socioeconomic status, dwelling and neighborhood characteristics, sedentary and exercise habits play an important role on food consumption and diet quality among adolescences. The promotion of a healthier nutrient diet such as the MD in adolescents, involving the family, the school and the community, especially in periods of economic recession where the poorer families are more vulnerable, would be beneficial for young people. Future research with more data and specifically with data after COVID-19 period are needed.

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## The Impact of COVID-19 pandemic on Banks' Profitability: Evidence from North Macedonia

Tatjana Spaseska<sup>1</sup>

Dragica Odzaklieska<sup>2</sup>

Ilija Hristoski<sup>3</sup>

Aneta Risteska-Jankuloska<sup>4</sup>

Fanka Risteska<sup>5</sup>

<sup>1</sup> Associate Professor at the Faculty of Economics – Prilep, tatjana.spaseska@uklo.edu.mk

<sup>2</sup> Full Professor at the Faculty of Economics – Prilep, dragica.odzaklieska@uklo.edu.mk

<sup>3</sup> Associate Professor at the Faculty of Economics – Prilep, ilija.hristoski@uklo.edu.mk

<sup>4</sup> Associate Professor at the Faculty of Economics – Prilep, aneta.risteska@uklo.edu.mk

<sup>5</sup> Associate Professor at the Faculty of Economics – Prilep, fance.risteska@uklo.edu.mk

**Abstract:** The COVID-19 pandemic caused economic disruptions across the world, including financial markets and institutions in all imaginable dimensions. Although indirectly, the banks were also under pressure, since the banking sector has a crucial role in supporting firms and households during the period of lower revenues and incomes. In this regard, the main objective of this paper is to examine the impact of the COVID-19 pandemic on banks' profitability in North Macedonia. To reach this goal, data for financial stability reports and the reports on the risks in the banking system in the Republic of North Macedonia was used. The findings of our research have shown that the Macedonian banks faced many challenges during the prolonged COVID-19 crisis, but the banking sector maintained stability and solvency, even they supported the firms and individuals to alleviate the consequences of the crisis and achieved higher profits compared to the previous period.

**Keywords:** banking sector, profitability, COVID-19, North Macedonia

### 1. INTRODUCTION

The COVID-19 pandemic has caused a convulsive shock of global economic activity. The extensive measures taken by the policymakers on a global level contributed to fast markets stabilization and prevented risk transmission to the financial sector. The global financial system remains stable and has shock resilience, supporting facilitated funding conditions which have resulted in maintenance of the credit cycle and economic recovery. However, the recovery is accompanied by extremely high uncertainty having in mind the fact that the pandemic is still active throughout the world.

The pandemic is already radically worsening the economic outlook for North Macedonia, with a negative growth of almost 5.5% in 2020. The trade structure of North Macedonia remained in deficit, -16.7% of GDP. The industrial production index fell by -10.6% y-o-y on average in the first eleven months of 2020. However, the decline in employment (-1.8% year-on-year) remained moderate, mainly due to government support measures to mitigate the impact of the crisis on employment (OECD, 2021b).

It is already certain that North Macedonia is faced with the most serious global shock with strong negative consequences for the economic growth, for the companies' performance, and the households, which would have transfer effects on the operation of the domestic banks.

To mitigate the negative effects of the global pandemic, the National Bank of North Macedonia has taken timely and appropriate monetary policy and financial sector measures and decisions that have contributed to maintaining the financial stability of the country. Namely, the central bank cuts its policy rate by 0.25% to 1.75%. It has also revised its credit risk regulation to encourage banks to restructure loans temporarily and has relaxed the loan classification standards for NPLs. In addition, it has reduced the base for the reserve requirement by the amount of new loans to firms in the affected sector (OECD, 2021a).

As a result of all these undertaken measures by the central bank, the credit support maintained on a very solid level and has contributed to mitigating the consequences of the crisis on the Macedonian economy and to maintaining financial stability.

Having minded the previous, the main objective of the research in this paper is to analyze the consequences of the global pandemic on the profitability of Macedonian banks.

The rest of the paper is organized as follows. Section 2 deals with some previous work on the effect of the COVID-19 pandemic on banks' profitability in different countries worldwide. Section 3 briefly introduces the reader to the profitability analysis of the Macedonian Banking System. Section 4 provides insights into the data, methodology, and results of the analysis, and explains the economic significance and messages of the obtained results. The last section concludes and recommends.

## 2. LITERATURE REVIEW

The COVID-19 pandemic is a global phenomenon with unprecedented impact on individuals, communities, and organizations. There is no doubt that there is no segment of the society that was not under the pressure of the global pandemic.

Banks were also affected by COVID-19 since their borrowers, businesses, and households were faced with decreased revenues and incomes as a result of the big lockdown to slow down the spread of the pandemic. The consequences of COVID-19 on banks' performance are likely to be worse in developing countries, where banks play a dominant role in capital financing and are the engine of economic growth. All this considered, the ongoing health of the banking sector remains a primary concern for economic policymakers, since banks' credit lending has a crucial role in supporting the real sector.

Since the emergence of the COVID-19 pandemic at the end of 2019, a considerable number of studies focused on assessing the impact of COVID-19 on the macroeconomic situation of countries and regions. Some of them attempt to examine the implications of the global pandemic on the banking system worldwide.

According to IMF (2020), the profitability of the banks in several advanced economies has been a persistent challenge since the global financial crisis. Namely, despite the challenges faced by banks as a result of the coronavirus (COVID-19) outbreak, a persistent period of low-interest rates is likely to put further pressure on bank profitability over the medium term. A simulation exercise conducted for a group of nine advanced economies indicates that a large fraction of their banking sectors, by assets, may fail to generate profits above their cost of equity in 2025. Once immediate challenges recede, banks could take steps to mitigate pressures on profits, including by increasing fee income or cutting costs, but it may be challenging to fully mitigate profitability pressures. Over the medium term, banks may seek to recoup lost profits by taking excessive risks. If so, vulnerabilities could build in the banking system, sowing the seeds of future problems. Authorities can implement several policies to help mitigate vulnerabilities arising from excessive risk-taking and ensure an adequate flow of credit to the economy, including the removal of structural impediments to bank consolidation, the incorporation of a low-interest-rate-environment scenario on banks' risk assessments and supervision, and the use of macroprudential policies to tame banks' incentives for excessive risk-taking (IMF, 2020).

Similar results were obtained by the research made by the Demirgüç-Kunt *et al.* (2020). To assess the impact of the COVID-19 pandemic on the banking sector, this study examines bank stock prices around the world, such as the role of financial sector policy announcements on the performance of bank stocks. The findings indicate that the crisis and the countercyclical lending role that banks are expected to play have put banking systems under significant stress, with bank stocks underperforming their domestic markets and other non-bank financial firms.

The results of the study conducted by OECD (2021) indicate that bank NPL ratios would increase under a single-hit scenario in both advanced and emerging market economies, and culminate under a double-hit scenario. Nevertheless, extensive monetary and fiscal support measures would reduce the severity of the impact of the COVID-19 crisis on bank NPL ratio in all regions. Notably, projected peaks would stand below previous crises levels in most jurisdictions. In contrast, without monetary and fiscal support measures, the increase in NPL ratios would be more substantial under the two scenarios and projected peaks would surpass previous crises levels in many jurisdictions (OECD, 2021b).

The findings of the study made by Barua & Barua (2021) have shown that all banks are likely to see a fall in risk-weighted asset values, capital adequacy ratios, and interest income at the individual bank and sectoral levels. Their study also indicates that the decline of all three analyzed dimensions in the paper-firm value, capital adequacy, and interest income will increase disproportionately if NPL shocks become larger. Furthermore, their estimates show that larger banks are relatively more vulnerable (Barua & Barua, 2021). Another related study was done by Aiyar *et al.* (2021). Their finding indicates that while banks remain broadly resilient, some of them might struggle to meet their threshold for the maximum distributable amount (MDA), which could create funding pressures related to hybrid capital. Effective policies are powerful in reducing both the extent and variability of capital erosion under stress.

According to Sugiharto *et al.* (2021), Sharia commercial banks in Indonesia were considered to have adequate resilience in facing economic shocks caused by pandemics such as the ongoing COVID-19 pandemic. Similar results were obtained with the study made by Wahyuni *et al.* (2021). They investigated the credit risk and the profitability of the banks in Indonesia and their findings show significant differences in nonperforming loans (NPL) and banks' profitability before and after the COVID-19 pandemic in conventional banking.

On the other side, Kozak (2021) in his study analyzes the impact of the shock increase, in the value of nonperforming loans, on the equity level and profitability of 141 banks in 18 countries of Central Eastern South Europe (CESE). The findings indicate that the banks in CESE were well-capitalized and could maintain capital requirements with a 12% increase in nonperforming loans. The resilience of domestic banking sectors varies, and it is higher in non-EU countries. Smaller and non-public banks show a greater ability to preserve the appropriate level of equity, although there is a risk that they may postpone the time of provisioning credit risk and additionally increase lending to lower the NPL ratio. Larger banks are more profitable in times of crisis. The results of the research are important for assessing the stability of the banking sector in CESE during the crisis and can be used by the financial supervision of the region's countries and banking market analysts.

As per the Republic of North Macedonia, there are limited studies focused on the impact of the COVID-19 pandemic on the banks' profitability. Notable among them is the study conducted by Georgieva Svrtinov *et al.* (2021).

### 3. OVERVIEW OF THE BANKING SYSTEM IN THE REPUBLIC OF NORTH MACEDONIA

The banking system is the most important part of the financial system in North Macedonia since 80.5% of the total financial system assets belong to the banks. It consists of 14 banks and 2 savings houses. 10 of the banks are mainly in the ownership of foreign shareholders, while 6 of them are subsidiaries of foreign banks. The Macedonian banks are mainly owned by private capital, especially the big and medium banks. The foreign capital in the banking sector is of special importance. Namely, the participation of foreign capital in the total banking system in North Macedonia is 75.7% (NBRM, 2020a). The constant increase of the foreign capital share in the Macedonian banks is a result of the foreign portfolio investors' interest in trading with their shares, and their interest in participating in this profitable sector.

Depending on the volume of the total assets, the banks are grouped into three groups, i.e. big, medium and small banks. The differences between banks in terms of their share in total assets of the banking system remain big. To be precise, the bank with the highest share participates with 22.7% in total assets of the system and the bank with the lowest share participates with 0.5% in total assets of the system. The share of the three largest banks in the system reaches a level of 57.3%, which indicates a high concentration of the banking system in North Macedonia. The high concentration sets apart several banks that have systematic importance, which realizations have a crucial role for the total banking system and domestic economy.

In 2020, the banking sector faced many challenges, yet showed appropriate preparedness for responding to risks. In conditions of strong health and economic crisis, the banking system maintained its stability and contributed to mitigating the consequences of the COVID-19 crisis, registering solid growth of activities. On one hand, this is a result of the public trust in the banking system, amid strong capital and liquidity positions with banks, but on the other hand, it arises from the National Bank's rapid reaction. Thus, the banks provided strong credit growth of 4.1%, supported by the further increase in deposits by 6.2%, and by the National Bank's monetary measures undertaken to release additional liquidity of banks to support the Macedonian economy. The solvency of the banking system is improved. The capital adequacy is twice higher than the minimum recommended by the law and it is 16.7%, which is 0.4 percentage points higher compared to the end of 2019. In 2020, the banks' liquidity position further improved, due to the growth of liquid assets. Consequently, most of the indicators used to monitor and assess liquidity improved. The share of liquid in total assets increased by 0.6 percentage points, to a level of 32.5%, while the coverage of household deposits to liquid assets improved by 2.2 percentage points, reaching a level of high 64.4%. Also, the indicators of credit risk materialization improved. Specifically, nonperforming loans decreased by 26.5%, reducing their share in total loans by 1.4 percentage points, to a level of 3.4%. There was also a decline in non-performing corporate loans (-31.4%) and non-performing household loans (-12.6%). Therefore, the share of non-performing loans to companies in total corporate loans decreased by 2.5 percentage points, to a level of 5.2%, while the share of non-performing to households in total household loans decreased by 0.4 percentage points, to a level of 1.6%. The domestic banking system achieved higher profit from its operation (by 8.5%), compared to the previous year. Analyzed by structure, the growth in the financial result

is mostly due to the increase of the capital gain realized from the sale of foreclosures, as well as due to realized profits from the collection of written-off claims. There was certain, but relatively small influence of the decrease of operational costs and the growth of net interest income, over the growth of profit. Moreover, growth of impairment losses of financial and non-financial assets is registered, as well as decrease of income from commissions and fees (affected by the health crisis, the banks cut the commissions for part of their services, mostly those related to e-banking) (NBRM, 2020b).

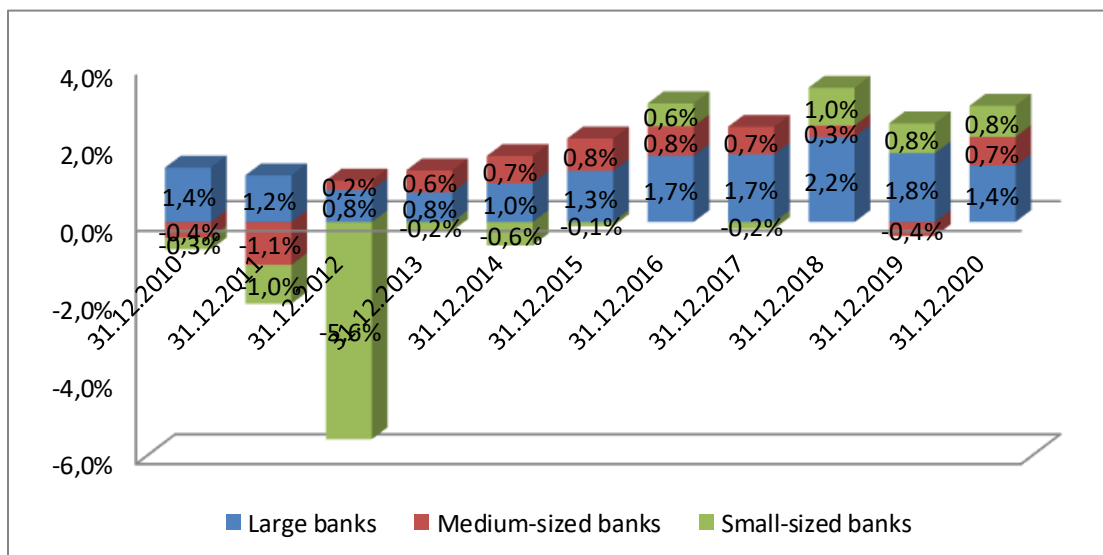
#### 4. MACEDONIAN BANKS' PROFITABILITY BEFORE AND DURING THE COVID-19 PANDEMIC

In the literature, the profitability of banks is generally measured by return on asset (ROA), computed as a ratio of the net profit to the total assets of the bank, return on equity (ROE), computed as a ratio of the net profit to equity and net interest margin (NIM), defined as the net interest income divided by total assets.

Return on assets (ROA) is an indicator of the management efficiency at using banks' assets to generate earnings. It is the most commonly used benchmark for bank profitability since it measures the company's return on investment in a format that is easily comparable with other institutions (Puspitasari *et al.*, 2021). This proxy of the banks' profitability gives investors information on how effectively the bank manages its assets to produce a profit. Higher levels of ROA indicate high bank efficiency since it earns more money with less investment. Compared to ROE, the use of ROA takes into account the risks derived from the leverage and is the key bank profitability ratio (Athanasoglou *et al.*, 2005). Return on equity (ROE) as a ratio of net income returned to shareholders equity, measures a corporation's profitability by revealing how much profit a bank generates with the money shareholders have invested (Spaseska *et al.*, 2018). Besides ROA and ROE, another bank profitability indicator is Net Interest Margin (NIM). This variable is defined as the net interest income divided by total assets and it reflects the difference between interest income on banks loans and interest expense on deposits.

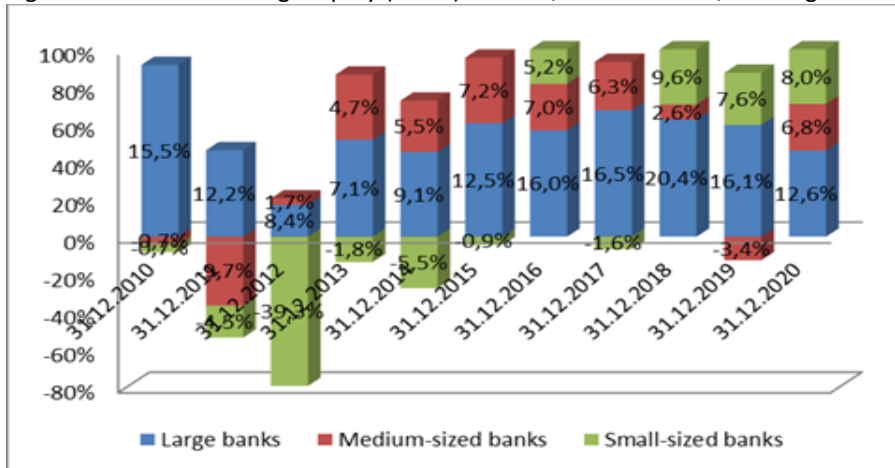
In terms of performance, the Macedonian banks have been highly profitable over the last decade. The performance of Macedonian banks as measured by the return on assets and return on equity ratio is illustrated in Figure 1.

Figure 1: Return of Average Assets (ROAA) of small, medium-sized, and large banks during 2010-2020



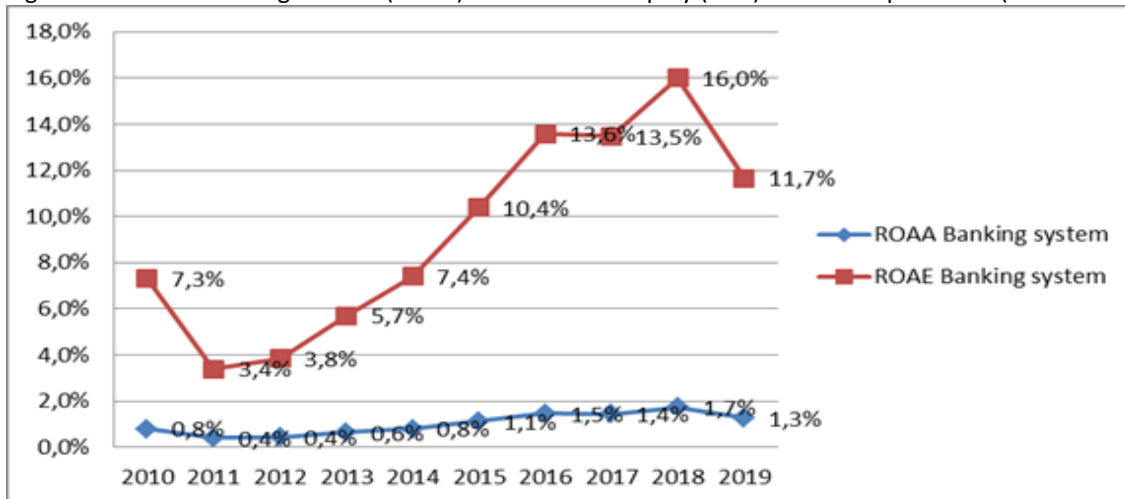
Source: Authors' compilation from the banks' profitability indicators, NBRM

Figure 2: Return of Average Equity (ROAE) of small, medium-sized, and large banks during 2010-2020



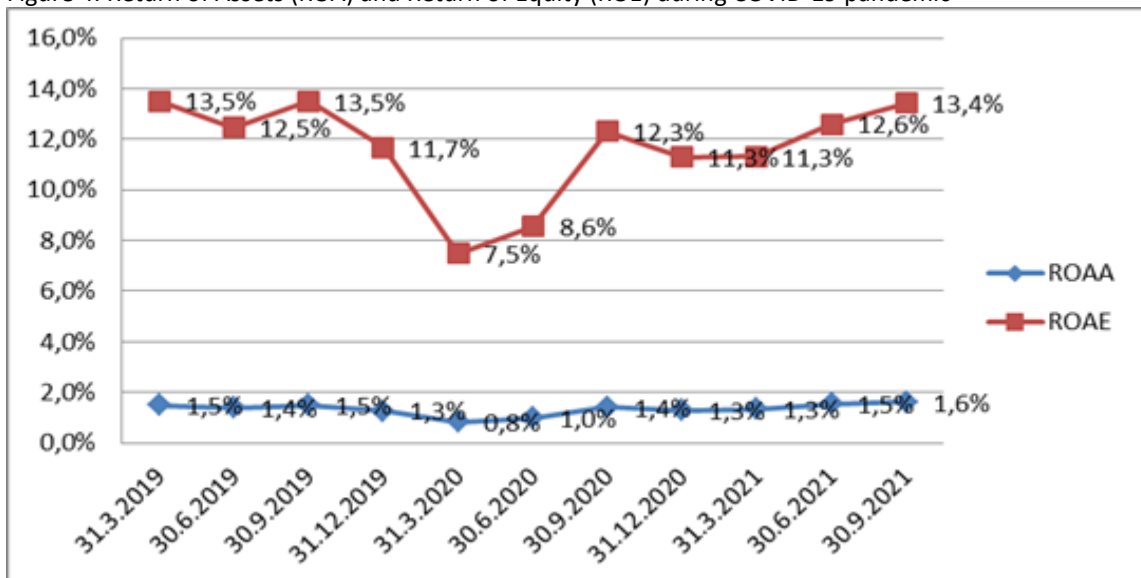
Source: Authors' compilation from the banks' profitability indicators, NBRM

Figure 3: Return of Average Assets (ROAA) and Return of Equity (ROE) before the pandemic (2010-2019)



Source: Authors' compilation from the banks' profitability indicators, NBRM

Figure 4: Return of Assets (ROA) and Return of Equity (ROE) during COVID-19 pandemic



Source: Authors' compilation from the banks' profitability indicators, NBRM

Analysis of the banks' profitability at the beginning of the COVID-19 pandemic has shown that the domestic banking system in the first quarter of 2020 remains profitable but with a significantly lower profit (by 39.6%). Consequently, the indicators of return on capital and assets decreased significantly, compared to the same period of 2019 (ROAE -13.5%; ROAA -1.5%), reaching levels of 7.5% and 0.8%, respectively. However, in the third quarter of 2020, there are positive movements in these indicators of banks' profitability, and in 2020 the domestic banks finished with higher profit from its operation (by 8.5%), compared to the previous year. Such growth in the financial result is mostly due to the increase of the capital gain realized from the sale of foreclosures, as well as due to realized profits from the collection of written-off claims. But, profit growth in 2020 was not sufficient to improve the rates of return on average assets and average equity. The rate of return on average assets remained at the same level of 1.3%, same as in 2019, while the rate of return on average equity and reserves is slightly lower, amounting to 11.3% on an annual basis. A similar trend was noticed in the first half of 2021, when the banking system achieved higher operating profit, compared to the same period of the previous year. More precisely, Macedonian banks achieved a profit which is higher by 66.8% compared to the same period last year. Such higher profits in the banking sector were a direct consequence of the banks' non-interest income that is as a result of increased income from the collected written-off claims and higher commission and fee income. Rates of return on average assets and average capital and reserves improved compared to the end of 2020 and reached levels of 1.5% and 12.6% respectively.

## 5. CONCLUSIONS

The COVID-19 pandemic has caused a convulsive shock of the global financial markets and institutions. The banks as the most important financial institutions in the financial system were also affected by COVID-19 and faced with a significant threat to their sustainability.

So, the main objective of the study is to investigate the impact of coronavirus (COVID-19) on the profitability of the Macedonian banking system. To reach the goal we used the financial stability reports and reports on the risks in the banking system of the Republic of North Macedonia, such as the banking system indicators issued by the National Bank of the Republic of North Macedonia.

The results of the research indicate that Macedonian banks were considered relatively resilient in dealing with economic distortions posed by the Covid-19 pandemic. Namely, in conditions of strong health and economic crisis, the banking system maintained its stability and contributed to mitigating the consequences of the COVID-19 crisis, registering solid growth of activities.

According to the data of the National bank of the Republic of North Macedonia, in 2020 the banks achieved a high profit of 118 million euros, i.e. 9 million euros more than the previous year. This trend continued in the first half of 2021, e.g. the Macedonian banks gained a profit of 74.2 million euros, which is 29.7% more than the same period last year. In the third quarter, the profit of domestic banks increased by an incredible 43 million euros. Such positive movements in the banks' profit resulted in higher indicators of the banks' profitability. More precisely, rates of return on average assets and average capital and reserves improved compared to the end of 2020 and reached levels of 1.6% and 13.4% respectively. Based on the results of the conducted research in this paper we can conclude that despite the COVID-19 pandemic, Macedonian banks continue to gain high profits.

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## Siyasi İstikrar Ulusal Güvenliğin Sağlanması İçin Önemli Bir Şarttır

Ulker İmamaliyeva<sup>1</sup>

<sup>1</sup>Doctor of Philosophy, Baku State University, e-mail, İmamaliyeva\_ulker@mail.ru

**Özet:** Tarihsel deneyim, devletin korunmasının ve gelişmesinin bazı temel faktörlere bağlı olduğunu kanıtlamaktadır. Toplumda siyasi istikrar ve ulusal güvenlik sağlanmadan sosyo-politik ortamı iyileştirmek ve mevcut sorunları çözmek mümkün değildir.

İstikrar, siyasi sistemi güçlendirir ve dinamik olarak gelişmesini sağlar. Siyasi sistemlerin doğasına bağlı olarak, istikrar farklı şekillerde sağlanır. Totaliter devletlerde siyasi istikrar, ifade özgürlüğünün ve tam kontrolün kısıtlanmasıyla sağlanır. Bu amaçla siyasi otoriteler çeşitli araçlar kullanır (ordu, kolluk kuvvetleri, manipülasyon vb.). Demokrasilerde hukukun üstünlüğü ve sivil toplumun varlığı, demokrasinin gelişmesi, yüksek siyasi kültür, siyasi güvenliği garanti eder, siyasi sistemin istikrarı ve toplumsal dayanışma için koşullar yaratır. Siyasal güvenlik, devletin siyasi çıkarları sağlamak için aldığı önlemler sonucunda ortaya çıkar. İç siyasi güvenlik, devlet yapısının ve anayasada yer alan yetkilerin istikrarını, toprak bütünlüğünü, toplumda birlik ve beraberliğin sağlanmasını ve hukukun üstünlüğünü gerektirmektedir. Ayrıca, siyasi ve dini aşırılıklığa ve etnik ayrışıklığa yol açan çatışma ve terörizme son verilmesi çağrısında bulunuyor. Siyasi istikrarı bozan ve siyasi rejimi baltalayan çeşitli sosyo-politik oluşumların eylemleri, siyasi sistemin güvenliğine yönelik bir tehdit olarak kabul edilir.

Dış siyasi güvenlik, devletin egemenliğinin korunmasını, uluslararası arenadaki konumunun güçlendirilmesini ve çeşitli devletlerle etkin ilişkilerin oluşmasını sağlar.

Siyasi güvenlikle ilgili ekonomik güvenliğin amacı, toplumun kapsamlı gelişimi için maddi bir temel oluşturmak, devletin uluslararası ekonomik ilişkiler sisteminin bağımsız ve eşit bir öznesi olmasını sağlamaktır. Toplumda ekonomik reformlar uygulamadan bir ekonomik güvenlik sistemi oluşturmak ve ekonomik kalkınmayı sağlamak imkansızdır. Toplumun nesnel gereksinimlerine dayalı üretim ilişkilerinin kurulması, hammaddelerin verimli kullanılmasını, altyapı, bilim ve teknolojinin geliştirilmesini ve işgücünün uzmanlaşmasını gerektirir. Kitlese işsizlik, yoksulluk, sosyal tabakalaşmadaki dengesizlikler, nüfus sürecinin olumsuz sonuçları, belirli hastalıkların yayılma ölçeği topluma yönelik sosyal tehditler olarak kabul edilir.

Askeri gücü zayıflatmaya, iç ve dış askeri çatışmalara, bölgedeki güç dengesinin bozulmasına ve komşu ülkelerdeki siyasi istikrara yönelik eylemler, kitle imha silahlarının kullanılması tehdidi devlete yönelik askeri tehdit olarak kabul edilir.

Ahlaki tehditlerin hedefi milli hafıza ve genetik koddur. Bu tür tehditler, halkın milli ve manevi değerlerine, geleneklerine ve entelektüel potansiyeline yönelik bir saldırdır. Ulusal güvenliğin ve siyasi istikrarın sağlanma düzeyi, bu sürecin devlet tarafından düzenlenmesine ve uygulanması üzerindeki kontrole bağlıdır.

**Anahtar Kelimeler:** siyasi istikrar, ulusal güvenlik, siyasi güvenlik, ekonomik güvenlik, tehdit

**Abstract:** Historical experience proves that the preservation and development of the state depends on certain fundamental factors. It is impossible to improve the socio-political environment and solve existing problems without achieving political stability and national security in society.

Stability strengthens the political system and allows it to develop dynamically. Depending on the nature of political systems, stability is achieved in different ways. Political stability in totalitarian states is achieved by restricting freedom of speech and total control. For this purpose, the political authorities use various means (army, law enforcement agencies, manipulation, etc.). In democracies, the existence of the rule of law and civil society, the development of democracy, high political culture guarantee political security, create conditions for the stability of the political system and social solidarity. Political security arises as a result of measures taken by the state to ensure political interests. Internal political security implies the stability of the state structure and authorities enshrined in the constitution, territorial integrity, the establishment of unity and solidarity in society and the rule of law. It also calls for an end to the conflict and terrorism that give rise to political and religious extremism and ethnic separatism. The actions of various socio-political entities that disrupt political stability and undermine the political regime are considered a threat to the security of the political system.

Foreign political security ensures the protection of the state's sovereignty, the strengthening of its position in the international arena, and the formation of effective relations with various states.

The purpose of economic security related to political security is to create a material basis for the comprehensive development of society, to ensure that the state becomes an independent and equal subject of the system of international economic relations. It is impossible to create an economic security system and achieve economic development without implementing economic reforms in society. The establishment of production relations based on the objective requirements of society requires the efficient use of raw materials, the development of infrastructure, science and technology, and the specialization of the workforce. Mass unemployment, poverty, imbalances in social stratification, negative consequences of the population process, the scale of the spread of certain diseases are considered social threats to society.

Actions aimed at weakening military power, internal and external military conflicts, destabilization of the balance of power in the region and political stability in neighboring countries, the threat of the use of weapons of mass destruction are considered military threats to the state.

The target of moral threats is national memory and genetic code. Such threats are an aggression against the national and moral values, traditions and intellectual potential of the people. The level of ensuring national security and political stability depends on the organization of this process by the state and control over its implementation.

**Key Words:** political stability, national security, political security, economic security, threat

## GİRİŞ

Şimdiye kadar "siyasi istikrar" sorunu ve siyasi istikrarın ulusal güvenlikle ilişkisi bilimsel literatürde yeterince çalışılmamıştır. Konu, hem toplumun mevcut gelişme durumunu hem de gelecekteki gelişme beklentilerini tahmin etmesi açısından önemlidir:

- siyasi istikrarın konuları, türleri, seviyeleri, durumu hakkında fikir oluşturur;
- toplumun ana faaliyet alanlarının verimliliği için devlet yapılarına etki yöntemleri sağlar;
- Sosyal tehditleri ortadan kaldırmak için bir mekanizma geliştirmeye yardımcı olur;
- siyasi olmayan istikrarın yol açtığı tehdit ve tehlikelerin belirlenmesi için bir temel sağlar;
- ülke liderliğinin devletin jeopolitik çıkarlarına uygun yeni yöntem ve araçlar bulmasını sağlar;
- devletin etkin dış politikası için koşullar yaratır.

Tarihsel deneyim, toplumun korunmasının ve gelişmesinin belirli temel faktörlere (siyasi istikrar ve ulusal güvenlik) bağlı olduğunu kanıtlamaktadır.

## 1. SİYASİ İSTİKRAR: DOĞASI VE ÖNEMİ

Siyasi istikrar, toplumun istikrarlı bir durumudur. Rus bilim adamı A. Galkin haklı olarak sistemin mutlak kararlılığının imkansız olduğunu düşünmektedir (Galkin, 1991; 35). Mutlak kararlılık, hem sistemin hem de elemanlarının hareketsizliği ve bunların dış etkilerden yalıtılması anlamına gelir. Bir siyasi sistemin istikrarı değerlendirilirken belirli ilkelere (sistemlilik, gizlilik, işlevsellik) uyulmalı ve sistemin performansı ile gerçek yetenekleri karşılaştırılmalıdır. Sistemin yetenekleri farklıdır:

- Maddi ve insan kaynaklarının seferber edilmesiyle elde edilen fırsatlar;
- Çeşitli sosyal grupların ve kurumların davranış ve faaliyetlerini kontrol edebilme;
- toplumun mevcut ihtiyaçlarını ihtiyaçlara göre yerleştirmeyi ve dağıtmayı reddetmek;
- Haberleşme yeteneklerini kullanarak sistemin tüm unsurlarının etkin çalışmasını artırmak.

Siyasi istikrar, güvenilirlik derecesine göre farklılık gösterir (yüksek, orta ve düşük). Yüksek siyasi istikrar, bir dizi özellikle karakterize edilir:

- İç ve dış politikanın uygulanması sürecinde ülkede sosyo-politik birliğin tezahürü;
- Nüfusun yaşam kalitesini garanti eden etkin bir sistemin oluşturulması;
- Halkın çıkarlarına uygun reformlar yapmak;
- insanlarda yürütme yapılarına güvenin yaratılması;
- anlaşmazlıkların zamanında ve başarılı bir şekilde çözülmesi;
- Kamusal yaşamın tüm alanlarında demokratikleşme düzeyi. - Maddi ve insan kaynaklarının seferber edilmesiyle elde edilen fırsatlar;
- Çeşitli sosyal grupların ve kurumların davranış ve faaliyetlerini kontrol edebilme;
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- Halkın çıkarlarına uygun reformlar yapmak;
- insanlarda yürütme yapılarına güvenin yaratılması;
- anlaşmazlıkların zamanında ve başarılı bir şekilde çözülmesi;
- Kamusal yaşamın tüm alanlarında demokratikleşme düzeyi.

Siyasi rejime yönelik kitlesel destek, nüfusun çoğunluğu tarafından kabul edilen değerlerden (ifade özgürlüğü, çoğulculuk, özgür medya vb.), siyasi liderlerin ve hükümet yapılarının dayandığı sosyal ve siyasi normlardan kaynaklanmaktadır. Mevcut rejim için kitlesel destek, bir dizi faktörden kaynaklanmaktadır:

- toplumdaki demokratik değerlerin sürdürülebilirliği ve uzun ömürlülüğü;
- ekonominin yönetimine devlet katılımının derecesi;
- bireyin sosyal koruma düzeyi;
- ulusal hak eşitliği;
- Yaşam standartlarının ve yaşam kalitesinin sürekli iyileştirilmesi;
- kişinin güvenliğini sağlamak.

Demokratik toplumlarda elit ve kitle desteği dengelidir.Siyasi rejime verilen yaygın destek, onun korunmasına ve sürdürülmesine olanak tanır. Amerikalı siyaset bilimcilere göre bir toplumu oluşturan sınıf ve grupların maddi, manevi ve kültürel güvenlikleri yüksekse, bu toplum çatışmalardan ve devrimlerden uzaktır. Siyasi sistemde kalıcı ve sağlam istikrar, orta sınıf pahasına sağlanır. Orta sınıf, merkezîyetçi demokratik partileri destekleyerek sağcı ve solcu aşırılıkçı grupları marjinalleştiriyor ve toplumsal çatışmaları örtbas ediyor.

Orta düzeyde siyasi istikrar, belirli özelliklerle karakterize edilir:

- sosyal grupların bazen sosyo-ekonomik ve politik programları vardır;
- toplum üyelerinin temel hak ve özgürlüklerinin korunması;
- dış politikanın esnekliği;
- taktik kararlar alırken diplomatik hatalar yapmak;
- stratejik sosyo-ekonomik kursun desteklenmesi ve yürütme organları tarafından uygulanması.

Siyasi istikrarın sağlanmasında çeşitli grupların devlete sağladığı siyasi destek ayrı bir önem taşımaktadır. Nüfusun belirli bir bölümünün konumuna bağlı olarak, hükümete verilen destek değişir:

- Uygun destek, devlet kurumlarının kararlarına, siyasi liderlerin kişisel niteliklerinin değerlendirilmesine dayanır;
- Karma desteğin ana bileşeni güvendir. Güven, devlet kurumlarının, nüfusun çeşitli gruplarının sosyal beklentilerini karşılamak için aldığı önlemlerin bir sonucu olarak ortaya çıkar. Siyasal sistemde oluşan oyunun kurallarına da bağlıdır.

Totaliter bir toplumda, siyasi elitin birliğinin sağlanmasına önem verilir. Geçiş ve reform sürecindeki ülkeler için siyasi destek önemlidir. Toplumun siyasal sisteminin farklılaşması, siyasal güçlerin çoğulculuğu, toplumsal bütünleşmeyi zorlaştırmaktadır. Sosyal ilişkiler sisteminin istikrarı, çıkarlarını koruyan katılımcıların etkileşimine, yüzleşmesine ve işbirliğine bağlıdır. Siyasal istikrar, siyasal sistemin işlevlerinin etkinliği ile sağlanır.

Dünya uygulamasında, İnsani Gelişme Endeksi, ekonomik ve sosyal göstergelere dayalı olarak nüfusun refah düzeyini değerlendirmek için kullanılır. Birleşmiş Milletler Kalkınma Programı "İnsani Gelişme" kavramını geliştirmiştir. Programın amacı, insan yaşam kalitesini yükseltmek, yeteneklerini artırmak ve geliştirmektir. 2010 yılında insani gelişme endeksinin göstergeleri genişletilmiş, sosyo-ekonomik gelişmişlik, cinsiyet eşitsizliği ve yoksulluk endeksi eklenmiştir. İnsan gelişimi bir dizi faktör tarafından belirlenir:

- ekonomik büyüme ve elverişli iş ortamı,

- yoksulların sosyal korunması;
- yoksulluğun ortadan kaldırılması;
- eğitim ve sağlık sistemlerinin modernizasyonu;
- sürdürülebilir kalkınma;
- etkili yönetim sistemi;
- Vatandaşların karar alma süreçlerine aktif katılımı.

S.Lipset “Politik adam. Siyasetin Sosyal Temeli ”(1981), hükümet sisteminin istikrarının, hükümetinin meşruiyeti ve ekonomik verimliliği tarafından belirlendiğini belirtir (s.6).

Bazı özellikler düşük siyasi istikrarın karakteristiğidir:

- farklı bölgelerde artan siyasi hoşnutsuzluk;
- insanların maddi refahının bozulması;
- güçlü kuvvetli insanların yoksulluk içinde yaşamaları, işsizlik;
- ülke liderliğinin halkın yararına siyasi ve ekonomik reformları gerçekleştirememesi;
- Mevcut rejimin yağma politikasına karşı çıkanlar;
- mafya gruplarının zenginleştirilmesi;
- hükümetin iç ve dış politikalarının sert eleştirisi;
- rejimin halk desteğini kaybetmesi.

Siyasi istikrarsızlık üç şekilde tanımlanabilir:

1. Rejimi ve hükümeti değiştirme eğilimi
2. Toplumdaki suikastlar, çatışmalar vb.
3. Siyasette istikrarsızlık

Toplumda artan memnuniyetsizlik, siyasi kararlardaki gecikmeler gerilimi artırmakta ve halk ile hükümet arasında çatışmalara neden olmaktadır. Rejimin siyasi desteğini azaltır. Siyasi istikrarı bozmakla ilgilenen ve mevcut durumdan yararlanmaya çalışan güçler, siyasi parti ve hareketler yaratarak iktidara gelmeye çalışıyor. Kitlelerin zihnindeki atalet, temel değerlere bağlılık, baskın norm ve değerlerin reddedilmesi, nüfus ve hükümet arasında gerginliğe ve çatışmaya neden olur. Yasadışı siyasi mücadele (açık ve gizli) siyasi istikrar üzerinde yıkıcı bir etkiye sahiptir ve toplumun çöküşüne neden olur. Bu özellikler geçiş sürecindeki çoğu ülkede tipiktir.

Bir toplumun siyasi istikrarının bir başka göstergesi de, dış olumsuz etkileri (provokasyon, terör, ekonomik abluka, siyasi baskı, tehditler, şantaj, dedikodular vb.) etkisiz hale getirebilmesidir. Bu tür etkiler sistemin dengesini bozar ve yıkımı için bir temel oluşturur. Mevcut sistemin hem destekçileri hem de muhalifleri iç savaşları ve siyasi şiddet eylemlerini başlatıyor.Siyasi istikrarsızlığın seviyesini belirleyen bir dizi endeks var. SIYASET ve Dünya Bankası'nın yönetim endeksleri, akademik veya politik amaçlar için geliştirilmiştir. Veri setlerine siyasi şiddet, suikast ve gösterilere ilişkin bilgiler dahil edilmiş, çeşitli ülkeleri ve uluslararası yatırımcıları bilgilendirmek için göstergeler geliştirilmiştir.

Siyasi istikrarın demokratik ve otoriter türleri vardır. Demokratik istikrar, insancıl bir şekilde ve ahlaki kurallara bağlı kalınarak sağlanır. Bu tür toplumlarda toplumsal altüst oluşlar (iç savaş, askeri çatışma, ulusal çatışma, ekonomik kriz vb.) olmaz, demokrasi ve özgürlükler gelişir, ulusal ve bölgesel sorunlar insanca çözülür.

Otoriter siyasi istikrar askeri-politik güçle sağlanır ve bir diktatörlük kurulur. Böyle bir istikrarda halkların egemenlik hakları çiğnenmekte, ulusal değerler terk edilmekte, insan hak ve özgürlükleri göz ardı edilmekte ve medyaya ağır siyasi sansür uygulanmaktadır.

İstikrar, siyasi sistemi güçlendirir ve dinamik olarak gelişmesini sağlar. Siyasi sistemlerin doğasına bağlı olarak, istikrar farklı şekillerde sağlanır. Totaliter devletlerde siyasi istikrar, ifade özgürlüğünün ve tam kontrolün kısıtlanmasıyla sağlanır. Bu amaçla siyasi otoriteler çeşitli araçlar kullanır (ordu, kolluk kuvvetleri, manipülasyon vb.). Demokrasilerde hukukun üstünlüğü ve sivil toplumun varlığı, demokrasinin gelişmesi, yüksek siyasi kültür, siyasi güvenliği garanti eder, siyasi sistemin istikrarı ve toplumsal dayanışma için koşullar yaratır.

Dolayısıyla, siyasi istikrar karmaşık bir olgudur ve aşağıdaki hususları içerir:

- politikanın ana konuları arasındaki etkileşimin kalitesini yansıtır;
- güç yapılarının verimliliğini gösterir;
- siyasi liderliğin otoritesini gösterir;
- Toplumun çağın zorluklarına yeterince yanıt verme yeteneğini ifade eder.

Siyasi istikrar, siyasi güçler arasında istikrar ve uzlaşma düzeyini korurken sorunların acilen çözülmesini amaçlayan bir süreçtir.

## 2. SİYASİ İSTİKRAR İLE MİLLİ GÜVENLİK ARASINDAKİ İLİŞKİ

Ulusal çıkarların gerçekleşmesi, ulusal güvenlik koşullarının oluşmasını gerektirir. Toplum üyelerinin faaliyetlerinin amaç ve sonuçları, ihtiyaçlarını ortaya koymakta ve bu ihtiyaçlar onların yararınadır. İlgili insanların yaşamlarının doğasını ve yönünü belirleyen itici güçtür. Kamu yararının gerçekleşmesi ülkenin ilerlemesini sağlar. Siyasal bilgi ve siyasal etkinlik, çıkarların gerçekleşmesine katkıda bulunur. Ulusal güvenlik (siyasi, ekonomik, askeri, bilgi, çevresel, demografik, kültürel), devleti korumak için sosyal kurumların etkin işleyişini, bireyin ve toplumun varlığı ve gelişimi için etkili koşulları karakterize eder (Gasimov, 2015; 21). ).

N. Machiavelli, "Cetvel" adlı çalışmada, devletin uzun ömürlü olması için siyasi istikrarı ana koşul olarak kabul etti.

G. Yu Semigin, devlete yönelik tehdidi, yönetici elitin toplumsal istikrar sorununa yönelik iki aşırı yaklaşımıyla ilişkilendirdi:

1. Ne pahasına olursa olsun istikrarı sağlamak
2. Yönetici seçkinler siyasi istikrara değer vermiyor

G. Yu, siyasi istikrarın güvenlik üzerindeki etkisini belirli faktörlerle açıklıyor:

- Devlet organlarının faaliyetlerini tahmin etme imkanı;
- yetkililerin medeni haklara saygı duyarak sosyal çatışmaları çözme yeteneği;
- birbirine bağlı sosyo-psikolojik ilişkilerin uyarıldığı bir sistemin yaratılması;
- psikolojik ilişkilerin oluşumu.

Güvenlik, bireyin, toplumun ve devletin hayati menfaatlerinin iç ve dış tehditlerden korunmasıdır. Siyasal güvenlik, devletin siyasal çıkarları sağlamak için aldığı önlemler sonucunda ortaya çıkar. İç siyasi güvenlik, devlet yapısının ve anayasada yer alan yetkilerin istikrarını, toprak bütünlüğünü, toplumda birlik ve beraberliğin sağlanmasını ve hukukun üstünlüğünü gerektirmektedir. Aynı zamanda siyasi ve dini aşırılıkçılığa ve etnik ayrılıkçılığa yol açan çatışma ve terörizme son verilmesi çağrısında bulunuyor. Siyasi istikrarı bozan ve siyasi rejimi baltalayan çeşitli sosyo-politik oluşumların eylemleri, siyasi sistemin güvenliğine yönelik bir tehdit olarak kabul edilir.

Çatışmaları çözme yolları olumlu sonuçlar vermediğinde siyasi sistemin krizi ortaya çıkar. Bu tür bir istikrarsızlık sistemin çökmesine yol açmaz, durumu ortadan kaldırmak için makul önlemlerin alınmasına ihtiyaç vardır:

- toplumda fikir birliğine varmak;
- siyasi kurumların yeniden inşası;
- hükümet işlevlerinin yeniden dağıtılması;
- siyasi güçleri değiştir.

Bu tür krizlerle başa çıkmak için genellikle geçici bir olağanüstü hal ilan edilir. Siyasi (askeri) darbeler, siyasi sistemin krizinin bir göstergesidir ve parçalanmış konsensüsün yerini alarak bir siyasi gücün diğeri üzerindeki egemenliğine dayanır. Siyasi bir darbenin sistemin istikrarını yeniden sağlayamaması iç savaşa yol açar.

Dış siyasi güvenlik, devletin egemenliğinin korunmasını, uluslararası arenadaki konumunun güçlendirilmesini ve çeşitli devletlerle etkin ilişkilerin oluşmasını sağlar.

Siyasi güvenlikle ilgili ekonomik güvenliğin amacı, toplumun kapsamlı gelişimi için maddi bir temel oluşturmak, devletin uluslararası ekonomik ilişkiler sisteminin bağımsız ve eşit bir öznesi olmasını sağlamaktır.

Ekonomik ve siyasi istikrar arasında yakın bir ilişki vardır. Ekonomik istikrar, siyasi istikrarın temelidir. Ekonomik zayıflık ve verimsizlik siyasi gücü azaltır. Büyük Güçlerin Yükselişi ve Düşüşü'nde Kennedy, bir imparatorluğun gücünün ekonomik yeteneğine bağlı olduğunu savundu.

Siyasi güvenlikle ilgili ekonomik güvenliğin amacı, toplumun kapsamlı gelişimi için maddi bir temel oluşturmak, devletin uluslararası ekonomik ilişkiler sisteminin bağımsız ve eşit bir öznesi olmasını sağlamaktır. Toplumda ekonomik reformlar uygulamadan bir ekonomik güvenlik sistemi oluşturmak ve ekonomik kalkınmayı sağlamak imkansızdır. Toplumun nesnel gereksinimlerine dayalı üretim ilişkilerinin kurulması, hammaddelerin verimli kullanılmasını, altyapı, bilim ve teknolojinin geliştirilmesini ve işgücünün uzmanlaşmasını gerektirir.

Kitlesel işsizlik, yoksulluk, sosyal tabakalaşmadaki dengesizlikler, nüfus sürecinin olumsuz sonuçları, belirli hastalıkların yayılma ölçeği topluma yönelik sosyal tehditler olarak kabul edilir.

Askeri gücü zayıflatmaya, iç ve dış askeri çatışmalara, bölgedeki güç dengesinin bozulmasına ve komşu ülkelerdeki siyasi istikrara yönelik eylemler, kitle imha silahlarının kullanılması tehdidi devlete yönelik askeri tehdit olarak kabul edilir.

Toplumda ayrımcılığın ortaya çıkması, etnik izolasyon eğilimi, ulusal-etnik ilişkilerin yapay gerilimi, çatışma ve çatışmaya yol açmaktadır. Siyasi güvenliği tehdit eden etnik ayrılıkçılık, devletlerin etnisite temelinde oluşturulmasını ve ayrılmasını ifade eder.

Ahlaki tehditlerin hedefi milli hafıza ve genetik koddur. Bu tür tehditler, halkın milli ve manevi değerlerine, geleneklerine ve entelektüel potansiyeline yönelik bir saldırıdır. Ulusal güvenliğin ve siyasi istikrarın sağlanma düzeyi, bu sürecin devlet tarafından düzenlenmesine ve uygulanması üzerindeki kontrole bağlıdır.

## SONUÇ

Toplumda siyasi istikrar ve ulusal güvenlik sağlanmadan sosyo-politik ortamın iyileştirilmesi ve mevcut sorunların çözülmesi mümkün değildir. İstikrarın sağlanması için devletin sosyal desteğinin güçlendirilmesi, halkın kendi kaderini tayin etmesinin sağlanması, hükümetin izlediği politikaların desteklenmesi ve etkin bir yönetim sisteminin oluşturulması gerekmektedir. Siyasi güvenliğin sağlanmasında insan hak ve özgürlüklerinin korunması önemli bir rol oynamaktadır. Kanun önünde eşitliğin sağlanması, sürdürülebilir kalkınmayı teşvik eder, sivil dayanışmayı güçlendirir ve devlete olan güveni artırır. Siyasi güvenlik, siyasi sistemin oluşumunu, farklı sosyal grupların çıkar dengesini sağlar. Siyasi güvenlik sadece iç istikrarla ilgili değil, aynı zamanda dış politikayla da ilgilidir. Etkili bir dış politika, devletin uluslararası imajını güçlendirir ve dış tehditlerden barışçıl bir şekilde korunmasını sağlar.

Ulusal güvenliğin ana yönlerinden biri olan ekonomik güvenliğin amacı, toplumun gelişmesi için maddi bir temel oluşturmak ve temel reformları uygulamaktır. Ekonomik güvenlik sistemini baltalamadan kalkınmayı sağlamak imkansızdır.

Bilgi tehditleri (bilgi ablukası, devlet sırlarının incelenmesi, yayın alanına müdahale, yanlış bilgilerin yayılması) devletin imajı üzerinde büyük bir etkiye sahiptir. Ahlaki tehditlerin hedefi, halkın milli ve manevi değerleri ve gelenekleridir. Güvenliği sağlamak, hayati çıkarları iç ve dış tehditlerden korumak anlamına gelir.

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## Ayırıcılık ve Siyasi Aşırılık

Professor Vaskhanim Orujova<sup>1</sup>

<sup>1</sup>Baku State University, e-mail: vasxanimorucova.55@mail.ru

**Özet:** Ayırıcılık, modern toplumun ciddi sorunlarından biridir ve toplumun sosyal yapısı ve organizasyonundan aşırı derecede memnuniyetsizlik biçimidir. Ayırıcılık, hukuk alanından ayırarak bağımsız bir devlet veya özerk bir yapı oluşturmayı amaçlar. Devletin egemenliğini ve toprak bütünlüğünü ihlal eden, devletlerarası ve uluslararası çatışmalara neden olan bir harekettir. Ayırıcılığın yaygınlaşması nedeniyle gelişmiş (Kanada, İspanya vb.) ve gelişmekte olan ülkelerde (Hindistan, Pakistan, Irak ve birçok Afrika ülkesi) bazı sorunlar ortaya çıkmıştır. . Ayırıcılık, SSCB, Yugoslavya ve Çekoslovakya'nın çöküşünde ve Bangladeş'in Pakistan'dan ayrılmasında önemli bir rol oynadı. 2011 yılında listeye Güney Sudan eklendi.

Ulusal kurtuluş hareketi ilerici bir olaydır ve emperyalizme karşı bağımsızlık için bir halk hareketidir. Ayırıcılık özeldir. İnsanları anti-emperyalist mücadeleden caydırır, küçük grupların çıkarlarına hizmet eder ve toplumda ulusal birliğin kurulmasını engeller. Göç akışlarının bir sonucu olarak son yıllarda nüfusun etnik bileşiminde meydana gelen önemli değişiklikler, onları ayırıcılığa maruz bırakabilir (örneğin, Amerika Birleşik Devletleri'ndeki İspanyolca konuşan ve Asya diasporası). Şu anda dünyada ayırıcılığın 50 yuvası var (İngiltere'de Kuzey İrlanda ve İskoçya, İspanya'da Basklar, Fransa'da Korsikalılar ve Arap azınlıklar, Almanya'da Türkler, Polonya'da Almanlar ve Beyaz Rusya, Balkanlar'da Arnavutlar ve Sırlar, Türkiye'de Kürt ayırıcılar) ). Şu anda Ukrayna ve Gürcistan üçe, Moldova ve Azerbaycan ise ikiye bölünme tehlikesiyle karşı karşıya. Ayırıcılar, devlet kurumlarıyla rekabet edebilecek organizasyon yapıları oluşturabilecek güce ve finansal kaynaklara sahiptir. Sırp milliyetçileri Lahey mahkemesi tarafından Kosova, Bosna-Hersek ve Hırvatistan'daki savaş suçlarından mahkum edilirken, Karabağ ayırıcılarına liderlik edenlere karşı herhangi bir suçlamada bulunulmadı.

Ekonomik ayırıcılık, serbest piyasa, tam ekonomik bağımsızlık ve ademi merkezîyetçilik yaratmayı amaçlayan bölgesel bir politikadır.

Siyasi aşırılık, siyasi radikalizmin en aşırı biçimidir. Radikalizm, evrim yoluyla gelişmeyi tehdit eden unsurlardan biridir. Kamuoyuna hitap eden sloganlar ve çağrılarla etki alanını genişletir.

**Anahtar Kelimeler:** siyasi ayırıcılık, ekonomik ayırıcılık, siyasi aşırılık, siyasi radikalizm

**Abstract:** Separatism is one of the serious problems of modern society and a form of extreme dissatisfaction with the social structure and organization of society. Separatism aims to create an independent state or autonomous body by separating it from the legal space. It is a movement that violates the sovereignty and territorial integrity of the state and causes interstate and international conflicts. Due to the expansion of separatism, certain problems have arisen in developed (Canada, Spain, etc.) and developing countries (India, Pakistan, Iraq and many African countries). Separatism played an important role in the collapse of the USSR, Yugoslavia and Czechoslovakia, and the separation of Bangladesh from Pakistan. In 2011, South Sudan was added to the list.

The national liberation movement is a progressive event and a people's movement for independence against imperialism. Separatism is subjective. It discourages people from anti-imperialist struggle, serves the interests of small groups and hinders the establishment of national unity in society. Significant changes in the ethnic composition of the population in recent years as a result of migration flows may expose them to separatism (for example, the Spanish-speaking and Asian diaspora in the United States). There are currently 50 hotbeds of separatism in the world (Northern Ireland and Scotland in England, Basques in Spain, Corsicans and Arab minorities in France, Turks in Germany, Germans and Belarusians in Poland, Albanians and Serbs in the Balkans, Kurdish separatists in Turkey). Currently, Ukraine and Georgia are in danger of being divided into three, Moldova and Azerbaijan into two. Separatists have the power and financial resources to create organizational structures that can compete with state institutions. While Serbian nationalists have been convicted by the Hague tribunal of war crimes in Kosovo, Bosnia and Herzegovina and Croatia, no criminal charges have been filed against those leading the Karabakh separatists.

Economic separatism is a regional policy aimed at creating a free market, full economic independence and decentralization.

Political extremism is the most extreme form of political radicalism. Radicalism is one of the factors threatening development through evolution. It expands its sphere of influence with slogans and appeals that appeal to the general public.

**Key words:** political separatism, economic separatism, political extremism, political radicalism

## GİRİŞ

Ayırıcılık, zamanımızın küresel ve ciddi sorunlarından biridir. İnsanların farklı ilgileri, konumları ve görüşleri olduğu için toplumdaki süreçlere karşı da farklı tutumları vardır. Ayırıcılık, toplumun sosyal yapısından ve organizasyonundan aşırı derecede memnuniyetsizliğin bir şeklidir. Kapsamının genişletilmesi, gelişmiş (Kanada,



İspanya vb.) ve gelişmekte olan ülkelerde (Hindistan, Pakistan, Irak ve birçok Afrika ülkesi) ve yeni öncül ülkelerde çeşitli olumsuz sonuçlara (haksız kan dökülmesi, terörizm, silahlı çatışma vb.) devletlerin oluşumuna. Ayrılıkçılık, SSCB, Yugoslavya ve Çekoslovakya'nın çöküşünde ve Bangladeş'in Pakistan'dan ayrılmasında önemli bir rol oynadı. 2011 yılında listeye Güney Sudan eklendi.

Ulusal kurtuluş hareketi ilerici bir olaya ve halkların emperyalizme karşı bağımsızlık hareketiyse, ayrılıkçılık özeldir. İnsanları anti-emperyalist mücadeleden caydırır, küçük grupların çıkarlarına hizmet eder ve toplumda ulusal birliğin kurulmasını engeller.

Son yıllarda, göç akımlarının bir sonucu olarak, farklı ülkelerde nüfusun etnik bileşimi değişmiş ve ayrılıkçı eğilimler yoğunlaşmıştır (örneğin, Amerika Birleşik Devletleri'ndeki İspanyolca konuşan ve Asya diasporası). Şu anda dünyada ayrılıkçılığın 50 yuvası var (İngiltere'de Kuzey İrlanda ve İskoçya, İspanya'da Basklar, Fransa'da Korsikalılar ve Arap azınlıklar, Almanya'da Türkler, Polonya'da Almanlar ve Beyaz Rusya, Balkanlar'da Arnavutlar ve Sırlar, Türkiye'de Kürt ayrılıkçılar).

Devletler ayrılıkçılığı zaten toplumun temellerini sarsan ve ülkenin ulusal güvenliğine ciddi bir darbe indiren bir faktör olarak görüyorlar (Piriye, 2005; 437-438). Ayrılıkçılık, ulusal azınlıkların çok etnikli bir devlette ayrı bir devlet veya ulusal özerklik yaratma çabalarını ifade eden siyasi bir faaliyettir. Çeşitli nedenlerle ulusal azınlıktan kaynaklanan sorunlara köklü bir çözüm bulmayı hedefleyen bir sorundur. Terörle yakından bağlantılı olan ayrılıkçılık, artan çatışmaya, istikrarsızlığa ve ulusal bağımsızlığın saldırgan destekçilerine yol açmaktadır. Bugün, uluslararası ilişkilerde ayrılıkçılığı cezalandırmak yerine, onun belirli güçler tarafından teşvik edilmesi ve desteklenmesi, yeni çatışma kaynaklarının ortaya çıkmasına izin vermesi endişe konusudur. Cezasız bırakıldığında ayrılıkçılık aşırılıkçı hale gelir ve devletin güvenliği ve egemenliği için ciddi bir tehdit haline gelir. Yeni bir devletin yaratılması hem toprak hem de kaynak kaybına yol açar. Öte yandan devlet, kendisine sınır çizen ve ona karşı düşmanlık politikası izleyen bir devletin varlığıyla uzlaşmak zorunda kalır. Ayrılıkçılık aşırılığı, aşırılık terörü (Jenkins, 1976; 53) besler. Buna karşı mücadele, her devletin ulusal güvenlik politikasının önemli bir yönü olmalıdır.

## 1. AYRILIK VE NEDENLERİ

Ayrılıkçılık (Latince "separatio" - "ayrılık"), yasal bir alanla ayrılmış bağımsız bir devlet veya özerk bir yapı yaratmayı amaçlar. Ayrılıkçılık hem teorik hem de politik ve pratik olarak düşünülmelidir. Modern dünyadaki ayrılıkçı hareketler görünüşte benzer olsalar da nedenleri, itici güçleri ve gelişme eğilimleri bakımından farklılık gösterirler:

- ayrılıkçı hareketlerin dış etkenlerle bağlantısı (Azerbaycan'da Ermeni ve Lezgi ayrılıkçılığı);
- Ulusal politikadaki hatalar (Z. Gamsakhurdia yönetimi sırasında Gürcistan'da "Gürcüler için Gürcistan" ilkesine dayalı devlet politikası sonucunda Güney Osetya ve Abhazya'da ayrılıkçı eğilimlerin artması);
- tarihi koşullarla ilgili (Kuzey İrlanda ve İspanya'nın Bask Bölgesi'ndeki olaylar).

Ayrılıkçılık, devletin egemenliğini ve toprak bütünlüğünü ihlal eden, devletlerarası ve uluslararası çatışmalara neden olan bir harekettir. Ayrılıkçılar, devletten statülerini iyileştirmesini talep eden ve bazı açılardan hükümet politikalarından memnun olmayan diğer sosyal gruplardan farklıdır:

- iç kaynakları pahasına bağımsız bir devlet yaratmaya çalışmak;
- devlet kurumlarıyla rekabet edebilecek organizasyon yapıları oluşturma becerisine sahip olmak;
- Suçluların aksine, toplumu yozlaştırmak için değil, prangalarından kurtarmak için hareket ederler;
- yasaya karşı olumsuz bir tutuma sahip olmak;
- kamusal yaşam üzerinde olumsuz bir etkisi vardır.

Genel olarak, ayrılıkçılığın gelişimi belirli faktörlere bağlıdır:

- merkezi hükümetin zayıflamasının bir sonucu olarak halklar arasında çatışmanın ortaya çıkması;
- ulusal azınlık içinde kamuoyu oluşturan aydınların varlığı;
- Devletin parçalanması ve istikrarsızlaştırılmasıyla ilgilenen dış güçlerin varlığı.

Ayrılıkçılık amaca göre ayırt edilir:

- bağımsız bir devlet kurma arzusuyla yasadışı silahlı gruplarda birleşmek (Türkiye'de Kürt, Çin Halk Cumhuriyeti'nde Uygur ayrılıkçılığı vb.);
- başka bir devlete ilhak (Çin'in özerk bölgelerinin Moğolistan'a, Güney Osetya'nın Rusya'ya ilhakı);
- devlet içinde kalarak geniş özerklik kazanmak (Fransa'da Korsika).

Dünyada barışçıl veya askeri yollarla kendi kaderini tayin etme yönünde artan bir eğilim var (Rusya'da Çeçenler ve Tatarlar, Endonezya'da Aksesler, Doğu Pakistan'da Bengalliler ve Peştunlar, kuzeydoğu Hindistan'da çok sayıda ayrılıkçı hareket, İran'da Kürtler, Hindistan'da gayrimüslimler). Irak, Türkiye ve Sudan, Sırbistan ve Sırbistan). Makedonya'da Arnavutlar, Büyük Britanya'da İrlandalılar ve İskoçlar, Çin'de Uygurlar ve Tibetliler, Gürcistan'da Abhazlar ve Osetler, Azerbaycan'da Ermeniler).

Bugün dünyadaki yaklaşık 8.000 etnik gruptan yaklaşık 260'ı yeni bir devletin kurulmasını talep ediyor. Yaklaşık 90 ulusal çatışmaya şiddet eşlik ediyor. Eski BM Genel Sekreteri Boutros Boutros-Ghali, artan ayrılıkçı eğilimler sonucunda dünyadaki ülke sayısının 400'e ulaşabileceğinden duyduğu endişeyi dile getirdi.

Yeni bir dünya savaşını önlemek için uluslararası kuruluşlar devlet sınırlarının değiştirilmesini yasakladı.

Avrupa'da birbirlerinin topraklarına sahip olan devletlerin varlığı göz önüne alındığında, tarihsel adaleti yeniden tesis etme çabaları bölgede bir ayrılıkçılık dalgasını ve yeni savaşları tetikleyebilir. Avrupa devletlerinin Avrupa'ya entegrasyonu, ayrılıkçılığın yataklarını söndürdü. Örneğin ayrılıkçıların Belçika'yı Flanders, Wallonia ve Brüksel'e bölme girişimleri başarısız oldu. Kuzey İrlanda, Korsika ve Bask Ülkesi dışında, Batı Avrupa'daki diğer ayrılıkçı sıcak yatakların uzun süredir istikrar üzerinde olumsuz etkisi oldu. Katalonya ve Flanders'taki nüfusun yüksek sosyal etkinliği, sivil siyasi mücadelenin sınırlarını aşmıyor. Ayrılıkçılığın yuvaları dünyada 250 milyon insanı ve 12,7 milyon kilometrekareyi kapsıyor. Batı Avrupa'da 8, Doğu Avrupa'da 12, Asya'da 14, Afrika'da 6, Amerika'da 4 ve İslam'da 6 ayrılıkçılık yuvası var. Bunlardan 20'si etnik-monoton ülkeler yani bu ülkelerdeki diğer milliyetlerin sayısı %5'in altında. Eyaletlerin %40'ında 5 azınlık var.

Farklı ülkelerde ayrılıkçılığın yataklarını gözlemleyen araştırmacılar, soruna özel çözümler önermektedir:

- kuruluşa karşı çıkan ayrılıkçıların sayısını belirlemek;
- ayrılmak isteme nedenlerini açıklığa kavuşturmak;
- belirli bir durumda uzlaşma olasılığını anlamak;
- bu konuda kamuoyu araştırması (açık tartışma, referandum).

Ayrılıkçıların yoğun yaşadığı bölgelerde yasayı değiştirmeden yerel yönetimlere yetki vererek sorunu çözmek elbette zor. Kuzey Etiyopya'da yaşayan kabilelerin isteği üzerine ayrılıkçılar 1992'de bağımsız Eritre devletini kurdular.

Ayrılıkçılar genellikle kendilerine yakın gördükleri ülkelere göç ederler. Örneğin, Rusya'daki sosyalist devrimden sonra Batı Ukrayna'nın nüfusu Kanada ve Arjantin'e göç etti ve SSCB'nin dağılmasından sonra birçok Yahudi İsrail ve Amerika Birleşik Devletleri'ne göç etti. Sonuç olarak, şimdi Amerika Birleşik Devletleri'nde güçlü bir Yahudi, Ermeni ve Yunan lobisi oluşuyor.

Yirminci yüzyılda, Ermeni şovenizmini bünyesinde barındıran ayrılıkçı güçler, Azerbaycan topraklarını bir çatışma yatağına dönüştürdü. Ermeni halkının haklarının çiğnenmesini slogan haline getiren bu güçler, Azerbaycan'a karşı 907'nci yasa değişikliğini, çeşitli yaptırım ve baskıların uygulanmasını sağladı. Ancak, Dağlık Karabağ Ermenileri katliamın kurbanı değil, failidir. Hocalı soykırımının faileri henüz Lahey'de yargılanmadı. Miloseviç rejiminin Boşnaklara ve Arnavutlara yönelik etnik temizliği 1999'da da devam etti. Sırp askerler Kosovalı Arnavutları, Hırvatları ve Boşnakları katlettiler ve savaş suçları işlediler. Kosova'daki ayrılıkçı hareket ABD ve Avrupa ülkelerinin desteğiyle kazandı ve Kosova özerklik kazandı.

Sırp milliyetçileri Lahey'de savaş suçlarından hüküm giydiler.

SSCB'nin dağılmasının neden olduğu jeopolitik değişimler ayrılıkçı eğilimleri güçlendirdi. Şu anda Ukrayna ve Gürcistan üçe, Moldova ve Azerbaycan ise ikiye bölünme tehlikesiyle karşı karşıya. Ayrılıkçı eğilimler sadece Sovyet sonrası alanda (Transdinyester, Abhazya, Osetya, Dağlık Karabağ, Donetsk, Luhansk vb.) değil, dünyanın birçok bölgesinde (Orta Doğu, Türkiye, Kıbrıs, Endonezya, Filipinler, Büyük Britanya, İspanya vb.) rastlamak mümkündür.

Arap-İsrail çatışması, Yahudilerin 1947'de Ölü Deniz'in bölünmesiyle bağımsız bir Filistin ve İsrail devletinin kurulmasıyla ilgili memnuniyetsizliğinden kaynaklanıyor. İki Arap-İsrail savaşı sırasında İsrail, Filistin topraklarının çoğunu ve Suriye'nin Hollanda yaylalarını işgal etti. Bu yüzden Filistinliler hala saldırgan direniyor. Türkiye'deki PKK sorunu bir endişe konusudur. Yerel Kürt ayrılıkçılarla savaşmak için askeri operasyonlar kullanılıyor.

1960 yılında Kıbrıs adasının İngiliz yönetiminden yerel Rum ve Türk topluluklarının ortak liderliğine devredilmesi dünya kamuoyu tarafından memnuniyetle karşılandı. Din adamlarının çileden çıkardığı ve 20.000 kişilik bir Yunan ordusu tarafından desteklenen Yunan halkı, anlaşmanın şartlarına uymadı. 1963-1974 yıllarında adada Türkler üzerindeki baskı yoğunlaştı. Türkiye'nin yardımıyla adanın Türk kesiminde Kuzey Kıbrıs Cumhuriyeti kuruldu.

Çin'de ayrılıkçılık farklı yönlerde geliyor (Tibet, Uygur). Uygur ayrılıkçılığı için daha da tehlikeli olan, Xiang Zian Özerk Bölgesi'nin Orta Asya ülkeleri (Tacikistan, Kırgızistan ve Kazakistan) ile Asya'nın en gergin bölgelerinden ikisi olan Afganistan ve Keşmir ile sınır komşusudur. Ayrılıkçı güçler, Uygur devletinin Kazakistan'ın Almatı bölgesini ve Kırgızistan'ın kuzeydoğu bölgelerini kapsaması gerektiğine inanıyor. 1996 yılında İstanbul'da yapılan Uygur Kongresi'nde Uyguristan toprakları belirlendi. Dini kuruluşların faaliyeti bu bölgede hissedilmektedir. Öte yandan Çin, Uygurların zaman içinde bağımsızlıklarını kaybetmeleri nedeniyle Uygur ayrılıkçılarını tehlikeli buluyor. Uygur ayrılıkçılar, dünyanın dikkatini soruna çekerken üç olası sonucu göz önünde bulunduruyor:

1. Uygur sorununa yönelik dünya sempatisinin ortaya çıkması, Çin'e yönelik politikada bir değişikliğe yol açabilir.
2. Uygur terörü kınanabilir ve Pekin önde gelen devletlerin desteğini alabilir.
3. Mali sorunlar nedeniyle ayrılma girişimleri başarısız olabilir.

Tamiller, Güneydoğu Asya'da ve Okyanusya'nın bazı bölgelerinde yaşayan 100 milyondan fazla kişiden oluşan etnik bir gruptur. Hindular Tamil'e tapar, Budist olan Sri Lanka'ya karşı çıkar. Sri Lanka ve Tamiller arasındaki mücadele 1983'te başladı. Sri Lanka'nın kuzeyindeki Tamil devletinin tanınması, adanın güneyinde Tamil ayrılıkçılığının yoğunlaşmasına yol açabilir.

Ekonomik ayrılıkçılık, serbest piyasa, tam ekonomik bağımsızlık ve ademi merkezîyetçilik yaratmayı amaçlayan bölgesel bir politikadır.

## 2. AŞIRILIK: DOĞA VE FORMLAR

Aşırılık (Latince "aşırı" - "aşırı", "aşırı") siyasi, dini, ekonomik, askeri, milliyetçi, çevresel vb. şekillerde kendini gösterir. Siyasal radikalizmin en aşırı biçimidir. Radikalizm, evrim yoluyla gelişmeyi tehdit eden unsurlardan biridir. Kamuoyuna hitap eden sloganlar ve çağrılarla etki alanını genişletir. Siyasi radikalizmin ulusal duygular ve sosyal adalet arzusu üzerindeki etkisi felaket olabilir. Hem sağ hem de sol aşırılık anti-komünisttir. Sol aşırılık yanlıları (Almanya'daki Kızıl Ordu fraksiyonu, İtalya'daki Kızıl Tugay, Peru'daki Santin Derovumino, Kamboçya'daki Polpotistler vb.) Marksist-Leninist fikirlere dayanır ve kendilerini emekçi halkın davası için savaşçı olarak görürler. Kapitalizmi sosyal adaletsizlik, sömürü ve baskıyla, sosyalizmi ise bürokrasiyi ve sınıf mücadelesinin ilkelerini hiçe saydığı için eleştirirler. 1993'ten bu yana, bir dizi aşırılık yanlısı grup daha aktif hale geldi. Kızıl Ordu fraksiyonu, komünist rejimin yıkılmasından sonra Almanya'nın Avrupa'ya entegrasyonunu engellemeye çalışmakta ve bu yolu destekleyenlere karşı çeşitli mücadele biçimleri kullanmaktadır.

Siyasi aşırılıkçılık (İtalyan sosyal hareketi, Alman Ulusal Demokrat Partisi, Latin Amerika'daki "Ölüm Birlikleri" vb.) burjuva toplumunun eksikliklerini, uyuşturucu bağımlılığını, bencilliği, ahlaksızlığı, aşırı muhafazakar konumdan gelen düzen eksikliğini eleştirir.

Milliyetçi aşırılıkçılık (Türkiye'de Kürt İşçi Partisi, İspanya'da Bask Milliyetçi Hareketi, Büyük Britanya'da İrlanda Cumhuriyeti Geçici Ordusu, Hindistan'da Khalistan için savaşan gruplar, vb.) milletlerinin çıkarlarını savunuyor ve tanımayı reddediyor. başkalarının çıkarları ve hakları. Ayrılıkçılıkla yakından ilişkili olan milliyetçi aşırılık, çok uluslu devletlerin çöküşüne yol açar (Gasimov, 2015; 72-104). Bask milliyetçilerinin milliyetçi aşırıcılığı temsil eden ve aktif olan ETA (Vatan ve Özgürlük) örgütü, 1960'larda İspanya'da Franco rejimine karşı savaşmak için kuruldu. Üyeleri Fransa, Belçika, İsveç, Avusturya ve diğer ülkelerde faaliyet göstermektedir. İspanya, Madrid Basklarının bağımsızlığını yasakladı ve referanduma izin vermedi. Şubat 2008'de İspanya Yüksek Mahkemesi ülkenin dördüncü en büyük Bask partisini yasakladı. Basklar Strasbourg'da İspanyol hükümetini protesto etti.

Şu ana kadar Kuzey İrlanda'da referandum yapılmasına rağmen, nüfusun çoğunluğu İngiltere'den ayrılmak istemediklerini söyledi. Burada merkezi hükümet bazen ayrılıkçıların taleplerini kabul etmek zorunda kalıyor.

İskoçya'nın bağımsızlık kazanma şansı olmasına rağmen, İskoçlar 2014 referandumunda kalmayı tercih etti. Ancak 1997 yılından itibaren ayrılıkçıların sayısı artmış ve kendi yerel parlamentolarını oluşturmuşlardır. 2007'de yapılan bir ankete göre, İskoçların %45'i bağımsızlık istiyor. Parlatmentonun çoğunluğunu oluşturan iktidar partisi, 2011 referandumunda Birleşik Krallık'tan ayrılmak için bir yasa tasarısı hazırladı.

Dini aşırılık, farklı dinler arasında ve aynı din içinde (Lübnan ve Sudan'daki Müslüman ve Hıristiyan topluluklar arasında, İslami köktencilik, vb.) çatışmalar yaratır. Dini aşırılık bazen herhangi bir dini topluluğu iktidara getirmek için siyasi amaçlarla kullanılır (Mısır ve Ortadoğu, diğer ülkelerdeki Müslüman Kardeşler hareketi). Müslüman Kardeşler, İslam dünyasının uluslararası bir örgütünün rolünü oynuyor. Şubeleri Mısır, Sudan, Suriye, Ürdün, Yemen ve diğer ülkelerde faaliyet göstermektedir. Çeşitli radikal örgüt ve grupları kendi etrafında birleştirir. Aralık 1993'te, Sudan'da yasadışı olarak düzenlenen İslami köktendincilerin uluslararası toplantısına 60'tan fazla örgüt katıldı. Bu etkinlikte kuruluşların faaliyetlerini koordine etmek üzere bir Koordinasyon Bürosu kurulmuştur.

Cezayir, Tunus ve Sudan'da İslamcılar güçlü bir konuma sahipler ve çoğu zaman yetkililerle çatışıyorlar. Afganistan'da El Kaide sadece saldırganlarla savaşmakla kalmıyor, aynı zamanda sadık Afganlara ve Pakistanlılara radikal bir yaklaşımla onları öldürüyor.

Tacikistan'da İslamcıların BDT'deki konumu daha güçlü olduğundan, bu ülkedeki hükümet taviz vermek ve İslamcı muhalefetle iktidarı paylaşmak zorunda kaldı.

Günümüzde siyasi radikalizmin etkisini zayıflatmak, inançlarını sınırlamak ve yapıcı bir yöne yönlendirmek özellikle önemlidir. Çünkü herhangi bir ülkede siyasi radikalizmin konumunun güçlenmesi, bölgede hızla yayılmasına yol açabilir ve yüz binlerce insanı etkileyebilir.

BDT ülkeleri, terörle mücadele operasyonlarına ortak katılım konusunda bir anlaşma imzaladı. 2000 yılında, terörizm ve aşırıcılığın çeşitli tezahürleriyle mücadele için bir işbirliği programı kabul edildi ve BDT Terörle Mücadele Merkezi kuruldu.

Rus kolluk kuvvetlerine göre, ülkede "Rusya Ruslar içindir" sloganı altında dini köktencilik fikirlerine dayalı olarak faaliyet gösteren 200'den fazla örgüt var. Bazıları da terörist grup olarak hareket ediyor.

1990'larda Çeçenya'daki olaylar terörizm olarak değil, askeri aşırılık olarak kabul edilir ve uluslararası hukukta suç eylemleri olarak kabul edilir. Fark, sorunun çözümündedir. Terörizm, sivillere karşı organize aşırılık veya gayri meşru şiddettir. Çeçenya'da gerilla savaşı askeri bir direniş olarak görüldüğü için askeri aşırılık olarak kabul ediliyor. Çeşitli aşırılık biçimlerinin (faşizm, etnik-dini radikalizm, vb.) faaliyetleri sırasında toplumun yavaş yavaş etkilendiği tarihsel deneyimlerden bilinmektedir. Bu nedenle çoğu demokrasi, aşırılıklığa karşı bir önlem olarak yabancı düşmanı saldırganlığa karşı uyarıda bulunur.

Amerika'da ırkçılık yüzyıllardır sürmüş ve seçkinler tarafından desteklenmiştir. John F. Kennedy'nin iktidara gelmesiyle birlikte, farklı ırkların haklarını koruyan bir federal yasa yürürlüğe girdi. Amerika, ırk sorunlarıyla kısa sürede mücadele ederek ırkçı aşırılıkların (Hall Raymond, 1978; 85) faaliyetlerini engelledi. Bugün Amerika Birleşik Devletleri'ndeki nüfusun değişen etnik bileşimi (İspanyolca konuşan ve Asya diasporası), ülkeyi 21. yüzyılın ilk yarısında ayrılıkçılıkla karşı karşıya bırakabilir. 2000 yılına gelindiğinde, beyaz Amerikalılar ülke nüfusunun yüzde 10'unu ve ulusal azınlıkların dörtte üçünü oluşturuyordu. North Carolina Fleet Rock Kongresi'nde 150'den fazla ayrılıkçı parti kuruldu ve güney eyaletlerinin federasyondan barışçıl bir şekilde ayrılacağı açıklandı.

Modern radikalizmin temsilcileri, iktidar partilerinin faaliyetlerini keskin bir şekilde eleştiriyor, aynı zamanda sosyal alanda köklü değişiklikler talep ediyor. İş gününü azaltarak, zenginler için vergileri artırarak, kamu sağlık hizmetlerini geliştirerek, ihtiyaç sahiplerine ücretsiz barınma sağlayarak vb. gerekemek. Onlara göre, bu önlemler toplumu demokratikleştirmeye ve insancılaştırmaya yardımcı olabilir. Tabii ki, bu tür radikalizm, toplumun genel gelişimi ve devletin sosyal sorunlara sürekli dikkati için koşullar yaratabilir.

## SONUÇ

Dünyanın çeşitli yerlerinde yaşanan ayrılıkçılık salgınları, birçok ülkenin bu sorunla karşı karşıya olduğunu gösteriyor. Ayrılıkçılık sadece ulusal zeminde değil, dini zeminde de kendini göstermektedir. Bu sorunun çözümüne şiddet içeren müdahale silahlı çatışmaya yol açmaktadır. Büyük bir etnik grup içinde, asimilasyon, kitlesel baskı, etnik temizlik, sömürü ve ulusal ayrımcılık korkusuyla yaşayan küçük milletler ve etnik gruplar, kendi devletlerini inşa etmede çökmüş yolunu bulurlar. Bu onları ayrılıkçılığa sürüklüyor. Ayrılıkçılığın yoğunlaşmasına bir dizi faktör katkıda bulunur:

- anayasaların ulusal azınlıkların çıkarlarını dikkate almaması;
- kamu politikasında ulusal azınlıkların çıkarlarına ve haklarına kayıtsızlık, ayrımcılık;
- işsizlik, rüşvet ve yolsuzluk;
- Farklı etnik grupların hükümet yapılarında temsil edilmesinin önündeki engeller;
- halkların diline, dinine, kültürüne ve geleneklerine dikkat ve saygısızlık;
- Yabancı ülkelerin özel devlet organlarının faaliyetlerini ihlal etmek;
- hakkını arayanları "ayrılıkçı" olarak etiketlemek.

Dolayısıyla modern zamanlarda ayrılıkçı yatakların varlığı ve alevlenmesi, sorunun zamansız çözülmesi, dış destek, finansman ve ayrılıkçıların kullanılmasından kaynaklanmaktadır. Bunun bir diğer nedeni de geçen yüzyılın sonundan itibaren uluslararası ilişkiler sisteminde "çifte standart" politikasının uygulanmasıdır.

Aşırıcılığın farklı biçimleri vardır. Siyasi aşırılık, siyasi radikalizmin en aşırı biçimidir. Milliyetçi aşırılık, milletler ve halklar arasında ayrımcılık ve düşmanlık yaratır. Dini aşırılık, dini çatışmayı yoğunlaştırır ve merkezi-çevre ilişkilerinde gerilimleri artırır.

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## GNH of Business: Happiness, Satisfaction, Well-being

Vivien Vágner<sup>1</sup>

Prof. Dr.habil. Bencsik Andrea<sup>2</sup>

<sup>1</sup>University of Pannonia, e-mail: vagner.vivien@gtk.uni-pannon.hu, ORCID: 0000-0003-2818-8589

<sup>2</sup>University of Pannonia, e-mail: andrea.bencsik@gtk.uni-pannon.hu, ORCID: 0000-0001-8204-3706

**Abstract:** Organisational happiness and employee well-being is one of the most researched areas of our time.

In this time of crisis caused by COVID-19, it is particularly important to pay attention to our mental health, both in our personal lives and in the workplace.

There are many options and different indices available to detect this organisational characteristic, and our aim was to select the most complex solution.

The purpose of this study to measure the level of happiness in organizations using the logic of Gross National Happiness (GNH), which can identify both employee feelings and organizational conditions.

The research first seeks to clarify the theoretical concepts (happiness, satisfaction well-being), which often overlap or blend with each other.

This paper is an attempt to improve the understanding of different between the mentioned terms. This research is also helpful in understanding the relationship between happiness, satisfaction and well-being.

It then introduces the concept of GNH and its measurement at organisational level.

Based on an adaptation of the concepts, the application of GNH will be illustrated through an example of an organisation, building on a Christian culture far from the Buddhist religion.

The research makes a significant contribution to broaden the studies on GNH of Business.

**Keywords:** GNH of Business, Happiness, Satisfaction, Well-being

### INTRODUCTION

The topic of our research is GNH of Business, the concepts of happiness, satisfaction and well-being.

In this time of crisis caused by COVID-19, it is particularly important to pay attention to the mental health.

One of the objectives of writing this piece is to examine the similarities and differences between the concepts of happiness, satisfaction and well-being, build on this to justify the applicability of the GNH of Business (Gross National Happiness).

We demonstrate by an example the possibility of calculating the GNH of Business index in hungarian cultural conditions.

We present the meaning of satisfaction, well-being and happiness. Based on this exploration, we present the relationship between the mentioned terms. We analyse the theoretical background of the GNH index.

Then we present the method of calculating GNH of Business. We illustrate the evaluation and adaptation of the GNH index through a sample.

### 1.HAPPINESS, SATISFACTION, WELL-BEING

In this chapter we explore the concepts of satisfaction, well-being and happiness. We point out the three concepts similarities and differences between the three concepts.

#### 1.1.Maslow's Hierarchy of Needs

Maslow first published his theory of the hierarchy of needs in 1943, and then developed it further.

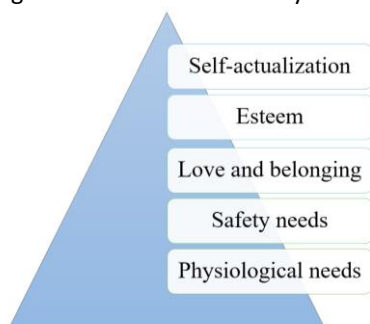
Maslow himself did not depict the different needs as a pyramid, but he believed that there were higher

and lower needs, and as long as the lower needs were not realized, the individual is not capable of higher order self-actualization. Maslow later modified his assertion that humans have the potential for development in them at birth which in many people is so strong that it overwhelms the motivation for basic needs (Maslow,1970).

The original hierarchy of needs five stages model includes:

1. Psychological needs: these are biological requirements for human survival, e.g. air, food, drink, shelter, clothing, warm, sleep.
2. Safety needs: these needs can be fulfilled by the family and society e.g. emotional security, financial security, law and order, freedom from fear, social stability, healthy and wellbeing.
3. Love and belongingness needs: the third level of human needs is social and involves feelings of belongingness e.g. friendship, intimacy, trust, acceptance, receiving and giving affection and love.
4. Esteem needs: the fourth level includes selfworth, accomplishment and respect e.g. status, prestige
5. Self-actualization needs: the highest level in Maslow's hierarchy refers to the realization of a person's potential, self-fulfillment, seeking personal growth and peak experiences (Maslow, 1954).

Figure 1. Maslow's Hierarchy of Needs



Source: Own editing

## 1.2. Satisfaction

Locke (1976), who defines job satisfaction as "a pleasurable or positive emotional state resulting from the appraisal of one's job or job experiences".

One of the most often cited definitions on job satisfaction is the one given by Spector (1997) according to whom job satisfaction has to do with the way how people feel about their job and its various aspects. It has to do with the extent to which people like or dislike their job. That's why job satisfaction and job dissatisfaction can appear in any given work situation.

Job satisfaction can be interpreted as one's attitude towards one's job (Hunt, 1985).

In many studies, the determinants of job satisfaction include clarity of goals, autonomy and the opportunity to participate in goal planning (Arvey, 1976).

Carriere (2009) found a significant positive correlation between communication within the organisation and employee satisfaction positive correlation.

According to Gazioglu (2006) employees who feel safe and secure in all aspects of work all aspects of work than those who fear dismissal.

Hackman and Oldharn (1976) recognized that not all employees will respond positively to a job high in motivating potential. There are three characteristics of people which are especially important in moderating both the job characteristics - psychological states relationship, as well as the psychological states outcome relationship.

They are knowledge' and skill to perform the work, growth need strength, and work context such as pay, job security, coworkers, and managers. At the link between the job characteristics and the psychological states, when the job characteristics and the psychological states, when the job characteristics are good, it is more likely that psychological states will be experienced if moderator variables are high, especially growth need strength than if

moderator variables are low. Referring to the link between the psychological states and outcome variables, individuals with high moderator variables respond more positively to experience of psychological states. In this condition, better outcomes can be predicted.

According to the study conducted by Friedlander and Margulies (1969), it was discovered that management and friendly staff relationships contribute to the level of job satisfaction. However, this result contradicts with view of Herzberg (1966) who supported the view that supervision is irrelevant to the level of job satisfaction. Arnold and Feldman (1996), promoted factors such as temperature, lighting, ventilation, hygiene, noise, working hours, and resources as part of working conditions. The worker would rather desire working conditions that will result in greater physical comfort and convenience. The absence of such working conditions, amongst other things, can impact poorly on the worker’s mental and physical well-being (Baron and Greenberg, 2003). Arnold and Feldman (1996) shows that factors such as temperature, lighting, ventilation, hygiene, noise, working hours, and resources are all part of working conditions. Employees may feel that poor working conditions will only provoke negative performance, since their jobs are mentally and physically demanding.

### 1.3. Well-being

Subjective well-being reflects individuals’ perceptions and evaluations of their own lives in terms of their affective states, psychological functioning, and social functioning. Well-being researchers often use positive mental health synonymously with subjective well-being (Diener, 1999).

As operationalized in the MacArthur Foundation’s Successful Midlife in the U.S. study conducted in 1995, symptoms of emotional well-being include scales of positive affect, negative affect, and satisfaction with life overall. Studies reveal that measures of the avowal of emotional well-being in terms of satisfaction and happiness are related but distinct dimensions (Andrews,1976).

Measures of the expression of emotional wellbeing in terms of positive and negative affect are related but distinct dimensions (Bradburn, 1969).

Beginning with Ryff’s (1985) operationalization of syntheses of clinical and personality theorists’ conceptions of positive functioning, the study of subjective well-being has moved toward a broader set of measures of positive functioning. Positive functioning consists of six dimensions of psychological well-being: self-acceptance, positive relations with others, personal growth, purpose in life, environmental mastery, and autonomy (Ryff, 1989).

Table 1: Conceptions and Operationalizations of Dimensions of Psychological and Social Well-Being

Psychological Well-Being	Social Well-Being
<i>Self-Acceptance:</i> possess positive attitude toward the self; acknowledge and accept multiple aspects of self; feel positive about past life. When I look at the story of my life, I am pleased with how things have turned out so far.	<i>Social Acceptance:</i> have positive attitudes toward people; acknowledge others and generally accept people, despite other’s sometimes complex and perplexing behavior. I believe people are kind.
<i>Personal Growth:</i> have feeling of contined development and potential and are open to new experience; feel increasingly knowledgeable and effective. For me, life has been a continuous process of learning, changing, and growth.	<i>Social Actualization:</i> care about and believe society is positive; think society has potential to grow positively; think self-society is realizing potential. The world is becoming a better place for everyone.
<i>Purpose of life:</i> have goals and a sense of direction in life; present and past life are meaningful; hold beliefs that give purpose to life. Some people wander aimlessly through life, but I am not one of them.	<i>Social Contribution:</i> feel they have something valuable to give to society; think their daily activities are valued by their community. I have something valuable to give tot he world.
<i>Environmental Mastery:</i> feel competent and able to manage a complex environment; choose or create personally suitable contexts. I am good at managing the responsibilities of daily life.	<i>Social Coherence:</i> see a social world that is intelligible logical, and predictable; care about and are interested in society and community. I find it easy to predict what will happen next in society.
<i>Autonomy:</i> self-determining, independent, and regulate behavior internally; resist social pressures to think and act in certain ways; evaluate self by personal standards. I have confidence in my own opinions, even if they are different from the way most other people think.	<i>Social Integration:</i> feel part of community; think they belong, feel supported, and share commonalities with comminity. My community is a source of comfort.



*Positive Relations With Others:* have warm, satisfying, trusting relationships; are concerned about other’s welfare; capable of strong empathy, affection, and intimacy; understand give-and-take of human relationships. People would describe me as a giving person, willing to share my time with others.

Source: Keyes, 2002

### 1.4.Happiness

Many theories of happiness have been proposed since Aristotle’s brilliant insights. These theories can be categorized into three groups: need and goal satisfaction theories, process or activity theories, and genetic and personality predisposition theories. The first constellation of theories centers around the idea that the reduction of tensions (e.g., the elimination of pain and the satisfaction of biological and psychological needs) leads to happiness.

Freud’s (1933/1976) pleasure principle and Maslow’s (1970) hierarchical needs model represent this approach. In support of this view, Omodei and Wearing (1990) found that the degree to which individuals’ needs were met was positively associated with the degree of their life satisfaction.

Although it is difficult to predict how happy an individual will be at any given moment, when affect is averaged across many occasions, stable patterns of individual differences emerge. For example, Diener and Larsen (1984) reported that mean levels of pleasant affect experienced in work situations correlated with average levels of pleasant affect experienced in recreation situations.

Michalos (1985) postulated that happiness is inversely related to the degree of discrepancy from multiple standards, including what one wants, what one has had in the past, and what relevant others have.

One implication of tension-reduction theories is that happiness occurs after needs are met and goals are fulfilled. In other words, happiness is a desired end state toward which all activity is directed. These theories can be compared with models of happiness in which engagement in an activity itself provides happiness. Most notably, Csikszentmihalyi (1975) suggested that people are happiest when they are engaged in interesting activities that match their level of skill. He called the state of mind that results from this matching of challenges and skill “flow,” and argued that people who often experience flow tend to be very happy.

Table 2. Happiness, satisfaction, well-being compare

HAPPINESS	SATISFACTION	WELL-BEING
positive emotions	mental status	optimal state
mental status	emotions	self-acceptance
contentment	mind	positively related to others
intense joy	relief	autonomy
status	philosophy	environmental efficiency
process	religion	life goal
goals	peace	personal growth
serenity	desires	sense of purpose
success	favourable status	identify opportunities
euphoria	emotional state	use of talent
cheerfulness	not wanting better	personal convictions
pleasant feeling	feeling of joy	positive emotions
demand for pleasure	calm state of mine	physical safety

Source: Own editing

We formulated a set of definitions of happiness, satisfaction and well-being.

### **Satisfaction**

Satisfaction is a positive emotional status, peace, calm, joy, relief.

### **Well-being**

Well-being is an optimal state of feeling positive emotions, self-acceptance, autonomy, finding purpose in life, recognition of potential, personal growth. All of this leads us to understand happiness as a process that requires, beyond satisfaction and well-being.

### **Happiness**

Happiness can be a pleasant feeling, cheerfulness, serenity, well-being. Happiness is a mental state. It can also be understood as a process.

### **Happiness, well-being, satisfaction pyramid**

If we assume a hierarchy between the concepts of satisfaction, well-being, happiness, then it can be represented as a pyramid. It is assumed that, like Maslow's pyramid, happiness, well-being, satisfaction pyramid, it is possible to achieve happiness without achieving well-being or satisfaction.

Figure 2. Happiness, well-being, satisfaction pyramid



Source: Own editing

## **2.GNH (Gross National Happiness)**

The concept of Gross National Happiness (GNH) was introduced by His Majesty Jigme Singye Wangchuck, the Fourth King of Bhutan, in the 1970s. GNH draws inspiration from the Buddhist middle path of sustaining a balanced development towards interdependent living (Ura, 2012).

GNH values both tangible and intangible aspects of wellbeing and is not opposed to material and economic progress. But, it rejects the idea of pursuing economic prosperity as the only end goal. It proposes instead, an inclusive, holistic, equitable, sustainable, and balanced development for societal wellbeing (Ura et al.,2012).

GNH has four pillar: good governance; cultural diversity and resilience; community vitality; ecological diversity and resilience. In 2010, Bhutan produced its first GNH index to monitor happiness, and make meaningful changes in operations of the governing bodies (Ura et al., 2012).

CBS and GNH devised a domain-based framework to measure GNH.

The framework includes nine domains of happiness: (1) psychological wellbeing, (2) health, (3) education, (4) time use, (5) cultural diversity and resilience, (6) good governance, (7) community vitality, (8) ecological diversity and resilience, and lastly (9) living standards.

Each of the domains comprise of a list of indicators developed after a series of pilot surveys conducted between 2006 and 2008. The GNH 9 area is further divided into 33 measurable parameters.

Figure 3. The Nine Domains of Gross National Happiness



Source: Zangmo et al., 2017

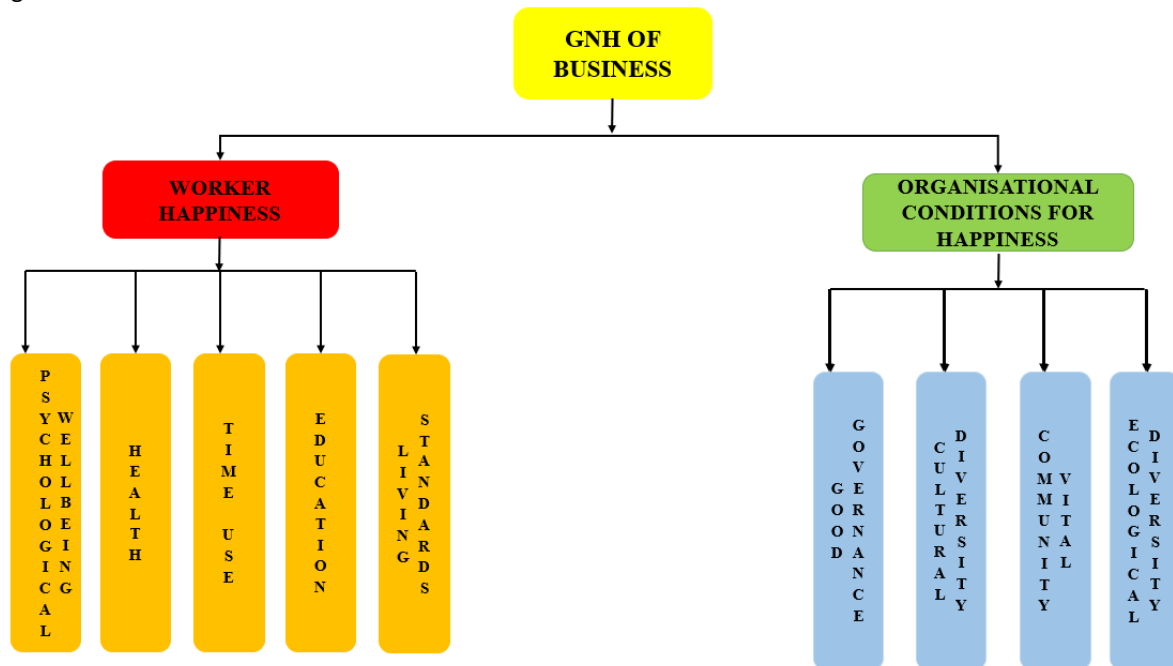
### 3. GNH OF BUSINESS

The idea of incorporating GNH values into business was first proposed by His Excellency Dasho Tshering Tobgay, the Hon'ble Prime Minister of Bhutan, in his keynote address at the Sixth International Conference on Gross National Happiness held in Paro in 2015 (CBS, 2015). The Prime Minister mentioned that the current

business model of overemphasizing profit maximisation and increasing shareholder value at the cost of environment and community was unsustainable. The Prime Minister expressed the need to recognise and manage these costs and risks, and called for integrating GNH values into business operation. Essentially, it meant measuring the success of a business by its ability to serve, facilitate, and engage with its stakeholders. This will require rethinking of business indicators used for gauging their success or failure (Ura, 2012).

Building on experiences of the formulation of GNH Index, the tool is developed by adopting a nine-domain based framework of GNH. For the tool, the nine domains are grouped under two assessment components: (1) worker happiness, and (b) organisational conditions for happiness (Zangmo, et al, 2017).

Figure 4. Assessment Framework for GNH Certification Tool



Source: Own editing based on Zangmo et al., 2017

### Identifying and applying sufficiency threshold

1. The worker happiness is assessed through 29 indicators, composing of 114 variables classified under the five domains of GNH. Similarly, the organisational conditions for happiness comprises of 20 indicators constructed from 102 variables.
2. In the second step, the weights are applied, the thresholds are multiplied by 0 or 1. Two weights were used, the area weight and the indicator weight. The area weight was derived by dividing the total possible score (100) by employee happiness and organisational conditions. Thus, each of the areas used to assess employees has a weight of 20 (100/5), where 5 is the number of areas involved. In the assessment of organisational happiness, each of the four categories used to assess organisational conditions was given a weight of 25 (100/4), where 4 is the number of domains involved. The weights of the indicators should be determined according to a similar principle. The weight of an area is divided by the number of indicators measured within it.
3. Summation and scoring: the value of the two calculated components is calculated by simple summation. The value of the organisational happiness index is given by the weighted sum of the two components, weighted in equal proportions.

### 4. CERTIFICATION PROCESS SAMPLE

In this chapter we explore a sample to the certification process.

#### Certification process has five steps

##### Step 1: Screening

This is the first step towards getting a business certified. During the screening process, a business unit submits a formal request and the eligibility for certification is evaluated. In general, the tool is most applicable for registered companies. The following factors are proposed to be assessed:

1. **Number of years in operation:** The company is running for more than five years.
2. **Separate entity:** The company is independent in its management role of reviewing processes and procedures and allocating resources.
3. **Size and strength:** The company have has 28 workers.
4. **Permanent workers:** The workers are permanent staff.

5. **Adversity:** The company wasn't cause major destruction to environment, community and other stakeholders.

### **Step 2: Planning**

If a company is accepted for appraisal through screening process, then the team will develop a plan for execution. Planning will differ from one business to another depending upon the size and nature of business. Similarly, the length of assessment will depend on the nature of product or service, size, and location of the business establishments.

### **Step 3: Data collection**

The assessment will involve collecting both primary and secondary data. While the data for worker happiness will depend only on primary data gathered using a structured questionnaire, the evaluation of organisational conditions for happiness will rely on both primary and secondary data. The primary data for organisational conditions will be collected from relevant official(s) of the business establishment using a structured questionnaire. To corroborate the information collected from relevant officials through interviews, secondary information such as official reports, transcripts, receipts, and documents will also be referred. The domains and indicators used for assessing worker happiness as well as organisational condition for happiness have been already discussed. Nonetheless, the domains and indicators have been listed in the table below for a quick reference. A total of 49 indicators (29 indicators for worker happiness and 20 indicators for organisational conditions for happiness) will be used for constructing the final score.

### **Step 4: Analysis**

The overall analysis methodology adopted for this assessment tool is like the one used for the GNH Index (Ura et al., 2010).

It has three steps:

- 1) identifying and applying sufficiency threshold,
- 2) determining weighting scheme
- 3) finally, aggregating and scoring.

#### **Identifying and applying sufficiency threshold**

The worker happiness is assessed through 29 indicators, composing of 114 variables classified under the five domains of GNH. Similarly, the organisational conditions for happiness comprises of 20 indicators constructed from 102 variables. This step can be conceptually defined as the identification step, which categorizes the deprived workers from the non-deprived after using a sufficiency threshold. Sufficiency thresholds were identified for each of 49 indicators based on statistical tests carried out after the pre-test of indicators in selected business entities in Bhutan. Like the threshold criteria set for GNH Index (Ura et al., 2015), normative judgments have also been taken into consideration. For instance, for most subjective appraisals, thresholds have been made on the higher side. Thresholds have also been based on national and international standards. For few indicators, thresholds were grounded on national averages. Sufficiency thresholds are applied to assess a worker's sufficiency in each of the 29 indicators. This process results into the replacement of the indicator value with '1s' if the worker has attained sufficiency and '0s' if the worker has not attained sufficiency. Once the sufficiency threshold is applied, a headcount of workers who have attained sufficiency can be computed. For instance, the percentage of workers who attained sufficiency in each of the 29 indicators can be presented for whole surveyed workers to see the overall status (Figure 15), or by different divisions within the establishment to see how they compare from one another. Likewise, sufficiency threshold is also applied to assess organisational conditions of happiness's sufficiency in each of the 20 indicators.

In the second step, weights are applied, that is, the assigned values of 1s and 0s based on sufficiency condition of each indicator, multiplied by their respective weights. Two types of weights are computed for this assessment; domain weight and indicator weight. The domain weight was derived by dividing the total possible score of an assessment component (worker happiness and organisational conditions for happiness) by the number of domains. Note that both components are assessed out of 100. Therefore, the domain weight for each of the domains used for assessing the worker happiness is 20 ( $100/D$ , where D is the number of domains included in worker happiness assessment which is 5). Likewise, each of the four domains used for assessing the organisational conditions for happiness is weighted at 25 each ( $100/D$ , where D represents the number of

domains included in organisational conditions that is 4). The indicator weight was determined using a similar principle. For instance, the weight for each indicator under psychological wellbeing domain is 2.5 (DWt/Ni, where DWt is the domain weight (i.e., 20) and Ni refers to the number of indicators included in the psychological wellbeing domain (i.e., 8).

For both the assessment components, a simple aggregation method will be followed for computing the total assessment score. For the worker happiness, the total score for each worker across i indicators can be represented by the following equation:

$$W_{hap} = \sum_{i=1}^n w_i x_i$$

Where,

$W_{hap}$  is the happiness score of a worker

$n$  is the number of indicators

$i$  is the  $i^{th}$  indicator

$w_i$  is the weight of an  $i^{th}$  indicator

$x_i$  is the value of an  $i^{th}$  indicator

Table 3: List of Indicators Used for Assessing the Worker Source

Worker happiness	
Domains	Indicators
Psychological Wellbeing	1. Job satisfaction 2. Trust 3. Workplace environment 4. Workplace engagement 5. Workplace discrimination 6. Workplace harassment 7. Negative emotions 8. Positive emotions
Health	1. Work stress 2. Nature of work 3. Workplace common space 4. Safety 5. Disability 6. Injury 7. Illness
Time use	1. Work-life balance 2. Work's implication on social life 3. Sleeping time 4. Rest and break at workplace 5. Work schedule 6. Working time
Education	1. Professional development 2. Skills development 3. Scholarships
Living standards	1. Pay and allowances 2. Satisfaction with pay 3. Satisfaction with retirement benefits 4. Satisfaction with leave systems 5. Satisfaction with fringe benefits

Source: Zangmo, 2017

1. Psychological Wellbeing: 7,8%
2. Helath: 10%
3. Time use: 16,5%
4. Education: 7%
5. Living standards: 5%

Whap= 47%

The same methodology will be used for computing the organisational assessment score, except for this component; unlike worker happiness, average scores were not required as each indicator had only a single response that is from the business establishment. The total score across  $i$  indicators can be represented by the following equation:

$$O_{hap} = \sum_{i=1}^n w_i x_i$$

Where,

$O_{hap}$  is the organisational conditions for happiness score

$n$  is the number of indicators

$i$  is the  $i^{th}$  indicator

$w_i$  is the weight of an  $i^{th}$  indicator

$x_i$  is the value of an  $i^{th}$  indicator

Table 4: Organizational conditions for happiness

Organizational conditions for happiness	
Domains	Indicators
Good governance	1. Local employment 2. Workplace issues 3. Compliance with law 4. Audit 5. Attrition 6. Salary gap
Cultural diversity	1. Cultural volunteerism 2. Cultural donation 3. Cultural promotion
Community vitality	1. Community volunteerism 2. Community donation 3. Damages to infrastructure 4. Affect on community health 5. Raw material sourcing 6. Community feedback
Ecological diversity	1. Emission assessment 2. Solid waste assessment 3. Environmental volunteerism 4. Environmental donation 5. Eco-products and services

Source: Zangmo, 2017

1. Good governance: 5,3%
2. Cultural diversity: 0%
3. Community vitality: 7,9%
4. Ecological diversity: 5,5%

$O_{hap} = 19\%$

The overall assessment score of a business establishment is then calculated using the weighted summation of the individual scores of worker happiness and organisational condition for happiness. The weight assigned to each component is 50:50, i.e., 50 percent was allocated to worker happiness and remaining 50 percent to organisational conditions for happiness. The overall assessment score also adds up to 100 i.e., if all the workers as well as the organisation to which these workers belong to have attained sufficiency in all 29 indicators. The overall assessment score for a business establishment is then aggregated using the formula given below:

$$H = (0.5 \times W_{hap}) + (0.5 \times O_{hap})$$

Where,

$W_{hap}$  is the worker happiness score

$O_{hap}$  is the organisational conditions for happiness score

$$H = (0.5 \times W_{hap}) + (0.5 \times O_{hap})$$

$$H = (0.5 \times 47\%) + (0.5 \times 19\%) = 33\%$$

### Step 5: Certification

Based on the overall assessment score, a business establishment will then be classified into one of the following categories. The company are below the average.

Table 5: Categories and indicators of organisational happiness

SCORE	CATEGORY	REMARKS
≤40%	Below average	Require immediate corrective action on multiple fronts
40-59,9%	Average	Identify areas for some major improvement and work on it
60-79,9 %	Good	Needs to improve performance in areas which are behind
≥80%	Very good	Earns GNH certification, if the score for each of the two constituents is not less than 60%

Source: Own editing based on Zangmo et al., 2017

To qualify for the certification, a business entity must fulfil two conditions: first, the overall score must be at least 80 percent and second, scores in each of the two components must be at least 60 percent. A threshold of 60 percent was identified to promote an above average score, which is defined here as between 40-59.99 percent. It is essential to recognize that assessment is not the end goal but rather a starting point to bring in change. At the end of assessment, issues and impacts within business operations is understood which will aid in developing strategies, monitoring risks, and implementing recommendations for integrating GNH. If a business has been GNH certified, then the proposed period of validity is three years including the year of assessment. The validity period of three years has been recommended mainly to incorporate possible changes in workers, organisational structure, and business operations. The business would need to undergo re-assessment to renew the certificate after it becomes invalid.

### CONCLUSION

The results of our research suggest that the GNH index has excellent applicability in the corporate sector.

The concepts of happiness, satisfaction and well-being are not uniformly defined, and the literature often synonyms in the literature.

These concepts cannot be understood in isolation. In our research we have examined the concepts, compared the similarities and differences between them.

The practical example illustrates how the index works.

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## The Green Economy – Important Branch of the Economy

Vladimir Arsovski<sup>1</sup>

<sup>1</sup>Doctorant at UARD, Plovdiv

**Abstract:** The paper deals with the green economy is a new approach to the neoclassical economy that introduces the environment to the economy. A number of studies have noted that Daly H (1974)<sup>1</sup> said that neoclassical economics suffered from "growth mania". If we recall the origins of neoclassical economics, its very name suggests that neoclassical economics is the evolution of classical economics. of the product depends on the cost of its production.

The evolution of the classical economy is the neoclassical economy, which views pricing as a closed system: companies sell products and then recoup production costs. People make choices - profit. This leads to the theory of demand for goods and the provision of productive factors. The main focus of the neoclassical economy is market equilibrium. Market equilibrium is considered to exist when the price and quantity of a product meet the expectations of both producers and consumers - the quantities needed and delivered are equal. Thus, the interaction between supply and demand determines the market price (Newton A.C. and Cantarello E. (2014)).<sup>2</sup>

There is a difference between classical and neoclassical economics in terms of natural resources: the problem of scarcity of natural resources torments the fathers of classical economics, especially Malthus or Mill. They focused on the issue of natural resources and their limitations. However, the neoclassical economy mainly considers the scarcity of natural resources as a basis for determining market prices.

### Introduction

The green economy became an officially recognized sector of the economy in the 1970s as a result of a number of environmental problems. However, well-known scientists such as Pearce D. (2002)<sup>3</sup> argue that the green economy emerged in the United States in 1952 after the creation of the first think tank focused exclusively on natural resources and environmental issues, initiated by President Truman. The US government needed objective data to make political decisions about the nation's natural resources, especially after World War II increased pressure on minerals, agriculture and energy.

The foundations of environmental economics date back to the 18th century, to such a great thinker as Nicolas de Condors and his "Reflections on the Wheat Trade and the Principles of Political Economy and Taxation" (1817), or to Mill with his "An Essay on the Principles of the People of the Village" (1798). They noted the importance of natural resource management in optimizing the economy.

The green economy is a new approach to the neoclassical economy that introduces the environment to the economy. The environmental economy stimulates economic growth and protects the market mechanisms for achieving it. Thus, the green economy is the environmental component of neoliberalism.

According to Ayres R.U. and Kneese A.V. (1969)<sup>4</sup>, the most important feature of the green economy is that it is an "open system". To function, ie. provides goods and services to people, the economy must extract resources (raw materials and fuels) from the environment, process them (turn them into final products for consumption) and get rid of a large amount of dispersed and/or chemically transformed resources (waste), returning them to the environment. Therefore, nature provides and nature receives, nature provides raw materials and receives a product.

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<sup>1</sup> Daly H (1974), Steady-State Economics versus Growthmania: A Critique of the Orthodox Conceptions of Growth, Wants, Scarcity, and Efficiency, Policy Sciences, Vol. 5, No. 2, pp. 149-167.

<sup>2</sup> Newton, A.C. and Cantarello, E. (2014) An Introduction to the Green Economy: Science, Systems and Sustainability. New York: Routledge, p. 9.

<sup>3</sup> Pearce, D. (2002): An Intellectual History of Environmental Economics. In: Annual Rev. Energy Environ. vol. 27, pp. 57-81.

<sup>4</sup> Ayres, R.U. and Kneese, A.V. (1969) Production, consumption and externalities. American Economic Review 59: 282-297.

As noted by Pearce D., Markandya A., Barbier E (1989)<sup>5</sup> “Sustainable development interacts freely with the science of environmental economics in several key respects. A key aspect of the green economy is our understanding of how companies interact with the environment.

Jacobs M. (1999)<sup>6</sup> suggests that the green economy can be described as an attempt to integrate the environment into the conventional or neoclassical framework of economic analysis. The environment is perceived as a collection of goods (goods and services) valued, as well as other goods and services, by people and society. But due to the fact that organic goods are usually free (they have zero price), this value is usually not recognized, which leads to environmental degradation (...) ». Jacobs M. (1999) is less radical in his approach, as he uses classical neoliberal adjustment tools, which were not previously considered because they did not take into account the contribution of economic parameters. Therefore, one of the key issues of the green economy arises: external factors. In fact, this is very important, as Bergh J.C.J.M. van den (2010): "The central concept of a green economy - these are the 'external environmental consequences'. Berg is very persistent on this issue, to the point of arguing: "Without external manifestations, the problem of instability disappears."<sup>7</sup>

However, for Jacobs M.<sup>8</sup>, externalities are a problem with a clear solution: the market itself can fix environmental problems, and economic instruments can provide real solutions to environmental damage. One example would be innovation. Clean technologies are part of the emerging market. In this regard, China published in 2016 its official 13th five-year period, which sets their development goals from 2016 to 2020<sup>9</sup>. This plan builds on previous years and aims to create a solid foundation for "cutting-edge, innovative, coordinated, environmental, inclusive and co-development, which means a green and sustainable economy for the next two decades. By 2020, China expects to reach a GDP of over 92.7 trillion yuan.

In this regard, according to Weintraub's theory, an efficient green economy will be based on the financial benefits of the environment. As participants make rational decisions about preferences, maximizing utility and acting on their own, this can be achieved by optimizing investment in the environment. For example, if clean technologies are beneficial, then the green economy will automatically be established.

Some other authors do link the two neoclassical economies: "The green economy is a study of how we replenish scarce natural resources, taking into account people's preferences for a well-functioning environment that is most supportive of human activities."<sup>10</sup>

The second component of the science of neoclassical economics is the economics of natural resources, which relates mainly to demand, demand and natural resources. The main goal is to understand how natural resources exist in the economy in order to manage them for present and future generations. The fathers of natural resource economics agree with classical economists, for whom the depletion of natural resources plays an important role in their research. For T. Malthus and D. Ricardo, natural resources are an absolute limitation for the population; for J.-A. Nicole Condorcet and J. Mila - Technological progress can slow the shortage of natural resources with a growing population. However, the origins of this area can be traced back to the publication in 1931 of an article by Harold Hotelling entitled The Economics of Exhausted Resources.<sup>11</sup> He laid the foundations for further research in the field of the economy of non-renewable resources.

The cost of a non-renewable resource depends on the duration of its use and the speed of work. In particular, minerals or forests are exploited too quickly and too cheaply, so the impact on future generations is not taken into account. This may explain why the United States did not use its oil reserves until recently.

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<sup>5</sup> Pearce D., Markandya A., Barbier E. (1989) *Blueprint for a Green Economy*. London:EarthScan Publications Ltd, p. 4.

<sup>6</sup> Jacobs, M. (1999) *Green Economy*. London: Pluto Press

<sup>7</sup> Bergh, J.C.J.M. van den (2010). *Externality or sustainability economics?* *Ecological Economics*, 69(11), 2047- 2052. p. 1.

<sup>8</sup> Ibidem

<sup>9</sup> The 13th Five-Year Plan for Economic and Social Development of the People's Republic of China (2016–2020). <http://en.ndrc.gov.cn/newsrelease/201612/P020161207645765233498.pdf>.

<sup>9</sup> Ibidem

<sup>10</sup> Environment Canada (1996) *Handbook on Environmental Economics*. Report 22 March 1996.

<sup>11</sup> Retrieved from <http://msl1.mit.edu/classes/esd123/2003/bottles/Hotelling.pdf> on 3/3/2017.

According to the most famous environmental economist of our time, Constanza Robert (1991), environmental economics is a field of study that "examines the relationship between ecosystems and economic systems in the broadest sense." The transdisciplinary nature of the ecological (green) economy means that it integrates other disciplines - ecology, anthropology, social welfare, etc., which are necessary for integration with the economy if society wants to achieve sustainable development.

This school of philosophy is highly dependent on Costanza Robert, founder of the International Society for Environmental Economics<sup>12</sup>. However, other scientists can also be considered the fathers of environmental economics, for example Martínez-Alier J., Muradian R., (2015) et al.

Boulding K.E. (1966)<sup>13</sup>, a British-American economist and philosopher, published an article entitled Science Fiction: The Economics of the Future Spaceship - Earth. K. Boulding used the term "spaceship Earth", which was invented by George H. (1879)<sup>14</sup> to denote the limited resources available on planet Earth. George envisioned our planet as an interconnected ship: "It's a well-prepared spacecraft, so resources must be allocated appropriately for the crew to survive."

Boulding K.E.<sup>15</sup> it measures well-being and progress not by the rate of economic growth, but by the state of food, oxygen, water, crew health and other needs. The basics of Boulding can be summarized as follows: "... I am tempted to call the open economy a 'cowboy economy', cowboy symbolizes vast plains and is associated with reckless, exploitative, romantic and violent behavior ... The closed economy of the future can to be called in a similar way - the economy of the "astronaut", where the earth has become a spaceship without unlimited reservoirs of anything ... and on which man must find his place in a cyclical ecological system that is capable of continuous reproduction of material form. In the cowboy economy, consumption and production are considered central, and the success of the economy is measured by the carrying capacity of some of the "factors of production.

The astronaut's economy is built in opposition to the cowboy's. The astronaut's successful economy is based on indicators of the nature, extent, quality and complexity of all fixed capital, including the human capital included in the system, and not on indicators of production and consumption. Thus, it would be wrong to measure development through GDP growth. In this regard, criticism of Boulding K.E. for a general mania for growth is summarized in one of his most famous notes: "Anyone who believes that exponential growth can continue indefinitely in a limited world is either a madman or an economist."

The main direction of the astronauts' economy is "maintenance of stocks and any technological changes that lead to the maintenance of a total stock with reduced productivity (ie less production and consumption)". On the other hand, the theory called "Bioeconomics" developed by Georgescu-Roegen N. (1978)<sup>16</sup> is another important contribution to the ecological economy. His essays on the bioeconomy were published in 2011, three years after the premiere of the green economy, and given the overlap of early ecological (green) economic approaches, the bioeconomy is seen as a potential contribution to the green economy.

In his most famous work on the subject, Georgescu-Rögen N. presented bioeconomics as follows: "My new approach, which I propose to name, is bioeconomics. This term aims to continuously take into account the biological origin of the economic process, which fully illuminates the problem of the existence of humanity with a limited supply of available resources, unevenly distributed and unevenly adapted.

Georgescu-Roegen N. talks about three elements that are related to the bioeconomy: depletion of the natural resources of an overpopulated planet; a selfish exosomatic model that gives the human species the ability to develop external organs - devices, instruments - this has given humanity an advantage over other species and

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<sup>12</sup> Costanza, Robert. (1991) Ecological economics: The science and management of sustainability. Columbia University Press, New York. P.3.

<sup>13</sup> Boulding, K.E. (1966) The Economics of the Coming Spaceship Earth. In: H. Jarrett (ed.) 1966. Environmental Quality in a Growing Economy, pp. 3-14. Baltimore, Md: Resources for the Future, Johns Hopkins University Press.

<sup>14</sup> George, H. (1879) Progress and Poverty: An Inquiry into the Cause of Industrial Depressions and of Increase of Want with Increase of Wealth: The Remedy. New York: Appleton and Co., book IV, ch. 2.

<sup>15</sup> Boulding, K. (1973) Attributed to Boulding in: US Congress (1973) Energy reorganization act of 1973: Hearings, Ninety-third Congress, first session, on H.R. 11510. p. 248.

<sup>16</sup> *Ib idem* Georgescu-Roegen (1978) c. 1

this advantage is used against the whole ecosystem; and finally, the monophonic power of rich countries. Metaphorically, we can say that Georgescu-Roegen N. presupposes wealth, like Blaise Pascal's communication vessels, because in developed countries growth breeds growth, suffering breeds suffering, therefore developing countries can only grow when developed countries agree to more low level of their well-being. If so, the dishes will be balanced for everyone.

Despite the peculiarities of this approach, the bioeconomy can be considered part of the ecological (green) economy and therefore one of its main approaches. The green economy advocates the integration of environmental processes and ecological ecology into economic models. As for the key issues of the green economy, we will look at three of them. The first is the issue of external issues, the second is the assessment of natural resources, and the third is the limitation of the Earth or the ability of ecosystems to support the economy.

As Pearce D. (2002)<sup>17</sup> puts it: "Until Boulding K.E. (Earth spacecraft), external problems were usually considered insignificant and manageable deviations from the optimal ones), external problems were usually considered as insignificant and manageable deviations from the optimal ones". K. Boulding shows that the issue of negative externalities should be considered as one of the key areas of the green economy. Probably the main violation of the environment is pollution, which during the publication of the article by Boulding K.E. it simply was not considered a major problem.

Although there has been significant conservation movement in the 1960s, the principle of pollution charges has not been imposed.

This principle was first mentioned in the OECD Recommendation in 1972<sup>18</sup>, in the preparatory process for UNCEP, in the same year, but was not adopted by the UN Conference as a general principle of environmental law and remained within the OECD, which confirmed this in another recommendation two years later<sup>19</sup>. The OECD's position has influenced the EU, which has implemented the Principle in its first environmental action plan<sup>20</sup>. However, the principle of a pollution charge does not solve the problem of external factors, as there is a so-called gray area of pollution. Accordingly, the application of the Pollution Fee Principle is not easy.

As Martínez-Allier J. (1991) states, there is "uncertainty about the functioning of ecological systems, which hinders the application of ecological analysis. Because we do not recognize many external factors, and even those external factors that we do recognize, we still cannot understand whether some are negative or positive, let alone the ability to appropriate present value in monetary terms. In this regard, Hawken P. (1993)<sup>21</sup> argues that the only reason unsustainable goods are usually cheaper than sustainably produced goods is due to the implicit subsidy paid by future generations.

In neoclassical economics, externalities are seen as a minor problem or a problem not worth worrying about. In contrast, environmental economics takes into account external factors or, according to Cato M. (2009)<sup>22</sup>: strive to "return these negative effects to discipline". However, as already mentioned, scientific uncertainty and the difficulty of determining the value of natural resources on the basis of shady prices remain in the green economy.

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<sup>17</sup> Pearce, D. (2002): An Intellectual History of Environmental Economics. Annual Rev. Energy Environ. vol. 27, p. 60.

<sup>18</sup> OECD Recommendation of 26 May 1972, Document OCDE/GD(92)81.

<sup>19</sup> OECD Recommendation of 26 May 1974, Document OCDE/GD(92)81.

<sup>20</sup> EU Environmental Action Plan 1973-1976.

<sup>21</sup> Hawken, P. (1993) The Ecology of Commerce. a Declaration of Sustainability. New York: Harper Business

<sup>22</sup> Cato, M. (2009) Green Economics: An Introduction to Theory, Policy and Practice. Sterling, Va.: Earth Scan Publications Ltd. p. 6.

However, the principle of a pollution charge does not solve the problem of external factors, as there is a so-called gray area of pollution. Accordingly, the application of the Pollution Fee Principle is not easy.

Another important area of the green economy is the assessment of natural resources. The green economy implies that not only human activities have monetary value, but also natural resources. Services provided by nature should not be free. If insurance companies or courts can assess human life, it would be fair to calculate, for example, the cost of extinction of white whales in the marine ecosystem. Although some scholars believe that we must act according to moral principles, the point is that moral principles are weaker than market principles. We must turn again to Hawken P.,<sup>23</sup> who pointed out the right state of affairs: "until we can find the right way to evaluate the forest or the rivers, everything else is in the wrong way, which gives it no value."

However, the assessment of natural resources is not limited to the green economy, but is widely used in the environmental economy and is used regularly. In this regard, the well-known concept of a green economy, in which the assessment of natural resources plays a central role, can be summarized in one line: "An important principle is that resources and the environment serve economic functions and have positive economic value."<sup>24</sup>

The differences between the different areas of research are summarized in Table. 1.

Table 1. Comparison of traditional economy, ecological economy and traditional ecology

	<b>Traditional economics</b>	<b>Ecology</b>	<b>Ecological economics</b>
Worldview	Mechanistic, static, atomistic	Evolutionary, atomistic	Dynamic, systemic, evolutionary
Essence	Usefulness (human only), deficit, market	Evolution of species	Ethics, marginal utility (distribution), environmental sustainability
Time period	Short-term (up to 50 years)	From days to thousands of years (era)	Days of one era, large-scale synthesis
Spatial interval	From local to international	From local to regional	From local to global
Structure of varieties	Only humans	Excluding humans	Ecosystems, including humans
Macro-goal	Growth of the national economy	Survival of the species	Sustainability of the ecological and economic system
Micro-goal	Profit maximization (company), maximum utility (individual)	Maximum reproductive success	Adjusted to meet systemic targets
Concept of technical progress	Optimistic	Pessimistic	Reasonably skeptical
Academic position	Disciplinary	Disciplinary	Interdisciplinary
Type of system	Open	Closed	Closed (green economy), open (environmental economics)
Technology	Resolving resource shortages	No resource shortage issues	Resource shortage issues
Affected	Generations Present	Future (species survival)	Present and future

<sup>23</sup> Hawken, P., Lovins, A., and Lovins, L. H. (1999) *Natural Capitalism: Creating the Next Industrial Revolution*, Snowmass, CO: Rocky Mountain Institute.

<sup>24</sup> Pearce, D., Markandya, A., Barbier, E. (1989) *Blueprint for a Green Economy*. London: Earth Scan Publications Ltd, p. 5.

Principles	Efficiency, rationality, maximization of utility and profit, economic growth	Conservation, independence, survival	Provision of current (modern) and intergenerational capital
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As Van den Bergh J. (2001)<sup>25</sup> points out, the green economy maintains the constraints on growth set by the biophysical world and therefore seeks to use biophysical units and indicators to conduct economic analysis. Therefore, economic planning and analysis must always be carried out taking into account the parameters of the biosphere, because, as Asafu-Adai J. claims. (2005)<sup>26</sup>, the green economy can be defined as a school of thought that explores the relationship between economics and nature, in which people are seen as part of a larger whole.

Most of the scientists have dealt with such restrictions, in particular Rockström J. et al. (2009)<sup>27</sup>, proved that there is some evidence of the limitations of human influence on the Earth's capabilities, namely:

- separation of biomass - according to the calculations of Vitousek P.M. et al. (1986)<sup>28</sup> et al., So far the human economy has adapted about 40% of the net primary product of terrestrial photosynthesis;
- climate change. Fifth Assessment Report of the IPCC 5. Rising temperatures in the atmosphere and ocean system are unequivocal, and rising sea levels are also unprecedented. According to NASA<sup>29</sup>, since 1880 there has been an increase in global temperature by +1.7 degrees Celsius;
- the ozone hole. The Antarctic ozone hole was discovered in 1985 by British scientists Farman, Gardiner and Shanklin. Ozone depletion also exists in the Arctic and Tibet. According to NASA<sup>30</sup>, the current situation in 2016 amounted to about 8.9 million square miles;
- land degradation. According to the US Department of Agriculture, "The productivity of some lands has decreased by 50% due to soil erosion and desertification. Reductions in yields in Africa due to past soil erosion can range from 2 to 40%, with an average loss of 8.2% for the continent. In South Asia, annual productivity losses are estimated at 36 million tonnes of grain equivalent, worth \$ 5,400 million due to water erosion and \$ 1,800 million due to wind erosion. The total annual cost of agricultural erosion in the United States is estimated at about \$ 44 billion per year, or about \$ 247 per hectare of arable land and pastures. Globally, the annual loss of 75 billion tonnes of land costs the world about \$ 400 billion a year, or about \$ 70 per person per year."
- loss of biodiversity. According to IUCN<sup>31</sup>, 1 in 8 birds, 1 in 4 mammals, 1 in 4 conifers, 1 in 3 amphibians and 6 in 7 sea turtles are endangered. 75% of the genetic diversity of agricultural crops has been lost and 75% of the world's fisheries have been completely or overexploited.

Although ocean degradation is not included in the parameters of R. Costanza, it must also be taken into account, as the oceans cover 70% of the planet's surface.

As noted by Biely K. (2014), the goal of the green economy is to maintain the volume of the global economy within the ecosystem's ability to sustain it. The 1900 economy is estimated at \$ 600 billion. Today, the world economy grows by this amount every two years. The green economy is not a movement to reduce growth. So the green economy follows the economy, the green economy is improving, but it is not changing the world on its own. The key difference between the environmental economy and the green economy can be found in the

<sup>25</sup> Van den Bergh, J. (2001) Ecological economics: themes, approaches, and differences with environmental economics. In: Regional Environmental Change, vol. 2, pp. 13-23.

<sup>26</sup> Asafu-Adaye, J. (2005) Environmental Economics for Non-Economists. Techniques and Policies for Sustainable Development. Hackensack, N.J.: World Scientific Publishing.

<sup>27</sup> Rockström, J. et al. (2009) A safe operating space for humanity. Nature 461/7263: 472.

<sup>28</sup> Vitousek, P.M. et al. (1986) Human appropriation of the products of photosynthesis. Bioscience 34 (6), pp. 368- 373.

<sup>29</sup> <https://climate.nasa.gov> retrieved on 4 March 2020.

<sup>30</sup> <https://ozonewatch.gsfc.nasa.gov> retrieved on 4 March 2020.

<sup>31</sup> <https://www.iucn.org/theme/species/our-work/influencing-policy/biodiversity-indicators> retrieved on 4 March 2020.

concept of sustainability. In fact, sustainable development is the central axis of the green economy, but it is not neoclassical. From this point of view, we can say that the environmental economy cares about economic sustainability and the sustainability of the green economy.

According to Biely K. (2014)<sup>32</sup>, the green economy first appeared in UNEP reports in 2008-2009. Confirmation can be found in lines such as "it is widely acknowledged that the old system is no longer working (...) resources, which need to be released can potentially be used to achieve a "critical mass" of investment and employment to start a new sustainable paradigm "2 or in the 2009 Yearbook:" An economic system that encourages overexploitation of natural resources and waste production undergoes a complete reorganization. This is a turning point for the next economic system not to repeat the mistakes of over-exploitation and pollution. "

According to Costanza R. (1991)<sup>33</sup>, the green economy differs from the traditional economy and conventional ecology in terms of the breadth of perception of the problem and the importance it attaches to interaction with the environment.) In fact, a green economy has a wider range of economies It expands to look more broadly in terms of the time, space and parts of the system that need to be approached.

At present, however, the green economy is anthropocentric and "economic", in the latter - the predominance of the economy over the environment. Thus, the green economy is currently under the umbrella of the environmental economy.

Accordingly, from the point of view of this study, the clearest explanation lies in the basic principles: the environmental economy promotes efficiency and green economies promote justice.

The green economy is directly linked to various concepts of growth, most notably green growth, which was first presented in 2005 at the Fifth Ministerial Conference on Environment and Development (ICED) in the Asia-Pacific region of Seoul. It also adopted the Ministerial Declaration and the Regional Plan for Sustainable Development. Green growth is a strategy to sustain economic growth and create jobs to alleviate poverty as part of natural resource deprivation and climate change. It also mentioned that, in the interests of present and future generations, it is necessary to change the course of development from a "grow first, then clean up" approach, "as a way of transferring sustainable growth to the wider community." The conference noted that achieving green growth requires "moving away from the traditional approach and integrating the three pillars of sustainable development, economic and social development and environmental protection"<sup>34</sup>.

Originally founded by the Republic of Korea and an international organization of the Rio + 20 conference, the Global Green Growth Initiative defines green growth in a much more complex way: "Green growth is a new paradigm of revolutionary development that supports economic growth while supporting economic growth. sustainability of the climate and the environment is ensured. It focuses on tackling the root causes of these problems, while ensuring that the necessary channels are allocated for the allocation of resources and access to basic goods for disadvantaged people."<sup>35</sup>

It was mentioned above that the OECD uses the term "green growth" and not "green economy". We can say that the term 'green growth' is the exclusive field of activity of this international organization (Table 6).

In the OECD context, "growth" is a working definition. It is used in the development and implementation of the program and budget of the organization. The organization includes environmental goals in economic strategies. The OECD recognizes that "green growth has become a new paradigm for development capable of meeting both economic and environmental goals"<sup>36</sup>. As such, the organization has developed the terms "green" and "growth"

<sup>32</sup> Biely, K. (2014) The United Nations Environment Programme's Green Economy Initiative: Shifting the Concept with the Global Financial Crisis of 2008. Available at: <http://www.eese2015.org/wp-content/uploads/2015/10/0353.pdf> (accessed 14 August 2017).

<sup>33</sup> Costanza, R. (1991) Ecological Economics: the Science and Management of Sustainability. New York: Columbia University Press, p. 3.

<sup>34</sup> MCED Ministerial Declaration. Preamble. p. 19. E/ESCAP/MCED(05)/Rep. достъпна на: <http://www.unescap.org/sites/default/files/1.%20Report%20of%20the%20Ministerial%20Conference%20on%20Environment%20and%20Development%20in%20Asia%20and%20the%20Pacific%2C%202005.pdf>.

<sup>35</sup> Hammer, S. et al. (2011) Cities and Green Growth: A Conceptual Framework. OECD Regional Development Working Papers 2011/08, OECD Publishing [tps://sustainabledevelopment.un.org/index.php?menu=1447](https://sustainabledevelopment.un.org/index.php?menu=1447).

<sup>36</sup> Ibidem, p.14



separately to facilitate their combination of green sectors, elements, technologies and (good) practices. Thus, from an economic point of view, "growth implies the creation of wealth, measured by gross domestic product or some other indicator that can be used to compare changes in the level of economic viability in a region over time."<sup>37</sup> However, this position lacks a social component that does not necessarily follow from economic and environmental measures.

Small differences can be found in the WB definition: "growth that is efficient in the use of natural resources is clean because it minimizes pollution and environmental impact and is mobile because it takes into account natural hazards, the role of environmental management and natural disaster prevention capital resources'. The WB definition<sup>38</sup> contains the terms "natural hazards" and "environmental management", which is why it is more specific than other definitions. However, when working in the field of environmental management, they have moved from the term "green growth" to a broader term: "inclusive green growth", which is in line with the motto of "Working for a world free of poverty" in in order to add a social dimension to the economic and environmental sphere.

UNEP has developed both concepts at the same time and made ambiguous areas of activity related to the terms "green growth" and "green economy" (Table 2), giving the latter a broader definition as it includes the term "green growth".

Table 2. UNEP concepts of "green growth" and "green economy"

Definition of green growth	Definition of green economy
"Economic progress that promotes environmentally sustainable, low-carbon and socially inclusive development"	Which leads to improved human well-being and social equality, while significantly reducing environmental risks and environmental deficits ... which ensures low carbon emissions, is resource efficient and socially inclusive ... one whose income growth and employment is due to public and private investors, which reduce emissions and carbon pollution, improve energy and resource efficiency and prevent biodiversity and ecosystem services shortages. "

Smulders S., Toman M., Withagen C. (2015)<sup>39</sup> note that the OECD views the concept as „weak green growth“ and UNEP as „strong green growth“, similar to the distinction between weak and strong sustainability. Weakness means that there are usually trade-offs between income growth and the environment, but appropriate policies can mitigate that trade-off. Below are the terms used in the definitions of green economy and other definitions of green growth (Table 3).

Table 3. Key words in the published definitions of green economy and green growth

Sphere of activity	Green economy	Green growth
Social social development; equal	Welfare of the People; social equality; social inclusion; reducing inequality; improving the quality of life; access; meeting the needs of women and young people	Welfare, social inclusion, access to basic goods for disadvantaged people; meeting the needs of food production, transport, construction, housing and energy
Economic sustainable	Growth of Income and Employment; public and private investments; sustainable economy; economic growth; new economic activity	Economic growth and development; technologies and innovations; environmentally sustainable economic progress; economic growth; engine for economic growth; new engines of

<sup>37</sup> Ibidem p.16

<sup>38</sup> World Banks Report Inclusive Green Growth: The Pathway to Sustainable Development. p. 30

<sup>39</sup> Smulders, S., Toman, M., Withagen, C. (2015) Growth theory and 'green growth'. Oxford Review of Economic Policy. p. 425.

		growth; green technologies; new job opportunities; quality growth, not just GDP growth; job creation or GDP growth
Environment	Reduction of environmental risks and environmental threats; low carbon content; effective resource; reduction of carbon emissions and pollution; increasing the efficiency of the use of energy and other resources; prevention of biodiversity shortages and ecosystem services; ecological boundary of the planet; environmental responsibility.	Protection and support of the environment; environmental services; provision of low carbon resources and services; use less resources and reduce emissions; effective resource; climate and environmental sustainability; energy and resource efficiency; minimizing pollution and environmental impact; resilience to threats; harmony between the economy and the environment; environmental protection; GHG reduction.

The data show that international institutions have adopted the term "green growth" and not the term "green economy". One of the most shocking cases is the Treaty, the ultimate legal instrument for EU policy-making. Article 2.3 states that the EU must work for sustainable development in Europe; however, the economic component of sustainable development includes only the concepts of economic growth and price stability. The environmental component includes protecting and improving the quality of the environment.

Finally, the social component is the simple social progress that precedes full employment. Social deficits are known. Is green growth synonymous with sustainable development? The answer is no.

The most important finding is that "green growth is not another name for sustainable development". "Green Growth Policy aims to identify the complementarity of economic and environmental issues in such a way as to identify opportunities for new sources of economic growth." Thus, green growth focuses on two of the three pillars of sustainable development: economic and environmental and is one of the components of sustainable development. The social dimension is covered by green growth initiatives that can deliver social benefits. The relationship between the three components is shown in fig. 6. Therefore, green growth is a prerequisite for creating a green economy in the context of sustainable development and poverty reduction.

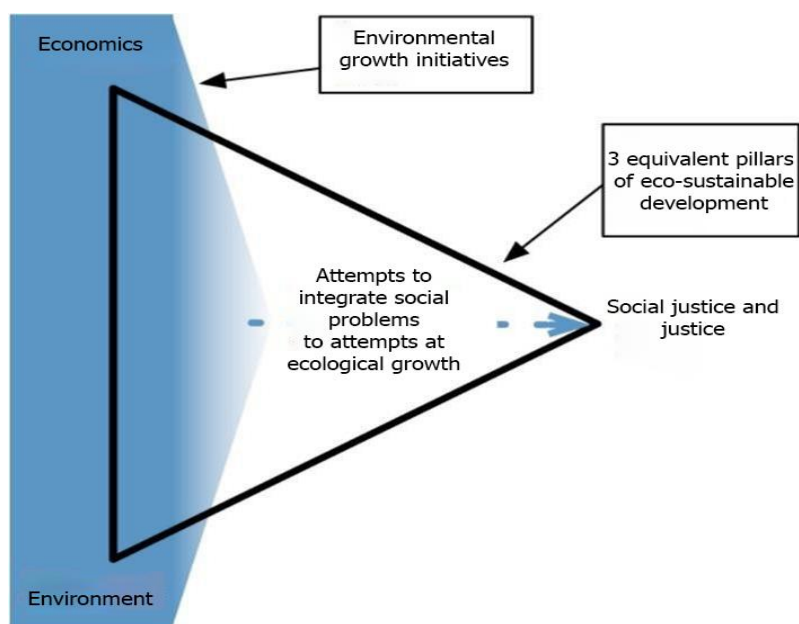
Scientists such as Bina O. and Camera F.L. (2011)<sup>40</sup>, Brockington D. (2012)<sup>41</sup>, Victor P.A. and Jackson T. (2012)<sup>42</sup> argue that growth and, moreover, green growth are limited because natural resources are limited. This is a noticeable difference between a green economy and green growth, as the latter implies growth that the former does not have. The economy must be considered as a whole; it may or may not grow or no, and no definition of economy requires an element of growth as a prerequisite. On the contrary, growth is always linked to the economic sphere.

<sup>40</sup> Bina, O. and Camera, F.L. (2011) Promise and shortcomings of a green turn in recent policy responses to the 'double crisis'. *Ecological Economics* 70: 2308–2316

<sup>41</sup> Brockington, D. (2012) Radically conservative vision? The challenge of UNEP's «Towards a Green Economy». *Development and Change* 43(1): 409-422.

<sup>42</sup> Victor, P.A. and Jackson, T. (2012) Commentary: a commentary on UNEP's green economy scenarios. *Ecological Economics* 77: 11-15.

Fig. 1. Components of sustainable development



The above arguments have a realistic view of green growth. As evidenced by the 2008 financial crisis, the current model of forced consumption, the cult of money and the corruption of moral values in finance are not an appropriate basis for a green economy in the face of growth. Green growth fits better into the real economic paradigm. While the green economy has a slightly different theoretical framework for green growth, in practice the green economy and green growth are the same, as both are applied in the neoliberal economic system.

In November 1990, the Intergovernmental Panel on Climate Change (IPCC) presented the report "IPCC's First Climate Change Assessment Report", which provides evidence that climate change is the result of increased concentrations of greenhouse gases in the atmosphere due to human activities. Two years later, the UN General Assembly adopted the United Nations Framework Convention on Climate Change (UNFCCC)<sup>43</sup>, which has become a landmark in the fight against climate change and is one of the most significant achievements in the field of environmental law of all time.

The term "low carbon development" comes from the UK Department for International Development (DFID) to identify projects to support climate change programs in developing countries to achieve low carbon growth. With the development of low-carbon development, it is imperative that the growth rate of emissions be lower than the growth rate of GDP. Low-carbon development encompasses at least seven related terms: climate-compatible development, low-carbon economy, low-carbon emissions, low-carbon city, clean society and low-carbon society, all of which lie between climate change and development.

The GP has two positions on this issue, which formally stem from the IPCC's fourth evaluation report (2007); it highlights the controversial question of which approach is a priority: climate or development?<sup>44</sup> One position on low-carbon development was expressed in the 2008 report, which sets out a broad vision for development-focused low-carbon development. "Development can be a driving force in solving climate problems." This concept is also called "Environmentally Friendly Society", whose study presents sustainability as an inevitable result of policy-making on "technological and organizational innovation, international and regional cooperation, targeted technology and investment flows and work to reconcile stakeholder interests"<sup>45</sup>.

<sup>43</sup> UN Conference of Environment and development, Rio de Janeiro, 3-14 June 1992. Unofficial name – Earth Assambley.

<sup>44</sup> T. Morita and col.. (2001): *Greenhouse gas emission mitigation scenarios and implications*. Climate Change 2001: Mitigation. Contribution of Working Group III to the Third Assessment Report of the IPCC (Metz, B., Davidson, O., Swart, R. and Pan, J. (eds.)). Cambridge, UK: Cambridge University Press

<sup>45</sup> Ibidem.

Measures for the successful operation of a society that cares about the cleanliness of the environment: (a) actions that follow the principles of sustainable development, covering the development of the needs of all social strata of the population; (b) global efforts to stabilize atmospheric concentrations of CO<sub>2</sub> and other greenhouse gases at levels that avoid dangerous climate change; (c) improving energy efficiency and the use of low-carbon energy sources and production technologies; (d) structure and dynamics of consumption that correspond to low greenhouse gas emissions. This concept focuses mainly on the elements of global emissions reduction, clean technologies and social sustainability.

The second position is narrower, but there is a practical approach. Low-carbon development is not about sustainability, it's about growth. And his vision is very simple: low-carbon development is all that aims to achieve growth using less carbon: less fossil fuels, less pollution, less deforestation. Conversely, more low-carbon energy, more low-carbon innovation and technology, more natural carbon sinks, more low-carbon practices and dynamism. Therefore, the rational use of natural resources is impossible without growth and vice versa.

From all the above, it is easy to conclude that low-carbon development is part of the green economy, not a separate concept for it. Both concepts are clearly interrelated. Despite differing views on the subject, both concepts cover traditional economic terms such as growth and development. However, low-carbon development is a combination of economy and climate change, which makes this area unique in the context of a green economy.

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## The Role of Human Capital in the Entrepreneurial Ecosystem of the Republic of Moldova: Opinion of Entrepreneurs

Novac Alexandra<sup>1</sup>

<sup>1</sup>PhD, research associate professor, National Institute for Economic Research, Republic Moldova, alecsandra\_novac@yahoo.com, ORCID: 0000-0002-4158-4917

**Abstract:** The purpose of this article is to identify the barriers of entrepreneurs regarding the human capital component as part of entrepreneurial ecosystem in the Republic of Moldova based on a survey of entrepreneurs. The research methodology is based on the statistical data analysis; the results of a pilot survey of 106 entrepreneurs from the sector of small and medium-sized enterprises, carried out and implemented with the participation of the author. The survey was conducted between April and May 2021. The findings of the empirical study reveal that the importance of the human capital issue for most entrepreneurs is primarily associated with labor migration and population emigration, marking a worsening trend in recent years. On the other hand, the existence of digital skills for staff, according to respondents, would be an advantage for business development.

**Key words:** entrepreneurial ecosystem, entrepreneurship, human capital, small and medium-sized enterprises (SMEs), business environment, Republic of Moldova

**JEL codes:** L26, L53, K29

### 1. INTRODUCTION

Entrepreneurial ecosystems have been a topic of great interest to practitioners, government decision-makers, and scientists in recent years. Many studies have investigated the nature, components, institutions, and dynamics of entrepreneurial ecosystems in order to improve the support measures of the entrepreneurship development (Mack, E. & Mayer, H., 2016; Roundy, P. et.al., 2018).

Human capital is an essential component of the entrepreneurial ecosystem. The existence and dynamic progress of an enterprise are primarily affected by the availability and quality of human resources. It has already become an axiom that the most profitable capital of the company is its employees. Human capital components have long been considered a critical resource for business prosperity (Unger, JM. et al., 2011).

The Organization for Economic Co-operation and Development (OECD) defines human capital as "the knowledge, skills, competences and other attributes embodied in individuals that are relevant to economic activity" (OECD, 1998).

Some scholars state that entrepreneurship and entrepreneurial education have an impact on human capital development as a component of the entrepreneurial ecosystem. For example, according to Martin, McNally, & Kay (2013) research, there is a relation between entrepreneurial education and entrepreneurial results, considering that „entrepreneurship specific human capital training can be influenced by entrepreneurship-specific education”. A similar opinion is stated by D. Isenberg (2011), in his entrepreneurial ecosystem approach, who mentioned that “human capital is upgraded through training and experience”. Both, specialists and entrepreneurs, as components of human capital are indispensable for entrepreneurship development.

Today, there are a wide variety of methods for assessing the development of entrepreneurial ecosystem and there is no single approach of the key domains and indicators that are evaluated. Thus, various organizations and researchers offer their own approach on the main constituents/indicators, level of details, sectoral or domain focus when assessing an entrepreneurial ecosystem. Analyzing different approaches for assessing the entrepreneurial ecosystem, developed by various organizations, consultants and universities, we have focused on the role of human capital component as part of an entrepreneurial ecosystem. Thus, Babson College identifies that an entrepreneurship ecosystem is composed of dozen elements that interact in complex ways. In this approach the role of human capital is to examine both the quality of higher education system and the skill level of the work force (Isenberg D., 2011).

Human capital is one of the 14 pillars identified to assess the health of an entrepreneurial ecosystem by the Global Entrepreneurship and Development Index, developed by George Mason University. To assess this component, the question that is seek to be answered is “Are entrepreneurs highly educated, well trained in business and able to move freely in the labor market?” (Acs, Z.J. et. Al., 2019).

The framework of the entrepreneurship ecosystem developed by World Economic Forum (WEF) consist in a combination of four types of “enablers”: personal enablers (mentors and education), financial enablers (banks investors and microfinance), businesses enablers (incubators and networking associations) and environmental enablers (regulatory framework, infrastructure and culture). According to the WEF entrepreneurial ecosystem components, human capital consists of management talent, technical talent, entrepreneurial company experience, access to immigrant workforce. Also, the education and training component is based on the available workforce with pre-university education, available workforce with university education, entrepreneur-specific training (World Economic Forum, 2013).

The Entrepreneurship Measurement Framework, developed by the Organization for Economic Co-operation and Development (OECD) contains 3 categories of indicators, separate but interconnected, which "measure" the entrepreneurship not only in terms of the manifestation of entrepreneurship, but also in terms of the main influencing factors of entrepreneurship (determinants) and the impact of entrepreneurship on job creation, growth and poverty reduction. These determinant factors have been grouped into six categories that contain a number of components that influence the development of entrepreneurship: 1) Regulatory framework; 2) Market conditions; 3) Access to finance; 4) R&D technology; 5) Entrepreneurial capabilities; 6) Culture. The entrepreneurial capabilities include the human and social capital of the entrepreneurs. In other words, it includes training and experience of entrepreneurs, business education and entrepreneurship education (skills), entrepreneurship infrastructure (regional networks of skilled and specialized advisors with relevant skills and knowledge that assist entrepreneurs), immigration (as a source of increasing the number of capable entrepreneurs) (Ahmad, N. & Hoffman, A., 2007).

The analysis of existing approaches of the main constituents of human capital as part of an entrepreneurship ecosystem allows us to conclude that the most often identified are such types of features as the prevalence of skilled human capital, the entrepreneur’s and employees level of education, the staff training as a source of increasing the employees’ quality.

## 2. BACKGROUND: BRIEF DATA ON HUMAN CAPITAL OF REPUBLIC OF MOLDOVA IN THE GLOBAL COMPETITIVENESS INDEX

A relatively objective picture of the state of various aspects of a country's economy, including the country's business environment, can be reflected in the analysis of indicators presented by international rankings, such as the Global Competitiveness Index. According to the Global Competitiveness Report, in the Republic of Moldova, the labor force in the business environment is insufficient and poorly prepared for the enterprise growth. Moreover, lately, the problem of staff, according to entrepreneurs, is getting worse. According to the Global Economic Forum, in 2019 our country accumulates a score of only 3.2 out of 7 for the indicator on the ease of finding qualified employees, ranking among the last places in the ranking (136th place). The indicators that characterize workforce skills have accumulated a rather low score (3.2-3.5), showing us that it is necessary to continue a sustained effort to improve the way the education and training system works. A rather favorable situation is attested by the indicator of digital skills in the active population (55th place and a score of 4.5 in 2019) (World Economic Forum, 2019). This image of human capital is also confirmed by the results of the survey of entrepreneurs.

Table 1. Indicators that characterize human capital for the Republic of Moldova in the “Global Competitiveness Index” ranking

Indicators		2017	2018	2019
Extent of staff training (1-7)	Rank	126	117	112
	Value	3.2	3.4	3.6
Quality of vocational training	Rank	...	117	114
	Value	...	3.4	3.5
Skillset of graduates	Rank	...	115	106
	Value	...	3.5	3.6
Digitals skills among active population	Rank	...	57	55
	Value	...	4.4	4.5
Ease of finding skilled employees	Rank	...	135	136
	Value	...	3.2	3.2

Source: The Global Competitiveness Reports (2017-2018; 2018; 2019)

As shown in the analysis of international rankings, in terms of skilled labor, the Republic of Moldova is in a precarious situation. However, the analysis of the policy documents shows that some actions have been taken in Moldova in recent years for the development of certain aspects of human capital. Entrepreneurship education, in particular, is an important precondition for encouraging job creation and increasing the number of start-ups. At the legislative level, in the Republic of Moldova, the entrepreneurship education is carried out within two state policies: 1) Entrepreneurship development policy, including SME support, 2) Education policy, part of which is entrepreneurship education and training of entrepreneurial skills, especially among young people. The responsibility for entrepreneurship training and education policies is shared between several institutions: the Ministry of Education and Research is responsible for entrepreneurial development in the education system; the Ministry of Economy, a leader in promoting entrepreneurial learning in non-formal education, has developed and implemented, through the Organization for the Development of Small and Medium Enterprises, programs for young entrepreneurs and employees; the National Employment Agency organizes trainings, which include some forms of entrepreneurship education.

Given the complexity of entrepreneurial ecosystems, the specifics of the components of entrepreneurial ecosystems and their dynamics in countries with emerging economies, including the Republic of Moldova, are insufficiently studied. The article aims to solve two objectives: (i) to assess the impact of human capital indicators on the development of entrepreneurship in the Republic of Moldova according to the opinion of entrepreneurs; (ii) to determine the changing trends of these indicators / component over 2 years (in 2021 compared to 2019).

### 3. DATA SOURCES AND METHODS

The data for research in this article were obtained in the framework of the research project "Multidimensional assessment and development of the entrepreneurial ecosystem at national and regional level in order to boost the SME sector in the Republic of Moldova" (20.80009.0807.38), developed within the National Institute of Economic Research of Moldova with the active participation of the author.

The primary data for the assessment of human capital as a component of the entrepreneurial ecosystem in the Republic of Moldova were obtained using the survey method. A total of 106 entrepreneurs from small and medium-sized enterprises were interviewed in a pilot survey. The survey took place between April and May 2021. The structure of the sample matches the structure of the overall SMEs sector in terms of the main characteristics of the selection. The results obtained were generalized and processed using the SPSS Statistical Analysis Program.

Based on the general results obtained for each indicator of the entrepreneurial ecosystem component, the *perception index of the change of the entrepreneurial ecosystem component* was calculated. The perception index reflects the share of surveyed entrepreneurs, who indicated on the positive changes of the entrepreneurial ecosystem indicators of the human capital (in relation to the total number of respondents, who indicated any change).

The following formula were used to calculate the perception index of the change of the indicators of the entrepreneurial ecosystem component:

$$I_{ee} = \frac{I_{ee \text{ improved}}}{I_{ee \text{ improved}} + I_{ee \text{ worsened}}} \times 100\% \quad (1)$$

where,

$I_{ee}$  – the perception index of the change of the entrepreneurial ecosystem component,

$I_{ee \text{ improved}}$  - the share of entrepreneurs, who indicated on the improvement of the situation,

$I_{ee \text{ worsened}}$  - the share of entrepreneurs, who indicated on the worsening of the situation.

The answers, in which it was indicated on the lack of changes, were excluded from the calculations. Theoretical diffusion indices can change from 0% (minimum) to 100% (maximum). The critical values of the index are as follows:

**=100%**, if absolutely all respondents point to positive change in the indicators of the entrepreneurial ecosystem component.

**From 50 - 100%**, positive assessments predominate. At the value of the index higher than 85% - the result is considered to be sufficiently positive.

**50%** – the number of positive evaluations is equal to the number of negative ones.

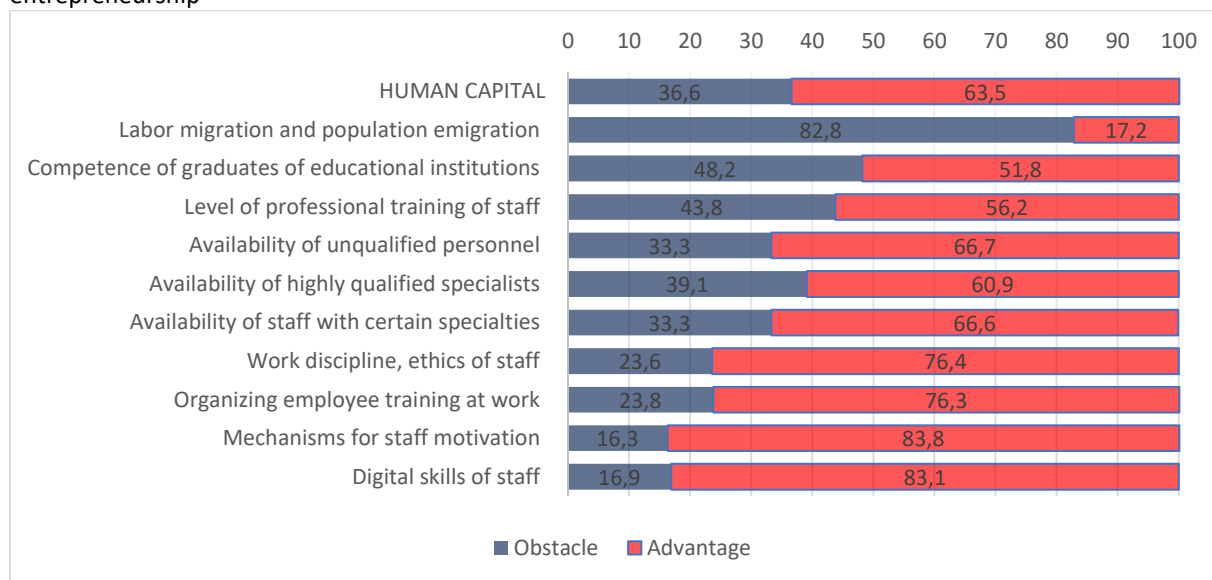


**From 0 to 50%**, negative assessments predominate. At the value of the index up to 15% - the result is considered to be extremely negative.  
**=0%**, if absolutely all respondents indicated the negative change in the indicators of the entrepreneurial ecosystem component.

#### 4. RESULTS AND DISCUSSIONS

Assessing the extent to which human capital has an impact on the development of entrepreneurship, 36.3% of respondents mentioned that they encounter difficulties in terms of labor issues. The importance of the human capital issue for most entrepreneurs is associated with labor migration and population emigration (an obstacle for 82.8% of respondents who assessed this indicator). The phenomenon of migration significantly influences employment, including both the urban environment, but it is particularly intense for the rural area. There are significant discrepancies by area of residence. The proportion of entrepreneurs in rural areas, for whom labor migration is an obstacle was 90.9% with 10.6 pp. higher than in urban area (80.3%).

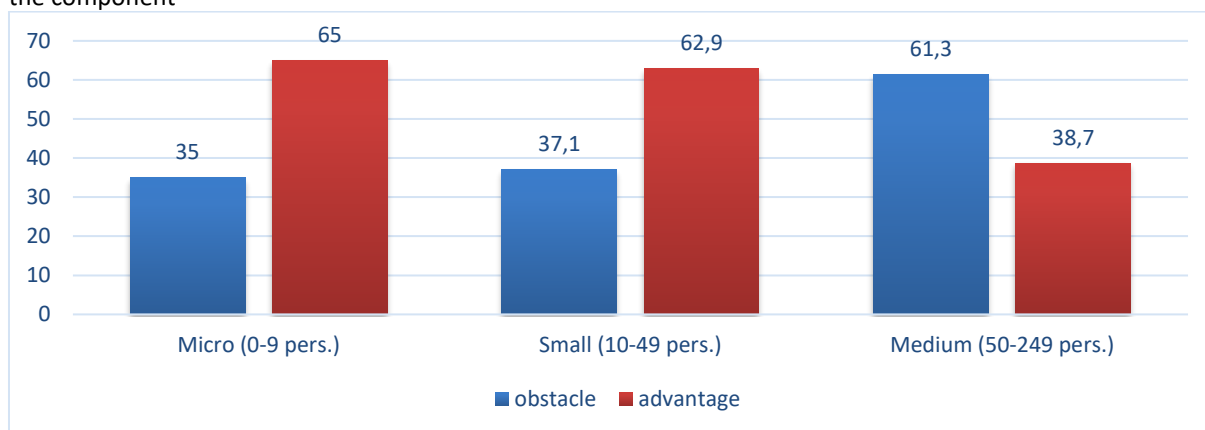
Figure 1. Assessment of the impact of the indicators of the „Human Capital” component on the development of entrepreneurship



Source: developed by the author based on the results of the entrepreneurs' survey

*The competence of the graduates of the educational institutions and the level of professional training of the staff* is also a rather significant obstacle for the enterprises (were indicated as an obstacle for 48.2% and 43.8% of the respondents, respectively), which reflects a rather low level of human capital training. Quite often, entrepreneurs indicated that they face *the lack of highly qualified specialists* (an obstacle for 39.1% of respondents who evaluated this indicator). About a third of respondents indicated as an obstacle the *availability of unskilled staff and staff with certain specialties*. Considerably less frequent entrepreneurs reported the problem of staff digital skills (only 16.9% of interviewed entrepreneurs indicated on this issue) and staff motivation (16.3%). On the other hand, most entrepreneurs consider that namely the existence of *digital skills* (83.1%) among employees and the existence of mechanisms to motivate the company staff (83.7%) would represent an important advantage for business development. The importance of a *high entrepreneurial culture of the staff* and the *organization of employee training* would be a potential advantage for about 76% of respondents who assessed the respective indicators.

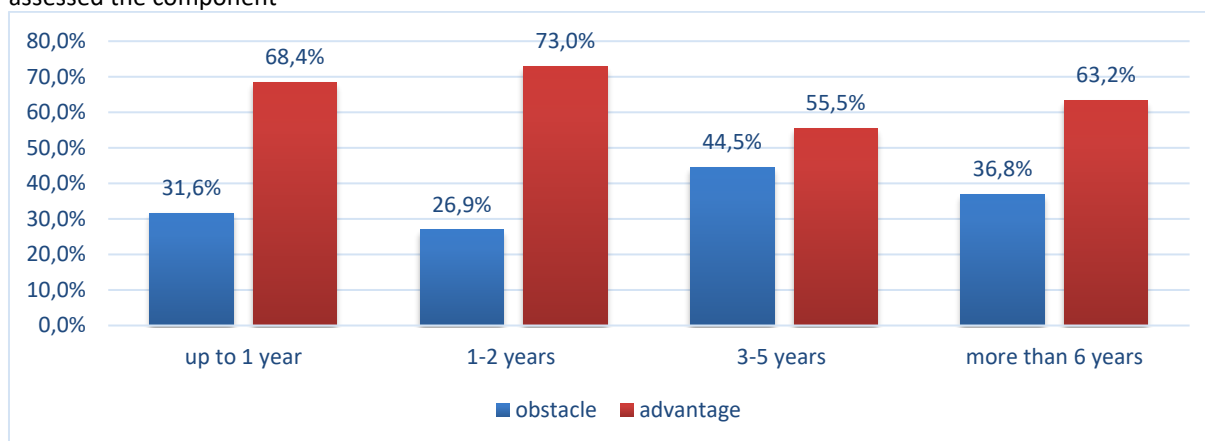
Figure 2. Assessment of the "Human Capital" component by size of enterprise, % of respondents who assessed the component



Source: developed by the author based on the results of the entrepreneurs' survey

Depending on the enterprise size, the larger the enterprise is, the more human capital issues represent a problem for business development and the ecosystem as a whole. Medium-sized enterprises are relatively more likely to face problems related to human capital (an obstacle for 61.3% of respondents).

Figure 3. Assessment of the "Human capital" component by age of the enterprise, % of respondents who assessed the component



Source: developed by the author based on the results of the entrepreneurs' survey

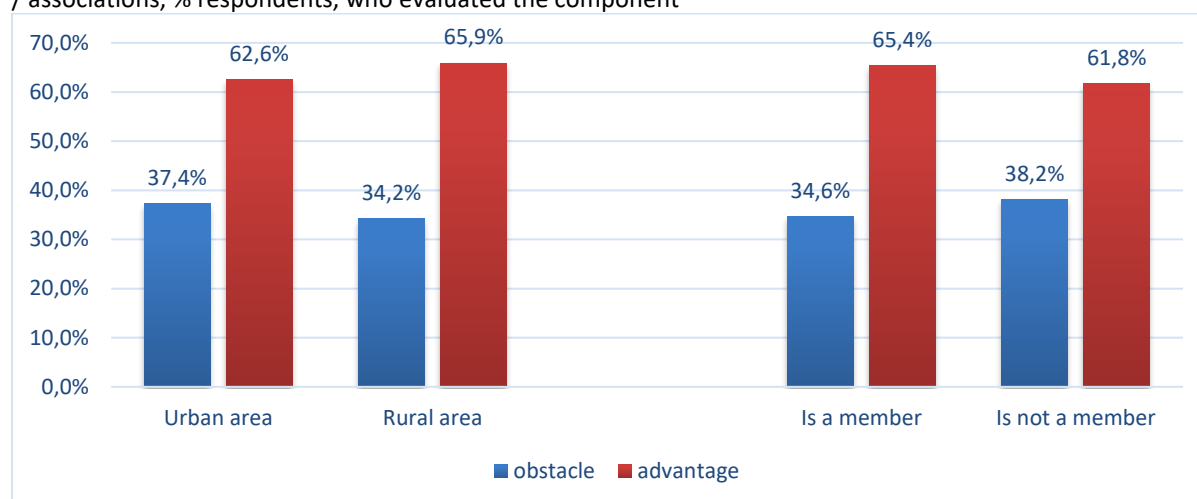
The approach of the difficulties characteristic to the "Human Capital" component according to the age of the SMEs reveals mainly the following:

- To a relatively greater extent, the longer the term of activity of the enterprise, the more frequently the enterprise faced the problems related to the personnel (obstacle for 36.8% of enterprises older than 6 years; 44.5 % -for enterprises with a term of activity between 3-5 years).
- Businesses with a term of activity of 1-2 years indicated, to a greater extent, that human resources would represent rather a potential advantage for the development of the entrepreneurial ecosystem (73.1% of respondents who assessed the component).

Businesses in urban areas, on average, faced challenges related to human capital relatively more frequently (obstacle for 37.4% of respondents) than those in rural areas (34.2%).

It is noteworthy that for entrepreneurs who are not members of associations, the problem of human capital was indicated relatively more frequently (38.2%) compared to companies belonging to certain associations (34.6%).

Figure 4. Assessment of the “Human capital” component according to the area and membership in organizations / associations, % respondents, who evaluated the component



Source: developed by the author based on the results of the entrepreneurs' survey

*Trends in changing of the main indicators that characterize human capital.* The overall assessment of the change in the indicators that characterize human capital in the country as a whole, carried out by entrepreneurs, reveals the following: a relatively large share of entrepreneurs consider that the situation has not changed (42.15%), more than a third of entrepreneurs (37.2%) assume that the situation has worsened, and only 20.6% of respondents believe that the situation has improved (Table 2). Such a representation of the responses reflected the overall value of the perception index of entrepreneurship ecosystem component (35.6%), which shows the predominance of negative assessments over positive assessments, regarding the change in the human capital component in the last two years.

The worsening trend to a relatively large extent refers to the indicators of labor migration and population emigration (lee=6.9%), availability of highly qualified specialists (lee=20.9%), competence of graduates of educational institutions (lee=22.9%), the availability of unqualified staff (lee=23.6%), the availability of staff with certain specialties and the level of professional training of the staff (lee=25.5%).

On the growing importance of the issues regarding the access to human capital with the necessary specialties and the access to staff with the necessary qualifications, the entrepreneurs indicated in the process of several questionnaires, including those conducted at the National Institute for Economic Research in 2011-2013. Significantly, a few years ago there were not enough specialists with certain qualifications, and in recent years - already there is a lack of personnel with certain specialties and a level of professional training of staff that does not meet the expectations and needs of employers.

A relatively higher share of respondents indicated the trend of improving the digital skills of staff (lee=80.3%) and the organization of employee training at work (lee=57.7%) (Table 2).

Table 2. The change in the situation of the “Human Capital” component in 2021 compared to 2019, % of respondents

Component/Indicators	The change in 2021 compared to 2019, % of respondents*			Perception Index %*
	Improvement	No changes	Worsening	
<b>Human Capital</b>	<b>20,6</b>	<b>42,2</b>	<b>37,3</b>	<b>35,6</b>
Digital skills of staff (level of use of personal computers, knowledge of programs, etc.)	54,3	32,4	13,3	80,3
Organizing employee training at work	29,7	48,5	21,8	57,7
Mechanisms for staff motivation (conditions, evaluation and remuneration of work, psychological climate, etc.)	27,9	44,2	27,9	50,0
Entrepreneurial culture of staff (work discipline, ethics, etc.)	25	38,5	36,5	40,6

Availability of staff with certain specialties	13,7	46,1	40,2	25,5
Level of professional training of staff	13,6	46,6	39,8	25,5
Availability of unqualified personnel	12,6	46,6	40,8	23,6
Competence of graduates of educational institutions	10,8	52,9	36,3	22,9
Availability of highly qualified specialists	13,5	35,6	51,0	20,9
Labor migration and population emigration	4,9	30,1	65,0	6,9

\*% entrepreneurs, who evaluated the change of the human capital indicators

Source: developed by the author based on the results of the entrepreneurs' survey

Analyzing all the indicators, those were selected, the value of which, according to the perception index, is close to the maximum (at which  $lee \geq 85\%$ ) or the minimum (at which  $lee \leq 15\%$ ). The indicators that characterize human capital did not register values of the perception index close to the maximum threshold at which  $lee \geq 85\%$ , which reflects a rather precarious situation regarding the availability and quality of human resources. The most negative trends, which have a low critical level according to the entrepreneurial ecosystem perception index (not exceeding 15%), in the opinion of entrepreneurs, refer, first of all, to labor migration and population emigration ( $lee = 6.9\%$ ).

## 5. CONCLUSIONS

Generalizing the results of the entrepreneurs' responses regarding the impact that human capital has on the development of the entrepreneurial ecosystem, the following conclusions can be drawn:

- The results of the survey showed that in the last 2 years (2019-2021), in the opinion of the relative majority of entrepreneurs, the situation regarding human capital has worsened. The perception index of the entrepreneurial ecosystem (of the human capital component) constituted 35%, which shows the predominance of negative evaluations over the positive ones, referring to the change of the situation in the last two years.
- The most negative trends in the last 2 years, in the opinion of entrepreneurs, refer, first of all, to labor migration and population emigration (65% of respondents rated this indicator negatively,  $lee = 6.9\%$ ).
- At the same time, significant worsening trends in the last 2 years (2019-2021) marked the indicators regarding the availability of highly qualified specialists, the competence of graduates of educational institutions, the availability of unqualified staff, the availability of staff with certain specialties and the level of professional training of staff.
- The importance of the human capital issue for most entrepreneurs is associated with labor migration and population emigration. The phenomenon of migration significantly influences employment, including both the urban environment, but it is particularly intense for the rural environment. The determinants of labor migration are essentially of economic nature: low wages, low economic opportunities for employment in rural areas (excluding agriculture), as well as living conditions, and quality of housing in rural areas.
- The competence of graduates of educational institutions and the level of professional training of staff is also a rather significant obstacle for companies, which reflects a rather low level of training and quality of human capital.

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## Reforming the enforcement of State aid: the Commission's latest Recovery Notice

Dr. Anduena Gjevori<sup>1</sup>

<sup>1</sup>Lecturer of Law, University "Aleksander Xhuvani", Elbasan, Albania, anduena.gjevori@uniel.edu.al

**Abstract:** The effectiveness of the State aid control depends, inter alia, on an essential instrument which is the recovery of unlawful State aid. In 2019, in the framework of the 2012 reform of State aid regime - the State Aid Modernisation (SAM) - the European Commission approved a new Notice on the recovery of unlawful and incompatible aid, replacing the former Notice of 2007. The 2019 Recovery Notice provides the actual guidelines on recovery of unlawful and incompatible State aid. This article will provide the main issues of the Commission's latest Recovery Notice. It will point out the essential roles and importance of the cooperation between the European Commission and the Member States in implementing recovery decisions. The article argues that the Recovery Notice is in line with the actual regulatory framework on State aid and the case law of the Union Courts.

**Key words:** Unlawful aid; Incompatible aid; Recovery.

### 1. Introduction

Pursuant to Article 108 (3) Treaty on the Functioning of the European Union (TFEU) Member States are under obligation to notify in advance the European Commission (Commission) of any State aid measure they intend to grant. Moreover, they cannot implement the notified aid measure before the Commission has approved them, the standstill obligation.<sup>1</sup> Consequently, member State are obliged to recover unlawful State aid, for example "new aid put into effect in contravention of Article 108(3) Treaty on the TFEU".<sup>2</sup> However, except for being disbursed in contravention with abovementioned standstill obligation, aid should have also been declared incompatible with the internal market, in order to be recovered from the beneficiary. Furthermore, the misuse of State aid<sup>3</sup> by the beneficiary undertaking constitutes an infringement of the standstill obligation.<sup>4</sup>

The Treaty is silent about what happens after the Commission has issued a decision pursuant to which a given aid measure is unlawful and incompatible with the internal market. In 1973, the Court of Justice formally acknowledged the competence of the Commission to order the recovery of unlawful and incompatible aids.<sup>5</sup>

The power of the Commission to adopt recovery decisions was first provided in Article 14(1) of the Regulation 1999 (the Procedural Regulation).<sup>6</sup> Such recovery should be immediate and effective and pursuant to the national law of the appropriate Member State as there are no EU procedural rules on the recovery of unlawful and incompatible State aid.

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<sup>1</sup> The European Commission can take a position by either declaring the measure compatible with the internal market according to Article 107 TFEU, or by not raising any objections or by considering that the measure is not State aid.

<sup>2</sup> Article 1 (f) of Council Regulation (EU) 2015/1589 of 13 July 2015 laying down detailed rules for the application of Article 108 of the Treaty on the Functioning of the European Union, OJ L 248, 24 September 2015.

<sup>3</sup> According to Article 1 (g) of Regulation (EU) 2015/1589 "misuse of aid" means aid used by the beneficiary in contravention of a decision taken pursuant to Article 4(3) or Article 7(3) or (4) of Regulation (EC) No 659/1999 or Article 4(3) or Article 9(3) or (4) of this 659/1999 or Article 4(3) or Article 9(3) or (4) of the same Regulation.

<sup>4</sup> Ghazarian, Recovery of State aid, Vol. 15 2 EStAL 2016, pp. 228-234.

<sup>5</sup> Judgment of the Court of Justice of 12 July 1973, Commission v Germany ('Kohlegesetz'), C-70/72, ECLI:EU:C:1973:87, paragraph 13.

<sup>6</sup> Council Regulation 1999/659/EC of 22 March 1999 laying down detailed rules for the application of Article 93 of the EC Treaty, OJ L 83/1, 27 March 1999.

In 2007, the Commission issued its first Recovery Notice giving a general overview of the recovery policy and the development of the legal framework.<sup>7</sup> The latter was replaced by the 2019 Recovery Notice, which provides the actual guidelines on recovery of unlawful and incompatible State aid.<sup>8</sup>

This article will provide the main issues of the 2019 Recovery Notice. It will point out the essential roles and importance of the cooperation between the European Commission and the Member States in implementing recovery decisions. The article argues that the Recovery Notice is in line with the actual regulatory framework on State aid and the case law of the Union Courts.

## 2. Enforcement of State Aid Rules in the EU: the European Commission

Article 108 TFEU entrusts State aid control only to the European Commission with one exception according to which the Council acting unanimously can declare State aid to be compatible “if such decision is justified by exceptional circumstances” which is rarely used.<sup>9</sup> Member States are under obligation to notify in advance the Commission of any State aid measure they intend to grant. They cannot implement the notified aid measure before the Commission has taken its position by either declaring the measure compatible with the internal market according to Article 107 TFEU, or by not raising any objections or by considering that the measure is not State aid. The original rationale for including State aid control as a part of the Treaty of Rome 1957 was to avoid national protectionism and subsidy races between Member States that would undermine free competition in the internal market.<sup>10</sup> Member States have committed to the supranational State aid enforcement system implemented by the Commission due to the fact that it is politically difficult for them to deny granting of aid to certain economic sectors or undertakings.<sup>11</sup> For a long period State aid control was not effectively enforced by Member States. In the beginning of 80s, the Commission could only express frustration at lack of notification or late notification of aid measures by Member States.<sup>12</sup> The control of State aid needed to be reinforced regarding unlawful aid and its recovery and in relation to the monitoring of the decisions of the Commission.<sup>13</sup>

However, after a long period of unenforced State aid control the Commission finally succeeded in adopting a series of important rules and regulations.<sup>14</sup> In particular, individual decisions of the Commission and its soft law such as guidelines and frameworks on compatible aid strengthened State aid control.<sup>15</sup> The Commission was also finally successful in adopting two new regulations: one on procedures and another one regarding Block Exemptions.

## 3. The development of the EU recovery legal framework

The primary EU State aid rules are included in the articles 107, 108, and 109 of the Treaty on the Functioning of the European Union (TFEU). However, the Treaty is silent about what happens after the Commission has issued a decision pursuant to which a given aid measure is unlawful and incompatible with the internal market. In 1973,

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<sup>7</sup> Notice from the Commission, towards an effective implementation of Commission decisions ordering Member States to recover unlawful and compatible aid, OJ C 272/4, 15.11.2007.

<sup>8</sup> European Commission – Communication from the Commission, Commission Notice on the recovery of unlawful and incompatible State aid, OJ C 247/1, 23.7.2019.

<sup>9</sup> Ehlerman, State aid control in EU: Success or Failure? Vol. 18 (4), *Fordham International Law Journal* 1994 pp. 1216.

<sup>10</sup> Bacon, *European State Aid Law of State Aid*, (Oxford University Press 2<sup>nd</sup> edition 2013) pp. 4.

<sup>11</sup> Coppi, The role of economics in State aid analysis and the balancing test in Erika Szyszczak (ed.), *Research Handbook on European State Aid Law* (Edward Elgar 2011) pp. 64-89.

<sup>12</sup> Smith, Autonomy by the Rules: The European Commission and the Development of State Aid policy, Vol. 36, N.1, *JCMS* 1998, pp. 55-78.

<sup>13</sup> Sinnave & Slot, The new regulation on State aid procedures, Vol. 36 *Common Market Law Review* 1999, pp.1153-1194.

<sup>14</sup> Kleiner, Modernisation of State Aid Policy in Erika Szyszczak (ed), *Research Handbook on European State Aid Law* (Edward Elgar 2011) pp. 1-27.

<sup>15</sup> Blauburger, State Aid Control from a Political Science Perspective, in Erika Szyszczak (ed), *Research Handbook on European State Aid Law* (Edward Elgar 2011) pp. 29-43.

the Court of Justice formally acknowledged the competence of the Commission to order the recovery of unlawful and incompatible aids.<sup>16</sup> Pursuant to the case law recovery of unlawful aid is the “logical consequence of the finding that it is unlawful”.<sup>17</sup> The aim of the recovery of unlawful aid is to re-establish the situation existing before the granting of the aid.<sup>18</sup> Consequently, the Commission can order the recovery of incompatible aid, through a decision.<sup>19</sup>

The EU legislator codified the practice of the Commission in Regulation (EC) No.659/1999.<sup>20</sup> Pursuant to Article 14(1) of the Regulation 1999 (the Procedural Regulation) recovery should be immediate and effective and based on the national law of the appropriate Member State as there are no EU procedural rules on the recovery of unlawful and incompatible State aid.

The most important reforms of the State aid law are the one launched by the Commission through its State Aid Action Plan (the “SAAP”)<sup>21</sup> and next launched through its Communication on State Aid Modernisation (SAM).<sup>22</sup> In 2005 the Commission launched its State Aid Action Plan having as a subtitle “less and better targeted aid” which is the objective invoked in the Lisbon strategy for growth and jobs. While introducing this reform the Commission accepted that Member States were no longer ignoring the law but that the law was not understandable, and procedures were complex.<sup>23</sup> The SAAP introduced a new perspective to relate State aid to other policies of the Commission. The SAAP moved State aid closer to other areas of competition policy and promoted State aid as a policy supporting common goals of the European Union.<sup>24</sup>

In the framework of the State Aid Action Plan (the “SAAP”), in 2007, the Commission issued its first Recovery Notice<sup>25</sup> giving a general overview of the recovery policy and the development of the legal framework. The Communication did build on the objectives of the State Aid Action Plan, for a better enforcement of the recovery decisions of the Commission,<sup>26</sup> as well as from the most recent case law of the European Courts, at that time.

On 8 May 2012 the Commission adopted a Communication setting out an ambitious reform of the State aid.<sup>27</sup> The objective of the State aid reform was: (i) to foster sustainable, smart and inclusive growth in a competitive Internal Market, (ii) to focus Commission *ex ante* scrutiny on cases with the biggest impact on the Internal Market

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<sup>16</sup> Judgment of the Court of Justice of 12 July 1973, *Commission v Germany* (“Kohlegesetz”), C-70/72, ECLI:EU:C:1973:87, paragraph 13.

<sup>17</sup> Judgment of the Court of Justice of 21 March 1990, *Belgium v Commission* (“Tubemeuse”), C-142/87, ECLI:EU:C:1990:125, paragraph 66.

<sup>18</sup> Judgement of the Court of Justice of 4 April 1995, *Commission v Italy*, C-350/93, ECLI:EU:C:1995:95, paragraph 26.

<sup>19</sup> Judgment of the Court of Justice of 7 March 2002, *Italy v Commission* (“Employment Measures I”), C-310/99, ECLI:EU:C:2002:143, paragraph 99.

<sup>20</sup> Council Regulation 1999/659/EC of 22 March 1999 laying down detailed rules for the application of Article 93 of the EC Treaty, OJ L 83/1, 27 March 1999.

<sup>21</sup> State Aid Action Plan: Less and better targeted State aid: a roadmap for State aid reform 2005-2009, COM (2005) 107 final.

<sup>22</sup> Communication from the Commission to the European Parliament, the Council, the European Economic and Social Committee and the Committee of the Regions COM (2012) 209, 8.5.2012 (Communication on State Aid Modernisation).

<sup>23</sup> *Kroes*, Reforming Europe’s State Aid Regime: An Action Plan for change. Available at [http://europa.eu/rapid/press-release\\_SPEECH-05-347\\_en.htm?locale=en](http://europa.eu/rapid/press-release_SPEECH-05-347_en.htm?locale=en) accessed February 2022.

<sup>24</sup> *Supra* note 13.

<sup>25</sup> Notice from the Commission, towards an effective implementation of Commission decisions ordering Member States to recover unlawful and compatible aid, OJ C 272/4, 15.11.2007.

<sup>26</sup> State Aid action plan: Less and better targeted State aid: a roadmap for State aid reform 2005-2009, SEC (2005), 795.

<sup>27</sup> Communication from the Commission to the European Parliament, the Council, the European Economic and Social Committee and the Committee of the Regions COM (2012) 209, 8.5.2012 (Communication on State Aid Modernisation).



whilst strengthening the Member States cooperation in State aid enforcement and (iii) to streamline the rules and provide for faster decisions.<sup>28</sup> This reform has resulted in the revision of several State aid documents.<sup>29</sup>

The current 2019 Recovery Notice approved in the framework of the 2012 reform of state aid regime - the State Aid Modernisation (SAM) - provides the actual guidelines on recovery of unlawful and incompatible State aid.<sup>30</sup>

#### 4. An analysis of the current Recovery Notice

The 2019 Recovery Notice (the Recovery Notice) is structured around five essential topics, divided into five sections: (i) general principles (ii) the role of the Commission and the Member States (iii) implementing the recovery decision (iv) litigation before national courts (v) consequences of a failure to implement a Commission recovery decision.<sup>31</sup>

The first section of the Notice defines the procedure based on which recovery of incompatible aid is ordered by the Commission. The explanation of the purpose of the recovery and the way it should be implemented, is followed by the principle of sincere cooperation. After having provided for the purpose of the recovery and the principle of sincere cooperation, the Notice provides for the obligation to recover any aid unlawfully granted and the two limits to that obligation: (i) the general principles of European Union law and (ii) the limitation period.

Related to the general principles of European Union law the 2019 Recovery Notice defines the content of the principle of legal certainty, the protection of legitimate expectations, *res judicata*, and the principle that “no one is obliged to do the impossible”. It should be borne in mind, that according to a well-established jurisprudence only “absolute impossibility” would justify a Member State for failure to implement an obligation to recover unlawful aid.<sup>32</sup> Only, unforeseen, or unforeseeable situations that cannot be governed, may relieve the Member State from the obligation to obtain repayment of the illegal aid.<sup>33</sup> Whereas, related to the principle of legitimate expectations and of legal certainty in the context of recovery, the European Court of Justice has given a restrictive interpretation.<sup>34</sup>

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<sup>28</sup> *Ibid.*, para. 8.

<sup>29</sup> Such as the “Enabling Regulation” through Council Regulation No 733/2013 of 22 July 2013 amending Regulation (EC) No 994/98 on the application of Articles 92 and 93 of the Treaty establishing the European Community to certain categories of horizontal State aid, OJ 2013 L204/11, Commission Regulation (EU) No 651/2014 of 17 June 2014 declaring certain categories of aid compatible with the internal market in application of Articles 107 and 108 of the Treaty, OJ 2014 L187/1, Commission Regulation (EU) No 1407/2013 of 18 December 2013 on the application of Articles 107 and 108 of the Treaty on the Functioning of the European Union to *de minimis* aid, OJ 2013 L 352/1 Guidelines on regional State aid for 2014-2020, OJ 2013 C209/1, Guidelines for the application of State rules in relation to the rapid deployment of broadband network, OJ 2013 C 25/01, Guidelines on State aid for rescuing and restructuring non-financial undertakings in difficulty, OJ 2014 C249/01, Framework for State aid for research and development and innovation, OJ 2014 C198/01, Guidelines on State aid for environmental protection and energy, 2014-2020 OJ 2014 C200/01, Criteria for the analysis of the compatibility with the internal market of State aid to promote the execution of important projects of common European interest, OJ 2014 C188/02, Guidelines on State aid to promote risk finance investments, OJ 2014 C19/04, Guidelines on State aid to airports and airlines, OJ 2014 C99/03.

<sup>30</sup> Communication from the Commission to the European Parliament, the Council, the European Economic and Social Committee and the Committee of the Regions – EU State Aid Modernisation (SAM), COM/2012/0209 final.

<sup>31</sup> For more on the 2019 Recovery Notice see: *Donzelli*, The Commission’s New Recovery Notice, Vol. 18 4 EStAL 2019, pp. 528-539.

<sup>32</sup> European Commission – Communication from the Commission, Commission Notice on the recovery of unlawful and incompatible State aid, OJ C 247/1, 23.7.2019, paragraph 47-55.

<sup>33</sup> Judgment of the Court of Justice of 9 November 2017, *Commission v Greece* (‘Larco’), C-481/16, ECLI:EU:C:2017:845, paragraph 28.

<sup>34</sup> Pinto, The ‘Narrow’ Meaning of the Legitimate Expectations Principle in State Aid Law Versus the Foreign Investor’s Legitimate Expectation, Vol. 15 2 EStAL, 2016, pp. 270-285.

Article 17 of the Procedural Regulation provides a limitation period of 10 years.<sup>35</sup> In this regard, the 2019 Recovery Notice arranges the case law about the beginning, interruption, and expiry of the above-mentioned period.

The 2019 recovery Notice provides of the respective roles of the Commission and the Member State in a separate section. It presents a non-exhaustive list of the activities undertaken by the Commission in helping the appropriate Member State during the implementation of a recovery decision. Following, the Recovery Notice provides for the way pursuant to which the Member State should implement a recovery decision.

The third section which is about the implementation of the recovery decision starts with recovery deadline. The 2019 Recovery Notice provides two types of deadlines. The wording is general allowing for more flexibility, on a case-by-case basis. In addition, the 2019 Recovery Notice provides for the reasons, and in which conditions the Member State can ask for a deadline extension to execute the negative decision of the Commission. Contributing to the transparency of the process. The 2019 Notice continues with an explanation of the “kick-off meeting” proposed by the Commission, followed by a regulation of the identification of the aid beneficiary and the amount of aid to be covered.

Provisional implementation of the recovery, along with recovery in kind is also explained within the third section. The novelty that the 2019 Recovery Notice provides is, that it explains and guides the recovery from insolvent beneficiaries, both in the context of bankruptcy and restructuring proceedings. Such was not part of the 2007 Recovery Notice.

This section finishes with the conclusion of a recovery procedure. Information from the Departments of the Commission according to which the appropriate Member State has: (i) provisionally implemented the recovery decision or (ii) definitively implemented the recovery decision.

The fourth section of the 2019 Recovery Notice acknowledges the possibility of recovery-related litigation cases before the national courts. Compared to the 2007 Recovery Notice we find the same judgments namely: *Zuckerfabrik*<sup>36</sup> and *Atlanta*.<sup>37</sup> While the substance of the section is principally the same with same section of the 2007 Recovery Notice, it includes a clarification. Consequently, a Member State cannot rely on interim measures issued by a national court to justify its failure to implement a recovery decision, referring to its recent case law.<sup>38</sup>

The concluding section of the 2019 Recovery Notice refers to the legal consequences in case a Member State fails to comply with a Commission recovery decision. First, based-on Article 108 (2) TFEU, the Commission may refer the matter to the Court of Justice. Second, in case of a declaratory decision issued pursuant to Article 108 (2) TFEU, which has been not complied with by the appropriate Member State, the Commission can impose sanctions on that Member State, based on Article 260 (2) TFEU. This section of the 2019 Recovery Notice refers to the jurisprudence of the created after the approval of the 2007 Recovery Notice, related to lump sums or penalties imposed. Finally, the *Deggendorf*<sup>39</sup> case law, does not allow the granting of new aid, compatible with the internal market, to a Member State which has not been able to recover the payment of aid improperly granted.

## 5. Conclusions

The EU legislator codified the recovery practice of unlawful and incompatible State aid of the Commission in Regulation (EC) No.659/1999. Pursuant to Article 14(1) of the Regulation 1999 (the Procedural Regulation) recovery should be immediate and effective and based on the national law of the appropriate Member State, in the absence of the EU procedural rules on the recovery of unlawful and incompatible State aid. The most

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<sup>35</sup> Council Regulation (EU) 2015/1589 of 13 July 2015 laying down detailed rules for the application of Article 108 of the Treaty on the Functioning of the European Union, OJ L 248, 24.9.2015.

<sup>36</sup> Judgment of the Court of Justice of 21 February 1991, *Zuckerfabrik Süderdithmarschen and Zuckerfabrik Soest v Hauptzollamt Itzehoe and Hauptzollamt Paderborn*, C-143/88 and C-92/89, ECLI:EU:C:1991:65, paragraph 23.

<sup>37</sup> Judgment of the Court of Justice of 9 November 1995, *Atlanta Fruchthandels-gesellschaft and Others (I) v Bundesamt für Ernährung und Forstwirtschaft*, C-465/93, ECLI:EU:C:1995:369, paragraph 51.

<sup>38</sup> European Commission – Communication from the Commission, Commission Notice on the recovery of unlawful and incompatible State aid, OJ C 247/1, 23.7.2019, paragraph 145.

<sup>39</sup> Judgment of the Court of Justice of 15 May 1997, *TWD v Commission*, C-355/95 P, ECLI:EU:C:1997:241, paragraphs 25-26.

important reforms of the State aid law namely: the State Aid Action Plan and the State Aid Modernisation introduced important changes also about State aid recovery. Thus, back in 2007, the Commission issued its first Recovery Notice giving a general overview of the recovery policy and the development of the legal framework. The Communication did build on the objectives of the State Aid Action Plan, for a better enforcement of the recovery decisions of the Commission, as well as from the most recent case law of the European Courts, at that time.

The current 2019 Recovery Notice approved in the framework of the 2012 reform of state aid regime - the State Aid Modernisation (SAM) - provides the actual guidelines on recovery of unlawful and incompatible State aid. The Commission within SAM did modernise and consolidate much of the State aid secondary legislation. Following, the Member States' responsibility has been reinforced, while increasing cooperation between them and Commission related to State aid enforcement. Consequently, Member States implement more aid without prior control by the Commission: since 2015, more than 96% of new aid measures for which expenditure was reported for the first time was covered by the General Block Exemption Regulation (GBER).<sup>40</sup> This increased responsibility of the Member States as well as the enhanced cooperation between them and Commission related to State aid enforcement are considered by the 2019 Recovery Notice. Additionally, it is in line in line with the actual regulatory framework on State aid and the case law of the Union Courts.

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## Interactions Between Tourism, Transport and Terrorism In The Context Of Globalisation

Zlatina Karadzova<sup>1</sup>

<sup>1</sup>"Asen Zlatarov" University – Burgas, Bulgaria, E-mail: zlatina\_karadjova@abv.bg

**Abstract:** Tourism as a phenomenon is related to the question "why do people travel?" The answer to this question requires clarifying a number of sociological and psychological features such as leisure and budget time travel, motivation for travel, psychological benefits, fashion, terrorism and more. Tourism is a socio - economic and cultural phenomenon that has multiple manifestations. It is one of the factors and driving forces of globalization. It's operation and development leads to the emergence of different economic, socio-cultural, environmental, political and health effects, making it an indispensable part of modern life.

Tourism is one of the most vulnerable areas of the economy affected by terrorism.

There is no other industry that is associated with so narrow and numerous links to all other sectors, especially tourism, like transport. Therefore, it is strongly influenced by their development, but itself affects them.

The Aim of the Study is to explore the essential characteristic of tourism, transport and terrorism and to highlight the connection between them.

The object of study in this article are the three big industries – tourism, transport and terrorism.

The subject is the interaction between them.

**Key words:** tourism, terrorism, transport, globalization, relation.

### THE PHENOMENON "TOURISM"

There are many definitions of the nature of tourism. Best idea gives the following widely accepted definition: "Tourism is the temporary movement of people outside their normal place of residence and place of work, the activities during their stay in these places and facilities designed to meet their needs." (Vodenska, M, M. Assenova, 2004, pp. 8)

Tourism exhibits characteristics inherent for the modern societies: the involvement and predomination of women in the industry, opposition to xenophobia, stimulation of travelling and diversity, collaboration with capitalism, focus on openness and individual attention in the provision of the service. (Dobрева, H., 2015, p. 108)

It could be said that tourism is the temporary movement of people outside their place of permanent residence, the implemented activities carried out by them and the necessary facilities to meet all needs, without people working as a result of which generate income.

Today tourism is creating prerequisite for the development of related sectors such as agriculture, food industry, construction, transport, healthcare and others. According to the analysis of the World Tourism Organization, tourism is valued as one of the five major export sectors and one of the most - important sources of foreign exchange.

Tourism as a mass phenomenon has many positive sides - provides a large number of workplaces, it's a source of substantial income and contribute to the expansion and improvement of the material - technical basis, allocating funds for the preservation of natural and cultural resources, promote the cultural heritage monuments, contributes to integrated land use in tourist centers and regions, also helps to the improvement of transport and technical infrastructure at tourist destinations and others. At the same time has a negative impact on the environment and society - connects with appreciation of life in the major tourist centers, depletion of tourism resources and their not timely return and sometimes their irreversible disposal, deterioration of the environmental situation in the major tourist destinations, seasonality in employment of staff, negative socio-cultural effects and negative attitude of tourists to standardized mass travel.

On the one hand, tourism is an economic activity subject to economic laws. On the other hand are the leading motives for vacant trips representing a major part of tourism are more psychological in nature.

Tourism, as an economic activity, is a sector of the global and national economy and a kind of business enterprises dealing with it. It is associated with the demand and supply of tourism products, methods of creation and

patterns of consumption, the economic categories such as income, employment, unemployment, exchange rate, inflation.

For countries - active tourism destinations stabilize the balance of payments, forms a positive trade balance and is the driving force of economic development. It has a multiplier effect, forming clusters and contribute to the rise of a number of other sectors of the economy. It has a positive impact on the development of different regions, municipalities and settlements through the provision of employment of the population and development of human resources.

Considering the nature of tourism, it is necessary to note that it is associated with the notion of free time. Leisure includes activities in which the person is given free will, to rest, to have fun, develop awareness and to participate voluntarily in the entertainment and extreme experiences after release from his professional, family and social obligations. But according to Velina Kazandjieva (2000, pp. 220) there are differences between breaks during leisure time through tourism, which can be divided into the following main areas:

- The consumer carries out activities outside the his domicile;
- The implementation of these activities requires a trip to a certain destination ;
- Depending on the objective pursued some actions can be as a distinct typical mainly for tourism - religious, spa, business and others.

The stay at the tourist spot is limited in time and in most cases is longer than the time needed for activities falling within the content of the leisure industry. The main components of this industry are organizations, companies and institutions from the public, private and voluntary sector which provide services and goods, intended for use during free time.

Sn. Kadieva (2012, p. 21) highlights some key features and characteristics of leisure : period of the day, week, year; subsystem time budget; activity / voluntarily and freely chosen / selected by each individual, according to his lifestyle and personal interests; type of industry, offering products to meet the specific needs of individuals in their spare time; time for positive stress, fun, and sometimes boredom and anxiety; free state of mind; time used for relaxation, enjoyment, self-expression, creativity and personal satisfaction.

## **TRANSPORT – ESSENCE AND CHARACTERISTIC**

The transport is one of the main branches of every country`s economics. It is the circulatory system and vital nerve in the organism of society. The transport is a branch in national economy designed to carry passengers and is in constant touch with the main sectors - industry, agriculture, construction and trade.

In the most general sense is a movement of people and goods from one place to another. As a specific manufacturing sector continues and ends the production process of other industries in the sphere of circulation, delivering production to the place of its consumption. Overcoming spatial distance of production to consumption is also objectively necessary as the very production of material goods is. The transport process is different from the manufacturing processes of other industries. The main difference lies in the fact that transport is not creating a new product in a tangible form. The work of employees in transport affects the means of labor, rolling stock - wagons, locomotives, ships, cars, airplanes.

As a result of this impact is amended their location, and with it and the location of the goods advertised on them, respectively passengers. Relocation is essentially a special material change - amend the spatial existence of the goods, and thus is subject to change and their use-value. As a result of this change increases the exchange value of the goods with the same amount of lives and social work which was necessary for the implementation of spatial change. This way transport creates a new value which is added to the value of transported goods. (Transport dictionary, 1995, p. 338)

As a branch of material production, transport is characterized by a number of specific features. Unlike other industries, where a new product has been created and the subject of labor is been processed and consequently receive new properties and have a substantial form, for transport production is not been created a product with new properties neither objects receive new substantial form.

Between transport and other sectors of the national economy, particularly tourism, there are many similarities and differences, which basically can be summed up as follows:

- First - transport process has a production nature. It is a necessary sequel for the production in the sphere of circulation. In it, as in tourism also is been created a new value in the sphere of circulation;
- Second - transport production process takes place in the sphere of circulation. Transport represents the basis of the exchange;

There is no other industry that is associated with so narrow and numerous links to all other sectors, especially tourism, like transport. Therefore, it is strongly influenced by their development, but itself affects them. The formed tourist transport system is the result of the impact of European transport policy. This influence is based on two mutually subordinating economic principles:

- Determining efficiency - the use of resources and price mechanisms to achieve efficient access to transportation and travel.
- Political responsibility - the need to protect public interests by the country in transportation projects. These principles have a determining effect on both the development of transport and travel, as well as on the expansion and regulation of transport accessibility to tourism resources and destinations. (Kazandjieva, V., 2002, pp. 348/9)

## **TOURISM AND TRANSPORT**

When it is considered to be a special case of travel, tourism is a set of relations and phenomena arising during the trip between tourists and local people. Traveler is anyone who travels for some reason (work, study, shopping, tourism, etc.). Tourist is temporary visitor to the area in their own country or another, regardless of nationality, citizenship, sex, language or religion, located in an area not less than 24 hours and not more than six months during the year in order leisure - recovery, rest, health promotion and enrichment of knowledge, participation in religious or sporting events, doing business contacts, appointments, tasks, etc. Finally traveller is a temporary visitor who stays on - less than 24 hours outside location.

The trip is a travel service that provides an organized way to travel on the tourist route. Traveling contributes to improving the quality of vehicles, increasing their transport capacity and reducing transport prices.

Transport largely reflects the level of socio-economic development of the country. It creates conditions for the normal functioning and development of the whole economy and has a significant influence on the results in all sectors of the national economy. So it is an important factor in increasing the efficiency of social production.

Development of transport depends on the workload and the development of other industries, but in turn the development of transport affects the growth of other sector, most - particularly that of tourism. Tourism is a result of the traveling of people, so the development of transport is a key factor for the growth and orientation of tourism development. The provision of adequate, safe, convenient, fast, profitable and cheap public transport precedes mass tourism. Accessibility of the tourist resort is mostly the result of two factors: the price ( in absolute terms and in comparison with competing resorts ) and time (the time taken to move from your home place to the desirable one). In particular, air transport, especially the last two decades made further places available. This transport has contributed to the phenomenon of mass marketing of international tourism, with all the economic and social advantages and disadvantages that this involves.

## **THE INTERACTION BETWEEN TOURISM AND TRANSPORT**

Quantitative and qualitative accumulation and characteristics of tourism sparked carve him as a dynamic economic area of global significance and distinctive institutional structure.

Meanwhile, tourism is becoming a more competitive arena causing great struggle in which each scientific and technical development including new forms of management, marketing and advertising, threatens tourist companies to fail.

During the first half of the 20th century the structure of tourism remained unchanged, although the number of the people having the opportunity to enjoy what it offers /or what the tourism offers/ are constantly growing. It is not surprising that the three factors - time, income and technological development have the biggest influence. Undoubtedly income levels have risen, but at the end of the 1930's the amount of time for paid leave increased significantly for the majority of the population. At the same time, factors such as the paid leave affected the rest - during the 1920's about 17% of the workers benefited of such leave. After 1938 the paid leaves was available

for most workers. By 1969, 97% of the workers enjoy a two-week paid vacation, and by 1988, 99% had the opportunity to enjoy four weeks of paid vacation.

Nowadays the trips with recreation and tourism purposes are necessary for thousands of people who are reluctant to abandon them, even in times of economic constraints. The marketing conditions are very dynamic, even if cyclical, but this does not change the basic direction of development - expanding the social base and the territorial scope of tourism globally, turning recreation through travel (short and long) is a key element of the budget on time.

For a long period in most recent history, including the contemporary stage in the development of tourism and transport, outlined the following trends: (Karadzhova, Zl., 2013)

- Growth in demand for more frequent short trips, such as time spent on recreation and tourism tends to increase;
- Optimal combination of quality resources and services while reasonably priced. Tourist products with such qualities are most wanted and most profitable;
- In general rapid growth of domestic tourism;
- Better coordination between tourism and other economic activities;
- Diversification of the tourist offers, with emphasis on preservation of the ecological balance of the visited places
- Accelerated refurbishment of tourism and transport facilities in order to achieve - high quality services;
- Care, personnel training and professional development of tourism personnel;
- A decrease in "Europeanisation" tourism and directing the majority of American tourist flows to the Caribbean and South America;
- Continue the demand for tourism in the environment "often called an enantiomeric" of living conditions of the tourist. This determines the dominant search of the tourist in a clean environment eg. species based on natural and recreational resources and the first place is for the marine recreation (about 2/3 of the participants in the international tourism are directed to seashores);
- Tourist destinations, particularly coastal resorts are experiencing unprecedented territorial expansion. Almost all coasts in the area of temperate, Mediterranean and tropical climates are covered by tourist development;
- There is increased interest in cultural and educational tourism, hobby tourism, rural tourism and "green" vacations, medical tourism to people from the third world ecotourism and sustainable tourism.
- Business visits and meetings (business tourism, convention, exhibition and so on.. are not only a source of revenue, but are very dynamic, especially in the big cities. (Sharpley, R., 2002)

### **THE RELATION “TRANSPORT – TOURISM AND TERRORISM”**

Public transport is an important part of the tourism industry, but must also provide services which are not entirely dependent on tourism demand. The railway and air transport due to its origin state postal orders and transfer of goods, whether individually or together with passengers and make an important (and sometimes vitally important) contribution to the revenue of the carrier. It should also be noted that many carriers offer commercial or social services that depend less on tourism demand. Road and rail carriers, such as providing key transport services for workers who travel between destinations of their residence and employment. These carriers provide vital social and economic services, linking and identified important areas of industrial centers, thereby providing a communication link for the locals.

Tourism is temporary movement and residence outside the domicile, driven by different motives that determine the purpose of the journey without gainful employment as a result of which generate income. (Karadzhova, Zl, 2012, p.11) Tourist product is a result of tourism industry and represents diverse set, including insured and used by tourists entertainment, services of public-utility nature, shelter, food and transportation, and many other goods that are free and are often the cause and purpose for tourist travel - clean air and water, warm sun, security and

peace, creating an atmosphere, beautiful landscapes, architectural and historical landmarks. (Karadzhova, Zl., 2013, p. 194)

In the context of structural and technological changes in the world economy, tourism gets a chance in many developing countries to take the place of basic industry to be singled out as a basis of economic growth. Thus, the interaction between tourism and transport can become a unique competitive advantage for developing tourist destinations.

The origin of the word terrorism goes back to 1789 with the French Revolution (Berg 2004, Stephens 2004). Schmid and Jongman (1988:5) have defined terrorism as: An anxiety-inspiring method of repeated violent action, employed by a (semi-) clandestine individual, group or state actors, for idiosyncratic, criminal or political reasons, whereby – in contrast to assassination – the direct targets of violence are not the main targets. The immediate human victims of violence are generally chosen randomly (targets of opportunity) or selectively (representative or symbolic targets) from a target population, and serve as message generators. Threat and violence-based communication processes between terrorist (organization), (imperiled) victims, and main targets are used to manipulate the main target (audience(s)), turning it into a target of terror, a target of demands, or a target of attention, depending on what the intimidation, coercion, or propaganda is primarily sought.

The large numbers of tourists visiting the destinations of acknowledged heritage sites are targeted as attractive to the terrorist or rebel in planning their violent attacks. ( Boulal, S.)

Terrorist threats in tourism are many times a fundamental factor in making a decision both to offer a tourist package and to visit a certain destination. They have a high probability and a very high weight of consequences for certain destinations. Tourism is a major industrial power worldwide, suggesting a higher incidence of risky occurrences. Adequately trained specialists with the necessary competencies are required to prevent risk minimization (Petkova-Georgieva, S., 2018, pp. 274-283).

The consequences of the terrorist events have an impact on both the current tourist flow and the motives for deciding to travel for others wishing to conflict in a given area. The main purpose of this type of event is to bring fear to travelers. Therefore, tourism is one of the most vulnerable areas of the economy affected by terrorism. It raises issues of international and national security. With the development of tourism since ancient times, the impact of terrorism on it has increased. This calls for new security measures in the tourism sector. A very important and unresolved question remains how to predict the vulnerability of the area.

Globalization and technological innovation have led to the growth of tourism as an industry and the rise of terrorism as a threat. The mass media serve both to predict and to manipulate beliefs and perceptions - media persuasion serves both tourism marketing and terrorism, achieving economic profit in the first case and demoralizing the adversary / flow of funds and tenants in the second. Oddly enough, terrorist sites can attract visitors and become a source of so-called "dark" / tourism. Despite the negative effects on tourism, the industry is surprisingly adaptable.

## CONCLUSION

The drivers of globalization are undoubtedly a major influence on the development of the tourism industry worldwide. Liberalization, the development of communication technologies, transport, information, accelerating innovation and the removal of borders have all contributed to the creation and validation of new-type tourism enterprises, not only large multinationals and transnationals, but also born 'global' SMEs, which successfully survive and sustain their competitiveness in the global tourism market.

Contemporary tourism is developing on a global scale as a highly dynamic field of activity, where the wishes and expectations of customers are cultured and their security is assured.

The modern tourist, however, is becoming increasingly demanding about the security and safety of the destination he is visiting. It is these two aspects of the quality of the tourism product that are beginning to play an increasingly decisive role in the choice to undertake a tourist journey.

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## Covid-19 affecting Food Supply Chain, Case study from Albania

MSc. Majlinda SINANI<sup>1</sup>

<sup>1</sup>PhD student, Agricultural University of Tirana/ Tirana, Albania

**Abstract:** Businesses need to use with full effectiveness the logistics which is becoming more and more a necessity. Logistics is seen as a challenge and an opportunity in business supply chains, so it is considered a necessary value. The spread of Covid-19 has had a significant impact on the global economy. During this time all businesses faced a series of challenges and new methods in strengthening the supply chain.

This study aims to analyze the positive effects of logistics during and after Covid-19 on supply chains. The main purpose of the whole study is to identify the logistics challenges faced by companies in supply chains. Identifying the challenges and factors that positively affect good logistics management will help companies improve their supply chain network. Meeting the logistical problems successfully leads to the contemporary world's digitization. Many benefits arise from all of these obstacles since those who help them reduce costs and increase profits. This study will serve as valuable research for the future, based on past studies and insights on how logistics was used in Albanian enterprises throughout the epidemic. Analyzed how managers have dealt with the supply chain to the customer successfully. During this study we have conducted a survey through Albanian business to better understand what have been their main difficulties during these years. A descriptive and factor analysis has been used to analyze the data.

**Keywords:** Supply Chain, Logistics Challenges, outbreak pandemic, Covid-19.

### Introduction

Each business faces problems. Logistics is crucial by its transdisciplinary aspect, which helps to a business's focus on providing high-quality, efficient services to the customers. Leading enterprises seem to have been a necessity recent decade, and logistics management has become a fundamental factor<sup>1</sup>. The significance of the "logistic function" in ensuring the resources, goods, and information throughout supply chains firms is now a fundamental component of company performance. However, logistics as a discipline has developed, and in today's business world, logistics relates to the management of product or service circulation from origin point to end consumer.<sup>2</sup> Since the early 1980s, supply chain management has gotten a lot of attention. However, the management of supply networks isn't well understood conceptually, and many writers have emphasized the need of clear definitional constructs and conceptual frameworks on supply chain management (Saunders, 1995, 1998; New, 1995; Cooper et al., 1997; Babbar and Prasad, 1998). Most firms today compete as supplier chains rather than as standalone enterprises.<sup>3</sup> On a global scale, e-commerce is expected to continue growing. "In the near run, we expect consumers will prefer the "safe" experience of online purchasing to the possibility of browsing in congested retail," McKinsey writes in its 2020 report on how consumer goods firms are preparing for the new normal.

This study will concentrate on identifying the most important aspects of logistics, which is defined as the part of supply chain management that effectively plans, implements, and controls the flow of goods, services, and information between the point of origin and the point of consumption in order to meet customer needs. Logistics management is providing the proper resources into right time and place to assure that goods are delivered to the correct spot in good condition. This study will also examine at the interconnections between businesses in terms of digitalization during and after the outbreak as a feasible logistics management strategy. The overall aim of the study will be to identify the role and impact of factors that affect logistics operations in private businesses in Albania as they adopt new software. This study's research question is: does it improve logistics management effectiveness by enhancing communication/information exchange, building software that helps the minimizing of transportation costs, and providing faster and better servicing of products and utilities??

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<sup>1</sup> Effective management of logistics - an empirical study of Albania, Prof. Ass. Dr. Bajram Korsita, Dr. Luftim Cania, European Virtual Conference on Management Sciences and Economics 1, 2016/ ISBN 978-0-9933924-3-6

<sup>2</sup> Logistics and supply chain management: the importance of integration for business processes, Izwan Azmi<sup>1</sup>, Norlida Abdul Hamid<sup>2</sup>, Md Nasarudin Md Hussin<sup>3</sup> and Nik Ibtishamiah Ibrahim<sup>4</sup>/ MUTRFC 2017 (October 10-12, 2017, Malaysia)

<sup>3</sup> Logistics and supply chain management: the importance of integration for business processes, Izwan Azmi<sup>1</sup>, Norlida Abdul Hamid<sup>2</sup>, Md Nasarudin Md Hussin<sup>3</sup> and Nik Ibtishamiah Ibrahim<sup>4</sup>/ MUTRFC 2017 (October 10-12, 2017, Malaysia)

## Conceptual framework and review of literature

The fundamental role that logistics plays in our everyday lives has never been more evident than during the COVID-19 pandemic. One of the inevitable questions now being posed is: what will the “new normal” look like? Whatever the new normal is, logistics will still play a key role in how the world recovers from a time of planetary economic collapse<sup>4</sup>. The logistics industry viewed as an auxiliary for trade and commerce enables industries to deliver the goods and services to the ultimate consumers by facilitating mobility throughout the supply chain.

The supply chain disruptions in the COVID-19 outbreak had a direct impact on the logistics industry with detrimental factors as labor shortage, fragmented supply lines, weak infrastructure, and ambiguity with respect to the rules and regulations for mobility of goods<sup>5</sup>.

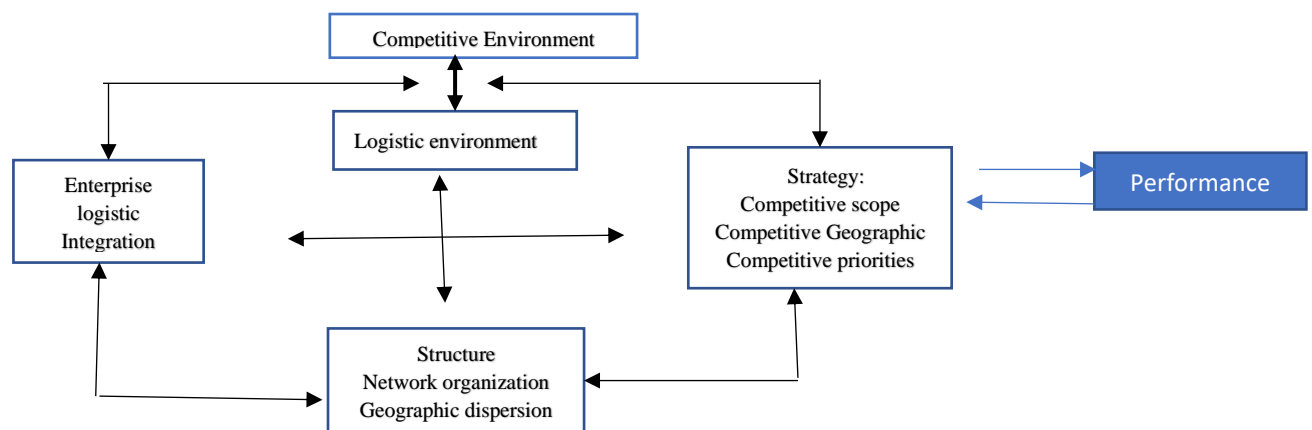
Today’s supply chain really is the method of linking major business processes both within and across companies to create a high-performance business model that drives competitive advantage (Mathieu Friedberg).

The Internet is a new marketing tool that is being used as a modern and rapid means of communication and distribution.

Logistics center is a spatial object with its own organization and infrastructure which allow independent enterprises to perform actions on goods in relation to their storage and transportation between the sender and the recipient, including support for intermodal transport and actions on resources consumed to that end, LC is a complex facility<sup>6</sup>.

The figure below gives a graphic representation of Stock et al. (1998, p.39), conceptual framework, this study point of departure.

Figure 1: The Conceptual Framework (Stock et al., 1998)



Stock et al. suggest that the competitive environment besides reflecting economic and technological trends affecting the global market, it includes aspects such as the market demands; i.e. the variability and the location of demand or characteristics of the product like the price. Moreover, in their framework, Stock et al. (1998) treat logistics as one of the variables, or tools, an organization has at its disposal in order to gain competitive advantage.

Logistics is the process of strategically managing the procurement, movement and storage of materials, parts and finished inventory (and the related information flows) through the organization and its marketing channels in such a way that current and future profitability are maximized through the cost-effective fulfillment of orders.” (Christopher, 2005, p.4)

According to Christopher (2005), supply chain management is a wider concept than logistics; it builds upon it and aims to achieve integration and co-ordination between the processes of the different entities in the logistics

<sup>4</sup> The Importance of Logistics in the modern world, Mathieu Friedberg/Ceva logistic, 2020

<sup>5</sup> Emergence of COVID-19 and the Impact on the Logistics Industry - ResearchAndMarkets.com/ February 02, 2021 06:58 AM Eastern Standard Time

<sup>6</sup> Determining Factors of Logistics Centers Development in Poland, Aleksandra Katarzyna Górecka, Mateusz Maksymiuk Warsaw University of Life Sciences, Poland

pipeline (i.e. suppliers, intermediaries, 3PL providers and customers), so that superior customer value is delivered at less cost to the supply chain as a whole.

Supply chain management encompasses materials/supply management from the supply of basic raw materials to final product (and possible recycling and re-use). Supply chain management focuses on how firms utilise their suppliers' processes, technology and capability to enhance competitive advantage. It is a management philosophy that extends traditional intra-enterprise activities by bringing trading partners together with the common goal of optimisation and efficiency (Tan et al. (1998).

## Methods and Results

The survey was conducted through a direct survey model and a questionnaire completed by respondents, which has also given them the opportunity to obtain additional explanations regarding the answers. The distribution of questionnaires was conducted via e-mail and contacting several businesses individually. The sample selection was made at random. The data collection is concentrated in the city of Tirana, 100 questionnaires were received.

Logistics is important because it is needed to supply raw materials, goods and equipment to both the maker and the consumer. The manufacturer isn't a logistician and neither is the consumer; and both need the logistics middle man to deliver what they need<sup>7</sup>. During the pandemic, businesses had need logistics providers to help provide them with a competitive edge over other companies across inbound, outbound, and reverse logistics.

The table below provides an overview of the interviews conducted with Zoto Trans, SA-ENIS group, Frigotech shpk, Maloku trans and Doci Konstruktion.

Table 1: Interview table

Company	Employ	Position	Date	Interview	Method	Language
Company 1	No. 1	Economist	23.11.2021	1 hrs 32 min	Semi-structured interview MS-teams	Albania
Company 2	No. 2	VIP Sales	06.12.2021	0 hrs 50 min	Semi-structured interview MS-teams	Albania
Company 3	No. 3	Consulting Manager	14.12.2021	1 hrs 35 min	Semi-structured interview MS-teams	Albania
Company 4	No. 4	Project manager/ logistic development	17.12.2021	1 hrs 19 min	Semi-structured interview MS-teams	Albania
Company 5	No. 5	Consulting Manager	23.12.2021	0 hrs 25 min	Semi-structured interview MS-teams	Albania

As above mentioned, the interview guide was divided into three different sections: Organizational Design, Enterprise Logistics Integration and Logistics. Finally, Logistics and Competitive advantage, concerns topics such as costs, customer service and lead-time analysis, and questions that will enable the interpretation how these can later produce financial benefits not only for the 4PL customer, but even to other actors within the supply chain.

<sup>7</sup> Emergence of COVID-19 and the Impact on the Logistics Industry - ResearchAndMarkets.com/ February 02, 2021 06:58 AM Eastern Standard Time

Figure 1: Gender of interview

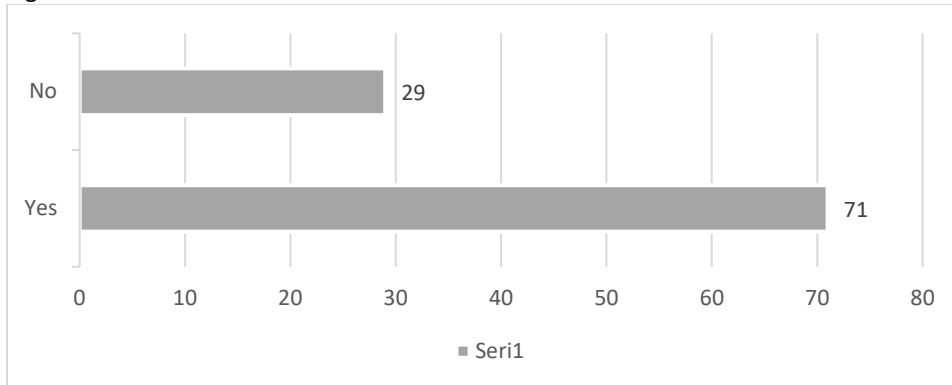
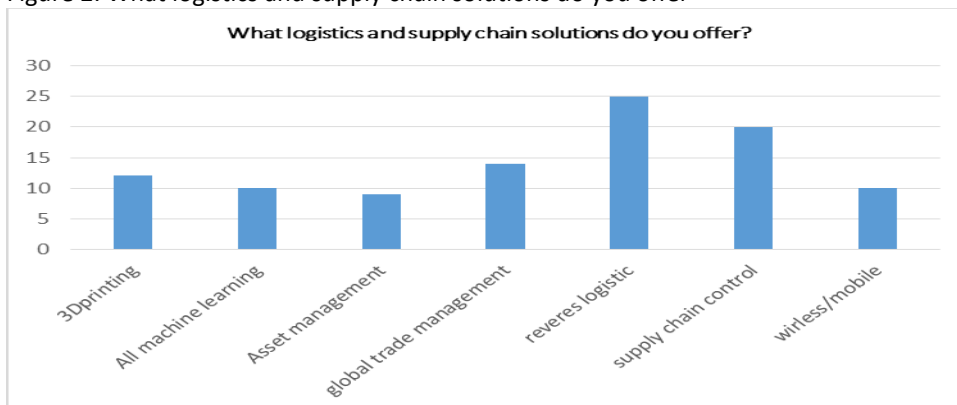


Figure 2: What logistics and supply chain solutions do you offer



The businesses were asked about the main concerns that they have with the logistics system offered in Albania. The main problems that they have are “trust issues” and “additional cost”, as given below:

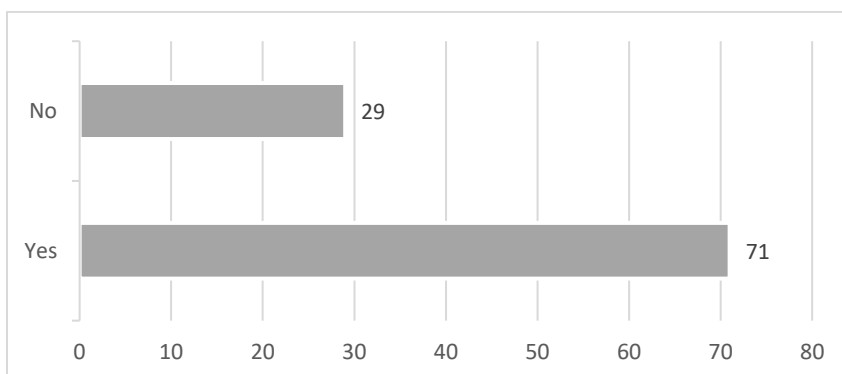
Table 2: Problems that businesses have with logistic system

Problems	Number of businesses	Percentage
Trust issues	47	0.47
Added cost	36	0.36
Late delivery	17	0.17
Total	100	

As their priority problem. The majority of the businesses have stated “Trust issues” (47%), while 36% of them have selected “Added cost” as the main problem.

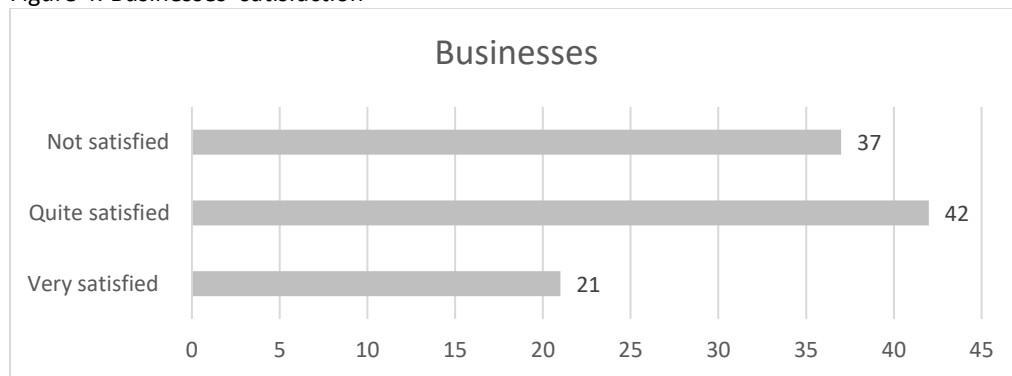
Another question asked to the businesses was if they wanted to do the delivery by themselves. The majority of them were positive to this, but as they stated the final cost of the deliver by themselves is very high.

Figure 3: Businesses will to deliver



The figure below shows the satisfaction of the businesses by the logistic system in Albania:

Figure 4: Businesses' satisfaction



## Conclusions and discussion

Through this research, we provided empirical data on the challenges and effectiveness of logistics management. In fact, the overall purpose of this research was the role and influence of factors influencing logistics management. According to interviews and results, logistics in Albania is developing at a slow pace but during the pandemic there was an increase towards online shopping and the dissemination of online information to consumers from supply chains.

The sophisticated just-in-time supply chain format has been shown to have many failings when you add in a global pandemic, where no nation remains untouched.

This may well result in a reformatting and readjusting of the entire logistics industry as we enter the new normal. But, whatever the new normal is, logistics will still play a key role in how the world recovers from a time of planetary economic collapse.

In the past, economic downturns have tended to hit the logistics industry hard; but at the same time we need to recognize that the industry has broadly benefitted from the key trends of the last half century – globalization, the growth of just-in-time supply chains and the exponential growth of internet shopping.

The logistics world is always experiencing shifts and trends, but the pandemic has changed the way everything functions and how we need to interact with it. With the right planning and proper amendments, logistics businesses will be able to survive the pandemic, grow and potentially prosper.

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## Employment Of Convicts In Hrnčiarovce Nad Parnou Prison

Radoslav ŠKVRNDA<sup>1</sup>

<sup>1</sup>Faculty of Health Care and Social Work of Trnava University in Trnava, radoslav.skvrnda@gmail.com

**Abstract:** The paper provides an insight into the state of employment of convicts in Hrnčiarovce nad Parnou Prison, which is the largest facility of this type in Slovakia, and presents individual data on employment in comparison with the period before the pandemic.

**Keywords:** Execution of imprisonment, Employment of convicts, Forms of employment of accused and convicted persons, Work remuneration.

### Introduction

The punishment of forced labour has historically been an integral part of the penal policy of states or empires, and in various forms predates the actual imprisonment type of punishment by thousands of years. Slave labour has also shaped human history and according to Bob Hinton, *"a slave was just a unit of labour, in just the same way a bulldozer is today"*. This type of punishment had a significant economic impact for states and empires in building infrastructure, from simple roads, canals, and quarries to colossal structures that likely would not have been built without slave labor. However, all this was associated with immense human suffering, and the punishment of forced labour gradually changed as society evolved. The obligation to work has been an integral part of imprisonment since the beginning of the formation of this method of sanction a universal punishment. In modern society, the employment of convicted prisoners is an integral part of imprisonment and fulfils several functions within a sentence.

### The Corps of Prison and Court Guard

The Corps of Prison and Court Guard (hereinafter "the Corps") is an armed security service that fulfils the tasks linked not only to execution of pre-trial detention and prison sentence, protection and guarding of the Corps' buildings, but also to the protection of order and security in the premises of prosecution offices and courts in the territory of Slovakia. The Corps, in carrying out the tasks assigned to it by the relevant legislation, organizes and carries out activities aimed at employing accused and convicted persons by assigning them to work in enterprise centers or internal operations centers of its individual institutes/prisons. The aim is to create jobs for accused and convicted persons, conditions for obtaining or increasing the professional qualification of convicts and preconditions for their resocialization.

### Basic principles of employment of convicts

- Prisoners shall be included to work in compliance with the purpose of the prison sentence execution whereas the health state, using the occupation qualification and fulfilment of treatment program aims shall be regarded.
- Inclusion of the prisoner to work is a special relation between the prison and the prisoner, by which no labour relation or another similar labour-legal relation arises. The Corps can anytime end the inclusion of the prisoner to work, also without mentioning the reason. The prison shall fulfil duties of an employer against the prisoner included to work. The relevant sections of the Labour Code shall be used appropriately when including prisoners to work.
- Physical person or legal person in the spaces, where prisoners work, shall fulfil duties for ensuring safety and security of health at work in accordance with special regulations and the agreement with the prison.

### Forms of employment of accused and convicted persons

- **Internal operations (VP/IO)** - e.g. cleaning, catering, building maintenance, car workshop, laundry, warehouses, libraries, medical facilities and other work necessary to ensure the proper running of the institutes.

- **Enterprise center (VH/EC) - own production** - inmates produce products for the needs of the institutes and the General Directorate of the Corps or other entities of the state administration, public administration, as well as the private sector. These include, for example, textiles, clothing for officers, clothing for prisoners, socks, workwear, bed sheets and sheets, wooden and metal beds, prison furniture for prisoners, cabinets for weapons, keys and mobile phones, agricultural products.
- **Enterprise center (VH/EC) - provision of work and services** - employment opportunities for prisoners are also obtained in the enterprise center by providing work and services to other legal entities and individuals at their workplaces. These are state institutions, municipalities, public institutions or private businesses. The range of work and services provided by the Prison Service through prisoners is very diverse and includes, for example, various assembly and disassembly work, sewing of shoes, clothing, disassembly of electrical components, waste separation, cleaning work, assembly of electrical components, automotive components, work in the construction industry, forestry, mechanical engineering, woodworking industry, agriculture, food processing and other establishments. This work is being carried out by the prisoners inside or outside the institutions in the enterprises or establishments belonging to the persons ordering the work. In these establishments, prisoners very often work together with the civilian employees of the client.

### **Legislative framework of the Enterprise Centre (VH/EC) and internal operation (VP/IO)**

- The Corps shall organize and ensure activity focused on performing work by prisoners in enterprise centres and in the internal operation of prisons; this activity has no entrepreneurial character and its expenses shall be reimbursed from the state budget. Earnings of the enterprise centres shall be the earnings of the state budget.
- Performing of work by prisoners in enterprise centres shall be carried out in form of own production and by provision of works and services. Products, works and services of the enterprise centre shall be provided to the customers against repayment. The enterprise centres shall ensure these activities inside or outside prison. The own production of the enterprise centres shall be designated above all for satisfaction of the needs of the Corps. The enterprise centres shall provide works and services to the legal or physical person on the basis of a contract. In the contract there shall be stipulated the conditions under which the prisoners shall work.
- Prisoners must not be trained for work with explosives, firearms, ammunition and addictive substances and must not perform works with explosives, firearms, ammunition and addictive substances. Detainees can work with other dangerous substances only in an extraordinary case under supervision of prison officers or civil employees of the Corps.
- The Corps' bodies shall carry out the supervision activity over performing works by prisoners; the right to supervision of other entitled bodies shall not be injured this way.
- The respective Corps' bodies shall be entitled to enter the service objects and facilities of legal and physical persons where prisoners work on the basis of the concluded contract and require submission of documents connected with performance of work by prisoners.
- Legal and physical person shall provide the prison the contractually agreed
- Working time and working conditions shall be the same for prisoners as for other employees. Prison governor can order the prisoner shortening of the working time; however, it must not be shorter than five hours a day. Prison governor can order the prisoner overtime work and work on holidays.

### **Hrnčiarovce nad Parnou Prison**

Hrnčiarovce nad Parnou prison facility is situated on the southwestern outskirts of the urban area of Trnava city, in the administrative territory of the municipality of Hrnčiarovce nad Parnou and with its 1443 prisoners capacity, is the largest facility in the Slovak Republic. In 2021, the Prison carried out the employment of convicts in 35 workplaces of enterprise center "VH/EC" which consisted of:



Table 1.

Type of workplace	2020	2021
Workplace outside the prison with supervision	13	10
Workplace outside the prison with direct supervision	1	1
Unguarded workplace outside the prison with free movement	13	13
Workplace in prison with supervision	16	8
Workplace in prison with free movement	3	3
<b>Total</b>	<b>46</b>	<b>35</b>

Compared to 2020, this is a reduction of 11 workplaces. On average, 516 inmates were placed to work out of 884 average classifiable inmates. For the period under review, the average employment rate of convicts was 58.37% with an overall average of 1,231 convicts. The average number of convicts classified in the internal operation (VP/IO) was 85 and the average number of convicts classified in the enterprise centre was 431. By comparison, in 2020, an average of 719 convicts out of 864 average classifiable convicts were assigned to work. For the reporting period of 2020, the average employment rate of convicts was 83.22% with an overall average of 1,246 convicts. An average of 84 convicts were classified in the internal operations and an average of 635 convicts were classified in the enterprise centre.

The average number of inmates placed in work in 2021 compared to 2020 was down by 203 inmates. The decrease in % employment in 2021 compared to 2020 was 24.85%. This was due to a lower average number of convicts classified in 2021 than in 2020. The overall average number of inmates housed was lower by 15 inmates. The lower number of enrolled convicts in 2021 was caused by the suspension of workplaces due to the Covid-19 disease. Due to the quarantine ordered by the Regional Public Health Office and the measures taken, the institution had to suspend all workplaces in the prison and outside the prison in the month of January 2021. At the beginning of February 2021, the institution started to gradually open supervised and free-movement type of workplaces in the prison, followed by supervised and free-movement workplaces outside the prison. Following the suspension of the workplace and a misunderstanding of the overall situation by one of the major clients of the work, the latter proceeded to terminate the cooperation, resulting in a shortfall of 222 enrolled convicts.

Table 2. Employment in 2021 and 2020 comparison:

	2020	2021
Total average number of convicts	1246	1231
Average number of classifiable convicts	864	884
Average number of classified convicts	719	516
Average number of convicts classified in VH/EC	635	431
Average number of convicts classified in the VP/IO	84	85
Percentage of employment	83,22 %	58,37 %

In 2021, there was a decrease in the average total number of inmates from 2020 by 15 inmates housed in the institution, and the number of classified inmates decreased from 2020 by 203 classified inmates. For a clearer picture of the employment of convicts in previous years, Table 3 provides us with the average number of convicts employed between 2015 and 2021.

Table 3. Average number of classified convicts in 2015-2021

Indicator	2015	2016	2017	2018	2019	2020	2021
Total average num. of convicts	<b>1297</b>	<b>1286</b>	<b>1378</b>	<b>1321</b>	<b>1287</b>	<b>1246</b>	<b>1231</b>
Average number of convicts classified in VH/EC	636	686	693	713	712	635	431
Average number of convicts classified in the VP/IO	81	83	83	84	83	84	85

Average number of classified convicts	<b>717</b>	<b>769</b>	<b>776</b>	<b>797</b>	<b>795</b>	<b>719</b>	<b>516</b>
Average number of classifiable convicts	902	919	976	923	882	864	884
Percentage of employment	<b>79,49</b>	<b>83,68</b>	<b>79,51</b>	<b>86,35</b>	<b>90,13</b>	<b>83,22</b>	<b>58,37</b>

### Legislative framework and work remuneration

The work remuneration shall belong to the prisoner type of performed work, time usage or labour input norm, he shall not be entitled to remuneration for the time when he has not worked. The amount of the labour remuneration and the conditions for its provision shall be established by the Government of the Slovak Republic by regulation. Deductions shall be made and paid by the Prison from the gross work remuneration of the convicted person in accordance with special regulations, the balance being the net remuneration from which deductions shall be made if the balance is more than 5% of the amount of the minimum subsistence wage according to a special regulation, in the amount and in the order of payment of

- alimony to persons against whom the prisoner has the obligation to pay maintenance
- charges of the prison sentence execution
- claims in the basis of the decision of the prison governor against the prisoner
- claims of other entitled lead against the prisoner

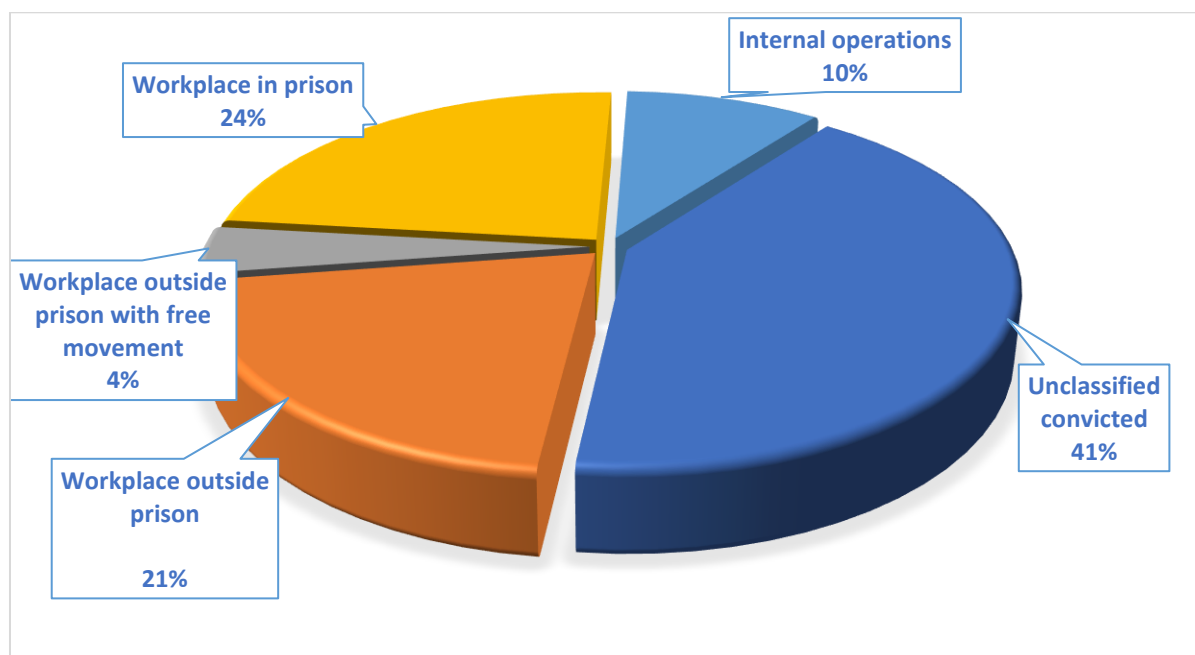
Table 4. Average monthly remuneration in VH/EC and VP/IO in 2021

	I.	II.	III.	IV.	V.	VI.	VII.	VIII.	IX.	X.	XI.	XII.	average
VH/ EC	1,61	186,9 7	198,4 9	178,6 2	176,3 4	182,7 1	174,0 5	172,3 6	164,4 0	175,0 2	158,7 8	159,0 9	<b>166,86</b> €
VP/ IO	199,4 9	241,1 5	246,5 5	240,9 2	245,5 4	239,0 1	238,5 2	244,0 7	240,3 9	243,1 7	234,8 1	278,0 3	<b>241,09</b> €

Table 5. Average monthly remuneration in VH/EC and VP/IO in 2020

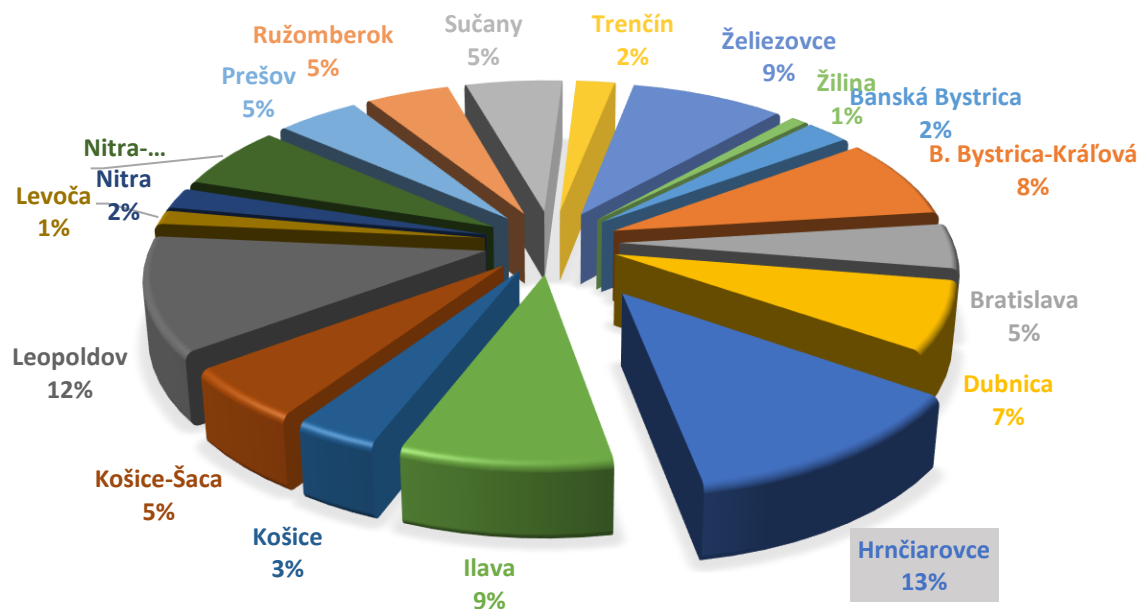
	I.	II.	III.	IV.	V.	VI.	VII.	VIII.	IX.	X.	XI.	XII.	average
VH/ EC	111,67	128,10	112,39	99,82	102,83	132,03	133,16	132,81	123,18	133,92	122,20	93,12	<b>119,84€</b>
VP/ IO	228,07	230,35	228,66	224,13	226,73	222,55	229,65	231,86	224,34	226,30	216,68	209,87	<b>224,95€</b>

Graph 1. Status of classifiable convicts at workplaces in Hrnčiarovce nad Parnou prison in 2021



Of the total number of classifiable convicts, an average of 21.00% of the convicts were assigned to workplaces outside the prison and 24.00% of the convicts were assigned to workplaces inside the prison (Graph 1).

Graph 2. Percentage of convicts classified in Hrnčiarovce nad Parnou prison to the total number of convicts classified in other Slovak prison facilities in 2021.



Hrnčiarovce nad Parnou prison achieved an average of 516 classified convicts, which represents 12.57 % of the total number of classified convicts in the Slovak prison facilities (Graph no.2) and the average number of classified convicts in the VH/EC is 431, which represents 13.65 % of the classified convicts in the Slovak prison facilities.

Table 6. Expenditure from the budget of the prison - remuneration of convicts for labour activity\*

	2018	2019	2020	2021
Internal operations	166 044,36	178 286,64	198 787,74	217 669,77
Internal operations-kitchen	23 393,67	24 914,30	28 632,78	28 966,61
<b>Internal operations-Total</b>	<b>189 438,03</b>	<b>203 200,94</b>	<b>227 420,52</b>	<b>246 636,38</b>
Enterprise Centre VH03-Work and services outside the prison	449 039,69	481 741,14	446 471,71	503 300,62
Enterprise Centre VH07- agriculture	2 366,37	1 399,48	1 842,79	1 769,46
Enterprise Centre VH08-Work and services inside the prison	383 342,39	405 291,87	464 542,47	357 432,63
<b>Enterprise centers - total</b>	<b>834 748,45</b>	<b>888 432,49</b>	<b>912 856,97</b>	<b>862 502,71</b>
<b>in total for the Prison</b>	<b>1 024 186,48</b>	<b>1 091 633,43</b>	<b>1 140 277,49</b>	<b>1 109 139,09</b>

Table 7. Revenue to the budget - invoicing of workplaces for the work of convicts\*

	2018	2019	2020	2021
Enterprise Centre VH03-Work and services outside the prison	858 450,40	948 295,43	823 023,04	877 749,98
Enterprise Centre VH08-Work and services inside the prison	544 687,14	573 752,48	657 249,30	497 476,00
<b>Enterprise centers - total</b>	<b>1 403 137,54</b>	<b>1 522 047,91</b>	<b>1 480 272,34</b>	<b>1 375 225,98</b>

\* For comparison of years - different variables are entered, such as the number of convicts assigned to work, the individual prices for the work of convicts at each workplace, the number of workplaces.

## Conclusion

From an economic point of view, the income from the distribution of the work remuneration of convicts is an important contribution to the budget of the individual institutions. The deductions made are used to cover the costs of serving the prison sentence, to pay maintenance for dependants and to settle other claims of the beneficiaries. When the convicted person is not working, part of these expenses is reimbursed from the State budget. In addition to the economic aspects of the employment of prisoners, the personality of the accused and convicted, their relationship to values, and the discovery and improvement of their own abilities come to the fore. Regular and purposeful work alleviates the stress of long-term isolation in a closed community. As can be seen from the attached graph, Hrnčiarovce nad Parnou prison accounts for 13% of the total employment of convicts in Slovakia, which is the highest among all 18 prison facilities in Slovakia. Despite the significant loss of a client in 2021 who employed an average of 222 inmates and whose departure was partly related to the pandemic situation, preliminary sub-data from 2022 show that this loss is gradually being replaced by increased capacity for additional clients.

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## An Overview of TEMA Foundation, an Important Non-Governmental Organization in Turkey

Assoc. Prof. Dr. Nurcan Özkan<sup>1</sup>

<sup>1</sup> University of Trakya, Faculty of Education, Department of Mathematics and Science Education, nurcanozkan@hotmail.com, ORCID: 0000-0001-5045-6186

**Abstract:** TEMA Foundation is the most well-known non-governmental organization in Turkey in the field of nature protection. Most people in Turkey have heard of this foundation in general and it provides support to tree campaigns or some projects. Despite this, there are still individuals who need enlightenment about the establishment purpose and projects of the TEMA foundation. First of all, the projects it has made arouse people's curiosity. TEMA Foundation stands for "Turkish Foundation for Combating Erosion, Afforestation and Conservation of Natural Assets". The main purpose of the TEMA foundation is to combat erosion and to protect natural assets. Combating erosion and desertification are issues that need to be addressed urgently in Turkey. Among the general objectives of TEMA are to show that people can fight against erosion and desertification that threatens the soil, to ensure that the danger is noticed, to protect the soil, to produce solutions for the protection of the soil, and to plant afforestation. It is also to protect natural assets and to ensure that these struggles are state policy. It aims to make this struggle for the protection of natural assets a public movement and aims to give priority to the volunteers who will be at the centre of the struggle. The afforestation projects carried out by the Foundation are exemplary works carried out with the aim of raising awareness in the public about the protection of forests and the services they provide, especially in combating erosion. Since its establishment, the Foundation has been protecting and increasing forest assets that provide many ecosystem services such as combating erosion, climate change, protecting biological diversity, water production, and providing habitat for wildlife. In order to raise awareness about the importance of afforestation works, afforestation works are carried out in order to create commemorative forests throughout the country with individual and corporate sapling donations. In addition, TEMA aims to enable children in education age to spend more time in nature, make observations, explore nature with a sense of curiosity, and strengthen their ecological literacy skills through various education programs. With this study, it is aimed to raise awareness about the environment and our future by considering the TEMA Foundation from various perspectives in today's world, where natural resources and the environment are gaining more and more importance and are also being destroyed.

**Key Words:** TEMA Foundation, Natural Environment, Awareness, Education

### 1. INTRODUCTION

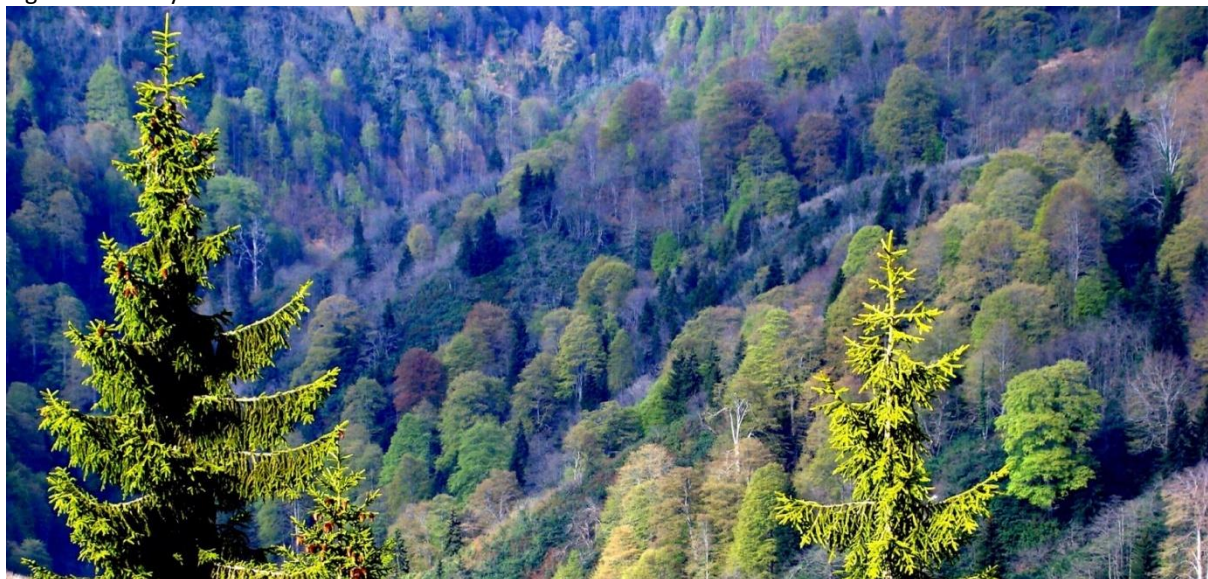
Hayrettin Karaca and A. Nihat Gökyiğit, one of the respected businessmen of Turkey, decided to bring the concepts of environment and sustainability, which are still very new at the international level, to Turkey and to organize nature conservation. The fight against erosion and desertification is one of the issues that need to be intervened as soon as possible in Turkey. For this reason, the importance of the subject was revealed to other leaders in the business world and the Turkish Foundation for Combating Erosion, Afforestation and Conservation of Natural Assets was established on September 11, 1992.

TEMA foundation has undertaken tasks such as combating erosion and desertification that threatens soils, being knowledgeable about the dangers in soils and protecting the soil, afforestation by producing solutions against soil loss (Figure 1), and protecting natural assets. It also works to make these struggles a state policy.

It is a priority to ensure that the struggle for the protection of natural assets is a popular movement. Volunteers are at the centre of the struggle. The presidents of TEMA Foundation became Soil Grandfather and Leaf Grandfather for all nature lovers in a short time during their nature journeys.

The slogan "Do not let Turkey be a desert" has created quite a stir in the society. Later, there was an increase in volunteers and supporters. In Turkey, pasture and land laws have been enacted on behalf of the environment. There are forests established in 81 provinces of Turkey with donations made to the TEMA Foundation. More than 4 million children have been reached through nature education and awareness activities. Nature education programs have been developed for children of all age groups. There are volunteer and supporter groups and provincial representatives in 81 provinces of Turkey, and the Young TEMA Community in around 160 universities. So far, 284 rural development and afforestation projects have been carried out. More than 50 thousand teachers and more than 35 thousand public employees were given environmental seminars. There are about 100 books on the environment. TEMA Foundation, which is integrated with volunteerism, trust, protection of trees, nature and natural assets, is more or less recognized by the society (URL 1).

Figure 1: Turkey should not be a desert.



Source: URL 2

As a result of human activities on the earth's surface, 420 million hectares of forest were destroyed in 1990-2020 for different purposes. Forests create various positive effects on the ecosystem; but on a global scale, forests are gradually decreasing for these reasons, afforestation studies should be given importance in order to protect forests and establish new forest areas. With the afforestation projects carried out by the Foundation, first of all, public awareness should be raised about afforestation efforts to combat erosion and to continue the forests and the services they provide (URL 3).

Since its establishment, the Foundation has carried out projects that ensure the protection and increase of forest assets that provide many ecosystem services such as combating erosion, climate change, protecting biological diversity, water production, and providing habitat for wildlife. Afforestation works are carried out to create commemorative forests all over the country with individual and corporate sapling donations in order to raise awareness and importance. The project regions are mostly the places considered as state forests in the afforestation programs of the General Directorate of Forestry. Thanks to the cooperation with the General Directorate of Forestry, saplings are planted and maintenance works are carried out in each field for 3 years.

With the project, the first memory forest was arranged in 1994 in the province of Ankara. Between 1994 and 2020, 11.5 million saplings were planted in more than 10 thousand hectares (13.7 thousand football fields) in 196 different places. As of 2020, the success rate of sapling control in 36 regions is 86% (URL 4). The project was realized in 2008 with the support of Is Bank of Turkey and in cooperation with the TEMA Foundation and the General Directorate of Forestry. In the first 5 years of the 10-year period between 2008-2018, the planting of Is Bank forests and the maintenance of each planting area for a period of 5 years are planned (Figure 2).

In the project, all people in Turkey, especially children; Efforts are made to increase awareness on the importance of afforestation studies in combating erosion and the protection of forest assets. Contribution is made to the forestation campaigns implemented throughout the country. In the sense of corporate social responsibility, responsibilities towards the environment and nature are created. Saplings are planted in each province with the participation of students from nearby schools. Sapling planting ceremonies aim to raise awareness among children. In the project, saplings were planted in 81 provinces in line with the plans, and 2.2 million saplings were planted on a total area of 1.604 hectares (approximately the size of 2,150 football fields) in an area above the planned level (Figure 3). Plantings were made in spring and autumn at all locations. Afterwards, the saplings in the forest areas were checked for 5 years and the completion planting and maintenance works were carried out in the provinces where the seedlings dried up. As of 2020, the project has achieved 84% success (URL 5).



Figure 2. Saplings planted in cooperation with TEMA Foundation and General Directorate of Forestry with the support of Is Bank of Turkey

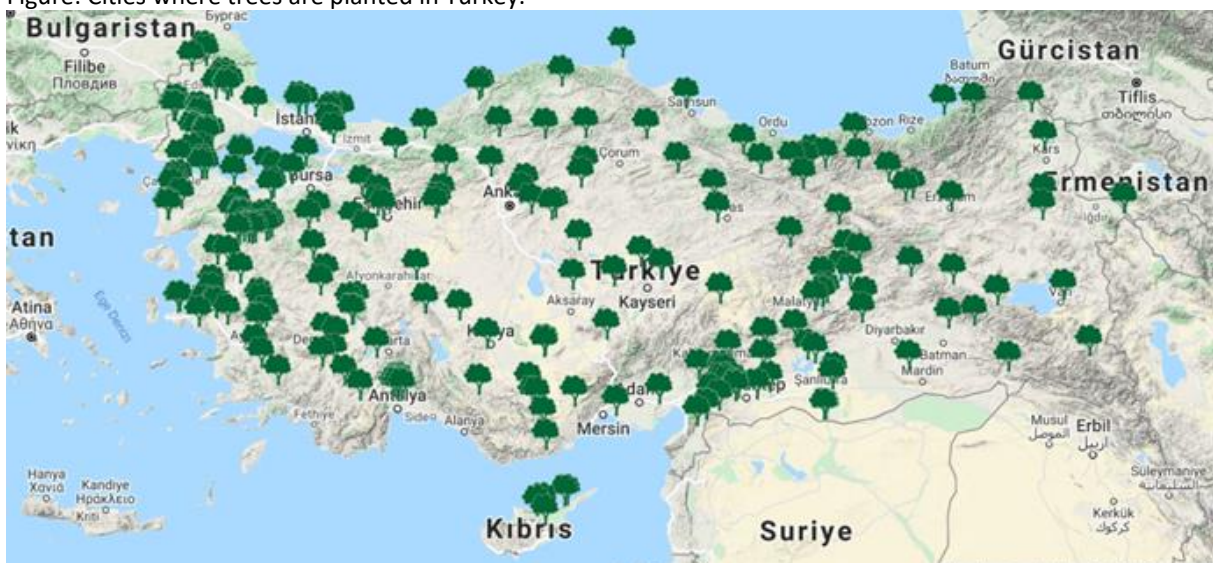


Source: URL 4

The tiny TEMA Education Program is planned for pre-school children. It aims for children to spend more time in nature, to make observations, and to explore nature with a sense of curiosity. It also aims to strengthen ecological literacy skills. The program, whose main purpose is to raise awareness of children on ecological literacy, covers 81 provinces of Turkey. It offers a total of 60 activities for teachers, 50 face-to-face and 10 online, to be applied in the open air and in the classroom, and children are supported to connect with nature (minik-yavrutema.org). Through the tiny TEMA Education Program, approximately 23,000 classrooms/teachers and 420,000 children have been reached in 81 provinces of Turkey so far.

The Cub TEMA Education Program enables primary school children to spend more time in nature, to make observations, and to explore nature with a sense of curiosity. It also aims to strengthen ecological literacy skills.

Figure: Cities where trees are planted in Turkey.



Source: URL 6



Figure 4: Events for tiny TEMA



Source: URL 7.

The Cub TEMA Training Program started its first field applications in 1996. Developed in 2014, the Cub TEMA Education Program is run by volunteer teachers in cooperation with the Ministry of National Education. Since the 2019-2020 academic years, this program has been implemented with the support of Is Bank of Turkey. The main purpose of the program is to raise awareness of children about ecological literacy. It is implemented in 81 provinces of Turkey. It offers teachers a total of 81 activity suggestions, including 71 face-to-face and 10 online activities that they can apply outdoors and in the classroom, and the program supports children to connect with nature (Figure 5).

There are educational materials prepared in the form of a wide fiction on topics such as soil and water assets, biodiversity, ecosystem, weather, observation in nature, and sustainable life. With the activity instructions under each topic, teachers can easily implement the activities prepared in accordance with the annual education programs in their classrooms or outdoors with their students (URL 8).

Secondary School TEMA Education Program has been prepared for children at secondary school level. It is carried out within the scope of different content courses and club activities throughout an academic year. The main aim of the program is to raise awareness about ecological literacy in children. It aims to develop children's empathy with living creatures in nature and to raise awareness about how their behaviours in their daily lives affect nature (URL 10).

The High School TEMA Education Program is designed to be beneficial to high school age youth. It is applied in different courses and club activities during an academic year. With the activities planned in the High School TEMA Education Program, it is aimed to help young people get to know natural assets closely. As a result, it has been designed with the aim of supporting people to think about the effects they have made on the world we live in and to take an active role in putting forward solutions to existing problems (URL 11).

Adopting the ecosystem understanding in spatial planning, making the plans effective in preventing the misuse of agricultural and pasture lands, making the plans effective in preventing and adapting to climate change, preserving natural and cultural identities; It is the basic condition for the implementation of sustainable land use policies throughout the plan grading.

Figure 5: Cub TEMA training materials



Source: URL 9.

The most important danger to the soils is the misuse of agricultural lands, the destruction of nature protection areas, erosion, and improper land management. With the efforts of the TEMA Foundation, with the enactment of the Soil Conservation and Land Use Law No. 5403 and the declaration of the Great Plains as of 2017, an important step has been taken for the protection of land assets and agricultural lands. Representatives of TEMA Foundation in many provinces participate in the committees and carry out studies to protect agricultural lands from misuse.

Environmental impact assessment is a process that evaluates the possible consequences of a project to be realized on the environment. Compared with other mechanisms for the protection of the environment; environmental impact assessment; It focuses on the prediction and prevention of undesirable effects. The production needs that arise with the increase in economic growth accelerate investments in sectors such as energy, mining and construction. As a result of this, protecting the nature is reaching the dimension of a process that is more and more difficult. TEMA Foundation follows both the legislative changes related to EIA and the EIA processes in activities that threaten the environment and human health, such as coal-fired power plants and gold mines, and initiates legal processes to protect nature when necessary. The TEMA Foundation advocates stopping climate change before it reaches an irreversible level and before the civilizational conditions established on the world are destroyed (Figure 6).

TEMA Foundation sets out policies on climate change and shares them with decision makers. As the first Non-Governmental Organization from Turkey accredited as an observer to the United Nations Framework Convention on Climate Change (UNFCCC), it closely follows international processes. It also works with other Non-Governmental Organizations in influencing the processes. In addition to its international experience, TEMA Foundation also carries out capacity building and awareness raising projects on climate change in Turkey (URL 12).

TEMA Foundation carries out activities against coal mining and coal-fired thermal power plants in many provinces in Turkey, especially in areas sensitive to agricultural lands and water availability. It is aimed to inform the public about ecosystem problems and public health problems caused by coal on the website, which also includes scientific reports on issues such as the relationship of environmental effects of coal mining and coal-based energy production to climate change. The Foundation carries out legal studies against thermal power plants that threaten soil, water and air in many parts of Turkey. It prepares policy notes on studies that will reduce energy needs such as alternative energy sources, energy efficiency and savings, instead of thermal power plants that cause serious harm to nature and human health. Thus, it explains with scientific data that Turkey is not condemned to thermal power plants and that a different energy and development policy is possible.



Figure 6: Negative consequences of climate change



Source: URL 12.

TEMA Foundation; It closely follows energy and mining projects due to its irreversible impact on water and land assets. Thus, it carries out its scientific and legal studies against projects that it thinks will have a negative impact on the ecosystem. When necessary, it brings the issue to the public agenda by organizing campaigns and raising awareness (URL 13).

Turkey's water resources are decreased and getting more and more polluted. TEMA Foundation has worked to protect natural assets since its establishment. Water is not a resource to be used; accepting that it is an asset that needs to be protected, it works both at the legislative scale and at the basin scale for the protection of water assets. In their studies, it is pointed out that the existing laws and regulations are not sufficient for the protection of water assets.

The TEMA Water Law Draft, which was shared with decision makers and the public in 2012, introduces new legal, administrative and ethical principles and rules in the protection of water assets. Since 2012, when the Draft Water Law was published, studies have been carried out to enact the law and water legislation has been closely followed.

In the project funded by the European Union, training and communication activities are carried out in order to increase local capacity on the Water Framework Directive and river basin management and to ensure active participation in basin committees. The project is carried out to strengthen the participation of civil society in the management of 25 river basins, which are the lifeblood of Turkey, and in the preparation of Basin Management Plans (URL 14).

## 2. RESULTS

Since 1995, the TEMA Foundation has asked political parties to develop policies that address the assets in the ecosystem holistically, protect the ecosystem, and recognize the rights of not only today's but also future generations, throughout all election periods. In this context, it prepares an eco-politics declaration, which deals with parameters related to nature such as water, soil, climate change, and land use, with the focus of problems and solution proposals, and shares it with the parties and the public (URL 15).

Environmental and climate problems transcend national borders and require global solutions. For this reason, TEMA Foundation not only follows the national agenda and legislation on environment and climate, but also follows the global agenda through international and regional networks. Contributions are made to the global environmental agenda from the perspective of Turkey through the roles in these networks and the contributions made in the international meetings attended.

The TEMA Foundation was awarded the "Soil for Life Award" given by UNCCD for the first time in 2012. TEMA Foundation follows the international agenda and standards with the works presented above. It carries global knowledge to the national scale and works for the implementation of global standards and targets in Turkey (URL 16).

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## An Overview of Some Environmental Problems Developed in the World as a Result of Globalization

Assoc. Prof. Dr. Nurcan Özkan<sup>1</sup>

<sup>1</sup>University of Trakya, Faculty of Education, Department of Mathematics and Science Education,  
nurcanozkan@hotmail.com, ORCID: 0000-0001-5045-6186

**Abstract:** The rapid increase in population and technological development in the world causes environmental problems to increase day by day and occupy the agenda. These environmental problems develop in global and local dimensions and affect all humanity. With the acceleration of the globalization process, environmental problems gaining a global character also create differences in the way these problems are handled and resolved. Today, environmental problems threaten the world we live in more and more every day. With the globalization process that is being experienced in the world, new opportunities are offered to humanity; As a result, new problems arise and existing problems are effective in more areas. Among the most important of these problems; climate change, ozone layer depletion, erosion, air, water and soil pollution etc. problems are coming. These problems manifest themselves at all levels, from the global to the regional and local level. Along with the globalizing world, environmental problems also require a global evaluation and solutions. Today, these problems, which are located and discussed at national and international levels, await solutions with economic, social and political aspects. With this review article, it is aimed to contribute to the environmental sensitivities and awareness of individuals and societies by addressing current environmental issues.

**Key Words:** Environment, Environmental Problems, Human, Awareness

### 1. INTRODUCTION

Although the formation of an ecological difference in the world started about 4 billion years ago, the emergence of human beings and its impact on the world have been in the last 4 million years. Before man, the sources of change on Earth were only cosmic and geographic forces. This situation changed after man emerged. However, the change created by man in nature took place at the highest speed in the 20th century. Although the effect of man on nature was limited for many years, it reached the level of threatening natural life in the 20th century. Today, human beings have started to reorganize their relations without respecting their relationship with nature (McNeill, 2005; Kılıç, 2013).

Environmental problems have emerged as a result of the various activities of people, as a result of which environmental values are damaged. The environment is necessary for the survival of humans and all other living things. Environmental problems arise as a result of the environment's inability to renew itself. Environmental problems are no longer local, but have reached an international dimension; it has reached a level that will negatively affect not only humanity, but also all living species and world life (Kaypak, 2013).

The reason why man radically changes nature in favor of man is his economic activities. In other words, it is a person's constant desire to get richer and have a better life. For this reason, human intervention in nature can be roughly deduced from economic data (Kılıç, 2013). Today, the size of an economy is measured by the sum of goods and services produced in a year. Each production is actually an indicator of how much benefit people benefit from nature. For example, while production in the whole world was only 240 billion Dollars at 1990 prices about 500 years ago, today this figure is well below even only Turkey's economy. The development of the world economy's trade in the open seas, with new technological applications and innovative approaches, reached 695 billion dollars in the 1820s and 1.98 trillion dollars in 1900 (McNeill, 2005). In 2008, the production of all countries in the world reached 60,689,812 trillion dollars (IMF, 2011). The results of this increase in the production rate in the world provide information about the dimensions of pollution. The rapid growth in production and consumption, the rapid increase in the world population, the extreme competition conditions created by the free market model, the necessity of constantly developing and renewing products, the efforts to increase employment, the directing of the society to excessive consumption, wars and accidents have also increased environmental problems.

Environmental problems started to occur when the use of natural resources exceeded the capacity of natural resources to renew them. Environmental problems came to the fore especially in the 1950s. An environmental

problem, the importance of which is increasing rapidly today, has reached dimensions that threaten human life. These developments require us to think about the causes of environmental problems and the search for solutions (Haftacı and Soylu, 2007).

People can survive as long as they live in an environment that provides them with life support. For this reason, human beings can only live on Earth, which is the only planet with life support among the planets in the Solar System. It is not only an environmental problem that human beings pollute, unconsciously consume and destroy the air, water, soil, natural resources, flora and fauna in the world. At the same time, it causes the disappearance of the life support systems offered by the Earth to human beings and a dangerous process that naturally extends to the extinction of the human species. A healthy environment is the prerequisite for all human activities and rights (Bilir and Hamdemir, 2011).

The formation of environmental problems is of natural origin (caused by natural disasters such as volcanic eruption, fire, and earthquake) and artificial origin as a result of human activities (Gökdayı, 1997, p. 71). Today, the most important effect in the formation of environmental problems is human beings. For this reason, it is said that the environmental problems experienced are basically of human origin.

Mankind has made continuous scientific and technological developments in order to provide better living conditions for itself. These developments have gained a feature that creates important environmental problems that will affect the ecological system. On the basis of environmental problems lies the effort of human beings to dominate nature and to prevail over each other. In this context, the causes of environmental problems can be listed as urbanization, industrial development, air, water and soil pollution, population growth and lifestyle (Güneş and Coşkun, 2004), people's unconsciousness, and accordingly, many activities carried out for development are not in a way that allows the ecosystem to renew itself (Gökdayı, 1997).

Urbanization causes the expansion of urban areas at the expense of agricultural areas, which causes the extinction of flora and fauna in that region at the rate of expansion. In addition, the increase in population brought by urbanization also causes environmental problems due to excessive use of natural resources such as water in that region (Gökdayı, 1997).

Industrial development is a process that demands natural resources as raw materials, then turns this raw material into an intermediate product and offers it to human use. Here, both the balance of nature is disturbed during the raw material demand process and the environmental problems caused by the chemical wastes that arise as a result of the processing of these raw materials create an environmental problem (Gökdayı, 1997, p. 24).

The increase in population also leads to more consumption of environmental values in order to meet the needs necessary for people to live. One of the biggest environmental problems that arise with this population growth is deforestation. Problems such as erosion and desertification arise due to deforestation and the decrease in rainfall and the consequent impoverishment of water resources (Güneş and Aydın, 2004).

The increase in the world population and economic growth increase the demands of the world societies for goods and services day by day. It is obvious that this increase in demand will put a significant pressure on the world's natural resources. The economic inclusion of countries such as China and India in the big leagues leads to a further decrease in natural resources throughout the world. Although the world population has increased seven times in the last fifty years, life support areas such as water to feed the world and agricultural lands have either been increased very limitedly or have remained the same. For example, there is a 5-fold growth in the demand for seafood today. On the other hand, many fish species are both disappearing and decreasing in number due to overfishing of seafood. For this reason, decreasing world resources in the face of increasing world population is one of the most important global problems waiting for solution (Brown, 2006; Ertürk, 2011).

The losses of biodiversity resources, which are vital for economic and social development, due to human-induced activities and the extinction of some species have reached alarming levels. The UN Convention on Biological Diversity was adopted at the World Sustainable Development Summit held in Rio de Janeiro in 1992. The Convention entered into force in 1993 and Turkey became a party in 1996. Currently, 196 countries and the EU are parties to the Convention.

Turkey, a country rich in biodiversity, is located on 3 different climatic zones and 3 biogeographical areas. Turkey has over 11,000 plant species, approximately 19,000 invertebrate species, and over 1,500 vertebrate species. In addition, it has a rich ecosystem and natural habitat diversity with 2 large bird migration routes, 1,444,293 hectares of marine protected area, 1865 km of protected coastal length, 2,783 protected areas with a total area of 5.9 million hectares, 34 national parks and 81 nature parks. Global efforts to conserve, sustainably use and

restore biodiversity are essential for the well-being of future generations. Turkey will host the 16th Conference of the Parties to the Biennial Convention on Biological Diversity in 2022 (<https://www.mfa.gov.tr/biyolojik-cesitlilik.tr.mfa>).

Climate change is among the most important global problems of today with its feature that knows no borders in the world and affects all countries regardless of the level of development. The Mediterranean basin, including Turkey, is one of the most sensitive regions to the negative effects of climate change. According to the Environment and Climate Change Mediterranean Experts Network 2019 Report, the Mediterranean region is exposed to a 20% higher temperature increase than other regions in the world. It is estimated that the temperature increase in the Mediterranean will reach 2.2 degrees Celsius by 2040. On the other hand, the 1st Mediterranean Assessment Report on Climate and Environmental Changes in the Mediterranean Basin in 2020 was published. According to this report, it is stated that the average sea water level in the Mediterranean has increased by 6 cm in the last 20 years, and this increase will increase between 43 cm and 84 cm until 2100.

Turkey is faced with the reduction of water resources and desertification due to global warming. Therefore, it has begun to be affected by negative aspects such as ecological deterioration. The recent extreme weather events in Turkey are the most important indicator of this (<https://www.mfa.gov.tr/iklim-degisikligiyle-mucadelenin-onemi.tr.mfa>).

The climate change agreement encourages states parties to reduce greenhouse gas emissions, collaborate on research and technology, and protect greenhouse gas sinks (for example, forests, oceans, lakes). The Convention is based on the principle of “common but differentiated responsibilities and relative capabilities” to reduce greenhouse gas emissions, taking into account the development priorities and special conditions of countries. After the industrial revolution, some countries release greenhouse gases that cause climate change to the atmosphere more than other countries. Therefore, the convention considers that these countries should take more responsibility. The principle of “common but differentiated responsibilities and relative capabilities” requires countries to contribute to this global effort within their socio-economic conditions.

Excessive fertilizers and pesticides used unconsciously in agricultural areas combine with irrigation water and cause rapid pollution of soil and water. When industrial and domestic wastes are added, important agricultural areas gradually become areas that cannot be cultivated. As a result, the balance of agricultural soils, which have been formed for many years, is disturbed by chemicals and domestic wastes (Kılıç, 2013). Undoubtedly, China is among the countries that have problems due to environmental problems today. Despite the increase in its economic power in the world, soil erosion is one of the main problems for China, whose forest wealth is extremely limited. Many people living in China had to migrate to other regions due to air, water, soil pollution and the decrease in production (Keser and Bulut, 2010).

Environmental problems are also called environmental pollution. It is a set of negative developments that occur in the air, water and soil as a result of various activities of people. As a result of these negative developments, the deterioration of the ecological balance and the odor, noise and wastes resulting from the same activities are expressed as undesirable results in the environmental environment (2872 Environ. Law). Environmental problems can be examined in the form of air pollution, water pollution, soil pollution and other environmental pollution.

The change in the balance of the gas mixture in the atmosphere is called air pollution. The Turkish Environmental Problems Foundation defines air pollution as “the increase of pollutants in the atmosphere in the form of dust, gas, smoke, odor, water vapor to a level that will harm people, other living things and property” (Yıldız et al., 2000).

Environmental pollution affects the water most easily, in the shortest time and the most. Because all kinds of pollution are cleaned by washing with water. Pollution reaches the water last. Air and soil pollutants are also cleaned, albeit a little, by giving the pollutants to the water. Water pollution; It can be defined as “changes resulting from human-induced effects, which reduce or prevent the use of water, disrupting the ecological balance” ([www.cevreorman.gov](http://www.cevreorman.gov)). Dirty water is not suitable for use or drinking. Water pollution occurs as a result of various human activities. All kinds of activities leave certain amounts of waste and residue to the receiving environment. Therefore, all activities can potentially adversely affect water resources.

Today, our lands are polluted to such an extent that they are endangered. Harmful substances left to the soil thoughtlessly, unconscious interventions spoil the physical and chemical structure of the soil. Soil has the ability to renew itself if it is not used excessively and carelessly and measures are taken against erosion. In general, soil

pollution can be defined as the deterioration of the physical, chemical, biological and geological structure of the soil as a result of human activities, and the decrease in its useful usability (Karpuzcu, 1991).

It is best to solve environmental problems at their source, if they can be solved. With this approach, it is tried to protect the environment by preventing the factors that cause environmental problems. In order to do this, it is necessary to investigate the factors that cause environmental problems and to determine them correctly. The main environmental problems are; population growth, industrialization and urbanization.

Population growth of third world countries, which are shown to cause environmental problems, is a factor in the pollution and deterioration of the world. However, it is less effective than the excessive consumption that occurs as a result of the modern consumption style of developed countries (Gökdayı, 1997). The increase in living standards increases the damage caused by people to the environment, and the environmental effects created by individuals in developed countries are more than individuals in underdeveloped countries.

Industrialization is one of the most important causes of environmental pollution. Many branches of industry cause great harm to the environment. Despite this, industry is used to protect the degraded environment. Since it is not possible to give up the industry, it is necessary to create an industry that does not pollute the environment in order to solve the problem. The relationship between environmental protection and economic development is always a controversial issue. The only way to achieve this is “sustainable development”.

Urbanization, which can be defined as the increase in the number of cities and the number of people living in cities, is one of the causes of environmental problems. Cities, which accelerated with the industrial revolution and developed rapidly in the industrial countries first and then all over the world, give the appearance of big problem areas. Unplanned urbanization, which is very difficult to return to, produces problems that are difficult to solve. Transportation, infrastructure, health, education, communication and similar services cost much more when they are not planned in advance and are done later. Rapid urbanization, the rapid destruction of agricultural lands, the increase in the number of dwellings in cities create more environmental pollution due to more vehicles, more air pollution, more waste (Haftacı and Soylu, 2007; Keleş and Hamamcı, 2005).

For millions of years, carbon dioxide in the atmosphere has been stockpiled by forests. In recent years, more and more forests have been destroyed due to reasons such as gaining agricultural land or warming up. These magnificent carbon dioxide stocks have been steadily declining since the 1800s. In developing countries, approximately 13 million hectares of forest have been cleared every year since 1990. This amount means that an area the size of Greece is destroyed every 3 years. The forest areas, which are tried to be re-established in the areas destroyed in the following years, show a very weak quality compared to the previously existing ones. Forests in every region of the world are constantly being destroyed primarily for the furniture industry (Brown, 2006). The use of forest products for commercial purposes in large quantities makes it difficult to protect these areas. The unconscious removal of forest areas leads to the rapid loss of agricultural lands. On the other hand, the destruction of vegetation often causes dust clouds to form in these places and harm the environment. Almost everywhere from Kazakhstan to China, from the African continent to the Americas, forests and vegetation are destroyed and such problems are observed (Kılıç, 2013).

Mankind, by doing nothing, is destroying life support systems day by day; therefore, will it be a spectator for humanity to come to an end and for future generations to not have the right to live? Answering "yes" to this question is not a realistic and consistent answer with the history of humanity, the instinct of human beings to live and maintain their lineage. If mankind is going to do something about this photograph, what should it be? Should it abandon the urbanization and industrial activities that cause environmental problems, and completely abandon the modern lifestyles offered by technology? Or should it take drastic legal measures to curb population growth? As can be expected, human beings will not accept to give up many of the things they have today? In fact, it will continue its efforts to dominate nature, to live more comfortably and to establish superiority over others by accelerating technological developments. The historical process reveals this. In other words, how can human beings eliminate environmental problems from being threatening for themselves, other living things in nature and future generations without compromising their current lifestyle? This question can be answered both by considering the approaches put forward on the future of the environment, and by considering the concrete measures to be taken in this regard (Bilir and Hamdemir, 2011).

## 2. RESULTS

What has been explained above clearly shows us the extent to which the human-nature relationship has reached. Benefiting from nature in various ways brings the responsibility of protecting it. Unfortunately, people did not



act responsibly while benefiting from nature; on the contrary, they destroyed nature. The destruction of the environment for various reasons leads to many problems, from more difficult feeding conditions for living things to their extinction.

The most important cause of environmental degradation today is due to human economic activities. These problems are becoming more and more global with each passing day, and since no measures are taken, they show their effects in a more devastating way every year. In general, the increase in the emission of greenhouse gases and polluting substances, the excessive use and destruction of forests, the destruction of habitats for plant and animal species are the problems that are actually experienced in our world. With the continuing high population growth in developing countries, a significant increase in environmental problems is expected in the near future (WBGU, 1993). Environmental problems, on the one hand, create new poor masses that cannot cultivate their land, cannot catch fish or have to leave their settlement areas, on the other hand, due to the destructive activities of the poor masses who cannot find the opportunity to migrate. Studies conducted in many slum areas show that environmental problems and poverty are intertwined. However, this close relationship inevitably causes people living here to become insensitive to environmental problems (Gevrek and Azman, 2007). In other words, the problem of income distribution in countries not only causes many people to live in a more polluted environment, but also causes these people to become more insensitive to environmental protection. Thus, poor people can easily engage in behaviors that will lead to the destruction of nature.

The solution of environmental problems depends on structuring people's activities that harm the environment in a way that does not harm the environment. This fact necessitates a new approach to all activities. Environmental impacts must also be taken into account in all activities, from production to consumption. Generally speaking, these actions concern all individuals, institutions and organizations (Haftacı and Soylu, 2007).

The concept of externality is one of the important factors in environmental protection studies. An externality is the positive or negative effects that occur as a result of any activity but are not undertaken by the person performing the activity. One of the most important factors in ensuring the effectiveness of environmental accounting is the internalization of environmental externalities. Businesses generally avoid the internalization of negative environmental externalities. There are two main problems of internalization of externalities; the first is the difficulty of being detected, and the second is the avoidance of negative externalities. There are really important difficulties in measuring and evaluating the dimensions of environmental externalities, on the other hand, internalizing environmental externalities creates additional costs for businesses. For these two reasons, businesses generally avoid the internalization of negative externalities (Soylu, 2005).

The global transition to a low-carbon economy in the fight against climate change requires a radical transformation that will change people's lifestyles, production and manufacturing methods. For this reason, efforts to combat and adapt to climate change should not be perceived as a mere environmental problem. In fact, this struggle can directly affect the growth strategies, energy policies, health and agriculture-related programs, use of water resources, food security, transition to a low-carbon economy and sustainable development goals to be followed by developed and developing countries, and may be decisive in their development. In order to achieve these goals, it is important for developed countries to fulfill their commitments on financing, technology transfer and capacity building (<https://www.mfa.gov.tr/iklim-degisikligiyle-mucadelenin-onemi.tr.mfa>).

Deforestation and the resulting change in precipitation regime, decrease in water resources, erosion, desertification and ultimately climate change; especially environmental problems such as global warming are the problems we are facing now. All these environmental problems will create a natural resource and energy bottleneck. In this situation, they are pregnant with processes that may result in cases such as failure to meet their nutritional needs, health problems, decrease in biological diversity, and mass deaths.

In the solution of environmental problems, policies to be followed on a local scale are very important as well as global-scale policies. When we look at the policies that can be followed on a world scale regarding the future of the environment: We can count it as limiting and/or resetting growth, protecting cultural diversity, reducing production and consumption, turning to alternative energy sources, especially solar energy and wind energy, elimination of economic imbalances caused by the level of development between countries, improving the living environments of living things, paying a price for the polluters to eliminate this pollution, gradually finding and abandoning alternatives to technologies that cause pollution, starting with the most polluting, taking a holistic approach to these problems and establishing environmental security systems, keeping in mind that environmental problems are triggering each other (Gökdayı, 1997).

Although world-scale policies on the future of the environment are popular and important; it is also important to produce various solutions to this problem by starting from the local. If the environment that people are trying to protect can be embodied with a place in their minds, for example, if it is coded as the places where they live, travel and have fun, people will be more sensitive about protecting the environment (Tekeli, 2005). Thus, an important sensitivity and effort will be created from the local to the national and from there to the global. Local-scale policies will also be more realistic and beneficial, as they will lead to more accurate determinations and implementation of what needs to be done to protect the environment in that place.

Just as the environmental problems experienced today are of human origin, the solution to these problems is also of human origin. It is not enough to talk about the rules that people should follow about the environment. The main thing is to create the desire and consciousness that will bring them to life in people. Environmental education is what needs to be done to create this desire and awareness. This is an education that should be given importance in schools, and it is an education that should be carried out jointly by the state and non-governmental organizations and should be spread to all segments of the society and to the whole time.

Now people should stop thinking about questions such as how can we produce more and how much can we grow our economies. Instead, they should focus on how we can protect a healthy environment without risking it. In other words, human beings have to develop environmentally friendly production models and pay the price to eliminate the damage done to the environment while producing. In this framework, first of all, a sustainable development model should be followed; should develop alternative energy sources and technologies that pollute the environment less. While these are being done, it is necessary to continue environmental education activities uninterruptedly in order to raise awareness in this direction in order to reduce consumption habits that lead to excessive luxury consumption, and to increase people's awareness of not polluting and protecting the environment.

It is necessary to accept that the green revolution, which is claimed to aim to solve the food problem in the world, does not work anymore. Despite so many fertilizers and pesticides used against nature, it is clear that the problem of hunger is essentially a political and social problem (Capra, 2009). Because the fight against poverty is such a comprehensive problem that it cannot be solved by eliminating people's hunger alone. For this, in addition to increasing the income of individuals, improvement in the health status of the individual, raising the education level, creating the conditions in which he can use his fundamental rights, etc. (WBGU, 1993), it is necessary to carry out studies such as. Otherwise, the fight against poverty will have no chance of success.

The borderless nature of environmental problems necessitates a multi-faceted cooperation and coordination environment in the solution of these problems. For this reason, when environmental problems are the subject, it is expected that the regulation of the authority will be needed. The fact that environmental problems have a cross-border dynamic that is faster than economic rules has led to the conclusion of many international environmental agreements, the emergence of environmental protection organizations and the formation of a new understanding on the basis of global partnership. The need for many authorities around the world to come together and produce policies on the environment in their common use is a result of this process (Kaypak, 2013).

“This world belongs to all of us, there is no other Earth, so we have to protect it and treat it with respect”.

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## Examining the Relationship Between Internal Marketing and Employee Happiness in Maritime Business Organization in Turkey

Assist. Prof. Dr. Ali Tehci<sup>1</sup>

Assist. Prof. Dr. Nihan Senbursa<sup>2</sup>

<sup>1</sup>Ordu University, Fatsa Faculty of Marine Sciences, Maritime Administration Management, a.tehci@odu.edu.tr, ORCID: 0000-0001-9949-2794

<sup>2</sup>Ordu University, Fatsa Faculty of Marine Sciences, Maritime Administration Management, nihan.senbursa@gmail.com, ORCID: 0000-0001-5144-4240

**Abstract:** One of the biggest responsibilities of human resources managers is to provide the right workforce. But today, in addition to employing the workforce, ensuring that talented employees are happy in the organization is another responsibility of human resources. The happiness of the employees in the workplace is very important for the sustainability and profitability of the organizations. Therefore, this study is evaluated from a marketing and managerial perspective so that companies can be more sensitive about the happiness of their employees. For this reason, it is aimed to examine the relationship between internal marketing activities and the happiness of the employees and to determine whether the working time causes a significant difference on the happiness of the employees. The research data is obtained from the employees of a maritime enterprise operating in Turkey, by means of an electronic questionnaire as a result of the convenience sampling method. As a result, in this study, internal marketing emerged as a 3-dimensional structure. It has been determined that there is a positive and significant relationship between internal marketing dimensions and employee happiness. As a result of the regression analysis, it was determined that "education and development" and "vision and communication" dimensions had a positive effect on employee happiness, while the "performance measurement and rewarding" dimension did not have a significant effect. In addition, it was concluded that the working time did not cause a significant difference on the happiness of the employees.

**Key Words:** Internal Marketing, Employee Happiness, Maritime Business

### 1. INTRODUCTION

In today's global world, organizations work in an intensely competitive environment. For this reason, organizations need to develop themselves in order to adapt to the competitive environment. Therefore, it is vitally important that employees, who are important resources for the success of organizations, are knowledgeable, responsible, able to establish good relations in the working environment and are happy. It is stated that employee happiness can increase productivity by resulting in a good attitude towards the organization (Chaiprasit & Santidhirakul, 2011: 190; Joo & Lee, 2017: 207). Various studies have been conducted to measure happiness at work. However, it is stated that most of the studies focus on job satisfaction rather than measuring employee happiness (2013; Elnanto & Suharti, 2021: 312). The happiness of the employees is very important for the success of the enterprises. Happy employees can increase the profitability of institutions by showing high performance in their workplaces (Chaiprasit & Santidhirakul, 2011: 190; Joo ve Lee, 2017: 207; Othman et al., 2018: 863). The concept of employee happiness in the workplace is important for organizations. However, it can be said that the studies carried out in this context are limited (Joo & Lee, 2017: 207; Elnanto & Suharti, 2021: 312).

In today's service-oriented economy, businesses need to attach importance to service quality in order to gain sustainable competitive advantage. Kotler et al. (2005) emphasized that service quality is the most important element of the competitive advantage of institutions. The rapid development of the service sector has revealed current marketing approaches. In this context, one of the most important approaches is internal marketing. In the internal marketing approach, employees are seen as internal assets of organizations (Yeniçeri et al., 2020: 477). Internal marketing considers employees as internal customers, businesses as a kind of product and an organization as a market (Tsai & Tang, 2008: 118). The concept of internal customers, expressed as employees working in the organization, is important in terms of improving the efficiency of an organization's production and service delivery process. Because the quality of the service provided in the service sector largely depends on the attitudes and behaviors of the employees who provide the service (Varinli, 2006: 108). It is not possible for unhappy employees who have constant problems with the organization they work for to provide quality service to external customers (Demir et al., 2008: 137). Internal marketing, aimed at improving the quality of service, provides training to its employees for development and motivating actions in order to increase the quality of service provided by an organization to its customers (Ahmad & Al-Borie, 2012: 87).

It can be said that improvements made in management processes as a result of investments in human capital will increase the quality of services. In this sense, human resources are vitally important for businesses to gain competitive advantage (Safari et al., 2017:2). It is stated that internal marketing is a sub-title of both marketing and human resources management (Cioclov et al., 2016: 68). Therefore, when the literature is examined, it can be seen that each study deals with the subject of internal marketing from a different perspective. Internal marketing aims to establish a better bond between the employees and the organization by increasing the job satisfaction, happiness, performance and service quality of the employees (Akyüz & Yazıcı, 2022: 85). Businesses in the maritime sector, which try to provide quality and effective services, offer supportive, complementary and facilitating services. They have important responsibilities for effective service delivery (Baran & Arabelen, 2017: 27). The maritime sector, which forms the basis of international trade and world trade, is of critical importance for business management. The maritime industry therefore requires highly trained individuals and teams to lead the development, implementation and control of contemporary management practices (Chen et al., 2018: 268). For this reason, in this study, the effect of internal marketing on the happiness of the employees, who are seen as the internal assets of the organizations, is tried to be determined. It is thought that the results of this research will contribute to both the maritime sector and the literature.

## 2. THE PURPOSE AND HYPOTHESES OF THE RESEARCH

No matter how good the technological facilities of organizations are, their most important resources are human capital. Human resources are the basis of the success of businesses operating in the service sector. It is also vital for businesses to gain competitive advantage. Internal marketing, on the other hand, is seen as an approach that can increase the performance, happiness, and service quality of employees. Organizations adopt an internal marketing approach to increase the value of people, an important resource. In this context, feeling good and happiness, which is directly related to the workplace and society, is an issue that should be considered for businesses. There are studies that have determined that there is a significant relationship between internal marketing and employee happiness in different service sectors (Nasrifahani et al., 2012; Safari et al., 2017). In this study, it is aimed to determine the relationship between the internal marketing approach and the happiness of the employees in a business operating in the maritime sector. Another aim of the research is to determine whether the working time in the institution causes a significant difference on the happiness of the employees. The research hypothesis created in this context is as follows.

H1: There is a positive and significant relationship between internal marketing and employee happiness.

H2: Working time causes a significant difference in employee happiness.

## 2. METHOD

A questionnaire was used as a data collection tool in the research. In order to ensure the validity and reliability of the research, first of all, a literature review was made, and the resources related to the subject were used in the design of the questionnaire. As a result of the literature review, the internal marketing scale was adopted Foreman and Money (1995) and the employee happiness scale was Othman et al. (2018) and Elnanto and Suharti (2021). In the literature, there are limited studies on both internal marketing and employee happiness. However, it is seen that studies in this context for maritime organizations, which form the basis of the economy, are extremely limited. For this reason, the sample of the research consists of randomly selected participants from among the employees of a maritime business operating with approximately 450 employees in Turkey. Since it would be difficult and costly to reach the whole of the main mass, the convenience sampling method was preferred in the research. There are 21 questions in the survey. The research data were obtained as a result of the electronic questionnaire applied with a 5-point Likert Scale to 226 employees between 15/02/2022 and 23/02/2022. According to Tabachnik and Fidell (2007), the study ( $n > 50 + 8m$ ) meets the minimum sample size criterion. The first part of the questionnaire is on a 5-point Likert scale (1: Strongly disagree, 2: Disagree, 3: Neutral, 4: Agree, 5: Strongly Agree). The second part consists of questions about the demographic characteristics of the participants. The demographic characteristics of the participants in the study are shown in Table 1.

Table 1: Demographic Information About Participants

Educational Status	N	%	Gender	N	%
Elementary education	2	0.9	Female	67	29.6
High school	4	1.8	Male	159	70.4

College/University	200	88.5	<b>Marital Status</b>	<b>N</b>	<b>%</b>
Postgraduate	20	8.8	Married	107	47.3
<b>Age</b>	<b>N</b>	<b>%</b>	Single	119	52.7
18-25	6	2.7	<b>Term of employment (year)</b>	<b>N</b>	<b>%</b>
26-33	65	28.7	1-9	153	67.7
36-41	122	54.0	10+	73	32.3
42-49	23	10.2	<b>Total</b>	226	100
50 +	10	4.4			

As it is seen in Table 1, approximately 30% of the participants are women and 70% are men, and their marital status rates are close to each other. It is seen that 88% of the participants in the study are university graduates and the majority of the participants are between the ages of 36-41. Another result of the demographic analysis of the research is that approximately 68% of the participants have been working in the relevant institution for 1-9 years, and 32% of them have been working in the relevant institution for 10 years or more.

### 3. RESULTS

The data were analysed with the IBM SPSS Statistics 24 package program. Reliability analysis was applied to measure the reliability of the questionnaire questions. Reliability analysis should first be applied for each factor separately, and then the whole should be looked at (Yaşlıoğlu, 2017: 78). For this reason, reliability analysis was applied for each factor created with the Likert scale. As a result of the analysis, the internal marketing scale was found to be 0.918 and the employee happiness scale was found to be 0.893. Afterwards, reliability analysis was applied to all questions and the overall Cronbach's Alpha coefficient was determined as 0.936. The fact that the alpha coefficient is in the range of 81% -100% indicates that the research is very reliable (Nakip, 2013: 205). Principal components analysis and varimax transformation were used in factor analysis. As a result of factor analysis, internal marketing was grouped under 3 factors. Therefore, in our study, the dimensions that form the internal marketing variable were determined as "education and development", "vision and communication" and "performance measurement and rewarding". The results are shown in Table 2.

Table 2: Results of Factor Analysis

Variable	Question	Factor Load	Eigenvalue	Cumulative %
Education and Development	IM1	0.679	9.324	44.401
	IM2	0.649		
	IM3	0.778		
	IM4	0.795		
	IM5	0.685		
	IM6	0.654		
	IM7	0.622		
Vision and Communication	IM8	0.537	1.649	52.255
	IM11	0.755		
	IM12	0.522		
	IM14	0.810		
Performance Measurement and Rewarding	IM15	0.853	1.005	57.042
	IM9	0.855		
	IM10	0.876		
Employee Happiness	IM13	0.909	2.120	67.138
	EH1	0.679		
	EH2	0.649		
	EH3	0.778		
	EH4	0.795		
	EH5	0.685		
Kaiser Meyer Olkin (KMO)	EH6	0.654		
	0.888			
Approx. Chi-Square	3217.580			
Bartlett's Test of Sphericity	df 210			
	Sig: 0.000			

Bartlett's sphericity test results in Table 2 show that there is a sufficient level of relationship between variables for factor analysis ( $p < 0.05$ ). The KMO Sampling Adequacy Test is an index that compares the size of the partial correlation coefficients with the observed correlation coefficients and shows the suitability of the data set for factor analysis. Since the KMO value is 0.888, it is considered to be good (Kaiser, 1974: 35). The total Eigen value of each variable used in the study is greater than 1. Cumulative variance is 67.138%. It is also seen that the factor load in each scale in the study is 0.50 and above.

### 3.1. Analysis Results

Within the scope of the research, correlation analysis was used to determine the relationship between internal marketing dimensions and employee happiness, and multiple regression analysis was used to determine the effect. In addition, determining whether the working time causes a significant difference on employee happiness was analysed with the t test. Analysis results are given in tables below.

Table 3: Results of Correlation Analysis

Mean	Standard Deviation	Education and Development	Vision and Communication	Performance Measurement and Rewarding	Employee Happiness
4.20	0.639	1	0.582	0.561	0.618
4.22	0.678		1	0.700	0.539
4.25	0.626			1	0.469
4.30	0.697				1

\* Correlation is significant at the 0.01 level

As seen in Table 3, as a result of the correlation analysis, it was determined that there was a positive 1% level significant relationship between the variables. It has been concluded that the most related dimension of internal marketing with employee happiness is "education and development". In this context, other related variables were "vision and communication" and "performance measurement and rewarding", respectively. Therefore, it was determined that there is a positive relationship between internal marketing and employee happiness and H1 was supported.

Table 4: Multiple Regression Analysis Results

Variable	B	Standard Deviation B	β	t	p
Constant	0.964	0.272		3.544	0.000
F1 – Education and Development	0.490	0.070	0.449	6.965	0.000
F2 – Vision and Communication	0.254	0.077	0.247	3.305	0.001
F3 – Performance Measurement and Rewarding	0.048	0.082	0.043	0.590	0.556

p: 0.000 Dependent Variable: Employee Happiness

Regression coefficient results in Table 4 are considered acceptable at the 0.05 significance level. When we look at β, it is seen that the most important internal marketing variable for the employee happiness scale is "education and development", and the other variable is "vision and communication". On the other hand, "performance measurement and rewarding" dimension did not have a significant effect on employee happiness.

$$\text{Employee Happiness} = 0,964 + 0,449 F_1 + 0,247 F_2$$

According to the regression equation created for employee happiness, 1 unit increase in Education and Development (F1) increases employee happiness by 0.449, and 1 unit increase in Vision and Communication (F2) increases employee happiness by 0.247 units.

Table 5: Employee Happiness - Results of t-Test

Operation Time	N	Mean	t	p
1-9	153	4.36	1.74	0.084
10+	73	4.19		

The p value, which shows whether there is a significant difference between the working hours of the participants and the happiness of the employees, was found to be 0.084. Since p<0.05 is required for a significant difference between the two samples whose averages were compared, no significant difference could be found between the working time and the happiness of the participants. Therefore, H2 is rejected.

Figure 1: Result Model



#### 4. CONCLUSION

The findings obtained within the scope of the research showed that there is a positive relationship at 0.01 significance level between the internal marketing dimensions, which emerged as "education and development", "vision and communication", and "performance measurement and rewarding", and the happiness of the employees. Since internal marketing emerged as a multidimensional structure in our research, it was also tested whether the variables were effective on employee happiness. As a result of the analysis, it has been determined that the most important internal marketing variable for the employee happiness scale at the 0.05 significance level is "education and development", and the other variable is "vision and communication". On the other hand, "performance measurement and rewarding" dimension did not have a significant effect on employee happiness. In addition, it was concluded that the working time did not cause a significant difference on the happiness of the employees. In maritime, one of the most basic sectors of world trade, management and marketing have critical importance. For this reason, organizations should adopt an internal marketing approach and strive for their happiness in order to ensure that their employees can fulfil their responsibilities in providing quality services effectively. Therefore, happy employees mean happy customers for organizations. In this context, it is thought that the current study will provide information to organizations, especially the maritime sector, and contribute to future studies.

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## Consumers' Perceptions and Attitudes Towards Corporate Social Responsibility Activities

Dr. Öğr. Üyesi Bekir ÖZKAN<sup>1</sup>

Şeyma ŞANCI<sup>2</sup>

<sup>1</sup>Bursa Teknik Üniversitesi, İnsan ve Toplum Bilimleri Fakültesi, İşletme Bölümü, bekir.ozkan@btu.edu.tr, ORCID: 0000-0001-5802-3473

<sup>2</sup>Bursa Teknik Üniversitesi, Lisansüstü Eğitim Enstitüsü, İşletme Anabilim Dalı, seymasanci@gmail.com, ORCID: 0000-0002-9044-884X

**Abstract:** In today's world, competition conditions have become very intense and businesses have had to develop different strategies in order to survive. When developing different strategies, businesses want to be more recognizable compared to their competitors. Undoubtedly, one of the factors that increase recognition is corporate social responsibility activities. For this reason, corporate social responsibility activities have become an increasingly important issue both in terms of businesses and academically, and they are constantly up to date. The aim of this study; is to reveal the perceptions and attitudes of consumers towards corporate social responsibility activities. For this purpose, data were collected and analyzed from 369 people across Turkey with different socio-demographic characteristics. Obtained data were evaluated using T test and Anova analysis. According to the results of the analysis; It has been determined that the awareness of consumers about the concept of corporate social responsibility is insufficient. In addition, it has been concluded that corporate social responsibility activities have no effect on brand loyalty, but have an effect on purchasing behavior. When evaluated in terms of demographic variables, it was concluded that there was a significant difference between consumers in terms of perception only in education status.

### 1. INTRODUCTION

In today's highly competitive world; companies and brands are obligated to create new strategies in order to keep existing and increase their earnings. While companies and brands are making a profit and serving society; they also want to increase their recognition more and be at the forefront more than their competitors. To make that happen, one of the most common applications used by companies is advertising. Besides advertisements, corporate social responsibility activities are another significant factor to increase recognition. However, corporate social responsibility activities are not considered only as an element of publicity. Therefore corporate social responsibility activities are critical for all corporations.

Corporate social responsibility activities are highly beneficial to corporations thanks to its wide conception. Corporate social responsibility activities are made by corporations both for serving society and increasing their profits. Corporations' corporate social responsibility activities are increasing their reputation in society as they have social targets by supporting eco-friendly production and consumption, eco-friendly marketing, and preventing extravagance. All these activities are perceived differently by consumers.

The aim of this study is to determine consumers' perception and behavior towards the corporations which take action for corporate social responsibility. Nowadays many companies have tried different kinds of corporate social responsibility activities and consumers' opinions on these activities are very important for this study. For this purpose, data are gathered and analyzed in order to determine the perception and behavior of customers from different socio-demographic origins.

### 2. CONCEPTUAL FRAME AND LITERATURE REVIEW

The conception of corporate social responsibility is discussed as a corporate conception in most studies. In that case, lots of the examples in the literature approach corporate social responsibilities under the title of administration and are mostly focused on "what do customers want?" and "how to respond to customers' demands" (Basu and Palazzo, 2008: 133). The importance of corporate social responsibility is increased because of rapidly improving technology and increasing customer pressure (Iglesias et al., 2013: 11).

Even though some of the corporations are aware of the importance of corporate social responsibility, however, some are using it as just a strategy. (Oberseder et al., 2013: 1849). The conception of corporate social responsibility is hard to understand and complex. (Devinney, 2009: 53). Therefore, corporate social responsibility has many definitions in the literature, but generally, the definition of the European Commission is used.

The European Commission defines corporate social responsibility as a concept in which companies integrate their social and environmental concerns into their company activities and their voluntary interactions with their stakeholders (European Commission, 2001). Corporate social responsibility shows customers' consciousness over buying behaviors (Mohr and Webb, 2005: 142). Customers' attentions over corporate social responsibility differ according to their lifestyle (Oberseder et al., 2013: 1850). Besides, it is known that customers' consciousness is low towards corporate social responsibility (Sen et al., 2006: 164).

Corporations that can deliver the purpose of corporate social responsibility to customers are having better communication with customers (Webb and Mohr, 2005: 139). If customers believe in the sincerity of corporations' which have corporate social responsibility, customers' purchasing behaviors are affected positively and increase brand loyalty (Wash and Beaty, 2007: 127).

If corporations try to build a good brand image, they have to create a good corporate social responsibility activity (Sierra et al., 2017: 662). Consumers' thoughts of accepting corporate social responsibility activities may vary, and the degree of acceptance of companies which have corporate responsibility activities also varies (Sen and Bhattacharya, 2001: 225).

Corporate social responsibility activities are affecting customers and customers' decisions when they purchase a new product (Brown and Dacin, 1997: 79). Besides that, corporate social responsibility is effective on customers' attitudes, purchasing intentions, brand loyalty, and satisfaction (Oberseder et al., 2013: 1848). Therefore corporate social responsibility has a positive impact on corporations' image and customers' purchasing behavior (David et al., 2012: 310). Furthermore, awareness of corporate social responsibility builds a positive effect on both, corporations' image and purchasing behavior (Brown and Dacin, 1997: 81). The success of these activities is a result of the harmony between corporate social responsibility activity and corporations' image (David et al., 2012: 308).

When consumers find corporate social responsibility activities sincere, they evaluate the image of the company in a positive way, and when they are not sure of the sincerity of the activities or do not find it sincere, they evaluate the image of the company negatively (Yoon et al., 2006: 377). Corporations which have no positive image of their corporate social responsibility activities can not increase their reputations (Foreh and Grier, 2003: 354).

Successful corporate social responsibility activities are increasing brand value by improving customers' attitudes and purchasing intentions (Hoeffler and Keller, 2002: 87). Besides that, it is also known that customers' behaviors and attitudes towards corporate social responsibility and purchasing intentions have a complex relationship and in some situations, are considered negative (Sen and Bhattacharya, 2001: 238).

Corporations' corporate social responsibility activities affect customers' decisions positively and increase the rate of preference. Furthermore, product quality is perceived as high for corporations that participate in corporate social responsibility activities and builds a positive impact on brand decisions of customers (Liu et al., 2014: 181).

Corporations and brands are obligated to create a positive image for customers. Positive brand image is effective for perceived quality, brand loyalty, and brand value. Thus, corporations and brands are getting to use corporate social responsibility more commonly (Hoeffler and Keller, 2002: 88). However, corporate social responsibility is not the most important element of perceived quality but there are studies that show the positive impacts for brand decisions of customers (Liu et al., 2014: 181).

There is no assurance of having an advantage because of corporate social responsibility activities. Therefore the importance of finding suitable corporate social responsibility activities according to customers is more clear (Liu et al., 2014: 182). Furthermore, corporate social responsibility activities are not %100 effective for financial success and customers' satisfaction (Luo and Bhattacharya, 2009: 198). However, financial success and corporations' ethical values affect corporate social responsibility activities and so corporations' image and customers loyalty (Stanaland et al., 2011: 54).

Kalyoncu and Akkoyunlu (2014), studied on corporate social responsibility activities from the point of view of the customers and the main purpose of corporate social responsibility activities and impacts over brand. They targetted to measure the efficiency of corporate social responsibility, as a result; corporate social responsibility activities were seen to have a lesser impact on perceived brand quality than brand awareness and brand loyalty was to be least affected.

In another study; customers' corporate social responsibility activity interests and the impact of corporate social responsibility activities on corporation perceptions were researched and the price was observed to be more

effective for brand image (Sing et al., 2007: 627). In another study, corporate social responsibility activities' relations to customers attitude and purchasing intentions' relations to customers' awareness to corporate social responsibility activities. As a result of this study, it is determined that corporate social responsibility activities are effective on purchasing intentions and customers are aware of corporate social responsibility activities (Rodrigues and Borges, 2015: 690).

Khojastehpour and Johns (2014), worked on environmental corporate social responsibility activities' effects on brand image and profit and as a result, observed that environmental corporate social responsibility activities have a positive effect on profit and brand image. Furthermore, in the same study, it is determined that corporations that want to have a good brand image and increase profit should pay attention to environmental corporate social responsibility activities.

In another study, corporate social responsibility activities' impacts on brand image and loyalty are researched and the direct positive impacts of corporate social responsibility activities on brand loyalty and image are observed (Lee et al., 2017: 15).

Feldman and Parraga (2013), worked on the relation of corporations' skills and corporate social responsibility activities with purchasing behavior. Corporations' skills such as product quality and corporate social responsibility activities are seen to be positively effective for purchasing behavior.

### 3. METHODOLOGY

#### 3.1. Purpose and Method of the Research

This study's purpose is to determine the customer's perception and attitude towards corporate social responsibility activities. On the other hand, with this purpose, customers' attitudes, desire for shopping, and loyalty for corporate social responsibility activity running corporations are targeted to determine, furthermore, to determine the possible effect of demographic differences of customers.

In this study, survey is picked to use as the method. The survey is prepared online and delivered to customers via social media, e-mail, and similar platforms. The main mass of the participants are from Turkey. The survey contains four parts. Fairy, Lacoste, Finish, Vodafone, and Cif's corporate social responsibility activities are shown to participants as examples of corporate social responsibility activities. Following, to determine customers' perception of corporate social responsibility activities nine phrases, then fourteen phrases to determine customer's attitude and lastly to determine customer's demographic information, few questions have taken place in the survey by order. To determine customers' perception; the customer perception scale of Berkowitz and Daniels is used as in 2010 Kalyoncu and Akkoyunlu had used it. To determine customers' attitudes; the attitude scale of Yoo and Donthu's 2010 dated scale is used. Customers' agreement level is measured on a scale of five to one, strongly agree to strongly disagree. For the study, 369 surveys are collected and 369 surveys are analyzed.

To test the reliability of the research Cronbach's Alpha had been used. As the result of tests; perception scale (nine phrases) reliability is 0,834, attitude scale (fourteen phrases) reliability is found as 0,929. As values are in the range of 1 to 0,8 research is to be titled as very reliable (Özdamar, 2002: 673).

#### 3.2. Findings of the Research

##### Demographic Information

Participants' demographic specialties are shown in Table 1.

Table 1: Demographic characteristics of the participants

		<i>f</i>	%			<i>f</i>	%
<b>Gender</b>	Female	244	66,1	<b>Income</b>	0-2000 TL	149	40,4
	Male	125	33,9		2001-4000 TL	124	33,6
	<b>Total</b>	<b>369</b>	<b>100,0</b>		4001-6000 TL	64	17,3
<b>Marital status</b>	Married	126	34,1		6001 and above	32	8,6
	Single	243	65,9		<b>Total</b>	<b>369</b>	<b>100,0</b>

		<b>Total</b>	<b>369</b>	<b>100,0</b>			
<b>Education</b>	Primary education degree	19	5,1	<b>Occupation</b>	Unemployed(Not working)	54	14,6
	High school	78	21,1		Public Employee	50	13,6
	Associate degree	51	13,8		Private Sector	126	34,1
	Bachelor's degree	193	52,3		Student	89	24,1
	Master's and Phd degree	28	7,6		Other	50	13,6
	<b>Total</b>	<b>369</b>	<b>100</b>		<b>Total</b>	<b>369</b>	<b>100</b>

Demographic specialities of participants are shown in Table 1. According to result; participants' 244 (% 66,1) are females, 125 (% 33,9) males. 126 (% 34,1) are married, 243 (% 65,9) are single. Most of the participants are graduated from university 193 (% 52,3). Income under 2000 TRY as 149 (% 40,4), between 2001-4000 TRY as 124 (% 33,6) and between 4001-6000 TRY as 64 (% 17,3) are seen and most of the participants are worked in the private sector 126 (% 34,1).

Table 2: Perceptions of consumers towards CSR activities

	Average	SD
To advertise	3,58	1,195
To develop the image of the business in the society	3,90	1,101
To create an image of being sensitive to social issues and/or problems	3,87	1,155
To make more sales by taking advantage of consumers' emotional weaknesses	3,30	1,281
To reduce the tax burden by supporting aid campaigns	3,36	1,170
To fulfill their social responsibilities	3,59	1,139
To provide the support of public and non-governmental organizations	3,64	1,051
To eliminate the effect of negative campaigns against the said company or its products	3,41	1,177
To support social development and the welfare of society	3,51	1,142

According to Table 2; the highest average is seen when corporations are trying to improve their brand images and are responsible for social problems, the lowest average is seen when corporations are exploiting emotional weaknesses and trying to make higher sales or avoiding tax load. From that point, it can be said that customers are distanced to corporate social responsibility activities because of lack of sincerity and negative approach of customers to corporations.

Table 3: Attitudes of consumers towards CSR activities

	Ortalama	SD
I consider myself a loyal customer of companies that carry out corporate social responsibility (CSR) activity	3,07	1,143
The products of companies that carry out CSR activities become my first choice when buying a product	3,22	1,139
If there are products of companies that carry out CSR activities in the place where I buy products, I do not buy the products of other companies.	3,05	1,146
The quality of the products of the companies that carry out CSR activities is extremely high.	3,06	1,066
The products of the companies that carry out CSR activities are more functional than the products of other companies.	3,09	1,086
I can recognize the products of companies that carry out CSR activities among the products of other companies.	3,33	1,098
I am aware of business that carry out CSR activities	3,39	1,076
I can quickly recall some characteristics of businesses that carry out CSR activities.	3,40	1,051
The symbols or logos of businesses that carry out CSR activities immediately come to my mind.	3,45	1,062
I have a hard time remembering businesses that engage in CSR activities	2,87	1,127

Even if they are the same, it makes more sense for me to buy the products of the company that carries out CSR activity, rather than the products of another business.	3,58	1,081
I prefer to buy the products of the company that carries out CSR activity, even if it has the same features as the products of another company	3,54	1,090
I prefer to buy the products of the enterprise that conducts CSR activity, even if they have the same characteristics as the products of another enterprise	3,28	1,149
If the product of any business is not different from the product of a business that carries out CSR activity, it is wiser to buy the product of a business that carries out CSR activity.	3,61	1,101

According to Table 3; the highest average is on the phrase of if the product of any business is not different from the product of a business that carries out CSR activity, it is wiser to buy the product of a business that carries out CSR activity. The second highest average is to the phrase, even if they are the same, it makes more sense for me to buy the products of the company that carries out CSR activity, rather than the products of another business. The lowest average is on the phrase of if there are products of companies that carry out CSR activities in the place where I buy products, I do not buy the products of other companies. The second lowest average is on the phrase of the quality of the products of the companies that carry out CSR activities is extremely high.

From that point, it is possible to claim that customers tend to use products of corporations that take place in corporate social responsibility activities. Besides that, even customers prefer that corporations' products, if needed they can prefer other brands and they don't think that that company's products are absolutely high quality.

