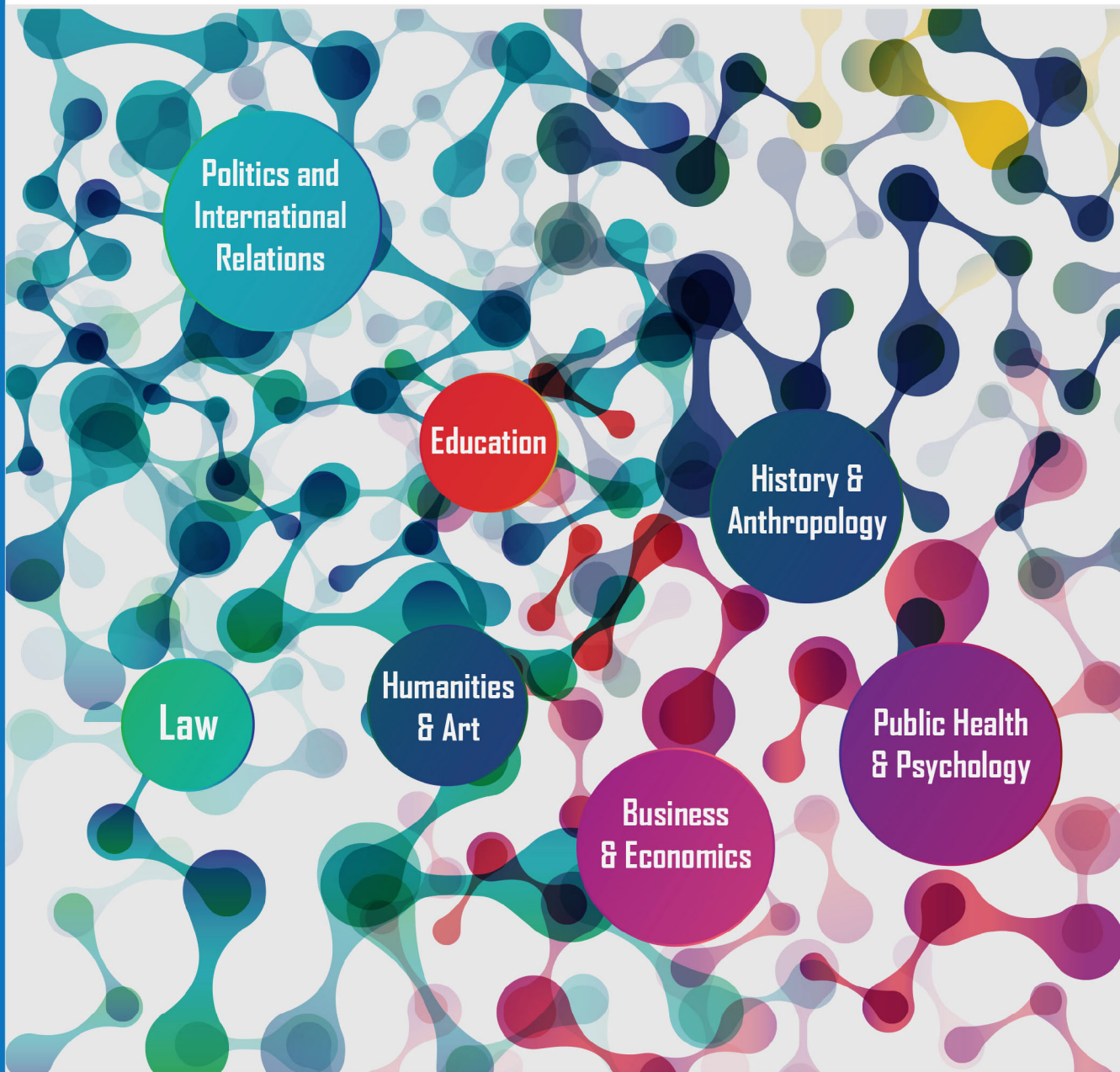


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History

Review

by Mzia Surguladze,
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The Relations between Pre-Islamic Turks and Georgians from the Third to the Ninth Century: A History of Byzantine-Persian Politics in the Caucasus

Relations between Georgian and Pre-Islamic Turks are traced since the 3rd century AD. The Turkic peoples settled in the North Caucasus were in active contact with those who lived in the North as well as the South Caucasus – including Georgians. Various kinds of relations can be followed in this regard: cultural and economic interaction as well as warlike clashes, which frequently took place throughout the early Middle Ages. Since the North Caucasus was densely populated and from time to time filled up by new fertile lands was not a peaceful activity and was accompanied by invasions and onslaughts, resistance from natives, massacres or expulsion of people. In a complicated junction of interests the Turkic peoples, who created different state formations beyond the Caucasus Range, were not just invaders but also frequent allies and a reliable support for their southern neighbors. Related sources reflected not only the negative, but also the positive experience of the relations of Georgians with Turkish speaking tribes, such as Huns, Khazars and Kipchaks.

The work reveals some plausible periods of dependence of Georgians on Turkish speaking tribes: Huns, Turks and, later Khazars. However, these were short periods: the early 6th century, late 2nd decade of the 7th century (628-630), the 6th decade of the 8th century, when Kartli was in such a dependence; also the 8th decade of the 8th century, when Abkhazia shares Kartli's fate; a number of cases of alliances has been confirmed. The investigation of the time comes to defining some facts from the Georgian history.

The work of *Giuli Alasania* - "The Georgians and the Pre-Islamic Turks" is dedicated to a less studied issue in Georgian historiography – Late Antiquity and the participation of Pre-Islamic Turks in the political processes ongoing in Georgia in the Middle Ages. Under Pre-Islamic Turks, the author implies the Turkish-speaking tribes, which alternately occupied the vast plains of the East Black Sea Coast and the North Caucasus and entered the South Caucasus through the mountain passes of the Caucasus. Their strong military potential significantly defined the diplomacy of the South Caucasian countries over centuries, by which they tried to maintain opportunities for political maneuvering in relations with hostile neighbor empires (Rome, Iran, Byzantium, Arab Caliphate).

In order to neutralize the threat coming from the North Caucasus, Georgian kings used military force and sometimes took diplomatic steps as dictated by circumstances (the latter were mainly demonstrated by dynastic marriages). In all cases the rulers of Georgia tried to control the mountain passes of the Caucasus, thus becoming international political actors from Late Antiquity through the Middle Ages. The political achievements of the Georgian kings were often defined by alliance with the North Caucasus. Certainly, configurations of such alliances were largely affected by interests of neighboring empires, which fatally confronted each other for peoples residing in the South Caucasus. Georgia and Albania, directly neighboring the North Turks, were particularly affected by these confrontations. These countries have often become the objects of destructive attacks from various Turkish tribes, but there have been longstanding periods of peaceful cohabitation as well, when political leaders of the Caucasian countries adeptly used their northern neighbors for resolution of their own military-political objectives. Due to the above, it is impossible to fully study the political history of the South Caucasian countries without considering the factor of the North Caucasus. These issues are primarily presented in the research paper.

The objective set by the author predetermines the original structure of the work– the issues reviewed in it address separate events and episodes from the historic past of Georgia, often chronologically distant from each other, but they are united by one basic issue – Pre-Islamic Turk relations with Georgia, their military-political cooperation and confrontations. That is why the book has a large chronological range – from Antiquity until nearly the end of the Middle Centuries.

When considering each issue, the author follows the same scientific standard: raising a problematic issue, critically overviewing the sources and scholarly literature connected with it, and then offering us her own original reconstruction of the historic picture. Even when the author agrees with previous researchers, she always provides a new argument to support the existing views. The author often covers issues in a new way and they should not be seen as ambiguous, but the juxtaposition of data from Georgian and foreign sources, their understanding in the context of the regional politics, allows her to find “weak spots”, detect “blank pages” of historiography and offer new, clearly substantiated versions of a number of known historic events.

The names of tribes settled in the North Caucasus at various times are often mixed in the sources of the Georgian history (Turks, Huns, Alan-Ossetians, Khazars, Kipchaks...), sometimes ethnonyms of Turkish origin are used collectively, generally, to denote the wandering invaders, regardless of their origin. Such mixtures of ethnic names create a specific difficulty for all researchers who ever attempted to interpret them. The oldest layer of the “Georgian Chronicles” which brings us to the origins of the statehood of Kartli of the Achaemenid period is distinguished by the complexity of identification of non-Georgian ethnic names and foreign languages related to them. This problem is addressed in the first chapter of the research paper, in which the author, considering the diverse sources and a wide historical context, similar to other authors, substantiates that Bun-Turks/Turks of the “Georgian Chronicles”, who according to the source, had settled in Kartli before Alexander of Macedonia, actually implies Scythians whose dominance in the East Georgia is confirmed by archaeological materials and linguistic data. The author also discusses the well-known episode of the “Georgian Chronicles” about the use of six languages among the population of Kartli at the same period (Armenian, Georgian, Khazar, Assyrian, Hebrew, Greek). This information had frequently become the subject of dispute and numerous interpretations in the scientific literature. Some researchers assumed that the list was incomplete and it lacked two languages – Persian and Turkish. The author of the work intentionally addresses this issue and convincingly protects the “credibility” of the source, substantiates that six and more languages correspond to the historic reality; explains why the Persian was not mentioned (it was replaced by Aramaic, which was mentioned as Assyrian in the text), while “Khazar” implied not the existence of the Turkish massive, but the Scythian-Sarmatian language.

Scarcity, fragmentation and sometimes inconsistency of information related to Pre-Islamic Turks are common for Georgian sources. For their interpretation the author fully refers to the control material – Greek, Armenian, Syrian, Arabic sources, analyzes the scientific literature related to them and tries to understand the contradictory logic of sources even when they give rise to different interpretations. Searching for the Turkish “trace” helps the author to obtain new analytical information and newly interpret the known historical facts with which the research paper is so rich.

The author confirms the appearance of the Huns in the South Caucasus in the chronicles of Movses of Khorenaztsi, who describes the episode of battle between the Armenians and the Huns in the early 3rd century and mentions the route of their invasion (Chor pass, historical Albania). It is well seen in the work that a different model of relations between Huns and South Caucasian peoples was formed in this century, which implied their unification against the common enemy. Here the author uses the data of the “Georgian Chronicles” and *Agathangelos* and it is seen by juxtaposition of these data, that the king of the Georgians opened the gate of the Caucasian mountains to the North Caucasian tribes to assist the king of the Armenians in rebelling against Persia and “Khazars” are mentioned among those tribes. Even though this is the case of mixture of ethnic names here too, but in reality, Huns are meant here which is confirmed by the Armenian source when conveying the same episode.

A number of similar episodes have been revealed from the history of the South Caucasian countries of the 4th-5th centuries as a result of analysis of the Georgian and Armenian sources. Turkish tribes permanently participated in the Caucasian politics together with other autochthonic Caucasian tribes, which, as the author notes, certifies a certain level of integration of Turkish-speaking tribes, however, the fact of mentioning them in each separate case requires an independent research and evaluation. Certainly, relations with Turks could not have been stable for a long time. This research paper pays particular attention to the fact when the kings of Kartli (sometimes the same king) replace hostility with Turkish tribes with military-political alliances with them it is due to political circumstances. Identification of such alliances helps the author to detect or clarify other historical facts. For example, it is established in the research paper that Georgians also participated in the Anti-Persian rebellion of the Armenian-Albanians with the assistance of Huns (Egishe) in the mid-5th century, which had been denied in the special literature

until now. The King of Kartli, Vakhtang Gorgasali had non-homogenous relations with Huns in the second half of the 5th century. At the beginning of his rule, he conducted successful campaigns against Ossetians and Huns (Kipchaks are mentioned in the source) in the North Caucasus and strengthened the Darial Gorge with fortresses. Political circumstances of confrontation between Vakhtang and Huns and afterwards, their alliance are reviewed in the research paper in detail; the connection of such facts with the regional politics of Byzantine Empire and Persia are explained; a number of facts regarding the involvement of the Huns in the struggle of the Caucasian people against Persia are detected. The displacement routes of Huns towards the South are reviewed and identification of ambiguous toponyms associated with these routes are provided. The author specially discusses the attempts of Vakhtang Gorgasali to arrange troops of Georgians, Armenians and Huns against Persia and the reasons for failure of this plan. Two battle episodes of the war between Byzantium in Persia in the early 6th century are rather interestingly connected with each other in the research paper. The first battle took place in Byzantium Armenia in which the Persians took edge over the opponents and the other battle was conducted in Georgia, "Over Iori" (The "Georgian Chronicles"). Vakhtang Gorgasali was deadly wounded in this battle. The logical connection between these two battles is evident. Therefore, the author's arguments that Huns, as allies of Byzantium, came to Georgia through Darial Gorge with the permission of the king of Kartli seems totally acceptable. As the date of the first battle is specified in the special literature, the author can specify the date of death of Vakhtang Gorgasali (not earlier than 503), which is a disputable issue for historians.

Juxtaposition of a wide range of sources (historiographic, literary, folkloristic, linguistic) encouraged the author to revise some statements of the long-standing historiographic tradition from the historic past of Georgia. These include dating a significant event such as abolition of the kingship in Kartli and introduction of institution of Erismtavari (princedom) in the 6th century. Even though doubts had been previously expressed by researchers regarding the accepted dates (523/532), they always lacked substantiation. The study of anti-Persian rebellions of the South Caucasian peoples and the detection of Turkish elements in them allowed the author of this research paper to separate the ambiguous and undifferentiated data of sources, make the insignificant details objects of observation, clarify the chronology of events, which eventually provided the basis for the totally new reconstruction of the political life of the

6th century Georgia. It can be said that the issue of power in the 6th century Kartli is not provided with such clear details in any research other than this one. The author consistently substantiates that the royal power continued existing during the entire 6th century, even though with certain discontinuities. It was abolished only as a result of Byzantine - Persian treaty concluded in 591 and the first presiding prince of Kartli was Stephanos I.

The majority of experts of Caucasian studies share the opinion that Albania was left to the Khazars after the end of campaigns of the Caesar Heracles and the Eastern Kartli was under the influence of Byzantine Empire until appearance of Arabs; however, it enjoyed actual independence. We see a similar assumption in works of V. Minorsky that before invasion of Arabs, the entire eastern part of the South Caucasus was in the hands of Khazars. The author of this research paper, who is studying the military and political aspects of relations of Caesar Heracles and Khazars in details, arrives at the conclusion that the Caesar ceded eastern Kartli in line with Albania to Khazars. In this case the author of the research paper refers to the historic-geographic data of Arab geographers (Ibn Khordadbeh, al-Baladhuri, Ibn al-Athir), who consider Kartli together with Albania within the domains of Khazars.

The role of the Khazars in the political life of Georgia particularly increased during Arab Rule, from 660s to 770s. The nature of military expeditions of Khazars in the South Caucasian countries, their devastating results, connection with the Caucasian policy of Byzantium, participation in anti-Arab rebellions and diplomatic links with local dynastic families, are studied in the research paper.

A separate chapter is dedicated to the political role of the Western Georgia in the process of the formation of the Georgian Kingdom, the so-called "Kingdom of Abkhazia". The identity of the first king of the Kingdom of Abkhazia, Leon, remains disputable until now. We know exactly that maternally, Leon was the grandson of the Khaqan of Khazars. At the same time, there was an opinion in the Georgian historiography that there had been two different Leons on the Abkhazian throne during the 8th century. This opinion is denied in the chapter and the source of this mistake is revealed. The existence of only one Leon who formed the Kingdom of Abkhazia on the ruins of the Kingdom of Egrisi with the assistance of Khazars is substantiated. Genealogical links between Leon and the Byzantine Emperor family (nephew of Leo the Isaurian) are defined. The entire

chain of dynastic marriages is interestingly outlined in this part of the article - the Byzantine Emperor's house - Khazar Khaganate – Kingdom of Abkhazia – Presiding Prince of Kartli. These links are fairly evaluated as the expression of a powerful anti-Arab coalition.

A separate chapter of the research is dedicated to the political changes triggered by the confrontation between Arabs and Khazars on the territory of the Eastern Georgia in the 8th century. It reviews the nature of the Arab Rule until the first Abbasids when local governance in the form of institution of principedom was still maintained, strong anti-Arab rebellions of Georgian mountain residents in 760s, who were supported by Khazars, and Arabs had to mobilize large forces to suppress these rebellions. Despite the fact that this period is interesting for many historians, ambiguity of sources, caused by the narration style or lack of chronological data, leaves a number of questions unanswered. The research paper offers many novelties in this regard. Several Khazar campaigns in the South Caucasus and particularly in Kartli are chronologically separated from each other, hiding the links of the presiding princes of Kartli with the rebelling mountain people are identified, which was followed by repressions of Abbasid Caliphs and formation of the Emirate of Tbilisi. Dating this event by mid-8th century in Georgian historiography has such a long tradition that it seemed not to be subject to revision any more. Observation of the “logic of movement” of Khazars in the East Caucasus allowed the author to perceive the fragmented data of sources more fully and connect them to the Georgian reality. It was discovered that Arabs were forced to establish the Emirate of Tbilisi after a strong rebellion of 760s, in 771, to be able to control Georgian mountain residents and local government which was found to be allied with Khazars against Arabs. Shattering of the institution of presiding princes of Kartli and its final abolishment are connected with this phenomenon. In the author's opinion, which is based on the data of the Armenian chronicler Ghevond regarding the repressions in Armenia and Kartli by Caliph Musa, the last presiding prince of Kartli was Stephanos who was executed by Arabs in 786 (Stephanos becoming a presiding prince is known from the Georgian hagiographic composition “The Martyrdom of St. Abo”). This opinion is contradicted by the 11th century Georgian source which refers to Ashot Curopalates as the presiding prince of Kartli at the turn of the 8th and the 9th centuries. To overcome this contradiction, the author overviews all sources related to Ashot Curopalates at the end of this chapter in detail, studies the titles of Ashot Curopalates (King, Curopalates) and confirms that Ashot Bagrationi,

the founder of Tao-Klarjeti principality, had never been the presiding prince of Kartli.

The issue of cooperation with Pre-Islamic Turks became important in the historic life of Georgia once again. Kipchaks had been active in that period and one of their large tribes settled north to Georgia in the late 11th century. During this period the Georgian king, David IV the Builder released the country from the Turk-Seljuks. Despite the achieved success, military forces of the country were not sufficient to protect the south borders, from which new waves of Turk-Seljuks were permanently inflowing. To avoid this threat, king David married the daughter of a Kipchak chief and afterwards resettled Kipchaks were known as good fighters in Georgia. Many historians have addressed the issue of the resettlement of Kipchaks. However, the issues of their number, accommodation and integration with the Georgian population remain disputable. These issues are highlighted in the research paper. According to the common opinion which is also shared by the author, Kipchaks were settled in the borderline of the South-East Georgia, along Mtkvari and Iori rivers, where the main route of Turk-Seljuks passed. As informed by the historian of King David, he resettled 40,000 Kipchak families. A large part of historians accepted this information without criticism and they estimated the total amount of Kipchaks at about 225,000. In the works published during the recent years, substantiated doubts were expressed regarding settlement of this amount of wanderers. There is an opinion that David settled about 5,000 warriors, about 25,000 with families (Margishvili); however, some authors, on the contrary, increase the possible amount of Kipchaks (Murgulia, Shusharin). The author of the research also leans towards the view that the number of Kipchaks was less than specified by the historian of David. In this case he relies on the data of Matthew of Edessa who noted that there were 15.000 Kipchaks in David's army. The author supports this opinion by the mystification of numbers common in the Middle Ages, which were also reflected in the Georgian sources. According to her observation, the number 40 thousands and 4 hundreds of thousand derived from it in the Georgian sources never express the actual number of troops (mysticism of numbers is studied by G. Alasania in a separate research paper "Number and Mystique in the ancient Georgian Historiography"- "Proceedings, Series of History, 4, 1984, pp. 28-45).

It is known that the process of Kipchak assimilation in Georgia was difficult and their main part returned soon after the death of David the Builder, but Kipchaks

are still mentioned in the Georgian sources of the following period here and there. The author studied all data where Kipchaks are mentioned – direct certifications of sources and lexical material, separate words and expressions related to the military system, which confirm the doubtless trace of Kipchaks in the Georgian reality. Such material allows the author to conclude that the Georgian kings used to invite Kipchaks as assistance forces and placed them in the vanguard. The author clarifies the expression “New Kipchaks” which some historians consider to be a concept different from the “old” Kipchaks settled earlier (during the reign of David). This view implies a continuous arrival of new flows of Kipchaks to Georgia which the author considers to be inconsistent with the historic reality. She claims that “New Kipchaks” mean newly converted Kipchaks who have accepted Christianity, and it is difficult not to agree with her about it, as the epithet “new” in old Georgian texts is really used to denominate a newly converted person, who has accepted Christianity. Despite this, based on the sources and linguistic facts the author also claims that Kipchaks used to arrive in the 12-13th cc. Georgia, but only temporarily, as hired warriors. The last time their trace appeared was at the turn of the 12th and the 13th centuries, during the Mongol rule. There was a double kingdom system in East Georgia in this period – Mongols confronted the King David VIII (1292-1311) undesirable for them with his brother, Vakhtang III (1293-138). In one episode, David sheltered in the mountain regions was attacked by Kipchaks. The author sees in this episode the reflection of the oppression of Kipchaks (as well as Ossetians) by the Golden Horde. Because of this, Kipchaks were ready to start in the service of Ilhans.

Finally, the research paper reviews the connection of the Orbeli feudal family, which has a distinguished importance in the history of Georgia with the Turkish world. The Orbeli family was exiled from Georgia in 1177 because of organizing the conspiracy against George III. One of them laid the foundation for the Armenian branch of the Orbeli family whose representative is the 14th century well-known historian, Stephanos Orbelyan. In the 15th century the vast Orbeli estates in Kvemo (Lowee) Kartli were transferred to the Baratishvili feudal house founded by the royal official Barata Kachibas-dze, according to the historical documents which have reached us. The opinion of S. Janashia about the origin of Baratashvili, which was based upon the phonetic system of Abkhazian language has been shared in the Georgian historiography for a long time. He believed that the ancestor of Baratashvili must have been a certain “Kachiba”, an Abkhaz who had moved to Kartli from West Georgia. This opinion

is denied in the research paper and it is substantiated that Baratashvilis were descendants of Orbeli and had initially appropriated the estates of their ancestors in Kvemo Kartli. Interesting material is presented in the research paper in favor of this opinion – The Baratashvili family legends and sagas strongly resemble the myths on the origin of Orbeli described by Stephanos Orbelyan. Common historical layers and plots are outlined which confirm the common origin of these two temporally distant families. The author dedicates particular attention to topo-ethnicons saved in the sagas (Chin/Chen, Bun-Turks) which are explained only on a Turkish language basis and had a generally meant the wandering forces (Scythians, Khazars) moved from the outside in the Georgian and Armenian world. Understanding of the unity of historiographic and epigraphic data, family sagas and proofs of ownership of Orbeli and Baratashvili families helps the author to restore the broken genealogical line between these two families. The author associates the etymology of their connective link – “Kachiba” to the Turkish root (Cürcü Kaçık/Kaçuk...) which means “Escaped Georgian” (other Georgian surnames of analogous etymology have also been referred to). The author assumes that “Kachiba” must have been the Turkish additional rank of the junior member of Orbeli House, Kavtar Orbeli who had returned to Georgia (sources refer to him as the younger brother or nephew of Ivane Orbeli). Apart from the assumed etymology of the additional rank, the author’s claim is based on the logic of development of events, according to which the feudal lord who had escaped from his homeland, an owner of large estates, returned back when given the opportunity. Kavtar began to gather the old estates of Orbeli family and his descendants became rulers of Kvemo Kartli with different names.

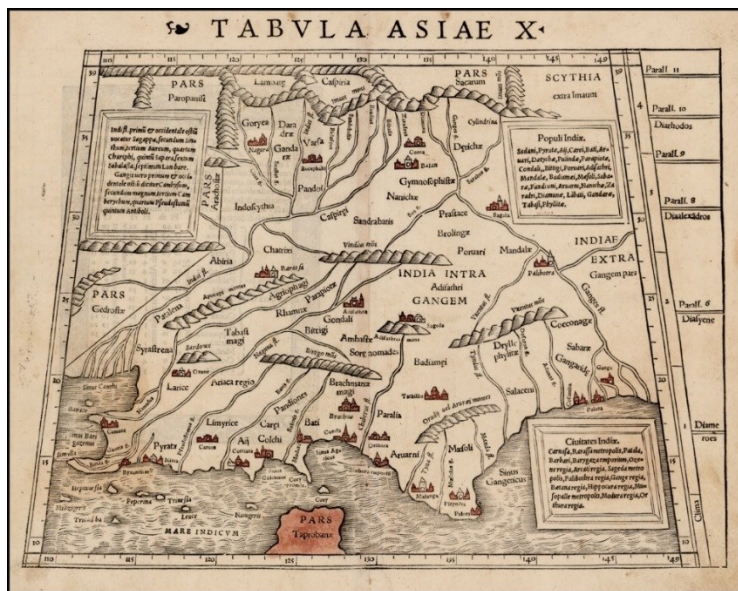
These are the main issues studied in the research. Certainly, the work in the paper is much richer contextually, as the author fully uses the existing historiographic database and scholarly literature, clarifies facts and finds explanation of each historic event in terms of regional politics, when reviewing each problematic issue. The research paper is crafted in a highly professional manner and it can be said, with scientific confidence, undoubtedly it will be interesting for researchers of Georgian history as well as the history of the Caucasus.

Caucasus and the Tamils

*Murugesan Sendil,
Madurai Kamaraj University*

Tamils constitute the Indo-Dravidian races of South India. Ancient foreign contacts with the Tamils are well documented in the works of Strabo, Megasthenes, Sangam anthology Aganaanooru. This research article proposes that Tamil civilization is based on the Graeco-Colchic and Armenian ones. The exodus of people from Cappadocia, Colchis and Cilicia provided the majority of settlers in Tamil Nadu. The Georgian origin of the Tamil script attains significance in view of the fact that Tamil is the focal point from which Dravidian languages have diverged. The community pattern of the ancient Tamils resembled the Greek model with Panar, Idaiyar groups being prevalent on both sides. The Caucasian ancestral origin of the Tamils makes them possibly the lone surviving group of Indo European races in South India.

Tamils are a widely distributed race comprising population of about 75-80 million. The hypothesis on the Eurasian lineage of the Tamils is based on the archaeological and literary evidences available. A homology analysis on the map of South India and the Caucasus reveals crucial information between these distant regions. Names of regions like Colchis, Adana are redundant. Korkai (Greek:Κολχίς) or Colchis was the capital of Tamil Pandian dynasty during 500 BC (Schoff, 1912, p. 211). Korkai was later ravaged by tsunami like waves forcing the shift of capital city to the inward Madurai. Tamils called it Korkai (Georgian- kolkheti) instead of Colchis. From the Georgian side, Colchis represented the mythological saga of Jason & Argonauts. Identical names of cities in these ancient civilizations further proceeds with Pandians, Boe, Muziris & Comarin. Based on this evidence it can be postulated that Graeco-Georgian-Armenian migrations occurred and were triggered by the Assyrian invasions during 715–696 BC Madurai occupied utmost significance due to it being the capital city. It became the final capital of the Pandian Kingdom after earlier shifts due to natural disasters. Madurai is referred to as Mada Madurai due to its ancestral Armenian city Metsamor.



Munster's Map of Tabula Asiae (1544 ca) showing the South Indian region of Tamil Nadu and its cities Pandiones, Colchis, and Bati. Photo credit -Barry Ruderman. Barry Lawrence Ruderman Antique Maps Inc. 7463 Girard Avenue La Jolla, CA 92037 (USA).

Muziris became the principal trading port of the Tamils after silting reduced Colchis port's operability. During the 1AD, Romans traded extensively in Muziris and they were called as Yavanas (Aiyangar, 2013, p.314). Muziris's Georgian counterpart is Musiri, the country between Armenia and Cilicia which is mentioned as Mizraim in Bible. Bati was a village in Tamil Nadu and has its Georgian precursor as Batumi. It is located south of Poti and was a Greek locality.

Pandion was the heroic Greek king of Athens belonging to the Attic tribes. The preference for Pandion among Greek gods while establishing the first dynasty in Tamil Nadu, reflects the hierarchy of Ionian Greeks among the settler's group. This should also be seen in the context of modelling Pandion kingdom on the lines of legendary Athens city. During Alexander's invasion of North India, Greek colonies were established. They did not possess the names of ancient cities in Greece with the exception of Pandion. Pandion was the daughter of the sky-god Zeus. Due to Cilician connections, Chola's capital was named after the river Orentes as Urañai in Puranaanooru (Hart, 1999, p.45).

Matching of Social Strata

Social hierarchy of the ancient Tamil society was identical in structure to the Greeks. Thudiyars are mentioned as one of the four castes that existed during the Sangam age. This term seems to be acquired from the name Tudhaliya, the founder of Hittite empire. Panes were primeval gods of dense mountain regions and grasslands. The following verses illustrate the occupation of Panes. When we look for a Tamil equivalent of Panes it is positively identified as the Paner tribes. The Paner tribes are described in Tamil epics as a musical community. The famous Paner king Evvi is positively identified with the Greek god Evvi.

தேளத்திந்தொடைச்சீறியாழ்ப்பாண

Puranānūru-70 Poet KōvūrKilār

Which is translated as "Honey like mellifluous music is produced from the strings of your harp, 'o' Paner (Hart, 1999). "Similar narration echoes in Greek tales also "The Panes have their cithern and their melodious tootling pipes [as

gifts from Dionysos]; the Satyroi (Satyrs) have the round rattling tomtom from your patron Dionysos; even the mountain ranging Bassarids ride on the backs of lions." (*Nonnus, Dionysiaca 11. 113 ff*)

Kuravars are depicted as hill dwelling, gypsies like people (Hart, 1999).

மாரிஆன்றுமழைமேக்குஉயர்களனக்
கடவுள்பேணியகுறவர்மாக்கள்

Puranānūru 143, Poet Kapilar

A tribe with the same characteristics existed in the Greek counterpart. They were called CURETES (Kourestes) Daktyloi Idaioi (Idaeon Dactyls) and were primarily ironsmiths who lived in the mountains of Ida in Phrygia. In Tamil communities, we come across a similar tribe called Idaiyar. These cow herdsman are mentioned in the Kurunthogai poems. Idaiyar were also called khovle and a Georgian village called khovle existed. Grave steles and burial urns form the concluding part of the social strata are matching. Burial urns or amphorae were used to deposit the remains of dead persons (Tsetskhladze, 1999, p.79). Tamils called it Mudhumakkal thaazhi. Names of the dead found on the burial urns and Stele are in Vattezuthu or Tamil Brahmi inscriptions. They match with the Asomtavruli script in amphorae (Grant, 2008, p.53). Collective burials have been commonly practiced in Ergeta, Ureki settlements of Georgia, this is accomplished by reburial. Grave goods placed inside the urn indicate the economic status of the region and the dead. Gold earrings and silver rhyton were found along with daggers in Georgian burials (Vakhtang, 2007, p.2; Tsetskhladze, 1999, p.60). In Tamil Nadu, burial urns were found containing glazed copper beads and daggers.



Nadukal or Grave Stele in Edattanur, Tiruvannamalai district, in the state of Tamil Nadu, India. Inscriptions are in vattezhuthu or Tamil-Brahmi script bordered by the fleur-de-lys symbol. (photo courtesy-Department of Archaeology, Government of Tamil Nadu)

Linguistic Lineality: An Analysis

Etymological findings imply that language acts a bridge between the South Indian state of Tamil Nadu and the Caucasus. The following evidence conclusively proves that Tamil language evolved on graeco-tzanic patterns. Vattezhuthu and modern Tamil script have identical partners as Asomtavruli and Mkhedruli scripts respectively. The genesis of Caucasian languages begins with Kartvelian and Tzanic script developing concurrently during 7-6th century BC. The tzanic later branched out to form the Mingrelian and Laz scripts (Gamkrelidze, 1984). Asomtavruli is the precursor to Nuskhuri, Mkhedruli script. Asomtavruli consists of 38 alphabets and is used for writing in capital form. Analogous to Semitic script, a line is used as a basic entity from which other forms are developed. Nuskhuri shares a number of alphabet features with Tamil and those include zhan.gan, on.qar.tsan, un. On its part Mkhedruli script shares შ-un, ტ-tani, ს-san, ფ-pari, ჟ-zhani in a unique

manner, to which no other script can be compared. Tamil script matching with the lately developed Mkhedruli indicates the time of migration. This theory becomes complicated due to fact that Vattezhuthu is also known as Tamil-Brahmi script. So any external influence on Tamil impacts the north Indian Brahmi also. Georgian linguist S. Gorgadze's viewpoint that kartuli script originated during 7-6th century BC perfectly fits with our predicted migration period (David, 1996, p.231) Tamil-brahmi differs from brahmi due to the presence of 2 alphabets-S, Ⴀ. These 2 deciding alphabet features are present in the Georgian script.

The etymological origin of ancient Tamil words is dominantly Hebrewish. It mostly shares closely related meanings if not the same ones. Khalkotauroi are mythical bull like creatures. Kalkuthirai which means stony horse in Tamil and they have the common feature as four legged creatures. This indeed opens a new dimension for the word kal. Kal means stone in Tamil. It remains closer to its Greek meaning as bronze, due to its sturdiness. Elaia represents the omnipresent olive-tree in Greek, whereas in Tamil, it refers to leaf. Thyia was the naiad nymph of a spring on Mount Parnassos. Tribal women who celebrated Dionysus's orgies were called Thyiades. It also meant sacrificing the nature of that person. Thai in Tamil refers to the all encompassing, compassionate mother. Eilithyia is another word in Greek with thiyai suffix (Fritz, 2014). This is an appellation for midwives who were involved with the birthing of children.

Table №1. Synonyms in phonetically similar words of Greek and Tamil.

Gaia (earth), Elimeia (mountain), Panaeolus (all variegated), Eranthe (flower)

Oikoumene (inhabited place), Nephelokokkugieus (cave like place)

Bhagom (to share), khális (wine), Melisseus (honey like)

Commagene (cluster of genes), Adhyge (larger), Kara (black)

Solai (dense vegetation), Illum (mud), Silenoi (satyrs)

Two Greek words associated with moral values are shared in the Tamil vocabulary. Agathos (ἀγαθός) which means intrinsic goodness; in Tamil agathe has the closest literary meaning as purity of the inner soul. Arête (ἀρετή) is usually to symbolize a king's moral excellence. Aram in Tamil means righteousness. The greatest striking feature is Adiyaman, the Velir king of the Sangam age. Adiyaman is the Southeastern province in modern Turkey. Adiyaman and Nedunchezhiyan have the Greek words adymos, nedymos as their roots and have the proto indo European roots dhuh 2 mos which means in motion or smoke.

The South Indian River Cauvery is derived from the twin Greek gods: Kabeiroi and Cabeiri. They officiated over the rituals in Samothrake Island. Samuthrake has an Colchian anecdote to it, since the Argonauts ship halted there (*Apollonius Rhodius, Argonautica 1. 916 ff*). Since the river Cauvery pours into the Indian Ocean, the ocean is called Samuthiram in Tamil. This is in apparent reference to the deities Kabeiroi and Cabeiri residing on the island. Nereus was the elderly god of the sea and its companions. In Tamil, Neer means water and sea is called Muneer in ancient Tamil texts. It is obvious that Tamil neer corresponds to Nereus daughters the Nereids. Nerei in Tamil is used to denote water in its Verb form. The important nymphs of rivers and lakes, Naiades, coincides with the Tamil word for river nadhi. Pegaiai was the nymphs of springs. Poigai is a major spring in Tamil Nadu. They are religiously significant to the Tamils as lord Muruga was born in a natural spring called Saravanapoigai. The word kadal is derived from the Kedalion, the lemnion attendant of Hephaistos. We finally conclude our discussion on linguistic homology by stating that the Tamil alphabets are of Georgian origin while it's vocabulary is derived from Greek language.

Table №2. Comparative study of alphabets in Tamil and Georgian scripts.

<i>Comparative Study of Alphabets in Tamil and Georgian Scripts</i>	
<p>Asomtavruli ა ბ გ დ ე ვ ზ თ ყ რ ს ზ წ ჲ , ზ</p>	<p>vattezhuthu or Tamil-brahmi script ა ბ გ დ ე ვ ზ თ ყ რ ს ზ ᳵ ᳶ ᳷ ᳸ ᳹ ᳺ ᳻ ᳼ ᳾ ᳿ ᳽</p>
<p>Nuskhuri Თ Ი Mkhedruli ა, ბ, გ, დ, ე</p>	<p>Modern Tamil ஁, ல, Modern Tamil ற, ச, ல, ழ, ஶ, ஷ</p>

Patterns of similarity are found between Georgian Asomtavruli and Vattezhuthu. Modern Tamil script shares similarities with Mkhedruli script and Nuskhuri.

Metamorphosis of Ares into Murugan

Ares is symbolized as the great Olympian god of war, who ravages the enemies and indulges in war for the delight of destruction. Ares resided on Mount Olympus. He was consecrated in Colchis and accompanied by a hound and a vulture.

"Ares insatiable in battle, blazing like the light of burning fire in his armour and standing in his chariots... were lighted up by the dread god, Ares, himself and his armour, and the shining from his eyes was like fire... manslaughtering Ares screaming aloud, courses all over the sacred grove."

Hesiod, Shield of Heracles 56 ff (trans. Evelyn-White) (Greek epic C8th or 7th BC)

Murugan is the principal deity of the Tamils (Ramanujan, 1971, p.113; Manmohan, 2002, p.60) similar to Ares, he resides in hilly abodes; he is also called as velan, the one with the spear. The term vel has different connotations in Georgian language. It refers to veli or people of a region, language. Kartvelian's ancestry belong to the Kartu tribes. Murugan's savage violence mirrors Ares exploits. Kandaon is a title conferred on Murugan, where the initial moiety is from the indo-european root 'Kwon'-dog. This coincides with the companion of ares, the hound.

படியோர்த்தேய்த்தபல்புகழ்த்தடக்கை

நெடுவேள்பேணதணிசுவள்இவள்ளன

(Akanānūru 22, VeriPādiyaKāmakanniyār)

The poem mentions that Murugan kills those refusing to accept his divine superiority. Ares attained significance in Tamil's religious order as Murugan due to his cult in Cappadocia.

Racial Heterogeneity of the Settlers

The beginning phase of the settlers was marked by a huge Georgian influence. Kingdoms, cities and rivers were named in ancient Georgian. One of the major pieces of evidence is Paluri-Nagutny culture and it thrived on sheep pastoralism in the mountain terrains. Paalaaru is a major river flowing through Northern Tamil Nadu. Paal means milk in Tamil and is connected with the sheep rearing culture. Tiraiyan Maran is mentioned as the king of Tuvurai; tuvarai or tuval is a transliteration of Tubal. The South Indian river Tamaraparani is coined by combining the names of two Georgian places namely Tamariani (თამარიანი) and Paranai. The towns of Kanchi and Vasavasamudram have an indelible Georgian authenticity to them. Khariogoli is another Georgian example reoccurring in the form of poet Inrndaiyur-Karuiigoli. Moschi and Akhaltsikhe follow suit.

But the late Chola reign is irrefutable evidence of Cilician culture, particularly of the Adiyaman and Adana regions. Adana was called as Antiochiaadsarum implying Antiochia on the Sarus (Ἀντιόχεια ἡ πρὸς Σάρων). Antiochia is

synonymous with the Chera king Anthuvancheral. Illamcetcenni Nalankilli is regarded as the first emperor among Tamil kings and marks the continuation of Killi clan of kings like Nalankilli, Nedunkilli, Perunarkilli Killivalavan. In illamcetcenni nalankilli, the former element illamcetcenni indicates the Cennatae tribes. Cenni in Greek denotes hundred times exponentially the original, the latter killi refers to Cilicia (Kilikia, Greek-Κιλικία). This firmly establishes their Armenian ancestry. The greatest striking feature of all is the Velir king adiyaman. Adiyaman is the Southeast province in modern Turkey. Names of Tamil kings Adiyaman. Nedunchezhiyan possess the Greek words nedymos, adymmas as their base skeleton.

Nedymos, adymmas have the proto-Indo-European root *dhuh 2 mos* which means in motion or smoke. Other Tamil kings who have their names based on Cilician cities are Anji-Anchiale, Uruvapahrer illamcetcenni-Pahri (modern msi) Pari-Parian chronicle, son of king priam. Valvil Ori-lefka ori, Ori (ὄρη) means mountain in Greek. Kudakoi Nedunj Cheralathan was the most prominent one of Chera kings (Thapar, 2004, p.233). His name synchronizes perfectly with the Ceralan village in Adana province. The word Cera originates from the ancient Greek term Ceraunni (Κεραύνια ὄρη) meaning thundersplit. In Anatolia, *koy* refers to segregated parts of a district. Thus Adana contributes the most number of names to the Tamil vocabulary when compared to other regions. Pisiri was the king of Carkamesh and his name has been imparted to the renowned Tamil poet Pisaranthaiyar. Pisiri was the name of a town in the Pandion Kingdom. The last member of the group is the Mannaneans who lived near the lake Urmia in Northwest Persia. Mannan denotes king in Tamil.

The Greek influence stems from the settlements in Cappadocia. Ionian migrations occurred from the western coast of Anatolia to central Cappadocia (Tsetschladze, 2008). The earliest recording of Katpatuka is from the Behistun cliffs during late sixth century. They had settled in Cappadocia during Mycenaean period. Kapatapuram is the synonymous name used to denote the second capital of the Tamils during the 600s BC Patuka resonates further in literary texts like Malaipatakam in sangam literature. Seri refers to the place where Parayars (drummers) reside. This is a synonym for Kayseri or Caesarea in Cappadocia. The mighty Sargon II was slain in Cappadocia by the Cimmerians, triggering a Greek exodus. Jewish presence is strongly

indicated by words like edom, vayitrotzetz. In fact Tamil is predominantly Hebrewish in nature and Greek constitutes the remaining part.

The fundamental question arises, what caused the Graeco-Georgians, Cilicians to migrate and how did they join as a group (Hawkins, 2000, p.43). The most plausible explanation is attributed to the Assyrian invasions during the reign of Sargon II and his successor Sennacherib (715-698). The time window of 696 BC is augmented by the absence of the word Egirisi from Tamil literary texts. Egirisi or Colcheti arose from the ruins of Colchis during the end of Seventh century BC (Murgulia, 2013, p.3). Therefore, the migrating group left the shores of Tarsus before Egirisi was established. Why was the second capital christened as Colchis or Korkai instead of Tarsus or Greek cities is a intriguing question that needs to be answered.



Map of Asia Minor showing the regions of Clicia, Cappadocia, and Colchis. Map courtesy: Andrew Andersen, George Partskhaladze, Putzgers, F.W., Histo-rische Schul-Atlas, Leipzig, 1929

Sargon II captured the Que fort in 715 BC but there is no recorded trail of destruction. Further Sargon II gave Cilicia as gift to Amris king of Tubal for marrying the formers'daughter (Tadmor, 1958, p.4). This leads to the obvious choice of Sennacherib conquest as a cause for triggering the exodus from Cappadocia's Tarsus regions (Dalley, p.73). This hypothesis matches accurately with Eusebius version. According to the Eusebius chronicles, Sennacherib vanquished the Greek Ionians in Cilicia.