Table 4: Gender t test

Variables	F	Sig.	t	df	Sig. (2-tailed)	Averages	
						Female	Male
Perception	0,268	0,605	0,506	367	0,613	3,589	3,547
Attitude	4,831	0,029	0,774	367	0,440	3,304	3,236

According to Table 4; there is no meaningful difference in the aspects of perception and attitude according to genders. On the other hand female participants are seen to have higher scores in the same aspects.

Table 5: Marital Satatus t test

Variables	F	Sig.	t	df	Sig. (2-tailed)	Averages	
						Married	Single
Perception	5,378	0,021	-1,137	367	0,256	3,513	3,607
Attitude	0,726	0,395	0,709	367	0,479	3,322	3,260

According to Table 5; there is no meaningful difference in the aspects of perception and attitude according to marital status. Single participants' perception scores, married participants' attitude scores are seen to be higher.

Table 6: Education Status Anova analysis

Variables	Sum of Squares	SD	F	Sig.
Perception	9.252	4	4,172	,003
Attitude	1,462	4	578	,679

According to Table 6; there is no meaningful difference in the aspects of perception; however, there is in the aspect of attitude (sig. 0,003). To determine the difference for groups, Test of Post-Hoc Turkey is applied. According to test results, meaningful difference between primary school graduates (average 3,1696) and university graduates (average 3,6799) is determined (sig. 0,037).

Table 7: Occupation Status Anova analysis

Variables	Sum of Squares	SD	F	Sig.
Perception	0,378	4	0,163	0,957
Attitude	2,884	4	1,146	0,334

According to table 7; there is no meaningful difference in the aspect of perception and attitude according to job title. Therefore job title of people is not effective in terms of corporate social responsibility activities.

Table 8: Average Monthly Income Anova analysis

Variables	Sum of Squares	SD	F	Sig.
Perception	1,348	3	0,782	0,505
Attitude	2,449	3	0,816	0,275

According to table 8; there is no meaningful difference in the aspect of perception and attitude according to income. As participants' job title, income has no effect in terms of corporate social responsibility activities.

#### 4. DISCUSSIONS AND CONCLUSION

The purpose of this study is to determine customers' demographic specialties' impact on their perception and attitude over corporate social responsibility activities. A survey was applied to participants from Turkey for that purpose. On applied survey; Fairy, Cif, Vodafone, Finish, Lacoste's corporate social responsibility activities are shown as an example to participants. Data gathered are tested by T test and Anova analysis.

By the analysis and tests, it is seen that among the customers the idea of corporate social responsibility activities of corporations are to create the image for the brand as they are socially sensitive. Besides that, customers agreed on phrases such as "taking advantage of customers' weaknesses and making more sales" and "to lower the tax load by helping charities" less. As a result, customers are more likely to think corporations are making corporate social responsibility activities for a better brand image and social responsibility but not to avoid paying more taxes by corporate social responsibility activities. Dodd and Supa (2011), as the result of their study, claimed that customers are aware enough of the corporate social responsibility activities of brands.

While observing the attitude of customers for corporate social responsibility activities; "If the product is not different, more logical to purchase the brand with corporate social responsibility activities" and "If products are identical, instead of any other brand's products would prefer the one with corporate social responsibility activities" are more agreed phrases and less chosen phrases are "I hardly remember the name of the brand with corporate social responsibility activities" and "Where I am shopping, if there is a product of corporate social responsibility activities applying brand, I wouldn't purchase other brands.". As a result, customers tend to buy from brands with corporate social responsibility activities. So customers approach those corporations positively. Furthermore, customers are more likely to remember the name of the brands with corporate social responsibility activities, but if needed they also purchase from other brands.

Marin, Ruiz, and Rubio (2009), showed with their study; that corporate social responsibility activities are improving brand loyalty. Kalyoncu and Akkoyunlu (2014), had the result of their study as corporate social responsibility activities are not the reason for brand loyalty. Rodrigues and Borges (2015), had the result of their study as corporate social responsibility activities are effective on purchasing activities.

When perception and attitude for corporate social responsibility activities are criticized in terms of demographic differences; only educational status makes a meaningful difference. The difference is seen between primary and university graduated participants. According to that result; it is possible to claim that as the education level increases from primary school to university, awareness for corporate social responsibility activities also increase. Atakan and İşçioğlu (2009) in their study determined that there is no effect of demographical specialties on corporate social responsibility activities awareness. Similarly, Karafes and Yıldırım (2013), claimed that customers' demographical specialties had no impact on attitude towards corporate social responsibility activities. Koçoğlu and Aksoy (2017), reached the result in their study that elements of demographical differences such as education, income, and job title are effective on the perception of corporate social responsibility activities.

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## Muhasebede Etik Kavramına Postmodern Bir Bakış<sup>1</sup>

Berin Dikgöz<sup>1</sup>

Alper Erserim<sup>2</sup>

<sup>1</sup>Öğr. Gör., Milas Meslek Yüksekokulu, Muhasebe Ve Vergi Bölümü, Muhasebe Ve Vergi Uygulamaları Programı, berindikgoz@mu.edu.tr, ORCID: 0000-0002-0603-9737

<sup>2</sup>Doç.Dr., Muğla Sıtkı Koçman Üniversitesi, İktisadi İdari Bilimler Fakültesi, İşletme Bölümü, alperserim@mu.edu.tr, ORCID: 0000-0003-4352-2426

**Özet:** Etik konusu 2000’li yıllar itibarıyla önem kazanmaya başlamıştır. Birçok bilim dalında konuyla ilgili çalışmalar yayınlanmıştır. Ayrıca her meslek bazında da etik kurallar çıkarılmıştır. Muhasebe mesleğinde de bu gelişime paralel olarak etik konusu dikkat çekici hale gelmiştir. Ulusal ve uluslararası alanda muhasebe meslek etiğine ilişkin standartlar çıkarılmıştır. Ancak her geçen gün artan etik standartların kökenleri sorgulanmamıştır. Bu çalışmanın amacı etik konusunun muhasebe alanındaki durumunun postmodern bağlamda değerlendirilmesidir. Bu kapsamda öncelikle etik kavramının kökenleri felsefe ve psikanaliz bağlamında incelenmiştir. Çalışmanın devamında postmodern etiğin durumu ve gelişimine yer verilmiştir. Etiğin gelişiminin modernizmin üç temel kavramı olan evrensellik, rasyonalizm ve pragmatizm açısından değerlendirmesi yapılmıştır. Çalışmanın sonucunda muhasebe etiğinin postmodern bağlamda değerlendirmesi yapılmış olup şeffaflık ve hesap verilebilirlik kavramları bu kapsamda irdelenmiştir. Çalışmada yönetsel olarak eleştirel paradigma benimsenmiş olup bu paradigma çerçevesinde muhasebe etiği kavramının postmodern okuması yapılmıştır. Çalışma sonucunda muhasebe etiği ile şeffaflık ve hesap verilebilirlik arasında sıkı bir bağ olduğu saptanmıştır. Daha şeffaf ve hesap verilebilir olmanın etik olmanın garantisi olamayacağı sonucuna ulaşılmıştır. Bu sebeple tamamen şeffaf bir etik anlayışının imkânsızlığının kabul edilerek; aktif olarak sorgulanabilen etik anlayışların değerlendirmesi gerektiği düşünülmektedir.

**Anahtar Kelimeler:** Muhasebe, etik, muhasebe etiği, postmodern

### A Postmodern Perspective on Ethics in Accounting

**Abstract:** The issue of ethics started to gain importance as of the 2000s. Studies on the subject have been published in many branches of science. In addition, ethical rules have been issued on the basis of each profession. In parallel with this development in the accounting profession, the issue of ethics has become remarkable. Standards on professional accounting ethics have been issued in the national and international arena. However, the origins of the ever-increasing ethical standards have not been questioned. The aim of this study is to evaluate the situation of ethics in the field of accounting in the postmodern context. In this context, first of all, the origins of the concept of ethics were examined in the context of philosophy and psychoanalysis. In the continuation of the study, the state and development of postmodern ethics is given. The development of ethics has been evaluated in terms of the three basic concepts of modernism, universality, rationalism and pragmatism. As a result of the study, accounting ethics has been evaluated in the postmodern context and the concepts of transparency and accountability have been examined in this context. In the study, a critical paradigm was adopted methodically, and a postmodern reading of the concept of accounting ethics was made within the framework of this paradigm. As a result of the study, it was determined that there is a tight link between accounting ethics and transparency and accountability. It has been concluded that being more transparent and accountable cannot be a guarantee of being ethical. For this reason, accepting the impossibility of a completely transparent understanding of ethics; It is thought that ethical understandings that can be actively questioned should be evaluated.

**Key Words:** Accounting, ethics, accounting ethics, postmodern

### 1. GİRİŞ

Etik konusu ilk çağlardan bu yana felsefenin temel ilgi alanlarından biri olmuştur. Etiğin ana konusu olan özne neden etiğe ihtiyaç duymuştur sorusu çalışmayı öznenin tabi olma arzusuna yönlendirmiştir. Bu sebeple çalışmada etiğin kökenleri felsefe ve psikanaliz açısından incelenecektir. Öznenin tabi olma arzusu ile ilgili iki düşünürün fikirleri dikkat çekicidir. Bunlar; Georg Wilhelm Friedrich Hegel ve Michel Foucault’tur. Foucault’un eserlerinin ana konusu özne olması sebebiyle, özneyi oluşturan unsurların tespit edilmesini sağlamış ve tabiyet sorununa yönlendirmiştir. Tabi olma arzusu ise Hegel’in “Efendi Köle Diyalektiği’nin” ana konusunu oluşturmaktadır. Öznenin tabi olma arzusu “Efendi Köle Diyalektiği” üzerinden incelenecektir. “Efendi Köle Diyalektiği’nin” sonunda mutsuz bilinç düşüncesinde; etik emirlerin sorgulaması yapılacaktır. Burada mutsuz bilinçteki rahip üzerinden yapılan tabi olma sorunu; Louis Althusser’in geri çağırma (interpellation) örneğindeki polis üzerinden incelenecektir. Psikanaliz açısından, Jaques Lacan’ın “Ayna Metaforu” üzerinden egonun ve

<sup>1</sup> Bu çalışma Berin DİKGÖZ’ ün, Doç. Dr. Alper ERSERİM danışmanlığında hazırlamakta olduğu “Etik Kavramına Postmodern Bir Bakış: Muhasebe Meslek Etiği İlkeleri Üzerine Bir İnceleme” isimli doktora tezinden yararlanılarak hazırlanmıştır

öznenin nasıl kurulduğu açıklanacaktır. Tanınmanın suçlulukla olan yakın ilişkisi ortaya konularak ilişkinin sonucunda öznenin onay ihtiyacının nasıl ortaya çıktığı irdelenecektir. Etik kavramının özünde; öznenin varoluşsal zaafı ile iktidar tarafından nasıl bir kontrol aracı haline geldiği açıklanmaya çalışılacaktır. Etiğin kökeniyle ilgili açıklamalardan sonra postmodern kavramı ve etiğe bakışı anlatılacaktır. Burada postmodernizmin karşı çıktığı ancak modernizmin dayandığı üç temel fikirden yararlanılmıştır. Bunlar; evrensellik, rasyonalizm ve pragmatizmdir. Devamında postmodern etiğin hangi eleştirel düşünürler tarafından bugünkü formuna ulaştırıldığına anlaşılması açısından postmodern etiğin gelişimi anlamında önem arz eden bu düşünürlerin etik hakkında düşünceleri açıklanmıştır. Etiğin düşünürü olarak kabul edilen Levinas'ın sorumluluk etiği anlatılmış devamında ise Derrida'nın sorumluluk ve yapı söküm temeli üzerine inşa ettiği etik kavramı anlatılmıştır. Çalışmanın sonucunda muhasebe etiğinin postmodern bağlamda değerlendirmesi yapılmıştır. Muhasebe alanında daha etik olmanın kuralının her geçen gün artan şeffaflık ve hesap verilebilirlik vaadi olduğu ortaya konuşmuştur. Bu konu detaylı olarak tartışılmış olup artan etik kurallar ve standartlar yerine alternatif etik görüşlerin de değerlendirilebileceği belirtilmiştir.

## 2. ETİK BAĞLAMINDA: TABİ OLMA, SUÇLULUK, TANINMA

### 2.1.Tabiyet

Tabiyet kelimesi Arapça kökenli olup, bir şeye bir yere tabi olma anlamına gelmektedir. Özne kavramını derinlemesine inceleyen Foucault'un "Özne ve İktidar" adlı kitabı incelendiğinde özne sözcüğünün iki anlamı vardır: Denetim ve bağımlılık yoluyla başkasına tabi olan özne-vidan ve vicdan-özbilgi yoluyla kendi kimliğine bağlanmış olan özne (Foucault,2019:63). Her iki anlamının da tabiyete vurgu yapmakta olduğu görülmektedir. Demek ki öznenin varoluşunun temel dayanağı tabi olma arzusudur. Zygmunt Bauman'ın, Benedetto Vecchi ile yapmış olduğu "Kimlik" adlı söyleşide sorguladığı kimliğin verili olarak mı geldiği yoksa hayat boyu inşa edilen bir şey mi olduğu sorusuna aradığı yanıt; öznenin varoluşundaki tabi olma arzusunun bir yansımasıdır.

Ancak tabiyeti sadece özneyi kuşatan, baskı altına alan dışsal bir güç olarak tanımlamak yetersiz kalır. Tabiyet aynı zamanda, iktidarın iktidar oyunlarıyla, teslimiyet hali sağlayan öznelerin içselleştirildikleri çelişkili bir kavramdır. Bu durumda iktidar öznenin kurucusu değil varoluşudur. Foucault tabiyet tanımında iktidarın bizzat öznenin kurucusu olduğunu vurgulamak istemiştir. İktidar; öznenin kurucusu, varoluş koşulu ve onun arzusunun yörengesidir, iktidar yalnızca karşı koyduğumuz değil aynı zamanda varoluşumuz için güçlü bir şekilde bağlı olduğumuz, varlığımız içinde barındırdığımız ve sakladığımız bir şeydir (Butler,2005:10).

Öznenin varlığını oluşturma ve sürdürme uğraşının nasıl işlediği ve tabiyetin nasıl arzulanabilir bir hale geldiği sorusunun yanıtı Hegel'in "Efendi Köle Diyalektiği'nde" bulunabilir. Hegel, "Tin'in Görüngübilimi" adlı eserinde "Efendi Köle Diyalektiği" üzerinden fiziksel tabiyeti açıklamıştır (Hegel,2016:118). Hegel, "Efendi Köle Diyalektiği" temeline isteği koymuştur. İsteğin insanı kendine döndürdüğünü ve özbilince giden yolun başında yer aldığını belirtir (Bumin,2013:29). Benin isteğe ulaşması için bir nesneye yönelmesi ve bu nesneye ulaşabilmesi için özbilince erişmesi gerekmektedir. Bu isteğin temelinde kabul edilme, tabi olabilme arzusu yer almaktadır. Köle, emeği ile efendinin varlığını ve maddi koşullarını sağlayan bir bedendir. Köle bu ilişkide efendinin tahakkümüne boyun eğen kişidir. Efendi ise hem kölenin araçsal beden statüsündeki maduniyetine, hem de gerçekte kölenin bedeninin efendinin bedeni olmasına gereksinim duyar (Butler,2005:41). J.M. Bernstein'in da makalesinde anlattığı gibi, (Bernstein, 1984: 14-40) kölenin maddesel hayatını kaybetme korkusu karşısında madun olması, onu kölelik konumuna mahkum etmekle birlikte, aynı zamanda ona özbilinçli olma yolunda önemli bir katkı sağlamıştır. Çünkü Hegel'in "Tin'in Görüngübilimi"nde belirttiği gibi bu yolla, özbilinç, saf özbilinç olarak kendisi için hayatın temel bir şey olduğunu öğrenir (Hegel,2016:115). Köle efendi ilişkisiyle sonuçlanan, kendini kabul ettirme uğruna savaşın sonunda özbilinç için hayatın vazgeçilmezliğini anlayan tek taraf köleliği kabul eden taraf değildir. Güçlü durumda olan efendi de aynı sonuca varır. Çünkü efendi saygınlık elde etmek için hayatını tehlikeye atırsa bile kendisini kabul ettirebilmek için kölenin hayatta kalmasının zorunlu olduğunu görmüştür.

Köle, emek vermeye ve nesneyi üretmeye devam eder ancak nesne kendi imzasını değil efendinin imzasını taşımaktadır. Bunu sürekli olarak yaşamak kölede bir kontrolü kaybetme korkusu oluşturur. Nesneye her seferinde el konması kölenin kendini emek veren bir varlık olarak görmesini engellemez. Ancak yaptığı her şeyi kaybedeceğini ima eder (Butler,2005: 45). Bu da köleyi ölüm ile karşı karşıya getirir. Fakat bu başlangıçtaki gibi bir hayatta kalma mücadelesi değildir, varlığın kaderidir. Ölümü tanımaya başlar fakat bundan kaçınmak için kendine tutunur. Ölüm korkusunun yerini, inatçılık ve kendini beğenmişlik alır sonrasında ise dinsel bir özdoğrulama şeklinde kendini yeniden değerlendirdiği eylemler biçiminde ortaya koyar. Böylece, kölenin bedeninin ölümünü tanıması engellenir. Köle kendisinin yaratıcı kapasitesini anlayarak efendinin yerine geçmiştir ve kendi bedeninin de efendisi olduğunun bilincine varmıştır ancak bu onu mutsuz bilince götürmüştür.

Köle, mutsuz bilince ulaşana kadar üç aşamadan geçer. Bunlar Hegel'in de belirttiği gibi Stoacılık, Septisizm ve Hristiyanlıktır. Stoacılıkta amaç mutluluğa ulaşmaktır ve bunun yolu da doğaya uygun yaşamak ve mutluluğu dış koşullara bağlamamaktır. Köle, doğa üzerindeki çalışmalarının bir sonucu olarak özgür olduğunu bilir ancak bunu efendiye karşı toplumsal alanda gösteremez. Ruhsal iç özgürlüğün kendisi için yeterli olduğuna inanmaya çalışır. Bu durum da köleyi stoacı bir felsefeye yönlendirir. Bu özgürlük düşünsel anlamda bir özgürlüktür. Efendi tarafından kabul edilmemiş bir özgürlüktür. Bu durumda kölenin ulaştığı özgürlüğün bir özelliği olumsuz olması bir diğer özelliği de soyut olmasıdır. Stoacılık temelinde insani bir eylemi barındırmayan bir düşünce sistemidir. İnsan eylemde bulunmadan, yalnızca var olmakla, veri olan doğasıyla çalışmakla yetinerek hayvan, nesne ya da melek olabilir, ama insan olmaz (Bumin,2013:55). Bu nedendir ki kölenin özbilinci Stoacılıkta doyum bulamayacaktır. Bu doyumsuzluk, sıkıntı duygusu olarak yaşayacaktır. Böylece Stoacılıktaki felsefi ölüm anı gerçekleşmiş olur. Bu sebeple de köle bu sıkıntıların bir sonucu olarak hakikati Septisizmde aramaya başlayacaktır. Septisizm kesin bilginin olmadığını ve elde edilmeyeceğini savunan bir felsefi görüştür. Septisizmde, sürekli bir olumsuzlama vardır. Her şeyin varlığını etkin bir şekilde reddeder. Hegel'e göre Septisizm, Stoacılığın hakikatidir. Bu durum kölenin varoluşunu destekleyecek meşrutiyetini temellendirebileceği yeni bir dünya görüşünü geliştirmesine sebep olur. Bu görüş Yahudi-Hristiyan dünya görüşüdür. Hristiyan, bu dünyada fakir, zayıf ve güçsüzdür. Ama diğer dünyada Tanrı karşısında efendiyle aynı konumdadır. Köle hala köledir ancak artık tek bir efendi vardır. Kojeve'ye göre bu durum kölenin gerçek efendiyi düşsel efendi aracılığıyla yok etmesidir. Hegel'e göre ise bilincin kendi içindeki bölünmüşlüğüne dile getirir: Efendinin kendini kabul etmesini sağlayamayan köle, kendini bu dünyadan soyutlamakta, Tanrının kölesi haline gelmektedir: "Şimdi o kendisinin ve efendisinin aynı şekilde Tanrının kölesi olması bakımından efendiye eşittir". Ama o gerçekten özgür değildir: O kölelikte eşittir, karşılıklı olarak birbirini kabul etmemekte eşittir (Kojeve,2001:66).

Burada kölenin bilinci üzerinden anlatılan üç ideoloji de insanlık tarihinin geçtiği aşamaları anlatmaktadır. Hegel, "Tinin Görüngübilimi" eserinin "Özbilinç" bölümünün son paragrafında, insanın nasıl günün birinde dinsel özbilinci terk ederek, düşünen insan haline geldiğini anlatır. Öztabiyetin mutsuz bilinçle ilgili kısmı incelendiğinde ilk aşamasında inatçılık vardır. Bilinç kendi kendine tutunur ancak bu tutunuş mutlak korkuyu yani ölümün dehşetini gösterir gibi görünen bedeninkardır. Mutsuz bilinç bir buyruğu yürürlüğe koyarak bu bağlanmayı talep eder ve harekete geçirir. Bu bilincin korkusu etik bir normun yasalaşması ile teskin edilir (Butler,2005: 47). Kişi kendi kendisini bu emir yoluyla hayata tutundurur ve korkuyu inkar edebilmeyi başarır. Bu emir, etik bir emir olduğu sürece mutlak korkunun dile gelmemiş bir reddidir (Butler,2005: 47). Etik alan mutlak korkuya karşı gelişen bir savunma biçimi olarak kendini gösterir. Normların korkudan dolayı oluştuğunu bize açıklar. Özne normlara boyun eğer, normlar ise özneleştirir. Yani oluşum halindeki öznenin dönüşlülüğüne etik bir biçim verir. Etik bir işaret altında yer alan tabiyet, korkudan kaçış ve inkâr biçiminde kurulur. Etik emir mutlaklaştıkça yasanın uygulanışı da sertleşir. Motive edici korkunun aynı anda hem dile gelişi hem reddi olarak aynı derecede mutlaklaşır. Böylece mutlak korkunun yerini, korkuyu paradoksal bir şekilde yasanın korkusu olarak gerçekleştiren mutlak yasa alır (Butler,2005: 48).

## 2.2. Vicdan Ekseninde Suçluluk

Toplumsal yaşamın sürdürülmesi esnasında bireyler kendilerini belirlenmiş ilişkilerin içinde bulurlar. Bireylerin görevleri belirlenmiş şekildedir. Kendileri belirleyici durumunda değildirler, ilişkilerin içinde oluşan bireylerdir. Bu durum bireylerin ilişkilerin bütününe göremeyip kendilerini öznel olarak görmelerine yol açar. Althusser, "İdeoloji ve Devletin İdeolojik Aygıtları" kitabında bu durumu şu şekilde ifade etmiştir: İdeoloji toplumsal ilişkilerin taşıyıcısı olan bireyleri bu ilişkilerin öznesi haline getirmektedir (Althusser,1989:9). Althusser, ideoloji üzerine olan düşüncelerini ideolojik çağırılma kavramı ile açıklamıştır. Sokaktaki bireyin "Hey sen oradaki" denilerek çağırıldığı bir sahne hayal etmiştir. Muhtemelen bağırarak bir polistir ve bunun sonucunda bağırılan kişi arkasını döner. Althusser'e göre bu çağrı ve çağrının sonucunda bireyin arkasına dönmesi itaat ortaya çıktığı bir alegoridir. Burada özne hem kendi eylemlerinin sorumlusu hem de yüksek otoriteye teslim olan ve özgürce özgürlüğünü bırakan bir varlık olarak tam bir belirsizliğin içindedir (Althusser,1989:53).

Bu sahnede çağrının ardından kişinin dönmesine sebep olan nedir? Bu konuda Althusser iki faktöre dikkat çekiyor. Suçluluk kişinin arkaya dönmesine sebep olan şeylerden birisidir. Dönüşün sebebi kişinin yasa ile yüzleşmek istemesi ya da kişinin kendisini kanun karşısında zaten suçlu bulması olabilir. Judith Butler burada kişinin yasaya dönüşünün aynı zamanda kendine bir dönüş olduğunu ifade eder. Yasaya dönüş bu bakımdan kişinin vicdanıyla hareket etmeyi seçmesidir (Butler,2005:104).

Bu sahnede kişinin geri dönmesine sebep olan vicdan, Nietzsche'nin "Ahlakın Soykütüğü Üstüne" adlı eserinde borç alacak sözleşmesi bağlamında ele alınmıştır (Nietzsche,2017:79). Bu sözleşmede, borçlu verdiği sözün

güvenilir olduğunu kanıtlamak için borcu ödemenin bir yükümlülük, bir ödev olduğunu vicdanına hatırlatmak için bir sözleşme yapar. Eğer borcunu ödeyemezse kendine ait bir şeyi örneğin bedenini, özgürlüğünü, yaşamını borcu yerine vereceğini taahhüt eder. Butler bunu şöyle ifade eder: Çağırma doktrini, öncel ve açıklanamamış bir vicdanı doktrini ve Nietzsche'nin "Ahlakin Soykütüğü" nde" tarif ettiği anlamda kendi üzerine geri dönmeyi en başından varsaymaktır (Butler,2005:105). Kişi kimlik kazanımı sağlamak için zaten suçluluğunu kabul etmeye hazırdır. Kısacası çağrıya geri dönüşün sebebi hem itaat etmek, hem özne olarak statüyü devam ettirmek hem de tanınmayı sağlamaktır. Nietzsche'nin borç alacak ilişkisi üzerinden açıklamaya çalıştığı kendi ifadesi ile aslında kara vicdandır. İnsanların, ilkel kabilelerde kurban adamalarının sebebi atalarına karşı bitmeyen bir borç içinde olduklarını düşünmeleridir. Kabile olarak güçlendikçe daha da borçlandıklarını ve bu borçların ödenemez hale geldiğini düşünürler. Atalara karşı olan bu ödenemez borç sonrasında Tanrıya karşı borca dönüşür (Nietzsche,2017:107). Kimlik kazanmak için suçu kabul etmeye bu kadar hazır olunmasının sebebi atalara olan borca dayanan dinsel tarihle ilintilidir. Freud da suçluluk duygusunun uygarlığın gelişiminin en büyük sorunu olduğunu belirtmiştir. Uygarlığın bedelinin; artan suçluluk duygusunun sonucunda azalan mutluluk olduğunu ifade etmiş ve dinlerin de bunu dikkate alarak günah dedikleri şeyin aslında suçluluk duygusunun kendisi olduğunu söylemiştir (Freud,2019:91-93). İşte o çağrı "Hey sen oradaki" yasaya duyulan ihtiyaca ve yasanın kimlik bahşetme yoluyla hafifletmeyi vaat ettiği bir ilk günaha dayanarak özneyi kurar (Butler,2005:105).

İncelenmesi gereken bir başka husus; arkadan çağırın birine dönerek o kişi ile yüz yüze gelme isteğidir. Yasanın sesine doğru dönerek, otoritenin yüzünü görme arzusu otorite tarafından gözetlenme arzusunun bir işareti olabilir. Yüz yüze gelme isteği Lacan'ın ayna evresini de işaret etmektedir. Bu konu bir sonraki başlıkta detaylı olarak incelenecektir. Vicdan kısmına geri dönersek Althusser vicdanın doğuşunu konuşma sorununa bağlar (Althusser,1989:52). Usulüne uygun konuşmayı ideolojik çalışmanın temelini koyar. Öğretilecek becerilerin en başında gelen beceri konuşma becerisidir. Yani çağırmanın başarılı bir sonuca ulaşması, vicdanın oluşmasındaki ilk koşul konuşmadır. Hatta Althusserci anlamda usulüne uygun konuşmadır. Usulüne uygun konuşma kuralları, aynı zamanda saygı adı altında önemli kurallar olarak önümüze sunulmaktadır. Usulüne uygun konuşma becerileri geliştirilebilir ancak bir taraftan da bu beceriler çocuğun/öğrencinin/işçinin boyun eğişinin bir kanıtıdır. Dil becerisinde uzmanlaştıkça, kurallarla bütünleştikçe tabi olma arzusu tamamlanır. Toplum içinde de bu pratiğin pekiştirilmesiyle beraber var olan suçluluk duygusu tekrarlama yoluyla pratik haline gelir. Tüm bunlar dil vasıtasıyla gerçekleşmiş olur aynı zamanda da toplum içinde bir dil oluşumuna sebep olur. Ludwig Wittgenstein şöyle der: Bir sözcüğün karşılığı onun dildeki kullanımıdır (Wittgenstein,2020:41). Sözcükler ağızdan çıkar ve söylenir ancak anlamı sonradan öğrenilir. Birey dilin içine doğar, ritüeller yoluyla tekrarlamaya devam eder ve sonucunda artık bu dili kabul edip bir dil oluşumuna katkıda bulunmuş olur.

### 2.3.Tanınma ve Kimliğin İnşası

Althusser'in çağırma sahnesinde suçluluk kişinin arkaya dönmesine neden olan şeylerden bir tanesidir. Ancak Lacan, burada etkili olan şeylerden birinin de tanınma olduğunu öne sürer (Roberts,2009:959). Lacan, tanınma ile ilgili süreçleri özneliğin kökenlerine dayandırarak ayna teorisi kavramı ile açıklamaktadır. Lacan yaptığı deneyde aynanın önünde altı ila on sekiz aylık bir bebeği gözlemler. Bebek henüz konuşamaz ve fiziksel olarak çevresindekilere bağımlıdır ve sadece kendi bedensel deneyimleriyle ilgilidir. Bebek, aynadaki görüntünün kendine ait olduğunu fark eder ve bu ona kendini görme deneyimini yaşatır. Lacan bu anın; insanın, tanınma anı olduğunu savunur. Aynı deneyi şempanzelere yaptığında ise aynada yalnızca potansiyel bir rakip gördüklerini ve görüntüden çabucak sıkıldıklarını tespit eder (Lacan, 1992:149). Bebek ise kendini tanıma halinden çok memnundur çünkü aynadaki görüntü, çocuğun hareketine tepki veriyormuş gibi görünmektedir. Bu tepki bebekte üstünlük duygusunu ortaya çıkarmıştır. Bebek aynadaki görüntüsüyle karşılaştığında, benliğin imgeyle özdeşleşmesi anı yaşanmaktadır. Bu da Lacan'a göre egonun kuruluş anıdır. Bebeğin aynadaki görüntüde kendini bulması ve tanınması gerçekleşir. Bebek, özne ile nesne arasındaki ayrımı bilmiyorken ayna görüntüsü ile kendini özdeşleştirmesi, benliğinin bedenden çıkarak görüntüye yerleştirmesini sağlar. Lacan'ın burada anlatmak istediği tanınmanın her zaman yanlış tanımayı içerdiği. Varlığımızın aslında bir yansımaya yerleşmiştir ve görüntünün cazibesine tutsak edilmiştir. Lacan burada benliği yanlış kavradığımızı ve hayatın geri kalanında bu yanlış olan benlik duygusunu gerçeğe çevirmeye çalıştığımızı savunur (Lacan, 1992:153). Ayna, karşılaşma anının ilk özdeşleşmenin ve yabancılaştırıcı kimliğin başlangıcı olarak düşünülür.

Özdeşleşme hem yasaklamayı hem de arzuyu barındırır. Arzuyu kısıtlayan ve üreten normların psikik bir yapıda işlenmesi, bireyin kendilik duygusunda azalmaya sebep olur (Ricoeur, 2007: 124). Özdeşleşme bağlamında etik kavramını şu şekilde tanımlayabiliriz: Etik, kişinin özdeşleşim yoluyla ne yapması ya da ne yapmaması gerektiğiyle ilgili kendini yönlendirdiği standartlardır. Bu standartlar çerçevesinde kendi yargılarıyla, benliğin dönüşümlü bir ilişki içindedir. Bu durumda vicdan kendini yargıladığı bir standarttır. Özne, var olabilmek için dünyaya geldiği

andan itibaren normlara uymak zorundadır. Böylece arzuların da kısıtlanması gereken bir şey olduğu zamanla öğrenilir. Arzuyu kısıtlayan ve üreten normlar bir taraftan öznenin oluşumunu yönlendirirken diğer taraftan da toplumsallığın sınırlarını çizer. Bu durumda normun işleyişi açık bir baskı değildir, sinsidir. Başarısı da aslında toplum içerisinde gizli bir işleyişte saklıdır.

Bu durumda öznenin oluşumunda normun etkin olduğu görülmektedir. Vicdanın da içselleştirilmiş bir yasaklama sonucunda ortaya çıktığı düşünülebilir. Bu durumda yasaklar sadece mahrum eden değil aynı zamanda üreten durumundadır. Burada yasaklanan dürtüyü özne kendine geri çevirir ve kendine içsel bir alan yaratır. Kendine dönen dürtü özne oluşumunu hızlandırır ve dönüşlülüğün devamını sağlar. Bu dönüşlülüğün, Hegel’de Mutsuz Bilinç kavramıyla, Lacan’da Ayna Teorisiyle, a meydana geldiği görülmektedir. Bunlardan hangisi ile meydana gelirse gelsin zamanla vicdan olarak içselleştirdiğimiz durumlar kendimizi suçlama alışkanlığı edinmemizi sağlar. “ Hey sen oradaki” diye seslenen polise dönme sebebimiz de atalarımızdan miras kalan ve yıllar boyu pekiştirdiğimiz bu suçluluk duygusudur. Hegel’e göre etik kurallar öncelikle mutlak korkuya yani ölüm korkusuna karşı bir savunma olarak ortaya çıkar. Sonrasında köle birçok aşamadan geçerek mutsuz bilince ulaşır. Burada efendi kölenin bedenine sahip konumdadır. Bu durumda bedenin sahiplik durumu tartışmalı bir konudur. Ölüm veya tahakküm yoluyla başkasının sahipliğine geçebilir. Bedenin el konulabilirliği korkusu hem etik kuralların reddi hem de yeniden yönlendirilmesi yoluyla mutsuz bilince ulaşılmasına sebep olur.

Vicdanın, kendine dayattığı etik emirleri uygulamasının sebebi aslında yasaklamayı istedikleri alana da bir tatmin duygusu oluşturmaktır. Yasaklama, yasaklanan dürtünün tatmininin yer değiştirerek, baskısı altındaki dürtünün yeniden canlanmasına vesile olur. Yasaklama, yasaklanan arzuyu ortadan kaldırmayı istemez; yasaklanan arzuyu yeniden ortaya çıkarmak ister. Hem de yeniden ortaya çıkan arzu vazgeçtikleri dolayısıyla daha yoğun bir şekilde kendini ortaya koyar.

Foucault; ise baskının bedensel ihtiyaçla sınırlı kalmadığını alanını genişlettiğini iktidarın alanını genişletmek için yeniden başka şekillerle üretilip yayıldığını ifade eder (Foucault:2019:200). Buradan şu sonuç çıkarılabilir beden ile başlayan sınırlama, bedenin sınırlarını aşarak, sadece baskı altına almak istenilen bedenin ötesine geçer. Baskı kişinin sadece bedenine değil ruhuna da işler, hem öznenin sınırlarını çizer hem de içine yayılır ve kitlelere ulaşır. Bu durumda iktidarın aracı olan ruh bedeni kuşatır ve onu biçimlendirerek bir varlık haline getirir. Böylece iktidarın dışında hiçbir şey kalmaz, her şey iktidarın kontrolünde üretilir.

Savunmasız olan özne toplum içinde kendini adlar, kodlar, sınıflamalar yoluyla kendi benliğine yabancılaşarak, var etmeye çalışır. Kendi kendini üreten normları uygulamaya tekrar etmeye zorlanır, bunu doğru bir şekilde yapmazsa da yaptırımlara tabi tutulur.

Norma uymayan bedenler ve ruhların yaptırımlara tabi tutulmasının sebebi iktidarın bireyleri uysallaştırmak istemesidir. Foucault birçok eserinde bedenin uysallaştırılması üzerinde durmuştur. Bunun öncelikle hapisane yoluyla olduğunu ifade etmiştir. Normların dışına çıkan ruhların uysallaştırılması aslında hapisanede değil ailede başlar ve dilin yapısı içinde törpülenir. Birçok kişi çocuğu okula başladığında çok düzene girdiğini düşünür bunun sebebi çocuğa itaatin öğretilmeye başlaması ve çocuğun bu durumu içselleştirmesidir. Okulla başlayan bu süreci; iş hayatı, hastane, karantina tımarhane, hapisane ve daha birçokları takip eder ta ki uysallaşma tamamlanana kadar. Böylece normların dışına çıkmış ruhlar, kapatıldığı yerlerde uysallaşan ruhlar haline dönüşürler. Öğrenilen normlar, tekrar eder çünkü normlar ancak tekrar ile yeni normların üretilmesine imkân verir. Bu açıdan normlar, var olanı görünür kılmının yanı sıra var olanın üretilmesini sağlamış olur. Böylece birey toplumsal alanda tanınma sağlamış ve bir kimlik kazanmış olur. Toplumsal alan bireyin kendi alanından farklı bir alandır. Normun yerleşmesini, uygulanmasını ve dönüşümünü meşrulaştırmaktadır. Çünkü birey tanınmak adına norma boyun eğer ve bu da bireyin kendi üzerindeki gerçeklik algısını yitirerek yabancılaşmasına yol açar. Birey normun dışına çıktığında özgürleştiğini fark eder; ancak toplumun kurallarının dışına çıktığı için kendisini suçlu hisseder ve cezalandırılması gerektiğini düşünür. Tüm bu döngüler birbirini tetikleyerek, etik ilkelerin yerleşmesini sağlar ve hayatın her alanına kök salar. Bu sorunlu yapının içinde filizlenmiş olan ahlak kavramı tüm alanlara sirayet etmiş durumdadır. Toplumsal alanda ve her meslek grubunda artan kurallara ve etik düzenlemelere rağmen düzelemeyen iş yapış biçimi de bu durumun doğal bir sonucu olarak karşımıza çıkmaktadır. Bu durum modernizmin dayatmış olduğu rasyonel ve kurallara bağımlı insan modelinin bir sonucudur. Modernizm; rasyonellik, evrensellik ve pragmatizm temeline kurulmuştur. Postmodernizm ise duruş olarak modernizmin karşısındadır. İnsanın doğası gereği rasyonel olamayacağını savunur. Evrensel kuralların da toplumu kontrol etme isteğinin bir yöntemi olduğunu düşünür. Postmodernizmin etiğe bakışı da bu görüşler çevresinde şekillenmiştir.

### 3. POSTMODERN ETİĞİN DURUMU

Ahmet Cevizci'nin Felsefe Sözlüğü'nde postmodernizm şu şekilde tanımlanmaktadır: (Cevizci, 2010:1279-1280)

“Postmodernizm, kapitalist kültürde ya da daha genel olarak Batı dünyasında XX. yüzyılın son çeyreğinde sanat, edebiyat, felsefe, mimari vb. alanlarda, özellikle felsefe ve sosyolojide belirgin hale gelen hareket, akım, durum veya yaklaşımdır. Aydınlanma tasarısının temelini oluşturan nesnel bilginin akıl yoluyla edinilebilir olmasına duyulan güvenin kökten yıkılmasıyla birlikte köktencilik, özcülük, gerçekçilik, ussalcılık, özne, ben gibi modern felsefenin en temel tasarımlarının sorunsallaştırılarak ele alındığı felsefe çerçevesi, konumu ya da duruşudur. Felsefi bir akım olarak postmodernizm; kabul gören bilgelik, sosyal yapı, etiksel, kültürel ve politik normlar gibi birçok alan ve konuda şüphecilik ve görelilik ekseninde temelsiz bir yapıdır. Postmodernizm, evrenselciliğe karşı çıkış, genel geçer, evrensel bir bilgiye ve temelciliğe yönelik şiddetli bir eleştiri olmasının haricinde; tek değişmez, evrensel bir akıl yerine, çeşitli akılların var oluşundan söz etmeyi ve bilginin göreliliğini ve bağlama bağımlılığını vurgulayıp; akıl, hakikat, bütünlük yerine dil oyunlarından söz etmeyi ihtiva eder. Postmodernizm, modernliğin ahlâki iddialarını, modern öznedeki temellenen evrensel bir etik düşüncesine, özellikle de faydacılık ve bireycilik şeklinde ifade edilen etik anlayışlara şiddetle karşı çıkıp, bir 'öteki etiği'nin savunuculuğunu yapar. Felsefenin, insanlığın bilim aracılığıyla gerçekleştirecek ilerici özgürleşmesini ve evrensel olarak geçerli insan bilgisini öğretebilmek için ihtiyaç duyulan birliği insana temin edebileceği düşüncesine yöneltilecek şiddetli bir saldırdır.”

Lyotard' a göre üst- anlatılara karşı inançsızlıktır (Lyotard,2013:8). Berman'a göre; katı olan her şeyin buharlaştığı bir dönem (Berman,2013:125) Baudrillard'a göre; taktikler, hipergerçeklik ve nihilizm dönemi (Baudrillard, 2015:159-160) Touraine'e göre; modernlikten çıkış (Touraine,2007:207); Gellner'e göre; (Gellner,1992:22) aşırı görelilik ve öznelcilik yanlısı bir akım, Bell'e göre; sanayi sonrası toplum, Barthes'e göre; nâzik bir mahşer ânı, Jameson'a göre; geç kapitalizmin kültürel mantığı, Foucault'a (1926 - 1984) göre; bilmeceli ve rahatsız eden bir dönem, Eco'ya göre ise; masumiyet çağının sonudur. (Stuart,2006: 204-258)

Postmodern kavramının felsefe alanında ilk olarak incelendiği kitaplardan biri olan “Postmodern Durum” adlı eserde Lyotard postmodernizm ifadesini kullanırken modern sonrası anlamında kullanmamıştır ve postmodernizmi ifade ederken sürekli olan bir durum olarak ifade etmiştir. Bundan yaklaşık 450 yıl önce kaleme alınmış Don Kişot adlı eserde de Don Quijote'nin hayata karşı olan tutumu postmodern bir duruştur (Saavedra,2019).

Başlangıçta modernizmin en büyük vaadi baskılardan kurtulmuş toplumlar yaratmaktır. Ortaçağ'daki dini dogmalar toplumlarda ciddi bir baskı yaratmıştır. Modernizmin gelişiyle beraber dini baskılar azalmış bireysellik artmıştır. Evrensellik, rasyonalizm, özgürlük toplumlarda coşku ve heyecan uyandırmıştır. Ancak bu durum iktidar için göz korkutucudur ve dinin yerine kontrolü sağlayacak bir şeye ihtiyaç vardır. Bu ihtiyacı rasyonalizmin ortaya koyduğu rasyonel kurallar bütününe sağlayabileceği düşünülmüştür. Böylece her şeyi kapsayan sihirli kelime ortaya atılır “etik”. Etik yoluyla insanların öğrenebilecekleri ve itaate zorlanabilecekleri ahlaki kurallar bütünü oluşturulur (Bauman, 1998:16). İdare edilen bir toplum arzusu devam ederken bunun uygulama aracı olarak bireyler sanki özgürce seçim yapıyormuş hissi uyandırılarak, rasyonel bireyin uysalca benimseyeceği ahlaki kodlar oluşturulur. Çünkü iktidar bir yandan özgürlük vaad ederken bir yandan da bireyin kontrol altına alınması gerektiğini düşünür. Bu durumun bir sonucu olarak sorumlulukla oluşacak olan ahlaki bilinç yerine dayatılmış bir ahlaki kural bütünü oluşturulur. Bu dayatılmış kurallar bütünü zamanla daha az ahlaki bireyler olmaya yol açabilir. Modernizmin temel olarak üç dayanağı vardır bunlar evrensellik, rasyonellik ve pragmatizmdir. Evrensellik, genel geçer ilkelerin var olduğunu ve bunların mutlak geçerliliğinin olduğunu savunan bir anlayıştır. Bu durumla paralel olarak normatif etik anlayışı hâkimdir. Rasyonalizm ise akılcılık olarak tanımlanmaktadır. Deneyim ve duyular yerine düşünce ve akılcılık ön plandadır. Zaten evrenselliğin uygulanabilir olması için rasyonalizm şarttır. Pragmatizm ise faydacılık temeline oturturulmuş, kavramları eylemlerin sonuçları ile değerlendiren bir akımdır. Bu üç kavram birbirini destekleyen ve modernizmin ana esaslarıdır. Postmodernizm ise yukarıdaki tanımlardan da anlaşılacağı üzere bu üç kavramla taban tabana zıttır. Bu zıtlık ahlaki kaygıların tamamen terk edildiği anlamına gelmemektedir. Bu kaygılara, normatif kurallarla çözüm bulunamayacağı anlamına gelmektedir.

Bu açıdan çalışmanın devamında bu üç kavramın postmodern etik içindeki durumları incelenecektir.

#### 3.1. Postmodern Bağlamda Evrensellik, Rasyonalizm ve Pragmatizm

İyi ve kötü kavramlarının ahlaki kavramlardan ortaya çıktığı düşünülmektedir. Çünkü ahlaki kurallara göre iyi ve kötü davranışlar ayrılmaktadır. Ahlak açısından olumlu anlam taşıyan iyi olumsuz anlam taşıyan ise kötü olarak tanımlanır. Bir şeyin yasak olması onu imkânsız kılmaz sadece kötü kılar. Böylece etiğin varlığı, varlığının rahatını

bozmaya yarar. Bireyler toplumda kabul görmek için genel kabul görmüş ahlaki kurallara ihtiyaç duyarlar. Çünkü verecekleri kararların toplum nezdinde kabul görmek isterler. Kendileri ile aynı fikre sahip olmayan insanlar tarafından yargılanmak istemezler. Bu aşamada ahlak kuralları ile evrensellik arasındaki bağ ortaya çıkar. Ahlak kuralları evrenseldir ve bireyin vermiş olduğu kararlarda kendini suçlu hissetmesinin önünü kapatır. Kurallar evrenseldir ve bireye neler yapması gerektiğini belirten bir dizi etik kuralı sunar ancak bunların yerine getirilmesi bireyin ahlaki sorumluluğuna bağlıdır.

İnsani durumun her geçen gün evrenselleştirilmesi ile bu önceden belirlenen ve insanın tercihini aşan çeşitlilik ortadan kalkacaktır; çünkü bu evrenselleşme bütün dar görüşlülüklerin kendini destekleyen güçlerle beraber sökülmesinden ve dolayısıyla da insani gelişmenin, tesadüfi doğum olayının ket vurucu etkisinden kurtulmasından başka bir şey değildir (Bauman, 2019: 33). Evrensellik adı altında zorlamanın yerini teşvik kelimesi almaktadır. Normatif düzenlemelerin yerini ise reklamcılık aracılığı ile denetlenen arzu ve ihtiyaçlar almaktadır. Bu sebepten ötürü iktidar tarafından üretilen tüm insanların benimseyeceği etik kod arayışı ortaya çıkar. Çünkü etik kodlar yoluyla özgürlük verilen birey aslında dışa bağımlı olmalı ve kontrol edilebilmelidir. Ahlakın evrenselleştirilmesi, evrensel olmaktan ziyade ahlaki dürtüye set çekilmesi yoluyla gerçekleştirilir. Temelinde tüm dogmaları reddeden bir düşünce, kendi ile çelişir duruma gelir. Evrensel bir ahlaki yapı oluşturulmadığı gibi ahlaki sorumluluk bilinci de yok olmuştur. Rose Poole'un "Ahlak ve Modernlik" kitabında belirttiği üzere modernlik, hem ahlâka ihtiyaç duymakta hem de ahlâki imkânsız kılmaktadırlar (Poole, 1993: 9). Bauman'a göre etik müphem ve aporetiktir (Bauman,1998:9). Müphem olmayan bir ahlak insanın doğası itibarıyla düşünülemez. Bu nedenle postmodern durumda etik bir kodun varlığı düşünülemez. Nesnel kurallarla dayanan bir etiğin uygulanması mümkün görünmemektedir. Hatta evrenselliğin, ahlaki sorumluluk duygusunu tamamen ortadan kaldırdığı düşünülmektedir. Ahlakî davranış, garantisi olan bir beyaz eşya değildir. Kusursuz ahlaklı insan olmayacağı gibi kusursuz ahlaklı bir toplumun da olması imkânsızdır. Bu baskının insanda daha az ahlaklı olmaya sebep olduğu görülmektedir (Bauman,1998:21).

Akıcılık olarak ifade edilen rasyonalizm modern yaklaşımın temelini oluşturmaktadır. Bununla birlikte evrensellik ile arasında çok sıkı bir bağ vardır. Çünkü evrenselliğin uygulanabilmesi için rasyonalizm şarttır. Modernizmin en büyük çabası insanların rasyonel olduğunu varsayarak, bu insanların benimseyeceği evrensel kurallar oluşturmaktır. Etik kurallar ve kodlar oluşturmak bunun bir parçasıdır. Rasyonel iradenin yükseltilmesi ve evrensellik vurgusunun altında modernizmin en temel vaadi olan özgürlüğü denetim altına alma çabası yer almaktadır. Bunun iki yolu vardır (Tunçer,2008: 66).

- 1- Bireylerin rasyonel yetileri ile doğru yargıları kendi kendilerine uygulamalarıdır.
- 2- Rasyonel olarak tasarlanmış dışsal baskılar (yasalar, düzenlemeler, kurallar) yoluyla bireylerin kötü ve ahlak dışı olanı yapmalarının önlenilmesidir.

Postmodern etik bağlamında rasyonellik neredeyse imkânsızdır. Max Horkheimer ve Theodor Adorno akılcılığı "tamamen işlevselleştirilmiş akıl" (1979: 89), "akıl biçimselleştirilmesi" (1979: 93), "amaçsız amaçlılık" (1979: 89) gibi kavramları kullanarak açıklamışlardır. Postmodern bağlamda ahlak irrasyoneldir ve öyle kalacaktır. İnsanın varoluşsal olarak rasyonel olması olası değildir. Tarafsız bir zemin yoktur. Bizim için herhangi bir pratik yararı olacaksa ne kadar tersini istersek isteyelim, ahlak felsefesi bir iç çaba olmak zorundadır. (Pirtchard,1991:10) İş hayatında etik kuralların bu kadar önemli hale gelmesinin sebebi de rasyonalite temeline oturtulmuş bir avantaj sağlama isteğidir. Çünkü iş dünyasında etik davranmak kişiye fayda olarak geri dönecektir.

Pragmatizm, eski Yunancada iş, eylem anlamına gelmektedir. İş ve eylem hayatın kendisini oluşturmaktadır. Bu durumda pragmatizm bir yaşam felsefesidir. İnsan hayatının yapıp etmelerinin felsefi izdüşümüdür (Cevizci,2010:365). Pragmatizm eylemleri ve bilgileri sağladıkları fayda bakımından değerlendirmektedir. Bu bakımdan pragmatizmin bilgiye ve bilime bakışı da buna paraleldir. Bilimsel bilginin deneysel yöntemlerle elde edilmesi gerektiğini savunurlar. Yapılan sınıflandırmalarda pragmatizm, normatif etik sınıfına girmektedir. Zihne ve akla vurgu yapan pragmatizm'de ortaya konulacak tutum ve davranışlar da akıl temelli olmalıdır. Ayrıca normlara ve standartlara tabidirler. Pragmatizm aynı zamanda modernizmin de metotlarından biridir. Pragmatizm'in kurucularından sayılan Charles Sanders Peirce, bilimsel araştırmaya ilham veren yegâne şeyin, nesnel hakikat düşüncesi olduğunu ifade etmiştir (Cevizci,2010,583). 20. Yüzyılın ilk çeyreğinde çok etkin olan pragmatizm, Amerikan felsefesinin de ana teması olması bakımından bu anlamda bilimde de nesnel paradigmanın hakim olmasını sağlamıştır. Oysa ki bir bilim adamının, nasıl düşünmesi, ne gibi sorular sorması ve bu soruları hangi yöntemlerle cevaplaması gerektiğini etkileyen içinde bulunduğu paradigmanın seçimi ise, akılcı temellerden çok, sosyolojik ve psikolojik temellere dayanmaktadır. (Özen,2000:1) Kuhn'un da "Bilimsel Devrimlerin Yapısı" adlı eserinde dile getirdiği üzere paradigmayı tanıyabilmek için, o paradigmanın ille de kurallar düzeyinde rasyonelize edilmiş olması gerekmez (Kuhn,2021:30). Meşrulaştırma, bir yasa koyucuyu bu yasayı



norm olarak yürürlüğe koymaya yetkili kılan süreçtir. Bilimsel bir hipotez ortaya atıldığında kabul edilebilmesi için bir takım koşulları yerine getirmesi beklenir. Meşrulaştırma burada, bilimsel söylem hakkında konuşan bir "yasa koyucuyu", bir söylemin bu söylemin parçası olabilmesi ve bilim camiası tarafından kaale alınabilmesi için, sözü geçen koşulları (genellikle iç tutarlılık ve deneysel doğrulanabilirlik koşulları) norm olarak koymaya yetkili kılan süreçtir (Lyotard,2013:21). Feyerabend'in eserlerinde dile getirdiği üzere bilimsel alanda ilerleyebilmek için bilimsel standartlar ve kurallar ihlal edilmek zorundadır aksi halde bilimsel ilerleme duracaktır (Feyerabend,2017:24). Pragmatizmin hâkim olduğu bir ortamda bilginin üretim amacında da değişiklikler meydana gelmiştir. Bilgi artık değişim için yani üretimde değerlendirilmek amacı ile kullanılmaktadır. Bu durumda kendisi için bir amaç olmaktan çıkmaktadır ve kullanım değerini kaybetmektedir (Habermas,1997). Toplumsal yaşama ilişkin sistematik bilgi üretimi, toplumsal yaşamı geleneğin değişmezliklerinden uzaklaştırarak sistemin yeniden üretiminin bütünleyici bir parçası durumuna gelir. (Giddens,1998:55) Dellaloğluna göre; bilginin amacının değişmesinin sonuçları üniversitelerde de kendini göstermektedir. Üniversite, bilim insanları için bilgi üretme idealinden ziyade bir kariyer alanı haline gelmiş durumdadır. Bugün özellikle de Türkiye bağlamında kendi alanlarında uzman binlerce akademisyen var ama toplumsal alanda yorum yapacak söyleyecek herhangi bir sözleri yok. Çünkü bilim insanları bir nevi makine durumundalar. Araştırmayı alır, giriş ve sonucunu yazar, saha çalışmasını yapar, araştırmasını tamamlamış olur. (Dellaloğlu,2021:18).

Postmodernizmi kurtuluş olarak gören Gilles Lipovetsky'nin "Ödevin Gün Batımı" adlı eserini yorumlayan Bauman, bugünün ahlak anlayışı ve yaşantısı hakkındaki düşüncelerini şöyle ifade eder: Çağımızda özveri düşüncesi meşruluğunu yitirdi. İnsanlar, ahlaki ideallere ulaşmaya istekli değiller. Üstelik ahlaki değerleri korumaya teşvik edilmiyorlar ve bunun için kendi sınırlarını zorlamaya da istekli değiller. Politikacılar ise ütopyaları tamamen öldürdüler ve dünün idealistleri pragmatikleştirdi. (Bauman,1998:11).

### 3.2. Postmodern Etiğin Gelişimi

Postmodernlik klasik hakikat, akıl, kimlik ve nesnellik nosyonlarından, evrensel ilerleme ya da kurtuluş fikrinden, bilimsel açıklamanın başvurabileceği tekil çerçeveler, büyük anlatılar ya da nihai zeminlerden kuşku duyan bir düşünce tarzıdır (Eagleton,1996:9). Postmodernizmin kökleri varoluşçuluk, nihilizm ve anarşizm felsefelerine dayanmaktadır. (Neuman,2017:155). Bu sebeple Heidegger, Nietzsche, Sartre ve Wittgenstein gibi eleştirel düşünürler aynı zamanda da postmodern düşünürlerdir.

Mevcut etik yapıya eleştiri ilk olarak Hegel'de net bir şekilde görülmektedir. Hegel, modern dünyada yaşayan bireylerin istek, akıl ve duyguları arasında çatışma içinde yaşadıklarını belirtir. Hegel, söz konusu çatışma, bölünmüşlük, yabancılaşmışlık durumunu insanın kendisini gerçekleştirmesine engel olan bir uyumsuzluk hali özgürlükten yoksun olma durumu olarak tanımlar (Wood,1990:39). Kant'ın ödev etiğini eleştirir ve yaşamın salt olarak ödevler tarafından belirlenemeyeceğini belirtir. Schopenhauer ise 18. yüzyılda etkisini gösteren aydınlanmanın 19. yüzyılda karşılığı olarak kötülüğün baskın çıktığı ve kötümserlik üzerine kurulu bir etik anlayışı olduğunu ifade eder. Schopenhauer etik anlayışta, ampirik olgulardan bağımsız bir ödev ve yükümlülüğün olduğu bir anlayış benimsemiştir. Her iki düşünür de ödev etiğinin çok yoğun olarak ön planda tutulduğu bir dönemde yaşamış olmalarına rağmen dönemin etik anlayışını sorgulamışlardır ve eleştirel etiğe katkıda bulunmuşlardır. Eleştirel etiğin kurucularından olan Nietzsche klasik ahlak anlayışının artık son bulduğunu belirtir. Nihilizmi şöyle açıklar: Değerlerin bizim için evrensel değerini yitirmiş ve anlamsız hale gelmiş olmasıdır. (Nietzsche,2002:24) Ahlaki ilkelerin evrensel kurallarla yönlendirilebileceğini ve bir kaynaktan gelebileceğini kabul etmez. Ahlaki ilkelerin kendiliğinden oluşabileceğini düşünür. Ahlakın köklerini incelediğinde; verili ahlak zayıf, güçsüz karakterli insanların teşekkül ettiği ahlaksa eğer bu ahlak köle ahlakıdır; buna mukabil o güçlü, kendine güvenen, sağlıklı insanlar arasında teşekkül etmişse, söz konusu ahlak bu sefer efendi ahlakı olmak durumundadır (Cevizci, 2018:297). Hakim ahlak düşüncesinin köle ahlakı etrafında oluşturulduğunu hatta Hristiyanlığın zayıfın, yoksulun, ezilmişin yanında yer almasının aslında soylu ahlakına yönelik bir öfkeden kaynaklandığını ifade eder. Bu öfkenin yansımaları da modern ideolojiler olarak karşımıza çıkar. Hakim ahlak, insanın kendi varoluş mücadelesini arka plana iterek, hayatın temellerini ortadan kaldırmıştır. Tabii ki Nietzsche'ye göre ahlaki olma kararının arkasında asla ahlaklı olma isteği yoktur, ahlaka bağlanmanın en temelinde boyun eğme vardır. Sartre'in görüşlerinin de temelini oluşturan Soren Kierkegaard modernitenin mutlaklaştırma sorununa dikkat çeker. Modernliğin ortaya koyduğu normlara, onun nesnellik ve bilimsellik iddialarına, yasaları ve kurumlarının insan yaşamı için yegâne ya da en yüksek standart haline gelmesine karşı çıkar (Cevizci, 2018: 332) Kierkegaard özellikle bilim ve nesnellik üzerine yoğunlaşır ve insanı kendine yabancılaştıran şeyin modernlik kapsamında nesnellüğün önem kazanması ve böylece de bilimin ve bilimsel bilginin cisimleştirilmesi olduğunu vurgular. İnsanın, kitle toplumunun normlarından bağımsız bir biçimde içsel olarak ve gerçekten inandığı şeye uygun davranmadığı zaman kendini sahte yapay ve kendisine yabancı hissettiğini belirtir (Gödelek,2010:94). Aynı durumun ahlak için de geçerli

olduğunu bu sebeple öğretmenden öğrenciyi aktarıldığında nesnel bir kimlik kazandığını söyler. Kiergardaard' a göre insan benliği ile ilişki içinde olmalı ve kendi olmalıdır. Ahlakla ilgili önceliklerini bu çerçevede oluşturmuştur. Bireyin toplum içinde kitle ve ya sürü toplumu olup kalabalık içinde kendisinin farkında olmadan yaşadığını belirtir. (Rudd, 1997:24). Bundan dolayı uyulması zorunlu ahlaki kuralların olması kalabalık içinde kaybolmuş bireyin kalabalıklardaki kabulünün yoludur. 19. yüzyılda ve 20. yüzyıl başlarında eleştirel etik, daha çok modernite eleştirisini temeline alan normları ve kuralları eleştiren ancak yine de erdemi ön planda tutan bir yapıdadır. Bu düşünceler de temelinde başkasına yaşam hakkı tanımayan aynılaştırma çabası taşıyan bir etik anlayıştır. Ancak Levinas ile beraber etik başka bir anlam kazanmıştır. Ve özne temelinden öteki temeline geçmiştir. Çıkışını öznenen alan ben merkezli modern felsefenin kategoriler üzerine inşa ettiği etik anlayışında öteki kavramını kontrol altına alınması gereken bir kavram olarak sunmuştur.

Levinas "ötekinin filozofu" olarak tanınmıştır (Türk,2013:29). Levinas'ın ötekiyle olan etik ilişkisi, başkasından karşılık beklemeden sorumlu olmayı gerekli kılar. Levinas'a göre etik; varlıktan soyunma, varlıktan özgürleşme olarak betimlenmiştir. Özgürleşme ise öznenin kendisi üzerinde hâkimiyet kurması şeklinde olur. Bu benin kendinden feragati anlamına gelir ve bu feragat ancak başkası ile kurulan sosyal ilişki yani etik ilişkiyle sağlanmaktadır. Levinas'ta etik kökensel olarak, tarihsel örneğini Kitab-ı Mukaddes'te geçen Habil ve Kabil hikâyesinde bulur. Kabil, kardeşinden sorumlu olup olmadığını sorgulayarak, kendisine "Kardeşin nerede?" diye soran Tanrı'ya "ben kardeşimin bekçisi miyim?" yanıtını vermiştir. Levinas'a göre burada kabul edilmesi gereken bir sorumluluk vardır. Bu sorumluluk kan bağı ile değil, insani kardeşlik bağı ile var olmaktadır. Levinas etiğinde, Ben'in her zaman ötekine karşı sorumluluğu olduğunu belirtir. (Levinas, 2016: 276). İlk büyük eserlerinden olan "Bütünlük ve Sonsuzlukta" şu şekilde ifade etmiştir: "Batı felsefesinin genellikle bir ontoloji, ötekinin, araya varlığın kavrayışını teminat alan bir orta ve nötr terim sokmak suretiyle, aynıya indirgemek olmuştur" (Levinas,1969:43). Levinas etiğin, ilk felsefe olduğunu ve ontolojiden önce geldiğini savunur. Levinas öteki ile olan etik ilişkisinin temeline arzuyu koyar. Arzunun konusu olan öteki, etik ilişkide kendini özneye yüz olarak sunar. (Cevizci,2018:416) Yani başkasına duyulan arzuda öteki bütün şeffaflığı ile üstümüzde yüz olarak belirir. Bu yüz etik bir ilişki kurulmasına sebep olur. Bu yüz yüze olan etik ilişki öncelikle söylemle olur yani anlama ve seslenme aynı anda olur. Bunun olması için de dil gereklidir. Levinas eserlerinde sık sık dilin önemine vurgu yapar. Burada anlatılmak istenen önce ötekine cevap verilmelidir, bu da etiğe daveti kabul etmektir. Yüz yüze ilişki temelinde ötekine karşı sorumluluk ilişkisidir. Bu anlamda sorumluluk hem ötekinin çağrısına karşılık vermek hem de onun sorumluluğunu kabul etmektir. Diğer bir ifadeyle ötekinin ihtiyaçlarını dikkate almaktır, aslında Levinas'ın etik dediği şey budur (Atterton ve Callarco,2005:29-30).

Bu ilişkideki sorumluluk kavramı tek taraflı bir sorumluluktur ve karşılığını beklemeyen bir sorumluluktur. Ben ötekine karşı sorumludur ancak ötekinden herhangi bir sorumluluk beklememektedir. Bu anlamda ötekinin bana karşı yükümlülüğü olsa bile bu durum benin durumunda bir değişikliğe sebep olmaz. Burada simetrik olmayan bir ilişki söz konusudur. Bu durumun doğal bir sonucu olarak kardeşlik kavramı almıştır. Düşüncesini temelinde Habil ve Kabil kavramı ile açıklamasının esas sebebi bu olabilir. Levinas'ın düşüncelerinin temelinde aynı olmaya karşıtlık ve kardeşlik bulunmaktadır. Bunun sebebi Yahudi Soykırımına bizzat tanık olması olabilir. Hitlerizmi ciddi bir şekilde eleştiren Levinas evrenselciliğin ırkçılık fikrini beraberinde getirdiğini ve onu beslediğini düşünür (Güneş,2016:186). Levinas'a göre etik ilişki ötekine karşı mutlak sorumluluk üzerine kurulmuştur. Ancak buradaki sorumluluk bir seçime ya da etiğe ilişkin bir hükme dayanmaz insanın duyarlılığına ve ötekinin yüzü ile karşılaşma anındaki savunmasızlığa dayanır. Bu açıdan bakıldığında etik bir norm değildir kendine rağmen diğerine karşı olan sorumluluğundur. Bu sorumluluğa karşı her zaman verilecek bir yanıt olduğu için sınırsızdır. Levinas'ın cenazesinde övgülerle dolu konuşmasını artık kendisi de hayatta olmayan Derrida yapar. Ancak kendisi aynı zamanda Levinas'ı en çok eleştiren düşünürlerdendir (Lescourret,2010:31). Derrida düşüncelerini oluştururken Levinas'tan ciddi anlamda etkilenmiş ve yararlanmış. Ancak Levinas'ın başka (öteki) kavramından ciddi endişe duymuş ve bunu şu satırlarla ifade etmiştir: "Varlığın aynı ve başka arasında bölünüşü nedir, aynı ve başka arasında bir bölünme ve en azından aynı'nın başkanın başkası ve başkanın da kendisiyle aynı olduğunu varsaymazken?" (Derrida,1964:186).

Derrida özellikle son dönem eserlerinde Levinas eserlerinin de katkısıyla etik konusuna yönelmiştir. Derrida'da etik öteki olan ilişkide kendini gösteren, ötekine karşı sorumluluğun ifadesidir. (Critchley,2005:65) Bu nedenle etik olmak ve sorumlu olmak için, kendimizi dogmatizmden olduğu kadar mutlak özgüvenden de kurtarabilmemiz ve sistematik bir eksiklik ve şüphe hissini kabul etmemiz gerekmektedir (Borradori, 2003: 139-146). Farklılığa izin vermek, başkılığa karşı sorumluluğun yolunu açacaktır. Çünkü metafiziğin kodlarıyla konumlanmış bir etik Başka'nın çağrısına cevap veremeyecektir (Zlomislic, 2007: 6). Derrida insana ait bir şeyin bir nedene bağlanarak açıklanabileceğini düşünmez. Ahlakın belli bir merkeze bağlanmasını doğru bulmaz. Etik yasalar, kategorize edilmiş faydacılık, akıl temeline oturturulmuş rasyonalite Derrida için kabul edilemezdir. Etik konusunu incelediği

“Çile” adlı eserinde şu soruları sorarak başlamıştır: Eğer ödev varsa bunun; zorunda olmaktan, zorunda olmadan zorunda olmaktan, zorunda olmama zorunluluğundan ibaret olması gerekmez mi? Bunun etik ve siyasal sonuçları ne olabilir? Bu ödev isminden ne anlamamız gerekir? Ve kim bunu sorumluluk içinde taşımayı üstlenebilir? (Derrida,2010:6) Derrida’ya göre davranışlarımızın belli kurallara dayanması ve yalnızca bir ödev olarak görülmesi sebebiyle aslında ahlaktan daha da uzaklaşmaktadır. Burada anlatılmak istenen tüm kurallara karşı çıkmak değildir. Kuralların hem kuralı hem kurlsızlığı aynı anda barındırmasıdır. Derrida bunun kendini sürekli yineleyen yapısal her defasında tekil ve örnek oluşturan genel bir kural olduğunu ne yalnızca normatif kurala uygun ne de söz konusu kural uyarınca, ona saygı gereği davranılmamasını buyuran bir yanı olduğunu ifade eder (Sümer,2016:141). Yani ahlaka kural için uymak aslında pek de ahlaki bir durum değildir. Derrida sorumluluk, ödev ve etik kavramlarını özellikle irdelemiştir. Bu kavramların apeoritik olduğunu düşünmektedir. Ancak bu durum bu kavramların üzerine konuşmamız ya da düşünmememiz anlamına gelmemektedir. Onlara eleştirel bir gözle bakmamız anlamına gelmektedir. Bu da bu kavramların yapısöküme uğratılması ile mümkündür. Yapısöküm kuramı Derrida tarafından ortaya konulmuş mutlak doğru olmadığını hatta kesin gibi görünen doğrulara bile eleştirel gözle bakılması gerektiğini düşünen bir kuramdır. Bu anlamda Derrida etik sorumluluğa görevin çok ötesinde bir anlam yüklemiş durumdadır. Bu şekilde etik hem tüm normatif kurallara başkaldıracaktır hem de sorumluluğu göreve indirgemeyen bir yapıya sokacaktır. Böylece etik temellendirilmeyen ve hesaplanamayan bir yapıda ele alınacaktır. Çünkü Derrida’ya göre sürekli istikrar ve belirlilik durumu etiğin sonu anlamına gelmektedir (Mouffe,1998:23). Derrida etiği mümkün kılan şeyin aslında çelişki ve kararsızlık olduğunu belirtir ve kurlsızlık ortamında geçerli olduğunu söyler. Etiğin varlığı kuralın icat edilmesine bağlıdır.”Kuralı bilmiş olsam, nasıl okunacağını bilmiş olsam, yasak basit olsa, “Basitçe okumalısın, bir norm var, bir kural var, sen de vazifeni yapmalısın”, şeklinde söylenmiş olsa sorumluluk zaten olmayacaktır. (Sümer,2016:146) Oysaki böyle bir durumda etik yoktur çünkü etik aslında zorunluluğun olmadığı yerde başlar. Zorunlulukla yapılan etikte ise zorunluluğu yapmamanın ya da yapıyormuş gibi görünmenin her zaman bir yolu vardır. Eğer etiğin sigortası varsa ve hata yaptığında bunu sigortadan karşılayacağını biliyorsan aslında bu etik gerçek bir etik değildir. Hatta Derrida yasa kavramını şiddet kavramı ile ilişkilendirilir. Çünkü yasa otorite temeli üzerine inşa edilmiştir ve bu sebeple de şiddete dayanır. Yasa bağlamının içinde yeniden ve yeniden yorumlanmalıdır.”Örneğin bir yargıcın kararının adil olabilmesi için onun bir hukuk kuralını veya genel bir yasayı izlemesi yetmez, o kuralı veya yasayı, bu yasa daha önce var olmamış gibi, sanki bu yasayı her seferinde yargıcın kendi icat ediyormuş gibi tekrar tesis eden bir edimle üstlenmeli ve tasdik etmelidir (Derrida, 2010:70). Derrida ayrıca yasanın her zaman ekonomik ve politik güçlerden etkilendiğini de düşünür. Derrida etik konusunda Levinas’la yakın fikirlerde olsa da Levinas’ın etik şiddet içermemektedir fikrine katılmaz ve bu fikrin sarsılmasına yol açar. Ötekinin var olduğunu kabul eder ama temel vurgusunu dil üzerine yapar. Dilin dışsal kökenlere sahip olduğunu ve ötekinin varlığında, onunla iletişimin mümkün olduğu durumda dil olabildiğini belirtir (Sümer,2016:157). Bu sebeple dil yalnızca ötekilere gönderilen mesajları değil ötekini de içerir (Stocker,2006:338).

Derrida’nın etik yaklaşımı aynı zamanda bağlama vurgu yapmıştır. Etik bir karar verirken her zaman bağlamın dikkate alınması gerektiğini vurgulayan bir etik yaklaşımı vardır. Bunun yanı sıra her olayın da kendi içerisinde değerlendirilmesi gerektiğini belirtir. Muhasebe uygulamaları yapılırken de birçok etik karar verilmektedir. Bu kararlar verilirken bir takım evrensel kurallara bağlı kalınması gerektiği düşünülmektedir. Ancak bu etik kurallar uygulanırken bağlamsal olarak değişiklikler gösterebilmektedir. Ayrıca çalışanın etik olma motivasyonunun sebepleri de değişiklik gösterebilmektedir. Bu sebeple çalışmanın devamında muhasebe etiği kavramı açıklanacak olup etik kuralların işlevselliği tartışılacaktır.

#### 4.MUHASEBE ETİĞİNE POSTMODERN BİR BAKIŞ

İnsanların ticari ilişkilerinin yazının olmadığı dönemlerdeki ilkel toplumlarda bile var olduğu bilinmektedir. İlk şehir devletlerinin kurulmasıyla beraber ticari işlemlerin kayıt altına alınma ihtiyacı doğrultusunda kayıt işlemi yapılmaya başlanmıştır. Bu kapsamda muhasebe kayıtlarının ilk örnekleri olduğu düşünülen Sümerler döneminde yazılmış olan kil tabletlerde 1350 kamış işçisinin gündeliğine karşılık gelecek buğday tanesi alacak miktarı olarak belirlenmiştir (Şan,2019:54). Buna ek olarak göz şeklinde figürlere de rastlanılmıştır. Göz figürlerinin denetim ve kontrol kavramlarına dikkat çekmek için çizildiği düşünülmektedir. Böylece yapılan işlerin izlendiği ve kontrol edildiği duygusu çalışanlar için baskı unsuru oluşturacaktır. Bu anlamda günümüzdeki kamera sistemi ile izlenen iş yerlerini anımsatmaktadır.

#### 4.1. Muhasebe Etiğinin Şeffaflık ve Hesap Verilebilirlik İdeali

Kapitalizmle muhasebenin gelişimi arasında güçlü bir bağ olduğunu düşünen Sombart'a göre rasyonel muhasebe sisteminin kullanıldığı ilk yer İtalya'dır. 13. yüzyıl itibarıyla İtalya'da kullanılmaya başlanan muhasebe teknikleri geliştirilerek 15. yüzyıldan itibaren Kuzey Avrupa'da hızla gelişim göstermiştir (Sombart,2008:135-139). Hızla yayılan çift taraflı kayıt usulü; gelir gider takibi, dönemsel eğilimlerin takip ve denetimi açısından fayda sağlayarak rasyonel karar verme süreçlerinin gelişimine katkı sağlamıştır. Weber'in eserlerinde sıkça dile getirdiği üzere rasyonel hesap tutma işlemi, iş döngüsünde önemli bir yer tutmaktadır ve bu iş ahlakını belirleyen önemli unsurlardan biridir. Hatta bilimsel muhasebe defteri tutmada çok ileri düzeyde olan ülkelerin ekonomik gelişmede de aynı derecede ileri seviyede bulunmalarının tesadüfi olmadığını da belirtmiştir (Weber,1981:63). Bu kapsamda sanayi devrimi öncesinde rasyonel düşünme kavramının temellerinin çift taraflı kayıt tekniğine dayandığını düşünülebilir. Modern insanının maddeye olan yaklaşımı onu bir madde olarak görmekten ziyade bir rakam olarak görme eğilimindedir. Madde şekli niteliklerinden sıyrılmış bir halde sadece sayı olarak muhasebe kayıtlarında ifade ettiği büyüklüğe göre değer kazanmaktadır. (Ortaköy,2014:117). Muhasebede defter tutma işleminin doğal bir sonucu da hesap kodları ve hesap isimleridir. Hesap kod ve isimlerinin muhasebedeki amacı ise sınıflandırma yapabilmektir. Hesap isimlerinin çıkış süreci incelendiğinde her muhasebecinin farklı hesap isimlerini kullanmasının yarattığı karmaşayı ve belirsizliği önleme amacı taşıdığı görülmektedir. Bu açıdan sınıflandırmanın temel amacı belirsizliği ve karmaşayı ortadan kaldırmaktır. Bauman "Modernilik ve Müphemlik" adlı eserlerinde sınıflandırmanın amacının müphemliği ortadan kaldırmak olduğunu sıklıkla dile getirmektedir. Hesap kod ve isimlerine ne kadar sıkı sıkıya bağlı sınıflandırma yapılırsa o kadar doğru kayıt tutma performansı gerçekleştirilmiş olur. Hâlbuki bu tür ölçütlerin uygulanması ve bunların gözetlemekle yükümlü olduğu eylemin kendisi, müphemliğin nihai kaynaklarıdır; bu yüzden de, yapılaştırma/düzenleme çabası ne kadar büyük ve tutkulu olursa olsun, müphemlik hiçbir zaman tamamen yok olmayacaktır" (Bauman, 2003: 10-11). Sınıflandırma fonksiyonunun gerçekleştirilmeye çalıştığı ideal, dünyadaki bütün başlıkları içeren, bütün dosyaları içine alan bir tür ferah dosya dolabı yaratmaktır; bu dolapta, her dosya ve her başlığın kendine has bir yeri olacak ve yerinin belirlenmesinde kuşku bulunan başlıklar için de çapraz-referanslı bir dizin bulunacaktır. İşte müphemliği kaçınılmaz kılan tam da böyle bir dosya dolabının imkânsızlığıdır. Yeni müphemlik kaynaklarını yaratan da, böyle bir dolabın inşasını amaçlayan ısrarın ta kendisidir. Müphemlik, sınıflandırma işinin bir yan ürünüdür ve her seferinde daha fazla sınıflandırma çabası gerektirir" (Bauman, 2003: 11). Muhasebenin sınıflandırma fonksiyonu, belirsizliği ortadan kaldırma fikrinin bir yansımasıdır. Bu kapsamda sınıflandırma kavramının rasyonel düşünme kavramını etkilediği düşünülebilir.

Muhasebe ve kayıt tutmanın toplumsallaşmanın ilk aşamalarından beri iş yapma biçimlerini şekillendirdiği ve bu yolla da organizasyonlara ve toplumlara ulaştığı görülür. Bunun en önemli sebeplerinden biri de otoritenin muhasebe aracılığı ile bireyleri denetleyebilme kabiliyetine ulaşmasıdır. Organizasyonların genişlemesi dünyanın daha global hale gelmesi denetleme kabiliyetini zamanla daha güç hale getirmiştir. Denetim konusunun muhasebenin en popüler konusu olması ve beraberinde bir takım standartları da getirmesi bu durumun yansımasıdır.

Etik konusunun da 2000'li yıllarla birlikte birçok bilim dalında etkili hale gelmesi denetim ve gözetim faaliyetin etkinliğini artırma isteğinin bir sonucu olabilir. Muhasebe kayıtları yapılırken etik kurallara uymanın sigortası ise şeffaflık olacaktır. Çünkü şeffaflık hesap verebilir olmanın bir garantisidir. Şeffaflık kelime anlamıyla ışığın bir şeyin içinden geçebilmesi ve böylece arkasındaki herhangi bir nesnenin görünebilir olması anlamına gelmektedir. Başka bir ifadeyle kapalı kapıları, uygun teknoloji ile görünebilir kılmak anlamına da gelir. Şeffaflık bir taraftan kullanıcıya her şeyi bilme sözünü vaat eder ama bir taraftan da korkunç bir incelemeye tabi tutar. Bu da her şeyi bilen, gören ve kontrol eden bir Tanrı izlenimi uyandırır.

Chul Han'ın "Şeffaflık Toplumu" adlı eserinin önsözünde şöyle yazar : "Şeffaflık toplumu bir güven toplumu değil kontrol toplumdur." (Chul Han,2017:11) Bir işletmede eylemler hesaplanabilir ve denetlenebilir süreçler haline geldiğinde şeffaf hale gelmiş olur. Muhasebenin, işletmenin örgütsel sonuçlarının ne kadar adil ve gerçek olduğunu gösteren bir fonksiyon olarak görülmesinin sebebi de şeffaflaşmanın bir sonucudur. Bu anlamda mali tabloların hazırlanması ve yayınlanması hesap verebilirlik olarak görülebilir. Bu hesap verebilirliğin gerektirdiği tek şey, olanın olduğu gibi görünür hale gelmesi yani şeffaf olmasıdır. Ancak herhangi bir başarısızlığın sonucu şeffaflığa bağlanır ve her başarısızlığın sonucunda daha da şeffaf olmak başarısızlığı çözecekmiş gibi bir algı oluşturulur. Power'in kullandığı "denetim patlaması " ifadesi aslında bu şeffaflık isteğinin bir sonucudur. (Power:2000) Gray, Bu durumu şöyle ifade eder: Hesap verebilirliğin geliştirilmesi, kuruluşların şeffaflığını artırır. Görünür kılınan şeylerin sayısını artırır ve bunu yapmak, daha büyük bir açıklığa teşvik eder. Kuruluş daha görünür yani "şeffaf" hale gelir. (Gray:1992:415). Böylece her türlü olumsuzluktan arınmış, pürüzsüzleşmiş ve düzleşmiş şeyler daha da şeffaftır algısı oluşur. Son yıllarda mali olaylar ve hatta mali olmayan olaylar bile daha çok

detaylandırılarak daha güvenilir algısı oluşturulmuştur. Ancak kurumları daha şeffaf hale getirmek yeni bir denetim ve gözetim ideali de yaratmıştır (Power,2007:6).

Denetleme ve gözetleme ideali kurum içi ve kurum dışı kontrol ve risk denetim sistemlerinin artışına sebep olmuştur. Ancak hesap verilebilirlik kapsamında bakıldığında bu denetim kurumlarının işletmenin her düzeyinde yaygın bir mevcudiyet elde etmeye başlaması tartışmalı bir durumdur (Ogden,vd., 2006). Özetle, şeffaflığa verdiğimiz önem, şeffaflığın örgütsel kontrolü gerçekleştirmek için yeterli olduğuna dair derin ve kalıcı bir inancın olduğunu göstermektedir. Ama bununla birlikte şeffaflığın cazibesinin yanıltıcı olduğunu bildiğimiz durumlar da mevcuttur. Strathern (2000), çalışmasında " görünürlük neyi gizler? " diye sorarak şeffaflık yanılsamasına vurgu yapmaktadır. Burada kanıtların değerlendirilmesinde önceden bilinen kategoriler baz alındığı için şeffaflığın geriye doğru işlediği gözlemlenmiştir. Bu durumda şeffaflık, ölçümleri hedeflere dönüştürerek hesap verilebilirlik halini almış olur. Böylece ölçüm sistemleri ideali belirleyen ve erişilmesi gereken bir makine haline gelmektedir. Şeffaflık kendini yargıladığın ve yargılanman gereken bir norm haline dönüşmektedir.

Strathern (2004), şeffaflığın, yalnızca kurumların gerçek işleyişini gizleyen, bağlamdan arındırma süreçlerini içerdiğini öne sürmektedir; işletmelerin sosyal yapılarının, kültürel değerlerinin ve örgütlenme tarzlarının çoğunlukla örtülü olduğunu, paylaşılan bilgilerin ise çok değerli bilgiler olmadığını belirtir. Denetimin ve denetlenebilir bir takım ilkelerin olması amaçlananın aksine denetlenen hizmetlerin işlevsiz hale gelmesi riskini de taşımaktadır.

Tsoukas bu durumu şöyle ifade eder "Yönetim, görünüşü korumakla eşdeğer hale gelir ve gölgelerle mücadele eder: Başarı tabloları aracılığıyla yönetmek, aslında başarı tablolarının kendisini yönetmeye yol açar" (Tsoukas,1997:838). Bu durumda iyi amaçları olmasına rağmen evrensel şeffaflık talebi işletmenin bazı şeyleri çarpıtmasına sebep olur.

Örneğin, tüm bölgelerin olduğu bir toplantıda aylık muhasebe verileri incelenir. Bazı rakamlardaki tuhaflik gündem olur, ancak ilgili bölgenin muhasebe müdürü zengin ve ayrıntılı yerel bilgisi sayesinde, şeffaf rakamlarla ve tablolarla gerekli açıklamaları yapar. Muhasebe direktörü ikna olur. Ancak bölge müdürü şeffaflık adı altında gerçeği tam olarak yansıtmamış olabilir. Sonuçta direktör buna inanmıştır. Direktör, bölge müdürünün sahip olduğu yerel bilgiye sahip değildir ve yerel olanı yalnızca muhasebe rakamlarının şeffaf hale getirildiği şekli ile görebilir. Hem direktör hem de bölge müdürü istediği sonuca ulaşmıştır. Çünkü bölge müdürü yetkinliğini kanıtlamıştır. Direktör de kontrolü sağlamıştır. Şeffaflık, yöneticinin, yöneticilerini bilgilendirmek için ihtiyaç duydukları tüm gerekli bilgi ve anlayışa zaten sahipmiş gibi davranılmasına izin verir. Böylece karar vermek için başkalarının yerel bilgisine ve ya deneyimine ihtiyaç duymaz.

Konuyla ilgili bir başka örnek de şöyledir: Bir iç denetçi kapanış döneminde ayrılan bayi tahakkuklarının dosyasını inceler ancak bazı hesaplamaları tam kavrayamaz. Tahakkuklarla ilgili hesaplamaları yapan sorumlu muhasebe çalışanına hesaplamaların detaylarını sorar. Bu işi tüm incelikleriyle bilen muhasebe çalışanı rakamlar yardımıyla açıklama yapar ancak çalışan sadece bilmesi ve ikna olması gerekeni iç denetçiye anlatması gerektiğini çok iyi bilir. Tüm bunları şeffaf rakamlar yardımıyla yapar ancak rakamların inceliğini kendisi bilir ve sadece bilinmesi gereken kadarını iç denetçiye sunar. Sonuçta bilgiler tüm şeffaflığı ile anlatır ve iç denetçi ikna olur, muhasebe çalışanı da işini doğru yapan etik bir muhasebeci gibi görünür.

Birinci senaryoda direktör tam bir kontrol ve yetkinlik arzusuna ulaştığını düşünür hem de yerele olan bağlılığını reddetmiş olur. Mali tablolar, bütçeler, performans rakamları işler çok ters gitmedikçe doğru olarak kabul edilir. Kaynak tahsisinde, karar vermede, sembolik övme ve verme ritüellerinde esas alınır.

Örneğin internet sağlayıcı bir firmanın müşterilere sattığı internet hizmeti satış temsilcisinin performans kriteridir. Girilmiş olan bir satışın iptali ise performansı negatif etkileyen bir kriterdir. Müşteri 50 megabit 'lik internet talep eder, sisteme girişi yapılır. Ancak alt yapısı bunu karşılamaz ama o satışın iptali çalışanların performans kriterlerini düşüreceği için kullanılan sistemi iyi bilen bir tekniker tarafından sistem hileleri ile sanki 50 mega bitmiş gibi satışı gerçekleşir. Ayrıca performans değerlendirmeleri öyle bir şekilde hazırlanmıştır ki o tekniker performansı da o satış temsilcisinin değerlendirmesine bağlıdır. (İnsan kaynakları alanında en iyi performans modellerinden bir olan 360° performans yönetimi sisteminde farklı birimlerde bir işin farklı süreçlerini yapan çalışanlar iç müşteri olarak değerlendirilir ve birbirini değerlendirirler). Bu senaryoda her iki birimde çalışan çalışanlar performans değerlerini tutturmuşlardır. Yöneticilerinin gözünde iyi bir konumdadırlar. Tabi ki yöneticiler de raporlara baktığında memnundur. Çünkü o da üstlerine karşı performanslarını tutturmuş, çalışanlarını iyi yöneten bir müdür konumundadır. Senaryonun sonunda müşteri gerçekten o hizmeti alamadığında iptal ettirecektir. Ancak performans kriterleri tutturulmuştur ve her şey tüm şeffaflığıyla ortadadır. Performans sonuçlarına göre çalışanlar çok başarılıdır. İster doğru hesaplanmış olsun ister doğru hesaplanmamış

olsun, bu performans sonuçları varlığın otorite karşısında kabulünü sağlamaktadır. Varlığın tanınması ve şirkette kabul görebilmesi için bu sonuçlar bir araçtır. Lacan'ın ayna yansımaları ile özdeşleşmesi bu aşamada aslında gerçekleşmiş olur. Çalışan kendi sonuçlarının ve değerlerinin işletmede yansımalarını görür. Şeffaflık bir taraftan benliğin üzerindeki otoriteyi kaybetmesine sebep olurken bir taraftan da otorite karşısında tanınmayı vaat etmektedir. Şeffaflık benliğin nasıl olması gerektiğine dair bir norm belirler. Buna uyum sağladıkça takdir toplar ve kimliğinin tanınmasını sağlamış olur. Knights ve McCabe'nin araştırmaları personellerin, performans rakamlarını yönetim beklentilerini karşıladıklarının kanıtı olarak gördüğünü göstermektedir. Bu sayede kimlikleri için bir güvence sağlamış olurlar (Knights ve McCabe,2003:1608).

Roberts (2003) kurumsal sosyal sorumluluk ve iş etiği üzerine yapmış olduğu çalışmada kurumsal sosyal sorumluluk kavramının kurumlar için iyi bir imaj çizme yolu olduğunu bunun için iş etiğinin kullanıldığını ifade etmiştir. Roberts çalışmasında kurumsal sosyal sorumluluğun ucuz, kolay yollu ve görünüşü onaran bir model olduğunu söyler (Roberts:2003,250). Ayrıca iş etiği konuşmalarının da sadece kurumsal sosyal sorumluluğu daha iyi göstermek için yapıldığını belirtir. Oysa sorun belki de sorumluluğun kurumsal olarak tanımlanmasıdır. Çünkü kurumsal benlik duyarlılıktan yoksundur ve bu anlamda sorumluluktan da yoksundur. Neo klasik iktisadın etkili sonuçlarından bir olan vekâlet teorisi, bireyin fırsatçı ve bencil olduğunu varsayar bu durum sosyal ilişkilerin rekabetçi bir temele oturmasını sağlamıştır. Böyle bir ortamda etiğe ulaşmak zordur. Oysaki sosyal teorilerde yukarıda belirtildiği üzere başka alternatifler de vardır. Levinas'ın sorumluluğa ve duyarlılığa dayanan etiği bunlardan biridir. Muhasebe şu anda işletmelerde kendisini en yetkili araç olarak sunmaktadır. Çünkü işletmelerinin kendilerini sunmasının en iyi yolu mali tabloların güvenilirliğidir. Bunun yolu da daha görünür yani daha şeffaf olmaktan geçer. Kurumsal sosyal sorumluluk işletmelerin imajlarını daha üst noktalara taşıması için en iyi araçlardan biridir. Tüm bu süreçler birbiri ile ilişkili olarak muhasebe meslek etiğine olan ilgiyi arttırmıştır.

Roberts (2001) "Kurumsal Yönetim ve Narcissus Etiği" adlı çalışmasında Lacan'ın aynada bebeğin kendi yansımaları gördüğü anla Narcissus hikayesinde tanrılar tarafından lanetlenen Narcissus'un nehire baktığı an gördüğü yansımaya aşık olduğu anı bağdaştırır. Narsizm hastalığı adını bu mitolojik hikâyeden almıştır. Lacan çocuğun ayna evresinde benliğinde bir bölünme olduğunu egonun bir serap içinde kurulduğunu ve hayali olduğunu belirtir. Yanılsama bir hayaldir ve daha önce de belirtildiği gibi yabancılaşma aynı anda gerçekleşir. Ayna hem hayal edilen gerçeği doğrulamak hem de yok etmek ister bu bakımdan rekabetçidir. Rekabet daha o anda başlar ve bireydeki narsizm de bu aşamada başlamış olur. Tıpkı Narcissus'un nehire bakarken kendi yansımalarına aşık olduğu ana benzer. Narcissus'un görüntüdeki kişiye ulaşma arzusu gibi bireyde yabancılaşma pahasına ayrıcalıklı olmak için bir kimliğin hayali statüsünde yaşamak ister. Bu hayali kimlik, vekâlet teorisinin sunduğu fırsatçı ve bencil insan tarifine uymaktadır. Roberts (2001) etik ilgili çalışmasında bunu "Narcissus Etiği" olarak ifade etmiştir. Çalışmasında iş dünyasında etiğin yaygınlaşmasının ABD'de mali krizin çıkması, parasalcılığın benimsenmesi, deregülasyonun yaygınlaşması ve küreselleşmeye bağlı rekabetin artması ile aynı dönemlere denk geldiğini vurgulamıştır (Roberts,2001:122). Bu kadar çok ahlaktan bahsetmenin, onun tamamen ortadan kalktığının habercisi olduğunu belirtmiştir. Lacan kıskançlığın tam olarak yasakladığı şeyi erotikleştirdiğini söyler (Lacan:1992). Bu durumda iş etiği de inkar ettiği vahşiliğin bir maskesi olabilir mi? Finansal çıkarlar için yaratılmış kurumsal imaj sonucu sağlanan şeffaflık, hesap verilebilirlik ve bu yapıyla kendini özdeşleştirmiş çalışanlar sorumluluktan ziyade etik görünme kaygısı içine olabirler. Bu kaygının sonuçları günümüzde kurumsal sosyal sorumluluk, şeffaflık, hesap verilebilirlik ve etik kod gibi farklı isimlerle karşımıza çıkar.

Butler, " Giving an account of oneself " adlı eserinde etik narsisizmle ilgili düşüncelerini açıklarken aslında olması gereken etiğin pratikte diğeri için bir sorumluluk biçimini almak olduğu ve iyilikle meşgul olmak olduğunu belirtmiştir. Narsisizm tutarlılığı savunmaya eğilimlidir ve benlik imajının herhangi bir şeyden dolayı zarar görmesini istemez. Bu şekilde etik bir kimlik paradoksal olarak, sorumluluk almanın önünde bir engel olarak hareket edebilir. Kornberger ve Brown (2007 ) yapmış oldukları çalışmada etik kimliğin güç ilişkilerinde hem kişisel çıkarları desteklemek hem de alternatifleri dile getirmeye çalışanların kapsamını sınırlamak için söylemsel bir kaynak olarak hizmet edebileceğini savunurlar. Ayrıca etik bir kimliği kavramının hem ego açısından hem de benlik açısından aldatıcı olduğunu belirttiler. Buradan etik kimliğin ve ego kimliğinin birbirinin zıttı olduğu söylenebilir. Belki de Levinas bunun için etiği ifade ederken "Ötekine karşı olan sorumluluğu kendine rağmen yapmaktır" şeklinde ifade etmiştir. Şeffaflık genellikle memnuniyetle karşılanır; artık uzaktakilere doğrudan güvenmek zorunluluğu kalmaz bunun yerine iyi davranışlarının garantörü olarak şeffaflığa güvenilebilir. Roberts (2018) çalışmasında, şirketleri sadece şeffaflıkla yönetmenin daha az şeffaflık üretmeye hizmet ettiğini öne sürmektedir. Alvesson ve Spicer (2012) çalışmalarında "İşlevsel Aptallık" diye bir terimden bahsederler.

İşlevsel aptallık, özünde zeki ve bilgili insanları içerir. Ancak bu insanlar bilişsel ve düşünsel kapasitelerini aktif olarak kullanmaktan kaçınırlar (2012: 1196). Yöneticiler ve üst düzey yöneticiler bir yandan çalışanları yönetsel emirlere bağlılığı teşvik ederken, diğer yandan eleştirel düşüncelerini istemezler. Bu durum her şeye gücü yeten

bir liderlik anlayışını destekler. Güçlü lider yolu belirler, coşku yarattığı bir ekibe ait olma duygusunu oluşturur ve ekibin kişisel gelişimini düzenler. Çalışanlar büyük ölçüde lidere güvenir. Astarların vizyonlar, stratejiler, değerler ve kimlikler gibi temel konular hakkında düşünme ve karar verme konusunda liderin önerdiğini pasif bir şekilde kabul etmesi beklenir (2012: 1206) Bu da astları Alvesson ve Spicer'in "Aptallık Özyönetimi" olarak adlandırdıkları şeye teşvik eder. Bu çalışanların şüpheleri, eleştiriyi ve diğer düşünsel kaygıları bir kenara bırakarak organizasyonun daha olumlu yönlerine odaklanmaları anlamına gelmektedir (2012: 1207). Çalışanlar, yönetimin en iyisini bildiğine inanarak kendi düşüncelerini kendi deneyimlerini ve gözlemlerini diğer daha güçlü görüşler karşısında bir kenara koyarlar. Her ne kadar "İşlevsel Aptallık" kavramını ampirik özgüllüğünün olmaması nedeniyle eleştirilmiş olsa da (Butler,2016) Alvesson ve Spicer'in iletişimsel çarpıklıkları ve işlev bozukluklar konusunda önemli bilgiler ortaya koymuştur. Yöneticiler ve astlar bilinçli bir şekilde şirket içindeki çarpıklıkları sürdürmek isterler. Böylece örgütsel süreçler kendi kendine sansürlenir ve cehalet, bilerek ve aktif olarak geliştirilir. Bir organizasyonu böylesine olumsuz bir dinamiğe teşvik eden şey ise şeffaflıktır. Bundan dolayı şeffaflığa giderek daha fazla yatırım yapılmaktadır. Bu durumda kuruluşlar içinde görünür bir performans sağlamak için baskıları artırmaktadır.

Bu durumda şeffaflık etkisi altında hesap verilebilirliğin gerçeklerin bilerek gölgede bırakıldığı ya da tartışılmaz hale geldiği bir ortam yarattığı söylenebilir. Hesap verilebilirlik kendinin ve ya bir başkasının mükemmelliğinin peşinden koşmaktan ziyade aslında ne olduğunu bilmediği veya bilemediği bir gerçeğin sorgulanmasından geçer. Şeffaflığın istenmeyen sonuçlarına yönelik eleştirilerinin ışığında O'Neill, "akıllı hesap verebilirlik" dediği şeyin kör kabulden ziyade aktif sorgulamadan geçtiğini belirtir. Geleneksel güven ilişkilerinde aktif sorgulama, genellikle konuşarak ve sorular sorarak, dinleyerek ve zaman içinde harekete geçme girişimlerini gözlemleyerek oluşturulabilir (O'Neill, 2002:76). Giddens (2003), "Sosyolojik Yöntemin Yeni Kuralları" adlı eserinde eylemin rasyonelleşebilmesi için hesap verilebilir olması gerektiğini ve bunun içinde hesap verilebilir normatif bir yapıdan yararlanılması gerektiğini belirtir. Böylece hesap verilebilirlik kendine verdiği hesap verilebilirliğin üzerinde çalışacaktır. Normlara uyararak ve rasyonelleştirilmiş davranışlar sergileyerek şeffaflığı garantileyen bir hesap verilebilirlik sunulmuş olur. Başka bir deyişle şeffaf hesap verebilirlik düzeninde kendini tutarlı ve kendine karşı tamamen şeffafmış gibi sunar. Böylelikle kendi kendini düşünme ve değerlendirmeden kaçınmış olur. Ayrıca kendini kendine karşı tutarlı ve her zaman şeffafmışsın gibi sunar. Tutarsızlığı reddeder ve mükemmel bir görüntü çizilmiş olur. Halbuki Bauman tutarsızlığı bırakın etiğe yönelik bir tehdit olarak görmeyi, ahlakın filizlendiği serpildiği bir toprak olarak görmektedir (Bauman,2010:58). Şeffaflığın her zaman var olduğunun kabul edildiği bir temelde hesap verilebilirlik ve etik kavramları da yeniden değerlendirilmelidir. Burada tehlikeli olan durum yalnızca mükemmellekle tanımlanmak isteyip tutarsızlıktan kaçmak ve görmezden gelme çabasıdır. Aslında amaç itibar yönetimi yoluyla iyi bir görüntünün oluşması sağlamaktır. Oysaki postmodern bağlamda başka hesap verilebilirlik alternatifleri de düşünülebilir.

Öncelikle mükemmel olma ya da mükemmel görüntünün imkânsız olduğu düşünülerek başlanabilir. Bu baskıdan kurtulduktan sonra içinde bulunulan ilişkiler sistemi sorgulanarak ona karşı durmak belki mümkün olabilir. Değişen ve sürekli akış içinde olan dünyada her şeyi bilmek ya da anlamak mümkün değildir. Her şeyi anlamlandırıp sınıflamak için aşırı şeffaflık ya da aşırı kurallara bağlılık ihtiyacı duyulanın aksine daha büyük anlamsızlıklara ve karmaşıklıklara yol açabilir.

Tutarsızlığın bilinçli kabulü kişileri ve kurumları benmerkezci bir anlayıştan biz merkezli bir anlayışa geçirebilir. Böylece iletişimin merkezde olduğu bir anlayış gelişebilir. O zaman başkalarını tehdit olarak görmekten ziyade kendi düşünce ve eylemlerimizi geliştirmek için bir kaynak olarak görülebilir. Her şeye gücü yetme ve her şeyi bilme arzusunu bir kenara bırakarak ortaklaşa öğrenme isteğini de arttırabilir. Bu durum bireysel ve örgütsel anlamda hesap verilebilirlik alanlarımızda genişleme sağlar. Ayrıca organizasyonlar içinde davranışların ve kararların başkalarını da ister istemez etkileyeceği düşünülerek sorumluluğun benmerkezci bir anlayıştan diğerlerini de kapsayan bir etik anlayışa evrilmesini sağlayabilir. Bu kapsamda Levinas ve Derrida'nın etik anlayışı ötekine de yer veren bir anlayış olması bakımından tercih edilebilir. Derrida'nın yapısöküm metodu baz alınarak doğruluğundan daha az emin olunan ve mevcut standartlar kapsamında değerlendirilebilen ve sorgulanabilen hatta her durumda yeniden değerlendirilen ve sürekli gelişim içinde olan etik anlayışı da değerlendirilebilir.

## 5.SONUÇ

Bu çalışmanın sonucunda görülmektedir ki etiğin temellerinin gerçekten sorgulanmadığı bir bağlamda etik standartların, yasaların ve kuralların her geçen gün arttırılmasının etiğe katkısı tartışmalıdır. Mevcut etik anlayışı ile yapılan muhasebe uygulamalarının ne kadar etik olduğu bilinmemektedir. Muhasebe etiği alanındaki çalışmalar etik konusunun temellerinin sorgulamasına nerdeyse hiç yer verilmemiştir. Bu tarz çalışmaların

önündeki engel bilimin bütün alanlarında olduğu gibi sosyal bilimler alanında da pozitivizmin hâkim olması olabilir. Ancak Feyerabend'in "Özgür Bir Toplumda Bilim" adlı eserinde sıkça belirttiği üzere; bilimsel bilgi üretmenin tek yolu egemen görüş olan pozitivist metodoloji değildir. (Feyerabend,2017). Bu çalışmada da muhasebe alanındaki egemen görüşün aksine bir sorgulama yapılmıştır. Burada anlatılmak istenen tamamen şeffaf bir etik anlayışının imkânsızlığının kabulü çerçevesinde farklı etik anlayışların da değerlendirilebileceğidir. Bu kapsamda Levinas; Derrida gibi postmodern düşünürlerin sorumluluk temelli etik anlayışları değerlendirilebilir. Aktif olarak sorgulanabilinen ve gelişebilen bir etik anlayışı düşünülebilir. Bu anlayışın geliştirilebilmesi için etik konusunun temellerinin sorgulandığı eleştirel çalışmaların yapılması hususunda araştırmacılar teşvik edilebilir.

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## Gıda Güvencesi Ekseninde Küresel Bir Sorun Olarak Tarımsal Kuraklık: Dünyada ve Türkiye'de Yapılan Çalışmalar

Zir. Müh. Beyza Tunç<sup>1</sup>

Prof. Dr. Nevin Demirbaş<sup>2</sup>

<sup>1</sup> EÜ, Fen Bilimleri Enstitüsü, Tarım Ekonomisi ABD, beyzatunc.ege@gmail.com, ORCID: 0000-0001-9666-7843

<sup>2</sup> EÜ, Ziraat Fakültesi, Tarım Ekonomisi Bölümü, nevin.demirbas@ege.edu.tr, ORCID: 0000-0002-0541-1437

**Özet:** İklim değişikliğinin getirdiği olumsuz sonuçlardan biri olan kuraklık teknik olarak farklı şekillerde tanımlanabilmektedir. Gıda güvencesi ile doğrudan ilişkisi açısından bu çalışmada tarımsal kuraklık ele alınmıştır. Bitkilerin çıkış ve gelişme döneminde ihtiyaç duydukları suyun toprakta bulunamaması tarımsal kuraklık olarak ifade edilebilir. Yapılan çalışmalar tarımsal kuraklığın bitkisel üretimde verim ve dolayısıyla üretim azalışlarının yanı sıra ürün çeşitliliğini de olumsuz etkilediğini göstermektedir. Bitkisel üretimle olan organik bağı nedeniyle tarımsal kuraklık hayvansal üretim faaliyetini de olumsuz etkilemektedir. Bitkisel ve hayvansal üretiminde ortaya çıkan ve çıkacak söz konusu negatif etkiler ise gıda güvencesi için bir tehdit olarak değerlendirilmektedir. İklim değişikliğinin yol açtığı olumsuzluklar, özellikle, gıda güvencesi açısından negatif sonuçları, tarımsal kuraklık meselesini, birçok ülkenin acil çözüm geliştirilmesi gereken tarımsal sorunları arasına yerleştirmiştir. Kuraklık için alınacak önlemlerdeki gecikmeler, tüm dünyada olduğu gibi Türkiye'de de gıda güvencesi açısından kısa, orta ve uzun vadede giderek şiddetlenen kısıtları gündeme taşıma potansiyeline sahiptir. Bu nedenle, uluslararası kuruluşlar iklim kuşakları itibarıyla kuraklığı daha şiddetli yaşayan ülkeler başta olmak üzere, birçok ülke ile çözüm için ortak çalışmalar yürütmektedir. Yine Türkiye'de de iklim değişikliğinin yol açtığı sorunlara çözüm için yapılan ve planlanan çalışmalar, tarımsal kuraklık ile ilgili çözümleri de kapsamaktadır. Bu çalışmanın amacı, kuraklık sorunu ile gıda güvencesi ilişkisine dikkat çekmek ve bu konuda dünyada ve Türkiye'de yapılan çalışmalarını incelemektir.

**Anahtar Kelimeler:** Tarımsal Kuraklık, Gıda Güvencesi, İklim Değişikliği

### Agricultural Drought as a Global Problem for Food Security: Studies in the World and in Turkey

**Abstract:** Drought, one of the negative consequences of climate change, can be technically defined in different ways. Agricultural drought is discussed in this study in terms of its direct relationship with food security. The fact that the water needed by the plants during the emergence and development period cannot be found in the soil can be expressed as agricultural drought. Studies show that agricultural drought has a negative impact on crop diversity, as well as yield decreases in crop production and thus production decreases. Due to its organic connection with crop production, agricultural drought also negatively affects animal production activities. The negative effects that arise or will emerge in crop and animal production are considered as a threat to food security. The negativities caused by climate change, especially its negative consequences in terms of food security, have placed the issue of agricultural drought among the agricultural problems that need urgent solutions in many countries. Delays in measures to be taken for drought have the potential to bring increasingly severe constraints on food security in the short, medium and long term in Turkey as well as in the rest of the world. For this reason, international organizations carry out joint studies with many countries for a solution, especially those that experience more severe drought in terms of climate zones. Again in Turkey, the studies carried out and planned to solve the problems caused by climate change also include solutions related to agricultural drought. The aim of this study is to signalize to the relationship between the drought problem and food security and to examine the studies on this subject in the world and in Turkey.

**Key Words:** Agricultural Drought, Food Security, Climate Change

#### 1. GİRİŞ

İklim değişikliği dünyanın içinde bulunduğu dönem için en önemli sorunlardandır. Sadece tüm doğal sistemleri etkileyen çevresel ve ekolojik bir sorun değil, aynı zamanda küresel kalkınma gündemi için de önemli etkileri bulunmaktadır. Yüksek sıcaklıklar, toprak tahribatı ve su kıtlığı, yağış değişkenliği ve aşırı hava koşulları, tarımsal üretimi olumsuz etkilemekte ve gıda sistemlerini tahrip etmektedir (FAO, 2020). Bu problemin ortaya çıkmasının en büyük nedeni, üretim ve tüketim sonucu oluşan sera gazlarının miktarının giderek artması ve bunun sonucunda atmosferik denge bozulmalarıdır. Üretim sırasında ve ısınma/barınma ihtiyaçlarının giderilmesi amacıyla fosil yakıtların kullanılması ile sera gazları havaya karışmakta ve gün geçtikçe sera gazı miktarı artarak küresel ısınma etkilerini arttırmaktadır (Türkeş, 2008).

Tarım sektöründen elde edilen katma değer giderek artması, istihdamın yaklaşık dörtte birinin bu sektörde olması, sektörün iklim değişikliğinden en fazla etkilenecek sektörlerden biri olması öngörüsü bir arada değerlendirildiğinde tarım sektörünün önemi ortaya çıkmaktadır. Sektör gıda temininin yanı sıra tarıma dayalı

sanayiye hammadde sağlamaktadır ve tüm bunlarla beraber iklim değişikliği sorunu ele alındığında gıda güvencesi konusu gündeme gelmektedir. Dünya nüfusu her yıl giderek artmakta ancak bu nüfusa yetecek, insan hayatının kalitesini yükseltecek, yoksulluğu ortadan kaldıracak doğal kaynakların miktarı arttırılamamaktadır. Türkiye de nüfusu hızla artan ülkelerden biridir (Demirbaş ve Atış, 2005). Bu artış gıda maddeleri ve tarımsal üretimin artış hızı ile paralellik göstermemektedir (Çevre ve Şehircilik Bakanlığı, 2013). Nitekim, kuraklığın Türkiye’de tarıma ekonomik etki değerlendirmesi konusundaki bir çalışmada, Türkiye’de yedi coğrafik bölgede ve ülke genelinde ürünlerin verimlerinde azalış olacağı, verimdeki azalmalar nedeniyle üretim miktarının azalacağı, üretim deseninde bölgeler itibarıyla değişiklikler olacağı, buğday ve ayçiçeğinde ihracatın azalacağı, mısır ve pamukta ithalatın artacağı, ürün fiyatlarının artacağı, ürün fiyatlarında artış karşısında üretici refahı artarken, tüketici ve toplam refahın ise azalacağı tahmin ediliyor olması gıda güvencesi sorununun ve kuraklık konusunun önemini ortaya koymaktadır (Çevre ve Şehircilik Bakanlığı, 2013). Bu çalışmanın amacı, kuraklık sorunu ile gıda güvencesi ilişkisine dikkati çekmek ve bu konuda dünyada ve Türkiye’de yapılan çalışmaları incelemektir. Araştırmanın materyali konu ile ilgili daha önceden hazırlanmış olan araştırma, derleme, inceleme, tez, rapor, makale vb. kaynaklardan yararlanılarak oluşturulmuştur.

## 2. İKLİM DEĞİŞİKLİĞİ VE NEDENLERİ

İklim değişikliği, "nedeni ne olursa olsun iklimin ortalama durumunda ve/veya değişkenliğinde onlarca yıl ya da daha uzun süre boyunca gerçekleşen değişiklikler" biçiminde tanımlanmaktadır. Hükümetlerarası İklim Değişikliği Paneli’nin (HİDP) kabul ettiği iklim değişikliği ifadesi, iklim sisteminin temel özelliklerinde (sıcaklık, yağış) istatistiksel çalışmalarla uzun bir zaman sürecince (on yıl ya da daha fazla) tespit edilebilmiş doğal ya da insan etkili değişimleri ifade etmektedir. HİDP’nin tanımında kullanılan insan etkisi vurgusu, genel olarak insan aktiviteleri ve iklim değişikliği arasındaki bağlantıyı kurmaktadır ve Birleşmiş Milletler İklim Değişikliği Çerçeve Sözleşmesi’nde iklim değişikliğini tanımlarken vurguladığı insan aktivitelerinin, doğrudan ya da dolaylı olarak dünya atmosferinde neden olduğu değişimleri de dikkate almaktadır (United Nation, 1992; IPCC, 2007).

Fosil yakıt kullanımı, ormansızlaşma, tarımsal faaliyetler vb. doğa üzerine etki eden insan aktiviteleri, özellikle sanayi devrimiyle birlikte, metan (CH<sub>4</sub>), karbondioksit (CO<sub>2</sub>) gibi doğal sera gazları emisyonlarında önemli ölçüde artışa neden olmuştur. Atmosferde sera gazları emisyonlarında meydana gelen bu artış, doğal sera etkisinin bozulmasına ve atmosferin ısınmasına neden olmuş ve olmaya da devam etmektedir. Bu ısınmanın potansiyel etkisi ise iklim değişikliğidir (Kanat ve Keskin, 2018 ; Meteoroloji Genel Müdürlüğü, 2021a).

Dış zorlamalar, volkanik patlamalar ve güneşle ilgili değişiklik gösteren doğal olaylar ile atmosferin bileşimindeki insan kaynaklı değişiklikleri içermektedir. Güneş radyasyonu, iklim sisteminin güç kaynağıdır. Yerkürenin radyasyon dengesini etkileyen, dolayısıyla iklimi değiştiren üç temel yol bulunmaktadır. Bunlar:

1. Gelen güneş radyasyonundaki değişiklikler
2. Güneş radyasyonunun yansıtılan kısmındaki değişiklikler,
3. Yerküreden uzaya geri gönderilen uzun dalgalı radyasyondaki değişikliklerdir.

Bunların yanı sıra, rüzgarlar ve okyanus akıntılarının, yerküre yüzeyi üzerindeki ısı dağılımında oynadıkları rol nedeniyle, iklim üzerinde önemli etkileri bulunmaktadır (Meteoroloji Genel Müdürlüğü, 2021a). Enerji tüketimi, sanayileşme, hayvancılık, atık maddeler, insan faaliyetleri gibi etkiler doğrudan ya da dolaylı olarak sera gazları salınımına neden olabilmektedir. Ve nihayet, ısınma, aydınlatma, pişirme, ulaşım, hayvancılık faaliyetleri ve endüstriyel süreçler sonucu atmosfere salınan eşdeğer karbondioksit miktarı günden güne artmaktadır (IPCC, 2014: ESG, 2021).

### 2.1. Tarımsal Faaliyetlerin İklim Değişikliğine Etkisi

Sera gazı salınımı yapan sektörler sıralaması %25 ile elektrik ve ısı üretimi, %24 ile tarım, ormancılık ve diğer arazi kullanımı ardından, %21 ile sanayi, %14 ile ulaşım, %9,6 ile diğer enerji, %6,4 ile inşaat sektörü şeklindedir. Buna göre, sera gazı salınım sıralamasında tarım sektörü ikinci sıradadır. Tarım, ormancılık ve diğer arazi kullanımından kaynaklanan %24’lük etki iklim değişikliği üzerinde önemli bir rol oynamaktadır (IPCC, 2014; Akyüz ve Atış, 2016).

Tarım sektörünün (ormancılık ve balıkçılık sektörleri ile birlikte) diğer sektörlerden en temel farkı, havaya en çok karışan gazın karbondioksit yerine metan gazı ve diazotmonoksit olmasıdır. Bu gaz karışımı tarım sektörünün toplam sera gazı salınımının yaklaşık %80’ini oluşturmaktadır. Bu durumu, geniş getiren hayvanların sindirim

sürecinde oluşturdukları metan gazı ile topraktaki mikroorganizmalar tarafından nitrit ve nitratın azota dönüştürülmesi sonucunda havaya karışan diazotmonoksit gazı oluşturmaktadır. Bununla birlikte toprak üstünde bekleyen hayvan gübreleri de bozulurken her iki gazın salımına neden olabilmektedir (Yeni, 2019). Dünya nüfusunun hızlı artışı ile gıda sektörünün buna paralel büyümesi sonucu et-süt sığırcılığı, süt endüstrisi ve kümes hayvancılığının gelişmesi sonucunda hayvansal üretim tesislerinin oluşturduğu çevre kirliliği önemli miktarlarda artmıştır (Sirohi and Michaelowa, 2004; Demir ve Cevger, 2007). Ayrıca, çiftlik hayvanlarından ortaya çıkan atıklardan amonyağın asit yağmurlarına neden olduğu ve metan gazının ise sera etkisine yol açarak küresel çapta sorunlara neden olduğu da yapılan çalışmalar sonucu ortaya konulmuştur (Şahin ve Avcıoğlu, 2016).

Yine bitkisel üretim de iklim değişikliğini etkileyen tarımsal faaliyetlerdendir. Örneğin, çeltik tamamen sulu alanlarda üretilmektedir. Çeltik tarlalarında bulunan suyun içerisindeki organik maddelerin oksijensiz ortamda ayrışması sonucu metan gazı ortaya çıkmaktadır. Çeltik tarlalarının sulanması ile birlikte organik maddelerin ayrışması, su içerisinde bulunan oksijeni tüketmektedir. Ortamda bulunan oksijen tükendiğinde ortamda bulunan metanojenik bakteriler metanın açığa çıkmasına yol açmaktadır (Aydın ve ark., 2011). Azotlu gübrelerin kullanımı, artan dünya nüfusunun ihtiyaçlarının karşılanabilmesi açısından bir zorunluluk olmasına karşılık, azotlu gübrelerin kullanımı da toprak ve su kalitesinin bozulmasına, yer altı ve üstü su kaynaklarının kirlenmesine, hava kirliliğine, biyolojik çeşitliliğin azalmasına yol açtığı gibi sera gazı emisyonunu da yükseltmektedir (Tolay ve ark., 2010).

## 2.2. İklim Değişikliğinin Tarımsal Sonuçları

Tarımsal ürünlerin üretimi, doğrudan etkilere (değişen iklim koşulları ve aşırı hava olayları nedeniyle ürün ve hayvan gelişimi ve verimdeki değişikliklerden) ve dolaylı etkilere (değişen bir iklimden fayda sağlayacak haşere ve patojenlerin artan baskıları yoluyla) karşı savunmasızdır. Tarım sektörü, ürün rotasyonları, ekim zamanları, genetik seleksiyon, gübre yönetimi, haşere yönetimi, su yönetimi ve bitkisel üretim alanlarındaki değişimler yoluyla iklim değişikliğine sürekli olarak uyum sağlamak zorundadır (Global Change, 2014; Global Change, 2018).

Değişen iklim koşulları tarım sektörünü yem-tahıl üretimi, bulunabilirliği ve fiyatı; mera ve yem bitkileri üretimi ve kalitesi, hayvan sağlığı, hastalık ve zararlı salgınları gibi dört temel yolla etkilemektedir. Nitekim; sıcaklık artışının hayvanlarda ısı üretimi ve ısının kullanılması arasındaki dengenin bozulması ile ölüm oranı, yem tüketim oranı, canlı ağırlık artışı, süt üretimi ve gebelik oranında değişikliklere sebep olduğu bilinmektedir (Dellal, 2013; Global Change, 2014).

İklim değişikliğinin tarımsal üretim ve gıda güvencesi açısından etkilerinin bitkisel ve hayvansal üründe kayıp, süt ve çiftlik hayvanlarının kaybı, yiyecek üretiminde ve stoklarında azalma, çiftçi gelirlerinde kayıplar, tarımsal üretimin doğrudan bağlı olduğu endüstrilerde kayıplar yarattığı bilinmektedir. Kuraklık çevresel etki alanını toprakta su ve rüzgâr erozyonu yaratarak, bitki alanlarına zarar vererek, suyun kalitesine etki ederek, hayvan sağlığını etkileyerek ve hayvanların doğal yaşam alanlarını tahrip ederek oluşturmaktadır. Tüm bunlar gıda kıtlığı yaratmakta ve kırsal alanlardaki yaşam seviyesinde gerilemelere sebep olmaktadır (Meteoroloji Genel Müdürlüğü, 2021).

## 3. İKLİM DEĞİŞİKLİĞİNİN BİR SONUCU OLARAK “KURAKLIK”

Yıkıcı bir doğal tehlike olan kuraklık, özellikle yarı kurak ve kurak bölgelerde yaşayanlar olmak üzere dünya nüfusunun önemli bir bölümünü etkilemektedir. Kuraklıktan etkilenen alanlar son 40 yılda iki katından fazla artmış ve aynı zaman diliminde kuraklıklar dünya çapında diğer tüm doğal afetlerden daha fazla insanı etkilemiştir. İklim değişikliği gerçekten de dünyanın birçok yerinde kuraklığı şiddetlendirmekte, sıklığını, şiddetini ve süresini arttırmaktadır (FAO, 2021a).

Meteoroloji Genel Müdürlüğü kuraklığı yağışların "normal" seviyesinin altına düşmesi olarak tanımlamaktadır. Birleşmiş Milletler Çölleşme ile Mücadele Sözleşmesi'nde yer alan tanıma göre ise kuraklık, yağışların kaydedilen normal düzeylerin önemli ölçüde altına düşmesi sonucu arazi ve kaynak üretim sistemlerini olumsuz olarak etkileyen ve ciddi hidrolojik dengesizliklere yol açan doğa olayı olarak tanımlanmaktadır (UNCCD, 1994; Dikici, 2014; Meteoroloji Genel Müdürlüğü, 2021b).

Kuraklığın çeşitlerinden olan *meteorolojik kuraklık* kısaca, belirli bir yerde ve sürede ortalamaya göre yağıştaki azalma olarak tanımlanabilmektedir (Gürler ve Ekmekçi, 1998). Nem azlığının derecesi ve süresi meteorolojik kuraklığı belirlemektedir. Bölgeden bölgeye kuraklığın gelişiminde farklılıkların gözlenebilmesi mümkündür. Örneğin yağışlı gün sayısının ve yağış miktarının belirli bir değerden az olması temeli baz alınarak kurak periyotlar

tespit edilebilmektedir. Bu hesap yöntemi yıl boyunca yağış alan yerler için uygundur. Başka bir tespit etme şekli de yağışın aylık, mevsimlik ya da yıllık toplamalarının ortalamasından olan farkları ile ilişkili olabilmektedir (Suzan ve Gürgülü, 2019; Meteoroloji Genel Müdürlüğü, 2021b).

*Hidrolojik kuraklık*, uzun süre devam eden yağış eksikliği sonucunda ortaya çıkan yeryüzü ve yeraltı suyu akışındaki azalma ve eksiklikleri ifade etmektedir. Meteorolojik kuraklık sona erdikten uzun süre sonra dahi hidrolojik kuraklık varlığını sürdürebilmektedir (Wilhite, 2000). Yağış miktarında azalma durumunda toprak nemi de hızla azalmakta ve dolayısıyla tarım ile uğraşanlar tarafından etkisi hemen hissedilmektedir (Suzan ve Gürgülü, 2019).

*Sosyo-ekonomik kuraklık* kısaca toplumun üretim ve tüketim faaliyetlerini etkileyen su eksikliği olarak ifade edilmektedir (Kadıoğlu, 2013). Sosyo-ekonomik kuraklık insanların sosyal ve ekonomik her türlü etkinliklerini olumsuz yönde etkileyebilecek, ölüme kadar götürebilecek nitelikteki gıda eksikliğidir. Kuraklığa bağlı olarak toplumda sosyal huzursuzluk, göç olaylarında artış, yoksullukta artış ve yiyecek kıtlığı gibi toplumun düzenini bozacak etkenler ortaya çıkar. Buna bağlı olarak sosyal ve ekonomik yaşantıda olumsuzluklar meydana getirebilir (Kapluhan, 2013 ; Dikici, 2014).

Tarımsal kuraklık kısaca, bitkinin büyüyüp gelişmesi için gerekli olan suyun kök bölgesinde yeteri kadar bulunmaması şeklinde ifade edilebilir (Gürler ve Ekmekçi, 1998). Kuraklık özellikle ekonomileri büyük ölçüde tarım sektörüne dayalı gelişmekte olan ülkelerde su mevcudiyeti, tarımsal üretim, gıda güvencesi ve kırsal geçim kaynakları açısından ciddi etkiler oluşturabilmektedir. Tarımsal kuraklık sebebiyle verim düşmekte, sulama yapılamamakta dolayısıyla; ürün çeşitliliğinde ve ürün miktarlarında azalmaya ve hayvanlarda hastalık ve ölüm gibi tehlikelere sebep olmaktadır (Suzan ve Gürgülü, 2019; FAO, 2021b).

Türkiye'de kuraklığa etki eden belli başlı faktörler arasında atmosferik koşullar, fiziki coğrafya faktörleri ve iklim koşulları yer almaktadır. Yeryüzünde iklim özelliklerinin meydana gelişinde fiziki coğrafya faktörlerinin önemli etkileri vardır. Türkiye'de 2016 yılı ortalama sıcaklığı 14.5°C ile 1981-2010 normali olan 13.5°C'nin 1.0°C üzerinde gerçekleşmiştir. Bütün mevsimlerde ortalama sıcaklıklar normallerinin üzerinde; özellikle ilkbahar mevsimi sıcaklık farkı 1981-2010 normalinin 1.8°C üzerinde gerçekleşmiştir. 2016 yılında alansal ortalama yağışı, 1981-2010 normalinin (574 mm) %4 üzerinde, 598 mm'dir (Tablo 1).

**Tablo 1: Türkiye'nin 1981-2010 Yılları Normaline Göre Ortalama Sıcaklık ve Alansal Ortalama Yağış Miktarları**

Yıllar	Ortalama Sıcaklık	1981-2010 Normali	Alansal Ortalama Yağış	1981-2010 Normali
2016	14.5°C	13.5°C	598 mm	574 mm
2017	14.2°C	13.5°C	506.6 mm	574 mm
2018	15.4°C	13.5°C	658.7 mm	574 mm
2019	14.7°C	13.5°C	585.1 mm	574 mm
2020	14.9°C	13.5°C	500 mm	574 mm

(Coşkun ve ark., 2017; Gıda Tarım ve Hayvancılık Bakanlığı, 2018; Orman ve Su İşleri Bakanlığı, 2019; Orman ve Su İşleri Bakanlığı, 2020; Tarım ve Orman Bakanlığı, 2021a).

2017 yılı Türkiye ortalama sıcaklığı ise 14.2°C ile 1981–2010 ortalaması olan 13.5°C'nin 0.7°C üzerindedir. 2017 yılı, yıllık alansal ortalama toplam yağışı 506.6 mm ile 1981-2010 normalinin (574 mm) %11.7 altında gerçekleşmiştir (Tablo 1). Bu yağış azlığı Türkiye'nin özellikle iç ve doğu kesimlerinde ciddi kuraklıklara sebep olmuştur (Gıda Tarım ve Hayvancılık Bakanlığı, 2018).

Türkiye'nin 2018'deki yıllık ortalama sıcaklık değeri 15.4°C'dir. Bu değer, 1981-2010 normalinden (13.5°C) 1.9°C daha yüksektir. Türkiye'nin 2018'de yıllık ortalama alansal yağış miktarı 658.7 mm'dir. Bu değer ise 1981-2010 normalinin (574 mm) %14.8 üzerindedir (Tablo 1). Kuraklık İzleme Sistemi (KİS) analizine göre ise Türkiye genelinde 2018 yılı nemli geçmiştir. 1981 yılından bu yana 38 yılın 10'u kurak geçmiş ve 2008 en kurak yıl olmuştur (Orman ve Su İşleri Bakanlığı, 2019).

2019 yılı Türkiye ortalama sıcaklık değeri 14.7°C olarak gerçekleşmiştir. Bu değer, 1981-2010 normalinden (13.5°C) 1.2°C daha yüksektir. 2019 yılında Türkiye ortalama yıllık alansal yağış miktarı 1981-2010 normalinden (574 mm) %1.9 daha fazladır. 2020 yılında ise sıcaklık ortalaması 1981-2010 normalinin (13.5°C) 1.4°C üzerindedir. 2020 yılı alansal yağış ortalaması ise 1981- 2010 normalinin (574mm) %13 altındadır(Tablo 1).

12 aylık standardize yağış indisi, Türkiye'nin Batı ve Orta kesimlerinde orta, şiddetli ve çok şiddetli derecede kuraklık göstermektedir (Tarım ve Orman Bakanlığı, 2021a). Türkiye ve içinde yer aldığı Akdeniz Bölgesi açısından

iklim değişikliğinin belki de en önemli sonucu bulunduğu enlemde yüksek basınç bandının dünyanın ortalama sıcaklığının artmasıyla daha kuzeye doğru kaymasıdır. Bunun Türkiye açısından anlamı açıktır. Orta, Güney ve Güneydoğu bölgeleri şu an için bile yarı kurak iklim kuşağı içerisinde ve çölleşme riski ile karşı karşıya bulunmaktadır. Yakın gelecekte etkisini daha da artıracak olan iklim değişikliği Türkiye'nin Güney yarısının iklimini Suriye ve Irak benzeri bir iklime çevirecek, Orta ve Kuzey Bölgeler de şu an Güney bölgelerdeki iklim yapısı ile karşı karşıya kalacaklardır. Bu ise tüm bölgelerde kuraklık ve çölleşme riskinin artması anlamına gelmektedir (Quan et al., 2004; Johanson and Fu, 2009; Şahin ve Kurnaz, 2014).

#### 4. BOYUTLARI İTİBARIYLA GIDA GÜVENCESİ

Gıda güvencesi kavramı gıda güvenliğini de içine alan, sağlıklı ve güvenilir gıdanın yeterlilik, ulaşım, dağıtım ve sürdürülebilirliği konuları ile ilgilenen geniş kapsamlı bir kavramdır (Keskin ve Demirbaş, 2012). Kavram ilk olarak 1970'lerin ortalarında, Dünya Gıda Konferansı'nın gıda güvencesini, gıda arzını uluslararası ve ulusal düzeyde temel gıda maddelerinin mevcudiyetini ve fiyat istikrarını sağlamak açısından tanımlama ihtiyacından ortaya çıkmıştır. Gıda tüketimini istikrarlı bir şekilde sürdürmek gayesiyle, üretim ve fiyatlardaki dalgalanmaları dengelemek suretiyle temel gıda maddeleri tedarikinin her zaman sağlanması olarak ele alınmıştır (Clay, 2002; Heidhues et al., 2004: 38; FAO, 2006).

FAO gıda güvencesi kavramını insanların her zaman aktif ve sağlıklı yaşamı için gerekli olan besin ihtiyaçlarını ve gıda önceliklerini karşılayabilmek için yeterli, sağlıklı, güvenilir ve besleyici gıdaya fiziksel ve ekonomik bakımdan sürekli erişebilmeleri olarak değiştirmiş ve günümüzde kullanılan tanımları ortaya koymuştur. Bu haliyle gıda güvencesi kavramı içinde gıda güvenliğine de yer verilmiştir. Gıda güvencesi, hanehalklarının sağlıklı ve yeterli beslenebilmeleri iken, genel olarak tüm ülkelerde yeterli gıda temininin sağlanması ve bunun için ulusal ve uluslararası düzenlemelerin, iş birliklerinin, strateji ve eylem planlarının oluşturulması olarak da ele alınabilmektedir (FAO, 2002a; Kalkınma Bakanlığı, 2014). Gıda güvencesi temel olarak dört boyuttan oluşmaktadır:

**Bulunabilirlik (Availability):** Yeterli miktarda gıdayı ifade etmektedir. Tüm insanlara yeterli gıdanın sağlanması gıda güvencesi için önemli bir şarttır. Yeterli gıda üretebilmek, üretilen gıdanın çürüme ve bozulma olmadan nakli, fazla gıdanın etkin bir şekilde depolanması, ambalajlanması ve korunması gibi detayları içermektedir.

**Ulaşılabilirlik (Accessibility):** Ekonomik olarak erişimi yani besleyici ve uygun gıdalara erişebilmek için yeterli ekonomik kaynağa sahip olmak anlamındadır. Nitekim bu boyut fiziksel erişimi de kapsamaktadır. Gıdanın üretim miktarı, adil dağıtılması ve ulaşılabilirlikten bahsedilen bölgenin gelir düzeyi, bu boyutu şekillendiren önemli faktörlerdendir.

**Kullanılabilirlik (Utilization):** Gıda güvencesinin bu boyutu kullanım ya da yararlanma boyutu olarak adlandırılmaktadır. Gıdanın uygun kullanımının temel beslenme ve sağlık bilgisine dayanmasını vurgulamakta ve ayrıca yeterli suya erişim ve temizlik esas alınmaktadır (FAO, 2006; Kalkınma Bakanlığı, 2014; Ezeroğlu, 2021).

**Kararlılık (Adequacy-Stability):** Gıdanın varlığı ne kadar yeterli olsa da insanların her zaman yeterli gıdaya erişebilme imkanına sahip olmalarını ifade etmektedir. Gıda güvencesinin bu boyutunda ekonomik kriz, iklim değişikliğinin sonuçları gibi ani değişimler sonucu gıdaya erişimin kesilmesi riski ortadan kaldırılmalıdır.

2021 yılı Küresel Gıda Güvencesi Endeksine göre Latin Amerika ülkeleri (Peru, Arjantin, Paraguay) endeksin ulaşılabilirlik boyutunda 74.3 puan ile dünya ortalaması olan 65.9 puanının üzerinde; bulunabilirlik boyutunda 53.7 puan ile dünya ortalaması olan 67.2 puanının altında; kullanılabilirlik boyutunda 78.8 puan ile dünya ortalaması olan 67.6 puanının üzerinde ve kararlılık boyutunda 46.3 puan ile dünya ortalaması olan 49.1 puanının altında kalmıştır. Bu ortalamalar çalışmada bahsi geçen Latin Amerika ülkelerinde gıda güvencesi riskinin daha çok gıda miktarı ve çevresel faktörler çerçevesinde olduğunu göstermektedir. Bir Avrupa ülkesi olan İtalya'nın ise endeks puanlarının tamamının dünya ortalamasının üzerinde olması, gıda güvencesinin tüm boyutları için daha iyi bir noktada olduğunu göstermektedir (Tablo 2).

Tablo 2: Proje Bazında Değerlendirilen Ülkelerin 2021 Yılı Küresel Gıda Güvencesi Endeksleri

Ülkeler	Sıralaması	Endeks Notu	Ulaşılabilirlik	Bulunabilirlik	Kullanılabilirlik	Kararlılık
İtalya	18	76.4	89.3	71.5	86.2	51.8
Türkiye	48	65.1	67.6	61.6	75.8	56.4
Peru	49	64.6	79.8	54.6	71.2	48.4
Arjantin	53	64.2	65.6	58.8	90.2	45.8

Cezayir	54	63.9	77.9	58.0	62.0	50.7
Tunus	55	62.7	74.4	54.0	72.1	47.6
Fas	57	62.5	75.1	51.8	72.3	49.0
Paraguay	59	61.6	77.5	47.7	74.9	44.7
Filipinler	64	60.0	74.3	53.9	61.5	43.6
Endonezya	69	59.2	74.9	63.7	48.5	33.0
Güney Afrika	70	57.8	63.1	49.4	72.1	49.4
Hindistan	71	57.2	50.2	65.7	59.1	52.8
Burkina Faso	85	48.1	42.0	55.6	48.2	45.5
Tanzanya	86	48.0	39.7	57.4	50.6	43.5
Senegal	89	47.4	44.4	47.7	55.9	43.9
Angola	98	41.1	32.6	42.6	48.7	45.9
Kongo	103	39.1	38.0	41.6	36.0	39.9
Suriye	106	37.8	34.0	30.1	53.2	43.3
Etiyopya	108	37.6	24.5	47.5	41.6	39.4

Kaynak: Economist Impact, 2022.

Türkiye, endeksin ulaşılabilirlik boyutunda 67.6 puan ile dünya ortalaması ile aynı seviyededir. Bulunabilirlik boyutunda 61.6 puan ile dünya ortalaması olan 67.2 puanının altında; kullanılabilirlik boyutunda 75.8 puan ile dünya ortalaması olan 67.6 puanının üzerinde ve yine kararlılık boyutunda 56.4 puan ile dünya ortalaması olan 49.1 puanının üzerindedir. Bu veriler, Orta Doğu ve Kuzey Afrika ülkeleri ile birlikte değerlendirildiğinde, gıda güvencesi riskinin yaşanan çatışmalar ve aşırı hava olaylarının sonucu olarak gıda miktarı yetersizliği olduğunu göstermektedir (Tablo 2).

Sahra Altı Afrika ülkeleri için (Güney Afrika, Burkina Faso, Tanzanya, Senegal, Angola, Kongo, Etiyopya) Küresel Gıda Güvencesi Endeksinde göre tüm boyutlarda endeks ortalamaları dünya ortalamasının altında kalmıştır. Bu durum Sahra Altı Afrika ülkelerinde gıda güvencesinin oldukça yüksek bir risk altında olduğunu göstermektedir. Ayrıca Asya Pasifik ülkelerinde de (Filipinler, Endonezya, Hindistan) sadece ulaşılabilirlik boyutunun 66.5 puan ile ortalamasının (65.9) az da olsa üstünde kaldığı, bulunabilirlik (61.1), kullanılabilirlik (56.4) ve kararlılık (43.1) boyutlarının ise dünya ortalamasının altına kaldığı görülmektedir (Tablo 2).

## 5. TARIMSAL KURAKLIK VE GIDA GÜVENCESİ İLİŞKİSİ

Tarımın, gıda temini yanında ekonomik bir faaliyet olması nedeniyle, iklim değişiklikleri sonucu ortaya çıkan tarımsal kuraklıktan kaynaklanan üretim azlığı veya fazlalığı ekonomik dengeleri de büyük oranda etkilemektedir (Dellal, 2012). İklim değişikliği yerel, ulusal ve küresel ölçekte bitkisel, hayvancılık ve balıkçılık sistemlerinin gerçekleştiği yeri, zamanı ve üretkenliğini hem olumlu hem de olumsuz yönde etkileme potansiyeline sahiptir. Küresel ısınma, günümüzün yoğun ekonomik faaliyetleri ve atmosfere salınan sera gazlarındaki artış nedeniyle devam etmektedir. Bugün itibarı ile atmosfere herhangi bir sera gazı emisyonu salınmasa bile küresel sıcaklığın, gelecek yıllar içerisinde 0.5°C ila 1°C arasında artmaya devam edeceği ve önlem alınmadığı takdirde dünyanın gelecek yüzyılda 1.4°C ila 5.8°C daha ısınacağı öngörülmektedir. İklimdeki bu değişikliklerin, ilk bakışta yerküredeki hidrolojik döngüde dalgalanmalara yol açarak, yağışlar ve su akışlarında daha fazla değişkenliğe neden olması beklenmektedir. Hidrolojik döngüde meydana gelen bu dalgalanmalar ise ekstrem hidrolojik olayların şiddetini ve meydana gelme sıklığını arttırmaktadır (Stern, 2007; Akalın, 2014). Artan sıcaklık ve karbondioksit miktarının tarımsal üretim üzerinde pozitif etkisi de olabilmektedir. Fakat bunun için toprak yapısının tarım yapmaya elverişli olması gerekmektedir. Ayrıca toprak neminin ideal düzeyde olması da gerekmektedir. Tarım yapılacak alanın suya erişebilir olması ve bu şartların bir araya gelerek tarım yapmaya uygun ortamı oluşturması gerekmektedir. Sayılan tüm şartlar bir araya gelse dahi, uzun vadede iklim değişikliğinin ortalama etkisinin negatif yönde olması beklenmektedir (IFPRI, 2009). Nitekim, beklentiler, Sahra'nın güneyindeki Afrika dahil olmak üzere dünyanın en fakir bölgelerinde en sert etkilerle gıda üretim sistemlerinin olumsuz etkilenmesi yönündedir. Araştırmalar, iklim değişikliğinin yetersiz beslenmeyi şiddetlendirdiğini, obezite, yetersiz beslenme ve değişen iklim arasında negatif sinerjiler oluşturduğunu da göstermektedir ayrıca iklim değişikliğinin gıdaların besinsel kalitesini düşürdüğünü gösteren artan sayıda kanıt da bulunmaktadır (Clapp et al., 2021).

İçinde dünya genelinde yaşanan gıda krizleri hakkında bilgiler bulunduran Küresel Gıda Krizleri Raporu'nda (GRFC), 2020 yılında dünyada 55 ülke ve/veya bölgede toplam 155 milyona yakın insanın gıda krizine maruz kaldığı, 133 bin kişinin acil insani yardıma muhtaç olduğu ve 90 milyondan fazla çocuğun şiddetli açlık dolayısıyla

aşırı zayıf olduğu, gelişim sorunları yaşadığı tahminine yer verilmektedir. Gıda krizlerinin nedenleri arasında olan çatışmalar/güvensizlik ve ekonomik şoklar sebebiyle yaklaşık 140 milyon insanın gıda güvencesi sorunu yaşadığı tahmin edilmektedir. İklim değişikliğinin sonucunda yaşanan aşırı hava olaylarının da 15 milyondan fazla insanın gıda güvencesi sorunu yaşamasına sebep olduğu düşünülmektedir. Özellikle Doğu Afrika'yı etkileyen şiddetli kuraklık ve çekirge istilası nedeniyle Etiyopya, Kenya ve Somali'de tarımsal üretimde azalma meydana gelmiş ayrıca hayvancılık faaliyeti de bundan etkilenmiştir (FSIN, 2021).

Türkiye'de de özellikle son yıllarda yaşanan iklim değişikliği ile birlikte kuraklık etkisini göstermektedir. Kuraklık ile yaşanacak olası ürün kayıplarının, gıda güvencesini birçok üründe riske atabileceği ve gıdaya erişimin güçleşebileceği belirtilmektedir (Yalçın ve ark., 2016).

### 5.1. Gıda Güvencesi Ekseninde Tarımsal Kuraklık İçin Küresel Ölçekte Yapılan Çalışmalar

Bu başlık altında öncelikle küresel ölçekte uluslararası kuruluşlar tarafından yapılan çalışmalara daha sonra da ülke örneklerine yer verilmiştir. MENA bölgesel kuraklık yönetim sisteminin geliştirilmesi projesi Amerika Birleşik Devletleri Uluslararası Kalkınma Ajansı (USAID) tarafından finanse edilmektedir. Orta Doğu ve Kuzey Afrika'daki (Fas, Cezayir, Tunus, Türkiye, Suriye ve Lübnan) karar vericileri, mevcut ve gelecekteki iklim koşullarında kuraklığın gıda ve su güvencesi üzerindeki etkilerini planlamak ve yönetmek için güçlendirmek projenin temel amacıdır.

NOAA'nın (Ulusal Okyanus ve Atmosfer Dairesi) Ulusal Entegre Kuraklık Bilgi Sistemi ile Ulusal Kuraklık Azaltma Merkezi arasındaki bir ortaklık olan "Kuraklık Risk Yönetimi Araştırma Merkezi", Amerika Birleşik Devletleri genelinde kuraklık risk yönetimini ve direncini iyileştirmek için araştırma ve bilgi sunumunda yenilikler sağlamaktadır. Bu ortaklık, uzun vadeli kuraklığa dayanıklılık planlaması için daha iyi bilgi sağlama araçları ve gelişmiş kapasite geliştirmeyi hedeflemektedir. Böylece, bölgeler ve sektörler, kuraklık koşulları ve su stresleri karşısında planlama, uyum sağlama, değiştirme ve uyum kapasitelerini artıracaktır (NDMC, 2022).

AVACLIM projesi (2019-2022), Global Environment Facility (Küresel Çevre Fonu) ve Foundation for Environmental Monitoring (Çevresel İzleme Vakfı) tarafından finanse edilen proje, Burkina Faso, Senegal, Etiyopya, Güney Afrika, Fas, Hindistan ve Brezilya'da uygulanmaktadır. Proje iklim değişikliğinin etkilerini azaltırken, gıda güvencesini ve sürdürülebilir geçim kaynaklarını sağlamayı ve kurak bölgelerdeki arazileri eski haline getirmeyi amaçlamaktadır.

FAO tarafından uygulanan "Uyum ve Gıda Güvencesi için İklim Değişikliği Altında Etkilerin Analizi ve Haritalandırılması (AMICAF)" adlı proje ise dört bileşenli bir proje olmakla beraber ülkelerin (Filipinler, Peru, Endonezya, Paraguay) proje çıktılarından faydalanarak uygulayacakları politikaları, oluşturacakları stratejik planları, yatırımlarını ve kararlarını etkilemeyi amaçlamaktadır (FAO, 2022a; FAO, 2022b).

İtalya Po Nehri Havzası'nda Kuraklığın Takibi ve Erken Uyarı Sisteminin Geliştirilmesi Projesi, Po nehri havzasında "DEWS-Po: Po nehri için "Kuraklık Erken Uyarı Sistemi" adlı, önceleri sel ile ilgili gelişmeleri kontrol etmek amacı ile gerçekleştirilmiştir. Daha sonra yeni beceriler ve araçlarla geliştirilerek kuraklık ile ilgili gelişmeleri takip etmek için geliştirilmiş bir erken uyarı sistemi haline getirilmiştir. DEWS-PO 2011 yılından beri aktif olarak çalışmakta ve temel olarak meteorolojik ve hidrolojik kuraklıkları takip etmektedir (Sarıcan, 2015).

Kuraklık sorunu yaşayan bir diğer ülke Arjantin'dir. Arjantin tarım topraklarının %75'i çölleşme nedeniyle arazi bozulması riski altındadır. İklimsel değişkenlikten etkilenen kuru ve yarı kurak bölgelerdeki çiftçiler, Arjantin nüfusunun %30'unu oluşturmakta ve tarımsal üretimin yaklaşık %50'sini üretmektedir. Gıda güvencesini sağlamak ve geçim kaynaklarını korumak için bu çiftçiler, karşılaştıkları iklimsel riskleri anlamak ve sürdürülebilir arazi yönetimi stratejileri yoluyla bunlara uyum sağlamak için çalışmaktadır (Adaptation Fund, 2017). Arjantin'de iklim direncini artırma ve sürdürülebilir arazi yönetimini iyileştirme projesi ile girdi kullanımını azaltarak, rüzgâr etkisini en aza indirmek, toprak nemini korumak ve buharlaşmayı azaltmak için seçilmiş türler kullanan ağaçlandırma önlemleri uygulayarak tuzlu toprakları eski haline getirmek için üretici gruplarıyla birlikte çalışılmaktadır (UNCCD, 2019).

Tanzanya'nın Busega Bölgesi'nde 800 kadın ile birlikte yürütülen 'Hayat İçin Ağaçlar' projesi kapsamında kadınlar, aileleri ve yerel topluluklar için gıda güvencesini artırmak amacıyla sürdürülebilir tarım teknikleri, koruma ve kuraklığa dayanıklı ürünlerin üretimi konusunda eğitimlere katılmaktadır. Katılımcılar ayrıca 45.000 adet Akasya ve Yabani İncir fidanı yetiştirerek büyümelerini destekleyen organik gübre ile fidanları dikmektedirler. Kadınların bazıları ev içi hava kirliliğini ve sağlık tehlikelerini azaltmak için dumanlı soba yapımını öğrenmektedir. Sobalar, eskiden tüm ailelerin gözlerini ve ciğerlerini etkileyen çok fazla duman üretiyorken, bu yeni teknikle daha az yakıt



kullanılmaktadır. Bu ise bölgedeki ormansızlaşmanın ve karbon emisyonlarının azaltılmasına yardımcı olmaktadır (Feed The Minds, 2021).

Aşırı hava olayları yaşanan Kongo’da da ekonominin önemli bir kısmını oluşturan tarım sektörü iklime oldukça duyarlıdır. Geçim kaynakları, kuru arazi tarımı, ormancılık ve yerel su kaynakları gibi iklime duyarlı doğal kaynaklara oldukça bağımlıdır. Fırtına, sel ve kuraklık felaketlerine karşı çok az koruma sağlanabilirken, uyum kapasitesi de sınırlıdır. Kongo Nehri Havzası’nda yaşayan hassas topluluklarda iklim değişikliğine uyum sağlama kapasitesinin geliştirilmesi projesi ile iklim değişikliğinden ve yoksulluktan en çok etkilenen, gıda güvencesizliğine maruz kalmış özellikle kadınlar ve yerli gruplara ulaşmak hedeflenmiştir. BM Dünya Gıda Programı (UN World Food Programme) tarafından gerçekleştirilen projede, iklim değişikliğinin etkisi ve uyum seçeneklerine ilişkin bilgi, farkındalık ve kapasitelerin artırılması, hanelerin, iklim değişikliği ve iklim değişikliğinin geçim kaynakları üzerindeki etkilerini daha iyi yönetebilmesini ve en aza indirmek için gereken bilgilere ulaşmasını ve üretim faaliyetlerinde uyum önlemlerini almaları amaçlanmıştır (Adaptation Fund, 2022a).

Kuraklıktan etkilenen Güneybatı Afrika topluluklarında da (Angola, Namibya) iklim değişikliğine uyum ve dayanıklılık oluşturma projesi yürütülmektedir. Projenin amacı, toplulukların iklim değişikliği etkilerine ve Angola ile Namibya arasındaki sınır ötesi bölgedeki değişkenliğe uyum kapasitesini ve direncini artırmaktır. Proje, aşağıdaki özel hedefler aracılığıyla kuraklık direncini güçlendirmeyi amaçlamaktadır:

- Angola ve Namibya sınır ötesi bölgesinde iklim değişikliği risklerine uyum sağlamak ve bunlara yanıt vermek için yerel ve bölgesel kapasiteleri geliştirmek,
- İklim dayanıklı üretim ve su yönetimi için organizasyon ve teknik kapasite oluşturmak,
- Batı Bölgelerindeki kırsal ve hassas topluluklar arasında iklim değişikliği etkilerine yanıt olarak gıda güvencesini iyileştirmektir (Adaptation Fund, 2022b).

## 5.2. Gıda Güvencesi Ekseninde Tarımsal Kuraklık İçin Türkiye’de Yapılan Çalışmalar

Tarım ve Orman Bakanlığı tarafından Türkiye’deki kuraklık riskinin azaltılması ve yönetilmesi amacıyla havza ölçeğinde kuraklık yönetim planlarının hazırlanması projesi oluşturulmuştur. Bu projenin amacı Akarçay, Antalya, Batı Akdeniz, Burdur, Büyük Menderes, Ceyhan, Doğu Akdeniz, Gediz, Konya, Kuzey Ege, Küçük Menderes, Seyhan ve Van Havzalarında muhtemel kuraklık riskleriyle karşılaşıldığında yaşanacak olan olumsuz etkilerin azaltılması ve mümkün olan en kısa sürede kuraklık problemlerinin çözümüne yönelik olarak kuraklık öncesinde, esnasında ve sonrasında alınacak tedbirleri belirlemektir (Tarım ve Orman Bakanlığı, 2022).

Yine, Güneydoğu Anadolu ve Konya Kapalı Havzasında meteorolojik kuraklığın yerini tarımsal kuraklığa bırakmasının ardından kuraklık tespit çalışmaları başlatılmıştır. Bunun yanı sıra ülke genelinde kuraklık ön görülen bölgelerde uzun vadede sulama şebekelerini modern sulamaya dönüştürme çalışmaları sürdürülmektedir. Suyun etkili ve verimli kullanılması, sürüm teknikleri (işlemsiz tarım), yabancı ot mücadelesi, gübreleme konularında çiftçi eğitimleri de yapılmaktadır. Kısıntılı sulama ile birlikte gece sulaması yapılmasına dikkat edilmesi sağlanmaktadır. 2021 yılında ise, köy bazlı kuraklık verim sigortası hizmete alınmış olup; kuru tarım alanlarında, buğday, arpa, çavdar, yulaf, tritikale, nohut, kırmızı mercimek ve yeşil mercimek ürünleri kuraklık, don, sıcak, rüzgâr, sıcak hava dalgası, aşırı nem, aşırı yağış risklerinden kaynaklı verim azalışları, Tarım Sigortaları Havuzu tarafından teminat altına alınarak kuraklıktan olumsuz etkilenen ve sigorta yaptıran çiftçilere ödemeler yapılmaktadır (Tarım ve Orman Bakanlığı, 2021b).

Tarımsal Araştırmalar ve Politikalar Genel Müdürlüğü (TAGEM) iklim değişikliğinin tarım üzerindeki etkilerini belirlemek ve tarımı olası değişikliklere uyumlaştırmak için alt yapı geliştirme çalışmalarına başlamıştır. TAGEM bünyesinde yer alan 50 araştırma enstitüsünde ulusal ve uluslararası alanlarda Ar-Ge çalışmaları yürütülmektedir. Ar-Ge’de alt yapı ve kapasiteyi güçlendirmek için Konya’da Bahri Dağdaş Uluslararası Tarımsal Araştırma Enstitüsü’nde 2010 yılında kurulan "Kuraklık Test Merkezinde" ülkesel bazda kurağa dayanıklı hat ve çeşit geliştirme, ıslah ve yetiştirme teknikleri ile pazar talepleri doğrultusunda yeni çeşit, hat, ırk, verim ve kaliteyi geliştirmek, hastalık, zararlı ve olumsuz çevre koşullarına dayanıklılığı artırma çalışmaları yapılmaktadır.

Toprak, Gübre ve Su Kaynakları Merkez Araştırma Enstitüsü “Kısıtlı Su Koşullarında Su Tasarrufu Sağlayan Sulama Yöntemlerine Göre Bitki Sulama Programlarının Oluşturulması” ülkesel araştırma projesine devam etmektedir. Ülke ihtiyaçları göz önünde bulundurularak ürün potansiyelinde öne çıkan ürünlerle beş farklı bölgede sekiz Araştırma Enstitüsü ile 12 araştırma projesi başlatılmıştır. Çalışılan bitkiler; mısır, soya, şekerpancarı, bağ, elma, greylift, susam, zeytin ve yonca olarak belirlenmiştir. Çalışma bölgeleri; Batı Akdeniz, Ege, İç Anadolu, Orta Karadeniz ve Doğu Anadolu bölgeleridir. TAGEM Araştırma Enstitüleri tarafından Devlet Su İşleri işbirliğiyle

“Çeltikte Damla Sulama Sistemlerinin Kullanım Olanaklarının Araştırılması” ulusal projesi, Türkiye’de çeltik üretimi yapılan farklı bölgelerde Trakya Bölgesi-Kırklareli, Ege Menemen Ovası, Akdeniz Bölgesi Tarsus ve Karadeniz Bölgesi Bafra Ovasında Ar-Ge Projeleri de yürütülmektedir (Tarım ve Orman Bakanlığı, 2017; Tarım ve Orman Bakanlığı, 2021c).

Tarımsal kuraklık yönetimi çalışmaları, yayımlanan Tarımsal Kuraklık Yönetiminin Görevleri, Çalışma Usul ve Esaslarına Dair Yönetmelikleri ile resmi bir hal almış ve bir yıl sonra Gıda, Tarım ve Hayvancılık Bakanlığı tarafından Tarımsal Kuraklık Yönetimi Koordinasyon Kurulu kurulmuştur. Ayrıca bu kurula bağlı olarak merkezde, İzleme, Erken Uyarı ve Tahmin Komitesi ile Risk Değerlendirme Komitesi, illerde ise Tarımsal Kuraklık İl Kriz Merkezleri oluşturulmuştur (Resmi Gazete, 2012; Gıda, Tarım ve Hayvancılık Bakanlığı; 2013; Şahin ve Kurnaz, 2014).

GAP Bölge Kalkınma İdaresi Başkanlığı tarafından gerçekleştirilen, ‘Suyun Etkin ve Verimli Kullanım Projesi’ ile suyun kullanımı (tarımsal sulamada sulama çeşitleri, sulamanın önemi, doğru ve yanlış sulama örnekleri, çiftçilerin sorunları, çiftçilerin kullandığı sulama yöntemleri avantaj ve dezavantajları) ele alınmıştır. Proje kapsamında çiftçilerin deneyimlerini ve bilgilerini arttırmaya yönelik olarak eğitimler düzenlenmiştir. Yine, ‘Ankara-Gölbaşı Bölgesi’nde Etkin Su Kullanımı ve Yağmur Suyu Hasadı ile İklim Değişikliğine Adaptasyonun Sağlanması Projesi’, su kaynaklarının miktar ve kalitesi açısından çok problemlili olan Gölbaşı Bölgesi’nde mevcut su kaynaklarının sulamada ve evsel tüketimde etkin kullanımının sağlanması ve çatı su hasadı ile yağmur suyundan yararlanılması amacıyla UN, UNDP ve EVERY DROP MATTERS Programı tarafından kabul görmüş ve desteklenmiş bir projedir (Zaimoğlu, 2019). Bu çalışmalara rağmen, Climate Action Tracker, Türkiye’nin iklim hedeflerini ve politikalarını “kritik düzeyde yetersiz” olarak değerlendirmektedir. Bu değerlendirme Türkiye’nin hedeflerinin ve politikalarının düşük düzeyde eylem yansıttığını veya hiç önlem almadığını göstergesi olduğunu ve Paris Anlaşması ile uyumlu olmadığını ifade etmektedir (Climate Action Tracker, 2019).

## 6. SONUÇ

Dünyada gerçekleşen nüfus artışı ve yerleşik hayata geçiş birçok yeni insan aktivitesinin hayata geçirilmesine sebep olmuştur. Tarımsal üretimin artması ve sanayileşmenin de etkisiyle birlikte enerji tüketimi ve atık madde miktarı kontrolsüz bir şekilde artmıştır. Bu artışlar sonucu yeryüzünü daha fazla ısıtacak olan gazların salınımı da paralellik göstermektedir. Bu etkenlerin yarattığı artışlar, doğa ve iklim üzerindeki değişiklikler iklim değişikliği olarak tanımlanmaktadır. İklim değişikliği, gıda üretim sistemlerini etkileyen daha karmaşık dinamikleri beraberinde getirmektedir. Değişen iklim, hem sürdürülebilir olmayan gıda üretim uygulamalarının bir belirtisi hem de gıda sistemlerinin uzun vadede işleme kapasitesini etkileyen bir süreçtir. Çiftliklerde fosil yakıt kullanımı, artan mekanizasyon ve fosil yakıt bazlı girdilerin kullanımı ile büyük ölçekli endüstriyel hayvansal faaliyetler metan gazı ile süreci negatif etkilemiştir.

İklim değişikliğinin yarattığı sonuçlardan tarım sektörünü en çok etkileyen iklim olayının kuraklık olduğu bilinmektedir. Çünkü kurak tarımsal üretimin ve kalitesinin azalmasının en önemli sebeplerinden biri olarak gösterilmektedir. Sıcaklıkların daha fazla artacağı ön görülmesi ve suya erişimin zorlaşması yeterli, sağlıklı, güvenilir ve besleyici gıdaya ulaşımı tehdit etmektedir. Bu durum ülkeleri iklim değişikliği, kuraklık ve gıda güvencesi için uyum, önlem ve eylem çalışmaları yapmaya mecbur kılmıştır. Bu doğrultuda küresel ölçekte yürütülen uluslararası projelerin yanı sıra Türkiye’de de kuraklık ile bazı çalışmalar yapılmaktadır. Çalışmaların hedefleri gıda üretiminin ve sürdürülebilirliğinin sağlanması için tarım sektörünün adaptasyon kabiliyetini dayanıklı kılmaya yöneliktir. Çok yönlü planlanan çalışmalara hız verilmesinin kuraklık kaynaklı gıda güvencesi sorunlarının ortaya çıkışının geciktirilmesi ve şiddetinin önlenmesi açısından önem ve öncelik taşıdığı değerlendirilmektedir.

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## Kültürel Görelilik Kavramı ve Toplumsal Değerlerin Değişimi

Öğr. Gör. Dr. Coşkun DOĞAN<sup>1</sup>

<sup>1</sup>Trakya Üniversitesi Eğitim Fakültesi, Yabancı Diller Bölümü, coskundogan2002@yahoo.de,

ORCID: 0000-0002-6072-2721

**Özet:** Her toplumun kendine özgün yaşamsal değerleri ve deneyimleri vardır. Toplumlar, süreç içerisinde yaşadıkları coğrafyanın koşullarına göre, yaşam biçimlerini belirlemişlerdir. Bu bağlamda her toplumun olaylara yaklaşım biçimi ve değerlendirmeleri, buna paralel olarak ifade biçimleri farklılık kazanmaktadır. Toplumların yaşamları yaşadıkları uygarlık düzeylerine göre, zamansal olarak değişim göstermektedir. Ancak toplumun üyeleri de, kendi yaşadıkları süreç içerisinde kabul edilebilir tutum ve davranışları sergilemek zorundadır.

Toplumsal deneyimlerin bütünü, toplumların kültürlerini ifade etmektedir. Farklı kültürel özgünlükler, kültürel çeşitliliğin oluşması anlamına gelmektedir. Bu anlamda, dünyada gelişen olguların algılanışı ve çözüm noktaları da farklı olmaktadır. Bu da birbirinden farklı kültürlerin zengin anlayışını ortaya koymaktadır. İşte bu anlamda kültürün oldukça geniş kapsamlı ve çeşitli tanımları söz konusudur. Ancak teknolojik gelişmeler dünyada yaşanan uluslararası insan hareketliliğini ve iletişimini arttırmıştır. Böylece, farklı kültürler, birbirleri ile iletişim ve etkileşim içerisine girmektedir. Bu bağlamda toplumsal yapılar değişime uğramış, bunun yanında kültürel değişimler de yaşanmıştır. Toplum varlığı için değerlerin özgünlük içerisinde kalması çok önemlidir. Ancak Toplumsal değerlerin, zamana göre uyarlanması, dünyada yaşanan hızlı değişime ayak uydurabilmek için gerekli hale gelmiştir.

Bu çalışmada, kültürün çok farklı yapılmış tanımlarına kaynaklık eden kültürel görelilik kavramı ile toplumsal değer değişimleri, toplumsal gereksinimlerin farklılaşması açısından bir model olarak irdelenecektir. Ayrıca, kültürel görelilik kavramının özünü oluşturan dünyayı farklı algılama ve olayları anlamlandırma bağlamında kültürel çeşitliliğin oynadığı olumlu ve olumsuz rol, nitel bir şekilde kaynak taranarak betimleme yoluyla incelenecektir.

**Anahtar Sözcükler:** Kültür, Kültürel Özgünlük, Kültürel Değişim

### The Concept of Cultural Relativity and Change of Social Values

**Abstract:** Every society has its own unique vital values and experiences. Societies have determined their lifestyles according to the conditions of the geography they live in during the process. In this context, the approaches and evaluations of each society to the events, and in parallel with this, the forms of expression differ. The lives of societies vary in time according to the level of civilization they live in. However, the members of the society also have to exhibit acceptable attitudes and behaviors in the process they live.

The totality of social experiences expresses the cultures of societies. Different cultural uniqueness means the formation of cultural diversity. In this sense, the perception and solution points of the phenomena developing in the world are also different. This reveals the rich understanding of different cultures. In this sense, there are quite extensive and various definitions of culture. However, technological developments have increased the international human mobility and communication in the world. Thus, different cultures enter into communication and interaction with each other. In this context, social structures have changed, as well as cultural changes have occurred. It is very important for the existence of society that values remain authentic. However, the adaptation of social values according to time has become necessary in order to keep up with the rapid change in the world.

In this study, the concept of cultural relativity, which is the source of very different definitions of culture, and social value changes will be examined as a model in terms of differentiation of social needs. In addition, the positive and negative role of cultural diversity in the context of different perceptions of the world and making sense of events, which constitute the essence of the concept of cultural relativity, will be examined through a qualitative description by scanning the source.

**Keywords:** Culture, Cultural Authenticity, Cultural Change

#### 1. GİRİŞ

Kültür, oldukça tanımlanmış ve kesin bir tanımlama ile anlaşılması zor olan bir kavramdır. Bunun nedeni, tarihsel süreç içerisinde kültürün, farklı zamanlarda farklı anlamlarda kullanılmasıdır. Özellikle toplumların içinde yaşadıkları uygarlıklarla yakın ilişkili olan kültür kavramı, toplumların yaşam biçimlerinin ifade biçimi olarak ortaya çıkmıştır. Bu açıdan kültür kavramı, kültürün her toplumun kendini dışı vurum şekli olan düşünce, fikir, ideoloji gibi kültürel olgulardan oluştuğunu görülmektedir. Bu anlamda her toplumun özgün, benzersiz olan zihinsel ve eylemsel kültürel oluşumları söz konusudur.

Kültürel görelilik kavramı, her toplumun olaylara yaklaşımlarının, kendilerine özgün kültürel nitelikleri çerçevesinde değerlendirmeleri anlamına gelmektedir. Kültürel görelilik, bir toplumu oluşturan bireylerin belli bir zaman diliminde ortak olarak oluşturdukları ve toplumsal bir pratik olarak yaşadıkları yaklaşımdır. Kültürel görelilik kavramı her toplumun kendi oluşturduğu belli bir değerler sistemi çerçevesinde yaşanan olayların farklı değerlendirilmesine olanak vermektedir. Toplamların dünyayı farklı algılamaları ve anlamlandırmaları kültürel çeşitliliğin dünyada önemli hale gelmesini sağlamaktadır. Ancak kültür dinamik bir olgu olarak sürekliliği olan değişimi bünyesinde barındırması, özgün toplumsal değerlerin değişimine neden olmaktadır.

Teknolojik olarak yaşanan hızlı gelişmeler toplumsal gereksinimlerin değişimini şekillendirmiştir. Bu bağlamda toplumsal yapılar da bu değişimlerden doğrudan etkilenmiştir. Farklılaşan toplumsal yapılar, toplumsal değerlerin değişimine de neden olmuşlardır. Toplumsal değerlerin değişimlerine uyum sağlamak, bireyin toplumdan soyutlanmaması için gerekli bir olgudur. Bu anlamda bireyin dünyayı algılamasını sağlayan kültür, toplumun tarihsel bir ürünü ve toplumsal değerler bütünüdür. Her ne kadar toplumsal değerlerin değişimi söz konusu olsa da devamlılığının sağlanması gerekmektedir. Toplumsal değerlerin toplumsal özgünlüğü değişen koşullar çerçevesinde yeniden uyarlanması düşünülmelidir.

## 2. KÜLTÜR VE KÜLTÜREL GÖRELİK KAVRAMININ TANIMI

İnsanoğlu doğada bulunan diğer tüm canlılardan farklı olarak donatılmıştır. Bu donanımı insana doğaya hakim olma ve doğada bulunan varlıkları kendi yaşam kalitesini yükseltmek doğrultusunda yönlendirmiştir. Kültür, tanımı ve kapsam alanı oldukça geniş olan bir kavramdır. Sözcüğün geldiği kaynak dil ve anlam olarak bakıldığında kültür sözcüğünün kaynağı olan Latince'de "cultura"dır. İnşa etmek, işlemek, süslemek, bakmak anlamlarına gelen "colere"den türetilmiştir. "Cultura", Kültür sözcüğü "ekin, sipariş, bakım" demektir (Kartarı 2014: 31). Hıristiyanlığın yaygınlaşmasıyla birlikte batı dillerine giren "Kültür" sözcüğüne, farklı dönemlerde farklı anlamlar yüklenmiştir. Örneğin; (Turan,1994) tarımda "ekin", "ürün"; tıpta, "uygun koşullarda bir mikrop türünü üretmek"; anlamında; tarih öncesi dönemlerde "insan eliyle yapılmış ve ortak nitelikleri bulunan eşyalar topluluğu ile belirlenen evre veya çağ"; "belli bir konuda edinilmiş geniş ve sistemli bilgi"; "eleştirme, değerlendirme, zevk alma yetilerinin geliştirilmiş olması durumu"; bir topluma, ulusa ya da uluslar topluluğuna özgü "düşünce, davranış ve sanat yapıtlarının tümü" ve tarihsel gelişme süreci içinde yaratılan bütün maddesel ve tinsel (manevi) değerlerle bunları yaratma ve sonraki kuşaklara aktarmada kullanılan araçların tümü olan "uygarlık" gibi anlamlarda kullanılmaktadır (Akt: Kartal, 2010: 449-450).

Kültür kavramı tanımı oldukça çok olan bir kavramdır. Milli Eğitim Bakanlığının Örnekleriyle Türkçe Sözlüğünde (2000); "Bir insan topluluğunun (milletin) nesilden nesile aktardığı, gelenek halinde devam eden maddi ve manevi varlıklarının, değerlerinin, bütünü; inanç, fikir, bilgi, sanat, adet ve gelenekleri, bütünüyle yaşayış ve davranış şekli; hars; şeklinde ifade edilmiştir. En temel olan ve genel kabul gören Edward Taylor'un (1871) kültür tanımı ise şöyledir "Kültür bilgi, inanç, sanat, ahlak, hukuk, gelenek ve insanın bir toplumun üyesi olarak edindiği diğer her türlü yetenek ve alışkanlıkları içeren karmaşık bir bütündür" (Akt: Bağlı/Özensel,2013:42). Franz Boas'a göre, (1930) kültür; bir topluluğun toplumsal davranışının bütün ifadelerini, bireylerin içinde yaşadıkları grubun alışkanlıklarından etkilenen tepkilerini ve alışkanlıkların belirlediği insan etkinliklerinin ürününü içermektedir. Adam Kuper (1994) kültür kavramını, tam anlamıyla gelişmiş bir dile dayanan, teknik yaratıcılıkla bağlantılı öğrenilmiş, kolaylıkla uyum sağlayan, simgesel davranış, toplumlar arası karşılıklı ilişkileri düzenleme kapasitesine dayanan bir beceriler bütünüdür şeklinde tanımlamıştır. Hilmi Ziya Ülken, kültürü bir toplumun "sosyal hafızası" olarak görürken, M.Turhan kültürü bir cemiyetin sahip olduğu maddi ve manevi (bilgi, ilgi, araç, ihtiyaç, ahlak gibi) değerlerden meydana gelen bir bütün olarak tanımlamıştır ( Türkkahraman,2011:8).

Kültürel görelilik, görecelik ya da kültürel rölativizm bir kişinin inanç ve aktivitelerinin, o kişinin kültüründe yaşayan başka kişiler aracılığıyla, bu kişilerin gözlemlenmesi ile anlaşılması gerektiğini öne süren prensip şeklinde açıklanmıştır (<https://tr.wikipedia.org>). Franz Boas tarafında ortaya atılmış bir teori olarak ortaya çıkmıştır. Dünyada yaşayan oldukça çok toplumun her birinin kendine özgün olan kültürleri olduğu düşüncesinden hareketle, her bir kültürün içinde bulunan değerlerin birbiri ile aynı algılanmaması çok doğal bir durumdur. Her toplumun temel olan kültürel değerleri söz konusudur. Bunların içerisinde doğrular ve yanlışlar belirlenmiştir. Toplum tarafından bu tür kültürel değerlerin uygulanması onaylamakta ya da onaylanmamaktadır. Kültür kendi dinamikleri içerisinde içinde bulunduğu coğrafya, iklim, teknoloji ile doğrudan ilişkilidir. Bu anlamda, her kültürün dünyayı ve olayları algılaması, ifade şekli farklıdır. Bu bağlamda, diğer kültürleri ötelemek ya da kendi kültürünü yüceltmek etik anlamda doğru bir davranış olamaz.

Kültürel göreliliğin, toplum yaşamına getirdiği avantajlar ve dezavantajlar söz konusudur. Kültürel görecelik, iç dinamikleri çok güçlü ve yargısız bir toplum yaşamı gerektirmektedir. Kültürlerin kendilerini koruma konusunda

duyarlı olunmasını koşul olarak ortaya koymaktadır. Diğer taraftan önyargı ile beslendiği için, farklılıkları küçümser ve çatışmacı bir ortam hazırlamaktadır. Çokkültürlülük ve Kültürlerarasılık gibi, toplumsal çeşitliliği kabul etmemektedir.

### 3. KÜLTÜR VE TOPLUM ARASINDAKİ İLİŞKİ

İnsan toplumsal bir varlıktır. Birlikte yaşamın insan verdiği özgüven ve güç ile, birey içinde bulunduğu toplumun bir üyesi olmaktadır. Toplumsallaşma sürecinde topluluğun benimsediği değerleri öğrenmekte ve bu doğrultuda hareket etmektedir. Birey toplum olmadan, toplumda yeni üyeleri olan bireyler olmadan varlıklarını sürdüremez. İnsan toplulukları tarihsel süreç içerisinde yaşamsal deneyimlerinden oluşan kültürlerini oluşturmakta ve bunu yeni üyelerine aktarmaktadır. Kültür, her toplumu birbirinden ayırt eden bir olgudur. Her toplum yaşadığı coğrafya ve koşullara uygun olarak kendi kültürünü oluşturmaktadır. Bu bağlamda kültür, toplumu bir arada tutan ortak paydaşlar bütünüdür. Kültür toplumun her bir bireyinin yaşamını yakından ilgilendirmektedir. Çünkü kültür bir değerler bütünü olarak toplumu oluşturan bireyleri bu değerler etrafında tutmaktadır. Toplum yaşamının düzenli hale gelmesinde en büyük rolü kültürel değerler oynamaktadır.

*Kültür, bir toplumun en önemli paydaşı ve yapı taşıdır. Kültür, toplumları birbirinden ayırt edici özelliğe sahiptir. Bu anlamda, kültür, toplumların referans aracıdır. Toplumları bir arada tutan sistemsel ortak paydaşlar bütünü olarak, kültür aynı toplumsal kuralların varlığını uyumlu bir şekilde sürdürdüğü bir sistemler ağıdır. Kültür, toplumun her bireyinin yaşam koşullarını etkileyen her konuyla iniltlidir. Ancak, dünyada toplumların karşılaştıkları olaylar sonucunda kültürlerini zaman ve mekâna göre uyarlamak zorunda kalmaktır (Doğan, 2021: 43).*

Toplum ve kültür birbirinden ayrılmaz ikili olarak bulunmaktadır. Toplum, kültürün yaratıcısı, kültüre de toplumun varlığını sürdürmesinde en büyük aracıdır. Kültür toplumun her alanda (biyolojik, sosyolojik, psikolojik) ihtiyacını karşılayan bir olgudur. Bu anlamda kültür, toplumun tüm üyelerinin etrafında toplandığı bir olgudur. Toplum yaşamı için oldukça önemli olan kültür olgusu, kalıtsal bir olgu değildir. Yani öğrenilebilirdir. Kültürün bu özelliği, toplumu oluşturan bireyler tarafından nesilden nesile aktarılmasını sağlamaktadır.

Kültür ve toplum kendi ihtiyaçları çerçevesinde değişebilmektedir. Özellikle son yüzyılda yaşanan hızlı teknolojik gelişmelerin beraberinde getirdiği yaşamsal kolaylıklar ( hızlı iletişim ve ulaşım gibi) farklı kültürlerin buluşmasına ve etkileşmesine neden olmuştur. Cu anlamda toplumları bir arada tutan değerlerin değişimine ve değerler düzeyinde yeni düzenlemeler yapılmasını gerektirmiştir. Her toplum kendi kültürel olgularını zaman ve mekân içerisinde o döneme göre uyarlamak zorundadır. Aksi halde dünyada yaşanan farklı kültürlerin etkileşimine ve hızlı değişimlere ayak uyduramaz ve yaşamını olanaksız hale getirmektedir.

### 4. TOPLUMSAL DEĞER DEĞİŞİMLERİNİN KÜLTÜR ÜZERİNDEKİ ETKİSİ

Her toplum kendi varlığını sürdürebilmesi için toplumsal normlara gereksinimi vardır. Bu normlar bireyin toplumsallaşma sürecinde aile, çevre, eğitim, din gibi kurumlar aracılığı ile aktarılmaktadır. Bu kurumlar toplumsal değerlerin yaşatılmasında ve nesilden nesile aktarılmasında öncü rol oynamaktadır. Bu anlamda, bireyin günlük yaşam içerisinde toplumun istek ve normları doğrultusunda davranış sergilemeleri öğrenilmiş değerlerin bir bütünüdür. Birey, toplumsal gereksinimlerini yerine getirmek ve üyesi olduğu toplum tarafından kabul görebilmek için, toplum tarafından beğenilen değerler çerçevesinde davranışlarda bulunması istenmektedir. Bu bağlamda, Theodorson (1979: 455)'a göre değer şu anlama gelmektedir.

*Değerler sosyolojide, bireylere, gruplara, örüntülere, hedeflere ve sosyo-kültürel nesnelere verilen önem üzerindeki değerlendirmelere dayanan ölçütlere göre tanımlanabilir. Bu noktadan hareketle, değer, özel eylemleri ve amaçları yargılamada temel bir standart (ölçüt) sağlayan ve bir grubun üyelerinin güçlü duygusal bağlılıklarıyla oluşmuş soyut, genelleştirilmiş davranış prensipleridir (Akt. Bağlı & Özensel, 2013: 76).*

Toplumsal değerlerin değişimi, bir toplumun içerisinde bulunan kurumların yapısına göre süreçleri farklı olabilir. Gündelik yaşa içerisindeki değişimler çok hızlı ve kısa sürede olabildiği gibi, toplumsal yapının ve tarihi etkenlerin değişimi oldukça uzun sürmektedir. Toplumsal değerlerin değişmesinin en büyük nedenleri göç, medya ve küreselleşmedir. Ayrıca toplumsal değerlerin değişimi, siyasal, ekonomik ve sosyal değişimlerden de oldukça etkilenmektedir. Değerler değişiminin yönü genellikle ileri yönlüdür. Ancak gerileme şeklinde de görülmektedir. Toplumsal değerler, tarihsel süreç içerisinde oluşan ve insanlığın yaşadığı çağın gelişmelerine uygun olarak değişebilen olgulardır.



*Her çağın/toplumun kendine özgü değerleri ve bu değerleri anlama, yorumlama tarzı vardır. Fakat değerler de, toplumun değerleri anlama biçimi de zamanla değişmektedir. Sosyal değerleri, geleneksel dönemde aşkın, ilahi ve yaşanan tecrübeler belirlerken, modern dönemde akla uygunluk, postmodern dönemde ise, arzular belirlemektedir. Bundan dolayı, geleneksel ve modern dönemde, farklı kaynaklara dayanan bir kesinlik varken, Postmodern dönemde ise kesinliğin yerini muğlaklık, her ihtimale açık olma hali almıştır (Yazıcı, 2013.1499).*

Toplumlar tarihsel süreç içerisinde varlıklarını sürdürebilmek için, gerek doğal olaylara gerekse diğer toplumlara karşı büyük mücadeleler vermişlerdir. Toplumun gelişmesi ve güçlü kalabilmesi için yeni üyelerin topluma entgre edilmesi gerekmektedir. Toplumun yaşamsal deneyimleri sonucu oluşturduğu kültürel olgularının nesilden nesile aktararak ayakta kalması sağlanmaktadır. Bu bağlamda toplumu bir arada tutacak ve toplum düzenini sağlanması toplumsal değerlerin oluşturulması ile olanaklıdır. Kültürle bir sarmal olan değerlerin değişmesi, toplumun kültür birikimini de yakından etkilemektedir. Çok genel fikirlerden oluşan değerler bütünü kültürün değişimi, bireysel olan birçok insani değer değişiminden etkilenmektedir. Bu yüzden hemen hemen her toplumda kuşaklar arası çatışmalara ortaya çıkmaktadır.

## 5. KÜLTÜREL ÇEŞİTLİLİĞİN OLUŞUMU

Her alanda yaşanan teknolojik gelişmelerle birlikte oluşan küreselleşme, farklı kültürlerin birbirlerine kolay ulaşmasına ve iletişim kurmasına olanak sağlamıştır. Özellikle iletişim ve ulaşım alanlarında yaşanan akıl almayacak hızlı gelişmeler, farklılıkların bir araya gelmelerini sağlamıştır. Bunun dışında ekonomik, siyasal ve diğer çeşitli nedenlere dayanan uluslararası alanda yaşanan göç hareketlilikleri, farklı kültürlerin aynı coğrafyada buluşmasına ve birlikte yaşam sürdürmelerine zemin hazırlamıştır. Her toplumun kendine özgün kültüre sahip olduğu düşüncesinden hareketle, kültürel çeşitlilik, kültürel zenginliği de beraberinde getirmiştir. Farklı diller, farklı dinler, sanatsal faaliyetler, gastronomi, farklı dünya görüşleri aslında çokkültürlü ve kültürlerarası yaşamla yakından ilgili bir olgudur. Bu anlamda farklı kültürlerin bir arada olduğu toplumların iletişim içerisinde olmaları ve önyargılarından kurtulmaları dünyayı daha renkli ve yaşanılır hale getirmektedir. Bu anlamda Vatandaş şöyle demektedir.

*Çokkültürlülük, gruplar arası hoşgörüyü besler, bunun temelinde insanların kendi yaşam tarzlarında sahip oldukları tecrübeler kendi yaşamını doldurdukça bu insan diğerlerinin de benzer durumda olmasını hoşgörülle karşılayacağı ön kabulü vardır. Çokkültürlülük, bireyin kendi bireysel kimliğine olan güvene dayanır. Bu güven oluşunca, bireylerin karşılıklı olarak birbirlerini anlamalarının zemini tesis olur (Vatandaş, 2002:21).*

Kültürel çeşitlilik, farklı kültürlere sahip toplumların bir araya gelmesiyle, farklı dil, din, sanatsal ifadeler, değerlerin arasındaki iletişim ve etkileşim, kültürlerarasılık ile yakından ilişkilidir. Kültürlerarası bilgi alışverişi yaşanan bölgenin kültürel zenginliği haline gelmektedir. Bu bağlamda Kültürlerarasılık çok önemli bir miras olarak görülmüş ve Kültürel çeşitlilik Evrensel beyannamesini yayınlamıştır. Beyanname aşağıdaki gibi tarihlendirilmiştir.

*Unesco Kültürel Çeşitlilik Evrensel Bildirgesi 2 Kasım 2001 tarihinde kabul ve ilan edilmiştir. 21 Mayıs Diyalog ve Kalkınma için Dünya Kültürel Çeşitlilik Günü ise (World Day for Cultural Diversity for Dialogue and Development) 2002 yılında Birleşmiş Milletler Genel Kurulunun 57/249 sayılı kararı ile kutlamaya başlanmıştır <https://hukukbook.com/unesco-kulturel-cesitlilik-evrensel-bildirgesi/>.*

Kültürel çeşitlilik bilinmeyen kültürlerin herkes tarafından tanınmasına ve onların kendilerini ifade etmesine olanak sağlamaktadır. Bu bağlamda aynı ortamda birlikte yaşayan farklılıkların bir birine karşı hoş görü ve saygı içerisinde bulunmalarına olanak vermektedir. Kültürel çeşitlilik, diğer taraftan kültürlerarası bilgi alışverişi ve değerlerin değişimi konusunda ortak bir zemin hazırlamaktadır. Küreselleşme, göç ve medya kültürel çeşitliliğin oluşmasında en büyük etkenlerdir. Kültürel çeşitliliğin yaşanmasında katkısı olan bu üç önemli faktör, toplumsal değerlerin değişimini tetiklemektedir.

## 6. SONUÇ

Dünyada oldukça çok farklı toplum bulunmaktadır. Her biri farklı coğrafyada ve iklim koşullarında yaşamaktadır. Bu anlamda da farklı yaşamsal deneyimlere yani kültüre ve toplumsal yaşam değerlerine sahiptir. Bu anlamda her kültür diğerini yabancı olarak kabul etmektedir. Hangi toplumun kültürel değerlerinin diğerinden üstün

olduğu tartışılması olanaksız bir konudur. Genel kabul gören değerler dışında her bir farklılık, uzun süreç içerisinde oluşmuş ve yaşama renk katan olgulardır.

Kendi toplumsal yaşamı içerisinde kabul gören toplumsal değerler, farklı toplumlarda ötelenebilmektedir. Bunun temelinde ahlak ve inanç sistemlerinin tutuculuğu yatmaktadır. Diğer taraftan kültürel olarak toplumun değer yargılarının kaybolacağı düşüncesi etkili olmaktadır. Ancak günümüz de hiçbir toplumun dünyada tek başına izole bir şekilde yaşaması olası değildir. Toplumların çeşitli nedenlerle birbiri ile içi içe geçtiği bir çağ yaşanmaktadır. Her ne kadar kültürel görelilik kavramı, her topluma ait kültürün özünün bozulmadan kalmasını sağlama düşüncesi olsa da, etkileşim içerisinde olan değerlerin değişime uğraması kaçınılmazdır.

Her kültürün kendi içine kapanıp farklı kültürü ve değerleri eleştirmek yerine, karşısında ki farklı kültürleri anlamaya çalışması yerinde olacaktır. Bu bağlamda bugün dünyada yaşanan çokkültürlü toplumların uyum içerisinde yaşaması dünya yaşamına ve barışına katkı sunacaktır. Her bir kültürün kendi değerleri bütününde anlaşılmasına çalışılması, kültürlerarası ilişkilerde gerekli bir olgudur. Bunun için öncelikle farklılıklara saygı gerekmektedir.

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## Toplum Çevirmenliği ve Kültürlerarasılık İlişkisi

Öğr. Gör. Dr. Coşkun DOĞAN<sup>1</sup>

<sup>1</sup>Trakya Üniversitesi Eğitim Fakültesi, Yabancı Diller Bölümü, coskundogan2002@yahoo.de, ORCID: 0000-0002-6072-2721

**Özet:** İnsanoğlu toplumsal bir varlıktır. Varlığını sürdürebilmesi için mutlaka bir toplumun üyesi olması gerekmektedir. O toplumun değerlerini ve yaşamsal deneyimlerini öğrenerek, yaşam içerisinde davranış olarak sergilemek zorundadır. Üyesi olduğu toplumun kültür taşıyıcısı niteliğini taşıması beklenmektedir. Bu bağlamda birey, dünyada yaşanan insan ve toplum hareketliliklerinde, kültürel bir kimliği yer almaktadır. Bu anlamda dillerin taşıyıcısı olduğu farklı kültürlerin aynı mekânlarda bulunma durumlarında, ortak bir dile ve her bir toplumun kültürünü tanıyan dilsel aracıya ihtiyaç vardır. Bu da Toplum Çevirmenidir. Toplum çevirmenliği, farklı dil ve kültürlerle sahip toplumların buldukları yabancı ülkelerin kamu hizmetlerinden faydalanmalarını sağlayacak kültür aracılığıdır.

Uluslararası hareketliliğin sık yaşandığı dünyada, farklı kültürel kimliklere sahip kişi veya toplumların bir arada olması kaçınılmaz hale gelmiştir. Kültürlerarası iletişim rolü üstlenmiş Toplum çevirmenliği kültürel alış verişin odağında bulunmaktadır. Her bir toplum kendi kültürünü uygularken farklı kültürleri Toplum çevirmeni aracılığı ile tanımakta ve onlarla etkileşim içerisine girmektedir. Böylece kültürel çeşitliliğin oluşumu gerçekleşmektedir. Her toplumun mirası olan kültürel yapıları zamanla değişmekte ve farklı kültürlerle bakış açıları hoş görülür hale gelmektedir. İşte hoşgörüyü ve kültürlerarası diyalogu sağlayan en büyük etmen Toplum Çevirmenliğidir.

Bu çalışmada Toplum Çevirmenliği ile Kültürlerarasılık ilişkisi, etkileşim, saygı ve uyum açısından irdelenecektir. Kültürlerarası farklılıklar ve benzerliklerin tanınmasını sağlayan Toplum Çevirmenliğinin, farklı kültürlerin birbirini keşfetmesine sunduğu katkı, nitel araştırma şeklinde kaynak taranarak betimleme yoluyla araştırılacaktır.

**Anahtar Sözcükler:** Toplum Çevirmenliği, Kültürlerarasılık, İletişim

### The Relationship between Community Interpreting and Interculturality

**Abstract:** Man is a social being. In order to survive, it must be a member of a society. He has to learn the values and life experiences of the society and exhibit it as a behavior in life. It is expected to be a cultural carrier of the society to which it is a member. In this context, the individual has a cultural identity in the human and social movements in the world. In this sense, there is a need for a common language and a linguistic mediator that recognizes the culture of each society in cases where different cultures, which are carriers of languages, are in the same places. This is the Community Translator. Community interpreting is a cultural mediation job that will enable communities with different languages and cultures to benefit from the public services of foreign countries.

In a world where international mobility is common, it has become inevitable for people or societies with different cultural identities to come together. Community interpreting, which plays the role of intercultural communication, is at the center of cultural exchange. While each society implements its own culture, it recognizes and interacts with different cultures through the Community translator. Thus, the formation of cultural diversity takes place. Cultural structures, which are the heritage of every society, change over time and perspectives on different cultures become tolerant. Here, the biggest factor that ensures tolerance and intercultural dialogue is Community Interpreting.

In this study, the relationship between Community Interpreting and Interculturality will be examined in terms of interaction, respect and harmony. The contribution of Community Translation, which enables the recognition of intercultural differences and similarities, to the discovery of different cultures, will be researched through description by scanning the source in the form of qualitative research.

**Keywords:** Community Interpretation, Interculturality, Communication

#### 1. GİRİŞ

Tarihsel süreç içerisinde, insanoğlu her dönemde çeviri eylemine gereksinim duymuş ve kullanmıştır. Farklı olanı tanımak, anlamak ve farklılığını hoş görerek onun yaşam hakkına saygı duymak, çeviri eyleminin aracılığı ile gerçekleşmiştir. Toplumların kendi aralarında iletişim kurabilme ve anlaşabilmelerini çeviri eylemi sağlamıştır. Uygarlığın gelişmesine büyük katkıları olan çeviri eylemi, yazının kullanılmaya başlamasıyla sözlü bir eylem olmanın yanında yazılı bir eylem olarak da insanlığa hizmet vermeye devam etmiştir. Son yüz yılda teknoloji dünyasında yaşanan gelişmeler, toplumların yaşamlarını derinden etkilemiştir. Farklı kültürlerle sahip toplumları daha yakından tanıma ve hatta onlarla birlikte yaşam olanağı bulan insanlar, iletişim gereksinimlerini çeviri eylemi sayesinde gerçekleştirmektedir.

Kültürlerarası ilişkilerin çok üst düzeyde yaşandığı dünyada, farklılıklar arasında köprü görevini üstlenmiş dilsel ve kültürel aracı olan çevirinin önemi tartışılmaz bir gerçektir. Kültürlerarası iletişimin ortak dili çeviridir. Bu anlamda

tüm bilimsel alanlarla yakından ilgili olan çeviri, özgün bir bilim alanı olarak ortaya çıkmıştır. Çeviri, bir bilim dalı olarak kendi içinde insanlığa sunduğu hizmet ve alanlara göre çeşitlilik göstermektedir. Bu alanlardan biri de sözlü çeviri olarak hizmet veren Toplum Çevirmenliği'dir.

Kültürel değişim araçları olarak nitelenen küreselleşme, medya ve göç eylemlerinde oldukça gerekli bir hizmet sunan Toplum çevirmenliği, kültürlerarası iletişimin sağlanmasında da önemli bir rol oynamaktadır. Farklı kültürlerarasında oluşacak hoşgörü, anlayış ve diyalogun oluşmasında Toplum çevirmenliğinin katkısı büyüktür. Kültürlerin etkileşimi ve birbirlerini anlamaları sonucunda kültürel zenginlik içerisinde yetişmiş bireyler olacaktır. Farklı kültürlerin varlığı konusunda bilinçlenen bireyler, baskın kültürlerin azınlık kültürleri yok etmeden kendi özgünlükleri içerisinde yaşamasını sağlayacaklardır. Bu anlamda kültürlerarası iletişimin mimarı olan Toplum çevirmenliği Kültürlerarasılık ile yakından ilişkilidir.

## 2. TOPLUM ÇEVİRMENLİĞİNİN TANIMI VE GEREKLİLİĞİ

Toplum Çevirmenliği, sözlü çevirinin alt türlerinden biridir. Ancak gittikçe kapsam ve hizmet alanı genişleyen Toplum çevirmenliği, sözlü çevirinin yükümlülüklerinin dışında farklı yükümlülükleri de üstlenmiştir. Bugün dünyada çeşitli nedenlere dayalı olarak yaşanan insan hareketlilikleri, toplum çevirmenliğini gerekli kılmıştır. Özellikle farklı kültüre sahip toplumların bir arada olmak ve yaşamak durumunda kaldığı ortamlarda Toplum çevirmenliğinin gerekliliği kaçınılmazdır. Toplum çevirmenliği, 1980'li yıllarda yaşanan paradigma değişimi ile özgün bilimsel bir nitelik kazanan çeviribilim alanında oldukça yeni bir alandır. Pöhhacker bu konuda şöyle demektedir.

*İnsanbilim ve toplumbilim arasında yeni bir paradigma olan toplum çevirmenliği, 2004 yılından itibaren farklı bilim alanlarında araştırma yapan bilim insanlarının ilgisini çekmeye başlamıştır. 2004 yılında toplum çevirmenliği çalışmaları literatürdeki önemli yerini almıştır. Aynı yıl içerisinde toplum çevirmenliği ile ilgili bilimsel alanda yazılmış kitaplar yayınlanmıştır (Akt.Doğan, 2020: 75).*

Çeviribilim alanı içerisinde çok yeni bir alan olan Toplum çevirmenliği, farklı dillerde değişik anlamlarda kullanılmıştır. Örneğin, İngilizcede "community interpreting, public service interpreting", Fransızcada "interprétiariat communautaire", Almancada "Sprach-und Kulturmittler, Sprach- Intergrationmittler, ve resmi dili almanca olan Avusturya'da "Kommunaldolmetscher", İsviçre'de "interkultureller Übersetzer" ifade edilmektedir. Her ne kadar farklı ifade edilsede her birinin görevi ve yaptığı iş Toplum Çevirmenliğinin kendisidir. Toplum çevirmenliği, kamusal alan ve çevresinde farklı dilleri konuşan farklı kültürelere sahip toplum veya insanların, buldukları ülkenin kamu hizmetlerinden faydalanabilmeleri için aldıkları dilsel yardım ve sosyo-kültürel çevirmenlik faaliyetidir. Rets (1998) Toplum çevirmenliğini şöyle tanımlamaktadır.

*Toplum çevirmenliği en temel anlamda, toplum hizmeti alanında, polis merkezlerinde, göçmen bürolarında, sosyal hizmet merkezlerinde, sağlık ve psikiyatrik tedavi merkezlerinde, okullarda ve benzeri kurumlarda, yetkililerle halk arasındaki iletişimi kolaylaştırmak amacıyla verilen sözlü çeviri hizmeti...(Akt: Kurultay&Bulut, 2012: 79).*

Toplum çevirmenliği düzenli ve belli bir yerde yapılan bir etkinlik değildir. Toplum çevirmenliğine gereksinim duyulacak her yerde bu hizmet verilmektedir. Önceleri çok basit hizmet alımı gibi görülen toplum çevirmenliği işi, bugün çokkültürlü siyasi yapılanmaları olan ülkelerde ve göç alan batılı ülkelerde uzmanlık gerektiren bir meslek haline gelmiştir. Bu anlamda hizmet alanı gittikçe genişleyen Toplum çevirmenliğinin hizmet faaliyet alanları da artmıştır. Her iki tarafın dilini ve kültürünü çok iyi tanıma yükümlülüğü olan Toplum çevirmenleri, mahkemede, karakolda, evlendirme dairelerinde, tapu dairelerinde, sağlık alanında, uluslararası sportif karşılaşmalarının yapıldığı yerlerde, afette, çatışma alanlarında, özellikle düzensiz göç ortamlarında çok gerekli iletişim hizmetlerini profesyonel anlamda yürütmektedir.

## 3. KÜLTÜRLERARASILIK TANIMI VE OLUŞUMU

Sanayi devriminden sonra yaşanan hızlı teknolojik gelişmeler, her alanda büyük ilerlemelere neden olmuştur. Özellikle iletişim ve ulaşım alanlarında ki inanılmaz hızlı gelişmeler, dünya çapında insan hareketliliklerini de arttırmıştır. Çeşitli nedenlere bağlı olarak gerek insanların kendi yaşam alanlarını terk ederek başka ülkelere gitmesi, gerekse büyük şirketlerin dünya üzerinde farklı ülkelerde iş alanları oluşturmaları, farklı kültürel dokulara sahip insan ve toplumların bir araya gelmesine kaynaklık etmiştir. Diğer taraftan, iletişim araçlarının sağladığı kolaylıklar (özellikle TV, İnternet), insanların kendi yaşadıkları coğrafyayı terk etmeden de farklı kültürel olguları

hizmetine sunmuşlardır. Bu gelişmeler kültürlerarası etkileşim daha hızlı bir şekilde oluşmasına olanak sağlamıştır.

Kültürlerarasılık kavramı, ilk kez 1940'lı yıllarada Kübalı bir bilim insanı olan Fernando Ortiz tarafından José Martí'nin Nuestra America (1881) makalesine dayanarak tanımlanmıştır. Ortiz Marti Gra'nın fikrine göre, kimliği meşrulaştırmanın anahtarının kültürlerarasılık olduğunu düşünmekteydi. Cuccioletta,D. (2016) kendini bir başkasında görmek([springer.com/tr](http://springer.com/tr)) anlamında tanımlamaktadır. Kültürlerin etkileşim sonucu paylaşılan farklı kültürel bilgilerle diyalog kurulması kültürlerarasılık anlamında kullanılmaktadır. Kültürlerarasılık kavramını Deneme&Ceylan şu şekilde açıklamışlardır.

*Kültürlerarasılık, kültürler arası diyalogun desteklenmesini ve kültürler kendi içinde kendi kendini ayırma eğilimlerine meydan okumayı ifade eder. Kültürlerarasılık bir toplumda etkin bir şekilde var olan çokkültürlü bir geçişin saf basit kabulünün ötesine geçmeyi içerir ve bunun yerine kültürler arasında diyalog ve etkileşimi teşvik eder. Farklı kültürel ve etnik kökenlerden insanlar arasındaki etkileşimi, anlayışı ve saygıyı teşvik etmek olarak tanımlanabilir (Deneme&Ceylan, 2021:66).*

Kültürlerarasılık düşüncesi, kendinden farklı olan bir yaşamı tanımanın yanında, yaşamın içerisinde olmak ve bizzat yaşamaktır. Kültürlerarasılık yaklaşımı, tüm toplumlar için fayda sağlayacak bir ortam sağlamaktadır. Kültürlerarasılık, birden çok farklı kültürün hoşgörülü bir anlayış içerisinde bulunmaları ve belli bir siyasi şemsiye altında bulunmak anlamında değildir. Kültürlerarasılık, farklılıkların empati kurabilmesidir.

#### 4. TOPLUM ÇEVİRMENLİĞİ VE KÜLTÜRLERARASILIK İLİŞKİSİ

Kültür, farklı süreçlerde toplumsal yaşam döngüsü içerisinde değişebilmektedir. Toplumlar, gereksinimleri çerçevesinde ve farklı kültürlerle etkileşimi sonucunda yeni düzenlemeler yapmaktadır. Kültürün değişim ve etkileşim sürecinde çeviri eylemi de büyük rol oynamaktadır. Çeviri sadece dilsel ve kültürel aktarım eylemi değildir. Çeviri farklı kültürlerin bulunduğu bir alandır. Farklı kültürlerin buluşması aynı zamanda onların etkileşimine zemin sağlamaktadır. Bunun sonucunda da kültürel ve toplumsal değişimler olmaktadır.

Çevirinin, farklı kültürel ve toplumsal yapıya sahip kimselerin çeşitli nedenlere dayalı olarak bir araya gelmeleri sonucunda rolü değişmiştir. Çevirinin hem kültürbilim hem de toplumbilim disiplinleri ile eşgüdümlü bir şekilde hareket etmesi zorunluluğu ortaya çıkmıştır. İşte bu anlamda, çevirinin dil boyutundan sıyrılarak kültürlerarası iletişim uzmanlığı uygulamaları yönünde çalışma yapması gerekmiştir. Bu uygulamanın adı da günümüzde çalışma ve kapsam alanı gittikçe genişleyen "Toplum Çevirmenliği"dir". Toplum çevirmenliğinin çalışma alanının genişlemesini Doğan şu şekilde ifade etmektedir.

*Toplum Çevirmenliği, özellikle yabancı ülkelerde ya da farklı dillerin konuşulduğu ülkelerde yaşayan ya da bulunan halktan kişilerin devlet kurumlarındaki iletişim sorunu böyle bir çeviri türünün gelişmesine önyak olmuştur. Kamu hizmeti çevirmenliği de denilen bu alan zamanla gelişmekte ve türleri açısından genişlemektedir (Doğan, 2015:62).*

Toplum Çevirmenliğinin ilk çıkış amacı, farklı dilleri konuşan ve bu nedenle dilsel sorunları nedeniyle buldukları yabancı ülkede kamu hizmetlerinden faydalanmakta zorluklar yaşayan kimselere çeviri hizmeti sunmaktır. Ancak bugün Toplum Çevirmenliği hizmeti daha da ileri giderek farklı kültürlerin bulunduğu noktalarda kültür aracılığı yapma görevini üstlenmiştir. Farklı kültürlerin, birbirlerini yaşam içerisinde tanımaları için uzlaşmacı bir köprü rolü üstlenen Toplum çevirmenliğinin çalışma alanları yaşamsal önem taşımaktadır.

Toplum Çevirmenliği, dünyada her alanda yaşanan hızlı değişim sonucu büyük ihtiyaç duyulan bir meslek haline gelmiştir. Farklı alanlarda ortaya çıkan Toplum çevirmenliği gerekliliğinin türleri ve hizmet sunduğu kültürlerarasılık gerektiren alanlardan birkaç tanesi şu şekildedir (Doğan,2017).

- Sağlık Alanında Toplum Çevirmenliği,
- Hukuk Alanında Toplum Çevirmenliği
- Spor Alanında Toplum Çevirmenliği
- Afette Toplum Çevirmenliği
- Çatışma ortamında Toplum Çevirmenliği
- Göç ve Göçmenlere Yönelik Toplum Çevirmenliği,

Toplumsal ve kültürel bir dönüşüm sonucu ortaya çıkan Toplum çevirmenliği yapanların, farklılıkların hak ve özgürlüklerine saygı içerisinde hizmet sunması beklenmektedir. Ayrıca görev sınırlarını bilerek ve tarafsızlık içerisinde işlevini yerine getirmesi etik bir zorunluluktur.

Bir toplumun, kendinden sonra gelen yeni üyelerine bırakacağı en büyük miras kendi kültürüdür. Kültürün dinamik bir olgu olduğu düşüncesinden hareketle, farklı kültürlerin bir arada olduğu coğrafyalarda yaşanan ortak gelişmeler sonucunda yeniden yorumlanması ve düzenlenmesi kaçınılmaz hale gelmektedir. Bu anlamda kültür, sürekli olarak iletişime ve etkileşime açık bir olgudur.

Kültürel değişimler ve ya etkileşimler tarihsel süreç içerisinde oluşan kültürlerin temel yapısını değiştirmesi olası değildir. Yani her kültürün kendine özgün bir yapısı vardır. Farklı kültürlerin bir arada olması, bir kültürün baskın olması değil ve ya kültürlerin temelden değişimi değildir. Kültürlerarası iletişimin temel sorunu “anlamadır”. Farklı olan kültürün yok sayılmadan kendi temel değerleri içerisinde yorumlanması ve anlaşılması oldukça önemlidir. Başkasını ve kendini anlama konuda Tosun ve Akın şöyle düşünmektedir.

*Farklı kültürlere sahip toplumların yoğun kültürlerarası iletişim ve etkileşim içinde olduğu günümüzde, geleneksel yorumbilim çalışmalarının kültürlerarasılığı açıklamada yetersiz kaldığı kabul edilir. Toplumlararası etkileşimlerin artmasının yanı sıra, bir toplumun kendi içinde barındırdığı farklı kültürel geçmişlere sahip ve çeşitli sebeplerle kendi topraklarından uzaklaşmış olan bireylerin, oldukça fazla sayıda olması nedeniyle, anlama kuram ve yöntemlerinde sadece kendi kültürel miraslarının değil, yabancı olanın da dikkate alınması taleplerinin artmasına yol açmıştır (Tosun & Akın, 2021: 5).*

Farklı kültürlerin buluşması ve sonucunda ortak yaşamın oluşmasının temelinde birbirini anlama yatmaktadır. Farklılıkların birbirini anlamalarını, her iki dilin kaynağı kültürleri tanıyan ve onlara ortak bir yol gösterecek Toplum çevirmenliği sağlayacaktır. Kültürlerarasılık bağlamında oluşacak zenginliğin kaynağı Toplum çevirmenliğidir. Toplum çevirmenliği, ortak yaşam anlayışı kazandırırken, farklılıklar arasında güven oluşmasını ve yaşam kalitesinin yükselmesine yardımcı olmaktadır. Diğer bir taraftan kültürlerarasılık düşüncesi, düşünsel anlamda farklılıkların gelişmesine katkı sunmaktadır. Böylece kültürel zenginliklerle yetişen bireyler, bilgi ve becerileri yüksek, yenilikleri açık nitelikli bir dünya vatandaşı olacaktır. Bunun da mimarı kültürlerarası iletişimin mimarı Toplum çevirmenliğidir. Bu anlamda Tosun & Doğan şöyle düşünmektedir.

*Kültürlerarası iletişimin ortak dili olan çeviri, evrensel nitelikte yetişen bireylerden oluşan toplumların bir arada yaşamalarına katkı sunacaktır. Ayrıca farklı kültürlerin birbirlerini anlamaları sonucunda dünyaya farklı pencerelerden bakarak değerlendirme yapan kültürlerarası toplumsallaşmış bireyler yetişecek ve kültürlerarası iletişimin mimarları olacaktır. Bu yolla gelecekte kültürler arasında doğabilecek sorunların giderilmesi mümkün olacaktır (Tosun & Doğan 2021: x).*

Toplumların kendi kültürlerini koruyarak başak kültürleri tanımaları ve onları anlamaya çalışmaları, karşılıklı güvenin oluşmasını sağlayacak ve birlikte yaşamın kalitesini arttıracaktır. Kültürlerarasılık kavramının oluşmasının temelinde dillerin ve kültürlerin bulunduğu Toplum çevirmenliği yatmaktadır.

## 5. SONUÇ

Toplum ve birey açısından kültür aktarımı yaşamsal bir olgudur. Her bir birey böylece toplumun bir üyesi olmaktadır. Bireyin kendi toplumunun içerisinde yaşanan bu kültüre iletişim ve etkileşimi, onun topluma kabul edilmesinin tek kaynağıdır. Diğer taraftan insanlık tarihi ile başlayan farklı kültürlerle de iletişim ve etkileşim çeşitli nedenlerle dayalı olarak olmuştur. Özellikle bugünün dünyasında yaşanan her alandaki hızlı gelişmelerin sonucu, farklı kültürlere sahip toplumların etkileşimini daha kolay ve etkili kılmaktadır.

Kültürlerarası iletişim en temel aracı dildir. Dilin, insanlar arasında bir anlaşma aracı olduğu düşüncesinden hareketle, farklı dillerin konuşulduğu dünyada çeviri eyleminin önemi yadsınamaz. Kültürel etkileşimleri yaşandığı bu çağda çeviri eylemi, farklı dillerarası aktarım aracı olmanın yanı sıra, farklı kültürlerarasında da bir anlaşma aracı haline gelmiştir. Bu bağlamda çeviri eylemini gerçekleştiren kimselerin, aracı oldukları her ki dil ve kültürü çok iyi tanımaları beklenmektedir. Ancak bu şekilde, farklılıkların bir arada uyumlu, barış içerisinde ve karşılıklı anlayış çerçevesinde yaşamlarını sürdürmeleri olasıdır.

Uluslararası hareketliliğin oldukça yoğun yaşandığı, medya ve göçün çok etkili bir şekilde toplumları etkilediği bugün, çeviri ve toplumbilim işbirliğini zorunlu hale getirmiştir. Çevirinin 1980’li yıllarda paradigma değişimi ile birlikte, bağımsız bir bilim dalı haline gelmesi, çeviriye sosyo- kültürel anlamda büyük görevler yüklemiştir. Farklı kültürlere sahip toplumların, farklı coğrafyalarında dilsel ihtiyaçlarını, kültürel özgünlüklerini bozmadan sürdürebilmeleri için, sözlü çevirinin bir türü olan Toplum çevirmenliği ortaya çıkmıştır.

Toplum çevirmenliği, farklı kültürlerin herhangi bir nedenle geçici olarak bir araya geldiği ortamlarda, farklı dil ve kültürlerle sahip kimselere öncelikle kamu hizmetlerinden faydalanabilmeleri yönünde hizmet vermiştir. Fakat farklılıkların sürekli olarak birlikte yaşamak durumunda kalan farklı kültürlerin, arasında bir anlaşma aracı şeklinde hizmet vermiştir. Kültürlerarasılık kavramı, kültürlerarasında diyalogun sağlanarak birbirlerini anlamak ve güven içerisinde ilgili coğrafyada varlığını sürdürmek anlamında kullanılmaktadır. Bu bağlamda Toplum çevirmenliği, kültürlerarası iletişimin tek yoludur.

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## 20. Yüzyıl Üretim Sistemlerinden Dijital Kapitalizme Dönüşüm Süreci

Dr. Öğr.Üyesi Duygu Yücel<sup>1</sup>

<sup>1</sup>Trakya Üniversitesi / Edirne Sosyal Bilimler Meslek Yüksekokulu, Muhasebe ve Vergi Uygulamaları,  
duyguyucel@trakya.edu.tr , ORCID: 0000-0002-2665-6732

**Özet:** Kapitalist sistemin itici gücü olarak karşımıza, tüketim olgusu çıkmaktadır. Başlarda sadece ihtiyaçları gidermek için yapılan tüketim davranışı, sonradan farklı boyutlara ulaşmış ve tüketim çılgınlığına dönüşmüştür. Varlığını tüketime bağlayan kapitalist düzen ise bu dönüşüme destek olmakta ve sistemin tıkanma süreçlerinde farklı ihtiyaçları ortaya çıkaran hedonist istekleri kamçulamaktadır. Bu şekilde tüketim davranışları değişmekte ve sistem bu dönüşümden beslenmektedir. 20. Yüzyıldan günümüze değin kapitalist sistem farklı üretim sistemlerini harekete geçirerek, kendisine gelişme ve genişleme alanı oluşturmuştur. 1900'lerden 1970'lere kadar geçen sürede, temellerini Taylorist İş Organizasyonundan alan Fordist Üretim Yöntemi, sistemin temel taşıını oluşturmuştur. Emek kavramını ikincil plana alan ve sermaye birikimini arttırmayı amaçlayan Fordist Üretim, 1970'lere gelindiğinde tüketim tercihlerinin değişmesi, kitlesel üretimin doygunluğa ulaşması, uluslararası rekabetin yoğunlaşması nedeniyle krize girmiş ve yerini Post-Fordizm Üretim Yöntemine bırakmıştır. Post-Fordizm Üretim esnek üretim, esnek ve çok işlevli emek özellikleri ile ön plana çıkmaktadır. Kitlesel üretim yerine, farklılaşmış tüketim tercihlerine yanıt veren küçük ölçekli üretim tarzını benimsediği için dönemin ihtiyaçlarını tatmin eden bir model olmuştur. Ancak Kapitalist düzende 20. Yüzyılın sonlarından itibaren enformasyon ve inovasyona dayalı bir sistemin oluşumunun başladığı görülmektedir. İnovasyon, bilişim ve yüksek teknoloji gerektiren üretim modellerine yönelme, kapitalist sistemin dijital bir dönüşüm geçirmesine neden olmuştur. Yaşanan teknolojik gelişim tüketim davranışlarının da değişmesini sağlamış ve kapitalizm yeniden kendisini evirerek yaşam alanı bulmuştur. Dijital kapitalizm, inovasyona dayalı dijital üretim sistemlerine geçmesine rağmen, klasik kapitalizm özelliklerini de aynen devam ettirmektedir. Sistem yüksek kâr ve yüksek sermaye birikimi anlayışına dayanan piyasa mekanizmasına göre hareket etmekte olup, emek bu sefer dijital sistemde görünmez olmuştur. Çalışma 20. Yüzyıl üretim sistemlerinde meydana gelen dönüşümü teorik anlamda açıklama amacını içermektedir.

**Anahtar Kelimeler:** Fordizm, Post-Fordizm, Kapitalizm, Dijital Kapitalizm, Üretim Sistemleri.

### Transformation Process from 20th Century Production Systems to Digital Capitalism

**Abstract:** The phenomenon of consumption emerges as the driving force of the capitalist system. Consumption behavior, which was initially made only to meet the needs, later reached different dimensions and turned into a consumption frenzy. The capitalist order, which binds its existence to consumption, supports this transformation and stimulates hedonist demands that reveal different needs in the system's blockage processes. In this way, consumption behaviors change and the system is fed by this transformation. From the 20th century to the present, the capitalist system has created an area of development and expansion by activating different production systems. From the 1900s to the 1970s, the Fordist Production Method, which took its foundations from the Taylorist Work Organization, formed the cornerstone of the system. Fordist Production, which took the concept of labor into the secondary plan and aimed to increase capital accumulation, entered a crisis in the 1970s due to the change in consumption preferences, the saturation of mass production, and the intensification of international competition, and left its place to the Post-Fordism Production Method. Post-Fordism Production stands out with its flexible production, flexible and multifunctional labor characteristics. It has been a model that satisfies the needs of the period, as it adopts a small-scale production style that responds to differentiated consumption preferences instead of mass production. However, in the capitalist order, it is seen that the formation of a system based on information and innovation has started since the end of the 20th century. The tendency towards production models that require innovation, informatics and high technology has caused the capitalist system to undergo a digital transformation. The technological development experienced also changed the consumption behaviors and capitalism found a living space by evolving itself again. Despite the transition to digital production systems based on innovation, digital capitalism still maintains the same characteristics of classical capitalism. The system acts according to the market mechanism based on the understanding of high profit and high capital accumulation, and this time, labor has become invisible in the digital system. The study includes the purpose of theoretically explaining the transformation that occurred in the 20th century production systems.

**Keywords:** Fordism, Post-Fordism, Capitalism, Digital Capitalism, Production Systems.

### 1. GİRİŞ

Yaklaşık olarak 16.Yüzyılda ortaya çıkan Kapitalizm çağlar boyunca ekonomik, sosyal ve kültürel değişimlerden, ihtiyaçların farklılaşmasından, tüketici davranışlarından etkilenmiş ve kendisine yeni yaşam alanları bulmaya çalışmıştır. Sistemin bünyesinden kaynaklanan krizler yine sistemin farklı sürümlerinin oluşmasına neden olmuştur. *Serbest Piyasa Ekonomisine*, üretim faktörlerinin özel mülkiyetine ve kâr güdüsüne dayalı olan kapitalizm, sisteme ayak uydururken kendi özünden asla sapmamıştır. Sermaye birikimi, verimlilik, ücretli işgücü, piyasa rekabeti ve fiyat unsuru Kapitalizmin ana belirleyicileri olmuştur. Kitlesel üretimin tıkanması, global



ekonomik düzenin inşası, bilgi ve iletişim teknolojilerindeki gelişimle başlayan dijital ekonomi ve bilgi toplumu kapitalist sistemi yeni üretim modelleri arayışına itmiştir. Kapitalizmde Fordist, Post-Fordist ve teknolojik-biyoteknolojik ürünlere dayalı üretim ve sermaye birikim modelleri şeklinde evrimleşme gerçekleşmiştir.

Çalışmada bu kavramlar incelenmeye ve kapitalist dönüşümün evreleri gözden geçirilmeye çalışılmış.

## 2. KAPİTALİZM KAVRAMI

16. Yüzyılda Batı Avrupa’da başlayıp ekonomik, sosyal ve politik gelişmelerle beraber tüm dünyaya yayılan kapitalist sistemin birçok tanımı yapılabilir. Her şeyden önce kapitalizm bir özel mülkiyet girişimi mi yoksa Sanayi Devrimi’nin bir sonucu mu? Kâr güdüsü ya da rekabet duygusu ile gerçekleştirilen bir sistem mi? Aslında bunların hepsi kapitalizm için geçerli olgulardır.

Kapitalizm genel olarak, serbest rekabet piyasası ve kâr güdüsü ile karakterize edilen, malların üretim ve dağıtım araçlarının özel mülkiyetine dayanan ekonomik bir sistem olarak düşünülebilir. Ancak kapitalizm için daha köklü ve daha nüfus edici tanımlar da yapılmaktadır. 18. Yüzyıl filozoflarından olan, modern ekonominin kurucusu Adam Smith (1999) *Ulusların Zenginliği* isimli kitabı ile *doğal özgürlük sistemi* olarak adlandırılan sistemin nasıl ortaya çıktığını açıklamış ve ticari kapitalizme göndermede bulunmuştur. Smith’in temelde basit olan yasaları, bireysel çıkarların rekabete nasıl yol açacağını, bu rekabetin istenilen malın, istenilen miktarda ve ödemeye razı olunan fiyatlarla nasıl alınıp satılacağını göstermektedir. Douglas (1919) kapitalizmi, “*Kapitalizm kesinlikle bir yönetim sistemi değildir: Çabaya göre fiyatları sabitleme sistemidir*” şeklinde tanımlamış ancak yönetim sistemleri ve çalışanların ise kapital sistemde yaşanan radikal değişikliklerden derinden etkileneceğini ifade etmiştir. Werner Sombart (1927) ise kapitalizmi sadece ekonomik boyutuyla değil, başlangıç ve gelişim olarak tarihsel bir perspektifte değerlendirmiş ve tüm hümanist kalıpları ve renkleriyle birlikte modern uygarlığın karmaşık dokusunun ayrılmaz bir parçası olarak görmüştür. Max Weber ve Ernst Troeltsch tarafından desteklenen analitik görüşe göre kapitalizm, beklenen dönemsel getirilerin temettüleri veya faiz ödemeleri biçiminde hesaplanmış bir değerlendirmesinden ve bu getirilerin mevcut bir toplu para cinsinden denkleminden oluşmaktadır. Pragmatik bir görüşe göre ise, kapitalizm, yalnızca gelir değil, aynı zamanda orijinal yatırımda bir artış yaratmak için üretici veya dağıtım ajanslarının örgütlenmesinden oluşmaktadır. Bu görüş A. Smith tarafından da öngörülmektedir (Tausch, 1935: 222). Marksistler bir zorlama sistemi olarak düşündükleri kapitalizmi, üretim araçlarına sahip olan ve olmayan sınıflar arasındaki özel bir ilişki olarak tanımlamaktadır. Yalnızca kapitalistler üretim araçlarına sahip olabildikleri, işçi sınıfı da üretimin devamını ve kapitalistlerin hayatta kalabilmelerini sağlamak için çalışmaya zorlanmaktadır (Kaan, 2005: 69). Bir diğer tanıma göre “*Kapitalizm, tüm mülklerin özel mülkiyete ait olduğu mülkiyet hakları da dâhil olmak üzere bireysel hakların tanınmasına dayanan bir sosyal sistemdir.*” (Rand, 1968: 28). Tanımlardan anlaşılacağı üzere özel mülkiyet, bireylerin kendi çıkarları doğrultusunda hareket etmesi, piyasaya giriş-çıkış özgürlüğü yoluyla gerçekleşen rekabetin toplum refahını sağlıyor olması, fiyatları belirleyen bir piyasa mekanizmasının varlığı, tüketim-tasarruf-yatırım özgürlüğü ve hükümetin sınırlı rolü kapital sistemin dayanaklarını oluşturmaktadır.

Kapitalizm, üretimin organize edilmesi açısından iki farklı gruba ayrılabilir. Bunlardan ilki rekabetçi piyasanın hâkim olduğu, üretim sürecinin serbest piyasa mekanizmasına bağlı olduğu *Liberal Piyasa Ekonomileridir*. İkincisi ise sendikalar gibi piyasa dışı kurumlar aracılığıyla özel bilgi alışverişinde bulunulan *Koordineli Piyasa Ekonomileridir* (Jahan & Mahmud, 2017: 2). Geçmişten günümüze değin meydana gelen değişimler ışığında kapitalist sistem, üretim odaklı yeni modelleri benimsemiştir.

## 2. KAPİTALİST ÜRETİM SİSTEMLERİ

Satılğan’ın (2012: 40) ifadesi ile “*Kapitalist üretimin biricik amacı sürekli olarak değer üretimidir.*” Kâr güdüsü ile hareket eden bu sistemin en temel özelliği rekabet unsurudur. Sermayedar piyasada kalabilmek ve rekabetini devam ettirebilmek için sürekli üretim artışı yaratmalı, dev yatırımlar yapmalı ve maliyet arttırıcı yatırımlardan kaçınmalıdır.

Kapitalist ekonomik sistem yıllar boyunca meydana gelen değişimlere meydan okuyarak ayakta durmakta, kendini yenileyebilmekte ve gelişimini sürdürebilmektedir. Sistemin oluşturduğu üretim modelleri de bu değişimlerden nasibini almaktadır. Sistem hem var olan ihtiyaçlara cevap vermekte hem de yeni ihtiyaçlar yaratarak ekonominin harcama yönünü beslemektedir. Erken kapitalist dönem sonrasında 1914’lerde seri üretimi temsil eden Fordist üretimle başlayan süreç 1970’lere gelindiğinde esnek üretimi ifade eden Post-Fordist üretim sistemine geçmiştir. Teknoloji ve bilişim sistemlerindeki ilerleme ise kapitalizmi dijital üretim sistemlerine dönüştürmüştür. Alt başlıklarda kapitalist üretim sürecinin geçirdiği evreler açıklanmaya çalışılmıştır.

## 2.1. Erken Dönem Kapitalist Üretim Sistemi

Kapitalist sistemden önce tarıma dayalı bir üretim sistemi benimsenmiş olup tarımsal faaliyetler sadece temel ihtiyaçların karşılanması için yapılmıştır. Sistemde emekçi sınıf, toprak sahibi olan derebeylerin yanında çalıştırılmış, onların vermeyi kabul ettikleri ücretlerle yetinmek zorunda kalmışlardır. (Bierman & Arno, 2007: 56).

Erken kapitalizm, Merkantilist ve Fیزیokrat düşüncesinin etkisi altında gelişimini oluşturmuştur (Aydemir & Güneş, 2006: 145). Üretkenliğin az, kâr hırsının çok olduğu bu dönemde tarım ile beraber ticari kapitalizm, ekonomik ahlakın görünmez olmasına yol açmıştır (Çelik & Dağ, 2017: 55). 16. yüzyılda başlayan Avrupa dışında gerçekleştirilen ilk fetihler ve sömürgecilikle birlikte Merkantilist Kapitalizm gelişmeye başlamıştır. Dünya üzerindeki kaynakların paylaşılma hırsı, özellikle Amerika kıtasından getirilen altın ve gümüşler Batı Avrupa'da ticaretin gelişmesinde büyük rol oynamış ve ticari kapitalizmin çıkışına ön ayak olmuştur (Bierman & Arno, 2007). Sermaye birikiminin artan önemini hissedildiği bu dönemde sermaye sınıfı kendi çıkarları için çalışmaya başlamış, bireysel davranışlar ön plana çıkmıştır.

## 2.2. Fordist Üretim Sistemi

Fordist üretim yapısı *örgütlü kapitalizm* denen sürecin üretim yapısını ifade etmektedir. 1870'lerden II. Dünya Savaşının sonuna kadar geçen süre kapitalizmin örgütlenmesini sağlamıştır. Örgütlü kapitalizmde çoğunlukla ulus-devlet kimliği etrafında, kitlesel ve sanayi merkezleri odaklı üretim faaliyetlerinin yapılmıştır (Aytaç ve İlhan, 2008: 185).

Temelini 1911'de *Bilimsel İş Yönetiminin İlkeleri (The Principles of Scientific Management)* adlı kitabın yazarı olan Amerikalı mühendis Frederick Winslow Taylor'un (Asunakutlu & Coşkun, 2005: 160) oluşturduğu Taylorist ilkelerden alan Fordist Üretim, kapital sistemin temel taşı olarak kabul edilmektedir. Taylorist ilkelerin temelinde *zaman ve enerjiden daha fazla yararlanılarak verimlilik artışının sağlanması* gelmektedir. Makineler ile birlikte emeğin etkin kullanımı, kaynakların rasyonel kullanılması, iş organizasyonu ve hiyerarşik düzen, Taylorist yönetimin temelini oluşturmaktadır. Yorulma ve benzeri insani değerlerin göz ardı edildiği sistemde diğer en önemli unsur ise *iş ölçümü* kavramının oluşturulmuş olmasıdır. 19. Yüzyılın başlarında Henry Ford'un otomobil fabrikasında ortaya çıkan *mikro ölçekli seri üretim modeli*; teknik iş bölümünün uygulandığı, standartlaştırılmış ürünlerin üretildiği, montaj hatlarının ve senkronize fabrikaların kullanıldığı bir modeldir (Hudson, 2009; Lovering, 2009). Büyük miktarlarda gerçekleştirilecek olan kitle üretimi yine büyük miktarlarda kitle tüketimi ile desteklenmektedir (Selçuk, 2011: 4132). Sistemde montaj yapan işçinin iş süresinin ölçülmesi, iş verimliliği için belirleyici bir unsurdur. Dolayısıyla kurulan *hareketli montaj hatları* sayesinde, işçinin sabit durmasını sağlayarak iş süresini kısaltmak ve bu sayede üretimde verimliliği sağlamak amaçlanmıştır. Yüksek üretimi ve büyük pazarlara satışı amaçlayan, mümkün olduğunca zamandan ve maliyetlerden tasarruf sağlayan, işgücünde nitelik aramayan, kesintisiz üretim yapan bu sistem, insani ihtiyaçları görmezden gelmiştir. 1970'li yıllara kadar uygulanan ve oldukça başarı elde eden model, tüketici tercihlerinde meydana gelen değişim ve talepte oluşan daralmalar nedeniyle sektöre uğramaya başlamış ve yerini tüketici odaklı esnek üretim modeline bırakmıştır.

## 2.3. Post-Fordist Üretim Sistemi

Özellikle kitlesel üretimde meydana gelen kriz örgütlü kapitalizmin de sonunu getirmiştir. Yeni dönem globalleşme sürecine denk gelmekte, üretim ve tüketim anlayışı değişmekte ve kapital sistem tekrar oluşan bu yeni dönüştürme adapte olmaktadır. Teknolojide, bilgisayar alanında, telekomünikasyonda yaşanan gelişmeler kapitalist üretim sisteminin yeniden şekillenmesini sağlayarak, merkezileşmiş üretimden global çapta ve küçük ölçekli verimli üretim yapısına dönüşümü mümkün kılmıştır.

Örgütsüz kapitalizm (Post-Fordizm, Yeni Kapitalizm, Geç Kapitalizm, Geç Modernlik) adı verilen bu yeni dönem, kitlesel üretim yerine daha esnek üretimi benimseyen, kapital ahlâkı ön plana çıkaran Post-Fordist Üretim Sistemini benimsemiştir (Aytaç ve İlhan, 2008: 185-186). Öncelikle Japonya'da ortaya çıkmış olan model elde ettiği başarılar sonrasında tüm kapitalist ülkelerde uygulanmaya başlanmıştır. Genel bir tanımı olmasa da Saklı (2003: 114) Post-Fordist Üretim Sistemini "*tüketim taleplerini karşılayabilmek için üretimin esnek bir modelde yerine getirildiği, işgücü ve makineleşmede esnek uzmanlaşmanın sağlandığı, bilgi ve iletişim teknolojilerinin üretimde yaygın olarak kullanıldığı bir üretim ve birikim rejimi*" şeklinde tanımlamıştır. Standartlaştırılmış kitlesel üretim tarzı Post-Fordizm ile beraber, tüketicilerin zevk ve tercihlerinin ön planda tutulduğu, çeşitlendirilmiş talebe cevap verecek farklı ürünlerin üretildiği, global ve bölgesel piyasaları hedefleyen bir modele dönüşmüştür (Şahin, 2020: 252). Küçük ölçekli firmaların küçük ölçekli fakat yüksek katma değerli farklılaştırılmış ürünler üretmesi, vasıflı, yarı vasıflı ya da deneyimli işçilerin çalıştırılması, zengin pazarların hedeflenmesi (Törenli, 2003: 195) sistemin diğer özellikleri arasında yer almaktadır. Esnek üretim, takım çalışması, grup üretimi, çoklu beceriler/görevler (Mondal), stoksuz çalışma, beyaz yakalı işgücü, çok uluslu şirketler ve esnek uluslararası

işbölümü, esnek uzmanlaşma ve esnek örgüt yapısı (Dağdelen, 2005) sistemi karakterize eden özelliklerdendir. Fordist ve Post-Fordist üretim modellerini birbirinden ayıran temel farklılıklar Tablo 1’de gösterilmiştir.

Tablo 1: Fordist ve Post-Fordist Üretim Sistemlerinin Üretim-Tüketim Açısından Karşılaştırılması

Fordist Sistem	Post-Fordist Sistem
Kitlesele üretim ve kitlesele tüketim	Bireysele üretim ve tüketim
Tüketimin herkesi eşit düzeye ulaştırması	Tüketimin bireyleri farklılaştırması
Üretimde merkezi ve Taylorist yönetim anlayışı	Esnek örgütlenme ve bilgisayar destekli mobil çalışma
Vasıfsız çok sayıda işçilele üretim	Yüksek vasıflı işçilerle üretim ve daha az sayıda işçi
Dikey yapılanma ile üretim	Yatay yapılanma ile üretim
Ulus devlet merkezli örgütsel yapılanmaya dayalı üretim	Global ölçekte, şirket merkezli yapılanmaya dayalı üretim

Kaynak: Sarı, 2019: 563.

Aslında Fordizm modern toplumu simgeleyen bir üretim süreci ise Post-Fordizm de postmodern toplumun özelliklerini yansıtan bir sitemdir. Toplumda meydana gelen değişim süreci tüketim ve dolayısıyla üretim kalıplarını da değiştirmektedir. Kapitalist sistem kâr durumunu daha da arttıracak yeni eğilimler geliştirmektedir. 4. Sanayi Devrimi olarak da adlandırılan yeni dönem dijitalleşme, ileri elektronik ve bilgi teknolojilerinin kullanımı, akıllı fabrikaların kurulması, üretim süreçlerinin otomasyonu ve en nihayetinde üretimin dijital hale gelmesi kapital sistemi tekrar uyum sürecine sokmuş ve daha verimli ve daha kârlı iş modellerinin kurulmasının önünü açmıştır.

### 3. DİJİTAL KAPİTALİZM

2000’den bu yana teknolojide yaşanan hızlı gelişim, bir dijital devrim niteliği taşımaktadır. Bu devrim, kitlesele üretimi temsil eden Fordist Üretim ve esnek üretimi temsil eden Post-Fordist Üretim Modellerinden daha farklı bir bakış açısı geliştirmiştir. İleri teknoloji, inovasyon ve yaratıcılık, geleneksel işleri ve geleneksel işgücünü safdışı bırakmış ve bunların yerine *dijital üretim sektörleri* ve *sınıfsız dijital emek türünü* (Büyükuslu, 2017: 5) koymuştur. Diğer bir değişle yeni dönem, AR-GE faaliyetlerine ağırlık veren, ileri teknoloji kullanan işkollarının, yüksek vasıflı işgücünün doğmasına yol açmıştır. Dijital teknolojiler ekonomik, sosyal, kültürel alanlarda, finansal sektörlerde, kurumsal yapılarda, sağlık ve eğitim sistemlerinde, iş yöntemlerinde, mesleklerde dahası hemen her alanda köklü değişimlere neden olmuştur. Yaşanan dönüşüm sürecinde gelişen dijital ekonominin olası ekonomik etkileri Tablo 2’de gösterilmiştir.

Tablo 2: Dijital Ekonominin Ekonomik Yansımaları

Konu	Köklü Değişim Olduğu İleri Sürülen Alanlar
Verimlilik-Teknoloji	Büyüme Oranında Artışlar, Verimlilik Gösterge Hatalarında Azalma
Küreselleşme	Sermayenin Hareketliliğinin Artması, İşgücü Rekabetinin Artması, Mal Piyasalarında Rekabetin Artması
Enformasyon Çağı	Enformasyon Üretimi, Artan Getiriler, Bilgi İşçileri, Düşük Dağıtım Maliyetleri, Kitle Tüketimciliği
Şebekeler	Enformasyon Akışında Artış, Şebeke Dışsalıkları, Artan Getiriler
Borsalar	Yatırımcılarda Değişim, İşlem Hızında Artış, Downsizing ve Yeniden Mühendislik, Bilgisayarlar ve EKT
Yönetim	Bilgi Yönetimi, Outsourcing, Envanterde Anında Stok Kontrolü, Müşavirlik Hizmetleri

Kaynak: Ata, 2009: 34.

Dijital teknoloji, dijital ekonomiye geçiş sürecini başlatmıştır. Dijital ekonomide en önemli unsurlar bilgi, inovasyon, yaratıcılık ve icad üzerine kurulu ekonomik oluşumlardır. Bilgi ve İletişim Teknolojilerine ağırlık veren, biyo-teknoloji ve dijital teknoloji tabanlı üretim modelleri uygulanmaya başlanmıştır. Bulut, büyük veri, yapay zekâ, robotik, nesnelerin interneti, 3D yazıcılar, geniş bant internet, akıllı fabrika, makine-makine iletişimi, makine-insan iletişimi, sensörler sistemin önemli mekanizmalarından bazılarıdır.

Ekonomide yaşanan dönüşüm karşısında kapitalist sistem de yeni üretim, kalkınma ve sermaye birikim modelleri geliştirerek, dönüşüme ayak uydurmuştur. Dijital Kapitalizmde devletlerin üretim süreçlerinde bilgi teknolojilerini kullanmaları ön koşul haline gelmiştir (Akçoraoğlu, 2019: 531). Bunun için üretim sürecinin başından müşteri teslimine kadar geçen tüm aşamalarda elektronik bilgi ve iletişim altyapısının dijital ekonomiye uygun bir şekilde dönüştürülmesi gereklidir (Demirkaya & Koyuncu, 2021: 178).

Dijital Kapitalizm aslında özü itibarıyla bilinen kapitalizm ile aynıdır sadece yeni bir aşamasıdır (Öztürk, 2020: 281). Sistem teknolojik gelişmelerden yararlanmakta, global ekonomiye yön vermekte ve kendi menfaatlerini ön planda tutmaktadır. Bu süreçte dijital ekonominin sermaye sınıfını *yenilikçi teknolojik ürünlere dayalı sermaye birikim modeli* oluşturmuştur. Ayrıca dijital teknoloji sayesinde gelişen internet ağı ise *dijital sermaye sınıfını* (Büyüksulu, 2017: 2-3) yaratmıştır. Emek, üretim, tüketim ve kâr güdüsü aynıdır. Sadece uygulama biçimleri farklıdır. *Bilgi işçiliği* (Gümüştekin vd., 2013: 282) ve *gayri maddi emek* (Kayın, 2019: 44) şekline bürünen emek faktörü sadece dijitalleşmiştir. Ancak emek üzerindeki sömürü de ortadan kalkmış değildir.

Yeni süreçte karşımıza çıkan bir diğer özellik, dijital kapitalizmin büyümesine destek veren kapital şirketlerin birçoğunun *oligopol* yapılanma içerisinde faaliyet göstermekte olduğudur. Oluşan yüksek kâr, piyasanın çekiciliğini arttırmaktadır. Özellikle bu şirketler bilgi iletişim teknolojilerini kullanan, internet dolaşım ağına hâkim olan, içerik-donanım üreten ve piyasaya yön veren aktörler durumunda bulunan şirketlerdir. (Demirkaya & Koyuncu, 2021: 179).

Dijital kapitalizm ışığında ileri teknolojik bilgi düzeyi içeren yeni meslek grupları da oluşmaya başlamıştır. Bilgi Teknolojileri (BiT) danışmanlığı, e-ticaret, e-iş, donanım ve yazılım şirketleri, bilgisayar/video oyunu tasarımcılığı, sosyal medya uzmanlığı, dijital avukatlık, mobil uygulama geliştiriciliği, dijital pazarlama yöneticiliği, içerik sağlayıcılık, gerçeklik yöneticiliği ve daha birçok örnek verilebilir. Aynı şekilde finansman alanında da FinTech olarak bilinen dijital dönüşümler yaşanmaya başlamıştır. Sigortacılık alanında InsurTech denen yapılanmalar söz konusudur. Ayrıca sanat alanında da *kripto sanat* olarak nitelendirilen bir başka dönüşüm örneği olan NTS'ler (Değişirilemez Token) karşımıza çıkmaktadır. NTS'ler günümüzde koleksiyonerler ve yatırımcılar için vazgeçilemez bir pazar yaratmıştır.

#### 4. SONUÇ

Gelişim süreci içinde modern, postmodern ve dijital dönem olarak nitelendirebileceğimiz süreçlerde kapital sistem, dönemine uygun üretim ve birikim modelleri geliştirmiş ve varlığını korumuştur. 1914'lerden 1970'lere kadar Fordist üretim yapısı geliştirilmiş ve vasıfsız işçilerin üretim bandı aracılığı ile standart kitlesel üretimler gerçekleştirmeleri sağlanmıştır. Hiyerarşik yönetim yapısının geçerli olduğu sistemde işgücü makine ve teçhizatın bir parçası halindedir. Kitlesel üretime denk bir kitlesel tüketim söz konusudur. Global ekonominin başgöstermesi, teknolojik gelişmeler, piyasalarda doygunluğun başlaması, tüketicimin farklılaşması gibi nedenlerle kitlesel üretimin krize girmesinin ardından, yeni bir üretim modeli olarak karşımıza Post-Fordist Üretim Modeli çıkmıştır. Tamamen tüketicilerin farklı tercihlerine ve ihtiyaçlarına odaklanan sistem esnek üretim, esnek uzmanlaşma modeliyle yeni bir çığır açmıştır. İşgücünün niteliği değişmiş, eğitim ve beceriye sahip vasıflılık özelliği taşıyan işgücü, klasik vasıfsız işgücünün yerini almıştır. Özünü koruyan sistem yine düşük maliyet, yüksek verimlilik ve kâr güdüsü ile hareket etmeye devam etmiştir.

Özellikle internetin icadından sonra teknoloji ve bilişimde yaşanan devasal boyutta ilerlemeler, endüstriyel gelişmenin hızla dönüşmesine neden olmuştur. Çoğu kez 4. *Endüstri Devrimi* olarak anılan bu yeni süreç, *Dijital Ekonomi* çağını başlatmıştır. Bilginin, yaratıcılığın, inovasyonun, biyoteknolojinin önemi gün geçtikçe artmış ve kapitalist sistem tekrar üretim modeli geliştirmek zorunda kalmıştır. Bilinen eski sanayi üretim yöntemlerini kullanan firmalar eğer bu hızlı gelişime ayak uydurabilirler ise hayatta kalabileceklerdir. Aksi durumda piyasada varlık göstermek zorlaşacak ve çekilmek zorunda kalacaklardır. Çünkü dijital ekonomik sistemin hakim olduğu *Dijital Kapitalizmde*, üretimin her aşamasında teknoloji ile eklemlenme süreci söz konusudur. Nesnelerin interneti, bulut bilişim, sensörler, yapay zeka ve robotlar, akıllı fabrikalar, makine-insan etkileşimi ve diğer birçok yeni uygulama biçimleri geliştirilmiş ve üretimin yapısı değişmiştir. Aynı şekilde tüketiciler için de durum farklı değildir. Farklı icadlar sayesinde yoğun teknoloji, hanekalklarının da günlük hayatına girmiştir. Tüketici tercihleri, satın alma faaliyetleri, dijital bankacılık gibi kullanıma giren ödeme şekilleri, dijital yatırım kanalları, dijital paralar, dijital görseller ve oyunlar davranış biçimlerini değiştirmiştir.

Sonuç olarak teknolojik gelişmenin devam etmesiyle birlikte, yeni teknoloji merkezli iş kolları, yeni işgücü sınıfı ve yeni tüketim davranışları da beraberinde gelecektir. Kapitalist sistem ise değişime ayak uydurarak devamlılığını sağlayacak ve muhtemelen özünden ayrılmayacaktır. Günümüzde olduğu gibi gelecekte de geleneksel üretim modelleri ve geleneksel üretim faktörleri yerlerini akıl, bilim, inovasyon, bilişim gibi yüksek

teknolojiyi destekleyen unsurlara bırakacaktır. Kültürel ve sosyal hayattaki değişim de ekonomik değişimi takip edecektir.

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## Türk Bankacılık Sektöründeki Mevduat Bankalarının Aralık 2018 – Eylül 2021 Dönemi Kredi Tercihleri

Doç. Dr. Erdal ARSLAN<sup>1</sup>

Dr. Öğr. Üyesi Ali BORA<sup>2</sup>

<sup>1</sup>Selçuk Üniversitesi, İktisadi ve İdari Bilimler Fakültesi, İktisat Bölümü, erdalarslan@selcuk.edu.tr,  
Orcid ID: 0000-0003-4892-2963

<sup>2</sup>Selçuk Üniversitesi, Sosyal Bilimler Meslek Yüksekokulu, Finans-Bankacılık ve Sigortacılık Bölümü,  
ali.bora@selcuk.edu.tr, Orcid ID:0000-0002-1766-0123

**Özet:** Geleneksel olarak bankalar fon fazlası olan kesimden bu fonu mevduat olarak toplayıp fon açığı olan kesime kredi olarak kullandıran ve bu işlemi yaparken de kullandığı kredinin geri dönmeme riskini üstlenen finansal araçlardır. Bankalar finansal kesimde en yüksek paya sahip finansal araçlar olurken krediler de fon ihtiyacı olan şirketler için birincil fon kaynaklarıdır. Bu çerçevede bankaların kredi tercihleri ekonomik faaliyetin yönünü belirlemektedir. Krediler temel olarak işletme sermayesi ve yatırım finansmanı için kullanılan KOBİ kredileri ile ticari ve kurumsal krediler; konut, taşıt ve ihtiyaç kredileri olarak kullanılan tüketici kredileri şeklinde gruplandırılabilir. Çalışmada, Aralık 2018 ile Eylül 2021 arasında Türk Bankacılık Sektöründeki mevduat bankalarının kullandığı kredilerdeki gelişmeler ve bankaların kredi tercihleri incelenmektedir. Aralık 2018'de kredilerin varlıklar içerisindeki payı %61 iken, Eylül 2021'de %56'ya gerilemiştir. Aralık 2018'de KOBİ kredileri ile ticari ve kurumsal kredilerin toplam krediler içerisindeki payı %79, tüketici kredileri ve kredi kartlarının payı %21 iken Eylül 2021'de KOBİ kredileri ile ticari ve kurumsal kredilerin toplam krediler içerisindeki payı %77'ye gerilerken tüketici kredileri ve kredi kartlarının payı %23'e yükselmiştir. Çalışmada, Türkiye Bankalar Birliği (TBB) ile Bankacılık Düzenleme ve Denetleme Kurumunun (BDDK) verilerinden yararlanılmaktadır.

**Anahtar Kelimeler:** Krediler, ticari krediler, kurumsal krediler, tüketici kredileri

### 1. GİRİŞ

5411 sayılı Bankacılık Kanununa göre banka türleri; mevduat bankaları ve katılım bankaları ile kalkınma ve yatırım bankaları olarak sayılmaktadır. Geleneksel olarak bankalar fon fazlası olan kesimden bu fonu mevduat olarak toplayıp fon açığı olan kesime kredi olarak kullandıran ve bu işlemi yaparken de kullandığı kredinin geri dönmeme riskini üstlenen finansal araçlardır. Bankalar finansal kesimde en yüksek paya sahip finansal araçlar olurken krediler de fon ihtiyacı olan şirketler için birincil fon kaynaklarıdır. Bu çerçevede bankaların kredi tercihleri ekonomik faaliyetin yönünü belirlemektedir. Krediler temel olarak işletme sermayesi ve yatırım finansmanı için kullanılan KOBİ kredileri ile ticari ve kurumsal krediler; konut, taşıt ve ihtiyaç kredileri olarak kullanılan tüketici kredileri şeklinde gruplandırılabilir. Aralık 2018'de kredilerin varlıklar içerisindeki payı %61 iken, Eylül 2021'de %56'ya gerilemiştir. Çalışmada, Aralık 2018 ile Eylül 2021 arasında özellikle mevduat bankalarının kullandığı kredilerdeki gelişmeler ve bankaların kredi tercihleri incelenmektedir.

### 2. TÜRK BANKACILIK SİSTEMİNDE BANKA TÜRLERİ VE KREDİLER

5411 sayılı Bankacılık Kanununa göre banka türleri; mevduat bankaları ve katılım bankaları ile kalkınma ve yatırım bankaları olarak sayılmaktadır (5411 sayılı Bankacılık Kanunu Md. 3). Buna göre mevduat bankası, kendi nam ve hesabına mevduat kabul etmek ve kredi kullandırmak esas olmak üzere faaliyet gösteren kuruluşlar ile yurt dışında kurulu bu nitelikteki kuruluşların Türkiye'deki şubelerini ifade etmektedir. Katılım bankası, özel cari ve katılma hesapları yoluyla fon toplamak ve kredi kullandırmak esas olmak üzere faaliyet gösteren kuruluşlar ile yurt dışında kurulu bu nitelikteki kuruluşların Türkiye'deki şubelerini ifade etmektedir. Kalkınma ve yatırım bankası ise, mevduat veya katılım fonu kabul etme dışında; kredi kullandırmak esas olmak üzere faaliyet gösteren ve/veya özel kanunlarla kendilerine verilen görevleri yerine getiren kuruluşlar ile yurt dışında kurulu bu nitelikteki kuruluşların Türkiye'deki şubelerini ifade etmektedir.

#### 2.1. Kredi Tanımı ve Türleri

5411 sayılı Bankacılık Kanunu Madde 48'e göre; bankalarca verilen nakdî krediler ile teminat mektupları, kontrgarantiler, kefaletler, aval, ciro, kabul gibi gayrinakdî krediler ve bu niteliği haiz taahhütler, satın alınan tahvil ve benzeri sermaye piyasası araçları, tevdiatta bulunmak suretiyle ya da herhangi bir şekil ve surette verilen ödünçler, varlıkların vadeli satışından doğan alacaklar, vadesi geçmiş nakdî krediler, tahakkuk etmekle birlikte tahsil edilmemiş faizler, gayrinakdî kredilerin nakde tahvil olan bedelleri, ters repo işlemlerinden alacaklar, vadeli

işlem ve opsiyon sözleşmeleri ile benzeri diğer sözleşmeler nedeniyle üstlenilen riskler, ortaklık payları ve BDDK'ca kredi olarak kabul edilen işlemler izlendikleri hesaba bakılmaksızın kredi sayılmaktadır. Krediler, kullandırılan ekonomik birime göre tüketici kredileri ve ticari krediler olarak ikiye ayrılabilir.

### 2.1.1. Tüketici Kredileri

Bankacılık Düzenleme ve Denetleme Kurumu (BDDK) tarafından çıkarılan Kredilerin Sınıflandırılması ve Bunlar İçin Ayrılacak Karşılıklara İlişkin Usul ve Esaslar Hakkında Yönetmeliğe göre **tüketici kredileri**; gerçek kişilere ait tasarruf mevduatlarına bağlı olarak kullandırılan kredili mevduat hesabı kredileri ile bankalar tarafından uygulanan tekdüzen hesap planlarına göre tüketici kredisi olarak izlenen krediler ve gerçek kişilere kredi kartları vasıtasıyla, ticari amaçlı olanlar hariç mal ve hizmet alımı için veya nakit olarak kullandırılan kredileri ifade etmektedir.

Tablo 1'e göre, bankaların tekdüzen hesap planında tüketici kredileri; konut kredileri, taşıt kredileri, ihtiyaç kredileri, konut teminatlı tüketici kredileri ve diğer gayrimenkul kredileri olarak sayılmaktadır (Tekdüzen Hesap Planı Hakkında Yönetmelik).

Tablo 1: Tek Düzen Hesap Planına Göre Tüketici Kredileri

14020	Tüketici Kredileri
140200	Konut Kredileri
140201	Taşıt Kredileri
140202	İhtiyaç Kredileri
140203	Konut Teminatlı Tüketici Kredileri
140204	Diğer Gayrimenkul Kredileri

Kaynak: Tekdüzen Hesap Planı Hakkında Yönetmelik, 1/8/2019 tarihli ve 30849 sayılı Resmi Gazete.

### 2.1.2. Ticari Krediler

Ticari kredi, işletme kredisi veya ticari ve sanayi kredisi olarak da isimlendirilmekte ve iş alemi için çok önemli bir fon kaynağını oluşturmaktadır. Ticari ve sanayi kredisi stok finansmanından teçhizat yatırımlarına ve perakende ticaretten üretime kadar geniş bir alanda kullanılmaktadır. Bu tür krediler ticari ve endüstriyel amaçlar için tek mal sahipliğine, ortaklıklara, şirketlere ve diğer ticari girişimlere verilen kredileri kapsamaktadır. Bireylere ticari, endüstriyel profesyonel amaçlar için verilen krediler de ticari kredi kapsamında sayılmaktadır. Şahsi yatırım ve harcama amacı için verilen krediler bu kapsamda sayılmamaktadır. Gayrimenkul teminatı ile verilen krediler, finansal kurumlara verilen krediler, tarımsal üretimi finanse etmek için verilen krediler ile çiftçilere verilen diğer krediler, şahıslara ev, aile ve diğer şahsi harcamaları için verilen krediler ticari ve sanayi kredileri kapsamının dışında tutulmaktadır. Ticari kredilerin ekonomik önemi iki açıdan incelenebilmektedir. Bunlardan birincisi banka aktiflerinin içerisinde ticari kredinin payı, diğeri ise şirketlerin fon kaynaklarında ticari kredinin payıdır. Bankacılık sektöründeki istatistikler incelendiğinde ticari kredilerin bankaların aktifinde önemli bir oranı olduğu görülebilmektedir (Federal Reserve Bank of San Francisco: 1).

Ticari krediler, ticari kesim tarafından büyük miktarda, genel olarak aşağıdaki amaçlar için kullanılmaktadır (Hempel and Simonson, 1991: 214):

- ✓ mevsimlik çalışma sermayesi,
- ✓ uzun dönemli çalışma sermayesi,
- ✓ ömrünü tamamlamış duran varlıklar ile değiştirilen yeni duran varlıkların alımı,
- ✓ ödeme yapısının değiştirilmesi için,
- ✓ ticari borçların azaltılması için,
- ✓ menkul kıymet ihraç edene kadar geçici ihtiyaçların karşılanması için.

## 2.2. Kredilerin Ekonomik Önemi

Finansal araçların, özellikle de bankaların varlıklarının nedeni bilgi sorunlarını çözmek ve hem kredi vererek hem de borçlunun davranışlarını kontrol ederek kredinin en verimli alanlara aktarılmasını kolaylaştırmaktır. Bankaların fon arz edene ile fon talep eden arasındaki aracılık işlevini yerine getirmekte yetersiz kalması, kredi akışının kesilerek

reel ekonominin tahrip edilmesi sonucunu ortaya çıkarabilecektir. Dünyada şirketlerin finansmanına hakim olan iki uç model bulunmaktadır. Bunlardan birincisi; piyasa esaslı sistem (market-oriented) denilen finansman modelidir. Bu sistemde şirketler sermaye piyasalarında, çoğunlukla yatırım bankaları ve aracı kurumlar kanalıyla menkul kıymet ihraç ederek doğrudan finansman sağlamaktadır. İkincisi ise; banka esaslı sistem (bank-oriented) denilen sistem olup şirketlerin finansmanının her aşamasında bankalar baskın rol oynamaktadır. Bu sistemde bankalar yalnız kredi ile değil iştirak yoluyla endüstri ve ticareti kontrol edebilmektedir (Karacan, 1997:73). Genel olarak küçük firmalar ağırlıklı olarak banka kredilerine bağımlı iken, büyük firmalar menkul kıymet çıkartma kabiliyetine sahiptirler (Booth and Chua, 1995: 53).

Banka kredilerinin ekonomiye etkilerine bakıldığında; banka kredisindeki azalış hem toplam talebi hem de toplam arzı etkileyerek ekonomik faaliyeti azaltmaktadır. Potansiyel toplam arz etkileri, azalan kredileme firmaları işçi çıkarmaya zorlayabilmekte ve yatırım planlarını geciktirmekte hem kısa hem de uzun dönemde üretimi azaltabilmektedir (Karacan, 1997: 84). Bir ekonomide, fonların dağılımının etkin bir şekilde gerçekleştirilmesi ile ekonomik kalkınma düzeyi arasında çok sıkı bir bağ bulunmaktadır. Ekonomik kalkınma ve büyüme, net reel aktif yatırımların toplamı ile yakından ilgilidir. Reel aktif yatırımların finansman kaynağı ise finansal sistemin aktardığı tasarruflardır. Tasarruflar ne kadar etkin ve ne kadar verimli alanlara kanalize edilirse, bir ülkenin ekonomik kalkınma düzeyi de o kadar artacaktır (Seval, 1990: 4).

Kredi arzına göre daha esnek olan kredi talebi, krediden beklenen faydaya ve kredi faiz oranına bağlıdır. Kredi talebini etkileyen faktörlerin başında faiz oranı gelmektedir. Uzun vadeli kredi talebi, faiz oranındaki değişimlere karşı esnektir. Yatırım ve kredi talebinin belirleyici değişkeni, faiz oranındaki değişimlerdir (Ünal, 1995: 5). Kredi düzeninin iki temel sorununu kredilerin sektörler ve bölgelerarası dağılımı ile kredi olanakları ve kredinin gerçek ihtiyaç sahibine kanalize edilmesi oluşturmaktadır. Gelişmekte olan ekonomilerde toplam banka kredileri içinde ticari krediler birinci sırada yer almaktadır (Ünal, 1995: 7).

Bankalarda ticari kredi miktarı ekonomideki olumsuz gelişmelerden sonra aniden düşmekte ve kredi verenler standartları gevşetmeye başlayana kadar bu durum devam etmektedir. Standartların gevşetilmesi ve bu gevşek standartların uygulanmasından sonra kredi miktarı oransal olarak artmaktadır. Kredi standartlarının sıkılaştırılması ile kredi arzı arasında bir ilişki bulunmaktadır. Kredi standartlarının sıkılaştırılmasıyla birlikte daralma dönemlerinde kredi talepleri düşmekte, bankalar da daha az kredi vermek istemektedirler. Genişleme döneminde ise kredi standartları gevşetilmekte, firmalar daha fazla kredi talep etmekte, bankalar da daha fazla kredi vermeyi istemektedirler. Kredi standartları iki sebeple ekonomik aktivitelerle bağlantılıdır. Kredi kullanılabilirliği, kredi verenin standartlarına bağlı olmakta, standartların sıkılaştırılması krediye bağlı olarak firmaların harcamalarını azaltmaktadır. Sıkılaştırılmış standartlar diğer yandan ekonominin yavaşlamasına da sebep olabilmektedir. Kredi standartları ile ekonomik aktivite arasında negatif korelasyon bulunmaktadır (Lown, Morgan and Rohatgi, 2000: 2-7).

Kredilerin ekonomiye yararları belirli maddeler halinde sayılabilmektedir (Öçal ve Çolak, 1999: 126):

- İşletmelerin kuruluşlarında, yaşamasında ve gelişmesinde en önemli etmendir,
- Mal stokunun en verimli ve yararlı şekilde kullanılmasında en büyük etkenlerden biridir,
- Gerekli araç-gereç, hammadde gibi üretim öğelerinin sağlanmasında mali destek oluşturur, verimin artmasında etkili olur, ulusal hasılanın yükselmesini sağlar,
- Ekonomik hayatın öğeleri olan bireylerin satın alma güçleri genişlemiş olur.

### 3. TÜRK BANKACILIK SEKTÖRÜNDE MEVDUAT BANKALARI VE KREDİLER

Bu bölümde önce Türk Bankacılık Sektöründe mevduat bankalarının sahiplik yapılarına göre payları incelenecek daha sonra mevduat bankalarının kullandığı olduğu krediler değerlendirilecektir.

#### 3.1. Bankaların Sahiplik Yapılarına Göre Sektör Payları

Bu başlık altında Türk Bankacılık Sektöründe faaliyet gösteren mevduat bankalarının toplam aktiflere göre, toplam krediler ve alacaklara göre sektör payları ile mevduat bankalarının toplam varlıkları içerisinde kredilerin payı incelenmektedir.



Tablo 2: Toplam Aktiflere Göre Sektör Payları, %

	2017	2018	2019	2020
<b>Türk Bankacılık Sektörü</b>	<b>100,0</b>	<b>100,0</b>	<b>100,0</b>	<b>100,0</b>
<b>Mevduat Bankaları</b>	<b>94,3</b>	<b>93,0</b>	<b>92,8</b>	<b>93,2</b>
<b>Kamusal Sermayeli</b>	32,6	34,1	36,3	41,0
<b>Özel Sermayeli</b>	36,5	34,4	33,2	30,6
<b>Yabancı Sermayeli</b>	25,1	24,4	23,2	21,5
<b>Kalkınma ve Yatırım Bankaları</b>	<b>5,7</b>	<b>7,0</b>	<b>7,2</b>	<b>6,8</b>

Kaynak: TBB, Türkiye'de Bankacılık Sistemi Seçilmiş Rasyolar 2010 - 2020, Temmuz 2021.

Tablo 2'ye göre, Türk Bankacılık sektöründe mevduat bankalarının toplam aktiflere göre sektör payı 2017 yılında %94,3 iken 2020 yılında %93,2'ye gerilemiş, Kalkınma ve Yatırım Bankaları (KYB)'nin payı ise %5,7'den %6,8'e yükselmiştir. Mevduat bankalarının sermaye yapılarına göre toplam aktiflerdeki payları incelendiğinde; kamu bankalarının payı 2017 yılında %32,6 iken yıllar itibarıyla artış göstererek 2020 yılında %41'e yükselirken, özel bankaların payı %36,5'ten %30,6'ya, yabancı bankaların payı ise %25,1'den %21,5'e gerilemiştir. Burada kamu bankalarının payındaki artış dikkat çekmektedir.

Tablo 3: Toplam Krediler ve Alacaklara Göre Sektör Payları, %

	2017	2018	2019	2020
<b>Türk Bankacılık Sektörü</b>	<b>100,0</b>	<b>100,0</b>	<b>100,0</b>	<b>100,0</b>
<b>Mevduat Bankaları</b>	<b>93,1</b>	<b>91,2</b>	<b>91,6</b>	<b>92,1</b>
<b>Kamusal Sermayeli</b>	33,1	35,7	38,1	41,3
<b>Özel Sermayeli</b>	35,5	32,4	31,0	29,3
<b>Yabancı Sermayeli</b>	24,4	23,0	22,4	21,5
<b>Kalkınma ve Yatırım Bankaları</b>	<b>6,9</b>	<b>8,8</b>	<b>8,4</b>	<b>7,9</b>

Kaynak: TBB, Türkiye'de Bankacılık Sistemi Seçilmiş Rasyolar 2010 - 2020, Temmuz 2021.

Tablo 3'e göre bankaların toplam krediler ve alacaklara göre sektör payları incelendiğinde; toplam aktiflere benzer biçimde mevduat bankalarının payı 2017 yılında %93,1 iken 2020 yılında %92,1'e gerilerken KYB'lerin payı %6,9'dan %7,9'a yükselmiştir. Mevduat bankalarının sahiplik yapılarına göre toplam krediler ve alacaklardaki sektör payları incelendiğinde kamu bankalarının payı 2017'de %33,1 iken 2020 yılında %41,3'e yükselmiş, özel bankaların payı %35,5'ten %29,3'e, yabancı bankaların payı %24,4'ten %21,5'e gerilemiştir. Burada toplam aktiflere göre sektör paylarındaki gelişmeye benzer biçimde kamu bankalarının payındaki artış dikkat çekmektedir.

Tablo 4: Toplam Krediler / Toplam Varlıklar (%)

	2017	2018	2019	2020
<b>Mevduat Bankaları</b>	<b>67,9</b>	<b>67,6</b>	<b>68,8</b>	<b>64,2</b>
<b>Kamusal Sermayeli</b>	65,1	61,0	61,2	61,0
<b>Özel Sermayeli</b>	65,2	61,0	63,3	63,6

Kaynak: TBB, Türkiye'de Bankacılık Sistemi Seçilmiş Rasyolar 2010 - 2020, Temmuz 2021.

Tablo 4'e göre, mevduat bankalarının bilançolarında kredilerin payı toplam krediler toplam varlıklar oranına göre incelendiğinde; banka gruplarının tamamında kredilerin payında düşüş gözlemlenmektedir. Kamu bankalarında kredilerin toplam varlıklardaki payı 2017 yılında %67,9 iken 2020 yılında %64,2'ye, özel bankalarda %65,1'den %61'e, yabancı bankalarda ise %65,2'den %63,6'ya gerilemiştir.

### 3.2. Türk Bankacılık Sektöründeki Mevduat Bankalarının Aralık 2018 – Eylül 2021 Dönemi Kredi Tercihleri

Mevduat bankalarının kredi tercihleri incelenirken kullanılan toplam kredilerde ticari ve kurumsal krediler ile tüketici kredilerinin payını incelenmektedir. Bu bölümde önce Türkiye Bankalar Birliğinin verilerine göre toplam kredilerde tüketici kredilerinin payının gelişimi, daha sonra Aralık 2018 – Eylül 2021 döneminde toplam kredilerde ticari ve kurumsal krediler ile tüketici kredilerinin payı incelenecektir.

### 3.2.1. Toplam Kredilerde Tüketici Kredilerinin Payı

Tablo 5: Tüketici Kredileri / Toplam Krediler (%)

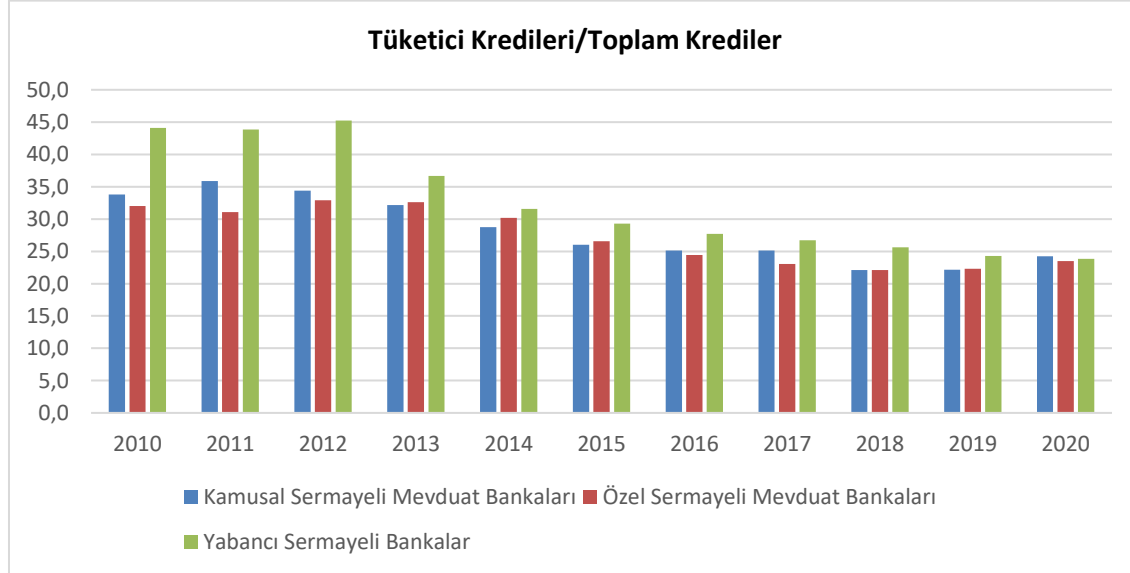
	2010	2011	2012	2013	2014	2015	2016	2017	2018	2019	2020
<b>Mevduat Bankaları</b>	<b>34,6</b>	<b>34,3</b>	<b>35,2</b>	<b>33,1</b>	<b>30,0</b>	<b>27,1</b>	<b>25,5</b>	<b>24,8</b>	<b>23,0</b>	<b>22,7</b>	<b>23,9</b>
<b>Kamusal Sermayeli</b>	33,8	35,9	34,4	32,1	28,7	26,0	25,1	25,1	22,1	22,2	24,2
<b>Özel Sermayeli</b>	32,0	31,1	32,9	32,6	30,2	26,5	24,4	23,1	22,1	22,3	23,5
<b>Yabancı Sermayeli</b>	44,1	43,8	45,3	36,7	31,6	29,3	27,7	26,7	25,6	24,3	23,9

Kaynak: TBB, Türkiye'de Bankacılık Sistemi Seçilmiş Rasyolar 2010 - 2020, Temmuz 2021.

Mevduat bankalarının kullandırmış olduğu toplam kredilerde tüketici kredilerinin payı ile ilgili gelişmeleri daha net görebilmek için 2010 – 2020 dönemini incelemekte fayda bulunmaktadır. Tablo 5'e göre, mevduat bankalarının ortalaması 2010 yılında %34,6 iken 2019 yılında %22,7'ye kadar gerilemiş, 2020 yılında %23,9 olarak gerçekleşmiştir. Toplam kredilerde tüketici kredilerinin payı sermaye sahipliğine göre incelendiğinde; kamu bankalarında bu oran 2010 yılında %33,8 iken 2018 yılında %22,1'e kadar gerilemiş, 2020 yılında %24,2'ye yükselmiştir. Özel sermayeli bankalarda 2010 yılında bu oran %32 iken 2018 yılında %22,1'e gerilemiş, 2020 yılında %23,5 olmuştur. Yabancı sermayeli bankalarda ise bu oran 2010 yılında %44,1 iken yıllar itibarıyla sürekli düşüş göstermiş, 2020 yılında %23,9'a kadar gerilemiştir.

Grafik 1, 2010 – 2020 yılları arasında %tüketici kredilerinin toplam krediler içerisindeki payını göstermektedir.

Grafik 1: Tüketici Kredilerinin Toplam Krediler İçerisindeki Payı, 2010 – 2020, %



Kaynak: TBB, Türkiye'de Bankacılık Sistemi Seçilmiş Rasyolar 2010 - 2020, Temmuz 2021.

### 3.2.2. Toplam Kredilerde Ticari ve Kurumsal Krediler ile Tüketici Kredilerinin Payının Aralık 2018 – Eylül 2021 Dönemi İçin İncelenmesi

Mevduat bankalarının Aralık 2018 – Eylül 2021 dönemi kredi tercihlerindeki değişimi incelemek için kredilerin ticari ve kurumsal krediler ile tüketici kredisi arasındaki dağılımını incelemek gerekmektedir.

Tablo 6: Kredilerin Dağılımı, Aralık 2018 – Eylül 2021, %

Krediler	Aralık 2018	Mart 2019	Haziran 2019	Eylül 2019	Aralık 2019	Mart 2020	Haziran 2020	Eylül 2020	Aralık 2020	Ma rt 20 21	Hazir an 2021	Eyl ül 20 21
<b>Ticari ve Kurumsal Krediler*</b>	79	80	80	79	78	78	79	78	77	77	78	77
<b>Tüketici Kredileri**</b>	21	20	20	21	22	22	21	22	23	23	22	23

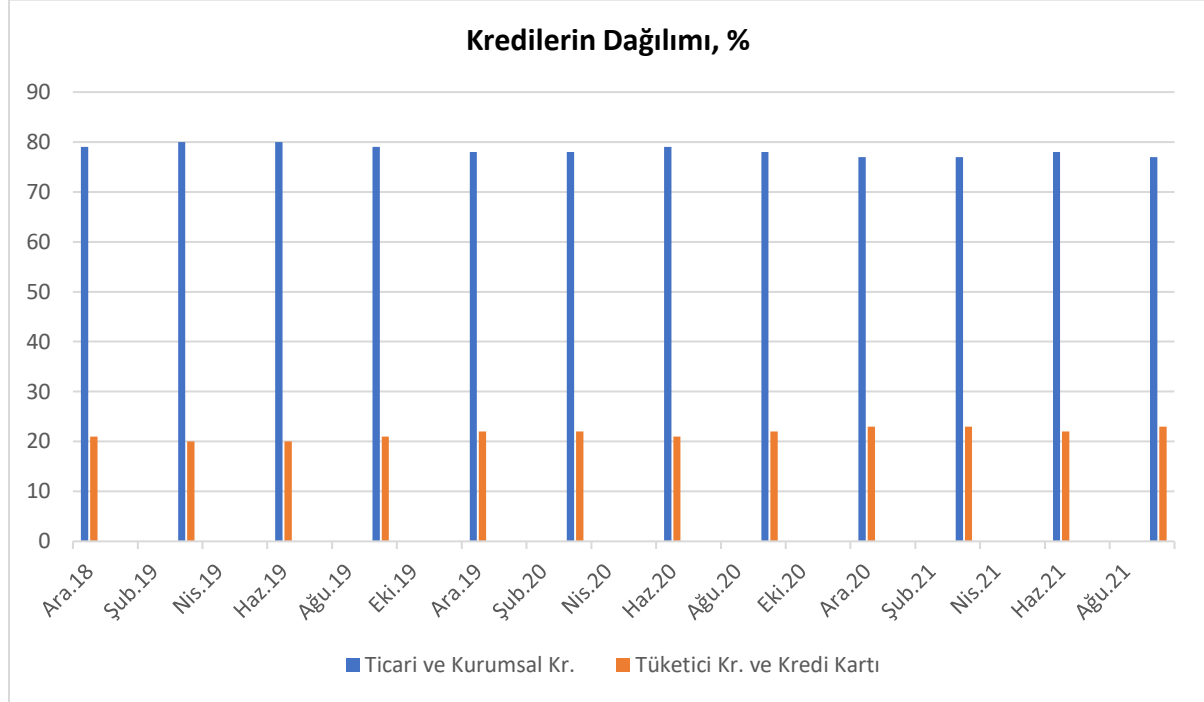
\*KOBİ kredileri dahil, \*\*Kredi kartları dahil

Kaynak: BDDK, Türk Bankacılık Sektörü Temel Göstergeleri, Aralık 2018 – Eylül 2021.

Tablo 6'ya göre Aralık 2018'de toplam kredilerin %79'u ticari ve kurumsal kredi, %21'i tüketici kredisi olarak kullanılırken Mart ve Haziran 2019'da ticari ve kurumsal kredilerin payı %80'e yükselmiş, tüketici kredilerinin payı %20'ye gerilemiş, Aralık 2019 ve Mart 2020'de ticari ve kurumsal kredilerin payı %78'e gerilerken, tüketici kredilerinin payı %22'ye yükselmiştir. Haziran 2020'de ticari ve kurumsal krediler %79'a yükselirken tüketici kredileri %21'e düşmüş, Aralık 2020 ve Mart 2021'de ticari ve kurumsal kredilerin payı %77'ye gerilerken, tüketici kredilerinin payı %23'e yükselmiştir. Benzer değişim Haziran ve Eylül 2021'de de gerçekleşmiş, ticari ve kurumsal kredilerin payı Haziran 2021'de %78'e yükselirken Eylül 2021'de %77'ye düşmüş, tüketici kredilerinin payı Haziran 2021'de %22'ye gerilemiş, Eylül 2021'de tekrar %23'e yükselmiştir.

Grafik 2, Aralık 2018 – Eylül 2021 tarihleri arasında kredilerin ticari ve kurumsal krediler ile tüketici kredileri arasındaki dağılımını göstermektedir.

Grafik 2: Kredilerin Dağılımı, Aralık 2018 – Eylül 2021, %



Kaynak: BDDK, Türk Bankacılık Sektörü Temel Göstergeleri, Aralık 2018 – Eylül 2021.

#### 4. SONUÇ

5411 sayılı Bankacılık Kanunu'nda krediler, bankalarca verilen nakdî krediler ile teminat mektupları, kontrgarantiler, kefaletler, aval, ciro, kabul gibi gayrinakdî krediler ve bu niteliği haiz taahhütler, satın alınan tahvil ve benzeri sermaye piyasası araçları, tevdiatta bulunmak suretiyle ya da herhangi bir şekil ve surette verilen ödünçler, varlıkların vadeli satışından doğan alacaklar, vadesi geçmiş nakdî krediler, tahakkuk etmekle birlikte tahsil edilmemiş faizler, gayrinakdî kredilerin nakde tahvil olan bedelleri, ters repo işlemlerinden alacaklar, vadeli işlem ve opsiyon sözleşmeleri ile benzeri diğer sözleşmeler nedeniyle üstlenilen riskler, ortaklık payları ve BDDK'ca kredi olarak kabul edilen işlemler olarak tanımlanmaktadır. Krediler, kullanılan ekonomik birime göre tüketici kredileri ve ticari kredileri olarak ikiye ayrılabilir. Tüketici kredileri; gerçek kişilere ait tasarruf mevduatlarına bağlı olarak kullanılan kredili mevduat hesabı kredileri ile bankalar tarafından uygulanan tekdüzen hesap planlarına göre tüketici kredisi olarak izlenen krediler ve gerçek kişilere kredi kartları vasıtasıyla, ticari amaçlı olanlar hariç mal ve hizmet alımı için veya nakit olarak kullanılan krediler olarak tanımlanmakta ve konut kredileri, taşıt kredileri, ihtiyaç kredileri, konut teminatlı tüketici kredileri ve diğer gayrimenkul kredileri olarak alt gruba ayrılabilir. Ticari krediler; ticari işletmelere kullanılan nakdi krediler ile teminat mektupları, kontrgarantiler, kefaletler, aval, ciro gibi gayrinakdi krediler olarak tanımlanabilmektedir. Banka kredileri hem toplam talebi hem de toplam arzı etkileyerek ekonomik faaliyetleri yönlendirebilmektedir.

Türk Bankacılık Sektöründe mevduat bankaları içerisinde kamu bankalarının toplam aktiflere göre sektör payı 2017 yılında %32,6 iken yıllar itibariyle artış göstererek 2020 yılında %41'e yükselirken özel bankaların payı %36,5'ten %30,6'ya, yabancı bankaların payı %25,1'den %21,5'e gerilemiştir. Toplam aktiflerdeki bu gelişme,

bankaların aktifinde önemli paya sahip olan kredilerdeki gelişmelerden kaynaklanmaktadır. Mevduat bankalarının toplam krediler ve alacaklara göre sektör payları incelendiğinde, kamu bankalarının payı 2017’de %33,1 iken yıllar itibariyle artarak 2020 yılında %41,3 olmuş, özel bankaların payı %35,5’ten %29,3’e, yabancı bankaların payı %24,4’ten 21,5’e gerilemiştir. Mevduat bankalarının toplam varlıklar içerisinde toplam kredilerin payı incelendiğinde, kamu bankalarında 2017 yılında %67,9 olan bu oran 2020 yılında %64,2’ye, özel bankalarda %65,1’den %61’e yabancı bankalarda ise %65,2’den %63,6’ya gerilemiştir.

Banka kredileri, kullanılan ekonomik birimlere göre tüketici kredisi ve ticari kredi olarak iki gruba ayrıldığında tüketici kredilerinin toplam krediler içerisindeki payını incelemek ticari kredilerin toplam krediler içerisindeki payı hakkında da fikir verebilecektir. TBB verilerine göre, mevduat bankalarının toplam krediler içerisindeki payı kredi tercihlerindeki değişimin yönünü daha net görebilmek için 2010 – 2020 dönemi için incelendiğinde; mevduat bankaları ortalaması 2010 yılında %34,6 iken 2012 yılı hariç yıllar itibariyle düşüş göstermiş ve 2019 yılında %22,7 olmuş, 2020 yılında bir puan artarak %23,9’e yükselmiştir. Bu durum, mevduat bankalarının 2010 yılına göre 2020 yılında daha az tüketici kredisi kullandığı bunun yerine ticari krediyi tercih ettiği yönünde fikir vermektedir. Toplam kredilerde ticari kredi ve tüketici kredisinin payı pandemi dönemini de kapsayacak şekilde Aralık 2018 – Eylül 2021 dönemi için incelendiğinde; Aralık 2018’de toplam kredilerin %79’u ticari ve kurumsal kredi, %21’i tüketici kredisi olarak kullanılırken Mart ve Haziran 2019’da ticari ve kurumsal kredilerin payı %80’e yükselmiş, tüketici kredilerinin payı %20’ye gerilemiş, Aralık 2019 ve Mart 2020’de ticari ve kurumsal kredilerin payı %78’e gerilerken, tüketici kredilerinin payı %22’ye yükselmiştir. Haziran 2020’de ticari ve kurumsal krediler %79’a yükselirken tüketici kredileri %21’e düşmüş, Aralık 2020 ve Mart 2021’de ticari ve kurumsal kredilerin payı %77’ye gerilerken, tüketici kredilerinin payı %23’e yükselmiştir. Benzer değişim Haziran ve Eylül 2021’de de gerçekleşmiş, ticari ve kurumsal kredilerin payı Haziran 2021’de %78’e yükselirken Eylül 2021’de %77’ye düşmüş, tüketici kredilerinin payı Haziran 2021’de %22’ye gerilemiş, Eylül 2021’de tekrar %23’e yükselmiştir.

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## Kur Korumalı TL Vadeli Mevduat Hesabı

Öğr. Gör. Havva ARABACI<sup>1</sup>

<sup>1</sup>Trakya Üniversitesi Edirne Sosyal Bilimler Meslek Yüksekokulu Muhasebe Vergi Bölümü

arabacih@hotmail.com Orcid: 0000-0003-0212-6590

**Özet:** Türkiye Cumhuriyet Merkez Bankası ülkemizde para ve kur politikalarının yönetilmesinden sorumlu kurumdur. Türkiye Cumhuriyet Merkez Bankası'nın temel amacı fiyat istikrarını sağlamak ve sürdürmektir. Türkiye Cumhuriyet Merkez Bankası 2001 yılında yeniden düzenlenen Merkez Bankası Kanunu ile fiyat istikrarı temel amacına ilave olarak finansal sistemde istikrarı sağlayıcı tedbirleri almakla görevlendirilmiş bulunmaktadır. Merkez Bankası Kanunu'na göre Bankanın temel görevlerinden biri finansal sistemde istikrarı sağlayıcı ve para ve döviz piyasaları ile ilgili düzenleyici tedbirleri almaktır. Türkiye Cumhuriyet Merkez Bankası, yurt içinde yerleşik kişiler tarafından ABD doları, Euro ve İngiliz Sterlini cinsinden döviz tevdiat hesabı veya döviz cinsinden katılım fonu hesaplarını, vadeli Türk lirası mevduat veya Türk lirası katılım hesabına dönüştürmeleri halinde, mevduat ve katılım fonu sahiplerine destek sağlanmasına karar vermiştir. Bankacılık sistemindeki toplam mevduat ve katılım fonu içinde Türk lirasının payının artırılarak finansal istikrarın desteklenmesi amacıyla 20 Aralık 2021 tarihinde "Kur Korumalı TL Vadeli Mevduat" sistemine geçildiği açıklanmıştır. Bu çalışma ile kur korumalı TL vadeli mevduat hesabı teorik olarak açıklanmaya çalışılacaktır.

**Anahtar Kelimeler:** Türkiye Cumhuriyet Merkez Bankası, Döviz Tevdiat Hesapları, Döviz Cinsinden Katılım Fonu Hesapları, Kur Korumalı TL Vadeli Mevduat Hesabı.

## Currency Protected TL Time Deposit Account

**Abstract:** The Central Bank of the Republic of Turkey is the institution responsible for the management of monetary and exchange rate policies in our country. The main purpose of the Central Bank of the Republic of Turkey is to ensure and maintain price stability. The Central Bank of the Republic of Turkey has been tasked with taking measures to ensure stability in the financial system, in addition to the main objective of price stability, with the Central Bank Law, which was amended in 2001. According to the Central Bank Law, one of the main duties of the Bank is to take measures to ensure stability in the financial system and to take regulatory measures regarding money and foreign exchange markets. The Central Bank of the Republic of Turkey has decided to provide support to deposit and participation fund holders resident in Turkey in case they convert their foreign currency deposit accounts or foreign exchange denominated participation fund accounts in US Dollars, Euros and British Pounds to time deposits in Turkish lira or participation funds in Turkish lira. In order to support financial stability by increasing the share of Turkish lira in total deposits and participation funds in the banking system, it was announced that the "Currency Protected TL Time Deposit" system was introduced on 20 December 2021. In this study, the currency protected TL time deposit account will be tried to be explained theoretically.

**Keywords:** Central Bank of the Republic of Turkey, Foreign Currency Deposit Accounts, Foreign Currency Participation Fund Accounts, Currency Protected TL Time Deposit Account.

### 1. GİRİŞ

**Türkiye Cumhuriyet Merkez Bankası** (TCMB), ülkemizde para ve kur politikalarının yönetilmesinden sorumlu kurumdur. TCMB'nin temel amacı fiyat istikrarını sağlamak ve sürdürmektir. TCMB 2001 yılında yeniden düzenlenen Merkez Bankası Kanunu ile fiyat istikrarı temel amacına ilave olarak finansal sistemde istikrarı sağlayıcı tedbirleri almakla görevlendirilmiş bulunmaktadır.

Merkez Bankası Kanunu'na göre Bankanın temel görevlerinden biri finansal sistemde istikrarı sağlayıcı ve para ve döviz piyasaları ile ilgili düzenleyici tedbirleri almaktır.

Ayrıca,

- Mali piyasaları izlemek,
- Finansal sistemler ile ilgili hususlarda hükümete görüş vermek,
- Bankaca uygun görülecek banka dışı mali kurumların ve bankaların yükümlülüklerini esas alarak zorunlu karşılıklar ve umumi disponibiliteler ile ilgili usul ve esasları belirlemek,
- Bankalardaki mevduatın vade ve türleri ile özel finans kurumlarındaki katılma hesaplarının vadelerini belirlemek, ödeme ve mutabakat sistemlerini kurmak, işletmek ve denetlemek,

Bankanın finansal istikrar ile ilgili diğer temel görevleri arasındadır.

Türk Lirası'nın yabancı para birimleri karşısında aşırı değer kaybetmesinin ardından Cumhurbaşkanı tarafından 20 Aralık 2021 tarihinde "Kur Korumalı TL Vadeli Mevduat" sistemine geçildiği açıklanmıştır.

Türkiye Cumhuriyet Merkez Bankası, 21 Aralık 2021 Tarih 31696 (Mükerrer) sayılı Resmi Gazete yayınlanan Türk Lirası Mevduat Ve Katılma Hesaplarına Dönüşümün Desteklenmesi Hakkında Tebliğ (Sayı: 2021/14) ile bankacılık sistemindeki toplam mevduat ve katılım fonu içinde Türk lirasının payının artırılması amacıyla yurt içi yerleşik gerçek kişilerin 20 Aralık 2021 tarihinde mevcut olan döviz tevdiat hesaplarının ve döviz cinsinden katılım fonlarının Türk lirası vadeli mevduat ve katılma hesaplarına dönüşmesi halinde mevduat ve katılım fonu sahiplerine destek sağlanmasına karar vermiştir (www.tcmb.gov.tr).

20 Aralık 2021 tarihinde ABD doları, Euro ve İngiliz Sterlini cinsinden döviz tevdiat hesabı veya döviz cinsinden katılım fonu bulunan yurt içinde yerleşik gerçek kişilerin, söz konusu hesaplarını vadeli (3, 6, 12 ay) Türk lirası mevduat/katılma hesabına dönüştürmeleri halinde söz konusu hesaplara destek uygulanmasına karar verilmiştir. Buna göre;

- Açılacak Türk lirası vadeli hesaplara işleyecek faiz/kâr payı ile hesap açılışı ve vade sonundaki kur değişim oranı kıyaslanarak yüksek olan oran üzerinden mevduat ve katılım fonu sahibine ödeme yapılması,
- Hesap açılışındaki kur ile vade sonu kurunun ne olduğuna bakılmaksızın anapara ve faiz/kâr payı tutarının müşteriye banka tarafından ödenmesi,
- Vade sonu kuru üzerinden hesaplanacak tutar, anapara ve faiz/kâr payı tutarından büyükse; aradaki farkın TCMB tarafından karşılanması, - Vadeden önce hesaptan para çekilmesi durumunda destekten faydalanılamaması kararlaştırılmıştır.

Yurt içinde yerleşik gerçek kişiler, Yurt dışında işçi, serbest meslek ve müstakil iş sahibi Türk vatandaşları dahil Türkiye'de kanuni yerleşim yeri bulunan gerçek ve tüzel kişileri ifade eder. Yurt içinde yerleşik gerçek kişiler tarafından bankalarda açtıkları yabancı para cinsinden olan hesaplara döviz tevdiat hesabı denilmektedir.

*Mevduat ve Katılma Hesaplarına Dönüşümün Desteklenmesi Hakkında Tebliğ (Sayı: 2021/14)*" ve 29/12/2021 tarihli ve 31704 sayılı Resmî Gazete'de yayımlanan "*Altın Hesaplarından Türk Lirası Mevduat ve Katılma Hesaplarına Dönüşümün Desteklenmesi Hakkında Tebliğ (Sayı: 2021/16)*" ile düzenlemeler yapılmıştır. *Türk Lirası Mevduat Ve Katılma Hesaplarına Dönüşümün Desteklenmesi Hakkında Tebliğ (Sayı: 2021/14)'De Değişiklik Yapılmasına Dair Tebliğ (Sayı: 2022/1)*" ile "*Altın Hesaplarından Türk Lirası Mevduat Ve Katılma Hesaplarına Dönüşümün Desteklenmesi Hakkında Tebliğ (Sayı: 2021/16)'De Değişiklik Yapılmasına Dair Tebliğ (Sayı: 2022/2)*" 11 Ocak 2022 tarih ve 31716 sayılı Resmi Gazete'de yayımlanmıştır.

Ek olarak, yurt içi yerleşik tüzel kişilerin de döviz ve altın cinsinden mevduat hesapları ve katılım fonlarının vadeli Türk Lirası mevduat ve katılma hesaplarına dönüşmesi halinde mevduat ve katılım fonu sahiplerine destek sağlanmasına karar verilmiş ve buna ilişkin "*Türk Lirası Mevduat Ve Katılma Hesaplarına Dönüşümün Desteklenmesi Hakkında Tebliğ (Sayı: 2021/14)'De Değişiklik Yapılmasına Dair Tebliğ (Sayı: 2022/1)*" ile "*Altın Hesaplarından Türk Lirası Mevduat Ve Katılma Hesaplarına Dönüşümün Desteklenmesi Hakkında Tebliğ (Sayı: 2021/16)'De Değişiklik Yapılmasına Dair Tebliğ (Sayı: 2022/2)*" 11 Ocak 2022 tarih ve 31716 sayılı Resmi Gazete'de yayımlanmıştır.

21/12/2021 tarihli ve 31696 mükerrer sayılı Resmî Gazete'de yayımlanan Türk Lirası Mevduat ve Katılma Hesaplarına Dönüşümün Desteklenmesi Hakkında Tebliğ (Sayı: 2021/14)' 1 inci maddesi ile 11 Ocak 2022 Tarih ve 31716 sayılı Resmi Gazete yayınlanan Türk Lirası Mevduat Ve Katılma Hesaplarına Dönüşümün Desteklenmesi Hakkında Tebliğ (Sayı: 2021/14)'de değişiklik yapılmasına dair tebliğ (sayı: 2022/1) aşağıdaki şekilde değiştirilmiştir.

*Madde 1. Bu Tebliğin amacı, yurt içi yerleşik gerçek ve tüzel kişilerin döviz tevdiat hesaplarının ve döviz cinsinden katılım fonlarının Türk lirası vadeli mevduat ve katılma hesaplarına dönüşmesi halinde mevduat ve katılım fonu sahiplerine sağlanacak desteğe ilişkin usul ve esasları düzenlemektir."*

*Madde 2. Aynı Tebliğin 3 üncü maddesinin birinci fıkrasına aşağıdaki bent eklenmiştir.*

*"e) Yurt içi yerleşik tüzel kişi: Bankalar ve Merkez Bankasınca belirlenen diğer mali kuruluşlar hariç olmak üzere Türkiye'de kanuni yerleşim yeri bulunan tüzel kişileri,"*

*Madde 3. Aynı Tebliğin 4 üncü maddesinin birinci ve üçüncü fıkraları aşağıdaki şekilde değiştirilmiştir.*

*"(1) Yurt içi yerleşik gerçek kişilerin 20/12/2021 tarihinde mevcut olan, yurt içi yerleşik tüzel kişilerin ise 31/12/2021 tarihinde mevcut olan ABD doları, Euro ve İngiliz Sterlini cinsinden döviz tevdiat hesabı ve döviz*

*cinsinden katılım fonu hesabı bakiyeleri, hesap sahibinin talep etmesi halinde dönüşüm kuru üzerinden Türk lirasına çevrilir.”*

*“(3) Banka tarafından yurt içi yerleşik gerçek kişiler için 3 ay, 6 ay veya 1 yıl vadeli ve yurt içi yerleşik tüzel kişiler için 6 ay veya 1 yıl vadeli Türk lirası mevduat veya katılma hesabı açılır.”*

Kur Korumalı TL Mevduata Dönüşüm Nedeniyle Hazineden Merkez Bankası’na Nakit Kaynak Aktarma Yetkisi: 22 Ocak 2022 tarihli 7351 Sayılı Kanun’la 749 sayılı Kamu Finansmanı Ve Borç Yönetiminin Düzenlenmesi Hakkında Kanun’a eklenen geçici 35. madde hükmü ile; 21/12/2021 ve 31/12/2022 tarihleri arasında açılan Türk lirası vadeli mevduat ve katılma hesaplarına aktarılmak üzere Türkiye Cumhuriyet Merkez Bankası’na nakit kaynak aktarmaya ve nakit kaynak aktarımı için Bakanlık bütçesinde mevcut ya da yeni açılacak tertiplere ödenek eklemeye Hazine ve Maliye Bakanı yetkili kılınmıştır.

Mevduat, 5411 sayılı Bankacılık Kanununda “Yazılı ya da sözlü olarak veya herhangi bir şekilde halka duyurulmak suretiyle ivazsız veya bir ivaz karşılığında, istendiğinde ya da belli bir vadede geri ödenmek üzere kabul edilen para,” olarak tanımlanmıştır.

Katılım fonu, yatırımlarını faiz kazancı sağlanmayan para ve sermaye piyasası araçları ile değerlendirmek isteyen yatırımcılar için portföyünün tamamı devamlı olarak;

- Kira Sertifikaları,
- Katılma Hesapları,
- Ortaklık Payları,
- Altın Ve Diğer Kıymetli Madenler İle

Sermaye Piyasası Kurulu tarafından uygun görülen diğer faize dayalı olmayan para ve sermaye piyasası araçlarına dayalı fonlardır (<https://www.ziraatkatilim.com.tr/>).

Mevduatın vadelerine göre türleri aşağıdaki şekilde sınıflandırılmaktadır (Dinç, 2016: 348).

a. Vadesiz mevduat: Bankanın izni aranmaksızın hesap sahibi tarafından istenildiği zaman kısmen veya tamamen çekilebilen, herhangi bir ihbar veya vade koşulu taşımayan ve faiz tahakkukları yılsonunda veya hesabın kapatılmasında yapılan mevduattır.

b. İhbarlı mevduat: Çekileceği tarihten 7 gün önce yazılı bir ihbar verilmek suretiyle çekilebilecek mevduattır.

c. Vadeli mevduat: 1 aya kadar vadeli (1 ay dahil), 3 aya kadar vadeli (3 ay dahil), 6 aya kadar vadeli (6 ay dahil), 1 yıla kadar vadeli ve 1 yıl ve daha uzun vadeli (1 ay, 3 ay, 6 ay ve yıllık faiz ödemeli) olarak açılacak mevduattır.

d. Birikimli mevduat: Asgari 3 yıl vade ile açılan, sözleşme ile belirlenen aylık veya üç aylık sürelerde hesaba para yatırmaya imkan veren mevduattır.

Özel fon havuzları şeklindeki katılma hesapları hariç olmak üzere, katılım fonlarının vadelerine göre aşağıdaki şekilde sınıflandırılmaktadır (Dinç, 2016: 349);

a. Özel cari hesap: Katılım bankalarında açılabilen ve istenildiğinde kısmen veya tamamen her an geri çekilebilme özelliği taşıyan ve karşılığında hesap sahibine herhangi bir getiri ödenmeyen vadesiz fonların oluşturduğu hesaplardır.

b. Katılma hesapları: 1 ay vadeli, 3 aya kadar vadeli (3 ay dahil), 6 aya kadar vadeli (6 ay dahil), 1 yıla kadar vadeli ve 1 yıl ve daha uzun vadeli (1 ay, 3 ay, 6 ay ve yıllık kar payı ödemeli) olarak açılacak hesaplardır.

c. Birikimli katılma hesabı: Asgari 3 yıl vade ile açılan, sözleşme ile belirlenen aylık veya üç aylık sürelerde hesaba para yatırmaya imkan veren katılma hesabıdır.

## **2. KUR KORUMALI TL MEVDUAT HESABI**

Türkiye Cumhuriyet Merkez Bankası, döviz tevdiat hesaplarının ve döviz cinsinden katılım fonlarının hesap sahibinin talebi üzerine Türk lirası vadeli hesaplara dönüşmesi halinde mevduat ve katılım fonu sahiplerine destek sağlanmasına karar vermiştir. Bankacılık sistemindeki toplam mevduat ve katılım fonu içinde Türk lirasının payının artırılarak finansal istikrarın desteklenmesi amacıyla 20 Aralık 2021 tarihinde “Kur Korumalı TL Vadeli Mevduat” sistemine geçildiği açıklanmıştır.

21 Aralık 2021 Tarih ve 31696 (Mükerrer) sayılı Resmi Gazete yayınlanan Türk Lirası Mevduat Ve Katılma Hesaplarına Dönüşümün Desteklenmesi Hakkında Tebliğ (Sayı: 2021/14) ile döviz tevdiat hesapları ve katılım fonlarının vadeli Türk Lirası mevduat veya katılma hesaplarına dönüşümü ve vade sonunda kur farkının ödenmesi hususu düzenlenmiştir.

Tebliğ kapsamında getirilen başlıca düzenlemeler aşağıdaki gibidir (<https://www.resmigazete.gov.tr> Sayı: 2021/14 ):

**Döviz tevdiat hesapları ve katılım fonlarının vadeli Türk Lirası mevduat veya katılma hesaplarına dönüşümü düzenlenmiştir. Buna göre;**

- Kur korumalı TL vadeli mevduat hesabı, yalnızca TL cinsinden açılabilen bir birikim hesabıdır.
- Kur korumalı TL vadeli mevduat hesabından hem gerçek kişi hem de tüzel kişi müşteriler yararlanabilecektir.
- Kur korumalı TL mevduat hesabının açılabilmesi için USD, EUR, GBP veya A02 döviz cinsinden mevduatların bozularak TL'ye geçiş yapılması gerekir.
- Çeviri işlemi ile 5411 sayılı Bankacılık Kanununda tanımlanan mevduat ve katılım bankalarının elde ettiği döviz, Dönüşüm Kuru üzerinden TCMB tarafından satın alınacak; karşılığı olan Türk Lirası, işlemin gerçekleştiği bankaya yatırılacaktır.
- Bu hesap, gerçek kişi müşterilerine 3, 6 ay ve 1 yıl vadelerde TL olarak açılabilir. Tatil gününe denk gelen vade sonu ilk iş günü olarak değerlendirilecektir.
- YP'den dönüşen kur korumalı mevduat hesabı saat 10:00 ile 17:00 arasında açılabilir. 20.12.2021 tarihinde bankada bulunan USD, EUR, GBP dövizin veya 28.12.2021 tarihinde banka nezdindeki A02 cinsi Altın Mevduat hesaplarında bulunan altın mevduatın Türk lirasına çevrileceği kur, işlem gününde TCMB tarafından günlük olarak saat 10:00, 11:00, 12:00, 13:00, 14:00 ve 15.00'da dönüşüm kuru ilan edilen döviz alış kuru olacaktır.
- Vadeli hesap açılış işleminin dövizin bozulduğu gün yapılması gerekmektedir. Hesap açılışına konu olan tutar 20.12.2021 tarihinde banka nezdinde yer alan USD, EUR, GBP veya A02 varlıkların TL karşılığından daha fazla bir tutar olmayacaktır.
- Mevduat hesabına uygulanacak faiz TCMB tarafından belirlenen bir hafta vadeli repo ihale faiz oranının üstünde olacaktır.
- Katılma hesaplarına sağlanacak getirinin TCMB ile açık piyasa işlemleri kapsamında yapılan bir hafta vadeli repo işlemleri kapsamında oluşan maliyetten düşük olması durumunda aradaki farkı ilgili banka tek taraflı olarak karşılayacaktır.

**Vade sonunda kur farkının ödenmesi hususu düzenlenmiştir. Buna göre;**

- Anapara ile faiz veya kâr payı, vade sonunda Türk lirası mevduat veya katılma hesabı sahibine ilgili banka tarafından ödenecektir.
- Vade sonunda, faiz tahakkuku gerçekleştirildikten sonra hesap otomatik olarak kapatılır ve anapara, faizi ile birlikte vadesiz hesaba aktarılır. Vade uzatımı yapılmaz, yeni bir hesap açılabilir.
- Vade sonunda; kur değişimi hesap açılışında kullanılan döviz cinsinin açılış tarihindeki TCMB tarafından saat 10:00 ile 15:00 arasında her saat başı ilan edilen döviz alış kuru ile kapanış tarihindeki TCMB tarafından saat 11:00'de ilan edilen kur dikkate alınarak hesaplanacaktır. Kur değişimi hesap açılışında taahhüt edilen faiz oranı ile hesaplanacak faiz tutarından düşük ise hesap faiz oranı üzerinden nemalandırılacaktır. Kur değişiminin faiz tutarından yüksek olması durumunda ise hesap açılış tarihindeki endeks kurun vade tarihindeki karşılığına denk gelecek şekilde güncellenecektir.
- Kur korumalı TL vadeli mevduat hesabından kısmi para çekme işlemi yapılmayacaktır. Vadeden önce kapama işlemi yapılabilecek olup, erken kapamalarda hesap açılış öncesi satış yapılan döviz/altın cinsinin TCMB alış kuru ile hesabın kapatıldığı tarihte saat 11:00'da açıklanan TCMB alış kurundan düşük olanı üzerinden anapara tutarı belirlenecektir. Bu durumda faiz getirisi elde edilmeyecektir.
- Bu hesaba stopaj oranı sıfır uygulanacaktır.



## SONUÇ

TCMB'nin temel amacı fiyat istikrarını sağlamak ve sürdürmektir. TCMB 2001 yılında yeniden düzenlenen Merkez Bankası Kanunu ile fiyat istikrarı temel amacına ilave olarak finansal sistemde istikrarı sağlayıcı tedbirleri almakla görevlendirilmiş bulunmaktadır. Merkez Bankası Kanunu'na göre Bankanın temel görevlerinden biri finansal sistemde istikrarı sağlayıcı ve para ve döviz piyasaları ile ilgili düzenleyici tedbirleri almaktır.

Türk Lirası'nın yabancı para birimleri karşısında aşırı değer kaybetmesinin ardından Cumhurbaşkanı tarafından 20 Aralık 2021 tarihinde "Kur Korumalı TL Vadeli Mevduat" sistemine geçildiği açıklanmıştır.

TCMB, döviz tevdiat hesaplarının ve döviz cinsinden katılım fonlarının hesap sahibinin talebi üzerine Türk lirası vadeli hesaplara dönüşmesi halinde mevduat ve katılım fonu sahiplerine destek sağlanmasına karar vermiştir. Bankacılık sistemindeki toplam mevduat/katılım fonu içinde Türk lirasının payının artırılarak finansal istikrarın desteklenmesi amacıyla 20 Aralık 2021 tarihinde Kur Korumalı TL Mevduat sistemine geçildiği açıklanmıştır.

21 Aralık 2021 Tarih, 31696 (Mükerrer) sayılı Resmi Gazete yayınlanan Türk Lirası Mevduat Ve Katılma Hesaplarına Dönüşümün Desteklenmesi Hakkında Tebliğ (Sayı: 2021/14) ile döviz tevdiat hesapları ve döviz katılım fonlarının vadeli Türk Lirası mevduat veya katılma hesaplarına dönüşümü ve vade sonunda kur farkının ödenmesi hususu düzenlenmiştir. 11 Ocak 2022 Tarih, 31716 sayılı Resmi Gazete yayınlanan Türk Lirası Mevduat Ve Katılma Hesaplarına Dönüşümün Desteklenmesi Hakkında Tebliğ (Sayı: 2021/14)'de değişiklik yapılmasına dair tebliğ (sayı: 2022/1) ile 21.12.2021 tarihli ve 31696 mükerrer sayılı Resmî Gazete'de yayımlanan Türk Lirası Mevduat ve Katılma Hesaplarına Dönüşümün Desteklenmesi Hakkında Tebliğ (Sayı: 2021/14) değiştirilmiştir.

Kur Korumalı TL Vadeli Mevduat yurt içi yerleşik kişiler tarafından, 3, 6 ay ve 1 yıl vadelerde ve yurt içi yerleşik tüzel kişiler 6 ay veya 1 yıl vadeli Türk lirası mevduat veya katılma hesabı açılabilir. Bu hesabının açılabilmesi için USD, EUR, GBP veya A02 döviz cinsinden mevduatların bozdurularak TL'ye geçiş yapılması gerekmektedir.

Yurt içi yerleşik gerçek kişiler 20.12.2021 tarihinde, yurt içi yerleşik tüzel kişilerin ise 31.1.2021 tarihinde mevcut olan ABD doları, Euro ve İngiliz Sterlini cinsinden döviz tevdiat hesabı ve döviz cinsinden katılım fonu hesabı bakiyeleri, hesap sahibinin talep etmesi halinde dönüşüm kuru üzerinden Türk lirasına çevrilebilir.

Kur korumalı TL vadeli mevduat hesap açılış işleminin dövizin bozulduğu gün yapılması gerekir. Bu hesap, saat 10.00- 17.00 arasında açılabilir. Döviz tevdiat hesaplarında bulunan USD, EUR, GBP dövizin veya A02 döviz cinsinden mevduatlarında bulunan altın mevduatın Türk lirasına çevrileceği kur, işlem gününde TCMB tarafından günlük olarak saat 10.00 ve 15.00 arasında her saat başı ilan edilen döviz alış kurudur.

Vade sonunda; kur değişimi hesap açılışında kullanılan TCMB döviz alış kuru ile kapanış tarihindeki TCMB tarafından saat 11.00'de ilan edilen döviz alış kuru dikkate alınarak hesaplanacaktır. Kur değişimi hesap açılışında taahhüt edilen faiz oranı ile hesaplanacak faiz tutarından düşük ise hesap faiz oranı üzerinden nemalandırılacaktır. Kur değişiminin faiz tutarından yüksek olması durumunda ise hesabın açılış tarihindeki endeks kurun vade tarihindeki karşılığına denk gelecek şekilde güncellenecektir. Vade sonunda faiz tahakkuku gerçekleştirildikten sonra, hesap otomatik olarak kapatılmaktadır.

Kur Korumalı TL Vadeli Mevduat hesabından, Kısmi para çekme işlemi yapılamayacaktır. Vadeden önce kapama işlemi yapılabilecektir. Bu durumda faiz getirisi elde edilemeyecektir. Hesabınızı vadesinden önce kapatması durumunda, hesap açılış öncesi satış yapılan USD, EUR, GBP veya A02 döviz cinsinden mevduatların TCMB alış kuru ile hesabın kapatıldığı tarihte saat 11.00'de açıklanan TCMB alış kurundan düşük olanı üzerinden anapara tutarı belirlenecektir. Aradaki fark Hazine'ye aktarılacaktır.

Ocak 2022 tarihli 7351 Sayılı Kanun'la 749 sayılı Kamu Finansmanı Ve Borç Yönetiminin Düzenlenmesi Hakkında Kanun'a eklenen geçici 35. madde hükmü ile; 21/12/2021 ve 31/12/2022 tarihleri arasında açılan Türk lirası vadeli mevduat ve katılma hesaplarına aktarılmak üzere Türkiye Cumhuriyet Merkez Bankası'na nakit kaynak aktarmaya ve nakit kaynak aktarımı için Bakanlık bütçesinde mevcut ya da yeni açılacak tertiplere ödenek eklemeye Hazine ve Maliye Bakanı yetkili kılınmıştır.

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03 Şubat 2007 tarih ve 26423 sayılı Resmi Gazete’de yayımlanan Mevduat ve Katılım Fonlarının Vadeleri ve Türleri Hakkında Tebliğ (Sayı: 2007/1)

21.12.2021 tarih ve 31696 mükerrer sayılı Resmi Gazete’de yayımlanan Türk Lirası Mevduat Ve Katılma Hesaplarına Dönüşümün Desteklenmesi Hakkında Tebliğ (Sayı: 2021/14) . (E.T.: 01.02.2022).  
<https://www.resmigazete.gov.tr/eskiler/2021/12/20211221M1-1.htm>

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## Kentsel Dönüşümün Ekonomik Etkileri

Havva ARABACI<sup>1</sup>

Nurcan ÖZKAN<sup>2</sup>

<sup>1</sup>Trakya Üniversitesi, Edirne Sosyal Bilimler Meslek Yüksekokulu, Muhasebe Vergi Bölümü  
arabacih@hotmail.com, ORCID: 0000-0003-0212-6590

<sup>2</sup>Trakya Üniversitesi, Eğitim Fakültesi, Matematik ve Fen Bilimleri Eğitimi Bölümü  
nurcanozkan@trakya.edu.tr, ORCID: 0000-0001-5045-6186

**Özet:** Kentler; kültürel, sosyal ve fiziksel etkileşimlerin sonucu ortaya çıkmış toplumun ve bireylerin bir arada buldukları sosyalleştikleri mekânlardır. Kentsel dönüşüm; sosyal, kültürel, tarihsel, ekonomik ve fiziksel yönden yaşam alanı dışına çıkmış bölgelerin daha sağlıklı alanlar haline getirilmesidir. Kentsel dönüşümde temel amaç; kentsel projelerde yaşam kalitesini artırmak, artan ekonomik dengesizlikleri ve küresel baskıları dengelemek, sosyal eşitsizliği ve konut sıkıntısını ortadan kaldırmak gibi birçok sorunun çözüme kavuşturulmasıdır. Önceleri ekonomik bir canlandırma aracı olarak görülen kentsel dönüşüm, günümüzde çevresel ve sosyal yönlerinin öne çıkması ile bütüncül bir yaklaşım olarak ele alınmaya başlanmıştır. Kentsel dönüşüm dünyada ilk kez 1850’li yıllardan sonra Batı Avrupa’da ortaya çıkmıştır. Dünyada kentsel dönüşüm hareketleri yaşanırken ülkemizde de 1950 sonrası kentleşme hareketleri başlamıştır. Türkiye’de kentsel dönüşüm özellikle 1999 yılında gerçekleşen Marmara depremi sonrası gündeme gelmiştir. Ayrıca hızlı ve denetlenemeyen göç, çarpık yapılaşma ve kültürel değerlerin korunamamaya zarar görmesi gibi etkenler de kentsel dönüşüm projelerine ihtiyacı gündeme getirmiştir. Kentsel dönüşüm; ekonomi, çevre ve toplum da önemli etkiler oluşturmaktadır. Bu çalışma ile kentsel dönüşümün ekonomik etkileri teorik olarak açıklanmaya çalışılacaktır.

**Anahtar Kelimeler:** Kentsel Dönüşüm, Kentleşme, Gecekondu.

## Economic Effects of Urban Transformation

**Abstract:** Cities; They are the places where society and individuals socialize, which have emerged as a result of cultural, social and physical interactions. Urban transformation; It is to transform the regions that have lost their social, cultural, historical, economic and physical characteristics of being a living space into healthier areas. The main purpose of urban transformation; It is the solution of many problems such as increasing the quality of life from urban projects, balancing increasing economic imbalances and global pressures, eliminating social inequality and housing shortage. Urban transformation, which was previously seen as an economic revitalization tool, has started to be considered as a holistic approach with its environmental and social aspects coming to the fore. Urban transformation emerged in Western Europe for the first time in the world after the 1850s. While urban transformation movements continued in the world, urbanization movements started after 1950 in our country. Urban transformation in Turkey came to the fore especially after the 1999 Marmara earthquake. In addition, factors such as rapid and uncontrollable migration, unplanned construction and cultural values that cannot be protected and damaged have brought the need for urban transformation projects to the agenda. Urban transformation; economy, environment and society also have important effects. In this study, the economic effects of urban transformation will be tried to be explained theoretically.

**Key Words:** Urban Transformation, Urbanization, Slum.

### 1. GİRİŞ

Kentler; kültürel, sosyal ve fiziksel etkileşimlerin sonucu ortaya çıkmış toplumun ve bireylerin bir arada buldukları sosyalleştikleri mekânlardır. Kentsel dönüşüm ise “kentsel sorunların çözümünü sağlayan ve değişime uğrayan bir bölgenin ekonomik, fiziksel, sosyal ve çevresel koşullarına kalıcı bir çözüm sağlamaya çalışan kapsamlı bir vizyon ve eylem” olarak ifade edilmiştir (Thomas, 2003:15; Doğan ve Bostan, 2019: 67).

Kentsel dönüşüm, kentin bütününde ya da bir bölümünde mevcut özelliklerin değişerek başka bir biçime girmesi olarak düşünülebilir. Ancak kent plancıları kentsel dönüşümü, kentin öteden beri var olan kesimlerinin iç yapısında ve başka yerleşim birimleriyle ilişkilerinde yer alan değişimler olarak tanımlamaktadır (Tarkan, 2007). Kentsel dönüşümü; çökme ve bozulma olan kentsel mekânın ekonomik, toplumsal, fiziksel ve çevresel koşullarını kapsamlı ve bütünlük yaklaşımlarla iyileştirmeye yönelik uygulanan strateji ve eylemlerin bütünü olarak ta tanımlayabiliriz.

Kentsel dönüşüm; ekonomi, çevre ve toplum da önemli etkiler oluşturmaktadır. Önceleri ekonomik bir canlandırma aracı olarak görülen kentsel dönüşüm, günümüzde çevresel ve sosyal yönlerinin öne çıkması ile bütüncül bir yaklaşım olarak ele alınmaya başlanmıştır.

Kentsel dönüşümün sosyal amaçları; yaşam çevrelerini daha sağlıklı ve güvenli standartlara ulaştırmak, sosyal köhnemeyi engellemek amacıyla mahalleler arası farklılıkları azaltmak, kentsel alanların çöküntü haline gelmesini

önlemek ve toplumun farklı kesimlerinin planlamaya katılımını sağlamaktır (Şekil 1). Kentsel dönüşümün fiziksel amaçları; yaşam alanlarında köhneme ve slumlaşma sorunlarını kaldırmak, bölgedeki sosyal altyapı sorunlarını gidermek, yoğunluğu dengelemek, ulaşım sorunlarını gidermek, doğal afetlere karşı çevrenin niteliğini artırmak, gereksiz kentsel yayılmaları engellemek ve kentte değişim ihtiyacına cevap verebilmektir. Kentsel dönüşümün ekonomik amaçları; kentteki ekonomik dengesizliği azaltarak iş hayatını canlandırmak, değeri düşen kent parçalarını tekrar kente kazandırmak, yaşam kalitesini artırıcı ekonomik modeller ortaya koymak ve kent yönetiminin mali olanaklarını geliştirmektir. Kentsel dönüşümün temel amacı; sadece fiziksel iyileştirme değil aynı zamanda sosyo-ekonomik eşitsizliklerin azaltılması olmalı ve gelir gruplarının kentte farklılaşmasını hissettirici yapılaşmayı azaltıcı olmalıdır (Aras ve Alkan, 2007).

Geçmişten günümüze, kentlerdeki sosyal ve ekonomik yapının değişimine paralel olarak birçok kentsel dönüşüm yöntemi geliştirilmiştir. Bu yöntemler;

- Kentsel koruma,
- Geliştirme,
- Canlandırma veya yeniden canlandırma,
- Yenileme veya yeniden oluşturma,
- Rehabilitasyon etme veya sağlıklılaştırma,
- Temizleme veya alansal temizleme.

Şekil 1: Kocaeli'de çarpık kentleşmenin olduğu mahallede yıkım çalışmaları.



Kaynak: <https://www.konuttrend.com/kentsel-donusum/kocaeli-de-carpik-kentlesmenin-oldugu-mahallede-yikim-calismalarina-h4673.html>.

**Kentsel koruma;** “yeni düzende eski çevreyi koruma”, **geliştirme;** “rehabilitasyon olma özelliğini kaybetmiş alanlara yeniden farklı özellikler kazandırılması” (Şekil 2), **canlandırma veya yeniden canlandırma;** “özelliğini (sosyal, kültürel ve tarihi) kaybetmiş kent alanlarının eski durumuna getirilmesi”, **yenileme veya yeniden oluşturma;** “eskimiş ve güvenli olamayan yapıların yerine yenisinin yapılması”, **rehabilitasyon etme veya sağlıklılaştırma;** “zamanla müdahalelere uğramış ancak özgünlüğünü kaybetmemiş yapıları eski haline dönüştürme” ve **temizleme veya alansal temizleme;** “yoksul alanların yeni çehreye dönüştürülmesidir” (Doğan, 2018: 3).

Şekil 2: Rehabilitasyon olma özelliğini kaybetmiş alanlara yeniden farklı özellikler kazandırılması.



Kaynak: <https://www.konuttrend.com/kentsel-donusum/kentsel-donusum-nedir-h719.html>.

## 2. TÜRKİYE'DE KENTSEL DÖNÜŞÜM

Kentsel dönüşüm; sosyal, kültürel, tarihsel, ekonomik ve fiziksel yönden yaşam alanı dışına çıkmış bölgelerin insana yakışır daha sağlıklı alanlar haline getirilmesidir (Doğan, 2018: 2). Kentsel dönüşüm dünyada ilk kez 1850'li yıllardan sonra Batı Avrupa'da ortaya çıkmıştır. Dünyada kentsel dönüşüm hareketleri yaşanırken ülkemizde de 1950 sonrası kentleşme hareketleri başlamıştır.

Ülkemizde, kentlerde dönüşüme konu olan alanlar;

- Afet riskli alanlar,
- Kent merkezleri/merkezi iş alanları,
- Kentlerin ekonomik ömrünü doldurmuş/yıpranmış kesimleri,
- Çöküntü alanları,
- Özelleştirmeye konu olan alanlar,
- İslah imar planları kapsamında kalan gecekondular alanları gibi (Şekil 3), farklı nitelikteki alanlar, alanın özelliklerine göre farklı yaklaşım, yöntem, uygulama araçları, örgütlenme modelleri, finansman mekanizmaları ve hukuki düzenlemeleri içeren dönüşüm politikalarının tanımlanmasını gerektirmektedir.

İkinci Dünya Savaşı'ndan sonra Türkiye'nin metropol kentlerinin ilk dönüşüm örnekleri gecekondulaşma olmuştur. Türkiye'de kentsel dönüşüm, Ataöv ve Osmay (2007) tarafından üç dönem halinde incelenmiştir:

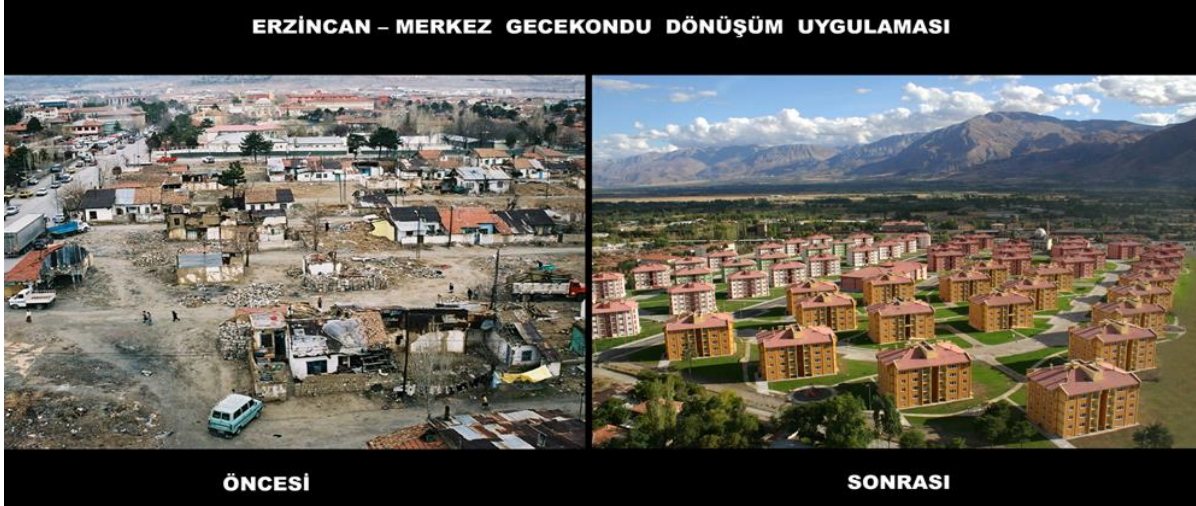
- 1. Dönem "1950-1980: Hızlı Kentleşme ve Gecekondudan Apartmana Dönüş Süreci".
- 2. Dönem "1980-2000: Kentiçi Ruhsatlı ve Ruhsatsız Yapılaşma Süreci".
- 3. Dönem "2000 Sonrası: Kentsel Dönüşümün Yasallaşması Süreci".

Türkiye'de kentsel dönüşümlere neden ihtiyaç olduğunu şöyle açıklayabiliriz (Balamir, 2005):

- 1950'li yıllardan itibaren Türkiye'de konut üretimi, birçok ülkeye göre yükselen bir grafik göstermesine karşın niceliği büyük olan bu üretim, nitelik olarak çoğunluğu iyi denetlenmemiş, kentsel hizmetler ve yatırımlar açısından yetersiz ve düşük standartlardaki kaçak yapılardan oluşmuştur. Bu da büyük bir risk havuzu oluşturmuştur.



Şekil 3: Erzincan – Merkez’de gecekondular mahallesinde kentsel dönüşümün öncesi ve sonrası.



Kaynak:

<https://www.google.com/search?q=kentsel%20d%C3%B6n%C3%BCm%C5%9F%C3%BCm%20%C3%B6ncesi%20ve%20sonras%C4%B1&tbm=isch&hl=tr&sa=X&ved=OCB0QtI8BKABqFwoTCMCGvsiW->

- Bu zaman diliminde kentsel konut üretimi, kentsel nüfusun üstünde seyretmiştir. Bu durum, uzun bir süre kentsel alan genişlemesine ihtiyacın olmayacağını göstermektedir. Şehirleşmesi büyük ölçüde bitmiş olan kentteki alanların iyileştirilerek yeterli standartlara kavuşturulması gerekmektedir.
- Kaçak yapılaşmayla oluşan yapı stoku ve yaşam alanları, çevre kirliliği, kentsel kazalar ve özellikle doğal afet düşünüldüğünde riskli alanlardır. Bu durumda özel yaklaşım ve politikaların geliştirilmesi zorunludur.
- Giderek artan kentsel fakirlik, toplumsal bir tehlike haline gelmiştir. Bu nedenle kent nimetlerinden adaletli yararlanmayı sağlayan sosyal projelere ihtiyaç vardır.
- Konut üretimindeki bu hızlı gelişimin getirdiği en büyük sorunlardan biri de Avrupa Birliği yolundaki bir ülke için standartları yetersiz, estetik değerlerden yoksun yaşam ve konut çevrelerinin yaratılmış olmasıdır.
- Tüm bu veriler, nüfus artış hızının düşmesiyle beraber ülkemiz kentlerinin kentleşerek gelişme sürecinin sonuna yaklaştığını ve artık mevcut alanların tekrar kentsel arsalar oluşturmak adına elden geçirilmesinin ve fiziki çevreyle beraber sosyal ve ekonomik yapının yenileştirilmesinin gerekliliğini ortaya koymaktadır.

Türkiye’de kentsel dönüşüm kavramı özellikle 1999 yılında gerçekleşen Marmara depremi sonrası fiziki çevrelerin yeterli niteliklerde olmadığına ortaya çıkışıyla bir planlama aracı olarak gündeme gelmiştir. Ayrıca hızlı ve denetlenemeyen göç, çarpık yapılaşma ve kültürel değerlerin korunamamaya zarar görmesi gibi etkenler de kentsel dönüşüm projelerine ihtiyacı gündeme getirmiştir.

Türkiye’de kentsel dönüşüm sürecini, kamu adına Çevre ve Şehircilik Bakanlığı’na bağlı olan Toplu Konut İdaresi Başkanlığı (TOKİ) gerçekleştirmektedir. 1990 yıllarından itibaren uygulanan projelerde; yerel halk, sivil toplum örgütleri ve üniversiteler gibi katılımcıların yer aldıkları görülmektedir (Kalağan ve Çiftçi, 2012:129- 130).

İkinci Dünya Savaşı’ndan sonra Türkiye’nin metropol kentlerinin ilk dönüşüm örnekleri gecekondulaşma olmuştur. Türkiye’de kentsel dönüşüm ilk aşamada; Ankara, İstanbul ve İzmir’de oluşan yasadışı konut alanlarının yeniden yapılandırılması şeklinde gerçekleşmiştir. Uygulamada bu alanların değer artışı ve değer paylaşımı yaklaşımıyla kentlerin fiziksel yapısının değiştirilmesi göz önünde bulundurulmuş, sosyal ve çevresel boyutları göz ardı edilmiştir (Yenice, 2014: 78; Doğan ve Bostan, 2019: 70). Ülkemiz de kentsel dönüşüm projeleri hızlı bir şekilde hayata geçmiş/geçmektedir.

“2002 yılından itibaren, merkezi yönetim yaptığı yasal düzenlemelerle konut sektörü ve düzenli kentleşmeyi ön plana çıkarmış, yerel yönetimler (belediyeler) ve Toplu Konut İdaresi Başkanlığı’nı (TOKİ’yi) konut ve kentsel dönüşüm konularında baş aktör konumuna getirmiştir. TOKİ ile özel sektör ve yerel yönetimlerin işbirliğiyle gerçekleştirilen büyük ve kapsamlı kentsel dönüşüm projelerinin önü açılmıştır” (Açıkgöz, 2014: 4).

Ülkemizde uygulanan projelerle bazı alanlarda konutlar büyük parsellerde yapılmıştır. Bunun yanında cadde ve sokaklar daha geniş hale gelmiş, yüksek olan suç oranları düşmüş, bakımsız kalan tarihi binalar şehre yeniden kazandırılmıştır. Özellikle tarihi semtlerde, turizm ve nitelikli hizmet sektörlerine yapılacak yatırımlarla proje alanı

ve çevresi için ekonomik canlanma oluşturulması hedeflenmiştir. Özellikle İstanbul'da Tarla başı, Balat ve Fener restorasyon projeleri bu çerçevede ele alınabilir (Doğan, 2018: 6).

Bugün Türkiye'de "kentsel dönüşüm"e ilişkin yasal taban oluşturan üç temel yasadan söz edilebilir (Görgülü, 2009: 776).

- a) 2985 sayılı "Toplu Konut Kanunu", (5162 Sayılı Kanundaki getirilen değişikliklerle birlikte), (2004)
- b) 5393 sayılı "Belediye Kanunu", (2005)
- c) 5366 sayılı "Yıpranan Kent Dokularının Yenilenerek Korunması ve Yaşatılarak Kullanılması Hakkında Kanun", (2005)

Bu üç temel yasanın yanı sıra (Doğan ve Bostan, 2019: 69);

- 3/7/2005 tarihli ve 5393 sayılı Belediye Kanunu ve "Kentsel Dönüşüm ve Gelişim Alanı" başlıklı 73. maddesi,
- 18/6/2010 tarihli ve 5999 sayılı Kamulaştırma Kanununda Değişiklik Yapılmasına Dair Kanun,
- 29/6/2011 tarihli ve 644 sayılı Çevre ve Şehircilik Bakanlığı'nın Teşkilat ve Görevleri Hakkında KHK,
- 19/4/2012 tarihli ve 6292 sayılı Orman Köylülerinin Kalkınmalarının Desteklenmesi ve Hazine Adına Orman Sınırları Dışına Çıkarılan Yerlerin Değerlendirilmesi ile Hazineye Ait Tarım Arazilerinin Satışı Hakkında Kanun,
- 16/5/2012 tarihli ve 6306 sayılı Afet Riski Altındaki Alanların Dönüştürülmesi Hakkında Kanun,
- 16/5/2012 tarihli ve 6306 sayılı Afet Riski Altındaki Alanların Dönüştürülmesi Hakkında Kanunun bazı maddelerini iptal eden veya değiştiren Anayasa Mahkemesinin 27/2/2014 Tarihli ve E: 2012/87, K: 2014/41 Sayılı Kararı,
- 12.11.2012 tarihli ve 6330 sayılı On Üç İlde Büyükşehir Belediyesi ve Yirmi Yedi İlçe Kurulması Kanunu,
- 26.4.2016 tarihli ve 6704 sayılı 6306 sayılı Afet Riski Altındaki Alanların Dönüştürülmesi Hakkında Kanunun Anayasa Mahkemesi tarafından iptal edilen bazı maddelerin yeniden düzenlenmesini içeren kanun,
- 11.5.2018 tarihli ve 7143 sayılı Vergi ve Diğer Bazı Alacakların Yeniden Yapılandırılması ile Bazı Kanunlarda Değişiklik Yapılmasına İlişkin Kanun (3194 sayılı İmar Kanununa Geçici Madde Eklenmesi) oluşturmaktadır.

### 3. KENTSEL DÖNÜŞÜMÜN EKONOMİK ETKİLERİ

Kentsel dönüşüm projelerinin şehirleşme, sosyal yaşam, birey, ekonomi ve kent kimliği üzerinde etkileri olmaktadır. Kenti sadece fiziksel açıdan değiştirmemekte, aynı zamanda sosyal, ekonomik ve kültürel değişiklikleri de beraberinde getirmektedir. Bu sebeple çevresel gelişim, sosyal gelişim ve akademik kalkınma gibi konular bir bütünlük çerçevesinde ele alınmalıdır (Kocaer ve Bak, 2013: 446).

2012 yılında Çevre ve Şehircilik Bakanı Erdoğan Bayraktar, kamuoyunda kentsel dönüşüm yasası şeklinde ifade edilen 'Afet riski altındaki alanların dönüştürülmesi konusundaki Kanun Tasarısı'nın Bakanlar Kurulu'nda imzalarının tamamlanarak TBMM'ye sevk edildiğini söylemiştir. Bu tarihte Bayraktar, yasanın çıkması ve riskli alanların yıkılmaya başlamasıyla ekonomik canlanmanın olacağını ifade etmiştir. Projenin yatırım boyutu 200 milyar dolar ve KDV'si 36 milyar dolardır. Projeden Türk maliyesi de büyük bir kazanım elde ederek cari açığın azaltılmasına büyük faydası olacaktır. Vatandaşlar depreme dayanıksız olan yerleri yıkmaz ise kendilerinin yıkacağını dile getirmiştir. Tespitler yapıldıktan sonra vatandaşa yıkmaları için belli bir süre verileceğini, yıkılmadığı durumlarda bakanlık ve belediyeler aracılığıyla yıkılacağını söylemiştir. Bu işleri özel sektörün alarak yapsat şeklinde müteahhitlerin işin içine girmesi ve vatandaşın kendi arazilerini satabilmesi, kat karşılığı değerlendirebilmesi, arsa karşılığı değerlendirebilmesi talep edilerek devletinde onlara yeni yapılanma şartlarını oluşturacağını ifade etmiştir (<https://emlakkulisi.com/kentsel-donusum-200-milyar-dolarlik-bir-ekonomi-yaratacak/6691>).

Kentsel dönüşüm faaliyetleri, kimi zaman yeni rant alanları oluştururken kimi zaman yeni mağduriyetlerin yaşanmasına neden olmaktadır (Kahraman, 2006: 93). "Türkiye'de de görüldüğü gibi, öncesinde gecekonduların bulunduğu bölgelerin yerini, kentsel dönüşüm projeleri ile nitelikli yüksek katlı apartmanlar almış, fiziksel dönüşümün yaşanmasına, arsa ve konut fiyatlarının yükselmesine neden olmuştur. Bu bölgede eskiden oturan gecekondulu sahiplerinin; kültürel yapı farklılıkları, alt gelir grubunu oluşturmaları nedeniyle, kendilerine verilen evlerini satmasına veya kiralık başka bir bölgeye gitmelerine neden olmuştur." (Doğan ve Bostan, 2019: 85).

Şekil 4: İstanbul-Sulukule’de kentsel dönüşüm öncesi ve sonrası.



Kaynak: <https://www.hurriyet.com.tr/kelebek/hurriyet-pazar/sulukulede-yeni-donem-gec-gelen-adalet-yuzunden-bir-kultur-yok-oldu-41334912>

Başka bir ifade ile 2000 sonrasında en başta gecekondu mahalleleri olmak üzere çöküntü bölgesi olarak ifade edilen kent bölgelerinde gerçekleştirilen dönüşüm projeleri, kentsel araziler üzerindeki rantı üst sınıflar lehine yeniden dağıtırken; bu bölgeler içinde yaşayan yoksul kişiler, kentin görünmez, sakin alanlarına tahliye edilmekte veya kentsel dönüşüm sonrasında yeni taşındıkları yerleşim yerinin ekonomik ihtiyaçlarını karşılama yönünden yetersiz oldukları için ilerisi belli olmayan bir geleceğe doğru yönelmiş olmaktadır (Arslan, 2014).

Kentsel dönüşüm çalışmaları nedeniyle konutların satış ve kira fiyatları artmıştır. Şehrin merkezi bölgelerinde yapılan dönüşüm projeleri fiyatların yükselmesine sebep olmuştur. İstanbul’da Kadıköy, Esenler, Gaziosmanpaşa bölgelerinde kentsel dönüşüm dolayısıyla evi yıkılarak kiraya çıkan halk, kiralık evlerde talebi yükseltmiş ve kiraların artmasına yol açmıştır. Dönüşümün en çok tartışılan bölgesi Fikirtepe’de markalı konutların projeleri ile konut fiyatları 2 katın üstüne çıkmıştır. Kentsel dönüşümden önce 3 bin TL’nin altında olan metrekare fiyatları, ilk etapta 7500 TL’yi bulmuş ve dönüşüm tamamlandığında Fikirtepe’de evlerin metrekaresinin 7-12 bin dolar olması beklenmektedir (<https://emlakkulisi.com/kentsel-donusum-bolgelerinde-kira-ve-satis-fiyatları-artıyor/189506>).

Kentsel dönüşüm, başlangıçta çok ciddi bir maliyete sahiptir. Altyapı ve üst yapı hizmetleri için ciddi bütçe ayırmak gerekir. Bu açıdan bakıldığında kentsel dönüşümün ciddi bir maddi yük olduğu sonucuna ulaşılabilir. Diğer taraftan, kentsel dönüşümün doğru bir biçimde planlanıp uygulanması durumunda ise elde edilen gelir maliyetin çok üstünde olabilecektir. Bu sebeple, kentsel dönüşüm projesine başlamadan önce, fayda maliyet analizlerinin yapılması ve doğru kararların alınması oldukça önemlidir (Serenli, 2013: 7).

Kentsel dönüşümün önemli hedeflerinden birinin kentteki ya da kentin herhangi bir bölgesindeki bölgesel kalkınma olduğu unutulmamalıdır. Kentsel dönüşüm projelerinde ekonomik kalkınma hedeflenirken, ekonomik kalkınma için çevresel özellikler gözden çıkarılmamalıdır. Ayrıca kentsel dönüşüm projeleri, mal ve hizmetleri halk açısından ulaşılabilir bir biçimde tasarlanmalıdır. Kamu sektörü, özel sektör ya da her ikisi birden faaliyet gösterirken makul fiyatlı, erişilebilir ve kaliteli ürün ve hizmetler ortaya çıkarılmalıdır. Bu durum, projeden sonraki sürecin ekonomik dinamiklerini de olumlu yönde etkileyebilecektir. Son olarak, doğal zenginliklere de özen gösterilmelidir. Projenin gerçekleştiği bölgedeki doğal zenginliklerin rotadan kaldırılması, ilerleyen dönemlerdeki ekonomik yapıya zarar verecektir (Arslan, 2014: 34-35).

Kentsel dönüşüm projelerinin ekonomik açıdan iki önemli olumsuz sonucu olabilmektedir. Birincisi, planlamanın doğru yapılmaması neticesinde proje sonunda istenilen kazanımların elde edilememesi, diğer bir ifadeyle, projenin tamamlandığı bölgedeki ekonomik sistemin canlanmamasıdır. Bunun yanında ciddi bir sorun daha ortaya çıkabilir. Zira kentsel dönüşüm projelerinin temel kazananları sermaye grupları olabilmektedir. Bu noktada, proje sürecinde çalışanlar ve proje sonunda işyeri olanlardan sorun olarak bahsetmek doğru olmaz. Bu durumlar ekonomik açıdan kazanımdır. Ekonomik açıdan sorun olan durumlar, varıl kesimlerin bu süreçlerin sonunda zenginliklerini artırmalarıdır. Özellikle gecekondu bölgelerindeki kaçak yapılanmanın bahane olarak



gösterilmesi ile beraber, söz konusu alanların yasal düzenlemeler ile beraber sermaye kesimlerine aktarılması ekonomik olarak olumsuz bir durumdur (Ergün ve Gül, 2010: 369).

Aslında kentsel dönüşüm projelerinin ekonomik amaçları çok önemlidir. Alparslan ve Tüter (2016)'ya göre ilgili alanda yeni iş imkânları ve istihdam oluşturmak ekonomik hedeflerdendir. Ayrıca, ticari çekim alanı oluşturarak proje için yatırımcıları bu alana çekme konusunda çalışmalar yapılması amaçlanmaktadır. Ekonomik hedefler doğrultusunda özellikle göç eden ailelerin meslek sahibi yapılması ve ekonomik gücünün artırılması konusunda da çalışmalar yapılmaktadır (Alparslan ve Tüter, 2016: 14).

#### 4. SONUÇ

Kentsel dönüşümün amacı, kentsel projelerde yaşam kalitesini artırmak, artan ekonomik dengesizlikleri ve küresel baskıları dengelemek, sosyal eşitsizliği ve konut sıkıntısını ortadan kaldırmak gibi birçok sorunun çözüme kavuşturulmasıdır. Geçmişten günümüze, kentlerdeki sosyal ve ekonomik yapının değişimine paralel olarak kentsel koruma, geliştirme, canlandırma veya yeniden canlandırma, yenileme veya yeniden oluşturma, rehabilite etme veya sağlıklaştırma, temizleme veya alansal temizleme, olmak üzere birçok kentsel dönüşüm yöntemi geliştirilmiştir.

Kentsel dönüşüm dünyada ilk kez 1850'li yıllardan sonra Batı Avrupa'da ortaya çıkmıştır. Dünyada kentsel dönüşüm hareketleri yaşanırken ülkemizde de 1950 sonrası kentleşme hareketleri başlamıştır. Türkiye'de kentsel dönüşüm özellikle 1999 yılında gerçekleşen Marmara depremi sonrası gündeme gelmiştir. Ayrıca hızlı ve denetlenemeyen göç, çarpık yapılaşma ve kültürel değerlerin korunamayıp zarar görmesi gibi etkenler de kentsel dönüşüm projelerine ihtiyacı gündeme getirmiştir. Ülkemizde kentsel dönüşüm projeleri hızlı bir şekilde hayata geçirilmiş ve de geçmektedir. Türkiye'de kentsel dönüşüm; hızlı kentleşme ve gecekondudan apartmana dönüş süreci, kentiçi ruhsatlı ve ruhsatsız yapılaşma süreci ve kentsel dönüşümün yasallaşması süreci olmak üzere üç dönem halinde incelenmiştir.

Kentsel dönüşüm projeleri, kenti sadece fiziksel açıdan değiştirmemekte, aynı zamanda sosyal, ekonomik ve kültürel değişiklikleri de beraberinde getirmektedir. Kentsel dönüşüm; ekonomi, çevre ve toplum da önemli etkiler oluşturmaktadır.

Kentsel dönüşümün ekonomik amaçları; kentteki iş hayatını canlandırmak, değeri düşen kent parçalarını tekrar kente kazandırmak, yaşam kalitesini artırıcı ekonomik modeller ortaya koymak ve kent yönetiminin mali olanaklarını geliştirmektir.

Kentsel dönüşüm faaliyetleri yeni rant alanları oluştururken yeni mağduriyetlerin yaşanmasına da neden olmaktadır. Yeni iş imkanları sayesinde istihdam oluşturulmaktadır. Bu da ekonomi üzerinde olumlu etkiler yaratmaktadır.

Kentsel dönüşüm projeleri ekonomik açıdan, planlamanın doğru yapılmaması durumunda proje sonunda istenilen kazanımların elde edilememesi ve projenin tamamlandığı bölgede ekonomik sistemin canlanmaması şeklinde iki önemli olumsuz sonucu olabilmektedir. Daha yaşanabilir, sağlıklı, güvenli ve altyapısı güçlü yerleşmelerle sosyo-kültürel değerleri koruyan ve sürdürülebilir bir gelecek için kentsel dönüşüm projeleri uygulanmalıdır.

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## Kent Kültürü ve Kimliğinin Algısı: İl Dışından İstanbul'a Gelen Üniversiteli Öğrenciler Örneği<sup>1</sup>

Hilal Güner<sup>1</sup>

Prof. Dr. Adil Oğuzhan<sup>2</sup>

<sup>1</sup> İstanbul Arel Üniversitesi Lisansüstü Eğitim Enstitüsü, Kamu Yönetimi ve Siyaset Anabilim Dalı, e-mail: hilal.guner@gsb.gov.tr

<sup>2</sup> Trakya Üniversitesi İktisadi ve İdari Bilimler Fakültesi, Ekonometri Bölümü, adiloguzhan@trakya.edu.tr - ORCID: 0000-0003-2475-6892

**Özet:** Kent ve insan birbirini tamamlayan iki unsurdur. Kent kavramı kendine has coğrafyası, mimarisi, tarihi ile toplumsal yaşamın harmanlanmasının yansıması olarak ifade edilebilmektedir. Her kent içinde yaşadığı toplumun kültürünü, değerlerini, sosyal ilişkilerini yansıtmakta, bir o kadar da içinde barındırdığı insanları kendine has kimliğiyle esareti altına almaktadır.

Bu çalışmada, İstanbul 'a yükseköğretimleri sebebiyle farklı illerden gelen üniversite öğrencilerinin gözünden kentsel farkındalık, kent kimliği, kent kültürü kavramları ve İstanbul' un kentsel kimliği ve kültürünün nasıl algılandığı belirlenmeye çalışılmıştır. Bu amaçla Haziran 2020-Temmuz 2020 tarihleri arasında 18-26 yaş grubunda bulunan, İstanbul il sınırları içinde devlet ve özel üniversitelerde eğitim gören toplam 510 kız ve erkek öğrenciye online olarak anket uygulanmıştır. Elde edilen bilgiler doğrultusunda veriler istatistiksel testler kullanılarak değerlendirilmiştir.

**Anahtar Kelimeler:** Kent, Kent Kültürü, Kent Kimliği

### Perception of Urban Culture and Identity: An Example of University Students Coming to Istanbul from Outside the Province

**Abstract:** The city and the human are two elements that complement each other. The concept of the city can be expressed as a reflection of the blending of its unique geography, architecture, history and social life. Each city reflects the culture, values and social relations of the society in which it lives, and also enslaves the people it contains with its unique identity.

In this study, it is aimed to determine how the urban identity and culture of Istanbul is perceived from the point of view of university students coming to Istanbul from different provinces due to their higher education. For this purpose, an online questionnaire has applied to 510 female and male students in the 18-26 age group between June 2020 and July 2020. These students study at public and private universities within the borders of Istanbul. Using the data obtained from the questionnaires, the results have evaluated with the help of statistical tests.

**Keywords:** The city, the urban culture, the urban identity

#### 1. GİRİŞ

Dünya üzerinde binlerce kent bulunmaktadır. Bu kentlerin her biri kendine has nitelikler ve özellikler taşımaktadır. Her kent kendisine özgü kültürel, mimari ve sosyal yönüyle ön plana çıkmaktadır. Genel olarak kentlerin ortak özelliklerine bakıldığında, yapılaşmanın fazla olduğu, mimari tarzlarının farklı olduğu, insanların yoğun yaşadığı ve iş imkânlarının fazla olduğu mekânlar olarak bilinmektedir. Bu mekânlar birbirlerinden farklı ve öne çıkan bir takım özellikler bulundurmaktadır.

İnsanlarda olduğu gibi kentlerin de kendilerine mahsus konumunun, kültürünün, tarihinin, sosyal yaşamının, ekonomisinin, yemeklerinin, ikliminin vb. bilgilerinin yer aldığı kimlikleri ve kültürleri bulunmaktadır. Bu bağlamda kent kimliği, bir kenti ait olduğu tüm özgünlükleriyle diğerlerinden ayırma olarak da nitelendirilebilmektedir.

Diğer taraftan her kentin tarihiyle, yaşam tarzıyla, yemekleriyle, lisanıyla, değerleriyle, içinde yaşayan farklı yörelerden gelen insanlarıyla biçimlendirdiği kültürü vardır. Kent kültürü, farklı yöre ve kültürlerden gelen insanların o kente mahsus değerler ekseninde ortak bir paydada buluşmasıdır. Kentin fiziksel, tarihsel, ekonomik yönleri de kent kültürünün oluşumunda etkilidir. Farklı kültürlerden gelen bireyler getirdikleri kültür ile kentin sosyal kurallarını, değerlerini harmanlayarak kent hayatına özgü kültürü şekillendirmektedir. Kent kültürü ve kent kimliği kavramları aynı noktalardan beslenen, gelişen, değişen ve birbirini pekiştiren kavramlardır.

Kent hayatı aldığı göçlerle, gelişen ekonomisiyle, yenilenen mimarisiyle, içinde yaşayan toplumla sürekli bir etkileşim halindedir, durağan değildir. Kent ve birey ikilisi birbirinden bağımsız düşünülemez, iç içe bir ilişki vardır.

<sup>1</sup>Bu çalışma Prof.Dr. Adil Oğuzhan danışmanlığında Hilal Güner'in hazırlamış olduğu yüksek lisans tezinden üretilmiştir.

Kentin fiziki, kültürel, sosyal ve daha birçok yönü bireyler tarafından oluşurken aynı zamanda kentin mimarisi, yaşam biçimi, değerleri insanların değişiminde etkiye bulunmaktadır. Bu karşılıklı etkileşim kentsel örgünün oluşmasından beri süregelen kentleşme kavramını doğurmuştur.

Kentleşme, insanların kentleşme sürecinde toplumsal ilişkilerine, kültürel değerlerine, yaşam biçimlerine göre, kente özgü davranışların, değişimlerin ortaya çıkış sürecidir. Kente yerleşen her insanın süreç içerisinde yaşam biçimi olarak kentleşme olgusuna dönüşmesi kaçınılmazdır.

Bu çalışmanın amacı; kent kimliği ve kültür kavramları perspektifinde kentli bir bireyin sahip olması gereken bilinçlere dair cevap bulmak, bireylerin sonradan dâhil olduğu farklı bir kent hayatına dair izlenimleri hakkında bilgi edinmektir. İstanbul kentinin mimari, kültürel, sosyal vb. yönlerinin geleceğine dair kentin gelişiminde önerilerde bulunarak katkıda bulunmaktadır.

Takip eden bölümünde literatür araştırılması yapılarak İstanbul kenti genel olarak ele alınmıştır. Üçüncü bölümde yapılan anket çalışmasına ilişkin bilgiler ve elde edilen sonuçlar yorumlanmıştır. Son olarak çalışma sonuç bölümü ile sonlandırılmıştır.

## 2. LİTERATÜR TARAMASI

İstanbul, birçok medeniyete başkentlik yapması nedeniyle; tarihsel, kültürel ve doğal güzellikleri ile Türkiye' nin en önemli kentidir. Stratejik konumu, tarihi, turistik ve coğrafi özellikleriyle dünyanın da çok önemli şehirleri arasında yer almaktadır. Alışveriş imkanları, kültürel faaliyetleri, kongre merkezleri, sarayları, semavi dinlere ait yapıları, köprüleri, müzeleri, spor faaliyetleri, eğitim imkanları, sağlık hizmetleri kısacası her türlü ihtiyaca karşılık verebilen bir kent olması yönüyle önemi oldukça fazla olan bir kenttir. Tüm bu yönleri ile Türkiye' nin turizm sektörünün eğitim, inanca, kültür, sağlık, spor, alışveriş vb. alanlarında ülke ekonomisine katkı sağlamasında potansiyeli fazla olan turizmde öncü ikinci önemli şehridir (<https://www.tursab.org.tr/>).

İstanbul, geçmişten bugüne ülke ekonomisinin yatırım, finans, iş, turizm ve ticaretinde merkezi rol oynamıştır. Cumhuriyet tarihinin en büyük yatırımları olarak görülen İstanbul Havalimanı, Osmangazi Köprüsü, Avrasya Tüneli, Yavuz Sultan Selim Köprüsü gibi projeler ile dünyanın da ilgisinin üzerinde olduğu İstanbul, milli gelir artışında da önderlik yapmaktadır ( <http://www.istanbul.gov.tr/>).

Literatürde İstanbul' u konu eden çalışmalardan biri Engez'e aittir. Engez (2007), Küreselleşme sürecinde kentlerin imaj ve kimlikleri: karşılaştırmalı İstanbul örneğinde, İstanbul' un imaj ve kimliği Londra ile karşılaştırma yapılarak ele alınmış, İstanbul' un kültürel ve tarihi değerlere bağlı kalarak gelişmesi konusunda eksikliklerinin olduğu ve modernleşme çabasıyla geleneksel dokusundan uzaklaştığı dile getirilmiştir.

Ateiga (2008), Türkiye' nin tanıtımında İstanbul tarihi yarımada' da ki kültür varlıklarının yeri adlı çalışmasında, İstanbul' un sahip olduğu tarihi ve kültürel yapıların tanıtımının yeterince yapılmadığı, restorasyonların kentin mimari yapısına uygun şekilde yapılması ve kültürel değerlerimizi koruma konusunda gerekirse İstanbul da yaşayanlara bilinçlendirme seminerleri verilmesi üzerinde durulmuştur.

Karcioğlu (2013), Mekân Ve Kültür İlişkinin İstanbul Atatürk Bulvarı Kesitinde İncelenmesi: İstanbul modernleşme sürecin de mimari olarak değişim ve dönüşüm sürecine girmiştir. Yenileşme sürecinde oluşturulan bulvarlar ve caddeler kent kimliğine yeni bir kimlik oluşumu da eklemiştir. Atatürk Bulvarı da İstanbul' un modernleşme sürecinin bir ürünüdür. Bulvar üzerine yapılan müdahaleler ile doğal oluşumdan uzak bir mekan inşa edilmiştir. Modernleşme adı altında yapılan kentsel dönüşüm ve değişimlerin kente ait öz kimliği zedeleyerek yeni bir kimliğe doğru değişime uğrattığına vurgu yapmıştır.

Özkan (2014), İstanbul için üretilen kentsel projelerin İstanbul kent imajına etkileri adlı çalışmasında, İstanbul için planlanan projelerin kent kimliğine etkilerinin düşünülmeden tek bir amaca bağlı olarak gerçekleştirilmesinin İstanbul' un imajı için bir takım sorunları meydana getirdiğini ifade etmiştir. İstanbul gibi etkili bir imaj ve kimliğe sahip kente daha da çekicilik katmak adına yapılan projelerin kente daha da zarar verdiği görülmüştür. İmaj kapsamında yapılacak projelerin kentin kültür ve kimliğine uygun şekilde yapılması gerektiğini belirtmiştir.

Oyman (2019), İstanbul' daki üniversite gençliğinin toplumsal mekan şehir algısı: İstanbul konumu, mimarisi, tarihi yapısıyla birçok farklı yapıya sahiptir. İstanbul Ticaret Üniversitesi Sütlüce kampüsünde İstanbul' a bir kimlik verilmesine dair yapılan çalışmada, İstanbul algısının mekan, görsellik ve imkanlar üzerinden şekillendiğini belirtmiştir

### 3. ÇALIŞMA KAPSAMI VE BULGULAR

Çalışmada saha araştırması yapılarak istatistiki yöntem ve tekniklerle elde edilen veriler yorumlanmıştır. Araştırmanın evrenini 18-26 yaş grubunda bulunan İstanbul il sınırları içinde devlet ve özel üniversitelerde eğitim gören kız ve erkek öğrenciler oluşturmaktadır. Ankete katılanlar kolayda örneklem tekniği ile belirlenmiştir. Anket çalışması Haziran 2020-Temmuz 2020 tarihleri arasında yapılmıştır. Anketler online olarak yapılmış olup geçerli yanıtlara sahip 510 anket değerlendirilmiştir.

Farklı şehirlerden gelmiş öğrencilerin kentlerin kimlik ve kültürlerine bakış açılarını İstanbul üzerinden tespit edebilmek için öğrencilere İstanbul' u anlatan, nasıl bir şehir olduğuna dair ve yapılan çalışmaların ne kadar yeterli olup olmadığına ilişkin bilgiler elde edilmeye çalışılmıştır. Ankette 7' si açık uçlu 10' u ise kapalı uçlu olmak üzere 17 adet sosyo –ekonomik bilgiler içeren sorular yer almaktadır. Ankette yer alan soruların hazırlanmasında daha önce bu ve benzeri alanda yapılmış olan çalışmalardan yararlanılmıştır. Ankette yer alan kent ve İstanbul kentine ilişkin yargıları elde etmek amacıyla 5' li likert ölçekli sorular eklenerek veriler elde edilmiştir.

Anketten elde edilen veriler SPSS paket programına aktarılarak analiz edilmiştir. Anket analizlerinde istatistiki yöntem ve tekniklerden betimsel istatistiklerden frekans analizi, ortalama, standart sapma ve değişkenlerin birbirinden bağımsız olup olmadığı testi için ki kare bağımsızlık testleri kullanılmıştır.

#### 3.1. Bulguların Değerlendirilmesi

Çalışmada ilk olarak sorulara ilişkin frekans analizleri yapılmış olup, elde edilen sonuçlar aşağıdaki gibi özetlenebilmektedir;

- Ankete katılan öğrencilerin cinsiyetlerine bakıldığında %46.1' i erkek ve %53.9 ise kızlardan oluşmaktadır.
- Katılımcıların %51.8' i 18-20 yaş Aralığında, %39.8' i 21-23 yaş aralığında iken %8.4' ü ise 24 yaş ve üstü grubuna girmektedir.
- Katılımcıların %39.8' i İstanbul Üniversitesinde, %6.1' i Marmara Üniversitesinde, %17.6' sı Yıldız Teknik Üniversitesinde, %2.4' ü İstanbul Gelişim Üniversitesinde, %0.2' si Doğu Üniversitesinde, %2.0' ı Sağlık Bilimleri Üniversitesinde, % 5.5' i Mimar Sinan Üniversitesinde, %26.5' i İstanbul ilinde bulunan diğer üniversitelerde öğrenim görmektedir.
- Katılımcıların %10.0' ı Hukuk, %1.4' ü Diş Hekimliği, % 22.4' ü Mühendislik, %12.5' i İktisadi ve İdari Bilimler Fakültesi, % 4.7' si Tıp, %5.5' i Mimarlık, % 3.3' ü İletişim, %0.8' i Uygulamalı Bilimler, % 13.5' i Fen-Edebiyat, % 2.0' ı Güzel Sanatlar, %11.8' i Sağlık Bilimler Hizmetleri, %2.4' ü Sosyal Bilimler Hizmetleri, % 5.5' i Eğitim, %2.0' i Eczacılık, %1.8' i İlahiyat, % 0.4' ü Veterinerlik, %0.2' si Konservatuar bölümlerinde okumaktadır.
- Katılımcıların %6.5' i hazırlık, %31.0' ı 1. sınıf, % 27.3' ü 2. sınıf, %17.8' i 3. sınıf, % 15.9' u 4. sınıf, % 1.6' sı 5 ve üstü sınıflarda okumaktadır.
- Katılımcıların %17.8' i Marmara, % 19.8' i Karadeniz, %11.8' i İç Anadolu, %12.2' si Doğu Anadolu, % 11.2' si Güneydoğu Anadolu, % 11.6' sı Ege, %15.7' si Akdeniz Bölgelerinden İstanbul' a gelmiştir.
- Katılımcıların %29.0' ı 1-2 den az yıl, %26.1' i 2-3 den az, %21.6' sı 3-4 den az, %12.4' ü 4-5 den az, %11.0' ı 5 ve üstü yıl İstanbul da ikamet etmektedir.
- Katılımcıların Babalarının %22.0' ı Memur, %18.6' sı İşçi, % 9.4' ü Esnaf, %26.5' i Emekli, %5.3' ü İşsiz, %18.2' si Diğer Mesleklerle uğraşmaktadır.
- Katılımcıların Annelerinin %8.0' ı Memur, %6.9' u İşçi, % 1.6' sı Esnaf, %3.3' ü Emekli, %4.3' ü İşsiz, %75.9' u Diğer Mesleklerle uğraşmaktadır.
- Katılımcıların ailelerinin aylık gelir ortalamalarının %22.2' si 2000 ve az, %31.2' si 2001-3000, %22.5' i 3001-4000, %11.4' ü 4001-5000, %12.7' si 5001 ve daha fazla aylık ortalama gelire sahiptir.
- Katılımcıların aylık ortalama harcamalarının % 12.4' ü 250-500, %29.6' sı 501-750, %29.0' ı 751-1000, %19.4' ü 1001-1500, % 9.6' sı 1501 ve üzeri aylık ortalama harcama yapmaktadır.

Temel sosyo-demografik sorulara ilişkin değerlendirmeler yapıldıktan sonra ankete katılanların kente ilişkin Yargılarına ait betimsel istatistik değerleri hesaplanmış ve elde edilen sonuçlar Tablo 1' de verilmiştir.

Tablo 1: Katılımcıların Kente İlişkin Yargılarının Betimsel İstatistikleri

	Kesinlikle katılmıyorum	Katılmıyorum	Fikrim Yok	Katılıyorum	Kesinlikle katılıyorum
Tarım kentidir	250 49	198 38.8	41 8	7 1.4	14 2.7
Sanayi ve hizmet kentidir	19 3.7	30 5.9	30 5.9	302 59.2	129 25.3
Kültür kentidir	15 2.9	19 3.7	17 3.3	42.7 42.7	241 47.3
Spora destek veren bir kenttir	25 4.9	42 8.2	121 23.7	226 44.3	96 18.8
Planlı kentleşmiştir.	245 48.0	160 31.4	48 9.4	37 7.3	20 3.9
Üniversiteli kentidir	34 6.7	78 15.3	37 7.3	261 51.2	100 19.6
Ulaşım kentidir	38 7.5	74 14.5	42 8.2	253 49.6	103 20.2
Dini değerlerle dolu bir kenttir	25 4.9	38 7.5	91 17.8	243 47.6	113 22.2
Eğlence kentidir.	15 2.9	22 4.3	51 10.0	271 53.1	151 29.6
Doğal güzellikleri ve yeşil alanları ile ün yapmış bir şehirdir.	120 23.5	176 34.5	64 12.5	113 22.2	37 7.3
Trafik sorunu olan bir kenttir	22 4.3	9 1.8	9 1.8	127 24.9	343 67.3
Betonarme yapıların artışı ile yıpranmıştır	21 4.1	7 1.4	28 5.5	130 25.5	324 63.5
Tarihi açıdan zengindir	10 2.0	7 1.4	13 2.5	151 29.6	329 64.5

Bir kenti anlamamız için onu en iyi niteleyen unsurları bilmemiz gerekmektedir. İstanbul' un tarih boyunca farklı milletlere, devletlere, inançlara ev sahipliği etmesi ve onlardan kalan gerek mimari gerek kültürel mirasları içerisinde barındırması onun tarihsel zenginliğinin yadsınamaz bir boyutta olmasına sebep olmuştur. Bu bağlamda katılımcıların %94.1'i İstanbul' un Tarihi açıdan zengin olduğunu belirtmiştir.

İstanbul' un nüfus fazlalığı sebebiyle yapılaşma ve inşaat çalışmalarının giderek artan bir kent olma yönünde ilerlemesiyle katılımcıların %89.0'unun betonarme yapıların artışı ile yıprandığını düşünmelerine neden olmuştur.

İstanbul, Avrupa ile Asya kıtalarını birbirine bağlayan, ticari, sosyal, eğitim, finans vb. yönleriyle ülkemiz için en önemli metropoldür. Nüfus bakımından en kalabalık kent olması, sürekli dışarıdan insan göçü aldığı gibi araç göçünde alması, bulunduğu konum olarak geçiş güzergahları üzerinde bulunması ve kent sakinlerinin bir kısmının da kendi araçlarıyla ulaşımını sağlaması trafik sorununun oluşmasında etken olmuştur. Ankete katılan gençlerin %92.2' si İstanbul' un trafik sorunu olan bir kent olduğunu belirtmişlerdir.

Gelişen şehirleşme ve teknoloji sebebiyle sanayi ve hizmet sektörleri ön planda olmuş, tarımsal faaliyetler İstanbul için daha arka planda kalmıştır, katılımcıların %87.8'i de İstanbul' un tarım kenti olduğuna katılmadığını ifade etmiştir.

Katılımcıların %58.0' ı İstanbul' un doğal güzellikleri ve yeşil alanları ile ün yapmış bir şehir olduğuna katılmamaktadır. İstanbul' un her ne kadar sayısız orman, yeşil alanları, doğal güzellikleri olsa da gerektiği kadar değer verilmediği ve şehrin büyüklüğüne göre yeşil alanlarının yeterli görülmediği anlaşılmaktadır.

İnsanların doğal ihtiyaçlarını dikkate alan, estetik bir gözle yapılan, mevcut tarihi dokular korunarak, bir uyum ve düzen içinde yapılan planlı bir kentleşme her şehir için olması istenen bir düzendir. Katılımcıların %79.4' ü İstanbul' un bu şekilde bir planlı kentleşme olduğuna katılmamaktadır.

Ankete katılanların İstanbul' un İmaj ve Hizmetlerine İlişkin Memnuniyetlerine ilişkin sorulara verdiği cevaplara ait sonuçlar Tablo 2' de verilmiştir.

Tablo 2: Katılımcıların İstanbul'un İmaj ve Hizmetlerine İlişkin Memnuniyetleri

	Kesinlikle katılmıyorum	Katılmıyorum	Fikrim Yok	Katıyorum	Kesinlikle katılıyorum
Okulum bitince İstanbul'da kalıp çalışmak isterim	44 8.6	90 17.6	94 18.4	178 34.9	103 20.2
Yerel hizmetlerden memnunum	26 5.1	107 21.0	150 29.4	197 38.6	30 5.9
İstanbul'un kent imajı ve kent kültürünü beğeniyorum	33 6.5	137 26.9	86 16.9	212 41.6	42 8.2
Belediye'nin üniversite öğrencilerine yönelik hizmetlerinden memnunum	62 12.2	145 28.4	110 21.6	155 30.4	38 7.5
İstanbul'un kent kimliği, kültürü ve imajına yönelik çalışmaları yeterli buluyorum	73 14.3	194 38.0	120 23.5	106 20.8	17 3.3
İstanbul'da kendimi güvende hissediyorum	151 29.6	184 36.1	70 13.7	86 16.9	19 3.7
Kendimi İstanbul'a ait hissediyorum	80 15.7	100 19.6	107 21.0	156 30.6	67 13.1

İstanbul'un imaj ve kentte verilen hizmetlerine ilişkin memnuniyetlerini ortaya koyarken, katılımcıların okulları bitince İstanbul'da kalıp çalışmak isteyip istemediklerine verdikleri yanıtta %55.1' i olumlu bakmıştır.

Katılımcıların %44.5' i yerel hizmetlerden memnundur. Ancak % 25.58' i Belediye'nin üniversite öğrencilerine yönelik hizmetlerinden memnun olmadığını ifade ederken yaklaşık %30' u da kararsız olduklarını beyan etmiştir.

Katılımcılarımızın %49.8' i İstanbul'un kent imajı ve kent kültürünü beğenmektedir. Öte yandan %52.3' ü İstanbul'un kent kimliği, kültürü ve imajına yönelik çalışmaları yeterli bulmamaktadır. Buradan da anlaşılacağı üzere katılımcıların çoğunluğu İstanbul'un kent kimliği ve kültürünü beğenmekte ancak yapılan çalışmaları yetersiz bulmaktadır.

İstanbul Kentinin Sunduğu imkânlarla yönelik öğrencilerin vermiş olduğu cevaplar Tablo 3'te sunulmaktadır.

Tablo 3: Katılımcıların İstanbul Kentinin Sunduğu Fırsatlara İlişkin Görüşleri

	Kesinlikle katılmıyorum	Katılmıyorum	Fikrim Yok	Katıyorum	Kesinlikle katılıyorum
Olumsuz yönleri olsa da asla vazgeçemeyecem bir şehir	68 13.3	120 23.5	78 15.3	173 33.9	71 13.9
Kendimi özgür hissettiğim bir şehirdir	20 3.9	72 14.1	49 9.6	262 51.4	107 21.0
Öğrencilerin kendilerini geliştirmeleri için imkânları fazla olan bir şehirdir	12 2.4	31 6.1	36 7.1	255 50.0	176 34.5
Okulum bitince hemen ayrılacağım bir daha da gelmeyi düşünmediğim bir şehir	168 32.9	174 34.1	92 18.0	55 10.8	21 4.1

İstanbul üniversite öğrencilerinin eğitim, spor, kültür, vb. hemen hemen her alanda kendilerini geliştirebilmeleri için imkân ve fırsat yelpazesinin en geniş olduğu kentlerimizdendir. Katılımcıların %84.5' i de öğrencilerin kendilerini geliştirmeleri için imkânları fazla olan bir şehirdir ifadesine katılmaktadır.

Katılımcıların %67.0' ı İstanbul okulum bitince hemen ayrılacağım bir daha da gelmeyi düşünmediğim bir şehirdir ifadesine katılmamaktadır. Anketimize katılan il dışından gelen üniversiteli katılımcıların çoğunluğunun İstanbul'a karşı olumsuz bir algısının olmadığı gözlenmektedir.

"İstanbul kendimi özgür hissettiğim bir şehirdir" ifadesine öğrencilerimizin %72.4' ü katılmaktadır. İstanbul'un her inanca her kültüre her kimliğe özgürce yaşam alanı sunduğu bir şehir olduğu düşünüldüğü görülmektedir.

Kent hayatı, içinde yaşayan bireylere sayısız imkânlar ve farklı mekânlar sunan yaşamsal alanlardır. Bu yaşam alanı içerisinde kent hayatının getirisi olan bir takım kurallara, davranışlara bireylerin uyum sağlaması gerekmektedir. Katılımcıların % 81.4' ü kentli olmanın kentin kurallarına uymakla olduğuna katıldıklarını beyan etmişlerdir.

Kent Kimliğinin Geliştirilebilmesine yönelik katılımcılardan alınan cevaplara ilişkin veriler Tablo 4'te özetlenmektedir.

Tablo 4: Katılımcıların Kent Kimliğinin Geliştirilebilmesi İçin Beklentileri

	Kesinlikle katılmıyorum	Katılmıyorum	Fikrim Yok	Katılıyorum	Kesinlikle katılıyorum
Yeşil alanlar arttırılmalı	12 2.4	10 2.0	12 2.4	153 30.0	323 63.3
Ulaşım ve altyapı çalışmaları arttırılmalı	6 1.2	13 2.5	19 3.7	190 37.3	282 55.3
Tarihi binalar restore edilmeli	20 3.9	23 4.5	50 9.8	167 32.7	250 49.0
Kültürel ve sportif faaliyetlere uygun mekânlar arttırılmalı	6 1.2	3 0.6	32 6.3	185 36.3	284 55.7
Park,bahçe gibi alanların peyzaj çalışmalarına önem verilmeli	10 2.0	13 2.5	43 8.4	173 33.9	271 53.1
Mimari yapılar (ev,işyerleri vs.) belirli bir düzen ve şekil içinde inşa edilmeli	11 2.2	12 2.4	14 2.7	135 26.5	338 66.3

Kentler farklı kültür ve kimlik de olan bireylerin bir araya geldiği, kültür ve kimlik mozağının hayat bulduğu alanlar olduğu için buralarda birlik ve bütünlüğü sağlamak için saygı en başta olması gereken davranışlardandır. Kentli olmak, bireysel istek ve arzularımıza göre fütursuzca hareket edebildiğimiz bir kavram değildir aksine topluluk içinde kimseyi rahatsız etmeyecek şekilde hal ve hareketlerde bulunma yükümlülüğü veren bir olgudur. Katılımcılarımızın da %67.8' i kentli olmanın saygılı ve görgülü olmayı ifade ettiğine katılmıştır. Ankete katılan öğrencilerin %69.2' si kendilerini kentli olarak görmektedir.

“Kent kimliğinin geliştirilebilmesi için hangisine daha fazla ağırlık verilmesi yönünde beklentilere gelince katılımcıların % 92.8' i mimari yapıların belirli bir düzen ve şekil içinde inşa edilmesi gerektiği beyan ederken diğer bir beklenti olan , %93.3' ü yeşil alanların arttırılması gerektiğine katılmaktadırlar. Ayrıca katılımcıların %92.0' kültürel ve sportif faaliyetlere uygun mekânların arttırılması yargısını taşımaktadırlar.

Katılımcılarımızın ifadelerinden anlaşıldığı üzere kentte kültürel ve sportif etkinliklerin, bunların gerçekleştiği mekânların artırılması, var olan orman, park, bahçe, yeşil alanların yeterli görülmediği, var olanların korunarak yeşil alanların daha da artırılması gerektiği ve mimari yapıların belirli bir uyum içinde olması gerektiği görülmektedir.

Tablo 5:Katılımcıların Kenti Sahiplenme Bilincine İlişkin Görüşleri

	Kesinlikle Katılmıyorum	Katılmıyorum	Fikrim Yok	Katılıyorum	Kesinlikle Katılıyorum
Kentin gerçek sahibi kentte doğup büyüyendir.	136 26.7	226 44.3	59 11.6	58 11.4	31 6.1
Kentin gerçek sahibi kentte yaşayan herkeştir.	31 6.1	88 17.3	56 11.0	215 42.2	120 23.5
Kentin sosyal ve fiziki açıdan gelişmesi, daha düzenli ve yaşanılabilir bir yer olmasında en büyük sorumluluk yerel yönetimlerden belediyeye aittir.	7 1.4	54 10.6	82 16.1	242 47.5	125 24.5



Kentin sosyal ve fiziki açıdan gelişmesi daha düzenli ve yaşanılabilir bir yer olmasında en büyük sorumluluk kentte yaşayanlara aittir.	12 2.4	43 8.4	56 11.0	268 52.5	131 25.7
Kent yaşamı gelenek ve göreneklere verilen değeri azaltmaktadır.	54 10.6	145 28.4	82 16.1	158 31.0	71 13.9
Toplu taşıma araçlarında yaşlılara, özürllülere ve hamilelere yer vermeye özen gösteririm.	14 2.7	22 4.3	49 9.6	245 48.0	180 35.3
Sokağa tükürülmesine, yerlere izmarit atılmasını ve cadde ortasında yürünmesini yadırgarım.	8 1.6	15 2.9	32 6.3	152 29.8	303 59.4
İstanbul da yaşamaktan memnunum	21 4.1	60 11.8	94 18.4	246 48.2	89 17.5
İlk fırsatta İstanbul dan ayrılırım	129 25.3	183 35.9	102 20.0	63 12.4	33 6.5
Büyükşehir Belediyesi ulaşım, imar alt yapı gibi projelerde halkın görüşünü almalıdır.	14 2.7	18 3.5	33 6.5	186 36.5	259 50.8

Katılımcıların kentleşme bilinci ve kenti sahiplenmelerine ilişkin görüşlerine bakıldığında şehrin temiz ve düzenli olmasına gelince katılımcıların %89.2' si sokağa tükürülmesini, yerlere izmarit atılmasını ve cadde ortasında yürünmesini yadırgamakta, % 83.3' ü toplu taşıma araçlarında yaşlılara, özürllülere ve hamilelere yer vermeye özen göstermesini benimsemektedirler.

“Kent, farklı mekânlardan, farklı coğrafyalardan, farklı kimlik ve kültürlerden gelen insanların bütünleşerek oluşturduğu, dışarıdan süregelen bir göç alan mekânlardır dolayısıyla kentin gerçek sahibi kente doğup büyüyenlerdir demek uygun bir ifade olamayacaktır. Katılımcıların da %71.0' ı kentin gerçek sahibinin kente doğup büyüyenlerin olduğuna katılmadığını belirtmiştir.

Katılımcıların % 61.2' si ilk fırsatta İstanbul dan ayrılmayacağını ifade etmekte, buradan da katılımcıların İstanbul da yaşamaya olumlu baktıkları görülmektedir.

Kent içindeki hizmetler, orada yaşayan bireylerin görüş ve önerisiyle şekillenerek daha kolay, hızlı ve çözüme yakın olabilmektedir. Çünkü yerel hizmetlerde neyin gerekli olduğuna ya da işlevsel olarak nasıl bir etki oluşturacağına, kent yaşamı içinde nelere ihtiyaç duyulduğuna en iyi orada yaşayanlar ve o hizmeti aktif şekilde kullanacak olan kent sakinleri olduğu için görüşlerinin alınması hizmetlerin daha sağlıklı olması açısından önemlidir. Katılımcıların %87.3' ü de Büyükşehir Belediyesinin ulaşım, imar ve alt yapı gibi projelerinde halkın görüşünü alması gerektiğini ifade etmiştir.

Katılımcıların kente ilişkin tanımlama yargılarının sosyo-ekonomik durumlarından bağımsızlığını test etmek amacıyla Ki-Kare analizinden faydalanılmıştır. Katılımcıların kente ilişkin tanımlama yargılarının sosyo ekonomik durumlarından bağımsızlığına ilişkin test sonucu Tablo 6'da verilmiştir.

Tablo 6: Katılımcıların Kente İlişkin Tanımlama Yargılarının Sosyo Ekonomik Durumlarından Bağımsızlığı Test Sonucu

	Cinsiyet	Okuduğu Üniversite	Geldiği İl	Ailenin Geliri	Aylık Ortalama harcama
Tarım kentidir	<b>Ho Red</b>	Ho Kabul	Ho Kabul	Ho Kabul	Ho Kabul
Sanayi ve hizmet kentidir	<b>Ho Red</b>	Ho Kabul	Ho Kabul	Ho Kabul	Ho Kabul
Kültür kentidir	<b>Ho Red</b>	<b>Ho Red</b>	<b>Ho Red</b>	Ho Kabul	Ho Kabul
Spora destek veren bir kenttir	Ho Kabul	Ho Kabul	Ho Kabul	Ho Kabul	<b>Ho Red</b>
Planlı kentleşmiştir.	Ho Kabul	Ho Kabul	Ho Kabul	Ho Kabul	Ho Kabul
Üniversiteli kentidir	<b>Ho Red</b>	Ho Kabul	Ho Kabul	<b>Ho Red</b>	Ho Kabul
Ulaşım kentidir	<b>Ho Red</b>	Ho Kabul	Ho Kabul	Ho Kabul	Ho Kabul
Dini değerlerle dolu bir kenttir	Ho Kabul	Ho Kabul	<b>Ho Red</b>	Ho Kabul	Ho Kabul
Eğlence kentidir.	Ho Kabul	Ho Kabul	Ho Kabul	Ho Kabul	Ho Kabul
Doğal güzellikleri ve yeşil alanları ile ün yapmış bir şehirdir.	Ho Kabul	Ho Kabul	Ho Kabul	Ho Kabul	Ho Kabul
Trafik sorunu olan bir kenttir	<b>Ho Red</b>	<b>Ho Red</b>	Ho Kabul	Ho Kabul	<b>Ho Red</b>
Betonarme yapıların artışı ile yıpranmıştır	Ho Kabul	Ho Kabul	<b>Ho Red</b>	Ho Kabul	Ho Kabul
Tarihi açıdan zengindir	<b>Ho Red</b>	Ho Kabul	Ho Kabul	Ho Kabul	Ho Kabul

Tablo 6'ya göre katılımcıların kente ilişkin tanımlama yargılarının sosyo ekonomik durumlarından bağımsızlığı topluca Ki-Kare bağımsızlık test sonuçlarına göre bakıldığında, İstanbul' u tarım kenti olarak yargılayanların sosyo-ekonomik yapılarında cinsiyetlerinden bağımsız olmadığı test sonucu belirlenmiştir.

Benzer şekilde İstanbul' u sanayi ve hizmet kendi olarak tanımlayanlarında katılımcıların cinsiyetine bağımlı olduğu belirlenmiştir.

İstanbul' un kültür kenti olmasının il dışından bu kente gelenlerin cinsiyetlerine, geldikleri il ve okuduğu üniversiteden bağımsız olmamasına karşın ailesinin geliri ve kendisini aylık harcamasına göre bağımlı olduğu test sonucu belirlenmiştir.

Tablo 7: Katılımcıların İstanbul Kentine İlişkin Memnuniyetlerinin Sosyo Ekonomik Durumlarından Bağımsızlığı Test Sonuçları

	Cinsiyet	Okuduğu Üniversite	Geldiği İl	Ailenin Geliri	Aylık Ortalama harcama
Okulum bitince İstanbul'da kalıp çalışmak isterim	Ho Kabul	Ho Kabul	Ho Kabul	Ho Kabul	Ho Kabul
Yerel hizmetlerden memnunum	<b>Ho Red</b>	Ho Kabul	Ho Kabul	Ho Kabul	Ho Kabul
İstanbul'un kent imajı ve kent kültürünü beğeniyorum	Ho Kabul	Ho Kabul	Ho Kabul	Ho Kabul	Ho Kabul
Belediye'nin üniversite öğrencilerine yönelik hizmetlerinden memnunum	Ho Kabul	Ho Kabul	<b>Ho Red</b>	Ho Kabul	Ho Kabul
İstanbul'un kent kimliği, kültürü ve imajına yönelik çalışmaları yeterli buluyorum	Ho Kabul	Ho Kabul	<b>Ho Red</b>	Ho Kabul	Ho Kabul
İstanbul'da kendimi güvende hissediyorum	<b>Ho Red</b>	Ho Kabul	Ho Kabul	Ho Kabul	Ho Kabul
Kendimi İstanbul'a ait hissediyorum	Ho Kabul	Ho Kabul	Ho Kabul	Ho Kabul	Ho Kabul

Katılımcıların İstanbul kentine ilişkin memnuniyetlerinin Sosyo Ekonomik durumlarından bağımsızlığı Ki-Kare bağımsızlık test sonuçlarına bakıldığında İstanbul' a dışardan gelenlerin okullarının bitmesi durumunda İstanbul' da kalıp çalışmayı isteme düşüncesi, kentin imaj ve kenti beğenmelerine ilaveten İstanbul' a aidiyet duygularının öğrencilerin cinsiyet, okuduğu bölüm, geldiği il, ailesinin gelir durumu ve İstanbul'daki aylık harcamalarında bağımsız olduğu test sonucu belirlenmiştir.

Katılımcı öğrencilerin yerel hizmetlerden memnuniyet ve bu kentte kendisini güvende his etmeleri Üniversite'de okuduğu bölüm, geldiği il, ailesinin gelir durumu ve İstanbul'daki aylık harcamalarında bağımsız olduğu ancak cinsiyetlerine göre bağımsızlığın söz konusu olmadığı test sonucu belirlenmiştir.

İstanbul' a il dışından gelen öğrencilerden katılımcı olarak araştırmaya söz konusu olanların kenti sahiplenme bilinçlerinin sosyo-ekonomik faktörlere göre yargılarında farklılık olup olmadığını t testi ve Tek Yönlü varyans Analizi ile test edilmiş ve test sonuçları Tablo 8'de verilmiştir.

Tablo 8: Katılımcıların Kenti Sahiplenme Bilincinin Sosyo-Ekonomik Faktörlere Göre Farklılığın Testi

	Cinsiyet	Okuduğu Bölüm	Geldiği İl	Ailenin Geliri	Aylık Ortalama harcama
Kullanılan Yöntem	t test	ANOVA	ANOVA	ANOVA	ANOVA
Kentin gerçek sahibi kentte doğup büyüyendir.	Ho Kabul	Ho Kabul	Ho Kabul	Ho Kabul	Ho Kabul
Kentin gerçek sahibi kentte yaşayan herkeştir.	Ho Kabul	Ho Kabul	Ho Kabul	Ho Kabul	Ho Kabul
Kentin sosyal ve fiziki açıdan gelişmesi, daha düzenli ve yaşanılabilir bir yer olmasında en büyük sorumluluk yerel yönetimlerden belediyeye aittir.	<b>Ho Red K &gt; E</b>	Ho Kabul	Ho Kabul	Ho Kabul	Ho Kabul
Kentin sosyal ve fiziki açıdan gelişmesi daha düzenli ve yaşanılabilir bir yer olmasında en büyük sorumluluk kentte yaşayanlara aittir.	<b>Ho Red K &gt; E</b>	Ho Kabul	Ho Kabul	Ho Kabul	Ho Kabul
Kent yaşamı gelenek ve göreneklere verilen değeri azaltmaktadır.	<b>Ho Red E &gt; K</b>	Ho Kabul	Ho Kabul	Ho Kabul	Ho Kabul

Toplu taşıma araçlarında yaşlılara, özürllülere ve hamilelere yer vermeye özen gösteririm.	Ho Kabul	Ho Ret	Ho Kabul	Ho Kabul	Ho Red 501-750>1001-1500
Sokağa tükürülmesine, yerlere izmarit atılmasını ve cadde ortasında yürünmesini yadırgarım.	Ho Red K > E	Ho Kabul	Ho Kabul	Ho Kabul	Ho Kabul
İstanbul da yaşamaktan memnunuz	Ho Kabul	Ho Ret	Ho Ret Karadeniz>Doğu Anadolu İç Anadolu>Doğu Anadolu Akdeniz > Doğu Anadolu	Ho Kabul	Ho Kabul
İlk fırsatta İstanbul dan ayrılıyorum	Ho Red E > K	Ho Ret	Ho Ret Doğu Anadolu >Karadeniz	Ho Kabul	Ho Kabul
Büyükşehir Belediyesi ulaşım, imar alt yapı gibi projelerde halkın görüşünü almalıdır.	Ho Kabul	Ho Kabul	Ho Kabul	Ho Kabul	Ho Kabul

Tablo 8’de verilen sonuçlara göre öğrencilerin cinsiyet, okuduğu bölüm, geldiği il, ailesinin aylık geliri ve kendisinin İstanbul’da harcadığı aylık harcamasına göre kendi sahiplenme bilinci maddelerine verdikleri puanların farklı olup olmadığına bakıldığında “ Kentin sosyal ve fiziki açıdan gelişmesi, daha düzenli ve yaşanılabilir bir yer olmasında en büyük sorumluluk yerel yönetimlerden belediyeye ve ayrıca kentte yaşayanlara ait olmalıdır düşüncesine verilen puan ortalaması olarak kızlar erkeklere göre daha fazla katılmışlardır.

Öğrencilerin geldiği illere göre İstanbul da yaşamaktan memnun olanların puanları Karadeniz, İç Anadolu ve Akdeniz’den gelenler Doğu Anadolu’ dan gelenler göre ortalama olarak daha memnun oldukları test sonucu belirlenmiştir.

Öğrencilerin ortalama aylık harcamalarına göre toplu taşıma araçlarında yaşlılara, özürllülere ve hamilelere yer vermeye özen gösterilmeli yargısına 501-750 harcama sınıfında olanlar 1001-1500 olanlara göre test sonucu daha duyarlı olduklarını söylemek mümkün olabilmektedir.

Tablo 9: Katılımcıların Kentli Olma Düşüncesine İlişkin Yargıları

	Cinsiyet	Okuduğu Bölüm	Geldiği il	Ailenin Geliri	Aylık Ortalama harcama
Kullanılan Yöntem	t test	ANOVA	ANOVA	ANOVA	ANOVA
Belirli bir kültüre sahip olmayı	Ho Kabul	Ho Kabul	Ho Kabul	Ho Kabul	Ho Kabul
Modern ve uygar olmayı	Ho Kabul	Ho Kabul	Ho Kabul	Ho Kabul	Ho red 1001-1500 > 250-500 ve 500-750
Saygılı ve görgülü olmayı	Ho Kabul	Ho Kabul	Ho Kabul	Ho Kabul	Ho Red 1001-1500 > 250-500
Eğitilmiş olmayı	Ho Kabul	Ho Kabul	Ho Kabul	Ho Kabul	Ho Kabul
Kentin kurallarına uymayı	Ho Kabul	Ho Kabul	Ho Kabul	Ho Kabul	Ho Kabul
Kendimi kentli olarak görmekteyim.	Ho Red K > E	Ho Kabul	Ho Kabul	Ho Kabul	Ho Red 1001-1500 > 501-750

Tablo 9’da İstanbul’ a il dışından üniversite eğitimi için gelen öğrencilerin kentli olma düşüncelerinden farklı aylık ortalama harcamalarına göre 1001-1500 arasındakiler 250-500 ve 500-750 para birimi arasında harcamaya sahip olanlara göre; Bir kentli modern ve uygar olmalı düşüncesini daha fazla benimsediklerini ortaya koyarken, 1001-1500 arasındakiler 250-500 para birimi arasında harcamaya sahip olanlara göre saygılı ve görgülü olmayı daha fazla benimsemektedirler. Ayrıca kendilerini kentli olarak görenler arasındaki harcama gruplarına gelince 1001-1500 grubu 500-750 harcama grubuna göre bu fikri benimsemeleri daha güçlü olabilmektedir.

#### 4. SONUÇ

Kentsel kimlik ve kentsel kültür kavramları çerçevesinde, öğrencilerin İstanbul kentinin kimlik ve kültürel unsurlarına dair görüş ve düşüncelerini belirlemek ve İstanbul’ un kentsel gelişimine katkı sağlamak amacıyla gerçekleştirilen bu Çalışma İstanbul’ a üniversite eğitimi almak için farklı illerden gelen, farklı kültür ve değerlere sahip olan, farklı yaş gruplarından olan 510 kız ve erkek öğrencinin katılımıyla gerçekleştirilmiştir. Bu çalışmaya katılan öğrencilerin genel olarak 18-23 yaş aralığında olduğu ve gelir düzeyi orta olan ailelerden oluştuğu belirlenmiştir.

Çalışmaya katılan üniversiteli öğrencilerin İstanbul’ u olumsuz yönleri olsa da asla vazgeçemeyecekleri, kendilerini özgür hissettikleri, kendilerini geliştirmeleri için imkanlarının fazla olduğunu düşündükleri ve öğrencilerin okulları

bitince kalmak istedikleri ya da sonrasında yine gelmek istedikleri bir şehir olarak gördükleri anlaşılmaktadır. Öğrenciler İstanbul' un kent kimliği, kent kültürü ve kent imajını beğenirken bu alanlarda yapılan çalışmaları yeterli görmemektedirler. Ankete katılan öğrencilerin çoğunluğunun Belediyenin üniversite öğrencilerine yönelik hizmetlerinden memnun olmadıkları görülmektedir. Belediyelerin üniversite öğrencilerine yönelik faaliyetlerini, hizmet alanlarını daha da artırması ve öğrencilere bu hizmetleri ulaştırabilme noktasında etkin olması gerekmektedir.

Katılımcıların çoğunluğuna göre kentli olmak sırasıyla; kentin kurallarına uymayı, saygılı ve görgülü olmayı, eğitilmiş olmayı, modern ve uygar olmayı, belirli bir kültüre sahip olmayı gerektirmektedir. Ayrıca katılımcılarımızın çoğunluğu bu sıraladığımız özelliklere sahip olduklarını düşünerek kendilerini kentli olarak görmektedir.

Kent kimliğinin geliştirilebilmesi için kentsel gelişimde daha fazla önem verilmesi gerekenler katılımcıların çoğunluğu tarafından sırasıyla şöyle ifade edilmiştir; mimari yapılar (ev, işyerleri vb.) belirli bir düzen ve şekil içinde inşa edilmeli, yeşil alanlar artırılmalı, kültürel ve sportif faaliyetlere uygun mekanlar artırılmalı, ulaşım ve altyapı çalışmaları artırılmalı, park, bahçe gibi alanların peyzaj çalışmalarına önem verilmeli son olarak da tarihi binalar restore edilmelidir. Aynı zamanda Büyükşehir Belediyesi ulaşım, imar, alt yapı gibi projelerde halkın görüşünü almalıdır.

Katılımcıların gözünden İstanbul kenti; İstanbul kentinde teknolojinin etkisiyle tarımsal üretimin yerini hizmet ve sanayi sektörleri almıştır dolayısıyla bir tarım kenti olarak değil sanayi ve hizmet kenti olarak görülmektedir. Betonarme, çok katlı yapıların artması ile yıpratıldığı, doğal güzellikleri ve yeşil alanlarının yok edildiği, kentin dokusunun bozulduğu düşünülmektedir. Planlı kentleşmenin olmamasından dolayı bu şekilde olduğu düşünülmektedir. Bulunduğu konum gereği ve şehir içerisindeki metro, marmaray, vapur ve bir çok ulaşım araçları ile kentsel ulaşım konusunda üst seviyede etkin olan bir ulaşım kenti olma özelliğini korumaktadır ancak nüfusun sürekli artış göstermesi ve dışarıdan aldığı göçlerle şehir içi ulaşımında trafik sorununun hala olduğu düşünülmektedir.

Tüm bunların yanısıra İstanbul Üniversite gençliğinin vakit geçirmesi için konser, tiyatro, cafe, eğlence yerleri, müze, vb. faaliyetlerin bol olmasıyla eğlence kenti olarak görülmektedir.

İstanbul' a dair kültürel değerlerin, restorasyon, peyzaj, çevre düzenlemeleri ile korunmalı ve kentin tarihi, doğal dokusuna uygun şekilde devamının sağlanması gerekmektedir. Aynı zamanda halkı kent hayatı içinde bilinçlendirerek kültürel ve kimlikel değerlerin korunması sağlanmalıdır.

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## Bursa İlindeki Tüketicilerin Bal Tüketim Tercihleri

Hümevra Açık<sup>1</sup>

Doç.Dr. Tolga Tipi<sup>2</sup>

<sup>1</sup>Bursa Uludağ Üniversitesi, Ziraat Fakültesi, Tarım Ekonomisi Bölümü, humeyraacik@hotmail.com,

ORCID: 0000-0002-2020-177X

<sup>2</sup>Bursa Uludağ Üniversitesi, Ziraat Fakültesi, Tarım Ekonomisi Bölümü, ttipi@uludag.edu.tr,

ORCID: 0000-0002-1090-3639

**Özet:** Bu çalışma, Bursa ilindeki tüketicilerin bal tüketim tercihlerini ve satın alma davranışlarını incelemeyi amaçlamaktadır. 2021 yılında yapılan bu çalışmanın materyalini, Bursa ilinde yaşayan 384 kişiyle yüz yüze yapılan anketlerden elde edilen veriler oluşturmaktadır. Anket sonuçlarından elde edilen veriler ile tanımlayıcı istatistikler, frekans tabloları oluşturulmuş ve tüketicilerin bal tüketim tercihleri belirlenmeye çalışılmıştır. Elde edilen verilere göre en çok tüketilen bal türü çiçek balıdır ve ardından sırasıyla petekli bal, çam balı, kestane balı ve narenciye balı gelmektedir. Bal dışında arı ürünlerinden en çok propolis tüketilmektedir. Bal ve diğer arı ürünleri alırken bal tüketenlerin %69,3'ü markalı olmasına dikkat etmekte ve %72'si ürünleri alırken sertifikalı ve resmi kontrol onaylı olmasına dikkat etmektedir. Balın ambalajlanmasında ise en çok cam kavanoz tercih edildiği tespit edilmiştir. Tüketicilerin geliri arttıkça aylık gıda harcamaları içerisinde bal ve diğer arı ürünlerine harcadıkları pay da artış göstermektedir. Türkiye'de hem arıcılığın gelişmesi ve sürdürülebilirliği hem de tüketicilerin sağlıklı bir gıda olan bal tüketimlerini artırmaları açısından, markalı ve sertifikalı ürün üretiminin teşvik edilmesi önemlidir.

**Anahtar Kelimeler:** Arıcılık, Bal, Bursa, Tüketici tercihleri, Marka

### 1. GİRİŞ

Arıcılık, toprağa bağlı kalmadan az masraf ve yatırımla kısa zamanda gelir sağlayan en eski ve en yaygın tarımsal faaliyettir (Denizli Akdemir ve Dağdemir, 2021). Arıcılık, aile içerisinde değerlendirilemeyen işgücünün kullanılmasıyla kırsal kesimde yaşayan bireylere istihdam sağlamaktadır. Az sermaye ile çok kar elde edilebilmesi, yatırım bir defa yapıldığında uzun süre işletilebilmesi gibi özelliklerle tarımsal faaliyetler içinde ayrıcalıklı bir yere sahiptir (Silici, 2009).

Bal, arılar tarafından çiçeklerden ve meyve tomurcuklarından alınarak salgılanan nektarın ve bazı böceklerin salgıladığı maddelerin bal arıları tarafından toplanmasıyla vücutlarında bileşimlerini değiştirilip petek gözlerine depo edilmesi ve olgunlaşması sonucunda üretilen yüksek enerjili, karbonhidratlı ve sağlığa faydalı doğal bir besindir (Ünye Ticaret Borsası, 2014). Bal dışındaki arı ürünleri balmumu, arısütü, polen, propolis ve arı zehridir.

Arıcılık dünyada yaygın şekilde yapılan tarımsal bir faaliyettir. 2019 yılı verilerine göre dünyadaki kovan sayısı 90,1 milyon adettir. Dünya toplam kovan miktarında ilk üçte sırasıyla 12,3 milyon kovan ile Hindistan, 9,1 milyon kovan ile Çin, 8,1 milyon kovan ile Türkiye gelmektedir. 2019 yılında dünyada kovan başına verim bir önceki yıla göre %2,2 azalış göstererek yaklaşık olarak 20,7 kg olarak gerçekleşmiştir. Türkiye'nin bal veriminde %1,1 oranında artış yaşanarak 14,0 kg olarak gerçekleşmiştir (FAO, 2020).

2019 yılında dünya bal üretimi bir önceki yıla oranla %1,6 oranında azalış göstererek yaklaşık 1,9 milyon ton gerçekleşmiştir. Bu azalışın nedeni dünyada kovan sayısının artmasına rağmen kovan başına bal veriminin düşük olmasından kaynaklanmaktadır. Dünya bal üretiminde 2019 verilerine göre ilk üç sırada sırasıyla 444 bin ton üretimi ile Çin, 114 bin tonluk üretimi ile Türkiye, 80 bin ton üretimi ile Kanada gelmektedir. Türkiye'de bal üretimi 2020 yılında ise bir önceki yıla oranla %4,8 azalarak 104 bin ton olarak gerçekleşmiştir (FAO, 2020).

Türkiye'de bal dış ticareti ise petek ve süzme bal olarak yapılmakta ve 2020 yılı bal ihracatı Türkiye'de 6.011 ton gerçekleşmiş, 2019'da toplam bal üretiminin %5,8'i sadece ihraç edilmiştir. Bal ithalat miktarı ise 2019 yılında 31,5 tondur. 2020 yılında ise 16,2 tondur. Kayda değer bal ithalatı Türkiye'de bulunmamaktadır. Türkiye'nin bal dış ticaretinde istenilen düzeye ulaşamamasının nedeni bal üretim potansiyeli yüksek olmasına rağmen üretilen balın çoğunun iç piyasada tüketilerek geriye kalan az bir kısmın ihraç edilmesi sayılabilir (Burucu, 2021).

Türkiye'de Bursa ili sahip olduğu iklim, coğrafya, flora zenginliği açısından arıcılık potansiyeli yüksek bir ildir. Tüketicilerin istekleri ve beklentileri doğrultusunda bal üretimi yapılabilmesi için tüketici davranışlarının tespit edilmesi gerekir. Bursa ilindeki tüketicilerin bal tüketim tercihlerine yönelik yapılan bu çalışmada, tüketicilerinin satın alma davranışlarının incelenmesi, bal tüketme ve tüketmeme nedenlerinin tespit edilmesi ve tüketicilerin markaya verdikleri önemin belirlenmesi amaçlanmıştır.

## 2. MATERYAL VE YÖNTEM

### 2.1. Materyal

Araştırmanın birincil verilerini, 2021 yılında Bursa ilinde yaşayan tüketicilerle yüz yüze yapılan anketlerden elde edilen veriler oluşturmaktadır.

Araştırmada kullanılan ikincil veriler ise, çeşitli kurum ve kuruluşların verileri ile bu konuda daha önce yapılmış çalışmalardan elde edilmiştir.

### 2.2. Yöntem

Araştırma Bursa ilinde yaşayan tüketicilerin bal tüketim tercihlerinin belirlenmesini amaçladığından, Bursa ili nüfusu araştırmanın popülasyonunu oluşturmuştur. Adrese Dayalı Nüfus Kayıt Sistemine (ADNKS) göre 2021 yılında Bursa ilinin toplam nüfusu 3.148.000 kişidir (TÜİK, 2022). Popülasyonu temsil edecek örnek hacmi, basit tesadüfi örnekleme yöntemine göre, aşağıda belirtilen formül ile belirlenmiştir (Newbold, 1995). Formülde %95 güven aralığı, %5 hata payı ve maksimum örnek hacmine ulaşabilmek için p ve q değerleri 0,5 olarak alınmıştır.

$$n = \frac{N \cdot p \cdot q}{(N - 1) \sigma_{px}^2 + p \cdot q}$$

n = Örnek büyüklüğü,

N= Popülasyon

p= Bursa İlinde bal tüketenlerin oranı (0,50)

q= Bursa İlinde bal tüketmeyenlerin oranı (0,50)

$\sigma_{px}^2$ = Oranın varyansı (0.00065077)

Örnekleme sonucunda tesadüfi olarak seçilen 384 farklı haneyi temsil eden tüketiciler ile yüz yüze anket çalışması yapılmıştır.

Çalışmada, ankete katılan tüketicilerin demografik özellikleri ve bal tüketimine yönelik eğilimleri, tutum ve davranışlarına ilişkin sorular değerlendirilerek çizelgeler ve grafikler halinde sunulmuştur.

## 3. ARAŞTIRMA BULGULARI

### 3.1. Tüketicilerin Demografik Özellikleri

Bursa ilinde tüketicilerin bal tüketim tercihlerini belirlemek amacıyla 384 kişiyle yüz yüze anket yapılmıştır. Ankete katılan tüketicilerin cinsiyet, yaş, eğitim durumu, hane halkı geliri vb. demografik özellikleri belirlenmiştir. Ankete katılan tüketicilerden 336 kişi bal tüketmekte, 48 kişi ise bal tüketmemektedir. Bu nedenle bal tüketenler ve tüketmeyenlere ait demografik özellikler tablo 1’de ayrı olarak sunulmuştur.

Tablo 1’deki veriler incelendiğinde, Bursa ilinde bal tüketenler ile bal tüketmeyenlerin cinsiyetlerine göre dağılımı birbirine oldukça yakındır. Bal tüketenlerin %52,4’ü kadın, %47,6’sı erkektir. Bal tüketmeyenlerin %56,3’ü kadın, %43,8’i erkektir. Ankete katılanların medeni durumları incelendiğinde ise bal tüketenler ile bal tüketmeyenler arasında farklılık bulunmaktadır. Bal tüketmeyenlerin %77,1’inin bekar olduğu belirlenmiştir.

Tablo 1. Ankete Katılan Bireylerin Demografik Özellikleri

Demografik Faktörler	Bal Tüketen		Bal Tüketmeyen	
	N	%	N	%
<b>Cinsiyet</b>				
Kadın	176	52,4	27	56,3
Erkek	160	47,6	21	43,8
Toplam	336	100,0	48	100,0
<b>Yaş</b>				
18-29	160	47,6	38	79,2
30-39	83	24,7	2	4,2
40-49	89	26,5	6	12,5
50 ve üzeri	4	1,2	2	4,2

Toplam	336	100,0	48	100,0
<b>Medeni Durum</b>				
Evli	179	53,3	11	22,9
Bekar	157	46,7	37	77,1
Toplam	336	100,0	48	100,0
<b>Eğitim Durumu</b>				
İlkokul	7	2,1	1	2,1
Ortaokul	10	3,0	0	0
Lise	60	17,9	11	22,9
Üniversite	230	68,5	36	75
Lisansüstü	29	8,6	0	0
Toplam	336	100,0	48	100,0
<b>Hane Halkı Aylık Geliri</b>				
0-2500	14	4,2	4	8,3
2501-3500	45	13,4	16	33,3
3501-5000	82	24,4	17	35,4
5001-7000	97	28,9	3	6,3
7001 ve üzeri	98	29,2	8	16,7
Toplam	336	100,0	48	100,0

Ankete katılan tüketicilerin ağırlıklı olarak eğitim seviyesinin yüksek olduğu görülmektedir. Buna göre bal tüketenlerin %68,5'i, bal tüketmeyenlerin %75'i üniversite mezunudur. Ankete katılan bireyler çoğunlukla genç nüfustur. Bal tüketenlerin %47,6'sı 18-29 yaş aralığındaki genç nüfus iken, aynı yaş grubunda bal tüketmeyenlerin oranı %79,2'dir.

Anket çalışmasında tüketicilerin hane halkı aylık geliri ise 5 grupta incelenmiştir. 1. gelir grubu 2500 TL ve az, 2. gelir grubu 2501-3500 TL, 3. gelir grubu 3501-5000 TL, 4. gelir grubu 5001-7000 TL ve 5. gelir grubu 7001 TL ve üstü gelir grubudur. Bal tüketenlerin gelir düzeyi bal tüketmeyenlere göre daha fazladır ve bal tüketenlerin %29,2'si 7001 ve üzeri gelire sahipken %28,9'u 5001-7000 aralığında gelire sahiptir. Bal tüketmeyenlerin ise %35,4'ü 3501-5000, %33,3'ü 2501-3500 aralığında gelire sahiptir.

### 3.2. Tüketicilerin Bal Satın Alma ve Satın Almama Nedenleri

Ankete katılan tüketicilerin bal tüketme ve bal tüketmeme nedenleri belirlenmeye çalışılmıştır. Bal satın alma ve bal satın almama nedenleri 5'li likert ölçeği kullanılarak değerlendirilmiştir. Bal tüketen 336 kişi ile bal tüketmeyen 48 kişinin verdiği cevaplara göre değerlendirme yapılmıştır. Bal tüketenlerin tercih nedenlerini tespit etmek amacıyla soruda, 1'in etkisiz 5'in çok etkili olanı temsil ettiği bir ölçek hazırlanmıştır. Bal satın alanların tüketme nedenleri arasında en etkili gördüğü nedenler sırasıyla 4,19 puanla sağlık amaçlı, 4,18 puanla kahvaltılık olarak, 4,07 puanla tadı güzel olması gelmektedir (Tablo 2). Tüketicilerin sırasıyla 2,25, 2,61 ve 3,17 puanla kozmetik amaçlı ve kilo vermeye yardımcı, tatlandırıcı olarak balı tüketmeleri tüketim nedenleri arasında en az etkiye sahiptir. Antioksidan özelliği, enerji arttırması, kanser önleyici, mide rahatsızlığını önleyici, alışkanlık, ailenin alması, cilde iyi gelmesi de tüketicilerin bal tüketme nedenleri arasındadır.

Tablo 2. Tüketicilerin Bal Tüketme Nedenleri

Nedenler	Ortalama*
Kahvaltılık	4,18
Tatlandırıcı olarak	3,17
Sağlık amaçlı	4,19
Kozmetik amaçlı	2,25
Tadı güzel	4,07
Antioksidan özelliği	3,92
Alışkanlık	3,39
Ailenin alması	3,38
Enerji arttırması	3,84
Kilo vermeye yardımcı	2,61

Kanser önleyici	3,55
Mide rahatsızlığını önleyici	3,46
Cilde iyi gelmesi	3,36

\*1:Etkisiz, 2:Biraz etkili, 3:Orta derecede etkili, 4:Oldukça etkili, 5:Çok etkili

Tüketicilerin aynı şekilde bal tüketmeme nedenleri de 5'li likert ölçeği kullanılarak değerlendirilmiştir. Tablo 3 incelendiğinde, bal tüketmeme nedenleri arasında alışkanlığının olmaması (3,94 puan) en etkili neden sayılmaktadır. Bunu firmalara güveninin olmaması (3,78 puan), pahalı bulunması (3,77 puan), tadı hoşuna gitmemesi (3,50 puan), kaliteli ürün bulamama (3,33 puan) izlemektedir. Bal tüketmeme nedenleri arasından en az etkiye sahip olanlar ise sırasıyla uzmanlar tarafından önerilmemesi (1,8 puan), alerjinin olmaması (2,12), mideye rahatsızlık vermesi (2,18 puan), kokusunun rahatsız etmesi (2,38 puan) gelmektedir.

Tablo 3. Bal Tüketmeme Nedenleri

Nedenler	Ortalama*
Alerjim var	2,12
Tadı hoşuma gitmiyor	3,50
Kokusu rahatsız ediyor	2,38
Alışkanlığım yok	3,94
Mideme rahatsızlık veriyor	2,18
Pahalı buluyorum	3,77
Kaliteli ürün bulamama	3,33
Firmalara güveninin olmaması	3,78
Uzmanlar tarafından önerilmiyor	1,80

\* 1:Etkisiz, 2:Biraz etkili, 3:Orta derecede etkili, 4:Oldukça etkili, 5:Çok etkili

### 3.3.Bal Tüketim Harcamalarının Gıda Harcamalarındaki Payı

Bu çalışmanın amacı tüketicilerin bal tüketim tercihlerinin belirlenmesi olduğu için bal tüketen 336 kişinin tüketim tercihleri dikkate alınmış ve değerlendirmeler bal tüketenler üzerinden yapılmıştır. Bal tüketenlerin toplam harcamaları içerisinde gıda harcamalarının payı 5 grupta incelenmiş ve tablo 4'de gösterilmiştir. Bu verilere göre, %26-35 aralığında gıda harcama payına sahip kişiler çoğunluktadır ve bunu %36-45 gıda harcama payına sahip kişiler izlemektedir. %15 ve altı gıda harcama payına sahip kişi sayısı ise oldukça azdır.

Tablo 4.Toplam Harcamalar İçerisinde Gıda Harcamalarının Payı

	N	%
%15 ve altı	18	5,4
%16-25	61	18,2
%26-35	106	31,5
%36-45	97	28,9
%46 ve üzeri	54	16,1
Toplam	336	100,0

Tüketicilerin aylık gıda harcamaları içerisinde bal ve diğer arı ürünlerine harcadıkları pay incelendiğinde (Tablo 5) bal tüketenlerin %24,7'si 91 TL ve üzeri, %22,6'sı 31-50 TL, %22'si 30 TL ve altı, %19'u 51-70 TL, %11,6'sı 71-90 TL aralığında harcama yapmaktadır.

Khi-kare analizi sonucuna göre, hane halkı geliri ile tüketicilerin bal ve diğer arı ürünlerine harcadıkları pay arasında anlamlı bir ilişki vardır. Tüketicilerin geliri arttıkça aylık gıda harcamaları içerisinde bal ve diğer arı ürünlerine harcadıkları pay da artış göstermektedir.

Tablo 5. Aylık Gıda Harcamaları İçerisinde Bal ve Diğer Arı Ürünlerinin Payı

	N	%
30 TL ve altı	74	22,0
31-50 TL	76	22,6



51-70 TL	64	19,0
71-90 TL	39	11,6
91 TL ve üzeri	83	24,7
Toplam	336	100,0

### 3.4. Tüketicilerin Bal Tüketim Sıklığı

Tüketicilerin bal tüketim sıklığı incelenmiş (Tablo 6) ve bal tüketenlerin %39,9'u her gün, %31'i günaşırı, %29,2'si haftada bir tükettiği tespit edilmiştir.

Tablo 6. Bal Tüketim Sıklığı

Bal Tüketim Sıklığı	N	%
Her gün	134	39,9
Günaşırı	104	31,0
Haftada bir	98	29,2
Toplam	336	100,0

### 3.5. Bal Tüketim Tercihini Etkileyen Faktörler

#### Markanın Önemi

Marka, bir işletmenin mal ve hizmetlerini bir başka işletmenin mal ve hizmetlerinden ayırt etmeyi sağlayan kişi adları, harfler, sayılar, sözcükler, şekiller, renkler, sesler, koku ve ambalajdan ibaret olabilen, baskı yoluyla yayımlanabilen ve çoğaltılabilen her türlü işarettir (Türk Patent ve Marka Kurumu, 2022). Marka tüketicide ürün algısı yaratır. Bal tüketenlerin marka denince ilk aklına gelen sözcük tablo 7'de gösterilmiştir ve çoğunlukla kalite olmuştur ve bunu sırasıyla güven, bilinirlik, hijyen ve prestij izlemektedir.

Tablo 7. Tüketicilerin Marka Denince İlk Aklına Gelen Sözcük

Marka denince ilk akla gelen sözcük	N	%
Bilinirlik	41	12,2
Hijyen	24	7,1
Kalite	148	44,0
Prestij	5	1,5
Güven	118	35,1
Toplam	336	100,0

Elde edilen verilere göre, bal tüketenlerin %69,3'ü bal ve diğer arı ürünleri alırken ürünlerin markalı olmasına dikkat etmektedir (Tablo 8). Gümüşhane ve Bayburt'ta gerçekleştirilen bir çalışmada markaya verilen önem konusunda benzer bir sonuç elde edilmiştir. Bu sonuca göre tüketicilerin %65,5'i arı ürünleri tercih ederken markaya önem vermektedir (Merdan, 2018).

Tablo 8. Markaya Verilen Önem

	N	%
Markalı olmasına dikkat edenler	233	69,3
Markalı olmasına dikkat etmeyenler	103	30,7
Toplam	336	100,0

Tüketicilerin bal ve diğer arı ürünlerinde markalı ürünleri tercih etme sebepleri arasında en fazla güvenilir olması daha sonra standartlara uygun olması, son olarak da hijyenik olması görülmektedir. Bal tüketenlerin %74,1'i güvenilir olduğu için, %23,8'i standartlara uygun olduğu için, %14,6'sı hijyenik olduğu için markalı ürün tercih etmektedirler (Tablo 9).

Tablo 9. Markalı Ürün Tercih Etme Sebepleri

Marka Tercih	Hijyenik Olması		Güvenilir Olması		Standartlara Uygun Olması	
	N	%	N	%	N	%
Evet	49	14,6	249	74,1	80	23,8
Hayır	287	85,4	87	25,9	256	76,2
Toplam	336	100,0	336	100,0	336	100,0

### Sertifikanın Önemi

Bal tüketen tüketicilerin büyük çoğunluğu ürünleri alırken sertifikalı ve resmi kontrol onaylı olmasına dikkat etmektedir. Sertifikalı ve resmi kontrol onaylı olmasına dikkat edenlerin oranı %72 iken dikkat etmeyenlerin oranı ise %28'dir (Tablo 10).

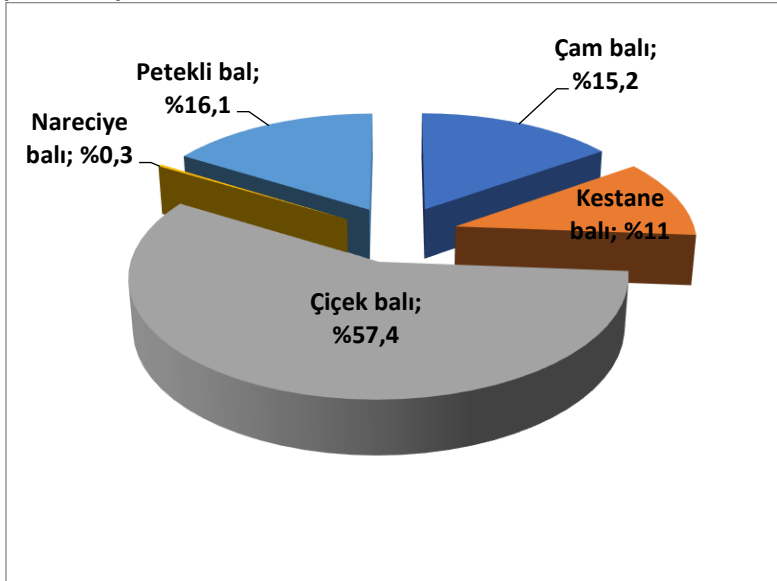
Tablo 10. Bal Satın Almada Sertifikanın Önemi

	N	%
Evet	242	72,0
Hayır	94	28,0
Toplam	336	100,0

### Tercih Edilen Ürün Çeşidi

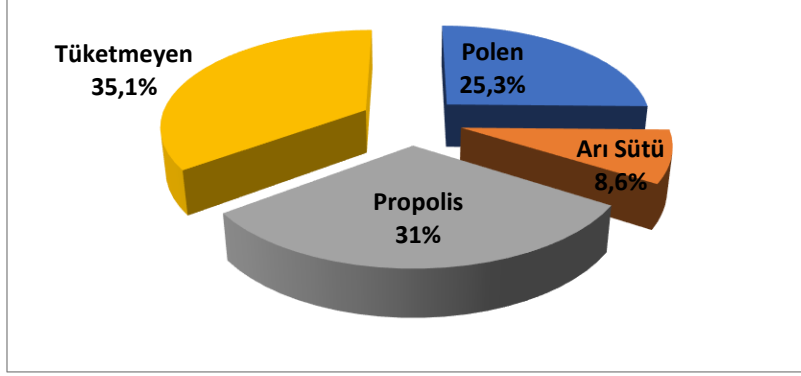
Bir mala olan talebi tercih edilen ürünün çeşidi de belirlemektedir. Bursa ilinde yapılan bu çalışmada en çok tüketilen bal türü sorulmuştur. Bal tüketen 336 tüketicinin %57,4'ü çiçek balı, %16,1'i petekli bal, %15,2'si çam balı, %11'i kestane balı, %0,3'ü narenciye balı tükettiği ortaya çıkmıştır (Şekil 1).

Şekil 1. En Çok Tüketilen Bal Türü



Ankette bal tüketen kişiler arasında %64,9'u bal dışında arı ürünü de tüketmektedir. En fazla tüketilen bal dışında arı ürünü propolistir ve bunu sırasıyla polen ve arı sütü izlemektedir.

Şekil 2. Bal Dışında Arı Ürünü Tüketimi



Bursa ilinde arı ürünlerinin bilinirliği ve satın alma sıklığı konulu başka bir çalışmada balın bilinirliği %99,4, polenin bilinirliği %61,6, arı sütünün bilinirliği %52,8, propolisin bilinirliği ise %8,9 olarak bulunmuştur (Bölüktepe ve Yılmaz, 2008). Adana ve Mersin illerinde yapılan benzer bir çalışmada 414 kişi ile anket yapılmış ve ankete katılanların %84,20'si (361 kişi) herhangi bir arı ürününden en az birini tüketmektedir. 361 kişi (%87,20) bal, 54 kişi (%13,05) polen, 48 kişi (%11,60) arı sütü, 2 kişi (%0,49) propolis, 2 kişi (%0,49) balmumu tükettiği belirlenmiştir (Kumova ve Korkmaz, 1999).

#### **Satın Alma Kriterleri**

Çalışmada, tüketicilerin bal satın alırken dikkat ettikleri kriterler belirlenmeye çalışılmıştır. Tablo 11 incelendiğinde, tüketicilerin satın alma eğilimini sırasıyla balın fiyatı, markası, üretim bölgesi, son kullanma tarihi, tadı, alındığı yer, kristalize olmaması, çeşidi, ambalajı ve rengi belirlemektedir. Bal tüketenlere bal alırken hangi özelliklere dikkat ettikleri sorulmuş ve 10 tane maddeyi 1'den 10'a kadar öncelik sırasına göre sıralanması istenmiştir. Cevaplara göre tüketiciler ürün satın alırken en fazla fiyata daha sonra markasına bakarak satın almaktadır. Balın rengine ve ambalajına ise son olarak öncelik vermektedirler.

Tablo 11. Tüketicilerin Bal Satın Alma Kriterleri Öncelik Sırası

	N	%
Fiyatı	71	21,1
Markası	61	18,2
Rengi	9	2,7
Tadı	31	9,2
Ambalajı	10	3,0
Kristalize Olmaması	19	5,7
Çeşidi	17	5,1
Alındığı yer	25	7,4
Son kullanma tarihi	35	10,4
Üretim bölgesi	58	17,3

#### **Ambalaj Türü**

Ürünün ambalaj türü tüketiciler için önemli yere sahiptir. Bursa ilinde yapılan bu anket çalışmasında tüketicilere bal satın alırken hangi ambalajı tercih ettiği sorulmuştur. Verilen cevaplara göre tüketicilerin %91,4'ü cam kavanoz, %3,9'u teneke, %2,1'i plastik, %2,7'si ise farklı türde ambalaj tercih ettiğini belirtmiştir (Tablo 12).

Tablo 12. Ambalaj Türü

	N	%
Cam kavanoz	307	91,4
Plastik	7	2,1
Teneke	13	3,9
Diğer	9	2,7
Toplam	336	100,0

Antakya’da gerçekleştirilen benzer çalışmada balın ambalajlanmasında tüketicilerin % 71,8’ i cam kavanozu, %2,4’ü teneke kutuları, % 1,5’i plastik kapları tercih ettiğini, % 13,6’sı ambalajın önemli olmadığını belirtmiştir (Şahinler ve ark., 2004). Tokat ilinde yapılan çalışmada tüketicilerin %77,94’ü arı ürünü satın alırken ambalaja önem verdiği ve en fazla cam kavanozu (75,74) tercih ettiği görülmektedir (Sayılı, 2013). İzmir ilindeki çalışmada tüketicilerin %88,95’i (Onuç, 2020), Niğde ilinde tüketicilerin %64,3’ü cam kavanoz tercih ettiğini belirtmiştir (Gürer ve Akyol, 2018). Buna göre Türkiye’de gerçekleştirilen çalışmalardan elde edilen verilere göre bal satın alma tercihlerini cam ambalajlı ürünler olumlu yönde etkilediği görülmektedir.

#### Ürünün Satın Alındığı Yer

Bursa ilinde gerçekleştirilen bu çalışmada tüketicilerin %60,4’ü balı bal üreticisinden %28,3’ü süpermarketten, %5,4’ü organik pazardan, %3,6’sı kooperatiflerden, %2,4’ü semt pazarından satın almaktadır. Ankete katılan bal tüketen 336 kişiden hiçbiri internetten bal satın almamaktadır.

Tablo 13. Balın Satın Alındığı Yer

	N	%
Süpermarket	95	28,3
Bal Üreticisi	203	60,4
Kooperatifler	12	3,6
Semt Pazarı	8	2,4
Organik Pazar	18	5,4
İnternet Satışı	0	0
Toplam	336	100

Adana ve Mersin illerinde arı ürünleri tüketim davranışları üzerine yapılan bir çalışmada tüketicilerin %49’u balı arı yetiştiricisinden, %45’i marketten satın aldığı tespit edilmiştir (Kumova ve Korkmaz, 1999). Yapılan diğer çalışmalara bakıldığında Ordu ilinde yapılan bir çalışmada tüketicilerin % 72’sinin balı bal üreticisinden satın aldığı (Sıralı ve Çelik, 2007), Hatay ilinin merkez ilçesi Antakya’da gerçekleştirilen bir çalışmada 206 kişinin %31,1’i marketten, %24,8’ i arıcılardan, %18,4’ü alım satım yapan kişilerden, %9,7’si bakkal ve pazarlardan satın aldığı (Şahinler ve ark., 2004), Çanakkale’de yapılan çalışmada ise bal tüketenlerin %49,3’ü arıcının kendisinden/köyden, %30,5’i marketten satın aldığı görülmektedir (Niyaz ve Demirbaş, 2017).

#### 4. SONUÇ

Her toplumun kendine özgü beslenme alışkanlığı vardır. İnsanlar özellikle pandemi sürecinde sağlıklı olmak ve hastalıklardan korunmak için besin değeri yüksek gıdalar tercih etmektedir. Bu çalışmada, Bursa ilinin bal tüketim tercihleri ve satın alma davranışları çeşitli açılardan incelenmiştir. Bu çalışmadan elde edilen bulgular, tüketicilerin büyük çoğunluğunun bal tükettiğini ve bal dışında da diğer arı ürünlerini tükettiğini ortaya koymaktadır. Bursa ilinde en çok tüketilen bal türü çiçek balı, en çok tüketilen bal dışı arı ürünü de propolistir. Bal tüketim tercihlerini marka, sertifika, ürün çeşidi, ürün niteliği, ambalaj, satın alınan yer etkilemektedir. Tüketicilerin satın alma tercihini de balın fiyatı, markası, rengi, tadı, ambalajı, kristalize olmaması, çeşidi, alındığı yer, son kullanma tarihi, üretim bölgesi belirlemektedir. Tüketicilerin bal satın alırken en fazla fiyatına ve markasına bakarak satın aldığı tespit edilmiştir. Bu çalışmaya göre tüketicilerin en fazla tercih ettiği ambalaj türü cam kavanozdur. Tüketicilerin balı en fazla satın aldığı yer de bal üreticisi daha sonra süpermarkettir. Tüketicilerin tanıdık bal üreticisinden balı satın almasının nedeni güven duygusudur. Balın kalitesinin yanında markası ve bilinirliği de önem arz etmektedir. Bu çalışmadaki anket sonuçlarına göre tüketicilerin büyük çoğunluğu balın markalı olmasına ve sertifikalı, resmi kontrol onaylı olmasına dikkat etmektedir. Tüketicilerin bal tüketme nedenleri arasında en etkili gördüğü nedenler sağlık amaçlı, kahvaltılık olarak tüketmek ve tadı güzel olması gelmektedir. Tüketicilerin bal tüketmeme nedenleri arasında en etkili gördüğü nedenler ise alışkanlığının olmaması, firmalara güveninin olmaması, pahalı bulması, tadı hoşuna gitmemesi gelmektedir. Piyasada farklı marka, fiyat ve kalitede bal satılmaktadır fakat balda önemli bir faktör olan güvenilirlik konusunda şüpheler fazladır. Bu yüzden arı ürünlerine yönelik denetimler arttırılmalı ve bal ve diğer arı ürünleri hakkında insanlar bilgilendirilmelidir. Aynı zamanda balın ve diğer arı ürünlerinin sağlığa faydalarından da bahsedilmesi gerekmektedir. Tüketicilerin bal tüketimlerini arttırmak için markalı ve sertifikalı ürün üretimi teşvik edilmelidir. Bu sayede bal ve diğer arı ürünlerine karşı güven ve ilgi daha fazla artacaktır.

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## Geleneksel Ticaret Anlayışının Değişimi: Blockchain Teknolojileri

Dr. Öğr. Üyesi İlke ORUÇ<sup>1</sup>

Arş. Gör. Aysu YAŞAR<sup>2</sup>

Doç. Dr. Mehmet Kenan TERZİOĞLU<sup>3</sup>

<sup>1</sup>Trakya Üniversitesi, İktisadi ve İdari Bilimler Fakültesi, İşletme Bölümü, ilkeoruc@trakya.edu.tr, ORCID: 0000-0002-8710-8959

<sup>2</sup>Nişantaşı Üniversitesi, İktisadi İdari ve Sosyal Bilimler Fakültesi, İşletme Bölümü, yasar.aysu@nisantasi.edu.tr, ORCID: 0000-0003-2200-2915

<sup>3</sup>Trakya Üniversitesi, İktisadi ve İdari Bilimler Fakültesi, Ekonometri Bölümü, kenanterzioglu@trakya.edu.tr, ORCID: 0000-0002-6053-830X

**Özet:** Dijital çağda, teknolojik gelişmelerin dünya geneline yayılmasıyla çoğu düzen, teknolojik ürünler ve bilişimle köklü ve kalıcı şekilde değişmektedir. Bu nedenle dijital çağda girişimcilik; teknoloji faktörünün işletmelerde yaygınlaştırılması ile küreselleşmeyi ve çağa ayak uydurmayı ifade etmektedir. İş ve sosyal yaşantımızın internet aracılığıyla sanal verilere dönüşmesi, veri depolama, networking ve bilgi işlem gücünü arttıran yenilikçi gelişmelerin sayısını arttırmaktadır. Dijitalleşmenin etkisiyle geleneksel ticaret anlayışının değişmesi, kayıtların birbirine şifrelendiği ve sistem kullanıcıları tarafından onaylandığı ancak erişilemediği finansal hizmetler sektöründe sürekli büyüyen ve hacklenemeyen dağıtık bir veri tabanı olan Blockchain teknolojisini ortaya çıkarmaktadır. Dağıtık bir yapıya sahip olduğu için veri blokları tek bir merkezde tutulmak yerine aynı anda sistemdeki herkes ile şeffaf şekilde tutulmaktadır. Blockchain teknolojisiyle yaygınlaşan eşler arası ağlar, yatırımcı ve girişimcileri dijital ortamlarda buluşturarak alternatif finansman yöntemlerinin gelişmesine katkı sunmaktadır. Çalışma kapsamında, Türkiye için alternatif finansal yöntemlerinin Türkiye'deki kullanım alanlarının işlerlik kazanması sağlanarak yabancı yatırımcıların Türkiye'ye çekilebilmesi açısından etkin yönlerinin tespitinin yapılması amaçlanmaktadır.

**Anahtar Kelimeler:** Dijitalleşme, Girişimcilik, Blockchain.

### 1.GİRİŞ

Dijitalleşme, uluslararası ticarete girmenin maliyetini önemli ölçüde azaltırken küresel koordinasyonu kolaylaştırarak fikirlerin ve teknolojilerin yayılmasına ve dünya çapında daha fazla sayıda işletme ve tüketicinin birbirine ulaşmasına olanak sağlayarak dış kaynak kullanımını kolaylaştırmaktadır. Dijitalleşme ve dijital dönüşümlerle uluslararası ticarete girmek kolaylaşırken yeni iş modellerinin benimsenmesi, daha karmaşık uluslararası ticaret işlemlerine ve politika sorunlarına yol açmaktadır. Hızla gelişen bu ortamda hükümetler, dijital ticaretteki fırsatların ve faydaların sağlanmasında ve kapsayıcı bir şekilde paylaşılmasındaki artan düzenleyici zorluklarla karşı karşıya kalmaktadır.

1930'lardan bu yana yaşanan 2007 küresel mali krizinde Amerika Birleşik Devletleri'nde yüksek riskli ipotek kredilerinin başarısızlığı, birçok büyük bankanın iflasına yol açarak küresel finans piyasasını etkilemektedir. Bankaların aşırı risk almasından kaynaklanan bu finansal kriz, tüketicilerin ve firmaların dünya çapındaki finansal kurumlara olan güvenini büyük ölçüde sarsmaktadır. Dünya çapında yaşanan krizlerden sonra mali kaynaklara erişimin zorlaşması, parasal güvenliğin sağlanması, finansal kurumların komisyon oranlarını arttırması gibi olgular finans alanında dijital dönüşümü gerekli kılmaktadır (Dedeoğlu, 2019; 1). Nakamoto (2008), eşler arası bir bilgisayar ağı kullanan, finansal kurumlardan geçmeden doğrudan bir taraftan diğerine çevrimiçi ödemelere izin veren ve dolayısıyla üçüncü tarafı ortadan kaldıran elektronik nakit sistemini ve itibari(fiat) para birimleri (ABD Doları, Avro, vb.) yerine bir kripto para (Bitcoin) oluşturmayı önermektedir. Bilgi ve iletişim teknolojilerindeki iyileşmeler sayesinde, kâğıt yığınlarının elektronik verilere dönüştürüldüğü, işlem kayıtlarını içeren merkezi olmayan şeffaf defterlerin olduğu, tek bir kişinin/kurumun kontrolünün sahipliğinde olmadığı blockchain (blok zincir) geliştirilerek dünya çapında dağıtılan dijital veri tabanı oluşturulmaktadır (Zheng vd., 2018: 357). Sistemdeki tüm işlemler, Blockchain teknoloji ile bilgisayar kullanıcıları arasında, bankalar gibi finansal kuruluşların katılımı olmaksızın güven ihtiyacını ortadan kaldıran kriptografik kanıt kullanılarak finansal işlemler gerçekleştirilmektedir.

Bir firma, fon elde etmek için yatırımcılara satılmak üzere bir blok zinciri aracılığıyla kripto varlıkları (belirteçler olarak da adlandırılır) çıkardığında ise İlk Para Teklifini (Initial Coin Offerin-ICO) önermektedir. ICO yöntemi, iş ve finansal modelleri dönüştürme potansiyeline sahip FinTech (Finansal Teknoloji Şirketleri) alanındaki yeni projelerin sermayesini artırmak için verimli yeni bir mekanizma olarak görülmektedir (CPA Ontario, 2018).

Çalışmanın amacı, dijitalleşmeyle şekillenen bu değişikliklerin daha iyi anlaşılmasını sağlamak ve politika tasarımlarına nasıl yansıtılabileceği konusunda bilgi vererek politika yapıcılarına yardımcı olmaktır.

## 2. DİJİTAL DÖNÜŞÜM

Ülkelerin toplumsal gelişim süreci ve insanların çalışma biçimleri ele alındığında üretimin basit teknikler ve ilkel aletlerle gerçekleştiği ilk kırılma olan tarım devriminde, üretim köylülere bağlı değerlendirilirken ilişkileri belirleyen toprak sahipleri olmaktadır. 18. Yüzyılın sonlarına doğru diğer bir köklü değişim olan sanayi devrimiyle üretim buhar gücünün aktarıldığı makineler vasıtasıyla gerçekleştirilmekte ve ortaya çıkan işçi sınıfı çalışmalarını “sözleşme özgürlüğü” çerçevesinde ücret karşılığında yaparak işçi-işveren ilişkilerini ortaya çıkarmaktadır. Sanayi devriminin yarattığı dönüşüm, buhar enerjisi/gücü olurken ikinci sanayi devriminin yarattığı dönüşüm ise buhar enerjisinin yerini elektriğe bıraktığı seri üretimi olanaklı kılan üretim hattı modeli olmakta ve vardiyalı üretim sistemine geçilmektedir (Yankın, 2019:38). 1970’li yıllarda ortaya çıkan bilişim teknolojileri, otomasyona dayalı üretimi, programlanabilir makine ve robotları geliştirmekle kalmayarak üçüncü sanayi devrimini başlatırken dördüncü sanayi devrimi fiziksel, dijital ve biyolojik sınırları ortadan kaldırarak teknolojik bir atılım olarak tanımlanan Endüstri 4.0’ı ve dijitalleşme sürecini ortaya çıkarmaktadır (Ergen, 2018).

Teknolojik gelişmelerle birlikte tarımdan, sanayiye ve bilgi toplumuna geçişle küreselleşme olgusu tüm dünyada yaygınlık kazanmaktadır. Küreselleşme ile bilgisayar, internet, iletişim ve ulaşım araçlarının yaygınlık kazanması sosyo-kültürel ve ekonomik gelişimleri de beraberinde getirerek dijitalleşmeyi ortaya çıkarmaktadır. Analog verilerin sayısallaştırılarak bilgisayarlara işlenebilir, saklanabilir ve yönetilebilir hale gelmesiyle birlikte veri kaynaklarının dijital ortama dönüşümünü ifade eden dijitalleşme, işletmeler için hem veri ve kaynakların dijitalleşmesini hem de süreç, algı ve yönetim olgusunun dijitalleşmesini ifade etmektedir (Fichman vd., 2014;329). Dijitalleşmenin amacı ise verileri, fiziksel özellikleri ve içerikleriyle belgelerin bütünlüğünü bozmadan uzun süreli nesillere aktarmak için kopyalayarak dijital ortamlarda düşük maliyet ile saklamak ve böylelikle dijital veri toplulukları üzerinde arama, analiz yapma, düzeltme ve geliştirme gibi işlemlere olanak sağlamaktır (Negroponte, 1995). 2000’li yıllarda ivme kazanan dijitalleşmeyle ortaya çıkan hem kurumsal yapılarda hem de çalışma biçimlerindeki değişiklikler, yeni örgütsel stratejileri ve hizmetleri ortaya çıkarmaktadır. Dijitalleşmenin ürünü olan robotlar, akıllı sistemler ve mobil uygulamalarla, bankacılık, sağlık kurumları, iletişim sektörü gibi birçok alanda yaşanan değişimler dijital dönüşümün evresi olarak ifade edilmektedir. Dijital dönüşüm ile farklı kültürlerdeki insanlar aynı amaçla bir arada çalışabilmekte ve dijitalleşmeyi etkin olarak kullanan ve ürünlerini/hizmetlerini dijital olarak sunabilen işletmeler/örgütler, iş modellerini, müşteri ilişkilerini, iş tanımlarını da değiştirerek dijitalleşen dünyada hayatta kalabilmektedir. Aynı zamanda 2019’da başlayan küresel pandemide, işletmelerin ve paranın dijitalleşmesi kısmını ön plana çıkarmaya başlamıştır. Bunun yanında küresel kaygıların artması işletmeleri dijital uygulamalar yanında, yeşil işletme, sürdürülebilirlik, bütünlümlü raporlar gibi dönüşümlere yönlendirmiştir.

Bilgi ve iletişim teknolojilerindeki (BİT) yenilikler küresel ticaret modellerini de etkileyerek ekonomik süreçleri dijitalleştirmekte ve finansal faaliyetler tekrardan yapılanmakta ve dijital teknolojilerin mal ve hizmet üretimine/ticaretine uygulanmasını ifade eden ve küresel ekonominin önemli bir parçası haline gelen dijital ekonomi yaklaşımını ortaya çıkarmaktadır (Taşel, 2020;130). Dijital ekonomi sayesinde; alıcılar, satıcı fiyatları ve ürün teklifleri için katlandıkları maliyetleri azaltmakta ve daha şeffaf bir piyasa oluşturulmaktadır. Azalan arama maliyetleri ve alıcılar tarafından artan arama miktarı ile satıcılar arasındaki fiyat rekabeti arttığından daha düşük piyasa fiyatları ortaya çıkmaktadır (Lee vd., 2003;266). Ülke ekonomilerinde ve uluslararası ticaret üzerinde derin bir etkisi olan dijital dönüşüm ve dijital teknolojilere erişim, firmaların uluslararasılaşmanın önündeki engelleri azaltarak ticari rekabet gücünü arttırmakta ve firmaların faaliyet kapsamını, hızını değiştirerek daha kolay hareket etmesine, değişim için yeni ekosistemler sağlamasına, firmalar arası ve dünya çapındaki tüketicilerle daha iyi bağlantı kurmasına yardımcı olmaktadır.

Dijital veya fiziksel olarak teslim edilebilen mal ve hizmetlerde dijital olarak etkinleştirilen işlemleri kapsayan dijital ticaret, aynı zamanda artan dijital bağlantılarla etkinleştirilen tedarik zinciri dahil olmak üzere dijital olarak sunulmayan geleneksel ticaretle de ilgili olmaktadır. Dijital ticarete normal ticaret anlayışından farklı olarak, işlemlerin ölçeği ve daha önce küreselleşmeden fazla etkilenmeyenler de dahil olmak üzere üretim süreçlerini ve endüstrileri dönüştüren yeni faktörleri ortaya çıkarmaktadır. Dijitalleşmenin ticaret üzerindeki çok yönlü etkisi, sadece ürünlerin üretim biçimini değil, aynı zamanda alımını, satışını ve tüketim biçimini de etkileyerek şirketlerin müşterilerle, diğer şirketlerle ve hükümetlerle etkileşimine girme şeklini de değiştirmektedir. Dijital ticaret, dünya ekonomisinin önemli bir parçası ve küreselleşmenin merkezi bir özelliği olduğundan dünya ekonomisinin sağlığı ve tüm ülkelerdeki ekonomik büyüme beklentisi için piyasaların, dijital mal-hizmet ve yatırıma, BIT uzmanlarının

erişimine ve verilerin hareketine açık olması büyük önem taşımaktadır. Hızlı ve geniş kapsamlı dijital değişimin arka planında, dijital ticaret ortamının temelini oluşturan kuralların değişen iş modellerine ayak uydurmakta zorlanması yatmaktadır. Dijital ticaret henüz gelişim dönemindeyken mevcut çok taraflı ticaret kuralları tam anlamıyla uygulanamamakta ve teknolojik olarak tarafsız olmasına rağmen, dijital ticaretle uğraşan firmaların ihtiyaçlarını yeterince karşılayıp karşılamadıkları konusunda bazı sorunlar ortaya çıkmaktadır. Geleneksel ticaret kuralları ürünlerin mal veya hizmet olup olmadıkları bilgisini net olarak ortaya koyarken dijital ticarete bu ayrımlar her zaman net olmamakta ve firmalar farklı konumlardan esnek bir şekilde faaliyet göstererek malları hizmetlerle bir araya getirebilmektedir. Bu durum, belirli işlemler için geçerli olan ticaret kurallarını tanımlamayı zorlaştırmaktadır. Hızlı hareket eden dijital ticaret ortamında, malların sınırlar arasında verimli şekilde sevk edilmesi, destek hizmetlerinin ihtiyaç duyulduğu anda ve yerde sunulması ve üretim veya ürünlerin özellikleri hakkındaki bilgilerin dünya çapında erişilebilir olması gerekmektedir. Mal, hizmet veya bilgi gibi bu akışlardan birini etkileyen engellerin olması dijital ticaret için önemli sorunlar ortaya çıkarmaktadır (Lopez vd., 2018; 9).

Hem işletmelere hem de ülkelere daha geniş dijital bir ekonomi sunan dijital ticarete açıklık, işletmelerin yabancı dijital pazarlara ulaşmasına, dünya çapında daha iyi dijital tedarikçilere erişim sağlamasına yardımcı olurken tüketicilere de çeşitli dijital mal ve hizmet sunarak fayda sağlamaktadır. Bu nedenle dijitalleşme, bugün uzun vadeli ekonomik büyüme için önemli bir kaynak olurken aynı zamanda ülkelerin daha yüksek üretkenlik seviyelerine ulaşmalarında itici bir güç olmaktadır (OECD, 2019). Dijital korumacılık ise dijital ekonomide verimliliği yavaşlatarak toplumların yaşam standartlarını yükseltme olasılığını azaltmakla birlikte ülkelerin dijital ekonomide yaptıkları ve yapmaya devam ettikleri tüm yatırımların tam ekonomik getirilerini elde etmelerini de engellemektedir. Bununla birlikte, dijital dönüşümü ve dijitalleşmenin ortaya çıkardığı değişiklikleri benimsemeyen hükümetler yeni dijital iş modelleriyle ekonomide daha büyük bir alana sahip olma fırsatını kaçırmaktadır.

### 3. BLOCKCHAIN TEKNOLOJİLERİ

Blockchain'den önce küresel dijital para birimi oluşturulmasına yönelik birçok girişim, aynı dijital paranın iki farklı satın alma işleminde kullanılarak satıcılardan birinin sabote edilmesi problemi (çift harcama) nedeniyle amacına ulaşamamaktadır. Dijital veri tabanları, kullanıcılara dijital bilgileri çoğaltıp, başkalarıyla paylaşma olanağı sağlasa da internet ortamında saklanabilen diğer tüm veriler gibi bir bit dizisi olan ve kolay kopyalanabilen dijital paralar için güvenlik açığına neden olmaktadır (Pisa vd., 2017:7). Herhangi bir üçüncü tarafa gereksinim duymadan dağıtık veri tabanında katılımcılar tarafından doğrulanan blokları sistematik bir biçimde uçtan uca eklenmesi suretiyle çalışan Blockchain, güvenlik açıklarının ve dijital paralardaki çift harcama probleminin ortadan kaldırılması amacıyla geliştirilmiş dijital ödeme sistemidir. En yaygın kullanımı Bitcoin ve Ethereum gibi kripto(sanal) paraların veri tabanı olarak bilinen Blockchain teknolojisinin güvenli olmasının yanı sıra kullanıcılara sağladığı olanaklar ve çeşitlenebilen uygulamalar açısından geniş kullanım alanına sahiptir. Blockchain teknolojisinde; *merkeziyetsizlik* özelliği sayesinde işlemlerin yapılması veya onaylanmasında hükümet veya merkezi kurumlara ihtiyaç duyulmamakta ve sistem birkaç otorite yerine çok sayıda küçük kullanıcı üzerinden oluşturulduğu için *anonimlik* özelliğine sahip olurken; işlemlerin blok zincirlere kaydedildikten sonra her düğüm tarafından da tekrar kaydedilerek kontrol edilen ağda yayılması sayesinde *kalıcı* ve *denetlenebilir* olmaktadır (Zheng vd., 2018: 357).

Blockchain teknolojisini günümüzdeki diğer ağlardan farkı ise eşler arası ağ, dağıtılmış defter, mutabakat mekanizması ve kriptografi teknolojileri olarak ortaya çıkmaktadır (Pisa vd., 2017:7). *Eşler arası ağ* (*peer to peer network*), sistemde yer alan katılımcının kendisine ait bir kopyasını bulundurarak katılımcıya ağlar üzerindeki işlemleri görebilme ve onaylayabilme yetkisini vermekte ve böylelikle ağ üzerinde merkeziyetsiz bir şekilde katılımcılar birbirlerine doğrudan bağlanabilmektedir. Blockchain teknolojisinde tüm işlemlerin kaydedildiği dijital hesap defteri olan *dağıtılmış defter* (*distributed ledger*) sayesinde de eşlere ait senkronize edilen defterler aynı zamanda işlenerek merkezi sunucu kaynaklı güvenlik açığı sorunu ortadan kalkmaktadır. *Mutabakat mekanizması* (*consensus mechanism*) ise eşler arası ağda bulunan katılımcının, kişisel dijital hesap defterine veri girişi yapması durumunda ağda yer alan tüm kullanıcıları bilgilendirip kullanıcılar arasında mutabakat sağlanıp doğrulandığında işlemin kalıcı olarak kayıtlara geçmektedir. Ağda bulunan tüm katılımcılar aynı kayıtlı verilerle çalıştığı için bu sistemle kaydedilen işlemlere itiraz edilememekte ve değişiklik yapılamamaktadır. İnternette oluşturulan kullanıcı kimliği veya belgelerin bütünlük doğrulamaları gibi işlemlerde kullanıcıların özel anahtarlarıyla (*private key*) oluşturulan dijital imzalar kullanılmakta ve alıcılar, kullanıcılara ait genel anahtarlarla (*public key*) bu imzaları kontrol edebilmektedir. *Kriptografi* (*cryptography*) ile Blockchain teknolojisinde bir işlemin imzası doğrulandıktan sonra özel ve genel anahtarlar kriptografik olarak "hash" adı verilen şifreleme yöntemiyle matematiksel algoritmayla bağlanarak eş olmayan bir dijital imza oluşturulmakta ve işlemler bloklar



haline getirilmektedir. Oluşturulan her blok, ağa daha önceden dâhil olmuş bloklara ait kayıtları bozmadan zincire eklenerek ağdaki tüm kullanıcıların dijital hesap defterlerine kaydedilmektedir (Yavuz, 2018: 17). Blockchain sistemindeki zincirler üzerindeki işlemler, gruplar halinde bir araya getirilme mantığıyla çok sayıda işlem kaydı tutularak gerçekleştirildiği için blok zincirine dışarıdan gerçekleştirilebilecek olası müdahaleleri zorlu ve maliyetli hale getirerek dijital paralarda yaşanan çift harcama problemi gibi sorunları ortadan kaldırmaktadır (Krause vd., 2016:8). İşlemlerin gerçekleştirildiği blok zincirler arasındaki ayırım ise dijital defterlerin paylaşım planları ve sisteme katılım izni olan katılımcıların kimliğine göre yapılmakta ve *kamusal blockchain* (blok zincir), *özel blockchain* (blok zincir) ve *konsorsiyum blockchain* (izin verilen blok zincir) olarak üç başlık altında incelenmektedir. *Kamusal blockchain*, dünyadaki herkesin okuyabildiği, işlem gönderebildiği, gönderilen işlemin geçerli olması durumunda işlemin bloğa dahil edilmesini bekleyebildiği ve mutabakat sürecine katılım gösterebildiği bir blok zinciriyken; *özel blockchain* de ise fikir birliğinin sağlanması bir kuruluşun kontrolünde olmakta ve işlem yapma yetkileri kuruluşta merkezi olarak tutulmaktadır (Buterin, 2015). Birçok tarafın katılımıyla özel ve kamu blok zincirleri arasındaki melez (hibrit) yapıyı ifade eden *konsorsiyum blockchain* (izin verilen blok zinciri), mutabakat işlemi önceden seçilmiş bir düğüm seti tarafından kontrol edildiğinden ve sadece seçilen düğüm kümesi blok zincirindeki bloğu doğrulamaktan sorumlu olduğundan konsorsiyum şeklinde organize edilen birkaç işletmeden oluşan yarı kapalı sistemler için uygunluk göstermektedir (Viriyasitavat vd; 2018: 32-39).

Blockchain, düğümler arasında karşılıklı güven duyulmadan bir ağda bile süreçleri güvenli olarak yürütmenin yolunu sunarken (Mendling vd., 2018:16) aynı zamanda doğrulama için tüm kişisel bilgilerin sakladığı ve müşteriye yönelik hızlı karar vermek için tekrarlanan görevi azalttığından işlemler güvenli bir şekilde yürütülmektedir (Sheikh vd. 2019: 321). Tanım ve özelliklerinden de anlaşılacağı üzere Blockchain teknolojisi genellikle bitcoin transferinin yapıldığı bir platform olarak kullanılsa da genel/izinsiz (public/permissionless) ya da özel/izinli (private/permissioned) kullanıma uygun olarak tasarlanabilen yapıya sahiptir. Geniş kitleler tarafından tanınır hale gelmesi pek çok gerçekçi olmayan önerileri ve beklentileri de ortaya çıkardığı için blockchain teknolojisinin olası uygulama alanlarının anlaşılması önemli olmaktadır. Blockchain teknolojisini, birçok devlet, uluslararası kuruluş ve özel sektör temsilcisi yakından takip etmekte ve araştırma faaliyetleri yürütürken proje ve prototipler geliştirmektedir. Bu teknoloji, birçok teknolojiyle entegre olduğundan finansal teknoloji alanları dışında; devletlerin vergi toplaması, yardım dağıtması, pasaport düzenlemesi, tapu kayıtlarını tutması, tedarik zinciri yönetimi ve genel olarak devlet hizmetleri ve kayıtlarının bütünleştirilmesinin sağlanmasına yardımcı olma potansiyeline sahip olmanın (Walport, 2016: 6) yanı sıra dijital kimlik, siber güvenlik, nesnelerin interneti, sağlık sektörü gibi alanlar da kullanılmaktadır. Amerika’da birçok firmanın kurulma sürecinde blockchain teknolojisini kullanırken İsviçre’de bankalar, tapu kayıt otoriteleri, alıcılar ve satıcıların gerçek zamanlı işlemleri görebildiği ve onaylayabildiği blockchain tabanlı tapu sicili uygulamasını test etmektedir. Dubai 2020 yılı itibarıyla tüm devlet işlerini blockchain ile yürütmek, tüm kamu belgelerini dijitalleştirmeyi hedeflemektedir. Estonya ise öncelikle siber güvenlik daha sonra elektronik oy gibi vatandaşlık hizmetlerini de içine alan blockchain teknolojileri uygulamaları konusunda dünyadaki ilk devlet olmaktadır (Wieck, 2017).

Sağlıklı bir ekonomik sistemin oluşturulması için sürekliliğin sağlanması gerektiğinden yatırımların sürdürülebilirliği için ihtiyaç duyulan finansmana, kolay ve düşük maliyetle erişilebilmesi önemli olmaktadır. Günümüz geleneksel finansman yöntemleri iş kurmak isteyen yeni girişimcilerin, küçük ve orta ölçekli girişimcilerin (KOBİ) finansman ihtiyacını karşılamada yetersiz olduğundan girişimciler/işletmeler sıklıkla dış finansmana ihtiyaç duymakta ve banka kredileri, devlet teşvik ve/veya destekleri, melek yatırımcılar (angel investor/business angel), girişim sermayesi, risk sermayesi (venture capital) ve mikro finans gibi yöntemlere başvurmaktadır (Özdemir, 2020: 18-19). Finansmana ihtiyacı olan firmalar için risk sermayesi, melek yatırımcılar, kitle fonlaması ve ilk halka arzlar (IPO) gibi çeşitli seçenekler bulunurken finans dünyasının dijitalleşmesi ve Blockchain tabanlı dağıtık defter teknolojisinin etkisiyle hızlı bir dönüşüm geçirerek yeni finansal ürünlerinin yanı sıra yeni süreçleri ve platformları da beraberinde getirmektedir.

Geleneksel finansman yöntemlerinden faydalanamayan girişimcilerin dijital platformlar aracılığıyla fikir ve projelerini paylaşarak kendilerine parasal destek sağlayabilecek kitlelere erişmeyi hedefledikleri inovatif bir yaklaşım olan yeni nesil finansman yöntemi “*kitle fonlama*” (*crowdfunding*) ortaya çıkmaktadır. Katılımcılar, işlemlerin yürütüleceği platform ve girişimci olmak üzere üç tarafın bulunduğu kitle fonlaması yöntemi; herhangi bir girişimciye ait projenin hayata geçirilmesi ve yatırımcıların bu projelere yatırım yapabilecekleri özelleştirilmiş bir ortam sağlayarak yatırımcıları bir araya getirmekte ve kitle katılımını teşvik ederek girişimciler ile yatırımcılar arasında iş birliği kurulmasını sağlamaktadır (Petrov, 2015: 97). Kitle fonlaması yönteminde girişimcinin topladığı fonların güvenliğinde ve transfer işlemlerinde bankalar ve ödeme hizmet sağlayıcıları görev almakta ve alıcı ile satıcı arasındaki güvenilir üçüncül taraf görevini üstlenmektedir. Geleneksel finansman kaynaklarının yerini alma potansiyeli ile kripto para birimleri dünyasında Blockchain uygulamalı yeni bir kitle fonlaması/finansman türü

biçimi olan “ilk para arzı teklifi” (initial coin offering-ICO), yasal ihale veya başka bir kripto para birimi olabilecek sermaye karşılığında ve bitcoin emisyonu yoluyla yatırımcılar için bir sermaye artırma mekanizması olup aynı zamanda girişimciler için de yeni proje veya ürün geliştirmek için fon toplamalarının bir alternatif yolu olarak kripto para veya projeye mülkiyet hakkı/telif hakkı sattıkları bir sistemdir (Boulianne vd., 2020: 415). ICO yöntemini kullanan girişimciler kitle fonlama yöntemine benzer hedeflere sahip olsa da iki yöntem arasında en temel fark; kitle fonlamasında banka ve ödeme hizmeti sağlayıcıları bulunurken; ICO yönteminde kampanyalar/projeler genellikle blockchain tabanlı ağlarda gerçekleştirildiğinden finansal işlemlerde üçüncül tarafa ihtiyaç duyulmamaktadır.

ICO projeleri, kitle fonlaması veya öz sermaye kitle fonlaması özelliklerini dağıtık defter teknolojisi ile birleştirmekte; girişimler, bir yatırımcı grubuna tüm işlem kayıtlarının şifreleme teknikleri ile güvence altına alındığı, blok zinciri destekli dijital varlık olan jetonların (token) ihraç edilmesiyle dış finansmanı artırmak için alternatif bir yol sağlandığı (Fisch, 2019;22) ve akıllı sözleşmelerle etkinleştirilerek düşük işlem ücretleri önerildiği yenilikçi bir teknoloji olmaktadır. ICO yönteminde girişimciler, yatırımcılara proje kapsamında geliştirilecek olan ürün veya hizmetlere erişim hakkı sağlayan “jeton/jetonlar (token)” teklif etmektedir. ICO yöntemindeki jetonlar, sadece ICO projesi çerçevesinde oluşturulan platform ya da uygulama kapsamında sunulacak hizmetlere ulaşım imkânı sağladıkları gibi farklı yatırımcılara devredilebilir/satılabilir özelliğine de sahiptir. Kripto paralarla ilgili yasal bir düzenleme bulunmadığı gibi ICO proje sahipleri içinde yasal düzenlemelerin veya kurallar çerçevesinde herhangi bir şekil şartı bulunmadığından girişimciler projelerini kendi oluşturdukları sistem doğrultusunda yapma fırsatı sunarken yatırımcıların dolandırılmasına da zemin hazırlamaktadır. ICO projelerinin bazılarında suistimaller yaşanarak finansal dolandırıcılıkla toplanan fonlar söz verildiği gibi yatırıma dönüştürülmemekle yatırımcılar mağdur edilmektedir (Baktaş, 2018: 284).

ICO yönteminin geleneksel finansman yöntemlerine göre; Blockchain tabanlı ağlarda merkezizsiz olması ile maliyetleri ortadan kaldırmakta, sahip olduğu yatırımcı ağı tek bir yerden finanse edilmediği için geniş bir yatırımcı portföyü bulunmakta, ihraç edilen jetonların alınıp satıldığı için yatırımcılara esneklik sağlarken blockchain tabanlı ICO'larda yatırımcılara satılan jetonlarla ilgili işlemler kriptografi, akıllı sözleşmeler ve dağıtılmış defterler gibi protokollerle güvenceye alındığından kalıcılık, şeffaflık ve güvenlik konusunda yatırımcılarına avantaj sağlamaktadır. ICO, geleneksel ve alternatif finansman yöntemlerine göre girişimci ve yatırımcılarına birçok imkân sağlarken yasal boşluklar, bilgi asimetrisi, temel-teknik bilgi düzeyi (eksiklikleri), jeton kaynaklı riskler ve sistemik riskler gibi dezavantajlara da sahip olmaktadır (Zetzsche vd., 2018:15; OECD, 2019:30). *Yasal boşluk*, ICO yönteminin merkezizsiz ağlarda uygulanması nedeniyle yasal düzenlemeye tabi olmadan yürütülebilmesi sonucunda kötü niyetli kişilerce yürütülen faaliyetlerin KOBİ'leri ve/veya girişimcileri zarara uğratması riski olarak ifade edilmektedir. *Bilgi asimetrisi*, ICO yönteminde denetleyici ve düzenleyici bir otoritenin bulunmaması gerçekleştirilen faaliyetlerin şeffaflığının da sorgulanmasına neden olarak kampanyaların önce ve sonrasında girişimci tarafından yürütülecek faaliyetlerle ilgili strateji ya da programların yatırımcıları yanıltacak şekilde değiştirilerek sunulması veya yatırımcılara hiçbir verinin aktarılmaması sonucu ortaya çıkmaktadır. ICO projelerindeki yatırımcılar blockchain ağlarında kendi özel anahtarlarını (private key) yöneterek ağ üzerindeki verilere ve sunulan hizmetlere eriştikleri için özel anahtarların kaybedilmesi/çalınması durumlarında yatırımın kaybetmesiyle sonuçlanmaktadır. Bu nedenle ICO yöntemi sahip olduğu teknolojik altyapı nedeniyle yatırımcısında yöntemin işleyişi, blockchain teknolojisi, kripto para ve jeton gibi teknik kavramlara ilişkin *temel-teknik bilgi düzeyini* zorunlu kılmaktadır. *Jetonlardan kaynaklanan riskler ise*; ICO yönteminde kampanyalar dahilinde ihraç edilen jetonların miktarıyla ilgili kısıtlama genellikle yapılmadığından ihracatı yapan girişimci tarafından dolaşımdaki jeton sayılarındaki değişimler fiyatlarda dalgalanma yaratarak yatırımcıların zarara uğramalarına neden olmaktadır. ICO piyasasının kripto piyasalarla birlikte ulaştığı büyüklük sebebiyle kripto varlıklarda meydana gelebilecek sorunların etkileri finansal sisteme de etki ederek ICO için *sistemik riskler* yaratabilmektedir. ICO'ların sahip olduğu bu dezavantajlar ve ponzi oyunu/düzeni olarak bilinen dolandırıcılık faaliyetlerinin yüksek olması sebebiyle birçok ülkede ICO yöntemine karşı yasal önlemler alınmaktadır.

#### 4. SONUÇ

Günümüzde çok fazla kripto piyasası bulursa da hem girişimciyi hem de yatırımcıyı koruyabilecek özellikte güvenli ve kaliteli platformlar oldukça az bulunmakta ve kripto paralar/jetonlarla ilgili hesap bilgilerinin dijital/sanal cüzdanlara kaydedilmesi bu sistemleri bilgisayar korsanlarının hedefi haline getirmektedir. Kripto piyasalarında ortaya çıkabilecek sorunlar, kripto piyasalarının büyüklüğü ve sahip oldukları riskler göz önüne alındığında finansal sistemi de etkileyebilmektedir. ICO'nun sahip olduğu dezavantajlar ise yöntemin kusurlu olduğunu gösterirken yapılan çalışmalar da ICO kampanyalarındaki risklerin yüksek olduğunu göstermektedir. Ek olarak, ICO yöntemi finansal hizmet alanlarında iş geliştirmek isteyen girişimciler için uygun olurken yöntemin temelinde

blockchain tabanlı ağlarda, jeton veya kripto para karşılığında çeşitli hizmetler sunma mantığının bulunması ürün geliştirme bazlı proje geliştirmek isteyenler için mümkün olmamakta bu nedenle her girişimciye uygun nitelikte olmamaktadır. Dijital veri tabanlarına yönelik Türkiye’de henüz büyük ölçekte uygulama alanı bulunmasa da küresel düzeyde ICO gibi yeni fikirlere ve finansman araçlarına duyulan ilgi artmaktadır. Birçok alandaki dijital dönüşümlerde olduğu gibi bugün konvansiyonel finansman enstrümanlarından yeni alternatiflere yönelimlerin ivme kazandığı gözlenmekte ve popüleritesi gittikçe artmaya başlayan ICO tipi yeni finansman modelinde dijital jetonlar para yerine yeni fikirlerin finansmanında araç olarak kullanılmaktadır. Bu nedenler, Türkiye’de adımları atılmaya başlanan ICO piyasalarında oluşabilecek herhangi bir aksamanın tüm risklerini kuvvetli bir şekilde içinde barındırmasını kaçınılmaz olarak ortaya koymaktadır.

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## Şeftali Üretimi ve Pazarlaması

**Prof.Dr. Hasan Vural<sup>1</sup>**

**Şükrü Özütemiz<sup>2</sup>**

**Özet:** Tarımda ve ekonomide önemli yer tutan şeftali (*Prunus persica* L. Batsch), ılıman ve subtropik iklim alanlarına adapte olabilen, sert çekirdekli bir meyvedir. Meyveleri tüsüz olan çeşitler Nektarin olarak bilinmektedir. Şeftali kültürü 4000 yıl öncesine dayanmaktadır ve ana vatanının Doğu Asya ve Çin olduğu düşünülmektedir. Şeftali Çin'den Buhara ve Keşmir yoluyla İran'a gelmiş, Yunanlılar ve Romalılar MÖ 1000 yıllarında bu meyveyi tanımışlardır. Bugün Avrupa'nın İngiltere ve Kuzey memleketleri hariç her tarafında üretimi yapılmaktadır. Dünya yaş meyve ve sebze ticaretinde önemli bir nokta çevresel baskıların kalite güvence prosedürlerini etkileyebilmesidir. Kaliteyi olumlu yönde etkileyen ancak çevreye olumsuz etkide bulunacak sistemler kabul görmemektedir. Son yıllarda Avrupa Birliği'nde ürünlerin çevresel boyutu önemli bir konu haline gelmiştir. Bu nedenle üreticiler, ürünlerin sadece fiyat, kalite, tüketici talepleri ve standartlar gibi geleneksel boyutunu değil, aynı zamanda çevresel boyutunu da göz önüne almak zorundadır.

### 1. GİRİŞ

Şeftali Amerika'nın hem güneyinde hem de kuzeyinde yetiştirilmektedir. Afrika'da son yıllarda şeftali yetiştiriciliği genişlemiş Avustralya ve Yeni Zelanda'da da en fazla yetiştirilen meyve türü olmuştur. Dünya üzerinde en büyük şeftali yetiştiricisi ülkeler sırasıyla; İtalya, ABD, Çin, Yunanistan, İspanya, Fransa, Rusya, Türkiye, Meksika ve Arjantin'dir.

Şeftali meyvesi, değişik ekolojilere kolayca uyum sağlayan bir meyve türüdür. Düşük kış sıcaklıkları, çeşidin soğuklama isteği ve ilkbahar geç donları üretimi ekonomik yönden sınırlayan önemli faktörlerdir. Dünya'daki ticari üretimin tamamına yakını, Güney ve Kuzey 30°-40° enlem dereceleri arasından elde edilmektedir.

Şeftali ekolojik koşullar yönünden, Türkiye'nin büyük bir kısmında yetişme olanağı bulan bir meyve türüdür. Ekonomik anlamda yetiştiriciliği altmışlara kadar en fazla Bursa başta olmak üzere, Marmara Bölgesinde yoğunlaşmıştır. Örneğin, 1959 yılında Türkiye'deki şeftali ağaçlarının %46'sı Bursa'da bulunmaktaydı ve genel üretimin de %64'ü yine bu ilden sağlanmaktaydı. Ancak hem yurtiçi ulaşım olanaklarının gelişmesi, hem de şehirlerdeki nüfus birikimi diğer bölgelerdeki üretimin hızla artmasına yol açmış, dolayısıyla şeftali yetiştiriciliği hem Ege ve Akdeniz bölgelerinde hem de diğer bölgelerin uygun ekolojilerinde hızla gelişmiştir. Türkiye İstatistik Kurumu verilerine göre ülkemizde 2016 yılında 674 bin 136 ton şeftali üretilmiştir. En fazla şeftali üretilen 148 bin 310 tonla Ege bölgesi olurken, bu bölgeyi, 147 bin 498 tonla Akdeniz, 126 bin 664 tonla Doğu Marmara, 99 bin 122 tonla da Batı Marmara bölgeleri izlemektedir. İller bazında ise Mersin, 103 bin 595 tonluk üretimle ilk sırada bulunmaktadır. Türkiye'de Mersin, Çanakkale, Bursa ve İzmir illeri şeftali üretiminin yarısını karşılamaktadır.

Türkiye'de şeftali, sert çekirdekli meyve türleri içinde kayıtsızdan sonra, en fazla yetiştiriciliği yapılan meyve türüdür. Türkiye, şeftali üretimi için uygun iklim koşullarına sahip olmasına rağmen, Akdeniz ülkeleri içerisinde bile söz sahibi ülkeler arasına girememiştir. Ülkemiz geçtiğimiz yıl ürettiği şeftalinin sadece %4,1'ini ihraç edebilmiştir. 28.020 ton şeftali ihraç eden Türkiye, ihracattan yalnızca 13 milyon 773 bin 884 dolar gelir sağlamıştır. 2014 ve 2015 yıllarına bakıldığında ise, Rusya pazarı açıkken gelirin daha yüksek olduğu görülmektedir. 2014 yılında, şeftali ihracatından 22 milyon 527 bin 725 dolar, 2015 yılında da 19 milyon 143 bin 314 dolar elde edilmiştir.

Şeftali meyvesi hassas bir tür olduğu için hasat ve pazarlama esnasında dikkatli davranılmalıdır. Aksi halde, meyveler yaralanmaktadır. Şeftali meyvelerinde hasat zamanının saptanmasında genellikle, meyve kabuğunda zemin ve üst renk teşekkülü ile meyve eti sertliği kullanılmaktadır. Uzak pazarlara gönderilecek veya soğuk hava deposunda muhafaza edilecek meyveler, tam olgunluklarından 24-48 saat önce hasat edilmektedirler. Ağaçtaki meyvelerin tamamı aynı zamanda olgunlaşmadığından meyveler, hava sıcaklık durumlarına göre 2 - 4 gün ara ile 3 - 5 defada toplanmaktadır. Toplanan meyveler ambalaj kaplarına yukarıdan boşaltılmamalıdır. Şeftali meyveleri soğuk hava depolarında %85 - 90 nisbi nemde, -0.5, 0 °C'de 2 - 4 hafta ile muhafaza edilebilirler.

### 2. ŞEFTALİ VE NEKTARİN ÇEŞİTLERİ

Şeftalilerin çeşitlerine değinmeden önce pomolojik olarak şöyle gruplandırılır:

- Tüylülük durumuna göre: Tüylü, tüsüz
- Yarılma durumuna göre: Yarma, et

- Meyve etine göre: Sarı, kırmızı, beyaz, yeşil
- Değerlendirme şekline göre: Taze, konserve, meyve suyu, derin dondurma, kuru olarak
- Olgunluk zamanına göre: Çok erkenci, erkenci, orta mevsim, geç, çok geç

Üretilen önemli şeftali çeşitleri ise şunlardır:

#### Yemeklik olan çeşitler:

- **Çok erkenci:** Springtime, Precocissima, Early Red, Blazing Gold, Merrill Gem Free, Cardinal, Dixired, Starking Delicious
- **Erkenci:** Coronet, Redhaven, Washington
- **Orta:** Glohaven, Redglobe, Loring, Madison, Crest Haven, Blake, J.H.Hale, Jefferson
- **Geççi:** Shipper's Late Red, Rio Oso Gem, Monreo

**Sanayiye uygun çeşitler:** Escarolita, Vesuvio, Shasta, Vivian, Andross, Klamt, Sudanella, Carolyn, Halford, Sarı Papa

**Nektarinler:** Armking, Crimson Gold, Independence, Summer Super Star, Stark Red Gold, Fantasia, Fairlane.

#### Yemeklik Şeftali Çeşitleri:

İrilik, renk, koku ve tat bakımından en yüksek kalitede olan çeşitlerdir. İri, güzel renkli, kokulu, kabuğu ince ve az tüylü, eti sarı ve yarma, sulu, tatlı çeşitler yemeye uygundur. Olgunlaşma mevsime göre çok erkenci, erkenci, orta ve geç olmak üzere dörde ayrılır.

**Springtime, Şeftali Çeşidi:** Ağacı yarı dik ve orta derecede gelişen ve verimli bir çeşittir. Meyvesi basık, ortalama ağırlığı ise 90 gramdır. Meyve sarı zemin üzerine bir tarafı kırmızı renktedir. Meyve eti beyaz, sulu, lifli, çekirdek ete bağlıdır. Kış soğuklanma isteği 650 saattir. Yetiştiriciliği sahil dışında Akdeniz Bölgesi için tavsiye edilir.

**Merrill Gem Free, Şeftali Çeşidi:** Ağacı yarı dik ve kuvvetli gelişen kendine verimli bir çeşittir. Meyve basık, ortalama ağırlığı 197 gramdır. Meyvesi koyu sarı zemin üzerine koyu kırmızı renktedir. Meyve eti sarı, orta derecede sulu, ince dokulu, aromalı, çekirdek ete bağlıdır. İlkbahar geç donlarına dayanıklıdır. Yetiştiriciliği Ege, Marmara ve kuzey geçit bölgelerine tavsiye edilir.

**Redhaven, Şeftali Çeşidi:** Ağacı yan dik ve kuvvetli gelişen çok verimli bir çeşittir. Yalova'da temmuz ortalarında olgunlaşır. Meyve yuvarlak, ortalama ağırlığı 185 gramdır. Meyve sarı zemin üzerine koyu kırmızı renktedir. Meyve eti sarı, ince dokulu, tatlı, aromalı, çekirdek etten oldukça ayrıdır. Nakliye dayanıklıdır. Kış soğuklanma isteği 950 saattir. Yetiştiriciliği Ege, Marmara, kuzey geçit ve Güney Doğu Anadolu Bölgesi için tavsiye edilir. Kendine verimli bir çeşittir.

**J.H.Hale, Şeftali Çeşidi:** Ağacı yarı dik ve kuvvetli gelişen verimli bir çeşittir. Redhaven çeşidinden 30 gün sonra olgunlaşır. Meyve yuvarlak, ortalama ağırlığı 227 gramdır. Meyve sarı zemin üzerine koyu kırmızı renktedir. Meyve eti sarı, sulu, ince dokulu, aromalı, çekirdek etten ayrıdır. Nakliye dayanıklıdır. Kış soğuklanma isteği 900 saattir. Yetiştiriciliği Ege, Marmara, kuzey geçit ve Güney Doğu Anadolu Bölgesi için tavsiye edilir. Kendine kısırır. Diğer bütün çeşitler dölleyici olarak kullanılabilir.

**Rio-Oso-Gem, Şeftali Çeşidi:** Ağacı yaygın ve çok kuvvetli gelişen oldukça verimli bir çeşittir. Meyve yuvarlak, ortalama ağırlığı 196 gramdır. Meyve sarı zemin üzerine koyu kırmızı renktedir. Meyve eti sarı, orta derecede sulu, az lifli, az ekşi, çekirdek etten ayrıdır. Nakliye dayanıklıdır. Kış soğuklama isteği 900 saattir. Yetiştiriciliği Marmara ve kuzey geçit bölgeleri için tavsiye edilir.

Sanayiye Uygun Şeftali Çeşitleri şunlardır:

Genellikle orta irilikte, düzgün şekilli, etleri güzel renkli ve aromalı, pişirilince eti dağılmayan, rengi değişmeyen ve şurubu bulandırmayan meyveler tercih edilir. Kurutmalık çeşitler genel olarak az sulu, fazla şekerli ve posalıdır. Bu nedenle de kuru randımanı yüksek olan çeşitlerdir. Şeftalilerde eti az sulu, fazla şekerli, sarı etli ve yarma çeşitler en uygunlardır.

**Escarolita, Şeftali Çeşidi:**Ağacı yaygın ve kuvvetli gelişen verimli bir çeşittir. Meyve yuvarlak, ortalama ağırlığı 106 gramdır. Meyve portakal sarısı zemin üzerine parçalı açık kırmızı renktedir. Meyve eti sert, sarı, sulu, ince dokulu, tatlı ve çekirdek ete bağlıdır. Yetiştiriciliği Marmara ve kuzey geçit bölgeleri için tavsiye edilir. Kendine verimlidir.

**Vesuvio, Şeftali Çeşidi:**Ağacı yarı dik ve çok kuvvetli gelişen çok verimli bir çeşittir. Redhaven çeşidinden 6 gün sonra olgunlaşır. Meyve portakal sarısı zemin üzerine parçalı açık kırmızı renkte, meyve eti sert, sarı, orta derecede sulu, ince dokulu, tatlı, çekirdek ete bağlı ve meyve yuvarlaktır. Yetiştiriciliği Marmara ve kuzey geçit bölgeleri için tavsiye edilir. Kendine verimli bir çeşittir.

**Sudenella, Şeftali Çeşidi:**Ağacı yarı dik ve kuvvetli gelişen verimli bir çeşittir. Redhaven çeşidinden 38 gün sonra olgunlaşır. Meyve yuvarlak, sarı zemin üzerine parçalı açık kırmızı renkte, meyve eti sert, sarı, orta derecede sulu, ince dokulu, tatlı, aromalı ve çekirdek ete bağlıdır. Yetiştiriciliği Marmara ve kuzey geçit bölgeleri için tavsiye edilir. Kendine verimlidir.

**Halford, Şeftali Çeşidi:**Ağacı yarı dik ve kuvvetli gelişen verimli bir çeşittir. Redhaven çeşidinden 48 gün sonra olgunlaşır. Meyve yuvarlak, meyve sarı zemin üzerine az miktarda parçalı açık kırmızı renkte, meyve eti sert, sarı, orta derecede sulu, ince dokulu, gevrek, tatlı, aromalı ve çekirdek ete bağlıdır. Yetiştiriciliği Marmara ve kuzey geçit bölgeleri için tavsiye edilir. Kendine verimlidir.

**Sarı Papa, Şeftali Çeşidi:**Anadolu orijindir. Ağacı yarı dik ve kuvvetli gelişir, verimli bir çeşittir. Redhaven çeşidinden 66 gün sonra olgunlaşır. Meyve yuvarlak, sarı zemin üzerine akıtmalı açık kırmızı renkte, meyve eti sert, sarı, orta derecede sulu, ince dokulu, tatlı ve çekirdek ete bağlıdır. Yetiştiriciliği Marmara ve kuzey geçit bölgeleri için tavsiye edilir. Kendine verimlidir.

Nektarin Şeftali Çeşitleri Tüysüz şeftalidir.

**Armking, Şeftali Çeşidi:**Ağacı yarı dik ve kuvvetli gelişir. Çok verimlidir. Meyve yuvarlak, tüysüz, sarı zemin üzerine sıvama koyu kırmızı renkte, meyve eti sarı, sulu, az lifli ve çekirdek ete bağlıdır. Yetiştiriciliği Akdeniz, Ege ve Marmara Bölgeleri'nde tavsiye edilir. Kendine verimli bir çeşittir.

**Summer Super Star, Şeftali Çeşidi:**Yarı dik büyür ve çok kuvvetli gelişir. Bol verimlidir. Meyve sarı zemin üzerine sıvama koyu kırmızı, tüysüz, meyve eti sarı, sulu, az ekşi, çekirdek ete bağlıdır. Meyvesi yuvarlak, sofralık bir çeşittir. Kendine verimlidir. Marmara ve kuzey geçit bölgelerinde tavsiye edilir.

**Stark Red Gold, Şeftali Çeşidi:**Yarı dik ve kuvvetli gelişir. Bol verimlidir. Meyve sarı zemin üzerine parçalı koyu kırmızı renkte, tüysüz meyve eti sarı, sulu, az ekşi, çekirdek etten ayrılır. Meyvesi yuvarlak, sofralık bir çeşittir. Kendine verimlidir. Marmara ve kuzey geçit bölgelerinde tavsiye edilir.

**Fantasia, Şeftali Çeşidi:**Ağacı yarı dik ve orta kuvvette gelişir. Oldukça verimli bir çeşittir. Meyvesi yuvarlak, tüysüz, sarı zemin üzerine sıvama koyu kırmızı renkte, meyve eti sarı, bol sulu ve çekirdek etten ayrılır. Meyve dokusu liflidir. Yetiştiriciliği Marmara ve Ege Bölgesi'nde tavsiye edilir. Kendine verimli bir çeşittir.

### 3. DÜNYADA ŞEFTALİ ÜRETİMİ

Şeftalinin Dünya'daki ticari üretimin tamamına yakını Güney ve Kuzey 30°-40° enlem dereceleri arasından elde edilmektedir. Birleşmiş Milletler Gıda ve Tarım Örgütü (FAO) verilerine göre dünyada 2014 yılında, 1 milyon 494 bin 837 hektar alanda, 22 milyon 795 bin 854 ton şeftali üretilmiştir. Çin, 12 milyon 423 bin 700 tonla, dünya şeftali üretiminin %54,4'ünü karşılarken, İspanya %7, İtalya da %6 pay almaktadır. Yunanistan (962.580 ton), ABD (959.983 ton), Türkiye (608.513 ton), İran (575.457 ton) ve Şili (355.634 ton) dünyanın önde gelen diğer şeftali üretici ülkeleri olarak sıralanmaktadır.

**Tablo 1. Ülkelere göre şeftali/nektarin üretim alanı ve üretim (2014)**

Ülkeler	Üretim Alanı (ha)	Üretim (ton)
Çin	726.068	12.423.700
İspanya	86.118	1.573.640
İtalya	74.478	1.379.428
Yunanistan	50.270	962.580

ABD	50.602	959.983
Türkiye	44.070	608.513
İran	24.408	575.457
Şili	18.137	355.634

**Tablo 2. Dünya’da yıllara göre şeftali/nektarin üretim alanı ve üretim**

Yıllar	Üretim Alanı (ha)	Üretim (ton)
1990	1.330.967	9.397.425
1995	1.369.013	10.908.323
2000	1.264.712	13.368.984
2005	1.486.766	17.810.167
2010	1.499.475	20.500.034
2011	1.492.879	21.184.735
2012	1.465.889	21.140.534
2013	1.496.937	21.529.721
2014	1.494.837	22.795.854

#### 4. TÜRKİYE’DE ŞEFTALİ ÜRETİMİ

Türkiye’de şeftali; Muş, Ağrı, Sivas, Yozgat, Siirt, Van, Bingöl gibi birkaç il dışında her yerde yetişebilmektedir.

**Tablo 3. Türkiye’de yıllara göre şeftali/nektarin üretimi**

Yıllar	Ağaç Sayısı (bin)		Üretim (ton)
	Meyve veren	Meyve vermeyen	
1990	10.524	1.535	350.000
1995	10.655	1.920	340.000
2000	12.260	2.210	430.000
2005	13.900	2.588	510.000
2010	14.364	3.065	539.403
2011	13.447	2.261	545.902
2012	14.181	3.537	611.165
2013	14.546	3.683	637.543
2014	15.149	3.420	608.513



2015	16.338	3.280	642.727
2016	16.647	3.574	674.136

**Tablo 4. Bölgelere göre şeftali/nektarin üretimi (2016)**

**Bölgeler**                      **Şeftali (ton)**    **Nektarin (ton)**

-		
Kuzeydoğu Anadolu	3.827	454
Ortadoğu Anadolu	3.567	975
Güneydoğu Anadolu	1.821	480
İstanbul	145	-
Batı Marmara	99.122	26.287
Ege	148.310	6.032
Doğu Marmara	126.664	17.186
Batı Anadolu	6.544	724
Akdeniz	147.498	34.190
Orta Anadolu	5.108	2.107
Batı Karadeniz	41.902	491
Doğu Karadeniz	702	-

**Tablo 5. İllere göre şeftali/nektarin üretimi (2016)**

**İller**                              **Şeftali (ton)**    **Nektarin (ton)**

-		
Mersin	103.595	15.822
Çanakkale	91.558	24.682
Bursa	77.941	12.811
İzmir	74.311	3.099
Denizli	33.752	897
Bilecik	26.234	1.200
Samsun	19.015	184
Antalya	17.154	704

Sakarya	16.076	1.046
Adana	14.823	15.803

## 5. DIŞ TİCARET

Türkiye’de şeftali ürünü, sert çekirdekli meyve türleri içinde, kayısıdan sonra en fazla yetiştiriciliği yapılan meyve türüdür. Türkiye, şeftali üretimi için uygun iklim koşullarına sahip olmasına rağmen, Akdeniz ülkeleri içerisinde bile söz sahibi ülkeler arasına girememiştir. Ülkemiz geçtiğimiz yıl ürettiği şeftalinin sadece %4,1’ini ihraç edebilmiştir. 28.020 ton şeftali ihraç eden Türkiye, yalnızca 13 milyon 773 bin 884 dolar gelir sağlamıştır. 2014 ve 2015 yıllarına bakıldığında, Rusya pazarı açıkken, gelirin daha yüksek olduğu görülmektedir. 2014 yılında, şeftali ihracatından 22 milyon 527 bin 725 dolar, 2015 yılında da 19 milyon 143 bin 314 dolar elde edilmiştir.

**Tablo 6. Türkiye’nin yıllara göre şeftali ihracatı**

<u>Yıllar</u>	<u>Miktar (ton)</u>	<u>Değer (dolar)</u>
2000	14.470	3.792.938
2005	37.492	19.362.911
2010	35.158	24.140.327
2011	26.654	17.298.503
2012	33.685	20.701.495
2013	21.994	17.056.278
2014	24.904	22.527.725
2015	26.016	19.143.314
<u>2016</u>	<u>28.020</u>	<u>13.773.884</u>

## 6. SONUÇ

Türkiye’nin tarım ve ekonomisinde önem taşıyan bir meyve türü olan şeftali üretimi hem beslenme hem de gelir getirmesi yönünden çiftçiler için ülke için önemini korumaktadır. Dünya yaş meyve ve sebze ticaretinde önemli bir nokta çevresel baskıların kalite güvence prosedürlerini etkileyebilmesidir. Kaliteyi olumlu yönde etkileyen ancak çevreye olumsuz etkide bulunacak sistemler kabul görmemektedir. Son yıllarda Avrupa Birliği’nde ürünlerin çevresel boyutu önemli bir konu haline gelmiştir. Bu nedenle üreticiler, ürünlerin sadece fiyat, kalite, tüketici talepleri ve standartlar gibi geleneksel boyutunu değil, aynı zamanda çevresel boyutunu da gözönüne almak zorundadır. Avrupa Birliği’ne ihracat yapan firmalarımız üye ülkelerdeki tüketicilerin sağlık ve çevre konusundaki duyarlılıklarının farkında olmalı ve pazar talebi ve yasal düzenlemelere uygun ürünler sunarak, tüketicilerin ihtiyaçlarını karşılamaya çalışmalıdır.

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## Domates Ekonomisi ve Pazarlaması

**Prof.Dr. Hasan Vural**

**Vedat Arslan**

Uludağ Üniversitesi, Ziraat Fakültesi, Tarım Ekonomisi Bölümü, 16059, Bursa

**Özet:** Domates Türkiye'nin en fazla üretilen tarımsal ürünlerindedir. Türkiye, iklim koşullarının domates yetiştiriciliğine uygun olması ve 1970'lerden itibaren domates işleme sanayisinin de gelişmiş olması ile dünya domates üretiminde ilk sıralara yükselmiştir. Türkiye'nin son yıllarda toplam domates üretim miktarı 11 milyon tonu aşmaktadır. Türkiye bu üretimle dünya sıralamasında dördüncü sırada yer alırken, dünyadaki toplam domates üretimin yaklaşık %7'sini karşılamaktadır. Ülkemizde diğer meyve sebzelerde olduğu gibi özellikle pazarlamada önemli sorunları bulunmaktadır. Pazarlamada ürün kayıpları yanında aracı sayısının fazlalığı üretici ve tüketici açısından sorunlar teşkil etmektedir.

**Anahtar kelimeler:** Domates, Türkiye, pazarlama, üretim

### 1. TÜRKİYE'DE DOMATES ÜRETİMİ

Türkiye 43 milyon ton yaş meyve ve sebze üretimi ile dünyanın önemli üretici ülkelerinden birisi konumundadır. Ülkemiz rakamsal olarak önemli bir üretici ülke görünümünde olmakla birlikte, ihracatın üretime oranı % 3.7 civarındadır. Bu yapının en önemli nedenleri ürünlerin gıda sanayinde hammadde olarak kullanılması ve yurtiçinde tüketilmesi ile ihracata konu olan yaş meyve ve sebzelerin, uluslararası piyasalarda talep edilen miktar ve kaliteye uygun çeşitlerin olmamasıdır.

Dünyada en fazla yetiştirilen sebzeler arasında yer alan domates ürünü Türkiye'de de geniş bir alanda yapılmaktadır. Türkiye, iklim koşullarının domates yetiştiriciliğine uygun olması ve 1970'lerden itibaren domates işleme sanayisinin de gelişmiş olması ile dünya domates üretiminde ilk sıralara yükselmiştir (Keskin, 2014).

Domates, tek yıllık bir bitkidir ancak tropik ve subtropik bölgelerde çok seneliktir. Bitkinin, belirli bir yüksekliğe geldikten sonra dik büyüemeyen, bodur, orta bodur ve sırk tipleri vardır. Bitki yaşlandıkça gövdedeki selüloz miktarı artar ve buna bağlı olarak dayanımı da artar. Domates ılık ve sıcak iklim sebzesidir. Soğuklardan çok olumsuz etkilenir. Bol ürün ve bol tohum vermesi için uzun bir yetiştirme devresi ister. Domates soğuk havada iyi büyüyemez. 14 derecenin altındaki sıcaklıklarda meyve bağlamaz. Domates de normal bir gelişmenin meydana gelebilmesi için en uygun sıcaklık 15-20 derecede olabilir. Türkiye tarımsal potansiyeli yüksek ülkelerden biri olup, yüzlerce tek yıllık ve çok yıllık ürünün yetiştirildiği ender ülkelerden birisidir. Sahip olunan farklı coğrafi ve ekolojik koşullar nedeniyle farklı iklim ve toprak isteği olan yüzlerce ürünün üretilmesi mümkün olmaktadır. Türkiye'de entansite derecesinin ve buna paralel kârlılığının da yüksek olması nedeniyle ülke genelinde çok çeşitli meyve ve sebzeler yetiştirilmektedir ( Bashimov, 2016).

Günümüzde Türkiye birçok tarımsal ürünün üretiminde dünyada ilk on sıralamada yer almaktadır. Türkiye domates, kuru meyveler, kayısı, fındık, kiraz, ayva ve incir üretiminde dünyada ilk sıralarda yer almaktadır (Rehber ve Vural, 2018). Türkiye uygun iklim koşulları nedeniyle domates üretiminde önemli ülkelerden biridir. Türkiye'nin son yıllarda toplam domates üretim miktarı 11 milyon tonu aşmaktadır. Türkiye bu üretimle dünya sıralamasında dördüncü sırada yer alırken, dünyadaki toplam domates üretimin yaklaşık %7'sini karşılamaktadır. Türkiye sebze üretiminin yaklaşık %40'ını domates karşılamaktadır.

Türkiye'de domates, üretim, tüketim ve ekonomideki değeri bakımından sebzeler içerisinde ilk sırada yer almaktadır. Domates, yetiştiriciliği yapılan bölgelerde çiftçilerin önemli gelir kaynaklarından birisini oluşturmaktadır.

Domates aynı zamanda insan beslenmesinde önemli ve vazgeçilmez tarım ürünlerinden biri olarak kabul edilmektedir. Domatesin taze tüketimi yanında gıda sanayinde dondurulmuş, salça, sos, ketçap, turşu, domates suyu, domates püresi, soyulmuş domates, dilimlenmiş domates, küp şeklinde doğranmış domates, kurutulmuş domates, domates konservesi gibi çok çeşitli kullanım alanlarına sahip olması önemini artırmaktadır (Bashimov, 2016).

Çizelge 1. Türkiye’de domates üretim, ekim ve verim durumu

Yıllar	Ekim Alanı (Bin Ha)	Üretim (Bin Ton)	Verim (Ton/Ha)
1970	75	1.810	24,1
1975	100	2.300	23,0
1980	108	3.550	32,9
1985	134	4.900	36,6
1990	159	6.000	37,7
1995	182	7.250	39,7
2000	208	8.890	42,6
2005	201	10.050	49,9
2010	179	10.052	56,1
2012	189	11.350	59,9
2014	183	11.850	64,7

Kaynak: FAO ve TÜİK veri tabanı

TÜİK tarafından yapılan bitkisel üretim istatistiklerinde sofralık ve sanayi domatesi ayrımı 2005 yılından itibaren yapılmaya başlanmıştır. Bu tarihe kadar toplam domates üretiminin yaklaşık 1,5-2 milyon tonunun (%15-% 20) sanayide kullanıldığı kabul ediliyordu. İstatistiklerdeki bu ayrımdan itibaren Türkiye’nin sanayi domatesi üretimi 3 milyon ton civarında gerçekleşmiş ve 2014 yılında 3,9 milyon tona ulaşmıştır. Yıldan yıla değişmekle birlikte sofralık domates çeşitlerinin üretimi salçalık domates çeşitlerinin üretimi lehine gerilemektedir. 2005 yılında üretilen domatesin %70,32’sini sofralık çeşitler oluştururken bu rakam 2014 yılında %66,96’a, 2005 yılında %29,68 olan salçalık ya da endüstriyel çeşitlerin oranı 2014 yılında %33,04’e ulaşmıştır.

Domates Türkiye’de, açıkta tarla sebzeçiliği şeklinde ve örtü altı üretimi şeklinde üretilmektedir. Domates yetiştiriciliği Türkiye’nin tümünde mümkün olmakla birlikte, sanayi tipi domates üretiminin iklimin çok daha uygun olduğu Ege ile Batı ve Doğu Marmara Bölgelerinde, sofralık tip domates üretiminin ise; Akdeniz, Ege ve Batı Karadeniz Bölgelerinde yoğunlaştığı görülmektedir. 2014 yılı itibariyle Türkiye’de domates üretiminde en önemli üretici bölgeler sırasıyla Akdeniz, Ege ve Doğu Marmara Bölgeleri’dir. Akdeniz Bölgesi domates üretiminin %30,7’sini karşılarken, bu üç bölge toplam üretimin %69’unu karşılamaktadır (Anonim, 2014).

## 2. PAZARLAMA KANALLARI

Meyve ve sebze ürünleri, bazı pazarlama kanalları yolu ile tüketiciye çeşitli şekillerde ulaştırılabilmektedir. Meyve ve sebze üreticilerinin bir kısmı ürünlerini yol üstü pazarlarında veya tarlada (üretim yerinde) satarak tüketiciye ulaştırmaktadırlar. Bir kısım üreticiler, üretim yerinin pazara uzak olması veya nakliye masrafının ağır olması sebebiyle, üretim yerinde komisyonculara satmak yolu ile de ürünlerini pazarlayabilmektedir (Vural, 2014). Komisyoncu ise çiftçilerden satın aldığı ürünleri perakendeci ve toptancı dağıtım kanallarına pazarlamakta ve buradan pazar, süper market, manav ve bakkallara aktararak tüketiciye ulaştırılmaktadır. Üreticiler, tarım kooperatifleri ve ihracatçı firmalara da doğrudan ürünlerini pazarlayabilmektedir. Diğer bir pazarlama kanalı ise meyve ve sebzelerin tarım kooperatifleri yoluyla perakendecilere ve oradan da tüketicilere ulaşmasıdır. Yaş meyve ve sebze pazarlama kanallarının nispeten en uzun olanı ise “üretici – toplayıcı - komisyoncu (üretim yerinde) – toptancı - komisyoncu (tüketim yerinde) – perakendeci – tüketici” şeklindedir.. Meyve ve sebze üreticileri ürünlerini tarıma dayalı sanayii işletmelerine de pazarlamaktadırlar. Üretim için gerekli hammaddeyi tarımsal ürünlerden sağlayan tarıma dayalı sanayi işletmeleri, gerekli hammaddeyi direk çiftçiden almaktadırlar. Daha sonra işlenen ürünler meyve suyu, konserve ve salça gibi çeşitli şekillerde iç piyasada toptancı ve bayilere, dış piyasada ise ihracatçı şirketlere pazarlanarak tüketiciye ulaştırılmaktadır. Pazarlama kanallarının oldukça uzun olması ve fazla işgücü ihtiyacı nedeniyle diğer birçok ürüne göre meyve ve sebze üreticileri satış değerinden çok az oranda pay alırken, tüketicilerde bu ürünlere yüksek bir fiyat ödemek zorunda kalmaktadırlar (Akbay, 2005).

Tablo 1. Türkiye’de yıllara göre domatesin üretim miktarları

	Üretim (TON)
2001	8 425 000
2002	9 450 000
2003	9 820 000
2004	9 440 000
2005	10 050 000

2006	9 854 877
2007	9 936 552
2008	10 985 355
2009	10 745 572
2010	10 052 000
2011	11 003 433
2012	11 350 000
2013	11 820 000
2014	11 850 000
2015	12 615 000
2016	12 600 000
2017	12 750 000

Kaynak: Anonim, 2021.

### 3. SERADA DOMATES YETİŞTİRİCİLİĞİ

Günümüzde kırsal kesimde tarımsal üretim yapan üreticiler yanında, farklı alanda faaliyet gösteren girişimcilerin de tarımsal üretime yatırım yaptıkları görülmektedir. Özellikle dışarıya yönelik sera sebzeçiliği, hayvancılık, fidancılık, meyvecilik ve tarımsal ürünlerin işlenmesine yönelik yatırımlar ön plana çıkmaktadır. Günümüzde birçok girişimcinin kendi uzmanlığı olmamasına rağmen tarımsal üretimi seçmesi, bu alanı stratejik olarak görmesinden kaynaklanmaktadır. Özellikle tarım ve onun alt dallarına geleceğin sektörü olarak bakılmaktadır. Gıda, Tarım ve Hayvancılık Bakanlığı ve diğer kurumların yatırımcılara ve girişimcilere verdiği teşvik ve desteklerin artmasıyla birlikte tarımsal yatırımlara ilgi de artmıştır.

TÜİK'in 2014 yılı verilerine göre domates üretimi yapılan sera alanlarının yaklaşık %75'ini plastik sera alanları oluşturmaktadır. 2010-2014 döneminde domates üretimi yapılan toplam sera alanı %5.77 oranında, domates üretimi ise %16.77 oranında artış göstermiştir. Türkiye'de sera domatesi üretimi çoğunlukla Akdeniz bölgesinde yapılmaktadır. Ege ve Marmara Bölgeleri bu açıdan önemli diğer bölgelerdir. 2014 yılında Türkiye domates üretiminin %79.17'si Akdeniz Bölgesinden sağlanmıştır. Aynı yıl Ege Bölgesi %18.69, Marmara Bölgesi ise %1.07 oranında pay almıştır.

Türkiye'de sera domatesi üretimi iller düzeyinde incelendiğinde en önemli illerin Antalya, Muğla ve Mersin olduğu görülmektedir. Bu üç il 2014 yılında Türkiye üretiminin %92.73'ünü sağlamıştır.

**Çizelge 2:** Türkiye'de İllere Göre Sera Domatesi Üretimi (2014)

İller	Cam seralar		Plastik seralar		Toplam	
	Üretim alanı (da)	Üretim (ton)	Üretim alanı (da)	Üretim (ton)	Üretim alanı (da)	Üretim (ton)
Antalya	47.929	658.135	104.425	1.397.023	152.354	2.055.158
Muğla	5.474	77.656	26.334	383.031	31.808	460.687
Mersin	627	6.578	19.121	278.922	19.748	285.500
İzmir	132	4.250	1.018	28.596	1.150	32.846
Burdur	30	422	2.038	27.212	2.068	27.634
Manisa	-	-	772	21.323	772	21.323
Diğer iller	542	11.910	8.905	125.849	9.447	137.759
Toplam	54.734	758.951	162.613	2.261.956	217.347	3.020.907

Kaynak: <http://www.tuik.gov.tr>

Türkiye'de üreticiler ürettikleri sera domateslerini çoğunlukla tüccar, mahalli alıcı veya pazarcılara satmaktadır. Bunun dışında, toptancı halleri ve bu hallerdeki komisyoncular ile işleme sanayindeki firmalar da önemli rol oynamaktadır. Son yıllarda sayıları artan Yaş Meyve Sebze Pazarlama Kooperatiflerinin bu yöndeki etkinliği çok azdır. Ayrıca, üretilen sebzelerin bir kısmının araçlar vasıtasıyla dışarıya da gerçekleştirilmektedir.

Türkiye'de 2005 yılından itibaren bazı üreticiler "Örtü Altı Sebze Üreticileri Birliği" çatısı altında örgütlenmeye başlamışlardır. Halen ilçe bazında Antalya'da beş (Merkez, Manavgat, Serik, Elmalı, Kumluca ve Kaş), Mersin'de üç (Silifke, Erdemli ve Akdeniz), Kırklareli (Pınarhisar), İzmir(Menderes), Mersin (Aydıncık), Balıkesir(Merkez) ve

Samsun'da bir (Çarşamba), il bazında ise Sinop'ta bir birlik bu amaçla faaliyet göstermektedir. Halen çok az olmakla birlikte, zaman içerisinde bu birliklerin pazarlamadaki etkinlikleri de artacaktır (Engindeniz, 2015).

#### 4. DOMATES İHRACATI

Dünyada üretici ülkeler sınıflandırması içinde yer alabilmek ihracatın ne ölçüde başarıyla gerçekleştirdiğine bağlıdır. Bu anlamda da üretim miktarı, endüstri kalitesi, altyapı ve kullanılan girdiler, finans ve pazar şartları olarak adlandırılan, dünyada kabul görmüş rekabet kriterleri doğrultusunda ülkemiz yaş meyve ve sebze sektörünün yapılandırılması gerekmektedir. Aksi durumda önemli üretici olmamız tek başına bir anlam ifade etmemektedir.

Türkiye'de yaş meyve ve sebze üretimi miktar itibarıyla önemli olmasına karşın, ihracatın üretime oranı çok düşüktür. İhracata konu olan meyve ve sebze çeşitlerinin uluslararası piyasalarda talep edilen çeşitlere uygun olmayışı ve üretimden tüketime miktar ve kalite kayıplarının yüksekliği bu yapının en önemli nedenleri arasındadır. Ülkemiz açısından dünya yaş meyve ve sebze ticareti incelendiğinde Avrupa Birliği ülkeleri, Ortadoğu ülkeleri, Bağımsız Devletler Topluluğu ülkeleri ve Doğu Avrupa ülkeleri dikkat çekmektedir.

Türkiye'de Antalya'dan 46 ülkeye domates ihracatı gerçekleştirilirken, en fazla ihracat Beyaz Rusya'ya yapılmıştır. En fazla domates ihracatı gerçekleşen ikinci ülke Romanya'dır. Listenin üçüncü sırasında Bulgaristan yer almaktadır. Domates ihracatı gerçekleştirilen ülkeler arasında Almanya dikkati çekmektedir.

Yeni dünya kökenli bir bitki olan domates dört yüzyıl içinde tüm dünyaya yayılmış ve en fazla yetiştirilen yaş sebze hâline gelmiştir. Türkiye, domateste dünyada en fazla üretim yapan dördüncü, en çok sofralık taze domates ihracatı yapan beşinci ve en fazla salça ihraç eden üçüncü ülke konumundadır. Açıkta ve örtü altında üretilebilen, yerde ve sırık formunda askıda yetiştirilebilen, taze ve işlenmiş olarak pazarlanabilen domateste büyük bir çeşit zenginliği mevcuttur. Son elli yıl içinde domates üretimimiz büyük bir değişim yaşamış, kabuk değiştirerek modern bir görünüm kazanmıştır. Üretimin üçte ikisi sofralık olarak satılmakta, üçte biri salçaya işlenmektedir. Domateste sera tarımı oldukça büyümüş ve örtü altı tarımı sofralık üretimin %40'ını karşılar hâle gelmiştir. Mevcut üretimimiz iç tüketim gereksiniminin %15 kadar üzerindedir. Aradaki fark taze veya işlenmiş olarak ihraç edilmektedir. İyi bir strateji ile hem sofralık hem de işlenmiş domates ihracatını geliştirmek mümkün görünmektedir. Bunun için ürün kalitesinin yükseltilmesi ve ayrıca gıda güvenliği konsepti içinde izlenebilir üretim modellerinin yaygınlaştırılması gerekmektedir (Vural, 2014).

#### 5. DOMATES İTHALATI

Türkiye sahip olduğu üretim alanı ve ekolojik şartları bakımından çok şanslı bir ülkedir. Ülkemizde birçok meyve ve sebze çeşidinin üretildiğini daha önce belirttik. Fakat ülkemizde üretilmeyen, yetiştirme koşulları ülkemizin iklimine uymayan çeşitleri ithal etmek durumundayız. Ödemeler dengesinin önemli bir grubu olan ticaret bilançosu tarım sektöründe daima pozitif durumdadır. Çünkü tarım sektörü ihracatının, ithalatından büyük olması sebebiyle dışa bağımlı olmayan bir yapı sergilemektedir. Bunun yanında tarım sektörünün alt dalı olan yaş meyve ve sebze sektörünün ihracat ve ithalat dengeleri karşılaştırıldığında ticaret bilançosunun pozitif olduğu ve toplam ihracatın, ithalatımızdan yaklaşık 12 kat daha fazla olduğu görülmektedir (Akbay, 2005).

#### SONUÇ

Dünya yaş meyve ve sebze ticaretinde dikkat çeken bir başka husus çevresel baskıların kalite güvence prosedürlerini etkilemesidir. Kaliteyi olumlu yönde etkileyen ancak çevreye olumsuz etkide bulunacak sistemler kabul görmemektedir. Son yıllarda Avrupa Birliği'nde ürünlerin çevresel boyutu önemli bir konu haline gelmiştir. Bu nedenle üreticiler, ürünlerin sadece fiyat, kalite, tüketici talepleri ve standartlar gibi geleneksel boyutunu değil, aynı zamanda çevresel boyutunu da göz önüne almak zorundadır. Avrupa Birliği'ne ihracat yapan firmalarımız üye ülkelerdeki tüketicilerin sağlık ve çevre konusundaki duyarlılıklarının farkında olmalı ve pazar talebi ve yasal düzenlemelere uygun ürünler sunarak, tüketicilerin ihtiyaçlarını karşılamaya çalışmalıdır.

Bunun dışında Avrupa Birliği'nde ithal edilen yaş meyve ve sebzeler, gıda kontrolörleri tarafından HACCP sistemi açısından kontrol edilmemekle birlikte, bu belgenin olması güçlü bir doküman olarak kabul edilmektedir. Avrupa Birliği'ndeki büyük perakendeci gruplar, sağlıklı ve kaliteli ürün tüketimini sağlamak için kendi ülkelerinde yetiştirilen ya da yurt dışından ithal edilen tarımsal ürünlerde aranan minimum standartları EUREPGAP Protokolü adı altında toplamışlardır. İhracatçı firmalarımız tarafından yakından izlenmesi gereken ve bugün büyük zincir mağazalarca kabul edilmekte ve istenmekte olan bu protokol yakın gelecekte Avrupa Birliği ülkelerine ihracat

yaparken gerekli bir ön koşul haline getirilecektir. Ayrıca EUREPGAP, HACCP (Kritik Kontrol Noktaları ve Tehlike Analizi) sisteminin uygulanmasını da teşvik etmekte ve prensiplerini desteklemektedir.

Dünya meyve sebze ticaretinin bir diğer boyutu ise organik ürünlere olan talebin artmasıdır. Ülkemizin tarım alanlarının gelişmiş ülkeler düzeyinde zarar görmemiş olması ve mevcut yaş meyve ve sebze üretim potansiyeli düşünüldüğünde bu potansiyelin değerlendirilmesi önem arz etmektedir.

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## Bir Yatırım ve Finansman Aracı Olarak Lisanslı Depoculuk Sistemi

Kadir Kaan Göncü<sup>1</sup>

<sup>1</sup>Öğretim Görevlisi, Trakya Üniversitesi / Edirne Sosyal Bilimler MYO, kkaangoncu@trakya.edu.tr,

ORCID: 0000-0002-4810-6336

**Özet:** Bir tarım ülkesi olan Türkiye’de elde edilen mahsulün doğru şekilde sınıflandırılması ve tüketim aşamasına gelinceye kadar uygun koşullarda depolanması en az üretim kadar önemli bir konuyu oluşturur. Başta ABD ve Avrupa Birliği ülkelerinin içinde olduğu gelişmiş ekonomilerde tarım ürünleri arzında ortaya çıkabilecek olası aksaklıkları tolere etmek ve ortadan kaldırmak için yaygın şekilde kullanılan bir araç olan lisanslı depoculuk sistemi ülkemizde uygun kanuni ve sistemsel altyapı tesis edildikten sonra devreye girmiştir.

Lisanslı depoculuk sistemi sayesinde hasatı gerçekleştirilen ürünler tür ve cinsine uygun şekilde mevzuat ve yönetmeliklerle standartları belirlenen ve optimum verimlilik düzeyinde çıktı sağlayacak biçimde tasarlanmış saklama koşullarında depolanmaktadır. Çalışmada lisanslı depoculuk sistemi hakkında genel bir bilgi verilerek yasal çerçevenin ana hatlarından bahsedilmiş ve uygulamada taraf olan; Üretici, Yatırımcı ve Kamu tarafının yaşadığı avantajlar başlıklar halinde sunulmuştur.

**Anahtar Kelimeler:** Depolama, Lisanslı Depoculuk Sistemi, Tarımsal Mamuller.

### Licensed Warehousing System as an Investment and Financing Method

**Abstract:** In Turkey, which is an agricultural country, the correct classification of the obtained crop and its storage under suitable conditions until it reaches the consumption stage are at least as important as production. The licensed warehousing system, which is a widely used tool in order to tolerate and eliminate possible disruptions in the supply of agricultural products in developed economies, especially in the USA and European Union countries, came into effect after the appropriate legal and systemic infrastructure was established in our country.

Thanks to the licensed warehousing system, the harvested products are stored in accordance with their type, in storage conditions whose standards are determined by legislation and regulations and designed to provide output at optimum efficiency level. In the study, by giving general information about the licensed warehousing system, the main lines of the legal framework were mentioned and the parties involved in the application; The advantages experienced by the Producer, Investor and the Public are presented under the headings.

**Key Words:** Warehousing, Licensed Warehousing System, Warehouse Receipt System, Agricultural Products

### 1. GİRİŞ

Lisanslı depoculuk; depolamaya uygun nitelikte olan ve standardize edilebilen tarım ürünlerinin, sınıf, kalite ve standartlarının yetkili sınıflandırıcılar tarafından laboratuvar ortamında belirlenmesi, modern altyapıya sahip güvenilir ve sağlıklı ortamlarda depolanması, tarım ürünleri ticaretinin ürünün sahipliğini gösteren, finansmanını, satışını ve teslimini sağlayan ürün senetleri aracılığıyla ulusal ve uluslararası düzeyde faaliyet gösterebilecek nitelikte gerçekleşmesini sağlayan bir sistemdir (Gazete, 29.09.2017).

Lisanslı depolar, “iç ve dış ticarete konu olan uzun süreli depolanmaya uygun nitelikteki tarım mamullerinin depolanmasına yönelik hizmet veren kuruluşlar” olarak tanımlanmaktadır. Lisanslı depoculuk, tarım mamullerine dayalı yapılan ticareti kolaylaştıran, pazar alanını genişleten, mamul piyasalarının gelişmesine ve bu piyasalarda fiyat istikrarına yardımcı olmayı sağlayarak, sanayinin üretim için ihtiyaç duyduğu hammaddeyi tedarik etmesini kolaylaştıran önemli bir kurumsal alt yapıyı meydana getirmektedir (Hekimoğlu & Altındağ, 2006).

Tarım ürünleri organik karakterli olmaları dolayısıyla dayanıksız bir yapıya sahiptir. Depolamaya elverişli ürünler için depolama imkânlarının olmaması durumunda, üreticiler ürünlerini kısa sürede elden çıkartmak zorunda kalmakta ve bu durum da üretici gelirinin düşmesine neden olmaktadır. Bu durum tüccar ya da tarım ürünlerini işleyen sanayiciler için bir fırsat gibi görünse de gerçekte hiçbir kesim için avantajlı olmamaktadır. Ürünü depolamaksızın elden çıkartmak durumunda kalan üreticiler düşük fiyatların da etkisiyle genellikle kaliteye fazla önem vermemekte ve üretimde kalitesizlik tüccarlara ve sanayicilere bir kalitesizlik maliyeti olarak yansımaktadır. Ayrıca büyük miktarlarda ürün alımı yapan tüccar ve/veya sanayiciler için de bir stok maliyeti ortaya çıkmaktadır (Dokuzlu, 2014).

Üreticileri hasat dönemi fiyat düşüşlerinden korumayı amaçlayan müdahale alım politikası, piyasanın müdahale olmaksızın veya minimum düzeyde müdahaleyle işleyişine yönelik yapısal bir çözüm sunmamaktadır. Bu nedenle,



devletin piyasaya müdahalesini minimum düzeye indirecek ve üreticinin piyasa koşullarında kendi kendine ayakta durabileceği lisanslı depoculuk sistemi gibi alternatif politika araçlarının hayata geçirilmesi önem arz etmektedir. ABD'de ortaya çıkan lisanslı depoculuk sistemi, tarım ürünlerinin sağlıklı bir şekilde depolanabilmesini ve pazarlanabilmesini sağlayan bir sistemdir. Bu noktada tarım politikalarına entegre bir şekilde uygulanan lisanslı depoculuk sistemi destekleme fiyat politikasının aksine tarımsal ürün fiyatlarına minimum düzeyde müdahale edilmesini dolayısıyla piyasa mekanizmasının daha etkin bir şekilde işlemlerini sağlayacaktır (Kaya, 2018).

## 2. LİSANSLI DEPOCULUK

Lisanslı depo sistemi, standardize edilebilmesi mümkün olan tarım ürünlerinin yetkili organlar tarafından sınıfının ve kalitesinin belirlenmesini müteakip sağlıklı koşullarda depolanması, ulusal ve uluslararası alanlarda faaliyet gösterebilecek nitelikteki ürün ihtisas borsalarında bu ürünlerin ticaretinin ürünün mülkiyetini temsil eden kıymetli evrak vasfını haiz ürün senetleri vasıtasıyla yapılması suretiyle işleyen bir sistemdir. Standardize edilebilmesi mümkün olan tarım ürünlerinin başlıca örnekleri arasında; her türlü hububat, baklagiller, yağlı tohumlar, pamuk, kuru kayısı, fındık, zeytin ve zeytinyağının yer aldığı söylenebilir.

Lisanslı depoculuk uygulaması ile üreticilerin, sağlıklı ortamlarda ürününü depolama imkânının sağlanması, ürününü hasat döneminde düşük fiyattan pazarlamak zorunda kalmadan hasat döneminin dışında daha yüksek fiyattan pazarlayabilmesi ve lisanslı depolara emanet edilen ürünü temsil eden ürün senetleri ile finansman ihtiyacının karşılanması hedeflenmiştir.

Lisanslı depoculuk sistemi; lisanslı depo şirketleri, ürün kalitesine gören sınıflandırma yapan laboratuvarlar, Ürün İhtisas Borsası (ÜİB), Elektronik Kayıt Kuruluşu (EKK), Takasbank, Lisanslı Depoculuk Tazmin Fonu, bankalar, sigorta şirketleri ve Gümrük ve Ticaret Bakanlığı gibi kurum ve kuruluşların ortak faaliyetleri ile çalışan ve tarım sektörüne önemli katkıları bulunan bir sistemdir (Hekimoğlu & Altındeğer, 2006).

Lisanslı depolar; tarım ürünlerinin belli bir kira bedeli karşılığında sağlıklı koşullarda depolanmasını sağlayan, anonim şirket statüsünde kurulmuş ve çalışma usulleri devlet tarafından belirlenmiş olan büyük kapasiteli depolardır. Ülkemizde lisanslı depoculuk ile ilgili usul ve esaslar 17 Şubat 2005 tarih ve 25730 sayılı Resmî Gazete'de yayınlanarak yürürlüğe giren 10 Şubat 2005 tarih ve 5300 sayılı Kanun ile belirlenmiştir. Lisanslı Depolar 5300 sayılı Kanun'da "tarım ürünlerinin sağlıklı koşullarda muhafaza ve ticari amaçla depolanması hizmetlerini sağlayan tesisler" olarak tanımlanmaktadır (Dokuzlu, 2014).

Lisanslı depolar, depolanmaya uygun nitelikteki hububat, fındık, pamuk vb. standardize edilebilen ham ve işlenmiş mamulleri standartlara ve mamul özelliklerine göre koruma altına alarak depolanmaktadır. Lisanslı depolama sistemi, tarımsal mamullerde belli bir standardı yakalamayı sağlayarak, mamul alıcı ve satıcılarının daha geniş bir alan içerisinde mamullerinin kalite ve gerçek değerleri ölçütüne göre fiyatlandırma yapabilmelerine imkân vermektedir. Bir yandan lisanslı depoculuk sistemi, Türk tarım piyasalarındaki mevcut mamullerin finans piyasalarına ve tarım mamulleri borsasına açılımını sağlayarak, lisans makbuzunun bankalara teminat verilerek çiftçilerin rahatlıkla kredi almasını sağlamaktadır. Diğer yandan ise lisanslı depoculuk sistemi ile tarımsal mamulleri kullanan kuruluşlara standardize edilerek kalite sorunu ortadan kalkmış uygun nitelikte hammadde ya da mamul garantisi verilmiş olmaktadır (Albayrak, ve diğerleri, 2010).

### 2.1. Türkiye'de Lisanslı Depoculuk İşleyişi

Türkiye'de lisanslı depoculuk sisteminin gelişmesinde; Avrupa Birliği'ne entegrasyon süreci kapsamında yapılan çalışmaların kayda değer etkisi olmuştur. Yoğun şekilde çalışmaların yapılmasına ihtiyaç duyulan tarım sektöründe; tarımsal üretimin tüm aşamalarında, ürün kalitesinin artırılması, uygun koşullarda depolama, fiyatlandırma, kayıt sisteminin geliştirilmesi, pazarlama ve finansmanda ihtiyaç duyulan sistem ve mekanizmaların oluşturulmasına yönelik çabalar, bu alanda önemli yenilikleri beraberinde getirmiştir. Bu süreçte tarımsal ürün piyasasındaki eksikliklerin giderilebilmesi için ürün borsalarının ve lisanslı depoculuk sisteminin geliştirilmesi amacıyla uygulanan projelerde kayda değer ilerlemeler sağlamıştır. Pazarlama kanallarındaki tıkanıklığa çözüm bulmak ve etkin bir tarım ürünleri piyasasının kurulmasını sağlamak amacıyla 1998 yılında Sanayi ve Teknoloji Bakanlığı nezdinde hayata geçirilen ve Dünya Bankasının destek verdiği Ürün Borsalarını Geliştirme Projesi, 2003 yılında başarıyla tamamlanmıştır. Bu proje kapsamında sunulan eğitimler neticesinde oluşan vizyon ile pilot olarak seçilen pamuk ve buğday ürünlerinde geliştirme çalışmaları yapılarak bazı ticaret borsalarında sistemin eksiklikleri tamamlanmaya çalışılmış ve sistemin etkinliğini arttırmak için uygun hukuki

altyapıyı oluşturacak düzenlemelerin de yapılmasına yönelinmiştir. Bu manzara, Tarım Ürünleri Lisanslı Depoculuk Kanun Tasarısının hazırlanmasına mucip olmuştur (Karaduman, 2019).

Tarım ürünleri lisanslı depo işletmeleri, ekonomik ihtiyaç ve etkinlik şartları göz önünde bulundurularak Bakanlık tarafından verilecek izinle anonim şirket şeklinde kurulur. Şirketin kuruluşunda, bir milyon liradan az olmamak üzere depolama kapasitesine göre ilgili tebliğde belirlenen tutarda ödenmiş sermayeye sahip olunması ve yönetmelikte gösterilen belgelerin ibraz edilmesi koşulları aranır.

Kuruluş izni alan şirkete ancak Kanunun öngördüğü şartları taşıdığı tespit edilirse faaliyet izni (lisans) verilir. Şirket faaliyet izni almadan depoculuk faaliyetinde bulunamaz, ürün kabul edemez, ürün senedi düzenleyemez. Lisans alınmadan lisanslı depo veya lisanslı depo işletmesi izlenimini verecek hiçbir isim, unvan, işaret ve benzerleri kullanılamaz.

Lisanslı depo işletmek üzere lisans almak için müracaat edenler, depo kapasitesinin ürün rayiç bedelinin %15'inden az olmamak üzere belirlenen tutarda lisanslı depo teminatı vermek zorundadır. Lisanslı depo işletmeleri; lisans koşulu olarak işletme tesisleri ve lisanslı depoculuk faaliyeti kapsamında depoladığı ürünler için sigorta yaptırmak zorundadır.

Lisanslı depoya tevdi edilen tarım ürünleri, geçerli lisansa sahip yetkili sınıflandırıcılar tarafından analiz edilir ve sınıflandırılır.

Bir ürünün lisanslı depo işletmesine teslim ve kabul edilmesi halinde, söz konusu ürün için ürün senedi düzenlenir. Teslimat sırasında ürün senedi dışında düzenlenen tartım makbuzu ve delil niteliğini haiz benzer belgeler de ürünün mülkiyetinin ispatında kullanılabilir.

Ürün senedi veya delil niteliğine haiz diğer belgeler; ürünün aynı miktar, cins, sınıf ve kalitede mudfiye geri verilmesini garanti eder ve bu teslim satış değil vedia (emanet) anlamındadır. Basılı ürün senetleri hükmünde olmak üzere elektronik ortamda da ürün senetleri oluşturulabilir.

Lisanslı depo işletmesi, mudinin talebi üzerine, hukuken geçerli bir mazereti olmadıkça gecikmeksizin ürünü teslim eder. Ürünün tesliminde bu ürüne ait ürün senedini geri alır ve iptal eder.

Ürün depodan geri alınmıyorsa azamî depolama süresi dolmadan en az kırkbeş gün öncesinden lisanslı depo işletmesi mudfiye mudinin eline geçecek şekilde yazılı olarak haber verir. Bu süre sonunda da geri alınmayan ürünün bir kısmı veya tamamı, ürünün niteliğine ve piyasa koşullarına uygun olarak lisanslı depo işletmesince satılabilir. Bu durumda lisanslı depo işletmesi ücretler ve masrafları düşerek geri kalan tutarı yedi iş günü içerisinde ilgiliye öder.

#### **Vergi Teşvikleri**

Lisanslı depoculuk sisteminin teşvik edilmesine ve bu alandaki yatırımların artarak gelişmesine katkı sağlamayı amaçlayan vergi düzenlemeleri, 3/7/2009 tarihli 27277 sayılı Resmî Gazete'de yayımlanan **5904 sayılı Gelir Vergisi Kanunu ve Bazı Kanunlarda Değişiklik Yapılması Hakkındaki Kanun**la yürürlüğe girmiştir. Kanunla beraber;

-Lisanslı depoya tevdi edilen ürün için üreticiye verilen ürün senetlerinin el değiştirmesinden doğan kazançlar 31/12/2023 tarihine kadar gelir vergisi ve kurumlar vergisinden istisna tutulmuştur.

-Ürünlerin lisanslı depolara ilk tesliminde ve borsadaki alım satımında katma değer vergisi (KDV) istisnası getirilmiştir.

-Lisanslı depo işletmesi ile mudi arasında yapılan sözleşmeler ve ürün senetleri damga vergisinden istisna tutulmuştur.

#### **Devlet Yardımları**

14/7/2009 tarihli ve 2009/15199 sayılı Bakanlar Kurulu Kararnamesi ile yürürlüğe konulan **Yatırımlarda Devlet Yardımları Hakkında Karar** ve bu Kararın uygulanmasına ilişkin Hazine Müsteşarlığınca çıkarılan 2009/1 sayılı "Yatırımlarda Devlet Yardımları Hakkında Kararın Uygulanmasına İlişkin Tebliğ" ile lisanslı depoculuk hizmetleri bölgesel desteklerden yararlandırılacak yatırım konuları arasına dahil edilmiştir. Aynı durum, 15/06/2012 Tarihli ve 2012/3305 sayılı Bakanlar Kurulu Kararnamesi ile yürürlüğe konulan Yatırımlarda Devlet Yardımları Hakkında Karar ve bu kararın uygulanmasına ilişkin Ekonomi Bakanlığınca çıkarılan 2012/1 sayılı Yatırımlarda Devlet Yardımları Hakkında Kararın Uygulanmasına İlişkin Tebliğ ile devam ettirilmiştir. Tablo 1'de; 23 Şubat 2022 tarihine ait Türkiye Cumhuriyeti Ticaret Bakanlığı tarafından ilan edilmiş istatistiki veriler bulunmaktadır.

Tablo 1: İstatistiklerle Lisanslı Depoculuk

Temel İstatistik Veriler	
Kuruluş İzni Verilen Lisanslı Depo İşletmesi	258
Lisans Verilen Lisanslı Depo İşletmesi	159
Yetkilendirilen Ticaret Borsası (TÜRİB Öncesi)	10
Yetkili Sınıflandırıcı	25
Referans Yetkili Sınıflandırıcı	4
Mevcut Toplam Lisanslı Depo Kapasitesi	8.343.342 TON
258 Şirketin Öngörülen Toplam Kapasitesi	15.029.385 TON

### 3. LİSANSLI DEPOCULUK SİSTEMİNE AİT KAZANIMLAR

Lisanslı depoculuk sisteminin tesis edilmesi ve yaygınlaşması ile birlikte sistem içerisindeki tüm taraflar önemli derecede büyük kazanımlar elde etmişlerdir. Gerek üretici, gerek yatırımcı ve tüccar tarafı gerekse de devlet tarafının elde ettiği kazanımlar kısaca aşağıdaki gibidir.

#### 3.1. Üretici Yönlü Kazanımlar

Lisanslı depoculuk sisteminin hayata geçmesiyle birlikte üretici:

- Güvenli, sigortalı ve sağlıklı koşullarda mamullerini saklama olanağı bulmaktadırlar. Böylece üretici mamulünü hırsızlık, yangın, sel vb. doğal afetlere karşı korunmasını devredebceğinden dolayı hiçbir endişe duymamaktadır.
- Fiyatların düşük olduğu hasat döneminde mamullerini satmak yerine lisanslı depolara koyarak ve mamul senetlerini teminat göstererek uygun koşullarda kredi temin etme imkânını elde etmektedir.
- Ürettiği mamullerin objektif laboratuvar koşullarında standardını belirleme, kalite unsurlarına göre fiyat talep etme ve pazarlama olanağına kavuşmakla birlikte kaliteli üretime de teşvik edilmektedir.
- Depo kurma masraflarından kurtularak en yakın lisanslı depoyu kullanabilmektedir.
- Mamulünü çevresindeki dar alanda satma yerine elektronik ortamda ürün senedinin işlem gördüğü borsada çok sayıda alıcının rekabetinden yararlanma ve daha yüksek gelir elde etme olanağı olmaktadır.
- Depo, banka ve borsa arasında sağlanacak iyi bir iletişim ağı ile mevcut talep, stok miktarı ve teslim edilen mamulün belirtilen tarih ve sözleşmeleri ile eşleştirilebilmeleri sağlanmaktadır. Küçük üreticiler belli bir standartta üretim yapmaya teşvik edilmekte ve bu sayede modern ve etkili pazarlara açılabilme durumu söz konusu olmaktadır.
- Vergi düzenlemeleri ile sağlanacak avantajdan dolayı stopaj (Zirai Vergi Tevkifatı) ödememektedir (Memiş & Keskin, 2015).

#### 3.2. Yatırımcı Yönlü Kazanımlar

- Ürün Senedi aracılığıyla, yatırımcılar için hisse senedi, döviz, altın, faiz gibi yatırım araçlarına alternatif bir yatırım aracı ortaya çıkmaktadır.
- Standartı belirlenmiş mamul ve lisanslı depo sistemiyle tarım mamullerinde vadeli piyasalara geçiş etkinleştirilmektedir.

- Kendi işletmeleri ve bireysel ihtiyaçları için depo inşa etme maliyetinden kurtulma ve temel faaliyet alanına yoğunlaşmasını sağlamaktadır.
- Talep ettikleri miktar, aynı cins ve kalitedeki mamulü güvenilir bir şekilde, elektronik ortamda yer sınırlaması olmaksızın kısa zamanda temin edebilme imkânına kavuşmaktadır.
- Elleri tutacakları ürün senetleri sayesinde ileride muhtemel fiyat dalgalanmalarından korunma, risklerini azaltma ve işletmelerinin kâr/zarar durumunu tahmin edebilmesine yardımcı olmaktadır.
- Elleri ürün senetleri aracılığıyla işletmelerin mamul ihtiyacını garanti altına almanın yanı sıra bu senetleri teminat olarak göstererek bankalardan kredi sağlama olanağı söz konusu olmaktadır.
- Elleri ürün senedi bulunan sanayici ve/veya tüccar, fabrika ve işletmelerine en yakın lisanslı depodan mamulünü teslim alabilmekte, gereksiz mamul taşımacılığı en aza indirgenerek nakliye masrafları da azalmaktadır.

### 3.3. Kamu İdaresi Yönlü Kazanımlar

- Devam etmekte olan Tarım Reformu Uygulama Projesi ile Ürün İhtisas Borsaları Geliştirme Projesi ve Lisanslı depoculuk sistemi aracılığıyla, mamul pazarlamada özel sektör daha faal hale dönüştürülmektedir.
- Toprak Mahsulleri Ofisi ve FİSKOBİRLİK gibi kuruluşların devlet adına alım yapmaktan uzaklaşması sonucunda piyasada doğan mamul pazarlaması probleminin aşılmasına yardımcı olmaktadır.
- Bazı mamullerde devlet üzerindeki alım ve stoklama maliyetlerinde azalma söz konusu olmaktadır.
- Üretim miktar ve kalitesi ile ilgili istatistiki bilgileri içeren sağlıklı bir veri tabanı oluşturularak buna uygun tarım politikaları geliştirilebilmektedir.
- Sistem sayesinde, üretilen ve pazarlanan mamuller kayıt altına alınmakla birlikte vergi kaybı önlenmektedir.
- Tarımsal mamullerde kalite unsurları ve standardı objektif olarak değerlendirilmesiyle dış ticarete yaşanan sorunların önüne geçilmesi sağlanmaktadır.
- Yeni doğacak lisanslı depoculuk ve laboratuvar sistemi ile banka ve sigorta sektöründe yeni iş alanları ve istihdama katkı sağlamaktadır.
- Herhangi bir felaket halinde ülke genelinde devlete ait depolanmış tüm rezervlerin korunması sağlanmış olmaktadır.

## SONUÇ

Tarım sektörü, insanoğlunun temel ihtiyaçlarını karşılaması sebebiyle tüm toplulukların ve devletlerin geçmişten günümüze kadar ilgisini ayrı bir düzeyde çekmiştir. Gelişmiş toplumlarda destekleme ve sürdürülebilirlik taraflı katkı ve muafiyetler tarım alanında her dönem yoğun bir yer bulmuştur.

Sektörün önemli sorunlarının başında tarımsal ürünlerin nihai tüketiciye ulaşıncaya kadar geçen süre zarfında araçların fazla olması ve küçük üreticilerin hasat zamanında ürünlerini gerek uygun saklama koşullarını sağlayamamaları gerekse de finansal ihtiyaçlarını giderecek bir ekonomik enstrümana sahip olmadıkları için depolayamamaları şeklinde sıralamak mümkündür.

Çalışmada; endüstriyel tarıma entegre edilerek ürünleri sınıflandıran, uygun saklama koşullarında depolama hizmeti verilmesini mümkün hale getirerek tüm süreçlerin daha şeffaf ve takip edilebilir düzeyde sunan ve rekabetçi bir ortamın tesis edilerek ulusal bir platforma taşıyan lisanslı depoculuk sisteminin üretici, yatırımcı ve devlet için ne kadar önemli olduğu gözler önüne serilmiştir.

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## Etkileşimsel ve Dönüşümsel Liderlik: Çalışanların Görüşleri Çerçevesinde Nitel Bir Araştırma

Dr.Öğr. Üyesi Mehmet Akif ÇİNI<sup>1</sup>

<sup>1</sup>Selçuk Üniversitesi / Cihanbeyli MYO, Muhasebe ve Vergi Uygulamaları, mehmetakifcini@selcuk.edu.tr,  
ORCID: 0000-0001-7619-978X

**Özet:** Günümüz piyasalarında her mecrada ve süreçte yaşanan büyük gelişim ve değişimler karşısında ayakta kalmak, başarılı olmak ve rekabet edebilmek isteyen işletmelerin, bu değişim ve gelişime uyum sağlaması kaçınılmazdır. Elbette ki, bu değişimin yönetim anlayışında da yaşanması ve yöneticilerden liderlere doğru bir evrimin olması, bir başka deyişle işletmelere liderlerin öncülük etmesi olası bir durumdur. Hatta işletmelerin başarısı neredeyse liderlerinin taşıdıkları vasıfların ölçüleriyle değerlendirilmektedir. Bu nedenle liderler sürekli kendilerini geliştirmek ve güncellemek zorundadırlar. Son yıllarda etkileşimsel ve dönüşümsel liderlik modelleridir literatürde en çok araştırılan modeller olmuştur. Bu bağlamda, çalışmanın amacı çalışanların liderlerine yönelik görüşleri aracılığıyla etkileşimsel ve dönüşümsel liderlik tiplerinin özelliklerinin belirlenmesidir. Ayrıca çalışanların hangi tip lider modelini arzu ettikleri de her iki lider tipi mukayese edilerek değerlendirilmiştir. Çalışma Konya ilinde faaliyet gösteren 8 aile işletmesinde görev yapan on dört (sekiz beyaz yakalı çalışan ve altı yönetim kurulu üyesi) katılımcı aracılığıyla gerçekleştirilmiştir. Çalışmada nitel analiz yönteminden faydalanılmıştır. Elde edilen veriler MAXQDA 20 programı aracılığıyla analiz edilmiş ve sonuçlar yorumlanmıştır. Araştırma sonucunda katılımcıların görüşleri dönüşümsel liderliğin dört alt boyutu (karizmatik/idealleştirilmiş nitelik ve davranışlar, ilham veren motivasyon, zihinsel uyarım ve bireysel ilgi) ve etkileşimsel liderliğin dört alt boyutu (koşullu ödüllendirme, istisnalarla aktif yönetim, istisnalarla pasif yönetim, müdahale etmeden yönetim) kapsamında değerlendirilmiştir.

**Anahtar Kelimeler:** Etkileşimsel Liderlik, Dönüşümsel Liderlik, Nitel Araştırma

## Transactional And Transformational Leadership: A Qualitative Research Based on Employees' Opinions

**Abstract:** In today's economics, it is inevitable for businesses that want to survive, be successful and compete in the face of great developments and changes in every medium and process, adapting to this change and development. Of course, it is possible for this change to be experienced in the understanding of management and that there is an evolution from managers to leaders, in other words, that leaders lead businesses. In fact, the success of businesses is almost evaluated by the measures of their leaders' qualifications. For this reason, leaders have to constantly improve and update themselves. In recent years, interactional and transformational leadership models have been the most researched models in the literature. In this context, the aim of the study is to determine the characteristics of interactional and transformational leadership types through employees' views on their leaders. In addition, the type of leader model desired by the employees was evaluated by comparing both types of leaders. The study was carried out with fourteen participants (eight white collar employees and six board members) working in eight family businesses operating in Konya. Qualitative analysis method was used in the study. The obtained data were analyzed by the MAXQDA 20 program and the results were interpreted. As a result of the research, the views of the participants were evaluated within the scope of four sub-dimensions of transformational leadership (charismatic/idealized qualities and behaviors, inspiring encouragement, mental encouragement and individual attention) and four sub-dimensions of transactional leadership (conditional reward, active management with exceptions, passive management with exceptions, management without intervention).

**Key Words:** Transactional Leadership, Transformational Leadership, Qualitative Research

### 1.GİRİŞ

Yaşamın her alanında, zamanın akışına bağlı olarak alışkanlıkları, davranışları, kültürleri, süreçleri ve eylemleri sürekli değiştiren gelişmelerin yaşanması olasıdır. Bu nedenle her yeni zaman dilimi insanlara farklı teori ve pratikleri deneyimleme imkânı sunmaktadır. Hatta bu durum bazen istekten ziyade zorunluluğa dönüşmektedir. Günümüz dünyası da bu gelişmelerden fazlasıyla etkilenmektedir. Elbette ki, örgütlerin çekirdek yapısını oluşturan insanların yaşamına etki eden bu değişimler, ana sistem olan örgütlerin yapılarını da etkilemektedir. Özellikle iş dünyasında bulunan örgütler günümüzde giderek artan rekabet savaşlarında varlığını korumak ve sürdürülebilir kılmak adına bu değişimlere ayak uydurmalı ve örgüt yapısını daha da kurumsal ve profesyonel bir hale getirmelidir. Tabii bu yapıların oluşması için çok fazla değişkenin dikkate alınması gerekmektedir. Bu değişkenlerin en önemlilerinden bir tanesi örgütlerin yönetim yaklaşımlarıdır. Çünkü örgütlerin yönetim yaklaşımlarının örgütün varlığının sürdürülebilmesi açısından kritik bir öneme haiz olduğu yadsınamaz bir gerçekliktir. Anın içinde yaşanan doğruların en iyi seçenek olduğunu iddia eden durumsallık yaklaşımı gereği, en iyi yönetim yaklaşımları ve liderlik modelleri içinde bulunulan zaman dilimi ve şartlara göre değişiklik

gösterebilmektedir. Geçmişte geleneksel yönetim yaklaşımı ve liderlik modelleri ile varlıklarını koruyan örgütlerin günümüz dünyasında daha modern yaklaşımları tercih etmesi durumsallık yaklaşımının bir örneği olarak karşımıza çıkmaktadır. Bu bağlamda gelenekselden moderne evrim hususu, literatürde sıklıkla tartışılmış ve üzerine birçok araştırma yapılmıştır. Bu bağlamda en çok araştırılan konulardan bir tanesi de etkileşimsel liderlik modellerinden dönüşümsel liderlik modellerine geçiştir.

Etkileşimsel liderlik, koşullu ödül ve istisnalarla yönetim kapsamında, liderler ve takipçiler arasında, takipçilerin bir liderin isteklerine uymak için ücret veya prestij almasını kapsayan değişim ilişkisini içerir (Rafferty ve Griffin, 2004). Dönüşümcü liderlik ise, takipçilerin tutumlarını, inançlarını ve değerlerini basitçe uyum sağlamak yerine dönüştürerek beklentilerin ötesinde performans elde etmeleri için motive etmeyi kapsamaktadır (Bass, 1985). Literatürde bu kıyaslama ile ilgili genel kanı, günümüz örgütlerinin geleneksel bir yönetim yaklaşımının izlerini taşıyan etkileşimsel liderlik modellerinden daha modern bir yönetim yaklaşımını temsil eden dönüşümcü liderliğe doğru evrimleşmesidir. Ayrıca bu iki liderlik modelinin birbirini tamamlayıcı niteliğe sahip olduğu ve duruma göre karma bir model oluşturulmasının en iyi seçenek olduğu yönünde de görüşler fazlasıyla mevcuttur. Ancak bir değişimin yaşanması zarureti hususunda tüm araştırmacılar hem fikirdir. Peki, teori de böyle bir değişimin oluşması üzerinde görüş birliği varken, pratikte yani ticari hayatta bu fikirler bir karşılık bulmuş mudur? İşte bu ana soru temelinde gerçekleştirilen bu çalışma vasıtasıyla, şu anda aktif olarak görev yapan mevcut liderlerin özellikleri etkileşimsel ve dönüşümsel liderlik modelleri açısından değerlendirilmiş ve hangi modelin ağırlıklı olarak kullanıldığı söz konusu liderlik modellerinin alt boyutları (etkileşimsel liderlik; koşullu ödüllendirme, istisnalarla aktif yönetim, istisnalarla pasif yönetim, müdahale etmeden yönetim/dönüşümsel liderlik; karizmatik liderlik, zihinsel uyarım, ilham veren motivasyon ve bireysel ilgi) aracılığıyla araştırılmıştır. Ayrıca çalışma da ideal bir lider nasıl olmalıdır sorusu üzerinden arzu edilen liderlik modelinin etkileşimsel mi, dönüşümsel mi, yoksa ikisinin bir karması mı olduğu sorularına cevap aranmıştır. Çalışma da nitel analiz yöntemi kullanılmış ve araştırma sorularının cevapları çalışanların algıları, beklentileri ve görüşleri üzerinden değerlendirilmiştir. Bu bağlamda günümüz koşullarında hangi tip liderlik modellerinin uygulandığı ve arzulandığına dair durumsal bir değerlendirme sunan bu çalışmanın literatüre bu açıdan bir katkı sağlayacağı öngörülmektedir.

## 2.KAVRAMSAL ÇERÇEVE

### 2.1. Etkileşimsel ve Dönüşümsel Liderlik Kavramları

İlk kez 1978 yılında Burns tarafından literatüre kazandırılan dönüşümsel ve etkileşimsel liderlik kavramları (Bass, 1999), Bass tarafından 1985 yılında geliştirilmiştir (Ng ve Rivera, 2018). Burns ve Bass'ın liderlik modellerinin gelişimi açısından sağladığı en büyük katkılardan birisi, etkili bir liderliğin sadece liderlerin özelliklerinden kaynaklanmadığını ifade etmeleri ve takipçilerin özelliklerini de dikkate alarak bu sürece dâhil edilmesinin gerekliliğini belirtmeleridir (Odumeru ve Ifeanyi, 2013).

Bass (1999) etkileşimsel liderlik modelini, astlar ve üstler arasındaki iş ve çıkara dayalı bir ilişkinin olduğu liderlik tarzı şeklinde tanımlamıştır. Bu ilişki çerçevesinde lider ve takipçileri arasında amaçlar ve karşılığında verilecek ödüller açısından bir bağ oluşturulmuştur. Süreç, liderin ulaşılması gereken örgüt amaçlarını, hedefleri, izlenecek yol ve yöntemleri açıklamasıyla başlamaktadır. Takipçileri bu süreçte motive etmek adına, hangi hedefe ulaşıldığında ne elde edileceği yine lider tarafından açıklanmaktadır. Süreç sonunda gerçekleştirilen hedeflere göre ödüller veya başarısızlık sonucunda katlanılması gereken cezalar uygulamaya sokulmaktadır (Bass, 1985). Odumeru ve Ifeanyi (2013) anlatılanlar neticesinde etkileşimsel liderlerin özelliklerini belirtmişlerdir. Etkileşimsel liderler;

- Örgüt içerisinde var olan sorunların çözümü için çaba sarf ederler,
- Örgüt kültürü onlar için çok önemlidir ve kültüre sadık olarak hizmet ederler,
- Ödül ve ceza sistemini hedefe ulaşmak için ana motivasyon kaynağı olarak kullanırlar,
- Çalışanların kişisel çıkarlarının tatmin edilmesi hedefe ulaşmak için kullandıkları bir diğer yoldur,
- Statüko ve hiyerarşik yapıdan vazgeçmezler ve
- İş stresi yaşarlar.

Etkileşimsel liderlikte, lider ile grup arasındaki ilişki dört farklı türde gerçekleşebilir (Arzi ve Farahbod, 2014). Çalışmamızda alt boyut şeklinde de kullanılan bu türler şöyledir:

- Şartlı ödüllendirme: Çalışanları sarf ettiği gayret ve ulaştıkları performansa paralel olarak, liderin bu grup üyelerine daha fazla destek ve kaynak sağlaması yönündeki davranıştır.

- İstisnalarla aktif yönetim: Lider iş ve işi gerçekleştirme standartlarını belirler; iş yapma sürecini izleyerek ve gerektiğinde müdahale ederek düzeltici kararlar alır.
- İstisnalarla pasif yönetim: Lider işi gerçekleştirme sürecinde pasif kalır. Daha çok işi gerçekleştirmek için oluşturulan standartların şartlara uymadığı durumlarda müdahalede bulunur.
- Müdahale etmeyen yönetim (Liberal/Serbest bırakıcı): Lider grup üyelerini, iş amaçlarını, iş standartlarını belirlemek konusunda çalışanları tamamen serbest bırakır ve iş ile ilgisi kalmamış bir şekilde, sorumluluklarını yerine getirmeyen bir davranış gösterir. Nitekim etkileşimsel liderler takipçilerinin arzu ettiği davranışları sergilemesi adına ödülleri, arzu etmediği davranışları engellemek adına da cezaları kullanır (Podsakoff vd., 1990).

Dönüşümsel liderlik, örgüt amaçlarının yanı sıra beraber çalıştığı kişilerin amaç, hedef ve ideallerini de içeren açık ve net bir vizyon oluşturan, bağlılığı artıran, sorunlar karşısında yeni çözümler üretebilen, bu konuda astlarına ilham veren ve her bir astına bireysel olarak değer verilen liderlik modelidir (Piccolo ve Colquitt, 2006). Luthans ve arkadaşları (1998) dönüşümsel liderlik modelinde, liderlerin takipçilerin değer, norm ve inançlarını değiştirebilecek yetenekte kişiler olması gerektiğini vurgulamıştır. Diğer bir deyişle, bu modelde liderler takipçilerinden mevcut performanslarından daha fazlasını sunmalarının hedeflere ulaşma konusunda çok önemli olduğunu anlamalarına yardım eder, bu konuda onları teşvik ederler. Takipçilerde liderlerinin çizdiği yolda ona güven ve saygı duyarak, üstün bir bağlılık örneği sergileyerek performanslarını gösterirler (Bass, 1990). Dönüşümsel liderlerin ortak özellikleri şöyledir (Odumeru ve Ifeanyi, 2013):

- Örgüt içerisinde proaktif bir yaklaşım sergileyerek problemler olmadan ortaya çıkabileceğini öngörür ve önlemini alır,
- Örgüt kültürünü yeni yönetim yaklaşımlarına ve yeni fikirlere uygun olacak şekilde değiştirir,
- Kollektif bir vizyon oluşturarak çalışanların buna inanması için onları motive eder,
- Örgüt amaçlarını kişisel amaçların üzerinde tutar,
- Takipçilerini grup üyesi olarak değil, bir birey olarak görür ve onların farklı istek ve ihtiyaçlarını tatmin eder ve
- Takipçilerine sorunlarını çözmek ve işlerini tamamlayabilmek için farklı çözüm yolları gösterir.

Dönüşümsel liderlik sürecinde lider ile takipçileri arasındaki ilişki dört alt boyuttan oluşmuştur. Çalışmada da kullanılan bu boyutlar şöyledir (Avolio ve Bass, 2020; Bass vd. 2003; Diaz-Saenz, 2011; Barling vd., 1996; Zhu vd., 2011; Chemers ve Ayman, 1992; Shackleton, 1995):

- Karizmatik liderlik (İdealleştirilmiş nitelik ve davranışlar): Bu boyutta takipçiler liderlerine karşı çok büyük bir güven ve saygı duyarlar. Bunun nedeni liderlerin sahip oldukları karizma ve bu karizmanın lidere sağladığı güçtür. İki alt boyutu vardır. Bunlar idealleştirilmiş nitelik ve davranışlardır. İdealleştirilmiş nitelikler, lider ve takipçi arasındaki güveni, hayranlığı ve saygınlığı oluşturan hususları içerirken, idealleştirilmiş davranışlar, ortak amaçlar, ahlak, etik kurallar ve kollektif misyonla ilgilidir.
- İlham veren motivasyon: Liderler takipçilerini örgüt amaçlarına ulaşma konusunda başarılı olacaklarına ikna ederek onları motive ederler. Bunun için örgütün geleceği açısından iyimser olurlar, başarılacak işler için takipçilerine coşku verirler, güven duyulan bir vizyon oluştururlar ve bu vizyonun elde edileceğine dair güven aşırlarlar.
- Zihinsel uyarım: Karşılıklı bir zihinsel uyarım ve iletişim temelli olan bu boyutta liderler takipçilerinin yaratıcılıklarını ortaya çıkarması için onları teşvik eder ve onlardan yenilikçi fikirler beklerler. Ayrıca bu süreçte liderler takipçilerine farklı bakış açısı kazandırırılar.
- Bireysel ilgi: Liderler her bir takipçisine bir grup üyesi olarak değil, bir birey olarak bakar. Ayrıca her bir bireyin kendine has istek ve ihtiyaçları olduğunu bilir ve bunları tatmin etmeye çalışır. Bu bağlamda takipçilerine danışmanlık, koçluk ve mentörlük sağlarlar. Böylelikle takipçilerinin güçlü yönlerini ortaya çıkararak onları geliştirmeyi amaçlar.

## 2.2. Etkileşimsel ve Dönüşümsel Liderlik İle İlgili Literatür Taraması

Den Hartog ve arkadaşları (1997) 8 işletme de görev yapan toplam 700 çalışan ile gerçekleştirdikleri çalışmalarında bu çalışmada da kullanılan Avalio ve Bass'ın (1989) liderlik ölçeğinin iç tutarlılığını test etmişlerdir. Çalışma sonucunda ölçeğin ufak bir iki değişikliklikle sağlandığı belirlenmiştir.

Carless ve arkadaşları (2000) 1440 kişi ile gerçekleştirdikleri çalışmalarında dönüşümsel liderlikle ilgili geliştirdikleri yeni bir ölçeği test etmişler ve liderlik çalışmalarında geçerliliği olan yeni bir ölçek elde etmişlerdir.



Demir ve Okan (2008) Avalio ve Bass'ın (1989) liderlik ölçeğinin ülkemize uygunluğunu ortaya koymak için 190 kişinin katılımı ile bir çalışma gerçekleştirmişlerdir. Çalışma sonucuna göre ülkemiz kültür yapısına uyan dört adet faktör bileşimi bulunmuştur.

Yolaç (2011) 240 kişiyle gerçekleştirdiği çalışmasında liderlik modelleriyle güven arasındaki ilişkide lider-üye etkileşiminin aracılık rolünü incelemiştir. Çalışma da, dönüşümsel liderlik modelinin etkileşimsel liderlik modeline göre daha fazla güven oluşturabileceği sonucuna ulaşılmıştır.

Eren ve Titizoğlu (2014) 352 katılımcı ile gerçekleştirdiği çalışmasında dönüşümsel ve etkileşimsel liderlik modelleriyle, örgütsel özdeşleşme ve iş tatmini arasındaki ilişkiyi incelemiştir. Çalışma sonucunda dönüşümsel liderlik modelinin hem örgütsel özdeşleşme hem de iş tatmini üzerinde olumlu etkisi olduğunu ortaya koyarken, etkileşimsel liderlik modelinin sadece iş tatmini üzerinde etkisi olduğunu belirlemiştir.

Kalsoom (2018) 318 çalışan ile gerçekleştirdiği çalışmasında etkileşimsel ve dönüşümsel liderlik modellerinin çalışan performansına olan etkisini incelemiştir. Çalışma sonucunda liderlik modelleri ile çalışan performansı arasında güçlü ve olumlu bir etki olduğu tespit edilmiştir.

Boamah ve Tremblay (2019) 1000 kişi ile gerçekleştirdiği çalışmasında Avalio ve Bass'ın (1989) liderlik ölçeği incelemiştir. Çalışma da Etkileşimsel liderlik ölçeğinde yeni güncellemeler yapılması gerektiği sonucuna ulaşılmıştır.

Putra ve arkadaşları (2021) 101 kişi ile gerçekleştirdikleri çalışmalarında etkileşimsel ve dönüşümsel liderliğin yükseköğretim kurumlarında görev yapan öğretim elemanlarının yenilikçi anlayışlarına olan etkisini araştırmıştır. Araştırma sonuçlarına göre liderlik modelleri yenilikçilik üzerinde olumlu ve önemli bir etkiye sahiptir.

### 3. ARAŞTIRMANIN METODOLOJİSİ

#### 3.1. Araştırmanın Amacı

Artan rekabet koşulları oyunun kurallarını sürekli değiştirmekte ve işletmelerin sürdürülebilirlik konusunda yaşadığı sıkıntılar giderek artmaktadır. İşletmelerin ayakta kalabilmeleri için değişen şartlara uyum sağlaması seçenekten ziyade artık bir zorunluluktur. Bu nedenle işletmeyi yöneten kişilere büyük sorumluluklar düşmektedir. İşletmeyi tüm organlarıyla bu değişime hazırlamak zorunda kalan yöneticilerin yönetim kademelerini bu değişimden izole etmesi elbette mümkün değildir. Tüm yapı, süreç ve eylemlerde yaşanan değişimler yönetim kademesinde de etkisini göstermiş ve yeni tip liderlik modelleri tartışılmaya başlanmıştır. Literatürde genel kanı etkileşimsel liderlik modellerinin yerini dönüşümsel modellere bırakması veya ağırlıklı olarak dönüşümsel liderliğin olduğu karma bir liderliğin olması yönündedir. Peki, ticari hayatta bu bir karşılık bulmuş mudur? Bu soru üzerinden şekillendirilen bu araştırmanın ana amacı mevcut liderlerin etkileşimsel liderlik özelliklerini mi, yoksa dönüşümsel liderlik özelliklerini mi taşıdığının tespit edilmesi ve ayrıca ideal bir liderin bu iki liderlik özelliklerinden hangilerinin taşınması gerektiğinin belirlenmesidir.

#### 3.2. Araştırmanın Yöntemi

Araştırma da nitel analiz yöntemlerinden içerik analizi kullanılmış, veri toplamak için ise mülakat yöntemi tercih edilmiştir. Veri toplama sürecinde çalışanların zaman kısıtlılığı ve malum pandemi kısıtlılıkları dikkate alınmıştır. Bu bağlamda katılımcılar için bir görüşme takvimi oluşturulmuş ve ortalama 15-20 dakikalık görüşmeler sonucunda veriler elde edilmiştir. Mülakat yönteminde kullanılan sorular için Avalio ve Bass'ın (1989) geliştirdiği Liderlik ölçeğinden (Multifactor Leadership Questionnaire) faydalanılmış ve araştırma analizleri de bu ölçekte yer alan alt boyutlar (etkileşimsel liderlik; koşullu ödüllendirme, istisnalarla aktif yönetim, istisnalarla pasif yönetim, müdahale etmeden yönetim/dönüşümsel liderlik; karizmatik liderlik, zihinsel uyarım, ilham veren motivasyon ve bireysel ilgi) aracılığıyla gerçekleştirilmiştir. Araştırma soruları şu şekildedir:

1. Yaşınız nedir?
2. Mesleğiniz nedir?
3. Kaç yıldır bu işle uğraşıyorsunuz?/
4. Şu anda işletmenize liderlik eden kişiyi nasıl tanımlarsınız? Doğru veya yanlış bulduğunuz yanları ve özelliklerinden bahseder misiniz?
5. Size göre ideal bir lider nasıl olmalıdır? Açıklar mısınız?

Mülakat sürecinde yarı standartlaştırılmış yöneme başvurulmuştur. Bu nedenle katılımcılara liderlikle ilgili bazı hususlar açıklanmış ve ek sorular sorulmuştur.

### 3.3. Araştırmanın Örnekleme ve Sınırlılıkları

Araştırmanın örneklemini Konya ilinde faaliyet gösteren işletmelerde aktif olarak görev yapan beyaz yakalı çalışanlar ve yönetim kurulu üyeleri oluşturmaktadır. Beyaz yakalı çalışanlar ve yönetim kurulu üyelerinin tercih edilmesindeki ana neden, bu katılımcıların liderlerini daha rahat gözlemleyebileceği öngörüsüdür. Görüşmelerde katılımcılardan liderleriyle ilgili yorumları ve bu yorumlar eşliğinde kişisel özelliklerini izah etmesi istenmiştir. 14. Görüşme sonunda cevapların benzerlik oranlarının arttığı fark edilmiş ve örneklemin 14 olmasının yeterli olacağı kanaatine varılmıştır. Bu bağlamda 8 işletmeden 8 beyaz yakalı çalışan ve 6 yönetim kurulu üyesi 14 çalışan araştırmanın örneklemini oluşturmuştur.

Her araştırmada olduğu gibi bu araştırmada da kısıtlılıklar mevcuttur. İlk kısıtlılık tüm katılımcıların tek bir ilden seçilmesidir. Ayrıca katılımcıların demografik bilgileri, sektörleri ve deneyimleri araştırma kapsamı dışında bırakılmıştır. Bu bağlamda elde edilen veriler 14 kişinin görüşlerini kapsamakta olup, objektifliği ve kesin doğruluğu tartışılabilir. Bunların yanı sıra zaman, ekonomik şartlar ve pandemi şartları da araştırmada karşılaşılan diğer kısıtlılıklardır.

### 3.4. Araştırma Verilerinin Analizi, Bulgular Ve Tartışma

Verilerin analizi için MAXQDA 20 programı kullanılmıştır. Elde edilen veriler öncelikle deşifre edilmiş, ardından analiz modeline göre tasnifleri gerçekleştirilmiştir. Tasnif edilen veriler programa yüklenerek kodlanmış, analiz edilmiş ve bulgular yorumlanmıştır.

### 3.5. Nitel Araştırmanın Güvenilirliği

Araştırmanın güvenilirliği için kararlılık, yeniden üretilebilirlik ve doğruluk testleri uygulanmıştır (Krippendorff:1980). Kodlamalar belirli bir süre sonra tekrar yapılarak benzer kodlamalar elde edilmiş ve böylece kararlılık testi başarıyla tamamlanmıştır. Farklı iki araştırmacının bağımsız olarak yaptığı kodlamaların benzerlik oranı %81 çıkmıştır. Bu durumda yeniden üretilebilirlik testi de başarılı olarak gerçekleştirilmiştir. Araştırma da literatürde liderlik modelleri için en çok kullanılan ölçeklerden birisi olan Avalio ve Bass'ın (1989) ölçeğinden faydalanılmıştır. Bu bağlamda araştırmanın bir takım bulguları literatürde destek bulmaktadır. Ancak mevcut ve idealin karşılaştırıldığı ve nitel analiz aracılığıyla yapılan bir çalışma bulunamamış, bu bağlamda doğruluk testi sağlanamamıştır. Ancak literatürde Krippendorff'un da ifade ettiği gibi nitel araştırmaların güvenilirliği için ilk iki testi başarılı olmasının zorunlu olduğu, doğruluk aşamasının ise güvenilirlik için zorunlu olmadığı ifade edilmektedir. Bu bağlamda araştırmanın güvenilirliği sağlanmıştır.

### 3.6. Katılımcılarla İlgili Genel Bilgiler

Tablo 1'de katılımcıların yaşı, mesleği, toplam çalışma süresi ve cinsiyetine ilişkin bilgileri gösterilmektedir.

Tablo 1: Katılımcılarla İlgili Genel Bilgiler

Unsurlar		Bulgular	
Yaş	Sayı	Yüzde	
20-39	5	%35,7	
41-64	6	%42,9	
65+	3	%21,4	
<b>Toplam</b>	<b>15</b>	<b>% 100</b>	
Meslek		Yüzde	
Beyaz Yakalı Çalışan	8	%57,1	
Yönetim Kurulu Üyesi	6	%42,9	
<b>Toplam</b>	<b>15</b>	<b>% 100</b>	
Toplam Çalışma Süresi		Yüzde	
3-5	2	%14,3	

6-10	3	%21,4
10+	9	%64,3
<b>Toplam</b>	<b>15</b>	<b>% 100</b>
<b>Cinsiyet</b>	<b>Sayı</b>	<b>Yüzde</b>
Erkek	13	%92,9
Kadın	1	%7,1
<b>Toplam</b>	<b>15</b>	<b>% 100</b>

Kaynak: Yazar tarafından üretilmiştir.

Tablo 1’de görüldüğü üzere katılımcıların % 42,9’u 41-64 yaş aralığında, %57,1’i beyaz yakalı çalışan, ve % 92,9’u erkektir. Ayrıca katılımcıların % 64,3’ü 10 ve üzeri yıldır çalışmaktadırlar.

### 3.7. Araştırmanın Bulguları Ve Tartışma

Katılımcılardan elde edilen veriler Kod İlişkileri Matrisi ve Hiyerarşik Kod-Alt Kod Modeli aracılığıyla analiz edilmiş ve çalışanların gözünden mevcut liderlerinin özellikleriyle, ideal olarak gördüğü liderlerin özellikleri dönüşümsel ve etkileşimsel liderlik modelleri baz alınarak belirlenmiştir.

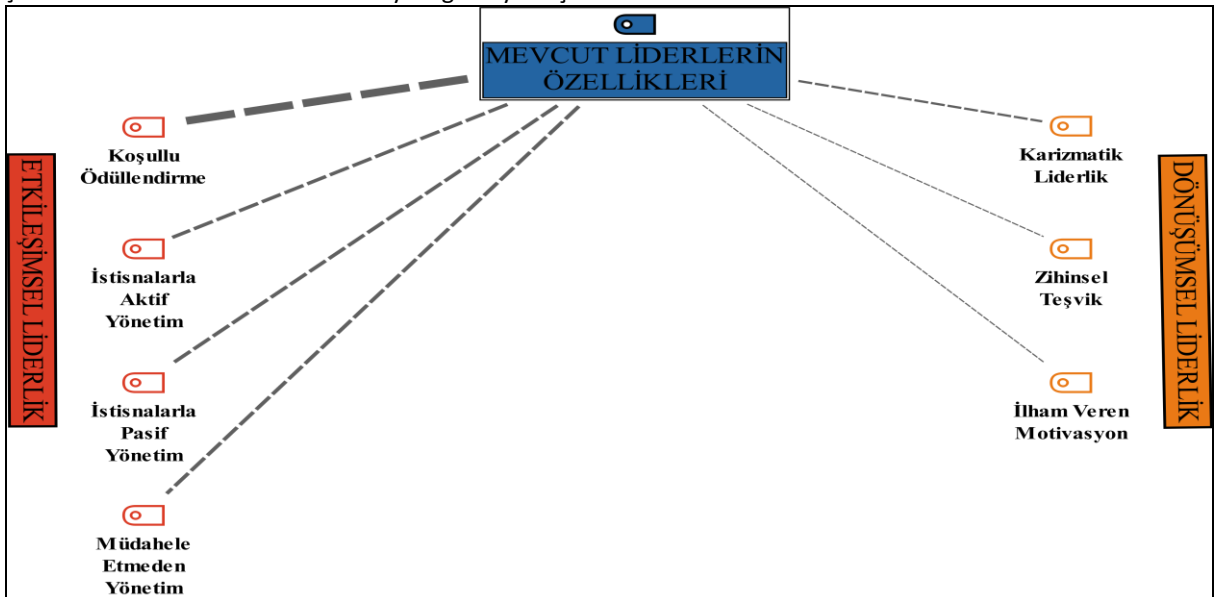
Şekil 1’de çalışmanın Kod İlişkileri Matrisi, Şekil 2 ‘de mevcut liderlerin özelliklerini gösteren Hiyerarşik Kod-Alt Kod Modeli, Şekil 3’te ise ideal liderin özelliklerini gösteren Hiyerarşik Kod-Alt Kod Modeli analiz sonuçları gösterilmiştir.

Şekil 1: Kod İlişkileri Matrisi

Kod Sistemi	MEVCUT LİDERLERİN ÖZELLİKLERİ	İDEAL LİDERLERİN ÖZELLİKLERİ	TOPLAM
ETKİLEŞİMSSEL LİDERLİK			0
Koşullu Ödüllendirme	■	■	38
İstisnalarla Aktif Yönetim	■		14
İstisnalarla Pasif Yönetim	■		13
Müdahale Etmeden Yönetim	■		11
DÖNÜŞÜMSSEL LİDERLİK			0
Karizmatik Liderlik	■	■	27
Zihinsel Uyarım	■	■	16
İlham Veren Motivasyon	■	■	19
Bireysel İlgi	■	■	24
<b>TOPLAM</b>	<b>82</b>	<b>80</b>	<b>162</b>

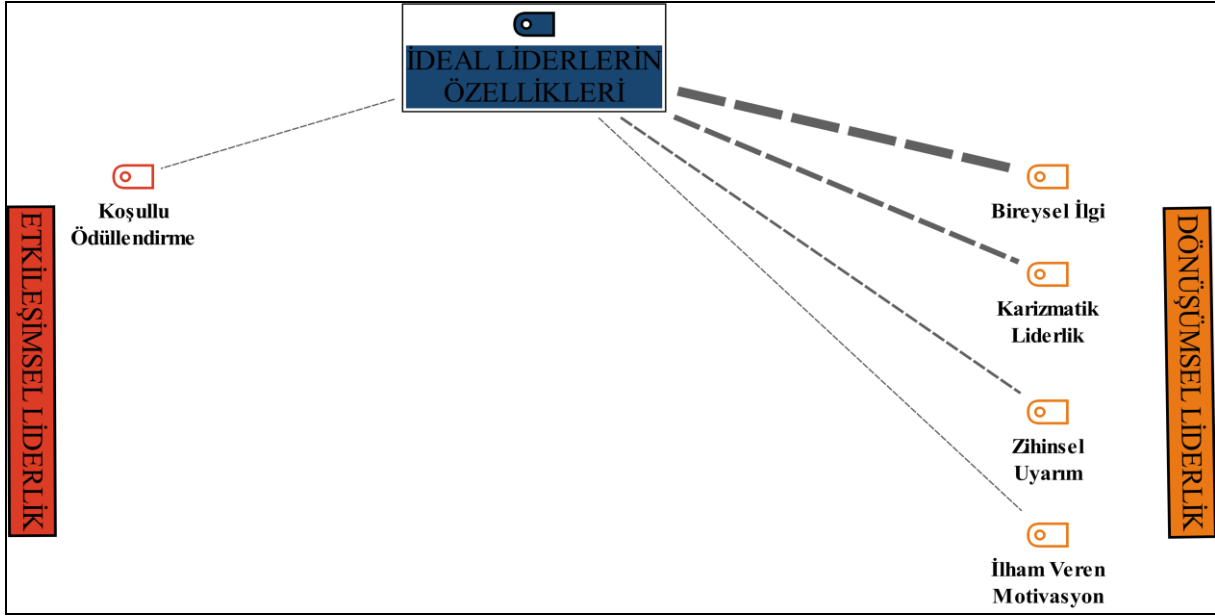
Kaynak: Yazar tarafından üretilmiştir.

Şekil 2: Mevcut Liderlerin Özellikleriyle İlgili Hiyerarşik Kod-Alt Kod Modeli



Kaynak: Yazar tarafından üretilmiştir.

Şekil 3: İdeal Liderlerin Özellikleri İlgili Hiyerarşik Kod-Alt Kod Modeli



Kaynak: Yazar tarafından üretilmiştir.

Şekil 1’de etkileşimsel liderlik, dönüşümsel liderlik, mevcut liderlerin özellikleri ve ideal liderlerin özellikleri bir matris aracılığıyla incelenmiş ve aralarındaki ilişkiler belirlenmiştir. Bu bağlamda katılımcılardan elde edilen verilere göre, mevcut liderlerin özellikleri açısından koşullu ödüllendirmenin, ideal liderlerin özellikleri açısından ise bireysel ilginin ilk sırada olduğu görülmektedir.

Şekil 2 ve 3 dönüşümsel ve etkileşimsel liderlik alt boyutları aracılığıyla, mevcut ve ideal liderlerin özelliklerinin hiyerarşik olarak belirlenmesi için oluşturulmuştur. Şekiller de farklı frekansları göstermek adına çizgi genişliğinden de faydalanılmıştır. Bu bağlamda mevcut liderlerin özelliklerini etkileşimsel liderlik modeli açısından etkileyen alt boyutlar sırasıyla (kodlanma derecelerine göre); koşullu liderlik, istisnalarla aktif yönetim, istisnalarla pasif yönetim ve müdahale etmeden yönetimdir. Mevcut liderlerin özelliklerini dönüşümsel liderlik modeli açısından etkileyen alt boyutlar sırasıyla (kodlanma derecelerine göre); karizmatik liderlik, zihinsel uyarım ve ilham veren motivasyondur. İdeal liderlerin özelliklerini dönüşümsel liderlik modeli açısından etkileyen alt boyutlar sırasıyla (kodlanma derecelerine göre) bireysel ilgi, karizmatik liderlik, zihinsel uyarım ve ilham veren motivasyondur. İdeal liderlerin özelliklerini etkileşimsel liderlik modeli açısından etkileyen alt boyut ise sadece koşullu ödüllendirme olmuştur. Analiz sonuçlarına bakıldığında her ne kadar dönüşümsel liderlik modeli özelliklerinin etkileri görülse de, etkileşimsel liderlik modeli özelliklerinin mevcut liderler açısından hala ağırlığını sürdürdüğü görülmektedir. İdeal olarak tanımlanan lider özelliklerine bakıldığında ise çalışanların dönüşümsel liderlik modelini arzu ettiği belirlenmiştir. Çalışanlar açısından mevcut liderlerin ideal bir lider olması açısından en büyük eksikliği bireysel ilgi alt boyutuyla ilgidir. Diğer bir deyişle çalışanlar bir liderden öncelikle kendisine bireysel olarak değer vermesini, danışmanlık, koçluk veya mentörlük yapmasını istemektedirler. Mevcut liderlerinin ise bu özelliğe sahip olmadığı kanısındadırlar. Ayrıca katılımcılar, ideal bir liderin dönüşümsel liderlik özelliklerini benimsemesi gerektiği düşüncesinde olsalar da, etkileşimsel liderliğin alt boyutlarından olan koşullu ödüllendirme özelliğinden de vazgeçmemesi gerektiğini düşünmektedirler. Bir başka deyişle katılımcıların mevcut liderlerinde bulunan koşullu ödüllendirme özelliğinden memnun oldukları, ancak istisnalarla aktif yönetim, istisnalarla pasif yönetim ve müdahale etmeden yönetim özelliklerinden memnun olmadıkları ifade edilebilir. Netice de çalışanların, liderlerinden daha geleneksel bir liderlik modeli olan etkileşimsel modelden, daha yenilikçi bir anlayışa sahip olan dönüşümsel liderlik modeline geçmelerini arzu ettiği görülmektedir. Bu sonuçların daha iyi irdelenebilmesi amacıyla katılımcı cevapları paylaşılmıştır. Çok kapsamlı olması nedeniyle tamamına yer verilemese de, sonuçları en iyi şekilde izah edecek katılımcı cevapları şöyledir:

### 3.7.1. Etkileşimsel Liderlik

#### Koşullu Ödüllendirme:

Bu unsurun varlığından rahatsız olduğunu dile getirenler olsa da, katılımcıların büyük bir çoğunluğunun performans ile ilgili hedeflerin, beklentilerin, sorumlu olanların ve ödüllerin net olmasından ve işverenlerinin bu

hususta çalışanlarının emeklerini göz ardı etmemelerinden memnun oldukları görülmüştür. Bu nedenle de çoğu katılımcı ideal bir lider profili oluştururken koşullu ödüllendirme özelliğinin bulunması konusunda hem fikir olmuştur.

*“Özel sektörde vasat kişi barınmaz. Çünkü performansınız sizi ele verir. Örneğin, bu işletme de de performansım net verilerle ortaya konuluyor. Hedefler veriliyor. Başaran ödüllendiriliyor, başaramaya gönderiliyor. Aslında bu durum kötü gibi algılansa da bana göre değil. Çünkü çalışan emek veren kazanıyor.”*

*“Çalışanlarımızın gayretlerini hep destekledik, desteklemeye de devam ediyoruz. Bu konuda hassasız. Ortada bir emek varsa ve bu emek işletmemizin iyiliği içinse, nasıl biterse bitsin desteklemek zorundayız. “*

*“Ne kadar çabalarsan çabala başarısızlıkla sonuçlandı mı hiç destekçin kalmıyor. Kimse niyetini verdiği emeği sorgulamıyor. Başarısızsan bunların hiçbir önemi yok. Karşılığında da takdir eden de yok. Hep başarılı olmak zorundasınız.”*

#### İstisnaya Göre Aktif Yönetim:

Katılımcılar mevcut yönetimlerinin sürekli olarak hatalara, şikayetlere, başarısızlıklara odaklandığını, bunların kaydının hep tutulduğunu ve bundan rahatsız olduklarını dile getirmiştir. Dolayısıyla mevcut lider özelliklerinde kendine yer bulan istisnalara göre aktif yönetim unsuru, katılımcıların ideal bir lider tasvirinde yer alamamıştır.

*“Başarıların kısa dönemli, başarısızlıkların ise ömür boyu peşini bırakmadığı ve sürekli dile getirildiği mecraya özel sektör diyoruz. Özel sektörde uzun yıllardır görev yapmış birisi olarak söylüyorum. Başarısızlıkların kümülatif gider ve ilk hatanda sırayla hepsi yüzüne vurulur. Zaten sen şurada da böyle davranmıştın söz öbeklerinden asla kurtulamazsınız.”*

*“Yöneticilerimin başarı ve başarısızlık konusunda üstümdeki baskısı inanılmaz boyutlara ulaşmış durumda. Herkes sonuca yönelik davranıyor. Ayrıca başarıya olan doyumda sağlanamıyor. Üstelik beklentide hiç durmadan artıyor. Zaten bir müddet sonra başarılı olsanız da başarısız olarak görülüyorsunuz, çünkü hedefler ve beklentiler çok üst seviyelere çıkıyor. Sonrasında ise sürekli sizi başarısızlıkla itham eden yöneticilerin azarları, tavsiyeleri ve paylaşımlarına maruz kalıyorsunuz. Bu anları hiç kaçırmıyorlar.”*

*“Geçen gün 3 sene önce yapmış olduğum bir hatanın ellinci kez izahını yaptım. Sağ olsun yöneticimiz bizlerle inanılmaz ilgili birisidir. Kara kaplı bir defteri var ve yaptığımız her şeyi oraya kalem kalem not alıyor. Ancak ne hikmetse başardıklarımız değil, hep başaramadıklarımız var o defterde. Yeni bir hata yaptığımızda iş yerinde yaşadığımız başarısızlıkların kronolojik olarak özetini dinliyoruz. Bu çok sinir bozucu bir aksiyon.”*

#### İstisnaya Göre Pasif Yönetim:

Bu hususta katılımcılar, özellikle de çalışanların bir takım problemlerinde, yaşanan süreç ciddileşmediği sürece liderlerinin tepki vermemesini eleştirmiştir. Bu bağlamda mevcut liderlerinin bu özelliğe sahip olmasından hoşnut olmadıkları ifade etmiş ve ideal lider tariflerinde de yer vermemiştir.

*“Yöneticilerimizin yaşadığımız problemlere karşı tepkilerinin biraz geciktiğini düşünüyorum. Bunun ana nedeni de, amirlerimize aktardıklarımızın onlara ya geç ya da çarpıtılarak aktarılmasıdır.”*

*“...İşletmenin problemi veya benim kişisel bir problemim veya talebim, fark etmiyor. Yöneticilerimizin hamleleri hep geç geliyor ve zamanında bir tepki verilmediği içinde iş işten geçmiş oluyor.”*

*“Neredeyse hemen hemen her yönetim kurulu toplantısında işletme ve çalışanlarla alakalı problemler konuşuluyor. Şahsi kanaatim bazı olaylarda anında tepki vermek gerekirken, nedense sorunun sürece bırakıldığına şahit oluyorum. Bu bana anlamsız geliyor. Çünkü ileride bu problemin daha da büyüyeceği ve daha fazla arar vereceğini düşünüyorum. Ancak başkanın genel kanısı bazı sorunların kendi kendine çözüleceği yönünde. Bu konuda fikir ayrılığı yaşıyoruz.”*

#### Müdahale Etmeden Yönetim:

Katılımcılardan bazıları yönetimin özellikle çalışanların kişisel problemleri veya konfor alanlarıyla ilgili problemlerinde sorunun çözümüne yönelik hiçbir müdahalesinin olmamasını ciddi biçimde eleştirmiş ve ideal liderin özelliklerini ifade ederken, bu özelliğin kesinlikle olmaması gerektiğini ifade etmişlerdir. Katılımcıların bu konuda ki genel kanısı, işletme çıkarları söz konusu iken çok hassas olan üst yönetimin çalışanlar söz konusu olduğunda tepkisiz kaldığı yönündedir.

*“Sorunlar eğer işletmeyle ilgili ve ona zarar verecekse yöneticilerimiz inanılmaz bir çaba gösteriyor ve sorunun çözümü için fazlasıyla emek veriyor. Ancak bu sorun çalışanlarla ilgili ve onların konfor alanını etkiliyorsa, yani*

*işletmeyi doğrudan ilgilendirmiyorsa, yöneticilerimiz kulaklarının üstüne yatıyor ve neredeyse hiç tepki vermiyorlar.”*

*“5 aydır yaşadığım bir problemi her hafta amirlerime aktarıyorum. Daha hiçbir çözüm üretilmedi. Çok kolay çözüme kavuşturulabilecek bir olaya karşı neden bu kadar tepkisiz kalıyorlar, anlayabilmiş değilim.”*

*“Çatışmalara şahitlik ediyoruz. İşletme zarar görecekse olağanüstü toplantılar, raporlar, sözlü ifadelerin alınması gibi bir sürü aksiyon oluyor. Ama o çatışma iki çalışan arasındaysa genel tavır bunu kendi aranızda çözün, fazla da uzatmayın şeklinde tehditkâr bir tavırla neticeleniyor. Bizim sorunlarımız eğer ki işletmeye direkt zarar vermeyecekse onları ilgilendirmiyor.”*

### **3.7.2. Dönüşümsel Liderlik**

Karizmatik Liderlik (İdealleştirilmiş Nitelik ve Davranışlar):

Katılımcılara göre karizmatik liderler, grup çıkarlarını gözeten, güç ve güven duygusu vererek saygı duyulmasını sağlayan, değerlere ve inançlara önem veren, ahlak ve etiğe aykırı davranmayan, ortak amaç ve kolektif bir misyon ortaya koyabilen kişilerdir. Bu bağlamda katılımcılar, karizmatik liderlik özelliğinin ideal bir lider de olması gerektiğini ifade etmişlerdir. Ayrıca mevcut liderleri için karizmatik liderlik özelliğine sahip olduğu ifade edenler olduğu gibi, bu özelliğe sahip olmadığı için liderini eleştiren katılımcılar da olmuştur. Bir başka deyişle katılımcılar liderlerinin böyle bir özelliğe sahip olmasından hoşnut olduklarını/olacaklarını ifade etmişlerdir.

*“Burası bir işletme. Hepimiz aynı gemideyiz. Bir lider herkesi düşünmelidir. Hatta çoğu zaman kendi önceliklerinden ziyade paydaşların önceliğine önem vermelidir.”*

*Liderden beklentim bize güven vermesidir. Yani ben en tepede duran benim hayatımı şekillendirecek adama güvenmeliyim. Kafamda hiçbir soru işareti olmamalı.*

*Bir gün lider olursam öncelikli hedefim herkesin saygısını kazanmak. Bakın etrafınızdaki kişiler size saygı duyuyorsa bir şeyleri arzu edilen şekilde yapıyorsunuz demektir.*

*Çalışmak, disiplin, ahlak ve saygı. Bunları her gün duyuyoruz. Ancak süreç nedense hep çalışandan işletmeye doğru tek taraflı şekilde gidiyor. Peki, işletmeden çalışana doğru? Konuşmak güzel ama eyleme geçmeyince kavramın içi boşalıyor.*

*“Amaçları olmayan birisi okyanusta kaybolan bir gemi gibidir. Oradan oraya savrulur gider”, der liderimiz. Bu hususta hep hedeflerimizin olması gerekliliğini vurgular.*

*“Lider olunca birçok stratejik kararlara imza atıyorsunuz. Bu kararların sonuçlarında ahlaki açıdan sıkıntı varsa paydaşlarınızın açısından eleştiriliyorsunuz. Ayrıca buna bağlı olarak insanların size olan güvenleri azalıyor. Bu nedenle kesinlikle ahlaklı ve erdemli olmalı.”*

İlham Veren Motivasyon:

Bu hususta katılımcılar liderlerinin gelecekle ilgili kaygılarını gideren, başarılacak hedefler konusunda coşkularını artıran, ikna edici ve güven veren bir liderle çalışmaktan/çalışacak olmaktan hoşnut olduklarını belirtmiştir. Bu nedenle ideal bir liderde bu özelliğın olması gerektiğini kanısındadırlar. Ayrıca mevcut liderlerinde bu özelliğın olduğunu belirten katılımcılar olduğu gibi, bu özelliğın sahip olmadığı için liderlerini eleştiren katılımcılarda bulunmaktadır.

*“Ekonomik olarak sıkıntılı günlerden geçiyoruz. Bu dönemde herkeste belirli kaygılar oluşmaya başladı. Ancak başkanımız gerçekten kaygılarımız giderecek şekilde bizlere telkinde bulunuyor.”*

*“Şirketimizin belirli hedefleri ve buna bağlı bir vizyonu var. Olağan toplantılarımızın hemen hemen hepsinde başkanımız bunların nasıl gerçekleştirileceğiyile ilgili ufak hatırlatmalarda bulunur. O kadar inanıyor ki bu hedefleri gerçekleştireceğimize, mantığım bu hedef tutmaz dese de onun inancı karşısında nasıl yapabiliriz sorusunun cevabını aramaya başlıyorum. Motive etme konusunda gerçekten çok başarılı bir lidere sahibiz.”*

*“Lider bir şeyi işaret etti mi, herkes ona inanmalı. Bu çok önemli bir aşama. Bakın bu millete tarih boyunca, Sultan Melikşah, 1.Alâeddin Keykubat, Fatih Sultan Mehmet, Kanuni Sultan Süleyman, Mustafa Kemal Atatürk gibi çok önemli liderler önderlik etmiştir. Bence bu liderlerin hepsinin ortak yönlerinden birisi, etraflarında bulunan kişilerin onlara inanmasıdır. Onlar bir hedef koymuştur, herkes de gönülden inanmış ve mücadele etmiştir. Başarılar böyle kazanılır.”*

#### Zihinsel Uyarım:

Katılımcılar liderlerinin çözüm için farklı bakış açısı geliştirmelerinden, çalışanlarına sorunların çözümü ve işini yapma konularında yeni yollar bulması için yardım etmesinden ve işletme için uygun düşünceleri sürekli değerlendirmesinden memnun olduklarını ifade etmişlerdir. Bu bağlamda ideal bir liderde bu özelliğin muhakkak olması kanısındadırlar. Diğer unsurlarda olduğu gibi benzer şekilde bu unsurda da mevcut liderlerini bu özelliğe sahip olmasından mutluluk duyan katılımcılar olduğu gibi, bu özelliğe sahip olmadığı için liderlerini eleştirenler de vardır.

*“Pandemi döneminde tüm departmanların ortak kararı küçülmektir. Herkes bir fizibilite raporu çıkarmıştı, durumla ilgili. O toplantıdan bırakın küçülmeyi ekstra yatırım kararı çıktı. İşçi çıkaracakken şu an eski işçi sayımızın da üstünde bir istidamla çalışıyoruz. Lider farkı. Bize bu krizin nasıl fırsata dönüşeceğini izah etti ve şu an iş hacmimiz hayallerimizin ötesine geçti.”*

*“İş dünyası dinamik. Sürekli yeni problemler ve yeni çıkmazlarla karşılaşıyorsunuz. Deneyimine güvendiğiniz kişilere bunun çözümünü soruyorsunuz. Net bir cevap veremiyorlar. Bana göre lider benden farklı bir çözüm sunabilecek ki ben onun yeteneklerine inanayım. Benim çözemediğim soruna o da bir çözüm sunamıyorsa, benden farkı ne?”*

*“Bazen tıkanıyorum, işin içinden çıkamıyorum. Ama gerçekten bu konuda başarılı bir liderimiz var. Durumu izah ediyorum ve her seferinde bunu ben nasıl düşünemedim duygusuyla geri dönüyorum.”*

#### Bireysel Değerlendirme:

Katılımcıların büyük bir çoğunluğunda, bireysel değerlendirme özelliğinin ideal bir lider de olması gereken en önemli özellik olduğu hususunda genel bir kanı vardır. Katılımcılara göre ideal bir lider çalışanlarına ders vermeli, koçluk yapmalı, her çalışana bir birey olarak yaklaşmalı, her çalışanın farklı istek ve ihtiyacı olduğunu bilerek güçlü yanlarını geliştirmesine destek olmalıdır. Ancak tüm katılımcılar mevcut liderlerinin böyle bir yaklaşım sergilemediği konusunda hemfikirdir. Bu nedenle çoğu katılımcı liderlerini bu konuda eleştirmiştir.

*“Maalesef günümüzde bildiklerini öğretmek zaaflık gibi görünüyor. Bana göre bir liderin eğitimci bir yönü muhakkak olmalıdır. Beni eğitmeli bana mentörlük yapmalıdır.”*

*“Başarılı bir liderin size danışmanlık yapması büyük bir nimettir. Onun öğretileri, deneyimleri, uyarıları iş hayatında bir, iki, hatta üç sıfır önde başlamanızı sağlar. Liderin öğretici olması gerçekten sahip olması gereken çok önemli bir vasıf.”*

*“Bizim şirkette çok uzun yıllardır çalışan kişiler var. Şu anki liderimiz çoğunun adını bile bilmez. Bence böyle olmamalı. Herkesin biz öz kimliği var. Lider dediğimiz kişinin tüm çalışanlarına karşı bilgisi ve fikri olmalı.”*

*“6 yıldır bu işletme de çalışıyorum. Elimden geldiğimce de buraya hizmet etmeye çalışıyorum. Ancak bugüne kadar hiçbir yöneticim bana ne istediğimi, beklentimin ne olduğunu sormadı. Benimde kendimce yeteneklerim var. Elde etmek istediklerim var. Bu konuda yardımcı olmalarını çok isterdim. Bence iyi liderlerin kişilere yetenekleri yönünde rota çizmesi ve yardımcı olması gerekir.”*

*“Finans alanında doktora yapıyorum. Mali analizlerle ilgili kurslara katılıyorum ve öğrendiklerimi işletmemin gelişmesi için raporluyorum ve üst yönetime sunuyorum. Beklentim bu konularda bana maddi manevi destek olmaları. Ancak maddi desteği geçtim, manevi olarak bile hiç desteklenmiyorum. Bana göre bir işletmenin lideri çalışanlarının yeteneklerini geliştirecek destekte bulunmalıdır.”*

#### 4.SONUÇ

Günümüz işletmeleri sürdürülebilirliklerini sağlamak adına çevre şartlarına uyum sağlamak zorundadır. Bu bağlamda işletme süreç, eylem ve yapısında gerekli değişiklikleri yapmaları elzemdir. Elbette ki, bu değişimlerin yönetim anlayışında olması kaçınılmazdır. Geleneksel yönetim tarzları yerini daha modern yönetim anlayışlarına bırakmakta ve işletmelere liderlik edenlerin tarzlarını güncellemeleri gerekmektedir. Literatürde bu hususta en fazla çalışılan konulardan birisi etkileşimsel liderlik ve dönüşümsel liderliktir. Genel kanı etkileşimsel liderlik modelinin geleneksel bir anlayışa hâkim olduğu ve zamanla yerini daha modern olduğu düşünülen dönüşümsel liderliğe bırakmasıdır. Her ne kadar bir değişim olması gerektiği konusunda oldukça yaygın bir görüş birliği olsa da, ikisinin bir karmasının yapılması gerekliliğini vurgulayan çalışmalar da vardır. Bu çalışma teorik olarak desteklenen bu fikirlerin ticari hayatta ne kadar gerçekliğe sahip olduğuna dair bir durumsal değerlendirme yapmıştır. Bu bağlamda çalışma, çalışanlarının görüşleri aracılığıyla mevcut liderlerin etkileşimsel mi yoksa

dönüşümsel mi özelliklere sahip olduğunun bulunmasını amaçlamıştır. Böylelikle çalışma, günümüz işletmelerinde hala hangi tip liderlik modelinin daha etkin olarak kullanıldığını belirlemiştir. Ayrıca çalışanların aslında hangi tip liderlik modelini arzu ettiğinin bulunması da araştırmancının bir diğer amacıdır.

Mevcut liderlerin özelliklerinin tespitinde etkileşimsel liderlik modeli özelliklerinin ağırlıklı olarak devam ettiği görülmüştür. Buna rağmen etkileşimsel liderlik kadar baskın olmasa da, dönüşümsel liderlik modeli özelliklerinin de etkin olmaya başladığı belirlenmiştir. Yani etkileşimsel liderlikten dönüşümsel liderliğe doğru henüz tamamlanmamış bir değişimin olduğu tespit edilmiştir. Mevcut liderlerin özelliklerini etkileşimsel liderlik modeli açısından etkileyen alt boyutlar sırasıyla (kodlanma derecelerine göre); koşullu liderlik, istisnalarla aktif yönetim, istisnalarla pasif yönetim, müdahale etmeden yönetimdir. Mevcut liderlerin özelliklerini dönüşümsel liderlik modeli açısından etkileyen alt boyutlar sırasıyla (kodlanma derecelerine göre); karizmatik liderlik, zihinsel uyarım, ilham veren motivasyondur.

İdeal liderlerin özelliklerinin belirlenmesinde ise dönüşümsel liderlik model özelliklerinin çok daha baskın olduğu görülmüştür. İdeal liderlerin özelliklerini dönüşümsel liderlik modeli açısından etkileyen alt boyutlar sırasıyla (kodlanma derecelerine göre) bireysel ilgi, karizmatik liderlik, zihinsel uyarım ve ilham veren motivasyondur. İdeal liderlerin özelliklerini etkileşimsel liderlik modeli açısından etkileyen alt boyut ise sadece koşullu ödüllendirme olmuştur.

Liderlerin, bu çalışma aracılığıyla belirlenen dönüşümsel liderlik modelinin çalışanlardan tarafından çok daha benimsendiği gerçeğini dikkate alması kritiktir. Çünkü çalışanların arzu ettiği dönüşümsel liderlik modeli aracılığıyla çalışan lider arasındaki güven unsurunun sağlanacağı ve bu durumda çalışanların bağlılığı, özdeşleşmesi, iş tatmini ve performansı gibi hususlara olumlu katkı yapacağı öngörülmektedir. Çalışmanın bu açıdan literatüre katkı sağlayacağı düşünülmektedir. Çalışmada kullanılan amaç ve yöntemler, farklı örneklem, farklı sektör ve illerde yapılarak yeni çalışmalar elde edilebilir.

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## Mobil Bankacılıkta Tüketicilerin Hizmet Deneyim Kalitesi Beklentileri

Mehmet Arda YILMAZ<sup>1</sup>

<sup>1</sup>Trakya Üniversitesi Edirne Sosyal Bilimler Meslek Yüksekokulu Finans-Bankacılık ve Sigortacılık Bölümü, E-mail: mehmetyilmaz@trakya.edu.tr, ORCID:0000-0003-2757-1404

**Özet:** Bu araştırma banka müşterilerinin sosyo-demografik yapılarına göre mobil bankacılık kullanıcılarının hizmet deneyim kalitesi beklentilerini ortaya koymak amacıyla 2021 yılında Türkiye'de Edirne ili merkezinde yapılmıştır. Veriler, kolayda örnekleme yolu ile belirlenen 1085 kişiye e-mail üzerinden beşli likert ölçeğine göre düzenlenmiş anket formu doldurtularak elde edilmiştir. Betimleyici istatistiklerin yanı sıra Klaus ve Maklan tarafından geliştirilen "Müşteri Hizmet Deneyim Kalitesi Beklenti Ölçeği (EXQ)" kullanılarak elde edilen verilere açıklayıcı faktör analizi yapılmıştır. Bu ölçeğe ait üç boyut elde edilmiştir. Tüketicilerin sosyo-demografik yapılarına göre bu boyutlara ilişkin görüşlerinde farklılıklar olup olmadığının belirlenmesinde de t ve ANOVA testleri kullanılmıştır.

Sonuç olarak bankaların hizmet deneyim kalitesinin alt boyutlarından ilki olan içsel huzur boyutunun tüketicinin cinsiyet, medeni durum, yaş sınıflarına göre beklentilerinde farklılık yok iken öğrenim durumu, meslekler ve banka kullanım sıklıklarında farklılıklar olduğu gözlenmiştir. İkinci alt boyut olan karar anında mobil bankacılık kullanım tercihi tüketicilerin medeni durumunu yaşları ve mesleklerine göre beklentilerinde farklılık yok iken cinsiyet, öğrenim durumu ve kullanım sıklığı bakımından farklılıkların olduğu. Benzer şekilde üçüncü alt boyut olan sonuç odaklılık boyutunda medeni durum, yaş, öğrenim durumuna göre beklentiler de farklılık varken cinsiyet, meslek ve kullanım sıklıklarına göre beklentiler de bir farklılık olmadığı test sonuçlarında belirlenmiştir.

**Anahtar Sözcükler:** Mobil Bankacılık, Hizmet Deneyim Kalitesi, Banka tercihi

### Expectations On Quality Of Service Experience Of Consumers In Mobile Banking

**Abstract:** This research was conducted in the city center of Edirne in Turkey in 2021 in order to reveal the service experience quality expectations of mobile banking users according to the socio-demographic structures of bank customers. The data were obtained by filling out the questionnaire, which was arranged according to a five-point Likert scale, via e-mail to 1085 people, who were determined by easy sampling. In addition to descriptive statistics, explanatory factor analysis was performed on the data obtained by using the "Customer Service Experience Quality Expectation Scale (EXQ)" developed by Klaus and Maklan. Three dimensions of this scale were obtained. The t and ANOVA tests were used to determine whether there were differences in the opinions of consumers regarding these dimensions according to their socio-demographic structures.

As a result, it has been observed that while there is no difference in the expectations of the consumer according to gender, marital status, age classes, in the sub-dimension of the service experience quality of the banks, there are differences in the educational status, occupations and frequency of bank use. The second sub-dimension, mobile banking usage preference at the time of decision, shows that while there is no difference in the expectations of consumers according to their marital status, age and occupation, there are differences in terms of gender, educational status and frequency of use. Similarly, in the third sub-dimension, result-orientedness, while there was a difference in expectations according to marital status, age, education level, it was determined in the test results that there was no difference in expectations according to gender, occupation and frequency of use.

**Keywords:** Mobil Banking, Service Experience Quality, Bank preference

### 1. GİRİŞ

Globalleşen dünyamızda mal ve hizmet tüketiminde çok hızlı gelişmeler yaşanmaktadır. Tüketim ekonomisinin adeta dayattığı cazip alışveriş çılgınlığı nedeniyle ödemelerin daha hızlı ve güvenilir bir şekilde ve bankaya gitmeden, 7/24 yapılabilmesinin önemini artırmıştır. Bu değişimde bankalar önemli bir rolü üstlenmiş durumdadır. Bankalar geliştirdikleri güvenilir ödeme yöntemleri ile firmaları ve müşterileri mobil bankacılık çatısı altında buluşturmışlardır. Mobil işlemlerde garantör rolü üstlenen bankalar kanunların verdiği yetki ve sorumluluklar çerçevesinde gün geçtikçe kârlılıklarını artırmak ve kullanıcılarına kaliteli hizmet sunmak için çok daha fazla çaba sarf etmek mecburiyetinde kalmaktadırlar. Bunların yanı sıra bankalar için mevcut müşterilerini koruyabilmek, müşteri sayılarını artırmak, rakipler ile bu piyasada her alanda mücadele etmek her geçen gün daha da zorlaşmaktadır. Mobil bankacılık hizmetlerini kullananların deneyimi memnuniyet açısından her zaman yeterli olmayabilir. Müşterilerin mal ve hizmet beklentilerinin çoğunlukla artma eğiliminde olması, onlarda daha kaliteli bir deneyim yaşama isteği uyandırabilir. Bu nedenle mal ve hizmet sunanlar, kullanıcılarının beklentilerini her zaman sorgulamalı ve takip etmelidir. Bankaların sunduğu mobil bankacılık işlemlerinde de hız, güvenlik, kullanım kolaylığı, erişim hızı, tatmin gibi kriterler kullanıcıların banka tercihini etkileyebilir.

İç müşteriler ve dış müşteriler şeklinde firmalar müşterilerini sınıflandırmaktadır. Firma çalışanlarının yanı sıra firma ile bağı olan müşteriler iç müşteri; işletmenin dışında olan birimler ise dış müşteri olarak tanımlanmaktadır (Altuğ & Özhan, 2018).

Mobil bankacılık hizmetlerini kullananlar müşterilerini mal sektöründeki müşterilerden farklı kılan şey, bir hizmet sektörü olan bankacılıkta hizmet veren ile hizmet alanın birebir iletişim kurabiliyor olmasıdır. Bu durum bir çok avantajı da beraberinde getirmektedir.

Hizmet pazarlamasında etkileşim ve kalite çok önemli iki unsurdur. Hizmet pazarlamasının temeli tamamen insan beğenilerine dayanmaktadır. Herkesin beğenisi birbiri ile aynı değildir. Mal üretiminde standart bir kalite tutturmak mümkün iken hizmet pazarlamasında bu pek mümkün olamamaktadır. Birebir iletişim ve ilişki kurma mal pazarlamasının eksik veya yetersiz kaldığı temel unsurlardır (Altuğ & Özhan, 2012). Verilen mal veya hizmetin deneyiminin müşteriler tarafından nasıl algılandığı üreticilerin her zaman merak ettiği bir konudur.

Müşteri deneyimi, ürünün arama, satın alma ve kullanımı yoluyla bir müşteri yolculuğunun tüm aşamalarını kapsayan bütüncül bir olgu olduğundan bkz. (Gentile, Spiller ve Noci, 2007: 395–410; Verhoef vd., 2009: 3-41), **“müşteri deneyim kalitesi, müşterilerin firmayla/mağazayla/hizmetle yaptıkları yolculuk boyunca müşterilerin deneyimlerinin bütünsel bir değerlendirmesi”** olarak da tanımlanabilir.

Müşteri hizmet deneyim kalitesi konusunda yapılmış öncü çalışma, Klaus’un (2010) yılında bankacılık sektörü üzerine hazırladığı “EXQ: Tüketici Deneyim Kalitesini Değerlendiren Çok Maddeli Ölçeğin Geliştirilmesi ve Doğrulanması (EXQ: Development and Validation of A Multiple-Item Scale for Assessing Customer Experience Quality)” isimli doktora çalışmasıdır. Orijinal EXQ ölçeği sayılan bu çalışmalar çerçevesinde farklı sektörlerde de EXQ test edilmiş, güvenilirlik ve geçerliliği doğrulanmıştır. Daha sonra Klaus (2010) yılında oluşturduğu ve çeşitli çalışmalar ile doğruluğu ve güvenilirliğini test edilen orijinal EXQUAL ölçeği kullanmıştır. Bankacılık sektöründe de denenmiş olan bu ölçek hizmet sektöründe müşteri davranışlarını tahmin etme ve açıklamaya uygundur. SERVQUAL hizmet kalitesinin ölçülmesinde literatürde en popüler olan ölçüm modelidir.

Bu çalışmada bir bankanın sunduğu mobil bankacılık uygulamalarını kullananların hizmet deneyim kalitesi beklentileri belirlenmeye çalışılmıştır.

## 2. MOBİL BANKACILIK

Rekabet yoğun şekilde çalışan finansal sistemdeki işlemlerin yoğunluğu işlemlerin hızlı ve hatasız yapılmasını gerekli kılmaktadır. Bankaların çevirim içi sistemleri, müşterinin zaman ve mekândan bağımsız olarak istedikleri bir zaman diliminde işlem yapabilmeleri için oluşturmuşlardır. Bu bankacılık türü e-bankacılık yani elektronik bankacılık olarak adlandırılmış ve literatürde bu adla (Danile, 1999).

Türkiye bankalar birliği (TBB) Mobil bankacılık kullanıcı sayısını Temmuz-Eylül 2021 dönemi içinde toplam (bireysel ve kurumsal) aktif Mobil bankacılık müşteri sayısı 73 milyon 440 bin kişiye ulaşmıştır. Bu sayının 2 milyon 785 bin kişisi “sadece internet bankacılığı” işlemi yaparken, 61 milyon 981 bin kişisi “sadece mobil bankacılık” işlemi yapmıştır. Hem internet hem mobil bankacılık işlemi yapan kullanıcı sayısı ise 8 milyon 674 bin kişidir.

Yılmaz (2020)’in aktarımına göre alternatif hizmet dağıtım kanallarından farklı olarak mobil bankacılık aracısız bir hizmet şeklidir. Aracısız hizmet/hizmetler, ATM (Automatic Teller Machine / Bankamatik), internet bankacılığı, mobil bankacılık, POS (Point Of Sale/ Satış Noktası) makineleri v.b. ile sunulmaktadır (Coşkun, 2012).

Aktif bireysel Mobil bankacılık müşterileri 47 milyon erkek (yüzde 68), yaklaşık 23 milyon kadın (yüzde 32) müşterilerden oluşmaktadır (TBB, Dijital Bankacılık Kullanıcı İstatistikleri, 2021).

❖ Şube bankacılığında fiziki olarak gerçekleştirilen işlemlerin neredeyse tamamı internet üzerinden yapılabilmektedir. Bu durum zamanı kısıtlı olan kullanıcıya bir avantaj sağladığı gibi işlemlerin azalması ile de bankaların iş yükünü azalmaktadır (Sarlak & Hastiani, 2010). Aynı zamanda da günden güne bankaların şube sayıları düşmektedir. 2017 yılında Türkiye’de 10550 adet şube varken, 2020 yılında bu sayı 9863’a gerilemiştir (TBB, 2021).

❖ Mobil bankacılıkta internet ve mobil bankacılık uygulamalarının sağladığı kolaylık şu şekilde sıralanabilir;  
❖ Mobil bankacılıkta özellikle de internet ve mobil kullanıcıları günün her saatinde alışveriş, anında bankacılık işlemleri, iletirli bankacılık işlemleri vb. işlem yapabilmektedir.

❖ Kişisel veya kurumsal işlemlerin kullanıcılar vasıtası ile yapıldığı için belli işlem sayısının altında kalındığında işlem masrafı ödenmemektedir.

- ❖ Elektronik ortama kayıtlı işlemler ile ilgili bilgiler gerek web üzerinden gerek se kullanıcı bilgisayarına kayıt edilerek her türlü takip ve kontrol edilebilmektedir
- ❖ Banka müşterileri hemen her işlemini e-bankacılık ile yapabildiğinden yol masraflarına katlanmak ve ayrıca zaman harcamak durumunda kalmamaktadır (Vural, Işık, & Koç, 2019).
- ❖ Kullanıcılar hesap açma, hesap kapatma işlemlerini kendileri yapabilmektedirler.
- ❖ Kullanıcılar kredi almaya ihtiyaç duyduklarında hızlı bir şekilde kredi alma avantajı bulabilmektedirler (Temur, 2009).

Öte yandan bankalar açısından bazı avantajları da şunlardır;

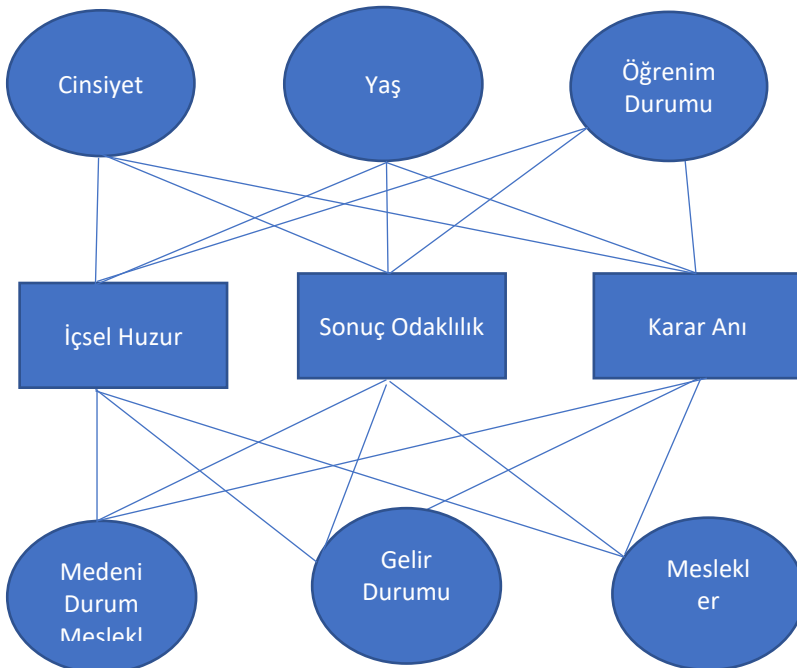
- ❖ Banka açısından her türlü müşterilere ait bilgiler veri tabanında yer aldığından müşteri odaklı hizmet sunumlarının tasarlanabilmesi
- ❖ Uzun bankacılık işlemlerinin kısa sürede tamamlanabilmesi
- ❖ Müşterilerin bankaların farklı hizmetlerinin gelişmesine katkı sağlaması
- ❖ Bankaların müşterilerine yeni finansal hizmetlerini anında haber edebilmesi ve kullanımına sunması

## 2. KAVRAMSAL ÇERÇEVE

Bu araştırmada deneyim ekonomisi ve deneyimsel pazarlama, müşteri deneyimi ve müşteri deneyiminin ölçümü, müşteri deneyim kalitesi ve müşteri deneyim kalite ölçüm modeli: EXQ, müşteri tatmini, müşteri sadakati ve müşteri deneyim kalitesi ilişkisi konuları üzerinde durulacaktır.

Araştırmadaki amaç, mobil bankacılık uygulamasını kullanan banka müşterilerinin deneyim kalitesinin, müşterilerin tatmini ve müşterin sadakati üzerine etkisini ortaya koymaktır. Bu bağlamda araştırmanın problemini, *mobil bankacılık kullanan banka müşterilerinin deneyim kalitesinin, müşteri tatmini ve müşteri sadakati üzerine nasıl bir etkisinin olduğunu ortaya koymak* şeklinde ifade edilebilir. Bu doğrultuda araştırmanın müşteri deneyimi, müşteri tatmini ve müşteri sadakati şeklinde üç temel değişkeni söz konusudur. Araştırmanın kavramsal modelinde ilk olarak Klaus vd., (2011) ile Klaus ve Maklan (2013) tarafından geliştirilen müşteri deneyimi ölçeğinden yararlanılmıştır. İçsel Huzur (İH): Bu boyut müşterinin bir hizmeti almadan önce, hizmetin alırken ve aldıktan sonra müşterinin hizmet sağlayıcısıyla olan bütün etkileşimleriyle ilgili değerlendirmelerini açıklar. Karar Anı (KA): Bu boyut herhangi bir hizmetin alınması sırasında ortaya çıkan sorunların göz önüne alınması, hizmetleri daha iyi hale getirme ve esneklik konuları ile ilgilidir. Sonuç Odaklılık (SO): Bu boyut müşteriler tarafından başka ve yeni hizmet sağlayıcılar bulma ve bu sağlayıcıları değerlendirme, işlem maliyetlerinin azaltılmasıyla ilgili boyuttur. Ürün Deneyimi (ÜD): Ürün deneyimi, müşterinin farklı hizmet sağlayıcılardan gelen teklifleri karşılaştırabilmesi ve seçilen hizmet sağlayıcıda çeşit ya da seçeneklere sahip olduğu algısıyla ilgilidir.

**Şekil 1:** Araştırmanın Kavramsal Modeli



Araştırmanın kapsamı belirlenirken, araştırma kapsamına dâhil edilecek kişilerin, mobil bankacılık uygulamasını kullanan banka müşterilerinden olması ve bankacılık uygulamalarıyla deneyim yaşaması gerektiği hususuna dikkat edilmiştir. Araştırmanın çalışma evrenini Edirne’de yaşayan ve mobil bankacılık kullanan kişiler oluşturmaktadır. Bu evren içerisinde kolayda örnekleme yöntemiyle 2019 yılında mobil bankacılığı kullananlar arasından ankete cevap verenler, araştırmamızın örnekleme grubunu oluşturmaktadır.

### 3. YÖNTEM

#### 3.1. Araştırmanın Amacı

Bu araştırma banka müşterilerinin sosyo-demografik yapılarına göre mobil bankacılık kullanıcılarının hizmet deneyim kalitesi beklentilerini ortaya koymak amacıyla 2021 yılında Türkiye’de Edirne ili merkezinde yapılmıştır. Bu bağlamda araştırmanın problemini, “*sosyo-demografik yapılarına göre mobil bankacılık kullanıcılarının hizmet deneyim kalitesi beklentileri farklılık göstermektedir*” şeklinde ifade edilebilir.

#### 3.2. Araştırmanın Kapsamı ve Yöntemi

Araştırmanın çalışma evrenini 2021 yılında Türkiye’de Edirne ili merkezinde yaşayan ve mobil bankacılık kullanan kişiler oluşturmaktadır. Veriler, kolayda örnekleme yolu ile belirlenen 1085 kişiye e-mail üzerinden beşli likert ölçeğine göre düzenlenmiş anket formu doldurtularak elde edilmiştir. Betimleyici istatistiklerin yanı sıra Klaus ve Maklan tarafından geliştirilen “Müşteri Hizmet Deneyim Kalitesi Beklenti Ölçeği (EXQ)” kullanılarak elde edilen verilere açıklayıcı faktör analizi yapılmıştır. Müşteri deneyim kalitesi ölçeğine ait üç boyut elde edilmiştir. Tüketicilerin sosyo-demografik yapılarına göre bu boyutlara ilişkin görüşlerinde farklılıklar olup olmadığının belirlenmesinde de t ve ANOVA testleri kullanılmıştır.

#### 3.4. Araştırma Modeli ve Hipotezler

Bu çalışma, tarama modelinden yararlanılarak gerçekleştirilen betimsel bir çalışmadır. “Tarama modelleri, geçmişte ya da halen var olan bir durumu var olduğu şekliyle betimlemeyi amaçlayan araştırma yaklaşımlarıdır. Araştırmaya konu olan olay, birey ya da nesne kendi şartları içerisinde ve olduğu gibi tanımlanır” (Karasar, 2015, s. 78). Araştırmada banka müşterilerinin mobil bankacılık hizmetlerinden yararlanma durumları deneyimsel pazarlama boyutları kapsamında ele alarak değerlendirilmeye çalışılmıştır. Araştırmanın genel amacı doğrultusunda araştırma hipotezleri:

H<sub>1</sub>: Mobil bankacılık hizmeti alan müşteriler deneyim kalitesi ölçeğinin tüm boyutlarına ilişkin görüşleri yaşlarına göre anlamlı bir farklılık göstermektedir.

H<sub>2</sub>: Mobil bankacılık hizmeti alan müşteriler deneyim kalitesi ölçeğinin tüm boyutlarına ilişkin görüşleri cinsiyet değişkenine göre anlamlı bir farklılık göstermektedir.

H<sub>3</sub>: Mobil bankacılık hizmeti alan müşteriler deneyim kalitesi ölçeğinin tüm boyutlarına ilişkin görüşleri eğitim durumu değişkenine göre anlamlı bir farklılık göstermektedir.

H<sub>4</sub>: Mobil bankacılık hizmeti alan müşteriler deneyim kalitesi ölçeğinin tüm boyutlarına ilişkin görüşleri meslek değişkenine göre anlamlı bir farklılık göstermektedir.

H<sub>5</sub>: Mobil bankacılık hizmeti alan müşteriler deneyim kalitesi ölçeğinin tüm boyutlarına ilişkin görüşleri aylık ortalama gelir değişkenine göre anlamlı bir farklılık göstermektedir.

H<sub>6</sub>: Mobil bankacılık hizmeti alan müşteriler deneyim kalitesi ölçeğinin tüm boyutlarına ilişkin görüşleri gelir düzeyi değişkenine göre anlamlı bir farklılık göstermektedir.

H<sub>7</sub>: Mobil bankacılık hizmeti alan müşteriler deneyim kalitesi ölçeğinin tüm boyutlarına ilişkin görüşleri kullanım sıklığı değişkenine göre anlamlı bir farklılık göstermektedir.

#### 3.5. Müşteri Deneyim Kalitesine Yönelik Açıklayıcı Faktör Analizi

Müşteri deneyim kalitesine ölçeğine yönelik açıklayıcı faktör analizinde (AFA) ilk olarak KMO ve Bartlett’s test değerlerine bakılmıştır. Buradan elde edilen KMO= 0,866 >0,70 olduğundan veri setinin faktör analizi için görülmüştür. Öte yandan Bartlett test sonuçları ( $\chi^2=4366,290$ ;  $df=66$ ,  $p=0,000$ ;  $p<0,05$ )’nin anlamlı olduğu ve

değişkenler arasında yüksek korelasyonların mevcut olduğu anlaşılmaktadır. Buna göre; veri seti faktör analizi için uygun olarak değerlendirilmiştir.

Açıklayıcı Faktör Analizinde (AFA), “Temel Bileşenler Yöntemi” ve faktörlerin döndürülmesinde ise “varimax yöntemi” seçilmiştir. AFA sonucunda açıklanan toplam varyans değerinin düşük olması nedeni ile beklenen faktörlere uymayan maddeler, birden fazla faktöre dağıtılan maddeler gözden geçirilmiştir. Tekrarlanan AFA sonuçları incelenmiş, uyumsuz maddelerin atılması sonucunda (s15, s17, s22, s23, s29, s30) faktörler 3 boyuta düşmüş ve böylece açıklanan toplam varyans %61,94 olmuştur. Bilimsel çalışmalarda açıklanan varyans oranının en az %50 olması gerekir (Altunışık, vd., 2012: 275). Buna göre araştırmadaki açıklanan varyans istenilen oranın üzerindedir.

Tablo 1: Müşteri Deneyim Kalitesine Yönelik Özet Açıklayıcı Faktör Analizi Sonuçları

Faktörün Adı	Maddeler	Faktör Ağırlıkları	Faktörün Açıklayıcılığı	Coranbach's $\alpha$ Güvenilirlik
İçsel Huzur	s12	0,819	%21,803	0,783
	s13	0,805		
	s14	0,735		
	s16	0,594		
Sonuç Odaklılık	s19	0,846	%21.232	0,758
	s21	0,738		
	s18	0,708		
	s20	0,630		
Karar Anı	s26	0,803	%18.901	0.795
	s27	0,789		
	s25	0,773		
	s24	0,674		

AFA sonucunda, Klaus ve Maklan (2012) çalışmasında müşteri deneyim kalitesi dört boyutta iken çalışmamızda da üç boyuta uygun bir şekilde dağılmıştır. Ürün deneyimi boyutundaki ifadeler açıklayıcı varyansı yükseltmediği için ayrıca bir boyut olarak değerlendirilememiştir.

### 3.5. Analiz ve Bulgular

Araştırmanın evrenini 2020 yılında Edirne’de yaşayan ve çeşitli bankaların mobil bankacılık hizmetlerini kullananla banka müşterilerinden oluşmaktadır. Çalışma verileri kolayda örnekleme ve e anket yöntemi ile elde edilmiştir. Anket 5’li likert ölçeği şeklinde düzenlenmiştir.

Araştırmada Klaus ve Maklan (2018) tarafından geliştirilmiş geçerliliği ve güvenilirliği ispat edilmiş EXQUAL ölçeği kullanılmıştır.

Alt boyutlara ve tüm ölçeğe ilişkin güvenilirlik katsayısı sonuçları Tablo 2’de incelendiğinde, Cronbach’s Alpha katsayısının tüm alt boyutlarda 0,900 üzerinde olduğu tespit edilmiştir. Bu durum tüm ölçeğin ve alt boyutların güvenilir sonuçlar vereceğini göstermektedir.

Tablo 2. Ölçeğe İlişkin Güvenilirlik Katsayısı Sonuçları

Boyutlar	Soru Sayısı	Cronbach's Alpha
İçsel Huzur	4	0.783
Sonuç Odaklılık	4	0.758
Karar Anı	4	0.795

Anketi yanıtlayan katılımcıların demografik özelliklerine ilişkin bulgular aşağıda Tablo 3’de yer almaktadır.

Araştırma anketinin birinci bölümünde; mobil bankacılık kullanıcılarının cinsiyet, medeni durum, yaş, eğitim seviyesi, mobil bankacılığı kullanma sıklıkları, gelir düzeyleri, mobil bankacılık uygulamalarının kullandıkları bankalar gibi sorulara yer verilmiştir.

➤ Katılımcıların cinsiyetlerine göre %52.2’i bayan iken, %47.8’i erkeklerden oluşurken medeni durumlarına göre ise %61.7’i evli ve %38.3’ü ise bekârdır.

Tablo 3. Katılımcıların Demografik Özelliklerine Yönelik Bulgular

Demografik değişken	Demografik değişkenin sıkları	f	%	
Cinsiyet	Erkek	566	52.2	
	Bayan	519	47.8	
Medeni durum	Evli	669	61.7	
	Bekâr	416	38.3	
Yaş	10-20	94	8.7	
	21-30	243	22.4	
	31-40	295	27.2	
	41-50	296	27.3	
	51-60	138	12.7	
	61 yaş ve üzeri	19	1.8	
Öğrenim durumu	Orta Öğretim	48	17.1	35.4
	Lise	185	18.3	
	Ön Lisans	199	37.2	
	Lisans	404	13.6	
	Y.Lisans	148	9.3	13.7
	Doktora	101	4.4	
Meslekler	Çalışmıyor	11	1.0	
	Emekli	74	6.8	
	Esnaf	55	5.1	
	Öğrenci	170	15.7	
	İşsiz	39	3.6	
	İşçi	140	12.9	
	Memur	463	42.7	
	Serbest Meslek	96	8.8	
	Özel Sektör (işveren)	33	3.0	
Diğer	4	0.4		
Gelir durumu	1000 ₺' den az	13	1.2	
	1001-2500 ₺ arası	135	12.4	
	2501-5000 ₺ arası	181	16.7	
	5001-10000 ₺ arası	351	32.4	
	10001 ₺'den çok	54	5.0	
	Belirtmeyen	13	1.2	

- Yaş dağılımlarına göre %8.7'i 20 yaş altı, %22.4'ü 21-30 yaş, %27.2'ini 31-40 yaş, %27.3'nün 41-50 yaş, %12.7'nin 51-60 yaş, %1.8'nin ise 61 yaş ve üstü yaş grubunda olduğu çoğunluğunun 21-60 aralığında toplandığını (%76.9) görülmektedir. Araştırmamıza katılanların çoğunlukla genç ve evli kişilerin katılmış olduğunu söylenebilir.
- Eğitim düzeylerine göre bakıldığında; %17.1'nin ortaöğretim ve %18,3'nün lise mezunu, %37.2'inin ön lisans mezunu, %13,6'nın lisans mezunu, %9.3'ünün yüksek lisans ve %4.4'ünün doktora mezunu ya da %13.7 Lisansüstü mezun olduğu görülmüştür. Bu durum bize ankete katılan her eğitim düzeyinden insanın mobil bankacılık kullanabildiğini göstermektedir.
- Gelirlerine göre 1000 ₺'den az geliri olanlar %1.2, geliri 1001-2500 ₺ arası olanlar %12.4, geliri 2501-5000 ₺ arası olanlar %16.7, geliri 5001-10000 ₺ arası olanlar %32.4, geliri 10001 TL'den çok olanlar %5.0, gelir durumunu belirtmeyenlerin %1.2 olduğu görülmektedir. Katılımcıların çoğunluğunun 1001 ₺ ile 10000 ₺ arasına gelir düzeyine sahip kişilerden oluştuğunu söylemek mümkündür.
- Mesleklerine göre %42.7'nin memur, %15.7'nin öğrenci, %12.9'nun işçi, %8.8'nin serbest meslek, %6.8'nin emekli, %3'nün işveren iken geriye kalan %10.1'nin çalışmayan, işsiz, esnaf ve diğer mesleklerden olduğu görülmüştür. Memur, öğrenci ve işçilerin diğer meslek gruplarına göre daha fazla internet kullanan meslekler olduğu söylenebilir. Meslekler arası bu farklılığın nedeni bazı meslekleri icra edenlerin az bulunuyor olması veya o mesleğin karakteristik özelliğinden dolayı olmuş olabilir.

Tablo 4. Katılımcıların Mobil Bankacılığa Yönelik Kullanım Durumları

Mobil Bankacılık Kullanım Sıklığı	f	%
Her gün	297	27.4
Haftada birkaç kez	581	53.5
Ayda bir kez	12	1.1
3 ayda bir	182	16.8
Ayda birkaç kez	13	1.2

Mobil bankacılığı kullanım sıklığı olarak %53.5 haftada birkaç kez, %27.4 her gün ve üç ayda bir %16.8 kullandıkları görülmüştür. Çoğunluğu mobil bankacılığı kullanma sıklığı günlük ve haftalıktır.

Tablo 5. Mobil Bankacılık Kullanıcılarının Sırasıyla En Çok Tercih Ettiği Bankalar

Tercih Sırası	İlk tercih edilen Banka		Birinci Tercihin Ardından Sırasıyla Tercih Edilen Bankalar				1.2.3. tercihte En çok tercih edilen bankalar	
	1.	2.	3.					
Bankalar	f	%	f	%	f	%	f	%
T.İş Bank.	189	17.4	171	15.8	36	3.3	396	20
T.Ziraat Bank.	129	11.9	111	10.2	71	6.5	311	16
Garanti Bank.	144	13.3	35	3.2	12	1.1	191	10
Yapı Kredi Bank.	37	3.4	88	8.1	56	5.2	181	9
Ak Bank	175	16.1	1	.1	0	0	176	9
ING Bank.	136	12.5	38	3.5	0	0	174	9
T.Halk Bank.	83	7.6	50	4.6	26	2.4	159	8
T.ekonomi Bank.	22	2.0	34	3.1	53	4.9	109	6
QNB Finans Bank	72	6.6	30	2.8	6	.6	108	6
T.Vakıflar Bank.	34	3.1	51	4.7	22	2.0	107	5
Deniz Bank	53	4.9	16	1.5	0	0	69	4
Diğer	4	.4	6	.6	6	.6	16	1
Total	1085	100	1085	100	1085	100	1997	10

Tablo 5, katılımcıların mobil şubelerinden yaptıkları işlemlerde tercih ettikleri bankaları göstermektedir. Buna göre örneğin ilk tercihte İş Bankası'nı (%17,4) tercih edenler ikinci sırada Ak Bank'ı (%16,1), üçüncü sırada Garanti Bankası'nı (%13,3) ve dördüncü sırada ING Bank'ı (%12,5) tercih etmişlerdir. Benzer şekilde, mobil işlem yaparken ilk tercih ettikleri bankaya göre hangi bankaların diğer tercih edilen bankalar olduğu da tablodan görülebilmektedir.

Tablo 6. Öğrenim Durumuna Göre Mobil Şubesi Üzerinde En Çok Yapılan İşlemler

Eğitim Düzeyi	Yararlanılan Hizmet Türleri														
	Hesap Kontrol		Para Transferi		Ödeme İşlemleri		Kredi Kartı İşlemleri		Yatırım İşlemleri		Kredi İşlemleri		Diğer İşlemleri		Tüm. İşl. Ağır. Ort.
	f	%	f	%	f	%	f	%	f	%	f	%	f	%	
Orta Öğretim	35	4	22	2	25	3	20	3	3	1	5	8	0	0	3
Lise	147	16	130	15	126	16	106	15	35	12	12	19	0	0	15
Ön Lisans	171	19	156	18	130	17	115	16	39	13	17	27	1	33	18



Lisans	329	36	346	39	303	39	283	39	114	39	20	31	1	33	38
Yüksek Lisans	131	15	136	15	118	15	115	16	60	20	4	6	0	0	16
Doktora	89	10	100	11	83	11	86	12	43	15	6	9	1	33	11
Toplam	902	100	890	100	785	100	725	100	294	100	64	100	3	100	100

Tabloya bakıldığında öğrenim durumlarına göre mobil bankacılık kullanıcılarının lisans mezunu olanlarının tüm işlemleri %31 ile %39 arasına hemen hemen aynı sıklıkta, ön lisans mezunlarının mobil bankacılığı tablodaki işlemler için %13 ile %27 arasındaki bir sıklıkta daha çok da burada belirtilen işlemler dışında %33 kullandıkları görülmektedir. Lise mezunları mobil bankacılığı %12 ile %19 arasında tamamen tablodaki işlemler için olduğu söylenebilir.

Tablo 7. Yaş Gruplarına Göre Mobil Şubesi Üzerinde En Çok Yapılan İşlemler

Yaşlar	Yararlanılan Hizmet Türleri													
	Hesap Kontrol		Para Transferi		Ödeme İşlemleri		Kredi Kartı İşlemleri		Yatırım İşlemleri		Kredi İşlemleri		Diğer İşlemleri	
	f	%	f	%	f	%	f	%	f	%	f	%	f	%
10-20	74	8	53	6	40	5	36	5	9	3	3	5	0	0
21-30	209	23	198	22	168	21	132	18	57	19	18	28	1	33
31-40	252	28	255	29	241	31	220	30	81	28	25	39	1	33
41-50	241	27	260	29	222	28	225	31	106	36	12	19	1	33
51-60	111	12	110	12	101	13	99	14	34	12	6	9	0	0
61+	15	2	14	2	13	2	13	2	7	2	0	0	0	0
Toplam	902	100	890	100	785	100	725	100	294	100	64	100	3	100

Tabloya göre hesap kontrolü, para transferi, ödeme işlemleri, kredi kartı işlemleri, yatırım işlemleri, kredi işlemleri ve diğer işlemleri için mobil bankacılığı daha çok 21-50 yaş arasındaki katılımcıların kullandığı söylenebilir.

Tablo 8. Mesleğe Göre Mobil Şube Üzerinden En Çok Yapılan İşlemler

Meslekler	Yararlanılan Hizmet Türleri														
	Hesap Kontrol		Para Transferi		Ödeme İşlemleri		Kr. Kartı İşlemleri		Yatırım İşlemleri		Kredi İşlemleri		Diğer İşlemleri		Tüm İşl.
	f	%	f	%	f	%	f	%	f	%	f	%	f	%	%
Memur	391	43	426	48	372	47	373	51	162	55	27	42	0	0	40.9
Öğrenci	133	15	114	13	84	11	61	8	13	4	4	6	1	33	12.9
İşçi	127	14	106	12	98	12	80	11	30	10	19	30	1	33	17.4
S. Meslek	73	8	87	10	77	10	66	9	29	10	4	6	0	0	7.6
Emekli	60	7	49	6	49	6	50	7	20	7	2	3	0	0	5.1
Esnaf	47	5	50	6	47	6	37	5	16	5	2	3	0	0	4.3
İşsiz	36	4	24	3	24	3	24	3	7	2	2	3	1	33	7.3
Diğer	31	3	31	3	28	4	30	4	15	5	3	5	0	0	3.4
Çalışmıyor	4	0	3	0	6	1	4	1	2	1	1	2	0	0	0.7
Toplam	902	100	890	100	785	100	725	100	294	100	64	100	3	100	100

Çeşitli bankaların mobil bankacılık uygulamalarını kullananların %40.9'nun memur, %17.4'ünün işçi, %12.9'unun öğrenci, %7.6'nın serbest çalışanlar, %21.2'inin ise geriye kalan meslekler olduğu söylenebilir. Bu mesleklerdeki kişilerin mobil bankacılığı daha çok hesap kontrolü, para transferi, ödeme işlemleri, kredi kartı işlemleri, yatırım işlemleri, kredi işlemleri ve diğer işlemleri yapmak için kullandıkları görülmektedir.

Tablo 9/a. Mobil Bankacılık Hizmeti Alan Müşteriler Deneyim Kalitesi Ölçeğinin Tüm Boyutlarına İlişkin Görüşlerinin Demografik Özelliklere Göre Analizi Özet Tablosu

Sosyo- Demografik özellikler	İstatistikler	Araştırmanın Boyutları		
		İçsel huzur	Karar anı	Sonuç odaklılık
Cinsiyet	t	0.637	0.665	0.290
	P	.525> $\alpha$ =.05 H <sub>0</sub> kabul	.008< $\alpha$ =.05** H <sub>0</sub> Red	.897> $\alpha$ =.05 H <sub>0</sub> kabul
Medeni durum	t	.980	-1.01	2.085
	P	.327>.05 H <sub>0</sub> kabul	0.271>.05 H <sub>0</sub> kabul	.037<.05** H <sub>0</sub> Red
Yaş	F	2.091	0.392	2.728
	P	.064>.05 H <sub>0</sub> kabul	.854>.05 H <sub>0</sub> kabul	.019<.05** H <sub>0</sub> Red
Öğrenim durumu	F	4.916	2.214	4.027
	P	.000< 0,05** H <sub>0</sub> Red	.048<0,05** H <sub>0</sub> Red	.001< .05** H <sub>0</sub> Red
Meslek	F	2.658	1.343	1.882
	P	.005<.05** H <sub>0</sub> Red	.210>.05 H <sub>0</sub> kabul	.048<.05** H <sub>0</sub> Red
Kullanım sıklığı	F	12.580	3.073	1.726
	P	.000<.05** H <sub>0</sub> Red	.016<.05** H <sub>0</sub> Red	0.142>.05 H <sub>0</sub> Kabul
Gelir Durumu	F	5.051	2.666	1.370
	P	.000<.05** H <sub>0</sub> Red	.031<.05** H <sub>0</sub> Red	.242 > .05 H <sub>0</sub> Kabul

**Tablo 9/b.** Mobil Bankacılık Hizmeti Alan Müşteriler Deneyim Kalitesi Ölçeğinin Tüm Boyutlarına İlişkin Görüşlerinin Demografik Özelliklere Göre Analizi Özet Tablosu

Boyutlar	Yaşlar1	Yaşlar2	p	Boyutlar	Eğitim Düz.1	Eğitim Düz.2	P	Boyutlar	Meslek1	Meslek2	P	Boyutlar	Meslek1	Meslek2	P	Boyutlar	Meslek1	Meslek2	P	Boyutlar	Kull.Sıklık1	Kull.Sıklık2	P	Boyutlar	Kull.Sıklık1	Kull.Sıklık2	P							
SONUCODAKLILIK	10-20	21-30	.002	İCSELHUZUR	Orta Öğretim	Doktora	.000	İCSELHUZUR	Çalışmıyor	Özel Sektör	.018	SONUCODAKLILIK	Öğrenci	Memur	.006	KARARANI	Memur	İşçi	.027	İCSELHUZUR	Her gün	Haftada birkaç kez	.004	SONUCODAKLILIK	Her gün	3 ayda bir	.011							
		31-40	.001			Lisans	.038			Özel Sektör	.029			Diğer	Öğrenci			.005	Her gün			Ayda bir kez	.001			Haftada birkaç kez	3 ayda bir	.048						
		41-50	.005			Ön Lisans	.062		İşçi	.007	Memur		.005		Diğer		3 ayda bir	.000				KARARANI	Her gün		3 ayda bir	.048								
	Lise	Doktora	.000			Memur	İşçi		.041	Diğer	Çalışmıyor		.022	Diğer			Ayda bir kez	.005	KARARANI		Haftada birkaç kez				3 ayda bir	.000	Her gün	3 ayda bir	.002					
		Yüksek Lisans	.016				Özel Sektör		.017		Esnaf		.018		Öğrenci		.042	Diğer				Ayda Birkaç Kez	.033		KARARANI	Haftada birkaç kez		3 ayda bir	.002					
	Ön Lisans	Doktora	.002		Serbest Meslek	Öğrenci	.004		Diğer	Öğrenci	.021		Diğer	3 ayda bir	.000		KARARANI		Her gün		3 ayda bir	.000	Her gün				3 ayda bir	.048						
		Lisans	.001			İşçi	.035			İşçi	.025			İşsiz	.021			Diğer			Ayda Birkaç Kez	.033			KARARANI	Haftada birkaç kez	3 ayda bir	.002	Her gün	3 ayda bir	.002			
	Yüksek Lisans	Doktora	.042		Esnaf	Öğrenci	.043		Diğer	İşsiz	.015		Diğer	Ayda Birkaç Kez	.011		KARARANI		Her gün		3 ayda bir	.011	Her gün				3 ayda bir	.002						
	SONUCODAKLILIK	Boyutlar	Eğitim Düz.1			Eğit.Düz.2	P			Orta Öğretim	Doktora			.001	İCSELHUZUR			Diğer			Memur	.016			SONUCODAKLILIK	Diğer	Memur	.011	KARARANI	Diğer	Memur	.015	İCSELHUZUR	Gelir Düz.1
					Lisans				.000		Diğer		Serbest Meslek	.006			Diğer		Serbest Meslek		.006	KARARANI	1000 TL den Az				10001 TLden Çok	.001			KARARANI	1001-2500 TL Arası		
Lise				.027	Diğer			Özel Sektör	.002			Diğer	Özel Sektör	.002		KARARANI		1001-2500 TL Arası	10001 TLden Çok	.001	KARARANI			1001-2500 TL Arası		5001-10000 TL Arası				.045				
Ön Lisans				.001				Diğer	Emekli		.025		Diğer	Emekli			.025					KARARANI	2501-5000 TL Arası				10001 TLden Çok	.002			KARARANI	2501-5000 TL Arası		1001-2500 TL Arası
Lise				Doktora	.055				Diğer		Esnaflık	.061		Diğer		Esnaflık	.061	KARARANI	1000 TL den Az	10001 TLden Çok	.001			KARARANI		1001-2500 TL Arası				5001-10000 TL Arası				
				Ön Lisans	.081			Diğer		Emekli	.020	Diğer	Emekli			.020	KARARANI					1001-2500 TL Arası	10001 TLden Çok				.001	KARARANI			1001-2500 TL Arası	5001-10000 TL Arası		.045
Yüksek Lisans				.044	Diğer				Esnaflık	.061	Diğer		Esnaflık	.061		KARARANI		2501-5000 TL Arası	10001 TLden Çok	.002	KARARANI			2501-5000 TL Arası		1001-2500 TL Arası				.049				
Lisans				Lise				.015	Diğer	Emekli		.020	Diğer	Emekli			.020					KARARANI	5001-10000 TL Arası				10001 TLden Çok	.001			KARARANI	5001-10000 TL Arası		1001-2500 TL Arası
Yüksek Lisans				Orta Öğretim	.000			Diğer		Esnaflık	.061	Diğer		Esnaflık		.061	KARARANI	1001-2500 TL Arası	10001 TLden Çok	.001	KARARANI			1001-2500 TL Arası		5001-10000 TL Arası				.045				
KARARANI				Boyutlar	Eğitim Düz.1				Eğitim Düz.2	P	Lise		Lisans	.007		Diğer						Esnaflık	.061				Diğer	Esnaflık			.061	KARARANI		2501-5000 TL Arası
	Ön Lisans	.027	Diğer			Emekli	.020	Diğer				Emekli	.020	KARARANI	5001-10000 TL Arası		10001 TLden Çok	.001	KARARANI	5001-10000 TL Arası	1001-2500 TL Arası	.045												
	Yüksek Lisans	Lise				.013	Diğer					Esnaflık	.061										Diğer	Esnaflık	.061	KARARANI		1001-2500 TL Arası	10001 TLden Çok	.001	KARARANI		1001-2500 TL Arası	

H<sub>1</sub>: Mobil bankacılık hizmeti alan müşteriler deneyim kalitesi ölçeğinin tüm boyutlarına ilişkin görüşleri Yaşlarına göre anlamlı bir farklılık göstermektedir.

Mobil bankacılık hizmeti alan müşteriler deneyim kalitesi ölçeğinin sonuç odaklılık boyutu ilişkin görüşleri yaşlar arasında anlamlı bir farklılık göstermektedir. Bu farklılık 10-20 yaş gurubu ile 21-30, 31-40, 41-50 yaş grupları arasındadır.