“Now soon thereafter he received word that the Greeks had come to the land of Cilicia to wage war. [Sennacherib] went there and deployed his troops, brigade by brigade. He triumphed over the enemy, despite the fact that many of his own troops were killed”. [9] Alexander [Polyhistor] on the deeds and valor of Sennacherib (Eusebius's Chronicle, The Chaldean Chronicle).

Revolt by Kirua of Illubru turned Sennacherib's attention towards Tarsus and Anchiale. Illubru was formerly called Namrun. Kirua was captured and burnt alive while the city was set on flames (Hawkins, 2000, p.43). However Sennacherib restored the glory of Tarsus from its ruins by building a new city and renamed it Tarsin (Burstein, 1978, p.80). A section of Tarsus, Tubal residents escaped through a sea route and finally landed on the coasts of Tamil Nadu.

Nativity of the Settlers

There is only one piece of documented evidence about the settlers in Sangam Tamil texts and it describes Velir tribes as having their ancestry in Thouri. This has been wrongly interpreted by many historians as the city of Dwaraka in the Gujarat state of India, but actually Thourii refers to the Tubal kingdom.

உவராஈகைத்துவரையாண்டு
நாற்பத்துஒன்பதுவழிமுறைவந்த
வேளிருள்வேளவிறல்போர்அண்ணல்.

Puranānūru 201, Poet Kapilar

These verses describe the Velirs who ruled Thourii, as having retained their glory for 49 generations. The joy of the settlers did not last long after the landing on the coasts of Tamil Nadu. They married the native Tamils and

created a new kingdom in Tamil Nadu. It was called Kuadam (kua or kapatapuram) and this is a juxtapositioning of Cappadocia and que, Korkai was made the capital of kuadam and illustrates the equal proportions of influence among Graeco-Georgian, Armenian populations. However their joy was short-lived as a deluge swept through the new capital. Sangam text Kalithogai records that the Pandian king went on military conquests to recover the territorial losses due to flooding by sea waves.

மலிதிரைஊர்ந்துதன்மண்கடல்வெளவலின்,

மெலிவுஇன்றி மேல்சென்று மேவார்நாடுஇடம்பட

Kalithogai-Mullaikkali poem 104:1-4

This is widely acknowledged as the deluge of kapatapuram which forced them to shift to the inward region of present day Madurai. The initial populations perished in this disaster and we can ascertain that Georgians suffered the most out of this natural calamity. This can be inferred from the declining Georgian and emerging Cilician influences afterwards. This catastrophe erased the initial footprints of the settlers like their arrival period, interaction with the native population, ratio of Georgians to Greeks in the settlers. The Submerging of Kuadam forced them to relocate to the inward region of Koodal. There they fought against the local tribal chieftain Aguthai and captured his territory and renamed it as Madurai (media). Chieftain's name aguthai (agathos- ἀγαθός) shows natives assimilating Greek culture even in remote places.



a) Animal figurine excavated from Kodumanal, Tamil Nadu with Luwian inscriptions.

Discussion and Conclusions

This research article focused on identifying the evolution of Tamil race. Cities having cognate names function as unitary forces between the South Indian state of Tamil Nadu and Caucasus, Colchis or Korkai remains the foremost among the cities of this kind. Kotravai was a war goddess and was surrounded by wild spirits. Sangam anthologies depicts Murugan as son of kotravai and this concurs with Greek Kourotrophos, the cult figure associated with child rearing (Graf Fritz, 2014). Tamilian tribes such as idaiyar, Paner thudiyar have analogous groups in Greek societies also. Tamil language is a composite of Graeco-Georgian entities. Asomtavruli Nuskhuri and Mkhedruli scripts having identical partners in Vattezhuthu and modern Tamil lends credence to the Eurasian migration theory. This demonstrates the horizontal transfer of sign concepts between nostratic languages. Cappadocia and Cilicia became regions of significance due to being the motherland of the migrants. These regions experienced prolonged periods of turbulence because of the invasions of Assyrians. As Sargon and Sennacherib conquests pushed Cilicia into chaos, the city's residents fled in search of new safer lands. The naming of Tamil kings after Adana and Adiyaman provinces in Anatolia has the stamp of Cilician authority. Tamil kings Anthuvan Cheral and Adiyaman are the prominent names among them. Words like Singam, Kutaisi signify the Georgian ascendancy after their arrival in the Tamil state.

1) Names of the Kings Nedunkili, Kilivalavan is in congruence with Cilicia

2) Places like Pisiri, Anchiale leave a territorial imprint

Settlers called their new established capital as Katputaka in remembrance of their ancestral Cappadocia. Sennacherib's military expeditions in of Cappadocia and Cilicia made the natives flee through a sea route. They probably landed exactly in Indian Tamil state by navigating through the Artic Ocean and not through the Arabian Sea route. Their second capital Kuadam, was an amalgamation of Que and Cappadocia. Further oceanic disturbances forced their relocation interiorly to the city of Mada Madurai. Before the arrival of settlers, Tamils might have been pastoral farmers who underwent overwhelming transformation in all spheres. Being exposed to the rich metallurgical skills of Colchians, military prowess of Greeks, and an advanced Tzanic script made the Tamils a force to reckon with in the South East Asia.

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Business and Economics

Trade Facilitation is Still a Worthwhile Objective

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Trade facilitation is vital to the future of international trade. Although tariffs have been reduced throughout the world in recent decades, there still remains significant barriers to trade – these barriers could be reduced by investing in trade facilitation. Many countries, especially developing countries, have not taken advantage of these tariff decreases and of the resulting increased international trade. Investment in trade facilitation would be both cost effective and allow developing countries to engage in more trade, especially in the emerging global supply chain system. The Trade Facilitation Agreement negotiated by the World Trade Organization in December 2013 & July 2014 failed to gain the consensus required. However, even after this setback, trade facilitation is still a worthwhile objective and would be considerably beneficial to international trade.

Trade facilitation is vital to the future of international trade. Although tariffs have been reduced throughout the world in the recent decades, there still remains significant barriers to trade – these barriers could be reduced by investing in trade facilitation. The Trade Facilitation Agreement (TFA) negotiated by the World Trade Organization (WTO) in December 2013 & July 2014 failed to gain the consensus required. The WTO inability to reach consensus on the Trade Facilitation Agreement is both a negative mark on the WTO and detrimental to international trade. However, even after this setback, trade facilitation is still a worthwhile objective and would be considerably beneficial to international trade.

Over the recent decades tariffs have decreased throughout the world, expanding international trade. However, many countries, especially developing countries, have not taken advantage of the opportunities of this increased international trade. Often they are hampered by their lack of infrastructure (port facilities, rail, and road networks), lack of streamlined customs procedures (and modern equipment often necessary for this), and a plethora of bureaucratic rules and regulations that make importing or exporting difficult and time consuming. By investing in these trade facilities, it is believed that costs and time for cargo spent in transit would be greatly reduced and consequently, trade would be increased. Developing countries and their trading partners would all benefit from this.

Traditionally, companies produce a product in their home country, then export it to another country to be sold. However, many people believe the future of industry involves a different model of production: the global supply chain. In this process, materials cross the borders several times, as they are refined, made into parts, and then assembled as a final product. This system is highly dependant upon efficient customs and border-crossing procedures. It is only practical cost-effective if these procedures are in place.

This paper will examine trade facilitation and the movement to formalize a plan to advance trade facilitation. This paper has four main sections: WTO & Trade Facilitation; What is Trade Facilitation & Why is it important?; Global Supply Chain; and Cost Effectiveness of Trade Facilitation.

WTO & Trade Facilitation

In December 2013, members of the World Trade Organization (WTO) took part in negotiations in Bali, Indonesia, at the organization's ninth ministerial meeting (Wilkinson, 2014, p. 2). These negotiations were slightly different than prior WTO talks – which are normally based on “single undertaking”, where all issues are negotiated and adopted together (Babu, 2014, p. 12). Instead, at Bali negotiators focused on some of the 'low hanging fruit', issues that were seen as possible to come to an agreement on. This was in part a result of the lack of any substantial agreement since the Doha Round in 2001; instead of negotiating everything, it was decided to focus on a few issues that could be completed (Wilkinson, 2014, p. 3).

Indeed, the WTO had not completed a major trade agreement since it replaced the General Agreement on Trade and Tariffs (GATT) in 1995 (Koopmann, 2014, p. 2). Although the Doha Round, the fourth ministerial conference in Doha, Qatar in November 2001, had raised many hopes – none of these hopes have been realized. As a result, faith in the Doha package of objectives, in the WTO itself, and even multilateral negotiations - have all been waning.

The past decade has been rough for the world trade organization – specifically for the efforts of trade negotiators to reach a package agreement, even while trade jurists have performed their task of adjudicating disputes with admirable skill and speed. Doha Round negotiations are on the verge of catastrophic failure. the multilateral trading system will be dealt a near fatal blow if nothing results from 12 years of hard negotiations. Prospects for resurrecting the WTO as the premier forum for trade negotiations will be crippled if the work of the Doha Round is cast aside. In short, the year 2013 is shaping up as the “make or break” year for multilateral trade negotiations. (Hufbauer, 2013, p. 9)

The three issues negotiated at Bali were trade facilitation, agriculture, and treatment of Least Developed Countries (LDCs) (Wilkinson, 2014, p. 3). The latter two resulted in an impasse; however the former culminated in an Agreement on Trade Facilitation (“TFA”) (WTO, 2013a, p.1). This was considered to be a very important milestone: “the first multilateral trade agreement successfully negotiated in 18 years and the first such accord

concluded by the WTO” (Neufield, 2014b, p. 3). The terms of the TFA stated the members would establish a Preparatory Committee to draw up a protocol and then it would be submitted to members for ratification: “The General Council shall meet no later than 31 July 2014 to annex to the Agreement notifications of Category A commitments, to adopt the Protocol drawn up by the Preparatory Committee, and to open the Protocol for acceptance until 31 July 2015.” (WTO, 2013a, p. 1)

However, the General Council was not able to form a consensus before the 31 July deadline (WTO, 2014a). As WTO Director-General Roberto Azevedo explained:

On the one side we have the firm conviction, shared by many, that the decisions that ministers reached in Bali cannot be changed or amended in any way — and that those decisions have to be fully respected. And on the other side of the debate we have some who believe that those decisions leave unresolved concerns that need to be addressed in ways that, in the view of others, change the balance of what was agreed in Bali. (WTO, 2014a)

India blocked the agreement, insisting on linking it to domestic food security concerns; if there was no agreement on food security, then there would be no consensus on trade facilitation (Babu, 2014, p. 2; Hoekman, 2014, p. 3). This was somewhat of a change for India, since in December the Indian minister touted the importance of the “landmark” agreement; however, a new government took power in India between December and July (Babu, 2014, p.1). Agreement in the WTO is based on consensus, not voting, so India's refusal to consent to the TFA amounted to a veto (Babu, 2014, p.2; Although WTO rules allow for a formal vote to be taken as an alternative to consensus, this has never been done and it is unlikely this optional procedure will be utilized for the TFA). After the failure to meet the July 2014 deadline, it remains to be seen what will happen with the TFA (Hoekman, 2014, p. 3).

What is Trade Facilitation and why is it important?

Trade Facilitation (TF) is a term that, although often used, has varying definitions. Trade Facilitation is “loosely speaking cutting red tape at the

border” (Persson, 2012, p. 1). The WTO defines it as: “Removing obstacles to the movement of goods across borders (e.g. simplification of customs procedures)” (WTO Glossary, "trade facilitation"). In its narrow sense, it means making the process of crossing borders smoother and more straightforward. “[T]rade facilitation is 'the simplification and harmonization of international trade procedures', where international trade procedures are the 'activities, practices and formalities involved in collecting, presenting, communicating and processing data required for the movement of goods in international trade’” (Persson, 2012, p. 13; Engman, 2005, p. 6). In its broader sense, the term also includes improvement to the trade infrastructure, such as port facilities, roads, rails, etc.

In a similar definition, the Doha Ministerial Declaration (WTO 2001) formally refers to trade facilitation as 'expediting the movement, release and clearance of goods, including goods in transit'. Hence, loosely speaking, trade facilitation refers to reforms aimed at making it easier for traders to move goods across borders, with a specific focus on lowering transaction costs associated with cross-border trade procedures. (Persson, 2012, pp. 13-14, cit. WTO 2001)

Although tariffs have decreased dramatically, there still remain significant non-tariff barriers (NTBs) to trade. And unlike tariffs, these NTBs normally do not have an objective of raising revenue or furthering a public policy; instead, they are more often simply dead-weight that slows (or prevents) trade. TF has gained traction and relative importance in recent years because “... when tariffs and other non-tariff barriers to trade have been gradually dismantled over the years, this has increased the relative costs of having inefficient trade procedures” (Persson, 2012, p. 12). In other words, as tariffs have decreased, the relative costs of inefficient trade procedures escalate and become more obvious. Many believe that further increasing international trade will require addressing these NTBs: “when measured in tariff-equivalent terms, the 'border effect' of tariff and non-tariff barriers approaches 100 percent. The problem is that responsible policy officials are not rising to the challenge by energetically dismantling barriers that impede trade and investment flows” (Hufbauer, 2013, p. 9).

TF benefits all trading partners, however the effect on LDCs can be the most dramatic. “Trade facilitation initiatives, with the aim of lowering trade transactions costs, can enhance trade competitiveness, and expand trade flows, while at the same time playing an important role in supporting a positive business climate” (Helble, 2009, p. 1). Landlocked countries, who are dependant upon the borders of their neighbours, can also benefit greatly from TF. (Neufield, 2014a, p. 9).¹

Another obstacle to trade is the delays in shipping: “each additional day that a product is delayed prior to being shipped reduces trade by more than 1 percent. They show that the effect is even larger for time-sensitive agricultural and manufacturing products.” (Königer, 2011, p.14, cit Diankov et al, 2010)²

TF would address the time, as well as the costs, involved in shipping, thus making importing/exporting more profitable and, therefore, a more attractive endeavour for businesses.

Global supply chains

As international trade has increased, global supply chains have increased in importance, yet their full potential is far from realized. “A large share of 21st century trade requires integrated global supply chains that move intermediate and finished goods around the world. Intermediate goods account for 60 percent of global commerce” (Hufbauer, 2013, p.11). In global supply chains “goods cross borders multiple times, initially as inputs and ultimately as final products” (Lee, 2014, p. 4). For example, raw materials are imported and processed into parts, and then these parts are shipped to a different country where they are assembled into a finished product which is then sent to yet a different country to be sold to consumers. The costs associated with crossing borders hampers the flow of goods required by such a global production network (Lee, 2014, p. 4). Furthermore, some global manufacturers may spend more on logistics than on the manufacturing itself (Elms, 2013, p.163).

Going forward, this form of production will become more integral to and common-place in international trade: “Such 'supply-chain trade', which is

about making things internationally, as distinct from traditional trade in the form of selling goods and services internationally, is the most dynamic segment of international commerce” (Koopman, 2014, p.2). As this type of production is utilized more frequently, it will become more important to streamline the border crossing process; or perhaps to explain it another way, until the border crossing process is streamlined, such global production will be limited and under-utilized.

As goods cross borders many times, first as inputs and then as final products, fast and efficient customs and port procedures are essential. Unduly complex processes and documentation raise costs and cause delays, and ultimately, businesses, economies and consumers bear the cost. Conversely, a country where inputs can be imported and goods and services can be exported within quick and reliable time frames is a more attractive location for foreign firms seeking to invest. (OECD, 2013, p. 1)

Since tariffs have been significantly reduced world-wide, there is probably more fertile ground in focusing on trade facilitation, instead of solely on tariffs. “Also, there are several empirical analysis results showing that the gains in global trade from smoother border procedures could be higher than the gains from tariff reduction” (Lee, 4). The increase of such trade facilities can greatly benefit developing countries: “The improvement in such logistics performance has been empirically shown to have the greatest positive effects in expanding trade for developing countries” (Lee, 5). The future growth of international trade is correlated to further developing global supply chains - which require greater trade facilitation.

Cost effectiveness of Trade Facilitation

Proponents have long argued that investment by developed countries into the trade facilitation of developing countries would yield an increase in overall trade, worth the initial investment. Indeed, some recent studies have examined this in depth and have supported this conclusion: “These results indicate that aid for trade, in particular if highly targeted, can have a significant impact on the costs of trading” (Königer, 2011, p.11). This study concluded that an increase in aid of \$2.89 million would yield a 1.2% decrease

of costs; it further calculated that a 1.5% reduction in costs would increase trade from 3 to 8.75%.³

Other studies have examined the potential global impact: “If countries improved these factors [border administration, telecommunications, and transport infrastructure] more modestly, halfway to the region’s best practices, world GDP could increase by \$1.5 trillion or 2.6 percent, and world exports of goods could increase by \$1.0 trillion or 0.4 percent” (Hufbauer, 2013, p. 13).

Another study revealed investment into TF can greatly increase trade: “...based on aid from 2007 data of US\$ 117 million, a 1% increase in aid (US\$ 11.7 million) could generate a trade increase of about US\$ 818 million. This yields a ‘rate of return’ on every additional dollar of aid of about US\$ 697” (Helble, 2009, p.18). The largest share of aid for trade is focused on improving infrastructure.⁴

TF can also lower costs of trade, which not surprisingly are normally higher in LDCs. “Average trade costs in LDCs are considerably higher than in non-LDCs (1,805 versus 1,260 US\$ for cost to export [a 20ft dry-cargo container weighing 10 tons] and 2,246 versus 1,453 US\$ for cost to import, respectively)” (Königer, 2011, 15; for the sample container description: see cit 6 on p. 5).

However, for aid to be effective, it must be focused and significant: “...we argue that very low aid flows are too marginal to show any influence on the cost of trading. Accordingly, our hypothesis is that aid flows only become effective when they reach a certain (threshold) level. [. . .] It seems that – on average – only larger development projects are successful in reducing trade costs” (Königer, 2011, p. 16).

Although often a large initial investment is required, once the changes are made the annual expenses may be modest: “Measures that entail a significant upfront investment to introduce are not necessarily costly to operate once set up — the best example is a single window mechanism for submission of documentation” (OECD, 2013, p. 3). In Costa Rica, the creation of such a single window had a significant impact on the time required to get through the border; the single window system “helped reduce clearance time for dairy products from 10 to 1.5 hours, and for agrochemicals from 27.5 to 2.2 hours”

(OECD, 2013, p. 1). Such drastic reductions in time spent in border-crossing can have substantial implications on businesses considering trading internationally, such as global supply chains but also small businesses that may not normally take part in international trade.

Most exporters are large enterprises; Small and Medium size Enterprises (SMEs) are often reluctant to export/import. “Only the most productive firms are able to make profit withstanding the additional costs associated with exporting. Less productive ones cannot do so and only produce for the domestic market” (Li, 2009, p. 1). However, SMEs are an important employer and this tends to increase as nations develop: “SMEs contribute up to 45 percent of the World’s employment on average; and up to 33 percent of employment in developing countries” (Duval, 2014, p. 2).

One study examined the affect of trade facilitation upon SMEs in Asia, and found that improving trade facilitation increased the likelihood of an SME partaking in international trade, specifically “increasing policy predictability and enhancing IT services are the most effective. SMEs appear to be less responsive to improvement in transportation infrastructure than large enterprises” (Li, 2009, p. 2). For SMEs, it is important to understand what the costs and procedures are before they begin to trade internationally; when these cannot be discerned or accurately predicted, SMEs are reluctant to engage in international trade. By advancing TF, international trade would become more attractive to SMEs.

The OECD calculated the possible trade cost reductions of the Bali TFA, based on either a limited implementation or a full implementation: 11.7-14.1% for low income countries; 12.6-15.1% for lower middle income countries; and 12.1-12.9% for upper middle income countries (OECD, 2014b, p. 2). The Peterson Institute for International Economics estimated the impact of trade facilitation (albeit, prior to the December 2013 drafting of the TFA) at over one trillion USD worth of increased exports globally, over 20 million jobs created, and an almost 1 trillion USD increase in GDP (Hufbauer, 2013, p. 7).⁵

“In addition, compared with other types of liberalization, trade facilitation is a relatively easy subject to agree on because it will (in general) not lead to reduced government revenue – it may in fact increase it” (Persson, 2012, p. 12). TF reduces costs, increases the predictability of procedures, and reduces time spent crossing borders – all of which leads to increased trade.

Conclusion

Many business and political leaders see the failure to generate anything concrete from the Doha Round, or the Bali Accords, as a major setback to the WTO; however, there is still strong support for the WTO (Fung, 2014, p. 2). It is clear, from the different focus of negotiations at Bali, forsaking the single-undertaking method, that the WTO yearns to realize a new agreement - even if only to complete something, anything, since the 1994 agreement that created the WTO. From the possible areas negotiated at Bali, TF is still the most likely field where consensus could be gathered. If the WTO were able to convert the TFA from a defeat into a victory, it would restore faith in the WTO and in the multilateral negotiation system. Furthermore, and perhaps more importantly, it would have a beneficial impact upon global trade, especially for developing countries.

It is unclear what will happen to the TFA since the July deadline was missed. However, most of the countries still support, at least in theory, the TFA. If India could be convinced, or bargained with, then it is certainly conceivable that consensus could be gained and a new path created to finalize the TFA. The likelihood and possible mechanics of arranging an amicable resolution with India is outside the scope of this paper; however, certainly such a resolution is theoretically possible, even if it may be difficult.

Of course, the WTO Trade Facilitation Agreement is not the only avenue available for the furtherance of trade facilitation. Countries already negotiate TF between themselves, frequently between a donor nation and a LDC. Heretofore, there have been numerous aid for trade programs; if these programs were expanded and focused on appropriate TF objectives, then a significant positive impact could be obtained, both for the developing country and for the trading partner. By increasing TF in LDCs, these countries would become more competitive in both international trade and as partners in the growing global supply chain; moreover, international trade would enlarge.

Endnotes

- ¹ But see: Kharel, 3: “Improvement in the competence of the local logistics industry in LLDCs [Land-Locked Developing Countries] is found to have the biggest impact on LLDC exports. A particularly interesting finding is that improving the efficiency of clearance at the customs/border in LLDCs is more important than doing the same in transit countries as far as boosting LLDC exports is concerned. But non-customs-related aspects of trade facilitation in transit countries, such as ease and affordability of arranging international shipments and transport and information technology infrastructure, remain important areas needing reform to help increase LLDC exports.”
- ² Although the paper speculated reducing shipping time would reduce costs as well, it was not proven in the calculations of their data sample. “Overall, the aid variables’ main objective is to make trade more cost-efficient. Reducing the time for trading is one (important) channel by which trade costs can be lowered. However, we cannot observe this correlation in our results.”
- ³ “Assuming similar elasticities for our trade cost measures, for *Trade Facilitation* we find that reducing trade costs by 1.5 percent leads to an increase in trade volumes in the range of 3 to 8.75 percent. Taking into account that these aid flows are very specific and in volume rather exiguous, their impact can be considered substantial.” Königer, 12.
- ⁴ “... infrastructure is the largest category of aid for trade: infrastructure projects account for about 54% of the global aid for trade portfolio.” Hoekman, 2010, 14.
- ⁵ Hufbauer, 7. Specifically: 1.043 trillion US dollar increase in exports; 20.6 million jobs created; 960 billion US dollar GDP increase. “These payoffs are broad estimates and represent permanent annual static gains for the world economy.”

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Characteristics and Policies of Community-Based Tourism in the Case of Jamaica

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The aim of the article is to investigate the relationship between relevant Community-based Tourism (CBT) characteristics and the Jamaican Community Tourism Policy and Strategy (CTPS) and to discuss its value in community development. This article makes a contribution towards the understanding of the role of government in the development CBT. It argues that while the Jamaican CTPS has many positive strategies, they seem to be skewed in favor of the well established and market ready Community Tourism Enterprises (CTEs). It argues that such a state of affairs risks increasing the inequality gap between the rich CTEs and the poor ones and the members involved. By inference, it also risks developing 'elite' CTEs. As such, the article also argues that support should be given to all CTEs in the various tiers depending solely on need. The article also posits that it is critically important to develop community tourism partnerships with government ministries and other agencies, the private sector and NGOs for the establishment of standards, assessments, branding, marketing, financing and legal issues and capacity building. The article argues that the forms and modes of capacity building and empowerment which it advocates should make communities independent in the interest of social justice. While Jamaica's CTPS has numerous feasible strategies, it is their prioritization which is highly contestable.

Introduction

The tourism industry has great economic relevance. Globally there have been 1087 million international tourist arrivals to the value of US\$ 1159 billion international tourism receipts (UNWTO, 2014, p. 3). This growth in tourist numbers are “despite the economic difficulties experienced in many parts of the world, emphasizing the strong resilience of tourism” (JTB, 2012, VII). As such, despite ‘occasional shocks’, international tourist arrivals have shown phenomenal growth – from 25 million in 1950 to 1087 million in 2013 (UNWTO, 2014, 2). In Jamaica the tourism sector has also grown consistently over the last 50 years. For example, tourism arrivals were 271,692 in 1962; 670,202 in 1982 and more than doubled to 1,986 000 in 2012 (Vision 2030, 2009; UNWTO, 2014, p. 10). The World Travel and Tourism Council (WTTC, 2012) indicates for example, that the travel and tourism sector in Jamaica had a total impact of \$4 billion on Jamaica’s GDP in 2011, such that the contribution of the travel and tourism sector to GDP is greater than other sectors in Jamaica. In 2011, the sector accounted for 280,000 direct, indirect, and induced jobs in Jamaica (WTTC, 2012). The travel and tourism sectors have linkages to the wider economy and support many beneficiaries (WTTC, 2012, p. 17).

Despite these growth trends and the contribution of tourism to the Jamaican economy, the country still experiences high levels of poverty. Thus, while the UNWTO acknowledges that tourism has the potential to alleviate poverty, Jamaica has the challenge of meeting the first goal of the *UN Millenniums Development Goals*, namely, to eradicate extreme poverty and hunger. As such, poverty remains a big challenge for the country (MTE, 2014, p. 2). Income disparities between urban and rural areas are also prevalent, particularly in rural areas experiencing much more acute poverty problems (MTE, 2014, p. 2).

The importance of Community-based tourism (CBT) in the tourism sector has been recognized such that “a community-based approach towards tourism development has been increasingly promoted in many areas” (Islam, Rahman, Iftekhhar and Rakkibu, 2013, p. 119; see also Salazar, 2012, p. 10; Sin and Minca, 2014, p. 96). As such, CBT is used as a development strategy as well as in the international cooperation arena (Tasci, Semrad, and Yilmaz, 2013, p. 1). A number of governments at national level (such as Namibia, Colombia, Myanmar) have recognized the value of CBT, it is possible that their

understandings and approaches to CBT may differ, as they acknowledge the need to have a specific policy and strategy related to CBT (MCIT, 2012; MHT, 2012, MTE, 1995). Jamaica has followed the same line by working on a National Community Tourism Policy and Strategy (MTE, 2014). The problem which is being highlighted in this paper relates to the fact that Caribbean tourism is largely associated with the 3Ss model (sand-sea-sun) and the region is the most tourism dependent region in the world, therefore, governments, aid agencies and non-governmental organizations have invested in a range of tourism development activities including community-based tourism to diversify economies, reduce poverty and improve quality of life in the Caribbean [...] However, despite this growth and the millions of dollars invested in developing community-based tourism, little is known about what conditions lead to sustainable and resilient communities and economies (Holladay & Powell, 2013, p. 1188). Evidently, there is a need to overcome this problem to boost the development of tourism in Jamaica as a tool for economic development. Thus, as indicated:

...for Jamaica to achieve “Developed Country” status, as is the goal of the Government’s National Development Plan: Vision 2030, then development of rural areas needs to at least keep pace with development in urban areas. Hence, this [community tourism policy] is aimed at empowering communities to harness the potential of tourism to generate income and sustain livelihoods. Community tourism has the potential to address these issues by harnessing under-utilized human capital, natural resources, and cultural heritage of Jamaica’s economically marginalized rural and urban communities. Empowering communities to undertake community tourism will generate opportunities for sustainable livelihoods, improve their social condition, and celebrate, preserve and rejuvenate their natural and cultural heritage. In addition, it will contribute to poverty alleviation and generate self-sufficiency, self-determination and pride for communities (MTE, 2014, p. 3). Therefore, the aim of this article is to interrogate the relationship between important CBT characteristics found in extant CBT literature and the Jamaican National Community Tourism Policy and Strategy (CTPS) and to unpack the policy’s value to community development. As such, it will reflect on how CBT characteristics are included in the CTPS. This inference is based on the reasoning that the CTPS should guide the CBT sector and that CBT is considered as a tool for community development. This article, will firstly outline some of the major characteristics of CBT such as ownership and

management issues, external support/facilitation, financial resources, capacity and marketing. In addition, the basic concepts of CBT in relation to community development are explored in the first part of the literature review. Thereafter, these characteristics (and the concept of CBT) will be correlated with the National Community Tourism Policy and Strategy of Jamaica and discussed in relation to community development. The intention is to ascertain the extent to which the Jamaica CTPS is advancing community development through tourism.

This article is relevant to current debates and discourses because as it supports the argument that while the community should be the key protagonists of their own development, the role of the government should be seen as fundamental but within the broad framework of facilitative intervention (Butler, 2005, p. 12; see also Rogerson, 2009, p. 36; Sofield, 2003, p. 222). As such, “Community Based Tourism cannot be implemented successfully without the constant and coordinated facilitation by the various governmental bodies. Governments play a critical role through their institutional leadership, guaranteeing stakeholders’ participation. The Governments’ role is also essential in the establishment of regulatory and policy frameworks...” (George, Nedelea and Antony, 2007, p. 11). In addition, government leadership within CBT should make provision for continuous psychological, financial, technical and educational support in various steps of the CBT process (Tasci Semrad, and Yilmaz, 2013, p. 33). It is, therefore, crucial to be elaborate in establishing how government articulates and approaches CBT in its policy and strategy. At the same time George, Nedelea and Antony (2007) argue that there is a lot to learn from CBT in identifying ways in which to link economical, cultural and environmental sustainability to the tourism venture.

Policy and action should promote continuing research through the provision of financial, academic, technical, and dissemination support (George, Nedelea & Antony, 2007, p. 18).

Based on the above information, it is pertinent to investigate the importance and relationship between CBT characteristics and government policy on CBT. Such an investigation will elucidate the parameters and extent that the CBT policy can effectively facilitate CBT towards community development. The Jamaican case study is important as Jamaica has possibly the newest CBT

strategy and policy. Moreover, CBT has been part of Jamaican tourism landscape at least since 1996 (Dixey, 2007, p. 8). Therefore, the Jamaican 2014 CTPS policy and strategy (MTE, 2014) represents a summation of valuable years of experience in CBT, and thus giving valuable insight of a contemporary policy making approach in CBT juxtaposed with CBTs inherent characteristics.

Literature review

At the onset, the relationship between CBT and community development needs to be put forward in order to properly establish the basic reference parameters concerning the purpose and understanding of CBT in relation to community development. Extant literature traces the origins of CBT back to the 1970s in alternative development approaches and that CBT remains within the community-based development approach (about these issues see, for example, Zapata et. al., 2011:2; Giampiccoli & Mtapuri, 2012, p. 33; Karim, Mohammad & Serafino, 2012, n.p.). In addition, CBT enterprises should also be interpreted as community-based enterprises (CBE) (Calanog, Reyes, and Eugenio, 2012). The alternative development approach encapsulates understandings of community development that are holistic in nature and include issues of empowerment, self-reliance, sustainability and so on (Giampiccoli & Mtapuri, 2012, p. 33; Telfer, 2009, p. 156). Within this context of alternative development, CBT should be specifically understood to relate to marginalised/disadvantaged groups of society (see Tasci, Semrad, and Yilmaz, 2013, pp. 10,12; Jealous, 1998, p. 10) and issues of control of the CBT process and related enterprises are paramount (Telfer and Sharpley, 2008, p. 115). From a disadvantaged community emancipatory perspective, “CBT can offer such communities the chance to move toward greater political self-determination, but *only* if local control is maximized” (Salazar, 2012, p. 12, emphasis in original). For a CBT in a rural context, Höckert, (2009, p. 10) argues that rural community-based tourism should be understood as “a special form of tourism that is taking place in the economically marginalized rural communities” as such should be located within the discourse of alternative and sustainable development which places emphasis on issues of control and ownership by the local communities (Höckert, 2009, p. 20). Despite various interpretations about CBT which have been developed since

the 1980s (Kontogeorgopoulos, Churyen & Duangsaeng, 2014, p. 108), models of CBT continue to be proposed (see for example a new 2014 CBT model in Rakhman, Suganda, Dienaputra and Nirwandar 2014) which suggests that CBT development processes and enterprises (also interpreted as CBE) should remain owned and managed by local community members and this is consistent with several other authors (Suansri, 2003, p. 14; Sproule in Ramsa and Mohd, 2004, p. 584; Manyara & Jones, 2007, p. 637). Summarizing various definitions it is possible to follow what is currently proposed by Tasci, Semrad, and Yilmaz (2013, p. 9; emphasis in original): “*CBT is a tourism that is planned, developed, owned and managed by the community for the community, guided by collective decision-making, responsibility, access, ownership and benefits.*” CBT processes and related enterprises should therefore be controlled, owned and managed by the local community members and this understanding of CBT is adopted in this article as original and an ideal interpretation of CBT.

While autonomous CBT development is ideal, in reality external support/facilitation and partnership are often necessary to nurture a CBT venture in its development process. Many CBT project proposals usually come up with requests for external financial and technical assistance (Gascón, 2013, p. 716). There is a widespread recognition that external entities (private sector, government, NGOs) should have a facilitative role in the CBT development process but should not become direct owners/ managers of the CBT processes and related entities (see on these issues Ramsa & Mohd, 2004, p. 584; Scheyvens, 2002, p. 176; Reid, 2003, p. 135; Wearing and Macdonald, 2002, p. 203; Mtapuri and Giampiccoli, 2013, p. 11; Manyara and Jones, 2007, p. 638). To that end, Zapata (2011) suggests:

The attention and resources of donors, policy-makers, and NGOs should be then better directed to support and stimulate the conditions for a local and endogenous development by providing the necessary resources (e.g. access to money through microcredits, land, ideas, contacts, ownership, influence, knowledge, skills) for the poor to take advantage through local entrepreneurship, to develop and market products, and make linkages with local supply chains” (Zapata, 2011, p. 22).

Government (as any other entity) should therefore approach CBT from the same perspective. In line with this pattern of thinking, Tasci, Croes, Villanueva, (2014, p. 273) argue that local authorities must provide the necessary backstopping to communities in the form of financial, legal and capacity building support especially focusing on those in need instead of making empty promises to them.

For Asker, Boronyak, Carrard & Paddon, (2010, p. 78), partnerships and networks make good support for CBT initiatives upon which they can scaffold. While partnerships are supported, they should remain outside CBT ventures as ‘temporary’ arrangements to facilitate the empowerment of communities and supporting their self-reliance (Mtapuri and Giampiccoli, 2013, pp. 9, 11). An example of such an arrangement is when “the private sector will bring in the tourists while the community manage their own facilities and activities” (Ramsa & Mohd, 2004, p. 587). This example also illustrates the recognition that marketing and market access is often (if not always) a major challenge in CBT (Forstner, 2004, p. 498; Ndabeni & Rogerson, 2005, p. 139; Ahebwa and van der Duim, 2013, p. 98; Tasci, Semrad, and Yilmaz, 2013, p. 12). Mallya, (2006, p. 184) argues that many community-based ecotourism projects have not succeeded is because of their failure to attract adequate numbers of visitors to be viable principally because “often, assumption made about the marketability of a particular location or experince have been unreralistic and not based on research. As a result, promotional activity has been misdirected”. Therefore, a partnership with external entities can assist the CBT project (Asker, Boronyak, Carrard & Paddon, 2010, p. 70). There are other factors which contribute to the failure of CBT ventures.

Some of the factors which have led to the failure of CBT projects are lack of financial resources and skills/capacity (Tasci, Semrad, and Yilmaz, 2013, p. 12; López-Guzmán, Borges and Hernandez-Merino, 2013, p. 132). Communities usually have low financial resources (Calanog, Reyes, and Eugenio, 2012, p. 187; Denman, 2001, p. 21) and access to credit can be difficult for them (Baktygulov & Raeva, 2010, p. 14). The sustainability of a CBT depends on resources especially finance which locals may not have to improve their infrastructure and develop their ventures into small or medium enterprises. (Tasci, Semrad, and Yilmaz, 2013, p. 34). Consequently, because of difficulties of getting funding, in many cases, financial assistance by external entities is often required in CBT development (see for example

Holladay and Powell, 2013, p. 1194; Mirete Mumm and Tuffin, 2007, p. 54). Another key challenge in CBT is related to capacity. Disadvantaged communities usually lack (or have very little) capacity, therefore, there is always the need to facilitate community capacity building (Aref and Redzuan, 2009, p. 210; Calanog, Reyes, and Eugenio, 2012, p. 187; Tasci, Croes, Villanueva, 2014, p. 273; Mallya, 2006, p. 189; Manyara & Jones, 2007, p. 639; Suansri, 2003, p. 12; López-Guzmán, Sánchez-Cañizares and Pavón, 2011, p. 82). The issue of capacity is crucial because a dearth in social and human capital is a major threat to the success of CBT ventures (Tasci, Semrad, and Yilmaz (2013, p. 32). Stakeholders must address the issue of community capacity building given its importance in ensuring that most of the benefits of a community based tourism venture accrue to the communities themselves” (Subash, 2014, p. 4).

CBT policy in Jamaica

Studies on CBT in Jamaica are available, for example, Taylor, Daye, Kneafsey and Barrett (2014) explore the relevance and exploitation of culture as a CBT strategy and Kennett-Hensel, Sneath and Hensel (2009) investigate managers’ perspectives on the Jamaica ten-year Master Plan in relation to sustainability and effectiveness in succeeding inclusive, community-based development and growth. Importantly the study by Kennett-Hensel, Sneath and Hensel, (2009) concludes that while the objective related to heritage-based tourism and infrastructure development are felt to be properly addressed, deficiencies seem to be present in relation to community-based, inclusive tourism and environmentally sustainable tourism. Lately, the Jamaican tourism sector has grown and increased its relevance, however, the distribution patterns of the benefits from tourism has been uneven and community-based responses to this uneven development patterns are present (Dodman, 2009).

Issues and programs related to CBT in Jamaica are not new and many international donors have contributed in various forms to CBT in the Caribbean and Jamaica (Dixey, 2007, p. 5). For example, in 1993, the Environmental Foundation of Jamaica (EFJ) was established and provided long-term financing for supporting community-based tourism, national parks, botanical gardens and protected areas (Vision 2030, 2009, p. 31) and in 2001

the International Institute for Peace through Tourism conference had its focus on Jamaican community tourism (Dixey, 2007, p. 9). The 2002 Tourism Master Plan had a section specifically dedicated to CBT (Commonwealth Secretariat, 2002, p. 191). CBT definition in 2004 Jamaica Community Tourism handbook (2004) (Chambers in Pantin and Francis, 2005, p. 1; see also Dixey, 2007, p. 5) reads: “Community tourism is both an integrated approach and collaborative tool for the socioeconomic empowerment of communities through the assessment, development and marketing of natural and cultural community resources, which seek to add value to the experiences of local and foreign visitors and simultaneously improve the quality of life of communities.”

Hayle (n.d.) also proposed CBT guidelines in her ‘Guidelines for South Coast Project’ offered by (and accessible from) the University of the West Indies Institute for Hotel and Tourism. The Tourism Product Development Company (TPDCo) the central agency mandated by the Government of Jamaica to promote tourism, also offered a CBT guide to help the implementation of CBT project (TPDCo, no date; see also Pantin and Francis, 2005 for another documents on CBT). The same (TPDCo, n.d.) guide mentions that CBT have been in existence in Jamaica for many years but informally. This same issue is mentioned in the CTPS that the concept of CBT is not new to Jamaica as it has been in existence for several years back at an informal level (MTE, 2014, p. 6). On this premise, it can be argued that the scope for increased formalization of CBT development was available.

The 2009 Vision 2030 for tourism in its strategy mentions the need to “expand and promote tourism-related entrepreneurial and employment opportunities for communities including community-based tourism” and very importantly the Vision 2030 indicates amongst the actions to be taken to fulfil the CBT strategy the need to “Develop policies pertaining to community-based tourism” (Vision 2030, 2009:60). Thus, in line with the objectives of Vision 2030, came the publication of the CTPS in 2014 (MTE, 2014:12). The CTPS comes from the specific context of the tourism industry and socio-economic context in Jamaica, as such

Community tourism development presents Jamaica with a major opportunity to advance its goals of an inclusive tourism sector that contributes to the nation’s economic and social

development. International tourism trends are showing a shift away from 'sun, sand and sea (3S)' tourism and toward interactive, experiential tourism. Jamaica has a mosaic of communities that can offer exciting and distinctive natural, heritage and cultural experiences well matched to this experiential market trend. To take advantage of this opportunity, Jamaica commissioned the development of a national Community Tourism Policy and Strategy" (MTE, 2014, V).

As such, in 2011 an agreement was signed between the World Bank and the Jamaica Government (within the Jamaica Social Investment Fund context) and the Jamaica Minister said that the overall objective of the policy is to develop a framework to enhance institutional and policy capacity to nurture and develop community-based tourism as a pillar for sustainable growth in Jamaica and asserted that there is a need to diversify the tourism products and expand the ownership base of the tourism product (Brown, 2011).

The issue, therefore, is to unpack how CBT policy and strategy in Jamaica address and reflect these above mentioned matters regarding CBT, specifically to unpack how the Jamaica CTPS reflects the CBT characteristics of ownership, management and facilitation/partnership and how it addresses the crucial challenges in CBT development, namely, marketing/market access, lack of financial resources and capacity at community level.

The CTPS and CBT characteristics

While recognizing the existence of various definitions and the interchange of terms 'community tourism' (CT) and 'community-based tourism' (CBT) (MTE, 2014, p. 3) the CTPS keys definitions to CBT are two, one on CT and one on community tourism enterprises (CTE) (MTE, 2014, p. 16).

Community Tourism: Community Tourism is the interaction between the host community and visitor which leads to the consumption, sharing and enjoyment of community based experiences, products and services.

Community Tourism Enterprise (CTE):

The following criteria define CTEs:

- i. They are small, medium or micro-enterprises which pursue sustainable tourism and return economic, cultural, social and environment benefits to the communities in which they operate.
- ii. The community in which they operate must be able to influence the decision-making process of the enterprise.
- iii. Ideally, they are owned and operated by the community or one or more community members, either in whole or through joint ventures.
- iv. They promote the local tourism value chain through linkages, where appropriate, to agriculture, arts and crafts, food service and related small businesses in the community. Privately-owned businesses that meet the first two criteria may also qualify as CTEs.