H<sub>2</sub>: Mobil bankacılık hizmeti alan müşteriler deneyim kalitesi ölçeğinin tüm boyutlarına ilişkin görüşleri cinsiyet değişkenine göre anlamlı bir farklılık göstermektedir.

Elde edilen analiz sonuçlarına göre mobil bankacılık hizmeti alan müşteriler deneyim kalitesi ölçeğinin tüm boyutlarına ilişkin görüşleri cinsiyet değişkenine göre anlamlı bir **farklılık göstermemektedir**. Yani cinsiyete göre müşteriler deneyim kalitesi ölçeğinin tüm boyutlarına ilişkin görüşleri farklı değildir.

H<sub>3</sub>: Mobil bankacılık hizmeti alan müşteriler deneyim kalitesi ölçeğinin tüm boyutlarına ilişkin görüşleri eğitim durumu değişkenine göre anlamlı bir farklılık göstermektedir.

Mobil bankacılık hizmeti alan müşterilerin deneyim kalitesi ölçeğinin tüm boyutlarına ilişkin görüşleri eğitim durumu değişkenine göre “İçsel Huzur” ve “Sonuç Odaklılık” alt boyutlarında arasında anlamlı bir farklılık gösterirken “Karar Anın” alt boyutunda anlamlı görüş farklılığı yoktur. Yine “Müşteri Tatmini” boyutu eğitim durumu değişkenine göre görüş farklılığı gösterirken “Müşeri Sadakati” boyutunda anlamlı bir görüş farklılık görülmemiştir.

İçsel huzur boyutunda doktora eğitim düzeyine sahip olanlar ile yüksek lisans eğitim düzeyindekiler hariç diğer bütün eğitim düzeylerinden farklı olduğu görülmüştür.

Sonuç Odaklılık boyutunda doktora eğitim düzeyine sahip kişilerin yüksek lisans eğitim düzeyi hariç diğer bütün eğitim düzeylerinden farklı olduğu görülmüştür.

Orta öğretim eğitim düzeyi ile ön lisans, lisans, yüksek lisans ve doktora eğitim düzeylerinin farklılığından, lise eğitim düzeyi ile lisans, yüksek lisans ve doktora eğitim düzeylerinin farklılığından, ön lisans eğitim düzeyi ile doktora eğitim düzeyinin farklılığından, lisans eğitim düzeyi ile doktora eğitim düzeyinin farklılığından, doktora eğitim düzeyi ile orta öğretim, lise, ön lisans, lisans eğitim düzeylerinin farklılığından kaylandığını söyleyebiliriz.

H<sub>4</sub>: Mobil bankacılık hizmeti alan müşteriler deneyim kalitesi ölçeğinin tüm boyutlarına ilişkin görüşleri meslek değişkenine göre anlamlı bir farklılık göstermektedir.

Bu farklılıklar diğer meslek gruplarında çalışanların, çalışmayanlar hariç araştırmamızda belirlenen tüm meslek gruplarından farklı görüşte olduğu görülmüştür. Bunun dışında çalışmayanlar ile özel sektörde iş yapanlar, öğrenciler ile memur, serbest meslek, özel sektörde meslek icra edenler; işçiler ile serbet meslek, diğer, özel sektörde meslek icra edenler; memurlar ile işçi özel sektörde meslek icra edenlerin de görüşleri birbirinden farklıdır.

H<sub>5</sub>: Mobil bankacılık hizmeti alan müşteriler deneyim kalitesi ölçeğinin tüm boyutlarına ilişkin görüşleri aylık ortalama gelir değişkenine göre anlamlı bir farklılık göstermektedir.

İçsel huzur boyutunda 10001₺’ den çok geliri olanların diğer bütün gelir düzeylerindekiyle farklı görüşte olduğu görülmüştür. Sonuç Odaklılık boyutunda geliri 1000₺’den az olanların geliri 2501-5000 ile geliri 5001-10000₺ arasında olanlardan farklı görüşte ve geliri 2501-5000 ₺ olanların geliri 1001-2500 ₺ arasında olanlardan farklı görüşe sahiptirler. Karar Anı boyutunda ise gelir düzeyleri arasında görüş farklılığı yoktur.

H<sub>6</sub>: Mobil bankacılık hizmeti alan müşteriler deneyim kalitesi ölçeğinin tüm boyutlarına ilişkin görüşleri eğitim düzeyi değişkenine göre anlamlı bir farklılık göstermektedir.

#### 4. SONUÇ

Bu çalışmada internet ve mobil bankacılığına yönelik finansal hizmet kalitesi değerlendirilmesi yapılmıştır.

Araştırma kapsamında elde edilen sonuçlar aşağıda özetlenmiştir:

Oransal olarak erkeklerin %58’inin kadınların ise %42’sinin mobil bankacılığı hesap kontrolü-para transferi-ödeme işlemleri-kredi kartı işlemleri için kullandıkları ve aradaki %16’lık farkın erkeklerin kadınlara nazaran daha çok kredi kartı ödemede kullanmasından kaynaklandığını,

Erkeklerin %64'ü kadınların ise % 36'sı mobil bankacılığı hesap kontrolü-para transferi-ödeme işlemleri-kredi kartı işlemleri-yatırım işlemleri için kullandıkları ve bu farkın erkeklerin yatırım işlemleri ile daha çok ilgilenmelerinden kaynaklandığı söylenebilir. Öte yandan kadınların mobil bankacılık işlemi olarak erkeklere göre daha fazla hesap kontrolü-para transferi-ödeme işlemlerini birlikte kullandıkları ayrıca kadınların hesap kontrolü-kredi kartı işlemlerini birlikte erkeklere göre %63 daha fazla kullandıkları tespit edilmiştir.

Medeni durumlarına göre evli olanlar mobil bankacılığı bekâr olanlara göre %39 aha fazla ve hesap kontrolü-para transferi-ödeme işlemleri-kredi kartı işlemleri için kullanmaktadır. Yine evli olanlar bütün bu işlemlerin yanı sıra yatırım işlemleri için %45 oranında bekârlara göre daha fazla mobil bankacılığı kullanmaktadır. Medeni hale gör bir diğer kullanım şekli hesap kontrolü-para transferi-ödeme işlemleri-kredi kartı işlemleri-kredi işlemleri şeklindedir. Burada evli olanlar bekâr olanlara göre %37 oranında daha fazla kullandıkları görülmüştür.

Yaşa göre mobil bankacılık ile yapılan işlemler incelendiğinde, 10-20 yaş arasındakileri en çok hesap kontrolü işlemleri; 21-30 yaş arasındakilerin hesap kontrolü-para transferi-ödeme işlemleri-kredi kartı işlemleri-yatırım işlemleri; 31-40 yaş, 41-50 yaş, 51-60 yaş aralığında olanların ve 61 yaş üstündekilerin mobil bankacılığı en çok hesap kontrolü-para transferi-ödeme işlemleri-kredi kartı işlemleri için kullandıkları görülmüştür.

Meslek durumuna göre mobil bankacılığı **hesap kontrolü-para transferi-ödeme işlemleri-kredi kartı işlemleri-yatırım işlemleri** için en çok kullananların memurlar olduğu görülürken, **hesap kontrolü-para transferi-ödeme işlemleri-kredi kartı işlemleri için** işçi, serbest meslek, öğrencilerin hemen hemen aynı oranda kullandıkları; çalışmayan kişilerin mobil bankacılığı sadece ödeme işlemleri için kullandıkları tüm meslek gruplarının mobil bankacılığı **hesap kontrolü-para transferi-ödeme işlemleri-kredi kartı işlemleri-yatırım işlemlerinde** öncelikle kullandıkları tespit edilmiştir.

Öğrenim durumuna göre mobil bankacılık yoluyla lisans mezunlarının **hesap kontrolü-para transferi-ödeme işlemleri-kredi kartı işlemleri-yatırım işlemleri**; lise, ön lisans, yüksek lisan ve doktora mezunlarının daha çok **hesap kontrolü-para transferi-ödeme işlemleri-kredi kartı işlemleri**; orta öğretim, lise, ön lisans mezunlarının en çok hesap kontrolü işlemi olduğu görülmüştür.

Gelir durumlarına göre **hesap kontrolü-para transferi-ödeme işlemleri-kredi kartı işlemleri-yatırım işlemleri** yapanların gelir durumu 5000-10000' le arasında olanların; ikinci sırada ise **hesap kontrolü-para transferi-ödeme işlemlerini** en çok yapanların geliri 1001-2500 ile 2501-5000 arasında olanların; geliri 1000 ₺'den az olanlar hesap kontrolü işlemi yaptığı tespit edilmiştir.

ANOVA testine göre;

**Para transferi, ödemeler, kredi kartı işlemleri, yatırım işlemleri** yapılmasında bütün öğrenim düzeylerine göre anlamlı farklılıklar bulunmaktadır. Bu farklılıkların tüm öğrenim düzeyleri arasında olduğu görülmüştür.

**Para transferi, ödemeler, kredi kartı işlemleri, yatırım işlemleri** yapılmasında bazı gelir düzeylerine göre anlamlı farklılıklar bulunmaktadır. Bu farklılıkların para transferi işlemlerinde 1001₺'nin üzerindekiiler arasında, ödeme işlemleri ve kredi kartı işlemlerinde 2501₺'nin üzerindekiiler arasında; yatırım işlemlerinde 5001'nin üzerindekiiler arasında olduğu görülmüştür.

**Para transferi, ödemeler, kredi kartı işlemleri, yatırım işlemleri** yapılmasında bazı yaş sınıflarına göre anlamlı farklılıklar bulunmaktadır. Bu farklılıkların **para transferi işlemlerinde, ödeme işlemleri ve kredi kartı işlemlerinde** 21-30, 31-40, 41-50, 51-60 yaş sınıfları arasında; yatırım işlemlerinde 31-40 ile 41-50 yaş sınıfları arasında olduğu görülmüştür.

**Para transferi, ödemeler, kredi kartı işlemleri, yatırım işlemleri** yapılmasında bazı mesleklere göre anlamlı farklılıklar bulunmaktadır. Bu farklılıkların **para transferi işlemlerinde**, çalışmayan ve diğer mesleklerde olanlar ile emekli, esnaf, öğrenci, işçi, memur, serbest meslek icra edenler arasında olduğu; **ödeme işlemleri, kredi kartı işlemleri** öğrenciler ile tüm meslek grupları arasında farklılık, memurlar ile çalışmayanlar, emekliler, öğrenciler, işsizler ve işçiler arasında, serbest meslek ile çalışmayan, emekli, öğrenci, işsizler arasında anlamlı bir farklılık bulundu, yatırım işlemleri, kredi işlemleri ve diğer işlemlerde ise meslek sınıfları arasında anlamlı bir farklılığın olmadığı görülmüştür.

**Para transferi işlemi**ni her gün yapanlar ile ayda bir kez ve üç ayda bir yapanlar arasında, ayda birkaç kez yapanlar ile ayda bir kez ve üç ayda bir yapanlar arasında, ayda bir kez yapanlar ile her gün ve haftada birkaç kez yapanlar arasında anlamlı farklılıklar olduğu, ödeme işlemlerinde her gün kullananlar ile üç ayda bir kullananlar arasında, haftada birkaç kez kullananlar ile üç ayda bir kullananlar arasında anlamlı farklılığın olduğu görülmüştür.

**Ödeme işlemleri** açısından her gün kullananlar ile üç ayda bir kullananlar; haftada birkaç kez kullananlar ile üç

ayda bir kullananlar; üç ayda bir kullananlar ile her gün haftada birkaç kez, ayda birkaç kez kullananlar arasında anlamlı bir farklılık bulunmaktadır.

**Kredi kartı işlemlerinde** her gün mobil bankacılığı kullananlar ile haftada birkaç kez, ayda bir kez, üç ayda bir kullananlar arasında anlamlı bir farklılığın olduğu görülmüştür.

**Yatırım işlemleri** için mobil bankacılığın kullanımını açısından her gün kullananlar ile haftada birkaç kez, üç ayda bir, ayda birkaç kez kullananlar arasında anlamlı farklılıklar olduğu görülmüştür.

**Kredi işlemlerinde ve diğer işlemlerde** mobil bankacılığın kullanımında kullanım sıklığı açısından anlamlı farklılıklar bulunmamaktadır.

Katılımcılar arasındaki mobil bankacılık kullanım farklılıklarının gelir düzeyleri yükseldikçe, mesleğe göre kazançlar değiştiğinde, öğrenim düzeylerine göre finansal işlemlere olan ilgi arttıkça, cinsiyet, medeni hal durumlarında da harcama tercihleri değiştiğinde ortaya çıktığı söylenebilir. Kişilerin gelir seviyesi yükseldikçe harcamalar artar veya çeşitlenir. Bu yüzden mobil bankacılığın nasıl ve ne kadar kullanılacağı ile ilgili en temel hususun gelir seviyesi olduğu da unutulmamalıdır.

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## Sanal Gerçeklik Uygulamalarının Çalışanların İş Sağlığı ve Güvenliği Eğitimlerinde Kullanımı

Müzeyyen Çınar ŞEN <sup>1</sup>

Doç. Dr. Teoman AKPINAR <sup>2</sup>

<sup>1</sup> T.C. Tekirdağ Namık Kemal Üniversitesi, Sosyal Bilimler Enstitüsü, Endüstriyel İlişkiler ve İnsan Kaynakları Yönetimi Anabilim Dalı, Yüksek Lisans Öğrencisi, 2208358155@nku.edu.tr, ORCID:0000-0001-6979-5989

<sup>2</sup> T.C. Tekirdağ Namık Kemal Üniversitesi, Çorlu MYO, takpinar@nku.edu.tr, ORCID: 0000-0002-2205-1584

**Özet:** Bilgi çağı, büyük bir hızla günlük hayatta yer edinmeye başlamıştır. Öyle ki öğrenebilen makineler, sürücü olmadan hareket edebilen araçlar, tüketici ile sohbet imkânı sunan yazılımlar, robotik cerrahi uygulamaları gibi örneklerini sıralayabileceğimiz dijitalleşen Dünyada kabul edilmelidir ki hala başrol insana aittir. Bilgiye değer katan ve onu anlamlandıran insan, her dönemin en değerli kaynağı olmayı sürdürürken her sene çok sayıda insan iş kazası ve meslek hastalıkları nedeniyle hayatını kaybetmekte veya çalışma gücünden olmaktadır. Devamlılığı amaçlayan işletmeler, insanların meslekleri nedeniyle maruz kaldıkları riskleri azaltmak, verimliliği engelleyen unsurları minimuma indirmek, iş sağlığı ve güvenliği alanındaki çalışmalarını artırmak için teknolojik yatırımlarını her geçen gün artırmaktadır. İş sağlığı ve güvenliği kapsamında gerçekleştirilen çalışmalar ve eğitimler genel anlamda yalnızca teoriden ibarettir. Uygulamalı eğitimlerin bu anlamda riskli olduğu belirtilmektedir. Ancak, yaşanan teknolojik gelişmeler her alanda olduğu gibi eğitim ve öğrenme alanlarında da etkisini göstermektedir. Yaşanan bu gelişmeler ile bireylerin öğrenme sürecinde aktif rol üstlendiği ortamlar geliştirilerek öğretimin kalitesi ve etkinliği artırılmaktadır. Son zamanlarda hızlı gelişim gösteren sanal gerçeklik teknolojisi de öğretim yöntemlerinde yeni bir deneyim imkânı sunmaktadır. Bu çalışma ile amaçlanan iş sağlığı ve güvenliği açısından çalışanların çok daha anlaşılır ve kalıcı bilgiler edinmelerini sağlamak amacıyla sanal gerçeklik uygulamalarının verilmesinin, verilen bu eğitim uygulamalarının tehlikelerden korunma açısından önemini incelemek ve sanal gerçeklik ile deneyimsel öğrenme tekniğini ortaya koymaktır.

**Anahtar Kelimeler:** Sanal gerçeklik, iş sağlığı ve güvenliği, deneyimsel öğrenme.

### Virtual Reality Applications Educational Use in Occupational Health and Safety

**Abstract:** The information age has started to take place in daily life with great speed. So much so that learning machines, vehicles that can move without a driver, software that offers the opportunity to chat with the consumer, robotic surgery applications, etc. It should be accepted that the leading role belongs to the human being in the digitalized world. While the human being, who adds value to information and makes sense of it, continues to be the most valuable resource of every period, many people die every year due to work accidents and occupational diseases, or they lose their working power. Businesses aiming at continuity increase their technological investments day by day in order to reduce the risks people are exposed to due to their profession, to minimize the factors that hinder productivity, and to increase the work in the field of occupational health and safety. Studies and trainings carried out within the scope of occupational health and safety are generally only theoretical. It is stated that applied trainings are risky in this sense. However, technological developments show their effects in education and learning areas as in every field. With these developments, the quality and effectiveness of teaching are increased by developing environments where the student takes an active role in the learning process. Virtual reality technology, which has been developing rapidly recently, also offers a new experience in teaching methods. The aim of this study is to examine the importance of giving virtual reality applications, the effect of these training applications on the prediction of danger in order to provide employees with much more understandable and permanent information in terms of occupational health and safety, and to reveal the virtual reality and experiential learning technique.

**Keywords:** Virtual reality, occupational health and safety, experiential learning.

### 1. GİRİŞ

Çalışanların İş Sağlığı ve Güvenliği Eğitimlerinin Usul ve Esasları Hakkında Yönetmelik kapsamında iş sağlığı ve güvenliği eğitimlerinin en temel amacı iş yaşamlarında gerek sağlıklı gerekse güvenli bir çalışma ortamının yaratılması, iş kazaları ve meslek hastalıklarının minimuma indirilmesi, çalışanların ve işverenlerin çalışan hakları konusunda bilgilendirmenin sağlanması ve iş sağlığı ve güvenliği bilincinin oluşturulmasıdır. İş sağlığı ve güvenliğinde üzerinde durulan en önemli konu çalışma ortamlarının sağlıklı ve güvenli hale getirilmesidir. Bu kapsamda taraflar arasında gerçekleştirilecek birlik ile eğitimlere yönelik farkındalığın artırılması gerekmektedir. Sağlıklı ve güvenli bir iş yeri açısından eğitim büyük önem teşkil etmektedir. İş yerindeki tehlikelerden korunma, riskleri öngörme konusunda da eğitim, proaktif yaklaşımın en önemli basamağı olarak kabul edilmektedir (Ekemen, 2006). Son 30 yıldır yaşanan Bilgi Devrimi ile birlikte günlük yaşamda farklı gelişmelerden bahsetmek mümkündür. Ekonomik, sosyal, politik ve kültürel anlamda meydana gelen dönüşümler sonucunda insan ve

işlevsel bilgi özellikle ekonomik faaliyetlerde önemli üretim girdisi halini almıştır. Geleneksel üretimde kullanılan doğal kaynaklar bilgi sayesinde elde edilmektedir. Günümüzde işletmelerin devamlılıklarını sağlayabilmeleri, büyüebilmeleri için bilgi üretimine katkı sağlayan ve onu kullanan insana yatırım yapmaları zorunluluk arz etmektedir (Drucker, 2012). İş sağlığı ve güvenliğinin sağlanması da insana yapılabilecek en önemli yatırımlardan biridir. Bu konuda hem işverenlerin hem de çalışanların farkındalıklarını artırmak, bilgi seviyelerini geliştirmek büyük önem arz ederken iş sağlığı ve güvenliği konusundaki eğitimlerin artırılması, uygulamaların kapsamının genişletilmesi de son derece mühimdir. Teknolojide yaşanan gelişmeler ile birlikte ortaya çıkan sanal gerçeklik uygulamaları eğitimlerin ve uygulamaların teori ötesine geçerek pratiğe dönüşmesine imkân vermektedir. İş sağlığı ve güvenliğine yönelik sanal gerçeklik uygulamaları hem öğretici hem de öğrenen açısından büyük faydalar sağlarken aynı zamanda işyerlerindeki olası risklerin ve tehlikelerin belirlenmesinde de önemli rol üstlenmektedir (Kaya, 2019). Teknoloji alanında yaşanan gelişmeler her alanda olduğu gibi eğitim alanında da radikal değişimleri beraberinde getirmiştir. Öğrencilerin öğrenme sürecine aktif katılım sağlamasına yardımcı olan bu gelişmeler aynı zamanda eğitim kalitesini artırmaktadır. Son zamanlarda çeşitli çalışmalarda adının sıklıkla duyulmaya başlandığı sanal gerçeklik kavramı da öğretim yöntemlerine farklı bir bakış açısı getirmiştir (Kayabaşı, 2005). Bu çalışmada iş sağlığı ve güvenliği kapsamında çalışanların teorik eğitimleri yanında uygulamalı eğitimleri üzerinde durulurken normal koşullarda çalışanlar tarafından eğitim süreçlerinde deneyimlenmesi mümkün olmayan iş sağlığı ve güvenliğine yönelik tehditlerin ve tehlikelerin sanal gerçeklik uygulamaları ile tecrübe edilmesi ele alınmıştır.

## 2. SANAL GERÇEKLİK

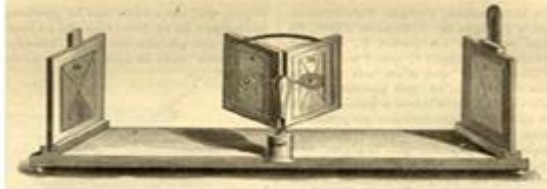
### 2.1. Sanal gerçeklik Kavramı

Gerçek Dünya ile ilgili ortamların bilgisayar ile üç boyutlu benzerlik yönteminden yararlanılarak oluşturulduğu, kullanıcıların bu benzerlik içine girebilir teknolojiler aracılığı ile girebildiği ve duygusal bağ kurabildiği sistemler sanal gerçeklik olarak ifade edilmektedir. Bu kapsamda sanal gerçeklik uygulamalarının, kullanıcı bilgisayarları tarafından meydana getirilen sanal dünyalara girebilmelerini, orada deneyimler kazanmalarını ve orayı kendilerine göre yönlendirebilmelerini sağlayan bir ortam sunduğunu söylemek mümkündür (Deryakulu, 1999). Sanal gerçeklik uygulamalarında kullanıcı zihinsel olarak gerçek ortamdaki ayrılarak üç boyutlu olarak meydana getirilen sanal dünya içerisine girmektedir. Orada dolaşabilme imkânına sahip olan kullanıcı aynı zamanda nesnelere etkileşime girerek deneyim kazanabilmektedir. Gerçek dünyanın bir taklidi olarak gerçekleştirilen sanal gerçeklik, kullanıcılarına gerçek dünya hissiyatı sunmaktadır. Meydana getirilen bu yapay ortamlarda kullanıcılar gerçek dünyadakine benzer olaylar yaşamakta, verdikleri tepkilere karşılık alabilmektedir. Böylece gerçek dünyada maruz kalınması muhtemel deneyimler için yapay dünya üzerinde tecrübe kazanmak mümkün hale gelmektedir (Kayabaşı, 2005).

### 2.2. Sanal Gerçekliğin Tarihsel Gelişimi

Günümüzde oldukça yeni bir kavram olan sanal gerçekliğin temel amacı iki boyutlu resim ya da figürleri üç boyutlu hale getirmektir. Eski Yunan'da sağ ve sol gözün bakış açısının farklı olduğu sonucuna ulaşılarak "stereo" kavramı ilk defa anılmıştır. Göreceli anlamda kullanılan stereo kavramının temeli resim ve fotoğraf tekniklerine dayanmaktadır. Charles Wheatstone tarafından 1838 senesinde ilk stereo görüntüleyicisi olarak belirtilen "stereoscope" icat edilmiştir (Wheatstone, 2006).

Şekil 1: Charles Wheatstone Tarafından İcat Edilen Stereostope

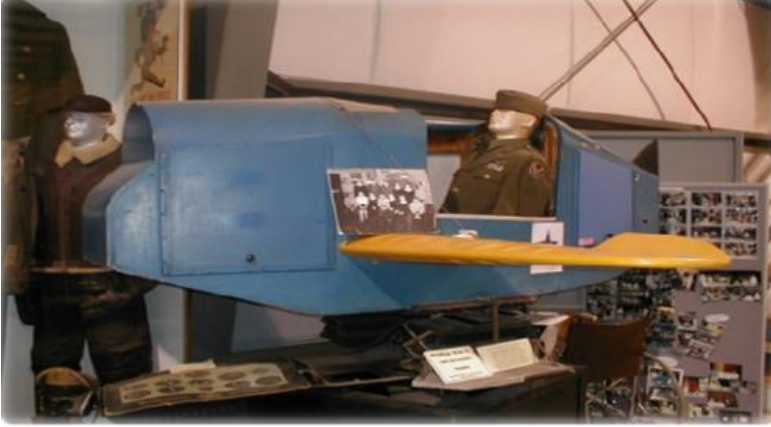


Kaynak: Şekerci, 2017: 1127.

20. yüzyılda kullanılan benzetim teknolojisi üç boyutlu çalışmaları daha kompleks bir yapı haline getirmiştir. Pilotların ihtiyaçlarını karşılamak amacıyla oluşturulan "Mavi Kutu" benzetim teknolojisi kullanılarak üretilen ilk sanal gerçeklik ürünlerinden birisidir (Şekerci, 2017).



Şekil 2: Mavi Kutu



Kaynak: Şekerci, 2017: 1128.

Norbert Wiener tarafından 1948 senesinde gerçekleştirilen çalışmada mesajların insandan makineye ya da makineden makineye iletiildiği "Cybernetics" kavramı gündeme getirilmiştir. Bu kavram ile Wiener, insan ve makine arasındaki etkileşimin günlük hayatı da etkileyeceğini dile getirmiştir. 1950'li senelerde Morton Heilig tarafından sinemadaki tüm duyuların çeşitli yöntemlerle izleyiciye aktarılması gerektiği savunulmuş ve bu düşünce doğrultusunda "sensorama" isimli aletin icatı gerçekleştirilmiştir. Dönem içerisindeki önemli icatlar arasında yer alan sensorama, izleyiciyi bir koltuğa oturtturarak cihaz başlığı kafasına yerleştirilmektedir. Böylelikle kişiler filmleri üç boyutlu izleme şansı yakalamaktadır (Şekerci, 2017).

Şekil 3: Sensoroma



Kaynak: Şekerci, 2017: 1129.

Myron Krueger tarafından 1970'li senelerin başında yapılan çalışmada insan-bilgisayar etkileşimi üzerinde durulmuş ve kişilerin hareketlerine, jest ve mimiklerine karşılık veren sanat sistemlerin oluşturulması hedeflenmiştir. Aynı senenin ortalarında sanal gerçeklik uygulamaları ile içinde bulunulan yapay ortamın doğal ortam gibi algılanması sağlanmıştır. Krueger bu durumun oluşturulması için vücuda reseptörler takarak yapay ortamın doğal algılanması için içi su ve fosfor dolu birbirinden değişik renklere sahip tüpleri odanın dört köşesine yerleştirmiştir (Vajpeyi, 2001).

Aynı sene içerisinde yine Krueger tarafından geliştirilen "Videoplace" çalışması da dönemin önemli sanal gerçeklik çalışmaları arasında yer almaktadır. Bu çalışma ile amaçlanan ekrandaki objeler ile izleyicilerin görüntüsü arasında bir etkileşim sağlayabilmektedir. Bu amaç doğrultusunda katılımcının videoya yüzü döndürülürken, arkadaki ekran da katılımcıyı tanımlamaktadır. Katılımcı görüntüsü sayısallaştırılarak silueti oluşturulmakta ve katılımcı

hareketleri algılanmaktadır. Bu işlemler ardından sistem, katılımcıların hareketlerine görsel ve işitsel kombinasyonlar ilave etmekte ve farklı sunumlar ortaya çıkmaktadır (Vajpeyi, 2001).

Şekil 4: Videoplace Uygulamaları



Kaynak: Şekerci, 2017: 1130.

Yaşanan teknolojik gelişmeler ile birlikte 1982 senesinde “siberuzay” kavramı William Gibson tarafından gündeme gelmiştir. İnsanların bilgi zeminine dayanarak mekanı yönlendirmesini sağlayan sonsuz bir yapay dünya olarak ifade edilen siberuzay kavramı, zaman-mekan sınırını ortadan kaldırmaktadır. 1990’lı senelerde, yeni yeni kavramı ortaya çıkan sanal gerçeklik alanının yalnızca akademik ve profesyonel girişimler ışığında özgün ürünlerin verilebileceği bir alandır. Yoğun bir uzmanlaşma gerektiren bu alanda yirminci yüzyılın sonlarına doğru yüksek teknolojik yenilikler ile gelişim göstermeye devam etmektedir (Şekerci, 2017).

### 2.3. Sanal gerçeklik Kullanım Alanları

Eski dönemlerde sadece uzay araştırmalarında üzerinde durulan bir kavram olan sanal gerçeklik, bugün hemen hemen tüm alanlarda kullanım imkânı yakalamıştır. Sürücülerde alkol kullanımının değerlendirilmesi, hekim ve cerrahi eğitimler, fobisi olan insanların tedavisi, arkeolojik çalışmalar, eğitim ve iş sağlığı ve güvenliği kullanıldığı önemli alanlar arasında yer almaktadır (Yamamoto vd., 2018).

#### 2.3.1. Sanal gerçeklik Uygulamalarının Eğitimdeki Yeri ve Önemi

Sanal gerçeklik uygulamalarında meydana gelen hızlı gelişim süreci yaygın kullanımına da imkân sağlamıştır. Özellikle sanal gerçekliğe eğitim alanında olan ilgiyi artıran bu gelişmelerle alakalı çalışmalar sanal gerçekliğin eğitimde büyük avantajlar sağladığını savunmaktadır. Sanal gerçeklik ortamlarında hem görsel hem işitsel uyarıların yanında etkileşim imkânının da sunulması öğrencilerin beş duyu organlarını harekete geçirmektedir (Kayabaşı, 2005). Sanal gerçeklik teknolojik bir eğitim olarak ifade edilirken öğrenciler için simülasyon olarak oluşturulmuş bir çalışma ortamı sunmaktadır. Böylelikle dersleri anlamaları konusunda güçlü bir sistemden bahsetmek mümkündür. Öğrenmeyi somut bir hale getiren sanal gerçeklik bir senaryo içerisinde insanlar ya da ekipmanlar ile öğrencilerin etkileşim içerisinde olmasına imkân verirken aynı zamanda konu hakkında deneyim kazanılmasını sağlamaktadır. Normal öğrenme ortamlarında pasif bir şekilde gözlem olarak gerçekleşen öğrenme, sanal gerçeklik uygulamaları ile deneysel öğrenmeye dönüşmektedir. Günümüzde karşılaştırılan normal sınıflar ile sanal sınıflar arasındaki farklardan en önemlisinin aitlik duygusunun daha yüksek olduğudur. Öğrencilerin daha motive bir şekilde çalışmasını sağlayan sanal sınıf ortamları aynı zamanda öğrencilerin akademik başarılarını da olumlu yönde etkilemektedir. Günümüz sınıf ortamında öğrenilen bilgilere kıyasla sanal gerçeklik uygulamalarında öğretilen bilgilerin daha kalıcı olduğu belirtilmektedir. Öğrencilerin çalışma ortamlarında aktif rol alması, üretkenliklerini ve hayal güçlerini artırmakta aynı zamanda olaylara gerçekçi bir bakış açısı ile yaklaşmalarına yardımcı olmaktadır (Özdemir, 2016).

Öğretim hayatı içerisindeki uygulamalardan bazıları güvenilir ve ekonomik değildir. Mekanik sistemler ile tehlikeli yerlerde çalışılmasının gerektiği durumlarda gerçek ortamları temsil eden sanal ortamlara gereksinim duyulması kaçınılmazdır. Bu ortamların oluşturulması hem güvenlik hem de ekonomik açıdan büyük yarar sağlayacaktır. Eğitim hayatı içerisinde sanal gerçeklik uygulamaları bu nedenle birçok avantajı da beraberinde getirmektedir.

Bilgiye erişimin olmadığı yerlerin incelenmesi, çalışmanın mümkün olmadığı yerlerde tehlike altında olmadan çalışabilme ve somut deneyim sağlama en önemli avantajlar arasındadır (Arıcı, 2013). Yapılan bir çalışmada uçma fobisine sahip olan kişilerde sanal gerçeklik uygulaması ile bir eğitim verilmiştir. Çalışma sonucunda sanal gerçeklik uygulamaları ile eğitim alan kişilerin normal eğitim alan kişilere göre fobilerini yenme konusunda daha fazla ilerleme kaydettikleri gözlemlenirken sanal gerçeklik teknolojisinin eğitim alanındaki kullanımının önemi bir kere daha vurgulanmıştır (Topuz, 2018).

Tablo 1: Çoklu Öğrenme Ortamı

Öğrenmede Kullanılan Duyu Organları	Öğrendiklerini Hatırlama Oranı
Okuma	% 10
İşitme	% 20
Görme	% 30
Görme ve Duyma	% 50
Görme, Duyma, Konuşma	% 80
Görme, Duyma, Konuşma, Dokunma	% 90

Kaynak: <https://slideplayer.biz.tr/slide/13851323/> , Erişim Tarihi: 09.02.2022

Yukarıda yer alan Tablo 1’de de görüleceği üzere insanlar görebildiklerinin, işitebildiklerinin, temas edebildiklerinin ve söyleyebildiklerinin yüzde doksanını hatırlamaktadır. Böylelikle eğitim kalitesi yükseltilmektedir. Eğitimlerin sanal gerçeklik uygulamaları ile daha somut hale getirilmesi kaçınılmazdır. Aynı zamanda bu uygulamalar ile eğlenceli hale getirilebilen dersler ile öğrencilerin odaklanması daha kolay hale getirilebilecektir. Eğitim alanında sanal gerçeklik uygulamalarının kullanılması eğitim ve öğretim hayatı için umut vaat eden bir teknoloji olmasının yanında öğrenme çıktıları da olumlu yönde etkileyecek dinamik bir deneyim ortamı sunmaktadır.

### 2.3.2. İş Sağlığı ve Güvenliğinde Sanal gerçeklik Uygulamalarının Rolü ve Önemi

Sanal gerçeklikte (VR, sanal gerçeklik) insanlar simüle edilmiş bir ortamda etkileşime girmektedir. Sanal bir çalışma ortamında çalışanlar, simüle edilmiş sistemlerin, makinelerin ve iş ekipmanlarının gerçekçi bir şekilde ele alınmasını deneyimleyebilmektedir. Sanal dünyanın içinde girdiklerinde, duyularıyla oradan gelen bilgileri algırlarlar ve onu eylemlere dönüştürerek sanal dünyayı değiştirirler. Çalışanlar, çalışma ortamlarının bazı bölümlerini hareket ettirebilir ve sanal çalışma ortamına ve bu ortamdaki değişikliklere tepki verebilir. Sanal çalışma ortamı doğal boyutunda görünür. Sanal ve nesnel gerçeklik bu şekilde birbirine karıştırılırsa buna desteklenen (artırılmış gerçeklik) veya karma gerçeklik de denilmektedir (IFA, 2021).

Çalışanların, çalışma koşullarının neden olacağı fiziksel ve psikolojik tehlikelerden korunması, iş ve insan uyumunun sağlandığı işlere yerleştirilmesi olarak ifade edilen iş sağlığı ve güvenliği kavramı tüm gelişmiş ülkelerde tazmin edici bir yaklaşım yerine önlem amaçlı proaktif yaklaşımları benimsemiştir. Böylelikle hem iş kazalarının hem de meslek hastalıklarının minimuma indirilmesi amaçlanmaktadır (Ay, 2016). İş sağlığı ve güvenliği sistemi birçok farklı unsurun birleşmesi ile ortaya çıkmıştır. Bu unsurların her biri bir süreci ve bu süreç içerisindeki sürdürülebilirliği temsil etmektedir. Süreç ve unsurların tamamı iş sağlığı ve güvenliği yönetimini oluşturmaktadır. İş yerlerindeki bu yönetim sistemi, iş sağlığı ve güvenliği yönetim sistemi olarak ifade edilmektedir. Bir iş yerinde iş sağlığı ve güvenliğine ilişkin risklerin belirtilmesi ve bu tespit ardından gerekli önlemlerin alınması bu süreç kapsamında gerçekleştirilmektedir (Taşdemir & Öztürk, 2019).

Eğitim – öğretim hayatının yanında iş sağlığı ve güvenliği alanında da oldukça önemli bir yeri olan sanal gerçeklik bu alanda özellikle devrim niteliği taşıyan fırsatlar sunmaktadır. İş sağlığı ve güvenliği alanındaki sanal gerçeklik eğitimleri ile insan beyni, yapay sunulan bir ortamı gerçek olarak algılayabilmektedir. Bir tehlike ile karşı karşıya kaldığı anda istediği zamanda yapay ortamı durdurma imkanı da kullanıcının çok daha rahat olmasına imkan vermektedir (Yamamoto vd., 2018).

Yapay dünya içerisinde gerçek dünyada kullanılması ve taşınması zor olanı tehlike arz eden ve maliyeti yüksek olabilecek makinelerin kullanımı çok daha düşük maliyetler ile tehlikesiz bir şekilde gerçekleştirilmektedir. İş sağlığı ve güvenliği uygulamalarında kullanılan sanal gerçeklik aynı zamanda kullanıcıların hayal dünyalarının da

gelişmesini sağlamaktadır. Çalışan motivasyonunda da önemli bir yeri olan sanal gerçeklik uygulamalarına dair eğitimler dikkat çekici bir hal almaktadır (Yamamoto vd., 2018).

Davranış değişikliği açısından yalnızca bir konu hakkında bilgi sahibi olmak yeterli değildir. Tehlike esnasında edinilen tecrübenin davranışa dönüşmesi açısından bilginin algılanması, tecrübe ile perçinlenmesi çok daha kalıcı sonuçlar sunmaktadır. İş sağlığı ve güvenliği kapsamında çalışanlara uygulamalı eğitimlerin sunulması oldukça güçtür. Fakat teorik eğitimin yanında uygulamalı eğitim sunulması büyük önem teşkil etmektedir. İş sağlığı ve güvenliği konusunda edinilecek deneyimlerin çalışanları tehlike atmayacak uygulamalar ile gösterilmesi gerekmektedir. Gerçekleştirilmesi oldukça zor ve tehlikeli olan pratik uygulamaların gerçekleşmesi açısından bilginin işlenmesi ve bir hatıra özelliği kazanması, kişiden beklenen davranışların tekrar tekrar uygulamalı olarak tecrübe edilmesi sanal deneyimler ile mümkün olmaktadır. Bu nedenle sanal gerçeklik uygulamaları geleneksel eğitim araçlarına göre çok daha maliyeti düşük bir seçenek olmaktadır. Eğitim süresini kısaltması ve becerilerin uzun süreli kazanılmasını sağlaması açısından da büyük avantajlara sahiptir (Sadagic, 2007).

### 2.3.3. Sektörel Uygulamalar

#### Madencilik Sektörü:

Bilgisayar grafik teknolojisindeki gelişmeler ve gelişmiş ve erişilebilir sanal gerçeklik VR (Visual Reality) teknolojisi, daha verimli eğitim araçlarının geliştirilmesini mümkün kılmaktadır. Bu teknolojiler bazı alanlarda geleneksel eğitim yöntemlerinin yerini almıştır. Sanal ortamlarda verilen eğitimler gerçek hayattaki riskleri içermemekte ve aynı zamanda eğitim nedeniyle üretimi durdurmaya veya yavaşlatmaya da gerek bulunmamaktadır. Bu nedenle daha ucuzdur. Simülasyon geliştirildikten sonra, her madenci için eğitim sağlanabilmektedir. Simülasyonların gerçek hayattaki herhangi bir riski içermemesi nedeniyle sanal ortamlarda her türlü yüksek risk senaryosu oluşturulabilmekte ve çalışanlar bu ortamlara herhangi bir riske maruz kalmadan girebilmektedir. Madencilerin eğitim sırasında yaptıkları yanlış seçimler sonucunda ne kendilerini ne de meslektaşlarını riske atmazlar (Gürer, 2021:77-79).

#### Zehirli Madde Kullanan Sektörler:

Sanal gerçeklik, zehirli madde kullanan sektörlerde, tehlikeli atıkların belirlenmesinde, tehlikeli atık temizleme ve bertarafı, Biyolojik atık temizliği ve bertarafı, emniyetli taşıma, asbest kontrolü, biyoremediasyon<sup>1</sup> ekipmanı, tambur taşıma, dekontaminasyon<sup>2</sup> gibi iş ve işlemlerin eğitiminde; belirli durumları yeniden oluşturmanın neredeyse imkansız olduğu ve iş başında eğitimin çok riskli olduğu durumlarda, sanal gerçekliğin dahil edilmesi mükemmel bir fırsat olmaktadır. Teorik bilgiler, düzenleyici süreçleri ve faaliyetlerin uygulayabileceği simüle edilmiş ortam aracılığıyla tekrar tekrar uygulanabilecektir. Ayrıca, çalışanlar, önceden programlanmış tehlikelere sahip ortamları araştırabilir ve farklı sektör senaryolarına dayalı olarak risk değerlendirmeleri yapabilirler (TTRO, 2021).

Grassini ve Laumann (2020) konu ile ilgili yapmış oldukları makale incelemelerinde; sanal gerçeklik teknolojilerini çalışma hayatının entegre bir parçası olarak benimsemenin güvenlik prosedürlerini daha iyi uygulama veya işyerinde tehlikeli durumlardan kaçınma konusunda yardımcı olabileceği varsayımına dayandığını vurgulamış ve ayrıca; çalışma ortamında sanal gerçeklik kullanımının sadece çalışan da sanal gerçeklik sezgilerini iyileştirmekle kalmayıp, bireylerin gerçek hayattaki çalışmaları sırasında risk farkındalıklarını artıracığı, aynı zamanda bilinçsiz bir şekilde sanal gerçeklik anılarına (sezgilerini) da etkileyebileceği için iş performansına ve güvenlik kültürünü de etki edebileceği ileri sürülmüştür (Grassini ve Laumann, 2020).

#### Elektrik Üretim Sektörü:

Mesleki Güvenlik ve Sağlık İdaresi'ne (OSHA) göre, elektrik kazaları en ölümcül işyeri kazaları arasında sayılıyor ve her 10 kişiden 1'i ölümlerle sonuçlanıyor. Aslında, bir insan kalbini durdurmak için bir amperin sadece 1/10'u yeterlidir. Buna rağmen, şirket güvenliği eğitim kursları geleneksel olarak bireysel web tabanlı eğitim veya sınıf tarzı sunumlar gibi ilgi çekici olmayan yollarla verilir ve çoğu zaman etkisiz kalır. Ancak günümüzde teknolojiye yeni gelişmeler bunu ve kurumsal eğitim programlarının tüm yüzünü değiştirmektedir. Gelişmekte olan teknolojinin uygulanmaları ve sanal gerçeklik, şirketlerin iş yapma biçiminde hızla değişim yaratmakta ve sanal

<sup>1</sup> Biyoremediasyon: Bir çevre kirleticisinin mikroorganizmalar yardımıyla uzaklaştırılması işlemidir.

<sup>2</sup> Dekontaminasyon (Arındırma): Kimyasallar, mikroorganizmalar veya radyoaktif maddeler dahil olmak üzere bir nesne veya alan üzerindeki kirleticilerin uzaklaştırılması işlemidir. Bu, kimyasal reaksiyon, dezenfeksiyon veya fiziksel uzaklaştırma ile sağlanabilir.

gerçekliğe yatırım yapmaları için birçok cazip avantaj ve neden oluşmaktadır. İleri görüşlü şirketler, çalışanlarını elde tutmak ve motive etmek ve ekiplerin yatırım getirisini (ROI) en üst düzeye çıkarmak için yaparak öğrenebilecekleri kapsamlı eğitim ortamları oluşturmak için günümüzde sanal gerçeklikten yararlanmaktadır. Bilgili şirketler, çalışanların iş güvenliğini ilk elden öğrenmelerini sağlayan etkili öğretim araçları oluşturmak için artırılmış gerçeklik (AR) ve sanal gerçeklik gibi sürükleyici oyun teknolojilerini kullanmanın değerini keşfetmektedir (VIAR, 2022).

### **İnşaat Sektörü:**

Md Shamsudin ve Abdul Majid (2019) çalışmasının bulguları, sanal gerçeklik ile öğrenme performansı arasında pozitif bir ilişki olduğunu göstermektedir. Sanal gerçeklik, öğrenme içeriği ile etkileşim sağlayan yeni bir teknolojidir. Çalışanlar sanal ortamlar aracılığıyla aktif olarak yeni bilgi inşa ederken öğrenme etkisini potansiyel olarak derinleştirebilecektir. Sanal gerçeklik, Çalışanın/öğrencinin öğrenme materyalini bilişsel olarak daha derinlemesine işlemesine neden olur; öğrenenler bilgi ve becerileri etkili bir şekilde kazanabilirler. Yüksek düzeyde etkileşimli öğrenme deneyimleri sağlama yeteneği, sanal gerçeklikte en çok değer verilenlerden biridir. Sanal gerçeklikte meydana gelen etkileşim, gerçek deneyim yerine tehlike tanımlama eğitiminde oldukça önemlidir (Md Shamsudin, & Abdul Majid, 2019:380).

Tehlike tanıma, inşaat güvenliği yönetiminde önemli bir unsurdur. Riski azaltabilmek için önce bir tehlikenin tanınması gerekir. Bununla birlikte, işçiler tehlikelerin birçoğunu sürekli olarak fark etmekte başarısız olurlar ve bu sorun daha fazla müdahale gerektirmektedir. Tehlike tanıma ve iyileştirme yöntemleri konusundaki anlayışımızı artırdıkça, bu güvenlik sorununa daha başarılı bir şekilde müdahale edebiliriz. Mevcut inşaat güvenliği eğitim yöntemlerinin yetersizliği defalarca vurgulanmıştır. Bu çalışma, bu yöntemlerin hem doğrudan hem de dolaylı olarak geliştirilmesine yardımcı olabilir. Bu sonuçlar, şantiye çalışanlarının tehlike tanıma da sanal gerçeklik sezgilerindeki bilgi tabanını artırabilecektir. Eğitim yöntemlerinin geliştirilmesine doğrudan yardımcı olabilir. Ayrıca, sistemin kendisi bir eğitim aracı olarak kullanılabilir. İlave olarak; oyunlarda kullanılan modelleme teknikleri, finansal olarak tasarım yapmaya yardımcı olabilir ve uygulanabilir, esnek, tekrarlanabilir ve aslına uygun deneyler kullanılabilir. Farklı eğitim seviyelerine veya deneyime sahip gruplar için özelleştirilmiş eğitim yöntemleri geliştirilebilir, çünkü tehlike tanıma anlayışları ve yetenekleri birbirinden farklı görünmektedir. Güvenlik eğitiminin etkinliğinin doğrulanması ve eksikliklerinin tespiti de kişisel düzeyde mümkün olacaktır. Dünyanın her yerinde şantiyelerde işçiler sürekli öldüğü, sakat kaldığı veya ağır yaralandığı hatırdan çıkarılmamalıdır (Özel, 2019: 89-93).

Xu & Zheng (2021) tarafından yapılan çalışma, inşaat alanları için çok oyunculu bir sanal gerçeklik eğitim çözümünün uygulanabilirliğini göstermiştir. Böyle sürükleyici bir ortam tarafından sağlanan mantıksal etkileşimlerin, etkileyici ve çekici olarak algılandığı ve karmaşıklık hiyerarşisine dayalı sınıflandırmaların, gelecekteki uygulama tasarımı için net bir yön sağladığı ve oyuncular/çalışanların sanal dünyaya alıştırmak için farklı seviyeler belirleme anlayışının etkili olduğu kanıtlanmıştır. Xu & Zheng (2021) tarafından yapılan çalışmada elde edilen diğer sonuçlar şunlardır: “Simülasyon tekniklerindeki ilerleme, eğitim amaçlı büyük bir kolaylık sağlamış ve genişletilebilir teknolojiler üzerinde yenilik ve yaratıcılığın önünü açmıştır. Deneyim yoluyla eğitim, yeni girenlerin kritik noktaları daha az çabayla güvenli bir şekilde ezberlemelerini sağlar ve sanal eğitim fikri, eğitim maliyetlerinden ve olası maliyetlerden tasarruf etmek için daha verimli yöntemler üretecek şekilde güçlendirilmelidir. Aslında, gerçek dünya karmaşık olmanın da ötesindedir ve binlerce öngörülemeyen, kararsız ve güvenilmez değişken aynı anda hayatı zengin ve renkli kılmak için çalışmaktadır. Bu nedenle, gelecekteki ana hedef, sahneleri güncellemek ve çeşitlendirmek için daha ayrıntılı yeniden yaratma derecesini vurgulamalı, böylece geleneksel eğitim yöntemlerini ve yerinde eğitim programlarını tamamen ikame etmek için daha fazla fırsat yaratmalıdır. Gelişmekte olan teknolojileri içeren etkili bir eğitim çözümünün, çalışanların güvenlik bilincini geliştirebileceği ve yaralanma olasılığını azaltabileceği ve böylece daha güvenli ve daha güvenilir bir çalışma ortamına katkıda bulunabileceği açıktır. İnşaat projeleri sırasında daha az işçinin yaralanması, çalışma verimliliğini artırabilir ve katılımı kolaylaştırabilir ki bu da daha sürdürülebilir işyerleri ile sonuçlanabilir. Dijitalleşen yenilikçi yaklaşımların ve uygulamaların artması, sürdürülebilir inşaat sektörü için önemlidir. Son teknoloji bir teknoloji olarak sanal gerçeklik, inşaat endüstrilerinin geleceğinin gelişimine ışık tutan ölçeklenebilir ve genişletilebilir bir platform sağlamaktadır” (Xu & Zheng, 2021:17).

### **3. SONUÇ**

Hem görsel hem de işitsel duyuları harekete geçiren araçlar her zaman insanlar tarafından çok daha fazla ilgi uyandırmıştır. Sanal gerçeklik uygulamaları ile kurulan yapay dünyalarda kişinin herhangi bir durumu yaşadığı hissi uyandırılarak ekstra bir boyut sağlanmış olmaktadır. En genel anlamıyla sanal gerçeklik, teknolojik alt yapılar

ile kurgunun birleştirilerek gerçek bir hayalin ortaya çıkarılmasıdır. Kişinin içerisinde hareket edebildiği, tepki gösterebildiği, etki alabildiği alternatif bir dünya olarak tanımlanan sanal gerçeklik, giyilebilir teknoloji ile üretilmiş cihazlar aracılığıyla insanlara birçok deneyim kazanma şansı sunmaktadır.

İş sağlığı ve güvenliği günümüzde her işletme ve her meslek kolu için büyük önem teşkil etmektedir. İş kazalarının sebebiyet verdiği insan kayıplarıyla birlikte aynı zamanda işletmenin sürdürülebilirliğine, fiziki varlıklarına, verimliliklerine, imajlarına ve toplumsal dinamiklerine de zarar vermektedir. Bütün olarak ele alındığında işletmelerde meydana gelen iş kazaları geri döndürülemez kayıplara neden olabilmektedir. Bu nedenle bu kayıplara neden olabilecek risklerin tahmin edilebilirliği, bu riskler doğrultusunda önlemler geliştirilmesi, uygulanması ve deneysel öğrenme yatırımının sağlanması büyük bir tasarrufu da beraberinde getirirken bir yandan da kurumsal yönetim avantajlarını da sağlamaktadır. Sanal gerçeklik teknolojisi ile bu risklerin ve yol açabilecek etkilerinin kurgulanarak simülasyonlara dökülmesi ve bunları görsel-işitsel anlamda yaşıyor hissini verilmesi büyük bir deneyim imkânı sunarken öğrenmeyi de pekiştirmektedir. Bu kapsamda sanal gerçeklik teknolojisi, iş sağlığı ve güvenliği konusunda direkt olarak hem maliyet azaltırken hem de etkili ve kalıcı bir öğrenmenin avantajını vaat etmektedir.

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## Lojistik Firmaları ile Sigorta Acentelerinin Karşılaştırmalı Kurum Kültürünün Analizi

Öğr. Gör. Nesli KAHRAMAN GEDİK<sup>1</sup>

Öğr. Gör. Çınar GARİP<sup>2</sup>

Dr. Öğr. Üyesi. Nurhan TALEBİ<sup>3</sup>

<sup>1</sup>İstanbul Aydın Üniversitesi, ABMYO, Yönetim ve Organizasyon Bölümü, neslikahramangedik@aydin.edu.tr  
<https://orcid.org/0000-0001-6531-8018>

<sup>2</sup>İstanbul Aydın Üniversitesi, ABMYO, Yönetim ve Organizasyon Bölümü, cinarozkan@aydin.edu.tr  
<https://orcid.org/0000-0002-6794-5012>

<sup>3</sup>İstanbul Aydın Üniversitesi, ABMYO, Finans-Bankacılık ve Sigortacılık Bölümü, ntalesi@aydin.edu.tr  
<https://orcid.org/0000-0002-8048-0141>

**Özet:** Çağımızda, şirketler ulusal ve uluslararası alanlarda yer alabilmeleri için rekabet güçlerini arttırmak zorundadır. Bu sebeple şirketler, çalışanlarının örgütle bütünleşmesini sağlayarak, ortak güç oluşturma yoluna giderler. Bu gücün oluşmasında en büyük unsur ise kültürdür.

Kültür, bir toplumun tüm hayat tarzıdır. Kültür öğrenme yolu ile oluşan, zaman içinde değişebilen, aktarılabilen tavır ve hareketler olup, içinde bulunduğu topluluğa özgüdür. Kurum kültürü ise, toplum kültürünün bir alt kültürüdür. Kurum kültürü, örgütün içinde yer alan üyelerin eylemlerini yönlendiren kurallar, değerler, öğretiler ile alışkanlıklar sistemi olarak tanımlanabilir. Kurum kültürü, günümüzde şirketler için rekabet avantajı sağlamada önemli bir yer tutar. Kurum üyelerine farklı hüviyet kazandıran, kuruma alışmasını sağlayan ve kurum üyeleri tarafından benimsenen iç değişkenlerdir. Kurum kültürünün somut olmayan ve birbirini tamamlayıcı birçok unsurdan oluştuğunu ifade edebiliriz.

Bu çalışmada, Lojistik Firmaları ile Sigorta Acentelerinin karşılaştırmalı kurum kültürü analiz edilmiştir. Örneklem evrenini ise İstanbul Aydın Üniversitesi, Anadolu Bil Meslek Yüksek Okulu Lojistik Programı ile Bankacılık-Sigortacılık Programında öğrenim gören stajyer öğrenciler oluşturmaktadır.

**Anahtar Kelimeler:** Kurum Kültürü, Lojistik Firmaları, Sigorta Acenteleri

### 1. GİRİŞ

Yönetim gurusu Peter Drucker; *“Kültür, stratejiyi kahvaltı niyetine yer”* demiştir. Bir milletin, şirketlerinin, her kurumunun, topluluğu oluşturan ailelerin kültürü DNA’sıdır. DNA’ya ters bir yapı oluşamaz. Bu sebeple öncelikle işletmelerde kültür analizi gelmelidir. Kültür analizi yapıldıktan sonra sistem-yapı-strateji analizleri gereklidir. Strateji yapılırken çoğu kurum SWOT analizine kültür analizini eklememekte, insan kaynakları işe alım yaparken kültür uyumuna bakmamaktadır. Böylece yapılan strateji eksik kalmakta ve stratejinin uygulanabilirliği zorlaşarak uzun yıllar almaktadır. Kültürün her işin ve her planın başı olduğu unutulmamalıdır. Kurum kültürü analiz edildikten sonra ortaya çıkan kültürü iyileştirerek, adapte ederek ve inovatif hale getirdiğimizde yönetim ve strateji olumlu ve başarılı sonuçlar verecektir. Araştırmalar sonucu birçok işletme yöneticisi vardır ki kültüre yenilmiştir. Kurum kültürünü oluşturan unsurların çok geniş olması nedeniyle birbirine yakın unsurlar olarak özetlenirse; Liderler ve kahramanlar, öykü ve efsaneler, dil, törenler ve semboller, normlar ve değerlerdir. Kültür her şey olabileceği gibi araştırmamızda ele alınan unsurları; Eğitim ve sürekli öğrenme, takım çalışması ve işbirliği, hümanistlik (insancıl yaklaşım), iletişim becerisi, teknik uzmanlık, planlama ve prosedürlere uyma olarak sıralanmaktadır. Kurum kültürü de kurumları birbirinden ayırt etmeye yarar. Bu araştırmada iki farklı kurumun (Lojistik firmaları ile sigorta acenteleri) kurum kültürleri analiz edilerek, kültürel değerlere ne kadar uyum sağladığı ve bu iki farklı kurumun kültürlerinin ne kadar benzerlik gösterdiği analiz edilmiştir.

### 2. KÜLTÜR KAVRAMI VE ÖRGÜT KÜLTÜRÜ

#### 2.1 Kültür Tanımı

Kültür, en geniş manasıyla bir toplumun bütün hayat tarzıdır.

Melville Jean Herskovits kültürü, cemiyetleri şekillendiren biyolojik bir özellik taşımayan ve öğrenilen çevre olarak tanımlamaktadır.



Kültür, sosyal bir üründür. Doğuştan bir özellik olmadığı gibi kalımsal da değildir ve insanların birbirleriyle etkileşiminin sonucu ortaya çıkan davranışlar toplamıdır.

## 2.2. Kültürün Kurumdaki Yeri ve Önemi

Kültür, kurum içinde yer alanları o kurumun gayelerine ve birbirlerine bağlamada etken bir rol oynar. Bu nedenle, kurumun amaçları doğrultusunda alınacak kararların, oluşturulacak plan ve politikalarının başarılı sonuçlanmasında kültürün önemli bir yeri vardır.

Hemen her kurum, çalışanlarının desteğini ve etkili bir şekilde katılımını sağlayarak hedeflerine ulaşmayı ister. Kurumlarda etkinlik ve verimliliğin artırılabilmesi için çalışanların kurum ortamına uyum sağlaması önemli bir unsurdur.

## 2.3. Kurum kültürünün Tanımı

Kurum kültürü, kurum içinde yer alan bireylerin nasıl davranmaları gerektiğini belirten yerleşmiş değerler, varsayım ve inançları gösterir. Bireylerin çalışma yaşamındaki performanslarını, davranışlarını ve bir bütün olarak kurumun başarısını önemli ölçüde etkileyen unsurları içermekte olduğu söylenebilir (Gündüz Çekmecelioğlu, Acaray ve Akturan, 2015:140).

**Farklı tanımların birleştirdiği noktalar şöyle sıralanabilir:**

- Kurum kültürü, kurumda çalışanların işleri yapma ve yürütme şeklidir.
- Kurum kültürü kurumlara kişilik kazandırmak suretiyle bir kurumu diğerlerinden ayırır.
- Kurum kültürü çalışanların paylaştığı değerlerden, kurum içinde anlatılan mitler, inanç ve savlardan oluşan bir yapıdır.
- Kurum kültürü kurumun başarısını doğrudan etkiler.
- Üst yönetimde yer alan yöneticilerin ve liderlerin kurum kültürünün oluşturulması üzerinde önemli etkileri vardır (Berberoğlu Güneş, Baraz Barış, 1999: 65-66).

## 2.4. Kurum Kültürünün Özellikleri

Her kurum kendine özgü kültürel değerlere sahiptir. Kurum kültürü kavramı ve tanımı üzerine yapılan birçok araştırmada kurum kültürünün farklı özellikleri ortaya konulmaktadır. (Öztürk, 2014:24). Birçok düşünürün üzerinde görüş birliğine vardığı kurum kültürünün özellikleri aşağıdaki gibidir (Köse, Tetik ve Ercan, 2001:228).

- Kurum çalışanları arasında paylaşılmalıdır.
- Düzenli bir biçimde tekrar edilen ya da ortaya çıkarılan eylem kalıpları şeklindedir.
- Öğrenilmiş veya sonradan kazanılmış bir olgudur.
- Çalışanların şuurlarında, hafızalarında inanç ve değerler olarak yer almakta olup yazılı bir metin şeklinde değildir.

## 2.5. Kurum Kültürünün Fonksiyonları

Kurum kültürünün en önemli fonksiyonu, kurumun amaçlarına nasıl ulaşacağına ilişkin bir işleyiş biçimi oluşturmasıdır. Çalışan eylemlerine etki eden kültürün fonksiyonları aşağıdaki gibi sıralanabilir (Örücü ve Ayhan, 2001:91).

1. Bir kurumu diğerlerinden ayırt etmeye yardımcı olur.
2. Kurum çalışanlarına bir tür hüviyet kazandırır.
3. Çalışanları kendi çıkarlarından daha çok ortak bir değere bağlanmasını kolaylaştırır.
4. Kurum içinde sosyal sistemin devamlılığını sağlar.

## 2.6 Kurum Kültürünü Oluşturan Unsurlar

Kurum Kültürü, bazı temel unsurların belirlenerek incelenmesi ile mümkün olmaktadır. Kurum içindeki bulunan bu unsurlar aslında toplumun kültürünü oluşturan temel unsurlar ile benzerlik göstermektedir. Bu unsurlar farklı araştırmacılar tarafından birbirine yakın şekilde sınıflandırılmıştır. Bu sınıflandırmalar aşağıdaki gibi sıralanabilir (Büyükkışlalı, 2015:11).

### 2.6.1.Lider ve Kahramanlar

Liderler ve kahramanlar kurum kültürünün gücünü temsil eden öğelerdir. (Akat v.d., 1994:326). Kurumadaki üst düzey yöneticilerin liderlik davranışları kurum kültürünün oluşturulması, yönetimi ve değiştirilmesinde etken unsurdur.

Kahramanlar ise kurum kültürünü kendi kişilik özelliklerinde yansıtan ve çalışanlar için rol model teşkil eden bireylerdir. Bu kişiler kurumun herhangi bir kademesinden çıkabilir. (Bakan, 2004:44)

### 2.6.2. Öykü ve Efsaneler

Kurumun geçmişi ve bugünü arasında köprü vazifesi gören öykü ve efsaneler önemli bir kültür taşıyıcılarıdır. Kurumun geçmişine yönelik olayların abartılarak günümüze aktarılması suretiyle ortaya çıkarlar (Unutkan, 1995). Kurumsal değerlerin yayılmasında ve yerleşmesinde önemli bir yer tutarlar.

### 2.6.3.Dil

Toplumsal ve bireysel değerler, anlayışlar ve yaşamlar dil aracılığı ile gelecek kuşaklara aktarılır. Bu nedenle dil kültürün öğrenilmesine yardımcı olur (Eroğlu, 1996:115). Dil, kurum çalışanları arasında iletişimi sağlayan yeni çalışanlara kültürün aktarılmasında önemli bir etken olan araçtır. Dil bu fonksiyonunu yerine getirerek kurum kültürünün devamlılığını sağlar (Bakan, 2004:53).

### 2.6.4.Törenler ve Semboller

Törenler, genellikle toplumun değer verdiği tarihsel özellik taşıyan kültürel değerleri sürekli kılmak amacıyla belirli alan ve tarihlerde düzenlenen toplu bir eylemdir (Tolan, 1996:244). Kurumun önemli amaçlarını ve temel değerlerinin anılarak sağlamaştırıldığı olaylardır (Robbins, 1994:319). Kuruma sosyal bağlılık duyulmasında, düzenin sürdürülmesinde, yeni çalışanların tanıtılmasında, sembolik mesajların çalışanlara iletilmesinde törenlerin önemli katkısı mevcuttur (Fairholm, 1994:84).

Semboller, kurum çalışanlarının düşüncelerini ve mesajlarını birbirlerine aktarmalarını sağlayan, kurum kültürünün göstergeleri olarak özel anlam taşıyan objeler ve eylemlerdir (Özkalp ve Kirel, 2000:115).

### 2.6.5.Normlar

Normlar, kurumda genel olarak davranışları etkileyen ve uyulması gereken yazılı olmayan kuralları ifade eder. Normlar, çalışanın konuşma, giyim ve davranış biçimlerini belirleyerek kurum içerisinde neyi nasıl ne incelikte ve nitelikte yapması gerektiğini ifade eder (Hoy ve Miskel, 1991:217; Başaran, 1991:244). Normlar yazılı kurallar olmayıp gelecek nesillere çalışanlar tarafından aktarılırlar.

### 2.6.6.Değerler

Değerler, kurum içinde başarıyı tanımlayan ve standartlarını ortaya koyarak çalışanların davranışlarını ve işlemlerini yargılamaya, nitelendirmeye ve değerlendirmeye yarayan kavramlar ve inançlardır (Başaran, 1991). Çalışanlar ve kurum sahibi tarafından kabul edilen değerler kurum kültürünün bir paydasını oluşturur. Çalışanların birlikte hareket ederek ulaşabilecekleri ortak hedefleri gösterir. Bu hedeflere ulaşmak için stratejileri belirleyerek çalışanların günlük eylem ve kararlarında dikkat etmeleri en düşük müşterekleri belirtir (Kozlu, 1986:64).

### 3. ARAŞTIRMA

Kurum kültürüne ait değerler Lojistik Firmaları ve Sigorta Acentelerinde karşılaştırmalı olarak ne kadar etkili olduğu çalışmanın amacını oluşturmaktadır (teorik hipotez). Araştırmada kullanılan anket, kurum kültürünün alt boyutlarından oluşan (eğitim ve sürekli öğrenme, takım çalışması ve işbirliği, hümanistlik (insancıl yaklaşım), iletişim becerisi, teknik uzmanlık, planlama ve prosedürlere uyma) 30 soruyu içermektedir. Soruların güvenilirliği için güvenilirlik analizi yapılarak, Cronbach's Alpha değeri ,967 olduğu ( $\alpha=0,967$ ), böylece güvenilirlik katsayısının yüksek düzeyde yeterli olduğu, bu maddelerden elde edilen puanların güvenilir olduğu ortaya konmuştur.

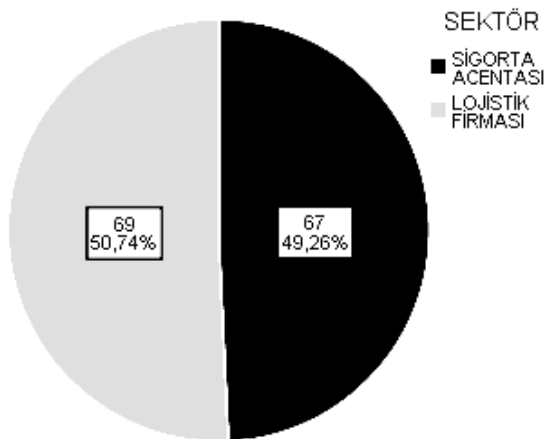
Şekil 1: Araştırmanın Şematik Görünümü



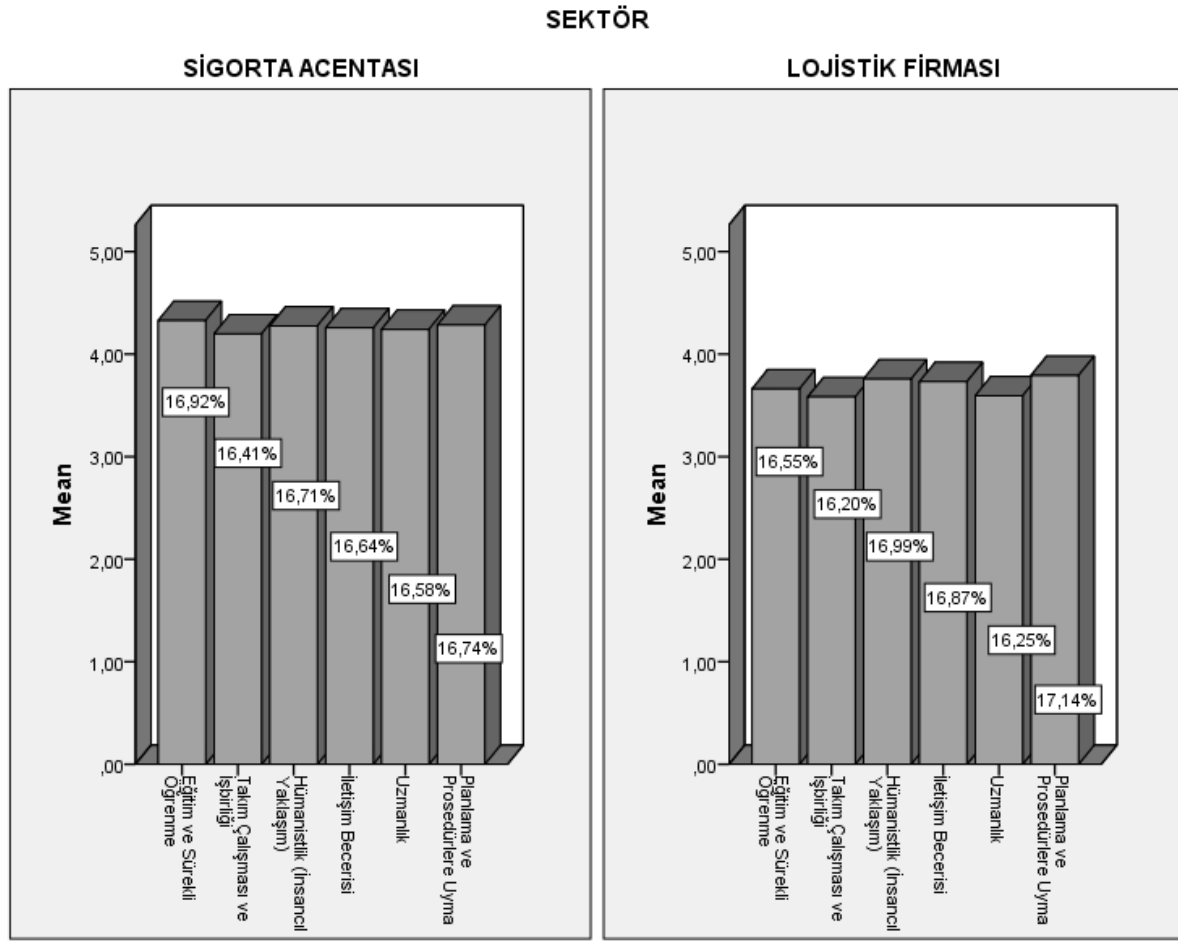
#### 3.1.Yöntem

Araştırmanın örneklemini İstanbul Aydın Üniversitesi'nde Lojistik Programı ile Bankacılık ve Sigortacılık Programında öğrenim gören, aynı zamanda stajyer olarak alanlarında çalışan öğrenciler oluşturmaktadır. Örneklemdaki öğrencilerin sayısı toplamda 730 olup bu öğrenciler arasından 136 kişi %5 hata payı ve %95 güvenilirlik düzeyi ile örnekleme uygun görülmüştür. Yaşları 25 yaş ve altında olan katılımcıların %52,9'u (72 öğrenci) bayan, %47,1'i (64 öğrenci) erkektir. Katılımcıların %50,7'si (69 öğrenci) Lojistik işletmelerinde, %49,3'ü (67 öğrenci) ise Sigorta Acentelerinde stajyer olarak çalışmaktadır. Katılımcılar özel sektör çalışanıdır.

Grafik 1: Araştırmaya Katılanların Sektöre Göre Dağılımı



**Grafik 2:** Kurum Kültürü Değerlerinin Sektöre Göre Yüzdelerle Dağılımı



Araştırmada 5'li Likert tipi ölçek kullanılmış olup (1-Kesinlikle Katılmıyorum,2-Katılmıyorum,3-Kararsızım,4-Katılıyorum,5-Kesinlikle Katılıyorum), Grafik 1'de de görüldüğü üzere iki sektörün de kurum kültürü değerlerine katılma oranı çok yakın olmakla birlikte, Sigorta Acentelerinde çalışanların, Lojistik Firmalarında çalışanlara kıyasla kurum kültürü değerlerine daha fazla katıldığı ortaya çıkmıştır.

### 3.2.Kurum Kültürü Ölçeğinin Geçerlik Analizi (Açımlayıcı Faktör Analizi)

Verilerin faktör analizine uygunluğunu incelemek için betimsel analiz yapılarak, Bartlett's Sphericity testi sonucu anlamlı düzeyde çıktığı ( $p < ,05$ ) ve çok değişkenli normallik şartı sağlandığı için tüm maddeler analize dahil edilerek açımlayıcı faktör analizi yapılmıştır.

Ölçeğinin faktör yapısı incelendiğinde ise KMO örneklem uygunluğu test sonucu ,91 olarak bulunmuştur. Analizler sonucunda, ölçeğin özdeğeri 1'in üzerinde olan ve toplam varyansın %74,078'ini açıklayan altı faktörlü bir yapısının olduğu saptanmıştır.

Tablo 1: Ölçekteki Tüm Maddeler İçin Ortak Faktör Varyansı Oranları

	Communalities	
	Initial	Extraction
<b>MADDE 1</b>	1,000	,731
<b>MADDE 2</b>	1,000	,782
<b>MADDE 3</b>	1,000	,794
<b>MADDE 4</b>	1,000	,761
<b>MADDE 5</b>	1,000	,731
<b>MADDE 6</b>	1,000	,776
<b>MADDE 7</b>	1,000	,712
<b>MADDE 8</b>	1,000	,745

MADDE 9	1,000	,785
MADDE 10	1,000	,703
MADDE 11	1,000	,713
MADDE 12	1,000	,740
MADDE 13	1,000	,709
MADDE 14	1,000	,650
MADDE 15	1,000	,776
MADDE 16	1,000	,728
MADDE 17	1,000	,630
MADDE 18	1,000	,685
MADDE 19	1,000	,674
MADDE 20	1,000	,794
MADDE 21	1,000	,728
MADDE 22	1,000	,752
MADDE 23	1,000	,796
MADDE 24	1,000	,812
MADDE 25	1,000	,638
MADDE 26	1,000	,794
MADDE 27	1,000	,789
MADDE 28	1,000	,755
MADDE 29	1,000	,747
MADDE 30	1,000	,795

Tablo 1’de ölçme aracındaki tüm maddelerin faktörlerin ortak varyansına yeterli katkı sağladığı öngörülmektedir.

### 3.3.Anova Testi

Lojistik Firmaları ile Sigorta Acentelerinin kurum kültürlerinin farklı olup olmadığını analiz etmek için hipotez oluşturulmuş, hipotezlerin red ve kabulünü sınamak için Anova testi uygulanmıştır.

H0: Lojistik Firması ile Sigorta Acentelerinin kurum kültürleri farklıdır.

H1: Lojistik Firması ile Sigorta Acentelerinin kurum kültürleri farklı değildir.

Tablo 2: Kurum Kültürü Değerlerinin Sektöre Göre Farklılığının Anova Analizi

		Sum of Squares	df	Mean Square	F	Sig.
Eğitim ve Sürekli Öğrenme	Between Groups	15,145	1	15,145	21,390	,000
	Within Groups	94,880	134	,708		
	Total	110,026	135			
Takım Çalışması ve İşbirliği	Between Groups	12,833	1	12,833	15,755	,000
	Within Groups	109,150	134	,815		
	Total	121,983	135			
Hümanistlik (İnsancıl Yaklaşım)	Between Groups	9,096	1	9,096	14,513	,000
	Within Groups	83,984	134	,627		
	Total	93,080	135			
İletişim Becerisi	Between Groups	9,345	1	9,345	13,624	,000
	Within Groups	91,919	134	,686		
	Total	101,265	135			
Teknik Uzmanlık	Between Groups	14,256	1	14,256	20,040	,000
	Within Groups	95,321	134	,711		

	Total	109,576	135			
Planlama ve Prosedürlere Uyuma	Between Groups	8,205	1	8,205	9,545	,002
	Within Groups	115,190	134	,860		
	Total	123,395	135			

Anova testi sonucunda  $p < ,05$  olduğundan null hipotez (H0) reddedilmiştir ve karşıt hipotez (H1) kabul edilmiştir. Buna göre; Lojistik Firmaları ile Sigorta Acentelerinin kurum kültürleri farklıdır.

### 3.4. Korelasyon Analizi

Ölçekteki Skewness ve Kurtosis değerleri +1,5 ve -1,5 arasında kaldığından veriler normal dağılım göstermektedir (Tabachnick & Fidell, 2013). Normal dağılım gösterdiğinden ölçekteki faktörler arasındaki korelasyon ilişkileri Pearson Korelasyon analizi yapılarak incelenmiştir. Analiz sonucunda aralarındaki ilişkinin istatistiksel olduğu tespit edilen faktörler Tablo 3'te gösterilmiştir.

Tablo 3: Kurum Kültürü Değerlerinin Kendi Aralarında ve Sektöre Göre Korelasyon İlişkisi

	SEKTÖR	Eğitim ve Sürekli Öğrenme	Takım Çalışması ve İşbirliği	Hümanistlik (İnsancıl Yaklaşım)	İletişim Becerisi	Uzmanlık	Planlama ve Prosedürlere Uyuma
SEKTÖR	r	1	-,371**	-,324**	-,313**	-,304**	-,361**
	p		,000	,000	,000	,000	,000
	N	136	136	136	136	136	136
Eğitim ve Sürekli Öğrenme	r	-,371**	1	,785**	,789**	,787**	,786**
	p	,000		,000	,000	,000	,000
	N	136	136	136	136	136	136
Takım Çalışması ve İşbirliği	r	-,324**	,785**	1	,775**	,851**	,726**
	p	,000	,000		,000	,000	,000
	N	136	136	136	136	136	136
Hümanistlik (İnsancıl Yaklaşım)	r	-,313**	,789**	,775**	1	,858**	,867**
	p	,000	,000	,000		,000	,000
	N	136	136	136	136	136	136
İletişim Becerisi	r	-,304**	,787**	,851**	,858**	1	,775**
	p	,000	,000	,000	,000		,000
	N	136	136	136	136	136	136
Uzmanlık	r	-,361**	,786**	,726**	,867**	,775**	1
	p	,000	,000	,000	,000	,000	
	N	136	136	136	136	136	136
Planlama ve Prosedürlere Uyuma	r	-,258**	,744**	,751**	,834**	,785**	,848**
	p	,002	,000	,000	,000	,000	,000
	N	136	136	136	136	136	136

Korelasyon analizi sonucu  $p < ,05$  olduğundan kültürel değerler arasında güçlü ve pozitif yönde ( $r > ,70$ ) anlamlı ilişkiler olduğu sonucuna varılmıştır. Kültürel değerlerden birinin artması başka bir kültürel değerinde artmasına yol açmaktadır. Kültürel değerler sektöre göre karşılaştırıldığında ise negatif yönde ilişki tespit edilmiş olup, sektör değiştikçe kültürel değerler de değişmektedir. Bu sebeple Lojistik Firmaları ile Sigorta Acentelerinin kültürel değerleri farklılık gösterdiği sonucuna varılmıştır.

### 3.5.Regresyon Analizi

Yapılan istatistiksel testlerin geçerliliğini sınamak için Regresyon analizi yapılarak elde edilen Durbin-Watson değeri Tablo 4'te gösterilmiştir.

Tablo 4: Sektör ve Faktörler Arasındaki Regresyon İlişkileri

Model	R	R <sup>2</sup>	Düzeltilmiş R <sup>2</sup>	Durbin-Watson
1	,414	,171	,133	,302

Kurum kültürü değerlerinin sektör üzerindeki etkisi= 0,133'tür. Durbin-Watson testinin ,302 çıkması otokorelasyon olmadığını ve yapılan istatistik testlerin geçerli olduğunu göstermektedir ( $0 \leq DW \leq 4$ ).

### 4. SONUÇ

Kültür değerlerinden sektörler etkilenmektedir. Ülkemiz batı ve doğu kültürüne yakın ve köprü konumunda olduğundan çalışma hayatındaki kültürel değerlerde bu farklılıklara göre değişmektedir. Buna göre araştırmada ele alınan iki farklı sektörün kültürleri arasındaki anova analizi incelendiğinde, lojistik firmaları ile sigorta acentelerinin kültürel değerlere yakınlığı farklılık göstermektedir. Anova analizi ile birlikte ölçekteki sorulara verilen cevapların frekansları çapraz tablolar ile analiz edildiğinde, Sigorta Acentelerinde çalışanlar, Lojistik Firmalarındaki çalışanlara göre daha fazla kültürel değerlerine bağlı olduğu tespit edilmiştir.

Kültürel değerler arasındaki korelasyon ilişkileri de pozitif yönde olup, çalışanlarda herhangi bir kültürel değer artması diğer bir kültürel değer de artarak var olmasına yol açtığı görülmektedir. Buna göre işletmelerdeki çalışanlarda; Eğitim ve sürekli öğrenme, takım çalışması ve işbirliği, hümanistlik (insancıl yaklaşım), iletişim becerisi, teknik uzmanlık, planlama ve prosedürlere uyma gibi kültürel değerlerden birinin pozitif yöndeki artışı diğer kültürel değerlerinde aynı yönde artmasını sağlamaktadır. Lojistik Firmaları ve Sigorta Acenteleri çalışanlarının kültürel değerleri karşılaştırmalı olarak korelasyon analizi ile test edildiğinde ise sektör değişikçe kültürel değerlerin de sektöre göre değiştiği ve bu değişikliğin negatif yönde bir ilişki olduğu sonucuna varılmıştır.

Yapılan analizler sonucunda, Lojistik Firmaları ile Sigorta Acenteleri çalışanlarının kültürel değerlerinin farklı olduğu, bu durumun işletmelerin iş yapma biçimlerinin, stratejilerinin, eğitime verilen önemin, takım çalışması ve işbirliğinin, hümanist davranışların, teknik uzmanlık gereksinimlerinin, planlama yapmanın ve prosedürlere uymanın her iki işletmede de farklı olduğu, bunun da çalışanlarının kültürlerindeki farklılıktan kaynaklandığı söylenebilir.

Lojistik Firmalarının işleyişinde; Etik kuralların, plan ve prosedürlerin, teknik uzmanlık gerektiren işlemlerin, iletişim gerektiren hümanist davranış kalıplarının ve bir bütün olarak tedarik zincirinin oluşmasını sağlayan takım çalışması ve işbirliğinin yüksek düzeyde olduğu bilinmektedir. Buna rağmen, çalışan kültürünün işletmeyle uyumlaştırılmaması tüm bu stratejik yapının olumsuz işlemesine sebep olabilmektedir. Bu nedenle de yönetim gurusu Peter Drucker'ın; "Kültür, stratejiyi kahvaltı niyetine yer" sözünü bir kez daha göz önünde bulundurarak, sigorta acentelerinde olduğu gibi işletme stratejilerine kurum kültürünün analizi de eklenmeli ve kültürel değerleri olan, bu değerlerde birleşen uyumlu bir yapı halinde çalışılması gerekliliğinin önemi işletmelere güç kazandıracığı öngörülmektedir.

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## İklim Değişikliği Karşısında Tarım Sektörünün Sürdürülebilirliği İçin İklim Uyumlu Tarım: Farklı Ülke Deneyimlerinden Çıkarılan Dersler

Prof. Dr. Nevin DEMİRBAŞ<sup>1</sup>

<sup>1</sup>EÜ, Ziraat Fakültesi, Tarım Ekonomisi Bölümü, nevin.demirbas@ege.edu.tr, ORCID: 0000-0002-0541-1437

**Özet:** İklim değişikliği tarımsal üretimi, verimi, çiftçi gelirlerini ve gıda güvencesini olumsuz etkilemekte ve ana geçim kaynağı tarımsal faaliyetler olan kırsal nüfusun ekonomik kırılganlığını artırmaktadır. İklim değişikliğinden en çok etkilenen sektör sıcaklık ve yağış gibi iklim parametreleri ile doğrudan ilgisi nedeniyle tarım sektörüdür. BM verilerine göre iklim değişikliğine bağlı afetlerden etkilenen ülkelerin son on yıldaki ekonomik kayıpları 2240 milyar ABD dolarıdır. Doğal afetlerden kaynaklanan ekonomik kayıplar küresel olarak artmakta ve tarım sektörü bu afetlere karşı savunmasız kalabilmektedir. Bu nedenle kısa, orta ve uzun vadeli negatif etkilerin sınırlandırılması ve gıda güvencesi için tarım sektörünün iklime karşı dayanıklı hale getirilmesi gerekmektedir. İklim uyumlu tarım, tarımsal üretimi, verimi ve geliri sürdürülebilir bir şekilde artırmak, iklim değişikliğine uyum sağlamak, direnç oluşturmak ve sera gazı emisyonlarını mümkün olan her şekilde azaltmak anlamına gelmektedir. İyileştirilmiş tarım teknikleri ile uyum stratejileri, iklim değişikliğinin olumsuz etkilerinin yarattığı kırılganlığı azaltmada etkilidir. Nitekim iklim uyumlu tarım prensiplerini uygulayan birçok ülkede elde edilen sonuçlar ümit vericidir. Bununla birlikte, uygulamaların başarı düzeyi ülkeden ülkeye hatta aynı ülkede farklı bölgelerde değişebilmekte ve bu prensiplerin uygulamasında bazı kısıtlar da ortaya çıkabilmektedir. Bu çalışmanın amacı, iklim değişikliğinin yarattığı kırılganlığa karşı tarım sektörünün dayanıklılığını artırmada iklim uyumlu tarım çabalarını farklı ülke deneyimleri aracılığıyla incelemektir.

**Anahtar Kelimeler:** İklim Değişikliği, İklim Uyumlu Tarım, Gıda Güvencesi

### Climate Smart Agriculture for Sustainability of the Agricultural Sector in the Face of Climate Change: Lessons from Different Country Experiences

**Abstract:** Climate change negatively affects agricultural production, yield, farmer income and food security and increases the economic vulnerability of the rural population, whose main source of livelihood is agricultural activities. The sector most affected by climate change is the agricultural sector, due to its direct relationship with climate parameters such as temperature and precipitation. According to UN data, the economic losses of countries affected by climate change-related disasters in the last ten years are 2240 billion USD. Economic losses from natural disasters are increasing globally and the agricultural sector may be vulnerable to these disasters. For this reason, it is necessary to limit the short, medium and long-term negative effects and to make the agricultural sector resistant to climate for food security. Climate smart agriculture means increasing agricultural production, yield and income as sustainable, adapting and building resilience to climate change, and reducing greenhouse gas emissions with every possible practices. Improved agricultural techniques and adaptation strategies are effective in reducing the vulnerability created by the negative effects of climate change. As a matter of fact, the results obtained in many countries applying the principles of climate-adaptive agriculture are promising. However, the level of success of the practices may vary from country to country or even in different regions of the same country, and some restrictions may arise in the application of these principles. The purpose of this study is to examine climate-smart agriculture efforts to increase the resilience of the agricultural sector against the vulnerability created by climate change, through different country experiences.

**Keywords:** Climate Change, Climate Smart Agriculture, Food Security

#### 1. GİRİŞ

Dünyada artan nüfusa bağlı olarak gıda ihtiyacı her geçen gün artmakta ancak iklimdeki değişiklikler tarım ve gıda üretimini sınırlamaktadır. İklim değişikliğinin neden olduğu sıcaklık ve yağış rejimindeki değişimler tarım sektöründe verimliliği düşürerek ürün miktarı ve kalitesini olumsuz etkilemektedir. Bu durum tarım sektörünün GSYİH'ya ve dolayısıyla ekonomik büyümeye olan katkısının da azalmasına neden olmaktadır (Hayaloğlu, 2018).

Tarım sektörü, özellikle az gelişmiş ülkelerde insanları yoksulluktan kurtarmak için önemli bir kaynaktır. Tarımsal büyüme hem yoksulluğu azaltmak hem de gıda güvencesini artırmak için genellikle en etkili ve adil bir strateji olarak kabul görmektedir. İklim değişikliği ise küresel bir olgu olarak halihazırda tarımsal üretimi küresel ve yerel düzeyde olumsuz etkilemektedir. Özellikle iklim değişikliklerine adaptasyon kapasiteleri daha zayıf olan düşük gelirli ülkelerde, bitkisel ve hayvansal üretim ile balıkçılığa yönelik iklim risklerinin önümüzdeki yıllarda artması beklenmektedir. 2030 yılına kadar mısır, pirinç ve buğday dahil olmak üzere dünyanın başlıca temel gıda ürünlerinin %90'ında iklim değişikliğinin bir sonucu olarak düşük veya durağan büyüme oranları öngörülmektedir (Kebede et al., 2019).

2050 yılında dünyada yaklaşık olarak beslenecek 9.7 milyar insan olacağı hesaplanmaktadır. Bu nedenle küresel gıda üretiminin artırılması ve adil dağılımının sağlanması konusu, üzerinde uzlaşılan küresel bir meseledir. Gıda üretiminin artırılması ise toprak verimliliği, erozyon, temiz su kaynakları ve biyoçeşitlilik üzerinde olumsuz etkilere yol açabilmektedir. Dahası gıda üretimi gübre, su ve enerji kaynaklarına ihtiyaç duymakta ve sera gazları üreterek iklim değişikliğine de yol açmaktadır (UN, 2015; Meyer et al., 2017). Yani tarım sektörü iklim değişikliğinden olumsuz etkilenirken, sera gazı üretimine katkısı nedeniyle iklim değişikliğinin de en önemli sebepleri arasındadır.

Kırsal alanların sosyo-ekonomik koşulları nedeniyle, iklim değişikliğinin etkileri kalkınmanın temellerini tehdit etmektedir. Çünkü iklim değişikliğine uyum ve gıda güvencesini sağlamak aynı madalyonun iki yüzü gibidir (FAO 2015). Bu yüzden, iklim değişikliği kapsamında küresel olarak genel anlayış zaman içinde, tarım ve gıda ürünleri üretiminde sürdürülebilir artıştan, gıda güvencesine doğru bir anlam kayması göstermiştir. Ancak gıda güvencesinin kendi içinde, birlikte ele alınması gereken çeşitli boyutlara (erişim, bulunabilirlik, kullanım, istikrar) (Dwivedi et al., 2017) sahip olması meseleyi daha komplike hale getirmektedir. İklim Uyumlu Tarım (CSA\_İUT), günümüzün küresel bu iki önemli meselesi için, yani gıda güvencesinin sağlanması ve sera gazı emisyonunun azaltılması için etkin bir araç olarak kabul edilmektedir (Ardakani et al., 2019). Buna istinaden, çeşitli uluslararası kuruluşlar, küreselden yerele her düzeyde gıda üretimini artıracak tarım sistemleri tasarlamak için Dünya Bankası (DB) ve Gıda ve Tarım Örgütü (FAO) paydaşlarıyla birlikte çalışmaktadır. Bu girişim ve çabalarla birlikte, İUT'ye küresel olarak geçiş, araştırmacılar, politika yapımcılar ve yatırımcılar gibi paydaşlar ile özel, kamu ve sivil toplum örgütleri dahil olmak üzere çeşitli kurumlar tarafından benimsenmiştir (Barasa et al., 2021). Bu gelişmeler ışığında, İUT'nin 2017 yılında yaklaşık 9.58 milyar ABD doları olan küresel pazar büyüklüğünün 2022'ye kadar 23.14 milyar ABD dolarına çıkması beklenmektedir (Shahbandeh, 2022).

İklim değişikliğine uyumun en önemli itici gücü elbette teknolojidir. İyileştirilmiş tarım teknikleri/uygulamaları ile uyum stratejileri, iklim değişikliğinin olumsuz etkilerinin yarattığı kırılganlığı azaltma potansiyeline sahiptir (FAO, 2012). Özellikle, İUT gıda ve beslenme güvencesini teşvik eden çabaları desteklemeyi, böylece tanımlı doğrultusunda temel uyum ve azaltma önlemlerini özümsemeyi amaçlamaktadır (Lipper et al., 2014). Bu çalışmanın amacı, birçok ülkede ve aynı ülkede farklı bölgelerde, farklı üretim faaliyetleri için uygulanan İUT deneyimlerini incelemek, ortak kısıtları ve çözümler konusundaki önerileri değerlendirmektir.

## 2. İKLİM UYUMLU TARIMIN HEDEFLERİ ve ÖZELLİKLERİ

Tarım sektöründe iklim değişikliğiyle ilgili zorluklara karşı dayanıklılığı artırmak, etkilerini azaltmak ve aynı zamanda tarımsal faaliyetin sürdürülebilirliğini korumak yenilikçi uygulamaların benimsenmesini gerektirmektedir. Bu uygulamalar grubu, FAO (2010) tarafından iklim uyumlu tarım (CSA\_İUT) olarak kapsamlı bir şekilde etiketlenmiştir. FAO, İUT'nin "tarımsal üretkenliği sürdürülebilir bir şekilde arttıran, tarım ve gıda sistemlerinin iklim değişikliğine karşı birçok düzeyde adaptasyonunu arttıran, mümkün olduğunda sera gazını azaltan/ortadan kaldıran ve ulusal gıda güvencesi ve kalkınma hedeflerine ulaşılmasını sağlayan bir tarım uygulamaları bütünü" olarak ele almaktadır. İUT, iklim değişikliği ile ilgili hususları tarım sektörüne yaymak için gerekli politika, teknik ve finansal araçları uygulamaya koymaları ve değişen koşullar altında sürdürülebilir tarımsal kalkınmayı işlevsel hale getirmeleri için bir temel oluşturmaları konusunda ülkeleri desteklemeyi amaçlamaktadır. Bu amaç doğrultusunda, İUT kamu ve özel sektör işbirliğinde yenilikçi finansman mekanizmaları, ilgili politika araçları ve kurumsal düzenlemelerin entegrasyonunu ve koordinasyonunu uygulamada birleştiren etkin bir araç olarak sunulmaktadır (FAO, 2013).

Tarım ve kapsamı doğrultusunda İUT'nin hedefleri,

1. Verimlilik: Tarımsal verimliliğin ve gelirlerin sürdürülebilir şekilde artırılması,
2. Adaptasyon: İklim değişikliği karşısında tarımsal faaliyeti işletme düzeyinden ülke düzeyine doğru daha dayanıklı kılmak,
3. Azaltma: Tarımsal uygulamalardan kaynaklanan sera gazı emisyonlarını azaltmak ve böylece ulusal gıda güvencesi ve kalkınma hedeflerine ulaşılmasını sağlamaktır (FAO, 2016; Basak, 2017; Nongmaithem et al., 2019; Abd El Mowla and Abd El Aziz, 2020).

İUT yaklaşımı doğal kaynakların yönetimini ve kullanımını geliştirerek, tarımsal ürünlerin üretimi, işlenmesi ve pazarlanması için uygun yöntem ve teknolojileri benimseyerek, özellikle küçük toprak sahiplerinin geçim kaynaklarını ve gıda güvencesini güçlendirmeyi amaçlamaktadır. Faydaları en üst düzeye çıkarmak ve verilen ödümleri en aza indirmek için İUT, uygulanacağı bölgede sosyal, ekonomik ve çevresel bağlamı dikkate almaktadır.

Enerji ve yerel kaynaklar üzerindeki yansımaları da bu kapsamda değerlendirilmektedir. Ana bileşen, ekosistem yönetimi ve sürdürülebilir arazi ve su kullanımı ilkelerini izleyen entegre bir alan yaklaşımıdır.

İUT'nin temel özellikleri:

**İUT iklim değişikliğini ele alır:** Geleneksel tarımsal kalkınmanın aksine İUT, iklim değişikliğini sürdürülebilir tarım sistemlerinin planlanması ve geliştirilmesine sistematik olarak entegre etmektedir.

**İUT, birden fazla hedefi entegre eder ve verilen ödümleri yönetir:** İdeal olarak, İUT üçlü kazanç sağlamaktadır. Bunlar: artan üretkenlik, gelişmiş esneklik ve azaltılmış emisyonlardır. Ancak çoğu zaman bu hedeflerin üçüne de aynı anda ulaşmak mümkün olmayabilir. Genellikle, İUT'yi uygulama zamanı geldiğinde, ödümler verilmesi gerekmektedir. Bu, katılımcı yaklaşımlarla belirlenen paydaş hedeflerine dayalı olarak sinerjileri belirlemeyi ve farklı seçeneklerin maliyet ve faydalarını hesaplamayı zorunlu kılmaktadır.

**İUT, ekosistem hizmetlerini sürdürür:** Ekosistemler, çiftçilere temiz hava, su, gıda ve girdiler olmak üzere temel hizmetleri sağlamaktadır. İUT uygulamalarının bunların bozulmasına yol açmaması zorunludur. Bu nedenle İUT, sürdürülebilir tarım ilkelerini temel alan, ancak koordine edilmemiş ve rekabetçi arazi kullanımlarıyla sonuçlanan dar sektörel yaklaşımların ötesine geçen, entegre planlama ve yönetime giden bir yaklaşımı benimsemektedir (FAO, 2012).

**İUT'nin farklı seviyelerde birden fazla giriş noktası vardır:** İUT, bir dizi uygulama ve teknoloji olarak algılanmamalıdır. Teknolojilerin ve uygulamaların geliştirilmesinden iklim değişikliği modellerinin ve senaryolarının, bilgi teknolojilerinin, sigorta planlarının, değer zincirlerinin, kurumsal ve politik olarak sağlayan ortamların güçlendirilmesine kadar çok sayıda giriş noktasına sahiptir. Bu nedenle, çiftlik düzeyinde teknoloji uygulamanın ötesine geçmekte ve gıda sistemi, değer zinciri veya politika düzeyinde çoklu müdahalelerin entegrasyonunu içermektedir.

**İUT bölgeye (coğrafyaya) özeldir:** Bir yerde iklim açısından uyumlu olan bir uygulama başka bir bölgede iklim açısından uyumlu olmayabilir ve hiçbir müdahale her yerde veya her zaman iklim açısından uyumlu olarak kabul edilememektedir. Müdahalelerin, farklı unsurların arazi düzeyinde, ekosistemler içinde veya arasında ve farklı kurumsal düzenlemelerin ve politik gerçekliklerin bir parçası olarak nasıl etkileşime girdiği hesaba katılmalıdır. İUT'nin genellikle sistem düzeyinde birden çok hedefe ulaşmaya çalışması gerçeği, deneyimleri bir alandan diğerine aktarmayı özellikle zorlaştırabilmektedir.

**İUT, kadınları ve marjinal grupları devreye sokar:** Gıda güvencesi hedeflerine ulaşmak ve dayanıklılığı artırmak için, İUT yaklaşımları en yoksul ve en savunmasız grupları içermelidir. Bu gruplar genellikle kuraklık ve sel gibi iklim olaylarına karşı en savunmasız olan marjinal topraklarda yaşamaktadır. Bu nedenle, en çok etkilenen gruplar olarak değerlendirilmektedir. Cinsiyet, İUT'nin bir başka merkezi yönüdür. Kadınlar genellikle, işleyebilecekleri araziye veya kuraklık ve sel gibi olaylarla başa çıkmak için uyum kapasitelerini geliştirmeye yardımcı olabilecek diğer üretken ve ekonomik kaynaklara daha az erişime ve yasal haklara sahip olabilmektedir.

Bunlara ek olarak, İUT tüm yerel, bölgesel ve ulusal paydaşları karar alma süreçlerine dahil etmeye çalışmaktadır. Ancak böyle yaparak, en uygun müdahaleleri belirlemek ve sürdürülebilir kalkınmayı sağlamak için ihtiyaç duyulan ortaklıkları ve işbirliğini oluşturmak mümkün olabilmektedir (Dwivedi et al., 2017).

### 3. İKLİM UYUMLU TARIM TEKNOLOJİLERİ ve UYGULAMALARI

Dünya genelinde İUT kapsamına giren yüzlerce tarım uygulaması ve teknolojisi bulunmaktadır. İklim uyumlu tarımın en az bir boyutu elde edildiğinde, tarım uygulamaları ve teknolojileri "iklim-uyumlu" olarak değerlendirilebilmektedir.

İUT uygulamaları ve teknolojileri, tarım sektörünün dayanıklılığını artırmak, doğal afetlerin üretim üzerindeki etkisini azaltmak için önemli bir araç olarak belirlenmiştir. En umut verici görülen uygulamalar, geliştirilmiş çeşitlerin (kuraklık, tuzluluk ve sıcaklık koşullarına dayanıklı), entegre zararlı ve hastalık yönetimi, su tasarrufu teknikleri (lazer arazi tesviyesi, eğimli arazilerin işlenmesi) ve ürün rotasyonu ile ara ürün ekimi yoluyla geçim kaynaklarının çeşitlendirilmesidir (Wilderspin et al., 2019). Belli başlı uygulamaların yanı sıra, bazı iklim uyumlu önlemler, güneş enerjili sulama sistemleri gibi yenilikçi teknolojik uygulamalardan, ürün çeşitlendirmesi, optimize edilmiş ekim tarihleri gibi yönetim değişikliklerine kadar uzanmaktadır. Yüksek verimli, ısıya dayanıklı, kuraklığa dayanıklı ve haşerelere dayanıklı ürün çeşitleri ve hayvancılık ırkları geliştirmek için araştırmalara yatırım yapmak özellikle önemli görülmektedir (CIAT; World Bank. 2017).

Hızlı büyümeye eşlik eden İÜT teknolojilerinin ana teması, hassas çiftçiliktir (Demirbaş, 2018). Yer gözlem uyduları, Küresel Konumlandırma Sistemi (GPS) ve Coğrafi Bilgi Sistemi (CBS) teknolojilerinin entegrasyonu, hassas tarım uygulamalarının geniş kapsamını, tarla ve bahçelerin hassas izlenmesi ve haritalanması için kullanıma sunmaktadır. Bu bağlamda, inceleme sonuçları, hassas tarım uygulamalarının, değişen ekonomik ve çevresel faktörler altında etkin karar vermeyi destekleyen ve çiftçilere daha fazla veri sağlamayı sürdüren kanıtlarını göstermektedir (Barasa et al., 2021).

Diğer bazı İÜT uygulamaları arasında malçlama, tarımsal ormancılık, iyileştirilmiş mera yönetimi ve otlatma ile iyileştirilmiş su yönetimi gibi pratik teknikler de bulunmaktadır (Kebeda et al., 2019). İÜT'yi destekleyebilecek diğer bazı uygulamalar arasında, su depolamayı artırmak için çiftliklerde lagünlerin oluşturulması, yağmur hasadı, nehir kıyısındaki tamponların korunması, bataklıkların kurutulması ve iyileştirilmiş toprak verimliliği yönetimi uygulamaları da sayılabilir (Milder et al., 2015; Wichmann, 2018).

Organik tarım da sera gazının azaltılması ve karbon havuzu sağlanması için önemli bir yöntemdir (Sağlam ve Çetin, 2018). Yine İyi Tarım Uygulama (İTU) prensipleri İÜT uygulamaları hedefleri ile paralellik gösterdiği için iklim değişikliğinin sonuçlarını bertaraf etmede önemli tarımsal uygulamalar olarak değerlendirilebilir (Demirbaş, 2019).

#### **4. FARKLI ÜLKELERİN İKLİM UYUMLU TARIM DENEYİMLERİ ve ÜLKE DENEYİMLERİNDEN ELDE EDİLEN DERSLER**

İÜT çabaları sorun küresel olduğu için tüm dünya ülkeleri tarafından uzun zamandır sürmektedir. Tarım sektörünün ülke ekonomilerindeki yeri ve önemi nedeniyle az gelişmiş ülkelerde ortaya çıkan iklim değişikliği negatif sonuçları yıkıcı olabilmektedir. Bu ülkeler agro-ekolojik koşulları itibarıyla dezavantajlı coğrafyalarda yer aldığına kırsal alanlar ve çözümlerin aciliyeti artmaktadır. Söz konusu ülkeler için birçok uluslararası kuruluş proje geliştirme ve uygulama desteği vermektedir. Özellikle BM ve DB bu projelerin paydaşları arasında önemli bir yere sahiptir. Tarım sektörü stratejik önemi nedeniyle gelişmiş ülkeler için de vazgeçilmez bir sektördür. Bu nedenle, iklim değişikliğinin negatif sonuçlarına karşı tarım sektörünün dayanıklılığını artırmak gelişmiş ülkeler için de öncelikli konular arasındadır. Bu bölümde az gelişmiş ve gelişmiş ülke örnekleri ile İÜT deneyimleri incelenmiş ve deneyimlerden elde edilen dersler değerlendirilmiştir.

##### **4.1. Afrika Deneyimi**

Ekonomik ve ekolojik faktörler nedeniyle iklim değişikliğinin etkilediği önemli coğrafi alanlardan biri Afrika kıtasıdır. DB'ye göre, 54 Afrika ülkesinden sadece 14'ü (%26) gelişmiş İÜT ülke profiline sahiptir. Bunlar Benin, Fildişi Sahili, Etiyopya, Kenya, Lesotho, Malavi, Mozambik, Ruanda, Senegal, Tanzanya, Gambia, Uganda, Zambiya ve Zimbabve'dir (Barasa et al., 2021). Kıtada farklı ülke ve aynı ülkenin farklı bölgelerinde farklı İÜT projeleri sürdürülmektedir. Yavaş benimseme oranlarına rağmen, önemli sonuçların elde edildiği uygulamalar mevcuttur. Literatürden elde edilen bazı ülke deneyimleri aşağıda sunulmaktadır.

Kenya, iklim değişikliğine karşı tarım sektörünün dayanıklılığını artırabilmek için Kenya İklim-Uyumlu Tarım Programını (2015–2030) oluşturmuştur. Kenya'da nüfusun %74'ü kırsal alanlarda ikamet ederken, 11 milyon kişi tarım sektöründe aktif olarak istihdam edilmektedir. Ülkede İÜT'yi vurgulayan örnek projelerdeki olumlu sonuçlar, tarımsal üretimdeki yaklaşımın sürdürülebilir olduğunu ve küçük ölçekli çiftçilerin yaşam standartlarını yükseltebileceğini kanıtlamıştır. Bununla birlikte, projelerin yalnızca 2-5 yıllık kısa bir ömrü olmuştur. İÜT'nin daha faydalı olması için, İÜT'nin politika veya uzun vadeli stratejik planlara yerleştirilmesi önerilmektedir (Barasa et al., 2021). Yine, İÜT projelerinin yaygın olarak benimsenmesi için sosyal sermaye oluşturmanın ve katılımcı öğrenme yaklaşımlarını benimsemenin önemli stratejiler olduğu üzerinde durulmaktadır. Hem sera gazı emisyonları hem de yoksulluğun azaltılması üzerinde önemli bir etki yaratmak için sürdürülebilir tarım arazisi yönetimi uygulamalarının yaygın olarak benimsenmesi gerekliliği vurgulanmaktadır. Bununla birlikte, çiftçi benimseme oranlarıyla ilgili kalıcı zorluklar, projelerin ölçeğini büyütmesini ve tam potansiyellerine ulaşmasını engellemektedir. Çiftçilerin İÜT uygulamalarını benimsenme düzeylerini artırma çabaları, hem teknolojiyi ve bilgiyi mümkün olduğu kadar geniş bir coğrafi bölgede mümkün olduğunca çok insana yaymak için yukarıdan aşağıya yaklaşımları, hem de insan kapasitesini geliştirmek ve bir öğrenme ortamını teşvik etmek için aşağıdan yukarıya stratejileri içermesi önerilmektedir (Lee, 2017).

Çeşitli İÜT teknoloji kombinasyonlarına yatırım olasılığını değerlendirmek için Malavi, Mozambik ve Zambiya'da iki yıl boyunca 3622, 2106 ve 5212 mısır-baklagil parsellerini kapsayan bir araştırmanın sonuçları, korumalı tarım, geliştirilmiş çeşitler ve tahıl-baklagil bitki türlerinin birlikteliği ilkelerine dayalı toprak ve su koruma yönetimi

uygulamalarını birleştiren İUT seçeneklerinin ekonomik olarak uygulanabilir olduğunu göstermiştir. Bununla birlikte, başarılı çiftlik denemeleri, zaman içinde İUT teknolojileri ve uygulamaları için yaygın ve sürdürülebilir kabullere dönüşmekte başarısız olmuştur. Bunun nedenleri arasında, farklı agro-ekolojik ve yine heterojen sosyo-kültürel ve sosyo-ekonomik küçük çiftçilik sistemleri altında İUT teknolojilerinin uygulanmasının zorluğu gösterilmiştir (Mutenje et al., 2019). Çalışmada, küçük işletmeler için uygun İUT kombinasyonlarının uyarlanmasında kültürel bağlamın, sosyal uygunluğun ve hane içi karar vermenin önemi üzerinde durulmaktadır.

Malavi ve Zambiya'da yapılan bir diğer araştırmada hanehalkı anketleri yoluyla oluşturulan bir veri seti kullanılarak çiftlik ölçeğinde ekonomi ve ekoloji bilim unsurlarını birleştiren disiplinler arası bir model geliştirilmiş ve uygulanmıştır. Sonuçlar, konvansiyonel tarımdan İUT'ye geçişin, yarı kurak alanlarda ekonomik getiriyi artırdığını göstermektedir. Bununla birlikte, yüksek ön maliyetler, teknolojinin benimsenmesini engellemektedir. Asgari toprak işleme, örtü bitkilerinin kullanılması ve baklagillerin dahil edilmesine dayalı arazi yönetimi, nispeten daha yüksek ekonomik getirilere sahiptir. Tarımsal ormancılık, daha düşük ekonomik getiri sağlarken, en yüksek emisyon azaltma potansiyeli sunmaktadır. Azaltma faydalarına yönelik ödemeler, uygun şekilde uyarlanırsa tarımsal üretimi teşvik eden bir yönetim stratejisi geliştirilebileceği belirtilmektedir (Branca et al., 2021).

Korumalı tarım (KT), arazi bozulmasını (yani, toprak erozyonu, toprak verimliliğindeki düşüş ve hidrolojik zorluklar) en aza indirmeye yardımcı olarak, verimliliği iyileştirebilir ve daha iyi toprak karbon tutulmasını teşvik edebilir. Etiyopya'nın kurak alanlarındaki küçük işletmeler, İUT ile entegre edilebilecek toprak ve su koruma becerileri ve deneyimleri geliştirmiştir. Bu uygulamaların birçoğu Sürdürülebilir Arazi Yönetimi Programı gibi projeler aracılığıyla entegre havza yönetimi yaklaşımı çerçevesinde uygulanmaktadır (CIAT;BFS/USAID, 2017). Ancak, kısa vadeli verim iyileştirmeleri, büyük ölçüde eğimin dikliğine ve agro\_ekolojik koşullara bağlıdır. Bu nedenle, KT ile toprakların restorasyonu ve verimdeki iyileştirmeler, dik yamaçlarda ova alanlara göre daha uzun sürmektedir. Genel olarak, küçük işletmeler tarafından KT'nin benimsenmesi, mekanizasyon kullanımının azlığı, toprak verimliliği yönetimi seçeneklerinin olmaması ve diğer kullanımlarla ürün artıkları için rekabet nedeniyle sürekli olarak düşük olmuştur (CSA, 2019). Küçük işletmeler arasında KT'nin ve tarımsal ormancılık gibi bazı İUT uygulamalarının ve teknolojilerinin benimsenme seviyeleri düşük kalmaktadır. Çiftçilerin riskleri yönetme ve uzun vadeli iklim eylemlerine yatırım yapma yeteneklerini artırmak için iyileştirilmiş girdilere, ekipmana, kredi ve sigorta planlarına erişim sağlamak için de artan kamu ve özel desteğe ihtiyaç olduğu belirtilmektedir. Son derece parçalı araziler, bazı İUT çalışmalarının etkili bir şekilde uygulanmasını engellemektedir. Arazi kullanım rejimleri ise küçük toprak sahiplerinin kredi erişimini önemli ölçüde sınırlamaktadır. Mikrofinans sağlayıcılarının, çiftlikte İUT ve sürdürülebilir arazi yönetimi uygulamalarına yatırım yapmanın maliyetleri ve faydaları konusunda duyarlı hale getirilmesi önerilmektedir (CIAT; BFS/USAID. 2017).

Yine bir Afrika ülkesi olan Gana'da, nüfusun çoğunluğunun geçim kaynağı, arazi bozulmasının olumsuz etkileri nedeniyle tehdit altındadır. Bu durumun, ormansızlaşmadaki artış, artan toprak erozyonu ve sık görülen kuraklıklar nedeniyle daha da kötüleştiği belirtilmektedir. Bu zorluklar, bitkisel ve hayvansal üretimde verim azalmasına ve dolayısıyla gıda güvencesinin sağlanmasında ve uyum sağlama becerisinde sorunlara yol açmaktadır. Ülkede ortalama olarak, tüm İUT uygulamalarının pozitif sonuçları olmuştur. Uygulamaların su mevcudiyetini iyileştirdiği, toprak erozyonunu azalttığı, biyolojik çeşitliliği artırdığı ve hava kalitesini iyileştirdiği belirtilmektedir. Bununla birlikte, ülkenin farklı tarımsal-ekolojik bölgelerinde aynı sonuçlar için genelleştirme yapılamayacağı da vurgulanmaktadır (Karanja Ng'ang'a et al., 2017).

Lesotho'daki mevcut tarımsal üretim, mera hayvancılığı ve ekili alanların genişletilmesine odaklanmaktadır. Lesotho İklim-Uyumlu Tarım Yatırım Planı, ticari tarıma ve esnek bir ortama odaklanarak İUT'yi modern bilimsel bilgiyi geleneksel bir tarım sistemi olan Machobane Tarım Sistemi ile birleştirmiştir. Sonuç olarak, İUT artan üretkenlik ve gelir, gelişmiş gıda güvencesi ve beslenme çeşitliliği; iklim değişikliğinin tarımsal ürünler üzerindeki azaltılmış etkileri ve iyileştirilmiş ticaret, istihdam olanakları ve kırsal geçim kaynaklarına ulaşmayı mümkün kılmıştır. Bu başarının ardından, Lesotho Hükümeti halen Küçük Çiftçi Tarımsal Kalkınma Projesi olarak adlandırılan ikinci aşamayı uygulamaktadır. Bu aşama, çiftlik düzeyinde tarımsal üretkenlik ve dayanıklılık için dönüştürücü müdahaleleri desteklemekte, tarımsal sonuçların sürdürülebilirliğini sağlamak için kurumsal düzeyde çözümler sunmaktadır.

Mali, ulusal bir İklim-Uyumlu Tarım Yatırım Planı geliştirmek için DB tarafından koordine edilen çok ülkeli bir çabaya dahil olmuştur. Bu plan yerleşik bir çerçeve kullanmakta ve programlar, politikalar, ulusal stratejik planlar ile yerel, ulusal, bölgesel ve uluslararası kurumları kapsamaktadır. Mali, iklim değişikliğine uyum sağlamalarına yardımcı olarak 1.8 milyondan fazla yararlanıcı ve aileleri için üretimin direncini ve verimi artırmak için gereken 12 yatırım ve eyleme öncelik vermiştir (Barasa et al., 2021).

Mısır da gıda güvencesini sağlamada birçok zorlukla karşı karşıyadır. İklim değişikliği, stratejik ürünlerde kendi kendine yeterliliği sağlamada tarımsal üretimin önündeki engellerden biridir. Yapılan çalışmada, küçük çiftçilerin İUT uygulamalarını destekleyerek, iklim değişikliğine uygun, sera gazı emisyonlarını azaltan ve tarımsal üretimi artıran modern tarım yöntemlerinin kullanılmasını ve sürdürülebilir sistemli bitkisel, hayvansal ve su ürünleri üretiminin benimsenmesi önerilmektedir. Mısır'da İUT sistemlerinin kurulması için gerekli finansmanın sağlanması, çiftçilere çeşitli yayım hizmetleri sağlanması ve organik tarım alanının artırılması gerekliliği de vurgulanmaktadır (Abd El Mowla and Abd El Aziz, 2020).

#### 4.2. Latin Amerika Deneyimi

İUT projelerinin yoğun olarak uygulandığı bir diğer coğrafi alan ise Latin Amerika'dır. Bu bölgede yapılan çalışmalar Kolombiya ve Meksika örnekleri ile incelenmiştir.

İUT Kolombiya'da halihazırda genellikle sistematik olmayan bir şekilde uygulanmaktadır ve genel olarak düşük benimseme oranlarına sahiptir. Tarımsal-iklimsel riskleri analiz etmek, en umut verici İUT uygulamalarını belirlemek, adaptasyon ve azaltma müdahalelerini uygulamak için, ulusal ve yerel düzeylere odaklanan planlama süreçlerine ve üreticilerin uygulamaları benimsemelerinin önündeki engelleri aşmalarına yardımcı olmak için kamu kurumlarının yardımına ihtiyaç bulunmaktadır. Ayrıca, kırsal kalkınmaya odaklı mali desteği artırmaya yönelik artan çabalara rağmen, kırsal tarım pazarlarının daha da geliştirilmesi için kapsamlı bir tarım risk yönetimi stratejisine ihtiyaç olduğu da vurgulanmaktadır (World Bank; CIAT; CATIE, 2014a). Yine, inovasyon platformlarının yerel koşullara ve önceliklere karşılık gelen İUT seçeneklerinin toplu olarak anlaşılmasını ve kullanılmasını kolaylaştırabileceği ve İUT uygulamalarının daha geniş ölçekte benimsenmesini teşvik etmek için politika teşvikleri uygulanması gerektiği üzerinde de durulmaktadır (Osorio-García et al., 2020).

Meksika, İUT projelerinin uygulanması için çok çeşitli uluslararası fonlara, güçlü bir kolaylaştırıcı ortama ve uluslararası donör kurumlarla işbirliğine erişmiştir. Bununla birlikte, birden fazla tarımsal ekosisteme ve sosyo-ekonomik koşullara sahip bir ülke olduğu için İUT uygulamalarının yerel ve bölgesel koşullara uyarlanması gerektiği üzerinde durulmaktadır. Bilgi üretimi, toplanması ve yayılması için kamu, özel ve akademik aktörlerle resmileştirilmiş bir inovasyon sisteminin oluşturulması önerilmektedir. Uygun adaptasyon ve azaltma seçeneklerinin belirlenmesi, hava durumu, tarımsal göstergeler ve piyasa bilgilerini derleyen, analiz eden ve sonuçları çeşitli paydaşlara ve karar vericilere sunan Entegre Karar Destek Sistemlerinin geliştirilmesi ve toplanan veri ve bilgilere erişimin önemi, üzerinde durulan bir diğer husustur. Çiftçi birliklerinin, küçük işletmelerin yaygın olduğu Meksika'da parçalanmış arazi mülkiyetine ölçek ekonomileri yaratarak, üretkenliği artırmaya yardımcı olabileceği vurgulanmaktadır. Yenilikleri ve girişimciliği teşvik eden tarımsal kredileri ve garantileri kolaylaştıran girişimlerin, uzun vadede sürdürülebilir çiftçi yatırımlarını teşvik edebileceği değerlendirilmektedir (World Bank; CIAT; CATIE, 2014b).

#### 4.3. Asya Deneyimi

İUT projelerinin uygulandığı bir diğer coğrafi alan ise Asya'dır. Bu bölgede yapılan çalışmalar Pakistan, İran ve Lübnan örnekleri ile incelenmiştir.

İklim değişikliği, Pakistan'da milyonlarca ailenin geçim kaynağı olan tarım sektörü için bir tehdit oluşturmaktadır. Halihazırda, ülke genelinde birçok İUT uygulamasına yer verilmektedir. Projelerin birçoğu Asya Kalkınma Bankası ve DB tarafından desteklenmektedir. Mevcut finansmandan yararlanarak, yeni finansman kaynaklarını oluşturarak, yoksul yanlısı politikaları teşvik ederek ve kurumları harekete geçmeye teşvik ederek, ülkede daha sürdürülebilir ve üretken tarım sistemlerine yönelik dönüşümün sağlanabileceği belirtilmektedir. Teknoloji kullanımının yanı sıra özellikle küçük ölçekli işletmelere yerel ve uluslararası kaynaklarla finansman sağlanması, İUT'nin yaygınlaşması için önemli görülmektedir (CIAT; World Bank. 2017).

Pakistan'da tarım sektörü paydaşları arasında, toprak sağlığının kötü yönetildiği veya ihmal edildiği, su ve karbon depolama kapasitesinin düşürüldüğü, aşırı ve dengesiz girdi kullanımı yoluyla girdi maliyetlerinin arttığı konusunda giderek artan bir kabul bulunmaktadır. Aynı zamanda, su güvenliği sorunları, çiftçiler üzerinde su tasarrufu uygulamalarını benimsemeleri için daha fazla baskı yapmaktadır. Artan tüketimin (nüfus artışının) 2050 yılına kadar azalan kullanılabilirliği (azalmış buzul erimesi) geride bırakması nedeniyle beklenen su güvenliğinin artan bir sorun haline gelmesi beklenmektedir. İUT uygulamaları ve teknolojilerinin, tarım ve kırsal toplulukların karşı karşıya olduğu mevcut tehditlere karşı dayanıklılık sağlamakla kalmayıp, aynı zamanda gelecekteki risklere hazır olmalarını da sağlayacağı vurgulanmaktadır. Tarım ve finans kurumlarının, İUT uygulamalarını benimsemeleri için küçük toprak sahiplerine gelişmiş teknik ve mali destek sağlamaları ve nihai olarak tarım

sektörünü bir bütün olarak geçim kaynaklarını iyileştirmek için teşvik etmeleri önerilmektedir (Wilderspin et al., 2019).

İran'da İUT anlayışını modelleyen bir çalışmaya göre, rotasyon sistemleri gıda güvencesini sağlamada etkili bulunmamıştır. İklim değişikliğine yönelik stratejilerin uyarlanması bilgi, eğitim ve teknoloji transferini gerektirmektedir. Bu nedenle ülkede kısmi verimliliklerin (toprak, emek, su, sermaye vb.) artırılması için gıda dostu iklim sistemine uygun teknik ve davranışsal yatırımların gerekliliği üzerinde durulmaktadır. Çiftlik düzeyinde bitkisel ve hayvansal üretim ile su ürünleri üretim yönetimine yönelik İUT teknolojileri ve uygulamalarının, gıda güvencesi, adaptasyon ve azaltma arasındaki etkileşimlerinin tanımlanması önerilmektedir. Tarım sektörünün kapsamlı bir modernizasyona ve doğal kaynakların (özellikle su) tüketimini azaltabilecek ve İran tarımının etkinlik ve verimliliğini artıracak en yeni teknolojilerle güncellenmesine ihtiyacı olduğu belirtilmektedir (Ardakani et al., 2019).

Lübnan'da konu ile ilgili yapılan araştırmanın bulguları, çoklu sürdürülebilir tarım uygulamalarının kullanılmasının, özellikle küçük aile çiftlikleri düzeyinde, gıda güvencesini her zaman iyileştiremeyebileceğini göstermektedir. Çalışmanın yatay kesit verilerini içermesi nedeniyle uygulamaların uzun vadeli faydalarını yakalayamamış olabileceği vurgulanarak; tarımı canlandırmak ve küçük işletmelerin tarım dışı faaliyetlere aşırı geçişini önlemek için, yerel fırsatlardan yararlanan, açık bir şekilde tasarlanmış tarım politikalarına ihtiyaç olduğu belirtilmektedir. Çalışma, kamu yayım sisteminde bir başarısızlığa ve çoklu (çevresel olarak sürdürülebilir) uyum uygulamalarının kullanımındaki belirsizliğe işaret etmektedir. Hükümetin, küçük aile çiftçilerine ulaşmak için yayım hizmetlerini genişletmesi ve su ile tarım arazisi gibi bölgedeki kıt kaynaklar üzerinde tasarruf sağlayabilecek yenilikçi iklim değişikliğine uyum tekniklerini kullanma kapasitelerini geliştirmesi önerilmektedir. Ayrıca tarım sektörünün canlandırılması, küçük işletmelerin likidite sorunlarının hafifletilmesini ve çiftlik girdilerine, pazarlara ve finansmana erişimlerini iyileştirmek için ürün sigortası mekanizmalarının sağlanması gerektiği üzerinde de durulmaktadır (Al Dirani et al., 2021).

#### 4.4. Avrupa Deneyimi

Gelişmiş ekonomilere örnek oluşturabilecek bir coğrafi alan olarak Avrupa Birliği (AB) de İUT deneyimine sahip alanlardan biridir. AB yakın zamanda üye devletleri, ekonomik araçlar ile Kırsal Kalkınma Programlarına İUT uygulamalarını dahil etmeye teşvik etmiştir. Zorunlu seviyelerin ötesinde belirli İUT planlarını gönüllü olarak benimseyen çiftçilere kamu tazminatı verilmektedir.

Bununla birlikte, Avrupa'da da özellikle küçük işletme sahipleri iklim değişikliğine maruz kalsalar da, çiftçilik uygulamalarını değiştirme yönünde teknik olarak hazırlıksız veya yenilikleri benimseme konusunda isteksiz olabilmekte veya uzun vadede değişikliklerin avantajlarını algılamada sorun yaşayabilmektedir. Çiftçilik yapıları değişikliklere uygun olmayabilmekte veya mevcut politikalar yeterince iyi tasarlanmamış veya belirli çevresel koşullara göre uyarlanmamış olabilmektedir.

Konu ile ilgili çalışmalar (Wichmann, 2018) belirli politika önlemleri yoluyla sağlanan mali desteğin İUT uygulamasını teşvik etmek için yetersiz olduğunu göstermektedir. Örneğin, tarımda suyun korunmasına yönelik bazı AB planları, çiftçilerin hedefleriyle uyumsuzlukları nedeniyle başarısız olmuştur. Benzer şekilde, çiftçilerin özellikleri (örn. eğitim) ve bilgiye erişim, yeniliğin benimsenmesinde olumlu bir rol oynarken, artan yaş ve tarım dışı faaliyetlerde istihdam bunu engelleyebilmektedir.

İtalya'da- ayrıca Güney Avrupa'da- çiftliklerin büyük bir bölümünün yarı zamanlı olarak yönetildiği göz önüne alındığında, İUT uygulamalarının yayılmasını artırmak için çiftçilere doğru bir tavsiyenin sağlanması da önerilmektedir. Yarı zamanlı çiftçilerin, genel çiftçilik sistemini etkileyen İUT uygulamalarını benimsemek için gerekli uzmanlığa sahip olmayabileceği belirtilmekte, bu konunun muhtemelen mevcut politikada politika yapıcılar tarafından gözden kaçırılmış olabileceği vurgulanmaktadır. Çiftçiler arasında bilgi paylaşımı için bilgi sağlama araçlarının da ağların gelişimini tetikleyen yatay bir yaklaşımla, yukarıdan aşağıya bir yaklaşımı entegre ederek geliştirilmesi (kolektif öğrenme süreci) gerekmektedir. Ayrıca, akranların sosyal baskısının olumlu davranışları harekete geçirebileceği ve politika yapıcılarının, uygulamaları benimsemeyi ve sürdürmeyi teşvik etmenin bir yolu olarak sosyal onaydan yararlanması da öneriler arasındadır (Pagliacci et al., 2020).

### 5. SONUÇ VE ÖNERİLER

İklim değişikliği gerçeği ve bunun çevre, sosyo-ekonomik faaliyetler ve gıda güvencesi üzerindeki olumsuz etkileri açıktır. İUT, iklim değişikliği karşısında tarımsal uygulamaları, politikaları, kurumları ve finansmanı bir araya

getiren ve iklim değişikliği eylem planlarını doğru şekilde uygulayan ulusal planlama süreçleri ile koordine edilmesi gereken bir yaklaşımdır. Gıda güvencesi için sürdürülebilir tarımsal kalkınmayı sağlamak amacıyla teknik, politika ve yatırım koşullarını geliştirmeye yöneliktir. İklim değişikliğinin tarım sistemleri üzerindeki etkilerinin büyüklüğü, geniş kapsamı, bu etkilerin ulusal tarımsal planlara ve programlara kapsamlı bir şekilde entegrasyonunu gerektirmektedir.

İncelenen tüm ülke deneyimlerinin ortaya koyduğu en önemli ortak sorun bilgi teknolojilerinin ve İÜT uygulamalarının küçük ölçekli çiftçilere ulaştırılmasının, çiftçiler tarafından benimsenmesinin ve belki daha da önemlisi bu uygulamaların sürdürülebilirliğin sağlanması noktasındadır. Küçük çiftçilere bilgi aktarımının sağlanması kadar, değişim sürecinin bütünü için finansman ihtiyacının planlanması ve sağlanması ortak bir kısıt olarak ortada durmaktadır. İÜT uygulamalarının benimsenmesi ve ölçeğinin büyütülmesi, bilgiyi yaymak, geniş katılımı sağlamak ve politikaları uyumlu hale getirmek için uygun kurumsal ve yönetim mekanizmalarını gerektirmektedir. Özellikle küçük ölçekli üretim koşullarında uygun uyum stratejilerinin geliştirilmesi, giderek artan iklim değişikliği ile başa çıkmak için zorunluluk arz etmektedir. Örnekler, tüm İÜT hedeflerine aynı anda ulaşamayabileceğini göstermektedir. İklim değişikliği karşısında tarım sektörünün kırılganlığını azaltmak için, bölgelerin ve çiftçilerin özelliklerine uygun ve hedef ürün/ürünlere özel öncelikler belirlenmeli ve faydalar ile ürünler birlikte değerlendirilmelidir. İÜT uygulamalarının sürdürülebilirliği için, sahada izleme, destekleme ve değerlendirme süreç ve mekanizmalarının güçlü bir şekilde oluşturulması da son derece önemli görülmektedir.

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## Tüketicilerin Sağlıklı Gıda Algısı ve Satın Alma Davranışları: Gümüşhane İli Örneği

Dr. Öğr. Üyesi Nilgün Doğan<sup>1</sup>

Doç. Dr. Hakan Adanacıoğlu<sup>2</sup>

<sup>1</sup> Gümüşhane Üniversitesi / Kelkit Aydın Doğan MYO, nilgun\_stu@hotmail.com, ORCID: 0000 0002 7142 8296

<sup>2</sup> Ege Üniversitesi / Ziraat Fakültesi, Tarım Ekonomisi Bölümü, hakan.adanacioglu@ege.edu.tr, ORCID: 0000-0002-8439-8524

**Özet:** Gıda ürünlerinin tüketici tarafından kabulü, pazarlama alanında çok önemli bir konu olarak yıllardır pek çok araştırmada ele alınmaktadır. Son yıllarda, sağlıklı yaşam trendinin artması, sağlık üzerinde olumlu etkileri olan gıda ürünlerine olan talebin artmasını sağlamıştır. Bununla beraber demografik ve sosyo-ekonomik faktörlerdeki değişimler, ülkelerde sağlıklı gıdalara olan ilgiyi her geçen gün artırmaktadır. Dünyadaki tüketim alışkanlıkları, tüketicilerin sağlıklı gıda algılarına göre şekillenmektedir. Bu bakımdan tüketicilerin sağlıklı gıdaya yönelik algı ve tutumlarının belirlenmesi, tüketicileri sektöre çekmeye yönelik pazarlama politikalarının geliştirilmesini sağlamak için önemlidir. Ayrıca, tüketici algısını ve sağlıklı gıda tercihini anlamak, politika yapıcılara kurallar ve politikalar geliştirmeleri için kritik bilgiler sağlayacaktır. Tüketicilerin gıda ürünlerinde mevcut risklere ilişkin sağlık algısını bilmek, bilimsel bilgilerin yanı sıra sağlık algısını etkileyen subjektif yönleri de dikkate alması gereken açık ve şeffaf iletişim stratejileri tasarlamak için esas olacaktır. Tüketicilerin sağlıklı gıda algısının satın alma davranışlarına ne şekilde yansıdığını belirlemek bu çalışmanın temel odak noktasını oluşturmaktadır. Çalışmada, Gümüşhane ilinde yaşayan tüketicilerin sağlıklı gıda algısı ile satın alma davranışları arasındaki ilişkinin incelenmesi amaçlanmaktadır. Araştırma verisi, Google form kullanılarak tüketiciler ile gerçekleştirilen online anketler ile elde edilmiştir. Gümüşhane il merkezinde yaşayan 166 tüketiciyle yapılan anketlerden elde edilen veriler uygun istatistiksel yöntemlerle analiz edilmiştir. Tüketicilerin sağlıklı gıda algısı ile satın alma davranışları arasındaki ilişki incelenirken tüketicilere çeşitli önermeler sunulmuştur. Görüşülen tüketicilerin önermelere verdiği yanıtlar 5'li likert ölçeği ile ölçülmüştür. Çalışmadaki bulgular tüketicilerin sağlıklı ya da güvenilir gıda kavramını doğruya yakın düzeyde algıladığını ortaya koymaktadır. Ayrıca çalışmada, yaş artışına bağlı olarak sağlıklı gıda kavramının daha doğru algılandığı sonucuna ulaşılmıştır.

**Anahtar Kelimeler:** Sağlıklı Gıda, Algı, Satın Alma Davranışı, Tüketiciler

### Healthy Food Perception and Purchasing Behaviors of Consumers: The Case of Gümüşhane Province

**Abstract:** Consumer acceptance of food products has been addressed in many researches for years as a very important issue in the field of marketing. In recent years, the increase in the healthy life trend has led to an increase in the demand for food products that have positive effects on health. However, changes in demographic and socio-economic factors increase the interest in healthy foods in countries day by day. Consumption habits in the world are shaped by consumers' perceptions of healthy food. In this respect, determining the perceptions and attitudes of consumers towards healthy food is important in order to develop marketing policies to attract consumers to the sector. In addition, understanding consumer perception and healthy food preference will provide policymakers with critical information to develop rules and policies. Knowing the health perception of consumers regarding the risks present in food products will be essential for designing open and transparent communication strategies that should take into account the subjective aspects affecting health perception as well as scientific information. Determining how consumers' perception of healthy food is reflected in their purchasing behaviour is the main focus of this study. In this study, it is aimed to examine the relationship between healthy food perception and purchasing behaviour of consumers living in Gümüşhane. The research data was obtained through online surveys conducted with consumers using Google form. The data obtained from the surveys conducted with 166 consumers living in Gümüşhane city centre were analysed with appropriate statistical methods. While examining the relationship between consumers' perception of healthy food and their purchasing behaviour, various propositions were presented to consumers. The answers of the interviewed consumers to the propositions were measured with a 5-point Likert scale. The findings of the study reveal that consumers perceive the concept of healthy or safe food at a near-accurate level. In addition, in the study, it was concluded that the concept of healthy food is perceived more accurately depending on the increase in age.

**Key Words:** Healthy Food, Perception, Purchasing Behaviour, Consumers

#### 1. GİRİŞ

Dünyadaki ekonomik gelişmeler, demografik ve sosyo-kültürel değişiklikler nüfusun farklı sosyal katmanlarındaki yaşam tarzlarının değişmesine sebep olmaktadır ve bu değişimler gelecekte tüketicilerin beslenme alışkanlıklarını ve satın alma davranışlarını etkileyen mega trendlerden biri olarak karşımıza çıkmaktadır (Puhakka et al., 2017: 111). Beslenme, sağlıklı yaşamın ana belirleyicilerinden biri olarak kabul edilir ve hayatta kalmanın temel işlevini barındırır (Kraft and Goodell, 1993: 18). Hızla artan dünya nüfusunda sağlıklı beslenme sadece insan nüfusunu etkilemekle kalmaz, aynı zamanda sağlık hizmetleri ve diğer sosyal kaynakları da ciddi bir şekilde etkisi

altına alabilir (Lesakova, 2018: 1527). Tüm bu faktörler, tüketicilerin gıdaya yönelik davranışlarını ve gıda tüketiminden beklentilerini etkilemektedir (Kritchevsky, 2016: 1304). Tüketiciler, gıdaların doğrudan sağlıklarına katkıda bulunduğuna giderek daha fazla inanmakta ve beslenme alışkanlıklarında sağlık odaklı değişiklikleri benimsemek istemektedirler (Prattala, 2003: 245). Buna bağlı olarak tüketicilerin sağlık algısına yönelik gıdalar, gıda pazarlarına hızlıca girmiş ve katma değerli ürünler olarak pazar payı kazanmışlardır. Bu nedenle gıda piyasasındaki sağlıklı ürünlere olan talebin artması, tüketicilerin ürünleri günlük tüketimlerinin bir parçası olarak kabul etmesine bağlı olacaktır. Gıda ürünlerinin sağlık özellikleri, gıda satın alma davranışlarında itici güç olabilmekte (Samoggia and Riedel, 2019: 2) ve sağlıklı gıdaya yönelik tüketici talebi gıda endüstrisini önemli ölçüde etkilemektedir (Gao et al., 2016: 2). Tüketici sağlık algısını ve satın alma davranışı üzerindeki etkiyi anlamak, hem tüketicilerin hem de gıda endüstrisinin karşılıklı yararı için kilit bir konu olmaktadır (Yeung and Morris, 2001: 270).

Dünyada olduğu gibi Türkiye’de de tüketicilerin harcamalarında önemli bir yer tutan gıda harcamalarında etkili faktörler önem arz etmektedir. Gıda piyasasında birçok değişiklik yaşanmakta ve sonuç olarak, gıdaların sağlık özelliklerini ön plana çıkaran yeni ürünler üretilmektedir. TÜİK verilerine göre; Türkiye’de, hanehalkı gıda harcamaları (%20,8), konut ve kira gideri harcamalarından (%24,1) sonra gelmektedir. Bu bakımdan, Türk tüketicisinin harcamalarında önemli bir yere sahip gıdalarda sağlık algısı bu araştırmanın odak noktasını oluşturmaktadır. Genel sağlık düzeyi ile ilgili yapılan araştırmalar, tüketicilerin gıda satın almada sağlıkla ilgili özellikleri dikkate almaları gerektiğini vurgulamaktadır. Türkiye’de 15 yaş üstü obez bireylerin oranının 2016 yılında %19,6 iken, 2019 yılında %21,1’e yükselmesi tüketicilerin gıda satın almalarında sağlık faktörüne neden önem vermeleri gerektiğini kısmen de olsa açıklamaktadır (TÜİK, 2020). Bu veriden yola çıkarak Türk tüketicisinin, satın alma davranışlarında gıdaların sağlıklı olma özelliğini bir tercih nedeni olarak benimseyebilecekleri anlaşılmaktadır. Gıdalarda algılanan sağlık risklerini, algılanan riski azaltma stratejilerinin bileşenleri ile birlikte araştırmak için kişisel görüşmeler şeklinde bu araştırma planlanmıştır. Çünkü, tüketici sağlık algısı ve satın alma davranışı üzerindeki etkisinin gıda güvenliği konularıyla çok ilgili olduğu yapılan literatür araştırmasından anlaşılmaktadır (Yeung and Morris, 2001; Rodriguez-Bermudez et al., 2019; Lesakova, 2018; Gao et al., 2020; Phukka et al., 2017; Rojas-Rivas et al., 2019; Samoggia and Riedel, 2019; Taştan vd., 2014; Eryılmaz vd., 2018). Literatürdeki mevcut bilgiye ilaveten tüketicilerin gıda satın almada sağlıkla ilgili algılarının daha iyi anlaşılması ihtiyacı söz konusudur. Tüketicinin sağlıkla ilgili gıda tercihi hakkında daha fazla bilgi, gıda tüketimini daha etkin bir şekilde teşvik edebilecek politika ve programların geliştirilmesine yardımcı olacaktır.

Bu çalışmada esas olarak satın alınan gıda ürünleri için tüketicilerin sağlıklı gıda kavramı algılarının ortaya konulması amaçlanmıştır. Ayrıca bu çalışmada, tüketicilerin sağlıklı gıda kavramı algılarını farklı yönlerden analiz eden bazı analizlere yer verilmiştir. Bu analizler kapsamında ilk olarak tüketicilerin demografik özellikleri ile sağlıklı gıda kavramı algıları arasındaki ilişkiler incelenmiştir. Analizlerin ikinci bölümünde ise görüşülen tüketicilerin satın alma davranışlarında sağlıklı ya da güvenilir gıdaya verdikleri önem düzeyinin etkisi ortaya konulmuştur.

## 2. MATERYAL ve YÖNTEM

Araştırmanın kapsamını, Gümüşhane il merkezinde yaşayan hanehalkları oluşturmakta olup, araştırma verisi anket yoluyla elde edilmiştir. Araştırmanın ana materyalini ankete gönüllü olarak katılan 18 yaş üstü tüketiciler oluşturmaktadır. Konuyla ilgili ulusal ve uluslararası literatürden de yararlanılmıştır. Örneklem büyüklüğü, popülasyonun bilinen veya tahmin edilen oranına (p) göre aşağıda verilmiştir (Newbold, 1995).

$$n = \frac{Np(1-p)}{(N-1)\sigma_{\hat{p}_x}^2 + p(1-p)}$$

Bu formülde; n örneklem büyüklüğünü; N Gümüşhane ilinde yaşayan hanehalkı sayısını; p örneğe giren tüketicilerin oranını (maksimum örnek hacmine ulaşmak için 0,50 alınmıştır),  $\sigma_{\hat{p}_x}^2$  ise varyansı göstermektedir. Orantılı örnekleme yöntemine göre %99 güven aralığı ve %10 hata payı ile örneklem büyüklüğü 166 olarak bulunmuştur. Araştırma verisinin güvenilirliği için 20 hane ile bir ön anket yapılmıştır. Ön anketten elde edilen sonuçlara göre; asıl anket yeniden düzenlenmiştir. Anket formunda, katılımcılara katılımın tamamen gönüllülük esasına dayalı olduğu, paylaştıkları bilgilerin kendileriyle bağlantılı olmayacağı ve verilerin yalnızca toplu halde sonuçlandırılacağı bilgisi verilmiştir. Ayrıca katılımcıların diledikleri zaman anketi yapmama seçeneğinin olduğu

da iletilmiştir. Pandemi nedeniyle, nitel ve nicel birincil verilerin toplanması için google anket formu kullanılmıştır ve 2020 yılının yaz döneminde anketler tamamlanmıştır.

Ankete katılan tüketicilerin sağlıklı gıda kavramını ne şekilde algıladığını ölçmek amacıyla iki önerme hazırlanmıştır. Her bir önermeye katılımcıların ne derece katıldığını belirlemek için 5’li likert ölçeği kullanılmıştır. Likert ölçeği “1: hiç katılmıyorum” “5: kesinlikle katılıyorum” şeklindedir. Görüşülen tüketicilerin demografik özellikleri ile sağlıklı gıda algısı önemeleri arasındaki ilişkiyi ortaya koymak amacıyla da ikili korelasyon analizi yapılmıştır.

### 3. ARAŞTIRMA BULGULARI

#### 3.1. Tüketicilerin Demografik Özellikleri

Araştırma kapsamına alınan tüketici grubuna ait cinsiyet oranları erkek: %72,9 ve kadın: %23,5’tir. Hanelerin büyük çoğunluğu (%80,1) büyüklük olarak 4 ve 4’den az kişiden oluşmaktadır. Hanelerin yaklaşık %35’inin aylık toplam geliri 9001 ve 10000 gelir aralığında olduğu tespit edilmiştir. Bu oranın yüksek çıkmasının nedeni, ankete katılan tüketicilerin büyük çoğunluğunun eş durumunun çalışıyor olmasından kaynaklanmaktadır. Tüketicilerin yaş gruplarına bakıldığında %47,4 gibi büyük bir oranın 26-34 yaş aralığında olduğu bulunmuştur. Tüketicilerin eğitim grupları içerisinde lisans mezunu olanlar toplam örneklemin yarısını (%51,8) oluşturmaktadır. Tablo 1’den görüldüğü üzere lisansüstü mezunu olan tüketicilerin oranı lisans mezunu oranına yakın çıkmıştır (%41). Katılımcıların medeni durumları ele alındığında yaklaşık %80’inin evli olduğu elde edilen bulgular arasındadır.

Tablo 1: Tüketicilerin Demografik Özelliklerine İlişkin Bazı İstatistikler

Değişkenler	Tanım	%	Değişkenler	Tanım	%
Cinsiyet	Kadın	23,5	Medeni Durum	Evli	75,9
	Erkek	72,9		Bekâr	24,1
Yaş	Yanıtsız	3,6	Hanehalkı Büyüklüğü	≤4	80,1
	≤25	5,4		5≥	14,4
	26-34	47,4	Yanıtsız	5,4	
	35-44	30,0	≤ 2500	1,2	
	45-64	13,8	2501-3000	1,2	
	Yanıtsız	3,0	3001- 4000	0,6	
Eğitim Seviyesi	İlkokul	-	Aylık Toplam Gelir	4001-5000	6,0
	Ortaokul	0,6		5001-6000	12,7
	Lise	1,2		6001-7000	13,3
	Ön lisans	5,4		7001-8000	15,7
	Lisans	51,8		8001-9000	10,2
	Lisansüstü	41,0		9001-10000	34,9
			Yanıtsız	4,2	

#### 3.2. Tüketicilerin Sağlıklı Gıda Algısı

Bu bölümde tüketicilerin sağlıklı gıda algısının nasıl olduğunu belirlemek amacıyla, ankette tüketicilere yöneltilen bazı önermeler için elde edilen yanıtlar ele alınmıştır. Genel olarak toplumda sağlıklı gıda algısı kavramının iki önemli noktada ayrıştığı görülmektedir. Bazı tüketiciler satın aldıkları gıdalarda gıda içeriğinin hiçbir katkı maddesi içermeden üretilmesini sağlıklı gıda olarak değerlendirmektedir. Bazı tüketiciler ise satın aldıkları gıdanın hiçbir katkı maddesi içermemesi yanında ürünün doğal yöntemlerle üretilmesini de sağlıklı gıda kategorisi içinde değerlendiren yaklaşımlara sahiptir. Yaygın olan bu iki ayrı görüş göz önüne alınarak araştırma sırasında görüşülen tüketicilere söz konusu önermeler konusunda ne düşündükleri sorulmuştur. Elde edilen yanıtlar Tablo 2’de gösterilmiştir.

İki önerme için tüketicilerin verdiği yanıtlar incelendiğinde ikinci önermeye tüketicilerin katılma düzeyi biraz daha yüksek bulunmuştur. “Sağlıklı gıda kavramı deyince içerisinde hiçbir katkı maddesi olmayan gıdalar aklıma gelmektedir” önermesine likert ölçek ortalamasına göre 4.12, “sağlıklı gıda kavramı deyince hem doğal yöntemlerle üretilmiş hem de içeriğinde hiçbir katkı ya da raf ömrünü artırıcı madde bulunmayan ürünler aklıma gelmektedir” önermesine ise 4.26 derecesinde katıldıklarını belirtmişlerdir. Birinci önermeye kesinlikle katılanların oranı %39.63 iken, ikinci önerme için bu oran %55.15’tir. Elde edilen bu sonuçlar sağlıklı gıda

kapsamında güvenilirlik gıda kavramını daha iyi tanımlayan ikinci önermenin toplumda biraz daha karşılık bulduğunu ortaya koymaktadır.

Tablo 2: Görüşülen Tüketicilerin Sağlıklı Gıda Algısı

Önerme 1: Sağlıklı gıda kavramı deyince içerisinde hiçbir katkı maddesi olmayan gıdalar aklıma gelmektedir.	Frekans	%
Hiç katılmıyorum	2	1,22
Çok az katılıyorum	11	6,71
Kararsızım	18	10,98
Önemli ölçüde katılıyorum	68	41,46
Kesinlikle katılıyorum	65	39,63
Toplam	164	100,00
Likert ölçek ortalaması	4,12	
Standart sapma	,9360	
Önerme 2: Sağlıklı gıda kavramı deyince hem doğal yöntemlerle üretilmiş hem de içeriğinde hiçbir katkı ya da raf ömrünü artırıcı madde bulunmayan ürünler aklıma gelmektedir.		
Hiç katılmıyorum	3	1,82
Çok az katılıyorum	12	7,27
Kararsızım	15	9,09
Önemli ölçüde katılıyorum	44	26,67
Kesinlikle katılıyorum	91	55,15
Toplam	165	100,00
Likert ölçek ortalaması	4,26	
Standart sapma	1,0175	

### 3.3. Demografik Özellikler ve Sağlıklı Gıda Algısı Önemeleri Arasındaki İlişki

Görüşülen tüketicilerin demografik özellikleri ile sağlıklı gıda algısı önermeleri arasındaki ilişkiyi ortaya koymak amacıyla ikili korelasyon analizi yapılmıştır. Cinsiyet, yaş, eğitim, evlilik durumu, hanehalkı büyüklüğü ve hanehalkının aylık toplam geliri incelenen demografik özelliklerdir.

Korelasyon analizi sonuçlarına göre, “sağlıklı gıda kavramı deyince içerisinde hiçbir katkı maddesi olmayan gıdalar aklıma gelmektedir” önermesi ile yaş ve evlilik durumu arasında zayıf düzeyde ve pozitif yönde ( $r=0,200$ ,  $p=0,011$ ;  $r=0,192$ ,  $p=0,014$ ) ilişki bulunmuştur. Bu sonuç yaş ve evlilikteki artış düzeyine bağlı olarak birinci önermeye katılım düzeyinin arttığını ortaya koymaktadır. Korelasyon analizi sonuçları ikinci önerme olan “sağlıklı gıda kavramı deyince hem doğal yöntemlerle üretilmiş hem de içeriğinde hiçbir katkı ya da raf ömrünü artırıcı madde bulunmayan ürünler aklıma gelmektedir” ifadesi ile yaş arasında zayıf düzeyde olmakla birlikte pozitif yönde ( $r=0,142$ ,  $p=0,074$ ) bir ilişki olduğunu da ortaya çıkarmıştır (Tablo 3). Bu ilişkiye göre tüketicilerin yaşındaki artış düzeyine bağlı olarak ikinci önermeye katılım düzeyinin de giderek arttığı belirlenmiştir. Yaş artışı ile birlikte sağlık sorunlarının artması nedeniyle sağlıklı beslenmeye ilginin artması bunun nedeni olarak değerlendirilebilir.

Tablo 3: Sağlıklı Gıda Algısı Önermeleri ile Demografik Özellikler Arasındaki İlişkiyi Gösteren İkili Korelasyon Analizi Sonuçları

Önermeler		Cinsiyet	Yaş	Eğitim	Evlilik durumu	Hanehalkı büyüklüğü	Hanehalkının aylık toplam geliri
Önerme 1: Sağlıklı gıda kavramı deyince içerisinde hiçbir katkı maddesi olmayan gıdalar aklıma gelmektedir.	Pearson Correlation	,056	,200*	-,009	,192*	,006	,062
	Sig. (2-tailed)	,485	,011	,906	,014	,943	,439
Önerme 2: Sağlıklı gıda kavramı deyince hem doğal	Pearson Correlation	,058	,142**	,075	,034	-,040	,078
	Sig.	,471	,074	,340	,667	,619	,328

yöntemlerle (2-tailed)  
üretmiş hem de  
içeriğinde hiçbir  
katkı ya da raf  
ömrünü artırıcı  
madde  
bulunmayan  
ürünler aklıma  
gelmektedir.

\*: %5 önem düzeyinde korelasyon anlamlı; \*\*: %10 önem düzeyinde korelasyon anlamlı

### 3.4. Tüketicilerin Satın Alma Davranışlarında Sağlıklı Gıdaya Verilen Önem Düzeyinin Etkisi

Bu bölümde görüşülen tüketicilerin satın alma davranışlarında sağlıklı ya da güvenilir gıdaya verdikleri önem düzeyinin etkisi incelenmiştir. Bu amaçla görüşülen tüketicilere Tablo 4'te gösterilen bazı önermeler sunulmuştur. Bu önermelerden bazıları benzer olmakla birlikte, farklı açılardan sorulduğunda bile tüketicilerin verdikleri yanıtların tutarlı olduğunu söylemek mümkündür.

Tablo 4'teki "ürün tercihimde gıdanın sağlıklı oluşunun çok az etkisi vardır" ve "sevdiğim gıdaları tüketirim, sağlıklı olup olmadığını düşünmem" önermelerine tüketicilerin önemli bir kısmının çok az katıldıkları görülmektedir. Tüketicilerin önemli bir kısmının katıldığı önermeler ise sırasıyla "yediğim gıdanın sağlıklı oluşu son derece önemlidir" (4,43), "tükettiğim gıdaların besin içeriğinin sağlığımı nasıl etkileyeceğini bilmek zorundayım" (4,32) ve "satın aldığım gıdaların içinde katkı maddesinin kullanılıp kullanılmadığı son derece önemlidir" (4,18) şeklindedir. Farklı şekillerde tüketicilere yöneltilen önermeler için alınan yanıtlar tüketicilerin gıda satın alma davranışlarında sağlıklı ya da güvenilir gıdaya önem verdiklerini göstermektedir.

Tablo 4: Tüketicilerin Satın Alma Davranışlarında Sağlıklı Gıdaya Verilen Önemin Etkisini Ortaya Koyan Önermeler

Önerme 1: Ürün tercihimde gıdanın sağlıklı oluşunun çok az etkisi vardır.	Frekans	%
Hiç katılmıyorum	79	47,59
Çok az katılıyorum	51	30,72
Kararsızım	10	6,02
Önemli ölçüde katılıyorum	18	10,84
Kesinlikle katılıyorum	8	4,82
Toplam	166	100,00
Likert ölçek ortalaması	1,95	
Standart sapma	1,1871	
Önerme 2: Yediğim gıdanın sağlıklı oluşu son derece önemlidir.		
Hiç katılmıyorum	2	1,20
Çok az katılıyorum	6	3,61
Kararsızım	7	4,22
Önemli ölçüde katılıyorum	54	32,53
Kesinlikle katılıyorum	97	58,43
Toplam	166	100,00
Likert ölçek ortalaması	4,43	
Standart sapma	,8340	
Önerme 3: Sevdiğim gıdaları tüketirim, sağlıklı olup olmadığını düşünmem.		
Hiç katılmıyorum	73	43,98
Çok az katılıyorum	53	31,93
Kararsızım	23	13,86
Önemli ölçüde katılıyorum	10	6,02
Kesinlikle katılıyorum	7	4,22
Toplam	166	100,00
Likert ölçek ortalaması	1,95	
Standart sapma	1,0969	
Önerme 4: Satın aldığım gıdaların içinde katkı maddesinin kullanılıp kullanılmadığı son derece önemlidir.		
Hiç katılmıyorum	3	1,82

Çok az katılıyorum	8	4,85
Kararsızım	19	11,52
Önemli ölçüde katılıyorum	61	36,97
Kesinlikle katılıyorum	74	44,85
Toplam	165	100,00
Likert ölçek ortalaması	4,18	
Standart sapma	,9453	
Önerme 5: Tükettiğim gıdaların besin içeriğinin sağlığımı nasıl etkileyeceğini bilmek zorundayım.		
Hiç katılmıyorum	1	,61
Çok az katılıyorum	5	3,03
Kararsızım	15	9,09
Önemli ölçüde katılıyorum	63	38,18
Kesinlikle katılıyorum	81	49,09
Toplam	165	100,00
Likert ölçek ortalaması	4,32	
Standart sapma	,8114	

#### 4. SONUÇ

Bu çalışmada tüketiciler için sağlıklı gıda kavramının ne ifade ettiği sorusunun yanıtı aranmıştır. Çalışmadaki bulgular tüketicilerin sağlıklı ya da güvenilir gıda kavramını doğruya yakın düzeyde algıladığını ortaya koymaktadır. Özellikle “sağlıklı gıda kavramı deyince hem doğal yöntemlerle üretilmiş hem de içeriğinde hiçbir katkı ya da raf ömrünü artırıcı madde bulunmayan ürünler aklıma gelmektedir” önermesine katıldığını ifade eden tüketicilerin çok fazla olması önemli bir gelişme olarak değerlendirilebilir. Nitekim günümüzde kamuoyunda sağlık gıda kavramı üzerinde tartışmaların çok fazla olduğu dikkati çekmektedir. Bununla birlikte, sağlıklı gıda algısı üzerinde bölgeler düzeyinde çok daha fazla araştırmaya ihtiyaç vardır.

Bu çalışmada tüketicilere yöneltilen farklı önermelere katılım düzeyi ile yaş arasında pozitif ve anlamlı yönde bir ilişki olduğu ortaya konulmuştur. Yaş artışına bağlı olarak sağlıklı gıda kavramının daha doğru algılanması pazarlamacılar için önemli bir bulgu olarak değerlendirilebilir. Özellikle sağlıklı yöntemlerle üretilen ürünlerin (organik tarım ürünleri, coğrafi işaret etiketli ürünler, vb.) pazarlanmasında hedef pazar seçiminde daha üst yaş gruplarının tercih edilmesi göz önüne alınabilir.

#### TEŞEKKÜR

Bu çalışmanın verilerinin elde edilmesinde katkılarından dolayı tüm katılımcılara çok teşekkür ederiz.

#### KAYNAKÇA

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## Küçük Ölçekli Çiftçilerin Bakış Açısından Sözleşmeli Tarım Modeli

Dr. Öğr. Üyesi Nilgün Doğan<sup>1</sup>

Doç. Dr. Hakan Adanacıoğlu<sup>2</sup>

<sup>1</sup> Gümüşhane Üniversitesi / Kelkit Aydın Doğan MYO, nilgun\_stu@hotmail.com, ORCID: 0000 0002 7142 8296

<sup>2</sup> Ege Üniversitesi / Ziraat Fakültesi, Tarım Ekonomisi Bölümü, hakan.adanacioglu@ege.edu.tr, ORCID: 0000-0002-8439-8524

**Özet:** Ekonomisinin önemli bir kısmını tarımdan sağlayan Türkiye gibi gelişmekte olan ülkelerde, ekonomik kalkınmanın başarılı olabilmesinde küçük ölçekli tarımsal üretimin yaygınlaştırılması ve sürdürülebilir olması oldukça kritik bir konudur. Bu sebeple, küçük ölçekli çiftçilerin kırsal kalkınmadaki rollerini göz önünde bulundurarak üretimi artırıcı alternatif tarım modellerini değerlendirmek tarım politikalarında her zaman öncelik verilen bir konu olmuştur. Bu bağlamda, alternatif üretim biçimlerinin uygulanması için küçük ölçekli çiftçilerin ilgili üretim modellerine olan tutumlarını değerlendirmek gereklidir. Bu araştırma küçük ölçekli çiftçilerin üretiminin artırılması ve sürdürülebilir olması için tarımda büyümenin ana yolu olarak uygulama alanı bulan sözleşmeli tarımı irdelemektedir. Araştırmanın ana materyalini Gümüşhane ili, ilçe ve köylerinde sözleşmeli tarım modeli ile üretim yapan çiftçilerden anket yolu ile elde edilen veri oluşturmaktadır. Bulgulara göre; sözleşmeli tarım modeli, çiftçilerin gelişmiş girdilere ve yüksek değerli pazarlara erişim kolaylığı sağlaması bakımından önemli bir etki yaratmaktadır. Araştırma kapsamına alınan çiftçilerden elde edilen bir diğer bulgu ise sözleşmeli tarım modeli ile alım ve fiyat garantisi sağlamasıdır. Bu bakımdan, sözleşmeli tarım modelinin yöre çiftçileri tarafından benimsenmesi ve sürdürülebilir olması noktasında yerel otoritelerin desteği ön plana çıkmaktadır.

**Anahtar kelimeler:** Sözleşmeli Tarım, Küçük Çiftçiler, Gümüşhane

### Contract Farming Model from the Perspective of Small-Scale Farmers

**Abstract:** Turkey provides a significant part of its economy from agriculture and the expansion and sustainability of small-scale agricultural production is a very critical issue for economic development to be successful. Therefore, considering the role of small-scale farmers in rural development, evaluating alternative agricultural models that increase agricultural production has always been a priority issue in agricultural policies. In this context, it is necessary to evaluate the perspectives of small-scale farmers towards the relevant production models for the implementation of alternative production models. This study explores contract farming, which finds its application area as the main way of growth in agriculture in order to increase and sustain the production of small-scale farmers in the research area. The main material of the research is obtained from the farmers who produce with the contract farming model in the province of Gümüşhane, its districts and villages. The identified findings include: the contract farming model has a significant impact in providing farmers with ease of access to advanced inputs and high-value markets. Another finding obtained from the research is that contract farming provides purchase and price guarantee. In this respect, the support of local authorities comes to the fore in terms of the adoption and sustainability of the contract farming model by the local farmers.

**Key Words:** Contract Farming, Small-Scale Farmers, Gümüşhane

#### 1. GİRİŞ

Tarımsal üretimi zorlaştıran faktörlerin başında, üretimin doğal koşullara bağımlı olması dolayısıyla kuraklık, sel ve hastalık gibi etkenlerin kontrol edilmesinin imkânsız olması gelmektedir. Bununla birlikte farklı coğrafi koşullar ve toprak çeşitliliği nedeniyle standart üretimin gerçekleşmesi kolay olmamaktadır. Gelişmekte olan ve gelir kaynaklarının büyük çoğunluğu tarıma dayalı ülkelerde, küçük işletmelerin sayısının yüksek olması standart üretimin gerçekleşmesinin önünde bir engel olarak karşımıza çıkmaktadır. Tarımsal üretimi zorlaştıran bir diğer etken ise çiftçilerin üretim üzerindeki egemenliğidir. Üretim araçlarına sahip olan çiftçi ne üreteceği, ne kadar üreteceği ve hangi girdileri kullanacağına kendisi karar vermektedir. Bu durumda sermaye için tarımda egemenlik sağlamak ancak üretim kararlarının çiftçi tarafından tamamen alınmaması ile mümkün olacaktır. Bir endüstriyel üretim modeli olan sözleşmeli tarımın uygulanması, sermayenin tarımda egemenliğinin sağlanması için bir araç olarak yıllardır tarım sektöründe kullanılmaktadır. Sözleşmeli tarım, küçük ölçekli çiftçilerin geçimlik üretimden pazara yönelik ticari üretime geçişlerini teşvik etmek için bir kalkınma stratejisi olarak önemli bir rol oynamaktadır (Saenko and Sesabo, 2019: 80) ve aynı zamanda tüm dünyada çiftçilerin gelirlerini ve geçimlerini iyileştirmeye yönelik önemli bir düzenleme olarak görülmektedir. Girdi temini, pazarlama kanalları, yayım hizmetleri ve mikro krediler gibi önemli tarımsal hizmetlerin sağlanması yoluyla bu düzenlemeler uygulanmaktadır. Özellikle küçük ölçekli çiftçiler için kendi üretim imkânları ile yüksek karlar sağlamaları rekabetin günden güne arttığı günümüz piyasalarında güçleşmektedir. Bu sebeple çiftçilerin piyasa ekonomisine katılmalarında ve varlıklarını sürdürmelerinde bu model alternatif bir üretim modeli olarak kullanılmaktadır. Gıda ve tarım piyasalarının

günümüzde endüstrileşmesi, daha yüksek düzeyde yönetimi zorunlu kılmaktadır. Bu bağlamda, bu model küçük ölçekli çiftçiye avantaj sağlamak ve tedarikçiler ile firmalar (alıcılar) arasındaki işbirliğini koordine ederek bu ilişkileri her iki tarafın da fayda sağlaması için yasal bir temele bağlamaktadır. Küreselleşen tarım piyasalarındaki rekabete ayak uyduramayan küçük ölçekli çiftçiler geçimlerini sağlamak için köylerden kentsel alanlara göç etme durumunda kalmaktadırlar veya atadan gelen tarımsal üretim geleneğini sürdürmemektedirler. Son yıllarda, bu eğilim dünyanın hemen her ülkesinde tarım piyasalarında yaşanmaktadır (Singh and Raj, 2019: 151). Bu sorunun üstesinden gelmek için yerel otoriteler ve kamu kuruluşları tarafından planlamalar, desteklemeler yapılmaktadır.

Türkiye'nin Kuzeydoğu Anadolu bölgesinde bulunan Gümüşhane ilinde halkın başlıca geçim kaynaklarından biri olan tarım faaliyetleri; yıllardır süren üretim geleneği bir potansiyel sunmasına rağmen, sektörde yaşanan sorunlardan dolayı istenilen düzeyde değildir. İlin söz konusu coğrafi ve iklim durumu nedeniyle tarım dışı yatırımlarda lojistik temelli sorunlar başta olmak üzere çeşitli güçlükler söz konusudur. Gümüşhane ilinin engebeli yapısı, coğrafik konumu, karasal iklimi nedeniyle hayvansal ve bitkisel üretim faaliyetleri ilde kısıtlı yapılmaktadır. Oldukça engebeli olan Gümüşhane arazisinin içerisinde ovaların payı sadece %11'dir ve bu ovalar, ilin Kelkit ve Şiran ilçelerinde bulunmaktadır. Bu bakımdan, Gümüşhane ilinde tarımsal üretim geleneğinin devamı, mevcut küçük ölçekli çiftçinin gelir ve refah düzeyini iyileştirilmesi ile birlikte mevcut üretimin sürdürülebilirliği için tarımsal üretimde sözleşmeli tarım modeli yöre çiftçisi için bir alternatif üretim modeli olarak düşünülebilmektedir. Bu araştırmanın temel amacını sözleşmeli tarım modeli üretim yapan küçük ölçekli çiftçilerin sözleşmeli tarıma olan tutumları oluşturmaktadır.

Araştırmanın sorusuna ayrıntılı bir şekilde cevap vermek amacıyla bu çalışmada saha çalışması yürütülmüştür. Bu kapsamda sözleşmeli tarım modeli ile Gümüşhane ili Kelkit, Köse ve Şiran ilçelerinde sözleşmeli tarım modeli ile karabuğday üretimi yapan çiftçilerin sözleşmeli tarıma bakış açısı incelenmiştir. Araştırma sorusu, araştırma kapsamına alınan bölgedeki sözleşmeli tarımın uygulama sürecinden ziyade bu model içerisinde aktörler veya aktör grupları arasındaki ilişkilere ve etkileşimlere odaklanmaktadır.

Literatürde, sözleşmeli tarım modeli ile ilgili yapılan önemli araştırmalara rağmen (Singh and Raj, 2019; Repar et al., 2018; Cole, 2021; Meemken and Bellemare, 2020; Soullier and Moustier, 2018; Collier and Dercon, 2014; Abdul-Rahaman and Abdulai, 2018; Gaffney et al., 2019), lokal düzeyde sözleşmeli tarımda yer alan tüm aktörleri içeren çalışmaların eksikliği söz konusudur. Repar ve ark.'nın (2018:228) araştırmalarında belirttikleri gibi birden fazla bakış açısı olmadan, sözleşmeli çiftçilik modeli performansını iyileştirmek imkânsız olabilmektedir. Bu bakımdan, araştırma bölgesinde alternatif bir metot olarak kullanılabilir sözleşmeli tarım konusunda yapılacak bu çalışmanın önemli bir boşluğu dolduracağı düşünülmektedir.

## 2. MATERYAL VE YÖNTEM

Bu araştırmanın birincil verileri Gümüşhane ili Kelkit, Köse, Şiran ilçe köy ve beldelerinde sözleşmeli tarım yapan karabuğday üreticilerinden elde edilmiştir. Sözleşmeli olarak karabuğday üreten 30 üretici ile 2021 yılı Temmuz ayında yüz yüze anket görüşmesi yapılarak veriler toplanmıştır. Konuyla ilgili yerli ve yabancı ikincil veriler ve daha önce yapılan araştırma sonuçlarından da faydalanılmıştır.

Araştırma bölgesinde, sınırlı sayıda karabuğday üreticisi nedeniyle araştırmanın örneklem büyüklüğünde Tam Sayım Metodu kullanılmıştır. Araştırma ile ilgili veri elde edildikten sonra değerlendirme aşaması için bilgisayar ortamına aktarılmıştır. Verinin değerlendirilmesinde tanımlayıcı istatistik analizlerden faydalanılmış ve örneklem büyüklüğünü oluşturan çiftçilerin sözleşmeli tarıma olan bakış açılarını değerlendirmede beşli likert ölçeği kullanılmıştır.

## 3. DÜNYADA ve TÜRKİYE'DE KARABUĞDAY ÜRETİMİ ve İHRACAT DEĞERLERİ

Dünyada; karabuğday, çeşitli iklim kuşaklarında yetiştirilebilen, alternatif öneme sahip potansiyel bir sözde tahıldır (Paul ve ark., 2021:15) ve birçok araştırmacı potansiyel bir fonksiyonel gıda olarak karabuğdayın geliştirilmesine odaklanmış ve karabuğdaydan yapılan birçok fonksiyonel gıda dünya çapında üretime girmiştir (Li ve Zhang, 2001: 451). FAOSTAT verilerine (2019) göre, karabuğdayın üretim miktarı Rusya'da 785 702 tona, Çin'de 430 166 tona, Ukrayna'da 85 020 tona, Amerika'da 84 225 tona ulaşmıştır. Söz konusu ülkelerin ekonomilerinde önemli bir yere sahip olduğu anlaşılan karabuğday üretiminin ihracat değerleri de üretimin ülke ekonomilerine olan katkısını göstermektedir. Dünyada karabuğday üretiminde başta gelen ülkelerin ihracat miktarlarına baktığımızda Rusya 64 183 ton ile başta gelirken bunu Çin 22 633 ton, Amerika 18 830 ile takip etmektedir (Tablo 1). Dünyanın birçok ülkesinde üretilen ve uluslararası ticarete yerini almaya başlayan karabuğdayın Türkiye'de ticari boyutta tarımı yapılmamaktadır.

Tablo 1: Dünyada karabuğday üretimi (ton) ve ihracat değerleri

Ülkeler	Üretim (ton)	Dünya üretimindeki pay (%)	İhracat (ton)	İhracat Değeri (US\$)
Rusya	785 702	48,00	64 183	18 787
Çin	430 166	26,68	22 633	12 703
Ukrayna	85 020	5,27	8 742	2 163
Amerika	84 225	5,22	18 830	13 721
Dünya	1 612 235		201 487	84 940

Kaynak: FAOSTAT, 2019

Dünyanın birçok ülkesinde üretilen ve uluslararası ticarete yerini almaya başlayan karabuğdayın Türkiye’de ticari boyutta tarımı henüz yapılmamaktadır. TÜİK 2021 verilerine göre 2020 yılında Türkiye’de 37 187 507 ton tahıl üretimi gerçekleştirilmiş olup bu miktar 2021 yılında 35 140 067 ton olmuştur. Karabuğday üretiminin toplam üretim içerisindeki miktarına baktığımızda 2020 yılında herhangi bir veri yok iken 2021 yılında 1 280 kg karabuğday üretimi olduğu görülmektedir (Tablo 2).

Tablo 2: Türkiye’de toplam tahıl ve karabuğday üretimi (ton)

Yıllar	Toplam Tahıl Üretimi (ton)	Toplam Karabuğday Üretimi (ton)
2020	37 187 507	-
2021	35 140 067	1 280

Kaynak: TÜİK, 2021

Üretim verilerini dikkate alarak, üretimi yeni olan ve alternatif bir ürün olan karabuğday üretiminin artırılmasına yönelik desteklerin ve çiftçi eğitimlerinin uygulanması tarımdan geçimini sağlayan kesimin refahını direkt etkileyebilecektir. Bu bağlamda devlet desteği ile küçük ölçekli çiftçilerle sözleşmeli tarım modelini uygulamak küçük işletmelerin devamlılığını mümkün kılacaktır. Gökkür’un (2019) çalışmasında belirttiği gibi küçük ölçekli tarım işletmelerinin üretimlerinin artırılmasında devlet desteği ile sözleşmeli tarım modeli uygulanmalıdır.

#### 4. ARAŞTIRMA BULGULARI

##### 4.1. Üreticilere İlişkin Genel Bilgiler

Sözleşmeli olarak karabuğday üretimi yapan çiftçilerin demografik özellikleri Tablo 3’te gösterilmiştir. Çiftçilerin yaşı 25 ile 71 yıl arasında değişmekte olup, ortalama 49.13’tür. Abdul-Rahaman ve Abdulai (2018) tarafından yapılan benzer bir çalışmada, sözleşmeli tarım modeli ile pirinç üreten çiftçilerin yaş ortalaması yaklaşık 40 olarak elde edilmiştir. Bu çalışmada sözleşmeli üretim yapan çiftçilerin sadece birisi kadın iken, geri kalanların tamamı erkektir. Çiftçilerin eğitim düzeyi ilkökul ile üniversite arasında değişkenlik göstermektedir ve ortalaması 4.43 olarak belirlenmiştir. Bu değer, ortaokul ile lise arasındaki eğitim düzeyine denk gelmektedir. Çiftçilerin hanehalkı büyüklüğü 2 ile 9 kişi arasında değişmekte olup, ortalama 3.90 kişidir.

Tarımsal deneyim açısından görüşülen çiftçiler arasında önemli farklar olduğu gözlenmiştir. Çiftçilerin tarımsal deneyim süresi 2 ile 50 yıl arasında değişmektedir. Ortalama tarımsal deneyim süresi ise 21 yıl olarak saptanmıştır. Çiftçilerin karabuğday üretimindeki sözleşmeli tarım deneyimi 1 ile 4 yıl arasında değişmekte olup, ortalama olarak yaklaşık 2 yıllık bir süreyi kapsamaktadır. Bu bulgu, araştırma kapsamına alınan çiftçilerin hem karabuğday üretiminde hem de sözleşmeli tarımda oldukça yeni olduğunu göstermektedir. Soullier ve Moustier (2018) tarafından yapılan benzer bir çalışmada sözleşmeli tarım modeli ile üretim yapan çiftçilerin ortalama deneyim süresi 18.24 yıl olarak bulunulmuştur. Ortalama tarımsal işletme büyüklüğü 13 ile 750 dekar arasında değişkenlik göstermekte iken, tüm tarımsal işletmelerin arazi ortalaması 175 dekar olarak bulunulmuştur. Tarımsal işletmelerde karabuğday dışında diğer hububat bitkilerinin (siyez buğdayı, triticale, arpa, yulaf, mısır, vb.) ve yem bitkilerinin (yonca, korunga) yetiştirildiği görülmektedir. Bunun yanında, patates ve mercimek üretimi yapan tarımsal işletmeler de bulunmaktadır.

Tablo 3: Üreticilere ilişkin genel bilgiler

Değişkenler	Tanım	Min.	Max.	Ortalama	Std.Sapma
Yaş	Ortalama Yaş (yıl)	25	71	49.13	12.632
Cinsiyet	Cinsiyet: 0 = Kadın 1 = Erkek	0	1	0.97	0.183
Eğitim	1: Okur-yazar değil 2: Okur yazar 3: İlkokul 4: Ortaokul 5: Lise 6: Üniversite	3	6	4.43	1.223
Hane Büyüklüğü	Ortalama Hane Büyüklüğü (kişi)	2	9	3.90	1.788
Tarımsal Deneyim	Çiftçilerin tarımsal deneyimi	2	50	21.00	14.666
Sözleşmeli Tarım Deneyimi	Karabuğday üretiminde sözleşmeli tarım deneyim yılı (yıl)	1	4	1.90	0.885
Arazi Büyüklüğü	Ortalama arazi büyüklüğü (dekar)	13	750	175.03	182.8556

#### 4.2. Çiftçilerin karabuğday üretimindeki sözleşmeli tarım şekli

Görüşülen çiftçiler sözleşmeli tarıma ilk olarak karabuğday üretimi ile başlamıştır. Çiftçilerin sözleşmeli tarıma geçişi bir firmanın yönlendirmesi ile gerçekleşmiştir. Çiftçiler ile ilgili firma arasında yapılan sözleşmeli tarım anlaşmasına göre üretimde kullanılan girdileri firma temin etmektedir. Bu girdilerin kullanım kararlarını da yine firma vermektedir. Firmanın çiftçilere verdiği girdiler genellikle tohumla sınırlı kalmaktadır. Çok nadiren de olsa firmanın bazı çiftçilere tohum yanında gübre de tedarik ettiği saptanmıştır. Karabuğdayın pazarlaması açısından çiftçiler ile ilgili firma arasında satın alınacak fiyat ve miktar üzerinde anlaşma yapılmaktadır. Sözleşme gereği çiftçilerin ürettiği karabuğdayın tamamı için ilgili firma tarafından alım garantisi verilmektedir. Bunun yanında, ilgili firma tarafından çiftçilere fiyat garantisi de verildiği belirlenmiştir. Bu bağlamda, her iki tarafın da haklarını gözeterek sözleşmeli tarım sayesinde üretimle ilgili çiftçinin öngöremediği riskler kontrol altına alınabilmektedir. Pakdemirli'nin (2020: 82) yapmış olduğu çalışmada belirtildiği gibi çiftçi ile alıcı arasında yapılan bu antlaşmalar sayesinde çiftçilerin girdi fiyat riskleri, doğal afetler ve iklim nedeniyle ilgili kayıpları sözleşme kapsamında alıcı ile paylaşılmaktadır.

#### 4.3. Sözleşmeli tarım modelinin çiftçiler üzerindeki etkisi

Sözleşmeli tarım modelinin çiftçiler üzerindeki etkisini ortaya koyabilmek için araştırma kapsamına alınan çiftçilere bazı önermeler sunulmuştur ve bu önermelere verilen cevaplar Likert ölçeği ile değerlendirilmiştir (Tablo 4). Önermeler sırasıyla “sözleşmeli tarım konusunda yeterli bilgiye sahip olduğumu düşünüyorum”, “geleneksel tarımdan daha güvenilirdir”, “geleneksel tarıma göre üretimde daha fazla verim elde etmek mümkündür”, “sözleşmeli tarımda üretim maliyeti geleneksel tarıma göre daha düşüktür”, “sözleşmeli tarım geleneksel tarıma göre daha karlıdır”, “sözleşmeli tarımda geleneksel tarıma göre daha yüksek fiyat elde edilmektedir”, “sözleşmeli tarımda pazar garantisi vardır”, “sözleşme yaptığım firma sözleşme şartlarına uymaktadır”, “firma üretim sırasında danışmanlık hizmeti vermektedir” şeklindedir. Çiftçiler, “sözleşmeli tarım ile ilgili yeterli bilgiye sahibim”, “sözleşmeli tarımda üretim maliyeti geleneksel tarıma göre daha düşüktür” ve “firma üretim sırasında danışmanlık hizmeti vermektedir” ifadelerine biraz katıldıklarını bildirmişlerdir. “Sözleşmeli tarım geleneksel tarımdan daha güvenilirdir”, “sözleşmeli tarım geleneksel tarıma göre daha karlıdır” ve “sözleşmeli tarımda geleneksel tarıma göre üretimde daha fazla verim elde etmek mümkündür” ifadelerine ise kararsız kaldıklarını ifade etmişlerdir.

Elde edilen bu bulguya göre; sözleşmeli tarım modeli ile üretim yapan karabuğday üreticileri uzun vadede karlı bir üretim sağlayacaklarına inanmamaktadırlar. Saenko ve Sesabo'nun (2019: 79) araştırmalarında vurguladıkları gibi çiftçi ve alıcı arasında yapılan sözleşme güven esaslı olup, çiftçinin sözleşmeyi yenileyerek üretimine devam etmesi için güven bağının sağlam olması önemlidir. Bu nedenle, üretim için verilecek destekler ve üretimi yeni yapılan karabuğday için sağlanacak eğitimler karabuğday üretiminin sürekliliği için gerekli görülmektedir. Oysaki Singh ve Raj (2019) tarafından yapılan bir araştırmada; sözleşmeli üretim modeli ve sözleşmesiz üretim ile pirinç üretimi yapan iki grup karşılaştırılmasında, sözleşmeli üretim yapan gruptaki çiftçilerin brüt gelirlerinde %10'a

yakın bir artış olduğu bulunmuştur. Çiftçiler, “sözleşmeli tarımda pazar garantisi vardır”, “sözleşme yaptığım firma sözleşme şartlarına uymaktadır” ifadelerine ise kesinlikle katıldıklarını bildirmişlerdir.

Tablo 4: Çiftçilerin sözleşmeli tarıma bakış açısı

Önergeler	Likert Ölçek Ortalaması*	Std. Sapma
Sözleşmeli tarım konusunda yeterli bilgiye sahibim.	2.04	1,138
Geleneksel tarıma göre daha güvenilirdir.	3.39	1,100
Geleneksel tarıma göre üretimde daha fazla verim sağlanabilir.	2.75	1,175
Üretim maliyeti geleneksel tarıma göre daha düşüktür.	2.14	1,079
Geleneksel tarımdan daha karlıdır.	2.71	1,150
Daha yüksek fiyat elde edilebilir.	2.61	1,133
Sözleşmeli tarımda pazar garantisi vardır.	4.61	,497
Sözleşme yaptığım firma sözleşme şartlarına uymaktadır.	4.50	,638
Firma üretim sırasında danışmanlık hizmeti vermektedir.	2.25	1,266

\* “1: hiç katılmıyorum” ; “5: kesinlikle katılıyorum”

## 5. SONUÇ

Tarımsal açıdan alternatif bir bitki potansiyeline sahip olan karabuğdayın dünyada talebinin artmasına bağlı olarak arz miktarının artması bitkisel üretim deseninde yeni olan bu ürünün önemini daha da artırmaktadır. Özellikle gelişmekte olan ülkelerde tarımın endüstrileşmesinde bir araç olarak kullanılan sözleşmeli tarım, bu bağlamda yeni olan bu bitkinin üretiminin artırılmasında değerlendirilmesi gereken bir model olarak karşımıza çıkmaktadır. Bu nedenle, araştırma bölgesinde mevcut tarım sistemindeki iç dinamiklerin iyi analiz edilip, sözleşmeli tarımın uygulanması için teknik alt yapının desteklenmesi gerekmektedir. Bu araştırmanın odak noktası olan sözleşmeli çiftçilik, yeni pazarlara erişim sağlayarak ve yeterince kullanılmayan istihdam için fırsatlar sunarak küçük ölçekli çiftçilere fayda sağlayacağı anlaşılmaktadır. Bu bakımdan hem alıcı firmanın hem de çiftçinin sözleşme ortamını doğrudan iyileştirmeye yönelik politikalar, küçük toprak sahiplerinin sözleşmeleri imzalarken karşılaştıkları belirli sorunların belirlenerek yerel otoritelerin hazırlayacakları planlar son derece önem arz etmektedir.

Araştırmadan elde edilen bulgulara göre; çiftçilerin sözleşmeli tarım modeline ilişkin farkındalıklarında büyük bir boşluk olduğu söylenebilir. Sözleşmeli tarımın karabuğday gibi özel ürünlerde uygulanabilmesi, ürün kaybını destekleyecek tarımsal desteklemelerin artırılması, karabuğday üreticilerine özgü destek programlarının hazırlanması ve kuraklık gibi doğal olayların tarımsal üretim üzerindeki etkilerini azaltıcı önlemlerin alınması karabuğday üretiminin yaygınlaştırılmasında ve bölge çiftçisi tarafından benimsenmesinde hayati role sahip olacaktır. Üretim miktarının artırılmasına yönelik çalışmaların yanında, karabuğdaydan elde edilen un, ekmek, kek gibi ürünlerin çeşitlendirilerek pazarda mal satabilecek bir üretim miktarı ve kalitesine ulaşılması hedeflenmelidir.

## TEŞEKKÜR

Bu araştırmanın amacına ulaşmasında önemli bir paya sahip olan, Gümüşhane ili Kelkit, Köse ve Şiran ilçe köy ve beldelerinde sözleşmeli tarım modeli ile karabuğday üretimi yapan üreticilerimize katkılarından dolayı çok teşekkür ederiz.

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## Türk Bankacık Sektöründe Alınan Ücret ve Komisyonların Değerlendirilmesine Yönelik Bir Araştırma Örneği

Dr. Nurhan Talebi<sup>1</sup>

Öğr. Gör. Korkmaz Keskendir<sup>2</sup>

<sup>1</sup>Istanbul Aydın Üniversitesi, ABMYO, Finans-Bankacılık ve Sigortacılık Bölümü, ntalebi@aydin.edu.tr

[https://orcid.org/0000 0002 8048 0141](https://orcid.org/0000_0002_8048_0141)

<sup>2</sup>Istanbul Aydın Üniversitesi, , Finans-Bankacılık ve Sigortacılık Bölümü, korkmazkeskendir@aydin.edu.tr

[https://orcid.org/0000 0002 1561 0800](https://orcid.org/0000_0002_1561_0800)

**Özet:** Günümüzde bankacılık sektöründe bankaların müşterilerine sundukları ürün ve hizmetler çok çeşitlilik göstermektedir. Bankalar, klasik anlamda hizmet vermelerinin yanında günümüzde aracılık hizmetleri, danışmanlık hizmetleri, bireysel emeklilik hizmetleri, kur korumalı mevduat hizmetleri, altın alış satışı ve altın bozum işlemleri, sigortacılık hizmetleri ve her türlü kredi hizmeti vermektedirler. Bankaların sundukları çok çeşitli hizmetler sonucunda almış oldukları ücret komisyon ve masrafların farklı kalemlerde alınması sonucunu doğurmuştur. Ülkemizde faaliyet gösteren bütün bankaların almış oldukları ücret ve komisyonlarda bir standartlık olmaması bankaların bu konuda müşterilerden sürekli şikâyet alması sonucunu doğurmuştur. Konuya kayıtsız kalmayan kanun koyucu bankaların alması gereken ücret ve komisyonların sadeleştirilmesi noktasında çok çeşitli yönetmelikler çıkarmıştır. Bankalarında sunmuş oldukları hizmetler sonucunda almış oldukları ücret ve komisyonların bu yönetmeliklere tam uyumu beklenmiştir. Ancak uygulama kısmında bankaların almış oldukları ücret ve komisyon kalemlerinde bir standartlık olup olmadığı günümüzde bile tartışılan önemli konulardan biri haline gelmiştir. Bu çalışmada BDDK tarafından uygulamadan kaldırılan ve bankalarca artık alınamayacak ücret ve komisyonlara değinilmiştir. Ayrıca ücret ve komisyon ödemek istemeyen mudilerin ne yapmaları gerektiği ve mevcut alternatif kanallar önerilmiştir. Sonuç olarak ülkemizdeki bankaların almış oldukları ücret komisyon ve masrafların standart bir şekilde alınması gerektiği kanun koyucu tarafından çıkarılan yönetmeliklere bankaların tam uyması gerektiği anlatılmıştır. Bankaların mevcut yasa, yönetmelik, tebliğ, tüketici hukuku gibi müşterilerin hak ve menfaatlerini koruyacak eylemde bulunmaları vatandaşlarında bankalara bakışını olumlu yönde etkileyecektir. Bu sayede, piyasada bulunan atıl fonların bankacılık ve sermaye piyasasına kazandırılması sonucu ülkemizin büyümesi ve kalkınmasına olumlu katkı sağlanmış olacaktır. Ayrıca bankaların uzun vadeli fon gereksinimleri çok çeşitli yatırım enstrümanlarıyla sağlanmış olacaktır.

**Anahtar Kelimeler:** Bankacılık, Ücret ve Komisyonlar, Bankacılık ve Finans, Bankacılık Masrafları.

## A Research Example For The Evaluation Of Fees and Commissions Received In The Turkish Banking Sector

Dr. Nurhan Talebi<sup>1</sup>

Lect. Korkmaz Keskendir<sup>2</sup>

<sup>1</sup>Istanbul Aydın University, Anadolu Bil Vocational School, ntalebi@aydin.edu.tr

<sup>2</sup>Istanbul Aydın University, Anadolu Bil Vocational School, korkmazkeskendir@aydin.edu.tr

**Abstract:** Today, the products and services offered by banks to their customers in the banking sector vary widely. Today banks provide, in addition to the services in the classical sense, brokerage services, consultancy services, private pension services, currency-protected deposit services, gold purchase and sale and gold exchange transactions, insurance services and all kinds of loan services. The fees that banks receive as a result of the wide range of services they offer resulted in commissions and expenses being taken in different items. The fact that there is no standard in the fees and commissions taken by all banks operating in our country has resulted in the banks receiving complaints from customers in this regard. The legislator, who cannot remain unresponsive to the matter, has issued various regulations to simplify the fees and commissions that banks should receive. Regarding the fees and commissions the banks have received as a result of the services they have provided, they are expected to comply fully with these regulations. However, in practice, whether there is a standard in the fees and commission items that banks receive has become one of the important issues that are discussed even today. In this study, the fees and commissions that have been removed from the application by the BRSA (Banking Regulation and Supervision Agency) and that can no longer be collected by the banks are mentioned. In addition, what should be done by the depositors who do not want to pay fees and commissions and the available alternative channels are suggested. As a result, it is explained that banks must fully comply with the regulations issued by the legislator that the fees, commissions and expenses received by the banks in our country should be taken in a standard way. Banks' actions to protect the rights and interests of customers, such as existing laws, regulations, communiqués, and consumer law, will positively affect the view of the citizens towards banks. Thus, as a result of bringing the idle funds in the market to the banking and in the capital markets, a positive

contribution will be made to the growth and development of our country. In addition, long-term funding requirements of banks will be met with a wide variety of investment instruments.

**Keywords:** Banking, Fees and Commissions, Banking and Finance, Banking Costs.

## 1.GİRİŞ

Bankacılık sektöründe ücret ve komisyonlar her zaman önemini koruyan bir konudur. Konunun önemi hem bankacılık açısından hem de banka müşterileri açısından bankaya olan yaklaşımları nedeniyle artmaktadır. Son yıllarda artan rekabet ortamı ve küreselleşme olguları bankaları farklı alanlarda hizmet yapma ve bu alanlarda ücret komisyon gibi diğer faiz dışı gelirlerinde sürekli artış yapma eğilimine itmiştir.

Bankalar, karlılığını sürdürme ve büyüme, müşterilerine yenilerini ekleme, inovasyon, pazarlama, insan kaynakları, teknolojik alt yapı, ürün geliştirme gibi önemli konularda her zaman rakiplerine kıyasla güçlü olmak zorundadır. Bu zorunluluğu yerine getiren bankalar, bugün yüksek karlılık, sürdürülebilir büyüme, müşteri memnuniyeti sağlayarak hedeflerine daha rahat ulaşmaktadırlar. Bankacılık sektöründe müşterilerin bankaya bakışını olumlu yönde etkilemek, bankacılık sistemine dâhil olmayan müşterileri sisteme kazandırma amacıyla, yüksek düzeyde müşteri memnuniyeti gerekmektedir.

Bu durumu sağlamanın yollarından biride bankalar tarafından alınan ücret ve komisyonlarda bir standartlığın olmasıdır. Ücret ve komisyon kalemlerinin bankadan bankaya farklılık göstermesi, müşterileri tarafında olumlu karşılanmamaktadır. Bankacılık düzenleme ve denetleme kurulu ücret ve komisyonlarla ilgili birçok kez yönetmelik çıkarmış olsa da uygulamada bankaların geçmiş yıllarda olduğu gibi günümüzde de bir standart ücret ve komisyon oranı ile kredi faiz oranı olduğunu söylemek çok güç olacaktır.

## 2. BANKACILIK KAVRAMI

Bankalar, çeşitli yol ve yöntemlerle mevduat kabul eden, fon toplayan, topladıkları kaynakları ihtiyaç sahibi olan gerçek ve tüzel kişilere, devlete çeşitli vadelerle kredi olarak aktaran finansal kurumlardır. Günümüzde artık bankalar mevduat toplama ve kredi verme işlemlerinin yanında farklı işlemlerde gerçekleştirmektedirler. Bu işlemlere kısaca değinmek gerekirse, bankalar (Yetiz, 2016: 107);

- ❖ Bir ülkedeki kredi ve para politikalarının etkinliğini destekler,
- ❖ Yapmış oldukları finansal işlemlerle ilgili aracılık görevi icra etme,
- ❖ Müşteri talepleri doğrultusunda menkul kıymet alım satım işlemlerinin yapılması,
- ❖ Kiralık kasa işlemlerinin yürütülmesi ve bu noktada müşterilerden gelen talepleri karşılama,
- ❖ Banka ve kredi kartı işlemlerini yapma, müşterilerin zaman sınırlaması olmaksızın işlemlerini gerçekleştirme olanağı sağlama,
- ❖ İç ve dış ticaret işlemlerinde aracılık faaliyetinde bulunma.

Bankalar sadece yukarıdaki belirtilen işlemleri yapmazlar. Gelişen teknoloji, rekabet ortamı, kitle iletişim araçlarının artması, bankacılık pazarlama stratejilerindeki değişiklik, bankacılık merkezi operasyon birimlerine önem verilmesi, dijitalleşme gibi etkenler bankaları farklı alanlarda işlem yapma ve işlem geliştirme yoluna itmiştir. Günümüzde bankalar artık klasik bankacılığın yanında çok fazla işlem yapmaktadırlar. Müşterilere sunulan hizmet anlayışı ve çeşitliliği her geçen gün değişikliğe uğramaktadır.

Bankalar gerçek ve tüzel kişilerin biriktirdikleri fonlarını toplayarak, çeşitli gelir getirici iş ve işlemlere kanalize ederek, çeşitli ödemelere aracılık yapan, para devri, senet ve çek tahsilâtı, kredi kartı işlemleri, EFT ve havale işlemleri, kiralık kasa hizmetleri veren ve sağlamış olduğu hizmetler sonucunda çeşitli komisyon, masraf, faiz geliri elde eden finansal araçlardır. Ayrıca bankalar küçük tasarrufların birikimine aracılık ederek çok büyük fonların oluşmasına ve fon ihtiyacı olan kişi ve kurumlara kredi olanağı sağlayan kurumlardır (Yazıcı, 2016: 2).

Bankalar günümüzde sigorta işlemleri, bireysel emeklilik işlemleri, aracılık işlemleri, danışmanlık işlemleri, kambiyo işlemleri gibi müşterilerinin taleplerini her noktada karşılamaya özen göstermektedirler. Bankalar finansal sistemin iyi işlemesi, sermaye piyasalarının gelişmesi, müşterilerin tasarruf bilinci oluşturması noktasında büyük çaba harcamaları gerekmektedir. Ülkemizde bulunan fakat bankacılık sistemine kazandırılmayan atıl olan para, altın ve diğer değerli metallerin ekonomiye kazandırılması ve bankacılık sistemi aracılığıyla diğer kanallara aktarılması hem bankacılık hem de sermaye piyasaları için büyük öneme sahiptir.



## 2. BANKALARIN FİNANSAL SİSTEM İÇİNDEKİ ÖNEMİ

Bankaların finansal sistem içinde üstlendiği birçok rol bulunmaktadır. Bankalar, kaydi para yaratma, para istikrarını sağlama, bankacılık sistemi içerisinde yapılan diğer işlemlerin kayıt altına alınması gibi birçok farklı fonksiyona sahiptir. Finansal sistem için önemli bir görev üstlenen bankalar, aslında ekonomik sistem ile etkileşimini ortaya kayması gerekir.

Ekonomideki makro değişkenler ile bankacılık sektörü arasında etkileşim bulunmaktadır. Bankaların varlıkları ile taahhütleri arasında vade uyumsuzlukları nedeniyle bankaların bilançoları hassas bir dengeye sahiptir. Ekonomide yaşanan inişler ve çıkışlar bankaların varlık ve kaynak yapısını olumsuz etkilemektedir. Döviz kurunda meydana gelen değişimler bankaların kur riskini artırmakta banka karlılıklarını olumsuz etkilemektedir (Yıldırım, 2019: 109).

Yaşanan krizlerin olumsuz durumlarından kurtulmak için bankacılık sistemini güçlü olması ve vatandaşlarımızın uzun süreli tasarruf alışkanlığına önem vermeleri gerekmektedir. Bankacılık sistemi reel sektörü etkileyen en önemli faktör konumun da olduğu için sektör içinde ürün çeşitliliğine önem verilmeli bankacılık ve finans sistemine dâhil olmayan mevduat müşterilerine anapara korumalı fon hesabı veya güvenceli altın hesabı gibi enstrümanlarla onları bankacılık sistemine dâhil etmeliyiz. Ülkemizdeki mevcut bankacılık sistemine baktığımızda ürün çeşitliliğinin fazla olduğunu görmekteyiz ancak bütün ürünlerin aynı sayıda kullanıldığını söyleyemeyiz. Şöyle ki bankalarda bulunan mevduat hesaplarının büyük çoğunluğu aylık olarak açılmaktadır. Oysaki birikimli mevduat hesaplarının oransal olarak fazla olması günümüz koşullarında daha çok gereklilik arz etmektedir.

Tarihsel olarak bakıldığında bankacılık ve finans alanındaki krizler sonucunda hane halkı büyük kayıplarla karşı karşıya kalmıştır. Bu yaşanan olumsuz süreçler vatandaşların bankacılık ve finans sistemine güvenlerini kaybetmelerine neden olmuştur. Sonuç olarak ellerindeki tasarrufları kısa vadeli olarak değerlendirmek durumunda kalmışlardır. Daha sonra kamu otoriteleri tasarrufları artırmak ve uzun vadeli fon yaratmak adına sigorta sistemini geliştirmiştir. Bu şekilde finansal sisteme güven tesis etme amaçlanmıştır. Bankalar, bu şekilde davranarak mudilerin güvenleri kazanma yoluna gitmiş oldular, bu güveni sağlayarak hane halkından topladıkları fonlarla sermayelerini güçlendirmiş oldular ( Uzunoğlu, 2020: 13).

Öte yandan bankacılık sisteminde kredi hacmindeki mevcut iyileşme ekonomik büyüme ile ilişkilendirilebilir. Bu konu akademik çalışmalarda oldukça üzerinde durulan bir konudur. Farklı ülke verileri kullanılarak yapılan bilimsel araştırmalar neticesinde finansal gelişme ile ekonomik büyüme arasında teoriye uygun sonuçlar tespit edilmiştir. Bazı ülkeler için yapılan araştırmalarda finansal gelişme ile ekonomik büyüme arasında tek yönlü bir nedensellik mevcutken bazı araştırmalarda çift yönlü bir nedensellik vardır ( Kamacı vd. 2005: 402).

Bankacılık sisteminde müşterilere kullanılan kredilerin büyüme üzerindeki etkisi ampirik olarak tartışılmaktadır. Ama daha çok finansal gelişme ile ekonomik büyüme arasındaki ilişki ele alınmaktadır. Finansal gelişme kurumların büyümesi ve gelişmesi anlamında kullanılmaktadır. Durumu daha makro düzeyde değerlendirdiğimiz zaman bankalardaki tasarruf sahiplerinin bankaya verdikleri ve banka tarafından alınan bu kaynaklar, aktif tarafta krediye dönüşmesi ülkedeki yatırımları artırarak ekonominin büyümesine olumlu katkı sağlamaktadır. Özellikle gelişmekte olan ülkeler düşünüldüğünde yapılan araştırmalar bu sonuçları destekler niteliktedir (Altınöz, 2016: 147).

Banka temelli sistem özellikle zayıf kalmış ekonomilerin fon aktarım mekanizmalarının daha etkin çalıştığı bir sistem olarak tanımlamak doğru olacaktır. Banka temelli sistem aşağıdaki olumlu faktörlerin oluşmasında rol oynar (Doğan ve Kaya, 2019: 3).

- ❖ Zaman ve likidite risklerini kontrol ederek ekonomik büyümeye olumlu katkı sağlayarak yatırımların miktarını artırmak,
- ❖ Ölçek ekonomilerinden yararlanarak sermaye tarafında çeşitli hareketlere sebep olmak,
- ❖ Firma ve yöneticilerle iletişim halinde olarak onların gelişmesini sağlamak ve sonuç olarak kurumsal yönetime katkı sunmak,
- ❖ Piyasaya daha uzun vadeli kaynak temininde bulunmak.

Görüldüğü gibi banka ve finansal sistemin iyi işlemesi reel sektör için büyük öneme sahip dinamik kurumlardır.

## 3. TÜRK BANKACILIK SEKTÖRÜNDE ÜCRET VE KOMİSYON UYGULAMALARI

Ülkemizde bankacılığa bakış açısı doksanlara kadar farklılık arz etmekteydi. Bankalardan bu döneme kadar kredi vermek ancak belirli kişilere tahsis edilir, bu dönemde bankalarla içli dışlı olmak aynı zamanda itibar sahibi olmakla aynı anlama gelirdi. Ayrıca bankalar kredi verecek müşterilerinin iyi bir araştırma sonucu seçer ve kredi verirdi. 1990 yılından sonra ülkemizde bankacılığa bakış açısı değişikliğe uğradı. Bankalar, sahip olduğu kaynakları bir veya birkaç itibarlı kişiye yerine daha çok kişiye kullandırarak risklerini tabana yaymış oldular. Bu itibarla bankalar artık müşterileri nezdinde ulaşılmaz olmaktan çıkmış oldular. Günümüzde artık banka mudileri, kredi ve diğer bankacılık ihtiyaçlarını internet ortamından kolay ve hızlı bir şekilde yapabilmekteler. Bu olumlu durum banka müşterilerine büyük bir esneklik sağlamaktadır. Banka müşterilerine geçmişte çok fazla sözleşme imzalatılarak onlardan dosya masrafı adı altında ücret alınmaktaydı. Bu alınan ücret ve komisyonlar, kredi kullandırıldıktan sonra müşterinin ilgili hesabından tahsil edilmekteydi (Gülerci, 2015: 93-94). Günümüzde değişen koşullar ve tüketiciyi koruyan kanunların çıkması bankaların bu konudaki keyfi davranışlarını kısıtlamaktadır.

Ülkemizde son dönemlerinde yaşanan yapısal değişim finans alanıyla içli dışlı olan müşterilerin korunması gerekliliğini ortaya çıkarmıştır. Günümüzdeki bankacılık alanında mevcut rekabet ve enflasyon oranları sebebiyle, bankaların faiz marjlarının daraldığı ve buna bağlı olarak pek çok hizmetin ücretlendirilmeye başlandığı gözlenmiştir. Bu değişim sonucunda, 2003 yılında sektörün toplam gelirleri içinde % 7,47 olan ücret komisyon gelirleri, 2015 yılında % 13,02 değerine ulaşmıştır. Gelecek yıllarda da Bankacılık düzenleme ve denetleme kurulu verilerine göre 2002-2015 dönemindeki eğilim, trend yüzdeleri analizi yapıldığında, % 8,75 kat bir artışın olduğu görülmüştür.

Sözünü ettiğimiz bu oranlar finansal tüketicilerin bankalar aracılığıyla orantısız ücret komisyon alındığı ve bunun sonucunda da tüketicilerin korunması ihtiyacının belirmesi sonucu ortaya çıkarmıştır. Durum böyle olunca müşteriler tarafından bankalar şikâyet konusu olmuştur. Finansal tüketiciler bankaları bu konuda tüketici mahkemeleri, hakem heyetleri ve BDDK'ya şikâyet etmişlerdir. Yoğun yapılan bu şikâyetler sonucunda duruma kayıtsız kalmayan BDDK bankalara yaptıkları yerinde denetimler sonucunda, finansal tüketicilere yönelik alınan ücret ve komisyonların tüketiciler aleyhine dengesiz belirlediklerini tespit etmişlerdir. Aslında Türk Ticaret Kanunu bankalara sundukları ürün ve hizmet karşılığında alacakları ücret ve komisyonları serbestçe belirleme yetkisi vermiştir. Fakat bankalar bu durumu kendi lehine kullandıkları ve mudilerden birbirine benzeyen çok sayıda masraf aldıkları tespit edilmiştir (Kayalı ve Baş, 2017: 26).

Bankacılık uygulamalarında borç kavramı, Türk Borçlar Kanunu, 6502 Sayılı Tüketicinin Korunması Hakkında kanun göz ardı edilmemelidir. 6502 sayılı Tüketicilerin korunması hakkındaki kanunun 3. Maddesinde Kanun koyucu; *“Tüketici işlemi: mal ve hizmet piyasalarında kamu tüzel kişileri de dâhil olmak üzere ticari veya mesleki amaçlarla hareket eden veya onun adına ya da hesabına hareket eden gerçek veya tüzel kişiler ile tüketiciler arasında kurulan, eser, taşıma, simsarlık, sigorta, vekâlet, bankacılık ve benzeri sözleşmeler de dâhil olmak üzere her türlü sözleşme hukuki işlem”* şeklinde ifade edilmiştir. Kanun koyucu bankacılık sözleşmelerini tüketici işlemi olarak saymıştır. Durum böyle olmakla birlikte tüketicinin korunması açısından duruma baktığımızda tüketici niteliğinde olan kişilerin korunması 6502 sayılı tüketicilerin korunması hakkında kanun'un ilgili hükümleri uygulama alanı bulacaktır (Öcal, 2016: 26-27).

Bankalar kredi kullandırma dışında farklı işlevleri de yerine getiren kurumlardır. Bankalar, şubelerde çeşitli kurumsal ödemeler, tahsilâtlara aracılık, şube dışında mobil uygulamalarla hizmet, sermaye piyasasında finansal hizmetler sunarak müşterilerinin verimliliklerini artırır. Bununla beraber ekonomiye de olumlu katkı yapmış olurlar. Bankaların aracılık ettikleri ödemelerin toplamı, milli gelirin yirmi katından çoktur. Bankaların faiz dışında aldıkları komisyonlar, müşterilere sundukları ürün ve hizmetten elde etmektedirler. Alınan ücret ve komisyonlar hem işletme devamlılığı açısından hem de yatırım açısından önem arz etmektedir. Uluslar arası sisteme bakıldığında faiz dışı gelirlerin tüm faiz dışı giderleri karşılama oranı % 65'tir. Bu oran Avrupa Birliği ülkelerinde % 152'dir (TBB, Bankacılar Dergisi, 2014: 10). Verilerden kıyaslama yapıldığında ülkemiz bankaların ücret ve komisyon konusunda bir hayli zaman harcamaları gerekliliği ortaya çıkmaktadır.

Tüketici hakem heyetleri ve yargı organları tarafından finansal tüketiciler lehine verilen kararlar sonucunda şöyle bir kanı oluşmuştur. Bankalar, finansal tüketicilerden aldıkları ücret ve komisyonların fazla ve orantısız olduğu bu durumun sürekli dile getirilmesi sonucunda kanun koyucu kayıtsız kalmamıştır. Sonuçta 6502 sayılı tüketicinin Korunması Hakkında Kanun'un 4. Maddesinin üçüncü fıkrası ile bu konuya bir çözüm üretmeye çalışılmıştır (Kayalı ve Baş, 2016: 26).

*“Tüketiciden; kendisine sunulan mal veya hizmet kapsamında haklı olarak yapılmasını beklediği ve sözleşmeyi düzenleyen yasal yükümlülükleri arasında yer alan edimler ile sözleşmeyi düzenleyen kendi menfaati doğrultusunda yapmış olduğu masraflar için ek bir bedel talep edilemez. Bankalar, tüketici kredisi veren finansal*

kuruluşlar ve kart çıkaran kuruluşlar tarafından tüketicilere sunulan ürün veya hizmetlerde ise tüketiciden faiz dışında alınacak her türlü ücret, komisyon ve masraf türleri ile bunlara ilişkin usul ve esaslar Bakanlığın görüşü alınarak bu Kanunun ruhuna uygun olarak ve tüketiciyi koruyacak şekilde Türkiye Cumhuriyet Merkez Bankası tarafından belirlenir. Bu Kanunda düzenlenen sözleşmelere istinaden tüketiciden talep edilecek her türlü ücret ve masrafa ilişkin bilgilerin, sözleşmenin eki olarak kâğıt üzerinde yazılı şekilde tüketicilere verilmesi zorunludur. Uzaktan iletişim aracıyla kurulan sözleşmelerde ise, bu bilgiler kullanılan uzaktan iletişim aracına uygun şekilde verilir. Bu bilgilerin tüketicilere verildiğinin ispatı sözleşmeyi düzenleyene aittir” (6502 Sayılı Tüketicinin Korunması Hakkında Kanun, 2013). BDDK söz konusu hükme dayanarak kendisine verilen düzenleme yetkisini kullanmış ve 3 Ekim 2014 tarihli ve 29138 sayılı resmi gazetede finansal tüketicilerden alınacak ücretlere ilişkin yönetmeliği yayınlamıştır (BDDK, 2014).

Yıllar geçtikçe finansal tüketicinin korunmasına ilişkin yeni düzenlemelerin yapıldığı görülmektedir. BDDK 2014 yılında çıkardığı yeni yönetmelik metninde bankaların alması gereken ücret ve komisyonlarda değişiklik yaparak alınan ücret ve komisyonları 20 ana kaleme indirmiştir. Ayrıca mudilerden alınacak ücret ve komisyonlarda finansal tüketicilerin onayının alınması zorunluluğu getirilmiştir. BDDK tarafından duyurulan ve Türk Bankacılık sistemindeki bankalar tarafından talep edilemeyecek ücret ve komisyonların ana kalemleri (BDDK, Yönetmelik metni, 2014);

- ❖ Onaysız yapılan bildirimler,
- ❖ İpotek fek ücreti,
- ❖ Kiralık kasa ziyaret ücreti,
- ❖ Bozuk para tümlleme ücreti,
- ❖ Borcu yoktur yazısı ücreti,
- ❖ Dekont yazdırma ücreti,
- ❖ Hesap bakım ücreti,
- ❖ Hesap ücreti gönderim ücreti,
- ❖ SMS gönderim ücreti,
- ❖ Hesap işlemsizlik ücreti,
- ❖ Hesap cüzdanı yazdırma ücreti,
- ❖ Banka kartı ücreti,
- ❖ Hesap açma kapama ücreti,
- ❖ Dosya masrafı ücreti,
- ❖ Kredi istihbarat ücreti,
- ❖ Kredi işlem fişi ücreti,
- ❖ Ödeme planı değiştirme ücreti,
- ❖ Değişken taksitli ödeme planı ücreti,
- ❖ Sanal kredi kartı ücreti,
- ❖ Kendi hesabına para yatırma ücreti,
- ❖ Reddedilen kredi ücreti,
- ❖ KMH tahsis ücreti,
- ❖ Taksitli nakit avans komisyonu,
- ❖ Hareketsiz kredi kartı yıllık üyelik ücreti,
- ❖ Hareketsiz hesaba ilişkin hesap işletim ücreti,
- ❖ Belge taleplerinde ilk yıl için belge ücreti.

Yukarıdaki belirtilen alanlar için bankaların almış oldukları ücret ve komisyonlar BDDK tarafından kaldırılmıştır. Yeni yönetmelikle yirmi ana ücret kalemi dışında hiçbir ücretin alınamayacağı bir model oluşturulmuştur. Bu sayede makul olmayan ücret ve komisyonlar bankalar tarafından talep edilemeyecektir. Bu durumu banka mudileri tarafından düşündüğümüzde ücret ve komisyonların belirli bir kaleme ve standartta olması gayet olumlu karşılanacaktır. Ayrıca bankalar tarafından yapılan ücret artışlarında keyfiliğin önüne geçebilmek için, yıllık % 20'nin altındaki artışlarda tüketicinin bilgilendirilmesi zorunluluğu getirilmiştir. Ücretlerdeki % 20'nin üzerindeki artışlarda ise banka müşterilerinin onayının alınması zorunlu olacaktır.

Bankacılık sisteminde şubeden yapılan işlemlerde ücret ve komisyon alımlarının devam ettiği bilinmektedir. Örneğin, banka şubesinden yapılan bir EFT işlemi sırasında banka mudisinden talep edilen komisyon veya işlem maliyeti ile internet bankacılığında yapılan bir işlemin maliyeti farklılık göstermektedir. Aşağıda bu durumu özetleyen bir banka uygulaması anlatılmıştır.

**Örnek:** 1.000 ₺ EFT (Elektronik Fon Transferi) işlemi A kamu bankasının, B şubesinden yapılıncaya toplamda alınan masraf ve komisyon bedeli 7,79 ₺ iken, A kamu bankasının internet bankacılığında yapılan işlemde 1.000 ₺ tutarındaki EFT (Elektronik Fon Transferi) işlemi için ödenecek masraf ve komisyon bedeli 2.44 ₺ olmaktadır (Kamu Bankası, 2022 yılı Şubat ayı, ücret ve komisyon uygulama talimatı).

Bu nedenle banka müşterilerinin bankacılık alanında alınan transfer ücretlerini ödememek için alternatif dağıtım kanallarını kullanmaları gerekmektedir. Bu kanallar (Ersoy, 2015: 490);

- ❖ ATM,
- ❖ Telefon Bankacılığı,
- ❖ İnternet Bankacılığı,
- ❖ WAP Bankacılığı,
- ❖ PALM Bankacılığı,
- ❖ SWIFT.

İşlemleri şeklinde sınıflandırılır. Elektronik bankacılığın banka mudilerine çok çeşitli avantajları vardır. Bu avantajlar, mudilere; zaman ve yer sınırsızlığı sağlar, hizmetin hızlı yapılmasını ve maliyet avantajı sağlamaktadır. Ülkemizdeki finansal okuryazarlığı giderek daha da gelişeceği düşünülerek şube bankacılığının ve bunun yanında müşterilerden alınan ücret ve komisyonların gelecek yıllarda daha az olacağı söylenebilir.

Gelişen teknolojik imkânlarla birlikte ekonomik birimler için zaman ve mekân sınırlaması olmadan güvenli bir şekilde elektronik sistemler sayesinde gerek bireysel bankacılık hizmetleri gerekse kurumsal bankacılık hizmetleri banka şubelerine fiziki olarak gidilmeden, yani şubelere bağımlı olmadan elektronik bankacılık sayesinde çok çeşitli işlemler yapılabilmektedir. Temelde yapılandığı zaman birkaç işleme kadar yapılmakta olan bu işlemler gün geçtikçe ve teknolojinin kullanım oranı arttıkça işlem kalemleri de artış göstermiştir. Örneğin, bugün ATM ve BTM olarak tanımlanan ve çeşitli bilgisayar temelli olarak kurulan makineler sayesinde artık çok çeşitli işlemler yapılır hale gelmiştir. Bu işlemlere birkaç örnek verilirse; Havale ve EFT transferleri, döviz alım ve satım işlemi, fon alım satım işlemi, repo ve hisse senedi alım ve satım işlemleri, her türlü kurumsal ödeme işlemleri, hesap bilgisi sorgulama işlemleri olarak sayabiliriz (Okay, 2015: 37). Demek ki banka şubelerine gitmeden işlemlerimizi hızlı etkin ve aynı zamanda ucuz yapmak için bankacılık müşterilerinin alternatif dağıtım kanallarını yönlendirilmeleri günümüz koşullarında büyük öneme sahiptir.

Günümüzde elektronik bankacılık denilince akla ilk olarak internet bankacılığı gelmektedir. Türkiye Bankalar Birliği internet bankacılığının müşterilere büyük avantajlar sağladığını söylemiştir. Bu avantajlar kısaca şöyledir (Ersoy, 2015: 496);

- ❖ Bankacılık işlemlerine hızlı ve kesintisiz bir şekilde ulaşma,
- ❖ Şubeye gidip sıra beklemeden kolay bir şekilde bankacılık faaliyetlerini gerçekleştirme,
- ❖ Bizzat görerek ve seçerek işlemleri yapabilme,
- ❖ Detaylı rapor ve bilgi alabilme kolaylığı sağlama,
- ❖ Çok çeşitli ürünleri sistemde görebilmeyi sağlama,
- ❖ Bankacılık işlemlerini ucuza gerçekleştirme,
- ❖ Yapılan iş ve işlemlerin banka personelinin dâhil göremediğinden gizli ve güvenli bankacılık hizmeti sağlama,
- ❖ Çok çeşitli operasyonel işlemleri gerçekleştirme olarak sayabiliriz.

### **3.1. Ülkemizde Faaliyet Gösteren Bankalar Tarafından Alınan Ücret, Komisyon ve Masraflardan Etkilenmemek İçin Banka Mudilerinin Yapması Gereken Önemli uygulama işlemleri**

Ülkemizdeki kanun koyucu bankaların almış olduğu masraflarla ilgili birçok yönetmelik ve düzenleme yapmıştır. Ancak bankaların hem sayısı hem de şube ağları çok geliştiği için müşterilerden alınan ücret ve komisyon oranlarının denetimi çok zor olmaktadır. Hal böyle olunca bankalar uygulamada alınacak ücret ve komisyonlarda kendilerine verilen talimatların dışına geçmişte olduğu gibi günümüzde de çıkabileceklerdir. Bu nedendir ki bu noktada sorumluluk sadece kanun koyucu ve bankalar değil aynı zamanda kendi hukukunu koruyacak ve yaptığı bankacılık işlemlerinin ve kendilerinden bankalarca talep edilen masrafların sorgulanması olacaktır. İşte tam bu noktada banka mudilerinin bankacılık uygulamalarında dikkat etmeleri gereken işlemleri kısaca değinilirse;

- ❖ Birçok bankada hesap açma yoluna gitmemek,
- ❖ İşlemleri yaptığımız zaman genelde internet bankacılığını kullanmak ve kullandığımız şifreleri sürekli değiştirmek,
- ❖ İşlem yoğunluğu olan hesapların kontrolünü belirli dönemlerde sürekli kontrol etmek,
- ❖ Bankacılık işlemlerini yaptırırken yeni ürün ve hizmetlerden haberdar olmak yeni çıkan ürünlerin bütün avantajlarından yararlanmak,
- ❖ Bankalar tarafından mudilere imzalatılan çok sayıdaki evrakların hepsini okumak, okumadığımız evrakları imzalamamak,
- ❖ Şubeden işlem yaptıran ve finansal okuryazarlığı olmayan mudilerin, şube müdürlerinin veya genel müdürlük birimlerince verilen ücret, komisyon ve diğer masraflarla ilgili muafiyet talebinde bulunmak ve sonucunu beklemek,
- ❖ Farklı şubelerden para yatırma ve para çekme işlemlerinde masraf ödememek,
- ❖ Bireysel kredilerde dosya masrafı adı altında ve farklı yardımcı hesaplara bağlı olan ücret ve komisyonları sorgulamak,
- ❖ Aynı tarihlerde farklı bankalardan yapılan aynı işlemlere verilen ücret ve komisyonları karşılaştırmak,
- ❖ Özellikle para transferlerinde ATM ve BTM cihazlarını kullanmak,
- ❖ Kredi talebinde bulunurken ve kredi sürecinde bankalar ile müşteri lehine alınacak ücret, komisyon ve masraflarla ilgili banka ile tam mutabakat yapıldıktan sonra kredi için onay vermek,
- ❖ BDDK ücret ve komisyon yönetmeliğine hâkim olmak ve kurulun belirlediği ücret ve komisyonların dışına çıkan banka varsa ücret ve komisyon ödemekten uzak durmak,
- ❖ Kurumsal tahsilât ve vergi ödemelerinde masraf ödememek,
- ❖ Müşteri bilgisi dışında hareket gören hesapları bağlı bulunulan şubeye vakit geçmeden bildirmek,
- ❖ İnternet bankacılığında para transferi yapılırken iptali mümkün olmamaktadır. Bu nedenle internet bankacılığı ve diğer alternatif dağıtım kanallarından yapılan işlemlerin doğruluğundan tam olarak emin olmak,
- ❖ Müşteri bilgisi dışında hesaba gelen bütün paralara dokunmamak bağlı bulunduğu şubeye bilgi vermek,
- ❖ Hesapların olduğu bütün banka ve diğer hesapların bütün hareketlerine dönem kapanmadan bakarak mutabakat sağlamak,
- ❖ Şahıs ve sermaye şirketlerinin belirli dönemlerde bankalara ödedikleri ücret ve komisyonların şirket hesaplarından alındığının kontrolünün sağlanması gibi işlemlere dikkat edilmesi gerekir.

## SONUÇ

Ülkemizdeki ücret ve komisyon kalemleriyle ilgili çok çeşitli yasa ve yönetmelikler mevcuttur. BDDK tarafından bankalara yaptıkları hizmetler karşılığında faiz dışında talep edebilecekleri ücret komisyon ve masrafların serbest bir şekilde belirleyebilme yetkisinin verildiğini söyleyebiliriz. Ancak bazı bankaların bu serbestlik ilkesini müşterilerin aleyhine kullandıkları aynı ücret adı altında farklı çeşitli ücretlerin alındığı ve bu durumun çok fazla şikâyet konusu olduğu görülmüştür. Ayrıca bankaların aynı işlem için aldıkları ücret komisyon ve çeşitli masraf kalemlerinde karşılaştırılabilir olmaktan uzak olduğu sonucu yaşanan örneklerle görülmüştür.

Kanun koyucu yaşanan bu olumsuz durumlara kayıtsız kalmayarak önce 21 Ağustos 2014 tarihinde BDDK tarafından Finansal Tüketicilerin Korunmasına İlişkin yeni düzenlemeler yürürlüğe koymuştur. Düzenlenen

yönetmelikle birlikte anlaşılabilir ve karşılaştırılabilir bir finansal hizmet piyasası oluşturmak finansal kuruluşların banka mudileri karşısında görece güçlü olan kurumların bu hizmetten yararlananların aleyhine kullanmasının önüne geçilmesi hedeflenmiştir. Bu amaçla tüketicilerin hızlı ve kolayca hak ve menfaatlerini arayabilmeleri için Türkiye Bankalar Birliği ve Türkiye Katılım Bankaları Birliği nezdinde hakem heyetleri etkinleştirilmiştir. Vatandaşlar bankacılıkla ilgili aldıkları hizmetlerden dolayı herhangi bir sorunla karşı karşıya olduklarında TBB ve TKBB hakem heyetlerine hiçbir ücret ödemediği iletilme hakkına sahip olacaktır. Bu sayede sorunlar profesyonel bir bakış açısıyla çözülmüş olacaktır.

Finansal ürün ve ücretlerinde yeni dönem olarak kabul edilen 21 Ağustos 2014 tarihinde kabul edilen yeni yönetmelikle vatandaşlardan bankalar tarafından alınacak ücret ve komisyon kalemlerinde sadeleştirilmeye gidilerek yirmi ana kaleme indirilmiştir. Ayrıca BDDK yönetmeliğinde bulunan ücret ve komisyonlar dışında mudilerden masraf talep edilemeyecektir. Bu itibarla ücretlendirme sisteminde bankalar tarafında kavram birliği sağlanmış ve kavram kargaşasına son verilmiştir. Sonuç olarak finansal kuruluşların aynı işlemi farklı adlar altında birden fazla ücretlendirme politikası önlenmiş olacaktır. Bu yönetmeliğin diğer bir önemli kazanımı da müşterilerden talep edilecek masraf ve komisyonların her ürün ve hizmet için alınan masraf ve komisyon için tüketiciden ayrı ayrı onay alınması şartı getirilmiştir.

2020 yılında TCMB tarafından hazırlanan ve bankaların ticari işlemleriyle ilgili aşırı fiyatlamaların önüne geçmek amacıyla çıkarılan ve 31035 sayılı resmi gazetede yayımlanan 10 Şubat 2020 tarihli Bankalarca Ticari Müşterilerden alınabilecek ücretlere ilişkin usul ve esaslar hakkında 2020/4 sayılı tebliğindeki düzenlemelerle bankaların ticari müşterilerinden alabilecek ücret komisyon ve masraflar sadeleştirilerek dört ana bölümde yer alan 51 ücret kalemiyle sınırlandırılması hükmüne bağlanmıştır (Baş, 2020: 12).

29/01/2022 tarihli ve 31734 sayılı resmi gazetede yayımlanan 2022/4 sayılı tebliğ ile bankalarca ticari müşterilerce alınabilecek ücretlere ilişkin usul ve esaslar hakkında tebliğ yayınlanarak bankaların ticari müşteriler ile gerçekleştireceği işlemlerde öngörülebilir ve şeffaflığın artırılabilmesi kavram birliği sağlanması, aşırı ücretlendirme ve masrafların önüne geçilmesi, sunulan ürün ve hizmetler karşılığında alınabilecek ücretlerin tür ve nitelikleri ile azami miktar ya da oranları ve bunlara ilişkin usul ve esaslar getirilmiştir (29.01.2020 Tarihli Resmi Gazete).

Sonuç olarak günümüzde artık bankaların müşterilerden aldıkları ücret ve komisyon kalemlerinde bir standartlık olması gerekliliğidir. Ayrıca BDDK tarafından çıkarılan yönetmeliklerin bankalarca tam uyumunun kontrolü sağlanmalı ve bu noktada bankalar üzerine düşen denetleme görevini tam ve eksiksiz yerine getirmelidir. Bankaların uygulamada çok fazla operasyonel işlem yapmaları denetim uygulamalarını bazen zorlaştırmaktadır. Vatandaşların hak ve menfaatleri her şeyin üstünde olduğunu kabul ederek bankaların iş ve işlemlerini almış oldukları ücret, komisyon ve masrafların hakkaniyet ilkeleri çerçevesinde ve her zaman tüketici hukuku ve haklarını da gözeterek yapmaları gerekmektedir. Bankalar tarafından yapılan bu uygulamalar uzun vadede müşteri memnuniyetini yükseltecek ve sisteme dâhil olmayan mudiler bile bankacılık sistemine dâhil olabileceklerdir. Bu sayede ülkemizdeki bankaların fon bulma ve toplama kapasiteleri artarak tıpkı gelişmiş ülkelerdeki gibi bankacılık ve sermaye piyasaları gelişimine olumlu katkı sağlanmış olacaktır.

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## Sürdürülebilir Deniz Turizminin Mevsimsellik Özelliğiyle Değerlendirilmesi: Saroz Körfezi Örneği

Öğr. Gör. Dr. Nursel Türksoy<sup>1</sup>

Öğr. Gör. Özgür Altınel<sup>2</sup>

<sup>1</sup>Trakya Üniversitesi / Keşan Meslek Yüksekokulu, Turizm ve Otel İşletmeciliği, nurselturksoy@trakya.edu.tr,  
ORCID: 0000-0003-2734-9600

<sup>2</sup>Trakya Üniversitesi / Keşan Meslek Yüksekokulu, Turizm ve Otel İşletmeciliği, ozguraltinel@trakya.edu.tr,  
ORCID: 0000-0003-3452-3793

**Özet:** Deniz turizmi sahile kıyısı bulunan yerleşim birimlerinin ve buna bağlı olarak ülkelerin ekonomik kalkınmasında önemli bir araçtır. Ancak iyi yönetilmediği takdirde çevreye bir takım olumsuzlukları da yansıtabilmektedir. Bu çalışmanın amacı deniz turizmi ve beraberinde yapılan sörf, dalış gibi alternatif turizm türlerini birlikte inceleyerek uzun vadede ekonomik ve çevresel katkılarının yüksek olması için yapılması gerekenleri araştırmak ve ortaya koymaktır. Saroz Körfezi gibi küçük yerleşim yerlerinin mevsimsellik özelliği nedeniyle deniz sezonu kısa sürmektedir. Bu nedenle deniz turizminde yoğunluğun belirli zamana sıkışması bölgenin taşıma kapasitesinin zorlanmasına ve alt-üst yapı gibi sorunlara neden olmaktadır. Çalışmanın sonucunda kaynakların uzun vadede gelecek nesillerin ihtiyaç ve isteklerini gözetenerek kullanılması üzerinde durulmuştur. Özellikle sahiller etrafındaki turizm hareketlerinin daha uzun sürdürülebilmesi için önerilerde bulunulmuştur.

**Anahtar Kelimeler:** Sürdürülebilirlik, Deniz Turizmi, Alternatif Turizm

### Evaluation of Sustainable Marine Tourism with Seasonality Feature: The Case of Saroz Bay

**Abstract:** Marine tourism is an important means for the economical development of the cities and the countries which have coastlines. However, if it is not managed well, some negative effects occur on the environment. The aim of this study is to investigate and to reveal what needs to be done in order to have high economic and environmental contributions in the long term by examining marine tourism and alternative tourism types such as surfing and diving. According to the seasonal features for the small settlements around the Bay of Saroz the sea season lasts short. Therefore, the compression of the density in marine tourism to a certain time causes difficulties in the carrying capacity of the region and problems such as infrastructure and superstructure. In the conclusion of this article it has been discussed the use of resources in the long term by caring the future generations' needs and demands. Suggestions have been made in order to sustain the tourism movements around the coasts for a longer period of time.

**Key Words:** Sustainability, Marine Tourism, Alternative tourism

#### 1. GİRİŞ

Deniz turizminin genellikle yaz mevsimi aylarında gerçekleştirilmesi sonucunda turizme mevsimsellik özelliği katmakta ve buna bağlı olarak da istihdam sorunları ortaya çıkmaktadır. Ancak bu çalışmada deniz turizminin mevsimsellik özelliğinin istihdam sorunları yaratması değil, deniz turizmi ve benzeri denizde gerçekleştirilen turizm türlerinin mevsimsellik özelliği nedeniyle kısa sürmesine rağmen nasıl sürdürülebilirlik kazandırılacağı üzerinde durulmuştur.

İngilizce "season" sözcüğünün Türkçe karşılığı "mevsim" sözcüğüdür. "Season" sözcüğünün kökeni ise Fransızca "saison" sözcüğünden gelmektedir. Fransızcada saison; uygun veya en çok tercih edilen zaman dilimi, bir senenin içinde en değerli zaman dilimi veya belirli unsurların (tarım alanındaki ürünlerin) çok olduğu dönem anlamındadır. (Bender et.al., 2005: 303; Günel,2009:15).

Deniz turizmi ve diğer turizm türleri yapısal özellikleri nedeniyle yılın belirli zamanlarında gerçekleştirilebilmektedir. Farklı zaman dilimleri seçilse bile aynı beklentiyi karşılayamamaktadır. Örneğin deniz turizmi su ve hava sıcaklığının düşük olduğu zamanlarda tercih edildiğinde yaz mevsimiyle aynı tatmini yaratmayacaktır. Tam tersi olarak kış- kayak turizmi de kış aylarında tercih edilecektir. Turizmin belli zamanlarda yoğunlaşması mevsimselliğin doğal sonucudur. Bu çalışmada önce deniz turizmi ve çeşitleri üzerinde durulmuş, sürdürülebilirlik kavramı çerçevesinde deniz turizmi Saroz Körfezi üzerinde incelenmiştir.

#### 2. DENİZ TURİZMİ

Dil Derneği tarafından deniz, "Yerkürenin çukur kısımlarının çoğunu dolduran, birbiri ile bağlantılı, tuzlu su kütlesi ve bu su kütesinin belli bir parçası", turizm ise "dinlenmek, görmek ve tanımak gibi amaçlarla yapılan gezi, bir



bölge veya ülkeye turist çekmek için alınan kültürel, ekonomik, teknik önlemler ve yapılan çalışmaların tümü” olarak tanımlanmaktadır. (Anonim a, 2022) Deniz turizmi söz konusu olduğunda ise bakış açılarına göre birden fazla tanım ile karşılaşıldığı görülmektedir. Deniz turizmine ilişkin literatürde yapılan tanımlar şu şekildedir: (Çakmak vd., 2016:4)

Tablo:1 Yıllara göre deniz turizmi tanımları

Yazar Adı – Yılı	Tanım
Doğaner (2001:1)	Deniz turizmi, deniz kıyısına bağlı olarak yapılan kıyı turizmi ve kıyıya yalnızca yat limanlarıyla bağlı, ulaşım ve konaklama hizmetlerini yat içinde sağlayan yat turizmi olmak üzere iki ana olgu çerçevesinde ele alınmıştır.
Orams (2002:9)	Deniz turizminin insanların sürekli yaşadıkları yerlerden denizin ev sahipliğini yaptığı (denizin içinde, üstünde, altında, kıyısında vb.) ve odağında deniz çevresine ilişkin unsurların yer aldığı rekreasyonel faaliyetlerin gerçekleştirildiği alanlara yaptıkları seyahatlerden oluştuğunu ifade etmektedir.
Jennins (2007:10)	Deniz turizmini, daha geniş bir kavram olan “su temelli turizm”in bir bileşeni olarak ele almış ve deniz turizmini tanımlarken Orams’ın tanımını benimsemiştir.
Nulty vd. (200:18)	Deniz turizmi, turist ve ziyaretçilerin deniz ve kıyı alanlarında yaptıkları -serbest zaman aktivitelerine aktif veya pasif katılımlarını içeren- tatil veya seyahatlerini kapsayan faaliyetleri bütünüdür.
IMEAK DTO (2012:207) (3)	Deniz turizmi, denizde deniz araçları ile yapılan, turizm amaçlı etkinlikler ve onu doğrudan destekleyen diğer mesleki etkinlikler olarak tanımlanmaktadır.
Yüksek (2012:86-87)	Deniz turizmi, kruvaziyer turizmi, yat işletmeciliği, yat limanı işletmeciliği, günübirlik tekne turları, eğlence ağırlıklı su üstü ve su altı aktiviteleri ve dalış sporlarından meydana gelen ve doğrudan deniz alanı içerisinde gerçekleşen faaliyetler bütünüdür.
Özbek (2014: 189-190)	Deniz turizmi, denizle ilgili etkinliklerde bulunmak isteyen kişilerin katıldığı turizm çeşitlerinden biri olarak tanımlanmış ve son yıllarda deniz-kum-güneş üçlemesinden daha çok yat, kruvaziyer gemi, günübirlik tur tekneleri ile turizm amaçlı su sporları dâhilinde gelişmeye başladığı belirtilmiştir.

Kaynak: Çakmak vd. (2016:4).

Tablo 1’de yer alan tanımlar incelendiğinde literatür üzerinde fikir birliği olan bir deniz turizmi tanımı olmadığı anlaşılmaktadır. (Çakmak vd., 2016:4)

Deniz turizmi denize dayalı rekreasyonel etkinliklere katılmak için seyahat edenlerin katıldığı bir turizm türüdür. Bu kavram, bünyesinde birçok turizm çeşidini barındırmaktadır. Denizin çevrelerinde gerçekleştirilen faaliyetlerin önemli bir kısmı deniz turizmi başlığı altında değerlendirilebilir. Ancak, bir turistik aktivitenin deniz turizmi kapsamında değerlendirilebilmesi için faaliyetlerin gerçekleştirilmesi sırasında bu aktivitelere katılan insanların odağında denizin olması gerekir. Deniz turizmi sadece deniz-kum-güneş üçlüsü veya yat-kruvaziyer turizmi ile sınırlandırılmayacak kadar çeşitliliğe sahiptir. (Çakmak vd., 2016:5)

Deniz turizminden, farklı kaynaklarda kıyı turizmi şeklinde de söz edilmiştir. Bu alanda diğer bilinmesi gerekenler ise şu şekildedir:

Deniz üstünde, içinde ya da kıyılarda turizm amacı ile yapılan tüm ticari faaliyetler bu kapsama dâhil edilmektedir.

Denizin bulunduğu alanlarda eğlence, hobi ve boş zamanı değerlendirme amacı ile gerçekleştirilen tüm etkinlikler deniz turizmi kapsamında değerlendirilmektedir.

Konukların zaman geçirmeleri, eğlenme ve dinlenmeleri için, deniz turizmi etkinliklerinin yanında konaklama, yeme içme ve tüm rekreatif etkinlikleri sunma da deniz turizmi kapsamında değerlendirilir.

Su altı ve su üstü balıkçılığı, tüm deniz sporları, rüzgâr sörfü, su kayağı, dalış ve denizde gerçekleştirilen turlar ve yelkencilik benzeri etkinlikler deniz turizmine yönelik etkinlikler içinde yer almaktadır.

Deniz turizmi kapsamına girmeyen etkinlikler ise deniz kullanılarak gerçekleştirilen ticari faaliyetler ile gıda elde etmek için denizde bulunup dalış gibi faaliyetleri gerçekleştirir. (Anonim b:2022)

Turistlerin ihtiyaç, istek ve beklentilerinin de değişmesi; kitle turizmine yönelik oluşturulan standartlaştırılmış ürünlerin, tüketicilerin beklentilerini karşılamaması turistlerde hayal kırıklığı ve memnuniyetsizlik yaratmaya başlamıştır. Bunun sonucunda insanlar; ihtiyaç, istek ve beklentilerini karşılayacak yeni turizm ürünleri arayışı içine girmiş ve yeni turizm türlerine yönelmiştir. Hem kitle turizminin yaratmış olduğu sorunlar hem de insanların yeni arayışlar içine girmesi, alternatif turizm kavramını ortaya çıkarmıştır. Alternatif turizm, kitle turizmine bir tepki olarak ortaya çıkan bireysel ya da küçük grupların yaptığı turizm faaliyetlerini kapsayan ve sürdürülebilir turizm anlayışı ile mevcut kaynakların gelecek nesillere aktarılmasını dikkate alan bir turizm anlayışıdır. (Uysal vd., 2019:6)

Alternatif turizm kavramının ortaya çıkış sebeplerinin başında güneş-kum-deniz üçlüsüne bağlı olarak oluşan doğal ve kültür kaynaklarına zarar veren kitle turizmine karşı sunulan seçeneklerdendir. Alternatif turizmi, kitle (dinlenme) turizmine karşı bir tepki olarak düşünüldüğü gibi kitle turizminin istenmeyen özelliklerini azaltacak bir unsur olarak da kabul edilmektedir. (Bahçe vd., 2019:12)

Alternatif turizm pazarında katılımcıların ziyaret ettikleri yörelerin özelliklerine göre doğal çevre ve kültürel hayat biçimine uyumlu veya kendi ilgi ve hobilerin gerçekleştirilmesi için etkin olmaları söz konusudur. Ayrıca katılımcıların ziyaretleri esnasında ihtiyaçlarını organize eden ancak zaman kullanımına müdahale etmeyen bir yaklaşım sergilenir. (Kozak vd., 2012:103) Türkiye’de deniz, akarsu gibi suda gerçekleştirilebilecek spor türleri, (yelkencilik, kano, aletli ve serbest dalış, rüzgar sörfü vb.) alternatif turizm türleri olarak değerlendirilebilmektedir. Saroz Körfezi’nde özellikle İbrice limanı etrafında aletli (scuba) ve aletsiz dalış, Erikli sahilinde rüzgar sörfü gibi su sporları yapılmaktadır. Bunların alternatif veya özel ilgi turizmi çerçevesinde turistik program oluşturularak meydana getirilmesi, deniz turizminin faaliyet alanını genişletecektir.

## 2.1. Türkiye’de Deniz Turizmi

Türkiye’nin kıyı uzunluğu 8333 kilometre olup kuzey, batı ve güneyi deniz ile çevrilidir. Bu kadar uzun bir kıyı şeridine sahip olmak aynı zamanda çok önemli deniz turizmi potansiyelini de beraberinde getirmektedir. (Çakmak vd., 2016:18)

Türkiye’de turizm planlaması ve kitle turizmine yönelik gelişmelere göre;

- Ege ve Akdeniz bölümlerinin kıyı kesiminde aşırı yoğunluk,
- Kıyı çevreleri ve arka alanlarda çarpık kentleşme/yapılaşma,
- Çevre sorunları ile birlikte altyapı yetersizliği meydana gelmiştir. (Türkiye Turizm Stratejisi 2023,:2)

Türkiye’de turizm açısından yüksek potansiyele sahip bölgelerde kruvaziyer yolcu taşımacılığı için gerekli alt ve üstyapının süratle tamamlanarak kruvaziyer limanlarının turizme açılması sağlanacak ve Türkiye’ye gelen turistlerin konaklama sürelerini arttırmak ve yine bu turistlerin nitelikli olanlarının sayısının artırılması sağlanacaktır. Yine deniz turizminde hızlı büyüyen başka bir eğilim de Mega Yat Limanları olması nedeniyle İstanbul, İzmir ve Antalya’daki yat limanları iyileştirilerek Mega Yatlar için uygun hale getirilmeleri ile yat turizminde Türkiye turizminin payının artması sağlanacaktır. Bundan başka hâlihazırda olan ve projeleri yapılan yat limanlarına ek olarak Türkiye’deki 200’den fazla balıkçı barınaklarından da yararlanılarak her 35 deniz milinde bir olarak yat turizmi için gereken hizmeti yerine getirebilecek biçimde yenilenmelerine yönelik çalışmalar sayesinde sektör için önemli olan gelişim sağlanacaktır. Bunlardan başka yeni varış yerlerini destekleyecek özellikte yat limanlarının planlaması yapılarak işletmeye açılacaktır. (Türkiye Turizm Stratejisi, 2023:22)

Deniz Turizmi:

- Türkiye’de ileriki dönemde sürdürülebilir ve nitelikli deniz turizmi geliştirilecektir.
- Trabzon, Samsun, Antalya, Mersin, Kuşadası ve İzmir’deki Kruvaziyer gemileri kabul eden limanlar yenilenecek ve genişletilecektir.
- İstanbul’da bulunan liman kapasitesi hızlı bir şekilde arttırılacaktır.
- İstanbul, İzmir ve Antalya’daki yat limanlarının mega yatları ağırlayabilecek şekilde yenilenmesi gerçekleştirilecektir.
- Özellikle Karadeniz’de bulunan balıkçı barınaklarının yatları da ağırlayabilecek duruma getirilmesi sağlanacaktır. (Türkiye Turizm Stratejisi 2023,:36)

Deniz turizmi şu mevzuatlar ile düzenlenmektedir:

2634 Sayılı Turizmi Teşvik Kanunu, Deniz Turizmi Yönetmeliği, Deniz Turizmi Yönetmeliği Uygulama Tebliği, Turizm Amaçlı Sportif Faaliyet Yönetmeliği, Türk Karasularında Sportif Amaçlarla Yapılacak Aletli Dalışlara İlişkin Yönetmelik (Anonim c:2022)

Türkiye’de tüm turizm gelirinin yaklaşık olarak %20’si deniz turizmi gelirinden oluşmaktadır. Deniz Ticaret Odası, deniz turizmi alanında hem sektöre hem de kamuya yönelik kanunlarla belirlenmiş sorumlulukları olan en yetkili ve ilgili kuruluştur. Başlangıcı çok eski yıllara dayanan dalış turizmi, teknolojik gelişmeler ve su üstü sporlarının da eklenmesi ile birlikte öne çıkan bir turizm sektörü haline gelmiştir. Özellikle turizm merkezlerinde gününbirlik teknelerin sayıları binlerle ifade edilmektedir. Tüm bu sektörlerin özellikle de Bodrum, Marmaris, Fethiye, Antalya ve İzmir sahil kısımlarında gelişmesi sonucu yürürlükte bulunan Yat Turizmi Yönetmeliği sektörün gereksinimlerine yanıt veremez duruma geldiğinden deniz turizmi sektörü ile Kültür ve Turizm Bakanlığı işbirliği ile hazırlanan 2634 sayılı Turizmi Teşvik Kanunu’nun Deniz Turizmi ile ilgili maddelerinde yapılması istenen değişiklik taslağı 13/01/2007 tarihli Resmi Gazete’de yayınlanmış ve yürürlüğe sokulmuştur.

Turizm Teşvik Kanunu ile;

1- "Yat Turizmi" olan sektörün adı "Deniz Turizmi" olarak değiştirilmiş ve genişletilmiştir.

2- "Kruvaziyer Limanları" ve "Kruvaziyer Gemileri" yasa kapsamına dâhil edilmiştir.

3- "Gününbirlik Gezi Tekneciliği" yasa kapsamına dâhil edilmiştir.

4- Yabancı bayraklı yatların (kruvaziyer gemilerin) 2 yıl olan karasularımızda bulunma süreleri 5 yıla uzatılmıştır.

4/8/1983 Tarih ve 18125 Sayılı Resmi Gazete’de yayımlanarak yürürlüğe giren "Yat Turizmi Yönetmeliği" günümüzde Deniz Turizmi’nin hızlı gelişimi ve meslek dallarının çeşitlenmesi ve bahse konu Turizm Teşvik Kanununun değişmesi sonucu yetersiz kalması Kültür ve Turizm Bakanlığı koordinasyonunda diğer kamu ve sektör temsilcileri ve Odamızca "Deniz Turizmi Yönetmelik Taslağı" çalışmaları tamamlanarak "Deniz Turizmi Yönetmeliği 24.07.2009 Tarih ve 27298 (Asıl) Sayılı Resmi Gazete’de yayımlanarak yürürlüğe girmiştir. (Anonim c:2022)

Diğer turizm türlerinden deniz turizmini ayıran özelliklerin başında etkinliklerin yapılabilmesi için bir ekipmana gereksinim duyulmasıdır. Bu yüzden kitle turizmine katılan kişiler, tüm turizm faaliyetlerine katılabilirken deniz turizminde ise bireyler gereken özel ekipmanlar sağlayarak uzmanların kontrolünde (örneğin tüplü dalış) söz konusu etkinliği gerçekleştirebilirler. Bu nedenle gereken ekipmanların elde edilmesi bu ve etkinliklere katılmak isteyen kişiler için ek bir maliyet oluşturur. Bu yönüyle deniz turizmi diğer turizm çeşitlerine göre daha maliyetlidir. (Doğan, 2019:11)

## 2.2. Sürdürülebilirlik Ve Sürdürülebilir Deniz Turizmi

Günümüzde sürdürülebilirlik birçok alanda desteklenen ve önemsenen konulardan biridir. Sürdürülebilirlik birden fazla boyutu olan bir kavramdır. Yerli halkın yaşam kalitesinin korunması, doğal kaynaklar ile tarihin ve kültür mirasının korunması, kirlilik ve çevreye verilen zararın en aza indirilmesi sürdürülebilir kalkınmada olumlu etkiler oluşturması ve bu etkilerin ekonomik ve gerçek faydaya dönüşmesi ile ilgili çalışmaları kapsar. (Soykan, 2003; Erdoğan, 2003; Pınar ve Sarı, 2017: 57).

Sürdürülebilirlik; insanların günlük gereksinimlerini karşılarken doğal kaynakların korunması ve gelecek kuşaklara bozulmamış doğal yapı bırakmak için yapılan etkinliklerdir (Collin, 2004). Sürdürülebilirlik kavramı ilk kez 1980 yılının Mart ayında yayımlanan Dünya Koruma Stratejisi (WCS-The World Conservation Strategy) ile kamuoyunun ilgisini çekmiştir. Dünya Koruma Stratejisi; Birleşmiş Milletler Eğitim, Bilim ve Kültür Örgütü (UNESCO-United Nations Educational Scientific and Cultural Organization), Birleşmiş Milletler Gıda ve Tarım Örgütü (FAO-Food and Agriculture Organization of the United Nations), Dünya Vahşi Yaşamı Koruma Fonu (WWF-World Wildlife Fund), Birleşmiş Milletler Çevre Programı’nın (UNEP-United Nations Environment Programme) destekleriyle Doğa ve Doğal Kaynakların Korunması İçin Uluslararası Birlik (IUCN-International Union for Conservation of Nature and Natural Resources) tarafından hazırlanmıştır (Gössling ve ark., 2009: Kuter ve Ünal, 2009).

Dünya üzerinde deniz turizmine yönelik olarak gerçekleşen geniş kitlesele turizm hareketleri ile sosyal, kültürel ve doğal kaynakların bilgisizce kullanımı, deniz turizmi uygulanan destinasyonlarda geri dönüşü mümkün olmayan bozulmalara neden olmuştur. (Duran, 2011). Örnek olarak kitle turizminin, yoğun turist nüfusunu aynı kısa

sezonda daha çok kıyı alanları üzerinde yapılmış bulunan işletmelerde konaklama, yeme ve içme, eğlenme, gezme ve harcama yapmaya yönlendirmiş ve bu alanlara olan yoğun baskının artmasına yol açmıştır. (Ovalı, 2007: Sevinç ve Duran, 2018:176).

Deniz turizminin çeşitli öğelere bağlı olarak olumlu ve olumsuz etkileri vardır. Turistlerin sayısı, denizde kullanılan araçların sayısı ile buna bağlı olarak denizciliğin büyüme hızına göre şekillenmektedir. Ortaya çıkabilecek olumsuz etkilerin azaltılarak ve olumlu etkilerin artırılması sürdürülebilir turizm yönetiminin 12 hedefinin yerine getirilmesiyle olası hâle gelecektir. Hedefler şöyle sıralanabilir (UNEP, 2005; Pınar ve Sarı, 2017: 57): Ekonomik istikrar, yerli halkın refahı, sosyal eşitlik, konuk memnuniyeti, istihdam kalitesi, yerel kontrol, kültür zenginliği, halk sağlığı, fizik bütünlüğü, bio-çeşitlilik, kaynak verimliliği, çevresel saflık.

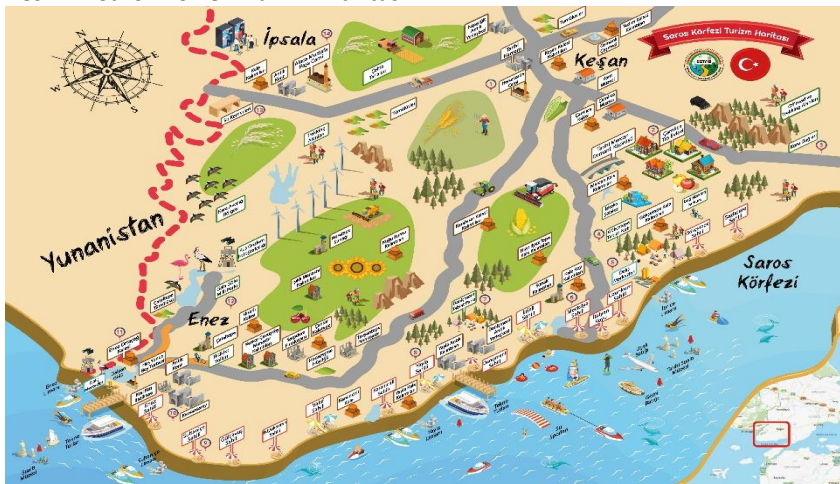
OECD Bölgesel Kalkınma Servisi tarafından yapılmış olan ekonomik çalışmalarda turizmin olası bir kalkınma stratejisi olarak tanınmasının yapılması, turizm ile yerel kalkınma ilişkisine de dikkatleri çekmektedir. (Doğan ve Yıldız, 2007, s.155: Çetin vd.,2017:145). Bu bilinen gerçeklerin yanı sıra, değişimlere verilecek tepkinin nasıl olacağı ile hangi uygulama yöntemlerinin ve araçlarının hangi sürede nasıl yapılacağına karar verilmesi ise bu konuda iyi bir planlama yapılması gerekliliğini göstermektedir. Birçok yer öylesine bu eğilimden yararlanmak istese de, planlamasız gerçekleştirilecek girişimlerin yetersiz ve başarısız olacağı öngörülebilir. “Öyleyse bir yörede kırsal turizmin geliştirilmesi için gereken planlama nasıl olmalıdır?” sorusunun yanıtı, kuşkusuz ki turizm talebini oluşturan ve sonrasında sürdürülebilir bir kırsal turizm ve bu turizm çeşidine olan talebin yerine getirilmesi ve ayrıca aynı yörede kırsal turizm kaynaklarının değerlerinin bozulmadan korunarak ortaya çıkarılması ve geliştirilmesi sayesinde olanaklıdır. Bunun için de ekonomik, çevresel, kültürel, sosyal ve toplumsal açıdan çok yönlü bir kırsal sürdürülebilir turizm planlaması yaklaşımının benimsenip uygulanması gerekir. (Çetin vd.,2017:145).

Kıyı turizminde büyük potansiyele sahip olan Türkiye’deki toplam turizm talebinin %90’ı deniz turizmine yönelik olmakla birlikte deniz turizminden faydalanmak, turizm faaliyetlerinin sadece 4-5 ay gibi kısa süreli bir zaman diliminde kalmasına ve yaz mevsiminde kıyılarda çok fazla yoğunluk yaşanmasına, doğal kaynakların hızla yok olmasına ve çevre kirliliği gibi sorunların ortaya çıkmasına neden olmaktadır (Kozak vd. 2006;18-19). Bu nedenle, Türkiye’nin kıyı turizmi ile birlikte sahip olduğu tüm değerlerini sürdürülebilir bir turizm potansiyeline dönüştürmesi zorunluluğu daha da önemli hâle gelmiş ve alternatif turizm çeşitlerinin ortaya çıkmasıyla turizm varlıklarının korunarak kullanımı gerekliliği anlaşılmıştır. (Çelik Uğuz, 2011:334) Saroz Körfezi kıyıların rekreasyonel kullanımına bağlı iç turizm hareketleri son yıllarda yoğunlaşmıştır. Kıyılar, denizler ve diğer tüm doğal kaynakların gelecek nesillere bozulmadan sürdürülebilir yönetim anlayışının tüm turizm faaliyetlerinde esas alınması gerekir.

### 3. Saroz Körfezi’nde Deniz Turizmi

Saroz Körfezi, Ege Denizi’nin kuzey kıyılarında; Gelibolu Yarımadası’ndan Keşan’a ve oradan Enez’e doğru uzanan kıyı şeridi arasında uzanmakta, Edirne il merkezine 150 km, İstanbul’a ise 250 km uzaklıkta yer almaktadır. Keşan-Enez boyunca uzanan 75 km’lik kıyıların 40 km.si Keşan, 35 km’lik bölümü ise Enez sınırları içinde yer almaktadır. (Anonim d:2022)

Resim1: Saroz Körfezi Turizm Haritası



Kaynak: <http://www.estab.gov.tr/saros-korfezi-turizm-haritasi/>

Edirne'nin güney kısmını oluşturan Saroz Körfezi Kıyıları'nda 1970'li yıllardan itibaren kıyı turizmi başlamıştır. Sezonun Akdeniz ve Ege Kıyıları'na kıyasla kısa olması, bölgenin sınıra yakın olması ve dolayısıyla askeri tatbikat bölgesi olması gibi nedenler Saroz Körfezi'nin sosyo-ekonomik açıdan çok fazla gelişmemesine neden olmuştur. Ancak turizmin yavaş bir hızla gelişmesi nedeniyle uzun yıllar bölgenin doğal yapısını korunmuştur. Marmara denizinin kirlenmesi İstanbul başta olmak üzere Tekirdağ gibi çevre illerde yaşayanları yakınlarda yeni yerler arayışına itmiş ve bölge, arayışta olan yerli turistler tarafından değerlendirilmeye başlanmıştır. Deniz Turizmi kapsamında yüzme ve güneşlenme olarak sahillerden bütün Saroz Körfezi'nde yararlanmak mümkündür. Yelken, su kayağı, kürek çekme, rüzgâr sörfü gibi su sporları daha çok Erikli ve Gülçavuş'ta, dalış, su altı fotoğrafçılığı ve arkeolojisi gibi sualtı sporları ise daha çok Sazlıdere (Üç Adalar), Gökçetepe, Mecidiye (İbrice), Erikli ve Danişment'te yapılmaktadır. (Kocaman, 2011:184)

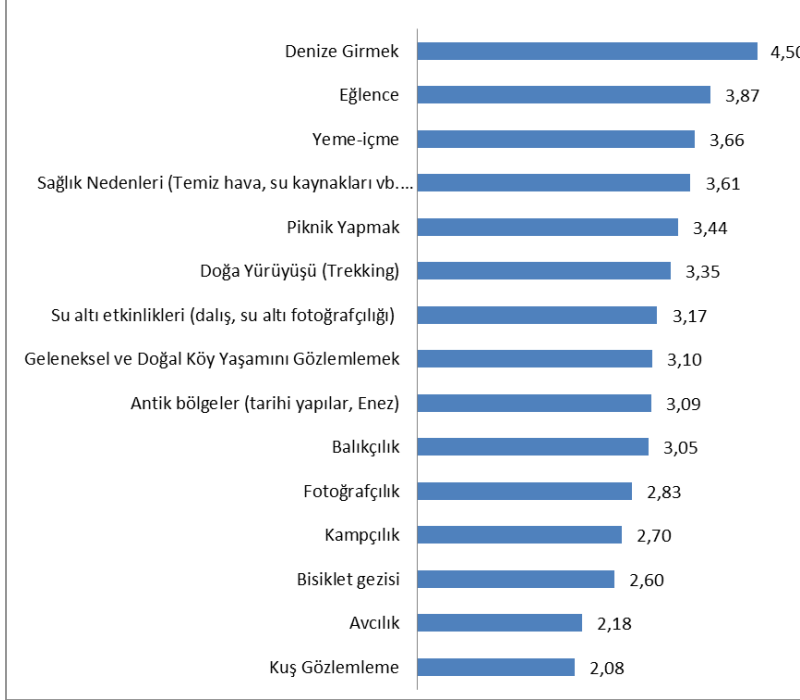
Türkiye'nin üç tarafının da denizlerle çevrili olması, uzun sahil şeridi ve kısmen bozulmamış doğal yapısı, kıyı ve deniz turizmi bakımından tercih edilmesini sağlamıştır. Turizmden en fazla gelir deniz ve kıyı turizminden sağlanmaktadır. Akdeniz ile birlikte Ege Denizi en çok tercih edilen sahillere sahip olmuş ve zamanla çevresine yayılmıştır. Ege denizinin kuzeyini oluşturan Saroz Körfezi kıyıları iç turizm hareketlerinin geliştiği alanlardan biri haline gelmiştir. Ülkede büyüme eğilimi gösteren deniz turizmi, yat limanı gereksinimini de arttırmıştır. Bu yüzden 2014 yılında çalışmalarına başlanan Enez Yat Limanı projesi hazırlanmıştır. Bu projeye birlikte, bölgeye yeni yatırımların da çekilerek ekonomiye ve turizm sektörüne katkı sağlanmış olacaktır. (Edirne TSO, 2015:47,50)

Saroz Körfezi, besin tuzları ve sıcaklık bakımından farklı olan Karadeniz ile Ege Denizi ve dolayısıyla Akdeniz sularının karşılaşma ve karışma alanıdır. Bununla birlikte körfezde kendi kendini temizlemesini sağlayan dip ve yüzey akıntıları bulunmaktadır. Yılda üç defa ve aynı zamanda olmak üzere Şubat, Nisan ve Temmuz aylarının 15. veya 18. günü başlayıp, 25. veya 28. günü sona eren tabandaki soğuk su ve yüzeydeki sıcak suyun yarattığı akıntılar körfezi temizlemektedir. (Yaşar, 2011:40) Bu akıntılar sayesinde denizin kendini temizlemesi, kirlenici etkenlerden kurtarılmasını mümkün kılmıştır. Ancak Mecidiye merkezine 6 km uzaklıkta bulunan İbrice Limanı çevresinde bulunan birkaç yapı haricinde yapılaşma yoktur. Burası birçok dalış okuluna ev sahipliği yapmakta özellikle bahar ve yaz aylarında dalış turizminde yoğunluk yaşanmaktadır. Liman, Osmanlı'nın son dönemlerinde ve sonrasına kadar, Uzunköprü yönünde tren yoluyla kendine başka bir yol bulan taşıma ağına yakın olması nedeniyle, Trakya içlerine çeşitli yüklerin taşındığı küçük bir liman görevi üstlenmiştir. Günümüzde ise bu görevini bir balıkçı barınağı ve çeşitli dalış okullarına ev sahipliği şeklinde devam ettirmektedir. Yaz sezonunda ise tekne turları için bir hareket limanı olarak kullanılmaktadır. İbrice, limandan Erikli yönüne doğru olan kıyı boyunca, insan eliyle yapılmış ve su altına yerleştirilmiş çeşitli tarihi objelerle oluşturulan bir su altı tarih müzesi yapılmasında projenin yürütme merkezi konumundadır. Farklı zamanlarda yapımı süren bu emsalsiz projenin adı Saroz Yapay Resif ve Su Altı Tarih Müzesi Projesi'dir. (Anonim d:2022)

Edirne'nin Keşan ilçesine bağlı Mecidiye, Erikli kumsalları, en çok talep edilen kumsallardır. Mecidiye bölümünde bulunan kamp, karavancılar için de bâkir bir bölgedir. Neredeyse 2 km'ye yaklaşan kumsalı ince kumlu, denizi berrak, temiz ve çabuk derinleşmediğinden dolayı da güvenlidir. İbrice Limanı bölgesinde bulunan maden ocakları nedeniyle ormanlık alan zarar görmektedir. Bunun yanı sıra limanda çok gözde dalış noktaları yer alır. (Anonim e:2022)

Enez ilçesinin sınıra yakın olması turizm hareketlerini kısıtlamış olsa da son yıllarda özellikle deniz turizmiyle, Altinkum gibi uzun kumsallarıyla yakın illerden yoğun talep görmektedir. Yunanistan kıyıları ile Semadirek Adası'nın manzarası eşliğinde, ince kumlu kumsallarından berrak akvaryum gibi denizinden yararlanılabilir. (Anonim e:2022)

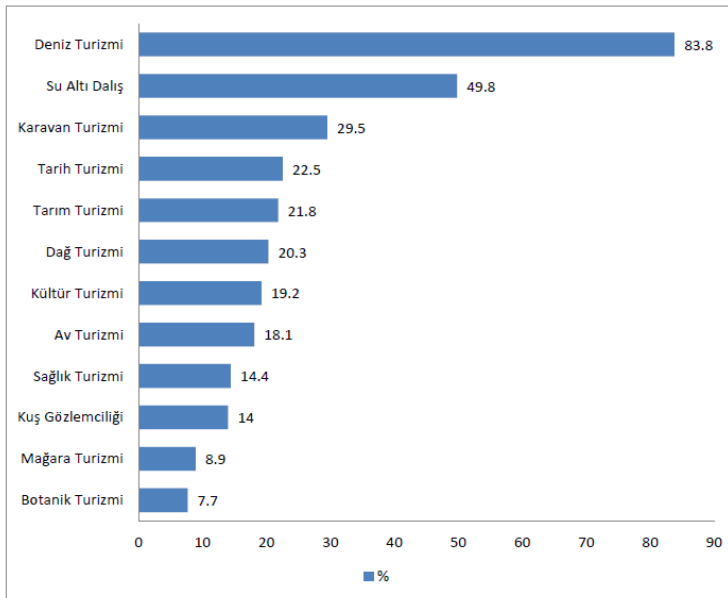
Şekil 1: Saroz Körfezi'ne Geliş Sebepleri



Kaynak: (Türksoy, 2018:85)

Yukarıdaki araştırmada Saroz Körfezi'ne gelenlerin bölgeyi tercih etmesindeki en büyük etkenin denize girmek olarak belirtildiği görülmektedir. Sırasıyla eğlence, yeme-içme, sağlık nedenleri, piknik yapmak, doğa yürüyüşü, su altı etkinlikleri vb seçeneklerin de tercih edilmesi bölgeyi ziyaret eden turistlerin kırsal alanda doğal faaliyetlere yönelerek tatil yapmayı tercih ettiği görülmektedir.

Şekil 2: Saroz Körfezi'nde Uygulanabilecek Turizm Türleri



Kaynak: (Türksoy, 2018:91)

Şekil 2'de yapılan bir araştırmada (Türksoy, 2018:91) bölgeyi ziyaret eden kişilerin Saroz Körfezi'nde gerçekleştirilebilecek en uygun faaliyetin deniz turizmi olduğu sonucuna varılmıştır. Deniz turizmine en yakın tercih yine denizde gerçekleştirilebilecek bir turizm türü olan su altı deniz turizmi olarak tercih edilmiştir. Diğer yakın seçeneklerde karavan turizmi, tarih turizmi, tarım turizmi vb. yine bölgenin yapısına uygun kırsal alanda gerçekleştirilebilecek sürdürülebilir turizm türlerinin bölgeye uygun olduğu görülmektedir.

#### 4. SONUÇ

Saroz Körfezi, Türkiye'nin Avrupa ile birleştiği bir konumda olması, doğal, kültürel, yöresel yapısı ve İstanbul, Tekirdağ, Çanakkale gibi büyük illere yakın olması gibi nedenlerle özellikle iç turizmde ilgi görmektedir. Akdeniz ve Ege Denizi sularına göre denizinin daha soğuk olması, geç ısınıp geç soğuması deniz turizmi sezonunun belirli aylara sıkışmasına neden olmuştur. Hızlı bir kentleşme ve endüstrileşmenin yaşandığı Trakya ve İstanbul bölgesi için Saroz Körfezi önem arz eden bir turizm potansiyeline sahiptir. Edirne ve çevre illerden ve özellikle de İstanbul'un sürekli artan nüfusu nedeniyle Saroz Körfezi'ne olan talep her geçen gün artmaktadır. Bu talebin sağlıklı bir şekilde karşılanabilmesi için bölgedeki rekreatif aktivitelerin geliştirilmesi ve çeşitlendirilmesinden başka, şu an sahip olunan doğal, kültürel ve tarihi yapının bozulmaması ve sürdürülebilirliğinin sağlanması da çok önemlidir. (Yılmaz, 2006:132)

Deniz Turizmi hizmetlerinden yararlanılmasında ulaştırmanın önemi oldukça açıktır. Ulaştırma tercihinde büyük oranda coğrafi özellikler belirleyici olmaktadır. Bir deniz turizmi hizmetine kolay ve ucuz ulaşılması önemli olmasına karşın deniz turizmi faaliyetlerinin gerçekleştiği alanın kolay ulaşılması bölgede ikinci konutların çoğalması, kentleşme ile bölgenin özelliğini yitirmesine sebep olabilmektedir. Örneğin Bodrum ile Güllük arasındaki bölgede havaalanına yakın olması nedeni ile yapılaşma çoğalmış bölge deniz turizmi faaliyetlerine uygun olma özelliğini büyük oranda kaybetmiştir. Hırvatistan'ın Dalmaçya kıyılarında mavi yolculuğun gelişmesi 90'li yıllarda ortaya çıkmış olsa da otobanlarla orta Avrupa'ya rahatça ulaşılabilmesi bu ülkede deniz turizminin, özellikle yatçılığın gelişmesinin önemli nedenlerindedir. (Muslu, 2015:67) Enez ilçesinde 1980 yılında yapılan liman balıkçılık faaliyetlerinde kullanılmakta ancak ulaştırmada kitlesel ulaşımında kullanılmamaktadır. Enez limanına gümrük kapısı yapılması için 2021 Mart ayında başlayan çalışmalar devam etmektedir. Kapının kurulacağı 130 m uzunluk, 45 m genişlik ve 8 m derinlikteki liman inşaatı sürmektedir. Böylece ticarete ve turizme katkı sağlaması beklenmektedir. (Anonim f:2022) Ancak denizin ve kıyıların kullanımını yatçılık ve diğer faaliyetlerin çevreyi, bölgenin flora ve faunasını bozmamalı, tehdit unsuru oluşturmaması gerekir. Saroz körfezinde bulunan taş ocakları, Saroz FSRU liman ve boru hattı projesi doğal çevreyi tehdit etmektedir. Bu işletmelerin çevre kirliliğinin yaratılmaması ve çevreye yayılmaması için sıklıkla kontrol edilmesi gerekir.

Konaklama işletmelerinin kalite ve kapasite olarak artmasının yanında, 2634 sayılı Turizm Teşvik Yasası ile yabancı bayraklı yatların Kültür ve Turizm Bakanlığı'ndan işletme belgesi alınması şartıyla Türk liman ve karasularında turizm amaçlı çalışmalarına izin verilmiş, böylece uluslararası bir rekabet ortamı yaratılarak deniz turizminde ivme kazandırmıştır. Yat limanı yatırım ve işletmeciliğinin yanında özellikle geleneksel yöntemlerle yat yapımı nedeniyle Türkiye'yi dünyanın geleneksel yöntemlerle yapılmış olan yatları ihraç eden üçüncü ülkesi durumuna getirmiştir. (DPT, 2007:12) Deniz kıyılarının faaliyet alanını genişleten, ulaştırmayı ve turizmi geliştiren yat turizmi, su sporları ve kruvaziyer turizmi açısından büyük potansiyele sahip olan Türkiye'de tüm bu faaliyetlerin yalnız belli bölgelere değil Saroz körfezi gibi alanlarda da faaliyetleri genişletmesi gerekir.

Turizmin belirli zamanlara yoğunlaşmasını ve dış pazarlarda değişen tüketici taleplerini de dikkate alınarak yeni potansiyel alanlar yaratmak amacıyla destinasyon yönetimine ağırlık verilerek golf, kış, dağ, termal, yat, kongre turizmi ve ekoturizm ile ilgili yönlendirme faaliyetleri sürdürülecektir. (DPT, 2006:82)

Dünyadaki değişimler insanların eğitim ve refah düzeylerinin artmaya devam edeceğini ve turizm amaçlı seyahatlerin artacağını göstermektedir. Turist tercihleri farklılaşacak, yenilikler ve alternatif turizm türlerine olan talep artmaya devam edecek, konfor ve macera etkinliklerinin yoğunluğu artacaktır. Bu kapsamda, turizmin çeşitlendirilmesi ve hizmet kalitesinin artırılması önemlidir. Türkiye'nin mevcut tarihi, doğal ve kültürel yapısını; sağlık turizmi, kongre turizmi, kış turizmi, kruvaziyer turizmi ve kültür turizmiyle bütünleştirerek turizm sektörünü geliştirme potansiyeli bulunmaktadır. (DPT, 2013:113,114) Bu potansiyelin olumlu değerlendirilmesi tutarlı ülkesel ve bölgesel planlama ile mümkün olabilecektir. Tüm bu turizm türleri ayrıca denize kıyısı bulunan bazı turistik mekânlarda gerçekleştirilerek deniz turizmi ile birleştirilebilir. Deniz turizminde gelişmiş Antalya'nın kongre, golf gibi turizm türlerinde de geliştirilmesi gibi örnekler Türkiye'nin değişik yerlerinde çoğaltılabilir.

2013-2023 Trakya bölgesi turizm master planında konaklama, yiyecek içecek gibi turizm işletmelerinin artırılması ve bu konuda girişimcilere destekler sağlanması, Saroz kıyılarının korunması (kirleticilerin önlenmesi, kirli alanların temizlenmesi, taşıma kapasitesinin aşılmaması), deniz turizmi ve alternatif türlerinin çeşitlendirilmesi, Enez'in arkeolojik değerlerinin korunarak kültür turizmine kazandırılması gibi hedefler belirlenmiştir. (Anonim, 2015)

Sürdürülebilir deniz turizminde, turizmin olumsuz etkilerinin önlenmesi iyi bir planlama ve araştırma yapmak gerekir. Özel ve kamu işletmelerinin tüm paydaşlarının fikir paylaşımı ve işbirliği halinde olması gerekir. Bu bağlamda uygulanabilecek standart bir uygulama yoktur. Bölgesel ve kültürel özellikler farklılıklar gösterdiğinden

kıyı ve deniz ortamlarının planlanması ve yönetimi birbirlerinden farklılık göstermektedir (Pearce vd. 1997: Pınar ve Sarı, 2017: 61). Saroz Körfezi'nde bölgenin fiziki yapısı, sosyo kültürel yapısı, yerel halkın ve turistlerin beklentileri ortaya konulup, dünyanın farklı yerlerinde benzer alanlardaki turizm uygulamaları ile mukayese ederek hem deniz turizminde hem de deniz ve kıyı kullanımına yönelik turizm türlerinde bunlara uygulan planlama, uygulama ve pazarlama faaliyetleri yürütülmelidir.

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## Endüstriyel Pazarlamada Müşteri İlişkileri Yönetiminin Önemi

Dr. Öğr. Üyesi Onur ŞAYLAN<sup>1</sup>

<sup>1</sup> Çanakkale Onsekiz Mart Üniversitesi, Çan Uygulamalı Bilimler Yüksekokulu, Uluslararası Ticaret ve İşletmecilik Bölümü, onursaylan@comu.edu.tr, ORCID: 0000-0001-7013-0415

**Özet:** Günümüzde pazarlama yöntemleri ürün odaklı evreden çıkmış ve müşteri odaklı olmaya başlamıştır. Müşteriler artık tedarikçilerinden geleneksel satış modelleri dışında farklı ilişkiler talep etmektedir. İşletmeden işletmeye (B2B) ticarete yöneticiler satışların etkinliğini arttırmak için satın alıcı firma ile ilişkileri geliştirme ve görevleri yönetme konusunda müşteri ilişkileri yönetiminin (MİY) önemini anlamışlardır. Müşteri ilişkileri yönetimi, uzun dönemli müşteri odaklı ilişkiler kurulmasında firmalara yardımcı olan bir stratejidir. Başarılı firmalar, müşterilerden elde edilen bilgileri akıllı bir şekilde kullanan, müşteri istek ve ihtiyaçlarını daha iyi bir şekilde anlayan ve onlara daha gelişmiş müşteri hizmeti sunan firmalardır. B2B’de etkili MİY kapasitesine sahip bir firma karlı müşterileri tanımlayabilmekte ve onları hedeflemektedir. Endüstriyel müşterilerin sayısı tüketici pazarına göre daha az olmasına rağmen endüstriyel pazarlamanın kapsamı oldukça büyüktür. Endüstriyel satışlarda müşteri ile ilk temastan satışın gerçekleşmesine kadar geçen süre beklenenden çok fazla olabilmektedir. Bu zaman diliminde firmalar arasında görüşmeler, toplantılar, değerlendirmeler, iletişimler gerçekleşir ve tüm bu ilişkilerin izlenmesinde MİY kullanılması firma için faydalı olmaktadır. Bu çalışmanın amacı endüstriyel pazarlamada müşteri ilişkileri yönetiminin önemini değerlendirmek, faydalarını ortaya koymak ve bu alanda çalışacak araştırmacılar için literatür oluşturmaktır. Araştırmadan elde edilen sonuçlara göre B2B müşteri ilişkileri yönetimi, müşteri firmanın satış hunisinin (sales funnel) hangi seviyesinde olduğunun net bir şekilde görülmesine olanak sağlamıştır. Bunun yanı sıra MİY’nin endüstriyel ilişkilerin yapısı gereği fiyat tekliflerinin oluşturulmasına ve siparişin hatasız gerçekleşmesine imkan verdiği ve endüstriyel pazarlamada oldukça önemli olan işletmelerle ilişki geliştirme ve işletme performansını maksimize etmeye de yardımcı olduğu sonucuna ulaşılmıştır.

**Anahtar Kelimeler:** Endüstriyel pazarlama, müşteri ilişkileri yönetimi, işletmeden işletmeye pazarlama.

### The Importance of Customer Relationship Management (CRM) In Industrial Marketing

**Abstract:** Nowadays, marketing methods has moved from product-driven approach to customer driven approach. Customers now demand different relationships from their suppliers except traditional sales models. Business to business (B2B) managers have also realized importance of customer relationship management in relation to developing relations with buyer firm and conducting tasks to increase sales penetration. Customer Relationship Management (CRM) is a strategy that helps the businesses to establish long term relationship with their customers. Successful businesses are the businesses that brainly use the information attained from customers, clearly understand the wants and needs of customers and offer advanced customer services to them. A firm that has effective CRM capacity can identify profitable customers and target them. Although industrial customers are less than comparison with B2C , the scope of B2B is rather large. The time from the first contact with the customer to the realization of the sale can be more than expected. In this time period, negotiations, meetings, evaluations, communications take place between companies and the use of CRM will be beneficial for firms in monitoring all these relationships. The aim of the study is to evaluate the importance and benefits of CRM in B2B context, provide a literature for researchers who will study in this area. According to results of the study, it has been found that CRM in B2B allows to clearly see what level of the sales funnel the customer firm is. Besides, it has been concluded that due to the nature of industrial relations, CRM also allows to creation of price offers and realization error-free order and it helps to makes the business performance maximum and develops relationship which is rather important in B2B.

**Key Words:** Industrial marketing, customer relationship management (CRM), business-to-business marketing (B2B).

#### 1. GİRİŞ

İşletmeden işletmeye pazarlama (B2B) yapan firmalar yıllık yüzlerce milyon doları üretimi, iletişimi ve müşteri ilişkilerini arttıran satış gücü teknolojilerini sağlamak için harcamaktadır. B2B yöneticiler satışların etkinliğini arttırmak için satın alıcı firma ile ilişkileri geliştirme ve görevleri yönetme konusunda satış teknolojilerinin önemini anlamışlardır. Satış profesyonelleri üst yönetim ve müşteri desteği, ürün tasarımı, satın alma, nakliyat ve faturalama, içsel paydaşlar ile etkili iş birliği gibi konularda zorlanabilmektedir. Müşteri ilişkileri yönetimi (MİY) gibi satış teknolojileri satış profesyonellerine bu görevleri daha etkin bir şekilde tamamlamalarına, içsel iş birliğini geliştirmelerine olanak sağlamıştır. MİY satışları olumlu bir şekilde etkilemek amacıyla yöneticiler ve çalışanların etkili iletişim kurmasına olanak sağlamıştır. Müşteri ilişkileri yönetimin amacı müşteri sadakati ve uzun dönemli karlılık sağlayacak müşteri odaklı stratejilere iş süreçlerinin uyumunu sağlamaktır. MİY gibi satış gücü teknolojilerinin temel dayanağı pazarlamacılar ve satış personelinin müşterilerle (satın alıcılarla) olan ilişkilerinde

daha etkin ve etkili olmalarına yardım etmektedir. MİY teknolojisi daha başarılı aday müşteri hedeflemesi yapma ve bu beklenen müşterileri önce müşteriye daha sonra da sadık müşteriye dönüştürmeyi amaçlar. MİY firmalara satış süreçlerinde etkinlik, satışların verimliliğinde artış, pazarlama ve müşteri desteği sunma gibi faydalar sağlar (Rodrigez ve Honeycut,2011:336-338). İnternetin gelişmesi işletmelerin büyük miktarlarda müşteri ile etkileşimini mümkün kılmıştır. İnternet hem alıcı hem de satıcı için maliyetleri düşürmüştür. Satın alıcı aldığı kişisel hizmetler, etkin sipariş süreçleri ile zaman maliyetlerini azaltmış, satıcı otomatik bilgi sistemleri ile maliyetlerini düşürmüştür. İki unsur da işlem ve etkileşim maliyetlerini azaltmıştır. İşletmeden tüketiciye (B2C) işlemler tek yönlü bir iletişimi ve pasif alıcıları kapsarken işletmeden işletmeye (B2B) iletişimleri etkileşimli ve gerçek zamanlı iki yönlü iletişimi kapsar. Online sıkça sorulan sorular (SSS), otomatik e-posta yanıtlayıcılar, özelleştirilmiş web sayfaları, sipariş durum raporları B2B’de kullanılan MİY uygulamalarından birkaçıdır. Diğer ileri uygulamalar ise tedarikçi yönetimi, özel eğitim seminerleri, sanal toplantılar, ürün planlamasına müşteri katılımıdır. E-ticaretin yarından fazlası işletmeler arasında gerçekleşmesine rağmen bu zamana kadar MİY üzerine yapılmış çalışmaların çoğu işletmeden tüketiciye (B2C) üzerine odaklanmıştır (Harrison-Walker ve Neeley, 2004: 20). Bu çalışmanın amacı işletmeden işletmeye pazarlamada (B2B) müşteri ilişkileri yönetiminin kullanımını değerlendirilmektir. Literatürde bu alanda çalışmaların yetersiz olmasından dolayı bu çalışmanın konu hakkında çalışma yapacak araştırmacılar ve sektör temsilcileri için yararlı olacağı düşünülmektedir. B2B pazarlamada müşteri ilişkileri yönetimi kullanımının değerlendirileceği bu çalışmada öncelikle endüstriyel pazarlama ve müşteri ilişkileri kavramları açıklanacak daha sonra çeşitli araştırmacıların konu hakkında yaptıkları çalışmalarla ilgili literatür incelemesi ve endüstriyel pazarlamada müşteri ilişkileri kullanımı değerlendirilecektir.

## 2. ENDÜSTRİYEL PAZARLAMA

Organizasyonlar arasındaki iş ilişkileri ticaretin başlangıcından beri var olmuştur. La Placa ve Hadjinkhani’ye göre işletmeden işletmeye pazarlama faaliyetlerinin başlangıç noktası 1890’lı yıllara dayanmaktadır (La Placa 2013’ten aktaran Cortez ve Johnston, 2017: 90). Ancak endüstriyel pazarlamanın bilimsel pazarlama araştırmalarında temsil gücü oldukça düşüktür. Bunun nedeni bu pazarlama şeklinin ekonomik gücünden kaynaklı değildir. 2018 yılında işletmeden işletmeye e-ticaret hacmi 21 trilyon dolar olurken bu rakam toplam e-ticaretin %81’ine karşılık gelmektedir. (Cortez ve Johnston, 2017: 90; Unctad, 2020). Buna rağmen bu alanda çalışmalar ancak son yıllarda çıkan endüstriyel pazarlama odaklı dergilerin ortaya çıkışıyla bilimsellik kazanmaya başlamıştır. B2B ve B2C arasındaki temel ayrım talepten kaynaklıdır. Endüstriyel pazarlamada talep tüketici ürün ve hizmetlerine olan nihai müşteri talebinden türetilir. Endüstriyel müşteriler diğer ürün ve hizmetleri üretmek için ürün ve hizmet satın alan firmalardır. Bu ürünler son tüketiciler için üretildiğinden endüstriyel mal ve hizmetler için talep son tüketici talebinden etkilenir. Örneğin hassas çelik boru talebi kendi kendine oluşmamaktadır. Bu ürün bisiklet, motosiklet, mobilya gibi tüketiciler tarafından tüketilen ürünlerin üretiminde kullanıldığı için talep edilir. En nihayetinde mobilyaya olan talep arttıkça endüstriyel müşterilerin çelik boruya olan talebi artacaktır. Endüstriyel pazarlamada müşteriler nispeten daha azdır, dağıtım kanalı kısadır, alıcı ve satıcılar iyi bilinenmiştir. Satın alıcı firmalar daha kapsamlı satın alma tekniklerine sahiptir. Tüketici pazarında yapılan pazarlama faaliyetleri ile endüstriyel pazarlama faaliyetleri karşılaştırıldığında, endüstriyel pazarlama daha çok genel yönetimin sorumluluğundadır. Bazen endüstriyel pazarlama stratejisi ile firma stratejisini birbirinden ayırmak bile zordur. (Havalıdar, 2005: 2-7). Endüstriyel pazarlama dünya genelinde ekonomiler ve firmalar için artan bir şekilde önemli olmaya başlamıştır. Örneğin endüstriyel alıcılar artık daha küreselleşmiş satın alma stratejileri benimsemeye, yeni uluslararası tedarik ağları kurmaya, yeni tedarik fırsatlarını değerlendirmek için artan bir şekilde teknoloji kullanmaya başlamıştır. Endüstriyel pazarlamacılar uluslararası ortaklarıyla başarılı ilişkiler kurmanın önemi de anlamışlardır. Uluslararası pazarlarda bilgi ve güçlü iş ağları kurmanın değerini anlayan endüstriyel pazarlamacılar için bilgi toplamak önemli bir hale gelmiştir (Leonidou ve Hultman, 2019: 102). Artan küresel rekabet, firmanın markası, imajı, ürün ve hizmetleri için etkili bir pazar oluşturma ihtiyacı endüstriyel ürün pazarlayan firmalarının çeşitli pazarlama yazılımları kullanmaya başlamalarına neden olmuştur. Bu araçlar işletmeye muhtemel müşterileri tanımlama, müşteri çekme, firmaya yol göstermek için önemli bilgilerin toplanmasına yardım etmektedir. Bu yazılımlardan biri olan MİY günümüzde endüstriyel firmaların %97’si tarafından kullanılmaktadır (Creatio, 2021).

## 3. MÜŞTERİ İLİŞKİLERİ YÖNETİMİ

Müşteri ilişkileri yönetimi günümüzde gelişen önemli bir işletme uygulamasıdır. MİY firma ve mevcut ve gelecekteki müşterileri arasında etkileşimlerin yönetilmesi için kullanılır. MİY yaklaşımının görevi müşterilerin firma ile geçmişi hakkında verilerin analiz edilmesidir. MİY müşterilerin elde tutulmasını sağlar ve böylece satışların artmasına yardımcı olur. Bu da firmanın müşterileri ile iş ilişkilerinin gelişmesine yol açar. MİY 1990’lı

yıllarda işletmeleri etkisi altına almıştır. İşletme dünyası üretim odaklı bir anlayıştan müşteri odaklı bir anlayışı benimsemeye başlamasıyla müşterilerle ilişkilerin geliştirilmesinin karlı ve sürdürülebilir gelir artışına neden olduğu anlaşılmıştır. MİY müşterilerin ihtiyaçlarını daha iyi bir şekilde anlaşılmasını mümkün kılmıştır. MİY müşterilerle uzun dönemli iş birliği kurma, ilişkiyi sürdürme ve geliştirme üzerine odaklanır. MİY kapsamlı bir stratejidir ve üstün müşteri ve firma değeri oluşturmak için müşterileri kazanma, elde tutma, onlarla ortaklık kurma sürecidir. Uzun dönemli verimlilik ve günümüz işletme dünyasında rekabet avantajı elde edebilmek için, firmalar müşterilerini cezbetmeli onları elde tutmalıdır (Soltania vd., 2018: 237-238). Payne ve Frow MİY'ni müşterilerle ve müşteri bölümleriyle uygun ilişkiler geliştirerek gelişmiş hissedar değeri oluşturmak olarak tanımlamıştır (Payne ve Frow, 2015'ten aktaran Peltier vd., 2013: 1-2). MİY, müşterileri ve onlarla değer oluşturmayı anlamak için veri ve bilgi kullanmaya olanak sağlar. Bu veri temelli yönetim süreçlerin, insanların, bilgi, teknoloji ve uygulamalar aracılığıyla elde edilen pazarlama yeteneklerinin çapraz fonksiyonel entegrasyonunu gerektirir. MİY; değerini iki yönlü bir şekilde yönetilmesi, teknoloji ve veri kullanım yeteneği, müşteri bilgisi elde etme ve bu bilginin uygun paydaşlara yayılımı, özel müşteriler ve müşteri grupları ile uzun dönemli ilişkiler geliştirme, müşteri değeri oluşturmak, firma ağları genelinde iş birliği yapmak için kullanılan stratejik bir araçtır. MİY temel organizasyonel varlık olarak müşteri verilerine odaklanmıştır (Peltier vd., 2013: 1-2). Bazı araştırmalar MİY'nin müşteri hizmetlerini geliştirme aracılığıyla firmanın ekonomik değerine önemli bir katkı sağlayan ve sonuçta gelirleri arttıran bilgi aracı olmaktan daha fazlası olduğunu savunmuşlardır. MİY müşterilerin davranışlarını ve ihtiyaçlarını tanımlayan ve karşılayan güçlü firma-müşteri ilişkisine yol açan bir stratejidir. MİY temel amacı artan bir şekilde organizasyonun karlı müşterilerini kontrol etmek ve rekabetçi durumunu geliştirmeye olanak sağlayan müşteri sadakatini oluşturmaktır (AlQershi vd., 2020: 3-4). MİY işletmelerin müşterileri ile olan etkileşimlerini arttırmış, ve firmaların varlıklarını sürdürmelerini sağlayan müşterilerini mutlu etme amacını yerine getirilmesinde firmalara yardımcı olmuştur. MİY firmaların müşterilerle etkileşim kurduğu ve böylece müşteri verilerini ürettiği, topladığı ve analiz ettiği daha sonra analizleri pazarlama ve müşteri hizmeti faaliyetlerinde kullandığı bir çevrim sürecidir (Ranjan ve Bhatnagar, 2009: s.239).

#### 4. ENDÜSTRİYEL PAZARLAMADA MÜŞTERİ İLİŞKİLERİ YÖNETİMİNİN ÖNEMİ

İşletmeden işletmeye satış işlemleri işletmeden tüketiciye satış işlemleri ile karşılaştırıldığında daha karmaşıktır ve ekonomik değeri daha büyüktür. Bu tür satın almada satın alma döngüsü daha uzundur ve firmalar daha az müşteriye hedeflemektedir. İşletmeden işletmeye satışlar duygusal değil rasyonel ve iyi planlanmış satışlardır. Bu tür satışlarda müşteriler işletmelerdir ve işletmelerin ihtiyaçları ilk seferde anlaşılacak kadar karmaşıktır. Endüstriyel pazarlama işlemleri genellikle yüksek değerlidir ve çoklu karar almayı gerektirmektedir. Bu da satış süreçlerinin aşamalarının artmasıyla sonuçlanır. İşletmeden tüketiciye satışların daha az karmaşık olması, müşteri sayısının çok olması satış hunisinde herbir aşamayı aynı şekilde detaylı bir şekilde bilmeyi gerektirmese de işletmeden işletmeye satışlarda müşterilerin satış hunisinde nerede olduğunu bilmek, onlarla nasıl bir iletişim içerisinde olmak gerektiğini belirleyeceği için oldukça önemlidir. Satış hunisi, müşterinizin ürününüze ihtiyaç duyduğunu fark ettiği andan satın almasına kadar olan yolculuğunu görselleştirmenin basit bir yoludur. İyi tanımlanmış bir satış hunisi, işletmenin beklentilerini daha iyi anlamasını sağlar. Potansiyel müşterilerin hunide nerede bulunduğunu belirlemek, ürünlere veya hizmetlere ne kadar ilgi duyduklarını gösterir. Potansiyel müşterileri huniden geçerken takip etmek, satış temsilcilerinin onlara en iyi nasıl yaklaşacaklarını belirlemelerine yardımcı olur. Endüstriyel pazarlamada MİY firmaların ihtiyaçlarını daha iyi anlaşılmasına yardım eden bir stratejidir. MİY, satış döngüsünün her bir aşamasında müşteri işletmelerin ihtiyaçlarını anlama ve bu ihtiyaçları karşılamada kullanılan stratejik bir yol olarak düşünülebilir (Kuprenko, 2020; Salesforce, 2021; İlçi, 2018; Çifter, 2021). Endüstriyel müşterilerin sayısı tüketici pazarına göre küçük olmasına rağmen endüstriyel pazarlamanın kapsamı oldukça büyüktür. Müşteri ile ilk temastan satışın gerçekleşmesine kadar geçen süre beklenenden çok fazla olabilmektedir. Bu zaman diliminde firmalar arasında görüşmeler, toplantılar, değerlendirmeler, iletişimler gerçekleşir ve tüm bu ilişkilerin izlenmesinde MİY kullanılması firma için faydalı olmaktadır. Endüstriyel ürün pazarlamasında MİY kullanımı firmaların satış ekibinin satış sürecini takip etmelerini ve yönetmelerini desteklemek için otomatikleştirilmiş iş akışları sunar. Ayrıca potansiyel ve mevcut müşterilerin davranışlarının hatasız bir şekilde belirlenmesine ve mali sonuçlarının öngörülmesine olanak sağlar. Müşterinin satış hunisinin hangi seviyesinde olduğunu net bir şekilde görülmesine olanak sağlar. Endüstriyel ilişkilerin yapısı gereği fiyat tekliflerinin oluşturulmasına ve siparişin hatasız gerçekleşmesine imkan verir. İşletmeden işletmeye pazarlamada uzun dönemli ilişkiler kurulmasının önemi üzerine birçok çalışma yayınlanmıştır. Leonidou işletmeden işletmeye pazarlarda uzun dönemli ilişkilerin kurulmasının tedarikçiye ve müşteriye karşılıklı bir değer sunduğunu belirtirken Vargo ve Lush pazarlamanın işlem odaklı olmaktan ilişki odaklı olmaya doğru değiştiğini savunmuştur. Young ve Wilkinsin pazarlama kavramının güç, çatışma, fırsatçılıktan güven, bağlılık ve uzun dönemli olmaya değiştiğini savunmaktadır. Güven ve bağlılık ilişkisel pazarlamada temel kavramlar olmuştur.

Endüstriyel işletmeler arasındaki başarılı ilişkiler geliştirilmesinde güven önemli bir kavramdır (Gil-Saura vd., 2009: 593-594-595). MİY ardındaki temel fikire göre de eğer satıcı, satın alan firma ile güçlü ve güvenilir bir ilişki kurarsa, satın alıcı büyük olasılıkla kurulan bu ilişkiden bir değer alıyacak ve satıcıya uzun dönemli gelir akışı sağlayacaktır. Ayrıca, satıcı firmanın güvenilir ve yüksek kaliteli bir tedarikçi olmaya başlamasıyla ve alıcının ihtiyaçlarının karşılanmasıyla uzun dönemde satın alıcı firma bu durumdan fayda sağlayacaktır. MİY stratejilerinin kullanımı firmaların müşterileri için üstün değer yaratılmasında ve uzun dönemli gelir elde edilmesinde önemli olmuştur. Üstün değer yaratma sürdürülebilir rekabet avantajı elde etmede ve bunu sürdürmede önemli olduğu için firmaların en önemli stratejilerinden biri olmuştur. İlişki kurulmasının en önemli sonuçlarından biride müşteri elde tutmak ve bu müşteri sadık müşterilere dönüştürmektir. Müşteri elde tutmanın yeni müşteri kazanmaktan beş kat fazla olduğu düşünüldüğünde MİY anlayışının ne kadar önemli olduğu anlaşılmaktadır. İşletmeden işletmeye ilişkiyi geliştirmek müşteri sayısının azlığından dolayı tüketici pazarına göre daha kolay olmakla birlikte bu ilişkileri geliştirip müşteri elde tutmak için firma mutlaka içsel faaliyetlerinde de bilgileri organize etme, saklama, analiz etme gibi faaliyetleri yerine getirmelidir. (Wilson, 2006: 38-40; Mysoft, 2021). B2B’de etkili MİY kapasitesine sahip bir firma karlı müşterileri tanımlayabilmekte ve onları hedeflemektedir. Ayrıca onlarla belirsizlikleri hafifletme konusunda diyaloglar kurabilmektedir. Güçlü MİY yeteneği müşterilerle karşılıklı diyaloglar kurarak iletişim ve ilişki boşlukları için firmalar arasında köprü kurar. Bu karşılıklı diyaloglar firmaya daha fazla bilgi sağlar, mevcut müşteriler ile ürün ve hizmetler hakkındaki mesajları çoğaltır. B2B ürünlerin karmaşık ve daha teknik ürünler olduğunu düşündüğümüzde bu diyaloglar ve müşteri ile kurulan yakın ilişkiler firmanın ürünleri hakkında daha gözlemlenebilir ve farkedilebilir sinyaller vermesini olanaklı kılar. Endüstriyel ürünlerin üretimde kullanıldığı göz önüne alındığında işletme faaliyetleri hakkında müşteriye sunulacak güçlü faaliyet algısı müşteri güvenine ve bağlılığına bunun sonucunda uzun dönemli iş ilişkilerinin kurulmasında fayda sağlayacaktır (Vesal vd., 2020: 4). Endüstriyel pazarlamada en çok kullanılan promosyon karması unsuru kişisel satıştır. Kişisel satışta bir satıcı potansiyel alıcıları firmanın ürünlerini ve hizmetlerini satın almaya yada bir fikir üzerinde hareket etmeye ikna etmeye çalışır (Locallux, 2021). Bu bağlamda MİY gibi satış teknolojilerinin genel öncülü de satış gücünü ve pazarlamacıları satışlarında daha etkili ve etkin kılmaktır. Endüstriyel pazarlamada MİY teknolojisi satış döngüsü zamanını azaltır, aday müşterileri firma müşterilerine dönüştürür (Rodriguez, Honeycutt; 2011: 338). Endüstriyel ürün pazarlamasında müşterilerin büyük miktarda olmaması, satıcı firmaların içinde bulunduğu rekabetçi çevrede satın alıcıları izlemesini daha da gerekli kılmıştır. Satın alıcılar az miktarda olsa bile, onlarla ilgili bir veritabanına sahip olunması gerekir. Çünkü bir veritabanı olmadan el ile yapılan işlemler firma için karanlıkta görülmeden yapılan işlemler gibi olacaktır. Endüstriyel müşteriler az olsada iş hacmine olan katkıları oldukça yüksektir. Bu nedenle bu müşterilerin satın alma alışkanlıklarını yakından dikkatle izlemek oldukça önemlidir. Müşteriler hakkında küçük detayları kaçırmak firma için için oldukça maliyetli olabilecektir. Bir satın alıcı diğer bir tedarikçi için firmadan geçici olarak ayrıldığında bile satıcının genel satışları ve gelirlerinde büyük bir hasar oluşturacaktır (Taylor, 2014). Günümüzde MİY teknolojisi birçok tedarikçi tarafından uygulanmaktadır, bu sistemin benimsenmesi müşteri bilgilerinin yönetilmesinde firmaya yardımcı olmaktadır (Richard vd. 2007: 928). İşletmeden işletmeye ürün pazarlaması ekonominin önemli bir parçasıdır ve bu işlemlerin değeri işletmeden tüketiciye ürün pazarlanmasının iki katıdır. Bu nedenle rekabet avantajı elde etmek için müşteri ilişkilerini geliştirmek oldukça önemlidir. Müşteri tatmini kavramı da ayrıca B2B pazarlarda öne çıkan bir kavram olmaya başlamıştır. Müşteri tatmini müşteri ilişkilerinin başarısının değerlendirilmesinde önemli bir araç olmuştur. MİY kavramı da ilişki geliştirme ve bu ilişkiyi sürdürme adına gerçekleştirilen bir strateji, süreç, teknoloji, uygulamadır. MİY uygulamaları firmaların ürünlerini ihtiyaca göre düzenlemesine, güvenilirliği arttırmasına farklı aşamalarda ilişkileri etkili bir şekilde yönetmeye olanaklı kılmasından dolayı müşteri memnuniyeti üzerinde olumlu etkiye sahiptir. MİY uygulayan ve benimseyen firmaların daha iyi müşteri tatmini sağladığı, işletme gelirlerini arttırdığı, işgücü maliyetlerini düşürdüğü, ürün kalitesini arttırdığı, pazar değerini arttırdığı, organizasyonun sisteminin geliştirdiği görülmüştür. Yapılan çalışmalar incelendiğinde endüstriyel pazarlamada MİY kullanan firmaların müşteri tatminini geliştirdiği ve bunun yanında organizasyonel performansında geliştirdiği de görülmüştür. (Ata ve Toker, 2012: 497-498-504).

Endüstriyel pazarlamada müşteri ilişkileri yönetimi kullanımı üzerine yapılmış çalışmalardan oluşan literatür özeti Tablo 1’de verilmiştir.

Tablo:1 Endüstriyel Pazarlamada MİY Kullanımı Üzerine Yapılan Araştırmalar

Yazar	Amaç	Sonuç
Ata ve Toker (2012)	Müşteri ilişkileri yönetimi uygulamalarının işletmeden işletmeye (B2B) pazarlarda müşteri memnuniyeti ve firma performansı üzerinde etkisini bulmak.	B2B’de müşteri ilişkileri kullanımının müşteri memnuniyeti ve firma performansı üzerinde pozitif etkisi olduğu, MİY’nin pazarlama performansını önemli bir şekilde etkilerken, finansal performans üzerinde etkisinin olmadığı sonucuna ulaşılmıştır. MİY günümüzde firmanın temel faaliyetlerinden biri olmaya başladığını, MİY’nin firmadaki herkesin işi olduğunu ve işletmedeki farklı fonksiyonlarla işbirliği yapmanın müşteri anlamının en iyi yol olduğunu bulmuştur. MİY’de yukarıdan aşağıya (üst yönetim kararları) stratejinin basit satış durumlarında etkili çalıştığını ancak daha karmaşık satış durumlarında çoklu faktörlerin geçerli olduğunu ve aşağıdan yukarıya (satış elemanları tecrübe ve bilgisi) yaklaşımın benimsenmesinin etkili MİY için gerekli olduğu sonucuna ulaşılmıştır.
Lipianinen (2015)	B2B işletmelerinde MİY rol ve amaçlarını incelemek.	MİY benimsenmesi ve kullanımı satış performansını, satış etkinliğini ve işbirliğini pozitif şekilde etkilediğini bulmuşlardır.
Ahearne vd. (2012)	B2B’de karmaşık ve basit satış düzeylerinde MİY önemini araştırmak.	MİY benimsenmesi ve kullanımı satış performansını, satış etkinliğini ve işbirliğini pozitif şekilde etkilediğini bulmuşlardır.
Rodriguez ve Honeycutt (2011)	MİY teknolojisinin B2B satış profesyonellerinin yetenekleri üzerindeki etkisini araştırmak.	MİY benimsenmesi ve kullanımı satış performansını, satış etkinliğini ve işbirliğini pozitif şekilde etkilediğini bulmuşlardır.
Wali vd. (2016)	İşletmeden işletmeye pazarlama yapan firmalarda MİY tecrübelerini araştırmak.	B2B firmalar arasındaki ilişkinin doğası gereği uygulayıcıların müşteri odaklı olmaktan ziyade ürün ve satış odaklı oldukları sonucuna ulaşılmıştır.
Wilson (2006)	Üst yönetimin yeni müşteri işletmeleri ararken işletmenin satış gücüne yol göstereceği diye MİY’nin müşterileri tanımlamada kullanımını araştırmak.	Satış temsilcilerinin yeni işletme arayışında herhangi bir yönlendirme olmadan mutsuz olduklarını ve yönlendirme olmadan yeni işletme bulmada değerli satış zamanlarını harcadıklarını bulmuştur.

## 5. SONUÇ

Bugünün rekabetçi çevresinde faaliyet gösteren firmalar müşteri ilişkileri yönetimini sadece bir bilgi teknolojisi yatırımından ziyade müşterileri memnun etmek ve onları elde elde tutmak için stratejik bir araç olarak görmelidir. Endüstriyel satış ortamında B2B müşteri bilgisi önemlidir (Ahearne,2012: 127). B2B müşteri ilişkileri yönetimi süreci karmaşıktır ve bazen bu süreçte karar verme sürecine çok sayıda insanın katılmasından dolayı uyumsuzlukla ilgili problemlerle karşılaşmaktadır. MİY işletmelere ilişki geliştirme ve işletme performansını maksimize etmeye yardımcı olmaktadır. MİY sadece bir pazarlama uygulaması değil işletmedeki tüm birimlerin katılımının sağlanmasının gerekli olduğu bir stratejidir. MİY sisteminin etkinliği yeni müşterileri elde etme ve onları elde tutmanın yanısıra kaybedilen müşterilerin rakiplerden geri kazanılmasına neden olabilmektedir (Makinde vd., 2020: 7). Yoğun rekabetin yaşandığı modern iş çevresinde firmalar sürekli olarak maliyetlerini düşürmek durumunda kalmışlardır, bunun içinde firmalar müşterilerini anlamak ve onların etrafında dönen faaliyetlerini organize etmek durumundadırlar. Bu da pazarla bağlantı kurma ve işbirliği yapmaya olanak sağlayan kapsamlı bir MİY sistemiyle mümkün olacaktır. Günümüzde firmalar MİY ile herbir müşteri ile ilgili birçok bilgiye sahip olmaktadır. Bu veriler müşteri grupları ile faaliyetlerin geliştirilmesinde kullanılmaktadır. Veriler uygun bir şekilde toplandıktan ve işlendikten sonra özel ürün ve hizmetler için en uygun ve karlı müşteriye belirlemek kolaylaşmaktadır (Fotiadis ve Vassiliadis, 2017: 354). B2B’de MİY kullanımı müşteri ilişkilerini yönetme ve

sürdürmede firmaya fayda sağlamaktadır (Zeng, vd, 2003: 44). Endüstriyel pazarlamada MİY müşteri firmaların ihtiyaçlarını daha iyi anlaşılmasına yardım eden bir stratejidir. MİY satış döngüsünün her bir aşamasında müşteri işletmelerin ihtiyaçlarını anlama ve bu ihtiyaçları karşılamada kullanılan stratejik bir yol olarak düşünülebilmektedir. B2B müşteri ilişkileri yönetimi, müşteri firmanın satış hunisinin (sales funnel) hangi seviyesinde olduğunun net bir şekilde görülmesine olanak sağlamıştır (Kuprenko, 2020; Salesforce, 2021, İlçi,2018, Çifter, 2021). MİY müşterilerin ihtiyaçlarını anlamada satış döngüsünü kısaltmada, müşteriye elde tutmada satış profesyonellerine yardımcı olmaktadır. MİY uygulayan ve benimseyen firmaların daha iyi müşteri tatmini sağladığı, işletme gelirlerini arttırdığı, işgücü maliyetlerini düşürdüğü, ürün kalitesini arttırdığı, pazar değerini arttırdığı, organizasyonun sistemini geliştirdiği görülmüştür (Ata ve Toker, 2012:s.504; Rodriguez ve Honeycutt, 2011:s.355). İşletmeden işletmeye ürün pazarlayan firmaların müşteri ilişkileri yönetimi kullanımının değerlendirildiği bu çalışmanın bu alanda çalışma yapacak araştırmacılar için bir literatür oluşturması ayrıca uygulayıcılara endüstriyel ürün pazarlama çevresinde müşteri ilişkileri yönetimi kullanımının sağlayacağı faydaları ve MİY'nin kullanımdaki kritik etkenleri anlamalarında yardımcı olacağı düşünülmektedir.

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## Gıda Ürünlerinde Akıllı Ambalaj Sistemleri

Özgecan Kadağan<sup>1</sup>

Doç. Dr. İsmail Bülent Gürbüz<sup>2</sup>

<sup>1</sup>Bursa Uludağ Üniversitesi, Ziraat Fakültesi, Tarım Ekonomisi Bölümü, ozgecankadagan@gmail.com , ORCID:

0000-0003-0122-4148

<sup>2</sup>Bursa Uludağ Üniversitesi, Ziraat Fakültesi, Tarım Ekonomisi Bölümü, bulent@uludag.edu.tr, ORCID:

0000-0001-5340-3725

**Özet:** Ambalajlar gıda ürünlerini korumada ve ürünün tüketiciye ulaşmasında önemli bir role sahiptir. Ekonomik gelişmeyle birlikte ambalajların tüketici tercihlerinde olumlu bir etkisi olduğu belirlenmiş ve firmalar artan rekabet ortamında ambalajları daha da geliştirmiştir. Teknolojik gelişmeler, üretimin her aşamasında olduğu gibi ambalajlama aşamasında da uygulanmaktadır. Akıllı ambalajlarda kullanılan sensörler, indikatörler ve RFID etiketleri gibi uygulamalar ürünlerin hem içinde hem de dışında meydana gelen olumsuz gelişmeleri göstermekte ve üretici ile tüketiciyi bilgilendirmektedir. Bu araştırmada akıllı gıda ambalaj sistemleri ve geleneksel ambalajlara göre farkındalığının ortaya çıkartılması amaçlanmıştır. Bu doğrultuda daha önce yapılmış araştırmalar incelenmiştir. Yapılan literatür taraması sonucunda akıllı gıda ambalajlarının geleneksel ambalajlara göre daha uzun ömürlü, rahatlıkla kontrol edilebilir, ve kolay erişilebilir içerik bilgisi gibi avantajlara sahip olduğu belirlenmiştir. Aynı zamanda akıllı ambalajlar şeffaf ve izlenebilir bir üretim sürecine sahiptir. Akıllı ambalaj kullanımının avantajları olduğu gibi üretici ve tüketici açısından dezavantajları da bulunmaktadır. Ambalajlarda kullanılan sensörler, etiketler ve indikatörlerin tamamen güvenli olmadığı ve bu sistemlerde arızalar meydana gelebileceğini belirten çalışmalar da bulunmaktadır. Özellikle yoğun güneş ışığına maruz kalan sistemlerde olumsuz etkiler gözlenmektedir.

**Anahtar kelimeler:** Gıda Ürünleri, Sensör, İndikatör, Ambalaj, Kalite.

**Abstract:** Packaging has an important role in protecting food products and delivering the product to the consumer. It has been determined that packaging has a positive effect on consumer preferences therefore, food companies have further developed their packaging systems. New developed technologies are applied at the packaging stage as well as at every stage of production. Technological applications such as sensors, indicators and RFID tags used in smart packaging show negative developments both inside and outside the products and t also informs the producer and the consumer. In this research, it is aimed to determine how smart food packaging systems differ from traditional ones. For this purpose, previous studies were examined. As a result of the literature review, it has been determined that smart food packaging has advantages such as longer-lasting product, easily controllable quality and accessible content information compared to traditional systems. At the same time, smart packaging has a transparent and traceable production process. The use of smart packaging has advantages as well as disadvantages for producers and consumers. There are also studies stating that the sensors, labels and indicators used in packaging are not completely safe and malfunctions may occur in these systems. Negative effects are observed especially in systems exposed to intense sunlight.

**Key words:** Food Products, Sensor, Indicator, Packaging, Quality.

### 1. GİRİŞ

Ambalaj ürün pazarlamasında oldukça etkin bir role sahiptir (Biji ve ark. 2015). Geleneksel ambalajlar temelde ürünü koruma, bilgi verme ve tüketici ile iletişime geçme gibi görevleri üstlenmektedir (Dilber ve ark. 2012). Teknolojinin gelişmesi ile bireylerin ne tükettiğini bilme isteğinin yanı sıra tükettikleri ürünlerin kullanım sürelerini uzatmak, ürünün o anlık tazelik, kalite durumu da bilmek istemektedirler. Bu noktada geleneksel ambalajlar yerine akıllı ambalajlar tercih edilmektedir. “Akıllı” kavramı, üründe veya çevresinde ortaya çıkan değişiklikleri üretici ve tüketicilere iletmesi ve ürünün durumu hakkında bilgi vermesi anlamına gelmektedir (Takma ve Nadeem 2019).

Günümüzde tüketiciler artık ürünler hakkındaki bilgileri araştırma ve sorgulamanın yanında ürünün taze, hijyenik, çevre dostu ve sağlıklı olmasını da talep etmektedir. Bu noktada firmalar tüketicileri memnun etme çabası içine girmekte ve rekabet ortamı oluşmaktadır. Satış stratejilerini ambalajlara yönelten firmalar tüketiciyi ikna etme ve taleplerini karşılamaktadır. Geleneksel ambalajlar bu noktada yeterli değildir. Ürünün anlık tazelik durumunu, hangi şartlarda nerede üretildiğini, satın aldıktan sonra ne kadar süre tüketebileceğini bilmek hem üreticiler hem de tüketiciler açısından daha fazla fayda sağlamaktadır (Dainelli ve ark. 2008).

Nissons ve ark. 2012, yaptıkları araştırmada, ambalajın tüketici ile bir iletişim kanalı olduğunu ve ambalajın dijitalleşerek geliştirilmesinin tüketici ile olan iletişimi güçlendireceğini ifade etmişlerdir. Akıllı telefonlara da

uyumlu hale getirilen ambalajların gittikçe daha fazla talep göreceği belirlenmiştir. Akkemik ve Güner 2020, çalışmasına göre akıllı ambalajlar ürünlere, geleneksel ambalajlardan daha fazla alım gücü kazandırmaktadır. Aynı zamanda akıllı ambalajlar sayesinde daha uzun raf ömrü ve gıda güvenliği de sağlanmaktadır. Bu çalışmada gıda ürünlerinde kullanılan akıllı ambalaj sistemleri hakkında yapılmış olan çalışmaları incelemek akıllı ambalajların kullanım alanlarını belirlemek amaçlanmıştır.

## 2. AKILLI GIDA AMBALAJLARI

Akıllı ambalajlar hem ürünün hem de ambalajın bulunduğu çevrenin özelliklerini belirlemektedir. Üreticiler ve tüketiciler belirlenen bu özellikleri rahatlıkla takip etmekte ve bilgi sahibi olmaktadır (Dobručka 2013). Huff 2008, akıllı ambalajları gıda ürünlerinin kalitesi hakkında bilgi sağlayan, içinde veya dışında göstergeler bulunan ambalaj çeşidi olarak tanımlamaktadır (Karagöz ve Demirdöven 2017). Kutlu ve ark. 2021, akıllı ambalajlama sisteminin ürün ile tüketici arasındaki kalite hakkında iletişimde olmasını sağladığını ifade etmişlerdir.

Alam ve ark. 2021, meyvelerde kullanılan akıllı ambalajları ve ambalajda bulunan göstergeleri inceledikleri çalışmada, akıllı ambalajlar sayesinde meyvelerin tüketim ömrünün uzadığını belirlemişlerdir. Aynı zamanda ürün kalitesinin artıp atıkların azaldığı da görülmektedir. Araştırmaya göre akıllı ambalajların temelde halk sağlığını iyileştirmede büyük bir öneme sahiptir.

Kumar ve ark. 2021, gıdalardaki akıllı ambalajlama sistemlerini inceledikleri çalışmada kentleşme ve yaşam tarzındaki değişmelerin akıllı ambalajları zorunlu hale getirdiğini ifade etmişlerdir. Bu yaşam tarzındaki tüketiciler gıdalarının temiz, güvenilir, rahatlıkla kullanılabilir, besleyici ve daha uzun ömürlü olmasını talep etmektedir. Bu durumda firmalar akıllı ambalaj sistemlerini geliştirmeye odaklanmıştır.