The CT definition seems to be exclusively based on a tourist experience perspective and does not indicate any community social, economic or other developmental perspective of CT which is present in the CTE definition as a 'physical' entity of CBT development. Thus, this article proposes that the two definitions of CT and CTE should ideally be taken together for a more complete definition of CBT. This article is not interested in the host-guest relation related to the CT definition, therefore, considers that the CTPS facilitative approach is correct, as such attention needs to be given to specific issues of ownership, management, partnership, marketing/market access, lack of financial resources and capacity at community level.

The CTPS seems to adopt a facilitative approach where government assists and facilitates in such a way that the community becomes the key protagonist and independent in the implementation of CBT ventures. Caution should be taken in interpreting the roles of the proposed 'operators', as the first goal of the CTPS reads: "Government will facilitate Communities and operators pursuing community tourism business in the planning, management and operations required for business success" (MTE, 2014, p. 18). Facilitative assistance is the approach to be adopted on specific issues such as of marketing and on the formal relationship with external community entity

(MTE, 2014, pp. 14, 18). If properly managed the facilitative method is seen as the proper approach in CBT (see Ramsa & Mohd, 2004, p. 584; Manyara and Jones, 2007, p. 638; Wearing and Macdonalds, 2002, p. 203) in which 'the role of a facilitator is limited to providing proper methods and tools to the people he/she is facilitating in order to make it is easier for them to reach their goals" (Lecup & Nicholson, 2000, p. 11). The facilitator can be any entity (Government, NGOs or private entities) (Mtapuri and Giampiccoli, 2013, p. 5; Guzmán, Sánchez-Cañizares and Pavón, 2011, p. 72).

In the definition of CTE, a few points need to be analyzed. Firstly, CTE are considered as "small, medium or micro-enterprises". While CBT is usually, and especially in its first stages, small, medium or micro-enterprises, it has also been suggested that CBT can be of a bigger scale (see about bigger scale of CBT France, 1997, p. 16; Calanog, Reyes, and Eugenio, 2012; Hamzah & Khalifah, 2009, p. 2; and for large scale Community-based enterprises see Peredo & Chrisman, 2006, p. 316). It has specifically been proposed that "Communities should have the proper organization and financial capability to operate on a limited scale or even full-blown commercial scale" (Jealous, 1998, p. 12).

Control and ownership of the CTE is also very paramount. The fact that the community must have the authority and power to make decisions in the running of the enterprise has a corollary which suggests that the community must also fully own and manage the CTE. Instead, point III of the CTE definition while it recognizes the ideal model of CTE, it gives room to possible joint ventures. Joint ventures and partnerships involving CTE should be carefully balanced. Scheyvens (2002, pp. 191, 194) notes that joint ventures which use community resources are always more popular however he cautions that if the private sector stakeholders have an upper hand in the arrangement, they tend to prioritize their own interests in the agreements. It should be noted that involvement in ownership does not mean equal control of the CTE. Thus, specific support to communities is needed to avoid the chance of the community being exploited. To the largest extent possible, community-based ecotourism (CBET) "...ventures offer much greater opportunities for community empowerment than those in which land is simply leased to an outside operator, or joint ventures in which the community has equity, and therefore shares in profits, but has little power overall" (Scheyvens, 1999, p. 74). Finally, the fact that CTE "promote the local

tourism value chain through linkages” as mention in point IV of the CTE definition is seen positively and appropriate.

However, all constructive CBT points in the CTE definition seem to collapse in relation to CBT when point IV of the CTE definition mentions that “Privately-owned businesses that meet the first two criteria may also qualify as CTEs” that is “They are small, medium or micro-enterprises which pursue sustainable tourism and return economic, cultural, social and environment benefits to the communities in which they operate” and “The community in which they operate must be able to influence the decision-making process of the enterprise.” These parameters which recognize CTE seem to greatly distance CTE with its original and ideal understandings. These parameters of understanding also seem to shift CBT towards neoliberalism in which the CTE reaches the level of a ‘typical’ private enterprise because of size as well as because the community can obtain some benefits and have some kind of influence in terms of decision making. The benefits and the decision making power which the communities retain have to be seen especially if the community is not properly supported, it often gets small symbolic benefits (Scheyvens 2002, p. 191). The transition from being fully owned and managed, to a private sector based (as much as within some specific parameters) into partnership models shows an alignment with neoliberal global policy which is quite distant from alternative development approaches (see Giampiccoli & Mtapuri, 2012). This suggests that fundamentally, there exists a need for proper facilitative structures to empower the community to fully own and manage their CTE or, if involved with external entities, to be equipped to avoid exploitation of any kind and have an equal footing in terms of power relations with external entities.

The literature reviewed shows that marketing, lack of financial resources as well inadequate capacity at community level as three of the main obstacles to successful CBT development. It stands to reason that facilitation in these three matters should be pursued. The CTPS recognized in various points that marketing is a problem area (MTE, 2014, pp. 9, 10). In addition, absence of specific marketing programs for CTE hamstrung their operations and it was noted that the (JTB) did not have any any marketing programs designed for community tourism but two of their programs were making a profound difference on community tourism (MTE, 2014, p. 7). The marketing and facilitative approach of the CTPS seem directed towards two main issues,

namely, facilitation and integration. This twofold approach seems to be clearly articulated in the first goal of the CTPS whose ambition is “marketing channels for community tourism will be facilitated and integrated with the networks of main stream tourism marketing methods” (MTE, 2014:18). The integration strategy essentially meant integrating CBT within the national marketing programs (MTE, 2014, p. 18).

The CTPS rightly recognizes financial and capacity weaknesses (and their possible linkages) at community level in relation to CBT when stating that “Community members require significant capacity building and training, technical support and financial assistance to successfully develop community tourism” (MTE, 2014, p. 9) and most of the identified CTEs did not have enough “financial literacy and accounting skills” (MTE, 2014, p. 10). In addition, it is also generally recognized that the nature and structure of many CTEs makes accessing bank credit as well as the Tourism Enhancement Fund or donor grants difficult (MTE, 2014, p. 10). Thus, the CTPS addresses the lack of financial resources and capacity in various ways. The Government of Jamaica facilitates the sourcing and financing of CTEs in various ways in order to create financing tools for the implementation of community tourism (see MTE, 2014, p.19). It also provides a list of agencies which can be give input/advice on financial matters (MTE, 2014, p. 28). The CTPS recognizes the opportunities that CBT can have in capacity building beyond the strict tourism skills by proposing that designing and developing tourism training programs for capacity building infused with life-long skills is imperative in the support to the development of tourism (MTE, 2014, p.10). Furthermore, the CTPS appears to be targeting the poorest and also ensuring the provision of basic literacy, numeracy and life-long skills” (MTE, 2014, p. 24). This is largely in accordance with what capacity building in CBT development should imply, that capacity building should cover beyond the strict tourism skills but serve to improve the general livelihoods skill/capacity of the people involved (see on similar lines Mitchell and Ashely, 2010, p. 23; SNV, 2007, p. 14; Hainsworth, 2009, p. 113; Ross & Wall, 1999, p. 129). The final aim of capacity building in CBT is for the community to be independent. The CTPS recognizes this one of the outcomes of its initiatives is to “build capacity at the community level to own, manage and deliver high quality visitor experiences and added value to the tourism sector” (MTE, 2014. p. 22). In fact “One of the key differences between community-based tourism and other forms of tourism is the focus on empowering the local community to run their own tourism businesses”

(SNV 2007, p. 14). The issue is to assess first and then build capacity in various sectors in terms of CTPS document (MTE, 2014, p. VII, 19, 20, 21, 23, 34, 35). With regard to finance, it lists a number of agencies which can be give input/advice on capacity and training on financial matters (MTE, 2014, p. 28).

One of the main strategies in the CTPS which is also related to issues of finance and capacity, is the collaborative approaches amongst different tourism stakeholders. Thus, it deems it necessary to develop community tourism partnerships with government ministries, agencies as well as the domestic and international tourism industry, actors from the private sector and NGOs for standards setting, assessments, branding and marketing methods, legal issues, financing instruments as well as capacity building to ensure effective implementation of the program (MTE, 2014, p.19, see also page 27). In addition, the CTPS seems to recognize the different needs of the various communities and as such it proposes to “*Prepare a ‘Community Tourism Action Plan’*” for each community or existing product on the basis of a comprehensive assessment of community readiness and a community tourism product, “such an action plan would include appropriate product development and support action plans for each CTE, a capacity building plan for each community, and benefits and empowerment plans for each community” (MTE, 2014, p. 21). These issues are important and valuable as needs (and wishes) of each community are heterogeneous.

It needs to be noted that support is not the same for all types of CTE. In fact, the CTPS distinguishes three tiers of CTEs (see table 1). The reason given by the CTPS behind the classification of CTE is that “Without market-driven, viable products, community tourism development will ultimately fail. Therefore, the framework for implementation is based on an export, market ready classification system that will guide the delivery of assistance and support” (MTE, 2014, VII). While market readiness is surely important, it is also important to underline the reason behind the development of CBT itself. CBT “primarily utilizes marginalized sectors of society to attain social justice and equity” (Jealous, 1998, p. 10). As such, this articles argues that support should be given to all the three proposed tiers of CTE, however, it should be proportional to the need. In accordance with this, it is here proposed that greater support/facilitation should be given to tier 3 and decreasing to tiers 2 and thereafter 1. It is recognized that specific preconditions such as ‘baseline’ capacity should be present. CTPS proposes capacity building in tiers 3, but

skewed approach seem to be possible risking to increase the gap between various levels of CTE. For example, tiers 3 that “may be visitor ready” is excluded from marketing seems to be total arguing that there should be no marketing at this level. The same could be said also for financing issues.

Table №1. *Community Tourism Enterprises Product Tiers. (MTE, 2014, pp. VII, 31).*

Product Tier	Description	Market Readiness Level
<p>Tier 1: Export Market Ready</p>	<p>These are tourism products that operate at international industry standard levels, and have the knowledge, systems and finances in place needed to work through travel trade distribution sales channels. This Tier focuses on assisting the market ready products to increase business and enhance their operations.</p> <p>The Tier 1 support programs focus on facilitating and mentoring the CTEs to operate and market viable businesses. The programs areas include: 1) product standards; 2) international tourism product development and packaging; 3) international tourism marketing, and; 4) strategic partnerships. Tier 2 and 3 training programs also are applied as required.</p> <p>Only CTEs that are operating at this highest level of readiness would be fully integrated in marketing programs aimed at the overseas and travel trade markets.</p>	<p>Export Ready + Market Ready + Visitor Ready</p>
<p>Tier 2: Market Ready</p>	<p>This Tier’s community tourism product operates legally and has reached the basic level of readiness to welcome visitors, but there may be shortfalls in meeting inter-national industry standards, and hospitality/ service/marketing levels. The Tier focuses on building participation and success in the tourism industry by communities and community</p>	<p>Market Ready + Visitor Ready</p>

	<p>members as community tourism operators and employees.</p> <p>The Tier 2 support programs fulfil the developmental needs of CTEs in the areas of: 1) tourism and business planning; 2) tourism and cultural hospitality skills; 3) export ready product development; 4) tourism management and operations; 5) financing, and; 6) tourism marketing. In addition, Tier 3 training programs also are applied as required.</p> <p>The support programs for this stage aim to assist products to reach the export ready stage. CTEs operating at this level would be able to participate in marketing programs for local and regional markets, but not programs for overseas markets or the travel trade. The majority of existing CTEs are in this stage of development.</p>	
<p>Tier 3: Start-Up Product Stage</p>	<p>In this tier the community tourism product is in the planning and start-up mode or basically undeveloped but there is an interest in pursuing tourism as an economic development activity. This Tier builds awareness, initiates planning and develops the capacity of communities, businesses and individuals to enter the tourism sector.</p> <p>The awareness programs provide communities with understanding of tourism benefits, opportunities and challenges for their economic, social and cultural development. The planning programs include preparing community tourism inventories, capacity building programs for this stage include literacy, numeracy and life skills. No marketing initiatives would be applied at this level.</p>	<p>May be Visitor Ready, or a community or community member with a product concept</p>

This state of affairs seems to also suggest that within the CTPS (MTE, 2014, p. 42) priority was going to be given to communities and CTEs “in regions where readiness and access to markets is highest and in which early successes can be achieved” in order to achieve some quick wins. The CTPS rightly mentions that community tourism can address these issues by tapping into under-utilized human capital, physical and natural resources as well as the cultural heritage of the country’s economically disadvantaged urban and rural communities (MTE, 2014, p. 3). In addition, the CTPS recognizes that many enterprises identified as CTEs were running as informal businesses and did not have the requisite financial literacy and accounting skills (MTE, 2014, p. 10). Thus, importantly, this article argues that the potential of CTE (and associated community development of its members) could be much more profound in tier 3 than tiers 1 and 2 in reducing poverty if most of CTEs are in tier 3 and, arguably, CTE in tier 3 can be linked to the most disadvantaged groups in society as they largely represent CTEs which are informal in nature. It is noteworthy that the informality of tier 3 CTE does not represent inferiority but could effectively be exploited with great impact because the issue regarding formality and/or informality of CBT development presents various positive and negative qualities in both circumstances (see Giampiccoli & Mtapuri, forthcoming). The overall positive CTPS of Jamaica is possibly obscured by its arguably skewed trend which gives more comprehensive facilitative support to already established and market ready CTE in Tiers 1 and 2 instead of decisively prioritizing facilitative support to the most underprivileged sectors of society (and CTE) in line with CBT approach. This should be done in order to avoid the production of ‘elite’ CTE (or CBT project) and increasing gap between CTEs and the members associated with them. This is not to say that CTEs in tiers 1 and 2 do not deserve assistance or that the CTPS does not have a facilitative support strategy for CTE in tier 3, but that tiers 3 should receive more and comprehensive assistance if the aim is to assist the most disadvantaged groups in society to better their livelihoods.

Conclusion

This article reviewed the CTPS of Jamaica and correlated the relevant understandings and challenges related to CBT. The aim of the article was to investigate the relationship between relevant CBT characteristics available in the extant CBT literature with the Jamaican CTPS and to discuss its value in relation to community development. The article contributes to understanding the role of government in CBT and how government can proactively approach and direct CBT development. The article argues that while the Jamaican CTPS has numerous positive points and strategies, it seems to tackle these (points and strategies) in arguably reverse priority order of support. That is, priority is not given to the more marginalized and poor CTE, but to already established and ready for market CTE. This state of affairs has the inherent risk of increasing the inequality gap between the rich and poor CTEs and their associated members with potential to develop 'elite' CTEs with the concomitant increase in the gap between the rich and the poor. The article concludes that while the CTPS has numerous strategic development issues which are proposed and assessed, it is the prioritization of the interventions which is warped and possibly mismatching with the CBT fundamental points of providing facilitation to the marginalized and poor members of society in pursuit of social justice as a CBT ambition.

Despite the shortcomings and deviations from the optimal route and approach related to CBT development, Jamaica (together with a few other countries such as Namibia, Colombia, Myanmar), need to be credited for their effort in recognizing the need for a specific CBT strategy. This is still a gravel road but it is an apt recognition of the fact that CBT road has been opened. It is obvious that while facilitation is advocated in this article, it should also be practically implemented to make a positive contribution to CBT development. This because, as already stated '[w]hile the rhetoric suggests that there is much support for CBET [community-based ecotourism] ventures, in practice it is difficult to find good examples of this' (Scheyvens, 2002, p. 72). The need is to avoid the 'implementation gap' between policy and results (Sofield, 2003, p. 191).

It is of utmost importance to continuously review and correct shortcomings and deviations from the approach and goals for alignment with CBT development. It will take time to see the outcome of the Jamaican CTPS on the

ground and further research on this matters will be required to investigate and understand what else matters in contributing to successful CBT development, especially in relation to the benefits which must accrue to the most disadvantaged groups in society (of which is what CBT entails).

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Compulsory Motor Third Party Liability Insurance in Georgia

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The risk arising from motor third party liability has a significant influence on the financial conditions of society. Accordingly, the question of the necessity and effectiveness of the obligatory form of third party car insurance and how it provides financial security for society by caring for the rights of society from the part of the state, is relevant. Compulsory insurance has to protect the insured from such risks that are very high and have serious consequences – this is the responsibility of the state. It also has to provide an extended liability (in this case the liability of body injuries and property damage raised by owing and driving a vehicle. Compulsory insurance will strengthen the security of society, will raise the precedent of “punishment of the guilty” and will help lower the frequency of such risks in the future, which will improve the social environment.

Introduction

Among the compulsory forms of insurance issued around the world, Motor Third Party Liability (MTPL) insurance is the most wide-spread compulsory insurance, the aim of which is to insure the liability of the owners of vehicles against damages to health and property of a third party in the form of an obligation (Rejda & McNamara, 2008, pp. 522-523). While MTPL insurance is in the form of an obligation, the insurance object, types and the rules of implementation is determined by legislation in Georgia (Parliament, 1997, article. 5).

In general, car insurance contains four types of coverage. It includes the coverage of the personal automobile of the policyholder, when damages occur to this insured vehicle; coverage of the medical expenses, which compensates medical expenses for the policyholder, his family and other persons who are passengers of the insured vehicle; the coverage of the liability and the coverage of the “non-insured driver”. As it was mentioned, the medical expenses of the policyholder and passengers are covered by the second type of coverage, but the damages of the property or bodily injuries of the other “third party” (other than policyholder, driver or passengers) are covered by third party liability coverage.

Motor third party liability insurance addresses the following problems: when on the road accident, by the blame of other person the “victim” is injured and he/she is insured, the insurance company covers the damages through the first and second types of coverage, but this will have an influence on the premiums of the following insurance period. Under the MTPL insurance, the victim’s insurance company is not obligated to cover the damage, due to fact that the premium will not be increased for the next insurance period. If the victim is non-insured or wasn’t driving and was a pedestrian, then it will be possible that he/she will not get an amount that covers the injuries by the “guilty” person, because of the lack of funds or simply the “guilty” person can run away from crime scene in order to avoid punishment. In this case the motor third party liability insurance comes into play. If the pedestrian was injured by the accident, his insurance company under the MTPL insurance will cover the damages and not the guilty party himself and since the insurance company is an institutional entity, it has more financial stability to cover the damage fully.

Any form of insurance is not subject to be implemented in the form of an obligation. The most important factor is the risk that is raised by insured objects and the severity of the impact on society. The second factor means that it may not spread out the severity of the results on society widely, but it may be very important for individuals in that it may need the form of compulsory insurance. The third factor considers spreading the sphere of responsibility, or extending the liability. For example, in the case of MTPL insurance, the system of bonus-malus (reward-bonus; or penalize-malus) increases the responsibility, as the policyholder knows that if the accident has occurred during the insurance period, the premium will be increased for the next insurance period. Accordingly, the sense that covering expenses will be done by “others”, in this case “others” means an insurance company, and that he/she will avoid responsibility, will disappear. This decreases the factor of negligence for the next insurance periods (Organisation for Economic Co-operation and Development, 2004, pp. 192-197).

As the risks caused by motor third party liability insurance makes a significant impact and influence on society, the research hypothesis is in that MTPL insurance provides for a decrease in the losses for the society caused by the third party liability risks, which is one of the main prerequisites to defend the financial security of citizens from the the state.

As it is mentioned in the OECD report, the compulsory form of the MTPL insurance is satisfied by two main conditions. Firstly, the frequency and the severity of the risks must be high. The secondly, to extend the liability, or spread out the sphere of responsibility towards these risks, this provides a reduction in the probability of risks in future (2004, p. 197).

Consequently, the objective of the study is as follows: to count the frequency of the mentioned types of risks in Georgia and compare the results with the average frequency of risks in the European countries. In addition, we must check to see if the compulsory insurance extends liability. We must study to see how detrimental paying the premiums for the compulsory MTPL insurance will be on Georgian society.

Compulsory insurance will help form and develop an insurance culture in Georgia. It will improve the competition between insurance companies and will provide prevention of injuries. The compulsory form of motor third party liability insurance will quickly reshape the financial results of road accidents

and avoidance of lawsuits. Society's sense of fear and threat will be reduced before and after road accidents (Rejda & McNamara, 2008, p. 29).

However, as with any type of insurance, compulsory insurance has its negative sides too. Any type of insurance premium contains the expenses of doing business (operating expenses) which affects society. It also increases the element of negligence that pushes policyholders to carelessness as the road accident damages are covered by insurance company and not themselves (Rejda & McNamara, 2008, pp. 32-33).

Compulsory MTPL insurance in Georgia

Relevance of research

Auto insurance is one of the most important types of insurance in the world. According to the first major report on road injury prevention jointly issued by the World Health Organization (WHO) and the World Bank, road traffic injuries are a huge public health and development problem, killing 1.2 million people a year and injuring or disabling between 20-50 million according to data from 2008. Both WHO and World Bank data show that, without appropriate action, these injuries will rise dramatically by 2020. This increase mainly threatens developing countries, as in such countries there have been dramatic increases in the number of using the automobiles and consequently the risks connected to this growth. These injuries clearly have an enormous economic impact on individuals, families, communities, and nations of low-income and middle-income countries costing between 1 and 2 percent of their gross national product. In addition, there is the difficult and tragic burden on those directly affected, physically and psychologically, as well as their families, friends, and communities. According to the World Health Organization's 2004 World Report on Road Traffic Injury Prevention, health facilities and their scarce budgets are greatly overloaded by having to deal with survivors of traffic accidents. World Bank studies have shown that motor accidents causing deaths and injuries occur in developing countries at a rate of up to eight times that of industrial countries. To underline the seriousness of the situation, WHO has called motor accidents a "hidden epidemic" (The World Bank, 2009, pp. 1-4).

Financial, physical or psychological results that arise from the motor third party liability are a heavy burden for Georgian society as well. As the Georgian Insurance Association shows, between 2005-2007 on average 85 percent of injuries per year come from road accidents, with a total material loss of 50 million of Georgian Gel (The center of business and economics, I-002, p. 2).

Social problems and frequent road accidents have become the reason for developing and establishing MTPL insurance around the world. The second biggest problem that helped to establish MTPL insurance was the traffic jams and the problems connected with them. The number of vehicles on the roads significantly increased in the developing world and that led us to heavy traffic, road accidents and many other social problems. In most countries, the introduction of this new form of compulsory insurance went hand in hand with the establishment of a guarantee fund, a new kind of body to which every insured person contributed (in the form of a percentage of premium paid). The purpose of such a fund is to compensate victims for damage caused by unidentified or uninsured drivers (Those whose insurance contract cannot cover the injuries fully or drivers who leave the scene of an accident), or by vehicle thieves. Consequently, the injured side always knows that the damage will be covered by all means: from the side of the insurance company or the guarantee fund (Organisation for economic co-operation and development, 2004, p. 192).

As it has already been mentioned, dealing with the third party liability while owing and driving a vehicle is very important for a society's well-being. Based on the reports of the National Bank, World Health Organization and other reliable sources, attention is paid exactly to the importance of MTPL insurance from the following point of view: development of the country; financial security of society and satisfy the requirements of international organizations. After the elimination of compulsory MTPL insurance legislation in Georgia, only 0.8 percent of collected premiums belonged to the voluntary form of third party liability of using land transport in 2012 (LEPL State Insurance Supervision Service of Georgia). This index is quite low and indicates that the importance of MTPL insurance is less than thought from the society in the Georgian case. As the voluntary MTPL insurance cannot occupy even 1 percent of the market, it is necessary to adopt actions by the state that is expressed in the form of compulsory insurance.

MTPL insurance regulation

In the most countries, MTPL insurance towards a third party is insured by the compulsory form. From the report of the Organisation for Economic Co-operation and Development (Insurance in the Baltic countries: Policy issues in Insurance, 2004, p. 217) it seems that compulsory insurance is regulated by legislation. As the international experience shows, compulsory insurance cannot be accomplished only on the basis of law. Compulsory insurance, even though it is required by law, still implies a conclusion of an insurance contract between the policyholder and an insurer. Law contains only a minimum need, requirements and describes the general conditions of insurance. For the insurance to enter into force, acceptance insurance terms and conditions is provided by the signing of an insurance contract. An insurance contract is in force after the policyholder makes his/hers first payment for the insurance premium. For example, as a result of changes in the the 1995 law on compulsory insurance of Estonia, by the provisions on compulsory insurance law of 2002, it was clearly and unambiguously defined that compulsory insurance is the type of insurance that is regulated as compulsory by legislation, but bringing compulsory insurance into force means also signing an insurance contract.

The adoption of compulsory insurance is done at a legislative level. According to the Organisation for Economic Co-operation and Development, there are several aspects that are important from the legislative side. The first is what is covered by the law. The information about coverage must not be general and vague, because very often, with the exemptions and additional conditions of the contract, insurance companies can limit the area of compulsory insurance coverage. For example, compulsory insurance covers financial losses resultant from road accidents. This information is general and undefined. It should be noted what kind of financial losses are covered: those from bodily injuries only or from property losses too, covering court costs or not, covering death and other miscellaneous expenses or not.

The second topic is about insurance companies that provide compulsory insurance services to society. In this case, the customer has to be able to estimate the service that is offered by insurance company. In order to avoid the initial reasons for the elimination of the compulsory MTPL insurance scheme in Georgia, it is possible to supervise the insurance market from the

point of antimonopoly/antitrust regulation. As it was already mentioned, the initial reason for the elimination of legislation was named the use of monopolistic position by one of the insurance companies that offered quite a low price for compulsory MTPL service compared with competitors (Petelava, 2008, p. 85). However, it should be noted that the Georgian market has relatively developed and there is low probability that any insurance company will benefit by similar monopolistic position in Georgia. In 2010, the market share of insurance companies indicated that there were no strictly expressed monopoly in existence. According to the report for the third quarter of 2013, LEPL State Insurance Supervision Service of Georgia indicated that based on a written premium the leader of the market is “Aldagi BCI” (29.77%), then comes “GPI Holding” (17.3%) and “Archimedes Global Georgia” (16.86%). Little shares have “IRAO” (10.3%) and “IC Group” (9.06%) and a remaining 8 companies share 16.7 percent of the market (LEPL State Insurance Supervision Service of Georgia, 2013).

In the negotiation stage of the conditions of compulsory insurance, the minimum insurance amount must be specified in the legislation. But an insurance company can offer the policyholder a more convenient or competitive set of conditions than stated by law (Parliament, 1997, Article. 5).

The compulsory MTPL insurance in EU countries is represented by the international “Green Card” system. (Organisation for Economic Co-operation and Development, 2001, p. 176). It was the result of an agreement between European countries and is intended to cover accidents occurring outside the country where the car is registered. It covers death, bodily injury, property damages and legal expenses. The “Green Card” system helps vehicle owners to cross borders seamlessly. The aim of the system is that every country has to care for the citizens injured by road accidents despite their nationality.

In Georgia, this role was filled by the law on compulsory insurance adopted in 1997 “About compulsory motor third party liability insurance”. Changes were made in this piece of legislation on January 1, 2004. According to the changes, the scope of compulsory MTPL insurance was not required for privately used vehicles with weights that were less than three tons. Finally, on January 15, 2010 the 1997 law “about the compulsory MTPL insurance” was cancelled.

Several factors were said for abolishing compulsory MTPL insurance. One of them was the unfair competition on insurance market during period of 2002-

2003. This was expressed in that one of the insurance companies offered customers the compulsory package at a 90% discount. That put competitive insurance companies in difficult situation. The state could not manage to qualify this action as anti-competitive activity that, by experts, was caused by the loop holes of antimonopoly/antitrust legislation. The Georgian government also considered it better to avoid giving society extra obligations. These factors caused the cancelation of compulsory MTPL insurance (Petelava, 2008, p. 85).

The MTPL insurance benefits for society

It has to be noted that there are quite important arguments linked with adoption of MTPL insurance. The main benefit is defending the society from those risks, which have become more important over the last 10 years. “The community needs to understand that persons who drive cars collectively give rise to extensive injury and damage across society” (The World Bank, 2009, p. 211). In the report, the World Bank also mentions the positive results, which influenced the adoption of compulsory MTPL insurance in nearly all countries.

First of all, it raises awareness of the responsibilities of the driver. Compulsory insurance provides increased responsibility against the owners and drivers of vehicles, which improves the situations associated with road accidents. It also improves the condition of injured and community responsiveness. The last is linked to the need to improve safety in infrastructure, road design, vehicle design, driving skills, driver conditions (for example: prohibitions, limitations, and road traffic rules), matching driver experience to the capabilities of the vehicle (lower-power vehicles for younger drivers), car occupant safety (use for seatbelts and child seats) and pedestrian behavior (The World Bank, 2009, p. 211).

Compulsory MTPL insurance helps to raise public responsibility. Particularly, when the person who caused road accident suffers economic losses (by participation in the reimbursement of the loss), this causes the precedent of “punishing the guilty” that eventually gives way to improved driving conditions. To participate in the reimbursement of loss, insurance companies apply different methods and systems. Among them is “Bonus-Malus” system

that is designed to increase or reduce premiums according to changes in insurance risk (Parliament, 1997, p. 1).

When MTPL insurance is not given in the form of obligation, a large amount of money goes to covering uninsured drivers. Under this coverage, the insurer pays compensating expenses for body injuries, on which the policyholder has the right to get from uninsured vehicle (Crews, 2010, p. 11). An uninsured driver is the person, who does not have compulsory insurance, or whose insurance company is insolvent to pay fully or partially the claims, or the driver who leaves the scene of an accident (Rejda & McNamara, 2008, pp. 502-505). When “the guilty” shares claims derived from third party liability with an insurance company, the probability that he or she will flee the scene of the accident reduces. Compulsory MTPL insurance will reduce the number of those people, who will not be able to get claims for injuries/damages, and will have to use their own insurance policy to cover claims raised from uninsured driver, which will increase their premiums in future.

Dealing with road accident risks is one of the most important duties of the state. Nearly every citizen carries a road accident risk and the frequency and severity of this risk is quite high. That is why dealing with road accidents requires colossal resources. Besides, the consequences of road accidents create huge social and economic problems: recovering from injuries requires long-term medical care and resources, the sense of insecurity increases in society. The social results of road accidents influence not only the “injured” but his/her family members, becoming a social burden for the state.

Accidents bring quite a large amount of financial expenses, and the painless and quick regulation of these problems is inevitable for a normal life rhythm. In such cases, court cases and other disputes make for not only financial but also time-consuming problems for the injured and the guilty. It is common to avoid formalities and just make verbal agreements between participants in road accidents. This harms both sides and the guilty remains unpunished, promoting non-safety in society and raises the frequency of road accidents in the future.

Research findings

The research methodology includes processing secondary data from European countries and Georgia about the frequency of the risk caused by motor third party liability (in this case the frequency of the road accidents) for testing the hypothesis using Student's t-distribution and Box-plot.

Additionally, the methodology requires stating the adequacy of insurance premiums with average income and cost of living by processing secondary data. Based on a questionnaire survey, where sample size was 100 people, we collected information about awareness of compulsory MTPL insurance in society. The results revealed that only 46% know about the concept of MTPL insurance.

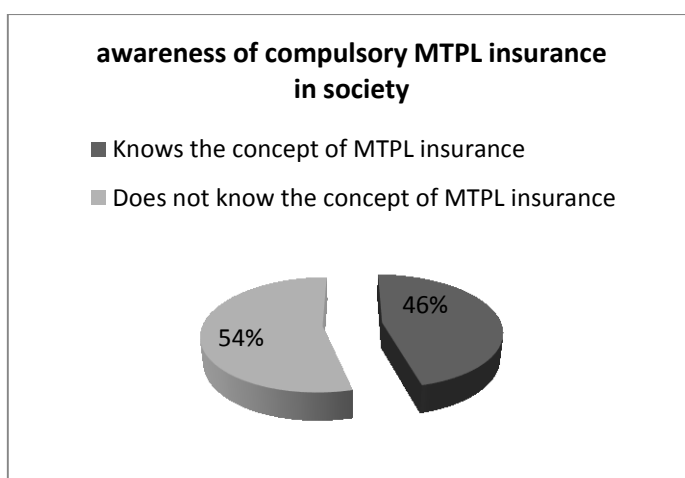


Figure №1

Awareness of compulsory MTPL insurance in society

This survey also revealed the general attitude of society towards the insurance market.

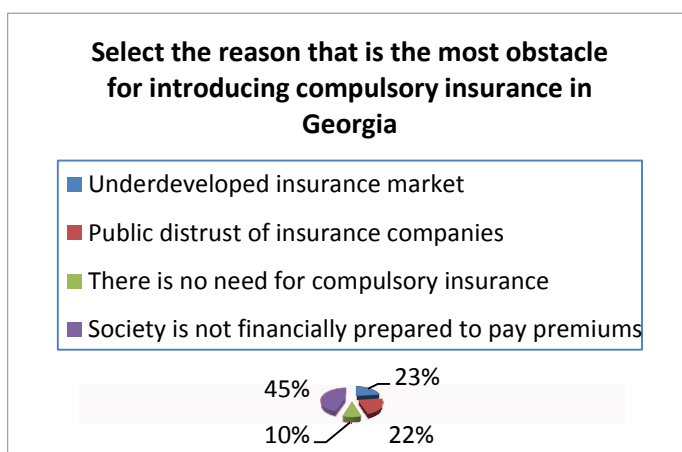


Figure №2

By processing data from the questionnaire survey, the hypothesis was tested based on Z- distribution, which included extended liability if the MTPL insurance will become mandatory. Sample size was 100 people, from which 60% considered, that MTPL insurance should be mandatory.

Table №1. *Anova: Single Factor Results with Microsoft Excel for Testing Hypothesis*

Anova:
Single
Factor
SUMMARY

Groups	Count	Sum	Average	Variance
Frequency	2	100	50	200
Relative frequency	2	1	0.5	0.02

ANOVA

Source of Variation	SS	df	MS	F	P-value	F crit
Between Groups	2450.25	1	2450.25	24.50005	0.038476	18.51282
Within Groups	200.02	2	100.01			
Total	2650.27	3				

As $P < 0.05$, or $F\text{-Test} > F\text{ Critical}$, it was stated that, the responsibility arising with motor third party liability will be extended with the compulsory form of MTPL insurance.

To check how MTPL insurance provides for the financial security of society, it is necessary to check the frequency of road accidents. For this, secondary data was collected from the National statistics office of Georgia and the Information-analytical department of the Ministry of Internal Affairs of Georgia. Based on these data, the frequency of road accident risk in Georgia in 2007 is 3.8% and in 2008 – 4.0% (Information-analytical Department of the Ministry of Internal Affairs of Georgia, 2012). These data were compared with other European countries where MTPL insurance is represented in a compulsory form. Information was retrieved for the years 2006 through 2013.

Table N 2. The frequency of MTPL risk in Europe between 2006-2008 years

		2006	2007	2008
AT	Austria	10.1 %	9.4%	9.0%
TR	Turkey	6.9%	8.7%	9.9%
IT	Italy	8.4%	8.6%	8.6%
GR	Greece	8.2%	8.0%	8.2%
SK	Slovakia	7.6%	7.8%	7.8%
SE	Sweden	6.6%	6.5%	7.7%
LV	Latvia	7.7%	n.a.	n.a.
PT	Portugal	7.3%	7.5%	7.3%
EE	Estonia	7.4%	7.1%	6.1%
MT	Malta	n.a.	5.8%	7.4%
DE	Germany	7.0%	6.8%	6.6%
HR	Croatia	6.2%	5.9%	5.7%
CZ	Czech Republic	6.2%	6.2%	6.2%
NO	Norway	6.1%	6.1%	5.8%
CH	Switzerland	6.1%	6.0%	n.a.
HU	Hungary	5.5%	5.0%	n.a.
PL	Poland	5.3%	5.0%	5.1%
FR	France	4.7%	4.6%	4.4%
SI	Slovenia	4.5%	4.3%	4.1%
NL	Netherlands	4.3%	4.5%	n.a.
FI	Finland	2.9%	2.9%	2.8%
CEA		6.6%	6.6%	6.5%

Source: (European Insurance and Reinsurance Federation, 2010, p. 127)

After calculating risk frequency per citizen, a Box-plot was built, which gave us the frequency range for adequacy of compulsory MTPL insurance. The frequency of the MTPL risk in Georgia appeared in this range, meaning that MTPL insurance should be compulsory.

	Cases					
	Valid		Missing		Total	
	N	Percent	N	Percent	N	Percent
Average_Frequency	22	100.0%	0	0.0%	22	100.0%

Figure №3

Box-plot based on the average frequency of MTPL risk in European countries and in Georgia.

As road accidents are characterized by body injuries, death and damages to property it is necessary to compare the frequency of general accidents that was done as mentioned above. However, another important factor is the frequency of death. On this side, updated data is given across European countries as well as in Georgia. It must be noted that together with the new data, this information is more accurate than the data of road accidents. To announce a person as dead is regulated by the law (Georgian Law on Civil Acts. No. 5562). Accordingly, the number and cause of deaths give are accurate.

Table №3. *Fatalities arising from car accidents by million inhabitants*

	2006	2007	2008	2009	2010	2011	2012	2013
BE Belgique/Be	102	101	88	88	77	78	70	65
BG България	135	131	139	118	105	89	82	82
CZ Cesá reput	104	119	104	86	77	74	71	53
DK Danmark	56	75	74	55	46	40	30	32
DE Deutschlanc	62	60	54	51	45	49	44	41
EE Esti	152	146	98	73	59	76	56	51
IE Ireland	87	78	64	53	47	41	35	42
ES España	94	86	68	59	53	44	41	37
FR France	74	73	67	66	62	61	56	50
HR Hrvatska	138	139	150	124	99	97	91	86
IT Italia	96	87	79	71	70	65	62	58
CY Kùttpoc (Ky)	112	114	104	89	73	85	61	53
LV Latvija	177	184	139	112	103	86	85	86
LT Lietuv a	223	219	148	110	95	97	99	85
LU Luxembourg	92	97	72	97	64	64	66	87
HU Magyarorszi	129	122	99	82	74	64	61	59

MT	Maldta	27	34	37	51	36	51	27	54
NL	Nederland	45	43	41	39	32	33	34	
AT	Osterreich	88	83	82	76	66	62	63	54
PL	Polska	137	146	143	120	102	109	93	87
PT	Portugal	92	92	83	79	80	84	68	52
SI	Slovenija	131	146	106	84	67	69	63	51
FI	Suomi/Finia	64	72	65	52	51	54	47	48
SE	Sverige	49	52	43	39	28	34	30	28
UK	United Kingdom	55	50	43	38	30	31	29	29
		88	86	79	70	63	61	56	52

Source: *Road safety evolution in EU (2014)*.

Based on the data in table N3 in European countries the average death from car accidents is 77 people per million and the standard deviation is 18 people per million (Road safety evolution in EU, 2014). In Georgia average death during 2006-2013 is 145 people per million. (Information-analytical Department of the Ministry of Internal Affairs of Georgia, 2013) It is clear, that the frequency of risk twice exceeds the statistics of European countries.

Based on the data in table N 3 average death per million inhabitants in European countries and in Georgia were calculated.

Table №4. *Fatalities arising from car accident by million inhabitants*

	average death per million inhabitant in European countries	average death per million inhabitant in Georgia
2006	101	153
2007	102	168
2008	88	198
2009	76	169
2010	66	154
2011	65	118
2012	59	92
2013	59	107

To process this data, a Student's t- distribution was used based on which the study has been approved in accordance with the hypothesis that the risk of road accidents in Georgia (Road death) is high compared to other European countries (Table N 4)

Table №5. Anova: Single Factor results with Microsoft Excel for testing hypothesis

Anova:
Single
Factor
SUMMARY (Per
inhabitant)

<i>Groups</i>	<i>Count</i>	<i>Sum</i>	<i>Average</i>	<i>Variance</i>
Fatalities in European countries	8	616	77	318
Fatalities in Georgia	8	1159	145	1297

ANOVA

<i>Source of Variation</i>	<i>SS</i>	<i>df</i>	<i>MS</i>	<i>F</i>	<i>P-value</i>	<i>F crit</i>
Between Groups	18428.83	1	18428.83	22.821871	0.000295	4.600110
Within Groups	11305.10	14	807.51			
Total	29733.93	15				

A secondary survey was conducted regarding insurance premiums. The aim of the study was to examine whether paying compulsory premiums would be heavier burden for society. For this reason, MTPL insurance premiums were compared to the average cost of living and income levels in Georgia that is an average of 887 GEL per household during 2013. (National Statistics Office of Georgia, 2013) Average MTPL insurance premium based on current insurance companies is 10 GEL per month based on 10,000 GEL insurance limit. (aldagibci, 2014); (GPI Holding, 2014) Also, technical inspections and the estimated percentage supposed to cover the uninsured driver were taken into account. Based on the old legislation this percentage was 20 percent. However, it should be noted that this percentage is quite high and requires an

adjustment based on the experience of European countries. Research revealed that society is financially ready to pay compulsory insurance premiums.

Conclusions and Recommendations

Research about the frequency and severity of motor third party risks in Georgia confirms the need for compulsory MTPL insurance. It is clear that society is ready to pay the premiums for compulsory insurance. As for the issues relating to compulsory insurance, significant changes need to be implemented.

1. It is necessary to raise effectiveness of the regulation and registration of road accidents, because this information is critically important for the actuarial calculations;
2. Insurance premiums and limits need to be calculated based on actuarial calculations with real statistical data;
3. It is necessary to develop a mechanism of control to insure compulsory form of motor third party liability risk for all registered vehicles in Georgia. It is possible to use the practices of other foreign countries, which includes a driver's license renewal once a year and at the same time signing a compulsory MTPL insurance contract.
4. It is necessary to improve legislation. It is necessary to define in detail the duties of the Insurance Bureau, the management mechanism. It is also important to be regulated by the law methodology of insurance tariff calculation. Legislation has to regulate the Bonus-Malus system, because it is one of the main methods designed to expand the scope of liability, which is a prerequisite for compulsory insurance.
5. Covering the damages to injured persons has to contain the compensation for damage to life and health, as well as compensation for property damage.
6. For this type of compulsory insurance, a unified software database needs to be created.

7. It is recommended to implement Pay-As-You-Drive system, which will reduce and make the premiums payable for each member of the society fairer. This method is also directly related to reducing the frequency of excessive consumption of motor vehicles, thus improving the country's infrastructure.

Permanent revisions of compulsory insurance from the state is the most important and responsible stage. As annual contributions (premiums) are a burden to society and society is obliged to pay the insurance premium regardless of their own desires, the state must be sure to periodically revise, to make sure that the compulsory form of insurance brings more benefit for the country than a financial burden. For this aim, it is possible to revise the need for compulsory MTPL insurance through the methodology of this research. In the reports of Ministry of Labor, Health and Social Affairs of Georgia can specify the severity of damages to the body and life that result from traffic accidents. Other responsible authorities must pay attention to the frequency of traffic accidents and describe completely property damages. The current state of the insurance market should be periodically reviewed to prevent cartel deals. Also the insurance limits and annual premiums need to be revised in order to maintain an economic balance.

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Forecasting Tanzania GDP per Capita, 2013 – 2021

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This study forecasts standard of living in Tanzania over the next ten years as measured by the ratio of two rates: (1) economic growth, using real gross domestic product (GDP), to (2) population growth. GDP alone is an insufficient measure of a nation's well-being. China and India, for example, have high levels of GDP, but the pie is sliced very thin to be shared among the billions of people who live in those two countries. Real GDP per capita measures not only the level of economic activity but also the number of people who must share in the results of that activity. This study uses historical data for Tanzania's real GDP (i.e., adjusted for inflation) and population to observe the ratio over time (from 1960 to 2011). One discovery is that of a point of inflection at the end of the 20th century, such that GDP per capita rose at an annual rate of just one percent "pre-inflection" and four times that rate "post-inflection." The study uses standard statistical methods to forecast the variables over the next ten years. Results of the forecast indicate that GDP will continue to grow at a faster rate than will population, with a consequent steady rise in the average standard of living. How the increased prosperity will be distributed, so as to reduce the level of poverty and the disparity of income, remains to be seen.

JEL Classifications:

C53: Forecasting and Other Model Applications

E17: Forecasting and Simulation: Models and Applications

O11: Macroeconomic Analyses of Economic Development

O40: Economic Growth and Aggregate Productivity

O55: Economywide Country Studies – Africa

Forecasting Tanzania GDP per Capita, 2013 – 2021

This study forecasts standard of living in Tanzania over the next ten years as measured by the ratio of two rates: (1) *economic growth*, using *real gross domestic product* (GDP), to (2) *population growth*. GDP alone is an insufficient measure of a nation's well-being. China and India, for example, have high levels of GDP, but the pie is sliced very thin to be shared among the billions of people who live in those two countries. (While the combined population of China and India comprises nearly 37 percent of the world's population, their combined GDP accounts for only 14 percent of the gross world product (Wikipedia, 2013a and b)).

Real GDP per capita measures not only the *level* of economic activity but also the number of people who must share in the results of that activity. This study uses historical data for Tanzania's *real GDP* (i.e., adjusted for inflation) and *population* to observe the ratio over time (from 1960 to 2011).

This study re-visits the perennial question asked by development economists: Why is it that some nations grow rich while others remain poor? By all economic measures, Tanzania is a poor country (e.g., CIA, 2013; Feenstra, Inklaar, & Timmer, 2013; Global Finance, 2013; IMF, 2013). Will it remain poor, or are there signs of improvement in the standard of living of the average Tanzanian person? Such signs are already evident in the data. However, this study is limited to analyzing macroeconomic data and does not address the distribution of income and wealth among the nation's families and

regions; this is a most important area, embracing the reduction of the rates of poverty, that must be examined in future studies.

Method and Sources

The study employs two variables: (1) real gross domestic product (GDP, or Y) and (2) population (N). (See Appendix D for mathematical notation.) Specifically, the study is concerned not just with the *levels* of GDP and population, but more importantly, with their *rates of growth* (g_Y and g_N). An operating premise of the study is that improvement in *standard of living* is determined in general by the ratio of GDP growth rate to population growth rate. A consequence of the premise is that if GDP grows at a faster rate than population, then the standard of living will rise.

Historical data for both variables are found in a number of resources, including, *inter alia*, the Bank of Tanzania (2013), *The World Factbook* of the United States Central Intelligence Agency (CIA, 2013), the International Monetary Fund (IMF, 2013), Infoplease (2013), Tanzania National Bureau of Statistics (NBS, 2013), USAID (2013), Theodora (2013), and the World Bank Group (2013). This study, however, uses as its primary source the recently released, highly regarded, and most comprehensive longitudinal database, Penn World Table PWT 8.0 (Feenstra, Inklaar, & Timmer, 2013a & b). Historical economic and population data comprise the base for a 10-year forecast using Forecast Pro, the powerful statistical forecasting program employed by businesses, governments, academics, and others around the world (Stellwagen & Goodrich, 2010b). Interpretations of results are aided by the *Forecast Pro Statistical Reference Manual* (Stellwagen & Goodrich, 2010a). (A list of abbreviations and acronyms is at Appendix C.)

Results

Gross Domestic Product Level and Growth Rate

Figure 1 shows the historical data for Tanzania GDP from 1960 to 2011, the latest year for which PWT 8.0 has such data. Using 2005 as the base year, real GDP (adjusted for inflation) in 1960 was about \$5.5 billion in constant US dollars. By 2011, real GDP had increased 10-fold to \$54.7 billion.

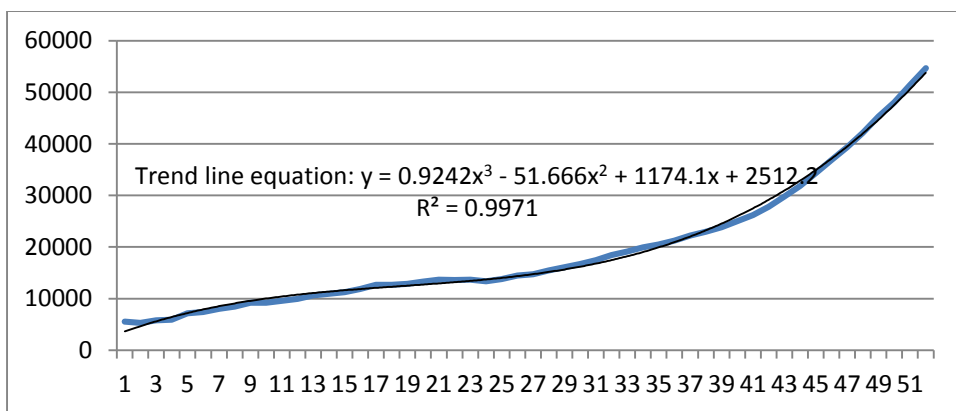


Figure 1. Real GDP, Tanzania, 1960-2011 (2005 constant US Dollars, millions) with well fitted 3rd-order polynomial trend line. (The thinner trend line is so close to the actual data that it may be difficult to see.)

A 3rd-order polynomial trend line fits the data very well, with an R^2 of 0.9971. The curve, however, reveals a most interesting fact: there is a noticeable point of inflection between years 37 and 41. This would be calendar years 1997-2001. The curve reveals an inflection point at this time. Further study is needed in order to discern the reasons for the increase in the rate of growth of GDP. It is, however, especially notable that the steeper rate of growth has continued from that time to the present.

The following six figures (1.1, 1.2, 1.3, 1.4, 1.5, and 1.6) show the “pre-inflection” growth rate compared to the “post-inflection” rate. Figure 1.1 shows the entire series, from 1960 to 2011. The linear trend line replaces the polynomial trend line in Figure 1 in order more readily to compare and contrast the slopes of the two periods. For the entire period, the slope of the linear trend line, as shown in the equation, is 1058; i.e., the average increase is \$1,058 million per year.

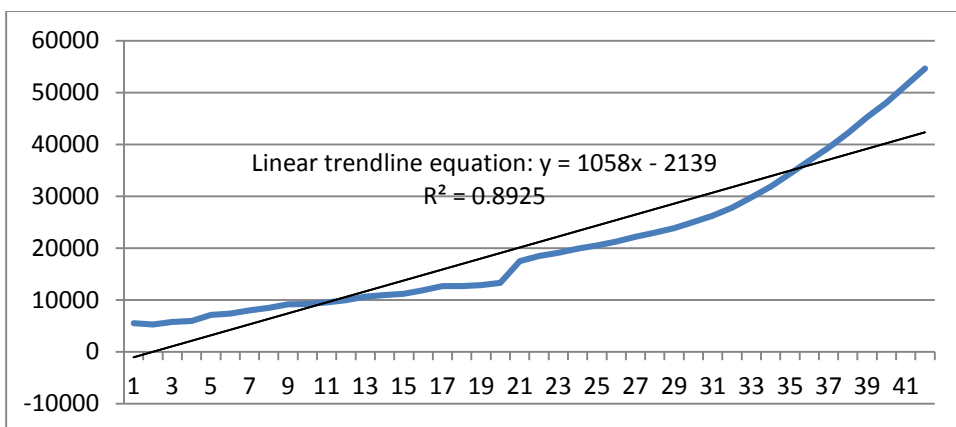


Figure 1.1. Real GDP, Tanzania, 1960-2011 (2005 constant US Dollars, millions) with linear trend line. Slope of the linear trend line is 1058; average annual increase is \$1,058 million.

The “pre-inflection” period, 1960 to 1999, in Figure 1.2, shows that the slope of the linear trend line is 681, or about 64 percent of the slope of the full period of 1960 to 2011.

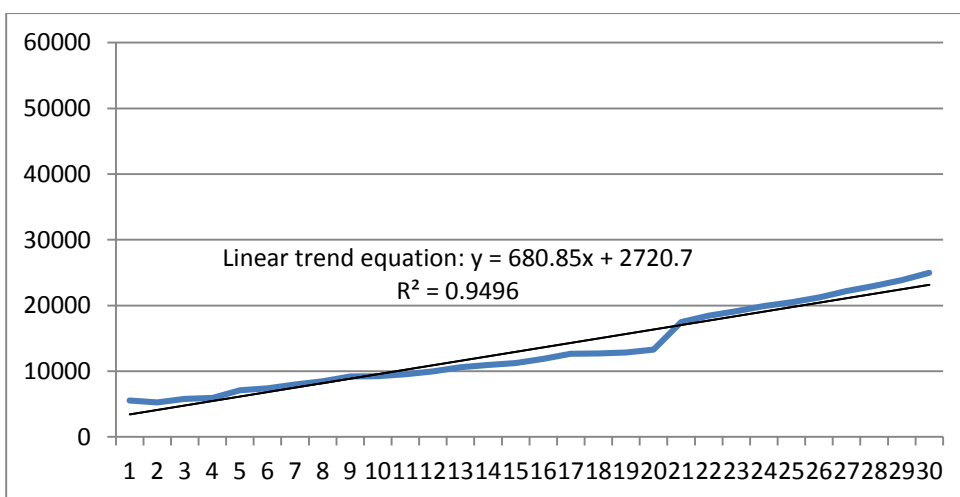


Figure 1.2. Real GDP, Tanzania, 1960-1999 (2005 constant US Dollars) with linear trend line. Slope of the linear trend line is 681; average annual increase is \$681 million.

The “post-inflection” period, 2000 to 2011, shown in Figure 1.3 reveals a growth rate nearly four times that of the “pre-inflection” period, with a slope of 2610.

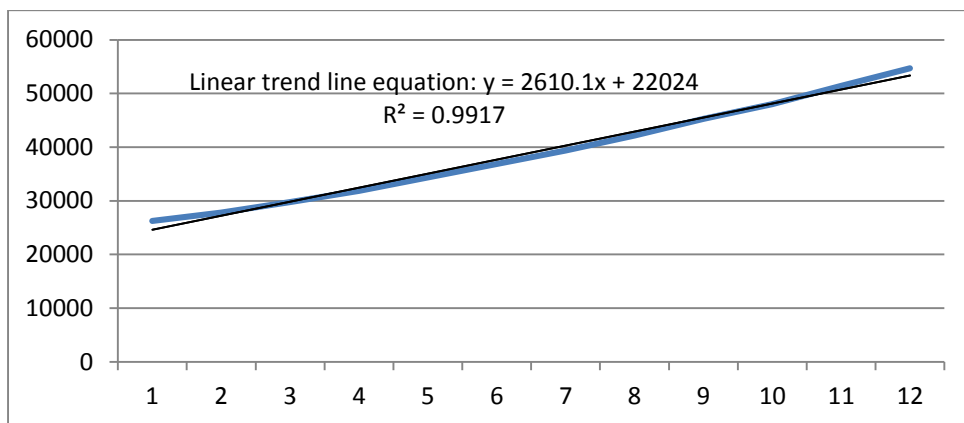


Figure 1.3. Real GDP, Tanzania, 2000-2011 (2005 constant US Dollars, millions) with linear trend line. The slope of the linear trend line is 2610, nearly four times that of the “pre-inflection” period of 1960-1999.

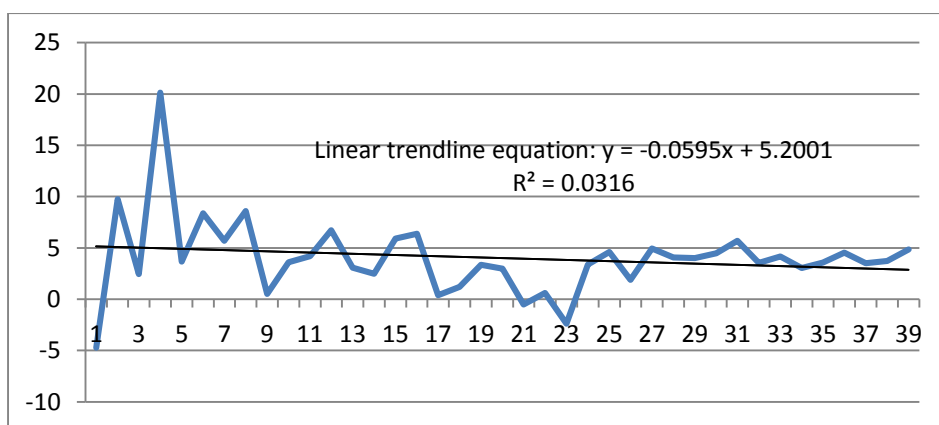


Figure 1.4. Real GDP growth rate, Tanzania, 1961-1999 (2005 constant US Dollars, millions) with linear trend line.

Figure 1.4 shows, for 1961-1999, that the slope of the linear trend line is almost level, even slightly negative. At several points, the growth rate is zero

or negative during this period. In most years, the growth rates have been below five percent.

By contrast, Figure 1.5 shows that the slope of the linear trend line is positive for the growth rates from 2000 to 2011. The growth rates were consistently above five percent during this period.

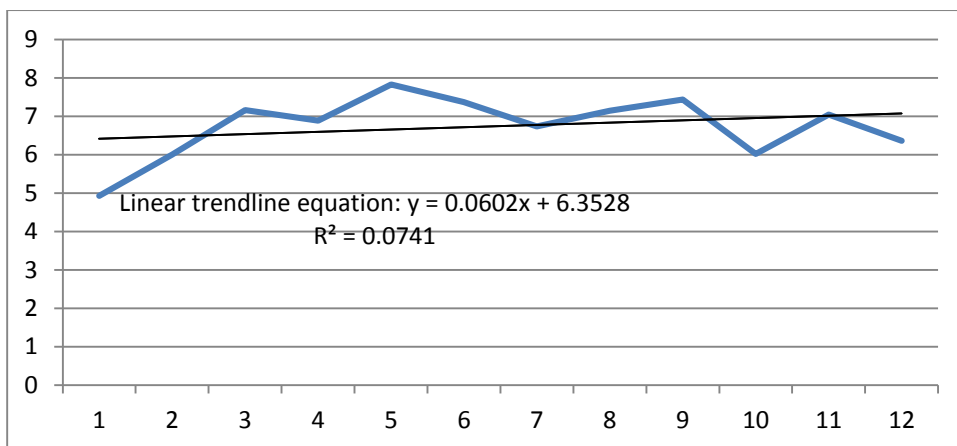


Figure 1.5. Real GDP growth rate, Tanzania, 2000-2011 (2005 constant US Dollars, millions) with linear trend line.

The geometric mean of the real GDP growth rates for the period 1961 to 1999, as shown in Figure 1.4, is 3.9 percent per year. For the period 2000 to 2011, the geometric mean is 6.7 percent, or 1.7 times the value for the earlier period. Geometric means are considered to be more accurate than arithmetic means for compounded growth rates (Spizman & Weinstein, 2008).

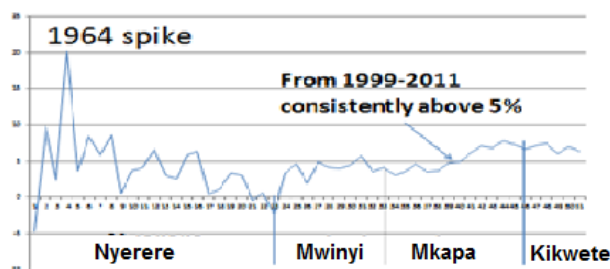


Figure 1.6. Real GDP growth rate, Tanzania, 1961-2011 (percent per year), with presidential tenures.

A detailed examination of the causes of the “inflection” noted above is beyond the scope of this study. It is, however, apparent that the rates of growth vary during the tenures of the four national presidencies, as shown in Figure 1.6.

During the presidency of Julius Nyerere, RGDP spiked in 1964 and thereafter declined steadily. The rate rose during the presidency of Ali Hassan Mwinyi and continued to rise under Benjamin Mkapa. It has held steady under Jakaya Kikwete (JK). It may help in forecasting future rates of growth if we were able to discern reasons for these differences.

Using the 1960-2011 real GDP data (Appendix A, Table A1) as the historical base, Forecast Pro generates a 10-year forecast, as shown in Figure 2. The line in the center is the forecast; the lines above and below the forecast are the 95 percent confidence limits. From a base in 2011 of about \$54.7 billion, the forecast for 2021 is \$87 billion, about 60 percent higher, or about 6 percent per year on average. Statistical results of the forecast are at Table A2 in Appendix A. There is reason to be cautious regarding such a continued robust growth rate. Nevertheless, the signs are positive.

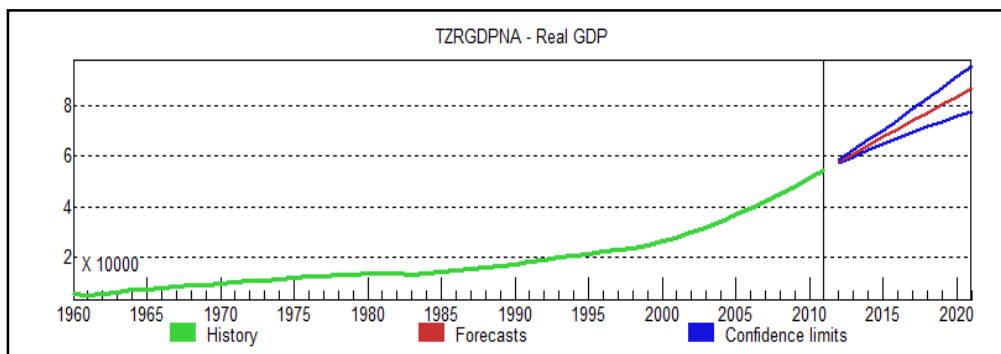


Figure 2. Historical real GDP 1960-2011 and Forecast Pro 10-year forecast with 95 percent confidence intervals.

Population Level and Growth Rate

The population of Tanzania in 1960 was just over 10 million. By 2011, population had reached nearly 45 million. Unlike the growth rate of GDP, which saw a marked increase in the rate of growth at the end of the last century, the population growth rate has been fairly stable, even declining

slightly. The arithmetic mean from 1960 to 1999 was 2.97 (geometric mean 2.93). From 2000 to 2011, the arithmetic mean was 2.79 (geometric mean 2.91). Of course, a zero population growth rate might be desirable, but the decline is encouraging – that is, it is not rising. The data are reflected in Figure 3. A quadratic (2nd-order) polynomial trend line fits the data well, with an R² of 0.9996.

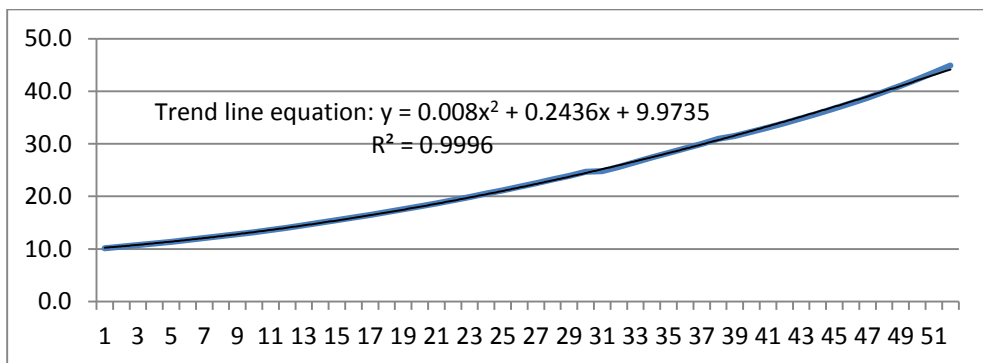


Figure 3. Population, Tanzania, 1960-2011 (Millions). Source: PWT 8.0. Horizontal axis shows years, with 1960=1. There is a well fitted 2nd-order polynomial trend line.

Using 1960-2011 population data as a base (see Appendix A, Table A1), Forecast Pro generates a 10-year forecast (Figure 4). Statistical results of the forecast are at Table A3 in Appendix A. (Technical notes on the forecast results are at Appendix B.) As with Figure 2, the line in the center is the forecast; the lines above and below the forecast are the 95 percent confidence limits. From a base in 2011 of about 44.9 million, the forecast for 2021 is 60 million, an increase of about 15 million, or 33 percent higher, or about 3.3 percent per year on average, slightly higher than the 2.8-2.9 rate of the most recent 12-year period. Studies have shown that, as women reach higher education levels, they tend to have fewer children, with the result that the community becomes more prosperous (Martin, 1995; Reading, 2011).

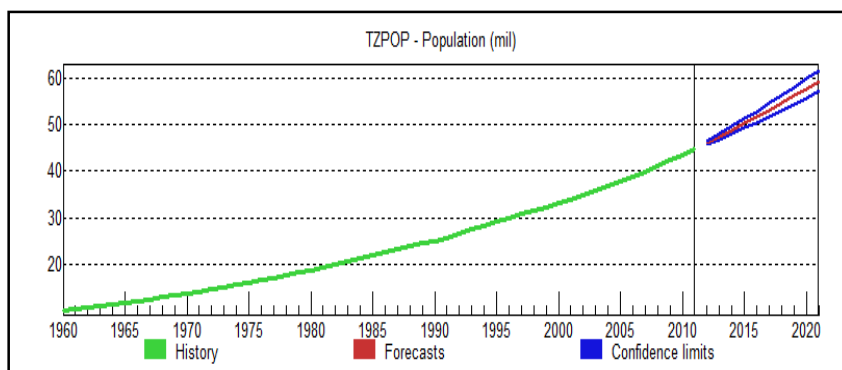


Figure 4. Historical population 1960-2011 and Forecast Pro 10-year forecast with 95 percent confidence intervals.

GDP per Capita Level and Growth Rate

As noted, standard of living is measured more effectively by GDP per capita than by GDP alone. Moreover, it is not so much the *level* of GDP per capita that is of most interest to scholars and practitioners alike, including government and non-government policy makers, as is the *rate of growth* of that measure. In short, one would like to know the answer to the question, “Are we getting any better? And if so, by how much?” People in all countries want to know if their children will have a better standard of living than their parents and grandparents.

Consistent with the calculation that the rate of GDP growth has, for most years, exceeded the rate of population growth, it is logical to expect that the ratio would be increasing, as well. Figure 5 shows the ratio from 1960 to 2011. In 1960, GDP per capita in Tanzania was 547 US dollars. Maintaining constant 2005 dollars as the base for real GDP growth, that figure had risen to \$1,217 in 2011, or 122 percent, an average of 2.4 percent per year. Breaking the period into “pre-inflection” and “post-inflection” leads to the following analysis: From 1960 to 1999, GDP per capita rose at a rate of just 1.0 percent per year. From 2000 to 2011, that most important ratio increased at a rate of 3.9 percent per year, four times the rate of the previous period.

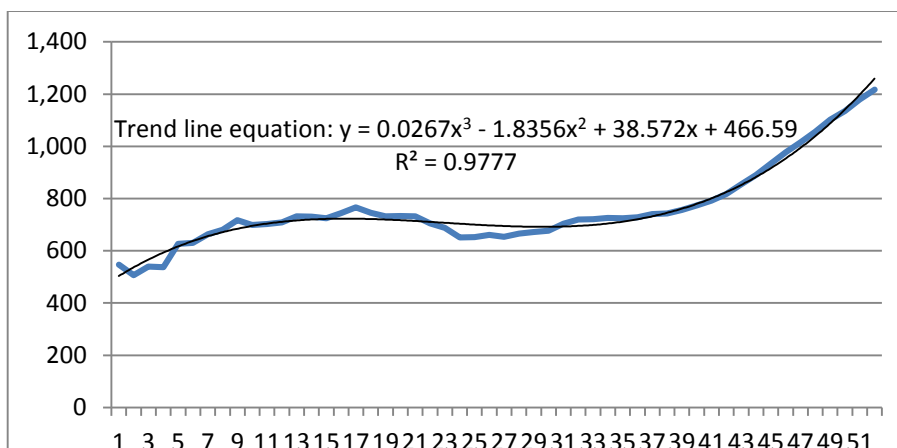


Figure 5. Real GDP per capita, Tanzania, 1960-2011 (2005 US Dollars) with well fitted 3rd-order polynomial trend line. Source: PWT 8.0.

Using the 1960-2011 RGDP and population data as a base, Forecast Pro generates a 10-year forecast for real GDP per capita, as shown in Figure 6. Statistical results of the forecast are at Table A4 in Appendix A. As with Figures 2 and 4, the line in the center is the forecast; the lines above and below the forecast are the 95 percent confidence limits. From a base in 2011 of \$1,217, the forecast for 2021 is \$1,615, an increase of about 32.7 percent, or about 3.3 percent per year on average, slightly lower than the 3.9 rate of the most recent 12-year period, yet significantly greater than the “pre-inflection” period of 1.0 percent.

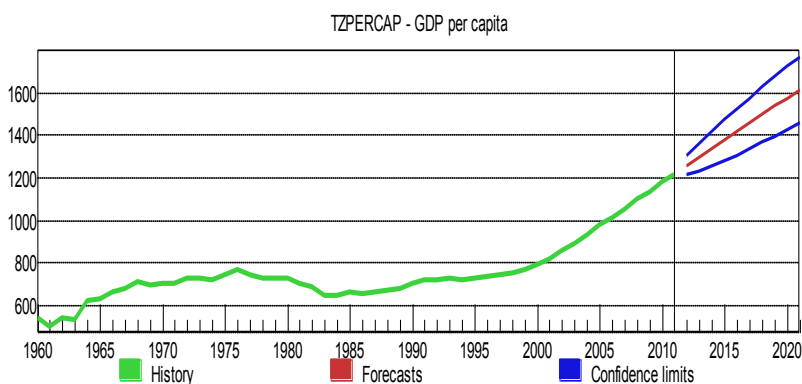


Figure 6. Historical GDP per capita 1960-2011 and Forecast Pro 10-year forecast with 95 percent confidence intervals.

Conclusions and Further Research

The current study concludes that the standard of living in Tanzania, as measured by real gross domestic product per capita, is growing at a robust rate and is likely to continue to rise at a healthy rate. A rising real GDP is the consequence of an increase in aggregate demand, which implies the creation of new jobs. Given that the new jobs are being increased at a higher rate than the rate of population growth, this means a decline in the unemployment rate. In general, then, the conclusion of the current study is, *on average*, Tanzanians are becoming better off year-by-year.

Another conclusion is that the advanced statistical forecasting measures that were used in this study are generally applicable to other situations where decision-makers may gain insights into future scenarios. It does not, however, get into the darker side of the economy, the matter of the equitable distribution of income and wealth and the reduction of the rate of poverty.

Further Research

Forecasts of GDP per capita are a necessary but insufficient condition for informed policy-making decisions. More study, for example, is clearly indicated as to the causes of the “inflection” noted here, and while more research is indicated in this field, there are related areas in which further research can add to the base of evidence to guide decision-makers.

Reasons for changes of economic growth rates

A more detailed examination of the events of the past, events that appear to coincide with economic growth rates, might better inform forecasts under similar or different conditions. This is an area of special interest to historians and political scientists, as well as to development economists.

Distribution of income and wealth.

This study shows a trend of increasing prosperity for Tanzania, but questions remain: “Where is the money going? Who is benefitting from the increased GDP per capita? Why do poverty rates remain high?” To be consistent with the spirit and teachings of the “Father of the Nation,” Julius Nyerere, scholars would be well advised to address the issues surrounding disparities of income and wealth, in general, and poverty specifically. Nyerere continues to inform

the nation on this chronic problem. He “had an impeccable desire and commitment to reducing the level of poverty” (Kamuzora, 2010, p. 93). More research is also needed on the sources of slow growth (Sachs & Warner, 1997) in sub-Saharan Africa, as well as the causes of both rural and urban poverty.

Studies of success and best practices.

There are also areas of research potential with a focus on the success stories, such as the 17 countries Radelet (2010) notes in his studies of emerging African economies.

Quality and reliability of data.

The quality of data from countries in sub-Saharan Africa has been questioned (Jerven 2013), with the conclusion that policies and programs based on such data are deeply flawed. However, in his comparison of “GDP from country” and “GDP from WDI” Jerven shows a difference of less than one percent for Tanzania (p. 25). If Jerven’s findings are generally applicable across the continent, research might help policy makers to improve the collection, storage, retrieval, and analysis of data related to the economies of the continent.

Studies of individual markets and economic sectors in Tanzania.

There are opportunities at the microeconomic level of research as well as the macroeconomic issues studied in this current work. For example, Carmody (2013) notes, “The value of Tanzania’s timber exports increased by 1,400 percent from 1997 to 2005, and sometimes a single tree may be worth tens of thousands of dollars” (p. 12). And “China’s consumption of fish may treble by 2025.” Carmody details the interest of China in various locations in Africa, forecasting that one of “a series of industrial hubs with tax incentives that will be linked by rail, road and shipping lanes to the rest of the world...will probably be in the Tanzanian capital (sic), Dar es Salaam” (p. 73).

Research on land use policies in Tanzania.

One of Tanzania’s most valuable economic resources is land, much of which is unused or underused. Carmody (2013) notes, “In some cases, African governments are actually – somewhat unbelievably – giving land away for free to promote biofuel production” (p. 142). Knaup (2008) reports the

government of Tanzania granted the British firm Sun Biofuels a 99-year lease on an area equivalent to 12,000 soccer pitches to grow jatropha, a biofuel tree, for free. In return, the company will spend US\$20 million to build roads and schools. Carmody reports that, “Prokon, a German company, has plans to cultivate with *Jatropha* an area the size of Luxembourg in Tanzania” (p. 143). While biofuels may offer substantial export potential, Habib-Mintz (2010) argues “that without strong regulatory frameworks for land, investment management, and rural development, biofuel industrialization could further exacerbate poverty and food insecurity in Tanzania” (p. 3985).

Research on the impact of globalization on the Tanzanian people.

In the summer of 1995, visitors to the Fishpack facility in Musoma, on the eastern shore of Lake Victoria, learned that the entire output of the plant was exported to places like Japan and Israel, where buyers would pay a higher price than would families in Mara, one of the poorest regions of Tanzania. In 1997, the operation was incorporated as Musoma Fish Processors Ltd (MFPL) still “with the objective of processing and exporting Nile Perch Fillets” (Alpha Group, 2013).

Writing about the paradox of places that have food and famine at the same time, Sen (1981) notes when a nation produces food that can be exported at a higher price than local people can afford, the food is sent away to the markets that offer the higher price. Producers earn a higher income, but people are denied the food that is produced in their region. As Sen puts it, “Starvation is the characteristic of some people not having enough food to eat. It is not the characteristic of there being not enough food to eat” (p. 1). Steele (2001) writes about Sen, “His work on the causes of famine changed public perceptions by showing why thousands might starve even when a country's food production has not diminished.”

Standing (2009) reports, “The EU pays annual lump sums to African countries for fishing agreements, so that its boats can fish in their waters. For example, in the Tanzania case the EU pays around €600,000 a year for seventy-nine fishing boats to be able to catch 8,000 tonnes of tuna (p. 349).” Fish taken from Tanzanian waters do not nourish the people of Tanzania but the people of nations who can afford the higher international market price.

Research on business and economic forecasting in Tanzania.

Finally, the people of Tanzania would benefit from research on the policy of economic forecasting. Such research might result in more accurate forecasts and, consequently, better policies regarding the allocation of resources to achieve key national objectives. As Morlidge (2013) concludes, “While it may never be possible to determine the best accuracy one can hope to achieve in forecasting any particular item, we can demonstrate what level of forecast error is *unavoidable* – a significant step toward being able to make objective statements about forecast quality” (p. 6).

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Appendix A

Data for Forecasts

Table A1. Data for Tanzania Gross Domestic Product (GDP), Population, and GDP per Capita

Year	RGDP (\$US Mil)	POP (Mil)	GDP per Cap (\$US)	Year	RGDP (\$US Mil)	POP (Mil)	GDP per Cap (\$US)
1960	5531	10.1	547	1986	14721	22.5	654
1961	5269	10.4	507	1987	15447	23.2	665
1962	5783	10.7	540	1988	16074	23.9	672
1963	5925	11.0	538	1989	16716	24.7	677
1964	7117	11.4	627	1990	17462	24.8	704
1965	7377	11.7	631	1991	18458	25.6	720
1966	7995	12.1	663	1992	19109	26.5	721
1967	8449	12.4	680	1993	19905	27.4	726
1968	9176	12.8	717	1994	20509	28.3	725
1969	9222	13.2	699	1995	21241	29.2	729
1970	9554	13.6	702	1996	22207	30.0	741
1971	9954	14.0	709	1997	22989	31.0	743
1972	10623	14.5	732	1998	23844	31.5	756
1973	10948	15.0	731	1999	24998	32.3	774
1974	11221	15.5	725	2000	26231	33.1	792
1975	11885	16.0	744	2001	27805	34.0	818
1976	12643	16.5	767	2002	29796	34.9	855
1977	12694	17.0	746	2003	31848	35.8	890
1978	12848	17.6	732	2004	34342	36.7	935
1979	13278	18.1	733	2005	36872	37.8	977
1980	13675	18.7	732	2006	39357	38.8	1,015
1981	13606	19.3	706	2007	42170	39.9	1,056
1982	13687	19.9	688	2008	45306	41.1	1,103
1983	13362	20.5	651	2009	48034	42.3	1,135
1984	13814	21.2	652	2010	51417	43.6	1,180
1985	14448	21.8	661	2011	54689	44.9	1,217

Note. GDP and population from PWT 8.0. GDP per capita calculated by author.

Table A2. Forecast Pro Expert Analysis and Statistics for Forecast of Tanzania GDP, 2012-2021

Very low irregularity suggests Box-Jenkins.

Expert selection
Box-Jenkins
ARIMA(0, 2, 1)

Term	Coefficient	Std. Error	t-Statistic	Significance
b[1]	0.3843	0.1287	2.986	0.9957

Sample size	52	No. parameters	1
Mean	19454.48	Std. deviation	12569.04
Adj. R-square	1	Durbin-Watson	2.14
Ljung-Box(18)	22.8 P=0.80	Forecast error	348.34
BIC	358.33	MAPE	2.01
RMSE	344.98	MAD	270.45

Date	2.5 Lower	Forecast	Annual	97.5 Upper
2012	57231	57920	57920	58610
2013	59841	61151	61151	62462
2014	62362	64383	64383	66403
2015	64796	67614	67614	70431
2016	67152	70845	70845	74538
2017	69434	74076	74076	78718
2018	71648	77307	77307	82966
2019	73798	80538	80538	87278
2020	75887	83769	83769	91651
2021	77919	87000	87000	96082
Total		724603		
Average		72460		
Minimum		57920		
Maximum		87000		

Table A3. Forecast Pro Expert Analysis and Statistics for Forecast of Tanzania Population, 2012-2021

Expert Analysis

Very low irregularity suggests Box-Jenkins.

Model Details

Expert selection

**Box-Jenkins with log transform
ARIMA(0, 2, 1)**

Term	Coefficient	Std. Error	t-Statistic	Significance
b[1]	0.9161	0.05981	15.32	1

Within-Sample Statistics

Sample size	52	No. parameters	1
Mean	3.08	Std. deviation	0.45
Adj. R-square	1	Durbin-Watson	1.96
Ljung-Box(18)	6.9	Forecast error	0
BIC	P=0.01	MAPE	0.2
RMSE	0.12	MAD	0.05

Forecast Data

Date	2.5 Lower	Forecast	Annual	97.5 Upper
2012	46	46	46	47
2013	47	48	48	48
2014	48	49	49	50
2015	49	50	50	51
2016	51	52	52	53
2017	52	53	53	55
2018	53	55	55	56
2019	55	56	56	58
2020	56	58	58	60
2021	57	60	60	62
Total		526		
Average		53		
Minimum		46		
Maximum		60		

Table A4. Forecast Pro Expert Analysis and Statistics for Forecast of Tanzania GDP per Capita, 2012-2021

Expert Analysis

Using rule-based logic I have narrowed down the choice to exponential smoothing or Box-Jenkins.

I will perform an out-of-sample test to select between these two approaches.

The cumulative MAD for Exponential smoothing was 83.45 and for Box-Jenkins was 136.06.

The rolling out-of-sample test used a maximum horizon of 8 and generated 36 forecasts for each method.

Based on the lower MAD, I will use Exponential Smoothing.

Model Details

Expert selection

Holt exponential smoothing: Linear trend, No seasonality

LN(0.758, 0.530)

Component	Smoothing Wgt	Final Value
Level	0.7583	1218
Trend	0.5302	39.69

Within-Sample Statistics

Sample size	52	No. parameters	2
Mean	760.34	Std. deviation	157.52
Adj. R-square	0.98	Durbin-Watson	2.04
Ljung-Box(18)	23.5 P=0.83	Forecast error	20.69
BIC	21.89	MAPE	2.1
RMSE	20.29	MAD	14.37

Forecast Data

Date	2.5 Lower	Forecast	Annual	97.5 Upper
2012	1215	1258	1258	1300
2013	1232	1297	1297	1363
2014	1255	1337	1337	1419

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2015	1280	1377	1377	1473
2016	1308	1416	1416	1525
2017	1337	1456	1456	1575
2018	1366	1496	1496	1625
2019	1397	1535	1535	1674
2020	1428	1575	1575	1722
2021	1459	1615	1615	1770
Total		14362		
Average		1436		
Minimum		1258		
Maximum		1615		

Appendix B

Notes on Forecast Statistics

Durbin-Watson Test

Analyzing the three time series in this study (GDP, population, and GDP per capita) Forecast Pro uses the Durbin-Watson test for the presence of autocorrelation (Stellwagen & Goodrich, 2010a, p. 37). The Durbin-Watson statistic tests the null hypothesis that the residuals from an ordinary least-squares regression are not autocorrelated against the alternative that the residuals follow an AR1 process. The Durbin-Watson statistic ranges in value from 0 to 4. A value near 2 indicates non-autocorrelation; a value toward 0 indicates positive autocorrelation; a value toward 4 indicates negative autocorrelation. The Durbin-Watson tests for the historical data for 1960 to 2011 for Tanzania GDP, population, and GDP per capita are 2.14, 1.96, and 2.04, respectively, providing strong evidence of non-autocorrelation of the data.

Ljung-Box Test

The Ljung-Box Q-statistic “is a weighted sum of squared autocorrelations, so it is zero only when every autocorrelation is zero” (Stellwagen & Goodrich, 2010a, p. 37). Forecast Pro calculates low values for the Ljung-Box Q-statistic for the three time series in this study: 0.80, 0.01, and 0.83, respectively, showing low over-all autocorrelation.

Mean Absolute Percentage Error (MAPE)

The forecasts noted in the results above show quite small values of the Mean Absolute Percentage Error (MAPE): 2.01, 0.20, and 2.10, respectively. This may be interpreted as strong evidence of a robust forecast model for each of the forecasted variables, with only about a two percent error between the forecast and the actual value. The calculation is:

$$MAPE = \frac{1}{n} \sum_{t=1}^n \frac{|Y_t - F_t|}{|Y_t|}$$

Appendix C

Abbreviations and Acronyms

ARIMA – Autoregressive Integrated Moving Average

BIC – Bayesian Information Criterion

CIA – Central Intelligence Agency of the United States Government

GDP – Gross Domestic Product

IMF – International Monetary Fund

MAD – Mean Absolute Deviation

MAPE – Mean Absolute Percentage Error

PWT – Penn World Table, produced by the University of Pennsylvania

R² – Proportion of variation in Y explained by its linear relationship with X

RGDP – Real Gross Domestic Product (adjusted for inflation)

RMSE – Root Mean Square Error

TZPERCAP – Data set for Tanzania GDP per capita

TZPOP – Data set for Tanzania population

TZRGDPNA – Data set for Tanzania real GDP using national accounts in USD

USD – United States dollars

WB – World Bank

WDI – World Development Indicators of the World Bank Group

Appendix D

Mathematical Notation

(Adapted from Yevdokimov, 2013, pp. 193-194)

Economic growth rate: The rate of change of real GDP (RGDP) expressed as a percentage per period (usually a year or quarter).

$$g_Y = \frac{(Y_t - Y_{t-1})}{Y_{t-1}} \times 100\%$$

where g_Y is the growth rate of real GDP, Y_t is real GDP in the current period, and Y_{t-1} is the real GDP in the prior period.

Real GDP per person: Real GDP (RGDP) divided by the population.

$$y_t = \frac{Y_t}{N_t}$$

where N_t is the population in period t .

Growth rate of real GDP per person: The rate of change in RGDP.

$$g_p = g_Y - g_N$$

where g_p is growth rate of RGDP per person, g_Y is growth rate of RGDP, and g_N is the population growth rate.

Arts and Humanities

Human Health and Religious Systems (According to Ethnographic Data from Kartli)

*Mimdadze Nino,
Ivane Javakhishvili Institute of History and Ethnology*

Religion has always played a significant role in human life. The calendar year of official Christian and folk religion used to contribute to a population's healthy modes of living. Nutrition rationing, both yearly and weekly, a fast system, twice in a week and several times in a year involving eating only vegetable products, benefited the human organism. Religious calendars regulated the issues of labor and rest too.

Local religious systems used to regulate entertainment, as well as physical training for children and youth. Religious holidays were one of the best means for spiritual improvement as well as physical training and education.

Religion played a specific role in the folk system of social protection. It contributed a feeling of solidarity among the population.

Folk religious systems regulated modes of human life. They filled a man with hope and conviction in the success of his activity.

The theme of a human being became especially important in our modern era. New branches of science were added to human sciences studying human beings, their physical or psychic structure. These new disciplines study human problems across a specter of the new aspects of life and pursue the improvement of human health and life conditions. Such sciences are: medical anthropology, human ecology and others.

As it is known, religion plays a significant role in human life and in the process of socialization, it has contributed to consolidation of community. In all historical eras it regulated legal, moral and economic relations (Durkheim, 1996, pg. 258).

Georgian folk-religious systems are syncretic in character. In all historical-ethnographic regions of Georgia, including Kartli, beliefs and rituals along with the traces of Christian religion were influenced by pre-Christian religions. But the religious calendar and system of fasting are mainly Christian. Folk religious systems had a positive influence not only on human spiritual well-being but also on human physical states and health. These systems deal with for example nutrition rationing like restraining from eating meat and dairy products twice a week and several times in a year, and consuming vegetable food contributes to cleansing of the human organism. A churchman, physician by profession Konstantine Giorgadze stated that in the period of fasting, the human organism is cleaned from excess, harmful substances (Koridze T., 2011).