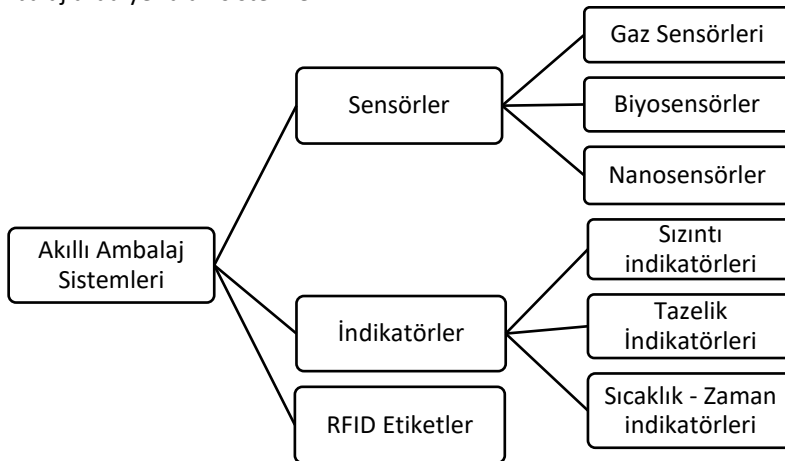
Li ve ark. 2020, yaptıkları çalışmada Çin’de yaşayan tüketicilerin akıllı ambalajları kabul etme düzeylerini incelemişlerdir. Tüketicilerin %56’sı akıllı ambalaj kullanmayı kabul etmiştir. Çalışmada tüketicilerin yarısından fazlasının akıllı ambalaj kullanımını kabul etmesine rağmen akıllı ambalajlamada kullanılan teknolojik gelişmelerin yetersiz olduğu sonucu elde edilmiştir.

Yapılan araştırmalar gıda ürünlerinde akıllı ambalajların tercih edilmesinin olumlu yönlerini belirtmektedir. Akıllı ambalajlarda kullanılan sistemlerin olumlu yanlarının yanı sıra ambalajların geri dönüşümü konusunda sorunlar görülmektedir (daCruz ve ark. 2014; Hirth ve ark. 2021). Bu ambalajların kullanılması durumunda ortaya çıkacak çevre kirliliği, sistemsel hatalar gibi sorunlara değinen araştırmalar oldukça azdır. Daha çevreci ve geri dönüştürülebilir akıllı ambalajların üretilmesi adına yapılacak olan çalışmalar literatüre önemli katkılar yapacaktır.

### 2.1. Akıllı ambalajlarda kullanılan sistemler

Akıllı gıda ambalajlarının içerisinde veya dışarısında bulunan, ürünün kalitesi hakkında bilgi veren sensörler, indikatörler ve RFID etiketleri bulunmaktadır (Özçandır ve Yetim 2010; Kokangül ve Fenercioğlu 2012; Park ve ark. 2015). Bu sistemler ürünün izlenmesi, raf ömrünün uzaması, kalitesinin takip edilmesi gibi işlemlere sahiptir (Hecer 2012).

Şekil 1: Akıllı ambalajlarda yer alan sistemler



Kutlu ve ark. 2021, ambalajlama teknolojilerini inceledikleri araştırmada sensörlerin ürünlerdeki tazelik, iç ve dış sıcaklığa bağlı olarak bozulmalar hakkında bilgi edinilebildiğini ifade etmişlerdir. Sensörler, düzenli olarak ölçüm yapabilmek için üründen sürekli olarak sinyal almalıdır. Pacquit ve ark. 2006, yaptıkları çalışmada balığın tazeliğinin eş zamanlı olarak takip edilebilmesi amacıyla "kimyasal barkod" potansiyeline sahip bir sensör geliştirmişlerdir. Geliştirilen sensör, bakterilerin artması durumunda pH farklılığı oluşmakta ve ambalaj üzerinde sarıdan maviye dönmektedir. Çalışmaya göre bu renk farklılığı tüketici tarafından rahatlıkla fark edilmektedir. Biyosensörler üründe meydana gelen biyolojik reaksiyonları kaydeden ve ileten cihazlardır. Ambalajlarda bulunan sensörler ambalajın içerisinde ve dışarısında bulunan gazların niceliğini de belirlemektedir (Gök 2007).

İndikatörler ürünün zaman/sıcaklık, bozulma, tazelik, sızıntı gibi durumları hakkında bilgi veren ve ürünü koruyan göstergelerdir (Kocaman ve Sarımeahmetođlu, 2010). Zaman/ sıcaklık indikatörlerinde ürünün tazelik durumunu gösteren bir halka ve bu halkanın alabileceđi renklerin tanımları bulunmaktadır. Tüketiciler ürünün tazelik durumunu ambalajdaki halkanın renginden anlamaktadır (Taoukis ve Labuza, 2003). Bu sayede tazeliđini yitirmek üzere olan gıda ürünleri belirlenerek israfın da önüne geçilebilmektedir (Demirbaş, 2019). Özellikle hızlıca bozulabilen beyaz/kırmızı et, süt ve süt ürünleri, dondurulmuş ürünlerde tercih edilmektedir (Giannakourou ve Taoukis 2002; Vainionpaa ve ark. 2004; Çalıřkan 2020)

Radio frekanslı tanıma (RFID) sistemi radyo dalgalarının yardımı ile ürünleri takip edebilen bir kablosuz sistemdir. Bu sistem etiket, anten, okuyucu, sorgulayıcı, denetleyici olarak adlandırılan beş unsurdan oluşmaktadır (Yüksel ve Zaim 2009). RFID kullanımı ile ürünlerin son kullanma tarihleri izlenebilmektedir. Bu sayede sistem ürünlerin israf edilmesinin de önüne geçmektedir. Ürünlerin tam sayımı yapıldığı için fire oranı da düşmektedir. Ürünlerin giriş ve çıkış süreleri kısaltmakta ve depolama aşamasında kolaylıkla yerleřtirmeler yapılmaktadır (Angeles 2005; Kocaman ve Sarımeahmet 2010). Ürünlerde ortaya çıkan olumsuz durumlarda ürünü geri çağırılmaya da olanak sağlamaktadır (Yam, Takhistov ve Miltz, 2005).

Öcal ve Çakmak Karapınar 2016, akıllı ambalaj sistemlerini inceledikleri çalışmada RFID etiketlerinin gıda ürünlerini taşıma ve depolama aşamalarında takip etmeyi, ürün besin deđerleri ve ortamdaki sıcaklık farklılıkları gibi bilgileri sağladığını ifade etmişlerdir. Wang ve ark. 2019, yaptıkları araştırmada RFID etiketlerin ürünün kendisinden çok etiket bilgilerini tanımladığını belirtmişlerdir. Ambalajlara yapıştırılan bu etiketler ürünü o andaki durumunu deđiřtirecek etkenleri tespit edip müdahale edememektedir. Gopalakrishnan ve ark. 2022, arařtırmalarına göre, ürünlere dışarıdan gelebilecek nem kaynaklı olumsuzlukların önüne geçmek için çok fazla önlem alınmamaktadır. Bu nedenle, ürünün kalitesini ve güvenliđini sağlamanın ideal bir yolu, kablosuz ve uzaktan algılama sistemlerini kullanarak kapalı paket içindeki nem içeriđini izlemektir. Bu noktada RFID sistemleri kullanmak ürünleri korumada önemli role sahiptir.

### 3.SONUÇ ve TARTIřMA

Akıllı ambalaj sistemleri sayesinde gıda ürünlerinde ortaya çıkabilecek sorunlar tespit edilmektedir. Geleneksel ambalajlardan farklı olarak temelde daha fazla teknoloji kullanımı tüketicilerin çekimser bir tutum sergilemesine de neden olmaktadır. Günümüzde her ne kadar akıllı telefonların kullanımı yaygınlařsa da tüketiciler gıda ürünlerine ait bilgileri akıllı telefonlar ile elde etmek istememektedir.

Türkiye’de akıllı ambalaj kullanımı halen çok yaygın deđildir. Firmaların akıllı ambalaj sistemlerini kullanmaya başlamaları yeni bir maliyet kolu oluşturmaktadır. Tüketicilerin bu ambalajlara verecekleri tepkinin ve oluşturacakları talebin belirsizliđi de firmalarda çekimserliđe neden olmaktadır. Firmalar geleneksel ambalajların reklamına gösterdikleri özeni akıllı ambalajlara göstermemektedir. Bu durumun da akıllı ambalaj sistemlerinin maliyetli olmasından kaynaklandığı düşünölmektedir.

Yapılan çalışmaların hepsinde akıllı ambalajlarda kullanılan sensörler, indikatörler ve RFID etiketlerinin ürünleri řeffaf ve izlenebilir hale getirdiđi görölmektedir. Fakat bu sistemlerin geri dönüşümleri geleneksel ambalajlara göre daha zordur. Ayrıca sistemlerde meydana gelebilecek arızaların üründe oluşturacağı olumsuz etkiler hakkındaki arařtırmalar oldukça kısıtlıdır.

Akıllı ambalajlarda kullanılan sistemler ürün ile temas etmeden ürün hakkında bilgi edinmeye olanak sağlamaktadır. Covid-19 salgınından korunabilmek adına ürünlere temas etmemek virüsün yayılmasını engellemede oldukça fayda sağlamaktadır.

Bu çalışmada akıllı ambalaj sistemlerinin özellikleri ve geleneksel ambalajlar ile farklılıkları belirlenmeye çalışılmıştır. Araştırmada literatür taraması yapılmış ve yapılan çalışmalar karşılařtırılmıştır. Daha sonra yapılacak

çalışmalarda tüketicilerin akıllı ambalajları daha fazla talep etmesi ve akıllı ambalaj kullanımının yaygınlaştırılması için neler yapılabileceğinin araştırılması faydalı olacaktır.

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## Ambalajın Gıda Ürünleri Satın Alma Davranışı Üzerine Etkileri

Özgecan Kadağan<sup>1</sup>

Doç. Dr. İsmail Bülent Gürbüz<sup>2</sup>

<sup>1</sup>Bursa Uludağ Üniversitesi, Ziraat Fakültesi, Tarım Ekonomisi Bölümü, ozgecankadagan@gmail.com , ORCID:

0000-0003-0122-4148

<sup>2</sup> Bursa Uludağ Üniversitesi, Ziraat Fakültesi, Tarım Ekonomisi Bölümü, bulent@uludag.edu.tr, ORCID:

0000-0001-5340-3725

**Özet:** Satın alma kararı, büyük ölçüde ambalaj özelliklerine göre değişiklik göstermektedir. Şimdiye kadar yapılan birçok çalışmada ambalaj renk ve şekillerinin tüketici satın alma davranışını etkilediği ve daha fazla para ödeme isteği uyandırdığı saptanmıştır. Ürün ambalajları tasarlanırken firmaların odak noktası müşterilerdir. Müşterilerin demografik özellikleri tasarımın, kullanılacak olan malzemenin kalitesinin, ambalaj büyüklüğünün kilit noktası olmaktadır. Yüksek gelirli bireyler ambalaj ve tasarım için daha fazla ödeme yapma isteğinde bulunurken düşük gelirli bireyler düşük fiyat ve ürün odaklı olmaktadır. Bireylerin eğitim seviyelerindeki artış tüketilen ürün bilincini de beraberinde getirmektedir. Bilinçli tüketiciler, gıda ürünleri satın alımı esnasında ambalajda yeterli bilgiyi içeren etiket, ürün hakkında ilk izlenimleri oluşturan renk, tasarım, logo vb. özelliklere önem vermektedir.

**Anahtar kelimeler:** Tüketici Davranışları, Eğitim Seviyesi, Demografik Özellikler, Ambalaj, Bilinçli Tüketici.

**Abstract:** The purchase decision varies greatly based on the packaging characteristics. Studies carried out showed that, packaging colors and shapes affect consumer purchasing behavior and arouse the desire to pay more money. Customers are the focus group of companies while designing product packaging. The demographic characteristics of the customers are the key points of the design, the quality of the material to be used, and the size of the packaging. High-income groups are willing to pay more for packaging and design, while low-income individuals are focused on lower prices and products. The increase in the education level of individuals brings with it the awareness of the consumed product. Conscious consumers, during the purchase of food products, labels containing sufficient information on the packaging, color, design, logo, etc. that form the first impressions about the product.

**Key Words:** Consumer Behavior, Education Level, Demographic Characteristics, Packaging, Conscious Consumer.

### 1. GİRİŞ

Bireylerin fayda sağlayabilmek amacı ile hizmet veya ürünleri kullanmasına tüketim denilmektedir. Tüketici ise fayda sağlanmak istenen ürünleri veya hizmetleri satın alma potansiyeli olan ya da satın almaya karar veren kişi olarak tanımlanmaktadır (Akgün, 2008; Alnıaçık, 2010; Sarıtaş ve Duran, 2017). Tüketicinin bir ürünü tüketmeye ihtiyaç duymasını etkileyen başlıca faktörler; psikolojik faktörler, ekonomik faktörler, sosyal faktörler, fizyolojik faktörler, siyasi faktörler ve kültürel faktörlerdir. Bu faktörler bireyden bireye farklılık göstermektedir. Aynı zamanda bireyleri etkileyen bu faktörler zamanla değişim gösterebilmektedir. Aynı ürünü tüketmek isteyen bireylerin bazıları ekonomik faktörlerden dolayı ürünü daha az veya daha kısa sürede tüketmek durumunda kalabilmektedir (Alnıaçık, 2010).

Tüketicilerin herhangi bir ürüne karşı gösterdikleri tepkiler tüketicilerin davranış türlerini oluşturmaktadır. Tüketici davranışları birçok etkene bağlı olarak değişiklik göstermektedir. Bu değişiklikler de tüketici davranış türleri olarak adlandırılmaktadır. Tüketici davranış türleri; rasyonel tüketici davranışı, faydacı tüketici davranışı, ekonomik tüketici davranışı, sosyal tüketici davranışı, duygusal tüketici davranışı olmak üzere beş alt grupta toplanmaktadır (Alnıaçık, 2010).

Rasyonel tüketiciler bir malı daha uzun süreli kullanımından gelecek faydayı düşünerek normal fiyatından daha fazla bir ücret ödemeye razı olan tüketicilerdir. Rasyonel tüketiciler ürünleri satın alımları sırasında en fazla fayda sağlayan ürünü tercih etmektedir (Samırkaş Komşu ve Akboz, 2019). Eğitim düzeyleri çok düşük olmadığı gibi çok yüksek de olmamaktadır. Faydacı tüketiciler, ürünün kendilerine sağlayacağı faydayı göz önüne alarak ürün tercihinde bulunan tüketici gruplarıdır. Davranışları aldıkları ürünün fonksiyonel ve pratik olmasını önemserler ve ihtiyaçlarının karşılanması oldukça önem arz etmektedir (Doğrul, 2012). Çoğunlukla yaşamsal ihtiyaçları giderebilmek amacı ile temel ürünleri satın alan ve kısıtlı bütçe ile hareket etmek durumunda kalan tüketicilerin davranış biçimi olmaktadır (Alnıaçık, 2010). Sosyal tüketiciler, tükettikleri ürünlerde topluma sağlayacakları faydayı göz önünde bulunduran ve bu noktada ilerleyen tüketicilerin oluşturduğu davranış grubudur. Ürünlerin kendilerine sağlayacağı fayda ile topluma zarar verip vermemesini de önemsemekte ve bu bakış açısı ile hareket

etmektedirler. Duygusal tüketiciler, temel ihtiyaçlarının yanı sıra kendilerine haz verecek olan ürünleri de talep eden ve tüketen bireylerdir. Bu gruptaki bireyler daha az faydalı olan fakat kendilerini daha mutlu edebilecek ürünlere bütçe ayırmakta ve bu ürünleri tüketmektedirler (Alnıaçık, 2010). Tüketicilerin satın alma eğilimlerini etkileyen temel üç faktör bulunmaktadır. Bunlar; sosyo-kültürel faktörler, psikolojik faktörler ve demografik faktörlerdir. Bu faktörler farklı alt başlıklar içermekte ve tüketicilerin gıda ürünlerini satın almaları isteği başladığı andan itibaren onların hangi ürünü alabilecekleri ve ürün tercihi sırasında nelerden etkilendiklerini belirlemektedir (Örücü ve Tavşancı, 2001).

## 2. TÜKETİCİLERİN GIDA ÜRÜNLERİNİ SATIN ALMA SÜREÇLERİ

Tüketiciler herhangi bir ürünü satın alıncaya kadar 4 aşamadan geçmektedir. Bu aşamalar; sorunun/ eksiğin belirlenmesi, bilgi alma ve alternatifleri arama, alternatifleri değerlendirme ve satın alma kararı olmaktadır. Fakat bu aşamalardan sonra tüketicilerin satın alma süreci sona ermemektedir. Ürünün satın alındıktan sonra tüketicinin memnun kalıp kalmadığı ve ürüne olan yaklaşımı da önem teşkil etmektedir. Satın aldıktan sonraki davranışlar ile tüketicilerin satın alma süreci sona ermektedir. Tüketicilerin satın alma sürecini etkileyen bazı faktörler bulunmaktadır. Bu faktörler; yaşam tarzı, inanışlar, gelir düzeyleri, meslekleri vb. kişisel, sosyal ve kültürel faktörler olmaktadır (Comegys, Hannula, Va, 2006; Oke vd. 2016; Samioğlu, 2020).

Bu aşama, tüketicinin bir ihtiyacı olduğunu fark ettiği ve ihtiyacını karşılayabilmek amacı ile ilk adımı attığı aşama olmaktadır. Bu aşamada tüketici ihtiyaç duyduğu ürünün eksikliğini hissetmekte ve o ürünü satın alma gereksinimi duymaktadır. Tüketici ihtiyaçları temelde iki gruba ayrılmaktadır. İlk grup temel yaşamsal ihtiyaçların olduğu (yeme, içme, barınma vb.) grup olmaktadır. İkinci grup ise temel ihtiyaçlar dışında bireyleri mutlu eden ihtiyaçların olduğu ve çoğunlukla çevrenin etkisi ile ortaya çıkan ihtiyaçların yer aldığı gruptur (Coşkun, 2019).

Bilgi alma ve alternatifleri arama aşamasında, tüketiciler satın almak istedikleri ürün hakkında bilgi almak istemektedirler. Bu amaçla çevrelerindeki bireylere danışmakta ve farklı kaynaklardan ürün hakkında tüketici yorumlarını araştırmaktadırlar.

Tüketicilerin bilgi alma sürecinde edindikleri faydalar;

1. Alternatifleri değerlendirme ve satın alma karar aşamalarının daha kolay olmasını sağlar.
2. Yeteri kadar bilgi alınması durumunda tüketici kendinden emin ve mutlu bir şekilde ürünü satın alır.
3. İstenmeyen seçeneklerden hemen vazgeçilerek yanlış karar verilmesinin önüne geçilir (Çakmak ve Güneşer, 2011; Cengiz, 2019).

Tüketiciler ihtiyacını duydukları ürünü satın alma aşamasından önce, araştırdıkları ve alternatif olarak buldukları ürünleri değerlendirmekte ve karşılaştırmalar yapmaktadır. Bu karşılaştırmalar süresince kararlarına etki eden sosyolojik ve psikolojik faktörler bulunmaktadır. Aynı zamanda her tüketici için farklı öncelikler bulunmaktadır. Bazı tüketiciler alacağı üründe sağlayacağı faydayı önemserken bazıları ise tatmin duygusunu önemsemektedir. Örneğin, süt almak isteyen bir tüketici sütün fiyatını, markasını, içeriğini, çeşidini vs. önemsemeyen iken başka bir tüketici özellikle laktozsuz veya keçi sütü, soya sütü, badem sütü vb. çeşitler arasında karar vermek durumunda kalabilmektedir.

Satın alma kararından önce tüketicilerin yaptığı bazı değerlendirmeler bulunmaktadır. Bunlar:

1. Tüketici ile ürünün uyumlu olması gerekmektedir. Ürünün içeriğinin tüketicinin inançları, duyguları ve davranış biçimi ile uyumlu olmaması durumunda tüketici o ürünü satın almak istemeyecektir.
2. Tüketici, fazla risk almadan ürünü deneyebilmeli ve daha rahat karar verebilmelidir.
3. Tüketici, aldığı üründen en hızlı şekilde fayda sağlamak istemektedir. Hızlı fayda sağlayan ürünler diğer alternatiflerden daha fazla tercih edilebilmektedir.
4. Ürünün basit bir şekilde algılanması, ürünün kullanımı sürecinde kolaylık sağlayacak olması nedeni ile daha fazla tercih edilmektedir. Karmaşık kullanıma sahip ürünler tüketiciler tarafından tercih edilmemektedir.
5. Tüketici, tercih ettiği ürünün diğer alternatifler arasında üstün olmasını istemektedir. Bu durum tüketiciye güven vereceğinden tüketici tarafından önemsenen bir nokta olmaktadır.
6. Bazı ürünler, tüketici için sembolik anlamlara sahip olmaktadır. Tüketici için doğru anlama gelen ürünler daha fazla tercih edilmektedir.

## 7. Ürünlerin sahip oldukları pazarlama stratejileri tüketiciler için önem arz etmektedir (Cengiz, 2019)

Tüketiciler alternatifleri değerlendirmeleri sonucunda olumlu yaklaştıkları ürüne satın alma kararını vermektedir. Tüketicinin üründen emin olmadığı durumlarda bir önceki aşamaya dönerek alternatifleri tekrar değerlendirmek istemektedir. Satın alma aşamasından sonra tüketicilerin satın alma süreci tamamlanmamaktadır. Satın alınan ürünü kullanan tüketicinin satın aldıktan sonraki davranışları da bu sürece dahil olmaktadır. Bu aşama pazarlama için önem teşkil eden bir diğer aşama olmaktadır (Qazzafi, 2019).

Tüketicilerin satın alma süreçleri satın alma aşaması ile son bulmamaktadır. Tüketicinin ürünü satın alması kadar satın aldıktan sonraki aşamada memnun kalıp kalmadığı da önem arz etmektedir. Tüketicinin üründen memnun kalması bir sonraki ihtiyaç anında diğer alternatifler arasında öncelik sağlayacak ve ürünün tüketici tarafından tekrar tercih edilmesini sağlayacaktır. Tüketiciler birbirlerini etkilemektedir. Örneğin üründen memnun kalan bir tüketici aynı ürünü almak isteyen kişiyi olumlu etkileyeceğinden, ürünün daha fazla tercih edilmesini sağlamaktadır. Aynı durum üründen memnun kalmayan tüketici için de geçerli olmaktadır. Olumsuz etkilenen tüketiciler ürünü tercih etmeyecektir. Üründen memnun kalan tüketicilerin markaya olan güvenleri de artmaktadır. Markaya güvenen tüketici aynı markanın farklı ürünlerini de tercih etme eğiliminde olmaktadır (Asanbekova, 2007; Akgün, 2008; Aydın, 2012)

Ambalajların ürünleri muhafaza etme, taşınma, depolama kolaylığı sağlamanın yanı sıra tüketicinin ürünü almasını sağlamak gibi önemli bir görevi daha vardır. Gelişen teknoloji beraberinde rekabeti getirmiş ve firmaların önceliği tüketiciyi etkileyebilmek olmuştur. Tüketiciler ürünler arasında seçim yaparken sadece gıda ürününe bakmayıp ayrıca ambalajın rengi, tasarımı, yeterli etiket bilgisi, ürünü taşıyabilme kolaylığı gibi birçok özelliği de barındırmasını beklemektedirler. Özellikle plansız alışveriş yapan tüketiciler ilk olarak ürünün ambalajından etkilenmektedirler. Bu noktada ambalaj ön plana çıkarak tüketicinin beklentilerini karşılamaktadır. Tüketicilerin ambalajlardan etlenme düzeylerinde demografik özellikler büyük rol oynamaktadır. Bazı tüketiciler fiyatı uygun olan fakat ambalajı kullanışsız ve etkileyici olmayan ürünleri tercih ederken bazı tüketiciler de kullanışlı ve etkileyici ambalaja sahip ürünler için daha fazla ödeme yapma isteğinde bulunmaktadır.

Marketlerin ve diğer mağazaların gelişimi ile beraber ambalajlar bir pazarlama aracı olarak kullanılmaya başlanmıştır. Tüketiciyi ikna etme noktasında ambalajlar birer satış elemanı görevi görmektedirler. Ambalajlar artık sadece ürünleri korumak dışında birçok göreve de sahip olmaktadır.

Günümüzde ambalajın görevleri şunlardır:

- Tüketicinin dikkatini çekerek tüketici ile iletişim kurmaktadır.
- Ürünü raflarda daha fazla görünür hale getirmektedir.
- Ürünü yeni tüketecek bireyleri şekil ve tasarımları ile etkilemektedir.
- Satın alım sonrasında da ürünün kullanımını kolaylaştırır.
- Tasarım ile yaratıcılığını ortaya çıkarır ve imaj geliştirir (Teke, 2014).

Ambalaj tasarımları müşteri odaklı olmaktadır (Acıköse ve Gürbüz, 2018). Müşterilerin demografik özellikleri göz önüne alınarak uygulanan tasarımlar müşteriler tarafından daha çok tercih edilmektedir. Müşteriler özellikle sıvı ürünleri satın alım aşamasında, ürünün rahat taşınabilmesini ve ürünün kullanımı sırasında da rahatlık sağlayan ambalajlara daha fazla talep göstermektedirler.

Tüketicilerin ilk olarak iletişime geçtikleri unsur ambalajdır. Ambalajlar tüketiciye güven duygusunu vermek zorundadır. İletişimin ilk anında ambalajlar tüketiciye ürünün temiz, taze, kaliteli vb. özelliklere sahip olduğunu göstermektedir. Ambalajın renkleri de tüketiciyi etkilemekte ve ürün hakkında bilgiler vermektedir (Düz, 2012)

Fast- food sektörünün gelişimi ile beraber özellikle çalışan bireyler ve öğrenciler hazır gıdalara daha fazla talep göstermektedir. Bu durumun doğal sonucu olarak firmalar daha fazla hazır gıda üretmekte ve farklı fonksiyonlarda ambalajlamaktadır. Bu hazır gıdaların tüketiminin artması ile ambalajların da önemi artış göstermiştir. Ambalajların bu düzeyde öneme sahip olmasının altında yatan başlıca sebepler:

- Şehirleşmenin artması
- Tüketim şekli ve tüketim alışkanlıklarının farklılaşması
- Teknolojinin gelişmesi
- Yaşam standartlarının artması



- Çalışan kadın bireylerin sayısının artması
- Market çeşit ve sayılarının artması
- Tüketicilerin bilinç düzeylerinin artması olarak sıralanmaktadır (Gözübüyük, 2015).

### 3.SONUÇ ve TARTIŞMA

Gıda ürünlerinde ambalaj, sadece ürünü muhafaza eden ve bozulmasını önleyen bir faktör değil, tüketicilerin duygularına hitap ederek tüketicilerin satın alma kararlarında da etkilidir. Ambalaj, bir bakıma kendini pazarlamakta, tüketiciyle ilk teması kurarak ve üretenin, son alıcıya ulaştırmak istediği mesajı ileten bir araçtır. Ambalaj, ürün açısından çok önemli bir pazarlama faaliyetidir. Ürünlerdeki ambalajın fonksiyonlarının, tüketici satın alma davranışlarındaki etkisinin üründen ürüne farklılaşmadığı gözlenmektedir. Tüketicilerin satın alma kararı vermelerinde gıdaların ambalajından en önemli beklentilerinin; ürünün korunması, kolaylık sağlaması, bilgi vermesi gibi somut yararlar olduğu yapılan araştırmalarda ortaya konulmuştur. AR-GE sayesinde ürünlerin özellikleri çok benzerlik arz etmektedir. Firmaların ürün veya hizmetlerini rekabet halinde oldukları üreticilerden bir şekilde ayırtmalarını gerekmektedir. Bu ise ancak “Ambalaj” ile olabilir. Gelir düzeyinin yükselmesi, hijyen, tüketici tatminin ve tüketici haklarındaki gelişmeler ambalajın önemini bir kat daha artırmıştır.

Tüketicilerin satın alma davranışlarındaki değişimler, ambalajlamaların önemini gün ve gün arttırmıştır. Artık ambalajdaki değişiklikler, tüketicinin istekleri ve zevkleri doğrultusunda gerçekleştirilmektedir. Ambalajın gelişiminden önceki dönemlerde; mallar açıkta satılmaktaydı, dolayısıyla nihai tüketiciyi tek ilgilendiren unsur ürünün kalitesiydi. Ancak günümüzde durum tersine işlemektedir. Tasarımı iyi olmayan, benzer ürünlerden farklılaşamamış, temel fonksiyonlarını yeterince yerine getiremeyen, tüketiciye yeterince bilgi sunamayan, çevreye duyarlı olmayan ambalajlar, tüketiciler tarafından, üretici firmanın beklediği ilgiyi görememektedir. Tüketicilerin bu aşamaya gelmelerinde etkili olan faktörler: yaşam standartlarındaki artış, büyüyen metropoller, kadınların iş hayatına girişi, tüketim alışkanlıklarda meydana gelen değişim, tüketici beklentileri, alışveriş merkezlerindeki artış, farklı ambalaj malzemelerinin ortaya çıkması, bilgi iletişimde meydana gelen değişim, fonksiyonellik olarak sıralanabilir.

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## Dünya Sağlık Örgütü'nün (DSÖ) COVID-19 Salgın Sürecindeki Desteği ve Rolü

Öğr. Gör. Dr. Özlem Aladağ Bayrak<sup>1</sup>

<sup>1</sup>Trakya Üniversitesi/ Yabancı Diller Bölümü, oabayrak@trakya.edu.tr, ORCID: 0000-002-4631-8271

**Özet:** Çin'in Hubei bölgesinde 1 Aralık 2019'da ortaya çıkan virüs çok kısa bir süre içinde küresel bir salgın haline dönüşmüş ve 2022 Ocak itibarıyla 5 milyon 676 bin 237 ölüm, toplam 380 milyona yaklaşan vaka sayısına ulaşmış durumdadır. Salgın süreci tüm sektörleri etkileyerek işsizlik, ekonomik durgunluk gibi etkilere neden olmuştur. Bu süreçte, ülkeler başta sağlık olmak üzere üretim, eğitim gibi temel sistemleri sürdürülebilirliğini sağlama çabası içine girmişlerdir. Bu yeni şartlarda, bu hızlı değişimin ülkeler arası bir kriz haline gelmemesi için ulusal ve uluslararası kuruluşların karşılıklı bir koordinasyon ve iş birliği içinde olması önem kazanmıştır. DSÖ Genel Sekreterliğinin süreci pandemi olarak ilan ederek salgının, sadece sağlık sektörüyle değil tüm sektörleri ilgilendiren bir kriz olarak vurguladığı ve örgütün pandemi sürecinde ulusal sağlık politikalarının belirlenmesine yönelik tavsiye kararları aldığı görülmüştür. Bu çalışmada, DSÖ tarafından pandemi sürecinde hangi stratejilerinin izlendiğini, üye ülkelere nasıl destek sağlandığı ve tüm bunların ulusal sağlık politikaları üzerinde ne tür etkileri olduğu incelenmiştir. Çalışmada; Dünya Sağlık Örgütü (WHO) birincil veri kaynaklarına dayalı analizler ve raporlar incelenmiş, literatür taraması ve kuramsal inceleme yöntemi tercih edilmiştir. Yapılan incelemeler çerçevesinde, DSÖ'nün tüm dünya ülkeleri için geleceğin sistemlerini geliştirmek amacıyla politika diyalogu; yüksek performanslı sistemler oluşturmak için stratejik destek; ulusal kurumların inşası için teknik yardım ve acil durumlarda kritik boşluklara hizmet sunumu rollerini üstlenerek, ülkelerle işbirliği içinde olduğu ve 2020'de COVID-19 pandemisinin ortaya çıkmasıyla birlikte, DSÖ ülke ofislerinde iş sürekliliği planlarının ve COVID-19 Olay Yönetimi Destek Ekibinin, COVID-19 Koordinasyon Mekanizmalarının etkinleştirilmesi gibi işlemlerle eşgüdüm sağlama, ortakları bir araya getirme, teknik rehberlik sağlama, hazırlık ve müdahaleyi destekleme, zamanında bilgi paylaşma gibi operasyonel görevleri üstlendiği ve bölgelerdeki rolünün her zamankinden daha önemli olduğu anlaşılmıştır.

**Anahtar Kelimeler:** DSÖ, COVID-19, Sağlık Yönetimi, Pandemi.

### The Support and Role of the World Health Organization (WHO) in the COVID-19 Pandemic

**Abstract:** The virus, which emerged on December 1, 2019 in the Hubei region of China, turned into a global epidemic in a very short time, and as of January 2022, 5 million 676 thousand 237 deaths and a total number of cases approaching 380 million were reached. The epidemic process affected all sectors, causing effects such as unemployment and economic recession. In this process, countries have made an effort to ensure the sustainability of basic systems such as production and education, especially health. In these new conditions, it has become important for national and international organizations to be in mutual coordination and cooperation so that this rapid change does not turn into an inter-country crisis. It has been seen that the WHO General Secretariat declared the process as a pandemic and emphasized the epidemic as a crisis that concerns not only the health sector but all sectors, and the organization took recommendations for determining national health policies during the pandemic process. In this study, it was examined which strategies were followed by WHO during the pandemic process, how support was provided to member countries and what kind of effects all these had on national health policies. Analyzes and reports based on primary data sources of the World Health Organization (WHO) were examined, literature review and theoretical analysis method were preferred. Within the framework of the examinations, WHO's policy dialogue in order to develop the systems of the future for all countries of the world; strategic support for building high-performance systems; assuming the roles of technical assistance for the building of national institutions and service delivery to critical gaps in emergencies were examined. Also, with the examination the emergence of the COVID-19 pandemic in 2020, WHO's functions such as activating business continuity plans, coordinating, bringing together partners, providing technical guidance, supporting preparedness and response and also the COVID-19 Incident Management Support Team, COVID-19 Coordination Mechanisms in WHO country offices, its undertaking operational tasks such as sharing information in a timely manner, it has been understood that WHO'S role in the regions is more important than ever.

**Key Words:** WHO, COVID-19, Health Management, Pandemic.

#### 1. GİRİŞ

2019 yılının sonlarında ortaya çıkan COVID-19 salgını tüm dünyayı sarsmaya devam etmektedir (DSÖ, 2022). Çin'in Hubei bölgesinin başkenti olan Vuhan'da 1 Aralık 2019 tarihinde ortaya çıkan virüs salgını çok kısa bir süre içinde küresel bir salgın haline dönüşmüş ve 2022 ilk ayı itibarıyla 5 milyon 676 bin 237 ölüm, toplam 380 milyona yaklaşan onaylanmış vaka sayısına ulaşmış durumdadır (WHO, 2022). Dünyada yaşanan ani sağlık durumuyla birlikte, insanların temel ihtiyaçları içinde yer alan beslenme, barınma gibi yaşam şartları etkilenmiş ve değişimlere uğramıştır. Bunun yanında salgın sürecinin tüm sektörleri etkilediği görülmüş ve işsizlik, ekonomik

durgunluk gibi olağanüstü durumlar yaşanmış ve küresel ticarete üçte bire yakın bir düşüş yaşanmıştır (The Economist, 2020). Yaşanan bu süreçte üye ülkelerle ilgili sağlık konularında çalışmalar yapmakla yükümlü olan DSÖ toplumsal sağlığı tehdit eden hastalık ve salgın durumlarında ülkelerin uluslararası nitelikte aldığı önlemlerin belirlenmesinde yönetici ve koordinatör olarak görev almıştır. DSÖ aldığı kararlar bağlayıcı nitelikte olmayıp uzmanlık gerektiren durumlar için danışmanlık ve rehberlik düzeyindedir ve önem arz etmektedir.

Bu çalışmada salgın sürecinde DSÖ'nün aldığı kararlar ve belirlediği stratejilerle salgınla mücadeleyi global anlamda sürdürme sürecindeki işlevleri Dünya Sağlık Örgütü (WHO) birincil veri kaynaklarına dayalı analizler ve raporlar incelenerek ve literatür taraması yapılmış ve DSÖ'nün kısa tarihsel süreci de değerlendirilmiştir. Yapılan incelemeler çerçevesinde, DSÖ'nün tüm dünya ülkeleri için geleceğin sistemlerini geliştirmek amacıyla politika diyalogu; yüksek performanslı sistemler oluşturmak için stratejik destek; ulusal kurumların inşası için teknik yardım; ve acil durumlarda kritik boşluklara hizmet sunumu rollerini üstlenerek ülkelerle işbirliği içinde olduğu ve 2020'de COVID-19 pandemisinin ortaya çıkmasıyla birlikte, DSÖ ülke ofislerinde iş sürekliliği planları ve COVID-19 Olay Yönetimi Destek Ekibinin Etkinleştirilmesi, COVID-19 koordinasyon mekanizmalarının etkinleştirilmesi gibi işlevlerle eşgüdüm sağlama, ortakları bir araya getirme, teknik rehberlik sağlama, hazırlık ve müdahaleyi destekleme, zamanında bilgi paylaşma ve operasyonel görevleri üstlenmiş ve bu alandaki rolü her zamankinden daha önemli olduğu anlaşılmıştır.

## 2. DSÖ KISA TARİHÇE

Dünya Sağlık Örgütü'nün tarihindeki kuruluş aşamaları incelendiğinde; günümüzde yaşanan salgın gibi ani gelişen küresel sağlık sorunlarıyla baş edebilmek için birtakım girişimlerin neticesinde ülkelerin bir araya gelerek bir iş birliği mekanizması oluşturma çabalarının mevcut olduğu basamaklar olarak görülmektedir. 1918 yılında yaşanan İspanyol gribi (A/H1N1), 1957 Asya gribi (A/H2N2) ve 1968/69 Hong Kong gribi (A/H3N2) olmak üzere üç grip salgını geçen yüzyıla damgasını vurmuştur (Dündar,2020). Dünyada 1800'li yıllarda artan seyahat ve ticaretle birlikte, bölgeler arasındaki hareketlilik salgın hastalıkların da diğer bölgelere hızla yayılmasını neden olmuştur. Dünya ülkeleri 1830 ve 1847'de Avrupa'da on binlerce insanı öldüren salgınlardan biri olan kolera salgınına karşı önlem almak için, 1851'de Paris'te ilk Uluslararası Sağlık Konferansında toplanmıştır. Tarihi süreçte salgın hastalık hakkında çok az bilgiye sahip olunduğu için ve ülkelerdeki siyasi farklılıklardan dolayı ne yazık ki konferansların düzenlenmesine devam edilmesine rağmen, çok fazla başarı elde edilmemiştir. Ancak, bu konferanslar hastalıkların önlenmesi ve kontrolü için uluslararası iş birliği adına bir mekanizma oluşturmaya yönelik ilk girişimler olarak tarihi kayıtlara geçmiştir. Bu girişimler neticesinde 1892'de kolera kontrolü için Uluslararası Sağlık Sözleşmesi kabul edilmiş ve 5 yıl sonra veba kontrolünü ele alan bir sözleşme hazırlanmıştır (Cozzoli ve et al., 2020:126-128). Amerika'da Pan American'ın öncüsü olan Sağlık Örgütü (PAHO), Uluslararası Sağlık Bürosunu 1902'de kurarak dünyanın en eski uluslararası sağlık kuruluşu özelliğine sahip olmuştur. 1907'de Avrupa'da L'Office International d'Hygiene Publique kurulmuş ve 1919'da Cenevre'de Milletler Cemiyeti Sağlık Teşkilatı kurulmuştur. 1926'da Uluslararası Sağlık Sözleşmesi çiçek hastalığı ve tifüse karşı hükümler kapsayacak şekilde revize edilmiştir. Son Uluslararası Sağlık Konferansı, 1938'de II. Dünya Savaşı arifesinde Paris'te yapılmıştır. İkinci Dünya Savaşı'ndan hemen sonra, 1945'te San Francisco'daki BM Uluslararası Örgütler Konferansında yeni bir uluslararası sağlık örgütü kurmak için oylama yapılmış ve bir yıl sonra New York'taki Uluslararası Sağlık Konferansı, Dünya Sağlık Örgütü Anayasasını onaylamıştır (Howard-Jones, 1975; Topkaya, 2016; TC Sağlık Bakanlığı, 1997; Lee ve Fang, 2013).1948'de DSÖ Anayasası, yeterli imzayı alarak onaylanmış ve Pan Amerikan Sağlık Örgütü, DSÖ'nün altı bölgesel örgütünden biri olarak kabul edilmiştir. Birinci Dünya Sağlık Meclisi, 1948 yazında Cenevre'de toplanarak kuruluş amacı öncelikleri olarak sıtma, tüberküloz, zührevi hastalıklar, anne ve çocuk sağlığı, sıhhi mühendislik ve beslenme konu başlıklarını belirlemiştir. 1948 yılında örgütün bütçesi 5 milyon ABD doları olarak belirlenmiş ve Ekvator Frengisi, Endemik Sifiliz, Cüzam ve Trahom'a karşı kitle kampanyalarına dahil olarak geniş kapsamlı hastalık önleme ve kontrol çabaları içinde faaliyet göstermiştir (McCarthy, 2002:1111-1112). DSÖ ilk kuruluş aşamasından bu yana dünyadaki kitlesele sağlık sorunlarının çözümüne odaklanma amacıyla birçok iş ve işleyişte bulunmuştur.

Birleşmiş Milletler sistemi içinde sağlık işlerini koordine etmek amacıyla kurulan Dünya Sağlık Örgütü, öncelikleri Sıtma, Tüberküloz, Zührevi hastalık ve diğer bulaşıcı hastalıklarla mücadelenin yanı sıra kadın ve çocuk sağlığı, beslenme ve sanitasyon gibi konu başlıklarını da örgütün amaç ve hedefleri arasında yer vermiştir. Genel olarak, DSÖ'nün kuruluşunun en başından beri, halk sağlığı konularını belirlemek ve ele almak, sağlık araştırmalarını desteklemek ve kılavuzlar yayınlamak için üye ülkelerle birlikte çalıştığı görülmektedir. Ayrıca, dünyada görülen hastalıkları sınıflandırmış ve bölge hükümetleriyle birlikte diğer BM kurumları, bağışçılar, sivil toplum kuruluşları ile koordineli bir şekilde çalışmalar yapmıştır. Bunlara ek olarak, DSÖ'nün bağlayıcı olmayan bazı rehber ilkeler, küresel stratejiler ve öneriler hazırladığı ve beyan ettiği bilinmektedir (Gostin et al., 2014:1732-1734). Tüm bu

işlemlere sahip olan DSÖ, kuruluşundan itibaren ve günümüzde de geçerli olacak şekilde başta bulaşıcı hastalıklarla ve salgınlarla mücadele olmak kaydıyla küresel sağlık meselelerine yönelik hukuki düzenlemelerin yapılması ve gerekli uluslararası iş birliğinin sağlanması noktasında temel merci konumundadır (Fidler, 1997:17-22).

Dünya tarihinde yaşanan salgın hastalık ve felaketlerde görülmüştür ki birçok hükümet bu tür kriz durumlarında ulusal bir yaklaşımla hareket ederek, küresel sağlık boyutunu, küresel sağlık meselelerini ve insani kaygıları ikinci plana atarak siyasetleşmiştir. Dünyadaki birçok devlet, oluşan bu şartlarda bu tür salgın ve felaketlerle mücadele sürecinde gerekli kaynaklara sahip olmayarak mahrumiyet yaşadığı ve küresel ölçekte finansman yetersizliği yaşadığı tespit edilmiştir. Sağlık politikaları konusunda yaşanan ideolojik ayrılıklar, uluslararası toplumun ihtiyaç duyduğu seviyede küresel bir dayanışma zemini oluşturma imkanını oldukça kısıtlamıştır (Lee,2020). DSÖ'nün varlığı bu noktadaki eksikliği veya açıklığı giderme yönünde olduğu görülmektedir.

## 2.1. Yönetim ve Yapı

DSÖ'nde yönetim ve yapı incelendiğinde; temel işlevi örgütün politikalarını belirlemek olan Dünya Sağlık Asamblesi, DSÖ'nün en yüksek karar alma organıdır. Aynı zamanda, Dünya Sağlık Asamblesi, Genel Direktörünü göreve başlatmaktan sorumludur ve ayrıca örgütün mali politikalarını denetleyerek önerilen program bütçesini incelemekte ve onaylamaktadır. Benzer şekilde, daha fazla işlem, çalışma, soruşturma veya raporlama gerektirebilecek konularda talimat vererek, yönetim kurulu raporlarını da dikkate almakta ve incelemektedir. DSÖ Yürütme Kurulu, Dünya Sağlık Asamblesi'nin kararlarını ve politikalarını uygulamaya geçirmekte, tavsiyelerde bulunmakta ve genellikle DSÖ Sekreterliği aracılığıyla çalışmalarına destek vererek işleyişi kolaylaştırmaktadır. Genel Direktör tarafından yönetilen DSÖ Sekreterliği, 149 ülke toprak ve bölgelerindeki DSÖ ofislerini, Bölge Direktörleri tarafından yönetilen altı DSÖ bölge ofisini ve İsviçre'nin Cenevre kentinde bulunan DSÖ genel merkezini bünyesinde bulundurmaktadır. Sekreterlik, 194 Üye Devlet ve iki Ortak Üye Devlet (Porto Riko ve Tokelau) tarafından yönetilmektedir (World Health Organization, 2021).

DSÖ Bölge ofisleri ve DSÖ ülke ofisleri değerlendirildiğinde ise 193 DSÖ üye devletten sadece 33'nin DSÖ ofisinin olmadığı ve sınır ülkelerden kapsayıcı bir hizmet almadığı görülmüştür. Ancak, DSÖ bölge ofisi ve genel merkezi, bu ülkeler ve alanlar için doğrudan teknik ve normatif destek sağlamaktadır. Her bölgenin yönetim organları olan bölgesel komiteler, bölgesel programlar için gözetim sağlamak, ilerleme raporlarını gözden geçirmek, yeni girişimleri değerlendirmek, politikalar formüle etmek ve onaylamak için her yıl toplanmaktadır (World Health Organization, 2021).

## 2.2. DSÖ'nün sağlık stratejisi: Genel Çalışma Programı 13 (GÇP) ve Sürdürülebilir Kalkınma Hedefleri

DSÖ'nün misyonu sağlığı geliştirmek, dünyayı güvende tutmak ve savunmasız kişilere hizmet etmek olarak belirlenmiştir (WHO, 2018). DSÖ'nün sağlık stratejisi GÇP 13'e göre ülkeleri doğrudan örgütün çalışmalarının merkezine yerleştirerek, ülke düzeyinde insanlar için olumlu sağlık etkisi yaratmayı amaçlamaktadır. 2018'de Yetmiş Birinci Dünya Sağlık Asamblesi'nde onaylanan GÇP13'ün uygulaması Ocak 2019'da başlamıştır. GÇP13'ün amacı, milyarlarca insanın sağlığında ölçülebilir bir fark yaratmaktır (World Health Organization, 2021).

DSÖ'nün ülkelerle iş birliği içinde farklı rolleri değerlendirildiğinde; DSÖ ülkelerin kapasitelerine, kırılganlıklarına ve ihtiyaçlarına göre uyarlanmış farklı yaklaşımlar yoluyla ülke düzeyinde halk sağlığına etkisini artırmak olarak tespit edilmiştir. DSÖ ülkelerde üstlendiği dört farklı iş birliği türü şunlardır: geleceğin sistemlerini geliştirmek için politika diyalogu; yüksek performanslı sistemler oluşturmak için stratejik destek; ulusal kurumların inşası için teknik yardım ve acil durumlarda kritik boşluklara hizmet sunumudur. Ülke bağlamları karmaşıklık ve sürekli değişlik göstermiş olmasına rağmen, DSÖ'nün üye devletlerle iş birliğine yönelik farklılaştırılmış yaklaşımlarının birbirini dışlamadığı görülmüş ve ülkelerin kendi özel ihtiyaçlarına bağlı olarak, kendi özel bağlamlarıyla ilgili seçilmiş bir dizi desteği benimsedikleri tespit edilmiştir (World Health Organization, 2021).

Tablo 1: Etkiyi Artırmak İçin DSÖ'nün Ülke Düzeyinde Farklılaştırılmış Yaklaşımları

Farklılaştırılmış yaklaşım	Afirka	Amerika	Doğu Akdeniz	Avrupa	Güneydoğu Asya	Batı Pasifik	Global
Politika Diyalogu	(%87) 41	(%85) 23	(%89) 16	(%90) 28	(%82)9	(%100) 15	(%89) 132
Stratejik destek	(%91) 43	(%93) 25	(%100) 18	(%84) 26	(%91)10	(%87) 13	(%91) 135

<b>Teknik Asistanlık</b>	(%98) 46	(%85) 23	(%94) 17	(%94) 29	(%82) 9	(%93)14	(%93) 138
<b>Hizmet Sunumu</b>	(%62) 29	(%26) 7	(%61) 11	(%23) 7	(%45) 5	(%27) 4	(%42) 63

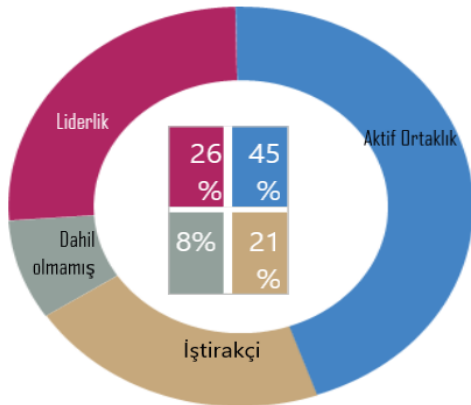
Kaynak: WHO presence in countries,territories and areas 2021 Report.

Tablo 1’de sunulduğu gibi, DSÖ ülke ofisleri faaliyetlerini üye devletlerle olan iş birliği yöntemlerin bir kombinasyonu olduğunu bildirmiştir. Hizmet sunumunun DSÖ’nün temel işlevlerinden biri olmamasına rağmen, 63 DSÖ ülke ofisi, acil durumlarda kritik boşluklara hizmet sunumunda destek sağladığını bildirmiştir. Bunların 25’i (%40) kırılğan, etkilenen ve savunmasız ortamlara sahip ülke ofisleridir, yirmikisi ise kırılğan olmayan ortamlardaki ülke ofisleridir. Afrika Bölgesinde (AFR), Doğu Akdeniz Bölgesinde (EMR) ve Güneydoğu Asya Bölgesinde (SEAR) hizmet sunumunda destek sağlayan ülke ofislerinin daha büyük bir yüzdeye sahip olduğu ve bu konuda bölgesel farklılıklar olduğu tespit dirmiştir (Sırasıyla %62, %61 ve %45).

### 2.3. Ulusal Kalkınma Planını Desteklemede DSÖ’nün Rolü

Ulusal kalkınma planlarının başlatılması, geliştirilmesi, uygulanması ve izlenmesinde DSÖ’nün rolü, ülkelerin ihtiyaçlarına göre değişmektedir. Örneğin, ülke ofislerinin 67’si (%45) süreçte ülkelerle ortak bir rol paylaştığı ve 38 ülke ofisi (%26) ise öncü rolü üstlendiğini bildirmiştir. Ulusal kalkınma planlarının başlatılması, geliştirilmesi, uygulanması ve izlenmesinde hükümetleri destekleme sürecinde DSÖ’nün rolü önemlidir ve ülkelerin 2030 gündeminde sağlıklı ilgili hedeflere ulaşılmasında DSÖ katma değeri çok yüksek olduğu vurgulanmaktadır. Bu konuyla ilgili ayrıntılar için Şekil 1’ de gösterilmiştir.

Şekil 1: Ulusal Kalkınma Planı Sürecinde DSÖ Ülke Ofisinin Rolü



Kaynak: WHO presence in countries,territories and areas 2021 Report.

Şekil 1’ de incelediğinde, DSÖ ülkelerde %45 oranında aktif ortaklık rolü üstlendiği, %26 oranında temel role sahip olduğu, %21 oranında katkı rolüne sahip olduğu ve %8 oranında ise ulusal kalkınma planı sürecine dahil olmadığı görülmektedir.

### 3. SAĞLIKLA İLGİLİ ACİL DURUMLAR ve DSÖ

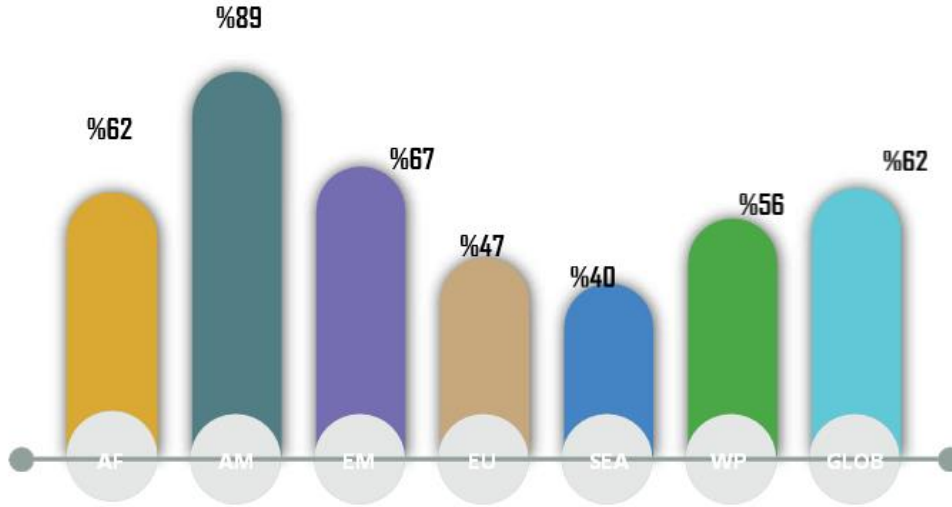
2020’de COVID-19 pandemisinin ortaya çıkmasıyla birlikte, DSÖ’nün eşgüdüm sağlama, ortakları bir araya getirme, teknik rehberlik sağlama, hazırlık ve müdahaleyi destekleme, zamanında bilgi paylaşma gibi operasyonel görevleri yürütme konusundaki rolünün önemi daha da artmıştır. Kuruluşun, sağlıkla ilgili acil durumlara hazırlanma ve bunlara yanıt verme kapasitesi önceki yıllarda kilit işlevlerinden biri olduğu görülmekle birlikte, DSÖ’nün COVID-19 müdahalesine verdiği destek örgütün yıllar boyunca bu tür bir desteği sağlama konusunda edindiği deneyim ve aldığı dersler üzerine kurulmuştur. Küresel manzaradaki değişimler ve gelişen ülke bağlamları, COVID-19 pandemisinin hızlı yayılması, ciddiyeti ve muazzam etkisi göz önüne alındığında, DSÖ’nün COVID-19’a hazırlık ve müdahaleye verdiği destek, ilk olarak 2019 ve 2020’de COVID-19 dışı sağlık acil durumlara müdahalesindeki başarılar olarak sunulmaktadır. Son yaşanan salgın, DSÖ için benzeri görülmemiş bir zorluk teşkil etmiş ve DSÖ’nün küresel sağlıktaki kritik rolünü vurgulamıştır. Dünya genelindeki üye devletlerin salgın karşısında sürekli artan destek ve rehberlik talebini karşılayabilmek için örgütün çalışmalarının neredeyse her

yönünü çok kısa bir süre içinde hızla yeniden programlayarak yeniden tasarladığı görülmüştür. Aynı zamanda, DSÖ rutin (COVID-19 dışı) programların tam olarak veya en azından aşırı olumsuz etkilerden kaçınmak için gereken minimum ölçekte sürdürülmesini sağlamak gibi bir misyonu da üstlenmiştir. DSÖ, bu süreçte COVID-19 hazırlık eylemlerinde Uluslararası Sağlık Tüzüğü (2005), Güvenli Hastaneler Ağı, Küresel Enflüanza Gözetim ve Müdahale Sistemi ve Pandemi Enfeksiyöz Hastalıklar Hazırlık (PIP) Çerçevesi gibi program ve ağlardaki mevcut hazırlık kapasitelerinden yararlanmıştır. Benzer şekilde, DSÖ üye devletlerinin COVID-19 pandemisine yanıt vermelerini desteklemek için Küresel Salgın Uyarısı ve Müdahale Ağı ve Acil Durum Yönetim Ekibi gibi mevcut müdahale mekanizmalarından yararlandığı tespit edilmiştir. DSÖ ülke ofisleri, Birleşmiş Milletler Ülke Ekipleri, diğer BM kurumları ve diğer kuruluşlar ortak çabaların bir sonucu olarak, COVID-19 hazırlık ve müdahale çabalarında hükümetler için stratejik ve değerli ortaklar olduklarını ispat etmişlerdir. DSÖ'nün pandemi sürecindeki fonksiyonları şu şekilde sıralanmaktadır: ülkelerdeki hazırlık durumu (temel işlevlerin sürekliliğini sağlama görevi dahil); DSÖ'nün COVID-19'a karşı insan kaynakları kapasitesi (personelin yeniden kullanılması ve işe alınması); bölgesel ofislerden ve genel merkezden geri dönüş ve DSÖ'nün ülkelerde COVID-19 müdahalesine yönelik rolü ve desteği (Üye Devletler için sağlık acil desteği ve ülkelerdeki COVID-19 mekanizmaları dahil).

Bu süreçte DSÖ ülke ofisleri tarafından COVID-19 pandemisine yanıt vermek için atılan ilk hazırlık adımlarından biri, DSÖ ofislerinin “riskleri yönetme ve acil durumlara zamanında, öngörülebilir bir şekilde yanıt verme kapasitesine sahip iş sürekliliği planlarını etkinleştirmek” olarak belirlenmiştir. İş sürekliliği planları, bir sağlık acil durumunun ortasında bile teknik iş birliği ve desteğin optimum şekilde sunulmasını içermektedir. 149 ülke ofisinden 139'u (%93) COVID-19'dan önce bir iş sürekliliği planına sahip olduğunu beyan etmiş ve bu ofislerin 131'i (%94) planlarını COVID-19 salgını sürecine daha uyumlu hale getirerek revize ettiğini bildirmiştir. Başlangıçta bir iş sürekliliği planı olmayan 10 DSÖ ülke ofisi, uluslararası halk sağlığı acil durumu ilan edildikten sonra yeni bir plan geliştirdikleri ve bu ülke ofislerinin %100'ünün pandemi sırasında bir iş sürekliliği planına sahip olduğu belirlenmiştir. Pandemi şartlarında DSÖ ülke ofislerinin COVID-19'a hazırlanmaları ve müdahale etmeleri için ülkeleri desteklemede ne kadar proaktif olduklarının bir ölçüsü, bir Olay Yönetimi Destek Ekibini harekete geçirme hızı olarak kabul edilmektedir. COVID-19, 30 Ocak 2020'de uluslararası halk sağlığı acil durumu (PHEIC) olarak ilan edildiği tarihte, altı DSÖ bölgesindeki 20 ülke en az bir COVID-19 vakası bildirmiştir. Bununla birlikte, altı bölgede toplam 33 DSÖ ülke ofisi (%22), COVID-19'un uluslararası öneme sahip halk sağlığı acil durumu olarak ilan edilmeden önce bir Olay Yönetimi Destek Ekibini etkinleştirdiklerini bildirmişlerdir (World Health Organization, 2021).

DSÖ ülke ofislerinin neredeyse yarısı (%73 veya %49), 11 Mart 2020'de COVID-19'un uluslararası öneme sahip halk sağlığı acil durumu ilan edilmesi ve bunun bir pandemi olarak nitelendirilmesi sürecinde bir COVID-19 Vaka Yönetimi Destek Ekibini etkinleştirdiklerini bildirmiştir; buna Doğu Akdeniz Bölgesi'ndeki (%61), Avrupa Bölgesi'ndeki (%55), Batı Pasifik Bölgesi'ndeki (%53) ve Güneydoğu Asya Bölgesi'ndeki (%73) ülke ofislerinin yarısından fazlası dahildir. Kalan 43 DSÖ ülke ofisi (%29), Afrika Bölgesi'ndeki ülke ofislerinin %47'si dahil olmak üzere, pandemi karakterizasyonundan (12 Mart 2020 veya sonrası) sonra Olay Yönetimi Destek Ekibini etkinleştirdiğini bildirmiştir. Bu bölgesel model, Batı Pasifik Bölgesi ve Güneydoğu Asya Bölgesi'nde başlayan, daha sonra Avrupa Bölgesi, Doğu Akdeniz Bölgesi ve Amerika Bölgesi'ne yayılan pandeminin coğrafi yayılımı ile kabaca uyumlu olduğu görülmüştür. Afrika Bölgesi, COVID-19'dan etkilenen son bölgedir ve bölgedeki çoğu ülke 11 Mart 2020'de pandeminin karakterizasyonundan sonra ilk vakasını bildirmiştir (World Health Organization, 2021). Şekil 2 Olay Yönetimi Destek Ekibinin ülkede bildirilen ilk COVID-19 vakasından önceki aktivasyonu göstermektedir. Analiz sırasında (12 Aralık 2020), 8 ülke onaylanmış COVID-19 vakası bildirmedikleri görülmüştür (World Health Organization, 2021).

Şekil 2. Olay Yönetimi Destek Ekibinin Ülkede Bildirilen İlk COVID-19 Vakasından Önceki Aktivasyonu (n=141)



Kaynak: WHO presence in countries, territories and areas 2021 Report.

### 3.1. COVID-19 bağlamında Birleşmiş Milletler Ülke Ekibinde DSÖ'nün Rolü

Doğu Akdeniz Bölgesi ve Güneydoğu Asya Bölgesi'nde bu konuda öncü rol oynadığını bildiren DSÖ ülke ofislerinin yüzdesi (sırasıyla %94 ve %91), küresel yüzdeden (125 DSÖ ülke ofisi veya %84) daha yüksektir. Avrupa Bölgesi hariç diğer tüm bölgelerde, Birleşmiş Milletler Ülke Ekibinde ülke ofislerinin oynadığı roller benzer şekilde dağılmıştır. Avrupa Bölgesi'nde, ülke ofislerinin %77'si lider olduğunu bildirmiştir ki bu, 31 ülkeden 13'ünün Birleşmiş Milletler Ülke Ekibine sahip olmadığı dikkate alındığında önemlidir. Birleşmiş Milletler Ülke Ekibinin yokluğunda, DSÖ ülke ofisleri farklı mekanizmalar aracılığıyla BM ortaklarıyla birlikte çalıştığı belirlenmiştir.

### 3.2. DSÖ'nün Stratejik Hazırlık ve Müdahale Planındaki (SPRP) Rolü

Afrika Bölgesi (%89), Doğu Akdeniz Bölgesi (%100) ve Güneydoğu Asya Bölgesindeki (%100) DSÖ ülke ofislerinin Stratejik Hazırlık ve Müdahale Planında (SPRP) lider rol oynadığını bildirilen yüzde, küresel yüzdeden daha yüksektir (121 DSÖ ülke ofisi veya %81). Amerika Bölgesi'ndeki (%78) ve Batı Pasifik Bölgesi'ndeki (%73) DSÖ ülke ofislerinin yaklaşık dörtte üçü lider konumunda rol almıştır. Avrupa Bölgesi'nde, DSÖ ülke ofislerinin sadece %58'i lider olduğunu bildirmiştir (%13'ü rol oynamadığını belirtmiştir).

COVID-19'a acil sosyo-ekonomik müdahale için BM çerçevesinin "Önce Sağlık" sütununa ilişkin olarak, DSÖ ülke ofislerinin daha yüksek bir oranı Doğu Akdeniz Bölgesi (%78), Afrika Bölgesi (%64) ve Güney-Doğu Asya Bölgesi (%64), küresel yüzdeye (%60) kıyasla lider konumunda olduğunu bildirmiştir ve özellikle hem Amerika Bölgesi'ndeki hem de Avrupa Bölgesi'ndeki DSÖ ülke ofislerinin yalnızca %52'si bu alanda lider olduğunu bildirmiştir. Avrupa Bölgesi'ndeki DSÖ ülke ofislerinin neredeyse beşte biri (%19) dahil olmadığını bildirmiştir. Kırılgan, çatışmalardan etkilenen ve savunmasız (FCV) ortamlara sahip ülkelerle çalışan DSÖ ülke ofislerinin daha büyük bir yüzdesi, kırılgan, çatışmalardan etkilenen ve savunmasız (FCV) ortamlara sahip olmayan ülkelere göre politika diyalogu, stratejik destek ve hizmet sunumu için DSÖ bölgesel ofislerinden veya alt bölge ofislerinden veya genel merkezinden daha fazla oranda COVID-19 desteği aldığını bildirmiştir (WHO, 2021)

Tablo 2: COVID-19 Finansal Kaynaklar

DSÖ Bölgeleri:	Planlanan Toplam	Toplam Mevcut ve Toplam Planlanan
Afrika	US\$ 420 593 981	US\$ 392 145 045 (93%)
Amerika	US\$ 70 689 000	US\$ 83 219 673 (118%)
Doğu Akdeniz	US\$ 898 937 985	US\$ 879 274 418 (98%)
Avrupa	US\$ 192 869 744	US\$ 187 200 431 (97%)
Güneydoğu Asya	US\$ 111 326 113	US\$ 102 643 602 (92%)
Batı Pasifik	US\$ 50 933 654	US\$ 45 258 018 (89%)



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Toplam	US\$ 1 754 350 477	US\$ 1 689 741 187 (97%)
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Kaynak: WHO presence in countries, territories and areas 2021 Report.

31 Aralık 2020 itibarıyla, 2019-2020 DSÖ Programı bütçesi kapsamında planlanan toplam fonların %97'sini temsil eden COVID-19 dahil olmak üzere DSÖ ülke düzeyinde salgınlar ve kriz müdahalesi çalışmaları için toplam 1 689 741 187 ABD Doları olduğu görülmüştür.

#### 4. SONUÇ

Covid 19 Pandemisi'nin dünya ülkelerinde yürütülen sürdürülebilir sağlık politikaları üzerinde önemli bir baskı unsuru olduğu görülmüştür. Bu dönemde COVID-19 pandemisi, bulaşıcı hastalıkların sınır tanımadığını ciddi bir şekilde tüm dünyaya hatırlatmış ve DSÖ'nün izlediği stratejiler ve ülkelerdeki DSÖ ofislerinin rolünün önemi ortaya çıkmıştır. Mevcut durum ülkelerin gelir seviyelerinin yüksek olması veya sağlık sistemlerinin güçlü olmasına bağlı kalmaksızın, tüm ülkeler kırılganlaştırmış ve etkilemiştir. Dünyada milyonlarca insan haftalar süren tam bir izolasyon sürecini yaşamış ve çok büyük bir oranda kişi de hayatını kaybetmiştir. Korona virüsün yayılma hızı ve yol açtığı yıkım tüm bölgeleri son derece olumsuz biçimde etkilemiştir. Yaşanan süreçte, DSÖ ülke ofisleri, her türlü sağlık acil durumunu ele alabilmeleri için, acil duruma hazırlık ve müdahale edebilmeleri için ulusal kapasitelerini geliştirme sürecinde üye devletleri desteklemiştir. Ülke ofisleri, Ocak 2019 ile Ağustos 2020 arasında, bir ülkedeki 856 doğal afet hariç olmak üzere, en çok rapor edilen hastalık salgınları/salgınları (%45), ardından doğal afetler (%37) olmak üzere toplam 1501 acil sağlık olayı bildirmiş ve bu acil durumlara yanıt vermek için çoğu DSÖ ülke ofisi, acil durum hazırlık kapasitelerinin güçlendirilmesi (%91), teknik destek (%81), hızlı tespit, risk değerlendirmesi ve iletişim (%81) ve çok sektörlü eylemin savunulması (%80) için destek sağlamıştır. Bu çalışmada, DSÖ'nün sağlıkla ilgili acil durumlara hazırlanma ve bunlara müdahale etme konusunda ülkeleri desteklemeye yönelik eylemleri, sağlıkla ilgili acil durumlar için DSÖ ülke ofislerinin mali kaynakları ve etkinleştirme hakkında bilgi sunmaktadır. DSÖ'nün sağlıkla ilgili acil durumlara hazırlanma konusundaki temel taahhüdünün bir sonucu olarak, DSÖ ülke ofislerinin, uluslararası öneme sahip halk sağlığı acil durumu (PHEIC) olarak ilan edilen COVID-19 ile mücadelelerinde ülkelere proaktif ve hızlı destek sağlamaya hazır oldukları açıkça görülmüştür. Tüm bölgelerdeki ülke ofisleri, personel alımı ve işgücünün yeniden kullanılması yoluyla pandemi sırasında üye devletleri destekleme kapasitelerini artırdığı tespit edilmiştir. Bu süreçte yaşananlar, DSÖ'nün ülkelere etkili ve zamanında hazırlık ve müdahale desteği sağladığını kanıtlamaktadır.

DSÖ'nün pandemi sırasında ülkeler düzeyindeki liderlik rolü sonucunda, o ülkelerdeki kalkınma ortakları, sivil toplum örgütleri, topluluklar ve diğerleri tarafından tanınmış ve örgütün desteğine ve rehberliğine güven artmıştır. Gelecek planlarında herkes için sağlık ve esenlik temelli hedefler belirlerken, DSÖ'nün dayanışma, ortak eylem ve hiç kimseyi geride bırakmamaya yönelik stratejisi ve adanmışlık seviyesindeki işleviyle, hep birlikte daha sağlıklı bir geleceğin inşasında ve sağlık sistemlerinin gelişiminde önemli yetki ve ağırlığa sahip olacağı ön görülmektedir.

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## Standart Almanca Sınavlarının Temel İlkeleri Bağlamında Almanca Konuşma Becerisinin Ölçme ve Değerlendirmesinin Betimlenmesi

Araş. Gör. Rahim Şentürk<sup>1</sup>

Prof. Dr. Handan Köksal<sup>2</sup>

<sup>1</sup>Araş. Gör. Trakya Üniversitesi, Trakya Üniversitesi Eğitim Fakültesi Yabancı Diller Eğitimi Bölümü Alman Dili Eğitimi Anabilim Dalı, Edirne. rahimsenturk@trakya.edu.tr. ORCID-ID NO: 0000-0002-3053-6784

<sup>2</sup>Prof. Dr. Trakya Üniversitesi, Trakya Üniversitesi Eğitim Fakültesi Yabancı Diller Eğitimi Bölümü Alman Dili Eğitimi Anabilim Dalı, Edirne. handankoksal@trakya.edu.tr. ORCID-ID NO: 0000-0002-6083-4723

**Özet:** Ölçme ve değerlendirme araçları olan sınavlar ve testler Yabancı dil olarak Almanca eğitimi ve öğretiminin vazgeçilmez bir parçasıdır. Almanca eğitiminde dört temel dil becerisinin öğrenilmesi kadar, bu becerilerin nasıl ölçülüp değerlendirileceği de önemlidir. Ölçme ve değerlendirmenin temel ilkeleri arasında Güvenilirlik, geçerlilik ve nesnellik yer almaktadır. Açık uçlu soru formatının yer aldığı üretici dil becerisi olan konuşma becerisinin ölçme ve değerlendirilmesinde bu temel ilkelerin sağlanabilirliği ve uygulanabilirliği dikkat edilmesi gereken noktaların en başında gelmektedir. Bu bakımdan çalışmada Almanca dil becerilerini ölçen uluslararası standart Almanca sınavların temel ilkelerinin konuşma becerisi özelinde betimlenmesi amaçlanmaktadır. Konuşma becerisinin ölçme ve değerlendirilmesinde temel ilkeler nasıl sağlanmaktadır sorusunun yanıtı aranmaktadır. Bunun için Uluslararası standart sınav özelliğini taşıyan üç farklı resmi Alman sınav merkezlerinin (Goethe Enstitüsü, TELC ve ÖSD) A2 dil seviyesi model sınavları örneklem olarak seçilerek ortak ve farklı yanları değerlendirilmiştir. Elde edilen verilerde konuşma becerisinin ölçme ve değerlendirme işlemleri Avrupa Ortak Başvuru Metni<sup>1</sup> ne dayanarak değerlendirilmiştir.

**Anahtar Kelimeler:** Almanca Konuşma Becerisi, Ölçme ve Değerlendirme, Temel İlkeler, Standart Almanca Sınavlar

### 1. Giriş

Ölçme ve Değerlendirme her alanda olduğu gibi eğitim sistemin de vazgeçilmez bir parçasıdır. Ölçme ve değerlendirmenin olmadığı bir yabancı dil eğitimi, bir Almanca eğitimi düşünülemez. Göçer (2007: 198) dersi planlama ve öğrenme- öğretme sürecine yön verme bakımından ölçme-değerlendirme çalışmalarının büyük bir öneme sahip olduğunu dile getirmektedir. Eğitim bağlamında özelde ise Almanca eğitiminde ölçme ve değerlendirmenin hedef konumu içinde “öğretim müfredatı ve programı” gelmektedir. Çağımızın eğitim ve öğretim yaklaşımları, ölçme ve değerlendirme yöntemlerini, soru tiplerini, değerlendirme ölçütlerini ve not-puan sistemini doğrudan etkilemektedir. Öğretim müfredatı, ders programları, dersin yöntemi ve işleniş ölçme ve değerlendirmenin çerçevesini oluşturan temel bileşenlerdir. Bu anlamda yabancı dil olarak Almanca eğitiminde yapılacak olan ilgili program ve müfredatın Avrupa Ortak Başvuru Metninde<sup>1</sup> yer alan kazanımlara uygun olması gerekmektedir.

Eğitim ve öğretim sürecinin sonunda öğrencilerden beklenen “davranış değişikliği” olduğunu ifade eden Boylu ve Altmışdört “bu değişikliğin ne derece gerçekleştiğini ise ancak sağlıklı bir ölçme ve değerlendirme ile mümkün olabileceğini” belirtmişlerdir (bkz. Altmışdört, 2010; Boylu, 2019). “Eğitim sürecinde, her bir öğrencinin kazandırılmak istenen davranış değişikliğini ne derece gerçekleştirdiği istenilen beceri ve yeteneğe ne düzeyde ulaşmış olduğu belirlenmeye çalışılır” (Kan, 2016: 2). Bunun için dört temel dil becerisini ve ilgili kazanımları ölçecek test ve sınavlar geliştirilmekte ve hazırlanmaktadır. Hazırlanan test ve sınavlarda öğrencinin hedef dildeki bu dört beceriyi ne denli kullanabildiği ve hâkim olduğu ölçmek istenilir. Özellikle okuma ve dinleme becerilerinin ölçülmesinde kapalı ve yarı-kapalı soru formatları kullanılırken, konuşma ve yazma becerilerinde açık soru formatları bulunmaktadır. İlgili becerinin ölçme ve değerlendirmesine yönelik farklı soru tiplerinin yer alması, beraberinde sağlıklı bir ölçme ve değerlendirmeyi getirmektedir. Altmışdört ’ün (2010: 176) de ifade ettiği gibi buradaki amaç, “öğrenci başarıları hakkında etkili ve hatasız ölçmeler yapmaktır”. Bu doğrultuda hazırlanan test ve sınavların, soru ve içeriklerin ve değerlendirme kriterlerinin ölçülmek istenilen hedef, beceri ve kazanımlara uygun olması gerekmektedir. Almanca eğitim sürecinde ölçme ve değerlendirme öğrencilerin hangi becerilerde, ne tür eksikliklerinin ya da güçlü yönlerinin olduğunu teşhis edebilmeyi sağlamaktadır. Böylelikle öğrencilerin başarı ve başarısızlıkları saptanarak bu alanla ilgili iyileştirme ve takviye eğitim çalışmaları oluşturulur. Ölçme ve

1 Avrupa Ortak Başvuru Metni, dil ekonomisi sebebiyle “AOBM” olarak ifade edilecektir. Bkz: Europarat (2001). Gemeinsamer europäischer Referenzrahmen für Sprachen: lernen, lehren, beurteilen. Berlin u.a.: Langenscheidt. <http://www.goethe.de/referenzrahmen>. [Erişim Tarihi: 04.03.2022].

değerlendirmede başarıyı sağlayabilmek için güvenilirlik, geçerlilik ve nesnellik gibi temel ilkeler (Alm. Gütekriterien) bulunmaktadır.

Bu çalışmada Almanca dil becerilerini ölçen uluslararası standart sınavların temel ilkelerinin konuşma becerisi özelinde betimlenmesi amaçlanmıştır. Almanca konuşma becerisinin ölçme ve değerlendirilmesinde temel ilkelerin neler olduğu ve Goethe, Telc ve ÖSD sınavlarında temel ilkelerinin neler olduğu sorularının yanıtları aranmaya çalışılacaktır. Bunun için uluslararası standart sınav özelliğini taşıyan üç farklı resmi Alman sınav merkezleri Goethe Enstitüsü<sup>2</sup>, Telc<sup>3</sup> ve ÖSD<sup>4</sup> A2 dil seviyesi model sınavları örneklem olarak seçilmiştir. Uluslararası güvenilirliği ve geçerliliği olan bu sınavlardaki temel ilkeler değerlendirilmiştir. Konuşma becerisi bağlamında ise, her bir sınavın sorusu, puanlaması, süresi ve değerlendirilme ölçütü karşılaştırılmıştır. Yapılan karşılaştırmalar sonucu her bir sınavın konuşma becerisini ölçme ve değerlendirmesinde farklı ve ortak yönleri AOBM kapsamında betimlenmiştir.

## 2. Almanca Eğitiminde Ölçme ve Değerlendirmenin Temel İlkeleri

Almanca eğitiminde konuşma becerisinin ölçülmesinde öğrencinin sözlü serbest konuşabilme performanslarını ölçebilecek açık soru formatı kullanılması sebebiyle, yapılan ölçme ve değerlendirme işleminin geçerli, güvenilir ve nesnel olmasına dikkat edilir. Çünkü açık uçlu soru formatları, kapalı ya da yarı-açık soru formatına kıyasla daha subjektif değerlendirmeye açıktır. Kapalı ve yarı-açık sorularda cevapların net bir şekilde belli olmasından ve her bir sorunun bir doğru cevabı olduğundan dolayı puanlama nesnel olarak yapılmaktadır. Ancak öğrencinin sözlü performansını nesnel olarak değerlendirebilmek, puanlayabilmek ve bu değerlendirmeyi belli ölçütlere göre yapabilmek sınavı yapan kişinin kontrolündedir. Bu kontrolü sağlayan ölçme ve değerlendirmedeki temel ilkeleri ve değerlendirme ölçütlerini bilmesi ve uygulaması gerekir. Bu yetenek, öğrencilerin bilgilerini ve yeterliliklerini sağlıklı bir şekilde ölçebilmeyi ve doğru sonuçlara ulaşabilmeyi sağlar. Burada ölçme ve değerlendirme esnasında ortaya çıkacak hataları en aza indirmek ve öğrencilerin gerçek başarı ve performanslarını doğru teşhis edebilmek amaçlanmaktadır. Bu amaç için temel ilkeleri bilmek ve tam olarak yerine getirmek gerekmektedir. Bu bölümde bu temel ilkeler nelerdir, konuşma becerisinin ölçme ve değerlendirmesine ne gibi katkılar sunmaktadır ve konuşma sınavının hazırlanmasında bu temel ilkelerin uygulanması gibi hususlar ele alınmaktadır.

“Testler veya sınavlar, öğrencinin dilsel performansını mümkün olduğu kadar kesin olarak ölçmeli, mümkün olduğunca güvenilir bir şekilde ölçmeli ve mümkün olduğunca nesnel olarak değerlendirmelidir” (Albers & Bolton, 1995: 8). Dolayısıyla test teorisinde, testin karşılaması gereken üç temel ilkelerden bahsedilir. Ölçme ve değerlendirmenin temelini oluşturan “Geçerlilik, Güvenilirlik ve Nesnellik” Avrupa Ortak Başvuru Metninde Alm. (Gemeinsamer europäischer Referenzrahmen für Sprachen<sup>5</sup>) üzerinde önemle durulan üç temel ilkedir (Telc, 2013). “Testler geçerli olmalıdır; bir ölçme aracının ölçmek istediğiniz performansı tam olarak ölçmesi gerektiği anlamına gelir; Ayrıca testler güvenilir olmalıdır, yani performansı güvenilir bir şekilde ölçmeli ve performans değerlendirmesi mümkün olduğunca objektif olmalıdır” (Albers & Bolton, 1995: 21). Bu anlamda aracın (Test), amaca (Öğrenme hedefleri) hizmet etmesi gerektiği anlaşılmaktadır. Dolayısıyla üç temel ilke üzerine hazırlanmış test ve sınavlar, öğrencilerin yabancı dildeki bilgi ve yeterliliklerini ölçme ve değerlendirme bakımından güven teşkil edecektir. Her bir temel ilkenin eşit öneme ve paralel olarak birbirine bağlı olduğunu düşünülürse, birinde azalan bir nitelik diğer ilkeyi de doğrudan olumlu ya da olumsuz etkileyecektir. Örneğin, geçerliliği azalan bir testin

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2 Goethe-Enstitüsü, Federal Almanya Cumhuriyeti'nin tüm dünyada faaliyet gösteren kültür enstitüsüdür. Enstitü, Almancanın yurtdışında öğrenilmesini teşvik etmekte ve uluslararası kültürel işbirliği çalışmalarına katkıda bulunmaktadır. <https://www.goethe.de/ins/tr/tr/ueb/auf.html> [Erişim Tarihi: 10.03.2022].

3 Açılımı “The European Language Certificates” olan telc, “Avrupa Dil Sertifikaları” anlamına gelmektedir. Telc gGmbH, Alman Halk Eğitim Merkezleri Birliği (DVV e.V.)'nin bir kuruluşudur. Uluslararası standartlara uygun, adil, şeffaf ve güvenilir dil sınavları sunmaktadır. Telc programında 10 dilde 90'in üzerinde farklı dil sınavı bulunmaktadır. “telc Training” markası altında telc gGmbH özellikle yabancı dil eğitmenlerine yönelik kapsamlı bir eğitim programı da sunmaktadır. <https://www.telc.net/tr/hakkimizda/biz-kimiz.html> [Erişim Tarihi: 10.03.2022].

4 Almanca Avusturya Dil Diploması (ÖSD), yabancı ve ikinci dil olarak Almanca için devlet tarafından tanınan bir sınav sistemidir. ÖSD sınavları, uluslararası çerçeve yönergelerine karşılık gelir ve Avrupa Ortak Başvuru Metni (AOBM) ve Almanca profillerinin seviye açıklamalarına dayanır. ÖSD sınavları dünya çapında Almanca dil becerilerinin kanıtı olarak kabul edilmektedir. <https://www.osd.at/das-oesd/ueber-uns/> [Erişim Tarihi: 10.03.2022].

5 AOBM'nin (2001) amaçlarından biri, test ve sınavlarının standartlarına göre beklenen beceri seviyelerini tanımlamaktır.

aynı zamanda güvenilirliği de azalacaktır. Bir sonraki bölümde ise konuşma becerisinin ölçme ve değerlendirilmesine yönelik gerekli olan temel ilkeler detaylıca açıklanmaktadır.

## 2.1 Geçerlilik

Geçerlilik, bir ölçme aracının amaca hizmet etme derecesini ifade eder. “Bir testin içeriğinin geçerli olup olmadığı ancak öğrenme hedeflerinin testin içeriği ile karşılaştırılmasıyla belirlenebilir” (Albers & Bolton, 1995: 22). Bu anlamda, öğrenme hedeflerinin ve test yapısının uyumlu olması ve ölçülecek konu, sınav soru formatının ve sorularının birbirine paralel olması gerekmektedir. Tekin (bkz. 1977) ise geçerliliği şöyle tanımlamaktadır: “bir ölçme aracının ölçmeyi amaçladığı özelliği, başka herhangi bir özellikle karıştırmadan, doğru ölçebilme derecesidir”. Kullanılan ölçüm aracıyla neyi ölçmek istiyoruz, maddelerimiz, amaç doğrultusunda ölçmek istediğimizi doğru olarak ölçebilir mi? sorularının yanıtını veren ilke geçerliliktir. Konuşma becerisinin ölçme ve değerlendirilmesinde ölçülmek istenilen kazanımlar ile test ve sınav yapısının uygun olması koşuluyla geçerlilik ilkesi sağlanmış olur. Bu anlamda konuşma becerisini ölçmeye yönelik soruların, AOBM’de belirtilen kazanımları ölçebilir nitelikte ve kapsamda olması gerekmektedir. Konuşma becerisinde geçerlilik, ölçülmek istenilen sözlü anlatım ve serbest konuşma gibi hedefleri ölçebilecek uygun ölçme aracı (test-sınav) geliştirildiğinde sağlanmış olur.

## 2.2. Güvenilirlik

Güvenilirlik, öğrencinin aynı performansını tekrarlanan ölçümünde her zaman benzer sonuç vermesi gerektiği, belirli bir dilsel başarının her zaman aynı puan değeri ile ilgilidir. Güvenilirlik ilkesinin, ölçmenin tutarlılığı ile ilgili olduğunu belirten Şemin (bkz. 2001) “bir testi değişik zamanlarda alan kişilerin o testten aldıkları puanlar veya sıralamaları değişmiyorsa o testin güvenilir olduğunu” ifade etmektedir. “Güvenilirlik, ölçüm aracının ve test sonuçlarının güvenilirliğinin farklı yönlerini ifade eder” (Grotjahn ve Kleppin, 2015: 50). Dolayısıyla konuşma becerisinde “güvenilirlik” ilkesini sağlayabilmek için, öğrencinin aynı performansının tekrar eden ölçümlerde aynı sonucu-puanı vermesi gerekmektedir. Bu şartları sağlayan sınav ve testlerin güvenilirlik oranı da o denli artmış olacaktır. Aynı şekilde güvenilirliği artan bir sınavın veya testin de geçerliliği de artacaktır. Konuşma becerisinin değerlendirilmesinde güvenilirlik, öğrencinin performansını doğru hesaplama ve önceden hazırlanan sistemli ve planlı puanlama anahtarına göre yapılması halinde artacaktır.

## 2.3 Nesnellik

Şemin’e göre (2001), “nesnellik ölçme işleminin farklı kişiler tarafından yapıldığında aynı sonucun alınmasıdır”. “Nesnellik puanlama ile ilgilidir. Nesnellik, aynı dilsel performansın tüm sınavı yapan kişiler tarafından eşit olarak değerlendirilmesi ile ilgilidir. Bu anlamda nesnellik, tüm test/sınav adaylarının önceden belirlenmiş aynı koşullar altında eşit olarak değerlendirilmesi anlamına gelmektedir. “Bir testin veya bir sınavın nesnelligi, test sonucunun değerlendirenden ne kadar bağımsız olduğunu belirler” (Kranert, 2013: 9). Tamamen objektif bir değerlendirmenin ideal olması durumunda, her sınav değerlendiricisi aynı testi değerlendirirken aynı sonuca varacağı anlamına gelmektedir. Konuşma becerisini ölçmede kullanılan açık soru formatları, değerlendirmenin subjektifliğe açık olmasını sağlamaktadır. Böylelikle sözlü test ve sınavlardaki değerlendirmenin nesnelligi azalabilmektedir. Bu durumu önleyebilmek için özellikle konuşma ve yazma becerilerinin ölçümünde AOBM’de yer alan değerlendirme tablolarından (Alm. Bewertungsrater) yararlanılmalıdır. “Geçerli bir test için nesnellik ve güvenilirlik gereklidir, yani bu kriterler karşılanmazsa test geçerli olamaz. Bu nedenle bir test güvenilirden daha geçerli olamaz” (Grotjahn & Kleppin, 2015). Konuşma becerisinin değerlendirilmesinde nesnellik, öğrencinin performansını iki farklı sınav görevlisi tarafından birbirlerinden bağımsız bir şekilde değerlendirmeleri ve puanlamanın aritmetik ortalaması alınarak nihai puanın verilmesi halinde artacaktır. Bu anlamda konuşma becerisinin hem ölçme hem de değerlendirilmesinde bu üç temel ilkenin belirtilen özelliklerine uygun olarak sınav ve testlerin yapılması gerekmektedir.

Yabancı dil öğretiminde ölçme ve değerlendirmenin birden çok farklı amacı bulunmaktadır. Bunlar arasında: öğrencilerin öğrenme hedeflerine gerçekten ulaşmış olduklarını tespit etmek, öğrencinin zayıf ve güçlü yanlarını teşhis etmek ve öğrencilere sağlıklı dönüt vermek olarak sayılabilir. Yabancı dilde ölçme ve değerlendirmede, dersin içeriklerinin ve hedef kazanımlarının ölçülmesinde farklı soru tiplerinden yararlanılmaktadır. Soru tipleri soruların açıklık derecesine göre; açık, yarı-açık ve kapalı sorular olmak üzere 3 ana kategoriye ayrılmaktadır.

Açık sorular daha çok konuşma ve yazma becerisini test etmeye yönelik kullanılır. Bir sözlü sınav veya mektup yazmak açık soru sınıflandırmasına girmektedir. Açık sorular söz konusu olduğunda, geçerlilik ve nesnellik değerlendirmesinin iki temel kriteri birbiriyle çatışır. Her iki temel kriteri de tam olarak karşılanamadığından, kesin olarak formüle edilmiş değerlendirme yönergeleri (bkz. AOBM, 2001) aracılığıyla değerlendirmenin öznelliği azaltılmaya çalışılır. Açık soru tarzlarını değerlendirirken ortaya çıkacak öznel değerlendirmenin önüne geçmek için, AOBM tarafından hazırlanan değerlendirme yönergelerinden faydalanılmalıdır.

“Yarı açık soru tarzına, öğrencinin hedef dilde kısa bir ifade üretmesi bir örnek olarak verilebilir” (Grotjahn & Kleppin, 2015: 66). Daha somut bir örnek olarak; dinleme ve okuma metinlerine ilişkin sorulara kısa cevaplar vermek yarı-açık soru formatına dâhil edilmektedir. Bu anlamda yarı açık soru maddeleri olası cevapların sayısını sınırlamaktadır. Aşağıda yarı-açık soru formatına yönelik örnek soru tipleri bulunmaktadır.

- Boşluk tamamlama soruları
- Close-test<sup>6</sup>
- C-test<sup>7</sup>
- Dikte soruları

Tüm bu yarı-açık soru formatları daha çok dilbilgisi ve kelime bilgisi becerilerini ölçmeye yönelik kullanılmaktadır. Bu tür soruların değerlendirilmesinde pratik ve kullanılabilirlik sağlayan cevap anahtarları kullanılarak puanlama yapılmaktadır.

Bir soruda birden fazla seçeneğin olduğu ve bu seçeneklerden birinin sadece doğru cevap, diğerlerinin çeldirici (yanlış cevap) olduğu sorular kapalı sorulardır. Bu soru tarzlarının en büyük avantajı ise, değerlendirmenin nesnel olmasıdır. Çünkü sadece bir seçenek doğru cevap olduğundan, değerlendirmeye öznellik karışmaz ve değerlendirme sistematik planlanmış cevap anahtarı ya da bilgisayar yardımıyla otomatik olarak gerçekleştirilir. Bu tür sorular arasında en başta ise çoktan seçmeli sorular (Alm. Multiple Choice Aufgaben) gelmektedir. Aşağıda kapalı soru formatına yönelik örnek soru tipleri bulunmaktadır.

- Çoktan Seçmeli Sorular- Alm. Multiple Choice Aufgaben
- Evet/Hayır Soruları - Alm. Ja / Nein Aufgaben
- Doğru Yanlış Soruları - Alm. Richtig / Falsch Aufgaben
- Eşleştirme Soruları- Alm. Zuordnungsaufgaben
- Alternatifli Sorular- Alm. Alternativformen

Tüm bu soru formatları genelde tüm becerilerin test edilmesinde kullanılırken, özelde daha çok okuma becerisi, dilbilgisi ve kelime bilgisi becerilerini ölçmeye yönelik kullanılmaktadır. Yabancı dil sınavlarında soru tiplerinin tam yapısı ve kullanımı, dil yeterliliğinin çeşitli alt becerilerinin incelenmesinde farklılıklar gösterir. Geleneksel olarak, dil becerilerinin konuşma dili ve yazılı dil ile üretici ve alıcı becerilere bölüdüğü bilinmektedir.

Okuma, dinleme ve dilbilgisi gibi becerilerin testlerinde kapalı ve yarı açık soru formatları daha baskın olduğundan, bu testlerin değerlendirilmesi daha kolaydır, çünkü buradaki gerçek değerlendirme, değerlendirme nesnelliği kriterini en basit şekilde yerine getirir. Konuşma ve yazma becerilerinin testlerinde ise daha çok açık soru formatları yaygın olarak kullanılmaktadır. Açık ve yarı-açık soruların, kapalı sorulara kıyasla bir noktaya kadar nesnel olarak değerlendirebilme imkânı vardır. Ancak serbest yazma ve konuşma becerilerin değerlendirilmesinde, analitik dereceli puanlama anahtarı veya değerlendirme yönergeleri kullanılarak değerlendirilenin öznelliği azaltılmış olup ve böylelikle sınavın güvenilirliği artmış olacaktır. Bu anlamda değerlendirme tablosu, değerlendiren kişiye rehberlik edecek ve beraberinde değerlendirme sürecine nesnellik ve güvenilirlik getirecektir. Bu tür standart ve güvenilir ölçüt tablosu ile değerlendiren kişi öğrenci yanlısı olmadan tarafsız bir şekilde öğrencinin performansını değerlendirebilir. Kapalı soru formatında ise sadece tek bir seçenek doğru cevap olduğundan dolayı, değerlendirme ve puanlamada nesnellik ve güvenilirlik ön plandadır.

<sup>6</sup> Close test, her cümlede bir kelimenin silindiği, uygun uzunlukta ve zorlukta bir metin olarak basitçe tanımlanabilir ve öğrencilerin doğru kelimeleri veya eşdeğerlerini doldurarak tamamlamaları gerekir (Sattarpour, S. ve Ajideh, P., 2014).

<sup>7</sup> C-Test, tematik olarak farklı birkaç kısa metnin sunulduğu, açıkça tanımlanmış bir boşluk testidir. İkinci cümlenin ikinci kelimesinden itibaren her ikinci kelimenin ikinci yarısı silinir. Lesetipp: Grotjahn, Rüdiger (2002): Konstruktion und Einsatz von C-Tests. Ein Leitfaden für die Praxis. In Rüdiger Grotjahn (Hrsg.): Der C-Test. Theoretische Grundlagen und praktische Anwendungen. Bochum: AKSVerl, S.211–225. Available online at [http://homepage.ruhr-uni-bochum.de/Ruediger.Grotjahn/Grotjahn\\_KonstruktionCTest\\_2002.pdf](http://homepage.ruhr-uni-bochum.de/Ruediger.Grotjahn/Grotjahn_KonstruktionCTest_2002.pdf) (15/12/2021).

### 3. Bulgular

Goethe Sertifikası A2, Telc (Start Deutsch A2) ve ÖSD A2 yetişkinler için bir Almanca sınavlarıdır. Çok basit dil becerilerini yönelik olan bu sınavlar AOBM çerçevesinin altı seviyeli yeterlilik ölçeğindeki birinci seviyeye (A2) karşılık gelmektedir. Bu sınavlar günümüzde güncel olarak Goethe Enstitüsü, Telc ve ÖSD kurumları tarafından ülkemizde ve dünya çapında yapılmaktadır. Aşağıdaki tablo, her üç sınav merkezinin hazırlamış oldukları A2 sınavı bölümleri ve puanlaması hakkında genel bir bilgi vermektedir.

Tablo 2: Goethe, Telc ve ÖSD A2 Sınavı Bölümleri ve Puanlama

A2 Sınavlar	Ölçmek İstenilen Dil Becerileri				Puan (Punkte)
	Okuma (Lesen)	Dinleme (Hören)	Yazma (Schreiben)	Konuşma (Sprechen)	
Goethe Enstitüsü	25	25	25	25	<b>Toplam: 100</b>
Telc (Start Deutsch)	25	25	25	25	<b>Toplam: 100</b>
ÖSD	25	30	15	20	<b>Toplam: 90</b>

Tabloyu incelediğimizde, üç farklı sınavın dört temel dil becerisini ölçmek istediği bir sınav yapısı olduğu görülmektedir. Her bir becerinin puan dağılımları da eşittir. Sınava giren öğrenci, bu sınavdan max. 100 puan alabilir ve sınavı geçmek için en az 60 puan almalıdır. Bu tür standart sınavlarda dil becerileri birbirinden ayrı olarak ölçüldüğü tespit edilmiştir. Sadece ÖSD tarafından yapılan “Start Deutsch A2” sınavının beceri bazında puanlaması ve toplam puanı diğer sınavlara kıyasla farklıdır.

#### 3.1. Goethe Enstitüsünün A2 Konuşma Sınavı

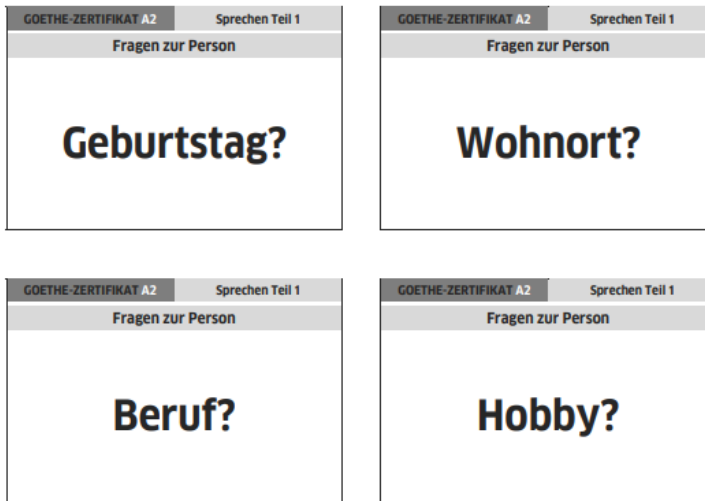
Goethe A2 konuşma sınavı bölümünde üç bölüm bulunmakta olup, her bir bölümde sadece bir temel soru sorulmaktadır. Konuşma sınavının ilk bölümünün ilk sorusu aşağıdaki gibidir.

Şekil 2: Goethe A2 Konuşma Sınavı Birinci Bölümün Birinci Sorusu



##### Teil 1

Sie bekommen vier Karten und stellen mit diesen Karten vier Fragen.  
Ihr Partner/Ihre Partnerin antwortet. Dann stellt Ihr Partner/Ihre Partnerin vier Fragen und Sie antworten.



Sorunun yönergesi şu şekildedir: dört kart alınız ve bu kartların içinde yer alan konuya ilişkin dört soru sorunuz. Partneriniz de bu sorulara cevap verecektir. Daha sonra ise aynı şekilde Partneriniz size sorular soracak ve bu sefer siz cevaplayacaksınız. Sırasıyla kartlara baktığımızda Geburtstag (doğum günü), Wohnort (oturduğu yer), Beruf (meslek) ve Hobby (hobi) konuları yer almaktadır. Kartlarda yer alan konu başlıkları adayın kendini

tanıtmasına (Alm. sich vorstellen) yöneliktir. Konuşma sınavındaki bu konu başlıkları, AOBM 'de (2001: 35) belirtilen A2 seviyesi konuşma yeterliliklerine denk gelmekte olduğu tespit edilmiştir. AOBM'de belirtilen konuşma yeterlilikleri şu şekildedir: "Örneğin ailesini, diğer insanları, barınma durumunu, eğitimi ve şimdiki veya son işini tanımlamak için bir dizi cümle ve basit araçlar kullanılabilir". Bu bakımdan konuşma sınavının ilk sorusu, öğrencinin A2 düzeyindeki konuşma yeterliliklerini ölçmekte olduğundan maddenin (sorunun) geçerliliği yüksektir. Bu durumda öğrencilerin hangi seviyedeki yeterliliklere sahip olması gerektiği AOBM'de yer alan konuşma yeterlilikleri dikkate alınarak, ilgili yeterliliklerin hangi ve ne tür sorularla ölçülebileceğini önceden belirlemek gerekmektedir.

A2 konuşma sınavının değerlendirme ölçütlerin sınavın ek bölümünde şeffaf bir şekilde yer almaktadır. Bu durum ilgili sınava girecek öğrencinin, konuşma sınavında hangi ölçütlere ve hususlara dikkat etmesi gerektiğini önceden bilmiş olacaktır. Goethe A2 konuşma sınavının değerlendirilmesine yönelik konuşma ölçütleri aşağıdaki tabloda yer almaktadır.

Şekil 3: Goethe A2 Sınavı – Konuşma Becerisi Değerlendirme Ölçütleri<sup>8</sup>

	A	B	C	D	E	
Aufgabenerfüllung No. 4, 2007	Sprachfunktion	angemessen	überwiegend angemessen	teilweise angemessen	kaum angemessen	Gesprächsanteil nicht bewertbar
	Interaktion	angemessen	überwiegend angemessen	teilweise angemessen	kaum angemessen	
	Register	situations- und partneradäquat	weitgehend situations- und partneradäquat	ansatzweise situations- und partneradäquat	nicht mehr situations- und partneradäquat	
Sprache	Spektrum: Wortschatz Strukturen	angemessen und differenziert	überwiegend angemessen	teilweise angemessen	kaum angemessen	Äußerung durchgängig unangemessen
	Beherrschung: Wortschatz Strukturen	vereinzelt Fehlgriffe beeinträchtigen das Verständnis nicht	mehrere Fehlgriffe beeinträchtigen das Verständnis nicht	mehrere Fehlgriffe beeinträchtigen das Verständnis teilweise	mehrere Fehlgriffe beeinträchtigen das Verständnis erheblich	
Aussprache	Satzmelodie Wortakzent einzelne Laute	einzelne Abweichungen beeinträchtigen das Verständnis nicht	systematisch vorkommende Abweichungen beeinträchtigen das Verständnis nicht	Abweichungen beeinträchtigen das Verständnis stellenweise	starke Abweichungen beeinträchtigen das Verständnis erheblich	nicht mehr verständlich

Sözlü dil performansını değerlendirmek için kullanılan bu kılavuz, AOBM'de (2001: 37) belirtilen temel ölçütlere dayanmaktadır. Yukarıdaki değerlendirme ölçütünde toplam üç ana başlık yer almaktadır. Bunlar sırasıyla: görev tamamlama (Alm. Aufgabenerfüllung), dil (Alm. Sprache), telaffuz (Alm. Aussprache). Bu temel ölçütlerin içinde alt ölçütler de bulunmaktadır. Bu alt ölçütler şu şekildedir:

- **Görev Tamamlama ölçütü içinde:** dil işlevi, etkileşim yer almaktadır.
- **Dil ölçütü içinde:** kelime hazinesi, dilsel yapılar bulunmaktadır.
- **Telaffuz ölçütü içinde:** cümle melodisi, kelime vurgusu ve tek sesler vardır.

Bu ölçütler A'dan E'ye kadar yer alan maddelere<sup>9</sup> göre değerlendirilmektedir. Değerlendirme işlemini iki ayrı denetleyici yapmaktadır. Daha sonra her bir denetleyicinin vermiş olduğu puanlar toplanıp, ikiye bölünerek puanların aritmetik ortalaması alınır. Alınan bu ortalama öğrencinin konuşma sınavından aldığı nihai puan

8 Kaynak: [https://www.goethe.de/pro/relaunch/prf/materialien/A2/A2\\_Modellsatz\\_Erwachsene.pdf](https://www.goethe.de/pro/relaunch/prf/materialien/A2/A2_Modellsatz_Erwachsene.pdf) [Son Erişim: 6.3.2022].

9 A-angemessen: uygun

B-überwiegend angemessen: çoğunlukla uygun

C-teilweise angemessen: kısmen uygun

D-kaum angemessen: pek uygun değil

E-unangemessen: uygun değil

Bu çeviri Araştırmacı tarafından yapılmıştır.



niteliğindedir. Yapılan bu işlem, üretken bir beceri olan konuşma becerisinin ölçme ve değerlendirmesinde ortaya çıkabilecek subjektif değerlendirmenin önüne geçerek, subjektif değerlendirme ve puan vermeyi azaltmaktadır. Dolayısıyla bu yaklaşım sınavın nesnellik özelliğini artıran etkili faktörlerden birisidir. Bu anlamda Goethe A2 konuşma sınavının değerlendirilmesi nesnellik ilkesine uygun bir şekilde yapılmakta olduğu söylenebilir. Bir diğer nokta ise; Goethe A2 konuşma sınavının sorusunun anlaşılır, cevaplanabilir olması ve ayrıca objektif bir şekilde puanlanabilmesi bakımından sınavın güvenilirliği artıran özellikler arasındadır.

### 3.2. Telc A2 Konuşma Sınavı

Telc A2 konuşma sınavı toplam üç bölümden oluşmaktadır. Yaklaşık 15 dk. süren konuşma sınavının ilk bölümü aşağıdaki gibidir:

Şekil 4: Telc A2 Konuşma Sınavı Birinci Bölümün Birinci Sorusu<sup>10</sup>

#### Teil 1

#### Sich vorstellen

Name? (isim)

Alter? (yaş)

Land? (ülke)

Wohnort? (oturduğu yer)

Sprachen? (konuştuğu/bildiği diller)

Beruf? (meslek)

Hobby? /hobi)

Yukarıda görüldüğü üzere, bir dizi sıra halinde olan bu konu başlıkları sınava giren adayın kendini tanıtmaya yöneliktir. Adayın adından yaşına, ülkesinden hobilerine kadar ve yaşam konularına ilişkin kendini tanıtmaya istenilmektedir. Konuşma sınavındaki bu konu başlıkları, AOBM’de (2001: 35) belirtilen A2 seviyesi konuşma yeterliliklerine denk gelmekte olduğu tespit edilmiştir.

Bu bakımdan AOBM çerçevesinde belirtilen A2 seviyesi konuşma kazanımlarına yönelik hazırlanan bu madde (soru) ölçülmek istenen kazanımları doğrudan ölçmekte olduğundan geçerliliği yüksektir. Bunun en temel sebebi ise, hazırlanan Telc A2 konuşma sınavı sorusu AOBM’de yer alan konuşma yeterlilikleri dikkate alınarak, ilgili yeterlilikleri ölçebilecek niteliğe sahip olmasıdır.

Telc A2 konuşma sınavının değerlendirme ölçütlerin sınavın ek bölümünde şeffaf bir şekilde yer almaktadır. Bu anlamda ilgili sınava girecek öğrencinin, konuşma sınavında hangi ölçütlere ve hususlara dikkat etmesi gerektiğini önceden bilmiş olacaktır. Telc A2 konuşma sınavının değerlendirilmesine yönelik konuşma değerlendirme ölçütleri aşağıdaki tabloda yer almaktadır.

Şekil 5: Telc A2 Sınavı – Konuşma Becerisi Değerlendirme Ölçütleri<sup>11</sup>

	Punkte	
Erfüllung der Aufgabenstellung und sprachliche Realisierung	volle Punktzahl	Aufgabe voll erfüllt und verständlich
	halbe Punktzahl	Aufgabe wegen sprachlicher und inhaltlicher Mängel nur teilweise erfüllt
	0 Punkte	Aufgabe nicht erfüllt und/oder unverständlich

10 Kaynak: [https://www.telc.net/fileadmin/user\\_upload/telc\\_deutsch\\_a2\\_uebungstest\\_1-1.pdf](https://www.telc.net/fileadmin/user_upload/telc_deutsch_a2_uebungstest_1-1.pdf) [Son Erişim: 6.3.2022].

11 Kaynak: [https://www.telc.net/fileadmin/user\\_upload/telc\\_deutsch\\_a2\\_uebungstest\\_1-1.pdf](https://www.telc.net/fileadmin/user_upload/telc_deutsch_a2_uebungstest_1-1.pdf) [Son Erişim: 6.3.2022].

Yukarıdaki yer alan iki kritere göre katılımcıların performansını değerlendirilmektedir. Bu kriterler sırasıyla:

- **Erfüllung der Aufgabenstellung** (görev tamamlama)
- **Sprachliche Realisierung** (dilsel gerçekleştirme)

Soru aday tarafından:

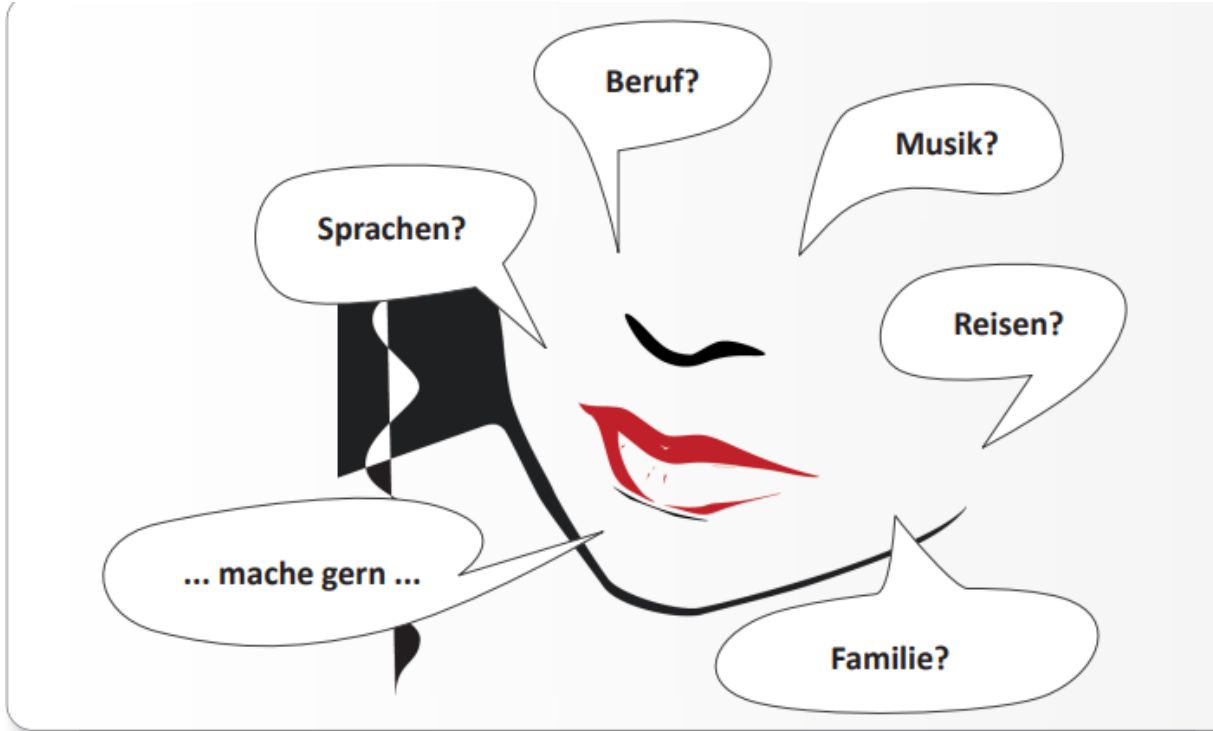
- Tam bir şekilde anlaşılır olarak yanıtlanırsa tam puan (Alm. volle Punktzahl) alır.
- Soru yalnızca kısmen dil ve içerik sorunları nedeniyle yerine getirilirse yarım puan (Alm. halbe Punktzahl) alır.
- Soru tam yerine getirilmedi veya anlaşılmaz cevaplandı ise sıfır puan (Alm. null Punkte) alır.

Sınav görevlileri değerlendirmelerini karşılaştırır ve ortak bir değerlendirme üzerinde anlaşarak, puanların aritmetik ortalaması alınarak adayın nihai puanı belirlenir. Bu durum subjektif değerlendirmenin önüne geçerek, değerlendirmenin nesnellik ilkesine uygun olarak yapıldığını göstermektedir. Bu anlamda Telc A2 konuşma sınavının değerlendirilmesi nesnellik ilkesine uygun bir şekilde yapılmakta olduğu söylenebilir. Ayrıca Telc A2 konuşma sınavının sorusunun anlaşılır, cevaplanabilir olması ve ayrıca objektif bir şekilde puanlanabilmesi, sınavın güvenilirliği artıran özellikler arasındadır.

### 3.3. ÖSD Start Deutsch A2 Konuşma Sınavı

ÖSD A2 konuşma sınavı toplam iki sorudan oluşmakta olup, yaklaşık 10 dk. sürmektedir. Konuşma sınavının ilk sorusu şu şekildedir:

Şekil 6: ÖSD A2 Konuşma Sınavı Birinci Bölümün Birinci Sorusu<sup>12</sup>



Yukarıdaki şekilde görüldüğü üzere bir dizi sıra halinde konuşma başlıkları yer almaktadır. Bu konu başlıkları: konuştuğu diller (Alm. Sprachen), meslek (Alm. Beruf), müzik (Alm. Musik), seyahat (Alm. Reisen), aile (Alm. Familie) ve yapmaktan hoşlandıkları (Alm. mache gern...). Sınava giren adaydan konuştuğu dillerden, yaptığı mesleğe ve hobilerine kadar kendini tanıtmayı istenilmektedir. Konuşma partnerleri karşılıklı olarak seçtikleri konularla ilgili birbirleriyle karşılıklı soru-cevap şeklinde konuşurlar. Her bir konu için partnerlerden minimum iki ya da üç cümle istenilmektedir. Konuşma sınavındaki bu konu başlıkları, AOBM' de (2001: 35) belirtilen A2 seviyesi konuşma yeterliliklerine denk gelmektedir.

AOBM çerçevesinde belirtilen A2 seviyesi konuşma kazanımlarına dayanarak hazırlanan bu madde (soru) ölçülmek istenen kazanımları doğrudan ölçmekte olduğundan geçerliliği yüksektir. Bunun en temel sebebi ise,

12 Kaynak: <https://www.osd.at/en/exams/oesd-exams/oesd-zertifikat-a2-za2/> [Son Erişim: 6.3.2022].

hazırlanan ÖSD A2 konuşma sınavı sorusu AOBM’de yer alan konuşma yeterlilikleri dikkate alınarak, ilgili yeterlilikleri ölçebilecek niteliğe sahip olmalıdır.

Sözlü sınavda gösterilen performanslar iki sınav görevlisi tarafından bağımsız olarak değerlendirilmektedir. Sözlü sınavı Değerlendirme, AOBM’de tanımlanmış değerlendirme kriterlerine dayanmaktadır (bkz. Gesamtbogen und Modellsatz auf [www.osd.at](http://www.osd.at)). ÖSD A2 konuşma sınavının değerlendirilmesine yönelik konuşma değerlendirme ölçütleri aşağıdaki tabloda yer almaktadır.

Şekil 7: ÖSD A2 Sınavı – Konuşma Becerisi Değerlendirme Ölçütleri<sup>13</sup>

<b>Aufgabe 1: Produktives Sprechen (Sich vorstellen)</b>	Folienblatt (Version):	<input type="text"/>					
<b>Erfüllung der Aufgabe – Inhaltliche Angemessenheit und Textproduktion:</b>							
<b>Anforderungen GER/Profile deutsch:</b>							
• Kann mit einfachen Mitteln die eigene Herkunft und Ausbildung, die direkte Umgebung und Dinge im Zusammenhang mit unmittelbaren Bedürfnissen beschreiben.							
• Kann Wortgruppen und einfache Sätze verbinden, z. B. mit einfachen Konnektoren wie „und“, „aber“ oder „weil“.							
<b>Spezifische Anforderungen für diese Aufgabe:</b> Aufgabe inhaltlich voll erfüllt = über 5 Themen ausreichend und im Ausdruck angemessen gesprochen; weitgehend monologische Textproduktion, Textkohärenz							
trifft voll zu	3	trifft teilweise zu	2-1	trifft kaum/nicht zu	0	<b>erreichte Punkte:</b>	<input type="text"/>

Yukardaki değerlendirme tablosunda üç temel ölçüte yer almaktadır. Bunlar şu şekildedir:

- **Erfüllung der Aufgabe:** görevi tamamlama
- **Inhaltliche Angemessenheit:** içeriksel uygunluk
- **Textproduktion:** metin (sözlü) üretimi

Sınavta katılan adaylardan AOBM’de belirtilen aşağıdaki yeterliliklere sahip olması beklenmektedir:

- “basit dil yapıları ile yaşadığı yer, ailesi ve eğitimi hakkında kendini ifade edebilir” (bkz. AOBM, 2001).
- “kelime gruplarıyla basit cümleler kurabilir; örneğin “aber (ama)” ya da “weil (sebebinden dolayı)” gibi basit bağlaçları kullanarak” (bkz. AOBM, 2001).

Adayın sözlü sınav performansının değerlendirilmesinde, sınav görevlileri değerlendirmelerini karşılaştırır ve ortak bir değerlendirme üzerinde anlaşarak, puanların aritmetik ortalaması alınarak adayın nihai puanı belirlenir. Bu durum subjektif değerlendirmenin önüne geçerek, değerlendirmenin nesnellik ilkesine uygun olarak yapıldığını göstermektedir. Bu anlamda ÖSD A2 konuşma sınavının değerlendirilmesi nesnellik ilkesine uygun bir şekilde yapılmakta olduğu söylenebilir. Ayrıca ÖSD A2 konuşma sınavının sorusunun anlaşılır, cevaplanabilir olması ve ayrıca objektif bir şekilde puanlanabilmesi, sınavın güvenilirliği artıran özellikler arasındadır.

#### 4. Sonuç

Çalışmada Almanca dil becerilerini ölçen uluslararası standart sınavların temel ilkelerinin konuşma becerisi özelinde betimlenmeye çalışılmıştır. Elde edilen veriler kapsamında Alman sınav merkezleri (Goethe Enstitüsü, TELC ve ÖSD) tarafından hazırlanan ve yürütülen A2 Almanca konuşma sınavının, ölçme ve değerlendirme temel ilkeleri olan geçerlilik, güvenilirlik ve nesnellik ölçütlerine bağlı kalınarak gerçekleştirilmektedir. Konuşma sınavlarında kullanılan soruların niteliği ve sonuçların değerlendirilmesinde kullanılan ölçüt sistemlerin AOBM’de belirtilen tanımlara göre düzenlenmektedir. Soru formatının seçiminde en belirleyici faktör ise dil becerisi olduğundan yola çıkarak, üretken bir dil becerisi olan konuşma becerisinin ölçülmesinde açık soru formatının her üç farklı sınavda kullanıldığı görülmektedir. Dolayısıyla ölçmek istenilen özellik (beceri) ile buna uygun seçilen ölçüm aracının (soru formatı) uygundur. Bu durum sınavların geçerliliğini artırdığı gibi güvenilirliğini de artıran bir diğer etkidir. Çalışma kapsamında incelenen üç farklı sınavın konuşma becerisini ölçmede:

- Soru tipi ve içeriğinin,
- Soru yönergesinin,
- Soru sayısının,
- Soruların cevaplanma süresinin benzerlik göstermektedir.

13 Kaynak: [https://www.osd.at/wp-content/uploads/2018/10/za2\\_auswertungsbogen\\_sprechen.pdf](https://www.osd.at/wp-content/uploads/2018/10/za2_auswertungsbogen_sprechen.pdf) [Son Erişim: 6.3.2022].

Konuşma becerisini değerlendirmede ise:

- AOBM 'de belirtilen yeterliliklere dayanarak farklı alt ölçütlere yer verildiği,
- Değerlendirmenin önceden belirtilen değerlendirme tablosuna uyarak yapılması,
- Her bir sınav merkezinin AOBM'ye bağlı kalarak oluşturduğu kendine özgü değerlendirme tablosunun bulunduğu,
- Belirtilen alt ölçütlerin önemine göre farklı puanlamanın yapıldığı,
- Konuşma sınavının iki farklı sınav görevlisi tarafından değerlendirildiği ve puanlandığı, puanların aritmetik ortalaması alınarak nihai puanın belirlendiği bilgisi elde edilmiştir. Çalışmadan elde edilen bilgiler ve incelenen standart sınavlar kapsamında konuşma becerisinin ölçme ve değerlendirilmesine ilişkin aşağıdaki öneriler geliştirilmiştir.

### Öneriler

- Konuşma becerisinin üretken bir dil becerisi olması, ölçülmesinde açık soru formatının kullanılması ve puanlamanın değerlendiren kişi tarafından kontrol edilmesi sebepleriyle, AOBM'de tanımlanan ölçütlere ve kazanımlara bağlı kalınarak doğru bir ölçme ve değerlendirme yapılmalıdır.
- Konuşma becerisinin değerlendirilmesini iki farklı denetleyici birbirinden bağımsız olarak yapmalı ve puanlamaya öznellik karışmamalıdır.
- Konuşma becerisini ölçmek için kullanılacak soru veya soruların ölçmek istenilen kazanımlara uygun olmalıdır.
- Konuşma becerisini ölçmede kullanılacak sorular öğrencilerin yanıtlayabileceği dil seviyesi kazanımlarına göre hazırlanmalıdır.
- Test ve sınav yönergeleri açık, anlaşılır ve net olmalıdır.
- Soruların cevaplanma süresi, puanlama ve değerlendirmede dikkat edilecek ölçütlerin öğrenciye önceden şeffaf bir şekilde bildirilmelidir.
- Konuşma sınavı başlamadan önce öğrenciyi motive edecek, kendini tanıtmaya gibi giriş konuşması yapılmalıdır.

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## Yabancı Dil Olarak Almanca Öğretiminde Jeanslyrik: “Wir 68er” Adlı Jeans Şiirinin Uyarlanma Önerisi

Araş. Gör. Rahim Şentürk

Prof. Dr. Hikmet Asutay

<sup>1</sup>Araş. Gör. Trakya Üniversitesi, Trakya Üniversitesi Eğitim Fakültesi Yabancı Diller Eğitimi Bölümü Alman Dili Eğitimi Anabilim Dalı, Edirne. rahimsenturk@trakya.edu.tr. ORCID-ID NO: 0000-0002-3053-6784

<sup>2</sup>Prof. Dr. Trakya Üniversitesi, Trakya Üniversitesi Eğitim Fakültesi Yabancı Diller Eğitimi Bölümü Alman Dili Eğitimi Anabilim Dalı, Edirne. asutay@trakya.edu.tr . ORCID-ID NO: 0000-0002-0533-7708

**Özet:** Ergenlik romanına yakın bir tür olan Jeans yazını 1970’lerde Almanya’da ortaya çıkan bir gençlik yazını türüdür. Jeans yazını türleri, ergenlik dönemindeki gelişim evresini de ele aldığından, ergen romanının bir parçası olarak görülmüştür. Almanya’da ortaya çıkan öğrenci hareketlilikleri sonucunda Jeans yazını gençler tarafından çok hızlı bir şekilde özdeşleşmiştir. Dolayısıyla gençliğin protestoları ve hareketleri çocuk ve gençlik edebiyatında hızlı bir etki yaratmıştır. Bu etkilerin izleri Jeans yazınının şiir, düzyazı ve roman türlerinde de görülmektedir. Bu çalışmada Jeans yazını türlerinden biri olan “Jeanslyrik” yazınsal türünün yabancı dil olarak Almanca öğretimine yönelik uyarlanmasına ve ders materyali olarak kullanılmasına ilişkin örnek bir ders planının ve modelinin hazırlanması amaçlanmıştır. Bu amaç doğrultusunda yazın türü olan Jeanslyrik’in, Yabancı dil olarak Almanca öğretiminde ve dil becerilerinin gelişiminde nasıl ve ne ölçüde verimli bir şekilde kullanılabilir sorusunun yanıtı aranmıştır. Çalışmada betimsel araştırma tekniklerinden doküman inceleme yöntemi tercih edilmiştir. Araştırma kapsamında elde edilen bilgiler ve literatür taraması sonuçlarından hareketle ders materyali olarak Horst Fleitmann’ın “Wir 68er” adlı şiiri seçilmiştir. Hazırlanan örnek ders modeli Almanca öğrenenlere yönelik olup, Avrupa Dilleri Ortak Çerçeve Programına göre B1 dil seviyesine göre hazırlanmıştır.

**Anahtar Kelimeler:** Gençlik Yazını, Jeanslyrik, Yabancı Dil Olarak Almanca, Ders Materyali Olarak Şiir

### 1. Giriş

“Jeanslyrik” yazınbilimsel terimi gençlik yazını kavramı altında anılan bir türdür. Bu tanıma geçmeden önce gençlik yazını ve romanlarına da kısaca değinmekte yarar vardır. Gençlik yazını bağlamında roman yine gençlik romanı olarak adlandırılmaktadır. Gençlik romanı terimi, gençlerin kendi alt kültürü, gençlik dili ve dünyalarına yer veren ve kahramanları genç bireyler olan her tür romanı kapsar. Bunlara örneğin gençlik tarihsel roman, bilimkurgu romanı, polisiye roman, fantastik roman ve ayrıca gençlik romanlarının bir alt türü olan ve kimlik bunalımları ana konusu etrafında kurgulanan bir alt tür olarak ergen romanı da dâhildir. “Ergen romanı” terimi, 1980’lerden itibaren yalnızca çocuk ve gençlik edebiyatı araştırmalarında kullanılan ve ancak 1990’ların başında yerleşen genel bir terimdir. Ergen romanı, kahramanların içsel işleyişi ve psikososyal gelişimi ile ilgilenir. Genel olarak ergen bireyin kimlik edinme süreci ve bu süreçte yaşadığı ergenlik bunalımları, çatışmaları gibi konular ergen romanın ana temasıdır. Roman kurgusu içinde yer verilen hikaye bu ana temanın etrafında şekillenir. “Ergenlik döneminde, ergen yoğun bir biçimde fiziksel ve ruhsal değişimler yaşamakta, bu hızlı değişimlere ayak uydurmaya çalışırken bir taraftan da duygusal açıdan yeni, farklı hisleri oluşmaya başlamaktadır” (Bayhan ve Işıtan, 2010: 33). Ergenlik romanlarının içinde değişen toplum, aile ve boş zaman kültürü ile bağlantılı olarak ergenlik ve ergenlik değişiklikleri görülebilir. Ergenlik romanları, olası bir kimlik krizine ek olarak, bireyleşme ile mevcut toplumla bütünleşme arasındaki gerilimin odak noktası olduğu romanlardır. Böylece romandaki kahraman bireysel ve mevcut toplum normları arasında kendini bölünmüş hisseder. Terim, Anglo-Amerikan “ergenlik romanına” dayanmaktadır. Bugün, ABD’nin 20. yüzyıl literatüründe (bkz. Ewers 1989, 1991) yer almaktadır. Alan literatüründe sıklıkla bahsedilen bu kavramın klasik öncül örnekleri, Goethe “Genç Werther’in Acıları” (1774) ve Karl Philipp Moritz (1785-1790) tarafından yazılan “Anton Reiser” dir.

Gençlik yazını bağlamında düz yazı dışındaki diğer önemli tür elbette şiirdir ve gençlik şiirleri olarak anılır. Jeans yazını ise 1970’lerde Almanya’da ortaya çıkan ve dönemselsel olarak yetmişli yıllardaki öğrenci hareketlerine gönderme yapan yazın tarihsel bir şiir alt türüdür. Başlı başına “Jeans” kavramı Türkçe’de kot giysi anlamına gelmektedir ve öğrenci hareketleri döneminde gençlik alt kültürünün belli başlı simgelerinin de başında gelir. Jeans yazını Almanya’nın politik ve ekonomik durumlarından ve o dönemki öğrenci hareketlerinden kaynaklı ortaya çıkmıştır. “Jeans yazını önceleri bir yetişkin yazını iken, çok hızlı bir şekilde gençler tarafından özdeşleşilen bir yazın konumuna dönüşmüştür” (Asutay, 2013: 10). Asutay (bkz. 2013) Jeans yazınının aslında ergenlik romanı türünün bir alt türü olduğunu dile getirmiştir. Bunun en temel sebebi ise; Jeans yazını türleri, ergenlik

dönemindeki gelişim evresini de ele aldığından, ergen romanının bir parçası olarak görülmüştür. Almanya’da ortaya çıkan öğrenci hareketlilikleri sonucunda Jeans yazını gençler tarafından çok hızlı bir şekilde özdeşleşmiştir. 1970’li yılların sonlarında Film, Hip-Hop ve müzik dallarında yapılan tüm etkinlikler gençliğin protesto ve dışavurum araçları haline gelmiştir. Bu durum halkın ve özellikle gençliğin uyanışı anlamına gelmektedir. Dolayısıyla gençliğin protesto ve siyasal-toplumsal hareketleri çocuk ve gençlik edebiyatında hızlı bir etki yarattı. Bu etkilerin izleri Jeans yazınının şiir, düzyazı ve roman türlerinde de görülmektedir.

Bu çalışmada ise Jeans yazını türlerinden biri olan “Jeanslyrik” yazınsal türünün yabancı dil olarak Almanca öğretimine yönelik uyarlanması ve ders materyali olarak kullanılmasına ilişkin örnek bir ders planının ve modelinin hazırlanması amaçlanmıştır. Bu çalışmada yazın türü olan Jeanslyrik’in, Yabancı dil olarak Almanca öğretimine ve dil becerilerinin gelişimine nasıl ve ne ölçüde verimli bir şekilde kullanılabilir? sorusunun yanıtı aranmıştır. Çalışma kapsamında elde edilen bilgiler ve literatür taraması sonuçlarından hareketle ders materyali olarak Horst Fleitmann’ın “Wir 68er” adlı şiiri seçilmiştir. Hazırlanan örnek ders modeli Almanca öğrenenlere yönelik olup, Avrupa Dilleri Ortak Çerçeve Programına göre B1 dil seviyesine göre hazırlanmıştır. “Yabancı dil öğretiminde şiir türlerinin kullanımı” ve “Yabancı dil öğretiminde yazınsal metinlerin kullanımı” başlıkları altında alanyazında yer alan tüm ilişkili çalışmalar detaylıca araştırılıp, incelenmiştir. Bir sonraki bölümde ilgili alanyazında yapılan konuyla ilişkili çalışmalar yer almaktadır.

## 1.2 Alan Yazın

Alanyazına baktığımızda Bülbül (2017), “Şiir Türünün Yabancı Dil Derslerinde Kullanımı” başlıklı çalışmada şiirin en üst düzeyden yazınsallık özellikleri barındıran metin türü olması nedeniyle, yabancı dil öğrenme süreçlerine çok boyutlu katkılarının olduğunu vurgulamıştır.

Aynı şekilde benzer bir çalışmayla Saka (2014), “Şiirle çocuklara yabancı dil öğretimi” adlı çalışmada şiirin dil öğretim yöntemini çeşitlendirilerek hem öğrencinin güdülenmesini artırdığını hem de öğrencilerde edebiyata karşı ilgi ve sevgi uyandırdığını belirtmiştir. Dolayısıyla yabancı dil öğretiminde şiir kullanımının, dil öğretimi destekleyeceği ve öğrenciler tarafından ilgiyi artıracak yönde ders modelleri ve etkinlikler geliştirmekte fayda vardır.

Yazınsal metinler içinde şiir kendine has dil kurgusu, sanatsal kullanımları, kısa ve öz anlatımları, estetik olarak etkileme gücüyle öne çıkan bir tür olduğunu ifade eden Dağbaşı (2018), “Şiirle Yabancı Dil Olarak Arapça Öğretimi” çalışmada yaratıcı yazma ve okuma becerilerinin gelişmesinde önemli rol oynadığını tespit etmiştir.

Şiir, hikâye, roman ve drama gibi edebi türler dil öğretimi için zengin bir dil kaynağına sahip olmasından dolayı dil öğretiminde etkili bir yere sahiptir. Işdan (2020) “Yabancı Dil Öğretiminde Şiirin Yeri” adlı çalışmada öğrenciler için motive edici ve eğlenceli olan şiirlerin yabancı dil öğretimine önemli katkı sağladığını belirtmiştir.

Alanyazın taraması sonucu ulaşılan bu ve benzeri çalışmalar şiir kullanılmasının; Yabancı dil öğretiminde dört temel beceriyi geliştirmesi, hedef dilin kültürel öğelerini aktarması, öğrencilerde ilgi uyandırması bakımından büyük önem taşıdığını ve mümkün olduğunca yabancı dil öğretimi sürecinde şiirin kullanımına yer verilmesi gerektiğini savunmaktadır. Alanyazındaki çalışmalardan hareketle; bu çalışma ise Jeans yazını türü olan Jeans şiirinin yabancı dil olarak Almanca öğretimine yönelik didaktik öneriler oluşturmayı amaçlamaktadır.

Bu amaç doğrultusunda çalışmanın bölümleri şu şekilde düzenlenmiştir: Çalışmanın birinci bölümünde Jeans yazının ortaya çıkmasında etkili olan Almanya’daki öğrenci hareketlilikleri ve protestoları ele alınmıştır. Jeans yazınının alan literatüründeki konumuna, kavramın açıklamalarına ve ortaya çıkış noktalarına ikinci bölümde değinilmiştir. Çalışmanın temeli olan üçüncü bölümünde ise yabancı dil öğretiminde şiir kullanımının önemine, gerekçelerine ve dil eğitimine olan katkılarından bahsedilmiştir. Alanyazından elde edilen verilerin derlendiği dördüncü bölümde ise, Jeanslyrik yazını kapsamında araştırmacı tarafından hazırlanan örnek bir didaktik ders önerileri yer almaktadır. Çalışmanın sonuçları ve hazırlanan ders modeli hakkındaki görüş ve öneriler sonuç kısmında sunulmuştur.

## 2. Yöntem

Çalışmada betimsel araştırma tekniklerinden doküman inceleme yöntemi tercih edilmiştir. Doküman incelemesi Yıldırım ve Şimşek’in (2011) belirttikleri üzere araştırılması hedeflenen olgu veya olgular hakkında bilgi içeren yazılı materyallerin analizini kapsar. Nitel araştırmada kullanılan diğer yöntemler gibi doküman analizi de anlam çıkarmak, ilgili konu hakkında bir anlayış oluşturmak, ampirik bilgi geliştirmek için verilerin incelenmesini ve yorumlanmasını gerektirmektedir (Corbin & Strauss, 2008).

### 3. Almanya' da 68 Öğrenci Hareketi

1960'ların Batı Alman öğrenci hareketi, Federal Almanya Cumhuriyeti ve Batı Berlin'de solcu, sosyal açıdan eleştirel bir siyasi hareketti. 68 hareketi olarak özetlenen ABD ve Batı Avrupa'daki diğer öğrenci protestolarına paralel olarak ortaya çıktı. Öğrenci protestolarının ortaya çıkmasında dönemin siyasi, ekonomik ve sosyal gelişmeleri etkili olmuştur. “Bunlar arasında en etkili sebepler şunlardır: 1. İkinci dünya savaşından yeni çıkmış olan Almanya'nın ekonomisinin iyi durumda olmaması. 2. Buna bağlı olarak enflasyonun ve işsizliğin artması. 3. Berlin Duvarının inşasıyla Alman birliğinin hayalinin yıkılması” (bkz. Akçam, 1998). Almanya'da huzursuzluğun yoğunlaşmasının dış politika nedenlerini Wenzel (1996) şu şekilde aktarıyor: “1. ABD askeri müdahalesinin güçlü eleştirilere yol açtığı Vietnam Savaşı. 2. Sübvansiyonları kendi çıkarları için kötüye kullandığı bilinen İran Şahı'nın ziyareti”. Dolayısıyla tüm bu sebepler öğrenci hareketlerinin doğmasında ve gelişmesinde tetikleyici unsurlardır.

“Bu öğrenci hareketi hayatın her alanında demokrasinin uygulanması, eğitim sisteminin reformu, toplumsal mağduriyetler konusunda genel farkındalığın keskinleştirilmesi için çabaladılar” (bkz. Wenzel, 1996). “1968 Hareketinin en temel karakteristiği, onun bir “Gençlik Alt Kültürü” tarafından belirlenmiş olmasıdır” (Akçam, 1998). Bu anlamda 68 öğrenci hareketi, tüm insanların kapitalist sömürü, baskı ve yabancılaşmadan anti-otoriter yollarla kurtuluşuna bir katkı olarak Batı Alman toplumunun kapsamlı bir demokratikleşmesi için çabalamıştır.

*“Siyasi olaylara paralel olarak hayata karşı yeni bir tavır gelişti. Yeni nesil, yaşam koşullarını ve değerlerini değiştirmeye çalıştı. Bu bağlamda Rock ve beat müzik gibi yeni müzik türleriyle, kendini ifade eden, farklı biçimleriyle yerleşik toplumdaki ayrılmaya çalışan bir gençlik kültürü gelişmiştir. Bu yeni akım ve alışılmadık dışındaki yaşam tarzları birçok yetişkin tarafından ciddi bir tehdit olarak algılandı”* (Kliwer, H. & Kliwer, U., 2000: 12).

Bu temel görüş farklılıkları, 1960'ların sonlarında nesiller arasında hızla büyüyen uzlaşmazlığı daha da artırdı. Öğrenci protestolarının sonraki yıllarda siyasi kültür ve hukuk politikası üzerinde derin bir etkisi oldu. Örneğin „öğrenci hareketinin ceza hukukunun yeniden düzenlenmesi için sonuçları oldu. Cinsel ceza hukuku ve kamu güvenliğine ve düzenine karşı işlenen suçlara ilişkin içtihat değiştirilmiştir (Planet-Wissen, 2021).

*“Öğrenciler, mevcut koşulları değiştirme ve memnuniyetsizliklerini kamuoyuna açıklama ihtiyacı hissettiler. Özgür Üniversite (Freie Universität) bu şekilde Berlin'de ortaya çıktı ve demokrasi ve eğitim sisteminde değişim arayışına olan büyük bağlılığını ifade eden ilk kurum oldu. Üniversite reformunun uygulanmasına örnek olmalıdır”* (bkz. Wenzel, 1996).

Bu nedenle özgür üniversite olarak adlandırılan yeni üniversite baskıya karşı kurulmuştur. 1969'un sonlarına doğru öğrenci hareketi yavaş yavaş geri çekilmiştir. Bunun sebebi ise özellikle 1968 sonbaharından itibaren hareket içindeki bölünmelerdi.

*“Wenzel (1996) öğrenci hareketini, başarılı bir yaşam standartları devrimi olarak tanımlamaktadır. Bunun sonucunda; hayatın farklı alanlarında kayda değer değişiklikler meydana geldi, yeni cinsel ahlak gelişti, birçok özgürleşme hareketi istikrar kazandı ve öğrenci hareketi sırasında ve sonrasında günlük yaşam normlarından sapmalara karşı daha fazla tolerans geldi”.*

Kraushaar (2018) yazdığı haber metninde “Alman toplumu bugün, modern bir demokrasi, bireysel özgürlük hakları ve cinsel kendi kaderini tayin hakkı gibi temel hakları 1968'lere borçlu olduğunu ifade etmiştir”.

Özetle 1960'ların genç kuşağı, gelenekleri ve hâkim normları sorgulayan bir kuşaktı. Protestoları ve reformlarıyla hayata karşı yeni bir tavır ve halka yeni bir eleştirel farkındalık getirmek istediler. “Meydana gelen öğrenci olaylarının ortaya çıkışı kimi zaman yönetim sistemlerine, ekonomiye, sosyal haklara; kimi zamanda eğitim sistemine, demokrasi anlayışına ve kültürel baskıya karşı olmuştur” (Bulut, 2011: 125). Dolayısıyla bu dönemin içinde ve şartlarında ortaya çıkan Jeans yazını, öğrenci hareketi ve protestolarının yansımalarını da içinde barındırmaktadır. Jeans yazınında Ulrich Plensdorf ve Christa Wolf önde gelen yazarlar arasında bulunmaktadır.

Ulrich Plenzdorf<sup>1</sup> ve Christa Wolf gibi genç nesil doğu Alman yazarları sosyalizmle uğraşarak kendi değerlerini arayan öncü bir kuşaktı. Plenzdorf bu yeni değerleri “günlük yaşama varış”<sup>2</sup> olarak adlandırmıştır” (Bernhardt, 2012: 16). 1960'larda yazılmış ve yayınlanmış, bazıları daha önce yayınlanmış çok sayıda eser vardı, bunlar birey ve toplum arasındaki gergin ilişkiyi ele alıyordu. “Bu eserler çoğunlukla aile, okul ve toplumdaki eğitimi eleştirel olarak konu edindiğinden dolayı ve bir toplumun kalkınma planında bireyin kendi kaderini tayin ettiği bir özgürlüğü aradığı için, sürekli olarak kamuoyunda tartışıldı ve kendilerini Almanya Demokratik Cumhuriyetinin<sup>3</sup> edebiyatı için kalıcı bir konum<sup>4</sup> oluşturdular” (Bernhardt, 2012: 20). Düşünmek, sorgulamak ve eleştirmek 60'lı yılların edebi eserlerinin temelinde yatan yöntemler olmuştur. Bu dönemde Plenzdorf “Die neuen Leiden des jungen W.” isimli romanını yazdı. Plenzdorf romanın kahramanı Genç Edgar Wibeau örneğinde, Doğu Almanya toplumunda birey için ne kadar az özgürlük olduğunu gösteriyor.

Plenzdorf, “Die neuen Leiden des jungen W.” kadar başarılı olan “Efsane Paul ve Paula” eserini yazmıştır. Bu eserde genç bir kadının aşk hikayesi anlatılıyor. Plenzdorf, bu eserde daha çok aşk konusuna odaklanıyor ve Edgar Wibeaus'ın motiflerini kullanmayı sürdürüyor. Paula ve Edgar Wibeau karakterleri ne rol modeller ne de korkutucu örnekler olarak tasarlanmamıştır, “aksine ahlaki kriterleri, insancıl değerleri ve pratik yaşam deneyimlerini eleştirel olarak incelemeyi amaçlamıştır” (Bernhardt, 2012: 20).

Jeans yazınının öncü yazarlarından olan Plenzdorf, eserlerinde toplum ve birey arasındaki çatışmaları ele almıştır. Eşitlik, hak ve özgürlük gibi kavramların ön plana çıktığı ve bunların gençlik tarafından bağımsızlık mücadelelerinde dile getirilmesi sonucu Jeans yazını ortaya çıktı. Gelişen bu yazın türüne ait olan “Jeanslyrik” bir sonraki bölümde açıklanmaktadır.

#### 4. Yazın Türü Olarak “Jeanslyrik”

Jeans yazını, 68 öğrenci hareketinin dışavurum ve seslerini duyurmanın bir yoludur. Yazınbilimsel olarak yetmişli yılların öğrenci hareketleri dönemine gönderme yapan yazın tarihi bağlamında belli bir dönem adıdır. Jeans düzyazı<sup>5</sup>, Jeans şiir<sup>6</sup> ve Jeans roman olmak üzere farklı türlerde pek çok yazınsal eserler ortaya çıkmış bulunmaktadır. Jeanslyrik ise çocuk ve gençlik edebiyatı içinde yer alan bir yazın türüdür. Bu tür şiirlerde gençlere kendilerini ve dünyalarını yeni bir şekilde görme ayrıcalığı verilir. Temel metinleri yazmak ve okumak birçok genç için ilgi çekicidir. Gençler tarafından yazma ve okuma, mevcut gençlik kültürünün unsurlarındandır. Ergenler ve lirik metinler arasındaki ilişkiyi tüm açılarıyla ve süreklilikleriyle algılamak gerekir. Gençler, mevcut şiir türünde son birkaç yılın veya on yılın yeni yayınlarını ararlar, çünkü gençler kendi varlığının farkına varır ve onları tasarlar.

#### 5. Yabancı Dil Öğretiminde Şiir Kullanımı

Şiir, dilin estetiğini ve imgelerini taşıyan bir yazın türüdür. Şiir, sözcüklere farklı yorumlar getirmek, farklı anlamlar; mecaz anlam, yan anlam, simgesel anlatım vd. kazandırmak ve duygusal tepkiler yaratmak için yazılır. Yazınsal bir tür olan şiirler yabancı dil öğretiminde bir ders materyali olarak kullanılabilir.

*“Şiir türü yordamıyla yabancı dil olarak Almanca üzerinden iletişim süreçleri başlatmak da bir bakıma metin üzerinden bildirişim etkinliği başlatmak demektir. Bu da o kültürün, dile sinmiş tüm yaşam kesitlerinin kodlarının çözümlenmesi ve anlaşılması zorunluluğunu ortaya çıkarmaktadır”* (Bülbül, 2017: 7).

1 Ulrich Plenzdorf, 1934'ten 2007'ye kadar esas olarak Berlin'de Postamt'da yaşadı. Dramaturji okudu ve başarılı bir Film senaristi olarak çalışıyor. Plenzdorf'un "Genç Werther'in Acıları" kitabı, 1970'lerde jean kuşağının zaman algısını ve Doğu Almanya'daki gençlerin özel yaşamını yeterince tanımladığından dolayı sansasyonel bir başarıydı. (bkz. Bernhardt, 2012). (Bu alıntı araştırmacı tarafından çevrilmiştir).

2 Auf Deustch sagt man “Ankunft im Alltag” (vgl. Bernhardt, 2012).

3 Alman Demokratik Cumhuriyeti, 1949'dan 1990'da Almanya'nın yeniden birleşmesine kadar var olan bir devlettir. Kaynak: <https://www.hanisauland.de/node/1636> [Son Erişim: 11.12.2021].

4 Edebiyatta önemli bir değer veya temel, standart belirleyen ve zamana dayanıklı bir konumun atfedildiği eserlerin bir derlemesidir. (vgl. Charlier, 2009). (Bu alıntı araştırmacı tarafından çevrilmiştir).

5 Alm. Jeansprosa.

6Alm. Jeanslyrik.



Bu anlamda sade ve kısa bir metin türü olmasına rağmen şiir içerisinde zengin imgeler barındırması sebebiyle yabancı dil olarak Almanca öğretimine etkili katkılar sunmaktadır.

*Göçer (2010: 350), „dil berecilerinin geliştirilmesinde farklı türlerde yazınsal metinlerin kullanıldığını, bu türlerden biri olan şiir aracılığıyla öğrencilerin okuma, yazma, konuşma ve dinleme becerilerinin gelişmesinin sağlandığını belirtmektedir “.*

Dağbaşı ise, (2018: 400) “öğrencilerin metinsel ve dilbilgisel olarak seviyesine uygun seçilmiş, dersle ilişkisi iyi kurgulanmış ve planlanmış, öğrencilerin ilgisini çekebilecek şiirler yabancı dil öğretiminde gerek öğrenilenleri pekiştirmeye gerekse yeni öğrenmeler sağlamaya yardımcı olduğunu belirtmektedir”. Şiiri yabancı dil öğretiminde kullanabileceğimiz bazı aktiviteleri Ceylan (2008: 120) şöyle belirtmiştir: “özetleme, çeviri, oyunca olarak hazırlama, şiiri şarkıya dönüştürme, karşılaştırma, anlam çıkarma ve sözcüklerin değişik anlamlarda kullanımı, kendi şiirini yazma, şiiri parçalara bölme ve şiiri anlama çalışmaları sayılabilir”. Dilin soyut kullanımına daha çok şiirlerde rastlamaktayız. Bu soyut dil ve anlamlar öğrenciler tarafından keşfedilip, yaratıcı öğrenme ve düşünme becerileri geliştirmesini destekleyecektir. Şiir yolu ile „öğrencinin düşünme ve dil kullanım becerilerine soyuttan somuta doğru daha esnek ve işlevsel katkılar sağlamak mümkün olmaktadır “(Bülbül, 2017: 16).

Polat ve Dilidüzgün'ün de (2015: 821) ifade ettikleri gibi, “şiir sayesinde; okuyucular dilin farklı bir boyutunu görebilme imkânı elde ederler ve özgün yaratıcılığı sayesinde, şiirin ait olduğu toplumun duygu ve düşüncelerini, toplumsal yaşamını, tarihi geçmişini, kısacası bir topluma ait olan her şey hakkında bilgi sahibi olabilmektedirler”. Kısacası şiir hedef dilin kültür taşıyıcısı rolünü üstlenmektedir.

Ayrıca öğrencide beceri olarak:

- Kendi başına öğrenme etkinliği başlatma,
- Yaratıcı beceriler geliştirme,
- Düşünce üretme,
- Kendini sınama ve hissetme-hissettirme eylemlerini tanıma,
- Metin/şiir yoluyla dış dünyaya yönelik farkındalık oluşturma,
- Metinsel, kurgusal (mecazi/değişmeceli) gerçekten, dış dünyanın gerçeğine uzanabilme yetisinin gelişmesine öncülük de edecektir. (Bülbül, 2017: 10).

Yabancı dil öğretiminde şiir kullanımı ile ilgili yapılan çalışmalar; şiirin yabancı dil öğretimindeki kullanımının faydalarından, dil becerileri ve kültür aktarımı hususundaki çoklu katkıları olduğundan bahsetmektedir. Yazınsal ve imgesel bir güce sahip olan şiirin öğrencilerin dikkatini çekmesi, yaratıcı düşünme ve yazma becerilerini aktifleştirmesi bakımından oldukça önem arz etmektedir. Her öğrenci kitlesinin dil seviyesine ve anlama-yordama kapasitesine uygun özgün şiirlerin seçilmesi ve uygun ders modeli içinde öğretimin gerçekleşmesi dersi daha çekici, eğlenceli ve verimli hale dönüştürecektir. Bu bilgilerden hareketle bir sonraki bölümde Jeanslyrik yazın türünün Almanca öğretiminde uyarlanmasına yönelik ders modeli yer almaktadır.

## 6. Uygulama

Bu bölümde alan yazında detaylı bir şekilde incelenen Jeanslyrik yazınsal türünün yabancı dil olarak Almanca öğretiminde kullanımına ilişkin örnek bir ders modeli yer almaktadır. Bu uygulama örneği; okuma öncesi etkinlikler, okuma esnası etkinlikler ve okuma sonrası etkinlikler olmak üzere üç temel kısımdan oluşmaktadır. Jeanslyrik yazın türü sınıf içi uygulamalarda öğrencilerin ilgisini çekecek ve onları öğrenme ortamına katacak etkinliklerle hazırlanmıştır. Çalışmanın ek bölümünde dersin planı yer almaktadır.

### **A-Vor dem Lesen (Okuma Öncesi Etkinlikler)**

**Aufgabe 1:** Was assoziiert das folgende Bild bei euch? Diskutieren Sie in der Klasse. Sagen Sie Ihre Meinungen dazu!

SF: Klassengespräch (ca. 5 Min.)

Einstieg ins Thema- Aufmerksamkeit erregen

Şekil 1: 68 Dönemi Öğrenci Protestosu-Almanya<sup>7</sup>



Quelle:

**Sprachliche Mittel:**

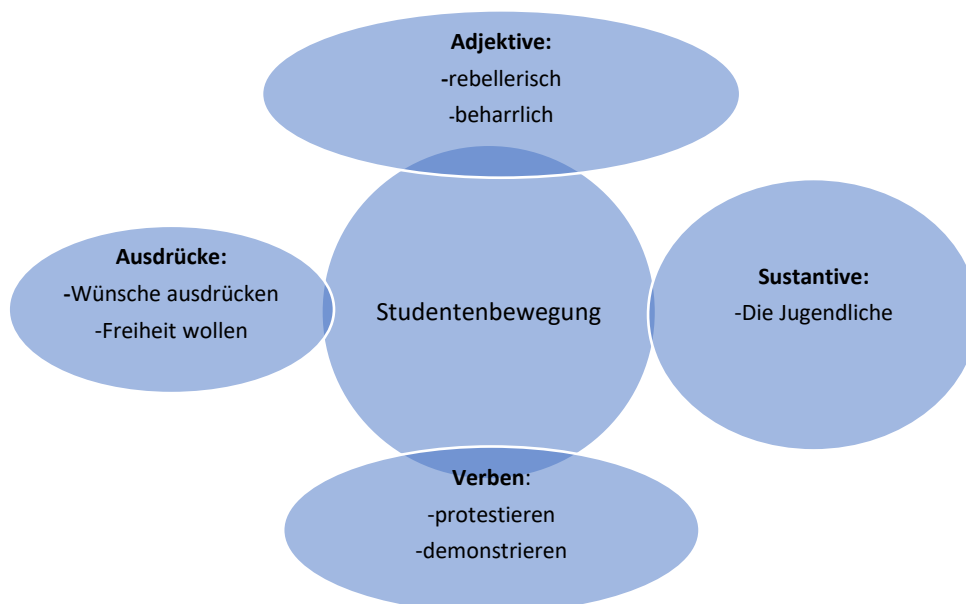
-Ich glaube auf dem Bild ist ein/eine \_\_\_\_\_.

-Man kann auf dem Bild \_\_\_\_\_ sehen.

-Ich bin sicher, das ist ein/eine \_\_\_\_\_.

Da ganze Bild zeigt vielleicht \_\_\_\_\_.

Was assoziiert dieser Begriff „Studentenbewegung und Studentenprotest“ für Sie? Schreiben Sie die Wörter auf die Konzeptkarte, die Ihnen einfallen.



**Aufgabe 2:** Sie haben die Wörter auf die Konzeptkarte geschrieben. Schreiben Sie aussagekräftige Sätze zu den Wörtern, die Sie finden!

SF: Einzelarbeit (ca. 10 Min.)

**kreatives Schreiben**

-Die junge Menschen drücken sich ihre Meinungen aus.

-

-

**B- Während des Lesens**

<sup>7</sup> Kaynak: <https://www.zdf.de/kinder/logo/die-68er-bewegung-100.html> [Erişim tarihi: 08.12.2021].

Der Lehrer/in liest das Gedicht zuerst laut vor. Dann können die Studenten das Gedicht laut lesen.

**Aufgabe 3:** Lesen Sie bitte das Gedicht detailliert. Worum geht es in diesem Gedicht? Schreiben Sie Ihre Meinungen dazu! Verwenden Sie die folgenden Redewendungen!

SF: Einzelarbeit (ca. 10 Min.)

**detailliertes Lesen- Leseverstehen**

-

-

### **Gedicht 1<sup>8</sup>**

#### **Titel**

*Ach, so oft denke ich daran,  
wie unsre Zeit damals begann.  
Was denkt ihr, wie lang ist das her?  
Schon fünfzig Jahre und was mehr.  
Als ich zuerst mit wem gepennt,  
da dacht ich an's Establishment.  
Hab diesen Spruch für mich verflucht  
als ich sie fand, ganz ungesucht.*

*Wir waren damals immerhin  
pro Vietkong und Ho Chi Minh,  
gegen den Schah gegen Atom.  
Wir riefen "runter vom Balkon"  
Die Welt verändern, war das Ziel  
weil's uns, so jung, doch so gefiel.  
Bis wir dann irgendwann entdeckt:  
Manch Ziel war wohl zu hoch gesteckt.*

*Der Kampf fürs Proletariat  
war auch für uns nur ein Spagat,  
der mit der Zeit beim Kampf ums Geld  
ersatzlos wurde eingestellt.  
Jetzt denke ich so manche Nacht,  
was hat die Zeit uns eingebracht?  
Vergebens stritten wir wohl nicht.  
Erreichtes hat doch viel Gewicht.*

*Ich will jetzt niemand damit quälen  
Ergebnisse hier aufzuzählen,  
doch eins macht uns sehr stolz fürwahr:  
Der Frieden... zweiundsiebzig Jahr.  
Erlebt hat ihn, ihr wisst es schon  
nur unsere Generation.  
Ich wünsche hier in aller Namen,  
dass wir den Frieden uns bewahren.*

**Horst Fleitmann**

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8 Kaynak: <https://www.e-stories.de/gedichte-lesen.phtml?225026> [Erişim tarihi: 08.12.2021].

**Redewendungen**

Es geht um...  
Es handelt sich um ...  
In diesem Gedicht wird... erzählt.  
Der Text handelt von ...  
Das Gedicht thematisiert ...

**Aufgabe 4:** Sie haben das Gedicht gelesen. Was könnte der Titel des Gedichts nach Ihrer Meinung lauten?

SF: Einzelarbeit (ca. 5 Min.)

**Leseverstehen, den Titel des Gedichts spekulieren**

-  
-  
-

**Aufgabe 5:** Sie haben das Gedicht gelesen. Denken Sie daran, was das Gedicht Ihnen sagt?

Sagen Sie Ihre Meinungen dazu in der Gruppe!

SF: Gruppenarbeit (ca. 5 Min.)

**den Inhalt des Gedichts erfassen**

-  
-  
-  
-

**Aufgabe 6:** Sie haben den Text gut gelesen. Was für eine Art ist das Gedicht? Woher erkennen Sie die Art dieses Gedicht. Sagen Sie Ihre Begründungen!

SF: Einzelarbeit (ca. 5 Min.)

**Art des Gedichts erkennen**

-  
-  
-

**Aufgabe 7:** Sie haben das Gedicht gelesen und gut verstanden. Wie würden Sie den Schluss des Gedichts fortsetzen? Schreiben Sie bitte nur eine Strophe.

SF: Einzelarbeit (ca. 5 Min.)

**kreatives Schreiben**

**C-Nach dem Lesen**

**Aufgabe 8:** Im Gedicht gibt es viele Wörter und Sätze. Stellen Sie im Gedicht die Wortarten und Satzstrukturen fest! Tragen Sie sie in die Tabelle ein!

SF: Einzelarbeit (ca. 10 Min.)

**Wortarten erkennen**

Wortarten

...

Satzstrukturen

...

**Aufgabe 9:** Welche Werte und Weltanschauung (kulturelle Werte) werden im Gedicht explizit oder implizit ausgedrückt? Diskutieren Sie Ihre eigene Meinung im Unterricht!

SF: Klassengespräch (ca. 10 Min.)

**Die Werte des Gedichts entdecken**

-

**Aufgabe 10:** Was hat der Autor in dem unterstrichenen Satz ***„Wir waren damals immerhin, pro Vietkong und Ho Chi Minh, gegen den Shah gegen Atom“*** metaphorisch oder symbolisch gemeint? Sagen Sie Ihre Meinungen dazu!

SF: Einzelarbeit (ca. 5 Min.)

## Metapher im Gedicht entdecken

### **„Wir waren damals immerhin pro Vietkong und Ho Chi Minh, gegen den Schah gegen Atom.**

*Wir riefen "runter vom Balkon"*

*Die Welt verändern, war das Ziel  
weil's uns, so jung, doch so gefiel.*

*Bis wir dann irgendwann entdeckt:*

*Manch Ziel war wohl zu hoch gesteckt“.*

**Die Hausaufgabe:** Schreiben Sie auch selbst ein Gedicht über das Thema „Studentbewegung, Jugendliche“! Tauschen Sie die Gedichte mit Ihrem Partner aus, die Sie geschrieben haben. Lesen und bewerten Sie die Gedichte des anderen.

Örnek olarak sunulan şiir etkinlikleri, öğrencinin derse olan ilgisini artırmak ve dil becerilerini geliştirmek amacıyla metin öncesi çalışmalar, metin üzerine çalışmalar ve metin sonrası çalışmalar olmak üzere üç bölümde hazırlanan etkinlikler ile sunulmuştur. Metin öncesi çalışmalarda, öğrencinin şiire karşı ilgisini uyandırmak, şiir öncesi çağrışım tablosu oluşturmak ve şiirin ana temasına giriş sağlamak için çalışmalar yapılmıştır. Metin esnası etkinlikler şiiri okuma-anlama, çözümleme-yorumlama ve yaratıcı düşünme becerilerine yöneliktir. Okuma sonrasında şiir metnine yönelik dilsel alıştırmalar ve ev ödevine yer verilmiştir.

## 7. Sonuç

Jeans yazını ergenlik romanına yakın bir tür olarak 1970’li yıllarda Almanya’da ortaya çıkmıştır. Bu çalışmada jeans yazının ortaya çıkmasında etkili olan 68 öğrenci hareketi ele alınmış ve bu dönem de yazın türü olarak ortaya çıkan Jeans şiiri kapsamında „Wir 68er“adlı şiirin yabancı dil öğretiminde kullanılması ve derse uyarlanması bakımından incelenmiştir. Elde edilen sonuçlar neticesinde örnek B1 Almanca dil seviyesi bir ders modeli ve planı hazırlanmıştır. Bu yazın türünün seçilme nedenlerinin başında gençliğin kendi yazını olması, dil ve gençlik alt-kültürü açısından onlara daha yakın bir yazınsal türü olması gelmektedir.

Yabancı dil öğretiminde yazın türü olan şiir içinde bulundurduğu zengin imgelerle ve mecaz anlamlarla birlikte öğrenim ortamını zenginleştirmektedir. Dil becerilerinin gelişiminde, hedef dilin kültürünün aktarılmasında ve estetik hazın oluşmasında şiir etkili bir ders materyali olabilmektedir. Dolayısıyla dil öğretiminde şiirden faydalanmak, öğrencilerin dil öğrenme sürecine olumlu çoklu katkılar sunacaktır. Şiir türünün yabancı dil sınıf ortamına aktarılmasının getirdiği birtakım katkılar şu şekildedir; öğrencinin yaratıcı düşünme becerisinin gelişmesine, ifade yeterliliği, dilin estetiğine ulaşılması ve hedef dilin kültürel öğelerinin farkına varmasında yardımcı olmaktadır. Özellikle yazın türü olan şiir ait olduğu kültüre ve dile özgü olduklarından dolayı bir kültür ve dil taşıyıcısıdır. Bu doğrultuda hazırlanan örnek ders modeli, Almanca öğretiminde dil becerileri (Okuma Becerisi, Yazma Becerisi, Konuşma Becerisi) veya Almanca Öğretiminde Edebi Metinler dersinde uygulanabilir. Çalışma kapsamında alanyazından ve elde edilen bilgilerden hareketle aşağıda bir dizi önerilere yer verilmiştir.

### Öneriler

- Bu ders modelini gerçekleştirmeden önce şiir ve ele alınacak konu arasında bir bağlam oluşturmak için, ders öncesi 68 öğrenci hareketleri ve protestolarının derste işlenmesi, öğrencilerin konu hakkında önbilgilerinin sağlanması gerekir. Böylelikle derste kullanılacak şiirin belli bir düzlemde bağlamı ve dayanağı olmuş olur.
- Bu örnek ders modeli Avrupa Dilleri Ortak Çerçeve Programı’na göre B1 Almanca dil seviyesinde olup, bu seviyedeki öğrencilerle uygulanması verimli olacaktır.
- Hazırlanan ders modeli temsili bir örnek teşkil etmekte olup, yabancı dil olarak Almanca öğretiminde farklı derslerde (Almanca Öğretiminde Edebi Metinler) farklı şekillerde uyarlama yapmak da mümkündür.
- Amaç hedef dilin becerilerini geliştirmek ve kültürünü aktarmak ise, şiir bu anlamda etkili bir araç olarak kullanılabilir.

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## EKLER:

### Ek 1: Unterrichtsplan (Ders Planı)

Teil des Unterrichts	Aktivitäten / Methode	Sozialform	Medien-Material	Zeitdauer
A-Vor dem Lesen	-Einstieg ins Thema -Aufmerksamkeit erregen -Assoziation - kreatives Schreiben	-Einzelarbeit -Klassengespräch	-Bild - Konzeptkarte	15 Min.
B-Während des Lesens	- detailliertes Lesen- Leseverstehen - den Titel des Gedichts spekulieren	- Gruppenarbeit -Einzelarbeit	-Jeanslyrik (68er) -Redewendungen	40 Min.

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		- den Inhalt des Gedichts erfassen			
		- Art des Gedichts erkennen			
		- eine Strophe/ kreatives Schreiben			
		-Wortarten- Satzstrukturen im Gedicht erkennen	- Gruppenarbeit		
<b>C-Nach Lesen</b>	<b>dem</b>	- Die Werte des Gedichts entdecken	- Einzelarbeit	-Jeanslyrik (68er) -Tabelle	35 Min.
		- Metapher im Gedicht entdecken			
<b>Hausaufgabe</b>		Gedicht/kreatives Schreiben	-Einzelarbeit		<b>Total: 90 Min.</b>

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## Piyasaların Düzenlenmesinde Sosyal Uygunluk Kriterlerinin ve Denetiminin Önemi

Doç. Dr. Resül Yazıcı<sup>1</sup>

<sup>1</sup> Bilecik Şeyh Edebali Üniversitesi, İİBF, İktisat Bölümü, resul.yazici@bilecik.edu.tr,

ORCID: 0000-0002-7875-3331

**Özet:** Gelişmekte olan ekonomilerde, genelde üretim faktörlerinin yetersizliği nedeniyle üretilen ve satışa sunulan mal ve hizmetlerin genel fiyatlar seviyesindeki yükselmenin sonucunda enflasyon yaşanmaktadır. Bazen de çeşitli sebeplerle, özellikle beklentilerin karamsar olması nedeniyle meydana gelen efektif talep yetersizliği bazı ürünlerde arz fazlalıklarına dolayısıyla deflasyona, sonrası da ekonomide durgunluğa sebebiyet verebilmektedir. Bu dengesizliklerin yönetilememesiyle durgunluk ve enflasyonun beraberce yaşandığı stagflasyon oluşmaktadır. Bu bildiri de, piyasalardaki dengesizliklerin önlenmesinde; piyasaların düzenlenmesinde ve iş yaşamında adil sistem kurulmasında etiğin önemini tartışmaktadır.

Piyasalardaki dengesizliklerin önenebilmesinde, piyasaların düzenlenebilmesinde düzenleyici ve denetleyici kurumlar kadar şirketlere de önemli görevler düşmektedir. Zira ekonominin temel kurumları olan şirketlerin hem çalışanlarına hem de topluma model olabileceği konusunda sorumlulukları vardır. Bunun için de öncelikle kendisine ve hissedarlarına karşı sorumlu olmasını sağlayan ve gönüllülük esasına dayanan kurumsallaşmış Sosyal Uygunluk (Etik Davranış Kuralları) Kriterlerini içselleştirmeleri gerekmektedir.

Küresel ölçekte oluşturulmuş, standartları belirlenmiş Sosyal Uygunluk Kriterlerini temel alan Sosyal Uygunluk Programları, kültürel olarak paylaşılan normlara ve kurallara odaklanarak, kurumları ve kurumsal değişimi normatif bir bakış açısıyla analiz etmek için kavramsal bir bakış açısı sağlar. Bu kavramsal perspektif, sürdürülebilir kalkınmanın gerçekleştirilmesi için sorumlu karar vericilerin veya bireysel olarak vatandaşların uymaları gereken norm ve kuralları göstermektedir. Diğer bir anlatımla normatif kurallar, makro anlamda sürdürülebilir kalkınmayı, kurumsallaşmayı hedeflemektedir. Mikro ölçekte de şirketlerin, sürdürülebilir kalkınma nosyonuna odaklanarak faaliyetlerindeki sürekliliği; hem paydaşlarının haklarını koruyarak hem de insanların günlük yaşamındaki karar alma süreçlerindeki standartları, kuralları düzenlemeyi amaçlamaktadır.

Bu standart ve kurallar başlangıçta bir ütopya olsa da, karar almada ve insanların günlük yaşamlarında uymaları gereken kuralların ve kimliklerin oluşmasını beslemek; yeni bir gelecek için kurumsal değişim ve sürdürülebilir uygulamalara olanak sağlamak gibi potansiyellere sahiptir.

**Anahtar Kelimeler:** Etik Davranış Kuralları, Kurumsal Sosyal Sorumluluk, Sosyal Uygunluk Kriterleri, Sosyal Uygunluk Programları, Sürdürülebilirlik

### 1. GİRİŞ

Gezegenin küresel bir köy haline gelmesinin dezavantajları gittikçe artmaktadır. Ulusal ölçekte giderek özerkliğin azalması veya giderek tartışmalı hale gelmesiyle sahip olunan varlıkları yönetmek kadar sorunlarını çözebilmek, piyasaları düzenlemek kolay değildir. Örneğin fiyat hareketlerinin doğrudan veya dolaylı önemli belirleyicisi olan sermaye hareketlerinin, liberalleşmesinden kaynaklanan piyasa dengesizliklerini devletlerin yönetebilmesi, kural koyması, makro ve mikro politikaların eşgüdümünü sağlayacak mekanizmaların uygulamaya konulması zorlaşmaktadır. Kısacası ulusal ekonomilerin küreselleşmesi, finansal sistemlerdeki para hareketlerinin kolaylaşması, üretim sistemlerinin çok uluslu şirketlerce yönetilmeye başlanmasının tehdit ve fırsatları kadar devletlerin düzenleyici rolünün etkinliği tehlikeye düşmüştür.

Piyasaların düzenlenmesinde kullanılan klasik araçların etkinliğinin azalması, ulusal ekonomilerde sorunların yönetilemez hale gelmesine yol açması kadar şirketlerin uluslararası rekabet güçlerinin azalması veya haksız rekabetle karşı karşıya kalınması sorunları artmaktadır. Dolayısıyla devletlerin etkinsizleşen düzenleyici rolünü telafi veya ikame edebilmek kadar şirketlerin faaliyetlerinin sürdürülebilirliğini sağlamak için küresel ölçekte standardizasyona dayalı kalite yönetim sistemleri gibi yeni yaklaşımlar geliştirilmiştir.

Bu yaklaşımlar hem mikro hem de makro ölçekte kurumsallaşma ve sürdürülebilirliğe hizmet edebilmektedir. Bunun için de özellikle düzenleyici otorite olan kamunun önderliğinde bunların içselleştirilmesi ve yaygınlaştırılması gerekmektedir. Zira günümüzün moda kavramı sürdürülebilirlik sadece yerel değil dünya ölçeğinde bir sorun ve çözümlerin de bu ölçekte olması gerekmektedir. Bu yüzden önerilerin içeriğindeki standartlar, düzenleyici ve denetleyici kurumların regülasyon yaklaşımları, dünya genelindeki örnek uygulamalar, ölçek ekonomisinin önemli parametresi verilerden faydalanılarak yapılan analizlerle uygulanması gereken ve sabır gerektiren bir süreçtir. Sonuçları ise sosyal, ekonomik, ekolojik, yönetsel ve davranışsal olarak her alana yansımaktır veya yansıtılması gerekir. Aksi durumda ekonomideki dengesizlik, piyasa aktörlerinin olanı korumak



yarışı tüm değerleri ve sistemi bozmaktadır. Piyasalardaki dengesizliklerin önlenmesinde; piyasaların düzenlenmesinde ve iş yaşamında adil sistem kurulmasında etiğin önemini içselleştirecek şirketlerin, sosyal uygunluk kriterlerine uyum göstermesini sağlayan temel uluslararası düzenlemelerin neler olduğu çalışmanın konusudur. Çalışma üç ana başlıktan oluşmaktadır. İlk başlıkta piyasalarının düzenlenmesinin önemi; sonrasında piyasaların düzenlenmesinde sosyal uygunluk kriterlerinin ve denetiminin önemi ve son ana başlıkta en yaygın uluslararası sosyal uygunluk kriterlerinin neler olduğu ve denetimleri verilmektedir.

## 2. PİYASALARININ DÜZENLENMESİNİN ÖNEMİ

Sürekli değişim ve yıkıcı rekabetin yaşandığı iktisadi sistemlerde başarılı olunabilmesi; etkin işleyen bir yapının oluşabilmesi için hukuki güvenlik ve öngörülebilirlik altında çalışacak kurumlara ihtiyaç vardır. Bunun için de öncelikle mevzuat düzenlemelerine ve bunları uygulayacak düzenleyici ve denetleyici kurumların bağımsızlığının sağlanması gerekmektedir. Aksi bir durum yani hukuka güvensizlik ve öngörülemezlik durumunda ekonomik yapı olumsuz etkilenecektir. Zira iktisadi yapının işleyişinin temel kurumları olan şirketlerin, vergisini ödemek gibi tüm yasal yükümlülüklerini mevzuata uygun icra edenlerin; paydaşlarına olan sorumluluklarını yerine getirenlerin teşvik edilmesi ve haksız rekabete maruz bırakılmaması gereklidir. Bunun için de sistemdeki şirketlerin operasyon hatalarını, başarısızlıklarını öngörecekt, zamanında önlem geliştirecek ve gerekiyorsa kurtarma olanaklarını devreye alacak, haksız rekabete izin vermeyecek kurumların tesis edilmesi ve kapsayıcı bir şekilde işletilmesi gerekmektedir.

### 2.1. Piyasaların Düzenlenmesinde Düzenleyici ve Denetleyici Kurumların Önemi

Devletin ekonomideki payının azalmasıyla veya denetleme faaliyetlerinde etkinliği artırmak amacıyla piyasaların düzenlenmesi ve denetlenmesi önem kazanmıştır. Çünkü piyasalarda özel sektörün payının artmasıyla, haksız rekabete neden olan koşulların ortadan kaldırılmasını sağlayacak; oyunun kurallarını koyacak ve denetleyecek disipline edilmiş bir piyasa için bağımsız düzenleyici ve denetleyici kurumlara ihtiyaç doğmuştur. Böylece güncel gelişmeleri takip edebilecek, proaktif yaklaşım gösterebilecek kurumsallaşmış profesyonel anlayışa sahip bu yapılar sayesinde, popülist anlayışın olmadığı; günün birlik kararların alınıp verilmediği fakat hesabının verilebileceği politikalar uygulanabilir.

Bu politikaların önemi şöyle özetlenebilir: Acemoğlu ve Robinson'a (2016: 407) göre mülkiyet haklarını hayata geçiren, eşit rekabet koşulları sağlayan ve yeni teknolojilere, becerilere yatırım yapmayı teşvik eden kapsayıcı kurumlar gereklidir. Çünkü Rodrick'e (2014: 41) göre piyasalar, yolsuzluk ya da rekabet karşıtı davranışlar sonucu çökebilir. North'a (2010: 9) göre de kurumlar, bir toplumda oynanan oyunun kurallarıdır. Daha biçimsel bir anlatımla, insanlar arasındaki etkileşimi biçimlendiren kısıtlamalardır. Kısacası bu kurumlar, piyasa aktörleri arasındaki etkileşimi teşvik edecek kurumsal bir yapı kazandırır.

Bu kazanımlar yani ekonomide etkinliğin sağlanabilmesi için yasal altyapı ve bağımsız düzenleyici, denetleyici kurumlar inşa edilmeli ve işletilmelidir. Zira bu kurumların amacı icra ettiği alanlarda düzenleme yapmak, piyasa aktörlerinin piyasa kurallarına uygun faaliyette bulunup bulunmadığını kontrol etmek, uygun olmayan bir durumla karşılaştığında yaptırımlar uygulamak, uyuşmazlıkların çözümünde ise arabuluculuk ve hakemlik yapmak, araştırma, geliştirme ve danışmanlık hizmetleri sunmaktır (Arslan, 2011: 167).

### 2.2. Piyasalarının Düzenlenmesinde Standartların Önemi

Piyasaların etkin işleyişinde çeşitli sebeplerle eksikliklerin olması ve bunların giderilebilmesi için öncelikle kamunun düzenleyici ve denetleyici faaliyetleri devreye alınmıştır. Fakat uygulamada yetersizliklerin ortaya çıkması ve/veya iş hayatının dinamiklerinin çok hızlı değişmesi, genel reçetelerin her yapıya uymaması gibi nedenlerle sürekli güncellenen iş yapma standartlarının egemen olması sağlanmaya başlamıştır. Böylece hem şirketlerin kuruluşunda esas olan yeterliliklerin olup olmadığının kontrolü hem de takibi sayesinde onların başarısızlıklarının azaltılması mümkün olmaya başlamıştır.

Bu yeterlilikler, fiziksel, finansal ve beşeri sermaye için ölçümlenmelidir. Şirketlerin kuruluş aşamasında yapılacak bu ölçümleme, pazar ihtiyaçlarına göre verilecek kuruluş izinlerinin ve faaliyetlerinin devamlı kontrol edilmesine bağlı olarak işletme başarısızlıklarının önceden öngörülebilmesini ve olası sorunlara zamanında müdahale edilebilmesini sağlayarak krizlerin bulaşıcılık etkisini azaltılabilecektir. Zira gelişmiş ekonomilerin evrensel markalarına bakıldığında bu durum görülmektedir. Bu yüzden artan küresel rekabette şirketlerin başarılı olabilmesi; faaliyetlerini sürdürülebilirlik koşullarına göre yürütebilmesi için tüm kalite sistemlerini

içselleştirilmeleri gerekmektedir. İçselleştirilen Uluslararası Standardizasyon Örgütü-International Organization for Standardization (ISO) standartlarına göre başta işletmelerin kuruluş izinlerinin verilmesi, sonrasında risk yönetim modellerinin geliştirilebilmesi şirketlerin mali başarısızlık riskinin kontrol ve yönetiminde önemli avantajlar sağlamaktadır. Kısacası şirketlerin, üretim süreçlerini düzenleyen ve denetleyen kalite yönetim sistemlerinin kurulması ve işletilmesi; operasyon süreçlerinin yetkili kuruluş veya kişilerin yapacağı bağımsız dış denetimlere açık olmaları sağlanmalıdır. Şirketlerde bu anlayışın yaygınlaşmasını sağlamak için sistemleri kurup işletenlere avantajlar sunulması ve/veya verilecek teşviklerin ön koşulu olması sağlanmalıdır. Zira şirketlerin dış denetim süreçlerinden geçmiş olması hem kayıt dışı ekonomiyi hem de şirketlerin maruz kalacağı başarısızlıklara zamanında müdahaleler yapılarak, gerekli önlemler alınarak önlenilebilecektir.

### 2.3. Paydaşlar Kapitalizmi ve Piyasaların Düzenlenmesinin Önemi

İktisadi faaliyetlerin temel kurumları olan şirketlerde ortakların ve paydaşların haklarının eşit işleme tabi olması konuları sermayedarlar kapitalizmi yerine paydaşlar kapitalizmi kavramıyla önemli olmaya başlamıştır. Bu kavramın ortaya çıkışı şöyle özetlenebilir. Ana akım iktisadın egemen görüşü liberalizmin sermayedarlar kapitalizminde, sermaye sahiplerinin, kendi kârlarını maksimize ederken toplum refahına katkıda bulunulacağı varsayıdır. Sermayenin devlete ait olmasıyla veya onun müdahale etmesiyle ifade edilen devlet kapitalizminde ise toplum refahını adil bir şekilde sağlayacak düzenin kurulacağı görüşü savunulur. Fakat aşırı kâr hırsıyla tahrip edilmiş ve doğal yapısı bozulmuş küresel bir çevre; iktidar kavgaları, gelir dağılımı adaletsizliklerinin sebep olduğu kargaşaların ve savaşların yaşandığı umutsuz insanların görüldüğü günümüz dünyasında her iki uç yaklaşımın iflas ettiği görülmektedir. Dolayısıyla bu sorunlu yapının temel sebebi olan şirketlerden ve/veya sermayedarlardan daha fazlasını yapması bekleniyor ki amaç sürdürülebilir kalkınmanın başarılabilmesidir. Bunun için de tüm tarafları kapsayan paydaşlar kapitalizmi kavramı gündeme gelmiştir.

Paydaşlar kapitalizmi kavramı öncesinde Friedman (1970) tarafından kullanılan hissedarlar kapitalizmi kavramında, iş dünyasının tek sosyal sorumluluğu, sahtekârlık ve aldatma olmadan, serbest ve açık bir rekabet ortamında kazançlarını arttırmak olarak ifade edilmişti. Bu şekildeki yaklaşım temel iki amaca ulaşmayı hedeflemekteydi: Birincisinde kar maksimizasyonuna ulaşırken toplumsal faydanın da sağlanacağı, ikincisinde ise hissedarlar için kar üretildiği sürece büyük yeni yatırımlar mümkün olacaktı. Bu amaçlara ulaşmada özellikle birincisine özen gösterilmeden sadece ikinci amaca hizmet edildiği için ortaya çıkan sorunların nedeni olarak görülen hissedarlar kapitalizmi yerine önerilen çözüm, Dünya Ekonomik Forumu (World Economic Forum) kurucusu ve Chief Executive Officer (CEO'su) Schwab (2020) tarafından 1973'teki zirvede açıkladığı paydaşlar kapitalizmidir. O yıllardan bugüne paydaşlar kapitalizmi kavramının niçin önemli olduğu, yaşanan sorunların sebeplerinde ve çözüm önerilerinde yatmaktadır (Yazıcı, 2021: 807).

Aynı şekilde paydaşlar kapitalizmi kavramının desteklemek, şirketlerde işlerin sürdürülebilirliğini sağlamak diğer bir bakışla tüm üretim faktörlerine adil davranabilmek için kurumsal yönetim kriterleri de önemlidir. Çünkü sürdürülebilirlik daha fazla kurumsal inovasyon gerektirir ve sürdürülebilirlik, bir şirketin kurumsal sosyal sorumluluk programları aracılığıyla nasıl kâr ve topluma katma değer sağlayabileceği ve şirketin doğanın ve çevrenin korunmasına nasıl katkı verebileceği ile ilgilidir. Bu sürecin temel reçetesi, işletmelerde iç kontrol sistemlerinin kurulması ve uluslararası standartlarda denetim faaliyetlerinin bütünlük bir şekilde yürütülmesi gerekmektedir.

### 3. PİYASALARIN DÜZENLENMESİNDE SOSYAL UYGUNLUK KRİTERLERİNİN VE DENETİMİNİN ÖNEMİ

İktisadi yapının temel kurumları olan şirketlerin yönetici ve sermayedarları yanı sıra çalışanları gibi paydaşları arasındaki ilişkiyi düzenleyen ve şeffaflık, hesap verebilirlik, sorumluluk, adalet gibi nitelikleri mümkün kılan kurallar ve uygulamalardan oluşan iyi yönetim, özel sektörün hem kendi içinde ve hem de kamu ile olan ilişkisini tanımlamaktadır. Bu tanımlama sayesinde kamunun iyi yönetim dolayısıyla adil bir şekilde ilgili aksiyonlara uyum sağlama becerisi yaygınlaşabilecektir. Böylece özel sektörün operasyonel anlamda daha verimli bir hale gelmesi beklenirken aynı zamanda da kamu kurumları, özel şirketler ve sivil toplum arasındaki ticari ve sosyal ilişkilerin de daha yetkin, adil hale gelmesi mümkün olabilecektir. Kısacası iyi yönetim, kamuda olduğu kadar özel sektörde de dengeli ekonomik büyüme açısından önemlidir.

Bu beklentilerin yani iyi yönetimin sonuçlarının gerçekleşebilmesi için de şirketlerin, öncelikle kendisine ve hissedarlarına karşı sorumlu olmasını sağlayan ve gönüllülük esasına dayanan kurumsallaşmış Sosyal Uygunluk (Etik Davranış Kuralları) Kriterlerinin içselleştirmesi gerekmektedir. Küresel ölçekte standartları belirlenmiş Sosyal Uygunluk Kriterlerini temel alan Sosyal Uygunluk Programları, kültürel olarak paylaşılan normlara ve kurallara

odaklanarak, kurumları ve kurumsal değişimi normatif bir bakış açısıyla analiz etmek için kavramsal bir bakış açısı sağlar. Bu kavramsal perspektif, sürdürülebilir kalkınmanın gerçekleştirilmesi için sorumlu karar vericilerin veya bireysel olarak vatandaşların uymaları gereken normatif kuralları göstermektedir.

Şirket profesyonellerinin, finans, muhasebe, yatırım, üretim gibi konuları yönetebilmek için öncelikle teorik bilgi ve piyasa tecrübesine sahip olmaları gerekir fakat küreselleşen, hızla değişen iş dünyasında bunlar yeterli değildir. Bunların makro anlamda sürdürülebilir kalkınmayı, kurumsallaşmayı; mikro ölçekte de şirketlerin, sürdürülebilir kalkınma nosyonuna odaklanarak faaliyetlerindeki sürekliliği; hem paydaşlarının haklarını koruyarak hem de insanların günlük yaşamındaki karar alma süreçlerindeki standartları, kuralları düzenlemeyi amaçlayan normatif kurullarla desteklenmesi gereklidir. Özetle şirketlerin sahip olduğu donanımların, ISO gibi standart sistem kurullarıyla desteklenmesi; iç ve dış denetim süreçlerine tabii olması sayesinde başarılarının sürekliliği, ekonomide sürdürülebilirlik, tüm paydaşlara hitap edebilmek mümkün olabilecektir.

### 3.1. Sosyal Uygunluk ve Denetimi Nedir?

Sosyal uygunluk, bir işletmenin çalışanlarına ve çevreye nasıl davrandığının ve sosyal sorumluluk kavramını kendi içinde ve etki alanlarında nasıl uyguladığının göstergesidir. Bir işletmenin sosyal uygunluk standartlarını karşıladığından emin olmak için o işletmeye sosyal uygunluk denetimi yapılması gerekebilir. Sosyal uygunluk denetimi aynı zamanda “Etik Denetim” olarak da adlandırılır (ILO, 2021: 4).

### 3.2. Sosyal Uygunluk ve Denetimleri Neden Önemlidir?

Küreselleşen, uluslararası ölçekte iş yapan, tedarik zincirinde yer alan şirketlerin, alım-satım alım yaparken artık sadece fiyat performansı ölçütlerine göre değil işletmelerin sosyal uygunluk seviyelerine göre de tercih yapmaktadırlar. “Çünkü markaların itibar yönetimi tüm tedarik zincirini kapsamaktadır. Örneğin; bir ünlü markanın tedarik zincirinde çocuk işçi kullanılıyor olması, o markanın tüketiciler, hissedarlar, kamuoyu, hükümet, sivil toplum kuruluşları, rakipleri; kısacası tüm paydaşları nezdinde tamir edilmesi zor olan itibar kayıplarına sebep olmaktadır. Bu itibar kayıpları da dolaylı veya dolaysız olarak büyük maddi kayba sebep olmaktadır. Sosyal uygunluk yönetim sistemleri sayesinde işletmeler olası uygunsuzlukları en kısa zamanda kendi içinde teşhis eder ve düzeltici faaliyetlerini gerçekleştirir, yani otonom yapı sayesinde dışarıdan bir desteğe ihtiyaç duymadan kendi kendini düzelter ve geliştiren bir yapı haline gelir. Sosyal Uygunluk kriterleri kısaca işletmenin bulunduğu ülke iş kanunları, iş sağlığı ve güvenliği mevzuatı, çevre kanunları ve işletmenin iş yaptığı markanın Sosyal Uygunluk Standartları’ndan ibarettir” (ILO, 2021: 4).

## 4. SOSYAL UYGUNLUK KRİTERLERİ VE DENETİMLERİ

Bugün bir şirketin kurumsal imajı, sürdürülebilirlik ve sosyal sorumluluk performansı sadece ürün kalitesi, satış rakamları ve çalışanlarına sunduğu imkanlar ile ölçülmüyor. Tedarik zincirinin sürdürülebilirliği ve tedarikçilerinin sosyal ve çevresel konulardaki tutum ve uygulamaları da şirketin marka değerini belirlemede önemli bir etkidir. Sosyal uygunluğun oluşum ve denetiminde kullanılan çeşitli standartlar, kuruluşlar, sertifikasyon programları ve denetim yaklaşımları vardır. Hepsinin özünde Uluslararası Çalışma Örgütü’nün (ILO), BM İnsan Hakları Sözleşmesi ve insan hakları alanındaki diğer önemli uluslararası kriterler referans alınmaktadır (Aşan, 2022). Bunlardan en önemlileri aşağıda sıralanmıştır:

### 4.1. Uluslararası Sosyal Sorumluluk Standardının (SAI) Kriterleri ve Denetimleri

Sosyal uygunluk yönetim sistemlerinden SA8000 Standardı ve Sertifikasyon Sistemi, herhangi bir endüstrideki ve herhangi bir ülkedeki her türden kuruluşta, çalışanlar için adil ve insana yakışır bir şekilde iş yapmaları ve en yüksek sosyal standartlara bağlılıklarını göstermeleri için bir çerçeve sağlar. Standart, Uluslararası Sosyal Sorumluluk Örgütü (Social Accountability International - SAI) tarafından 1997 yılında ilk güvenilir sosyal sertifika olarak oluşturulmuş olup, 20 yılı aşkın bir süredir sektöre öncülük etmektedir (SAI, 2022).

SA8000 Standardı, İnsan Hakları Evrensel Beyannamesi, ILO sözleşmeleri ve ulusal yasalar da dahil olmak üzere, uluslararası kabul görmüş insana yakışır iş standartlarına dayanmaktadır. SA8000, sosyal performansla bir yönetim sistemleri yaklaşımı uygular ve kontrol listesi tarzı denetime değil, sürekli iyileştirmeye vurgu yapar (SAI, 2022).

İyileştirilen SA8000-2014, SA8000 Standardının güncel versiyonudur. SA8000’de yönetim sistemlerinin değerlendirilmesi için Social Fingerprint (Sosyal Parmakizi) değerlendirme sistemi kullanılmaktadır. Bu sistem aşağıdaki konuların işletmedeki uygunluğunu 5 (en iyi) – 1 (en kötü) arası bir ölçekte değerlendirmektedir (ILO, 2021: 7):

1. Politika prosedür ve kayıtlar
2. Sosyal performans ekibi
2. Risklerin belirlenmesi ve değerlendirilmesi
4. İç denetim
5. İç iletişim ve katılım
6. Şikayet yönetimi çözümü
7. Denetim ve paydaşlarla iletişim
8. Düzeltici ve önleyici faaliyetler
9. Eğitim ve kapasite geliştirme
10. Tedarikçi ve taşeron yönetimi

SA8000 standardının temel unsurları, çalışanların katılımı ile şirketler için sürekli iyileştirilmeyi içerir. Özetle sürekli iyileştirme kültürü ve SA8000’in diğer unsurları yalnızca daha iyi çalışma koşulları ve çalışan refahı sağlamakla kalmaz aynı zamanda üretkenlik, paydaş ilişkileri, pazar erişimi ve daha fazlası için fayda sağlar.

#### **4.2. Amerikan Konfeksiyon ve Ayakkabı Derneği’nin Kriterleri ve Denetimleri**

Amerikan Konfeksiyon ve Ayakkabı Derneği’nin (American Apparel and Footwear Association-WRAP), öncüsü olması ile 2000 senesinde kuruldu. Kuruluş amacı dünyanın dört bir yanındaki fabrikalardaki sosyal uygunluk koşullarını bağımsız olarak değerlendirebilecek bir kuruluşun oluşturulmasıdır (ILO, 2021: 8). WRAP İlkeleri, genel kabul görmüş uluslararası işyeri standartlarına, yerel yasalara ve işyeri düzenlemelerine dayanmaktadır ve Uluslararası Çalışma Örgütü (ILO), Birleşmiş Milletler İş ve İnsan Hakları Rehber İlkeleri ve Ekonomik İşbirliği ve Kalkınma Örgütü’nün (OECD) Çok Uluslu Şirketler için Rehber İlkelerini içermektedir (WRAP, 2022).

WRAP Sertifikasyon Programının amacı ürünlerin güvenli, yasal, insani ve etik koşullar altında üretilmesini sağlamak için bu standartlara uygunluğu bağımsız olarak izlemek ve belgelemektir. Katılımcı tesisler, gönüllü olarak üretim uygulamalarının bu standartları karşılamasını sağlamayı taahhüt eder ve ayrıca, yüklenicilerinin ve tedarikçilerinin de bu standartlara uyması beklentisini iletmeyi, denetlemeyi taahhüt eder (WRAP, 2022).

İlkeler, insan kaynakları yönetimi, sağlık ve güvenlik, çevre uygulamaları, ithalat/ihracat ve gümrük uyumu ve güvenlik standartları dahil olmak üzere yasal uyumu kapsar. İlkeler, tedarik zinciri yönetiminde sorumlu iş uygulamalarını ve sürdürülebilirliği teşvik etmeyi ve Birleşmiş Milletler Sürdürülebilir Kalkınma Hedeflerinin, özellikle de İnsana Yakışır İş ve Ekonomik Büyüme ve Sorumlu Tüketim ve Üretim ilerlemesine katkıda bulunmayı amaçlamaktadır (WRAP, 2022).

#### **4.3. İş Sosyal Uygunluk Girişimi (Amfori BSCI) Kriterleri ve Denetimleri**

Yakın zamanda Amfori olarak anılmaya başlayan BSCI, 2003 yılında Dış Ticaret Birliği (Foreign Trade Association-FTA) tarafından küresel tedarik zincirleri içinde sosyal uyumu geliştirmek, işletmelerde buna yönelik pratik ve verimli bir sistem kurulması amacı ile kurulmuştur. Amfori BSCI denetimlerinde temel aldığı kriterler (ILO, 2021: 9):

1. Örgütlenme ve Toplu Sözleşme Hakkı
2. Adil Ücret
3. İş Sağlığı ve Güvenliği
4. Genç İşçiler İçin Özel Koruma
5. Borçların İşgücü ile Ödenmesinin Önlenmesi
6. Etik İş Davranışı
7. Ayrımcılık Yapılmaması
8. İnsana Yakışır Çalışma Saatleri
9. Çocuk İşçiliğini Önleme
10. Güvencesiz Çalışmayı Önleme
11. Çevrenin Korunması

#### 4.4. Etik Ticaret Girişimi (ETI) Kriterleri ve Denetimleri

ETI (Ethical Trading Initiative), dünya çapındaki işçi haklarını destekleyen şirketler, sendikalar ve Sivil Toplum Kuruluşlarının, çalışanların yaşamlarında bir fark yaratmak için kolektif eylemin gücüne inanan küçük bir vizyonerler grubu tarafından 1998 yılında kuruldu. Tüm işçilerin sömürü ve ayrımcılıktan kurtulduğu; özgürlük, güvenlik ve eşitlik şartlarından yararlandığı bir dünya hedeflenmektedir. Etik Ticaret Girişiminin denetimlerinde temel aldığı kriterler (ILO, 2021: 11):

1. Çalışanlar özgür iradeleri doğrultusunda seçilir
2. Sendikalaşma ve toplu iş sözleşmesi yapma hakkı tanınır
3. İş sağlığı ve güvenliği sağlanır
4. Çocuk işgücü kullanılmaz
5. Minimum geçinmeye yetecek seviyede maaş ödemesi yapılır
6. Çalışma saatleri fazla olmamalıdır
7. Hiçbir ayrımcılık uygulanmaz
8. Düzenli istihdam sağlanır
9. Çok yıpratıcı veya insanlık dışı hiçbir uygulamaya müsaade edilmez

#### 4.5. Tedarikçi Etik Veri Değişimi (SEDEX ) Kriterleri ve Denetimleri

Sedex, küresel tedarik zincirlerinde çalışma koşullarını iyileştirmek için işletmelerle birlikte çalışan, dünyanın önde gelen etik ticaret üyelik kuruluşlarından biridir. İşletmelerin sorumlu ve sürdürülebilir bir şekilde çalışmasına, çalışanları korumasına ve etik bir şekilde kaynak sağlamasına yardımcı olacak çevrimiçi bir platform, araçlar ve hizmetler sunuyor. Sedex'i kullanmak, işletmelerin sosyal ve çevresel performanslarını daha iyi yönetmek ve tedarik zinciri boyunca çalışma koşullarını iyileştirmek için birlikte çalışılmasına olanak tanımaktadır (SEDEX, 2022).

SEDEX denetimleri genellikle 3-4 haftalık, yarı haberli, 3. taraf bağımsız denetim olarak gerçekleştirilmektedir. ETI, Sedex platformunu kullanmaktadır. Yukarıda bahsi geçen ETI kriterlerine ve yerel kanunlara göre değerlendirilen işletmeye detaylı bir rapor ve düzeltme planı verilir. Geçerliliği 12 aydır. SEDEX Denetimleri İngiltere başta olmak üzere, bazı Avrupa markaları tarafından da kabul gören bir denetim türüdür (ILO, 2021: 12).

### 5. SONUÇ

Covid 19, küresel ısınma, biyolojik çeşitliliğin azalması, savaşlar gibi gezegeni tamamıyla etkisi altına alan felaketlerin sebep olduğu iklim krizi, yoksulluk, açlık, susuzluk, gelir eşitsizlikleri, toplumsal cinsiyet eşitsizliği gibi sorunlar tek bir devlet veya kurumun altından kalkamayacağı büyüklüklere ulaşmıştır. Dolayısıyla çözümler üretilebilmesi için devletlerin ve sivil toplum kuruluşları yanında şirketlerin de işbirliğine ihtiyaç vardır. Zira iktisadi faaliyetlerin temel kurumları olan şirketlerde ortakların ve tüm paydaşların haklarının eşit işleme tabi olması konuları yani sermayedarlar kapitalizmi yerine paydaşlar kapitalizmi kavramı 20. yüzyılın son çeyreğinde gündeme gelmeye başlamıştır. Bu yaklaşımın temel amacı artan sorunların sebebi olan şirketlerden ve/veya sermayedarlardan daha fazlasını yapmasının bekleniyor olmasıdır. Böylece şirketlerin faaliyetlerinin sürekliliği sağlanırken sürdürülebilir kalkınmanın başarılabilmesi mümkün olabilecektir. Aynı şekilde paydaşlar kapitalizmi kavramının desteklemek, ulusal ve uluslararası ölçekteki şirketlerde işlerin sürdürülebilirliğini sağlamak diğer bir bakışla tüm üretim faktörlerine adil davranabilmek için kurumsal yönetim kriterleri ve bunları tamamlayacak uluslararası ölçekte bilinen Sosyal Uygunluk Kriterleri de önemli olmaya başlamıştır.

Şirketlerin son dönemlerde önem verdiği Sosyal Uygunluk Kriterlerini temel alan Sosyal Uygunluk Programları, kültürel olarak paylaşılan normlara ve kurallara odaklanarak, kurumları ve kurumsal değişimi normatif bir bakış açısıyla analiz etmek için kavramsal bir bakış açısı sağlar. Bu kavramsal perspektif, sürdürülebilir kalkınmanın gerçekleştirilmesi için sorumlu karar vericilerin veya bireysel olarak vatandaşların uymaları gereken normatif kuralları göstermektedir.

Şirket yöneticilerinin, finans, muhasebe, yatırım, üretim gibi konuları yönetebilmek için öncelikle teorik bilgi ve piyasa tecrübesine sahip olmaları gerekir fakat küreselleşen, hızla değişen iş dünyasında bunlar yeterli değildir. Bunların makro anlamda sürdürülebilir kalkınmayı, kurumsallaşmayı; mikro ölçekte de şirketlerin, sürdürülebilir kalkınma nosyonuna odaklanarak faaliyetlerindeki sürekliliği; hem paydaşlarının haklarını koruyarak hem de insanların günlük yaşamındaki karar alma süreçlerindeki standartları, kuralları düzenlemeyi amaçlayan normatif kurullarla desteklenmesi gereklidir. Özetle şirketlerin sahip olduğu donanımların, ISO gibi standart sistem

kurumlarıyla desteklenmesi; iç ve dış denetim süreçlerine tabii olması sayesinde başarılarının sürekliliği, ekonomide sürdürülebilirlik, tüm paydaşlara hitap edebilmek mümkün olabilecektir.

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## Organize Sanayi Bölgelerine Sağlanan Teşvikler ve İktisadi Etkileri; Tekirdağ İli Örneği

Öğr. Gör. Dr. Selin BAHAR<sup>1</sup>

<sup>1</sup> Namık Kemal Üniversitesi / Çerkezköy MYO, Yönetim ve Organizasyon Bölümü,

sbahar@nku.edu.tr, ORCID:000-0003-3512-425X

**Özet:** Türkiye'de sanayinin gelişimi sanayiye yönelik olarak ve özellikle Organize Sanayi Bölgelerine verilen teşvikler sayesinde gerçekleşmektedir. Ekonomik gelişme açısından Organize Sanayi Bölgelerine verilen teşvikler önem arz etmektedir. Teşvikler, kamu maliyesi teorisinde bahsedilen çarpan ve hızlandırıcı etkileri ile toplumsal gelirin arttırılmasına, başka bir deyişle milli gelin arttırılmasına önemli katkılar yapmaktadır. Ayrıca, istihdam yaratılması ile çalışma çağındaki nüfusun büyük bir bölümünün istihdamını da doğrudan olumlu etkileyebilmektedir. Teşvikler bölgesel olarak farklılık gösterse de gelişmemiş yöreler açısından bakıldığında bu yörelerin ekonomik gelişimini hızlandırabilmektedir. Türkiye'de sanayinin ve dolayısıyla ekonominin gelişimi için bölgesel teşvik uygulamaları olarak Organize Sanayi bölgelerine sağlanan birçok destek unsuru bulunmaktadır. Bölgesel destek unsurları, gümrük muafiyeti, KDV istisnası yanında OSB içinde veya dışında olmasına bağlı olarak vergi indirimi, sigorta primi işveren hissesi desteği gibi destekler de yer almaktadır. Organize Sanayi bölgeleri tüzel kişiliğine ilişkin bazı muafiyet ve indirimler ise kredi desteği, gelir, kurumlar vergisi muafiyeti, kredi faiz desteğidir. Organize Sanayi bölgesinde yer alan işletmelerde emlak vergisi, KDV muafiyeti, yapı denetim kuruluşlarına ödenecek hizmet bedeli indirimi, konusunda olmakla beraber arsa indirimleri de illere göre değişen oranlarda yapılabilmektedir. Bu çalışmada genel yatırım teşvikleri ve Organize Sanayi bölgelerinde uygulanan teşvikler açıklanarak, Tekirdağ ilinde bulunan Organize Sanayi Bölgelerine uygulanan teşvikler ve kredi destekleri incelenmiştir.

**Anahtar Kelimeler:** Teşvik, Organize Sanayi, Kredi Desteği

**Abstract:** The development of the industry in Turkey takes place thanks to the incentives given to the industry and especially to the organized industrial zones. Incentives given to organized industrial zones are important for economic development. With the multiplier and accelerating effects mentioned in the public finance theory, incentives make significant contributions to increasing social income, in other words, increasing the national income. In addition, they can directly positively affect the employment of a large part of the working age population by creating employment. Although the incentives differ regionally, when viewed in terms of undeveloped regions, they can accelerate the economic development of these regions. There are many support elements provided to organized industrial zones as regional incentive practices for the development of industry and therefore the economy in Turkey. Regional support elements include VAT exemption, customs exemption, as well as support such as tax deduction, insurance premium employer's share, depending on whether it is inside or outside the OIZ. Some exemptions and discounts regarding the legal entity of organized industrial zones are credit support, income, corporate tax exemption, and loan interest support. In the enterprises located in the organized industrial zone, real estate tax, VAT exemption, service fee discount to be paid to building inspection institutions, land discounts can also be made at varying rates according to the provinces. In this study, general investment incentives and incentives applied in organized industrial zones are explained, and incentives and credit supports applied to organized industrial zones in Tekirdağ province are examined.

**Key Words:** Incentive, Organized Industry, Credit Support

### 1. GİRİŞ

Türkiye'de Sanayi ve Teknoloji bakanlığının yatırım teşvik uygulamaları hamle programı, Cazibe Merkezleri Programı ve Yatırım Teşvik sisteminden oluşmaktadır. Yatırım teşvik sistemindeki amaç; kümelenme faaliyetlerinin, teknolojik dönüşümü sağlayan yatırımların desteklenmesi, bölgesel gelişmişlik düzeylerinin belirlenerek farklılığın azaltılması ve az gelişmiş bölgelere yatırımların arttırılması, destek faaliyetlerinin etkinliğinin arttırılması olmaktadır. Organize Sanayi Bölgeleri 1960'tan itibaren Türkiye'nin ekonomik gelişiminde üretim lokomotifini rolünü üstlenmiştir. Organize Sanayi bölgelerinin rekabet gücünü ve sürdürülebilirliğinin arttırılması amacıyla yatırım teşvik sistemi haricinde Organize Sanayi bölgelerine birçok teşvikler bulunmaktadır. Bu çalışmada genel yatırım teşvikleri ve Organize Sanayi bölgelerinde uygulanan teşvikler açıklanarak, Tekirdağ ili sanayi bölgesi ve Tekirdağ ilinde bulunan Organize Sanayi Bölgelerine uygulanan teşvikler incelenmiştir.

Bu çalışmada, Türkiye'de Organize Sanayi bölgelerinde verilen teşvikler ve ekonomik katkıları, kaynak tarama usulü ile ele alınmaya çalışılmıştır.

## 2. YATIRIM TEŞVİK UYGULAMALARI

Sanayi ve Teknoloji Bakanlığı Ocak 2022 tarihli Yatırım teşvik uygulamalarına göre yatırımlar üç bölümden oluşmaktadır; Yatırım teşvik sistemi, Cazibe merkezleri programı ve Hamle programlarıdır. 2012/3305 sayılı 15.06.2012 tarih ve Bakanlar kurulu kararı ile teşvik sistemi; bölgesel teşvik uygulamaları, öncelikli yatırımların teşviki ve stratejik yatırımların teşviki, genel teşvik uygulamaları olarak 4 bölümde incelenmektedir. (Sanayi ve Teknoloji Bakanlığı, 2021:1) Tablo 1 'de Yatırım teşvik sisteminde yer alan destek unsurları yer almaktadır.

Tablo 1: Yatırım Teşvik Sistemi Tablosu

Destek Unsurları	Genel Teşvik Uygulamaları	Bölgesel Teşvik Uygulamaları	Öncelikli Yatırımların Teşviki	Stratejik Yatırımların Teşviki
KDV İstisnası	✓	✓	✓	✓
Gümrük Vergisi Muafiyeti	✓	✓	✓	✓
Vergi İndirimi		✓	✓	✓
Sigorta Primi İşveren Hissesi Desteği		✓	✓	✓
Sigorta Primi (İşçi Hissesi) Desteği*		✓	✓	✓
Faiz veya Kar Payı Desteği**		✓	✓	✓
Yatırım Yeri Tahsisi		✓	✓	✓
KDV İadesi***				✓

\* Yatırımın 6. Bölgede yapılması halinde veya Teknoloji Odaklı Sanayi Hamlesi Programı (TOSH) kapsamında desteklenen stratejik yatırımlara sağlanır.

\*\* Yatırımın Bölgesel Teşvik Uygulamalarında 3., 4., 5. veya 6. bölgelerde gerçekleştirilmesi halinde sağlanır.

\*\*\* Sabit yatırım tutarı 500 milyon TL üzerinde olan stratejik yatırımlara sağlanır. 2017-2024 yıllarında imalat sektöründe gerçekleştirilecek teşvik belgeli tüm yatırımlara ilişkin bina-ınşaat harcamaları da KDV iadesinden yararlanabilmektedir.

Kaynak: Sanayi ve Teknoloji Bakanlığı (2021: 1).

Yatırım teşvik sisteminde; gümrük vergisi muafiyeti ve KDV istisnası destek unsurları genel, bölgesel ve öncelikli yatırımları ve stratejik yatırımlar teşviklerinde yer almaktadır. KDV istisnası; ülke içi ve dışından tedarik edilen makine ve teçhizat yatırım mallarını ve gayri maddi hak satış, yazılım ve kiralama kapsamaktadır (Sanayi ve Teknoloji Bakanlığı 2022:10). Gümrük vergisi muafiyeti; ülke dışından tedarik edilen teçhizat ve makine yatırım mallarını kapsamaktadır (Sanayi ve Teknoloji Bakanlığı 2022:11).

Sigorta primi işçi hissesi desteği, sigorta primi işveren hissesi desteği, vergi indirimi, faiz ve kâr payı desteği ise öncelikli ve stratejik yatırımların teşviki ve bölgesel teşvik uygulamalarında yer almaktadır.

Vergi indirimi; kurumlar ve gelir vergisinde yatırımda beklenen katkı tutarına ulaşılan kadar indirim sağlanmasıdır (Sanayi ve Teknoloji Bakanlığı 2022:12).

Sigorta primi işveren hissesi desteği; bakanlığın belli bir süreliğine karşıladığı teşvik belgesi kapsamında yatırımlardan temin edilen ek istihdam için ödenmesi gereken sigorta primi işveren hissesinin asgari ücrete tekabül eden kısmını ifade eder (Sanayi ve Teknoloji Bakanlığı 2022:15). KDV iadesi destek unsuru ise sadece stratejik yatırımların teşvikiinde yer almaktadır.

Şekil 4: Bölgesel Teşvik Uygulamaları Bölgesel Harita SEGE 2017



Kaynak: Sanayi ve Teknoloji Bakanlığı (2021a:24)



Şekil 1 'de bölgesel teşvik uygulamalarında yer alan harita yer almaktadır. Bölgesel Teşvik sisteminde, Birinci Bölgede 9 il, ikinci bölgede 15 il, üçüncü bölgede 13 il, 4 ve 5. Bölgede 14 il, 6. Bölgede ise 16 il yer almaktadır. Ocak 2021 yılı itibari ile Tekirdağ ili 1.bölge teşvik destek unsurlarından yararlanmaktadır.

Tablo 2: Bölgesel Teşvik Sisteminde Yer Alan Destek Unsurları

Destek Unsurları			BÖLGELER					
			I	II	III	IV	V	VI
KDV İstisnası			✓	✓	✓	✓	✓	✓
Gümrük Vergisi Muafiyeti			✓	✓	✓	✓	✓	✓
Vergi İndirimi	Yatırıma Katkı Oranı* (%)	OSB ve EB Dışı	15	20	25	30	40	50
		OSB ve EB İçi	20	25	30	40	50	55
Sigorta Primi İşveren Hissesi Desteği**/****		OSB ve EB Dışı	2 yıl	3 yıl	5yıl	6 yıl	7 yıl	10 yıl
		OSB ve EB İçi	3 yıl	5 yıl	6 yıl	7 yıl	10 yıl	12 yıl
Yatırım Yeri Tahsisi			✓	✓	✓	✓	✓	✓
Faiz veya Kar Payı Desteği	İç Kredi		-	-	3 Puan	4 Puan	5 Puan	7 Puan
	Döviz / Dövizle Endeksli Kredi		-	-	1 Puan	1 Puan	2 Puan	2 Puan
Sigorta Primi İşçi Hissesi Desteği***			-	-	-	-	-	10 yıl

EB: İmalat sanayiine yönelik olarak Endüstri Bölgesinde gerçekleştirilen yatırımlar.

\*İmalat sanayiine yönelik (US-97 Kodu:15-37) düzenlenen yatırım teşvik belgeleri kapsamında, 1/1/2017 ile 31/12/2022 tarihleri arasında gerçekleştirilecek yatırım harcamaları için yatırıma katkı oranı her bir bölgede geçerli olan yatırıma katkı oranına 15 puan ilave edilmek suretiyle, vergi indirimi oranı tüm bölgelerde %100 oranında ve yatırıma katkı tutarının yatırım döneminde kullanılabilir oranı %100 olarak uygulanır.

\*\* Teşvik belgesi düzenlenmesine ilişkin müracaat aşamasında talep edilmesi halinde, vergi indiriminden yararlanılmamak kaydıyla, desteğin sabit yatırım tutarına oranı, yatırıma katkı oranının yarısı kadar artırılarak uygulanır.

\*\*\* Kadın ve/veya genç istihdamının desteklenmesi amacıyla, kadın ve/veya genç istihdam eden firmaların istihdam desteklerinden yararlanabilme süreleri uzatılmıştır.

Kaynak: Sanayi ve Teknoloji Bakanlığı (2022:15).

Tablo 2'ye göre Bölgesel teşvik uygulamaları kapsamında Tekirdağ ilinde faaliyet gösteren işletmeler Ocak 2021'den itibaren birinci bölge destek unsurlarından yararlanmaktadır. Bunlar gümrük vergisi muafiyeti, KDV istisnası, vergi indirimi (OSB içi yatırıma katkı oranı %20), sigorta primi işveren hissesi desteği (OSB içi 3 yıl), yatırım yeri tahsisidir.

### 3. ORGANİZE SANAYİ BÖLGESİ TEŞVİK UYGULAMALARI VE TEKİRDAĞ İLİ İNCELEMESİ

#### 3.1. Organize Sanayi Bölgesine Sağlanan Teşvikler

Türkiye'de Organize Sanayi bölgelerinde faaliyet gösteren işletmelerin Sanayi ve Teknoloji bakanlığının yatırım teşvik uygulamaları hamle programı, Cazibe Merkezleri Programı ve Yatırım Teşvik sistemleri haricinde Organize Sanayi bölgesinde faaliyet göstermesinden kaynaklı teşvikleri mevcuttur. Organize Sanayi Bölgeleri OSB'nin ve OSB'deki yatırımcıların yararlanabileceği devlet teşvikleri ve açıklamaları Tablo 3'te yer almaktadır (Sanayi ve Teknoloji Bakanlığı, 2022a:1).

- 1) Kredi Desteği; OSB Tüzel Kişiliklerini kapsamaktadır
- 2) Gelir/ Kurumlar Vergisi Muafiyeti; OSB Tüzel Kişiliklerini kapsamaktadır.
- 3) Emlak Vergisi Muafiyeti; OSB'lerdeki tüm binaları kapsamaktadır (kiraya verilmemek şartıyla)
- 4) KDV Muafiyeti; OSB'lerin altyapı yatırımları ile arsa teslimlerini kapsamaktadır.
- 5) Damga Vergisi Muafiyeti; OSB'lerdeki arsaların tahsisine ilişkin sözleşmeleri ve taahhünameleri kapsamaktadır.
- 6) Harç İstisnası; OSB'lerdeki Gayrimenkullere ilişkin, Tevhit, ifraz, devir-tescil ve cins değişikliği işlemleri harçları ile Bina inşaat ve yapı kullanma izni harçlarını kapsamaktadır.
- 7) Yatırımlarda Devlet Yardımları Hakkında Karar Kapsamında Bir Alt Bölge Desteğinden Yararlanma; Bir Alt Bölge Desteğinden Yararlanma (Kararın 7 nolu ekinde belirtilen İlçelerde yer alan OSB'lerde iki alt bölge desteğinden yararlanma)
- 8) Arsa Tahsisi Desteği En az on kişilik istihdam taahhüt eden katılımcılar faydalanabilir. İlgili OSB yetkili organının karar alması gerekmektedir.

9) Yapı Denetim Kuruluşlarına denecek Hizmet Bedeli İndirimi %35'i geçmemek üzere indirimli uygulanır.

10) Kredi Faiz Desteği OSB tüzel kişiliği için mevcuttur. (Sanayi ve Teknoloji Bakanlığı,2022a:1).

Tablo 3: Organize Sanayi Bölgeleri OSB'nin ve OSB'deki Yatırımcıların Yararlanabileceği Devlet Teşvikleri

Teşvik	Açıklamalar
1) Kredi Desteği	<b>1 No'lu Cumhurbaşkanlığı Teşkilatı Hakkında Cumhurbaşkanlığı Kararnamesinin 385'inci maddesinin birinci fıkrasının (ç) bendine göre organize sanayi bölgelerinin faaliyetleri için gerekli olan ve Bakanlıkça uygun görülecek projelerin tamamına kadar olan kısmı kredi ile desteklenebilmektedir.</b>
2) Gelir/ Kurumlar Vergisi Muafiyeti	<b>5520 sayılı Kurumlar Vergisi Kanununun 4'üncü maddesinin (n) bendi gereğince</b> Organize sanayi bölgelerinin alt yapılarını hazırlamak ve buralarda faaliyette bulunanların; arsa, elektrik, gaz, buhar ve su gibi ortak ihtiyaçlarını karşılamak amacıyla elde edeceği gelirleri Kurumlar vergisinden muafır.
3) Emlak Vergisi Muafiyeti	<b>1319 sayılı Emlak Vergisi Kanununun 4 üncü maddesinin (m) fıkrasına göre</b> Organize Sanayi Bölgelerinde yer alan binalar (kiraya verilmemesi şartıyla) emlak vergisinden muafır. Aynı Kanunun 15'inci maddesi (d) fıkrasına göre ise Sanayi ve Teknoloji Bakanlığınca, organize sanayi bölgeleri için iktisap olunduğu veya bu bölgelere tahsis edildiği kabul edilen arazi (sanayici lehine tapudaki tescilin yapılacağı tarihe kadar) arazi vergisinden muafır.
4) KDV Muafiyeti	<b>3065 sayılı KDV Kanununun 17'nci maddesi 4'üncü fıkrası (k) bendine göre</b> Organize sanayi bölgelerinin kurulması amacıyla oluşturulan iktisadi işletmelerin arsa ve işyeri teslimleri KDV'den istisnadır. <b>Ayrıca mezkur Kanunun 13'üncü maddesi (j) bendine göre</b> Organize sanayi bölgelerinin su, kanalizasyon, arıtma, doğalgaz, elektrik, haberleşme, yenilenebilir ve diğer enerji tesisleri ile yol yapımına ilişkin, bunlara veya bunlar tarafından oluşturulan iktisadi işletmelere yapılan mal teslimleri ile hizmet ifaları KDV'den istisnadır.
5) Damga Vergisi Muafiyeti	<b>488 sayılı Damga Vergisi Kanununa ekli (2) sayılı Tablonun "IV-Ticari ve medeni işlerle ilgili kağıtlar" başlığı altındaki 53'üncü fıkraya göre</b> organize sanayi bölgelerinde bulunan arsaların tahsisine ilişkin olarak düzenlenen sözleşmeler ve taahhütnameler damga vergisinden istisnadır.
6) Harç İstisnası	<b>492 sayılı Harçlar Kanununun 59'uncu maddesinin (n) bendine göre</b> Organize sanayi bölgelerinde yer alan gayrimenkullerin ifraz veya taksim veya birleştirme işlemleri, söz konusu bölgelerde bulunan arsaların tahsis nedeniyle şerhi gerektiren işlemleri ile bu arsa ve üzerine inşa edilen binaların tahsis edilene devir ve tescilli işlemleri ve cins değişikliği işlemlerinden alınan harçtan istisnadır. <b>2464 sayılı Belediye Gelirleri Kanununun 80'inci maddesine göre ise Organize Sanayi Bölgelerinde Yapılan Yapı ve Tesisler Bina İnşaat Harcı ve Yapı Kullanma İzni Harcı'ndan müstesnadır 2464 sayılı Belediye Gelirleri Kanununun 80'inci maddesine göre, belediye sınırları ve mücavir alanlar içinde İmar Kanununa göre ilk kez yapılan veya istek üzerine gerçekleştirilen müteakip parselasyon işlemlerinde teşvik belgesine haiz olan organize sanayi bölgeleri Parselasyon Harcı'ndan müstesnadır.</b>
7) Yatırımlarda Devlet Yardımları Hakkında Karar Kapsamında Bir Alt Bölge Desteğinden Yararlanma	<b>15/06/2012 tarihli ve 2012/3305 sayılı Yatırımlarda Devlet Yardımları Hakkındaki Kararın 18'inci maddesine göre;</b>  (1) Büyük ölçekli yatırımlar veya bölgesel teşvik uygulamaları kapsamında teşvik belgesi düzenlenen yatırımlar, aşağıda belirtilen koşullardan en az birini sağlamaları halinde vergi indirimi ve sigorta primi işveren hissesi desteği açısından buldukları bölgenin bir alt bölgesinde sağlanan oran ve sürelerde bu desteklerden yararlanabilir.  a) Yatırımın organize sanayi bölgesinde gerçekleştirilmesi veya endüstri bölgesinde (imalat sanayine yönelik yatırımlar) gerçekleştirilmesi. Bu kapsamda desteklenen yatırımlar için beşinci fıkraya hükümleri uygulanmaz. Ancak, İstanbul ilinde organize sanayi bölgeleri veya endüstri bölgelerinde, komple yeni yatırımlar hariç olmak üzere, bu fıkrada belirtilen konularda gerçekleştirilecek asgari 5 milyon TL tutarındaki yatırımlara 1 inci bölgedeki bölgesel destekler uygulanır.  (5) Bölgesel teşvik uygulamaları kapsamında, EK-7'de yer alan 1 inci, 2 nci, 3 üncü ve 4 üncü bölge illerinin ilçelerinde gerçekleştirilecek yatırımlar ilçenin bulunduğu ilin bir alt bölgesine sağlanan bölgesel desteklerden; söz konusu ilçelerin organize sanayi bölgelerinde veya endüstri bölgelerinde gerçekleştirilecek yatırımlar ise bulunduğu ilin iki alt bölgesine sağlanan bölgesel desteklerden yararlanır. Ek-7'de yer alan 5 inci bölge illerinin ilçelerinde gerçekleştirilecek yatırımlara 6 ncı bölgeye sağlanan bölgesel destekler, söz konusu ilçelerin organize sanayi bölgelerinde veya endüstri bölgelerinde gerçekleştirilecek yatırımlara ise ikinci fıkraya hükümleri de uygulanmak üzere 6 ncı bölge destekleri uygulanır. Bu fıkraya hükümleri çerçevesinde gerçekleştirilecek yatırımlar sigorta primi desteği ve gelir vergisi stopajı desteğinden yararlanamazlar."  Söz konusu Karar kapsamında yer alan desteklerin uygulanması açısından iller ve ilçeler, sosyo-ekonomik gelişmişlik seviyeleri dikkate alınarak 6 bölgeye ayrılmıştır. Bu kapsamda illerin dağılım tablosuna söz konusu Kararın 1 no.lu ekinde, buldukları ilin bir alt bölge desteğinden yararlanacak ilçeler ise 7 no.lu ekte yer almaktadır.
8) Arsa Tahsis Desteği	OSB Kanununun ek 3. Maddesi, 2018/11773 sayılı BKK, Organize Sanayi Bölgelerinde Yer Alan Parsellerin Tamamen veya Kısmen Bedelsiz Tahsisine Dair Yönetmelik.
9) Yapı Denetim Kuruluşlarına Ödenecek Hizmet Bedeli İndirimi	<b>4708 sayılı Yapı Denetimi Hakkında Kanunun 5'inci maddesinin beşinci fıkrası gereğince</b> yapı denetim kuruluşlarına ödenecek hizmet bedeli Organize Sanayi Bölgeleri onaylı sınırı içerisinde yer alan tüm yapılar için %35'i geçmemek üzere indirimli uygulanır.
10) Kredi Faiz Desteği	<b>1 No'lu Cumhurbaşkanlığı Teşkilatı Hakkında Cumhurbaşkanlığı Kararnamesinin 385'inci maddesinin birinci fıkrasının (ç) bendine göre</b> organize sanayi bölgelerine iç ve dış kaynaklardan kullanacakları krediler için Bakanlıkça belirlenen miktarlarda kredi faiz desteği verilebilmektedir.

Kaynak: Sanayi ve Teknoloji Bakanlığı (2022a:2)

### 3.2. Organize Sanayi Bölgelerinde Yer Alan Parsellerin Tamamen veya Kısmen Bedelsiz Olarak Tahsisi

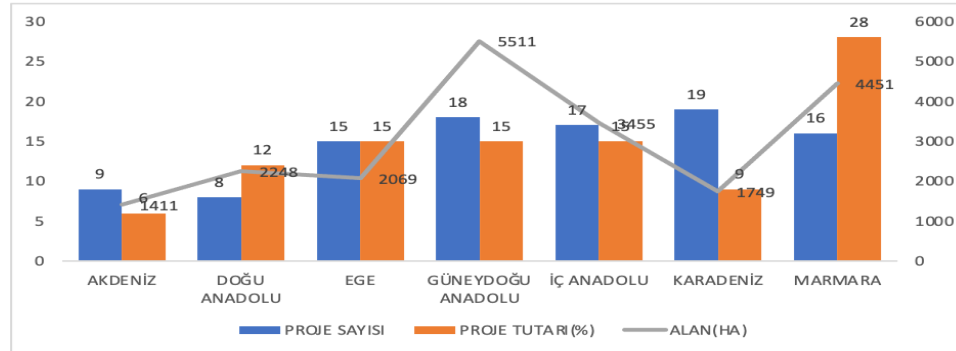
Organize sanayi bölgelerinde yer alan parsellerin tamamen veya kısmen bedelsiz olarak tahsisi hakkındaki ekli kararın yürürlüğe konulması; Organize Sanayi Bakanlığı Bölgeleri Kanununun ek 3'üncü maddesine göre, Bakanlar kurulunca 14.05.2018 tarihinde kararlaştırılmıştır. 14.05.2018 tarihli ve 2018/11773 sayılı kararnamenin ekine göre; 5. ve 6.kademe gelişmiş ilçelerde %100 indirimli, 4. kademe gelişmiş ilçelerde %80 indirimli, 3.kademe gelişmiş ilçelerde %60 indirimli, 2. kademe gelişmiş ilçelerde %40 indirimli, 1.Kademe gelişmiş ilçelerde indirimsiz olarak tahsis edilmesi kararlaştırılmıştır (Sanayi ve Teknoloji Bakanlığı, 2018:2).

Organize Sanayi Bölgelerinin birden fazla il veya ilçenin sınırları içerisinde yer alması halinde, Organize Sanayi Bölgesinin en fazla alanın olduğu yerin indirim oranı uygulanır. Tekirdağ ili Organize Sanayi Bölgelerinde yer alan parsellerin tamamen veya kısmen bedelsiz uygulamasında ilçeler; Birinci kademe gelişmiş ilçeler, Çerkezköy, Çorlu, İkinci kademe gelişmiş ilçeler; Malkara, Muratlı, Süleymanpaşa, Saray, Üçüncü kademe gelişmiş ilçeler; Ergene, Hayrabolu, Kapaklı, Marmara Ereğlisi, Şarköy Dördüncü, beşinci ve altıncı kademe gelişmiş ilçeler bulunmamaktadır (Sanayi ve Teknoloji Bakanlığı, 2018:3,5,9).

### 3.3. Sanayi ve Teknoloji Bakanlığı Kredi Desteği

Sanayi ve Teknoloji Bakanlığı Kredi Desteği ile 2000-2021 yıllarında bakanlık kredisi ile tamamlanan organize sanayi bölgesi projeleri verilerine göre; Yıllara göre biten OSB projelerinde 2000 yılından itibaren dalgalanma yer aldığı ancak son üç yıl incelendiğinde 2019 yılında 493 ha alan ile 5 proje, 2020 yılında 1334 ha alan ile 11 proje, 2021 yılında 2.646 ha alan ile 12 adet projenin tamamlanarak yukarı doğru bir ivme ile artış gösterdiği anlaşılmaktadır (Sanayi ve Teknoloji Bakanlığı, 2022b:1). Bakanlık kredisi ile Türkiye'de toplam 36.832 ha alan 213 proje tamamlanmıştır. Tamamlanan OSB projelerinin illere göre dağılımında Tekirdağ ili 1434ha alan, 7 proje ile ilk sıralarda yer almaktadır (Sanayi ve Teknoloji Bakanlığı, 2022c:1).

Şekil 2: OSB Projelerinin coğrafi bölgelere göre dağılımı



Kaynak: Sanayi ve Teknoloji Bakanlığı (2021b:1)

Şekil 2'de yer alan OSB Projelerinin coğrafi bölgelere göre dağılımına göre (2020 yılı yatırım programı) Güneydoğu Anadolu bölgesinde 18, Marmara bölgesi 16, Karadeniz bölgesinde 19, Ege bölgesinde 15, Akdeniz bölgesinde 9 proje yer almaktadır. 2020 yılı yatırım programında yer alan OSB projelerinde 5.511 ha alan ile Güneydoğu Anadolu bölgesi ilk sırada yer almaktadır. Proje tutarı %28 ise Marmara bölgesi ilk sırada yer almaktadır.

Tablo 4: 2022 Yılı Yatırım Programı Ergene Havzası OSB Alt Projeleri

Sıra No	Ergene Havzası OSB Projeleri	2022 Yılı Karakteristik	Proje Tutarı
			1.579.222.000
	2022'de Bitecekler		457.722.000
1	VELİKÖY,KAPAKLI, VELİMEŞE,YALIBOYU OSB	ARITMA	300.009.000
2	TEKİRDAĞ ÇORLU 1 OSB	353 HA (1)	118.713.000
3	TEKİRDAĞ KAPAKLI OSB	211 HA	39.000.000
	2022'den Sonraya Kalanlar		1.121.500.000
1	TEKİRDAĞ ERGENE 2 OSB	732 HA (1)	285.500.000
2	TEKİRDAĞ VELİKÖY OSB	367 HA	124.000.000
3	TEKİRDAĞ VELİMEŞE OSB	1.021 HA	282.250.000
4	KIRKLARELİ BÜYÜKKARIŞTIRAN OSB	583 HA+ARITMA	311.250.000
5	KIRKLARELİ EVRENSEKİZ OSB	196 HA+ARITMA	118.500.000
	Genel Toplam		1.579.222.000

Kaynak:Sanayi ve Teknoloji Bakanlığı (2022d:1)

(1) Arıtma inşaatları tamamlanmıştır.

Tablo 4'e göre Tekirdağ ili Ergene havzası OSB alt projesinde 2022 yılında Veliköy, Kapaklı, Velimeşe ve Yalıboyu OSB'nin arıtma tesisi, Çorlu 1 OSB'nin 353 ha artıma inşaatı, Kapaklı OSB'nin 211ha tamamlanması öngörülmüştür. Tekirdağ ilinde Ergene 2 OSB'nin 732ha arıtma inşaatı, Veliköy OSB'nin 367ha, Velimeşe OSB'nin 1.021ha 2022 yılı sonrasında tamamlanması planlanmıştır.

### 3.3.1.Ergene Havzası Koruma Eylem Planı Derin Deniz Deşarjı Projesi

Proje, Ergene Havzasında yer alan OSB'de faaliyet gösteren işletmelerden çıkan atıksuların ortak arıtma tesislerinde arıtılıp daha sonra kolektör hattı sayesinde Marmara Denizine deşarj edilmesidir. (Ergene2 2019, s.8). Şekil 3'te Meriç-Ergene Havzası Koruma Eylem Planı Çerçevesinde Hazırlanan Derin Deniz Deşarjı Projesi yer almaktadır.

Şekil 3: Meriç-Ergene Havzası Koruma Eylem Planı Çerçevesinde Hazırlanan Derin Deniz Deşarjı Projesi



Kaynak: Ergene 2 OSB (2019;8)

## 4. SONUÇ

Organize Sanayi bölgeleri sanayinin, uygun görülen yörelerde yapılanmasını sağlamak, bilgi ve bilişim teknolojilerini kullanarak bir plan dahilinde imalat sanayi türlerinin geliştirilmesi için kurulmuş olan ve aynı zamanda çevre sorunlarını önlemeye de katkı yapan ve ilave olarak, sosyal tesisler ve teknoparklar ile donatılan ve 4562 Sayılı Kanun'a göre işletilen, mal ve hizmet üretim bölgeleri olarak nitelendirilebilmektedir.

Türkiye'de bölgesel teşvik unsuru olarak; gümrük vergisi muafiyeti, KDV istisnası, vergi bölgesel öncelikli yatırımların desteklenmesi yer almaktadır. Bunların yanında vergi indirimi, sigorta primi işçi ve işveren hissesi desteği de sunulmaktadır. Organize Sanayi bölgelerinde kullanılan teşvikler ise kredi desteği, kurumlar vergisi

muafiyeti, emlak vergisi muafiyeti ve damga vergisi muafiyeti, harç istisnası, bir alt bölge desteğinden yararlanma tahsis desteği, yapı denetim kuruluşlarına ödenecek hizmet bedeli indirimi ve kredi faiz destekleridir.

Türkiye'de teşvik sistemi bölge bazında yürütülmekte ve farklı illeri kapsayan 6 bölgede teşvik sistemi uygulanmaktadır. Tekirdağ ili ise 1. bölge teşvik destek unsurlarından yararlanmaktadır. 2020 yılı programına göre Marmara Bölgesi'nde 16 proje yer almış ve proje tutarı olarak Marmara Bölgesi ilk sırada yer almıştır. Tekirdağ ilinde Organize Sanayi Bölgesi teşvikleri sayesinde önemli yatırımlar gerçekleştirilmiş ve halen Tekirdağ İli Ergene Havzası projesinde 2022 yılında Veliköy, Kapaklı, Velimeşe, Çorlu ve Yalıboyu OSB'nin artırma tesis yatırımları devam etmektedir.

Türkiye'de Organize Sanayi bölgelerinde uzun zamandır uygulanmakta olan teşvikler sayesinde yatırımlar bölgeler itibariyle genişlemiş ve bu yönüyle sanayileşmeyi hızlandırarak, ülke ekonomisine ve istihdam seviyesine önemli katkıları olmuştur. Ayrıca, Organize Sanayi bölgeleri, sanayileşmedeki üretim sürecinin oluşturulması yardımıyla, ekonominin düzenli hale gelmesinde ve istikrarsız durumların giderilmesinde önemli bir role sahiptir. Organize Sanayi Bölgeleri ekonomik gelişimi destekler nitelikte çalışmalarına devam etmektedir.

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## E-Devlet Bilgi Güvenliği Risk Değerlendirmesi<sup>1</sup>

Öğr.Gör.Senem Demirkıran<sup>1</sup>

Doç.Dr.Mehmet Kenan Terzioğlu<sup>2</sup>

<sup>1</sup>Trakya Üniversitesi/ İpsala Meslek Yüksekokulu, Hukuk Bölümü, Adalet Programı,  
senemdemirkiran@trakya.edu.tr, ORCID: 0000-0001-9835-4963

<sup>2</sup>Trakya Üniversitesi/ İ.İ.B.F., Ekonometri Bölümü, kenanterzioglu@trakya.edu.tr, ORCID: 0000-0002-6053-830X

**Özet:** İnternetin günlük hayatımızdaki etkisinin kamu hizmetine yansımış hali olan e-Devlet uygulamasının gelişimi ve kullanımının hızla artması, kamu/özel sektör çerçevesinde hizmet kullanımını kolaylaştırırken; içeriğinde taşıdığı tehditleri ve riskleri arttırmaktadır. Bilgi güvenliğinin kilit faktör olduğu e-Devlet sisteminde verimli ve etkili güvenlik yönetim planının hazırlanması ve uygulanma safhalarının değerlendirilmesi önem arz etmektedir. Çalışma kapsamında, bilgi güvenliğinin risk değerlendirmesinin sağlanması ve tehditlerin azaltılmasındaki başarı faktörleri ortaya konulması amaçlanmaktadır.

**Anahtar Kelimeler:** E-Devlet, Bilgi Güvenliği, Risk Değerlendirmesi

## E-Government Information Security Risk Assessment

**Abstract:** The development and rapid increase in the use of e-Government application, reflecting the effect of the Internet on our daily life on public service, facilitates the use of services in public/private sector, on the other hand, increases the threats and risks that it carries. It is important to prepare an efficient and effective security management plan and evaluate the implementation phases in the e-Government system, where information security is a key factor. Within the scope of the study, it is aimed to provide risk assessment of information security and to reveal the success factors in reducing threats.

**Keywords:** E-Government, Information Security, Risk Assessment

### 1. GİRİŞ

İnternet ağlarının yaygınlaşmasıyla siyasi, ekonomik ve toplumsal değişimler yaşanmaya devam etmektedir. Teknolojik gelişmeler “veri” etrafında şekillenen Bilgi İletişim Teknolojileri (BİT) pazarında; bilginin toplanması, depolanması, iletilmesi ve sunumunda büyük değişiklikler ortaya çıkarmaktadır. Bu durum ulusal/uluslararası düzeyde kamu/özel kuruluşlarını sunulan hizmetler kapsamında bilgi iletişim teknolojilerini geliştirme ve benimseme konusunda teşvik etmektedir. Kamu hizmetlerini ve demokratik süreçleri iyileştirmek için bilgi işlem teknolojilerinin kamu idarelerinde örgütsel değişim ve yeni becerilerle birlikte kullanılması (Avrupa Birliği,2004); daha iyi bir yönetim elde etmek için bir araç olarak BİT’in ve internetin kullanılması (OECD,2005); devlet hizmetlerinin vatandaşlara daha iyi sunulması, iş dünyası ve endüstri ile gelişmiş etkileşimler, bilgiye erişim yoluyla vatandaşların yetkilendirilmesi veya daha verimli devlet yönetimi amacıyla; vatandaşlar, işletmeler ve devletin diğer kolları ile ilişkileri dönüştürme yeteneğine sahip geniş alan ağları, internet ve mobil bilgi işlem gibi BİT araçlarının devlet kurumları tarafından kullanılması (Dünya Bankası,2015); devlet, vatandaşlar ve özel sektör arasındaki bilgi ve hizmetlerin tamamını içermesi (Birleşmiş Milletler,2021) şeklinde tanımlamalara sahip olan e-Devlet, toplumu yönetmekle ilgili tüm sistemi ifade eden yönetim ile ilgilidir. E-yönetişim, kamu kurumlarının hizmetlerine ve politika oluşturma işlevlerine katkıda bulunan tüm ilişkilerin, hükümet ve hükümet dışı faktörlerin sayısallaştırılmasını ifade eden daha geniş bir kavramdır. E-Devlet ile ilgili oluşturulan tanımların ortak özellikleri içinde daha verimli devlet, vatandaşlara daha iyi hizmet ve geliştirilmiş demokratik süreçler yer almaktadır. E-Devlet ile daha az yolsuzluk, daha fazla şeffaflık, kamu hizmetlerinde kolaylık ve kamu hizmetlerinde maliyet düşüşü hedeflenmektedir (İqbal ve diğ., 2021).

Genel anlamda devlet hizmetlerinin çevrimiçi sunulması ve devlet kurumlarının verimliliğini arttırmak için BİT kullanımı olarak ifade edilen e-Devlet; dar anlamda ise dijitalleşen kamu işlevlerini ve kurumlarını nitelemektedir. E-Devlet, yetkisi dahilindeki kişilere devlet ile çevrimiçi ortamda kullanıcıların ihtiyaçlarına göre farklılık gösteren işlem yapma imkânı ve hizmeti sunmaktadır (Alshehr ve Drew,2010). Farklı işlem türleri devletten vatandaşa (G2C), devletten işletmeye (G2B), devletten devlete (G2G) ve devletten çalışana (G2E) çerçevesinde ortaya çıkmaktadır. Devletten vatandaşa çerçevesi ele alındığında, e-Devletin birincil amacı, web sitelerinin kullanımı yoluyla kamuya açık bilgileri daha erişilebilir hale getirerek ve ayrıca bir işlemi gerçekleştirmek için gereken süreci ve maliyeti azaltarak vatandaşa hizmet etmek ve vatandaşla hükümet arasındaki etkileşimi kolaylaştırmaktır.

<sup>1</sup> TÜBAP Destekli “E-Devlet Bilgi Güvenliği Risk Değerlendirmesi: Yapay Sınır Ağ Modellemesi” adlı proje kapsamında hazırlanmıştır.



Devletten işletme çerçevesinde, politikaların, notların, kuralların ve düzenlemelerin dağıtımını da dahil olmak üzere hükümet ve iş sektörleri arasında değiş tokuş edilen çeşitli hizmetler içerildiğinden iletişim ve işlemlerin verimliliği ve kalitesinde artış sağlanması hedeflenmektedir. Devletten devlete çerçevesinde, devlet kurumları, departmanlar ve ajanslar arasındaki çevrimiçi iletişim söz konusu olduğundan iş birliği ve koordinasyon düzene sokularak devletler arası organizasyonel süreçlerin geliştirilmesi ve iyileştirmesi esas alınmaktadır. Devletten çalışana çerçevesinde ise yalnızca hükümet ve çalışanlar arasındaki ilişki incelenmektedir (Alshehril ve Drew, 2010).

Devlet kurumları ele alındığında bilgi işlem tarihi 1970 dönemine kadar uzanmaktadır. 1990 döneminin başlarında devletler için Web tabanlı BİT vatandaşlara ulaşmak için önemli bir araç olarak değerlendirilmektedir. Devletin vatandaşlara bilgi ve hizmet sunmak için internet ve diğer dijital araçların kullanımını ifade eden e-Devlet kavramı 1990 döneminin sonlarında ortaya çıkmaktadır (Shareef,2017). Türkiye’de, 1990 dönemi sonlarında, e-Devlet çalışmaları Kamu-NET ve Türkiye Ulusal Enformasyon Altyapısı Ana Planı ile başlamaktadır. İlk olarak devlet içinde bilgi iletişim teknolojilerinin kullanımı ile ilgili bir kavram olarak gelişme gösteren e-Devlet çalışmaları, 2000 dönemi ve sonrasında vatandaşlara yönelik kamu hizmetleri ile ilgili olan sisteme evrimleşmektedir. Türkiye’de e-Devlet ile ilgili 2016 tarihli “ e-Devlet Hizmetlerinin Yürütülmesine İlişkin Usul ve Esaslar Hakkında Yönetmelik ” çerçevesinde e-Devlet Hizmeti (hızlı, güvenli, etkili, verimli, şeffaf ve hesap verebilir kamu hizmeti) ve e-Devlet Kapısı (ortak elektronik platform) olarak iki tanımlama yapılmaktadır. E-Devlet hedeflerine ulaşmada başarının temel faktörleri arasında destek, kapasite ve değer yer almaktadır. Destek kapsamında siyasi iradenin e-Devlet konusuna duyarlılığı önem arz ederken; kapasite kapsamında e-Devlet uygulamaları için gerekli finansal kaynak, yeterli BİT altyapısı ve yetmiş iş gücü önem arz etmektedir. Değer kapsamında ise en yüksek değeri (faydayı) sağlayan e-Devlet uygulama türlerinin seçilmesi esas alınmaktadır. Türkiye’de e-Devlet çalışmalarını destekleyici politikaları uygulanmakta ve altyapı çalışmaları yoğun olarak gerçekleşmeye devam etmektedir. En yüksek değerin sağlanması için ise devlet tarafından e-Devlet hizmetleri Dijital Türkiye adı altında genişletilmiştir.

## 2. LİTERATÜR

Bilgi teknolojileri, hükümet performansını iyileştirmenin bir yolu olarak benimsendiğinden ve uygulandığından kamu/özel sektör/vatandaşlar ve diğer hizmet sağlayıcılar/alıcılar için bilgi güvenliğinin sağlanması esas olmaktadır (Stallings, 2017). E-Devlet çerçevesinde bilgi güvenliğini yönetmenin kritik unsuru, siber netiğin gelişimiyle birlikte iletişim ve yönetim kavramlarıyla birlikte kullanılmaya başlayan bilginin etkin yönetimi olmaktadır. Bilginin toplanması, işlenmesi, depolanması ve yayılması süreçlerini içeren bilgi sistemi hızla gelişim gösterirken bilgi güvenliği endişelerini ortaya çıkartmaktadır. Herhangi bir bilginin içeriği, özü, etki derecesi, topluma yarar veya zararı kişi-toplum-devlet dengesini etkilemektedir (Henkoğlu, 2017). 1950 dönemi itibariyle verilerin depolanmaya başlamasıyla elektromanyetik saldırılara açık hale gelen bilgi, 1969-1995 ARPANET ile depolanan bilgilerin internet aracılığıyla gönderilmeye başlanması ile bilgi güvenliği riskleri devletler için önemli bir konuma getirmiştir. Siber güvenlik ve BİT güvenliği, bilgi güvenliği kavramını tamamlayan iki kavram olarak ortaya çıkmaktadır. Literatür incelendiğinde, siber güvenlik kavramının bilgi güvenliği kavramı yerine kullanıldığı ve siber güvenlik ile bilgi güvenliğinin ilişkili ama farklı olduğunu belirten iki farklı görüş belirlenmektedir. Türkiye’de ise siber güvenlik kavramı bilgi güvenliği kavramı yerine kullanılmaktadır (Soms ve Niekerk, 2013).

Whitman ve Mattord (2009), bilgi güvenliğini, bilginin ve bu bilgiyi kullanan, depolayan ve ileten sistemler ve donanımlar dahil olmak üzere kritik unsurların korunması olarak ifade etmektedir. Mitnick and Simon (2002), bilgi güvenliğinin bir ürün ya da teknoloji değil bir süreç olduğunu belirtmektedir. ISO/IEC 27002 uluslararası standardına göre bilgi güvenliği, bilginin gizliliğinin, bütünlüğünün ve kullanılabilirliğinin korunması olarak tanımlanmaktadır. Wood (2004), teknik bir konu olarak ele alınan bilgi güvenliğinin gelişen bilgisayar ve ağ güvenliği sağlama süreçleri sonucunda sadece teknik olmaktan çıktığını vurgulamaktadır. Diğer bir ifade ile, bilgi güvenliği ile bilgi teknolojisi güvenliği arasında bir fark bulunmaktadır. Bilgi güvenliği, her türlü bilgiyi korumayı, güvenlik olaylarının etkisini sınırlayarak iş sürekliliğini sağlamayı ve iş hasarını en aza indirmeyi amaçlamaktadır. Bilgi güvenliğinin altında bilgi sistemleri güvenliği bulunmaktadır. Bilgi güvenliği kapsamında sadece kötü amaçlı yazılım, iletişimin kesilmesi ya da bilgi hırsızlığının değerlendirilmemesi gerekmektedir. Afet durumlarında veri depolama ve bilgi sistemlerine erişimin kaybedilmesi ve kullanılamaması, uygulamaların başarısız güncellemeler sonucunda çalışmaması ya da verilerinin sistem içindeki yanlış yapılanma sonucu değişmesi de bilgi güvenliği kapsamında değerlendirilmelidir. Bu nedenle ulusal çıkarların korunmasında ve geliştirilmesinde bilgi güvenliğinin işlevi artmakta (TÜBİTAK,2021) ve bu durum ise bilgi güvenliği risk değerlendirilmesinin doğru ve etkin şekilde yapılmasını sağlayacak modellerin ortaya konmasını gerektirmektedir. Bilgi güvenliğinin kamu/özel sektörün iş hedeflerini ve misyonunu desteklemesi gerektiğinden risk analiz süreçleriyle risk mevcudiyetlerinin tespit edilmesi önem arz etmektedir (Peltier ve diğerleri, 2005). Bilgi güvenliği çerçevesinde kapsamlı ve entegre

bir yaklaşım sergilenerek risk analizinin, iş-etki analizinin ve bilgi sınıflandırma belgelerinin oluşturulması gerekmektedir. Her iş birimine, gerekli iş ihtiyaçlarını karşılamak için bilgi güvenlik değerlendirme programı uygulanarak periyodik olarak değerlendirilmesi ve gerektiğinde üstünde değişik yapılabilmesi önem arz etmektedir. Whitman ve Mattord (2009) değişen koşullar ve ihtiyaçların dikkate alınmasıyla bilgi güvenliğinde, gizliliğinin, bütünlüğünün ve kullanılabilirliğinin sağlanmasının yanı sıra doğruluk, özgünlük, fayda ve mülkiyet kavramlarını da eklemektedir.

E-Devlet, kamu hizmetlerinin sunumunda devlet-vatandaşlar ve özel sektör arasında yeni etkileşim yolları ortaya koymaktadır. Bu etkileşimler ise gizlilik, bütünlük, kullanılabilirlik, özgünlük ve hesap verebilirlik altında maksimum bilgi güvenliği ihtiyacını zorunlu kılmaktadır (Hassan ve Khalifa,2016). Stallings (2007), bilgi güvenliği sistemine ilişkin gereksinimlerin tanımı, kapsamı, politikaları, yönetim ölçütleri, sistemin izlenmesi ve değerlendirilmesi için standartların belirlenmesi gerektiğini vurgulamaktadır. McIlwraith (2006), etkili bilgi güvenliği için; işlemleri güvence altına alabilen, bilgiye erişimi koruyabilen ve bilgisayar saldırılarını engelleyebilen güvenilir bir altyapı sistemi, güvenilir dahili süreçler, iyi bir kurumsal güvenlik kültürü gerektiğini belirtmektedir. E-Devlet kullanımının artışı ile birlikte bilgi iletişim teknolojilerine ilişkin bazı riskler iş süreçlerine aktarılmaktadır (Rojas, 2016). Zhao ve diğerleri (2010), bazı e-Devlet web sitelerinde, ad ve diğer özel bilgiler, vergi kayıtları ve sosyal güvenlik numarası gibi kullanıcıya duyarlı verilere, oturum açmaya veya kaydolmaya gerek kalmadan web sitesine göz atan diğer kişiler tarafından erişilebildiğini belirtmektedir. Wei ve diğerleri (2010), e-Devlet bilgi sisteminin, e-Devlet yönetim ve hizmet çalışmalarını desteklemeyi amaçlayan, bilgisayar ağı ve diğer ağlara dayalı insan-makine karar destek sistemi olduğunu, işlenen bilgilerin sadece devlet içindeki bilgiler değil kamuoyuna ait bilgiler olduğunu ve bu nedenle devlet bilgi sisteminin diğer bilgi sistemlerine göre daha fazla risk altında olduğunu ifade etmektedirler. AlKalbani ve diğerleri (2015), üst yönetim desteği, yasal gereklilikler, güvenlik stratejileri ve politikaları, gelişmiş güvenlik teknolojileri ve olası ihlaller dahil olmak üzere e-Devlette bilgi güvenliğini birçok faktörün etkilediğini ifade etmektedirler. Spanos ve Angelis (2016), dijital dünyadan kazanç sağlayanlar dışında herkesin güvenlik ve mahremiyet sağlayan bir teknoloji ortamı istediklerini ifade etmektedirler. Alassafi ve diğerleri (2017) , bazı devlet kurumlarının veri ihlalleri suçunu kullanıcılara kaydırmaya çalıştığını ve e-Devlet hizmetlerinin kullanıcılarının kendi verilerinin şifrelenmesinden sorumlu olması gerektiği görüşünde olduğunu, ancak e-Devlet hizmetlerinin çoğu kullanıcısının güvenlik risklerinin farkında olmadıklarını ifade etmektedirler. Yánez (2019) kamu yönetiminde etkinliğin sağlanabilmesi için e-Devlet bilgi güvenliğinin sağlanması gerektiğini ifade etmektedir. Kutlu ve diğerleri (2018), başarılı e-devlet uygulamaları için gizlilik ve güvenliğin sağlanması gerektiğini ifade etmektedirler. Güven ve Erarslan (2019), ileri güvenlik teknolojileri kullanılsa bile bilgi güvenliğinin tamamen sağlanamayacağını ifade etmektedirler. Can ve Eke (2020), e-Devlet güvenilirliğinin düşük olduğunu vurgulamaktadır. Hatipoğlu (2021), e-Devlet uygulamalarında zorluklar ve engeller olduğunu belirterek, e-Devlet'in başarısının bunlardan etkilendiğini ve yasal bir çerçeveye ihtiyaç olduğunu ifade etmektedir.

### 3. E-DEVLET BİLGİ GÜVENLİĞİ

Günlük hayatın bir parçası olan bilgi iletişim teknolojileri (BİT) kullanımı İnternet hızlı ve kolay erişilebilir olması nedeniyle çoğu insan için artık bilgiye erişim, e-ticaret, eğlence, siyasal katılım ve sosyal medya gibi nedenlerden ötürü vazgeçilmezdir. İnternet ve BİT kullanımının yaygınlaşması vatandaşların devletten kamu hizmetlerinin dijitalleşmesini talep etmelerine neden olmaktadır. Dijitalleşen kamu hizmetlerinin e-Devlet üzerinden sunulması ve bu hizmetlerin kullanımının yaygınlaşması, İnternet ve sosyal medya kullanımının artması ile vatandaşların dijital ortamda kişisel verilerini paylaşması ve yayması artmaktadır. Bu durumda çok sayıda kişisel bilginin ve bankacılık bilgilerinin güvenlik riski ile karşı karşıya kalmasına neden olmaktadır.

Ülkenin telekomünikasyon altyapısı, yasal ve düzenleyici çevre, mali kaynaklar, kamu organizasyonlarının bilgi teknolojileri ile ilişkisi, e-Devletin etkinliğini belirleyen faktörler olarak sıralanmaktadır (Demirel, 2006). Bilgilerin yaygın olarak depolandığı, iletildiği gerçek teknoloji tabanlı sistemlerin korunmasıyla ilgilenen BİT güvenliği, ISO/IEC 13335-1 uluslararası standardına göre, bilgi kaynaklarının gizliliğini, bütünlüğünü, kullanılabilirliğini, reddedilmemesini, hesap verebilirliğini, özgünlüğünü ve güvenilirliğini tanımlama, gerçekleştirme ve sürdürme ile ilgili tüm yönleri tanımlanmaktadır. Ek olarak, bilgi kaynaklarının güvenlik altına alınması ile BİT kaynaklarının güvenlik altına alınması birbirinden farklıdır. Dijital çağda ortaya çıkan güvenlik risklerinin ortaya çıkardığı güvenlik ihtiyaçlarının karşılanmasında tanıma ek özellikler eklenmektedir. Soms ve Niekerk (2013), bilgiyi işleyen, depolayan ve ileten altyapı olarak ele alındığında bilgi güvenliğinin temel BİT varlıklarının korunmasını içerdiğini vurgulamaktadır. Devletin, ekonominin ve toplumun faaliyet alanlarının çoğunda bilgi iletişim teknolojilerinin uygulanması, yönetim süreçlerinin otomasyonu ve gerçekleştirilen hizmetlerin verimliliğinin ve kalitesinin artırılmasında birçok fırsat yaratılmaktadır (Szczepaniuk ve diğerleri, 2020).



Türkiye’de kamu sektöründe gerçekleştirilen hizmetlerin güvenliğinin sağlanması, kurumun bilgi kaynaklarının güvenliği için Bilgi Güvenliği Yönetim Sistemi (BGYS) uygulanması bulunmaktadır. Bu sistem, bir dizi planlama ve organizasyonel taahhüdü kapsamanın yanı sıra bilgi tehditlerine ilişkin risk yönetimine dayanmaktadır. Türkiye’de bilgi güvenliği ile ilgili çalışmaların büyük bir kısmı e-Devlet ile birlikte yürütülmekte ve şekillenmektedir. Türkiye’de bilgi güvenliği ile çalışmalar 11. Kalkınma Planı ve sonrasında oluşturulan Ulusal Siber Güvenlik Stratejisi ve Eylem Planları (2013-2019) kabul edilerek uygulamaya başlanmıştır. Son olarak, TÜBİTAK Siber Güvenlik Enstitüsü (SGE) ve Savunma Sanayii Müsteşarlığı iş birliği ile Türkiye’de siber güvenlik ekosisteminin oluşturulmasına yönelik çalıştay ve benzeri çeşitli faaliyetler yürütülmüştür.

#### 4. SONUÇ

E-Devlet ile ilgili literatürdeki çalışma soruları genellikle, başarının ne zaman ve nasıl ölçülmesi gerektiği, çevrimiçi olan kamu hizmetlerinin kısa/uzun vadedeki etkileri, e-Devlet ile ekonomik ve demokratik kalkınma arasındaki bağlantı, e-yönetişim için e-Devlet çerçevelerinin belirlenmesi, e-Devlet politikalarına ilişkin stratejiler ve uygulamalar, katılım/e-demokrasi ve e-oylama, elektronik hizmet sunumu, mobil hizmetler/uluslararası ve bölgesel proje/en iyi e-Devlet uygulamaları, işbirlikçi faaliyetler, yasal yorumlama, standartlar, e-Devletin yasal /toplumsal /kültürel yönleri, vatandaşlarda e-Devlet öğretimi ve e-Devlete güven başlıkları altında toplanmaktadır (Grönlund ve Horan, 2004). E-Devlet ile ilgili literatürdeki çalışmaların temelinde Avrupa Birliği ve Amerika Birleşik Devletleri başta olmak üzere internette çeşitli portallarda bulunan anketler üstünden gerçekleştirilen genellikle vatandaş ve e-Devlet kullanımı ile ilgili nitel ayrıntılı vaka çalışmaları bulunmaktadır. Bu çalışmaların içinde yer alan bilgi güvenliği ile ilgili kısımlarda genellikle vatandaşın e-Devlete güvenmeme nedenleri sorgulanmaktadır. Ek olarak, e-Devlet ile ilgili çalışma konularında e-Devlet güvenliği ve bilgi yönetimi kapsamında çalışmalar olmakla birlikte, gerçekleştirilen çalışmalar sadece sosyal/toplumsal/hukuki çerçeve çizme özelliğinde olup; genel literatür ele alındığında araç, yöntem ve model sunulumu kapsamında sınırlı çalışma bulunmaktayken; Türkiye’de bu kapsamda neredeyse hiçbir çalışmaya rastlanılmamıştır. Bu çerçevede, e-Devlet bilgi yönetimi ve güvenliği çalışmalarında risk değerlendirmesi, özellikle yeni model kurgularıyla risk faktörlerin daha net bir şekilde çıkartılıp değerlendirilmesi, başlıklarında ciddi bir boşluk bulunmaktadır. Türkiye’de e-Devlet ile ilgili literatürdeki araştırmalar, e-Devlet anlayışı ve uygulamaları, e-Demokrasi ile ilişkisi, e-katılım/e-yönetişim/e-belediye ve e-Devlet kullanımını etkileyen faktörler, e-Devlet uygulamasında sorunlar ve çözümler, güvenlik boyutunun belirlenmesi ve kullanım verimliliği başlıklarına odaklanmaktadır.

Türkiye’de yapılan çalışmalar incelendiğinde e-Devlet bilgi güvenliği risk değerlendirmesi ve modellenmesi ile ilgili neredeyse hiçbir çalışma olmadığı görülmektedir. Vladimir (2011), yönetim, risk ve uyumluluk ilişkilerini baz alarak GRC modelini önermektedir. Burgos (2011), ihtiyaçlar, yönergeler ve bakış açılarına göre güvenlik sağlamaya izin veren ayrıntılandırma ve uygulama aşamalarında somut ilişki ve pratik uygulamaya dayalı bir yapı sunan Bilgi Güvenliği modelini ortaya koymaktadır. Kaokola (2011), e-Devlet hizmetlerinin (hizmetlerin uygulanması ve sağlanması) hem teknik hem de teknik olmayan güvenlik yönlerini ele alan ve hem kalite hem de güvenilirliğin ölçülmesine olanak tanıyan Bilgi Güvenliği Olgunluk Modelini (ISMM) oluşturmaktadır. ISO (2013) modeli çerçevesinde ise maddelerde, amaçlarda ve kontrollerde yapılandırılmış bir bilgi güvenliği yönetim sisteminin kurulması, uygulanması, sürdürülmesi ve sürekli iyileştirilmesi için gereksinimler ortaya konmaktadır.

Kamu kuruluşlarında bilgi güvenliğinin etkin bir şekilde yönetilmesi, e-Devlet gelişiminin başarısı için önemli olmaktadır E-Devlet kullanıcıları, bilgiye erişimin doğru zamanda doğru kişilerle sınırlandırılmasını ve işlemlerde, iletişimlerde ve dokümantasyonda yalnızca yasalara uygun verilerin kullanılmasını talep etmektedirler. E-Devlet sistemi BİT tabanlı bir online sistem olmasının yanı sıra güvenlik açısından diğer BİT tabanlı sistemlerden ayrılmaktadır. E-Devlet çerçevesinde bilgi güvenliği, yalnızca bilginin yetkisiz kullanılmasından korunmasını değil, aynı zamanda bilginin kaynağının, eksiksizliğinin ve doğruluğunun korunması da dahil olmak üzere bilgilerin doğruluğunun güvence altına alınmasını ifade etmektedir. E-Devlet gibi çok çeşitli yeni kamu yönetimi uygulamalarında rekabet faktörünün de sistem için dahil edilmesi, bilginin etkin yönetimini gerektirmektedir. Bununla birlikte, bilgi teknolojilerine yapılan yatırımlarda artış gözlemlenmesine rağmen; bilgi güvenlik uygulamaları ve risk değerlendirme süreçleri asgari düzeyde olmaya devam etmektedir. Bunun temel nedenleri arasında; bilgi güvenliği yönetimine rehberlik edecek rol ve sorumluluklara sahip organizasyon yapısının olmaması, e-Devletin ilişkilerine ve aşamasına göre yürütülen işlem için bilgilerin sahip olması gereken güvenlik düzeyinin veya ihtiyacının bilinmemesi, kuruluş süreçlerinde gerekli olan bilgilerin depolanması, işlenmesi ve aktarılması için güvenlik kontrollerinin ve risk faktörlerin tam olarak belirlenmesi, kontrollerin izlenmesine ve verimlilik düzeylerinin ölçülmesine olanak tanıyan gösterge ve ölçütün bulunmaması ve kamu kurumları tarafından sunulan e-Devlet hizmetlerinde bilgi güvenliğinin uygulanmasına ve denetimine rehberlik edecek bir bilgi güvenliği yönetim modelinin olmaması yer almaktadır. Tüm bu çerçeve ele alındığında ise, bilgi güvenliğinin

risk değerlendirmesinin etkin bir şekilde modellenmesi için hiyerarşik yapıya sahip indeks sisteminin kurularak risk faktörlerinin belirlenmesi ve tehditlerin azaltılmasındaki başarı faktörlerinin belirlenmesi ve risk değerlendirme modelinin ortaya konulması ön plana çıkmaktadır.

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## The effects of COVID 19 on the economy and necessary measures

Sevgi OSMAN<sup>1</sup>

<sup>1</sup>Assoc. Prof., PhD, Varna Free University (VFU) “Chernorizets Hrabar”, Department of Economics, sevgi.osman@vfu.bg

**Abstract:** Periods of slowdown in economic activity and recessions are part of the process of economic development. But the current crisis is different from the usual downturns in economic activity. The protracted nature of the health crisis is affecting the global economy beyond traditional measures with potentially long-term consequences. Large developed economies, which account for 60% of global economic activity, are projected to operate below their potential output at least until 2024. Growing economic effects are increasing liquidity constraints and tightening the credit market in global financial markets as firms accumulate cash, with negative effects on economic growth. At the same time, the financial markets are doing what was expected - increased government bond issuance in the United States, Europe and other regions to cover government debt during the economic recession and increased fiscal spending to combat the effects of COVID-19. Central banks and monetary authorities in developed and emerging market economies are taking a series of interventions in financial markets, and national governments are intervening with a range of fiscal policy initiatives to stimulate their economies. But exactly what types of measures have been taken in different regions? How effective are they? What impact do they have on macroeconomic indicators and financial markets? What are the forecasts for their future impact - in the EU, and especially in Bulgaria, as the risks to Bulgaria's recovery are mostly related to the Covid-19 pandemic and its impact on the financial sector. The answers to all these questions are the subject of this report.

**Key words:** Covid 19, economic and financial effects, measures

### 1. INTRODUCTION

Unlike most previous economic recessions, in which the reason for starting this phase of the economic cycle is an imbalance in the economic structure itself, now the beginning is given by a biological threat to the social structure. This means that in the context of a viral epidemic, businesses and jobs that are economically viable will become financially vulnerable, just as businesses and jobs that do not have an economic future in terms of economic rationality are just as vulnerable. This difference requires consideration of circumstances that were not part of the economic analysis of previous crises, and here the quality of banking expertise will be very important.

The current COVID-19 crisis is different from the usual declines in economic activity, for at least two reasons. On the one hand, the crisis is not the result of internal imbalances in the economy, but is caused by external factors. On the other hand, the crisis is affecting both the supply and demand of goods and services at the same time. The crisis is having a direct impact on both the real sector and the financial sector of the economy.

The protracted nature of the health crisis is affecting the global economy beyond traditional measures with potentially lasting consequences. Economic projections reflect the continuing risks to a sustainable global recovery posed by the resumption of infectious cases and the potential inflationary pressures associated with subdued consumer demand fueled by rising personal savings. On the supply side, the shortage reflects continuing disruptions in labor markets, bottlenecks in production and the supply chain, disruptions in global energy markets and supply and transport constraints that increase inflationary pressures.

Concerns are compounded by the emergence of new disease variants and rotating pandemic hotspots that are provoking national efforts to curb infections and fully restore economic activity. Large developed economies, which account for 60% of global economic activity, are projected to operate below their potential level of production at least until 2024, indicating lower national and individual economic well-being than pre-pandemic levels. Compared to the synchronized nature of the global economic slowdown in the first half of 2020, the global economy has shown signs of a two-way recovery that began in the third quarter of 2020. Vaccinations are high but at a slower pace in emerging economies, where vaccination levels are low. Overall, developed economies have made progress in vaccinating a growing proportion of their populations, raising the prospects for sustainable economic recovery in late 2021 and 2022.

However, new variants of the COVID-19 virus and an increase in diagnoses in major developing countries economies and resistance to vaccination among some populations in developed economies raise questions about the speed and strength of economic recovery in the short term. The economic consequences of the pandemic

have different effects on certain sectors of the economy, especially the services sector, and certain groups of the population, and could put at risk ongoing labor dislocations. Human costs of lost lives will have a lasting impact on global economic growth in addition to the cost of rising poverty levels and growing social unrest. Some estimates suggest that 65 million to 75 million people may be in extreme poverty in 2020, with 80 million more malnourished than pre-pandemic levels. Some estimates suggest that the downturn in world trade has dealt a particularly severe economic blow to trade-dependent emerging and emerging economies.

## 2. CONSEQUENCES

### 2.1. Economic consequences of the pandemic

As infectious disease cases began to rise sharply in late February 2020, governments took unprecedented steps in March 2020 to curb the spread of the pandemic, leading to a global economic recession. The government's responses in March 2020 were exceptional in terms of the speed with which they were implemented, the wide range of fiscal and monetary policies they adopted, and the number of participating countries, often without a formal, coordinated plan. Initially, governments adopted monetary policies aimed at stabilizing financial markets and ensuring credit flow. In the second phase, governments focused their political action on fiscal measures aimed at sustaining economic growth, as they adopted quarantines and social distancing measures. In the third phase, governments shifted their policies to developing, purchasing and distributing vaccines. The economic effects of the pandemic were initially expected to be due to short-term supply problems, as factory production declined and workers were quarantined to reduce the spread of the virus through social interaction. But virus-related supply shocks have created longer-lasting and widespread demand shocks, as reduced consumer and business activity has led to lower economic growth in most countries. Almost every country experienced a decline in economic activity in the second quarter of 2020, with the exception of China, which had a growth rate of 10% compared to the previous quarter and was one of the few countries to report overall positive growth in 2020.

These growing economic effects have potentially increased liquidity constraints and tightened credit markets in global financial markets, as firms have amassed cash, with negative effects on economic growth. At the same time, financial markets took into account what was expected - increased government bond issuance in the United States, Europe and other regions to cover government debt during the economic recession and increased fiscal spending to combat the effects of COVID-19. In contrast to the financial crisis of 2008-2009, reduced consumer demand, labor market problems and reduced business activity, rather than risky trading by global banks, led to problems with corporate credit and potential insolvency.

Liquidity and credit market problems have shifted the focus of government policy from the health crisis to macroeconomic and financial markets. In essence, as businesses struggled to address labor and output issues at the firm level, national leaders sought to pursue fiscal policies to prevent sharp contractions in economic growth, and central banks adjusted monetary policies to address growing credit market problems.

The IMF called on G20 leaders to support supportive monetary and fiscal policies to reduce the economic impact of the global recession, and in particular recommended a combination of adaptive monetary policies characterized by low interest rates and central bank programs to facilitate access to loans, fiscal support for individuals and companies and participation in a synchronized infrastructure investment program.<sup>1</sup>

According to IMF forecasts, the loss of global economic output between 2020 and 2025 as a result of the pandemic will amount to \$ 28 trillion and 120 million jobs in the tourism industry alone. The economic recession has raised concerns about growing debt problems in emerging economies, where about 40% of banks' assets are at risk.

**At the macro level**, the health pandemic affects the economy through several channels. In the first place, there is an effect on the aggregate supply in case of shutdown of entire sectors of the economy, which is a prerequisite for rising unemployment. The global scale of the health crisis and its epicenter in the EU and the euro area is creating additional external pressure on broken global supply chains.

These factors for shrinking economic activity overlap with the already observed signals of a synchronized *slowdown in the global economy* from 2019, as determined by the International Monetary Fund (IMF). The complex of economic factors and consequences and especially the uncertainty about the duration of the

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<sup>1</sup> According to an IMF analysis, all other things being equal, an increase in infrastructure spending by the G20 countries by half a percent of their GDP in 2021 and 1% in 2022 by 2025 would increase global GDP by 2% in 2021. 2025, compared to growth below 1.2% for an out-of-sync approach.<sup>30</sup>

pandemic make the unpredictable and accurate economic effect on the economy at the macro level. The risks in the development of the current crisis can be manifested both in terms of its duration and in terms of the size of the declines in key economic indicators such as GDP (or value added of individual economic sectors), household income and employment.

Another aspect of the crisis also carries risks. In the conditions of *reduced household income* and reduced income for enterprises, it is possible to increase the share of the gray economy in order to avoid the costs of paying direct and indirect taxes and social security contributions. This will lead to a further reduction in budget revenues, hiring uncontrolled employees who will not receive social and health insurance, and companies that apply these practices will have limited opportunities to make new capital investments.

Specific risk also arises from uncertain *price dynamics*. Due to the reduction of production and the lack of sufficient financial resources for hiring new employees, as well as for new investments, it is possible that many companies, mainly producing basic necessities, will increase the prices of their products to cover accumulated losses. and accumulate fresh monetary resources. This can lead to supply-side inflation.

## 2.2. Consequences for individual economic activities

In fact, almost all types of services have virtually ceased operations as a result of the state of emergency. As a result of the increased number of unemployed and unpaid leave employees, household incomes are declining and will remain relatively low until the end of the state of emergency or until the start of work. During an economic crisis, household consumption tends to decline. This is understandable given the decline in income as a result of reduced production and rising unemployment. In addition, consumers' priorities are changing, and their attitudes towards the different brands and the usefulness they bring are changing. The three main trends that typically manifest themselves in consumer behavior determine the relationships between society and individual consumers, and they are already beginning to manifest themselves in the current crisis:

- There is a high sensitivity to any risks;
- Consumers are depressed and often postpone purchases of non-essential goods;
- Consumer restraint is shown and a larger share of income is saved;
- Consumption becomes more sensitive to prices and therefore less sensitive to other parameters of goods and services.

## 2.3. Consequences for the Financial sector

The current economic situation is radically different from the crisis of 2009. Then the problems started in the financial sector and moved to the real sector, and now the opposite direction (Congressional Research Service ,2021):

As an indicator of the economic impact of the pandemic, financial news has sometimes been a major driver of market activity. For example, the Dow Jones Industrial Average (DJIA), along with other market indices, lost a third of its value between February 14, 2022 and March 23, 2020. The index rose steadily between March and November and rose by almost three percentage points in Monday, 9 November 2020, when it was announced that a vaccine against COVID-19 had been developed (Telford, 2020). The rise in market indices reflects investors' positive assessment of effective vaccines against COVID-19, political developments in the United States, potential additional measures by governments to stimulate economic activity and the prospects for stronger economic growth in the coming years (Smith, Colby, 2020).

Following vaccine announcements, DJIA rose a total of more than 3,700 points, or nearly 14% in January 2021. In the first six months of 2021, DJIA gained 15% market value. DJIA has an upward trend in 2021, rising by more than 14% between January 4, 2021 and September 17. However, in June 2021, the index lost a quarter of the point as a whole, the first such decline since January 2021. In October, trading sessions closing lower also outperformed sessions closing higher.

By the end of January 2021, the dollar had depreciated by more than 11% from its highest level since March 2020. The development of vaccines against COVID-19 may have affected the value of the dollar in various ways. As noted above, central banks' overall policies to keep key interest rates low have also affected dollar-denominated currency developments in 2021 by reducing arbitrage capacity and limiting volatility. Despite periods of appreciation and depreciation of the dollar in 2020 and 2021, by the end of April 2021 the dollar fell by 2% compared to January 2, 2020. In part, the decision to withdraw the UK from the EU strengthened as the euro, and the pound, which tended to devalue the dollar. Between June 10, 2021 and August 20, 2021, the dollar

rose by about 3.6%, almost reaching the value registered on January 2, 2020. The strengthening of the dollar is due to a number of factors, including the expected change in monetary policy. Under standard models, the depreciation of the dollar is expected to lower export prices and in turn increase demand for US exports or increase export volumes, while import volumes are expected to decline along with rising foreign currency prices against the dollar. . However, GDP data for the second quarter of 2021 show that US trade prices and trade volumes tend to move in tandem.

Vaccine prospects initially signaled a possible end to business blockades, social constraints and reduced demands on politicians to implement additional fiscal and monetary policies. At the end of June 2021, various states in the United States again imposed guidelines for social distancing, which raised the prospect of delayed recovery. Prolonged recovery may increase the financial burden on small and medium-sized enterprises, which face liquidity constraints and insolvency prospects (IMF, 2020).

Differences in policy approaches between countries initially delayed a coordinated response. This lack of response may have caused long-term damage to the global economy. In some countries, the pandemic has increased the importance of public health as a matter of national security and as a national economic priority along with traditional national security issues such as terrorism, cyber attacks and the proliferation of weapons of mass destruction (FOMC Statement, 2020).

### **3. MEASURES TAKEN**

Central banks and monetary authorities in developed and emerging market economies have undertaken a series of interventions in financial markets, and national governments have adopted a set of fiscal policy initiatives to stimulate their economies. As global economic conditions deteriorated in the first quarter of 2020, major internationally active banks tripled the amount of assets they held as loss provisions, according to the BIS (BIS, 2021). However, as economic conditions improved in the second quarter, banks began to reduce their assets and by the end of 2020 provisions for losses had returned to pre-pandemic levels. As a result of the potential damage to the global economy resulting from the pandemic, the BIS said economists could describe the pandemic as "the turning point of the 21st century". The measures taken can be systematized in the following groups:

#### **3.1. By types**

##### **-Industrial measures**

In 2020, governments adopted a number of measures, both nationally and internationally, to address the health and economic consequences of the COVID-19 pandemic. These measures include incentives to increase domestic production of vaccines, personal protective equipment (PPE) and direct government intervention to increase production in facilities that produce PPE materials. The change in the approach to the dimensions of national security of foreign investment, especially in developed economies, reflects the change in the concept of foreign investment, trade and national security.

##### **-Government policies**

On 15 April 2021, the Director-General of the WTO called on its members and vaccine manufacturers to increase production, reduce export restrictions and suspend intellectual property rights over COVID-19 vaccines in order to increase immunizations. The WHO says new COVID-19 cases have almost doubled worldwide in the past two months, approaching the highest levels of infection since the pandemic, with the largest outbreaks in India, Brazil, Poland, Turkey and some others. countries. Also on April 15, 2021, a group of 175 former world leaders and Nobel laureates called on the United States to suspend intellectual property rights over COVID-19 vaccines to facilitate the international production and distribution of vaccines, allowing developing countries to produce their own vaccines. The group warned that "... unfair access to vaccines will affect the global economy and prevent it from recovering." On April 16, the WHO announced that it would develop one or more COVID-19 technology centers to "provide appropriate technology. of interested producers "in emerging economies.

As a result of the resumption of cases, the IMF argues that developed economies need to maintain fiscal support for consumers and businesses as the most effective means of stimulating their economies. The IMF says this support is needed because the global economy is experiencing what economists call a Keynesian liquidity trap named after economist John Maynard Keynes. Theoretically, the liquidity trap exists when central banks' key interest rates are so low that they have little influence through traditional means of influencing business and consumer activity. According to the IMF, in 60% of the world economy, central banks have raised key interest

rates below 1%, and in one-fifth of the world economy, interest rates have been below zero. In these circumstances, economists usually argue that adjusting fiscal policy or government taxation and spending is the more effective policy tool for boosting economic growth. The IMF concluded that "fiscal policy should play a leading role in recovery."

#### -Fiscal measures

Central governments in developed and emerging economies have adopted various fiscal measures to provide financial support to the health sector, households and companies, although the size and scope of programs vary by country. These measures generally include tax cuts and tax deferrals for individuals and businesses, supplements to the salaries and incomes of individuals, including extending unemployment insurance and other payments to businesses. The US Congress has approved historic fiscal spending packages, while other governments have abandoned traditional lending ceilings to boost fiscal spending to sustain economic growth. In some emerging economies, governments have reportedly adopted special programs to provide financial assistance to "informal" workers or workers outside traditional labor markets (such as the family business).

In developed economies, however, consumers have sharply increased their savings as they face limited spending opportunities and / or concerns about lost jobs, income, etc. International organizations have taken steps to provide loans and other financial assistance to countries in need. These and other actions have been described as "unprecedented", a term often used to describe pandemics and political reactions.

According to IMF estimates, measures related to government spending and revenue to maintain economic activity, adopted by September 2021, amount to 16.9 trillion dollars. The increase in government borrowing as a result of the pandemic reached 10.2% of world gross domestic product (GDP) in 2020, 7.9% in 2021 and 5.2% in 2022. Other estimates show that central banks are committing \$ 17 trillion to counter the pandemic economic effects.

#### -Worker support programs

As part of their fiscal policy measures, governments in developed economies have strengthened existing workers' support programs and adopted new ones. The OECD categorizes the various job retention programs into six main groups, which have supported 60 million workers in developed economies (OECD,2021). Worker support programs are expected to vary from country to country, but generally include increased subsidies for existing programs. designed to support workers for lost working hours or extended wage subsidies to maintain pre - pandemic employment levels. Other programs have helped companies retain staff, making it easier for them to return to work quickly after removing pandemic restrictions (OECD, 2020).

#### -Monetary and prudential measures

Among central banks, the Federal Reserve has initiated emergency measures to address the economic consequences of COVID-19, which were not taken after the global financial crisis of 2008-2009. 11 developed and 28 developing economies, banks are moving fast and on a huge scale (Cantu, 2020). The BIS groups central bank measures into five categories: (1) interest rates; (2) backup policies; (3) lending operations; (4) asset purchases; and (5) foreign exchange policies, including foreign exchange swaps. In some cases, central banks have also eased capital buffers and countercyclical capital buffers adopted after the 2008-2009 financial crisis (Arnold,2020). However, in general, banks have not used their capital buffers to provide credit in their respective economies.

The five policy areas identified by the BIS are

- Interest rates. Interest rates were reduced in most countries, except Japan and the euro area, where interest rates were zero. In many countries, monetary authorities have announced that they will maintain adaptive policies (low interest rates) for a long period of time.
- Reserve policies. With low interest rates, some central banks have also adjusted reserve requirements for commercial banks, which is changing the amount of assets that banks need to hold. Some central banks have adjusted the rate used by the central bank to pay interest on required and excess reserves. Other banks have changed the compliance requirements or the types of assets that can be reported as reserves.
- Credit operations. Central banks have adjusted credit facilities to maintain liquidity by expanding existing credit facilities or by creating new programs, which account for 60% of lending operations. In some cases, policies have targeted specific segments of the financial market, especially banks and small and medium-sized enterprises.

- Purchases of assets. Central banks in developed economies used targeted and non-targeted lending operations to support monetary policy and maintain liquidity in the financial system. These goals have been achieved by increasing the size of existing programs and by extending loan maturities. Central banks in emerging economies have expanded their existing liquidity by lowering interest rates, expanding the types of eligible collateral and increasing the number and types of eligible counterparties. The main difference between existing and new lending policies is that a large proportion of new funding goes to the private sector, including lending measures to support the flow of credit to households and non-financial corporations. In developed economies, about 40% of asset purchase programs are new facilities, while the share of new programs in emerging economies is over 90%. In addition, asset purchases were divided almost evenly between public and private assets in developed economies
- Foreign currency.

The Federal Reserve initially introduced currency swaps with five countries (Canada, the eurozone, Japan, the United Kingdom, Switzerland), followed by swap lines extended to nine other countries (Australia, Brazil, Korea) to ease pressure on the dollar.

In the early stages of the economic crisis, central banks served as lenders of last resort through large purchases of government debt and as buyers or lenders of last resort for private sector securities, activities that were previously used for extraordinary restraints. As a result of these activities, the BIS claims that central banks effectively managed the initial liquidity crisis, the first of three phases often identified with financial crises. The second and third phases, insolvency and recovery, have also been successful, but could still become dangerous if the pandemic economic crisis continues. Capital buffers have been increased since the 2008-2009 financial crisis to help banks absorb losses and remain solvent during financial crises. Some governments have ordered banks to freeze dividend payments and stop paying bonuses. In its report of 13 July 2021 to the G20 Finance Ministers and Governors, the Financial Stability Board (FSB) argued that monetary and fiscal action taken by central banks and national governments, respectively, combined with regulatory and supervisory measures, effectively manage the impact of the crisis, support the functioning of the global financial system and facilitate the financing of the real economy (Brainard, 2021).

Since the beginning of the pandemic, central banks have often adopted such policies, although not always in unison. Most central banks have followed the Federal Reserve in cutting interest rates as one of their main policy instruments to support economic activity; The ECB (Eurozone) and Japan are notable exceptions, as they cut their key interest rates to zero before the economic recession. Low interest rates had an additional, though not necessarily foreseeable, impact on foreign exchange markets, reducing arbitrage opportunities and hence exchange rate volatility. According to some analysts, the mid-summer period of 2021 was the longest in history of low volatility between the dollar and the euro.

### 3.2. By regions:

- USA

Recognizing the growing impact of the pandemic on financial markets and economic growth, the Federal Reserve (Fed) has taken a number of steps to promote economic and financial stability, thanks to the Fed's monetary policy and its role as a "lender of last resort." Some of these actions were aimed at stimulating economic activity by lowering interest rates; other actions were designed to provide liquidity in the financial markets so that companies have access to the necessary financing. In announcing its decisions, the Fed said that "COVID-19 has harmed communities and disrupted economic activity in many countries, including the United States." The US Congress passed a \$ 1.9 trillion economic stimulus bill, designated the U.S. Rescue Plan Act (PL 117-2), which was signed by President Biden on March 11, 2021. On May 5, 2021, the U.S. Biden said he would support international discussions to lift intellectual property restrictions on the production of COVID-19 vaccines for emerging economies.<sup>2</sup>

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<sup>2</sup> On March 11, 2021, President Biden signed the \$ 1.9 trillion U.S. Rescue Plan Act (P.L. 117-2) to stimulate the U.S. economy. The main features of the act include: • Extended unemployment benefits with a \$ 300 weekly allowance until September 6, 2021. • \$ 1,400. direct payments to individuals up to \$ 75,000, \$ 112,500 for single parents and \$ 150,000 for couples. • Emergency paid leave, extended child tax credit up to \$ 3,600 per child. • Over 50 billion grants and other payments to small businesses. • 350 billion dollars aid to state, local governments. • Financing of education: 130 billion. for schools; 40 billion for colleges and universities. • Nearly 50 billion for housing assistance • Over 160 billion in health-related programs, including



Regarding the monetary and fiscal response to the economic downturn, Federal Reserve Chairman Powell said in a speech on October 6 that the monetary response included "the full range of instruments we have", including cuts in key interest rates, "unprecedented" purchases. assets, creating funds for emergency lending to households, businesses and state and local authorities and implementing targeted and temporary measures for banks to support their customers. These measures can be complemented by instruments of 1) Monetary Policy such as Forward Guidance and Quantitative Facility; 2) Liquidity actions such as Reserve Requirements, Derivatives, Discount Windows, Foreign Central Bank Swaps and Emergency Lending Facilities for the Non-Banking Financial System and 3) Fiscal Policy<sup>3</sup>

- Japan:

In response to the pandemic economic situation, the Bank of Japan injected \$ 4.6 billion in liquidity into Japanese banks in March 2020 through short-term loans to buy corporate bonds and securities and twice as many exchange-traded funds to help Japanese businesses. The Japanese government has also promised to provide wage subsidies for parents forced to take leave due to school closures. In March, Japan also adopted an emergency fiscal package of about \$ 1.1 trillion, roughly equal to 10% of Japan's annual gross domestic product (GDP). On April 27, 2020, the Bank of Japan announced that it would purchase unlimited amounts of government bonds and increase its purchases of corporate debt fourfold to keep interest rates low and boost Japan's economy. In May 2020, the Japanese cabinet proposed a second additional measure to provide \$ 296 billion in spending and about \$ 1.1 trillion in loans and guarantees financed by new bonds. This and previous set of expenditure measures were reported to be comparable to 40% of Japan's GDP and include grants to remuneration enterprises through the Japan Development Bank and small and medium-sized enterprise grants through the Regional Corporation for the Sustainability of Japan. Japan's economy, payments to help workers leave, and a reserve fund to provide capital injections to troubled companies through Japan Investment Corporation.

On monetary policy, the Bank of Japan (BOJ) has maintained its low interest rate policy of -0.1%, even as it increased its coronavirus credit facility from \$ 700 billion to \$ 1 trillion and said it would continue to buy commercial securities., corporate bonds and exchange traded funds amounting to ¥ 12 trillion per year. The COVID-19 loan facility has helped banks provide zero-interest loans to businesses. In a separate program, BOJ provided about ¥110 trillion for the purchase of commercial paper and corporate bonds and provided dollars through swap agreements with the US Federal Reserve. Japan said on August 17 that its economy contracted by 7.8% in the second quarter of 2020 compared to the previous quarter or at an annual rate of 27.8%. This decline in economic activity was accelerated by a decline in exports of 18.5% compared to the previous quarter (56.0% on an annual basis) and a decline in personal consumption by 8.6% (30.1% on an annual basis).

On July 19, 2021, the Bank of Japan issued a revised forecast, which is "very uncertain" that the impact of the pandemic will begin to decline in 2021 as a result of increased vaccinations. Japanese Prime Minister Suga announced on January 5, 2021, that Tokyo and three surrounding prefectures will launch a voluntary "soft" state of emergency on January 8, emphasizing long-distance work, limiting unnecessary travel and reducing sporting and cultural events. On April 23, 2021, Japan announced new two-week blockade protocols for Tokyo, Osaka and two other major cities due to an increase in viral infections. The blockades were intended to encourage workers to work from home, to close all establishments offering alcohol and supermarkets, but not schools. In April, May and June 2021, Japan again experienced a new wave with a total of 811,000 diagnosed cases. On July 8, Japanese officials announced that they would not be allowed to attend the Summer Olympics, which began at 23 July, after Japan declared a state of emergency again due to an increase in diagnosed cases of COVID-19.

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COVID-19 vaccines, tests, contact tracking, and other • \$ 50 billion. for transport services, including financing for airports, airlines and other railway services. • 10.4 billion dollars for agriculture, including debt relief for farmers. • 1.9 billion d. to improve cybersecurity. • Changes in other health care regulations;

<sup>3</sup> Marc Labonte, Specialist in Macroeconomic Policy, Government and Finance Division, CRS. CRS Insight IN11259, *Federal Reserve: Recent Actions in Response to COVID-19*, by Marc Labonte.

Osaka and two other major cities due to an increase in viral infections. The blockades were intended to encourage workers to work from home, to close all establishments offering alcohol and supermarkets, but not schools. In April, May and June 2021, Japan again experienced a new wave with a total of 811,000 diagnosed cases. On July 8, Japanese officials announced that they would not be allowed to attend the Summer Olympics, which began at 23 July, after Japan declared a state of emergency again due to an increase in diagnosed cases of COVID-19.

- China

China was the first major country to resume economic growth since the outbreak of the COVID-19 pandemic. The government reported gross domestic product (GDP) growth of 3.2% in the second quarter and 4.9% GDP growth in the third quarter of 2020. However, China is still struggling with the economic consequences of the COVID-19 pandemic, including low domestic consumption, slow recovery in its leading export markets and reliance on government spending and exports to stimulate growth. China is also facing growing restrictions on its overseas trade, access to foreign technology and pressure on companies to diversify China-based supply chains. Against this background, the Chinese leadership is considering the country's economic direction and national industrial plans for the next 5 to 15 years.

To stimulate economic growth, China has provided \$ 506 billion since February 2020 and has increased the government's budget deficit target to a record high of 3.6% of GDP, from 2.8% in 2019. China has cut value added tax value (VAT) and undertook a VAT exemption for certain goods and services. China's central bank has expanded monetary support by lowering interest rates, easing lending conditions and injecting liquidity into banks. Moving away from debt reduction efforts, the government announced the issuance of \$ 142.9 billion in special treasury bonds for the first time since 2007; increase the quota for special bonds of the local government (source of infrastructure financing); and the rapid issuance of corporate bonds to cover the cost of a pandemic, but with potential broader applications. The IMF estimates that announced fiscal measures and financing plans amount to 4.1% of China's GDP by July 2020. The government says it seeks to control credit risk, but the need for additional fiscal and monetary support to boost growth may to undermine this goal.

- Europe

In the early stages of the pandemic, European countries did not adopt a synchronized fiscal policy, similar to that during the 2008-2009 global financial crisis. EU members basically used a combination of national fiscal policies and ECB bond buying to cope with the economic impact of the pandemic. Individual countries have imposed quarantines and demanded the closure of business activities, travel and border restrictions, tax holidays for businesses, the extension of certain payments and guarantees on loans and subsidies to workers and businesses.<sup>4</sup> The European Commission has called for greater coordination among EU members in developing and implementing monetary and fiscal policies to address the economic consequences of the virus pandemic.

After lengthy debates, European leaders agreed on 21 July 2020 on a € 750 billion (about \$ 859 billion) package for pandemic economic aid to European economies. On 11 December 2020, EU members finalized the agreement, which entered into force in February 2021.<sup>5</sup>

In assessing the crisis, the Commission argues that "the [risk] ... is that the crisis will lead to serious distortions within the single market and to profound economic, financial and social disparities between euro area Member States, which will ultimately could threaten the stability of Economic and Monetary Union. " According to this assessment, European countries will emerge from the recession at different rates and paths, reflecting differences in the timing of the introduction and elimination of social distancing measures, dependence on tourism and the scale and effectiveness of economic policies. The Commission also noted an increase in savings

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<sup>4</sup> The WHO indicated in early January 2021 that 230 million Europeans were living under restrictions at the time and that 26 million Europeans became infected with COVID-19 in 2020. On 13 April 2021, the WHO estimated that 1 million Europeans have died from the disease, almost twice as many as in the United States. In an attempt to stop the spread of new strains of the virus, the United Kingdom, Ireland, Germany, Denmark and some northern Italian regions closed schools in January 2021 for several weeks.

<sup>5</sup> According to data published by Eurostat in August 2021, in the fourth quarter of 2020 and the first quarter of 2021, economic growth slowed by 0.4% and 0.1% in the EU and 0.6%, respectively. , 3% in the euro area as a result of social constraints and business blockades during the period, which somewhat reduced expectations of a strong recovery in the EU in the first half of 2021. At 18.8%, the United Kingdom experienced the GDP growth in the second quarter of 2020 compared to the previous quarter among European countries, but the growth rate in the third quarter recovered by 16.0%, which is the third fastest rate after France (18.8%) and Spain (17.1%).

among EU households, which it said was largely unintentional rather than precautionary, and is expected to return to pre-crisis levels once consumers resume their usual spending patterns.

In previous actions, the European Commission has said it will ease sovereign debt rules to allow countries more flexibility in using fiscal policies. In addition, the European Central Bank (ECB) has stated its readiness to take "appropriate and targeted measures" if necessary. France, Italy, Spain and six other eurozone countries have argued for the creation of a "crown bond" - a joint common European debt instrument. Germany and the Netherlands, along with other eurozone members, opposed such attempts. However, as interest rates are already low, the Commission has indicated that it will expand its program of lending to EU banks, or buying up debt from EU companies, and possibly further lowering interest rates on deposits to negative levels in an attempt to support the euro exchange rate. ECB nominee Christine Lagarde has called on EU leaders to take more urgent action to avoid the spread of COVID-19. The Commission has provided a \$ 30 billion investment fund to address the problems of COVID-19.

On March 31, 2021, French President Macron announced a four-week blockade of businesses across the country to limit the resumption of viral cases in French hospitals, and extended by one week the planned two-week school closure. The EU is also blocking shipments to the UK from the AstraZeneca vaccine, produced in Belgium and the Netherlands, until the EU's delivery commitments are met. At the same time, 16 European countries, including Germany, France, Italy and Spain, have suspended the use of AstraZeneca due to fears of possible negative side effects, despite assurances from EU drug regulators that the benefits outweigh the risks.

On 4 June 2021, the EU proposed its own three-point plan, which includes (1) maintaining export restrictions; (2) encouraging vaccine manufacturers to negotiate agreements with manufacturers in developing economies and increasing vaccine supplies to vulnerable countries; and (3) the use of existing WTO rules to grant licenses to manufacturers without the consent of the patent holder.

Given the macroeconomic and financial impact of COVID-19, decisive and coordinated economic policy measures should be taken to achieve the following objectives:

- To help save lives. To provide the necessary supplies, financial resources and investments for the control and treatment of the pandemic.
- Ensure the protection of workers in Europe (including the self-employed) against income loss and ensure that the most affected enterprises (especially SMEs) and sectors have the necessary support and financial liquidity.
- Reduce the impact on the whole economy, making full use of all available EU instruments and a flexible EU framework for action by Member States.

To offset the socio-economic impact of the COVID-19 epidemic, bold action is needed, taken in a timely and coordinated manner by all EU decision-making institutions. Crucial to this endeavor is the swift implementation of the measures identified by the EU. The announced measures relate to the current situation. We must be aware that this situation is changing on a daily basis. Further deterioration of the economic outlook cannot be ruled out.

#### **4. FORECASTS:**

##### **4.1. General Forecasts**

World GDP (excluding the euro area) is expected to increase by 6.2% this year, after slowing to 4.2% and 3.7% in 2022 and 2023, respectively. This reflects the interaction of factors, including the worsening pandemic in developed economies earlier this year and emerging market economies, as well as the macroeconomic impact of major US fiscal stimulus and improving prospects in other developed economies due to the rapid introduction of vaccines.

The projected global recovery from the pandemic crisis remains unchanged. In developed economies outside the euro area, the recovery is expected to continue unhindered and activity should reach the pre-pandemic trend next year, mainly due to the United States. In China, which was the first to be affected by the pandemic but recovered most quickly amid strong political support, real GDP returned to its pre-crisis trajectory as late as last year. In contrast, the recovery of other economies from emerging markets is expected to be slow. The recent increase in the number of those infected, as well as any delays in vaccination campaigns, could further increase these disparities.

The **OECD** estimates that economic recovery will take place over the next two years, but "recovery will be uneven between countries, potentially leading to lasting changes in the global economy." In addition, the pandemic is fragmenting the global economy due to growing trade and investment constraints, and the different policy approaches to tackling the crisis in different countries. According to the OECD analysis:

- The greatest impact of restrictions is on retail and wholesale trade, as well as on professional and real estate services, although there are significant differences between countries.
- Countries dependent on tourism are more severely affected, while countries with large agricultural and mining sectors have experienced less severe consequences.
- Economic effects are likely to vary from country to country, reflecting differences in the timing and extent of mitigation measures.

As a consequence of the slowdown in economic activity in the fourth quarter of 2020 and the projected slow growth and partial recovery in 2021, the OECD estimated that there will be long-term effects on the global economy, including:

- Production is projected to remain around 5% below pre-crisis expectations in many countries in 2022, increasing the range of significant fixed costs affecting disproportionately vulnerable populations.
- Smaller companies and entrepreneurs are more likely to go bankrupt.
- Many low-wage workers who have lost their jobs and are only covered by unemployment insurance may have difficulty finding a new job.
- People living in poverty and usually less covered by social security networks may suffer from deteriorating living standards.
- Children and young people of lower income and less skilled adult workers struggle to learn and work from home, with potential long-term damage.

According to the updated **IMF forecast** from October 2021, the world economy is recovering, but the recovery has been delayed due to new variants of the virus. The forecast also estimates a slower growth rate in developed economies than projected in April 2021 and a slower growth rate for emerging and developing economies. The IMF concluded that health risks continue to abound and hinder the full recovery of economic activity. In addition, the impact of the pandemic in critical units of global supply chains has "led to longer-than-expected supply disruptions", which have fueled inflation in many countries. The forecast concludes that economic recovery will be uneven across countries, depending on "access to medical interventions, the effectiveness of political support, exposure to spillovers in different countries and the structural characteristics of the crisis".

The IMF estimated that the global economic recovery may be weaker than expected as a result of continuing uncertainty about possible contamination, lack of confidence and permanent closure of businesses and changes in the behavior of businesses and households. The IMF concluded that the fiscal and monetary actions of developed economies are helping emerging and emerging market economies to avoid tightening monetary policy to stem capital outflows. Instead, the countries relied on their exchange rate movements while following developed economies in easing monetary policy, providing liquidity and using non-traditional monetary policy measures (such as buying government and corporate bonds).

In January 2021, the **World Bank** published its updated economic forecast, which indicated that in the absence of "substantial and effective reforms", the world economy will experience a decade of "disappointing growth". In particular, the bank assessed that all regions of the world remain vulnerable to renewed outbreaks of the virus, that there are logistical obstacles to the spread of effective vaccines and financial stress in addition to rising debt levels, and that the pandemic could have a greater negative impact on income and growth.

An earlier forecast (June 8, 2020) shows that the economic recession in 2020 will be the deepest since World War II. He also estimated that the global economic recession would affect 90% of the world's economies, a percentage higher than that experienced during the Great Depression. Similar to OECD and IMF forecasts, the World Bank argues that the economic impact of the global recession will have the strongest impact on emerging and emerging economies that rely on world trade, tourism or remittances, as well as those that depend on from the export of raw materials.

The Bank also concluded that Global Value Chains (GVCs) were important channels through which pandemic macroeconomic indicators were transmitted across national borders. The economic consequences of the

pandemic are spreading through trade links, which are exacerbated by quarantines, production closures and border closures. According to the World Bank, national measures have affected the world economy through four channels: declining employment due to factory closures and social distancing, trade shock due to rising commodity prices, tourist shock due to a sharp contraction in international tourism and a shock to services .

#### **4.2. Eurosystem experts' macroeconomic forecasts for the euro area**

The baseline forecast of June 2021 is based on the assumption of faster easing of restrictive measures and overcoming the health crisis by early 2022. The baseline assumption is that vaccination campaigns will continue in line with the EU's vaccine supply strategy. However, it is assumed that some restrictive measures will be needed by early 2022 for several reasons: demand constraints (eg vaccination readiness among the population), the emergence of new variants of COVID-19 outside the euro area and continuing uncertainty about the effectiveness of vaccines against them.

Significant monetary and fiscal policy measures, including the new generation EU package, will help support income and aggregate demand, prevent large-scale job losses and bankruptcies, and bridge the gap between the real economy and the financial sector. In addition to the monetary policy measures taken by the ECB by the end of the current forecasts, the baseline forecast includes discretionary fiscal stimulus related to the COVID-19 crisis and recovery, including measures financed by the EU's next generation ". Government guarantees on loans and capital injections should continue to help ease liquidity constraints. In addition, supervisory and macroprudential policies have freed up more bank capital to absorb losses and support credit flow to the real economy. Capital buffers have been released, guidelines have been issued to reduce pro-cyclical provisioning, and measures have been taken to maintain banks' loss-making capacity. It is assumed that monetary, fiscal and prudential policy measures in general will be able to prevent a serious vicious circle between the real economy and the financial sector during the forecast period.

Economic activity was expected to pick up strongly in the second half of 2021, as restrictive measures are expected to be eased. Real GDP is expected to reach its pre-crisis level in the first quarter of 2022 (a quarter earlier than expected in the March 2021 forecasts). In the last quarter of 2022, it should be 1.3% below the level predicted in the forecasts published before the start of the pandemic.

Private consumption is expected to resume in the second quarter, then rise sharply in the second half of 2021 with a gradual easing of restrictive measures and reach pre-crisis levels in the second quarter of 2022. The gradually weakening uncertainty and the recovery of disposable income also contribute, despite the reduction in net fiscal transfers, especially in 2022. Although private consumption is expected to be the main driver of the recovery, the baseline forecast does not latent demand, as the large amount of accumulated excess savings will remain largely unspent.

The household savings rate has fluctuated significantly since the beginning of the pandemic and is still rising, leading to an accumulation of surplus savings. The June 2021 forecasts assume that the savings rate will return to its pre-pandemic level by mid-2022 as the drivers of both forced and precautionary savings weaken and then remain. This trend reflects the normalization of savings flows as a result of the successful exit from the health crisis and the easing of restrictive measures, which is expected to be completed by the beginning of 2022 and should also inspire confidence.

Correcting the accumulated surplus of savings requires balancing between several opposing forces. On the one hand, the increase in the saving rate during quarantine periods largely reflects forced savings, which are expected to decrease and be partially used for consumption after the restrictive measures have been eased (Dossche, 2020).

This can be aided by the fact that most of the additional savings appear to have been held primarily as bank deposits, which are highly liquid and can therefore be easily withdrawn for consumption. As uncertainty decreases, some precautionary savings may be spent. On the other hand, it seems unlikely that there will be a more significant release of surplus savings for consumption due to the concentration of savings in high-income households, which have a lower marginal propensity to spend income or wealth than low-income households (European Commission Technical Documents, 2021):

Instead of spending the surplus on savings, households could also continue to hold them in the form of deposits or invest them in other assets - both financial and non-financial (eg real estate), or use them to repay debts. . Finally, as the current crisis is mainly due to a decline in the consumption of services, the potential for latent

demand may be less pronounced, although this could be offset in part by a shift in favor of the consumption of durable goods. use.

Housing investment is expected to return to pre-pandemic levels in 2022. As for business investments, they are expected to remain sustainable and recover significantly in 2022, reaching pre-crisis levels by the end of the year. From now on, more stable improvement is expected with the recovery of global and domestic demand and the improvement of profit growth. This will be supported by favorable financing conditions and the positive impact of the "new generation EU" on business investment.

Taking all factors into account, the possibilities for relieving the accumulated surplus of savings for consumption after the mitigation of anti-epidemic measures appear to be generally limited. However, the speed and extent of the expected normalization of the savings rate are subject to considerable uncertainty. The mechanisms of interaction between pandemic and macroeconomic dynamics show a faster decline in the rate of savings in the short term. However, the model does not show a significant reduction in the surplus of savings - rather, it shows that the level of the savings rate will remain above the pre-crisis trend in 2022 and 2023 and will approach the baseline forecast only at the end of 2023 (Fisher, 2021).

Unemployment is expected to return to pre-crisis levels by the end of 2023. The contraction in employment growth in 2021 due to prolonged restrictive measures and a corresponding decline in activity has led to rising unemployment. It is assumed that a large proportion of workers covered by job retention schemes will return to their normal employment thanks to the strong recovery from the pandemic. Therefore, the unemployment rate is expected to be rather stable by the end of 2021, before gradually decreasing over the next two years and reaching 7.3% by the end of 2023.

Fiscal policy continues to mitigate the macroeconomic impact of the COVID-19 pandemic in 2021 and is at the heart of the recovery. As the restrictive measures remained in force in 2021, governments extended the emergency measures, gradually strengthened them and / or adopted new support measures. Most of the additional measures are temporary and are expected to be abolished in 2022. Some have been further extended along with other recovery measures, including EU-funded expenditure.

Most of the extraordinary support in 2021 represents additional costs in the form of subsidies and transfers to enterprises, including job retention schemes. Measures classified as "general government consumption" mainly reflect higher healthcare costs, including wages related to the vaccination campaign. In the revenue part, the measures relate to the reduction of direct and indirect taxes. Following an adjustment of the impact of EU New Generation grants on the revenue side of around 0.6% of GDP per year, the fiscal position is expected to be expansionary in 2021, tightening in 2022 and remain broadly neutral in 2023

The slight decline in the budget deficit in 2021 reflects a slightly better cyclical component and lower interest rates, which better offset additional stimulus measures not covered by the "new generation EU" grant. "In the revenue part. The significant improvement in the budget balance in 2022 is mainly due to the completion of most of the emergency stimulus measures related to the crisis and the much more favorable cyclical component. In 2023, with a generally neutral fiscal position and better cyclical conditions, the overall budget balance is projected to improve further. The decline in 2022-2023 is mainly due to the favorable differential between interest rates and growth, which more than compensates for continuing, albeit declining, primary deficits. Compared to the March 2021 forecasts, the euro area budget deficit and debt have been revised upwards, especially for 2021 due to additional stimulus measures.

As there is still considerable uncertainty about the future development of the COVID-19 pandemic and its economic effects, two scenarios have been considered that are alternatives to the Eurosystem experts' baseline forecast of June 2021. They illustrate a range of possible impacts of the COVID-19 pandemic on the euro area economy.

In the mild scenario, the health crisis is expected to be overcome by the end of only temporary economic losses, while in the severe scenario a prolonged health crisis and permanent losses of potential GDP are allowed. Compared to the baseline scenario, the milder scenario envisages faster implementation, greater public acceptance and higher efficacy of vaccines, also against new variants of the virus. This will allow for faster easing of restrictive measures and their phasing out by the end of 2021.

In contrast, the severe scenario envisages a possible resumption of the pandemic in the coming months with the emergence of more contagious variants of the virus, which would also mean reducing vaccine efficacy and continuing some restrictive measures until mid-2023, which will have a negative impact on activity.

Compared to the baseline scenario, the severe scenario is characterized by more severe damage to the economy, aggravated by increased insolvency and deteriorating creditworthiness of borrowers, which adversely affects the expected losses and capital costs of banks and therefore the provision of credit to the private sector. At the same time, even in the severe scenario, it is assumed that monetary, fiscal and prudential policies will limit the very severe multiplication of financial effects.

The banking sector must play a key role in tackling the effects of the proliferation of COVID-19, while maintaining credit flow to the economy. If the flow of bank loans is very limited, economic activity will slow down significantly as companies have difficulty paying their suppliers and employees. Banks need to have adequate liquidity to lend to their customers. The EU Commission takes note of the ECB's monetary policy decisions announced on 12 March 2020. The EU framework allows national governments to provide, where appropriate, in the form of state guarantees, support to banks if they themselves are experiencing difficulties in raising capital. Although there is no evidence that banks are currently experiencing liquidity difficulties, such a situation may arise for some banks if the crisis deepens significantly.

The non-banking financial sector will have to adjust to the new circumstances. Insurers can be expected to create new products related to both the risk of loss of life caused by the virus and the loss of income in the context of social distancing. The amount of the premium for some property insurance is likely to decrease because the insured will use their cars less often and will manage their movable and immovable property better. Due to the fall in the prices of shares traded on the domestic and international markets, the profitability of private pension funds will fall and may be negative for some time. On the other hand, new investments in stocks made during the recession have the potential for high returns. Thus, pension funds that invest in this asset class will be able to count on higher returns in the future. The same applies to personal investments in securities. In order to maintain the value of their savings and get a chance for real growth in personal wealth, households can take advantage of the ongoing economic slowdown and falling securities prices in international markets by investing in appropriate financial assets, relying on capital markets to recover from the crisis.

## **5. THE PANDEMIC SITUATION IN BULGARIA**

Due to the spread of the infection and in order to protect public health, in particular to protect citizens from the direct physical threat of the virus, a state of emergency was declared in Bulgaria on March 13, 2020. Thus began the first phase of the crisis - strong restrictions on social and economic activities.

Currently, the Bulgarian economy is entering an economic crisis, the depth and duration of which may be very large. And although some slowdown in economic growth has been expected due to slowdown and problems in some of Europe's major economies, the current crisis is quite different - the result of the global pandemic caused by COVID-19.

Currently, the expectations of most consumers and entrepreneurs in Bulgaria for the future of their income are naturally pessimistic. In general, the banking system is facing the crisis with sufficient capital buffers and high liquidity. Bad credit, inherited from the previous crisis, has largely cleared up. But the problems of the real sector will be transferred to the banking system and will affect the work and performance of banks.

A decision of the banks, sanctioned by the BNB, to postpone loan installments until the end of the year is already underway, as a first reaction to the expected problems for the banking system. This will allow banks to operate temporarily more freely in terms of loan classification and provisioning, but at the same time will have a negative impact on their financial performance. After the moratorium, it can be expected that there will be a wave of bad loans that will test the stability of the banking system and this emphasizes the importance of the buffers available in it (Petranov, 2020).

Undoubtedly, the pandemic of COVID-19 changed the business and affected the national economic system in Bulgaria. As a result of health and restrictive measures in the country and globally, not only is international trade reduced, but there is also a significant change in global supply chains.

Moreover, the COVID-19 pandemic has not affected different countries and sectors equally. Although full restrictive measures in Bulgaria are implemented in only 3 months, the Bulgarian economy remains at the bottom of the EU economies with a decline of 6% in the last 2 years (2020 and 2021), and in some sectors this downward shift is more than 50%.

This requires an answer to 3 questions: Is the crisis in the economy caused by COVID-19 something unusual? How strong is the crisis compared to others like it? And what measures are needed to complement those already adopted by the government since the beginning of the pandemic?

A country's economy, and on a global scale, follows certain rules and never stands still. When new production technologies or new materials are developed: the economy grows, and when the "public contract" begins to not satisfy all individuals and companies, there is a decline in the economy. In this way, a normal economic cycle of growth and decline is formed. Considering the data on the Bulgarian economy, and in particular on industrial production, several significant "CRISES" can be identified, related to the subsequent change in "public relations" (Table 1)

Table 1. Comparison of COVID 19 with previous crises

1999 - 2008	<ul style="list-style-type: none"> <li>• The growth of production is 18.3%</li> <li>• The growth rate of imports is 46.5%</li> <li>• The growth of exports is 36.8%.</li> <li>• Production is growing slowly with 0.14% growth rate on a monthly basis and 1.7% growth rate on an annual basis.</li> <li>• Imports in Bulgaria grew slightly faster (0.23% growth rate on a monthly basis and 2.79% growth rate on an annual basis) than exports of goods from Bulgaria (0.22% growth rate on a monthly basis and 2.67% growth rate on an annual basis)</li> </ul>
2008 (GFC) -2020 (COVID-19)	<ul style="list-style-type: none"> <li>• Growth in production is a total of 3.5% and the annual growth rate of production is 0.29%.</li> <li>• The growth rate of imports of goods decreased by 65% and reached 0.07% on a monthly basis and 0.84% on an annual basis</li> <li>• The growth rate of exports of goods decreased by 49% and outpaced imports, reaching 0.10% on an annual basis on a monthly basis and 1.21% on an annual basis</li> </ul>
2020 (COVID-19) - 2021	<ul style="list-style-type: none"> <li>• Production growth of 2.15% within the monthly growth rate of 0.16%.</li> <li>• Imports and exports increased significantly compared to the growth in the period 1999-2008, respectively: 6.13 times for imports and 3.73 times for exports</li> </ul>
Main crisis points (GFC 2008-2009) and Covid-19 crisis (April 2020)	<ul style="list-style-type: none"> <li>• October 2008: Production decreased by 8.5%, imports - by 8.5%, and exports - by 3.6%</li> <li>• April 2020: Production decreased by 6.0%, imports - by 6.7% and exports - by 3.3%</li> </ul>

As can be seen from the data, the negative economic ones such as a decrease in production, an increase in unemployment, a decline in exports and others. are present, but with the necessary effort the pandemic situation can be overcome.

### 5.1. Recommendations

The measures implemented so far, both by Borissov's regular government and the caretaker government, can be considered necessary. However, the time of their implementation is not enough to assess the full effects of them.

As we have all witnessed, the current pandemic has affected thousands of people, and has affected almost all industrial sectors, causing historic losses to certain industries such as the transport sector, the oil market and tourism. The main reason why these sectors are most affected is that health and restrictive measures taken globally have affected sectors dependent on globalization and labor mobility. We should ask ourselves, what else needs to be done?

Changes in the country's Industrial and Economic Policy can be recommended in three main areas in order to be more flexible to future "economic shocks", regardless of the reasons that will cause them:

- Innovation: Investment in innovation infrastructure is needed, through which each individual has the opportunity to test, research and develop their innovative idea. The innovation infrastructure can cover various start-ups and business incubators. Business incubators should serve as a link between economic uncertainty and innovation, as the innovations they develop will be better adapted to the needs of individuals and there is a greater opportunity to develop new successful business models. In addition, economic growth will be accelerated by social growth through the construction of "public" business incubators. It is through them that they could include in the economy those individuals from marginalized groups who are currently excluded from economic life due to: violence, minority affiliation, disadvantaged people, permanent unemployment, etc.



- **Entrepreneurship:** Entrepreneurship is a tool that prevents job losses during economic crises. It is therefore necessary to enforce entrepreneurship policy and develop tools to support entrepreneurship. Some of the possible tools are: introduction of funds for fast entrepreneurship programs; launching bank guarantees for SME loans; release of budgetary funds to support innovative small and medium-sized companies.
- **Establishment of value chains:** Bulgarian industrial production is becoming increasingly dependent on the development of global supply chains. Thus, a successful industrial policy that prevents the negative effects of global crises must support not only global but also national supply chains. In this regard, industrial policy must support projects to diversify resources, including the development of appropriate domestic and international markets and the "double supply" of the same raw materials from suppliers in different countries. Such an approach should help to prevent negative shocks caused by existing (single or limited) value-added chains in the face of physical health and other constraints.

## 5.2. Forecasts for Bulgaria

Overall, the EU economy will grow by 5% in 2021 and by 4.3% in 2022, but will slow to 20% in 2023. Compared to the forecasts made in the spring, this is an increase of 1.3 percentage points, respectively. for this year and from 0.4 percentage points. for the next.

As for the euro area, the forecasts for this year and next are the same as for the whole of the European Union, but in 2023 the pace will be one idea slower - 2.4%.

However, this forecast depends largely on two factors: the development of the COVID-19 pandemic and the pace at which supply is adapting to the rapid recovery in demand after the reopening of the economy.

The European Commission has slightly raised its forecast for Bulgaria's gross domestic product (GDP) growth in 2021, but lowered it next year. According to its Autumn Economic Forecast, Bulgaria's economy will grow by 3.8% this year, while in the spring it was expected to grow by 2.7%. There will be a significant acceleration of the economy next year - by 4.1%, the report notes. In comparison, expectations in the previous forecast, however, were for growth of 4.9%, which still indicates a slowdown.

Inflation forecasts jump sharply. While in the previous report for this year an acceleration of 1.6% was expected, and for the next - 2.0%, now the forecasts have been revised to 2.4% and 2.9%, respectively. Brussels also presented forecasts for 2023 - economic growth will slow to 3.5% and inflation - to 1.8%.