Religion used to regulate labor-rest issues too. Faith compelled peasants to rest at least one day in a week (Sunday). On Sundays, labor was considered as a sin. People also used to rest during religious festivals. This made a peasant who worked without rest during the whole year rest a little. Local religious systems used to regulate also the issues of entertainment as well as the physical training of children and youth. Religious holidays were one of the best means for spiritual as well as physical training and education. It was at those festivals that youth listened to sermons and became familiar with the essence of Christian religion and with the lives of their famous forefathers. Competitions for children and youth in various forms of sports, individual or in groups were mainly held during religious festivals. The most wide-spread sports were wrestling, stone (weight) lifting, later, boxing, horse racing and ball games.

In Kartli, and generally all around Georgia, after the liturgy, people used to go to the church yards... After midday, they would gather on the green field and until evening. They used to sing, play various games and enjoy themselves. It was

endless. You could see people playing ball in one place and in another place they would be wrestling. In another place, they would sing. (Mgaloblishvili, 1938, p.23). Children and youth used to get ready for festival sports competitions, songs and dance competitions, playing folk instruments, that is, they were usually occupied with sports and arts all year round.

Among the folk festivals, a particularly important one was “Berikaoba- keenoba”. It is known that this was the ancient holiday for nature awakening and resurrection and it had a form of theatrical performance (Rukhadze, 1999). It was namely at this festival that youth revealed their creative talent. Thus, for example, in Kartli, in the village Ateni this festival was organized during Pancake week. Villagers who liked dancing, singing, joking and entertainment used to gather here. About ten people would participate all staying within one family. They would leave the house carrying various instruments like drums and accordions. They would circle a village by dancing and singing and joking (Makalatia, 1957, p. 35). On this holiday, competitions in various sports were organized,

Thus religious holidays and festivals, through the rational regulation of labor and rest, by food and healthy modes of entertainment regulated the life of Georgian peasants. Rest, fasting and entertainment, reduction of sorrow, generation of hope and the revival of faith by festivals and rites, helped to signification relieve the heavy burden of life of the lower strata of Kartli’s population.

As it is known, according to Christian tradition, for 40 days after childbirth a woman had no right to visit churches and approach sacred objects. According to folk traditions, a woman had to stay in bed for this period; she was to be isolated. This rule can’t be justified with modern medicine. Today a woman leaves her bed a few days after childbirth. But if we take into consideration the life of a peasant woman in ancient Georgia with her daily heavy labor and life, a forty day bed-regime after childbirth, which was explained by a woman’s dirtiness, enabled her to rest, while her isolation during this period, more or less protected her from infection. The same can be said about some traditions involving magic-religious treatment or therapy. Among these, the incantation is the most interesting. This ritual was mostly performed by older women in Kartli and generally in Georgia. Various rules observed while casting a spell refer to the fact that the person casting the spell possessed psychotherapeutic methods that had been achieved over time through experience. She would know well which spell she had to use against specific diseases. It should be emphasized that the selection of magic-

religious therapeutic rules was made purposefully, that is, magic curing rules were used not generally but according to specific diseases; the text of the spell used against various diseases was different. At the same time, there was a difference in rituals too. Thus, e.g., the ritual against the evil eye consisted of pouring water on a person, while the ritual against a frightened “measuring of a heart” implied periodical touching the patient’s body (breast). Absolutely different were the rules for curing children suffering from infectious diseases than the “batonebi”. These rules were given in religious forms and were designed to improve the health of a patient (Mindadze N., 2013, p.243).

According to the perception of the population of Georgia, a child who suffered infectious diseases was an image of an angel. Family members used to do their best to show respect to a child, angel; a child was placed in a clean, beautifully decorated room. Music, pleasant odors, satisfaction of desires, whims, enforced silence, weeping, were directed as if for pleasing angels, but in fact these practices aimed to create a pleasant atmosphere for a child, which would have had a positive effect on his emotions: a beautifully decorated room which the child could see; calmness, enforced silence, a melodic lullaby before sleep – on hearing; forbidding making dishes in the room of a patient, lighting of hazelnut candle and its pleasant odor – for the child’s sense of smell; special food and sweets for a child – for the child’s taste. These practices helped improve the general condition of a child. It should be remarked that a mother of a child was not allowed to be involved with the family’s economic activities and she was able to constantly sit beside her child. She cared for the child and showed her love and concern (Mindadze, N., 2013, p.244).

The feeling of human warmth and love, the prevention of negative emotions, a calm environment, melodic music, pleasant odors, a pleasantly decorated room and other factors had a favorable effect on an ill person, their feelings and in most cases gave positive results.

The previously described psycho-emotional methods, which in modern medicine are attributed great significance, were used by Georgian physicians centuries ago. In medicinal manuscripts from the 15th century we can read that “joy, seeing a favorite person, good odors, hearing pleasant voices, looking at beautiful persons and, generally, beauty, had a good effect on patients” (Bagrationi, 1985, p.122).

The above stated is one more illustration of the fact that many medicinal methods which were invented by the people, the traditions of caring for an ill person, which

mainly had positive effects and in everyday life were often presented in the form of religious rites.

I would like to deal briefly with the traditions of human social protection, which were formed thanks to the Christian religion. In all eras and in all kinds of communities there were people, who were unable to care for themselves; these were physically vulnerable persons, old, ill, handicapped. Such persons need care and protection.

In ancient societies, prior to the formation of states, social protection of a man was realized through rites. After the formation of the state, given the nature of states, social protection institutions were formed. Besides, in a number of societies, folk traditions of human social protection still continue to function. Important information about old traditions of human social protection functioning in Georgia can be found in the written sources of the middle ages. Human social protection, first of all, was the duty of churches and monasteries. One of the functions of churches and monasteries was rendering help to ill and incapable persons. Places for ill persons were organized in monasteries. According to the code of monasteries, “in Georgia at each well organized monastery there should always be a nurse for ill persons” (Javakhishvili, 1984, pp. 55-56). Not only the clergy but also the whole population of Georgia lived by such moral norms, of course, with some exceptions. A national system of morality was established for centuries on the basis of Christian morals. Christian norms about sin and kindness were refracted through the prism of people’s morals and traditions, their world outlooks and these were reduced to everyday life good and evil” (Ochiauri, 1987, p.7).

In Kartli, there is evidence of very important traditions of human social protection. These traditions provided protection for the old, ill and physically handicapped persons. As the local population stated: “Freaks of nature, the ill are depressed even without it, and you must not depress him more”. Similar was the situation with respect to the mentally diseased. If a mental patient was not aggressive, people tried to engage him in social life, to give him something to do, they did their best to enable him to feel like a member of the society. Such a person was never an object of irony or laughter. On the contrary, if anybody insulted such a person, the community used to blame, reproach that person. Everyone was ready to help mentally and not only mentally diseased persons. Sometimes when the condition of a diseased person got worse, the whole village used to gather and

sacrifice a common offering at the place of worship and asked for state of an ill person to improve. Aggressive persons were isolated mostly in the places of worship and the parishioners of that place were obliged to keep and care for that person.

If we take into consideration the opinion deeply rooted today in modern psychiatry that in case of definite mental diseases, the social isolation of a mentally ill person contributes to the worsening of his state, while his engagement in social life positively affects his state, we have to think that attitude of the population of Georgia to mental patients was correct and human. Thus, folk traditions of bioethics which had already been formulated for centuries played an important positive role in human socialization and the integration of ill persons, mostly those suffering from mental illness or disability in the process of integration into society.

As a result of the above stated, we can conclude that according to the ethnographic data from Kartli, folk religious systems were used to help humans overcome life's problems; they positively affected human physical and mental state, regulating life modes and controlling morality.

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Artistic Decoration of Art Café *Khimerioni* and its Cultural Context

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In the early 20th century, artistic café clubs and café cabarets, as places where artistic leaders gathered and venues for creativity events, were spread across Europe and Russia. Similar places were also found in Tbilisi (Fantastic Tavern, Argonauts' Boat, Peacock's Tale, etc.). Although Khimerioni seemed similar at the first sight, it still differed from the others due to its function, status and the character of its decoration.

Initially Khimerioni was considered as the first house of Georgian Writers in 1919. Unlike the intimate art cafes, the large space of Khimerioni consisted of several parts: a central hall with a small stage for artistic performances and small rooms for the literary evenings and anniversaries. The Georgian symbolist poets' union Blue Horns was in charge of creating the appropriate atmosphere and artistic design for Khimerioni. They invited Sergei Sudeikin a distinguished representative of the Russian Art Nouveau. Other artists: David Kakabadze, Lado Gudishvili, Sigizmund Valishevsky, Kirill Zdanevich, Mose Toidze and Irakli Toidze also worked on the mural decorations in Khimerioni. Understanding the whole concept of the artistic décor of Khimerioni became possible after collating preserved paintings and different sources (memories, memos and artistic sketches). The content of the compositions shows the introduction of several themes that can conventionally be called Creator and Muse, Life and Culture of Old and New Georgia and Imaginary Reality of Art.

Khimerioni was the first among the artistic cafés of Tbilisi that, apart from general European tendencies, reflected the traits of national art, which was a component part of the cultural ideology of independent Georgia in 1919-1920.

The beginning of the 20th century (and particularly the 1910s) is one of the most significant stages in the development of Georgian culture. It is time when Georgian culture naturally and effortlessly became a part of European culture with its creative activity and numerous artistic events. At the same time, owing to centuries' long contact with the countries of the Near East, Georgian culture had been moderately embellished with oriental ornamentations and formed its own individual image, distinguished from others. This achievement, expressed in its irreversible aspiration for European artistic values, was the result of a difficult and painful creative journey which lasted for at least the three previous centuries. Although its fruit, as if symbolically, in an instant and in abundance, became visible just in the period of the independence of Georgia, between 1918-1921 in almost all the fields of culture and art. In this respect one of the greatest achievements was the famous exposition made possible by the financial aid and support of the government of independent Georgia in the former *Temple of Glory* in May of 1919. Eight paintings by the late Niko Pirosmiani were exhibited there and at the same time, painting from artists considerable importance from all generations (Beridze, 1975, pp. 27-28; Beridze, 1991, p.8). We can possibly see how highly members of Georgian society valued this event and what their expectations were, in the comment of Titsian Tabidze, a famous poet and one of the leaders of the cultural initiatives of those days: "It is said, only once in a hundred years may the sky open for a dream, and Georgia was on time for this opened sky in 1919 when the first exhibition of Georgian painters was held in the former *Palace of Glory*. In the palace, which in the past used to be only the Palace of Glory of our slavery, where our torn banners, Shamil's broken sword and Haji-Murat's undone helmets hung surrounded by Russian Tsarist cannons and cast-iron words of Emperor Aleksander the First's enticing manifest; just in this palace the Georgian Artists' Exhibition was held which laid foundation for the National Gallery. Tbilisi residents are not fond of recalling the fact that the heroes of that exhibition were Lado Gudiashvili and Davit Kakabadze, who afterwards were sent to Paris as laureates ... Many of you will remember Sergei Sudeikin's article on the Georgian exhibition of that time; he particularly emphasised Niko Pirosmiani's and Lado Gudiashvili's paintings" (Tabidze, 1966, pp.169-170).

This is the period when just a few meters walk from the Gallery, in the basement of the theatre of the Artists' Society, i.e., what is now the Rustaveli

Theatre building, in the area of the former *Anona* restaurant was the painted art café *Khimerioni*. It was painted by the “heroes” of the May 1919 exhibition – Davit Kakabadze, Lado Gudiashvili, other members of the exhibition and active creators of Tbilisi artistic life, Kiril Zdanevich, Sigizmund Valishevski, Mose and Irakli Toidzes. Along with them, Sergei Sudeikin held a special place in the creation (Beridze, V., 1975, c. 28; Beridze, 1991, p.8; Agiashvili, №6203, p.1), a famous Russian artist, representative of the second generation of *Mir Iskusstva* and the scenic designer of the world famous Parisian *Russian Seasons*.

At a glance, it may seem that *Khimerioni* is similar to the cafe-clubs widely spread in big cities of Europe and Russia, as well as in Tbilisi. Many of them were widely known and popular. For instance, *Fantastic Tavern* which was painted by Lado Gudiashvili, Iakob Nikoladze, Ilia Zdanevich, Zigmund Valishevski, Sergei Skripitsin – the caricaturist known by the nickname of *Sir Gey*, and Iuri Degen with *Phantasms* (Robakidze, 1989, pp. 337-340). It was designed from the very beginning as a continuation of the symbolic artistic-literary aesthetics of St. Petersburg art-clubs, *The Stray Dog* and *The Comedians’ Halt*; however, at the same time, it was open for any trends of Tbilisi’s creative-cultural life (Nikolskaia, 2002, p. 16; Magarotto, 2006, p. 57; J. E. Bowlt, 1995, pp. XX, 20-21). As the leader of the Futurists’ Syndicate, the poet Aleksei Kruchenykh mentioned, “Poets not only of all artistic orientations, but of all languages, including Esperanto and the *zaumni* language developed by the Futurists’ Syndicate participated in the soirees of the *Fantastic Tavern* (Nikolskaia, 2002, pp. 16-17). It was at its opening on November 12, 1917 that in Paolo Iashvili’s impromptu first sounded the words “Our fantastic Tbilisi” (Lomjaria, 2002, pp.129-131) which later resounded in Grigol Robakidze’s novel *Falestra*, as a “Fantastic City” and eventually established its place in the texts of art historians and specialists of culture as an epithet, describing the creative life of Tbilisi of those days. And it implied the free and open co-existence of different artistic tastes, creative disputes with one another, even those such as the one that occurred in the café-restaurant *Imedi* in 1918 where Ilia Zdanevich’s report “On *Zaumni* Poetry and Poetry in General” was followed by a hot dispute between the symbolist *Blue Horns* and the Futurist *Zaumniks*. Here there was the avant-garde artists’, Lado Gudiashvili’s and Kiril Zdanevich’s exhibition, which also caused quite a stir (Nikolskaia, 2002, pp. 13-15). Only a few fragments of information have survived on the life and artistic decoration of

these and other art-clubs of that time, yet, we can still say that they all represented part of a Europeanized super-culture existing within the space of the Russian Empire (Tabatadze, 2011, pp.30-39, 59-62).

Khimerioni opened on December 28th, 1919. While its artistic decoration showed definite European accents, there emerged accents of another character as well. These were based on a national ideology prompted by the time and functionally related to it. *Khimerioni* was primarily the first residence of the Georgian Writers' Union founded in 1917. The Writers' Union obtained it from the independent Georgian government on the basis of their appeal of the 16th June, 1919. It was considered to be a place of gathering for not only Georgian writers, but as a creative hearth for the representatives of all fields of art and as a temple of new Georgian culture (Agiashvili, №6203, pp.1-3; Kverenchkhiladze, 2008, pp.18-21). In contrast to the intimate small spaces of the art-clubs and café-cabarets of those days, *Khimerioni* was a considerably large space divided into several sections that were distributed in the basement of the *Society of Artists*.

The central hall with pillars designated for theatrical spectacles, performances, concerts, artistic soirées or other big events, had a small stage to the north and was connected by two staircases going downstairs. Smaller rooms located on the right side of the south central staircase were designated for literary soirees, writers' sessions and jubilees. It was the place where the writers' board and its editorial and jubilee committees worked, where *Poetry Conferences* and *Aesthetic Soirees* were held (Agiashvili, №6201, p.3).

The name *Khimerioni* and the creation of an atmosphere corresponding to it, as well as the organization of its artistic decoration was directed by the most active flank of the *Writers' Union*, the symbolic Union of the *Blue Horns*. They were the ones who invited Sergei Sudeikin, whose artistic world-theatrical-imaginary, loaded with allegories, was close and familiar to the *Blue Horns*. One more "maître", the acknowledged artist, Mose Toidze was engaged in the project, who created here compositions in an impressionistic mood, a characteristic for his art of that period, and which differed from Sudeikin's art. All the other artists as well, apart from the still very young Irakli Toidze, 17 years of age, were artists with their own original signature style, artists who were not only aware of the latest trends of art of the beginning of the

20th century but were active participants of its life, full of creative drive. And still, despite different artistic tastes and individual manners, all of them took into consideration the “symbolic” artistic aesthetics suggested by the *Blue Horns* and Sudeikin, which defined the thematic choice of the murals to a certain extent.

It seems likely that they developed several themes selected in advance. Based on the content of the compositions, conditionally they might be called *The Artist and the Muse*, *Mode of Life and Culture of the Old and Modern Georgia* and *The Imaginary Reality of Art*. The latter one was the main theme of Sudeikin’s creative works, and here, as well as elsewhere, it is most obvious and impressive everywhere (Kogan, 1974, pp. 72-98, 115-124; Kisilev, 1982, pp. 49-55). Here there are fragments of the chimeras, nymph-satyrs, the decorative still lifes and compositions related to the theatre in general or to the *Commedia dell’ arte* that have survived on the pillars and the walls of the hall. According to black-and-white photographs and the witnesses’ descriptions, among them were the portraits of Georgian poets, artists, Sudeikin and his fancy-dressed wife over the walls of the entrance, as well as portraits invoking Petersburg’s artistic Bohemian past – *In the Broken Mirror*, represented in the big hall. The British journalist and writer Carl E. Bechhofer Roberts visiting Tbilisi at that time even remarked that Sudeikin had portrayed his Georgian poet friends in *Khimerioni* more than once (Bechhofer, 1971, pp. 63-65) and allegedly, his self-portrait as well, which can be confirmed from the comments and a sketch made by an outstanding Georgian poet, already acknowledged those days as “the King of Poets” Galaktion Tabidze in his pocket notebook. Galaktion Tabidze describes an imaginary portrait of the artist in a shape of a winged demon wearing a black suit and white shirt, different from the self-portrait inserted in the composition on the staircase cell. It was painted on the “entrance arch of the hall” (Tabidze, №20, p.28).

In our opinion, another theme appears in the imaginary portraits as well; this theme was employed not only by Sudeikin, but according to the remaining fragments, Davit Kakabadze and Irakli Toidze. It is the theme of *The Artist and the Muse*. Sudeikin’s composition in the western niche of the big hall represents the theatre world and the woman-mask sitting in the left corner must represent the theatre Muse or its allegory (*ill. 1*). Whereas the creator, along with the two women, in our opinion, must be Sudeikin himself with his

wife, the actress, Vera De Bosset and his former wife, also an actress, Olga Glebova. As it is known, Sudeikin periodically created imaginary compositions with “characters” from his own life; for instance, in *Cabaret* (1916-1919) or *My Life*, real or allegorical figures represent Sudeikin’s friends and wives (Bowlit, 1995, p. XV; Kogan, 1974, p. 169).

Davit Kakabadze’s famous panel over the southern wall of the big hall has partially survived. To our mind it must be dedicated to the literature and poetry. According to an old photograph, here too, on one side is a young artist-creator, presumably embodied by symbolist poet Paolo Iashvili, member of *Blue Horns* (ill. 2). He was handing a clean sheet of paper to the Muse of Literature and Poetry or the allegory represented in the shape of a dark-complexioned Georgian woman. Irakli Toidze’s version of this theme represents a composition that has survived today as a fragment over the restored murals of the restaurant *Anona* in one of the bigger side rooms. It is a young woman riding a horse (ill. 3). In Mose Toidze’s memorial house, there is a water-color sketch by Irakli Toidze and although it is a later replica and not a preparatory sketch, it exactly restores the named composition of *Khimerioni* (ill. 4). The young woman riding a horse is the Muse of the artist, and the artist holding a palette in his hand is looking at her with inspiration. The artist who created this is Mose Toidze, and this fact is confirmed by the documents kept in his Memorial House.

Other parts of *Khimerioni*’s decor, as it seems, can be united most clearly around the third theme, *Authentic life and culture of the old and new Georgia*. We must primarily note here Gudiashvili’s paintings distributed in front of Sudeikin’s panels within the staircase cell of the main entrance. Similar to the Sudeikin’s painting, it could have been a cycle integrated by the content. Today, out of the three compositions, parts of which can be vaguely observed in an old photograph, only *Stepko’s Tavern* has managed to survive. Gudiashvili mentions one of them – *Fox Guard*, although he does not say a word about the composition itself. In *The Salon Album of Vera Sudeikin-Stravinsky*, compiled and edited by the well-known specialist of Russian Avant-garde art, John E. Bowlit, comprising memorial notes and sketches of the writers, poets, theatre figures, artists of the beginning of the 20th century and which was also mentioned by Titsian Tabidze in his memoirs (Tabidze, 1966, p. 267), we find Lado Gudiashvili’s preparatory sketch for the mural believed to be a sketch for *Khimerioni*, or with more likelihood, a sketch for

The Fantastic Tavern (Bowl, 1995, pp. 95-96, 165). If we observe an image of leaning tree leaves on the sketch and compare it with an analogous to tree in the corner of the old photograph (*ill. 5*), we realize that it is a preliminary sketch for *Fox Guard*. The young peasant depicted on it is holding a rope tied to an animal that looks like a fox and is leading him forward. He is followed by his beautiful beloved. The peasant, in our opinion, is the same inn-keeper Stepko. It may be a fable about a peasant being deluded coming to the city and turned into a small trader, were the central focus of this unparalleled colourful image of old Georgia and with it, old Tbilisi which Lado Gudiashvili knew particularly well.

Representation of the cultural achievements of the new, independent Georgia were undertaken by the father and son Toidze. From the fragments that have survived in the smaller rooms of the side flank, Mose Toidze's two compositions are dedicated to the most significant musical events, to the premiers of the first Georgian operas held on 5th and 21st February of 1919. They were Dimitri Arakishvili's *The Legend of Shota Rustaveli* and Zakaria Paliashvili's *Abesalom and Eteri*. Respectively, one of them opens with the scene of *Eteri's death*. From the surviving details of the other one we can discern the haloed face of Queen Tamar, the main character of Arakishvili's opera. Our suggestion is further confirmed by the fact that according to one of the episodes from Mose Toidze's daughter's memoirs the painter even participated in the process of creating the Arakishvili's opera. In her memoirs Aleksandra Toidze reveals that Mose became friends with Georgian composers such as Zakharia Paliashvili and Dimitri Arakishvili. "One moonlit night father saw off Dimitri Arakishvili who was visiting us. Tbilisi was gorgeous. The two artists were excited with its beauty. Father took Dimitri to his *tari* (oriental musical instrument N. Ch.) player. Having enjoyed oriental tunes, they went out into the street. The sad tune of *tari* reminded them of Shota Rustaveli. The moonlit night and the *tari* player inspired father to paint the picture *Shota in the Georgian monastery of Cross in Jerusalem*, while Dimitri Arakishvili composed the opera *The Legend of Shota Rustaveli* (Toidze, 1972, pp. 15-16). The main focus of Irakli Toidze's mural painting, we think, must be depicting literary novelties; this is made clear in the composition with a couple of wild goats. As we know, the literary journal *Dreaming Wild Goats* ("Meotsnebe Niamorebi"), with which the most of important Georgian writers and primarily, *Blue Horns* cooperated, was allegedly created in *Khimerioni*. It is noteworthy that out of 11 issues of the

journal published before 1924, the first three were released in 1919 (Abuladze, 1977 pp. 96-97). Irakli Toidze's other compositions might have been illustrations of Shio Aragvispireli's novel *Broken Heart*, which Titsian Tabidze called the most significant literary phenomenon of that time (Tabidze, 1966, pp. 59-63). We believe that this text, close to the symbolists with its fairy-tale allegorical plot, telling the love-story of an artist-creator and his love adventure, could well have matched the aesthetic space of *Khimerioni*, especially that which is represented in the offices of the Writers' Union.

We think a kind of a "dialogue" crowning the reality and culture of the new and old Georgia must have become Sudeikin's and Kakabadze's artistic "rivalry", and it is hard to say whether it actually took place or not. On the one hand, Sudeikin's composition distributed over the rectangular plane over the staircase cell of the main southern entrance was regarded as *Khimerioni's* signature with its portrayal of generalized types of the Georgian aristocracy of the 19th century (ill. 5); on the other hand, we know Kakabadze's sketch for *Khimerioni's* mural painting, where we can see contemporary Georgians wearing European clothes sitting and leaning over the banister. The gentlemen are identified as Lado Gudiashvili, Georgian writer Vasil Barnovi and Davit Kakabadze himself (Gudiashvili, 1987, p. 38), while we have no information about the identity of the beautiful ladies sitting on the tripod chairs; they might be the generalized images of contemporary Georgian women. The similar construction and representative character of both compositions suggest that we should read them in one and the same context. In Kakabadze's sketch there are Georgians leaning over the banister, but they represent the spiritual aristocracy, artists of various ages familiar with European culture. And while Sudeikin depicted vanished ghosts, Kakabadze portrayed living artists, future Georgians. It makes us presume that this panel ought to have been spread over an analogous place to Sudeikin's composition in order to balance it, on the similar rectangular plane over the northern entrance of the staircase. This is indicated by the rectangular form of the sketch, and further evidenced by the fact that there is no other similar plane in the hall.

Examples of the search for national content and artistic forms can be found mostly in Kakabadze's works that were made for *Khimerioni*. He, by his clear-cut structure and tectonics conveys the pursuit not only of artistic

“regulation” of concrete compositions, but a painting of the cross-vaulted ceiling, which is attributed to Davit Kakabadze (Gudiashvili, 1987, p. 38), played a significant role in creating this mood. It is possible to discuss his murals only on the basis of old photographs and fragments of the ornamental motives preserved over the two arches close to the southern and northern entrances. The restorers, with an inner tact and fine craftsmanship reconstructed the paintings of the ceiling according to these photos. Kakabadze’s choice of geometric and stylized floral and faunal decorative motives clearly gestures toward their origin - medieval Georgian frescoes. Together with Lado Gudiashvili, he had been taking sketches of mural paintings for years and also he studied Georgian ornamentation intentionally. The Monumental Painting Collections of the Georgian National Museum keeps copies of the medieval Georgian wall-paintings performed by Lado Gudiashvili and Davit Kakabadze in 1910s. In the same period Davit Kakabadze became interested in the forms of Georgian carved ornamentation and published articles about this (Kakabadze, 2003, p. 6). The decorative ornament here too, like in the best Georgian frescoes, adorns arches and cross-shaped vaults; it follows architectural forms and accentuates them so that they maintain the tectonics of the architectural structure of the interior and the perception of the space unity. The decorative painting of the ceiling also conditioned to a certain extent the sublime festive character of the main hall which distinguished it from St. Petersburg and Tbilisi artistic café-bars by their more intimate, individualistic artistic mood. Apart from ornamental motives, Kakabadze considered inserting still lifes on the *Khimerioni*’s walls and arches like decorative supplements. In contrast to Sudeikin’s still lifes, they are distinguished by “Georgian” content. About five watercolor sketches of these decorative still lifes made on paper still survive (11X13 cm, 15X10 cm, 13X11 cm, 11X10 cm, 11X8 cm) and their compositions depict objects typical for the Georgian way of life: earthenware jugs, “orshimos” (long handled wine ladles made from gourd) or plants (rose, pomegranate, grape cluster) were taken up to symbols.

Thus, we think *Khimerioni* is the first place among Tbilisi art café-clubs which along with the general European motifs, depicted national artistic trends as well. This was at the same time expressive of the ideology of the independent Georgian national culture and represented the aspirations of the young generation of artists.

Such a synthesis had undoubtedly certain claims to the status of *The New Temple of Art* and despite the fact that neither it, nor the state of the independent Georgia lasted very long, *Khimerioni* still managed to leave a significant impact on the development of Georgian culture.

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Figure 1
*Khimerioni. S. Sudeikin. "The Artist and the Muse".
Muse of Theatre (detail)*



Figure 2

Khimerioni. D. Kakabadze. "The Artist and the Muse". Black-and-white photograph of 20s. Georgia State Museum of Theatre, Music, Film and Choreography



Figure 3

Khimerioni. I. Toidze. "The Artist and the Muse". Muse of Painting. Preserved part of the composition



Figure 4

I. Toidze. *The Dawn*, a sketch according to the *Khimerioni* panel “*The Artist and the Muse*”. After 20s, 63X34 cm, paper, gouache. Mose Toidze’s House Museum

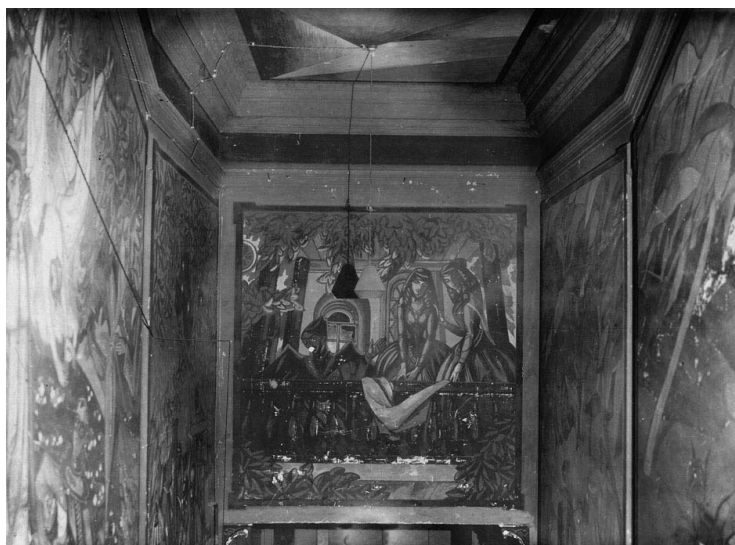


Figure 5

Staircase cell of the main entrance of the *Khimerioni*. On the left S. Sudeikin’s “*Georgian Poets and Artists*”, in the centre S. Sudeikin’s “*On the Balcony*”, on the right L. Gudiashvili’s compositions, with a fragment of “*Fox Guard*” on the edge. Black-and-white photograph of 20s. Rustaveli Theatre Museum

Law

Crime Preparation Penalty in Georgian Criminal Law in light of the German Doctrine of Attempted Crime¹

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Under the influence of objective theory, Georgian criminal law interprets both crime preparation and attempted crime in restrictive terms and prescribes punishment only for the preparatory actions that are akin to the objectively interpreted attempt. Penal laws of the German speaking countries (Germany and Austria), that do not identify criminal liability for crime preparation, provide extensive interpretation for attempted crime. The general range of punishable actions in one part of delicts displays eventual similarity. Finally, the following conclusion can be derived based on the correlation of the above legal systems: The denial of essential penalty in the legislation and introduction of the penalty for specific corpora delicti of crime preparation might lead to an extensive interpretation.

Introduction

Several criminal codes were adopted in Georgia in the 20th century, of which the first and second (adopted in 1922 and 1928 accordingly) were subjectively oriented criminal disposition codes. The last Criminal code of Soviet Georgia (adopted in 1960 and entered into force in 1961) was a significant step towards a humane criminal law: like in the codes of other Soviet republics, in the last Criminal Code of Soviet Georgia, the principle of legality received statutory confirmation, analogy in prejudice of a person was abolished, and the groundwork was laid for the objective interpretation of criminal law – criminally punishable illegal and guilty act (*mens reus*) instead of a person's socially dangerous behavior was recognized as the basis for criminal liability, albeit the essential penalty for crime preparation contradicted the objective orientation of criminal law.

The Criminal Code of Independent Georgia adopted in 1999 imposed a penalty for the preparation of grave and especially grave crimes and those on a comprehensive list provided in the law (Part 2, Article 18 of the Criminal Code of Georgia). At the same time, the Code imposed no liability whatsoever for a totally ineffectual attempt (Article 20 of the Criminal Code of Georgia) and interprets preparation and attempt in objective terms (Articles 18 and 19 of the Criminal Code of Georgia). The point in question is whether the general penalty of crime preparation corresponds to the objective point of departure for inchoate crime penalty to any extent. The present article provides a short analysis of the transition from the subjective interpretation of inchoate, i.e. incomplete crime to its objective interpretation and examines the role of the objective theory of incomplete crime penalty in limiting crime preparation penalty in Georgian criminal law. It also focuses on the issue concerning the exclusion of essential penalty of crime preparation and looks at the history of the attempted crime penalty in German penal law drawing parallels between the two legal systems.

Stages of Crime - iter criminis

The inchoate or incomplete criminal penalty stems from the historically developed view that argues that not only the damage caused to the legal good but imperilling the legal good should also entail punishment. By the general

penalty of attempted crime, the state seeks to move penalty to the earliest possible stage ensuring therewith an effective protection of the legal good (Prevention Criminal Justice).

Georgian criminal law has a convention to share the tenet on the stages of crime recognized in German penal law. Crime in Georgian criminal law also consists of a chain of actions: it is a process of acts and not merely a completed event (Tsereteli, 2007, 333; Dvalidze et al., 2007, p. 145; for a similar view in German penal law see: Schönke/Schröder -Eser, 28. Aufl., vor §22/Rn.).

Chapter 6 of the General Part of the Criminal Code of Georgia entitled as Incomplete Crime has provisions for preparation of crime, attempted crime and voluntary refusal to complete a crime.³ Incomplete crime is defined in legal theory as an act of direct intent brought to a stop at the stage of the crime's preparation or its attempt (Dvalidze, 2007, p. 146; In Turava's point of view, attempted crime can also be achieved through eventual intent: Turava, 2013, pp. 132-138). The concept of incomplete crime is only a *terminus technicus*; it is a generic term for the preparation of a crime and its attempt and has no bearing on determining the penalty of an action. The boundary between a legitimate action and an offence is drawn through preparation and attempt. In criticizing the dogmatic figure of incomplete crime, the assumption that it is understandable for an unprofessional only and cannot describe wrongfulness deserving punishment is short of logical argument in Georgian criminal law since in it incomplete crime has never assumed this function (Willer, 2009, S. 26).

A crime is considered complete if it includes all elements of crime spelled out in the Criminal Code. The concept of complete crime in Georgian criminal law is of formal nature. Complete crime excludes the possibility of voluntary refusal to complete a crime. The legislation allow for effective confession in special circumstances defined by the Law – Article 322 (effective confession to crime against state) and the Note to Article 323 (effective confession to participating in the preparation of a terrorist act). Lately, the Criminal Dogmatics has come to recognize the stage of material completion of crime as well (Dvalidze et al, 2007, p. 153).

Grounds for Incomplete Criminal Penalty

Scholars of criminal law provide different substantiations of the grounds for the imposition of a penalty for an incomplete crime (attempted crime in German penal law). Alongside two contrasting viewpoints around this issue, the objective and the subjective theories of incomplete crime, many mixed theories have also gained prominence. The objective theory considers imperilment of the legal good as the grounds for imposing penalty on incomplete crime, while the subjective view sees such grounds in the agent's ill will.

Incorporating these antipodal views into legislation would lead to different legal consequences. Consistent adoption of the objective views would bring about impunity of crime preparation and inept attempt, since they do not entail any specific threat (Schönke/Schröder *-Eser*, 28. Aufl., vor §22/Rn); at the same time, the line between crime preparation and attempt would also be drawn through objective scales (commencement of the implementation of *corpora delicti*).

Viewing ill will expressed in the agent's action as grounds for an incomplete criminal penalty would bring us to the punishment of inapt attempt or unreal attempt since these cases also involve the expression of ill will. Moreover, crime preparation, attempt, and completed crime would all receive equal punishment since they do not differ from one another in subjective terms. On the other hand, to identify voluntary refusal to complete crime, it would suffice to merely disclose the absence of the desire to complete the offence irrespective of whether the agent's action was causally linked to the crime not resulting in an outcome.

A Brief Historical Overview of the Norms and Dogmatic Views on Incomplete Crime in German and Georgian Penal Laws

The emergence of the objective theory of attempted crime in German penal law is related to the requirement to restrict penalty. Punishability of ill will practiced by the absolutist German state spurred sharp criticism during the Enlightenment period. The criminal dogmatics highlighted that incomplete crime should only be punishable if a serious specific threat is created to the

legal good while immoral acts should be outside the scope of criminal law due to nonexistence of such threat (*Feuerbach, Mittermaier*) (Stratenwerth/Kuhlen, AT, 6. Auflage, §11/Rn. 17 f.; Zaczyk, 1989, S.43 ff.). Adoption of the objective theory led the German legislation to the objective interpretation of attempt (section 43 of the old version of the German Criminal Code, attempted crime as commencement of the implementation of *corpora delicti*) and voluntary refusal to commit crime and urged the Prussian Supreme Court to leave inapt attempt unpunished. In the late 50s of the 19th c., the Prussian Supreme Court acquitted the defendants since the barn they entered to steal grains from was empty (GA 1854, S. 548 According to Jescheck/Weigend, AT, 5. Aufl., S. 513; LK- *Hillenkamp*, 11. Aufl., vor §22/Rn. 61.).

The dogmatics underlying the objective theory of attempted crime is discerned in *Liszt-Beling's* view on crime, according to which the objective and subjective sides are strictly separated from one another (Schönke/Schröder-*Eser*, vor §22/ Rn. 18). This view had been dominant in the German penal dogmatics throughout the first decades of the 20th c. (Roxin, AT II, 2002, §29/Rn. 25).

The subjective theory, the dogmatic roots of which should be sought in *Von Buhr's* tenet of causality, owes its emergence to the need to prove the punishability of inapt attempt. The way to the subjective theory of attempted crime was paved by one of the decisions of the German Imperial Court (RG 1, 441) in which inapt and apt attempts were equalized. Although the German Imperial Court's penal practice pursued the subjective theory, the scholars of criminal law had basically supported the objective theory of attempted crime up until the National-Socialism period,² when, as a result of the pressure coming from the state as well as considering the political expediency, both the penal practice and the criminal legal science diverted to the "Disposition Criminal Law" and the subjective theory of attempted crime.

The subjective theory has never really been dominant in its extreme form in Germany, neither in theory nor in practice (with the exception of the National-Socialist period), since the penalty for unreal attempt had never been acceptable and crime preparation was not essentially punishable. At the same time, preparing for a crime and attempt a crime had been differentiated by means of objective features. Up until 1975, the legislation

recognized the start of the implementation of *corpora delicti* (§43 I a. F. StGB) as the commencement of attempted crime.

Although as of now the final doctrine of offense creates the dogmatic foundation that befits the subjective theory of offense, the latter does not derive from the final doctrine of offense. It was not the “finalists” but the “causalists” who played the decisive role in the legal dogmatics in the 60s of the 20th c. The dominant subjective theory of attempted crime had followers during this period not only among the “finalists” but “causalists” as well – *Baumann, Schönke, and Schröder* (Hirsch, 2001, S. 713). What is considered as the subjectively oriented dogmatic foundation in the German penal dogmatics is not finalism, i.e. a doctrine on factoring intent among the elements of crime, but the tenet on intent, as a basic constituent of attempt, and subjective constituents of legal impossibility (Hirsch, 2001, S. 713).

A new tenet called “Impression Theory”, emerged in the German penal law in the 1950s, which has been considered to be the dominant theory since then. Under this tenet, the legal impossibility of an attempt is seen in the impression which derives from the committed act and which can shatter the public trust in justice (rechtserschütternden Eindruck)(In early 20th c., A. Horn und v. Bar in Hirsch, 2001, S. 712, Fn. 8; Ebert, 3. Aufl., AT, S. 124; Gropp, AT, 3. Aufl., §9/48; Schönke/Schröder-Eser, vor 22/Rn. 22.). Parallel to the “Impression theory”, other mixed theories of attempt also evolved in the theory of German penal law. Of particular interest among them is the “Mixed Theory” developed by Roxin (Kollrausch, & Lange, 1998, S158) and the dualistic justification of attempted crime by *Schmidhäuser* and *Alwart*. In *Roxin’s* view, aptness of attempt means creating the threat of committing *corpus delicti*, whereas inapt attempt in his consideration is a violation of a legal norm infringing justice (Roxin, 1998, S. 158). Under *Schmidhäuser’s* and *Alwart’s* dualistic tenet of attempted crime, the grounds for the punishability of attempted crime is unworthiness of the threat as well as the end produced by the agent’s action (Alwart, 1982, 158; Schmidhäuser, AT, 2. Aufl., §11/ Rn. 27-36).

The objective theory of attempted crime has been durably sustained only by Spindel (Spindel, 1953, 518-521; Spindel, 1965, 1881; Stock, & Spindel, 1966, 89) who was inspired by “the general objective rudiment” and who considered himself to be “a lonely voice crying in the wilderness”(Hirsch,

2001, 712). The grounds for the penalty of attempted crime were discussed at a professional conference (Strafrechtslehrertagung) held in Frankfurt in 1985 and a conference organized by the Comparative Law Society in 1985, at which the subjectivists took the upper hand.³ The same problem was voiced at the 1988 colloquium dedicated to Japanese and German penal laws, at which the German doctrine of attempted crime was recognized as subjectively while the Japanese one as objectively oriented (Naka, 1989, 93). Lately, some legal scholars have appeared in the German penal dogmatics who, in spite of the general subjective systemic rudiment, endorse the objectivist theory of attempted crime (e.g. the finalist *Hirsch*).

The objective tenet of attempted crime has no legislative support in the German penal law. Up until 1975, the legislation recognized the objective theory of attempted crime under Section 43 I of the Criminal Code, which defined attempted crime as the commencement of its commission. The “Fathers” of the 1975 Penal Reform, however, renounced the objective theory of attempted crime as defined in Section 43 I of the Criminal Code and interpreted commencement of the attempted crime in subjective terms as the will of the perpetrator in Section 22 of the German Criminal Code; under this provision, a person attempts to commit an offence if he takes steps which will immediately lead to the completion of the offence *as envisaged by him* (According to the critics of the subjective theory of attempt, the penal practice has proved the aporia of this doctrine. See: Jung, 2005).

A similar rivalry between the subjectivist and objectivist perceptions took place with respect to the norms and dogmates on incomplete crime in 20th c. Georgia. Under the Bolshevik criminal law of the early Soviet time, the very disclosure of intent was punishable, as in this way “the enemies of people” would receive the strictest possible punishment. Therefore, the stages of crime were somewhat overlooked. Person’s public dangerousness rather than the offence punishable under the Criminal Code constituted the grounds for criminal liability. Subsequently, the judge could impose equal punishment for both attempted offence and incomplete crime (Surguladze, n.d, p. 28).

Of special note is the fact that the 1921 “Basic Guidelines” and 1922 Criminal Code interpreted consummated attempt in subjective terms as a person’s conception about the commencement of offence (Surguladze, n.d, p. 54, 114). As regards the social protection measure, Article 52 of the 1922 Criminal

Code provided pertinent punishment just for “criminal behavior” or connection with a criminal group without actual commission of a crime or other action posing danger to the public. The 1922 and 1928 Criminal Codes were also distinctively preventive. Both of these codes allowed for the principle of analogy to be used against the agent and ascribed a decisive role to the degree of the agent’s public dangerousness when imposing a punishment (Tsereteli, 2007, p. 328).

The subjective orientation did not concern only Soviet penal legislation but Soviet penal theory as well (Piontkovskii & Kudriavtsev, 1978, p. 115). The tenet under which criminal liability should be imposed for the damage caused to or endangering legal goods started to win grounds in the late 50s, during the so called “Ottepel” (“thaw”) period. The majority of Soviet dogmatists, including *Tinatin Tsereteli*, vouched for the penalty of incomplete crime from the objective perspective. The “objectivists” commented that the subjective justification for the penalty of incomplete crime was inconsistent in so much as the punishment for incomplete crime derives from the objective public threat, i.e. material unlawfulness. The majority of dogmatists rejected the subjective interpretation of attempted crime, i.e. attempt as an agent’s vision of the crime commencement, as the “Disposition Law” (Tsereteli, 2007, p. 426). The legislators shared this perspective. The last Criminal Code of Soviet Georgia, like the Criminal Codes of other Soviet republics, followed a strictly objective interpretation of crime preparation and attempt restricting by so doing the overly broad scope of penal law (Schroeder, 1958, p. 37).

After the 60s of the 20th c., the grounds for the penalty of incomplete crime in the Georgian criminal law have been perceived in **objective terms** as a threat created to the legal good rather than a will hostile to law, or commencement of a crime as envisaged by the agent (Tsereteli, 2007, 426; Surguladze, n.d., 313). Under the dogmatics of the penal law, it is impossible to differentiate between crime stages drawing on subjective theories, since the will to commit *corpus delicti* remains the same at every stage. Therefore, to differentiate crime stages from one another, the degree of the threat created by the agent’s action should be factored in (Surguladze, n.d., p. 307; Dvalidze et al., 2007, p. 161).

The supporters of the objective theory observe that preparing for a crime is very different from crime commission. The threat to the legal good on this occasion constitutes strictly speaking an *abstract* threat rather than a real and direct one. While, during attempted crime, the threat is *actual, specific* and *direct* (Dvalidze et al., 2007, p. 161) Direct threat is perceived as *an actual possibility* to inflict damage. By perceiving attempt as a specific threat, the Georgian criminal law does not embrace the formalist-objectivist theory of attempt prominent in the German penal dogmatics. The notion of the commencement of attempt in Georgian criminal law is relatively broad and *inter alia* includes actions that are closely related to crime consummation, i.e. actions directly transiting into consummation, e.g. aiming a gun at someone already constitutes a crime attempt instead of being considered as a stage of crime preparation (Dvalidze et al., 2007, p. 162).

The objective theory of incomplete crime facilitated the switch from the “Disposition Law” of the Bolshevik state to a more or less humanist law. On this thorny and long path, the progressively minded Soviet dogmatists had to overcome lots of obstacles. Today, constriction of the penalty of incomplete crime through the objective theory of attempt is considered to be a marker of humanist penal law.

Penalty for Crime Preparation in the Current Georgian Criminal Law

The new Georgian Criminal Code provides for two frameworks of penalty for crime preparation:

a) The general “factored out” liability defined in Article 18 of the Georgian Criminal Code under which preparation of crime is intentional creation of conditions for the perpetration of crime.

b) Liability for crime preparation determined for specific crimes, by which the legislation indicates that special punishment should be imposed for actions such as:

1. Illicit production of objects used in making counterfeit money and other related preparatory activities punishable under par. 4 Article 212 of Georgian Criminal Code.
2. Formation of Terrorist Organization or Leading Thereof or

Participation Therein punishable under Article 3302 of Georgian Criminal Code; other *corpora delicti* of crime preparation to counter terrorism.

3. Preparations for Aggressive War punishable under Article 404 of Georgian Criminal Code.

The new 1999 Criminal Code of Georgia discarded the Soviet tradition of crime preparation providing for a comprehensive and general punishment. It prescribed punishment for the preparation of only especially grave crimes (the crimes for practice whereof Par. 4 of Article 12 of the Criminal Code provides the sentence exceeding ten years of imprisonment or covering a full life term), while Article 56 awarded a more lenient sentence for incomplete crime compared to consummated crimes. The 29.12.2006 amendment extended the liability for crime preparation to grave crimes as well (par. 3 of Article 12 of the Criminal Code defines grave crime as the crime for practice whereof the sentence provided is not in excess of ten years of imprisonment). At the same time, Article 56, allowing for a more lenient punishment for incomplete crimes, was abolished altogether. Currently, judges have the discretion to award a sentence equal to the one awarded for completed crimes. This legislative change is indicative of the diminished influence of objective theory of incomplete crime.

If we examine the annulment of Article 56 of the Georgian Criminal Code from the German perspective, we must pay attention to the fact that awarding equal punishment for both creating a threat to the public good and damaging the public good can be made possible through curtailed *corpora delicti* as well as independent *corpora delicti* of crime preparation, which German penal law allows for. As known, these *corpora* are included in the legislation with the purpose of preventing the possibility of a more lenient punishment, prescribed by the second paragraph of section 23 of German Criminal Code expanding on such crimes. We would have had the same effect of toughening the penalty for incomplete crime if the Georgian legislation had preserved the norm-envisaging leniency of punishment for incomplete crime and had, at the same time, introduced the above *corpora delicti* in return.

Georgian judges today can award a more lenient sentence under Part 3 of Article 53 of the Criminal Code which specifies that, when awarding a

sentence, the court shall take into consideration the circumstances of the crime, in particular, the character and extent of breach of obligations, and illegal consequence. It can be subsequently maintained that, with no illegal consequence at hand, the judge, under this norm, can award a lenient punishment.⁴ However, whether or not Georgian judges interpret the above Article in liberal terms is subject to examination.

Constraining Crime Preparation Penalty at Objective and Subjective Levels

There was a heated debate in Georgian Criminal Law over effective protection of the legal good and the legality of the preemptive punishment for actions preceding the actual damage caused to the legal good in the late 50s (De-Stalinization period) and the 90s of the previous century, after Georgia attained independence. During the De-Stalinization period reforms,⁵ diametrically opposing views on the punishment for crime preparation were expressed in the Soviet penal dogmatics.⁶ The majority of scholars argued that the grounds for criminal liability should be the damage or threat caused to the legal good. Consequently, a part of Soviet dogmatists, including *Tinatini Tsereteli* and *Vladimer Makashvili* went as far as demanding annulment of the general punishment for crime preparation (Gamkrelidze, 2008, pp. 157-159). They underscored that during preparing for a crime, the possibility for perpetrating *corpus delicti* is very little and different circumstances, independent of or dependent on the agent, can prevent the crime from being perpetrated. Essential liability for crime preparation challenges the legal norm providing for the voluntary refusal to commit crime, as it can no longer be used by the agent. Subsequently, the scope of punishable actions becomes exceedingly broad and we transit to the Disposition Law, since actions preceding *corpus delicti* are hard to differentiate in objective terms. Due to the fragmentary nature of criminal law, the legislation should not include actions preceding *corpus delicti* comprehensively and should restrict the state's prerogative to extend the scope of liability (Gamkrelidze, 2008, p. 159; Tsereteli, 2007, pp. 384-402). Acts of crime preparation do not create an immediate threat, and therefore crime preparation should only be punishable if it is akin to attempted crime (Tseretelieteli and Makashvili, according to Gamkrelidze, 2008, 157; Surguladze, n.d., pp. 305-306). The correlation between the value of protected legal good and the created threat

suggests that only such acts of crime preparation deserve punishment are the ones that create an *abstract* threat to the most vital legal goods (such as human life, or crime against state). The position formulated by criminal law experts during the reform period concerning the annulment of the essential punishment and finding a casuistical solution to the problem, i.e. incorporating specific *corpora delicti* of crime preparation into a separate part of the Criminal Code, were not accounted for in the legislation either in the late 60s or the 90s of the previous century.

The current Criminal Code of Georgia (Par. 1 of Article 18) determines preparation of crime as intentional creation of conditions for the perpetration of crime. The overly expansive legislative interpretation induces both the legal theory and practice to specify the concept of crime preparation. It becomes necessary to elaborate discrete criteria for differentiating the expression of unpunishable intent, punishable crime preparation, and attempted crime. The differentiation of crime preparation and attempt from one another is not only a dogmatic problem. Since preparation of misdemeanor (under Par. 2 of Article 12 of the Criminal Code of Georgia, the sentence for such crimes is not in excess of five years of imprisonment) remains outside punishment, when differentiating crime preparation from attempted crime we deal with the decision as to whether or not misdemeanor should be punishable.

The present interpretation of crime preparation extends penalty on to actions preceding any *corpus delicti* and provides no scale whatsoever to separate preparation and planning of crime. Therefore, crime preparation in the current criminal dogmatics is interpreted in *restrictive* terms on both the *subjective and objective levels*: criteria enabling separation of crime preparation from simple planning and attempt have been developed. Old dogmatic as well as practical knowledge, according to which crime preparation shall be punishable only if the act of preparing a crime is close to attempt and constitutes a social danger, is also taken into account (Gamkrelidze, 2008, p. 159; Piontkovskii & Kudriavtsev, 1978, p. 508; Tsereteli, 2007, p. 389).

Legislation considers preparation, purchase or handling of a weapon or instrument and finding an accomplice with the purpose of perpetrating a crime first and foremost to be the conditions for committing an offence

(Gamkrelidze, 2008, p. 154). Although the legislation establishes *objective criteria* for differentiating crime preparation and mere planning by enumerating pertinent case groups, it says nothing new as this understanding of crime preparation is in line with the crime preparation interpretation stipulated in the last Criminal Code of Soviet Georgia. Examples of crime preparation in the penal dogmatics are: preparation of appropriate keys, switching off the alarm system, finding accomplices, collecting information, purchasing a ladder and delivering it to the crime site, putting poison in a drink, ambushing, luring a victim out to a desolate place, etc (Gamkrelidze, 2008, p. 156; Surguladze, n.d., p. 302).

Constriction of incomplete crime penalty at the **subjective** level occurs at the demand to specify the crime plan. We do not have crime preparation if the agent had purchased weapon not for the purpose of committing a specific crime but for committing *any* crime. A person has not prepared banditry yet if he has *ever* purchased a weapon to perpetrate *any act of banditry* and if he has not specified a victim yet. The intent of crime preparation must include all constituent elements of offence (Gamkrelidze, 2008, p. 155).

The question to ask is whether the experience from the German penal dogmatics could avail to specify a preparatory action. The legislation provides different models of crime making at the stage when threat is created to the legal good. Alongside threat *delicts* and curtailed *corpora delicti*, German penal law, Section 30 of the German Criminal Code (conspiracy), imposes punishment for creating a threat to the legal good through casuistical *corpora delicti* of crime preparation (Weber, 1987, 7-22). In other words, punishment for crime preparation by an individual perpetrator in German penal law is imposed not as a matter of principle, in the general part, but only based on *corpora delicti* provided for in a separate part of the Criminal Code.

It is interesting to know if specific *corpora delicti* of the German Criminal Code on crime preparation could be used to specify essential penalty for crime preparation provided for in the Georgian Criminal Code. The German penal law specifies *corpora delicti* for crime preparation in different ways: it identifies both narrow and broad *corpora delicti* for crime preparation. The narrow *corpus delicti* for crime preparation has a detailed list of preparatory actions, including preparation of weapons and instruments to perpetrate a

crime (Sections 87, 149, and 310 of the German Criminal Code). Similar tenets can be found in the old Criminal Code of Soviet Georgia, Article 18, and in *Gamkrelidze's* Commentary on the Georgian Criminal Code (Gamkrelidze, 2008, p. 154).

Some *corpora delicti* of crime preparation in German penal law do not specifically name punishable actions and do not separate crime preparation from general planning of a crime (Sections 80, 83, and the third “a” paragraph of Section 134 of the German Criminal Code). Subsequently, such *corpora delicti* require a general explanation of crime preparation. Crime preparation in Section 80 of German Criminal Code (Preparation of a war of aggression) implies any type of action in support of the planned war, even a neutral one (Fischer, Schwarz, Dreher, & Tröndle, 2011, p. 52, 58). In this norm, the line between punishable and unpunishable actions is drawn through a statutory requirement of *specific threat*. Also, in Section 83 (Preparation of an enterprise directed at high treason), preparation is any supportive action both subjectively, i.e. as envisaged by the perpetrator, and objectively, be it even through a *neutral* action (Fischer, Schwarz, Dreher, & Tröndle, 2011, §83/Rn. 3). For an action to be considered punishable, the object of assault, instrument for assault, and assault time shall all be necessarily specified (Schönke/Schröder-Sternberg-Lieben, §83/Rn. 1). Georgian criminal law, as shown above, uses the same statutory requirements to specify intent for crime preparation.

According to one general interpretation to crime preparation given in German penal dogmatics, crime preparation constitutes “an action that creates valid prerequisites for perpetrating a crime” and goes beyond planning (bloße “Bei-sich-Planen”) the perpetration of crime (Maurach-Gössel, AT, Teilband 2, 6. Aufl., §40/1). This is an extremely general interpretation of crime preparation and it cannot therefore draw a line between punishable and unpunishable actions applicable by the state. It is particularly noticeable that both the Georgian legislative interpretation of crime preparation and its scientific interpretation by German penal law resemble in terms of their vagueness and are inappropriate to constrict the penalty of crime preparation. It becomes evident that the general interpretation of crime preparation given in the German penal theory cannot be applied to Georgian penal law to specify the general concept of crime

preparation, since the German penal dogmatics do not suggest any new insights to Georgian criminal law to limit the penalty of crime preparation.

Preparation of crime instruments or weapons and handling them can be as well achieved through neutral actions. These actions are not indicative of the crime that a person has planned to commit. A legal state should not deem socially adequate actions as crime preparation punishable by law even if there is threat involved in such crime preparation. To avoid excessive expansion of crime preparation penalty and to constrict crime preparation penalty, affinity with intent – a criterion traditionally recognized in Georgian criminal law - should be applied. The formula of attempted crime developed by *Heinrich* in German penal law can be used in Georgian criminal law for interpreting crime preparation. Action, under the latter tenet, can be considered to be crime preparation only after it ceases to be socially adequate and clearly and definitely indicates the criminal end (Spotovsky, 1987, 126), i.e. when the agent handles the crime weapon or instrument in such a way that renders him unable to “explain his action convincingly” (Heinrich, AT 2, Rn. 726). E. g., setting a ladder against another person’s open windows at midnight indicates that the agent is driven by the desire to crawl over the window. Putting poison in another person’s drink or holding a loaded pistol and ambushing a person in the entrance to his house indicate that we have to do with the attempt of murder or the intention to inflict injury. But until a person has overstepped the bounds of the socially adequate, his actions remain within his personal realm and the state should not punish him for that.

Several Examples of Crime Preparation and Attempted Crime from Georgian and German Penal Laws

As highlighted above, Georgian criminal law recognizes general penalty for crime preparation by an individual perpetrator, something that is foreign to German penal law. Several practical examples from Georgian and German penal laws are brought below to help determine whether general penalty of crime preparation can lead to excessive expansion of the state’s punitive power. Let us look at how German penal law valuates actions akin to *corpus delicti*.

Entering the victim's apartment with the purpose of murdering him, looking for the victim to kill him, taking the weapon in hand while laying an ambush (before taking aim) if the agent thinks that the victim is coming qualify as attempted crime in German penal law. (NK-Zaczyk, 2. Aufl., §22/Rn. 25; Wessels/Beulke, 36. Aufl., Rn. 603). Similarly, an action in distance delicts is classed as an attempted crime when the agent sets to motion the chain of causality that encroaches the legal good thus depriving himself of the possibility to be in charge of that very causality (poisoning food intended for the victim to eat).⁹ It can be subsequently construed that due to nonexistence in German penal law of the delicts endangering human life, i. e. of the ultimate legal good, the attempted crime directed against human life merits extensive interpretation. In terms of the crimes against humanity, the extensive interpretation of attempted crime by German criminal law in the majority of cases corresponds to the penalty of crime preparation against humanity provided for in Georgian criminal law.

Commencement of attempted crime directed against property in German and Austrian penal laws transits to the region of crime preparation. These legal systems interpret any action related to assault on the legal goods whether time-wise or space-wise as attempted theft: e.g. going over a furrow and approaching a hen-house to steal hens (Fischer, Schwarz, Dreher, & Tröndle, 2011, §242/Rn. 16); luring a guarding dog aside to penetrate (break in) a house or a storage facility to perpetrate theft (Kühl, JuS 1979, S. 718, 874; JuS 1980, S. 120, 273; Wessels/Beulke, AT, Rn. 604); being on the watch for the collector to rob him albeit he did not appear at the planned place at all (Pfeffertütenfall, 1952, 514; For criticism of the German Supreme Court practice on the commencement of attempted crime, see LK-Vögler, 10. Aufl., §22/Rn. 68.). Georgian criminal law defines such crimes as crime preparation.

Conclusion

De lege ferenda, the following proposition can be made regarding the penalty of crime preparation: the general definition of crime preparation needs to be specified in the Criminal Code and only intentional action *clearly and objectively indicating the affinity with the attempted crime* should be defined as punishable crime preparation.

Under the influence of objective theory, Georgian criminal law interprets both crime preparation and attempted crime in *restrictive terms* and prescribes punishment only for the preparatory actions that are akin to the objectively interpreted attempt. Penal laws of the German speaking countries (Germany and Austria), that do not identify criminal liability for crime preparation, provide *extensive interpretation* for attempted crime. The general range of punishable actions in *one part of delicts* displays eventual similarity. Finally, the following conclusion can be derived based on the correlation of the above legal systems: it is superfluous to reject essential penalty of crime and introduce penalty only for specific *corpora delicti* of crime preparation, if Georgian criminal legislation consigns the problem of defining the limits for the penalty of an abstract threat created by a specific action to a separate section. The denial of essential penalty in the legislation and introduction of the penalty for specific *corpora delicti* of crime preparation might lead to an extensive interpretation.

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Endnotes

1. The present article was published in Georgian in: Crime preparation Penalty in Georgian Criminal Law in light of the German Doctrine on Attempted Crime, The Science of Criminal Law in the process of United European Development, the digest of the Academic Simposium on Criminal Law, *Turava* (ed.), Tbilisis 2013, p. 83-105. I extend my gratitude to the editorial staff of the book for enabling its publication in English.
2. *Hirsch*, Untauglicher Versuch und Tatstrafrecht, Festschrift für Claus Roxin 70. Geburtstag, 2001, S. 712, Fn. 7-8. in the works by Schafstein and Mezger (the latter had been the proponent of the 'Impression Theory' since 1951) on "The Disposition Criminal Law" from the national-socialist period
3. At the meeting, the objective theory of attempt was shared by *Jakobs*, *Hirsch*, and partially *Schmidhäuser*. see. *Jakobs*, Kriminalisierung im Vorfeld einer Rechtsgutsverletzung, ZStW 97 (1985), S. 751 (763); Tagungsbericht der Frankfurter Strafrechtslehrrtagung, *Gropp*, Diskussionsbeiträge der Strafrechtslehrrtagung 1985 in Frankfurt a.M., ZStW 97 (1985), 919, 921, 924;
4. For a pertinent interpretation of Part 3 of Article 53 of Georgian Criminal code, see *Dvaladze*, group of authors, general part of the criminal law, p. 164 (in Georgian)..
5. Already in the mid 20s of the 20th c., *Piontkovski* put forward a tenet in the Soviet penal law theory maintaining that crime preparation should not be punishable under any circumstance. See *Piontkovski*, Criminal Law, History of Legal Science, *Kudriavtsev* (ed.), 1978, p. 115 (in Russian).
6. For heated discussions in the „Thaw“ period Soviet criminal law over the penalty of crime preparation see *Schroeder*, Das Strafrecht der UdSSR de lege ferenda, S. 37 f.

Humanitarian intervention as a justification for the use of military force by the example of the Russian-Georgian war in 2008

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Legal regulation (status) of humanitarian intervention represents a huge challenge to global safety. It is very significant to answer the question – should international law allow states to intervene in another territory and, furthermore, should it give incentives to states to use the pretext of humanitarian intervention to wage wars against other states (pursuant to the political or economic interests towards the states where intervener is involved in the hostilities)? One of the most significant drawbacks of Humanitarian intervention is that aggressive states use the pretext of humanitarian intervention in order to launch wars under covert motives. Russian military intervention in South Ossetia (which is the undisputed territory of Georgia) represents an example of how states use their political motives to violate another states sovereignty.

Introduction

Russian-Georgian war in 2008 gave rise to different opinions through the context of International law. According to the position of the Russian Federation, use of force on the territory of South Ossetia in combination with the other arguments (e.g.: Self-defense - according to the official Moscow's position, the invasion in the territory of South Ossetia was conducted compatibly with Article 51 (Self-Defense) of the UN Charter) (Independent International Fact-Finding Mission, 2009, pp. 188-189), was justified by the necessity of humanitarian intervention. The above mentioned war was the issue of primary interest of the West, which declared the Russian invasion to South Ossetia as the act of aggression. Notwithstanding the different position of the Russian Federation, the act of the invasion of South Ossetian territory can be assessed as the first unauthorized humanitarian intervention in Europe since the invasion of NATO to the Federal Republic of Yugoslavia in 1999 in order to eradicate ethnic cleansing in Kosovo. Furthermore, at the time of Russian invasion in South Ossetia, the role of UN was much more restricted than in the case of Kosovo. In particular, there were no Security Council Resolutions issued, which would be directed to assess the situation on the territory of South Ossetia before the Russian invasion, unlike the case of Kosovo.

Humanitarian law is the most unbalanced branch of international law. According to the Lauterpacht, "if international law is, in some ways, at the vanishing point of law, the law of war is, perhaps even more conspicuously, at the vanishing point of international law" (Lauterpacht, 1953, pp. 381-382). Although, the formal legal documents, which deal with transnational conflicts, are specifically determined, namely, the UN charter has granted the right to the Security Council to ascertain the threats to peace, breach of peace and the acts of aggression (United Nations (UN) charter, 1945, Article 39) and in order to protect these principles, use all necessary ways, including the right to use force. States have the right to use force when they are authorized by the Security Council to provide individual or collective self-defense (United Nations (UN) charter, 1945, Articles 42 and 51). As for the Russian invasion in South Ossetia, it must be emphasized that officially Moscow passed the borders of the conflict and occupied 1/3 of the territory of Georgia, which is a "disproportional use of force" and, generally, corresponds

the violation of international law, in particular, the violation of international humanitarian law (Aleksidze, 2008, p. 7).

The article aims to discuss the violation of territorial integrity of Georgia by the Russian Federation in the context of humanitarian intervention.

Russian Georgian war in 2008 and pre-war conditions

The negative relationship between the Ossetians and Georgians has especially exacerbated in 20th century, particularly, at the time of Ossetian uprising between 1918-1920, when Ossetia at that time being the part of Russian empire, unsuccessfully attempted to create its own soviet republic. Since the establishment of Soviet rule in Georgia, Ossetia became part of the Soviet Social Republic of Georgia.

At the beginning of 1990, as well as in 2008 during the war, Georgians and Ossetians were suspicious of each other's motives: Ossetians saw remaining within Georgian territory as a threat for them, however, the Georgian Government considered Ossetians as Moscow's leverage to undermine the sovereignty and territorial integrity of Georgia (Sammut & Cvetkovski, 1996, pp. 5-15). The confrontation in 1989 made it possible for South Ossetia to obtain the status of "Independent Soviet Republic". Approximately, after 3 months, the Georgian Parliament had abolished the autonomy of South Ossetia and afterwards, on 24 June 1992 in Sochi/Russian Federation cease-fire agreement has been signed by the president of Russian Federation – Boris Yeltsin and the president of Georgia – Eduard Shevardnadze (Agreement on Principles of Settlement of the Georgian, 1992). In order to find out the exact time of the cease-fire and the withdrawal of Russian troops, the Sochi agreement is called for a "Joint Control Commission consisting of opposing parties", for the control of and implementation of the cease-fire agreement, control on withdrawal of troops and to maintain security within the region. Article 3 para 5 of the said agreement strictly elaborates the competence of the joint control commission, in order to implement its mandate: In case of violation of provisions of this Agreement, the Control Commission shall carry out investigation of relevant circumstances and undertake urgent measures aimed at restoration of peace and order and non-admission of similar violations in the future" (Agreement on Principles

of Settlement of the Georgian - Ossetian Conflict Sochi, 24 June 1992). The joint control commission was comprised of the representatives of Russia, Georgia, North and South Ossetia, however, joint peacekeeping forces were comprised of troops from Russia, Georgia and South Ossetia. In 1994, OSCE (Organization for Security and Cooperation in Europe) received the mandate to monitor the activities of joint peacekeeping forces.

Prior to the war in 2008, the Sochi agreement was the subject of fierce criticism, since it couldn't resolve the conflict and empowered the Russian Federation with a disproportional role in implementation. In February 2006, the Sochi agreement was discussed by the parliament of Georgia and adopted a resolution (Resolution of the Parliament of Georgia Regarding, October 2005), which envisaged the issue of replacement of Russian peacekeepers by the international peacekeeping mission. The Authorities of Georgia charged the Russian Federation with: arm supply of separatists, spreading contraband and smuggling. Notwithstanding the fact that the parliament of Georgia adopted the abovementioned resolution, the Sochi agreement remained in force.

Prior to the war in 2008, several incidents took place between Russia and Georgia such as, downing of drones and espionage. It seemed that, in most cases, the international community and media didn't take the threats seriously; this was emphasized many times by Georgian side.

Armed conflict in South Ossetia started on 7 August 2008. The Russian government claimed that until that date (7 August) active movement of their troops to the conflict territories was ordinary movement. On 10 August it became already known that not only the territory of South Ossetia would be involved in the conflict, but also other Georgian territories outside the conflict zone. In particular, Russia was bombing the town of Gori.

The official position of the Russian federation about its activities in South Ossetia was revealed on 8 August when President Dmitri Medvedev declared that Georgian troops conducted an assault on the Russian peacekeepers and civil society in South Ossetia, gravely violating international law.

There are opinions and evidence that during the invasion in South Ossetia, Russian Federation committed a war crime. Pursuant with the report from Human Right Watch, Russia had violated the right to shell military objects

and intentionally carried out an attack to the civilian population (Human Rights Watch, 2009).

International Response

The participation of the Russian Federation in the conflict was assessed as unlawful by Western countries. Foreign Secretary of UK David Miliband mentioned: “The Georgia crisis has provided a rude awakening. The sight of Russian tanks in a neighboring country on the 40th anniversary of the crushing of the Prague Spring has shown that the temptations of power politics remain. The old sores and divisions fester. And Russia is not yet reconciled to the new map of this region. The Russian President says he is not afraid of a new Cold War. We don't want one. He has a big responsibility not to start one. In all international institutions, we will need to review our relations with Russia” (Blair, 2008).

On 11 August 2008, US Ambassador at UN Zalmay Khalilzad mentioned that the Russian Federation has expanded the boundaries of the conflict: “This is completely unacceptable and crosses a line. Moscow "is on the wrong side here" and risks damaging its ties with Washington and the West. The days of overthrowing leaders by military means in Europe -- those days are gone” (CNN, 2008).

On 8 August 2008, the Russian representative at the Security Council declared that it was Georgia who refused to resolve the conflict through diplomacy and chose intervention in South Ossetia. At that time a Georgian diplomat charged Russia with the pre-planned military invasion. The Russian response was that Georgian aggression was against the fundamental principles of the UN Charter, in particular, against the principle of the prohibition of the use of force. The Russian representative was continuously trying to assure the Security Council that the Georgian side violated international law.

The Security Council maintains the position that humanitarian intervention is allowed only after primary authorization of it. The official representative from UK mentioned that humanitarian aid shouldn't be used as the explanation for foreign military forces in Georgia. (U.N. SCOR, 63d Sess., 5952d mtg. at. 2, U.N. Doc. S/PV.5952, 2008).

Correspondingly, the response of the international community to the Russian aggression against the territorial integrity of Georgia was unanimous - Georgia became a victim of the imperial ambitions of a neighboring state.

Invasion of Russian Federation in South Ossetia from the point of view of International Law

The primary aim of the UN charter is enshrined in its preamble: “to save succeeding generations from the scourge of war... to establish conditions under which justice and respect for the obligations arising from treaties and other sources of international law can be maintained..” (UN Charter, 1945, Preamble).

To attain these goals the charter prohibits “the threat or use of force and calls on all Members to respect the sovereignty, territorial integrity and political independence of other States”(UN Charter, 1945, Article 2(4)). There are 2 exceptions from this rule: the use of force by the primary authorization of the Security Council (UN Charter, 1945, Article 42) and the right of individual and collective self-defense, when an assault is conducted against a UN member state and the Security Council takes adequate measures to protect international peace and security (UN Charter, 1945, Article 51). The International Court of Justice (ICJ), in a case of Military and Paramilitary Activities in and against Nicaragua, mentioned that unilateral humanitarian intervention is unlawful and assessing the US activities in Nicaragua, emphasized: “while the US is trying to explain the use of force in the context of the protection of human rights – the use of force is not the adequate method to protect human rights” (ICC, Military and Paramilitary Activities, 1986).

Pursuant to the fact that the UN charter strictly emphasizes the principle of the protection of state sovereignty, it is extremely difficult to justify unilateral humanitarian intervention.

During the Second World War, the majority of acts of humanitarian intervention were conducted under the right to self-defense and the states which used such argument had been subject to fierce criticism, since it had nothing in common with the right to protect human rights. Since 1990, the situation has slightly changed; The UN Security Council justified an act of

humanitarian intervention in Somalia (23. S.C. Res. 794, U.N. Doc. S/RES/794, December 3, 1992) and Sierra Leone (28, S.C. Res. 1270, U.N. Doc. S/RES/1270, October 22, 1999) when these countries were so called “failed states”. In another case in a similar situation, e.g. in Liberia and Central African Republic, Security Council issued only a retroactive authorization, which means that conflict was already present. The Russian Federation, justifying its activities in South Ossetia based on the right to protect human rights, was trying to assure the Security Council that Russia was the only state who could protect Ossetians from Georgian aggression. Furthermore, Russia considered that it had the right to self-defense since Russian citizens were residing in South Ossetia.

The abovementioned argument of the Russian Federation cannot be justified using the right to self-defense. In the case *Nicaragua v. USA* (Supra note at 17), the ICJ emphasized that using the right of individual self-defense shall be based on the reciprocal activities of states who are the direct victims of the conflict. None of the evidence reveals that Georgian troops crossed the border of South Ossetia and entered to the North Ossetia, correspondingly, Russian argumentation about the right to use self-defense is unfounded. Furthermore, it is more difficult to justify the Russian invasion in Gori pursuant to the Sochi Agreement (Supra note at 7), since UN charter states that it is primary obligation of all states to respect of another state’s territorial integrity and refrain from invading another state (UN Charter, 1945, article 103). Correspondingly, Russian activities in South Ossetia under the argument of self-defense is a violation of international law. The Russian Federation never asked the Security Council for the authorization to conduct an invasion in South Ossetia. The argument, that the decision of the military alliance to conduct an operation is more substantiated than a unilateral decision to invade another state.

Antonio Cassese, the first president of the International Criminal Tribunal of Former Yugoslavia (ICTY) suggested creating “certain strict requirements”, which must be followed in case of using force, when the Security Council, in practice, would be dysfunctional after using a right of veto apart from one of the states. Cassese underlined: “in combination with other sensitive issues, collective reaction is necessary on the activities of killing people, which is serious crime against mankind”(Cassese, 1999, pp. 791-792, 798). The idea of multilateralism is defended in this case, since in cases of intervention by

several states (together) in another state, the likelihood of the violation of international law is less likely. Correspondingly, according to Cassese, Russian intervention in South Ossetia didn't suffice the criteria of collective reaction of states.

Furthermore, even in this case, Russia would have had to prove that widespread violation of human rights occurred on the territory of South Ossetia, - the use of force would have been the last measure, correspondingly, Russia should have taken all measures to deescalate the situation (e.g. Russia should have applied to the UN and to other states in order to deescalate the conflict). Russia completely ignored the abovementioned fact, furthermore, arises the grounded suspicion that Russia was waiting for the right moment to invade Georgia. Correspondingly, it is needless to say that Russia exhausted all alternative measures to resolve the conflict (Rukhadze, 2009, p.53). The use of force unilaterally, without any kind of cooperation with other states or international organizations is against the article 2(4) of the UN charter. Additionally, those who intervene in another state with the argument of protection of human rights, instigate hostilities and lastly, are trying to conduct military aggression (Goodman, 2006, pp. 107-109).

Conclusion

In conclusion, it should be emphasized that pursuant to the aforementioned line of reasoning, the Russian Federation violated international law, when it conducted an unauthorized humanitarian intervention in South Ossetia, since, first – as the party of the conflict, Russian Federation refused to deescalate the conflict and conversely, invaded in the territory of another state; second – while conducting an military operation, the Russian Federation crossed the border of the conflict and bombed other regions of Georgia (e.g. town of Gori), correspondingly didn't comply to the proportionality principle; the third – there was a lack of evidence that systematic and widespread human rights violations took place in South Ossetia; and fourth – when the state conducts humanitarian intervention, the place where the intervention is held should not be the part of the economic or political interest of that state. In this line of reasoning it must be emphasized that Russia intentionally violated the territorial integrity of

Georgia. This argument is backed by the statement of Russian president Dmitri Medvedev in Washington in November 2008 at the foreign relations council when he outlined that one of the priorities of foreign policy of Russian Federation is to protect its interest in post-soviet states.

International law is designed to regulate the relationships between states which is based on the principle of sovereignty and protection of the international legal rules. Correspondingly, it aspires to protect and strengthen the stability of the “state system” (the relationship between sovereign states). While Humanitarian intervention is infringing on stability after the act of invasion by one state to another countries territory and creates very dangerous precedent, since if other states use the same methods in their activities, - widespread chaos will be inevitable in international relations. Correspondingly, humanitarian intervention is undermining the fundamental principle of international law – prohibition of the use of force.

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Perspectives of Mediation Legislation Development in Georgia

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The purpose of this article is to outline the development, use and legal perspective of mediation in Georgia and to consider that in the context of the implementation of the EU Mediation Directive 2008/52/EC among member states. It outlines the benefits/reasons for mediation legislation as provided for through the EU Mediation Directive 2008/52/EC. Article considers if Georgia would benefit from a national mediation law, and if so what such a law might include. Alternative dispute resolution development is discussed in the article starting from the historical background, including current legislation.

Main research is performed for discussing the main components of EU Mediation Directive 2008/52/EC and its implementation.

The article offers recommendations for the development and promotion of mediation in Georgia. The EU Mediation Directive 2008/52/EC study determines the key provisions that have to be considered while drafting the law.

Introduction

Alternative Dispute Resolution (ADR) is defined as “*out-of-court dispute resolution processes conducted by a neutral third party, excluding arbitration proper*”. [EU Green Paper on alternative dispute resolution in civil and commercial law COM (2002) 196 final 19th April 2002]. Within the ADR framework mediation can provide a cost-effective and quick extrajudicial resolution of disputes in civil and commercial matters through processes tailored to the needs of the parties. [Directive 2008/52/EC of the European Parliament and of the Council on certain aspects of mediation in civil and commercial matters dated 21st May 2008 (the EU Mediation Directive)].

The purpose of this article is to outline the development, use and legal perspective of mediation in Georgia, and to consider that in the context of the implementation of the EU Mediation Directive among member states. It will outline the benefits / reasons for mediation legislation as provided for through the EU Mediation Directive. It will consider if Georgia would benefit from a national mediation law, and if so what such a law might include. The article makes other recommendations for the development and promotion of mediation in Georgia.

Bilateral trade between Georgia and the European Union has grown fast, whereas in 2005 total trade was € 0.96 billion in 2015 it was € 2.59 billion. In 2014, the EU and Georgia entered into an Association Agreement which aimed to deepen political and economic relations, with Georgia benefiting from easier access to the EU market and new trading opportunities. Expanding the trade market means increased number of commercial disputes between two parties.

In both domestic and international trade commercial disputes can arise from many different reasons. When disputes involve individuals or organisations based in different countries, those involved are often confronted with an array of complex issues in various jurisdictions. The majority of commercial problems are routinely settled through negotiation. When negotiation does not work, the parties may elect to mediate. Mediation is more likely to be successful because it introduces the new dynamic of the mediator’s skills. Mediation uses a tried and tested process, which does work. If the parties

trust the mediator with confidential information, he is in a unique position to assess if there is a zone of agreement, and guide the parties to it.

According to an EU-funded study, the time wasted by not using mediation prior to court in disputes in the EU is estimated at an average of between 331 and 446 extra days, with extra legal costs ranging from € 12, 471 to € 13, 738 per dispute. [The Cost of Non ADR: Surveying and Showing the Actual Costs of Intra-Community Commercial Litigation 9th June 2010].

To help build trust and encourage the use of mediation in cross border disputes, on 21st May 2008, the European Parliament adopted Directive 2008/52/EC on certain aspects of mediation in civil and commercial matters. The objective of the EU Mediation Directive is to promote amicable settlement of cross- border disputes by encouraging the use of mediation, to ensure that parties having recourse to mediation can rely on a predictable legal framework, and ensure a balanced relationship between mediation and judicial proceedings.

Development of mediation in Georgia

ADR sits well in Georgian history. Over the centuries, conciliation was used in various forms. Article 60 of the document “Georgian Customary Law”, dated on 19th century, mentions “judging mediators”. The number of mediators could be between 2 to a maximum 6, and they were appointed by the decree of the King, in order to arrive at a decision about a disputed matter. Later in the era of Russian influence, mediators was appointed by the parties, and when the parties arrived at a made a written agreement they could apply to the court for approval of the agreement. (Davitashvili Giorgi, Court Organization and Procedure in Georgian Customary Law”, Tbilisi University Publishing, Tbilisi, 2004, page 13).

Twenty First Century Georgia does not have a stand-alone Mediation Law, but the Civil Procedural Code of Georgia (“the Code”) provides mediation provisions. Amendments effective from 1st January 2012 to Chapter 21 of the Code made provision for “Court Mediation”. According to article 187¹ after application to the court, mediation can be used in the following types of disputes:

- a) Family (however, on the basis of public policy disputes involving adoption and parental rights are not suitable for mediation).
- b) Inheritance.
- c) Neighbourhood.

In addition, with the parties consent, any dispute can be referred to mediation at any stage of the court procedure.

The mediator is defined as a physical person or legal entity. Eligibility to act as mediator (for judges) is prescribed on the grounds of not being an interested party, or being a party itself, not being involved in that case, and not being a relative of a party, or its representatives. However, the Code does not set out how procedural issues in terms of eligibility to mediate will be determined.

The period of Court Mediation is 45 days, and requires the disputing parties to participate in not less than 2 mediation meetings. The parties can agree to extend the mediation period to more than 45 days. The Code requires parties to participate in mediation, and if without reasonable excuse a party does not participate certain sanctions will be imposed, for example payment of a fine and accruing liability for court fees irrespective of winning or losing subsequent litigation.

The Code also assists the parties at the conclusion of Court Mediation, envisaging mechanisms whereby an amicable mediation agreement is subject to recognition and enforcement by the trial judge.

The Code also has confidentiality provisions. The Court Mediation process is confidential and absent the parties consent the Code prohibits the subsequent use of information disclosed in mediation in any subsequent litigation. (Civil Procedural Code of Georgia, adopted in 14/11/1997, in force from 15/05/1999, Chapter 21¹ –adopted in 20/12/2011, in force from 01/01/2012).

Beside Court Mediation, Georgian legislation recognizes other types of mediation as well. One such is Medical Mediation. State Service Centre of Health Insurance Mediation was established in 2008, and deals with health insurance disputes. In 2012, the Health Care Law was amended; defining the

meaning of medical mediation and the State Mediation Service Centre was established (Georgian Law of Health Care adopted in 10th December 1997).

Besides Medical Mediation, Georgian legislation allows for Notarial Mediation according to the Law of Notary (Georgian Law about Notary, adopted on 4th December 2009, and in force from 1st April 2010). According to the law, a Notary is granted authority from the state to act as a mediator. Article 38¹ defines the cases when Notary can mediate, and the disputed matters are the same as court case mediation cases.

According the decree of the Head of the Revenue Service of Georgia #766 (adopted in 25th January 2012) revenue service mediation council procedural rules were approved. This decree defined alternative dispute resolution possibilities and associated procedural issues in tax disputes.

According to the Labour Code of Georgia (adopted on 17th December 2010, and in force from 27th December 2010), article 47, individual or collective labour disputes can be settled with conciliation procedures and / or the court or arbitration.

EU Mediation Directive

EU Mediation Directive applies to cross-border disputes of a civil or commercial nature, voluntarily, to reach an amicable settlement to the dispute with the assistance of a mediator. It does not cover revenue, customs or administrative matters, or disputes involving the liability of the State, nor to those areas of family law where the parties do not have a choice of applicable law. However if we consider the term “cross-border disputes” in a boarder sense, the EU Mediation Directive's articles on confidentiality can also be used in purely internal situation, but become international as well at the judicial proceedings stage.

The EU Mediation Directive has the following components: Objective and scope, quality of mediation, courts and mediation, enforceability of agreements resulting from mediation, confidentiality, effect of mediation on limitation and prescription periods, information on mediation. The key issues of EU Mediation Directive are the use of voluntary codes of conduct

for mediators and quality control mechanisms, as well as acknowledgement that judges have the right to invite parties to attempt mediation. One of the main aims of the EU Mediation Directive is that mediated agreement will be enforced as court judgment. Article 6 of the EU Mediation Directive needs the “explicit consent” of all parties for enforceability to be recognised by a court. The EU Mediation Directive also aims to ensure that mediations take place confidentially and that information given or submissions made by any party during mediation cannot be used against that party in subsequent judicial proceedings if the mediation fails.

Beyond the EU Mediation Directive

Mediation is successful with reported settlement rates of over 70% to 90%. [CEDR Mediator Audit. A survey of commercial mediator attitudes and experience 15th May 2012]. Mediation is cost-efficient and fast, it is a process which helps to preserve good business / working relationships and which relieves the stress involved in court proceedings. Dispute the multiple and proven benefits and the EU Mediation Directive, the ‘EU Mediation Paradox’ is that the uptake of mediation in the EU is considered disappointing, and in civil and commercial matters it is used in less than 1% of disputes. A significant number of mediation experts believe that the only way that mediation will become endemic in the EU is by the introducing a ‘mitigated’ form of mandatory mediation. [European Parliament Study ‘Rebooting’ the mediation directive: Assessing the limited impact of its implementation and proposing measures to increase the number of mediations in the EU (2014). ISBN: 978-92-823-5269-4].

Whereas the EU Mediation Directive provides only for voluntary mediation, it does not prejudice national legislation making the use of mediation compulsory, provided that such legislation does not prevent parties from access to the judicial system. Compulsory or mandatory mediation can have different flavours. One is where there is an automatic entitlement to refer certain matters to mediation as a prerequisite to commencing proceedings. Another is where judges not only have the power to adjourn legal proceedings to allow the parties to engage in mediation, but have the power to refer parties to mediation with or without the parties’ consent on a case-by-case basis.