The EC predicts that recent increases in energy and food prices are likely to shrink the purchasing power of low-income households. However, the increase in social benefits and pensions this year and next will compensate for the effect of higher prices on household budgets, according to Brussels. Exports of goods will grow along with external demand, but exports of services will grow more gradually. According to the Commission, higher energy and unprocessed food prices have caused inflation to accelerate in the second and third quarters of 2021. However, seasonal price increases in tourism services have been less pronounced, which has helped curb inflation in services such as whole.

Recovery of tax revenues will offset the impact on the deficit of still strong expenditure growth. The deficit is expected to narrow in 2022, as most emergency measures will be lifted and larger payments from the EU are planned to finance most of the projected growth in public spending.

The risks to Bulgaria's recovery are mostly related to the Covid-19 pandemic. According to the report, the introduction of a green certificate may not be enough to maintain the levels of new infections, and it may take longer to adapt to the new one. In addition, the impact of higher energy prices on core inflation and subsequently on private consumption may be stronger than expected.

The described economic consequences of the crisis require appropriate economic measures. The specific nature of the situation and the lack of Bulgarian and world experience make it difficult to find optimal solutions, but in all cases the public administration, business and economically active people must work together and find well-balanced solutions to limit the negative effects.

## 5.3. Advices for personal finance

The financial consequences of a global pandemic, such as COVID-19, are far-reaching. While we all take the necessary steps to put health and safety first, you may want to take steps to protect your finances.

As banks and other services reduce personal access and working hours, you may need to take a new approach to managing your finances during these uncertain times. Here are some steps you can take to begin the process of preparation for mediation (Wells Fargo,2021) :

1) Plan and manage your finances actively: Personal financial planning is essential. Income, expenses, savings, investments and loans must be adjusted to the short-term and long-term needs, desires and life goals of the family. In a volatile global economic environment, it is important to seize opportunities as well as stay prepared for emergencies. Financial planning helps a person to remain responsible in both of these situations. It is also important to actively manage and review plans and implement changes in line with changing needs, desires and the overall economic scenario.

2) Review your budget and savings: Create an emergency fund before investing money: Such an emergency fund can help you stay afloat in times of financial crisis. Such a fund should be a minimum of 6 - 12 monthly family income. and be highly liquid. Most importantly, the fund should be considered sacred - available for use only in case of emergency.

Consider tightening your budget to ensure you have enough money to cover your basic expenses. If you have less income, prioritize your expenses and eliminate all unnecessary expenses. Creating a budget and sticking to it is a good strategy at all times, but especially when your finances have suffered an unplanned blow. If you receive a tax refund or other unforeseen profit, consider allocating a portion to increase your savings or create an emergency fund for future unexpected situations.

3) Life insurance and health insurance are important investments: Life is uncertain. The pandemic not only proved this to the world, but also showed how unpredictable life can be. Ensuring financial security for the family is therefore paramount. Health insurance is also mandatory, given the increase in lifestyle-related diseases and rising healthcare costs.

4) Avoid the debt trap: In an era of growing consumerism driven by a combination of factors such as better purchasing power, product innovation, stimulating marketing gimmicks and readily available personal credit options, one can find oneself in the debt trap. This debt trap not only damages financial planning, but can become devastating during an economic crisis.

5) Make payments on time: Although it can be difficult, try to make at least your minimum debt payments by the due date. Delays of 30 days or more can remain in your credit report for up to seven years, and 35 percent of your credit rating is based on payment history. Therefore, while higher credit card balances may also lower your credit rating, this impact may be easier to deal with over time than a missed payment. Many banks allow you to access your credit rating online;

5) Use credit wisely: If you need to carry balances or borrow more, make a list of your current credit sources, including current balances, credit limits, and annual interest rates (APRs). Note the end date of all zero-entry bids. Avoid maximizing each card. If necessary, split the costs between several cards.

6) Make the most of online banking: With online finance management or mobile banking, you can easily check account balances, pay bills, make transfers and meet many of your daily banking needs. Online tools can also help you monitor your spending habits and send and receive money. If you have difficulty, contact your creditors and credit card issuers. Financial institutions may have difficulty options that allow you to apply for short-term suspension of payments or possibly postpone or reduce your payments. Check the websites of your service providers. Many energy, telephone and internet companies can end outages during this time.

7) Diversification of investments: The basic principle of successful investment is to diversify investments in different asset classes - equity, debt, gold, real estate, etc. This helps not only to reduce the risk, but also to optimize the return. It is also important to keep in mind the duration of the investment and the objectives when choosing financial instruments (such as stocks).

8) Live a minimalist life: It's all about realizing that we don't need much to live a happy life. Excessive consumption - a bigger house, a better car, more clothes, the latest electronics, etc. just push our desires to the next level and always keep happiness out of reach. Living a simple life, focusing on needs, reducing desires and developing healthy eating habits not only ensures financial prosperity, but also contributes to mental and emotional well-being.

The coronavirus pandemic is changing the way we do many everyday things, including how we manage our finances. As the unprecedented Covid-19 pandemic swept the world like a storm, one of the most important

lessons to be learned from this crisis was the need to properly plan and manage personal finances to build a secure future. To summarize, financial discipline and prudence are necessary for the next time disaster strikes.

## CONCLUSION:

The pandemic-related recession is characterized as being more global in nature than that experienced during the 2009-2010 global financial crisis as a result of its effects on developing economies. Through the various stages of the pandemic-related health and economic crises, governments responded with a number of policy initiatives that often attempted to balance competing policy objectives.

Compared to March 2021, the outlook for growth is stronger in 2022. This reflects the assumption that the pandemic will have a more limited economic impact given the progress of the vaccination campaign, significant additional fiscal policy measures - partly funded by the New Generation EU program - and an updated outlook for external demand, supported by recent US fiscal packages. Monetary, fiscal and macroprudential policy measures are expected to prevent a sharp increase in financial effects and reduce the economic damage from the crisis. As a result, real GDP is expected to be just 1.3% below the level projected in the pre-pandemic projections by the end of 2022.

In recent forecasts, it is projected geographic regions of the global economy would recover at different speeds, reflecting differences in the pace of vaccinations, the extent of policy support, and various structural conditions, such as the role of tourism in the economy.

Undoubtedly, the pandemic of COVID-19 changed the business and affected the national economic system in Bulgaria. As a result of health and restrictive measures in the country and globally, not only is international trade reduced, but there is also a significant change in global supply chains. The question is if the crisis in the economy caused by COVID-19 something unusual?

The negative economic consequences such as a decrease in production, an increase in unemployment, a decline in exports and others. are present, but the realized effects don't seriously affect the development of the Bulgarian economy.

As the health crisis subsides and economic activity resumes, policymakers may consider evaluating the various policy approaches for lessons learned and for best practices to employ in addressing similar crises, should they arise. On the microeconomic perspective one of the most important lessons that came out of this crisis is the need to properly plan and manage one's personal finances towards building a secure future.

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## Yükselen Piyasa Ekonomilerinde Bankacılık Sektörünün Gelişimi: 2007-2020 Dönemi Analizi<sup>1</sup>

Tansu Topuzoğlu<sup>1</sup>

Prof. Dr. Faruk Akın<sup>2</sup>

<sup>1</sup>Bilecik Şeyh Edebali Üniversitesi, Lisansüstü Eğitim Enstitüsü, Bankacılık ve Sigortacılık Yüksek Lisans Programı, tns.tpzglu@gmail.com, ORCID: 0000-0001-7252-2121

<sup>2</sup>Bilecik Şeyh Edebali Üniversitesi, Uygulamalı Bilimler Fakültesi, Finans ve Bankacılık Bölümü, drfarukakin@gmail.com, ORCID: 0000-0002-5921-2628

**Özet:** Küreselleşme ile birlikte uluslararası ticaret yaygınlaşmış ve uluslararası sermaye akımları hız kazanmıştır. Artan rekabet ortamında potansiyelleri ile gelişmekte olan ülkeler arasında ön plana çıkan ülkeler yükselen piyasa ekonomileri olarak isimlendirilmiştir. Küresel ekonomi içerisinde yüksek büyüme performansları ve potansiyelleri ile dikkat çeken yükselen piyasaya ekonomilerinin gelecekte küresel ekonomiye yön veren en önemli aktörler olacağı tahmin edilmektedir. Bu çalışmanın amacı, Morgan Stanley Capital International (MSCI)'ın yayınladığı Yükselen Piyasalar Endeksi'nde yer alan yükselen piyasa ekonomileri arasından seçilmiş dört ülkenin ve Türkiye'nin (BRIC-T) bankacılık sektörünü analiz etmektir. Çalışmada öncelikle yükselen piyasa ekonomilerinin sınıflandırılması ve seçilmiş yükselen piyasa ekonomilerinin temel özellikleri ele alınmıştır. Sonrasında ise 2007-2020 döneminde seçilmiş yükselen piyasa ekonomilerinde bankacılık sektörünün gelişimi; temel büyüklük göstergeleri (banka sayısı ve şube sayısı), performans göstergeleri (aktif kârlılığı ve özkaynak kârlılığı) ve risk göstergeleri (sermaye yeterlilik rasyosu ve takipteki krediler oranı) ile analiz edilmiştir.

**Anahtar Kelimeler:** Yükselen Piyasa Ekonomileri, Bankacılık Sektörü, Performans Göstergeleri

### 1. GİRİŞ

1990'lı yıllarda ivme kazanan küreselleşme, ülkelerin dışa açılma politikaları ile ticaret ve sermaye akımlarını sınır ötesine taşıyarak uluslararası hareketlilik kazandırmıştır. Küreselleşme ile dengeler değişmiş ve daha karmaşık etkiler ortaya çıkmıştır. Küreselleşme ile sınırları ortadan kaldıran politikalar hem ticaret hacminin hem de sermaye akımının hızını arttırmıştır. Küreselleşme sonrası potansiyelleri ile yeni pazarlar haline gelen gelişmekte olan ülkeler, yatırımcıların dikkatini çekmiştir. Gelişmiş ülkelerde rant sağlayamayan, pazara tutunmaya çalışan, riskini bölmek ve kârını arttırmak isteyen yatırımcılar gelişmekte olan ülke pazarlarına yönelmiştir. Gelişmekte olan ülkeler arasında, diğer ülkelere oranla daha yüksek büyüme potansiyeline sahip ülkeler ise 'yükselen piyasa ekonomisi' olarak adlandırılmaktadır. Hızlı büyüme performansının yanında dış yatırımlara bağımlı olan ve kırılgan yapılarıyla da dikkat çeken yükselen piyasa ekonomilerinin, gelecekte önemli küresel aktörler olacağı tahmin edilmektedir. Bu ülkelerin ekonomilerinde ve finansal piyasalarında hareketlilik fazla olduğu için makroekonomik göstergeleri stabil değildir. Yükselen piyasa ekonomilerinin kırılgan yapılarından dolayı piyasalarda oluşabilecek herhangi bir dalgalanmadan, dünyadaki birçok piyasa etkilenebilmektedir.

Çalışmada Morgan Stanley Capital International (MSCI)'ın yayınladığı Yükselen Piyasalar Endeksi'nde yer alan yükselen piyasa ekonomileri arasından seçilmiş dört ülkenin (BRIC) ve Türkiye'nin (BRIC-T) bankacılık sektörü analiz edilmektedir. Çalışmanın amacı doğrultusunda seçilmiş yükselen piyasa ekonomilerinin bankacılık sektörü 2007-2020 dönemi için analiz edilmiştir. Çalışmada bankacılık sektörünü analiz edebilmek için temel büyüklük göstergeleri olarak banka sayısı ve şube sayısı, performans göstergeleri olarak aktif kârlılığı ve özkaynak kârlılığı, risk göstergeleri olarak sermaye yeterlilik rasyosu ve takipteki krediler oranı incelenmiştir.

### 2. YÜKSELEN PİYASA EKONOMİLERİ

1980'li yıllara kadar 'gelişmekte olan ekonomiler' olarak tanımlanan bu ülkelere, 1981 yılında Dünya Bankası Uluslararası Finans Kurumu'nda Antoine Van Agtmael tarafından yeni bir literatür olarak 'yükselen ekonomiler' terimi kazandırılmıştır. Agtmael yükselen ekonomileri tanımlarken, ülkelerin ekonomik düzeyleri ile kişi başına düşen gelir seviyesi hesaplanmış ve büyüme hızları baz alınmıştır. Agtmael'e göre yükselen ekonomiler ise düşük-orta düzeyli gelir seviyesine sahip ülkelerdir (Halışçelik, 2017: 3).

1990'lı yıllarda ivme kazanan yükselen ekonomilerin, mal ve hizmet ticaretinde serbestleşmeye gitmesinin temelinde, sınırların kaldırılmasının ekonomik büyümeye olumlu yönde etkisi olacağının düşünülmesi, finansal

<sup>1</sup> Bu çalışma Tansu Topuzoğlu'nun yüksek lisans tezinden üretilmiştir.

sektördeki serbestleşmenin temelinde ise sınırlandırılmanın kaldırılması ile finansal sermayede hareketlilik yaşanacağı ve piyasaların daha verimli işlevlerini yerine getireceğinin düşünülmesidir (Canbaloglu ve Gürgün, 2019: 442).

Yükselen ekonomiler, küreselleşme hareketi ile dünya ticaretinde payını ve yerini almış, ham maddesi bol olan, iç pazar hacminin yüksek olduğu, yüksek nüfus ve iş gücüne sahip, yüksek ve hızlı büyüme eğilimine sahip ülkelerdir (Coşmuş, 2019: 4). Yükselen ekonomiler literatürde tam bir tanımlaması olmasa da en geniş anlamda; siyasi ve sosyo-ekonomik anlamda dünya ekonomileri arasında önemli bir yer edinmiş, hızlı büyüme oranlarına sahip, yüksek istikrar ve yüksek verimlilik politikaları ile ekonomilerini daha etkin ve rekabetçi hale getiren, yüksek üretim performansına sahip, küresel anlamda belli bir ticaret hacmine sahip ülkeler olarak tanımlanmaktadır (Elmas vd., 2011: 223).

Yükselen ekonomilerin en önemli özellikleri olarak, enflasyonist yapıya sahip olmaları, piyasalarda fazla ısınma ve kırılganlık olması, oligopolist yapı, yüksek risk, siyasi belirsizlikler, genç ve dinamik nüfus sayılabilir (Çivi ve Çavuşgil, 2001: 122, Yardımcıoğlu, 2014: 283, Coşmuş, 2019: 5).

### 3. YÜKSELEN PİYASA EKONOMİLERİNİN SINIFLANDIRILMASI

Dünya genelinde ekonomiler gelişmiş, gelişmekte olan ve gelişmemiş ekonomiler olarak üç grupta sınıflandırılmaktadır. Fakat yükselen ekonomilerin literatürde farklı tanımlamaları bulunduğu gibi genel olarak kabul görmüş bir sınıflandırılması bulunmamaktadır. Farklı uluslararası kurumlar tarafından farklı kriterlere ve derecelendirmelere göre yükselen piyasa ekonomileri sınıflandırmaktadır.

#### 3.1. IMF

1944 yılında Bretton Woods Birleşmiş Milletler konferansında kurulan, 189 üyesi bulunan ve açılımı Uluslararası Para fonu olan IMF; üye ülkelere ekonomik istikrarın sağlanması, ülkenin krizlere karşı güçlenmesinin sağlanması, risklerin ve kırılganlıkların azaltılması, yaşam standartlarının daha iyi seviyeye getirilmesi gibi konularda raporlar sunmakta ve bu konularda finansal, teknik desteklerde bulunmaktadır (IMF, 2019: 1)

IMF'in çeşitli kriterleri göz önünde bulundurarak gelişmiş ekonomiler, yükselen piyasa ekonomileri, düşük gelirli ekonomiler olarak üç grup ülke sınıflandırması vardır. IMF'e göre yükselen ekonomiler sınıfına giren ekonomiler; Angola, Bolivya, Brezilya, Cape Verde, Şili, Çin, Kolombiya, Kosta Rika, Hırvatistan, Mısır, Macaristan, Hindistan, Endonezya, Jamaika, Mauritius, Meksika, Filipinler, Polonya, Romanya, Güney Afrika, Tayland, Türkiye, Etiyopya, Gana, Papua, Ruanda, Uganda'dır (IMF, 2021: 29-31).

#### 3.2. MSCI

Morgan Stanley Capital International (MSCI), 1935 yılında Henry Sturgis Morgan tarafında Amerika'da kurulmuştur. Ülkenin en büyük bankalarından biri konumunda olan Morgan Stanley, MSCI adı altında her yıl birçok endeks yayınlamaktadır. MSCI endeksleri, farklı ülkelerde faaliyet gösteren yabancı yatırımcıların, ülke risklerini ve ekonomideki beklentilerini değerlendirerek yatırım fırsatlarını değerlendirmesi, pazar potansiyellerini ölçebilmesi, borsa bazlı performans analizleri yapabilmesi için önemlidir. Ülkelerin makro ekonomik verilerinden yararlanarak elde edilen Yükselen Piyasalar endeksi bu endekslerden biridir (Koç vd., 2018: 17).

MSCI, 2019 yılında yayımladığı verilere göre yükselen ekonomiler; Arjantin, Brezilya, Şili, Kolombiya, Meksika, Peru, Çek Cumhuriyeti, Mısır, Yunanistan, Macaristan, Polonya, Katar, Rusya, Suudi Arabistan, Güney Afrika, Türkiye, Birleşik Arap Emirlikleri, Çin, Hindistan, Endonezya, Kore, Malezya, Pakistan, Filipinler, Tayvan ve Tayland'dır (MSCI, 2019).

#### 3.3. S&P

S&P, 1860 yılında Henry Varnum Poor tarafında Newyork'ta kurulmuş bir kredi derecelendirme şirkettir. Günümüzde küresel olarak hizmet veren S&P'in 19 ofisi bulunmaktadır. S&P ülkeleri, göstergelerine göre değerlendirmektedir. Piyasadaki riskleri değerlendirerek yatırımcıların gelecek planlamasına yardımcı olmaktadır. Ayrıca S&P her gün enerji, kimya, petrol, tarım gibi önemli emtia piyasalarını ve finansal piyasaları temel piyasa verilerini kullanarak analiz etmektedir (S&P Dow Jones Indices, 2019: 11).

S&P Dow Jones'in 2019 yılında yayınladığı endekse göre yükselen ekonomiler; Brezilya, Şili, Çin, Kolombiya, Çek Cumhuriyeti, Mısır, Yunanistan, Macaristan, Hindistan, Endonezya, Malezya, Meksika, Pakistan, Peru, Filipinler, Polonya, Katar, Rusya, Sudi Arabistan, Güney Afrika, Tayvan, Tayland, Türkiye, Birleşik Arap Emirlikleri'dir (S&P Dow Jones Indices, 2019: 11).

### 3.4. FTSE

Açılımı Financial Time Stock Exchange olan FTSE 1984 yılında Londra Borsası tarafından kurulmuş. Financial Times ile faaliyet gösteren FTSE, küresel olarak faaliyet gösteren şirketlerin analizini yaparak derecelendirmekte ve bu verilere dayalı birçok endeks üretmek için yatırımcılara risk analizi yapmakta ve strateji önerileri sunmaktadır. FTSE ülkelerin borsalarını, küresel boyutta işlem gören hisse senetlerine göre değerlendirmektedir. Ayrıca FTSE ülkeleri makro ekonomik göstergeleri baz alarak gelişmiş piyasalar, ileri yükselen piyasalar, ikincil yükselen piyasalar, sınır ülkeleri olarak dört sınıfa ayırmaktadır (Açdoğuran, 2020: 49).

FTSE'nin 2021 yılında yayınladığı endekse göre yükselen ekonomiler; Brezilya, Şili, Çin, Kolombiya, Çek Cumhuriyeti, Mısır, Yunanistan, Macaristan, Hindistan, Endonezya, Kuveyt, Malezya, Meksika, Pakistan, Filipinler, Katar, Romanya, Rusya, Suudi Arabistan, Güney Afrika, Tayvan, Tayland, Türkiye, Birleşik Arap Emirlikleri' dir (FTSE Russell, 2021: 3).

## 4. SEÇİLMİŞ YÜKSELEN PİYASA EKONOMİLERİ

MSCI'nın 2019 yılında yayınladığı yükselen ekonomiler endeksinden yararlanarak açıklanan yükselen piyasa ekonomileri arasında Brezilya, Çin, Hindistan, Rusya ve Türkiye seçilmiştir. Seçilmiş yükselen ekonomilerin bir diğer özelliği ise BRIC ve G-20 üye ülkeleri olmasıdır.

### 4.1. Brezilya

Brezilya'nın Dünya Bankası 2020 yılı verilerine göre nüfusu 212,6 milyondur. IMF verilerine göre 2020 yılında GSYH'si 1,44 trilyon \$ olan Brezilya'nın kişi başına düşen GSYH'si 6,600 \$'dır. Brezilya'nın 2020 yılında ihracatı 209,92 milyar \$, ithalatı 158,92 milyar \$ olarak gerçekleşmiştir. Brezilya'nın Dünya Bankası 2019 raporuna göre ülkede iş yapma kolaylığı endeksi 60,01'dir ve dünya ülkeleri içinde ise 109. sıradadır.

Ticaret ve sanayi merkezleri Atlas Okyanusu'nun kıyı bölgelerinde hareketlilik kazanan Brezilya, Latin Amerika ve Karayip'lerdeki en önemli sanayi merkezidir (Mercan, 2019: 272 ve T.C. Ticaret Bakanlığı, 2019). Brezilya, küreselleşme sonrası otomotiv sektöründe önemli derecede rant sağlamıştır. Brezilya son yıllarda uçak teknolojisine önem vermektedir (T.C. Dış İşleri Bakanlığı, 2019). Brezilya yeni petrol kaynakları bulan ve gelecek yıllarda dev rezervler arasında olması beklenen bir ülkedir. Yaşadığı krizin şiddetine rağmen hala BIRIC ülkeleri arasında yer almasının en büyük sebebi de bu petrol rezervleri ve doğal kaynaklarıdır. Brezilya'nın yatırımlar açısından zayıf olması, yüksek faiz oranları, yetişmiş insan gücünün az olması ve alt yapı sorunları yaşamaması ekonominin ilerlemesi ve büyümesi önündeki en büyük sorunlardır (Mercan, 2019: 284).

### 4.2. Çin

Çin'in Dünya Bankası 2020 yılı verilerine göre nüfusu 1,4 milyar kişidir. IMF verilerine göre 2020 yılında GSYH'si 14,72 trilyon \$ olan Çin'in kişi başına düşen GSYH'si 10,500 \$'dır. Çin'in Dünya bankası verilerine göre 2020 yılı ihracatı 2,49 trilyon \$, ithalatı ise 2,07 trilyon \$'dır. Dünya Bankası 2019 raporuna göre iş yapma kolaylığı endeksi 73.64 olan Çin, dünya ülkeleri arasında 46. sıradadır.

Çin'in GSYH'de yaklaşık %40,5 payı olan sanayi sektöründe ise artan rekabet ve yabancı sermaye odaklı imalat görülmektedir. Hizmet sektörü karşılaştığı yasal kısıtlamalara rağmen Çin'in hizmet sektörünün GSYH' da ki payı yaklaşık %51,6'dır (Evis ve Mete, 2019: 293- 294). Çin küresel dünyaya hızlı odaklanmış, yabancı sermaye yatırımlarını iyi yöneterek dünya ticaretindeki payını arttırmış ve gerekli yatırımları ülke ekonomisine hızlıca kanallandırmıştır (T.C. Ticaret Bakanlığı, 2020).

### 4.3. Hindistan

Hindistan'ın Dünya Bankası 2020 yılı verilerine göre nüfusu 1,38 milyar kişidir. IMF verilerine göre 2020 yılı GSYH'si 2,62 trilyon \$ olan Hindistan'ın kişi başına düşen GSYH'si 1,900 \$'dır. Hindistan'ın Dünya Bankası

verilerine göre 2020 yılı ihracatı 375,5 milyar \$, ithalatı ise 368 milyar \$ olarak gerçekleşmiştir. Dünya Bankası 2019 iş yapma kolaylığı endeksi 67,23 olan Hindistan dünya ülkeleri arasında 77. sıradadır.

Dünyanın en büyük dördüncü tarımsal gücü olan Hindistan’da tarım sektörünün GSYH içindeki payı %15,5’tir. Hizmet sektörünün GSYH’deki payı %48,9 olan Hindistan’ın sanayi sektörünün payı %25’tir (Evis ve Mete, 2019: 305-306).

#### 4.4. Rusya

Rusya’nın Dünya Bankası verilerine göre 2020 yılında nüfusu 144,1 milyona kişiye ulaşmıştır. 2020 yılında GSYH’si 1,48 trilyon \$ olan Rusya’nın kişi başına düşen GSYH’si ise 10,126 \$’dır. OEC 2020 yılı verilerine göre Rusya’nın ihracatı 337 milyar \$, ithalatı ise 232 milyar \$ olarak gerçekleşmiştir. Dünya Bankası 2019 yılı raporuna göre iş yapma kolaylığı endeksi 77,37 olan Rusya’nın dünya ülkeleri arasında ise 31. sıradadır.

Rusya için petrol ve doğalgaz önemli kaynaklardır (Gedikoğlu ve Konu, 2019: 143). OEC, 2017 yılı verilerine göre ihracatın %28 ini ham petrol, %17’sini rafine petrol, %5,8’ini petrol gazı, %4,7’ini kömür briketler oluşturmaktadır (OEC World Data, 2020).

#### 4.5. Türkiye

Türkiye’nin Dünya Bankası verilerine göre 2020 yılı nüfusu 84,3 milyon kişiye ulaşmıştır. Dünya Bankası verilerine göre 2020 yılı GSYH’si 720 milyar \$ olan Türkiye’nin kişi başına düşen GSYH ise 9.505 \$’dır. Dünya bankası verilerine göre Türkiye’nin 2020 yılında ihracatı 169,5 milyar \$, ithalatı ise 219 milyar \$ olarak gerçekleşmiştir. Dünya Bankasının 2019 yılında yayınladığı raporda ülkenin iş yapabilme kolaylığı endeksi 74,33 olan Türkiye dünya ülkeleri arasında 43. sıradadır.

TÜİK 2019 verilerine göre Türkiye’de GSYH içindeki hizmetler sektörünün payı %38,9 sanayi sektörünün payı %28,1 inşaat sektörünün payı %8,9 tarım ve ticaret sektörünün payı %24,1’dur. Dünyadaki bor rezervlerinin %74’ü Türkiye’de bulunmaktadır. 1980 yıllarından bu yana enflasyon ülke için en büyük sorunlardan olmuştur. 2000 yılına kadar enflasyon mücadelesinde uygulanan en ciddi politika, para politikasıdır (Eğilmez ve Kumcu, 2004: 376).

### 5.YÜKSELEN PİYASA EKONOMİLERİNDE BANKACILIK SEKTÖRÜNÜN GELİŞİMİ: 2007-2020 DÖNEMİ ANALİZİ

#### 5.1. Amaç

Bu çalışmanın amacı, dünya sermaye ve ticaret hacmini derinden etkileyen yükselen piyasa ekonomilerde bankacılık sektörünün yapısal olarak analiz edilmesidir. 2007-2020 dönemi baz alınarak 2008 Küresel Finansal Krizi, Covid-19 gibi küresel etkileri olan önemli olayların, seçilmiş yükselen ekonomilerin finansal sektörlerine etkilerini incelemek amaçlanmıştır. Bu amaç doğrultusunda Morgan Stanley Capital International (MSCI)’ın 29 Mart 2019’da yayınladığı Yükselen Piyasalar endeksine göre sıralanan yükselen ekonomiler arasından Brezilya, Çin, Hindistan, Rusya(BRIC) ve Türkiye(BRIC-T) seçilmiştir.

#### 5.2. Yöntem

Çalışmada seçilmiş yükselen ekonomilerin 2007-2020 dönemi için bankacılık sektörü analiz edilmiştir. Seçilmiş yükselen piyasa ekonomilerinin finansal sektörü içinde önemli bir paya sahip olan bankacılık sektörünün performansını ölçmek için 2007-2020 yıllarına ait temel büyüklük göstergeleri, performans göstergeleri ve risk göstergeleri ele alınmıştır. Temel büyüklük göstergeleri olarak banka sayısı ve şube sayısı, performans göstergeleri olarak aktif kârlılığı ve özkaynak kârlılığı, risk göstergeleri olarak sermaye yeterlilik rasyosu ve takipteki krediler oranı analiz edilmiştir.



### 5.3. Temel Büyüklük Göstergeleri

#### 5.3.1. Mevduat Banka Sayısı

Banka sayısı, bankacılık sektörü hakkında bilgi edinmek için, diğer finansal göstergelerde olduğu gibi tek başına yeterli bir gösterge değildir. Fakat bir ülkenin bankacılık sektörünün temel büyüklüğünü gösteren önemli göstergelerden biri o ülkedeki banka kurumlarının sayısıdır. Bir ülkenin banka sayılarında ve çeşitliliğinde ülkenin ekonomik büyüklüğü, coğrafi büyüklüğü, nüfus oranı gibi özellikler önemli rol oynamaktadır. Gelişmiş ülkelerde banka sayısı gelişmekte olan ülkelere oranla daha yüksektir. Nüfusu fazla ve geniş coğrafyaya sahip ülkelerde ise küçük ölçekli ve bölgesel hizmet veren birçok yerel ve kooperatif bankalar bulunmaktadır. Finansal sistemin piyasa ve banka bazlı olarak ikiye ayrıldığı daha önce belirtilmişti. Banka bazlı finansal sistemde ticaret bankacılığı sistemi de denilmektedir. Bu sistem özellikle sanayileşme ile yayılmış ve yeterli sermaye birikiminin olmadığı dönemlerde ortaya çıkmıştır. Dünya geneline bakıldığında ticaret bankacılığı sistemi daha yaygın olmakla birlikte ülkelerde uygulamada farklılık gösterebilmektedir (Kuzucu, 2014: 13).

Mevduat bankalarının tasarruf ve krediler ile reel ekonomiye fon akışı sağlayan kurumlar olduğunu bilinmektedir. Bu bağlamda mevduat bankaları sağladıkları krediler ile istihdam, gelir artışı ve tüketim artışı sağlayarak toplumun refah seviyesinin artmasına katkı sağlamaktadır. Ayrıca mevduat bankalarının para politikalarının uygulanmasında rolü büyüktür (Ermiş, 2018: 55). Bu çalışmada farklı finansal kurum yapılarına sahip ülkeler karşılaştırıldığı için sadece ülkede hizmet veren mevduat (ticari) bankalarının sayıları baz alınmıştır. Tablo 5.1.'de seçilmiş yükselen piyasa ekonomilerinin mevduat banka sayıları verilmiştir.

İncelenen ülkeler arasında 2020 yılında en fazla banka sayısına sahip olan ülkenin Rusya, aynı yıl incelenen ülkeler arasında en az mevduat banka sayısına sahip olan ülkenin Türkiye olduğu görülmektedir. İncelenen ülkeler arasında banka sayısında 2007 yılına göre 2020 yılında en fazla düşüş yaşayan ülke Rusya, en fazla artış yaşayan ülke ise Çin'dir.

Tablo.5.1.Mevduat Banka Sayısı

ÜLKE	2007	2008	2009	2010	2011	2012	2013	2014	2015	2016	2017	2018	2019	2020
Brezilya	128	129	125	125	128	129	124	122	123	122	121	119	118	121
Çin	170	185	195	204	201	203	204	192	190	190	190	192	193	192
Hindistan	182	173	170	167	167	173	157	151	157	157	162	161	161	151
Rusya	1092	1058	1007	955	922	897	859	783	681	575	517	440	402	366
Türkiye	33	32	32	32	31	32	32	34	34	34	33	34	34	34

Kaynak: FRED Economic Data, 2021/ Reserve Bank of India, 2020

#### 5.3.2. Şube Sayısı

Bankalar için temel büyüklük göstergelerinden bir diğeri de bankaların şube sayısıdır. Dijitalleşme ile geleneksel bankacılığın ötesinde müşterilerin farklı kanallarla (mobil bankacılık, internet bankacılığı, ATM) her an işlem yapma imkânı bulduğu bir bankacılık anlayışı ortaya çıkmıştır. Dijitalleşme otomasyona, bankaların hızlı hareket etmesine, operasyonel maliyetlerinin azalmasına ve dolayısıyla karının artmasına olanak sağlamaktadır (Demirhan, 2021: 11).

Teknolojinin gelişmesi ile birçok işlemin dijital ortamda yapılabiliyor olması şube sayılarının düşmesine neden olması beklenirken, müşterilerin bankalarına güven duyması, uygulama kullanım zorluğu, alışkanlıklarını değiştirmek istememesi, demografik faktörler (kırsal kesime, vilayetlere daha ulaşılabilir olması ve bu bölgelere de şube hizmetinin götürülmesi) bankaların şube sayılarında artışa neden olmaktadır (Demirhan, 2021: 11). Tablo 5.2'de seçilmiş yükselen piyasa ekonomilerinin mevduat bankalarına ait şube sayıları verilmiştir.

İncelenen ülkeler arasında 2020 yılında en fazla şube sayısına sahip olan ülke Hindistan, aynı yıl incelenen ülkeler arasında en az şube sayısına sahip olan ülke ise Türkiye'dir. İncelediğimiz ülkeler arasında 2007 yılına göre 2020 yılında şube sayısında en fazla düşüş yaşayan ülke Rusya, en fazla artış yaşayan ülke ise Hindistan'dır.

Tablo.5.2.Mevduat Bankaları Şube Sayısı (Adet)

ÜLKE	2007	2008	2009	2010	2011	2012	2013	2014	2015	2016	2017	2018	2019	2020
Brezilya	25.951	27.207	27.659	27.343	28.554	30.851	31.518	33.089	32.954	32.562	31.632	31.155	31.061	30.016
Çin	-	-	-	-	85.358	85.358	86.708	89.813	95.680	99.462	100.064	101.329	101.610	101.268
Hindistan	71.996	75.977	79.922	85.219	90.965	98.643	106.551	117.869	126.561	135.506	140.674	142.868	146.031	150.075
Rusya	39.850	42.242	41.147	41.653	43.642	45.368	45.578	43.716	38.758	35.399	34.275	30.704	29.894	28.562
Türkiye	7.658	8.724	8.968	9.419	9.791	10.199	10.981	11.180	11.149	10.740	10.503	10.397	10.135	9.873

Kaynak: FRED Economic Data, 2021

## 5.4. Performans Göstergeleri

Bankalar likidite yönetimi yaparken dikkat ettikleri en önemli hususlardan biri kârlılık oranlarıdır. Banka karlılığı, aktiflerden elde edilen kar ile maliyetler ve yasal yükümlülüklerin toplamı arasındaki farktır (Gülhan ve Uzunlar, 2011: 343). Berger ve Bouwman (2009: 3781), çalışmaları sonucunda aktif büyüklüğü fazla olan bankaların daha fazla likidite riskine maruz kaldıklarını vurgulamaktadır. Bir bankadaki aktiflerin likit varlıklardan oluşması o bankanın kârlılık oranlarını düşürecektir (Molyneux ve Thornton, 1992: 1173-1178). Bankanın karlılığını etkileyen diğer önemli faktör ise sermaye oranıdır (Güngör, 2007: 43).

Bankacılık sektörü kârlılık oranları bir ülkenin makroekonomik performansını gösteren ekonomik büyüme, enflasyon ile ilişkilidir. Bir ülkenin bankacılık sektörü kârlılık oranı ile enflasyon oranı arasında aynı yönlü ilişki var iken, bankacılık sektör maliyeti ile enflasyon arasında ters yönlü ilişki bulunmaktadır (Dağdır, 2010: 26). Bir ülke ekonomisinde enflasyon yükselme eğilimi gösteriyorsa, fiyatlarda meydana gelen artış kârlılık oranlarına da yansımaktır. Diğer taraftan bankacılık maliyetleri artıyorsa meydana gelen bu artış, kredilere ve hizmetlere tamamen yansıtılamayacaktır ya da yansıtılsa bile kredi talebi düşecek yine bankanın kârlılık oranlarında düşüş ortaya çıkacaktır (Abreu ve Mendes, 2002: 9). Çok şubeli bankacılık maliyetlerinin artması kârlılığı azaltmaktadır (Dağdır, 2010: 26).

Banka karını düşüren diğer bir etken rekabetin artmasıdır (Demirhan, 2021: 13). Küreselleşme ile sınırların ortadan kalkması bankacılık sektöründe rekabetin artmasına neden olmuştur. Gelişmiş ve gelişmekte olan ülkelerin bankacılık sektörünü inceleyen Demirgüç-Kunt ve Huizinga (2000: 14), bankacılık sektörü geliştikçe kârlılık oranlarının ve faiz marjlarının düştüğü sonucuna ulaşmıştır. Bu noktada temel kârlılık göstergelerinden aktif karlılığı (ROA) ve özkaynak karlılığı (ROE) incelenebilir.

### 5.4.1. Aktif Kârlılığı (ROA)

Aktif kârlılığı; net kârın toplam aktiflere oranı şeklinde ifade edilebilir. Bankanın mevcut varlıklarla ne kadar kar elde edebildiğini ve etkinliğini ortaya koymaktadır (Reis vd., 2016:22). Bankaların aktif karlılığın yüksek olması beklenir. Bu doğrultuda aktif kârlılığı yüksek olan bankalar daha fazla gelir ve kar elde etmek için yüksek riske ihtiyaç duymazlar. Aktif kârlılığı yüksek bankalar kredi kullanırken daha seçici davranabilir, riskli müşterilerine kredi olanağı sağlamayabilir ya da bir yatırım yapmayı planladıklarında yüksek kar etmek için riske girmek istemeyebilir. Aktif kârlılığı ile kredi/toplam aktifler oranı, likit varlıklar, özkaynaklar arasında pozitif yönlü ilişki vardır (Kaya, 2002: 6-10). Aktif kârlılık üzerinde özkaynak kârlılığı, varlık hacmi, enflasyon olumlu etki ederken, sektörde yoğunlaşma, sektör büyüklüğü ve duran varlıklar olumsuz etki etmektedir (Atasoy, 2007:65-66). Tablo 5.3.'te seçilmiş yükselen piyasa ekonomilerine ait aktif kârlılığı oranları verilmiştir.

İncelenen ülkeler arasında 2020 yılında en düşük aktif kârlılığına sahip olan ülke Çin iken, aynı yıl en yüksek aktif kârlılığına sahip olan ülkenin Rusya olduğu görülmektedir. İncelediğimiz ülkeler arasında 2007 yılına göre 2020 yılında aktif kârlılığı en fazla düşüş yaşayan ülke Türkiye, en fazla artış yaşayan ülke ise Hindistan'dır.

Tablo 5.3.: Aktif Kârlılığı (%)

ÜLKE	2007	2008	2009	2010	2011	2012	2013	2014	2015	2016	2017	2018	2019	2020
Brezilya	2,7	2,1	1,8	1,9	1,7	1,4	1,4	1,3	1,5	1,1	1,5	1,6	2,0	1,2
Çin	1,3	1,0	1,0	1,1	0,8	1,0	1,1	1,1	1,5	1,0	0,9	0,9	0,9	0,8
Hindistan	1,0	0,9	1,0	1,0	0,9	0,9	0,9	0,7	0,4	0,4	0,3	0,0	0,2	1,7
Rusya	2,1	2,1	0,7	2,0	2,5	2,4	1,9	0,9	0,2	1,2	1,0	1,6	2,4	2,0
Türkiye	3,3	2,5	3,3	3,1	2,2	2,4	2,0	1,7	1,5	1,9	2,0	1,8	1,4	1,4

Kaynak: IMF Financial Data, 2020/ FRED Economic Data, 2021

## 5.4.2. Özkaynak Karlılığı (ROE)

Özkaynak karlılığı net karın toplam ortalama özkaynaklara oranıdır. Bu oranın yüksek olması beklenir. Bir bankanın bir yıl içindeki yatırımlarının özkaynaklarına oranına bakarak ne kadar karlı bir yatırım yaptığı görülebilir. Özkaynak kârlılığının, öz kaynak maliyetinin üzerinde olması beklenir (Aksoy, 2018: 102). Özkaynak kârlılığı, sahip olunan menkul değerler, likidite, krediler, döviz pozisyonları, piyasa hacmi ile pozitif yönlü bir ilişkiye sahipken, mevduat ve personel giderleri ile negatif yönlüdür (Okuyan ve Karataş, 2017: 5). Tablo 5.4.'de seçilmiş yükselen ekonomilere ait öz kaynak kârlılığı oranları verilmiştir.

İncelenen ülkeler arasında 2020 yılında en yüksek özkaynak kârlılığına sahip olan ülke Hindistan, en düşük özkaynak kârlılığına sahip olan ülkenin ise Çin olduğu görülmektedir. İncelenen ülkeler arasında 2018 yılında özkaynak kârlılığı negatif olan tek ülke %-0,2 ile Hindistan'dır. İncelenen ülkeler arasında 2007 yılına göre 2020 yılında özkaynak kârlılığı en fazla düşüş yaşayan ülke Türkiye, en fazla artış yaşayan ülke ise Hindistan'dır.

Tablo 5.4: Özkaynak Kârlılığı (%)

ÜLKE	2007	2008	2009	2010	2011	2012	2013	2014	2015	2016	2017	2018	2019	2020
Brezilya	24,7	19,2	15,8	16,7	16,1	13,1	13,1	13,2	15,5	11,3	13,9	14,5	18,0	12,3
Çin	16,7	13,9	16,7	19,2	20,4	19,8	14,4	13,1	13,2	16,0	12,6	11,7	11,0	9,5
Hindistan	16,5	14,6	14,1	15,7	13,4	13,8	10,8	9,6	6,3	5,1	4,5	-0,2	2,7	20,7
Rusya	15,5	13,7	4,1	12,5	17,3	17,9	14,0	7,5	2,0	9,8	7,9	13,0	19,5	17,5
Türkiye	26,6	20,0	26,4	23,9	19,0	19,6	17,4	14,7	13,6	17,1	18,8	17,0	12,8	12,8

Kaynak: IMF Finansal Data, 2020/ Fred Economic Data, 2021

## 5.5. Risk Göstergeleri

Risk göstergeleri, bankaların dış şoklara karşı ne kadar duyarlı olduğunu anlamamıza olanak sağlamaktadır. Bu çalışmada temel risk göstergeleri olarak sermaye yeterlilik rasyosu ve takipteki krediler oranı tercih edilmiştir.

### 5.5.1. Sermaye Yeterlilik Rasyosu (SYR)

Sermaye yeterlilik rasyosu, finansal kuruluşların yasal sermayesi ile varlıkları ve riskler arasındaki ilişkiyi anlamamıza olanak sağlayan bir rasyodur (Doğru, 2013: 20). Sermaye yeterlilik rasyosu, özkaynakların toplam risklere oranı şeklinde açıklanabilir. Söz konusu rasyoda; kredi riskleri, operasyonel riskler ve piyasa riskleri yer almaktadır. Sermaye yeterlilik rasyosu sınırı Basel II ile %8 olarak belirlenmiştir (Şenol, 2017: 14). Sermaye yeterlilik rasyosunun payı sermaye, paydası risk barındıran varlıkların kabul edilmiş farklı ağırlıklarla toplamı oluşturmaktadır (Doğru, 2013: 20).

Sermaye yeterliliği, bankaların şoklara karşı dayanıklı olmasını sağlamaktadır. Bankanın aldığı riski sınırlamasını ve aşırı risk almasının önüne geçmektedir (Doğru, 2013: 15). Tablo 5.5'te seçilmiş yükselen piyasa ekonomilerine ait sermaye yeterlilik rasyoları verilmiştir.

Seçilmiş yükselen piyasa ekonomilerinin, incelenen dönemde sermaye yeterlilik rasyoları iyi görünmekle birlikte Basel II ile %8 olarak belirlenen asgari sermaye yeterliliğinin üzerinde seyretmektedir. İncelenen ülkeler arasında 2020 yılında en yüksek sermaye yeterlilik rasyosuna sahip olan ülke Türkiye, en düşük sermaye yeterlilik

rasyosuna sahip olan ülke ise Rusya'dır. İncelenen ülkeler arasında 2007 yılına göre 2020 yılında sermaye yeterlilik rasyosu en fazla düşüş yaşayan ülke Rusya, en fazla artış yaşayan ülke ise Çin'dir.

Tablo 5.5.: Sermaye Yeterlilik Rasyosu (%)

ÜLKE	2007	2008	2009	2010	2011	2012	2013	2014	2015	2016	2017	2018	2019	2020
Brezilya	17,3	17,7	18,7	16,9	16,3	16,4	16,1	16,7	16,4	17,2	18,1	18,0	17,1	16,8
Çin	8,4	14,8	16,9	12,2	12,7	13,3	12,2	13,2	13,5	13,3	13,6	14,2	14,6	14,7
Hindistan	12,3	13,0	14,3	15,2	13,1	13,1	12,3	12,5	12,7	13,0	12,8	12,9	15,4	15,6
Rusya	15,5	16,8	20,9	18,1	14,7	13,7	13,5	12,5	12,7	13,1	12,1	12,2	12,3	12,5
Türkiye	18,9	18,0	20,6	19,0	16,6	17,9	15,3	16,3	15,6	15,6	16,8	17,3	18,4	18,7

Kaynak: IMF Financial Data, 2020/ FRED Economic Data, 2021

### 5.5.2. Takipteki Krediler

Takipteki krediler, toplam kredilerin takipteki karşılıksız kredilere oranı olarak ifade edilmektedir. Diğer bir ifadeyle takipteki karşılıksız krediler, alacağın zorlaştığı ya da imkânsız hale geldiği krediler olarak belirtilmektedir. Bu oranın olabildiğince düşük olması beklenir. Bankalar geri ödenmeme riskini üstlendiği her kredi için bir karşılık ayırmak zorundadır. Takipteki krediler oranı genellikle içsel ya da dışsal nedenlerle ekonomik sorunların yaşandığı dönemlerde artış göstermektedir. Bu artışın yaşanmasında; tahsildeki operasyonel zayıflık, yatırımcıların hızlı büyümek için riskli krediler kullanması, ekonomik daralma, ekonomik durgunluk, kur ve faiz oranlarındaki dalgalanmalar gibi birçok neden sıralanabilir (Yücememiş ve Sözer, 2011: 44). Tablo 3.6.'da seçilmiş yükselen piyasa ekonomilerinde takipteki krediler oranları verilmiştir.

Seçilmiş yükselen piyasa ekonomileri arasında 2020 yılında en yüksek takipteki krediler oranına sahip olan ülke Rusya, en düşük takipteki krediler oranına sahip olan ülke ise Çin'dir. Çin'in hemen arkasında yer alan Brezilya ve Türkiye için takipteki krediler oranı %4'ün altında iken, Rusya ve Hindistan'da bu oran sırasıyla %8,8 ve %7,9'dur. İncelenen ülkeler arasında 2007 yılına göre 2020 yılında takipteki krediler oranı en fazla düşüş yaşayan ülke Çin, en fazla artış yaşayan ülke Rusya'dır.

Tablo 3.6.: Takipteki Krediler / Toplam Brüt Krediler (%)

ÜLKE	2007	2008	2009	2010	2011	2012	2013	2014	2015	2016	2017	2018	2019	2020
Brezilya	3,0	3,1	4,2	3,1	3,5	3,4	2,9	2,9	3,3	3,9	3,6	3,1	3,1	2,2
Çin	6,2	2,4	1,6	1,1	1,0	1,0	1,0	1,2	1,7	1,7	1,7	1,8	1,9	1,8
Hindistan	2,7	2,4	2,7	3,4	4,0	4,3	4,0	4,3	5,9	9,2	10,0	9,5	9,2	7,9
Rusya	2,5	3,8	9,5	8,2	6,6	6,0	6,0	6,7	8,3	9,4	10,0	10,1	9,3	8,8
Türkiye	3,3	3,4	5,0	3,5	2,6	2,7	2,6	2,7	3,0	3,1	2,8	3,7	5,0	3,9

Kaynak: IMF Financial Data, 2020

## 6. SONUÇ

Bu çalışmada Morgan Stanley Capital International (MSCI)'ın yayınladığı Yükselen Piyasalar Endeksi'nde yer alan yükselen piyasa ekonomileri arasından seçilmiş dört ülkenin ve Türkiye'nin (BRIC-T) bankacılık sektörünün analiz edilmesi amaçlanmıştır. Seçilmiş yükselen piyasa ekonomilerinin bankacılık sektörünü analiz edebilmek için bankacılık sektörünün temel büyüklük göstergeleri, performans göstergeleri ve risk göstergeleri ele alınmıştır. Bankacılık sektörü temel büyüklük göstergeleri olarak banka sayısı ve şube sayısı, performans göstergeleri olarak aktif kârlılığı ve özkaynak kârlılığı, risk göstergeleri olarak sermaye yeterlilik rasyosu ve takipteki krediler oranı analiz edilmiştir. Çalışmadan elde edilen gözlem sonuçları şunlardır;

Brezilya'nın 2008 Küresel Finansal Krizi döneminde (2008-2010), 2007 yılına oranla performans göstergeleri dalgalı bir seyir izleyerek azalma eğilimi gösterirken, risk göstergelerinden takipteki krediler oranı dalgalı bir seyir izleyerek yükselmiştir. Brezilya'nın performans göstergeleri Covid-19'un başladığı yıl olan 2019 yılında bir önceki yıla oranla artış gösterirken, 2020 yılında azaldığı görülmektedir. Brezilya'nın Covid-19 döneminde (2019-2020) takipteki krediler oranının ise bir önceki yıla oranla gerilediği görülmektedir. Brezilya'nın bankacılık sektörünün genel olarak iyi bir performans gösterdiği görülmektedir.

Çin'in 2008 Küresel Finansal Krizi döneminde (2008-2010), 2007 yılına oranla performans göstergelerinden aktif kârlılığı ve risk göstergelerinden takipteki krediler oranı azalma eğilimi göstermektedir. Çin'in Covid-19 döneminde (2019-2020) ise performans göstergeleri bir önceki yıla oranla azalma eğilimi gösterirken, takipteki krediler oranında ise bir değişiklik görülmemiştir. Çin'in bankacılık sektörünün genel olarak iyi bir performans gösterdiği görülmektedir.

Hindistan'ın 2008 Küresel Finansal Krizi döneminde (2008-2010), 2007 yılına oranla performans göstergeleri dalgalı bir seyir izleyerek azalma eğilimi gösterirken, risk göstergelerinden takipteki krediler oranı dalgalı bir seyir izleyerek artış eğilimi göstermektedir. Hindistan'ın Covid-19 döneminde (2019-2020) ise performans göstergeleri bir önceki yıla oranla yükselme eğilimi gösterirken, takipteki krediler oranı azalma eğilimi göstermektedir. Hindistan'ın bankacılık sektörünün genel olarak iyi bir performans gösterdiği fakat 2007 yılına oranla 2020 yılında artan takipteki krediler oranının bankacılık sektörü için sorun teşkil edebileceği söylenebilir.

Rusya'nın 2008 Küresel Finansal Krizi döneminde (2008-2010), 2007 yılına oranla performans göstergeleri dalgalı bir seyir izleyerek azalma eğilimi gösterirken, takipteki krediler oranı dalgalı bir seyir izleyerek artış eğilimi göstermektedir. Rusya'nın Covid-19 döneminde (2019-2020) ise performans göstergeleri bir önceki yıla oranla yükselme eğilimi gösterirken, takipteki krediler oranı azalma eğilimi göstermiştir. Rusya'nın bankacılık sektöründe yaşadığı daralmalar sonucu sektörün performans göstergelerinin olumsuz etkilendiği ve 2007 yılına oranla 2020 yılında artan takipteki krediler oranının bankacılık sektörü için sorun teşkil edebileceği söylenebilir.

Türkiye'nin 2008 Küresel Finansal Krizi döneminde (2008-2010), 2007 yılına oranla performans göstergeleri dalgalı bir seyir izleyerek azalma eğilimi gösterirken, takipteki krediler oranı artış eğilimi göstermektedir. Türkiye'nin Covid-19 döneminde (2019-2020) ise performans göstergeleri bir önceki yıla oranla azalma eğilimi gösterirken, takipteki krediler oranı dalgalı bir seyir izleyerek artış eğilimi göstermektedir. Türk bankacılık sektörünün genel olarak iyi bir performans gösterdiği görülmektedir.

Sonuç olarak Brezilya, Çin ve Türkiye'nin 2007 yılına oranla 2020 yılında kârlılık oranlarında gerileme olduğu görülmektedir. BRIC-T ülkelerinin 2007-2020 döneminin tamamında sermaye yeterlilik rasyolarının Basel II kriterinin üstünde olduğu görülmektedir. 2007 yılına oranla 2020 yılında Hindistan, Rusya ve Türkiye'nin takipteki krediler oranında artış olduğu görülmektedir. Brezilya, Hindistan ve Rusya'nın 2007 yılına oranla 2020 yılında mevduat bankası sayısının azaldığı görülmektedir. BRIC-T ülkelerinin genel olarak şok dönemlerinde (2008 Küresel Finansal Krizi ve Covid-19) bankacılık sektörü performansı olumsuz etkilenmekle birlikte yaşanan şoklar sonrası bankacılık sektörünün hızlı bir şekilde toparlandığı söylenebilir.

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## İş Kazaları ve Meslek Hastalıklarından Kaynaklanan Sürekli İş Göremezlik Geliri

Doç. Dr. Teoman AKPINAR <sup>1</sup>

<sup>1</sup> Tekirdağ Namık Kemal Üniversitesi, Çorlu MYO, takpinar@nku.edu.tr, ORCID: 0000-0002-2205-1584

**Özet:** Sosyal Güvenlik, bireylerin çalışarak ve kazançları üzerinden Sosyal Güvenlik Primi ödeyerek daha sonra yapılabilecek olan parasal yardımlara sigorta kapsamında hak kazanmalarına yardımcı olan bir sistemdir. Sistem bir çok yönden mesleki risklere karşı biyeyi korumakta ve aynı zamanda iş kazası veya meslek hastalığı nedeniyle çalışamayacak duruma gelen işçilere ve bakmakla yükümlü oldukları kişilere maddi faydalar sağlamaktadır. Dolayısıyla, artık çalışmayanlar için Sosyal Güvenlik Sistemi devreye girmekte ve geçici veya sürekli olarak kaybedilen gelirlerinin bir kısmının telafi edilmesine çalışmaktadır. Ancak, bu gelirlerden faydalanabilmek bazı koşullara bağlanmıştır. Örneğin, sürekli iş göremezlik ödeneği alabilmek için, bir kişinin Sosyal Güvenlik Mevzuatı kapsamındaki sürekli iş göremezlik tanımına uyması gerekmektedir. Çalışan ve sigortalı olan bireyler sürekli biçimde iş yaşamında çekilmek zorunda kalır ise başka bir ifadeyle kazanma gücünü % 100 oranında kaybetmesi halinde “tam ve sürekli iş göremezlik” durumu meydana gelmekte; buna karşın % 10 ile % 100 arasında ise “kısmi ve sürekli iş göremezlik” adı verilen durum ortaya çıkmaktadır. Kanaatimizce sosyal güvenliğin en önemli amacı olan kişilerin gelirsiz kalmasını önlemek için iş kazası ve meslek hastalığından kaynaklanan, ister geçici isterse tam iş göremezlik gelirinun bağlanması büyük önem taşımaktadır. Zira kazaya veya hastalığa maruz kalan çalışanın aile içi konumunu dahi ilgilendiren bu konu hayati öneme sahiptir. Sosyal Güvenlik, bireyleri muhtaç olmaktan kurtarmayı amaçlayan bir sistemdir. Bireyler bu gelirler sayesinde hayatta kalabilmektedir. İş göremez hale düşen bireylerin, genel yaşam döngüsünü idame ettirebilmeleri için sağlıklı çalışanlardan çok daha fazla gelire ihtiyaç duymaktadır. Bu açıdan kısmi ya da tam sürekli iş göremezlik gelirlerinin toplumsal hayatın huzuru ve sürekliliği için büyük bir önemi bulunmaktadır. Bu çalışma, yasal mevzuatın ve daha önce yapılmış olan araştırmaların irdelenmesi şeklinde kaynak tarama usulü ile gerçekleştirilmiştir.

**Anahtar Kelimeler:** Sosyal güvenlik, geçici iş göremezlik, sürekli iş göremezlik, iş göremezlik geliri

### Income for Permanent Incapacity Arising From Working Accidents and Occupational Diseases

**Abstract:** Social Security is a system where individuals become entitled to monetary benefits under insurance, upon working and paying social security premium on their respective earnings that will be paid in the later years. The system protects the individual against occupational risks in several ways and also provides financial benefits to workers and also their dependents that become incapable for work due to a work accident or occupational disease. Therefore, the Social Security System becomes operational for those who can no longer work and provides compensation for some of their temporarily or permanently lost income. However, benefitting from these incomes is subject to certain conditions. For example, in order to receive permanent disability benefits, the individual must answer to the definition of permanent disability under the Social Security Legislation. If the actually serving and insured individuals have to permanently go out of business life, in other words, if they lose 100% of their earning capacity in the profession, “complete and permanent incapacity” occurs, on the other hand, if the loss is between 10% and 100%, a situation called “partial and permanent incapacity” occurs. In our opinion, it is of great importance that the individual is entitled to the income for whether temporary or permanent incapacity caused by working accident and occupational disease in order to prevent people from becoming nonearning, which is the most important objective of social security. Because this matter, which concerns even the domestic position of the employee being exposed to an accident or illness, is of vital importance. Social Security is a system that aims to save individuals from becoming needy. Individuals can survive thanks to such incomes. Incapacitated individuals need a lot more income than healthy employees to maintain their general life cycle. In this respect, income received for partial or full permanent incapacity has great importance for maintaining peace and continuity of social life. This study is carried out using the method of literature review in the form of examining the legal statute and surveys conducted previously.

**Keywords:** Social security, temporary incapacity, permanent incapacity, incapacity income

#### 1. GİRİŞ

2016 Yılı SGK verilerine göre; Türkiye’de her gün ortalama 284 kişi iş kazası geçirmekte, 3 kişi iş kazası nedeniyle hayatını kaybetmekte ve 12 kişi de kalıcı olarak çalışamaz duruma gelmektedir. En fazla ölümlü iş kazası yaşanan iş kolları ise madencilik ve inşaat iş kolları olmuştur (Karcı, 2019: 1).

Sosyal Güvenlik Kurumu’nun yayınladığı istatistiklere göre; 2017 Yılı itibarıyla 14.477.817.- sigortalı işçi bulunmaktadır. Yine SGK verilerine göre; 2017 yılında 359.653 (300.770“ i erkek – 58.883“ ü kadın) iş kazası, 691 (638“ i erkek – 53“ ü kadın) meslek hastalığı tespit edilmiştir. Bu iş kazalarının 2017 yılsonu itibarıyla 1633 (1604“ u erkek – 29“ u kadın) vaka ölümle sonuçlanmıştır. Sigortalıların iş kazası sonucu en çok ölümle sonuçlanan



kazaların yaşandığı il, 330 (325'i erkek – 5'i kadın) ile İstanbul'dur. Kilis ölümlü iş kazası yaşanmayan tek il olmuştur (Baykın, 2019:4-5).

2020 Yılı itibariyle ise Türkiye'de 5510 -4-1/a Maddesi Kapsamında 17.358.140.- sigortalı işçi bulunmaktadır. 2020 yılında, 5510 Sayılı Kanun'un 4-1/a Maddesi Kapsamındaki Sigortalılardan İş Kazası Geçiren veya Meslek Hastalığına Tutulan Sigortalı Sayılarını gösteren verilere göre Türkiye'de 314.897 erkek ve 69.365 kadın olmak üzere toplam 384.262 kişi iş kazasına maruz kalmıştır. 2020 Yılında, 724'ü erkek, 184'ü kadın olmak üzere toplam 908 kişiye meslek hastalığı tanısı konulmuştur (SGK, İstatistik Yıllığı, 2020).

Değişen Dünya ve iş gücündeki eğilimlere bağlı olarak işlerin belirsiz ve güvensiz çalışma koşulları yaratılması, risk altında üretim şekilleri, işletmelerin organizasyon yapısındaki değişiklikler, yetki ve sorumluluk paylaşımındaki belirsizlik ortamının varlığı ve taşeronluk gibi pek çok sebeple işçiler tehlikeli maddelere daha fazla maruz kalabilmekte, kötü çalışma şartları altında güvenlik ve sağlık tedbirleri alınmadan ve eğitim verilmeden yapılan çalışmalarda mesailerinin her anında tehlikelerle iç içe yaşayabilmektedirler. Olumsuz çalışma koşullarının yol açtığı iş kazası ve meslek hastalıkları sonucunda kişiler gelersiz kalmakta kişisel sağlık harcamaları ve geçim maliyetleri artmakta, vücudun bir bölümünde hasar veya kayıp olduğu için fiziksel ve zihinsel acı hissedilmekte ve en kötüsü de can kayıpları yaşanmaktadır. Kişilerin özellikle gelir açısından zor durumda kalmalarını önlemek için bu kişilere geçici ve sürekli iş göremezlik geliri adı altında parasal yardımlar yapılmaktadır.

İşletmelerde mevcut olan risk faktörleri işin doğasıyla ilişkili olduğu ve bu nedenle önlenemez olduğu için mesleki ve işle ilgili hastalıkları belirlemek de önemlidir. Meslek hastalıklarının tespiti, iş güvenliğini ve sağlığını geliştirir ve işin zararlı etkileri konusunda farkındalığı artırır. Ayrıca, ortaya çıkan çalışan hakları açısından birtakım gelir ödemeleri ile yaşam maliyetleri karşılanmaya çalışılmaktadır. Bu çalışmada geçici ve sürekli iş göremezlik konularından bahsedilmiş, sürekli iş göremezlik geliri bağlama koşulları belirgin hale getirilmiş, sürekli iş göremezlik gelirinin hesaplanması ile gelir ve aylıkların birleşmesi konuları ele alınmış ve son olarak gelirin azaltılması, kesilmesi, artırılması konuları incelenmeye çalışılmıştır.

## 2. SÜREKLİ İŞ GÖREMEZLİK

Sürekli iş göremezlik, çalışan sigortalının bir iş kazası veya meslek hastalığı nedeniyle tekrar çalışamayacak durumda olması nedeniyle iş görme gücünün azalması veya tamamen kaybolması anlamına gelir. Çalışan bireyin sürekli iş göremezlik durumundan bahsedebilmek için öncelikle sigortalı olması gerekmekte ve bunun yanında sigortalının, iş kazası veya meslek hastalığı sonucunda sürekli iş göremez hale gelmesi gerekmektedir. Birey sigortalı olmasına rağmen iş kazası veya meslek hastalığı haricinde iş göremez hale geldi ise kendisine bağlanan gelir iş göremezlik geliri olmayacak, koşullar oluşmuş ise malullük sigortasından faydalanabilecektir (Okumuş, 2019:69).

Geçici iş göremezlik durumu, çalışanın meslek hastalığına yakalanması, iş kazası geçirmesi, hastalanması, hamile olması ve SGK (Sosyal Güvenlik Kurumu) tarafından yönlendirilen doktor veya hastane raporlarında belirtilen süreler boyunca çalışmaya devam edememesidir. Sürekli iş göremezlik durumunun varlığını kabul edebilmek için ise çalışanın meslek hastalığı veya geçirdiği iş kazası sonucu çalışma hayatına devam edememesi veya kazanma gücünde % 10'luk bir azalma olması koşuluna bağlıdır. Çalışanın sürekli iş göremez hale gelmesi ve çalışma hayatına geri dönmesinin imkânsız hale gelmesi, diğer bir ifadeyle bireyin kazanma gücünün %100 oranında kaybolması durumuna "**tam ve sürekli iş göremezlik**" denir. %100'ün altında ve %10'un üzerinde ise "**kısmi ve sürekli iş göremezlik**" denir. Yaşadığı kaza sonrası zarar gören sigortalı, Kurum tarafından sağlanan sağlık yardımı kapsamında tedavi edilmekte ve bu tedavi süresinde kendisine geçici iş göremezlik ödeneği verilir. Sigortalıya Sigortalı tedavi sonucunda tamamen iyileşip, çalışma hayatına dönerse, sigortalının geçici iş göremezlik ödeneği sona erer. Ayrıca, meslekte kazanma gücünde herhangi bir kayıp olmaması halinde sigortalı sürekli iş göremezlik geliri de alamaz. Ancak, tedavi sonrasında Kurum tarafından yetkilendirilmiş sağlık kuruluşlarınca alınan raporla meslekte kazanma gücünün en az %10'unu kaybeden sigortalıya, sürekli iş göremezlik geliri bağlanır ve geçici iş göremezlik geliri kesilir. Sürekli iş göremezlik geliri zamanla sınırlı değildir (Kınacıoğlu, 2019: 92-93; Karyağdı, 2019: 60-61).

5510 Sayılı Kanun'un 16 ncı maddesinin birinci fıkrası, iş kazaları veya meslek hastalıkları sonucu sigortalıya iş kazası veya meslek hastalığı gibi durumlarda sağlanacak parasal yardımları düzenlemiştir. Anılan Maddeye göre; sigortalı geçici iş göremezlik hali boyunca günlük olarak geçici iş göremezlik ödeneği alabilmekte; kendisine sürekli iş göremezlik geliri bağlanabilmekte; "iş kazası veya meslek hastalığı nedeniyle hayatını kaybetmiş olan sigortalının hak sahiplerine gelir bağlanabilmekte, cenaze ödeneği ve gelir bağlanan kız çocuklarına evlenme ödeneği verilebilmektedir. Sürekli iş göremezlik geliri, sigortalının uğramış olduğu iş kazası ya da meslek

hastalığından dolayı gelir kaybını tazmin etmeyi amaçlayan, iş kazası ve meslek hastalığı, hastalık ve analık sigortasından ödenen parasal yardımdır (Yazıcı ve Çetin, 2018: 40-41).

Türkiye’de, 5510 Sayılı Kanun’un 4-1/a Maddesi Kapsamındaki Sigortalılardan, 2020 yılında sürekli iş göremezlik geliri alan kişi sayısı: 80.563’tür. 4-1/b ve 4-1/c’li sigortalıları da ilave ettiğimizde bu rakam: 80.891 kişi olmaktadır (SGK, İstatistik Yıllığı, 2020).

## **2.1. Sürekli İş Göremezlik Geliri Bağlama Koşulları**

### **2.1.1. Sigortalı Olmak**

Sürekli iş göremezlik gelirinin bağlanmasının öncelikli koşulu, bireyin sigortalı niteliğine sahip olmasıdır. 5510 Sayılı Kanun hükümlerine göre 4/1-a ve Md. 4/1-b kapsamındaki sigortalılar için sürekli iş göremezlik hali ve buna bağlı olarak da gelirin bağlanması mümkündür (Yazıcı ve Çetin, 2018:41).

### **2.1.2. İş Kazası veya Meslek Hastalığına Uğramak**

Sigortalıya iş göremezlik geliri bağlanması için sigortalının iş kazası geçirmesi veya meslek hastalığına yakalanmadı yeterli olmayıp, sigortalının yaşadığı iş kazası veya meslek hastalığı ile sigortalıdaki ruhsal ve bedensel arıza arasında uygun illiyet bağı aranmaktadır. Aksi halde sigortalı iş göremezlik gelirine hak kazanamayacaktır (Yazıcı ve Çetin, 2018:41-42).

### **2.1.3. Meslekte Kazanma Gücünün Belirli Oranda Kaybı**

Son olarak, üçüncü ve temel koşul olan sürekli iş göremezliğin gerçekleşmesi ile sürekli iş göremezlik geliri alınabilmekte ve sigortalı çalışanın iş kazası veya meslek hastalığına maruz kalması nedeniyle, kazanma gücünü tümüyle kaybetmesi ya da meslekte kazanma gücünü en az yüzde 10 oranında kaybetmesine ise “ Sürekli iş göremezlik hali ” adı verilmektedir (Sosyal Sigorta İşletmeleri Yönetmeliği (SSİY) Md. 41/VII). Sigortalı, iş kazası veya meslek hastalığı süresince mesleğini icra ederken meslekte kazanma gücünü kaybetmiş olmalıdır. Çalışanın mesleğinde yüzde 10'luk kazanma gücü kaybı ve sürekli iş göremezlik raporu da Kurum Sağlık Kurulu tarafından onaylanmalıdır. Meslekte kazanç gücü % 10'dan daha az azalır, Örneğin: 8.7, sigortalının sürekli iş göremezlik durumu olmayacak ve bu nedenle de sigortalının sürekli iş göremezlik geliri elde etmesine olanak bulunmayacaktır. Ancak, sigortalının, sonradan geçirdiği iş kazası ve meslek hastalığı ile engellilik halinin yüzde 10'un üzerine çıkması durumunda sürekli iş göremezlik gelirine hak kazanma imkânı olabilecektir (Yazıcı ve Çetin, 2018:42-43).

### **2.1.4. Bağımsız Çalışanların Prim Borcunun Bulunmaması**

Sigortalıya, sürekli iş göremezlik geliri bağlanabilmesi için bu kişilerin, kendi sigortalılığından dolayı, genel sağlık sigortası da dâhil, prim ve her türlü borçlarının ödenmiş olması zorunludur (5510 S.K. Md.19/4; 4/1-b) (Yazıcı ve Çetin, 2018:43).

### **2.1.5. Talepte Bulunmak**

İş kazası ya da meslek hastalığı sonucunda, iş kazası meslek hastalığı sigortasından Sürekli iş göremezlik talebini, kişinin bizzat kendisinin gerçekleştirilmesi gerekmektedir. Ancak bireyin hayatını kaybetmesi durumunda, bu talebi varsa eşi çocukları ya da geçindirmek de yükümlü olduğu ana-babası yapabilmektedir (5510 S.K. Md.3/7).

## **3. SÜREKLİ İŞ GÖREMEZLİK GELİRİNİN HESAPLANMASI**

Sosyal koruma; yoksulluğu, kırılganlığı ve sosyal dışlanmayı önlemeyi veya hafifletmeyi amaçlayan korumayı güvence altına alan, ulusal olarak tanımlanmış temel sosyal güvenlik garantileri setidir. Bu garantiler, asgari olarak, yaşam döngüsü boyunca ihtiyacı olan herkesin temel sağlık hizmetlerine ve temel gelir güvencesine erişimini sağlamalıdır. İş kazası ya da meslek hastalığı sonucunda kişilerin sürekli iş göremez duruma gelmeleri onların gelirsiz kalma riski ile karşılaştırmaktadır. Bu riski bertaraf edebilmek için sürekli iş göremez duruma gelen sigortalıları hayatlarını idame ettirebilecekleri gelire kavuşturmak gerekmektedir.

Sürekli iş göremezlik gelirinin hesaplanması konusunda; sigortalının meslekte kazanma gücünü hangi oranda yitirdiği konusu önemlidir ki bu oran sigortalının gelirini arttırılabilecek veya azaltılabilecektir. Diğer önemli konu ise sürekli iş göremezlik gelirini hak eden sigortalının, ihtiyaçlarını karşılamada başkalarının yardımına muhtaç olup olmadığının tespit edilmesidir (Yazıcı ve Çetin, 2018: 44-45).

Sosyal güvenlik mevzuatı, iş kazasına maruz kalan sigortalı kişinin meslekte kazanma gücünün en az %10'unu kaybetmesi halinde sürekli iş göremezlik gelirin hak kazanacağı belirtilmektedir. Sigortalı, iş kazası sonucu meslekte kazanma gücünün %100'ünü kaybederse, sürekli tam iş göremezlik geliri bağlanır iken, sigortalı kazanma gücünü % 10'dan fazla kaybederse ancak % 100'e ulaşamaz ise kendisine sürekli kısmi iş göremezlik geliri bağlanabilecektir (SSİY-Md. 41/7) .

Meslekte kazanma gücü % 100 olan sigortalıya; aylık kazancının % 70'i oranında sürekli tam iş göremezlik geliri verilmektedir. Öte yandan, sigortalıya sürekli kısmi iş göremezlik geliri ödenebilmesi için hesaplanan sürekli tam iş göremezlik gelirinden iş göremezlik derecesine göre bir oranlama yapılmaktadır. Bu gelirin hesaplanmasında öncelikle iş göremezlik derecesi % 100 olduğu varsayılarak sürekli tam iş göremezlik geliri hesaplanmakta ve iş göremezlik derecesine göre, doğru orantı ile sürekli kısmi iş göremezlik aylık geliri belirlenir. Eğer sigortalı iş kazası nedeniyle, başkasının sürekli bakımına muhtaç hale gelmesi halinde, iş göremezlik oranı ne kadar olursa olsun, aylık kazancının %100'ü ödenir (5510 S.K. Md. 19/3). 2018/38 Sayılı Genelge'ye göre, sürekli iş göremezlik gelirinin nasıl hesaplanması gerektiği şu şekilde belirtilmiştir (Karyağdı, 2019: 70-72):

- Tam iş göremezliğin hesaplanması: **Günlük kazanç x 30 x % 70 veya GK x 21**

- Kısmi iş göremezliğin hesaplanması: **Günlük kazanç x 30 x % 70 x SİD (Sürekli İş göremezlik Derecesi)**

Eğer kaza/hastalık geçiren sigortalı çalışan, başkasının bakımına muhtaç durumda ise gelir bağlama oranı % 70 değil, % 100 olacak ve **Gelir = GK (Günlük Kazanç) x 30 x SİD (Sürekli İş göremezlik Derecesi)** formülü ile hesaplanabilmektedir.

Örneğin, meslekte kazanma gücü kaybı: % 35 ve günlük kazanç: 170 TL olduğunu varsayacak olursak, iş göremezlik geliri şu şekilde hesaplanabilecektir:

Sürekli **tam** iş göremezlik geliri = 170 x 30 x 0.70 = 3570 TL.

Sürekli **kısmi** iş göremezlik geliri = 3570 x 0.35 = **1249,5** TL olarak kısa yoldan hesaplanır veya formülde yerine koyarak uzun yoldan;

Sürekli **kısmi** iş göremezlik geliri=170 x 30 x 0.70 x 0.35=**1249,5** TL şeklinde de aynı rakama ulaşılır.

Meslekte kazanma gücünü tamamen (% 100) kaybeden ve bu nedenle sürekli ve tam iş göremezlik durumu oluşan sigortalıya ödenecek sürekli iş göremezlik gelirinin, sigortalının 17. madde hükümleri uyarınca hesaplanan aylık kazancının yüzde 70'ine eşit olacağı için sürekli iş göremezlik geliri hesaplanırken öncelikle sigortalının aylık gelirinin belirlenmesi gerekmektedir. Örneğin, sürekli tam iş göremezlik halinde aylık kazancı 2021 yılının ilk yarısı için çalışan sigortalının 3.577,50 TL olan ücreti üzerinden sigortalıya bağlanacak olan sürekli iş göremezlik geliri miktarı, 2.504,25 TL olacaktır. Eğer sigortalı başkasının sürekli bakımına muhtaç ise gelir bağlama oranı yüzde 100 olacaktır. Yani, iş göremezlik halinde bulunan sigortalının başka bir kimsenin bakımına muhtaç olması, bağlanacak gelirin arttırılması nedenidir ki burada unutulmaması gereken nokta, bakıma duyulan gereksinimin sürekli olması gereğidir. Aksi halde, sürekli olmayan bakım gereksinimi halinde gelir bağlama oranı yüzde 100 olarak uygulanmayacaktır (Yazıcı ve Çetin, 2018: 45-46).

#### 4. GELİR VE AYLIKLARIN BİRLEŞMESİ

İş kazası ve meslek hastalığı sigortasından elde edilen gelir ile malullük, yaşlılık, ölüm sigortaları ve vazife malullüğü aylıklarının birleştirilmesi halinde, sigortalı veya hak sahibine bu gelirlerin yüksek olanının tamamı az olanın yarısı, eşitliği durumunda ise iş kazası ve meslek hastalığından bağlanan gelirin tümü, malullük, vazife malullüğü veya yaşlılık aylığının yarısı ödenebilmektedir (Bingöl, 2020: 81-84).

#### 5. GELİRİN AZALTILMASI, KESİLMESİ, ARTIRILMASI

Kendisine sürekli iş göremezlik geliri bağlanan kişi, zamanla iyileşmeye doğru gidebilir veya tersine hastalığı ilerleyebilmekte başka bir deyişle meslekte kazanma gücü kaybının arttığı görülebilmektedir. Üstelik, iş kazası veya meslek hastalığına maruz kalan birey, ilerideki çalışma yaşamında başka bir iş kazasına veya meslek hastalığına maruz kalabilmektedir. Böyle bir durum oluştuğunda kişiye son olarak maruz kaldığı tarihteki kazancı

dikkate alınarak gelir bağlanır. Ancak, çalışanın lehine olması amacıyla, kişinin son kazaya veya hastalığa uğradığı tarihteki kazancı, ilk hesaplanan gelirinden düşük ise iş göremezlik geliri ilk kazancı esas alınarak hesaplanacaktır (5510 S.K. Md. 19/10) (Bingöl, 2020: 81-84).

İş kazasına uğramış olan ya da yeni bir meslek hastalığına yakalanan işçinin geliri, son iş kazası veya meslek kazancı esas alınmak suretiyle, sürekli iş göremezlik geliri hesaplanmaktadır (5510 S.K. 19/10). Ancak, önceki iş kazası veya meslek hastalığından kaynaklanan sürekli iş göremezlik geliri daha yüksek ise ilk kazanç üzerinden ödeme yapılmaktadır. İkinci iş kazası veya meslek hastalığı kişinin iş göremezlik oranını artırabilir ve bu artış gelir değişikliğine neden olmaktadır. İki vakadan birinin iş kazası, birinin meslek hastalığı olması sonucu değiştiren bir faktör değildir. Sürekli iş göremezlik durumunda olan sigortalıya yapılan kontrol muayenesinde iş göremezlik oranında azalma tespit edilirse gelir miktarı azaltılmaktadır. Sigortalının sürekli iş göremezlik durumunun % 10'un altına düşmesi veya tamamen iyileşmesi durumunda geliri tümüyle kesilecektir. Ayrıca, kişinin iş göremezlik durumunun artması halinde gelirin miktarı derecesine göre artırılabilir (Okumuş, 2019:71-73).

## SONUÇ

Her mesleğin kendine özgü tehlikeleri vardır. Bu nedenle işverenler; işyerinde herhangi bir kaza veya meslek hastalığından kaçınmak ve iş güvenliği, sağlık, hijyen, çalışanların eğitimi ve bilgilendirilmesi, kişisel koruyucu donanım kullanılmasının zorunlu olması ve bunun denetlenmesi gibi hususlara bağlı kalmalı ve gerektiğinde uzman kişilerle işbirliği yapmalıdır. Ancak, bu kurallara uyulmadığında veya ihmalkâr davranıldığında iş kazaları ve meslek hastalıkları ortaya çıkabilmektedir. Farklı sebeplerle meydana gelen iş kazası veya meslek hastalıkları sonucunda çalışanlar, sakatlanma, yaralanma, hastalanma gibi durumlarla karşılaşabilmektedirler. İş kazası ve meslek hastalığı sonucunda çalışan birey başkasının bakımına muhtaç hale dahi gelebilmektedir. Bu durumlar bazen geçici bazen de sürekli olarak devam eden bir hâl almaktadır. Bu sebeplerden dolayı çalışanlar, geçici veya sürekli olarak iş görememekte ve dolayısıyla, hayatını kazanamamakta, ailesini geçindirememektedir. Tüm bu olguların sosyal güvenliği ilgilendiren tarafı ise sosyal güvenliğin amaçlarını yerine getirebilmek için kişilerin gelirsiz kalmasının önlenmesidir. Sosyal güvenliğin amaçlarını hizmet edebilmesi düşüncesi ile anılan durumlara maruz kalan çalışanlara Sosyal Güvenlik Kurumu tarafından, geçici ve sürekli iş göremezlik ödenekleri bağlanabilmektedir. Çalışanlara gelecek güvencesi sağlanabilmesi için çalışanların çalışma gücü kayıplarını telafi edilmesi veya bir şekilde desteklenmesi gerekmektedir. Çalışanın iş kazası ve meslek hastalığı nedeniyle ölümü halinde de geride kalan aile fertlerinin Sosyal Güvenlik şemsiyesi altında korunması sağlanmaya çalışılmaktadır.

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## Türkiye'nin Şeftali İhracat Performansı ve Rekabet Gücü

Araş. Gör. Veli Anıl Çakan<sup>1</sup>

Prof. Dr. Şule Turhan<sup>2</sup>

<sup>1</sup>Bursa Uludağ Üniversitesi, Ziraat Fakültesi, Tarım Ekonomisi Bölümü, velianilcakan@uludag.edu.tr,  
ORCID: 0000-0002-5934-2203

<sup>2</sup>Bursa Uludağ Üniversitesi, Ziraat Fakültesi, Tarım Ekonomisi Bölümü, sbudak@uludag.edu.tr,  
ORCID:0000-0001-9155-8170

**Özet:** Bu çalışmada dünya şeftali ihracatının önemli bir bölümünü oluşturan Türkiye'nin şeftali sektöründeki rekabet gücünün analiz edilmesi amaçlanmaktadır. Çalışma kapsamında belirlenen endekslerden yararlanılarak 2009-2019 yıllarında Türkiye şeftali sektörünün rekabet gücü hakkında yorumlarda bulunulmuştur. Buna ek olarak Türkiye'nin şeftali üretim, tüketim ve dış ticaret verileri incelenmiştir. 2009-2019 yıllarında açıklanmış karşılaştırmalı üstünlük endeks değerleri ortalaması 2,26 olarak belirlenirken, en düşük endeks değerine 1,30 ile 2013 yılında, en yüksek endeks değerine ise 4,49 ile 2018 yılında ulaşılmıştır. Bu dönemde toplam şeftali ihracatı içerisindeki payını önemli ölçüde arttıran Türkiye'nin, 2009 yılında %1,32 olan pazar payı 2019 yılına gelindiğinde %4,12'ye yükselmiştir. Buna karşın bir sektörün dışa açıklığı hakkında bilgi veren göstergelerden biri olan ihracat hacmi endeksi incelendiğinde, 2009/'10 döneminde 15,369 olan endeks 2019/'20 döneminde 7,347'ye düşmüştür. İncelenen yıllarda Türkiye'nin ortalama yıllık şeftali ihracat değeri 43 milyon dolar olarak tespit edilmiştir. Bu dönemde toplam ihracat değerinin %60,42'sini Rusya Federasyonu'na yapılan ihracat oluştururken, bunu sırasıyla %9,42 ile Suudi Arabistan, %7,98 ile Irak ve %3,24 ile Ukrayna takip etmektedir.

**Anahtar Kelimeler:** Şeftali, Açıklanmış Karşılaştırmalı Üstünlük, Dış Ticaret

**Abstract:** In this study, it is aimed to analyze the competitiveness of Turkey's peach sector, which constitutes an important part of the world's peach exports. By using the indices determined within the scope of the study, comments are made about the competitiveness of the Turkish peach sector in the years 2009-2019. In addition, Turkey's peach production, consumption and foreign trade data were examined. While the average of the revealed comparative advantage index values in 2009-2019 was determined as 2.26, the lowest index value was reached with 1.30 in 2013 and the highest index value with 4.49 in 2018. Increasing its share in total peach exports significantly in this period, Turkey's market share was increased from 1.32% in 2009 to 4.12% in 2019. On the other hand, when the export volume index, which is one of the indicators giving information about the openness of a sector, is analyzed, the index which was 15,369 in the 2009/'10 period decreased to 7,347 in the 2019/'20 period. In the analyzed years, Turkey's average annual peach export value was determined as 43 million dollars. In this period, 60.42% of the total export value was exported to the Russian Federation, followed by Saudi Arabia with 9.42%, Iraq with 7.98% and Ukraine with 3.24%.

**Key Words:** Peach, Revealed Comparative Advantage, Foreign Trade

### 1. GİRİŞ

Şeftali gerek üretimi yapılan bölgedeki üreticilerin başlıca geçim kaynakları arasında yer alması gerekse de dış ticarete konu olan başat tarım ürünleri arasında olması dolayısıyla Türkiye açısından önem taşımaktadır. Taze olarak tüketilebilmesinin yanı sıra meyve suyu konsantresi, pulp, kurutma ya da derin dondurma teknikleriyle uzun süre saklanabilen bir ürün olan şeftali; reçel ve marmelat gibi mamüller haline getirilebilmesiyle de gıda sanayi için ham madde vasfı taşımaktadır (Birinci ve Er, 2006; Engindeniz ve Çukur, 2003; Uçar ve diğerleri, 2021).

FAOSTAT (2022) verilerine göre 2019 yılında dünyanın en büyük şeftali ve nektarin üreticisi ülkesi, üretimin %59,39'ini oluşturan Çin ("China, mainland" için paylaşılan veriler kullanılmıştır) olurken, bunu sırasıyla %6,22 ile İspanya ve %4,93 ile İtalya takip etmektedir. Aynı yıl için toplam üretimin %3,34'ünü oluşturan Türkiye ise gerçekleştirdiği 830577 tonluk şeftali ve nektarin üretimiyle dünyanın en büyük 5. üreticisi konumundadır (FAOSTAT, 2022). 2019 yılı verilerine göre Türkiye'nin her coğrafi bölgesinde şeftali ve nektarin üretimi gerçekleştirilirken, üretimin büyük bölümü Marmara Bölgesi'nin güneyi, Ege Bölgesi ve Akdeniz Bölgesi'nde gerçekleştirilmektedir. Türkiye'nin başlıca şeftali ve nektarin üreticisi illerine Tablo 1'de yer verilmiştir.

Tablo 1. Türkiye'nin Başlıca Şeftali ve Nektarin Üreticisi İlleri (2019)

İLLER	ÜRETİM		Meyve Veren Ağaç		VERİM
	Miktar (Ton)	%	Adet	%	
Çanakkale	163146	19,64	2167362	12,40	75,27
Mersin	143111	17,23	2934273	16,79	48,77
Bursa	142475	17,15	2752040	15,75	51,77
İzmir	77725	9,36	1589863	9,10	48,89
Denizli	55025	6,62	996604	5,70	55,21
Adana	33516	4,04	588920	3,37	56,91
Aydın	25233	3,04	417016	2,39	60,51
Tokat	20239	2,44	316162	1,81	64,01
Sakarya	18603	2,24	411505	2,36	45,21
Manisa	17371	2,09	386500	2,21	44,94
Diğer	134133	16,15	4913316	28,12	27,30
Toplam	830577	100	17473561	100	47,53

Kaynak: TÜİK, 2022; Orijinal Hesaplamalar (şeftali ve nektarin üretim verileri toplanarak hesaplanmıştır).

Tablo 1. İncelendiğinde, Çanakkale ilinin 2019 yılında gerçekleştirdiği 163146 tonluk üretimle Türkiye'nin en büyük üreticisi olduğu görülmektedir. Bunu sırasıyla üretimin %17,23'ünü gerçekleştiren Mersin ili ve %17,15'ini gerçekleştiren Bursa ili takip etmektedir. Meyve veren ağaç sayısı bakımından Türkiye toplamının %16,79'unu oluşturan Mersin ili başı çekerken, bunu sırasıyla %15,75 ile Bursa ve %12,40 ile Çanakkale illeri izlemektedir.

Bu çalışmada, Türkiye şeftali sektörünün rekabet gücünün analiz edilmesi amaçlanmaktadır. Bu amaçla; açıklanmış karşılaştırmalı üstünlük (RCA) endeksi, ithalat sızma oranı, uzmanlaşma katsayısı, ihracat hacmi, dış rekabete açıklık indekslerinden yararlanılarak kapsamlı bir analiz gerçekleştirilmiştir. Çalışmanın Türkiye şeftali sektörü paydaşlarına politika geliştirme noktasında katkı sunması hedeflenmektedir.

## 2. MATERYAL ve YÖNTEM

Çalışmanın ana materyalini; Birleşmiş Milletler Gıda ve Tarım Örgütü (FAO), Türkiye İstatistik Kurumu (TÜİK) ve Dünya Ticaret Merkezi (ITC) istatistiklerinden (TRADEMAP) elde edilen veriler oluşturmaktadır. Çalışma kapsamında hesaplanan ithalat sızma oranı, uzmanlaşma katsayısı, ihracat hacmi, dış rekabete açıklık ve ihracat/ithalat oranı göstergeleri için TÜİK (2022) tarafından paylaşılan şeftali denge tablosunda yer alan üretim, tüketim, ithalat ve ihracat verilerinden yararlanılmıştır. Hem açıklanmış karşılaştırmalı üstünlük ve Türkiye'nin pazar payı hesaplanırken hem de şeftali ihracat değerini içeren diğer hesaplamalar (örn. Tablo 4.) için TRADEMAP (2022) tarafından paylaşılan "nektarin dahil taze şeftali" (080930 Fresh peaches, incl. Nectarines) verileri kullanılmıştır.

TÜİK (2022) tarafından paylaşılan şeftali denge tablosu içerisinde yer alan üretim verilerinin, şeftali ve nektarin üretim toplamı için FAOSTAT (2022) ve TÜİK (2022) tarafından paylaşılan verilerle uyumlu olduğu görülmektedir. TÜİK (2022) tarafından ayrı ayrı, FAOSTAT (2022) tarafından birlikte paylaşılan şeftali ve nektarin için n (örn. 2019) yılı üretim verileri, şeftali denge tablosunda yer alan n/n+1 (örn. 2019/'20) dönemi üretim verileriyle eşleşmektedir.

İthalat sızma oranı, uzmanlaşma katsayısı, ihracat hacmi ve dış rekabete açıklık göstergelerinin hesaplanmasında, aşağıdaki formüllerden yararlanılmıştır (Turhan, 2004);

$$\text{İthalat Sızma Oranı} = (X_s^{JM}/X_s^D) * 100$$

$$\text{Uzmanlaşma Katsayısı} = X_s^P / X_s^C$$

$$\text{Dış Rekabete Açıklık} = (X_s^{EX} / X_s^P) + (1 - (X_s^{EX} / X_s^P)) * (X_s^{JM} / X_s^C)$$

$$\text{İhracat Hacmi} = X_s^P / X_s^{EX}$$

$$\text{İhracat/İthalat Oranı} = X_s^{EX} / X_s^{JM}$$

Burada;  $X_s^{JM}$  Türkiye'nin s sektörü ithalatını,  $X_s^{EX}$  Türkiye'nin s sektörü ihracatını,  $X_s^D$  Türkiye'nin s sektörü iç talep miktarını (üretim+ithalat-ihracat),  $X_s^P$  Türkiye'nin s sektörünün üretimini temsil ederken  $X_s^C$  ise Türkiye'nin s sektöründe yurtiçi tüketimi temsil etmektedir. Bu göstergelerden; ihracat hacmi ve dış rekabete açıklık sektörün dışa açıklığı hakkında bilgiler sunarken, uzmanlaşma katsayısı ve ihracat/ithalat oranı sektörün uzmanlaşma

düzeyini göstermektedir (Turhan, 2004; DPT, 2007). Sektörün ithalat yoğunluğunu ve dışa dönüklük derecesini gösteren ithalat sızma oranı (Turhan, 2004; DPT, 2007) dışındaki göstergelerin yüksekliği, sektörlerin rekabet gücü açısından olumlu olarak yorumlanabilmektedir.

Açıklanmış karşılaştırmalı üstünlük terimi ilk kez Balassa (1965) tarafından ortaya atılmıştır (Vollrath, 1991). Balassa (1965) tarafından yapılan çalışmada açıklanmış karşılaştırmalı üstünlük, belirli mallar ve seçili gelişmiş ülkeler dikkate alınarak hesaplanmıştır. Balassa tarafından geliştirilen ölçek, tüm ülkelerin ve ticareti yapılan tüm malların dahil edilmesiyle normalleştirilmiş küresel karşılaştırmalı üstünlüğü yansıtacak şekilde genişletilebilmektedir (Vollrath, 1991). Günümüzde yaygın olarak rastlanan bu yaklaşıma göre açıklanmış karşılaştırmalı üstünlük endeksi (literatürde Balassa endeksi olarak da geçer) Denklem 1’de sunulan vb. şekillerde formüle edilebilmektedir (Yu ve diğerleri, 2009; Laursen, 2015; Filiztekin, 2006; Vollrath, 1991; Erkekoğlu ve diğerleri, 2014);

$$RCA_s^i = (X_s^i / X_s^t) / (X_m^i / X_m^t) = (X_s^i / X_m^i) / (X_s^t / X_m^t)$$

Burada;  $X$  ihracat değerini,  $i$  bir ülkeyi,  $t$  tüm ülkeleri,  $s$  bir malı (ya da sektörü),  $m$  ise tüm ürünleri temsil etmektedir. Bir uzmanlaşma ölçütü olan RCA’nın 1’den büyük olması  $i$  ülkesinin  $s$  malı için karşılaştırmalı üstünlüğe sahip olduğunu gösterirken, 1’e eşit olması  $i$  ülkesinin ilgili mal için “nötr” karşılaştırmalı üstünlüğünün bulunduğunu, 1’den düşük olması ise  $i$  ülkesinin  $s$  malı için karşılaştırmalı dezavantaja sahip olduğunu göstermektedir (Yu ve diğerleri, 2009).

### 3. BULGULAR

Tablo 2’de Türkiye’nin 2009/’10-2019/’20 dönemlerinde şeftali üretim, tüketim ve dış ticaretine yer verilmiştir. İlgili dönemde ortalama üretim 654372,82 ton olurken, tüketim 527054,38 ton, ithalat 4846,64 ton ve ihracat ise 62122,36 ton olarak gerçekleşmiştir. Bu dönemde kişi başına tüketim verileri incelendiğinde ise 2009/’10 döneminde 6,27 kg olan kişi başına tüketimin 2019/’20 döneminde 7,61 kg düzeyine ulaştığı görülmektedir (TÜİK, 2022).

Tablo 2. Türkiye’nin Şeftali Üretimi, Tüketimi ve Dış Ticareti (2009/’10-2019/’20)

	Üretim (Ton)	Tüketim (Ton)	İthalat (Ton)	İhracat (Ton)
2009/’10	547219	454811	2993	35605
2010/’11	539403	447644	8285	41160
2011/’12	545902	455711	7010	37376
2012/’13	611165	501324	3977	47612
2013/’14	637543	533838	4623	38318
2014/’15	608513	507949	9965	43844
2015/’16	642727	523031	7134	57568
2016/’17	674136	556745	2737	46772
2017/’18	771459	587582	3488	107727
2018/’19	789457	596114	2015	114312
2019/’20	830577	632849	1086	113052
Ortalama	654372,82	527054,38	4846,64	62122,36

Kaynak: TÜİK, 2022; Orijinal Hesaplamalar (“Ortalama” başlığındaki veriler çalışma kapsamında hesaplanmıştır).

Tablo 2’de görülebileceği gibi üretim miktarındaki en yüksek dönemlik artış oranı %14,44 ile 2017/’18 döneminde gerçekleşmiştir. Tüketim miktarındaki en yüksek dönemlik artış %10,01 ile 2012/’13’de gerçekleşirken, ithalat miktarı için söz konusu artışın gerçekleştiği dönemin %115,55 ile 2014/’15 olduğu tespit edilmiştir. İhracat miktarındaki en yüksek dönemlik artış ise %130,32 ile 2017/’18 döneminde meydana gelmiştir.

Çalışma kapsamında Tablo 2’de yer alan veriler kullanılarak Tablo 3’de sunulan rekabet gücü göstergeleri hesaplanmıştır.

Tablo 3. Türkiye Şeftali Sektörü için Hesaplanan Rekabet Gücü Göstergeleri

	İthalat Sızma Oranı	Uzmanlaşma Katsayısı	İhracat Hacmi	Dış Rekabete Açıklık	İhracat/İthalat Oranı
2009/'10	0,582	1,203	15,369	0,071	11,896
2010/'11	1,636	1,205	13,105	0,093	4,968
2011/'12	1,360	1,198	14,606	0,083	5,332
2012/'13	0,701	1,219	12,836	0,085	11,972
2013/'14	0,766	1,194	16,638	0,068	8,289
2014/'15	1,734	1,198	13,879	0,090	4,400
2015/'16	1,204	1,229	11,165	0,102	8,070
2016/'17	0,434	1,211	14,413	0,074	17,089
2017/'18	0,523	1,313	7,161	0,145	30,885
2018/'19	0,298	1,324	6,906	0,148	56,731
2019/'20	0,151	1,312	7,347	0,138	104,099

Kaynak: TÜİK, 2022; Orijinal Hesaplamalar (Tablo 2’de sunulan veriler kullanılarak hesaplanmıştır).

Tablo 3. incelendiğinde, göstergelerin genel itibarıyla dalgalı bir seyir izlemekle birlikte ithalat sızma oranı ve ihracat hacmi dışındaki göstergelerin 2009/'10 dönemine kıyasla 2019/'20’de artış gösterdiği belirlenmiştir. 2009/'10 dönemine kıyasla 2019/'20’da; ithalat sızma oranı %74,02 oranında azalırken, ihracat hacmi %52,20 azalmıştır. Aynı dönemde uzmanlaşma katsayısında %9,08, dış rekabete açıklık düzeyinde %93,20 ve ihracat ithalat oranında %775,07 oranında artış gerçekleşmiştir.

Türkiye’nin 2009-2019 yıllarında şeftali ihracatı gerçekleştirdiği başlıca ülkeler için ortalama ihracat değeri ve miktarı verilerine Tablo 4’de yer verilmiştir.

Tablo 4. Türkiye’nin 2009-2019 Yıllarında Şeftali İhrac Ettiği Başlıca Ükelere Ortalama İhracat Değeri ve Miktarı

Ülkeler	İhracat Değeri		İhracat Miktarı	
	Bin Dolar (000 USD)	%	Ton	%
Rusya Federasyonu	26175,36	60,42	26904,00	45,84
Suudi Arabistan	4082,64	9,42	7033,91	11,98
Irak	3455,73	7,98	10546,00	17,97
Ukrayna	1402,09	3,24	2370,27	4,04
Romanya	1217,09	2,81	1214,18	2,07
Diğer	6986,27	16,13	10626,82	18,10
Toplam	43319,18	100,00	58695,18	100,00

Kaynak: TRADEMAP, 2022; Orijinal Hesaplamalar (2009-2019 yılları için ihracat değeri ve ihracat miktarı ortalaması alınarak hesaplanmıştır. TRADEMAP (2022) adresinde ilgili ülkelerin boş bırakılan yılları için ihracat miktarı 0 kabul edilmiştir.)

Tablo 4. incelendiğinde, Türkiye’nin 2009-2019 yıllarında ortalama şeftali ihracat değerinin 43319,18 bin USD olduğu, ortalama ihracat miktarının ise 58695,18 ton olduğu görülmektedir. İhracat değerinin %60,42’sini Rusya Federasyonu, %9,42’sini Suudi Arabistan ve %7,98’ini Irak oluştururken, ilk beş ülke dışındaki ülkelere gerçekleştirilen ihracat toplam ihracat değerinin %16,13’ü olarak belirlenmiştir. Aynı dönemdeki ortalama ihracat miktarının %45,84’ünü Rusya Federasyonu oluştururken bunu sırasıyla %17,97 ile Irak ve %11,98 ile Suudi Arabistan takip etmektedir. 2009-2019 yıllarındaki dünya şeftali ihracat değeri toplamının %1,97’sini oluşturan Türkiye, bu dönemde (ihracat değeri (\$) bakımından) dünyanın en büyük 9. ihracatçı ülkesi konumundadır (TRADEMAP, 2022).

Türkiye’nin şeftali ihracatı için açıklanmış karşılaştırmalı üstünlük indeks değerleri ve pazar payına (%) Tablo 5’de yer verilmiştir.

Tablo 5. 2009-2019 Yıllarında Türkiye’nin Açıklanmış Karşılaştırmalı Üstünlük Endeksi Değerleri ve Pazar Payı (%)

Yıllar	Dünya		Türkiye		RCA Endeks Değerleri	Türkiye’nin Pazar Payı (%)
	Toplam İhracat	Şeftali İhracatı	Toplam İhracat	Şeftali İhracatı		
2009	12342453411	1805512	102142613	23906	1,60	1,32
2010	15094126364	2182238	113883219	28815	1,75	1,32
2011	18143786902	2096285	134906869	21668	1,39	1,03
2012	18398323967	2323041	152461737	28050	1,46	1,21



2013	18855390855	2503515	161480915	27796	1,30	1,11
2014	18858563972	2299652	166504862	34952	1,72	1,52
2015	16412910145	2225647	143844066	38924	2,00	1,75
2016	15926878233	2122319	142606247	25698	1,35	1,21
2017	17564178367	2226605	156992940	69783	3,51	3,13
2018	19326713983	2235271	167923862	87135	4,49	3,90
2019	18737613360	2181260	180870841	89784	4,26	4,12

Kaynak: TRADEMAP, 2022; Orijinal Hesaplamalar (RCA endeks değerleri ve Türkiye'nin pazar payı verileri, Dünya ve Türkiye başlıklarında paylaşılan veriler kullanılarak hesaplanmıştır).

Tablo 5. İncelendiğinde, hesaplanan açıklanmış karşılaştırmalı üstünlük değerlerinin genel itibariyle 1'in üzerinde olduğu görülmektedir. Elde edilen bu bulgu, Türkiye'nin dünya şeftali ihracatındaki pazar payının genel ihracattaki pazar payına kıyasla göz önünde bulundurulmuş her yıl için daha yüksek olduğunu göstermektedir. Göz önünde bulundurulmuş her yıl için karşılaştırmalı üstünlüğüne sahip olan Türkiye'nin, özellikle 2017 ve 2018 yıllarında açıklanmış karşılaştırmalı üstünlük endeks değerleri önemli ölçüde artmıştır. Pazar payı (%) verileri incelendiğinde 2009 yılında dünya şeftali ihracat değerinin %1,32'sini oluşturan Türkiye'nin 2019 yılındaki pazar payı %4,12 olarak hesaplanmıştır.

#### 4. SONUÇ

Çalışma kapsamında hesaplanan göstergeler incelendiğinde, ihracat hacmi dışındaki tüm göstergelerin Türkiye'nin 2009 yılına kıyasla 2019 yılında şeftali sektöründeki rekabet gücünün olumlu yönde gelişim gösterdiğine işaret ettiği ifade edilebilir. İhracat hacminde yaşanan azalış ise yurt içinde kalan ürünün ne şekilde değerlendirildiğine göre olumlu ya da olumsuz olarak yorumlanabilir. Yurt içinde kalan ürün ile katma değeri yüksek mamül üretimi gerçekleştirildiği takdirde ulusal anlamda sağlanacak fayda ihracattan daha yüksek olabilmektedir.

Çalışmada rekabet gücü hakkında yorumda bulunmak için yaygın olarak kullanılan bir yaklaşım olan üretim, tüketim ve dış ticaret verilerinden yararlanılarak değerlendirmelerde bulunulmuştur. Ancak göz önünde bulundurulması gereken bir diğer önemli husus üretici maliyetleridir. Vural ve Çakan (2021) tarafından yapılan çalışmada şeftali reel satış fiyatının 2003 yılına göre 2017 yılında daha düşük olduğu bildirilirken, bu dönemde reel gübre, mazot ve işçilik fiyatlarının arttığı belirtilmiştir. Üretici karlılığının azalması halinde üretim miktarında düşüşler gerçekleşebilmekte ve bu durum rekabet gücünü olumsuz yönde etkileyebilmektedir. Bu bağlamda Türkiye'nin şeftali ihracat fiyatlarının incelenmesinde de fayda görülmektedir. TRADEMAP (2022) verilerine göre 2009-2019 yıllarında Türkiye'nin ihracat fiyatı genel olarak dünya fiyatının altında seyretmiştir. Her ne kadar dünyanın önde gelen ihracatçıları arasında yer alan Türkiye'nin rekabetçi bir fiyat politikası izlemesi olağan gözükse de aynı dönemde dünyanın en büyük ihracatçıları arasında yer alan İspanya, Çin ve İtalya'nın ortalama ihracat fiyatının daha yüksek olduğu dikkate alındığında Türkiye'nin ihracat fiyatını arttırıcı politikalar izlemesi gerektiği ifade edilebilir.

Rekabet gücünün korunumu ve geliştirilmesi açısından önemli olduğu düşünülen bir diğer husus ise dış ticaret partnerlerinin çeşitlendirilmesidir. Türkiye'nin incelenen yıllardaki ihracat değerinin %60,42'sini Rusya Federasyonu oluştururken, bunu %9,42 ile Suudi Arabistan takip etmiştir. Uluslararası ticarette, ülkeler arası ilişkiler ticareti etkileyebilmekte, belirli bölgelerde yaşanan ekonomik krizler bu bölgelerin ithalat potansiyelini azaltabilmektedir. Bu nedenle ihracat partnerlerinin imkanlar dahilinde çeşitlendirilmesinde yarar görülmektedir.

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## Örgütsel Dönüşümde Yeni Dijital Teknolojilerin Rolü

Doç. Dr. Yusuf ESMER<sup>1</sup>

Öğr. Gör. Sümeyye KORKMAZ SARICALAR<sup>2</sup>

<sup>1</sup>Bayburt Üniversitesi, Uygulamalı Bilimler Fakültesi, Yönetim Bilişim Sistemleri Bölümü,  
yesmer@bayburt.edu.tr, ORCID: 0000-0003-3691-1730

<sup>2</sup>Bayburt Üniversitesi, Uygulamalı Bilimler Fakültesi, Yönetim Bilişim Sistemleri, skorkmaz@bayburt.edu.tr,  
ORCID: 0000-0001-94240141

**Özet:** Sürekli değişen ve gelişen küresel dünyada yeni teknolojilerin ortaya çıkması iş yaşamında örgütler için çeşitli yararlar sağlamaktadır. Bu bağlamda dijital teknolojiler hızla değişen ekonomik koşullar ve ilişkiler çerçevesinde her alanda faaliyet gösteren örgütler tarafından hızla benimsenerek daha yüksek performans, verimlilik, ekonomiklik, etkinlik ve etkin bir rekabet gücü sağlamak amacıyla yaygın bir şekilde kullanılmaktadır. Dijital teknolojilerin bir örgütte kullanılmaya başlanarak örgütleri başarıya taşıması yalnızca bilgisayar uygulamaları ve yazılım programları gibi teknolojik elemanların yeterli düzeyde kullanılmasına bağlı olmamakta, aynı zamanda örgütün işleyişine ilişkin maddi ve maddi olmayan tüm unsurların dengeli ve uyumlu bir şekilde bütünleştirilmesine bağlı olmaktadır. Bu çalışmada örgütsel dönüşümde yeni dijital teknolojilerin rolü teorik çerçevede ele alınmaktadır. Bu amaç doğrultusunda çalışmada öncelikle örgüt ve teknoloji ilişkisinden söz edildikten sonra örgütsel dönüşüm bağlamında yapay zekâ, bulut bilişim, blok zinciri, nesnelerin interneti, büyük veri ve 3D yazıcılar gibi yeni dijital teknolojiler güncel örneklerden hareketle incelenmektedir.

**Anahtar Kelimeler:** Örgütsel Dönüşüm, Teknoloji, Yeni Dijital Teknolojiler, Dijitalleşme

### The Role of New Digital Technologies in Organizational Transformation

**Abstract:** The emergence of new technologies in the constantly changing and developing global world provides various benefits for organizations in business life. In this context, digital technologies are rapidly adopted by organizations operating in every field within the framework of rapidly changing economic conditions and relations, and are widely used to provide higher performance, efficiency, economy, efficiency and effective competitiveness. The fact that digital technologies are used in an organization and bring organizations to success does not only depend on the adequate use of technological elements such as computer applications and software programs, but also on the balanced and harmonious integration of all material and intangible elements of the functioning of the organization. In this study, the role of new digital technologies in organizational transformation is discussed in a theoretical framework. For this purpose, after first mentioning the relationship between organization and technology, new digital technologies such as artificial intelligence, cloud computing, blockchain, internet of things, big data and 3D printers are examined with current examples in the context of organizational transformation.

**Keywords:** Organizational Transformation, Technology, New Digital Technologies, Digitization

#### 1. GİRİŞ

Günümüzde dünyada ve buna bağlı olarak teknolojiye yaşanan değişim ve gelişmeler, yeni iş görme yöntem ve uygulamalarını beraberinde getirerek örgüt yapısı, üretim yöntemi, işgücü, örgüt iklimi ve örgütsel iletişim gibi çeşitli örgütsel parametrelerde değişime neden olmaktadır. Özellikle son yıllarda ortaya çıkan COVID-19 küresel salgının da etkisiyle yönetim ve üretimde yapay zekâ, bulut bilişim, nesnelerin interneti gibi yeni dijital teknolojiler kullanılmaya başlanmış, böylece üretim ve hizmet sektörlerinde teknoloji ile birlikte örgütsel dönüşüm kavramı konuşulmaya başlanmıştır. Bu bağlamda birçok örgütün örgüt yapısını mevcut koşullara uyarlamak için örgütsel dönüşüme başvurduğu görülmektedir. Örgütsel dönüşüm, bir örgüt içerisinde yer alan örgüt elemanlarının davranışlarını değiştirmek suretiyle örgütsel performansın artırılması için planlı olarak gerçekleştirilen faaliyetler bütünü olarak tanımlanabilmektedir. (Şimsek ve İraz, 1999). Örgütsel dönüşüm, örgüt için yeni bir vizyon oluşturmaya yönelik yönlendirilmiş bir çabadır. Örgütsel dönüşümün amacı, çevresel değişikliklere cevap vermek veya değişimi başlatmaktır. Örgütsel dönüşümle, İnsan kaynakları rolündeki ve dönüşümündeki değişikliklerin, iş ortamındaki değişikliklere yanıt olarak insan kaynaklarında kapsamlı güvenilirliği arttırabilmesi beklenmektedir. Örgütsel dönüşümdeki zorluk, örgütün geleceği için geçmişi bırakarak daha iyi süreçleri bulmak ve geliştirmektir (Syamsur, Halim ve Sarkum, 2019).

Bu çalışmada örgütsel dönüşümde yeni dijital teknolojilerin rolü teorik çerçevede ele alınmaktadır. Bu amaç doğrultusunda çalışmada öncelikle örgüt ve teknoloji ilişkisinden söz edildikten sonra örgütsel dönüşüm bağlamında yeni dijital teknoloji uygulamaları güncel örneklerden hareketle incelenmektedir.

## 2. ÖRGÜT VE TEKNOLOJİ İLİŞKİSİ

Örgütler çevrelerinden sağladıkları çeşitli girdileri bir dönüşüm sürecinden geçirerek çıktıya dönüştüren ve tekrar girdi sağlamak üzere çevresine sunan sistemlerdir (Mucuk, 2014). Örgütler, işgücü, hammadde, malzeme, materyal ve enerji gibi girdileri mal ya da hizmet gibi çıktılara dönüştürme sürecinde teknolojiyi kullanmaktadır. *Türk Dil Kurumu Güncel Türkçe Sözlüğü*'nde teknoloji; “bir sanayi dalı ile ilgili yapım yöntemlerini, kullanılan araç, gereç ve aletleri, bunların kullanım biçimlerini kapsayan uygulama bilgisi, uygulamayı bilimi ve insanın maddi çevresini denetlemek ve değiştirmek amacıyla geliştirdiği araç gereçlerle bunlara ilişkin bilgilerin tümü” olarak tanımlanmaktadır (TDK, 2019). Başka bir ifade ile teknoloji, girdileri (input) çıktılara (output) dönüştürmeye yarayan araçlar topluluğudur. Bunlar; makine, teçhizat, araç-gereç ve donanım gibi fiziksel olabileceği gibi planlar, programlar ve stratejiler gibi zihinsel de olabilmektedir. Örneğin, bir üretim işletmesi hem fiziksel hem de fikirselsel araçları kullanırken, bir danışmanlık firması ise daha çok fikirselsel araçları kullanmaktadır. Bir örgüt ister ticari bir işletme olsun ister bir üretim işletmesi olsun ya da ister bir hizmet işletmesi olsun mal ve hizmet üretiminde mutlaka belirli bir teknoloji kullanmaktadır. Bu bağlamda teknoloji, emek, doğa, sermaye ve girişimciden sonra beşinci üretim faktörü olarak kabul edilmektedir (Ünsalan ve Şimşeker, 2011).

Örgütlerin temel amacı, insan ihtiyaçlarını karşılamak için mal ya da hizmet üretmektir. Örgütler bu amacını gerçekleştirmek için teknolojiyi kullanmaktadır. Dolayısıyla örgütlerin üretim ve pazarlama fonksiyonlarını yerine getirirken kullandıkları yöntem ve teknikler, örgütlerin doğal yapısını önemli derecede etkilemektedir. Bu bağlamda bir örgütün en önemli araçlarından biri kullanılan teknolojidir. Teknoloji hem üretim fikrinin oluşumunda hem de üretimin kendi sürecinde önemli rol oynayarak örgütlerin tüm fonksiyonlarında yer almaktadır. Bu nedenle yeniliklere ve modern yaşama arzusuna cevap verebilecek teknolojiyi, örgütlerin çok yakından takip etmeleri gerekmektedir. Kullanılan teknoloji değiştikçe buna paralel bir şekilde örgütlerde önemli farklılaşmalar görülebilmektedir. Teknolojik değişim örgütteki çalışanları, grupları, ilişkileri ve yönetim tekniklerini etkilemektedir. Kullanılan teknoloji ne kadar kompleks ise örgüt içi etkisi o kadar yüksek olmakta ve birimler arası koordinasyonun sağlanması zorlaşmaktadır. İnsan kaynağından kullanılan makine ve araç-gereçlere kadar her konuda değişiklikler yapmak, teknoloji değiştikçe zorunlu olmakta ve kullanılan teknoloji doğrultusunda örgüt yapısının değiştirilmesi kaçınılmaz bir hal almaktadır. Bu bağlamda örgütlerin faaliyetlerinde etkili ve verimli olmaları kullandıkları teknoloji ile yakından ilişkilidir (Koçel, 1999).

Örgütlerde kullanılan teknoloji, operasyonel ve yönetim düzeylerinde örgüt yapısını ve dolayısıyla örgütün performansını etkilemektedir. Yeni teknolojilerin, örgütsel ve insan davranışındaki değişikliklerle birleştiğinde üretkenlik kazanımları sağlama olasılığı daha yüksek olmaktadır. Gelişmiş üretim teknolojisine sahip bir örgütün, düşük performans göstermesinin nedenlerinden biri de o örgütün değişen ortamda statik kalan organizasyon yapısıdır. Yine gelişmiş üretim teknolojisinin uygulanması sırasında en çok ihmal edilen faktörler genel stratejik plan, örgütsel tasarım, işlerin tasarımı, mavi yakalı çalışanların becerileri ve iş tutumlarıdır. Gelişmekte olan ülkelerde, örgütler birçok belirsizlikle karşı karşıya kaldıklarından, teknolojik değişimi benimseme yetenekleri başarının ölçüsü olarak görülmektedir (Ghani, Jayabalan ve Sugumar, 2002). Bu doğrultuda Demir ve Okan (2009) tarafından yapılan çalışmada teknoloji, örgüt yapısı ve performans arasında yakın ilişkilerin olduğu sonucuna ulaşılmıştır. Dolayısıyla teknolojinin örgüt yapısını ve performansı etkilediği belirlenmiştir.

## 3. ÖRGÜTSEL DÖNÜŞÜM BAĞLAMINDA YENİ DİJİTAL TEKNOLOJİLER

İçinde bulunulan dijital çağda dijital teknoloji dönüşümünün yerinde gerçekleştirilmesi, örgütler için oldukça önemlidir. Teknolojiye ayrılan bütçe ve bu teknolojilerin hızlı şekilde değişmesi düşünüldüğünde örgüt için en uygun kararın alınması sağlanmalıdır. Bunun gerçekleşmesi, ihtiyaca uygun teknolojilerin örgüt içine entegrasyonunun sağlanması ile mümkün olabilmektedir. Bu konuya temel oluşturan Teknoloji Kabul Modeli'nde (TAM-Technology Acceptance Model) davranışın (*behavior*) ortaya çıkmasını sağlayan davranışsal niyeti (*behavior intention*) oluşturan davranışa yönelik tutum (*attitude toward act or behavior*) ve öznel normları (*subjective norm*) ifade eden Nedenli Eylem Teorisi'nden (TRA-Theory of Reasoned Action) yararlanarak (Fishbein ve Ajzen, 1975), teknolojinin kabulü davranışlarının açıklanması yer almaktadır (Lee, Kozar ve Larsen, 2003). Nedenli Eylem Teorisi'nden hareketle ortaya atılan Teknoloji Kabul Modeli'nde bireyin *Sistemi Bilinçli Kullanım (Actual System Use)* davranışını belirleyen kullanıcı motivasyonu kısmında belirtilen *Kullanıma Yönelik Tutumu (Attitude Toward Using)*, bu modelin ana bileşenleri olan *Algılanan Kullanım Kolaylığı (Perceived Ease of Use)* ve *Algılanan Fayda (Perceived Usefulness)* ile açıklanmaktadır (Davis, Bagozzi ve Warshaw, 1989).

Teknoloji Kabul Modeli ile ilişkili çalışmada Davis (1986), “*Algılanan kullanım kolaylığı* ile sistemin kolaylıkla kullanılabilir ya da *kullanıcı dostu*” olduğunu belirtmiştir. Bu teorideki diğer temel bileşen olan, *Algılanan kullanım*

*kolaylığının* üzerinde nedensel etkiye sahip olduğu belirtilen *Algılanan Fayda* ile bireyin sistemi kullanımı ile elde edeceği faydaya yönelik fikri, teknoloji kullanım davranışını etkilemektedir. Algılanan Faydanın, sistem kullanımının temel amacını oluşturduğu anlaşılmaktadır. Kullanılan sistemin istenilen faydayı sağlaması, kullanım kolaylığı sunması ile ilişkili olmakta ve bu temel bileşenler üzerinde etkisi olan Teknoloji Kabul Modeli'nde belirtilen dışsal değişkenler kategorisinde yer alan tasarım özellikleri (design features) ön plana çıkmaktadır (Davis, 1986; Davis, Bagozzi ve Warshaw, 1989). Geliştirilen teknolojilerin sadece geliştiricinin kafasındaki şekli ile değil, kullanıcıların özelliklerine uygun *kullanılabilir* olmasının gerekliliğini ortaya çıkarmaktadır.

Teknoloji Kabul Modeli'nin bileşenlerinden *Algılanan Fayda* özelliği sistemin kullanıcılar tarafından bilinçli kullanımını belirleyen en temel bileşendir. Bireyler tarafından *Algılanan Kullanım Kolaylığı*, bu bileşeni etkilemektedir. Bu bağlamda örgütün çalışma sürecine dahil etmeyi düşündüğü herhangi bir dijital teknolojinin kullanımına yönelik kabul, örgüte sağladığı faydaya yönelik bireylerin inancından etkileneneceği anlaşılmaktadır. Ayrıca yeniliklerin bireyler ve örgütler tarafından tamamı ile benimsenmesi uzun zaman alabilmektedir (Rogers, 1983). Teknolojilerin örgüte sağlayacağı faydaların uzun vadede düşünülüp, dijital dönüşümün kurum içinde bireyler arasında gerçekleştirilmesi gerekmektedir. Bu bağlamda Rogers'ın (1983) *Yeniliklerin Yayılımı Teorisinde (Diffusion of Innovations)* belirttiği gibi bireyin yenilik hakkında yeterli *bilgiye* sahip olması *ikna* olması için ön koşul oluşturmakta ve *ikna* olarak belirli kararlar almaya yönelik adımlar atmaktadır. *Kararlar* ile uygulamaya dönük adımlar atılmasını gerçekleştirmektedir. Son olarak belirtilen *onay* aşamasında uygulamaya yönelik verdikleri kararın değerlendirilmesini sağlamaktadır. Bu aşamada değerlendirmenin olumlu ya da olumsuz olmasına göre uygulama sürecinin devamına ve sonlandırılmasına karar verilmektedir. Yeniliklerin yaygın kullanımı açıklayan bu teori ile örgüt içinde teknolojilerin geliştirilmesi ve kullanım sürecine bireylerin de dahil edilmesi ile gerçekleştirilmesi gerekmektedir.

Endüstriyel ortamda meydana gelen değişimi açıklayan Endsütri 4.0 ile yeni dijital teknolojilerin kullanımı gerçekleşmektedir. Dijital teknolojiler ve bu teknolojilerden faydalanan bireylerin tecrübelerine bağlı olarak, teknolojik dönüşüm şekillenmektedir. Örgütlerin ilerlemesi, dijital ortamların yeni teknolojiler kullanılarak oluşturulması ile mümkündür. Dijital teknolojilerden *Nesnelerin İnterneti (IoT)* ile teknolojik cihazlar arasında internet bağlantısı ile nesnelere arasında kurulacak anlık iletişim ağının oluşturulması ve akıllı sistemlerin geliştirilmesi düşünülebilmektedir. Geliştirilen sistemlerde bilgiler, siber ortamda anlık kullanıma hazır *Bulut Bilişim* sistemlerinde tutulmaktadır. Bu bilgilere ulaşım, artan boyutlardaki toplanan çeşitli verilerin çözümlenmesi ile *Büyük Veri* analizlerinin yapılması ve ulaşılan bilgiler ile *Yapay Zeka* uygulamalarının geliştirilmesi gerçekleştirilmektedir. Teknolojik cihazlar ile yapılan görevlerin verimli olarak yürütülmesi *siber güvenliğinin* sağlanması ile mümkün olmaktadır. *Siber güvenliğinin* sağlanması ile teknolojilerin yanında teknolojik cihazlarda tutulan bilgilerin, muhtemel tüm tehlikelerden korunmasını ve hizmetlerin sürdürülebilirliğinin sağlanması amaçlanmaktadır. Ayrıca, *otonom robotlar* ile robot teknolojisinin ilerlemesi ve günlük hayatta yaygın kullanımın artması ve *Katmanlı Üretim* ile *3D Yazıcılar* ile kişiselleştirilmiş üretimin sağlanması gerçekleştirilmektedir.

Yeni dijital teknolojilerin kullanımı ile örgütlerdeki dönüşümünün sağlıklı olarak gerçekleştirilmesi, sürecin düzenlenmesinde devlet tarafından gerekli adımların atılmasıyla hızlandırılabilir. Türkiye'de Cumhurbaşkanı Dijital Dönüşüm Ofisi ile devletin en yetkili mercisi tarafından dijital teknolojilerin geliştirilmesi ve kullanımına yönelik çalışmaların yürütülmesi ve desteklenmesi gerçekleştirilmektedir. Yükseköğretim Kurumu tarafından 2019 yılında yürütülen "*Yükseköğretimde Dijital Dönüşüm Projesi*" ile akademisyenlerin dijital teknolojileri eğitimde kullanımını artırmak amacı ile dijital okur-yazarlık eğitimlerinin verilmesi ve öğrencilerin dijital teknolojilerden en etkili bir şekilde faydalanmasını sağlamak amacı ile dijital okuryazarlık dersinin okutulması, bilimin herkesin erişimine sunulmasını sağlamakta ve eğitimde fırsat eşitliğini sağlayan açık erişim ve açık bilim konusunda düzenlemeler yapılması da bu proje kapsamında yer almaktadır (YÖK, 2019). Bankacılık sektöründe Türkiye İş Bankası, *serverleri, uygulamaları ve operasyonel verileri dijital platforma taşıyarak*, banka müşterilerine dijital ortamda daha aktif olarak hizmet vermeyi sürdürmektedir. Tarım ve Orman Bakanlığı tarafından 2020 yılında tarım ve hayvancılık ile ilgili işlemlerin *e-tarım* dijital portalından yürütülmesi ve süreçlerin kolaylıkla izlenmesi ve değerlendirilmesinin sağlanması gerçekleştirilmektedir. Ekonomi alanında güven ortamının sağlanması için *Blok Zinciri* teknolojilerden faydalanılarak, online ortamda ticaret akışının yürütülmesi sağlanmaktadır. Sağlık sektöründe verilen hizmetlerin dijital teknolojiler ile sunulması, sağlık hizmet kalitesinin ve hızının artırılmasını sağlamaktadır.

Farklı sektör alanlarında yeni dijital teknoloji kullanımına yukarıda verilen örneklerin yanında diğer hizmet alanlarında da dijital dönüşümler sürekli sağlanmaktadır. Dijital dönüşümlerin kurum içinde yürütülmesine yönelik e-uygulamalar geliştirilmekte ve kurumların verdiği hizmetleri dijital platformlar ile sürdürmesi desteklenmektedir. Bireylerin dijital uygulamalardan faydalanmasına yönelik, eğitim veren akademisyenlerin ve

öğrencilerin gelişimine katkı sunacak eğitimlerin geliştirilmesi ve yürütülmesi sağlanmaktadır. Yeni teknolojilerden yararlanarak sunulan hizmetlerin etkin olarak yürütülmesi gerçekleştirilmektedir.

#### 4. SONUÇ VE DEĞERLENDİRME

Alışılmış olanın bırakılmasının zorluğu ve yeni olanın örgütün yapısına uygun olarak kabul edilmesinin gerekliliği, geçiş sürecinin her aşamasının dikkatli planlamasını ve örgüt için doğru olan kararlar alınmasının önemini ortaya koymaktadır. Bu kararların alınması, dijital teknolojilerin bütünü ile kabulünü gerekli kılmaktadır. Örgütün ihtiyacına yönelik, herhangi bir dijital teknolojinin kullanımı ile mevcut duruma yönelik çözümler üretilebilmektedir. Ancak, çalışan sistemlerin birbiri ile ilişkisi düşünüldüğünde yönetim kısmında belirli teknolojilerin kullanılması, üretim kısmında da bu teknolojiler ile uyumlu dijital teknolojilerin tercih edilmesi ihtiyacını ortaya çıkarmaktadır. Ayrıca, örgütün yapısının temel bileşenini oluşturan insan faktörü düşünüldüğünde örgütün teknolojik anlamda ilerlemesinin sağlanması, insanın bu teknolojilere ve örgüte bu teknolojilerin entegrasyonun ne düzeyde gerçekleştirdiği ile ilişkilidir. Dijital teknolojilerin örgüt içinde kabulü ve bu teknolojilerden kurum içinde faydalanılmasının nasıl olacağına belirlenmesi gereklidir. Bunun sağlanması için öncelikle insanın teknoloji kabul davranışını temel alan modellerde belirtilen kullanılabilir dijital teknolojilerin kullanımında fayda unsurunun dikkate alınması gereklidir. Bu durum sadece teknolojinin yeni olduğu için kullanımının dışında esas gaye olan örgüte sağladığı fayda göz önünde bulundurularak kullanımını belirtmektedir.

Bireylerin teknoloji kullanım davranışlarından elde edileceğine inanılan fayda ile teknolojilerin kullanılabilir olmasının yanında dijital teknolojilerin özelliklerinin neler olduğu bilinmelidir. Son zamanlardaki endüstriyel ilerlemeyi belirten Endüstri 4.0 ile örgütlerin dijital dönüşümünde güncel teknolojilerden yararlanması gereklidir. Gerçek ortamın sanal ortama aktarımını yoğun olarak yaşadığımız bilgi çağında dönüşüm dijitalleşme ile sağlanmaktadır. Bunun en yaygın örneği olarak, nesnelerin dijital aktarımını belirten *dijital ikizler* verilebilmektedir. Bireyler ya da örgütler yapılan işlemlerde aynı şekilde çağa ayak uydurmanın gerekliliği ile dijital ortamın sunduğu avantajlardan yararlanmaktadır. Bu ortamın sağladığı faydaların yanında ortaya çıkardığı zararlardan korunmakta benzer yeni teknolojilerin kullanılması ile mümkün olmaktadır. Bu durum, yeni dijital teknolojilerin bütüncül olarak düşünülmesini ve bu süreçlerde uygun olarak kullanımının sağlanmasını gerekli kılmaktadır. Yeni dijital teknolojilerin bilinçli kullanımın sağlanması, ihtiyaca yönelik alınacak fayda dikkate alınarak, örgüt yapısında bireylerin sürece dahil edilmesi ile sağlanabilmektedir.

Sonuç olarak, bu çalışmada kamuda ve özel sektörde farklı alanlarda yeni dijital teknolojilerin kullanıldığı örneklerle gösterilmiş olup, bu teknolojilerin örgütsel dönüşüm üzerindeki etkisi açıklanmıştır. Diğer yandan ilgili literatür incelendiğinde örgütsel dönüşüm ve dijital teknolojiler bağlantısını doğrudan ele alan az sayıda çalışmaya rastlanması nedeniyle çalışmanın bu kapsamda literatüre katkı sağlayacağı düşünülmektedir.

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## The Horse, The Rose, The Wheat And The Grapevine As Sacred Messengers To The Thracians And Bulgarians

Elitsa Dimova<sup>1</sup>

Dimitar Yakimov<sup>2</sup>

<sup>1</sup> Southwestern University "Neofit Rilski", Blagoevgrad, edim40@yahoo.com, ORCID: 0000-0003-1616-1178

<sup>2</sup> University of Agribusiness and Rural Development – Plovdiv, dyakimov@uad.bg

**Abstract:** By researching the ancient Thracian-Bulgarian sacred knowledge we can go in depth and restore ritual practices that are little studied by other sciences such as economics, biology, chemistry and anthropology. By the characteristic of agriculture during antiquity, practical conclusions for today's organic farming can be drawn. The aim of the study is to reconstruct some ancient economic practices from the time of Mycenae, practiced in the Middle Ages in the Balkans, linking them to their sacred significance.

The development of plant breeding and livestock breeding were part of the understanding of nature as a part and, moreover, as a unity of the forces of creation. The cults of various gods among the Thracians and the Bulgarians are an astronomical code organized around agriculture and cattle breeding, turned into sacred activities. The methodology used is analysis and reproblematicization of material and written sources already studied by historians. The study shows that the ancient Thracian eco-practices are a homogeneous system in a common cultural layer among the Bulgarians, which has its relics today. Like sacred objects and hard-to-create goods, they are a consequence of developed culture, agriculture and livestock breeding. By researching the ancient Thracian-Bulgarian sacred knowledge we can go in depth and restore ritual practices that are little studied by other sciences such as economics, biology, chemistry and anthropology. Horses, roses, wheat and grapevine are part of a common sacred ritual that has been practiced since 6000-8000 years ago. The future of humanity is about rethinking these practices and returning to them by realizing our connection and our responsibility to balance ecosystems and productions to meet human needs.

**Keywords:** organic farming, Bulgarians, horse, wheat, wine.

### 1. INTRODUCTION

The economics of antiquity in the Balkans, and in the broad chronological range from the Bronze Age to the end of the Middle Ages, has been relatively little studied as the main component relating to the connection with religious beliefs has not been interpreted. We will look for material evidence to restore at least part of the picture of environmentally friendly life from antiquity. From a number of written, epigraphic, numismatic and archeological data we can judge that the priestly class among the Thracians and Bulgarians used in rituals related to agriculture, with the holy messengers rose, wheat and wine. The main missing component to help us understand the connection between them is the cult of the horse. There is no doubt that the horse as a messenger of the afterlife is a scientific topic of many Bulgarian and foreign scholars, but only in unity with other ritually significant elements can reveal the deep semantic thread characterizing the function of Thracian and Bulgarian priesthood, interconnected through the transformation of one in the other historically. The restoration is like reproducing not only the ritual action, but also inspiring it with the spirit of the sacred dedication of the king-priest in the mystery of the creation of the universe. Like sacred objects and hard-to-create goods, they are a consequence of developed culture, agriculture and cattle breeding. By researching the ancient Bulgarian sacred knowledge we can go in depth and restore the Bulgarian ritual practices, which are little studied by other sciences such as biology, chemistry and anthropology.

### 2. METHODS

The research methods are analysis, analogy, comparison and summary. To achieve the goal of the study we use genetic and retrospective methods. The genetic traces where the cults of the Balkans originated in the early epochs before and from the time of Homer - 8th century BC, when they had the same semantic basis and the population was in a cultural and linguistic community. The historical-comparative method identifies different events by placing them in the correct chronological and substantive framework. Individual events in different geographical segments can shape the puzzle and reconstruct the way of life, in the case of the context of agricultural and livestock practices of the population. Through reproblematicization we seek to penetrate into the deep layers of hitherto explored practices that have a common semantic and religious basis. This will allow us to look at the already established facts from a different scientific angle.



### 3. THE IMPORTANCE OF THE HORSE AS A SOLAR MESSENGER

The priestly class among the Thracians and the Bulgarians used the sacred messengers rose, wheat and wine equally in the rituals. The main missing component to help us understand the connection between them is the cult of the horse. The development of plant growing, agriculture and cattle breeding were part of the understanding of nature as a part and, moreover, as a unity of the forces of creation. In addition, the ancient form of transmitting practical knowledge in agriculture through the generations has been in small part in writing, but mainly in the form of rites, religious customs, local beliefs, legends and more.<sup>1</sup> Special respect were the gods and spirits of natural forces, as well as stellar objects - planets, stars, constellations, etc. Some ancient peoples not only paid great homage to such objects, but knew with sufficient reliability their time cycles and their impact on plants and other organisms. There are written records of astrological interpretations from the Old Babylonian period (2000-1600 BC), but as oral knowledge, they may be from ancient times. In recent times, the interconnected agricultural practices and planetary influences are again described in detail by Rudolf Steiner. On the occasion of his lectures on biodynamic agriculture, held in 1924, Koberwitz - Koberwitz, now Kobierzyce - Poland, he is considered the modern founder of Europe in the field of biodynamic agriculture.<sup>2</sup> The contemporary biodynamic agriculture is the oldest organized agricultural movement in the world and the concept has existed for more than 75 years.<sup>3</sup>

The development of plant growing, agriculture and cattle breeding were part of the understanding of nature as a part and, moreover, as a unity of the forces of creation. The cults of various gods among the Thracians are in fact an astronomical code organized around agriculture and cattle breeding, turned into sacred activities. The Great Mother Goddess, revered in antiquity and directly related to the synthesis of religion and production. This is how the connection of the ancient economy with the beliefs in our lands will be outlined. This is understandable, because our present has moved away from the Holy Spirit and the Spirit of the Great Mother Goddess, revered in antiquity and directly related to the synthesis of religion and production.

The primary idea of the Great Mother Goddess is that she inhabits the mountain and even that she is a mountain herself. Sources such as Homer, writers such as Titus Livy, Suetonius and Pomponius Mela, define the mountains of Thrace as an area where the main sanctuaries of the Thracian tribes functioned. They bear the names of their gods, which is directly related to their specialization by region and professional activities. For example, the Odrysians were responsible for the oak forests and sanctuaries around them, and their name comes from the word oak. The top of the mountain is destined for conception as a sacred moment that is timeless. That is why the mountain is understood as the womb of the Great Mother Goddess. According to Macrobius, the Orphic religion was practiced in a "sanctuary located in the mountains". The peak is closer to the Sun and is a connection to the sky as a portal to other worlds. This gives the mountain a double sacredness: on the one hand, it is present in the spatial symbolism of transcendence ("high", "vertical"), and on the other hand, it is the real abode of the gods. In this sense is the division of Orpheus as a vertical link between the Thracian community and the gods, Dionysus - as a messenger of the earthly and human dimension and Hermes - as a link with the underworld.<sup>4</sup> The mountain as a place of residence of the gods is a stable motif in Indo-European mythology and the main divine characters that are found in the texts of ancient writers when writing about the Thracian mountains are Zeus, Dionysus, Orpheus. The gods are overseers and rulers of earthly and heavenly forces. Their sacredness originates in the idea of all religions in the Eurasian region as the husbands of the Great Mother Goddess, on whom world fertility depended. Ancient mythological thinking accepted the Great Mother Goddess as the birthplace of the universe. In this sense, it identified itself, as a rule, with the earth, and in a broader sense with the mountain, the rock. The masculine principle is perceived as the storm, and the feminine - as the earth and the inner light. That is why Zeus is a thunderbolt, and the goddesses are connected with nature and agriculture. In the mysteries, the Thracians perceive the self-conception of the Great Mother Goddess, who gave birth to the son of the Sun, as something natural. In Thrace, the goddess bears various names such as Bendida, Kotito, Brauro, Zerintia, Cybele and others. Very often the rock (mountain) is associated with the goddess herself, whose Thracian-Phrygian

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<sup>1</sup> Бренан, К. (2012). Елинистична астрология.

<sup>2</sup> Paull, J., (2011). Biodynamic agriculture: The Journey from Koberwitz to the world, 1924- 1938. Journal of Organic Systems, 6 (1), ISSN 1177-4258, pp. 27-41

<sup>3</sup> Влахова, В., К. Арабска. (2015). Биодинамично земеделие - екологосъобразна земеделска практика, Списание за наука „Ново знание“, 4-2, с. 46-50.

<sup>4</sup>Христов, И. (2010). Храмът на безсмъртните. Проучвания на монументалните паметници в северозападната периферия на Одриското царство към края на V – средата на IV век пр. Хр. София, с.60-83.

name Cybele corresponds to the term "mountain". In both Thrace and Phrygia, the cult of the Great Mother Goddess is associated with rock shrines.<sup>5</sup> The horse is a messenger of the Great Mother Goddess and the link with the Sun. His speed and invisible wings can take the rider to the gods. In its original form, the horse was a unicorn. This is the prototype of the Great Mother Goddess herself. The unicorn, with a fish tail, contains not only an astronomical code but also a chronological one. In the east, the Great Mother Goddess is called Makara and combines the qualities of a unicorn and the tip of an amphibian. Sometimes the image is called a goatfish. In our calendar, the ibex or the horse should be the unicorn because of the well-known analogues in the Thracian golden treasures. For example, the famous from the Homer's Iliad, King Rez, son of Poseidon / Palestine / Strimon, has a noble brother Hypocoon=Hypohorse.<sup>6</sup> The connection of the fish with the goat or the ibex takes us back to the time of His mythical civilization, whose mother element is water, whose symbol is Aquarius. Although it will be difficult to prove the latter conclusion, we will focus on restoring the rites of some of the priestly rituals (interpretive archeology) related to the unicorn horse, rose, wine and wheat according to the sources we have so that we can we reconstruct some agricultural and pastoral practices that had a ritual and energy value unknown to today's products. Astrobotany was clearly not unknown to ancient peoples.

FIG. 1. The Eritria mosaic 4th century BC<sup>7</sup>



It is important to find out how the Thracians and the Bulgarians, who are tribal subdivisions of the same people, called the horse and why they put a horn or feathers between its eyes to resemble a unicorn. The answer can be found in an incredible chest, donated by the Bulgarian Tsar Boris to Pope Nicholas II, as proof of abandonment of the ancient religion replaced by Christianity. This is the ark of Terracina, stored today in the Vatican. On it is depicted a Bacchus (priest) with a hat with three horns, the middle horn being higher than the others. It is not difficult to guess that the priest becomes a unicorn-shining horse and guardian if he goes through all the trials of service. On stelae from Bosnia and Croatia, where legalized Bogomilism was established in the Early Middle Ages, we find the same images where the Bacchus in the Dulo pose (ИYI) holds two unicorn horses on either side.

Figure 2. Treasure from Letnitsa 4th century BC

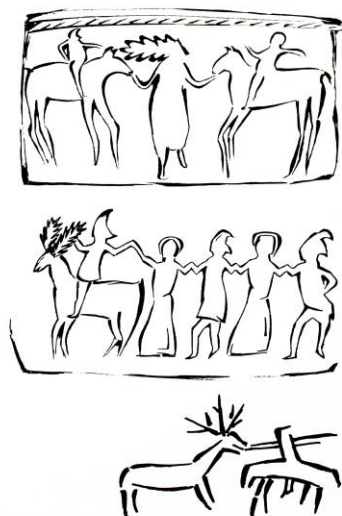


<sup>5</sup> Пак там.

<sup>6</sup> Фол, Ал. (1972). *Политическа история на траките. Края на второто хилядолетие до края на V век преди новата ера.*, София: Изд. „Наука и изкуство“, с. 43.

<sup>7</sup> Source: <https://www.esag.swiss/eretria/monuments/>

FIG. 3. Ecstatic Bogomil dance with horses. The priest has become a unicorn/deer<sup>8</sup>.



Of the possible numerous examples of this tribal and ethnic unity, we will mention one that has not been noted by researchers. Herodotus (484-425 BC), the father of history, describing Darius' campaign in the Thracian lands, gives us similar information about the related tribes, as well as their weapons, clothing, horses and habits. Like all of them, he belongs to the Thracian family. Among the tribes is one called the Utii (this is the name of the Kuti, a proven Bulgarian tribe)<sup>9</sup>. The etymology of the ethnic names of both the Thracians (born of the Sun) and the Bulgarians (white, radiant) is the same. Both names point us to the priestly-shamanic practice of our ancestors and the cult of the Sun. We will give just a few examples of clarity to move on to the real part of the study. The cosmic mountain or pyramid is the basis of the belief in the original cause of the universe among the Thracians, and among the Bulgarians it is called Tangra. The sun meets the mountain. Tang Ra is not an ordinary god, but a portal to meet him. Tag means horse in Old Bulgarian, tang is language, and Ra is Yarilo or the Sun. The Thracian deities have the same abstraction, but the primary one in both the main tribes of Thracians and Bulgarians was called FA / FANES or Edfu<sup>10</sup>.

It is no a matter of ordinary cultural borrowing. The Greeks did not understand what the word FA meant and were puzzled by it. I will not touch on the fact that Edfu is a well-known primary deity in Egypt, which is also shrouded in mysticism about its origin. Undoubtedly, the uniform religious differences and the same or similar practices in agriculture, cattle breeding, construction, handicrafts and sacred rituals can be explained by great geographical and ancestral proximity. Today we understand FA as a musical tone, inside it as a translation from Latin from the music table, contains a cult of the heptagon (sacred calendar), characteristic of the Bulgarians, which is essentially knowledge and even science explaining the structure of the universe. Every action drives invisible forces and the consecrated priest must help to tame them, to maintain balance in order to preserve the harmony of the universe. Deep knowledge, including agriculture and animal husbandry, is associated with the original unity of the universe: the art of the blacksmith with the mystery of fire and the transformation of matter, the art of the weaver - with the mystery of rhythm. Craft or art is the embodiment of the cosmic forces, and a means to get in touch with them<sup>11</sup>.

The Thracians understood existence as the service of the gods and no price was high enough to be paid. It is known that they cried when a child was born and glorified God as a person passed into the afterlife. These gods of theirs have very specific characteristics, and each genus has associated its origins with them. According to sources, the Thracians derived their primary origin from the god Hermes. Hermeticism is the basis of many modern theories about the structure of the universe. The basis of knowledge is the observation of the laws of nature and the management of matter. Knowledge can be unlocked and locked only by dedicated and exalted creatures who are in a high phase of their spiritual evolution. But sacralization goes through the musical slogan,

<sup>8</sup> Source: P. Куцли. (2012). По следите на богомилите. Изкуство, история, символи. С.

<sup>9</sup> Херодот. (1981). Извори за историята на Тракия и траките. т.1. София: Изд. БАН, с. 246.

<sup>10</sup> Димова, Е. (2021). Златният код на Розетата от Плиска. София, с. 39-66.

<sup>11</sup> Фол, Ал. (1986). Тракийският орфизъм. София: УИ „Кл. Охридски“, с. 33.

through the mantra singing. The Thracian Orphic priests kept these formulas. And the Bulgarians, called (colobri), performed an ecstatic dance, accompanied by a song and instrumental accompaniment before the battle. They were wars, offering their ritual musical and prayer gift to the god Ares, equally revered by the Thracians and the Bulgarians. The horse plays a significant role in this cult. The harnessed golden chariot goes empty, because in fact it can only be driven by the Great Mother Goddess. That is why in the Kazanlak tomb the horses are the main actors together with the chariot of the goddess. Bacchi or colobri are dancing people. They have a direct relationship with the cult of the horse as an ambassador of the sun cult, which connects the space of the human circle with that of the god. The connection of the god Horus with the word "people" - „hora" in Bulgarian language or with the dance - "horo" is obvious and not accidental. One of the earliest mentions of the ritual dances of the Horites is in Euripides in Iphigenia in Tauris. He describes the so-called "Nerids"- 50 girls who danced in a circle of with songs<sup>12</sup>.

Fig 4. Kazanlak tomb, at the end of the IV century BC. - the beginning of the III century BC<sup>13</sup>



The cult character of agriculture and cattle breeding is evident from the artifacts found in the Balkans. The numismatic material from the end of the 6th and the beginning of the 5th century from Southwestern Thrace, bordering the ancient Macedonian areas, shows emissions testifying to state-building phenomena<sup>14</sup>. For example, Hermes on coins (electronic and silver) is depicted on the obverse as leading three oxen. On the Edonian coins, and especially of King Geta, is a male bearded figure leading two oxen. He is distinguished as the god Hermes, the leader of souls in the underworld. In addition to all the historical tractors, here we have factual evidence of the existence of developed agriculture and animal husbandry. The connection with the ancient agricultural cult, which locks the horse, can be found in the Bulgarian language. One of the Glagolitic letters is called Hur or Hurs and has not only linguistic similarities with Hor. The similarity with one ethnic group in Northern Bulgaria or the so-called "Herzoi". Lubomir Miletic mentions her, and Ivan Shishmanov, born in Svishtov, is known to bear the same nickname. Another name that has taken on the role of ethnicity is "Torlak". In Naiden Gerov's Dictionary the word is defined mockingly in the sense of fool or savage. One of the meanings is part of the men's costume of the villagers from Kukushki villages or their white pants. An interesting parallel can be made with the Belodreshkovs or the white Bulgarians, as the Thracian aces were called. The Chernodreshkovs were the tables. Although an indirect connection can be traced in the linguistic relics. Bogomils are also called "pure" or bleached not only the outer but also the inner garment of the soul. Ancho Kaloyanov has an interesting study in this direction. He points out that "Herzoi" is presented in the Dictionary of Rare, Obsolete and Dialectal Words in Our Literature from the 19th and 20th Centuries. The author derives it from the dialect Herzoi (from Romanian ratoii). It is known that the Cyrillic alphabet was used in Romania until the beginning of the 20th century. In the foreground with the Herzois is emphasized the reprehensible meaning, which they called a peasant from Ruse and Tarnovo. In the etymology of St. Mladenov from the "Eastern

<sup>12</sup> Еврипид. (1981). Ифигения в Таврида. *Извори за историята на Тракия и траките*. т.1. София: Изд. БАН, с. 115.

<sup>13</sup> Source: Национален исторически музей, София

<sup>14</sup> Фол, Ал. (1972). *Политическа история на траките. Края на второто хилядолетие до края на V век преди новата ера*. София: Изд. „Наука и изкуство“, с. 52.

Bulgarian dialect *rucoy*, *ertsoy*, *hartsoy* presents himself as a 'fool' own 'duck', relative to the Romanian Rata 'duck'." But in fact the ancient root of the word is related to the horse and the service of the god Horus / Horus through dance – „horo“. We will explain the connection with the horse, as well as with the Orphic music and the Dionysian cult. In the Bulgarian dialect atlas, the Herzois are defined as: Descendants of the old Moesian population, probably called already at that time, in contrast to the Balkan settlers in the plain, with the names Polyany or Erlii, ie. 'local' and mockingly nicknamed Herzoi." Herodotus also reports that the various Thracian tribes had regional specifics in costumes and military clothing, and each *getus* (tribe) had distinctive signs. The ancient men's costume of the Herzois is distinguished mainly by white pantalons, the so-called *bardentsi*, *birnetsi*, *benevretsi*, etc., while the Balkan people wear wide black or dark brown woolen *poturi* and therefore the Herzois call them "black Bulgarians" or "black".<sup>15</sup> We will see that this has to do with the cult of white and black horses, which are believed to have a connection to different worlds beyond. To make sure that Horus, Hers and Horus is a deity equally important for Thracians and Bulgarians, we will look at where a name with this root is attested. Yordan Zaimov points out that the personal name *Hrso* has been known since the 13th-14th century, and *Hurso* has been known since the 15th century. It is obvious that these were not isolated cases, because an Ottoman document from the second half of the 16th century mentions *Hersyu Terziata* from the Varna (Kavarna or Kranevo), and lists of Catholic priests include *Stoyanka Harsova*, *Margarita Harsova* and *Vucho Harsov* from *Pet Kladentsi*, *Svishtov* region (1626) and *Nedo Harstov*, *Hars Bratanov*, *Hars Chobanov Stancho Harzov* in the village of *Belyane*, *Svishtov* region (1637).<sup>16</sup> The presence of such early anthroponyms of the Hears type shows that this ethnographic group is the descendant of another associated with the name of the god Hears, who is an image of revered mythical creatures - the horse and the eagle (*turak* means eagle). We have data on the deification of the horse among the Thracians and the Bulgarians, and the tradition remained very stable until the Late Middle Ages. "Horse-loving Thracians", as they are called in the sources, refers to the millennial cult of this animal. According to a Japanese genetic study, the white Arabian horse, the *Akhal-Tekin*, was first domesticated in the Balkans.<sup>17</sup> Which is confirmed by written sources, epigraphic monuments and archeology. Something more. The Thracians bred different types of horses, which means that they made selection. Warriors and ritually trained horses were white with shiny, shiny hair. These are beautifully depicted in the *Kazanlak* tomb (revivalist) and in the facility in *Alexandrovo*, *Haskovo* region. Our paintings show that cattle breeding and agriculture were very well developed in the Balkans more than 8000 years ago. - some grazed horses, others large and separately small cattle.

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<sup>15</sup> Калоянов, Анчо. (2000). Старобългарско езичество: Мит, религия и фолклор в картината за свят у българите, Велико Търново, с. 114-116.

<sup>16</sup> Пак там.

<sup>17</sup> Джебир, Г., Янкова, И., Сиракова, Д. и кол. (2017). Сравнителен генетичен анализ на съвременни и на диви коне от епохата на неолита и ранната бронзова епоха в българските земи. Тракийската древност: технологични и генетични изследвания, история и нематериално наследство. София: Изд. БАН, с.120-123.

<sup>18</sup> The study was conducted in 1917 by Japanese scientists from the laboratory of Prof. Masuda from the University of Hokkaido, examining about 70 remains of domesticated horses in the region of ancient settlements in Bulgaria - *Urdoviza*, near *Kiten*, on the Black Sea coast. The study showed that the horses were domesticated before this period. At the same time or shortly afterwards, the artifacts from the excavations together with the remains of the horses are dated to more than 5,000 years. *Akhal-Tekin* is found at that time in other settlements in Kazakhstan.

<sup>19</sup> Херодот. (1981). *Извори за историята на Тракия и траките*. т.1. София: Изд. БАН, с.261.

whiter than snow, swift as a whirlwind. His chariot was adorned with gold and silver, he had huge and wonderful golden weapons, and he did not look like mortal men, but like immortal gods.<sup>20</sup> White horses were considered to be associated with the gods of origin, while black horses had other magical meanings relative to the underworld. One of the important things about the cult of the horse is the fact that the animals were trained for a military dance and brushed their hooves in time 7/8 to the sounds of various instruments. In this measure the Bulgarian dance – horo-„rachenitsa“ is played. The Thracians used lyres, harps, magadis, trigons, flutes, which were part of the ritual service of the gods. Charon of Lampsak, who lived before the Peloponnesian War, in the second book of the Annals, describes a curious story with trained Thracian horses. The Cardia tribe, probably related to the Karites, received a prediction that the Bisalts would attack them. They had trained their horses to dance to the sounds of the flute during feasts. Standing on their hind legs, the horses moved their forelegs like mime actors in time with memorized melodies. Naris, the leader of the Bisalts, decided to defeat the Cardians by cunning. He got a flutist from Cardia. She taught many to play the flute: it was with them that he set out against Cardia. And when the battle was over, he ordered the tunes that the Cardian horses knew to be played. As soon as the horses heard the melody, they stood on their hind legs and began to dance, and the power of the curries was in the cavalry. Thus they were defeated.<sup>21</sup> The horse as a messenger of the Illuminary and a connection with the afterlife was part of the rider himself. Heros or the numerous images of a horse are nothing but the god Horus-Horus or Hers. Proof that the Bulgarians have a god from the same pantheon is in addition to the presence of the Glagolitic letter Haur and the fact that in the region where the descendants of the Bacchus-Herzoi are, we have preserved an ancient toponym. The medieval name of Razgrad is Hrusgrad.

The extraordinary beauty of the ritually significant horses was known in another place where there is historical evidence of the presence of the Bulgarians, namely the city of Balkh, Balkh in the kingdom of Balkhara or Bactria. The city was known in ancient times as the "Golden City" or the "city of golden horses". Can be studied etymologically the word Bacchus or priest. The root kab / kav by metathesis forms bak / vak, and Bak (x) / Vak (x). This is one of the names of the god Dionysus in Thrace and Rome. It is possible that Bacchus was a short form of God Horus ("Son of God Horus"), because in Egypt the word "bog" meant "son of God" and is depicted as a special character - an eagle with folded wings (the eagle, the king of birds, was the feathered hypostasis of Chorus). In Hellenic language, a horse is ἵππος, but a horseman is καβαλλάρης, and a horseman is καβαλλάρια. The word ἵππος also means "true", "faithful", "real" and hence ὑπόστασις (hypostasis), which means personification or "essence" behind another (visible) image. Another word in Old Bulgarian is the tag. The Latin analogues are: caballa, ae - "mare"; caballus - "horse"; caballinus - "horse". It is extremely interesting that the word Kabbalah is pronounced in the same way - for the secret sacred knowledge of the initiates. The priests of such and the Bulgarians are called bakhi, besi, magicians, kumari, godparents. Not to be overlooked is the fact that the sources often talk about mares, which, perhaps because of the mare's milk and the connection with the Great Mother Goddess, are considered more sacred. In French, cavale means "mare", cavalier - "horseman", "knight", and cavalry is cavalerie. Apparently, the horse was perceived as a zoomorphic image of another important deity. Valentin Yordanov draws attention to the root kab / kav in the Greek and Latin language analogues. Some of the anthroponyms and toponyms have the same roots as Cabiro, daughter of the nereid Psamata and Proteus, son of Poseidon; wife of Hephaestus; mother of the Kabirs; Kabiri are the eight sons of Kabiro and Hephaestus, famous blacksmiths in ancient Thrace; Kabirion is the temple of Kabir, the gods-blacksmiths; Kabiros, Kebros or Hebros - the ancient name of the river Maritsa. Although there is another etymological trace through Evrus, Yer-rus-sacred place. Stefan Simeonov draws attention to the fact that despite the numerous finds of horses from the Thracian era in Bulgaria, no specification of the various breeds that have been discovered has not yet been made. The animals in the Zlata Mound, near Nova Zagora, are riding with small heads and strong necks with the famous occipital curve. They have not very wide chest and long legs. The two horses from the Karanovo mound (in the eastern part of Sredna Gora) are combined with a four-wheeled chariot and they are not riding, because they have significantly larger heads, very short necks, a powerful chest and short legs. They are chosen to carry a heavy load, such as the royal chariot. While in the Zlata Mound are buried the ancestors of the Akhal-Tekin of the rare breed called "Arabian horse". In "History of Animals" Aristotle tells us that the Thracians had a very well-developed cattle breeding, and throughout Thrace the largest buffaloes in the world were bred, which we saw confirmed by numismatic material. He added: "In many cases the reason (for the size) is in the crossbreeding, for example in Illyria, Thrace and Epirus donkeys are small, and in the Celtic and

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<sup>20</sup> Омир. (1981). *Извори за историята на Тракия и траките*. т.1. София: Изд. БАН, с.24.

<sup>21</sup> Харон. (1981). *Извори за историята на Тракия и траките*. т.1. София: Изд. БАН, с.185.



Scythian lands are not born at all." The Spartan poet Tirtheus mentions in fragment 20 of "Song I": "The Moesians discovered how to cross donkeys - stallions with mares."

Of particular interest is the issue of animal nutrition. Aristotle gives us detailed information: "And the Thracians fatten (pigs) by giving them to drink on the first day. Then they interrupt - first one day, then two, then for three and four to seven days. The animal is fattened with barley, millet, figs, acorns, wild pears, cucumbers. Stefan Simeonov introduces us to a very curious detail related to the diet, which is related to the Hittites or Hats, proven to be related to the Black Sea Scythians. In a spring called the Stella of Kikuli, fragments of which have been preserved today, we find an interesting reference to the ancient population of the Balkans. Kikuli is a native of Mitanni, who recorded how war horses are trained. The plate is inscribed in Sumerian cuneiform in Luwian (Hittite version) and is an instruction to the horsemen by the chief horseman named Kikuli. It was made during the reign of King Supilulima, the grandfather of the Muwatali who participated in Kadesh, several decades before the battle for the conquest of Mitani. This king conquered the country by taking advantage of opposition to the religious reform of the Egyptian pharaoh Akhenaten, which weakened his position in the region. At this time the Hittites became a serious force. In its entirety, the stela contained a detailed 214-day training regime for the war horse. Although the ultimate goal was to harness the animal in the chariot, the training focused on building complete trust between it and the rider. The horse was trained on the principle of modern human sports regimes - unity of load, diet and rest, which completely coincide with modern practice, and the stela contains precise recipes for combining different feeds. The training cycle was alternated with treated feed, which was served boiled, which improves its absorption. It is amazing that more than 4,000 years ago they had such knowledge that is fully applicable today. In order to stimulate the muscle cell, which became known in physiology in the 50s of the twentieth century, the so-called "Sodium-potassium pump" or the alternation of sweetened and salted foods.<sup>22</sup> The cult of the Thracian horseman passed from the Thracians is shared by the elite royal cult of the Egyptians, Phoenicians, Etruscans and others. The secret of the Thracians is that they combined deep scientific knowledge with religion and agriculture, and cattle breeding was not a purely pragmatic activity as it is today. Thus, they have created incredible achievements in agriculture through species selection, in animal husbandry, handicrafts, construction and even medicine. For example, crop production followed the phases of the moon, and some of the practices persisted until the early 20th century. For example, felling a tree took place on a full moon. The cult of the Thracian horseman passed from the Thracians is shared by the elite royal cult of the Egyptians, Phoenicians, Etruscans and others. The secret of the Thracians is that they combined deep scientific knowledge with religion and agriculture, and cattle breeding was not a purely pragmatic activity as it is today. Thus, they have created incredible achievements in agriculture through species selection, in animal husbandry, handicrafts, construction and even medicine. For example, crop production followed the phases of the moon, and some of the practices persisted until the early 20th century.

We do not have much data on ancient agriculture. The written information was collected by Iv. Venedikov.<sup>23</sup> They provide important details about the connection between the agronomic knowledge of the Thracians about the cultivated crops. Archaeobotanical finds clearly prove the use of a wide range of cereals and legumes, grapes, fruits and vegetables. Important for our study are wheat, grapes and roses. From the tools found in settlements, sanctuaries and necropolises related to agriculture, we can judge a rich agricultural range. For the processing of wheat as a testimony were found mainly hand mills for grinding grain. Together with other sources, they testify to the existence of well-developed agriculture in most parts of ancient Thrace, which shows a stable tradition in the Middle Ages with identical tools. The thirty metal sickles found, made of iron, are the most common agricultural tools from the first millennium BC.<sup>24</sup> Sickles are usually arched, as they were in later times, and are about the same shape and size. They follow the shape of the previous Neolithic, made of wood, bone or horn. The presence of two types of metal sickles separates the epochs. Both types have been attested since the early Iron Age. But the Late Iron Age is dominated by specimens with a serrated blade, which suggests cutting the stems like a saw, not a bevel. It is assumed that the sickles had a dual purpose - for harvesting and mowing. These cannons originate mainly from settlements (Sboryanovo, Pistiros, Halka Bunar, Stara Zagora, Sevtopolis, Stroyno, Elhovo, etc.). It is interesting to note that although less commonly found in sanctuaries (Ada Tepe, Babyak) and

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<sup>22</sup> Пак там.

<sup>23</sup> Венедиков, Ив. (1981). *Земеделието при траките. Развитие на земеделието по българските земи. София, 31–145.*

<sup>24</sup> Андонова, А. (2013). *Земеделски железни инструменти от територията на България (VI–I в. пр. Хр.). Сборник в памет на академик Д. П. Димитров. София, 349–365.*

graves (Chomakovtsi, Lovech)<sup>25</sup>. This suggests to us their sacred role, as well as that the whole process of obtaining agricultural production was accompanied by religious actions. Of particular interest is a testimony of Euripides, where we are told about the eating habits of priests and philosophers, which is directly related to the ritual service of the deities. Evidently, asceticism was inherent in this special category of Thracians: "... because the philosophers did not eat any food from birds or other animals, but only wheat food, and had Orpheus as their leader, because he was a sage."<sup>26</sup> The Rhodopean singer himself has extraordinary knowledge and has written books on Thracian cosmogony, medicinal herbs and stones, the secret of longevity. In the work "Magical Botany", which has not reached us, he describes the healing properties of plants that are associated with man and follow his anatomy. Jacques Coman claims that Orpheus practiced sacred incantation poetry, many of whose formulas were later borrowed from Homer and Hesiod. And spells have always been practiced along with music.<sup>27</sup>

#### 4. THE IMPORTANCE OF GRAPEVINE

One of the agricultural gods - Dionysus, is associated with the production of wine from a special variety of zeila for prophetic and Bacchic rituals. He is the son of the great Zeus. According to Sophocles, Dionysus was a historical figure and the son of the Thracian king Dryas. Dionysus astronomically represents Jupiter, revered by the Bulgarians and specially noted in the Bulgarian calendar, while Hermes is associated with the planet Mercury. Special are sacred role of wine during the Bacchic rituals. It is wrong to think that they are just orgasmic. In fact, they have sacralized the conception in the family. According to the Greeks, Dionysus is a embodies merriment. But his main merit is that he taught people to cultivate the vine. Some archeological finds can fill in the missing links between the kult to immortality, the horse, the wheat, the wine and the rose. A votive plaque with images on both sides was found near the Smolyan Lakes, in mountain Rodope. The obverse depicts Dionysus with a crater (wine glass) on his shoulder, accompanied by a panimenada. They swing in a dance. On the other side is a two-wheeler with four horses running. The reins are held by Dionysus, and next to him is an image of a woman with a crater (goddess). An image of the god Mithras and other eastern deities stands out below.<sup>28</sup> Archaeological finds have been discovered on the territory of Bulgaria, which can help us in filling in the data from the written data, ceramics and numismatics. Iron sickle (koser) suggest developed viticulture and fruit growing, as the cultivation of vines and fruit trees necessarily involves pruning. The sickle are found in settlements (Seuthopolis, Pistiros, Halka Bunar, Stara Zagora, Koprivlen, Gotse Delchev, Stroyno, Elhovo, etc.) and in burial context (in a mound tomb, III century BC, Sboryanovo).<sup>29</sup>

#### 5. THE IMPORTANCE OF WHEAT

Bulgaria there are suitable conditions for the development of organic farming and one suitable for this purpose is the single-grained einkorn *Triticum monococcum*. Einkorn is believed to have been used as food for mankind for 15,000 years. This "wild" wheat has remained unchanged to this day. What was found in the Egyptian pyramids is the same in the Thracian mounds, and even today the analyzes show that it has unchanged nutritional indicators. Wild einkorn grains have been found in excavations dating back to the Epipaleolithic era in the Middle East region known as the Fertile Crescent. Data on its cultivation are available around 7500 BC, near Karadag, an area in southeastern Turkey. The oldest cultivated plant in Bulgaria is the single-grained einkorn, which was probably grown more than 10,000 years ago. This plant was found during the excavations of the settlement mound near the village of Veselinovo, Yambol region, in the form of charred parts of mature classes. This material dates from the XV-XVII century BC. According to him, einkorn was grown in our country from before more than 3500 BC. The ancient Greek historian Herodotus mentions that Thracian and Peonian women offered mysterious sacrifices to Artemis wrapped in wheat straw. The ancient Greek philosopher Theophrastus (371-287 BC) also mentions Thracian wheat, according to which it has many flakes. It was probably single-grained or two-grained einkorn. It is believed that the Thracians had a word for wheat similar to the Greek and Old Bulgarian "pyoro", from which the name of the Taki tribe "Pirogeri", who once lived in Chirpan, and which means inhabitants of the wheat land. The ancient Greek writer Xenophon (430-354 BC) reported that a lot of wheat was sown in southern

<sup>25</sup> Георгиева, Р. (2016). Аграрното стопанство и търговията с храни в древна Тракия. *Thracia XXI*, София: БАН, с.114-118.

<sup>26</sup> Еврипид. (1981). Схолии. Към 953. *Извори за историята на Тракия и траките*. т.1. София: Изд. БАН, с.107.

<sup>27</sup> Coman, J. (1950). *Zalmoxis et Orpheus*. *Известие на Археологическия институт*, т. XVI, с. 177-184.

<sup>28</sup> Гигов, Н. (2006). *Тайната на Орфей*. София: Изд. Хелопол, с. 19.

<sup>29</sup> Георгиева, Р. (2016). Аграрното стопанство и търговията с храни в древна Тракия. *Thracia XXI*, София: БАН, с.114.



Thrace. Wheat was also grown by the Carpid tribe, which lived in present-day Bessarabia. The Thracians called the god Apollo "Sitalkas", which means guardian of wheat. The ancient Greek orator Demosthenes (384-322 BC) mentioned einkorn in the Thracian underground repositories. In the days of ancient Greece, Thrace was a supplier of wheat, which it was loaded on the current Bulgarian Black Sea ports. As fodder plant, in Bulgaria it was also used for bread. It was bred in Haskovo, Stara Zagora, Yambol, Pernik, Sofia and Kyustendil and was called "Yaza". According to prominent Bulgarian scientists Stranski and Arnaudov, single-grained einkorn was brought by proto-Bulgarians to the lands of former Volga-Kama Bulgaria (VII-XV centuries) from the Balkan Peninsula, and German researcher Schiemann in her phylogenetic study believes that the direction of einkorn from our lands goes in the direction of the Volga-Kama-Urals. This plant was also grown on a large scale in the first centuries of the new era on the Balkan Peninsula, which coincides with the time when it is believed that the Bulgarians returned from the north. Of note is that while in those places in Europe where einkorn is now grown, it is known only as the name "einkorn" („limets“ now pronounced in our country einkorn from the word „lomya“, which indicates the method of processing by knocking in stone vessels).<sup>30</sup>

The Latin names of some crops and terms related to plants, food and nutrition have sealed the contribution of the god Horus (Old Pan, who is the generalized image of the Creator of Natural Forces) in this area: oryza "rice", panicum "wild millet", panis or pané - "bread", panificium "making bread", panarium - "bread basket", hordeum - "barley", horreum - "granary", hortensia, orum - "vegetable", hortensis - "garden" ", Hortus, hortulus - " garden / park ", hortulanus -" gardener ". The ancient tradition of horse racing takes us to the Thracian horseman / Heros (heros = Horos = hors), in the image of which merge the personalities of the ancestors of the Thracian-Bulgarians Dionysus / Horus / Bakh and Poseidon / Neptune, the latter is being the real creator of the domestic horse.<sup>31</sup>

The cult of wheat and bread can be judged from a number of archaeological discoveries in Bulgaria. An Orpheus ring was found in the finds from the village of Beden, where a Thracian helmet was found too. And in the Jagodina Cave, which is also located in the Rhodopes, idols, hearths and wheat are dated. Through radiocarbon analysis it has been proven that bread has been known for 6000 years on the territory of Bulgaria. In the hands of goddesses on coins, tiles and ceramics we find wheat ears. The discovery of the stone loaves in Chetinyova Mogila, Starosel near the town of Hissarya is emblematic. In 2009 in the inner mound were found 4 loaves made of tuff with an average diameter of 34 cm. They were found above a burnt layer dating from the period IV-II century BC. by radiocarbon analysis. It is very important to specify that the four loaves were placed just below the ideal center of the mound and were found in one place. Traces of burnt wood from the hearth are leveled. During the sampling of them, a ceramic fragment of a vessel made on a potter's wheel was found, typical for the period IV-II century BC. Pieces of lead were found under the round stone, a lead is part of the sacred metals. The melt resembles the still existing practice in the villages with Bulgarian-Mohammedans in the Rhodopes to pour the so-called bullet. It is obvious that the cult of the gods, who were worshiped with a ritual, is associated with fertility and means the existence of a developed agricultural practice. Ivan Hristov, who explores the Odrysian kingdom of the Thracians, quotes a passage from Herodotus, where he reports interesting priestly activities related to bread from the time of the Macedonian dynasty. The bread was constantly swollen in the sun, and the royal family was amazed. Because this was happening all the time, she (the queen) told her husband. And when he heard it, he knew that this sign foretold something great. During this time they had to pay off two brothers. Calling his hired servants, he told them to leave his country. They replied that it was fair for them to receive their remuneration and then leave. The king, whom the deity had deprived of reason, hearing of the reward, pointed to the Sun, whose rays penetrated the house through the chimney, and said: „Here is a salary worthy of you, which I give you. The older brothers Gavanés and Aerop were shocked to hear this, and the younger one, who happened to have a knife, said, " We accept, O king, what you give us " , and with his knife he drew a circle on the floor around the sunlight, after scooping it three times from the sun's rays into his bosom and walking away with his brothers. the younger brother took what was given to him ...",<sup>32</sup> The ritual action of the king is performed around the hearth, which is in the cosmic center of the house. Drawing a circle around the hearth is characteristic of the round shapes of the temples of the goddess Hestia. Ovid mentions that the feast of the Vestals Hestia ) is also a holiday of bakers. The Thracian practice of divination during the feast of Hestia did not differ from that of the Edonians / Macedonians. Bread is baked in the temples of Vesta, similar to the ancient Macedonians. The

<sup>30</sup> Стаматов и кол. (2014). Методология за устойчиво производство на еднозърнест лемец в България, Садово. Agro-technological training methodology based on organic farming - Einkorn - Ancient innovation II. Project No 2014-1-BG01-KA202-001570, с.7.

<sup>31</sup> Йорданов, В. (2016). Конят-свещено животно на траките и българите. *Горгони*, 1 (11) с.1-13.

<sup>32</sup> Herodotus VIII, 137-138.

role of the goddess in the royal ideology of the Scythians, Getae and Macedonians is proven by the new research of Heraclea Cynthia, near the town of Petrich, where traces of her cult were found. Hestia or the goddess of fate is mentioned by Diodorus<sup>33</sup>, who reports that it was she who gave the laws of Zalmoxis. The interpretation of the written information leads to the assumption that Hestia patronizes not only the home, but also the respective dynastic home. We understand that the hearth, as well as the processing of wheat to become bread, is an ancient sacred practice associated with the prophecy and ministry of the Sun. And Hestia as a macro and microcosm is a stable metaphor for the socialization of the king through the Great Mother Goddess. Thus, in the case of Chetinyova mound near the town of Hissarya, we have a log (hearth) under the ideal center of the mound. The gifts that have been transferred are bread, and it is to the goddess Hestia. In this case, Hestia legitimizes the construction of the mound. Apart from being spatially coded, it is also coded objectively in order to remain an indestructible trace. The most accurate parallel with the described stone breads is the stone cake from the rock church "St. Petka" near Berintsi district of the town of Trun from Christian times. The church itself was built on an older ancient sanctuary-cave, which, judging by the fragmented building and household pottery discovered on the rocks, functioned in the second half of the first millennium BC and in the Roman era (I-III centuries).<sup>34</sup>

## 6. THE MYSTICAL MESSENGER OF THE SOUL – THE OIL BEARING ROSE

Another mystical mediator in the Thracian-Bulgarian ritual is the oil-bearing rose. As a fragrant flower it was discovered in a fossil 25-30 million years ago. So the cultivation of the oil-bearing rose is difficult to define as time and place, as well as exactly how it was done and by what technology. The first dating of a rose in our lands is from the IX - IV century BC. in the area of Branite, near the town of Svilengrad. Archaeological excavations have revealed traces of human activity in connection with the use of the rose hip (*Rosa canina*). Rose was grown around the world, probably in our country, even earlier, because there is evidence of its cultivation on a large scale during Troy. The flower has been used for wreaths, to flavor delicacies at feasts, for ointments, paws, extracts for drinking with wine or water and more. In his work „Natural History“, Pliny the Elder points out that the most revered roses are those of Prenest and Campania. Some include in these varieties the rose of Miletus, the color of which is very bright red and has a small number of petals. Next in popularity is the Thracian rose, which is thought to bear the name of the Thracians and is less red. The Alabanda rose is also known, which has whitish flowers, but is less valued. According to Tsepio, there is a variety of rose, which is called "Greek". It does not grow anywhere else but in moist soils, has no more than five petals and is odorless. According to the sources, about 20 varieties of roses were grown, both early and late. In the Kazanlak tomb we have proof of its use, because according to us in the tray of gifts prepared for the Great Mother Goddess, there are roses, not pomegranates. The world of Orpheus, in which he lived, was white. The color is not accidental, because the clothes of the priests were white. This is a caste sign of belonging, and the tunics were made of linen.<sup>35</sup> It is believed that the color of the first rose is white. Orpheus welcomed the sun in the morning, and the sunrise was with the face of a rose in his magical poetry. Orpheus lived during the Mycenaean era in the XVth-XVIth centuries BC. According to various authors, the Thracians grew from 12 to 20 different species of the inspiring flower. Pliny the Elder reports that the Thracian (oil-bearing) rose has the strongest odor. In the 5th century BC, Herodotus spoke of this highly fragrant rose grown in Thrace. It was also a symbol of a royal family of the Thracian family, which they placed on the coins, along with the symbol of the double-edged ax with which sacred rituals were performed.

## 7. CONCLUSIONS

1. The Thracian cult is identical with the beliefs of the Bulgarians as far as the veneration of the horse as a sacred animal is concerned. Typological characteristics show shamanic rituals. The horse is the connecting link in connection with the belief in the Mother Goddess, which shows a very ancient chronological layer.
2. Agricultural practices are mythologically based on uniting the sacred products, which are metaphors of birth, including wheat, vine and rose.

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<sup>33</sup> Diodorus (I, 94, 2)

<sup>34</sup>Христов, И. (2010). Храмът на безсмъртните. Проучвания на монументалните паметници в северозападната периферия на Одриското царство към края на V – средата на IV век пр. Хр. с.84-88.

<sup>35</sup> Фол, Ал. (1986). *Тракийският орфизъм*. София: УИ „Кл. Охридски“, с.33-70.

3. Wheat, and bread in particular, is a metaphor for the cosmic center of the home, and the vine of wine and life force.
4. The rose is another symbol of the Mother Goddess and is directly related to the connection with immortality.
5. The existence of a special attitude towards the horse is caused by the belief that it is the solar mediator of the soul in the afterlife. From a genetic study of a large find from the region of the town of Kiten more than 5000 years ago, it is clear that the so-called a Thracian or Akhal-Tekin horse, described by sources as having shiny fur, was domesticated for the first time in the Balkans or almost at the same time in Asia Minor. This shows the existence of a common cultural area in which knowledge about agricultural practices has been exchanged. The Thracians and the Bulgarians carried out the selection of animals, which is proof of advanced civilization in the territory along the Danube at least since the time of Mycenae.

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## Web Uygulamalarının Yabancı Dil Olarak Almanca Derslerinde Kullanımı

Dr. Öğr. Üyesi Selma Akol Göktaş<sup>1</sup>

<sup>1</sup>Trakya Üniversitesi, Eğitim Fakültesi, Yabancı Diller Eğitimi Bölümü, Alman Dili Eğitimi Anabilim Dalı, Edirne/  
Türkiye, selmaakol@trakya.edu.tr, ORCID: 0000-0002-1755-1322

**Özet:** Bulduğumuz çağın adını belirleyen gelişmelerden en büyüğü kuşkusuz ki internettir. Özellikle son yirmi yılda hızla gelişen bilgi ve teknoloji çağında internet kullanımı eğitim, sağlık, günlük yaşam, iş ve ticaret gibi birçok alana da hızla yayılmıştır. “World wide web (www) (dünya çapında ağ)” platformunun keşfedilmesinden sonra, bu ağın sürekli güncellenmesi ve ağ üzerindeki yenilikler devam etmiştir. Yaşamın her alanına etkisi olan bu değişikliklerin oluşmasında özellikle web uygulamaları olan web 1.0, web 2.0, web 3.0 ve web 4.0’ın rolü büyüktür. Her yeni geliştirilen web uygulamasının etkisi bir öncekinden daha da fazla hissedilmektedir. Bu gelişmeler yabancı dil olarak Almanca eğitimini de etkisi altına almıştır. Yüz yüze ve uzaktan eğitimin söz konusu olduğu günümüz şartlarında web uygulamalarının kullanımı dil eğitimindeki önemini de oldukça artırmıştır. Yabancı dil derslerinde kullanılan çoğu web uygulaması web 2.0 araçlarından oluşmaktadır. Bu araçların yabancı dil olarak Almanca derslerinde kullanımının hem sınıf içi etkileşimi artırdığı hem de dil öğrenmede başarıyı artırdığı düşünülmektedir. Araştırma nitel bir çalışma olmakla birlikte tarama modeline göre yapılmış ve elde edilen veriler doküman analizi yöntemiyle incelenmiştir. Bu kapsamda çalışmada yabancı dil olarak Almanca derslerinde etkili bir şekilde kullanılabilir web 2.0 uygulaması olduğu düşünülen “Storybird, Duolingo ve Voki”nin incelemesi yapılmıştır. Böylece yüz yüze ve uzaktan yabancı dil olarak Almanca eğitiminde web uygulamalarının yaygın olarak kullanılmasının dil derslerini zenginleştireceği ve dil öğretimi kolaylaştıracağı sonucuna varılmıştır.

**Anahtar Kelimeler:** Web Uygulamaları, Storybird, Duolingo, Voki, İnternet, Yabancı Dil Olarak Almanca Eğitimi

### 1. GİRİŞ

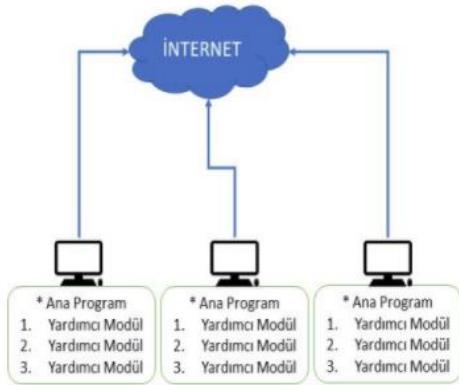
İçinde bulunduğumuz bugünün şartlarında ülkelerarası iletişim ve bilgi alışverişinde artış olmuştur. İletişim ve bilgi alışverişindeki artışlar teknolojideki gelişmeler sayesinde hızla ilerlemiştir. Bu gelişmelere hayatın her alanında ayak uydurmak, yakından takip etmek neredeyse imkânsız hale gelmiştir. “Bilgi ve iletişim teknolojilerinde yaşanan bu hızlı gelişmeler ve değişimler hayatımızın her alanına yönelik çeşitli fırsatlar sunarak bu değişime bireyler bazında kitleleri de dâhil ederek hayatımızı kolaylaştırmaktadır. Bu değişimin en net şekilde yaşandığı alanlardan bir tanesi de şüphesiz eğitim alanıdır. Gelişerek değişen bilgi ve iletişim teknolojileri, sınıf ya da birey düzeyinde yenilikçi, ilgi çekici ve etkili öğrenme yöntemleri uygulayabilmeyi, eğitim sistemi düzeyinde ise çeşitli gelişmelere imkân vermektedir (Üstün vd. 2020)” (Üstün 2021: 179). Anlamli bu değişimler yabancı dil derslerini de etkisi altına almıştır. Buda teknolojiden faydalanarak daha hızlı ve daha doğru dil öğrenmeyi, daha doğrusu öğrenilen dilin sadece kitapta kalmaması için farklı yöntemlerin kullanılmasını sağlamıştır. Dili aktif olarak kullanabilmek için teknolojinin sağladığı yeniliklerden faydalanılmaya başlanmıştır. Kısaca hızla gelişen ve gelişmeye devam eden teknoloji eğitim-öğretim sürecinde yöntem bakımından kullanılacak seçenekleri artırmaktadır. Bu seçeneklerden en büyüğü web uygulamalarında olan gelişmelerdir. “Teknolojinin birçok alanda olduğu gibi eğitim alanında da rutin olarak kullanılmasıyla, öğretmenler ve öğrenciler eğitim ve öğretimde yararlı olabilecek birçok dijital materyal kullanabilme imkânına kavuşmuşlardır (Kessler and Hubbard, 2017). Ancak söz konusu araçların etkili bir şekilde kullanımından yararlanabilmek için önemli ölçüde bir planlama gereklidir (Winke and Goertler, 2008)” (aktaran yazar Korucu ve Kabak 2020: 92). Bu bağlamda öğretmenlerin, bu yeni dijital materyallerin kullanımıyla ilgili bilgi sahibi olması da büyük önem taşımaktadır.

Yabancı dil öğretiminde sırasıyla ders kitapları gibi basılı kaynaklardan, teknolojinin gelişmesi ve yeni dil öğretim araçlarının bulunmasıyla internet, mobil uygulamalar ve son olarak web uygulamaları eğitimde önemli bir yer almaya başlamıştır. Daha önce basılı kaynak olarak bulunan bu ders kitaplarına CDROM’lar, kaset veya videokasetler eşlik ederken, zamanla interaktif uygulamalar eklenmiştir. Bu interaktif uygulama ortamına hem öğrenciler hem öğretmenler kolayca ulaşabilmekte ve faydalanmaktadır. İnternet ortamında çeşitli dil öğrenme uygulamalarına dil öğrenmek isteyen herkes ulaşabilmektedir. Bu değişim 20. yüzyılın ortalarından itibaren teknolojinin etkisiyle derslerde görsel-ışitsel araçlara yer verilmesiyle dil öğretim yöntemlerinde de yenilikler getirmiştir (bkz. Demirdöven vd. 2019: 455). Teknolojideki bu gelişmelerle birlikte 2019 yılının sonlarına doğru Çin’in Hubei eyaletinde bulunan Wuhan kentinde ilk defa ortaya çıkan ve bütün dünyayı etkisi altına COVID 19 pandemisiyle uzaktan eğitim önem kazanmıştır. Uzaktan eğitim sürecinde yine uzaktan eğitimi sağlayan programların ve araçların kullanılmasıyla teknoloji ön plana çıkmıştır. Pandemi öncesinde yüz yüze eğitimde kullanılan bilgisayar, tablet, telefon gibi teknolojik araçların yanı sıra çevrimiçi eğitimi sağlayan programların ve internetin önemi daha da artmıştır. Bu süreçte gerek öğretmenler gerekse öğrencilerin teknoloji okur-yazarlığının

da eğitimde önemli bir faktör olduğu ortaya çıkmıştır. Pandemi sürecinde kullanılan platformlar ve programlar hem öğretmenlerin hem de öğrencilerin teknoloji becerilerinin gelişmesini sağlamıştır (bkz. Sarı ve Nayır: 2020). Pandemi 2019'da olduğundan etkisini azaltsa da, uzaktan eğitim ve yüz yüze eğitim hibrit bir modelde eğitimin bütün kademelerinde devam etmektedir ve uzun yıllar bu şekilde devam edeceği düşünülmektedir. Bu yüzden yabancı dil derslerinde öğrencilerin aktif katılımını sağlamak, onların ilgisi çekmek, dört temel dil becerilerini geliştirebilmek için web uygulamalarının kullanımı da önemli bir yer tutar.

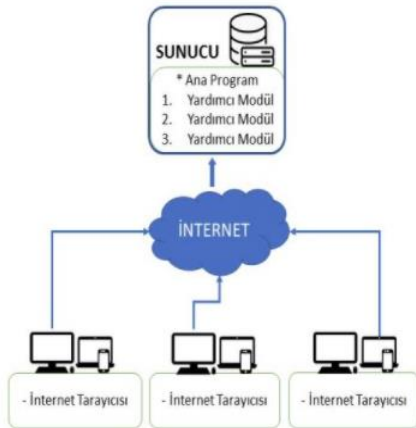
Web uygulaması kavramı genel anlamı ile internet aracılığıyla ulaşılabilen programlar olarak tanımlanabilir. Herhangi bir amaç için hazırlanmış bilgisayar programlarından farkı web uygulamalarının bilgisayarlara yüklenmesine gerek yoktur. İnternet ve sunucular aracılığıyla istenilen uygulamaya kolayca ulaşılabilmektedir. Klasik bilgisayar programlarına göre kullanması daha pratik ve daha hızlıdır. Görsel 1 ve Görsel 2 geleneksel uygulamalar ve web uygulamaları arasındaki farkı göstermektedir:

Görsel 1: Geleneksel Uygulamalar (Bilgisayar Programları)<sup>1</sup>



Görsel 1 incelendiğinde geleneksel uygulamaları kullanabilmek için öncelikle gerekli programları bilgisayara yüklemek gerektiği anlaşılmaktadır. Bu uygulamaları kullanabilmek için kullanıcıların bu programların yüklenmesine izin veren bilgisayarlara ihtiyaçları vardır. Bu programlar genelde ücretli programlardır.

Görsel 2: Web Uygulamaları (Online Servisler)<sup>2</sup>



Görsel 2 incelendiğinde ise geleneksel uygulamaların tersine web uygulamalarını kullanabilmek için herhangi bir programı yüklemeye gerek yoktur. İnternet aracılığı ile sunucu gerekli olan programı tüm kullanıcılara sunmaktadır. Bilgisayar yanında tablet ve telefon gibi teknolojik araçlarla zaman ve mekân sınırlaması olmadan kullanıcılar kolaylıkla erişebilmektedir. Bu da web uygulamalarının kullanımını kolaylaştırmaktadır.

<sup>1</sup> <https://stratejibilisim.com.tr/web-uygulamasi-nedir/> 07.03.2022 tarihinde erişim sağlanmıştır.

<sup>2</sup> <https://stratejibilisim.com.tr/web-uygulamasi-nedir/> 07.03.2022 tarihinde erişim sağlanmıştır.

İlk web'in keşfedilmesiyle zamanla web siteleri geliştirilmiştir. Her gelişen web ortamına sırasıyla web 1.0, web 2.0, web 3.0 ve web 4.0 isimleri verilmiştir. Web 1.0 internetin ilk keşfedildiği zamanlardaki uygulamaları gösterir ve tek yönlü bir iletişim vardır. Yani kullanıcı içerikleri sadece dinleyip izleyebilmektedir. Web 2.0 ise kullanıcılar ve web uygulamaları ile etkileşimin sağlandığı, sosyal medyaların hayatımıza girdiği ve dil eğitiminde kullanılan çoğu web uygulamasının oluşturduğu teknolojik bir devrimdir. Web 3.0 artık yapay zekanın söz konusu olduğu uygulamalardan oluşan bir teknolojik gelişmedir. Web 4.0 ile ise artık bu internet ve uygulamalar aracılığıyla yapay zekayı günlük hayatımıza entegre etmeyi amaçlayan, insanların bütün günlük yaşamlarında robotların söz konusu olduğu teknolojik gelişmeleri içermektedir. Bu çalışmada daha çok dil öğretiminde kullanılan, dil öğretimi ve öğrenme için geliştirilen uygulamaları kapsayan web 2.0 uygulamaları ele alınacaktır. "Sağladığı avantajlar nedeniyle web 2.0 araçları eğitim öğretim sürecinde hem öğretmenler hem de öğrenciler için zengin ortamlar sağlamaktadır. Web 2.0 araçlarının sağladığı yararlar göz önüne alındığında, dil öğrenmek ve öğretmek için uygun fırsatlar yarattığı söylenebilir." (Yaşar-Sağlık ve Yıldız 2021: 421). Web 2.0'ın sağladığı uygulamalar "ağ günlükleri (Blogs), Vikiler (Wikis), oynatıcı ile video yayın abonelikleri (podcast and videocasts), sosyal ağlar (social networks), resim ve video paylaşımı (photo and video sharing), etiketleme (tagging), karma (bütünleşik) Web siteleri" (Genç 2010: 238) olarak sıralanabilir. Web 2.0 teknolojileri her türlü bilgi paylaşımının yapılabildiği, bireyler arası sosyal etkileşimlerin dijital platformlarda yer bulduğu ve yine ortaklaşa çalışmaların desteklendiği özelliklere sahip olmasıyla eğitim alanında da yerini almıştır (bkz. Kaynar: 2019). Web 2.0 uygulamalarının hem öğrenme hem de öğretme süreçlerine dahil edilmesinin hem öğrencilere hem de öğretmenlere olumlu yönde bir çok etkisi olduğu söylenebilir. Öğrenciler öğrenme süreci içine dahil edilmesiyle birbirleriyle daha fazla etkileşime girer ve görsel-ışitsel açıdan eğitim sürecinde desteklenir. Böylece öğrencilerin yabancı dili öğrenmeye karşı motivasyonları da artar. Bu uygulamalara öğretmenler açısından bakıldığında ise bu uygulamalar onlara zengin ve güncel içerikler sunar, dersini sıkıcı olmaktan kurtarır, etkili bir öğrenme ortamı sunar ve öğrenciler ile olan iletişimini kolaylaştırır.

### 1.1. Çalışmanın Amacı

Almanca öğretiminde ve öğrenmede faydalanılabilecek, öğrenciler arası etkileşimi artıracak ve dört temel dil becerisini destekleyecek web uygulamalarının incelemesini yapmak çalışmanın amacını oluşturmaktadır. Bu amaç doğrultusunda aşağıdaki şu sorulara yanıt aranmıştır:

- Yabancı dil olarak Almanca öğretiminde ve öğrenmede kullanılabilecek en etkili üç web 2.0 araçları hangisidir?
- Bu web uygulamalarından Almanca dil becerilerinin geliştirilmesinde nasıl faydalanılabilir?

### 1.2. Çalışmanın Önemi

Yüz yüze ve uzaktan yabancı dil olarak Almanca eğitiminde web uygulamalarının yaygın olarak kullanılması eğitimin kalitesini artıracak olduğu düşünülmektedir. Ayrıca öğrenciler kendileri de dil öğrenmede bu uygulamalardan faydalanabilirler. Bununla birlikte yabancı dil dersleri için uygun olan web araçlarının incelenmesi, hangi şekillerde kullanılabileceği ile ilgili araştırmalar yapılmasının hem bu dersler için faydalı olacağı hem de bu uygulamaların daha yaygın kullanılmasına katkıda bulunacağı düşünülmektedir.

## 2. YÖNTEM

Bu çalışma nitel bir çalışma olmakla birlikte tarama modeline göre yapılmıştır. Konuyla ilgili literatür taraması yapılmıştır. Yabancı dil olarak Almanca derslerinde kullanılabilecek güncel web uygulamaları ile ilgili yapılmış alan çalışmaları tarandıktan sonra, detaylı incelemesi yapılacak olan üç adet web 2.0 aracı belirlenmiştir. İlgili literatür taramasından elde edilen veriler doküman analizi yoluyla incelenmiştir. Mogalakwe'ye (2006) göre doküman analizi araştırmanın yöntemine bağlı kalmak şartıyla sosyal bilimlerde kullanılabilecek güvenilir bir araştırma yöntemi olarak kabul edilmektedir. Kıral (2020) doküman analizinin Türkçe olarak "belge incelemesi" olduğu, fakat alan yazınında ise doküman analizi teriminin tercih edildiğinden bahsetmektedir. "Belgesel tarama olarak da bilinen doküman analizinde, var olan kayıt ve belgeler incelenerek veri elde edilmektedir. Doküman analizi, belli bir amaca dönük olarak kaynakları bulma, okuma, not alma ve değerlendirme işlemlerini kapsamaktadır (Karasar, 2005)" (Sak vd. 2021: 230). İnternet ortamında veya basılı halde bulunan konu ile ilgili kaynakların incelenmesi, çalışma için gerekli olan bilgilerin alınması ve kategoriler halinde sıralanması yoluyla doküman analizi yapılır. "Araştırma kapsamında incelenen konuyla ilgili olgu ve olaylar hakkında bilgi içeren yazılı belgelerin analiz edilmesiyle veri sağlanmasına doküman incelemesi denilmektedir." (Karataş 2015: 72). Bu yöntem sayesinde araştırmacı zaman ve kaynak tasarrufu da sağlamış olur. Bu amaçla öncelikle web uygulamaları

ve yabancı dil olarak Almanca derslerinde kullanılabilecek web uygulamaları ile ilgili yapılmış alan yazın çalışmalarının taraması yapılmıştır. Daha sonra çalışmaya uygun çalışmaların seçilmesiyle doküman analizi yapılmıştır.

### 3. BULGULAR

Yapılan alan yazın incelemesi ve doküman analizi sonucunda hem yabancı dil olarak Almanca derslerinde kullanılabilecek hem de öğrencilerin dört temel dil becerilerini geliştirmesine katkı sağlayacağı düşünülen bir çok web 2.0 uygulaması olduğu anlaşılmıştır. Bunlar şu şekilde sıralanabilir: Thematic, Storybird, Storyboardthat, Canva, Kahoot, Pixton, Duolingo, Voki, Quizlet, Padlet, Vocaroo ve Memrise'dir. Yabancı dil derslerinde farklı amaçlarla kullanılabilen ve derslere uyarlanabilen bu web uygulamaları içerisinde öğrencilerin Almanca öğrenme motivasyonlarını olumlu yönde etkileyecek ve dört temel dil becerilerini olumlu yönde geliştirecek üç web 2.0 aracının "Storybird, Duolingo ve Voki" olduğu sonucuna varılmıştır.

#### 3.1. Storybird

Storybird web aracı dijital yaratıcı hikaye üretmek için oluşturulmuş bir web 2.0 uygulamasıdır. Yabancı dil derslerinde kullanılabileceği gibi görseller içerdiği için her yaş grubuna uygun kullanılabilir. Öğrencilerin kendilerinin hikâyeler, şiirler ve masallar oluşturmasına imkân sağladığı için, bir yandan yaratıcılıklarını geliştirirken bir yandan da yazma becerisi, hayal gücü ve problem çözme gibi becerileri de geliştirmektedir. Yabancı dil olarak Almanca dersleri düşünüldüğünde öğrencilerin yazma ve okuma becerilerini geliştirmesi ve olumlu yönde katkı sağlama açısından kullanışlı bir web uygulaması olduğu söylenebilir. Farklı görseller sunan uygulama öğrencilerin kendi seçtikleri bu görselleri tamamlayarak yeni bir hikâye oluşturmalarını sağlar (bkz. Aras 2016: 901). Bununla birlikte Storybird uygulamasını kullanmaya başlamadan önce kayıt olmak gerekmektedir. Tamamen ücretsiz bir uygulama olmaması, belli sınırlılıklarda ücretsiz kullanım sağlama olumsuz yönlerinden biri olarak kabul edilebilir.

Bu uygulama ile öğrenciler kendi başlarına uygulama içi etkinlikleri yaparken, öğretmenler de daha sonra sınıf oluşturarak ve öğrencilerini bu sınıfa ekleyerek öğrencilerin yaptığı ödevleri ve etkinlikleri kontrol edebilmektedir. Diğer çoğu uygulama gibi bilgisayar yanında tablet ve telefonlardan da kullanım kolaylığı sunmaktadır (bkz. Sarıtepeci 2018: 31). "Uygulama, öğrencileri sitede yer alan Almanca kitap veya öyküleri okumaya teşvik etmenin yanı sıra, onları Almanca yazmaya ve üretmeye de yönlendiren eğitici bir uygulamadır. Bu uygulamanın öğretmenler tarafından öğrencilere tanıtılarak, hem sınıf içinde okuma hem de sınıf dışında Almanca yazma ve okuma becerilerinin geliştirilmesi amacıyla kullanılması yararlı olacaktır" (Yalçın 2020:348). Bir diğer olumlu yanı ise öğrencilerin ebeveynlerine de öğrencilerin yaptıkları etkinlikleri takip edebilmeleri için fırsat sunmasıdır.

#### Görsel 3. Storybird Web Uygulaması Giriş Ekranı<sup>3</sup>



Görsel 3'de Storybird web uygulamasına giriş ekranı görülmektedir. Bu uygulamaya kaydolmuş bir öğrenci kendi sayfasına girerken, bunun yanında eklendiği bir sınıf etkinliğine de katılabilir. Arayüzü İngilizce dilinde olan uygulamanın "read" kısmından giriş yaparak öğrencilerin istediği bir hikâyeyi veya masalı okumalarına olanak sağlar. "Write" kısmından ise öğrenciler kendi öykülerini oluşturabilir. Bu uygulama ile yabancı dil olarak Almanca derslerinde öğrencilerin dört temel dil becerilerinden ikisi olan yazma ve okuma becerilerini geliştirmeye yönelik faydalanılabileceği bir uygulama olduğu anlaşılmaktadır.

#### 3.2. Duolingo

Duolingo 2011 yılında Luis von Ahn ve Severin Hacker tarafından geliştirilmiş bir web uygulamasıdır. 23 farklı dilde eğitim veren bu uygulama günlük konuşma dili, kelime bilgisini geliştirme, ifade kalıplarını öğrenme gibi konularda yabancı dil öğrenme amaçlarını benimseyen bir web uygulamasıdır. Diğer uygulamalar gibi tablet ve

<sup>3</sup> <https://storybird.com/> 07.03.2022 tarihinde erişim sağlanmıştır.

ya mobil uygulama olarak da kolay erişim sağlanır. GörSEL 4 Duolingo web uygulamasına giriş ekranını göstermektedir. Uygulamayı kullanabilmek için öncelikle kayıt olarak giriş yapmak gereklidir.

#### GörSEL 4. Duolingo Web Uygulaması Giriş Ekranı4



GörSEL 4'ten de anlaşılacağı üzere Storybird uygulamasının tersine arayüz kullanımında Almanca dil seçeneği de bulunur. Bu seçenek bu uygulamanın olumlu yönlerinden biri olarak kabul edilebilir. Çünkü öğrenciler Almanca dilinde arayüzü kullanırken farklı kelimeleri ve kavramları da öğrenebilirler. 2011 yılında internet sayfalarını tercüme etmek için, yine internet sayfası formatıyla tasarlanmış olan Duolingo, sonraları hem çevrimiçi, hem de Apple ve Google mağazalarında yabancı dil öğrenmek için başvurulmuş uygulamalardan birisi olmuştur. Renkli, eğlenceli, ilgi çekici ve kolay kullanımı olan uygulamanın birçok dil seçeneği mevcuttur (bkz. Kuşçu, 2019). Uygulamaya giriş yaptıktan sonra farklı seviyelerde alıştırmaya yapma seçenekleri sunar. Her bir görevi tamamladıkça farklı seviyelerde yeni görevleri tamamlamak gerekir. “Almanca öğreniminde de eğitim sunan Duolingo, öğreticiliğinin yanında eğlenceli bir platformdur. Bir mobil oyun gibi işlev gören uygulamada, gramer ve kelimeleri öğrendikçe rozet kazanıp yeni seviyelere ulaşmak mümkündür. Almanca öğretmenleri sınıfta anlatılan konuların pekiştirilmesi ve geliştirilmesi için öğrencilere bu uygulamayı tanıtip önerebilirler” (Yalçın 2020: 353). Duolingo'nun belirli sınırlılıkları da bulunmaktadır. Wesolowska Duolingo ile sözcük dağarcığının geliştirilebileceği fakat bu sözcük dağarcığını pekiştirmek için yeni bağlamlarda cümle oluşturmak için alıştırmaların olmadığını ifade etmektedir. Öğrenilen kelime dağarcığının yeni bir metin üretmek için sınırlı kaldığını, ancak sınırlı olarak bir metin üretmeye olanak verdiğini belirtir. Buda öğrencilerde yeni bir dil öğrenme bakımından heveslerinin hızlı bir şekilde kaybolmasına neden olabileceğini, bunun için yeni teknik gelişmelerin eklenmesi gerektiğini söyler (bkz. Wesolowska 2019: 196). Bunun yanında yine Storybird uygulaması gibi daha fazla özelliğini kullanabilmek için ücretli üyelik gereklidir. Bunlar bu uygulamanın olumsuz özellikleri olarak değerlendirilebilir.

### 3.3. Voki

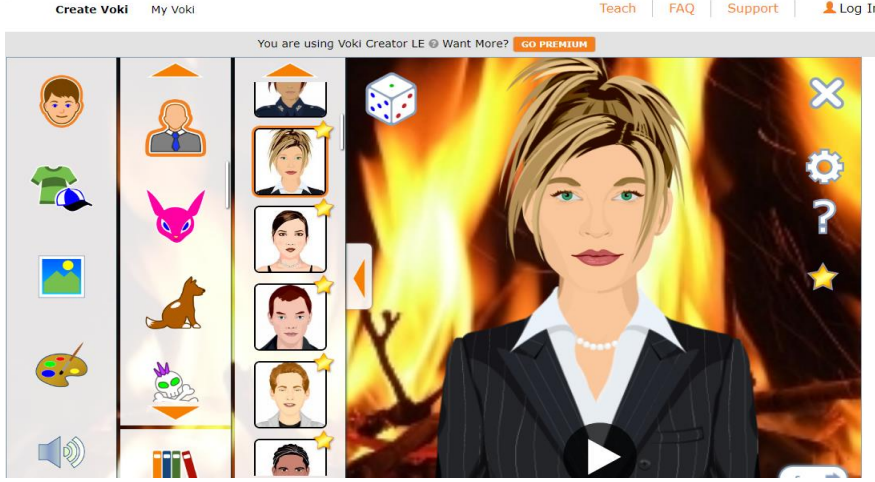
Voki web 2.0 uygulaması çevrimiçi olarak avatar olarak adlandırılan çeşitli karakterler oluşturmaya imkân sağlayan ve bu karakterlerin oluşturulan metinleri seslendirmesine olanak sağlayan bir uygulamadır. Voki daha çok yabancı dil derslerinde konuşma becerilerini geliştirmeye yönelik kullanılabilir bir uygulamadır. Bu herkesin kendi tercihiyle oluşturulan karakterler farklı dillerde kadın ve erkek sesiyle yazılmış metinleri seslendirme imkânı sağlar. Bununla birlikte bir dilin aksanlarıyla da seslendirme olanağı sunması olumlu yönlerinden biri olarak kabul edilebilir. Voki uygulaması sadece yazılan metinleri değil, konuşulan metinleri de seslendirme olanağı sağlamaktadır. İnal ve Arslanbaş (2021: 233) Voki uygulamasının dinleme ve konuşma becerisini geliştirmede kullanılabilirliğini ifade eder. “Voki, yabancı dilde konuşma korkusunu yenmek veya azaltmak için kullanılabilir öğretici bir web aracıdır. Derste öğrencilerin dikkatini çekmek için veya ders dışı sistem üzerinden ödevler verilerek öğrencilerin konuşma becerilerini geliştirmek için kullanılması yararlı olacak bir uygulamadır (Yalçın 2020: 351). Öğrencilerin en çok çekindiği derslerden olan konuşma derslerinde bu uygulamanın kullanılması hem öğretmenlerin derslerin akıcılığını sağlayacak hem de öğrencilerin korkularını yenersek derse katılım sağlamaları konusunda onları cesaretlendirebilecek bir uygulamadır. Öğrencilerin konuşma

<sup>4</sup> <https://www.duolingo.com/> 07.03.2022 tarihinde erişim sağlamıştır.



becerileri yanında Almanca dilini öğrenirken doğru telaffuz kullanımı da öğrenmelerine ve duyduğunu anlama becerisini geliştirmelerine fayda sağlayacaktır. Görsel 5 Voki web uygulamasına giriş ekranını göstermektedir:

Görsel 5. Voki Web Uygulaması Giriş Ekranı<sup>5</sup>



Görsel 5 incelendiğinde bu uygulamada bulunan bir avatarı ve bu avatarın görünümünü değiştirebilmek için seçeneklerin olduğu görülmektedir. Yine diğer uygulamalar gibi Voki uygulamasını kullanabilmek için öncelikle kayıt olmak gerekir. Storybird ve Duolingo gibi belli sınırlılıklarda uygulamayı ücretsiz kullanma imkânı sunmaktadır, daha fazla özelliğini kullanabilmek için aylık belli bir ücret ödenmesi gerekmektedir. Bu yine bu uygulamanın olumsuz bir yönü olarak kabul edilebilir (bkz. Yalçın 2020: 351). Öğrenciler kendi oluşturduğu avatarını paylaşabilir. Öğrencilerin evde de konuşma becerisine yönelik alıştırmaya yapma imkânı sunan ve yabancı dil olarak Almanca konuşma derslerinde ve duyduğunu anlama becerisi için kullanılacak faydalı bir uygulamadır. Öğretmenler derslerde farklı konularda avatarları konuşturarak aynı alıştırmayı öğrencilerin tekrarlaması yoluyla bu uygulamayı derslerinde kullanabilirler.

#### 4. SONUÇ

Yapılan alan taraması ve doküman analizi sonucunda yabancı dil olarak Almanca derslerinde kullanılacak Thematic, Storybird, Storyboardthat, Canva, Kahoot, Pixton, Duolingo, Voki, Quizlet, Padlet, Vocaroo ve Memrise gibi birçok web uygulaması bulunduğu tespit edilmiştir. Ancak bu web uygulamalarının dil derslerinde kullanımıyla ilgili daha çok yabancı dil olarak İngilizce ve Türkçe dersleri için kullanım örnekleriyle ilgili yapılmış çalışmalar bulunmaktadır. Yapılan alan taramasından elde edilen sonuçlara göre web uygulamalarının yabancı dil derslerinde kullanımı ve bilinirliği de henüz yaygın değildir. Bu amaçla bu çalışmanın alana bu tür web uygulamalarının kullanımı doğrultusunda yararlı olacağı düşünülmektedir.

Bu çalışmada web 2.0 uygulamalarından “Storybird, Duolingo ve Voki” web araçlarının incelemesi yapılmıştır. Bu çalışma yabancı dil olarak Almanca derslerine uygun olan daha fazla web uygulamasının incelenmesi için örnek teşkil etmektedir. Yapılan incelemeler ile Storybird uygulamasının yabancı dilde yazma ve okuma becerilerini geliştirmek için, Duolingo uygulamasının kelime bilgisi ve dil bilgisi kalıplarını öğrenmek ve son olarak Voki uygulamasının ise konuşma ve duyduğunu anlama becerilerini geliştirmek için uygun olduğu sonucuna varılmıştır. Storybird gibi web uygulamaları öğrencilerin yaratıcı yazma becerileri ve okuma becerilerini geliştirmek için yabancı dil olarak Almanca derslerinde kullanılabilir, bu tür uygulamalar öğrencilerin yabancı dilde okuma ve yazma isteklerini artırır. Duolingo ve benzeri web uygulamaları yine öğrencilerin dili öğrenebilmek için gerekli olan kelime bilgisini ve dil bilgisi yapılarını hem öğrenmek için hem de derslerde verimliliği artırmak için kullanılabilir. Yine yabancı dil olarak Almanca derslerinde öğrencilerin en çok zorlandığı ve öğrenmekte en çok sıkıntı çektikleri dört dil becerisinden biri olan konuşma ve duyduğunu anlama becerisini geliştirmek için Voki ve Voki gibi benzer uygulamalar yabancı dil derslerinde kullanılabilir. Bu tür uygulamalar bir yandan dersleri verimli hale getirirken bir yandan da derslerin daha eğlenceli geçmesini sağlar.

Web uygulamaları dersin amacına ve içeriğine uygun kullanıldığı sürece etkilidir. Bu uygulamaların yabancı dil olarak Almanca eğitiminde kullanılması sınıf ortamında öğrencilerin birbiriyle olan etkileşimini artırarak, dil

<sup>5</sup> <https://www.voki.com/site/create> 07.03.2022 tarihinde erişim sağlanmıştır.

öğrenmeye olan isteklerini de artırır. Farklı öğrenme özelliklerine sahip öğrencilerin ilgilerini çekerek sınıf içi yapılan etkinliklere katılmasını olumlu yönde etkiler. Öğretmenlere her açıdan özgürlük tanır. Sadece ders kitabına bağlı kalma, konu seçimi, zaman, mekân gibi sınırlamalara bağlı kalmaktan kurtarır.

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## The appearance of international trade in the global Economy

Emanuela Esmerova, PhD<sup>1</sup>

<sup>1</sup>Associate professor, MIT University, Republic of Northern Macedonia- Skopje,  
email:emaesmerova@yahoo.com

**Abstract:** International trade appeared a long time ago as a result of business practices and, because it had marginal meaning in the business life of the then communities, it didn't present a specific interest for study. But when production developed to a higher level, when goods were produced daily, trade became an everyday business activity, not just in one country but between others as well. As a result of this a variety of economic theorists showed interest in the answers of questions that up until then hadn't been thought about. This interest appeared because of the appearance of differences between internal and external sale.

**Key words:** international/external trade, national economies, circular distribution of goods, economic relationships/actions and balanced growth and development.

### Introduction

Therefore, it would have been very interesting to study this activity, to find out why additional problems occur during circular distribution of goods between countries and to find out the driving reasons that drive the countries to increase international trade, despite all the problems.

The intensifying of trade appears with the growth of craftsmanship towards the end of feudalism, when the local market gained a wider character, meanwhile trade in the real sense of the word started with the production of goods. This type of production the whole amount of goods produced is meant for the market and then conditions for the appearance of international economic relationships are created, like the constant economic/governmental category. The then society's relations economic relations.

This wasn't the case for previous society's formations, because for them the societal, economic, cultural, political and other relations were mixed as one whole. In the production of goods, the societal division of labor is achieved with trade of goods, with which one can have influence over the process of reproduction of both economies which take part in the trade.

### 1. Global International Trade

Not all national economies traversed in the same time from natural to commodity production, and because of this not all countries joined the international market at the same time but rather step by step, in a process that went on for decades and centuries, in the way that the conditions for production of goods in some national economies were fulfilled. The primary accumulation in England is counted as the initial phase of production of goods, and then other European countries joined step by step.

When the majority of European countries joined the market, a few conditions for the international market were formed, which destroys the old pre-capitalistic ways of production, and not just in the developed economies but in the lesser developed economies as well. Further progress was made with the appearance of industrial production, when the economic international relations gained a different meaning and function.

Trade capital becomes very important in the circular distribution of goods, and that function enables the intensifying and growing of production, (i.e. to produce cheaper, at a higher quality and with more competition prices.)<sup>1</sup> In the age of imperialism the distribution of goods became more and more important, the growth of the railway and other types of transport, which enable permanent contact between the markets.<sup>2</sup> Goods are always in motion and a world market made up of cheap, finished products from the developed countries as well as cheap materials from the less developed countries, is formed.

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<sup>1</sup> A G.Kenwood and A.L.Laougheed, "Grow on International economy" 1820-2000, p. 62

<sup>2</sup> A G.Kenwood and A.L.Laougheed, "Grow on International economy" 1820-2000, p. 62

The role of the transfer of technologies and sciences in the post industrial period, is highlighted. These technologies and sciences are the main driving force behind the growth of industrial strengths in society and the changes in societal relations.

This historical growth divides the national economies into two main groups

- Countries that developed quickly;
- Countries that were late in developing.

The imbalances in the growth of international economies started to cause recessions, crises, and even world wars, because they couldn't defend their interests any other way. A main characteristic of developed economies is that they have a developed divide for the division of labor and a developed industrial structure, while the less developed countries realise their growth according to natural causes and the wishes of countries that developed earlier and that leads to an even greater gap between rich and poor countries.<sup>3</sup> This unfavorable situation is a global problem and through different international organizations and institutions, there is an attempt to close the gap between these 2 types of countries. But because nobody wants to let go of their privileges that they gained in the process of equalizing of national economies, it is a slow process.

Different degrees of development of countries reflects on the trade of goods, which means that the still developing countries are in a more unfavourable position for trade.<sup>4</sup> Because of this the investigations that occur in international trade are very important.

International trade investigates the different economic characteristics of the outside trade politics. while the international economic relations study the whole societal-economic relations, the rules of interventionism. The economy of foreign trade and the policies and practices of the national economy in the spheres of the most comprehensive test division of labor, ie. the most inclusive in that division, the internal conditions for favorable inclusion, problems and consequences. The historical experiences confirm that the inclusion of one country in the global economic division of labor directly depends on the level of development of that country. From this we can deduce that one underdeveloped country cannot be included intensively in the global economic division of labor, just like on very economically developed country be marginally included in this process. The same logic is used in the international trade of goods and services.

## 2. Regional distribution of world trade 1876-1913 (%)

The less developed countries are less involved in international trade and they export products with a lower given price. The previous is shown by the data shown in tb.5

Table 1. Regional distribution of world trade 1876-1913 (%)

Regions	1876-1880		Total trade	1913		Total trade
	Export	Import		Export	Import	
Europe	64.2	69.6	66.9	58.9	65.1	62
North America	11.7	7.4	9.5	14.8	11.5	13.2
Latin America	6.2	4.6	5.4	8.3	7	7.6
Asia	12.4	13.4	12.9	11.8	10.4	11.1
Africa	2.2	1.5	1.9	3.7	3.6	3.7
Oceania	3.3	3.5	3.4	2.5	2.4	2.4
World	100	100	100	100	100	100

Source: P, Lamatrine Yates, Fortyyears of Foreign Trade ( London, 1959) Tables, str.32-3; notes: 1 Including Russia.2 Central and South America, including all colonial territories in the Western hemisphere

<sup>3</sup> Overbeek, Johannes, The Modern World, Theories and Policies, University Press of America,1993year, p.5

<sup>4</sup> A G.Kenwood and A.L.Laougheed, "Grow on International economy" 1820-2000, p. 63

From 1876 to 1915 Europe was the world leader for world trade, where a large part of the most developed economies resided, and Africa and Oceania had the least influence because of their slow growth. The difference between Europe and North America (number 2 in world trade) was huge. Europe had at least five times N.America's influence which shows their economic power compared to the rest of the continents.

Table 2. Trade of primary goods :regional influence 1886-1913 (in %)

Regions	1876-1880		1896-1990		1913	
	Import	Export	Import	Export	Import	Export
Great Britain and Ireland	29.7	3.1	25.8	3.9	19.0	6.2
Northwest Europe	39.3	22.6	45.0	27.6	43.1	25.2
Rest of Europe	11.2	20.2	10.4	18.1	12.3	14.7
USA and Canada	7.2	16.1	8.5	18.7	11.3	17.3
Rest of world	12.6	38.0	10.3	31.7	14.3	36.6
World	100	100	100	100	100	100

Source: P. Lamartime Yates, Forty years of Foreign Trade (London, 1959), Table 9.21, 9.23 and 9.25, p.47-51

One interesting thing to note is the analysis of trade in groups of products between 1876 and 1913, which further shows the economic power of Europe, Great Britain and Ireland, as the most developed economies in that period, together with the countries of Northwest Europe, which had more than 60% of total exports of primary goods and more than 70% of the total export of industrial products. This clearly shows that the countries outside of Europe served as a well of raw materials and primary goods for the Europeans, which developed their economies and more and more withdrew from the rest of the world in an economic sense.

Table 3. Trade of industrial goods: regional influence 1876-1913 (in%)

Regions	1876-1880		1896-1990		1913	
	Import	Export	Import	Export	Import	Export
Great Britain and Ireland	9.1	37.8	10.4	31.5	8.2	25.3
Northwest Europe	18.1	47.1	20.3	45.8	24.4	47.9
Rest of Europe	13.3	9.2	12.2	10.3	15.4	8.3
USA and Canada	7.7	4.4	9.6	7.4	12.1	10.6
Rest of world	51.8	1.5	47.5	5.0	39.9	7.9
World	100	100	100	100	100	100

Source: P. Lamartime Yates, Forty years of Foreign Trade (London, 1959), Table 3

The dominant aim of Great Britain in international trade is reflected in the conditions for trade. Britain dictated liberalisation of international trade, which wasn't accepted by all Western European countries, meanwhile because of Britain's influence in total exports and imports, the largest part of the trade of industrial goods from 1876 to 1913 were achieved on a liberal base.

### 3. Trade politics in XIX cent.

The trade politics of one country are determined by the nature of its trade relations with the rest of the world. That's way its very important to investigate the politics of XIX cent. before looking towards the flows of trade, which together with the movement of labour and capital, connect the countries on an international level. Despite the fact that protectionism was well spread out before 1850 and revived again in 1880, in the middle period there existed a general reduction of the trade limitations. The movement for free trade occurred on two levels.<sup>5</sup> On a national level, which contained the economic uniting of some national countries, which later had a prominent factor in the international economic relations. On a international level, this contained the widespread conquering of the free trade politics, which achieved its maximum in the third quarter of the 19<sup>th</sup> century and signaled the end of privileged trade blocs, limiting the trade characteristics of the growth of colonial empires

<sup>5</sup> Lancaster K, Intra – Industry Trade under Perfekt Monopolistic Competition 1980, p.198

such as Britain, France, Spain, Holland in the period before 1800.<sup>6</sup> On both levels the successes of free trade secured the logical base of the movement towards closer economic and political relations in different areas.

In Britain, France and the USA the economic gathering finished at the beginning of the 19<sup>th</sup> century. Nevertheless in other parts of the world economic fragmentation wasn't a rule.<sup>7</sup> In Europe, as a result of the Vienna Congress 1815, Germany was ordered into a weak federation of 39 countries, each one economically independent of each other, and Italy had a similar fragmentation of a couple of political and economic independent countries.

The economic unification became very important for their economic growth and for the rise of the global economy. The economic integration of Germany through the customs union - Zollverein in 1834 and the appearance of a united Italian country in 1861 showed an important change in the international economy.

These aren't just examples of national economic integration in the 19<sup>th</sup> century, but are a predecessor and motivator of similar movements in other countries. The British politic of free trade between countries, spread to the continent in the period after 1860. Beside the good conditions in that time, a universal free trade was not achieved, but only Britain and Holland achieved the politics of total free trade.

In Britain the intellectual bases of free trade were made by Adam Smith in 1776. The founders of free trade in Britain lived to see a primary success with the Eden Agreement 1786.<sup>8</sup> This agreement was successful in relaxing some prices between Britain and France. But the trend of free trade lived to see an opposite flow during the war with France, when the military financial needs meant that the British prices rose. After the war beside the calls for more trade liberalization by the people who supported free trade, these trade barriers were minimally overcome. Two problems made the achieving of a complete free trade impossible in this phase for the British economic and political growth. First the government didn't have an alternative method of keeping the protected products.

Even more importantly, the full realization of free trade depended on the end of the Corn Laws which, with the introduction of a tax for the corn, protected the British farmers from foreign competition. Nevertheless this kind of legislature was expected from the government which had widespread support from the farmers. In those conditions the start was made in the years of expansion of trade after 1823, when the budgetary limitations temporarily surpassed the tax quotas, and enabled the president of the board of trade, Huskison, to start with a new financial reform.

#### **4. Conquering of free trade by Britain**

Nevertheless, the crucial movement towards free trade was made in the period around 1840. In the budget of 1842, Robert Peel stopped the unpaid transport taxes on British goods, and lowered the transport taxes on more than 750 products on the tax list.<sup>9</sup> To limit the expected loss of taxers, for three years afterward the tax income was reinstated, which was taxed during the Napoleonic Wars. The next step was taken in 1845 with the recreation of the income tax for the next 3 years, when Peel cancelled the remaining export taxes for materials.<sup>10</sup>

With the income tax that replaced the tax costs as an income of money for the government, the free trade of Britain was dependent on the cancelling of the Corn Law. The agricultural interest in Britain remained protectionistic, alongside the efforts for reforms, where the Corn Law didn't change all the way up to the beginning of the 1840s.<sup>11</sup>

Nevertheless, the British economic actions changed. Towards the end of the 19<sup>th</sup> century the rising population of Britain made them rely on imported corn. During the 1840s, 10 to 15% of its population lived off of imported corn. Britain was changing in a political way as well. The productional industry was changing the balance of the political power from the rural to the urban electorate, where the industrialism created a new economic interest,

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<sup>6</sup> Overbeek, Johannes, *The Modern World, Theories and Policies*, University Press of America, 1993 year, p.9

<sup>7</sup> Kennedy Paul, *"The Rise and Fall of the Great Powers"*, Vintage Books, New York, 1989, p.21

<sup>8</sup> Lancaster K, *Intra – Industry Trade under Perfekt Monopolistic Competition* 1980, p.199

<sup>9</sup> Kennedy Paul, *"The Rise and Fall of the Great Powers"*, Vintage Books, New York, 1989, p.22

<sup>10</sup> Porter, M. (1989): *The Competitive advantage of Nations*, The Free Press, A Division of Macmillan, ins p.44

<sup>11</sup> Porter, Michael E, *The Competitive Advantage of Nations*, The Free Press, New York, 1990, p.20

which wanted 'cheap bread' towards the end of the rural protectionism. As a result of these wants, the league for the support of ending the Corn Laws, founded in 1838, strongly attacked the rural protectionism.

In the face of massive famine, the restrictions on the free import of food wouldn't. The British farmers had a small break from foreign competition with the abolishment of the law all the up to 1849. In that period with only a tax of one shilling, corn was freely imported to Britain. That year another foundation of protectionism was destroyed with the abolishment of the law for naval navigation, which enabled trade with goods like corn for all people

In the next 25 years the movement for free trade in Britain reached its apex with the implementation of different tax cuts in 1853 and the equalizing of the sugar in 1854. In the next few years the need for financing the Crimean War (1854-6) delayed the furthering of the process. Finally, in 1860 Britain showed the first of a long line of budgets which opened Britain foreign trade. In that year the number of tax goods came out to 48, while a large part of the other needs for food were abolished<sup>12</sup>. Sugar and other sweet goods remained a key part of income for the British economy.

In that time, all costs associated with imports from the British colonies were abolished. The budgets which followed created a free list in 1866, abolished the tax on corn in 1869 and the costs for sugar in 1875 but because of practical reasons 1860 is taken as the point which notes the appearance of Britain as a free nation in the international economy.<sup>13</sup>

## Conclusion

Inspired by the British example, the classical economists believed that the rest of the world would follow in their footsteps towards the completion of free trade in the name of the communal advantages for all. For a short period after 1880, the dream for a universal free trade appeared as a reality, with the growth of the trade liberalization towards other countries, through talks about trade and tax agreements. Shortly after the motivation for this trend towards free trade would be examined and the liberalisation during these years. First there would be a short comment about the economic union of Germany, which is treated as an example of operationalism of the principals of free trade on a national level.

Prussia played a great role in the economic and political union in Germany. Starting from 1819, a group of agreements are signed with the other German countries, which enabled in 1831 the formation of the Prussian Tax Union, as the first communal market of some meaning. In the meantime a similar union between Bavaria and Wittenberg (Virtemberg) in 1827, came to a the formation of a Bavarian Tax Union. Finally in 1833, the Prussian and Bavarian tax unions came together and formed the Zollverein alliance.

Zollverein alliance which gained strength on the 1st of January 1834, included 18 countries with a total population of 23.5 million people. The fundamental principals of the union were the common prices (Based largely on prices prevalent in Prussia), beside those of countries outside the union, as well as the ending of all costs for the products which moved between the different member countries. A total economic integration wasn't achieved, but every country had its own trade code, the laws for patents and national monopolies. The tax obligations were shared among the countries based on their population. After the formation, new countries were accepted as members of the Zollverein Alliance, which means that up to 1852, the union was made up off all countries which eventually took part in the constitution of the German Reich.

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<sup>13</sup> Porter, M.(1989): The Competitive advantage of Nations, The Free Press, A Division of Macmilian, ins p.45

## Residents Attitude for Tourism: Research, Linkages and Future Research Themes

Dr. George Triantafyllou<sup>1</sup>   Dr. Panagiotis Kassianidi<sup>2</sup>   Eirini Strataki<sup>3</sup>   Georgios Apladas<sup>4</sup>

<sup>1</sup>Hellenic Mediterranean University, Greece, ORCID: 0000-0001-9717-4055, E-mail: triantafyllou@hmu.gr

<sup>2</sup>International Hellenic University, Greece, ORCID: 0000-0003-4259-1921, Email: pkassian@gmail.com

<sup>3</sup>Hellenic Mediterranean University, Greece, ORCID: 0000-0003-3416-9122, E-mail: eirinistrataki@yahoo.gr

<sup>4</sup>Hellenic Mediterranean University, Greece, ORCID: 0000-0001-7327-7535, E-mail: apladas@hmu.gr

**Abstract:** With the emergence of tourism as one of the largest service industries, its different components were always focusing of researchers. The multifaceted research related to residents' attitude in journals indexed by the Web of Science is the focus of this study.

*Purpose:* This study is intended to analyze the trend along with the pattern of discussion on residents' attitude for tourism in the scientific documents. The objectives of the study include 1) analyzing the productivity and citation index of scientific documents, 2) investigating the definition and context for defining residents' attitude in top cited thematic literature, and 3) to identify the future research directions for helping the other research scholars.

*Design/ methodology/ approach:* Bibliometric analysis has been used to analyze and examine the information and details about the scientific documents on residents' attitude in academia. The Web of Science database was chosen to list out high-quality scientific papers on rural tourism. In total 437 documents were identified by using suitable criteria.

*Findings:* The results show the productivity of authors and citation index of scientific documents related to residents' attitude, most preferable source journal, keyword trends, and scope of further research in the thematic area.

*Originality/ value:* This paper throws light on how residents' attitude has been discussed in academic research. The study also lists out specific details and trends that would prove beneficial for future research.

**Keywords:** residents' attitude, academic research, bibliometric analysis, Web of Science.

### A. Introduction

#### Why bibliometric analysis?

Science in general is always cumulative. New researches are always build on preceding works, and therefore, extend knowledge in the particular field. The review consists of "identifying, obtaining and consulting the literature and other materials, which are useful for the purposes of our study" (Hernández, Fernández, & Baptista, 2007).

The past two decades have observed a good number of innovative practices in research. The scientific production has witnessed the growth and its collection in bibliographic databases. This phenomenon has led to the use of "bibliometric" tools as a useful resource to measure scientific activities based on the statistical analysis by scientific literature (Sancho, 1990). Pritchard (1969) was the first authors who have defined the term bibliometric, based on his scientific production- "application of statistical and mathematical methods set out to define the processes of written communication and the nature and development of scientific disciplines by using recounting techniques and analysis of such communication".

The term 'bibliometric analysis' is defined as a statistical evaluation of published journal papers, books, or other scientific articles, etc. and it is an effectual way to measure the influence of publications, scholars, or institutions in the scientific community.

Based on the bibliometric analysis and from the perspective of macro development, this paper systematically aims to:

- Summarize the latest research outcomes of industrial heritage in China and Western countries;
- Describe the development process of the industrial heritage discipline scientifically and quantitatively;
- Compare the outcomes and dynamic evolution laws of industrial heritage protection research in China and Western countries under two different development states horizontally, providing a valuable reference base for subsequent heritage conservation research.



Bibliometric analysis is now being used to evaluate academic outcomes quantitatively, which is beginning to threaten practice-based research. The process of bibliometric analysis includes four modules: data acquisition, data preprocessing, statistical calculation, and application analysis. Data sources are divided into database data and web data, and the acquisition methods are divided into a manual acquisition and automatic acquisition. Data preprocessing is mainly format conversion, splitting and extraction, and filtering the data that does not meet the requirements. A statistical calculation can be divided into Top N statistics, singular value statistics, quantity distribution statistics, annual growth statistics, and other related statistics.

Bibliometric analysis has become an important branch of information science and philology. At the same time, it also shows the important methodological value and becomes a special research method of information science. In the internal logical structure of information science, bibliometric analysis has gradually occupied the core position and is an academic link closely related to science communication and basic theory.

From a historical point of view, bibliometric has been used to track the relationship between citations in academic journals. Citation analysis, that is, examining the references of a project, is used to find materials and analyze its advantages. Citation indexes, such as the science network of the Institute of scientific information, allow users to search for the latest publications with references to known projects from known articles in a timely manner.

People's research on quantitative literature analysis can be traced back to the early 20th century. Some important milestones are included below:

- In 1917, F.J. Cole and N.B. Ayers first studied the literature of comparative anatomy published from 1543 to 1860 by using a quantitative analysis method. The relevant books and journal articles were counted and classified by country.
- In 1923, E.W. Hume put forward the word "documentary statistics" and explained it as: "through the statistics of written communication and the analysis of other aspects, we can observe the process of written communication and nature and development direction of a certain discipline."
- In 1969, A. Pritchard, a philologist, proposed to replace documentary statistics with bibliometric. He expanded the research object of literature statistics from journals to all books and periodicals.

According to this scientific analysis, researchers can do including but not limited to the following researches:

- Quantitatively evaluate the academic quality of a certain domain of journals, authors, or institutions by statistical methods such as citation rates.
- A quantitative analysis of academic literature of a certain domain based on metrics such as citations. It consists of a review of the literature, indicating the number, evaluation, and main trends of publications concerning the domain.
- Analysis of a series of publications in a certain domain based on quantitative indicators, such as its evolution over time, number of citations, most prolific authors, etc.
- A quantitative method used to examine the knowledge structure and development of a certain domain based on the analysis of related publications, such as research status, hot-spots, development forecast, etc.

Literature review, referred to as review, is a kind of academic paper that collects a large number of relevant materials on a certain field, a certain specialty or a certain aspect of a topic, problem or research topic, and refines the latest progress, academic opinions or suggestions of the current topic, problem or research topic through analysis, reading, sorting out and summarizing.

Both literature review papers and bibliometric papers emphasize the collation of previous studies in order to find out the current situation and shortcomings of the research.

Differences:

- The literature review emphasizes the content, that is, what aspects of the existing research include and what are the deficiencies. In terms of the number of search papers and references that can be included, representative papers should be extracted from the existing literature and written according to a predetermined research context.

- Bibliometric is mainly to collect papers from different sources as far as possible in a general research direction. The number of search papers should be more than that of a literature review. It is not necessary to analyze the research content of each article in detail but to summarize the number of published papers, research hotspots, research methods, and distribution of authors. Most of the references cited are highly cited papers. We can use CiteSpace, histiocytes, and other professional software to analyze the data.

## B. Methodology

### About database

For over 40 years, the databases Web of Science of Thomson Reuters (hereinafter WoS) was the only one that allowed this type of bibliometric studies. Its multidisciplinary character and availability of references, among other features, made it continue at the forefront for decades.

Articles published in leading scientific journals are accepted as “certified knowledge” (Ramos-Rodrigues & Ruis-Navarro, 2004). Therefore, leading tourism journals were selected as a sample for this current study. Articles related to bibliometric studies were obtained from leading hospitality and tourism journals ranked by SSCI in 2014. In particular, nine hospitality and tourism journals with high impact factors were selected. Five of these nine journals were tourism-focused journals, and four of them were more hospitality-focused. These journals are also recognized as leading journals in bibliometric studies in the tourism field (Harrington & Ottenbacher, 2010; Ip et al., 2011; Koseoglu et al. 2015a; Koseoglu et al., 2015; Morasan et al., 2014; Racherla & Hu, 2010). The five leading tourism journals selected for this study were the Annals of Tourism Research (ATR), the Journal of Sustainable Tourism (JST), Tourism Management (TM), the Journal of Travel Research (JTR) and the International Journal of Tourism Research (IJTR). The four leading hospitality journals selected for this study were the International Journal of Hospitality Management (IJHM), Cornell Hospitality Quarterly (CHQ), the International Journal of Contemporary Hospitality Management (IJCHM) and the Journal of Hospitality and Tourism Research (JHTR).

This part of the paper describes how the data was prepared for the bibliometric analysis. This paper identifies the papers based on the scientific literature on keyword phrased “residents attitudes” and “tourism”. The papers extracted were available in multidisciplinary databases of WOS. The following exact syntax was used to perform the search of papers:

TOPIC (“residents attitudes” AND “tourism”)

Refined by LANGUAGES (ENGLISH)

Timespan 1992-2020. Indexes SCI-EXPANDED, SSCI, A&HCI, CPCI-S, CPCI-SSH, ESCI.

The syntax indicates, that only English language papers were downloaded. All the good indexes form the Web of Science was utilized for the purposes.

The objective was to create a descriptive-quantitative analysis of the presence of the concept of residents’ attitude and the tourism related facilities, since last twenty-eight years, i.e. 1992-2020. Web of Science is a platform based on Web technology created in 1960 and owned by Thomson Reuters. It has collected a wide range of bibliographic databases, citations and references of scientific publications in any discipline of knowledge; scientific, technological, humanistic and sociological since 1945 (refer table 1 for details).

Table 1: Key details of extracted documents by WOS

Description	Results
<b>MAIN INFORMATION ABOUT DATA</b>	
Timespan	1992:2020
Sources (Journals, Books, etc)	162
Documents	437
Average years from publication	6.69
Average citations per documents	25.84
Average citations per year per doc	2.788
References	15817

<b>DOCUMENT TYPES</b>	
Article	363
article; early access	19
article; proceedings paper	3
editorial material	2
Letter	1
proceedings paper	35
Review	13
review; early access	1
<b>DOCUMENT CONTENTS</b>	
Keywords Plus (ID)	659
Author's Keywords (DE)	1241
<b>AUTHORS</b>	
Authors	952
Author Appearances	1215
Authors of single-authored documents	48
Authors of multi-authored documents	904
<b>AUTHORS COLLABORATION</b>	
Single-authored documents	60
Documents per Author	0.459
Authors per Document	2.18
Co-Authors per Documents	2.78
Collaboration Index	2.4

The important thing to note is the maximum number of documents are journal articles, i.e., 363. However, the conferences proceedings are not available in good number, i.e. 38. In other themes. *Learning one*, the conferences need a good presentation from the paper on residents' attitude and tourism related. The academic events are missing with this discussion.

As per the records of WOS, extracted data, the total number of authors worked the theme are 952. Single authored documents were 60, which is small number. Collaboration index is quite low on this research theme, i.e. 2.4. *Learning two*, if the authors collaborate on the theme probably more number of documents could be produced.

## C. Analysis

### Documents and Sources

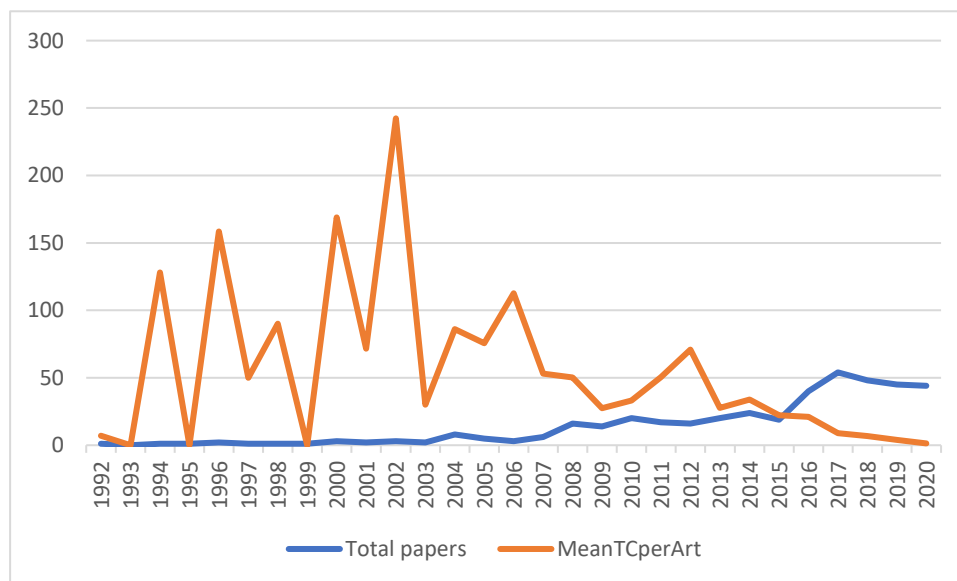
There have been considerable factors identified as influencing residents' attitudes toward tourism. The demographic characteristic of the residents is one of the determinant factors that generally influence the attitude towards emerging impacts. Notable works in this direction include Iroegbu and Chen, 2001; Cavus and Tanrisevdi, 2003; Harrill and Potts, 2003; McGehee and Andereck, 2004; Andereck, et al., 2005; Petrzalka et al., 2005; Anthony, 2007; Rastegar, 2010; Snyman, 2014 who have examined the relationship between perceived impact of tourism development and demographical characteristics of local people. Bearing these issues in mind, the present study examines the influence of demographic factors of local residents on their perceived impacts of tourism development.

The literature offers some research using bibliometric techniques in order to identify pioneering scholars and seminal works in tourism research, recent subject areas and citation patterns of tourism research, the quality of tourism journals, and to analyze special questions in tourism such as psychological research on tourism, trends in medical tourism research, research on human resources developed in tourism and hospitality management literature, and literature about tourism and sustainability. Nevertheless, no bibliometric or visualization analyses

about research on quality in tourism were found. However, despite the lack of bibliometric analyses of TQ, this analysis is useful and important both for authors and for practitioners. For authors it is essential in order to understand the situation of the problem, new trends, and emerging areas, as this study can offer an overview of the research about quality in tourism field and visualize the structure, development, and main trends and impacts of this research. This information is essential as it can offer key points to plan future research. For practitioners and policy makers it is also important, as they need to be more informed in order to lead their actions regarding the kind of tourism developments that are more likely to enhance the competitiveness of firms and destinations, the preservation of the environment and the patrimony for other generations, and also the enhancement of residents' quality of economic and social life. Focusing on this last aspect, the analysis of quality in tourism, together with cooperation among all the actors that participate in the provision of quality products and services, is essential to exceed tourist expectations, which will further ensure sustainability and long term competitiveness of destinations and tourism firms. Due to the lack of bibliometric analysis of the literature about quality issues in tourism, and also due to its importance, this work intends to make an in depth bibliometric analysis of the evolution of TQ literature. The paper considers works, drawing on data from the Web of Science (WoS). In addition it uses VOSviewer software (version 1.6.9, Leiden University, Leide, The Netherlands) to graphically map the data

During the initial years, the theme of Residents Attitude for Tourism was publishing 1-3 articles every year. Since last five years, this number has significantly grown. All an average last five years the theme is witnessing more than ~50 papers each year. It is clearly evident that as the number of publications are increasing concurrently the number of citations are increasing. The reason may be that academia, now has a keen interest in social impact of tourism. The figure 1 helps in identifying that since last five years each year the academia is publishing a good and significant number of publications. This is the natural result that should occur in most of the theme and should be faced by most of the journals too due to the huge growth of researchers and scientists worldwide (Merigo et al., 2015)

Figure 1: Cumulative figure on annual number of documents on the theme



#### Most important journals

It was a question that – which journals are publishing most of the papers? Which journals, the prospective authors, should target for their future publications? Therefore, the criteria were taken that the journal should have published minimum 10 number of articles (see figure 2 for details). In total there were 10 journals which have published more than ten documents, as minimum. Those are named as:

Sources	Articles
TOURISM MANAGEMENT	42
JOURNAL OF SUSTAINABLE TOURISM	25
ANNALS OF TOURISM RESEARCH	24

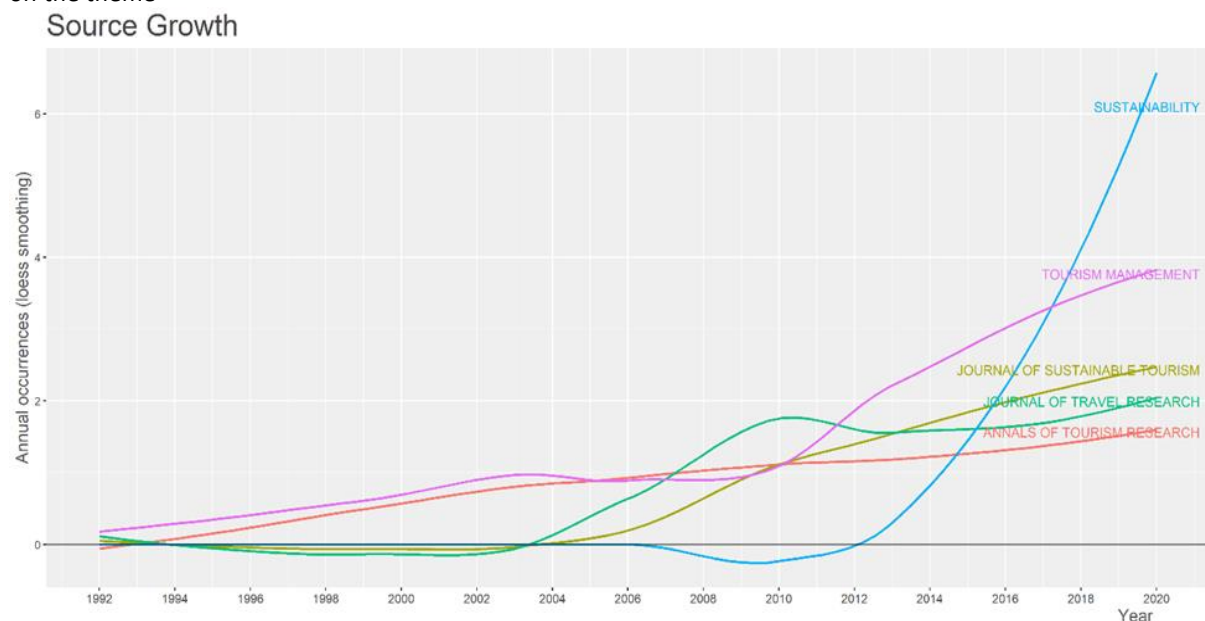
JOURNAL OF TRAVEL RESEARCH	24
SUSTAINABILITY	22
INTERNATIONAL JOURNAL OF TOURISM RESEARCH	15
JOURNAL OF TOURISM AND CULTURAL CHANGE	15
CURRENT ISSUES IN TOURISM	14
TOURISM PLANNING & DEVELOPMENT	12
TOURISM GEOGRAPHIES	11

This is very interesting to note that out of top ten there three journals which are not published in English. This indicates that there is a good scope of non-native English speakers and writer too.

### Growth of sources/ journal

It is evident that IJWBR has contributed more than enough, which mean most of the publications on the theme “residents’ attitude for tourism” are published by the IJWBR. The growth of top five sources was recorded and found that IJWBR has significantly published the papers and continuously publishing on the same theme. During 2008-2012 Tourism Management and PASOS were with the highest publications. Later, declined the publications on the themes on Residents Attitude for Tourism and related themes. Rest journals has contributed significant but their publications are far lesser then these top three sources (see Figure 3 for details).

Figure 3: Cumulative figure on the most relevant sources and the pattern in their growth, based on documents on the theme



### Most contributing authors to the domain

After the sources the important discussion remains about the significant contributing authors on the theme “residents’ attitude for tourism”. This paper has set criteria that we will take only the authors who have produced more than five documents at least and the authors must carry the h-index more than three.

*h-index*: The h-index is an author-level metric that attempts to measure both the productivity and citation impact of the publications of a scientist or scholar.

The h-index is defined as the maximum value of h such that the given author/journal has published h papers that have each been cited at least h times. The index is designed to improve upon simpler measures such as the total number of citations or publications. The index works properly only for comparing scientists working in the same field; citation conventions differ widely among different fields (Bornmann & Daniel, 2007).

$$h\text{-index } (f) = \max_i \min(f(i), i)$$

*g-index*: The *g-index* is an author-level metric suggested in 2006 by Leo Egghe. The index is calculated based on the distribution of citations received by a given researcher's publications, such that given a set of articles ranked in decreasing order of the number of citations that they received, the *g-index* is the unique largest number such that the top *g* articles received together at least *g*<sup>2</sup> citations.

It can be equivalently defined as the largest number *n* of highly cited articles for which the average number of citations is at least *n* (Egghe, 2006). This is in fact a rewriting of the definition

$$g^2 \leq \sum_{i \leq g} c_i$$

as

$$g \leq \frac{1}{g} \sum_{i \leq g} c_i$$

*m-index*: '*m-index*', is simply one's *h-index* divided by the number of years one has been publishing. While this acts as a sort of age correction, it's still unsatisfactory, essentially because it is noticed that it tends to penalize early career researchers in particular.

Table 2: Most contributing authors and different index

Author	h_index	g_index	m_index	TC	NP	PY_start
WOOSNAM KM	9	21		441	24	2010
NUNKOO R	13	14	1	1090	14	2009
RAMKISSOON H	7	8	0.538	862	8	2009
RIBEIRO MA	5	8		125	8	2013
ERUL E	3	7		55	7	2016
PAVLIC I	2	3	0.286	13	6	2015
PUH B	2	3	0.286	13	6	2015
GURSOY D	5	5	0.278	781	5	2004
MARUYAMA NU	2	5	0.4	43	5	2017
PORTOLAN A	2	3	0.286	13	5	2015

Note: h\_ind=H index, g\_ind = G index, m\_ind = M index, TC = total citations, PY\_start = production year of 1st document

The table 2 is visibly helping to understand that the Author ALONSO AD has got most of the papers. Whereas, even having less number of papers, Bruwer J has got the highest *h-index*, because this author has got large number of citations also. Table 3 supports in the endeavor and decipher that the top contributing author has got sixth rank, if local citations removed.

Table 3: Most cited authors

Author	TC
WOOSNAM KM	441
NUNKOO R	1090
RAMKISSOON H	862
RIBEIRO MA	125
ERUL E	55
PAVLIC I	13
PUH B	13

GURSOY D	781
MARUYAMA NU	43
PORTOLAN A	13

Global citations = total citations – local citations

### Collaborations and country of authors

Collaboration between countries was presented as percentage of single country publication (SCP) and percentage of multiple country publication (MCP). The SCP represents intra-country collaboration while MCP represents inter country collaboration (Sweileh, Sawalha, Al-Jabi, et al., 2016).

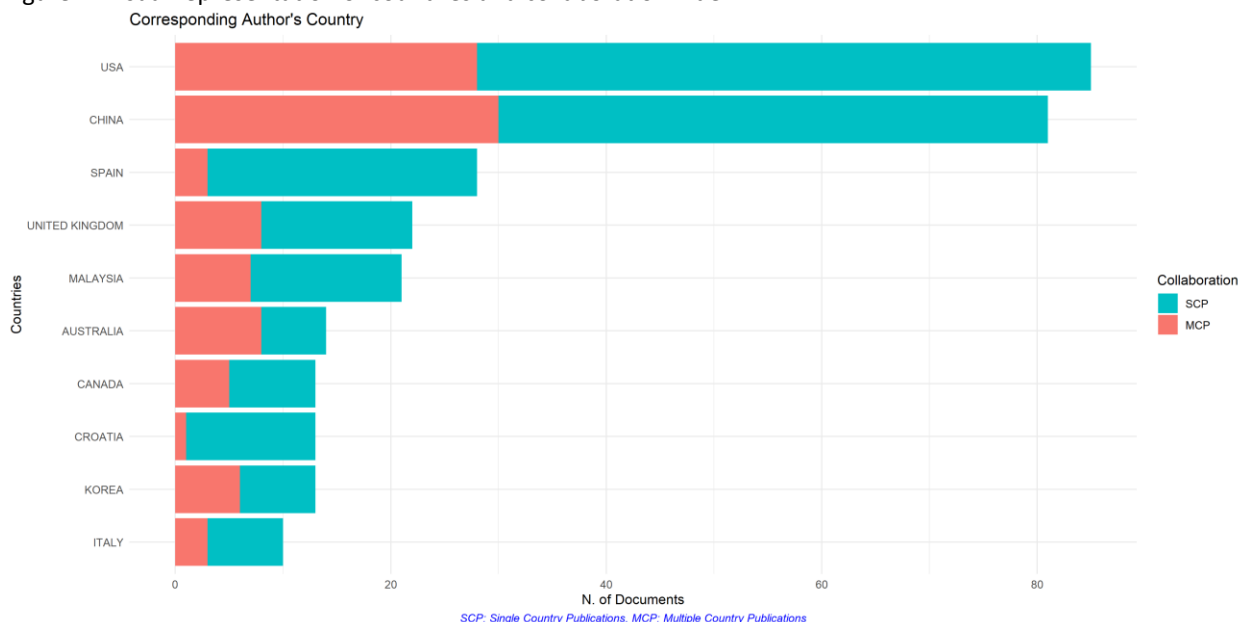
Table 4: countries and collaboration index

Country	Articles	Freq	SCP	MCP	MCP_Ratio
USA	85	0.20047	57	28	0.3294
CHINA	81	0.19104	51	30	0.3704
SPAIN	28	0.06604	25	3	0.1071
UNITED KINGDOM	22	0.05189	14	8	0.3636
MALAYSIA	21	0.04953	14	7	0.3333
AUSTRALIA	14	0.03302	6	8	0.5714
CANADA	13	0.03066	8	5	0.3846
CROATIA	13	0.03066	12	1	0.0769
KOREA	13	0.03066	7	6	0.4615
ITALY	10	0.02358	7	3	0.3

mcp- multiple country publication; scp- single country publication

The table 4 above draws much significant information hidden in it. USA is with 1<sup>st</sup> rank, whereas, Spain has got highest papers as single country papers. Figure and table 4 combined indicates that Australia has got highest ratio of MCP/SCP.

Figure 4: Visual representation of countries and collaboration index



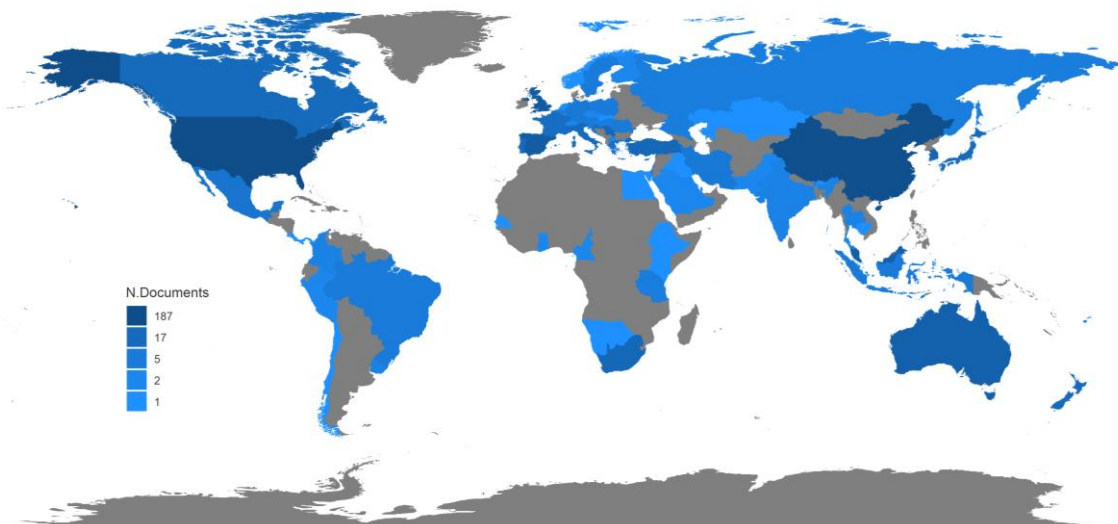
In terms of frequency the countries have got the total number of papers in the following rank (see table 5 for details). It is interesting to note that USA and China have got a higher ratio of MCP. These countries work more collaboratively or maybe they have some good funding opportunities. To attract the papers and other research activity in collaborations.

Table 5: countries and total production

region	Frequencies
USA	187
CHINA	154
UK	61
SPAIN	55
MALAYSIA	43
AUSTRALIA	38
SOUTH KOREA	28
SERBIA	23
TURKEY	23
SOUTH AFRICA	22

Figure 5 is representing the country wise analysis. The darkest means highly productive and lightest means least productive. The Western side of the map is more found productive on the theme “Residents Attitude and Tourism”. Western part seems to be more engaged in total production of research articles.

Figure 5: Country scientific production

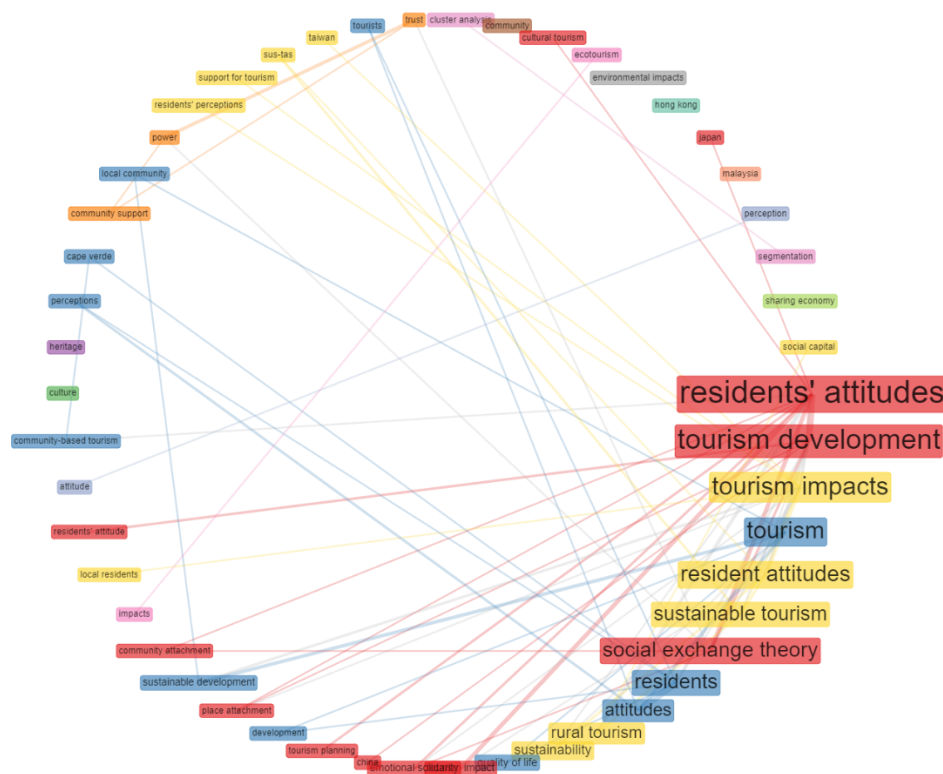


#### Keywords analysis

The keywords used to identify previous works in our area of study are very useful information when searching for documents in any database. This information also leads to understand the future researchers – to identify the over researched topics, under researched keywords, and trending keywords also. This study employs the authors’ keywords for the analysis. In this sense, Residents Attitude for Tourism is the most used term in the databases. Followed by far are tourism, tourism development and wine and others also. With the help of VOS Viewer, the keywords cluster analysis was done and seven clusters have been found (Figure 6).



Figure 6: Visual display of clusters on keywords themed, Residents Attitude for Tourism



These segments propose very important and significant information for the future researchers. The table 6 and figure 6, indicates that there are seven clusters in all the keywords. In all 1142 keywords have been identified through 472 papers. Minimum number of occurrence of a keywords was set as five and top 55 keywords were considered eligible for analysis. The map has shown some name of countries as keywords, those were removed and finally a table was prepared for the help of future researchers.

In all the clusters - some ways “development” is the prominent word. Cluster 1 seeks to be related with market strategies. Cluster 2 is wine tourism specific; cluster 3 in inhabiting some sense of rurality and sustainability; Cluster 4 is including consumer behavior and their experience too.

Table 6: Clusters of keywords on “Residents Attitude for Tourism”

Cluster 1	Cluster 2	Cluster 3	Cluster 4	Cluster 5	Cluster 6	Cluster 7
		Culinary tourism				
	Innovation		Consumer behavior			
		Development				
Marketing strategy	Regional development	Experience economy	Destination image	Consumer perception	Gastronomy	Ecotourism
Tourism development	Rural development	Rural areas	Loyalty	Content analysis	Marketing	Heritage
Wine business	Wine industry	Rural tourism	Satisfaction	Market segmentation	Motivations	Landscape
culture	attitude	Sustainability	Sustainable tourism	Survey research	Social impact	Vineyards
impact	Wine sector	Sustainable development	Tourism experience	Tourism management	rural	Resident attitude
	Sharing economy	Territory	festival			
	sustainability	Heritage	local tourist			

Cluster 5 is more inclined towards market and management; cluster 6 is indulged with gastronomy and motivations; cluster 7 is utilizing altogether different approach- based on ecotourism, heritage and vineyards.

#### D. Discussions

The purpose of this article was to analyze the importance of tourism and quality combines with the attitude of the residents' for tourism. Hence, the paper studied and defined this issue theoretically, observing the relevance of quality on destinations, organizations, hosts, and also on tourists. Therefore, the paper analyzed the topic of tourism and quality, observing the diverse advances in the literature and considering it as a multidimensional area than encompass wellbeing (physical, material, ecological, social, or even emotional) of those destination and the diverse stakeholders involved in the production or consumption of tourism goods and services, and also the features of performance of the tourism product or service as it was expected perceived, or experienced by the tourist. The paper also concentrated on the search for previous analysis of the structure of the field of tourism and quality, focusing on the existence of previous bibliometric. Nevertheless, no bibliometric study or visualization analysis about research on quality in tourism was found. Observing this lack, and also the relevance of the bibliometric approach, our work developed a bibliometric and visualization analysis of the related documents. The results of our analysis examined the need to observe the field from an interdisciplinary perspective that could integrate, environmental, social, economic, and essentially managerial and marketing perspective dimensions of TQ. The research shows that after several conceptual and also methodological papers, essentially related to structural equation models, the question could be developed by focusing on other perspectives and trends, by focusing on other methodological instruments, and more applied and empirical research to analyze diverse specific questions related to the topic. Research about tourism and quality has been developing regularly since 1989, however, it has experienced a huge growth recently, especially in the last decade, with almost 800 documents annually in the last two years, when till 2008 they not surpassed 100 published papers a year. However, the literature is still scarce, compared to other topics, this study being pioneering in analyzing the structure and trends in the research. The increasing importance of TQ combined with the residents' attitude for tourism was reflected in the number of citations. Hence, the most cited paper in tourism field, the one by Buhalis, had almost 2500 citations in the WoS. Moreover, there were another three papers, that also received more than 500 citations, although they were relatively recent papers, as they were published in the 21st century, but the fourth one was published in 1999. These results emphasized the recent relevance of TQ with the attitude of the locals. Examination of the sources indicated that the top journals in the area were Tourism Management, Journal of Travel Research, Journal of Travel and Tourism Marketing, and Sustainability. Moreover, the results indicate that the main categories of publications were Hospitality, Leisure Sport and Tourism, Management, and Environmental Sciences, although it is expanding across multiple academic disciplines. The keywords co-occurrence revealed that "tourism", "satisfaction", "service quality", "medical tourism", "quality of life", and "sustainability" were the most frequent keywords. This indicated the relevance of "service quality" and "quality of life" as the main factors observed, and also the relevance of managerial, marketing, medical, and environmental perspectives. A review of the keywords revealed the relevance of managerial and destination management issues ("service quality", "quality of life", "quality", and "rural tourism"), marketing perspectives ("satisfaction", "service quality", "customer satisfaction", "perceived value", and "loyalty"), also medical ("medical tourism"), environmental issues ("impact", and "environmental change"), and especially the relevance of sustainability ("sustainability", "sustainable tourism", and "sustainable development"). These results stress the relevance of quality as an important topic in the tourism management literature and as one of the core topics of sustainability and environmental sciences, such as it were previously explained in the literature review. This co-occurrence analysis also included some of the most important places of research ("China", and "Spain") and the emerging areas ("nature based tourism", and "social media"). Co-citation analysis indicated that the article by Fornell and Larcker and another two articles by Parasuraman et al., led the rank of the top cited papers of the documents in the database. They were methodological papers, the first was about structural equation models, and the other two were about service quality in general, its conceptualization and measurement with a marketing focus. This study revealed the relevance of diverse clusters, with the same perspectives observed previously (management, marketing, and environmental), observing also one cluster about information technology and social media. The journal co-citation network illustrated four clusters of journals: The main one, led by Journal of Marketing and most of the journals of the selected list included journals oriented to management and marketing; the second one, led by Tourism Management and other relevant sources in the tourism.

Literature, observed mainly a tourism centered perspective; the third one, led by Thesis (outside the main journals) mainly observed an environmental-ecological orientation; and the fourth reduced cluster led by Tourism Economics was associated with an economic perspective. The author co-citation study indicated seven clusters. The clusters included research in the area of marketing in general, and also the use of methodological instruments. The second cluster, led by Hall, included important authors in tourism and hospitality management and planning, including diverse areas such as service quality, ecological, and environmental impacts, and topics related to sustainability. Other clusters essentially dealt with marketing issues in tourism (Chen), the impact of tourism on residents' quality of life (Gursoy), the strategic use of information technologies and social media (Buhalis), socio-cultural perspectives, and differences between people (Connell). The bibliographic coupling of authors indicated the existence of ten clusters of authors. The main one did not include any of the 20 top authors, the main perspective being a managerial focus on tourism. The second cluster, led by R. Law, was focused on the analysis of information technologies in tourism. The third cluster (Ck Lee) also observed a technological perspective, mainly associated with customers' attitudes. Other clusters had medical tourism and health sciences, quality of life and residents' well-being, environmental quality of coasts and products and economic demand, quality certifications and environmental management, and tourism marketing perspectives. The co-authorship analysis of TQ showed the prevalence of the USA, Spain, China, Australia, and England, leading three of the main clusters. The analysis observed a main cluster of east European countries led by Germany; other group of north European countries, which included and was led by Canada; and another group of South American countries, led by Spain. Other clusters showed Muslim countries from Asia, countries from Europe and Africa, a dispersed cluster, and another two clusters, one related to England and China, and the other to the USA and Australia. The study indicated that the top institutions analyzing the tourism field were Hong Kong Polytechnic University, Griffith University, and Kyung Hee University. The analysis also observed a big dispersion of relationships, showing 14 clusters. The main results only showed the relevant collaboration among European Universities, USA Universities, and Spanish Universities.

## E. Conclusions

The main objective of this work was to perform a bibliometric analysis of the scientific literature published on wine tourism. The study is also having the aim of identifying which of the theme responds better to how much, who, what, where and how research in wine is carried out. In view of the results, and the extensive bibliography, the study is in a position to present the main conclusions:

- The article published in scientific journals is the type of document most used by authors to present the results of their research. It has been in the last five years when more than 60% of the present papers have been published in the databases.
- A majority of authors have only written one article with a low average productivity. The Co-authorship analysis reveals that the articles are signed primarily by 2 or 3 authors, which makes the Co-authorship index 2.1.
- Almost 90% of the centers to which the authors are affiliated to the universities from Australia, USA, Spain, Italy and similar countries.
- The results are in complying with the Law of Bradford (1934), whereby a small number of journals publish most articles on a particular subject.
- The keywords that will most help us to locate previous existing papers in our research area in both WoS are Residents Attitude for Tourism followed, but by far; by tourism, tourism development and attitude.

This study on the related documents indicated that this area was very broad and varied which should integrate and reconcile diverse perspectives. These perspectives essentially come from managerial, but also form environmental areas, observing sustainability issues core relevance. In this vein, the work indicated the different lines of research in TQ, their relative importance, and some interesting trends in the literature. These results are important for practitioners when considering different policies, and especially important to researchers, as the study observes connections and differences between the diverse areas studying TQ, and some topics that can open new areas of research. Focusing on policy makers and practitioners, the diverse perspectives cannot be avoided during the planning and management of organizations and destinations. Hence, they should include, comprise, and integrate the complexity of the area. In particular, social (i.e., quality of life, and tourist satisfaction), environmental-ecological (i.e., water quality, and climate change), managerial, economic, and marketing (i.e., service quality, and destination image) perspectives should be incorporated, and also medical ones, differences of cultures, and the relevance of information technologies and social media, as was pointed in this bibliometric analysis of the literature about TQ. Our results also indicated that some of these perspectives

were shared with some of the main areas of the sustainability literature in the tourism sector as it was illustrated in a recent bibliometric study. In addition, new starting themes such as perspectives related to new technologies and social media impacts should be included in the development of organizational and destination management improvements. Observing the theoretical relevance of this article, our bibliometric analysis could help researchers advance in their investigations about TQ. Following Lai et al. , “Knowing more about Sustainability 2019, tourism problems can enhance the understanding of factors that affect tourism knowledge production”. Moreover, according to these authors, the understanding of tourism problems has a relevant influence on which tourism problems to solve, influencing the initial or early stage of tourism research. In this respect this paper can offer new trends in research, and help authors to discover new possible areas or areas where the research on TQ is still scarce. Following Garrigos et al., these aspects could be explained by three questions: Questions related to trends in TQ in the classical areas of research, the development of new areas where TQ has not been developed yet, and the expansion of fashionable questions that can be considered related to TQ. Focusing on these aspects, first of all the development of TQ research observed in this study showed that TQ had developed in some classical areas such as management and marketing, and it was also developing in areas such as medicine, economics, and environmental sciences, showing a close relationship with sustainability issues (actually, sustainability, sustainable tourism, and sustainable development were some of the main topics of research in the TQ field according to the results of this paper). In addition, the study observed that there was a lack of diverse classical fields related to sciences or social sciences, which were not relevant in the current literature. Hence they need more research. In particular, there is a lack in fields such as physics, mathematics, biology, sociology, and geography. Secondly, new areas for research, expanding now in academia, were not observed in a relevant way in TQ, which offer new opportunities, especially in questions related to information technologies, engineering, social media, or open innovation (which are offering new relevant trends). This is a fact that can help researchers to focus on these questions (in this vein, TQ should evolve towards the most popular areas in general academia). This study could also add areas within management or marketing fields such as innovation or entrepreneurship or ethics. Thirdly, the analysis of the works with most influence or with most citations by the TQ papers, or the ones that receive more citations among our sample, or the more relevant keywords (or the keywords that are increasing) can help researchers to see the most fashionable research questions, with more possibilities to be accepted by the diverse journals. Hence, the most cited papers could provoke the development of more papers on topics related to TQ that can be accepted as they can have more impact or citations in the future. In addition, of these three questions, the study has to add, especially, the need for more empirical and methodological articles, related to new indicators of TQ and more methodological papers that use new techniques especially apart from structural equation models. Apart from these conclusions, this article obviously has diverse limitations that can help to promote further research. In this respect, our methodology of using bibliometric and visualization analysis has limitations as it was based on the objective treatment of keywords that could provoke confusing results if they were not complemented with more qualitative and focused studies. We have to add the limitations of our sample, as it only considered the works used in the WoS Collection, and also only considered articles, reviews, letters, and notes. In this respect, the study did not include some works like proceedings, professional documents, or theses, nor documents from other databases (for instance in other languages apart from English, which although secondary in the “fashionable” worldwide literature, could offer us interesting and pioneering trends). Hence, the extent of this research to include these databases and documents can also offer further new interesting analyses. Future studies should also focus on some of the trends observed in the different analyses developed in this work. In addition, they could concentrate on some of them, by developing them with a deep focus. For instance, they could observe the evolution of the diverse keywords in the literature, or concentrate on a deep analysis of some of the clusters or themes of research detected in our studies. Moreover, new papers could also consider new methodologies (inside or outside bibliometric analyses) to structure and study the literature about TQ. Furthermore, they can use other software to study bibliometric, or develop other possibilities that the VOSviewer also permits (i.e., more bibliographic coupling, co-citations, or co-authorship analyses). All these works should extend, enrich, and complement the present work.

## **F. Politics and future of bibliometric research**

Since bibliometric studies generate new research agendas and directions for disciplines and/or fields, researchers can identify gaps in literature and practice. The findings of the bibliometric analysis in tourism can highlight the relationship between tourism and other disciplines or fields. Thus, new politics may be developed to enrich these relationships. Additionally, these studies are useful for policy makers and senior administrators who work at universities, government agencies, and research funding organizations when making policy decisions and

allocating resources. Therefore, bibliometric studies are always needed at any maturity level of fields or disciplines

## G. Limitations and future research

Similar to other studies, this study has its own limitations. First, the sample of the paper included only certain leading tourism journals. It is possible that there may be more bibliometric studies published in other tourism related journals or in journals in other fields. It is suggested that future studies should include a larger sample of journals. Second, as Hall (2011) stated, bibliometric analysis can be applied to any bibliometric unit, and it is not limited to studies of journal citations. However, in this current study, the sample included only articles published in nine tourism journals. Future studies may consider conference proceedings, books, and doctoral dissertations. Finally, bias might appear when the review studies are classified, since some papers cover two or more groups. In future studies, multiple authors may collectively classify these studies. There are several other avenues for future studies. First, future studies can focus on a systematic review to identify contributors, such as authors, institutions, and countries. Second, the quality of bibliometric studies may be investigated by developing scales measuring the quality of research. Third, the performance of the bibliometric studies by using citation and/or co-citation impacts can be measured to gain more understanding in the field. Fourth, collaboration and the social network in bibliometric studies should be mapped and/or visualized. Fifth, the growth of the studies and productivity of researchers working in these fields of studies should be discussed in relation to research morals, values, economics, well-being etc. Sixth, bibliometric analysis of bibliometric studies in tourism in developed and developing countries should be sought. Seventh, future studies should look at how methodological processes have been utilized in bibliometric studies. Finally, future studies may compare bibliometric studies in the tourism field with bibliometric studies in other fields or disciplines

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## Air Travel Impact On Albanian Tourism Industry

Dr. Albana Demi (Mosh) <sup>1</sup>      PhD C. Arjana Kadiu <sup>2</sup>      Phd C. Miljana Xhakolli <sup>3</sup>

<sup>1</sup>Lecturer and Researcher, University “Aleksandër Moisiu”, Corresponding email: albanamosho@uamd.edu.al;  
Academic Profile: <https://orcid.org/0000-0003-2205-5443>

<sup>2</sup>Lecturer, “University Aleksander Moisiu”, Durres, Albania, Email: arjanakadiu@uamd.edu.al, ORCID: 0000-0002-7147-6204

<sup>3</sup>Lecturer and Researcher, University “Kolegji Universitar i Biznesit”, Email: miljana.xhak@hotmail.com

**Abstract:** The purpose of this research study is to make a comparison of before and during COVID -19, situation, how frequency of air-traveling has impacted incomes from tourism in the present compared to the past years.

The relevance of the study is related with the pandemic situation that has changed our lives in many ways. It has changed the way we work, the way we study, how we behave and of course our traveling routine. We are approaching a new way of traveling, with many restrictions and the frequency of air - traveling has changed very much.

The literature review is focused on and aims to assess the effects of air travel in our environment before and during the pandemic. Bad things may come with some good side effects, and we strongly believe one should focus on the good side. This global catastrophe should wake us up and initiate a solution for major global problems, like air and land pollution.

To analyze the data collected all over the periods, this research study used the analytic and comparative statistical methods, providing an overview at their impact on the public and family budget.

At the end, this research study aims to come up with recommendations about finding a balance between industries development and the protection of our “global habitat”.

**Key words:** Pandemic, air travel, public economics, tourism incomes, environment, protection

**JEL Code:** E44, O10, I18, L93, Z33,

### Introduction,

Increasing the integration of systems into day-to-day operations is requiring a change in the way air traffic is managed. Meanwhile, the current COVID-19 pandemic is also bringing unprecedented changes to the industry. Prior to the COVID-19 pandemic, we were in a situation where the demand for air travel had been steadily increasing worldwide since the time of the 2008 financial crisis. As a result, the air traffic management system with its capacity could not meet the requirements (mainly due to the lack of air traffic controllers) referring to the high level of delays observed in 2019.

The situation was significantly worse in Europe compared to other parts of the world. The response to the financial crisis and the objective to reduce the cost of air traffic management resulted in a reduction in the recruitment of air traffic control personnel. The Albanian economy has often faced various challenges which have been influenced by social and political circumstances, but also by natural disasters such as earthquakes and the COVID-19 pandemic situation which changed the approach to the economy and the situation has completely changed. Air traffic has dropped significantly worldwide compared to the same time last year. There is now a surplus of air traffic controllers to meet the very limited demand and it is not clear how the demand for air travel will be recovered. Various studies talk about 12-18 months to return to a new 'normal', and that normal could be 80% of the maximum we saw in 2019.

This already shows that there may be less demand for controllers of air traffic (COVID-19 has already stopped training air traffic controllers worldwide). However, there are differences all over the world, especially in areas where the level of traffic has been historically low compared to other parts of the world. New technologies and automation have been proposed by many stakeholders as solutions to the capacity and delay problems we were seeing in managing air traffic until the pandemic arrived. We have experienced an increase in the use of technology and automation in our workplaces in recent years and the tendency was to move forward.



However, the problem with some of those solutions was that they did not consider the operational reality of our industry, resulting in solutions that did not provide the intended benefits for the operation or did not help the air traffic controller work more efficiently.

### **Literature review and conceptualization,**

In Albania, the only International Airport managed since 2005 by Tirana International Airport SHPK (TIA) and the Albanian state is Tirana International Airport. Within the framework of a BOOT (BOOT: Build Own Operate Transfer) concession, it has set itself the goal of steadily optimizing operations at the new airport.

This study was conducted through the collection of relevant information where included books report that point to the travel policies which are undertaken by the Albanian governments in order to improve the country's economy, statistics of which are published on the TIA and other public institutions' websites, etc.

Tirana International Airport provides services to more than 2.6 million passengers annually and is now a modern gateway to the country, changing the image of Albania.

In April 2016, Tirana International Airport and the Government of Albania signed an amendment towards the development of air transport and the liberalization of international flights in Albania. This airport in 2019, the airport handled 3,335,922 passengers, 28,168 Aircraft movements (departure and landing), and 1900 tons of Cargo & 472 tons of Mail that will be his best year due to the situation on this year

### **Methodology,**

In this research we recommend dealing with the research question by two stages as follows: First stage consists of understanding the history and explanatory concept what civil aviation means in Albania and how was implemented on society by analyzing and structuring of the collected material. Scientific research methods used in this study are analysis and synthesis, classification methods, comparative methods, historical methods, statistical methods, cybernetic methods. Second stage of the research topic is approached from a theoretical and empirical point of view and does not require any advanced empirical methodology to understand the causes that pandemic caused in civil aviation in Albania.

### **Results**

The outbreak of COVID-19, hit air traffic which could stall the development in emerging markets. Also has the effect on passenger traffic. The pandemic COVID-19 has reduced the passenger traffic worldwide. The disruption began in Asia-Pacific, but the rapid spread of the virus and the containment measures implemented in response This was equivalent to -68,4% change from one year to another. COVID-19 effected on revenues: The sudden drop in air traffic has led to almost complete paralysis of both aeronautical and non-aeronautical revenues. What is to worry and think about the economy of year 2020 is the difference from January 2020 to December 2020 with an -60,7% lost on passengers. Also, the COVID 19 impacted on the financial sector of airlines, were presented the potential airline bankruptcies. Especially for airports that serve as hubs to struggling airlines, the pandemic situation had a direct major. Following the COVID-19 outbreak, the Airports are in a structural demand change situation. 2020 was a difficult year for many industries worldwide but aviation was among the top sectors hit and the one who is feeling the impact of the pandemic the most. Flight prohibitions, suspensions temporary measures and increased measures during 2020 significantly reduced the number of flights and passengers of air.

Referring to the official data received by the Civil Aviation Authority from the International Airport "Mother Teresa", Airlines Marketing Department, the figures show that there were several 1,310,614 passengers who traveled during 2020 to / from TIA.

The Flight Permit Services Sector has issued 1502 permits for irregular flights since 1 January 2020 to 31 December 2020. Which should be good information to understand the changes that can happen if nobody isn't monitoring?

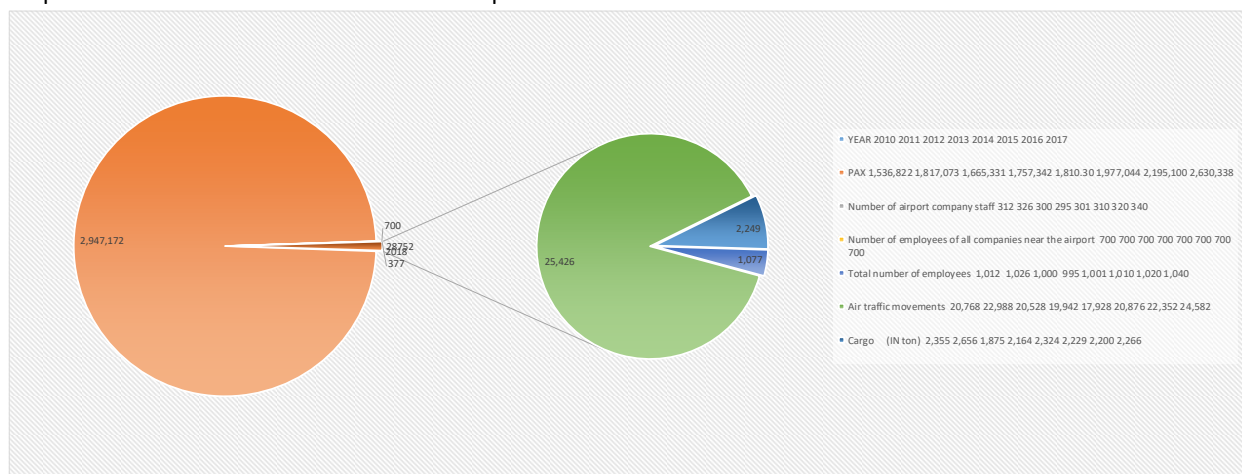
Table Air Traffic in Tirana International Airport 2010-2021

Year	PAX	Number of airport company staff	Number of employees of all companies near the airport	Total number of employees	Air traffic movements	Cargo (IN ton)
2010	1,536,822	312	700	1,012	20,768	2,355
2011	1,817,073	326	700	1,026	22,988	2,656
2012	1,665,331	300	700	1,000	20,528	1,875
2013	1,757,342	295	700	995	19,942	2,164
2014	1,810.30	301	700	1,001	17,928	2,324
2015	1,977,044	310	700	1,010	20,876	2,229
2016	2,195,100	320	700	1,020	22,352	2,200
2017	2,630,338	340	700	1,040	24,582	2,266
2018	2,947,172	377	700	1,077	25,426	2,249
2019	3,338,147	563	700	1,263	28,270	2,372
2020	1,310,614	513	700	1,213	15,150	1,797
2021	2,920,055	700	500	1,200	14,607	1,997

As we can see between the years 2010-2014 was a gradual growth of passengers, during 2015-2016 was a 10% growth. What we will see on this study is that the last 6 years have been the success of this airport even with a small airfield but a big number of air traffic and passengers

In 2015, compared with 2014, passengers' numbers increased by 9.2 per cent and ATMs by 16.4 per cent, while cargo decreased by 4.1 per cent. In 2016, comparison with the previous year, passenger numbers increased by 11 percent and ATMs by 7.1 percent, while cargo decreased by 1.3 per cent. In 2017, comparing with 2016, the passenger numbers are increased by 20 percent, ATMs by ten percent and cargo by three percent. In 2018, comparison with the previous year, passenger numbers increased by 12% percent, ATMs increased by 3% percent and cargo had a slight decrease of 0.4%. In 2019, comparing with the previous year, the passenger numbers increased by thirteen percent, ATMs by eleven percent and cargo by five percent.

Graphic: Air Traffic in Tirana International Airport 2010-2021



### Discussion and Conclusion

On the years 2017-2018-2019 we see the growth from 2,195,100 to 2,630,338, 2,947,172 and the number that TIA has never had 3,338,147.

Unfortunately, 2020 will end a project started in 2019 to have an extended airfield and to proceed with 15% difference on each year. According to the Charting the European Aviation recovery during the year 2021 the COVID19 impacts and 2022 outlook 2022 saw a partial but sustained traffic recovery in Europe, starting with -64% in January vs 2020 levels, and ending it at -22% of 2020 levels in December. During the summer, air traffic remained relatively at over 70%, helped by the mass vaccinations and the deliver in time of the EU Digital COVID certificate. In 2021 the total of air traffic compared with 2019 levels was -44%, and 4.9 million flights fewer than 2020. Aviation in Albania showed its resilience in 2021 to a crisis that had paralyzed economies in 2020. The Omicron situation caused travel restrictions, constraining the flights in the first half of December to 75% but related to the holiday period in the second half of December the situation was eased (81%). For January 2021 the situation was however clearer and ease to managed. In Albanian 2022 traffic is expected to recover to 70-90% of 2019 levels and we see even in the chart that Albania had a big impact on the economy, and we have a grow of 18% and compered to other country we see a better improvement

The importance of travel policy in the economic development of a country has been the focus of many scholars in the field of economics who constantly make suggestions and efforts for it drafting the best policies of their countries. COVID-19 prevention and mitigation actions at workplaces to ensure safe return to work. Training and products for affected enterprises on business continuity, as response to COVID-19. Supported by the National Labor Council in the elaboration of informed policy options for economic recovery through effective social dialogue and activation of its technical subcommittees.

The international campaigns to stimulate the domestic demand and to galvanize community action gained the building on successful models in the economic sectors, with the highest potential to support the Albanian economic growth. This was mainly driven by a large fall in exports as well as a contraction in investment, private and public consumption. An important branch of the economy such as trade, transport and hospitality services greatly contributed to the recession with its 27% decrease. Tourism which accounts for more than 20% of Albania's GDP, was one of the most affected sectors by the pandemic.

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## Financial well-being, theoretical concepts

Irimi GOGA<sup>1</sup>

<sup>1</sup>PhD candidate, Agriculture University of Tirana, Albania

**Abstract:** This work aims to analyze the theoretical foundations of financial well-being. Studying them is helpful to better understand its social impact, given that it associates with socio-economic progress and happiness. We follow a qualitative-descriptive method based on a broad literature review and chronological analysis. We argue in favor of establishing a theory of financial well-being to define, measure, and analyze it comprehensively. The originality of this work lies in describing and contrasting several theoretical foundations together instead of addressing them separately. Our results are of interest to those involved in research about financial well-being, subjective well-being, and the economics of happiness.

**Key words:** financial well-being, subjective well-being, economics of happiness, prospect theory, institutional theory

### Introduction

Historically, financial well-being has been equated to different terms, including financial wellness, economic well-being, income satisfaction, financial satisfaction, financial security and financial health (Ghazali et al., 2020). The latter has been widely employed as a synonym for financial well-being (Fu, 2020). Financial health refers to how well financial systems present in people's daily lives help them be resilient to unexpected changes in economic conditions and create opportunities to achieve their goals (Ladha et al., 2017).

The purpose of this work is to analyze the theoretical foundations of financial well-being. It intends to propitiate reflection on its causes and effects, consequently contributing to the body of knowledge about general well-being, consumer behavior, and the economics of happiness. To meet this goal, we review the motivations that have led to its study. Simultaneously, we identify the theories that have given rise to its conceptualization and measurement. Subsequently, we question whether a theory of financial well-being is necessary and, if so, what its dimensionality should be. We conclude by justifying its importance both at the individual and collective levels, in the private and public spheres.

### Financial well-being as a component of happiness

Financial well-being refers to how happy and satisfied individuals feel with their finances (Chatterjee et al., 2019; Van Praag et al., 2003). One of the first empirical works to analyze the relationship between happiness and income was developed by Easterlin (1974). He observed that, within different countries, people with higher income reported significantly higher levels of happiness than the population with lower income. However, this relationship was uncertain when comparing people of the same country at different moments.

In the United States of America, Easterlin (1974) noted that an increase in income over several years is not necessarily linked to a systematic increase in subjective well-being. This contradictory fact is known as the Easterlin paradox: the happiness reported by the population of different countries varies with income; however, an increase in income over time does not imply a proportional increase in happiness (Easterlin, 1974).

These findings were later corroborated by other authors (Antolini and Simonetti, 2019; Grimes and Reinhardt, 2019; Kaiser and Vendrik, 2019; Rojas, 2019), who clarified that income is related to subjective well-being and time plays a relevant role in this relationship. Additionally, other authors expanded these observations to give them a multifactorial dimension. For example, Oswald (1997: 1827) concluded that "in a developed nation, economic progress buys only a small amount of extra happiness," or Diener et al. (2003: 213) who noted that "people might evaluate their material lives largely by judging how they compare with those around them", based on their multidimensional nature which requires different measurement approaches.

In 2008, the French government commissioned economists Joseph Stiglitz, Amartya Sen, and Jean-Paul Fitoussi (2009) to identify gross domestic product constraints as an indicator of financial performance and social progress. In their report, Stiglitz et al. (2009) emphasized the opportunity to switch from an approach to measuring economic production to one about assessing people's well-being.

To evaluate subjective well-being, Stiglitz et al. (2009) stated the following recommendations: emphasizing the perspective of home and family; considering income and consumption in conjunction with wealth; improving indicators to measure health, education, human activities, and the environment since the quality of life depends on the objective conditions and capacities of the population; using these indicators to integrate indexes, and employing objective and subjective indicators of well-being.

These recommendations were formally considered in the measurement of well-being, starting in 2011, when the Organization for Economic Cooperation and Development (OECD, 2011) established the *Better Life Index* to measure and compare international social progress comprehensively.

Financial well-being is one of the components of this multidimensional indicator. It seeks to assess present and future domestic consumption possibilities, material well-being, and satisfaction with living conditions at home (OECD, 2011). Various authors had recognized it as an essential component of happiness or subjective well-being (Stiglitz et al., 2009; Van Praag et al., 2003). Besides, it has been associated with the achievement of some of the Sustainable Development Goals of the United Nations, which include (SDG1) No poverty; (SDG3) Good health and well-being; (SDG8) Decent work and economic growth; (SDG10) Reduced Inequalities; and (SDG16) Peace, justice and strong institutions (Fu, 2020; Le Blanc, 2015).

### Consumption theory, utility analysis and savings motivation

Consumer theory can explain financial well-being by referring to how people decide to spend money based on their preferences and budget. It can be framed within the analysis of utility and motivation for savings, enunciated by Modigliani and Brumberg (1954). They assumed that humans determine their consumption habits and feel driven to save because of four primary reasons: contributing to the formation of a legacy for their descendants; achieving goals when their current and prospective incomes do not match their desired consumption levels; as a precaution, to get prepared to face an emergency; and for fear of uncertainty, which motivates them to constitute a reserve, usually of durable goods, so they can own, sell, or use it if necessary.

These reasons explain the conceptualization and measurement of financial well-being, applied to people under a focus on preferences, budget constraints, and time. One of the first comprehensive definitions of financial well-being was the proposal by the Office for Consumer Financial Protection Bureau (CFPB, 2017b: 6):

Financial well-being is a state of being wherein a person can fully meet current and ongoing financial obligations, can feel secure in their financial future, and is able to make choices that allow them to enjoy life.

A comprehensive scale for measuring structured financial well-being in two dimensions, time and freedom of choice, follows this definition. Both profile four essential components of financial well-being: exercising daily and monthly control of personal finances (short-term, limited freedom); having the ability to cope with unexpected financial impacts (long-term, limited freedom); working to achieve financial goals or fulfill dreams (long-term, broad freedom); and having the financial freedom to make decisions that contribute to the enjoyment of everyday life (short-term, broad freedom).

Table 1. Measuring financial well-being based on time and freedom of choice

	Present	Future
<b>Security</b>	Daily and monthly control of personal finances Example: <i>My finances control my life</i>	Ability to deal with unexpected financial impacts Example: <i>I'm concerned that the money I have or save won't last</i>
	Description: Cover expenses, pay bills on time, and not worry about whether there will be enough money for it.	Description: Have a backup system, family, or friends, if support is required; own personal savings; have insurance of various types; know that the lifestyle will not be affected, for example, if the car needs a repair or if the job is temporarily lost.
<b>Freedom of choice</b>	Financial freedom to make decisions that make it easier to enjoy life Example: <i>I am just getting by financially</i>	Achieving financial goals Example: <i>I am securing my financial future</i>

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Description: Have the financial capacity to indulge, for example, go out to dinner or go on vacation, or be generous with friends, family or community, and meet basic needs.

Description: Have a formal or informal financial plan, actively work towards goals such as saving to buy a car or home, paying off educational debts, or saving for retirement.

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Source: Consumer Financial Protection Bureau (2017a, pp. 7, 23-24).

The temporal dimension refers to the assumption that a person can reach financial well-being at present without compromising his or her future. The freedom of choice dimension ranges from maintaining strict spending control to ensure covering current or future needs and the freedom to consume worry-free and achieve financial goals.

*a. From financial knowledge to financial well-being: the model of limited rationality*

Over the past four decades, different public policies, especially in more developed economies, have given citizens greater responsibility for the procurement of some social protection services that were previously the exclusive competence of the State (Kempson et al., 2017). The hiring of specialized health insurance and retirement savings management are two examples of how people have had to increase their participation in individual and family decision-making, forecasting, and financial planning due to these changes (Hoffmann and Plotkina, 2020; Nam and Loibl, 2021). Governments' concern to ensure shared social security services was initially focused on having a better-prepared population to meet these responsibilities. The importance of financial education increased due to market development and demographic, economic, and public policy changes (OECD, 2005). The Consumer Financial Protection Bureau (2015) recognized that the purpose of financial literacy must be financial well-being.

The study of financial literacy and its relationship to financial well-being emerged in the late 1990s and early 2000s in response to the need for better understanding the mechanisms that drive people to pursue an economically sound behavior (Kempson et al., 2017). Most of the studies of these years addressed financial literacy as a synonym with financial knowledge, and this as the result of financial education (Ambuehl et al., 2017; Compe et al., 2018; Consumer Financial Protection Bureau, 2015; Fernandes et al., 2014; Ingale and Paluri, 2020).

It is assumed that more financially educated consumers contribute more to market operation efficiency. By assessing the risk-performance ratio, they become promoters of competitiveness, and by demanding products appropriate to their needs, they propitiate innovation in financial services; additionally, they are more likely to save and invest than less financially educated people (OECD, 2005). The relationship between financial education and consumer welfare follows a fairly rational logical line, which the OECD (2005) summarized as follows:

Financial education can contribute to consumer well-being by helping them become better informed about financial products and services. Becoming financially better informed involves, first, acquiring information (i.e., determining where to find the information and getting hold of it) and, second, processing this information (i.e., understanding the information and using it to make better informed financial decisions, including those about investment and retirement savings). Rational consumers will acquire and process information as long as the marginal costs of doing so are less than the perceived marginal benefits of this information. Thus, reducing these costs will encourage consumers who have not already done so to seek information about investments and encourage those who already have some financial understanding of investment to acquire more. (p. 36)

This reasoning is based on Simon's theory of limited rationality (1955). It assumes that the homo economicus follows a rational behavior based on a model containing the following elements: a set of alternatives or courses of action; a subset of those alternatives that are considered; an estimate of possible future states as a result of choosing an alternative; a utility function that assigns values to the possible results of one's choice; information about which results will occur if an alternative is chosen; and information about the probability of obtaining a specific result after selecting an alternative.

This set of elements requires that rational human beings meet certain difficult-to-reach specifications, for example, that before making any decision, they accurately evaluate each of the alternatives, predict all their possible consequences, order them consistently with their forecasts, and assign specific probabilities to those uncertain events and their results (Simon, 1955). About these difficulties, poorly addressed in practice, Simon (1955) notes that the rational behavior model is limited by human capacities and the availability of information.

The limited rationality approach and the subjective well-being precepts mentioned in the previous section suggest that the study of financial well-being through financial knowledge is possible if several conditions are met. These include that human beings seek to maximize happiness, that their happiness can be increased if their

financial well-being improves, and that their financial well-being improves if they are financially educated. Also, it is required that information is fully accessible at a reasonable price and that people possess the knowledge, skills and desire to use that information in financial decision-making.

Some empirical studies consigned the relationship between financial knowledge and financial well-being. For example, Mende and van Doorn (2015) discussed how specialized counseling could catalyze consumer financial literacy, improve their credit ratings, and reduce their financial stress. Furthermore, Hampson et al. (2018) noted that by motivating the clients of service companies to engage in healthy financial behaviors, it is possible to increase their satisfaction and improve their financial well-being. Moreover, Chu et al. (2017) studied the effect of financial literacy on investment performance at the domestic level.

However, a person with a high level of financial knowledge may choose to rest the weight of their economic decisions and behaviors on their attitudes and preferences, not just cognitive skills (OECD, 2005). When people fail to maintain a consistent economic behavior, it is usually assumed that they lack information, the knowledge to understand it, or the skills to leverage it (Roa García, 2013).

Some academics warned of the fragility of the rational behavior model when explaining the relationship between financial literacy and financial well-being. Some of them attribute this weakness to the asymmetry in the information generated by shifting the weight of financial decisions to the consumer to discharge the state from its social protection obligations (Willis, 2009). Another explanation refers to the risks posed by the individual's overconfidence and the limits on his or her cognitive abilities (Roa García, 2013). There was, then, a need to broaden the definition of financial literacy to include awareness, knowledge, skills, and behaviors that facilitate sound financial decision-making and eventually contribute to financial well-being (Atkinson and Messy, 2012).

*b. From financial attitude to financial well-being: prospect theory*

Early studies on financial well-being emphasized a psycho-emotional perspective linked to financial satisfaction. Joo and Grable (2004) highlighted the role of financial attitudes, especially risk tolerance, as a determining factor in individual financial satisfaction. A couple of years later, Prawitz et al. (2006), after interviewing financial education experts from the United States of America, built one of the first instruments to measure financial satisfaction, financial stressors, feelings of well-being, financial behaviors, and the impact of decisions.

Prospect theory is one of the theoretical contributions that have been used to analyze the relationship between personality traits, financial attitude, and financial well-being. It aims to describe individual decisions in risk scenarios and contrast rational model predictions with actual consumer choices (Kahneman and Tversky, 1979). According to this theory, "individuals are not always rational in the face of uncertainty" (Fisher and Montalto, 2010: 93).

Prospect theory explains some of the contradictions to the model of limited rationality through three effects (Kahneman and Tversky, 1979). First, people tend to ponder greater weight secure choices over those that are only likely (certainty effect). On the contrary, when all options are adverse, people prefer to take a risk rather than choosing the safe path (reflection effect). Finally, when the context in which options are presented changes, it can influence the decision maker's preferences (framework effect).

Prospect theory states that people tend to keep a mental record of their results in separate accounts and that the money in these accounts is not fungible, i.e., it is not easily replaceable or interchangeable. With this principle, a pay increase is not a substitute for affection nor a health improvement. This theory also states that families with fewer economic resources tend to develop very short-term budgets, while those with more resources tend to budget for much longer terms (Fisher and Montalto, 2010; Thaler, 1999). "Consumption in one period is not based on lifetime income, but is evaluated based on a reference point, or the level of income a household is accustomed to" (Fisher and Montalto, 2010: 93).

Behavioral economists were the first to recognize a potentially significant gap between financial knowledge and behavior, as well as the multifactorial nature of its causes (Kempson et al., 2013). Among the main psychological traits affecting financial decision-making, we find the perspective for temporal orientation, the aversion to loss, overconfidence, herding, social pressure, the tendency to confirm preconceived data, and inertial attitudes (Kempson et al., 2017). For example, patience in the short and long term and risk aversion are directly related to financial well-being, regardless of financial knowledge (Nyström and Romberg, 2017). A person with negative attitudes towards the long term is less likely to save; similarly, someone who prefers to spend now rather than prepare for the future is less likely to have an emergency financial fund or make far-reaching temporary plans (Atkinson and Messy, 2012).

Prospect theory has helped explain some of the essential features of financial well-being, especially its forward-looking orientation and the role of context in consumer preferences. Moreover, Brügger et al. (2017) emphasized the difference between financial satisfaction and financial well-being to help better understand their characteristics. While the former refers to being satisfied with the current financial situation, the second refers to a person's ability to achieve a desired financial situation both now and in the future.

*c. The effect of context on financial well-being: institutional theory*

Over the past decade, researchers in academic and government institutions have recognized the multifactorial nature of financial well-being. Their attention focused on financial capacities, i.e., the set of knowledge, skills, attitudes, and motivations that drive consumers to act economically rationally (Kempson et al., 2013) and the context of decisions.

According to Fu (2020), these capabilities seek to explain the interdependencies between financial literacy, access to formal financial products (financial inclusion) and the structural characteristics of the environment in which consumers are immersed. Traditionally, financial inclusion has been associated with banking, electronic money management, and the use of formal financial services; a positive relationship has been assumed between it and financial well-being (Gubbins, 2020). The diversity of factors involved in these interdependencies led policy financial education and inclusion policy designers to adopt an institutional approach that aims to regulate behavior and not so much to promote behavioral change (Fu, 2020; Kempson et al., 2017).

This institutionalist approach assumes “that policies to improve financial well-being should focus on financial market structures and supporting institutions, rather than narrowly target individuals' financial literacy or financial inclusion” (Fu, 2020: 1). In the case of financial capacities, the term institutions refer to public policies, programs, and initiatives that aim to configure the products offered by the financial sector, which will impact consumers' lives (Fu, 2020).

Governments have implemented mechanisms that force organizations to apply coercive isomorphic changes to their structure and processes (DiMaggio and Powell, 1983). These organizations are typically the ones that make up the financial sector, and it is through them that the state implements social change. According to the principles of institutional theory, “organizations that incorporate societally legitimated rationalized elements in their formal structures maximize their legitimacy and increase their resources and survival capabilities” (Meyer and Rowan, 1977: 352). Financial institutions that adopt financial inclusion policies, by strengthening their legitimacy, will increase their chances of survival.

The economic, social, and environmental policies promoted by supranational institutions also inspire isomorphic processes. The World Bank acknowledges that financial inclusions are vital in reducing poverty and improving prosperity (World Bank, 2018). This progress at a national level affects the Sustainable Development Goals (Fu, 2020; Le Blanc, 2015; World Bank, 2018).

Over the past decade, financial well-being has gained importance as an ulterior end, beyond financial literacy, financial inclusion, and financial capacity building. The ultimate objective of financial inclusion should not remain to optimize the use of financial products or public access to formal financial markets but to maximize the financial well-being of the population, subject to consumer protection mechanisms (Gubbins, 2020). Financial inclusion then becomes a means to contribute to people's financial well-being. Increasing the degree of financial inclusion is a necessary but not a sufficient condition to achieve financial health (Grohmann et al., 2018; Ladha et al., 2017).

## **Conclusions**

Over the past four decades, efforts to define and evaluate financial well-being have been based primarily on subjective self-reported financial perceptions. Initially, a diversity of concepts and measurements primarily focused on financial satisfaction and their contribution to overall well-being (Brügger et al., 2017). Recently, criteria have converged to establish a more extensive definition and more accurate measurements (Brügger et al., 2017; Fu, 2020; Kempson et al., 2017). In this research, different theoretical models applied to the study of financial well-being have been described. These theoretical frameworks concurrences and divergences give rise to future research topics, three of which are discussed below.

One of the lines of research derived from this study is aimed at building financial well-being indicators. Research models have gone from subjective approaches applied to specific groups to general models designed for developed economies. Testing their validity in other contexts and building new schemes for emerging economies are two of the tasks needed to consolidate progress in measuring financial well-being.



The second line of research stems from applying these metrics to the evaluation of public policies aimed at improving overall well-being and, in particular, the financial well-being of the population. By analyzing the theoretical foundations applied to the conceptualization, measurement, and analysis of financial well-being, this work helps guide this assessment. Some countries that have implemented financial inclusion and financial education policies require establishing a baseline to evaluate their results. At the same time, this evaluation should serve as the background to estimate the contribution of these and other public policies to achieving the Sustainable Development Goals.

The third line of research resulting from this work concerns the conceptualization, measurement, and impact of financial well-being in the business climate. One of the trends in corporate social responsibility is to procure employees' financial well-being, not only to increase productivity but also to provide an organizational environment attractive to talent (Frank-Miller et al., 2019). Work in this area is incipient and is considered very useful.

In general, financial well-being contributes to raising people's quality of life, improving interpersonal relationships, emotional well-being and happiness. In the organizational field, financial well-being strengthens the trust, image, and reputation of institutions and companies; and in the social sphere, it promotes economic growth and sustainable development (Brüggen et al., 2017). When experiencing widespread financial well-being, consumption is encouraged, demands for government assistance decrease and a comprehensive state of social welfare is fostered (Sacks et al., 2012). Financial well-being analysis is essential to advance in the study of general well-being, consumer behavior, and the economy of happiness.

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## Improving The Challenges Of The Construction Industry - The Case Of The Albanian Economy

PhD. Jona Puci

Dr. Albana Demi (Moshò)

PhD C. Arjana Kadiu,

Lecturer, “Canadian Institute of Technology”, Tirana, Albania, Corresponding author,  
email: jona.puci@cit.edu.al; ORCID: 0000-0002-0244-3185

Lecturer, “University Aleksander Moisiu”, Durres, Albania, Corresponding author,  
email: albanamosho@uamd.edu.al; ORCID: 0000-0003-2205-5443

Lecturer, “University Aleksander Moisiu”, Durres, Albania, Corresponding author,  
email: arjanakadiu@uamd.edu.al; ORCID: 0000-0002-7147-6204

**Abstract:** The Albanian economy is fragile due to the fact that it emerged from the dictatorship in the early 1990s. Various sectors had to develop at the same time. Due to this fact, the authors aim to bring in this research paper the changes, challenges, problems of the construction industry in the whole Albanian economy, by analyzing the annual turnover for businesses in this field. In order to identify the impact of this industry on economic growth, resources, informal economy, employment, and the problems of taxpayers in relationship with the tax administration are considered.

The methodology used analyses statistical database and data published by public institutions and the methodology used is represented by secondary data and financial reports.

In a conclusion this research study tends to inform the authorities about the impact of construction industry in the GDP Growth in Albania.

**Key words:** Albanian economy, construction industry, taxpayers, GDP Growth, employment.

**JEL codes:** B22, C3, C46, C58, E4

### Introduction

Based on the income, each family plans for the short and long-term expenses. Some of the expenses that a family makes during a certain period are of a permanent nature such as; renting the house or electricity and water bills, while some other expenses may depend on individual preferences like, spending to buy new clothes, to go to the movies, etc. The same thing happens with the government spending. Some of them are permanent, such as the payment of pensions, economic assistance for the unemployed, health services, etc. while some others depend on the plans and strategy of the government, such as construction costs, investments in infrastructure, agriculture, etc. The public expenditures vary in quantity and type, depending on the priorities that the government has at different times and are necessary to meet public needs and interests.

Most of the expenditures in the budget of the Albanian State account for expenditures like employees' salaries, social and health insurance, economic assistance, etc., while another part is allocated to expenditures for public investments - the repair of roads, bridges, territories, investments in public facilities etc.

Through public expenditures and revenues, the government influences the solution of basic economic issues, when it is a well-known fact that the government, through its expenditures influences the aggregate demand and through this, also the GDP of the country. This will undoubtedly have its no less significant repercussions.

### Literature review

Sustainable Development and Territorial Planning of a challenging reality for Albania as well as the reform of this sector are considered crucial for the Albanian economy. The authors use the explanatory method to discuss the importance of public revenues and expenditures, their entitlement and at the same time the great importance of GDP. The main policies in Albania during recent years have resulted in a liberalized economic framework and have significantly improved the conditions for doing business. This research study aims to give an overview of the construction industry, provides a panorama before and during the pandemic by analyzing the impact they have not only on the public budget but also on the family budget. The purpose of this research is to highlight the changes in law, technologies, and management over the years.

Albania's market economy to fulfill the tasks of the state, gives the primary role of public revenues and expenditures. The challenge for the government is how to spend public revenues in the best possible way (financing of education, health, infrastructure, social cases etc.).

Public revenues, in terms of their volume and structure are not only fiscal components, but also have effects on economic growth and economic development. Therefore, they must be monitored, recorded, and analyzed. Public accounting and reporting systems are essential elements for budget administration, financial accountability, and the formulation (or implementation) of policies on public expenditure and revenue.

## **METHODOLOGY**

The research paper is descriptive and it aims to identify construction issues in Albania and how to adapt European law practices in our institutions. Secondary are gathered from official publications of institutions. A considerable part of the secondary data is provided using electronic libraries of various universities, journals, and foreign articles.

To analyze the challenges of the construction industry in the Albanian economy, the authors will answer the research question: *How have reforms influenced the performance of construction industry in Albania?*

## **RESEARCH DESIGN AND TECHNIQUES**

Public expenditures, as a component of GDP, have a permanent impact on this macroeconomic indicator. An increase in public spending increases GDP by the same amount (the government spending multiplier must also be considered here) even when other variables remain constant. Moreover, an increase in income will increase consumption, because it is known from macroeconomic logic that an increase in income enables people to buy more goods.

It must be said that in all developed market economies and in countries with underdeveloped economies a very large role is given to public expenditures and revenues, to fulfill the tasks of the state.

Because it is known that: The challenge for all Governments in the world is how to spend public revenues in the best possible way, how to make a fair distribution of public money (financing of education, health, infrastructure, social cases etc.).

Therefore, we may conclude that the state, as a regulator, should give due importance to fiscal policy. It is through fiscal policy that it achieves several objectives (economic growth, economic development, economic stability, etc.).

Given the fact that public revenues in terms of their volume and structure are not only fiscal components, but also have effects on economic growth and economic development, then no doubt they must be monitored, recorded, and analyzed. Therefore, public accounting and reporting systems are essential elements for budget administration, financial accountability, and the formulation (or implementation) of policies on public expenditure and revenue.

In Table 1, are elaborated the data published by INSTAT on the Fund foreseen for buildings and engineering works. Data, published by the Ministry of Finance and Economy in the Republic of Albania on public revenues and expenditures have as well been processed. Collected data on approved building permits provide information on buildings and engineering works at the country level. Statistical information about approved construction permits is a short-term indicator that represents the development of the construction sector in the following period.

Tabela 1. Graphic: 1 Projected fund to Public revenues and expenditures

Year	Projected fund		Total public revenue	Total public expenditure
	BUILDING	Engineering works		
1996	15.361	3.395	52294	87596
1997	39.552	11.113	58949	100730
1998	11.92	1.8	102524	141628
1999	16.655	7.649	123,162	165692
2000	15.213	1.32	130,642	170621
2001	22.505	3.45	145,639	186049
2002	22.761	2.032	154,595	192517
2003	46.035	3.182	167,224	192517
2004	68.52	3.206	184,355	201152
2005	33.271	5.634	204,163	222439
2006	75.733	34.009	229,444	232339
2007	67.452	19.305	251,555	285674
2008	32.486	6.257	291,238	351492
2009	84.078	9.871	298,981	379863
2010	62.645	8.491	324,721	362752
2011	96.857	132.836	330,469	376300
2012	76.017	14.739	330,384	376241
2013	20.146	212	327,178	394118
2014	27.517	639	366,721	438849
2015	37.631	1.354	379,206	437408
2016	10.838	9.382	407,021	433697
2017	15.742	10.078	430,397	461410
2018	37.157	11.966	449,909	476147
2019	48.108	10.914	460,349	491897
2020	70.784	10.054	446,570	579535
2021	57.902	18.702	484106	592800
<b>Totali</b>	<b>1112.886</b>	<b>1191.739</b>	<b>7131796</b>	<b>8331463</b>

Sources of information Data on approved building permits are administrative data. Statistical information on construction permits is collected by the regional offices of INSTAT in cooperation with the urban offices of the respective municipalities.

Graphic: 1 Projected fund to Public revenues and expenditures

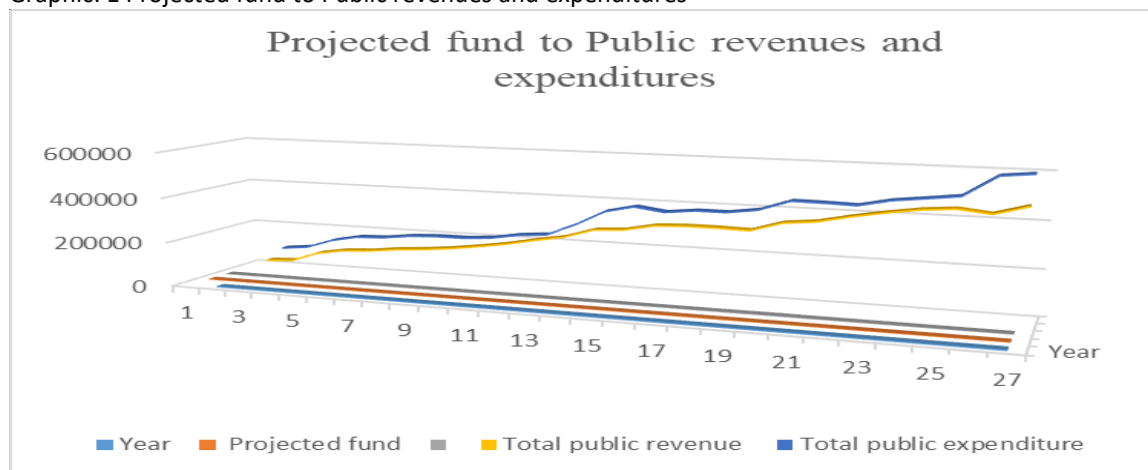
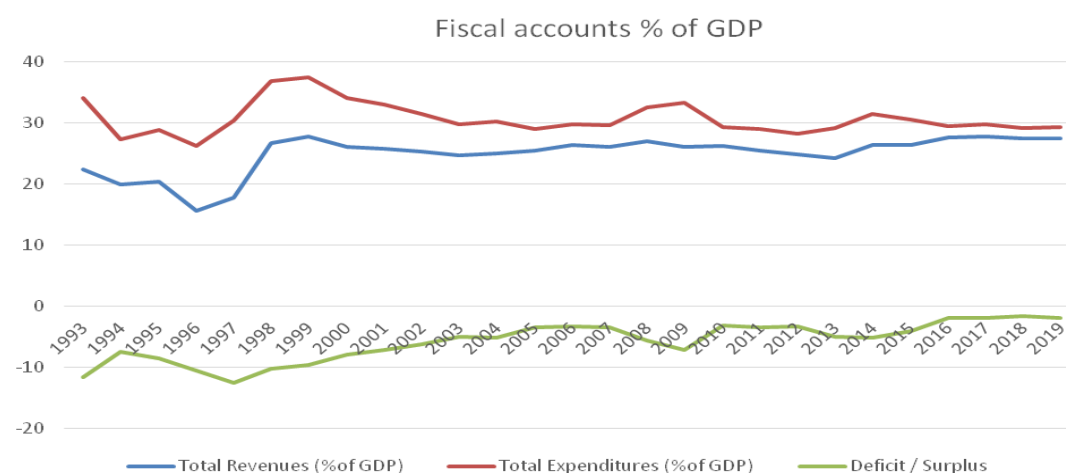


Table 2 Fiscal accounts % of GDP

Year	Total Revenues (%of GDP)	Total Expenditures (%of GDP)	Deficit / Surplus
1993	22.4	34	-11.6
1994	19.9	27.3	-7.4
1995	20.3	28.8	-8.5
1996	15.6	26.2	-10.6
1997	17.8	30.4	-12.6
1998	26.6	36.8	-10.2
1999	27.8	37.4	-9.6
2000	26.1	34	-7.9
2001	25.8	33	-7.2
2002	25.3	31.5	-6.2
2003	24.7	29.7	-5
2004	25	30.2	-5.2
2005	25.4	28.9	-3.5
2006	26.3	29.7	-3.4
2007	26.1	29.6	-3.5
2008	26.9	32.5	-5.6
2009	26.1	33.2	-7.1
2010	26.2	29.3	-3.1
2011	25.4	28.9	-3.5
2012	24.8	28.2	-3.4
2013	24.2	29.2	-5
2014	26.3	31.5	-5.2
2015	26.4	30.5	-4.1
2016	27.6	29.5	-1.9
2017	27.8	29.8	-2
2018	27.5	29.1	-1.6
2019	27.4	29.3	-1.9

Graphic: 2 Fiscal accounts % of GDP



## DISCUSSIONS AND CONCLUSIONS

In conclusion, some of the most obvious advantages and very strong reasons why doing business in Albania are as following:

- Optimal geographical location: Albania has a very favorable geographical position as it is located at the intersection of the shortest roads passing through the Western Mediterranean as well as its connection with the European Transport Network.
- Young and educated population: Albania is ranked as one of the first countries in Europe for spending on education and knowledge where English, Italian, French, and German are included in the education system.
- So, the government collects from individual's income in the form of taxes and fees and its mission is to pay citizens back in the form of public investments, social income as well as pensions.
- Competitive and incentive tax: The fiscal regime in Albania imposes more liberal taxation than many countries in the region. The profit tax rate in Albania is 15%. Personal income tax is the same at 15% and VAT 20%. There are significant facilities for enterprises in some sectors. In Albania, reduced 6% VAT is applied for tourism for

accommodation and food services within the hotel structure itself also for the press advertising books and 5-star hotels. Facilitation is also observed in tax payments. Tax certificates and a series of customs declarations are completed online in just two minutes. The assessment of customs declarations on import is done in a unified center in the General Directorate of Customs, online, free of charge.