The concept of mandatory mediation is controversial for two main reasons. The first is that *“compulsion of ADR would be regarded as an unacceptable constraint on the right of access to the court”*. The second is that courts are reluctant to compel parties intransigently opposed to ADR to mediation believing it would *“achieve nothing except to add to the costs to be borne by the parties, possibly postpone the time when the court determines the dispute and damage the perceived effectiveness of the ADR process”*. Halsey -v- Milton Keynes General NHS Trust [2004] EWCA Civ 576

It is however to be remembered that mediation is not a ‘poorer alternative’ or ‘second class’ justice and compulsion to mediate is not compulsion to compromise the dispute. Notwithstanding compulsion, settlement rate statistics from some mandatory schemes in Australia and Singapore offer the prospect that such a referral to mediation does not inhibit settlement. [Mandatory Mediation. LC Paper No. CB (2)1574/01-02(01)]

In addition to mandatory mediation, it is possible for courts to create an environment which encourages parties to mediate. For example, by denying a winning party its costs on the grounds that it had unreasonably refused to mediate. [PGF II SA -v- OMFS Company 1 Ltd., [2012] EWCA Civ 1288] In addition, the courts can support any contractual agreement by the parties to use mediation as a condition precedent to commencing proceedings where there is a *“sufficiently certain and unequivocal commitment to commence a process, from which may be discerned what steps each party is required to take to put the process in place and which is sufficiently clearly defined”*. [Wah (Aka Alan Tang) and another -v- Grant Thornton International Ltd and others [2012] EWHC 3198 (Ch)]

Mediation can be encouraged by contract. The ICC offers four alternative model mediation clauses to parties wishing to use mediation conducted under the ICC Mediation Rules. The default position is that arbitral, judicial or similar proceedings may be commenced in parallel with proceedings under the ICC Mediation Rules. However, it is open to the parties’ to incorporate into their contract an option which requires them to first refer a dispute to ICC mediation and it is only after an agreed period of time has elapsed that the parties can proceed to a final determination.

Mediation can be encouraged by legal professionals, for example by lawyers providing clients with information so that they are in a position to make

informed decisions about the dispute resolution options available to them. The EU Mediation Directive provides that member states shall make available information on how to contact mediators and mediation services providers. The draft Irish Mediation Bill goes further and requires solicitors and barristers to advise parties to disputes to consider utilising mediation as a means of resolving them. Mediation does not deny parties the right to arbitrate or litigate and information and knowledge can alter the perception of the courts as the first and only resort for dispute resolution.

Mediation Law of Georgia

Bearing in mind Georgia's culture and legislative priorities, it is recommended that Georgia considers the creation of a specific law on mediation. Existing legislation will promote the use of mediation.

Although the EU Mediation Directive is not binding for Georgia, it is an important reference framework which we should consider when it discusses mediation legislation and interpretation of mediation rules.

Some of the EU Mediation Directive articles can be considered as statements of intent, for example article 4 on ensuring the quality of mediation, whereas some articles contain concrete and hard rules to be implemented, for example article 6 on the enforceability of settlement agreements and article 7 on confidentiality.

Usually an agreement resulting from a successful mediation is only enforceable as a contract, requiring court proceedings to enforce it if breached. For many businessmen, one of the key benefits of the EU Mediation Directive is that with their consent the national courts can transform a mediation settlement agreement into a 'mediation settlement enforcement order', which may then be recognised and enforced in all other member states (a sort of mini 1958 New York Convention for mediation settlement agreements). This should be a key provision of any Georgian mediation law, as it would encourage confidence in cross border trade. The practical way to deal with this in cross border settlement agreements is for an enforceability clause to be drafted in the mediation settlement agreement.

Georgia's consideration of mediation law could include the different facets of international mediation law in the widest sense, including issues not directly dealt with by the EU Mediation Directive, for example accreditation of mediators, liability of mediators or the regulation of mediation service providers. Although lawyers sell professional services, they are not business people in the purist sense of the word. Party autonomy should allow business people to have access to suitably trained mediators who are professionals with qualifications other than the law. Competent mediators should not be disqualified from accreditation or eligibility based on professional background or nationality.

The purpose of accreditation of mediators is to ensure that mediation professionals and mediation service providers demonstrate a minimum level of competency standards for mediation users. Currently Georgia has only 17 court mediators, which are accredited by CEDR (Centre for Effective Dispute Resolution), the Supreme Council of Justice of Georgia and the Supreme School of Justice of Georgia. It is expected that accredited mediators can demonstrate awareness and knowledge of general dispute resolution, competent use of the mediation process and have other essential mediation skills such as being able to help the parties craft a durable mediation settlement agreement.

Other organisations, for example the Chartered Institute of Arbitrators, has a Pathways Programme in Mediation which covers the basic principles of mediation, skills based training, law of obligations and mediation theory.

Accreditation and training of Georgian mediators exclusively using internationally recognized organisations should be considered an important, but interim way of working. By its nature it is almost inevitable that such accreditation is based on evaluation using English language. For mediation to become part of the culture of dispute resolution in Georgia, mediation accreditation and training should be by Georgian mediators and in Georgian language.

To promote and support high standards by mediators and mediation service providers Georgia could have a "Mediation Standards Board". Part of the "Mediation Standards Board" remit would be to generate and uphold approval standards, use these to oversee the quality application of mediation training and the quality standards of mediation service providers, and maintain a register of nationally accredited mediators.

One of the recommendation, that the law might consider is establishing a Georgian Organisation of Mediators, in order to unite mediators to achieve the general purposes relating to development of mediation in Georgia. Proposed key objectives of the Georgian Organisation of Mediators will be:

- After evaluation of international codes such as the European Code of Conduct for Mediators, approve and maintain a Professional Ethics Code of Conduct for Mediators;
- Assess and accredit mediators as being competent to practice in Georgia and to issue a certificate of appropriate training in mediation;
- Maintain a panel of competent professional mediators (the “Mediation Panel”);
- Help members understand the nature of conflict in business relationships and become more aware of the opportunities that exist for conflict resolution;
- Encourage best practice in the way that members approach mediation and keep members aware of the latest developments in mediation;
- Provide a forum/network to discuss matters relating to mediation and learn from each other;
- Publish papers in relevant journals and at appropriate conferences;
- Liaise with appropriate international mediation bodies and committees;
- Provide a central source of links and information related to mediation.

Some more key aspects must be considered while developing the law: mediation support mechanisms within and outside court, procedural issues of mediation, and mediator’s code of conduct, mediator fees and court fees, confidentiality issues, enforcement of mediated settlements.

Law has to set incentives for mediation, such as lower costs, shorter process, assurance of confidentiality, informality of the process, more control by the parties. Judges play a significant role in the court-connected mediations. Judges shall inform parties about the benefits of mediation and encourage them to mediate. Law can determine appropriate cases for mediation, but judges have to be entitled to select some on their own. Key factors affecting the choice of dispute resolution process can be assessed through three categories: a) goals, b) facilitating features, c) impediments (Frank E.A.Sander and Lukasz Rozdeiczer “Matching Cases and Dispute Resolution Procedures; Detailed Analysis and

Mediation-Centered Approach”, 11 Harvard Negotiation Law Review, Spring 2006).

The Georgian Chamber of Commerce has the remit to develop and further the interests of companies and businesses in Georgia, and is an organisation whose members are local operating and international companies. One more recommendation for legal framework would be that the Georgian Chamber of Commerce could develop ‘boilerplate’ mediation clauses which the parties could incorporate into their contracts. The mediation clauses would provide that where the contract was between Georgian parties the mediator would be Georgian and the where the parties where from different countries the nationality of the mediator would be different.

Conclusion

Despite the helpful and progressive amendments to the Civil Procedural Code of Georgia providing mediation provisions, mediation is not yet part of Georgian commercial culture.

Bearing in mind Georgia’s culture and legislative priorities, it is recommended that Georgia considers the creation of a specific law on mediation. It has to take emphasis on following issues: quality of mediation, court role in mediation process, enforceability of negotiated agreements, confidentiality, codes of conduct of mediators and accreditation of mediators. Georgian Organisation of Mediators can play a key role in development of mediation in Georgia, by establishing the platform of appropriate trainings for mediators and developing the network for discussing best practice.

As discussed, there are several ways of encouragement of mediation, where judges and lawyers play are the key contributors. Georgian Chamber of Commerce can play significant role with developing “boilerplate” clauses that will be beneficial for parties.

Law has to determine the border between voluntary and compulsory mediation, but has to guarantee the right to access to the judicial system.

Conceptually there are two facets to the debate on overarching aims. The first is should any mediation law contain provisions in respect of mediation in domestic

disputes between Georgian parties. The second is what should any mediation law include to give non-Georgian entities confidence that Georgia is a good place to do business and a mediation friendly country.

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Public Health and Psychology

Emotional Intelligence: Way We Work

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The notion of emotional intelligence has become a scientific construct for understanding implications of behavior and adaptation of the individual to his environment. An employee commitment, together with a competent workforce seemed to be of decisive importance for a corporate to be able to compete in quality and to go along with changes. The present article is culmination of the research work, testing the awareness level of the concept of emotional intelligence, the emotional intelligence level of managers across the organizations; whether managers use emotional intelligence competencies to enhance their leadership skills and do managers recognize emotions of different stakeholders in designing their policies. This was done through a quantitative study and these constructs were operationalized by means of a pre-designed questionnaire. The correlation and regression results seem to indicate that there is an awareness of emotional competencies among managers, managers have moderate level of emotional intelligence and they use these competencies to enhance their leadership skills.

Introduction

Emotions are an important part of life, which seriously affect all aspects of life. Almost in every experience there is an affectionate emotional aspect and managing them can have a significant role in general health and particular emotional health. Paying attention to emotions, using them in human relationship, understanding one self and others emotions, self-restraint, controlling instantaneous desires, sympathy with others, and using emotions in thinking and understanding are among subjects discussed in the field of emotional intelligence. Most professionals believe that emotional intelligence is one of the newest innovations of human to understand the relationship of thinking and emotions. The main reason to pay attention to emotions and emotional intelligence is that some of the researchers search for some methods to show that there are factors other than cognitive abilities, affecting people's progress. Using emotional intelligence in various fields such as psychology, education and interpersonal communication is evidence that has developed along with cognitive intelligence.

The above characterization of emotional intelligence is clearly relevant to the study of emotions at work. There is no doubt that we often regulate our emotions at work. There is no business practice that does not involve a particular emotional content. Human beings always live in an emotional environment; everything they do comes from an emotional context and carries with it an emotional content. Moreover, the emotional content of each business practice is a pivotal factor in its effectiveness and successor lack of success. Emotional intelligence influences organizational effectiveness in a number of areas like employee recruitment and retention, performance prediction, performance management, career development, customer satisfaction, strategic planning and decision making, sales, team work, marketing, learning, development of talent, organizational culture and morale.

The study was conducted to find out awareness level of emotional intelligence among managers, to find out if managers recognize emotions of multiple constituents and attend them in designing organization policies, to find out if managers use emotional intelligence competencies to enhance their leadership skills and to identify manager's emotional intelligence level.

Emotion Or Feeling

The biologist Charles Birch (1995) said, "Feelings are what matter the most in life". Whether it matters the most is contentious, but it certainly is essential. The terms feelings and emotions are generally used interchangeably, and as Wierzbicka (1999) observes certain languages (French, German, Russian) do not have an equivalent term for the English word emotion. But, there are certain crucial differences between feelings and emotions. A feeling can be a physical sensation, which is experienced, like a flushed face, or a knot in our stomach or a general feeling of unease that could be due to an emotion (Caruso, 2008). One can speak about a feeling of hunger and not an emotion of hunger. When asked to list a few emotions, one would say happiness, sadness, guilt etc. So, are feelings more appropriate to bodily or physical responses and emotions to thought? In that case what does the individual mean when he/she expresses a feeling of loneliness? Is that related to thought or a physical experience? It seems more appropriate to accept that the word emotion combines in its meaning a reference to feeling, a reference to thinking and a reference to human body (Wierzbicka, 1999). Thus, when we use the word emotions, we combine the qualities of all the three – feeling, thinking and physical experience. Many psychologists also prefer the word emotion over feeling because somehow emotion appears more objective than feeling (Wierzbicka, 1999), and it is easier to scientifically, logically analyze something that is objective than that which is subjective. If intelligence is thinking and rationalizing, and emotions combine the quality of thinking along with feeling, then can it be surmised that emotions too can be analyzed and assessed like any other intelligence? This is the premise of the theory of emotional intelligence, which emphasizes on the importance of emotional regulation and emotional management in an individual's life.

Intelligence And Emotions Converge

For centuries Western thought has situated reason and emotion at opposite ends of a paradigm. Matthews, Zeidner, and Roberts (2002) wrote that the hybrid term 'emotional intelligence', combining emotion and intelligence, could well be considered an oxymoron by some and that the relationship between the two has traditionally been viewed as one involving a conflict between two different psychological forces.

Mayer (2001) examined the psychological activities of the past century and defined the emergence of emotional intelligence into five time periods: separate narrow fields, precursors to emotional intelligence, emergence of emotional

intelligence, popularization and broadening of emotional intelligence, and research and institutionalization of emotional intelligence. It can be noted that the two concepts, emotions and intelligence, were contained in separate domains, and that the convergence of the two is a recent activity. Examination of the interaction did not begin until the 1970s. A summary and adaptation of Mayer (2001) is as under:

<p>1900-1969 <i>Intelligence and Emotions as Separate Narrow Fields</i></p>	<p style="text-align: center;">Intelligence Research</p> <p>Psychometric approach to intelligence is developed and refined</p> <p style="text-align: center;">Emotions Research</p> <p>Debate which happens first: physiological reaction or emotion</p> <p>Movement from Darwin’s theory for heritability and evolution of emotional responses to now being viewed as culturally determined</p> <p>Social Intelligence (Thorndike, 1920) as concept is introduced</p>
<p>1970-1989 <i>Precursors to emotional intelligence</i></p>	<p>The field of cognition and affect emerged to examine how emotions interacted with thoughts. Gardner (1983) theory of multiple intelligences described an intrapersonal intelligence and an interpersonal intelligence.</p> <p>Empirical work on social intelligence developed four components: social skills, empathy skills, prosocial attitudes, and emotionality (sensitivity).</p> <p>Brain research began to separate out connection between emotion and cognition.</p> <p>Occasional use of emotional intelligence appeared.</p>
<p>1990-1993 <i>The emergence of emotional intelligence</i></p>	<p>Mayer and Salovey publish a series of articles on emotional intelligence.</p> <p>First ability measure of emotional intelligence published.</p> <p>Editor of the journal <i>Intelligence</i> argued for an existence of emotional intelligence.</p> <p>Further developments for emotional intelligence in the brain sciences.</p>

<p>1994-1997 <i>The popularization and broadening</i></p>	<p>Goleman (1995) publishes Emotional Intelligence, which becomes worldwide bestseller. Time magazine used the term “EQ” on its cover (Gibbs, 1995, October 2). Measures of emotional intelligence using mixed model theories were published.</p>
<p>1998-Present <i>Research on the institutionalization of emotional intelligence</i></p>	<p>Refinements to the concept of emotional intelligence. New measures of emotional intelligence introduced. Appearance of peer-reviewed articles on the subject.</p>

Five Periods of Development in Emotions and Intelligence in Past Century

As research in the areas of emotions and intelligence abounded, a need to unify research in the areas of physiological, developmental, cognitive, linguistic, and socially oriented findings seemed to point towards the unifying of the two underlying frameworks developed within the fields of emotions and intelligence. Salovey and Pizarro (2003) indicate that "the emotional intelligence was introduced, in part, as a response this growing but scattered body of research findings."

The Intelligence Of Emotions

Emotional intelligence origins can be found in the study of emotion. For example, Leeper (1948) presents a provocative treatise about the historical and cultural influences on the, then, popular view of emotions as irrational or "disorganized responses." He argues this view and presents a theory of emotion where "emotional processes [operate] primarily (to) arouse, sustain, and direct mental activity" (Leeper, 1948, p. 17). The theory postulates emotion assisting cognitive faculties in knowing what is of immediate importance to the individual and facilitating mental processes. Leeper argues that these adaptive emotional processes are critical to the overall well being of the individual and should be developed.

Mowrer (1960) has written an informative book, *Learning Theory and Behavior*, which appears to be a reaction to the dogma of traditional behaviorism. Mowrer views living organisms making two different kinds of reactions: (a) overt, behavioral, and instrumental responses and (b) emotional responses. The function of the overt behavioral responses is to control what happens – to prevent (avoid) undesirable happenings and to insure, or at least, encourage, desirable ones. The function of emotions is to help individuals know what to expect and to prepare for appropriate action. According to Mowrer, emotions provide knowledge of the external world as they register, record, accept what is out there and play a vital role in instigating, guiding, and directing behavior. Mowrer denounces radical behaviorism and views emotions as having a central importance to learning and behavior modification and control.

Robert Solomon's (1976, 1989) theory of emotion builds on the thinking of Leeper (1948) and Mowrer (1960). In his theory, emotions constitute evaluative judgments about the circumstances the individual is faced with. Every value or everything meaningful as well as everything vile, offensive, or painful comes to people's lives through their emotions which are part of the individual's system of judgments. Emotion judgments, according to Solomon (1989), are rational and purposive and are a part of a system of judgments, which include cognitive judgments.

The idea of emotions as intelligent or conveying intelligence continues over time in the literature. For example, Wayne Payne (1985), one of the early writers to use the term "emotional intelligence," presents a guidebook or a theoretical and philosophical framework for understanding the nature and characteristics of emotion and emotional intelligence. The guidebook also describes how one can cultivate the abilities of emotional intelligence. According to Payne, emotional intelligence works in concert with intellectual intelligence helping the individual adapt to his or her environment. Payne defines intelligence as "the faculty of understanding; the capacity for understanding, reasoning, and gaining insight; aptitude in grasping facts, meanings, truths, relationships etc.; aptitude for solving problems." He then applies the definition to the realm of emotion, as facts are feelings and the "meanings are felt meanings, the truths are emotional truths; the relationships are interpersonal relationships" and the aptitudes are those for solving emotional problems or challenges.

What Is Emotional Intelligence?

Mayer and Salovey defined emotional intelligence as "the ability to perceive and express emotion, assimilate emotion in thought, understand and reason with emotion, and regulate emotion in self and others" (1997, p. 401). This concept emphasizes the importance of self-awareness and the ability to re-evaluate and balance a person's intellect and emotion within a typical daily life. Zeidner, Matthews and Roberts (2004) summarized emotional intelligence as "a mélange of competencies and general dispositions for adaptive personal functioning and coping with environmental demands" (p. 375). Emotional intelligence is related to "emotion, motivation, personality traits, temperament, character, and social skills" (Zeidner et al., 2004, p. 375).

Goleman has published best sellers on emotional intelligence (1995, 1998). He suggested that emotional intelligence is composed of self-awareness, self-management, social awareness and social management (1998). Hence, emotional intelligence allows individuals to not only recognize their own emotions in and outside of strictly intellectual situations, but also to recognize the emotions of others. As people understand their emotions and those of others, they are then able to better control and/or regulate those emotions.

Zeidner, Matthews and Roberts (2004) stated that emotional intelligence "designates the potential to become skilled at learning certain emotional responses that can determine a person's potential for learning practical job-related emotional and social skills" (p. 377). The ability to emotionally gauge oneself and one's coworkers fosters the necessary social skills to succeed in a professional context. Emotional intelligence helps create a positive sense of well-being and thereby enhanced performance outcomes (Druskat, Sala & Mount, 2005).

Goleman, Boyatzis and McKee (2002) emphasized that leaders should lead with emotional intelligence. In their National bestseller, *Primal Leadership*, they focused on two competence of emotional intelligence: personal competence and social competence. They suggested that personal competence shapes how individuals manage themselves while social competence determines how they manage others and relationships. Boyatzis and McKee (2005) continued their research on primal leadership, showing

how leaders can create resonance in their relationships, their teams, and their organizations. They pointed out that great leaders are emotionally intelligent and they are awake, aware, and attuned to themselves, to others, and to the world around them. They commit to their beliefs, stand strong in their values, and live full, passionate lives (Goleman, Boyatzis & McKee, 2002).

Emotional intelligence plays a large role in shaping individuals. Goleman (1998) explained that emotional intelligence creates passion, confidence, friendliness, motivation, pride, and energy in individuals.

The ability to transmit these same emotions to others offers emotionally intelligent people advantages over others in interpersonal and organizational contexts. Zeidner, Matthews and Roberts claimed that people of higher emotional intelligence succeed at communicating their goals, ideas, and intentions in more interesting and assertive manners. They suggested that emotional intelligence is related to the social skills necessary for teamwork. Together, these abilities contribute to a satisfying personal and professional life. This study focused on the most popular dimensions proposed by (Salovey and Mayer, 1990). In this section a brief review and definitions of these three dimensions of emotional intelligence are presented.

Salovey and Mayer (1997) defined emotional intelligence as "the subset of social intelligence that involves the ability to monitor one's own and others' feelings and emotions, to discriminate among them and to use this information to guide one's thinking and actions". Later on, they refined and defined emotional intelligence as "the ability to perceive emotions, to access and generate emotions so as to assist thoughts, to understand emotions and emotional knowledge, and to reflectively regulate emotions so as to promote emotional and intellectual growth" (Salovey & Mayer, 1990). A key construct in their definition that needed to explain is "emotions". According to Van and Kunda (1989) emotions are "ineffable feelings of the self-referential sort", and are comprehensively defined as "self-referential feelings an actor (employee) experiences or, at least, claims to experience in regard to the performances he or she brings off in the social world". States of feeling refer to basic emotions (e.g. joy, love, anger) and social emotions (e.g. shame, guilt,

jealousy, envy), as well as to related constructs as affect, sentiments and moods.

Why Emotional Intelligence Is Important

It seems obvious that emotions are important and that they play a critical role in our lives. After all, emotions are integral to healthy and successful personal relationships. At work, however, there seems to be general recognition that we need to have greater control over our emotions when we punch the time clock.

This view of emotions and work is common, and in our view, incorrect. We cannot check our emotions at the door, because emotions and thoughts are linked and cannot, and should not be separated. Emotions influence both what we think about, and how we think. Decisions made "unemotionally" simply do not exist, and we are fooling ourselves if we proceed otherwise.

Emotions are critically important to our success and to our very survival. There are many reasons for this. First, emotions contain data and information about us, other people, and the world around us. Second, emotions assist us in thinking and decision making. Third, emotions are not chaotic, they can be understood and predicted and often follow certain rules or patterns. And fourth, because emotions contain data, we must remain open to our emotions, no matter how uncomfortable it may feel, and utilize these emotional data points in our thinking, decisions, and our actions.

Emotions do matter. We all recognize that even though we may have had a difficult commute or a fight with our spouse, we need to snap out of the negative mood when we sit at our desk. We are paid to do our job, and to do it professionally. Sometimes, that means dispelling nagging doubts or worries, and at other times, we can do our job better if we are in a more neutral or slightly negative mood – this can help us focus on details and find errors and problems. At other times, like when we need to do creative brainstorming, it helps if we are in a more positive, and energetic mood.

Trying to read people is not easy. Predicting how emotions change over time can be extremely difficult. There is a great deal of skill involved in managing emotion, and people differ in these abilities.

Some people are exceptional at differentiating between the forced smile of a person in distress from the genuine smile of a happy individual. Others view the forced smile and conclude that the person is feeling happy. We all know that skills vary from person to person, and emotional skills are no exception.

Leadership And Emotional Intelligence

Leadership theories related to skills and behaviors have been mainly developed at the time, in the beginning of twentieth century, when organizations were seen as rational and bureaucratic entities (Bolden et al., 2011). At that time, emotions were seen as irrational, dangerous for intelligence and intellectuality, and as a threat to standardization of work outputs, since emotions were generally seen as something to carefully manage and restrain (Bolden et al., 2011). Emotions and feelings were seen as something that gets in the way of effective decision-making processes and rationality (George, 2000). Later in the 1960's, human-relation theorists started to acknowledge the social aspects of work as well as group relationships, which led to a revised view of emotions (Bolden et al., 2011; Hughes, Ginnett and Curphy, 2012). The growing literature exploring the role of moods and emotions in organizational environments changed the view of emotions from being simply an additional factor in the leadership process to more central (George, 2000). As Bolden et al. (2011) describe the practitioner-oriented literature of management and leadership started to view emotionality as an added value for organizational performance, and leader's emotions were found to strongly influence followers' performance. According to Hughes, Ginnett and Curphy (2012) around the twenty-first century, beside the Intelligence Quotient measure (IQ), other modes of intelligence, such as practical intelligence, creative intelligence and emotional intelligence (EQ) were suggested, which opened the research field for other types of skills. Gardner (1983) conceptualized personal intelligences as comprising intrapersonal and interpersonal intelligences, which are viewed as a theoretical forerunner to the concepts of emotional literacy and emotional intelligence (Bar-On et al., 2000).

The field of social intelligence influenced Salovey and Mayer (1990) to develop the concept of emotional intelligence. They focused on the individual’s ability to understand the social environment, and argued that emotions are central for making analytical decisions. Their ability based model focuses on how emotions affect how leaders think decide, plan and act (Hughes, Ginnett and Curphy, 2012, p. 222). Other researchers, such as Daniel Goleman (1998), suggested that emotional intelligence played a more important role in workplace performance evaluation than did technical skills or IQ (Bolden, et al., 2011). His mixed-model provides broader and more comprehensive definition of emotional intelligence considering a number of other attributes (Hughes, Ginnett and Curphy, 2012, p. 224).

George (2000) viewed the emotions of a leader as a central part of the leadership process and therefore suggested that experiencing positive or negative emotions can be used to improve an individual’s cognitive processes and decision-making through directing his or her attention to important concerns (Bolden et al., 2011; George, 2000). George’s (2000) research connected emotional intelligence skills and leadership skills. She argued that five key aspects of leadership are formed from four emotional intelligence skills: 1) appraisal and expression of emotion; 2) the use of emotion to enhance cognitive processing and decision-making; 3) knowledge about and awareness of emotions; and, 4) the ability to manage emotions successfully (Bolden et al., 2011; George, 2000).

Leadership Skill	Description of Emotional Intelligence Skill
The development of collective goals and objectives	Emotional intelligence helps leaders to process potential challenges and opportunities in organization. They could also use their ability to connect followers emotionally to organizations vision.
Instill in others an appreciation of the importance of work	Emotionally intelligent leaders may sensitively manage the emotions of others to generate positive moods in them as they participate in important tasks.
Generate and maintain enthusiasm,	Leader’s ability to generate excitement requires skills in appraising the emotions of others and anticipating to the changes of moods. This

confidence, optimism, cooperation and trust	enables leaders to maintain the collective commitment to organizational goals.
Encourage flexibility in decision-making and change	Emotional intelligence helps leaders to use emotional input in decision-making. By managing emotions in a desired way, leaders are able to approach problems with flexibility, create alternative solutions, and generate enthusiasm in followers, especially in challenging organizational change situations.
Establish and maintain meaningful identity for the organization	Leaders ability to evoke affective commitment in followers through the creation of organizational culture narratives. Cultural forms and values often aim to generate emotions in followers.

Leadership skills linkage to emotional intelligence (George, 2000)

Although a significant amount of research exists on leadership and project management, the emotional intelligence aspect of leadership has been under research and is controversial (Weinberger, 2009). According to Srica (2008), 80% of projects failure is related, not to professional skill or knowledge, but to the human side of project management, i.e. lack of social intelligence, personal skills, leadership, inadequate communication and bad teamwork. Many managers have a technical background and possess an engineering mind-set meaning that they see themselves as skilful, rational and technical experts, which preferably maintain constancy (Cameron, 2009). This technical rationality means that the knowledge applied in practice is acquired from professional education and experience.

In Schön's (1983) 'Reflective Practitioner', he describes the ways in which practitioners in professional environment face challenges in their work that they cannot always solve drawing on their educational knowledge. Schön (1983) describes professional practice as foundation in unique situations with all their messy, uncertain and unpredictable features. According to Schön (1983) when reflective practitioners deal with a problem, they must step out of their training, reject the centrality of technique and understand that unique problems may take unforeseen forms. In many cases, this is also the situation in project management since project managers have to confront

uncertainty and unpredictable activities even though the framework itself holds many standardized processes. Researchers such as Winter et al. (2006) have suggested that managers' emotional competences are related to his or her skills and intuition in order to become a reflective practitioner which results in better problem-solving skills and ability to solve challenges. Therefore, it might be valuable to investigate if these emotional competences are utilized in managers' way of working, leading teams and facing unique challenges to become a reflective practitioner. Emotional intelligence might be a worthwhile concept to explore in relation to Schön's reflective practitioner framework.

The Intervention

Studies in field of emotional intelligence reveal that while emotional intelligence is a construct, which offers significant potential to account for variances in "life success", there is a need for rigorous research to underpin the assertion in an organizational setting. Research, which rigorously demonstrates the impact of emotional intelligence on success and performance in an organizational context, remains relatively uncommon. Emotions are prevalent in the workplace, but have been given relatively little attention in organizational research. Hence the present study makes an attempt to study emotional intelligence in the Mumbai corporate sector context, particularly for managerial functions using the Daniel Goleman's model.

One of the challenges in determining the value of emotional intelligence is to develop an accurate means of identifying characteristics associated with managing emotions. Taking into consideration a number of models, a four-dimension framework that incorporates the key ingredients of emotional intelligence was identified. The common themes of emotional intelligence include:

Self-Awareness	Self-Management	Social Awareness	Social Skills
<p><i>Emotional self-awareness</i>, where you are able to read and understand your emotions as well as recognize their impact on work performance and relationships;</p> <p><i>Accurate self-assessment</i>, where you are able to give a realistic evaluation of your strengths and limitations;</p> <p><i>Self-confidence</i>, where you have a positive and strong sense of one's self-worth.</p>	<p><i>Self-control</i>, which is keeping disruptive emotions and impulses under control;</p> <p><i>Transparency</i>, which is maintaining standards of honesty and integrity, managing yourself and responsibilities;</p> <p><i>Adaptability</i>, which is the flexibility in adapting to changing situations and overcoming obstacles;</p> <p><i>Achievement orientation</i>, which is the guiding drive to meet an internal standard of excellence;</p> <p><i>Initiative</i>, which is the readiness to seize opportunities and act.</p>	<p><i>Empathy</i>, which is understanding others and taking an active interest in their concerns;</p> <p><i>Organizational awareness</i>, which is the ability to read the currents of organizational life, build decision networks and navigate politics;</p> <p><i>Service orientation</i>, which is recognizing and meeting customers' needs.</p>	<p><i>Visionary leadership</i>, which is inspiring and guiding groups and individuals;</p> <p><i>Developing others</i>, which is the propensity to strengthen and support the abilities of others through feedback and guidance;</p> <p><i>Influence</i>, which is the ability to exercise a wide range of persuasive strategies with integrity, and also includes listening and sending clear, convincing and well-tuned messages;</p> <p><i>Change catalyst</i>, which is the proficiency in initiating new ideas and leading people in a new direction;</p> <p><i>Conflict management</i>, which is resolving disagreements and collaboratively developing resolutions;</p> <p><i>Building bonds</i>, which is building and maintaining relationships with others;</p> <p><i>Teamwork and collaboration</i>, which is the promotion of cooperation and building of teams.</p>

Goleman's Emotional Intelligence Model (2002)

Although still in the early stages of conceptual development, emotional intelligence has been shown to be an important skill in improving performance and increasing job satisfaction.

The Study

The sample was delimited to Managers from various manufacturing as well as service sectors including equal representation from domestic as well as MNC companies. The study was further delimited to managers of only

Mumbai corporate sector. The population consists of all the managers of the various industries in the Mumbai corporate sector. This includes managers of both domestic as well as MNC companies.

The sample of the study comprised of 780 top management level managers from manufacturing and service companies of the Indian corporate sector. A total of 52 companies were selected as the final sampling unit. Out of these 52 companies, 26 companies were of manufacturing type and 26 companies were belonging to the service sector. Out of the 26 companies of manufacturing 13 companies were domestic and rest 13 companies were MNC's and from each company 15 managers were selected.

Emotional intelligence levels and competencies will be assessed through a pre-designed Questionnaire. The areas covered by this questionnaire can be briefly summarized as follows:

a) The first part was related to finding the awareness level regarding emotional intelligence as well as its related competencies.

b) The second part consisted of a 5 point rating scale of 20 questions related to the four clusters of emotional intelligence namely self-awareness, self management, social awareness and social skills.

c) The Part 3 consists of a 5 point rating scale consisting of questions related to leadership whether managers used emotional intelligence to enhance their leadership skills.

d) The Part 4 consists of a 4 point rating scale consisting of questions related multiple constituents and how far the managers recognize emotions of multiple constituents and attend them in designing organization functions.

A Two (2) hour workshop on emotional intelligence was conducted in each company and the data was collected and analyzed quantitatively for each objective. In the present study both Descriptive Analysis as well as Inferential Analysis were used. The data was analyzed in terms of frequency and percentage. Mean and SD were computed and 't' Test and ANOVA were used as part of inferential data analysis.

Awareness level of emotional intelligence amongst managers

a) Informed Awareness - Unprompted awareness

The study proved that that nearly all managers of both Manufacturing as well as Service did not know as they were not able to name the component with no prompting.

b) Prompted awareness - Manufacturing – Service comparison

	Manufacturing	Service
Emotional Self Awareness	4%	5%
Accurate Self Assessment	2%	2%
Self Confidence	10%	9%
Self Control	8%	7%
Trustworthiness	6%	6%
Conscientiousness	3%	3%
Adaptability	5%	6%
Achievement Orientation	3%	3%
Initiative	7%	6%
Empathy	3%	5%
Organizational Awareness	5%	4%
Service Orientation	3%	3%
Developing Others	6%	5%
Leadership	8%	8%
Influence	4%	4%
Communication	8%	7%
Change Catalyst	2%	2%
Conflict management	3%	4%
Building Bonds	3%	4%
Team work & Collaboration	8%	8%
Total	100%	100%

The levels of prompted awareness varied considerably by the specific sub-competency concerned. In particular, awareness among the sample of Self-confidence competency was the most widespread in both Manufacturing and Service sector of the 20 sub-competencies covered, and awareness of Accurate Self-Assessment and Change catalyst was least widespread.

Emotional intelligence of Managers in Manufacturing and Service sector (both Domestic and MNC)

	<i>Manufacturing</i>		<i>Service</i>		<i>'t'</i>	<i>0.01</i>	<i>0.5</i>
	<i>N=26</i>	<i>SD</i>	<i>N=26</i>	<i>SD</i>			
	<i>companies</i>		<i>companies</i>		<i>value</i>		
	<i>390 managers</i>		<i>390 managers</i>				
	<i>Mean</i>	<i>SD</i>	<i>Mean</i>	<i>SD</i>			
Self Awareness	8.93	1.6	8.78	1.69	1.26	NS	NS
Self Management	16.16	2.9	16.04	2.91	0.58	NS	NS
Social Awareness	8.12	2.52	8.21	2.09	0.54	NS	NS
Social Skills	22.84	4.6	22.57	4.96	0.79	NS	NS
<i>Total EI</i>	<i>56.05</i>	<i>8.78</i>	<i>55.6</i>	<i>8.62</i>	<i>0.72</i>	<i>NS</i>	<i>NS</i>

Leadership skills – Managers in Manufacturing and Service sector (both Domestic and MNC)

	<i>Manufacturing</i>		<i>Service</i>		<i>'t'</i>	<i>0.01</i>	<i>0.5</i>
	<i>N=26</i>	<i>SD</i>	<i>N=26</i>	<i>SD</i>			
	<i>companies</i>		<i>companies</i>		<i>value</i>		
	<i>390 managers</i>		<i>390 managers</i>				
	<i>Mean</i>	<i>SD</i>	<i>Mean</i>	<i>SD</i>			
Leadership skills	13.57	4.18	13.94	3.51	1.33	NS	NS

Multiple Constituents – Emotional intelligence of Managers in Manufacturing and Service sector (both Domestic and MNC)

	<i>Manufacturing N= 26 companies (390 managers)</i>		<i>Service N= 26 companies (390 managers)</i>		<i>'t' value</i>	<i>.01</i>	<i>.05</i>
	<i>MEAN</i>	<i>SD</i>	<i>MEAN</i>	<i>SD</i>			
Employees	13.66	2.40	14.03	1.78	2.49	NS	S
Customers	10.78	1.76	10.72	1.67	0.50	NS	NS
Investors	7.97	1.68	8.12	1.52	1.30	NS	NS
Competitors	7.66	2.69	7.55	1.89	0.66	NS	NS
<i>Total</i>	<i>40.07</i>	<i>6.52</i>	<i>40.42</i>	<i>5.31</i>	<i>0.83</i>	<i>NS</i>	<i>NS</i>

Experience wise comparison using ANOVA

		<i>Sum of Squares</i>	<i>df</i>	<i>Mean Square</i>	<i>F</i>	<i>Sig.</i>
Self-Awareness	Between Groups	2.269	2	1.135	.412	.662
	Within Groups	2077.362	755	2.751		
	Total	2079.631	757			
Self-Management	Between Groups	14.249	2	7.124	.846	.430
	Within Groups	6359.515	755	8.423		
	Total	6373.764	757			
Social Awareness	Between Groups	5.039	2	2.519	.464	.629
	Within Groups	4100.412	755	5.431		
	Total	4105.451	757			
Social Skills	Between Groups	192.953	2	96.477	4.213	.015
	Within Groups	17290.251	755	22.901		
	Total	17483.204	757			
Total EI	Between Groups	345.733	2	172.866	2.279	.103
	Within Groups	57279.634	755	75.867		
	Total	57625.367	757			

Education wise comparison using ANOVA

		Sum of Squares	df	Mean Square	F	Sig.
Self-Awareness	Between Groups	20.594	2	10.297	3.776	.023
	Within Groups	2059.037	755	2.727		
	Total	2079.631	757			
Self-Management	Between Groups	32.498	2	16.249	1.935	.145
	Within Groups	6341.266	755	8.399		
	Total	6373.764	757			
Social Awareness	Between Groups	25.142	2	12.571	2.326	.098
	Within Groups	4080.309	755	5.404		
	Total	4105.451	757			
Social Skills	Between Groups	597.716	2	298.858	13.363	.000
	Within Groups	16885.489	755	22.365		
	Total	17483.204	757			
Total EI	Between Groups	1472.253	2	736.127	9.898	.000
	Within Groups	56153.113	755	74.375		
	Total	57625.367	757			

Age wise comparison using ANOVA

		Sum of Squares	df	Mean Square	F	Sig.
Self-Awareness	Between Groups	10.358	3	3.453	1.258	.288
	Within Groups	2069.272	754	2.744		
	Total	2079.631	757			
Self-Management	Between Groups	93.319	3	31.106	3.734	.011
	Within Groups	6280.445	754	8.330		
	Total	6373.764	757			
Social Awareness	Between Groups	3.766	3	1.255	.231	.875
	Within Groups	4101.685	754	5.440		
	Total	4105.451	757			
Social Skills	Between Groups	191.358	3	63.786	2.781	.040
	Within Groups	17291.847	754	22.933		
	Total	17483.204	757			
Total EI	Between Groups	680.263	3	226.754	3.002	.030
	Within Groups	56945.103	754	75.524		
	Total	57625.367	757			

Gender wise comparison

	Gender	N	Mean	Std. Devia tion	Std. Error Mean	't' value	.05	.01
Self-Awareness	Male	594	8.89	1.640	.067	0.424	NS	NS
	Female	164	8.70	1.717	.134			
Self-Management	Male	594	16.10	2.993	.123	0.141	NS	NS
	Female	164	16.02	2.550	.199			
Social Awareness	Male	594	8.18	2.128	.087	0.249	NS	NS
	Female	164	8.04	2.949	.230			
Social Skills	Male	594	22.82	4.902	.201	0.907	NS	NS
	Female	164	22.15	4.416	.345			
Total EI	Male	594	55.98	8.939	.367	1.090	NS	NS
	Female	164	54.90	7.868	.614			

Findings

Amongst the sample a strong correlation was found overall and between each of the four emotional intelligence abilities (self-awareness; self-management; social-awareness; and social skills) and leadership skills, emotions of multiple constituents were recognized in designing organization policies.

In essence what the study revealed was that most of the managers in the manufacturing sector and in the service sector not very well informed about the concept of emotional intelligence indicating the lack of awareness regarding emotional intelligence. Managers in the service sector were more informed regarding the concept of emotional intelligence in comparison to manufacturing sector. The managers of both manufacturing as well as service were not able to name the components of emotional intelligence without prompting. Since scores were mostly below average, efforts to

improve emotional intelligence among managers has to be implemented. Managers were fairly aware of the emotional intelligence however they are not capable of expressing or describing the term emotional intelligence in a verbalized way or are unable to even know that they are using it as they use. The reason behind this could be that managers are not skilled at expressing themselves and their beliefs or opinions.

The second objective in the present study concerned the measurement of managers' emotional intelligence level for both manufacturing as well as service sector including domestic and MNC company managers. Emotional intelligence concerns the degree to which you are able to repair negative moods and emotions, and maintain beneficial positive moods and emotions both within yourself and others at work. proficiency in this area is typically reflected in congenial dispositions such as genuineness, warmth, optimism and charisma. The results indicate mostly an average emotional intelligence among managers. Emotional intelligence levels for managers of both manufacturing as well as service companies did not show much difference with most of the managers in the manufacturing as well as service sector showing to have average level of emotional intelligence. Self-awareness, self-management, social skills and social management all were in the average category. It may be that managers in both types of organizations possess similar skills that prepare them for their managership positions. That is, perhaps the manager's share similar experiences overall and those experiences result in similar levels of emotional intelligence.

The overall leadership skills for manufacturing sector as well as service sector (both domestic as well as MNC) was found to be moderate with most managers in the average range closely followed by high range. Differences in emotional intelligence scores among managers by type of organization showed no significant differences. Scores indicated that the managers of these organizations were average, indicating adequate emotional capacity. It may be that managers in these companies of both the sectors possess similar skills that prepare them for their managership positions. That is, perhaps the manager's share similar experiences overall and those experiences result in similar levels of emotional intelligence.

Managers were far below the satisfactory range as far as considering emotions of multiple constituents in framing organization policies were the

concern. To be adept at an emotional competence like customer service or management of other multiple constituents requires an underlying ability in emotional intelligence fundamentals, specifically, social awareness and relationship management. However, emotional competencies are learned abilities: having social awareness or skill at managing relationship does not guarantee that one has mastered the additional learning required to handle a customer adeptly or to resolve a conflict. A person be highly empathic yet poor at handling customers if he or she has not learned competence in customer service. Although emotional intelligence determines the potential for learning the practical skills that underlie the four emotional intelligence clusters, the emotional competence shows how much of that potential one has realized by learning and mastering skills and translating intelligence into on-the-job capabilities.

For self-awareness, self-management, social awareness and total emotional intelligence there was no significant difference in the mean scores of managers having different number of years of experience. However for social skills, the difference was significant. Low emotional intelligence scores in terms of social skills can be attributed to problems with interpersonal relationships as well as difficulty changing or adapting. As the number of years of service progress, the tendency to become adjustment in particular mould becomes intense with the result that one tries to shun any external changes which might prove to be a hurdle in routine way of working to which he is accustomed.

As far as self-awareness, self-management and social awareness is there is no significant difference in the mean scores of managers having different educational qualification. For both social skills as well as total emotional intelligence there exists a difference in the mean scores of managers with different educational qualification. Improving managers' emotional intelligence would involve education and specific job-related training. Managers should also be encouraged to enhance their skills through continuous self-learning.

As far as self-awareness, social skills, social awareness and total emotional intelligence are concerned there is no significant difference in the mean scores of managers belonging to different age groups. One possible explanation could be that emotional intelligence is not a function of age and

with the advancing years it does not get strengthened. Emotions are individual and their expression and manifestation depend upon individual's profile. Managers belonging to different age groups may not remarkably differ in their emotional intelligence competencies. Emotions can be trained probably with experience and exposure.

There is no significant difference in the mean scores of emotional intelligence gender wise with respect to self-awareness, self-management, social awareness, social skills as well as total emotional intelligence. The findings indicate that women score somewhat higher on measures of emotional intelligence than men. Extensive reviews of the data on leadership and gender indicate that women leaders are devalued in comparison to their male counterparts, but especially when women employ a stereotypical male leadership style, namely an autocratic as opposed to democratic, style. If emotional intelligence plays a role in effective leadership, and if women, as a group, are higher in emotional intelligence than are men, then we need to realize that women possess a critical leadership skill.

Relevance

In so far as the management of social behavior involves the management of emotions (Hochschild, 1983), emotional intelligence has the potential to be a strong predictor of performance. Hence many organizational researchers have recently called for more focus on the role of emotions at work.

As the competition heats up and the pace of change is getting faster and the world more complex, we cannot continue doing business as usual. We need a new approach that transcends linear thinking and goes across barriers. As organizations downsize conflicts arise and undue stress is placed on every person within the organization. Extra pressure from increased workloads and financial stress, coupled with intra-individual conflict has created the need for and understanding and regulation of emotions in the workplace. Emotion detection is particularly prevalent at critical periods for instance during appraisals, promotions or retrenchment. However, since emotional processes can work faster than the mind, it takes a power stronger than the mind to bend perception, override emotional circuitry, and provide us with intuitive feeling instead. It takes the power of the heart. The senior and

middle level managers' behavior and treatment of their people determine turnover and retention. They interact daily with individuals who have distinct needs, wants, and expectations. They significantly influence the attitudes, performance, and satisfaction of employees within their department and of other departments.

As organizations begin to understand and implement emotional intelligence training they can reestablish the sense of a secure caring and people first atmosphere in their organization. This reestablishment is a key element in meeting the fundamental need described by Maslow's Hierarchy, of security and sense of belonging. Emotional intelligence is a simple yet effective route to establishing this sense in an organization. Furthermore, establishing an emotional intelligence organization now will ready an organization for the future influx and prepare them to become a streamlined and more effective organization.

Implications Of The Study

The implications of this study for organizations include a more socially interconnected, motivated, emotionally healthy workforce, the retention of talent in Mumbai in the global economy, and increased revenue. A practical implication of a manager recognizing and developing improved emotional skills, that is, exercising emotional leadership, is improved individual performance with inherent benefits, including improved health and well-being, status in the organization and financial reward.

Organizations may use the results of this study to design training activities to enhance particular components of emotional intelligence. If these professionals know the emotional intelligence levels of their managers, they can design programs around specific emotional intelligence components. Knowing the emotional intelligence levels of managers in different types of organizations would help identify areas for further managerial development.

Furthermore, this study revealed that managers in all of the organizations studied were average or low in their emotional intelligence scores. If a managerial program aspires to train managers with exceptional emotional

intelligence – like skills, then this study is of value because it illustrates the need for emotional intelligence training among all organizations.

Results of this study may also be used by organizations for human resource development practices and assigning the work profile. If managers are aware of their strengths and weaknesses in relation to emotional intelligence subcomponents, then they may be persuaded to participate in managerial development programs that help them strengthen areas of weakness. Managers may also use the results of this study to further their understanding of how to enhance their emotional intelligence in relation to managerial and organizational activities. Activities that promote active involvement and a sense of commitment will develop a sense of dependability and collaboration among the membership.

The implication of this study is that by using their own emotional competencies managers can encourage subordinates to enhance their problem solving strategy. The perception of subordinates of their supervisors' use of these skills may have compound positive impact on the subordinates' problem solving strategy of managing conflict and job performance. Therefore, the challenge for a contemporary organization is to enhance the emotional intelligence of their managers. Improving managers' emotional intelligence would involve education and specific job-related training. Managers should also be encouraged to enhance their skills through continuous self-learning. Organizations should provide appropriate reinforcements for learning and improving employees' essential emotional competencies needed for specific jobs. Education and training may be of limited value when it comes to improving supervisors' emotional intelligence. Organizations may have to adapt the policy of recruiting managers with vision and charisma who are likely to be high on emotional intelligence.

Value

The value of this research resides in the directness of the approach, the insight gained in the experience of managers going through processes of self-management and regulation. This research provides analysis on the emotional skills of managers and perceptions of senior executives and managers on the influence and importance of emotional intelligence for organization effectiveness and individual performance.

The research points to the need for organizations in Mumbai to establish emotional intelligence at the forefront of their employee value proposition and focuses the need for training in emotional intelligence if companies are to compete successfully in the global economy.

Conclusion

The idea of emotional intelligence, and the findings of this research which supports it, indicates that organizations which select managers on the basis of IQ and other "traditional" measures will not develop the talent and capabilities which will deliver their future success. It is clear that managers with high levels of emotional intelligence have greater career success, foster stronger personal relations, have more effective managership skills, and are healthier than those with low emotional intelligence. Further, they are able to monitor and evaluate others' feelings empathize with others and excel in interpersonal skills. It is recommended that organizations seek out managers with high emotional intelligence and seek ways to enhance the EQ of current managers. Because this component of managerial success can be developed, it is also suggested that firms develop programs that enhance the EQ of their managers. This will enable them to motivate themselves and their subordinates and to work in more creative, more fulfilled, and more enthusiastic ways.

Results of this study may also be used by organizations for human resource development practices and assigning the work profile. If managers are aware of their strengths and weaknesses in relation to emotional intelligence subcomponents, then they may be persuaded to participate in management development programs that help them strengthen areas of weakness. Managers may also use the results of this study to further their understanding of how to enhance their emotional intelligence in relation to managership and organizational activities. Activities that promote active involvement and a sense of commitment will develop a sense of dependability and collaboration among the membership.

An important area of future research concerns carefully designing and evaluating the effects of intervention on supervisory emotional intelligence in enhancing positive conflict management styles and effectiveness.

Additional research in this field could be conducted in an attempt to correlate managerial practices and organizational climate with concepts of emotional intelligence.

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The Role of the Acceptance Zone in the Psychology of Set

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The given study has identified the Acceptance Zone as an important attitude dimension.

The Acceptance Zone can measure the conscious acceptability of behaviors, statements, judgments and evaluations related to positions different from the research participant's position during assessment.

The study shows a statistically significant correlation between an Acceptance Zone and attitude/typological characteristics.

Narrow Acceptance Zone (about 25% of research participants): Extreme and one-sided point of view; low level of acceptance of others' opinion, low level tolerance (acceptability); high confidence, locus control falling within the mid-range, competitiveness in conflict situation.

Moderately wide Acceptance Zone (about 50% of research participants): higher level of tolerance; intense feeling of self-confidence, social courage, success and inner strength; low intensity of conflicts, compromise/competitiveness and higher level of cooperation in conflict situations.

Wide Acceptance Zone (about 25% of research participants): Moderate and versatile points of view; tolerance; external locus of control, hesitation; low self-confidence and internal conflicts; higher sociability; avoidance behavior in conflict situations.

Acceptance Zone is an important concept for attitude and behavior research. It can be also useful for Theory of Set and in general, for the psychology of Georgia. The Acceptance Zone can be also used for a simple typological-character test. The concept in question can be considered with the development of simple tests measuring personality typology and character traits.

Question Formulation and Explanation of the Key Notions

D. Uznadze's works on the peculiarities of personality attitude have inspired numerous studies in the Georgian psychological field. For example V. Norakidze and his fellow researchers studied the correlation between attitude types and data achieved through other psycho-diagnostic methods and confirmed their close connection (Norakidze, 1966) (though more precise measuring is needed). Thus, the method of the fixed attitude grew into a serious psycho-diagnostic technique, which gives us the possibility of revealing characteristic peculiarities of a personality. Formal-dynamic characteristics of the fixed attitude point to the characterological features of a personality (Norakidze, 1966).

In the recent research (Burduli, 2010; Burduli, 2009; Burduli, *Psychology XX*, 2007; Burduli, *Matsne*, 2007; Burduli, *Matsne*, 2006; Burduli, *Caucasiology*, 2006; Burduli, *Caucasiology*, #9, 2005; Burduli, *Caucasiology*, #7, 2005; Burduli, *Psychology XX*, 2005; Burduli, *Intelecti*, 2005; Burduli, *Matsne*, 2004) personal, social attitude characteristics have been studied: Valence, acceptance zone, extremeness-moderation, etc. It has also appeared that perception, sensorimotor and personal-social attitude formation, activity, and alteration regularities are similar (Nadirashvili, D, 2005).

Sh. Nadirashvili discovered the regularities of fixed attitudes in the sensorimotor modality: I. Fixed attitude has an assimilative nature; this kind of assimilative reaction somatises causes illusions. II. In cases of fixation, causes assimilative response; III. Under radically different circumstances, causes contrast response (Nadirashvili, Sh., 2014; Nadirashvili, Sh., 1983-85).

Sh. Nadirashvili discovered the same regularity in personal-social evaluation. It appeared that for example in case we ask a subject to evaluate acceptable or slightly unacceptable statement many times (on the 10- score scale) they even more contrastively evaluate the radically different morally unacceptable statements (Nadirashvili, Sh., 2014; Nadirashvili, Sh., 1983-85). This is comparable to when the same gray color seems light with a black background and dark with a white one.

In different modalities contrast-assimilative regularities of attitude have the same effect. It means that the objects far or distant from the fixed attitude are evaluated contrastively and the near or proximal objects assimilatively.

The same can be said about the perceptive, sensorimotor, cognitive or personal-social attitude cases. This regularity was demonstrated in the experiments of Sh.Nadiarshvili (Nadirashvili, Sh., 2014; Nadirashvili, D., 2005).

We consider it necessary to define some of the key notions.

1. *Dispositional attitude* - a long term, stable attitude. Its particular types are: aptitudes, habits, typological-characterological individual traits and features, individual tendencies, and value orientation dispositions.

2. *Disposition of the Value Orientations - Dispositional Attitude* – reveals itself in the consciousness as an attitude.

3. *Position or attitude* - feeling of acceptance or nonacceptance towards any cultural-social phenomenon or value orientation, or natural or personal-psychological point of view and desire. For example attitude of a person towards one or another political party, nation, doctrine, church, mathematics, animals, classical music, jazz, homosexuality, antique objects, ect. We do not consider it appropriate to limit the positions and approaches with “social attitudes,” of only one particular type (Vakhania, 2007); Instead we use a wider marker – “personal-social”. Approach and position belong to estimating dimensions and thus are always directed towards certain value orientations (Vakhania, 2009).

An approach or a position has three constituting components: I. sensitive-emotional, II. volitional, which is the desire to perform certain behaviors, to not perform them or hesitation toward them; III. Cognitive, which is appropriate judgment and evaluation. The I and II are effects of an ordinary evaluating disposition and the III, the cognitive one, is the consecutive cognitive activity.

Attitude is a value orientation disposition – or one of the types of the fixed and stable attitudes and is a reflection of feelings in the consciousness.

Characteristic features of an approach are the following:

4. *Valence* - positive-negativeness, unilateral non- neutrality. Valence is given to an approach through the sensitive component, as feeling is the element that loads the emotion with valence (Vakhania, 2009).

Valence in the subjective consciousness which is revealed in the positive-negative context: (a) feelings of likeness-acceptance and non-likeness-non-acceptance; (b) willingness-attractiveness or unwillingness-avoidance impulses or the conscious intentions. Both of them are accompanied with an emotional background.

5. *Attitude Intensity* - Measure for the valence volume. Valence has only two meanings: "+" or "-", but it is clear that both of them have different levels or degrees: more positive and less positive; slightly negative and extremely negative. Intensity is measured by means of special scales. We used the Turstone 11 score scale. The scale can be imagined on the numeric axis with the values being placed in the following positions: -5, -4, -3,...0, +1,...+5. These statements are preliminarily elaborated and assessed by the experts according to the statistical procedures (Dawes, 1972); Consequently, each of them has a marker of intensity and each particular statement corresponds to the figure given on a numeric axis. The statements are in fact evaluative judgments or evaluative propositions. Each scale measures a subject's attitude towards one of the value orientations.

A subject is given a scale or 11 statements and selects the statement most acceptable for him or the closest to him. This is the way of stating:

6. *Subject Position* (Towards the appropriate Value Orientation) - A figure from - 5 to + 5, which corresponds to the first value statement by a subject. Naturally, it is the valence and intensity combination.

The positions (on the basis of the long time analyses of the empirical material) were divided into the 3 groups from the extremeness-moderation point of view: extreme (-5, -4, +4, +5), medium (-3, -2, +2 +3) and moderate (-1, 0, +1).

We think it is necessary to clarify some aspects of this: neutrality, indifference, and promiscuity are characterized by the zero valence or zero position. However, this is not always true: when a subject selects in the inquiry zero or selects on the Turstone scale a statement relevant to zero. Indifference does not always equal zero, 0 - sometimes it denotes ambivalence. For example a person's choice is between +3 and -3 and in case he/she cannot choose any of them, he/she chooses 0 instead. In reality, subjects avoid any sort of choice. Like Buridan's donkey, standing between

two haystacks, not knowing which one to prefer. It means, that both of them are equally unacceptable. In other words, in psychology unlike mathematics, real 0 (indifference) essentially differs from the sum of +3 and -3.

After clarifying the position, a subject is required to choose other statements on the same scale being acceptable for him.

7. *Attitude Monomy-Polimony* – it is acceptable to measure the subject's quantity for the statements being chosen by them from the Turstone scale. In a case when a subject chooses 1 or 2 statements, his/her attitude is monomonic, in case of choosing more than 1 or 2 his/her choice is polimonic (towards the given values).

8. *Acceptance Zone* – is the segment of the scale being marked by the subject with the smallest and greatest numbers evaluating acceptable for him value orientations. For example if a subject chooses the statements corresponding to +2, +1, -2 and +3, then the acceptance zone starts from -2 to +3 (even if the two figures 0 and 1 are missed).

Acceptance Zone is the consciously accepted measure for the approved probabilities of the corresponding behaviors, statements, judgments or evaluations. Wide acceptance zone points to the higher levels of tolerance, the narrow one points to the lower level of tolerance.

Analysis of the longstanding empirical data enabled us to divide the acceptance zone as follows: narrow (ranges covering 1 or 2 statements), medium (3, 4), wide (5, 6, 7, 8) and very wide (9 or more). As for the very wide zone it is so rare (not more than 1-1.5%), that we considered it an exception, but we combined it with the wide zone, in order to avoid the difficulties in statistical processing and analysis.

It is natural that the following question arises: what do the markers of the analyzed attitude depend on more, the scale or the personality traits? For clarifying this question, we compared attitude markers with several personality-social values such as: mathematics, alcoholic drinks, church and freedom, as well as Georgians and Russians. It turned out, that not less than 70% of the subjects reveal narrow, medium or wide acceptance zones towards all the values. The same situation is in cases of extremeness-moderation and monomy-polimony. For example, the Monomonic

position towards one value points to monomonic attitudes towards other values as well and correspondingly, a polinomic position points to a polinomic attitude. Between the markers or characteristic features the correlations are positive and valid ($p < 0.01$). Accordingly, the examined markers are the typological markers or characteristic features of a personality.

We also have a group of «variable» attitude subjects (compare D.Uznadze notion «Variability of an attitude» (Uznadze, 1977)). And it is natural, for each group to have individual personality traits and different social behavior tendencies.

2. Relation of the Acceptance Zone to other Traits of the Attitude

Our research proved that the acceptance zone is an independent and important denominator (Burduli, 2010; Burduli, 2009; Burduli, Psychology XX, 2007; Burduli, Matsne, 2007; Burduli, Matsne, 2006; Burduli, Caucasiology, 2006; Burduli, Caucasiology, #9, 2005; Burduli, Caucasiology, #7, 2005; Burduli, Psychology XX, 2005; Burduli, Intelecti, 2005; Burduli, Matsne, 2004). We have studied the relation of the acceptance zone size towards the extremeness-moderation of the attitude and monomony-polimony.

We studied attitude or approaches according to the three units: 1. Alcoholic drinks, as the objects of consumption; 2. Mathematics, as an object of cognition; and 3. Church, as a social institution. Instruction was as follows: “Choose the statement that is most acceptable in your opinion first and then all the other statements which are acceptable for you.”

Empirical material was processed using SPSS. It appeared, that the relationship between the acceptance zone size and the moderation-extremeness of the positions, as well as monomony-polinomy is valid. In majority of cases we have $p < 0.01$ and only in one case $p < 0.05$. The table shows the averaged data:

<i>Volume of the acceptance zone</i>	<i>% Distribution of subjects</i>	<i>Intensity of a position</i>	<i>Monotomy. Polinomy.</i>
Narrow - 1.6	25	4.2	2.3
<i>Medium</i> - 3.4	50	2.4	3.4
Wide - 6.5	25	1.2	4.3

Conclusion: Wide Acceptance Zone is connected with the moderate and polinomic attitudes and the narrow acceptance zone with the extreme and monomonic ones.

3. Relation of the Acceptance Zone with the Contrastive and Assimilative Evaluation

In the research described in the second paragraph, subjects had to choose statements acceptable for them. In the third paragraph the regularities of evaluating (and not choosing) of different statements by the subjects are described. It is widely known that the distance from a subject's position to the scale position of the evaluated statement determines the essence and style of the evaluation; namely, a statement expressing a position close to the position of a subject is assimilatively evaluated. (a subject considers it closer, than it is in reality), as for distant statements, they are evaluated contrastively (a subject considers it more distant, than it is in reality) (Nadirashvili, Sh., 2014; Nadirashvili, Sh., 1983-85; Nadirashvili, D., 2005; Nebieridze, 1971).

We have to stress the fact that during the study of the acceptance zones we have changed the notions of closeness-farness or proximity-distance, which were introduced by Sh. Nadirashvili. They were dependent only on the scale of distance. We called the "close" or proximate to the subject notion the one located in the acceptance zone and the "far" or distant – the notion being located beyond the acceptance zone.

The “close” or proximate to the subject statement does not necessarily mean acceptance by the subject, the “close” statement can be acceptable and at the same time non-acceptable by the subject; Videlicet, a statement can belong to the acceptance zone, but not chosen by the subject (studying of the reasons of the above mentioned behavior is a subject for further research).

170 subjects participated in the study and it was a random choice sample. First of all, we measured the subject’s position and acceptance zone (see par. 2). At the second stage of the experiment, we showed the subject the locality of his/her position on the scale and placed a statement expressing his position on the scale near the appropriate figure. Then a subject was given a statement for evaluation which was distant on the scale from his position by the two units.

The instructions given to the subjects were as follows: “Evaluate the given statement and give it an appropriate score and place on the scale.”

We have distinguished the following cases in the evaluated statements as being distant by two scores:

1. “Close” or proximate statement to be evaluated and an acceptable statement (belongs to the acceptance zone and has been chosen by a subject).
2. “Close” statement to be evaluated and an unacceptable statement (belongs to the acceptance zone, but has not been chosen by a subject);
3. “Far” or distant statement to be evaluated (it does not belong to the acceptance zone and it was not chosen by a subject).

Thus, we studied the correlation of the acceptance zone latitude with the:

- Evaluation of the “close” or proximate statements;
- Evaluation of the “far” or distant statements;
- Acceptance-non acceptance of the “close” statements.

The achieved research data was statistically processed with the SPSS method.

The percentage index of the data is shown in the table:

Acceptance Zone	Narrow			Mid-Range			Wide			Very Wide		
	0	1	2	0	1	2	0	1	2	0	1	2
Assessment												
„Close“	34	65	1.8	25	48	28	27	48	26	26	57	18
„Far“	28	28	45	33	22	45	20	35	45	-	-	-

Assessments: 0 - Adequate, 1 - Assimilative, 2 - Contrastive, but within the Acceptance Zone, 3 - Contrastive, but beyond the Acceptance Zone

As we can see from the table, in the case of narrow acceptance zones, the assimilative type of evaluation towards the statements (mathematics, alcohol, church) is more frequent, when the “close” or proximate statements are evaluated, this is followed by the adequate types and the last one is the contrast type of evaluation. In the case of medium acceptance zones, assimilative evaluation was more frequently seen, followed by contrast type and the last one is adequate. In the case of wide and very wide zones of acceptance assimilative evaluation is the first, then comes adequate and contrast types of evaluation.

Thus, the majority of the subjects (48-64%) evaluate assimilatively with the statement expressing his/her position and being “close” to his attitude (distant from his position by two scores) or it means, that a subject regards it as a position similar to his attitude. Approximately, 24-26% of the subjects adequately evaluate the statement expressing a position being close to him/her, as they estimate it on the scale these statements with an appropriate score and gave them an adequate place. A certain amount of the subjects (2-28%) contrastively evaluate the similar statement and regard it as a position being remote or distant from his/her position, as they evaluate it with at least two scale scores and give it a place, being remote or distant from his/her position.

Towards the given personal-social value orientations, in the case of narrow and medium acceptance zones, contrast evaluation of the “far”, but two scores distant statement from the subject’s position are more frequent; then come adequate assessments. In the case of wide acceptance zone, contrast

evaluations again come first followed by assimilative ones.

Thus, the latitude of the acceptance zone influences the style of evaluating “close” and “far” statements; in spite of the size of an acceptance zone, assimilative evaluations of the “close” statements are dominant, as for the contrastive evaluations they prevail in cases of “far” statements, but in cases of narrow acceptance zones, adequate assessments are more frequent and with the growth of the zone space contrastive evaluation of the “close” statements and assimilative evaluation of the “far” statements become more frequent ($p < 0.05$).

Conclusions: The regularity discovered by Sh.Nadirashvili was proven once again; namely: contrastive and assimilative evaluations depend on the farness–closeness or proximity–distance of the statement from the position of a person. In spite of the latitude of the acceptance zone, when the “Close” statement is remotely two units from the position of a person is more frequently evaluated assimilatively (55%), but in the case of the “far” statements being remote by two scores from the position of the person are evaluated contrastingly (45%). Though, as we have already marked, subjective farness-closeness or proximity-distance does not mean farness-closeness on this scale. It appeared that “close” statement, being separated by the same scale distance is assimilatively evaluated and the “far” or distant statement more contrastingly (i.e., in evaluating the statements subjective closeness–farness - distance and not the scale of distance are determining).

General Regularity Changes According to the Different Acceptance Zone Subjects:

<i>Assessment of Statements showing a position</i>	<i>LL Latitude of the Acceptance Zone</i>			
	Narrow		Wide	
<i>Close</i>	1	A s s i m i l a t i v e		1
	2	Adequate	Contrast	2
	3	Contrast	Adequate	3
<i>Far</i>	1	C o n t r a s t		1
	2	Adequate	Assimilative	2
	3	Assimilative	Adequate	3

The narrow acceptance zone in comparison with the wider zone points to a more adequate evaluation. It seems, as if the narrow zone creates more favorable conditions for the adequate development of evaluation and points to a high level of adaptability of a subject, but in reality it is different. In fact, it is the other way around. Under changed conditions the strong contrast illusion is necessary from the very start for blocking the inadequate assimilative activities and then for the better adjusting of the individual's behavior to the changed conditions by means of attitude differentiation (Vakhania, 2008). The significance of the latitude of the contrast illusion for quick and easy adjustment to the environment was proven by Sh.Nadirashvili (Nadirashvili, Sh., 2014).

4. Correlation of the Acceptance Zone with the Personality Features.

Relationships between the volume of the acceptance zone and personality features were revealed. Zones of acceptance are related to certain personality features. For example, people who have different latitude

acceptance zones differ from each other by the Locus of Control, conflict proneness, social boldness, self-confidence, self- estimation. They also differently assess the emotionality and prosperity of their own nation and happiness, will, conflict proneness, activeness and emotionality of another nation (the Russian nation).

112 Georgian subjects from the age of 18 to 60 participated in the research. We studied the latitudes of the acceptance zones of the Georgians towards their own and the Russian nation. For studying the personality traits of the subjects, we used popular tests, which helped us check their self-control, self-estimation, conflict proneness, locus of control, assertiveness (self-confidence and social boldness) and forms of reaction to conflict situations, such as: rivalry, cooperation, compromise, escape and adjustment (Mayers, 2009).

The table reflects only statistically valid correlations ($p < 0.05$)

Personality Features	Acceptance Zone			
	<i>Narrow</i>	<i>Mid-Range</i>	<i>Wide</i>	<i>Variable</i>
Locus Control	11.50		15.05	
Compromise	1.03		1.60	
Rivalry	8.00	6.74		
Assertiveness	5.88	5.86	4.84	5.44
Social Boldness	3.64	4.73		
<i>Self-Assessment</i>				
Success	5.84	5.98	5.42	5.57
Emotionality		6.53	5.61	
Conflict Proneness	4.13	4.04	5.07	
Optimist			5.74	6.56
<i>Own Nationality Assessment</i>				
Emotionality (Warm-Cold)	6.57	7.50		
Success		5.70	4.63	
<i>Other Nationality Assessment</i>				
Emotionality (Warm - Cold)	4.93	4.03	4.04	
Happiness		5,90	5.21	
Stability		6.10	5.10	
Conflict proneness	6.03	6.76	6.90	
Activeness		6.22	7.16	

For the group with the narrow acceptance zone, a high level of rivalry is characteristic in the conflict situation, as well as for the mid-range Locus of Control, assertiveness, strong feelings of success and low levels of conflict proneness are specific. They consider their nation prosperous and less emotional.

Narrow acceptance zone, for which there is less acceptance of other positions and the preciseness of the personal position is characteristic must have conditioned the high level of rivalry in conflict situations. The preciseness of the position and the small quantity of acceptable positions is connected with high levels of assertiveness, which in turn gives rise to the strong anticipation of success; High self-esteem implies lower level of the inner conflict. It is clear, that a narrow zone makes the process of acceptance difficult and results in the low assessment of one's own nation.

The group of the medium acceptance zone has a low level of compromise in conflict situations and a low level of rivalry with the Russian nation in the conflict situations. The group is also assertive, self-confident, socially bold, and has strong personal feeling and weak conflict proneness. These kind of people evaluate their own nation, as warm and successful and the Russian nation, as less emotional and less active.

On the basis of the given results it can be said that the medium zone of acceptance shows more ability to share positions and are consequently more tolerant towards different opinions and have a low level of rivalry. A high level of acceptance of different opinions and positions is associated with a high level of activity, self-confidence, feeling of success and the conditions and the personal strength resulting in their low conflict proneness. Thus, it is natural that they evaluate their nation more highly, than the Russian nation.

We can expect that people of the medium acceptance zone prefer the collaborative strategy.

A group from the wide acceptance zone has an external locus of control, they have a low level of self-confidence and assertiveness, success, personal strength and have a high level of conflict proneness. They consider their own social group less emotional and more active.

At the same time, a wide acceptance zone is associated with adaptability and a high level of adjustment in a person to the social environment, an external locus of control and social boldness (Burduli, Matsne, 2007).

In our opinion, the wide zone of acceptance sharing both positions: similar and different and their equal acceptance is revealed in the obscurity and ambiguity of the personal position. Consequently, it naturally conditions proneness to conflict, uncertainty and feelings of failure and personal weakness. These kind of people avoid responsibility which is revealed by the external Locus of Control. The fact they represent their own nation as less emotional and more distant must have been the result of the sensation of failure.

We can expect that the wide zone acceptance personality will preferably choose the avoidance strategy.

People having the variable acceptance zone are assertive and have high level of prosperity and optimism. (Though this data needs to be checked).

5. Summary and Generalization

Thus, we can say, that an acceptance zone latitude is one of the independent characteristics of an attitude. It also points to a psychological typology.

Personality features, as well as an attitude, show the valid correlation towards the acceptance zone. As it became apparent for a person with the narrow acceptance zone, low levels of forgiveness, acceptance of other positions, higher level of rivalry and absolute positions are characteristic and differ from people who have a wide zone of acceptance, who are more absolving, they accept other people's opinions, they can express their position using various means of presenting it; they try to avoid conflicts.

Narrow acceptance zone points to the over assertiveness of a personality and non acceptance of a different opinion. Wide acceptance zones point to the uncertainty of a person and hesitation and inner proneness to conflict (though it also points to more sociability). Thus, it is obvious that the zone of medium acceptance is the most optimal one.

Acceptance zones play a great part in studying attitudes of personality and corresponding social behavior. Consequently, investigation of that latter and the achieved results are very significant for the attitude theory. Besides, the acceptance zone is very easy to measure (selection of the statements from the several different scales is enough). It can also be used for elaborating a simple typological-character test. It is natural that study of the latitude of an acceptance zone is very important for the psychological typology of a personality.

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Assessing Stressors and Coping Mechanisms of International Nursing Students in the Country of Georgia

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International nursing students in the country of Georgia face many stressors beyond native Georgians in the same context. These students who have chosen to move to a new country where they do not speak the language, have different food and climate and even look very differently than the local population have developed different coping mechanisms that are both effective and not effective. This descriptive study provides a basic assessment of stressors and coping mechanisms currently being experienced by this international community.

Studying at university is a rite of passage for many young adults. It forces a transition from dependency to independence by challenging them academically and promoting autonomy as the student moves out from under their parent's authority. It is common knowledge that university students are required to work hard to succeed to achieve their diploma as well as grow as individual adults. In many instances, students move from their parent's home and direct care to another city, a dorm, or another country. Students must learn to cook, clean, manage money while developing new social groups and being engaged in a higher standard of achievement.

Students studying outside of their native country and culture are faced with many challenges that those who study within their own culture are not faced with for the most part. These stressors include language barriers, different climate, different food, living with nonfamily members, and often without a family support system in country (Amos & Lordly, 2014; Hamboyan & Bryan, 1995). Students may also experience homesickness that leads to depression, anxiety, and withdrawal behaviors (Kovatz, Kutz, Rubin, Dekel, & Shenkman, 2006; Thurber & Walton, 2012). All of these stressors regardless of expected or not, can lead to loneliness, depression, misunderstanding, mistrust and academic inadequacy and have been documented to affect most university students regardless of the major that they have chosen (Shaikh & Deschamps, 2006, Thurber & Walton, 2012). Students may experience racial discrimination and prejudice that leads to conflict between majority and minority groups and increasing severity of homesickness (Shaikh & Deschamps, 2006; Thurber & Walton, 2012). These different attributes can be explained through the concept of perceived and actual acculturation stress. Acculturation is apparent when a person gives up traits of their own culture of origin when coming in contact repeatedly with another culture. There are varying degrees to this and it is not absolute (Purnell, 2013). Acculturation can lead both to culture stress and shock as well as assimilation, characteristics and gradual adoption of the prevailing culture, and enculturation, natural conscious and unconscious conditioning processes of learning accepted cultural aspects and achieving competence in one's culture through socialization (Purnell, 2013). The ability of one to have minimal culture stress and shock and facilitate a smooth transition to cultural acceptance and enculturation is a delicate process that involves repeated assessment, implementation and evaluation of all those involved (Ruddock & Turner, 2007).

Since the fall of the Soviet Union, a growing trend has occurred for students to travel and study overseas in Eastern European countries especially for the medical professions. Georgia, a former part of the Soviet Union, has a growing international student community, especially in Tbilisi, the capital. This international community is largely made up of Indians, Middle Easterners and West Africans. Georgia's population of close to 4.5 million people is approximately 85% Caucasian ethnicity (native inhabitants of the Caucasus Region). (Gamkrelidze et al, 2014) and therefore is homogenous in appearance and culture and has limited exposure to people from different regions of the world. Minimal exposure leads to limited cultural competency since skilled cultural competency comes from repeated exposure to other cultures (Kumas-Tan, Beagan, Loppie, Macleod, & Frank, 2007). Only a few universities accept international students in Georgia and only one accepts international students for nursing. In addition, to cultural bias and conflict, nursing only recently was declared a profession in Georgia (Wold, Crawford & Jashi, 2013). Nursing up until this time was considered a technical diploma that one could achieve after their first year in medical school (Wold et al., 2013) rather than a separate profession as recognized by many international organizations (International Council of Nurses, 2011). This ignorance has further contributed to the isolation of international nursing students. In Georgia, there are currently 1.6 physicians per 100,000 compared to 1 nurse (per 100,000) (Gamkrelidze et al., 2014). One university in Georgia started the first international Baccalaureate nursing program for the country in 2012. There are currently less than 40 international students from Nigeria and Chile studying nursing in Georgia.

In order to develop a culturally competent community within this university, a general assessment of common stressors as well as coping skills needs to be collected from these students. No literature exists for studying and assessing the international nursing student situation in Georgia. The purpose of this descriptive study is to assess different coping mechanisms and stressors of international nursing students in Georgia. This study will be the first of many used to assess and implement a more culturally competent university environment.

Methods

Participants

First and third year nursing students from Nigeria (31 students) and Chile (1 student) were surveyed to assess different possible stressors that they had experienced and coping skill they used while in Georgia. Student ages range from 18 years old to 30 years old. Each of the students received an email as well as verbal reminders to attend of one of two meetings during the first week of November, 2014. These meetings occurred in week nine of a 17-week semester that was also the week following midterm exams. Each participant signed a consent waiver allowing their survey to be used. The survey was approved by the Dean of the School of Health Sciences and Public Health.

Procedure

A descriptive survey of 39 questions was developed to assess different stressors and coping skills. Thirty-five questions were measured on a five point Likert scale ranging from least likely/never to most likely/always and covered six different topics (school, health/coping mechanisms, family/support system, culture, spiritual aspects and general stress levels/perception of current situation) and. The final four questions consisted of two closed and two open questions. Thirty one surveys were distributed. In order to maintain anonymity each survey specifically stated that the participant to not put their name on the survey. In addition, surveys were collected by one student representative at each meeting and then turned collectively for analysis.

Results

Twenty-nine surveys were collected. One survey was not returned and one student did not give consent for their data to be used. Of those participants eight were male, 18 were female and three did not specify gender. The average age of all the participants was 23 years-old. The students' ethnicity was not collected since only one student was not Nigerian.

Results for school topic showed that 55% felt as though they are able to communicate effectively with their teachers regarding questions or problems they had (Figure 1). In addition, 55% of students feel like their lectures and readings for class prepare them for the exams. Only 35% stated that they study three hours or more a day outside of class. Almost 60% felt like the environment provided by the university was conducive to the learning process.

When asked about health habits and coping mechanisms, less than 10% said that they smoked cigarettes/ cigars less than five days a week and less than 15% drink more than two alcoholic beverages in a week. Most of the positive health habits measured were practiced by less than 25% of the population; eat five fruits and vegetables a day (10%), exercising five times or more a week for at least 30 minutes each time (21%), more than seven hours of sleep a night (21%). Students' current health status over the past two months noted having symptoms of cold/ flu (52%), feeling more tired (52%), feelings of hopelessness and despair (41%) and abdominal discomfort (38%). Only 62% said that they mostly or always had enough money to buy food and pay for housing with 41% saying that they mostly or always felt they were able to relax in their living situation. Only 10 percent had financial worries.). Even with all of these health stressors, 57% said that they mostly or always are able to think logically and process potential consequences.

Family and other support systems (such as friends, pets and spiritual habits) were also measured. Only 90% had been in contact with their family that week (93%) and 86% believe that their family is happy with their performance in school. Only two students own or come in contact with pets regularly and 38% said that they had friends and a support system to mostly or always help them deal with stressful situations in Georgia. Over 90% are either indifferent or longing to be home with their family and friends at the time of this survey. Sixty-two percent of the students mostly or always attend a religious service at least once a week and 70% pray at least once a week.

When asked specific questions regarding Georgian regulations and culture, over 50% of students stated they have had some level of visa problems, and that cultural and psychological stressors affect them daily. As many as 59% of the students state that they have felt uncomfortable with strangers calling

them names, staring uncomfortably or even an unwelcome touch of something on their person in the past weeks. Less than 50% of the students polled felt mostly or completely in control of their environment with only 59% feeling in control of their life at the moment of the survey. About 50% of the students feel more stressed in November, 2014, than they did in September, 2014 while 60% felt more stressed the week of the survey than the midterm week before (Figure 2). Finally, 59% of students felt happy about the decisions they made in the prior two weeks to the survey according to the Likert scale questions.

Two closed questions were asked regarding if the students had considered harming themselves or others in the last two months and if they would like to talk with someone professionally regarding the stress they are experiencing in Georgia. Only two people stated that they had considered harming themselves or others. Out of 29 people, nine (seven females, one male, and one participant who did not answer the gender question) stated that they would like to talk with a professional and two (one male and one female) stated they were not sure if they wanted to or not.

The two open questions inquired about the top three different stressors in each person's life and top three ways that each person deals with stress (Figure 3). The top stressor identified was school studies/ academic work. This was followed by personal emotional/mental issues that they did not specify and the weather in Georgia. Eight people did not list any stressors. The top three ways that students deal with stress were sleeping, praying, and singing or listening to music respectfully. Only three people identified talking with their family as a stress reliever. Five people did not remark.

Discussion

It is a given that university students will have stress and need to learn to cope in new and changing situations (Kovatz et al. 2006). At this university, this cohort of students is part of a larger group of international students with other majors besides nursing that started in spring, 2014. These are the first international students at this university. These nursing students not only are learning to adapt to a completely different culture, they are being asked to perform where there are no current professional role models in clinical

settings at their same educational level. This is the only BSN program in the country that is set to Bologna process standards in the European Union. These students only have one professor who was trained and worked in a developed country. While the other professors are exceptional teachers, they are teaching topics that they may have never seen in practice. These professors are all native Georgians and not native English speakers with one exception and may explain why the percentage of students who are comfortable in communicating with their professors and mentors and why they feel they are adequately prepared for the exams are both not higher than 55%. However since only one third of the students study three hours or more a day, the responsibility for exam preparation cannot be fully placed on professors.

In addition, international students have a higher incidence of physical ailments than previously stated in the literature for other students (Bhandari, 2012). However, nursing students who have been educated on the importance of proper health habits are not applying this knowledge as demonstrated by the less than 25% eating, sleeping and exercising at commonly accepted recommendations. With the added stress in general of being in a different culture, students are in need of making sure that they are actively practicing positive health habits (Chou, Chao, Yang, Yeh, & Lee, 2011). These students come from low smoking and alcoholic intake cultures, which do not add any negative health habits. This could also be due to their religious beliefs regarding these items since over 60 percent participate regularly in a religious congregation.

It is important to note that over 90% are longing to be home with their family as well as communicating regularly with their loved ones and yet over 60% have not either had time or ability to develop a strong support system in Georgia. This could be due to the significant cultural barriers (language, food, weather, etc.) between Nigeria, Chile and Georgia. The lack of a local support system could also be a cause of the high percentage of these students affected by cultural stress daily (Pantelidou & Craig, 2006). Inappropriate behavior by native Georgians, who may have never seen a person that has different hair and skin tone than ethnic Georgians, may also contribute to cultural stress. Culture stress can also lead to the feeling of lack of control both of their personal belongings and on a governmental level regarding visa

regulations that has a reputation of limited English and confusing regulations.

At the time of the survey, the majority of students remarked that they were happy with decisions that they had made in the previous two weeks and yet 60% were more stressed the week after midterm exams than they were even a month prior. Four students identified the actual task of taking of midterms themselves as one of the three main stressors. More information is needs to be explored why these stress levels are increasing rather than decreasing after a midterm test.

Limitations

This study was a basic descriptive study used to gather initial information. Each question needs to be reanalyzed in order to decrease confusion and bias. A few questions had multiple points that might have been confusing for the reader. One question had to be thrown out because it was missing the Likert scale and a third question was generally ambiguous. Before this questionnaire can be administered again, there should be revisions to ensure reliability of the answers.

The sample size is also small. Unfortunately this convenience sample is not larger. Other international students with other majors and from other countries exist in Tbilisi and would be invaluable to helping understand international students studying in Georgia as well as where universities can improve their cultural competence.

Finally, this survey did not produce any interventions for some of the data gathered, ie. Harm to self or others. This also did not explain why someone was stressed regarding school or having physical ailments. It will be important to spend more time on each section, and explore more cause and effect reasoning to some of the questions. Focus groups with these nursing students will greatly improve the depth and understanding of exactly which stresses these students have and why. Once those areas are explored more, then interventions via education and culturally sensitive events can be administered. This is the first survey in Georgia for international students with many others to follow.

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Figure 1

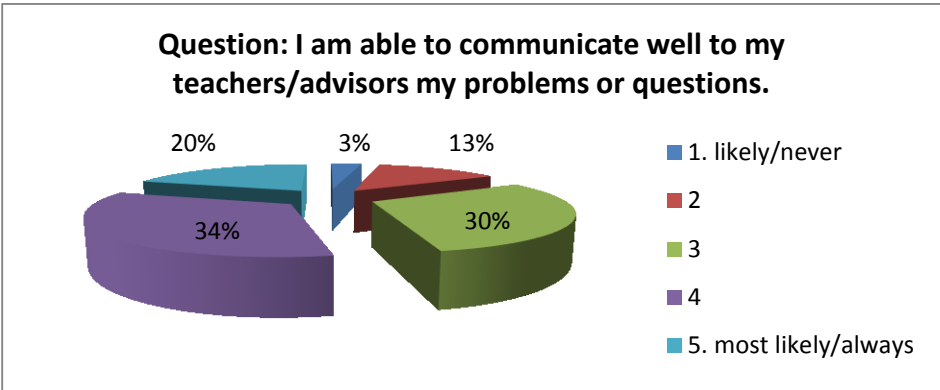


Figure 2

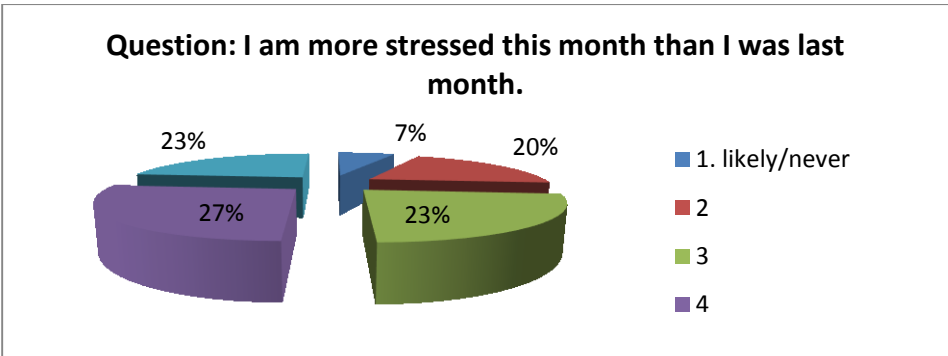


Figure 3