Fiscal policy aims to reduce the impact of economic cycles on economic growth, increase employment, as well as to help in its growth to ensure a higher level of employment. Government expenditures also play a key role in increasing taxes, which negatively affects the increase of consumer expenditures. However, what the government should do against this situation is to reduce taxes without reducing or increasing the level of expenditures, thus trying to keep fiscal policies and taxes unchanged. Here the expansion phase may be encountered, i.e. where the cost of firms and consumers increase, the economy in these conditions enters the expansion phase. This explains the fact that when taxes are reduced, individuals and firms are left with more income to spend. Fiscal policy is also sometimes used to slow down economic growth.

Through the public expenses are fulfilled:

- General public needs (needs of public administration, government representative bodies, provision of subsidies, donations, financing of national defense, financing of the state army and other needs financed from the budget),
- Public needs (these include the needs of education, culture, science, social security, pensions, health, employment, housing, and other needs),
- Needs of the economic nature of the state (state intervention in the economy, in international economic relations, investment in infrastructure, etc.).

The higher the level of public services offered, the better is government's mission is fulfilled.

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## Çevrimiçi Almanca Öğretmenliği Öğretmenlik Uygulaması Dersine İlişkin Görüşlerin İncelenmesi

Mehtap Yiğit<sup>1</sup>

Prof. Dr. Sevinç Sakarya Maden<sup>2</sup>

<sup>1</sup> Trakya Üniversitesi/ Sosyal Bilimler Enstitüsü, Yabancı Diller Eğitimi Bölümü Alman Dili Eğitimi Bilim Dalı, mehtapyigit94@gmail.com , ORCID:0000-0002-5421-6072

<sup>2</sup> Trakya Üniversitesi/ Eğitim Fakültesi, Yabancı Diller Eğitimi Bölümü, sevincmaden@trakya.edu.tr,

ORCID: <http://orcid.org/0000-0001-5954-9565>

**Özet:** Bu çalışmada, Covid-19 salgını sırasında uzaktan eğitim ile yürütülen öğretmenlik uygulaması dersinin Almanca öğretmenliği bölümündeki işleyişi incelenmiştir. Çalışmanın amacı, öğretmenlik uygulaması dersinin katılımcılarının görüşlerinden hareketle sürecin olumlu ve olumsuz yönlerini saptamak ve öğretmenlik uygulaması dersinin çeşitli nedenlerle uzaktan eğitim ile yapılması durumunda sürecin verimli geçmesi için iyileştirilmesine yönelik öneriler geliştirmektir. Bu amaç doğrultusunda araştırmacı tarafından geliştirilen anket formları ile öğretmen adaylarının, danışman öğretim elemanlarının, uygulama öğretmenlerinin ve okul uygulama koordinatörlerinin görüşleri alınmıştır. Ankette yer alan soruların hazırlanmasında, Sünkür Çakmak'ın (2019) "Öğretmen adaylarının öğretmenlik uygulaması derslerine ilişkin görüşleri" isimli çalışması yol gösterici olmuştur. Çalışma nitel araştırma yöntemlerinden durum çalışması ile desenlenmiştir.

Katılımcılar; 28 öğretmen adayı, 6 danışman öğretim elemanı, 6 uygulama koordinatörü ve 10 uygulama öğretmeninden oluşmaktadır. Bu bilimsel çalışmada, "Uzaktan eğitim ile sürdürülen öğretmenlik uygulaması dersinin hedeflenen kazanımların elde edilmesi bakımından yeterli midir?" ve "Bu ders kapsamında uzaktan eğitimin daha verimli hale gelebilmesi için ne gibi değişiklikler yapılabilir?" sorularına yanıt aranmıştır.

Elde edilen sonuçlara göre, uzaktan eğitim sürecinde öğretmenlik uygulaması dersinin paydaşlarının birbirleri ile iletişim kurma bakımından sorun yaşamadıkları saptanmıştır. Uzaktan eğitim ile sürdürülen öğretmenlik uygulamasının alana özgü materyal geliştirme bakımından öğretmen adaylarına avantaj sağladığı; ancak sınıf yönetimi deneyimi kazanma bakımından ise zayıf kaldığı sonucuna ulaşılmıştır. Teknik aksaklıklar, öğrenci katılımı ve öğrencilerin ses ve kameralarının kapalı olması süreci zorlaştıran etmenler arasında baş göstermektedir.

**Anahtar kelimeler:** Almanca öğretmeni yetiştirme süreci, Öğretmenlik uygulaması, Uzaktan eğitim, Kazanımlar

**Abstract:** In this study, the functioning of the teaching practice through distance learning in the German teaching department during the Covid-19 pandemic was examined. The aim of this study is to determine the positive and negative aspects of the process based on the opinions of the participants of the teaching practice and to develop suggestions for the improvement of the teaching practice course in order to make the process of distance education efficient. For this purpose, the opinions of teacher candidates, university supervisors and cooperating teachers and coordinators were collected through the questionnaire forms developed by the researcher. Sünkür Çakmak's (2019) study with the title of "The views of teacher candidates on teaching practice courses" has been a guide for the preparation of the items in the questionnaire. The study was designed as a case study, one of the qualitative research methods.

Participants; It consists of 28 teacher candidates, 6 university supervisors, 6 practice coordinators and 10 practice teachers. In this scientific study, the research questions were "Is the teaching practice through distance learning sufficient in terms of achieving the targeted gains?" and "What changes can be made to make distance learning more efficient within the scope of this course?"

According to the results obtained, it was determined that the stakeholders of the teaching practice in the distance education process did not have any problems in communicating with each other. Teaching practice through distance learning provides an advantage to teacher candidates in terms of field-specific material development; however, it was concluded that it was weak in terms of gaining classroom management experience. Technical problems, student participation and the fact that students' audio and cameras are turned off are a number of the factors that make the process difficult.

**Key Words:** The process of training a German teacher, Teaching Practice, Distance Learning, Acquirements

### 1. GİRİŞ

2020 yılında Covid-19 salgınının ortaya çıkması ve bunun neticesinde zorunlu olarak uzaktan eğitime geçilmesi eğitimde alışlagelmişin dışında bir sürecin başlamasına yol açmıştır. Uzun yıllardır hayatın her alanında olduğu gibi eğitim alanında da geniş bir yere sahip olan dijital platformlar, bu kez eğitimin devam edebilmesi için tek yol haline gelmiştir. Daniel'e (2020: 91) göre eğitimde teknolojiye daha fazla yararlanmak, pek çok kurumun planları dâhilindeydi. Ancak Covid-19 salgını ile birlikte aylar veya yıllar içerisinde gerçekleşmesi amaçlanan değişikliklerin birkaç gün içerisinde uygulanması gerekti. Böylesi ani bir durumda hızlı kararların alınması, sürecin verimliliği konusunda endişelere yol açmanın yanı sıra, en etkili yöntemlerin arayışını da beraberinde getirmiştir. Teorik

verilen derslerin sınıf ortamında yüz yüze verilmesi yerine dijital ortamda verilmesi bir sıkıntı yaratmazken özellikle uygulaması olan derslerin sürdürülmesi konusunda zorluklarla karşılaşmıştır. Öğretmenlik Uygulaması dersi bu derslerden bir tanesidir. Yıllardır Eğitim Fakültelerinde öğretmen yetiştirim sürecinde 2 saat teorik olarak Fakülte de ders yapılması ve 6 saat okullarda gözlem ve uygulama yapılması şeklinde programlanmış ve bir yönerge<sup>1</sup> doğrultusunda Fakülte ve okul koordinatörlerinin koordinatörlüğünde bir Fakülte öğretim elemanı danışmanı ve okul uygulama öğretmeni önderliğinde yürütülmüştür.

Öğretmenlik uygulaması dersi pek çok araştırmaya (Özçelik, 2012; Baştürk, 2008; Paker, 2008; Ünal ve Altay, 2013; Aslan ve Sağlam, 2018; Sünkür Çakmak, 2019; Bulunuz ve Bulunuz, 2016; Köroğlu ve diğerleri, 2000) konu olmuştur. Ancak Mart 2020 yılında pandemi ilan edilmesinden dolayı o güne kadar uygulamalı bir ders olması sebebiyle uzaktan yapılmayan daima yüz yüze yürütülen Öğretmenlik uygulamasının uzaktan yürütülmüştür. Öğretmenlik uygulaması ders sürecinin ilk defa uzaktan yürütülmesi araştırılması ihtiyacını da beraberinde getirmiştir.

## Problem Sorusu

Salgın sırasında eğitimin sekteye uğramaması için tek çıkış yolu olarak uzaktan eğitime geçilmesi, bu sürecin işleyişini, sonuçlarını ve devam etmesi ya da farklı sebeplerden ötürü benzer bir sürecin ileriki yıllarda yaşanması durumunda nelerin iyileştirilmesi gerektiğini araştırmayı gerektirmiştir. Çeşitli paydaşları bulunan uzaktan yürütülen öğretmenlik uygulaması dersinin bu zaman zarfındaki işleyişi ve sonuçları da merak konusu olmuştur. Köroğlu ve diğerleri (2000: 85) şu sözlerle bu konudaki araştırmaların önemini vurgulamaktadır:

*“Sistemin işleyişi ancak süreçte görev alan tüm tarafların işleyişi bilmeleri, görev ve sorumlulukların bilincinde olmaları, karşılıklı beklentilerin farkında olarak uygun davranışlar sergilemeleri ve karşılaşılan problemlerin çözümüne ortak bir anlayışla katkıda bulunmaları yoluyla gerçekleşebilir. Tüm bu etmenlerin denetlenmesi, aksaklıkların zamanında fark edilerek düzeltici önlemlerin alınması, sistemin verimli işleyişini sağlama açısından önemlidir. Bu ise sistematik ve sürekli bir değerlendirme çalışmasını gerekli kılmaktadır” (Köroğlu ve diğerleri, 2000: 85).*

Bu çalışma, “Öğretmenlik uygulamasının uzaktan eğitim sürecindeki işleyişi hedeflenen kazanımların elde edilmesi bakımından yeterli midir?” ve “Bu ders kapsamında uzaktan eğitimin daha verimli hale gelebilmesi için ne gibi değişiklikler yapılabilir ve yüz yüze yapılan derslerde hedeflenen kazanımların uzaktan yapılan öğretmenlik uygulaması dersinde elde edilebilmesi için eğitim durumlarının nasıl tasarlanması gerekmektedir?” sorularına cevap aranması ile ortaya çıkmıştır.

## Araştırmanın Amacı

2020 yılının Mart ayından bu yana tüm dünyayı saran Covid-19 salgını sebebiyle örgün eğitime ara verilmiş, Trakya Üniversitesi’nde de 2020-2021 eğitim öğretim yılında tüm derslerin uzaktan canlı ve çevrimiçi verilmesine karar verilmiştir. Bu araştırmanın temel amacı, Almanca Öğretmenliği 4. Sınıf öğrencilerinin aldıkları “Öğretmenlik Uygulaması” dersinin uzaktan eğitim sürecindeki işleyişi ile ilgili öğretmen adayları, danışman öğretim elemanları, uygulama öğretmenleri ve okul uygulama koordinatörlerinin görüşlerinin alınarak incelenmesidir.

Bu amaç doğrultusunda, bu çalışma kapsamında ilk olarak uzaktan eğitim ve öğretmen yetiştirme konuları irdelenerek kuramsal bir dayanak oluşturulmuştur. Bunun ardından ise, araştırmacılar tarafından hazırlanan sorular yoluyla bulgular elde edilmiş ve bu bulgulardan hareketle, sürecin olumlu ve olumsuz yönleri gözler önüne serilerek ileride ortaya çıkacak olağan üstü bir durum nedeniyle uzaktan ve dijital ortamda verilmesi gereken Öğretmenlik Uygulaması dersi ile hedeflenen kazanımların elde edilebilmesi için önlemler alınmasına ilişkin öneriler geliştirilmesi amaçlanmıştır.

## Araştırmanın Önemi

Öğrenciler ve eğitimciler arasındaki mesafeyi önemsiz hale getiren uzaktan eğitim, çeşitli koşullarda eğitimin sürdürülebilmesine olanak sağlayarak kesintisiz eğitimi mümkün hale getirebilmektedir. Covid-19 salgınının

<sup>1</sup> MEB (2018). Uygulama öğrencilerinin Millî Eğitim Bakanlığı’na bağlı eğitim öğretim kurumlarında yapacakları öğretmenlik uygulamasına ilişkin yönerge, daha fazla bilgi için bkz. [https://oygm.meb.gov.tr/meb\\_ıys\\_dosyalar/2020\\_07/13135500\\_Yonerge.pdf](https://oygm.meb.gov.tr/meb_ıys_dosyalar/2020_07/13135500_Yonerge.pdf).

ortaya çıkması, hayatın her alanında pek çok değişikliğe gidilmesine sebep olduğu gibi, eğitimin devam etmesi noktasında yeni yollar açılması için bir fırsat olmuştur. Salgınla zorunlu hale gelen uzaktan eğitimin ne kadar devam edeceği bilinmezken, yeniden böyle bir sürecin baş göstermesi ya da doğal afet ve savaş gibi hayatı tümüyle etkileyen olayların yaşanması durumunda; günümüzde sürdürülen uzaktan eğitim sistemlerinin incelenmesi, olumlu ve olumsuz yönlerinin saptanması ve iyileştirilmesine yönelik öneriler geliştirilmesi eğitimin yararları için büyük önem teşkil etmektedir.

Bu çalışmanın önemi ise, öğretmen yetiştirmede anahtar bir role sahip öğretmenlik uygulamasının uzaktan eğitim sürecindeki işlevselliğini saptamak ve zayıf görünen yönlerini gözler önüne sermek noktasında belirginleşmektedir. Öğretmen unsurunun eğitim alanındaki önemi ve de eğitimin toplumların bugünü ve yarını üzerindeki etkisi yadsınmamaktadır. Öğretmen yetiştirme sürecinde yaşanan aksaklıkların sonuçları ise, öngörülebilenden çok daha fazlası olabilir. Bu nedenle bu çalışma, ilk kez ve ani bir şekilde deneyimlenen bir uygulama olan uzaktan eğitim öğretmenlik uygulamasının işleyişinin görüşler yoluyla incelenmesi ve olumlu yönlerinden ilerleyen yıllarda da faydalanılması açısından önem arz etmektedir.

## 2. PANDEMİ DÖNEMİNDE YURT DIŞINDA, YURT İÇİNDE VE TRAKYA ÜNİVERSİTESİNDE ÖĞRETMENLİK UYGULAMASI İLE İLGİLİ UYGULANAN EĞİTİM MODELLERİ

Covid-19 salgının ülkemizde ortaya çıkması ile birlikte 2019-2020 eğitim ve öğretim yılında Öğretmenlik Uygulaması ile ilgili olarak YÖK, ilk olarak öğretmen adaylarının 5-6 hafta arasında okullarda uygulama çalışmalarına katıldıklarını göz önünde bulundurularak uygulama çalışmalarındaki eksikliklerin 7. haftadan itibaren ders, ödev ve dosya hazırlığı ile tamamlanmasını kararlaştırmıştır (YÖK, 2020). 2020-2021 eğitim-öğretim yılında da salgının devam etmesi nedeniyle, MEB 02.10.2020 tarihli “Fakülte-Kurum İşbirliği kapsamındaki Öğretmenlik Uygulaması” konulu yazıda 2020-2021 eğitim öğretim yılında Öğretmenlik Uygulaması dersi uzaktan eğitim sürecinin işleyişinin nasıl olacağını şu şekilde açıklanmıştır:

- *Uygulama öğretmenlerinin dijital, çevrimiçi öğrenme ortamlarında öğrencileri ile birlikte yürüttükleri ders ve etkinliklere uygulama öğretim elemanı ile uygulama öğrencilerini de kayıt ederek, derslere katılmalarına ve ders anlatabilmelerine imkân sağlanması,*
- *Uygulama öğretmeni ve uygulama öğretim elemanı tarafından uygulama öğrencilerinin uzaktan öğretimle anlatacağı ders konularının/haftalarının belirlenmesi,*
- *Uygulama öğretmenin ilgi (d) çalışma takvimine bağlı olarak oluşturduğu ders programı bilgisini (toplantı adres bağlantısı ve şifresi) uygulama öğretim elemanı ve uygulama öğrencisinin e-postasına gönderilmesi,*
- *Uygulama öğrencisinin “toplantı adres bağlantısı ve şifresini kullanarak derse katılması/ders anlatması,*
- *Uygulama öğretmeni ve uygulama öğretim elemanı tarafından koordine edilen çevrimiçi ortamlarda uygulama öğrencilerinin performanslarının değerlendirilmesi,*
- *Uygulama öğretim elemanı ve uygulama öğretmeni tarafından uzaktan öğretim yoluyla uygulama öğrencisinden öğretmenlik uygulama dosyası, ödev vb. etkinliklerin hazırlanması istenmişse yapılan çalışmaların değerlendirilerek sisteme kaydedilmesi gerekmektedir (MEB, 2020).*

Üniversiteler bu çerçevede bir program oluşturarak örneğin Trakya Üniversitesinde Uzaktan Eğitim Öğretmenlik Uygulaması Kılavuzları yayınlanmış ve süreç genel olarak pek çok üniversitede benzer bir seyir izlemiştir. Öğretmenlik Uygulaması dersi normal şartlarda 2 saati teorik 6 saati ise uygulama şeklinde sürdürülen bir derstir. Salgın dönemi süresince öğretmen adaylarının dijital platformlarda çevrimiçi derslere katılarak ders anlatma deneyimi kazanmaları da mümkün olmuştur. Canlı derslerde gözlem yapmanın yanı sıra öğretmen adaylarına EBA TV üzerinden kendi branşları ile ilgili dersleri izleme, sınav soruları hazırlama, e-okul sistemini inceleme gibi çeşitli görevlendirmeler de yapılmıştır.

Ülkemizdeki farklı uygulamalar incelendiğinde, Okulda Üniversite Modeli'nin uygulandığı MEF Üniversitesi dikkat çekmektedir. Okulda Üniversite Modeli, İstanbul İl Milli Eğitim Müdürlüğü tarafından desteklenen, MEF Üniversitesi ile okullar arasında işbirliği, deneyim kazanma, mentor vb. hususlarda çalışmayı hedefleyen üniversite-okul işbirliğine dayalı bir model olarak tanımlanmaktadır (Aydın ve diğerleri, 2017: 1980). Bu model ile öğretmen adayları ilk yıllarında haftada yarım gün, ikinci yıl haftada 1, üçüncü yıl haftada 2, son yılda ise haftada 3 tam gün okullarda uygulama yapmaktadır. Bunun yanı sıra öğretmen adayları 1. Sınıfta Eğitim Bilimleri Dersi kapsamında “*DERSEM BİREBİR*” projesi ile birlikte akademik desteğe ihtiyacı olan bir ya da birkaç öğrenciye 25 saat ders çalıştırmakla sorumlu tutulmaktadır. Bu uygulama pandemi dönemi ile birlikte ise çevrimiçi ortamda

oldukça geniş bir alana yayılma imkânı bulmuştur. MEF Online Uygulama Okulu'nun kurulması ile birlikte öğretmen adayları tarafından 16 farklı şehirden ilkokul, ortaokul ve lise öğrencilerine dijital ortamda ders verme imkânı sağlanabilmiştir (Bkz. <https://bit.ly/34eJeET>, Erişim Tarihi: 25.12.2020).

Yurt dışındaki uygulama örnekleri incelendiğinde Köln Üniversitesi dikkat çekmektedir. “Praxissemester” adı verilen staj dönemi salgın döneminde “Praxissemester Digital” ismiyle çevrimiçi bir platforma dönüştürülmüştür. Öğretmen adaylarına uygulama okulundaki şartlara bağlı olarak gerek okulda gerekse ilgili çevrimiçi platformda derse katılabilme imkânı sunulmuştur. Öğretmen adaylarının bu süreçte uzaktan eğitim faaliyetlerine katılımları uygulama öğretmeninin yönlendirmeleri doğrultusunda uzaktan eğitime uygun öğretim materyalleri hazırlama gibi çeşitli etkinlikler yoluyla da çeşitlendirilebilmektedir. Öğrencilerden ilk olarak mail, telefon ya da video konferans yolu ile uygulama okulundan planlanan çalışma projesi hakkında bilgi almaları beklenmekte ve bunun ardından öğretmen adayları, çevrimiçi derslere katılıp gözlem yapma ve ders üstlenme, ders planı hazırlama gibi aşamalardan sorumlu tutulmaktadır (Bkz. <https://bit.ly/3fKAF3v> , Erişim Tarihi: 12.04.2021).

Hamburg Üniversitesi'nde de benzer bir süreç izlenmiştir. Öğretmen adaylarının süreç ile ilgili mümkün olduğunca fazla bilgi edinmeleri uygulama okullarındaki sorumlularla sağlık bilgisi kurallarına uygun bir ortamda mümkünse yüz yüze bir görüşme yapmaları istenmiştir. Böylelikle öğretmen adayları 4 hafta boyunca devam eden “Orientierungspraktikum” ve 14 gün süreli “Erkundungspraktikum” adlı stajlarını okulun şartlarına uygun olarak çevrimiçi ve yüz yüze derslere katılarak sürdürmüşlerdir. Staj sürelerinin 90 saatten 70 saate düşürülmesinin yanı sıra, yüz yüze eğitime katılımları risk teşkil eden öğrencilere tamamen uzaktan eğitimle stajlarını tamamlayabilme hakkı tanınmıştır. Bunun yanı sıra Hamburg Üniversitesi, Hamburg dışında ikamet eden öğrencilere kendilerinin organize etmesi koşulu ile farklı bölgelerdeki okullarda stajlarını tamamlama fırsatı sunmuştur (Bkz. <https://bit.ly/3oMp9iJ>, Erişim Tarihi, 25.12.2020).

Münster Üniversitesinde ise, normal şartlarda 5 hafta olan 150 saatlik staj dönemi tüm yıla yayılmış; süreç dijital ortamda öğretmenlik deneyimi kazanma, medya kullanımı, video gibi dijital materyaller tasarlama, öğrenci gruplarına ders verme gibi etkinliklerle donatılmıştır (Bkz. <https://bit.ly/3bN8C91>, Erişim Tarihi: 25.12.2020).

Eğitimin sürdürülebilmesi için yenilikleri zorunlu kılan bu süreç teknolojinin imkânlarından en yüksek ölçüde faydalanılmasını da sağlamıştır. Bu durumun örneklerinden biri de Almanya'da Paderborn Üniversitesi'nce uygulanan “Corona School” projesidir. Bu dijital platformda öğretmen adayları deneyim kazanırken çok sayıda öğrenciye de ders desteği sağlanmaktadır. Her düzeyde öğretmen adayına deneyim kazanma imkânı sağlayan bu platform öğretmen adaylarının gerektiği ölçüde mentorlar tarafından desteklenmelerine de olanak tanımaktadır (Bkz. <https://bit.ly/3wuyM8m>, Erişim Tarihi: 20.05.2021). 2020 Mart ayında Covid-19 salgını sebebiyle oluşturulan bu platformun ismi, 2021 Mayıs ayında Lern-Fair olarak güncellenerek salgının ardından da mevcudiyetini koruyacağı ve eğitimde eşitlik misyonunu sürdüreceği belirtilmiştir.

2020 yılında tüm dünyayı etkisi altına alan Covid-19 salgınının Mart ayında ülkemizde de ortaya çıkması ile birlikte eğitim-öğretimin yüz yüze devam etmesi mümkün olmadığından yurt genelinde olduğu gibi Trakya Üniversitesinde de eğitime 3 hafta ara verildikten sonra Trakya Üniversitesi rektörlüğü tarafından yapılan 13. 03. 2020 tarihli duyuru ile 23 Marttan itibaren uzaktan eğitim sistemine geçilmiştir.

2019-2020 eğitim yılında örgün eğitim ile 6 hafta sürdürülen Öğretmenlik Uygulaması için, pandemi sebebi ile uzaktan eğitim sistemine uygun bir kılavuz yayınlanmıştır. “Uzaktan Eğitim Öğretmenlik Uygulaması Rehberi” ile 7. Haftadan itibaren yapılacak etkinlikler belirlenmiştir. Dersin teorik kısmı ise, öğretim elemanlarının uzaktan eğitim platformuna çeşitli dokümanlar ve videolar yüklemesi ile sürdürülmüştür. Bu süreçte öğretmen adaylarından sınıf yönetimi, öğretim yöntem ve teknikleri, soru sorma teknikleri gibi hususlarda araştırma ödevi hazırlamaları ve ilgili ödevleri Trakya Üniversitesi E-Ders Uzaktan Eğitim Platformu'ndaki ödev butonuna yüklemeleri istenmiştir. Araştırma ödevlerinin yanı sıra, EBA TV üzerinden kendi alanları ile ilgili bir dersi gözlemleyip raporlamaları istenmiştir. Uzaktan Eğitim Öğretmenlik Uygulaması Rehberi'nde öğretmen adaylarının bu süreçte, dönemin ilk 6 haftasında ders anlatmış ise ders planını, belge ve materyalleri ödev butonuna yüklemek şartı ile yaptığı ders adedi kadar ders yapma/anlatma etkinliğinden muaf sayılacağı duyurulmuştur. Ders anlatımı yapmayan öğretmen adaylarının ise 10. Haftadan itibaren ders anlatımlarını uygulama öğretmeninin ve danışman öğretim elemanının bulunduğu dijital platformda yapmaları veya ders anlatımını video kaydı olarak sisteme yüklemeleri kararlaştırılmıştır. Buna ilaveten bir öz değerlendirme raporu yazarak ödev butonuna yüklemeleri istenmiştir. Son olarak ise, öğretmen adayları dijital ortamda hazırladıkları öğretmenlik uygulaması dosyasını T.Ü. E-Ders uzaktan eğitim platformundaki ödev butonuna yükleyerek süreci tamamlamışlardır.

07.09 2020 tarihli senato toplantısında 2020-2021 öğretim yılında da sürecin sağlıklı ilerleyebilmesi için eğitim-öğretimin eş zamanlı-çevrimiçi eğitim ile sürdürülmesi kararlaştırılmıştır. Okullarla işbirliği içerisinde yürütülen hem teorik hem de uygulamalı olan derslerin dijital ortamda yürütüleceği duyurulmuştur. Bu duruma bağlı olarak, eğitim fakültesi lisans bölümlerinde 2018 programına göre 7. ve 8. yarıyıllarda sürdürülen Öğretmenlik Uygulaması 4. sınıfta halen eski program uygulandığı için Sınıf Öğretmenliği, Okul Öncesi Öğretmenliği, Özel Eğitim Öğretmenliği bölümlerinde Öğretmenlik Uygulaması dersi her iki dönemde verilmiş, diğer bölümlerde (Almanca, İngilizce, Resim-İş, Müzik, Türkçe, Sosyal Bilgiler, Fen Bilgisi, İlköğretim Matematik, Bilgisayar ve Öğretim Teknolojileri ve Okul Öncesi Öğretmenliği) ise yalnızca 8. yarıyıldaki bir yarıyıl süresince yapılmıştır.

İlgili ders kapsamında örgün eğitim için belirlenen konu ve kazanımlar dikkate alınarak "2020-2021 Eğitim Öğretim Yılı Bahar Dönemi Öğretmenlik Uygulaması Dersi Uzaktan Eğitim Rehberi"<sup>2</sup> hazırlanmıştır. Uzaktan eğitim öğretmenlik uygulaması rehberinde öğretmen adaylarının 14 hafta boyunca bu ders kapsamında alacağı sorumluluklar açıkça belirlenmiştir. Dersin haftada iki dersten oluşan teorik kısmı, haftada 25 dakikalık 2 ders olarak öğretim elemanı tarafından Microsoft Teams üzerinden sanal sınıfta gerçekleştirilmiştir. Uzaktan eğitim sürecinde teorik derslerde devam şartı aranmazken Öğretmenlik Uygulaması dersinin okullardaki uygulamalı kısmından devam şartı aranması kararlaştırılmıştır. Öğretmen adaylarının uygulama öğretmenlerinin ders verdiği dijital ortamlara dahil olarak gözlem yapmaları, ders anlatmaları istenmiş ve böylelikle haftada 6 saat uygulama gerçekleştirilmiştir. Ders anlatımları dışında kalan zamanlarda ise adayların belirlenen etkinliklere yönelik gözlem veya ödevler yapmaları beklenmiştir.

Öğretmenlik Uygulaması dersi işbirliği içerisinde sürdürülen bir ders olması sebebi ile bu süreçte tüm paydaşların doğru bir şekilde yönlendirilmesi ve bilgilendirilmesi büyük önem taşımaktadır. Bu doğrultuda, T.Ü. Eğitim Fakültesi'ne ait internet sitesinde yer alan Okul Deneyimi ve Öğretmenlik Uygulaması butonu üzerinden gerekli dokümanlara erişim sağlanmıştır. Okul deneyimi ve öğretmenlik uygulaması butonu ile öğretmenlik uygulaması grupları, grupların uygulama yapacağı okullar, uygulama öğretmenleri ve danışman öğretim elemanları gibi bilgilere, yönerge ve kılavuzlara ulaşılabilir. Bunun yanı sıra, uzaktan eğitim sürecinde paydaşların iletişimini güçlendirmek ve bilgi alışverişini sağlayabilmek amacı ile oluşturulan bir WhatsApp grubunun yanı sıra Microsoft Teams üzerinden önemli dokümanların paylaşıldığı ve toplantıların gerçekleştirildiği bir ekip de kurulmuştur. Katılımcılarını fakülte uygulama koordinatörü, bölüm koordinatörleri ve öğretim elemanlarının oluşturduğu toplantılar belli bir takvim doğrultusunda yapılmıştır. Şöyle ki;

- 5 Mart 2021- Öğretmenlik uygulaması dönem başı toplantısı
- 18 Haziran 2021- Öğretmenlik uygulaması dönem sonu toplantısı
- 24 Eylül 2021- Öğretmenlik uygulaması I dersi dönem başı toplantısı

Bu çalışma, 2020-2021 eğitim öğretim yılında 2 saat teorik dersleri Microsoft Teams'de kurulan ekip üzerinden verilen ve 6 saat gözlem ve uygulama dersleri okullardaki öğretmenlerin dijital ortamdaki derslerinde sürdürülen Öğretmenlik Uygulaması dersine ilişkin öğretmen adayı, uygulama öğretmeni, danışman öğretim elemanı ve uygulama koordinatörlerinin görüşlerini ortaya koymaya yönelik bir çalışmadır.

### 3. YÖNTEM

Bu araştırma, salgın döneminde uzaktan eğitim ile yürütülen Öğretmenlik Uygulaması dersine ilişkin öğretmen adayı, uygulama öğretmeni, danışman öğretim elemanı ve uygulama koordinatörlerinin görüşlerini ortaya koymaya yönelik bir çalışmadır ve nitel araştırma yöntemlerinden durum çalışması ile desenlenmiştir. Durum çalışmalarında bir veya birkaç durum (olay, birey veya gruplar) derinlemesine araştırılır ve araştırılan durumu etkileyen veya durumdan etkilenen etkenler üzerine odaklanılır (Yıldırım ve Şimşek, 2018: 73). Özellikle dil öğrenimi, anadil ve ikinci dil edinimi ve öğretmen eğitimi araştırmalarında durum çalışmalarına dayalı araştırmalar sık sık görülmektedir (Paker, 2015: 119). Yıldırım ve Şimşek'e (2018) göre, durum çalışması yaparken izlenebilecek yollar sekiz başlık altında sıralanabilir:

1. Araştırma sorularının geliştirilmesi
2. Araştırmanın alt problemlerinin belirlenmesi
3. Analiz birimlerinin saptanması

2 Daha fazla bilgi için bkz. 2020-2021 Eğitim Öğretim Yılı Bahar Dönemi Öğretmenlik Uygulaması Dersi Uzaktan Eğitim Rehberi, <https://bys.trakya.edu.tr/file/open/74027913> (Erişim Tarihi: 25.12.2021)

4. Çalışılacak durumun belirlenmesi
5. Araştırmaya katılacak bireylerin seçimi
6. Verilerin toplanması ve toplanan verinin alt problemlerle ilişkilendirilmesi
7. Verilerin analiz edilmesi ve yorumlanması
8. Durum çalışmasının raporlaştırılması (Yıldırım ve Şimşek, 2018: 292).

Çalışma grubu 2020-2021 eğitim-öğretim yılı Trakya Üniversitesi Eğitim Fakültesi Almanca öğretmenliği son sınıf öğrencilerinden oluşan 28 öğretmen adayı ve 6 danışman öğretim elemanı ve Edirne/Merkez’de bulunan 5 Anadolu Lisesinde (Edirne Lisesi, Yıldırım Beyazıt Anadolu Lisesi, Sosyal Bilimler Anadolu Lisesi, 80. Yıl Anadolu Lisesi ve İlhami Ertem Anadolu Lisesi) 5 uygulama koordinatörü ve 10 uygulama öğretmenidir. Anket uygulamasının yapıldığı okulların adları, okullara göre uygulama öğretmen sayıları ve uygulama koordinatör sayıları Tablo 1’de görülmektedir. Bir uygulama koordinatörü bölüm koordinatörüdür ve Tablo 1’de okul uygulama koordinatörleri arasında yer almamıştır.

Tablo 1: Liselere Göre Araştırmaya Dâhil Edilen Katılımcıların Sayıları

Okullar	Öğretmen Sayısı	Koordinatör Sayısı
Yıldırım Beyazıt Anadolu Lisesi	2	1
İlhami Ertem Anadolu Lisesi	2	1
Edirne Lisesi	2	1
80. Yıl Anadolu Lisesi	2	1
Sosyal Bilimler Anadolu Lisesi	2	1
TOPLAM	10	5

Araştırmada veriler anket tekniği ile elde edilmiştir. Araştırmacı tarafından öğretmen adaylarına, uygulama öğretmenlerine, danışman öğretim elemanlarına ve okul uygulama koordinatörlerine yönelik olarak düzenlenmiş olan 4 anket formu uygulanmıştır. Formlarda yer alan soruların hazırlanmasında Sünkür Çakmak’ın (2019) “Öğretmen adaylarının öğretmenlik uygulaması derslerine ilişkin görüşleri” adlı çalışması yol gösterici olmuştur. Sözü edilen çalışma soruları hazırlama aşamasında üzerinde durulması gereken hususlarla ilgili araştırmacıya bir perspektif sunmuştur.

Anket formlarının ilk bölümü demografik özelliklere yönelik 2 soru içermektedir. Katılımcılarla ilgili bilgi edinmek amacıyla yer verilen yaş ve cinsiyet bilgilerine ilişkin sorular, çalışmanın sonucu ile ilişkilendirilmemiştir. Demografik bilgiler bölümünün ardından ilk önce 4 adet çoktan seçmeli soruya yer verilmiştir. Devamında ise, öğretmenlik uygulaması sürecinin öğretmen adaylarının mesleki bilgi becerilerini geliştirme ve motivasyonlarına etkisi, uzaktan eğitim ile sürdürülen öğretmenlik uygulaması dersinin sağladığı avantaj ve dezavantajlar, sürecin planlanması ve yürütülmesinde yaşanan zorluklar ve iyileştirme çalışmaları için önerilerin alındığı 6 açık uçlu soru bulunmaktadır. Açık uçlu sorular, konuya ilişkin önemli değişkenlerin gözden kaçmaması amacıyla tercih edilmiştir.

Veri toplama aracında yer alan soruların oluşturulması maksadıyla ilk olarak Fakülte-Okul İşbirliği Kılavuzu ve 2018 yılında MEB tarafından yayınlanan “Öğretmenlik Uygulaması Yönergesi” incelenmiş; bu doğrultuda paydaşların görev, yetki ve sorumlulukları saptanmıştır. Sorular bu doğrultuda hazırlanmıştır. Son olarak soru formları, Google Forms üzerinden hazırlanarak katılımcılara e-posta ve telefon aracılığıyla linkler iletilmiştir.

Verilerin analiz edilme sürecinden önce anket yanıtları incelenerek uygun olmayan veriler dikkate alınmayarak araştırmanın dışında tutulmuştur. Elde edilen veriler SPSS Statistics 22 programı ile frekans (f) ve yüzde (%) yöntemi ile çözümlenmiştir. Açık uçlu sorulardan elde edilen verilerin analizinde içerik analizi yöntemi kullanılmıştır. Söz konusu analiz sürecinin tutarlılığını sağlamak için kodlama süreci araştırmacı ve bir alan uzmanı tarafından gerçekleştirilmiştir. İlk aşamada araştırmacı ve uzman tarafından nitel analizde yer alan kod ve temalar ayrı ayrı belirlenmiştir. İkinci aşamada ise analizler sonucu ortak kod ve temalara ulaşılmıştır. Son aşamada ise ortak kod ve temalar tablolaştırılarak yüzde ve frekans değerleri hesaplanmıştır.

Çalışmanın geçerliliği ve güvenilirliği kapsamında alan uzmanlarının görüşleri alınmıştır. Anketin hazırlanmasının ardından uzman görüşleri doğrultusunda birbirini kapsayan sorular düzenlenmiş, bu doğrultuda bir soru iptal edilmiş ve süreç içerisinde yaşanan zorlukların sorulduğu yeni bir soru eklenmiştir. Düzeltmelerin ardından

formlara son şekli verilerek pilot uygulama gerçekleştirilmiş ve soruların amaca uygunluğu, anlaşılabilirliği test edilmiştir. Bu adımların ardından soruların çalışma için uygun olduğu sonucuna varılmıştır.

Açık uçlu soruların analizi aşamasında çalışmanın geçerlilik ve güvenilirliğini artırmak için, veriler hem araştırmacı hem de bir alan uzmanı tarafından kodlanmış ve kodlamalar karşılaştırılarak tablolaştırılmıştır. Bunun yanı sıra çalışmada, bulguları desteklemek amacı ile doğrudan alıntılara yer verilmiştir.

#### 4. BULGULAR VE YORUM

Öğretmen adayları, uygulama öğretmenleri, danışman öğretim elemanları ve uygulama koordinatörleri olmak üzere dört farklı gruptan elde edilen veriler, ayrı başlıklar altında tablolaştırılarak açıklanmıştır. Bunun yanı sıra, açık uçlu sorulardan elde edilen veriler doğrudan alıntılar yoluyla desteklenerek yanıtlar örneklendirilmiştir.

Çalışmada, katılımcıların isimlerine yer verilmeyecek olması sebebiyle kodlardan faydalanılmıştır. Öğretmen adaylarının kodlanması aşamasında “ÖA”, uygulama öğretmenleri için “UÖ”, danışman öğretim elemanları için “DÖ”, uygulama koordinatörleri için ise “UK” kısaltmaları kullanılmıştır. Kodlamalar, her bir katılımcı için uygun olan kısaltmanın yanına anketi yanıtlama sıralarına göre numaralar eklenerek oluşturulmuştur.

##### 4.1. Katılımcıların Demografik Özelliklerine İlişkin Bulgular

Tablo 2: Öğretmen Adaylarının Yaş Ve Cinsiyetlerine İlişkin Veriler

Kod	Yaş	Cinsiyet	Kod	Yaş	Cinsiyet
ÖA1	25	K	ÖA15	24	K
ÖA2	23	K	ÖA16	23	K
ÖA3	23	K	ÖA17	22	K
ÖA4	23	K	ÖA18	24	E
ÖA5	23	K	ÖA19	25	K
ÖA6	24	K	ÖA20	24	K
ÖA7	22	K	ÖA21	22	K
ÖA8	23	K	ÖA22	23	K
ÖA9	23	K	ÖA23	24	K
ÖA10	29	K	ÖA24	24	K
ÖA11	24	K	ÖA25	22	K
ÖA12	23	E	ÖA26	24	K
ÖA13	23	E	ÖA27	23	E
ÖA14	27	K	ÖA28	22	E

Katılımcıların demografik özelliklerine ilişkin veriler öğretmen adayı katılımcıların %79’unun kadın, %21’inin erkek öğrencilerden oluştuğunu göstermiştir (Bkz. Tablo 2).

Araştırmaya Trakya Üniversitesi Almanca öğretmenliği öğrencilerinin öğretmenlik uygulaması gerçekleştirdikleri okullarda görev alan 10 Almanca öğretmenin tamamı dâhil olmuştur. Katılımcıların (uygulama öğretmenleri) demografik özelliklerine ilişkin veriler katılımcıların %90’ının kadın, %10’unun ise erkek öğretmenlerden oluştuğunu göstermektedir (Bkz. Tablo 3).

Tablo 3: Uygulama Öğretmenlerinin Yaş Ve Cinsiyetlerine İlişkin Veriler

Kod	Yaş	Cinsiyet
UÖ1	47	K
UÖ2	46	K
UÖ3	39	K
UÖ4	46	K
UÖ5	48	K
UÖ6	33	K
UÖ7	46	E
UÖ8	50	K

UÖ9	45	K
UÖ10	-	K

Araştırmaya 5 uygulama okulu koordinatörü ve bir bölüm uygulama koordinatörü katılmıştır. Tablo 4’de de görüleceği gibi katılımcı uygulama koordinatörlerinin %66,7’si kadın, %33,3’ü ise erkektir.

Tablo 4: Uygulama Koordinatörlerinin Yaş Ve Cinsiyetlerine İlişkin Veriler

Kod	Yaş	Cinsiyet
UK1	52	E
UK2	47	E
UK3	46	E
UK4	44	K
UK5	52	K
UK6	50	E

Araştırmaya Trakya Üniversitesi Almanca öğretmenliği bölümünden 5 danışman öğretim elemanı katılmıştır. Tablo 5’de de görüleceği gibi katılımcı danışman öğretim elemanlarının %66,7’si kadın, %33,3’ü erkeklerdir.

Tablo 5: Danışman Öğretim Elemanlarının Yaş Ve Cinsiyetlerine İlişkin Veriler

Kod	Yaş	Cinsiyet
DÖ1	53	K
DÖ2	56	E
DÖ3	47	E
DÖ4	-	K
DÖ5	52	E
DÖ6	52	E

#### 4.2. Anket Sorularına İlişkin Katılımcı Görüşleri ve Önerileri

Bu bölümde, katılımcıların demografik özelliklerine ilişkin 2 sorunun ardından anket formunda yer alan 4 adet çoktan seçmeli soruya ve devamında öğretmenlik uygulaması sürecinin öğretmen adaylarının mesleki bilgi ve becerilerini geliştirme ve motivasyonlarına etkisi, öğretmenlik uygulamasının sağladığı avantajlar ve dezavantajlar, öğretmenlik uygulaması sürecinde yaşanan zorluklar ve öğretmenlik uygulamasının daha iyi yürütülebilmesi için katılımcıların yaptıkları öneriler ile ilgili 6 adet açık uçlu soru ve katılımcıların verdikleri cevaplar yer almaktadır. Şöyle ki;

1. Öğretmen adaylarının uzaktan eğitim sürecinde uygulama okulu hakkında yeterli düzeyde bilgi sahibi olabildiğini düşünüyor musunuz sorusuna verilen cevaplar

Tablo 6: Uygulama Öğretmenleri Tarafından Yönlendirilme Düzeyine İlişkin Görüşlere Yönelik Veriler

Soru 1	Görüşler		
	Evet	Hayır	Kararsızım
Uzaktan eğitim öğretmenlik uygulaması süresince uygulama öğretmeni tarafından yeterli düzeyde yönlendirildiğinizi düşünüyor musunuz?	f 22	3	3
	% 78,6	10,7	10,7

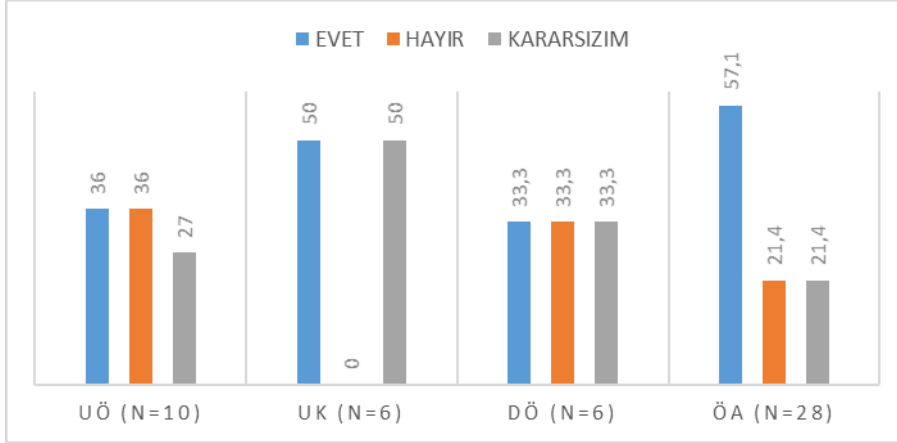
Tablo 6’da da görüleceği gibi ankete katılan 28 öğretmen adayının %78,6’sı birinci soruya “Evet” cevabını vererek uzaktan eğitim ile yürütülen öğretmenlik uygulaması süresince uygulama öğretmenleri tarafından yeterli düzeyde yönlendirildiklerini düşündüklerini belirtmişlerdir. Katılımcıların %10,7’si ise “Uzaktan eğitim öğretmenlik uygulaması süresince uygulama öğretmeni tarafından yeterli düzeyde yönlendirildiğinizi düşünüyor musunuz?”, sorusuna “Hayır” yanıtını vererek yönlendirmeleri yetersiz bulmuşlardır. Kararsızların oranı %10,7’dir. Bu veriler ışığında, öğretmen adaylarının çoğunluğunun uzaktan sürdürülen öğretmenlik uygulaması



dersi süresince uygulama öğretmenleri tarafından yeterince yönlendirildiklerini düşündüklerini ortaya koymuştur.

**2. Uzaktan eğitim sürecinde öğretmen adaylarının uygulama okulu hakkında yeterli düzeyde bilgi sahibi olup olmadığına (Koordinatörler, danışman öğretim elemanı veya uygulama öğretmenleri okul hakkında yeterli bilgilendirme yaptı mı? Ya da okulun internet sitesini incelenerek bilgi edinildi mi?) ilişkin veriler**

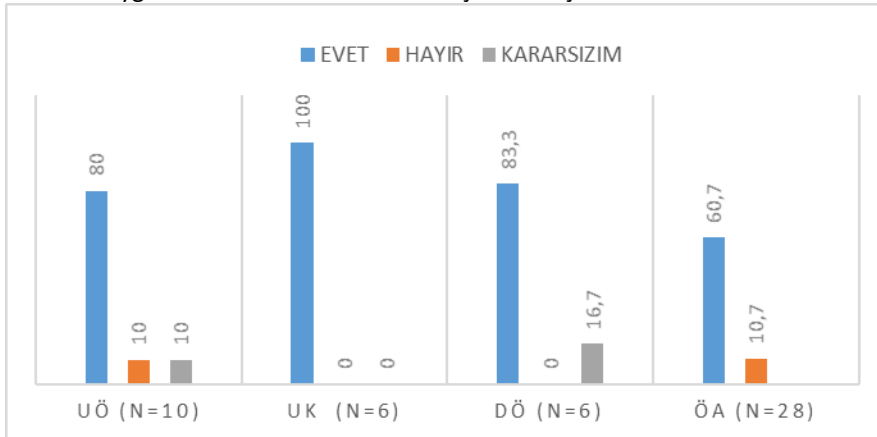
Grafik 1: Uygulama Okulu Hakkında Bilgi Sahibi Olma Durumuna Yönelik Bulgular



Öğretmen adaylarının uzaktan eğitim ile uygulama okulu hakkında bilgi sahibi olma düzeylerine ilişkin ikinci soruya yanıtları incelendiğinde öğretmen adayları ve diğer katılımcı grupların yanıtları arasında farklılıklar olduğu göze çarpmaktadır (Bkz. Grafik 1). Öğretmen adaylarının %57,1'i uzaktan eğitim sürecinde öğretmenlik uygulaması derslerinde uygulama okulu hakkında verilen bilgileri yeterli bulurken, diğer paydaşların bu noktada cevaplarının farklılık gösterdiği görülmektedir (Bkz. Grafik 1). Uygulama öğretmenlerinin %36'sı öğretmen adaylarının uygulama okulu hakkında bilgi sahibi olma düzeylerini yeterli bulurken, %36'sı yetersiz olduğunu ifade etmiştir. %27'si ise "Kararsızım" yanıtını vermiştir. Koordinatörlerin %50'sinin kararsız kaldıkları, %50'sinin soruyu "evet" ile cevaplandıkları ve danışman öğretim elemanlarının ise %33,3'ünün "Evet", %33,3'ünün "Hayır" ve %33,3'ünün "Kararsızım" seçeneğini işaretlediği görülmüştür.

**3. Uygulama okulu yöneticilerinin öğretmenlik uygulamasının verimli ilerleyebilmesi için gerekli sorumlulukları üstlenip üstlenmediğine (Dersin işleyişini planlama ve takip etme açısından, okul yöneticileri tarafından yeterli düzeyde yönlendirme yapıldı mı?) ilişkin görüşler**

Grafik 2: Uygulama Okulu Yöneticilerine İlişkin Görüşler



Uygulama okulu yöneticilerinin öğretmenlik uygulamasının uzaktan eğitim sürecinde gerekli sorumlulukları gerekli düzeyde üstlenip üstlenmediklerine ilişkin soruya verilen cevaplardan hareketle Grafik 2'de de görüleceği gibi uygulama öğretmenlerinin %80'inin yöneticilerin üstlendikleri sorumlulukları yeterli buldukları; danışman

öğretim elemanlarının %83,3'ünün, koordinatörlerin %100'ünün, öğretmen adaylarının %60,7'sinin yeterli buldukları sonucuna varılmıştır (Bkz. Grafik 2)

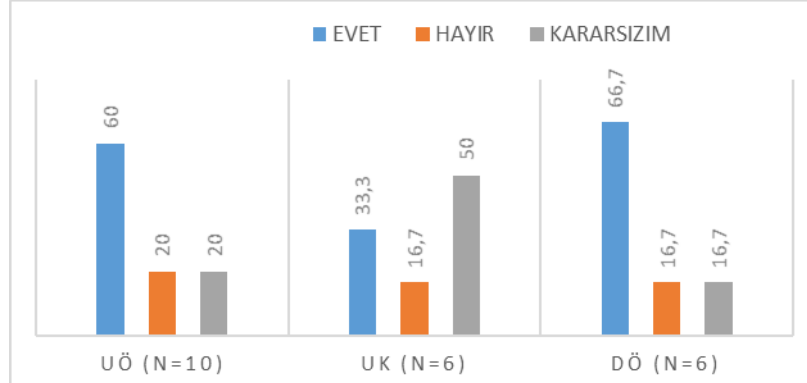
#### 4. Uzaktan eğitim öğretmenlik uygulaması süresince danışman öğretim elemanınız tarafından yeterli düzeyde yönlendirildiğinizi düşünüyor musunuz? Sorusuna ilişkin verilen cevaplar

Uygulama öğretmenlerinin %80'i uzaktan eğitim sürecinde danışman öğretim elemanları ve koordinatörlerle iletişim kurabilme düzeylerinin yeterli olduğunu belirtmiştir. Öğretim elemanlarının ise %66,7'si uygulama öğretmenleri ve koordinatörlerle iletişim kurabilme düzeylerini yeterli bulmaktadır. Uygulama koordinatörlerine aynı soru uyarlanıp sorulduğunda; danışman öğretim elemanları, uygulama öğretmenleri ve diğer koordinatörler ile iletişim kurma durumlarının yeterliliği ile ilgili %100 oranında "Evet" yanıtını vermişlerdir. Öğretmen adaylarının yanıtları incelendiğinde; katılımcıların %78,6'sının uygulama öğretmenleri tarafından yeterli ölçüde yönlendirildiğini ileri sürdüğü görülmektedir. Danışman öğretim elemanları tarafından yeterli düzeyde yönlendirme olduğunu düşünen öğretmen adayları oranının %85,7 olduğu görülmektedir.

#### 5. Uzaktan eğitim öğretmenlik uygulaması dersinin mesleki bilgi ve beceriler (sınıf yönetimi, alana özgü etkinlik ve materyal geliştirme, ders hazırlığı, öğretim yöntem ve teknikleri vb.) sağlayıp sağlamadığına ilişkin görüşler

Grafik 3'de de görüleceği gibi hedeflenen becerilerin uzaktan eğitimle sağlanıp sağlanmayacağına ilişkin soruya uygulama öğretmenlerinin %60'ı "evet", %20'si "hayır", %20'si "kararsızım" seçeneğini işaretlemiştir. Koordinatörlerin %33,3'ünün bu soruya "evet", %16,7'sinin "hayır" ve %50'sinin "kararsızım" yanıtını verdiği görülmüştür. Danışman öğretim elemanları ise %66,7 oranında "evet" yanıtını verirken, %16,7 oranında "hayır" ve "kararsızım" yanıtını verilmiştir. Grafik 3'de uygulama öğretmenlerinin, uygulama koordinatörlerinin ve danışman öğretim elemanlarının görüşleri görülmektedir. Uygulama öğrencileri ile ilgili veri mevcut değildir.

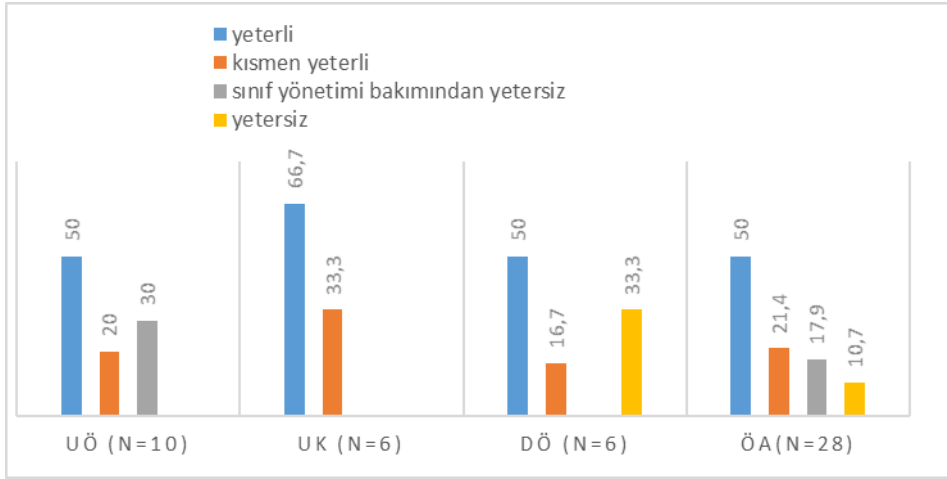
Grafik 3: Hedeflenen Becerilerin Uzaktan Eğitimle Desteklenme Düzeyinin Yeterliliğine İlişkin Bulgular



#### Uzaktan eğitim ile yürütülen öğretmenlik uygulamasının öğretmen adaylarının hazırladıkları araştırma ödevleri ve uygulama süreci de göz önünde bulundurularak mesleki bilgi ve becerileri geliştirme düzeyi yeterli mi sorusuna verilen cevaplar

Uzaktan eğitim ile yürütülen öğretmenlik uygulamasının öğretmen adaylarının hazırladıkları araştırma ödevleri ve uygulama süreci de göz önünde bulundurularak mesleki bilgi ve becerileri geliştirme düzeyinin yeterliliği bakımından değerlendirilmesi istenen soruya uygulama öğretmenlerinin %50'si yeterli olduğu yanıtını verirken %30'u sınıf yönetimi becerisini geliştirme bakımından yetersiz olduğunu ileri sürmüştür (Bkz. Grafik 4). Uygulama öğretmenlerinin %20'si ise "Kısmen yeterli" yanıtını vermiştir.

Grafik 4: Öğretmenlik Uygulamasının Mesleki Bilgi Ve Beceri Bakımından Değerlendirilmesine Yönelik Bulgular

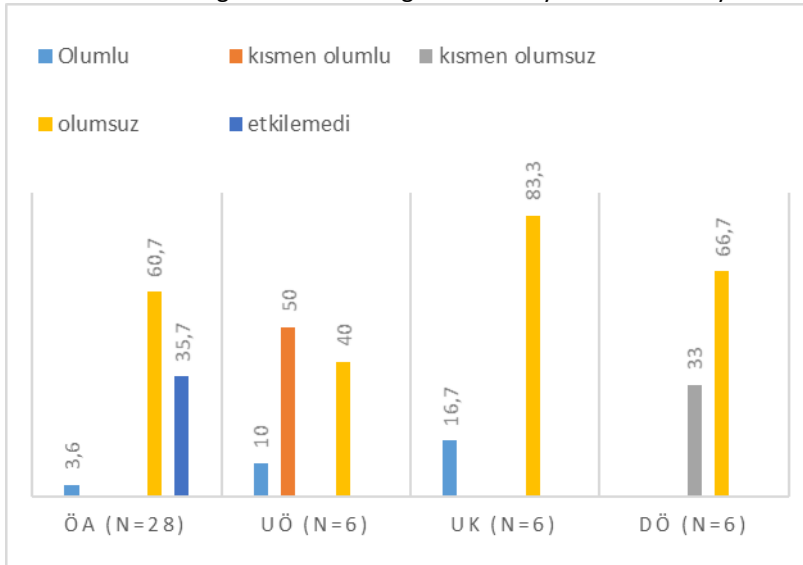


Grafik 4'deki veriler danışman öğretim elemanlarının, %50'sinin "yeterli" yanıtını verirken %16,7'sinin "kısmen yeterli", %33,3'ü "yetersiz" olduğunu dile getirdiğini göstermektedir. Uygulama koordinatörlerinin ise %66,7'si uzaktan eğitim yoluyla sürdürülen Öğretmenlik Uygulaması dersini mesleki bilgi ve becerileri geliştirme düzeyi bakımından "yeterli" görmüştür. Öğretmen adaylarının yanıtları incelendiğinde ise veriler katılımcıların %50'sinin uzaktan eğitim yoluyla sürdürülen öğretmenlik uygulaması derslerinin mesleki bilgi ve becerileri geliştirme düzeyini "yeterli" bulduğu, %17,9'unun sınıf yönetimi bakımından "yetersiz" olduğunu belirttiği, %10,7'nin ise tamamen "yetersiz" bulunduğunu ortaya koymuştur.

#### 6. Öğretmenlik uygulaması dersinin uzaktan eğitim ile yürütülmesi derse yönelik motivasyonunuzu ne yönde etkiledi? sorusu ile ilgili veriler

Grafik 5'de de görüleceği gibi uygulama öğretmenlerinin %10'u uzaktan eğitimin motivasyonlarına etkisinin "olumlu", %50'si "kısmen olumlu" ve %40'ı "olumsuz" etkilediği görülmektedir.

Grafik 5: Uzaktan Eğitim Sürecinin Öğretmen Adaylarının Motivasyonuna Etkisine İlişkin Bulgular

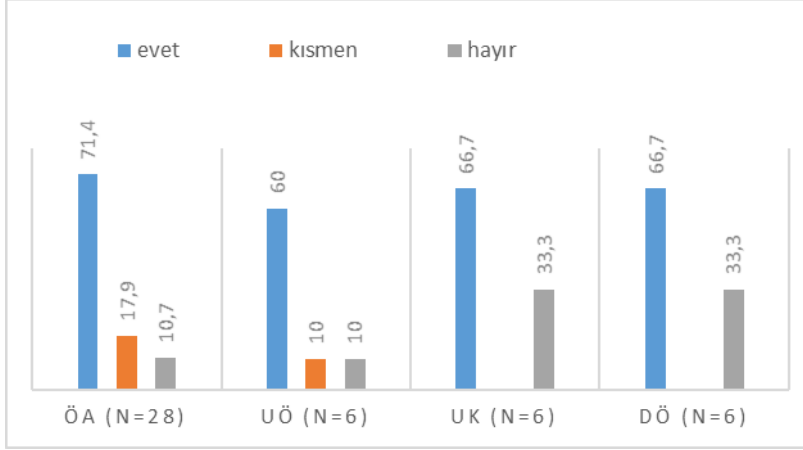


Grafik 5'de yer alan veriler öğretmen adaylarının % 66,7'sinin motivasyonlarını olumsuz; %33,3 oranında ise kısmen olumsuz etkilendiğini göstermektedir. Uygulama koordinatörlerinden elde edilen veriler ise uygulama koordinatörlerinin %83,3'sinin olumsuz etkilendiğini yansıtır niteliktedir. Öğretmen adayları ise, %60,7 oranında motivasyonlarının olumsuz etkilendiğini ifade ederken; %35,7'si sürecin derse yönelik motivasyonları üzerinde bir etkisinin olmadığını ileri sürmüştür. Öğretmen adaylarının yalnızca %3,6'sı bu durumdan kendilerini olumlu etkilendiğini belirtmiştir (Bkz. Grafik 5).

**7. Öğretmenlik Uygulaması dersini uzaktan eğitim ile almış olmanızın size mesleki açıdan avantaj sağladığı noktalar olduğunu düşünüyor musunuz? Cevabınız Evet ise, bu avantajlar nelerdir? sorusu ile ilgili cevaplar**

Araştırmada elde edilen bulgular Grafik 6'da da görüleceği gibi, katılımcıların uzaktan eğitim ile öğretmenlik uygulaması deneyiminin öğretmen adayları için hem avantaj hem de dezavantaj sağlayan yönlerinin bulunduğu görüşünün hâkim olduğunu yansıtmaktadır. Katılımcıların süreci avantaj sağlaması bakımından değerlendirmeleri istenen maddede öğretmen adaylarının %71,4'ü, uygulama öğretmenlerinin %60'ı, öğretim elemanlarının %66,7'si, koordinatörlerin ise %66,7'si uzaktan verilen öğretmenlik uygulaması derslerinin avantaj sağladığını ifade etmiştir. Elde edilen verilerden yola çıkarak avantaj sağlayan noktaların ağırlıklı olarak; teknolojiyi derse entegre etme, dijital materyal hazırlama, online ders verme ve problem çözme becerisi kazanma olduğu saptanmıştır (Bkz. Grafik 6).

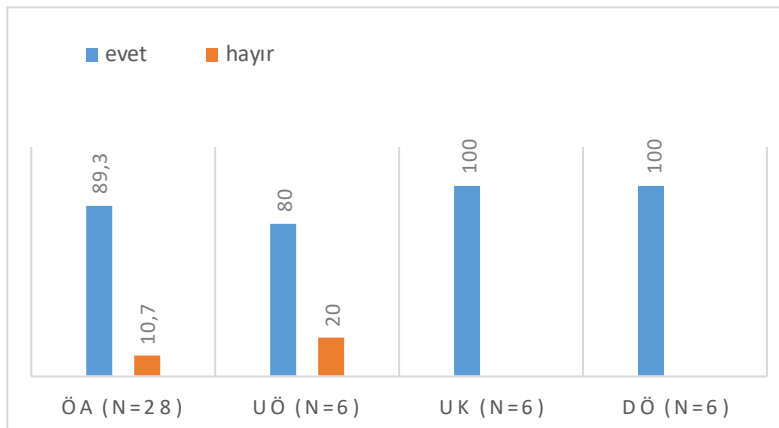
Grafik 6: Uzaktan Eğitim Öğretmenlik Uygulaması Dersinin Avantaj Sağlama Durumuna İlişkin Bulgular



**8. Öğretmenlik Uygulaması dersini uzaktan eğitimle almış olmanızın mesleki açıdan dezavantajları olduğunu düşünüyor musunuz? Cevabınız Evet ise, bu dezavantajlar nelerdir? soruları ile ilgili cevaplar**

Uzaktan eğitimin öğretmenlik uygulaması kapsamındaki dezavantajlarına yönelik yanıtlar doğrultusunda, öğretmen adaylarının okul ortamında bulunmamış olmalarının yadsınamaz düzeyde dezavantajlara yol açtığı söylenebilmektedir. Katılımcı uygulama öğretmenlerinin %80'i, danışman öğretim elemanları ve koordinatörlerin %100'i, öğretmen adaylarının ise %89,3'ü dezavantajlı olduğunu ifade etmiştir. Verilerden hareketle, sürecin öğretmen adayları açısından dezavantajlı olmasının nedeni büyük ölçüde; sınıf yönetimi deneyiminin yetersiz kalması, öğrenciler ile doğrudan iletişim kurma deneyimi kazanılamaması ve gözlem yetersizliği olarak özetlenebilmektedir (Bkz. Grafik 7).

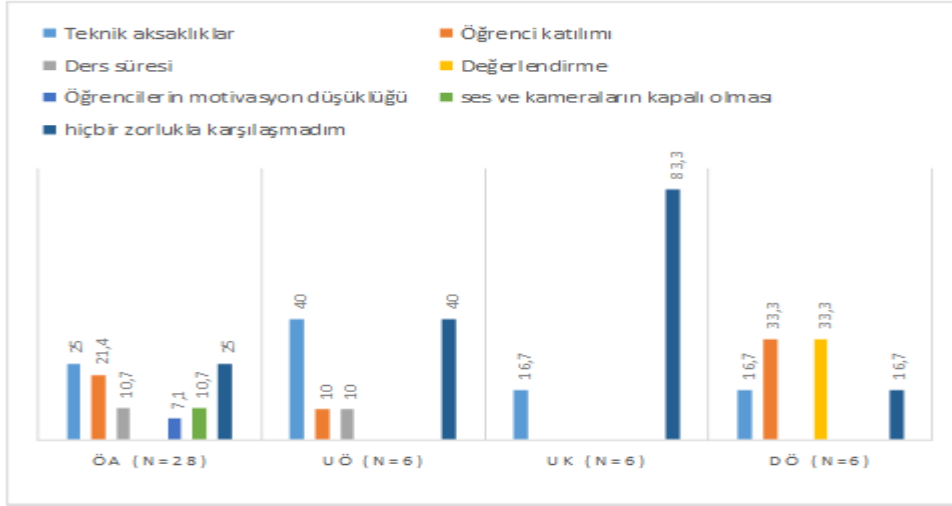
Grafik 7: Uzaktan Eğitim Öğretmenlik Uygulaması Dersinin Dezavantaj Sağlama Durumuna İlişkin Bulgular



**9. Öğretmenlik Uygulaması süresince karşılaştığınız zorluklar nelerdir? Sorusu ile ilgili veriler**

Süreç içerisinde karşılaşılan zorluklar, katılımcı grupların görev ve sorumlulukları doğrultusunda değişiklik göstermektedir. Koordinatörlerin %83,3'ü uzaktan eğitim sürecinde herhangi bir zorlukla karşılaşmadığını ifade ederken %16,7'si teknik aksaklıkların süreci zorlaştırdığı yanıtını vermiştir. Bunun yanı sıra, uygulama öğretmenlerinin %40'ı hiçbir zorlukla karşılaşmadığını ifade ederken, %40'ı ise teknik sorunlar yaşandığını vurgulamıştır. %10'u ders sürelerinin kısalığını dezavantaj olarak gösterirken aynı oranda katılımcı öğrenci katılım oranının düşük olmasını süreci zorlaştırıcı unsur olarak göstermiştir.

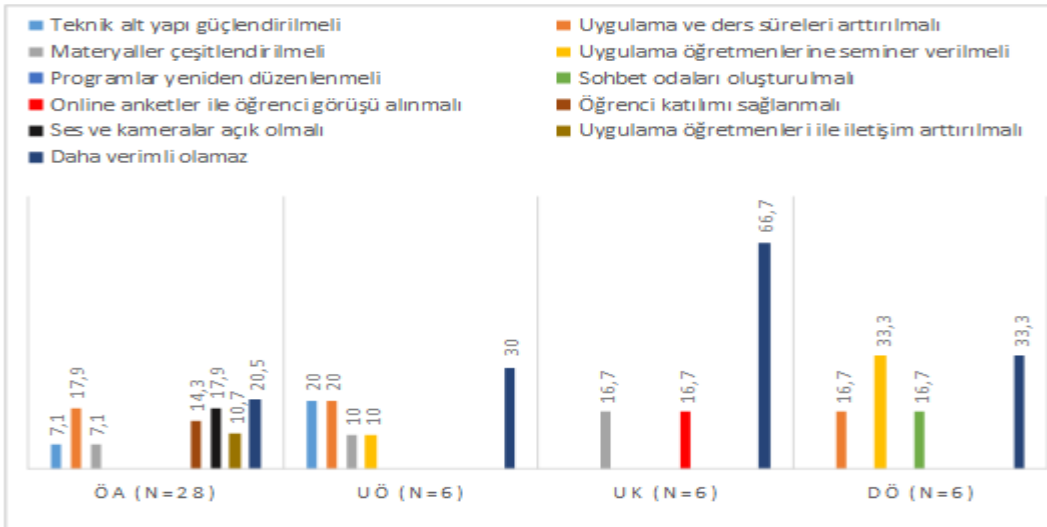
Grafik 8: Uzaktan Eğitim Öğretmenlik Uygulaması Süresince Yaşanan Zorluklara İlişkin Görüşler



Danışman öğretim elemanlarının %33,3'i ise, bu sorunlara ek olarak uzaktan eğitim sürecinin öğretmen adaylarının değerlendirilmesi noktasında zorluklara yol açtığını ifade etmiştir. Öğretmen adaylarının %25'i teknik aksaklıkları, %10,7'i ders sürelerinin kısalığını ve %21,4'i öğrenci katılımının yetersizliğini uygulamayı zorlaştırıcı unsur olarak göstermiştir. Katılımcıların %25'i öğrencilerin motivasyonlarının düşük olmasına dikkat çekmiştir. Elde edilen veriler, öğretmen adaylarının uygulama sırasında öğrencilerin ses ve kameralarının kapalı olmasından büyük ölçüde olumsuz etkilendiklerini ortaya koymuştur (Bkz. Grafik 8).

#### 10. Uzaktan eğitim ile yürütülen öğretmenlik uygulaması dersinin daha verimli hale gelmesi için ne gibi değişiklikler yapılabilir? Önerileriniz nelerdir? sorusuna ilişkin cevaplar

Grafik 9: U.E. Yürütülen Öğretmenlik Uygulamasının İyileştirilmesine İlişkin Önerilere Yönelik Bulgular



Katılımcıların uzaktan eğitim ile sürdürülen öğretmenlik uygulaması dersinin daha verimli ilerleyebilmesi için önerilerinin alındığı bölümde, grafik 9'da da görüleceği gibi veriler uygulama öğretmenlerinin %30'unun uzaktan eğitim sistemi ile sürecin daha verimli hale gelebileceğini düşündüğünü göstermiştir. %20 oranında uygulama öğretmeni teknik alt yapının güçlendirilmesi, %20 oranında uygulama öğretmeni öğretmenlik uygulaması ders

sürelerinin uzatılması gerektiğini, %10 oranında materyallerin çeşitlendirilmesi ve %10 oranında uygulama öğretmeni uygulama öğretmenlerine yönelik süreç ile ilgili seminerler verilmesini ve bilgilendirilmelerin yapılmasını önermiştir.

Danışman öğretim elemanlarının bu çerçevedeki değerlendirmeleri incelendiğinde, danışman öğretim elemanlarının %33,3'ü öğretmenlik uygulaması derslerinin uzaktan eğitim ile daha verimli olamayacağı yanıtını verdiği görülmüştür. Bunun yanı sıra, %16,7 oranında uygulama öğretmenlerine seminerler verilmesini, %33,3 oranında ise program ve yönetmeliklerinin yeniden düzenlenmesini, %16,7'si ise öğrenciler ve öğretmen adaylarının iletişiminin artırılması amacıyla sohbet odalarının oluşturulmasını arzu ettikleri dile getirmişlerdir. Koordinatörlerden elde edilen veriler incelendiğinde ise, okul uygulama koordinatörlerinin %66,7'sinin sürecin uzaktan eğitim ile daha iyi hale gelebileceği görüşünde olduğu sonucunu ortaya koymuştur. Okul uygulama koordinatörlerinin %16,7'si derslerde kullanılan materyallerin çeşitlendirilmesi, %16,7'si ders sonlarında öğretmen adayları tarafından öğrencilere çevrimiçi bir anket uygulanması gerektiğini belirtmişlerdir. Öğretmen adaylarının %20,5'i bu dersin daha verimli olamayacağını ifade ederken, %17,9'u uygulama ve ders sürelerinin artırılmasını önermiştir. %14,3'ü öğrencilerin derse katılmaları için motive edilmeleri gerektiğini, %10,7'si uygulama öğretmenleri ile iletişimin artırılması için önlemlerin alınması gerektiğini, %14,3'ü öğrencilerin ses ve kameralarının mutlaka açık olması gerektiğini, %7,1'i derste kullanılan materyallerin çeşitlendirilmesi gerektiğini, %7,1'i ise teknik alt yapının güçlendirilmesi gerektiğini düşünerek bu doğrultuda önerilerde bulunmuşlardır (Bkz. Grafik 9).

Bu verilerden yola çıkarak katılımcıların büyük bir bölümünün öğretmenlik uygulaması derslerinin yüz yüze uygulamalar ile karşılaştırıldığında uzaktan eğitim ile çok daha verimli hale gelmesinin mümkün olmadığı görüşünde olduğunu söylemek mümkündür. Bunun yanı sıra, ağırlıklı olarak teknik sorunlarla karşılaştığı ve bu sorunların çözülmesi ile sürecin daha verimli hale getirilebileceği görüşünün hâkim olduğu görülmüştür.

## 5. SONUÇ VE ÖNERİLER

Öğretmenlik uygulamasının öğrenci, öğretim elemanı, uygulama öğretmeni ve koordinatörlerin işbirliği ile sürdürülen ve öğretmen adaylarının okullarda öğretmenlik deneyimi kazanması amacıyla gerçekleştirilen bir ders olması sebebiyle, salgın döneminde uzaktan eğitim ile dersin gerekliliklerinin ne ölçüde yerine getirilebildiğinin araştırılması önemli bir araştırma konusu olarak belirginleşmiştir. Bu çalışma, “Öğretmenlik uygulamasının uzaktan eğitim sürecindeki işleyişi hedeflenen kazanımların elde edilmesi bakımından yeterli midir?” ve “Bu ders kapsamında uzaktan eğitimin daha verimli hale gelebilmesi için ne gibi değişiklikler yapılabilir?” sorularına yanıt aramak amacı ile yapılmıştır. Bu kapsamda, öğretmenlik uygulamasının Covid-19 salgını sırasındaki uzaktan eğitim süreci Almanca öğretmenliği bölümü öğrencileri, danışman öğretim elemanları, uygulama öğretmenleri ve uygulama koordinatörlerinin görüşleri alınarak incelenmiş ve değerlendirilmiştir.

İlgili ders kapsamında teorik eğitimin yanı sıra, öğretmen adaylarının okullarda bulunarak uygulama öğretmenleri ve danışman öğretim elemanlarının yönlendirmeleri ve eleştirileri doğrultusunda mesleki gelişimini arttırması beklenir. Okul yönetimi, uygulama öğretmeni ve danışman öğretim elemanı ile etkili bir işbirliği gerçekleştirilmesi öğretmen adaylarının mesleki gelişimi açısından önemli etmenler arasında görülmektedir. Bu çerçevede, araştırma kapsamında uzaktan eğitim sürecindeki paydaşlar arasındaki iletişim düzeyinin incelenmesi de gerekli görülmüştür. Yürütülen çalışmada elde edilen veriler, uzaktan eğitim sürecinde uygulama öğretmenleri, danışman öğretim elemanları ve koordinatörler arasında gerçekleşmesi beklenen iletişimin taraflarca yeterli bulunduğunu göstermektedir. Bunun yanı sıra, öğretmen adaylarının büyük bir kısmının da danışman öğretim elemanları ve uygulama öğretmenleri ile iletişim kurma noktasında sorun yaşamadıkları saptanmıştır.

Öğretmen adaylarının öğretmenlik uygulamasını gerçekleştirdikleri okulların koşulları, genel işleyişi ve sahip olduğu imkânlar hakkında bilgi sahibi olabilme düzeyleri ile ilgili olarak öğretmen adayları çoğunlukla yeterli olduğu görüşüne sahipken, diğer katılımcı gruplar bu konu hakkında ağırlıklı olarak kararsız kalmıştır.

Öğretmenlik uygulaması; öğretmen adaylarının kuramsal bilgilerini pratiğe dökebilecekleri, eksikliklerin uygulama öğretmeni ve öğretim elemanının yönlendirmeleri doğrultusunda keşfedildiği ve geliştirmeye yönelik çalışmaların yapıldığı, mesleki bilgi ve beceriler üzerindeki katkısı oldukça önemli bir derstir. Katılımcılar, uzaktan eğitim sürecinde öğretmenlik uygulamasının mesleki bilgi ve becerileri geliştirme açısından katkısı olduğunu ifade etmiştir. Bu noktada elde edilen veriler, bu çalışmanın da “Online teaching placement during the COVID-19

pandemic in Chile: Challenges and opportunities”<sup>3</sup> isimli çalışma ile benzerlik gösterdiğini ortaya koymuştur. Öğretmen adayları karşılaştıkları zorluklara rağmen, öğretmen adaylarının uzaktan eğitim ile ilgili deneyimlerinin, öğretmen eğitimine ve gelecekteki kariyerlerine katkıda bulunabileceğini vurgulanmışlardır.

Bu çalışma doğrultusunda; uzaktan eğitimin öğretmen adaylarının materyal geliştirme, dersi planlama, teknolojik materyalleri derse entegre etme becerilerini geliştirme açısından katkı sağladığı sonucuna varılmıştır. Ancak, elde edilen veriler gerçek bir sınıf ortamında bulunulamaması sebebi ile sınıf yönetimi becerisinin yeterli düzeyde desteklenemediğini ortaya koymuştur.

“Initial teacher education in England and the Covid-19 pandemic: challenges and opportunities” isimli çalışmada yüz yüze iletişim kuramamanın kaygıları da beraberinde getirdiği belirtilmiştir. Uzaktan eğitim ile ilgili yapılan bu çalışma kapsamında elde edilen veriler, bu ifadeyi destekler niteliktedir. Öğretmen adaylarının motivasyonları değerlendirildiğinde, uzaktan eğitim ile sürdürülen Öğretmenlik Uygulaması derslerinde öğretmen adaylarının motivasyonlarının olumsuz etkilendiğine yönelik görüşlerin ağırlıklı olduğu göze çarpmaktadır. Bunun yanı sıra, öğretmen adaylarının motivasyonlarının büyük oranda ders sürecinde öğrencilerin katılımları ile orantılı olarak değişkenlik gösterdiği sonucuna ulaşılmıştır. Ağırlıklı olarak öğrencilerin derse katılımlarının az olması, doğrudan etkileşim kuramamak, kamera ve mikrofonların/seslerin kapalı olması gibi etkileşimi zayıflatan unsurların öğretmen adaylarının motivasyonunu olumsuz etkileyen sebepler arasında yer almıştır.

Katılımcı grupların tamamından elde edilen veriler, öğretmenlik uygulamasının uzaktan eğitim ile sürdürülmüş olmasının öğretmen adayları için bazı avantajlara da yol açtığını görünür kılmaktadır. Dijital ortamda alternatif yöntemler kullanma, dijital materyal geliştirme, çevrimiçi ders deneyimi kazanma, zamandan ve mekândan tasarruf etme gibi avantajlar sağladığı sonucuna ulaşılabilmektedir. Bunun yanı sıra, ders sürelerinin kısalığının öğretmen adaylarının planlama becerilerine katkısının olduğu öğretmen adayları tarafından dile getirilen avantajlardan biridir. Gerçek bir okul ortamında bulunulamaması, öğrencilerle doğrudan iletişim kuramamak, bir öğretmen kimliği ile sınıf ortamında bulunarak sınıf yönetimi deneyimi elde edememek sürecin dezavantajları arasında belirginlik kazanmaktadır.

Verilerden hareketle, ders süresinin kısalığı, yaşanan teknik sorunlar, öğrencilerin ses ve kameralarının kapalı olması gibi unsurların öğretmenlik uygulamasını zorlaştıran noktalar arasında olduğu sonucuna varılmıştır. Ancak, öğretmen adaylarının zor şartlar altında böyle bir deneyim kazanmalarının problem çözme ve zorluklarla baş edebilme becerilerine katkıda bulunabileceği de öngörülebilmektedir.

Çalışmanın problemlerinden biri olan “Öğretmenlik uygulamasının uzaktan eğitim sürecindeki işleyişi hedeflenen kazanımların elde edilmesi bakımından yeterli midir?” sorusundan hareketle yürütülen çalışma neticesinde; alana özgü etkinlik ve materyal tasarımı, ders hazırlığı ve planlama, öğretim yöntem ve tekniklerinin kullanımı bakımından yeterliliğinin öğretmen adayının çabasına bağlı olarak uzaktan eğitim ile desteklenebildiği sonucuna varılmıştır. Ancak çevrimiçi ortamda ders verme ve örgün eğitim ile ders verme deneyimi arasında farklılıklar bulunmaktadır. Her iki durumda karşılaşılabildiği muhtemel sorunlar birbirinden farklılık göstermektedir. Bu çerçevede, öğretmen adaylarının sınıf ortamında bulunma deneyiminden yoksun kalmaları önemli bir eksiklik olarak değerlendirilebilmektedir. Bu süreçte öğretmen adaylarının sınıf yönetimi becerilerinin yeterliliğinin gözlemlenebilmesi ve geliştirilebilmesi mümkün olmamıştır.

#### **Yürütülen çalışmada elde edilen verilerden hareketle öneriler şu şekildedir:**

- Öğretmen adayları uygulama okulunun yapısı ve işleyişi ile ilgili yeterli düzeyde bilgilendirilmeli, okulları dijital ortamlarda tanıtan dijital materyaller ve uygulamalar geliştirilmeli ve çevrimiçi erişime açılmalı,
- Uzaktan eğitimin olumlu ve avantaj sağlayacak tarafları öğretmen adaylarına açıklanarak güdülenmeleri sağlanmalı ve bu sayede verimsiz bir uygulama olacağı yönündeki ön yargıları kırılmalı,
- Öğretmen adaylarının sanal sınıf ortamında gözlem yapabilmeleri ve dersleri öğrencilerle etkileşim halinde yapabilmeleri için öğrencilerin ses ve kameralarını açmaları istenmeli, bu konuda kaygı duyanların ses ve kamera açmaları için öğrenciler cesaretlendirilmeli,
- Öğretmen adayları için sanal ortamlarda daha küçük öğrenci gruplarına ders anlatabilecekleri düzenlemelere gidilmeli,

<sup>3</sup> Daha fazla bilgi için bkz. Morrison, A., & Sepulveda-Escobar, P. (2020). Online teaching placement during the COVID-19 pandemic in Chile: challenges and opportunities. *European Journal of Teacher Education*, 43(4), 587-607.

- Öğretmen adaylarına yüz yüze eğitim ve uzaktan eğitimin bir arada sürdürüldüğü hibrit uygulamalar yapabilecekleri hibrit eğitim modelleri geliştirilmeli ve bu yolla her iki eğitim modeli ile ilgili yeterlikleri geliştirilmeli ve bu konuda deneyim kazanmalarına imkân tanınmalı,
- Öğretmen adaylarına kendilerinin ve uygulama yaptıkları sınıflardaki öğrencilerin ilerlemelerini takip edebilecekleri ve ödevlendirmeler yapabilecekleri bir öğretmenlik uygulaması sitesi veya platformu geliştirilmeli,
- Öğretmen adaylarının kendilerini sınıf içinde hissetmelerine ve etkileşimde bulunabilmelerine imkân sağlayacak sanal gerçeklik uygulamalarından yararlanacakları sanal sınıflarlar yaratılmalı,
- MEF Üniversitesi'nde gerçekleştirilen "Online Uygulama Okulu" ve Paderborn Üniversitesi'nde sürdürülen "Corona School" projeleri örnek alınarak benzer projeler geliştirilmelidir.

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## Gümrük Mevzuatına Uyumun Sağlanması Açısından Karşılıklı Yardım ve İşbirliği Anlaşmalarının Yeri ve Önemi

Öğr.Gör.Dr. Raşit GÜLTEKİN<sup>1</sup>

<sup>1</sup>Trakya Üniversitesi, İktisadi ve İdari Bilimler Fakültesi, Maliye Bölümü, rasitgultekin@trakya.edu.tr, ORCID: 0000-0001-8390-327X

**Özet:** Gümrük işlemleri, ağırlıklı olarak uluslararası düzenlemelerin etkisi altında şekillenen ancak ulusal gümrük mevzuatı kapsamında yerine getirilmesi gereken maddi ve şekli yükümlülükler içermektedir. Gümrük idareleri söz konusu yükümlülüklerin muhatabı olan kişiler tarafından yerine getirilme durumunu çeşitli yöntem ve tekniklerle denetime tabi tutmaktadır. Gümrük ihlallerinin tespiti ve gümrük mevzuatına aykırılıkların giderilmesi noktasında temel ve önemli bir işleve sahip olan gümrük denetimine ilişkin faaliyetlerin etkili ve verimli bir şekilde yürütülmesinde ise, gümrük idaresinin çeşitli kaynaklardan sağlayacağı bilgiler belirleyici role sahiptir. Çalışmanın konusunu dış ticaretin amaçlarına uygun şekilde gelişimi ile kapsamlı bir bakış açısıyla, gümrük rejimleri, taşımacılık, nakit kontrolleri ve fikri mülkiyet haklarının korunması gibi çeşitli alanlarla ilişkili olabilen gümrük ihlallerinin tespit edilerek gümrük düzeninin korunması, gümrük vergilerine uyumun sağlanması, legal ticaretin basitleştirilmesi ve illegal ticaretin engellenmesine katkı sağlamak ve yolla tedarik zincirinin de korumak için gümrük idarelerinin diğer ülkelerin gümrük idarelerinden bilgi sağlamasına imkan veren karşılıklı yardım ve işbirliği anlaşmaları oluşturmaktadır. Çalışma kapsamında gümrük alanında karşılıklı yardım ve işbirliği anlaşmalarının amacı, kapsamı ve işleyişi üzerinde durulmuş ve Türkiye uygulaması açısından değerlendirme yapılmıştır.

**Anahtar Kelimeler:** Gümrük, Uluslararası Gümrük Anlaşmaları, Gümrük Mevzuatı, Gümrük İhlalleri, Vergi Uyum

### 1. GİRİŞ

Gümrük işlemleri, kanunlar ve idari tasarruflardan oluşan ve kural olarak ulusal niteliğe sahip olan gümrük mevzuatına göre yerine getirilmektedir. Bununla birlikte gümrük işlemlerinin içeriği dayanağı olan mevzuat çoğunlukla uluslararası düzenlemelerden kaynaklanmaktadır ve dolayısıyla gümrük idarelerinin gözetiminde ve denetiminde yerine getirilen işlem ve uygulamalar birçok ülkede aynı veya benzer nitelik taşımaktadır.

Gümrük mevzuatıyla gümrük idarelerine, gümrük işlemlerinde ağırlıklı uygulama alanı olan tarife, kıymet ve menşe, gümrük vergilerinin hesaplanması, ülke/eşya bazında uygulanan kısıtlama ve yasaklama önlemleri ile izinleri denetlenmesi bakımından oldukça kapsamlı yetkiler verilmekte ve sorumluluklar yüklenmektedir. Belirtilen kısıtlama, yasaklama, izin ve belgelendirme yükümlülükleri, ülke uygulamalarına göre değişmekle birlikte, genellikle narkotik/uyuşturucu maddeler, silahlar, kirleticiler, nesli tehlike altında olan canlılar ile zirai karantina/veteriner kontrolüne tabi eşya hakkında olabilmektedir. Ayrıca gümrük idareleri fikri mülkiyet haklarının sınırda korunmasına yönelik işlemler de yapmaktadır (Grainger, 2016: 19-20). Gümrük idareleri bu açıdan neredeyse bütün dünyada dış gümrük vergilerinin tahsili, ticaret politikası önlemlerinin denetimi, ticaretin ülke ekonomisi lehine gelişmesi ve uyumlu yükümlülerin haklarının korunması bakımından gümrük mevzuatının ilgili kişilerce tam, zamanında ve doğru uygulanılmasından sorumlu olan temel kamu idareleridir.

Gümrük idareleri, kural olarak buldukları ülkenin topraklarında, kendi gümrük bölgelerinde ve ülkesinde geçerli olan ulusal mevzuata göre gümrük işlemlerinin yerine getirilmesini gözetim ve denetim faaliyetleriyle sağlamakla birlikte bazı hallerde, kendi ülkelerinde bulunan diğer kamu idareleriyle veya başka ülkelerde bulunan gümrük idareleriyle işbirliği içerisinde hareket etmek zorunda kalabilmektedir. Başka bir bakış açısıyla, gümrük idarelerinin iletişim, yönetim, uluslararası alanda işbirliği, mevzuat, bilgi ve istatistik sağlama, kontrol, güvenlik ve mali fonksiyonlar şeklinde çeşitli fonksiyonlara sahiptir. Bunlardan uluslararası işbirliği fonksiyonu, ulusal gümrük idareleri ile komşu ülkeler ve diğer ülke gümrük idareleri ve de uluslararası örgütler, gümrük konulu projeler ve ticaret misyonu şeklindeki farklı katılımlar arasındaki etkileşim derecesini yansıtmaktadır. Amaç daha iyi gümrük uygulamalarına ulaşmak, özel mesleki tavsiyeler sağlamak, gümrük idaresinin mali ve idari kapasitesini geliştirmek ve gümrük ihlalleriyle ilgili uluslararası düzeyde bilgi değişimi ile çeşitli türdeki uluslararası suç ve usulsüzlüklerle mücadele etmek için etkili ve karşılıklı işbirliğini kurmaktır (Shpak at. all, 2020: 203-206). Bu fonksiyon, bir ülkenin gümrük bölgesinde yerine getirilen gümrük işlemlerinin neredeyse birbirini tamamalar nitelikte başka bir ülkenin gümrük bölgesinde yerine getirilmesinin doğal sonucudur. Dolayısıyla uluslararası eşya ve taşıt hareketlerinin kontrolü ve kolaylaştırılması, uluslararası ticarete tedarik zinciri güvenliğinin sağlanması ve terörizmin ve suç gelirlerinin aklanmasının önlenmesi için uluslararası yolcu hareketinin sınırda nakit kontrolleri yoluyla denetime tabi tutulması bu idarelerinin önemini artırmaktadır.

Uluslararası ticaretin hacim olarak artması ve derinleşmesi, gümrük mevzuatına uyum düzeyi artırılırken gümrük işlemlerinin hızlandırılması ve gümrük ihlalleriyle etkili bir şekilde mücadele edilmesi, genel olarak ülkeler ve somut olarak da gümrük idareleri arasında işbirliği yapılması ve karşılıklı yardım sağlanması ihtiyacını doğurmaktadır. Ancak özellikle gümrük ihlalleriyle ilişkili adli boyutu olan konularda idari/adli nitelikteki bilgi değişimine ilişkin ülkeden ülkeye değişen düzenlemeler ve uygulamalar, gümrük idarelerinin bu yola başvurusu halinde çeşitli zorluklarla karşılaşmasına neden olmaktadır (WCO, 2004: 1). Hatta bazı ülkeler gümrük işlemleriyle ilgili işbirliği girişimlerine sıcak da bakmayabilmektedirler. Bu noktada söz konusu zorlukların aşılması, gümrük alanında yaşanan iletişim sorunlarının çözümü ve gümrük uyumunun sağlanması amacıyla gümrük işlemleriyle ilgili konuları tamamen ya da kısmen kapsayan uluslararası düzenlemeler yapılmaktadır. Birleşmiş Milletler (BM/UN), Dünya Ticaret Örgütü (DTÖ/WTO) veya Dünya Gümrük Örgütü (DGÖ/WCO) gibi uluslararası örgütler himayesinde hazırlanan söz konusu düzenlemeler, katılımcı ülke sayısına göre, çok taraflı ya da iki taraflı olabilmektedir. Bazı hallerde ülkeler arasında serbest ticaret alanı ya da gümrük birliği gibi ekonomik bütünleşme kuran düzenlemelerde gümrük alanında yapılacak işbirliğine ilişkin hükümler yer alabilmektedir. Son olarak, ülkeler arasında gümrük alanında işbirliği ve yardım konularında mutabakat zaptı yapılmasının önünde de bir engel bulunmamaktadır.

Bu bağlamda çalışmanın konusunu gümrük alanında iki taraflı yapılan karşılıklı yardım ve işbirliği anlaşmaları oluşturmaktadır. Çalışma kapsamında ilk olarak konunun anlaşılması ve sınırlarının çizilmesi bakımından bu nitelikte hüküm içeren; ancak, çok taraflı olan düzenlemeler ve temel unsurları üzerinde durulmuştur. Daha sonra çalışmanın asıl konusu bağlamında DGÖ himayesinde hazırlanan Model Anlaşmaya göre yapılması gereken iki taraflı anlaşmalar incelenmiştir. Çalışmanın sonunda ise, iki taraflı anlaşmalar çerçevesinde Türkiye uygulamaları incelenmiştir.

## 2. GÜMRÜK ALANINDA KARŞILIKLI İŞBİRLİĞİ VE YARDIM İÇEREN TEMEL DÜZENLEMELER

Gümrük alanında ülkeler ve özel olarak da gümrük idareleri arasında işbirliği ve karşılıklı yardımlaşmayı içeren birçok uluslararası düzenleme bulunmaktadır. Söz konusu düzenlemelerden bir kısmı DGÖ ve BM himayesinde hazırlanmış ve imzaya açılmıştır. DGÖ himayesindekiler; Karşılıklı İdari Yardım Hakkında Tavsiye Kararı (1953), Gümrük Usulsüzlükleriyle İlgili Veri Havuzunun Oluşturulmasına İlişkin Tavsiye Kararları (1967 ve 1975), Kıbrıs Deklarasyonu (2000), Gözden Geçirilmiş İki Taraflı Anlaşma Modeli (1967 ve 2004), Gümrük Konularında Bölgesel Karşılıklı İdari Yardım Rehberi (2002), Gümrük İdareleri Arasında Karşılıklı Yardım ve İşbirliği Sözleşmesi (Napoli II), Gümrük Mevzuatının Uygulanmasında Karşılıklı Yardımlaşma Hakkında Konsey Tüzüğü (1997), Gümrük Amaçlı Bilgi Teknolojilerinin Kullanımına İlişkin Sözleşme (1995), Gümrük Suçlarının Önlenmesi, Soruşturulması ve Bastırılması İçin Karşılıklı İdari Yardıma İlişkin Uluslararası Sözleşme (Nairobi Sözleşmesi-1980) ve Gümrük Konularında Karşılıklı İdari Yardıma İlişkin Uluslararası Sözleşme (Johannesburg Sözleşmesi) şeklindedir. BM himayesindekiler ise; Narkotik Uyuşturucu ve Psikotrop Maddelerin Kaçakçılığına Karşı Sözleşme (Viyana Sözleşmesi-1998), Sınıraşan Örgütlü Suçlara Karşı Sözleşme (Palermo Sözleşmesi-2000), UNCITRAL Elektronik Ticarete İlişkin Model Kanun ve Yürürlüğe Girme Rehberi (1996) şeklindedir. Bu düzenlemelerin bir kısmı imzacı ülkeler açısından bağlayıcı bir kısmı bağlayıcı değildir (Weerth, 2019: 82). Ayrıca uluslararası düzenlemelerin gümrük idareleri arasında bilgi paylaşımına dayalı işbirliği ve yardım yükümlülükleri, ikili anlaşmalarda aynen ya da ayrıntılı şekilde yer almaktadır.

DTÖ himayesinde yapılan düzenlemelerde gümrük alanında işbirliği ve yardım konularına ilişkin hükümler yer almaktadır. Bu bağlamda;

- Ticaretle Bağlantılı Fikri Mülkiyet Hakları Anlaşmasının (TRIPs) 69. maddesinde, “*imzacı ülkeler arasında fikri mülkiyet haklarını ihlal eden eşya ticaretini engellemek amacıyla işbirliğinin yapılması*” kabul edilmiştir ve bu amaçla “*ülkelerin her birinin iletişimin sağlanması ve bildirimlerin yapılmasına yönelik idari birimler oluşturması ve eşya ticaretindeki ihlaller hakkında bilgi değişimine hazır olmaları gerektiği*” vurgulanmıştır. Ayrıca Anlaşmada, “*gümrük idareleri arasında korsan ve sahte eşyanın ticaretiyle ilgili bilgi değişimi ve işbirliği sürecinin geliştirilmesine özel önem atfedildiği*” belirtilmiştir (WTO, 2022a).
- GATT(1994)’ün VII. Maddesinin Uygulanmasına İlişkin Anlaşma Ek III’ün 6. maddesinde, “*gümrük idarelerinin gümrük kıymetinin tespiti açısından gümrük beyanının ve eki belgelerin doğruluyla ilgili incelemeler bakımından gümrük idareleri arasında işbirliği ihtiyacı*” ve “*üye ülkelerin ithalatçılara yönelik bu incelemelerde, ulusal mevzuat ve uygulamalarına bağlı olarak, tam bir işbirliği içerisinde hareket etme hakkında sahip oldukları*” vurgulanmıştır (WTO, 2022b).

- Gümrük idareleri arasında yardım ve işbirliği alanında en kapsamlı DTÖ düzenlemesi olan Ticaretin Kolaylaştırılması Anlaşmasının sınır idareleri arasında işbirliğini düzenleyen 8. maddesine göre üye ülkeler “ithalat, ihracat ve transitle ilgili sınır kontrolleri ve uygulamalarıyla ilgili olarak idareler aralarında işbirliği ve ticareti kolaylaştırıcı faaliyetleriyle ilgili koordinasyon sağlamakla yükümlüdür” ve gümrük işbirliğini düzenleyen 12. maddesine göre “gümrük işlemlerinde uyumu artıran en iyi uygulamalar hakkında bilgi paylaşımı ile buna ilişkin önlemlerinin yönetilmesi ve etkinliğinin artırılması amacıyla kapasite geliştirmeye yönelik teknik rehberlik, yardım ve destek konularında işbirliği yapmaya teşvik edilmesi” gerekmektedir. Anlaşmaya göre ülkeler, beyanın doğruluğundan şüphelenilmesi gibi makul bir gerekçenin varlığı halinde, ithalat veya ihracat beyannamesinin uygun doğrulama sürecini gerçekleştirdikten ve mevcut belgeleri inceledikten sonra bu beyanın doğrulanması amacıyla ve gizli tutulması şartıyla, talep üzerine bilgi paylaşabileceklerdir. Anlaşma, ülkelerin otomatik veya eşyanın varışı üzerine bilgi paylaşımına yönelik küresel/bölgesel veya çok taraflı/iki taraflı anlaşmalara katılımı veya mevcut olanlarının devamı ya da bu anlaşmalardan kaynaklanan yükümlülükleri için engel görmemektedir (WTO, 2022c). Anlaşma karşılıklılık, durum tespiti, iyi niyet, koruma ve gizlilik ilkelerine dayanmaktadır (Wu, 2017: 13-14). Dolayısıyla bilgi değişiminin talepte bulunan/haklı ülke ile talepte bulunulan/yükümlü ülkenin gümrük idareleri arasında karşılıklılık ve iyi niyet esasında yapılması; kötüye kullanılmaması, ölçülülük ve özen yükümlülüğü esasında yerine getirilmesi, elde edilen bilgilerin korunması ve sınırlı bir amaç için kullanması gerekmektedir.

DGÖ himayesinde hazırlanan uluslararası düzenlemelerde de gümrük alanında işbirliği ve yardım konularına ilişkin hükümler yer almaktadır. Bu bağlamda;

- Nairobi Sözleşmesine göre gümrük idareleri belirli şartlar altında “gümrük suçlarının tespiti, engellenmesi ve idari/adli yönleriyle soruşturulması sırasında gümrük idareleri arasında yapılacak karşılıklı yardım” kapsamında ve “kişilerin yakalanması ve taraf ülkeler adına gümrük vergilerinin tahsili” konularında yardım talebinde bulunabilmektedir. Ek-I uyarınca gümrük idarelerinin bir gümrük suçunun işlendiği yönünde ciddi bulgulara ulaşmaları halinde kişilerin, eşyanın ve taşıma araçlarının hareketleri ile bu suçların işlenişine ilgili yöntem ve araçlar, belge, kayıt, rapor, kanıt veya benzeri sertifikalara ilişkin bilgiyi paylaşabilmektedirler. Ek-II uyarınca gümrük vergilerinin doğru hesaplanmasıyla ilgili olarak gümrük kıymeti, eşyanın tarifesi (tarife cetvelindeki sınıflandırılması) ve menşei hakkında bilgi sağlamalıdır. Ek-III uyarınca gümrük beyanı sırasında kullanılan belgelerin doğru olup olmadığı ile ithalat/ihracatın mevzuata uygun şekilde gerçekleşip gerçekleşmediğiyle ilgili konularda bilgi paylaşımı yapılabilmektedir. Ek-IV uyarınca gümrük gözetimiyle ilgili olarak gümrük suçlarıyla ilgili özel öneme sahip kişilerin veya illegal ticarete konu eşyanın hareketi veya özellikle bu suçlarla ilgili inşa edilen yerler ile taşıtlarla ilgili bilgi değişimi yapılabilmektedir. Ek VII ve Ek VIII’de gümrük görevlilerinin diğer ülke gümrük bölgesinde bulunmasıyla ve yürütülen soruşturmaya katılmasıyla ilgili düzenlemeler yer almaktadır. Son olarak Sözleşme kapsamından kaçakçılık ile sahtecilik, tahrifat ve benzeri fiilleri kapsayan usulsüzlüklere ilişkin yöntemler ile alışılmadık ve muhtemel yöntemleri, tespit edilen son eğilimleri, taşıma araçlarını, bunlara konu eşyayı ve ilgili bütün gözlemleri hakkında tarafların bildirimde bulunma yükümlülüğü bulunmaktadır (WCO, 2021a).
- Johannesburg Sözleşmesine göre gümrük mevzuatının uygulanmasına ilişkin bilgi kapsamında “taraf ülkelerin kendi istekleri ya da talep edilmesi halinde gümrük mevzuatının doğru uygulanması, gümrük suçlarının tespiti, engellenmesi, soruşturulması ve bu nitelikteki suçlarla mücadele edilmesi ve de uluslararası ticarete tedarik zincirinin korunması” için gümrük idarelerinin bilgi değişimi yükümlülüğü altındadır. Buradaki bilgi; “gümrük idarelerinin etkinliği artıran yeni uygulama ve teknikler, gümrük suçlarıyla ilgili yeni araç, yöntem ve eğilimler, gümrük suçlarına sıklıkla konu olan eşya ve bu eşyanın taşınması ve depolanması yöntemleri ile gümrük suçlarıyla ilgili kişiler, risk yönetimi ve kolaylaştırmalar ile ilgili gümrük idarelerini destekleyecek” her türlü veriyi kapsamaktadır. Paylaşılacak bilgi, “gümrük idareleri tarafından kendi istekleri veya talep edilmesi halinde kendi gümrük bölgelerindeki konuları” kapsamaktadır. Ayrıca, “gümrük suçları gerçekleşmeden önce de belirli şartlar altında ve özellikle uluslararası ticarete tedarik zincirinin korunması amacıyla yapacakları düzenlemelere göre” bilgi değişimi mümkündür. Johannesburg Sözleşmesinde belirli şartlar altında işletilebilecek “merkezi otomatik bilgi sistemi” kurulması öngörülmüş ve “egemenlik, mevzuat ve sözleşmeler, güvenlik, kamu politikaları ve önemli sayılması nedeniyle ulusal çıkarlara zarar verebilecek diğer hususlar ile yasal, mesleki ve ticari çıkarlara ilişkin” yardım taleplerinin sınırlandırılacağı belirtilmiştir. Ayrıca “ülkesinde yürütülen soruşturmalara müdahale anlamına gelebilecek veya faydası görece düşük bilgi talepleri, talepte bulunan ülkeye gerekçesi bildirilmek suretiyle” ertelenebilmektedir (WCO, 2021b).

- Geçici Kabul Sözleşmesine (İstanbul Sözleşmesi-1990) göre “*taraf ülkeler, talep üzerine, iletişim içerisinde ve ulusal mevzuatının izin verdiği ölçüde Sözleşmenin uygulanmasıyla ilgili gerekli bilgiyi birbirlerine iletme*” yükümlülüğü altındadırlar (WCO, 2021c).

Gümrük alanında yukarıda belirtilen çok taraflı düzenlemelerin yanında bölgesel ekonomik entegrasyonlara ilişkin düzenlemeler kapsamında da işbirliği ve karşılıklı yardım yapılması mümkündür. Bu bağlamda Türkiye ile Avrupa Birliği arasında gümrük birliği kuran 1/95 sayılı Ortaklık Konseyi Kararının “*Gümrük Konularında İdari Makamlar Arasında İşbirliği*” başlıklı 7 No’lu ekinde gümrük mevzuatının doğru olarak uygulanması için, adli ve cezai konular istisna olmak üzere, “*mevzuata aykırı uygulamaların engellenmesi, tespiti ve soruşturulması*” amacıyla tarafların bilgi paylaşımı konusunda yardımlaşılacağı belirtilmiştir. Söz konusu yardım süreci; “talep üzerine”, “re’sen” ya da “bildirim” şeklinde gerçekleştirilebilmektedir (DPT, 2001: 229-235).

Gümrük alanında iki ülke arasında (iki taraflı) imzalanan ve hükümleri doğrudan gümrük idareleri tarafından yerine getirilen, hak ve yükümlülükler yaratması bakımından hukuken bağlayıcı kabul edilen karşılıklı yardım ve işbirliği anlaşmalarının yaygın bir kullanım alanı vardır. Söz konusu anlaşma, sözleşme veya protokoller haricinde karşılıklı taahhütler içermekle birlikte tarafların hukuki yükümlülüklerinden ziyade niyetlerini ifade eden ve bağlayıcı bir anlaşmanın formalitelerinden kaçınarak işbirliği içerisinde hareket etmesini sağlayan mutabakat zaptı (Memoranda of Understanding-MOU) şeklinde yazılı metinler bulunmaktadır. Ancak birçok ülke ulusal mevzuatta yer alan gizlilik ve verilerin korunması ile gümrük idareleri arasında paylaşılan bilgilerin kullanılmasına ilişkin hükümlere uyum sağlama açısından içerdiği hükümler nedeniyle hukuken bağlayıcı anlaşmaları tercih etmektedir. Bu nitelikteki anlaşmalarının içeriğinde ve uygulamasında birlik sağlanması için bir de DGÖ Konseyinin 85. ve 86. Oturumları sonucunda kabul edilen Model Anlaşma Taslağı (Taslak Anlaşma) bulunmaktadır (WCO, 2004: 2-3).

### 3. İKİ TARAFLI KARŞILIKLI YARDIM VE İŞBİRLİĞİ ANLAŞMALARI

Günümüzde uluslararası ticaretin yönetimi ve tedarik zincirinin korunması, gümrük suçlarıyla mücadele edilmesi, legal ticareti kolaylaştırırken gümrük mevzuatının etkin bir şekilde uygulanmasını sağlamak gibi amaçlarla gümrük idareleri, gümrük beyanının olağan kontrolü ile birlikte giderek artan oranda risk analizine ve seçici kontrollere dayanan denetim tekniklerinden yararlanmaktadırlar. Rastgele kontrollerle desteklenen bu teknikler gümrük idarelerinin karmaşık dış ticaret operasyonları içerisinde yüksek riskli sevkiyatlar üzerine yoğunlaşmasını sağlamaktadır. Gümrüklerde etkili risk yönetimi yapılması ise, gümrüğün kendi veri kaynakları yanında ihracatçı ülke, ticaret ve nakliye birimleri gibi çeşitli kaynaklardan bilgi sağlamasını gerektirmektedir. Bu açıdan gümrük idareleri arasında bilgi değişimini kolaylaştırmak ve hukuken bir temel oluşturmak için bağlayıcı ve etkin şekilde uygulanabilen uluslararası düzenlemelere gerek duyulmaktadır.

Gümrük alanında iki taraflı karşılıklı yardım ve işbirliği anlaşmaları uluslararası işbirliği açısından misyonunu tamamlamış ve pek de gündeme gelemeyen çok taraflı Nairobi Sözleşmesinden bugüne en önemli hukuki aracı oluşturmaktadır (Weerth, 2019: 96). Yukarıda belirtildiği üzere, iki taraflı anlaşmalar DGÖ tarafından uygulamaya konulan Taslak Anlaşmaya göre hazırlanmaktadır. Bu açıdan Taslak Anlaşma, ikili anlaşmaların müzakeresi için sağlam bir temel ve esnek bir kontrol listesi oluşturmaktadır (WCO, 2004: 2).

İki taraflı anlaşmaların özünde, “*gümrük mevzuatının düzgün bir şekilde uygulanması ve gümrük ihlallerinin (suçlarının) önlenmesi, soruşturulması ve bu suçlarla mücadele edilmesi amacıyla gümrük idareleri arasında karşılıklı yardımın sağlanması*” amacı bulunmaktadır. Anlaşmalar karşılıklı yardım ve işbirliği esasında taraf ülkelerdeki gümrük işlemlerinde kullanılan bilginin doğruluğunun sağlanması yönelik faaliyetleri kapsamına almaktadır. Dolayısıyla anlaşmalar, taraf ülkelerin kapsamına giren gümrük konularıyla ilişkili yardımı, ulusal mevzuatları ve idari düzenlemeleri çerçevesinde yerine getirerek gümrük idareleriyle muhatap olan kişilerin gümrük mevzuatına uyumunu sağlamaya hizmet etmektedir.

Taslak Anlaşmada, iki taraflı anlaşmalarda yer alacak başlıklara ilişkin ipuçları içermektedir. Buna göre iki taraflı anlaşmalarda; Önsöz (*Preamble*), Tanımlar (*Definitions*), Kapsam (*Scope of the Agreement*), Bilgi (*Information*), Özel Yardım Türleri (*Special Types of Assistance*), Sınır Ötesi İşbirliği (*Cross-Border Co-operation*), Taleplerin İletilmesi (*Communication of Requests*), Taleplerin Yerine Getirilmesi (*Execution of Requests*), Bilgilerin Kullanımı, Gizliliği ve Korunması (*Use, Confidentiality and Protection of Information*), İstisnalar (*Exemptions*), Maliyetler (*Costs*), Anlaşmanın Uygulanması (*Implementation and Application of the Agreement*), Anlaşmanın Uygulanacağı Toprak Parçaları (*Territorial Application of the Agreement*), Uyuşmazlıkların Çözümü (*Settlement Of Disputes*) ve Son Hükümler (*Final Provision*) başlıkları altında düzenlemeler yer alabilmektedir. Bununla birlikte taraf ülkelerin anayasa ve diğer iç hukuk düzenlemelerine uyum sağlamak için müzakereler sırasında kendilerine uygun düşen

düzenlemelere yer vermesi de mümkündür. Diğer bir ifadeyle taraf ülkeler, temel hükümler dışında, temel olmayan maddelerde seçim yapabilmekte veya bunları kendi durumlarına göre uyarlayabilmektedirler. Ayrıca iki taraflı anlaşmalarda belirli eşya türleri için yasak, kısıtlama ve önlem içeren Gümrük Suçlarının Önlenmesi, Soruşturulması ve Önlenmesine İlişkin Karşılıklı İdari Yardıma İlişkin Uluslararası Sözleşme (Nairobi Sözleşmesi), Narkotik Uyuşturucu ve Psikotrop Maddelerin Yasadışı Ticareti (Viyana Sözleşmesi) veya Nesli Tehlike Altında Olan Yabani Hayvan ve Bitki Türlerinin Uluslararası Ticaretine İlişkin Sözleşme (CITES) hükümlerine atıfta bulunularak ilave düzenlemeler yapılabilmektedir (WCO, 2004: 2; 25).

### 3.1. Anlaşmalarda Yer Alan Temel Kavramlar

Taslak Anlaşmada iki taraflı anlaşmalarda yer alan kavramların taraf ülkeler için aynı şeyi ifade etmesi ve uygulamada birlik sağlanması amacıyla çeşitli kavramlara ve tanımlarına yer verilmiştir. Ancak, kavramların kullanımı sınırlandırılmadığından, taraf ülkelerin ikili anlaşmalarda ihtiyaçlarını karşılayacak farklı kavramlara yer vermesi veya mevcutlardan çıkarması mümkündür. Bunlardan, gümrük mevzuatına uyum konusu bakımından önemli görülen; “gümrük idareleri”, “gümrük mevzuatı”, “gümrük suçu”, “gümrük vergileri ve resimleri”, “kişi”, “bilgi” ve “tedarik zinciri” kavramlarının tanımları aşağıdaki gibidir.

- Gümrük idareleri; “*talepte bulunan gümrük idaresi*” ve “*talepte bulunulan gümrük idaresi*” olmak üzere iki statüde tanımlanmıştır (WCO, 2004: 6). Yukarıda belirtildiği üzere iki taraflı anlaşmalar ülkeler arasında yapılmakla birlikte işbirliği ve yardım süreci esas itibarıyla anlaşmaya taraf ülkelerin gümrük idareleri arasında gerçekleşmektedir. Dolayısıyla iki taraflı anlaşmalarda her iki ülkenin yetkili gümrük idarelerinin ismen belirtilmesi gerekmektedir.
- Gümrük mevzuatı kavramı, “*yasaklama, kısıtlama veya kontrollere ilişkin yasal ve idari hükümler de dahil olmak üzere, eşyanın ithalatı, ihracatı, aktarımı, transit, depolanması ve hareketine veya diğer herhangi bir gümrük işlemine ilişkin olarak, uygulama veya yürütülmesi gümrük idarelerinden herhangi biri tarafından gerçekleştirilen, kanun ve yönetmeliklerle belirlenen hükümler*” olarak tanımlanmıştır (WCO, 2004: 26). Aynı tanım Johannesburg Sözleşmesinde de yer almaktadır (WCO, 2021b). Gümrük mevzuatı kavramının tanımı ve anlamı, anlaşmalarla gerçekleşmesi beklenen amaçlar doğrultusunda olabildiğince geniş tutulmaktadır. Bu bakımdan denetimi gümrük idaresinin sorumluluğuna bırakılan fikri mülkiyet haklarının korunması, kültürel mirasın korunması, canlı türlerinin korunması ve kara paranın aklanmasıyla mücadele edilmesi gibi konular da gümrük mevzuatı kapsamında değerlendirilmektedir.
- Gümrük suçu kavramı, “*gümrük mevzuatının herhangi bir şekilde ihlali veya bu nitelikteki fiillerin teşebbüs aşamasında kalmış halleri*” olarak tanımlanmıştır. Kavramın anlamı ve somut türleri bakımından kapsamı sınırlandırılmayarak uluslararası ticarete tedarik zincirine zarar vermeye yönelik bütün fiiller bu kapsamda kabul edilmiştir (WCO, 2004: 26). Aynı tanım Nairobi Sözleşmesinde ve Kyoto Sözleşmesi Ek H'de de yer almaktadır. Ancak kavramın, ulusal mevzuatta idari veya cezai sorumluluk içeren, malların ve diğer öğelerin gümrük sınırından geçişinin uluslararası hukuk tarafından belirlenen eylemleri ihlal eden fiillerin uluslararası gümrük suçu olarak tanımlanması mümkündür. Uluslararası gümrük suçları, esas itibarıyla, hileli suçlar (customs fraud) ile kaçakçılık (smuggling) suçlarına işaret etmektedir. Bunlardan hileli suçlar; kişinin gümrüğü aldatarak ithalat veya ihracat vergilerini kısmen veya tamamen ödemekten kaçınması veya gümrük mevzuatının öngördüğü yasak veya kısıtlamalardan kaçınması ile gümrük mevzuatını ihlal ederek başka menfaatler sağlamasıdır. Kaçakçılık suçları ise, eşyanın gizli bir şekilde taşınarak gümrük sınırlarından geçirilmesi ve bu şekilde gümrüğün aldatılmasıdır. Dolayısıyla kaçakçılık suçu sadece gümrük kontrolünden kaçınmak amacıyla eşyanın saklandığı durumları değil, bunlarla birlikte eşyanın gümrüğe uygun şekilde beyan edilmediği durumları da kapsamaktadır (Ovchinnikov, 2015: 220-223).
- Gümrük vergileri ve resimleri kavramı, “*gümrük mevzuatının uygulanması bakımından anlaşmaya taraf ülkelere eşyanın ithalatı veya ihracatı sırasında veya bununla ilgili olarak tahsil edilen tüm vergi, ücret veya harçları kapsayan mali yükümlülükler*” olarak tanımlanmaktadır. Ancak hizmet karşılığı alınan ücretler ve harçlar gümrük vergileri kapsamında değerlendirilmemektedir (WCO, 2004: 6). Tanım, Johannesburg Sözleşmesinde de aynı şekilde yer almaktadır (WCO, 2021b). Belirtilmelidir ki gümrük idareleriyle ilişkilendirilebilecek ithalat vergileri (customs-administrated import taxes), kaçınılmaz olarak, ithalat vergilerini ve ithalatla bağlantılı katma değer vergisi, tüketim vergisi ve diğer mali yükümlülükleri kapsayabilmektedir. Ayrıca bazı ülkelerde uygulanan ihracat vergileri ile transit geçişlere ilişkin gümrük vergileri de uygulama alanı bulabilmektedir (Grainger, 2016: 18).

- Kişi kavramı, “gerçek ve tüzel kişiler ile yürürlükteki kurallar çerçevesinde mümkün olan hallerde, yasal faaliyetlerde bulunma kapasitesine sahip olan fakat yasal olarak tüzel kişi statüsünde bulunmayan kişi ortaklıkları” olarak tanımlanmış ve metin aksini gerektirmedikçe, hem gerçek hem de tüzel kişileri ifade ettiği belirtilmiştir (WCO, 2004: 6; 26). Benzer bir tanım, Johannesburg Sözleşmesinde de yer almaktadır (WCO, 2021b).
- Bilgi kavramı, “işlenmiş veya analiz edilmiş olsun veya olmasın, her türlü veri ve belgeler, raporlar ve elektronik ortamda olanlar da dahil herhangi bir formattaki diğer iletiler veya bunların tevsik veya tasdik edilmiş kopyalarının yanı sıra, bunların yorumlanması için gerekli araçlar” şeklinde tanımlanmıştır (WCO, 2004: 6). Tanım, Johannesburg Sözleşmesinde de aynı şekilde yer almaktadır (WCO, 2021b).
- Uluslararası tedarik zinciri kavramı, “eşyanın malların menşe yerinden (ülkesinden) nihai varış yerine (ülkesine) kadarki sınır ötesi hareketiyle ilgili tüm süreçler” şeklinde tanımlanmıştır (WCO, 2004: 6). Benzer bir tanım, Johannesburg Sözleşmesinde de yer almaktadır (WCO, 2021b).

Taslak Anlaşmada yer almamakla birlikte “karşılıklı idari yardım” kavramının tanımlar içerisinde yer almasında fayda bulunmaktadır. Revize Kyoto Sözleşmesinin Ek-2 Genel Ek Bölüm 2'nin “Tanımlar” başlıklı kısmında kavram, “bir gümrük idaresinin bir başka gümrük idaresi adına veya onunla işbirliği ile gümrük mevzuatının usulünce uygulanması ve gümrük suçlarının önlenmesi, soruşturulması ve mücadele edilmesi ile ilgili yaptığı işlem” olarak tanımlanmıştır (WCO, 2021d).

### 3.2. Anlaşmaların Kapsamı ve İşleyişi

Taslak Anlaşmaya göre iki taraflı karşılıklı yardım ve işbirliği anlaşmaları; “gümrük mevzuatının uygulanması ve gümrük suçlarının soruşturulması”, “gümrük vergilerinin hesaplanması” ve “uluslararası ticarete tedarik zincirinin korunması” konularını kapsamaktadır. Bilgi edinme sürecine dayanan uygulamada gümrük idareleri arasındaki bilgi paylaşımı ise, “talep üzerine ve kendiliğinden bilgi değişimi”, “önceden bilgi değişimi” ve “otomatik bilgi değişimi” şeklindedir (WCO, 2004: 26-40). Buna göre;

- Gümrük mevzuatının uygulanmasına ve gümrük suçlarının soruşturulmasına ilişkin konularda bilgi talebi: Gümrük idareleri, gümrük mevzuatının doğru uygulanmasını sağlamak amacıyla yetkili oldukları alanlara ilişkin herhangi bir bilgiyi, “talep üzerine” veya “kendiliğinden”, anlaşmada belirtilen şekil ve koşullar altında sağlamakla yükümlüdürler. Bu nitelikteki bilginin kapsamına gümrük mevzuatına aykırı olduğundan şüphelenilen eşya hareketine ilişkin gümrük belgeleri, gümrük suçları işlenirken kullanılan teknikler, yeni yol ve yöntemler ile eğilimler, gümrük suçuyla bağlantılı eşya, taşıt, depolama yerleri ve kişilere ilişkin bilgi ve belgeler girmektedir. Bununla birlikte adli soruşturma için bilgi talebinde bulunması halinde bunun karşı tarafa kabul edilmesi (onayının alınması) gerekmektedir.
- Gümrük vergilerinin hesaplanmasına ilişkin konularda bilgi talebi: Gümrük beyanının doğruluğundan şüphe edilmesi halinde gümrük mevzuatının doğru uygulanması ve hileli davranışların engellenmesi yoluyla gümrük vergilerinin doğru hesaplanmasını için talepte bulunan gümrük idaresiyle bu kapsamdaki bilgilerin paylaşılması gerekmektedir. Gümrük idarelerinin paylaşacağı bilgi, somut olarak, eşyanın gümrük kıymeti, tarife cetvelindeki yeri (sınıflandırması) ve menşesine ilişkin bilgiler ile menşe belgeleri, ticari faturalar ile gümrük beyannamesine eklenmekle birlikte doğruluğundan şüphe edilen diğer resmi belgelerdir. Resmi makamlarca sağlanan ithalat veya ihracat izinlerine ilişkin belgeler de bu kapsamda değerlendirilmektedir. Ancak talep edilen bilginin ciddi ve önemli sayılabilecek olaylara ilişkin olması; rutin ve görece önemsiz konularda bu talebin yapılmaması gerekmektedir. Bu nedenle talepte bulunulan gümrük idaresi bilginin sağlanması ile elde edilecek faydayı orantısız ve önemsiz görürse bilgi vermekten çekinebilmektedir. Bilgi talebi, talepte bulunan gümrük idaresi tarafından hangi veri doğrulama yöntem ve tekniklerine konu edildiğine ilişkin bir belirleme de içermelidir. Ayrıca gümrük idarelerinin, bilgi talep etmeden önce kendi ülkesinde mevcut ve önceki gümrük beyanlarına ilişkin kayıtları incelemesi, veri tabanlarını araştırması, gerekli hallerde doğrudan beyan sahibinden bilgi talep ederek ve muhasebe kayıtlarını inceleyerek onların uyum geçmişini ve riskleri hakkında bir değerlendirme yapması beklenmektedir.
- Gümrük idareleri arasında bilginin türü, şekli ve gönderilme sıklığı ülkeler tarafından belirlenecek bir şekilde “otomatik bilgi değişimi” seçeneği sunulmuştur. Örneğin taraf ülkelerin belirli eşya için düzenli aralıklarla ve toplu olarak ithalat/ihracat verilerinin değişimi üzerinde anlaşmaları mümkündür. Ayrıca gümrük idareleri eşyanın varışı öncesinde özellikle uluslararası ticaret tedarik zincirinin güvenliğini sağlamak amacıyla yüksek

riskli olanları tespit etmek ve olağan durumlarda yasal dış ticareti hızlandırmak için “önceden bilgi değişimi” yoluyla özel bilgi değişimi de yapılabilmektedir.

Taslak Anlaşmada, “anlık yardım, bildirim, gümrük alacaklarının güvence altına alınması, gözetim ve bilgilendirme, kontrollü teslimat, uzmanlar ve tanıklar” şeklinde özel yardım konuları da yer vermiştir. Örneğin bir gümrük idaresi kimyasalların saptırılması, uyuşturucu maddelerin illegal üretimi, kontamine gıda maddesi ticareti veya tedarik zincirini bozan diğer ticaret ve taşımacılık şekilleri, rüşvet veya rüşvete teşebbüs gibi nedenlere bağlı olarak eşya sevkinin yapıldığı ülkeye dönük önemli derecede zararlı sonuçları olacağı yönünde kanaat oluşması halinde gecikmeksizin anlık bilgi sağlayabilmektedir.

- Gümrük idareleri arasındaki bilgi değişimi yönelik taleplerin iletilmesi doğrudan gümrük idareleri ve bu idareler bünyesinde öze olarak belirlenmiş irtibat noktaları arasında gerçekleştirilmektedir. Dolayısıyla bilgi talebinde diplomatik yollar öncelikli olarak kullanılmamaktadır. Bilgi talebi için fax, e-mail gibi yazılı ve elektronik araçlar yoluyla ve gecikmesinde sakınca bulunan hallerde daha sonra yazılı olarak teyit edilmesi şartıyla sözlü olarak yapılabilmektedir.
- Gümrük idareleri kendilerine yönelik bilgi talebini karşılamak için üç yola başvurabilmektedir; “talep edilen bilgiyi elde etmek için kendi soruşturmasını başlatabilir”, “bir soruşturma başlatılması yönündeki talebini ilgili makama iletebilir” veya “gümrük idaresinin talebini karşılayabilecek ilgili makamın adını ve adresini verebilir”. Bu çerçevede bilgi talep eden gümrük idaresinin personeli bilgi talep edilen ülkede bulunabilir ve gümrük suçunun soruşturulmasıyla ilgili belgeleri inceleyebilirler; ancak, bilgi talep edilen ülkenin yürüttüğü soruşturmaya fiilen katılamazlar.
- Elde edilen bilginin gümrük idareleri tarafından kullanımı, gizli tutulması ve korunması özel düzenlemelere tabidir. Bu bağlamda bilginin, aksi taraflar arasında kararlaştırılmadıkça, yalnızca idari yardım amacıyla ve amaçlanan gümrük idaresi tarafından kullanılması gerekmektedir. Verileri sağlayan gümrük idaresi, bu verilerin mümkün olduğu kadar adil ve hukuka uygun olarak toplanmasını, doğru ve güncel olmasını sağlamak zorundadırlar. Bu şartın sağlanamaması, idari yardım amacıyla bilgi alışverişinde bulunma ihtiyaçları ile bireylerin özel hayatın gizliliği hakları arasında denge kurmanın amaçlanması nedeniyle, bilgi talebinin geri çevrilmesi için bir gerekçe oluşturabilmektedir. Ayrıca kişisel verilerin kullanılması nedeniyle bir kişinin maruz kaldığı zararlardan akit taraflar, ulusal yasal ve idari hükümlerine uygun olarak sorumlu tutulmuşlardır. Dolayısıyla iki taraflı anlaşmalar kapsamında elde edilen bilginin, aksi yönde bir yazılı izin olmadıkça, başkaları tarafından ve farklı amaçlarla kullanılması mümkün değildir.
- Akit tarafların egemenliği, güvenliği, ulusal çıkarlarının ihlali ya da kamu veya özel teşebbüslerin meşru ticari çıkarlarının zarar görmesi, bazı mesleki faaliyetlerin talep edilen yardım nedeniyle tehlikeye girmesi veya ulusal mevzuatıyla uyumsuz olduğu yönünde tespitlerin olması gibi durumlarda, yardım talebinin geri çevrilmesi yoluna gidilebilmektedir. Ayrıca yardım talebinin üretim sürecine veya mesleki faaliyetlere ilişkin gizliliği ihlal ettiği durumlar da yardım talebinin reddi için haklı görülmektedir. Ancak doğrudan gümrük idaresince veya yargı organlarınca kullanılacağına ilişkin taahhüt içeren bilgiyi kapsayan yardım talebi kabul edilebilmektedir. Yine gümrük idareleri, yürütülen bir idari veya adli soruşturmayı engelleyeceği gerekçesiyle yardım talebinin yerine getirilmesini, karşı taraf gümrük idaresiyle iletişim kurarak erteleyebilmektedir. Yardım talebinin yerine getirilemediği veya ertelendiği hallerde, bunun nedenleri talepte bulunan gümrük idaresine bildirilmektedir.
- Gümrük idareleri, gümrük suçlarıyla mücadele eden veya soruşturmalardan sorumlu memurların birbirleriyle doğrudan iletişimde olmaları için gereken önlemleri almak durumundadırlar. Bu amaçla gümrük idareleri, anlaşmaların uygulamaya konulmasını kolaylaştıracak ayrıntılı düzenlemeleri yapmak ve olabilecek sorunları çözüme kavuşturacak gayreti göstermek zorundadırlar. Gümrük idareleri arasında çözüme ulaştırılamayacak boyuttaki anlaşmazlıklar ise, diplomatik yollarla çözülmesi gerekmektedir.

### 3.3. Anlaşmaların Türkiye Uygulaması

Türkiye'nin dış ticaret ve gümrükleri ilgilendiren küresel, bölgesel ve ikili anlaşmalara gösterdiği katılımın yoğunluğu, doğal olarak, gümrük mevzuatının şekillenmesi ve yürütülmesi üzerinde de belirgin bir etkiye sahiptir. Özellikle çok taraflı ticaretin ilk ve temel düzenleyici metinleri arasında yer alan GATT(1947) ve sonrasında uluslararası ticaretin temel kurumsal yapısı olan DTÖ himayesinde yapılan düzenlemeler, BM, DGÖ, AB olan gümrük birliği ve serbest ticaret anlaşmaları Türk gümrük mevzuatını şekillendiren temel düzenlemelerdir. Gümrük işlemlerinin ve gümrük vergilerine ilişkin yükümlülüklerin söz konusu mevzuat hükümlerine uygun şekilde yerine getirilmesi gerekmektedir. Bununla birlikte uluslararası ticaretin karmaşık ilişkiler ağı, yasaklama

veya kısıtlamaları aşma hırsı ve vergisel yükümlülüklerden kaçarak/kaçakçılık yaparak kazanç elde etme arzusu gibi nedenler, gümrük mevzuatının tam, zamanında ve doğru uygulanmasından sapmalara neden olabilmektedir. Bu noktada Türkiye'nin ulusal gümrük mevzuatından sapmaları engelleyecek ve gümrük idarelerinin kurumsal yapısını ve fonksiyonlarını güçlendirecek araçlara ihtiyacı vardır ve iki taraflı işbirliği ve karşılıklı yardım anlaşmalarının kapsadığı bilgi edinme faaliyetleri bu açıdan önemli bir işleve sahiptir. Nitekim küresel çaptaki eşya ticaretinin en büyük aktörleri olan ülkeler işbirliği ve karşılıklı yardım anlaşmalarına özel önem atfetmektedirler. Örneğin Avrupa Birliği 80, Amerika Birleşik Devletleri 75, Kanada 50 adet bu nitelikteki iki taraflı anlaşmaya sahiptir. Orta büyüklükte aktör olan Türkiye'nin ise, 7'si henüz yürürlüğe girmemiş toplam 65 adet bu nitelikte anlaşması bulunmaktadır (Weerth, 2019: 95; TB, 2019a).

Tablo 1'de Türkiye'nin ABD Doları tutarı olarak ithalatında ve ihracatında ağırlıklı paya sahip ülkeler ile bu ülkeler ile serbest ticaret anlaşması (STA), gümrük birliği (GB) ve gümrük alanında işbirliği ve karşılıklı yardım (GİK) anlaşması olup olmadığına ilişkin veriler yer almaktadır.

Tablo 1: Türkiye'nin Dış Ticaretinde Ağırlıklı Paya Sahip Ülkelerle Olan Bazı İkili Anlaşmaları

Ülke	İthalat		İhracat		STA	GB	GİK
	Payı (%)	Sırası	Payı (%)	Sırası			
Çin Halk Cumhuriyeti	11,9	1	1,6	17	Yok	Yok	Var
Rusya Federasyonu	10,7	2	2,6	10	Yok	Yok	Var
<b>Almanya</b>	<b>8,0</b>	<b>3</b>	<b>8,6</b>	<b>1</b>	-	<b>Var</b>	<b>Yok</b>
Amerika Birleşik Devletleri	4,8	4	6,5	2	Yok*	Yok	Var
İtalya	4,3	5	4,0	4	-	Var	Var
Hindistan	2,9	6	0,6	38	Yok*	Yok	Var
<b>Fransa</b>	<b>2,9</b>	<b>7</b>	<b>4,0</b>	<b>7</b>	-	<b>Var</b>	<b>Yok</b>
Güney Kore	2,8	8	0,4	47	Var	Yok	Var
İspanya	2,3	9	4,3	6	-	Var	Var
Belçika	2,1	10	2,2	13	-	Var	Var
Birleşik Krallık (İngiltere)	2,0	11	6,1	3	Var	Yok	Var
Ukrayna	1,7	12	1,3	20	Var	Yok	Var
Hollanda	1,7	13	3,0	8	-	Var	Yok
İsrail	0,8	28	2,8	9	Var	Yok	Var
<b>Irak</b>	<b>0,6</b>	<b>35</b>	<b>4,9</b>	<b>5</b>	<b>Yok</b>	<b>Yok</b>	<b>Yok</b>

Kaynak: TB, (2019); TB, (2021a) ve TÜİK, (2022) verilerden derlenmiştir. Ülkelerin sıralaması 2021 yılı ithalat verileri esas alınarak yapılmıştır. \*: STA yok ama bu yönde girişim var.

Türkiye İstatistik Kurumunun (TÜİK) 2021 yılı verilerine göre Türkiye'nin ithalatında Çin Halk Cumhuriyeti, Rusya Federasyonu, Almanya, Amerika Birleşik Devletleri, İtalya, Hindistan ve Fransa ve Güney Kore ilk sıralardadır. İhracatında ise, Almanya, Amerika Birleşik Devletleri, Birleşik Krallık, İtalya, Irak, İspanya ve Fransa ağırlıklı paya sahiptir (TÜİK, 2022). Bu ülkeler DTÖ ve DGÖ üyesidir ve Türkiye'nin dış ticaret ortaklarının bir kısmıyla gümrük birliği veya serbest ticaret anlaşmasına da bulunmaktadır. Türkiye'nin bütün ülkelerin neredeyse dörtte biriyle gümrük alanında işbirliği ve karşılıklı yardım anlaşması imzalanmıştır. Türkiye'nin aynı nitelikte D-8 Örgütüyle de bir anlaşması bulunmaktadır (TB, 2021b: 82-83). Ancak özellikle belirtilmelidir ki Türkiye'nin gümrük birliği üyesi olan Almanya ve Fransa ile ekonomik entegrasyonların herhangi bir türünde anlaşmasının olmadığı Irak arasında gümrük alanında karşılıklı yardım ve işbirliği anlaşması bulunmamaktadır (TB, 2019). Almanya ve Fransa ile 1/95 Ortaklık Konseyi Kararının 7 No'lu ekinde yer alan gümrük idareleri arasındaki yardımlaşmaya ilişkin hükümler işletilebilmesi mümkün olmakla birlikte, ikili anlaşma olmaması eksiklik oluşturmaktadır. Son olarak Türkiye ile arasında bu kapsamda bir düzenleme olmayan ülkelerle gümrük alanında yapılacak bilgi ve belge değişiminin diplomatik kanallar (Dışişleri Bakanlığı) yoluyla yapılması gerekmektedir.

Gümrük alanında işbirliği ve karşılıklı yardım anlaşmalarının Türkiye uygulaması açısından, gümrük idaresinin ne anlam ifade ettiği üzerinde durulması gerekmektedir. Gümrük Kanununa göre gümrük idaresi veya idareleri kavramı, "gümrük mevzuatında belirtilen işlemlerin kısmen veya tamamen yerine getirildiği merkez veya taşra teşkilatındaki hiyerarşik yönetim birimlerinin tamamı" anlamına gelmektedir (GK, m.3/2.a). Bu bağlamda eşya, kişi ve taşıtların Türkiye Gümrük Bölgesine ithalati, ihracatı ile bu bölgeye girişi veya bu bölgeden çıkışına ilişkin gümrük işlemlerinin mevzuatına uygun şekilde yerine getirilmesi konusunda gümrük idareleri her türlü yetkiye sahiptir. Gümrük idareleri bu görevlerini yerine getirirken özellikle kıymet ve menşe konularıyla bağlantılı gümrük işlemleri açısından yurtdışından sağlanacak bilgiye ihtiyaç duyabilmekte ya da yurtdışındaki bir gümrük idaresinden bu kapsamda bir bilgi talebi alabilmektedir. Gümrük idareleri, söz konusu bilgi talebinin karşılanması



sırasında gümrük mevzuatına göre hareket etmekte ve uluslararası anlaşmaların öngörmesi halinde, gümrük kontrollerini başka ülkelerde yürütebilmektedir (GK, 10/A.1).

Cumhurbaşkanlığı Teşkilatı Hakkında 1 Numaralı Kararnamesinde (RG, 10.7.2018, 30474), Ticaret Bakanlığı merkez teşkilatı içerisinde gümrüklerle ilgili uluslararası anlaşma, protokol ve sözleşmelerin uygulanmasını sağlama görevi, Uluslararası Anlaşmalar ve Avrupa Birliği Genel Müdürlüğünün görevleri arasında sayılmıştır (m.448) Ticaret Bakanlığı Taşra Teşkilatı Hakkında Yönetmelikte (RG, 11.1.2022; 31716) ise, karşılıklı idari yardım kapsamında bilgi değişim faaliyetleri, Gümrük ve Dış Ticaret Bölge Müdürlükleri bünyesindeki Dış Ticaret, Tarife, Kıymet ve Vergiler Şube Müdürlüğünün görevleri arasında sayılmıştır (m.9/g).

Gümrük idaresince yapılan ikincil düzenlemeler işbirliği ve karşılıklı yardıma ilişkin çeşitli açıklamalara yer verilmiştir. Bu bağlamda Ticaret Bakanlığı (önceki adıyla AB Genel Müdürlüğü) tarafından yayımlanan “*yurtdışı bilgi talepleri*” konulu 16.2.2012 tarihli ve 2012/1 sayılı Genelgeye göre (MERGUMDER, 2022);

- *Bilgi talep edilecek güncel belge saklama ve zamanaşımı süreleri dikkate alınmaktadır. Bu süreler; Çin Halk Cumhuriyetinde faturalar için beş yıl ve diğer ithalat/ihracat belgeleri için üç yıl, Rusya’da ithalat işlemleriyle ilgili belgeler için beş yıl ve ihracat işlemleriyle ilgili belgelerde on yıl, Almanya’da gümrük idarelerinde beş yıl ve firmalarda üç yıl, Amerika Birleşik Devletleri’nde beş yıl, İtalya’da gümrük beyannamesi ve ekleri için üç yıl ve firmalar için on yıl, Fransa ve Güney Kore’de üç yıl, İsrail ve Hollanda’da beş yıldır. Gümrük Kanununda gümrük işlemleriyle ilgili belge saklama süresi, beş yıl olarak belirtilmiştir (m.13). Bununla birlikte ikincil düzenlemelere göre hareket edileceği özel durumlar da bulunmaktadır. Örneğin TIR Uygulama Tebliği uyarınca arşivlenen TIR karnesinin, özel durumlar dışında, sekiz yıllık süre sonunda imha edilmektedir (m.69/1). Ayrıca belge saklama süreleri Vergi Usul Kanununda ve Türk Ticaret Kanununda da düzenlenmiştir.*
- *Talebin ilgili ülke tarafından karşılanma süresi, talebe ilişkin formun düzenlendiği tarihten itibaren üç yıl olarak öngörülmüştür. Talep zamanaşımı, adli süreç gibi acil durumlar haricinde cevap bekleme süresi içinde altı aydan az olmamak üzere en fazla iki kez tekit edilmektedir. Yurt dışından gelen bilgi taleplerine ilişkin inceleme veya soruşturmaların ise, bir yıl içinde tamamlanması öngörülmüştür.*
- *Bilgi talebinin nedeni ile talep edilecek bilgiye ait illiyet bağı bulunan belgelere (fatura, TIR Karnesi, konşimento, ATR.1, EUR.1 vs.) ilişkin açıklamalar yapılmaktadır. Talep edilen bilgi yorum yapılmadan, açık, anlaşılır şekilde ve yazılı olarak iletilmektedir. Talep edilecek bilgiler; ithalatçı veya ihracatçı firmanın fatura tarihinde ve halen ticari faaliyette bulunup bulunmadığı ile ticaret sicili kayıtlarında mevcut olup olmadığı, ilgili ülkenin gümrük idaresinde işlem yapılıp yapılmadığı, gümrük işlemlerinin bu belgeler üzerinde kayıtlı kişiler tarafından yapılıp yapılmadığı, gümrük belgelerinde yer alan kıymet, miktar, cins ve nevi bilgilerinin gerçek olup olmadığı, ödeme şekli ve tutarının doğru olup olmadığı, eşyanın yeni veya kullanılmış alma durumu ile kullanılan belge, mühür ve imzaların gerçek olup olmadığı gibi konuları kapsamaktadır.*
- *Diğer ülkelerdeki gümrük idarelerinden talep edilen Türkiye’den yapılan ihracata ilişkin fatura kontrol talepleri, talebin uygunluğu bakımından ön incelemeye tabi tutulmakta ve uygun bulunan talepler ihracat gümrük idaresi nezdinde araştırılarak yerine getirilmektedir. Söz konusu talep neticesinde gümrük işlemleriyle ilgili olarak tespit edilen ihlaller hakkında idari veya adli süreç işletilmektedir.*

Ticaret Bakanlığı (Gümrükler Genel Müdürlüğü) tarafından “Gümrük Kıymeti” konusunda yayımlanan 13.8.2012 tarihli 2012/29 sayılı Genelgeye göre;

- *Yurtdışında kıymet araştırmasına geçilmeden önce, beyan edilen kıymetin gümrük kıymeti olarak kabul edilip edilmeyeceğine ilişkin tespit için gümrük mevzuatına göre hareket edilmektedir. Gümrük ve Dış Ticaret Bölge Müdürlükleri tarafından kıymet tespiti için aynı veya benzer eşyaya ilişkin bilgilerin de bu çerçevede incelenmesi yoluna gidilebilmekte ve Gümrük Veri Ambarı Sisteminde (GÜVAS) yer alan kıymet veri tabanından yararlanılabilmektedir. Kişilerden kıymet tespitine yönelik ek bilgi talep edilmesi halinde ise, kırk beş gün cevaplama süresi verilmektedir. Kıymet araştırması neticesinde gümrük işlemleriyle ilgili olarak tespit edilen ihlaller hakkında idari veya adli işlemler yerine getirilmektedir.*

Gümrük vergilerinin unsurları arasında bulunması nedeniyle ödenecek vergi ve mali yükümlülüklerin hesaplanmasında belirleyici olan eşyanın menşeinin tespitine yönelik bilgi talebi ve menşe araştırmaları da sıkça yapılmaktadır. Bu bağlamda Ticaret Bakanlığı tarafından “Uluslararası Anlaşmalar” konusunda yayımlanan 8 Seri No’lu Gümrük Genel Tebliğinde (RG, 14.11.2015, 29532) menşe ispat belgeleri ile A.TR Dolaşım Belgelerinin sonradan kontrolüne yönelik işlem ve uygulamalara ilişkin açıklamalara yer verilmiştir. Buna göre, söz konusu belgelerin ihracatçı ülke idareleri tarafından internet ortamında sorgulanmasına izin verilen durumlarda, içeriğini oluşturan bilginin kapsamı ve hangi şartlarda kabul edileceği hususu ülke veya ülke grupları açısından ayrı ayrı

değerlendirilmektedir. İnternet üzerinden sağlanan bilginin yeterli görülmemesi halinde ise, sonradan kontrol talebi ile belgelerin geçerliliğinin araştırılması yoluna gidilmektedir (m.10). Sonradan kontrolü yapılan belgelerle ilgili ihracatçı ülke gümrük idaresi nezdinde yapılan araştırma neticesinde tespit edilen ihlaller hakkında da idari veya adli işlemler yerine getirilmektedir.

## 5. SONUÇ

Günümüzde ticari ilişkilerin yoğunluğu ve gümrük alanını da ilgilendiren çok sayıdaki uluslararası düzenlemenin varlığı karmaşık bir ilişkiler ağı oluşturduğu açıktır. Bu yapı içerisinde dış ticaretin olabildiğince basitleştirilmesi ve hızlandırılması ile aynı zamanda etkin bir denetime tabi tutularak illegal ticaretin engellenmesi, tedarik zincirinin korunması ve gümrük ve dış ticaretle ilgili düzenlemelere uyum derecesi yüksek kişilerin olumsuz şekilde etkilenmesini engelleyecek önlemlerin hayata geçirilmesi önem arz etmektedir. Ancak gümrük mevzuatının kapsamı ve ilişkili olduğu uygulama alanının genişliği, gümrük idareleriyle muhatap olan kişilerin gümrük işlemleri sırasında hileli ya da hatalı hareket etmesine neden olduğu da bir gerçektir. Dolayısıyla gümrük ekosistemi içerisinde gümrük düzeninin sürdürülebilirliği ile kişilerin ticari haklarının korunması arasında hassas dengenin korunması gerekmektedir. Bu gerekliliği karşılamak amacıyla çok taraflı ticaret anlaşmalarının ilk dönemlerinden günümüze uluslararası düzeyde çaba harcanmaktadır. Bu çabaların odağında ise, çok taraflı ya da iki taraflı anlaşmalar yer almaktadır.

Gümrük alanındaki karşılıklı işbirliği ve yardım anlaşmalarının, içerdiği mekanizmalar sayesinde, gümrük işlemlerine uyumun sağlanması noktasında önemli bir işleve sahip olacağı muhakkaktır. Bu tür düzenlemelerin en belirgin özelliği karşılıklı yardım ve işbirliği sürecini gümrük idareleri arasında gerçekleştirilecek bilgi paylaşımı esasına dayandırmasıdır. Anlaşmaların temel uygulama alanlarını; “gümrük vergilerine ilişkin vergilendirme işlemleri”, “gümrük kıymetinin tespiti”, “gümrük tarife pozisyonunu belirlenmesi” ve “menşe tespiti” ve “gümrük suçlarının tespiti ve önlenmesi” konuları oluşturmaktadır. Gümrük işlemlerinin ve dolayısıyla gümrük vergilerinin temel unsurlarını oluşturan bu konular hakkında gümrük idarelerine sunulan bilginin tam ve doğru olması ve bunun sağlanması, gümrük idareleriyle muhatap olan kişilerin gümrük uyumunun sağlanması bakımından belirleyicidir. Çalışmanın kapsamı dışında olmakla birlikte uyuşturucu madde kaçakçılığı şeklinde sosyal düzeni bozan gümrük suçlarının önlenmesi için de diğer ülke gümrük idareleriyle işbirliği içerisinde hareket edilmesi gerekmektedir.

Türkiye küresel ticaretteki payına göre orta büyüklükte bir uluslararası ticaret aktörü olması sebebiyle diğer ülkelerle yoğun ticari ilişkilere sahiptir ve bu nitelikteki anlaşmaların ilk imzacıları arasında yer almaktadır. Dolayısıyla Türkiye'nin taraf olduğu çok sayıda gümrük konulu karşılıklı işbirliği ve yardım anlaşması vardır. Ne var ki bu anlaşmalarının amacına ulaşma düzeyinin anlaşılabilirliği için sağlıklı verilere ihtiyaç duyulmaktadır. Örneğin, ithalat, taşımacılık ve finansal çıkarların korunmasına ilişkin gümrük boyutu olan birçok uluslararası düzenlemenin tarafı olan Türkiye'nin gümrük idarelerinin işbirliği ve karşılıklı yardım içeren hükümlere istinaden bilgi paylaşımından yararlanıp yararlanmadığı, yararlanmışsa bunun sıklığı, bütün bu sürecin sonucunda hazineye aktarılan gelir boyutu ve adli/idari soruşturmalara ilişkisinin katkısı belirsizdir. Bu belirsizliğin giderilmesi noktasında gümrük idaresinin diğer ülkelerdeki gümrük idareleriyle olan bilgi paylaşımına ilişkin istatistikleri kamuya paylaşması yerinde olacak ve bu alanda yapılan çalışmalara değer katacaktır.

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## Emigrant Waves in Albania in Recent Years

Rita LOLOÇI

Faculty of Education, University of “Aleksander Moisiu”, Durrës, AAB College, e-mail: ritaloloci@gmail.com,  
ORCID: 0000-0003-3561-9797

**Abstract:** Albanians are among the populations that have moved more compared to other peoples who experienced for a long time a dictatorial system and isolated not only with neighbours in other countries of the former socialist camp but especially with Western countries.

This study presents the waves of emigration of Albanians in three time periods respectively in the period 1990-1994, the period 1997-2000 and the third period 2013-2022.

The purpose of this study is to identify and analyze some of the causes of the emigration of Albanians during the period 2013-2022. The study is based on a review of data obtained from various national and international studies and reports such as the World Bank Mission, International Organization and Labour Organization (ILO), International Organization for Migration (IOM), United Nations Development Program (UNDP), European Agency for the Management of Operational Cooperation at the External Borders of the Member States of the European Union (FRONTEX) as well as data received by local experts, non-profit organizations.

Literature review and studies of various authors have been used as an important resource to analyze the great waves of emigration in our country

Based on the analysis of the data, it was seen that many families and individuals leave Albania for a better life, the dissatisfaction associated with the governance of the country, the high level of corruption, the ongoing political crisis and the occasional popular unrest, with job insecurity due to political rotations, lack of prospects for young people, due to family migration networks, previous personal experiences and legal periodic emigration taking advantage of opportunities offered by different western countries for different professions.

**Keywords:** migration, unemployment, corruption, economy, dissatisfaction, youth

### Introduction

This study presents the waves of emigration of Albanians in recent years addressing issues that force Albanians to emigrate

Albania has known three periods of mass emigration respectively in the period 1990-1994, the period 1997-2000 and the third period 2013-2022, but we will focus on periods of 2013-2022.

Albanians are among the populations, that have moved more, compared to other peoples who experienced for a long time a dictatorial system and isolated not only with neighbours in other countries of the former socialist camp but especially with Western countries.

The Albanian population has been significantly affected by migration since the fall of the dictatorial system in the 1990s and the transition to a market economy and a state of free enterprise. As in many other countries under the same communist system, it has experienced an immediate increase in the intensity of population movements.

In the last three decades, Albania has found itself in a significant population change. According to INSTAT Even during 2020, although the movement of the population was limited due to the pandemic, again the number of Albanians who left Albania was about 16 thousand 684 people according to INSTAT data, the resident population has decreased from 3,182,417 in 1989 to 2,800,138 in 2011 and part of the population has moved within Albania.

The rate of migration after 1990, in Albania, has been the highest in Europe and one of the highest in the world. According to World Bank data, within two decades, from 1990 to 2010<sup>1</sup>, the country created a number of 1,438,300 emigrants, equal to 45.4% of the population present in Albania.

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<sup>1</sup>World Bank (2011) Migration and Remittances Fact book. Washington DC: World Bank, pp. 54.

Table 1, Number of Albanians who left according to decades

Time period	Nr of populations	Number of displaced populations
1990 -2010	3.182.417	1,438,300
2011-2019	2.800.138	360000
During 2020	2.400.000	16684

The mass migration that characterizes the post-communist period began in July 1990, when over 5,000 Albanians entered the Western embassies, mainly those of Italy, Germany and France, to leave their homeland.

In March 1991, a large number of Albanians flocked to the port of Durres, about 18,000 people arrived on the shores of Italy. Illegal immigration increased significantly in recent years.

Migration declined during the period 1992-1996, but not that there was again a lack of emigration. At the end of 1996, the number of Albanian citizens living abroad reached approximately 350,000. The flow of emigration became more massive in 1997, as a result of the collapse of the pyramid schemes and the political chaos that accompanied this event.

Another tendency of Albanians measured by the Balkan Barometer survey is the desire to leave the country. According to the Survey (RCC) data in the Balkan Barometer 2021, Albanians resulted in the highest percentage of desire to live and work abroad, compared to other countries in the region<sup>2</sup>,

Table.2. % of citizens who won't to leave their country

Countries	% of citizens who want to leave their country
Albania	46%
Montenegro	45%
Bosnia Herzegovina	39%
Kosovo	32%
Northern Macedonia	27%
Serbia	25%

Albania experienced two major population movements, the external one in the western countries and the internal one, from the village to the city, from the cities on the outskirts of the country to the most important ones. Prior to the 1990s, all types of migratory movements were restricted, including internal migration. With the change of system in an open market economy, domestic movement increased significantly. This increase in mobility came as a fulfillment of the demand for free movement and Albania became a moving population, both in terms of internal and international migration.

At the same time, despite being one of the most important processes in post-communist Albania, the internal movement remains not well documented and unstudied scientifically and exhaustively. Migration has been one of the most dynamic qualities of the country's transition and one of the most important social and economic phenomena.

## Methodology

This study aims to provide and interpret data on migration flows in Albania in recent years, to analyze the causes of emigration in order to address the problems, in the responsible institutions and concluding with recommendations to improve the identified problems.

This study relies on office research,

The study is based on a review of data obtained from various national and international studies and reports such as the World Bank Mission, International Organization and Labor Organization (ILO), International Organization

<sup>2</sup><https://www.monitor.al/shqiptaret-me-nivelin-me-te-larte-te-deshires-per-emigrim-me-2021-gati-gjysma-po-konsiderojne-te-largohen/>

for Migration (IOM), United Nations Development Program (UNDP), European Agency for the Management of Operational Cooperation at the External Borders of the Member States of the European Union (FRONTEX) as well as data received by local experts, non-profit organizations, literature review, to better analyses the situation of migratory flows in Albania over the last years, view of various articles on emigration, 2 semi-structured face-to-face interviews were conducted with individuals who have emigrated in the last 5 years, Interview with expert from to civil society to get more knowledge on current migration flows.

### **Why this massive wave of emigration from Albania in the last years?**

Even after three decades since the great upheaval in the nineties, Albanians continue to migrate to various western countries and mainly to Greece, Italy and Germany. There are many reasons why this happens, but the main cause is unemployment and poverty.

### **Financial crisis in Europe after 2008**

It is known, after 2008 some of the European countries, including Greece and Italy, were involved in a deep economic crisis. Since a large number of Albanians have immigrated to these two countries, the crisis was felt especially more in their ranks.

Faced with difficult financial conditions after these years, financial assistance to their families in Albania was generally cut off. Occurring without financial assistance, some of them decided to seek family reunification by leaving their country. Emigration trends were especially pronounced after the 2013 election periods, as the ruling majority undertook to carry out a series of reforms which followed coercive and coercive procedures towards the population, without providing mitigating alternatives. Recent reforms to formalize the economy with coercive methods through high fines (instruction no. 24, dated 2.9.2008 "On tax procedures in the Republic of Albania"), made these people despair in anxiety and uncertainty about tomorrow Some of them closed their businesses, increasing the number of unemployed and being left with no alternative, they turned to emigration.

### **Dismissals as a result of political rotations and job insecurity**

Rising unemployment as a result of a change of power Political parties during election campaigns make many promises to increase employment by creating new jobs, which of course is done to motivate the militants, who in turn put a lot of pressure on the parties to keep the promises they have made. According to a study conducted by the Albanian Helsinki Committee<sup>3</sup>, the situation of dismissed employees has been illegal, and sometimes even discriminatory.

"The illegality of actions by public administration bodies in the unfair termination of employment relations for a large number of persons, as well as the failure to take responsibility to the leaders of these institutions, does not avoid the suspicion that some of these employees have left for motives political, to give way to others, among them party militants".

A periodical publication of the People's Advocate<sup>4</sup> shows that 4093 employees left the public administration illegally in the period September 2013-May 2015. Of these, 1021 had the status of civil servant while 3072 others were treated according to the provisions of the Labor Code.

### **Corruption**

A significant factor is also the high level of corruption that affects not only the highest levels of management, but also in many small and daily services where the motto "pay to get the daily service" has taken place.

Corruption continues to be one of the causes of Albanian migration. The impunity of officials has increased the decline of trust in the work of institutions

Despite the fact that within each department there are anti-corruption structures, there are also toll-free numbers in some of them to denounce corruption cases of officials of all levels; it continues to remain high and still unpunished by the judiciary.

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3 Komiteti Shqiptar I Helsinkit , 2011, Raport: Situata e Diskriminimit te te larguarve nga puna, Tirane, web address: [www.ahc.org.al](http://www.ahc.org.al), pp 19

4 Institucioni i Avokatit të Popullit, (2014), Raport i veçantë ; Administrata publike dhe rregullimi i marrëdhënieve të punës, Web: [www.avokati.popullit.gov.al](http://www.avokati.popullit.gov.al)

According to the data, corruption is widespread in all branches of government and officials were often involved in corrupt practices with impunity. Examples include a candidate for mayor in 2019 previously convicted of drug trafficking. Although the Constitution provides for an independent judiciary, political pressure and corruption have also affected a fair trial.

Transparency International's 2020 Corruption Perceptions Index ranked Albania 104th out of 180 countries, a two-country improvement from 2019<sup>5</sup>.

Table. 3. The level of corruption in the past few years according to Transparent International

The level of corruption in the past few years according to Transparent International		
1	2020	104
2	2019	106
3	2018	99
4	2017	91
5	2016	83

### The impunity of officials has increased the decline of trust in the work of institutions

Corruption continues to be one of the causes of Albanian migration. Impunity for senior officials and corruption continues to be a serious problem for Albania. Impunity for senior officials and corruption continue to be a serious problem for Albania. The US State Department report for 2020<sup>6</sup> states that the prosecution and especially the sentencing of senior officials, MPs and former MPs, ministers and former ministers, who commit abuses of public funds were sporadic and not continuous.

During 2020, Albania faced several important human rights issues, such as: the independence of the judiciary; restrictions on free expression and the press; widespread corruption in all branches of government and institutions and non-enforcement of juvenile labor laws.

### Poverty

Another reason for the departure of Albanians is economic ones, extreme poverty. Albania was ranked among the poorest countries, which forced a large segment of the population to leave the country. The system of free enterprise brought a significant change in the life of Albanians, but also created a gap in different strata of the population. According to a recent report by the International Monetary Fund (IMF), pandemics and earthquakes have increased poverty in Albania. In 2020, at the height of the Covid-19 pandemic, 32.6% were considered poor, up from 31.8% the previous year, while social protection for the population is the lowest. For 2021 the poverty level is expected to decrease slightly to 30.8%.

Table.4. Albania poverty headcount compared to peers, 2019-2021

Albania Poverty Headcount Compared to Peers, 2019-2021 (in percent of population)			
	2019	2020	2021
Albania	31.8	32.6	30.8
Kosovo	20.9	23.4	20.9
North Macedonia	16.9	18.0	16.9
Montenegro	14.5	20.0	17.7
Serbia	17.3	17.4	17.1

Notes: Poverty is defined as living on less than \$5.5/day per person in revised 2011 PPPs. Calculations based on ECAPOV harmonization using SILC-C data for ALB, MKD, MNE, and SRB, and HBS data for KOS. BIH is excluded due to a lack of comparable data. The figures for 2019-21 are estimates/forecasts.  
 Source: World Bank: Western Balkans Regional Economic Report Autumn 2021.

<sup>5</sup>[transparencycdn.org/images/CPI2020\\_Report\\_EN\\_0802-WEB-1\\_2021-02-08-103053.pdf](https://transparencycdn.org/images/CPI2020_Report_EN_0802-WEB-1_2021-02-08-103053.pdf)

<sup>6</sup><https://www.monitor.al/raporti-i-dash-per-2021-korrupsion-i-larte-ppp-te-jane-shqetesim-i-vazhdueshem-si-pengohen-investitoret-amerikane/>

## Misrule

Governance has a primary role to play in curbing or reducing emigration flows. Once in the campaign, the main parties promised hundreds of thousands of new jobs, but now this has been overcome. And this has come mainly because employment is in negligible figures, there are recurrences of nepotistic or militant employments. In an open market, the main employment is provided by small, medium, or large businesses, but the frequent change of fiscal policies has made possible the closure of thousands of businesses and open governance support to large businesses, where the newest phenomenon is that of implementing joint agreements with private business. Among the factors that make the phenomenon of migration continuous, a special role is played by central and local governments, which are still not able to create new jobs or even worse, due to conflicts and government disagreements do not create opportunities to keep the population in their settlements.

Justice reform, frequent fiscal changes, and informality are concerns raised by domestic and foreign investors. Italian entrepreneurs operating in Albania have criticized the way the Albanian administration was managing its business relations. Businesses have difficulty finding competent interlocutors and only rarely get the right answers, a statement said<sup>7</sup>.

### Albania difficult country to do business

The US State Department (DASH) report<sup>8</sup> on the business climate 2021, recently published, is again expressed with high critical marks for the business climate in Albania<sup>9</sup>.

Table.5. Report on doing business in the last 5 years

Years	Ranks	Among countries
2021	84th	among 132nd countries
2020	83th	among 131nd countries
2019	83th	among 129nd countries
2018	83th	among 126nd countries
2017	93th	among 127nd countries
2016	92th	among 128nd countries

### High crime rate and lack of security

Crime and insecurity in the country is also a factor forcing Albanians to leave the country. According to a report by the Ministry of Justice, three cities, namely Durrës, Tirana and Vlora, have a high crime rate from 2012 to 2017. If the type of criminal offenses committed and for which the courts give a final decision will be analyzed, in the district of Durrës out of 820 cases tried, 545 are for crimes and 275 minor offenses, in the district of Tirana out of 3,485 cases tried, 1,987 are for crimes and 1,498 minor offenses, so 53% are crimes, while in the district of Vlora out of 782 cases tried, 433 were tried for crimes and 349 for minor offenses or 51% of them are crimes. A study on the crime situation in Albania has also been prepared by the Soros Foundation<sup>10</sup>, where recommendations for improving the situation are valued.

The INSTAT annual report<sup>11</sup> provides detailed information on criminal offenses, their perpetrators, injured persons, criminal proceedings, defendants and data on prisoners. In 2020, a total of 32,736 criminal offenses were identified, 7.0% less, compared to 2019.

Migration has affected all segments of the population but is most sensitive to the younger generations. According to a report by a non-governmental organization, CRCA<sup>12</sup>, "in the last ten years, 140,390 young people have left Albania." Albania continues to have a very high number of young people leaving abroad for a better life." Youth unemployment continues to be a core problem; INSTAT declares youth unemployment at 21.7%, while another

<sup>7</sup><https://www.monitor.al/te-besh-biznes-ne-shqiperi-nuk-eshte-e-lehte-2/>

<sup>8</sup><https://www.monitor.al/raporti-i-dash-per-2021-korrupsion-i-larte-ppp-te-jane-shqetesim-i-vazhdueshem-si-pengohen-investitoret-amerikane/>

<sup>9</sup>Indicator Rankings & Analysis | Global Innovation <https://www.globalinnovationindex.org/analysis-indicator>

<sup>10</sup>[https://www.osfa.al/sites/default/files/evolimi\\_i\\_strukturave\\_te\\_organizuara\\_kriminale\\_ne\\_shqiperi.pdf](https://www.osfa.al/sites/default/files/evolimi_i_strukturave_te_organizuara_kriminale_ne_shqiperi.pdf)

<sup>11</sup><http://www.instat.gov.al/al/temat/treguesit-demografik%C3%AB-dhe-social%C3%AB/krimet-dhe-drejt%C3%ABsia-penale/publikimet/2021/statistikat-e-krimeve-dhe-drejt%C3%ABsis%C3%AB-penale-2020/>

<sup>12</sup> Raporti Kombëtar "Rinia në Shqipëri 2020", CRCA/ECPAT Shqipëri, 2020



study reveals this statistic in about 51% of young people suffering unemployment in our country. Young graduates are the ones who suffer the highest levels of unemployment. According to INSTAT data, analyzing the unemployment rate by educational level during 2019, about 14.4% of young people with secondary education are unemployed, while 12.3% of young people with higher education suffer from this phenomenon.

Among 10 nationalities in the world that have applied for asylum in EU countries in September 2021 Albania ranks 7th. The European Office for Asylum Support<sup>13</sup> announces that a total of 71,200 applications have been filed in European countries, but 2100 applications are made by Albanians. In the first place are citizens from Afghanistan with a figure of 17,300, while in the second place are citizens from Syria with 9100 requests.

In the interviews conducted with two emigrants returning from Greece, he notices two different pictures.

The first immigrant, who has been in the neighboring state for 20 years and worked in a construction team, claims that he has earned a lot of income. Even in Albania he has been involved in construction again, there have been no profits as in Greece, and however he considers this sector a work front that provides a satisfactory income.

Another situation is presented in the economic situation of the other emigrant, who has worked and lived in Greece for about 18 years and has been able to accumulate a lot of income working on various, relatively difficult fronts that the locals do not prefer to be employed. Returning to his homeland has turned him into an unemployed, low-income person who meets his needs by receiving financial support from children working in emigration to Italy and Germany.

Both emigrants claim that unlike Western countries where they have worked for a long time, in their country corruption at all levels is a major obstacle that directly affects the employment and economic situation of Albanians.

In summary, the reasons for the migration of Albanians are related to the following factors:

## Conclusions

There are many reasons why Albanians emigrate, including the inability to live in adequate conditions, the lack of new jobs, the chaos in the private sector and the blow dealt to small business, which is the only one for self-employment;

High corruption at all levels of government and governance, both central and local, is also a factor in increasing migration and making Albanians one of the top asylum seekers in Western countries;

The abolition of visas in the Schengen area has served as a bridge for Albanians to leave their country and the three-month period of stay in a European country also creates employment opportunities used by a people.

Regardless of the individual reasons for moving, the rate of migration in Albania has left a visible mark on many aspects of daily life.

On the one hand, some areas have lost most of their population and on the other hand, there are towns and villages where the population has multiplied.

These rapid changes have an immediate impact on infrastructure and the provision of vital services, such as health care or education, and so on.

Emigration continues to be a significant phenomenon in Albanian society of the last three decades, which coincides with the period of a long transition;

Emigration involves all strata of society, but this phenomenon is more sensitive at young ages, mainly students, but also members of the middle class;

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<sup>13</sup> <https://euronews.al/al/vendi/aktualitet/2021/12/08/shqiperia-renditet-e-7-ne-bote-per-kerkesat-per-azil-ne-vendet-e-be/>

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## “İstanbul Yabancılar İçin Türkçe Ders Kitabı (B1)” Ve “Netzwerk (B1)” Almanca Yabancı Dil Ders Kitabındaki Metin Türlerinin Dilbilgisi Yapıları Bakımından İncelenmesi

Prof. Dr. Sevinç Sakarya Maden<sup>1</sup>

Hilal Ezgi Kanar<sup>2</sup>

<sup>1</sup> Trakya Üniversitesi/ Eğitim Fakültesi, Yabancı Diller Eğitimi Bölümü, Alman Dili Eğitimi Anabilim Dalı, sevincmaden@trakya.edu.tr, ORCID: <http://orcid.org/0000-0001-5954-9565>

<sup>2</sup>Trakya Üniversitesi/ Sosyal Bilimler Enstitüsü, Yabancı Diller Eğitimi Anabilim Dalı, Alman Dili Eğitimi Bilim Dalı, hezgikanar@trakya.edu.tr, ORCID: 0000-0001-9459-5735

**Özet:** Bu çalışmada, günümüzde Almanca'nın yabancı dil olarak öğretildiği derslerde kullanılan Klett Yayınevi'nin “Netzwerk (B1)” (Dengler, Rusch, Schmitz ve Tanja Sieber, 2014) ve yabancılar için Türkçe öğretim amaçlı hazırlanan Kültür Sanat Basımevi'nin “İstanbul Yabancılar İçin Türkçe Ders Kitabı (B1)”’nda (Bölükbaş, Gedik, Göçen, Gönültaş, Keskin, Özenç, Tokgöz, Ünsal ve Yavuz, 2013) yer alan metinler incelenmiş, her iki kitapta tür olarak aynı olan ancak Türkçe ve Almanca olmak üzere iki ayrı dilde yazılmış olan metinlerde dilbilgisi yapılarının aynı olup olmadığına bakılmış, metin türleri içerisinde barındırdıkları dilbilgisi yapıları bakımından karşılaştırılmıştır. İlgili kitapların incelenmesi ve değerlendirilmesinde nitel araştırma metodlarından doküman incelemesi metodu kullanılmıştır ve araştırma neticesinde “Netzwerk (B1)” ders kitabında dinleme metinleri hariç toplam 105 adet metnin yer aldığı, kitapta 81 adet bilgi verme işlevi olan metnin, 18 adet kullanımlık metnin ve 6 adet edebi metnin olduğu görülmüştür. “İstanbul Yabancılar İçin Türkçe Ders Kitabı (B1)”’nda ise toplam 62 adet metnin yer aldığı, bu metinlerin 29 tanesinin bilgi verme işlevi olan metinler olduğu, 9 tanesinin kullanımlık metin ve 4 tanesinin edebi metin, 18+2 tanesinin dinleme metni olduğu tespit edilmiştir. Kitaplarda yer alan metinler kategorize edildiğinde her iki kitapta yer alan metin türlerinin bilgilendirici metinler, ilanlar ve haber metinleri olduğu görülmüş ve bu türdeki Almanca ve Türkçe metinlerden örnekler seçilerek, aynı türden Türkçe ve Almanca metinlerde aynı dilbilgisi yapılarının yer alıp almadığına bakılmış, metinlerin nerelerde örtüştüğü, nerelerde ayrıştığı araştırılmıştır. Gerçekleştirilen metin analizleri sonucunda “İstanbul Yabancılar İçin Türkçe Ders Kitabı (B1)” ve “Netzwerk (B1)” kitaplarındaki aynı türdeki metinlerde belli ölçüde farklı dilbilgisi yapılarına rastlansa da aynı türdeki ve aynı dil düzeyindeki metinlerde dilbilgisi yapılarının büyük ölçüde benzerlik gösterdiği sonucuna varılmıştır.

**Anahtar Kelimeler:** Yabancı dil olarak Türkçe, Yabancı dil olarak Almanca, Metin Türleri, Dilbilgisi yapıları

**Abstract:** This study examines "Netzwerk (B1)" (Dengler, Rusch, Schmitz, & Tanja Sieber, 2014) of Klett Publishing, which is used in the courses where German is taught as a foreign language today, and "Istanbul Turkish Lesson for Foreigners (B1)" (Bölükbaş, Gedik, Göçen, Gönültaş, Keskin, Özenç, Tokgöz, Ünsal, & Yavuz, 2013) of the Culture and Art Press, which aims to teach Turkish to foreigners. Specifically the texts with the same genre in both books but in two different languages, Turkish and German were compared in order to check whether the grammatical structures of the texts were the same. The text types were also compared in terms of the grammatical structures they contained. Document analysis method, one of the qualitative research methods, was used in the examination and evaluation of the related books. As a result of the research, it was identified that the "Netzwerk (B1)" textbook included a total of 105 texts, excluding the listening texts, and it also included 81 informative texts, 18 usable texts, and 6 literary texts. It has been determined that there are 62 texts in total in the "Istanbul Turkish for Foreigners Textbook (B1)." 29 of these texts are texts with the function of giving information, 9 of them are usable texts, 4 of them are literary texts and 18+2 of them are texts for listening. When the texts in the books were categorized, it was seen that the text types in both books were informative texts, advertisements, and news texts. As a result of the text analyzes carried out, it was concluded that although there are some different grammatical structures in the same type of texts in the "Istanbul Turkish for Foreigners Textbook (B1)" and "Netzwerk (B1)" books, the grammatical structures in the same type of texts are similar to a large extent.

**Key Words:** Turkish as a foreign language, German as a foreign language, text types, grammatical structures

### 1. GİRİŞ

Dil, insanlar arası iletişimi ve etkileşimi sağlayan bir araçtır. İnsanların birbiri ile anlaşmasını mümkün kılan dil, iletişim yolundaki bariyerleri giderir. Globalleşen dünyada, sınırların önemini yitirmesiyle birlikte aynı toplumdaki insanların birbirleri ile iletişim kurabilmeleri eskiye kıyasla çok daha hızlı ve kolaydır. Bu bağlamda yabancı dil eğitimi artık bir ihtiyaç haline gelmiştir.

Yabancı dil öğretiminde tarih boyunca birçok yöntem denenmiştir. Kullanılan bazı yöntemler iletişimsel açıdan yetersiz kalmış, bunlar yerine başka yöntemler geliştirilmiştir. Hesapçıoğlu (1994) çalışmasında yöntemi, bilgi, beceri ve davranışların kazandırılması için izlenen yol olarak tanımlamıştır. Bu ifadeden hareketle yöntemin, öğretim sürecinde önemli bir rol oynadığını söylemek mümkündür.

Geleneksel yöntemler ile dil öğretilirken ilgili dilin dilbilgisi kurallarının öğretilmesi ve ezberlenmesi ve yabancı dili öğrenen kişinin yabancı dili hatasız kullanması hedeflenmiş, ünlü yazarların edebi metinlerinin yabancı dilden ana dile ve ana dilden yabancı dile çevrilmesi suretiyle metinlerin okunması ve anlaşılması amaçlanmıştır. Daha sonra konuşsal-ışitsel veya görsel-ışitsel yöntemde birincil amaç konuşma becerisini geliştirmek olduğundan ağırlıklı olarak diyaloglarla dil öğretilmeye çalışılmıştır. Ancak sadece öykünme, taklit ve ezber yoluyla öğrenilen dil yapılarının nerede, kime karşı, hangi durumda kullanılacağı da öğretilmediğinden, dilin sosyal yanı hakkında ayrıca bilgi sunulmadığından bu tür bir yaklaşım ile gerçekleşen dil öğretimi de istenilen başarıya ulaşamamış, ezberlenen cümlelerin olmadık yerlerde söylenmesi veya bağlama uygun ifadelerin kullanılmaması arzu edilen iletişimi sağlayamamıştır. 70'li yılların ortalarından itibaren ağırlıklı kullanılmaya başlanan iletişimsel yöntem ile birincil amaç sözlü ve yazılı iletişimde bulunmak olduğu için ders kitaplarının içeriğinde yer alan metin türleri de değişiklik göstermiştir. Metin türleri; bilgi verme işlevi olan metinler, kullanmalık metinler, uzmanlık metinleri ve edebi metinler olarak sıralanabilir. Metinler kendi içinde duyma, görme ve okuma metinleri şeklinde kategorize edildiği gibi, özgün metinler ve yapay (uydurulmuş) metinler olmak üzere iki gruba ayrılmaktadır.

Bu çalışma, “*Netzwerk B1*” ve “*İstanbul Yabancılar İçin Ders Kitabı B1*” kitapları ve bu kitaplarda yer alan metinler ile sınırlandırılmıştır. Bu kitapların seçilmesinin sebebi, her iki kitabın da iletişim odaklı olması ve basılı olarak araştırmacının elinde bulunmasıdır. Kitapların basılı olarak araştırmacının elinde olması karşılaştırma yapılmasına olanak sağlamıştır. Çalışmanın örneklemini “*Netzwerk B1*” Almanca ders kitabından ve “*İstanbul Yabancılar İçin Türkçe Ders Kitabı B1*” kitabından seçilen aynı türdeki Almanca ve Türkçe metinlerdir. Bu çalışmada her iki kitaptan seçilmiş aynı türdeki örnek metinlerin kurgusunun nasıl olduğuna ve kullanılan dilbilgisi yapılarının aynı olup olmadığına bakılmıştır.

### 1.1 Araştırma Amacı

Bu çalışmanın amacı “*Netzwerk B1*” ve “*İstanbul Yabancılar İçin Türkçe Ders Kitabı B1*” kitaplarında yer alan aynı metin türünden metin örnekleri seçerek dilbilgisi açısından analiz edilip karşılaştırılması sonucunda, aynı türdeki Almanca ve Türkçe metinlerde aynı dilbilgisi yapılarının kullanılıp kullanılmadığının araştırılması ve belirlenmesidir.

### 1.2. Araştırma Sorusu

Bu çalışmada şu sorular mercek altına alınmıştır:

- “*Netzwerk B1*” ders kitabında hangi metin türleri yer almaktadır?
- “*İstanbul Yabancılar İçin Türkçe Ders Kitabı B1*” ders kitabında hangi metin türleri yer almaktadır?
- Her iki kitapta yer alan aynı türdeki Almanca ve Türkçe metinlerde kurgu ve dilbilgisi yapılarının benzerlikleri ve farklılıkları nelerdir?

### 1.3. Araştırmanın Önemi

Yabancı dil olarak Almanca ders kitaplarında kullanılan metin türleri hakkında Türkçe dilinde pek çok çalışma bulunmaktadır ancak yabancılar için Almanca ve yabancılar için Türkçe ders kitaplarında yer alan metinleri dilbilgisi yönünden inceleyen bir çalışma olmadığı tespit edilmiştir. Bu çalışma, yabancılar için Almanca kitabı olan “*Netzwerk (B1)*” ve yabancılar için Türkçe öğretmek amacı ile hazırlanmış “*İstanbul Yabancılar İçin Türkçe Ders Kitabı (B1)*” adlı ders kitaplarındaki metinleri dilbilgisi açısından karşılaştırması yönü ile önem taşımaktadır.

## 2. YÖNTEM

Araştırma nitel olarak tasarlanmıştır. Bu çalışmada veriler, doküman analizi ile elde edilmiştir. “*İstanbul Yabancılar İçin Türkçe Ders Kitabı B1*” ve “*Netzwerk B1*” ders kitaplarından seçilmiş aynı türdeki toplam 6 adet metin analiz edilip dilbilgisi yönünden kıyaslanmıştır. Araştırmada nitel araştırma yöntemlerinden doküman analizi kullanılmıştır. Yıldırım ve Şimşek’e (2011) göre doküman analizi araştırılacak olgu ya da olgularla ilgili bilgiler içeren yazılı kaynakların incelenmesidir. Nitel araştırmalarda doküman analizi tek başına kullanılabileceği gibi başka yöntemleri desteklemek amacıyla da kullanılabilir. Bu çalışmada kitap incelemesi yapılacağından doküman analizi dışında başka bir nitel araştırma yöntemine yer verilmemiştir. Çalışmanın örneklemini “*Netzwerk B1*” ders kitabında yer alan 3 adet ve “*İstanbul Yabancılar İçin Türkçe Ders Kitabı B1*”de yer alan aynı türden 3 adet metindir.

### 3. GEÇMİŞTEN GÜNÜMÜZE YABANCI DİL ÖĞRETİM YÖNTEMLERİ VE YAKLAŞIMLARI VE TİPİK METİN TÜRLERİ

Bu bölümde geçmişten günümüze kadar Almanca'nın yabancı dil olarak öğretiminde kullanılan yöntem ve yaklaşımlar üzerinde durulacak, yabancı dil ders kitaplarında yer alan metin türlerinin yeri ve önemi ayrıca özellikleri üzerinde durulacak, çalışma için gerekli tanımlar yapılacaktır.

#### 3.1. Yabancı Dil Öğretim Yöntemleri

En eski yabancı dil öğretim çalışmalarının yaklaşık iki asır önce başladığı düşünülmektedir (Doğan ve Doğan: 2011). Yabancı dil öğretimi için geçmişten günümüze pek çok yöntem geliştirilmiştir. Şöyle ki;

##### 3.1.1. Dilbilgisi-Çeviri Yöntemi

Dilbilgisi-çeviri yöntemi, yabancı dil öğretiminde kullanılan en eski yöntemlerden biridir. Kayalı (2015) bu yöntemin Latince ve Yunanca gibi klasik dillerin öğretilmesi amacı ile geliştirildiğini ifade eder. Yabancı dil öğretimi ihtiyacı ile dilbilgisi yapılarının analizi ve yazılı metin çevirileri bu yöntemin başlangıcı sayılmaktadır ve bu yöntem dili 8 bölümde inceler. Bunlar; isim, fiil, sıfat, tanımlıklar, zamirler, edatlar, zarflar ve bağlaçlardır (Doğan ve Doğan, 2011: 256). Bu yöntemin kökleri 16. yüzyıla kadar dayanır ve 1940'lara kadar Avrupa'da yabancı dil öğretiminde kullanılan en yaygın yöntemdir (Şahin ve Acar, 2013: 59). Oldukça uzun bir dönem yabancı dil derslerinde kullanılmıştır.

Dilbilgisi çeviri yönteminde dilbilgisi öğretiminin önemi çok büyüktür ve dersin temel hedefi dilbilgisi aktarımıdır ve dersler öğretmen odaklı ilerlemektedir. Doğan ve Doğan (2011) dilbilgisi öğretiminin önemi konusunda şunları ifade etmektedir:

*“Doğal yollardan dil öğrenmenin sağladığı iletişimsel doğruluk güvenine eşdeğer bir güvenin yabancı dilde de sağlanması gerekir. Bu güveni sağlamanın tek yolu, yabancı dilin dilbilgisini açık maksatlı öğretmektir. Nitelikli dilbilgisi bilmenin iletişimde özgüven sağlama gibi olumlu bir görevi vardır. Yani hedef dilin dilbilgisini çok iyi bilen öğrenci, hedef dili endişesiz ve yetkin bir biçimde kullanır. Dilin yapıları, sözlü iletişim ve yazılı metin çözümünüyle ilgili çalışmalarda kendisini rahat hisseder”* (Doğan ve Doğan, 2011: 258).

Dilbilgisi-çeviri yönteminde öğrencilere öncelikle okutulan metinlerdeki dilbilgisi yapıları ayrıntılı kurallarla öğretilir çünkü bir dili öğrenmek, dil yapılarını öğrenmeye bağlıdır. Kuralların birbirinden bağımsız cümlelerle verilmesi ve çeviri yapılması bu yöntemin temelidir (Kayalı, 2015: 229). Bu bilgiler doğrultusunda, dilbilgisi çeviri yönteminde işitsel ve sözel becerilerin geri planda kaldığını söylemek mümkündür.

Bu yöntemde kullanılan teknikler şu şekilde sıralanabilir:

- Çeviri alıştırmaları
- Okuduğunu anlama soruları
- Kelime etkinlikleri
- Dilbilgisi soruları
- Boşluk doldurma alıştırmaları
- Yazma çalışmaları (Şahin ve Acar, 2013: 61).

Derslerde çoğunlukla ders kitabı yazarlarının hazırladığı kolay metinler, belirli dilbilgisi konularının yer aldığı metinler ve edebi metinler kullanılmaktadır.

##### 3.1.2. Direkt Yöntem (Dolaysız Yöntem)

19. yüzyılın ikinci yarısında dilbilgisi çeviri yöntemine tepki olarak doğmuş bir yöntemdir ve öğretim sürecinde kesinlikle çeviriye yer verilmemiştir (Kayalı, 2015: 227; Şahin ve Acar, 2013:61). Yabancı dil öğreniminin tamamen sezgisel olması gerektiğini savunulmuştur ve öğretim sürecinde anadil kullanımı, hedef dili öğrenmek için bir engel olarak görülmüştür. Öğretmen yabancı dil öğretirken rol model konumundadır. Bu yöntem, okuma ve yazma becerileri göz ardı edildiği için eleştirilmiştir. Şahin ve Acar bu yöntemin derste kullanılışı konusunda şunları söylemiştir:

*“Ders çoğunlukla resimli bir metin ya da diyalog ile başlar ve metin genellikle bir dilbilgisi konusu üzerine kurgulanmış bir hikâyeden oluşur. Anlaşılması zor ifadeler resimler, dolaylı anlatım, eş anlamlı kelimeler aracılığıyla ya da bağlamdan yola çıkılarak açıklanır. Öğretmen sınıfa metnin içeriğini anlamaya yönelik sorular yöneltir. Öğrenciler, telaffuz eğitimi amaçlı metni yüksek sesle okurlar. Öğrenciler, dilbilgisi kurallarını sadece öğretmen gerekli gördüğü zaman metindeki örnek cümlelerden yola çıkarak çalışırlar” (Şahin ve Acar, 2013: 62).*

Derste kullanılan etkinlikler şu şekildedir:

- Soru-cevap alıştırmaları
- Konuşma alıştırmaları
- Telaffuz çalışması
- Boşluk doldurma çalışmaları
- Yazma çalışmaları (Şahin ve Acar, 2013: 62).

Bu yöntemde genellikle görsellik ile desteklenmiş diyaloglar, ders kitabı yazarları tarafından hazırlanmış kolay metinler, şarkılar, şiirler, hikâyeler ve masallar kullanılmaktadır.

### 3.1.3. İşitsel-Görsel Yöntem

Bu yöntemde işlenecek konular mümkün olduğunca görsel materyallerle zenginleştirilir. İçerik önce görsel materyaller ile açıklanır, ardından dilsel ifadeler verilir. İşitsel ve görsel ifadeler bir arada verilir. Görsellik ve işitsellik arasında bağlantı kurulur. Gündelik dilin öğretimi ön plandadır.

Derste şu etkinlikler kullanılmaktadır:

- Cümle yapılarını öğrenmeye yönelik çalışmalar
- Çeşitli örnek cümlelerin ezberlenmesi
- Görsel ve işitsel materyaller (Şahin ve Acar, 2013: 67).

Bu yöntemin kullanıldığı derslerde görsellikle desteklenmiş kurgusal diyaloglar, ders kitabı yazarlarınca hazırlanmış sık karşılaşılan dilbilgisi yapılarının kullanıldığı kolay okuma metinleri kullanılmaktadır.

### 3.1.4. İşitsel-Dilsel Yöntem

İşitsel-Dilsel Yöntem’de dinleme ve konuşma becerisi diğer becerilerden ön plandadır. İletişim kurabilmek, dilbilgisi kurallarını öğrenmekten daha önceliklidir. Derste kullanılan yöntemler şu şekildedir:

- Diyalog alıştırmaları
- Diyalog ezberleme
- Rol oynama (Şahin ve Acar, 2013: 65).

İşitsel-Dilsel Yöntem’in kullanıldığı bir derste, İşitsel-Görsel Yöntem’de olduğu gibi kurgusal diyaloglar ve ders kitabı yazarları tarafından hazırlanmış kolay okuma metinleri yer almaktadır.

### 3.1.5. İletişimsel Yöntem

Memiş ve Erdem (2013) iletişimsel yöntemde dil becerilerinin her birinin iletişim kurmak için doğal bağlamlarda öğretildiğini ifade etmişlerdir. Öğretim süreci ve ortamı öğrenci odaklıdır. Demirel (2010) çalışmasında öğretmenin rolünün öğrencilerin iletişim kurmalarında yönlendirici olmak olduğunu söylemiştir. Derste kullanılan etkinlikler şunlardır:

- Diyalog düzenleme/oluşturma
- Oyunlar
- Soru-cevap alıştırmaları (Demirel, 2010: 51-52).

İletişimsel Yöntem odaklı bir derste diyaloglar ve günlük yaşamı yansıtan otantik metinler kullanılır (Mektup, e-mail, yemek tarifi vb.)

### 3.1.6. Kültürlerarası Yaklaşım

Ders içeriği ve etkinlikleri hem yerli hem de yabancı bakış açısına göre düzenlenmiştir. İletişimsel yöntemin devamı niteliğindedir (Şahin ve Acar, 2013: 67). Bu ifadeden hareketle derste kullanılan etkinliklerin ve metinlerin iletişimsel yöntem ile benzer olduğu söylenebilir.

### 3.2. Metin Türleri

Yabancı dil olarak Almanca dersinde kullanılan yöntem doğrultusunda kullanılan metinler çeşitlilik göstermiştir. Şöyle ki;

#### 3.2.1. Bilgi Verme İşlevi Olan Metinler

Almanca karşılığı “Informationstext” veya “Sachtext” olan bu metin türünün amacı, okuyucuya belli bir konuda bilgi vermektir. Bu metinlerde günlük yaşamdaki konular ele alınır. Bilgi verme işlevi olan metinlere örnek olarak gazete haberi, mektup, yorum metni ve röportaj gösterilebilir.

#### 3.2.2. Kullanmalık Metinler

Kullanmalık metnin Almanca karşılığı “Gebrauchstext” olarak kullanılmaktadır. Seyhan Yücel (2018) kullanmalık metinlerin günlük yaşamı yönlendiren ve bilgi verici olan yemek tarifleri, davetiye, yol tarifi, şehir planı, tanıtımlar, şehir levhaları vs. gibi metinler olduğunu ifade etmiştir.

#### 3.2.3. Edebi Metinler

Edebi metinler Almanca “literarische Texte” olarak çevrilmektedir. Seyhan Yücel (2018) çalışmasında edebi metinlerin kültürlerarası bakış açısını geliştirmeye teşvik ettiğini söylemiştir ve bu metin türü için şarkı, şiir, kısa çizgi roman hikâyeleri, kısa öyküler ve fıkraları örnek göstermiştir.

#### 3.2.4. Diyalog

Ders kitaplarında yazılı olarak ya da dinleme metni olarak yer alabilmektedir. İletişim ve dinleme becerisini geliştirir.

## 4. BULGULAR

### 4.1. “Netzwerk B1” Adlı Kitap İle İlgili Genel Bilgiler

Klett Yayınevi tarafından basılan “Netzwerk B1” kitabı, yabancılara Almanca öğretmek amaçlı Stefanie Dengler, Paul Rusch, Helen Schmitz ve Tanja Sieber tarafından hazırlanmıştır. Kitabın ilk basım tarihi 2014’tür. Kitapta toplamda 12 ünite ve her 3 ünitenin ardında yer alan “Plattform” adı verilen ara etkinlik bölümleri bulunmaktadır. Bu çalışma kapsamında yapılan kitap analizi sonucunda Netzwerk B1 ders kitabının, iletişimsel yöntem ile hazırlandığı sonucuna varılmıştır.

“Netzwerk B1” ders kitabında diyalog biçiminde sunulmuş olan dinleme metinleri haricinde toplam 105 adet metin yer almaktadır. Kitapta 81 adet bilgi verme işlevi olan metin, 18 adet kullanmalık metin ve 6 adet edebi metin vardır. Kitapta yer alan metinler Tablo 1’de kategorize edilmiştir.

Tablo 1: “Netzwerk B1” Ders Kitabında Metin Türleri

Metinler	Sayısı
Bilgilendirici Metinler <sup>1</sup>	45
Yönerge/Talimat	11
Yorum	13

<sup>1</sup> Bilgilendirici Metin kategorisinde ders kitabı yazarları tarafından hazırlanmış, kısa okuma metinleri yer almaktadır. Kurgulanmış gazete ve dergi makaleleri de bu kategoriye dâhildir.

Blog Yazısı	11
Biyografi	5
Reklam	4
İlan	3
E-Mail	1
Burç Yorumu	2
Şarkı Sözü	1
Chat/Yazışma	1
Fabl	2
Masal	2
Şiir	1
Film Özeti	1

#### 4.2. “İstanbul Yabancılar İçin Türkçe Ders Kitabı (B1)” ile İlgili Genel Bilgiler

“İstanbul Yabancılar İçin Türkçe Ders Kitabı (B1)” 2013 yılında yabancılarla Türkçe öğretmek amacıyla Kültür Sanat Basımevi tarafından yayımlanmıştır. Kitabın yazarları Dr. Fatma Bölükbaş, Enver Gedik, Gökçen Göçen, Gül Gönültaş, Funda Keskin, Fazilet Özenç, Hande Tokgöz, Gizem Ünsal ve Serra Yavuz’dur. Kitabın iletişimsel yaklaşım ile hazırlandığı kitabın son bölümünde yazmaktadır. Kitap içinde 6 ünite vardır.

“İstanbul Yabancılar İçin Türkçe Ders Kitabı (B1)”de toplam 62 adet metin yer almaktadır. Bu metinlerin 29 tanesi bilgi verme işlevi olan metin, 9 tanesi kullanımlık metin, 4 tanesi edebi metin, 2 tanesi diyalog şeklinde dinleme metni ve 18 tanesi dinleme metinlerinin yazılı formudur. Dinleme metinleri kitapta yazılı olarak verildiğinden kitapta yer alan metin türleri dahilinde değerlendirilmiştir. Kitaptaki metin türleri aşağıdaki tabloda gösterilmektedir.

Tablo 2: “İstanbul Yabancılar İçin Türkçe Ders Kitabı B1”da Metin Türleri

Metin Türü	Sayısı
Bilgilendirici Metinler	21
Boşluk Doldurma Metni	2
Diyalog	2
Anı Yazısı	1
Röportaj	1
Fıkra	3
Haber Metni	5
Dinleme Metni (Yazılı)	18
İlan	9

Her iki kitapta da ağırlıklı olarak bilgi verme işlevi olan metinlerin kullanıldığı görülmüştür. Her iki kitapta bulunan aynı türdeki metinlerin bilgilendirici metinler, ilanlar ve haber metinleri olduğu tespit edilmiştir. Bu doğrultuda, bu türlerdeki Almanca ve Türkçe metinlerden birer örnek seçilip, dilbilgisi açısından karşılaştırılması yapılmıştır.

#### 4.3. Aynı Türdeki Almanca ve Türkçe Metinlerin Dilbilgisi Yapıları Bakımından Karşılaştırılması

Bu bölümde ilk önce kitap yazarları tarafından oluşturulmuş mesleklerle ilgili bilgilendirici Almanca ve Türkçe metinler üzerinde durulmuş, daha sonra incelemeye konu olan Almanca ve Türkçeyi yabancı dil olarak öğretmeyi amaçlayan iki kitapta yer alan birer ilan metni ve haber kupürü incelenmiş ve içlerinde barındırdıkları dilbilgisi yapıları bakımından iki dildeki metin karşılaştırılmıştır.



#### 4.3.1. Bilgilendirici Metinler

##### Metin 1: Morgen um fünf (Almanca metin)

## Morgens um fünf

**Morgens um 5.00 Uhr** im Allgemeinen Krankenhaus. Pfleger Fery ist seit 21.00 Uhr im Dienst. Noch eine Stunde, bis die Kollegen von der Frühschicht kommen. Die Nacht war unruhig heute, zwei Patienten hatten Probleme. „Einer hatte nach einer Operation plötzlich hohes Fieber, ein anderer hat mich sicher zehnmal

**Nicht weit vom Krankenhaus** entfernt ist die Bäckerei Buch. Fünf Personen sind seit 2.00 Uhr bei der Arbeit. In der Backstube ist es sehr warm, es riecht nach frischem Brot, die Angestellten und der Chef arbeiten auf Hochdruck. Pünktlich um 5.00 Uhr, wie jedes Morgen, kommt Vera, die Fahrerin, mit einem Anhänger. Sie hat große Körbe mit frischem Brot in das Auto, das hinten offen ist. „Ich fahre ja zu den großen Kunden und bringe ihnen ihre Bestellungen.“

den Weg. Bevor sich das automatische Tor wieder schließt, geht ein Obdachloser mit seinem Schlafsack



gerufen. Also ein ganz normaler Nachtdienst.“ Fery beginnt jetzt, alles für die Übernahme vorzubereiten, um 7.00 ist für ihn Schluss.

Der **Reinigungszeit** beginnt der Arbeitstag auch im städtischen Bauhof. Das große Tor wird geöffnet, ein Reinigungsfahrzeug macht sich auf

hinein, keiner hält ihn auf oder sagt etwas. Er lächelt und sagt: „Max fährt immer als Erster weg. Er macht dann das Tor nicht sofort zu und ich kann rein. Bis elf habe ich dann einen trockenen Platz zum Schlafen. Der Max ist ein Guter!“ Wo der Obdachlose bisher die Nacht verbracht hat, das sagt er nicht.

Kaynak: Dengler, Rusch, Schmitz & Sieber, 2017, s. 123.

Birinci Almanca metinde bir mesleğin bir insanın yaşam tarzını nasıl etkilediği, bir gün içerisinde bir hasta bakıcısının neler yaşadığı, başından nelerin geçtiği anlatılmaktadır. Dışarıdan bir anlatıcı olmakla birlikte zaman zaman hasta bakıcısının işiyle ilgili bazı söylemlerde bulunduğu tırnak işareti içinde verilen doğrudan hasta bakıcı tarafından söylenen sözlerine de yer verilmektedir. Almanca'yı yabancı dil olarak öğretmeyi hedefleyen "Netzwerk B1" adlı ders kitabında yer alan metin içinde üç ayrı yerde bazı sözcükler koyu yazı karakteri ile verilmiş, bu yolla bu koyu basılı yerlere bakıldığında metinde ana hatları ile ne tür bilgilere yer verildiğinin anlaşılması sağlanmıştır. Yazılı metin yanı sıra 3 adet görsel ile metin içinde ne tür bir konunun ele alındığı anlatılmaktadır. Metinde hasta bakıcının gece nöbet tutması gerektiği ve gece hastalar ile neler yaşadığı anlatılmış, işe ne zaman gittiği, işten ne zaman ayrıldığı, iş dönüşü nerelere uğradığı, işinin evine yakın olup olmadığı, ne tür bir araçla gittiği vs. anlatılmıştır. Ancak bunun yanı sıra örneğin hastane yakınındaki bir fırında insanların saat 02.00de işe başladığından ve kamu kurumlarında da işçilerin erkenden yola koyulduğundan söz edilmektedir. Ayrıca bir evsizin kapalı fiziki mekanlara nasıl sığındığı ve bir süreliğine de olsa ıslak olmayan kuru bir yerde nasıl zaman geçirmeye çalıştığından bahsedilmektedir. İlgili hasta bakıcısının etrafında olan biten akıcı bir dille anlatılmıştır.

Metinde, şimdiki zaman ve geniş zaman yanı sıra gece yaşananlar geçmiş zamanda anlatılmıştır. Almancada "Dativ" olarak karşılık bulan e-hali veya bulunma hali alan edatlar, Almancada "Akkusativ" olarak karşılık bulan i-hali veya yönelme hali ile birlikte kullanılan edat, geçmiş zamanın hikâyesi, etken yapı, edilgen yapı, dönüşlü fiiller, Almancada "Modalverb" olarak karşılık bulan tarz fiiller (Örnek: können), yan cümle bağlaçları, sıfır pozisyonundaki bağlaçlar başka bir deyişle cümle öğelerinin yerini etkilemeyen bağlaçlar ve cümleyi devrik hale getiren bağlaçlar kullanılmıştır. Şimdiki zaman ve geniş zamanda anlatılanlar yanı sıra geçmiş zamanlardan Almancada "Perfekt", "Präteritum" ve "Plusquamperfekt" olarak karşılık bulan geçmiş zamanların tümü olayları gerektiği gibi anlatabilmek için kullanılmıştır. Basit düz cümleler yanı sıra, yan cümlelerin ve ünlem işaretli cümlelerin de kullanıldığı görülmektedir (Bkz. Metin 1).

Aynı metin türündeki Türkçe metinde (Bkz. Metin 2) ise bir insanın meslek seçimi ile ilgili başarılı veya mutlu olup olmayacağını da belirleyeceği, insanların meslek seçerken mutlaka kendi özelliklerini düşünerek meslek seçmeleri gerektiği anlatılmaktadır. Burada da 3. kişi anlatıcısı bulunmaktadır. Herhangi bir kimsenin doğrudan söylediği cümlelere yer verilmemiştir. Anlatılanların araştırmalara dayalı anlatıldığı belirtilmiştir. Metin hangi mesleği seçeceği konusunda kararsızlık yaşayan bir kişinin yer aldığı bir görsel ile desteklenmektedir. Metin 4 paragraftan oluşmaktadır. Metnin ilk paragrafında bir gencin rastgele meslek seçmesi durumunda başarısız ve mutsuz olacağı, ikinci ve 3. paragraflarda meslek seçerken aile yapısı, ekonomik durum, çevre koşulları, bireysel özellikler, sınavlardan elde edilen puan durumu vs. gibi faktörlerin belirleyici olduğu anlatılmaktadır. Ayrıca ergenlik mesleklerinden söz edilmiştir.

## Metin 2: Meslek Seçimi (Türkçe Metin)

### MESLEK SEÇİMİ

( ) Meslek seçimi, bireyin yaşamında çok önemlidir. Meslek seçmek aynı zamanda bir yaşam biçimini seçmektir. Bireyin yetenek, ilgi ve isteklerine göre meslek seçmesi onu başarılı ve mutlu yapar. Bir insan kendi özelliklerini düşünmeden rastgele seçim yaptığı zaman başarısız, mutsuz olur.

( ) Araştırmalara göre, birçok insan mesleğinden şikâyet ederken, pek az insan işini severek yapmaktadır. Bazı meslek eğitimlerinin uzun ve masraflı olması, gençlerin özgürce meslek seçimlerini engellemektedir. Rastlantılar, aile yapısı, ekonomik durum, çevre koşulları, bireysel özellikler, puan durumu vb. gibi etkenler de gencin meslek seçimini belirlemektedir.

( ) Bir gencin meslek seçiminde ailesinin çok büyük etkisi vardır. Aileler her zaman çocuklarının doktorluk, avukatlık gibi saygın bir meslek seçmelerini ister. Ailenin ekonomik düzeyi ile kültür düzeyi, gencin meslek seçimini



olumlu veya olumsuz yönde etkiler. Genellikle ekonomik ve kültürel düzeyi yüksek ailelerde gençler, yetenek ve ilgilerine göre meslek seçmektedir. Ekonomik ve kültürel düzeyi düşük aileler çocuklarının bol kazançlı moda meslekler seçmelerini isterler. Bazı aileler ise çocuklarının baba mesleğini yapmalarını ister.

( ) Özellikle ergenlik dönemi, meslek seçimini çok etkiler. Ergenlik döneminde özgüven eksikliği, kararsızlık, fizyolojik değişiklikler, macera yaşama isteği gibi özellikler, gençlerin meslek tercihlerini etkiler. Bu dönemde bilim adamı, astronot, pilot, hostes, artist, televizyoncu olma gibi istekler çok yaygındır. Bu nedenle uzmanlar, bu mesleklerle "ergenlik meslekleri" adını vermektedirler.

İnsanların büyük çoğunluğu için meslek seçimi bir sorundur. Uzmanlara göre, kişinin işini sevmesi ve işyerinde mutlu olması için kendi niteliklerine göre meslek seçmesi gerekir.

Kaynak: Bölükbaş, Gedik, Göçen, Gönültaş, Keskin, Özenc, Tokgöz, Ünsal, Yavuz, 2013, s. 32.

Türkçeyi yabancı dil olarak hedefleyen "İstanbul Yabancılar İçin Türkçe Ders Kitabı B1"deki kitapta yer alan metinde geniş zaman, şimdiki zaman eki (-makta, -mekte), ismin -i hali, ismin -e hali, etken ve edilgen yapı ve bağlaçlar kullanılmıştır. Geçmiş zaman, doğrudan doğruya söylenen cümleler, ünlem cümlelerine yer verilmemiştir. Yargı cümleleri ağırlıktadır. Metni yazan kendi duygu ve düşüncelerini yansıtmamıştır. Metni kaleme alan kişi araştırmalarda elde edilen verileri ve bilgileri tamamen objektif bir üslupla aktarmıştır.

### 4.3. 1. İlan Metni

Bu araştırmaya konu olan iki kitapta ortak metin türü olarak ilan metinlerine rastlanmıştır. Biri Almanca diğeri Türkçe olan iki metin incelendiğinden Almanca ilan metninde (Bkz. Metin 3) başlık yanı sıra iki adet cümleye yer verildiği görülmüştür. Başlık kısa ve yalındır. "Teilzeitjob" sözcüğü i-hali (Almanca: Akkusativ) gerektiren "für" edatı ile birlikte kullanılmıştır. İlan metninde ilk önce düz bir cümle kullanılmış, ardından "wenn" ile başlayan şartlı bir cümleye yer verilmiştir. İnsanlar ile iletişim içinde olmaktan hoşlanıyorsanız ve iyi (sevimli) bir ekip ile çalışmak istiyorsanız bizi arayın denilmektedir ve cümlenin ikinci bölümü emir kipi cümlesidir. Ancak bu cümle emir kipi olmakla birlikte ile tavsiye niteliğindedir. Metnin tümü şimdiki zaman başka bir deyişle geniş zaman cümleleri ile yazılmıştır. İ-hali (Almanca: Akkusativ) ve e-hali (Almanca: Dativ) gerektiren edatlar, koşul bildiren bağlaç, etken yapı ve emir kipi kullanılmıştır.

Metin 3: Teilzeitjob für Studenten (Almanca metin)



Kaynak: Dengler, Rusch, Schmitz & Sieber, 2017, s. 48.



#### Metin 4: Ev Arkadaşı (Türkçe metin)



Kaynak: Bölükbaş, Gedik, Göçen, Gönültaş, Keskin, Özenc, Tokgöz, Ünsal, Yavuz, 2013, s. 8.

Metin 4’de de görüleceği gibi Türkçe ilan metninin başlığı yalın haldedir, iki sözcükten oluşmaktadır. İlan metninde şimdiki zaman, ismin -i hali ve yalın halde kelimeler bulunmaktadır. Cümle etken yapıdadır. Çok kısa ve özür.

#### 4.3.3. Haber Metinleri

Bu bölümde incelemeye konu olan biri Türkçeyi diğeri Almanca’yı yabancı dil olarak öğretmeyi hedefleyen iki ayrı kitapta yer alan iki adet haber metni örnek olarak incelenmiş ve içlerinde yer alan dilbilgisi yapıları karşılaştırılmıştır.

#### Metin 5: Hamburg 2030 (Almanca metin)

Neueste Nachrichten

Politik Kultur Sport Reisen Lokales Schule

### Hamburg 2030 - Zukunft findet

Wie wird Hamburg 2030 aussehen? Diese Frage haben Experten und Interessierte auf dem sogenannten „Zukunftscamp“ diskutiert. Im Jahr 2030 wird Cordula Jansen, die heute 24 Jahre alt ist und studiert, die Hamburger Durchschnitt repräsentiert. 2030 ist sie nämlich 43 Jahre alt, hat ein bis zwei Kinder, mit denen sie im Zentrum wohnt. Ihr Mann und sie sind beide berufstätig. Die Schule, in die ihre Kinder gehen, wird eine Ganztagschule sein. So haben die Kinder den ganzen Tag eine Betreuung und können einen guten Schulabschluss machen. In der Stadt Hamburg werden fast zwei Millionen Menschen leben, darunter mehr junger und ältere Menschen als heute. Das wird eine große Herausforderung für den Wohnungsbau. Ältere Menschen, für die man neue Wohnformen plant, haben ganz andere Bedürfnisse als junge Leute. Dazu gehören z. B. viele Erholungsmöglichkeiten auf kurze Wege. Es gibt noch weitere Ziele für 2030, die man realisieren möchte: Hamburg soll das wirtschaftliche, politische und kulturelle Zentrum Nordeuropas werden. Dazu gehört, dass in 20 Jahren ein Fünftel der Schüler Englisch lernt, Hamburg das dichteste Radwegnetz Europas hat und die Elbphilharmonie zu den bekanntesten Konzerthäusern der Welt gehört. Es gibt eine neue superschnelle Zugverbindung, die die Städte Berlin und Hamburg mit dem Ruhrgebiet verbindet. Und auch der Sport spielt eine wichtige Rolle. So möchte man die Olympischen Spiele 2032 nach Hamburg holen.

Auf dem Zukunftscamp konnten sich Interessierte mehrere Tage mit dem Thema beschäftigen. Am Ende gab es eine Pressekonferenz, auf der die Fachleute die Ziele präsentierten.

Kaynak: Dengler, Rusch, Schmitz & Sieber, 2017, s. 66.

Almanca haber metninde gelecek zaman, şimdiki zaman, geçmiş zamanın hikâyesi, etken yapı, edilgen yapı, Almancada “Dativ” olarak karşılık bulan e-hali veya bulunma hali alan edat ve Almancada “Akkusativ” olarak karşılık bulan i-hali veya yönelme hali gerektiren edatlar, bağlı yapı (Almanca: Relativ), yan cümle bağlaçları, 0 pozisyonundaki bağlaçlar başka bir deyişle düz cümlede ikinci sırada olan yüklem yerini değiştirmeyen bağlaçlar veya cümle dizilimini etkilemeyen bağlaçlar, Almancada “Modalverb” olarak karşılık bulan tarz fiiller (sollen, können, mögen) kullanılmıştır.

#### Metin 6: Türkçe metin

İngiltere'deki bir ortaokulda, ders sürelerini 8 dakikaya indirdiler. Okul yöneticileri, "Beynin bilgileri hafızaya kaydetmesi için kısa süreli ve aralıklarla eğitim vermek gerekiyor. Öğrencilerimizin 40-50 dakika boyunca sınıfta kalmaması için kısa ve sık dersler planladık. Okulda günde 30 ders yapıyoruz." dedi. İngiliz bilim insanlarına göre hafızayı güçlendirmek için gözler çok önemli. Günde yarım dakika gözleri sağa sola hareket ettirmek beynin iki tarafını çalıştırıyor ve hafızayı %10 güçlendiriyor. Dr. Andrew Parker, "Sınavda önemli bir bilgiyi hatırlamak için bu hareketi deneyebilirsiniz." dedi.

Kaynak: Bölükbaş, Gedik, Göçen, Gönültaş, Keskin, Özenc, Tokgöz, Ünsal, Yavuz, 2013, s. 103.

Türkçeyi yabancı dil olarak öğretmeyi hedefleyen "İstanbul Yabancılar İçin Türkçe Ders Kitabı B1"deki haber metninde ise -di'li geçmiş zaman, şimdiki zaman, bağlaç, yeterlilik bildiren ek (e bilmek), ismin -i hali, ismin -e hali ve etken yapı kullanılmıştır.

### 5. SONUÇ VE ÖNERİLER

Yapılan metin analizinde "Netzwerk B1" ders kitabında toplam 105, "İstanbul Yabancılar İçin Türkçe Ders Kitabı B1" kitabında ise 62 adet metin bulunduğu sonucuna varılmıştır. Her iki kitapta da ders kitabı yazarları tarafından hazırlanmış olan kurgusal bilgi iletici metinlerin ağırlıkta olduğu görülmektedir. Metin türleri kategorize edildiğinde her iki ders kitabında da ortak kullanılan metin türlerinin bilgilendirici metinler, haber metinleri ve ilan metinleri olduğu tespit edilmiştir.

Hem Almanca hem de Türkçe ders kitabından, bu 3 metin türünden birer adet metin seçilmiştir ve her metinde kullanılan dilbilgisi yapıları incelenmiştir. Bilgilendirici metin türünde her iki dildeki metinde de şimdiki zaman, ismin -i hali (Almanca: Akkusativ), ismin -e hali (Almanca: Dativ), bağlaçlar, etken yapı ve edilgen yapı kullanılmıştır. Buna ek olarak Almanca metinde geçmiş zamanın hikâyesi, Almancada "Modalverb" olarak karşılık bulan tarz fiiller ve dönüşlü fiiller bulunmaktadır.

İlan metinlerinin ikisi de şimdiki zamanda ve etken yapıdadır. İkisinde de cümlelerde ismin -i hali (Almanca: Akkusativ) veya başka bir deyişle özne yanı sıra nesne de kullanılmıştır. Almanca metinde daha fazla cümle dolayısıyla birbirinden farklı dilbilgisi konu ve yapılarına yer verilmiş, Türkçe metinde ise ilan yalnızca 1 cümle ve yalın halde birkaç sözcük ile verilmiştir. Almanca ilan metninde koşul bildiren bağlaç ve cümle ve emir kipi de kullanılmıştır.

Her iki haber metninde de şimdiki zaman kullanılmıştır. Geçmiş zaman ifade eden cümleler Almanca metinde geçmiş zamanın hikâyesi olarak verilmişken, Türkçe metinde -di'li geçmiş zaman ile verilmiştir. İki metinde de bağlaçlara rastlanmıştır. Türkçe metinde ayrıca -e bilmek eki görülürken, Almanca metinde aynı anlama gelen "können" fiili bulunmaktadır. İki metinde de ismin -i halini (Almanca: Akkusativ) ve ismin -e halini (Almanca: Dativ) görmek mümkündür. Almanca haber metninde bağıl yapı (Almanca: Relativ) de vardır.

Bu analizden hareketle "İstanbul Yabancılar İçin Türkçe Ders Kitabı B1" ve "Netzwerk B1" kitaplarında yer alan aynı türdeki metinlerde farklı dilbilgisi yapılarına rastlansa da karşılaştırılan aynı türdeki ve aynı dil düzeyindeki metinlerde kullanılan dilbilgisi yapılarının büyük ölçüde benzerlik gösterdiği sonucuna varılmıştır. Bu da aynı seviyedeki yabancı dil öğretilmesi hedeflenen yabancı dil ders kitaplarında verilen dilbilgisi konu ve yapıların birbirine hemen hemen eş değer olduğunu ortaya koymaktadır. Ancak bu çalışma yalnızca B1 seviyesinde olan iki kitapla sınırlı tutulmuştur ve veriler bu kapsamda elde edilmiştir. Daha genel geçer sonuçlar elde etmek için mutlaka çalışmanın daha da genişletilerek diğer üst seviyelerdeki kitaplarda yer alan metinler üzerinde de tekrarlanmasında yarar vardır.

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## “Schritte International Neu A1.1” ve “Deutsch Für Gymnasien A1.1” Kitaplarında Almanca-Türkçe Karşılaştırmalı Dilbilgisi Öğretimi Yaklaşımının İncelenmesi

Prof. Dr. Sevinç Sakarya Maden<sup>1</sup>

Arife Sağman<sup>2</sup>

<sup>1</sup> Trakya Üniversitesi/ Eğitim Fakültesi, Yabancı Diller Eğitimi Bölümü, sevincmaden@trakya.edu.tr, ORCID: <http://orcid.org/0000-0001-5954-9565>

<sup>2</sup> Trakya Üniversitesi/ Sosyal Bilimler Enstitüsü, Yabancı Diller Eğitimi Bölümü Alman Dili Eğitimi Bilim Dalı, arife\_sagman@hotmail.com, ORCID:0000-0002-4835-0806

**Özet:** Günümüzde Avrupa Dil Politikası bakış açısından hareketle birçok dilbilimci aynı dil ailesinden birinci yabancı dilin ardından ikinci yabancı dil öğretiminde dilbilgisi konularının karşılaştırmalı öğretilmesi gerektiğini vurgulamaktadır. Özellikle önceden İngilizce öğrenmiş birinin zihninde mutlaka bu dilin dilbilgisi yapıları vardır ve dil öğrenen kişi özellikle de Almanca'yı İngilizceden sonra ikinci yabancı dil olarak öğreniyor ise bildiklerini ikinci dile transfer etmektedir, görüşü hakimdir. Bu çalışmada, ikinci yabancı dil olarak Almanca öğretiminde destek materyali olarak kullanılan ve Avrupa Dilleri Ortak Çerçeve Programı Ölçütleri doğrultusunda hazırlanmış olan “*Schritte International Neu A1.1*” ve “*Deutsch Für Gymnasien A1.1*” adlı ders kitaplarında, İngilizce-Almanca-Türkçe karşılaştırmalı dilbilgisi öğretimi yaklaşımına yer verilip verilmediği araştırılmıştır. Çalışmada, ilk önce dilbilgisi sözcüğünü çeşitli bilim insanlarının nasıl tanımladıkları üzerinde durulmuş, alan taraması yapılarak geçmişten günümüze kadar yabancı dil öğretim sürecinde kullanılan gelen yöntem ve yaklaşımlar ve bunlarla ilintili dilbilgisi öğretimi yaklaşımları sıralanmış ve çeşitlilik gösteren dilbilgisi öğretim yaklaşımlarının temel özellikleri hakkında bilgi sunulmuş, dilbilgisinin dil öğretiminde ve öğreniminde yeri ve önemi üzerinde durulmuştur. Bu çalışmada nitel araştırma yöntemlerinden doküman incelemesi yöntemi kullanılmıştır. Her iki ders kitabı tarama modeli ile incelenmiş olup karşılaştırmalı dilbilgisi etkinliklerine yer verilip verilmediğine bakılmıştır. Araştırmaya konu olan ders kitaplarının seçiminde bu kitapların hali hazırda Almanca derslerinde yardımcı materyal olarak kullanılması etkili olmuştur. Verilerin analizinde Bailey'in (1982) bahsettiği 'analize konu olan veriden örneklem seçme', 'kategorilerin geliştirilmesi', 'analiz biriminin saptanması' ve 'sayısallaştırma' şeklinde dört aşama göz önünde bulundurulmuştur. Ders kitabı incelemesi ve değerlendirmesi neticesinde “*Schritte International Neu A1.1*” adlı ders kitabında dilbilgisi konu ve yapılarının açık, “*Deutsch für Gymnasien A1.1*” adlı ders kitabında ise örtük sunulduğu ancak karşılaştırmalı dilbilgisi öğretimi yaklaşımına yer verilmediği sonucuna varılmıştır.

**Anahtar Kelimeler:** İkinci Yabancı Dil Olarak Almanca Öğretimi, Schritte International Neu A1.1, Deutsch Für Gymnasien A1.1, Dilbilgisi Öğretim Yaklaşımları, Karşılaştırmalı Dilbilgisi

**Abstract:** Today, from the perspective of European Language Policy, many linguists emphasize that grammar subjects should be taught comparatively in teaching a second foreign language, which will be taught after the first foreign language from the same language family. There is a common idea that specially in the mind of someone who has learned English before, there are definitely grammatical structures of this language, and the language learner transfers it to the second language, especially if he is learning German as a second foreign language after English. In this study, English-German-Turkish comparative analysis was made in the textbooks named “*Schritte International Neu A1.1*” and “*Deutsch Für Gymnasien A1.1*”, which are used as support materials in teaching German as a second foreign language and prepared in line with the Criteria of the Common European Framework of Reference for Languages. It has been researched whether grammar teaching approach is included or not. In the study, firstly, it was focused on how various scientists defined the word grammar, by scanning the field, the methods and approaches used in the foreign language teaching process from the past to the present and the related grammar teaching approaches were listed and information about the basic features of the various grammar teaching approaches was presented. The place and importance of grammar in teaching and learning language were also emphasized. In this study, the document analysis method, one of the qualitative research methods, was used. Both textbooks were examined with the scanning model and it was checked whether comparative grammar activities were included. The fact that these books are currently used as supplementary materials in German lessons has been the determinant in the selection of the textbooks that are the subject of the research. In the analysis of the data, four stages were taken into consideration, which Bailey (1982) mentioned as "selecting a sample from the data subject to analysis", "development of categories", "determination of the analysis unit" and "digitization". As a result of the review and evaluation of the textbook, it was concluded that the grammar topics and structures were presented explicitly in the textbook named “*Schritte International Neu A1.1*” and implicitly presented in the textbook named “*Deutsch für Gymnasien A1.1*”, while the comparative grammar teaching approach was not included in either of them.

**Keywords:** Teaching German as a Second Foreign Language, Schritte International Neu A1.1, Deutsch Für Gymnasien A1.1, Grammar Teaching Approaches, Comparative Grammar

## 1. GİRİŞ

Yabancı dil öğretiminde kişinin dilbilgisi kurallarına hakim olması, hedef dilde doğru yazabilmek, konuşabilmek, duyduğunu ve okuduğunu anlayabilmek için bir gerekliliktir. Bilindiği üzere geçmişten günümüze yabancı dil olarak Almanca derslerinde farklı öğretim yöntemleri kullanılmıştır (Bkz. Neuer ve Hunfeld, 1993). Yabancı dil öğretim yöntemlerinden en eskisi olan dilbilgisi-çeviri yöntemi yerine her ne kadar birçok ülkede öğrenciyi daha aktif kılan, bildirişimi birincil hedef gören, dilbilgisi konularını artık amaç değil amaca götüren bir araç gören yaklaşımlara yer verilmişse de Türkiye’de bazı öğretmenler Almanca’yı günümüze kadar geleneksel yöntem ilkelerince öğretmeyi sürdürmüşlerdir.

Dilbilgisi-çeviri-yönteminde okuma, yabancı dildeki edebi metinlerin kelime kelimesine çevrilmesi suretiyle gerçekleşen bir süreçti ve asıl amaç dil öğrenenlere dilbilgisi kurallarını öğretmek ve dil öğrenenlerin ilgili dilin dilbilgisi kurallarını ezberlemelerini ve hatasız kullanmalarını sağlamaktı. Ders kitaplarında ağırlıklı olarak dilbilgisi kurallarına ve konularına yer verilmekteydi. Dilbilgisi öğretimi derslerin birincil amacıydı ve bu yöntemde tümünden gelim, soyuttan somuta, kuraldan örneğe ve uygulamaya, genelden özele doğru ilerleme esastı. Daha sonraki süreçte ikinci Dünya Savaşı sırasında ortaya çıkan ve 1960’lı yıllarda çok yaygın kullanılmaya başlanan konuşsal-işitsel yöntemde ise dil bir insan davranışı olarak tanımlanıyordu (Bkz. Neuer ve Hunfeld, 1993). Bu yöntem, davranışçı öğrenme kuramları ve yapısalcı dilbilim görüşlerinin birleştirilmesiyle oluşmuştu.

Konuşsal-işitsel ve görsel-işitsel yöntem ilkelerince sürdürülen yabancı dil derslerinde, başlangıçta dilbilgisine fazla yer verilmeden, dilbilgisi öğretiminin tümevarım yöntemi ile özelden genele ve somuttan soyuta gidecek biçimde düzenlenmesi gerektiği, dilbilgisi kurallarına yer verilmemesi gerektiği aşamalı olarak küçük bir çocuğun bir dili öğrendiği gibi öykünme ve taklit yoluyla edindirilebileceği savunuluyordu. Oysa ders kitaplarına bakıldığında ünitelerde yer alan konuların temelinde basitten zora doğru dilbilgisi konularına göre bir sıralamamın esas alındığı görülür. 70’li yılların ortalarından itibaren yabancı dil derslerinde birincil amaç sözlü veya yazılı bildirişimde bulunabilme olunca önceleri günlük hayatta belli konuşma yönelimlerini gerçekleştirecek dilbilgisi konularına yer verilmiş, dil öğrenenlerin ilgili dilin anadili olarak konuşulduğu ülkelere gidecekleri ve çeşitli durumlarda duyduğunu anlaması ve konuşmasını sağlayacak konulara ve dilbilgisi yapılarına yer verilmiştir. 90’lı yılların ortalarında ise daha çok okuma metinleri ile okuduğunu anlama ve kültür karşılaştırmalarına ağırlık verilen dersler ile yabancı dil öğretimi hedeflendiğinden dilbilgisi konuları daha çok sezdirme yöntemiyle yapılandırmacı bir yaklaşım ile ele alınmış, anlamaya yönelik bir dilbilgisi öğretimi ön plana çıkmıştır. Öğrencinin kuralları kendisinin keşfederek dil ile ilgili düşünmesi ve dilbilgisi kuralları ile ilgili bir mantık geliştirmesi beklenmiştir. Bugün artık birden fazla yabancı dil öğretiliyor veya öğreniliyor ise ve art arda öğretilen diller aynı aileden gelip benzerlik gösteriyor ise bu dillerin birbirinden kopuk değil birbiriyle ilintili öğretilmesi gerektiği savunulmakta, çokdillilik eğitim anlayışına göre daha hızlı ve etkin bir dil öğretimi ve öğrenimi için önceden öğrenilen dilden veya dillerden kaynaklı bilgilerden ve dil öğrenme deneyimlerinden yararlanılması gerektiği savunulmaktadır.

Hufeisen’e (2010) göre anadil ve öğrenilen ilk yabancı dil, yeni bir dil öğreniminde öğrenme sürecine olumlu ve olumsuz aktarımlar yoluyla etki etmektedirler. Hufeisen’e (2010) göre öğrenim sürecindeki bu olumsuz aktarımlar, ders kitapları ve öğrenim materyallerinde karşılaştırmalı dilbilgisine yer vererek önlenemez. Türkiye’deki yabancı dil öğrenenlerin profiline bakıldığında, öğrenciler genel olarak ana dilleri Türkçe, birinci yabancı dilleri İngilizce ve üçüncü dilleri veya ikinci yabancı dilleri Almancadır.

Bu araştırmada, Almanya’da Hueber yayınevi tarafından basılmış olan “*Schritte International Neu A1.1*” kitabı ile Türkiye’de Ata Yayıncılık adına Oya Akay Zabun tarafından hazırlanan ve Milli Eğitim Bakanlığı Talim ve Terbiye Kurulu Başkanlığının 28.05.2018 tarihli ve 78 sayılı (ekli listenin 240. Sırasında) kurul kararıyla 2018-2019 öğretim yılından itibaren 5 (beş) yıl süreyle devlet okullarında ders kitabı<sup>1</sup> olarak okutulması kararlaştırılmış olan “*Deutsch für Gymnasien A1.1*” ders kitapları incelenmiş, dilbilgisinin nasıl verildiği mercek altına alınmış ve İngilizceden sonra ikinci yabancı dil olarak öğretilen Almanca derslerinde gerçekten çokdillilik eğitim anlayışına göre dilbilgisinin karşılaştırmalı verilip verilmediğine, konuların birbiriyle ilintili işlenip işlenmediğine bakılmıştır.

### 1.1.Problem Durumu

Ozil (1990) ve Hufeisen (1994) gibi günümüzde birçok dilbilimci yabancı dil öğretiminde dilbilgisinin karşılaştırmalı verilmesi gerektiğini vurgulamaktadır. Avrupa Konseyinin Dil Politikası ışığında gelişen çok dillilik eğitim anlayışına göre önceden İngilizce öğrenmiş birinin zihninde mutlaka bu dilin dilbilgisi yapıları vardır ve bunları öğrendiği

<sup>1</sup> Yabancı dil ders kitapları, metin, alıştırmaya, dilbilgisi, sözcük gibi öğretme ve öğrenme için gerekli malzemeleri iki kapak arasında bulunduran, öğretim yöntemi kesin çizgilerle belirlenmiş basılı yayınlardır (Bkz. Neuner, 2007).

ikinci dile transfer edildiğini Arak (2016) “İngilizceden Sonra İkinci Yabancı Dil Olarak Almanca” başlıklı makalesinde ifade etmektedir. Durum böyle olduğu halde bu çalışmada kitaplarda karşılaştırmalı dilbilgisine yeterince yer verilmediği hipotezinden yola çıkılmış, son yıllarda kullanılan ders kitaplarından ikisinde bu durumun gerçekten böyle olup olmadığına bakılarak, varsayımın kanıtlanması durumunda öneri geliştirilmesi amaçlanmıştır.

### Araştırmanın alt problemleri

1. “Schritte International Neu A1.1” ders kitabında diğer becerilere kıyasla dilbilgisi etkinliklerine ne kadar ve nasıl yer verilmiştir?
2. “Deutsch Für Gymnasien A1.1” ders kitabında diğer becerilere kıyasla dilbilgisi etkinliklerine ne kadar ve nasıl yer verilmiştir?
3. “Schritte International Neu A1.1” ve “Deutsch Für Gymnasien A1.1” ders kitaplarında dilbilgisi konularının verilisinde ana dil Türkçe, birinci yabancı dil İngilizce ve ikinci yabancı dil Almanca arasında karşılaştırma yapılmış mı?
4. Dillerin benzer yönleri daha hızlı ve etkin bir öğrenme ve öğretme süreci için kullanılmış mı?
5. Yanılığlara yol açabilecek ve yanlış transfer yapılmasına yol açacak konulara dikkat çekilmiş mi?

## 1.2. Araştırmanın Amacı

Bu çalışmanın amacı ilgili yabancı dil kitaplarındaki dilbilgisi konularının verilmiş biçimini ve etkinlikleri incelemek ve değerlendirmek suretiyle bu iki kitaptaki dilbilgisi konularının öğretiminde hangi yaklaşımın kullanıldığını saptamak ve bu kitaplarla çalışacak olan kişilere dilbilgisi konularını nasıl karşılaştırmalı verebilecekleri konusunda ipucu vermek ve kitap yazarlarına dilbilgisi konularının nasıl karşılaştırmalı verilebileceği konusunda ışık tutmaktır.

## 1.3. Araştırmanın Önemi

Almanca ders kitapları incelendiğinde, geçmişte yayınlanan kitapların özellikle dilbilgisi odaklı olduğu görülmektedir. Günümüzde ise bu kitapların, hem dört temel dil becerisini geliştirmeyi hedeflediği hem de kelime öğretmeyi ve dilbilgisi konularını ve yapılarını öğretmeyi ve pekiştirmeyi hedefleyen etkinlikleri içerdiği görülmektedir. Bu doğrultuda Almanca ders kitaplarının esas amacı okuma-anlama, yazma, dinleme-anlama ve konuşma becerilerinin geliştirilmesini sağlamaktır. Ülkemizde devlet okullarının ve özel okulların lise kademesinde farklı Almanca ders kitapları kullanılmaktadır. Devlet okullarında ülkemizde hazırlanmış kaynaklar kullanılırken, özel okullarda daha çok Almanya’da hazırlanmış kaynaklar kullanılmaktadır.

Yapılan alan yazın taraması sonucunda, Almanca’yı yabancı dil olarak öğretmek amacıyla hazırlanmış olan ders kitaplarına dair çok sayıda akademik çalışmaların yapılmış olduğu tespit edilmiştir. Fakat biri Türkiye’de diğeri Almanya’da hazırlanmış ve bu araştırmaya konu olan ilgili iki Almanca ders kitabının karşılaştırmalı dilbilgisi öğretimi bakımından incelenmesine rastlanmamıştır. Yapılan bu çalışmanın ikinci yabancı dil olarak Almanca öğretimi alanındaki olası eksikliklerin kapatılmasına katkısı olacağı düşünülmektedir.

## 1.4. Sınırlılıklar

İlk başta bu araştırma konusuna uygun olarak, Almanca öğrenen öğrencilere ve Almanca öğreten öğretmenlere bir anket uygulanması düşünülmüş ancak pandemi şartları nedeniyle anket çalışması yapılamamıştır. Bu sebeple çalışma sadece kitap incelemesinden ibarettir.

Günümüzde yabancı dil ders kitapları Avrupa Dilleri Ortak Çerçeve Programı’na göre A1, A2, B1, B2, C1 ve C2 seviyelerine ayrılmıştır. Bu çalışmada ileri düzey ciltleri bulunan “Schritte International Neu” ve “Deutsch für Gymnasien” ders kitaplarının sadece A1.1 seviyesi ele alınmıştır ve çalışma bu iki kitaptan elde edilen veriler ile sınırlandırılmıştır. Her iki kitapta da kelime bilgisini genişletmeye yönelik etkinlikler, yazma, konuşma, dinleme ve okuma becerilerini geliştirmeye yönelik etkinlikler ve dil bilgisi konularını öğretmeye ve pekiştirmeye yönelik etkinlikler bulunmaktadır. Bu araştırmada dilbilgisi konuları ile ilgili etkinlikler üzerinde odaklanılmış, elde edilen veriler analiz edilerek değerlendirilmiştir. Kitapların sadece A1.1 seviyelerinin seçilmesinin nedeni, Hufeisen (1994) gibi bazı araştırmacıların özellikle başlangıç düzeyinde daha önce öğrenilmiş olan diller ile karşılaştırma yapılması gerektiğini ifade etmiş olmalarından kaynaklanmaktadır.



## 2.DÜNDEN BUGÜNE YABANCI DİL ÖĞRETİM YÖNTEMLERİ VE DİLBİLGİSİ ÖĞRETİMİ YAKLAŞIMLARI

Bu bölümde dil, yabancı dil, yabancı dil öğretimi öğrenimi, dilbilgisi, dilbilgisi öğretimi yaklaşımları gibi sözcüklerin çeşitli bilim insanları tarafından yapılan tanımları üzerinde durulacaktır.

### 2.1. Dil nedir

Çağımıza ismini veren iletişimin ana unsuru olan dil, keskin sınırların ortadan kalktığı günümüz dünyasında, bireylerin ve toplumların kendini ifade etme aracıdır. Türk Dil Kurumu (TDK, 1932) dili, insanların düşündüklerini ve duyduklarını bildirmek için kelimelerle veya işaretlerle yaptıkları anlaşma, lisan, zeban; bir çağa, bir gruba, bir yazara özgü söz dağarcığı ve söz dizimi; belli mesleklere özgü dil, düşünce ve duyguları bildirmeye yarayan herhangi bir anlatım aracı; sorguya çekilmek için yakalanan tutsak olarak tanımlamıştır.

Dil sadece bir iletişim aracı değil, aynı zamanda, ses, harf, hece, kelime, cümle ve metin gibi farklı öğeleri de barındıran canlı bir olgudur. Bu öğelerin nasıl kullanılacağını belirleyen bilim dalı ise dilbilgisidir. Dilbilgisi geçmişte sadece kurallarıyla öğretilmekte ve amaç olarak görülmekteydi, günümüzde ise dili anlayabilmek, dil becerilerini geliştirmek için bir araç olarak görev yapmaktadır. Son yıllarda, yaşanan teknolojik gelişmelerle bilgiye ulaşmak daha da kolaylaşmış, dolayısıyla yabancı dil öğretim biçimleri de farklılaşmıştır. Günümüzde yapılandırmacı yaklaşım hedeflenerek, dil öğretiminin amaç, yaklaşım, yöntem ve süreçlerinde farklılıklar oluşmuştur.

### 2.2.Yabancı dil nedir

Teknolojinin büyük bir hızla gelişmesi ve çeşitli medya araçlarının da aracılığıyla iletişim oldukça kolaylaşmış, yabancı dile olan ihtiyaç ise oldukça artmıştır. “Yabancı dil öğrenmek, yeni bir dünyaya kapılarını açmak, yeni yerler görmek, yeni insanlar ve kültürlerle tanışmak, tanıdık kavramlara ve düşüncelere değişik açılardan bakmak ve benzeri yeni deneyimler edinmektir” (Yaylı ve Bayyurt, 2011: 1). Artık yabancı dil sadece seçkin insanlara ait bir çerçeveden çıkmış ve günümüzün olmazsa olmazları arasında yer almaya başlamıştır. Yabancı dil öğretimi ve öğrenimi günümüzün değişen dünyasında bir zorunluluk halini almıştır. Toplumlar arası ilişkilerin yoğunluk kazanmasıyla ve kitle iletişim araçlarının gelişmesiyle birlikte yabancı dil öğrenme gereksinimi artmıştır (Yaşar, 1992). Yaşanan bu gelişmelerle paralel olarak yabancı dil öğretim yöntemleri de değişmiştir.

### 2.3.Dilbilgisi nedir

Dilin ve dil öğretiminin önemli yapı taşlarından biri olan dilbilgisini tanımlayan çok çeşitli ifadeler bulunmaktadır:

T.D.K’ya göre dilbilgisi, bir dilin ses, biçim ve cümle yapısını inceleyip kurallarını tespit eden bilim, gramerdir. Bununla birlikte, yabancı dil öğretiminde dilbilgisi ise geçmişte bir amaç, günümüzde ise dili öğretmede bir araç olarak yerini almaktadır (Cuq, 2003, Akt. Fişekcioğlu, 2019). Jean-Pierre Cuq dil bilgisini 4 farklı kategoriye ayırmaktadır:

- Bir dili doğru konuşmak için oluşturulan düzenleyici ilke ve kurallar bütünü,
- Bir dilin ilkelerini inceleyen eğitsel etkinlikler, doğru konuşma ve yazma sanatı,
- Dilin iç işlevleri üzerine geliştirilen bir teori ve aynı zamanda gözlem aracı,
- Dile ilişkin öğretilecek açıklayıcı, süreçsel ve koşul bilgileri (Bkz. Cuq, 2003).

Dil sürekli gelişen ve kendini yenileyen bir kavramdır. Tarihsel sürecine baktığımızda, 19. Yüz yıla kadar dille daha çok filozofların ilgilendiğini, sonraki süreçte ise kendine has içerik ve kuralları olduğu görüşüyle dil bilimciler tarafından ele alındığı görülür. Buna bağlı çeşitli öğretim yöntemleri geliştirilmiştir. Bu öğretim yöntemleri, okullarda kullanılan ders materyallerinden olan kitaplara yansımış ve dilbilgisi konularının verilmesi kitapların temelindeki yöntem ilkelerince çeşitlilik göstermiştir. Dilbilgisinin bu gelişim sürecinde, dilbilgisini farklı yönlerden ele alan çeşitli dilbilgisi öğretim yaklaşımları ve dilbilgisi türleri ortaya çıkmıştır.

Genel hatlarıyla geleneksel veya klasik dilbilgisi olarak adlandırılan dilbilgisi, kendi içerisinde çeşitli dallara ayrılmaktadır. Okullarda verilen dilbilgisi “Okul dilbilgisi ya da eğitim dilbilgisi” kavramları ile eşdeğer görülürken sonraki süreçte dilbilgisine dair farklı bakış açıları ileri sürülmüş, geleneksel dilbilgisine karşın yeni dilbilgisi kavramları ortaya çıkmıştır. Yeni dilbilgisi, geleneksel dilbilgisine yapılan eleştiriler sonucu ortaya çıkmıştır ve dilbilgisi eğitimini bir amaç değil araç olarak ele almaktadır. Yeni dilbilgisi yapılandırmacı yaklaşımın ilkelerinden hareketle, öğrenciyi öğrenme sürecinin merkezine yerleştirmekte, dilbilgisi öğretimi ise öğrencinin ilerleme hızına bağlı aktif ve yaratıcı bir süreç olarak görmektedir (Cuq ve Gruca, 2005). Günümüzde bu konuda araştırmalar sürmekte ve bu kavramlara yenileri eklenmektedir (Bkz. Şekil 1).

Şekil 1: Geleneksel ve Yeni Dilbilgisi

TEORİK ÇERÇEVE	
<b>Geleneksel dil bilgisi</b> <ul style="list-style-type: none"><li>Dil bilgisi konuları dil bilim uzmanları tarafından belirlenir ve açıklanır.</li><li>Dil bilimine uygun her konu alınır, derinlemesine incelenerek en ince ayrıntılara girilir.</li><li>Öğretilen kuralların çoğu günlük dilde kullanılmaz. Örnekler için kullanılan metinler büyük edebî yazarlardan alınır.</li><li>Dilin kuralları genellikle ezberlenir.</li></ul>	<b>Yeni dil bilgisi</b> <ul style="list-style-type: none"><li>Dil bilgisi konuları dil eğitimi uzmanları ve eğitimciler tarafından belirlenir ve açıklanır.</li><li>Öğrencinin ihtiyacına uygun, dil becerilerini geliştirici tanımlar ve kurallar ele alınır.</li><li>Dilin kullanımına ağırlık verilir. Günlük dildeki metinlere de yer verilir.</li><li>Eğitim alanındaki bilimsel yaklaşım, yöntem ve kurallardan yararlanır.</li><li>Dilin mantığını keşfetmeye öncelik verilir.</li></ul>
AMAÇLAR	
<b>Geleneksel dil bilgisi</b> <ul style="list-style-type: none"><li>Dil bilgisi zorunlu ve temel amaç olarak alınır.</li><li>Öğrencilere dil bilgisinin bütün içeriği öğretilir.</li><li>Öğrencileri bir üst okula hazırlamak için dil bilgisi eğitimi gereklidir.</li></ul>	<b>Yeni dil bilgisi</b> <ul style="list-style-type: none"><li>Dil bilgisi dil eğitimi için araçtır.</li><li>Öğrencilerin dil ve zihinsel becerilerini geliştirmek amacıyla öğretilir.</li><li>Yeni eğitim anlayışında gerekli olan dil bilgisi eğitimi yapılır.</li></ul>
İÇERİK	
<b>Geleneksel dil bilgisi</b> <ul style="list-style-type: none"><li>Dil bilgisinin bütün içeriği üzerinde durulur.</li><li>İlkokuldan itibaren bütün konular yoğun biçimde öğretilir.</li><li>Her yıl bir önceki yılın konuları gözden geçirilir.</li><li>Dil bilgisi programı çoğu sınıflarda tekrar eder ve birbirine benzer.</li><li>Dil olayları açıklanarak öğretilir.</li><li>Temel içerik dil bilgisi kuralları ve kelimedir.</li></ul>	<b>Yeni dil bilgisi</b> <ul style="list-style-type: none"><li>Günlük dildeki dil bilgisi olayları üzerinde durulur.</li><li>Dil ve zihinsel beceriler için gerekli olanlar öğretilir.</li><li>Az kullanılan dil olayları basit düzeyde verilerek işlek ve kullanışlı dil bilgisi öğretilir.</li><li>İlk okuldan itibaren dil bilgisi içeriği aşamalı ve dengeli olarak verilir.</li><li>Dil olayları açıklama, süreç ve koşul bilgileri ile birlikte öğretilir.</li><li>Temel içerik cümle ve metindir.</li></ul>
TERİMLER	
<b>Geleneksel dil bilgisi</b> <ul style="list-style-type: none"><li>Dil bilgisi alanındaki terimlerin çoğu öğretilir( 140 ile 700 arasında terim).</li><li>Üst düzey dil geliştirir. Daha ince ve ayrıntılı isimler öğrenmeyi gerektirir.</li></ul>	<b>Yeni dil bilgisi</b> <ul style="list-style-type: none"><li>Bütün dil bilgisi terimlerini kullanmak yerine 20 kadar terim yeterli görülür.</li><li>Dil bilgisi terimlerinin çoğu azaltılır, dil bilgisi eğitimin etkili olması öne çıkarılır.</li></ul>

ETKİNLİKLER	
<b>Geleneksel dil bilgisi</b> <ul style="list-style-type: none"><li>Alıştırmalar daha çok yapısal dil bilgisi anlayışı ile çözümlenebilir.</li><li>Dil bilgisi kuralları peş peşe sırayla öğretilir.</li></ul>	<b>Yeni dil bilgisi</b> <ul style="list-style-type: none"><li>Etkinlikler 5 işlem üzerinde yapılandırılır (toplama, çıkarma birleştirme, ekleme değiştirme).</li><li>Öğrenci düzeyine uygun sözlü ve yazılı etkinlikler kullanılır.</li></ul>
YÖNTEM	
<b>Geleneksel dil bilgisi</b> <ul style="list-style-type: none"><li>Dil bilgisi öğretiminde, kural veya tanımlama, gözlem ve uygulama örnekleri yapma sırası izlenir.</li><li>Bu yöntemin özellikleri:<ul style="list-style-type: none"><li>✓ Tümdengelim,</li><li>✓ Soyuttan somuta,</li><li>✓ Kuraldan uygulamaya,</li><li>✓ Genelden özele,</li><li>✓ Keşfetme süreci yoktur.</li></ul></li></ul>	<b>Yeni dil bilgisi</b> <ul style="list-style-type: none"><li>Dil bilgisi öğretiminde, gözlem yapma, keşfetme (muğlaklıktan açıklığa), kural veya genelleştirme (açıklama), alıştırmaya yapma, uygulamaya aktarma sırası izlenir.</li><li>Bu yöntemin özellikleri:<ul style="list-style-type: none"><li>✓ Tümevarım,</li><li>✓ Somuttan soyuta,</li><li>✓ Değişimden kurala,</li><li>✓ Özelden genele ve</li><li>✓ Keşfetmeye dayalıdır.</li></ul></li></ul>

Kaynak: Güneş, 2013, Dilbilgisi Öğretiminde Yeni Yaklaşımlar, S. 77,78

## 2.4. Dilbilgisi Öğretimi Yaklaşımları

Öğretim yaklaşımları ve yöntemlerine dair çeşitli kaynaklarda daha detaylı bilgiler vardır. Ancak burada sadece dilbilgisi veriliş biçimleri/öğretim yaklaşımları ele alınmıştır. Dilbilgisi Öğretim Yaklaşımları; Geleneksel Yaklaşımlar, Davranışçı Yaklaşım, Bilişsel Yaklaşım (kendi içerisinde İletişimsel ve Kavramsal-İşlevsel Yaklaşımlar olarak ayrılır) ve Yapılandırıcı Yaklaşım olarak çeşitlere ayrılmaktadır.

### 2.4.1. Geleneksel Yaklaşımlar

Adından da anlaşıldığı üzere, dilbilgisi öğretiminde kullanılan en eski yaklaşımlar, geleneksel olanlardır. Bu yaklaşımları, Dilbilgisi Yaklaşımı ve Kelime Yaklaşımı olarak ikiye ayırabiliriz. Dilbilgisi Yaklaşımı dışındaki yaklaşımlara ve yöntemlere ait açıklamalara farklı kaynaklardan da detaylı olarak ulaşılabilir.

### 2.4.2. Dilbilgisi Yaklaşımı

Bu yaklaşımda, dil kurallardan oluşmaktadır ve dilin kurallarını öğrenen kişinin dili iyi kullandığı düşünülmektedir. Dil öğretiminde öncelik dilbilgisi öğretimine verilmektedir. Dilbilgisi konuları belirli bir sıra içinde aşamalı olarak öğretilir. Öğretim sürecinde dilin temel kuralları, kavramları, kelime ve cümle yapıları üzerinde önemle durulur. Dil kuralları öğrencilere ezberletilir. Karışık ve zor dilbilgisi kurallarının ayrıntılarına kadar inilir. Ders kitapları dilbilgisi ağırlıklıdır. Kitaplarda ders ve bölümlerin adı bile dilbilgisi konularıyla oluşturulur. Örneğin isimler, özel isimler, filler, zamirler gibi (Puren,2004). Orta çağdan günümüze kadar gelen bu yaklaşım Fransa, Almanya, İtalya, İngiltere, İspanya gibi ülkelerde 1950'li yıllara kadar uygulanmıştır. Önceleri Latince, Yunanca ve Arapçanın öğretiminde, daha sonraları diğer dillerin öğretiminde kullanılmıştır. Ülkemizde de ilk, orta ve yükseköğretimde uzun yıllar uygulanmıştır.

### 2.4.3. Dilbilgisi Öğretim Modelleri

Dilbilgisi Öğretim Modelleri, genel olarak Tümdengelim Modeli ve Tümevarım Modeli olarak ikiye ayrılmaktadır.

### 2.4.4. Dilbilgisi Öğretim Yöntemleri

Dilbilgisi, dil öğrenmenin önemli bir aşamasıdır. Yabancı dil öğretiminde, dil bilimcilerin de araştırmaları ile çeşitli öğretim yöntemleri ortaya konmuştur. Zamanla, uygulanmakta olan bu yöntemlerin olumlu ve olumsuz yönleri göz önüne alınarak, daha yeni yöntemler geliştirilmiştir.

Dilbilgisi-Çeviri Yöntemi, yabancı dil öğretim yöntemlerinin en eskisidir ve uzun yıllar boyunca, bu yöntemle dil öğretilmeye çalışılmıştır. Bu yöntemin amacı dilbilgisi kuralları ve çeviri yoluyla öğrencilere okumayı, yabancı dildeki metinleri çevirmeyi, ardından dinleme ve konuşmayı öğretmektir. Dilbilgisi öğretiminde önce kural sunuluyor, açıklanıyor ve ardından cümle içinde gösteriliyordu. Öğrencilere verilen cümleler genellikle dilbilgisi kurallarını öğretmek için kurulmuş kalıp cümlelerdi. Bunlar metinden kopuk verildi. Dil öğretimi çalışmaları ezber, taklit ve tekrar yoluyla gerçekleştirildiğinden öğrenciler sıkılmakta ve dersler tek düze yürütülmekteydi (Puren, 2004; Rodríguez Seara, 2004). Daha sonra dil bilimcilerin yaptıkları incelemeler ve öne sürülen fikirlerle dilbilgisi öğretim yöntemleri değişikliğe uğramıştır. Dilbilgisi-çeviri yöntemi dışındaki diğer bazı yöntemlerin isimleri şöyledir:

Doğrudan Öğretim Yöntemi

Aktif Yöntem

İşitsel-Sözel (Dinle-Konuş) Yöntem

Geleneksel Yöntem

Sezdirme Yöntemi

Sezdirme yöntemi, yapılandırıcı yaklaşım ve yeni dilbilgisiyle birlikte uygulanan sezdirme yöntemi, dilin soyut kurallarını ezberleme değil, öğrencinin dil ve zihinsel becerileri geliştirmeyi amaçlamaktadır. Bu nedenle öğrencilerde dili sorgulama, dille ilgili düşünme ve araştırma yapma mantığını oluşturmaya çalışmaktadır. Öğrenci dil hakkında bilinçli olmalı ve dili etkin kullanmalıdır (Güneş, 2013).

Sezdirme yönteminin ilk aşamasında öğrencilere gerekli açıklamalar yapılır. Ardından dil olayı gözlenir, gerekli bilgiler toplanır. Gözlemlerden kurallar oluşturulur, sınıflama yapılır, alıştırmalarla zihinde yapılandırılır ve uygulamaya aktarılır. Bu yöntem tümevarım yöntemiyle birlikte uygulanır. Bu yöntemin en temel özellikleri, somuttan soyuta, özelden genele olmasıdır (Belard, vd., 2008).

### 3.ARAŞTIRMA YÖNTEMİ

Bu çalışma araştırmanın modeli, veri toplama teknikleri ve verilerin analizine yöntemleri belirlendikten sonra başlatılmıştır.

#### 3.1. Araştırmanın Modeli

Araştırma nitel olarak tasarlanmıştır. Araştırmada “*Schritte International Neu A1.1*” ve “*Deutsch für Gymnasien A1.1*” ders kitaplarındaki dilbilgisi etkinliklerinin kıyaslanması amaçlandığı için nitel araştırma yöntemlerinden doküman incelemesi yöntemi/doküman analizi kullanılmıştır. Yıldırım ve Şimşek’e (2011) göre doküman analizi araştırılacak olgu ya da olgularla ilgili bilgiler içeren yazılı kaynakların incelenmesidir. Nitel araştırmalarda doküman analizi tek başına kullanılabileceği gibi başka yöntemleri desteklemek amacıyla da kullanılabilir. Bu çalışmada kitap incelemesi yapılacağından doküman analizi dışında başka bir nitel araştırma yöntemine yer verilmemiştir.

#### 3.2. İnceleme Nesnelere

Araştırmada incelenen ders kitaplarının seçiminde ölçüt örneklem kullanılmıştır. Bu örnekleme yönteminde önceden belirlenmiş bir dizi ölçütü karşılayan bütün durumlar çalışılmaktadır (Yıldırım ve Şimşek 2011). “*Örneğin, bir okula yirmi günden fazla devam etmeyen öğrencilerin belirlenmesi, bir bina yapım projesi veya bir tedavi programının tamamlanması için tahmin edilen sürenin aşılması durumunun araştırılması ölçüt örneklemedir.*” (Bkz. Baltacı, 2018: 254).

Araştırmamızda ders kitaplarının, Almanca’yı ikinci yabancı dil olarak öğrenen öğrenciler için hazırlanmış olması, güncel olması ve temel düzey olması ölçütleri dikkate alınmıştır. Bu doğrultuda, “*Schritte International Neu A1.1*” ve “*Deutsch für Gymnasien A1.1*” ders kitaplarındaki tüm dilbilgisi etkinlikleri incelenmiştir. Her iki öğretim seti de A1.1 seviyesine göre hazırlanmıştır. “*Schritte International Neu A1.1*” serisinde ders kitabı ve çalışma kitabı bir kitapta toplanmışken, “*Deutsch für Gymnasien A1.1*” serisinde ise ders kitabı ve çalışma kitabı ayrı ciltler olarak hazırlanmıştır.

### 3.3. Verilerin Toplanması

Araştırmanın verileri “*Schritte International Neu A1.1*” ve “*Deutsch für Gymnasien A1.1*” ders kitaplarındaki dilbilgisi etkinlikleri taranarak toplanmıştır.

### 3.4. Veri Analizi

Bu çalışmada her ikisi de yabancı dil olarak Almanca’yı öğreten iki ders kitabı analiz edilmiştir. Veriler nitel araştırma yöntemiyle, kitaptaki tüm dilbilgisi etkinlikleri taranarak yapılmıştır. Verilerin analizinde Bailey’in (1982) bahsettiği dört aşama göz önünde bulundurulmuştur. “Analize konu olan veriden örneklem seçme”, “kategorilerin geliştirilmesi”, “analiz biriminin saptanması” ve “sayısallaştırma.”

### 3.5. Araştırmanın Geçerliliği ve Güvenirliliği

Araştırmanın geçerliliğini ve güvenirliliğini artırmak için ders kitaplarının incelenmesinde ve verilerin analizinde uzman görüşü alınmıştır.

## 4. BULGULAR VE YORUMLAR

Çalışmanın bu bölümünde araştırmaya konu olan iki adet Almanca ders kitabı<sup>2</sup> incelenmiş olup, araştırmanın alt amaçları doğrultusunda elde edilen bulgular tablolar halinde sunulmuş ve yorumlanmıştır.

### 4.1. “Deutsch für Gymnasien Schüler- Arbeitsbuch A1.1” ve “Schritte International Neu A1.1” Ders Kitaplarında Dilbilgisi Konularına İlişkin Bulgular

Bu bölümde çalışmada incelenen ders kitaplarında dilbilgisi etkinliklerinin hangi konuları kapsadığı araştırılmış ve veriler tablolara sunulmuştur (Bkz. Tablo 1 ve 2). “*Deutsch für Gymnasien A1.1*” ders kitabında dilbilgisi konuları 7 tematik konu başlığı ile ilintili verilmiştir. İlgili dilbilgisi başlığı altındaki tüm etkinlikler dilbilgisi etkinliği olarak kabul edilerek toplanmıştır. Bunlara ek olarak ders kitabı bölümündeki etkinlikler de taranmış ve dilbilgisi konuları ile ilgili olanları dilbilgisi etkinliklerine eklenmiştir.

“*Schritte International A1.1*” ders kitabında sadece dinleme etkinlikleri cd işaretiyle belirlenmiştir. Diğer becerilere ait bir sınıflandırma yapılmamıştır. Etkinliklerin hangi beceriye ait olduğunu tespit etmek için bu ders kitaplarını okutmuş olan üç okutmanın görüşüne başvurulmuştur ve etkinlik başlıklarındaki “yazınız, anlatınız, tartışınız, konuşunuz, dinleyiniz, doldurunuz, tamamlayınız” gibi anahtar kelimelere ve etkinlik içeriğine bakılarak sınıflandırma yapılmıştır. “*Deutsch für Gymnasien A1.1*” ders kitabında ise etkinlikler birbirinden farklı işaretlerle verilmiş olduğundan ayırt etmek daha kolay olmuştur.

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<sup>2</sup> Ders kitabı, Genç’e (2002, s. 74) göre genel ve özel hedeflerin somutlaştırılarak sunulduğu, malzemenin bu hedeflere uygun olarak seçildiği, düzenlendiği, sınıf içindeki öğretim sürecini, yöntemi, dersin aşamalarını, çalışma biçimlerini, öğrenci ve öğretmen etkileşimini belirleyen; araç gereç seçimini ve kullanımını düzenleyen, sınıf içi etkinliklerin saptanmasına, düzenlenmesine; hedeflere erişilip erişilmediğinin kontrolüne ve ölçülmesine yardımcı olan öğretim malzemesidir.

Dersin en önemli materyallerinden birisi olması sebebiyle, iyi hazırlanmış bir ders kitabı ile dil öğretimi çok daha nitelikli bir hale dönüşebilmektedir. Yabancı dil ders kitaplarının hazırlanmasında dil bilgisi öğretim yaklaşımları, modelleri ve yöntemleri belirleyici olduğundan, burada konuya dair bazı bilgilere yer verilecektir.

Geçmişten günümüze kadar yayımlanan yabancı dil ders kitapları incelendiğinde ilk çıkan ders kitaplarının hep dil bilgisi odaklı olduğu görülür. Zaman içerisinde birçok değişikliğe gidilmiş ve kitaplarda dinleme ve konuşma becerilerinin kazandırılması için girişimlerde bulunulmuştur (Schönfellner, 2013).

Yabancı dil öğretimi için yazılmış eski kitaplardaki etkinlikler çoğu zaman dilbilgisi öğretimini amaçlamaktadır. Doğru yazabilmek, konuşabilmek ve okuduğunu, duyduğunu doğru anlamak için de dilbilgisi kurallarına hakim olmak gerekmektedir. Ders kitaplarında çoğunlukla dil öğretiminde iletişim yetisini geliştirmeyi temel amaç olarak gören iletişimsel yöntem kullanılmaktadır (Tosun, 2006).

Yabancı dil ders kitapları, metin, alıştırma, dilbilgisi, sözcük gibi öğretme ve öğrenme için gerekli malzemeleri iki kapak arasında bulunduran, öğretim yöntemi kesin çizgilerle belirlenmiş basılı yayınlardır (Neuner, 2007).

Tablo 1: “Deutsch für Gymnasien A1.1” Kitabındaki Dilbilgisi Konuları

Ünite No:	Ünite Adı	“Deutsch für Gymnasien A1.1” Kitabındaki Dilbilgisi Konusu
1	Kişisel bilgiler (Informationen zur Person)	<ul style="list-style-type: none"><li>• Şahıs zamirleri (Personalpronomen)</li><li>• Düzenli fiiller (Regelmäßige Verben)</li><li>• Düzensiz Fiil (Unregelmäßiges Verb)</li><li>• Özel Fiil (Besonderes Verb)</li><li>• İfade cümlesi (Aussagesatz)</li><li>• Soru cümlesi (Fragesatz)</li><li>• “Nicht” ile yapılan olumsuzlama (Verneinung mit “nicht”)</li><li>• Soru zamiri (Fragepronomen)</li><li>• Bağlaç: ve (Konjunktion: und)</li></ul>
2	Okul (die Schule)	<ul style="list-style-type: none"><li>• Tanımlık (Artikel)</li><li>• Belirli Tanımlık (Definiter Artikel)</li><li>• Belirsiz Tanımlık (Indefiniter Artikel)</li><li>• Olumsuz Tanımlık (Negativartikel)</li><li>• İyelik belirten Tanımlık: tekil (Possessivartikel: singular)</li><li>• İfade cümlesi (Aussagesatz)</li><li>• Soru cümlesi (Fragesatz)</li><li>• Olumsuzlama (Negationen)</li><li>• Öze Fiil: sahip olmak (Besonderes Verb: haben)</li><li>• Tarz fiil: sevmek (Modalverb: mögen)</li><li>• Edat: de/da (Präposition: am)</li><li>• Emir kipi: Tekil ve Çoğul biçimi (Imperativ nur im Singular und Plural)</li></ul>
3	Toplum (die Gesellschaft)	<ul style="list-style-type: none"><li>• Sahip olmak+ Belirsiz Tanımlıkla ismin ‘i’-halinde (Haben + Akkusativ mit dem unbestimmten Artikel)</li><li>• Olumsuz Tanımlığın ismin ‘i’-halinde olması (Negativartikel im Akkusativ)</li><li>• İyelik belirten Tanımlık: çoğul (Possessivartikel: Plural)</li><li>• İsmın „-s“ ile yapılan ilgi hali (Genitiv: „-s“)</li><li>• Düzensiz Fiil (Unregelmäßiges Verb)</li><li>• Sıfatlar (Adjektive)</li></ul>
4	Günlük yaşam (tägliches Leben)	<ul style="list-style-type: none"><li>• Düzensiz Fiiller: yemek, yatmak, sürmek, okumak, görmek, yürümek (Unregelmäßige Verben: essen, schlafen, fahren, lesen, sehen, laufen)</li><li>• Zorunluluk ifade eden Tarz Fiil (Modalverben: müssen)</li><li>• Özel Fiil: istemek (Spezielles Verb: möchten)</li><li>• Ayrılabilir Fiiller: uyanmak, kalkmak, giyinmek, televizyon izlemek, aramak, başlamak, (birisiyle) beraber gitmek, alışveriş yapmak (Trennbare Verben: aufwachen, aufstehen, anziehen, fernsehen, anrufen, anfangen, mitkommen, einkaufen)</li><li>• Edatlar: saat ve günlerle kullanılan de/da, ile, -siz (Präpositionen: um, am, mit, ohne)</li><li>• W- Soruları: nereye? (W – Frage: Wohin?)</li><li>• Zaman bildiren ifadeler: sabahları, öğlenleri, cumartesileri (Temporalangaben: morgens, mittags, samstags)</li><li>• Bağlaç: veya (Konjunktion: oder)</li></ul>
5	Yeme ve içme (Essen und Trinken)	<ul style="list-style-type: none"><li>• Tarz Fiil: sevmek (Modalverb: mögen)</li><li>• Soru zamiri: ne kadar? (Fragepronomen: Wie viel?)</li><li>• Bağlaç: fakat (Konjunktion: aber)</li></ul>

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6	Özel Günler (Besondere Tage)	<ul style="list-style-type: none"><li>• Düzensiz Fiil: sürmek, yürümek (Unregelmäßige Verben: fahren, laufen)</li><li>• Tarz Fiil: istemek (Modalverb: wollen)</li><li>• Zaman bildiren ifadeler: den/dan ... 'e kadar, içinde (Temporalangaben: von ... bis, in)</li><li>• Sıra sayıları (Ordinalzahlen)</li></ul>
7	Boş zaman aktiviteleri (Freizeitaktivitäten)	<ul style="list-style-type: none"><li>• Tarz Fiil: bir şeyi yapabilmek (Modalverb: können)</li><li>• Zaman zarfları: her zaman, genelde, sık sık, ara sıra, nadiren, hiç (Zeitadverbien: immer, meistens, oft, manchmal, selten, nie)</li></ul>

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Kaynak: Zabun, Akay, 2018, S. 91.

Tablo 2: "Schritte International neu A1.1" Kitabındaki Dilbilgisi Konuları

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Ünite No:	Ünite Adı	"Schritte International neu A1.1" Kitabındaki Dilbilgisi Konusu
1	İyi günler. Benim adım ... (Guten Tag. Mein Name ist...)	<ul style="list-style-type: none"><li>• İfade cümlesi: Ben Lara'yım (Aussage: Ich bin Lara)</li><li>• W- Sorusu: Adınız ne? (W-Frage: Wie heißen Sie?)</li><li>• Şahıs zamirleri: ben, sen, siz (Personalpronomen: Ich, du, Sie)</li><li>• Fiil çekimi: adında olmak, gelmek, konuşmak, olmak (Verbkonjugation: heißen, kommen, sprechen, sein)</li><li>• Edat: den/dan (Präposition: aus)</li></ul>
2	Benim ailem (Meine Familie )	<ul style="list-style-type: none"><li>• İyelik Tanımlığı: benim, senin, sizin (Possessivartikel: mein/meine, dein/ deine, ihr/ Ihre)</li><li>• Şahıs zamirleri: o (erkek/ bayan), biz, siz, onlar (Personalpronomen: er/sie, wir, ihr, sie)</li><li>• Fiil çekimi: yaşamak, adında olmak, konuşmak, sahip olmak, olmak (Verbkonjugation: leben, heißen, sprechen, haben, sein)</li><li>• Edat: içinde (Präposition: in)</li></ul>
3	Yeme ve İçme (Essen und Trinken)	<ul style="list-style-type: none"><li>• Belirsiz Tanımlık (indefinititer Artikel)</li><li>• Olumsuz Tanımlık: değil (Negativartikel: kein, keine)</li><li>• Çoğul: Domatesler, yumurtalar (Plural: Tomaten, Eier)</li><li>• Evet/ Hayır -Sorusu: Yumurtanız var mı? (Ja-/ Nein-Frage: Haben Sie Eier?)</li><li>• Tanımlığın olmadığı durumlar: Şekerimiz var mı? (Nullartikel: Haben wir Zucker?)</li><li>• Fiil çekimi: yemek (Verbkonjugation: essen)</li></ul>
4	Benim Dairem (Meine Wohnung)	<ul style="list-style-type: none"><li>• Belirli Tanımlık: der, die, das (definitiver Artikel : der, das, die)</li><li>• Yer ve mekân bildiren zarflar: burada, orada (lokale Adverbien: hier, dort)</li><li>• Yükleme ait sıfat: Oda pahalı. (prädikatives Adjektiv: Das Zimmer ist teuer.)</li><li>• Şahıs zamirleri: o (erkek/ bayan/ nötr arlıklar için) (Personalpronomen: er, es, sie)</li><li>• Olumsuzlama: değil/ yok (Negation: nicht)</li><li>• İsim türetme: İsim: dolap → Buzdolabı (Wortbildung Nomen: der Schrank → der Kühlschrank)</li></ul>

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5	Benim Günüm (Mein Tag)	<ul style="list-style-type: none"><li>• Cümle içerisinde Ayrılabilir Fiil: Lara erken kalkar. (trennbare Verben im Satz: Lara steht früh auf)</li><li>• Fiil Çekimi: televizyon izlemek, çalışmak, başlamak, yatmak (Verbkonjugation: fernsehen, arbeiten, anfangen, schlafen)</li><li>• Edat: saat ve günlerle kullanılan de/da, den/dan ... 'e kadar (Präpositionen: am, um, von...bis)</li><li>• Cümle içerisinde fiilin yeri: Robert öğlen vaktinde spor yapıyor. (Verbposition im Satz: Robert macht am Nachmittag Sport)</li></ul>
6	Boş vakit (Freizeit)	<ul style="list-style-type: none"><li>• İsmi i- Hali: salatayı, çayı, meyve suyu değil (Akkusativ: den Salat, einen Tee, keinen Saft)</li><li>• Evet/Hayır- Sorusu ve cevabı: evet, hayır, elbette (Ja-/ Nein-Frage und Antwort: ja, nein, doch)</li><li>• Fiil Çekimi: almak, okumak, buluşmak, sürmek, 'istemek' (Verbkonjugation: nehmen, lesen, treffen, fahren, "möchten")</li></ul>
7	Ömür boyu Öğrenme (Lernen-ein Leben lang)	<ul style="list-style-type: none"><li>• Tarz fiil: bir şeyi yapabilmek, istemek (Modalverb: können, wollen)</li><li>• Cümle Satzklammer: O iyi şarkı söyleyemiyor (Er kann nicht gut singen.)</li><li>• Sahip olmak fiili ile Geçmiş zaman: Walter kahvaltı yaptı. (Perfekt mit haben: Walter hat gefrühstückt)</li><li>• Olmak Fiili ile Geçmiş zaman: Ben Şehir merkezine gittim. (Perfekt mit sein: Ich bin in die Stadt gegangen.)</li><li>• Cümle içerisinde Geçmiş Zaman: Sen hiç 100 km bisiklet kullandın mı? (Perfekt im Satz: Bist du schon mal 100 km Fahrrad gefahren?)</li></ul>

Kaynak: Niebisch, Daniela.,vd., 2016. S. 1

Şekil 3: "Deutsch Für Gymnasien A1.1" Alıştırma Kitabında Dilbilgisi Konularının Verilişine İlişkin Örnek

## Grammatik im Überblick

### 1 Themenkreis: Informationen zur Person

#### Personalpronomen

ich ..... 1. Person Singular  
du ..... 2. Person Singular  
er/sie/es ..... 3. Person Singular

wir ..... 1. Person Plural  
ihr ..... 2. Person Plural  
sie/Sie ..... 3. Person Plural

#### Regelmäßige Verben

	heißen	kommen	wohnen	
ich	heiße	komme	wohne	-e
du	heißt	kommst	wohnst	-st
er/sie/es	heißt	kommt	wohnt	-t
wir	heißen	kommen	wohnen	-en
ihr	heißt	kommt	wohnt	-t
sie/Sie	heißen	kommen	wohnen	-en

#### Unregelmäßiges Verb

sprechen
spreche
sprichst
spricht
sprechen
sprecht
sprechen

#### Besonderes Verb

sein
bin
bist
ist
sind
seid
sind

#### Aussagesatz

I. Position II. Position

Ich	heiße	Uwe.
Er	kommt	aus Deutschland.
Sie	wohnt	in Berlin.
Ich	spreche	Deutsch.
Du	bist	vierzehn Jahre alt.

#### Fragesatz

I. Position II. Position

Heißt	er	Uwe?
Kommt	er	aus Deutschland?
Wohnt	sie	in Berlin?
Spricht	er	Deutsch?
Bist	du	vierzehn Jahre alt?

Kaynak: Zabun, Akay, 2018. S. 91.



Şekil 4: “Schritte International Neu A1.1” Alıştırma Kitabındaki (Arbeitsbuch) Dilbilgisi Konularının Verilişine İlişkin Örnek

**Grammatikübersicht**

**Nomen**

**Singular und Plural** Lektion 3

Singular	Plural
• ein Apfel	• Äpfel
• ein Kuchen	• Kuchen
• ein Brot	• Brote
• ein Ei	• Eier
• eine Banane	• Bananen
• eine Kiwi	• Kiwis

UG 1.02

**Artikelwörter und Pronomen**

**Possessivartikel: mein/e, dein/e, ihr/e** Lektion 2

maskulin	neutral	feminin	Plural
• mein Bruder	• mein Kind	• meine Tochter	• meine Kinder
• dein Bruder	• dein Kind	• deine Tochter	• deine Kinder
• ihr Bruder	• ihr Kind	• ihre Tochter	• ihre Kinder

UG 2.04

Kaynak: Niebisch, Daniela.,vd., 2016, S. 1.

## 5.SONUÇ VE ÖNERİLER

Bu bölümde tartışmalara, araştırmada yapılan analizler neticesinde elde edilen sonuçlara ve önerilere yer verilmektedir. Öncelikle “Schritte International Neu A1.1” ders kitabında diğer becerilere kıyasla dilbilgisi etkinliklerine ne kadar ve nasıl yer verilmiştir?, “Deutsch Für Gymnasien A1.1” ders kitabında diğer becerilere kıyasla dilbilgisi etkinliklerine ne kadar ve nasıl yer verilmiştir?, “Schritte International Neu A1.1” ve “Deutsch Für Gymnasien A1.1” ders kitaplarında dilbilgisi konularının verilişinde ana dil Türkçe, birinci yabancı dil İngilizce ve ikinci yabancı dil Almanca arasında karşılaştırma yapılmış mı?, Dillerin benzer yönleri daha hızlı ve etkin bir öğrenme ve öğretme süreci için kullanılmış mı? ve Yanılığara yol açabilecek ve yanlış transfer yapılmasına yol açacak konulara dikkat çekilmiş mi? sorularına cevap aranmıştır.

Çalışmamızın inceleme nesnesini dil öğretiminde hayati rol oynayan ders kitapları oluşturmuştur. Ülkemizde Almanca öğretiminde kullanılan güncel ders kitaplarından “Schritte International Neu” ve “Deutsch für Gymnasien” ders kitaplarının A1.1 seviyelerinin karşılaştırıldığı bu çalışmada özellikle dilbilgisi konuları kapsamındaki etkinliklere odaklanılmıştır. Her iki kitapta da dilbilgisi konularının karşılaştırmalı bir yaklaşım ile verilmediği ve dilbilgisi konularının iki kitapta oldukça farklı bir biçimde sunulduğu gözlemlenmiştir.

Bu çalışmada yapılan ders kitabı incelemesi sonucunda, “Schritte International Neu A1.1” ders kitabında dilbilgisi konularının açık bir biçimde verildiği, ünite sonuna doğru Almanca olarak *Grammatik und Kommunikation* başlığını taşıyan bölümlerde (sayfa: 18, 30, 42, 54, 66, 78 ve 90) ve kitabın en sonunda Almanca olarak *Grammatikübersicht* başlığını taşıyan bölümlerde (sayfa: 1, 2, 3 ve 4 ) dilbilgisi konularına dair özet tablolara yer verildiği görülmüştür. Konuların şekiller yardımıyla açıklandığı saptanmıştır. Öğretmen kitabına bakıldığında, öğretmenin bir soru sorulduğunda açıklama yapabilmesi için öğretmene ipuçları verilmiştir. Çalışma kitabında ise yeni verilen kelimelerin Türkçe veya İngilizceyle karşılaştırıldığı, öğrencilerin sözcükleri kendi dillerinde karşılığını yazacakları bir boş alan bırakıldığı, yeni kelime öğretiminde diller arasında karşılaştırmalı etkinliklere yer verildiği, ancak dilbilgisi konularının sunulduğunda karşılaştırmalı bir yaklaşıma yer verilmediği görülmektedir (Bkz. Şekil 3). Yine “Schritte International Neu A1.1” kitabının ders kitabı cildinde (Almanca: Kursbuch) her ünitenin sonunda öğrenme hedefleri belirtilmiştir. Bu kısımda beceriler özel olarak dinleme, okuma vs. gibi belirtilmemişse de söyleyebiliyorum, yazabiliyorum vs. gibi Almancada “*Kannbeschreibung*” olarak karşılık bulan öğrencilerin neleri yapabildiklerini ifade ettikleri kazanımlara yer verilmiştir. Öğrenci bu şekilde kendini değerlendirme şansı bulmaktadır. Neyi bilip bilmediğini veya neyi yapıp yapamadığını öz değerlendirme yaparak saptama imkanına sahiptir. Bunun yanı sıra, kısa bir tekrar olması amacıyla, öğrenciden konu ile ilgili belirli sayıda kelime yazması istenmiştir. Ayrıca dilbilgisi konuları ders kitabında sayfaların yan kısımlarında mavi renkli kutucuklar içerisinde verilmiştir. Önemli olan yapılar (örneğin çekim ekleri, soru zamirleri, belirteçler vs.) kırmızı ile yazılmıştır. Etkinlik olarak dilbilgisi alıştırmalarında hem cümleler, hem de tablolara yer verilmiştir. Aynı uygulama çalışma kitabında da bulunmaktadır. Yine çalışma kitabında da ünite sonlarında kelime bilgisi ve dilbilgisini ölçen bir test yer almaktadır.

“*Deutsch für Gymnasien A1.1*” ders kitabı ve alıştırmaya kitaplarında ise dilbilgisinin açık değil örtük bir biçimde verildiği görülmüştür. Ders kitabı ve alıştırmaya kitabında bununla ilgili hiç bir açıklama yoktur. Ancak ders kitabının ve alıştırmaya kitabının en sonunda dilbilgisi konularına dair tablolar verilmiştir (Bkz. Şekil 2).

Öğretmen kitabına bakıldığında ise, öğretmenin bir soru sorulduğunda açıklama yapması için öğretmene yeterince açık ipuçları verilmediği görülmüştür. Karşılaştırmalı dilbilgisi açısından bakıldığında, verilen dilbilgisi kurallarının ve örnek cümlelerin Türkçe veya İngilizceyle karşılaştırılmadığı (Bkz. Şekil 4) görülmektedir. Dolayısıyla karşılaştırmalı bir dilbilgisi verilmiş yönteminden söz edilememektedir. Ancak kitabın birinci ünitesinin son kısmında hem ders hem de çalışma kitabında uluslararası olan kelimeler alfabetik sıralamaya uygun verilmiştir. Fakat burada bir karşılaştırma söz konusu değildir. Dolayısıyla bu kelimelerin neden verildiği açık değildir. Öğrenci sadece böyle kelimelerin varlığından haberdar olabilir (Bkz. ‘*Deutsch für Gymnasien A1.1* Çalışma kitabı sayfa: 32). Yine çalışma kitabında öğrencinin dinleme, konuşma, okuma, yazma becerileri ile ilgili hangi yeterliğe ulaştığını görebilmesi için kendi kendini değerlendirebileceği bir bölüme yer verilmiştir. Ancak öğrenilenlerin tekrarlarının yapılabileceği etkinliklere yer verilmemiştir.

Her iki kitapta da öğrenme hedefleri arasında dilbilgisi öğretimine değinilmediği görülmüştür. Bunun yanı sıra her iki kitapta dilbilgisi konularının yer aldığı tablolarda kurallara yer verilmemiş, çok sayıda görsel unsur ile belli yerlere dikkat çekilmiş, kuralların dil öğrenenler tarafından sezilerek keşfedilmesi hedeflenmiştir. Tüme varım modeli benimsenmiştir (Bkz. Şekil 3 ve 4). Sonuç olarak “*Schritte International Neu A1.1*” ve “*Deutsch Für Gymnasien A1.1*” ders kitaplarında dilbilgisi konularının verilişinde ana dil Türkçe, birinci yabancı dil İngilizce ve ikinci yabancı dil Almanca arasında karşılaştırma yapılmadığı ve Avrupa Dil Politikası ışığında geliştirilen çokdillilik eğitim anlayışına dayalı dillerin birbiriyle ilintili öğretilmesi ve daha önce öğrenilen diller ile ilgili bilgilerden ve dil öğrenme deneyimlerinden faydalanılarak daha hızlı ve etkin bir yabancı dil öğretiminin ve öğreniminin gerçekleştirilebileceği sonucuna varılmıştır. Her iki kitapta dillerin benzer yönlerine yer verilmediği gibi yanlışlara yol açabilecek ve yanlış transfer yapılmasına yol açacak konulara da dikkat çekilmemiştir.

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## Electronic Money in the European Union and Turkey

Rasim Yılmaz<sup>1</sup>

<sup>1</sup> Tekirdağ Namık Kemal University, Faculty of Economics and Administrative Sciences, Department of Economics, rasimyilmaz@nku.edu.tr ORCID: 0000-0002-1084-8705

**Abstract:** With the technological development, concepts like digital money, electronic money and cryptocurrency have emerged in the monetary economics literature. Digital money consists of both electronic money and cryptocurrency. Electronic money refers to electrically stored means of payment issued against fiat currency. Electronic money is different from cryptocurrency in many aspects. Although both are in digital format, electronic money is issued against fiat currency of a central authority while cryptocurrencies are not backed by fiat currencies.

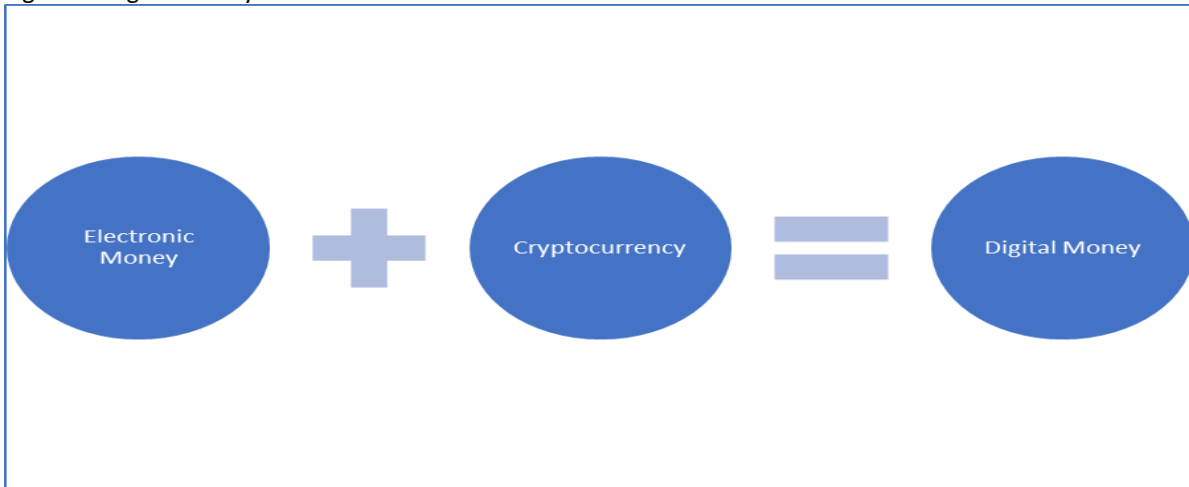
Electronic money (e-money) issuance in the European Union is regulated by Directive 2009/110/EC of the European Parliament and Council came into force in 16 September 2009. Credit institutions, as well as other financial and non-financial institutions, may issue e-money by authorization in the EU. For the first time, concepts of “payment institution” and “electronic money institution” entered the Turkish legislation system in 2013 with the Law No. 6493 on Payment and Securities Settlement Systems, Payment Services and Electronic Money Institutions. This article analyzes regulations on the concept of electronic money in the European Union and Turkey.

**Keywords:** Digital Money, Electronic Money, E-money, Electronic Money Institution

### 1. INTRODUCTION

With the technological development, concepts like digital money, electronic money and cryptocurrency have emerged in the monetary economics literature. Digital money (or digital currency) refers to any means of payment that exists in a purely electronic form (Grant, 2021). Digital money consists of both electronic money and cryptocurrency (see Figure 1).

Figure 1: Digital Money



Electronic money (e-money) refers to electrically stored means of payment issued against fiat currency. Transactions which are carried out by plastic cards, mobile phones and the internet involves e-money. Electronic money is different from cryptocurrency in many aspects. Although both are in digital format, electronic money is issued against fiat currency of a central authority while cryptocurrencies are not backed by fiat currencies. User is identified in the case of electronic money while user may remain anonymous in the case of cryptocurrencies. Transactions occur peer-to-peer in the case of cryptocurrencies whereas transactions must be processed through a financial institution in the case of electronic money. Transactions go through a central processing bank called a clearinghouse in the case of electronic money while transactions occur peer-to-peer and must be processed by computers on the network in the case of cryptocurrencies (Bloomental, 2020).

The advantages of using electronic money for the customer can be counted as (TÖDEP, 2022):

- 1) Benefit from financial services quickly and at low costs
- 2) Providing convenience and security in payment transactions

- 3) Ability to develop new products and services with flexible business models
- 4) Increasing the quality and diversity of financial services offered
- 5) Providing customer-oriented service
- 6) Increased customer satisfaction
- 7) innovative approach

The contributions of electronic money activity to the financial system and economy can be counted as (TÖDEP, 2022):

- 1) Spread of competition
- 2) Increasing the efficiency and productivity of the financial system
- 3) Widespread use of technology in the financial system
- 4) Increasing the diversity of financial instruments
- 5) Contributing to the fight against the informal economy
- 6) Reaching people who do not have access to the financial system
- 7) The spread and development of e-commerce
- 8) Increasing savings indirectly

In the electronic payments market, Banks, Payment Institutions and Electronic Money Institutions are Payment Service Providers. All of them can involve in digitalization in their provision of payment services. However, only banks and electronic payment institutions are allowed to carry out electronic money facilities.

With the surge in the use of electronic money and involvement of growing number of institutions in electronic payment services regulations started to come into force all over the countries in the world. These regulations have brought many benefits for financial consumers. Regulations enhance competition and security in the market. Hence consumers face more and better choices of different types of payment services and service providers. Regulations also have brought benefits to firms in the market since regulations stimulate confidence and trust of financial consumers (European Commission, 2018).

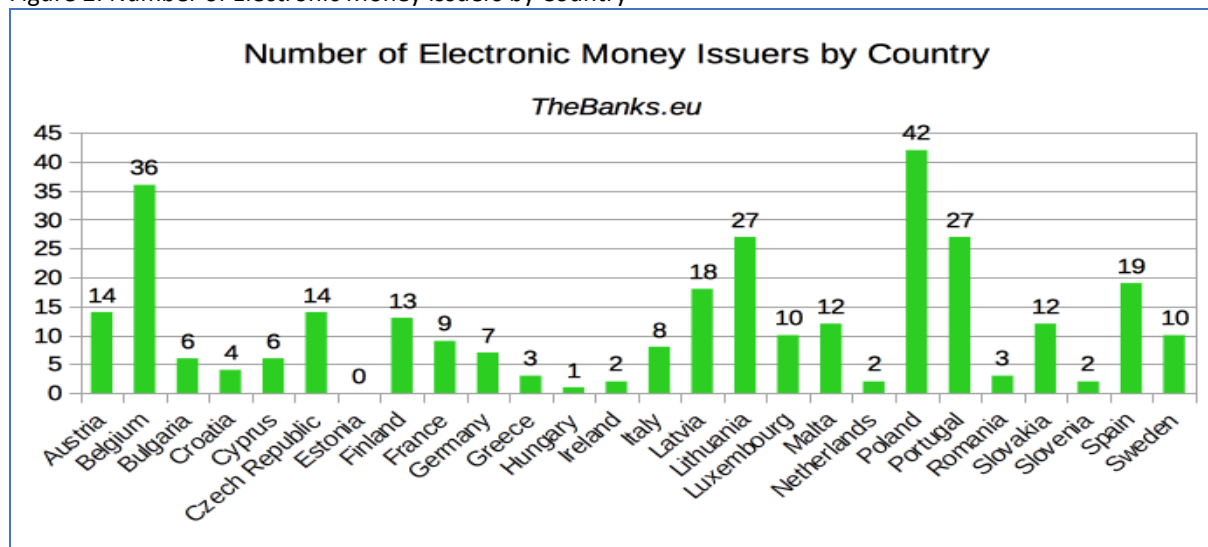
## **2. ELECTRONIC MONEY IN THE EU**

Payment Services in the European Union is regulated by Payment Service Directives. The first Payment Services Directive (PSD1) was adopted in 2007 to provide the legal foundation for an EU single market for payments and to establish safer and more innovative payment services across the EU. The revised version of PSD1 came into force on 9 June 2015, which is known as PSD2 (European Commission, 2018).

Electronic money (e-money) issuance in the European Union is regulated by Directive 2009/110/EC of the European Parliament and Council came into force in 16 September 2009. Credit institutions, as well as other financial and non-financial institutions, may issue e-money by authorization in the EU. Article 2(1) of the Directive defines an “electronic money institution” as a legal person that has been granted authorization to issue e-money while Article 2(2) of the Directive defines “electronic money” as “electronically, including magnetically, stored monetary value as represented by a claim on the issuer which is issued on receipt of funds for the purpose of making payment transactions [...], and which is accepted by a natural or legal person other than the electronic money issuer”. According to the European Union’s Payment Service Directives, Payment Service Providers must be registered as either Payment Institutions or Electronic Money Institutions (ECB, 2022).

The number of electronic money institutions has increased significantly in the EU. With 42 electronic money institution, Poland has the highest number of electronic money institution in the EU. Poland is followed by Belgium with 36 institutions (see Figure 2).

Figure 2: Number of Electronic Money Issuers by Country



Source: <https://thebanks.eu/articles/electronic-money-institutions-in-Europe>

In parallel to surge in the number of electronic money institutions, electronic money volume in the EU has also increased significantly. Euro-denominated electronic money in circulation in the euro area more than tripled between 2014 and 2020. It increased from 5.5 billion Euro in 2014 to 17,6 billion Euro in 2020 (see Table 1).

Table 1: Euro-denominated Electronic Money in Circulation in the Euro Area (EUR, billions)

Year	Billions Euro
2014	5.5
2015	6.6
2016	7.9
2017	8.9
2018	9.9
2019	13.9
2020	17.6

Source: [https://www.ecb.europa.eu/stats/money\\_credit\\_banking/electronic\\_money](https://www.ecb.europa.eu/stats/money_credit_banking/electronic_money)

### 3. ELECTRONIC MONEY IN TURKEY

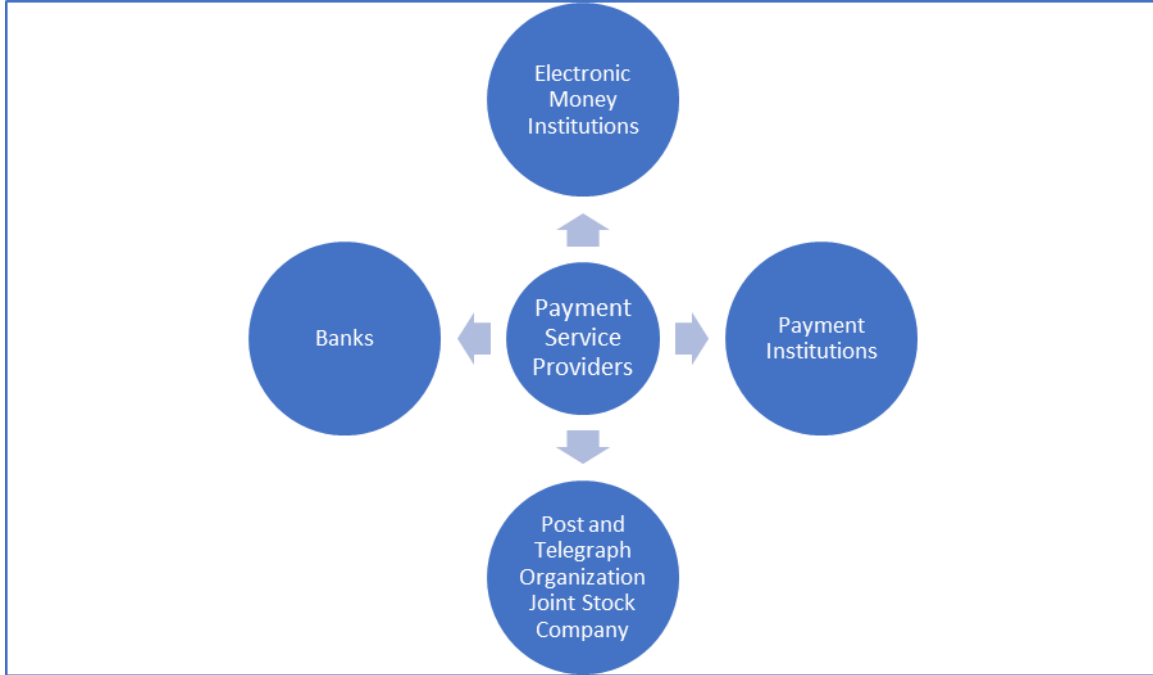
For the first time, concepts of “payment institution” and “electronic money institution” entered the Turkish legislation system in 2013 with the Law No. 6493 on Payment and Securities Settlement Systems, Payment Services and Electronic Money Institutions. Some amendments are made on this law with the Law No. 7192 in 2019.

In Turkey, electronic payments and electronic payment institutions was under the control of both the Banking Regulation and Supervision Board and the Central Bank of Republic of Turkey until 01 January 2020. As of January 1, 2020, the CBRT has been designated as the only authority responsible for the regulation and supervision of payment services and payment service providers and electronic money issuance activities in Turkey to guarantee the uninterrupted operation of payment systems. This is considered to be an important move for both price stability and financial stability in the current state of technological developments (CBRT, 2022).

The law defines electronic money as the monetary value which is issued against funds accepted by the electronic money issuer, stored electronically, used to perform payment transactions defined in the Law and accepted as a means of payment by real and legal persons other than the issuing institution (Resmi Gazete, 2013). Hence there are four issues related to the electronic money: stored electronically, accepted as a means of payment, issued against funds, used in payment transactions.

Banks within the scope of the Banking Law No. 5411, payment institutions, electronic money institutions and Post and Telegraph Organization Joint Stock Company are the payment service providers that can operate in Turkey under the Law No. 6493 (see Figure 3).

Figure 3: Payment Service Providers in Turkey



The law differentiates between electronic money institutions and payment institutions. Both of which should obtain permission from the CBRT. While electronic money institutions are authorized to issue electronic money, payment institutions aren't authorized to issue electronic money.

An electronic money institution is the legal person authorized to issue electronic money within the scope of the Law. The electronic money issuer issues electronic money as much as the funds it receives. The electronic money institution has to transfer the funds which is collected in return for the issuance of electronic money to a separate account to be opened at the banks defined in the Law No. 5411. Funds received by electronic money institutions in exchange for issuing electronic money are not accepted as deposit or participation funds. Electronic money institution can't engage in lending activities. Electronic money issuer, depending on the period of holding the electronic money, can't pay interest to the bearer of electronic money and can't receive any benefit (Resmi Gazete, 2013).

As of March 2022, there are 29 active electronic payment institutions in Turkey (CBRT, 2022).

Ahlatıcı Ödeme ve Elektronik Para Hizmetleri A.Ş.  
Aköde Elektronik Para ve Ödeme Hizmetleri A.Ş.  
BELBİM Elektronik Para ve Ödeme Hizmetleri A.Ş.  
Birleşik Ödeme Hizmetleri ve Elektronik Para A.Ş.  
BPN Ödeme ve Elektronik Para Hizmetleri A.Ş.  
CEMETE Elektronik Para ve Ödeme Hizmetleri A.Ş.  
D Ödeme Elektronik Para ve Ödeme Hizmetleri A.Ş.  
Dgpara Ödeme ve Elektronik Para Kuruluşu A.Ş.  
ERPA Ödeme Hizmetleri ve Elektronik Para A.Ş.  
Fastpay Elektronik Para ve Ödeme Hizmetleri A.Ş.  
Faturamatik Elektronik Para ve Ödeme Kuruluşu A.Ş.  
Hızlıpara Ödeme Hizmetleri ve Elektronik Para A.Ş.  
IQ Money Ödeme Hizmetleri ve Elektronik Para A.Ş.  
İninal Ödeme ve Elektronik Para Hizmetleri A.Ş.  
İyzi Ödeme ve Elektronik Para Hizmetleri A.Ş.

Lydians Elektronik Para ve Ödeme Hizmetleri A.Ş.  
Moka Ödeme ve Elektronik Para Kuruluşu A.Ş.  
Ozan Elektronik Para A.Ş.  
Paladyum Elektronik Para ve Ödeme Hizmetleri A.Ş.  
Papara Elektronik Para A.Ş.  
Paytr Ödeme ve Elektronik Para Kuruluşu A.Ş.  
Sipay Elektronik Para ve Ödeme Hizmetleri A.Ş.  
TT Ödeme ve Elektronik Para Hizmetleri A.Ş.  
TURK Elektronik Para A.Ş.  
Turkcell Ödeme ve Elektronik Para Hizmetleri A.Ş.  
UPT Ödeme Hizmetleri ve Elektronik Para A.Ş.  
Vizyon Elektronik Para ve Ödeme Hizmetleri A.Ş.  
Vodafone Elektronik Para ve Ödeme Hizmetleri A.Ş.  
Wirecard Ödeme ve Elektronik Para Hizmetleri A.Ş.

The law defines a payment institution as the legal entity which is authorized to provide and perform payment services. A payment institution may maintain a payment account only if it is used for payment processing while providing payment services. The payment institution can't engage in lending activity. Funds received by payment and electronic money institutions regarding payment services are not considered as deposit or participation funds or electronic money within the scope of the Law (Resmi Gazete, 2013).










As of March 2022, there are 27 active payment institutions in Turkey (CBRT, 2022).

Aypara Ödeme Kuruluşu A.Ş.  
Ceo Ödeme Kuruluşu A.Ş.  
Efix Ödeme Hizmetleri A.Ş.  
Elekse Elektronik Para ve Ödeme Kuruluşu A.Ş.  
Faturakom Ödeme Hizmetleri A.Ş.  
Föy Fatura Ödeme Kuruluşu A.Ş.  
Global Ödeme Hizmetleri A.Ş.  
GönderAl Ödeme Hizmetleri A.Ş.  
İstanbul Ödeme ve Elektronik Para A.Ş.  
Klon Ödeme Kuruluşu A.Ş.  
MoneyGram Turkey Ödeme Hizmetleri A.Ş.  
N Kolay Ödeme ve Elektronik Para Kuruluşu A.Ş.  
Nestpay Ödeme Hizmetleri A.Ş.  
Octet Express Ödeme Kuruluşu A.Ş.  
Ödeal Ödeme Kuruluşu A.Ş.  
Paragram Ödeme Hizmetleri A.Ş.  
Pay Fix Elektronik Para ve Ödeme Hizmetleri A.Ş.  
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Paytrek Ödeme Kuruluşu Hizmetleri A.Ş.  
Pratik İşlem Ödeme Kuruluşu A.Ş.  
Ria Turkey Ödeme Kuruluşu A.Ş.  
Sender Ödeme Hizmetleri A.Ş.  
Trend Ödeme Kuruluşu A.Ş.  
Tronapay Ödeme Hizmetleri A.Ş.  
Vezne24 Tahsilat Sistemleri ve Ödeme Hizmetleri A.Ş.  
Western Union Turkey Ödeme Hizmetleri A.Ş.

Figure 4 below summarizes the differences among banks, payment institutions and electronic money institutions. Banks in Turkey can perform all payment, credit and electronic money activities. Electronic money institutions can perform all activities except credit facilities while payment institutions can undertake only payment activities.



Figure 4: Differences Among Banks, Electronic Money Institutions and Payment Institutions in Turkey

		Payments	Credit	Electronic Money
Banks				
Electronic Money Institutions	Money			
Payment Institutions				

#### 4. CONCLUSION

With the technological development, concepts like digital money, electronic money and cryptocurrency have emerged in the monetary economics literature. Digital money consists of both electronic money and cryptocurrency. Electronic money refers to electrically stored means of payment issued against fiat currency. Electronic money is different from cryptocurrency in many aspects. Although both are in digital format, electronic money is issued against fiat currency of a central authority while cryptocurrencies are not backed by fiat currencies.

Electronic money (e-money) issuance in the European Union is regulated by Directive 2009/110/EC of the European Parliament and Council came into force in 16 September 2009. Credit institutions, as well as other financial and non-financial institutions, may issue e-money by authorization in the EU. The number of electronic money institutions has increased significantly in the EU. With 42 electronic money institution, Poland has the highest number of electronic money institution in the EU. Poland is followed by Belgium with 36 institutions. In parallel to surge in the number of electronic money institutions, electronic money volume in the EU has also increased significantly. Euro-denominated electronic money in circulation in the euro area more than tripled between 2014 and 2020. It increased from 5.5 billion Euro in 2014 to 17,6 billion Euro in 17.6 in 2020.

For the first time, concepts of “payment institution” and “electronic money institution” entered the Turkish legislation system in 2013 with the Law No. 6493 on Payment and Securities Settlement Systems, Payment Services and Electronic Money Institutions. As of March 2022, there are 29 active electronic payment institutions in Turkey.

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## Digital Banking in Turkey

Rasim Yılmaz<sup>1</sup>

<sup>1</sup> Tekirdağ Namık Kemal University, Faculty of Economics and Administrative Sciences, Department of Economics, rasimyilmaz@nku.edu.tr ORCID: 0000-0002-1084-8705

**Abstract:** Digital banking has gained popularity in Turkey as well as in the world. This article evaluates the potential of digital banking in Turkey. Providing banking services through the digital platform with customers is referred as digital banking in the literature. Depending on their digitalization preferences, banks can operate in a wide range of digitalization. In a fully digital banking, banks can operate just online without branches and digitize all their operations. On the other hand, they can operate in a hybrid way as such they can provide their services with customer through both online and physical branches.

Regulations in Turkey consider “digital banks” as fully digitalized banks without physical branches while online and mobile banking services provided by hybrid banks are called “electronic banking”. The Regulation on the Operating Principles of Digital Banks and Service Model Banking was published in the Official Gazette on 29 December 2021. The regulation defines digital banks as “the credit institution that provides banking services mainly through electronic banking services distribution channels instead of physical branches”.

No fees and commissions, simpler customer experience, and higher interest rates are identified by bank customers as top three reasons for working with a digital bank. Digitalization in the banking sector has led to decrease in the number of bank branches in Turkey. The COVID-19 pandemic has also accelerated banks’ involvement in the digital banking products and services.

**Keywords:** Traditional Banking, Digital Banking, Turkey

### 1. INTRODUCTION

Providing banking services through the digital platform with customers is referred as digital banking. As opposed to traditional banking/brick and mortar banking/banks with branches, bank customers don’t need to physically visit a bank branch to carry out their banking services in the digital banking.

Digitalization process in the banking started with the use of ATMs and telephone banking to take the burden off bank branches in some transactions. It is extended by the use of bank cards and POS machines in shopping transactions. It is further accelerated by online banking and mobile banking. Eventually, it is so developed that it became an end via the emergence of fully digitalized banks without physical branches.

With the use of the internet, the term online/the internet banking emerged first. Online/ the internet banking refers to realize the banking transactions via computers. The first banking institution that offered online banking services is Stanford Federal Credit Union of the USA in 1994 (Napoletano and Foreman, 2021). Later, with the advance of technology and digitalization, the term mobile banking is added into the literature of banking. Mobile banking refers to realize the banking transactions through mobile devices such as smartphones or tablets. Thus, the digital banking includes both online banking and mobile banking.





















Almost all banking transactions can be carried out by digital banking portals whereby bank customers can check their balance and transaction records, obtain bank statements, transfer money between accounts, pay their bills, set up automatic payments for their bills, apply for a loan, apply for a credit card, buy-sell stock exchanges and foreign exchanges, shop online without going to the bank branches.

Depending on their digitalization preferences, banks can operate in a wide range of digitalization (Kayrouz, 2021). In a fully digital banking, banks can operate just online without branches and digitize all their operations. On the other hand, they can operate in a hybrid way as such they can provide their services with customer through both online and physical branches.

Electronic money institutions and payment institutions are also called as “bank” by confusion. CFTE (2020)’s research reveals that only 3 out of the top 10 e-finance institutions are real banks if a bank is described as a financial institution which is licensed to receive deposits and make loans (see Figure 1). Electronic money institutions and payment institutions perform some of the facilities banks offer; however, they are different from banks. Banks can perform all payment, credit and electronic money activities. Electronic money institutions can perform all activities except credit facilities while payment institutions can undertake only payment activities. Financial Conduct Authority of England prohibited electronic money institutions and payment institutions from

using the word “bank” in their financial promotions and communications with the clients in the communication dated 18 May 2021 (PSPLAB, 2020).

Figure 1: Digital Banks in the World

CFTE		Centre for Finance, Technology and Entrepreneurship		Bank	
Rank	Company	Valuation (\$Bn)	Clients (M)	Banking license	Real Bank
	 nu bank	10	22	✓	✗
	 chime	5.8	8	✗	✗
	 Revolut	5.5	12.5	✓	✗
	 SoFi	4.8	1	✗	✗
	 N26	3.5	5	✓	✓
	 OakNorth Bank	2.8	0.14	✓	✓
	 monzo	1.6	4.75	✓	✓
	 upgrade	1	10	✗	✗
	 Dave	1	4	✗	✗
	 uolá	0.99	1.3	✗	✗

Source: <https://blog.cfte.education/only-3-of-the-top-10-challenger-banks-are-real-banks/>

Traditional banks resisting digital transformation experienced a decrease in their market shares. Fully digitalized banks challenge banks with physical branches by offering higher interest rates and lower fees than traditional banks. Traditional banks responded to these developments by introducing their digital services whereby they charge no or low fees for online transactions while charging fees from customers who desire to actualize their transactions in physical bank branches.

COVID-19 pandemic has accelerated banks’ involvement in the digital banking products and services. Especially, the use of contactless cards has exploded during the pandemic since it allows payment without touching a POS machine.

The importance of digital banking has been better understood by COVID-19 pandemic. During the pandemic, bank branches have become dysfunctional. Time to time, they have lost their total accessibility. Even if they are reached, customers must wait hours on the ques to realize their transactions due to safety applications. Under these conditions, digital banking have become more efficient and safer than traditional banking.

## 2. BENEFITS AND DRAWBACKS OF DIGITAL BANKING

Security, downtime and learning curve are identified as drawbacks of digital banking (Napoletano and Foreman, 2021; Tavaga Research, 2021). The most important drawback of digital banking is its security. Digital banking customers should always be on the alert against frauds and hacks. Their username and password could be hacked by various hacking methods such as phishing, pharming, identity theft, and keylogging. For their security precautions, digital banking customers should change their passwords regularly and keep their passwords confidential, avoid using public networks and devices to access digital banking, refrain from sharing their confidential information, use anti-virus protected systems, avoid logging into fake banking web sites.

The second drawback of digital banking is downtime. Since digital banking works through the internet system without physical branches, customers can face trouble if they couldn’t reach the internet. On the other hand, customers can also face trouble if the bank experience problems in its online or mobile banking applications. The last drawback of digital banking is learning curve. Online and mobile banking is considered to be a complex for some group of customers, especially elderly customers. Especially elderly customer and customers who are unfamiliar to information and communication technologies prefer banks with physical branches. Customers prefer human interaction in some ambiguous transactions.

Digital banking is identified to provide the following benefits (Napoletano and Foreman, 2021; Tavaga Research, 2021):

- 1) Digital banking is a convenient and efficient way of realizing banking transactions. In digital banking, bank customers don't have to wait in the lines in the bank branches or force themselves to catch working hours of bank branches. Thus, customers save their time and reduce their transaction costs via using digital banking platforms.
- 2) Digital banking reduces banking fees and increases interest rates on bank deposits. Because digital banking reduces the cost of banks, banks can charge lower or no fees for banking transactions and offer higher interest rates on bank deposits.
- 3) Digital banking is healthier than traditional banking especially in times of epidemics. Customers don't have to stay in crowded environments and touch paper money, records, and pencils etc.
- 4) Digital banking is environmentally friendly since it reduces the use of papers in the banking transactions. Bank customers still have records of their transactions and save them in their computers.
- 5) Digital banking allows bank customers to set up automatic payments.
- 6) Digital banking contributes and supports online shopping.
- 7) Digital banking help especially the poor reach banking products and services. Digital banking reduces the transaction costs of the poor people and thus help eradicating poverty.
- 8) Digital banking allows cashless payments, and thus reduce the risk of counterfeit currency.
- 9) Digital banking restricts the circulation of black money.
- 10) Digital banking lowers the minting demands of a currency.

### **3. DIGITAL BANKING IN TURKEY**

PWC (2021)'s research on digital banking in Turkey puts forth the following points: Between 2016 and 2021, the number of bank branches in Turkey decreased by 2 % from 10,781 to 9,863. Branch use frequency research indicate that about 55% of bank customers state that they are not visiting bank's branches at all. Share of digital lending in general purpose loans increased from 13% in 2017 to 37% in 2020. During the 2017-2020 period, share of mobile loans in digital lending surged from 74% to 93%. Major banks carry out about 70% their transactions via digital banking. No fees and commissions, simpler customer experience, and higher interest rates on deposits are identified as top three reasons for working with a digital bank. Salary being deposited to a different bank is identified as the main reason for not using a digital bank.

Both fully digitalized and hybrid banks operate in Turkey. All major banks provide their customers with online and mobile banking activities. Requirement of wet-ink signature to open an account is removed by the Regulation on Remote Identification Methods to be Used by Banks and Establishment of a Contractual Relationship in the Electronic Environment published in April 2021 (Resmi Gazete, 2021a). This regulation is also accelerated the feasibility of the digital banking.

Regulations in Turkey define "digital banks" as fully digitalized banks without physical branches while online and mobile banking services provided by hybrid banks are called "electronic banking". The Regulation on the Operating Principles of Digital Banks and Service Model Banking was published in the Official Gazette on 29 December 2021. The regulation defines digital banks as "the credit institution that provides banking services mainly through electronic banking services distribution channels instead of physical branches" (Resmi Gazete, 2021b).

In addition to all the legislative provisions that credit institutions are obliged to comply with, digital banks are also obliged to comply with the provisions included in the Regulation. The minimum paid-up capital required for digital banks to obtain an operating license is one billion Turkish Liras, paid in cash.

Digital banks in Turkey should be fully digitalized banks without physical branches. Except the general directorate, service units affiliated to the general directorate, and one physical office handling customer complaints, digital banks in Turkey can't open physical branches under no name. According to the Regulation,

digital banks are required to establish the general directorate and service units affiliated to the general directorate. Also, they must establish at least one physical office to handle customer complaints. They can't open physical branches. They can't be organized under any name such as correspondent, agency, and representation. They can't use service units affiliated to the general directorate as physical branches. They can't provide custody services and custodial transactions except those that will be realized in the digital environment.

According to the regulation, types of digital banks can be participation banks and deposit banks. Digital banks can perform all the activities that credit institutions can perform. Credit customers of digital banks can only consist of financial consumers and SMEs. Besides, digital banks can provide loans to other banks and foreign currency loans to businesses that exceed the SME size. Digital banks can provide services to their customers through their own ATM networks or other ATM networks.

Digital banks announce the committed continuity percentage values for the electronic banking services they offer, on the basis of each distribution channel, in a way that will appear on the home page of their websites. The committed continuity percentage for internet banking and mobile banking distribution channels of digital banks can't be less than 99.8%. It seems that digital banking regulations in Turkey considers security and downtime drawbacks of digital banking.

Digital banks need to submit their business plan and activity plan to the Banking Regulation and Supervision Board. In addition to business plan,

- 1) Digital banks should determine their target customer base (such as students, housewives, youth under the age of eighteen, and SMEs), needs of target customer base, the products and services that they plan to offer to meet these needs, and their marketing strategy to increase financial inclusion.
- 2) They should provide market size and market gap analysis about the market which composes the target customer base. This analysis should be supported by numerical data.
- 3) Digital banks should provide a sustainable business model in order to compete with other players in the selected market. This model should include the pricing policy for the next five years, the estimated number of customers planned to be acquired and the financial projections and forecast financial statements that predict when the investment will reach the breakeven point, and numerical analysis which displays that the assumptions that form the basis for these forecasts are reasonable.

The regulation (Resmi Gazete, 2021b) also defines "service model banking". The bank that provides service model banking services is called a service bank. Service model banking is the service model in which customers can perform banking transactions and open banking services through the interface offered by the interface providers via directly connecting with the systems of service banks.

Service model banking allows banks to share not only their data but also their services with third parties via methods such as API (Application Programming Interface). According to the regulation, banks in Turkey can be a service bank. Interface providers can be financial technology companies that can enable their customers to perform banking transactions through their mobile application or internet browser-based interface. On the other hand, banks can't be interface providers.

Advantages of service model banking can be following (Dirier, 2022)

- Service model banking allows higher integration between banks and fintech companies in Turkey. The interaction and integration of traditional banking with other sectors will increase. Thanks to the service banking model, FinTechs and financial institutions can create their own ecosystems with different licenses and APIs.
- FinTechs will be able to contribute to the finance functions of sectors such as e-commerce, retail and telecommunication by developing interfaces for them.

- With service model banking, banks in Turkey can expand their customer portfolio while interface providers can enhance their customer royalty.
- Customers will benefit from this with the increase in the banking services and competition in the sector. Service model banking will provide consumers with service competition and diversity as a social benefit.
- It will help increase in financial inclusion. Banking services will be more accessible. With digital banking and service model banking, there will be a chance to include certain customer groups, which banks have not been able to reach for various reasons, into the financial system.
- Digital banks and service model banking help the financial system grows faster, decrease the informal economy, and expand the masses that receive financial services.

The service bank can only provide service model banking services to domestically resident interface providers and only within the framework of their own operating permits. With this regulation, interface providers not established in Turkey can't benefit from service model banking even if they operate in Turkey. Fin-tech companies that want to utilize this service must have a company established in Turkey.

Without obtaining the necessary permissions, the interface providers to which the service bank provides services,

- can't use the names of payment service providers such as banks or payment institutions and electronic money institutions in their trade names, all kinds of documents, announcements and advertisements or public statements.
- can't use words and phrases that might give the impression that they are collecting deposit and participation funds like a bank, or that they are collecting funds like a payment service provider.

The service bank decides whether or not to provide banking services to the customer through service model banking through the interface provider's interface, including the loan allocation decision. The banking services to be offered to the customer are carried out on the balance sheet of the service bank.

#### 4. CONCLUSION

Digital banking has gained popularity in Turkey as well as in the world. This article evaluates the potential of digital banking in Turkey. Providing banking services through the digital platform with customers is referred as digital banking in the literature. Depending on their digitalization preferences, banks can operate in a wide range of digitalization. In a fully digital banking, banks can operate just online without branches and digitize all their operations. On the other hand, they can operate in a hybrid way as such they can provide their services with customer through both online and physical branches.

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No fees and commissions, simpler customer experience, and higher interest rates on deposits are identified by bank customers as top three reasons for working with a digital bank. Digitalization in the banking sector has led to decrease in the number of bank branches in Turkey. The COVID-19 pandemic has also accelerated banks' involvement in the digital banking products and services.

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## Turkey's New Economic Model: The Initial Evaluation

Rasim Yılmaz<sup>1</sup>

<sup>1</sup> Tekirdağ Namık Kemal University, Faculty of Economics and Administrative Sciences, Department of Economics, rasimyilmaz@nku.edu.tr ORCID: 0000-0002-1084-8705

**Abstract:** This article evaluates New Economic Model of Turkey. Turkey has followed the standard IMF suggested policy of export led growth with positive real interest rate policy since 1980's. The new economic model of Turkey can be summarized as "export led growth with low interest rate policy". It is envisaged that lowering short-term policy interest rate will reduce inflation as well as raise investment, exports and employment. This article analyzes the theoretical foundations of the new economic model, the response of economic agents to the new economic model and the impact of the new economic model on the Turkish Economy.

**Keywords:** Real Interest Rate Policy, Export Led Growth, New Economic Model, Turkey

### 1. INTRODUCTION

Turkey has followed the standard IMF suggested policy of export led growth with positive real interest rate policy since 1980's. IMF's export led growth hypothesis is accompanied by the positive real interest rate policy suggested by McKinnon (1973) and Shaw (1973) hypotheses. McKinnon and Shaw hypotheses argues that in developing countries, the main source of investments are domestic credits of the banking sector while the main source of banks' credits is domestic savings in the banking sector. Negative real interest rate policy will deter depositors for keeping their savings in the banking system and lead to credit bottlenecks for investments and thus fall in the economic growth rate of the country. Hence, a positive real interest rate policy boosts investments and capital inflows as well as curbs domestic expenditure and inflation. Under these conditions, exports support economic growth of the country and investments are financed by both domestic savings and capital inflows.

In order to guarantee flow of foreign capital inflows, the real interest rate policy is accompanied by the controlled exchange rate policy (pegged/controlled floating currency regime). However, this policy leads to current account deficits, boom-bust cycles, persistent inflation rate, financial instability and financial crises such as 1989, 1994, 2001, and 2008 financial crisis in Turkey (Akçelik et al., 2013; Blanchard et al., 2015).

Turkey's inflation rate has been over 10 per cent since 2017. Turkey's inflationary pressures have been further increased by subsidized loan extensions to domestic firms, boosted health expenditures, unemployment subsidies, and wage raises as a part of efforts fighting against problems brought by the Covid-19 pandemic. Turkey has been also under the pressure of cost-push inflation due to the increase in the cost of imported goods since the start of the optimism about the end of the pandemic in 2021 (see Table 1).

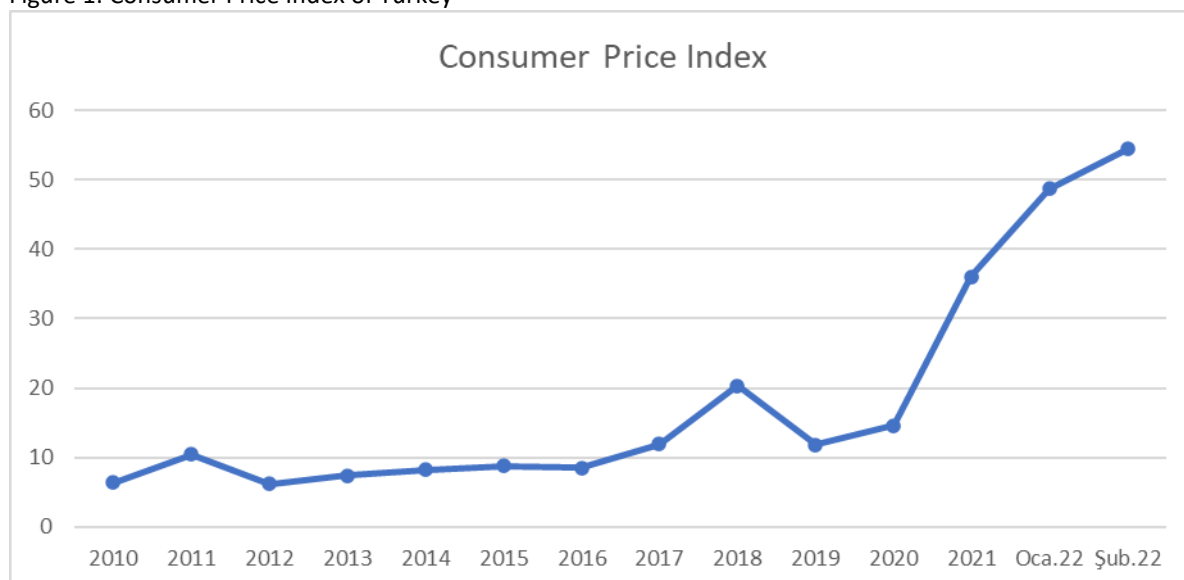
Table 1: Consumer Price Index and Producer Price Index of Turkey

Year	CPI	PPI
2010	6,4	8,87
2011	10,45	13,33
2012	6,16	2,45
2013	7,4	6,97
2014	8,17	6,36
2015	8,81	5,71
2016	8,53	9,94
2017	11,92	15,47
2018	20,30	33,64
2019	11,84	7,36
2020	14,60	25,15
2021	36,08	79,89
01-2022	48,69	93,53
02-2022	54,44	105,01

Source: The Central Bank of the Republic of Turkey, <https://www.tcmb.gov.tr/>



Figure 1: Consumer Price Index of Turkey



In the face of surging inflation rate, standard economic theory argues that interest rates should be increased to control domestic spending and deter capital outflows. Otherwise, it is argued that it leads to depreciation of the currency and inflationary spiral. However, in the face of increasing inflation rate, the Central Bank of Turkey has continued to decrease its short-term policy rate since 2018 rather than increasing it (see Table 2).

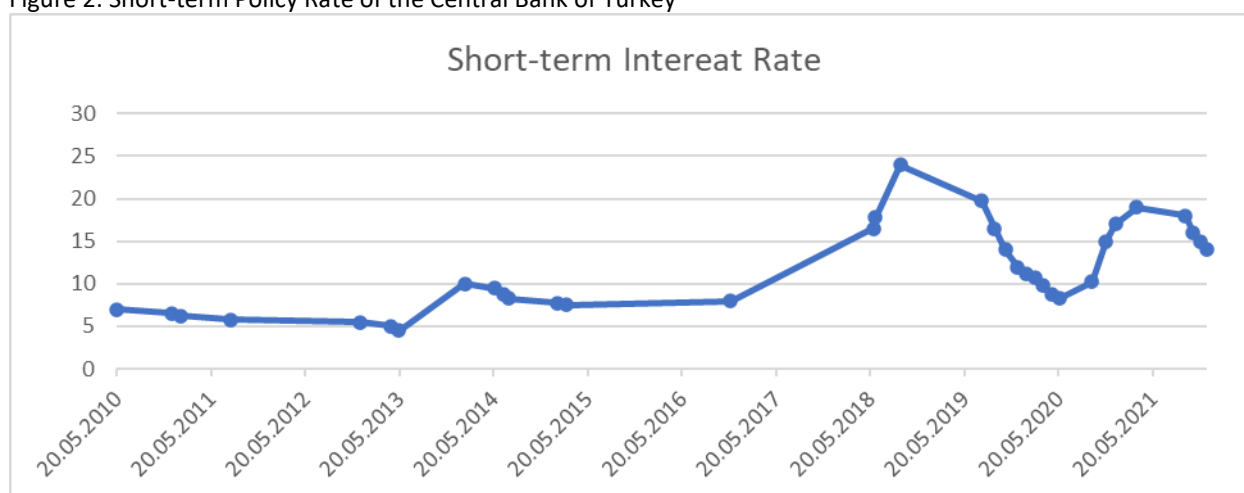
Table 2: Short-term Policy Rate of the Central Bank of Turkey

Date	Short-term Policy Rate
20.05.2010	7
17.12.2010	6,5
21.01.2011	6,25
05.08.2011	5,75
19.12.2012	5,5
17.04.2013	5
17.05.2013	4,5
29.01.2014	10
23.05.2014	9,5
25.06.2014	8,75
18.07.2014	8,25
21.01.2015	7,75
25.02.2015	7,5
25.11.2016	8
01.06.2018	16,5
08.06.2018	17,75
14.09.2018	24
26.07.2019	19,75
13.09.2019	16,5
25.10.2019	14
13.12.2019	12
17.01.2020	11,25
20.02.2020	10,75

18.03.2020	9,75
23.04.2020	8,75
22.05.2020	8,25
25.09.2020	10,25
20.11.2020	15
25.12.2020	17
19.03.2021	19
24.09.2021	18
22.10.2021	16
19.11.2021	15
17.12.2021	14

Source: The Central Bank of the Republic of Turkey, <https://www.tcmb.gov.tr/>

Figure 2: Short-term Policy Rate of the Central Bank of Turkey



The government of Turkey announced that lowering policy rate of the Central Bank of Turkey is a part its new economic model. This article analyzes the theoretical foundations of the new economic model, the response of economic agents to the new economic model and the impact of the new economic model on the Turkish Economy.

## 2. NEW ECONOMIC MODEL OF TURKEY

New economic model of Turkey envisages that lowering interest rate will reduce inflation as well as raise investment, exports and employment (Giles, 2021). This policy can be summarized as “export led growth with low interest rate policy”.

The foresight behind the new economic model is that economic growth depending on hot money is one of the main problems of developing countries; short term capital inflows attracted by high interest rates destabilize the economies of developing countries, they lead to current account deficits and they eventually take away the country's added value. Thus, the new economic model manifests that the growth of the economy shouldn't depend on short-term capital flows. Reflection of this idea is the central bank's policy of lowering short-term policy rate (Hürriyet Newspaper, 2021; Euronews, 2021).

Another foresight behind the new economic model is that Turkey's current account deficit expands as Turkish economy grows; Turkey is in the so-called middle-income trap. Thus, the new economic model manifests that Turkish economy should sustain high economic growth with low current account deficit and escape from middle-income trap. Hence, the new economic model aims at high economic growth with low current account deficit which will be achieved by high tech and high value-added export performance (Hürriyet Newspaper, 2021; Euronews, 2021).

New economic model aims to change not only the level of exports but also structure of the exports. Thus, it supports the efforts such as foreign direct investments through providing incentives, transformation of national production towards high technologies, production bases through large industrial zones, and selective credits to industries producing high tech products, highly competitive industries, and high value-added sectors (Hürriyet Newspaper, 2021; Euronews, 2021).

One of the pillars of new economic model of Turkey is the low interest rate policy/ low short-term policy rate of the central bank. This model depends on a very important assumption of low interest rates will reduce inflation. The suggested mechanism is the following: Decrease in the short-term policy rate will lead to surge in the exchange rate which cause exports to increase and imports to decrease, hence resulting in decrease in current account deficit and increase in domestic production which eventually leads to macroeconomic stability and decrease in the domestic inflation rate (Hürriyet Newspaper, 2021; Euronews, 2021).

What will happen to inflation rate during the transition process is vague in the model. In the transformation process, it is envisaged that the increase in the exchange rate curbs domestic demand which is expected to suppress inflation.

However, whether the increase in the exchange rate will decrease inflation rate is theoretically ambiguous. Low short-term policy rate and high inflation rate essentially means negative real interest rates. At the pace of decreasing and negative real interest rate, exchange rate will increase in an open economy since savers tend to buy foreign currencies to protect themselves against negative real interest rates. Standard economic argument suggests that the increase in the exchange rate will increase inflation rate. Standard economic policy argument suggests that low short-term policy rate results in a higher inflation rate since low short-term policy rate will cause the exchange rate to increase which will lead to a higher inflation rate.

How does this inflation rate will decrease? Is there any monetary policy to curb inflation rate? The answers to these questions in the model are vague. In the transformation process, it is envisaged that the increase in the exchange rate curbs domestic demand which is expected to suppress inflation in the short-run. In the long run, it seems that inflation is expected to fall on its own in the model.

### 3. EXPERIENCE

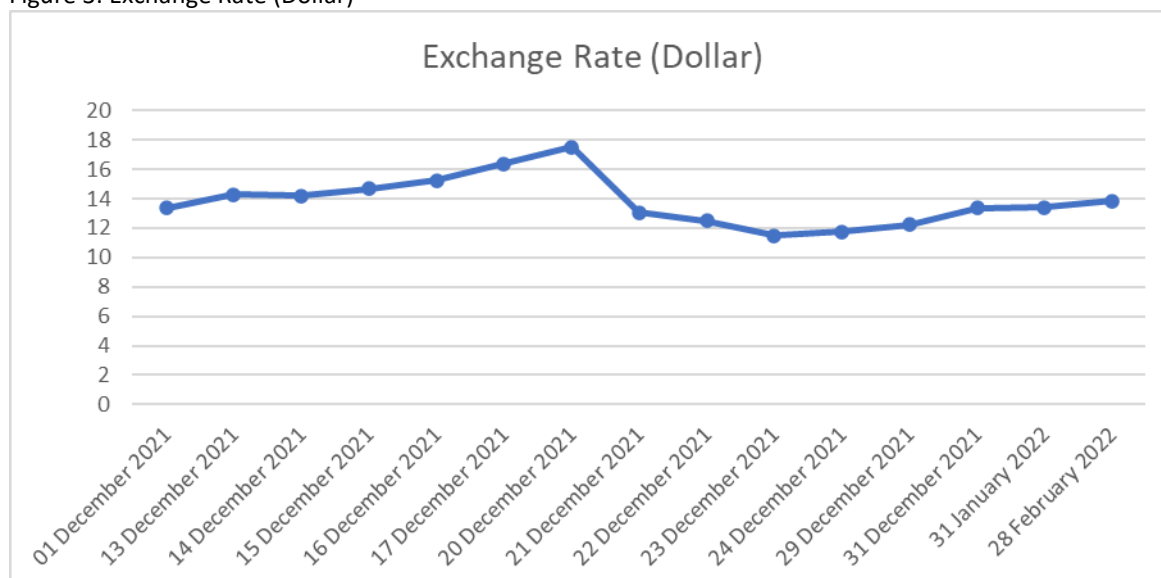
Turkey's lowering interest rates policy in the face of surging inflation initially led to currency depreciation. Although Consumer Price Index and Producer Price Index was 36.8% and 79.8%, respectively in 2011, short-term interest rate of the central bank was decreased from 19% to 14%. This situation resulted in a sharp exchange rate depreciation. During the first 20 days of December 2021, US Dollar to Turkish Lira exchange rate increased from 13.3 TL to 17.5TL (see Table 3).

Table 3: Exchange Rate (Dollar)

	Exchange Rate (Dollar)
01 December 2021	13,3603
13 December 2021	14,2721
14 December 2021	14,2000
15 December 2021	14,6613
16 December 2021	15,2392
17 December 2021	16,3652
20 December 2021	17,5046
21 December 2021	13,0461
22 December 2021	12,4760
23 December 2021	11,4714
24 December 2021	11,7489
29 December 2021	12,2439
31 December 2021	13,3530
31 January 2022	13,4257
28 February 2022	13,8535

Source: The Central Bank of the Republic of Turkey, <https://www.tcmb.gov.tr/>

Figure 3: Exchange Rate (Dollar)



In order to stop currency depreciation further, Turkey introduced FX-protected Turkish lira deposits and gold-protected Turkish lira deposits on 20 December 2021.

Upon the implementation of FX-protected Turkish Lira deposits, FX-protected deposits increased 2.5 times in one month and foreign currency deposit amount decreased by 25 billion dollar between 22 December 2021 and 28 February 2022 from 261,6 billion dollar to 236,5 billion dollar (see Table 4 and Table 5). Moreover, US Dollar to Turkish Lira exchange rate fell from 17.5TL in 20 December 2021 to 11.7TL in 24 December 2021.

Table 4: FX-Protected Turkish Lira Deposits

	Billion TL
24 December	29
31 December	78
06 January	102
25 January	203
04 February	300
18 February	469
25 February	520

Source: Özdabakoğlu (2022)

Table 5: Foreign Currency Deposit Amount

	22 December	28 February
	Billion Dollar	Billion Dollar
Foreign Currency Deposit Amount	261,6	236,5
Companies	97,9	77,5
Individuals	163,7	159,0

Source: Özdabakoğlu (2022)

It seems that Turkey's FX-protected Turkish Lira Deposits have stopped exchange rate overshooting due to negative real interest rates and provide time to implement the new economic model.

One of the controversial issues in the new economic model of Turkey is the negative real interest rate policy. In the face of increasing inflation rate, reducing the central bank's policy rate indicates negative real interest rate for the savers. However, negative interest rate policy can be implemented temporarily. Negative interest rate policy cannot be continued infinitely; otherwise, savers will change their saving instruments. As such, they will replace their saving accounts in the banking system with other instruments such as real estate, stock exchange,...etc.

#### 4. CONCLUSION

This article evaluates New Economic Model of Turkey. Turkey has followed the standard IMF suggested policy of export led growth with positive real interest rate policy since 1980's. The new economic model of Turkey can be summarized as "export led growth with low interest rate policy". It is envisaged that lowering short-term policy interest rate will reduce inflation as well as raise investment, exports and employment.

In the face of increasing inflation rate, the Central Bank of Turkey has continued to decrease its short-term policy rate since 2018 rather than increasing it. Turkey's lowering interest rate policy in the face of surging inflation initially leads to currency depreciation. In order to stop currency depreciation further, Turkey introduced FX-protected Turkish lira deposits and gold-protected Turkish lira deposits. It seems that Turkey's FX-protected Turkish Lira Deposits have stopped exchange rate overshooting and provide time to implement the new economic model.

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## Influencer Pazarlama Kavramının Sosyal Medya Açısından Değerlendirilmesi

Dr.Öğr.Üyesi Hasan Selçuk ETİ<sup>1</sup>

<sup>1</sup>Tekirdağ Namık Kemal Üniversitesi / İktisadi İdari Bilimler Fakültesi İşletme Bölümü hseti@nku.edu.tr,  
ORCID:0000-0002-3792-697X

**Özet:** Son dönemlerde, gelişen teknoloji ile birlikte yaşanan gelişmeler sonucunda; pazarlama kavramı çerçevesinde yeni yöntemler çıkmaktadır. Teknolojinin gelişmesi sonucunda geleneksel pazarlama yöntemleri hedef kitlelere ulaşmada ve kitlelere yönelik pazarlama faaliyetlerinin yürütülmesinde etkisiz kalmaya başlamaktadır. Dijital pazarlama yöntemlerinin ortaya çıkardığı rekabet piyasasında, geleneksel pazarlama yöntemlerini benimseyen firmaların piyasa şartlarında rekabet etmesi çok zorlu bir süreç haline gelmektedir. Bu gelişmeler sonucunda firmalar ve bireyler geleneksel pazarlama yöntemleri yerine, dijital pazarlama kapsamı içinde olan influencer pazarlama kavramını uygulamaya başlamaktadır. Influencer pazarlama kavramı etkili kullanıldığında özellikle genç tüketici kitleye ulaşmada ve firmaların rakiplerine üstünlük sağlamasına olanak yaratmaktadır. Bu çalışma kapsamında öncelikle geleneksel pazarlamadan, dijital pazarlamaya geçiş süreci ele alınacaktır. Sonrasında dijital pazarlama kavramı ve sosyal medya ilişkisi ortaya konulacaktır. Bu kapsamda sosyal medya pazarlama araçları açısından influencer kavramının önemi ifade edilecektir.

**Anahtar Kelimeler:** Dijital Pazarlama, Sosyal Medya, Influencer

**Abstract:** In recent times, as a result of the developments with developing technology, new methods have emerged within the framework of the concept of marketing. As a result of the development of technology, traditional marketing methods are starting to become ineffective in reaching target audiences and conducting marketing activities for the masses. In the competitive market created by digital marketing methods, it becomes a complicated process for companies that adopt traditional marketing methods to compete in market conditions. As a result of these developments, companies and individuals are starting to apply the concept of influencer marketing, which is within the scope of digital marketing, instead of traditional marketing methods. When the idea of influencer marketing is used effectively, companies gain an advantage over their competitors, especially in reaching young consumer audiences. Within the scope of this study, first of all, the transition process from traditional marketing to digital marketing will be discussed. Afterward, the concept of digital marketing and the relationship between social media will be revealed. In this context, the importance of the concept of influencers in terms of social media marketing tools will be expressed.

**Key Words:** Digital Marketing, Social Media, Influencer

### 1. GİRİŞ

Sosyal medya ve internet herkesin her veriye erişebileceği, herkesin aktif bir influencer olabileceği bir dünya yaratmıştır. Sosyal medyada günümüzde her birey kendini dilediği gibi ifade edebilmekte, fotoğraf paylaşabilmekte ve videolar ile kişisel tanıtımını yapabilmektedir.

1980 yılında başlayıp 1990'ların sonuna kadar sözel pazarlamanın etkili olması ile ürünlerin arkadaş, aile, yakın çevre vb. yollar ile önerilmesi önem kazanmıştır. Teknolojik yenilikler ve getirileri ile birlikte insanlar fikirlerini, resim ve fotoğraflarını dünya ile paylaşmasıyla, herkesin mikro influencer olmaya başladığı bir döneme girilmiştir. 2010 yılında ise pazarlamacılar, sosyal mecralarda yüksek tepki gücüne sahip bu hesapları ve hesaplardaki orijinal diyalogları tespit etmeye başlamıştır (Brown, Fiorella, 2017, s.37).

The Word Pro 2017 infografiklerine sonuçları bakılırsa; dünyanın farklı noktalarında 1 dakikada 300 saat Youtube videosu paylaşılmakta ve 7 milyon Snapchat videosu görüntülenmektedir. Google firmasının çeviri programı Google Translate içerisinde 70 milyon sözcük tercüme edilmekte ve Uber' de 694 kişi yolculuk yapmaktadır. Günlük yaşamımızın bir rutini haline gelen sosyal medya eylemlerinin nicel çıktılarını görmek oldukça ilginçtir (<http://www.pazarlamasyon.com>,2017).

Günümüz dünyasında müşteriler her ne kadar reklam ve markaları takip ediyor ve bunlardan etkileniyor olsa da gün sonunda tecrübe satın almak istemektedirler. Yapılan son araştırma sonuçlarına göre büyük kaynaklı televizyon reklamları, dergi, gazete, afiş ve billboard reklamları satın alma tutumuna sosyal medya reklamları kadar etki etmemektedir. Müşteri; reklamda izlediklerinden nazaran tecrübe satın almak istemektedirler (<http://www.pazarlamasyon.com>,2017).

Sosyal medyada kendi tecrübelerini paylaşarak çok sayıda takipçi sayısına ulaşan kullanıcılar, pazarlamanın yenedünyasında influencer olarak tanımlanır(Saltık Yaman, 2018, s.1). Bu kullanıcılar ise pazarlama işi ile uğraşan

kişilerin gözünde her gün değer kazanmaktadır. Paylaştıkları içerikler ile takipçilerini duygusallık ve tecrübeleriyle yakalayan influencer'ların başarılı olabilmelerinin arkasındaki en büyük etkenlerden biri samimiyettir.

Bu çalışmada son dönem pazarlamacıların üzerinde durduğu sosyal medyada influencer pazarlamasının neden bu kadar popüler olduğunun nedenleri işlenmiştir.

## 2. GELENEKSEL PAZARLAMADAN DİJİTAL PAZARLAMAYA GEÇİŞ

Pazarlama terimi İngiltere Pazarlama Enstitüsünün (CIM) yaptığı tanıma göre “ Müşterinin gereksinimlerini yeterli ve karlı bir biçimde belirleyen, öngören ve tatmin eden bir yönetim süreci” (Brassington, Pettitt, 1997, s.5) olarak verilmektedir. Amerikan Pazarlama Derneğinin (AMA) tanımına göre pazarlama kavramı “Örgütlerin, tüketicilere, paydaşlara ve halka değer katan hizmet ve ürünlerin takas yolunu sağlayabilmek amacıyla gerçekleştirdiği süreçler kümesi” olarak vurgulanmıştır (<https://www.ama.org>). Pazarlama hizmet ve ürünlerin üreten kişiden tüketiciye geçişinin doğru bir yolla gerçekleştirilmesini sağlayan bir işletme etkinliği olarak değerlendirilmektedir (Taşkın, 1987, s.6). Pazarlama terimi artık günümüzde geniş bir alanda elimizde bulunan hizmet ve ürünlerin belirli faaliyetler sonucu tanıtma ve satışının yapılma sürecidir.

Pazarlama “ kısa süreli bir satış faaliyeti olmaktan çok, uzun süreli bir yatırım çabasıdır. Pazarlamanın iyi yapıldığı zamanlarda, şirket ve şirketlerin herhangi bir ürün ve hizmeti üretmesinden veya pazara girmesinden önce faaliyete geçer ve satıştan sonra da bu faaliyet bütünü devam eder” şeklinde ifade etmektedir (Kotler, 2018). Bu ifadelerden yola çıkarak pazarlamanın hizmet ve ürünler ile ilgili fikirlerin belirlenmesinden üretimine, tanıtımına, satış hizmeti ve satış sonrası hizmetlere olan geniş bir yelpaze olarak ifade edilebilir.

Kaynaklara göre, pazarlamanın tarihsel sürecinin dört aşamadan geçerek günümüzde ki haline geldiği düşünülmektedir. Bu aşamalar;

- Üretim aşaması
- Ürün aşaması
- Satış aşaması
- Modern pazarlama anlayışı

### 2.1. Üretim Aşaması

İlk aşama üretim amaçlı gerçekleşmiştir. Bu aşamanın 1930' a kadar geldiği düşünülmekte ve bu aşamada asıl amacın üretim olduğu tüketicinin ikinci planda kaldığı görülmektedir. Bu aşamada maliyet ve dağıtımın düşürülmesine odaklanılmıştır. İşletmeler yönetimlerini daha çok üretim ve finans alanına yöneltmişlerdir.

### 2.2. Ürün Aşaması

Bu aşamada tüketici ve halk en kaliteli yüksek detaylı veya yenilikler içeren ürünü tercih etmeye başlamıştır. Ürün aşamasında firmalar için üstün, kalite ürün üretmek ve üretmiş olduğu ürünleri geliştirmek önemlidir. Bu aşamada da üreticiler tüketicilerin istedikleri ve fayda görecekleri ürünleri üretmek yerine kendi tasarladıkları ve tüketicilerin alacağını düşündükleri ürünleri satmaya odaklanmıştır.

### 2.3. Satış Aşaması

1930'lu yılların sonuna geldiğimizde firmalar üretimden çok satış kaygısı yaşamaya başlamıştır. Bu aşama klasik pazarlama anlayışı olarak da bilinmektedir. Firmalar daha çok satışları arttırarak bu satışlardan daha fazla kar elde etme fikrini benimsemişlerdir. Bu dönemde tüketen toplumun ve bu toplumdaki bireylerin bilgi ve fikirleri yetersiz düzeyde, pazarlık yetenekleri zayıf kalmaktadır. Bu dönemde işletmelerde satış bölümleri öne çıkmaktadır.

### 2.4. Modern Pazarlama Anlayışı

1950'li yılların ortalarına gelindiğinde modern pazarlama anlayışı ortaya çıkmıştır. Modern pazarlama anlayışının ortaya çıkışının zeminini ikinci dünya savaşının sonrasındaki gelişmeler ortaya çıkarmıştır. Tüketici taleplerindeki artış üreticiler için ortam oluşturmuştur ve talep ortaya çıkmıştır. Modern pazarlama anlayışında üreticiler ve

işlemeler diğer yıllara nazaran tüketicilerin taleplerini değerlendirmeye almıştır. Üretilen ürünün satışı yapılmaktansa tüketicilerin istek ve arzularının tespit edilip bu ürün ve hizmetlerin üretimi ve bunların satışı yapılmaya çalışılmıştır. Üreticilerin ürettikleri hizmet ve ürünler için tüketicileri saptaması yerine, üreticiler müşterileri için doğru ve uygun ürün ve hizmetleri bulmaya çalışmışlardır. Üreticiler buldukları pazarda tüketiciler için daha fazla değer görüp ön plana çıkmaya odaklanmışlardır.

Bu gelişmeler ile birlikte rekabet yoğunlaşmış ve daha çok tüketici değeri ve tüketici arzuları üzerine pazarlama çalışmaları hızlanmıştır. 1990'lı yıllara geldiğimizde ise internet teknolojileri hız kazanmış ve yaygınlaşmaya başlamıştır. 20. yüzyılın en büyük ve önemli gelişmelerinden biri olan internet dünyayı el ile tutulabilir bir duruma getirmiş ve tüketen toplum bu küçülen dünya ile birlikte tüketim faaliyetlerini hızlandırmıştır. Büyük bir devrim olarak görülen internetin gelişip yaygınlaşması ile birlikte pazarlama kavramı ve pazarlama dünyasında da devrim başlamıştır. Bu gelişmeler ışığı ile birlikte geleneksel pazarlama kavramı da işletmeler için geçersiz bir yöntem olarak kalmış ve işletmeler bu teknolojik dünya da pazarlama faaliyetlerine öncelik vermek durumunda kalmıştır. Geleneksel pazarlama anlayışı çerçevesinde yapılan pazarlama faaliyetleri gelişen teknoloji ile birlikte sanal dünyaya taşınmış ve taşınan bu pazarlama faaliyetleri daha geniş bir hedef kitleye ulaşımının kapılarını açmıştır.

### 3. DİJİTAL PAZARLAMA

#### 3.1. Dijital Pazarlama Kavramı

Yaşanan teknolojik gelişmeler ile birlikte pazarlama kavramı gelişen ve yaygınlaşan internet ile birlikte dijital ortama da girmiştir. Dijital pazarlama geleneksel yöntemlerden farklı olarak üretilen ürün ve hizmetin tanıtım ve gelişimini yaparak ürünün pazarlama faaliyetlerine destek ve yardımcı olmak amacı ile internet, mobil cihazlar ve bunların yanında farklı platformlar kullanılarak yapılan pazarlama çalışmalarını kapsamaktadır. Bunların arasından en önemli olanı ise internetin ucuz ve hızlı bir şekilde büyük çoğunluklara ulaşılabilecek bir ortam sağlaması ve pazarlama çalışmalarını tamamı ile değiştirmesidir (Chaffey, 2013, s.102).

Dijital faktörlerin kullanılması ile gerçekleştirilen ve pazarlama faaliyetlerinin dijital ortamda gerçekleştirilmesini sağlayan pazarlama çalışmaları olarak tanımlanabilecek dijital pazarlama, geleneksel pazarlama çalışmalarının dijital ortamlarda yapılabilmesine olarak tanınması ile birlikte geleneksel pazarlama çalışmalarına oranla çok daha büyük bir avantaja sahiptir (Dholakia, Bagozzi, 2001, s.168).

Dijital platformların sunduğu olanak ve imkânlardan faydalanan işletmeler dijital kanal ve olanaklardan yararlanarak daha büyük bir müşteri kitlesine ve ulaşmak istedikleri kanallara daha küçük maliyetler ile ulaşabilmektedirler. Daha büyük müşteri kitlesine hız ile ulaşan işletmeler ürettikleri ürün ve hizmetleri müşterilerine tanıtılabilmekte, sattıkları ürün ve hizmetin satış sonrası destek ve takip sürecini gerçekleştirebilmekte ve müşteri grupları ile etkili bir satış sonrası desteği sağlayabilmektedir. Teknolojinin hız ile gelişmesi ve teknolojik cihazların bu kadar yaygınlaşması ile birlikte mobil cihazların kullanılmalarının artması insanların yaşam ve alışveriş süreçlerini de değiştirmiştir. Teknolojinin bu kadar gelişmesi ile birlikte teknoloji de kendisini pazarlamaya başlamış ve gelişen teknoloji ile de bu teknolojinin pazarlanması sonucu işletmeler kendi içlerinde bütçelerine dijital pazarlamaya da yer ayırmaya başlamıştır (Ryan, 2016, s.1660).

#### 3.2. Dijital Pazarlamanın Olumlu Tarafları

Dijital pazarlamanın gelişen teknoloji ile birlikte günümüzde daha çok yaşamımızın içine girmesi ile birlikte işletmeler ve müşteriler daha hızlı bir şekilde etkileşim içine girebiliyor. Bu gelişim ve değişim ile birlikte işletmelerin iş modellerinde, marka stratejilerinde, hizmet ve ürün pazarlamasında, satış ve satış sonrası müşteri ile iletişimlerinde önemli farklılıklar oluşturmuştur. Hızla gelişen teknolojinin sonucunda da günümüzün dijital dünyasında bilgiye, ürüne, satış sonrası hizmetler ve müşteri memnuniyetine güvenilir bir şekilde ulaşılabilmektedir. Mobil cihazların yaygınlaşması ile birlikte insanların yaşamında kapladığı yer de artmıştır. Bu yaygınlaşmanın sonucu ile birlikte de tüketicilerin ürün ve hizmet satın alma ve sipariş verme faaliyetlerinin gerçekleştirilirken kullanabilecekleri bilgiye ulaşmasına olanak sağlamaktadır (Smith, 2011, s.492).

Dijital pazarlama ayağının genellik ile internet pazarlaması üstüne yoğunlaşmasının yanında internet gerektirmeyen mevcut araçlar ile de kullanılması mevcuttur. Cep telefonları, sabit telefonlar, banner reklamlar, sms gibi teknolojik araçlar desteği ile müşterilerin doğrudan hizmet ve ürün ulaşımına da katkı vermektedir (Wymbs, 2019, s.95).



Gelişen teknoloji ile birlikte geleneksel pazarlama günümüzde tesirini kaybetmeye başlamıştır. Her gün gelişen teknolojiyle müşterilerin hayatları değiştiği gibi tüketim alışkanlıkları ve tüketim miktarları da değişmiştir. Bu durum ile başa çıkmak isteyen işletmeler de mevcut departmanlarında dijital pazarlamaya daha fazla bütçe ayırmaya başlamışlardır. Şirketler mevcut rekabet piyasasında ürün ve hizmetlerini ön plana çıkarmak için dijital araçlar yoluyla hedef tüketicilerine daha hızlı ulaşmak için reklam harcamalarının büyük bir miktarını dijital pazarlama alanına aktarmaya başlamışlardır. Bazı durumlarda şirketler geniş bir hedef kitleye ulaşmak yerine doğru hedef kitleye ulaşarak iletişime geçmenin daha faydalı olabileceğini görmüşlerdir. Geleneksel pazarlamaya oranla dijital pazarlamanın ölçümlenebilir özelliği daha fazla olmasından kaynaklı işletmeler dijital pazarlama faaliyetlerine kaynak ayırmaya ve yoğunlaşmaya başlamıştır. Dijital pazarlamanın geleneksel pazarlamaya avantajları olarak eylemlere ve amaçlara ulaşımının ölçülebilir olması ve istenilen kitleye yönelik pazarlama faaliyetlerin yapılabilmesi yer almaktadır. Bu farklılık ve avantajlardan dolayı da dijital pazarlamanın anlamı her geçen gün işletmeler için daha önemli hale gelmektedir (Royle, Laing, 2014, s.68).

### 3.3. Dijital Pazarlamanın Olumsuz Tarafları

Dijital pazarlamanın öneminin artması ile birlikte gelen olumlu taraflarının yanında dijital pazarlamanın olumsuz tarafları da bulunmaktadır. Bunlardan işletme tarafından bakıldığında karşımıza çıkabilen ilk olumsuz taraf telif hakları olarak belirtilmektedir. Yapısından kaynaklı işletmelerin üzerinde faaliyet gösterdiği çalışmalar, yürüttüğü organizasyonlar, marka tanıtım faaliyetleri başka işletmeler tarafından taklit edilebilmektedir (Safko, 2009, s.190).

Dijital pazarlama, internet kullanımını gerektiren bir pazarlama faaliyeti olduğundan internette yaşanan aksamlar ve sorunlar pazarlama faaliyetlerinin aksamasına yol açacağından işletmeler ve müşteriler için zaman kaybı oluşturmaktadır (Tudor, 2016, s.190).

Dijital pazarlama araçları ile ürün veya hizmet satın alınırken, ürünleri inceleme, dokunma gibi olanaklara sahip olunmadığından, geleneksel pazarlama araçlarını kullanan yaşlı kesim için tercih edilir bir kanal olmamaktadır (Taken, 2012, s.90).

Dijital pazarlama kanalları aracılığı ile sanal ortamda yapılan para transferi işlemleri bu kanalları kullanan bireyler açısından gizlilik ve güven gibi sorunlar teşkil etmektedir. Bu sorunlardan dolayı bireyler dijital kanallar aracılığı ile yapılan işlemlerde güven sorunu yaşamaktadır (Wind, Mahajan, 2002).

## 4. SOSYAL MEDYA

20. yüzyılın sonlarına yaklaşırken internetin ortaya çıkmasıyla birlikte enformasyon teknolojilerinde oluşan gelişimler haberleşme biçimlerinde ve günlük yaşamda pek çok değişikliğe neden olmuştur. İnsan ilişkilerinde yüz yüze iletişim yerini teknolojik araçlar ile yapılan iletişim şekilleri almaya başlamıştır (Öztürk, Talas, 2015, s.101). İnternet ortamındaki yeni iletişim şekillerinin merkezinde ise sosyal medya bulunmaktadır. Sosyal medya, kullanıcılarının ağ teknolojilerini kullanarak iletişimini temin eden araç, uygulama ve hizmetlerin tümünü temsil etmektedir. İnsanların sanal ortamda birbirleri ile yaptığı etkileşim ve içerikler sosyal medyayı oluşturmuştur. Sosyal medya, insanların etkileşimini, haberleşmesini, tanışmasını, birlikte çalışabilmesini ve öğrenme prosesini yeniden şekillendirmiştir.

2001 yılında nokta, com uzantılı sitelerin etkinliklerini önemli düzeyde kaybetmesi ile internete öz benliğini sağlayan sosyal medya olmuştur (Kaplan, Haenlein, 2001, s.60).

Sosyal medyanın sahip olduğu özellikler beş madde ile açıklanmaktadır (ICrossing, 2008, s.5).

**Açıklık:** Sosyal medyanın içeriğindeki servis ağlarının büyük bir kısmı kullanıcılar için geri bildirim ve katılım sistemine sahiptir. Kullanıcıların içeriğe ulaşım ve içerik kısmından yararlanma süreçlerinde ender şekilde engeller bulunmaktadır. Kullanıcıların büyük bir çoğunluğu engelli içerikleri kullanmayı tercih etmemektedirler.

**Katılım:** Sosyal medya, kullanıcılarını içerik üretme, katılım yapma ve geri bildirim yapma konusunda cesaretlendirmektedir. Sosyal medyanın bu özelliğinden kaynaklıda içerik üreten ve içerik kullanan kısım arasındaki ayrımın azalmasına yol açmaktadır.

**Topluluk:** Sosyal medya, benzer ilgi alanlarına sahip ve benzer konular üzerine yoğunlaşan kullanıcıların topluluk oluşturmasına olanak tanımaktadır. Bu oluşan topluluklar aynı ilgi alanlarına sahip ve ortak konular üzerinde paylaşımlar yapmaktadır.

**Bağlantı:** Sosyal medya kullanıcılarına siteler içerisinde bağlantı kurma ve diğer siteler ile etkileşim sürecinde bulunmalarına olanak sağlamaktadır.

**Etkileşim Süreci:** Geleneksel medya yöntemleri tek taraflı bir iletişim metodunu kullanırken, sosyal medya iki taraflı bir etkileşim olanağı sunmaktadır.

Sosyal medya içeriği gereği, insanların etkili bir şekilde etkileşim içinde bulunma ve bu etkileşimi sağlarken bilişim teknolojilerinden faydalanılması ile ilgilidir (Safko, 2010, s.4). Teknolojik gelişimin içinde bulunan yeni nesil ile birlikte gün geçtikçe sosyal medya kullanımı ve içerik üretiminin yaygınlaşması ile birlikte sosyal medya da rol oynayan kişi sayısı artmaktadır. 2012 yılında Universal Mccan Wave 6 araştırması sosyal medyanın tüm dünya genelinde yoğun bir şekilde kullanıldığını ortaya koymaktadır (Universal Mccan Wave 6, 2012).

- Sosyal ağ sitelerine günde 1.5 milyar ziyaret gerçekleşmektedir,
- Sosyal ağ sitesi kullananların %88'i çevrimiçi video izlemektedir,
- Sosyal ağ sitesi kullanıcılarının %81'i arkadaşlarının platformdaki sayfalarını ziyaret etmektedir,
- Sosyal ağ sitesi kullanıcılarının %77'si sosyal profil sahibidir,
- Kullanıcıların %49'u video paylaşım platformlarında video paylaşmaktadır,
- Sosyal medya kullanıcıları ortalama 8 saatlerini sosyal ağlarda ve 13 saatlerini internette geçirmektedirler,
- Sosyal medya kullanıcılarının %42.9'u twitter kullanmaktadır,
- Sosyal medya kullanıcılarının %30'u mobil cihazlar aracılığı ile medya araçlarına ulaşmaktadır,
- Kullanıcıların mobil cihazlar kullanımı artmaktadır.

Geleneksel medya araçları tek taraflı iletişim teknolojilerine sahiptir. Geleneksel medya araçları hedef kitleleri için tek taraflı iletişim sunarken işletmelerde hedef kitleye ulaşmaya çalışırken reklam yöntemini ve televizyonlarda yayın yapan yayınların içerik kısımlarına reklam yerleştirerek tüketicilere ulaşmaya çalışmaktadır. Geleneksel medya araçları kullanan işletmelerin sunmuş oldukları ürün ve hizmetlerin kullanıcılar tarafından onaylanmadığı durumlarda etkili bir biçimde geri bildirimini sağlanması olanaksızdır. Teknolojik gelişmelerin hızlanması ve gelişmesi ile birlikte gelişen web tüketicilerin interaktif bir şekilde içerik hazırlamasını ve hazırladıkları içeriği yayınlamasına olanak sağlamaktadır.

## 5. SOSYAL MEDYA PAZARLAMASI

İşletmelerin hedef kitlelerine ulaşımında ve hizmet götürmelerinde sosyal medya pazarlamasının ortaya çıkışı büyük farklılıklar oluşturmuştur. İşletmeler pazar alanlarına geliştirmek ve büyütme amacıyla gün geçtikçe daha fazla sosyal medya pazarlama araçlarını tercih etmeye başlamışlardır (Mills, 2012, s.165). Günümüzde sosyal medya araçları işletmeleri tüketiciler ile bir araya getiren ve pazarlama için yeni imkânlar yaratan bir araçtır. Geleneksel pazarlama araçlarına göre daha düşük harcamalar gerektiren ve kısa zaman diliminde daha büyük kitlelere ulaşım açısından kolaylık sağlayan sosyal medya araçları daha iyi fırsatlar yaratmaktadır (Kaplan, Haenlein, 2010, s.62).

Pazarlama yönünden sosyal medya uygulamaları müşteriler ile daha verimli ve daha sıkı ilişkiler kurulmasını sağlayan ve bu iletişimi yaparken yeni teknolojileri de kullanan araç olarak görülebilir (Safko, 2010, s.5). Sosyal medya araçları hedef kitle ile etkili bir iletişim kurmanın yanında hedef kitle ile olan bağın ve güven duygusunun sağlanmasını da sağlayabilmektedir.

Sosyal medya pazarlama araçlarının kullanımının bu kadar yaygınlaşması ile birlikte artık sosyal medya, pazarlama alanının önemli bir kısmını oluşturmaktadır. Sosyal medya pazarlaması tanımı gereği işletmelerin internet kanalları aracılığı ile yaptığı pazarlama faaliyetlerini ifade etmektedir. Sosyal medya internet kanalları aracılığı ile gerçekleştirildiğinden pazarlama faaliyetleri boyunca işletmelere zaman, para tasarrufu ve geribildirim kolaylığı sağladığından geleneksel pazarlama araçlarına göre daha fazla tercih edilmektedir. Sosyal medya kanallarının geri bildirim süreçlerindeki hızlığı ve herkes tarafından yapılan yorumların tüm kullanıcılar tarafından görülebilmesi hedef kitleye ulaşım ve tutundurma faaliyetleri açısından etkili bir şekilde etki etmektedir.

Sosyal medya pazarlamacılığın sadece medya okuma platformu ve haber paylaşımı olmadığına dikkat çekilmektedir (Neti, 2011, s.3-4). Pazarlama modeli olarak sosyal medyayı kullanmak işletmeler açısından önemli

faedahlar sağlayabileceđi vurgulanmaktadır. İşletmelerin sosyal medya araçlarını kullanarak ürünlerinin tanıtımını rahatlıkla yapabileceklerini, iletişim kullanmakta zorluk çekemeyeceklerini hedef kitle ile kolaylıkla iletişim kurabilecekleri, hedef kitlenin işletmeleri takip edebilecekleri ve bu bilgiler ile birlikte rakip işletmelerin faaliyetlerini görebilecekleri vurgulanmaktadır (Neti, 2011, s.4).

İşletmeler açısından sosyal medya pazarlama yöntemleri tek başına pazarlama için yeterli olamayabilmektedir. İşletmelerin etkili bir pazarlama süreci için geleneksel pazarlama araçlarını da kullanması gerekmektedir. Her iki pazarlama yönetiminin kullanılması etkili bir pazarlama süreci için gereklidir. Farklı hedef kitlelere ulaşımın gerçekleşmesi için her iki pazarlama uygulamasının da kullanılması etkili olabilmektedir.

Günümüzde sosyal medya yaşamımızın büyük bir parçası haline gelmektedir. Genç nesil sosyal medyayı aktif bir şekilde kullanmakta ve sosyal medyada trend belirleyiciler haline gelmektedir. Bir sosyal medya ađı olan Snapchat uygulamasının 100 milyondan fazla kullanıcısı bulunmaktadır ve bu kullanıcıların %14'ü 35 yaş ve üstü insanlardır (Snapchat, 2015).

Sosyal medya bir marka için, marka tanıtımı yapma ve markanın güçlendirilmesi açısından büyük bir rol oynamaktadır (Vaynerchuck, 2013, s.3). Sosyal medyada başarılı olmak isteyen bir işletmenin hedef kitleyi tanıması, hedef kitlenin istek ve arzuları doğrultusunda çalışmalar yürütmesi gerekmektedir. Bir markanın rakipleri arasında ön plana çıkması için hedef kitlesine daha yakın olması gerekmektedir.

## 6. SOSYAL MEDYA PAZARLAMA ARAÇLARI

Sosyal medya pazarlama araçları günümüzde etkinliğini artırarak sürdürmekte, üreticiler ve tüketiciler için önem kazanmaya devam etmektedir. Sosyal medya pazarlama araçları işletmelerin tüketiciler ile doğrudan etkileşim içinde bulunmalarına, geleneksel pazarlama araçlarına oranla daha düşük maliyet ile bunu gerçekleştirmelerine olanak vermektedir (Kaplan, Haenlein, 2010, s.65). Firmalar, kitlelerini etkilemek ve kitle sayısını arttırabilmek için günümüzde Instagram, Facebook ve Twitter gibi sosyal medya araçları ile marka adına sahip hesaplar açarak kendi markalarını tanıtmakta, hedef kitlelerini etkilemekte, potansiyel müşterileriyle etkileşimlerini arttırmakta, yeni iş fikirleriyle yeni ortaklıklar kurabilmektedir (Barker, 2012, s.186).

Hedef kitlelerin; genellikle kullandıkları siteleri gizleme, organize edebilmeyi ve sosyal medya içerisinde paylaşabilme olanakları sağlayan sistemler sosyal imleme siteleri tabiriyle ifade edilebilmektedir (Dholakia, Bagozzi, 2001, s.168). Sosyal imleme ifadesinin sağladığı en büyük yararlar, site içerisinde bulunan benzer nitelikteki verilerin kullanıcılar tarafından rahat bir şekilde bulunabilmesi ve kullanıcıların bu veriler ile diğer kullanıcılarla etkileşim içine girebilmesidir. Sitelerin içerisinde ortak ve benzer nitelikte linkler bulunmaktadır. Sosyal etiketleme ise; kullanıcıların paylaşabilecekleri fotoğraf, video, yer bağlantıları gibi ifadelerin verilmesidir (Xiang, Gretzel, 2010, s.182).

İşletmeler için sosyal medya araçları içerisinde işletme profili oluşturarak hedef kitle ile etkileşime geçmek tek başına bir değer ifade etmemektedir. Sosyal içerik üretimi ve içerik analizlerinin de yapılması gerekmektedir. İşletmelerin kendi profilleri kapsamında hedef kitle ile uyumu ve hedef kitlenin işletme tanınırlığı ile alakalı bilgisinin saptanması sosyal medya pazarlamasının önemli bir aşamasıdır. Bu bilgilerin saptanması için işletmelerin farklı yöntemler kullanması gerekmektedir. Farklı yöntem ve analizler sonucunda işletmeler analiz sonuçlarını kendi bünyeleri içerisinde değerlendirebilir ve departmanlarını görevlendirebilir. Bu ölçümler sonucunda hedef kitlenin satın alma davranışı ve satın alma oranının tespitinin yapılmasına olanak sağlanmaktadır (Distaso, 2011, s.329).

Sosyal medya pazarlama araçları, işletmeler ile hedef kitle arasındaki pazarlama ve satışı geliştirmek, yönetmek amacındadır. Teknolojik yöntem ve uygulamalar ile gerçekleştirilen bir iş stratejisidir. Firmaların tüm yöntem ve uygulamaları üzerinde büyük önem teşkil etmektedir. Yeni pazarlar bulma ve hedef kitleleri takip süreçlerinde yardımcı olmayı sağlamaktadır (Rohra, Sharma, 2012, s.3).

Hizmet ve ürün pazarlamasının online bir şekilde hedef kitlelere ulaştırılmasına yardımcı olan blog sayfalarının artması, tüketici bloglarını tercih edilebilir bir pazarlama faaliyeti haline getirmektedir. İşletmeler artan talepler ile birlikte kendi adlarına sahip blog sayfaları açmakta, ürün ve hizmet pazarlamasını sağlamayı çalışmaktadır (Wright, 2006). İşletmelerin açmış olduğu bloglar sayesinde artan rekabet piyasasında görünür hale gelmekte ve rakiplerinin önüne geçmeye çalışmaktadır. İşletmeler kendi adları ile açtıkları blog sayfaları sayesinde küçük ve büyük tüketici topluluklarına iki yönlü bir pazarlama faaliyeti sunabilmektedir. Açılan bloglar aracılığıyla işletmeler hedef kitle hakkında bilgi sahibi olabilmektedir.

## 6.1. Facebook

Facebook, insanların yeni kişiler ile tanışabilmek, etkileşim içinde bulunabilmeleri amacıyla 4 Şubat 2004 tarihinde Mark Zuckerberg tarafından kurulmuştur. Facebook, yapısı itibarıyla diğer sosyal ağ siteleri arasında ön plana çıkmaktadır. Facebook'un öne çıkmasındaki başlıca faktörler; sistemin sürekli bir şekilde kendini yenileyip geliştirmesi, hedef kitlenin ihtiyaç ve istekleri doğrultusunda yazılımlarının geliştirilmesi gösterilebilmektedir. Misyonu gereği kullanıcılara paylaşma ve etkileşim gücü vererek dünyanın daha açık ve ulaşılabilir olması sağlanmaya çalışılmaktadır (Facebook, 2015). Facebook kullanımı itibarıyla Türkiye'de en fazla ziyaret edilen siteler arasında yer almaktadır ([www.alexa.com](http://www.alexa.com)).

Tablo 1. 2020 Yılında Türkiye'de En Fazla Ziyaret Edilen Web Siteleri

1. Google – Arama Motoru – <a href="http://www.google.com">www.google.com</a>
2. Youtube – Video Paylaşım Platformu – <a href="http://www.youtube.com">www.youtube.com</a>
3. Google Türkiye – Arama Motoru – <a href="http://www.google.com.tr">www.google.com.tr</a>
4. Trendyol – E-ticaret Sitesi – <a href="http://www.trendyol.com">www.trendyol.com</a>
5. Sahibinden.com – E-ticaret Sitesi – <a href="http://www.sahibinden.com">www.sahibinden.com</a>
6. Facebook.com – Sosyal Ağ – <a href="http://www.facebook.com">www.facebook.com</a>
7. Eba.gov.tr – Online Eğitim Platformu – <a href="http://www.eba.gov.tr">www.eba.gov.tr</a>
8. Ensonhaber.com – Online Gazete – <a href="http://www.ensonhaber.com">www.ensonhaber.com</a>
9. Zoom.us – Online İletişim – <a href="http://www.zoom.us">www.zoom.us</a>
10. Turkiye.gov.tr – E-hizmetler – <a href="http://www.turkiye.gov.tr">www.turkiye.gov.tr</a>

Kaynak: (<https://www.alexa.com/topsites/countries/TR> E.T. 29.12.2020).

Facebook sitesinin aktif şekilde 2.5 milyar kullanıcısı bulunmaktadır. Facebook'u günlük olarak 1.66 milyar aktif kullanıcı ziyaret etmektedir. Facebook kullanıcılarının %54'ü kadın kullanıcılar iken, %46'sı erkek kullanıcılarıdır. Yaş gruplarında ise 50 ila 65 yaş arası yetişkinlerin %64'ü genç kullanıcıların ise %51'i Facebook kullanmaktadır. Facebook kullanıcılarının yaklaşık olarak %25'ini 25 ila 34 yaş arası grup oluşturmaktadır (<https://www.websitehostingrating.com/tr/facebook-statistics/> E.T. 29.12.2020).

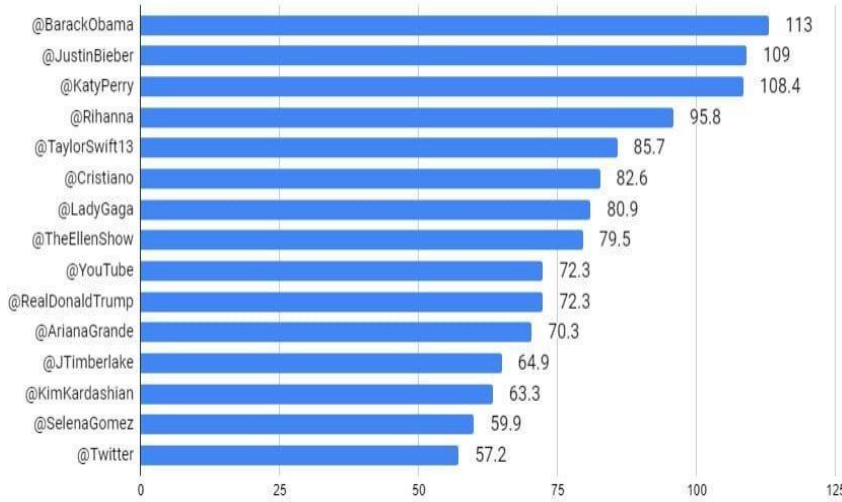
## 6.2. Twitter

Twitter kullanıcıların tweet okuyup gönderebildikleri bir mikro blog ağıdır. Videolar, fotoğraflar ve bağlantılar 140 karakter sınırlı kısa mesajlar ile gönderilebilmektedir. Twitter'ın misyonu, herkese engelsiz bir şekilde fikir oluşturma ve paylaşma gücü vermesidir (Twitter, 2015).

Twitter sitesinin 1.3 milyar kullanıcısı bulunmaktadır. Twitter'ı aylık olarak 300 milyon kullanıcı ziyaret etmektedir. Her gün Twitter üzerinden 500 milyon tweet gönderilmektedir. Twitter kullanıcılarının %56'sı erkek kullanıcılar iken, %44'ü kadın kullanıcılarıdır (<https://www.websitehostingrating.com/twitter-statistics/> E.T. 29.12.2020).

### Şekil 1. En Çok Takip Edilen Twitter Hesapları

Most Followed Accounts on Twitter (in millions)



Kaynak: (<https://www.websitehostingrating.com/twitter-statistics/> E.T. 29.12.2020).

### 6.3. Snapchat

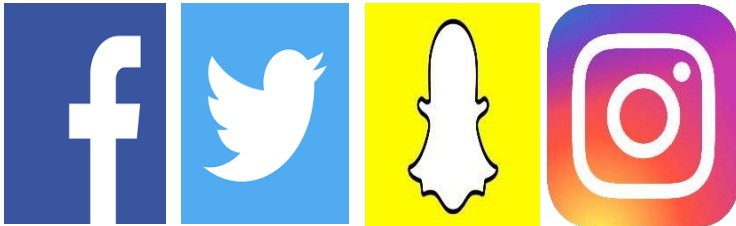
Snapchat, akıllı telefonlar için tasarlanan, uygulamalar arası bağlantı kurabilme, mesaj ve video gösterimini kapsayan mesaj ve haberleşme uygulamasıdır. Snapchat uygulaması 16 Eylül 2011 yılında Evan Spiegel tarafından kurulmuştur. Snapchat uygulamasının 306 milyon kullanıcı bulunmaktadır. Snapchat uygulamasının %60'ı kadın kullanıcılar iken , %40'ı erkek kullanıcılarıdır. Snapchat kullanıcıların %60'ı uygulama içinde markaları takip etmektedir. Kullanıcıların %50'si Snapchat uygulaması içindeki reklamları izlemektedir (<https://www.brandingturkiye.com/snapchat-istatistikleri-guncel/> E.T.29.12.2020).

### 6.4. Instagram

Instagram, görsel merkezli olarak iletişimi eğlenceli ve ilginç kılma amacıyla tasarlanan sosyal medya ağıdır (Instagram, 2015). Instagram uygulaması görsel araçlar yardımı ile insanların etkileşim içinde bulunduğu, kısa videolar ve etkileşim ile kullanıcıların hayatlarını yansıtabileceği bir uygulama olarak tanımlanmaktadır (Instagram, 2015).

Instagram uygulamasının 1 milyardan fazla kullanıcısı bulunmaktadır. Günlük olarak 500 milyon aktif kullanıcı sayısına sahiptir. Instagram uygulaması takipçiler temel alındığı takdirde Facebook uygulamasından 58 kat daha fazla etkileşim içeriğine sahiptir. Instagram uygulamasını kullanan 35 yaş altı kesim, instagram kullanıcılarının %69' unu oluşturmaktadır. Instagram kullanıcıları günde 100 milyondan fazla video ve fotoğraf yüklemektedir (<https://www.websitehostingrating.com/instagram-statistics/> E.T.29.12.2020).

Şekil 2. Facebook, Twitter, Snapchat, Instagram Logoları



Kaynak: (<https://www.shutterstock.com/tr/search/logos> E.T.29.12.2020).

## 7. SOSYAL MEDYA PAZARLAMASININ AVANTAJLARI

Pazarlama kavramı içinde en önemli konulardan biri de hedef kitle ile iletişim içinde olmak ve hedef kitlenin istek ve arzuları doğrultusundan faaliyetleri sürdürebilmektir. Bu hedeflere doğru ve hızlı bir şekilde ulaşabilmek için kullanılacak önemli araçlardan biri de sosyal medya araçlarıdır (Barutçu, Tomaş, 2013, s.12). Televizyon, dergi, radyo gibi geleneksel pazarlama araçlarının yanında günümüzde firmalar hedefleri doğrultusunda aktif ve etkili bir biçimde sosyal medya pazarlama araçlarını kullanmaktadır (Dholakia, Bagozzi, 2001, s.167). Sosyal medya pazarlama araçları, geleneksel medya araçlarına göre hedef kitle ile iletişim ve etkileşim de yeni bir boyut getirmektedir. Teknolojinin günümüzde sürekli gelişmesi ile internetin de sunduğu olanak ve yeniliklerde gelişim göstermektedir. İnternet üzerinden yapılan satış ve tutundurma çalışmaları hedef kitle ile iletişimin de kolaylaşmasını sağlamaktadır. İnternet üzerinden gerçekleştirilen pazarlama çalışmaları için firmalar doğru hedef kitleyi bulabilmekte, doğru hedef kitle için özel içerikler sosyal medya aracılığı ile tüketicilere ulaştırılmaktadır (Köksal, Özdemir, 2013, s.325).

Sosyal medya pazarlama araçlarını tercih eden işletmeler, hedef kitleleri ile iki taraflı iletişim kurarak hedef kitlelere kendi işletmelerini tanıtabilmek, ürün ve hizmet pazarlamasını sağlayabilmektedir. İki taraflı iletişim sonucunda hedef kitleler, hakkında bilgi sahibi olduğu işletme hakkındaki düşünceleri sosyal medya araçları ile diğer kullanıcılara tavsiye edebilmektedir (Aytaç, Telci, 2014, s.2). Hedef kitlenin günümüzde sosyal medyayı etkin ve yoğun bir şekilde kullanması firmalara yeni iş olanakları hakkında yardımcı olmaktadır. Tüketicilerin yoğun bir şekilde sosyal medya kullanması sonucu, firmalar için de artık sosyal medya kullanmak zorunluluk olmaktan çıkıp marka tanıtımı, marka saygınlığı gibi konularda yarar sağlamaktadır (Dholakia, Bagozzi, 2001, s.167). Firmaların sosyal medya aracılığı ile kendi tanıtım kampanyalarını yürütmesi sonucu kaynaklarını arttırması gibi hedef kitlelerin de firmaların stratejik planlama evreleri için önemli bir yol gösterici olduğu bilinmektedir. Bunların sonucunda firmalar yeni ürün ve hizmet gelişimlerini sağlayabilmekte, hedef kitle ile iletişim ve tutundurma faaliyetlerini gerçekleştirebilmekte, hedef kitlenin de yeni ürün ve hizmet geliştirme süreçlerine katılımı sağlanabilmektedir (Akar, 2010).

## 8. SOSYAL MEDYA'DA INFLUENCER KAVRAMI

Teknolojinin gelişmesi ile sosyal medya kavramı da ilerleme ve gelişim göstermiştir. Gelişen sosyal medyanın sonucunda, sosyal medya kullanıcıları, sosyal medyayı kullanırken de aynı zamanda sosyal medya için içerik ve hizmet üretimi yapabilecek duruma gelmiştir. Günümüzde sosyal medya kullanıcıları, sosyal medya aracılığı ile ürün ve hizmet üretimi, içerik paylaşımı, ürün yerleştirme gibi faaliyetler gerçekleştirerek faaliyetlerin daha hızlı bir şekilde duyulma ve keşfedilmesini sağlayabilmektedir. Sosyal medyanın hızlı bir şekilde gelişmesi sonucu, kullanıcılar arasına giren mesafeler ortadan kalkmakta ve sorun olmaktan çıkmaya başlamaktadır. Kullanıcılar tarafından yapılan ürün, hizmet ve reklam faaliyetleri diğer kullanıcılar tarafından etkileşim alabilmekte, etkileşim alan ürün, hizmet ve reklamların bilinirliği artabilmektedir (Uraltaş, Bahadır, 2012, s.36-37).

Sosyal medyanın gün geçtikçe daha popüler bir kavram olması sonucu, sosyal medya kullanıcı sayısının giderek artması, sosyal medyanın istenilen her yerde ulaşılabilen bir kavram olması, sosyal medyayı işletmeler açısından kullanılması gereken bir kavram haline getirmektedir. Firmalar için bu kadar önemli hale gelen sosyal medya kavramı sonucunda, firmalar tanınırlığını arttırmak, ürün ve hizmet pazarlaması yapmak için sosyal medyada bulunmakta ve farklı reklam yöntemleri denemektedir. Firmalar sosyal medyada buldukları süre içerisinde, büyük kitlelere hitap etmenin yanı sıra, büyük kitlelere hitap eden influencer'ların (etkileyici- fenomen) kitle üzerindeki etkisinden faydalanmaktadır. Firmalar, influencer'ların sosyal medya hesapları ile kendi ürün ve hizmet tanıtımlarını yapabilmekte, yeni tüketiciler kazanabilmektedir (Aslan, Ünlü, 2016, s.44).

Gündelik hayatında sosyal medya ağlarına yer veren kullanıcılar, sosyal medyada aktif rol oynayan influencer'ların içerik ve paylaşımlarını takip ederek sosyal ağlarda güzel vakit geçirebilmektedir. Günümüz de kullanıcıların bu kadar yoğun şekilde influencer'ları takip etmesi sonucu işletmeler influencer'lar üzerinden ürün ve hizmetlerini pazarlamaya çalışmaktadır.

Günümüzde popülerliği artmakta olan influencer tanımı popülerliği yüksek, insanları etkileyen kavramı olarak bilinmektedir. Influencer olarak tanımlanan grubun sosyal medya ağları dışında da kullanıcılar tarafından tanınırlığı bulunmaktadır (Milnerjr, 2010, s.380).

Ünlü olarak tanımlanmanın dışında influencer'lar, mikro ünlü olarak tanımlanabilmektedir. Influencer'lar kendi emek ve çabaları sonucu kullanıcılar tarafından tanınır hale gelmiş kişilerdir. Influencer'lar kendilerinin ya da firmaların ürün ve hizmetlerinin tanıtımının yapılabilmesi için ajanslar yardımı ile reklam faaliyetlerinde bulunabilmektedir (Djafarova, Rushworth, 2017, s.2).

Mikro ünlü olarak tanımlanan influencer'lar kendi emek ve çalışmaları sonucu bu konuma gelmiş kişilerdir. Çok fazla sayıda sosyal medya ağları kullanıcı sayısına ulaşan influencer'lar ürün, marka, hizmet tanıtımının gerçekleştirilmesi için firmalar tarafından yeni bir teknik olarak görülmektedir. Yaşanan bu gelişmeler ışığında firmalar ürün ve hizmet pazarlamasını gerçekleştirmek için influencer'lar ile ortak çalışmaya başlamaktadır.

Influencer olarak tanımlanan insanlar, sosyal medya ağlarında diğer kullanıcılar tarafından örnek alınan, yol gösterici kişiler haline gelmektedir. Influencer'lar, Facebook, Twitter, Snapchat, Instagram gibi sosyal medya uygulamaları aracılığı ile tanınmış hale gelen, ürün ve hizmet tanıtımlarını sosyal medya kullanıcıları ile tanıştıran ve kullanıcılar tarafından yorum, paylaşım kısaca etkileşim alan sosyal medya aracılığı ile tanınırlığını arttırmış kullanıcılarıdır (Marwick, Boyd, 2011, s.141).

Influencer olarak tanımlanan kullanıcılar, kendi hesapları yardımı ile ürün ve hizmet pazarlaması yapmanın dışında tanınırlığı yüksek kullanıcıların yapmış olduğu gönderilere yorum yaparak da pazarlama faaliyetlerinde bulunabilmektedir. Tanınırlığı yüksek kullanıcıların paylaştığı gönderiler ile etkileşim de bulunan influencer'lar kitlelerin dikkatini çekmeyi başarmakta ve kitlelerini genişletebilmektedir. Influencer'ların kitlelerinin bu kadar genişlemesinin sonucunda, işletmeler influencer'lar ile çalışmaya başlamakta ve influencer'ların kitleleri ile etkileşime girmeyi kolaylaştırmaya sağlamaktadırlar.

Influencer'lar tanınırlığını ve kitlelerini arttırmak için sosyal medya sayfaları ve bloklarını kullanmaktadırlar (Senft, 2008, s.25).

Influencer'lar sosyal medya ağlarında sadece ürün ve hizmet pazarlaması yapan kişiler olmanın dışında, kendi istek ve arzularını, siyasi ve gündelik konular hakkındaki düşüncelerini takipçileri ile paylaşan sosyal medya ağ kullanıcılarıdır (Cha, 2010, s.1).

## 9. INFLUENCER PAZARLAMA KAVRAMININ ÖNEMİ

2000'li yılların başında teknolojinin gelişmesi ve ilerlemesi ile sosyal medya ağlarında blog sayfalarının yaygınlaşması ve sosyal medya kullanıcıları tarafından talep görmesi sonucu influencer pazarlama terimi ortaya çıkmıştır. Blog sayfalarında kullanıcılar çeşitli konular hakkındaki bilgi birikimlerini, düşüncelerini ve yorumlarını diğer kullanıcılar ile paylaşmaya başlamıştır. Kullanıcılar kendi kitlelerini oluşturmak adına kendilerine ait blog sayfaları da açmaktadır. Yaşanan değişim ve gelişim sonucunda işletmeler blog sayfalarına ve kitlesi yüksek blog yazarlarına kendi ürün ve hizmet yelpazesi kapsamında ürün göndermekte ve blog sayfalarından ve blog yazarlarından bunlarının tanıtımının yapılmasını istemektedir. Teknolojinin gelişmesi ile popülerliğini kaybeden blog sayfalarının yerine facebook, twitter, snapchat, instagram gibi sosyal medya ağları gelmiştir. Kitlesi yüksek kullanıcılar sosyal medya ağları yardımı ile daha fazla kullanıcıya ulaşmaya çalışmaktadır. Sosyal medya pazarlaması önemini kazanmadan önce influencer pazarlama medya yönünde ünlü insanların reklam ve pazarlama faaliyetleri içerisinde olmaları ile yapılabilmekteydi. Medya tarafında ünlü insanların yapmış olduğu reklam ve pazarlama faaliyetleri başarılı ve etkileyici olsa da kullanıcılar kendi arkadaş çevrelerinin deneyim ve söylemlerine daha fazla güvenmektedirler. Kullanıcıların bulunmuş olduğu çevrenin deneyim ve söylemlerinin sonucunda influencer kavramı marka elçileri olarak tanımlanabilecek kişiler etrafında ağırlık kazanmaktadır (Yüzbaşıoğlu, 2016).

Influencer pazarlama, influencer'lar ile takipçileri arasındaki iletişimi temel alan, etkili bir pazarlama tekniği olan ağızdan ağıza pazarlama kavramının sosyal medya ağları ve işletmelerin yardımıyla sanal dünyada gerçekleştirilmesidir (Köletavitoğlu, 2017). Influencer pazarlama hakkında başka bir takıma göre, hedef tüketicileri kendinde barındırdıkları özelliklerle etkileyen ve yönlendiren kişiler olarak ifade edilmektedir. Influencer olarak nitelendirilen kişilerin genel özellikleri bulunmaktadır. Influencer olarak nitelendirilen kişiler; seyahat etmeyi, online alışveriş yapmayı, kendileri için gerekli ürünler hakkında araştırma yapmayı diğer tüketicilere oranla daha fazla yapmaktadır. Sosyal medya dışında, gündelik konular ile de ilgilenebilmektedir. Düzenli bir işte uzun dönemler çalışmak yerine, kendi iş fikirleri üzerine çalışma yapmayı tercih edebilmektedir (Kaya, 2009, s.159).

Sosyal medya ağları kullanılarak yapılan pazarlama çalışmalarında, influencer'lar hedef kitlelerine ulaşmanın basit bir süreç haline gelmesi için iki taraflı bir iletişim süreci halindedirler. Gerçekleştirilen iki taraflı iletişim influencer ve takipçiler arasında ve takipçilerin birbirleri ile yaptığı iletişim olarak ifade edilebilmektedir (Thackeray, Neiger, 2009, s.173).

Influencer pazarlama üzerinde çalışan kişiler, pazarlamanın gelişerek ve artarak yapılabilmesi için düzenli bir şekilde sosyal medya hesapları ile ilgilenmekte, takipçilerinin istekleri doğrultusunda girişimler bulunmakta ve takipçi sayısını arttırabilmek için yeni yöntemler denemektedir (Marwick, Boyd, 2011, s.140).

Influencer pazarlama, özünde influencer'ların takipçilerine ürün ve hizmet hakkında yapmış olduğu tanıtıcı reklam faaliyetleri sonucu takipçilerine ürün ya da hizmeti tavsiye etmesi süreci olabilmektedir. Tavsiye etme süreci ve çalışmaları takipçiler tarafından sevimekte, ilgi görmektedir ve başarılı olabilmektedir.

Influencer pazarlamanın sosyal medya ağları içinde tüketiciler tarafından önemli hale gelmesinin nedeni, işletmelerin yapmakta olduğu taraflı çalışma faaliyetlerine göre influencer'ların yapmakta olduğu işletmelere göre daha tarafsız ve özgün çalışma faaliyetleri olarak ifade edilebilmektedir. Influencer'lar hedef kitlelerinin sosyal, ekonomik, kültürel özelliklerine hâkim olabildiklerinden dolayı ürün ve hizmet pazarlama faaliyetlerini bu etkenlere göre şekillendirebilmektedir (Akgün,2017).

## 10. INFLUENCER PAZARLAMANNIN UYGULANMASI

Influencer pazarlama kavramı, tüketicilerin ürün ve hizmet alımını gerçekleştirirken kullandıkları sosyal medya ağ araçlarında etkili ve yönlendirici olmaya çalışmaktadır. Firmalar influencer pazarlama kavramını kullanmaya karar vermeleri durumunda, pazarlama faaliyetlerinden önce tüketicilerin güvendiği ve takip ettiği influencer'lar ile çalışmaya başlamaları gerekmektedir. Tüketiciler ürün ve hizmet satın alımı gerçekleştirmeden önce influencer'ların aynı ürün hakkındaki deneyim ve görüşlerini bilmek istemektedir. Influencer'ların deneyim ve görüşlerinin sonucunda ürün ya da hizmet hakkında bilgi sahibi olan tüketici ürün ve hizmet satın alımını gerçekleştirmektedir. Influencer pazarlama, marka pazarlaması, marka tanınırlığı, hedef topluluğu genişletmek için tercih edilir bir yöntem haline gelmektedir. Influencer pazarlama kavramı uzun dönemler devam etme potansiyelinin sonucunda, sahip oldukları takipçi sayılarını arttırarak ve koruyarak, marka bilinci oluşturmasıyla pazarlamada önemli bir kavram olma yolunda ilerlemektedir. İşletmeler influencer pazarlama kavramının sahip oldukları özelliklerden dolayı uzun dönemli bir ortaklık olarak görmektedir (<http://www.ccmediahouse.com>, 2017).

Yapılan araştırmalara göre; günümüzde pazarlama tercihi içerik pazarlamasından, influencer pazarlamaya doğru kaymaya başlamaktadır. 2016 yılında yapılan araştırma sonuçlarına göre pazarlamacıların %86'lık kısmı influencer pazarlama uygulamalarını tercih etmiş ve pazarlamacıların %94'ü bu uygulamaları faydalı bulmuştur. Pazarlama kavramının öngörülemez oluşu günümüzde influencer pazarlama kavramının önem kazanmasına yol açmaktadır. Firmaların günümüz pazarlama dünyasında, ayakta kalmaları ve buldukları konumu sağlamlaştırılmaları için influencer pazarlama uygulamalarını benimsemesi, uygulamalar için bütçe ayırması gerekmektedir. Influencer pazarlama kavramının gün geçtikçe öneminin artması ile birlikte, işletmelerin bu kavramı benimsemeleri ve pazarlama faaliyetleri için önemli ölçüde bu uygulamaları kullanması gerekmektedir (<http://www.pazarlamasyon.com/pazarlama/fenomen-pazarlamasini-influence-marketing-2017de-neler-bekliyor/E.T.29.12.2020>).

Günümüzde pazarlama kavramı influencer pazarlamaya doğru kaymaktadır. Influencer pazarlama kavramı tek başına yeterli olamayacağından, influencer pazarlamayı, içerik pazarlaması ve sosyal medya pazarlama uygulamaları yardımcı olmaktadır. Influencer olarak tanımlanan kişiler büyük bir kitleye sahip olduklarından dolayı pazarlama kampanyalarında ana karakter olarak rol almaktadır. Firmalar kendi pazarlama alanlarına göre influencer seçimini gerçekleştirmektedir. Örneğin; otomotiv sektöründe faaliyet gösteren bir firma influencer seçiminde youtube kanalı üzerinden otomobil tanıtımı yapan bir youtuber ile çalışması firma için de pazarlamak istediği ürün ve hizmetin daha kolay bir şekilde tanıtımının yapılmasına olanak sağlayacaktır. Influencer pazarlamasının rahat bir şekilde gerçekleşmesi için içerik pazarlama kavramına da gerek duyulmaktadır. Influencer ya da işletmenin içerik pazarlamasının gerçekleşmesi içinde içerik oluşturması gerekmektedir. Influencer pazarlamasının sağlam temellerinin atılması için tüm kavramların doğru bir şekilde uygulanması gerekmektedir (Akgün, 2017).

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## Çocuk ve Gençlik Yazınında Mizah ve Karikatür Anlayışı Üzerine

Prof. Dr. Hikmet ASUTAY<sup>1</sup>

<sup>1</sup> Trakya Üniversitesi Eğitim Fakültesi Yabancı Diller Eğitimi Böl. Alman Dili Eğitimi Anabilim Dalı, Edirne,

E-Posta: hikmetasutay@yahoo.de ORCID-NO: 0000-0002-0533-7708

**Özet:** Mizah ve karikatür yazın türü başlı başına bir yazın türü olduğu kadar, çocuk ve gençlik yazınının da en önemli bileşenlerinden biri olarak kabul edilebilir. Bu alanda mizah ve karikatür çocuk ve gençlik metinleri olabildiği gibi, genel olarak da çocuk ve gençlik yazını içerisinde başvurulan bir teknik olarak göze çarpmaktadır. Bu çalışmada genel olarak mizah türü ile karikatür yazın türünün ve tekniğinin çocuk ve gençlik yazınında ele alınışına dair bir tanıtım ve mizahın bu bağlamdaki işlevi ve önemi tartışılmaya açılmak istenmiş, Türk ve Alman yazınlarından birer örneğe değinilmiştir. Örneğin Alman yazın tarihinde “Vormaez” döneminde siyasi propaganda aracı olarak edebiyat ve alt tür olarak karikatür yaygın olarak kullanılmış ve mizah – karikatür dergileri yayımlanmıştır. Yirminci yüzyıl içinde de çeşitli dönemlerde çok farklı amaç ve işlevler yüklenmiştir karikatür sanatına. Bildiri çerçevesinde oldukça sınırlandırılmaya çalışılan bu konuda özellikle karikatür yazın türünün yazın tarihi içinde kimi dönem siyasi propaganda aracı, kimi dönem eğlence odaklı ve kimi dönem de reklam aracı olarak kullanımına ilişkin bir takım değinilere de yer verilmeye çalışılmıştır.

**Anahtar Sözcükler:** Edebiyat, Çocuk ve Gençlik Edebiyatı, Mizah, Karikatür

### 1. GİRİŞ

Çocuk ve gençlik yazınının varoluşundan bu yana mizah unsuru da hemen hemen aynı oranda paralel olarak varlığını sürdürmüştür denebilir. Gerek başlı başına bir tür olarak ya da genel anlamda çocuk ve gençlik yazını bağlamında sıklıkla başvurulan bir teknik ya da anlatım tarzı olarak karşımıza çıkmaktadır. Mizah yazını temelde çocuklara yönelik olarak yazılmamış fakat çocuk ve gençlik tarafından oldukça sevilmiş ve benimsenmiştir. Mizah türü yalnız basılı metin olarak değil çocuk ve gençlik yazınında geleneksel sözlü yazın alanında da çokça kullanılmıştır. Bu çalışmada mizah türünün yanı sıra yine başlı başına belli bir yazın türü olan karikatür sanatı ve yazınına da değinilerek mizah ile ilişkisi oranında çocuk ve gençlik yazını çerçevesinde ele alınacaktır. Karikatür tarzı çocuk ve gençlik yazını bağlamında genel olarak çizgi-öykü / çizgi romanlar olarak karşımıza çıkmıştır ve tamamen kendine özgü yazı, stil ve anlatım özellikleri mevcuttur. Yabancı dilde “comics” olarak anılan çizgi romanlar özellikle batı edebiyatlarında geniş yayılım ve köklü bir geleneğe sahiptir. Bu tür o kadar başarılı olmuştur ki, bilinen ve tanınan ünlü çizgi romanların hemen hepsi beyaz perdeye aktarılmış, sinema dünyasının fantastik kurguları arasında en çok sevilen yapımlarından olmuştur (örneğin, Süpermen, Örümcek Adam, Batman vd. ). Dolayısıyla geçtiğimiz yirminci yüzyıl, çizgi romanların altın çağının doğuşu olarak nitelendirilebilir. İçinde bulunduğumuz yirmibirinci yüzyılda ise yeni medyaların ve sayısız ekran teknolojilerinin artışına paralel olarak çizgi öykü ve romanlar da dijitalleşme sürecine dâhil olmuş ve elektronik ortamda erişilebilir olmuşlardır. Yalnızca yazın dünyası değil, eğlence odaklı olmak üzere dijital oyunlar ve pek çok uygulamalar içinde kullanılagelir olmuşlardır. Çizgi roman figürleri ise reklam, hediyelik vs. gibi alanlarda en çok kullanılan görseller ve temalardır değerlendirilmesi yapılabilir.

Çizgi öykü ve romanların da dâhil olduğu bu büyük yazınsal grup bu çalışmada karikatür olarak anılacak ve biraz da yazın tarihsel gelişim sürecine de değinilecektir. Söz konusu konu daha da özelinde karikatür ile çizgi öykü ve romanlar arasında da bir takım ayrımlar mevcuttur fakat burada genel bir değerlendirme yapmakla yetinilecektir. Bunun için öncelikle çocuk ve gençlik yazını terimlerine tanım ve kavramsal açıdan bir bakışa yer vermek yerinde olacaktır.

### 2. Çocuk ve Gençlik Yazını

Çocuk ve gençlik yazını genel olarak çocuk ve gençlerin alımladıkları her tür metin türüdür denebilir. Çocuk ve gençlik yazını kaynağını bütün olarak yazın dünyasından uyarılma, çeviri ya da doğrudan da alabilir. Çocuk yazını metinlerinin asıl kaynağı uyarlamalar ile doğrudan özel olarak çocuklar için kurgulanan, yazılan ya da derlenen metinlerdir. Dolayısıyla aynı tanım mizah türü ve karikatür sanatı için de ayrıca yapılabilir. Gençlik yazını bazı ürünleri doğrudan yetişkin yazınından alır. Edebiyat ya da yazın tanımı için Türk Dil Kurumu Sözlüğünde üç farklı kavram açıklaması yer almaktadır;

a) “düşünce, duygu ve hayallerin dil aracılığıyla sözlü veya yazılı olarak biçimlendirilmesi sanatı, yazın (II), gökçe yazın,

- b) bir bilim kolunun türlü konuları üzerine yazılmış yazı ve eserlerin hepsi, literatür,  
c) içten olmayan, gereksiz, yapmacık, boş sözler” (TDK, 2006).

Dolayısıyla bu üç tanım da çocuk ve gençlik yazını için uyarlanabilir. Karatay’a (2007 s.464) göre ise “edebiyat, sadece yazı ve söze dayanan bir sanat olmanın yanında; göze ya da görsele dayalı, estetiği sadece yazı ve sözde değil, canlandırma veya görüntü unsurlarını etkili ve güzel kullanarak olayları insanların beğenisine sunma sanatıdır”. Tanımlardan anlaşıldığı üzere yazının ya da diğer adıyla edebiyatın sadece yazı ve sözlü ürünler olmadığı, aynı zamanda tiyatro ve drama gibi görsele, estetiğe ve canlandırmaya dayandığı görülmektedir. Yazın çok geniş bir kavram olduğu için farklı türleri vardır. Farklı türlerin oluşmasında en büyük etken dönem ve hitap edilen kitledir. Bu türlerden çocuk ve gençlik yazını, çocukların ve gençlerin dünyasına hitap eden yazın türüdür. Çocuklar ve gençler üzerine yazılmış eserleri içerir. “Çocuk edebiyatı, edebiyat genel kavramı içinde yer almakla birlikte, kendine özgü şekil ve içerik özellikleri bakımından farklı bir tanımlamaya ihtiyaç duyulan kavramdır” (Aytaş, 2003, s. 157).

Çocuk yazını tanımı ele alındığında Türk Dil Kurumu çocuk yazınıni şu sözlerle tanımlamıştır: “Çocukların hayatı kavramasına yardımcı olacak, hayal gücünü geliştirici, okuma sevgisini aşılayan, eğitici bir edebiyat türü, çocuk yazını” (TDK, 2006). Yukarıdaki tanımla çocuk yazını çocukların gelişme döneminde en önemli yere sahip olduğu anlaşılmaktadır. Sever’e (2003, s. 9) göre çocuk yazını; “dil gelişimi ve anlama düzeylerine uygun olarak duygu ve düşünce dünyalarını sanatsal niteliği olan dilsel ve görsel iletilerle zenginleştiren, beğeni düzeylerini yükselten ürünlerin genel adı” olarak tanımlanmaktadır. Bu dönemde çocukların zekâları hızlı gelişim içerisindedir. Çocuk yazını, çocukların dil gelişimine ve resimlerle görsel zekâsının gelişimine katkı sağlar. Zihinsel ve kültürel gelişimine katkı sağlayacak eserlere ihtiyaç vardır. Belli bir kitleye hitap etmeli ve uygun bir dille yazılmış ürünleri içermelidir. Önemli olan kitlenin metinlerden zevk alması ve dilin anlaşılır olmasıdır. Çalışmaya konu edilen mizah ve karikatür sanatı asıl olarak genel yazın içinde yer alan türlerdir ve çocuk ile gençlik için uyarlanarak ya da çocuğa göre yazılırlar. Dolayısıyla çocuk ve gençlik yazını bağlamındaki mizah ile karikatür sanatı, yetişkin yazını veya genel olarak yazın dünyasındaki türlerden farklılıklar gösterir. Resimli çocuk kitapları ise başlı başına ayrı bir çocuk yazın türüdür ve diğer türlerle karıştırılmamalıdır. Bu çalışmaya konu edinilen mizah ve karikatür sanatının genel olarak tanım ve kavram açıklamasına değinilecek ve daha sonra çocuk gençlik yazını bağlamındaki işlevine değinilecektir.

## 2.1. Mizah ve Karikatür Sanatı

Karikatür sanatı insanlık tarihi kadar eskidir değerlendirmesi yerinde olacaktır. O kadar ki mağara resimlerine kadar tarihi götürülebilir ve insanlığın ya da yazın dünyasının hemen her döneminde görülmüştür. Karikatürün tanımına değinmeden önce mizah sözcüğü üzerinde durmakta yarar vardır:

*“Mizahın uzun ve üstünde çok tartışılmış bir tarihi vardır. Aristoteles, Platon, Darwin, Descartes, Kant, Hobbes, Freud ve Twain gibi büyük düşünürler, mizahı açıklamaya çalışmışlardır. Latince de “humere” olan mizah, nemli anlamına gelmektedir. İsim hali “umor”, nemli ya da sıvı anlamındadır. Bu iki kelime, acı ve ıslaklık anlamında olan Yunancada hyros kelimesinden türemiştir” (Cavanaugh, 2002: 14: Aktaran: Yardımcı, 2010).*

Mizah kelimesi Arapçadan (mizāh) dilimize geçmiştir ve Türk Dil Kurumu (TDK, 2006) mizah kelimesini “güldürücü” tanımını yapmıştır. Mizah kelimesi için bu tanımın yeterli olmadığı ve İsmail Yardımcı’nın mizah kelimesini şu sözlerle tanımlamıştır: “Komik, eğlendiren, hareket veya ifade, kişinin hoşça vakit geçirmesine katkıda bulunan her şey, gülmeyi oluşturan nesne, yapılan mizah tanımlamalarıdır” (Yardımcı, 2010).

Mizah olan karikatür sanat dalının, karikatür sözcüğü dilimize İtalyancadan (Caricare) geçmiştir ve Türk Dil Kurumunda tanımı; “insan ve toplumla ilgili her tür olayı konu alarak abartılı bir biçimde veren, düşündürücü ve güldürücü resim” (TDK, 2006). Karikatür farklı konulardan tema edilen, kısa, düşündürücü ve genelde güldürmek için resmedilen sanattır. “Karikatür insanın veya eşyanın abartılarak çizilmesi olayıdır. Günümüz anlayışında ise karikatür, çizgide mizah yapma sanatıdır” (Kar 1999, s. 23). Siyasi, ekonomik, spor, tarih, günlük yaşam gibi birçok alanda karikatür çizilmektedir. Farklı konularda tema edilen ve resmedilen karikatürlerin düşündürücü ve güldürücü yönü ön plandadır. Dolayısıyla çizgi öykü ve romanlardan biçim, içerik ve anlatım tarzı açısından ayrılırlar.

Hemen her kültürde mizah ve karikatür sanatının var olduğu söylenebilir. Bu anlamda Türk yazınında örneğin “Gırgır” dergisi seksenli ve doksanlı yıllarda son derece popüler olmuş, dünya çapında en çok baskı yapan ve okunan mizah dergileri arasına girmeyi başarmıştır. Sovyetler Birliğinde “Krokodil” dergisi yine dünya çapında büyük başarılar imza atmış mizah / karikatür dergilerinden biridir. Bu tür dergilerde mizah anlatımının hoşgörüsüne sığınarak siyasi ve toplumsal yergi ve eleştiriler daima yapılmış ve yapılmaktadır. Kimi mizah

dergileri ise bazen bu eleştiri sınırlarını da aşabilmektedir. Fransa’da yayımlanan bazı mizah dergileri (Charlie Hebdo gibi) bu açıdan sorgulanmıştır.

### 2.1.1. Karikatür Sanatı Kavramı

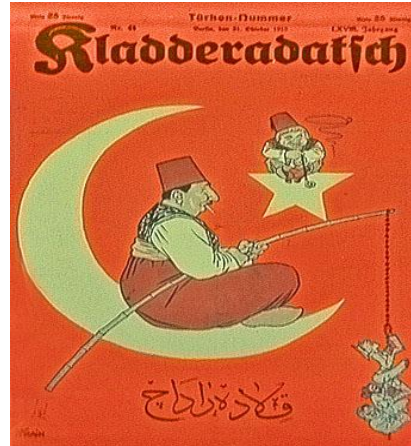
Baskı makinelerinin bulunuşu ile yazılı metinlerin artışı ve yaygınlaşması sağlanmıştır ve bu nedenle matbaanın bulunuşu başlı başına bir devrim olarak nitelendirilmiştir. Yazınsal ürünlerin artışıyla birlikte karikatürler de çok yaygınlaşmış ve toplumda çok geniş kitlelere ulaşabilmiştir<sup>1</sup>. “İlk karikatüristler Leonardo da Vinci (1452- 1519), Rembrant (1606- 1669) olarak gösterilmiştir” (Kar, 1999, s. 26). İngiltere’de basın özgürlüğü olduğundan Karikatür Sanatı bu ülkede diğer Avrupa ülkelerine göre daha gelişmiştir denebilir. Dünyada yayımlanan ilk karikatür kitabı İngiltere’de basılan ve Mary Darly’nin A Book of Caricaturas (1762) adını verdiği eserdir. Yine 18. yüzyılda bu alanda uzmanlaşan İngiliz Thomas Rowlandson (1756–1827) ve James Gillray (1757–1815) gibi isimler de önemli eserler vermiştir (Bkz. Wikipedi).

Günümüzde karikatür geniş olarak yapılan, hemen hemen her ülkede okuyucusu ve hayranı bulunan, düzenli olarak dergiler veya kitaplar halinde satılabilen bir sanat dalıdır. Günümüzde özellikle siyasi ve sosyal yergi amacı güden karikatürler çok yaygındır.10. ve 13. yüzyıllar arasında Roma sanatı Almanya’yı da etkilemiştir. Bu sanatın etkisinde kalarak Almanlar, Aachen ve Spaiier katedrallerini inşa etmişlerdir Katedrallerde işlenmiş mozaiklerin oluşturduğu resimler ile alman karikatürünün gelişmesine katkı sağladığı belirtilmiştir (İbrahimgil, 2012, s.67). Almanya’da ondokuzuncu yüzyılın ilk yarısında görülen “Vormärz- siyasi hareketi ve siyasi yazın akımı esnasında politik bir araç olarak karikatürler oldukça fazla kullanılmıştır. Bu anlamda gerek propaganda gerek iletişim aracı olarak sıkça başvurulmuştur. Karikatürlerin simgesel anlatımları sayesinde metin ve görsel unsurları birlikte kullanarak eleştiri, yergi gibi yazın biçimlerine yer vermesi, kısa ve özlü anlatımları içermesi, bir propaganda aracı olarak kullanılması açısından son derece elverişli idi. Bu dergilerden biri de örnek olarak “Kladderadatsch” adlı dergidir. Almanya’da 1848-1944 yılları arasında en popüler siyasi karikatürlerin yayımlandığı bir dergi olarak karşımıza çıkmaktadır. Bu dergi etrafında zamanın “Jung-Deutschen” olarak anılan genç Alman aydınlarının yürüttüğü siyasi mücadeleler dile getirilmiş, siyasi otoriteye karşı yürüttükleri eleştiri ve propagandalar için yayın aracı işlevini görmüştür.

Resim 1: Kladderadatsch Dergisi 7 Mayıs 1848



Resim 2: 31 Ekim 1915- Türkler Özel Sayısı - Kladderadatsch



Türkiye’de Karikatür Sanatı Tanzimat dönemiyle ortaya çıkmıştır ve gelişmiştir. “Karikatür tarihimizde ilk basılı karikatürü 1870’de Teodor Kasap’ın yayımladığı ilk mizah dergimiz olan «Diyojen» görülmektedir. 24 Kasım 1870 tarihini taşıyan bu karikatür isimlessiz olarak yayımlanmıştır” (Balcioglu & Öngören, 1987, s. 5). Diğer ünlü bir örnek de “Abdülcanbaz” adlı karikatür serisidir. Abdülcanbaz, 1957 yılında Turhan Selçuk tarafından Milliyet gazetesi için çizilmeye başlanan çizgi roman ve çizgi romanın başkahramanıdır<sup>2</sup>.

<sup>1</sup> Bilinen en eski modern karikatür örnekleri, belirli kusurlarını modele dökmek için insanları gözlemleyen Leonardo da Vinci tarafından verilmiştir. Bunlarda amaç, özgün olanın bir portreden daha vurucu olduğu izlenimi vermektir. Gian Lorenzo Bernini (1598-1680), yine bu alandaki ilk sanatçılardan biri olup, bir insanı üç-dört çizgiyle mizahi olarak betimlemeyi başararak bilinmektedir. Karikatür sanatı, zamanla Fransa ve İtalya’daki kapalı aristokrat kesiminde yaygınlaştı (bkz. Wikipedi)

20 yıllarda Milliyet gazetesinde yarım sayfalık yabancı bir çizgi roman vardır. Abdi İpekçi, Turhan Selçuk’tan ısrarla bu çizgi romanın yerlisini ister. Turhan Selçuk, mizah yazarı Aziz Nesin’den yardım ister. Aziz Nesin, hilekâr ve düzenbaz bir turist

Resim 3: Diyojen Dergisi (24 Kasım 1870)



Resim 4: Teodar Kasap



Batı ülkeleriyle karşılaştırma yaptığımızda Karikatür Sanatının ülkemize geç gelmesi ve daha sonra gelişmesi görülmektedir; bunun sebebinin dinsel konulardan kaynaklı basın özgürlüğünün olmamasıdır. “Karikatür sanatının ülkemizde bu denli geç kalışının nedenleri pek çoktur. Osmanlı İmparatorluğunda dinsel etkilerle konulan resim yasağı, ilk ve en önemli nedendir” (Balcioglu & Öngören, 1987, s. 5). Ünlü karikatürist Cemil Cem, batı sanatını içeren esrileriyle Türk karikatür sanatına yeni bir akım doğmuştur. “1910’da Cem dergisini kurdu, 1928’de Yavuz- Havuz Davasıyla ilgili bir karikatür yüzünden Cem bir daha yayımlanmamak üzere kapatıldı” (Kar, 1999, s. 29). Cumhuriyetin kuruluşundan sonra karikatür sanatı giderek gelişmekte ve bu sanatla ilgilenen ustalar ortaya çıkmaktadır; Cemal Nadir, Ramiz Gökçe. “1970 ve daha sonraki yıllarda Oğuz Aral’ın yönetiminde Gırgır Haftalık Mizah dergisi çıkar” (Kar, 1999, s. 47). Günümüzde mizah dergi sayısı giderek artmaktadır. ‘Uykusuz’ ve ‘Leman’ gibi mizah dergileri önde gelen örneklerdendir.

### 2.1.2. Karikatür Sokakta

Karikatür ve mizah yaşamın her aşamasında hayatın içinde var olduğu söylenebilir. O kadar ki pek çok zaman sokak etkinliklerinde en çok kullanılan yöntemlerden biri olduğu söylenebilir. Örnek olarak bir kültür etkinliği bağlamında resmi bir kurumun gerçekleştirdiği bir etkinlikten söz edilebilir; Türkiye’de Karikatür sanatı için düzenlenen Kadıköy Belediyesinin katkılarıyla farklı projeler ortaya çıkmıştır. Bunlar;

- a) eski tarihi bir binayı ‘karikatür evi’ olarak restore etmek,
- b) kaldırım taşlarına bazı karikatürleri çizmek,
- c) «Yaşayan sokaklar projesi» ünlü karikatürist Cemil Cem’in evinin yakınlarına karikatürlerinin asılması karikatüre verilen önemin göstergesidir.

rehberi tipi yaratır. Bu üçkâğıtçı adama "Abdülcanbaz" adını takar. Birinci öykünün yayını bitince Aziz Nesin diziyeye devam etmek istemez. Turhan Selçuk, bunun üzerine Rifat Ilgaz'dan yardım ister. Bir süre sonra Rifat Ilgaz'dan gelen senaryolar da aksamaya başlayınca Turhan Selçuk, diziyi kendisi yazmaya başlar. Bu, düzenbaz Abdülcanbaz tipinin değişmesine, yeniden yaratılmasına neden olur. Abdülcanbaz, düzenin düzensizliğine ve bu ortamdan doğan ahlaksız, namussuz, utanmaz, arlanmaz tiplere karşı savaştan bir semboldür artık (Bkz. Wikipedia)



Resim 5-6: Kadıköy Cemil Cem'in yaşadığı sokak görüntüleri



Konuyla ilgili olarak Kadıköy Belediye Başkanı Aykut Nuhoglu şunları belirtmiştir:

*"Mizah en güçlü silahtır. Merkezi otoriteye, baskıya isyandır. Ve aynı zamanda ince bir zekâ ve yetenek gerektirir. Çocuklarımızın ve gençlerimizin özellikle böyle bir zamanda mizahla tanışmasını çok önemsiyoruz. Kaldırımlardaki karikatürler hem Karikatür Evi'nin hoş bir habercisi, hem de görenleri gülümsetiyor"* (Karakoç, 2016)

Resim 7-8-9: Kadıköy Kaldırımlarında Karikatür ve Karikatür Evi



Mizahın sadece dergilerde kalmayıp, sokaklara da taşınması sanatın devamlılığının ve yaşamın bir parçası olduğunun göstergesidir. Hayatı neşelendiren, eğlendiren mizah artık sokaklarda. Aslında mizah hayatın birçok yerinde mevcuttur. Filmlerde, reklamlarda, kitaplarda, afişlerde, ürünlerin ambalajlarında ve çikletlerde çıkartma olarak kullanılmaktadır. Şipsevdi 'Love is' reklam karikatürlerine birer örnektir. Ürünlerin içlerinden çıkan karikatürlere bir örnekte 'Tipitip'tir. Tipitip ve şipsevdi gibi her ürünün içinden farklı karikatürler çıkmaktadır;

Resim 10. Tipitip Sakız Reklamı görseli



Resim 11: Tipitip figürleri

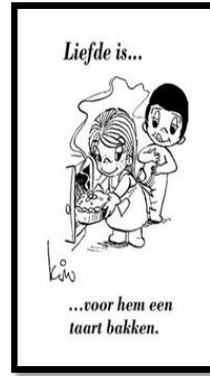


Dolayısıyla başta da belirtildiği üzere bir takım çizgi öykü / roman ya da karikatür konusu pek çok figür, sanayide, reklam sektöründe vb. gibi pek çok alanda görsel tema olarak kullanılmakta ve pazarlama aracı olabilmektedir. Bu çalışmada sadece bir sakız önerisi verilmiştir. Kırtasiye malzemelerinden, giyim kuşam ürünlerine pek çok alanda ve özellikle de çocuk ve gençliğe hitap eden ürünlerde bu tarz görsel tema kullanımı oldukça yaygınlık kazanmıştır.

### 2.1.3. Şipsevdi (Love is) Karikatürleri

Aşk teması işlenen şipsevdi; sakızların içinden çıkan günümüzde renkli resmedilmiş aşk karikatürüdür. Oluşumu 45 yıllık bir aşk hikâyesine dayanmaktadır. Şipsevdi karikatürleri, Yeni Zelandalı karikatürist Kim Casalini

tarafından çizilmiştir. Karikatürlerindeki erkeği ve kadını sevgilisi ve kendisi olarak çizmeye başlamıştır. İlk başta siyah- beyaz ve daha sonra renkli olarak çizdiği resimler ilişkinin her evresini ele almaktadır. 1970’lerde Los Angeles ‘Times’ gazetesinde siyah- beyaz olarak yayımlanır. Renklenen çizimler İngiliz gazetesi ‘Mail on Sunday’ 1978’de yayımlanmaya devam eder. Casali’nin filmi ‘Love Story’ afişinde yer alan sözü “Aşk asla pişmanlık duymamaktır” (Love means never having to say you’re sorry) ve karikatür çizimi ile daha da tanınmaya başlar. Tasarımcı Billy Asprey ve Kim Casalli yaptığı anlaşma sonucunda Türkiye’deki sakızların içinde renkli aşk karikatürleri yer almaya başlar. 1990’lı yıllarda Rusya ve Ukrayna’da yaygınlaşır. Farklı ürünlerin üzerinde bulunan karikatürler 9000’un üzerinde lisanslı üründe kullanılmıştır ve 25 farklı dil ve 60 farklı ülkede tanınmış ve bilinmektedir. Şu anda karikatürlerin çizimini devam ettiren İngiliz tasarımcı Billy Asprey tarafından sürdürülmektedir. Şipsevdi sakızlarından önce, Türkiye’de ilk karikatürlü sakız 1974 yılında üretilen ‘Tipitip’tir. Sakızların içinden çıkan karikatürler her yaşa hitap etmektedir. Karikatürlerden koleksiyon yapan birçok insan vardır. Farklı dillerde yayımlanan bazı Şipsevdi karikatürlerin görselleri mevcuttur. Örneklerden bazıları:



### 3. SONUÇ

Çocuk ve gençlik yazınında karikatür güldürücü ve düşündürücü bir yapıya sahiptir. Hem düşündürüp hem de eğlendiren bir sanattır. Günümüzde mizah sokaklara taşınmış olup herkes tarafından ilgi çekmektedir. Kim Casalli tarafından yaratılan karikatürler bir ülkede başlayıp altmış ülkede her türlü yaş grubuna hitap etmeyi başarmıştır. Bazı karikatürlerin sadece eğlendirici ya da güldürücü özelliği yoktur aynı zamanda ders verici özelliği de bulunmaktadır. Şipsevdi karikatürlerde bu özelliklerin tümü görülür. Aile, sevgi, paylaşmak, yardımlaşmak vd. insancıl değerlerin ne kadar önemli olduğunu vurgulamaktadır. Karikatür yaşamın her yerinde vardır; Ürün ambalajlarında, ürünlerin içinden çıkan kâğıtlarda ve reklamlarda. Bu durum karikatürün hayatın içinde önemli bir yere sahip olduğunun bir göstergesidir. Sonuç olarak mizah ve karikatür yazınsal tür ve anlatım biçimleri kimi zaman siyasi yazının yayın ve propaganda aracı olabiliyor, kimi zaman ise reklam sektöründe en çok başvurulan anlatım tarzlarının başında yer almaktadır. Özellikle günümüz tüketim toplumunda reklam amacı ve işlevi ile karikatürler gerek klasik geleneksel medyalarda, gerekse yeni medyalarda çok yoğun olarak kullanılmaktadır.

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<https://commons.wikimedia.org/wiki/File:Kladderadatsch.Tuerken.Nummer.jpg> [Erişim Tarihi: 01.06.2019]

<https://tr.wikipedia.org/wiki/Karikat%C3%BCr>; 31.01.2022

## Türk-Alman Şairi Safiye Can Şiirlerinde Doğu Esintileri

Prof. Dr. Hikmet ASUTAY<sup>1</sup>

<sup>1</sup> Trakya Üniversitesi Eğitim Fakültesi Yabancı Diller Eğitimi Böl. Alman Dili Eğitimi Anabilim Dalı, Edirne,

E-Posta: hikmetasutay@yahoo.de ORCID-NO: 0000-0002-0533-7708

**Özet:** Altmış yıllık Almanya'ya işçi göçü sürecinde Türk-Alman yazını üç kuşak sanatçı çıkarmış ve bugün artık dördüncü kuşağı yetiştirmektedir denebilir. Günümüz yaşayan Türk-Alman yazın dünyasında şu an üçüncü kuşak son derece etkin konumdadır. Bunlardan biri de Almanya'da doğup büyümüş olan ve orada yaşayan şairlerimizden Safiye Can'dır. Son dönem Türk-Alman yazını şairlerinden Safiye Can oldukça popüler olmuş ve günümüz çağdaş Alman yazınında özellikle şiir alanında kendini kanıtlamış, pek çok ödülleri almış genç kuşak bir şairdir. Türk yazınından pek çok eseri de çevirerek Alman diline kazandırmıştır. Almanca yazan şairin eserlerinde doğu kültüründen de esintiler duyumsamak mümkündür. Gül ile Bülbül metaforu Fars yazınında ağırlıklı olmakla beraber 10. Ve 11. Yüzyıllardan beri Türk yazınında, Divan edebiyatında çok sıklıkla kullanılan bir imge olup doğulu bir özelliğe sahip olduğu söylenebilir. S. Can'ın şiir kitabına da bu adı veriş ve içinde yer alan şiirlerinde bu bağlamda doğulu esintileri duyumsamak mümkündür. Bu çalışmada S. Can'ın "Rose und Nachtigall" (Gül ile bülbül) adlı şiir kitabına kültür aktarımı açısından değinilecek ve yazınbilimsel anlamda çözümleme denemesi yapılacaktır.

**Anahtar Kelimeler:** Türk-Alman Yazını, üçüncü kuşak, edebiyat, şiir, Safiye Can

### 1. GİRİŞ

Geçtiğimiz 2021 yılı, Türkiye'den Almanya'ya yapılan işçi göçünün de altmışıncı yılıdır. 30 Ekim 1961 tarihinde Ankara antlaşmasıyla diğer ülkelerle birlikte Türkiye'den de ilk işçi kabileleri trenlerle Almanya'ya yola koyulmuştur. Kara tren yolculukları ilerleyen yıllarda gurbetçilerin kendi özel araçlarıyla uzun ve yorucu asfalt yolculuklarına dönüşmüş, acı tatlı pek çok yolculuk hikâyelerine kaynaklık etmiş ve halen de devam etmektedir. Altmışlı yılların Türkiye'sinde hızlı bir biçimde köyden kentlere göçlerin yaşandığı ortamda gurbetçilerin çoğu köylerinden henüz şehir yüzü görmeden Avrupa'ya Almanya'ya geçici bir süreliğine yola koyulurken gurbeti vatan edebileceklerini belki de hiç düşünmemişlerdi. Almanlar da bu geçici işgücünün kalıcı olacağını düşünmemişti doğrusu. Onlar Max Frisch'in deyiimiyle "yalnızca işgücü istemişlerdi ama insanlar gelmişti". Anadolu'dan kalkıp yollara dökülen yüzlerce gurbetçi bambaşka bir dünyaya yola koyulmuş, dilini bilmediği bambaşka bir kültürle karşılaşmışlardı. Almanlar için de durum aynıydı. Doğudan, bambaşka bir dünyadan hiç bilmedikleri, tanımadıkları ve dillerini bilmedikleri yabancılarla karşılaşmışlardı. Farklı kültürlerin karşılaşma noktasında elbette dilsizlik, iletişimsizlik ve yabancılaşma gibi çok büyük sorunlarla karşılaşmışlardı bu insanlar. Dertlerini vücut diliyle anlatmaktaydılar.

Almanya'da doğan ve Türkiye'den Almanya'ya ebeveynlerinin yanlarına getirilen çocuklar zaman içinde büyürler ve Türk Alman toplumunun ikinci kuşağını oluştururlar. İkinci kuşak Almanyalı Türkler yoğun olarak iki kültür arasında sıkışmışlık, iki arada kalmışlık, aidiyet gibi bir takım kimlik kaygılarını yaşamışlardır. Bu kuşak ne tam olarak Almanyalı, ne de tam olarak Türkiyelidir. Bu kimlik bunalımı Almanyalı Türklerin oluşacak yeni Avrupalı Türk kimliğinin de doğum sancılarıdır denebilir. İkinci kuşağı oluşturan çocuk ve gençlerin zamanla büyümeleri, Almanya'daki öğrenim süreleri vb. nedenlerle birinci kuşağın kesin dönüş düşünceleri hep ertelenir olmuş, uzadıkça uzamıştır. Zamanla aslında yeni bir yurt edindikleri, düzenlerini kurdukları ve artık bu yeni yurttaki kalıcı olduklarının da fark edilmesiyle birlikte yaşam biçimleri de bu düşünceye paralel olarak değişmiştir. Almanyalı Türkler artık yeni evlere taşınmışlar, birçoğu kendi evlerini satın almaya başlamış, ikinci el eşyalar yerini tamamen yeni eşyalara bırakmıştır. Bu değişim ile birlikte artık kalıcılık fikri giderek daha yerleşir olmaya başlamıştır. Üstelik birinci kuşak Almanyalı Türklerden farklı olarak ikinci kuşakla birlikte girişimcilik artmış, anadili olarak edinilen Almanca'ları sayesinde Alman toplumuna uyum konusunda tam bir başarı sağlanmıştır. İkinci kuşakla birlikte işçi ya da çalışan Türkler yerine kendi işini kuran, patron Türk kavramı gelişmiş, her bir Türk işyerine bir yenisi eklenir olmuştur. Böylelikle ekonomik olarak da büyük bir birikim ve potansiyele sahip olmaya başlamıştır Almanyalı Türkler.

### 2. ALMANYALI KUŞAKLAR

Çoğunluğu Almanya'da doğan ve büyüyen bir üçüncü kuşak ise Alman toplumu içinde ikidilli olarak büyümüş kültür açısından da Alman kültürünü içselleştirmiştir denebilir. Ebeveynlerinin kültürünü yalnızca aile çevresindeki sınırlı ortam ve koşullardan edinen bu kuşağın en önemli özelliği köken olan Türkiye'ye

yabancılaşmalarıdır. Her ne kadar Türk kültürü Almanya’da olmalarına rağmen kendini korusa da ve nesilden nesile aktarılsa da anayurda karşı yabancılaşma kaçınılmaz olmuştur. Bu aşamada en önemli unsur teknolojinin gelişimi, uydu TV ve internet aracılığıyla Türkiye kaynaklı pek çok iletişim araçları, TV kanalları vb. rahatlıkla ulaşılabilmektedir. Böylelikle anayurdun kültürü bir yerde medya kültürü olarak Almanya’da oldukça etkili bir şekilde yaşatılır olmuştur.

Göç sonrası dönem olarak da adlandırılabilir olan günümüz Almanya’sında yükseköğrenim görmüş ve iyi yetişmiş üçüncü kuşak sayesinde bilim, sanat, edebiyat, siyaset ve iş dünyası vb. gibi pek çok alanda Türk varlığı oldukça kendini hissettirir olmuştur. Üçüncü kuşakla birlikte Almanya’da yabancıların uyumu konusu da Türkler açısından halledilmiştir aslında. Karşı konulan şey asimile olmaktır. Alman toplumu içinde kendi kültürleri yanında Alman kültürünü de özümsemiş olan üçüncü kuşak, kendi mahallesi, bakkalı, manavı, terzi lokantası vd. tüm unsurları ile Türk azınlığını oluşturmuş ve böylelikle Türk alt-kültürü doğmuştur denebilir. Bu kuşak için Türkiye ebeveynlerinin memleketidir. Kendi memleketleri ise doğup büyüdüğü yer olan Almanya’dır. Bu anlamda Almanya’da ağırlıklı olarak bir Türk azınlığı alt kültürünün oluştuğu söylenebilir. Söz konusu bu alt kültür, içinde bulunduğu kültürle büyük ölçüde uyumlu olup, hâkim kültürden farklı, kendi gelenek görenek ve yaşam tarzlarını korudukları azınlık çevresini oluşturmuştur, denebilir.

### 3. GURBETÇİNİN YAZINI

Son altmış yıl içerisinde hem Türk, hem Alman yazınında uzun ve zorlu süreçler sonucunda oluşmuş olan ve Türk-Alman yazını olarak da adlandırılan göçmen yazını, günümüzde göçün altmışıncı yılı kutlamaları çerçevesinde kendi varlığını da kutlamaktadır denebilir. Önceleri ağırlıklı olarak Türkçe yazılan bu edebiyatta giderek neredeyse tamamen Almanca yazıldığı görülmektedir. Bu konuda çok farklı sınıflamalar olabildiği gibi, ele alınan üç kuşak sınıflandırması, Nilüfer Kuruyazıcı ve Mahmut Karakuş’un “Gurbeti Vatan Edenler” ile Hayrunisa Topçu’nun “Avrupa ve Amerika’da Türk Edebiyatı” (Topçu 2009) adlı eserlerinden yola çıkarak daha çok yaş gruplarına ve zaman sınırlamalarına göre yapılmıştır. Buna göre birinci kuşak yazarlar, göçle birlikte başlayan, seksenli yıllara kadar devam eden ve Türkiye’den Almanya’ya giden yazarları kapsamaktadır.

Seksenli yıllardan doksanlı yılların ortalarına kadar ise, ikinci kuşak göçmen yazını devam etmektedir. İkinci kuşak yazarlar bir taraftan farklı, öteki bir kültürün içinde yaşamının getirdiği zorluklar gibi birinci kuşağın konularını devam ettirmişler, diğer yandan ise ağırlıklı olarak iki kültür arasında kalmışlığın ve bu durumun yarattığı kendi kimliğini arayışını ve bu arayışın yarattığı kaygı, çelişki ve çatışmaları konu edinmişlerdir. Her bir kuşağın konuları da birbirinden farklılıklar göstermekte bu bakımdan konusal olarak da göçmen yazını üç kuşak halinde sınıflanabilmektedir.

Son ve üçüncü kuşak ise doksanlı yılların ortalarından itibaren başlasa da daha genel bir çizgi olarak ikibin ve sonrası olarak da tanımlanabilir. Özellikle Feridun Zaimoğlu’nun “kanaksprak” kavramı ile birlikte üçüncü kuşak kendi içindeki dönüşümünü tamamlamış, konusal olarak diğerlerinden ayrılmış ve tüm bunların yanında dildeki paradigma değişimini de kendine özgü dil kullanımı ile gerçekleştirmiştir. Bu onları hem daha bir kendine özgü bir yapıya kavuşturmuş, hem de Alman yazını içerisinde daha fazla yerini almaya başlamış, Akif Pirinçci gibi yazarlarla dünya edebiyatı sahnesine de çıkmıştır. Selim Özdoğan ile birlikte azınlık kültürü içerisinde yer alan gençlik alt kültürleri de konu edilmeye başlamış ve yazın içerisinde ifadesini bulmuş ve bulmaya devam etmektedir. Son dönem eserleri Fatih Akın gibi dünya çapında ünlenen yönetmenler tarafından da beyazperdeye aktararak göçmen yazını içerisinde göçmen filmlerinin de daha çok ortaya çıkmasını sağlamıştır.

### 4. ALMANYALI ŞİİR VE SAFİYE CAN

Son dönem yani üçüncü kuşak Türk-Alman yazınında önemli bir isim olarak Safiye Can adlı şair yazmakta ve yaşamaktadır Almanya’da. Yazınbilim alanında da dikkatleri üzerine çekmeyi başaran şair hakkında detaylı bir biyografi ve eser çözümlemelerinin yer aldığı bir kitap yayımlanmıştır Türkiye’de (Balci 2018). Söz konusu kitabın tanıtımı ise Diyalog dergisinde yayımlanmıştır (Bkz. Aksöz 2019). Bu yönüyle de yazınbilimciler için yeni bir inceleme alanı olarak çıkmıştır karşımıza. Almanya’nın Offenbach a. Main kentinde Çerkez kökenli, Samsun-Çarşamba’lı ailenin kızı olarak 1977 yılında dünyaya gelen Safiye Can, ortaöğretimi Offenbach’ta, üniversite eğitimini ise Frankfurt Goethe Üniversitesinde felsefe, hukuk ve psikanaliz bölümünde tamamladı.

2002 yılından bu yana Almanca yazdığı şiir ve öyküleri ile sahne alan şair, birçok dergi, gazete ve antolojide yer almış, 2014 yılında Rose und Nachtigall (Gül ile Bülbül) adlı ilk şiir kitabını yayımlamış ve ilk haftada ikinci baskıya girerek Bestseller, 2020 senesinde de Longseller unvanını kazanmıştır. Diese Haltestelle hab ich mir gemacht (Bu Durağı Ben Kendim Yaptım) adlı ikinci şiir kitabını ve Kinder der verlorenen Gesellschaft (Kayıp Toplumun

Çocukları) adlı üçüncü şiir kitabını yayımlamıştır. 2021 yılında ise günümüz koşullarına gönderme yapan “Poesie und Pandemie” Şiir ve Pandemi başlıklı kitabını yayımlamıştır. Yazarın öyküleri ve Türkçeden Almancaya çeviri şiirleri de mevcut: Safiye Can Ataol Behramoğlu'nun seçilmiş şiirlerini Im Herzen ein Kind in der Tasche ein Revolver (Yüreğimde Bir Çocuk Cebimde Bir Revolver) adı altında Alman diline kazandırmıştır. Edebiyat okumaları ile Almanya, İsviçre, Avusturya ve Amerika'da tanılan yazar, 2004 yılından bu yana çocuklar için Şiir Atölyesi düzenlemektedir. 2014'den itibaren Dichter-Club (Şairler-Kulübü) adı altında bu etkinliklerini devam ettirmektedir. Almanya PEN Merkezi, Alman yazarlar Birliği ve Alman Çevirmenler Birliği üyesi olan Safiye Can, ABD Northern Arizona University ve Almanya'nın farklı Üniversitelerinde şiir hakkında eğitimler verdi. Şiirleri (Türkçe hariç) İngilizce, Bulgarca, Çekçe, Fransızca, Arapça, Çerkezce gibi birçok dile çevrildi<sup>1</sup>.

Görsel 1. Almanyalı şair Safiye Can ve şiir kitaplarından bazıları



#### 4.1. SAFİYE CAN ŞİİRİNDE DOĞU ESİNTİLERİ

Şairin 2020 yılında yayımladığı bu şiir kitabının başlığı “Rose und Nachtigall, Liebesgedichte”dir (Gül ile Bülbül – sevda şiirleri). Kitabın iç kapak metninde şair gül ile bülbül motifinin bin yıllık Türk, Arap ve Fars geleneği olduğu ve sevenleri temsil ettiğini yazar. Gerçi gül ile bülbül metafor ya da imge olarak pek çok kültürde görülmekte, batı yazınlarında da örneğin romantizm akımı sanatçıları tarafından eserlerde kullanıldığı görülmektedir. Batı romantizminde örneğin Alman yazınında Novalis biraz farklı olarak “Gül ile Sümbül” temasını kullanır ama gül ile bülbülde olduğu gibi birbirini seven, arayan, birbirine kavuşmak için çabalayan sevgililer söz konusudur. Böylelikle “Gül” metaforu bile tek başına romantizm akımının belli başlı sembollerinden biri haline gelmiştir, denebilir.

Şair Safiye Can'ın eserinde sonnot olarak Murat Tuncel tarafından kaleme alınmış bir bölüm mevcuttur ve bu bölüm “gül ile bülbül” motifinin ve geleneğinin bin yıllık öyküsünü açıklar. Türk, Arap ve Fars yazınlarındaki yeri ve önemine değinen Tuncel, ayrıca divan edebiyatında çok sıklıkla kullanılan “gül ile bülbül” sembollerini yorumlar ve ayrıca divan edebiyatındaki beyit, gazel, kaside gibi alt türlerin de tanıtımını yapar. Ayrıca farklı yazın akımları içerisinde gül ile bülbül sembollerine farklı anlamlar da yüklediğini belirtir; örneğin Tasavvuf yazını bağlamında gül ile bülbül daha çok dinsel anlamlar içerir ve insanoğlunun Tanrıyı arayışında bir motif olarak kullanılır. Divan yazınında ise, birbirlerini sevenleri sembolize eder. Dolayısıyla Arap ve Fars kökenli divan yazını, tasavvuf ve diğerlerinde sözlü gelenekle birlikte son derece mistik-dinsel anlatımlar için semboller kullanılır ve bir tür semboller yazınıdır da denebilir.

Şair Safiye Can'ın şiir kitabı beş ana başlıktan oluşur ve sonuncu başlık gül ile bülbül bölümüdür. Bu beş ana başlığın dışında en sonda da M. Tuncel'in makalesi yer alır. –Kitap içinde gül, bülbül ve diğer çizimler mevcuttur ve şiirler arasına serpiştirilmiştir. Bu çizimler kitapta da belirtildiği üzere Ferdi Tosunlu ve Robert Leitner tarafından çizilmiştir. Kitap ile aynı başlığı taşıyan şiir, eserin 67. Sayfasında geçer:

“Rose und Nachtigall

Mit der Leere in der magengrube

Wohin ich auch blicke

Umringt Sehnsucht die Dinge

Fern vom Land der Rosen und Nachtigallen

Verwandelt sich zu Stein

<sup>1</sup> Şairin resmi web sitesinden kısa özgeçmişi alıntılanmıştır; <http://www.safiyecan.de/tr/ana-sayfa/>

*Was ich berühre”*  
(Can 2020. 67)

“Karnımda bir boşluk, her nereye baksam, uzak diyarlarda güller ve bülbüller hasretle sarar her şeyi. Taşa çevirir neye dokunsam...”<sup>2</sup> şeklinde çevrilebilecek olan şiirde yoğun olarak romantizmin “uzaklar, hasret2 gibi kavramlarının da kullanıldığı görülmektedir. Bu bir bakıma doğu sembolleriyle batı romantizmi kavramlarının bir arada kullanıldığı bir şiirdir denebilir. Uzak diyarlardan güller ve bülbüller ifadesi, şair için artık uzaklarda kalmış olan doğu mistisizminin sembolleri gül ve bülbülleri işaret etmektedir, denebilir. Bu bağlamda yorumlanacak olursa farklı kültürde doğup büyümüş bir şairin, kökenine ait uzak kültürle duyduğu bir özlem de olabilir. “Ferne” kelimesi uzaklık anlamına gelir ki yazın dünyasında özellikle romantizm döneminde “Sehnsucht nach der Ferne” ifadesiyle romantizmin en karakteristik özelliği olan “uzaklara duyulan özlem” dile getirilir. Kitabın hemen başında yer alan “Heyhat” adlı şiirde de “In weiter Ferne” ifadesi geçer ki “weiter Ferne” daha da uzaklar anlamında uzaklık kavramının vurgulanışı niteliğindedir. Bu tarz S. Can’ın pek çok şiirinde görülür ve en çok kullandığı imgelerdendir denebilir. Sayfa 19’daki şiirde de aslında ülkedeki bir yabancıyı, ülkesini özleyen bir insanı ifade eder:

*“Breitengrad  
Nach Heimat riecht sein Hemd.  
Seine Hände, die Augen  
- Ferne*  
(Can 2020. 19)

*Uzaklığın Derecesi  
Memleket kokar gömleği  
Elleri, gözleri  
- Uzaklar<sup>3</sup>*

Bu şiirde görüldüğü gibi bir insanın giysilerinin memleket kokması, ellerinin ve gözlerinin memleketi çağrıştırması, farklı bir ülkede yaşayan bir yabancı olmalı. Örneğin Almanya’da yaşayan ve memleketini özleyen bir gurbetçi olabilir. Bakıldığında farklı bir kültüre ait olduğu, kendi memleketini çağrıştıran bir takım işaretler olduğu görülebilir. “uzaklar” ifadesi, uzaktaki bir memlekete gönderme yapmaktadır, şeklinde yorumlanabilir. Nitekim 52. Sayfa ile başlayan ayrı bir şiir bölümü “Zu Menschen anderer Sprache” başlığını taşır ki, ‘Başka dillerin insanları’ anlamına gelir fakat “andere” kelimesi aynı zamanda “diğer, yabancı, öteki anlamlarına da gelir ve bu şekilde anlaşılır. Dolayısıyla yabancı dillerin / diğer / başka dillerin insanları olarak rahatlıkla algılanabilir. Dolayısıyla S. Can’ın Türk Alman şiirindeki yeri biraz bu betimlemeyle onu dâhil edebilmektedir.

## 5. SONUÇ

Son dönem Türk Alman şairlerinden Safiye Can yazdığı şiirlerle Almanya’da Türk Alman yazını üçüncü kuşak şairleri arasında yer almaktadır ve genç sanatçı kuşağını da temsil etmektedir, denebilir. Ele aldığı, öteki olanın yalnızlığı, yabancılığı gibi konular, Türk Alman yazınının altmış yıllık geleneğinden izler taşımaktadır. Doğrudan anlatımla olmasa da ötekini, uzaklara duyulan özlemi şiirlerinde motifler olarak kullanması, Almanya’daki Türk azınlığı kimliğiyle var olmaya çalışan gurbetçi Türk insanının yalnızlığına, yabancılığına ve özlemlerine göndermeler yapmaktadır şeklinde yorumlanabilir. Yazın geleneği açısından Almanca yazdığı şiirlerinde gül ve bülbül gibi doğu edebiyatlarında çoğunlukla görülen izlekleri kullanması, S. Can şiirlerinde doğu esintilerinin yer aldığı sonucunu doğurmaktadır.

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<sup>2</sup> Almanca’dan Türkçe’ye çevirisi tarafımdan yapılmıştır

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## Farklılaştırma Stratejisi'nin Girişimcilik Açısından Önemi

Öğr.Gör. Nazlı Çağıl Küçüköksel<sup>1</sup>

<sup>1</sup>Tekirdağ Namık Kemal Üniversitesi / Çorlu Meslek Yüksekokulu, Yönetim Organizasyon, İşletme Yönetimi,

nkucukoksel@nku.edu.tr, ORCID:0000-0001-6128-5829

**Özet:** Girişimcilik, insan ihtiyaçları doğrultusunda iktisadi mal veya hizmet üretmek için üretim faktörlerini bir araya getirip, yeni teknolojilerle ekonomik fırsatları değere dönüştürme sürecidir. 21. yüzyılda girişimciler, yoğun rekabet ortamında ayakta kalabilmek ve rekabet avantajı elde edebilmek için çok yoğun çaba içerisine girme zaruriyetindedirler. Yaşadığımız çağda ekonomik, sosyal ve teknolojik alanda ortaya çıkan değişim ve gelişmelerle pazar küresel hale gelmiş olup, rekabetin yapısı değişmiştir. Bu anlamda en önemli hususlardan biri, girişimcilik faaliyetlerinin ve girişimciler eliyle kurulan işletmelerin müşteri nezdinde fark yaratmasıdır. Farklılaştırma stratejisi, işletmenin değer yaratan tüm faaliyetlerinde farklılaştırma yapmak suretiyle karlılığı artırmaya ve rekabet üstünlüğü sağlamaya yönelik bir rekabet stratejisidir. Farklılaştırma stratejisiyle girişimciler, müşterilerin beğeni, konfor, kalite, hizmet, güvenilirlik gibi sayısız ihtiyacından en azından bazılarını rakiplerine kıyasla daha üst düzeyde gideriyor olmalıdır. Bu çalışma kapsamında, müşteri ihtiyaçlarının adeta sonsuz olduğu ve çok sayıda girişimcinin fark yaratmaya çalıştığı günümüz iş dünyasında farklılaştırma stratejisinin ne olduğu, nasıl oluşturulacağı ve girişimcilik açısından önemi analiz edilme çalışılmıştır.

**Anahtar Kelimeler:** Girişimcilik, Rekabet, Farklılaştırma Stratejisi

**Abstract:** Entrepreneurship is the process of bringing together the factors of production to produce economic goods or services in line with human needs and transforming economic opportunities into value with new technologies. In the 21st century, entrepreneurs have to make great efforts to survive and gain competitive advantage in an intense competitive environment. In the age we live in, the market has become global with the changes and developments in the economic, social and technological fields, and the structure of competition has changed. In this sense, one of the most important issues is that entrepreneurial activities and businesses established by entrepreneurs make a difference in the eyes of customers. Differentiation strategy is a competitive strategy aimed at increasing profitability and providing competitive advantage by making differentiation in all value-creating activities of the enterprise. With the differentiation strategy, entrepreneurs must meet at least some of the numerous needs of their customers, such as taste, comfort, quality, service and reliability, at a higher level than their competitors. Within the scope of this study, it has been tried to analyze what the differentiation strategy is, how it will be created and its importance in terms of entrepreneurship in today's business world where customer needs are almost endless and many entrepreneurs are trying to make a difference.

**Key Words:** Entrepreneurship, Competition, Differentiation Strategy

### 1. GİRİŞ

Son yıllarda özellikle iş ortamındaki değişimin hızı ve kurumlar arası rekabetin artması ile girişimciliğe ilgi artmıştır. Bu konu, kuruluşların rekabet ve değişim gerekliliklerini benimsemek ve uyum sağlamak için başvurdukları seçeneklerden biri olarak giderek daha önemli hale gelmektedir. Bu nedenle ortaya çıkan herhangi bir proje, talep oluşturmanın, yeni pazarlar ve istihdam yaratmanın etkili bir yolu olarak görülmektedir (Shane ve Venkataraman, 2000).

Girişimcilik, pek çok nedenden dolayı çok önemli bir konu olarak kabul edilmektedir. Buna göre girişimcilik, yaratıcılık ve özellikle teknik değişim yaratmakta ve böylece ekonomik büyümeyi sağlamaktadır (Shane ve Venkataraman, 2000). Girişimcilik, arz ve talebin dengelendiği, bilginin yeni ürün ve hizmetlere dönüştürüldüğü bir süreçtir (Shane ve Venkataraman, 2000). Girişimcilik, büyüme ve rekabet avantajı için bir strateji olarak işletmeler için önemli bir itibar kaynağıdır (Tan ve Tan, 2004). Girişimcilik, ekonomik istikrara yardımcı olduğu için ekonomi ve toplum üzerinde olumlu bir etkiye sahiptir (Barringer, 2015).

Farklılaştırma stratejisi, ürün veya hizmetlere bir takım yeni özellikler ekleyerek piyasadaki ortalama fiyat seviyesinin üzerinde bir fiyat sağlayan rekabetçi bir stratejidir (Barney ve Hesterly, 2012: 150). Farklılaştırma stratejisi uygulayan bir şirket, müşterilerinin gözünde benzersiz olmayı hedeflemektedir (Ortega, 2010: 1275). Böylece firma ürünü için daha yüksek fiyatlar talep edilmektedir (David ve David, 2016: 136). Farklılaştırma stratejisi, üründe küçük yenilikler yaparak marka sadakati yaratmayı amaçlamaktadır. Marka sadakatinin oluşturulması ile müşterilerin fiyat hassasiyetleri azaltılabilmekte ve böylece artan maliyetler müşterilere aktarılabilir (Kavale vd., 2016). Farklılaşma stratejisinden yararlanmak isteyen firma, müşteri taleplerini karşılamak için ürün tasarımı, kalite, kullanım kolaylığı, hız, esneklik gibi unsurları kullanmaktadır (Linton ve Kask,

2017: 169). Böylece bu şirketler, ürün veya hizmetlerine uyguladıkları yenilikler sayesinde rekabet avantajı elde edebilmektedir.

Bu çalışma kapsamında, müşteri ihtiyaçlarının adeta sonsuz olduğu ve çok sayıda girişimcinin fark yaratmaya çalıştığı günümüz iş dünyasında farklılaştırma stratejisinin ne olduğu, nasıl oluşturulacağı ve girişimcilik açısından önemi analiz edilmeye çalışılmıştır.

## 2. GİRİŞİMCİLİK KAVRAMI

Eski bir kavram olan girişimcilik Fransız dilinde ilk kez 16. yüzyılın başında kullanılmıştır. Daha sonra, askeri keşif kampanyalarına eşlik eden risk ve zorluklara katlanmanın anlamını içeren “girişimcilik” terimi İngiliz literatüründe popüler hale gelmiştir (Murphy, 1986). 19. yüzyılda girişimci sermaye sahibinden ayrılmış, zira mucitler buluşlarını finanse edecek para bulamamıştır. Aksine, çeşitli kaynaklardan para elde etmiş, ancak yeni bir şey ortaya koymuşlardır. Bu kişiler sermaye sahibi olarak değil girişimci olarak ortaya çıkmışlardır. Bu bağlamda 1934 yılında Joseph Schumpeter, girişimciyi ekonomik kalkınmanın temel taşı olarak gören ve girişimcilik kavramına yeni bir boyut kazandıran görüşlerini ifade etmiştir.

Girişimcilik kavramı, ekonomide "yaratıcı yıkım" terimini popülerleştiren Avusturyalı bir politik ekonomist olan Joseph Schumpeter'e dayanmakta ve girişimciyi “yeni bir fikri veya yeni bir buluşu başarılı bir yeniliğe dönüştürme yeteneğine ve iradesine sahip olan kişi” olarak tanımlamaktadır (Backhaus, 2006). Schumpeter “Girişimcilik, mütevazı bir ürünü kısmen veya tamamen pazarlarda ve endüstriyel dünyada en kaliteli bir ürünle/en yüksek kalitede ürünle değiştirmek için yaratıcı yıkım fırtınası denilen şeyi kullanır” görüşünü savunmuştur. Bu nedenle, yaratıcı yıkım, uzun vadede ekonomik büyümenin önemli bir unsuru olarak görülmüştür (Sobel, 2000).

Girişimcilik, çeşitli alanlardaki yenilikçileri belirtmek için kullanılan eski ancak yenilenmiş bir olgudur. Girişimcilik, ekonomi, psikoloji, pazarlama, sosyoloji, tarih, stratejik yönetim ve insan bilimlerinden etkilenerek değişik yorumların ve çok sayıda teorinin gelişimine yol açmıştır. Bu nedenle girişimcilik kavramının tanımı konusunda fikir birliği bulunmamaktadır (Hoselitz, 1952). Girişimcilik, gelişmiş sanayi ülkelerinin ve gelişmekte olan ülkelerin ekonomilerinde önemli alanlardan biri olarak görülmektedir. Bu nedenle girişimcilik projeleri tüm ülkelerde kapsamlı ekonomik kalkınmanın genişlemesine aktif katkı sağlamaktadır (Seth, 2019).

1948 yılında Harvard Üniversitesi'nde girişimcilik tarihi araştırma merkezini kuran ilk kişi olarak kabul edilen Arthur Cole, girişimciliğin, iş organizasyonunun oluşturulması ve endüstrileri geliştirmek ve ulusal ekonomiyi kalkındırmak için bunlara yatırım yapmak yoluyla elde edildiğine işaret etmiştir (Hughes, 1983). Bireysel düzeyde bir girişimcilik projesi, kişisel gelir kazanılmasını ve kendini gerçekleştirme sağlamakta, ayrıca yeni işlerin geliştirilmesine, toplumdaki işsizlik düzeylerinin azaltılmasına katkıda bulunmaktadır. Yeni mal ve ürünlere ek olarak yeni ortaya çıkan hizmetler, yeni pazarların oluşturulmasına yol açmakta ve tüm ülkelerin ekonomilerindeki boşlukların azaltılmasına imkân sağlamaktadır.

Frank Hyneman Knight ve Peter Ferdinand Drucker, girişimciliğin risk almaya odaklandığını, girişimcinin davranışlarının, fikrini uygulayarak ve daha fazla zaman vererek uygulamaya koyarak kariyerini ve yüksek finansal durumunu geliştirmek için sahip olduğu yetenek türünü yansıttığını belirtmişlerdir. (Astebro vd., 2014). Bazı girişimciler, girişimciliğin, fırsatların belirlenmesi ve yeni maceralar için yenilikçi fikirlerin uygulanması için kaynakların ve yeteneklerin kullanılması anlamına geldiğini belirtirken, diğerleri, pazarda rekabetçi bir pozisyon almaya yardımcı olan ve tüketici ihtiyaçlarını karşılamak için kuruluşun iş modelini ortaya koyan stratejik bir seçim olduğunu iddia etmiştir (Sobel, 2000).

## 3. FARKLIlaştırMA STRATEJİSİ

### 3.1. Farklılaştırma Stratejisi Kavramı

Örgütsel stratejiler, bir firmanın belirli değer yönelimlerine bağlılığını temsil etmektedir. Firmalar, mevcut müşterilerine hizmet vermek ve benzer ilgi alanlarına sahip gelecekteki müşterileri kazanmak için düşük maliyet veya farklılaşma gibi belirli stratejiler uygulamaktadır. Düşük maliyetli liderlik stratejileri, genel olarak daha düşük maliyetli fiyat noktalarında ürün ve hizmetler yaratmaya çalışan resmileştirme, verimlilik ve merkezileştirmeye bağlıdır (Priem, 1994). Bu stratejiler, maliyet düşürme ve süreç verimliliğinin çok önemli olduğu emtia tipi endüstrilerde gelişmektedir. Ancak düşük maliyetli liderlik stratejileri belirsiz ve muğlak değişimlerde etkili olmayabilmektedir. Çevresel değişiklikler genellikle firmaların stratejiler ve çevre arasındaki dengesizlikten yararlanmak için yenilikçi stratejiler içermesini gerektirmektedir (Basardien vd., 2013).



Farklılaştırma terimi eski bir kavramdır ve ürün veya hizmet özellikleri, pazar bölümlendirme, pazarlama stratejisi vb. ile ilgili olabilmektedir (Smith, 1956; Sharp ve Dawes, 2001). Bu kavram genel olarak iş hayatında veya farklı alternatif tanımlarla dar bir kesimde kullanılmaktadır (Sharp ve Dawes, 2001). Farklılaştırma, yeni ürün geliştirme ve pazar duyarlılığının, inovasyonunun önemini vurgulamaktadır (Urban, 2010). Porter (1985), farklılaştırmayı, tekrarlanması zor olan ve bu nedenle endüstride benzersiz bir şekilde tasarlanan ve değer verilen ürünleri, hizmetleri ve süreçleri yaratmak olarak tanımlamıştır. Miller (1988), farklılaştırma içinde ürün yeniliği ve pazarlama olmak üzere iki boyut olduğunu savunmaktadır. Pazarlama farklılaşması, ürünün algılanmasına odaklanmaktadır. Pazarlama farklılaştırmasının amacı, müşterilerin veya potansiyel müşterilerin bir ürünü kullanırken bir prestij veya saygı unsuru algılamasını sağlamaktır.

Farklılaştırma, firmaların müşterilerinin taleplerinin iş düzeyindeki stratejileriyle uyumlu olmasını sağlamak için çevreyi sürekli olarak izlemelerini gerektirmekle kalmamakta, aynı zamanda üst düzey yöneticilerin dış çevreyi yorumlarken büyük ölçüde güvenecekleri önceki deneyimleri de temsil etmektedir (Daft ve Weick, 1984). Farklılaştırma, böylece üst düzey yöneticileri belirli zihinsel modeller ile donatmakta ve onların geniş bilgi akışı yoluyla yollarını görmelerine olanak tanımaktadır.

Rekabet avantajı, firmaların piyasadan üstün performans elde etmeleri için geçerli olan stratejik yönetim literatürünün önemli terimlerinden biridir. Porter (1988), firmaların rekabet avantajı elde etmek amacıyla izledikleri rekabet stratejilerinden (farklılaştırma ve maliyet liderliği) söz etmiştir. Farklılaştırma stratejisi, maliyet liderliği stratejisine kıyasla firmaların rekabet avantajı için sürdürülebilir ve etkili bir stratejidir. Acquaah ve Yasi-Ardekani (2008), firmaların farklılaşma stratejisinin firmanın rekabet avantajı elde etmesine yardımcı olduğunu, bu şekilde rakiplerin ürünlerine göre ürünlerin benzersizliğini sağladığını belirtmişlerdir. Aynı doğrultuda Baum vd. (2001), firmaların üstün büyüme performansı sağlayan yenilikçi ve yüksek kaliteli ürün ve hizmetleri tanıtmak için farklılaştırma stratejisi uyguladığını savunmuşlardır. Farklılaştırma stratejisi, ürün kalitesi ve müşteri memnuniyeti ilişkisi, pazarlama perspektiflerinde yaygın olarak kabul edilmektedir.

Bu nedenle, ürün farklılaştırması yoluyla farklılaştırma stratejisinin uygulanması, kuruluşun müşteri memnuniyeti yoluyla ürüne yönelik premium fiyatları sormasına yardımcı olmaktadır. Shammot (2011), müşterilerin ürün kalitesinden memnun olduklarında daha fazla ödemeye istekli olduklarını belirtmiştir. Bu itibarla ürün farklılaştırma, sürdürülebilir rekabet avantajı sağlamak üzere uygulanan canlı pazarlama stratejilerinden biridir. Firma performansı ve farklılaştırma bağlamında Acquaah ve Yasai-Ardekani (2008), maliyet liderliği, farklılaştırma ve birleşik stratejilerin uygulanmasının geçerliliğini ve karlılığını incelemiştir. Bununla birlikte söz konusu çalışma, firmaların artan performans faydaları için birleşik stratejilerin uygulanması ile yalnızca farklılaştırma stratejisinin uygulanması arasında önemli bir fark olmadığını bulmuştur.

Ayrıca Amoako-Gyampah ve Acquaah (2008), rekabet avantajı olarak farklılaştırma stratejisi ile firma performansı arasında pozitif bir ilişkinin olduğunu belirtmiştir. Porter (1988), marka sadakati ve düşük fiyat duyarlılığı yaratarak firmaların daha yüksek karlılığını sağlayan farklılaştırma stratejisinin faydalarını açıklamıştır. Benzer şekilde, Wong ve Merrilees (2008) ile Allen ve Helms (2006), farklılaştırma stratejisinin, firmanın daha iyi performans göstermesine yardımcı olan benzersiz ürünler sunarak müşterilerin marka sadakatini sağladığını savunmuştur.

Caves ve Williamson (1985), 36 şirket üzerinde yürüttükleri deneysel bir çalışma ile "Ürün farklılaştırması gerçekten nedir?" sorusunu yanıtlamaya çalışmış, ürün farklılaşmasının üretim ve tüketim teknolojisinde ve alıcıların rakip ürünler arasındaki seçimlerini belirleyen bilgi maliyetlerinde yapısal temelleri olduğunu öne sürmüşlerdir.

Sharp ve Dawes (2001), farklı araştırmacıları ayrılarak, farklılaşma ve karlılık arasındaki bağlantı için birden fazla tanım ve açıklama yapmıştır. Bu kapsamda farklılaştırmanın temel tanımı da yapılmıştır: "Bir firmanın teklifi bazı satın alma durumlarında (veya bazı müşteriler tarafından her zaman) rakip firmaların tekliflerine tercih edildiğinde farklılaşma ortaya çıkar." Teorik olarak farklılaştırma, marka sadakati oluşturarak firmanın ürünlerini daha fazla satmasına ve yeni müşterileri etkilemesine zemin hazırlamakta, ayrıca firmanın ürünlerini benzersiz hale getirerek daha yüksek fiyatlarla satmasına yardımcı olmaktadır.

Ancak Sharp ve Dawes (2001) bazı noktalarda bu yaklaşımla ters düşmektedir. Buna göre farklılaştırma, üretilen ürün özellik farklılıkları ile her zaman aynı anlamı taşımamaktadır. Farklılaştırma, her zaman yüksek fiyat veya yüksek maliyetlerle eş anlamlı değildir ve firmanın daha fazla kar elde etmesi için ön koşul değildir. Bununla birlikte yazarlar, gerçek rekabetçi pazarlarda "farklılaşmanın yaygın ve neredeyse kaçınılmaz bir yön olduğu" sonucuna varmışlardır. Hem müşteriler hem de firmalar rekabetçi bir pazarda farklılaşmadan fayda sağlamaktadır. Müşteriler sadece daha iyi hizmetten yararlanmakla kalmaz, aynı zamanda firmanın rakip satış

sahaları aracılığıyla her firmanın zayıflığını görebilmekte ve ardından hizmet satın alırken daha iyi bilgi sahibi olabilmektedir. Bir firmanın bakış açısından, bir firma rakiplerinin performansını analiz edebiliyorsa, rakibin güçlü yönlerini taklit edebiliyorsa veya bundan hareketle farklılaşabiliyorsa daha rekabetçi olabilir (Li ve Calantone, 1998).

Söz konusu bulgular, ürün ve hizmet farklılaşması arasında benzerlikler gösteriyor gibi görünse de, aralarında farklılıklar vardır. Örneğin, yeni bir somut ürünün başarılı olabilmesi için en önemli faktör bir yeniliğin kalitesidir. Ancak yeni bir hizmetin başarılı olması için firmanın odaklanması gereken insan kaynakları, ekip çalışması ve kullanıcı işbirliği gibi başka önemli faktörler de vardır (Alam, 2002). Bu açıdan bakıldığında, ürün farklılaştırması teknolojilere ve nihai ürünlere daha fazla odaklanabilirken, hizmet farklılaştırması süreçleri daha fazla vurgulamaktadır. Farklılaştırma dağıtımı kolay bir süreç değildir. Firmanın rakiplerinin tekliflerinden farklı bir şey sunmasını gerektirmektedir. Bir farklılaştırma stratejisi geliştirmek ve uygulamak, önemli ölçüde bilgiye bağlıdır. Bu tür bilgiler genellikle mevcut olsa da, firmanın bunları pazar araştırması veya müşteri etkileşimi gibi farklı kaynaklardan edinmesi gerekmektedir (Svendsen vd., 2009).

Ancak, her pazar aşamasının farklı özellikleri vardır. Bu nedenle, farklılaşma da ayırt edici olabilmektedir. Bu bakış açısına göre, girişimcilerin farklılaştırma stratejisini yürütme biçimleri de çeşitlenmektedir. İlk aşama, yeni bir pazarda satılmak üzere yeni bir ürünün piyasaya sürüldüğü dönemin öncesi ve dönemin kendisidir. İkinci aşama, piyasanın daha olgunlaştığı ve dengeye yaklaştığı zamandır. Bu iki aşama doğrusal değil, daha çok sürekliliği bir dairedir. Pazar, müşterileri geliştirmek ve ürün özelliklerini tamamlamak için zamana ihtiyaç duymaktadır. Pazar olgunlaştığında, yeni bir pazar aşaması oluşturmak için yeni bir hizmet veya ürün oluşturmaya ihtiyaç duyulmaktadır (O'Reilly ve Tushman, 2008).

### 3.2. Farklılaştırma Stratejisi Örnekleri

Ünlü bir klişe, "ödediğinizin karşılığını alırsınız" iddiasında bulunmaktadır. Bu söz, farklılaştırma stratejisinin özünü yansıtmaktadır. Farklılaştırma stratejisi izleyen bir firma, benzersiz ve arzu edilen özellikler sağlayarak, malları veya hizmetleri için müşterileri yüksek bir fiyat ödemeye ikna etmeye çalışmaktadır. Böyle bir firmanın müşterilere ilettiği mesaj, "ürünlerimiz için biraz daha fazla ödeyeceksiniz, ancak ürünlerimiz özel bir şey sağladığı için genel olarak iyi bir değer alacaksınız" şeklinde olmaktadır.

Porter tarafından tanımlanan iki rekabet boyutu açısından farklılaştırma stratejisi, bir firmanın fiyattan ziyade benzersizliğe dayalı olarak rekabet etmesi ve geniş bir pazarı cezbetmek istemesi anlamına gelmektedir (Porter, 1980). Coleman kamp malzemeleri buna iyi bir örnek teşkil etmektedir. Kamp gezisinde uyku tulumu, fener, soba gibi kamp malzemelerinin arızalanması halinde kampçılar mutsuz olacaktır. Coleman'ın uyku tulumları, fenerleri ve sobaları, güvenilirlikleri ve dayanıklılıklarıyla ünlüdür. Daha ucuz markalar ile sorun yaşama olasılığı çok daha yüksektir. Doğa tutkunları, Coleman'ın ürünlerini satın almak için diğer markalara göre daha fazla ödeme yapmalıdır, ancak güvenilir ekipmana sahip olmak fazla ödeme yapmaya tercih edilmektedir (Kennedy, 2020).

Farklılaştırma stratejisinin başarılı bir şekilde yürütülmesi, yalnızca benzersiz özellikler sunmaya değil, aynı zamanda bu özelliklerin değerini potansiyel müşterilere iletmeye de bağlıdır. Sonuç olarak, genel olarak reklamcılık ve özel olarak marka oluşturma bu strateji için oldukça önemlidir. Örneğin sofraya tuzu birçok ürüne göre oldukça genel bir üründür. Bu durum, tuz işinde farklı bir marka yaratmayı imkânsız hale getirmiş gibi görünmektedir. Ancak akıllı pazarlama yoluyla Morton Salt bunu başarmış, ikonik şemsiye kızı ve ticari marka sloganı "Yağmur yağdığında dökülür" etrafında bir marka oluşturarak tuzunu farklılaştırmıştır.

FedEx ve Nike, müşterilere farklılaştırılmış teklifler sunma konusunda iletişim kurmada başarılı olan diğer iki şirkettir. FedEx'in "Kesinlikle, olumlu bir şekilde bir gecede orada olması gerektiğinde" sloganı firmayı UPS ve ABD Posta Servisi gibi rakiplerinden ayıran hızlı teslimat taahhüdünü vurgulamaktadır. Nike, ikonik "swoosh" logosunun yanı sıra araştırma ve geliştirme yoluyla ürün yeniliğine yoğun bir vurgu yaparak spor ayakkabılarını ve kıyafetlerini farklılaştırmaktadır (Kennedy, 2020).

### 3.3. Farklılaştırma Stratejisinin Avantajları ve Dezavantajları

Her bir genel strateji, firmaların güçlü performanstan faydalanmak için potansiyel olarak yararlanabilecekleri avantajlar ve performanslarına zarar verebilecek dezavantajlar sunmaktadır. Farklılaştırma durumunda, önemli bir avantaj, etkili farklılaştırmanın müşterilerden yüksek fiyatlar elde etme yeteneği yaratmasıdır. Örneğin Coca-Cola, yaklaşık %33'lük bir kâr marjına sahiptir, yani müşterilerden topladığı her doların yaklaşık 33 senti kârdır. Buna karşılık, Walmart'ın maliyet liderliği stratejisi, 2010'da %4'ün altında bir marj sağlamıştır.

Buna karşılık, güçlü marjlar, firmanın iyi bir genel kâr düzeyine sahip olmak için çok sayıda müşteriyi çekmesine gerek olmadığı anlamına gelmektedir. Coca-Cola firması çok sayıda alıcı çekmektedir. Genel olarak, firma 2019'da 37,3 milyar doların biraz üzerinde olan satışlardan 9,0 milyar doların biraz altında bir kâr elde etmiştir. İlginç bir şekilde, Walmart'ın kârı Coca-Cola'ninkinden sadece 2,4 kat daha yüksek (22,0 milyar dolar), satış hacmi ise (514.4 milyar dolar) Coca-Cola'dan 13,8 kat daha yüksek olmuştur. (Walmart, 2019; Coca Cola, 2019). Kar marjları ve genel kâr seviyelerinin bu karşılaştırması, farklılaştırma stratejisinin neden birçok firma için bu kadar çekici olduğunu göstermektedir.

Zaman içinde farklılaştırma devam ettiği sürece, alıcı sadakati yaratılabilmektedir. Sadık müşteriler, fiyata duyarlı olmadıkları için çok arzu edilmektedir. Başka bir deyişle, alıcı sadakati, o firma müşteriyi daha düşük fiyatlarla kapmaya çalışırsa, müşterinin başka bir firmanın ürünlerine geçme olasılığını azaltır. Birçok gazoz içicisi Coca-Cola'nın ürünlerine şiddetle sadıktır. Coca-Cola'nın merkezi Atlanta'dadır ve firmaya bağlılık özellikle Georgia ve çevre eyaletlerde güçlüdür. Pepsi ve diğer markalar, büyük indirimler sunarken bile sadık Coca-Cola hayranlarını içeceklerini almaya ikna etmekte zorlanmaktadır. Bu durum, Coca-Cola'nın kârını yüksek tutmaya yardımcı olmakta çünkü firmanın, müşterilerini elde tutmak için rakiplerinin başlattığı hiçbir promosyona uyma zorunluluğu bulunmamaktadır. Bu arada Pepsi, Coca-Cola'nın kapmaya çalıştığı çok sayıda markaya sadık müşteriyi de kendine çekmiştir. Bu durum, Pepsi'nin kârını artırmıştır.

Mevcut rakiplerin ötesinde, farklılaştırma stratejisi, potansiyel yeni girenlere göre faydalar da yaratmaktadır. Spesifik olarak, müşterilerin farklılaştırılmış bir ürüne duydukları marka sadakati, yeni girenlerin bu müşterileri kendi ürünlerine yönlendirmesini zorlaştırmaktadır. Örneğin yeni bir gazoz markası, müşterileri Coca-Cola veya Pepsi'den uzaklaştırmakta zorlanmaktadır. Bu nedenle, farklılaştırma stratejisi, firmayı ve endüstrisini yeni rekabetten koruyan giriş engelleri oluşturmaya yardımcı olmaktadır.

Farklılaştırma stratejisi izlenirken karşılaşılan en büyük risk, müşterilerin bir firmanın stratejisini etrafında oluşturmaya çalıştığı benzersiz özellikleri elde etmek için fazladan ödeme yapmaya istekli olmamalarından kaynaklanmaktadır. Büyük mağaza Dillard's, Nautica markasının denizcilik teması birçok erkek için çekiciliğini kaybettiği için Nautica tarafından yapılan erkek spor kıyafetlerini satmaktan vazgeçmiştir (Kapner, 2007). Nautica'nın benzersizliği aşındığı için Dillard's, mağazalarında Nautica'nın işgal ettiği alanın diğer markalara daha iyi tahsis edilebileceğini düşünmüştür.

Bazı durumlarda müşteriler daha ucuz bir alternatifi tercih edebilmektedir. Örneğin, Ray-Ban, Gucci ve Patagonia'dan gelen tekliflerin görünüşünü ve verdiği hissi taklit eden ürünler, değer bilincine sahip birçok tüketici için çekici olmaktadır. Diğer durumlarda, müşteriler bir firmanın sunduğu benzersiz özellikleri arzu etmekte, ancak rakipler, özellikleri artık benzersiz olmayacak kadar iyi taklit edebilmektedir. Böyle bir durumda, müşterilerin firmanın teklifleri için ekstradan para ödemek için hiçbir nedeni bulunmamaktadır. Yöneticiler kişisel bilgisayar pazarında bir farklılaşma stratejisi izlemeye çalışıldığında IBM bu senaryonun sıkıntısını yaşamıştır. Strateji, diğer alanlarda IBM için işe yaraymış, spesifik olarak IBM, üstün hizmet sunarak ve müşterilere ana bilgisayarları için bir prim ödeyerek ana bilgisayar pazarında büyük bir başarı elde etmişti. Şirketini yönetmek için bir ana bilgisayara güvenen bir işletme sahibi, ana bilgisayarını uzun süre devre dışı bırakmayı göze alamazdı. Bu arada, çok az işletme kendi ana bilgisayarlarını tamir etme becerisine sahipti. IBM'in müşterilere mesajı, IBM ürünleri için daha fazla ödeme yapacakları, ancak bunun iyi bir yatırım olduğu, çünkü bir anabilgisayarın onarımına ihtiyacı olduğunda IBM'in rakiplerinden daha hızlı ve daha iyi hizmet sunacağıydı. Böylece müşteri, bir ana bilgisayar arızasından sonra çok hızlı bir şekilde tekrar işi yapabilecekti. IBM, kişisel bilgisayar pazarında kullandığında bu konumlandırma başarısız oldu. Dell gibi rakipler, IBM'inki kadar iyi hizmet sunarken, kişisel bilgisayarlar için IBM'in talep ettiği kadar düşük fiyatlar talep etti. Müşteri açısından bakıldığında, IBM benzersiz bir şey sunmadığından, bir kişinin bir IBM kişisel bilgisayarı için daha fazla ödeme yapması gereksiz olurdu. Sonuç olarak IBM sürekli olarak pazar payını kaybetti. IBM'in mücadeleleri, kişisel bilgisayar işini Lenovo'ya satmasına neden oldu (Kennedy, 2020).

### 3.4. Farklılaştırma Stratejisi ve Girişimcilik

Miller (1983), yenilikçilik, risk alma ve proaktiflik olmak üzere üç bileşenden oluşan girişimci yönelim kavramını geliştirmiştir. Girişimci yönelim kavramı, girişimci firmanın firma performansını sağlayan bir süreç, uygulama ve karar verme faaliyetlerini yansıtmaktadır (Miller, 1983). Miller bu şekilde üç önemli faktör ile karakterize edilen girişimci firmayı tanımlamıştır. Miller, girişimci firmanın ürün-pazar yenilikçilik stratejilerine dâhil olacağını, büyük kaynak taahhüdüne yatırım yaparak riskli girişimleri üstleneceğini ve rakiplerinin önünde yer almak için proaktif eylemler yoluyla pazar fırsatlarından yararlanacağını açıklamıştır.

Yenilikçilik ve farklılaştırma stratejileri birbiriyle yakından ilişkilidir (Porter, 1980). Temel olarak, ürün, süreç ve pazar farklılaşması firmanın yenilikçilik stratejisi ile ortaya çıkmaktadır. Yenilikçilik, bir firmanın yeni ürünler, hizmetler veya teknik süreç üretmek için uygulanan yaratıcı süreci, deneyleri ve yeni fikirleri dâhil etme ve savunma konusundaki güçlü niyeti olarak tanımlanabilmektedir. Hage (1980), yenilikçiliğin radikallik, artımlı veya radikal yenilik derecesine göre değişebileceğini belirtmiştir.

Damanpour (1991), yenilikçiliği teknolojik ve idari olarak iki boyut altında sınıflandırmıştır. Teknolojik yenilikçiliğin firmanın yeni süreç, yeni ürün ve hizmetlerinin faaliyetleri olduğunu, diğer yandan idari yenilikçiliğin yeni prosedürleri, politikaları ve idari yapıları işaret ettiğini açıklamıştır. Bununla birlikte, Kimberly (1981), yenilikçiliğin mevcut teknolojilerden veya mevcut teknolojinin ötesindeki uygulamalardan ayrılma isteğini gösterdiğine inanmaktadır. Scherer (1980) ve Miller ve Friesen (1978) yeni ürün tasarımı, pazar araştırması, ürün reklamı ve farklılaşmanın işareti olan ürünlerin tanıtımı ile karakterize edilen ürün ve pazar yenilikçiliğini açıklamıştır.

Verhees ve Meulenber (2004), yenilikçi teknoloji ile yerel ve uluslararası pazarlarda farklılaştırılmış ürünlerin satışı arasındaki ilişkiyi ortaya koymuştur. Yazarlara göre pazar istihbaratı (tedarikçilerin ve rakiplerin bilgilerinin tutulması), yenilikçi teknoloji firmalara farklılaştırılmış ürünler ve süreçler geliştirmelerinde yardımcı olduğunda uygulanmaktadır. Grant (1998), benzersiz ürün ve hizmetler yapmak için farklılaşmanın ana itici gücü olarak ürün yenilikçiliği üzerinde durmuştur. Rekabet stratejisine dayalı olarak, firmaların yenilikçi uygulamaları farklı olmaktadır ancak Blumentritt ve Danis (2006), ürün yenilikçiliği ile farklılaşma arasında pozitif bir ilişki bulmuştur. Benzer şekilde Frank vd. (2010) ve Abrar vd. (2009) yenilikçilik ile yaratıcılığı, yeni fikirleri ve deneyimleri sağlayan stratejik duruş arasındaki ilişkiyi açıklamıştır. Lumpkin ve Dess (1996), firmaların yenilikçiliği ile işletmenin büyümesine öncülük eden rekabet stratejisi (yeni ürün hattı, yeni teknolojik ilerleme) arasında pozitif bir ilişki bulmuştur. Ancak Lechner ve Gudmundsson (2014), KOBİ'lerin performansına ilişkin çalışmalarında yenilikçilik ile rekabet stratejisi arasında negatif bir ilişki bulmuşlardır.

Temel girişimcilik davranışlarından birisi olan risk alma, girişimci firmaların olası sonuçlar hakkında kesin bilgi sahibi olmadan karar vermesi ve harekete geçmesi olarak tanımlanabilmektedir. Kwak vd. (2018), girişimci firmaların ürün pazarına ilişkin yenilikçi kararlarının, pazar ortamının hızla değiştiği bu dönemde rekabette ayakta kalabilmeleri için gerekli olduğunu vurgulamıştır. Risk alma ve firmaların inovasyonu bağlamında Garcia-Granero vd. (2015), yenilikçi ürünü ve yöneticilerin riskli girişimleri kabul etme istekliliğini olumlu bir şekilde savunmuştur. March ve Shapira (1987), farklı araştırma alanlarında bulunan risk alma ve organizasyonun yenilikçi davranışlarının yakından bağlantılı olduğunu belirtmiştir. Öte yandan Morris ve Kuratko (2002), risk alma davranışının girişimcileri diğerlerinden farklılaştırdığını, çünkü örgütsel performansta kayıplar ve tutarsızlıklar getirdiğini bulmuşlardır.

Proaktiflik, firmanın gelecekteki talepleri ve fırsatları öngördüğü pazarda yeni fırsatlar aramak, yeni ürünler ve markalarla gelişmekte olan pazarlara girmek ve pazar lideri olmak için ortamı şekillendirmek olarak tanımlanabilmektedir (Venkatraman, 1989). Hughes ve Morgan (2007)'ye göre, proaktif firmaların performansı rakiplerinden çok daha iyidir, çünkü proaktif firmalar, ilk hamle stratejileri aracılığıyla piyasa değişikliklerine duyarlı oldukları gelecekteki pazar fırsatlarını ve talebi tahmin edebilirler. Blumentritt ve Danis (2006), firmanın proaktif yenilikleri (ürün, pazar veya süreç) ile pazar fırsatlarından yararlanmak için ilk hamle stratejisi arasında bir ilişki bulmuştur. Bu bağlamda Freeman ve Engel (2007), firmaların ticari operasyonlarını farklılaştırmak için proaktif yenilik stratejisine odaklandıklarında girişimci firmanın sürdürülebilir performans elde edebileceğini belirtmişlerdir. Tsai vd. (2007) firmaların proaktifliği ve farklılaşması üzerine bir araştırma yapmışlar ve proaktif pazar yöneliminin özünün firmayı mevcut deneyiminin ötesine taşıdığını ve yeni pazar bilgisi yoluyla denemeyi teşvik ettiğini eklemişlerdir. Benzer şekilde, Lilien vd. (2002)'ye göre, proaktif pazar odaklı firma, lider kullanıcılarla yakın çalışır ve pazar deneylerine güçlü bir şekilde katılır, firmaların her iki faaliyeti de yenilik ve gelişme ile bağlantılıdır. Anderson vd., (2015) proaktif firmaların yaratıcı olmadığını, yaratıcı eylemlerinin onları pazar lideri olmaya ve pazardaki rakiplerini ön plana çıkarmaya yönlendirdiğini belirtmiştir. Ancak Lechner ve Gudmundsson'un (2012) çalışması, firmaların proaktifliği ve farklılaştırma stratejisi arasındaki tutarsızlıkları bulmuştur.

#### 4. SONUÇ

İş dünyasında farklılaştırmanın uygulanması açısından sağlam bir plana ihtiyaç duyulmaktadır. Fiyattan ürüne, imajdan dağıtım, iş dünyasında keşfedilecek birçok farklılaştırma stratejisi söz konusudur. Birçok işletme için ilk strateji fiyat farklılaştırmasıdır. Fiyata göre farklılaşmada, potansiyel müşteriler segmentlere ayrılmakta ve her segmente farklı bir fiyat noktasında farklılaştırılmış bir ürün/hizmet sunarak potansiyel gelir en üst düzeye çıkarılmaktadır. İş dünyasında bir başka popüler farklılaştırma stratejisi, ürün farklılaştırmasıdır. Ürün

farklılaştırması özellikler, performans, estetik vb. gibi rakiplere kıyasla ürünlerde hem gerçek hem de algılanan farklılıklar etrafında döndüğü için bu en görünür farklılaşma biçimidir. Bununla birlikte, ürün farklılaştırması kısa ömürlü olma eğilimindedir ve yeniliklerin kopyalanması nispeten kolaydır. İş dünyasında farklılaştırma uygulaması, dağıtım kanallarına da uzanabilmektedir. Daha fazla kapsam veya kullanılabilirlik sunan işletme, sektördeki müşteriler için fiili tercih haline gelebilmektedir.

Farklılaştırma stratejisinin girişimcilik açısından önemi açıktır. Farklılaştırma stratejisi şirketlerin rekabetçi endüstriler veya pazarlarda benzersiz nişler geliştirmelerine yardımcı olmakta ve böylece gelişmelerini sağlamaktadır. İş dünyasında farklılaştırma stratejisi, fiyat savaşına girmeden diğer firmalara karşı rekabet etmenin yolunu açmaktadır. Ayrıca, farklılaşma stratejisi, ürünleri rakiplerden ayıracak pek bir şey olmasa bile benzersiz bir ürün/hizmet oluşturulmasına yardımcı olmaktadır. Örneğin, büyük ölçüde aynı ürünü üreten şişelenmiş su şirketleri, daha düşük bir fiyat noktasına odaklanmak, işletmenin aileye ait olduğu gerçeğinin reklamını yapmak gibi farklılaştırma stratejileri yoluyla kendilerini rekabetten ayırabilmekte ve marka sadakati geliştirebilmektedir. İşletmelerde farklılaşmanın önemi müşteri sadakatini de içine almaktadır. Ürünlerin algılanan kalitesini artırarak, işletmenin gelişmesine yardımcı olabilecek daha yüksek bir fiyat noktasında bile marka sadakatini artırmak mümkündür.

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## Financing of Healthcare in Bulgaria

Detelina Smilkova<sup>1</sup>

<sup>1</sup>University of agribusiness and rural development, Plovdiv, Bulgaria

**Abstract:** The paper presents the main challenges in financing the healthcare system in Bulgaria focusing on the key characteristics of the funding sources. Conclusions provide general provisions on the development and financing of healthcare systems in modern governmental policies in different countries accenting on the priority of accessibility to all the citizens and quality assurance of services.

**Keywords:** healthcare, management, financing.

### Introduction

Healthcare is a complex system that includes activities for management, financing and provision of health services, aimed at improving the health status of the country's population (Dimitrov, 2020). The successful functioning of the health care system is determined to a decisive extent by its financing and the way of spending the provided financial resources. Health care financing is a set of ways of raising, distributing and spending money necessary for the reproduction of activities related to strengthening, protecting and improving health. Priority is given to issues of fair distribution and efficiency of spending financial resources (Spasov & Dimitrov, 2021).

Healthcare is one of the most sophisticated systems in the socio-cultural sphere (Dimitrov *et al.*, 2018). The complexity stems from the many forms of health structures, funding and relationships - market and non-market, regulations and deregulations, economic and administrative, ethical and unethical (Krahtova-Nasteva, 2021).

Managing the revenue and expenditure of treatment is a challenge for every country in the world. The main indicator of the state policy on the maintenance of its own population is the readiness to allocate more funds for health care. Even if a country is not very rich, the way it finances health care shows how much it is a priority in the distribution of available funds.

### Sources of funding in healthcare in Bulgaria

The following sources of funding for the health sector are known: contributions to the social health insurance system; budget financing through tax revenues, contributions to private health insurance funds; compulsory health insurance contributions, voluntary health insurance contributions, direct payments from households, donations from companies and charities, etc.

Contributions to the social health insurance system are the main source of funding for the health sector in a number of countries, including Bulgaria. In social and health insurance there is a contract between the insurer and the client, in which, when using medical care, the insurer pays a certain amount to the insured person or reimburses in full or in part the costs incurred for the respective health service provided. Health insurance model is a form of management and financing of health expenditures through health insurance contributions based on the pooling of financial and health risks. Health insurance contributions are made by employers, employees and the state in one or more private or public health insurance funds. The health contributions provide universal coverage of the population with health services. In some countries, including Bulgaria, health care financing is complemented by voluntary health insurance, which in recent years has been transformed into health insurance covering various types of health risks.

Budget financing through tax revenues is another important source of funding for the health care system. It is implemented in the form of state and municipal subsidies, including through extra-budgetary accounts and funds. The main disadvantages of this source of funding are the inequality in the distribution of resources between individual medical institutions and the inefficiency of the costs they incur. The tax-based model for financing the health care system is characterized by a predominant share of budget financing. It is typical for him that over 50% of health care from health care costs are financed through tax revenues. Access to health services is open to the entire population of the country in which such a model is applied, and tax revenues (central and / or local) are directed for financing the health sector. Budget financing is provided in the form of state and municipal subsidies, including through extra-budgetary accounts and funds.



Direct payments to households, donations from companies, donations from charities and voluntary prepayments an extremely important role in financing the health sector in our country.

Choosing the right model for healthcare financing plays a key role in ensuring more efficient use of available resources and achieving higher quality of medical services. In recent years, is gradually a model based on health insurance revenues has almost been replaced by a model of mixed public-private funding. Public funding is provided through revenues from health insurance contributions and through budget funding. The health insurance contributions are accrued on the insurance income of the insured persons.

There are several obvious sources of revenue growth for the health care system. The first is to reduce the number of uninsured.

The second source is the increase of the insurance base, as the health contributions are a percentage of the gross salaries. In this regard, in recent years the state has taken a number of measures aimed at reducing the gray sector and bringing to light all incomes of the population.

A third source is the use of European funding to make Bulgaria's membership in the European Union more tangible in the health sector. According to available data, healthcare lags far behind in the use of European funds.

## Conclusion

Healthcare, as a branch of state activity, aims to organize and provide affordable medical care for the population. Healthcare must be accessible to all citizens. This requires strict control of the financial resources provided to healthcare in order to ensure access to health care for all citizens.

Healthcare financing is a combination of instruments - financial, managerial, social, political and others. The main issue facing the choice of funding model in a country is the ability to provide the necessary financial resources to cover the costs of increasing demand for medical services. In this sense, funding models must provide sufficient and stable income at all levels of the health system.

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## Effects Of The Basket Of Goods In The Zgerdhesh Village In Albania

Erjola Shehu<sup>1</sup>

Etleva Muça<sup>2</sup>

<sup>1</sup>MSc. Agricultural University of Tirana, Faculty of the Economy and Agribusiness ececa@ubt.edu.al

<sup>2</sup>Prof.As.Dr. Agricultural University of Tirana, Faculty of the Economy and Agribusiness evadashi@ubt.edu.al

**Abstract:** The basket of territorial goods and services approach has been gaining influence as a guide to research on sustainable territorial development. The objective of this article is to discuss the role of social actors – public, private or those related to associations – determines the unfolding of development projects that deviate from conventional or purely economic initiatives. The analysis is performed the Kruja region, Zgerdhesh village, part of the 100 villages program. The Integrated Rural Development Program targets villages with a potential for agritourism, socio-economic development, etc.

The methodology is based on the “basket” approach analyzes which give value to specific resources and assets of rural territories based on a system of governance constituted of public and private actors. This composition of factors results in the generation of a “territorial quality rent” that is appropriated by several productive segments and service providers in the territory. It is concluded that the use of this approach for social realities in the study area requires greater reflection on issues of social inclusion, which is not limited to raising the prices of products and services, systems of territorial governance that consider these aspects in the education of social actors on the art of sustainable territorial development.

**Keywords:** Territorial Governance. Specific Resources. Territorial Quality Rent

**Introduction :** Until the beginning of the 1970s, development studies largely ignored the importance of geographic space. After almost a quarter of a century, reflections that associate these notions gained relevance and the space-place of development, once merely conceived as a support to economic activities, was substituted by the concept of space-territory, which is charged with life, culture, and development potential (LACOUR, 1985).

In the mid-1990s, the territorial development perspective incorporated notions of multi-actor networks and inter-cooperation to better understand the reality of empirical experiences. It is in this context that Pecqueur (2001) and Mollard (2001) elaborated the “Basket of Territorial Goods and Services” (BTGS) approach. Faced with the crisis of intensive agricultural systems and new reconfigurations of rural spaces, this approach analyzes local actors who articulate market and non- market spaces to create a homogenous product supply, coherent with territorial characteristics, which value, among other aspects, local know-how, culture and natural environments. Within this context, the role of social actors – public, private or those related to associations – determines the unfolding of development projects that deviate from conventional or purely economic initiatives.

The Integrated Rural Development Program targets villages with a potential for agritourism, rural tourism, socio-economic development, cultural heritage, etc.

The program has three main objectives. The first focuses on public infrastructure amelioration. This will be achieved through support for the improvement of the road, public, environmental, and community infrastructure, revitalization of public spaces, monuments of cultural heritage, multifunctional community centers, etc.

The second objective consists of economic development through economic activity diversification by improving tourism potential in rural areas, agritourism and rural tourism, support for local products and services, local fairs and festivals, marketing and promotion of the areas and its products, and creating more job opportunities. The third objective focuses on the development of the human and social capital by supporting rural networks, civil society, vocational training women and youth, cultural heritage, traditions, and rural living.

**Methodology :** This work is presented to you based on the theoretical analysis.

### 1.1 The importance of the study

The purpose of this study is to increase the awareness of meaning : basket of good and focusing in Zgërdhesh, Krujë.

- a) To present the importance of basket of goods.
- b) To present through 100 villages program, Kruja & Zgërdhesh Village.

## 1.2 Purpose and Objectives

My goal is to highlight the importance and positive impact that this program gave to Zgërdhesh.

The objectives of this study are:

- Reveal theories and the main researchers of “basket of goods”
- Get familiar with 100 villages program
- Analyze Kruja & Zgërdhesh village as part of it.

## 1.3 Population and sampling

The population included in the study was different age.

The assessment tools used were the questionnaires.

The total number of questionnaires was 104 people. Selected sampling belongs to a random sample where the only criterion was, have they ever visited Kruja.

## 1.4 Ethics of the study

This study was carried out in full support of ethical norms and the preservation of the anonymity of participants in this study. Permission was also obtained from them and participating individuals by clearly explaining that the questionnaires and the interviews will be used only for studying purpose.

## 1.5 Limitations of the study

- The small number of participants in this study does not allow us to make generalizations.
- Participants may not have been shown open in answering the questions.
- We did not include other variables that influence the delivery of answers.

**2. The basket of goods :** The quality of the territory expressed in tangibles and not tangibles products and services, constitutes the main device of the emergence of the basket of goods model.

From the acquisition of a product linked to a territory, the consumer discovers the specificity of the other products, resulting from the local production and determines its utility not on this single product, but on all the products and services offered (Mollard, 2001).

The central component of the BTGS approach consists in identifying factors to be explored, organized or revealed within a territory, with local actors as protagonists of this process (PECQUEUR, 2005). This approach derives from discussions of notions of territorial development as a counterpoint to the hegemonic process of economic globalization. It involves conceiving geographic spaces as places for creating specific resources, distinct from those used generically or dislocated, or as simple raw materials (COLLETIS; PECQUEUR, 2005). In this way, territories are socially constructed entities, resulting from particular processes of disputes, alliances, and the coordination between distinct categories of social actors who take on the identification, creation and valuing of latent resources, which can result in specific territorial assets.

Territorial assets are “active” whereas resources are elements to be explored, organized or revealed. Resources, contrary to assets, constitute a reserve, a potential that can be turned into assets if social, economic, political and cultural conditions are favorable. According to Perron and Janin (2014), every material or immaterial object (know-how, cultural heritage, etc.), whose value is recognized locally, and which can thus be collectively or individually valued, can be considered a resource.

In other words, when resources become active, through interventions by social actors, it changes their nature. In the potentiality stage, all can possibly become a resource, but not everything mechanically becomes an asset. The transition from resource to asset, be it generic or specific, corresponds to a metamorphosis, which represents a structural change in characteristics. The transformation of resources into specific assets is inseparable from the social construction of the territory, which implies the joint and cognitive learning of the characteristics of the territory. The conditions of this metamorphosis do not lie within the object/resource, but rather in the strategies of the actors in the production process (COLLETIS; PECQUEUR, 2005). It should be noted that the definition of resources extends beyond economic products and also includes cultural goods and services,

tourist attractions and natural heritage, and is therefore transversal to all types of territorial activities (PERRON; JANIN, 2014).

Both resources and assets can be generic or specific. Generic ones are entirely transferable, independent of the suitability of the place where it is produced and the actors who make them. Their value is based on the single parameter of its monetary market value. Yet, specific assets or resources, on the other hand, are difficult to transfer since they are the result of processes of negotiation between social actors with different competencies and perceptions (PECQUEUR, 2005). Almost always associated with valuing local markets or short supply chains, the latter have cognitive attributes that bind them to a particular territory. Thus, the transfer to another territory modifies their primordial characteristics.

The basket of goods model acts like a stimulating and accessible development goal - but also unfinished - for territories that have emerged with the new territorial reform.

However, the process of territorialisation is a social construction never acquired or spontaneous, which is largely depending by the capacity of the local actors to activate this process.

**100 hundred villages program** :The '100 Villages' program started in July 2018 with the creation of the "100 Villages Academy", which consisted of 22 groups of professors and students from 6 universities in the country, who in cooperation with the line ministries wrote concrete proposals for every village.

The project aimed to improve public infrastructure, economic development through diversification of economic activities, such as human capital development. But after almost three years, only a quarter of the villages have received investment from the project.

Most of the investments are concentrated in the South of the country, in the coastal villages and are mainly related to the revitalization of squares and facades.

Establishment of the Albanian agritourism network

The program will aim to support about 27 new agritourism enterprises and 150 inns. The support will also aim at the improvement of farms and livestock stalls for the purposes of agritourism and rural tourism.

Traditional product incubator network

The program will aim to create a network of "Traditional Product Incubators", which will be spaces that provide ready-made infrastructure for the entire product value chain, starting from production / storage facilities and equipment, packaging lines and marketing, support for standardization and certification, as well as space for selling products.

Network of brands / shops of Albanian and traditional products

Traditional Albanian products have shown that they have difficulty penetrating markets and retail stores, for the reasons explained in sub-item ii). In support of the last "chain" of the value chain (sales), the program will aim to create a network of brands / stores that will specialize in the sale of Albanian products, especially traditional products.

It will be aimed at this network to have its own name (brand / brand) that distinguishes it from other networks and based on a special marketing and franchise strategy, will be able to create a critical mass of stores that will make possible increasing the percentage of sales of Albanian / traditional products. The financial support for the establishment of this network will be foreseen in the framework of the program of 100 villages. "

The idea is not only to upgrade and improve these 100 villages and not to invest everything in these 100 villages, since there are thousands of other villages across Albania, but develop functioning models that would show the path towards development and expand it elsewhere all over the country. If we are to build successful economic development models for the households in the countryside thanks to this program I am pretty confident that local residents won't wait us to encourage and support them, but they will be motivated to keep on going along this path.

In autumn we will launch the EU-funded financial support with a funding of 11 million euros earmarked for the households and individuals planning to invest in agritourism projects. Each reliable application will receive grant money. However, the main risk is that the funding may not be disbursed because no reliable applications and projects have been submitted. Therefore, your cooperation with the central government and all stakeholders involved in this framework is indispensable, because it is understandable you do not have all the human

resources capable of doing this from the beginning to the end but for this reason, this program is also in order to help you in this regard.

A closer cooperation is also needed in the concerted efforts to address the issue of urban waste in the countryside. This is a serious problem that has been already tackled in certain hotspots across Albania, but there are still many others to be addressed and removed from the map.

In order to spare you the trouble of loafing around and the chaos of communication and information you will have a single address, that of the National Coordinator and then all aforementioned structures at the Ministry of Agriculture and other relevant ministries, and the Albanian Development Fund, the Agricultural and Rural Development Agency and the Territory Planning Agency in particular will be all available to you.

**Zgërdhesh village:** Zgërdhesh village, part of the FushëKrujë Administrative Unit, lies on a hill south of the highway that connects Krujë with FushëKrujë. The most important monument of this village is the Castle of Albanopolis one of the most important historical evidence of the period of antiquity. Arrived in our days as a ruin, this Castle climbs the slope of a hill, characteristic of the early Illyrian civilizations. The castle of Albanopolis is located southwest of Kruja and occupies an area of 10 ha. Its early origin is documented by Claudius Ptolemy (90-160) in his work "Geography", where he writes about the Albanian people and mentions the toponym Albanopolis. Today, a 90-foot [90 m] wall fragment connecting the ruins of three towers is preserved from this ancient city. The city consists of three sieges; Acropolis, the earliest, the Middle Town and the Small Town. Two are the main monuments of the village, the Castle of Zgërdhesh and the Ruins of the Church on its Hill, both of which are evidence of different times in the history of the country. An important trace that constitutes the character of this place is the ancient road that leads to the castle of Kruja, a symbol of Ildha between two civilizations, the Illyrian and the Arberian. Along this already forgotten path are the tunnels of the military base of the socialist period, an architectural episode of modern times that adorns the history of this country of ancient origin. This series of concrete cavities that penetrate the rock, seems as if with its shadow it guards the traveler along the old road to Kruja. This place does not lack natural ornaments such as Lake Bacungu and Kodra e Zgërdheshit. The area around the hill of Zgërdhesh is crossed by the streams of Cinari and Lana. The strategic position of the castle inherits a rare panoramic view. Zgërdhesh Hill with a height of 180 above sea level overlooks the Kruja Mountain in the north with its castle, Gramti Mountain, Krasta hills and in the west the whole plain part of FushëKrujë with a view that ends up to the Ishm hills.

Zgërdheshi has a hilly nature which offers panoramic views of the whole area. Kodra e Zgërdheshit, which has an altitude of 180 above sea level, offers views where in the north is the Mountain of Kruja and Gamti, the Castle of Kruja, the hills of Krasta, in the west the whole plain of FushëKruja and the view to the hills of Ishmit. The hill is surrounded by fertile plains and gentle hills that serve as pastures for livestock. This area was once near the roads that described the province from the coast to the depths of the country. On this hill lie the ruins of the Castle of Albanopolis. The village over the years is known for several different types of agricultural products it produces. The main products of the village are: dates, grapes, corn, figs, etc.

The village of Zgërdhesh and the surrounding area is described by the stream of Cinari and Lana. In the plain part of Halill village near Zgërdhen is the artificial lake of Bacung. This lake with a considerable area is used for irrigation by the inhabitants of Halil village, but also for fish breeding.

Zgërdhesh's greatest potential in its economic development is tourism. Despite this, this sector has not had a very large development for various reasons such as lack of population, lack of investments in road and tourist infrastructure, lack of maintenance of tourist assets, lack of promotion are some of the reasons.

The Old Bazaar and the Castle of Kruja, is 7 km from the Castle of Zgërdhesh and this shows how big is the gap of tourist development of these tourist potentials. There are no information points in the village, hotels that welcome tourists. Despite these facts, Zgërdheshi has a lot of potential with its tourist assets. The Municipality of Kruja has set aside several days a year with various local holidays in order to promote the area and bring tourists. In addition to cultural potentials such as castles and churches, which with some investment in restoration and maintenance can be turned into genuine archaeological sites, natural potentials such as Kodra e Zgërdheshit and Lake Bacung can be developed by creating activities and water sports. Creating tourist packages, natural and cultural itineraries, sports organizations and local holidays is a good promotion for the area.

Zgërdhesh Castle is a testimony to the history and antiquity of this village. The village of Zgërdhesh is thought to have been the Albanopolis mentioned by Ptolemy in the 2nd century AD. From here it is thought that today's name for Albania "Albania" is inherited. The town of Zgërdhesh is located near the town of Kruja, at the destination of the meeting of the Western Lowlands with Skanderbeg Mountain. From this ancient city is

preserved a part of 90 meters of stone wall, where three towers are placed, in a city divided into three parts: the Acropolis, the Middle City and the Small City. The earliest construction is thought to be the Acropolis, 4th century BC with very little worked stone blocks, which coincides with the Iron Age. The second period of the III century BC, is evidenced by the surrounding wall in the western part, with a fortified system of the city with walls a thickness of 2.70 m with square blocks and flat sides. At the end of the 3rd Century BC, we have the third period with square blocks, blown blocks and surrounded on the side with a strip of 7-8 cm. The fourth period of the city coincides with the complete decline, as a result of the Illyrian-Roman wars. There are walls with massive square blocks, thickly worked, sometimes reused and with bad connections between them.

**Research Results :** The analysis of the response to the students' questionnaire is based on the operational research. Results of the questions are presented as follows.

The total number of questionnaires for both groups was 115 people.

#### **Questionnaire results :**

- 99.1% of respondents visited the city of Kruja, from 114 total.
- The maintenance of the city was rated 44.2% , 5 and 2.7%, 1.
- The motive of visit has been for cultural tourism.
- 78.6% are convinced for the authenticity of products sold in the market
- 59% of respondents are aware of the program "100 villages"
- 57.3% think that the program has given proper development to these villages
- 57.1 % have heard of the village of Zgërdhesh
- 75.5 % have not visited this village
- 60.6% think that the inclusion of this village in the municipality of Kruja in the program "100 villages" has not had an impact of the development of tourism in Kruja

#### **Conclusions:**

- In this article we analyze the BTGS approach with two main purposes: to present it as a guiding approach for research projects on territorial development in Kruja and to identify elements of its original formulation that need to be adapted to the Kruja socioeconomic reality.
- In particular for the Municipality of Kruja it is proposed to use the intensity of conditional construction, to provide in exchange for extra built-up area, land, direct infrastructure, or public investments of various types: social housing, green spaces, social and health facilities , roads and other technical infrastructure, etc.
- Kruja, this place named as the "capital" of history and one of the most visited places in Albania has many shortcomings.
- Zgërdheshi, this small village so important for the history of Albania, is left in a miserable condition even after the inclusion in the program 100 villages.
- Marketing for the Zgërdhesh area (its inclusion in the 100 villages program is not enough)

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## Team Management in Health Organization

Georgi Kesov<sup>1</sup>

<sup>1</sup>University of agribusiness and rural development, Plovdiv, Bulgaria

**Abstract:** The paper presents the basics of team management in health organizations through the perspective of modern trends in health care management and the significance of communications. Main factors influencing teams' formation and general characteristics of teams in health organizations are considered focusing on roles of team members and managers/leaders. Conclusions underline the necessary prerequisites for successful team management.

**Keywords:** health, team, management, motivation, communication.

### Introduction

Forming a team is the first step in turning a workgroup into an effective form of personnel management, and a team is better as better its group manager is (Aleksiev, 2011; Aleksiev, 2012a, b). Even before the work group is created, the goal of becoming a team must be clearly defined. From the health organization point of view, the team is a factor for strategic development, as it influences the individual potential and achieves a high degree of integration and coordination of resources (Georgiev, 2016). On the one hand, the impact on personality by changing the environment is more effective, and on the other hand, the collective motivation is achieved (Krahtova-Nasteva, 2021 a, b). Team management can be treated as a major factor for organizational efficiency, viability and high performance (Dimitrov & Petrov, 2018a).

### The basics of team management in health organizations

The essence of the health organization is in the selection and hierarchy of labor elements, in order distribution and coordination of the efforts for goals of the work team achieve (Dimitrov & Petrov, 2018b). Each team member actively takes part in the formation, organization and management of the labor process. One of the main tasks of every manager is to know the nature of the groups in the health organization he/she manages, in order to be able to combine the interests of each group individually and together with the goals of the organization (Dimitrov, 2020b).

When we look at the team, we need to approach it as something more than a working group with a common goal. The basis of teamwork is cooperation, the ability to work together with others (Dimitrov, 2020a). The main characteristics according to which the work of the team can be assessed as successful are:

- clear goals and accepted tasks;
- openness and confrontation;
- support and trust;
- cooperation and conflict;
- smooth running of the work;
- appropriate guidance;
- regular control;
- personal development;
- good relationships within the group.

Team members must be selected appropriately and carefully. The main thing here is not only professional competence, but also the ability to work as a team member and the possession of personal qualities such as the ability to listen to others, the ability to build trust, etc. (Dimitrov *et al.*, 2018b).

The roles performed by the team members are:

- Advisor roles - these are the people who provide information, planning, research, training, and other areas without which any task cannot be accomplished.
- Roles of the organizers - they deal with the main activities of the production and service process.



By expressing the relationship between the intentions of the group members, a coordinate system is obtained in which the team members must fill in all the positions. Here is the place of:

- Advisors - their main task is to gather information and resources.
- Creators - innovators - these are people who generate new ideas. They put a lot of work and effort into experimenting and developing new ways and approaches in the company's activities.
- Public relations - the team needs people who will keep in touch with the environment, will introduce new resources, will make contacts and will outline new paths for the company.
- Experimenters - these are the people who test how new ideas will work.
- Sometimes they develop prototypes of products, etc. indicating whether market researches are conducted, to check how the market innovation will be perceived.
- Organizers - these are the people who organize the performance of the planned work, regardless of the difficulties.
- Manufacturers - or people who successfully complete the work started (or product in this case).
- Controllers - inspectors - an important part of any good team. Control over the work is vital for the functioning of every team.
- Coordinators. All teams need coordinators to unite the efforts of others, regardless of their preferred roles. This is usually the team manager, but sometimes this role can be taken over by the informal leader(s).

The team, in most cases, is seen as something more than a working group with a common goal, ie as a group in which the contribution of the personality is accepted as something additional. The main thing in teamwork is cooperation, the ability to work with others. Team members must be carefully selected. The main thing here is not only professional competence, but also the possession of personal qualities for communication (Dimitrov *et al.*, 2018a).

The manager or owner should know that there is usually more than one leader in each group or team. This is a natural need of people who assert someone as their informal leader. Good labor relations are the key for the success of human resource management (Dimitrov & Irmov, 2018). Each of the participants in the working group answers the question: „Why am I here”. To answer this question, each team member needs to know:

- the individual elements of the strategy.
- the development of the group a part of this strategy is.
- the criteria by which the target results are measured.
- successful work consists of joint efforts.

In order to fulfill the tasks of the team, the abilities of its individual members must be combined. When working in a team, it is necessary for the team members to be motivated individually in the context of the cooperative work and the team to be motivated as a group (Krahtova-Nasteva, 2021a). The role of the leader and his/her skills for motivation / self-motivation and motivating others / are extremely important.

Factors influencing team motivation include factors influencing individual motivation of every team member (Dimitrov *et al.*, 2018). Other important factors for team motivation are:

- Appropriate combination of team roles.
- Physical environment. Organizing the workspace depending on the nature of the work task and individual work styles.
- Collective awards and gratitude to each for his personal contribution.
- Communication in the team - formal and informal between the team members.
- Team / collective / spirit. This motivating factor is not typical for every group, but characterizes every team.

When creating the team, its structure and the structure and the relations are developed. The unifying figure in the creation of the team is the manager - the person who has the talent to manage properly, the person who selects people, leads, motivates, inspires. He must to know all the answers and find the right solutions. The first skill a capable manager must have is to be able to select the most suitable people to work with. Once the leader

develops his/her working group, he/she has to turn it into a team. The three things to keep in mind are the task, the group and the individual personality.

The task of the leader is to unite the team by working for its improvement by maintaining the collective spirit. The main and most important tasks of the manager are:

- to clarify the goals of the team;
- to motivate his team to give high priority to these goals;
- to keep the team's attention focused on these goals.

## Conclusion

The development of the team is strongly influenced by internal and external factors - personal problems of the participants, change in team composition, additional goals, change in strategy, etc. These influences can cause serious crisis moments and "return" the team at an earlier stage of development. Different managerial and collective skills are needed to prevent each of these problems. Leadership of the team is related to several important skills of the leader: to know the situation; select the most appropriate management styles; to meet the needs of the task, the group and the individual needs of the participants in the group. Successful team management is related to gaining the active attitude and cooperation of the team, individual and team motivation of the agreed goals, appropriate use of skills, energy and talent of team members.

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## The Long-term Impact of Fertility Rate on Rural Population: The Case of Turkey

Prof. Dr. Jülide Yalçinkaya Koyuncu<sup>1</sup>

Doç. Dr. Yüksel Okşak<sup>2</sup>

<sup>1</sup> Bilecik Şeyh Edebali University, Faculty of Economics and Administrative Sciences, Department of Economics, Bilecik, Türkiye, julide.yalcinkaya@bilecik.edu.tr, ORCID: 0000-0001-7930-4901

<sup>2</sup> Bursa Uludağ University, İnegöl Faculty of Business, Department of International Trade and Business, İnegöl/Bursa, Türkiye, yukseloksak@uludag.edu.tr, ORCID: 0000-0001-8794-4597

**Abstract:** This study tries to find out if fertility rate has a long-run effect on rural population for the sample of Turkey covering years of 1960-2017. We performed Kwiatkowski-Phillips-Schmidt-Shin (KPSS) stationarity test to figure out integration order of variables of fertility rate and rural population. KPSS stationarity test results point out that variables of fertility rate and rural population are stationary in first differences thus they are integrated order one. By utilizing Akaike information criterion (AIC), ARDL(2,1) model out of 12 evaluated models was identified as the most convenient model in the sense of optimal lag length. ARDL boundary test was implemented to check co-integration relationship between variables of fertility rate and rural population. As indicated by ARDL boundary co-integration test, variables of fertility rate and rural population move together in the long-run and hence they are co-integrated. Finally long-run estimation result discloses that a one unit increase in fertility rate augments rural population by 5.25 unit and this finding is statistically significant.

**Key Words:** Fertility Rate, Rural Population, Unit root, Co-integration, Long-run Analysis.

**Özet:** Bu çalışma, 1960-2017 yıllarını kapsayan Türkiye örneği için doğurganlık oranının kırsal nüfus üzerinde uzun dönemli bir etkisinin olup olmadığını bulmaya çalışmaktadır. Doğurganlık oranı ve kırsal nüfus değişkenlerinin entegrasyon sırasını bulmak için Kwiatkowski-Phillips-Schmidt-Shin (KPSS) durağanlık testi yaptık. KPSS durağanlık testi sonuçları doğurganlık hızı ve kırsal nüfus değişkenlerinin birinci farklarında durağan olduklarından birinci derecede bütünleşik olduklarına işaret etmektedir. Akaike bilgi kriteri (AIC) kullanılarak değerlendirilen 12 modelden ARDL(2,1) modeli optimal gecikme uzunluğu açısından en uygun model olarak belirlenmiştir. Doğurganlık hızı değişkenleri ile kırsal nüfus arasındaki eş bütünleşme ilişkisini kontrol etmek için ARDL sınır testi uygulandı. ARDL sınır eş bütünleşme testinin gösterdiği gibi, doğurganlık oranı ve kırsal nüfus değişkenleri uzun vadede birlikte hareket eder ve dolayısıyla eş bütünleşirler. Son olarak uzun dönem tahmin sonucu doğurganlık hızındaki bir birimlik artışın kırsal nüfusu 5,25 birim artırdığını ortaya koymaktadır ve bu bulgu istatistiksel olarak anlamlıdır.

**Anahtar Kelimeler:** Doğurganlık Oranı, Kırsal Nüfus, Birim kök, Eşbütünleşme, Uzun Dönem Analizi.

### 1. INTRODUCTION

There has been a significant decline in total fertility rates around the world in recent years. In 2019, the global fertility rate was 2.5 births per woman. This rate has risen from 2.8 births per woman in 2000 (United Nations). In sub-Saharan Africa this decline was much slower. For example, the total fertility rate (TFR) in sub-Saharan Africa fell from 6.57 births per woman in 1950 to 4.62 births per woman in 2019. In Asia and Latin America, TFR declined sharply from 5.83 and 5.83 births per woman in 1950 to 2.15 births per woman in 2019 (O'Neill, 2021).

This is crucial given the alarming effects of uncontrolled rapid population growth on the well-being of nations. For example, although high population has some virtues; The increased workforce appears to have more negative consequences than positive ones. For example, with rapid population growth, there is pressure on social opportunities as well as unemployment, which has negative effects on the growth and development of low- and middle-income countries like Ghana. In South Africa, for example, rapid population growth and large increases in the school-age population are reportedly undermining efforts to improve the quality of education, and in Mozambique it is estimated that only 30% of the population has access to health care due to rapid population growth. In this sense, Turkey is positively differentiated from countries such as Ghana.

To offset the negative effects of high-speed population growth, low- and middle-income countries around the world are taking measures to contain uncontrolled rapid population growth. This includes the institution of policies and interventions. In 2015, the United Nations adopted the 2030 Agenda for Sustainable Development, which emphasizes universal access to all reliable and safe methods of family planning to help people decide responsibly and freely the number and number of children. Therefore, the international community has tried to expand the use of contraception, counseling, information dissemination and other family planning services as one of the means of controlling the uncontrolled rapid population growth (Bongaarts, 2020). Increased patronage of such services and programs has resulted in improvements in health outcomes, such as reductions

in maternal and infant mortality, unwanted and high-risk pregnancies, and improvements in economic and schooling outcomes, particularly for girls and women.

While fertility rates in most high-income countries are declining, programs and interventions do not seem to work in many Sub-Saharan African countries as the fertility rate is either decreasing or increasing at a steady, slower rate (Schoumaker, 2019:257). For example, in Ghana, the TFR is reported to have fluctuated for more than 2 years. Although many government policies were introduced such as 2004 National Population Policy, Ghana Population and AIDS project (1996–2000), 2002 Free Compulsory Universal Basic Education (FCUBE) Contraceptive Social Marketing project (1987–1990), Ghana Family Planning and Health Program (1990– 1996) and Free High School programs, TFR has not seen major declines, and the trend over the past few years remains unclear.

Studies have found some association between fertility and other variables such as educational background, unmet need for family planning and contraceptive use, and the 2019 World Fertility Policy document also showed that differences in fertility trends between countries were also associated with trends in national growth. Variables such as wealth, education expenditures and income inequalities may play critical roles in the TFR trend (Berrington and Pattaro, 2014:10).

Our study tries to find out whether the fertility rate has a long-term effect on the rural population with the data of 1960-2017 for Turkey. We performed the Kwiatkowski-Phillips-Schmidt-Shin (KPSS) stationarity test to find the order of integration of the fertility rate and rural population variables. KPSS stationarity test results indicate that the fertility rate and rural population variables are stationary at the first difference, and therefore they are integrated in the first degree. Among the 12 models evaluated using Akaike information criterion (AIC), ARDL(2,1) model was determined as the most suitable model in terms of optimal lag length. ARDL bounds test was applied to control the cointegration relationship between fertility rate variables and rural population. As the ARDL boundary cointegration test shows, the fertility rate and rural population variables move together in the long run and thus cointegrate. Finally, the long-term estimation result reveals that a one-unit increase in the fertility rate increases the rural population by 5.25 units, and this finding is statistically significant.

## 2. LITERATURE

Zoeller et al. (2022: 1) in their study; Conducted a paleodemographic assessment of mortality and fertility rates during the second demographic transition in rural central Indiana. During the 19th and early 20th centuries, age-specific mortality rates among the adult male and female age classes decreased in this rural community, resulting in increased life expectancies associated with the second demographic transition. While mortality in early adulthood was common in the first period and decreased thereafter, gender was not identified as a significant covariate. The proportion of young people in the three temporal samples did not show that fertility rates were higher than national averages for most of the 19th century and then fell for this community in the early 20th century. The results show temporal differences between the three periods, showing that over time, survival increased and mortality and fertility decreased. These findings confirm two key features of the second demographic transition, which is characterized by a shift from high fertility and mortality rates to low rates and a general easing of demographic pressures.

Agbaglo et al. (2022:1-2) in their study Trends in the total fertility rate in Ghana by different dimensions of inequality from 1993 to 2014 found that the total fertility rate was consistently highest among the poorest women. He concluded that the highest total fertility rate in all research years was among women without formal education. For example, in their 2014 study, they announced that while the total fertility rate was 5.98 in women without formal education, it was 3.40 in those with secondary school/above level. Women in rural areas reported a higher overall fertility rate compared to those in urban areas. Finally, he observed rural-urban disparity in TFR, where women in rural areas had a higher TFR compared to those in urban areas.

Catalao et al. (2020:1) They analyzed the mental health impact on the fertility rate and unmet family planning needs in rural Ethiopia. In this cohort of women with high fertility and low use of birth control pills in rural Ethiopia, CMD symptoms are associated with an increased unmet need for family planning. They concluded that they lacked models of care that promote the integration of mental and physical health in a family planning setting.

Kostina and Zaitseva (2019:120), in their study called Reproduction of human resources in urban and rural areas of Russia, examined the characteristics of the birth of first and subsequent children in urban and rural areas, as well as the influence of factors such as the per capita income of the population. Their results showed the

existence of diverse, sometimes contrasting, fertility trends of first and subsequent children among populations in urban and rural areas. Therefore, he came to the conclusion that the birth of the first child, both in the city and in the village, practically does not depend on the income level of the population. Concerning subsequent children, they observed the opposite trend. They concluded that in the city, with the increase in income, the total birth rate of second and subsequent children decreased, while they grew up in rural areas.

Miljkovic and Glazyrina (2015:961-962) investigated the effect of socio-economic policy on total fertility rate in Russia in their study. They concluded that the introduction of the Federal Law positively affected the total fertility rate in Russia. The policy impact is small and unlikely to induce the population to fully reproduce itself. Moreover; They show that the large impact of unemployment, both urban and rural, immigration and death rates on fertility rates, will have a greater positive effect of economic policies aimed at creating more jobs in Russia by increasing and decreasing per capita income.

## 2. DATA AND METODOLOGY

In this study we analyze the long-run impact of fertility rate on rural population for the sample of Turkey covering the periods of 1960-2017 by employing Auto Regressive Distributed Lag (ARDL) approach. It is anticipated to have a positive interaction between total fertility rate and rural population in Turkey. The variable of rural population (RURPOP) is percentage rate of rural population in total population and obtained from World Development Indicators (WDI) of the World Bank. Moreover the variable of fertility rate (FERTILITY) is total fertility rate in terms of births per woman and compiled from WDI of the World Bank.

ARDL bounds test was employed to carry out cointegration test between FERTILITY and RURPOP variables. Therefore the following model is estimated:

$$\Delta RURPOP_t = \beta_0 + \sum_{i=1}^p \delta_i \Delta RURPOP_{t-i} + \sum_{i=0}^q \phi_i \Delta FERTILITY_{t-i} + \gamma_0 RURPOP_{t-1} + \gamma_1 FERTILITY_{t-1} + \varepsilon_t \quad (1)$$

In the equation above, and notations represent long run coefficients; and notations stand for short run coefficients; notation shows first degree difference operator; depicts constant term of the regression model, and notation is white noise error term of the regression model.

The null and alternative hypotheses in ARDL bounds test is as follows respectively: (i.e., absence of co-integrating association between FERTILITY and RURPOP variables) and (i.e., existence of co-integrating association between FERTILITY and RURPOP variables). If F-statistic value gathered from ARDL bounds test is bigger than the upper bound at a particular significance level then it is concluded that alternative hypothesis is accepted. On the other hand, if F-statistic value obtained from ARDL bounds test is smaller than the lower bound at a particular significance level then it is concluded that null hypothesis is accepted. Lastly any F-statistic value lies inside of the lower and upper bounds points out indecisive region.

Short run and long run coefficients are obtained by estimating the following error correction model:

$$RURPOP_t = \beta_0 + \sum_{i=1}^p \delta_i \Delta RURPOP_{t-i} + \sum_{i=0}^q \phi_i \Delta FERTILITY_{t-i} + \eta ECM_{t-1} + \varepsilon_t \quad (2)$$

In the equation above, and notations show the dynamic coefficients; notation is error correction term; notation stands for the speed of adjustment at which the model return back to long run balance after a shock occurred in short term. The speed of adjustment term is expected to have a negative and statistically significant sign.

## 3. EMPIRICAL RESULTS

We firstly implemented Kwiatkowski-Phillips-Schmidt-Shin (KPSS) stationarity test for two models (i.e., Constant and Constant&Linear Trend) to find out integration order of fertility rate and rural population variables. Table 1 displays the KPSS stationarity test findings for RURPOP variable whereas Table 2 displays the KPSS stationarity test findings for FERTILITY variable. The results given in Table 1 show that RURPOP variable is stationary at level for model of Constant&Linear Trend and RURPOP variable is stationary at first difference for model of Constant at %1 significance level.

Table 1: KPSS Stationarity Test Results for RURPOP Variable

Null Hypothesis: RURPOP is stationary		
Exogenous: Constant		
Bandwidth: 6 (Newey-West automatic) using Bartlett kernel		
		LM-Stat.
Kwiatkowski-Phillips-Schmidt-Shin test statistic		
Asymptotic critical values:		
	1% level	0.739000
	5% level	0.463000
	10% level	0.347000
Null Hypothesis: $\Delta$ RURPOP is stationary		
Exogenous: Constant		
Bandwidth: 5 (Newey-West automatic) using Bartlett kernel		
		LM-Stat.
Kwiatkowski-Phillips-Schmidt-Shin test statistic		
Asymptotic critical values:		
	1% level	0.739000
	5% level	0.463000
	10% level	0.347000
Null Hypothesis: RURPOP is stationary		
Exogenous: Constant, Linear Trend		
Bandwidth: 6 (Newey-West automatic) using Bartlett kernel		
		LM-Stat.
Kwiatkowski-Phillips-Schmidt-Shin test statistic		
Asymptotic critical values:		
	1% level	0.216000
	5% level	0.146000
	10% level	0.119000

As seen from Table 2, FERTILITY variable is stationary at first difference for two models of Constant and Constant&Linear Trend at %1 significance level.

Table 2: KPSS Stationarity Test Results for FERTILITY Variable

Null Hypothesis: FERTILITY is stationary		
Exogenous: Constant		
Bandwidth: 6 (Newey-West automatic) using Bartlett kernel		
		LM-Stat.
Kwiatkowski-Phillips-Schmidt-Shin test statistic		
Asymptotic critical values:		
	1% level	0.739000
	5% level	0.463000
	10% level	0.347000
Null Hypothesis: $\Delta$ FERTILITY is stationary		
Exogenous: Constant		
Bandwidth: 6 (Newey-West automatic) using Bartlett kernel		
		LM-Stat.
Kwiatkowski-Phillips-Schmidt-Shin test statistic		
Asymptotic critical values:		
	1% level	0.739000
	5% level	0.463000

10% level 0.347000

Null Hypothesis: FERTILITY is stationary  
 Exogenous: Constant, Linear Trend  
 Bandwidth: 6 (Newey-West automatic) using Bartlett kernel

	LM-Stat.
Kwiatkowski-Phillips-Schmidt-Shin test statistic	0.220654
Asymptotic critical values:	
1% level	0.216000
5% level	0.146000
10% level	0.119000

Null Hypothesis: ΔFERTILITY is stationary  
 Exogenous: Constant, Linear Trend  
 Bandwidth: 6 (Newey-West automatic) using Bartlett kernel

	LM-Stat.
Kwiatkowski-Phillips-Schmidt-Shin test statistic	0.193317
Asymptotic critical values:	
1% level	0.216000
5% level	0.146000
10% level	0.119000

Stationarity test results given in Table 1 and 2 disclose that RURPOP and FERTILITY variables are integrated order one (i.e., I(1)). Since RURPOP and FERTILITY variables meet the requirement of ARDL bounds test that series can be integrated at any order no more than one, we are able to use ARDL bounds test to test the co-integration relationship between RURPOP and FERTILITY variables.

We tried to identify the optimal leg lengths of the model by utilizing Akaike information criterion (AIC). Figure 1 and Table 3 display results for twelve different ARDL models. As seen from Figure 1 and Table 3, the model possessing the lowest AIC value is ARDL(2,1) model hence ARDL(2,1) model is the optimal model.

Figure 1: Optimal Model Selection

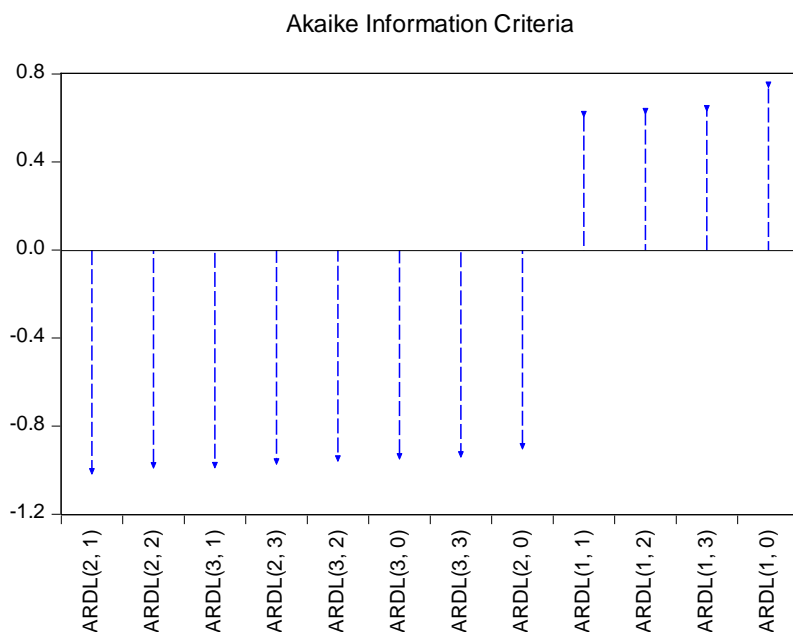




Table 3: Optimal Model Selection

Model	LogL	AIC*	BIC	HQ	Adj. R-sq	Specification
7	33.598594	<b>-1.003585</b>	-0.784603	-0.918903	0.999893	<b>ARDL(2, 1)</b>
6	33.846668	-0.976242	-0.720764	-0.877447	0.999891	ARDL(2, 2)
3	33.830038	-0.975638	-0.720159	-0.876842	0.999891	ARDL(3, 1)
5	34.359374	-0.958523	-0.666547	-0.845613	0.999891	ARDL(2, 3)
2	33.990696	-0.945116	-0.653140	-0.832207	0.999890	ARDL(3, 2)
4	31.721468	-0.935326	-0.716344	-0.850644	0.999885	ARDL(3, 0)
1	34.490020	-0.926910	-0.598437	-0.799887	0.999889	ARDL(3, 3)
8	29.474091	-0.889967	-0.707482	-0.819399	0.999878	ARDL(2, 0)
11	-12.017382	0.618814	0.801299	0.689382	0.999447	ARDL(1, 1)
10	-11.393288	0.632483	0.851465	0.717165	0.999449	ARDL(1, 2)
9	-10.751942	0.645525	0.901004	0.744321	0.999450	ARDL(1, 3)
12	-16.711208	0.753135	0.899123	0.809590	0.999357	ARDL(1, 0)

Table 4 below shows the results of cointegration test conducted via ARDL bounds test. Since F-statistic value of 10.61250 in Table 4 higher than the upper bound critical values at all significance level it can be concluded that FERTILITY and RURPOP variables are cointegrated.

Table 4: ARDL Bounds Test for Co-integration

F-Bounds Test		Null Hypothesis: No levels relationship		
Test Statistic	Value	Signif.	I(0)	I(1)
F-statistic	<b>10.61250</b>	10%	4.05	4.49
k	1	5%	4.68	5.15
		2.5%	5.3	5.83
		1%	6.1	6.73

Table 5 reports long-run coefficient estimations and the results point out that there fertility rate has a positive and statistically significant effect on rural population. More specifically, we can say that one unit jump in fertility rate induces to 5.24 units increase in rural population in Turkey.

Table 5: Long-run Estimations for ARDL (2,1) Model

Dependent Variable: RURPOP			
Variable	Coefficient	t-statistic	Prob.
FERTILITY	5.240314	9.581514	0.0000
TREND	-0.325238	-6.008300	0.0000

As seen from Table 6, fertility rate has a negative significant impact on rural population in the short run. In parallel to the anticipation, the ECM coefficient possesses a negative sign and is statistically significant. According to the diagnostic test findings, ARDL (2,1) model do not have any problem in terms of autocorrelation and heteroscedasticity at %5 significance level. However normality assumption was not satisfied. CUSUM test finding in Figure 2 implies that parameters of ARDL(2,1) model are stable.

Table 6: Error Correction Estimation for ARDL (2,1) Model

Dependent Variable: RURPOP			
	Coefficient	t-Statistic	Prob.
$\Delta$ RURPOP <sub>t-1</sub>	0.960367	16.21317	0.0000

$\Delta$ FERTILITY	-2.839797	-3.475415	0.0011
CONSTANT	4.063039	5.674776	0.0000
$ECM_{t-1}$	-0.121201	-5.754217	0.0000

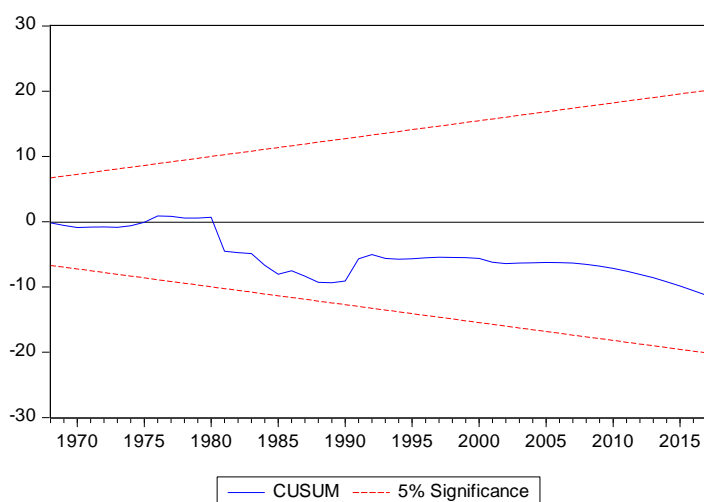
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$ECM = RURPOP - (5.2403 * FERTILTY - 0.3252 * TREND)$

Diagnostic Tests

Tests	Test Value (Prob.)
Breusch-Godfrey Serial Correlation LM Test	2.566233 (0.0873)
ARCH Heteroskedasticity Test	2.124908 (0.1299)
Jarque-Bera Test	141.8712 (0.0000)

Figure 2: CUSUM Test



**4. Conclusion**

In this study we examine the long run nexus between total fertility rate and rural population in Turkey for the period of 1960-2017 by employing ARDL method. Given the KPSS stationarity test results we identified that rural population and total fertility variables are not stationary at level but they are stationary at first difference (i.e., they are I(1)). Twelve different ARDL models evaluated by using AIC to find out optimal lag length for ARDL model and ARDL(2,1) model was identified as optimal model. For co-integration analysis we implemented ARDL bounds test and as to the result of ARDL bounds test, rural population and total fertility rate variables are co-integrated. Therefore they move together in the long term. Lastly according to the long-run estimation finding there exists a positive and statistically significant relationship between rural population and total fertility rate variables. This means that a one unit rise in total fertility rate leads to an increase in rural population by 5.24 units in Turkey.

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## Remuneration Management in Health Organization

Katrin Krahtova-Nasteva<sup>1</sup>

<sup>1</sup>University of agribusiness and rural development, Plovdiv, Bulgaria

**Abstract:** The paper presents the most topical questions in the remuneration management in modern health organizations, as entities involved, related activities, and remuneration policies and strategies. The main focus is put on remuneration policies leading to conclusions and some recommendations on choosing specific remuneration policies and strategies for effective management of health organization and motivation of staff.

**Keywords:** health, management, remuneration, human resources.

### Introduction

Labor and workforce are one of the main factors necessary for the implementation of any health organization activities (Dimitrov, 2020). As a result of the use of labor, costs such as salaries and social and health insurance for employees for health organizations arise. Increasing labor productivity is an important factor in improving the competitiveness of health organizations (Spasov & Dimitrov, 2021; Krahtova-Nasteva, 2021).

Remuneration management on the one hand is a part of the management of human resources, and on the other - part of the management of costs and financial results of the health organization. Remuneration management covers the activities of developing, implementing, maintaining and amending procedures and processes for determining and providing remuneration (Aleksiev, 2012a; Georgiev, 2012).

### Specifics of remuneration management in health organizations

Remuneration management and the remuneration system are related to all the main functions of human resources management (Aleksiev, 2012b; Georgiev, 2016).

Entities involved in remuneration management are:

Top managers of the health organization. They are engaged in the adoption and control of the implementation of remuneration strategies and policies, as well as to make decisions on remuneration management, taking into account the interests of stakeholders (owners, employees, etc.).

Senior executives perform the following major activities:

- preparation and implementation of plans (budgets) for staff remuneration;
- evaluation of job candidates and proposals for their remuneration;
- evaluation of the staff in determining and changing the basic salaries;
- determination of additional remuneration, including bonuses and additional benefits;
- determination of non-monetary remuneration.

The units responsible for human resources. The staff of these units participates in the development of strategies and policies that are approved by senior executives, as well as specific procedures, processes and practices for determining and providing remuneration.

The units responsible for finance. The staff of these units are involved in the development of strategies and policies, they also develop and are responsible for the implementation of procedures and processes related to the implementation of costs, including remuneration costs. These strategies, policies, processes and procedures are approved by senior management.

Some of the activities related to human resources management in health organizations, including the implementation of procedures and processes within the remuneration system, are outsourced, the so-called outsourcing. Common in practice cases of outsourcing are:

- studies of the market levels of staff remuneration;
- calculation of the remuneration due to the staff, which is assigned to accounting firms;

- analysis, evaluation and grouping of positions;
- conducting specialized research on the behavior of employees in relation to the amount of their remuneration and the manner of determining them;
- analysis and design of the remuneration management and the remuneration system;

Health organization remuneration policies can be classified into the following groups:

- remuneration policies;
- remuneration structure policies;
- policies on the conditions for providing remuneration;
- remuneration change policies;
- remuneration differentiation policies;
- remuneration transparency and management policies

Remuneration policies are a direct consequence of the long-term goals set out in the remuneration strategy. The following policies of this type may be indicated:

- policy oriented to the capabilities of the specific health organization. The level of remuneration is determined on the basis of the opportunities that the organization has for business development, as well as the financial results achieved by it.
- remuneration negotiation policy. The guiding principle in the development of this policy is the negotiation of the level of remuneration with each employee individually, or with the relevant trade unions in the organization, if any.

Remuneration structure policies. They are also related to the long-term goals in the field of staff remuneration in health organizations. The following policies of this type may be indicated:

- policies on the ratio of cash to non-cash remuneration. In these policies, the guiding principles can be, for example: cash rewards are a leading element; cash rewards are a supporting element; the most important are the provided opportunities and recognition (non-monetary remuneration); balancing cash with non-cash remuneration.
- policies on the ratio between fixed and variable remuneration. In these policies, the guiding principles can be, for example: remuneration is not guaranteed, but they are linked to specific achievements (in the case of so-called "piece-rate payment"); once agreed, remuneration is guaranteed; maintaining a certain ratio between permanent and guaranteed remuneration;
- wage-benefit policies. These policies most often apply the principle of respecting a predetermined ratio between wages and additional benefits.

Remuneration policy depend on the long-term goal set by the organization, ie. the strategy chosen, for example to link remuneration to the health organization's financial performance or the strategy for remuneration levels.

Remuneration change policies are related to the long-term goal set by the health organization in the process of remuneration management. The following principles can be specified: clear rules and pre-defined periods for establishing remuneration changes; Remuneration reviews are performed in the event of predetermined circumstances, such as changes in market levels in the relevant segments; the remuneration reviews are performed individually for each employee; Remuneration reviews may also be performed at the request of employees.

Remuneration differentiation policies. The following policies can be distinguished:

- policies for differentiation of remuneration of employees in different positions or for different groups of staff (managerial, executive, etc.). The following principles can be applied: significant differentiation is encouraged for all remuneration, and it is possible to fix a specific value; significant differentiation is encouraged only in relation to certain components of remuneration, such as salaries, and for other components differentiation must be small or non-existent (free food, contributions for supplementary pension and health insurance); different differentiation for different groups of staff - for some it is encouraged (for example, for managers) and for others it is limited (support staff);

- policies for the differentiation of the remuneration of employees in the same position. They can be formed on the basis of the following principles: no differentiation is allowed, ie. employees in a given position receive equal remuneration; differentiation is allowed on the basis of individual negotiation, which is related to the skills of employees to negotiate; experience in the organization; professional skills for which employees hold an official document (certificate or diploma obtained after training and / or examination); educational degree held; work performed and / or results achieved ("payment per piece"); performance appraisal.

Remuneration transparency policies and the management process. In most cases, these policies relate to access to remuneration information and decision-making. The following principles can be applied in the formulation of policies: remuneration is an official secret and everyone can have information only about their remuneration, and it is forbidden to disseminate this information; Remuneration is fully transparent and anyone can access information, and it is usually forbidden to disseminate it outside the organization; some information on the remuneration system and its management is available (collective bargaining agreement, job levels, ranges in which basic salaries change by job level), and some information is confidential (eg individual wages and salaries) for employees).

## Conclusion

When choosing specific remuneration policies, it is necessary for the health organization to take into account the specific features of its activities (internal factors such as investment intentions, innovation, provision of necessary resources - tangible fixed assets, material resources, labor and financial resources, competitiveness of products and services, as well as the organization as a whole, market positions, organizational culture, etc.), as well as with the external environment in which it operates (external factors such as the labor market, institutional regulations, key interest rates, inflation, stability or instability of the banking system, the state of the political system, etc.). Both remuneration strategies and policies are interlinked. Conflicts between different aspects of remuneration strategies and policies create conditions for the emergence of problems that can escalate into conflicts. Of great importance for the business practice are the questions to what extent the strategies and policies applied by the health organization, the remuneration system and the remuneration management are successful. Successful remuneration management in the long run requires continuous analysis and evaluation of the impact of remuneration in two interrelated aspects.

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## The Long-run Nexus between Fertility Rate and Age Dependency Ratio in Turkey

Cuneyt KOYUNCU<sup>1</sup>

Eda ÖZEN<sup>2</sup>

<sup>1</sup> Bilecik Şeyh Edebali Üniversitesi, İİBF, İktisat, cuneyt.koyuncu@bilecik.edu.tr, ORCID: 0000-0002-8638-2761

<sup>2</sup> Bilecik Şeyh Edebali Üniversitesi, İİBF, İktisat, eda.ozen@bilecik.edu.tr, ORCID: 0000-0002-0818-1040

**Abstract:** In this study we examine the long-term association between total fertility rate and age dependency ratio in Turkey for the period of 1960-2017. Firstly Augmented Dickey-Fuller (ADF) unit-root test was conducted to find out the stationarity status of two series. ADF test findings show that variable of age dependency ratio is integrated order one whereas variable of total fertility rate is integrated order zero. Secondly Akaike information criterion was used to determine the optimal ARDL model and ARDL(2,1) model was chosen out of 20 evaluated models. Thirdly we performed ARDL boundary test to see if variables of age dependency ratio and total fertility rate are co-integrated. ARDL boundary co-integration test reveals that two variables are co-integrated. Lastly according to the long-run estimation results, increases in total fertility rate have a positive statistically significant impact on age dependency ratio.

**Keywords:** Fertility Rate, Age Dependency Ratio, Co-integration, Unit root, ARDL Model, Turkey.

### 1. INTRODUCTION

Declining birth rates and increasing elderly dependency will be a serious problem for the economy in the coming years. For this reason, there are many different studies in the literature on birth rates and dependency rates. Some of these are summarized below. Muszyńska and Rau examined the old age dependency ratio in European countries in their study in 2012. In the study, it was suggested to divide into two as healthy and unhealthy old age dependency ratio. It has been investigated whether the labor supply meets this dependency ratio. As a result of the analyzes made, it was suggested that the labor supply remained weak and this problem could be solved somewhat with positive migration. Hu and Yang examine the effect of the elderly dependency ratio on the financial system in China in 2012. Drawing attention to the inadequacies related to pension funds, they concluded that the dependency ratio should be rearranged.

Sinnathurai, in his study in 2013, examined the relationship between growth, employment, poverty and dependency rates on developing economies. It has been concluded that employment affects the dependency ratio and the problems will disappear with a stable growth. Han and Cheng (2020) examined the relationship between consumption and productivity and the dependency ratio in their studies. It has been concluded that the difference in dependency adjusted for production and consumption will gradually increase.

Lee et al. (2014) examined decreasing birth rates and increasing dependency rates in their study. It has been stated that there may be difficulties in pension financing in the coming years. Is low fertility. Hui, Zheng and Hu (2012) examined increasing elderly dependency rates in their study on declining fertility rates. In the study, it was focused on the reasons for which fertility rates decreased.

### 2. DATA AND METHODOLOGY

This study investigates the long-run relationship between total fertility rate and age dependency ratio in Turkey by utilizing ARDL method for the period of 1960-2017. We expect to have a positive effect of total fertility rate on age dependency ratio in Turkey in the relevant period. The variable of age dependency ratio (DEPENDENCY) is measured as age dependency ratio in terms of percentage of working-age population and collected from World Development Indicators (WDI) of the World Bank. On the other hand the variable of fertility rate (FERTILITY) is measured as total fertility rate in terms of births per woman and gathered from WDI of the World Bank as well.

We conducted ARDL boundary test approach to identify cointegration association between the variables of FERTILITY and DEPENDENCY. For that purpose we constructed and estimated the following model:

$$\Delta \text{DEPENDENCY}_t = \beta_0 + \sum_{i=1}^p \delta_i \Delta \text{DEPENDENCY}_{t-i} + \sum_{i=0}^q \phi_i \Delta \text{FERTILITY}_{t-i} + \gamma_0 \text{DEPENDENCY}_{t-1} + \gamma_1 \text{FERTILITY}_{t-1} + \varepsilon_t \quad (1)$$

In Equation 1 above,  $\gamma_0$  and  $\gamma_1$  symbols represent the coefficients of long run;  $\delta_i$  and  $\phi_i$  symbols show the

coefficients of short run;  $\Delta$  is the symbol of first degree difference operator;  $\beta_0$  is intercept term of the model, and  $\varepsilon_t$  symbol stands for white noise error term of the model.

The hypotheses in cointegration test conducted based on ARDL boundary test is as follows:  $H_0 : \gamma_0 = \gamma_1 = 0$  (i.e., there is no cointegration relationship between FERTILITY and DEPENDENCY variables) against to the alternative hypothesis of  $H_1 : \gamma_0 \neq \gamma_1 \neq 0$  (i.e., there is cointegration relationship between FERTILITY and DEPENDENCY variables). Any F-statistic value gathered from ARDL boundary test exceeding the upper limit at a particular significance level leads to a conclusion that  $H_1$  hypothesis must be accepted. Any F-statistic value gathered from ARDL boundary test falling short of lower limit at a particular significance level induces to a conclusion that  $H_0$  hypothesis must be accepted. Meantime any F-statistic value remaining between the lower and upper limits indicates inconclusive zone.

Also we constructed and estimated the following error correction model to obtain coefficients of short run and long run:

$$DEPENDENCY_t = \beta_0 + \sum_{i=1}^p \delta_i \Delta DEPENDENCY_{t-i} + \sum_{i=0}^q \phi_i \Delta FERTILITY_{t-i} + \eta ECM_{t-1} + \varepsilon_t \quad (2)$$

In Equation 2 above,  $\delta_i$  and  $\phi_i$  symbols stand for the dynamic coefficients bringing back the model to the balance in the long run;  $ECM$  symbol shows error correction term;  $\eta$  symbol represents the speed of adjustment at which the model goes back to long run balance after a shock taken in place in short run. The speed of adjustment term must be negative and statistically significant.

### 3. EMPIRICAL RESULTS

Firstly Augmented Dickey-Fuller (ADF) unit-root test for three models (i.e., None, Constant, and Constant&Linear Trend) was conducted to find out the stationarity status of FERTILITY and DEPENDENCY variables. Table 1 reports the ADF unit-root test results for DEPENDENCY variable while Table 2 reports the ADF unit-root test results for FERTILITY variable. As seen from Table 1, DEPENDENCY variable is stationary at level for models of None and Constant&Linear Trend whereas DEPENDENCY variable is stationary at first difference for model of Constant at %10 significance level.

Table 1: ADF Unit Root Test Results for DEPENDENCY Variable

Null Hypothesis: DEPENDENCY has a unit root

**Exogenous:** None

Lag Length: 1 (Automatic - based on SIC, maxlag=10)

	t-Statistic	Prob.
Augmented Dickey-Fuller test statistic	-3.144718	0.0022
Test critical values:		
1% level	-2.606163	
5% level	-1.946654	
10% level	-1.613122	

Null Hypothesis: DEPENDENCY has a unit root

**Exogenous:** Constant

Lag Length: 1 (Automatic - based on SIC, maxlag=10)

	t-Statistic	Prob.
Augmented Dickey-Fuller test statistic	-1.891619	0.3339
Test critical values:		
1% level	-3.550396	
5% level	-2.913549	
10% level	-2.594521	

Null Hypothesis:  $\Delta$ DEPENDENCY has a unit root

**Exogenous:** Constant



Lag Length: 0 (Automatic - based on SIC, maxlag=10)

	t-Statistic	Prob.
Augmented Dickey-Fuller test statistic	-2.901918	0.0514
Test critical values:		
1% level	-3.550396	
5% level	-2.913549	
10% level	-2.594521	

Null Hypothesis: DEPENDENCY has a unit root

**Exogenous:** Constant, Linear Trend

Lag Length: 10 (Automatic - based on SIC, maxlag=10)

	t-Statistic	Prob.
Augmented Dickey-Fuller test statistic	-3.898464	0.0197
Test critical values:		
1% level	-4.161144	
5% level	-3.506374	
10% level	-3.183002	

As can be deduced from Table 2, FERTILITY variable is stationary at level for three models of None, Constant, and Constant&Linear Trend at least at %10 significance level.

Table 2: ADF Unit Root Test Results for FERTILITY Variable

Null Hypothesis: FERTILITY has a unit root

**Exogenous:** None

Lag Length: 7 (Automatic - based on SIC, maxlag=10)

	t-Statistic	Prob.
Augmented Dickey-Fuller test statistic	-2.858739	0.0051
Test critical values:		
1% level	-2.612033	
5% level	-1.947520	
10% level	-1.612650	

Null Hypothesis: FERTILITY has a unit root

**Exogenous:** Constant

Lag Length: 7 (Automatic - based on SIC, maxlag=10)

	t-Statistic	Prob.
Augmented Dickey-Fuller test statistic	-2.963961	0.0453
Test critical values:		
1% level	-3.568308	
5% level	-2.921175	
10% level	-2.598551	

Null Hypothesis: FERTILITY has a unit root

**Exogenous:** Constant, Linear Trend

Lag Length: 5 (Automatic - based on SIC, maxlag=10)

	t-Statistic	Prob.
Augmented Dickey-Fuller test statistic	-3.447607	0.0561
Test critical values:		
1% level	-4.144584	
5% level	-3.498692	
10% level	-3.178578	

The test findings from Table 1 and 2 imply that DEPENDENCY variable is integrated order one (i.e., I(1)) and FERTILITY variable is integrated order zero (i.e., I(0)). Since our variables satisfy the condition of ARDL boundary test that series can be integrated at any order rather than integration order two or more, ARDL boundary test method can be implemented to test the cointegration association between FERTILITY and DEPENDENCY variables.

Next, we used Akaike information criterion (AIC) to determine the optimal lag lengths of the model. Figure 1 displays twenty results for the models given in Equation 1. Table 3 shows the same results in tabulated form as well. Out of 20 evaluated models based on AIC, the best model is ARDL(2,1) model.

Figure 1: Optimal Lag Length Selection via AIC

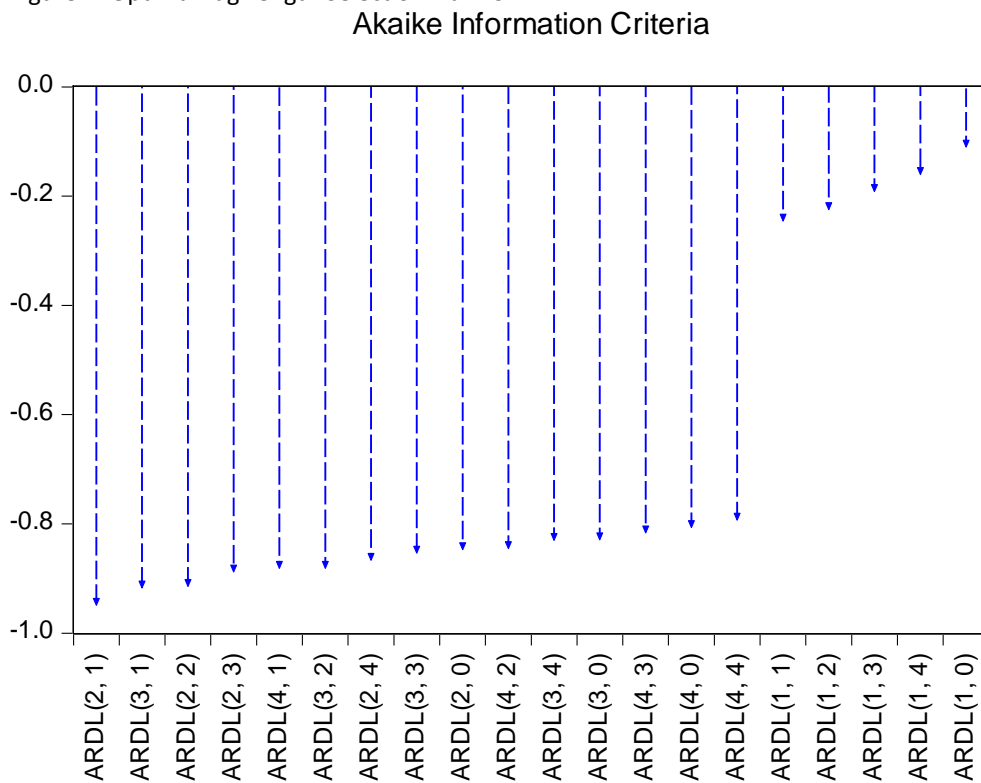


Table 3: Optimal Lag Length Selection via AIC

Model	LogL	AIC*	BIC	HQ	Adj. R-sq	Specification
14	31.434904	<b>-0.942033</b>	-0.721035	-0.856803	0.999878	ARDL(2, 1)
9	31.569293	-0.909974	-0.652143	-0.810538	0.999876	ARDL(3, 1)
13	31.496390	-0.907274	-0.649442	-0.807838	0.999875	ARDL(2, 2)
12	31.778398	-0.880681	-0.586017	-0.767041	0.999874	ARDL(2, 3)
4	31.606262	-0.874306	-0.579642	-0.760666	0.999873	ARDL(4, 1)
8	31.601939	-0.874146	-0.579482	-0.760505	0.999873	ARDL(3, 2)
11	32.210809	-0.859660	-0.528162	-0.731814	0.999873	ARDL(2, 4)
7	31.846045	-0.846150	-0.514652	-0.718304	0.999871	ARDL(3, 3)
15	27.681051	-0.840039	-0.655874	-0.769014	0.999862	ARDL(2, 0)
3	31.628655	-0.838098	-0.506601	-0.710253	0.999870	ARDL(4, 2)
6	32.224753	-0.823139	-0.454809	-0.681088	0.999870	ARDL(3, 4)
10	28.199521	-0.822204	-0.601206	-0.736974	0.999862	ARDL(3, 0)
2	31.854799	-0.809437	-0.441107	-0.667386	0.999868	ARDL(4, 3)
5	28.589452	-0.799609	-0.541778	-0.700174	0.999861	ARDL(4, 0)
1	32.225758	-0.786139	-0.380976	-0.629884	0.999867	ARDL(4, 4)
19	11.433200	-0.238267	-0.054101	-0.167241	0.999748	ARDL(1, 1)
18	11.873706	-0.217545	0.003454	-0.132314	0.999747	ARDL(1, 2)
17	11.971928	-0.184145	0.073686	-0.084710	0.999743	ARDL(1, 3)
16	12.136626	-0.153208	0.141456	-0.039568	0.999739	ARDL(1, 4)

20 6.779683 -0.102951 0.044381 -0.046131 0.999707 ARDL(1, 0)

Table 4 below reports the findings of ARDL bounds test of cointegration. Since F-statistic value of 8.891644 in Table 4 is beyond the upper bound critical values given by I(1) column at all significance level we can state that FERTILITY and DEPENDENCY variables are co-integrated and hence they move together in the long-run.

Table 4: ARDL Bounds Test

F-Bounds Test		Null Hypothesis: No levels relationship		
Test Statistic	Value	Signif.	I(0)	I(1)
F-statistic	<b>8.891644</b>	10%	4.05	4.49
k	1	5%	4.68	5.15
		2.5%	5.3	5.83
		1%	6.1	6.73

Estimated long-run coefficients are provided in Table 5 and as indicated by the result there is a positive and statistically significant relationship between FERTILITY and DEPENDENCY variables. Therefore it can be expressed that as fertility rate increases age dependency ratio goes up in Turkey in the long-run for the relevant period. In other words, one unit increase in fertility rate causes to 6.77 units rise in age dependency ratio.

Table 5: Long-run Coefficient Estimations for ARDL (2,1) Model

Dependent Variable: DEPENDENCY			
Variable	Coefficient	t-statistic	Prob.
FERTILITY	6.771404	8.627099	0.0000
TREND	-0.112660	-1.675475	0.1001

Table 6 shows that fertility rate has a negative significant impact on age dependency ratio. Moreover the ECM coefficient gets the expected negative sign and is statistically significant at one percent significance level. As to the diagnostic tests, ARDL (2,1) model do not contain any problem in terms of autocorrelation and normality but suffers from heteroscedasticity problem. Figure 2 displays graph of CUSUM test of parameter stability and as seen from graph there is no any problem in terms of parameter stability for ARDL(2,1) model.

Table 6: Error Correction Estimation Results for ARDL (2,1) Model

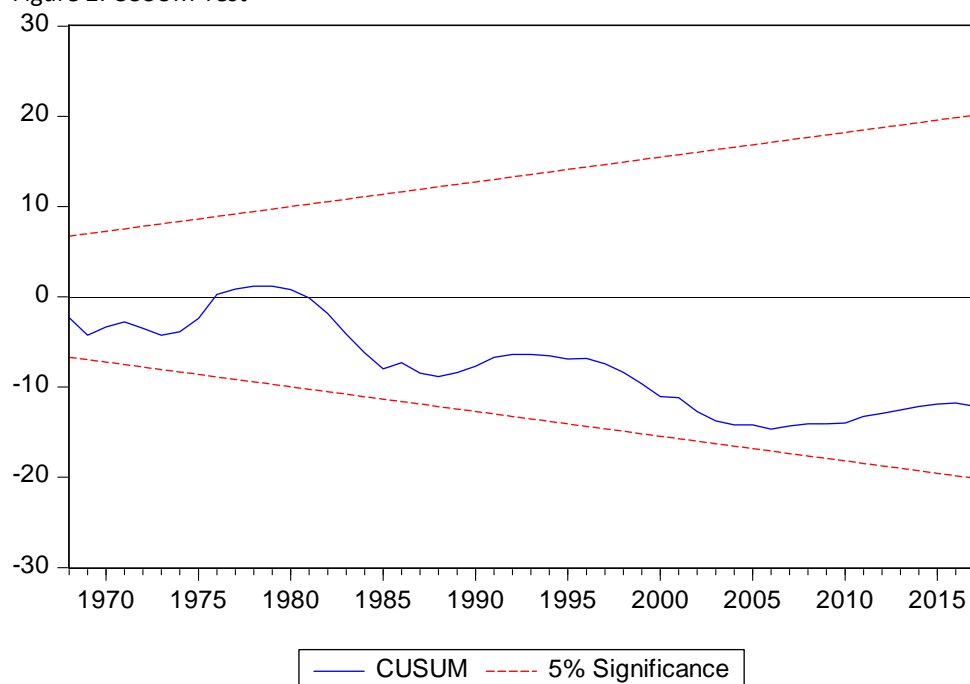
Dependent Variable: DEPENDENCY			
	Coefficient	t-Statistic	Prob.
$\Delta$ DEPENDENCY <sub>t-1</sub>	0.588434	9.492598	0.0000
$\Delta$ FERTILITY	-5.732269	-4.151169	0.0001
CONSTANT	4.635827	5.242830	0.0000
ECM <sub>t-1</sub>	-0.113358	-5.267061	0.0000

$$ECM = DEPENDENCY - (6.7714 * FERTILY - 0.1127 * TREND)$$

Diagnostic Tests

Tests	Test Value (Prob.)
Breusch-Godfrey Serial Correlation LM Test	0.325791 (0.7235)
Breusch-Pagan-Godfrey Heteroskedasticity Test	5.451180 (0.0004)
Jarque-Bera Test	1.445088 (0.485515)

Figure 2: CUSUM Test



#### 4. CONCLUSION

This study tries to analyze the long run relationship between total fertility rate and age dependency ratio in Turkey for the years of 1960-2017 by utilizing ARDL estimation technique. Based on ADF unit-root test we identified that age dependency ratio variable is not stationary at level but it is stationary at first difference while fertility rate variable is stationary at level. Twenty distinct models evaluated by using Akaike information criterion to determine optimal lag length for ARDL model and after evaluation ARDL(2,1) model was chosen as the optimal ARDL. ARDL bounds test was implemented to see if variables of age dependency ratio and total fertility rate move together in the long run (i.e., they are co-integrated). According to the finding of ARDL bounds test, variables of age dependency ratio and total fertility rate are co-integrated. Hence they act together in the long term. Finally the long-run estimation result reveals that there is a positive and statistically significant association between age dependency ratio and total fertility rate variables. In other words, if fertility rate goes up by one unit then age dependency ratio increases by 6.77 units in Turkey.

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# **ABSTRACTS**

## Criteria for civic-democratic land reform - a theoretical framework

**András SCHLETT**

**Judit BEKE LISÁNYI**

**Abstract:** This study considers the criteria for civic-democratic land reforms, which can serve as an analytical framework for examining and comparing land reforms in Central Europe. In the analysis of land reforms, such points of reference can be land ownership and land use, the transparency of the process, the required appropriate size of land, the appropriate public goods functions, as well as vertical integration in the agriculture sector.

According to the civil values, the user of the land is the owner of the land cultivated. This presupposes that the reform provides the producer with economically viable land having the required appropriate size of land and factors of production. An additional requirement for the criteria is that the land owner possesses the key strategic positions in the vertical integration (mostly through cooperation) or at least having a stronger bargaining position. Democracy means the social enforcement of the majority interests of producers, and the key to its success is the transparency of processes.

The closely related priorities serve as reference points. With their help we can consider and take into account the implementation of land reforms. As a sorting guide, they can be a useful tool for reconstructing local events, therefore they can be used to describe the differences, to examine the extent, mode, characteristics and reasons of the differences.

**Keywords:** Land reform, democracy, civic, transparency, agricultural product chain

## Inflation and Unemployment Trade-Off: Empirical Evidence from G7 Countries

Cristian C. Popescu<sup>1</sup>

<sup>1</sup>Professor, PhD., Department of Economics and International Relations, Faculty of Economics and Business Administration, “Alexandru Ioan Cuza” University of Iasi, Romania, e-mail: popescu@uaic.ro, ORCID: <https://orcid.org/0000-0002-0424-8754>

**Abstract:** For a certain period of time, economists considered that there is a functional relationship between the inflation rate and the unemployment rate, in the sense that full employment causes inflation. This negative relationship, known as the Phillips curve, led to many debates and dilemmas not only among scholars, but also between the policy-makers, starting from the 1970s', when high inflation coexisted with high unemployment. Friedman, who was among the opponents, invoked the principle of currency neutrality. Together with Phelps, Friedman argues that, in the long run, the Phillips curve is vertical and any attempt to lower the unemployment below the natural rate leads to a simultaneous rise in unemployment and inflation. This paper aims to analyze the impact of the economic policy measures on the evolution of inflation and unemployment in the G7 countries, starting from the monetary criticism regarding the inefficiency of monetary impulses. Using cointegration methods and causality analysis, we will test the short and long-term influence of the interest rate variation on the unemployment rate. The findings support Phillips model on the short run, indicating that there is an inverse link between the inflation rate and the unemployment rate in the G7 states, during the analyzed period. However, on the long run, the results indicate that inflation and unemployment can coexist, fact that allows us to agree with the monetarist theories.

**Keywords:** unemployment-inflation relationship, Phillips, Friedman-Phelps, G7 countries.

## Fiscal Policy and Labor Market in Times of Pandemic

Cristian C. Popescu<sup>1</sup>

Laura Diaconu (Maxim)<sup>2</sup>

<sup>1</sup> Professor, PhD., Department of Economics and International Relations, Faculty of Economics and Business Administration, “Alexandru Ioan Cuza” University of Iasi, Romania, e-mail: popescu@uaic.ro, ORCID: <https://orcid.org/0000-0002-0424-8754>

<sup>2</sup> Professor, PhD., Department of Economics and International Relations, Faculty of Economics and Business Administration, “Alexandru Ioan Cuza” University of Iasi, Romania, e-mail: lauradiaconu\_07@yahoo.com, ORCID: <https://orcid.org/0000-0001-5745-3850>

**Abstract:** The short-term consequences of COVID-19 on labor market are enormous and visible in almost all the economic sectors. It is known that a negative supply shock can create a ‘doom loop’ that disrupts supply and leads to low growth and high unemployment. In this case, the fiscal policy measures are required to prevent the economic stagnation. A large stream of empirical work has examined the implications of unemployment insurance benefits for labor markets and household spending, given the focus on increasing unemployment insurance benefits as a policy response to the 2020 crisis. Some studies suggest that stabilization policy can reduce the economic costs of the current downturn if, during the recovery, the fiscal policy promotes job creation among those occupational groups that are hardest hit by the crisis. In this study, we want to investigate the impact that the fiscal policy measures may have on the European Union labor markets in times of current pandemic. Therefore, we have developed a model-based analysis in order to evaluate the effectiveness of different fiscal policy measures in enhancing the faster recover of the economies. Our findings suggest that fiscal stimuli may foster job growth in some hardhit sectors. Meanwhile, a cut in labor taxes may have positive results in stabilizing the total employment and the employment composition.

**Keywords:** fiscal policy measures, labor market, COVID-19 pandemic.



## Educational Management in the COVID 19 Era. Case Study: Romanian Universities

Cristina Mihaela Salcă Rotaru<sup>1</sup>

<sup>1</sup> Transilvania University of Braşov, Romania, rotaruc@unitbv.ro, ORCID: 0000-0002-9504-6890

**Abstract:** The pandemic generated by the SARS-CoV 19 virus had, in addition to the obvious effects on the health of the population, multiple side effects. Of these, the effect on the education system can be found among the most important. The long period of lockdown, coupled with the transition to an online learning system, has been a daunting task for any education system. This article presents the ways to approach educational management in Romania from the perspective of higher education institutions. The research takes into account both the specific legislation issued during 2019-2021 and the ways of implementing and adapting universities during this period. The obtained results show us that at the level of higher education institutions in Romania there was no consensus in the educational management in COVID 19 Era. The conclusion that emerges is that of the need to develop, at national and institutional level, management plans for such periods of crisis and programs for the concrete implementation of these plans.

**Keywords:** COVID 19, educational management, higher education institutions, online learning.

## The role of businesses in local economic development

**Mr.Sc. Dafina Vlahna<sup>1</sup>**

<sup>1</sup>Dafina Vlahna – Mr.sc. Master of Economics - Business Administration, Faculty of Economic, University of Prizren 'Ukshin Hoti', Prizren, Republic of Kosovo, dafinaa\_55@hotmail.com.

**Abstract:** Economic development refers to the processes by which governments, businesses, and civil society groups come together to steadily increase revenue and improve their lives in a well-defined area. Local Economic Development (LED) is a participatory process in which people from all sectors work together to stimulate local trade activity, achieving a resilient and sustainable economy. This is a way to help create good jobs and improve the quality of life for everyone, including the poor and marginalized.

Commercial companies play a special role in the economic development of the country. Starting from individual companies, limited liability companies, limited partnerships, partnership companies, without which the development of the economy would not be considered either at the local level or at the central level. In this paper I will address the development of companies and their impact on economic development in the country.

**Keywords:** companies, the impact of companies, economic development.

## Analysis Of The Financial Performance Of Municipal Enterprises In Southwest Bulgaria With Z-Score Model

Assoc. Prof. Desislava Stoilova, PhD<sup>1</sup>

<sup>1</sup>South-West University “Neofit Rilski” – Blagoevgrad, Bulgaria, Faculty of Economics, e-mail: dstoilova@swu.bg

**Abstract:** It is generally accepted that enterprises are the backbone of the economy. Municipal enterprises are businesses owned by local authorities that provide a variety of services and generate revenues for local communities. In theory, municipal enterprises are focused on economic activities, which fall into three main categories: (1) socially profitable, but not privately remunerative, (2) privately remunerative, but not capable of private execution, and (3) natural monopolies. Consequently, their primary goal should be to improve social welfare. In practice, municipal enterprises can also pursue economic efficiency by producing goods and providing services on a remunerative basis, thus ensuring revenues to the local budgets. The purpose of this paper is to analyze the financial performance of the municipal enterprises in three medium-sized Bulgarian municipalities during the period 2006-2020 using Z-Score model. The results indicate that municipal enterprises can achieve profitability while providing a wide range of services to the local community.

**Key words:** municipal enterprises, Z-Score model, local governments, Bulgaria

**JEL:** H70, G33

## **The Impact of Leadership Styles, on Employee Performance in The Public and Private Sector Organizations, in North Macedonia. Empirical Review.**

**Edrina Emini<sup>1</sup>**

<sup>1</sup>South East European University, Tetovo, North Macedonia

**Abstract:** Management flexibility is a significant issue in the current turbulent times. Leadership and management requirements which are lasting for 20 years, are very much challenging. Rapid and continuous change underscores the value of leadership and management, like never before. Considering these trends, the paper examines an overview of the dynamic changes within which management techniques are practiced in regard to recognition of the role of leaders and managers and leadership styles. The descriptive part of the paper outlines the impact of leadership styles on employee performance in the public and private sector organizations in North Macedonia. The paper generally presents a theoretical framework with supported empirical evidence of the Leadership and Management styles, and identifies the gap in the literature with respect to management styles that are commonly used in the transition countries, with a focus on North Macedonia.

**Keywords:** Management, Leadership, Leadership styles, Performance, Employee Performance

## **Human capital and foreign direct investments role in creating economic growth: An assesment of Romania.**

**Eduard-Alexandru Oțel<sup>1</sup>**

<sup>1</sup> „Alexandru Ioan Cuza” University of Iași, Romania, Doctoral School of Economics and Business Administration, otel.eduard@gmail.com;

**Abstract:** This paper contributes to the existing literature that studies the nexus between human capital and foreign direct investments (FDI) on one side, and economic growth on the other in Romania. This nexus is explored using a linear regression model based on endogenous growth theory and a data set covering a time from 2005 to 2019. As shown by the model, both FDI and human capital have a positive effect on economic growth and also a bidirectional augmentation effect between foreign direct investments and human capital. In this regard, it can be concluded that human capital stock has effects on the technology transfer caused by the inflows of FDI; this transfer subsequently drives an increase in human capital accumulation on a medium to long run; this way expanding economic growth possibilities. The conclusion of this paper also accounts for limitations caused by the lack of better control variables that influence economic growth in the long run.

**Keywords:** human capital, foreign direct investments, endogenous economic growth theory, economic growth.

## Green Logistics - A Path of Shared Responsibility

Carp ELENA<sup>1</sup>

<sup>1</sup>MOLDOVA STATE UNIVERSITY, The Faculty of Economic Sciences

**Abstract:** The requirements for rethinking the logistics functions under the pressure of environmental protection and social responsibility of the business structures, determine the relevance of exploring the logistics areas. The article analyzes the factors which contribute to developing the concept of corporate responsibility in logistics and the relevance of its implementation. The carried out analysis based on scientific research and the systematization of scientific approaches to understanding the category of "green logistics" on the position of fragmented and complex approaches to its etymology, has enabled the author to share his outlook on its content aspects and identify the main actors that contribute to and influence the development of green logistics.

The paper defines the possibilities of achieving the quantitative and qualitative objectives of logistics activities, which can be ensured by integrating the economic, social and ecological aspects that form the shape of green logistics. Strengthening the interaction of the above-mentioned components is ensured based on resource-efficient technologies. Based on this analysis, the structural and functional characteristics of green logistics have been established, including objects, subjects and management processes, the fields of application of logistics activities, the technologies used and the regulatory tools, the directions of environmental impact and the results of its application.

## Organizational Change through Projects in Schools: Perceptions of Decision Makers

Irina Manolescu<sup>1</sup>

Gabriela Conea<sup>2</sup>

Stanislav Percic<sup>3</sup>

<sup>1</sup> Alexandru Ioan Cuza University of Iasi, Romania, irina.manolescu@gmail.com, <https://orcid.org/0000-0002-1869-1343>

<sup>2</sup> Iasi County School Inspectorate, Romania, gconea2002@yahoo.com

<sup>3</sup> Alexandru Ioan Cuza University of Iasi, Romania, stanislav.percic@uaic.ro, <https://orcid.org/0000-0003-3111-3297>

**Abstract:** The 2007-2020 period was an effervescent one, marked by the enlargement of the European Union with 3 countries - Romania and Bulgaria (2007), Croatia (2013), by the initiation of new financing programs - LLP, Erasmus + (for entire European community) POSDRU, POCU (for Romania) through which the European educational projects have seriously contributed, through the created added value, to the consolidation and efficiency of the school - family - community partnership. Our work aims to provide: a general presentation of the financing programs related to the analysed period (2007 - 2020), with emphasis on funding programs for educational institutions; an adequate identification of the particularities of the existing financing programs as well as the correct knowledge of the specific barriers; some recommendations on streamlining the use of European and international funds in Romanian educational institutions. The hypothesis of this paper consists in the assumption that adequate identification of the particularities of existing funding programs as well as correct knowledge of specific barriers will improve the access to available funding for the future and will increase their impact. In this research, the method of sociological survey was used, by applying an online questionnaire, based on 22 questions. The research involved 101 subjects from Iași county as well as 8 other counties and Bucharest. Focus group took place in two sessions of 70 minutes each. The subjects were 7 school inspectors from 7 counties selected according to their experience and the consistency of the activity regarding accessing European funded programs. The interest of schools in accessing specific European funds is growing. The examples of good practice and the success of other schools boost the activity in schools without such experiences. Ensuring the sustainability of projects is a difficult activity, which affects the positive effects and the estimated impact. The high fluctuation of teachers in rural areas, the abandonment of the teaching career of the coordinating teacher, the change of school manager, lack of support promised by the local council, lack of time, diminished monitoring and responsibility are the main factors leading to diminished sustainability.

**Keywords:** change management, educational projects, funding programs.

## Liability for Defective Digital Content, in the Aftermath of Regulating the Business-to-Consumer Digital Services Contracts

Juanita Goicovici<sup>1</sup>

<sup>1</sup> PhD., Lecturer, University Babes-Bolyai of Cluj-Napoca, Romania, juanita.goicovici@law.ubbcluj.ro ,

ORCID: ID/0000-0002-0050-4511

**Abstract:** The paper aims at analysing the judicial facets of the liability for defective digital content, in the aftermath of transposing Directive 2019/770 in internal legislation, focusing on the peculiarities of the category of professionals who may be held responsible for the non-conformities of the digital elements. Being a common element of the two emerging interrogations arising of the delimitation of the intrinsic functionality spheres of products incorporating digital elements, the answer to these interrogations has important legal consequences for the cases where the product with incorporated digital elements reveals non-conformities of objective status. From the consumer's perspective, the legislative solution aims for the seller to be responsible to the consumer both for the hardware part non-conformities, as well as for the software part lacking conformity. Firstly, the study approaches the status of liability for non-conformity of incorporated or interconnected digital content in the hypotheses in which the digital content which has been delivered to the consumer cannot fulfil its functions. Secondly, concerning the fact that these digital elements are provided as incorporated content, in case of judicial inclusion of the digital elements' conformity in the B2C sales contract. Thirdly, the study approaches the hypotheses in which the digital elements are part of the business-to-consumer sales contract; these hypotheses cover the cases in which the software offered by the professional seller under an open-source license, when there is no onerous counterpart incumbent on the consumer, yet consumer's digital content is processed exclusively by the professional seller aiming to improve the security, compatibility or interoperability of the specific software content, the latter will be subject to the provisions of the G.O. no. 141/2021. The methodology used concerned empirical data on case files and liability complaints and doctrinal analyses in the perimeter of business-to consumer contracts on digital content. The main findings of the study show that 72% of the yearly case files complaints were concerned with the seller's obligation to provide updated software versions; in terms of conformity compliance, the digital elements are subject to the subjective requirements resulting from the installation and non-existence of any legal disturbances by third parties. Article 6, para. (3) of the G.O. 140/2021 regulates the timeframe during which the seller must provide digital content updates, while distinguishing between two contractual premises: (i) the first set of contractual provisions is concerned with the hypotheses when the contract provides for a single delivery operation on digital content or digital services, during the period in which the consumer reasonably expects to be provided with updated versions of the purchased digital content; consumer's reasonable expectation will be assessed objectively; (ii) the second contractual context concerns the cases when the contract provides for a continuous supply of digital content and digital services, using the timeframe described in art. 9, para. (3) and (4) of the G.O. 140/2021. The impact of this judicial dichotomy is approached in the final part of the study, insisting on the importance of clear mandatory rights when consumers receive or access digital content or digital services.

**Keywords:** liability, consumer, digital content, digital services, business-to-consumer contracts.



## **Examining the relationship between Business Model Innovation on Corporate Sustainability. Insights from a literature review**

**Kaltrina Kajtazi<sup>1</sup>**

<sup>1</sup>PhD cand., South East European University, Tetovo, North Macedonia

**Abstract:** The way businesses operate has changed over the years. Previously, businesses exercised their function through the traditional way of operating, using traditional tools. With the incorporation of information technology in business operations, the concept of the business model was changed, where it changed from the traditional concept to the digital or innovative one. Business model, a concept discussed by many scholars, which is generally defined as a description of how the enterprise does business, how it defines value proposition, how the company distributes and captures value for consumers, suppliers and partners (Casadesus-Masanell and Zhu, 2013). While, the new concept, business model innovation incorporates information technology in creating business value, in addition to the innovation that determines the lifespan of the business it also has the benefit of competitive advantage in the market (Velu, 2016).

In the last few years, consciousness for the need of sustainable progress has been extensively developed and encouraged. Now, for many companies, the environmental insights in the business practices seem to be the main concern in corporate social responsibility. Heretofore, enterprises have not paid special attention to the preservation of natural resources or the environment, social and economic factors for the same use by future generations, which are considered to be the three pillars of sustainable development. Hereby, sustainability exhibits an incorporation of economic performance, social inclusion and environmental resilience, for the advantage of current and future generations (Geissdoerfer et al., 2017). By linking sustainability with the business model innovation, it will lead to a new perspective for companies, by changing the traditional economic paradigm and being oriented towards an environmentally friendly approach. Furthermore, the business model innovation will be transformed to sustainable business model.

Studies related to business model innovation and corporate sustainability are characterized by gaps of various natures, whether from the theoretical or methodological part. A similar study by (Pederson et al. 2018) was conducted in Sweden and focusing only on the Fashion Industry. In this case, it is stated that similar studies to be conducted in countries in transition and not focusing on a single industry. In terms of methodology, derivation of results or econometric models is the other important element, which is highlighted as a gap from previous research. A considerable number of studies have followed the qualitative approach, by using semi-structured interviews or critically analyzing the literature (Jolink and Niesten, 2015; Geissdoerfer et al. 2018; Bakoğlu and Yıldırım, 2016 and others). In the studies of these authors, it is emphasized as a suggestion for future studies to follow the quantitative approach.

The lack of similar research is evident in both Kosovo and North Macedonia. Although, in the research by Rexhepi et al. (2013) conducted in North Macedonia, discussed the role of Corporate Social Responsibility and Innovation, as the main drivers of Business Growth, where Makedonski Telekomunikacii (MT) is taken as a case study. As a leading company in North Macedonia, it is emphasized that it pays special attention to the economic, social, and environmental aspects, considering that this automatically enhances the company's value. Nevertheless, taking into consideration the investigations about sustainability concern, it can be summarized that this is not sufficiently treated and researched.

## Acquisition Of Property Right In Kosovo

**Kastriote Vlahna<sup>1</sup>**

**Hajredin Kuçi<sup>2</sup>**

<sup>1</sup>PhD.C. Student in Private-Civil Law, Faculty of Law, University of Pristina 'Hasan Prishtina', Pristina, Republic of Kosovo, kastriote.vlahna@uni-prizren.com.

<sup>2</sup>Regular professor in the field of law of Private Law, Faculty of Law, University of Pristina 'Hasan Prishtina', Pristina, Republic of Kosovo. Contact email address: hajredin.kuci@uni-pr.edu.

**Abstract:** As the main property right, the right of ownership is acquired in case we have a legal work, a decision of a state body or by law. In addition to the ways in which ownership of an immovable property is acquired, we must also consider the two essential conditions such as: legal title and registration in the immovable property register. According to local legislation, the right of ownership over an immovable property can be acquired only if the person has a legal title in addition to the legal title and registers the legal title. The paper as a whole contains the ways and conditions of how we come to gaining a right of ownership over the immovable property, thus showing the legal gaps and recommendations on the work in question!

**Keywords:** property right, legal title, registration of the right, local legislation.

## Reasons For Annulment Of The Arbitral Award

**Kastriote Vlahna<sup>1</sup>**

**Hajredin Kuçi<sup>2</sup>**

<sup>1</sup>PhD.C. Student in Private-Civil Law, Faculty of Law, University of Pristina 'Hasan Prishtina', Pristina, Republic of Kosovo, kastriote.vlahna@uni-prizren.com.

<sup>2</sup>Regular professor in the field of law of Private Law, Faculty of Law, University of Pristina 'Hasan Prishtina', Pristina, Republic of Kosovo. Contact email address: hajredin.kuci@uni-pr.edu.

**Abstract:** In principle, the procedure before international commercial arbitration is one-stage and as a result the parties do not have at their disposal the possibility of presenting ordinary legal remedies unlike the regular state courts, which is provided by the Kosovo Arbitration Law, which states that: "The arbitral proceedings end with the issuance of the final decision or of an order of the tribunal" from this it is understood that the arbitral proceedings are one-stage and ends with the issuance of the arbitral award.

Thus, the decisions of the arbitral tribunal are final decisions and of course they can not be appealed as a regular legal remedy. Although there are opinions of lawyers that the arbitration procedure is two-stage and the parties can file appeals in case of disagreement with the decision taken in the arbitration procedure, but always if the parties agree that the arbitration procedure is two-stage . However, since the current laws state that the arbitral proceedings are one-stage, it is impossible for the parties to proceed with an appeal to the arbitral proceedings, in which case the party is given the opportunity to sue against the decision of the arbitral tribunal. decision, a lawsuit which he can file before the regular state courts.

More on the annulment of the arbitral award and the reasons for the annulment of the arbitral award will be presented in the content of the paper.

**Keywords:** Arbitration, arbitration decisions, annulment of the decision, reasons for annulment of the decision.

## Remuneration management in health organization

### The Effects of Recovery on Work Enjoyment: A moderated moderation of Employee Voice and Colleague Support

Kyriakos Tsamantouridis<sup>1</sup>

Angeliki Tsameti<sup>2</sup>

Victoria-Maria Bellou<sup>3</sup>

<sup>1</sup> University of Thessaly, tsamanto@uth.gr, ORCID: 0000-0003-2662-7146

<sup>2</sup> University of Thessaly, atsameti@uth.gr, ORCID: 0000-0002-2741-2297

<sup>3</sup> University of Thessaly, vbellou@uth.gr, 0000-0002-2151-8234

**Abstract:** It is widely accepted that employees who unwind from the stress of the workday can fulfill their work duties. Under that notion, many studies have explored the beneficial effects of recovery on both in-role and out-role performance of employees. On the contrary, there is a lack of research on how recovery affects employee work experience. Towards this end, the present study looks into work enjoyment, a facet of work-related flow, that has been recognized as a strong predictor of job performance. Building upon the Conservation of Resources (COR) theory, it is supported that employees' recovery state is a crucial resource when seeking to attain valued energy, namely enjoyment. Therefore, it is hypothesized that recovery positively affects employees' work enjoyment. Moreover, this relationship is further investigated by the incorporation of voice and colleague support as moderators. The sample consisted of 169 employees drawn from an initial pool of students attending a graduate program, who were asked to invite their friends and colleagues to participate. Participants were asked to fill out a general questionnaire (once) and two daily questionnaires (before and after work, for five consecutive days). Daily collected data were assessed separately, resulting in a final number of 834 cases analyzed. Analysis through SPSS Process Macro suggest a positive effect of recovery levels, at the beginning of workday on work enjoyment during the workday (measured when workday finished). As expected, the joint effect of employee voice and colleague support positively moderates the relationship between recovery and work enjoyment, such that as their colleagues' support increases, employee voice boosts the above relationship. It is essential to highlight that this combined effect is statistically significant only at low and moderate levels of employee voice. Overall, the present research adds to existing work recovery literature, shedding lights to its implications and the conditions under which its positive effect can be realized. Finally, the practical implications for managers and decision-makers are also numerous.

**Keywords:** Recovery, Enjoyment, Employee Voice, Colleague Support, Moderated Moderation

## Pandemi Döneminde Azerbaycan'da Dış Ticaretin Durumu

Mehpara MALIKOVA<sup>1</sup>

<sup>1</sup>Azerbaycan Cumhuriyeti Devlet İstatistik Komitesi, mehpara.malikova@gmail.com

**Özet:** COVID-19 pandemisinin dünyanın birçok ülkesinde hızla yayılması, Azerbaycan hükümetinin hızlı tepki vermesiyle sonuçlandı. Cumhurbaşkanı İlham Aliyev'in ilgili emriyle, pandeminin sonuçlarını incelemek, sosyal izolasyon önlemlerini uygulamak ve ekonomi üzerindeki olumsuz etkiyi en aza indirmek için Bakanlar Kurulu'na bağlı bir karargah kuruldu. Salgının ve buna bağlı olarak dünya enerji ve borsalarında yaşanan keskin dalgalanmaların ülke ekonomisi, makroekonomik istikrar, istihdam ve girişimcilik üzerindeki olumsuz etkisini azaltmak için Cumhurbaşkanı'nın talimatına cevaben kısa ve orta vadeli bir yol haritası hazırlandı. Yol haritası üç alanı kapsıyor:

1. Ekonomik büyüme ve girişimciliğe destek
2. İstihdam ve sosyal yardım desteği
3. Makroekonomik ve finansal istikrar

Pandemi sonucu ekonominin çeşitli sektörlerinde yaşanan sorunlar dış ticareti de etkiledi. Pandemi sırasında, iş dünyası ve ekonomi için artan belirsiz beklentiler, büyük ticaret ortaklarının ekonomilerinin daralmasına ve potansiyel siparişlerde azalmaya yol açtı. Sonuç olarak, dış ticaret cirosu hacim ve değer olarak azaldı. Pandemi sırasında, iş dünyası ve ekonomi için artan belirsiz beklentiler, büyük ticaret ortaklarının ekonomilerinin daralmasına ve potansiyel siparişlerde azalmaya yol açtı. Sonuç olarak, dış ticaret cirosu hacim ve değer olarak azaldı. Duruma ivedilikle yanıt veren Azerbaycan hükümeti, petrol dışı ihracatın azalmasını önlemek için teşvik edici ve destekleyici kararlar aldı.

Petrol dışı ürünlerin ihracatına olan ilgiyi artırmak için, uluslararası uygulamada kullanılan malların satış mekanizmasının ihracat etiketi altında vergi kanununa dahil edilmesi petrol dışı ürünlerin "ihracat işareti" ile satışı (0) oranında KDV'ye dahil edilmesi, üretim yerinin fiyat avantajına sahip olmasına neden olacaktır.

İthal ve yerli olmayan hammadde ve ara mallara dayalı olan yerli üretimin rekabet gücünü artırmak amacıyla ilgili listede gümrük vergisi muafiyetlerinin uygulanması, ihraç edilen ürünlerin rekabet gücünü sağlamak için atılan bir adımdır. Sektörel analizlere göre ihraç edilen bazı mal ve ürünlerin yerli üretimi karşılaştırmalı üstünlüğe sahip değildir. Bu hammadde ve ara maddelerin üretim bileşenine ithal edilmesi, ihraç edilen ürünün dış pazarlarda fiyat avantajını artıracaktır.

Hükümetin Covid-19 pandemisinin neden olduğu ihracat daralmalarını önlemeye yönelik ilk adımları, ihracatı teşvik etmeyi ve desteklemeyi amaçlıyor. Bu desteğin ihracatın çeşitlendirilmesine olumlu etkisi olacaktır. Dolayısıyla, girişimcilerin dış pazarlara entegrasyon üzerindeki yüksek maliyet yükü, fiyat rekabeti kaybına yol açmaktadır. Devlet desteği sadece mevcut ihracatı yavaşlatmakla kalmayacak, aynı zamanda geleneksel olmayan malların dış pazarlara erişimini de kolaylaştıracaktır.

COVID-19 pandemisi sırasında ihracat portföyündeki mal ve ürün çeşitliliğindeki yüzde 2,5'lik düşüş, dış siparişlerdeki düşüşten kaynaklanıyor. 2017-2019 istatistiklerine ve 2020 çeyrek sonuçlarına göre, petrol dışı ihracat değerinde petrol dışı ihracat sepetinde petrol dışı ihracat ürünlerinin ağırlığı var.

Pandemi döneminde ihracat kısıtlamalarının yarattığı ciddi sorunlar, pandemi sonrası dönemde serbest ticareti daha da teşvik edecektir. Uluslararası ticarete açıklığın önündeki en büyük zorluklardan biri, Azerbaycan'ın imtiyazlı ve destekleyici bir yapıya sahip olan ticaret ve gümrük birliklerine üyeliğidir.

Anahtar kelimeler: COVID-19 pandemisi, Yol haritası, dış ticaret, ihracat, petrol dışı ürünler

### The state of foreign trade in Azerbaijan during the pandemic

**Abstract:** The rapid spread of the COVID-19 pandemic in many countries of the world resulted in the rapid response of the Azerbaijani government. By the relevant order of President İlham Aliyev, a headquarters affiliated to the Council of Ministers was established to examine the consequences of the pandemic, to implement social isolation measures and to minimize the negative impact on the economy. A short and medium-term roadmap was prepared in response to the President's instruction in order to reduce the negative impact of the epidemic and the consequent sharp fluctuations in world energy and stock markets on the country's economy, macroeconomic stability, employment and entrepreneurship. The roadmap covers three areas:

1. Support for economic growth and entrepreneurship
2. Employment and social assistance support
3. Macroeconomic and financial stability.

The problems experienced in various sectors of the economy as a result of the pandemic also affected foreign trade. During the pandemic, rising uncertain prospects for business and the economy led to shrinking economies of major trading partners and a reduction in potential orders. As a result, foreign trade turnover decreased in volume and value. During the pandemic, rising uncertain prospects for business and the economy led to shrinking economies of major trading partners and a reduction in potential orders. As a result, foreign trade turnover decreased in volume and value. Responding to the situation immediately, the Azerbaijani government took encouraging and supportive decisions to prevent the decrease in non-oil exports.

In order to increase the interest in the export of non-oil products, including the sales mechanism of the goods used in international practice under the export label in the tax law, including the sale of non-petroleum products with the “export mark” in VAT at the rate (0) will cause the production site to have a price advantage.

The application of customs duty exemptions in the relevant list in order to increase the competitiveness of domestic production based on imported and non-domestic raw materials and intermediate goods is a step taken to ensure the competitiveness of exported products. According to sectoral analysis, domestic production of some exported goods and products does not have a comparative advantage. Importing these raw materials and intermediates into the production component will increase the price advantage of the exported product in foreign markets.

The government's first steps to prevent export contractions caused by the Covid-19 pandemic are aimed at encouraging and supporting exports. This support will have a positive effect on the diversification of exports. Therefore, the high cost burden of entrepreneurs' integration into foreign markets leads to a loss of price competition. Government support will not only slow current exports, but also facilitate access for non-traditional goods to foreign markets.

The 2.5% decrease in the variety of goods and products in the export portfolio during the COVID-19 pandemic is due to the decrease in foreign orders. According to 2017-2019 statistics and 2020 quarter results, non-oil exports have a weight in the non-oil export basket in the value of non-oil exports.

The serious problems created by export restrictions during the pandemic period will further encourage free trade in the post-pandemic period. One of the biggest challenges to openness to international trade is Azerbaijan's membership in trade and customs unions, which have a privileged and supportive structure.

**Keywords:** COVID-19 pandemic, Roadmap, foreign trade, exports, non-oil products

## Regional tourism organizations and their position in the regional development in the conditions of the Slovak Republic

Štefčíková Katarína<sup>1</sup>

Jakubčinová Martina<sup>2</sup>

<sup>1</sup>Alexander Dubček University of Trenčín, Faculty of Social and Economic Relations,  
katarina.stefcikova@tnuni.sk;

<sup>2</sup>Alexander Dubček University of Trenčín, Faculty of Social and Economic Relations,  
martina.jakubcinova@tnuni.sk

**Abstract:** Tourism is increasingly one of the major sectors in the national economy of the developed countries. Regional tourism organizations, with their activities in the field of destination management and marketing, represent a significant potential for regional development, but also for the intensification and constant expansion of cooperation between the various entities operating in the field of tourism in the regions. In the interest of environment conservation, the Slovak Republic asserts its effort to support the so-called areas of the economy that are much more environmentally friendly in comparison with the dominant industry. In addition to the tourism development, the Slovak Republic is also interested in its sustainability development. The main aim of the article is to evaluate the level of cooperation between regional tourism organizations and its members and to assess the impact of this cooperation on the regional development in the conditions of the Slovak Republic, on the example of the self-governing region of Trenčín. The contribution of the article is not only the evaluation of the current performance of destination management and its impact on regional development, but also the offer of proposals for cooperation intensified, which will lead to effective socio-economic development of the regions.

## Sultan II. Mahmud Döneminde Osmanlı Sağlık Sistemi

Suhaib İsmael MOHAMMED ALİ <sup>1</sup>

Rahman ADEMİ <sup>2</sup>

<sup>1</sup>Yüksek Lisans Öğrencisi, Ankara Yıldırım Beyazıt Üniversitesi, Sosyal Bilimler Enstitüsü, Tarih Bölümü, suhaibismael1995@gmail.com, 0000-0003-4574-0849.

<sup>2</sup>Prof.Dr., Ankara Yıldırım Beyazıt Üniversitesi, Sosyal Bilimler Enstitüsü, Tarih Bölümü, Bölüm Başkanı, ademirahman@yahoo.com.

**Özet:** Osmanlı Devleti'nin kuruluşundan itibaren birçok salgın hastalık ortaya çıkmıştır. Osmanlı modernleşme çağının reformist padişahı II. Mahmud döneminde birçok Anadolu kentinde daha önce görüldüğü üzere İstanbul'da da salgın hastalıklarla karşılaşmıştır. Bunlar arasında en belirgin olanları 1811-1812 veba ile 1831 kolera salgınlarıydı. Söz konusu salgınlar önemli oranda insan kaybına sebebiyet vermiştir. Bundan ötürü acilen tedbir almak gerekmiş ve çözüm olarak karantina uygulamasına geçilmiştir. Bu uygulama sayesinde hastalıklar kontrol altına alınarak daha fazla can kaybının önüne geçilmiştir. Bunun için yeni kurumların oluşturulduğu ve bu iş için doktor yetiştirilip görevlendirildiği görülmektedir. Salgın, sebep olduğu kayıplar açısından acı sonuçlar ortaya çıkarmasına karşın sağlık hizmetlerinin altyapısı ve tecrübesinin gelişimi açısından da yeni kazanımları beraberinde getirmiştir. Elde edilen kazanımlar bir sonraki salgının hem boyutunun hem de etkisinin daha sınırlı olmasına katkı sunmuştur.

**Anahtar Kelimeler:** Sultan II. Mahmud, Osmanlı Sağlık Sistemi, Salgın Hastalıklar, Veba, Kolera

### Ottoman Healthcare System in The Sultan Mahmud II. Reign

**Abstract:** Since the establishment of the Ottoman Empire, many epidemics have emerged. The reformist sultan of the Ottoman modernisation era, During the reign of Mahmud II., epidemics were encountered in many Anatolian cities, as well as in Istanbul. The most prominent among these were the plagues of 1811 and 1812 and the cholera epidemics of 1831. These epidemics caused the significant human loss. Therefore, it was necessary to take urgent measures, and quarantine was implemented as a solution. Thanks to this practice, diseases were brought under control and further loss of life was prevented. It is seen that new institutions have been created for this purpose and doctors have been trained and assigned for this work. Although the epidemic revealed painful consequences in terms of the losses it caused, it also brought new gains in terms of the development of the infrastructure and experience of health services. The gains made contributed to the limited size and impact of the next epidemic.

**Keywords:** Sultan Mahmud II, Ottoman Health System, Epidemics, Plague, Cholera.



## Trustworthy AI in Public Administration - the EU perspective on regulating disruptive technologies

Dr. Szabolcs Diósi<sup>1</sup>

<sup>1</sup>Faculty of Law, University of Pécs, diosi.szabolcs@ajk.pte.hu

**Abstract:** On April 21, 2021, the European Commission published its long-awaited proposal to regulate Artificial Intelligence technologies. As the application of AI-based systems in public administration (e.g., process automation, predictive analytics, natural language processing, algorithmic decision-making, etc.) has become increasingly widespread in recent years, the EU made the regulation of such processes within its territory a high priority. The Commission's proposal reflects a European Union that is determined to protect the fundamental rights of its citizens; in addition to a complete ban on certain invasive AI practices (e.g., social scoring), the EU plans to impose strict requirements on AI systems deemed 'high-risk' (e.g., predictive policing, evaluating creditworthiness, assessing eligibility for public benefit, biometric identification, etc.). Similar to the EU's General Data Protection Regulation introduced in 2018, the proposed new Artificial Intelligence Act could pave the way for other countries and have a global effect on AI-related policy-making.

This study aims to review real-life applications of AI systems deployed in public administration in the EU. It attempts to examine some of the key social, political, legal concerns linked to these technologies and explore the European Union's response to those risen challenges, paying particular attention to the Commission's comprehensive regulatory proposal of 2021.

**Keywords:** Artificial Intelligence, European Union, disruptive technologies, public administration, regulatory framework

## Social Innovation and Rural Development: Experiences from Romania and Republic of Moldova

Tatiana Bulimaga<sup>1</sup>

Irina Manolescu<sup>2</sup>

Mihai Talmaciu<sup>3</sup>

<sup>1</sup> Moldova State University, Chisinau, Republic of Moldova, bulimaga@gmail.com, <https://orcid.org/0000-0003-1701-1892>

<sup>2</sup> Alexandru Ioan Cuza University of Iasi, Romania, irina.manolescu@gmail.com, <https://orcid.org/0000-0002-1869-1343>

<sup>3</sup> Alexandru Ioan Cuza University of Iasi, Romania, mtalm@uaic.ro, <https://orcid.org/0000-0001-8957-5991>

**Abstract:** Social innovation is a multifaceted concept with major implications for different sectors - public, private and civil society, different fields - economic, social, educational, health, environment, different spaces - urban and rural. It involves several social actors and it is encouraged by various tools. It is seen as a paradigm with sustainable results in the communities involved. In the urban environment, progress is visible and easy to replicate, but in the rural environment the challenges of implementing specific solutions for social innovation are multiple. The paper aims to analyse rural development projects that include specific aspects of social innovation in their methodology, in order to highlight the results obtained and the impact at the level of communities in the North-East Region of Romania and the Republic of Moldova. To achieve this goal, we resorted to a step-by-step approach. In the first stage, we identified the projects financed through the programs with non-reimbursable financing, which had as objectives the development of the rural space and included components of social innovation. Through a cluster analysis, in the second stage we grouped the projects according to the main characteristics - size, field, results. In the final stage, through a case study specific approach, we illustrated the examples of good practice representative for both regions considered - the North-East Region of Romania and the Republic of Moldova. The materials used in the analysis were secondary sources - reports of funding programs, project documentation and case study articles. The conclusions of the paper highlight the results that are difficult to replicate for most of the analysed projects and a low sustainability of the projects in many situations. Extensive partnerships and applicants' experience are key to the long-term success of social innovation projects.

**Keywords:** social innovation, rural development, innovative projects.

## Protests as a factor in political governance (comparison between Covid protests and social protests, 2021-2022)

Tatyana Burudjieva<sup>1</sup>

<sup>1</sup>Professor , Sofia University “St Kliment Ohridski”, Department of Political Sciences, Bulgaria,  
tburudjieva@gmail.bg, burudzhiev@phls.uni-sofia.bg

**Abstract:** The familiar rule of majority in democracies raises the question of what we do with a minority that does not want to accept the political decisions of the majority. In the political sciences, there are three options for ensuring the effectiveness of political decisions: persuading the minority, imposing the decision and punishing the minority for non-compliance, seeking compromise.

The protests in 2021 and 2022 against the measures imposed due to the Covid crisis and the social protests show a persistent reluctance of part of society to accept the governmental decisions. They are also an indicator of the weakness of governments in making and implementing publicly supported policies and decisions.

The analysis of the practice of the different types of protests in the last year, which characterize the political processes in democratic countries, aims to answer the question – what is the impact of these protests on management decisions. The main hypothesis of the author is that the protests have an impact on management decisions only in relation to contractual problems in society. Therefore, it depends on the political power what character it will give to a problem. The choice of majority, which decides how to impose these decisions on the minority, also depends on this. In contractual problems – such as social problems – the government is highly dependent on political decisions on the reaction of the citizens and the protests. In imperative issues – such as the fight against the Covid – the majority exercises state control over social groups that refuse to accept the decision.

The conclusion is that in the modern political world, the repression of those who disagree with political decisions depends on the character that the same majority gives to political problems. In addition, the reaction of the society – the protests – is based on the lack of a majority in their acceptance. Thus, the conflict between government and citizens in on two different fields, which makes it an insurmountable conflict that has nothing to do with the content of the problems that must be solved by government.

## İnovasyonun Girişimciliğe Katkıları

**Ahmet KUBAŞ**

Prof. Dr., Tekirdağ Namık Kemal Üniversitesi İİBF İşletme Bölümü, Değirmenaltı /Tekirdağ, 59030,  
akubas@nku.edu.tr

**Özet:** Girişimciler tarafından üretilen mal ve hizmetler, tüketicilerin ihtiyaçlarını karşılamaktadır. Ancak üreticiler arasındaki rekabet ve tüketici tercihlerinde yaşanan gelişmeler işletmeleri yeni arayışlara itmektedir. Bu nedenle verimlilik, etkinlik ve karlılığın artırılması için yeni ürünler veya mevcut ürünlerin fonksiyonları artırılmaktadır. Bu nedenle ürünlerin faydasının artırılabilmesi için inovasyon ve AR-GE konusunda yoğun bir faaliyet yürütülmektedir. Özellikle bilimsel ve teknolojik gelişmeler ürünlerin görselliğini, içeriğini ve fonksiyonunu değiştirmektedir. Örneğin cep telefonları, otomobiller ve beyaz eşya (elektrikli süpürge, çamaşır ve bulaşık makinesi vb.) bunlara örnek olarak verilebilir.

Sadece fiziksel ürünlerde değil hizmet sektöründe de inovatif yaklaşımlar ön plana çıkmıştır. Özellikle son yıllarda hızla gelişen pazarlama sektörü, ürünleri online sistemle nihai tüketiciye ulaştırmaya başlamıştır. Üretim ve pazarlama süreçlerinde yaşanan hızlı gelişmeler işletmelerin üretim yönetimi ve organizasyon yapısı içerisinde farklı meslek gruplarının öne çıkmasına neden olmaktadır. Özellikle yazılım ve finans konusunda yetişmiş uzmanlara olan ihtiyaç artmıştır.

COVID 19 un yaygınlaştığı pandemi sürecinde yazılım sektöründe yaşanan bu gelişmeler tarım, sanayi, hizmet ve diğer birçok sektörde yeni işletme biçimleri ve yönetim modelleri ortaya çıkarmıştır. Bu işletmeler ağırlıklı olarak, yazılım sektöründe çalışanlar tarafından desteklenen üreticiden tüketiciye ulaşan online pazarlama modelleridir.

**Anahtar Kelimeler:** Girişimcilik, inovasyon, işletme yönetimi, ürün geliştirme, yenilik

## Girdi Fiyatlarının Pamuk Üreticilerinin Üretim Kararları Üzerine Etkileri: İzmir İli Menemen İlçesi Örneği

Anıl ÖZDEN <sup>1</sup>

Övgün PALAZ <sup>2</sup>

Duran GÜLER <sup>3</sup>

Şule İŞİN <sup>4</sup>

<sup>1</sup> Ege Üniversitesi, Ziraat Fakültesi, Tarım Ekonomisi Bölümü, İzmir/Türkiye, anil.ozden584@gmail.com

<sup>2</sup> Ege Üniversitesi, Ziraat Fakültesi, Tarım Ekonomisi Bölümü, İzmir/Türkiye, ovgun.palaz@hotmail.com

<sup>3</sup> Ege Üniversitesi, Ziraat Fakültesi, Tarım Ekonomisi Bölümü, İzmir/Türkiye, duran.guler@ege.edu.tr

<sup>4</sup> Ege Üniversitesi, Ziraat Fakültesi, Tarım Ekonomisi Bölümü, İzmir/Türkiye, sule.isin@ege.edu.tr

**Özet:** Bu çalışmanın temel amacı girdi fiyatlarının pamuk üreticilerinin üretim kararları üzerine etkilerini incelemektir. Bu amaç doğrultusunda İzmir ilinin Menemen ilçesinde 64 pamuk üreticisiyle yüz yüze anket yapılmıştır. Verilerin analizinde işletmeler pamuk arazisi miktarına göre 0-79 dekar (1. grup), 80-312 dekar (2. grup) ve 312 dekar üzeri (3. grup) olmak üzere üç gruba ayrılmıştır. Araştırmada işletme gruplarını karşılaştırmak amacıyla Kruskal Wallis testinden yararlanılmıştır. Ayrıca üreticilerin üretim kararlarında etkili olan girdi fiyatlarının önem derecesinin belirlenmesinde Bulanık Eşli Karşılaştırma yönteminden yararlanılmıştır. Buna göre fiyatına en fazla önem verilen girdinin gübre olduğu saptanmıştır. Üreticiler açısından fiyatının önem derecesine göre diğer girdiler sırasıyla yakıt, ilaç, su/elektrik, işçilik ve tohumdur. Pamuk üretiminde özellikle gübre masrafını azaltıcı önlemlerin alınması ve mobil analiz laboratuvarı gibi toprak analizi yaptırmaya yönelik teşvik edici uygulamalara öncelik verilmesi gerekmektedir.

**Anahtar Kelimeler:** Pamuk üretimi, girdi fiyatı, üretim kararı, Bulanık Eşli Karşılaştırma

## The Effects of Input Prices on the Production Decisions of Cotton Producers: The Case of Menemen, İzmir

Anıl ÖZDEN <sup>1</sup>

Övgün PALAZ <sup>2</sup>

Duran GÜLER <sup>3</sup>

Şule İŞİN <sup>4</sup>

<sup>1</sup> Ege University, Faculty of Agriculture, Department of Agricultural Economics, İzmir/Turkey, ovgun.palaz@hotmail.com

<sup>2</sup> Ege University, Faculty of Agriculture, Department of Agricultural Economics, İzmir/Turkey, anil.ozden584@gmail.com

<sup>3</sup> Ege University, Faculty of Agriculture, Department of Agricultural Economics, İzmir/Turkey, duran.guler@ege.edu.tr

<sup>4</sup> Ege University, Faculty of Agriculture, Department of Agricultural Economics, İzmir/Turkey, sule.isin@ege.edu.tr

**Abstract:** The main purpose of this research is to investigate the effects of input prices on the production decisions of cotton producers. Within the scope of this aim, face-to-face surveys were conducted with 64 producers in Menemen district of İzmir province. Farms were classified into three groups as 0-79 decare (first group), 80-312 decare (second group), and more than 312 decare (third group). Kruskal–Wallis test was used to compare the groups. In addition, Fuzzy Pairwise Comparison was used to determine the importance levels of input prices which are effective in the production decisions of producers. According to the results of research, fertilizer price is the most important factor that affects production decisions of producers. The other factors were determined as fuel price, pesticide price, irrigation electricity price, labour and cotton seed price in order of priorities. Therefore, it is necessary to take measures to reduce fertilizer costs, and incentive practices such as mobile soil analysis laboratory should be given priority.

**Keywords:** Cotton production, input price, production decision, Fuzzy Pairwise Comparison

## Güvenceli Esneklik ve Gini Katsayısı İlişkisi: COVID-19 Dönemi Değerlendirmesi ve OECD Ülkeleri Örnek Analizi

Dr. H.Bayram İRHAN<sup>1</sup>

<sup>1</sup>İstanbul Esenyurt Üniversitesi- Uygulamalı Bilimler Yüksekokulu -Uluslararası Lojistik Bölümü Doktor Öğretim Üyesi. E-mail: bayramirhan@hotmail.com ; hacibayramirhan@esenyurt.edu.tr. Orcid no: 0000-0002-4945966X.

**Özet:** Bu çalışmada globalizasyon sürecinde istihdam biçimlerine etki eden, esneklik ve güvenlik bileşenleri –güvenceli esneklik (flexicurity)-konsepti çerçevesinde ele alınmaktadır. Makalede, istihdamın, sadece işveren tarafından değil aynı zamanda işgörenler tarafından da ele alınması dikkat çekilmektedir. Ayrıca, hükümetlerin aktif ve pasif işgücü piyasası politikalarıyla, güvence-esneklik dengesine dikkat çekilmesi çalışmanın önemini ortaya koymaktadır. Çalışmanın temel amacı, ekonomik kalkınmanın göstergesi olan Gini katsayısı ile Güvenceli Esneklik (Flexicurity) arasında bir bağ kurarak ilgili literatüre katkıda bulunmaktır. Ayrıca, esneklik ve güvence evliliğinde mutluluğu sağlayan güvenceli esneklik (flexicurity) konseptinin ekonomik verimliliği artırdığı belirtilmektedir. Aynı zamanda bu çalışma, Güvenceli esnekliğin, işçi-işveren-hükümet arasında karşılıklı güven, güç, bağlılık oluşturmasıyla sürdürülebilirliğin sağlandığını belirtmektedir. Makalede, ekonomik kalkınma, güvenceli esnekliğin bileşenleri Aktif İşgücü Piyasası Politikaları(ALMP) ve Pasif İşgücü Piyasası Politikaları (PLMP) ile ilişkilendirilmektedir.

Makalede, ampirik çalışma olarak, OECD ülkelerinde kamu harcamalarındaki; aktif işgücü politikaları ve pasif işgücü politikalarının GSYİH içindeki oranları veri olarak alınmaktadır. Ayrıca, OECD ülkelerindeki Gini katsayılarıyla korelasyon olup olmadığı test edilmektedir. Araştırmanın bulguları aktif işgücü piyasası politikalarıyla ilgili harcamaların, Gini katsayısının sıfıra yaklaşması sonucunun bir nedeni olduğunu ortaya koymaktadır. Ancak, pasif işgücü piyasası politikaları harcamalarının Gini katsayısı ilişkisi bulunmamıştır.

**Anahtar Kelimeler:** Güvenceli Esneklik, ALMP, PLMP, Gini Katsayısı, Covid.19.

### Relation Between Flexicurity and Gini Coefficient: COVID-19 Era Assessment and Sample Analysis of The OECD Countries

**Abstract:** In this study, the flexibility and security components that affect the forms of employment in the globalization process are discussed within the framework of the concept of flexicurity. It is noteworthy that employment is addressed not only by the employer but also by the employees. In addition, the importance of the study is to draw attention to the fact that governments contribute to the balance of the scale with Active Labor Market Policies ( ALMP ) and Passive Labor Market Policies ( PLMP ).

The main aim of this study is to contribute to the literature by establishing a link between Flexicurity and Gini coefficient which is an indicator of economic development. In the article as an empirical study, as public expenditures in OECD Countries; It is tested whether the ratios of active labor market policies and passive labor market policies in GDP are collated with Gini coefficient. The findings of the study show that the expenditures related to the active labor market policies and passive labor market policies are a reason for the Gini coefficient to approach to zero. However, passive labor market policy spending does not have a Gini coefficient relationship.

**Keywords:** Flexicurity, ALMP, PLMP, Gini Coefficient, Covid.19.

## Sosyal Medyanın Gücü İle Kriz Yönetimi

Dr. Öğr. Üyesi. Bora Gündüzyeli<sup>1</sup>

<sup>1</sup>Istanbul Ayyansaray Üniversitesi / İİSBF, Yönetim Bilişim Sistemleri Bölümü,  
boragunduziyeli@ayvansaray.edu.tr, ORCID: 0000-0001-5098-8713

**Özet:** Krizler aniden ortaya çıkan, beklenmedik ve çoğunlukla hazırlıksız yakalınan durumlardır. Sosyal medyanın gücünden faydalanmak ise her daim negatif çağrılar yapan kriz durumlarının yönetilmesinde oluşturulacak algı açısından önem taşımaktadır. Sosyal medya bu bağlamda hem kriz esnasında faydacı olmakta hem de krizin çıkacağına dari sinyaller verebilmektedir. Özellikle hizmet sektöründe krizin hızla büyüme olasılığı söz konusudur. Pek çok örnekte kriz durumlarında her iki tarafın da etik dışı yöneldiklerinin gözlemlenebilmektedir. Bu durumda kriz zamanlarında savunmacı bir yaklaşım ile değil empatiye dayalı ve açık iletişim içeren şekilde sürecin yönetilmesi faydalı olacaktır. Kriz esnasında sosyal medya aracılığı ile açık bir bilgi iletişimi kurmak, sessiz kalmamak ve takipçilere tam bilgi vermek önemlidir. Eksik, çarpıtılmış ve yanlış bilgi sunumundan uzak durulmalıdır. Krizlerin doğru yönetilmemesi kurumların düzenini bozarak yıpratıcı hatta yıkıcı sonuçlara neden olabilmektedir. Doğru şekilde yönetilen bir kriz herhangi bir yıkıcı etki göstermeyebilir hatta yapıcı sonuçlar bile getirebilmektedir.

Kamuoyuna hangi araçlar ile ulaşılabileceğini bilmek ve önceden hazırlıklı olmak kriz yönetiminin etkin yürütülmesi için önemlidir. Bahsi geçen ön hazırlık krizin boyutunun büyümeden önlenmesine yardımcı olmaktadır. Sosyal ağlar vesilesi ile ortaya konan eylemlerde yine empati yapılmalıdır. Krizin her aşamasında yapılacak sosyal ağlar vasıtası ile yapılacak doğru ve yeterli bilgilendirme krizin gerginliğini stabil seviyede tutacaktır.

Bu bilgiler ışığında çalışmanın amacı kriz yönetiminin sosyal medya desteği ile ne şekilde yapılabileceğine yönelik literatür taraması yapmaktır. Üç bölümden oluşan çalışmanın ilk bölümünde kriz, kaos, kriz nedenleri, türleri, etkileri, süreci, çözülme aşamaları ve kriz döneminde uyulması gereken temel prensiplere yer verilmiştir. İkinci bölümünde kriz yönetimi, kriz yönetiminin temel özellikleri, amaçları, kriz döneminde erken uyarı, erken uyarı sinyalleri, sinyallerin izlenmesi, aktarılması ve sinyal bilgilerinin değerlendirilmesi konuları incelenmiştir. Ayrıca bu bölümde sosyal medyanın kriz esnasında ne şekilde kullanıldığı dikkat edilmesi gereken unsurlar yer almıştır. Üçüncü ve son bölümde ise işletmelerde yaşanan krizler ve bu krizlerin sosyal medya aracılığı ile ne şekilde önlenmesine yönelik örnekler sunulmuştur.

Günümüz iletişiminde sosyal medyanın etkisi ve krizlerin yok edici etkileri düşünüldüğünde çalışmanın hem alan yazın için hem de gerçek hayatta faydacı olacağı düşünülmektedir.

**Anahtar Kelimeler:** Sosyal Medya, Kriz Yönetimi

### Crisis Management With The Power Of Social Media

**Abstract:** Crises are situations that occur suddenly, unexpectedly, and are often caught unprepared. Taking advantage of the power of social media is important in terms of the perception to be created in the management of crisis situations that always make negative calls. In this context, social media is both utilitarian during the crisis and can give direct signals that the crisis will break out. Especially in the service sector, the crisis is likely to grow rapidly. In many cases, it can be observed that both parties tend to be unethical in crisis situations. In this case, it will be beneficial to manage the process in a way that is based on empathy and includes open communication, not with a defensive approach in times of crisis. During the crisis, it is important to establish an open communication of information through social media, not to be silent and to give full information to the followers. Incomplete, distorted and incorrect information presentation should be avoided. Incorrect management of crises can lead to corrosive and even destructive results by disrupting the order of institutions. A properly managed crisis may not have any devastating effects or even produce constructive results.

Knowing the means by which the public can be reached and being prepared in advance are important for the effective execution of crisis management. The aforementioned preliminary preparation helps to prevent the scale of the crisis from escalating. Again, empathy should be shown in the actions put forward through social networks. Accurate and adequate information through social networks to be made at every stage of the crisis will keep the tension of the crisis at a stable level.

In the light of this information, the aim of the study is to search the literature on how crisis management can be done with the support of social media. In the first part of the study, which consists of three parts, the crisis, chaos, the causes, types, effects, processes, stages of dissolution and the basic principles to be followed during the crisis are given. In the second part, crisis management, basic features and objectives of crisis management, early warning in the crisis period, early warning signals, monitoring and transfer of signals and evaluation of signal information are examined. In addition, in this section, there are elements that need to be considered in how social media is used during the crisis. In the third and last part, examples of the crises experienced in businesses and how these crises can be prevented through social media are presented.

Considering the effect of social media in today's communication and the devastating effects of crises, it is thought that the study will be utilitarian both for the literature and in real life.

**Keywords:** Social Media, Crisis Management

## Nüfus Yaşlanması ve Beşeri Sermaye: Farklı Gelir Düzeylerine Sahip Ülkelerden Kanıtlar

İpek Akad, Ph.D.<sup>1</sup>

<sup>1</sup>Dept. of Economics, Bitlis Eren University

**Özet:** Bu çalışma, farklı gelir düzeylerine sahip ülkelerin demografik yapısındaki değişikliklerin beşeri sermaye üzerindeki etkisini araştırmaktadır. Dünya nüfusu giderek yaşlanıyor. Peki, nüfus yaşlanmasının daha da artmasının sonuçları nelerdir? Bu soruyu cevaplamak için ekonometrik denklemi bir polinom denklemi olarak oluşturdum. Çalışmanın sonucu, nüfus yaşlanmasının nedenleri ve etkileri nedeniyle ekonomi açısından oldukça önemli bir konu olduğudur. Nüfusun yaşlanması, az gelişmiş veya gelişmekte olan ülkelerde dezavantaj yaratırken, gelişmiş ekonomilerde beşeri sermaye stoku açısından avantaj bile yaratmaktadır. Yaşlanan nüfus artışının beşeri sermaye üzerindeki etkisi, düşük gelirli ülkelerde U şeklinde, orta ve yüksek gelirli ülkelerde ise ters U şeklindedir.

**Anahtar Kelimeler:** Nüfus Yaşlanması, Beşeri Sermaye, Panel Veri Modelleri

**JEL Kodları:** J11, J24, C23

## Population Aging And Human Capital: Evidence from Countries with Different Income Levels

**Abstract:** This study investigates the effect of the changes in the demographic structure of countries with different income levels on human capital. The world population is getting increasingly older. So what are the consequences of population aging increases further? To answer this question, I constructed the econometric equation as a polynomial equation. The result of the study is that population aging is a highly important issue in terms of the economy due to its causes and effects. While population aging creates disadvantageous in underdeveloped or developing countries, it even creates an advantage in terms of human capital stock in developed economies. The effect of the increase in population aging on human capital is U-shaped in low-income countries and inverted U-shaped in middle and high-income countries.

**Keywords:** Population Aging, Human Capital, Panel Data Models

**JEL Classification:** J11, J24, C23



## Türkiye Sorumluluk Sigortaları Branşında Faaliyet Gösteren Sigorta Şirketlerinin Satış Performanslarına Yönelik Bir Uygulama

Mehmet Arda YILMAZ<sup>1</sup>

<sup>1</sup>Trakya Üniversitesi Edirne Sosyal Bilimler Meslek Yüksekokulu Finans-Bankacılık ve Sigortacılık Bölümü, E-mail: mehmetyilmaz@trakya.edu.tr, ORCID:0000-0003-2757-1404

**Özet:** Kara araçları sorumluluk sigortaları Türkiye’de önemli bir pazar payına sahiptir. Sigorta şirketleri bu alanda kendilerini daha da geliştirme ve kazançlarını artırma çabası içindedirler. Bu araştırmada Türkiye’de 2019 yılında kara araçları sorumluluk sigortaları branşında hizmet veren 31 sigorta şirketi değerlendirilmiş ve pazar payının çoğunluğunu elinde bulunduran şirketlerin performansları Veri Zarflama Analizi (VZA) ile incelenmiştir. İnceleme sonucunda etkin olan sigorta şirketleri belirlenerek göreceli etkinlik değerleri tespit edilmiştir.

**Anahtar Sözcükler:** Mobil Bankacılık, Hizmet Deneyim Kalitesi, Banka tercihi

### An Application Regarding the Sales Performance of Insurance Companies Operating in the Liability Insurance Branch of Turkey

**Abstract:** Land vehicle liability insurance has a significant market share in Turkey. Insurance companies are trying to improve themselves and increase their earnings in this area. In this research, 31 insurance companies operating in the land vehicle liability insurance branch in Turkey in 2019 were evaluated and the performances of the companies that hold the majority of the market share were examined by Data Envelopment Analysis (DEA). As a result of the examination, the effective insurance companies were determined and their relative efficiency values were determined.

**Keywords:** Liability insurance, performance, data envelopment, efficiency

## Müşteri Deneyiminin Marka Sadakati Üzerine Etkisi

Oylum Ekşi<sup>1</sup>

Zafer Cesur<sup>2</sup>

<sup>1</sup>Öğr. Gör., Kocaeli Üniversitesi / Gazanfer Bilge MYO, Pazarlama ve Reklamcılık Bölümü,  
oylum.eksi@kocaeli.edu.tr, ORCID:0000-0002-2182-1364

<sup>2</sup>Öğr. Gör., Kocaeli Üniversitesi / Hereke Ömer İsmet Uzunyol MYO, Yönetim ve Organizasyon Bölümü,  
zafer.cesur@kocaeli.edu.tr, ORCID: 0000-0002-5758-7688

**Özet:** Küreselleşme ve artan yoğun rekabet ortamı nedeni ile işletmelerin varlıklarını sürdürebilmeleri, geleceğe dair planlar yapabilmeleri için öncelikli olarak var olan müşterilerini elde tutmaları gerekmektedir. Var olan memnun edilmiş müşteriler, işletmenin imajını olumlu yönde etkileyerek zaman içerisinde yeni müşteriler de kazandırmaktadırlar. Bu nedenle günümüzde işletmeler için markalarına sadık müşterilere sahip olmak oldukça önemli bir hal almıştır. Doğaları gereği sosyal birer canlı olan tüketiciler, fiziksel ya da teknolojik olarak çevreleri ile sürekli etkileşim içerisinde bulduklarından istek ve ihtiyaçları dolayısı ile eğilimleri de sürekli değişim göstermektedir. Rekabetin bu denli yoğun yaşandığı, değişimlerin büyük bir ivme ile devam ettiği günümüzde müşterileri elde tutmak, markaya sadık müşteriler oluşturmak, müşterilerin beklentilerinin karşılanması, hatta ve hatta beklentilerinin aşılması ile mümkün olabilmektedir. Beklentileri karşılamak ve aşmak içinse müşterileri çok iyi anlamak gerekmektedir. İşletmelerin, müşteri memnuniyetini sağlamak ve müşteri sadakatini artırmak için müşterileri için deneyimler oluşturmak durumundadırlar. İşletmeler farklı deneyimler ile müşterileri memnun etmeyi, ürünlerini tekrar satın almayı, işlerini tekrar ziyaret etmelerini ve kendilerini çevrelerine olumlu referans ile tavsiye etmelerini hedeflemektedirler. Satın alma öncesinden başlayarak satın alma sonrasını da içine alan tüm aşamalarda müşterilerin bilişsel, duygusal ve davranışsal tepkilerinin toplamı olan müşteri deneyimi bize müşterilerin tepkilerini gözlemleyebilme, değerlendirebilme, değerli ve akıllarda kalıcı etkileşimler oluşturabilme şansını verir. Böylelikle işletme müşteri etkileşimlerini de tasarlayarak ve yöneterek markasına sadık müşteriler oluşturabilir.

Bu çalışmanın amacı; müşteri deneyiminin marka sadakati üzerindeki etkisini belirlemektir. Yapılan literatür taramasında bir çok çalışmada müşteri deneyiminin marka sadakati üzerinde pozitif yönde etkisi olduğunu gösterir sonuçlar bulgulanmıştır.

**Anahtar Kelimeler:** Deneyim, Müşteri Deneyimi, marka Sadakati

## Sosyal Medya Fenomenlerinin Algılanan Sosyal Medya Pazarlaması Faaliyetleri Ve Gösterişçi Tüketim Üzerindeki Rolü

Oylum Eksi<sup>1</sup>

Zafer Cesur<sup>2</sup>

Oğuz YavuzYılmaz<sup>3</sup>

<sup>1</sup>Öğr. Gör., Kocaeli Üniversitesi / Gazanfer Bilge MYO, Pazarlama ve Reklamcılık Bölümü,  
oylum.eksi@kocaeli.edu.tr, ORCID:0000-0002-2182-1364

<sup>2</sup>Öğr. Gör., Kocaeli Üniversitesi / Hereke Ömer İsmet Uzunyol MYO, Yönetim ve Organizasyon Bölümü,  
zafer.cesur@kocaeli.edu.tr, ORCID: 0000-0002-5758-7688

<sup>3</sup>Öğr. Gör., Kocaeli Üniversitesi / Gazanfer Bilge MYO, Yönetim ve Organizasyon Bölümü,  
oguz.yavuzyilmaz@kocaeli.edu.tr, ORCID:0000-0003-0023-0554

**Özet:** Globalleşme ve teknolojiadaki yüksek ivmeli değişim sayesinde tüketiciler daha bilinçli, istedikleri kişilerle hızlıca iletişime geçebilir, referans aldıkları kişi ya da kişileri rahatlıkla takip edebilir, bilgilere ve ürünlere rahatlıkla ulaşabilir, inceleyebilir, karşılaştırabilir, satın alabilir hale gelmişlerdir. Teknolojideki değişimin sonuçlarından birisi olarak hayatımıza giren bilgi teknolojilerinden olan ve hayatlarımızda önemli bir yer edinmiş sosyal medya da, tüketicilerin yukarıda bahsi geçen amaçlar için kullandığı teknolojiadaki değişimlerin getirilerinden biri olan platformlardan birisidir. Sosyal medyanın her geçen gün oldukça yaygın olarak kullanılması, işletmelerin de hedef kitleleri ile iletişim kurmak, marka farkındalığı yaratmak, pazarlama amaçlarına ulaşmak için kullandığı önemli yerler haline gelmesine neden olmuştur. Marka bilinirliğini ve firma imajını güçlendirerek satış hacmini arttırmak isteyen firmalar, müşteri deneyimini de yaşatmak amacı ile sosyal medyada, kanaat önderleri yani bir başka deyişle influencerlar ile birlikte hareket ederek tüketicilerin ilgisini çekmek, güvenini kazanmak ve onları markalarını satın almaya yönlendirmek, sadık müşteriler yaratmak istemektedirler. Değişimler teknolojik boyutla sınırlı kalmayıp insanların yaşam ve sosyal hayatlarının şekil almasında her daim etkisi ve belirleyiciliği yüksek bir faaliyet olan tüketim tarzlarında da değişimlere neden olmuştur. Tüketim geçmişte, daha çok ihtiyaçların karşılanması amacıyla yönelik yapılmakta iken, günümüz insanları tarafından psikolojik, imgesel ve sosyolojik amaçla da yapılır hale gelmiştir. Hatta günümüz tüketiminde fonksiyonel faydadansa psikolojik fayda daha önemli bir hal almıştır. Tüketimde yaşanan değişimler, farklı tüketim tarzlarının ortaya çıkmasına neden olmuştur. Günümüzde pazarlama alanında sıklıkla karşılaştığımız gösterişçi amaçlı yapılan gösterişçi tüketim de bu yeni tüketim tarzlarından birisidir.

Bu araştırmanın amacı, sosyal medya fenomenlerinin yani influencerlar'ın algılanan sosyal medya faaliyetleri ve gösterişçi tüketim üzerindeki rolünü belirlemektir.

**Anahtar Kelimeler:** Sosyal Medya Pazarlaması, Sosyal Medya Fenomenleri, Gösterişçi Tüketim

## Enflasyonist Ortamlarda Finansman Gider Kısıtlamasının Uygulanabilirliği Üzerine Bir İnceleme

Dr. Öğr. Üyesi Selçuk TEKİN<sup>1</sup>

<sup>1</sup>Trakya Üniversitesi, İktisadi ve İdari Bilimler Fakültesi, Maliye Bölümü, selcuktekin@trakya.edu.tr

ORCID: 0000-0003-2725-0651

**Özet:** Doğrudan gelir üzerinden alınan gelir ve kurumlar vergilerinin matrahlarına ulaşılırken yasa koyucu tarafından kimi mali, iktisadi, sosyal, kültürel gibi etkenlerle elde edilen hasıllardan katlanılan maliyet ve gider unsurlarından bazılarının indirimi kabul edilmemektedir. Genel olarak kanunen kabul edilmeyen gider olarak belirtilen gider ve maliyet kalemleri, Gelir Vergisi Kanunu'nun (GKV'nın) 41'inci maddesi ile Kurumlar Vergisi Kanunu'nun 11'inci maddesinde birbirine paralellik arz edecek şekilde belirlenmiştir. Matrahın tespiti sırasında indirimi kabul edilmeyen giderlerden biri de finansman gider kısıtlamasıdır. Mükellefleri, kendi özkaynaklarıyla finansman temin etmelerine yönelten bu düzenleme vergi yasalarımızda önceleri 1996-2003 yıllarında uygulanacak şekilde düzenlenmiş, enflasyonun azalması nedeniyle getirilen enflasyon düzeltmesi hükümlerinin ihdasıyla yürürlükten kaldırılmış ancak 2012 yılı itibarıyla öncesindekinden birkaç farklı içerikle yeniden yürürlüğe girmiştir. Kanunla işletmelerde kullanılan yabancı kaynakların özkaynağı aşan kısmına isabet eden faiz, kur farkı, vade farkı gibi ödemelerin toplamının en fazla %10'luk kısmının gider olarak indirilmesi engellenmiştir. Azami indirim oranını belirleme yetkisi Cumhurbaşkanı'nda olup, aradan yaklaşık 9 yıl geçtikten sonra 01.01.2021 tarihinden itibaren geçerli olmak üzere bu oran %10 olarak belirlenmiştir. Günümüzde yüksek enflasyona yeniden girildiği süreçte mükelleflerin özellikle faiz ve kur farkı gibi ciddi finansman giderlerinin bir kısmının matrahın belirlenmesinde indirim olarak dikkate alınmaması uygulamasının idari düzenlemelerle birçok sorunlara yol açtığı görülmektedir. Bu çalışmada kanunen indirimi kabul edilmeyecek kısıtlama tutarının hesaplanmasından, yabancı kaynak kavramının açık olmamasına, mükellefler arasında eşitliği bozucu etkisinden, finansman giderlerinden gelirlerin mahsup edilip edilmemesine kadar birçok hususta tespitler yapılarak çözüm önerilerinde bulunulmuştur.

**Anahtar Kelimeler:** Finansman Gider Kısıtlaması, Kanunen Kabul Edilmeyen Giderler, Yabancı Kaynak, Özkaynak

**Jel Sınıflandırması:** H20, H21, H25, H29

## Examining Stakeholder Engagement for City Brands: A Qualitative Research on the Concept and Its Consequences

Taner Sığındı<sup>1</sup>

<sup>1</sup> Assist.Prof., tanersigindi@mu.edu.tr, ORCID: 0000-0002-9048-7718

**Abstract:** Stakeholder engagement is vital for the success of building and managing the city brands. The dimensions of engagement have been conceptually examined in various disciplines, but no consensus has been reached on the dimensions of the concept in the literature. Furthermore, the dimensions of stakeholder engagement in city branding have been neglected, and the concept of engagement has been accepted as one-dimensional in the few studies addressing this subject. There are also several studies examining the outcomes of brand engagement for goods or services, however, the consequences of stakeholder engagement in city branding have not been investigated deeply yet.

This paper focuses on the dimensions of stakeholder engagement in city branding and also consequences of the engagement. Deductive (literature review) and inductive (in-depth interview data) approaches were both used in the research. Semi-structured interview method was utilized after conducting the literature review. Convenience and purposive sampling methods were used to recruit twelve participants. The respondents were asked to select a city brand which they show high engagement, and then questions were asked in order to identify the dimensions of engagement in self-selected brand and the outcomes of this engagement.

According to the findings of thematic analysis, stakeholder engagement consists of three dimensions for the city brand namely cognitive, emotional and behavioral. Participants of the research are categorized as resident, visitor and investor depending on their connection with the self-selected city brands they are highly engaged. The residents and visitors show engagement in all three dimensions, while the investors principally engage in cognitive and behavioral dimensions. The explored prominent expressions are *think about, comfortable life, resources, ponder* in cognitive dimension; *excitement, love, commitment* in affective dimension; *search, living, visiting and pay attention* in the behavioral dimension.

Attitude, word of mouth and loyalty are the elements identified as the consequences of stakeholder engagement. There is no difference in engagement outcomes depending on the role of being a resident, visitor or investor. The theme of attitude includes positive feelings and thoughts about the brand. Word-of-mouth theme involves the respondents to share the city brand-related issues with other people in social and business environment via face-to-face communication or social media. Loyalty theme comprises the respondents wish or maintain to live, visit or invest in the city.

**Keywords:** Brand engagement, city brand, resident, visitor, investor.